



Daily Compliance Activity Report

Trade Date: 10/08/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	AAPL	S	690	190.24	n/a	n/a	13.80	2.0
EXIS CAPITAL	044	AA	SS	25,000	14.57	n/a	n/a	1,250.00	5.0
PIONEER OAKRIDGE	031	ABT	S	2,175	50.00	n/a	n/a	43.50	2.0
PIONEER OAKRIDGE	031	ADBE	S	2,265	34.55	n/a	n/a	45.30	2.0
CAERUS GLOBAL	041	AEO	S	10,747	17.91	n/a	5-Oct	429.88	4.0
DENVER INST. ADV	046	AEO	S	381,700	18.03	n/a	5-Oct	15,268.00	4.0
SIGMA CAPITAL ASSOCIATES	041	AEO	S	137,988	17.96	n/a	5-Oct	5,519.52	4.0
KLEINHEINZ CAP PART	031	AET	S	50,000	25.99	n/a	n/a	2,500.00	5.0
PIONEER OAKRIDGE	031	AGN	S	1,355	56.47	n/a	5-Oct	27.10	2.0
BUCK CAPITAL MGMT	001	ANF	S	30,000	34.74	n/a	5-Oct	1,200.00	4.0
RBC CAPITAL MARKETS	040	ANF	S	5,000	34.37	n/a	5-Oct	200.00	4.0
PIONEER OAKRIDGE	031	APH	S	1,050	37.85	n/a	n/a	21.00	2.0
US BANCORP	030	APH	B	70,772	37.85	n/a	n/a	3,538.60	5.0
EXIS CAPITAL	044	ARG	SS	25,000	48.26	n/a	n/a	1,250.00	5.0
SCOPUS FUND	041	ARM	B	10,000	8.29	n/a	n/a	500.00	5.0
MERRILL ASSET/BLACKROCK	214	AVGO	S	900	16.01	n/a	n/a	40.50	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEWLAND CAPITAL MGT	067	AXE	S	5,000	41.43	n/a	6-Oct	200.00	4.0
OZ MGMT	040	AXL	S	311,686	6.94	n/a	n/a	9,350.58	3.0
TROUBH PART	067	AXL	B	50,000	7.00	n/a	n/a	2,500.00	5.0
PIONEER OAKRIDGE	031	BBY	S	1,640	38.68	n/a	n/a	32.80	2.0
PIONEER OAKRIDGE	031	BDX	S	1,015	68.63	n/a	n/a	20.30	2.0
NEWLAND CAPITAL MGT	067	BGC	B	15,000	37.89	n/a	n/a	600.00	4.0
RBC CAPITAL MARKETS	040	BJ	SS	15,000	35.90	n/a	n/a	600.00	4.0
ROYCE TRADING	216	CAB	S	500	14.08	n/a	n/a	25.00	5.0
IMPALA ASSET MMT	012	CAL	B	120,000	16.56	n/a	n/a	3,600.00	3.0
LOMB	048	CBU	B	10,670	17.84	n/a	n/a	533.50	5.0
PIONEER OAKRIDGE	031	CELG	S	1,290	54.82	n/a	n/a	25.80	2.0
STERLING JOHNSTON	035	CENT	B	41,500	11.72	n/a	n/a	1,660.00	4.0
ROYCE TRADING	216	CMC	S	5,000	18.02	n/a	n/a	250.00	5.0
PIONEER OAKRIDGE	031	CME	S	95	289.28	n/a	5-Oct	1.90	2.0
IMPALA ASSET MMT	012	CMI	S	20,000	47.06	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	COH	S	20,000	33.91	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	COH	SS	25,000	33.68	n/a	n/a	1,000.00	4.0
PIONEER OAKRIDGE	031	CSCO	S	5,400	23.76	n/a	n/a	108.00	2.0
PIONEER OAKRIDGE	031	CTSH	S	965	39.11	n/a	n/a	19.30	2.0
