



## Daily Compliance Activity Report

Trade Date: 12/22/2006

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	AA	S	2,400	29.07	n/a	n/a	120.00	5.0
<b>MKT MAKER</b>	<b>099</b>	<b>ADBE</b>	<b>B</b>	<b>300</b>	<b>40.72</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>MKT MAKER</b>	<b>099</b>	<b>ADBE</b>	<b>S</b>	<b>300</b>	<b>40.78</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BALYASNY ASSET MGMT	044	AGE	B	7,200	62.60	n/a	n/a	360.00	5.0
REINHART & MAHONEY	031	ANF	B	6,720	70.29	3-Nov	1-Dec	336.00	5.0
BELMONT GLOBAL ADV	248	ANN	B	13,000	33.14	n/a	1-Dec	650.00	5.0
PATTEN & PATTEN	067	AW	S	987	12.59	n/a	n/a	49.35	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AZO</b>	<b>B</b>	<b>11,800</b>	<b>116.48</b>	<b>n/a</b>	<b>n/a</b>	<b>472.00</b>	<b>4.0</b>
THE BOSTON COMPANY	214	BBBY	SS	27,200	37.86	n/a	n/a	1,360.00	5.0
BALYASNY ASSET MGMT	044	BEN	B	10,000	110.80	9-Nov	22-Dec	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BID</b>	<b>B</b>	<b>10,000</b>	<b>31.40</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
DAWSON SANBERG & CO	036	BKC	B	28,000	20.84	n/a	21-Dec	1,400.00	5.0
PATTEN & PATTEN	067	BK	B	2,825	39.32	5-Dec	12-Dec	141.25	5.0
BALYASNY ASSET MGMT	044	BLK	B	3,000	149.84	16-Oct	22-Dec	150.00	5.0
WHITE PINE CAPITAL	030	BRL	S	150	51.13	15-Aug	18-Dec	7.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	BTU	S	400	40.38	n/a	n/a	20.00	5.0
PATTEN & PATTEN	067	CAT	S	180	60.62	n/a	n/a	9.00	5.0
FRIESS MGMT	042	CCK	S	135,400	20.49	n/a	n/a	6,093.00	4.5
<b>GRONET</b>	<b>030</b>	<b>CCMP</b>	<b>S</b>	<b>500</b>	<b>32.56</b>	<b>n/a</b>	<b>14-Nov</b>	<b>0.00</b>	<b>0.0</b>
<b>SUTERA</b>	<b>160</b>	<b>CC</b>	<b>B</b>	<b>1,000</b>	<b>19.78</b>	<b>20-Dec</b>	<b>20-Dec</b>	<b>0.00</b>	<b>0.0</b>
Õ <b>Glenn Redemann</b>		<b>CENX</b>	<b>B</b>	<b>12</b>	<b>0.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
Õ <b>Glenn Redemann</b>		<b>CENX</b>	<b>B</b>	<b>12</b>	<b>0.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
Õ <b>Glenn Redemann</b>		<b>CENX</b>	<b>S</b>	<b>12</b>	<b>0.70</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
Õ <b>Glenn Redemann</b>		<b>CENX</b>	<b>S</b>	<b>12</b>	<b>0.95</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WHITE PINE CAPITAL	030	CFC	B	300	41.22	n/a	n/a	15.00	5.0
J L F ASSET MGMT	039	CHIC	SS	2,100	30.22	n/a	n/a	84.00	4.0
FRIESS MGMT	042	CHK	B	417,900	29.92	n/a	n/a	18,805.50	4.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CHS</b>	<b>SS</b>	<b>20,000</b>	<b>21.54</b>	<b>29-Nov</b>	<b>8-Dec</b>	<b>800.00</b>	<b>4.0</b>
<b>SUTERA</b>	<b>160</b>	<b>CHS</b>	<b>C</b>	<b>1,000</b>	<b>21.60</b>	<b>29-Nov</b>	<b>8-Dec</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	067	CNE	S	13	14.16	n/a	n/a	0.65	5.0
PATTEN & PATTEN	067	CNI	B	50	42.80	n/a	n/a	2.50	5.0
<b>KAICHER</b>	<b>064</b>	<b>CNXT</b>	<b>S</b>	<b>6,000</b>	<b>2.08</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.	
