



# Daily Compliance Activity Report

Trade Date: 02/06/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAPITAL GROWTH MGMT.	241	ACI	B	17,300	48.65	n/a	n/a	865.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AEO</b>	<b>S</b>	<b>1,000,000</b>	<b>20.92</b>	<b>5-Feb</b>	<b>5-Feb</b>	<b>40,000.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>		<b>AEO</b>	<b>B</b>	<b>25,032</b>	<b>21.49</b>	<b>5-Feb</b>	<b>5-Feb</b>	<b>non-brg</b>	<b>1.0</b>
COUGAR TRADING	044	AEO	B	10,000	21.47	5-Feb	5-Feb	500.00	5.0
COUGAR TRADING	044	AEO	S	25,000	20.49	5-Feb	5-Feb	1,250.00	5.0
STRAUSS ASSET MGMT	040	AERO	B	4,262	5.50	n/a	n/a	127.86	3.0
CENTURION GLOBAL MGMT LL	041	AMT	B	20,500	37.67	n/a	n/a	615.00	3.0
COUGAR TRADING	044	ANN	B	45,000	24.42	11-Jan	4-Feb	2,250.00	5.0
MERRILL ASSET	032	ANN	S	523,400	24.20	11-Jan	4-Feb	23,553.00	4.5
SAC TRADING HOWARD	038	ANN	B	255,500	24.21	11-Jan	4-Feb	12,775.00	5.0
ASCEND PARTNERS	033	AN	C	1,900	15.06	n/a	25-Jan	95.00	5.0
COUGAR TRADING	044	ARO	B	5,000	26.20	29-Nov	4-Feb	250.00	5.0
AVESTA CAP	229	AVP	B	25,000	38.76	5-Feb	5-Feb	1,250.00	5.0
BALYASNY ASSET MGMT	044	BA	SS	25,000	79.76	n/a	n/a	1,250.00	5.0
PRINCIPLE CAPITAL	040	BID	B	34,700	32.37	n/a	n/a	1,041.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BJ</b>	<b>B</b>	<b>20,000</b>	<b>31.69</b>	<b>n/a</b>	<b>27-Jul</b>	<b>800.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BKS</b>	<b>B</b>	<b>20,000</b>	<b>30.22</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		BONT	B	50,000	6.60	4-Jan	4-Feb	non-brg	4.0
METROPOLITAN CAPITAL	044	BWS	B	22,400	15.28	n/a	n/a	1,113.00	4.8
BUCK CAPITAL MGMT		CACH	S	10,000	11.58	n/a	n/a	non-brg	4.0
MKT MAKER	099	CLMS	B	200	22.02	29-Jan	29-Jan	0.00	0.0
NOMURA CAPITAL	045	CMCSK	S	5,600	17.71	n/a	n/a	280.00	5.0
CASTLE ARK	031	CME	S	13,830	521.31	n/a	6-Feb	829.80	6.0
NATIONAL BK OF CAN	031	CME	B	2,000	483.66	n/a	6-Feb	80.00	4.0
MERRILL ASSET	032	CNB	B	50,400	14.04	n/a	n/a	2,268.00	4.5
BUCK CAPITAL MGMT		COH	C	50,000	29.98	24-Oct	24-Jan	non-brg	2.0
BUCK CAPITAL MGMT		COH	C	50,000	30.00	24-Oct	24-Jan	non-brg	4.0
THIRD COAST CAPITAL	035	COH	B	12,500	30.68	24-Oct	24-Jan	625.00	5.0
BUCK CAPITAL MGMT		COST	C	50,000	64.94	n/a	27-Jul	non-brg	4.0
BEAR STEARNS ASSET MGMT.	033	CROX	B	75,000	33.20	n/a	n/a	3,000.00	4.0
NOMURA CAPITAL	045	DAL	S	5,600	18.35	n/a	n/a	280.00	5.0
BUCK CAPITAL MGMT		DIA	C	90,000	123.49	n/a	n/a	non-brg	1.0
