

## **Daily Compliance Activity Report**

Trade Date: 06/25/2008

## **POTENTIAL ANALYST TRADE VIOLATIONS: 1**

Account	RR #	Symbol	B/S	3	Shares	Price	MRI	Research	Comm.¢	S/Shr.
MENCKE	055	ACGY		S	75	22.61	n/a	n/a	0.00	0.0
SINCLAIR	031	ADWJJ	В		13	7.30	n/a	n/a	0.00	0.0
SYSTEMATIC FINANCIAL MGT	035	AEO	В		51,000	16.28	6-Mar	6-Jun	1,912.50	3.8
BUCK CAPITAL MGMT	001	ANF	В		10,000	66.87	10-Apr	6–Jun	400.00	4.0
KORMAN	003	ANN		SS	3,000	25.25	14-Mar	22-May	0.00	0.0
ROTHSCHILD ASSET	040	ANR		S	10,530	90.56	n/a	n/a	473.85	4.5
SINCLAIR	031	APCKT	В		25	1.35	n/a	n/a	0.00	0.0
CATAPULT	040	APD		S	25,000	101.49	n/a	23-Jun	1,250.00	5.0
DIAMONDBACK CAP MGMT	232	APD	В		7,000	102.24	n/a	23-Jun	350.00	5.0
DAVIDSON KEMPNER ADVISOR	040	ARO		SS	47,800	32.52	28-Apr	6-Jun	2,390.00	5.0
N STRATTON	014	BAC		SS	182	27.08	n/a	16-Jun	0.00	0.0
TRELLUS PARTNERS LP	028	BWA		SS	15,000	48.13	10-Jun	10-Jun	750.00	5.0
N STRATTON	014	CFC	В		1,000	4.71	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	CHL	В		5,600	69.00	n/a	n/a	224.00	4.0
TRELLUS PARTNERS LP	028	СОН	В		20,000	30.89	4-Apr	23-Apr	1,000.00	5.0

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Account	RR #	Symbol	B/S	Share	es Price	MRI	Research	Comm.	\$/Shr.	
STRAUSS ASSET MGMT	040	CRNT	В	15,000	8.33	n/a	n/a	600.00	4.0	
CRAMER ROSENTHAL/SCOTT	012	DBRN	S	6,400	13.86	n/a	n/a	256.00	4.0	
FRONTPOINT CHRIS C	041	DHR	В	3,800	79.74	n/a	n/a	152.00	4.0	
BUCK CAPITAL MGMT	001	DKS	В	20,000	19.65	n/a	25-Jun	800.00	4.0	
CRAMER ROSENTHAL/SCOTT	012	DLTR	S	4,100	33.74	n/a	5-Jun	164.00	4.0	
COUGAR TRADING	044	DRI	5	15,000	33.42	n/a	25-Jun	750.00	5.0	
SIGMA CAPITAL ASSOCIATES	237	DRI	5	25,000	33.38	n/a	25-Jun	1,250.00	5.0	
NOMURA CAPITAL	045	GETIZ	S	1,419	26.86	n/a	n/a	70.95	5.0	
SCUDDER HEDGE	034	GLW	S	4,000	25.51	n/a	23-Jun	160.00	4.0	
TRUST CO/COWEN/CALF.	040	GM	С	43,100	13.38	24-Jun	24-Jun	1,724.00	4.0	
WAGONHOUND/NIC	048	GM	С	20,975	13.19	24-Jun	24-Jun	839.00	4.0	
SCODIIS FIIND	0.4.1	CPT	c	:	1 22 23	10Tun	10Tun	500 00	5 0	
TRELLUS PARTNERS LP	028	GPI				10-Jun	10-Jun	1,250.00	5.0	
STERLING JOHNSTON	035	GYMB	S	78,400	42.64	3-Jun	6-Jun	3,136.00	4.0	
MS PRINCIPAL STRATEGIES	041	HBAN	S	43,435	6.27	n/a	n/a	2,171.75	5.0	
N STRATTON	014	HIBB	S	ss 200	23.75	n/a	n/a	0.00	0.0	
FRIESS MGMT	033	JCG	В	195,700	34.82	n/a	30-May	7,828.00	4.0	