IMPALA ASSET MMT	012	DAL	B	115,500	8.64	n/a	n/a	2,310.00	2.0
PIONEER OAKRIDGE	031	DHR	S	1,250	66.55	n/a	n/a	25.00	2.0
IMPALA ASSET MMT	012	DSX	B	132,300	14.37	n/a	n/a	3,969.00	3.0
PIONEER OAKRIDGE	031	ECL	S	1,680	46.01	n/a	n/a	33.60	2.0
CONIFER/ISF	025	EMC	S	3,500	17.75	n/a	n/a	175.00	5.0
PIONEER OAKRIDGE	031	ESRX	S	1,280	78.46	n/a	n/a	25.60	2.0
FIRST NEW YORK LEDDY	035	ETFC	B	10,000	1.71	n/a	n/a	600.00	6.0
MILLENNIUM-ANDEW	031	FLR	S	12,000	49.06	n/a	n/a	720.00	6.0
GLOBAL 56 LLC	060	FL	B	2,500	12.01	n/a	n/a	125.00	5.0
PIONEER OAKRIDGE	031	GILD	S	1,720	45.29	n/a	n/a	34.40	2.0
KLEINHEINZ CAP PART	031	GLD	S	100,000	103.31	n/a	n/a	5,000.00	5.0
PIONEER OAKRIDGE	031	GOOG	S	270	518.75	n/a	n/a	5.40	2.0
LONG OAR GLOBAL INV	040	GPI	B	18,100	28.89	n/a	n/a	724.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MACKLOWE ASSET MGMT	041	GPS	S	30,000	22.13	n/a	n/a	1,200.00	4.0
US BANCORP	030	GR	S	22,593	53.54	n/a	n/a	1,129.65	5.0
EGS ASSOCIATES LP	091	GYMB	B	5,000	46.80	n/a	5-Oct	300.00	6.0
EXIS CAPITAL	044	GYMB	B	15,000	46.54	n/a	5-Oct	750.00	5.0
LEVIN CAPITAL STRATEGIES	012	GYMB	B	15,000	46.65	n/a	5-Oct	450.00	3.0
ROYCE TRADING	216	GY	S	200	6.18	n/a	n/a	10.00	5.0
ROTHSCHILD ASSET	040	HAE	S	5,280	55.58	n/a	n/a	237.60	4.5
LAGRANGE CAP ADV	048	HAR	SS	5,000	35.00	n/a	n/a	250.00	5.0
ROSEDALE CAPITAL	046	HAS	B	15,000	28.05	n/a	n/a	750.00	5.0
PIONEER OAKRIDGE	031	HK	S	1,675	25.01	n/a	n/a	33.50	2.0
RBC CAPITAL MARKETS	040	HOTT	S	5,000	8.37	n/a	n/a	200.00	4.0
PIONEER OAKRIDGE	031	HPQ	S	1,995	46.59	n/a	n/a	39.90	2.0
PIONEER OAKRIDGE	031	HSIC	S	1,500	56.11	n/a	n/a	30.00	2.0
IMPALA ASSET MMT	012	HST	B	170,000	11.62	n/a	n/a	5,100.00	3.0
PIONEER OAKRIDGE	031	IBM	S	975	122.53	n/a	n/a	19.50	2.0
PIONEER OAKRIDGE	031	ICE	S	600	93.35	n/a	n/a	12.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	214	IEX	B	29,800	28.33	n/a	n/a	1,341.00	4.5
MERRILL ASSET/BLACKROCK	214	IM	B	5,400	17.23	n/a	n/a	243.00	4.5
ROYCE TRADING	216	IM	B	5,000	17.34	n/a	n/a	250.00	5.0
PIONEER OAKRIDGE	031	INTC	S	4,075	19.92	n/a	n/a	81.50	2.0
BMO NESBITT BURNS	041	IP	SS	50,000	23.25	n/a	2-Oct	2,500.00	5.0
GREEN ARROW DOUG	040	IP	SS	800	23.50	n/a	2-Oct	40.00	5.0
GREEN ARROW DOUG	040	IP	S	11,700	23.51	n/a	2-Oct	585.00	5.0
PIONEER OAKRIDGE	031	IRM	S	1,695	27.18	n/a	n/a	33.90	2.0
