

Daily Compliance Activity Report Trade Date: 08/28/2009

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
MERRILL ASSET/BLACKROCK	214	AEIS	В	10,000	10.83	n/a	n/a	450.00	4.5
BUCK CAPITAL MGMT	001	AEO	В	40,000	13.87	25-Jun	27-Aug	1,600.00	4.0
LAGRANGE CAP ADV	048	AER	S	10,000	8.95	n/a	n/a	500.00	5.0
TYEE/TYGH	035	AMG	В	48,665	65.80	3-Aug	26-Aug	1,946.60	4.0
MERRILL ASSET/BLACKROCK	214	ANDE	S	42,400	32.67	n/a	n/a	1,908.00	4.5
BUCK CAPITAL MGMT	001	ANF	s	20,000	33.53	3-Jun	27-Aug	800.00	4.0
MERRILL ASSET/BLACKROCK	214	ATO	S	2,600	27.38	n/a	n/a	117.00	4.5
LAGRANGE CAP ADV	048	AXL	S	21,600	6.60	19-Aug	19-Aug	1,080.00	5.0
MILLRACE FUND LP	028	AXL	S	22,000	6.56	19-Aug	19-Aug	660.00	3.0
SCHOTTENFELD ASSOC	041	AXL	В	30,000	6.38	19-Aug	19-Aug	900.00	3.0
ASCEND PARTNERS	033	ВЈ	В	16,259	32.82	n/a	27-Jul	812.95	5.0
PATTEN & PATTEN	067	BP	В	500	52.27	n/a	n/a	25.00	5.0
BUCK CAPITAL MGMT	001	BWA	В	15,000	28.53	3-Aug	24-Aug	600.00	4.0
LEVIN CAPITAL STRATEGIES	012	BWA	S	65,586	28.72	3-Aug	24-Aug	2,623.44	4.0
BUCK CAPITAL MGMT	001	СОН	s	30,000	29.40	n/a	29-Jul	1,200.00	4.0
PILOT ADV	038	CQB	S	61,600	15.39	n/a	n/a	2,464.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
LAGRANGE CAP ADV	048	CTCM	SS	10,000	13.99	n/a	n/a	500.00	5.0
LAGRANGE CAP ADV	048	CVC	SS	10,000	22.28	n/a	4-Jan	500.00	5.0
MERRILL ASSET/BLACKROCK	214	CVG	S	20,000	11.18	n/a	n/a	900.00	4.5
PRINCIPLE CAPITAL	040	CVLT	S	95 , 576	18.32	n/a	n/a	2,867.28	3.0
ARCHON CAPITAL	035	DAR	S	5,000	7.21	n/a	n/a	150.00	3.0
PATTEN & PATTEN	067	D	В	300	33.11	n/a	n/a	15.00	5.0
MERRILL ASSET/BLACKROCK	214	EPAY	S	2,000	11.84	n/a	n/a	90.00	4.5
BUCK CAPITAL MGMT	001	FL	В	500,000	11.06	27-Aug	27-Aug	20,000.00	4.0
THIRD COAST CAPITAL	035	FL	В	15,000	10.93	27-Aug	27-Aug	750.00	5.0
BTIG/KDI ADV	039	FOR	В	2,789	14.10	6-Aug	6-Aug	139.45	5.0
COLONIAL FUND LLC	036	F	В	50,000	7.74	27-Aug	27-Aug	1,500.00	3.0
TRELLUS PARTNERS LP	028	F	В	50,000	7.76	27-Aug	27-Aug	1,500.00	3.0
LAGRANGE CAP ADV	048	GE	В	10,000	14.15	n/a	n/a	500.00	5.0
LAGRANGE CAP ADV	048	GMR	В	5,000	8.10	n/a	n/a	250.00	5.0
LAGRANGE CAP ADV	048	HUN	SS	30,000	8.20	n/a	n/a	1,500.00	5.0
MERRILL ASSET/BLACKROCK	214	INFA	S	10,000	18.06	n/a	n/a	450.00	4.5