BUCK CAPITAL MGMT	001	COH	B	10,000	43.55	7-Dec	7-Dec	400.00	4.0
FRIESS MGMT	042	COH	S	190,600	43.76	7-Dec	7-Dec	8,577.00	4.5
KACELA CAPITAL	034	COST	S	14,000	52.16	n/a	15-Dec	560.00	4.0
THE BOSTON COMPANY	214	COT	SS	37,100	14.08	n/a	n/a	1,113.00	3.0
REINHART & MAHONEY	031	CPKI	B	13,800	32.07	n/a	n/a	690.00	5.0
Õ Doug Rogers		CPN	B	14000	83.00	n/a	n/a	0.00	0.0
Õ Doug Rogers		CPN	B	14000	83.00	n/a	n/a	0.00	0.0
Õ Doug Rogers		CPN	B	20000	83.00	n/a	n/a	0.00	0.0
Õ Doug Rogers		CPN	B	6000	83.00	n/a	n/a	0.00	0.0
Õ Doug Rogers		CPN	B	6000	83.00	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	CRI	B	20,000	25.80	n/a	n/a	800.00	4.0
Õ Glenn Redemann		CRM	B	2	1.35	n/a	n/a	0.00	0.0
Õ Glenn Redemann		CRM	B	2	1.75	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	CTXS	S	760	26.94	n/a	n/a	38.00	5.0
WEISS PECK	040	CVS	B	15,000	31.64	n/a	n/a	600.00	4.0
WHITE PINE CAPITAL	030	DAR	S	1,900	5.29	n/a	n/a	95.00	5.0
BUCK CAPITAL MGMT	001	DDS	B	100,000	35.26	n/a	n/a	4,000.00	4.0
BARR	096	DGX	S	400	53.12	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FRIESS MGMT	042	DIS	S	374,000	34.35	n/a	n/a	16,830.00	4.5
PATTEN & PATTEN	067	DOW	S	150	40.05	n/a	14-Dec	7.50	5.0
Õ Glenn Redemann		DPTR	B	12	0.15	n/a	n/a	0.00	0.0
Õ Glenn Redemann		DPTR	B	12	0.30	n/a	n/a	0.00	0.0
Õ Glenn Redemann		DPTR	S	12	1.11	n/a	n/a	0.00	0.0
Õ Glenn Redemann		DPTR	S	12	1.21	n/a	n/a	0.00	0.0
DAWSON SANBERG & CO	036	DPZ	SS	6,900	27.68	12-Oct	12-Dec	345.00	5.0
A.I.M. ADVISORS INC	031	DRI	B	70,000	40.38	12-Dec	19-Dec	2,800.00	4.0
DAWSON SANBERG & CO	036	DRI	SS	4,800	40.33	12-Dec	19-Dec	240.00	5.0
<b>BARR</b>	<b>096</b>	<b>DSL</b>	<b>C</b>	<b>200</b>	<b>71.96</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BACKUS</b>	<b>005</b>	<b>DVN</b>	<b>B</b>	<b>2,500</b>	<b>68.66</b>	<b>1-Sep</b>	<b>20-Dec</b>	<b>0.00</b>	<b>0.0</b>
PROSPECTOR PARTNERS LLC	036	ERIE	SS	2,300	57.41	n/a	n/a	115.00	5.0
CAPITAL GROWTH MGMT.	241	EV	S	80,000	32.27	2-Nov	22-Dec	4,000.00	5.0
PATTEN & PATTEN	067	EWZ	B	300	45.15	n/a	n/a	15.00	5.0
WHALE ROCK CAP	030	FD	S	31,956	37.76	9-Nov	21-Dec	1,278.24	4.0
<b>LISTED ERR</b>	<b>099</b>	<b>FD</b>	<b>B</b>	<b>4</b>	<b>37.81</b>	<b>9-Nov</b>	<b>21-Dec</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>FD</b>	<b>S</b>	<b>4</b>	<b>37.76</b>	<b>9-Nov</b>	<b>21-Dec</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	067	FLEX	S	200	11.25	n/a	n/a	10.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	FL	B	150,000	22.01	n/a	7-Dec	6,000.00	4.0
BARR	096	FNM	C	80	59.38	n/a	n/a	0.00	0.0