PIONEER OAKRIDGE	031	IVZ	S	1,955	23.58	n/a	8-Oct	39.10	2.0
BUCK CAPITAL MGMT	001	JCG	S	50,000	37.07	n/a	n/a	2,000.00	4.0
PIONEER OAKRIDGE	031	JCI	S	2,405	26.65	n/a	n/a	48.10	2.0
RBC CAPITAL MARKETS	040	JCP	B	5,000	34.76	n/a	5-Oct	200.00	4.0
MILLENNIUM-ANDEW	031	JEC	S	5,000	44.41	n/a	n/a	300.00	6.0
CAERUS GLOBAL	041	JNY	B	25,000	18.75	n/a	n/a	1,000.00	4.0
MILLENNIUM-ANDEW	031	JOYG	S	10,000	50.93	n/a	n/a	600.00	6.0
MACKLOWE ASSET MGMT	041	KFT	B	20,000	26.08	n/a	n/a	800.00	4.0
IRIDIAN ASSET MGMT.	036	KMB	S	22,090	58.87	n/a	n/a	1,104.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	KR	S	2,210	21.70	n/a	n/a	44.20	2.0
IMPALA ASSET MMT	012	KSU	B	75,000	27.17	n/a	n/a	3,000.00	4.0
ROYCE TRADING	216	KSU	B	5,000	26.67	n/a	n/a	250.00	5.0
KLEINHEINZ CAP PART	031	KWK	B	75,000	15.02	n/a	n/a	3,750.00	5.0
PIONEER OAKRIDGE	031	K	S	1,535	49.68	n/a	n/a	30.70	2.0
ROYCE TRADING	216	LAD	B	10,000	11.95	n/a	n/a	500.00	5.0
LAGRANGE CAP ADV	048	LEAP	B	15,000	17.26	n/a	n/a	750.00	5.0
ROYCE TRADING	216	LIZ	S	5,100	6.60	n/a	7-Oct	255.00	5.0
IMPALA ASSET MMT	012	LSTR	B	17,300	37.87	n/a	n/a	692.00	4.0
BUCK CAPITAL MGMT	001	LTD	S	20,000	18.52	n/a	n/a	800.00	4.0
GREEN ARROW DOUG	040	LTD	S	20,000	18.40	n/a	n/a	1,000.00	5.0
RWC PARTNERS LTD	067	LVS	B	152,300	17.74	n/a	n/a	4,569.00	3.0
TRELLUS PARTNERS LP	028	LVS	S	50,000	18.70	n/a	n/a	2,500.00	5.0
ROTHSCHILD ASSET	040	LZB	B	21,400	8.94	n/a	n/a	963.00	4.5
IMPALA ASSET MMT	012	LZ	S	27,216	71.12	n/a	n/a	1,088.64	4.0
RBC CAPITAL MARKETS	040	MAR	B	25,000	26.01	n/a	n/a	1,000.00	4.0
ROYCE TRADING	216	MBI	B	10,000	6.34	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	MON	S	365	74.99	n/a	8-Oct	7.30	2.0
PIONEER OAKRIDGE	031	MSFT	S	3,450	25.81	n/a	n/a	69.00	2.0
BRANDWINE	028	MS	B	30,510	32.01	n/a	6-Oct	1,220.40	4.0
HOLLIS CAPITAL	033	MS	S	4,000	31.66	n/a	6-Oct	200.00	5.0
FIRST NY SEC/CHRIS	041	M	B	15,000	19.53	n/a	5-Oct	750.00	5.0
WEISS PECK	040	M	SS	6,080	18.97	n/a	5-Oct	304.00	5.0
ELM RIDGE ADVISORS	044	NBR	S	176,300	21.74	n/a	n/a	7,052.00	4.0
BUCK CAPITAL MGMT	001	NTY	S	30,000	40.48	n/a	n/a	1,200.00	4.0
ROYCE TRADING	216	NWY	B	10,200	5.25	n/a	n/a	510.00	5.0
CUMBERLAND	038	ONNN	B	50,000	7.75	n/a	n/a	2,000.00	4.0
SUN AMERICA ASSET MGMT	030	PAAS	S	15,000	25.52	n/a	n/a	600.00	4.0
