

Daily Compliance Activity Report Trade Date: 11/23/2010

POTENTIAL ANALYST TRADE VIOLATIONS: 0

					101		MALLIGI	TREEDE VIC	LITTONG: 0
Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
JP MORGAN VENTURES	046	AEO	S	15,000	16.80	n/a	19-Nov	750.00	5.0
LATEFF MGMT	035	BA	В	250	63.89	n/a	22-Nov	105.00	42.0
BNP PARIBAS SEC	040	BIG	SS	50,000	30.93	n/a	23-Nov	2,500.00	5.0
COUGAR TRADING	044	BIG	В	5,000	30.59	n/a	23-Nov	250.00	5.0
EGS ASSOCIATES LP	091	BIG	В	3,500	30.77	n/a	23-Nov	210.00	6.0
TALKOT CAPITAL LLC	084	BIG	В	5,000	31.08	n/a	23-Nov	200.00	4.0
FIRST NEW YORK LEDDY	035	BSX	В	20,000	6.54	n/a	n/a	800.00	4.0
MTB INV ADV	034	BWLD	S	2,975	48.19	n/a	n/a	148.75	5.0
WEISS PECK	040	BWS	В	49,060	14.37	n/a	n/a	2,453.00	5.0
BUCK CAPITAL MGMT	001	СОН	В	10,000	54.55	n/a	27-0ct	400.00	4.0
LATEFF MGMT	035	CVS	В	1,000	30.71	n/a	n/a	220.00	22.0
MELLON/BANK OF NEW YORK	046	EEM	В	11,000	44.93	n/a	n/a	220.00	2.0
CIRCLE T/SES PART	035	F	В	20,000	15.94	n/a	18-Nov	800.00	4.0
HOOVER INV. MGMT	033	GCO	В	30,200	38.73	n/a	n/a	1,208.00	4.0
LEVEL GLOBAL SHARED ACCT	257	GES	S	150,000	45.11	n/a	18-Oct	4,500.00	3.0
COUGAR TRADING	044	GIL	В	5,000	29.54	n/a	18-Oct	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
COUGAR TRADING	044	GIL	SS	5,000	28.86	n/a	18-Oct	250.00	5.0
HARVEST MGMT	029	GIL	В	21,000	29.06	n/a	18-Oct	1,050.00	5.0
LATEFF MGMT	035	GIS	В	3,400	35.18	n/a	n/a	560.00	24.5
SURSUM CAPITAL	215	HBI	В	25,000	27.11	n/a	28-Oct	750.00	3.0
FARALLON CAP MGMT	040	HGG	SS	3,908	24.25	n/a	n/a	156.32	4.0
SURSUM CAPITAL	215	HGG	В	20,000	24.23	n/a	n/a	600.00	3.0
CAXTON PART	040	HPQ	В	24,362	44.03	n/a	n/a	852.70	3.5
OHIO PERS	047	HPQ	В	38,074	43.81	n/a	n/a	1,142.22	3.0
MERRILL ASSET/BLACKROCK	266	IPCC	S	2,100	56.91	n/a	n/a	84.00	4.0
BALYASNY ASSET MGMT	044	ITW	С	10,000	46.36	n/a	20-Oct	500.00	5.0
MTB INV ADV	034	JAS	S	2,075	45.19	n/a	n/a	103.75	5.0
APEX CAPITAL MGMT.	261	JCP	SS	49,400	32.42	n/a	15-Nov	1,976.00	4.0
BUCK CAPITAL MGMT	001	JNY	В	110,000	13.77	n/a	28-Oct	4,400.00	4.0
CAERUS GLOBAL	041	JNY	В	50,000	13.75	n/a	28-Oct	2,000.00	4.0
GLOBAL 56 LLC	060	JNY	В	2,500	13.69	n/a	28-Oct	125.00	5.0
JP MORGAN VENTURES	046	JOYG	S	5,300	75.83	n/a	2-Sep	265.00	5.0
AVESTA CAP	229	JPM	SS	200,000	37.77	n/a	18-Nov	6,000.00	3.0
BRASADA	031	KEG	В	4,000	10.06	n/a	28-Oct	120.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
ENTRUST CAPITAL	040	KFT	В	34,800	30.19	n/a	n/a	1,740.00	5.0
PIONEER PATH	226	KO	В	15,000	63.48	n/a	26-0ct	450.00	3.0
BUCK CAPITAL MGMT	001	KR	SS	20,000	22.99	n/a	n/a	800.00	4.0
FRIESS MGMT	033	LTD	S	486,800	33.07	n/a	n/a	19,472.00	4.0
SUFFOLK CAPITAL MGMT	040	MCD	S	222 , 700	78.80	n/a	8-Nov	8,908.00	4.0
MTB INV ADV	034	MNRO	S	3,100	48.11	n/a	n/a	155.00	5.0
ROSEDALE CAPITAL	046	MRK	В	30,000	34.93	n/a	n/a	1,500.00	5.0
SONTERRA CAP	041	MSFT	S	94,547	25.21	n/a	n/a	3,781.88	4.0
STATE TEACHERS RET SYS	047	MWW	S	40,500	20.03	n/a	n/a	2,025.00	5.0
BALYASNY ASSET MGMT	044	NAV	В	10,000	52.17	n/a	n/a	500.00	5.0
MTB INV ADV	034	NKTR	S	63,350	13.27	n/a	n/a	3,167.50	5.0
IVORY CAPITAL	034	NOK	В	130,000	9.65	n/a	n/a	3,900.00	3.0
BALYASNY ASSET MGMT	044	OSK	S	26,200	28.53	n/a	n/a	1,310.00	5.0
MTB INV ADV	034	PII	S	8 , 275	71.51	n/a	n/a	413.75	5.0
TALKOT CAPITAL LLC	084	PKG	В	2,000	25.74	n/a	19-0ct	80.00	4.0
