

## **Daily Compliance Activity Report** Trade Date: 12/06/2010

## **POTENTIAL ANALYST TRADE VIOLATIONS: 0**

	7 100					FULL	LINIIAL A	INALISI	TRADE VIOLATIONS: U			
	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.		
	FRONTPOINT	266	ABD	S	20,438	7.40	n/a	n/a	817.52	4.0		
	PLATTE RIVER CAPITAL	240	ABT	В	52,730	46.93	n/a	n/a	2,109.20	4.0		
	PATTEN & PATTEN	067	AB	S	1,400	23.41	n/a	n/a	70.00	5.0		
õ	Nilsa Vazquez		ACUZD	s	500 1	4.0000	n/a	n/a	0.00	0.0		
	PATTEN & PATTEN	067	ADRU	В	200	20.46	n/a	n/a	10.00	5.0		
	SURSUM CAPITAL	215	AEO	SS	40,000	16.03	n/a	3-Dec	1,200.00	3.0		
	ADAGE CAPITAL MGMT	030	ANF	В	100,000	56.35	n/a	3-Dec	3,000.00	3.0		
	FRONTPOINT	266	ANF	SS	102,000	56.27	n/a	3-Dec	5,100.00	5.0		
	TRUST CO/COWEN/CALF.	040	APC	S	56,661	69.92	n/a	2-Dec	2,833.05	5.0		
	PATTEN & PATTEN	067	APD	S	300	87.77	n/a	26-Nov	15.00	5.0		
	HOLLIS CAPITAL	033	ARBA	В	5,000	22.07	n/a	n/a	250.00	5.0		
	FRONTPOINT	266	BBBY	В	64,800	45.74	n/a	n/a	3,240.00	5.0		
	WAGONHOUND/NIC	289	BEAV	S	3,759	37.53	n/a	27-0ct	150.36	4.0		
	PATTEN & PATTEN	067	BP	В	500	42.91	n/a	n/a	25.00	5.0		
	MTB INV ADV	034	CBRL	S	2,075	53.37	n/a	n/a	103.75	5.0		

