

## **Daily Compliance Activity Report** Trade Date: 12/23/2011

**Potential ANALYST TRADE Violations: 0** Watch List ACTIVITY ALERT: 0

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	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
	WOODWAY FINANCIAL	031	AAPL	S	15	401.79	n/a	n/a	0.90	6.0
	WOODWAY FINANCIAL	031	ABB	S	250	18.66	n/a	n/a	15.00	6.0
	CATAPULT	040	ABD	В	1,245	9.81	n/a	n/a	49.80	4.0
	WOODWAY FINANCIAL	031	ABX	S	100	45.94	n/a	n/a	6.00	6.0
	WOODWAY FINANCIAL	031	ADP	S	75	54.20	n/a	n/a	4.50	6.0
	WOODWAY FINANCIAL	031	ALB	S	100	51.18	n/a	n/a	6.00	6.0
	IVORY CAPITAL	034	AMTD	В	25,000	15.55	n/a	n/a	1,250.00	5.0
ß	BUCK CAPITAL MGMT		ANF	s	20,000	48.54	n/a	17-Nov	non-brg	4.0
ß	BUCK CAPITAL MGMT		ANF	S	20,000	48.54	n/a	17-Nov	non-brg	4.0
	CATAPULT	040	ANF	В	325	48.92	n/a	17-Nov	13.00	4.0
	WOODWAY FINANCIAL	031	AON	S	50	47.05	n/a	n/a	3.00	6.0
	WOODWAY FINANCIAL	031	APA	S	40	90.73	n/a	22-Dec	2.40	6.0
	CATAPULT	040	ARG	В	615	79.74	n/a	12-Dec	24.60	4.0
	CATAPULT	040	ATI	В	436	47.98	n/a	28-Nov	17.44	4.0
	MTB INV ADV	034	AT	В	20,600	14.16	n/a	n/a	824.00	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
	TRELLUS PARTNERS LP	028	AXL	SS	7,600	9.76	n/a	31-Oct	228.00	3.0
f	MANNY I KORMAN	FID	BAC	В	30000	5.53	n/a	22-Dec	0.00	0.0
	CATAPULT	040	ВА	В	265	73.76	n/a	29-Nov	10.60	4.0
ß	BUCK CAPITAL MGMT		BBBY	В	20,000	57.26	n/a	n/a	non-brg	4.0
	PATTEN & PATTEN	025	BBY	S	150	23.24	n/a	n/a	7.50	5.0
	WOODWAY FINANCIAL	031	BTU	S	75	34.10	n/a	n/a	4.50	6.0
f	GAVIN N CADWALLADER	FID	BUD	В	35	59.67	n/a	10-Nov	0.00	0.0
	CATAPULT	040	CAS	В	1,260	9.34	n/a	n/a	50.40	4.0
	WOODWAY FINANCIAL	031	CAT	S	65	91.85	n/a	21-Dec	3.90	6.0
	CATAPULT	040	CBE	В	622	54.70	n/a	21-Oct	24.88	4.0
	CATAPULT	040	CMG	В	145	332.65	n/a	21-Oct	5.80	4.0
f	MANNY I KORMAN	FID	CMI	В	2000	88.08	n/a	26-Oct	0.00	0.0
	SANDLER O'NEILL ASSET	031	COF	S	21,782	43.00	n/a	22-Dec	1,089.10	5.0
	WOODWAY FINANCIAL	031	СОН	S	50	60.81	n/a	26-0ct	3.00	6.0
	WOODWAY FINANCIAL	031	COV	S	75	45.32	n/a	n/a	4.50	6.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
	CATAPULT	040	СРО	В	429	52.65	n/a	n/a	17.16	4.0
	WOODWAY FINANCIAL	031	CSCO	S	150	18.21	n/a	n/a	9.00	6.0
f	CICILY S BACKUS	FID	cvc	В	6000	14.69	n/a	n/a	0.00	0.0
f	LBP ENTERPRI SES INC	FID	CVC	В	3000	14.69	n/a	n/a	0.00	0.0
f	SNEJANA P GARFUNKEL	FID	cvc	В	1000	14.70	n/a	n/a	0.00	0.0
f	BARBARA S LEDDY	FID	CVGI	В	1000	9.54	n/a	n/a	0.00	0.0
f	JONATHAN RICHARD HAR	FID	CWTR	В	10000	1.06	n/a	n/a	0.00	0.0
f	MANNY I KORMAN	FID	С	В	13000	27.87	n/a	22-Dec	0.00	0.0
	MUHLENKAMP FUND	046	С	В	80,000	27.66	n/a	22-Dec	4,000.00	5.0
	PATTEN & PATTEN	025	DD	В	210	46.02	n/a	20-Dec	10.50	5.0
	WOODWAY FINANCIAL	031	DEO	S	60	86.11	n/a	n/a	3.60	6.0
f	MANNY I KORMAN	FID	DIS	В	3000	37.22	n/a	n/a	0.00	0.0
	WOODWAY FINANCIAL	031	DIS	S	150	37.36	n/a	n/a	9.00	6.0
В	BUCK CAPITAL MGMT		DKS	SS	50,000	36.49	n/a	16-Nov	non-brg	4.0
	CATAPULT	040	DNKN	В	2,558	24.61	n/a	n/a	102.32	4.0