	STRAUSS ASSET MGMT  CRAMER ROSENTHAL/SCOTT  FRONTPOINT CHRIS C  BUCK CAPITAL MGMT  CRAMER ROSENTHAL/SCOTT  COUGAR TRADING SIGMA CAPITAL ASSOCIATES  NOMURA CAPITAL  SCUDDER HEDGE  TRUST CO/COWEN/CALF. WAGONHOUND/NIC  SCOPUS FUND TRELLUS PARTNERS LP  STERLING JOHNSTON  MS PRINCIPAL STRATEGIES  N STRATTON	STRAUSS ASSET MGMT 040  CRAMER ROSENTHAL/SCOTT 012  FRONTPOINT CHRIS C 041  BUCK CAPITAL MGMT 001  CRAMER ROSENTHAL/SCOTT 012  COUGAR TRADING 044 SIGMA CAPITAL ASSOCIATES 237  NOMURA CAPITAL 045  SCUDDER HEDGE 034  TRUST CO/COWEN/CALF. 040 WAGONHOUND/NIC 048  SCOPUS FUND 041 TRELLUS PARTNERS LP 028  STERLING JOHNSTON 035  MS PRINCIPAL STRATEGIES 041  N STRATTON 014	STRAUSS ASSET MGMT 040 CRNT  CRAMER ROSENTHAL/SCOTT 012 DBRN  FRONTPOINT CHRIS C 041 DHR  BUCK CAPITAL MGMT 001 DKS  CRAMER ROSENTHAL/SCOTT 012 DLTR  COUGAR TRADING 044 DRI SIGMA CAPITAL ASSOCIATES 237 DRI  NOMURA CAPITAL 045 GETIZ  SCUDDER HEDGE 034 GLW  TRUST CO/COWEN/CALF. 040 GM WAGONHOUND/NIC 048 GM  SCOPUS FUND 041 GPI TRELLUS PARTNERS LP 028 GPI  STERLING JOHNSTON 035 GYMB  MS PRINCIPAL STRATEGIES 041 HBAN  N STRATTON 014 HIBB	STRAUSS ASSET MGMT 040 CRNT B  CRAMER ROSENTHAL/SCOTT 012 DBRN S  FRONTPOINT CHRIS C 041 DHR B  BUCK CAPITAL MGMT 001 DKS B  CRAMER ROSENTHAL/SCOTT 012 DLTR S  COUGAR TRADING 044 DRI S SIGMA CAPITAL ASSOCIATES 237 DRI S  NOMURA CAPITAL 045 GETIZ S  SCUDDER HEDGE 034 GLW S  TRUST CO/COWEN/CALF. 040 GM C WAGONHOUND/NIC 048 GM C  SCOPUS FUND 041 GPI S  STERLING JOHNSTON 035 GYMB S  MS PRINCIPAL STRATEGIES 041 HBAN S  N STRATTON 014 HIBB S	STRAUSS ASSET MGMT         040         CRNT         B         15,000           CRAMER ROSENTHAL/SCOTT         012         DBRN         S         6,400           FRONTPOINT CHRIS C         041         DHR         B         3,800           BUCK CAPITAL MGMT         001         DKS         B         20,000           CRAMER ROSENTHAL/SCOTT         012         DLTR         S         4,100           COUGAR TRADING         044         DRI         S         15,000           SIGMA CAPITAL ASSOCIATES         237         DRI         S         25,000           NOMURA CAPITAL         045         GETIZ         S         1,419           SCUDDER HEDGE         034         GLW         S         4,000           TRUST CO/COWEN/CALF.         040         GM         C         43,100           WAGONHOUND/NIC         048         