

Daily Compliance Activity Report Trade Date: 01/26/2011

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	;/Shr.
PIONEER OAKRIDGE	031	ABT	S	825	46.94	n/a	n/a	16.50	2.0
PIONEER OAKRIDGE	031	AGN	S	705	72.44	n/a	24-Jan	14.10	2.0
PIONEER OAKRIDGE	031	ALTR	S	845	37.03	n/a	n/a	16.90	2.0
PIONEER OAKRIDGE	031	AMG	S	420	102.16	n/a	2-Mar	8.40	2.0
FIRST NY SEC/CHRIS	041	AMR	В	20,000	7.54	n/a	n/a	1,000.00	5.0
SURSUM CAPITAL	215	ANF	В	15,000	49.84	n/a	10-Jan	450.00	3.0
COUGAR TRADING	044	APC	В	10,000	75.13	n/a	11-Jan	500.00	5.0
COUGAR TRADING	044	APC	S	10,000	76.47	n/a	11-Jan	500.00	5.0
PIONEER OAKRIDGE	031	АРН	S	550	55.07	n/a	n/a	11.00	2.0
SURSUM CAPITAL	215	ARO	В	10,000	24.15	n/a	7-Jan	300.00	3.0
BALYASNY ASSET MGMT	044	ASNA	S	25 , 000	27.49	n/a	n/a	1,250.00	5.0
SURSUM CAPITAL	215	ASNA	SS	5,000	27.74	n/a	n/a	150.00	3.0
PIONEER OAKRIDGE	031	BAX	S	730	50.90	n/a	n/a	14.60	2.0
PIONEER OAKRIDGE	031	BBY	S	1,100	35.18	n/a	n/a	22.00	2.0
BUCK CAPITAL MGMT	001	BID	В	15,000	39.83	n/a	n/a	450.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
IRIDIAN ASSET MGMT. LISTED ERR	036 099	BLL BLL	S B	40,120 38,062	70.00 71.22	n/a n/a	n/a n/a	2,006.00	5.0 0.0
MERRILL ASSET/BLACKROCK	266	BMR	В	1,500	18.14	n/a	n/a	60.00	4.0
1798 CAP/LOMBARD ASSET	040	CAT	В	19,000	95.13	n/a	22-Oct	950.00	5.0
PIONEER OAKRIDGE	031	CELG	S	670	56.36	n/a	n/a	13.40	2.0
SURSUM CAPITAL	215	СОН	SS	5,000	53.77	n/a	26-Jan	150.00	3.0
OSKIE CAPITAL MGMT	224	COSH	В	5,000	50.46	n/a	n/a	250.00	5.0
MERRILL ASSET/BLACKROCK	266	CRR	S	13,700	104.50	n/a	11-Jan	548.00	4.0
PIONEER OAKRIDGE	031	CSCO	S	4,235	21.51	n/a	n/a	84.70	2.0
PIONEER OAKRIDGE	031	CTSH	S	155	73.22	n/a	n/a	3.10	2.0
AMBER CAPITAL	046	С	В	235,521	4.86	n/a	18-Jan	7,065.63	3.0
OSKIE CAPITAL MGMT	224	DAL	В	20,000	11.95	n/a	n/a	1,000.00	5.0
PIONEER OAKRIDGE	031	DHR	S	1,300	47.69	n/a	n/a	26.00	2.0
PIONEER OAKRIDGE	031	DNR	S	1,220	18.67	n/a	n/a	24.40	2.0
WATERFRONT CAP	028	DRI	SS	30,000	45.77	n/a	7-Jan	1,200.00	4.0
BUCK CAPITAL MGMT	001	EAT	SS	20,000	22.96	n/a	26-Jan	600.00	3.0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.	