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
STANDARD PACIFIC CAPITAL	040	CE	S	70,000	39.36	n/a	n/a	3,500.00	5.0
MERRILL ASSET/BLACKROCK	266	CRR	S	1,042	101.50	n/a	2-Dec	41.68	4.0
MERRILL ASSET/BLACKROCK	266	CYN	В	8,400	57.30	n/a	n/a	168.00	2.0
MTB INV ADV	034	DPZ	S	11,425	14.80	n/a	29-Nov	571.25	5.0
PATTEN & PATTEN	067	DUK	В	532	17.68	n/a	n/a	26.60	5.0
TRUST CO/COWEN/CALF.	040	DVN	В	26,580	73.97	n/a	2-Dec	1,329.00	5.0
MILLENNIUM PARTNERS ICSUS	041	EP	SS	50,000	13.83	n/a	n/a	2,500.00	5.0
PATTEN & PATTEN	067	EXC	В	100	39.98	n/a	n/a	5.00	5.0
IVORY CAPITAL	034	FCX	В	100,000	111.00	n/a	n/a	5,000.00	5.0
COOKBIELER	028	FLO	В	70,000	26.01	n/a	n/a	2,800.00	4.0
AUDOTA CAD	220	E.	D	200 000	16 72	n/2	2-Dog	6 000 00	3.0
SCOPUS FUND	041	F	В	50,000	16.71	n/a	2-Dec	2,000.00	4.0
WAGONHOUND/NIC	289	GSIC	S	6,814	24.04	n/a	n/a	272.56	4.0
PATTEN & PATTEN	067	HCF	В	8,000	7.73	n/a	n/a	400.00	5.0
COLUMBIA PARTNERS	028	HNT	S	31,039	27.14	n/a	n/a	1,241.56	4.0
COLUMBIA PARTNERS	028	HP	S	21,143	47.82	n/a	n/a	845.72	4.0
	STANDARD PACIFIC CAPITAL  MERRILL ASSET/BLACKROCK  MERRILL ASSET/BLACKROCK  MTB INV ADV  PATTEN & PATTEN  TRUST CO/COWEN/CALF.  MILLENNIUM PARTNERS ICSUS  PATTEN & PATTEN  IVORY CAPITAL  COOKBIELER  AVESTA CAP SCOPUS FUND  WAGONHOUND/NIC  PATTEN & PATTEN  COLUMBIA PARTNERS	STANDARD PACIFIC CAPITAL 040  MERRILL ASSET/BLACKROCK 266  MERRILL ASSET/BLACKROCK 266  MTB INV ADV 034  PATTEN & PATTEN 067  TRUST CO/COWEN/CALF. 040  MILLENNIUM PARTNERS ICSUS 041  PATTEN & PATTEN 067  IVORY CAPITAL 034  COOKBIELER 028  AVESTA CAP 229  SCOPUS FUND 041  WAGONHOUND/NIC 289  PATTEN & PATTEN 067  COLUMBIA PARTNERS 028	MERRILL ASSET/BLACKROCK 266 CRR  MERRILL ASSET/BLACKROCK 266 CYN  MTB INV ADV 034 DPZ  PATTEN & PATTEN 067 DUK  TRUST CO/COWEN/CALF. 040 DVN  MILLENNIUM PARTNERS ICSUS 041 EP  PATTEN & PATTEN 067 EXC  IVORY CAPITAL 034 FCX  COOKBIELER 028 FLO  AVESTA CAP 229 F  SCOPUS FUND 041 F  WAGONHOUND/NIC 289 GSIC  PATTEN & PATTEN 067 HCF  COLUMBIA PARTNERS 028 HNT	STANDARD PACIFIC CAPITAL 040 CE S  MERRILL ASSET/BLACKROCK 266 CRR S  MERRILL ASSET/BLACKROCK 266 CYN B  MTB INV ADV 034 DPZ S  PATTEN & PATTEN 067 DUK B  TRUST CO/COWEN/CALF. 040 DVN B  MILLENNIUM PARTNERS ICSUS 041 EP SS  PATTEN & PATTEN 067 EXC B  IVORY CAPITAL 034 FCX B  COOKBIELER 028 FLO B  AVESTA CAP 229 F B SCOPUS FUND 041 F B  WAGONHOUND/NIC 289 GSIC S  PATTEN & PATTEN 067 HCF B  COLUMBIA PARTNERS 028 HNT S	STANDARD PACIFIC CAPITAL         040         CE         S         70,000           MERRILL ASSET/BLACKROCK         266         CRR         S         1,042           MERRILL ASSET/BLACKROCK         266         CYN         B         8,400           MTB INV ADV         034         DPZ         S         11,425           PATTEN & PATTEN         067         DUK         B         532           TRUST CO/COWEN/CALF.         040         DVN         B         26,580           MILLENNIUM PARTNERS ICSUS 041         EP         SS         50,000           PATTEN & PATTEN         067         EXC         B         100           IVORY CAPITAL         034         FCX         