



## Daily Compliance Activity Report

Trade Date: 12/18/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CHRISTENSE	022	AAPL	S	150	89.86	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	AAP	B	20,000	33.36	n/a	n/a	800.00	4.0
MATRIX ASSET ADV.	036	AA	B	15,000	10.25	n/a	n/a	450.00	3.0
THE JAY GOLDMAN	034	AEO	S	70,000	10.17	n/a	12-Dec	2,800.00	4.0
THOMSON HORSTMAN BRYANT	040	AEO	B	33,000	10.31	n/a	12-Dec	1,650.00	5.0
SCOPUS FUND	041	ANF	B	5,000	23.49	7-Aug	12-Dec	250.00	5.0
THE JAY GOLDMAN	034	ARO	B	40,000	17.48	n/a	12-Dec	1,600.00	4.0
WALKER SMITH	031	ATPG	SS	25,300	7.65	n/a	n/a	1,012.00	4.0
MATLIN PATTERSON	046	AVB	B	55,300	64.78	n/a	n/a	1,659.00	3.0
BUCK CAPITAL MGMT	001	BKE	S	30,000	21.10	n/a	n/a	1,200.00	4.0
BUCK CAPITAL MGMT	001	BKS	SS	50,000	14.56	n/a	n/a	2,000.00	4.0
MERRILL ASSET	032	BXS	S	24,200	21.59	n/a	n/a	1,089.00	4.5
M WEINTRAU	024	BZ	S	1,250	0.42	n/a	n/a	0.00	0.0
NORTHPOINT	030	CASY	B	3,900	23.66	n/a	n/a	156.00	4.0
BUCK CAPITAL MGMT	001	CMG	SS	20,000	63.47	23-Oct	23-Oct	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NORTHPOINT	030	CVD	S	8,900	42.36	n/a	n/a	356.00	4.0
THIRD COAST CAPITAL	035	DECK	S	6,000	71.76	n/a	n/a	300.00	5.0
SUN AMERICA ASSET MGMT	030	ERTS	B	7,500	17.24	n/a	n/a	300.00	4.0
TRELLUS PARTNERS LP	028	FDO	SS	15,000	26.10	5-Dec	12-Dec	750.00	5.0
NORTHPOINT	030	FLO	B	46,197	23.55	n/a	n/a	1,847.88	4.0
GRUSS CAPITAL	045	FOR	S	40,000	5.29	n/a	3-Oct	800.00	2.0
<b>TYNDALL</b>	<b>091</b>	<b>FOR</b>	<b>B</b>	<b>25,500</b>	<b>4.92</b>	<b>n/a</b>	<b>3-Oct</b>	<b>765.00</b>	<b>3.0</b>
SCOPUS FUND	041	GES	B	2,500	15.35	n/a	n/a	125.00	5.0
<b>M WEINTRAU</b>	<b>024</b>	<b>GFG</b>	<b>S</b>	<b>200</b>	<b>1.29</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	GIL	B	5,000	9.47	11-Dec	12-Dec	250.00	5.0
<b>EGS ASSOCIATES LP</b>	<b>091</b>	<b>GIL</b>	<b>B</b>	<b>4,500</b>	<b>9.65</b>	<b>11-Dec</b>	<b>12-Dec</b>	<b>270.00</b>	<b>6.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>HOT</b>	<b>B</b>	<b>40,000</b>	<b>17.92</b>	<b>n/a</b>	<b>n/a</b>	<b>1,600.00</b>	<b>4.0</b>
MERRILL ASSET	032	IPI	B	5,100	21.04	n/a	n/a	229.50	4.5
NORTHPOINT	030	IVC	B	10,400	15.06	n/a	n/a	416.00	4.0
