



## Daily Compliance Activity Report

Trade Date: 06/06/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 1**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK	015	AB	B	700	65.33	9-Apr	2-Jun	0.00	0.0
BUCK CAPITAL MGMT	001	ANF	B	20,000	67.92	10-Apr	6-Jun	800.00	4.0
COUGAR TRADING	044	ANF	B	5,000	68.58	10-Apr	6-Jun	250.00	5.0
ACK ASSET	091	AN	SS	6,000	14.83	n/a	25-Apr	240.00	4.0
GEORGE WEISS	034	APA	C	5,000	136.64	7-May	4-Jun	200.00	4.0
SIGMA CAPITAL ASSOCIATES	237	APC	B	15,000	78.04	20-Mar	4-Jun	750.00	5.0
TRELLUS PARTNERS LP	028	ARGN	B	10,000	11.15	n/a	20-May	500.00	5.0
DURANGO INVESTMENTS	031	BHI	S	5,000	90.07	n/a	n/a	200.00	4.0
PRIMECAP MGMT	048	BSX	B	5,500	13.51	n/a	22-Apr	220.00	4.0
BUCK	015	BYD	S	1,200	16.35	30-Apr	30-Apr	0.00	0.0
PRIMECAP MGMT	048	COF	B	1,000	46.83	n/a	n/a	40.00	4.0
COUGAR TRADING	044	COH	B	20,000	36.39	4-Apr	23-Apr	1,000.00	5.0
MS PRINCIPAL STRATEGIES	041	CORS	B	9,521	5.00	n/a	n/a	476.05	5.0
MS PRINCIPAL STRATEGIES	041	CVBF	B	5,000	10.90	n/a	n/a	250.00	5.0
CARDINAL CAPITAL	044	CVO	B	120,300	12.78	n/a	n/a	6,015.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET	032	C	S	802,100	20.41	16-Jan	15-May	36,094.50	4.5
OGORMAN	046	C	B	2,300	20.26	16-Jan	15-May	0.00	0.0
ZOLIDIS	011	DECK	B	200	129.50	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	DE	B	17,500	82.41	n/a	23-May	875.00	5.0
PRIMECAP MGMT	048	DFS	B	1,000	16.11	n/a	n/a	40.00	4.0
PRINCIPLE CAPITAL	040	DIN	B	99,800	42.59	n/a	n/a	3,992.00	4.0
BUCK	015	DIS	B	1,000	33.30	n/a	n/a	0.00	0.0
CASTLE ARK	031	DKS	S	63,040	23.00	n/a	23-May	3,782.40	6.0
COUGAR TRADING	044	DKS	SS	5,000	22.96	n/a	23-May	250.00	5.0
GAULT	063	DUG	S	1,000	27.33	n/a	n/a	0.00	0.0
PRIMECAP MGMT	048	EMC	B	16,400	17.34	n/a	n/a	656.00	4.0
GRONET	030	EPG	B	1,000	5.19	n/a	n/a	0.00	0.0
CROWLEY	061	EPG	B	2,000	5.20	n/a	n/a	0.00	0.0
ZOLIDIS	011	EWZ	B	72	95.59	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	FDO	SS	20,000	22.16	8-Jan	5-Jun	800.00	4.0
SINCLAIR	031	FQGG	S	60	0.50	n/a	n/a	0.00	0.0
ZOLIDIS	011	FRED	C	1,000	12.99	27-Mar	27-Mar	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DECADE CAPITAL PARTNERS	040	GBCI	B	10,000	19.38	n/a	n/a	500.00	5.0
SIGMA CAPITAL ASSOCIATES	237	GD	SS	12,000	87.00	n/a	n/a	600.00	5.0
<b>MCCARTAN</b>	<b>028</b>	<b>GETI</b>	<b>S</b>	<b>100</b>	<b>30.89</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
AVESTA CAP	229	GE	B	100,000	30.26	n/a	n/a	5,000.00	5.0
