

Daily Compliance Activity Report Trade Date: 04/18/2007

POTENTIAL ANALYST TRADE VIOLATIONS: 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
PATTEN & PATTEN	067	ADBE	В	1,360	42.99	n/a	n/a	68.00	5.0
BALYASNY ASSET MGMT	044	AGE	S	10,000	73.52	n/a	n/a	500.00	5.0
TYEE/TYGH	035	AMG	S	5,000	115.18	5-Mar	10-Apr	200.00	4.0
BUCK CAPITAL MGMT	001	ANF	SS	50,000	80.46	2-Feb	13-Apr	2,000.00	4.0
RAMIUS CAP	040	AOS	SS	32,000	40.17	18-Apr	18-Apr	1,600.00	5.0
PATTEN & PATTEN	067	APC	В	1,300	46.18	27-Feb	12-Mar	65.00	5.0
GENERAL MOTORS INV CO	040	ARJ	В	2,600	31.36	n/a	n/a	104.00	4.0
PATTEN & PATTEN	067	ATO	S	350	32.27	n/a	n/a	17.50	5.0
BALYASNY ASSET MGMT	044	BAC	В	25,000	52.04	11-Jan	16-Apr	1,250.00	5.0
MISSOURI VALLEY PART	046	BBW	S	33,100	26.29	19-Mar	19-Mar	1,655.00	5.0
BALYASNY ASSET MGMT	044	BEN	S	17,500	133.37	10-Apr	18-Apr	875.00	5.0
BUCK	015	BFB	В	300	64.02	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	BHI	S	110	71.82	n/a	n/a	5.50	5.0
NEUBERGER BERMAN	036	BRY	В	4,400	32.92	n/a	n/a	220.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
MAGUIRE	090	BTU	В	1,500	46.40	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	CAG	В	2,880	25.10	n/a	n/a	144.00	5.0
BUCK	015	CAT	В	900	68.88	n/a	n/a	0.00	0.0
GENERAL MOTORS INV CO	040	CBU	S	1,400	20.73	n/a	n/a	56.00	4.0
FRIESS MGMT	042	CCK	S	412,800	24.29	n/a	n/a	18,576.00	4.5
PATTEN & PATTEN	067	CCL	S	50	46.29	n/a	26-Jan	2.50	5.0
OGORMAN	146	CDX	S	8	0.80	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	CFC	В	1,250	38.19	n/a	n/a	62.50	5.0
CATAPULT	040	CMA	S	4,500	63.21	n/a	n/a	225.00	5.0
EOS PARTNERS	040	CME	S	3,000	559.10	n/a	16-Apr	150.00	5.0
BUCK CAPITAL MGMT	001	СОН	S	22,000	52.15	23-Feb	23-Feb	880.00	4.0
CROWLEY	061	CPNLQ	S	15,500	3.35	n/a	8-Mar	0.00	0.0
BUCK CAPITAL MGMT	001	CRI	В	20,000	25.24	n/a	n/a	800.00	4.0
NOMURA CAPITAL	040	CVO	В	11,800	25.76	n/a	n/a	590.00	5.0
PATTEN & PATTEN	067	CVX	S	285	77.59	n/a	n/a	14.25	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢	:/Shr.