GAULT	063	DIG	S	1,000	81.12	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		DVN	S	30,000	85.68	14-Jan	28-Jan	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		DVN	S	45,300	87.02	14-Jan	28-Jan	non-brg	4.0
WHEELER	008	DWSN	B	1,000	49.75	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		EOG	SS	10,000	88.28	n/a	n/a	non-brg	4.0
MERRILL ASSET	032	FHN	B	19,400	19.18	n/a	n/a	873.00	4.5
CRAMER ROSENTHAL/SCOTT	012	FIS	B	338,000	42.79	n/a	n/a	13,520.00	4.0
GEORGE WEISS	034	FOR	S	15,000	25.55	n/a	n/a	600.00	4.0
GRUSS CAPITAL	045	FOR	B	5,000	24.28	n/a	n/a	200.00	4.0
MAGUIRE	090	FXERO	B	15	3.20	n/a	n/a	0.00	0.0
MAGUIRE	090	FXP	B	1,000	96.88	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	F	B	500,000	6.40	n/a	4-Feb	15,000.00	3.0
MORGAN BANK /JPM	012	GE	S	53,000	34.07	n/a	n/a	1,590.00	3.0
⌘ BUCK CAPITAL MGMT		GIL	B	20,000	37.93	22-Jan	31-Jan	non-brg	4.0
COUGAR TRADING	044	GPS	B	5,000	18.85	n/a	4-Feb	250.00	5.0
KORMAN	003	GS	S	500	188.26	21-Sep	22-Jan	0.00	0.0
⌘ BUCK CAPITAL MGMT		GT	SS	20,000	23.96	n/a	n/a	non-brg	4.0
COUGAR TRADING	044	GYMB	B	5,000	37.39	n/a	4-Feb	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SARAS CAPITAL	038	HAR	SS	25,000	40.06	14-Jan	6-Feb	1,250.00	5.0
SARAS CAPITAL	038	HAR	S	5,000	39.98	14-Jan	6-Feb	250.00	5.0
⌘ BUCK CAPITAL MGMT		HBI	C	63,520	24.30	n/a	n/a	non-brg	4.0
MAGUIRE	090	HDB	SS	1,000	114.90	n/a	n/a	0.00	0.0
MAGUIRE	090	IBN	SS	1,000	57.55	n/a	n/a	0.00	0.0
ASCEND PARTNERS	033	INTC	B	60,000	20.10	n/a	n/a	3,000.00	5.0
WHEELER	008	IUVET	B	30	3.09	n/a	n/a	0.00	0.0
WHEELER	008	IVGN	S	3,000	87.42	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		IWM	C	160,000	70.37	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		JCP	B	100,000	43.72	4-Jan	4-Feb	non-brg	4.0
⌘ BUCK CAPITAL MGMT		JCP	C	80,000	45.65	4-Jan	4-Feb	non-brg	4.0
METROPOLITAN CAPITAL	044	JCP	B	9,400	43.62	4-Jan	4-Feb	470.00	5.0
SANDLER O'NEILL ASSET	031	JPM	B	24,700	43.41	17-Jan	22-Jan	1,235.00	5.0
THE JAY GOLDMAN	034	JWN	SS	10,000	36.76	20-Nov	4-Feb	400.00	4.0
PILOT ROCK	028	KLAC	S	102,000	41.67	n/a	n/a	4,080.00	4.0
BUCK CAPITAL MGMT	001	KMX	SS	50,000	20.45	n/a	10-Jan	2,000.00	4.0
CENTURION GLOBAL MGMT LL	041	KO	B	5,300	57.74	n/a	n/a	159.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	KSS	B	143,500	43.12	4-Jan	4-Feb	5,740.00	4.0
Ⓐ BUCK CAPITAL MGMT		KSS	C	225,000	43.59	4-Jan	4-Feb	non-brg	4.0
Ⓐ BUCK CAPITAL MGMT		KSS	C	75,000	43.96	4-Jan	4-Feb	non-brg	4.0
COUGAR TRADING	044	KSS	B	35,000	43.42	4-Jan	4-Feb	1,750.00	5.0
COUGAR TRADING	044	KSS	S	5,000	43.59	4-Jan	4-Feb	250.00	5.0
JP MORGAN VENTURES	046	KSS	C	32,000	42.65	4-Jan	4-Feb	1,600.00	5.0
