



## Daily Compliance Activity Report

Trade Date: 07/26/2007

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>LUCHANSKY4</b>	<b>036</b>	<b>AAPL</b>	<b>S</b>	<b>100</b>	<b>145.29</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
AMBER CAPITAL	046	AA	B	300,000	39.80	n/a	n/a	12,000.00	4.0
SAVANNAH-BALTIMORE	012	AA	S	60,591	38.17	n/a	n/a	3,029.55	5.0
KEEFE BRUYETTE WOODS A	031	AB	S	5,900	85.92	25-Jul	25-Jul	295.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AEO</b>	<b>B</b>	<b>35,000</b>	<b>25.28</b>	<b>10-Jul</b>	<b>13-Jul</b>	<b>1,400.00</b>	<b>4.0</b>
COUGAR TRADING	044	AEO	S	10,000	25.15	10-Jul	13-Jul	500.00	5.0
ROARING BLUE LION MGMT	012	AEO	B	1,400	25.30	10-Jul	13-Jul	70.00	5.0
ROSEDALE CAPITAL	046	AEO	S	20,000	25.22	10-Jul	13-Jul	1,000.00	5.0
REINHART & MAHONEY	031	AKAM	B	9,680	35.90	n/a	n/a	484.00	5.0
SUNOVA CAPITAL	031	AMG	S	50,000	117.21	25-Jul	25-Jul	2,500.00	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>AMG</b>	<b>B</b>	<b>500</b>	<b>116.99</b>	<b>25-Jul</b>	<b>25-Jul</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>AMG</b>	<b>S</b>	<b>500</b>	<b>117.47</b>	<b>25-Jul</b>	<b>25-Jul</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>B</b>	<b>35,000</b>	<b>69.42</b>	<b>12-Jul</b>	<b>13-Jul</b>	<b>1,400.00</b>	<b>4.0</b>
COUGAR TRADING	044	ANF	S	10,000	69.75	12-Jul	13-Jul	500.00	5.0
WHALE ROCK CAP	030	ANF	S	50,000	68.38	12-Jul	13-Jul	2,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANN</b>	<b>B</b>	<b>20,000</b>	<b>33.57</b>	<b>12-Jul</b>	<b>13-Jul</b>	<b>800.00</b>	<b>4.0</b>
REINHART & MAHONEY	031	ARRS	S	34,665	15.50	n/a	n/a	1,733.25	5.0
LEVIN CAPITAL STRATEGIES	012	ASN	S	10,000	58.30	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER CAPITAL	038	ATR	B	40,000	36.31	n/a	n/a	2,400.00	6.0
<b>BUCK</b>	<b>015</b>	<b>BAC</b>	<b>B</b>	<b>1,600</b>	<b>47.25</b>	<b>20-Apr</b>	<b>20-Jul</b>	<b>0.00</b>	<b>0.0</b>
COLUMBUS CIRCLE	036	BAX	S	1,267,267	52.15	n/a	22-Apr	50,690.68	4.0
<b>BINDER</b>	<b>007</b>	<b>BDK</b>	<b>C</b>	<b>400</b>	<b>86.64</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BINDER</b>	<b>007</b>	<b>BDK</b>	<b>SS</b>	<b>200</b>	<b>87.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LUCHANSKY1</b>	<b>036</b>	<b>BDSB</b>	<b>S</b>	<b>500</b>	<b>9.47</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SUNOVA CAPITAL	031	BEN	S	70,000	130.67	26-Jul	26-Jul	3,500.00	5.0
<b>WHEELER</b>	<b>008</b>	<b>BQI</b>	<b>B</b>	<b>4,600</b>	<b>3.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BARR</b>	<b>096</b>	<b>BQI</b>	<b>S</b>	<b>4,500</b>	<b>4.06</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>SINCLAIR</b>	<b>031</b>	<b>BSCAK</b>	<b>B</b>	<b>33</b>	<b>3.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>MAGUIRE</b>	<b>039</b>	<b>BSCAO</b>	<b>B</b>	<b>10</b>	<b>1.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>MAGUIRE</b>	<b>090</b>	<b>BSC</b>	<b>B</b>	<b>1,500</b>	<b>124.30</b>	<b>n/a</b>	<b>18-Jul</b>	<b>0.00</b>	<b>0.0</b>