<b>MCCARTAN</b>	<b>028</b>	<b>GMO</b>	<b>S</b>	<b>500</b>	<b>8.98</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>MCCARTAN</b>	<b>028</b>	<b>GM</b>	<b>SS</b>	<b>1,200</b>	<b>16.36</b>	<b>29-Apr</b>	<b>5-Jun</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK</b>	<b>015</b>	<b>GOPSW</b>	<b>S</b>	<b>2</b>	<b>11.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>ACK ASSET</b>	<b>091</b>	<b>GPI</b>	<b>SS</b>	<b>6,000</b>	<b>24.96</b>	<b>n/a</b>	<b>30-Apr</b>	<b>240.00</b>	<b>4.0</b>
SCOPUS FUND	041	GPI	SS	30,000	24.81	n/a	30-Apr	1,500.00	5.0
PROSPECTOR PARTNERS LLC	036	GPK	B	50,000	2.71	n/a	n/a	1,500.00	3.0
PRIMECAP MGMT	048	GSK	B	200	42.62	n/a	n/a	8.00	4.0
BANK OF NEW YORK	046	GS	B	10,750	171.64	19-Mar	6-Jun	430.00	4.0
<b>OGORMAN</b>	<b>046</b>	<b>GS</b>	<b>B</b>	<b>100</b>	<b>171.31</b>	<b>19-Mar</b>	<b>6-Jun</b>	<b>0.00</b>	<b>0.0</b>
<b>CROWLEY</b>	<b>061</b>	<b>GXP</b>	<b>B</b>	<b>1,000</b>	<b>25.99</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>HAS</b>	<b>SS</b>	<b>80,000</b>	<b>37.81</b>	<b>n/a</b>	<b>n/a</b>	<b>3,200.00</b>	<b>4.0</b>
<b>KAICHER</b>	<b>064</b>	<b>HK</b>	<b>B</b>	<b>2,000</b>	<b>35.57</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHALE ROCK CAP	030	HPQ	S	122,100	48.01	n/a	n/a	4,884.00	4.0
PROSPECTOR PARTNERS LLC	036	HSY	B	10,000	37.93	n/a	n/a	400.00	4.0
MFP INVESTORS	032	IACI	B	10,000	21.63	n/a	n/a	500.00	5.0
<b>CROWLEY</b>	<b>061</b>	<b>ILA</b>	<b>S</b>	<b>26,000</b>	<b>3.82</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FIRST NY SEC/CHRIS	041	INTC	B	25,000	23.35	n/a	n/a	1,250.00	5.0
NOMURA CAPITAL	045	IPHS	S	6,000	29.78	n/a	n/a	300.00	5.0
<b>OGORMAN</b>	<b>046</b>	<b>JOSB</b>	<b>S</b>	<b>1,000</b>	<b>27.39</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TRUST CO/COWEN/CALF.	040	JPM	B	220,860	40.08	8-May	15-May	11,043.00	5.0
<b>BUCK</b>	<b>015</b>	<b>JPM</b>	<b>SS</b>	<b>600</b>	<b>40.11</b>	<b>8-May</b>	<b>15-May</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	JWN	SS	10,000	34.75	16-May	6-Jun	500.00	5.0
RBC CAPITAL MARKETS	034	JWN	B	5,000	34.02	16-May	6-Jun	200.00	4.0
<b>KORMAN</b>	<b>003</b>	<b>JWUSL</b>	<b>B</b>	<b>80</b>	<b>11.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
RBC CAPITAL MARKETS	034	KSS	B	5,000	44.30	n/a	6-Jun	200.00	4.0
<b>BUCK</b>	<b>015</b>	<b>KSS</b>	<b>C</b>	<b>1,000</b>	<b>44.25</b>	<b>n/a</b>	<b>6-Jun</b>	<b>0.00</b>	<b>0.0</b>
MS PRINCIPAL STRATEGIES	041	LEH	SS	100,000	33.54	6-Jun	6-Jun	5,000.00	5.0
<b>BUCK</b>	<b>015</b>	<b>LEH</b>	<b>SS</b>	<b>1,000</b>	<b>33.26</b>	<b>6-Jun</b>	<b>6-Jun</b>	<b>0.00</b>	<b>0.0</b>