Õ Glenn Redemann		FWLT	B	2	1.41	n/a	n/a	0.00	0.0
Õ Glenn Redemann		FWLT	B	2	1.44	n/a	n/a	0.00	0.0
TROOB CAPITAL	067	F	S	25,000	7.35	n/a	n/a	750.00	3.0
BUCK CAPITAL MGMT	001	GES	B	10,000	61.09	n/a	n/a	400.00	4.0
WHITE PINE CAPITAL	030	GGG	B	300	39.98	n/a	n/a	15.00	5.0
WHITE PINE CAPITAL	030	GGG	S	850	39.71	n/a	n/a	42.50	5.0
DC CAPITAL	044	GLW	B	22,700	18.97	n/a	20-Dec	1,135.00	5.0
PATTEN & PATTEN	067	GLW	B	1,700	18.99	n/a	20-Dec	85.00	5.0
BACKUS	005	GLW	S	1,000	19.00	n/a	20-Dec	0.00	0.0
GRONET	030	GLW	S	500	18.95	n/a	20-Dec	0.00	0.0
MATRIX ASSET ADV.	036	GPS	S	28,000	20.05	n/a	1-Dec	211.20	1.5
FRIESS MGMT	042	GRP	B	24,400	40.26	n/a	n/a	1,098.00	4.5
THE BOSTON COMPANY	214	GYMB	SS	66,700	37.62	1-Dec	1-Dec	3,335.00	5.0
WHITE PINE CAPITAL	030	HMX	S	3,400	7.28	n/a	n/a	170.00	5.0
Õ Glenn Redemann		HOLX	B	1	2.10	n/a	n/a	0.00	0.0
Õ Glenn Redemann		HOLX	B	1	2.15	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHITE PINE CAPITAL	030	HRS	B	200	45.59	7-Nov	7-Nov	10.00	5.0
PATTEN & PATTEN	067	IIF	B	1,225	48.67	n/a	n/a	61.25	5.0
RIVER RUN MGMT	031	ITCD	B	5,000	2.56	n/a	n/a	150.00	3.0
BUCK CAPITAL MGMT	001	JCG	B	10,000	37.80	n/a	20-Dec	400.00	4.0
BUCK CAPITAL MGMT	001	JNY	SS	10,000	33.51	n/a	26-Oct	400.00	4.0
LISTED ERR	099	JNY	B	8,000	33.53	n/a	26-Oct	0.00	0.0
ROARING BLUE LION MGMT	012	JWN	B	8,000	48.99	11-Dec	11-Dec	400.00	5.0
LISTED ERR	099	JWN	S	8,000	48.99	11-Dec	11-Dec	0.00	0.0
BARR	096	KDE	S	600	18.52	n/a	n/a	0.00	0.0
GALLEON MGMT LP	033	KO	S	25,000	48.38	n/a	n/a	1,250.00	5.0
BARR	096	LEND	C	500	27.51	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	LIZ	SS	10,000	43.68	n/a	27-Oct	400.00	4.0
DISCIPLINED GROWTH INV.	030	LTD	B	12,900	29.65	1-Dec	1-Dec	645.00	5.0
BUCK	015	LVST	B	5	2.85	n/a	n/a	0.00	0.0
HIGHBRIDGE CAPITAL	038	MBI	S	89,695	72.25	n/a	n/a	4,484.75	5.0
PATTEN & PATTEN	067	MDT	S	300	53.38	n/a	22-Apr	15.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>MAGUIRE</b>	<b>090</b>	<b>MEM</b>	<b>B</b>	<b>10,000</b>	<b>4.47</b>	<b>n/a</b>	<b>n/a</b>	<b>12.00</b>	<b>0.0</b>
<b>BARR</b>	<b>096</b>	<b>MEM</b>	<b>B</b>	<b>10,000</b>	<b>4.47</b>	<b>n/a</b>	<b>n/a</b>	<b>12.00</b>	<b>0.0</b>
WHITE PINE CAPITAL	030	MER	B	400	90.40	17-Oct	12-Dec	20.00	5.0
PATTEN & PATTEN	067	MMM	B	900	78.51	20-Oct	20-Oct	45.00	5.0
PATTEN & PATTEN	067	NBIX	S	300	9.57	n/a	n/a	15.00	5.0
BALYASNY ASSET MGMT	044	NITE	B	50,000	19.39	n/a	n/a	2,500.00	5.0
TRIBECA/DOUG	040	NITE	B	10,000	19.25	n/a	n/a	400.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>NLS</b>	<b>B</b>	<b>40,000</b>	<b>14.18</b>	<b>n/a</b>	<b>n/a</b>	<b>1,600.00</b>	<b>4.0</b>