ARIENCE CAPITAL	036	BYD	B	57,916	45.30	n/a	27-Apr	2,895.80	5.0
TRELLUS PARTNERS LP	028	CERN	SS	30,000	53.30	n/a	n/a	1,500.00	5.0
STADIA CAPITAL	035	CFC	B	50,000	29.32	n/a	n/a	2,000.00	4.0
RAINIER INV MGMT	035	CF	B	86,500	53.49	n/a	n/a	3,460.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WYCKOFF	013	CHCG	B	1,000	6.80	n/a	n/a	0.00	0.0
MARK ASSETMGMT (SR)	091	CHTR	S	272,845	3.99	n/a	n/a	5,456.90	2.0
WHALE ROCK CAP	030	CMCSA	S	100,000	26.55	5-Apr	26-Jul	4,000.00	4.0
BUCK CAPITAL MGMT	001	COH	B	5,000	46.45	n/a	26-Jul	200.00	4.0
BUCK CAPITAL MGMT	001	COH	S	5,000	47.24	n/a	26-Jul	200.00	4.0
COUGAR TRADING	044	COH	S	10,000	47.14	n/a	26-Jul	500.00	5.0
CUMBERLAND	038	COH	B	100,000	46.60	n/a	26-Jul	4,000.00	4.0
PRINCIPLE CAPITAL	040	CPHD	B	5,900	14.57	n/a	n/a	177.00	3.0
HIGHBRIDGE CAPITAL	038	CPHL	S	18,258	13.10	n/a	n/a	912.90	5.0
KANTROWIT	N21	CROX	B	30	49.50	n/a	n/a	0.00	0.0
JACOB	068	CRR	S	450	45.13	n/a	26-Jul	0.00	0.0
REINHART & MAHONEY	031	CSCO	S	9,550	29.31	n/a	22-Mar	477.50	5.0
WHITTIER CAP	048	CVS	S	6,555	35.70	n/a	n/a	262.20	4.0
BUCK	015	DDR	B	200	48.29	n/a	n/a	0.00	0.0
SOMERSET ADV	044	DE	B	4,300	120.45	n/a	n/a	215.00	5.0
BUCK CAPITAL MGMT	001	DSW	B	10,000	33.18	7-May	7-Jun	400.00	4.0
LOOMIS SALES/BOSTON	036	DW	B	65,403	33.54	n/a	n/a	2,616.12	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>LEDDY</b>	<b>035</b>	<b>EDA</b>	<b>S</b>	<b>100</b>	<b>11.27</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PILOT ADV	038	FAST	SS	28,000	43.19	n/a	n/a	1,120.00	4.0
<b>LEDDY</b>	<b>035</b>	<b>FBR</b>	<b>S</b>	<b>800</b>	<b>5.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ENTRUST CAPITAL	040	FMX	B	50,000	36.79	n/a	n/a	2,500.00	5.0
REINHART & MAHONEY	031	FSP	B	9,900	14.93	n/a	n/a	495.00	5.0
COUGAR TRADING	044	GIII	S	10,000	17.00	n/a	n/a	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GIL</b>	<b>B</b>	<b>10,000</b>	<b>33.34</b>	<b>21-Jun</b>	<b>21-Jun</b>	<b>400.00</b>	<b>4.0</b>
COUGAR TRADING	044	GIL	S	10,000	33.27	21-Jun	21-Jun	500.00	5.0
MORGAN LEWIS/MLH	046	GLW	S	100,000	24.18	n/a	25-Jul	5,000.00	5.0
JP MORGAN VENTURES	046	GME	C	40,000	41.33	n/a	n/a	2,000.00	5.0
TRELLUS PARTNERS LP	028	GM	B	50,000	32.94	4-May	25-Jul	2,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GPI</b>	<b>S</b>	<b>60,600</b>	<b>36.03</b>	<b>27-Apr</b>	<b>25-Jul</b>	<b>2,424.00</b>	<b>4.0</b>
LEVIN CAPITAL STRATEGIES	012	GRT	S	5,000	22.19	n/a	n/a	200.00	4.0
<b>LEDDY</b>	<b>035</b>	<b>HBI</b>	<b>SS</b>	<b>1,000</b>	<b>30.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WILLIAM BLAIR	031	HHGP	B	43,000	17.73	n/a	n/a	1,720.00	4.0