PATTEN & PATTEN	067	С	S	250	53.09	11-Jan	17-Apr	12.50	5.0
PATTEN & PATTEN	067	DE	S	50	112.12	n/a	n/a	2.50	5.0
GENERAL MOTORS INV CO	040	DFG	В	1,700	41.60	n/a	n/a	68.00	4.0
PATTEN & PATTEN	067	DOV	S	60	48.87	n/a	n/a	3.00	5.0
FARBER/WEISS PECK	012	DPZ	В	48,000	34.09	23-Feb	23-Feb	2,400.00	5.0
GLG PARTNERS	034	DPZ	S	50,000	34.78	23-Feb	23-Feb	2,500.00	5.0
JP MORGAN VENTURES	046	DPZ	В	29,300	34.00	23-Feb	23-Feb	1,465.00	5.0
PATTEN & PATTEN	067	DUK	В	1,500	20.92	n/a	n/a	75.00	5.0
PATTEN & PATTEN	067	EEP	S	150	59.53	n/a	n/a	7.50	5.0
PATTEN & PATTEN	067	EFA	В	43	79.35	n/a	n/a	2.15	5.0
SYSTEMATIC FINANCIAL MGT	035	ELY	S	15,000	18.59	n/a	n/a	562.50	3.8
BALYASNY ASSET MGMT	044	ETFC	В	30,000	22.37	n/a	n/a	1,500.00	5.0
PATTEN & PATTEN	067	EWG	S	150	30.90	n/a	n/a	7.50	5.0
PATTEN & PATTEN	067	EWJ	В	2,140	14.66	n/a	n/a	107.00	5.0
BUCK CAPITAL MGMT	001	FD	SS	60,000	45.02	26-Jan	13-Apr	2,400.00	4.0
PATTEN & PATTEN	067	FHN	S	750	41.37	n/a	n/a	37.50	5.0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	Shr.	
PATTEN & PATTEN	067	GCI	В	1,050	57.88	n/a	n/a	52.50	5.0	
GENERAL MOTORS INV CO	040	GGL	В	1,500	17.61	n/a	n/a	60.00	4.0	
BULL PATH CAPITAL	044	GHL	В	19,000	63.12	n/a	n/a	950.00	5.0	
DAWSON	075	GILD	В	50	78.62	n/a	n/a	0.00	0.0	
CASTLE ARK	031	GIL	В	32,670	65.04	n/a	2-Apr	1,960.20	6.0	
PATTEN & PATTEN	067	GRP	S	480	50.04	n/a	n/a	24.00	5.0	
BRENCOURT	028	НС	В	50,000	22.01	14-Mar	5-Apr	2,500.00	5.0	
PATTEN & PATTEN	067	HD	S	25	38.87	n/a	1-Mar	1.25	5.0	
BUCK	015	HIW	s	1,000	42.44	n/a	n/a	0.00	0.0	
PATTEN & PATTEN	067	HMC	В	35	34.61	n/a	n/a	1.75	5.0	
OPTIMUM INV ADV	030	HRS	В	300	50.00	31-Jan	31-Jan	12.00	4.0	
PATTEN & PATTEN	067	IBM	S	200	94.48	n/a	n/a	10.00	5.0	
PATTEN & PATTEN	067	INTC	В	450	21.15	n/a	n/a	22.50	5.0	
AMBER CAPITAL	046	ITB	В	100,000	36.32	n/a	n/a	4,000.00	4.0	
PATTEN & PATTEN	067	IXN	В	235	59.22	n/a	n/a	11.75	5.0	
	PATTEN & PATTEN GENERAL MOTORS INV CO BULL PATH CAPITAL DAWSON CASTLE ARK PATTEN & PATTEN BRENCOURT PATTEN & PATTEN BUCK PATTEN & PATTEN OPTIMUM INV ADV PATTEN & PATTEN PATTEN & PATTEN AMBER CAPITAL	PATTEN & PATTEN 067 GENERAL MOTORS INV CO 040 BULL PATH CAPITAL 044 DAWSON 075 CASTLE ARK 031 PATTEN & PATTEN 067 BRENCOURT 028 PATTEN & PATTEN 067 BUCK 015 PATTEN & PATTEN 067 OPTIMUM INV ADV 030 PATTEN & PATTEN 067 PATTEN & PATTEN 067 AMBER CAPITAL 046	PATTEN & PATTEN 067 GCI GENERAL MOTORS INV CO 040 GGL BULL PATH CAPITAL 044 GHL DAWSON 075 GILD CASTLE ARK 031 GIL PATTEN & PATTEN 067 GRP BRENCOURT 028 HC PATTEN & PATTEN 067 HD