<b>SINCLAIR</b>	<b>031</b>	<b>LESAI</b>	<b>S</b>	<b>40</b>	<b>2.47</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	LIZ	SS	10,000	16.53	n/a	14-May	400.00	4.0
PRIMECAP MGMT	048	LLY	B	2,000	48.91	n/a	n/a	80.00	4.0
DECADE CAPITAL PARTNERS	040	LNC	SS	10,000	54.05	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	LTD	SS	100,000	18.29	n/a	6-Jun	4,000.00	4.0
BRIGHTPOINT CAP	067	MCHP	SS	25,000	35.01	n/a	n/a	1,000.00	4.0
PRIMECAP MGMT	048	MMC	B	5,000	26.61	n/a	n/a	200.00	4.0
BANK OF NEW YORK	046	MS	B	32,500	42.10	n/a	6-Jun	1,300.00	4.0
NATIONAL BK OF CAN	031	MS	B	40,000	41.07	n/a	6-Jun	1,600.00	4.0
OGORMAN	046	MS	B	500	41.21	n/a	6-Jun	0.00	0.0
BUCK	015	M	B	1,000	22.10	7-Feb	2-Jun	0.00	0.0
DURANGO INVESTMENTS	031	NBR	S	10,000	44.24	n/a	n/a	400.00	4.0
MCCARTAN	028	NOA	B	400	18.64	n/a	n/a	0.00	0.0
SIGMA CAPITAL ASSOCIATES	237	NOC	B	30,000	72.21	n/a	n/a	1,500.00	5.0
PRIMECAP MGMT	048	NVDA	B	5,000	24.13	n/a	n/a	200.00	4.0
PRIMECAP MGMT	048	NVS	B	900	52.27	n/a	n/a	36.00	4.0
GEOSPHERE CAPITAL MGMT	044	ODFL	SS	50,000	29.78	n/a	n/a	1,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>KAICHER</b>	<b>064</b>	<b>PAAS</b>	<b>B</b>	<b>2,000</b>	<b>33.16</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>PRYLUCKI</b>	<b>092</b>	<b>PAAS</b>	<b>B</b>	<b>100</b>	<b>32.66</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MS PRINCIPAL STRATEGIES	041	PACW	B	4,000	19.70	n/a	n/a	200.00	5.0
<b>ACK ASSET</b>	<b>091</b>	<b>PAG</b>	<b>SS</b>	<b>6,000</b>	<b>18.91</b>	<b>22-Apr</b>	<b>30-Apr</b>	<b>240.00</b>	<b>4.0</b>
BRENCOURT	028	PAG	B	500	18.70	22-Apr	30-Apr	25.00	5.0
BRENCOURT	028	PAG	SS	500	19.28	22-Apr	30-Apr	25.00	5.0
<b>KAICHER</b>	<b>064</b>	<b>PAS</b>	<b>B</b>	<b>2,000</b>	<b>23.79</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>KAICHER</b>	<b>064</b>	<b>PAS</b>	<b>S</b>	<b>2,000</b>	<b>23.79</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TRIVIUM CAP MGMT	251	PAYX	C	25,000	33.23	n/a	n/a	1,000.00	4.0
<b>LEDDY</b>	<b>035</b>	<b>PBR</b>	<b>B</b>	<b>200</b>	<b>69.34</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PROSPECTOR PARTNERS LLC	036	PFE	B	10,000	18.18	n/a	31-Mar	400.00	4.0
DECADE CAPITAL PARTNERS	040	PFG	B	20,000	50.49	n/a	n/a	1,000.00	5.0
RBC CAPITAL MARKETS	034	PLCE	B	12,500	35.07	3-Jun	6-Jun	500.00	4.0
CAPITAL GROWTH MGMT.	241	POT	B	200,000	221.24	n/a	n/a	10,000.00	5.0
COUGAR TRADING	044	PSUN	B	10,000	9.35	n/a	6-Jun	500.00	5.0
<b>SINCLAIR</b>	<b>031</b>	<b>PUHAA</b>	<b>B</b>	<b>50</b>	<b>1.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
