



## Daily Compliance Activity Report

Trade Date: 10/01/2010

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
IMPALA ASSET MMT	012	ABFS	B	22	23.74	n/a	n/a	0.88	4.0
IMPALA ASSET MMT	012	ACLI	B	294	27.37	n/a	n/a	11.76	4.0
IMPALA ASSET MMT	012	ADM	B	352	31.85	n/a	20-Sep	14.08	4.0
IMPALA ASSET MMT	012	AEM	SS	329	71.39	n/a	n/a	16.45	5.0
ROTHSCHILD ASSET	040	AFG	B	3,060	30.37	n/a	n/a	122.40	4.0
MILLENNIUM PARTNERS ICSUS	041	AKS	SS	25,000	13.79	n/a	n/a	1,250.00	5.0
IMPALA ASSET MMT	012	ALB	B	186	47.02	n/a	n/a	9.30	5.0
BALYASNY ASSET MGMT	044	ALV	SS	14,001	65.53	n/a	15-Sep	700.05	5.0
NEW JERSEY DIV OF INV.	030	AMG	S	10,000	79.00	n/a	2-Mar	400.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>S</b>	<b>80,000</b>	<b>37.94</b>	<b>n/a</b>	<b>1-Oct</b>	<b>3,200.00</b>	<b>4.0</b>
BALYASNY ASSET MGMT	044	ANN	C	48,000	20.97	n/a	n/a	2,400.00	5.0
IMPALA ASSET MMT	012	APA	B	309	98.16	n/a	30-Sep	15.45	5.0
IMPALA ASSET MMT	012	ARII	B	24	15.93	n/a	n/a	0.96	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ARO</b>	<b>S</b>	<b>150,000</b>	<b>23.80</b>	<b>n/a</b>	<b>1-Oct</b>	<b>6,000.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER MICHAEL NOLAN	067	ARTG	S	55,531	4.10	n/a	n/a	1,665.93	3.0
NEW JERSEY DIV OF INV.	030	ASH	B	80,000	48.95	n/a	17-Sep	3,200.00	4.0
IMPALA ASSET MMT	012	AWI	B	208	40.60	n/a	n/a	10.40	5.0
BROADARCH CAP/OLD NEWC	070	AXL	SS	29,500	8.81	n/a	4-Aug	1,180.00	4.0
TRELLUS PARTNERS LP	028	AXL	SS	25,000	8.87	n/a	4-Aug	750.00	3.0
IMPALA ASSET MMT	012	BALT	SS	225	11.14	n/a	n/a	6.75	3.0
IMPALA ASSET MMT	012	BC	SS	152	15.29	n/a	n/a	6.08	4.0
IMPALA ASSET MMT	012	BG	B	120	57.64	n/a	n/a	6.00	5.0
IMPALA ASSET MMT	012	BLL	B	143	59.38	n/a	n/a	7.15	5.0
FIRST NEW YORK LEDDY	035	BSX	S	20,000	6.06	n/a	n/a	800.00	4.0
IMPALA ASSET MMT	012	BTU	SS	2,575	50.61	n/a	n/a	128.75	5.0
SACC-SCHWARTZ	044	BTU	SS	50,000	50.84	n/a	n/a	1,750.00	3.5
MILLENIUM SUB A/C NEW VERNON	085	BUD	SS	20,000	58.53	n/a	15-Sep	800.00	4.0
SF SENTRY	085	BUD	SS	5,000	58.64	n/a	15-Sep	250.00	5.0
IMPALA ASSET MMT	012	CAT	B	173	77.80	n/a	23-Jul	8.65	5.0
TRUST CO/COWEN/CALF.	040	CBB	S	7,800	2.63	n/a	n/a	234.00	3.0