PIONEER OAKRIDGE	031	ECL	S	875	50.35	n/a	5-Jan	17.50	2.0	
SURSUM CAPITAL	215	ECL	S	5,000	50.40	n/a	5-Jan	150.00	3.0	
PIONEER OAKRIDGE	031	EMC	S	3 , 175	24.61	n/a	n/a	63.50	2.0	
MELLON/BANK OF NEW YORK	046	EQT	S	35,600	45.72	n/a	n/a	1,424.00	4.0	
PIONEER OAKRIDGE	031	ESRX	S	1,000	57.75	n/a	n/a	20.00	2.0	
NEUBERGER BERMAN	036	EXPO	В	5,500	37.73	n/a	n/a	220.00	4.0	
BASIX	033	FDO	SS	6,000	42.92	n/a	26-Jan	180.00	3.0	
FARALLON CAP MGMT	040	FDX	В	74,920	94.11	n/a	n/a	2,996.80	4.0	
BASIX	033	FL	В	15,000	17.39	n/a	22-Dec	450.00	3.0	
BUCK CAPITAL MGMT	001	FL	В	30,000	17.40	n/a	22-Dec	900.00	3.0	
LEVIN CAPITAL STRATEGIES	012	FL	В	50,000	17.78	n/a	22-Dec	1,500.00	3.0	
SURSUM CAPITAL	215	FOSL	SS	10,000	69.11	n/a	n/a	300.00	3.0	
SONTERRA CAP	041	FTO	S	50,000	18.31	n/a	n/a	2,000.00	4.0	
SURSUM CAPITAL	215	GCO	SS	10,000	36.49	n/a	n/a	300.00	3.0	
PIONEER OAKRIDGE	031	GILD	S	1,235	38.91	n/a	n/a	24.70	2.0	
PIONEER OAKRIDGE	031	GOOG	S	155	618.59	n/a	n/a	3.10	2.0	
PIONEER OAKRIDGE	031	GS	S	140	161.86	n/a	19-Jan	2.80	2.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$∕Shr.
BRASADA	031	HBAN	S	7 , 500	7.07	n/a	n/a	225.00	3.0
BUCK CAPITAL MGMT	001	HBI	В	20,000	22.83	n/a	20-Jan	600.00	3.0
KLEINHEINZ CAP PART	031	HBI	В	100,000	22.89	n/a	20-Jan	5,000.00	5.0
MERCHANTS GATE CAP LP	036	HBI	С	20,000	22.98	n/a	20-Jan	800.00	4.0
SURSUM CAPITAL	215	HBI	S	10,000	22.97	n/a	20-Jan	300.00	3.0
OSKIE CAPITAL MGMT	224	HEES	В	5,000	12.19	n/a	n/a	250.00	5.0
PIONEER OAKRIDGE	031	IBM	S	660	161.34	n/a	n/a	13.20	2.0
PIONEER OAKRIDGE	031	ICE	S	315	115.33	n/a	n/a	6.30	2.0
FRONTIER	048	IDTI	S	167,450	6.50	n/a	n/a	5,023.50	3.0
FRPN	048	IDTI	S	3,400	6.50	n/a	n/a	102.00	3.0
COUGAR TRADING	044	IGT	SS	10,000	17.41	n/a	21-Jan	500.00	5.0
PIONEER OAKRIDGE	031	INTC	S	2 , 595	21.85	n/a	n/a	51.90	2.0
ARMATURE CAPITAL	041	IP	S	25,000	28.75	n/a	7-Jan	1,000.00	4.0
SCOPUS FUND	041	IP	S	31,000	28.79	n/a	7-Jan	1,240.00	4.0
PIONEER OAKRIDGE	031	ITW	S	1,155	55.40	n/a	3-Jan	23.10	2.0
PIONEER OAKRIDGE	031	IVZ	S	1,860	23.82	n/a	2-Mar	37.20	2.0
BAIRD INVESTMENT	047	JCI	В	1,975	38.96	n/a	20-Jan	98.75	5.0
PIONEER OAKRIDGE	031	JCI	S	1,250	38.99	n/a	20-Jan	25.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
CAERUS GLOBAL CASTLEROCK	041	JNY JNY	S B	15,000 115,658	13.04 12.98	n/a n/a	21-Jan 21-Jan	600.00 4,626.32	4.0 4.0
BAIRD INVESTMENT	047	JOYG	В	12,750	88.34	n/a	16-Dec	637.50	5.0
PIONEER OAKRIDGE	031	JWN	S	1,100	41.46	n/a	7-Jan	22.00	2.0