BUCK 015 HIW PATTEN & PATTEN 067 HMC OPTIMUM INV ADV 030 HRS PATTEN & PATTEN 067 IBM PATTEN & PATTEN 067 INTC AMBER CAPITAL 046 ITB	PATTEN & PATTEN GENERAL MOTORS INV CO 040 GGL B BULL PATH CAPITAL 044 GHL B DAWSON 075 GILD B CASTLE ARK 031 GIL B PATTEN & PATTEN 067 GRP S BRENCOURT 028 HC B PATTEN & PATTEN 067 HD S BUCK 015 HIW S OPTIMUM INV ADV 030 HRS B PATTEN & PATTEN 067 IBM S PATTEN & PATTEN 067 INTC B AMBER CAPITAL 046 ITB B	PATTEN & PATTEN 067 GCI B 1,050 GENERAL MOTORS INV CO 040 GGL B 1,500 BULL PATH CAPITAL 044 GHL B 19,000 DAWSON 075 GILD B 50 CASTLE ARK 031 GIL B 32,670 PATTEN & PATTEN 067 GRP S 480 BRENCOURT 028 HC B 50,000 PATTEN & PATTEN 067 HD S 25 BUCK 015 HIW S 1,000 PATTEN & PATTEN 067 HMC B 35 OPTIMUM INV ADV 030 HRS B 300 PATTEN & PATTEN 067 IBM S 200 PATTEN & PATTEN 067 INTC B 450 AMBER CAPITAL 046 ITB B 100,000	PATTEN & PATTEN 067 GCI B 1,050 57.88 GENERAL MOTORS INV CO 040 GGL B 1,500 17.61 BULL PATH CAPITAL 044 GHL B 19,000 63.12 DAWSON 075 GILD B 32,670 65.04 PATTEN & PATTEN 067 GRP S 480 50.04 BRENCOURT 028 HC B 50,000 22.01 PATTEN & PATTEN 067 HD S 25 38.87 BUCK 015 HIW S 1,000 42.44 PATTEN & PATTEN 067 HMC B 35 34.61 OPTIMUM INV ADV 030 HRS B 300 50.00 PATTEN & PATTEN 067 IBM S 200 94.48 PATTEN & PATTEN 067 INTC B 450 21.15 AMBER CAPITAL 046 ITB B 100,000 36.32	PATTEN & PATTEN 067 GCI B 1,050 57.88 n/a GENERAL MOTORS INV CO 040 GGL B 1,500 17.61 n/a BULL PATH CAPITAL 044 GHL B 19,000 63.12 n/a DAWSON 075 GILD B 50 78.62 n/a CASTLE ARK 031 GIL B 32,670 65.04 n/a PATTEN & PATTEN 067 GRP S 480 50.04 n/a BRENCOURT 028 HC B 50,000 22.01 14-Mar PATTEN & PATTEN 067 HD S 25 38.87 n/a BUCK 015 HIW S 1,000 42.44 n/a PATTEN & PATTEN 067 HMC B 35 34.61 n/a OPTIMUM INV ADV 030 HRS B 300 50.00 31-Jan PATTEN & PATTEN 067 IBM S 200 94.48 n/a PATTEN & PATTEN 067 INTC B 450 21.15 n/a AMBER CAPITAL 046 ITB B 100,000 36.32 n/a	PATTEN 6 PATTEN 067 GCI B 1,050 57.88 n/a n/a GENERAL MOTORS INV CO 040 GGL B 1,500 17.61 n/a n/a BULL PATH CAPITAL 044 GHL B 19,000 63.12 n/a n/a DAWSON 075 GILD B 50.04 n/a n/a CASTLE ARK 031 GIL B 32,670 65.04 n/a 2-Apr PATTEN & PATTEN 067 GRP S 480 50.04 n/a n/a BRENCOURT 028 HC B 50,000 22.01 14-Mar 5-Apr PATTEN & PATTEN 067 HD S 25 38.87 n/a 1-Mar BUCK 015 HIW S 1,000 42.44 n/a n/a PATTEN & PATTEN 067 HMC B 35 34.61 n/a n/a OPTIMUM INV ADV 030 HRS B 300 50.00 31-Jan 31-Jan PATTEN & PATTEN 067 IBM S 200 94.48 n/a n/a PATTEN & PATTEN 067 INTC B 450 21.15 n/a n/a AMBER CAPITAL 046 IIB B 100,000 36.32 n/a