TOCQUEVILLE	067	CCC	B	100,000	14.67	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BENCHMARK	025	CCE	S	2,500	30.75	n/a	n/a	100.00	4.0
IMPALA ASSET MMT	012	CCJ	B	268	28.02	n/a	n/a	10.72	4.0
IMPALA ASSET MMT	012	CCL	B	536	38.38	n/a	n/a	21.44	4.0
IMPALA ASSET MMT	012	CENX	B	932	13.44	n/a	n/a	27.96	3.0
IMPALA ASSET MMT	012	CF	S	200,000	95.69	n/a	n/a	10,000.00	5.0
IMPALA ASSET MMT	012	CGI	B	400	13.63	n/a	n/a	12.00	3.0
IMPALA ASSET MMT	012	CHH	SS	64	36.44	n/a	n/a	2.56	4.0
IMPALA ASSET MMT	012	CHRW	SS	408	69.65	n/a	n/a	20.40	5.0
SENATOR INVESTMENT GROUP	036	CHRW	B	100,000	69.67	n/a	n/a	3,000.00	3.0
IMPALA ASSET MMT	012	CMI	B	65	91.34	n/a	28-Jul	3.25	5.0
IMPALA ASSET MMT	012	CNI	SS	126	64.18	n/a	n/a	6.30	5.0
IMPALA ASSET MMT	012	CNW	B	1,232	30.87	n/a	n/a	49.28	4.0
JET CAPITAL/CHRIS	041	COGT	S	100,000	10.78	n/a	n/a	3,000.00	3.0
ROTHSCHILD ASSET	040	COO	B	3,270	46.33	n/a	n/a	130.80	4.0
IMPALA ASSET MMT	012	CP	B	305	60.94	n/a	n/a	15.25	5.0
MERRILL ASSET/BLACKROCK	266	CRR	S	1,000	81.25	n/a	30-Sep	40.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LISTED ERR	099	CRR	B	1,000	81.25	n/a	30-Sep	0.00	0.0
IMPALA ASSET MMT	012	CSX	B	1,078	55.12	n/a	n/a	53.90	5.0
IMPALA ASSET MMT	012	DAC	SS	134	4.47	n/a	n/a	2.68	2.0
BALYASNY ASSET MGMT	044	DAL	S	25,000	12.00	n/a	n/a	1,250.00	5.0
IMPALA ASSET MMT	012	DAL	SS	1,010	11.93	n/a	n/a	30.30	3.0
SOROS	036	DAL	B	100,000	11.86	n/a	n/a	4,000.00	4.0
ACK ASSET	028	DAN	B	42,766	12.41	n/a	2-Aug	1,282.98	3.0
BROADARCH CAP/OLD NEWC	070	DBRN	S	7,100	24.02	n/a	n/a	284.00	4.0
THE JAY GOLDMAN	028	DDS	B	25,000	24.05	n/a	n/a	1,000.00	4.0
IMPALA ASSET MMT	012	DD	B	375	44.81	n/a	23-Sep	18.75	5.0
IMPALA ASSET MMT	012	DE	B	20,215	68.81	n/a	19-Aug	1,010.75	5.0
THOMPSON SIEGAL&WALMSLEY	029	DE	S	85,150	68.69	n/a	19-Aug	3,406.00	4.0
IMPALA ASSET MMT	012	DHI	SS	119	11.07	n/a	n/a	3.57	3.0
BROADARCH CAP/OLD NEWC	070	DOV	B	3,600	52.52	n/a	n/a	144.00	4.0
SOROS	036	DOW	B	200,000	27.84	n/a	24-Aug	8,000.00	4.0
IMPALA ASSET MMT	012	ECHO	SS	178	12.97	n/a	n/a	5.34	3.0
IMPALA ASSET MMT	012	EMN	B	74	74.58	n/a	n/a	3.70	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
