



Daily Compliance Activity Report

Trade Date: 12/04/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 1

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	216	AAI	S	10,000	8.20	n/a	n/a	500.00	5.0
SYSTEMATIC FINANCIAL MGT	035	AAP	B	213,275	36.91	n/a	n/a	7,997.79	3.8
GRUSS CAPITAL	045	ACLI	S	5,000	16.96	n/a	n/a	200.00	4.0
BUCK CAPITAL MGMT	001	AEO	S	20,000	22.28	9-Nov	3-Dec	800.00	4.0
MERRILL LYNCH STRATEGICI	034	AMZN	SS	5,000	91.81	n/a	n/a	300.00	6.0
WELLS/STRONG LEDDY	035	AM	S	15,000	22.84	n/a	n/a	600.00	4.0
BUCK CAPITAL MGMT	001	ANF	S	10,000	81.64	2-Oct	3-Dec	400.00	4.0
MERRILL LYNCH STRATEGICI	034	APC	SS	5,000	58.41	4-Dec	4-Dec	250.00	5.0
WHEELER	008	APSG	B	10,000	13.00	n/a	n/a	0.00	0.0
AMBER CAPITAL	046	ARM	SS	100,000	9.41	n/a	n/a	4,000.00	4.0
BUCK CAPITAL MGMT	001	ARO	S	10,000	24.50	29-Nov	3-Dec	400.00	4.0
GRUSS CAPITAL	045	ASHW	S	10,000	3.57	n/a	n/a	200.00	2.0
CROWN ADVISORS	046	ATVI	S	4,000	26.36	n/a	n/a	200.00	5.0
MERRILL LYNCH STRATEGICI	034	AVR	S	50,000	10.62	n/a	n/a	1,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EMP ERROR	099	BBW	B	600	15.17	11-Sep	18-Oct	0.00	0.0
MERRILL LYNCH STRATEGICI	034	BDX	S	5,000	80.30	n/a	22-Apr	300.00	6.0
WALKER SMITH	031	BE	S	100,000	2.87	n/a	n/a	3,000.00	3.0
RAMIUS CAP	040	BIG	SS	41,500	17.35	30-Nov	3-Dec	2,075.00	5.0
ROYCE TRADING	216	BNE	S	5,000	17.85	n/a	n/a	250.00	5.0
WHITE PINE CAPITAL	030	BONT	B	400	11.11	9-Nov	3-Dec	20.00	5.0
MKT MAKER	099	BONT	B	1,000	10.93	9-Nov	3-Dec	0.00	0.0
WHITE PINE CAPITAL	030	BWS	B	700	16.61	n/a	n/a	35.00	5.0
BUCK CAPITAL MGMT	001	CBK	SS	20,000	15.89	n/a	3-Dec	800.00	4.0
WELLS/STRONG LEDDY	035	CBK	S	16,500	16.14	n/a	3-Dec	660.00	4.0
ROYCE TRADING	216	CBR	S	10,000	6.49	n/a	n/a	500.00	5.0
ROYCE TRADING	216	CCC	S	5,000	15.04	n/a	n/a	250.00	5.0
ACT II PARTNERS	067	CCI	SS	25,000	40.78	n/a	n/a	1,250.00	5.0
RAMIUS CAP	040	CCU	B	100,000	35.25	n/a	n/a	5,000.00	5.0
RHO CAPITAL MGMT	041	CGDE	S	56,600	0.12	n/a	n/a	566.00	1.0
STRONG/MARK GRONET	030	CHB	B	12,310	8.37	n/a	n/a	369.30	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WELLS/STRONG LEDDY	035	CHB	S	32,500	8.27	n/a	n/a	1,300.00	4.0
WELLS/STRONG LEDDY	035	CHRS	S	37,500	5.27	n/a	22-Mar	1,500.00	4.0
ZOLIDIS	011	CHS	SS	500	11.30	9-Nov	3-Dec	0.00	0.0
ROYCE TRADING	216	CIR	S	1,000	43.73	n/a	n/a	50.00	5.0
STRONG/MARK GRONET	030	CMOS	S	14,210	1.91	n/a	n/a	426.30	3.0
RH CAPITAL ASSOCIATES	060	COH	S	31,000	36.14	24-Oct	24-Oct	1,550.00	5.0
LEDDY	035	CPHI	S	1,500	3.45	n/a	n/a	0.00	0.0
MAGUIRE	039	CPNLQ	S	2,500	0.73	n/a	29-Jun	0.00	0.0
B BUCK CAPITAL MGMT		CRI	SS	20,000	22.52	n/a	n/a	non-brg	4.0
SAC TRADING HOWARD	038	CROX	B	10,000	42.99	n/a	n/a	500.00	5.0
ZOLIDIS	011	CROX	C	200	43.32	n/a	n/a	0.00	0.0