MATRIX ASSET ADV.	036	JCI	B	10,000	17.43	11-Dec	11-Dec	300.00	3.0
HEALY CIRCLE	044	JWN	B	15,000	13.69	14-Nov	12-Dec	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOPUS FUND	041	JWN	B	10,000	13.84	14-Nov	12-Dec	500.00	5.0
BUCK CAPITAL MGMT	001	KCP	S	20,000	7.03	n/a	28-Sep	600.00	3.0
BUCK CAPITAL MGMT	001	MAR	B	30,000	17.86	n/a	n/a	1,200.00	4.0
SUN AMERICA ASSET MGMT	030	MET	S	37,000	37.53	n/a	n/a	1,480.00	4.0
BUCK CAPITAL MGMT	001	MFB	S	500	10.40	n/a	n/a	20.00	4.0
BUCK CAPITAL MGMT	001	M	S	50,000	10.31	12-Aug	12-Dec	2,000.00	4.0
RBC CAPITAL MARKETS	034	M	B	25,000	10.15	12-Aug	12-Dec	1,000.00	4.0
GLICK	059	NEXC	S	900	0.08	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	PVH	B	30,000	19.14	18-Dec	18-Dec	1,200.00	4.0
BUCK CAPITAL MGMT	001	RL	B	30,000	48.14	n/a	6-Nov	1,200.00	4.0
RBC CAPITAL MARKETS	034	SD	B	20,000	6.11	n/a	n/a	800.00	4.0
RBC CAPITAL MARKETS	034	SPY	B	10,000	91.29	n/a	n/a	400.00	4.0
RBC CAPITAL MARKETS	034	SPY	S	15,000	91.57	n/a	n/a	600.00	4.0
RBC CAPITAL MARKETS	034	SUN	B	10,000	40.34	n/a	n/a	400.00	4.0
RBC CAPITAL MARKETS	034	SUN	SS	20,000	41.98	n/a	n/a	800.00	4.0
Õ Ted Wheeler		TENNECO	B	200	20.1400	n/a	n/a	0.00	0.0
SERENGETI MGMT	030	TMK	B	50,000	44.22	n/a	n/a	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MATRIX ASSET ADV.	036	TYC	B	5,000	21.15	12-Nov	18-Nov	200.00	4.0
BUCK CAPITAL MGMT	001	UA	SS	20,000	24.71	n/a	29-Oct	800.00	4.0
SUN AMERICA ASSET MGMT	030	UNP	S	18,000	47.83	n/a	n/a	720.00	4.0
RBC CAPITAL MARKETS	034	UPL	B	10,000	34.14	n/a	20-Nov	400.00	4.0
THOMSON HORSTMAN BRYANT	040	URBN	B	46,800	16.10	5-Nov	12-Dec	2,340.00	5.0
PIONEER MICHAEL NOLAN	067	WFR	B	10,100	14.55	n/a	n/a	303.00	3.0
MERRILL ASSET	032	WGO	B	7,000	4.64	n/a	n/a	315.00	4.5
ASCEND PARTNERS	033	WRC	S	15,000	20.18	7-Nov	7-Nov	750.00	5.0
SCOPUS FUND	041	WY	SS	30,000	37.51	3-Nov	3-Nov	1,500.00	5.0
RBC CAPITAL MARKETS	034	XOM	B	10,000	79.58	n/a	n/a	400.00	4.0
<b>TOTAL (Trade Date) :</b>								<b>46,803.38</b>	

### Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/17	SCOPUS FUND (SCOPBANC O)	041	AEO	B	106,250	9.96	n/a	12-Dec	5312.50 5.0
AO,CRT	12/17	SCOPUS FUND (SCOPBANC O)	041	AEO	B	18,750	9.96	n/a	12-Dec	937.50 5.0