IMPALA ASSET MMT	012	EOG	SS	102	96.10	n/a	n/a	5.10	5.0
IMPALA ASSET MMT	012	ERJ	SS	179	28.42	n/a	n/a	7.16	4.0
IMPALA ASSET MMT	012	EWG	SS	1,077	22.17	n/a	n/a	43.08	4.0
IMPALA ASSET MMT	012	EWY	SS	1	54.45	n/a	n/a	0.05	5.0
SONTERRA CAP	041	EXC	SS	10,000	42.97	n/a	n/a	400.00	4.0
IMPALA ASSET MMT	012	EXPD	SS	56	46.13	n/a	n/a	2.80	5.0
IMPALA ASSET MMT	012	EXPE	B	46	27.69	n/a	n/a	1.84	4.0
IMPALA ASSET MMT	012	FBN	B	1,018	5.57	n/a	n/a	20.36	2.0
IMPALA ASSET MMT	012	FDX	B	599	86.02	n/a	n/a	29.95	5.0
NEW JERSEY DIV OF INV.	030	FLR	S	42,000	50.37	n/a	n/a	1,680.00	4.0
EVERCORE WEALTH MGMT	012	FOR	B	15,000	16.94	n/a	26-Aug	600.00	4.0
IMPALA ASSET MMT	012	FRO	SS	324	28.23	n/a	n/a	12.96	4.0
MILLENNIUM PARTNERS ICSUS	041	FST	B	15,000	30.00	n/a	n/a	750.00	5.0
IMPALA ASSET MMT	012	FWRD	SS	23	25.52	n/a	n/a	0.92	4.0
IMPALA ASSET MMT	012	FWS	B	1,254	4.31	n/a	n/a	25.08	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	F	S	50,000	12.34	n/a	30-Sep	2,500.00	5.0
IMPALA ASSET MMT	012	F	B	7,480	12.27	n/a	30-Sep	224.40	3.0
OZ MGMT	040	F	C	22,404	12.33	n/a	30-Sep	672.12	3.0
OZ MGMT	040	F	SS	350,000	12.25	n/a	30-Sep	10,500.00	3.0
TROUBH PART	067	F	SS	50,000	12.23	n/a	30-Sep	2,500.00	5.0
WALL STREET CAPITAL	084	F	B	20,000	12.31	n/a	30-Sep	900.00	4.5
IMPALA ASSET MMT	012	GBX	B	235	16.01	n/a	n/a	9.40	4.0
IMPALA ASSET MMT	012	GNK	SS	328	15.97	n/a	n/a	13.12	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GPS</b>	<b>SS</b>	<b>100,000</b>	<b>18.47</b>	<b>n/a</b>	<b>n/a</b>	<b>4,000.00</b>	<b>4.0</b>
IMPALA ASSET MMT	012	GS	SS	23	147.57	n/a	22-Sep	1.15	5.0
IMPALA ASSET MMT	012	GWR	B	387	42.83	n/a	n/a	19.35	5.0
ROARING BLUE LION MGMT	012	GYMB	S	10,700	49.02	n/a	1-Oct	428.00	4.0
IMPALA ASSET MMT	012	HK	B	80	16.46	n/a	n/a	3.20	4.0
IMPALA ASSET MMT	012	HOG	B	1,971	28.56	n/a	n/a	78.84	4.0
IMPALA ASSET MMT	012	HP	B	412	40.40	n/a	n/a	20.60	5.0
BALYASNY ASSET MGMT	044	HTZ	B	25,000	10.10	n/a	n/a	1,250.00	5.0
IMPALA ASSET MMT	012	HUBG	B	411	28.90	n/a	n/a	16.44	4.0
IMPALA ASSET MMT	012	IEF	B	2	98.85	n/a	n/a	0.10	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
IMPALA ASSET MMT	012	INT	B	807	26.53	n/a	n/a	32.28	4.0
