



Daily Compliance Activity Report

Trade Date: 05/13/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WEISS PECK	040	ABG	S	34,690	17.05	n/a	25-Apr	1,734.50	5.0
INDEPENDENCE INV	039	ACE	S	23,790	60.31	n/a	n/a	951.60	4.0
TYEE/TYGH	035	AMG	B	13,100	101.98	7-Apr	8-May	524.00	4.0
BEAR STEARNS ASSET MGMT.	033	ANF	S	40,000	75.24	10-Apr	9-May	1,600.00	4.0
BUCK CAPITAL MGMT	001	ANN	SS	20,000	28.27	14-Mar	12-May	800.00	4.0
JP MORGAN VENTURES	046	BKC	B	10,000	29.85	1-May	2-May	500.00	5.0
WHITE PINE CAPITAL	030	BONT	S	1,550	9.20	4-Jan	9-May	77.50	5.0
CAXTON PART	040	BRCM	B	25,000	27.57	n/a	n/a	875.00	3.5
KAICHER	064	CBI	S	300	43.61	n/a	n/a	0.00	0.0
FIRST NEW YORK NICK	029	CCU	B	5,000	34.36	n/a	n/a	250.00	5.0
BARR	096	CDNS	SS	3,000	10.88	n/a	n/a	0.00	0.0
STONERIDGE INV PART	028	CHD	B	19,693	54.45	2-Apr	7-May	984.65	5.0
NEUBERGER BERMAN	036	CMCSK	S	144,130	21.63	n/a	n/a	6,485.85	4.5
CROWLEY	061	CMU	S	8,500	5.24	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KACELA CAPITAL	034	COH	B	15,000	34.69	4-Apr	23-Apr	600.00	4.0
BUCK	015	COPRQ	S	7	1.56	n/a	n/a	0.00	0.0
RHO CAPITAL MGMT	041	CSIQ	B	2,200	43.67	n/a	n/a	88.00	4.0
CROWLEY	061	CXE	S	4,000	5.55	n/a	n/a	0.00	0.0
SANDLER O'NEILL ASSET	031	C	B	25,000	23.61	16-Jan	12-May	1,250.00	5.0
TRIVIUM CAP MGMT	251	DELL	S	50,000	19.99	n/a	n/a	2,000.00	4.0
BUCK	015	DVNRB	B	5	2.70	n/a	n/a	0.00	0.0
BUCK	015	DVN	S	200	118.66	7-May	7-May	0.00	0.0
EFSTATHIOU	044	EFR	B	1,200	15.02	n/a	n/a	0.00	0.0
SIGMA CAPITAL ASSOCIATES	237	EL	B	25,000	48.62	7-May	7-May	1,250.00	5.0
AMATURO	018	EPG	B	2,000	4.51	n/a	n/a	0.00	0.0
MCCARTAN	028	EPG	B	2,000	4.53	n/a	n/a	0.00	0.0
LED DY	035	EPG	B	1,800	4.57	n/a	n/a	0.00	0.0
EFSTATHIOU	044	EPG	B	1,637	4.44	n/a	n/a	0.00	0.0
PERRY PARTNERS	041	ERTS	S	92,000	54.39	n/a	n/a	4,600.00	5.0
MILLER	025	EWZ	B	100	94.59	n/a	n/a	0.00	0.0
HOOVER INV. MGMT	033	FCS	B	60,300	14.24	n/a	n/a	3,015.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SERENGETI MGMT	030	FED	B	25,000	14.82	n/a	n/a	1,250.00	5.0
LISTED ERR	099	FED	B	490	14.82	n/a	n/a	0.00	0.0
MS PRINCIPAL STRATEGIES	041	FHN	B	20,000	10.03	n/a	n/a	1,000.00	5.0
INDEPENDENCE INV	039	FISV	S	26,050	52.21	n/a	n/a	1,042.00	4.0
LEHMAN PROPRIETARY TRAD	041	FMX	B	60,000	46.54	n/a	n/a	2,400.00	4.0
COUGAR TRADING	044	FOSL	S	5,000	34.17	n/a	7-May	250.00	5.0
EGS ASSOCIATES LP	091	FOSL	B	12,500	34.61	n/a	7-May	750.00	6.0
WHITE PINE CAPITAL	030	GGG	S	625	40.58	n/a	n/a	31.25	5.0
AMATURO	018	GIL	S	1,000	29.35	30-Apr	8-May	0.00	0.0
MILLER	025	GLW	B	25	25.83	n/a	7-May	0.00	0.0
AMATURO	018	GMO	S	1,000	8.25	n/a	n/a	0.00	0.0
MCCARTAN	028	GM	SS	500	20.17	29-Apr	9-May	0.00	0.0
INDEPENDENCE INV	039	GOOG	S	17,590	583.51	n/a	n/a	703.60	4.0
BUCK	015	GPYFS	B	2	7.85	n/a	n/a	0.00	0.0
BUCK	015	GPYGB	S	4	4.60	n/a	n/a	0.00	0.0
SYSTEMATIC FINANCIAL MGT	035	GW	B	15,000	7.45	n/a	n/a	562.50	3.8