SAC TRADING HOWARD	038	KSS	B	30,000	42.75	4-Jan	4-Feb	1,500.00	5.0
SIGMA CAPITAL ASSOCIATES	237	KSS	B	50,000	43.69	4-Jan	4-Feb	2,500.00	5.0
THE JAY GOLDMAN	034	KSS	B	10,000	42.70	4-Jan	4-Feb	400.00	4.0
LISTED ERR	099	KSS	B	5,000	43.57	4-Jan	4-Feb	0.00	0.0
LISTED ERR	099	KSS	SS	5,000	43.59	4-Jan	4-Feb	0.00	0.0
DAVID J GREEN & CO	040	KSU	S	57,480	36.97	n/a	n/a	2,299.20	4.0
DGLN	040	KSU	S	200	36.97	n/a	n/a	8.00	4.0
ASCEND PARTNERS	033	KVA	S	25,000	27.45	n/a	n/a	1,250.00	5.0
TRUSTCO/SUNTRUST	040	LII	S	8,200	36.72	n/a	n/a	246.00	3.0
BALYASNY ASSET MGMT	044	LIZ	SS	30,000	20.50	n/a	28-Jan	1,500.00	5.0
BENCHMARK	028	LOOP	B	15,000	12.22	n/a	n/a	750.00	5.0
LEHMAN PROPRIETARY TRAD	041	LPX	S	40,000	13.01	30-Oct	6-Feb	1,600.00	4.0
Ⓐ BUCK CAPITAL MGMT		LTD	C	180,000	18.19	n/a	4-Feb	non-brg	4.0
GRISANTTI BROWN & PARTNER	048	LVLIT	S	160,000	3.23	24-Oct	4-Jan	4,800.00	3.0
MAGUIRE	090	MAG	S	21,000	3.50	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>BARR</b>	<b>096</b>	<b>MAG</b>	<b>S</b>	<b>16,000</b>	<b>3.39</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MIPS</b>	<b>S</b>	<b>80,000</b>	<b>4.02</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
DALTON GREINER	012	MLI	B	14,665	28.81	5-Feb	5-Feb	733.25	5.0
SAXON WOODS ADVISORS	038	MNC	S	10,000	11.11	n/a	n/a	500.00	5.0
NATIONAL BK OF CAN	031	MTB	SS	10,000	88.21	n/a	n/a	400.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>MVRX</b>	<b>C</b>	<b>25,000</b>	<b>146.13</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>14.6</b>
<b>MAGUIRE</b>	<b>090</b>	<b>MZZ</b>	<b>B</b>	<b>1,000</b>	<b>63.36</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>M</b>	<b>S</b>	<b>600,000</b>	<b>24.02</b>	<b>7-Feb</b>	<b>4-Feb</b>	<b>24,000.00</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>M</b>	<b>S</b>	<b>200,000</b>	<b>23.97</b>	<b>7-Feb</b>	<b>4-Feb</b>	<b>non-brg</b>	<b>4.0</b>
COUGAR TRADING	044	M	B	10,000	25.68	7-Feb	4-Feb	500.00	5.0
COUGAR TRADING	044	M	SS	15,000	24.52	7-Feb	4-Feb	750.00	5.0
COUGAR TRADING	044	M	S	35,000	25.38	7-Feb	4-Feb	1,750.00	5.0
IRON HORSE CAPITAL MGMT	038	M	S	15,000	25.57	7-Feb	4-Feb	750.00	5.0
JP MORGAN VENTURES	046	M	S	25,000	24.81	7-Feb	4-Feb	1,250.00	5.0
MERRILL LYNCH STRATEGICI	034	NKE	B	18,500	60.73	n/a	n/a	1,110.00	6.0
INDEPENDENCE INV	039	NOK	S	168,900	34.94	n/a	n/a	6,756.00	4.0