B         100,000           COOKBIELER         028         FLO         B         70,000           AVESTA CAP         229         F         B         200,000           SCOPUS FUND         041         F         B         50,000           WAGONHOUND/NIC         289         GSIC         S         6,814           PATTEN & PATTEN         067         HCF         B         8,000           COLUMBIA PARTNERS         028         HNT         S         31,039 <td>STANDARD PACIFIC CAPITAL 040 CE S 70,000 39.36  MERRILL ASSET/BLACKROCK 266 CRR S 1,042 101.50  MERRILL ASSET/BLACKROCK 266 CYN B 8,400 57.30  MTB INV ADV 034 DPZ S 11,425 14.80  PATTEN &amp; PATTEN 067 DUK B 532 17.68  TRUST CO/COWEN/CALF. 040 DVN B 26,580 73.97  MILLENNIUM PARTNERS ICSUS 041 EP SS 50,000 13.83  PATTEN &amp; PATTEN 067 EXC B 100,000 111.00  COOKBIELER 028 FLO B 70,000 26.01  AVESTA CAP 229 F B 200,000 16.72  SCOPUS FUND 041 F B 50,000 16.71  WAGONHOUND/NIC 289 GSIC S 6,814 24.04  PATTEN &amp; PATTEN 067 HCF B 8,000 7.73  COLUMBIA PARTNERS 028 HNT S 31,039 27.14</td> <td>STANDARD PACIFIC CAPITAL 040 CE S 70,000 39.36 n/a  MERRILL ASSET/BLACKROCK 266 CRR S 1,042 101.50 n/a  MERRILL ASSET/BLACKROCK 266 CYN B 8,400 57.30 n/a  MIB INV ADV 034 DPZ S 11,425 14.80 n/a  PATTEN &amp; PATTEN 067 DUK B 532 17.68 n/a  TRUST CO/COWEN/CALF. 040 DVN B 26,580 73.97 n/a  MILLENNIUM PARTNERS ICSUS 041 EP SS 50,000 13.83 n/a  PATTEN &amp; PATTEN 067 EXC B 100,000 111.00 n/a  IVORY CAPITAL 034 FCX B 100,000 111.00 n/a  COOKBIELER 028 FLO B 70,000 26.01 n/a  AVESTA CAP 229 F B 200,000 16.72 n/a  SCOPUS FUND 041 F B 50,000 16.71 n/a  WAGONHOUND/NIC 289 GSIC S 6,814 24.04 n/a  PATTEN &amp; PATTEN 067 HCF B 8,000 7.73 n/a  COLUMBIA PARTNERS 028 HNT S 31,039 27.14 n/a</td> <td>STANDARD PACIFIC CAPITAL 040 CE S 70,000 39.36 n/a n/a  MERRILL ASSET/BLACKROCK 266 CRR S 1,042 101.50 n/a 2-Dec  MERRILL ASSET/BLACKROCK 266 CYN B 8,400 57.30 n/a n/a  MTB INV ADV 034 DPZ S 11,425 14.80 n/a 29-Nov  PATTEN 6 PATTEN 067 DUK B 532 17.68 n/a n/a  TRUST CO/COWEN/CALF. 040 DVN B 26,580 73.97 n/a 2-Dec  MILLENNIUM PARTNERS ICSUS 041 EP SS 50,000 13.83 n/a n/a  PATTEN 6 PATTEN 067 EXC B 100 39.98 n/a n/a  IVORY CAPITAL 034 FCX B 100,000 111.00 n/a n/a  COOKBIELER 028 FLO B 70,000 26.01 n/a n/a  AVESTA CAP 229 F B 200,000 16.72 n/a 2-Dec  SCOPUS FUND 041 F B 50,000 16.71 n/a 2-Dec  WAGONHOUND/NIC 289 GSIC S 6,814 24.04 n/a n/a  PATTEN 6 PATTEN 067 HCF B 8,000 7.73 n/a n/a  COLUMBIA PARTNERS 028 HNT S 31,039 27.14 n/a n/a</td> <td>STANDARD PACIFIC CAPITAL 040 CE S 70,000 39.36 n/a n/a 3,500.00  MERRILL ASSET/BLACKROCK 266 CRR S 1,042 101.50 n/a 2-Dec 41.68  MERRILL ASSET/BLACKROCK 266 CYN B 8,400 57.30 n/a n/a 168.00  MTB INV ADV 034 DPZ S 11,425 14.80 n/a 29-Nov 571.25  PATTEN &amp; PATTEN 067 DUK B 532 17.68 n/a n/a 26.60  TRUST CO/COMEN/CALF. 040 DVN B 26,580 73.97 n/a 2-Dec 1,329.00  MILLENNIUM PARTNERS ICSUS 041 EP SS 50,000 13.83 n/a n/a n/a 2,500.00  FATTEN &amp; PATTEN 067 EXC B 100,000 111.00 n/a n/a 5.00  IVORY CAPITAL 034 FCX B 100,000 111.00 n/a n/a 5,000.00  COOKBIELER 028 FLO B 70,000 