



## Daily Compliance Activity Report

Trade Date: 01/25/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 1**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AMBER CAPITAL	046	AAP	B	75,000	33.86	n/a	n/a	3,000.00	4.0
<b>GAULT</b>	<b>063</b>	<b>ABG</b>	<b>B</b>	<b>1,000</b>	<b>12.99</b>	<b>25-Jan</b>	<b>25-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>DEMARTINI</b>	<b>065</b>	<b>ABG</b>	<b>B</b>	<b>1,000</b>	<b>13.02</b>	<b>25-Jan</b>	<b>25-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>SUTERA</b>	<b>160</b>	<b>ABP</b>	<b>B</b>	<b>1,000</b>	<b>3.49</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>AEO</b>	<b>B</b>	<b>50,000</b>	<b>21.53</b>	<b>11-Jan</b>	<b>11-Jan</b>	<b>2,000.00</b>	<b>4.0</b>
<b>LEDDY</b>	<b>035</b>	<b>AER</b>	<b>B</b>	<b>700</b>	<b>16.47</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
UBS OCONNOR	031	AMG	B	32,500	98.06	9-Jan	23-Jan	975.00	3.0
SIGMA CAPITAL ASSOCIATES	237	ANF	S	50,000	75.37	10-Jan	22-Jan	2,500.00	5.0
WHALE ROCK CAP	030	ANF	S	133,214	75.51	10-Jan	22-Jan	5,328.56	4.0
JPMSI/TOM LEDDY	035	ANN	S	20,000	21.16	11-Jan	11-Jan	1,000.00	5.0
SARAS CAPITAL	038	AN	SS	50,000	14.80	n/a	25-Jan	2,500.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>APP</b>	<b>S</b>	<b>600</b>	<b>11.24</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>ARO</b>	<b>B</b>	<b>10,000</b>	<b>25.43</b>	<b>29-Nov</b>	<b>11-Jan</b>	<b>400.00</b>	<b>4.0</b>
STERLING JOHNSTON	035	ARO	B	35,500	26.11	29-Nov	11-Jan	1,775.00	5.0
<b>GAULT</b>	<b>063</b>	<b>AXE</b>	<b>B</b>	<b>200</b>	<b>57.36</b>	<b>9-Oct</b>	<b>28-Nov</b>	<b>0.00</b>	<b>0.0</b>
NATIONAL BK OF CAN	031	BAC	B	31,000	39.76	13-Nov	23-Jan	1,240.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NATIONAL BK OF CAN	031	BAC	SS	15,000	39.43	13-Nov	23-Jan	600.00	4.0
NATIONAL BK OF CAN	031	BAC	S	16,000	39.49	13-Nov	23-Jan	640.00	4.0
CATAPULT	040	BBT	SS	5,000	34.93	n/a	n/a	250.00	5.0
NATIONAL BK OF CAN	031	BBT	B	15,000	34.11	n/a	n/a	600.00	4.0
NATIONAL BK OF CAN	031	BBT	SS	15,000	34.00	n/a	n/a	600.00	4.0
UBS OCONNOR	031	BEN	SS	30,000	99.36	25-Sep	24-Jan	900.00	3.0
<b>SUTERA</b>	<b>160</b>	<b>BQI</b>	<b>B</b>	<b>1,000</b>	<b>3.43</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>SUTERA</b>	<b>160</b>	<b>BRLC</b>	<b>B</b>	<b>1,000</b>	<b>2.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SOCIETY GENERALE	040	CAKE	B	25,000	20.77	n/a	24-Apr	1,000.00	4.0
CAXTON PART	040	CCL	B	59,035	41.76	n/a	26-Jan	2,066.24	3.5
COUGAR TRADING	044	CLMS	B	5,000	21.20	15-Jan	24-Jan	250.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>CLMS</b>	<b>SS</b>	<b>500</b>	<b>21.24</b>	<b>15-Jan</b>	<b>24-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK</b>	<b>015</b>	<b>COF</b>	<b>C</b>	<b>800</b>	<b>49.02</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>COH</b>	<b>SS</b>	<b>30,000</b>	<b>30.49</b>	<b>24-Oct</b>	<b>24-Jan</b>	<b>1,200.00</b>	<b>4.0</b>
