



Daily Compliance Activity Report

Trade Date: 09/30/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WYCKOFF	013	AAPL	B	100	108.50	n/a	n/a	0.00	0.0
SECOND CURVE	045	ABK	S	139,730	2.29	n/a	n/a	6,986.50	5.0
COUGAR TRADING	044	AEO	S	15,000	15.07	n/a	5-Sep	750.00	5.0
NORTHPOINT	030	ANDE	S	40,250	35.07	n/a	n/a	1,610.00	4.0
COUGAR TRADING	044	ANF	B	10,000	38.37	7-Aug	30-Sep	500.00	5.0
MILLRACE FUND LP	028	APOG	B	100	14.49	n/a	n/a	4.00	4.0
LEDDY	035	ARGN	B	2,400	6.69	3-Sep	3-Sep	0.00	0.0
CADIAN CAPITAL	067	ARO	B	31,100	31.95	28-Apr	5-Sep	1,555.00	5.0
Õ Alice Longley		BAC	S	800	34.3300	n/a	19-Sep	0.00	0.0
PNC/MERCANTILE	028	BAC	S	21,460	33.86	n/a	19-Sep	1,073.00	5.0
PHILADELPHIA FINANCIAL	033	BEN	B	100	85.50	10-Sep	19-Sep	4.00	4.0
PHILADELPHIA FINANCIAL	033	BEN	S	35,384	92.11	10-Sep	19-Sep	1,415.36	4.0
CADIAN CAPITAL	067	BIG	B	25,000	29.17	29-May	5-Sep	1,250.00	5.0
IRIDIAN ASSET MGMT.	036	BIIB	S	94,740	49.43	n/a	n/a	4,737.00	5.0
SANDLER O'NEILL ASSET	031	BLK	S	800	193.54	n/a	30-Sep	40.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MS PRINCIPAL STRATEGIES	041	BMA	B	15,100	18.50	n/a	n/a	755.00	5.0
NORTHPOINT	030	BRKR	B	33,221	12.83	n/a	n/a	1,328.84	4.0
POST ROAD CAP	045	BR	S	1,800	15.43	n/a	30-Jan	54.00	3.0
TRUSTCO/SUNTRUST	040	CLB	B	19,300	98.36	n/a	24-Sep	617.60	3.2
ENTRUST CAPITAL	040	COH	B	54,200	24.58	30-Jul	28-Aug	2,710.00	5.0
DIAMONDBACK CAP MGMT	232	COST	SS	15,000	64.72	n/a	27-Jul	750.00	5.0
Õ Doug Rogers		CPN	B	1156	13.1000	n/a	n/a	0.00	0.0
Õ Doug Rogers		CPN	S	4000	12.9600	n/a	n/a	0.00	0.0
Õ Doug Rogers		CPN	S	6000	12.9600	n/a	n/a	0.00	0.0
Õ Alice Longley		CSCO	S	1630	22.1200	n/a	22-Mar	0.00	0.0
Õ Alice Longley		DNP	S	1000	9.4300	n/a	n/a	0.00	0.0
LOOMIS SALES/BOSTON	036	DRI	S	208,874	27.55	26-Aug	18-Sep	8,354.96	4.0
CIRCLE T PART	035	EAT	SS	10,000	17.81	n/a	24-Apr	500.00	5.0
GRUSS CAPITAL	045	FOR	B	6,800	13.07	n/a	n/a	204.00	3.0
IRIDIAN ASSET MGMT.	036	GD	B	29,530	73.18	n/a	n/a	1,476.50	5.0
MS PRINCIPAL STRATEGIES	041	GGAL	B	3,400	4.50	n/a	n/a	170.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WILLIAM BLAIR	031	GIL	B	70,736	22.39	8-Sep	8-Sep	2,829.44	4.0