	PATTEN & PATTEN	025	DOW	S	350	28.64	n/a	14-Dec	17.50	5.0
	CATAPULT	040	ЕСНО	В	880	16.80	n/a	n/a	35.20	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
	PATTEN & PATTEN	025	EEM	S	250	38.43	n/a	n/a	12.50	5.0
	PATTEN & PATTEN	025	EMR	S	200	46.00	n/a	n/a	10.00	5.0
	CATAPULT	040	FCN	В	615	43.59	n/a	n/a	24.60	4.0
	WOODWAY FINANCIAL	031	FCX	S	125	38.18	n/a	n/a	7.50	6.0
	CATAPULT	040	FDO	В	540	58.73	n/a	29-Sep	21.60	4.0
ß	BUCK CAPITAL MGMT		FINL	В	100,000	19.72	n/a	22-Dec	non-brg	4.0
	SURVEYOR CAPITAL	251	FINL	В	56,458	19.71	n/a	22-Dec	1,693.74	3.0
	CATAPULT	040	FLS	В	269	101.41	n/a	n/a	10.76	4.0
	CATAPULT	040	FMC	В	410	86.85	n/a	8-Dec	16.40	4.0
ß	BUCK CAPITAL MGMT		FOSL	SS	10,000	85.53	n/a	n/a	non-brg	4.0
	CATAPULT	040	FXCM	В	1,205	9.26	n/a	n/a	48.20	4.0
f	MANNY I KORMAN	FID	FXI	В	6000	35.27	n/a	n/a	0.00	0.0
	WOODWAY FINANCIAL	031	GIS	S	50	40.48	n/a	n/a	3.00	6.0
	WOODWAY FINANCIAL	031	GLW	S	500	13.32	n/a	12-Dec	30.00	6.0
	BNP PARIBAS SEC	040	GM	SS	30,000	20.63	n/a	2-Dec	1,500.00	5.0
	TROUBH PART	070	GM	SS	25,000	20.48	n/a	2-Dec	1,250.00	5.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
	WOODWAY FINANCIAL	031	GOOG	S	5	631.07	n/a	n/a	0.30	6.0
	CATAPULT	040	HAL	В	373	33.52	n/a	n/a	14.92	4.0
	CATAPULT	040	HD	В	653	42.01	n/a	8-Dec	26.12	4.0
	CATAPULT	040	HON	В	4	54.69	n/a	15-Dec	0.16	4.0
	CATAPULT	040	HRS	В	1,114	36.68	n/a	27-Oct	44.56	4.0
	CATAPULT	040	HSY	В	608	61.24	n/a	n/a	24.32	4.0
	WOODWAY FINANCIAL	031	IBM	S	30	184.27	n/a	n/a	1.80	6.0
	WOODWAY FINANCIAL	031	INTC	S	75	24.37	n/a	n/a	4.50	6.0
	CATAPULT	040	ITW	В	401	47.32	n/a	5-Dec	16.04	4.0
	WOODWAY FINANCIAL	031	ITW	S	75	47.66	n/a	5-Dec	4.50	6.0
	PATTEN & PATTEN	025	IYG	S	320	45.90	n/a	n/a	16.00	5.0
f	MANNY I KORMAN	FID	JCI	В	4000	30.43	n/a	21-Nov	0.00	0.0
	WOODWAY FINANCIAL	031	JEC	S	50	40.73	n/a	n/a	3.00	6.0
	WOODWAY FINANCIAL	031	JNJ	S	75	65.77	n/a	n/a	4.50	6.0
	WOODWAY FINANCIAL	031	JPM	S	100	33.37	n/a	22-Dec	6.00	6.0
	CATAPULT	040	KBR	В	480	28.37	n/a	n/a	19.20	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
ß	BUCK CAPITAL MGMT		KORS	В	25,000	27.11	n/a	n/a	non-brg	2.5
a	BUCK CAPITAL MGMT		KSS	SS	20,000	49.74	n/a	2-Dec	non-brg	4.0
	CATAPULT	040	LII	В	886	34.02	n/a	n/a	35.44	4.0
ß	BUCK CAPITAL MGMT		LIZ	В	100,000	8.21	n/a	7-0ct	non-brg	3.0
	CATAPULT	040	LLY	В	829	41.30	n/a	n/a	33.16	4.0
	KACELA CAPITAL	034	LOW	S	75 <b>,</b> 000	25.20	n/a	7-Dec	3,000.00	4.0
	ROSEDALE CAPITAL	046	LPX	S	2,100	8.16	n/a	7-Nov	63.00	3.0
	WOODWAY FINANCIAL	031	MCD	S	50	99.91	n/a	8-Dec	3.00	6.0
	WOODWAY FINANCIAL	031	MCK	S	75	78.57	n/a	n/a	4.50	6.0
	CATAPULT	040	MDR	В	960	11.96	n/a	n/a	38.40	4.0
	CATAPULT	040	МНК	В	554	59.64	n/a	n/a	22.16	4.0
	WOODWAY FINANCIAL	031	MMM	S	65	81.96	n/a	12-Dec	3.90	6.0
	WOODWAY FINANCIAL	031	МО	S	175	29.80	n/a	n/a	10.50	6.0
	CATAPULT	040	MRK	В	785	37.88	n/a	n/a	31.40	4.0
	WOODWAY FINANCIAL	031	MRK	S	100	37.80	n/a	n/a	6.00	6.0
	CATAPULT	040	MSA	В	594	33.96	n/a	n/a	23.76	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