ARMATURE CAPITAL	041	IP	B	40,000	22.26	n/a	20-Sep	1,600.00	4.0
CHILTON CAPITAL MGMT.	036	IWM	C	1,200,000	67.94	n/a	n/a	36,000.00	3.0
IMPALA ASSET MMT	012	IYT	SS	209	81.34	n/a	n/a	10.45	5.0
IMPALA ASSET MMT	012	JBHT	B	1,755	34.44	n/a	n/a	70.20	4.0
IMPALA ASSET MMT	012	JBHT	S	58,000	34.59	n/a	n/a	2,320.00	4.0
IMPALA ASSET MMT	012	JCG	B	302	33.32	n/a	n/a	12.08	4.0
THE JAY GOLDMAN	028	JCP	S	25,000	27.44	n/a	1-Oct	1,000.00	4.0
MILLENNIUM PARTNERS ICSUS	041	JEC	SS	15,000	39.41	n/a	n/a	750.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JNY</b>	<b>S</b>	<b>50,000</b>	<b>19.30</b>	<b>n/a</b>	<b>29-Jul</b>	<b>2,000.00</b>	<b>4.0</b>
MILLENNIUM PARTNERS ICSUS	041	KBR	B	25,000	24.93	n/a	n/a	1,250.00	5.0
SYSTEMATIC FINANCIAL MGT	035	KEY	B	652,200	8.17	n/a	n/a	19,566.00	3.0
IMPALA ASSET MMT	012	KMB	SS	105	65.06	n/a	26-Jul	5.25	5.0
IMPALA ASSET MMT	012	KNX	B	52,880	19.06	n/a	n/a	2,115.20	4.0
IMPALA ASSET MMT	012	KNX	SS	212	19.09	n/a	n/a	8.48	4.0
IMPALA ASSET MMT	012	LCC	SS	1,637	9.29	n/a	n/a	32.74	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	LEA	S	12,813	78.62	n/a	4-Aug	640.65	5.0
IMPALA ASSET MMT	012	LEN	SS	72	15.64	n/a	n/a	2.88	4.0
NEW JERSEY DIV OF INV.	030	LM	B	50,000	30.68	n/a	2-Mar	2,000.00	4.0
SIGMA CAPITAL ASSOCIATES	041	LTD	B	125,000	26.74	n/a	n/a	4,375.00	3.5
CAPITAL GROWTH MGMT.	241	LVS	B	300,000	34.99	n/a	10-Sep	15,000.00	5.0
IMPALA ASSET MMT	012	LVS	B	1,188	35.11	n/a	10-Sep	47.52	4.0
IMPALA ASSET MMT	012	LZ	B	240	106.38	n/a	n/a	12.00	5.0
BALYASNY ASSET MGMT	044	MCP	SS	11,300	29.59	n/a	n/a	565.00	5.0
IMPALA ASSET MMT	012	MEE	B	261	31.61	n/a	n/a	10.44	4.0
IMPALA ASSET MMT	012	MGM	B	535	11.26	n/a	10-Sep	16.05	3.0
IMPALA ASSET MMT	012	MON	B	104	48.26	n/a	28-Sep	5.20	5.0
PIIONEER PATH	226	MPER	S	100,000	5.11	n/a	1-Sep	3,000.00	3.0
RWC PARTNERS LTD	067	MRO	B	424,950	33.70	n/a	n/a	12,748.50	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>M</b>	<b>S</b>	<b>120,000</b>	<b>23.19</b>	<b>n/a</b>	<b>1-Oct</b>	<b>4,800.00</b>	<b>4.0</b>
IMPALA ASSET MMT	012	NAT	SS	286	26.73	n/a	n/a	11.44	4.0
IMPALA ASSET MMT	012	NAV	SS	59	43.42	n/a	n/a	2.95	5.0