TRELLUS PARTNERS LP	028	GNTX	C	60,000	14.39	24-Jun	30-Sep	3,000.00	5.0
LEDDY	035	GNTX	C	700	14.82	24-Jun	30-Sep	0.00	0.0
MAGUIRE	039	GR	B	200	39.82	5-Jun	24-Jul	0.00	0.0
COUGAR TRADING	044	GYMB	S	5,000	34.30	11-Jul	5-Sep	250.00	5.0
CAXTON PART	040	HD	S	184,622	25.62	n/a	27-Jul	6,461.78	3.5
N STRATTON	014	HEMGF	B	450	2.42	n/a	n/a	0.00	0.0
IRIDIAN ASSET MGMT.	036	HPQ	S	17,290	45.93	n/a	n/a	864.50	5.0
Õ Alice Longley		IAPLF	S	1100	6.2000	n/a	n/a	0.00	0.0
STRAUSS ASSET MGMT	040	IOC	S	4,500	27.00	n/a	n/a	180.00	4.0
PILOT ROCK	028	IP	SS	200,000	26.04	22-Sep	22-Sep	8,000.00	4.0
UBS OCONNOR	031	IR	SS	70,000	30.04	n/a	n/a	2,100.00	3.0
DEER HILL POND/BAYPOINT	031	IVZ	B	5,000	21.20	4-Aug	30-Sep	200.00	4.0
SANDLER O'NEILL ASSET	031	IVZ	S	7,400	21.09	4-Aug	30-Sep	370.00	5.0
BUCK CAPITAL MGMT	001	JCG	S	50,000	27.44	n/a	17-Sep	2,000.00	4.0
COUGAR TRADING	044	JCG	S	10,300	27.43	n/a	17-Sep	515.00	5.0
WYCKOFF	013	JCP	B	200	32.94	n/a	5-Sep	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HBK FUNDS	031	JNJ	B	100,000	68.69	n/a	22-Apr	5,000.00	5.0
HOLDEN CAPITAL MGMT	035	JOYG	S	10,000	40.03	4-Sep	4-Sep	500.00	5.0
WYCKOFF	013	KSS	B	100	45.33	n/a	5-Sep	0.00	0.0
IRIDIAN ASSET MGMT.	036	LMT	S	12,460	109.55	n/a	n/a	623.00	5.0
HUNTER GLOBAL INVESTOR	067	LO	S	42,400	71.43	n/a	n/a	2,120.00	5.0
Õ Doug Rogers		MIR	S	875	18.0500	n/a	n/a	0.00	0.0
HBK FUNDS	031	MRK	B	133,713	31.07	n/a	n/a	6,685.65	5.0
POST ROAD CAP	045	MSFT	S	5,200	26.19	n/a	3-Apr	156.00	3.0
BUCK CAPITAL MGMT	001	MW	SS	50,000	20.44	n/a	n/a	2,000.00	4.0
Õ Alice Longley		NAD	S	500	10.6800	n/a	n/a	0.00	0.0
RAINIER INV MGMT	035	NLY	S	45,800	13.75	n/a	n/a	2,290.00	5.0
IRIDIAN ASSET MGMT.	036	NOC	S	12,690	60.30	n/a	n/a	634.50	5.0
MAGUIRE	039	NRG	B	200	23.73	n/a	n/a	0.00	0.0
WAGONHOUND/NIC	048	NTRS	B	353	68.90	3-Sep	19-Sep	14.12	4.0
JP MORGAN VENTURES	046	NWL	S	40,000	16.97	n/a	n/a	2,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	NWY	B	30,000	9.34	n/a	17-Sep	1,200.00	4.0
REICH AND TANG	067	OMG	B	5,000	21.69	n/a	n/a	250.00	5.0
CENTURION GLOBAL MGMT LL	041	PFE	B	38,500	18.20	n/a	31-Mar	1,155.00	3.0