<b>SUTERA</b>	<b>160</b>	<b>CUR</b>	<b>B</b>	<b>1,000</b>	<b>3.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MS PRINCIPAL STRATEGIES	041	CVS	SS	25,000	35.99	n/a	n/a	1,250.00	5.0
PRINCIPLE CAPITAL	040	CVS	B	19,900	35.57	n/a	n/a	597.00	3.0
SOCIETY GENERALE	040	CWTR	B	25,000	4.76	n/a	n/a	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NATIONAL BK OF CAN	031	C	B	80,000	26.99	16-Jan	22-Jan	3,200.00	4.0
NATIONAL BK OF CAN	031	C	SS	30,000	27.35	16-Jan	22-Jan	1,200.00	4.0
NATIONAL BK OF CAN	031	C	S	50,000	26.64	16-Jan	22-Jan	2,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DDS</b>	<b>SS</b>	<b>20,000</b>	<b>17.45</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
WHALE ROCK CAP	030	DECK	S	80,000	122.45	n/a	n/a	3,200.00	4.0
DIAMONDBACK CAP MGMT	232	DF	B	15,000	28.58	n/a	n/a	750.00	5.0
AMBER CAPITAL	046	DKS	B	275,000	30.46	n/a	27-Nov	11,000.00	4.0
<b>MAGUIRE</b>	<b>090</b>	<b>DRYS</b>	<b>B</b>	<b>2,000</b>	<b>60.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>MCCARTAN</b>	<b>028</b>	<b>EL</b>	<b>C</b>	<b>100</b>	<b>39.50</b>	<b>4-Jan</b>	<b>4-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>MENCKE</b>	<b>055</b>	<b>ETFC</b>	<b>S</b>	<b>100</b>	<b>3.74</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>SUTERA</b>	<b>160</b>	<b>ETFC</b>	<b>S</b>	<b>5,000</b>	<b>3.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>CATTANI</b>	<b>041</b>	<b>ETNBQ</b>	<b>S</b>	<b>2</b>	<b>2.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>CATTANI</b>	<b>041</b>	<b>ETN</b>	<b>B</b>	<b>200</b>	<b>83.21</b>	<b>22-Jan</b>	<b>22-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>GAULT</b>	<b>063</b>	<b>ETN</b>	<b>S</b>	<b>200</b>	<b>83.72</b>	<b>22-Jan</b>	<b>22-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>SINCLAIR</b>	<b>031</b>	<b>FRI</b>	<b>B</b>	<b>100</b>	<b>0.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>SINCLAIR</b>	<b>031</b>	<b>FRL</b>	<b>B</b>	<b>50</b>	<b>2.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TRELLUS PARTNERS LP	028	F	SS	200,000	6.49	n/a	25-Jan	6,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEDDY	035	F	SS	1,500	6.59	n/a	25-Jan	0.00	0.0
MCCARTAN	028	GES	S	200	38.00	n/a	n/a	0.00	0.0
WEINTRAUB	024	GFG	B	620	13.70	n/a	n/a	0.00	0.0
COLE	N24	GFG	B	300	13.60	n/a	n/a	0.00	0.0
TRELLUS PARTNERS LP	028	GM	SS	14,000	26.09	3-Jan	18-Jan	700.00	5.0
MAGUIRE	090	GNK	B	2,000	42.25	n/a	n/a	0.00	0.0
COUGAR TRADING	044	GNTX	B	10,500	16.19	25-Jan	25-Jan	525.00	5.0
COUGAR TRADING	044	GNTX	S	10,500	15.83	25-Jan	25-Jan	525.00	5.0