ß	BUCK CAPITAL MGMT		MSMSBCM	С	2,435,694	97.51	n/a	n/a	non-brg	1.8
ß	BUCK CAPITAL MGMT		MSMSBCM	С	420,000	97.57	n/a	n/a	non-brg	7.8
ß	BUCK CAPITAL MGMT		MSMSBCM	SS	2,435,694	97.51	n/a	n/a	non-brg	0.0
ß	BUCK CAPITAL MGMT		MSMSEUR	SS	200,000	100.93	n/a	n/a	non-brg	8.1
ß	BUCK CAPITAL MGMT		MSMSRASH	С	1,339,900	99.91	n/a	n/a	non-brg	0.3
ß	BUCK CAPITAL MGMT		MSMSRASH	SS	1,297,589	99.91	n/a	n/a	non-brg	0.0
	CATAPULT	040	MSM	В	24	70.88	n/a	n/a	0.96	4.0
	DE SHAW	070	М	В	100,000	31.99	n/a	2-Dec	3,000.00	3.0
	WOODWAY FINANCIAL	031	NKE	S	75	96.56	n/a	21-Dec	4.50	6.0
	WOODWAY FINANCIAL	031	NOV	S	50	68.36	n/a	n/a	3.00	6.0
	WOODWAY FINANCIAL	031	NVS	S	50	56.79	n/a	n/a	3.00	6.0
	WOODWAY FINANCIAL	031	PEP	S	125	66.53	n/a	n/a	7.50	6.0
	WOODWAY FINANCIAL	031	PETM	S	95	51.81	n/a	n/a	5.70	6.0
	CATAPULT	040	PFE	В	1,279	21.69	n/a	n/a	51.16	4.0
	WOODWAY FINANCIAL	031	PG	S	75	66.59	n/a	16-Nov	4.50	6.0
	CATAPULT	040	PII	В	292	55.71	n/a	n/a	11.68	4.0
a	BUCK CAPITAL MGMT		PLCE	SS	50,000	53.48	n/a	22-Nov	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
CATAPULT	040	RHI	В	660	28.47	n/a	n/a	26.40	4.0
PATTEN & PATTEN	025	RSG	S	450	27.72	n/a	n/a	22.50	5.0
CATAPULT	040	SEE	В	600	16.97	n/a	2-Jun	24.00	4.0
BUCK CAPITAL MGMT		SIG	SS	20,000	43.29	n/a	n/a	non-brg	4.0
WOODWAY FINANCIAL	031	SLB	S	50	68.87	n/a	n/a	3.00	6.0
RIDGECREST INV MGMT LLC	028	SPY	SS	30,000	126.13	n/a	n/a	900.00	3.0
EPOCH INV MGMT	030	SSD	S	5,000	34.07	n/a	n/a	150.00	3.0
WOODWAY FINANCIAL	031	TEF	S	125	17.25	n/a	n/a	7.50	6.0
PATTEN & PATTEN	025	TEVA	S	325	41.73	n/a	22-Dec	16.25	5.0
WOODWAY FINANCIAL	031	TEVA	S	100	41.42	n/a	22-Dec	6.00	6.0
RAINIER INV MGMT	035	THOR	В	37,050	33.01	n/a	n/a	1,482.00	4.0
CATAPULT	040	TKR	В	352	38.36	n/a	n/a	14.08	4.0
WOODWAY FINANCIAL	031	TMO	S	110	45.58	n/a	n/a	6.60	6.0
WOODWAY FINANCIAL	031	TOT	S	150	50.41	n/a	n/a	9.00	6.0
BUCK CAPITAL MGMT		TРX	S	20.000	53 69	n/a	n/a	non-bra	4.0
CATAPULT	040		В	561	53.37	n/a	n/a	22.44	4.0
	CATAPULT  PATTEN & PATTEN  CATAPULT  BUCK CAPITAL MGMT  WOODWAY FINANCIAL  RIDGECREST INV MGMT LLC  EPOCH INV MGMT  WOODWAY FINANCIAL  PATTEN & PATTEN  WOODWAY FINANCIAL  RAINIER INV MGMT  CATAPULT  WOODWAY FINANCIAL  WOODWAY FINANCIAL  BUCK CAPITAL MGMT	CATAPULT 040  PATTEN & PATTEN 025  CATAPULT 040  BUCK CAPITAL MGMT  WOODWAY FINANCIAL 031  RIDGECREST INV MGMT LLC 028  EPOCH INV MGMT 030  WOODWAY FINANCIAL 031  PATTEN & PATTEN 025 WOODWAY FINANCIAL 031  RAINIER INV MGMT 035  CATAPULT 040  WOODWAY FINANCIAL 031  WOODWAY FINANCIAL 031  BUCK CAPITAL MGMT 031	CATAPULT 040 RHI  PATTEN & PATTEN 025 RSG  CATAPULT 040 SEE  BUCK CAPITAL MGMT SIG  WOODWAY FINANCIAL 031 SLB  RIDGECREST INV MGMT LLC 028 SPY  EPOCH INV MGMT 030 SSD  WOODWAY FINANCIAL 031 TEF  PATTEN & PATTEN 025 TEVA WOODWAY FINANCIAL 031 TEVA  RAINIER INV MGMT 035 THOR  CATAPULT 040 TKR  WOODWAY FINANCIAL 031 TMO  WOODWAY FINANCIAL 031 TMO  WOODWAY FINANCIAL 031 TOT  BUCK CAPITAL MGMT 031 TOT	CATAPULT 040 RHI B  PATTEN & PATTEN 