GM         C         20,975           SCOPUS FUND         041         GPI         SS         10,000           STERLING JOHNSTON         035         GYMB         S         78,400           MS PRINCIPAL STRATEGIES         041         HBAN         S         43,435           N STRATTON         014         HIBB	STRAUSS ASSET MGMT 040 CRNT B 15,000 8.33  CRAMER ROSENTHAL/SCOTT 012 DBRN S 6,400 13.86  FRONTPOINT CHRIS C 041 DHR B 3,800 79.74  BUCK CAPITAL MGMT 001 DKS B 20,000 19.65  CRAMER ROSENTHAL/SCOTT 012 DLTR S 4,100 33.74  COUGAR TRADING 044 DRI S 15,000 33.42  SIGMA CAPITAL ASSOCIATES 237 DRI S 25,000 33.38  NOMURA CAPITAL 045 GETIZ S 1,419 26.86  SCUDDER HEDGE 034 GLW S 4,000 25.51  TRUST CO/COWEN/CALF. 040 GM C 43,100 13.38  WAGONHOUND/NIC 048 GM C 20,975 13.19  SCOPUS FUND 041 GPI SS 10,000 22.23  TRELLUS PARTNERS LP 028 GPI SS 25,000 21.73  STERLING JOHNSTON 035 GYMB S 78,400 42.64  MS PRINCIPAL STRATEGIES 041 HBAN S 43,435 6.27  N STRATTON 014 HIBB SS 200 23.75	STRAUSS ASSET MGMT 040 CRNT B 15,000 8.33 n/a  CRAMER ROSENTHAL/SCOTT 012 DBRN S 6,400 13.86 n/a  FRONTPOINT CHRIS C 041 DHR B 3,800 79.74 n/a  BUCK CAPITAL MGMT 001 DKS B 20,000 19.65 n/a  CRAMER ROSENTHAL/SCOTT 012 DLTR S 4,100 33.74 n/a  COUGAR TRADING 044 DRI S 15,000 33.42 n/a  SIGMA CAPITAL ASSOCIATES 237 DRI S 25,000 33.38 n/a  NOMURA CAPITAL 045 GETIZ S 1,419 26.86 n/a  SCUDDER HEDGE 034 GLW S 4,000 25.51 n/a  TRUST CO/COWEN/CALF. 040 GM C 43,100 13.38 24-Jun  MAGONHOUND/NIC 048 GM C 20,975 13.19 24-Jun  SCOPUS FUND 041 GPI SS 10,000 22.23 10-Jun  SCOPUS FUND 041 GPI SS 25,000 21.73 10-Jun  STERLING JOHNSTON 035 GYMB S 78,400 42.64 3-Jun  MS PRINCIPAL STRATEGIES 041 HBBN S 43,435 6.27 n/a  N STRATTON 014 HIBB SS 200 23.75 n/a	STRAUSS ASSET MGMT 040 CRNT B 15,000 8.33 n/a n/a  CRAMER ROSENTHAL/SCOTT 012 DBRN S 6,400 13.86 n/a n/a  FRONTPOINT CHRIS C 041 DHR B 3,800 79.74 n/a n/a  BUCK CAPITAL MGMT 001 DKS B 20,000 19.65 n/a 25-Jun  CRAMER ROSENTHAL/SCOTT 012 DLTR S 4,100 33.74 n/a 5-Jun  COUGAR TRADING 044 DRI S 15,000 33.42 n/a 25-Jun  SIGMA CAPITAL ASSOCIATES 237 DRI S 25,000 33.38 n/a 25-Jun  NOMURA CAPITAL 045 GETIZ S 1,419 26.86 n/a n/a  SCUDDER HEDGE 034 GLW S 4,000 25.51 n/a 23-Jun  TRUST CO/COWEN/CALF. 040 GM C 43,100 13.38 24-Jun 24-Jun  MAGONHOUND/NIC 048 GM C 20,975 13.19 24-Jun 24-Jun  SCOPUS FUND 