MERRILL ASSET	032	CRR	B	15,400	39.61	25-Oct	30-Nov	693.00	4.5
STRATTON	N21	CSCO	B	100	27.00	n/a	22-Mar	0.00	0.0
MKT MAKER	097	CTRN	B	54	15.49	n/a	n/a	0.00	0.0
ROYCE TRADING	216	CY	S	5,000	33.79	n/a	n/a	250.00	5.0
Õ Alice Longley		C	S	550	32.73	5-Nov	27-Nov	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NOMURA CAPITAL	045	DAL	S	5,950	18.66	n/a	n/a	297.50	5.0
⌘ BUCK CAPITAL MGMT		DIA	SS	50,000	132.53	n/a	n/a	non-brg	1.0
MERRILL LYNCH STRATEGICI	034	DNA	B	20,000	72.96	n/a	n/a	1,200.00	6.0
MERRILL LYNCH STRATEGICI	034	DO	SS	10,000	117.14	n/a	n/a	600.00	6.0
METROPOLITAN CAPITAL	044	DSW	S	46,900	20.84	26-Oct	5-Nov	2,345.00	5.0
JL ADVISORS	028	DTV	B	150,000	23.75	15-Nov	19-Nov	5,625.00	3.8
POST ROAD CAP	045	DTV	B	16,000	23.92	15-Nov	19-Nov	480.00	3.0
VENTANA CAPITAL	060	DTV	S	5,500	23.81	15-Nov	19-Nov	220.00	4.0
BUCK CAPITAL MGMT	001	EDA	S	10,000	14.17	n/a	n/a	400.00	4.0
⌘ BUCK CAPITAL MGMT		EGLT	C	39,889	10.42	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		EGLT	C	5,000	10.68	n/a	n/a	non-brg	1.0
MAIRS AND POWER INV	030	EMR	S	10,000	58.95	n/a	n/a	600.00	6.0
CHART WELL ADV	243	EXH	B	45,260	77.98	n/a	28-Nov	2,036.73	4.5
BUCK	015	FDX	SS	400	97.00	n/a	n/a	0.00	0.0
MAGNETAR FINANCIAL	247	F	B	50,000	7.02	n/a	4-Dec	1,500.00	3.0
BUCK CAPITAL MGMT	001	GES	B	50,000	43.77	n/a	n/a	2,000.00	4.0
⌘ BUCK CAPITAL MGMT		GES	S	50,000	45.86	n/a	n/a	non-brg	1.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SIGMA CAPITAL ASSOCIATES	237	GES	SS	50,000	43.34	n/a	n/a	2,500.00	5.0
CAXTON PART	040	GE	S	53,196	36.24	n/a	n/a	1,861.87	3.5
EPOCH INV MGMT	030	GE	S	44,300	36.41	n/a	n/a	1,772.00	4.0
TRI SUN CAPITAL	012	GE	S	5,000	36.33	n/a	n/a	200.00	4.0
WHITE PINE CAPITAL	030	GGG	B	400	37.28	n/a	n/a	20.00	5.0
BUCK CAPITAL MGMT	001	GIL	S	275,000	37.47	5-Nov	4-Dec	11,000.00	4.0
ß BUCK CAPITAL MGMT		GIL	S	12,000	37.70	5-Nov	4-Dec	non-brg	1.0
ß BUCK CAPITAL MGMT		GIL	S	18,000	37.72	5-Nov	4-Dec	non-brg	1.0
LISTED ERR	099	GIS	S	3	60.08	n/a	n/a	0.00	0.0
MAGUIRE	039	GLBC	S	300	19.87	n/a	n/a	0.00	0.0
NOLAN	067	GLBC	S	20	19.59	n/a	n/a	0.00	0.0
BARR	096	GLD	B	200	78.83	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	GNTX	B	20,000	18.81	24-Jul	23-Oct	1,000.00	5.0
WAGONHOUND	048	GNTX	SS	41,320	18.62	24-Jul	23-Oct	1,652.80	4.0
AAD CAPITAL	048	GPI	B	30,200	26.00	31-Oct	31-Oct	1,208.00	4.0
NOMURA CAPITAL	045	GRA	S	8,550	26.43	n/a	n/a	427.50	5.0
ROYCE TRADING	216	GRB	S	5,000	9.46	n/a	n/a	250.00	5.0
JL ADVISORS	028	GS	B	50,000	221.22	21-Sep	20-Nov	1,875.00	3.8
NOMURA CAPITAL	045	GT	S	9,250	27.98	n/a	n/a	462.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SOCIETY GENERALE	040	HCR	B	5,000	64.10	n/a	15-Nov	200.00	4.0
MORGAN LEWIS/MLH	046	HERO	S	10,000	23.46	n/a	n/a	500.00	5.0