J L F ASSET MGMT	039	ONNN	S	105,000	7.20	n/a	n/a	4,200.00	4.0
FRIESS MGMT	042	ORCL	B	95,500	17.13	n/a	n/a	4,297.50	4.5
Õ Glenn Redemann		OSTK	B	12	0.10	n/a	n/a	0.00	0.0
Õ Glenn Redemann		OSTK	B	12	0.14	n/a	n/a	0.00	0.0
Õ Glenn Redemann		OSTK	S	12	0.30	n/a	n/a	0.00	0.0
Õ Glenn Redemann		OSTK	S	12	0.50	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	OXY	B	200	49.54	n/a	n/a	10.00	5.0
WHITE PINE CAPITAL	030	PERY	S	1,000	41.83	n/a	n/a	50.00	5.0
TROOB CAPITAL	067	PRM	B	54,900	1.70	n/a	n/a	1,647.00	3.0
TROOB CAPITAL	067	RAD	S	53,600	5.56	n/a	n/a	1,608.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DISIPLINED GROWTH INV.	030	RCL	B	4,900	41.32	n/a	1-Nov	245.00	5.0
HIGHBRIDGE CAPITAL	038	RGC	SS	173,400	20.78	n/a	n/a	8,670.00	5.0
<b>LUCHANSKY2</b>	<b>036</b>	<b>RIMM</b>	<b>S</b>	<b>100</b>	<b>130.12</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DAWSON SANBERG & CO	036	RI	SS	7,000	27.34	n/a	n/a	350.00	5.0
PATTEN & PATTEN	067	RKT	S	1,000	26.84	n/a	n/a	50.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>B</b>	<b>10,000</b>	<b>78.97</b>	<b>7-Dec</b>	<b>7-Dec</b>	<b>400.00</b>	<b>4.0</b>
FIRST INV MGMT CORP	036	ROK	S	21,300	60.94	n/a	n/a	1,065.00	5.0
WHITE PINE CAPITAL	030	RVI	S	2,000	19.41	n/a	n/a	100.00	5.0
WHITE PINE CAPITAL	030	RWC	S	23,200	5.65	n/a	n/a	1,160.00	5.0
PROSPECTOR PARTNERS LLC	036	SF	SS	4,400	39.32	n/a	n/a	220.00	5.0
FRIESS MGMT	042	SKX	B	53,200	32.28	n/a	7-Dec	2,394.00	4.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SSI</b>	<b>B</b>	<b>10,000</b>	<b>30.50</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
THE BOSTON COMPANY	214	STZ	SS	14,100	28.17	n/a	n/a	564.00	4.0
WHITE PINE CAPITAL	030	S	B	1,000	18.80	n/a	n/a	50.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TBL</b>	<b>B</b>	<b>22,300</b>	<b>31.82</b>	<b>15-Nov</b>	<b>7-Dec</b>	<b>892.00</b>	<b>4.0</b>



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEVIN CAPITAL STRATEGIES	012	TJX	SS	10,000	28.84	6-Oct	1-Dec	400.00	4.0
BUCK CAPITAL MGMT	001	TLB	B	10,000	24.60	18-Oct	16-Nov	400.00	4.0
BACKUS	005	TRI	S	4,000	42.55	17-Oct	22-Dec	0.00	0.0
BULL PATH CAPITAL	044	TROW	B	38,500	43.86	16-Oct	22-Dec	1,925.00	5.0
DAVID J GREEN & CO	040	UTEK	B	100,000	11.15	n/a	n/a	5,439.00	5.5
BARR	096	VDSI	S	1,300	11.53	n/a	n/a	0.00	0.0
CROWLEY	061	WLV	S	2,000	1.32	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	WMT	S	500	45.54	5-Oct	1-Dec	25.00	5.0