ENDEAVOUR CAPITAL	035	GNTX	B	71,400	16.06	25-Jan	25-Jan	3,570.00	5.0
WAGONHOUND	048	GNTX	B	54,850	16.12	25-Jan	25-Jan	2,194.00	4.0
COUGAR TRADING	044	GPS	B	5,000	18.56	n/a	11-Jan	250.00	5.0
WHALE ROCK CAP	030	GPS	S	150,000	17.90	n/a	11-Jan	6,000.00	4.0
THOMAS WEISEL ASSET MGMT	035	GPX	S	4,000	10.76	n/a	n/a	120.00	3.0
GAULT	063	GR	B	200	62.50	25-Oct	23-Jan	0.00	0.0
NATIONAL BK OF CAN	031	GS	B	5,000	194.30	21-Sep	22-Jan	200.00	4.0
NATIONAL BK OF CAN	031	GS	SS	5,000	192.69	21-Sep	22-Jan	200.00	4.0
CHARTER OAK	033	GWW	B	42,040	79.06	25-Jan	25-Jan	2,102.00	5.0
COLUMBIA PARTNERS	028	HCC	SS	48,840	25.97	n/a	n/a	1,465.20	3.0
LEDDY	035	HSC	B	250	53.10	10-Dec	10-Dec	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GAULT	063	ILA	B	10,000	3.36	n/a	n/a	0.00	0.0
SUTERA	160	ILA	B	1,000	3.41	n/a	n/a	0.00	0.0
CHARTER OAK	033	ITW	B	47,057	50.53	n/a	n/a	2,352.85	5.0
BUCK CAPITAL MGMT	001	JAH	S	30,000	22.18	n/a	n/a	1,200.00	4.0
GAULT	063	JCI	B	300	32.80	23-Jan	23-Jan	0.00	0.0
SUFFOLK CAPITAL MGMT	040	JCP	S	170,000	43.29	4-Jan	11-Jan	6,800.00	4.0
WHEELER	008	JNJGN	B	30	0.55	n/a	n/a	0.00	0.0
LEDDY	035	JNS	SS	300	27.80	9-Jan	24-Jan	0.00	0.0
NATIONAL BK OF CAN	031	JPM	B	15,000	44.29	17-Jan	22-Jan	600.00	4.0
NATIONAL BK OF CAN	031	JPM	S	15,000	44.17	17-Jan	22-Jan	600.00	4.0
LISTED ERR	099	JPM	B	15,000	44.23	17-Jan	22-Jan	0.00	0.0
LISTED ERR	099	JPM	S	15,000	44.20	17-Jan	22-Jan	0.00	0.0
DENVER INST. ADV	046	JWN	B	49,961	35.27	20-Nov	11-Jan	1,998.44	4.0
GLG PARTNERS	034	JWN	SS	25,000	35.09	20-Nov	11-Jan	1,250.00	5.0
MENCKE	055	KNOT	S	50	12.73	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	KSS	SS	20,000	43.32	4-Jan	11-Jan	800.00	4.0
SOCIETY GENERALE	040	KSS	B	12,500	42.66	4-Jan	11-Jan	500.00	4.0
NATIONAL BK OF CAN	031	LEH	B	20,000	57.29	n/a	22-Jan	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NATIONAL BK OF CAN	031	LEH	SS	20,000	58.43	n/a	22-Jan	800.00	4.0
BUCK CAPITAL MGMT	001	LIZ	B	10,000	21.33	n/a	31-Oct	400.00	4.0
GAULT	063	LPX	B	1,000	14.31	30-Oct	23-Jan	0.00	0.0
BUCK CAPITAL MGMT	001	LTM	B	10,000	40.43	n/a	n/a	400.00	4.0
COLE	N24	MCCC	S	1,000	4.66	7-Nov	4-Jan	0.00	0.0
WHEELER	008	MLI	S	5,000	27.39	9-Oct	24-Jan	0.00	0.0
BUCK	015	MON	C	300	114.02	n/a	14-Jan	0.00	0.0
PATTEN & PATTEN	067	MOT	S	1,275	10.76	n/a	n/a	63.75	5.0
PERRY PARTNERS	041	MPG	SS	64,000	26.65	n/a	n/a	1,920.00	3.0
GAULT	063	MRK	B	400	46.88	n/a	n/a	0.00	0.0
GALLEON MGMT LP	033	MSFT	S	25,000	34.35	n/a	3-Apr	1,250.00	5.0
BUCK CAPITAL MGMT	001	M	S	20,000	24.76	4-Jan	11-Jan	800.00	4.0
SOCIETY GENERALE	040	M	B	15,000	25.61	4-Jan	11-Jan	600.00	4.0
MENCKE	055	NSC	B	35	50.57	n/a	n/a	0.00	0.0
BULL PATH CAPITAL	044	NSR	S	50,000	28.11	n/a	n/a	2,500.00	5.0