	ENTRUST CAPITAL PIONEER PATH BUCK CAPITAL MGMT FRIESS MGMT SUFFOLK CAPITAL MGMT MTB INV ADV ROSEDALE CAPITAL SONTERRA CAP STATE TEACHERS RET SYS BALYASNY ASSET MGMT MTB INV ADV IVORY CAPITAL BALYASNY ASSET MGMT MTB INV ADV	ENTRUST CAPITAL 040 PIONEER PATH 226 BUCK CAPITAL MGMT 001 FRIESS MGMT 033 SUFFOLK CAPITAL MGMT 040 MTB INV ADV 034 ROSEDALE CAPITAL 046 SONTERRA CAP 041 STATE TEACHERS RET SYS 047 BALYASNY ASSET MGMT 044 MTB INV ADV 034 IVORY CAPITAL 034 BALYASNY ASSET MGMT 044 MTB INV ADV 034	ENTRUST CAPITAL 040 KFT PIONEER PATH 226 KO BUCK CAPITAL MGMT 001 KR FRIESS MGMT 033 LTD SUFFOLK CAPITAL MGMT 040 MCD MTB INV ADV 034 MNRO ROSEDALE CAPITAL 046 MRK SONTERRA CAP 041 MSFT STATE TEACHERS RET SYS 047 MWW BALYASNY ASSET MGMT 044 NAV MTB INV ADV 034 NKTR IVORY CAPITAL 034 NOK BALYASNY ASSET MGMT 044 OSK MTB INV ADV 034 PII	ENTRUST CAPITAL 040 KFT B PIONEER PATH 226 KO B BUCK CAPITAL MGMT 001 KR SS FRIESS MGMT 033 LTD S SUFFOLK CAPITAL MGMT 040 MCD S MTB INV ADV 034 MNRO S ROSEDALE CAPITAL 046 MRK B SONTERRA CAP 041 MSFT S STATE TEACHERS RET SYS 047 MWW S BALYASNY ASSET MGMT 044 NAV B IVORY CAPITAL 034 NOK B BALYASNY ASSET MGMT 044 OSK S MTB INV ADV 034 PII S	ENTRUST CAPITAL 040 KFT B 34,800 PIONEER PATH 226 KO B 15,000 BUCK CAPITAL MGMT 001 KR SS 20,000 FRIESS MGMT 033 LTD S 486,800 SUFFOLK CAPITAL MGMT 040 MCD S 222,700 MTB INV ADV 034 MNRO S 3,100 ROSEDALE CAPITAL 046 MRK B 30,000 SONTERRA CAP 041 MSFT S 94,547 STATE TEACHERS RET SYS 047 MWW S 40,500 BALYASNY ASSET MGMT 044 NAV B 10,000 MTB INV ADV 034 NKTR S 63,350 IVORY CAPITAL 034 NOK B 130,000 BALYASNY ASSET MGMT 044 OSK S 26,200 MTB INV ADV 034 PII S 8,275	ENTRUST CAPITAL 040 KFT B 34,800 30.19 PIONEER PATH 226 KO B 15,000 63.48 BUCK CAPITAL MGMT 001 KR SS 20,000 22.99 FRIESS MGMT 033 LTD S 486,800 33.07 SUFFOLK CAPITAL MGMT 040 MCD S 222,700 78.80 MTB INV ADV 034 MNRO S 3,100 48.11 ROSEDALE CAPITAL 046 MRK B 30,000 34.93 SONTERRA CAP 041 MSFT S 94,547 25.21 STATE TEACHERS RET SYS 047 MWW S 40,500 20.03 BALYASNY ASSET MGMT 044 NAV B 10,000 52.17 MTB INV ADV 034 NKTR S 63,350 13.27 IVORY CAPITAL 034 NOK B 130,000 9.65 BALYASNY ASSET MGMT 044 OSK S 26,200 28.53 MTB INV ADV 034 PII S 8,275 71.51	ENTRUST CAPITAL 040 KFT B 34,800 30.19 n/a PIONEER PATH 226 KO B 15,000 63.48 n/a BUCK CAPITAL MGMT 001 KR SS 20,000 22.99 n/a FRIESS MGMT 033 LTD S 486,800 33.07 n/a SUFFOLK CAPITAL MGMT 040 MCD S 222,700 78.80 n/a MTB INV ADV 034 MNRO S 3,100 48.11 n/a ROSEDALE CAPITAL 046 MRK B 30,000 34.93 n/a SONTERRA CAP 041 MSFT S 94,547 25.21 n/a STATE TEACHERS RET SYS 047 MWW S 40,500 20.03 n/a BALYASNY ASSET MGMT 044 NAV B 10,000 52.17 n/a IVORY CAPITAL 034 NOK B 130,000 9.65 n/a BALYASNY ASSET MGMT 044 OSK S 26,200 28.53 n/a MTB INV ADV 034 PII S 8,275 71.51 n/a	ENTRUST CAPITAL 040 KFT B 34,800 30.19 n/a n/a PIONEER PATH 226 KO B 15,000 63.48 n/a 26-Oct BUCK CAPITAL MGMT 001 KR SS 20,000 22.99 n/a n/a FRIESS MGMT 033 LTD S 486,800 33.07 n/a n/a SUFFOLK CAPITAL MGMT 040 MCD S 222,700 78.80 n/a 8-Nov MTB INV ADV 034 MNRO S 3,100 48.11 n/a n/a ROSEDALE CAPITAL 046 MRK B 30,000 34.93 n/a n/a SONTERRA CAP 041 MSFT S 94,547 25.21 n/a n/a STATE TEACHERS RET SYS 047 MWW S 40,500 20.03 n/a n/a BALYASNY ASSET MGMT 044 NAV B 10,000 52.17 n/a n/a IVORY CAPITAL 034 NKTR S 63,350 13.27 n/a n/a BALYASNY ASSET MGMT 044 OSK S 26,200 28.53 n/a n/a MTB INV ADV 034 PII S 8,275 71.51 n/a n/a	ENTRUST CAPITAL 040 KFT B 34,800 30.19 n/a n/a 1,740.00 PIONEER PATH 226 KO B 15,000 63.48 n/a 26-oct 450.00 BUCK CAPITAL MGMT 001 KR SS 20,000 22.99 n/a n/a n/a 800.00 FRIESS MGMT 033 LTD S 486,800 33.07 n/a n/a 19,472.00 SUFFOLK CAPITAL MGMT 040 MCD S 222,700 78.80 n/a 8-Nov 8,908.00 MTB INV ADV 034 MNRO S 3,100 48.11 n/a n/a 1,500.00 ROSEDALE CAPITAL 046 MRK B 30,000 34.93 n/a n/a 1,500.00 SONTERRA CAP 041 MSFT S 94,547 25.21 n/a n/a 3,781.88 STATE TEACHERS RET SYS 047 MWW S 40,500 20.03 n/a n/a 1.6 BALYASNY ASSET MGMT 044 NAV B 10,000 52.17 n/a n/a 500.00 MTB INV ADV 034 NKTR S 63,350 13.27 n/a n/a 3,900.00 BALYASNY ASSET MGMT 044 OSK S 26,200 28.53 n/a n/a 1.310.00 MTB INV ADV 034 PII S 8,275 71.51 n/a n/a 413.75