ACK ASSET	028	PAG	B	27,500	15.84	n/a	n/a	825.00	3.0
TRELLUS PARTNERS LP	028	PAG	B	78,675	15.78	n/a	n/a	3,933.75	5.0
LOMB	048	PBCT	B	11,783	15.60	n/a	n/a	589.15	5.0
MACKLOWE ASSET MGMT	041	PBG	B	20,000	37.05	n/a	n/a	800.00	4.0
ROYCE TRADING	216	PBY	S	10,000	9.47	n/a	n/a	500.00	5.0
PIONEER OAKRIDGE	031	PCP	S	630	102.15	n/a	n/a	12.60	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	PEP	S	1,555	60.10	n/a	n/a	31.10	2.0
JP MORGAN VENTURES	046	PG	B	10,000	57.48	n/a	n/a	500.00	5.0
PIONEER OAKRIDGE	031	PG	S	1,860	57.74	n/a	n/a	37.20	2.0
ROYCE TRADING	216	PKE	S	1,000	24.28	n/a	n/a	50.00	5.0
GEORGE WEISS	034	PLCE	SS	15,000	32.51	n/a	5-Oct	450.00	3.0
SUN AMERICA ASSET MGMT	030	PLCE	S	16,800	32.36	n/a	5-Oct	672.00	4.0
THE JAY GOLDMAN	034	PLCE	B	75,000	32.60	n/a	5-Oct	3,000.00	4.0
LOMB	048	PRSP	S	10,908	34.14	n/a	n/a	545.40	5.0
ROYCE TRADING	216	PSS	B	2,000	18.95	n/a	n/a	100.00	5.0
BUCK CAPITAL MGMT	001	PVH	S	40,000	42.75	n/a	n/a	1,600.00	4.0
GREEN ARROW DOUG	040	PVH	SS	7,000	42.87	n/a	n/a	350.00	5.0
SYSTEMATIC FINANCIAL MGT	035	PVH	B	20,000	42.71	n/a	n/a	700.00	3.5
PIONEER OAKRIDGE	031	PX	S	940	81.19	n/a	6-Oct	18.80	2.0
PIONEER OAKRIDGE	031	QCOM	S	3,105	41.76	n/a	n/a	62.10	2.0
PIONEER OAKRIDGE	031	RIG	S	680	92.29	n/a	n/a	13.60	2.0
KLEINHEINZ CAP PART	031	RRC	B	30,000	52.26	n/a	n/a	1,500.00	5.0
KLEINHEINZ CAP PART	031	RTH	B	50,000	89.70	n/a	n/a	2,500.00	5.0
CATAPULT	040	RTI	S	25,000	25.00	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	RTN	S	1,810	45.60	n/a	n/a	36.20	2.0
ROYCE TRADING	216	RT	S	200	8.90	n/a	n/a	10.00	5.0
PIONEER OAKRIDGE	031	SAP	S	1,555	50.85	n/a	n/a	31.10	2.0
PIONEER OAKRIDGE	031	SCHW	S	2,690	19.16	n/a	n/a	53.80	2.0
EXIS CAPITAL	044	SKS	B	35,000	6.30	n/a	n/a	1,750.00	5.0
PIONEER OAKRIDGE	031	SLB	S	1,360	62.57	n/a	n/a	27.20	2.0
GREEN ARROW DOUG	040	SLGN	S	15,000	53.76	n/a	n/a	750.00	5.0
KENNEDY CAPITAL	046	SOA	S	14,094	12.50	n/a	n/a	563.76	4.0
PIONEER OAKRIDGE	031	SPLS	S	3,965	23.18	n/a	n/a	79.30	2.0
ENTRUST CAPITAL	040	SVU	S	53,600	15.67	n/a	n/a	2,680.00	5.0
GREEN ARROW DOUG	040	SVU	SS	10,000	15.25	n/a	n/a	500.00	5.0
BARROW HANLEY MEWHINNEY	031	SWK	S	64,300	43.89	n/a	n/a	2,250.50	3.5
PIONEER OAKRIDGE	031	SWN	S	1,520	44.61	n/a	n/a	30.40	2.0
PIONEER OAKRIDGE	031	SYK	S	1,345	44.79	n/a	n/a	26.90	2.0