LOCUS WOOD CAPITAL MGMT	044	HOC	B	30,000	47.68	n/a	n/a	1,200.00	4.0
REINHART & MAHONEY	031	HOLX	S	29,254	62.57	n/a	n/a	1,462.70	5.0
ROYCE TRADING	216	HZO	S	5,000	15.08	n/a	n/a	250.00	5.0
B BUCK CAPITAL MGMT		ICON	S	10,000	21.68	n/a	n/a	non-brg	4.0
GRASSANO	001	ISLE	C	50	15.74	n/a	26-Jan	0.00	0.0
BUCK	015	ISTA	B	1,699	4.88	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ITXSM	S	100,000	69.34	n/a	n/a	non-brg	5.0
FIRST NEW YORK LEDDY	035	IVZ	S	10,000	27.72	21-Nov	3-Dec	600.00	6.0
HEALY CIRCLE	044	IVZ	B	15,000	27.00	21-Nov	3-Dec	750.00	5.0
B BUCK CAPITAL MGMT		IWM	SS	90,000	74.86	n/a	n/a	non-brg	1.0
GALLEON MGMT LP	033	IWO	C	7,500	81.97	n/a	n/a	375.00	5.0
WELLS/STRONG LEDDY	035	JAH	S	3,700	25.50	n/a	n/a	148.00	4.0
BUCK CAPITAL MGMT	001	JCG	S	30,000	47.01	28-Nov	30-Nov	1,200.00	4.0
COUGAR TRADING	044	JCG	SS	5,000	47.03	28-Nov	30-Nov	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	JCP	S	10,000	43.53	15-Nov	3-Dec	400.00	4.0
VISIUM/BALY HOWARD	038	JCP	SS	25,000	44.21	15-Nov	3-Dec	1,250.00	5.0
BUCK CAPITAL MGMT	001	JWN	S	20,000	34.60	20-Nov	3-Dec	800.00	4.0
⌘ BUCK CAPITAL MGMT		JWN	S	12,100	34.60	20-Nov	3-Dec	non-brg	4.0
⌘ BUCK CAPITAL MGMT		JWN	S	30,000	36.50	20-Nov	3-Dec	non-brg	4.0
THE JAY GOLDMAN	034	JWN	B	20,000	34.61	20-Nov	3-Dec	800.00	4.0
CAXTON PART	040	KSS	B	53,168	50.81	9-Nov	3-Dec	1,860.90	3.5
COUGAR TRADING	044	KSS	B	5,000	50.56	9-Nov	3-Dec	250.00	5.0
WELLS/STRONG LEDDY	035	KWD	S	9,100	14.70	n/a	n/a	364.00	4.0
⌘ BUCK CAPITAL MGMT		LAMR	S	10,000	51.10	n/a	n/a	non-brg	4.0
KORMAN	003	LDKLI	S	60	1.80	n/a	n/a	0.00	0.0
AMBER CAPITAL	046	LEA	SS	180,000	27.87	n/a	n/a	7,200.00	4.0
JL ADVISORS	028	LEH	B	25,000	59.52	n/a	20-Nov	937.50	3.8
SINCLAIR	031	LESAM	B	15	2.30	n/a	n/a	0.00	0.0
LAGRANGE CAP ADV	048	LGF	B	50,000	9.30	n/a	n/a	2,500.00	5.0
ROYCE TRADING	216	LPX	S	10,000	14.65	30-Oct	30-Oct	500.00	5.0
BUCK CAPITAL MGMT	001	LTD	SS	10,000	20.15	n/a	3-Dec	400.00	4.0
BUCK CAPITAL MGMT	001	LTM	S	10,000	50.48	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BARR	096	MCO	SS	400	35.82	n/a	n/a	0.00	0.0
JL ADVISORS	028	MGM	B	100,000	84.37	n/a	31-Oct	3,750.00	3.8
BALYASNY ASSET MGMT	044	MHK	SS	5,000	78.25	n/a	n/a	250.00	5.0
STRONG/MARK GRONET	030	MMR	B	11,845	12.03	n/a	n/a	473.80	4.0
NORTHPOINT	030	MODT	S	10,600	0.85	n/a	n/a	318.00	3.0
BUCK	015	MO	S	500	78.14	n/a	n/a	0.00	0.0
AMATURO	018	MPEL	S	3,000	14.41	n/a	n/a	0.00	0.0
HUNTER GLOBAL INVESTOR	067	MPW	B	165,800	11.00	n/a	n/a	6,632.00	4.0
MAGNETAR FINANCIAL	247	MYL	SS	25,000	14.38	n/a	4-Dec	750.00	3.0
STRONG/MARK GRONET	030	NR	B	8,310	5.37	n/a	n/a	249.30	3.0
BUCK CAPITAL MGMT	001	NWY	S	30,050	7.28	n/a	20-Nov	1,202.00	4.0
