



# Daily Compliance Activity Report

Trade Date: 10/14/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>Õ Alice Longley</b>  ADAGE CAPITAL MGMT <b>BUCK CAPITAL MGMT</b> COUGAR TRADING COUGAR TRADING JMP ASSET MGMT  <b>LISTED ERR</b> <b>LISTED ERR</b>  NEW JERSEY DIV OF INV.	  030 <b>001</b> 044 044 210  <b>099</b> <b>099</b>  220	<b>AAPL</b>  AEO <b>AEO</b> AEO AEO AEO  <b>AG</b> <b>AG</b>  AHT	  B <b>S</b> B S B  <b>B</b> <b>S</b>  S	  35,000 <b>200,000</b> 10,000 30,000 1,000  <b>4,000</b> <b>4,000</b>  112,000	  10.94 <b>10.61</b> 11.50 10.67 10.87  <b>35.30</b> <b>35.30</b>  2.31	  n/a <b>n/a</b> n/a n/a n/a  <b>n/a</b> <b>n/a</b>  n/a	  10-Oct <b>10-Oct</b> 10-Oct 10-Oct 10-Oct  <b>30-Jul</b> <b>30-Jul</b>  n/a	  1,400.00 <b>8,000.00</b> 500.00 1,500.00 50.00  <b>0.00</b> <b>0.00</b>  4,480.00	  4.0 <b>4.0</b> 5.0 5.0 5.0  <b>0.0</b> <b>0.0</b>  4.0
<b>Õ Joel Tiss</b>  <b>BUCK CAPITAL MGMT</b>  CATAPULT  <b>BUCK CAPITAL MGMT</b> COUGAR TRADING  NATIONAL BK OF CAN <b>LISTED ERR</b> <b>LISTED ERR</b>  BEAR STEARNS ASSET MGMT.	  <b>001</b>  040  <b>001</b> 044  031 <b>099</b> <b>099</b>  033	<b>AMGN</b>  <b>ANF</b>  ARG  <b>ARO</b> ARO  BAC <b>BAC</b> <b>BAC</b>  BBY	  <b>S</b>  <b>S</b>  S  <b>S</b> S  S <b>B</b> <b>S</b>  C	  <b>4000</b> <b>20,000</b>  4,000  <b>20,000</b> 5,000  30,000 <b>10,000</b> <b>10,000</b>  43,100	  <b>50.0000</b> <b>28.44</b>  40.98  <b>25.67</b> 25.85  25.75 <b>25.60</b> <b>25.75</b>  27.46	  <b>n/a</b>  7-Aug  13-Oct  <b>n/a</b> n/a  <b>n/a</b> <b>n/a</b>  n/a	  <b>26-Jan</b>  <b>10-Oct</b>  13-Oct  <b>10-Oct</b> 10-Oct  9-Oct <b>9-Oct</b> <b>9-Oct</b>  n/a	  <b>0.00</b> <b>800.00</b>  200.00  <b>800.00</b> 250.00  1,200.00 <b>0.00</b> <b>0.00</b>  1,724.00	  <b>0.0</b> <b>4.0</b>  5.0  <b>4.0</b> 5.0  4.0 <b>0.0</b> <b>0.0</b>  4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	BBY	SS	20,000	26.82	n/a	27-Jul	800.00	4.0
SANDLER O'NEILL ASSET	031	BK	S	40,000	34.91	9-Oct	9-Oct	2,000.00	5.0
HART	056	CJR	B	1	1.80	n/a	n/a	0.00	0.0
HART	056	CJR	S	1	1.26	n/a	n/a	0.00	0.0
CATTANI	041	CLDN	S	200	9.62	n/a	n/a	0.00	0.0
CASTLE ARK	031	CMG	SS	980	50.10	13-Oct	13-Oct	58.80	6.0
BUCK CAPITAL MGMT	001	COH	SS	1,000	21.16	8-Oct	8-Oct	40.00	4.0
PRINCIPLE CAPITAL	040	COH	SS	54,200	19.89	8-Oct	8-Oct	1,626.00	3.0
BEAR STEARNS ASSET MGMT.	033	COST	SS	74,000	59.52	n/a	27-Jul	2,960.00	4.0
KNOTT PARTNERS	044	COST	B	20,000	60.73	n/a	27-Jul	800.00	4.0
J ROSELTD	034	COV	S	25	48.75	n/a	n/a	0.00	0.0
Õ Doug Rogers		CPN	S	10136	9.6000	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	CRI	S	60,000	16.25	n/a	n/a	2,400.00	4.0
PRINCIPLE CAPITAL	040	CRM	SS	37,900	36.61	n/a	n/a	1,137.00	3.0