AO,CXL	12/17	SCOPUS FUND (SCOPUBS)	041	AEO	B	18,750	9.96	n/a	12-Dec	937.50 5.0
AO,CRT	12/17	SCOPUS FUND (SCOPUBS)	041	AEO	B	106,250	9.96	n/a	12-Dec	5312.50 5.0
AO,CXL	12/17	SCOPUS FUND (SCOPBANC O)	041	CLW	SS	17,000	15.51	n/a	n/a	850.00 5.0
AO,CRT	12/17	SCOPUS FUND (SCOPBANC O)	041	CLW	SS	3,000	15.51	n/a	n/a	150.00 5.0
AO,CXL	12/17	SCOPUS FUND (SCOPUBS)	041	CLW	SS	3,000	15.51	n/a	n/a	150.00 5.0
AO,CRT	12/17	SCOPUS FUND (SCOPUBS)	041	CLW	SS	17,000	15.51	n/a	n/a	850.00 5.0
AO,	12/17	LISTED ERR (LISTED ERR)	099	CMP	B	36,000	60.01	n/a	n/a	0.00 0.0
AO,	12/17	LISTED ERR (LISTED ERR)	099	CMP	S	36,000	60.01	n/a	n/a	0.00 0.0
AO,	12/17	CARDINAL CAPITAL (CARDPLSEL)	044	CMP	S	400	60.01	n/a	n/a	20.00 5.0
AO,CXL	12/17	CARDINAL CAPITAL (CARDPMSEL)	044	CMP	S	400	60.01	n/a	n/a	20.00 5.0
AO,	12/17	CARDINAL CAPITAL (CARDPMSEL)	044	CMP	S	400	60.01	n/a	n/a	20.00 5.0
AO,CXL	12/17	CARDINAL CAPITAL (CARDSMITH)	044	CMP	S	1,400	60.01	n/a	n/a	70.00 5.0
AO,	12/17	CARDINAL CAPITAL (CARDSMITH)	044	CMP	S	1,400	60.01	n/a	n/a	70.00 5.0
AO,CXL	12/17	CARDINAL CAPITAL (CARDBROWSC)	044	CMP	S	2,700	60.01	n/a	n/a	135.00 5.0
AO,	12/17	CARDINAL CAPITAL (CARDBROWSC)	044	CMP	S	2,700	60.01	n/a	n/a	135.00 5.0
AO,CXL	12/17	CARDINAL CAPITAL (CARDNYSCRF)	044	CMP	S	4,300	60.01	n/a	n/a	215.00 5.0
AO,	12/17	CARDINAL CAPITAL (CARDNYSCRF)	044	CMP	S	4,300	60.01	n/a	n/a	215.00 5.0
AO,CXL	12/17	CARDINAL CAPITAL (CARDARMY)	044	CMP	S	100	60.01	n/a	n/a	5.00 5.0
AO,	12/17	CARDINAL CAPITAL (CARDARMY)	044	CMP	S	100	60.01	n/a	n/a	5.00 5.0
AO,CXL	12/17	CARDINAL CAPITAL (CARDDIVINE)	044	CMP	S	100	60.01	n/a	n/a	5.00 5.0
AO,	12/17	CARDINAL CAPITAL (CARDDIVINE)	044	CMP	S	100	60.01	n/a	n/a	5.00 5.0
AO,CXL	12/17	CARDINAL CAPITAL (CARDWACHOV)	044	CMP	S	700	60.01	n/a	n/a	35.00 5.0
AO,	12/17	CARDINAL CAPITAL (CARDWACHOV)	044	CMP	S	700	60.01	n/a	n/a	35.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/17	CARDINAL CAPITAL (CARDAFGT)	044	CMP	S	500	60.01	n/a	n/a	25.00 5.0
AO,	12/17	CARDINAL CAPITAL (CARDAFGT)	044	CMP	S	500	60.01	n/a	n/a	25.00 5.0
AO,CXL	12/17	CARDINAL CAPITAL (CARDMILBAN)	044	CMP	S	300	60.01	n/a	n/a	15.00 5.0