B BUCK CAPITAL MGMT		NWY	S	20,000	7.32	n/a	20-Nov	non-brg	2.0
B BUCK CAPITAL MGMT		NWY	S	62,600	7.34	n/a	20-Nov	non-brg	2.0
WELLS/STRONG LEDDY	035	NWY	S	21,100	7.43	n/a	20-Nov	844.00	4.0
RAMIUS CAP	040	NX	B	25,800	49.17	n/a	n/a	1,290.00	5.0
ASCEND PARTNERS	033	OMI	C	10,000	38.52	n/a	n/a	500.00	5.0
HIGHBRIDGE/MS OLDS	041	PCAR	SS	136,973	50.07	n/a	n/a	6,848.65	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRI SUN CAPITAL	012	PETM	S	2,000	27.81	n/a	n/a	80.00	4.0
B BUCK CAPITAL MGMT		PFCB	SS	10,000	25.81	n/a	24-Apr	non-brg	4.0
BUCK	015	PFE	B	800	23.49	n/a	31-Mar	0.00	0.0
MERRILL LYNCH STRATEGICI	034	PICO	S	27,832	37.03	n/a	n/a	1,113.28	4.0
MAZAMA CAPITAL MGMT.	035	PJC	B	1,300	45.08	n/a	n/a	52.00	4.0
B BUCK CAPITAL MGMT		PLCE	B	22,000	28.89	3-Dec	3-Dec	non-brg	4.0
B BUCK CAPITAL MGMT		PLCE	S	10,000	27.83	3-Dec	3-Dec	non-brg	4.0
B BUCK CAPITAL MGMT		PNRA	SS	40,000	38.37	n/a	n/a	non-brg	4.0
WELLS/STRONG LEDDY	035	PTRY	S	5,000	30.50	n/a	n/a	200.00	4.0
ASCEND PARTNERS	033	PVH	S	18,200	37.93	21-Nov	21-Nov	910.00	5.0
BUCK CAPITAL MGMT	001	PVH	B	120,000	37.47	21-Nov	21-Nov	4,800.00	4.0
BUCK CAPITAL MGMT	001	PVH	S	20,000	37.77	21-Nov	21-Nov	800.00	4.0
COUGAR TRADING	044	PVH	B	10,000	37.12	21-Nov	21-Nov	500.00	5.0
COUGAR TRADING	044	PZN	SS	5,000	12.82	n/a	29-Nov	250.00	5.0
WELLS/STRONG LEDDY	035	RCRC	S	4,800	28.25	n/a	n/a	192.00	4.0
FIRST NY SEC/CHRIS	041	RFMD	B	15,000	5.72	n/a	n/a	900.00	6.0
WELLS/STRONG LEDDY	035	RGS	S	14,100	27.72	n/a	n/a	564.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DURANGO INVESTMENTS	031	RHI	B	2,500	24.93	n/a	n/a	100.00	4.0
GARDNER LEWIS ASSET MGMT	028	RIG	B	52,100	130.74	n/a	n/a	2,605.00	5.0
MERRILL LYNCH STRATEGICI	034	RIG	B	5,000	130.07	n/a	n/a	300.00	6.0
BUCK CAPITAL MGMT	001	RL	S	10,000	66.92	8-Nov	8-Nov	400.00	4.0
ASCEND PARTNERS	033	ROST	S	4,600	26.16	n/a	n/a	230.00	5.0
B BUCK CAPITAL MGMT		SBUX	SS	20,000	22.55	n/a	24-Apr	non-brg	4.0
B BUCK CAPITAL MGMT		SBUX	SS	30,000	22.47	n/a	24-Apr	non-brg	4.0
TRI SUN CAPITAL	012	SDS	B	3,000	54.62	n/a	n/a	120.00	4.0
ZOLIDIS	011	SHOE	SS	300	1.47	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SKNN	S	191,950	0.30	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT	001	SKS	B	20,000	20.89	n/a	n/a	800.00	4.0
GRUSS CAPITAL	045	SKX	S	5,000	21.95	n/a	13-Mar	200.00	4.0
WELLS/STRONG LEDDY	035	SKX	S	9,100	22.50	n/a	13-Mar	364.00	4.0
HAYGROUND COE	039	SPLS	B	100,000	23.99	27-Jul	27-Jul	5,000.00	5.0
PEAK MACAYA CAP MGMT	044	SPLS	B	10,150	23.69	27-Jul	27-Jul	507.50	5.0
B BUCK CAPITAL MGMT		SPY	SS	10,000	146.64	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		SPY	SS	15,000	146.68	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		SPY	SS	25,000	146.53	n/a	n/a	non-brg	2.0