HUNTER GLOBAL INVESTOR	067	CSCO	S	100,000	19.29	n/a	22-Mar	4,000.00	4.0
PRINCIPLE CAPITAL	040	CVS	B	36,200	30.58	n/a	n/a	1,086.00	3.0
KORMAN	003	C	SS	3,000	18.31	15-Sep	9-Oct	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROTHSCHILD ASSET	040	DD	S	18,640	37.23	n/a	30-Sep	838.80	4.5
Õ Alice Longley		DEO	B	100	63.8000	n/a	n/a	0.00	0.0
CHIARMONTE	N10	DIS	B	12	27.59	n/a	n/a	0.00	0.0
ROLON	N11	DIS	B	5	27.59	n/a	n/a	0.00	0.0
FRONTPOINT/COPIA-ANDREW	031	DOW	B	168,000	25.85	n/a	25-Sep	5,880.00	3.5
BULL PATH CAPITAL	044	DRI	S	59,500	22.54	13-Oct	13-Oct	2,975.00	5.0
THE BOSTON COMPANY	401	DSW	S	22,800	11.89	7-Oct	7-Oct	912.00	4.0
OGORMAN	046	DXD	B	200	78.58	n/a	n/a	0.00	0.0
BECK MACK & OLIVER LLC	045	ECA	B	5,000	49.00	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	EL	SS	50,000	40.11	15-Aug	4-Sep	2,000.00	4.0
FRONTPOINT/COPIA-ANDREW	031	EOG	S	200,000	70.38	n/a	n/a	7,000.00	3.5
S CAST	016	EPG	B	200	1.34	n/a	n/a	0.00	0.0
WILLOW CREEK	033	ERTS	SS	2,500	31.33	n/a	n/a	100.00	4.0
NEW JERSEY DIV OF INV.	220	ESS	B	9,500	102.71	n/a	n/a	380.00	4.0
BRUNNER	012	ETN	S	400	51.03	3-Oct	3-Oct	0.00	0.0
NOLAN	067	FCX	S	60	43.60	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	FDO	B	70,000	25.84	23-Jul	9-Oct	2,800.00	4.0
GRISANTI BROWN & PARTNER	048	FDX	B	82,160	73.25	n/a	n/a	4,108.00	5.0
Õ James Mitchell		FITB	S	100	13.1100	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	FL	S	66,600	14.36	7-Oct	7-Oct	2,664.00	4.0
JMP ASSET MGMT	210	FOSL	S	5,000	19.54	13-Oct	13-Oct	250.00	5.0
Õ Joel Tiss		FRP	S	80	5.9100	n/a	n/a	0.00	0.0
GAULT	063	FXP	S	1,000	91.80	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GCO	B	40,000	27.82	n/a	10-Jan	1,600.00	4.0
BEAR STEARNS ASSET MGMT.	033	GD	S	20,000	61.94	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	GES	B	10,000	26.99	n/a	n/a	400.00	4.0
JMP ASSET MGMT	210	GES	B	300	28.03	n/a	n/a	15.00	5.0
TANG	058	GE	B	200	20.83	n/a	n/a	0.00	0.0
JP MORGAN VENTURES	046	GIL	S	15,000	20.45	8-Sep	8-Oct	750.00	5.0
HART	056	GMWJ	B	30	1.94	n/a	n/a	0.00	0.0
AELTUS/ING INVESTMENT MGT	044	GPS	B	160,590	14.76	n/a	13-Oct	5,620.65	3.5
COUGAR TRADING	044	GPS	B	10,000	15.49	n/a	13-Oct	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ Alice Longley		GS	B	100127.9800		15-Sep	24-Sep	0.00	0.0
UBS OCONNOR	031	GS	SS	25,000	122.80	15-Sep	24-Sep	750.00	3.0
BUCK	015	GS	B	1,000	120.28	15-Sep	24-Sep	0.00	0.0
WILLOW CREEK	033	GVA	SS	4,000	28.99	n/a	n/a	160.00	4.0
COUGAR TRADING	044	GYMB	B	5,000	30.46	11-Jul	10-Oct	250.00	5.0
NEW JERSEY DIV OF INV.	220	HME	B	22,500	45.54	n/a	n/a	900.00	4.0
WILLOW CREEK	033	HOG	SS	2,000	30.59	n/a	n/a	80.00	4.0
