

## **Daily Compliance Activity Report** Trade Date: 07/21/2008

## POTENTIAL ANALYST TRADE VIOLATIONS: 0

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	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.		
	WATER STREET CAPITAL	038	AA	S	125,000	33.88	n/a	n/a	6,250.00	5.0		
	NWQ INVESTMENT MGMT CO	048	ABH	S	8,228	8.92	n/a	11-Jul	246.84	3.0		
	ENDEAVOUR CAPITAL	035	ADS	SS	30,000	61.51	n/a	n/a	1,500.00	5.0		
	PAW PARTNERS	041	ADTN	SS	5 <b>,</b> 900	22.94	n/a	22-Mar	295.00	5.0		
	CHARTER OAK	033	AFFY	S	960	19.59	n/a	n/a	48.00	5.0		
	DECADE CAPITAL PARTNERS	040	AJG	В	40,000	25.19	n/a	n/a	2,000.00	5.0		
ß	BUCK CAPITAL MGMT		ALV	В	24,000	45.76	17-Apr	17-Jul	non-brg	1.0		
	CROSS CAPITAL	028	ALV	В	35 <b>,</b> 490	45.60	17-Apr	17-Jul	1,774.50	5.0		
	TRELLUS PARTNERS LP	028	ALV	В	33,500	45.45	17-Apr	17-Jul	1,675.00	5.0		
	CATAPULT	040	AMX	В	10,260	53.22	n/a	n/a	410.40	4.0		
	CHILTON CAPITAL MGMT.	036	AMX	S	400,000	52.92	n/a	n/a	16,000.00	4.0		
	COUGAR TRADING	044	ANF	SS	5,000	59.28	10-Jul	11-Jul	250.00	5.0		
ß	BUCK CAPITAL MGMT		ANN+UD	SS	1,000	0.95	n/a	n/a	non-brg	100.0		
	BUCK CAPITAL MGMT	001	ANN	SS	40,000	22.75	14-Mar	11-Jul	1,600.00	4.0		
	COUGAR TRADING	044	ANN	SS	5,000	23.33	14-Mar	11-Jul	250.00	5.0		
ß	BUCK CAPITAL MGMT		APP	S	10,000	7.08	n/a	n/a	non-brg	4.0		