MCCARTAN	028	PAG	S	300	16.75	n/a	17-Jan	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GAULT	063	PAG	B	1,000	16.54	n/a	17-Jan	0.00	0.0
DEMARTINI	065	PAG	B	1,000	16.61	n/a	17-Jan	0.00	0.0
MENCKE	055	PETS	S	50	12.92	n/a	n/a	0.00	0.0
ELM RIDGE ADVISORS	044	PKG	B	126,900	24.04	23-Jan	23-Jan	5,076.00	4.0
COUGAR TRADING	044	PSUN	B	15,000	10.37	n/a	11-Jan	750.00	5.0
KORMAN	003	QSUNM	S	30	2.50	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	RL	S	20,000	59.56	14-Jan	14-Jan	800.00	4.0
MCCARTAN	028	RL	SS	100	60.14	14-Jan	14-Jan	0.00	0.0
ZOLIDIS	011	RSTO	B	6,500	4.14	n/a	n/a	0.00	0.0
SOMERSET ADV	044	RTIX	S	60,000	7.35	n/a	n/a	2,400.00	4.0
BUCK	015	SBUX	S	2,000	20.42	n/a	24-Apr	0.00	0.0
GAULT	063	SGP	B	500	18.43	n/a	n/a	0.00	0.0
NEW JERSEY DIV OF INV.	220	SII	S	80,000	63.53	n/a	n/a	3,200.00	4.0
BALYASNY ASSET MGMT	044	SKS	S	20,000	17.41	n/a	n/a	1,000.00	5.0
FINANCIAL STOCK LP	028	SPG	B	40,000	87.70	n/a	n/a	1,600.00	4.0
GALLEON MGMT LP	033	SPY	S	20,000	135.42	n/a	n/a	1,000.00	5.0
GAULT	063	SSO	B	500	67.81	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHITE PINE CAPITAL	030	STKL	S	49,300	6.10	n/a	n/a	2,465.00	5.0
OSS CAPITAL/KEVIN DANN	067	SWY	S	200,000	31.47	n/a	n/a	6,000.00	3.0
DENVER INST. ADV	046	TGT	B	16,851	52.17	n/a	27-Jul	674.04	4.0
<b>GAULT</b>	<b>063</b>	<b>TIN</b>	<b>S</b>	<b>1,000</b>	<b>16.81</b>	<b>8-Jan</b>	<b>23-Jan</b>	<b>0.00</b>	<b>0.0</b>
RAMIUS CAP	040	TROW	C	20,000	53.67	9-Jan	24-Jan	1,000.00	5.0
<b>ZOLIDIS</b>	<b>011</b>	<b>TWM</b>	<b>B</b>	<b>200</b>	<b>82.35</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>MKT MAKER</b>	<b>099</b>	<b>TWTC</b>	<b>B</b>	<b>100</b>	<b>17.11</b>	<b>9-Nov</b>	<b>4-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>GAULT</b>	<b>063</b>	<b>TYC</b>	<b>B</b>	<b>300</b>	<b>37.29</b>	<b>9-Nov</b>	<b>23-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>DEMARTINI</b>	<b>065</b>	<b>TYC</b>	<b>B</b>	<b>200</b>	<b>37.24</b>	<b>9-Nov</b>	<b>23-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>UA</b>	<b>S</b>	<b>10,000</b>	<b>34.35</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
BALYASNY ASSET MGMT	044	URBN	S	30,000	27.78	3-Jan	18-Jan	1,500.00	5.0
<b>MCCARTAN</b>	<b>028</b>	<b>URBN</b>	<b>S</b>	<b>300</b>	<b>28.34</b>	<b>3-Jan</b>	<b>18-Jan</b>	<b>0.00</b>	<b>0.0</b>
CATAPULT	040	USB	SS	5,000	33.20	n/a	n/a	250.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>VC</b>	<b>B</b>	<b>2,500</b>	<b>3.69</b>	<b>n/a</b>	<b>18-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>MENCKE</b>	<b>055</b>	<b>VM</b>	<b>S</b>	<b>20</b>	<b>7.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>MENCKE</b>	<b>055</b>	<b>WATG</b>	<b>S</b>	<b>15</b>	<b>10.18</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.	