THOMSON HORSTMAN BRYANT	040	PVH	B	18,500	42.08	5-May	22-May	925.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>KORMAN</b>	<b>003</b>	<b>QAYSH</b>	<b>B</b>	<b>50</b>	<b>5.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BULL PATH CAPITAL	044	RCL	S	80,000	27.47	25-Apr	25-Apr	4,000.00	5.0
VISIUM/BALY HOWARD	038	RL	B	15,000	67.15	7-Feb	29-May	750.00	5.0
<b>BUCK</b>	<b>015</b>	<b>RYN</b>	<b>S</b>	<b>1,500</b>	<b>47.02</b>	<b>23-Apr</b>	<b>23-Apr</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	SDS	SS	5,000	57.18	n/a	n/a	250.00	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>SFD</b>	<b>B</b>	<b>495</b>	<b>28.06</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PRIMECAP MGMT	048	SNDK	B	5,000	28.13	n/a	n/a	200.00	4.0
PRIMECAP MGMT	048	SNY	B	300	35.51	n/a	n/a	12.00	4.0
MERRILL ASSET	032	STC	S	30,900	23.68	n/a	n/a	1,390.50	4.5
MS PRINCIPAL STRATEGIES	041	STT	B	5,500	69.75	n/a	n/a	275.00	5.0
DECADE CAPITAL PARTNERS	040	TAL	B	10,000	26.00	n/a	n/a	500.00	5.0
GEOSPHERE CAPITAL MGMT	044	TEX	SS	100,000	68.65	n/a	3-Jun	3,000.00	3.0
<b>LEDDY</b>	<b>035</b>	<b>TLB</b>	<b>S</b>	<b>1,000</b>	<b>8.20</b>	<b>17-Apr</b>	<b>30-May</b>	<b>0.00</b>	<b>0.0</b>
DECADE CAPITAL PARTNERS	040	TROW	B	40,000	59.60	n/a	2-Jun	2,000.00	5.0
KEEFE BRUYETTE WOODS A	031	TROW	SS	3,300	59.65	n/a	2-Jun	165.00	5.0
NOMURA CAPITAL	045	TSO	B	5,000	24.89	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
REICH AND TANG	067	TWP	S	25,000	13.48	n/a	n/a	1,250.00	5.0
SIGMA CAPITAL ASSOCIATES	237	TXT	SS	20,000	59.54	n/a	n/a	1,000.00	5.0
<b>GRONET</b>	<b>030</b>	<b>UQM</b>	<b>B</b>	<b>1,000</b>	<b>2.65</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DECADE CAPITAL PARTNERS	040	USB	B	75,000	32.42	n/a	n/a	3,750.00	5.0
<b>ZOLIDIS</b>	<b>011</b>	<b>UYG</b>	<b>B</b>	<b>113</b>	<b>27.16</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LEHMAN PROPRIETARY TRAD	041	VMC	SS	50,000	72.33	n/a	n/a	2,000.00	4.0
RBC CAPITAL MARKETS	034	WAG	SS	5,000	35.89	n/a	n/a	200.00	4.0
MS PRINCIPAL STRATEGIES	041	WB	B	9,022	20.00	n/a	n/a	451.10	5.0
CHARTER OAK	033	WDR	SS	30,000	35.94	22-Apr	2-Jun	1,500.00	5.0
DECADE CAPITAL PARTNERS	040	WFSL	SS	20,000	21.77	n/a	n/a	1,000.00	5.0
S.A.C. CAPITAL MGMT.	044	WY	S	50,000	58.92	7-Apr	27-May	2,500.00	5.0
BRIGHTPOINT CAP	067	XLY	C	25,000	31.86	n/a	n/a	1,000.00	4.0
<b>BUCK</b>	<b>015</b>	<b>YHQQF</b>	<b>B</b>	<b>20</b>	<b>1.06</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>TOTAL (Trade Date):</b>								<b>149,660.55</b>	



### Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	06/05	PILOT ADV (PILOPERSH)	038	BRCD	B	47,500	8.45	n/a	n/a	1187.50	2.5