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢	Shr.	
NATIONAL BK OF CAN	031	BBT	В	50,000	27.43	n/a	n/a	2,000.00	4.0	
NWQ INVESTMENT MGMT CO	048	BKI	S	12,350	8.31	n/a	n/a	370.50	3.0	
SUNOVA CAPITAL	031	BLK	В	5,000	214.82	n/a	17-Jul	250.00	5.0	
SERENGETI MGMT	030	ВОН	SS	150,000	46.27	n/a	n/a	7,500.00	5.0	
S.A.C. CAPITAL MGMT.	044	BRL	S	25,000	64.65	18-Jul	18-Jul	1,250.00	5.0	
BUCK CAPITAL MGMT	001	CAT	В	15,000	71.09	n/a	23-May	600.00	4.0	
KAICHER	064	CBI	В	2,000	32.60	n/a	n/a	0.00	0.0	
ENDEAVOUR CAPITAL	035	CBU	В	50,000	23.21	n/a	n/a	2,500.00	5.0	
BARR	096	CDNS	С	8,000	10.29	n/a	n/a	0.00	0.0	
BARR	096	CEVA	S	1,500	9.01	n/a	n/a	0.00	0.0	
NORTHPOINT	030	CFNL	В	13,865	7.12	n/a	n/a	415.95	3.0	
NICOLAS APPLEGATE	048	CHIC	S	6,550	14.16	n/a	n/a	196.50	3.0	
MERRILL ASSET	032	CRR	S	10,800	52.71	5-Jun	17-Jul	486.00	4.5	
MATRIX ASSET ADV.	036	CSCO	В	23,500	21.82	n/a	22-Mar	940.00	4.0	
ROARING BLUE LION MGMT	012	DECK	В	3,700	114.26	n/a	n/a	148.00	4.0	
	NATIONAL BK OF CAN  NWQ INVESTMENT MGMT CO  SUNOVA CAPITAL  SERENGETI MGMT  S.A.C. CAPITAL MGMT.  BUCK CAPITAL MGMT  KAICHER  ENDEAVOUR CAPITAL  BARR  BARR  NORTHPOINT  NICOLAS APPLEGATE  MERRILL ASSET  MATRIX ASSET ADV.	NATIONAL BK OF CAN  NWQ INVESTMENT MGMT CO  SUNOVA CAPITAL  SERENGETI MGMT  O30  S.A.C. CAPITAL MGMT.  O44  BUCK CAPITAL MGMT  O01  KAICHER  O64  ENDEAVOUR CAPITAL  BARR  O96  BARR  O96  NORTHPOINT  NICOLAS APPLEGATE  MATRIX ASSET ADV.  O38	NATIONAL BK OF CAN  NWQ INVESTMENT MGMT CO  O48  BKI  SUNOVA CAPITAL  O31  BLK  SERENGETI MGMT  O30  BOH  S.A.C. CAPITAL MGMT.  O44  BRL  BUCK CAPITAL MGMT  O01  CAT  KAICHER  O64  CBI  ENDEAVOUR CAPITAL  O35  CBU  BARR  O96  CDNS  BARR  O96  CEVA  NORTHPOINT  O30  CFNL  NICOLAS APPLEGATE  MATRIX ASSET ADV.  O36  CSCO	NATIONAL BK OF CAN  NWQ INVESTMENT MGMT CO  048  BKI  SUNOVA CAPITAL  031  BLK  B  SERENGETI MGMT  030  BOH  SS  S.A.C. CAPITAL MGMT.  044  BRL  S  BUCK CAPITAL MGMT  001  CAT  B  KAICHER  064  CBI  B  ENDEAVOUR CAPITAL  035  CBU  B  BARR  096  CDNS  C  BARR  096  CEVA  S  NORTHPOINT  030  CFNL  B  MERRILL ASSET  032  CRR  S  MATRIX ASSET ADV.  036  CSCO  B  B  KI  B  B  B  B  B  B  B  B  B  B  B  B  B	NATIONAL BK OF CAN  NWQ INVESTMENT MGMT CO  SUNOVA CAPITAL  SUNOVA CAPITAL  SERENGETI MGMT  O30  BOH  SS 150,000  S.A.C. CAPITAL MGMT.  O44  BRL  S 25,000  BUCK CAPITAL MGMT  O01  CAT  B 15,000  KAICHER  O64  CBI  B 2,000  ENDEAVOUR CAPITAL  O35  CBU  B 50,000  BARR  O96  CDNS  C 8,000  NORTHPOINT  O30  CFNL  B 13,865  NICOLAS APPLEGATE  O48  CHIC  S 6,550  MERRILL ASSET  O32  CRR  S 10,800  MATRIX ASSET ADV.  