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GALLEON MGMT LP	033	SPY	C	10,000	146.97	n/a	n/a	500.00	5.0
RAMIUS CAP	040	SVU	SS	32,800	40.61	n/a	n/a	1,640.00	5.0
CAPITAL GROWTH MGMT.	241	SWY	B	84,100	34.98	n/a	n/a	4,205.00	5.0
REINHART & MAHONEY	031	TDY	S	17,075	53.42	n/a	n/a	853.75	5.0
ARIENCE CAPITAL	036	TEN	S	31,600	26.33	n/a	n/a	1,580.00	5.0
BUCK CAPITAL MGMT	001	TIF	SS	40,000	46.25	18-Oct	3-Dec	1,600.00	4.0
B BUCK CAPITAL MGMT		TIF	SS	10,000	47.79	18-Oct	3-Dec	non-brg	4.0
IRONBOUND CAPITAL	012	TIN	B	30,000	43.99	9-Nov	9-Nov	1,500.00	5.0
APEX CAPITAL MGMT.	091	TJX	B	25,000	28.22	21-Sep	3-Dec	1,250.00	5.0
BALYASNY ASSET MGMT	044	TLB	B	30,000	15.72	n/a	27-Nov	1,500.00	5.0
B BUCK CAPITAL MGMT		TRLG	S	5,000	18.45	n/a	n/a	non-brg	4.0
BALYASNY ASSET MGMT	044	TRW	S	10,000	22.15	n/a	n/a	500.00	5.0
PRINCIPLE CAPITAL	040	TUP	B	29,700	33.84	n/a	n/a	891.00	3.0
WELLS/STRONG LEDDY	035	TUP	S	7,600	33.76	n/a	n/a	304.00	4.0
NOMURA CAPITAL	045	TWC	S	7,200	27.01	26-Oct	19-Nov	360.00	5.0
BARR	096	UNTD	B	2,600	12.18	n/a	n/a	0.00	0.0
APEX CAPITAL MGMT.	091	URBN	B	47,290	26.60	9-Nov	3-Dec	2,364.50	5.0