<b>CATTANI</b>	<b>041</b>	<b>NOK</b>	<b>B</b>	<b>200</b>	<b>35.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>OIH</b>	<b>SS</b>	<b>45,000</b>	<b>157.84</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>LEDDY</b>	<b>035</b>	<b>PDXC</b>	<b>B</b>	<b>1,200</b>	<b>6.18</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE CAPITAL	038	PKG	B	50,000	23.99	23-Jan	23-Jan	2,500.00	5.0
BACKBAY	041	PLCE	B	12,500	18.15	10-Jan	4-Feb	625.00	5.0
LUCHANSKY	036	PLCE	S	150	18.83	10-Jan	4-Feb	0.00	0.0
MKT MAKER	099	PLCE	B	12,500	17.94	10-Jan	4-Feb	0.00	0.0
MKT MAKER	099	PLCE	S	12,500	17.84	10-Jan	4-Feb	0.00	0.0
FIRST NEW YORK LEDDY	035	PSUN	S	15,000	11.55	n/a	4-Feb	600.00	4.0
KORMAN	003	QJPNJ	B	50	3.80	n/a	n/a	0.00	0.0
KORMAN	003	QJPNK	B	50	7.20	n/a	n/a	0.00	0.0
FIRST NEW YORK LEDDY	035	Q	B	30,000	5.66	n/a	n/a	1,800.00	6.0
GALLEON MGMT LP	033	RAH	SS	10,000	57.73	n/a	n/a	500.00	5.0
NEW JERSEY DIV OF INV.	220	RHI	S	40,000	25.93	n/a	n/a	1,600.00	4.0
BUCK CAPITAL MGMT	001	RL	S	113,003	63.36	7-Feb	1-Feb	4,520.12	4.0
⌘ BUCK CAPITAL MGMT		RL	SS	50,000	62.97	7-Feb	1-Feb	non-brg	1.0
⌘ BUCK CAPITAL MGMT		RL	S	20,000	61.32	7-Feb	1-Feb	non-brg	2.0
⌘ BUCK CAPITAL MGMT		RL	S	250,000	61.83	7-Feb	1-Feb	non-brg	4.0
⌘ BUCK CAPITAL MGMT		RL	S	30,000	61.36	7-Feb	1-Feb	non-brg	2.0
⌘ BUCK CAPITAL MGMT		RL	S	70,000	62.64	7-Feb	1-Feb	non-brg	4.0
HUNTER GLOBAL INVESTOR	067	RL	SS	50,000	63.02	7-Feb	1-Feb	2,500.00	5.0
TRELLUS PARTNERS LP	028	RL	SS	40,000	61.40	7-Feb	1-Feb	2,000.00	5.0
⌘ BUCK CAPITAL MGMT		RTH	C	124,000	92.03	n/a	n/a	non-brg	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		RTH	C	50,000	91.83	n/a	n/a	non-brg	2.0
BACKBAY	041	SBH	B	12,500	7.47	n/a	n/a	625.00	5.0
⌘ BUCK CAPITAL MGMT		SDS	S	68,000	63.64	n/a	n/a	non-brg	4.0
KENNEDY CAPITAL	046	SIAL	S	36,750	49.84	6-Nov	24-Jan	1,470.00	4.0
MAGUIRE	090	SKF	B	1,000	105.95	n/a	n/a	0.00	0.0
SYSTEMATIC FINANCIAL MGT	035	SNA	S	10,000	50.79	n/a	n/a	375.00	3.8
GALLEON MGMT LP	033	SPWR	S	2,000	61.93	n/a	n/a	100.00	5.0
⌘ BUCK CAPITAL MGMT		SPY	C	90,000	134.72	n/a	n/a	non-brg	1.0
GRISANTI BROWN & PARTNER	048	SPY	C	11,000	134.94	n/a	n/a	550.00	5.0
SENECA CAPITAL LP NY	028	SPY	B	42,000	134.89	n/a	n/a	2,100.00	5.0
TRUSTCO/SUNTRUST	040	SSI	S	26,300	12.30	4-Jan	4-Feb	789.00	3.0
MCCARTAN	028	SUNH	SS	200	17.20	n/a	n/a	0.00	0.0
EMP ERROR	099	SUNH	B	200	17.55	n/a	n/a	0.00	0.0
T. ROWE PRICE	033	S	B	49,800	9.89	n/a	n/a	1,494.00	3.0
⌘ BUCK CAPITAL MGMT		TEL	SS	120,000	34.77	n/a	n/a	non-brg	4.0
BRANDWINE	028	TGT	B	3,000	52.59	n/a	27-Jul	135.00	4.5
⌘ BUCK CAPITAL MGMT		TGT	C	225,000	52.98	n/a	27-Jul	non-brg	4.0
COUGAR TRADING	044	TIF	B	10,000	38.95	14-Jan	17-Jan	500.00	5.0