O36  CSCO  B 23,500	NATIONAL BK OF CAN  031  BBT  B  50,000  27.43  NWQ INVESTMENT MGMT CO  048  BKI  S  12,350  8.31  SUNOVA CAPITAL  031  BBK  B  5,000  214.82  SERENGETI MGMT  030  BOH  SS  150,000  46.27  S.A.C. CAPITAL MGMT.  044  BRL  S  25,000  64.65  BUCK CAPITAL MGMT  001  CAT  B  15,000  71.09  KAICHER  064  CBI  B  2,000  32.60  ENDEAVOUR CAPITAL  035  CBU  B  50,000  23.21  BARR  096  CDNS  C  8,000  10.29  BARR  096  CEVA  S  1,500  9.01  NORTHPOINT  030  CFNL  B  13,865  7.12  NICOLAS APPLEGATE  048  CHIC  S  6,550  14.16  MERRILL ASSET  032  CRR  S  23,500  21.82	NATIONAL BK OF CAN 031 BBT B 50,000 27.43 n/a  NWQ INVESTMENT MGMT CO 048 BKI S 12,350 8.31 n/a  SUNOVA CAPITAL 031 BLK B 5,000 214.82 n/a  SERENGETI MGMT 030 BOH SS 150,000 46.27 n/a  S.A.C. CAPITAL MGMT. 044 BRL S 25,000 64.65 18-Jul  BUCK CAPITAL MGMT 001 CAT B 15,000 71.09 n/a  KAICHER 064 CBI B 2,000 32.60 n/a  ENDEAVOUR CAPITAL 035 CBU B 50,000 23.21 n/a  BARR 096 CDNS C 8,000 10.29 n/a  NORTHPOINT 030 CFNL B 13,865 7.12 n/a  NORTHPOINT 030 CFNL B 13,865 7.12 n/a  MERRILL ASSET 032 CRR S 10,800 52.71 5-Jun  MATRIX ASSET ADV. 036 CSCO B 23,500 21.82 n/a	NATIONAL BK OF CAN 031 BBT B 50,000 27.43 n/a n/a  NWQ INVESTMENT MGMT CO 048 BKI S 12,350 8.31 n/a n/a  SUNOVA CAPITAL 031 BLK B 5,000 214.82 n/a 17-Jul  SERENGETI MGMT 030 BOH SS 150,000 46.27 n/a n/a  S.A.C. CAPITAL MGMT. 044 BRL S 25,000 64.65 18-Jul 18-Jul  BUCK CAPITAL MGMT 001 CAT B 15,000 71.09 n/a 23-May  KAICHER 064 CBI B 2,000 32.60 n/a n/a  ENDEAVOUR CAPITAL 035 CBU B 50,000 23.21 n/a n/a  BARR 096 CDNS C 8,000 10.29 n/a n/a  BARR 096 CEVA S 1,500 9.01 n/a n/a  NORTHPOINT 030 CFNL B 13,865 7.12 n/a n/a  NORTHPOINT 030 CFNL B 13,865 7.12 n/a n/a  MERRILL ASSET 048 CRR S 10,800 52.71 5-Jun 17-Jul  MATRIX ASSET ADV. 036 CSCO B 23,500 21.82 n/a 22-Mar	NATIONAL BK OF CAN  031  BBT  B  50,000  27.43  N/a  1/a  2,000.00  NWQ INVESTMENT MGMT CO  048  BKI  S  12,350  8.31  N/a  17-Jul  250.00  SERENCETI MGMT  031  BLK  B  5,000  214.82  N/a  17-Jul  250.00  SERENCETI MGMT  030  BOH  SS  150,000  46.27  N/a  N/a  7,500.00  5.A.C. CAPITAL MGMT  044  BRL  S  25,000  64.65  18-Jul  18-Jul  18-Jul  1,250.00  BUCK CAPITAL MGMT  001  CAT  B  15,000  71.09  N/a  23-May  600.00  KAICHER  064  CBI  B  2,000  32.60  N/a  N/a  1/a  0.00  ENDEAVOUR CAPITAL  035  CBU  B  50,000  23.21  N/a  N/a  1/a  0.00  BARR  096  CDNS  C  8,000  10.29  N/a  N/a  N/a  0.00  NORTHPOINT  030  CFNL  B  13,865  7.12  N/a  N/a  17-Jul  486.00  MERRILL ASSET  032  CRR  S  10,800  52.71  5-Jun  17-Jul  486.00  MATRIX ASSET ADV.  036  CSCO  B  23,500  21.82  N/a  22-Mar  940.00	NATIONAL BK OF CAN  O31  BBT  B  50,000  27.43  n/a  n/a  n/a  2,000.00  4.0  NWQ INVESTMENT MGMT CO  O48  BKI  S  12,350  8.31  n/a  n/a  17-Jul  250.00  5.0  SERENGETI MGMT  O30  BOH  SS  150,000  46.27  n/a  n/a  n/a  7,500.00  5.0  SA.C. CAPITAL MGMT  O44  BRL  S  25,000  64.65  18-Jul  18-Jul  1,250.00  5.0  BUCK CAPITAL MGMT  O11  CAT  B  15,000  71.09  n/a  23-May  600.00  4.0  ENDEAYOUR CAPITAL  O35  CBU  B  50,000  23.21  n/a  n/a  0.00  0.0  ENDEAYOUR CAPITAL  O36  CEVA  S  1,500  9.01  n/a  n/a  0.00  0.0  BARR  O96  CEVA  S  1,500  9.01  n/a  n/a  n/a  0.00  0.0  NORTHPOINT  O30  CFNL  B  13,865  7.12  n/a  n/a  n/a  17-Jul  486.00  4.0  MERRILL ASSET  O32  CRR  S  10,800  52.71  5-Jun  17-Jul  486.00  4.0  4.0  4.0  4.0  4.0  4.0  4.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shi	r.