041 GPI SS 10,000 22.23 10-Jun 10-Jun  TRELLUS PARTNERS LP 028 GPI SS 25,000 21.73 10-Jun 10-Jun  STERLING JOHNSTON 035 GYMB S 78,400 42.64 3-Jun 6-Jun  MS PRINCIPAL STRATEGIES 041 HBAN S 43,435 6.27 n/a n/a  N STRATTON 014 HIBB SS 200 23.75 n/a n/a	STRAUSS ASSET MGMT 040 CRNT B 15,000 8.33 n/a n/a 600.00  CRAMER ROSENTHAL/SCOTT 012 DBRN S 6,400 13.86 n/a n/a 256.00  FRONTPOINT CHRIS C 041 DHR B 3,800 79.74 n/a n/a 152.00  BUCK CAPITAL MGMT 001 DKS B 20,000 19.65 n/a 25-Jun 800.00  CRAMER ROSENTHAL/SCOTT 012 DLTR S 4,100 33.74 n/a 5-Jun 164.00  COUGAR TRADING 044 DRI S 15,000 33.74 n/a 25-Jun 750.00  SIGNA CAPITAL ASSOCIATES 237 DRI S 25,000 33.38 n/a 25-Jun 1,250.00  NOMURA CAPITAL ASSOCIATES 237 DRI S 25,000 33.38 n/a 25-Jun 1,250.00  SCUDDER HEDGE 034 GLW S 1,419 26.86 n/a n/a 70.95  SCUDDER HEDGE 034 GLW S 4,000 25.51 n/a 23-Jun 160.00  TRUST CO/COMEN/CALF. 040 CM C 43,100 13.38 24-Jun 24-Jun 1,724.00  WAGONHOUND/NIC 048 GM C 20,975 13.19 24-Jun 24-Jun 839.00  SCOPUS FUND 041 GPI SS 10,000 22.23 10-Jun 10-Jun 500.00  TRELLUS PARTNERS LP 028 GPI SS 25,000 21.73 10-Jun 10-Jun 1,250.00  STERLING JOHNSTON 035 GYMB S 78,400 42.64 3-Jun 6-Jun 3,136.00  MS PRINCIPAL STRATEGIES 041 HBBN S 43,435 6.27 n/a n/a 0.40 2,171.75  N STRATTON 014 HIBB SS 200 23.75 n/a n/a 0.00	STRAUSS ASSET MGMT 040 CRNT B 15,000 8.33 n/a n/a 600.00 4.0  CRAMER ROSENTHAL/SCOTT 012 DBRN S 6,400 13.86 n/a n/a 256.00 4.0  FRONTPOINT CHRIS C 041 DHR B 3,800 79.74 n/a n/a 152.00 4.0  BUCK CAPITAL MGMT 001 DKS B 20,000 19.65 n/a 25-Jun 800.00 4.0  CCAMER ROSENTHAL/SCOTT 012 DLTR S 4,100 33.74 n/a 5-Jun 164.00 4.0  CCUGAR TRADING 044 DRI S 15,000 33.42 n/a 25-Jun 750.00 5.0  SICKA CAPITAL ASSOCIATES 237 DRI S 25,000 33.38 n/a 25-Jun 1,250.00 5.0  NOMURA CAPITAL D45 GETIZ S 1,419 26.86 n/a n/a 25-Jun 1,000 5.0  SCUDDER HEDGE 034 GLM S 4,000 25.51 n/a 23-Jun 160.00 4.0  TRUST CO/COMEN/CALF. 040 CM C 43,100 13.38 24-Jun 24-Jun 1,724.00 4.0  NACONHOUND/NIC 048 CM C 20,975 13.19 24-Jun 24-Jun 8339.00 4.0  SCOPUS FUND 041 GPI SS 10,000 22.23 10-Jun 10-Jun 500.00 5.0  STERLING JOHNSTON 035 GYMB S 78,400 42.64 3-Jun 6-Jun 1,250.00 5.0  STERLING JOHNSTON 035 GYMB S 78,400 42.64 3-Jun 6-Jun 3,136.00 4.0  MS PRINCIPAL STRATEGIES 041 HBBN S 43,435 6.27 n/a n/a n/a 2,171.75 5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	Shr.