AO,	12/17	CARDINAL CAPITAL (CARDMILBAN)	044	CMP	S	300	60.01	n/a	n/a	15.00 5.0
AO,CXL	12/17	CARDINAL CAPITAL (CARDFCHEM)	044	CMP	S	800	60.01	n/a	n/a	40.00 5.0
AO,	12/17	CARDINAL CAPITAL (CARDFCHEM)	044	CMP	S	800	60.01	n/a	n/a	40.00 5.0
AO,CXL	12/17	CARDINAL CAPITAL (CARDNYST)	044	CMP	S	2,900	60.01	n/a	n/a	145.00 5.0
AO,	12/17	CARDINAL CAPITAL (CARDNYST)	044	CMP	S	2,900	60.01	n/a	n/a	145.00 5.0
AO,CXL	12/17	CARDINAL CAPITAL (CARDLACERA)	044	CMP	S	100	60.01	n/a	n/a	5.00 5.0
AO,	12/17	CARDINAL CAPITAL (CARDLACERA)	044	CMP	S	100	60.01	n/a	n/a	5.00 5.0
AO,CXL	12/17	CARDINAL CAPITAL (CARDFMC)	044	CMP	S	700	60.01	n/a	n/a	35.00 5.0
AO,CXL	12/17	CARDINAL CAPITAL (CARDWASHGL)	044	CMP	S	400	60.01	n/a	n/a	20.00 5.0
AO,	12/17	CARDINAL CAPITAL (CARDFMC)	044	CMP	S	700	60.01	n/a	n/a	35.00 5.0
AO,	12/17	CARDINAL CAPITAL (CARDWASHGL)	044	CMP	S	400	60.01	n/a	n/a	20.00 5.0
AO,CXL	12/17	CARDINAL CAPITAL (CARDCVEP)	044	CMP	S	1,100	60.01	n/a	n/a	0.00 0.0
AO,CXL	12/17	CARDINAL CAPITAL (CARDIBTRUS)	044	CMP	S	100	60.01	n/a	n/a	5.00 5.0
AO,	12/17	CARDINAL CAPITAL (CARDCVEP)	044	CMP	S	1,100	60.01	n/a	n/a	55.00 5.0
AO,	12/17	CARDINAL CAPITAL (CARDIBTRUS)	044	CMP	S	100	60.01	n/a	n/a	5.00 5.0
AO,CXL	12/17	CARDINAL CAPITAL (CARDADVS3)	044	CMP	S	3,400	60.01	n/a	n/a	170.00 5.0
AO,CXL	12/17	CARDINAL CAPITAL (CARDIFRANC)	044	CMP	S	200	60.01	n/a	n/a	10.00 5.0
AO,	12/17	CARDINAL CAPITAL (CARDADVS3)	044	CMP	S	3,400	60.01	n/a	n/a	170.00 5.0
AO,	12/17	CARDINAL CAPITAL (CARDIFRANC)	044	CMP	S	200	60.01	n/a	n/a	10.00 5.0
AO,	12/17	CARDINAL CAPITAL (CARDPRKARL)	044	CMP	S	200	60.01	n/a	n/a	10.00 5.0
AO,CXL	12/17	CARDINAL CAPITAL (CARDMIDCAP)	044	CMP	S	200	60.01	n/a	n/a	10.00 5.0
AO,CXL	12/17	CARDINAL CAPITAL (CARDMIDCAP)	044	CMP	S	200	60.01	n/a	n/a	10.00 5.0
AO,	12/17	CARDINAL CAPITAL (CARDMIDCAP)	044	CMP	S	200	60.01	n/a	n/a	10.00 5.0
AO,CXL	12/17	CARDINAL CAPITAL (CARDLIBERT)	044	CMP	S	500	60.01	n/a	n/a	25.00 5.0
AO,	12/17	CARDINAL CAPITAL (CARDLIBERT)	044	CMP	S	500	60.01	n/a	n/a	25.00 5.0
AO,CXL	12/17	CARDINAL CAPITAL (CARDMAIN A)	044	CMP	S	300	60.01	n/a	n/a	15.00 5.0
AO,	12/17	CARDINAL CAPITAL (CARDMAIN A)	044	CMP	S	300	60.01	n/a	n/a	15.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO, CXL	12/17	CARDINAL CAPITAL (CARDCENTAL)	044	CMP	S	3,000	60.01	n/a	n/a	150.00 5.0