BUCK CAPITAL MGMT	001	TGT	B	20,000	48.68	n/a	6-Oct	800.00	4.0
JP MORGAN VENTURES	046	TGT	SS	10,000	49.22	n/a	6-Oct	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	TGT	S	1,575	49.45	n/a	6-Oct	31.50	2.0
SNYDER CAPITAL	038	THO	S	32,925	31.77	n/a	n/a	1,317.00	4.0
SYND	038	THO	S	100	31.77	n/a	n/a	4.00	4.0
NEWCASTLE FUNDS	255	TIN	B	65,000	16.59	n/a	2-Oct	2,600.00	4.0
EXIS CAPITAL	044	TJX	B	5,000	38.05	n/a	5-Oct	250.00	5.0
MACKLOWE ASSET MGMT	041	TJX	SS	20,000	37.97	n/a	5-Oct	800.00	4.0
LOMB	048	TJX	B	6,045	37.96	n/a	5-Oct	302.25	5.0
PIONEER OAKRIDGE	031	TMO	S	1,845	45.58	n/a	n/a	36.90	2.0
PIONEER OAKRIDGE	031	TXN	S	3,055	22.61	n/a	n/a	61.10	2.0
SUN AMERICA ASSET MGMT	030	T	S	10,000	26.31	n/a	n/a	400.00	4.0
EXIS CAPITAL	044	UAUA	S	25,000	7.14	n/a	n/a	1,250.00	5.0
T. ROWE PRICE	033	UFS	S	89,800	40.26	n/a	n/a	3,592.00	4.0
PIONEER OAKRIDGE	031	UTX	S	1,280	61.81	n/a	n/a	25.60	2.0
LOMB	048	VFC	B	3,077	74.95	n/a	7-Oct	153.85	5.0
KLEINHEINZ CAP PART	031	V	B	30,000	71.98	n/a	7-Oct	1,500.00	5.0
PIONEER OAKRIDGE	031	V	S	1,310	71.56	n/a	7-Oct	26.20	2.0
IMPALA ASSET MMT	012	WERN	B	82,000	18.74	n/a	n/a	2,460.00	3.0
IMPALA ASSET MMT	012	WGO	B	86,500	14.98	n/a	n/a	2,595.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EXIS CAPITAL	044	WMT	S	10,000	49.72	n/a	6-Oct	500.00	5.0
GREEN ARROW DOUG	040	WMT	B	35,000	49.73	n/a	6-Oct	1,750.00	5.0
MACKLOWE ASSET MGMT	041	WMT	SS	20,000	49.73	n/a	6-Oct	800.00	4.0
SUN AMERICA ASSET MGMT	030	WMT	B	10,000	49.67	n/a	6-Oct	400.00	4.0
LOMB	048	WM	S	16,014	28.69	n/a	n/a	800.70	5.0
BUCK CAPITAL MGMT	001	WWW	SS	30,000	27.75	n/a	n/a	1,200.00	4.0
TRELLUS PARTNERS LP	028	WYNN	B	20,000	70.60	n/a	8-Oct	1,000.00	5.0
CAXTON PART	040	WY	B	250,458	36.21	n/a	n/a	8,766.05	3.5
EXIS CAPITAL	044	XRT	B	15,000	35.20	n/a	n/a	750.00	5.0
PIONEER OAKRIDGE	031	XTO	S	1,470	42.27	n/a	n/a	29.40	2.0
TOTAL (Trade Date):								188,536.28	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/07	MILLENIUUM PARTNERS (MILPCREDSU)	028	COST	SS	29,000	58.97	n/a	n/a	1160.00 4.0
AO,CRT	10/07	MILLENIUUM PARTNERS (MILPUSE)	028	COST	SS	29,000	58.97	n/a	n/a	1160.00 4.0
AO,CXL	10/06	RWC PARTNERS LTD (RWCPBILTDB)	067	ITW	B	154,000	43.69	n/a	n/a	4620.00 3.0
AO,CRT	10/06	RWC PARTNERS LTD (RWCPBILTDB)	067	ITW	B	154,400	43.69	n/a	n/a	4632.00 3.0