025 RSG S  CATAPULT 040 SEE B  BUCK CAPITAL MGMT SIG SS  WOODWAY FINANCIAL 031 SLB S  RIDGECREST INV MGMT LLC 028 SPY SS  EPOCH INV MGMT 030 SSD S  WOODWAY FINANCIAL 031 TEF S  PATTEN & PATTEN 025 TEVA S WOODWAY FINANCIAL 031 TEVA S RAINIER INV MGMT 035 THOR B  CATAPULT 040 TKR B  WOODWAY FINANCIAL 031 TMO S  WOODWAY FINANCIAL 031 TMO S  WOODWAY FINANCIAL 031 TOT S  BUCK CAPITAL MGMT 031 TOT S	CATAPULT 040 RHI B 660  PATTEN & PATTEN 025 RSG S 450  CATAPULT 040 SEE B 600  BUCK CAPITAL MGMT SIG SS 20,000  WOODWAY FINANCIAL 031 SLB S 50  RIDGECREST INV MGMT LLC 028 SPY SS 30,000  EPOCH INV MGMT 030 SSD S 5,000  WOODWAY FINANCIAL 031 TEF S 125  PATTEN & PATTEN 025 TEVA S 325  WOODWAY FINANCIAL 031 TEVA S 100  RAINIER INV MGMT 035 THOR B 37,050  CATAPULT 040 TKR B 352  WOODWAY FINANCIAL 031 TMO S 110  WOODWAY FINANCIAL 031 TOT S 150  BUCK CAPITAL MGMT 031 TOT S 150	CATAPULT 040 RHI B 660 28.47  PATTEN & PATTEN 025 RSG S 450 27.72  CATAPULT 040 SEE B 600 16.97  BUCK CAPITAL MGMT SIG SS 20,000 43.29  WOODWAY FINANCIAL 031 SLB S 50 68.87  RIDGECREST INV MGMT LLC 028 SPY SS 30,000 126.13  EPOCH INV MGMT 030 SSD S 5,000 34.07  WOODWAY FINANCIAL 031 TEF S 125 17.25  PATTEN & PATTEN 025 TEVA S 325 41.73  WOODWAY FINANCIAL 031 TEVA S 100 41.42  RAINIER INV MGMT 035 THOR B 37,050 33.01  CATAPULT 040 TKR B 352 38.36  WOODWAY FINANCIAL 031 TMO S 110 45.58  WOODWAY FINANCIAL 031 TOT S 150 50.41  BUCK CAPITAL MGMT TPX S 20,000 53.69	CATAPULT 040 RHI B 660 28.47 n/a  PATTEN & PATTEN 025 RSG S 450 27.72 n/a  CATAPULT 040 SEE B 600 16.97 n/a  BUCK CAPITAL MGMT SIG SS 20,000 43.29 n/a  WOODWAY FINANCIAL 031 SLB S 50 68.87 n/a  RIDGECREST INV MGMT LLC 028 SPY SS 30,000 126.13 n/a  EPOCH INV MGMT 030 SSD S 5,000 34.07 n/a  WOODWAY FINANCIAL 031 TEF S 125 17.25 n/a  PATTEN & PATTEN 025 TEVA S 325 41.73 n/a  WOODWAY FINANCIAL 031 TEVA S 100 41.42 n/a  RAINIER INV MGMT 035 THOR B 37,050 33.01 n/a  RAINIER INV MGMT 035 THOR B 37,050 33.01 n/a  WOODWAY FINANCIAL 031 TMO S 110 45.58 n/a  WOODWAY FINANCIAL 031 TMO S 110 45.58 n/a  WOODWAY FINANCIAL 031 TOT S 150 50.41 n/a	CATAPULT 040 RHI B 660 28.47	CATAPULT 040 RHI B 660 28.47 n/a n/a 26.40  PATTEN 6 PATTEN 025 RSG S 450 27.72 n/a n/a 22.50  CATAPULT 040 SEE B 600 16.97 n/a 2-Jun 24.00  BUCK CAPITAL MGMT SIG SS 20,000 43.29 n/a n/a n/a non-brg  WOODWAY FINANCIAL 031 SLB S 50 68.87 n/a n/a n/a 900.00  EPOCH INV MGMT LLC 028 SPY SS 30,000 126.13 n/a n/a 900.00  EPOCH INV MGMT 030 SSD S 5,000 34.07 n/a n/a n/a 150.00  WOODWAY FINANCIAL 031 TEF S 125 17.25 n/a n/a n/a 7.50  PATTEN 6 PATTEN 025 TEVA S 325 41.73 n/a 22-Dec 6.00  RAINIER INV MGMT 035 THOR B 37,050 33.01 n/a n/a 1,482.00  CATAPULT 040 TKR B 35,000 34.07 n/a n/a 14.08  WOODWAY FINANCIAL 031 TEVA S 325 41.73 n/a 22-Dec 6.00  RAINIER INV MGMT 035 THOR B 37,050 33.01 n/a n/a 1,482.00  CATAPULT 040 TKR B 35,000 53.69 n/a n/a n/a 9.00  BUCK CAPITAL MGMT 031 TOT S 150 50.41 n/a n/a n/a 9.00