AO, CXL	12/17	CARDINAL CAPITAL (CARDJBEAN)	044	CMP	S	400	60.01	n/a	n/a	20.00 5.0
AO,	12/17	CARDINAL CAPITAL (CARDCENTAL)	044	CMP	S	3,000	60.01	n/a	n/a	150.00 5.0
AO,	12/17	CARDINAL CAPITAL (CARDJBEAN)	044	CMP	S	400	60.01	n/a	n/a	20.00 5.0
AO, CXL	12/17	CARDINAL CAPITAL (CARDCARNEG)	044	CMP	S	400	60.01	n/a	n/a	20.00 5.0
AO, CXL	12/17	CARDINAL CAPITAL (CARDMARYLA)	044	CMP	S	1,000	60.01	n/a	n/a	50.00 5.0
AO,	12/17	CARDINAL CAPITAL (CARDCARNEG)	044	CMP	S	400	60.01	n/a	n/a	20.00 5.0
AO,	12/17	CARDINAL CAPITAL (CARDMARYLA)	044	CMP	S	1,000	60.01	n/a	n/a	50.00 5.0
AO, CXL	12/17	CARDINAL CAPITAL (CARDPRWEB)	044	CMP	S	100	60.01	n/a	n/a	5.00 5.0
AO, CXL	12/17	CARDINAL CAPITAL (CARDTULSA)	044	CMP	S	300	60.01	n/a	n/a	15.00 5.0
AO,	12/17	CARDINAL CAPITAL (CARDPRWEB)	044	CMP	S	100	60.01	n/a	n/a	5.00 5.0
AO,	12/17	CARDINAL CAPITAL (CARDTULSA)	044	CMP	S	300	60.01	n/a	n/a	15.00 5.0
AO, CXL	12/17	CARDINAL CAPITAL (CARDBOMNI)	044	CMP	S	700	60.01	n/a	n/a	35.00 5.0
AO, CXL	12/17	CARDINAL CAPITAL (CARDTWINCI)	044	CMP	S	200	60.01	n/a	n/a	10.00 5.0
AO,	12/17	CARDINAL CAPITAL (CARDBOMNI)	044	CMP	S	700	60.01	n/a	n/a	35.00 5.0
AO,	12/17	CARDINAL CAPITAL (CARDTWINCI)	044	CMP	S	200	60.01	n/a	n/a	10.00 5.0
AO, CXL	12/17	CARDINAL CAPITAL (CARDMEDSTR)	044	CMP	S	500	60.01	n/a	n/a	25.00 5.0
AO, CXL	12/17	CARDINAL CAPITAL (CARDRPTR)	044	CMP	S	200	60.01	n/a	n/a	10.00 5.0
AO,	12/17	CARDINAL CAPITAL (CARDMEDSTR)	044	CMP	S	500	60.01	n/a	n/a	25.00 5.0
AO,	12/17	CARDINAL CAPITAL (CARDRPTR)	044	CMP	S	200	60.01	n/a	n/a	10.00 5.0
AO, CXL	12/17	CARDINAL CAPITAL (CARDMEDSCO)	044	CMP	S	400	60.01	n/a	n/a	20.00 5.0
AO, CXL	12/17	CARDINAL CAPITAL (CARDCAT)	044	CMP	S	500	60.01	n/a	n/a	25.00 5.0
AO,	12/17	CARDINAL CAPITAL (CARDMEDSCO)	044	CMP	S	400	60.01	n/a	n/a	20.00 5.0
AO,	12/17	CARDINAL CAPITAL (CARDCAT)	044	CMP	S	500	60.01	n/a	n/a	25.00 5.0
AO, CXL	12/17	CARDINAL CAPITAL (CARDNATURE)	044	CMP	S	1,400	60.01	n/a	n/a	70.00 5.0
AO, CXL	12/17	CARDINAL CAPITAL (CARDEMBARQ)	044	CMP	S	500	60.01	n/a	n/a	25.00 5.0
AO,	12/17	CARDINAL CAPITAL (CARDNATURE)	044	CMP	S	1,400	60.01	n/a	n/a	70.00 5.0