	KARPNANCY	023	DODGX	В	45	110.69	n/a	n/a	0.00 0.0	0
	CUMBERLAND	038	DOX	В	50,000	29.81	n/a	n/a	2,000.00 4.0	0
	NORTHPOINT	030	DRQ	В	9,685	55.04	n/a	n/a	387.40 4.0	0
	NORTHPOINT	030	DWSN	В	8,815	52.94	n/a	n/a	352.60 4.0	)
ß	BUCK CAPITAL MGMT		EL+TH	SS	1,000	1.17	n/a	n/a	non-brg 300.0	0
	NORTHPOINT	030	EMKR	В	93 <b>,</b> 750	5.03	n/a	n/a	2,812.50 3.0	0
	MS PRINCIPAL STRATEGIES	041	ERJ	SS	50,000	29.15	n/a	n/a	2,500.00 5.0	0
	CHILTON CAPITAL MGMT.	036	FIS	S	119,700	20.03	n/a	n/a	4,788.00 4.0	0
	BUCK CAPITAL MGMT	001	FL	S	10,000	13.50	2-Apr	9-Ju1	400.00 4.0	0
	KENNEDY CAPITAL	046	FSS	В	10,000	11.99	n/a	n/a	400.00 4.0	0
	BUCK CAPITAL MGMT	001	GCO	S	10,000	28.68	n/a	10-Jan	400.00 4.0	0
	BUCK CAPITAL MGMT	001	GES	В	10,000	32.22	n/a	n/a	400.00 4.0	0
	NWQ INVESTMENT MGMT CO	048	GFF	S	15,000	8.95	n/a	n/a	450.00 3.0	0
	BARR	096	GFI	S	8,500	12.75	n/a	n/a	0.00 0.0	0
	BUCK CAPITAL MGMT	001	GIL	В	10,000	25.39	30-Apr	18-Jul	400.00 4.0	0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
	COUGAR TRADING	044	GYMB	Ç	s 5,000	39.63	11-Jul	11-Jul	250.00	5.0
ß	BUCK CAPITAL MGMT		HAS+VZ	\$	ss 1,500	1.23	n/a	n/a	non-brg 3	300.0
	JP MORGAN VENTURES	046	HBI	В	20,000	25.84	n/a	n/a	1,000.00	5.0
	KENNEDY CAPITAL	046	HMN	В	30,000	12.94	n/a	n/a	1,200.00	4.0
	HUNTER GLOBAL INVESTOR	067	HOG	S	SS 54,000	37.05	n/a	n/a	2,700.00	5.0
	CUMBERLAND	038	HTLD	В	50,000	16.70	n/a	n/a	2,000.00	4.0
	KEEFE BRUYETTE WOODS A	031	IAI	В	12,700	33.08	n/a	n/a	635.00	5.0
	LEDDY	035	ICON	В	1,200	11.56	n/a	n/a	0.00	0.0
	HART	056	ICON	В	75	11.72	n/a	n/a	0.00	0.0
	OSS CAPITAL/KEVIN DANN	067	IMN	S	ss 100,000	21.99	n/a	n/a	3,000.00	3.0
	J L F ASSET MGMT	039	IP	В	83,500	23.39	16-Jul	16-Jul	3,340.00	4.0
	CATAPULT	040	JEC	В	7,500	82.56	n/a	n/a	300.00	4.0
	HUNTER GLOBAL INVESTOR	067	JEF	Ç	SS 28,000	17.92	n/a	n/a	1,400.00	5.0
	BARR	096	KRE	С	3,000	28.51	n/a	n/a	0.00	0.0
	BUCK CAPITAL MGMT	001	MA	В	4,000	275.35	16-Jul	16-Jul	160.00	4.0
	N STRATTON	014	MCO	С	100	34.50	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
BARR	096	MCO	С	900	35.08	n/a	n/a	0.00	0.0
BARR	096	MENT	s	1,200	15.31	n/a	n/a	0.00	0.0
CHARTER OAK	033	MRT	S	4,325	5.78	n/a	n/a	216.25	5.0
BARR	096	MTB	С	1,300	69.54	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	MVL	S	44,900	32.37	n/a	n/a	2,020.50	4.5
BUCK CAPITAL MGMT	001	М	s	10,000	17.91	14-Jul	14-Jul	400.00	4.0
BARR	096	NEM	s	2,500	49.30	n/a	n/a	0.00	0.0
PRINCIPLE CAPITAL	040	NOVN	SS	50,000	11.05	n/a	n/a	1,500.00	3.0
BARR	096	NVTL	s	400	10.67	n/a	n/a	0.00	0.0
CATAPULT	040	OMC	В	15,000	42.26	n/a	n/a	600.00	4.0
CATAPULT	040	PCP	В	11,000	102.45	n/a	n/a	440.00	4.0
BARR	096	PDFS	s	1,700	5.04	n/a	n/a	0.00	0.0
ROSEDALE CAPITAL	046	PEO	В	10,000	38.89	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT		PERY	SS	5,000	21.01	n/a	n/a	non-brg	4.0
BACKBAY	041	PKG	В	25,000	24.86	22-Jul	11-Jul	1,250.00	5.0
BASIX	033	PKG	S	25,000	24.96	22-Jul	11-Jul	1,000.00	4.0