n/a	PATTEN & PATTEN 067 GCI B 1,050 57.88 n/a n/a 52.50 GENERAL MOTORS INV CO 040 GGL B 1,500 17.61 n/a n/a 60.00 BULL PATH CAPITAL 044 GHL B 19,000 63.12 n/a n/a 950.00 DAMSON 075 GILD B 50 78.62 n/a n/a 0.00 CASTLE ARK 031 GIL B 32,670 65.04 n/a 2-Apr 1,960.20 PATTEN & PATTEN 067 GRP S 480 50.04 n/a n/a 24.00 PATTEN & PATTEN 067 HD S 25.000 22.01 14-Mar 5-Apr 2,500.00 PATTEN & PATTEN 067 HMC B 35.000 42.44 n/a n/a 1-Mar 1.25 BUCK 015 HIW S 1,000 42.44 n/a n/a n/a 0.00 PATTEN & PATTEN 067 HMC B 35 34.61 n/a n/a 1.75 OPTIMUM INV ADV 030 HRS B 300 50.00 31-Jan 31-Jan 12.00 PATTEN & PATTEN 067 IBM S 200 94.48 n/a n/a 1.000 PATTEN & PATTEN 067 INTC B 450 21.15 n/a n/a 4,000.00	PATTEN & PATTEN 067 GCI B 1,050 57.88 n/a n/a 52.50 5.0 GENERAL MOTORS INV CO 040 GGL B 1,500 17.61 n/a n/a 60.00 4.0 BULL PATH CAPITAL 044 GHL B 19,000 63.12 n/a n/a 950.00 5.0 DAMSON 075 GILD B 50 78.62 n/a n/a 0.00 0.0 CASTLE ARK 031 GIL B 32,670 65.04 n/a 2-Apr 1,960.20 6.0 PATTEN & PATTEN 067 GRP S 480 50.04 n/a n/a 2-Apr 2,500.00 5.0 BRENCOURT 028 HC B 50,000 22.01 14-Mar 5-Apr 2,500.00 5.0 PATTEN & PATTEN 067 HD S 25 38.87 n/a 1-Mar 1.25 5.0 BUCK 015 HIW S 1,000 42.44 n/a n/a n/a 0.00 0.0 PATTEN & PATTEN 067 HMC B 35 34.61 n/a n/a 1.75 5.0 OPTIMUM INV ADV 030 HRS B 300 50.00 31-Jan 31-Jan 12.00 4.0 PATTEN & PATTEN 067 INTC B 450 21.15 n/a n/a 1.00 5.0 AMBER CAPITAL 046 ITB B 100,000 36.32 n/a n/a 4,000.00 4.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
	AMBER CAPITAL	046	IYR	SS	175,000	86.89	n/a	n/a	5,250.00	3.0
	BUCK CAPITAL MGMT	001	JCP	В	10,000	80.83	23-Feb	18-Apr	400.00	4.0
	PATTEN & PATTEN	067	JNJ	S	50	64.29	n/a	22-Apr	2.50	5.0
	BUCK	015	KFT	s	173	32.71	n/a	n/a	0.00	0.0
	CUMBERLAND	038	KSS	В	7,500	77.91	27-Dec	12-Apr	300.00	4.0
	COUGAR TRADING	044	LAD	SS	5,000	28.34	n/a	13-Apr	250.00	5.0
	GENERAL MOTORS INV CO	040	LSS	S	300	66.26	n/a	n/a	12.00	4.0
õ	Glenn Redemann		MA	В	6	0.6300	n/a	n/a	0.00	0.0
õ	Glenn Redemann		MA	В	6	0.8200	n/a	n/a	0.00	0.0
õ	Glenn Redemann		MA	SS	6	1.3200	n/a	n/a	0.00	0.0
Õ	Glenn Redemann		MA	SS	6	1.4800	n/a	n/a	0.00	0.0
	PERSHING SQUARE	028	MBI	SS	81,400	68.20	n/a	n/a	4,070.00	5.0
	BULL PATH CAPITAL	044	MCD	S	50,000	48.82	11-Apr	13-Apr	2,500.00	5.0
	PATTEN & PATTEN	067	MGU	В	2,975	32.40	n/a	n/a	148.75	5.0
	PATTEN & PATTEN	067	MIC	В	325	41.41	n/a	n/a	16.25	5.0
	NOMURA CAPITAL	040	MIR	S	10,000	45.00	n/a	n/a	500.00	5.0
	LISTED ERR	099	MI	s	5,000	47.54	n/a	n/a	0.00	0.0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢	Shr.	