GAULT	063	XRT	B	1,000	31.15	n/a	n/a	0.00	0.0
COUGAR TRADING	044	ZQK	S	10,000	8.64	23-Jan	23-Jan	500.00	5.0
<b>TOTAL (Trade Date):</b>							<b>131,923.08</b>		

### Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/24	GEORGE WEISS (WEISDEUTSC)	034	DSW	SS	10,000	18.07	26-Oct	24-Jan	500.00 5.0
AO,CXL	01/24	MATTHES CAPITAL MGMT (MATTMSPB)	033	FDO	SS	18,750	19.54	8-Jan	11-Jan	937.50 5.0
AO,CRT	01/24	MATTHES CAPITAL MGMT (MATTMSPB)	033	FDO	SS	18,750	19.54	8-Jan	11-Jan	750.00 4.0
AO,CXL	01/24	MATTHES CAPITAL MGMT (MATTGSPB)	033	FDO	SS	34,850	19.54	8-Jan	11-Jan	1742.50 5.0
AO,CRT	01/24	MATTHES CAPITAL MGMT (MATTGSPB)	033	FDO	SS	34,850	19.54	8-Jan	11-Jan	1394.00 4.0
AO,CXL	01/23	SAC TRADING HOWARD (SACHGS)	063	FNF	SS	100,000	15.50	n/a	n/a	5000.00 5.0
AO,CRT	01/23	SAC TRADING HOWARD (SACHGS)	038	FNF	SS	100,000	15.50	n/a	n/a	5000.00 5.0
AO,	01/24	DAVIDSON KEMPNER ADVISOR (DAVICSFBPB)	040	HBAN	B	81,548	12.17	n/a	n/a	4077.40 5.0
AO,CXL	01/24	DAVIDSON KEMPNER ADVISOR (DAVIGS)	040	HBAN	B	150,000	12.17	n/a	n/a	7500.00 5.0
AO,CRT	01/24	DAVIDSON KEMPNER ADVISOR (DAVIGS)	040	HBAN	B	68,452	12.17	n/a	n/a	3422.60 5.0
AO,CXL	01/24	MATTHES CAPITAL MGMT (MATTMSPB)	033	JWN	SS	8,555	36.21	20-Nov	11-Jan	427.75 5.0
AO,CRT	01/24	MATTHES CAPITAL MGMT (MATTMSPB)	033	JWN	SS	8,555	36.21	20-Nov	11-Jan	342.20 4.0
AO,CXL	01/24	MATTHES CAPITAL MGMT (MATTGSPB)	033	JWN	SS	16,445	36.21	20-Nov	11-Jan	822.25 5.0
AO,CRT	01/24	MATTHES CAPITAL MGMT (MATTGSPB)	033	JWN	SS	16,445	36.21	20-Nov	11-Jan	657.80 4.0
AO,CRT	01/23	PATTEN & PATTEN (PATTPERSHI)	067	MBI	S	100	16.36	n/a	n/a	5.00 5.0
AO,CXL	01/23	PATTEN & PATTEN (PATTSCHWAB)	067	MBI	S	100	16.36	n/a	n/a	5.00 5.0
<b>CRT</b>	<b>01/25</b>	<b>MKT MAKER (MKT MAKER)</b>	<b>099</b>	<b>TWTC</b>	<b>B</b>	<b>100</b>	<b>17.11</b>	<b>9-Nov</b>	<b>4-Jan</b>	<b>0.00 0.0</b>
AO,CRT	01/24	CAPITAL GROWTH MGMT. (CAPG4811)	241	WFC	B	200,000	31.08	n/a	n/a	10000.00 5.0
AO,CXL	01/24	CAPITAL GROWTH MGMT. (CAPG4810)	241	WFC	B	200,000	31.08	n/a	n/a	10000.00 5.0
AO,	01/22	GOLDMAN SACHS ASSET MGMT (GSAM398)	044	XRX	S	75,000	13.23	n/a	n/a	1125.00 1.5

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
<b>TOTAL (AO, CXL, CRT) :</b>									<b>839.00</b>
TOTAL (Trade Date) :									131,923.08
TOTAL (AO, CXL, CRT) :									839.00
<b>TOTAL (RUN DATE) / NFS :</b>									<b>132,762.08</b>

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