26.01 n/a n/a 2-Dec 6,000.00  AVESTA CAP 229 F B 200,000 16.72 n/a 2-Dec 6,000.00  SCOPUS FUND 041 F B 50,000 16.71 n/a 2-Dec 2,000.00  WAGONHOUND/NIC 289 GSIC S 6,814 24.04 n/a n/a 2-Dec 2,000.00  WAGONHOUND/NIC 289 GSIC S 6,814 24.04 n/a n/a 1.241.56</td>	STANDARD PACIFIC CAPITAL 040 CE S 70,000 39.36  MERRILL ASSET/BLACKROCK 266 CRR S 1,042 101.50  MERRILL ASSET/BLACKROCK 266 CYN B 8,400 57.30  MTB INV ADV 034 DPZ S 11,425 14.80  PATTEN & PATTEN 067 DUK B 532 17.68  TRUST CO/COWEN/CALF. 040 DVN B 26,580 73.97  MILLENNIUM PARTNERS ICSUS 041 EP SS 50,000 13.83  PATTEN & PATTEN 067 EXC B 100,000 111.00  COOKBIELER 028 FLO B 70,000 26.01  AVESTA CAP 229 F B 200,000 16.72  SCOPUS FUND 041 F B 50,000 16.71  WAGONHOUND/NIC 289 GSIC S 6,814 24.04  PATTEN & PATTEN 067 HCF B 8,000 7.73  COLUMBIA PARTNERS 028 HNT S 31,039 27.14	STANDARD PACIFIC CAPITAL 040 CE S 70,000 39.36 n/a  MERRILL ASSET/BLACKROCK 266 CRR S 1,042 101.50 n/a  MERRILL ASSET/BLACKROCK 266 CYN B 8,400 57.30 n/a  MIB INV ADV 034 DPZ S 11,425 14.80 n/a  PATTEN & PATTEN 067 DUK B 532 17.68 n/a  TRUST CO/COWEN/CALF. 040 DVN B 26,580 73.97 n/a  MILLENNIUM PARTNERS ICSUS 041 EP SS 50,000 13.83 n/a  PATTEN & PATTEN 067 EXC B 100,000 111.00 n/a  IVORY CAPITAL 034 FCX B 100,000 111.00 n/a  COOKBIELER 028 FLO B 70,000 26.01 n/a  AVESTA CAP 229 F B 200,000 16.72 n/a  SCOPUS FUND 041 F B 50,000 16.71 n/a  WAGONHOUND/NIC 289 GSIC S 6,814 24.04 n/a  PATTEN & PATTEN 067 HCF B 8,000 7.73 n/a  COLUMBIA PARTNERS 028 HNT S 31,039 27.14 n/a	STANDARD PACIFIC CAPITAL 040 CE S 70,000 39.36 n/a n/a  MERRILL ASSET/BLACKROCK 266 CRR S 1,042 101.50 n/a 2-Dec  MERRILL ASSET/BLACKROCK 266 CYN B 8,400 57.30 n/a n/a  MTB INV ADV 034 DPZ S 11,425 14.80 n/a 29-Nov  PATTEN 6 PATTEN 067 DUK B 532 17.68 n/a n/a  TRUST CO/COWEN/CALF. 040 DVN B 26,580 73.97 n/a 2-Dec  MILLENNIUM PARTNERS ICSUS 041 EP SS 50,000 13.83 n/a n/a  PATTEN 6 PATTEN 067 EXC B 100 39.98 n/a n/a  IVORY CAPITAL 034 FCX B 100,000 111.00 n/a n/a  COOKBIELER 028 FLO B 70,000 26.01 n/a n/a  AVESTA CAP 229 F B 200,000 16.72 n/a 2-Dec  SCOPUS FUND 041 F B 50,000 16.71 n/a 2-Dec  WAGONHOUND/NIC 289 GSIC S 6,814 24.04 n/a n/a  PATTEN 6 PATTEN 067 HCF B 8,000 7.73 n/a n/a  COLUMBIA PARTNERS 028 HNT S 31,039 27.14 n/a n/a	STANDARD PACIFIC CAPITAL 040 CE S 70,000 39.36 n/a n/a 3,500.00  MERRILL ASSET/BLACKROCK 266 CRR S 1,042 101.50 n/a 2-Dec 41.68  MERRILL ASSET/BLACKROCK 266 CYN B 8,400 57.30 n/a n/a 168.00  MTB INV ADV 034 DPZ S 11,425 14.80 n/a 29-Nov 571.25  PATTEN & PATTEN 067 DUK B 532 17.68 n/a n/a 26.60  TRUST CO/COMEN/CALF. 040 DVN B 26,580 73.97 n/a 2-Dec 1,329.00  MILLENNIUM PARTNERS ICSUS 041 EP SS 50,000 13.83 n/a n/a n/a 2,500.00  FATTEN & PATTEN 067 EXC B 100,000 111.00 n/a n/a 5.00  IVORY CAPITAL 034 FCX B 100,000 111.00 n/a n/a 5,000.00  COOKBIELER 028 FLO B 70,000 26.01 n/a n/a 2-Dec 6,000.00  AVESTA CAP 229 F B 200,000 16.72 n/a 2-Dec 6,000.00  SCOPUS FUND 041 F B 50,000 16.71 n/a 2-Dec 2,000.00  WAGONHOUND/NIC 289 GSIC S 6,814 24.04 n/a n/a 2-Dec 2,000.00  WAGONHOUND/NIC 289 GSIC S 6,814 24.04 n/a n/a 1.241.56