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
	CATAPULT	040	TYC	В	963	46.80	n/a	16-Nov	38.52	4.0
a	BUCK CAPITAL MGMT		ULTA	В	20,000	64.64	n/a	n/a	non-brg	4.0
	CATAPULT	040	VAC	В	2,934	17.28	n/a	n/a	117.36	4.0
	PATTEN & PATTEN	025	VWO	В	225	38.66	n/a	n/a	11.25	5.0
	WOODWAY FINANCIAL	031	VZ	S	100	39.63	n/a	n/a	6.00	6.0
	WOODWAY FINANCIAL	031	WAG	S	275	35.12	n/a	n/a	16.50	6.0
	CATAPULT	040	WBC	В	535	43.22	n/a	5-Dec	21.40	4.0
	CATAPULT	040	WCC	В	576	53.73	n/a	n/a	23.04	4.0
	SCOPUS FUND	041	WCN	SS	20,000	32.47	n/a	n/a	800.00	4.0
	CATAPULT	040	WMT	В	755	59.55	n/a	16-Nov	30.20	4.0
	WOODWAY FINANCIAL	031	WMT	S	25	59.90	n/a	16-Nov	1.50	6.0
	SASCO	033	WM	S	115,000	32.75	n/a	n/a	4,600.00	4.0
	WOODWAY FINANCIAL	031	WM	S	100	32.64	n/a	n/a	6.00	6.0
	WOODWAY FINANCIAL	031	XBI	S	45	65.56	n/a	n/a	2.70	6.0
	PATTEN & PATTEN	025	XLF	В	1,100	13.16	n/a	n/a	55.00	5.0
	WOODWAY FINANCIAL	031	XLK	S	300	25.38	n/a	n/a	18.00	6.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
WOODWAY FINANCIAL	031	XLU	S	175	35.82	n/a	n/a	10.50 6.0
WOODWAY FINANCIAL	031	XOM	S	50	84.89	n/a	n/a	3.00 6.0
CATAPULT	040	XPO	В	1,450	12.34	n/a	n/a	58.00 4.0