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEW JERSEY DIV OF INV.	030	NC	S	9,279	88.71	n/a	n/a	371.16	4.0
IMPALA ASSET MMT	012	NKE	SS	782	80.33	n/a	n/a	39.10	5.0
TPG-AXON	040	NOK	SS	310,000	10.25	n/a	n/a	15,500.00	5.0
IMPALA ASSET MMT	012	NSC	SS	381	59.02	n/a	n/a	19.05	5.0
IMPALA ASSET MMT	012	NVR	B	79	642.42	n/a	n/a	3.95	5.0
IMPALA ASSET MMT	012	ODFL	B	1	25.00	n/a	n/a	0.04	4.0
BALYASNY ASSET MGMT	044	PAG	S	10,600	13.26	n/a	4-Aug	530.00	5.0
IMPALA ASSET MMT	012	PCAR	B	496	48.46	n/a	28-Jul	24.80	5.0
IMPALA ASSET MMT	012	PCL	S	90	35.48	n/a	26-Aug	3.60	4.0
RBC CAPITAL MARKETS	040	PCX	B	20,000	11.75	n/a	n/a	800.00	4.0
TYEE/TYGH	035	PDCO	S	20,200	28.73	n/a	n/a	808.00	4.0
MILLENNIUM PARTNERS ICSUS	041	PDE	B	5,000	29.86	n/a	n/a	250.00	5.0
IMPALA ASSET MMT	012	PHM	SS	299	8.73	n/a	n/a	5.98	2.0
METROPOLITAN CAPITAL	044	PLCE	S	18,000	51.40	n/a	19-Aug	900.00	5.0
ROARING BLUE LION MGMT	012	PLCE	S	1,200	51.70	n/a	19-Aug	48.00	4.0
IMPALA ASSET MMT	012	POT	B	45	142.76	n/a	n/a	2.25	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
IMPALA ASSET MMT	012	PPG	B	74	73.11	n/a	16-Jul	3.70	5.0
NEW JERSEY DIV OF INV.	030	PRU	B	20,000	53.48	n/a	n/a	800.00	4.0
IMPALA ASSET MMT	012	RAIL	B	547	24.61	n/a	n/a	21.88	4.0
IMPALA ASSET MMT	012	RIG	SS	48	64.38	n/a	n/a	2.40	5.0
IMPALA ASSET MMT	012	RRR	B	52	7.48	n/a	23-Jul	1.04	2.0
IMPALA ASSET MMT	012	RYL	B	129	17.70	n/a	n/a	5.16	4.0
IMPALA ASSET MMT	012	SAI	SS	367	15.98	n/a	n/a	14.68	4.0
IMPALA ASSET MMT	012	SEE	SS	300	22.78	n/a	n/a	12.00	4.0
IMPALA ASSET MMT	012	SHO	B	523	9.26	n/a	n/a	10.46	2.0
IMPALA ASSET MMT	012	SHO	S	34,700	9.06	n/a	n/a	694.00	2.0
<b>LISTED ERR</b>	<b>099</b>	<b>SHW</b>	<b>B</b>	<b>4,400</b>	<b>74.62</b>	<b>n/a</b>	<b>1-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>SHW</b>	<b>SS</b>	<b>4,400</b>	<b>74.52</b>	<b>n/a</b>	<b>1-Sep</b>	<b>0.00</b>	<b>0.0</b>
IMPALA ASSET MMT	012	SHY	SS	36	84.32	n/a	n/a	1.80	5.0
SUN AMERICA ASSET MGMT	030	SIG	B	19,100	32.25	n/a	n/a	764.00	4.0
IMPALA ASSET MMT	012	SLGN	B	210	31.93	n/a	n/a	8.40	4.0
IMPALA ASSET MMT	012	SMG	B	86	51.90	n/a	11-Aug	4.30	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHFIELDS CAP MGMT	030	SPLS	B	100,000	20.95	n/a	n/a	5,000.00	5.0
IMPALA ASSET MMT	012	SPY	SS	984	114.56	n/a	n/a	42.18	4.5
BIXBY LLC	070	SSCC	B	2,500	18.75	n/a	20-Sep	75.00	3.0
JANA CAPITAL	044	SSCC	B	80,000	18.76	n/a	20-Sep	3,200.00	4.0
NEW JERSEY DIV OF INV.	030	STJ	S	20,000	39.37	n/a	n/a	800.00	4.0
MILLENNIUM PARTNERS ICSUS	041	SWN	SS	25,000	33.37	n/a	30-Sep	1,250.00	5.0
RBC CAPITAL MARKETS	040	TCK	S	10,000	41.82	n/a	n/a	400.00	4.0