	LAGRANGE CAP ADV LAGRANGE CAP ADV MERRILL ASSET/BLACKROCK PRINCIPLE CAPITAL ARCHON CAPITAL PATTEN & PATTEN MERRILL ASSET/BLACKROCK BUCK CAPITAL MGMT THIRD COAST CAPITAL BTIG/KDI ADV COLONIAL FUND LLC TRELLUS PARTNERS LP LAGRANGE CAP ADV LAGRANGE CAP ADV LAGRANGE CAP ADV	LAGRANGE CAP ADV 048 LAGRANGE CAP ADV 048 MERRILL ASSET/BLACKROCK 214 PRINCIPLE CAPITAL 040 ARCHON CAPITAL 035 PATTEN & PATTEN 067 MERRILL ASSET/BLACKROCK 214 BUCK CAPITAL MGMT 001 THIRD COAST CAPITAL 035 BTIG/KDI ADV 039 COLONIAL FUND LLC 036 TRELLUS PARTNERS LP 028 LAGRANGE CAP ADV 048 LAGRANGE CAP ADV 048 LAGRANGE CAP ADV 048	LAGRANGE CAP ADV 048 CTCM LAGRANGE CAP ADV 048 CVC MERRILL ASSET/BLACKROCK 214 CVG PRINCIPLE CAPITAL 040 CVLT ARCHON CAPITAL 035 DAR PATTEN & PATTEN 067 D MERRILL ASSET/BLACKROCK 214 EPAY BUCK CAPITAL MGMT 001 FL THIRD COAST CAPITAL 035 FL BTIG/KDI ADV 039 FOR COLONIAL FUND LLC 036 F TRELLUS PARTNERS LP 028 F LAGRANGE CAP ADV 048 GE LAGRANGE CAP ADV 048 GMR LAGRANGE CAP ADV 048 HUN	LAGRANGE CAP ADV LAGRANGE CAP ADV 048 CYC SS MERRILL ASSET/BLACKROCK 214 CVG S PRINCIPLE CAPITAL 040 CVLT S ARCHON CAPITAL 035 DAR S PATTEN & PATTEN 067 D B MERRILL ASSET/BLACKROCK 214 EPAY S BUCK CAPITAL MGMT THIRD COAST CAPITAL 035 FL B BTIG/KDI ADV 039 FOR B COLONIAL FUND LLC TRELLUS PARTNERS LP 028 LAGRANGE CAP ADV 048 GMR B LAGRANGE CAP ADV 048 HUN SS	LAGRANGE CAP ADV 048 CTCM SS 10,000 LAGRANGE CAP ADV 048 CVC SS 10,000 MERRILL ASSET/BLACKROCK 214 CVG S 20,000 PRINCIPLE CAPITAL 040 CVLT S 95,576 ARCHON CAPITAL 035 DAR S 5,000 PATTEN & PATTEN 067 D B 300 MERRILL ASSET/BLACKROCK 214 EPAY S 2,000 BUCK CAPITAL MGMT 001 FL B 500,000 THIRD COAST CAPITAL 035 FL B 15,000 BTIG/KDI ADV 039 FOR B 2,789 COLONIAL FUND LLC 036 F B 50,000 TRELLUS PARTNERS LP 028 F B 50,000 LAGRANGE CAP ADV 048 GE B 10,000 LAGRANGE CAP ADV 048 GMR B 5,000 LAGRANGE CAP ADV 048 GMR B 5,000	LAGRANGE CAP ADV 048 CTCM SS 10,000 13.99 LAGRANGE CAP ADV 048 CVC SS 10,000 22.28 MERRILL ASSET/BLACKROCK 214 CVG S 20,000 11.18 PRINCIPLE CAPITAL 040 CVLT S 95,576 18.32 ARCHON CAPITAL 035 DAR S 5,000 7.21 PATTEN & PATTEN 067 D B 300 33.11 MERRILL ASSET/BLACKROCK 214 EPAY S 2,000 11.84 BUCK CAPITAL MGMT 001 FL B 500,000 11.06 THIRD COAST CAPITAL 035 FL B 15,000 10.93 BTIG/KDI ADV 039 FOR B 2,789 14.10 COLONIAL FUND LLC 036 F B 50,000 7.74 TRELLUS PARTNERS LP 028 F B 50,000 7.76 LAGRANGE CAP ADV 048 GE B 10,000 14.15 LAGRANGE