TOTAL (Trade Date): 27,543.28

## Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	n Comm.	¢/Shr.
AO, CRT	12/22	MTB INV ADV	034	CVGI	S	20,575	9.30	n/a	n/a	617.25	3.0
AO,CXL	12/22	MTB INV ADV	034	CVGI	S	20,575	9.30	n/a	n/a	1028.75	5.0
AO,CXL	12/21	FARALLON CAP MGMT	040	ORCL	В	250,000	25.39	n/a	n/a	10000.00	4.0
AO, CRT	12/21	FARALLON CAP MGMT	040	ORCL	В	250,000	25.39	n/a	n/a	7500.00	3.0
AO, CRT	12/22	EGS ASSOCIATES LP	091	PVH	В	7,000	68.83	n/a	2-Dec	420.00	6.0
AO, CXL	12/22	EGS ASSOCIATES LP	091	PVH	В	7,000	68.83	n/a	2-Dec	350.00	5.0
AO,CRT	12/19	RIDGECREST INV MGMT LLC	028	QQQ	SS	10,000	54.39	n/a	n/a	300.00	3.0
AO,CXL	12/19	RIDGECREST INV MGMT LLC	028	QQQ	SS	10,000	54.39	n/a	n/a	500.00	5.0

TOTAL	(RUN DATE) / NFS:	24,501.78
	(Trade Date): (AO, CXL, CRT):	27,543.28 -3,041.50

## BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
Type	Date	ACCOUNT	SAUDOT	B/ S	Shares	FIICE	MKI Keseaich	COMMIT. 4/ SITE.

MRI Securities with Trade Activity on 23-Dec. NONE

MRI Securities without Trade Activity on 23-Dec. NONE

BRG comm. as a % of BCM Total Comm. paid.

T-Date = 0%

YTD = 2%

## Legend:

O: Employee Trades in Outside Accounts

ß: Non-BRG BCM Trades

[i]: Initiation of Coverage

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

Watch List Trades

f: Employee Trades (Fidelity)