SIGMA CAPITAL ASSOCIATES	034	WMT	SS	50,000	45.52	5-Oct	1-Dec	2,500.00	5.0
WEINTRAUB CAPITAL MGT.	040	WMT	SS	25,000	45.50	5-Oct	1-Dec	1,250.00	5.0
EATON VANCE MGMT	039	XOM	S	100,000	75.74	n/a	n/a	4,000.00	4.0
<b>TOTAL (Trade Date) :</b>							<b>144,662.69</b>		

# Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	12/21	TRIBECA (TRIBMS4CEN)	038	BRO	B	10,000	28.27	n/a	n/a	500.00	5.0
AO,CRT	12/21	TRIBECA (TRIBMS4CEN)	038	BRO	B	10,000	28.27	n/a	n/a	400.00	4.0
<b>AO,</b>	<b>12/21</b>	<b>LISTED ERR (LISTED ERR)</b>	<b>097</b>	<b>COH</b>	<b>B</b>	<b>10,000</b>	<b>43.86</b>	<b>7-Dec</b>	<b>7-Dec</b>	<b>0.00</b>	<b>0.0</b>
<b>AO,</b>	<b>12/21</b>	<b>LISTED ERR (LISTED ERR)</b>	<b>097</b>	<b>COH</b>	<b>S</b>	<b>10,000</b>	<b>43.84</b>	<b>7-Dec</b>	<b>7-Dec</b>	<b>0.00</b>	<b>0.0</b>
AO,	12/21	TROOB CAPITAL (TROOBSPB)	067	CVS	S	13,150	30.27	n/a	n/a	394.50	3.0
AO,	12/21	TROOB CAPITAL (TROOMSPB)	067	CVS	S	11,850	30.27	n/a	n/a	355.50	3.0
<b>AO,</b>	<b>12/21</b>	<b>MKT MAKER (MKT MAKER)</b>	<b>099</b>	<b>ERIE</b>	<b>B</b>	<b>20</b>	<b>57.49</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
AO,CXL	12/21	PROSPECTOR PARTNERS LLC (PROSMORGAN)	036	ERIE	SS	23,300	57.49	n/a	n/a	0.00	0.0
AO,	12/21	PROSPECTOR PARTNERS LLC (PROSMORGAN)	036	ERIE	SS	23,300	57.49	n/a	n/a	1165.00	5.0
AO,CXL	12/21	TROOB CAPITAL (TROOBSPB)	067	F	B	58,550	7.37	n/a	n/a	1756.50	3.0
AO,	12/21	TROOB CAPITAL (TROOBSPB)	067	F	B	130,800	7.37	n/a	n/a	3924.00	3.0
AO,CXL	12/21	TROOB CAPITAL (TROOMSPB)	067	F	B	91,450	7.37	n/a	n/a	2743.50	3.0
AO,	12/21	TROOB CAPITAL (TROOMSPB)	067	F	B	19,200	7.37	n/a	n/a	576.00	3.0
AO,CXL	12/21	CAPITAL GROWTH MGMT. (CAPGSUPERI)	241	FDX	S	6,000	108.56	n/a	n/a	300.00	5.0
AO,CRT	12/21	CAPITAL GROWTH MGMT. (CAPGSUPERI)	241	FDX	S	6,000	108.56	n/a	n/a	300.00	5.0
AO,CXL	12/21	CAPITAL GROWTH MGMT. (CAPG4892)	241	FDX	S	40,000	108.56	n/a	n/a	2000.00	5.0
AO,CRT	12/21	CAPITAL GROWTH MGMT. (CAPG4892)	241	FDX	S	40,000	108.56	n/a	n/a	2000.00	5.0
AO,CXL	12/21	CAPITAL GROWTH MGMT. (CAPGDANF 2)	241	FDX	S	2,600	108.74	n/a	n/a	130.00	5.0
AO,CRT	12/21	CAPITAL GROWTH MGMT. (CAPGDANF 2)	241	FDX	S	1,400	108.74	n/a	n/a	70.00	5.0
AO,CXL	12/21	CAPITAL GROWTH MGMT. (CAPGDANF 1)	241	FDX	S	10,400	108.74	n/a	n/a	520.00	5.0
AO,CRT	12/21	CAPITAL GROWTH MGMT. (CAPGDANF 1)	241	FDX	S	11,600	108.74	n/a	n/a	580.00	5.0
AO,CXL	12/21	CAPITAL GROWTH MGMT. (CAPGLONGWO)	241	FDX	S	25,000	108.56	n/a	n/a	1250.00	5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	12/21	CAPITAL GROWTH MGMT. (CAPGLONGWO)	241	FDX	S	25,000	108.56	n/a	n/a	1250.00 5.0