AO,CXL	10/06	RWC PARTNERS LTD (RWCPBPER)	067	ITW	B	88,800	43.69	n/a	n/a	2664.00 3.0
AO,CRT	10/06	RWC PARTNERS LTD (RWCPBPER)	067	ITW	B	88,400	43.69	n/a	n/a	2652.00 3.0
AO,	10/07	ROTHSCHILD ASSET (ROTH500120)	040	LZB	B	380	8.62	n/a	n/a	17.10 4.5
AO,	10/07	ROTHSCHILD ASSET (ROTH000479)	040	LZB	B	220	8.62	n/a	n/a	9.90 4.5
AO,	10/07	ROTHSCHILD ASSET (ROTH4712)	040	LZB	B	170	8.62	n/a	n/a	7.65 4.5
AO,	10/07	ROTHSCHILD ASSET (ROTH4711)	040	LZB	B	460	8.62	n/a	n/a	20.70 4.5
AO,	10/07	ROTHSCHILD ASSET (ROTH471)	040	LZB	B	780	8.62	n/a	n/a	35.10 4.5
AO,	10/07	ROTHSCHILD ASSET (ROTH470)	040	LZB	B	530	8.62	n/a	n/a	23.85 4.5
AO,	10/07	ROTHSCHILD ASSET (ROTH450)	040	LZB	B	1,690	8.62	n/a	n/a	76.05 4.5
AO,	10/07	ROTHSCHILD ASSET (ROTH340)	040	LZB	B	2,940	8.62	n/a	n/a	132.30 4.5
AO,	10/07	ROTHSCHILD ASSET (ROTH348)	040	LZB	B	180	8.62	n/a	n/a	8.10 4.5
AO,	10/07	ROTHSCHILD ASSET (ROTH349)	040	LZB	B	2,180	8.62	n/a	n/a	98.10 4.5
AO,	10/07	ROTHSCHILD ASSET (ROTH370)	040	LZB	B	450	8.62	n/a	n/a	20.25 4.5
AO,	10/07	ROTHSCHILD ASSET (ROTH341)	040	LZB	B	140	8.62	n/a	n/a	6.30 4.5
AO,	10/07	ROTHSCHILD ASSET (ROTH3761)	040	LZB	B	80	8.62	n/a	n/a	3.60 4.5
AO,	10/07	ROTHSCHILD ASSET (ROTH333)	040	LZB	B	180	8.62	n/a	n/a	8.10 4.5
AO,	10/07	ROTHSCHILD ASSET (ROTH320)	040	LZB	B	250	8.62	n/a	n/a	11.25 4.5
AO,	10/07	ROTHSCHILD ASSET (ROTH303)	040	LZB	B	550	8.62	n/a	n/a	24.75 4.5
AO,	10/07	ROTHSCHILD ASSET (ROTH318)	040	LZB	B	1,000	8.62	n/a	n/a	45.00 4.5
AO,	10/07	ROTHSCHILD ASSET (ROTH3541)	040	LZB	B	340	8.62	n/a	n/a	15.30 4.5
AO,	10/07	ROTHSCHILD ASSET (ROTH3602)	040	LZB	B	390	8.62	n/a	n/a	17.55 4.5

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/07	ROTHSCHILD ASSET (ROTH3601)	040	LZB	B	800	8.62	n/a	n/a	36.00 4.5
AO,	10/07	ROTHSCHILD ASSET (ROTH500170)	040	LZB	B	230	8.62	n/a	n/a	10.35 4.5
AO,	10/07	ROTHSCHILD ASSET (ROTH3791)	040	LZB	B	30	8.62	n/a	n/a	1.35 4.5
AO,	10/07	ROTHSCHILD ASSET (ROTH500160)	040	LZB	B	1,330	8.62	n/a	n/a	59.85 4.5

TOTAL (AO, CXL, CRT) :	688.50
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TOTAL (Trade Date):	188,536.28
TOTAL (AO, CXL, CRT):	688.50

TOTAL (RUN DATE) / NFS:	189,224.78
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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