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
FIRST NEW YORK NICK	029	Q	В	30,000	6.78	n/a	n/a	1,500.00	5.0
SURSUM CAPITAL	215	RSH	В	20,000	18.86	n/a	n/a	600.00	3.0
THIRD COAST CAPITAL	035	RUSHA	В	10,000	17.49	n/a	n/a	500.00	5.0
NEUBERGER BERMAN	036	SPR	В	33,400	18.74	n/a	5-Nov	1,336.00	4.0
SYSTEMATIC FINANCIAL MGT	035	SWK	S	241,000	58.72	n/a	n/a	7,230.00	3.0
BUCK CAPITAL MGMT	001	SWY	SS	20,000	22.62	n/a	n/a	800.00	4.0
BALYASNY ASSET MGMT	044	TEN	С	50,000	35.95	n/a	n/a	2,500.00	5.0
SURSUM CAPITAL	215	TLB	В	51,000	11.17	n/a	n/a	1,530.00	3.0
LEVEL GLOBAL SHARED ACCT	257	TPX	S	50,000	35.15	n/a	n/a	1,500.00	3.0
PNC CAPITAL ADV	028	TROW	В	88 , 997	57.28	n/a	n/a	3,559.88	4.0
CRAMER ROSENTHAL/SCOTT	012	VIAB	В	8,900	37.71	n/a	n/a	356.00	4.0