AO,CXL	12/21	ADAGE CAPITAL MGMT (ADAGLONG)	030	K	B	150,600	50.44	n/a	n/a	7530.00 5.0
AO,CRT	12/21	ADAGE CAPITAL MGMT (ADAGLONG)	030	K	B	150,600	50.44	n/a	n/a	6024.00 4.0
AO,CXL	12/21	THE JAY GOLDMAN (GOLDWOODMA)	034	NWY	B	15,000	13.42	1-Dec	1-Dec	600.00 4.0
AO,	12/21	THE JAY GOLDMAN (GOLDWOODMA)	034	NWY	B	11,300	13.42	1-Dec	1-Dec	452.00 4.0
AO,CXL	12/21	THE JAY GOLDMAN (GOLDMASTER)	034	NWY	B	15,000	13.42	1-Dec	1-Dec	600.00 4.0
AO,	12/21	THE JAY GOLDMAN (GOLDMASTER)	034	NWY	B	18,700	13.42	1-Dec	1-Dec	748.00 4.0
AO,	12/21	TROOB CAPITAL (TROOBSPB)	067	PRM	B	112,800	1.72	n/a	n/a	3384.00 3.0
AO,	12/21	TROOB CAPITAL (TROOMSPB)	067	PRM	B	87,200	1.72	n/a	n/a	2616.00 3.0
AO,CXL	12/21	TROOB CAPITAL (TROOBSPB)	067	RAD	B	2,550	5.45	n/a	n/a	76.50 3.0
AO,	12/21	TROOB CAPITAL (TROOBSPB)	067	RAD	B	1,400	5.45	n/a	n/a	42.00 3.0
AO,CXL	12/21	TROOB CAPITAL (TROOMSPB)	067	RAD	B	1,050	5.45	n/a	n/a	31.50 3.0
AO,	12/21	TROOB CAPITAL (TROOMSPB)	067	RAD	B	2,200	5.45	n/a	n/a	66.00 3.0
AO,CXL	12/21	TROOB CAPITAL (TROOBSPB)	067	RAD	S	72,100	5.51	n/a	n/a	2163.00 3.0
AO,	12/21	TROOB CAPITAL (TROOBSPB)	067	RAD	S	96,750	5.51	n/a	n/a	2902.50 3.0
AO,CXL	12/21	TROOB CAPITAL (TROOMSPB)	067	RAD	S	27,900	5.51	n/a	n/a	837.00 3.0
AO,	12/21	TROOB CAPITAL (TROOMSPB)	067	RAD	S	3,250	5.51	n/a	n/a	97.50 3.0
AO,CXL	12/21	CAPITAL GROWTH MGMT. (CAPGSUPERI)	241	RIG	B	2,500	80.59	n/a	n/a	125.00 5.0
AO,CRT	12/21	CAPITAL GROWTH MGMT. (CAPGSUPERI)	241	RIG	B	2,500	80.59	n/a	n/a	125.00 5.0
AO,CXL	12/21	CAPITAL GROWTH MGMT. (CAPGLONGWO)	241	RIG	B	22,500	80.59	n/a	n/a	1125.00 5.0
AO,CRT	12/21	CAPITAL GROWTH MGMT. (CAPGLONGWO)	241	RIG	B	22,500	80.59	n/a	n/a	1125.00 5.0
AO,CXL	12/15	IRONBOUND CAPITAL (IROBGs)	012	SSCC	SS	110,000	11.20	26-Oct	14-Dec	5500.00 5.0
AO,	12/15	IRONBOUND CAPITAL (IROBGs)	012	SSCC	SS	110,000	11.20	26-Oct	14-Dec	3300.00 3.0
AO,CXL	12/21	TROOB CAPITAL (TROOBSPB)	067	URI	B	32,600	25.74	n/a	n/a	978.00 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/21	TROOB CAPITAL (TROOBSPB)	067	URI	B	18,850	25.74	n/a	n/a	565.50 3.0
AO,CXL	12/21	TROOB CAPITAL (TROOMSPB)	067	URI	B	17,400	25.74	n/a	n/a	522.00 3.0
AO,	12/21	TROOB CAPITAL (TROOMSPB)	067	URI	B	31,150	25.74	n/a	n/a	934.50 3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>4,109.00</b>

TOTAL (Trade Date) :	144,662.69
TOTAL (AO, CXL, CRT) :	4,109.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>148,771.69</b>
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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