PATTEN & PATTEN	067	MMC	В	2 , 975	31.44	n/a	n/a	148.75	5.0	
BUCK	015	MON	В	1,000	58.39	n/a	4-Apr	0.00	0.0	
NOMURA CAPITAL	040	MOS	В	8,300	30.44	n/a	n/a	332.00	4.0	
PATTEN & PATTEN	067	MOT	S	900	18.24	n/a	n/a	45.00	5.0	
BUCK	015	МО	S	250	70.01	n/a	n/a	0.00	0.0	
PATTEN & PATTEN	067	MSFT	S	250	28.48	n/a	3-Apr	12.50	5.0	
SANDLER O'NEILL ASSET	031	MS	S	10,500	83.41	22-Mar	16-Apr	525.00	5.0	
NOMURA CAPITAL	040	MWAB	В	9,000	14.14	n/a	n/a	360.00	4.0	
NOMURA CAPITAL	040	MWA	S	4,900	14.44	n/a	n/a	196.00	4.0	
AMBER CAPITAL	046	NCC	SS	80,000	37.43	n/a	n/a	3,200.00	4.0	
CAPITAL GROWTH MGMT.	241	NCS	В	10,000	47.28	n/a	n/a	500.00	5.0	
BALYASNY ASSET MGMT	044	NFP	В	20,000	48.17	n/a	n/a	1,000.00	5.0	
PATTEN & PATTEN	067	NS	S	25	67.89	n/a	n/a	1.25	5.0	
TPG-AXON	040	ORCL	S	488,000	18.85	n/a	n/a	24,400.00	5.0	
PATTEN & PATTEN	067	PBW	В	35	19.86	n/a	n/a	1.75	5.0	
	PATTEN & PATTEN BUCK NOMURA CAPITAL PATTEN & PATTEN BUCK PATTEN & PATTEN SANDLER O'NEILL ASSET NOMURA CAPITAL NOMURA CAPITAL AMBER CAPITAL CAPITAL GROWTH MGMT. BALYASNY ASSET MGMT PATTEN & PATTEN TPG-AXON	PATTEN & PATTEN 067 BUCK 015 NOMURA CAPITAL 040 PATTEN & PATTEN 067 BUCK 015 PATTEN & PATTEN 067 SANDLER O'NEILL ASSET 031 NOMURA CAPITAL 040 NOMURA CAPITAL 040 AMBER CAPITAL 046 CAPITAL GROWTH MGMT. 241 BALYASNY ASSET MGMT 044 PATTEN & PATTEN 067 TPG-AXON 040	PATTEN & PATTEN 067 MMC BUCK 015 MON NOMURA CAPITAL 040 MOS PATTEN & PATTEN 067 MOT BUCK 015 MO PATTEN & PATTEN 067 MSFT SANDLER O'NEILL ASSET 031 MS NOMURA CAPITAL 040 MWAB NOMURA CAPITAL 040 MWA AMBER CAPITAL 046 NCC CAPITAL GROWTH MGMT. 241 NCS BALYASNY ASSET MGMT 044 NFP PATTEN & PATTEN 067 NS TPG-AXON 040 ORCL	BUCK O15 MON B NOMURA CAPITAL O40 MOS B PATTEN & PATTEN O67 MOT S BUCK O15 MO S BUCK O15 MO S PATTEN & PATTEN O67 MSFT S SANDLER O'NEILL ASSET O31 MS NOMURA CAPITAL O40 MWAB B NOMURA CAPITAL O40 MWAB B AMBER CAPITAL O40 MWA S CAPITAL GROWTH MGMT. 241 NCS B BALYASNY ASSET MGMT O40 NFP B PATTEN & PATTEN O67 NS S TPG-AXON O40 ORCL S	PATTEN & PATTEN 067 MMC B 2,975 BUCK 015 MON B 1,000 NOMURA CAPITAL 040 MOS B 8,300 PATTEN & PATTEN 067 MOT S 900 BUCK 015 MO S 250 PATTEN & PATTEN 067 MSFT S 250 SANDLER O'NEILL ASSET 031 MS S 10,500 NOMURA CAPITAL 040 MWAB B 9,000 NOMURA CAPITAL 040 MWA S 4,900 AMBER CAPITAL 046 NCC SS 80,000 CAPITAL GROWTH MGMT 241 NCS B 10,000 BALYASNY ASSET MGMT 044 NFP B 20,000 PATTEN & PATTEN 067 NS S 25 TPG-AXON 040 ORCL S 488,000	PATTEN & PATTEN 067 MMC B 2,975 31.44 BUCK 015 MON B 1,000 58.39 NOMURA CAPITAL 040 MOS B 8,300 30.44 PATTEN & PATTEN 067 MOT S 900 18.24 BUCK 015 MO S 250 70.01 PATTEN & PATTEN 067 MSFT S 250 28.48 SANDLER O'NEILL ASSET 031 MS S 10,500 83.41 NOMURA CAPITAL 040 MWAB B 9,000 14.14 NOMURA CAPITAL 040 MWA S 4,900 14.44 AMBER CAPITAL 046 NCC SS 80,000 37.43 CAPITAL GROWTH MGMT. 241 NCS B 10,000 47.28 BALYASNY ASSET MGMT 044 NFP B 20,000 48.17 PATTEN & PATTEN 067 NS S 25 67.89 TPG-AXON 040 ORCL S 488,000 18.85	PATTEN & PATTEN 067 MMC B 2,975 31.44 n/a BUCK 015 MON B 1,000 58.39 n/a NOMURA CAPITAL 040 MOS B 8,300 30.44 n/a PATTEN & PATTEN 067 MOT S 900 18.24 n/a BUCK 015 MO S 250 70.01 n/a PATTEN & PATTEN 067 MSFT S 250 28.48 n/a SANDLER O'NEILL ASSET 031 MS S 10,500 83.41 22-Mar NOMURA CAPITAL 040 MWAB B 9,000 14.14 n/a NOMURA CAPITAL 040 MWAB B 9,000 14.14 n/a AMBER CAPITAL 040 MWAB S 4,900 14.44 n/a AMBER CAPITAL 046 NCC SS 80,000 37.43 n/a CAPITAL GROWTH MGMT. 241 NCS B 10,000 47.28 n/a BALYASNY ASSET MGMT 044 NFP B 20,000 48.17 n/a PATTEN & PATTEN 067 NS S 25 67.89 n/a TPG-AXON 040 ORCL S 488,000 18.85 n/a	PATTEN & PATTEN 067 MMC B 2,975 31.44 n/a n/a BUCK 015 MON B 1,000 58.39 n/a 4-Apr NOMURA CAPITAL 040 MOS B 8,300 30.44 n/a n/a PATTEN & PATTEN 067 MOT S 900 18.24 n/a n/a BUCK 015 MO S 250 70.01 n/a n/a PATTEN & PATTEN 067 MSFT S 250 28.48 n/a 3-Apr SANDLER O'NEILL ASSET 031 MS S 10,500 83.41 22-Mar 16-Apr NOMURA CAPITAL 040 MWAB B 9,000 14.14 n/a n/a NOMURA CAPITAL 040 MWAB B 9,000 37.43 n/a n/a AMBER CAPITAL 046 NCC SS 80,000 37.43 n/a