BRASADA	031	KEY	В	10,000	8.84	n/a	n/a	300.00	3.0
FIRST NEW YORK/IAN	025	KG	S	3 , 536	14.23	n/a	24-Jan	141.44	4.0
SAGE ASSET MGMT	012	KS	S	17,800	17.02	n/a	n/a	890.00	5.0
SURSUM CAPITAL	215	LULU	SS	10,000	66.22	n/a	n/a	300.00	3.0
M&I FUNDS	047	LXK	S	20,000	36.95	n/a	n/a	800.00	4.0
NEUBERGER BERMAN	036	MAC	В	3,000	47.55	n/a	n/a	120.00	4.0
SURSUM CAPITAL	215	MCD	В	10,000	75.44	n/a	24-Jan	300.00	3.0
BNP PARIBAS SEC	040	MON	S	20,000	73.25	n/a	6-Jan	1,000.00	5.0
PIONEER OAKRIDGE	031	MSFT	S	1,045	28.94	n/a	n/a	20.90	2.0
DAVIDSON INV ADV	035	MS	В	153 , 265	28.88	n/a	20-Jan	6,130.60	4.0
ARMATURE CAPITAL CSFB GLOBAL PROPRIETARY	041	MWV MWV	В	10,000	28.80 28.57	n/a n/a	26-Jan 26-Jan	400.00	4.0 5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
SURSUM CAPITAL	215	М	SS	20,000	23.52	n/a	10-Jan	600.00	3.0
NEUBERGER BERMAN	036	NHP	В	1,400	36.89	n/a	n/a	56.00	4.0
SUTTON BROOK	067	NLSN	S	50,000	25.43	n/a	n/a	1,500.00	3.0
PIONEER OAKRIDGE	031	NTAP	S	760	54.78	n/a	n/a	15.20	2.0
FRONTPOINT	266	OI	S	78,200	32.53	n/a	n/a	3,128.00	4.0
PIONEER OAKRIDGE	031	ORCL	S	1,945	32.61	n/a	n/a	38.90	2.0
PIONEER OAKRIDGE	031	ORLY	S	1,035	56.51	n/a	n/a	20.70	2.0
BUCK CAPITAL MGMT	001	ОХМ	В	20,000	24.03	n/a	n/a	600.00	3.0
PIONEER OAKRIDGE	031	OXY	S	625	94.62	n/a	n/a	12.50	2.0
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BAIRD INVESTMENT	047	PCAR	В	6,150	56.49	n/a	3-Jan	307.50	5.0
PIONEER OAKRIDGE	031	PCAR	S	810	56.46	n/a	3-Jan	16.20	2.0
PIONEER OAKRIDGE	031	PCP	S	330	144.84	n/a	14-Jan	6.60	2.0
PIONEER OAKRIDGE	031	PEP	S	815	65.72	n/a	n/a	16.30	2.0
PIONEER OAKRIDGE	031	PG	S	960	66.65	n/a	26-Jan	19.20	2.0
BUCK CAPITAL MGMT	001	PSS	В	30,000	20.85	n/a	n/a	900.00	3.0
MADISON ST PARTNERS LLC	046	PVH	S	14,959	59.37	n/a	20-Jan	747.95	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢	Shr.
PIONEER OAKRIDGE	031	PX	S	490	91.06	n/a	26-Jan	9.80	2.0
MELLON/BANK OF NEW YORK	046	RCL	S	25,000	48.95	n/a	n/a	1,000.00	4.0
NEUBERGER BERMAN	036	REG	В	6 , 700	42.00	n/a	n/a	268.00	4.0
SUN AMERICA ASSET MGMT	030	RFMD	S	112,400	7.03	n/a	n/a	4,496.00	4.0
PATTEN & PATTEN	025	RHHBY	В	2,000	38.58	n/a	n/a	0.00	0.0
SAGE ASSET MGMT	012	RKT	В	18,400	66.00	n/a	n/a	920.00	5.0
T. ROWE PRICE	033	RRC	В	22,000	46.88	n/a	11-Jan	880.00	4.0
BAIRD INVESTMENT	047	RVBD	В	33,150	34.03	n/a	n/a	1,657.50	5.0
RBC CAPITAL MARKETS	040	SBUX	S	25 , 000	33.13	n/a	21-Jan	1,000.00	4.0
WADDELL AND REED	047	SBUX	В	600,000	33.18	n/a	21-Jan	18,000.00	3.0