N STRATTON	014	PNWIF	B	1,000	1.95	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	PSS	S	20,000	17.75	n/a	n/a	800.00	4.0
COUGAR TRADING	044	PSUN	SS	10,000	6.62	n/a	5-Sep	400.00	4.0
N STRATTON	014	PTSEF	B	1,200	0.55	n/a	n/a	0.00	0.0
AMBER CAPITAL	046	PWR	B	100,000	25.73	n/a	n/a	4,000.00	4.0
IRIDIAN ASSET MGMT.	036	QCOM	B	38,510	41.11	n/a	n/a	1,925.50	5.0
BUCK	015	QGYKU	B	10	1.55	n/a	n/a	0.00	0.0
NOMURA CAPITAL	045	QLTY	SS	12,300	4.39	n/a	n/a	369.00	3.0
COUGAR TRADING	044	RL	S	5,000	65.25	n/a	28-Aug	250.00	5.0
STRAUSS ASSET MGMT	040	RNIN	S	10,400	2.24	n/a	n/a	312.00	3.0
IRIDIAN ASSET MGMT.	036	RTN	B	40,730	53.19	n/a	n/a	2,036.50	5.0
T. ROWE PRICE	033	SBUX	S	373,600	14.40	n/a	24-Apr	11,208.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ZOLIDIS	011	SDS	B	500	70.31	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKX	B	50,000	16.90	n/a	13-Mar	2,000.00	4.0
LEDDY	035	SLB	B	250	75.50	n/a	n/a	0.00	0.0
REICH AND TANG	067	SUG	B	10,000	20.46	n/a	n/a	500.00	5.0
MAGUIRE	039	SWN	B	300	28.74	n/a	24-Sep	0.00	0.0
COUGAR TRADING	044	TIF	SS	5,000	35.13	n/a	17-Sep	250.00	5.0
BUCK CAPITAL MGMT	001	TJX	B	10,000	30.43	11-Aug	5-Sep	400.00	4.0
ROTHSCHILD ASSET	040	TMP	B	880	47.90	n/a	n/a	39.60	4.5
IRIDIAN ASSET MGMT.	036	T	B	28,200	28.31	n/a	4-Jan	1,410.00	5.0
ZOLIDIS	011	UYG	S	600	17.80	n/a	n/a	0.00	0.0
LEDDY	035	VC	B	1,300	1.97	n/a	31-Jul	0.00	0.0
HART	056	VC	B	450	2.15	n/a	31-Jul	0.00	0.0
BUCK CAPITAL MGMT	001	WRC	B	10,000	45.01	8-Aug	28-Aug	400.00	4.0
SYSTEMATIC FINANCIAL MGT	035	WRC	B	31,300	45.61	8-Aug	28-Aug	1,173.75	3.8
NORTHPOINT	030	WRLD	S	8,200	33.90	n/a	n/a	328.00	4.0
BUCK CAPITAL MGMT	001	WWW	B	40,000	26.23	n/a	13-Mar	1,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BULL PATH CAPITAL	044	YUM	B	27,800	32.00	14-Aug	25-Sep	1,390.00	5.0
TOTAL (Trade Date):							119,037.10		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/29	NWQ INVESTMENT MGMT CO (NWQI294440)	046	ABX	S	18,500	38.65	n/a	n/a	740.00 4.0
AO,CXL	09/29	PALMYRA CAPITAL (PALMGSCO)	048	ARO	B	7,800	31.55	28-Apr	5-Sep	312.00 4.0
AO,CRT	09/29	PALMYRA CAPITAL (PALMGSCO)	048	ARO	B	7,800	31.55	28-Apr	5-Sep	390.00 5.0