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B BUCK CAPITAL MGMT		URBN	S	20,000	25.33	9-Nov	3-Dec	non-brg	4.0
B BUCK CAPITAL MGMT		WFMI	SS	10,000	41.56	n/a	n/a	non-brg	4.0
MERRILL LYNCH STRATEGICI	034	WMT	SS	3,611	48.50	20-Nov	3-Dec	180.55	5.0
WHALE ROCK CAP	030	XLF	SS	265,000	30.10	n/a	n/a	10,600.00	4.0
RHO CAPITAL MGMT	041	XSI	S	8,800	3.15	n/a	n/a	88.00	1.0
TRIVIUM CAP MGMT	251	ZQK	B	250,000	10.18	n/a	31-Oct	10,000.00	4.0
WELLS/STRONG LEDDY	035	ZQK	S	10,800	10.21	n/a	31-Oct	432.00	4.0
TOTAL (Trade Date):								189,268.72	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	12/03	EMP ERROR	099	BBW	S	600	15.69	11-Sep	18-Oct	0.00	0.0
AO,CXL	12/03	LEDDY	035	BBW	S	600	15.69	11-Sep	18-Oct	0.00	0.0
AO,	12/03	LISTED ERR	099	GIS	B	3	60.01	n/a	n/a	0.00	0.0
AO,	12/03	GENERAL ELECTIC CO	033	GIS	S	99,285	60.01	n/a	n/a	3971.40	4.0
AO,CXL	12/03	AMATURO	018	GSI	S	4,000	10.27	n/a	n/a	0.00	0.0
AO,CRT	12/03	AMATURO	018	GSI	S	4,000	10.27	n/a	n/a	0.00	0.0
AO,CRT	12/03	SOCIETY GENERALE	040	HCR	B	5,000	64.05	n/a	15-Nov	200.00	4.0
AO,CXL	12/03	SOCIETY GENERALE	040	HCR	B	5,000	64.05	n/a	15-Nov	250.00	5.0
AO,CXL	12/03	AMATURO	018	MPEL	B	3,000	12.97	n/a	n/a	0.00	0.0
AO,CRT	12/03	AMATURO	018	MPEL	B	3,000	12.97	n/a	n/a	0.00	0.0
AO,CRT	12/03	MKT MAKER	099	PLCE	B	100	29.00	3-Dec	3-Dec	0.00	0.0
AO,CRT	12/03	METROPOLITAN CAPITAL	044	PLCE	S	20,800	28.95	3-Dec	3-Dec	1040.00	5.0
AO,CXL	12/03	METROPOLITAN CAPITAL	044	PLCE	S	20,800	28.95	3-Dec	3-Dec	832.00	4.0
AO,CRT	11/29	WHITTIER CAP	048	PVH	B	5,745	40.22	21-Nov	21-Nov	229.80	4.0
AO,CXL	11/29	WHITTIER CAP	048	PVH	B	5,745	40.22	21-Nov	21-Nov	287.25	5.0
AO,CRT	12/03	WILLOW CREEK	033	SNS	B	19,000	11.67	n/a	n/a	760.00	4.0
AO,CXL	12/03	WILLOW CREEK	033	SNS	B	19,000	11.67	n/a	n/a	570.00	3.0
TOTAL (AO, CXL, CRT) :										4,261.95	

TOTAL (Trade Date):	189,268.72
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TOTAL (AO, CXL, CRT):	4,261.95
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TOTAL (RUN DATE) / NFS:	193,530.67
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MRI Securities with Trade Activity on 4-Dec.
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APC

MRI Securities without Trade Activity on 4-Dec.

HSC

BRG comm. as a % of BCM Total Comm. paid.

T-Date = 54%

YTD = 20%

Legend:

Õ: 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