PECONIC PARTNERS	036	JOYG	В	10,000	78.00	n/a	30-May	500.00	5.0
COUGAR TRADING	044	JWN	SS	20,000	33.22	16-May	6-Jun	1,000.00	5.0
TRUST CO/COWEN/CALF.	040	КВН	В	59,480	19.29	n/a	n/a	2,379.20	4.0
REICH AND TANG	067	KEG	S	166,500	19.29	n/a	18-Jun	8,250.00	3.3
SYSTEMATIC FINANCIAL MGT	035	LIZ	В	9,400	15.65	n/a	14-May	352.50	3.8
KORMAN	003	LL	SS	3,000	14.53	n/a	n/a	0.00	0.0
DIAMONDBACK CAP MGMT	232	LTD	SS	10,000	17.81	n/a	6-Jun	500.00	5.0
BARR	096	MENT	В	2,000	15.43	n/a	n/a	0.00	0.0
SANDLER O'NEILL ASSET	031	MER	В	11,300	36.05	24-Jun	24-Jun	565.00	5.0
POST ROAD CAP	045	MGLN	S	15,600	38.93	n/a	n/a	780.00	5.0
EPOCH INV MGMT	030	MON	В	3,300	129.33	n/a	23-Jun	132.00	4.0
MENCKE	055	MOO	В	20	62.57	n/a	n/a	0.00	0.0
MERRILL ASSET	032	MTD	В	15 <b>,</b> 746	97.31	n/a	n/a	708.57	4.5
BASIX	033	MTW	В	16,000	36.75	n/a	23-May	640.00	4.0
PENNANT CAP MGMT	029	MV	В	28,100	22.59	n/a	n/a	1,124.00	4.0
	PECONIC PARTNERS  COUGAR TRADING  TRUST CO/COWEN/CALF.  REICH AND TANG  SYSTEMATIC FINANCIAL MGT  KORMAN  DIAMONDBACK CAP MGMT  BARR  SANDLER O'NEILL ASSET  POST ROAD CAP  EPOCH INV MGMT  MENCKE  MERRILL ASSET  BASIX	PECONIC PARTNERS  COUGAR TRADING  TRUST CO/COWEN/CALF.  040  REICH AND TANG  SYSTEMATIC FINANCIAL MGT  DIAMONDBACK CAP MGMT  SANDLER O'NEILL ASSET  POST ROAD CAP  EPOCH INV MGMT  MENCKE  MERRILL ASSET  032  BASIX  0336  044  040  047  047  047  048  049  049  045  045  045  046  047  047  048  049  049  049  049  049  049  049	PECONIC PARTNERS  O36  JOYG  COUGAR TRADING  TRUST CO/COWEN/CALF.  O40  KBH  REICH AND TANG  O67  KEG  SYSTEMATIC FINANCIAL MGT  DIAMONDBACK CAP MGMT  SANDLER O'NEILL ASSET  POST ROAD CAP  POST ROAD CAP  EPOCH INV MGMT  MENCKE  MERRILL ASSET  O32  MTD  MAN  MERRILL ASSET  O33  MTW	PECONIC PARTNERS  036 JOYG B  COUGAR TRADING 044 JWN SS  TRUST CO/COWEN/CALF. 040 KBH B REICH AND TANG 067 KEG S  SYSTEMATIC FINANCIAL MGT 035 LIZ B  KORMAN 003 LL SS  DIAMONDBACK CAP MGMT 232 LTD SS  BARR 096 MENT B  SANDLER O'NEILL ASSET 031 MER B  POST ROAD CAP 045 MGLN S  EPOCH INV MGMT 030 MON B  MENCKE 055 MOO B  MERRILL ASSET 032 MTD B  BASIX  DIAMOND B  MTW B	PECONIC PARTNERS         036         JOYG         B         10,000           COUGAR TRADING         044         JWN         SS         20,000           TRUST CO/COWEN/CALF.         040         KBH         B         59,480           REICH AND TANG         067         KEG         S         166,500           SYSTEMATIC FINANCIAL MGT         035         LIZ         B         9,400           KORMAN         003         LL         SS         3,000           BARR         096         MENT         B         2,000           SANDLER O'NEILL ASSET         031         MER         B         11,300           POST ROAD CAP         045         MGLN         S         15,600           EPOCH INV MGMT         030         MON         B         3,300           MENCKE         055         MOO         B         20           MERRILL ASSET         032         MTD         B         