AO,	09/29	LOOMIS SALES/BOSTON (LOOMTBW001)	036	DRI	S	40,847	27.28	26-Aug	18-Sep	1633.88 4.0
AO,	09/29	LOOMIS SALES/BOSTON (LOOMTBW002)	036	DRI	S	22,185	27.28	26-Aug	18-Sep	887.40 4.0
AO,	09/29	LOOMIS SALES/BOSTON (LOOMTBW003)	036	DRI	S	43,279	27.28	26-Aug	18-Sep	1731.16 4.0
AO,	09/29	LOOMIS SALES/BOSTON (LOOMTBW004)	036	DRI	S	10,725	27.28	26-Aug	18-Sep	429.00 4.0
AO,	09/29	LOOMIS SALES/BOSTON (LOOMTBW100)	036	DRI	S	5,364	27.28	26-Aug	18-Sep	214.56 4.0
AO,	09/29	WILLIAM BLAIR (WBLA47RPSP)	031	GIL	B	1,700	22.27	8-Sep	8-Sep	68.00 4.0
AO,CXL	09/29	WILLIAM BLAIR (WBLA47RPSE)	031	GIL	B	1,700	22.27	8-Sep	8-Sep	68.00 4.0
AO,CXL	09/26	SOROS (SOROMS)	036	INTC	B	3,000,000	19.01	n/a	n/a	90000.00 3.0
AO,CRT	09/26	SOROS (SOROGS004)	036	INTC	B	3,000,000	19.01	n/a	n/a	90000.00 3.0
AO,	09/29	DURANGO INVESTMENTS (DURACREDIT)	031	NUE	B	40,000	38.60	n/a	n/a	1600.00 4.0
AO,	09/29	NOMURA CAPITAL (NOMUSTRATE)	045	QLTY	SS	61	4.43	n/a	n/a	1.83 3.0
AO,	09/29	NOMURA CAPITAL (NOMUBATT2)	045	QLTY	SS	63	4.43	n/a	n/a	1.89 3.0
AO,	09/29	NOMURA CAPITAL (NOMUBSMAN)	045	QLTY	SS	76	4.43	n/a	n/a	2.28 3.0
AO,CXL	09/29	STRAUSS ASSET MGMT (STRAJEFUSE)	040	RNIN	S	4,600	2.42	n/a	n/a	184.00 4.0
AO,CRT	09/29	STRAUSS ASSET MGMT (STRAJEFUSE)	040	RNIN	S	4,600	2.42	n/a	n/a	138.00 3.0
AO,	09/29	CAMBIAR CAP (CAMB535)	046	TEVA	B	470	44.92	n/a	30-Sep	18.80 4.0
AO,	09/29	CAMBIAR CAP (CAMB30)	046	TEVA	B	40	44.92	n/a	30-Sep	1.60 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/29	CAMBIAR CAP (CAMB204)	046	TEVA	B	110	44.92	n/a	30-Sep	4.40 4.0
AO,	09/29	CAMBIAR CAP (CAMB18)	046	TEVA	B	110	44.92	n/a	30-Sep	4.40 4.0
AO,	09/29	CAMBIAR CAP (CAMB527)	046	TEVA	B	20	44.92	n/a	30-Sep	0.80 4.0
AO,	09/29	CAMBIAR CAP (CAMB520)	046	TEVA	B	600	44.92	n/a	30-Sep	24.00 4.0
AO,	09/29	CAMBIAR CAP (CAMB520)	046	TEVA	B	600	44.92	n/a	30-Sep	24.00 4.0
AO,	09/29	CAMBIAR CAP (CAMB525)	046	TEVA	B	240	44.92	n/a	30-Sep	9.60 4.0
AO,	09/29	CAMBIAR CAP (CAMB502)	046	TEVA	B	473	44.92	n/a	30-Sep	18.92 4.0
AO,	09/29	CAMBIAR CAP (CAMB502)	046	TEVA	B	500	44.92	n/a	30-Sep	20.00 4.0