n/a CAPITAL GROWTH MGMT. 241 NCS B 10,000 47.28 n/a n/a PATTEN & PATTEN 047 NS S 25 67.89 n/a n/a TPG-AXON 040 ORCL S 488,000 18.85 n/a n/a	PATTEN & PATTEN	PATTEN & PATTEN 067 MMC B 2,975 31.44 n/a n/a n/a 148.75 5.0 BUCK 015 MON B 1,000 58.39 n/a 4-Apr 0.00 0.0 NOMURA CAPITAL 040 MOS B 8,300 30.44 n/a n/a n/a 332.00 4.0 PATTEN & PATTEN 067 MOT S 900 18.24 n/a n/a 45.00 5.0 BUCK 015 MO S 250 70.01 n/a n/a 0.00 0.0 PATTEN & PATTEN 067 MSFT S 250 28.48 n/a 3-Apr 12.50 5.0 SANDLER O'NEILL ASSET 031 MS S S 10,500 83.41 22-Mar 16-Apr 525.00 5.0 NOMURA CAPITAL 040 MMA S 4,900 14.14 n/a n/a n/a 360.00 4.0 AMBER CAPITAL 040 MMA S 4,900 14.14 n/a n/a n/a 196.00 4.0 CAPITAL GROWTH MGMT. 241 NCS B 10,000 37.43 n/a n/a n/a 3,200.00 5.0 BALYASNY ASSET MGMT 044 NFP B 20,000 48.17 n/a n/a 1,000.00 5.0 PATTEN & PATTEN 067 NS S 25 67.89 n/a n/a 24,400.00 5.0

Ac	count	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
CA	PITAL GROWTH MGMT.	241	PCU	В	20,000	79.91	n/a	n/a	1,000.00	5.0
SU	FFOLK CAPITAL MGMT	040	PG	В	100,000	63.61	15-Dec	30-Mar	4,000.00	4.0
PA	TTEN & PATTEN	067	РНО	В	35	19.09	n/a	n/a	1.75	5.0
Õ G1	enn Redemann		PJC	??	7	0.0700	n/a	n/a	0.00	0.0
Õ Gl	enn Redemann		PJC	??	7	0.0800	n/a	n/a	0.00	0.0
MA	ZAMA CAPITAL MGMT.	035	PJC	В	32,800	65.93	n/a	n/a	1,312.00	4.0
TY	EE/TYGH	035	PLCE	S	69 , 530	50.07	12-Apr	13-Apr	2,781.20	4.0
Õ Gl	enn Redemann		RCL	В	3	0.8200	n/a	6-Feb	0.00	0.0
Ŏ G1	enn Redemann		RCL	В	3	0.9300	n/a	6-Feb	0.00	0.0
PA	TTEN & PATTEN	067	RDSA	S	250	69.65	n/a	n/a	12.50	5.0
CA	TAPULT	040	RF	S	10,000	34.69	n/a	n/a	500.00	5.0
GE	NERAL MOTORS INV CO	040	SAI	В	1,900	18.28	n/a	n/a	76.00	4.0
TR	IVIUM CAP MGMT	028	SHOO	В	31,036	31.10	n/a	n/a	1,241.44	4.0
Õ G1	enn Redemann		SIGM	В	7	0.1800	n/a	n/a	0.00	0.0
õ Gl	enn Redemann		SIGM	В	7	0.2200	n/a	n/a	0.00	0.0
Õ Gl	enn Redemann		SIGM	SS	7	0.9500	n/a	n/a	0.00	0.0
Õ G1	enn Redemann		SIGM	SS	7	1.0500	n/a	n/a	0.00	0.0
SI	GMA CAPITAL ASSOCIATES	044	STX	В	25 , 000	20.92	n/a	n/a	1,250.00	5.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