THOMAS WEISEL ASSET MGMT	035	SCSS	S	24,635	10.57	n/a	n/a	739.05	3.0
PIONEER OAKRIDGE	031	SLB	S	645	85.18	n/a	n/a	12.90	2.0
SIGMA CAP BOBBY	044	SMG	В	53,500	53.60	n/a	14-Jan	0.00	0.0
PIONEER OAKRIDGE	031	SPLS	S	2,055	22.91	n/a	n/a	41.10	2.0
WEINTRAUB CAPITAL MGT.	040	SSCC	S	25,000	37.85	n/a	7-Jan	1,000.00	4.0
PIONEER OAKRIDGE	031	SWN	S	790	38.70	n/a	11-Jan	15.80	2.0
	PIONEER OAKRIDGE MELLON/BANK OF NEW YORK NEUBERGER BERMAN SUN AMERICA ASSET MGMT PATTEN & PATTEN SAGE ASSET MGMT T. ROWE PRICE BAIRD INVESTMENT RBC CAPITAL MARKETS WADDELL AND REED THOMAS WEISEL ASSET MGMT PIONEER OAKRIDGE SIGMA CAP BOBBY PIONEER OAKRIDGE WEINTRAUB CAPITAL MGT.	PIONEER OAKRIDGE 031 MELLON/BANK OF NEW YORK 046 NEUBERGER BERMAN 036 SUN AMERICA ASSET MGMT 030 PATTEN & PATTEN 025 SAGE ASSET MGMT 012 T. ROWE PRICE 033 BAIRD INVESTMENT 047 RBC CAPITAL MARKETS 040 WADDELL AND REED 047 THOMAS WEISEL ASSET MGMT 035 PIONEER OAKRIDGE 031 SIGMA CAP BOBBY 044 PIONEER OAKRIDGE 031 WEINTRAUB CAPITAL MGT. 040	PIONEER OAKRIDGE 031 PX MELLON/BANK OF NEW YORK 046 RCL NEUBERGER BERMAN 036 REG SUN AMERICA ASSET MGMT 030 RFMD PATTEN & PATTEN 025 RHHBY SAGE ASSET MGMT 012 RKT T. ROWE PRICE 033 RRC BAIRD INVESTMENT 047 RVBD RBC CAPITAL MARKETS 040 SBUX WADDELL AND REED 047 SBUX THOMAS WEISEL ASSET MGMT 035 SCSS PIONEER OAKRIDGE 031 SLB SIGMA CAP BOBBY 044 SMG PIONEER OAKRIDGE 031 SPLS WEINTRAUB CAPITAL MGT. 040 SSCC	PIONEER OAKRIDGE 031 PX S MELLON/BANK OF NEW YORK 046 RCL S NEUBERGER BERMAN 036 REG B SUN AMERICA ASSET MGMT 030 RFMD S PATTEN & PATTEN 025 RHHBY B SAGE ASSET MGMT 012 RKT B T. ROWE PRICE 033 RRC B BAIRD INVESTMENT 047 RVBD B RBC CAPITAL MARKETS 040 SBUX S WADDELL AND REED 047 SBUX B THOMAS WEISEL ASSET MGMT 035 SCSS S PIONEER OAKRIDGE 031 SLB S SIGMA CAP BOBBY 044 SMG B PIONEER OAKRIDGE 031 SPLS S WEINTRAUB CAPITAL MGT. 040 SSCC S	PIONEER OAKRIDGE 031 PX S 490 MELLON/BANK OF NEW YORK 046 RCL S 25,000 NEUBERGER BERMAN 036 REG B 6,700 SUN AMERICA ASSET MGMT 030 RFMD S 112,400 PATTEN & PATTEN 025 RHHBY B 2,000 SAGE ASSET MGMT 012 RKT B 18,400 T. ROWE PRICE 033 RRC B 22,000 BAIRD INVESTMENT 047 RVBD B 33,150 RBC CAPITAL MARKETS 040 SBUX S 25,000 WADDELL AND REED 047 SBUX B 600,000 THOMAS WEISEL ASSET MGMT 035 SCSS S 24,635 PIONEER OAKRIDGE 031 SLB S 645 SIGMA CAP BOBBY 044 SMG B 53,500 PIONEER OAKRIDGE 031 SPLS S 2,055 WEINTRAUB CAPITAL MGT. 040 SSCC S 25,000	PIONEER OAKRIDGE 031 PX S 490 91.06 MELLON/BANK OF NEW