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CROWLEY	061	HCGI	S	2,500	0.60	n/a	n/a	0.00	0.0
CAXTON PART	040	IBM	S	59,664	125.51	n/a	n/a	2,088.26	3.5
WHITE PINE CAPITAL	030	IFF	S	650	42.06	1-May	1-May	32.50	5.0
PAW PARTNERS	041	IMN	B	11,800	25.73	n/a	n/a	590.00	5.0
CATAPULT	040	ITG	B	5,000	41.30	n/a	n/a	250.00	5.0
STADIA CAPITAL	035	JCP	SS	25,000	43.91	4-Jan	9-May	1,000.00	4.0
MS PRINCIPAL STRATEGIES	041	JPM	B	25,000	45.42	8-May	8-May	1,250.00	5.0
WYPER CAPITAL	044	JPM	S	100,000	46.17	8-May	8-May	4,000.00	4.0
CROWLEY	061	JSVAX	S	1,049	18.47	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	KEG	S	1,700	16.10	14-Feb	9-May	85.00	5.0
NATIONAL BK OF CAN	031	LEH	S	10,000	43.79	1-Apr	14-Apr	400.00	4.0
EFSTATHIOU	044	LEH	S	200	43.18	1-Apr	14-Apr	0.00	0.0
AVESTA CAP	229	MET	S	50,000	61.96	n/a	n/a	2,500.00	5.0
CROWLEY	061	MIRWSB	S	1,000	19.63	n/a	n/a	0.00	0.0
INDEPENDENCE INV	039	MSFT	S	17,640	30.04	n/a	3-Apr	705.60	4.0
STG INVESTORS	041	MU	B	250,000	8.34	n/a	n/a	5,000.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER CAPITAL	038	MVL	B	40,000	34.80	n/a	n/a	2,400.00	6.0
ADAGE CAPITAL MGMT	030	M	B	100,000	24.04	7-Feb	9-May	4,000.00	4.0
COUGAR TRADING	044	M	B	5,000	23.90	7-Feb	9-May	250.00	5.0
INDEPENDENCE INV	039	NDAQ	S	18,440	38.12	n/a	n/a	737.60	4.0
PROSPECTOR PARTNERS LLC	036	NP	B	10,000	20.28	7-Apr	9-May	400.00	4.0
WHITE PINE CAPITAL	030	NWY	S	2,775	7.35	n/a	9-May	138.75	5.0
BULL PATH CAPITAL	044	OI	B	20,000	54.16	n/a	n/a	1,000.00	5.0
DELTEC ASSET MGMT.	040	OSK	B	3,300	39.81	n/a	n/a	165.00	5.0
BARR	096	PDFS	B	664	5.32	n/a	n/a	0.00	0.0
KACELA CAPITAL	034	PEP	S	8,000	66.95	n/a	n/a	320.00	4.0
WHITE PINE CAPITAL	030	PERY	S	700	25.06	n/a	n/a	35.00	5.0
BUCK	015	PM	S	2,000	52.60	n/a	n/a	0.00	0.0
CROWLEY	061	PNM	S	2,500	13.94	n/a	n/a	0.00	0.0
COUGAR TRADING	044	PSUN	B	5,000	10.88	n/a	9-May	250.00	5.0
WHITE PINE CAPITAL	030	PTIX	S	3,500	4.65	n/a	n/a	140.00	4.0
COUGAR TRADING	044	PVH	B	10,000	44.94	5-May	5-May	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SINCLAIR	031	QHHIE	B	20	3.10	n/a	n/a	0.00	0.0
COUGAR TRADING	044	RL	B	5,000	61.00	7-Feb	6-May	250.00	5.0
COUGAR TRADING	044	RL	SS	10,000	61.12	7-Feb	6-May	500.00	5.0
PROVIDENT INV COUNSEL	048	RL	S	48,032	60.56	7-Feb	6-May	2,401.60	5.0
HIGHBRIDGE CAPITAL	038	RVBD	SS	61,224	16.57	n/a	n/a	3,061.20	5.0
WHITE PINE CAPITAL	030	SMBL	S	1,350	8.51	n/a	n/a	67.50	5.0
BARR	096	SOAP	C	9,100	6.61	n/a	n/a	0.00	0.0
DIAMONDBACK CAP MGMT	232	SOV	S	100,000	8.61	n/a	n/a	5,000.00	5.0
WHITE PINE CAPITAL	030	STKL	S	1,725	5.81	n/a	n/a	86.25	5.0
COUGAR TRADING	044	TIF	B	10,000	45.26	14-Jan	25-Mar	500.00	5.0
BUCK CAPITAL MGMT	001	TJX	B	40,000	31.00	n/a	9-May	1,600.00	4.0
BUCK CAPITAL MGMT	001	TLB	B	20,000	7.54	17-Apr	9-May	800.00	4.0
WHITE PINE CAPITAL	030	UNT	S	575	73.30	20-Mar	1-May	28.75	5.0
MCCARTAN	028	UQM	S	1,500	2.47	n/a	n/a	0.00	0.0
LEDDY	035	UQM	B	4,000	2.33	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	WFMI	B	50,000	33.63	n/a	n/a	2,500.00	5.0
AVESTA CAP	229	WMT	S	100,000	56.67	13-May	13-May	5,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CENTURION GLOBAL MGMT LL	041	WMT	S	13,500	56.81	13-May	13-May	405.00	3.0