AO,	09/29	CAMBIAR CAP (CAMB526)	046	TEVA	B	340	44.92	n/a	30-Sep	13.60 4.0
AO,	09/29	CAMBIAR CAP (CAMB26)	046	TEVA	B	200	44.92	n/a	30-Sep	8.00 4.0
AO,	09/29	CAMBIAR CAP (CAMB25)	046	TEVA	B	200	44.92	n/a	30-Sep	8.00 4.0
AO,	09/29	CAMBIAR CAP (CAMB24)	046	TEVA	B	100	44.92	n/a	30-Sep	4.00 4.0
AO,	09/29	CAMBIAR CAP (CAMB21)	046	TEVA	B	2,000	44.92	n/a	30-Sep	80.00 4.0
AO,	09/29	CAMBIAR CAP (CAMB20)	046	TEVA	B	2,700	44.92	n/a	30-Sep	108.00 4.0
AO,	09/29	CAMBIAR CAP (CAMB10)	046	TEVA	B	100	44.92	n/a	30-Sep	4.00 4.0
AO,	09/29	CAMBIAR CAP (CAMB10)	046	TEVA	B	100	44.92	n/a	30-Sep	4.00 4.0
AO,	09/29	CAMBIAR CAP (CAMB10)	046	TEVA	B	2,300	44.92	n/a	30-Sep	92.00 4.0
AO,	09/29	CAMBIAR CAP (CAMB29)	046	TEVA	B	50	44.92	n/a	30-Sep	2.00 4.0
AO,	09/29	CAMBIAR CAP (CAMB42)	046	TEVA	B	40,000	44.92	n/a	30-Sep	1600.00 4.0
AO,	09/29	CAMBIAR CAP (CAMB409)	046	TEVA	B	200	44.92	n/a	30-Sep	8.00 4.0
AO,	09/29	CAMBIAR CAP (CAMB409)	046	TEVA	B	200	44.92	n/a	30-Sep	8.00 4.0
AO,	09/29	CAMBIAR CAP (CAMB65)	046	TEVA	B	3,500	44.92	n/a	30-Sep	140.00 4.0
AO,	09/29	CAMBIAR CAP (CAMB65)	046	TEVA	B	3,400	44.92	n/a	30-Sep	136.00 4.0
AO,	09/29	CAMBIAR CAP (CAMB912)	046	TEVA	B	120	44.92	n/a	30-Sep	4.80 4.0
AO,	09/29	CAMBIAR CAP (CAMB43)	046	TEVA	B	1,900	44.92	n/a	30-Sep	76.00 4.0
AO,	09/29	CAMBIAR CAP (CAMB903)	046	TEVA	B	10	44.92	n/a	30-Sep	0.40 4.0
AO,	09/29	CAMBIAR CAP (CAMB43)	046	TEVA	B	2,000	44.92	n/a	30-Sep	80.00 4.0
AO,	09/29	CAMBIAR CAP (CAMB890)	046	TEVA	B	10	44.92	n/a	30-Sep	0.40 4.0
AO,	09/29	CAMBIAR CAP (CAMB28)	046	TEVA	B	100	44.92	n/a	30-Sep	4.00 4.0
AO,	09/29	CAMBIAR CAP (CAMB781)	046	TEVA	B	10	44.92	n/a	30-Sep	0.40 4.0

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AO,	09/29	CAMBIAR CAP (CAMB28)	046	TEVA	B	100	44.92	n/a	30-Sep	4.00 4.0
AO,	09/29	CAMBIAR CAP (CAMB799)	046	TEVA	B	20	44.92	n/a	30-Sep	0.80 4.0
AO,	09/29	CAMBIAR CAP (CAMB771)	046	TEVA	B	10	44.92	n/a	30-Sep	0.40 4.0
AO,	09/29	CAMBIAR CAP (CAMB802)	046	TEVA	B	20	44.92	n/a	30-Sep	0.80 4.0
AO,	09/29	CAMBIAR CAP (CAMB879)	046	TEVA	B	240	44.92	n/a	30-Sep	9.60 4.0
AO,	09/29	CAMBIAR CAP (CAMB875)	046	TEVA	B	10	44.92	n/a	30-Sep	0.40 4.0