	NEW JERSEY DIV OF INV.	220	STZ	S	140,000	21.99	n/a	n/a	5,600.00	4.0
õ	Glenn Redemann		SU	В	1	1.2500	n/a	n/a	0.00	0.0
õ	Glenn Redemann		SU	В	1	2.0000	n/a	n/a	0.00	0.0
	FIRST NEW YORK LEDDY	035	S	S	5,000	20.37	n/a	n/a	300.00	6.0
	MORTAR ROCK	033	TEN	SS	10,000	29.22	n/a	n/a	500.00	5.0
	GENERAL MOTORS INV CO	040	TG	В	2,100	23.82	n/a	n/a	84.00	4.0
	XYLEM GLOBAL	091	TIN	S	20,000	61.10	26-Feb	18-Apr	1,000.00	5.0
	PATTEN & PATTEN	067	TIP	В	835	100.53	n/a	n/a	41.75	5.0
	BUCK CAPITAL MGMT	001	TLB	S	20,000	24.69	10-Jan	8-Mar	800.00	4.0
	LISTED ERR LISTED ERR	099 099	TSN TSN	B S	25 25	20.50	n/a n/a	n/a n/a	0.00	0.0
	PATTEN & PATTEN	067	TWTC	В	100	20.70	8-Feb	4-Apr	5.00	5.0
	PATTEN & PATTEN	067	TXN	S	25	32.05	n/a	n/a	1.25	5.0
	GENERAL MOTORS INV CO	040	UBH	S	1,500	22.16	n/a	n/a	60.00	4.0
	PATTEN & PATTEN	067	UNH	S	25	54.21	n/a	n/a	1.25	5.0
	PATTEN & PATTEN	067	UTX	В	275	66.66	n/a	n/a	13.75	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
PATTEN & PATTEN	067	VMC	S	100	113.70	n/a	n/a	5.00	5.0
PATTEN & PATTEN	067	VOX	S	70	78.12	n/a	n/a	3.50	5.0
PATTEN & PATTEN	067	VTI	S	64	146.36	n/a	n/a	3.20	5.0
BUCK	015	WB	S	700	55.61	n/a	n/a	0.00	0.0
HIGHBRIDGE CAPITAL	038	WM	SS	50,000	42.21	n/a	n/a	2,500.00	5.0
PATTEN & PATTEN	067	MOX	S	279	78.14	n/a	n/a	13.95	5.0
PATTEN & PATTEN	067	XRAY	S	275	33.13	n/a	n/a	13.75	5.0
BUCK CAPITAL MGMT	001	ZQK	s	10,000	13.50	9-Mar	17-Apr	400.00	4.0

TOTAL (Trade Date): 118,509.39

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
AO, CRT	04/13	PENN CAPITAL MGMT (PENNVALUE)	033	BRL	В	3,165	47.97	1-Mar	18-Apr	126.60	4.0
AO,CXL	04/13	PENN CAPITAL MGMT (PENNPEN SM)	033	BRL	В	3,165	47.97	1-Mar	18-Apr	126.60	4.0
AO, CRT	04/17	LISTED ERR (LISTED ERR)	099	MI	SS	5,000	48.20	n/a	n/a	0.00	0.0
AO, CRT	04/17	CATAPULT (CATAMSPB)	040	ΜI	SS	5,000	48.20	n/a	n/a	250.00	5.0

TOTAL (RUN DATE) / NFS:	118,759.39
TOTAL (AO, CXL, CRT):	250.00
TOTAL (Trade Date):	118,509.39

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