AO,	12/17	CARDINAL CAPITAL (CARDEMBARQ)	044	CMP	S	500	60.01	n/a	n/a	25.00 5.0
AO, CXL	12/17	CARDINAL CAPITAL (CARDSPRINT)	044	CMP	S	200	60.01	n/a	n/a	10.00 5.0
AO, CXL	12/17	CARDINAL CAPITAL (CARDBOEING)	044	CMP	S	200	60.01	n/a	n/a	10.00 5.0

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AO,	12/17	CARDINAL CAPITAL (CARDSPRINT)	044	CMP	S	200	60.01	n/a	n/a	10.00 5.0
AO,	12/17	CARDINAL CAPITAL (CARDBOEING)	044	CMP	S	200	60.01	n/a	n/a	10.00 5.0
AO,CXL	12/17	CARDINAL CAPITAL (CARDTKSNYC)	044	CMP	S	1,000	60.01	n/a	n/a	50.00 5.0
AO,	12/17	CARDINAL CAPITAL (CARDTKSNYC)	044	CMP	S	1,000	60.01	n/a	n/a	50.00 5.0
AO,CXL	12/17	CARDINAL CAPITAL (CARDLANDMA)	044	CMP	S	200	60.01	n/a	n/a	10.00 5.0
AO,	12/17	CARDINAL CAPITAL (CARDLANDMA)	044	CMP	S	200	60.01	n/a	n/a	10.00 5.0
AO,CXL	12/17	CARDINAL CAPITAL (CARDIHYDE)	044	CMP	S	100	60.01	n/a	n/a	5.00 5.0
AO,	12/17	CARDINAL CAPITAL (CARDIHYDE)	044	CMP	S	100	60.01	n/a	n/a	5.00 5.0
AO,CXL	12/17	CARDINAL CAPITAL (CARDFEDERA)	044	CMP	S	400	60.01	n/a	n/a	20.00 5.0
AO,	12/17	CARDINAL CAPITAL (CARDFEDERA)	044	CMP	S	400	60.01	n/a	n/a	20.00 5.0
AO,CXL	12/17	CARDINAL CAPITAL (CARDPLSEL)	044	CMP	S	400	60.01	n/a	n/a	20.00 5.0
AO,CXL	12/17	MARINER/TRICADIA (MARITRICAD)	041	FDML	S	27,300	3.73	n/a	n/a	1365.00 5.0
AO,CRT	12/17	MARINER/TRICADIA (MARITRICAD)	041	FDML	S	27,300	3.73	n/a	n/a	546.00 2.0
AO,	12/17	SUTTONBROOK CAPITAL (SUTTDB)	067	LVS	SS	100,000	7.49	n/a	n/a	4000.00 4.0
AO,	12/17	THOMSON HORSTMAN BRYANT (THNBLUKE)	067	PNRA	S	300	55.36	4-Sep	11-Nov	15.00 5.0
AO,	12/17	THOMSON HORSTMAN BRYANT (THNBTHBLO)	067	PNRA	S	400	55.36	4-Sep	11-Nov	20.00 5.0
AO,	12/17	THOMSON HORSTMAN BRYANT (THNBDISCOV)	067	PNRA	S	200	55.36	4-Sep	11-Nov	10.00 5.0
AO,	12/17	THOMSON HORSTMAN BRYANT (THNB)	067	PNRA	S	300	55.36	4-Sep	11-Nov	15.00 5.0
AO,	12/17	THOMSON HORSTMAN BRYANT (THNBNWOMEN)	067	PNRA	S	100	55.36	4-Sep	11-Nov	5.00 5.0
AO,	12/17	THOMSON HORSTMAN BRYANT (THNBNICA)	067	PNRA	S	700	55.36	4-Sep	11-Nov	35.00 5.0
AO,	12/17	THOMSON HORSTMAN BRYANT (THNBRAIL)	067	PNRA	S	1,400	55.36	4-Sep	11-Nov	70.00 5.0
AO,	12/17	THOMSON HORSTMAN BRYANT (THNBMISSNT)	067	PNRA	S	300	55.36	4-Sep	11-Nov	15.00 5.0