	Account	RR #	Symbol	B/S	Share	s Price	MRI	Research	Comm.	¢/Shr.
	COUGAR TRADING	044	PKG	В	15,000	25.05	22-Jul	11-Jul	750.00	5.0
	DIAMONDBACK CAP MGMT	232	PKG	В	50,000	25.19	22-Jul	11-Jul	2,500.00	5.0
	FIRST NY SEC/CHRIS	041	PKG	В	40,000	24.99	22-Jul	11-Jul	2,000.00	5.0
	J L F ASSET MGMT	039	PKG	В	187,400	24.98	22-Jul	11-Jul	7,496.00	4.0
	SCOPUS FUND	041	PKG	В	25,000	25.36	22-Jul	11-Jul	1,250.00	5.0
	TRELLUS PARTNERS LP	028	PKG	В	25 <b>,</b> 600	24.90	22-Jul	11-Jul	1,280.00	5.0
ß	BUCK CAPITAL MGMT		PSUN		s 20,000	8.18	n/a	11-Jul	non-brg	4.0
	BUCK CAPITAL MGMT	001	PVH		s 30,000	35.92	5-May	18-Jul	1,200.00	4.0
	BARR	096	RKH	С	200	99.29	n/a	n/a	0.00	0.0
	KENNEDY CAPITAL	046	RNST	В	10,000	15.80	n/a	n/a	400.00	4.0
	OSS CAPITAL/KEVIN DANN	067	SAY	В	466,700	20.85	n/a	n/a	14,001.00	3.0
ß	BUCK CAPITAL MGMT		SKF	В	31,200	131.11	n/a	n/a	non-brg	2.0
	WHITE PINE CAPITAL	030	SMBL		s 600	6.48	n/a	n/a	30.00	5.0
	BARR	096	SQNM		s 1,000	21.33	n/a	n/a	0.00	0.0
	J L F ASSET MGMT	039	SSCC	В	367 <b>,</b> 300	5.15	7-Apr	11-Jul	14,692.00	4.0
	COUGAR TRADING	044	SSO		S 5,000	59.71	n/a	n/a	250.00	5.0
	WHITE PINE CAPITAL	030	TCBI		S 1,500	15.37	n/a	n/a	75.00	5.0
	GOLD SACHS SPECIAL SIT	030	TEN		SS 113,200	13.67	n/a	n/a	5,660.00	5.0