CAP ADV 048 GMR B 5,000 8.20	LAGRANGE CAP ADV 048 CTCM SS 10,000 13.99 n/a LAGRANGE CAP ADV 048 CVC SS 10,000 22.28 n/a MERRILL ASSET/BLACKROCK 214 CVG S 20,000 11.18 n/a PRINCIPLE CAPITAL 040 CVLT S 95,576 18.32 n/a ARCHON CAPITAL 035 DAR S 5,000 7.21 n/a PATTEN & PATTEN 067 D B 300 33.11 n/a MERRILL ASSET/BLACKROCK 214 EPAY S 2,000 11.84 n/a BUCK CAPITAL MGMT 001 FL B 500,000 11.06 27-Aug THIRD COAST CAPITAL 035 FL B 15,000 10.93 27-Aug BTIG/KDI ADV 039 FOR B 2,789 14.10 6-Aug COLONIAL FUND LLC 036 F B 50,000 7.74 27-Aug TRELLUS PARTNERS LP 028 F B 50,000 7.76 27-Aug LAGRANGE CAP ADV 048 GE B 10,000 14.15 n/a LAGRANGE CAP ADV 048 GMR B 5,000 8.10 n/a	LAGRANGE CAP ADV 048 CTCM SS 10,000 13.99 n/a n/a LAGRANGE CAP ADV 048 CVC SS 10,000 22.28 n/a 4-Jan MERRILL ASSET/BLACKROCK 214 CVG S 20,000 11.18 n/a n/a PRINCIPLE CAPITAL 040 CVLT S 95,576 18.32 n/a n/a ARCHON CAPITAL 035 DAR S 5,000 7.21 n/a n/a PATTEN 6 PATTEN 067 D B 300 33.11 n/a n/a MERRILL ASSET/BLACKROCK 214 EPAY S 2,000 11.84 n/a n/a BUCK CAPITAL MGMT 001 FL B 500,000 11.06 27-Aug 27-Aug THIRD COAST CAPITAL 035 FL B 15,000 10.93 27-Aug 27-Aug BTIG/KDI ADV 039 FOR B 2,789 14.10 6-Aug 6-Aug COLONIAL FUND LLC 036 F B 50,000 7.74 27-Aug 27-Aug TRELLUS PARTNERS LP 028 F B 50,000 7.76 27-Aug 27-Aug LAGRANGE CAP ADV 048 GE B 10,000 14.15 n/a n/a LAGRANGE CAP ADV 048 GMR B 5,000 8.10 n/a n/a	LAGRANGE CAP ADV 048 CTCM SS 10,000 13.99 n/a n/a 500.00 LAGRANGE CAP ADV 048 CVC SS 10,000 22.28 n/a 4-Jan 500.00 MERRILL ASSET/BLACKROCK 214 CVG S 20,000 11.18 n/a n/a 900.00 PRINCIPLE CAPITAL 040 CVLT S 95,576 18.32 n/a n/a 2,867.28 ARCHON CAPITAL 035 DAR S 5,000 7.21 n/a n/a 150.00 PATTEN & PATTEN 067 D B 300 33.11 n/a n/a 150.00 MERRILL ASSET/BLACKROCK 214 EPAY S 2,000 11.84 n/a n/a 90.00 BUCK CAPITAL MGMT 011 FL B 500,000 11.06 27-Aug 27-Aug 750.00 HURD COAST CAPITAL 035 FL B 15,000 10.93 27-Aug 27-Aug 750.00 BTIG/KDI ADV 039 FOR B 2,789 14.10 6-Aug 6-Aug 139.45 COLONIAL FUND LLC 036 F B 50,000 7.74 27-Aug 27-Aug 1,500.00 TRELLUS PARTNERS LP 028 F B 50,000 7.76 27-Aug 27-Aug 1,500.00 LAGRANGE CAP ADV 048 GE B 10,000 14.15 n/a n/a 500.00 LAGRANGE CAP ADV 048 GMR B 5,000 8.10 n/a n/a 250.00 LAGRANGE CAP ADV 048 HUN SS 30,000 8.20 n/a n/a 1,500.00

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.	