AO,	09/29	CAMBIAR CAP (CAMB836)	046	TEVA	B	20	44.92	n/a	30-Sep	0.80 4.0
AO,	09/29	CAMBIAR CAP (CAMB784)	046	TEVA	B	20	44.92	n/a	30-Sep	0.80 4.0
AO,	09/29	CAMBIAR CAP (CAMB823)	046	TEVA	B	10	44.92	n/a	30-Sep	0.40 4.0
AO,	09/29	CAMBIAR CAP (CAMB841)	046	TEVA	B	20	44.92	n/a	30-Sep	0.80 4.0
AO,	09/29	CAMBIAR CAP (CAMB883)	046	TEVA	B	300	44.92	n/a	30-Sep	12.00 4.0
AO,	09/29	CAMBIAR CAP (CAMB883)	046	TEVA	B	300	44.92	n/a	30-Sep	12.00 4.0
AO,	09/29	CAMBIAR CAP (CAMB810)	046	TEVA	B	10	44.92	n/a	30-Sep	0.40 4.0
AO,	09/29	CAMBIAR CAP (CAMB831)	046	TEVA	B	200	44.92	n/a	30-Sep	8.00 4.0
AO,	09/29	CAMBIAR CAP (CAMB831)	046	TEVA	B	200	44.92	n/a	30-Sep	8.00 4.0
AO,	09/29	CAMBIAR CAP (CAMB832)	046	TEVA	B	100	44.92	n/a	30-Sep	4.00 4.0
AO,	09/29	CAMBIAR CAP (CAMB832)	046	TEVA	B	100	44.92	n/a	30-Sep	4.00 4.0
AO,	09/29	CAMBIAR CAP (CAMB804)	046	TEVA	B	200	44.92	n/a	30-Sep	8.00 4.0
AO,	09/29	CAMBIAR CAP (CAMB804)	046	TEVA	B	200	44.92	n/a	30-Sep	8.00 4.0
AO,	09/29	CAMBIAR CAP (CAMB766)	046	TEVA	B	100	44.92	n/a	30-Sep	4.00 4.0
AO,	09/29	CAMBIAR CAP (CAMB766)	046	TEVA	B	100	44.92	n/a	30-Sep	4.00 4.0
AO,	09/29	CAMBIAR CAP (CAMB748)	046	TEVA	B	16,327	44.92	n/a	30-Sep	653.08 4.0
AO,	09/29	CAMBIAR CAP (CAMB748)	046	TEVA	B	16,400	44.92	n/a	30-Sep	656.00 4.0
AO,	09/29	CAMBIAR CAP (CAMB755)	046	TEVA	B	10	44.92	n/a	30-Sep	0.40 4.0
AO,	09/29	CAMBIAR CAP (CAMB754)	046	TEVA	B	20	44.92	n/a	30-Sep	0.80 4.0
AO,	09/29	CAMBIAR CAP (CAMB758)	046	TEVA	B	10	44.92	n/a	30-Sep	0.40 4.0
AO,	09/29	CAMBIAR CAP (CAMB694)	046	TEVA	B	400	44.92	n/a	30-Sep	16.00 4.0
AO,	09/29	CAMBIAR CAP (CAMB694)	046	TEVA	B	400	44.92	n/a	30-Sep	16.00 4.0
AO,	09/29	CAMBIAR CAP (CAMB710)	046	TEVA	B	50	44.92	n/a	30-Sep	2.00 4.0
AO,	09/29	CAMBIAR CAP (CAMB716)	046	TEVA	B	70	44.92	n/a	30-Sep	2.80 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/29	CAMBIAR CAP (CAMB717)	046	TEVA	B	20	44.92	n/a	30-Sep	0.80 4.0
AO,	09/29	CAMBIAR CAP (CAMB741)	046	TEVA	B	10	44.92	n/a	30-Sep	0.40 4.0
AO,	09/29	CAMBIAR CAP (CAMB743)	046	TEVA	B	200	44.92	n/a	30-Sep	8.00 4.0
AO,	09/29	CAMBIAR CAP (CAMB743)	046	TEVA	B	200	44.92	n/a	30-Sep	8.00 4.0