YORK 046 RCL S 25,000 48.95 NEUBERGER BERMAN 036 REG B 6,700 42.00 SUN AMERICA ASSET MGMT 030 RFMD S 112,400 7.03 PATTEN & PATTEN 025 RHBY B 2,000 38.58 SAGE ASSET MGMT 012 RKT B 18,400 66.00 T. ROWE PRICE 033 RRC B 22,000 46.88 BAIRD INVESTMENT 047 RVBD B 33,150 34.03 RBC CAPITAL MARKETS 040 SBUX S 25,000 33.13 WADDELL AND REED 047 SBUX B 600,000 33.18 THOMAS WEISEL ASSET MGMT 035 SCSS S 24,635 10.57 PIONEER OAKRIDGE 031 SLB S 645 85.18 SIGMA CAP BOBBY 044 SMG B 53,500 53.60 PIONEER OAKRIDGE 031 SPLS S 2,055 22.91 WEINTRAUB CAPITAL MGT. 040 SSCC S 25,000 37.85	PIONEER OAKRIDGE 031 PX S 490 91.06 n/a MELLON/BANK OF NEW YORK 046 RCL S 25,000 48.95 n/a NEUBERGER BERMAN 036 REG B 6,700 42.00 n/a SUN AMERICA ASSET MGMT 030 RFMD S 112,400 7.03 n/a PATTEN & PATTEN 025 RHHBY B 2,000 38.58 n/a SAGE ASSET MGMT 012 RKT B 18,400 66.00 n/a T. ROWE PRICE 033 RRC B 22,000 46.88 n/a BAIRD INVESTMENT 047 RVBD B 33,150 34.03 n/a RBC CAPITAL MARKETS 040 SBUX S 25,000 33.13 n/a RBC CAPITAL MARKETS 047 SBUX B 600,000 33.18 n/a THOMAS WEISEL ASSET MGMT 035 SCSS S 24,635 10.57 n/a PIONEER OAKRIDGE 031 SLB S 645 85.18 n/a SIGMA CAP BOBBY 044 SMG B 53,500 53.60 n/a WEINTRAUB CAPITAL MGT. 040 SSCC S 25,000 37.85 n/a	PIONEER OAKRIDGE 031 PX S 490 91.06 n/a 26-Jan MELLON/EANK OF NEW YORK 046 RCL S 25,000 48.95 n/a n/a NEUBERGER BERMAN 036 REG B 6,700 42.00 n/a n/a SUN AMERICA ASSET MGMT 030 RFMD S 112,400 7.03 n/a n/a PATTEN & PATTEN 025 RHHBY B 2,000 38.58 n/a n/a SAGE ASSET MGMT 012 RKT B 18,400 66.00 n/a n/a T. ROWE PRICE 033 RRC B 22,000 46.88 n/a 11-Jan BAIRD INVESTMENT 047 RVED B 33,150 34.03 n/a n/a RBC CAPITAL MARKETS 040 SBUX S 25,000 33.13 n/a 21-Jan WADDELL AND REED 047 SBUX B 600,000 33.18 n/a 21-Jan THOMAS WEISEL ASSET MGMT 035 SCSS S 24,635 10.57 n/a n/a PIONEER OAKRIDGE 031 SLB S 645 85.18 n/a n/a SIGMA CAP BOBBY 044 SMG B 53,500 53.60 n/a 14-Jan PIONEER OAKRIDGE 031 SPLS S 2,055 22.91 n/a n/a WEINTRAUB CAPITAL MGT. 040 SSCC S 25,000 37.85 n/a 7-Jan	FIONEER CAKRIDGE 031 PX S 490 91.06 n/a 26-Jan 9.80 MELLON/BANK OF NEW YORK 046 RCL S 25,000 48.95 n/a n/a 1,000.00 NEUBERGER BERMAN 036 REG B 6,700 42.00 n/a n/a 268.00 SUN AMERICA ASSET MOMT 030 RFMD S 112,400 7.03 n/a n/a n/a 4,496.00 PATTEN 6 PATTEN 025 RHHBY B 2,000 38.58 n/a n/a n/a 920.00 SAGE ASSET MGMT 012 RKT B 18,400 66.00 n/a n/a n/a 920.00 T. ROWE PRICE 033 RRC B 22,000 46.88 n/a 11-Jan 880.00 BAIRD INVESTMENT 047 RVBD B 33,150 