15,746           BASIX         033         MTW         B         16,000	PECONIC PARTNERS       036       JOYG       B       10,000       78.00         COUGAR TRADING       044       JWN       SS       20,000       33.22         TRUST CO/COWEN/CALF.       040       KBH       B       59,480       19.29         REICH AND TANG       067       KEG       S       166,500       19.29         SYSTEMATIC FINANCIAL MGT       035       LIZ       B       9,400       15.65         KORMAN       003       LL       SS       3,000       14.53         DIAMONDBACK CAP MGMT       232       LTD       SS       10,000       17.81         BARR       096       MENT       B       2,000       15.43         SANDLER O'NEILL ASSET       031       MER       B       11,300       36.05         POST ROAD CAP       045       MGLN       S       15,600       38.93         EPOCH INV MGMT       030       MON       B       3,300       129.33         MENCKE       055       MOO       B       20       62.57         MERRILL ASSET       032       MTD       B       15,746       97.31         BASIX       033       MTW       B       16,000       36.7	PECONIC PARTNERS         036         JOYG         B         10,000         78.00         n/a           COUGAR TRADING         044         JWN         SS         20,000         33.22         16-May           TRUST CO/COWEN/CALF.         040         KBH         B         59,480         19.29         n/a           REICH AND TANG         067         KEG         S         166,500         19.29         n/a           SYSTEMATIC FINANCIAL MGT         035         LIZ         B         9,400         15.65         n/a           KORMAN         003         LL         SS         3,000         14.53         n/a           DIAMONDBACK CAP MGMT         232         LTD         SS         10,000         17.31         n/a           BARR         096         MENT         B         2,000         15.43         n/a           SANDLER O'NEILL ASSET         031         MER         B         11,300         36.05         24-Jun           POST ROAD CAP         045         MGIN         S         15,600         38.93         n/a           MENCKE         055         MOO         B         20         62.57         n/a           MERRILL ASSET         032	PECONIC PARTNERS         036         JOYG         B         10,000         78.00         n/a         30-May           COUGAR TRADING         044         JWN         SS         20,000         33.22         16-May         6-Jun           TRUST CO/COWEN/CALF.         040         KBH         B         59,480         19.29         n/a         n/a           REICH AND TANG         067         KEG         S         166,500         19.29         n/a         18-Jun           SYSTEMATIC FINANCIAL MGT         035         LIZ         B         9,400         15.65         n/a         14-May           KORMAN         003         LL         SS         3,000         14.53         n/a         n/a           