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COUGAR TRADING	044	TIF	SS	10,000	37.50	14-Jan	17-Jan	500.00	5.0
CSFB GLOBAL PROPRIETARY	041	TIN	S	20,000	18.86	6-Feb	6-Feb	1,000.00	5.0
GEORGE WEISS	034	TIN	S	50,000	18.26	6-Feb	6-Feb	2,000.00	4.0
THE JAY GOLDMAN	034	TIN	B	15,000	18.52	6-Feb	6-Feb	600.00	4.0
XYLEM GLOBAL	091	TIN	S	11,100	18.85	6-Feb	6-Feb	555.00	5.0
SYSTEMATIC FINANCIAL MGT	035	TJX	S	75,000	31.27	21-Sep	4-Feb	2,812.50	3.8
BRANDWINE	028	TRV	B	2,000	47.70	n/a	n/a	90.00	4.5
CAPITAL GROWTH MGMT.	241	TUP	B	50,000	36.48	n/a	n/a	2,500.00	5.0
BRANDWINE	028	TXT	B	2,400	55.36	n/a	n/a	108.00	4.5
<b>CATTANI</b>	<b>041</b>	<b>TXT</b>	<b>S</b>	<b>100</b>	<b>54.99</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BRANDWINE	028	T	B	7,600	36.88	n/a	4-Jan	342.00	4.5
GOLDMAN SACHS ASSET MGMT	044	T	S	70,000	36.41	n/a	4-Jan	2,800.00	4.0
BRANDWINE	028	UNH	B	2,000	49.50	n/a	n/a	90.00	4.5
<b>BUCK CAPITAL MGMT</b>		<b>URBN</b>	<b>B</b>	<b>116,400</b>	<b>26.65</b>	<b>3-Jan</b>	<b>4-Feb</b>	<b>non-brg</b>	<b>2.0</b>
<b>BUCK CAPITAL MGMT</b>		<b>URBN</b>	<b>B</b>	<b>22,500</b>	<b>27.53</b>	<b>3-Jan</b>	<b>4-Feb</b>	<b>non-brg</b>	<b>1.0</b>
<b>BUCK CAPITAL MGMT</b>		<b>URBN</b>	<b>B</b>	<b>280,100</b>	<b>27.10</b>	<b>3-Jan</b>	<b>4-Feb</b>	<b>non-brg</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>		<b>URBN</b>	<b>B</b>	<b>353,640</b>	<b>27.07</b>	<b>3-Jan</b>	<b>4-Feb</b>	<b>non-brg</b>	<b>1.0</b>
<b>BUCK CAPITAL MGMT</b>		<b>URBN</b>	<b>B</b>	<b>50,000</b>	<b>27.60</b>	<b>3-Jan</b>	<b>4-Feb</b>	<b>non-brg</b>	<b>4.0</b>
NATIONAL BK OF CAN	031	USB	B	10,000	32.09	n/a	n/a	400.00	4.0
BRANDWINE	028	UTX	B	2,100	72.38	n/a	n/a	94.50	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	VFC	S	20,000	77.54	n/a	n/a	800.00	4.0
CATTANI	041	WBC	S	100	41.87	n/a	12-Dec	0.00	0.0
BRANDWINE	028	WB	B	7,100	34.74	n/a	n/a	319.50	4.5
BRANDWINE	028	WFC	B	5,600	30.58	n/a	n/a	252.00	4.5
NATIONAL BK OF CAN	031	WFC	SS	30,000	29.96	n/a	n/a	1,200.00	4.0