	Account	RR #	Symbol	B/S	3	Shares	Price	MRI	Research	Comm	.¢/Shr.	
	J L F ASSET MGMT	039	TIN	В		140,300	13.51	29-Apr	11-Jul	5,612.00	4.0	
	NWQ INVESTMENT MGMT CO	048	TIN		S	20,100	13.80	29-Apr	11-Jul	804.00	4.0	
	BUCK CAPITAL MGMT	001	TJX		s	150,000	33.84	n/a	11-Jul	6,000.00	4.0	
	BUCK CAPITAL MGMT	001	TLB		S	30,000	10.74	17-Apr	9-Jul	1,200.00	4.0	
	CHARTER OAK	033	TLP		S	1,600	24.04	n/a	n/a	80.00	5.0	
ß	BUCK CAPITAL MGMT		TPX		S	300,000	10.04	n/a	n/a	non-brg	4.0	
ß	BUCK CAPITAL MGMT		TRLG		S	20,000	26.86	n/a	n/a	non-brg	4.0	
	WHEELER	800	TRMA	В		2,000	26.74	n/a	n/a	0.00	0.0	
	NWQ INVESTMENT MGMT CO	048	UFS		S	16,600	4.75	n/a	n/a	498.00	3.0	
ß	BUCK CAPITAL MGMT		URBN	В		20,000	30.85	15-May	9-Jul	non-brg	4.0	
	COUGAR TRADING	044	URBN		SS	5,000	31.33	15-May	9-Jul	250.00	5.0	
	N STRATTON	014	URBN	С		100	31.00	15-May	9-Jul	0.00	0.0	
a	BUCK CAPITAL MGMT		URQ+LH		SS	1,000	1.02	n/a	n/a	non-brg	300.0	
	CENTURION GLOBAL MGMT LL	041	UYG		S	24,000	20.43	n/a	n/a	720.00	3.0	
	LEDDY	035	VETS		S	486	3.50	n/a	n/a	0.00	0.0	
	FINANCIAL STOCK LP	028	WB	В		150,000	13.70	n/a	n/a	6,000.00	4.0	
	OGORMAN	046	WFC		SS	400	27.80	n/a	n/a	0.00	0.0	