FIRST NY SEC/CHRIS	041	WMT	B	20,000	56.56	13-May	13-May	1,200.00	6.0
THIRD POINT MGMT	044	WMT	SS	100,000	56.52	13-May	13-May	4,000.00	4.0
SNYDER CAPITAL	038	WRNC	S	60,775	50.22	13-May	13-May	2,431.00	4.0
WAGONHOUND	048	WRNC	S	1,110	50.28	13-May	13-May	55.50	5.0
BARR	096	ZILG	B	3,000	4.00	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								93,699.96	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI291484)	048	CMCSK	S	600	21.47	n/a	n/a	18.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI290252)	048	CMCSK	S	1,000	21.47	n/a	n/a	30.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI290393)	048	CMCSK	S	10,800	21.47	n/a	n/a	324.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI290192)	048	CMCSK	S	200	21.47	n/a	n/a	6.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI291421)	048	CMCSK	S	100	21.47	n/a	n/a	3.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI291463)	048	CMCSK	S	5,600	21.47	n/a	n/a	168.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI292081)	048	CMCSK	S	100	21.47	n/a	n/a	3.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI291805)	048	CMCSK	S	300	21.47	n/a	n/a	9.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI293699)	048	CMCSK	S	800	21.47	n/a	n/a	24.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI290698)	048	CMCSK	S	300	21.47	n/a	n/a	9.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI291541)	048	CMCSK	S	3,000	21.47	n/a	n/a	90.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI291076)	048	CMCSK	S	400	21.47	n/a	n/a	12.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI290505)	048	CMCSK	S	1,900	21.47	n/a	n/a	57.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI290498)	048	CMCSK	S	1,200	21.47	n/a	n/a	36.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI291517)	048	CMCSK	S	600	21.47	n/a	n/a	18.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI291559)	048	CMCSK	S	25,900	21.47	n/a	n/a	777.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI291316)	048	CMCSK	S	600	21.47	n/a	n/a	18.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI294209)	048	CMCSK	S	2,800	21.47	n/a	n/a	84.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI290495)	048	CMCSK	S	5,000	21.47	n/a	n/a	150.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI293498)	048	CMCSK	S	400	21.47	n/a	n/a	12.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI293651)	048	CMCSK	S	400	21.47	n/a	n/a	12.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI290641)	048	CMCSK	S	700	21.47	n/a	n/a	21.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI292060)	048	CMCSK	S	700	21.47	n/a	n/a	21.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI291949)	048	CMCSK	S	12,700	21.47	n/a	n/a	381.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI250000)	048	CMCSK	S	1,000	21.47	n/a	n/a	30.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI291586)	048	CMCSK	S	300	21.47	n/a	n/a	9.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI290204)	048	CMCSK	S	600	21.47	n/a	n/a	18.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI293858)	048	CMCSK	S	22,400	21.47	n/a	n/a	672.00 3.0