AO,	06/05	PILOT ADV (PILOUBS)	038	BRCD	B	2,000	8.45	n/a	n/a	50.00	2.5
AO,	06/05	PILOT ADV (PILOPARADI)	038	BRCD	B	48,000	8.45	n/a	n/a	1200.00	2.5
AO,CXL	06/05	REINHART & MAHONEY (REINNGLSM)	031	CAG	B	2,550	23.94	n/a	n/a	127.50	5.0
AO,	06/05	REINHART & MAHONEY (REINNGLWM)	031	CAG	B	2,550	23.94	n/a	n/a	127.50	5.0
AO,CXL	06/05	REINHART & MAHONEY (REINNGLSM)	031	CIEN	S	1,380	29.02	n/a	22-Mar	69.00	5.0
AO,	06/05	REINHART & MAHONEY (REINSETMID)	031	CIEN	S	400	29.02	n/a	22-Mar	20.00	5.0
AO,	06/05	REINHART & MAHONEY (REINNGLMID)	031	CIEN	S	1,380	29.02	n/a	22-Mar	69.00	5.0
AO,CXL	06/05	REINHART & MAHONEY (REINSETLSM)	031	CIEN	S	400	29.02	n/a	22-Mar	20.00	5.0
AO,CXL	06/05	LISTED ERR (LISTED ERR)	099	DFS	B	51,544	16.74	n/a	n/a	0.00	0.0
AO,CXL	06/05	LISTED ERR (LISTED ERR)	099	DFS	S	51,544	16.70	n/a	n/a	0.00	0.0
AO,	06/05	WYPER CAPITAL (WYPENORTHC)	044	DFS	B	3,551	16.74	n/a	n/a	0.00	0.0
AO,	06/05	WYPER CAPITAL (WYPEJPMORG)	044	DFS	B	7,307	16.74	n/a	n/a	0.00	0.0
AO,	06/05	WYPER CAPITAL (WYPETDF)	044	DFS	B	807	16.74	n/a	n/a	0.00	0.0
AO,	06/05	WYPER CAPITAL (WYPENORTHE)	044	DFS	B	24,495	16.74	n/a	n/a	0.00	0.0
AO,	06/05	WYPER CAPITAL (WYPEUSGA I)	044	DFS	B	1,210	16.74	n/a	n/a	0.00	0.0
AO,CRT	06/05	WYPER CAPITAL (WYPEMORGAN)	044	DFS	B	11,885	16.74	n/a	n/a	0.00	0.0
AO,	06/05	WYPER CAPITAL (WYPEMDLTP)	044	DFS	B	1,959	16.74	n/a	n/a	0.00	0.0
AO,	06/05	WYPER CAPITAL (WYPEMDERP)	044	DFS	B	330	16.74	n/a	n/a	0.00	0.0
AO,	06/05	WYPER CAPITAL (WYPENORTHC)	044	DFS	S	3,551	16.70	n/a	n/a	0.00	0.0
AO,	06/05	WYPER CAPITAL (WYPEJPMORG)	044	DFS	S	7,307	16.70	n/a	n/a	0.00	0.0
AO,	06/05	WYPER CAPITAL (WYPETDF)	044	DFS	S	807	16.70	n/a	n/a	0.00	0.0
AO,	06/05	WYPER CAPITAL (WYPENORTHE)	044	DFS	S	24,495	16.70	n/a	n/a	0.00	0.0
AO,	06/05	WYPER CAPITAL (WYPEUSGA I)	044	DFS	S	1,210	16.70	n/a	n/a	0.00	0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	06/05	WYPER CAPITAL (WYPEMORGAN)	044	DFS	S	11,885	16.70	n/a	n/a	0.00	0.0
AO,	06/05	WYPER CAPITAL (WYPEMDLTP)	044	DFS	S	1,959	16.70	n/a	n/a	0.00	0.0
AO,	06/05	WYPER CAPITAL (WYPEMDERP)	044	DFS	S	330	16.70	n/a	n/a	0.00	0.0
AO,CXL	06/04	INDEPENDENCE INV (INDE615)	039	GILD	B	11,100	56.35	n/a	n/a	444.00	4.0
AO,	06/04	INDEPENDENCE INV (INDE615)	039	GILD	B	11,100	56.35	n/a	n/a	444.00	4.0
AO,CXL	06/04	INDEPENDENCE INV (INDE610)	039	GILD	B	870	56.35	n/a	n/a	34.80	4.0
AO,	06/04	INDEPENDENCE INV (INDE610)	039	GILD	B	870	56.35	n/a	n/a	34.80	4.0
AO,CXL	06/04	INDEPENDENCE INV (INDE639)	039	GILD	B	14,100	56.35	n/a	n/a	564.00	4.0