CASTLE ARK	031	ICE	B	18,000	143.79	n/a	n/a	1,080.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LUCHANSKY1	036	IGT	B	500	35.52	n/a	20-Jul	0.00	0.0
THE JAY GOLDMAN	034	IP	B	20,000	38.61	4-May	14-Jun	800.00	4.0
ROARING BLUE LION MGMT	012	IVZ	B	3,000	24.67	10-Jul	25-Jul	150.00	5.0
LUCHANSKY1	036	IWM	C	500	78.58	n/a	n/a	0.00	0.0
WYCKOFF	013	JADE	B	1,000	7.06	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	JCP	B	10,000	69.51	21-Jun	13-Jul	400.00	4.0
TRIBECA/DOUG	040	JPM	SS	100,000	43.84	n/a	19-Jul	4,000.00	4.0
CUMBERLAND	038	JWN	B	50,000	44.10	12-Jul	26-Jul	2,000.00	4.0
XYLEM GLOBAL	091	KMB	SS	25,000	68.96	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	KSS	B	40,000	62.71	14-Jun	12-Jul	1,600.00	4.0
COUGAR TRADING	044	KSS	S	10,000	63.11	14-Jun	12-Jul	500.00	5.0
REINHART & MAHONEY	031	KSS	B	7,530	62.30	14-Jun	12-Jul	376.50	5.0
GARX	030	KVA	B	70,900	27.66	n/a	n/a	2,836.00	4.0
MILLENIUM PARTNERS	028	LEAP	SS	3,000	89.93	n/a	n/a	150.00	5.0
BUCK CAPITAL MGMT	001	LEH	S	13,000	64.37	12-Jun	13-Jul	520.00	4.0
MAGUIRE	090	LEH	B	3,000	64.43	12-Jun	13-Jul	0.00	0.0
DISIPLINED GROWTH INV.	030	LVLTT	S	45,900	4.99	26-Jul	26-Jul	1,377.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>MARK ASSETMGMT (SR)</b>	<b>091</b>	<b>LVL</b>	<b>S</b>	<b>99,386</b>	<b>4.99</b>	<b>26-Jul</b>	<b>26-Jul</b>	<b>2,981.58</b>	<b>3.0</b>
MILLENIUM PARTNERS	028	LVL	B	50,000	4.98	26-Jul	26-Jul	2,500.00	5.0
CAPITAL GROWTH MGMT.	241	MAN	S	13,000	85.46	n/a	n/a	650.00	5.0
MS PRINCIPAL STRATEGIES	040	MAR	B	25,000	41.39	n/a	n/a	1,250.00	5.0
CAPITAL GROWTH MGMT.	241	MA	B	20,000	156.01	n/a	n/a	1,000.00	5.0
REINHART & MAHONEY	031	MCRS	B	10,060	54.56	n/a	n/a	503.00	5.0
<b>BUCK</b>	<b>015</b>	<b>MDY</b>	<b>S</b>	<b>150</b>	<b>157.61</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>WHEELER</b>	<b>008</b>	<b>MNZAS</b>	<b>S</b>	<b>50</b>	<b>3.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK</b>	<b>015</b>	<b>MON</b>	<b>B</b>	<b>200</b>	<b>63.99</b>	<b>n/a</b>	<b>29-Jun</b>	<b>0.00</b>	<b>0.0</b>
<b>MAGUIRE</b>	<b>090</b>	<b>MZZ</b>	<b>B</b>	<b>12,000</b>	<b>54.71</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>MAGUIRE</b>	<b>090</b>	<b>NRG</b>	<b>B</b>	<b>3,000</b>	<b>37.72</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MILLENIUM PARTNERS	028	NWSA	S	20,000	21.81	n/a	n/a	1,000.00	5.0
HIGHBRIDGE CAPITAL	038	OWW	S	100,000	12.67	n/a	n/a	5,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PAG</b>	<b>S</b>	<b>40,000</b>	<b>19.57</b>	<b>n/a</b>	<b>25-Jul</b>	<b>1,600.00</b>	<b>4.0</b>
HIGHBRIDGE CAPITAL	038	PCH	B	63,700	41.65	26-Jun	26-Jun	3,185.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>PCL</b>	<b>S</b>	<b>500</b>	<b>39.86</b>	<b>10-Jul</b>	<b>24-Jul</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ELM RIDGE ADVISORS	044	PRX	B	25,000	24.00	21-May	24-Jul	1,000.00	4.0