TOTAL (Trade Date): 105,564.75

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO CDT	11/22	IACDANCE CAD ADV (IACDIEEE)	048	7. T. T. T.	SS	1,719	76.00	n/-	27-0ct	85.95	5.0
AO, CRT		LAGRANGE CAP ADV (LAGRUPER)		ALV		·		n/a			
AO,CXL	11/22	LAGRANGE CAP ADV (LAGRUBSPB)	048	ALV	SS	1,719	76.00	n/a	27-0ct	85.95	5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE002)	046	AMLN	S	2,000	13.32	n/a	n/a	100.00	5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE002)	046	BAC	S	14,030	11.30	n/a	18-Nov	701.50	5.0
AO,CXL	11/22	SURSUM CAPITAL (SURSGSPB)	215	BBY	В	20,000	44.04	n/a	n/a	1000.00	5.0
AO, CRT	11/22	SURSUM CAPITAL (SURSMSPB)	215	BBY	В	20,000	44.04	n/a	n/a	600.00	3.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONETS382)	046	F	В	46	16.38	n/a	18-Nov	2.30	5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONETS281)	046	F	В	366	16.38	n/a	18-Nov	18.30	5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONETS244)	046	F	В	35	16.38	n/a	18-Nov	1.75	5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONETS381)	046	F	В	46	16.38	n/a	18-Nov	2.30	5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONETS380)	046	F	В	348	16.38	n/a	18-Nov	17.40	5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONETS241)	046	F	В	409	16.38	n/a	18-Nov	20.45	5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONETS160)	046	F	В	520	16.38	n/a	18-Nov	26.00	5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONETS368)	046	F	В	170	16.38	n/a	18-Nov	8.50	5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONETS159)	046	F	В	156	16.38	n/a	18-Nov	7.80	5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONETS016)	046	F	В	552	16.38	n/a	18-Nov	27.60	5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONECC012)	046	F	В	959	16.38	n/a	18-Nov	47.95	5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE002)	046	F	В	42,956	16.38	n/a	18-Nov	2147.80	5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE002)	046	F	В	54,122	16.38	n/a	18-Nov	2706.10	5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE002)	046	F	В	69,848	16.38	n/a	18-Nov	3492.40	5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE002)	046	F	В	49,421	16.38	n/a	18-Nov	2471.05	5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE002)	046	F	В	50,024	16.38	n/a	18-Nov	2501.20	5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE002)	046	F	В	77,412	16.38	n/a	18-Nov	3870.60	5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE002)	046	F	В	41,326	16.38	n/a	18-Nov	2066.30	5.0