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AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI238514)	048	CMCSK	S	6,700	21.47	n/a	n/a	201.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI292472)	048	CMCSK	S	1,500	21.47	n/a	n/a	45.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI280042)	048	CMCSK	S	11,800	21.47	n/a	n/a	354.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI292132)	048	CMCSK	S	1,800	21.47	n/a	n/a	54.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI290489)	048	CMCSK	S	1,900	21.47	n/a	n/a	57.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI293744)	048	CMCSK	S	1,000	21.47	n/a	n/a	30.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI290378)	048	CMCSK	S	700	21.47	n/a	n/a	21.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI292913)	048	CMCSK	S	200	21.47	n/a	n/a	6.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI290426)	048	CMCSK	S	100	21.47	n/a	n/a	3.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI293183)	048	CMCSK	S	1,800	21.47	n/a	n/a	54.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI290429)	048	CMCSK	S	100	21.47	n/a	n/a	3.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI294239)	048	CMCSK	S	500	21.47	n/a	n/a	15.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI290471)	048	CMCSK	S	2,600	21.47	n/a	n/a	78.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI290899)	048	CMCSK	S	2,200	21.47	n/a	n/a	66.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI290486)	048	CMCSK	S	1,000	21.47	n/a	n/a	30.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI290902)	048	CMCSK	S	500	21.47	n/a	n/a	15.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI290399)	048	CMCSK	S	4,000	21.47	n/a	n/a	120.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI290905)	048	CMCSK	S	500	21.47	n/a	n/a	15.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI290517)	048	CMCSK	S	1,700	21.47	n/a	n/a	51.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI291916)	048	CMCSK	S	2,900	21.47	n/a	n/a	87.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI293921)	048	CMCSK	S	2,600	21.47	n/a	n/a	78.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI290585)	048	CMCSK	S	400	21.47	n/a	n/a	12.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI291142)	048	CMCSK	S	1,600	21.47	n/a	n/a	48.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI294326)	048	CMCSK	S	6,500	21.47	n/a	n/a	195.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI290872)	048	CMCSK	S	8,800	21.47	n/a	n/a	264.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI294437)	048	CMCSK	S	1,300	21.47	n/a	n/a	39.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI291635)	048	CMCSK	S	500	21.47	n/a	n/a	15.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI290591)	048	CMCSK	S	300	21.47	n/a	n/a	9.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI291967)	048	CMCSK	S	1,300	21.47	n/a	n/a	39.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI290911)	048	CMCSK	S	900	21.47	n/a	n/a	27.00 3.0