AO,	06/04	INDEPENDENCE INV (INDE639)	039	GILD	B	14,100	56.35	n/a	n/a	564.00	4.0
AO,CXL	06/04	INDEPENDENCE INV (INDE458)	039	GILD	B	5,000	56.35	n/a	n/a	200.00	4.0
AO,	06/04	INDEPENDENCE INV (INDE458)	039	GILD	B	5,000	56.35	n/a	n/a	200.00	4.0
AO,CXL	06/04	INDEPENDENCE INV (INDE660)	039	GILD	B	21,000	56.35	n/a	n/a	840.00	4.0
AO,	06/04	INDEPENDENCE INV (INDE660)	039	GILD	B	21,000	56.35	n/a	n/a	840.00	4.0
AO,CXL	06/04	INDEPENDENCE INV (INDE580)	039	GILD	B	4,800	56.35	n/a	n/a	192.00	4.0
AO,	06/04	INDEPENDENCE INV (INDE580)	039	GILD	B	4,800	56.35	n/a	n/a	192.00	4.0
AO,CXL	06/04	INDEPENDENCE INV (INDE621)	039	GILD	B	6,000	56.35	n/a	n/a	240.00	4.0
AO,	06/04	INDEPENDENCE INV (INDE621)	039	GILD	B	6,000	56.35	n/a	n/a	240.00	4.0
AO,CXL	06/04	INDEPENDENCE INV (INDE230)	039	GILD	B	10,000	56.35	n/a	n/a	400.00	4.0
AO,	06/04	INDEPENDENCE INV (INDE230)	039	GILD	B	10,000	56.35	n/a	n/a	400.00	4.0
AO,CXL	06/04	INDEPENDENCE INV (INDE297)	039	GILD	B	13,600	56.35	n/a	n/a	544.00	4.0
AO,	06/04	INDEPENDENCE INV (INDE297)	039	GILD	B	13,600	56.35	n/a	n/a	544.00	4.0
AO,CXL	06/04	INDEPENDENCE INV (INDE78)	039	GILD	B	22,300	56.35	n/a	n/a	892.00	4.0
AO,	06/04	INDEPENDENCE INV (INDE78)	039	GILD	B	22,300	56.35	n/a	n/a	892.00	4.0
AO,CXL	06/04	INDEPENDENCE INV (INDE611)	039	GILD	B	59,700	56.35	n/a	n/a	2388.00	4.0
AO,	06/04	INDEPENDENCE INV (INDE611)	039	GILD	B	59,700	56.35	n/a	n/a	2388.00	4.0
AO,CXL	06/04	INDEPENDENCE INV (INDE261)	039	GILD	B	64,800	56.35	n/a	n/a	2592.00	4.0
AO,	06/04	INDEPENDENCE INV (INDE261)	039	GILD	B	64,800	56.35	n/a	n/a	2592.00	4.0
AO,CXL	06/05	REINHART & MAHONEY (REINSETLSM)	031	JBX	B	190	24.48	n/a	24-Apr	9.50	5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/05	REINHART & MAHONEY (REINNGLSM)	031	JBX	B	670	24.48	n/a	24-Apr	33.50 5.0
AO,	06/05	REINHART & MAHONEY (REINSETMID)	031	JBX	B	190	24.48	n/a	24-Apr	9.50 5.0
AO,	06/05	REINHART & MAHONEY (REINNGLMID)	031	JBX	B	670	24.48	n/a	24-Apr	33.50 5.0
AO,	06/03	COHE & STEERS (COHEUFC)	091	RYN	B	5,697	46.55	23-Apr	23-Apr	227.88 4.0
AO,CXL	06/03	COHE & STEERS (COHEUTP)	091	RYN	B	5,697	46.55	23-Apr	23-Apr	227.88 4.0
AO,	06/05	LISTED ERR (LISTED ERR)	099	SFD	S	495	28.43	n/a	n/a	0.00 0.0
AO,CXL	06/05	REINHART & MAHONEY (REINNGLSM)	031	SFD	S	4,000	28.43	n/a	n/a	200.00 5.0
AO,	06/05	REINHART & MAHONEY (REINNGLWM)	031	SFD	S	4,000	28.43	n/a	n/a	200.00 5.0

**TOTAL (AO, CXL, CRT) :** **2,437.50**

TOTAL (Trade Date): 149,660.55  
TOTAL (AO, CXL, CRT): 2,437.50

**TOTAL (RUN DATE) / NFS:** **152,098.05**

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