WILLOW CREEK	033	HOT	SS	4,000	24.90	n/a	n/a	160.00	4.0
WILLOW CREEK	033	HPQ	SS	2,000	41.67	n/a	n/a	80.00	4.0
BRUNNER	012	HRS	S	500	38.91	3-Oct	3-Oct	0.00	0.0
WILLOW CREEK	033	IT	SS	2,000	20.07	n/a	n/a	80.00	4.0
Õ Alice Longley		JNJ	B	400	67.3500	n/a	22-Apr	0.00	0.0
BUCK CAPITAL MGMT	001	JNY	B	30,000	14.24	n/a	8-Oct	1,200.00	4.0
Õ James Mitchell		KEY	S	100	11.8600	n/a	n/a	0.00	0.0
WILLOW CREEK	033	KIM	S	4,000	27.75	n/a	n/a	160.00	4.0
MS PRINCIPAL STRATEGIES	041	KOG	S	54,600	0.86	n/a	n/a	1,092.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CASTLEROCK	040	KSS	B	81,433	32.81	n/a	10-Oct	3,257.32	4.0
<b>Joel Tiss</b>		<b>LEHMQ</b>	<b>S</b>	<b>3561</b>	<b>0.1100</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FORD FDN.	032	LLY	B	30,000	35.50	n/a	n/a	1,500.00	5.0
COUGAR TRADING	044	LTD	SS	10,000	12.99	9-Oct	10-Oct	500.00	5.0
JMP ASSET MGMT	210	LULU	S	7,600	16.28	n/a	n/a	304.00	4.0
NEW JERSEY DIV OF INV.	220	MAA	B	5,200	44.05	n/a	n/a	208.00	4.0
AELTUS/ING INVESTMENT MGT	044	MCD	S	223,800	56.50	13-Oct	13-Oct	7,833.00	3.5
PRINCIPLE CAPITAL	040	MCD	SS	39,300	56.27	13-Oct	13-Oct	1,572.00	4.0
<b>BUCK</b>	<b>015</b>	<b>MCD</b>	<b>S</b>	<b>500</b>	<b>57.28</b>	<b>13-Oct</b>	<b>13-Oct</b>	<b>0.00</b>	<b>0.0</b>
CATAPULT	040	MDR	B	3,900	21.93	n/a	n/a	195.00	5.0
BECK MACK & OLIVER LLC	045	MRK	B	7,000	31.00	n/a	n/a	350.00	5.0
UBS OCONNOR	031	MS	B	50,000	20.83	15-Sep	13-Oct	1,500.00	3.0
<b>OGORMAN</b>	<b>046</b>	<b>MS</b>	<b>C</b>	<b>300</b>	<b>21.78</b>	<b>15-Sep</b>	<b>13-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>BRUNNER</b>	<b>012</b>	<b>MTRX</b>	<b>S</b>	<b>2,000</b>	<b>10.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>KORMAN</b>	<b>003</b>	<b>MWO</b>	<b>B</b>	<b>2,902</b>	<b>12.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>GRONET</b>	<b>030</b>	<b>MWO</b>	<b>B</b>	<b>1,000</b>	<b>11.63</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>OGORMAN</b>	<b>046</b>	<b>MWO</b>	<b>B</b>	<b>500</b>	<b>11.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ADAGE CAPITAL MGMT	030	M	B	150,000	10.54	12-Aug	10-Oct	6,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FRONTPOINT/COPIA-ANDREW	031	NBR	S	160,000	16.76	n/a	n/a	5,600.00	3.5
Õ James Mitchell		NCC	S	250	3.2600	n/a	n/a	0.00	0.0
KAICHER	064	NCC	S	2,500	3.42	n/a	n/a	0.00	0.0
WILLOW CREEK	033	NZ	SS	6,000	9.75	n/a	n/a	240.00	4.0
WILLOW CREEK	033	OC	SS	3,000	19.73	n/a	n/a	120.00	4.0
VALHALLA CAPITAL LP	041	ORCL	B	10,000	19.38	n/a	n/a	300.00	3.0
Õ Alice Longley		PEP	B	300	55.0000	n/a	n/a	0.00	0.0
FORD FDN.	032	PFE	S	46,000	17.07	n/a	31-Mar	2,300.00	5.0
PZENA INV ADV	044	PFE	S	50,000	17.15	n/a	31-Mar	1,750.15	3.5