JP MORGAN VENTURES	046	PSUN	C	12,000	18.94	n/a	13-Jul	600.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>B</b>	<b>15,000</b>	<b>51.23</b>	<b>31-May</b>	<b>31-May</b>	<b>600.00</b>	<b>4.0</b>
COUGAR TRADING	044	PVH	S	5,000	51.94	31-May	31-May	250.00	5.0
PILOT ROCK	028	QCOM	B	150,000	42.81	n/a	n/a	6,000.00	4.0
<b>MAGUIRE</b>	<b>090</b>	<b>QID</b>	<b>B</b>	<b>5,000</b>	<b>43.82</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>S</b>	<b>10,000</b>	<b>89.98</b>	<b>21-Jun</b>	<b>27-Jun</b>	<b>400.00</b>	<b>4.0</b>
COUGAR TRADING	044	RL	B	5,000	91.32	21-Jun	27-Jun	250.00	5.0
BASSO CAPITAL	034	ROST	S	80,000	29.17	n/a	n/a	4,000.00	5.0
<b>BUCK</b>	<b>015</b>	<b>RTN</b>	<b>S</b>	<b>200</b>	<b>55.54</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>ZOLIDIS</b>	<b>011</b>	<b>SDS</b>	<b>S</b>	<b>100</b>	<b>54.47</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MERRILL ASSET	032	SFD	S	40,500	32.15	n/a	n/a	1,822.50	4.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKX</b>	<b>B</b>	<b>10,000</b>	<b>21.32</b>	<b>n/a</b>	<b>13-Mar</b>	<b>400.00</b>	<b>4.0</b>
WHITTIER CAP	048	SMG	B	5,580	42.00	9-Jul	19-Jul	223.20	4.0
<b>LEDY</b>	<b>035</b>	<b>SNEN</b>	<b>S</b>	<b>1,500</b>	<b>2.35</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SSI</b>	<b>S</b>	<b>145,000</b>	<b>18.43</b>	<b>25-May</b>	<b>13-Jul</b>	<b>5,800.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CARDINAL CAPITAL	044	SSI	B	42,300	18.38	25-May	13-Jul	2,115.00	5.0
KENNEDY CAPITAL	046	SSI	B	40,000	18.43	25-May	13-Jul	1,600.00	4.0
MILLENIUUM PARTNERS	028	S	B	27,800	21.24	n/a	n/a	1,390.00	5.0
<b>BARR</b>	<b>096</b>	<b>TGIC</b>	<b>SS</b>	<b>300</b>	<b>32.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CAPITAL GROWTH MGMT.	241	TGI	B	65,000	74.88	n/a	n/a	3,250.00	5.0
COUGAR TRADING	044	TIF	B	5,000	50.66	1-Jun	13-Jun	250.00	5.0
COUGAR TRADING	044	TIF	SS	15,000	50.15	1-Jun	13-Jun	750.00	5.0
IRONBOUND CAPITAL	012	TIN	B	2,500	58.44	25-Jul	26-Jul	125.00	5.0
<b>BINDER</b>	<b>007</b>	<b>TIN</b>	<b>SS</b>	<b>300</b>	<b>58.39</b>	<b>25-Jul</b>	<b>26-Jul</b>	<b>0.00</b>	<b>0.0</b>
TRIBECA/DOUG	040	TROW	SS	33,900	50.84	n/a	25-Jul	1,356.00	4.0
BASSO CAPITAL	034	TSCO	B	10,000	47.08	n/a	n/a	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TWB</b>	<b>B</b>	<b>20,000</b>	<b>39.51</b>	<b>2-Jul</b>	<b>2-Jul</b>	<b>800.00</b>	<b>4.0</b>
IRON HORSE CAPITAL MGMT	038	TWM	S	10,000	68.92	n/a	n/a	500.00	5.0
<b>LUCHANSKY1</b>	<b>036</b>	<b>TXN</b>	<b>S</b>	<b>100</b>	<b>35.63</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
STRAUSS ASSET MGMT	040	TXRH	S	15,000	12.99	n/a	n/a	750.00	5.0
MILLENIUUM PARTNERS	028	T	B	15,000	40.04	25-Jul	26-Jul	750.00	5.0
SSI INVESTORS	048	UPL	SS	83,164	53.44	n/a	20-Jul	3,326.56	4.0