GOLDMAN SACHS ASSET MGMT	044	WMI	B	70,000	32.60	n/a	n/a	2,800.00	4.0
JP MORGAN VENTURES	046	WMT	B	10,000	49.55	n/a	5-Feb	500.00	5.0
BRANDWINE	028	WM	B	7,500	17.87	n/a	n/a	337.50	4.5
MISSOURI VALLEY PART	046	WTSLA	B	90,345	2.95	n/a	n/a	2,710.35	3.0
CAXTON PART	040	XOM	S	58,237	81.48	n/a	n/a	2,038.31	3.5
BUCK CAPITAL MGMT		XTO	SS	10,000	51.06	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	ZQK	B	100,000	8.77	5-Feb	5-Feb	4,000.00	4.0
TOTAL (Trade Date) :								259,349.89	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	02/04	SAB CAPITAL	034	ANF	B	35,000	79.47	10-Jan	4-Feb	1750.00 5.0
AO,CXL	02/04	SAB CAPITAL	034	ANF	B	35,000	79.47	10-Jan	4-Feb	1750.00 5.0
AO,CRT	02/04	SAB CAPITAL	034	ARO	B	75,000	27.70	29-Nov	4-Feb	3750.00 5.0
AO,CXL	02/04	SAB CAPITAL	034	ARO	B	75,000	27.70	29-Nov	4-Feb	3750.00 5.0
AO,CRT	02/01	PROSPECTOR PARTNERS LLC	036	COP	B	500	80.11	n/a	n/a	20.00 4.0
AO,CXL	02/01	PROSPECTOR PARTNERS LLC	036	COP	B	500	80.11	n/a	n/a	20.00 4.0
AO,CXL	02/05	LEHMAN PROPRIETARY TRAD	041	LPX	S	50,000	13.76	30-Oct	6-Feb	2500.00 5.0
AO,CRT	02/05	LEHMAN PROPRIETARY TRAD	041	LPX	S	50,000	13.76	30-Oct	6-Feb	2000.00 4.0
AO,CRT	02/04	SAB CAPITAL	034	LTD	B	390,000	18.47	n/a	4-Feb	19500.00 5.0
AO,CXL	02/04	SAB CAPITAL	034	LTD	B	390,000	18.47	n/a	4-Feb	19500.00 5.0
AO,	02/05	ROTHSCHILD ASSET	040	MTW	S	1,400	39.55	n/a	n/a	63.00 4.5
AO,CXL	02/05	MCCARTAN	028	SUNH	SS	200	17.27	n/a	n/a	0.00 0.0
AO,CRT	02/05	EMP ERROR	099	SUNH	SS	200	17.27	n/a	n/a	0.00 0.0

**TOTAL (AO, CXL, CRT) :****-437.00**

TOTAL (Trade Date) :

259,349.89

TOTAL (AO, CXL, CRT) :

-437.00

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TOTAL (RUN DATE) / NFS:

258,912.89

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MRI Securities with Trade Activity on 6-Feb.

TIN

MRI Securities without Trade Activity on 6-Feb.

APC, PAG

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

T-Date = 42%

YTD = 27%

**Legend:**

**Õ: 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**