SUN AMERICA ASSET MGMT	030	PFE	S	20,000	17.00	n/a	31-Mar	800.00	4.0
N STRATTON	014	PNWIF	B	500	1.70	n/a	n/a	0.00	0.0
MS PRINCIPAL STRATEGIES	041	PTNR	B	30,800	19.67	n/a	n/a	1,540.00	5.0
MILLER	025	RIMM	S	10	65.31	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	RL	SS	30,000	50.96	n/a	8-Oct	1,200.00	4.0
CATTANI	041	RL	B	300	55.55	n/a	8-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	RSH	B	7,700	15.17	n/a	n/a	308.00	4.0
PHILADELPHIA FINANCIAL	033	SCHW	B	89,147	22.57	n/a	n/a	3,565.88	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AMATURO	018	SDS	B	300	87.03	n/a	n/a	0.00	0.0
MCCARTAN	028	SDS	B	100	79.80	n/a	n/a	0.00	0.0
OGORMAN	046	SDS	B	200	88.73	n/a	n/a	0.00	0.0
WILLOW CREEK	033	SHW	SS	2,000	53.64	n/a	14-Oct	80.00	4.0
Õ Joel Tiss		SKM	S	2000	18.3000	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKS	B	13,700	6.53	n/a	n/a	548.00	4.0
THE BOSTON COMPANY	401	SKX	B	50,170	13.33	n/a	13-Mar	2,006.80	4.0
COUGAR TRADING	044	SLM	B	25,000	10.39	n/a	14-Oct	1,250.00	5.0
STRONG/WELL HOWARD	038	SNV	B	325,000	9.83	n/a	n/a	13,000.00	4.0
MAGNETAR FINANCIAL	031	SPY	S	215,000	103.58	n/a	n/a	6,450.00	3.0
KNOTT PARTNERS	044	SSI	B	30,000	9.07	n/a	10-Oct	900.00	3.0
HUNTER GLOBAL INVESTOR	067	SVU	SS	41,875	20.03	n/a	n/a	2,093.75	5.0
KERN	050	SWNVF	B	20	1.35	n/a	n/a	0.00	0.0
WILLOW CREEK	033	TGT	SS	4,000	40.60	n/a	9-Oct	160.00	4.0
COUGAR TRADING	044	TIF	B	5,000	29.12	n/a	10-Oct	250.00	5.0
COUGAR TRADING	044	TIF	SS	15,000	32.50	n/a	10-Oct	750.00	5.0
PRINCIPLE CAPITAL	040	TIF	SS	58,500	30.05	n/a	10-Oct	1,755.00	3.0



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JMP ASSET MGMT	210	TITN	B	500	15.25	n/a	n/a	20.00	4.0
LAGRANGE CAP ADV	048	TSCM	S	8,703	4.00	n/a	n/a	435.15	5.0
COUGAR TRADING	044	URBN	SS	5,000	25.64	14-Aug	1-Oct	250.00	5.0
BRUNNER	012	URE	B	1,000	14.02	n/a	n/a	0.00	0.0
BRUNNER	012	URE	S	1,000	14.61	n/a	n/a	0.00	0.0
HART	056	UYG	B	500	12.64	n/a	n/a	0.00	0.0
HART	056	UYG	S	500	12.29	n/a	n/a	0.00	0.0
J ROSELT D	034	VLY	S	1,214	19.35	n/a	n/a	0.00	0.0
JMP ASSET MGMT	210	WAG	B	1,500	23.09	n/a	n/a	60.00	4.0
FRONTPOINT CHRIS C	041	WMI	S	8,200	31.18	n/a	n/a	328.00	4.0
BUCK CAPITAL MGMT	001	WRC	B	10,000	31.16	8-Oct	8-Oct	400.00	4.0
POST ROAD CAP	045	WSM	B	16,700	12.98	n/a	n/a	501.00	3.0
BUCK	015	WY	S	1,000	48.12	n/a	11-Sep	0.00	0.0
WILLOW CREEK	033	XLNX	SS	3,000	21.01	n/a	n/a	120.00	4.0
NEW JERSEY DIV OF INV.	220	YSI	S	110,000	8.51	n/a	n/a	4,400.00	4.0
BUCK CAPITAL MGMT	001	ZLC	SS	60,000	17.64	n/a	n/a	2,400.00	4.0

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**TOTAL (Trade Date):**