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRIBECA	038	URBN	B	76,500	19.42	2-Apr	16-Jul	3,060.00	4.0
HIGHBRIDGE CAPITAL	038	URS	B	4,000	50.50	n/a	n/a	200.00	5.0
DAVIDSON TRUST CO	033	USB	B	10,000	30.64	n/a	n/a	500.00	5.0
TRIVIUM CAP MGMT	028	USG	C	50,000	41.08	26-Jul	26-Jul	2,000.00	4.0
MERRILL ASSET	032	VQ	B	16,500	17.80	n/a	n/a	742.50	4.5
COLUMBIA PARTNERS	028	WCI	SS	34,634	8.91	n/a	n/a	1,039.02	3.0
MERRILL ASSET	032	WDR	B	44,900	25.12	13-Jul	24-Jul	2,020.50	4.5
SANDLER O'NEILL ASSET	031	WDR	B	25,000	25.88	13-Jul	24-Jul	1,250.00	5.0
JP MORGAN VENTURES	046	WMT	B	20,800	47.31	4-Jun	23-Jul	1,040.00	5.0
<b>BARR</b>	<b>096</b>	<b>WM</b>	<b>SS</b>	<b>300</b>	<b>38.49</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ADAGE CAPITAL MGMT	030	WRNC	SS	42,700	37.03	18-Jul	18-Jul	1,708.00	4.0
STADIA CAPITAL	035	WSM	SS	25,000	32.15	n/a	n/a	1,000.00	4.0
<b>BUCK</b>	<b>015</b>	<b>WY</b>	<b>S</b>	<b>1,200</b>	<b>75.97</b>	<b>13-Jul</b>	<b>13-Jul</b>	<b>0.00</b>	<b>0.0</b>
MILLENIUM PARTNERS	028	YHOO	B	10,000	23.91	n/a	n/a	500.00	5.0
CHILTON CAPITAL MGMT.	036	YUM	SS	25,000	33.10	24-Apr	24-Apr	1,000.00	4.0