AO,	09/29	CAMBIAR CAP (CAMB714)	046	TEVA	B	400	44.92	n/a	30-Sep	16.00 4.0
AO,	09/29	CAMBIAR CAP (CAMB714)	046	TEVA	B	500	44.92	n/a	30-Sep	20.00 4.0
AO,	09/29	COLUMBIA PARTNERS (COLP535CAS)	028	VTR	S	130	47.39	n/a	n/a	5.20 4.0
AO,	09/29	COLUMBIA PARTNERS (COLP537TEN)	028	VTR	S	859	47.39	n/a	n/a	34.36 4.0
AO,	09/29	COLUMBIA PARTNERS (COLP538TIE)	028	VTR	S	114	47.39	n/a	n/a	4.56 4.0
AO,	09/29	COLUMBIA PARTNERS (COLP534CAP)	028	VTR	S	1,181	47.39	n/a	n/a	47.24 4.0
AO,	09/29	COLUMBIA PARTNERS (COLP521SRI)	028	VTR	S	441	47.39	n/a	n/a	17.64 4.0
AO,	09/29	COLUMBIA PARTNERS (COLP428CMM)	028	VTR	S	34	47.39	n/a	n/a	1.36 4.0
AO,	09/29	COLUMBIA PARTNERS (COLP0ERSSL)	028	VTR	S	5,875	47.39	n/a	n/a	235.00 4.0
AO,	09/29	COLUMBIA PARTNERS (COLP486MTG)	028	VTR	S	6	47.39	n/a	n/a	0.24 4.0
AO,	09/29	COLUMBIA PARTNERS (COLP426STA)	028	VTR	S	752	47.39	n/a	n/a	30.08 4.0
AO,	09/29	COLUMBIA PARTNERS (COLP289ERF)	028	VTR	S	6,778	47.39	n/a	n/a	271.12 4.0
AO,	09/29	COLUMBIA PARTNERS (COLP457PPS)	028	VTR	S	12,789	47.39	n/a	n/a	511.56 4.0
AO,	09/29	COLUMBIA PARTNERS (COLP422GO)	028	VTR	S	1,085	47.39	n/a	n/a	43.40 4.0
AO,	09/29	COLUMBIA PARTNERS (COLP423GOB)	028	VTR	S	3,015	47.39	n/a	n/a	120.60 4.0
AO,	09/29	COLUMBIA PARTNERS (COLP513YBC)	028	VTR	S	2,527	47.39	n/a	n/a	101.08 4.0
AO,	09/29	COLUMBIA PARTNERS (COLP515ROO)	028	VTR	S	1,053	47.39	n/a	n/a	42.12 4.0
AO,	09/29	COLUMBIA PARTNERS (COLPUSBANK)	028	VTR	S	13	47.39	n/a	n/a	0.52 4.0
AO,	09/29	COLUMBIA PARTNERS (COLP000FIR)	028	VTR	S	1,154	47.39	n/a	n/a	46.16 4.0
AO,	09/29	NOMURA CAPITAL (NOMUSTRATE)	045	ZZ	SS	6,150	6.83	n/a	n/a	246.00 4.0
AO,	09/29	NOMURA CAPITAL (NOMUBATT2)	045	ZZ	SS	6,500	6.83	n/a	n/a	260.00 4.0
AO,	09/29	NOMURA CAPITAL (NOMUBSMAN)	045	ZZ	SS	7,350	6.83	n/a	n/a	294.00 4.0
TOTAL (AO, CXL, CRT) :										13,586.24

TOTAL (Trade Date):	119,037.10
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TOTAL (AO, CXL, CRT):	13,586.24
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TOTAL (RUN DATE) / NFS:	132,623.34
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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