ROTHSCHILD ASSET	040	JBT	В	28,328	17.38	n/a	n/a	1,274.77	4.5	
BUCK CAPITAL MGMT	001	JCG	S	10,000	35.02	n/a	30-Jan	400.00	4.0	
PATTEN & PATTEN	067	LAZ	S	325	38.30	n/a	30-Jul	16.25	5.0	
JMP ASSET MGMT	210	LULU	S	650	20.50	n/a	n/a	32.50	5.0	
FIRST NEW YORK LEDDY	035	LVLT	В	10,000	1.20	n/a	4-Jan	600.00	6.0	
APEX CAPITAL MGMT.	091	LVS	SS	100,000	14.67	14-Aug	26-Aug	4,000.00	4.0	
PATTEN & PATTEN	067	MA	В	150	206.15	30-Jul	26-Aug	7.50	5.0	
PATTEN & PATTEN	067	MS	В	250	29.75	11-May	23-Jul	12.50	5.0	
LAGRANGE CAP ADV	048	MVG	S	2,550	4.65	n/a	n/a	127.50	5.0	
BUCK CAPITAL MGMT	001	MW	В	122,015	26.22	n/a	n/a	4,880.60	4.0	
BUCK CAPITAL MGMT	001	М	В	50,000	15.66	n/a	27-Aug	2,000.00	4.0	
MERRILL ASSET/BLACKROCK	214	NOVL	S	52,000	4.42	n/a	n/a	2,340.00	4.5	
CSFB GLOBAL PROPRIETARY	041	PKG	В	30,000	20.61	21-Jul	21-Jul	1,500.00	5.0	
LAGRANGE CAP ADV	048	POOL	SS	100	24.99	n/a	n/a	5.00	5.0	
LAGRANGE CAP ADV	048	QQQQ	В	20,000	40.20	n/a	n/a	1,000.00	5.0	
	ROTHSCHILD ASSET BUCK CAPITAL MGMT PATTEN & PATTEN JMP ASSET MGMT FIRST NEW YORK LEDDY APEX CAPITAL MGMT. PATTEN & PATTEN PATTEN & PATTEN LAGRANGE CAP ADV BUCK CAPITAL MGMT MERRILL ASSET/BLACKROCK CSFB GLOBAL PROPRIETARY LAGRANGE CAP ADV	ROTHSCHILD ASSET 040 BUCK CAPITAL MGMT 001 PATTEN & PATTEN 067 JMP ASSET MGMT 210 FIRST NEW YORK LEDDY 035 APEX CAPITAL MGMT. 091 PATTEN & PATTEN 067 PATTEN & PATTEN 067 LAGRANGE CAP ADV 048 BUCK CAPITAL MGMT 001 BUCK CAPITAL MGMT 001 MERRILL ASSET/BLACKROCK 214 CSFB GLOBAL PROPRIETARY 041 LAGRANGE CAP ADV 048	ROTHSCHILD ASSET 040 JBT BUCK CAPITAL MGMT 001 JCG PATTEN & PATTEN 067 LAZ JMP ASSET MGMT 210 LULU FIRST NEW YORK LEDDY 035 LVLT APEX CAPITAL MGMT. 091 LVS PATTEN & PATTEN 067 MA PATTEN & PATTEN 067 MS LAGRANGE CAP ADV 048 MVG BUCK CAPITAL MGMT 001 MW BUCK CAPITAL MGMT 001 M MERRILL ASSET/BLACKROCK 214 NOVL CSFB GLOBAL PROPRIETARY 041 PKG LAGRANGE CAP ADV 048 POOL	ROTHSCHILD ASSET 040 JBT B BUCK CAPITAL MGMT 001 JCG S PATTEN & PATTEN 067 LAZ S JMP ASSET MGMT 210 LULU S FIRST NEW YORK LEDDY 035 LVLT B APEX CAPITAL MGMT. 091 LVS SS PATTEN & PATTEN 067 MA B PATTEN & PATTEN 067 MS B LAGRANGE CAP ADV 048 MVG S BUCK CAPITAL MGMT 001 MW B BUCK CAPITAL MGMT 001 M B MERRILL ASSET/BLACKROCK 214 NOVL S CSFB GLOBAL PROPRIETARY 041 PKG B LAGRANGE CAP ADV 048 POOL SS	ROTHSCHILD ASSET 040 JBT B 28,328 BUCK CAPITAL MGMT 001 JCG S 10,000 PATTEN & PATTEN 067 LAZ S 325 JMP ASSET MGMT 210 LULU S 650 FIRST NEW YORK LEDDY 035 LVLT B 10,000 APEX CAPITAL MGMT 091 LVS SS 100,000 PATTEN & PATTEN 067 MA B 150 PATTEN & PATTEN 067 MS B 250 LAGRANGE CAP ADV 048 MVG S 2,550 BUCK CAPITAL MGMT 001 MW B 122,015 BUCK CAPITAL MGMT 001 M B 50,000 MERRILL ASSET/BLACKROCK 214 NOVL S 52,000 CSFB GLOBAL PROPRIETARY 041 PKG B 30,000 LAGRANGE CAP ADV 048 POOL SS 100	BUCK CAPITAL MGMT 001 JCG S 10,000 35.02 PATTEN & PATTEN 067 LAZ S 325 38.30 JMP ASSET MGMT 210 LULU S 650 20.50 FIRST NEW YORK LEDDY 035 LVLT B 10,000 1.20 APEX CAPITAL MGMT. 091 LVS S 100,000 14.67 PATTEN & PATTEN 067 MA B 150 206.15 PATTEN & PATTEN 067 MS B 250 29.75 LAGRANGE CAP ADV 048 MVG S 2,550 4.65 BUCK CAPITAL MGMT 001 MW B 122,015 26.22 BUCK CAPITAL MGMT 001 M B 50,000 15.66 MERRILL ASSET/BLACKROCK 214 NOVL S 52,000 4.42 CSFB GLOBAL PROPRIETARY 041 PKG B 30,000 20.61 LAGRANGE CAP ADV 048 POOL SS 100 24.99	ROTHSCHILD ASSET 040 JBT B 28,328 17.38 n/a BUCK CAPITAL MGMT 001 JCG S 10,000 35.02 n/a PATTEN & PATTEN 067 LAZ S 325 38.30 n/a JMP ASSET MGMT 210 LULU S 650 20.50 n/a FIRST NEW YORK LEDDY 035 LVLT B 10,000 1.20 n/a APEX CAPITAL MGMT. 091 LVS SS 100,000 14.67 14-Aug PATTEN & PATTEN 067 MA B 150 206.15 30-Jul PATTEN & PATTEN 067 MS B 250 29.75 11-May LAGRANGE CAP ADV 048 MVG S 2,550 4.65 n/a BUCK CAPITAL MGMT 001 MW B 122,015 26.22 n/a BUCK CAPITAL MGMT 001 M B 50,000 15.66 n/a BUCK CAPITAL MGMT 001 M B 30,000 20.61 21-Jul LAGRANGE CAP ADV 048 POOL SS 100 24.99 n/a	ROTHSCHILD ASSET 040 JET B 28,328 17.38 n/a n/a BUCK CAPITAL MGMT 001 JCG S 10,000 35.02 n/a 30-Jan PATTEN & PATTEN 067 LAZ S 325 38.30 n/a 30-Jul JMP ASSET MGMT 210 LULU S 650 20.50 n/a n/a FIRST NEW YORK LEDDY 035 LVLT B 10,000 1.20 n/a 4-Jan APEX