DIAMONDBACK CAP MGMT         232         LTD         SS         10,000         17.81         n/a         6-Jun           BARR         096         MENT         B         2,000         15.43         n/a         n/a           SANDLER O'NEILL ASSET         031         MER         B         11,300         36.05         24-Jun         24-Jun           POST ROAD CAP         045         MGIN         S         15,600         38.93         n/a         23-Jun	PECONIC PARTNERS         036         JOYG         B         10,000         78.00         n/a         30-May         500.00           COUGAR TRADING         044         JWN         SS         20,000         33.22         16-May         6-Jun         1,000.00           TRUST CO/COWEN/CALF.         040         KBH         B         59,480         19.29         n/a         n/a         2,379.20           REICH AND TANG         067         KEG         S         166,500         19.29         n/a         18-Jun         8,250.00           SYSTEMATIC FINANCIAL MGT         035         LIZ         B         9,400         15.65         n/a         14-May         352.50           KORMAN         003         LL         SS         3,000         14.53         n/a         n/a         0.00           DIAMONDBACK CAP MGMT         232         LTD         SS         10,000         17.91         n/a         6-Jun         500.00           BARR         096         MENT         B         2,000         15.43         n/a         n/a         0.00           SANDLER O'NEILL ASSET         031         MER         B         11,300         36.05         24-Jun         24-Jun         76

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THE JAY GOLDMAN	034	М	S	10,000	20.39	7-Feb	2-Jun	400.00	4.0
SUTTONBROOK CAPITAL	067	NBR	S	100,000	49.15	n/a	n/a	4,000.00	4.0
COLIDIS	011	NKE	В	200	66.30	n/a	n/a	0.00	0.0
CAC TRADING HOWARD	038	ORLY	В	700	24.50	n/a	n/a	35.00	5.0
SENERAL ELECTIC CO	033	PEP	В	33,303	65.66	n/a	n/a	666.06	2.0
BEAR STEARNS ASSET MGMT.	033	PETM	В	35,000	21.05	n/a	n/a	1,400.00	4.0
IRST NY SEC/CHRIS	041	PETM	В	10,000	21.07	n/a	n/a	600.00	6.0
PECONIC PARTNERS	036	PLCE	S	142,100	36.35	23-Jun	23-Jun	7,105.00	5.0
SPOCH INV MGMT	030	РМ	В	1,000	52.16	n/a	n/a	40.00	4.0
MERRILL ASSET	032	PPO	В	31,800	24.93	n/a	n/a	1,431.00	4.5
SINCLAIR	031	PXDIQ	В	10	3.10	n/a	n/a	0.00	0.0
SPOCH INV MGMT	030	PX	В	1,300	97.21	n/a	23-Jun	52.00	4.0
SPOCH INV MGMT	030	RL	В	14,200	67.15	7-Feb	29-May	568.00	4.0
AVESTA CAP	229	RRC	S	25,000	62.57	n/a	n/a	1,250.00	5.0
COLIDIS	011	SKX	SS	500	22.00	n/a	13-Mar	0.00	0.0
GENERAL ELECTIC CO	033	SLE	S	38 <b>,</b> 929	12.81	n/a	n/a	1,557.16	4.0

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MENCKE	055	SLX	В		15	106.21	n/a	n/a	0.00	0.0
KORMAN	003	SPLS		SS	3,000	24.80	n/a	27-Jul	0.00	0.0
BARR	096	SQNM	В		900	14.23	n/a	n/a	0.00	0.0
HIGHBRIDGE/MS OLDS	041	SRE		S	24,525	55.86	n/a	n/a	981.00	4.0