AO,	12/17	THOMSON HORSTMAN BRYANT (THNBEPALO)	067	PNRA	S	3,200	55.36	4-Sep	11-Nov	160.00 5.0
AO,	12/17	THOMSON HORSTMAN BRYANT (THNBLOCAL5)	067	PNRA	S	100	55.36	4-Sep	11-Nov	5.00 5.0
AO,	12/17	THOMSON HORSTMAN BRYANT (THNBANIX)	067	PNRA	S	300	55.36	4-Sep	11-Nov	15.00 5.0
AO,	12/17	THOMSON HORSTMAN BRYANT (THNBNEWSPA)	067	PNRA	S	200	55.36	4-Sep	11-Nov	10.00 5.0
AO,	12/17	THOMSON HORSTMAN BRYANT (THNBCOMMON)	067	PNRA	S	900	55.36	4-Sep	11-Nov	45.00 5.0



Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/17	THOMSON HORSTMAN BRYANT (THNBCBANK)	067	PNRA	S	100	55.36	4-Sep	11-Nov	5.00 5.0
AO,	12/17	THOMSON HORSTMAN BRYANT (THNBBMW)	067	PNRA	S	300	55.36	4-Sep	11-Nov	15.00 5.0
AO,	12/17	THOMSON HORSTMAN BRYANT (THNBNYIRON)	067	PNRA	S	100	55.36	4-Sep	11-Nov	5.00 5.0
AO,	12/17	THOMSON HORSTMAN BRYANT (THNBALPWFD)	067	PNRA	S	100	55.36	4-Sep	11-Nov	5.00 5.0
AO,	12/17	THOMSON HORSTMAN BRYANT (THNBLA STA)	067	PNRA	S	1,100	55.36	4-Sep	11-Nov	55.00 5.0
AO,	12/17	THOMSON HORSTMAN BRYANT (THNBCITY)	067	PNRA	S	3,400	55.36	4-Sep	11-Nov	170.00 5.0
AO,	12/17	THOMSON HORSTMAN BRYANT (THNBSHELBY)	067	PNRA	S	700	55.36	4-Sep	11-Nov	35.00 5.0
AO,	12/17	THOMSON HORSTMAN BRYANT (THNBTEXAS)	067	PNRA	S	300	55.36	4-Sep	11-Nov	15.00 5.0
AO,	12/17	THOMSON HORSTMAN BRYANT (THNBSMALL)	067	PNRA	S	200	55.36	4-Sep	11-Nov	10.00 5.0
AO,	12/17	THOMSON HORSTMAN BRYANT (THNBHCA MO)	067	PNRA	S	1,700	55.36	4-Sep	11-Nov	85.00 5.0
AO,	12/17	THOMSON HORSTMAN BRYANT (THNBFLSTU)	067	PNRA	S	100	55.36	4-Sep	11-Nov	5.00 5.0
AO,	12/17	THOMSON HORSTMAN BRYANT (THNBFIRE &)	067	PNRA	S	600	55.36	4-Sep	11-Nov	30.00 5.0
AO,	12/17	THOMSON HORSTMAN BRYANT (THNBEIB EN)	067	PNRA	S	200	55.36	4-Sep	11-Nov	10.00 5.0
AO,	12/17	THOMSON HORSTMAN BRYANT (THNBDESERE)	067	PNRA	S	700	55.36	4-Sep	11-Nov	35.00 5.0
AO,	12/17	THOMSON HORSTMAN BRYANT (THNBMISSOU)	067	PNRA	S	2,000	55.36	4-Sep	11-Nov	100.00 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>4,236.00</b>
TOTAL (Trade Date) :										46,803.38
TOTAL (AO, CXL, CRT) :										4,236.00
<b>TOTAL (RUN DATE) / NFS :</b>										<b>51,039.38</b>

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