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ß ß	BUCK CAPITAL MGMT BUCK CAPITAL MGMT		WFMI WFMI	SS SS	20,000	22.65	n/a n/a	n/a n/a	non-brg 4.0 non-brg 2.5
	BUCK CAPITAL MGMT	001	WMT	S	20,000	57.39	30-Jun	11-Jul	800.00 4.0
	WHITE PINE CAPITAL	030	WTSLA	S	6 <b>,</b> 500	4.99	n/a	n/a	325.00 5.0
	BARR	096	хсо	s	250	30.71	n/a	n/a	0.00 0.0
	CATAPULT	040	XIDE	В	32,500	14.73	n/a	n/a	1,625.00 5.0
ß	BUCK CAPITAL MGMT		ZLC+WC	SS	1,200	1.27	n/a	n/a	non-brg 300.0

TOTAL (Trade Date): 163,656.94

## Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CXL	07/16	SYSTEMATIC FINANCIAL MGT	035	AAP	В	1,300	39.10	n/a	n/a	48.75	3.8
AO, CRT		SYSTEMATIC FINANCIAL MGT	035	AAP	В	1,300	39.10	n/a	n/a	48.75	3.8
AO, CRT	07/15	WEISS PECK	040	ABG	В	600	10.46	10-Jun	17-Jul	30.00	5.0
AO,CXL	07/15	WEISS PECK	040	ABG	В	600	10.46	10-Jun	17-Jul	30.00	5.0
AO, CRT	07/18	BUCK CAPITAL MGMT	001	ALV	В	9,900	46.07	17-Apr	17-Jul	396.00	4.0
AO, CXL	07/18	BUCK CAPITAL MGMT	001	ALV	В	10,000	46.07	17-Apr	17-Jul	400.00	4.0
AO,	07/18	BUCK CAPITAL MGMT	001	ALV	В	100	46.07	17-Apr	17-Jul	4.00	4.0
AO,CXL	07/18	CARDINAL CAPITAL	044	AMG	В	200	81.78	15-Jul	15-Jul	10.00	5.0
AO,CRT	07/18	CARDINAL CAPITAL	044	AMG	В	200	81.78	15-Jul	15-Jul	10.00	5.0
AO,	07/18	BAYPOINT TRADING/XYLEM	091	AVY	SS	50,000	45.22	22-Apr	23-Jun	2000.00	4.0
AO,CXL	07/17	SYSTEMATIC FINANCIAL MGT	035	ВЈ	S	800	42.71	n/a	27-Jul	30.00	3.8
AO,CRT	07/17	SYSTEMATIC FINANCIAL MGT	035	ВЈ	S	800	42.71	n/a	27-Jul	30.00	3.8
AO,CXL	07/15	SYSTEMATIC FINANCIAL MGT	035	CBE	В	400	39.96	n/a	10-Jul	15.00	3.8
AO,CRT	07/15	SYSTEMATIC FINANCIAL MGT	035	CBE	В	400	39.96	n/a	10-Jul	15.00	3.8
AO,CXL	07/18	CARLYLE BLUE WAVE PR MG	224	CENX	В	10,000	53.06	n/a	n/a	500.00	5.0
AO,CRT	07/18	CARLYLE BLUE WAVE PR MG	224	CENX	В	10,000	53.06	n/a	n/a	500.00	5.0
AO,	07/18	BAYPOINT TRADING/XYLEM	091	NCS	SS	20,000	32.61	n/a	n/a	800.00	4.0
AO, CRT	07/17	MERRILL LYNCH STRATEGICI	034	ROST	SS	10,000	39.87	n/a	n/a	400.00	4.0

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CXL	07/17	MERRILL LYNCH STRATEGICI	034	ROST	SS	10,000	39.87	n/a	n/a	300.00	3.0
AO, CRT	07/18	CARLYLE BLUE WAVE PR MG	224	VAL	SS	10,000	21.13	n/a	n/a	500.00	5.0
,		CARLYLE BLUE WAVE PR MG	224	VAL	SS	10,000	21.13	n/a	n/a n/a	500.00	5.0
AO,	07/18	AELTUS/ING IVESTMENT MGT	044	WMT	В	417 <b>,</b> 981	57.78	30-Jun	11-Jul	16719.24	4.0
AO,	07/18	RAMIUS CAP	040	WWY	С	50,000	78.42	n/a	n/a	2500.00	5.0
110 /	0 / / 10	1111100 0.11	0 10				, , , , ,	11, 0	11, 0	2000.00	
TOTAL	(AO, (	CXL, CRT):							22,	119.24	

TOTAL (Trade Date): 163,656.94

TOTAL (AO, CXL, CRT): 22,119.24

TOTAL (RUN DATE) / NFS: 185,776.18

MRI Securities with Trade Activity on 21-Jul. NONE

MRI Securities without Trade Activity on 21-Jul. NONE

BRG comm. as a % of BCM Total Comm. paid. T-Date = 29%

## Legend:

O: Employee Trades in Outside Accounts

ß: Non-BRG BCM Trades

[i]: Initiation of Coverage

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