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research Comm.¢/Shr.
AO,	11/22	MELLON/BANK OF NEW YORK (BONE002)	046	F	В	62,438	16.38	n/a 18-Nov 3121.90 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE002)	046	F	В	59,986	16.38	n/a 18-Nov 2999.30 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE002)	046	F	В	58,195	16.38	n/a 18-Nov 2909.75 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE002)	046	F	В	72,583	16.38	n/a 18-Nov 3629.15 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE002)	046	F	В	49,697	16.38	n/a 18-Nov 2484.85 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE002)	046	F	В	57,438	16.38	n/a 18-Nov 2871.90 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE002)	046	F	В	64,005	16.38	n/a 18-Nov 3200.25 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE583)	046	F	В	205	16.38	n/a 18-Nov 10.25 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE489)	046	F	В	137	16.38	n/a 18-Nov 6.85 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE492)	046	F	В	479	16.38	n/a 18-Nov 23.95 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE488)	046	F	В	175	16.38	n/a 18-Nov 8.75 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE498)	046	F	В	598	16.38	n/a 18-Nov 29.90 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE487)	046	F	В	331	16.38	n/a 18-Nov 16.55 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE486)	046	F	В	401	16.38	n/a 18-Nov 20.05 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE483)	046	F	В	485	16.38	n/a 18-Nov 24.25 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE585)	046	F	В	250	16.38	n/a 18-Nov 12.50 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE482)	046	F	В	399	16.38	n/a 18-Nov 19.95 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE473)	046	F	В	76	16.38	n/a 18-Nov 3.80 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE995)	046	F	В	97	16.38	n/a 18-Nov 4.85 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE472)	046	F	В	76	16.38	n/a 18-Nov 3.80 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE997)	046	F	В	43	16.38	n/a 18-Nov 2.15 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE1010)	046	F	В	902	16.38	n/a 18-Nov 45.10 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE998)	046	F	В	65	16.38	n/a 18-Nov 3.25 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONETS406)	046	F	В	318	16.38	n/a 18-Nov 15.90 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE584)	046	F	В	452	16.38	n/a 18-Nov 22.60 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONETS388)	046	F	В	86	16.38	n/a 18-Nov 4.30 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONETS387)	046	F	В	65	16.38	n/a 18-Nov 3.25 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONETS386)	046	F	В	65	16.38	n/a 18-Nov 3.25 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONETS385)	046	F	В	94	16.38	n/a 18-Nov 4.70 5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONETS384)	046	F	В	46	16.38	n/a 18-Nov 2.30 5.0

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,	11/22	MELLON/BANK OF NEW YORK (BONE500)	046	F	В	1,051	16.38	n/a	18-Nov	52.55	5.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONETS383)	046	F	В	46	16.38	n/a	18-Nov	2.30	5.0
AO,CXL	11/22	SURSUM CAPITAL (SURSGSPB)	215	GPS	В	20,000	20.72	n/a	n/a	1000.00	5.0
AO, CRT	11/22	SURSUM CAPITAL (SURSMSPB)	215	GPS	В	20,000	20.72	n/a	n/a	600.00	3.0
AO,CXL	11/22	SURSUM CAPITAL (SURSGSPB)	215	HGG	В	25,000	23.31	n/a	n/a	1250.00	5.0
AO, CRT	11/22	SURSUM CAPITAL (SURSMSPB)	215	HGG	В	25,000	23.31	n/a	n/a	750.00	3.0
CRT	11/23	GLOBAL 56 LLC (GLOBJEFF)	060	JNY	В	2,500	13.69	n/a	28-Oct	125.00	5.0
AO, CRT	11/22	SURSUM CAPITAL (SURSGSPB)	215	JNY	В	9,530	13.80	n/a	28-Oct	285.90	3.0
AO,CXL	11/22	SURSUM CAPITAL (SURSMSPB)	215	JNY	В	9,530	13.80	n/a	28-Oct	476.50	5.0
AO, CRT	11/22	REINHART & MAHONEY (REINPHERVA)	047	NTRS	S	700	50.84	n/a	18-Nov	35.00	5.0
AO,CXL	11/22	REINHART & MAHONEY (REINPHESVA)	047	NTRS	S	700	50.84	n/a	18-Nov	35.00	5.0
AO,CXL	11/22	PORTER-ORLIN (PORTORLIN)	044	STD	SS	150,000	11.08	n/a	n/a	0.00	0.0
AO,CRT	11/22	PORTER-ORLIN (PORTORLIN)	044	STD	SS	150,000	11.08	n/a	n/a	7500.00	5.0
AO,CXL	11/22	SURSUM CAPITAL (SURSGSPB)	215	TLB	В	20,000	11.25	n/a	n/a	1000.00	5.0
AO,CRT	11/22	SURSUM CAPITAL (SURSMSPB)	215	TLB	В	20,000	11.25	n/a	n/a	600.00	3.0
AO,	11/22	MELLON/BANK OF NEW YORK (BONE349)	046	VSI	S	7,600	30.41	n/a	n/a	152.00	2.0
AO,CRT	11/22	REINHART & MAHONEY (REINPHERVA)	047	WFC	В	1,200	27.12	n/a	18-Nov	60.00	5.0
AO,CXL	11/22	REINHART & MAHONEY (REINPHESVA)	047	WFC	В	1,200	27.12	n/a	18-Nov	60.00	5.0

TOTAL (AO, CXL, CRT): 47,687.90

TOTAL (Trade Date): TOTAL (AO, CXL, CRT):	105,564.75 47,687.90
TOTAL (RUN DATE) / NFS:	153,252.65

Legend:

O: 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