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
	COLUMBUS CIRCLE	036	HUBG	В	2,689	36.22	n/a	n/a	107.56	4.0
	ARCHON CAPITAL	035	IOC	В	3,000	79.52	n/a	n/a	90.00	3.0
	RAINIER INV MGMT	035	JAH	S	18,050	31.06	n/a	n/a	722.00	4.0
	PATTEN & PATTEN	067	KMB	В	1,700	61.71	n/a	27-Oct	85.00	5.0
	MILLENNIUM PARTNERS ICSUS	041	KOG	S	50,000	5.35	n/a	n/a	2,500.00	5.0
	SCOPUS FUND	041	KR	S	25,000	20.77	n/a	n/a	1,000.00	4.0
	PATTEN & PATTEN	067	LAZ	В	700	38.24	n/a	12-Nov	35.00	5.0
	PERRY PARTNERS	085	LOW	В	71,000	24.86	n/a	1-Dec	3,550.00	5.0
	BUCK CAPITAL MGMT	001	LTD	S	20,000	31.70	n/a	n/a	800.00	4.0
	MTB INV ADV	034	LTM	S	4,175	38.86	n/a	n/a	208.75	5.0
	MTB INV ADV	034	MAPP	S	8,300	14.50	n/a	n/a	415.00	5.0
õ	Nilsa Vazquez		MON	S	200 6	53.4340	n/a	23-Nov	0.00	0.0
	PATTEN & PATTEN	067	MOO	S	800	51.60	n/a	n/a	40.00	5.0
	PEAK INV LLC	084	MPG	S	100,000	2.43	n/a	n/a	4,000.00	4.0
	MERRILL ASSET/BLACKROCK	266	MVC	В	25,000	14.24	n/a	n/a	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	Shr.
SURSUM CAPITAL	215	М	В	20,000	25.08	n/a	30-Nov	600.00	3.0
PATTEN & PATTEN	067	NEE	В	700	50.98	n/a	n/a	35.00	5.0
PATTEN & PATTEN	067	NUE	S	1,700	39.82	n/a	n/a	85.00	5.0
UNITED STATES PENSION	085	РСН	S	1,600	32.65	n/a	29-Oct	64.00	4.0
S.A.C. HEALTHCARE BOBBY	044	PFE	S	50,000	16.91	n/a	n/a	1,750.00	3.5
PATTEN & PATTEN	067	PRU	В	100	53.74	n/a	n/a	5.00	5.0
PATTEN & PATTEN	067	RHHBY	S	1,000	35.06	n/a	n/a	50.00	5.0
MFP INVESTORS	085	SEE	В	55,000	24.15	n/a	n/a	2,750.00	5.0
PATTEN & PATTEN	067	SLB	S	650	82.91	n/a	n/a	32.50	5.0
ROSEDALE CAPITAL	046	SRI	S	5,500	15.34	n/a	n/a	275.00	5.0
CRAMER ROSENTHAL/SCOTT	012	SWK	В	600	62.22	n/a	n/a	24.00	4.0
CRAMER ROSENTHAL/SCOTT	012	SYK	В	400	51.75	n/a	n/a	16.00	4.0
PATTEN & PATTEN	067	TEVA	В	200	48.96	n/a	6-Dec	10.00	5.0
WAGONHOUND/NIC	289	TEX	В	7,012	27.42	n/a	22-Oct	280.48	4.0
WHITE PINE CAPITAL	030	TEX	В	28,175	27.50	n/a	22-0ct	1,408.75	5.0
CRAMER ROSENTHAL/SCOTT	012	TLM	В	1,400	19.93	n/a	n/a	56.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
PATTEN & PATTEN	067	TXN	S	1,300	32.91	n/a	n/a	65.00	5.0
CRAMER ROSENTHAL/SCOTT	012	TYC	В	1,100	40.81	n/a	9-Nov	44.00	4.0
PATTEN & PATTEN	067	VMC	S	600	41.78	n/a	n/a	30.00	5.0
PATTEN & PATTEN	067	V	В	100	77.76	n/a	29-0ct	5.00	5.0
KLEINHEINZ CAP PART	031	WHR	В	25 <b>,</b> 000	81.32	n/a	n/a	1,250.00	5.0
PATTEN & PATTEN	067	WPS	В	2,100	34.09	n/a	n/a	105.00	5.0
PATTEN & PATTEN	067	WY	В	1 <b>,</b> 779	17.73	n/a	29-0ct	88.95	5.0
SURSUM CAPITAL	215	ZUMZ	SS	20,000	29.96	n/a	n/a	600.00	3.0