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**TOTAL (Trade Date):**

**224,912.26**

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### Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/25	CARLYLE BLUE WAVE PR MG (CBLUMS/USE)	224	BA	B	6,000	107.35	n/a	n/a	300.00 5.0
AO,CRT	07/25	CARLYLE BLUE WAVE PR MG (CBLUCITI)	224	BA	B	6,000	107.35	n/a	n/a	300.00 5.0
AO,CXL	07/25	ALLEN & CO (ALLNALLEN)	032	BNI	S	52,500	86.74	n/a	n/a	0.00 0.0
AO,CXL	07/25	CARLYLE BLUE WAVE PR MG (CBLUMS/USE)	224	BTU	S	13,000	42.14	n/a	n/a	650.00 5.0
AO,CRT	07/25	CARLYLE BLUE WAVE PR MG (CBLUCITI)	224	BTU	S	13,000	42.14	n/a	n/a	650.00 5.0
AO,CXL	07/25	CIRCLE T PART (CIRCMAN)	035	BWA	B	50,600	90.05	n/a	25-Jul	2530.00 5.0
AO,CRT	07/25	CIRCLE T PART (CIRCMAN)	035	BWA	B	50,600	90.05	n/a	25-Jul	2024.00 4.0
AO,CXL	07/25	CIRCLE T PART (CIRCOPPENH)	035	BWA	B	6,900	90.05	n/a	25-Jul	345.00 5.0
AO,CRT	07/25	CIRCLE T PART (CIRCOPPENH)	035	BWA	B	6,900	90.05	n/a	25-Jul	276.00 4.0
AO,CXL	07/25	TRELLUS PARTNERS LP (TRELMAIN)	028	BWA	B	20,000	90.01	n/a	25-Jul	1000.00 5.0
AO,CRT	07/25	TRELLUS PARTNERS LP (TRELMAIN)	028	BWA	B	20,000	90.01	n/a	25-Jul	800.00 4.0
AO,CXL	07/25	ALLEN & CO (ALLNALLEN)	032	CSX	S	164,250	48.90	n/a	n/a	6570.00 4.0
<b>CRT</b>	<b>07/26</b>	<b>LUCHANSKY1 (LUCHANSKY1)</b>	<b>036</b>	<b>IGT</b>	<b>B</b>	<b>500</b>	<b>35.52</b>	<b>n/a</b>	<b>20-Jul</b>	<b>0.00 0.0</b>
AO,	07/25	DAVIDSON KEMPNER ADVISOR (DAVIBEAR)	217	IYT	B	375	93.31	n/a	n/a	18.75 5.0
AO,CXL	07/25	DAVIDSON KEMPNER ADVISOR (DAVIGS)	217	IYT	B	400	93.31	n/a	n/a	20.00 5.0
AO,CRT	07/25	DAVIDSON KEMPNER ADVISOR (DAVIGS)	217	IYT	B	25	93.31	n/a	n/a	1.25 5.0
AO,CRT	07/25	KEEFE BRUYETTE WOODS A (KBWAGOLDMA)	031	LEH	SS	3,000	67.07	12-Jun	13-Jul	150.00 5.0
AO,CXL	07/25	KEEFE BRUYETTE WOODS A (KBWAMORGAN)	031	LEH	SS	800	67.07	12-Jun	13-Jul	48.00 6.0
AO,CRT	07/25	KEEFE BRUYETTE WOODS A (KBWAMORGAN)	031	LEH	SS	800	67.07	12-Jun	13-Jul	40.00 5.0
AO,CXL	07/25	KEEFE BRUYETTE WOODS A (KBWAGOLDMA)	031	LEH	SS	3,000	67.07	12-Jun	13-Jul	180.00 6.0
AO,CXL	07/25	CARLYLE BLUE WAVE PR MG (CBLUMS/USE)	224	LII	S	5,000	37.52	n/a	n/a	250.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	07/25	CARLYLE BLUE WAVE PR MG (CBLUCITI)	224	LII	S	5,000	37.52	n/a	n/a	250.00 5.0
AO,CXL	07/25	CARLYLE BLUE WAVE PR MG (CBLUMS/USE)	224	MT	B	8,000	64.51	n/a	n/a	400.00 5.0
AO,CRT	07/25	CARLYLE BLUE WAVE PR MG (CBLUCITI)	224	MT	B	8,000	64.51	n/a	n/a	400.00 5.0
AO,	07/23	SEQUENCE CAPITAL (SEQUGOLDMA)	028	SKS	B	2,220	21.49	n/a	n/a	88.80 4.0
AO,CXL	07/23	SEQUENCE CAPITAL (SEQUGOLDMA)	028	SKS	S	2,220	21.49	n/a	n/a	88.80 4.0
AO,	07/25	MAGNETAR FINANCIAL (MAGN-MALY)	247	SKX	B	350	22.16	n/a	13-Mar	14.00 4.0
AO,	07/25	MAGNETAR FINANCIAL (MAGNFIFTH)	247	SKX	B	705	22.16	n/a	13-Mar	28.20 4.0
AO,	07/25	MAGNETAR FINANCIAL (MAGNPNC)	247	SKX	B	81	22.16	n/a	13-Mar	3.24 4.0

**TOTAL (AO, CXL, CRT) :** **-7,337.56**

TOTAL (Trade Date): 224,912.26

TOTAL (AO, CXL, CRT): -7,337.56

**TOTAL (RUN DATE) / NFS:** **217,574.70**

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