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AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI290581)	048	CMCSK	S	600	21.47	n/a	n/a	18.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI290923)	048	CMCSK	S	1,100	21.47	n/a	n/a	33.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI291103)	048	CMCSK	S	200	21.47	n/a	n/a	6.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI290980)	048	CMCSK	S	1,600	21.47	n/a	n/a	48.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI291382)	048	CMCSK	S	32,900	21.47	n/a	n/a	987.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI290603)	048	CMCSK	S	200	21.47	n/a	n/a	6.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI291091)	048	CMCSK	S	300	21.47	n/a	n/a	9.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI291055)	048	CMCSK	S	1,400	21.47	n/a	n/a	42.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI291115)	048	CMCSK	S	100	21.47	n/a	n/a	3.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI291070)	048	CMCSK	S	200	21.47	n/a	n/a	6.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI290875)	048	CMCSK	S	500	21.47	n/a	n/a	15.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI290621)	048	CMCSK	S	3,700	21.47	n/a	n/a	111.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI290878)	048	CMCSK	S	21,900	21.47	n/a	n/a	657.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI290629)	048	CMCSK	S	3,500	21.47	n/a	n/a	105.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI234567)	048	CMCSK	S	200	21.47	n/a	n/a	6.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI291118)	048	CMCSK	S	1,100	21.47	n/a	n/a	33.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI290631)	048	CMCSK	S	400	21.47	n/a	n/a	12.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI290381)	048	CMCSK	S	1,700	21.47	n/a	n/a	51.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI291367)	048	CMCSK	S	7,900	21.47	n/a	n/a	237.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI290655)	048	CMCSK	S	9,500	21.47	n/a	n/a	285.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI290300)	048	CMCSK	S	19,000	21.47	n/a	n/a	570.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI291163)	048	CMCSK	S	9,700	21.47	n/a	n/a	291.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI290764)	048	CMCSK	S	1,100	21.47	n/a	n/a	33.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI290417)	048	CMCSK	S	5,100	21.47	n/a	n/a	153.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI291418)	048	CMCSK	S	1,200	21.47	n/a	n/a	36.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI290767)	048	CMCSK	S	10,600	21.47	n/a	n/a	318.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI291649)	048	CMCSK	S	3,800	21.47	n/a	n/a	114.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI291253)	048	CMCSK	S	1,000	21.47	n/a	n/a	30.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI290776)	048	CMCSK	S	26,100	21.47	n/a	n/a	783.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI291124)	048	CMCSK	S	100	21.47	n/a	n/a	3.00 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI291460)	048	CMCSK	S	2,600	21.47	n/a	n/a	78.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI290704)	048	CMCSK	S	15,400	21.47	n/a	n/a	462.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI290567)	048	CMCSK	S	20,200	21.47	n/a	n/a	606.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI290710)	048	CMCSK	S	500	21.47	n/a	n/a	15.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI290731)	048	CMCSK	S	2,600	21.47	n/a	n/a	78.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI290321)	048	CMCSK	S	800	21.47	n/a	n/a	24.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI291415)	048	CMCSK	S	400	21.47	n/a	n/a	12.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI294485)	048	CMCSK	S	1,000	21.47	n/a	n/a	30.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI291292)	048	CMCSK	S	3,900	21.47	n/a	n/a	117.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI291217)	048	CMCSK	S	2,100	21.47	n/a	n/a	63.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI291262)	048	CMCSK	S	4,600	21.47	n/a	n/a	138.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI290420)	048	CMCSK	S	5,600	21.47	n/a	n/a	168.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI291424)	048	CMCSK	S	300	21.47	n/a	n/a	9.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI291370)	048	CMCSK	S	16,100	21.47	n/a	n/a	483.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI291373)	048	CMCSK	S	1,100	21.47	n/a	n/a	33.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI291481)	048	CMCSK	S	2,100	21.47	n/a	n/a	63.00 3.0
AO,	05/12	NWQ INVESTMENT MGMT CO (NWQI291523)	048	CMCSK	S	1,100	21.47	n/a	n/a	33.00 3.0
AO,CXL	05/09	KNOTT PARTNERS (KNOTGS)	044	EL	B	50,000	47.87	7-May	7-May	2500.00 5.0
AO,CRT	05/09	KNOTT PARTNERS (KNOTGS)	044	EL	B	50,000	47.87	7-May	7-May	3000.00 6.0
AO,CXL	05/08	MAIRS AND POWER INV (MAIRGROWTH)	030	PFG	B	10,000	52.95	n/a	n/a	600.00 6.0
AO,CRT	05/08	MAIRS AND POWER INV (MAIRGROWTH)	030	PFG	B	10,000	52.95	n/a	n/a	500.00 5.0
AO,CXL	05/08	MCCARTAN (MCCARTAN)	028	VC	B	1,000	4.37	n/a	1-May	0.00 0.0
AO,CXL	05/08	MCCARTAN (MCCARTAN)	028	VC	B	1,200	4.37	n/a	1-May	0.00 0.0
AO,CRT	05/08	EMP ERROR (EMP ERROR)	099	VC	B	1,000	4.37	n/a	1-May	0.00 0.0
AO,CRT	05/08	EMP ERROR (EMP ERROR)	099	VC	B	1,200	4.37	n/a	1-May	0.00 0.0
AO,CXL	05/08	MCCARTAN (MCCARTAN)	028	VC	S	1,000	4.36	n/a	1-May	0.00 0.0
AO,CXL	05/08	MCCARTAN (MCCARTAN)	028	VC	S	1,200	4.36	n/a	1-May	0.00 0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	05/08	EMP ERROR (EMP ERROR)	099	VC	S	1,000	4.36	n/a	1-May	0.00 0.0
AO,CRT	05/08	EMP ERROR (EMP ERROR)	099	VC	S	1,200	4.36	n/a	1-May	0.00 0.0
AO,	05/12	TRELLUS PARTNERS LP (TRELMEER)	028	VC	S	5,695	4.81	n/a	1-May	170.85 3.0
AO,	05/12	TRELLUS PARTNERS LP (TRELGS)	028	VC	S	5,696	4.81	n/a	1-May	170.88 3.0
AO,	05/12	TRELLUS PARTNERS LP (TRELMAIN)	028	VC	S	50,000	4.81	n/a	1-May	1500.00 3.0
AO,	05/12	TRELLUS PARTNERS LP (TRELMAIN)	028	VC	S	88,609	4.81	n/a	1-May	2658.27 3.0

TOTAL (AO, CXL, CRT) :	17,356.00
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TOTAL (Trade Date):	93,699.96
TOTAL (AO, CXL, CRT):	17,356.00

TOTAL (RUN DATE) / NFS:	111,055.96
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Legend:

Õ: Employee Trades in Outside Accounts

ß: Non-BRG BCM Trades

Blue: Employee, Affiliate (BCM) and Proprietary Trades.

Red: Trades in stocks with same day Research/MRI.

Type: AO = As Of, CXL = Cancel, CRT = Corrected.

POTENTIAL ANALYST TRADE VIOLATION