34.03 n/a n/a 1/a 1,657.50 RBC CAPITAL MARKETS 040 SBUX S 25,000 33.13 n/a 21-Jan 1,000.00 MADDELL AND REED 047 SBUX B 600,000 33.18 n/a 21-Jan 18,000.00 THOMAS WEISEL ASSET MGMT 035 SCSS S 24,635 10.57 n/a n/a 739.05 PIONEER CAKRIDGE 031 SIB S 645 85.18 n/a 14-Jan 0.00 FIONEER CAKRIDGE 031 SPLS S 2,055 22.91 n/a n/a 41.10 WEINTRAUB CAPITAL MGT. 040 SSCC S 25,000 37.85 n/a 7-Jan 1,000.00

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
FIRST NEW YORK LEDDY	035	S	В	20,000	4.51	n/a	n/a	800.00	4.0
PIONEER OAKRIDGE	031	TGT	S	1,110	55.84	n/a	7-Jan	22.20	2.0
SURSUM CAPITAL	215	TIF	В	5,000	58.80	n/a	n/a	150.00	3.0
IRIDIAN ASSET MGMT.	036	TIN	S	76,660	24.19	n/a	7-Jan	2,299.80	3.0
SAGE ASSET MGMT	012	TIN	S	25,300	24.13	n/a	7-Jan	1,265.00	5.0
ADAGE CAPITAL MGMT	030	TJX	В	83,848	48.44	n/a	7-Jan	2,515.44	3.0
PIONEER OAKRIDGE	031	TMO	S	960	57.18	n/a	n/a	19.20	2.0
SURSUM CAPITAL	215	URBN	SS	5,000	34.41	n/a	n/a	150.00	3.0
PIONEER OAKRIDGE	031	UTX	S	670	81.52	n/a	n/a	13.40	2.0
PIONEER OAKRIDGE	031	V	S	465	71.44	n/a	10-Jan	9.30	2.0
ASCEND PARTNERS	033	WRC	В	700	51.60	n/a	20-Jan	35.00	5.0
SURSUM CAPITAL	215	WRC	SS	5,000	52.11	n/a	20-Jan	150.00	3.0

TOTAL (Trade Date): 107,276.38

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
AO,	01/19	NOMURA CAPITAL (NOMUGMCA)	029	ABH	S	350	26.72	n/a	n/a	10.50	3.0
AO,CXL	01/19	NOMURA CAPITAL (NOMUGMCA)	029	ABH	S	350	26.72	n/a	n/a	10.50	3.0
AO,CXL	01/25	SURSUM CAPITAL (SURSGSPB)	215	ASNA	SS	5,000	27.03	n/a	n/a	150.00	3.0
AO, CRT	01/25	SURSUM CAPITAL (SURSMSPB)	215	ASNA	SS	5,000	27.03	n/a	n/a	150.00	3.0
AO, CRT	01/24	ADAGE CAPITAL MGMT (ADAGCSFB)	030	JCP	В	132,525	32.03	n/a	7-Jan	3975.75	3.0
AO,CXL	01/24	ADAGE CAPITAL MGMT (ADAGLONG)	030	JCP	В	132,525	32.03	n/a	7-Jan	3975.75	3.0
AO, CRT	01/25	PATTEN & PATTEN (PATTFSG BA)	025	RHHBY	S	2,000	38.29	n/a	n/a	100.00	5.0
AO,CXL	01/25	PATTEN & PATTEN (PATTSCHWAB)	025	RHHBY	S	2,000	38.29	n/a	n/a	100.00	5.0
AO,	01/25	HALCYON LLC (HALCGSPB)	041	SLE	В	2,469	18.25	n/a	n/a	74.07	3.0
AO,	01/25	HALCYON LLC (HALCSBSHPB)	041	SLE	В	12,093	18.25	n/a	n/a	362.79	3.0
AO,	01/25	HALCYON LLC (HALCDBSI)	041	SLE	В	185,438	18.25	n/a	n/a	5563.14	3.0
AO,CXL	01/25	RBC CAPITAL MARKETS (RBCCMAIN)	040	WMT	В	17,600	56.55	n/a	17-Nov	704.00	4.0
TOTAL	(AO, (CXL, CRT):							5,	296.00	

TOTAL (RUN DATE) / NFS:	112,572.38
TOTAL (AO, CXL, CRT):	5,296.00
TOTAL (Trade Date):	107,276.38

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