IMPALA ASSET MMT	012	TGH	SS	39	26.70	n/a	n/a	1.56	4.0
IMPALA ASSET MMT	012	THD	B	30	62.81	n/a	n/a	1.50	5.0
IMPALA ASSET MMT	012	TIF	B	115	46.90	n/a	n/a	5.75	5.0
BALYASNY ASSET MGMT	044	TIN	SS	25,000	19.21	n/a	20-Sep	1,250.00	5.0
IMPALA ASSET MMT	012	TIN	B	59	19.24	n/a	20-Sep	2.36	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TLB</b>	<b>S</b>	<b>58,000</b>	<b>12.75</b>	<b>n/a</b>	<b>n/a</b>	<b>2,320.00</b>	<b>4.0</b>
MILLENNIUM PARTNERS ICSUS	041	TLM	S	25,000	17.62	n/a	n/a	1,250.00	5.0
IMPALA ASSET MMT	012	TRN	S	1,057	22.52	n/a	n/a	42.28	4.0
NEW JERSEY DIV OF INV.	030	TRW	S	30,000	41.12	n/a	n/a	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
IMPALA ASSET MMT	012	UNP	B	867	80.94	n/a	n/a	43.35	5.0
IMPALA ASSET MMT	012	UPS	B	964	66.58	n/a	n/a	48.20	5.0
IMPALA ASSET MMT	012	URBN	SS	148	31.45	n/a	n/a	5.92	4.0
IMPALA ASSET MMT	012	URI	B	1,671	14.87	n/a	n/a	50.13	3.0
IMPALA ASSET MMT	012	UTIW	B	1,928	16.08	n/a	n/a	77.12	4.0
IMPALA ASSET MMT	012	VXX	B	667	17.15	n/a	n/a	26.68	4.0
IMPALA ASSET MMT	012	WAB	SS	46	47.58	n/a	n/a	2.30	5.0
IMPALA ASSET MMT	012	WERN	SS	345	20.36	n/a	n/a	13.80	4.0
IMPALA ASSET MMT	012	WHR	B	543	80.34	n/a	n/a	27.15	5.0
NEW JERSEY DIV OF INV.	030	WHR	S	50,000	80.21	n/a	n/a	2,000.00	4.0
MERRILL ASSET/BLACKROCK	266	WLL	S	2,500	97.10	n/a	n/a	100.00	4.0
IMPALA ASSET MMT	012	WLT	B	148	81.98	n/a	n/a	7.40	5.0
IMPALA ASSET MMT	012	WXS	SS	321	35.86	n/a	n/a	12.84	4.0
IMPALA ASSET MMT	012	WYN	B	2,518	27.39	n/a	n/a	100.72	4.0
BALYASNY ASSET MGMT	044	WY	SS	25,000	16.13	n/a	26-Aug	1,250.00	5.0
IMPALA ASSET MMT	012	XLY	SS	790	33.44	n/a	n/a	31.60	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
IMPALA ASSET MMT	012	X	B	35	43.61	n/a	n/a	1.75	5.0
HOLLIS CAPITAL	033	YUM	B	10,000	46.47	n/a	29-Sep	500.00	5.0
<b>TOTAL (Trade Date):</b>							<b>241,396.64</b>		

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	10/01	ACK ASSET (ACKAMSPB)	028	DAN	B	42,766	12.41	n/a	2-Aug	1282.98 3.0
AO,CXL	09/30	DSG CAPITAL (DSGCJEFF)	225	SWN	B	4,000	33.17	n/a	30-Sep	200.00 5.0
AO,CRT	09/30	DSG CAPITAL (DSGCJEFF)	225	SWN	B	4,000	33.17	n/a	30-Sep	120.00 3.0
AO,CRT	09/30	PENNANT CAP MGMT (PENAGSPB)	029	SWY	SS	15,000	21.16	n/a	n/a	450.00 3.0
AO,CXL	09/30	PENNANT CAP MGMT (PENAMSPB)	029	SWY	SS	15,000	21.16	n/a	n/a	450.00 3.0

---

<b>TOTAL (AO, CXL, CRT) :</b>	<b>1,202.98</b>
-------------------------------	-----------------

---

---

TOTAL (Trade Date) :	241,396.64
TOTAL (AO, CXL, CRT) :	1,202.98

---

<b>TOTAL (RUN DATE) / NFS :</b>	<b>242,599.62</b>
---------------------------------	-------------------

---

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