CAPITAL MGMT. 091 LVS SS 100,000 14.67 14-Aug 26-Aug PATTEN & PATTEN 067 MA B 150 206.15 30-Jul 26-Aug PATTEN & PATTEN 067 MS B 250 29.75 11-May 23-Jul LAGRANGE CAP ADV 048 MVG S 2,550 4.65 n/a n/a BUCK CAPITAL MGMT 001 MW B 122,015 26.22 n/a n/a BUCK CAPITAL MGMT 001 M B 50,000 15.66 n/a 27-Aug MERRILL ASSET/BLACKROCK 214 NOVL S 52,000 4.42 n/a n/a CSFB GLOBAL PROPRIETARY 041 PKG B 30,000 20.61 21-Jul 21-Jul LAGRANGE CAP ADV 048 POOL SS 100 24.99 n/a n/a	ROTHSCHILD ASSET 040 JBT B 28,328 17.38 n/a n/a 1,274.77 BUCK CAPITAL MGMT 001 JCG S 10,000 35.02 n/a 30-Jan 400.00 PATTEN & PATTEN 067 LAZ S 325 38.30 n/a 30-Jul 16.25 JMP ASSET MGMT 210 LULU S 650 20.50 n/a n/a 32.50 FIRST NEW YORK LEDDY 035 LVLT B 10,000 1.20 n/a 4-Jan 600.00 APEX CAPITAL MGMT. 091 LVS SS 100,000 14.67 14-Aug 26-Aug 4,000.00 PATTEN & PATTEN 067 MA B 150 206.15 30-Jul 26-Aug 7.50 PATTEN & PATTEN 067 MS B 250 29.75 11-May 23-Jul 12.50 LAGRANGE CAP ADV 048 MVG S 2,550 4.65 n/a n/a 127.50 BUCK CAPITAL MGMT 001 M B 122,015 26.22 n/a n/a n/a 4,880.60 BUCK CAPITAL MGMT 001 M B 50,000 15.66 n/a 27-Aug 2,000.00 MERRILL ASSET/BLACKROCK 214 NOVL S 52,000 4.42 n/a n/a 2,340.00 CSEB GLOBAL PROPRIETARY 041 PKG B 30,000 20.61 21-Jul 21-Jul 1,500.00	ROTHSCHILD ASSET 040 JBT B 28,328 17.38 n/a n/a 1,274.77 4.5 BUCK CAPITAL MAMT 001 JCG S 10,000 35.02 n/a 30-Jan 400.00 4.0 PATTEN & PATTEN 067 LAZ S 325 38.30 n/a 30-Jul 16.25 5.0 JMP ASSET MGMT 210 LULU S 650 20.50 n/a n/a 30-Jul 16.25 5.0 FIRST NEW YORK LEDDY 035 LVLT B 10,000 1.20 n/a 4-Jan 600.00 6.0 APEK CAPITAL MGMT. 091 LVS SS 100,000 14.67 14-Aug 26-Aug 4,000.00 4.0 PATTEN & PATTEN 067 MA B 150 206.15 30-Jul 26-Aug 7.50 5.0 PATTEN & PATTEN 667 MS B 25,550 4.65 n/a n/a 127.50 5.0 BUCK CAPITAL MGMT. 001 MW B 122,015 26.22 n/a n/a 1/a 4,880.60 4.0 BUCK CAPITAL MGMT 001 M B 50,000 15.66 n/a 27-Aug 2,000.00 4.5 BUCK CAPITAL MGMT 011 M B 50,000 15.66 n/a 27-Aug 2,000.00 4.5 CSFB GLOBAL PROPRIETARY 041 PKG B 30,000 20.61 21-Jul 21-Jul 1,500.00 5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	;/Shr.