FIRST NY SEC/CHRIS	041 <b>030</b>	SSCC SSCC	В <b>В</b>		121,800 <b>2,000</b>	4.67 <b>4.48</b>	7-Apr <b>7-Apr</b>	23-Apr <b>23-Apr</b>	5,372.00 <b>0.00</b>	5.0 <b>0.0</b>
GRONET	030	SSCC	В		2,000	4.40	/-Apr	23-Apr	0.00	0.0
SIGMA CAPITAL ASSOCIATES	237	TGT		S	10,000	50.00	n/a	5-Jun	500.00	5.0
TRUST CO/COWEN/CALF.	040	TOL	В		56,465	20.25	n/a	n/a	2,258.60	4.0
N STRATTON	014	URI	В		99	21.30	n/a	12-Jun	0.00	0.0
HIGHBRIDGE/MS OLDS	041	USB		SS	110,200	30.41	n/a	n/a	4,408.00	4.0
HIGHBRIDGE/MS OLDS	041	UTX		SS	30,500	67.33	n/a	n/a	1,220.00	4.0
MENCKE	055	WCG		s	30	37.89	n/a	n/a	0.00	0.0
SANDLER O'NEILL ASSET	031	WDR		S	25,000	35.91	22-Apr	23-Jun	1,250.00	5.0
SIGMA CAPITAL ASSOCIATES	237	WFMI	В		25,000	26.44	n/a	n/a	1,250.00	5.0
SIGMA CAPITAL ASSOCIATES	237	WMT	В		10,000	58.09	13-May	10-Jun	500.00	5.0
SIGMA CAPITAL ASSOCIATES SIGMA CAPITAL ASSOCIATES	237	WMT	D	S	10,000	58.41	13-May 13-May	10-Jun 10-Jun	500.00	5.0
213.11 3.11 11.11 1100001111110	20,	*****		٥	10,000	00.11	10 1144	10 0 011	300.00	J. 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
COUGAR TRADING	044	ZQK	S	10,000	10.19	5-Feb	6-Jun	500.00 5.0
OTAL (Trade Date):							;	85,177.14

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CXL	06/24	SWISS RE FINANCIAL SER (SWISDB)	035	ABG	S	30,000	13.02	10-Jun	10-Jun	1200.00	4.0
AO,CRT	06/24	SWISS RE FINANCIAL SER (SWISBSUSE)	035	ABG	S	30,000	13.02	10-Jun	10-Jun	1200.00	4.0
AO,CXL	06/24	SWISS RE FINANCIAL SER (SWISDB)	035	ВЈ	SS	20,000	38.54	n/a	27-Jul	800.00	4.0
AO,CRT	06/24	SWISS RE FINANCIAL SER (SWISBSUSE)	035	ВЈ	SS	20,000	38.54	n/a	27-Jul	800.00	4.0
AO,	06/24	TRELLUS PARTNERS LP (TRELMERR)	028	BWA	SS	110	47.55	10-Jun	10-Jun	5.50	5.0
AO,	06/24	TRELLUS PARTNERS LP (TRELGS)	028	BWA	SS	110	47.55	10-Jun	10-Jun	5.50	5.0
AO,CXL	06/24	TRELLUS PARTNERS LP (TRELMAIN)	028	BWA	SS	1,900	47.55	10-Jun	10-Jun	95.00	5.0
AO,	06/24	TRELLUS PARTNERS LP (TRELMAIN)	028	BWA	SS	1,680	47.55	10-Jun	10-Jun	84.00	5.0
AO,CXL	06/24	SWISS RE FINANCIAL SER (SWISDB)	035	М	S	40,000	19.29	7-Feb	2-Jun	1600.00	4.0
AO,CRT	06/24	SWISS RE FINANCIAL SER (SWISBSUSE)	035	М	S	40,000	19.29	7-Feb	2-Jun	1600.00	4.0
AO, CRT	06/24	SWISS RE FINANCIAL SER (SWISBSUSE)	035	NT	SS	25,000	8.66	n/a	22-Mar	1000.00	4.0
AO,CXL	06/24	SWISS RE FINANCIAL SER (SWISDB)	035	NT	SS	25 <b>,</b> 000	8.66	n/a	22-Mar	1000.00	4.0
AO,CXL	06/20	WAGONHOUND/NIC (WAGO263958)	048	ONNN	В	3 <b>,</b> 947	9.32	n/a	n/a	157.88	4.0
AO,	06/20	WAGONHOUND/NIC (WAGO263958)	048	ONNN	В	1,566	9.32	n/a	n/a	46.98	3.0
AO,	06/20	WAGONHOUND/NIC (WAGONIC)	048	ONNN	В	2,381	9.32	n/a	n/a	71.43	3.0
AO,CXL	06/24	PECONIC PARTNERS (PECOLEHM)	036	PLCE	S	127 <b>,</b> 179	36.27	23-Jun	23-Jun	5087.16	4.0
AO,	06/24	PECONIC PARTNERS (PECOMORGAN)	036	PLCE	S	122,379	36.27	23-Jun	23-Jun	6118.95	5.0
AO,	06/24	PECONIC PARTNERS (PECOCITIGR)	036	PLCE	S	4,800	36.27	23-Jun	23-Jun	240.00	5.0

TOTAL (AO, CXL, CRT): 1,232.32

TOTAL (RUN DATE) / NFS:	86,409.46
TOTAL (AO, CXL, CRT):	1,232.32
TOTAL (Trade Date):	85,177.14

## Legend:

O: 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