TOTAL (Trade Date): 69,808.24

Cancel/Corrects and As-Of Trades

Гуре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr
AO,CXL	12/03	SCOPUS FUND (SCOPGS)	041	DG	В	7 <b>,</b> 829	33.46	n/a	6-Dec	313.16	4.0
AO, CRT	12/03	SCOPUS FUND (SCOPGS)	041	DG	В	11,743	33.46	n/a	6-Dec	469.72	4.0
AO,CXL	12/03	SCOPUS FUND (SCOPUBS)	041	DG	В	52 <b>,</b> 391	33.46	n/a	6-Dec	2095.64	4.0
AO, CRT	12/03	SCOPUS FUND (SCOPUBS)	041	DG	В	48,477	33.46	n/a	6-Dec	1939.08	4.0
AO, CRT	12/03	SCHOTTENFELD ASSOC (SCHOKOYOTE)	041	GNTX	В	10,000	25.20	n/a	25-Oct	300.00	3.0
AO,CXL	12/03	SCHOTTENFELD ASSOC (SCHOASSOC)	041	GNTX	В	10,000	25.20	n/a	25-Oct	300.00	3.0
AO,	12/02	PATTEN & PATTEN (PATTFSG BA)	067	LAZ	S	500	37.48	n/a	12-Nov	25.00	5.0
AO,	12/02	PATTEN & PATTEN (PATTFSG BA)	067	LAZ	S	200	37.48	n/a	12-Nov	10.00	5.0
AO,CXL	12/02	PATTEN & PATTEN (PATTPERSHI)	067	LAZ	S	5,350	37.48	n/a	12-Nov	267.50	5.0
O,CRT	12/02	PATTEN & PATTEN (PATTPERSHI)	067	LAZ	S	4,850	37.48	n/a	12-Nov	242.50	5.0
AO,CXL	12/02	PATTEN & PATTEN (PATTSCHWAB)	067	LAZ	S	16,350	37.48	n/a	12-Nov	817.50	5.0
AO, CRT	12/02	PATTEN & PATTEN (PATTSCHWAB)	067	LAZ	S	16,150	37.48	n/a	12-Nov	807.50	5.0
AO, CRT	11/29	NOMURA CAPITAL (NOMUGMCA)	000	LYBB	S	6,404	29.40	n/a	n/a	192.12	3.0
AO,CXL	11/29	NOMURA CAPITAL (NOMUGMCA)	000	LYBB	S	6,404	29.40	n/a	n/a	192.12	3.0
AO, CRT	11/30	NOMURA CAPITAL (NOMUGMCA)	029	LYBB	S	3,312	29.22	n/a	n/a	99.36	3.0
AO,CXL	11/30	NOMURA CAPITAL (NOMUGMCA)	029	LYBB	S	3,312	29.22	n/a	n/a	99.36	3.0
AO, CRT	12/01	NOMURA CAPITAL (NOMUGMCA)	029	LYBB	S	9,386	29.96	n/a	n/a	281.58	3.0
AO,CXL	12/01	NOMURA CAPITAL (NOMUGMCA)	029	LYBB	S	9,386	29.96	n/a	n/a	281.58	3.0
۸٥,	12/03	IRIDIAN ASSET MGMT. (IRAM305)	036	TK	S	990	32.75	n/a	n/a	49.50	5.0
AO,CXL	12/03	IRIDIAN ASSET MGMT. (IRAM303)	036	TK	S	990	32.75	n/a	n/a	49.50	5.0

TOTAL (AO, CXL, CRT): 0.00

TOTAL	(RUN DATE) / NFS:	69,808.24
TOTAL	(AO, CXL, CRT):	0.00
TOTAL	(Trade Date):	69,808.24

## 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