BUCK CAPITAL MGMT	001	RL	s	10,000	69.14	6-Aug	6-Aug	400.00	4.0
PATTEN & PATTEN	067	SE	S	1,500	18.97	n/a	n/a	75.00	5.0
BUCK CAPITAL MGMT	001	SKX	S	50,000	17.10	n/a	13-Mar	2,000.00	4.0
CUMBERLAND	038	SPY	SS	30,000	103.45	n/a	n/a	1,200.00	4.0
BUCK CAPITAL MGMT	001	SSI	SS	10,000	14.08	n/a	27-Aug	400.00	4.0
PILOT ADV	038	STLD	В	43,000	17.07	n/a	n/a	1,720.00	4.0
CAVU CAP ADV	028	STX	В	150,000	14.03	n/a	n/a	7,500.00	5.0
PATTEN & PATTEN	067	SWN	S	250	38.57	n/a	28-Aug	12.50	5.0
BUCK CAPITAL MGMT	001	TGT	В	100,000	47.44	19-Aug	19-Aug	2,000.00	2.7
BUCK CAPITAL MGMT	001	TGT	SS	50,000	47.15	19-Aug	19-Aug	0.00	0.0
LAGRANGE CAP ADV	048	TIF	SS	5,000	36.69	n/a	30-Jan	250.00	5.0
SCOPUS FUND	041	TPX	В	63,800	15.00	n/a	n/a	3,190.00	5.0
TRUSTCO/SUNTRUST	040	TPX	В	26,495	15.01	n/a	n/a	1,033.30	3.9
LAGRANGE CAP ADV	048	TXT	SS	10,000	15.71	n/a	n/a	500.00	5.0
HOLLIS CAPITAL	033	UFS	SS	8,000	35.49	n/a	n/a	400.00	5.0
LAGRANGE CAP ADV	048	UFS	SS	10,000	35.49	n/a	n/a	500.00	5.0
PATTEN & PATTEN	067	V	S	600	69.48	n/a	26-Aug	30.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
MATLIN PATTERSON	046	WHR	В	50,000	65.41	n/a	n/a	1,500.00 3.0
JMP ASSET MGMT	210	WSM	S	5,000	19.00	n/a	n/a	250.00 5.0
LAGRANGE CAP ADV	048	ҮНОО	В	20,000	14.91	n/a	n/a	1,000.00 5.0

TOTAL (Trade Date): 91,456.14

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr
AO,CXL	08/26	CAVU CAP ADV (CAVUMAN CS)	028	DELL	В	25,000	14.65	n/a	n/a	1250.00	5.0
AO, CRT	08/26	CAVU CAP ADV (CAVUCREDIS)	028	DELL	В	25,000	14.65	n/a	n/a	1250.00	5.0
AO,CXL	08/26	KACELA CAPITAL (KACEGS)	034	DRI	В	25,000	33.81	13-Aug	13-Aug	1250.00	5.0
AO, CRT	08/26	KACELA CAPITAL (KACEGS)	034	DRI	В	25,000	33.81	13-Aug	13-Aug	1000.00	4.0
AO,CXL	08/26	CAVU CAP ADV (CAVUMAN CS)	028	FCS	В	35,000	9.81	n/a	n/a	1750.00	5.0
AO, CRT	08/26	CAVU CAP ADV (CAVUCREDIS)	028	FCS	В	35,000	9.81	n/a	n/a	1750.00	5.0
AO,	08/27	PARTNER REINSURANCE (PARRPUSDEQ)	033	FL	В	55 , 600	10.60	27-Aug	27-Aug	2224.00	4.0
AO,	08/27	PARTNER REINSURANCE (PARRPELCEQ)	033	FL	В	4,400	10.60	27-Aug	27-Aug	176.00	4.0
AO, CXL	08/26	CAVU CAP ADV (CAVUMAN CS)	028	STX	SS	20,000	12.13	n/a	n/a	1000.00	5.0
AO, CRT	08/26	CAVU CAP ADV (CAVUCREDIS)	028	STX	SS	20,000	12.13	n/a	n/a	1000.00	5.0

TOTAL (RUN DATE) / NFS:	93,606.14
TOTAL (AO, CXL, CRT):	2,150.00
TOTAL (Trade Date):	91,456.14

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