**161,668.30**

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# Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CRT	10/14	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	AEO	S	199,900	10.61	n/a	10-Oct	7996.00	4.0
AO,CRT	10/13	SOROS (SOROCSPB)	036	BA	B	93,500	43.22	n/a	n/a	3740.00	4.0
AO,CXL	10/13	SOROS (SOROGS004)	036	BA	B	93,500	43.22	n/a	n/a	3740.00	4.0
AO,CRT	10/10	OGORMAN (OGORMAN)	046	DDM	B	500	30.05	n/a	n/a	0.00	0.0
AO,CXL	10/10	OGORMAN (OGORMAN)	046	DDM	B	500	30.05	n/a	n/a	0.00	0.0
AO,CRT	10/13	OGORMAN (OGORMAN)	046	DDM	S	500	35.08	n/a	n/a	0.00	0.0
AO,CXL	10/13	OGORMAN (OGORMAN)	046	DDM	S	500	35.08	n/a	n/a	0.00	0.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS8060)	048	FDX	B	100	70.18	n/a	n/a	5.00	5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS7154)	048	FDX	B	100	70.18	n/a	n/a	5.00	5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS8063)	048	FDX	B	200	70.18	n/a	n/a	10.00	5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS7920)	048	FDX	B	300	70.18	n/a	n/a	15.00	5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS8067)	048	FDX	B	300	70.18	n/a	n/a	15.00	5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS7921)	048	FDX	B	100	70.18	n/a	n/a	5.00	5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS8068)	048	FDX	B	200	70.18	n/a	n/a	10.00	5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS7926)	048	FDX	B	500	70.18	n/a	n/a	25.00	5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS8069)	048	FDX	B	100	70.18	n/a	n/a	5.00	5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS7945)	048	FDX	B	600	70.18	n/a	n/a	30.00	5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS8071)	048	FDX	B	1,100	70.18	n/a	n/a	55.00	5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS7948)	048	FDX	B	100	70.18	n/a	n/a	5.00	5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS8072)	048	FDX	B	800	70.18	n/a	n/a	40.00	5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS1088)	048	FDX	B	100	70.18	n/a	n/a	5.00	5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS8080)	048	FDX	B	100	70.18	n/a	n/a	5.00	5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS1090)	048	FDX	B	100	70.18	n/a	n/a	5.00	5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS8086)	048	FDX	B	100	70.18	n/a	n/a	5.00	5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS2020)	048	FDX	B	100	70.18	n/a	n/a	5.00	5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS3018)	048	FDX	B	100	70.18	n/a	n/a	5.00 5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS1081)	048	FDX	B	100	70.18	n/a	n/a	5.00 5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS2025)	048	FDX	B	100	70.18	n/a	n/a	5.00 5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS3023)	048	FDX	B	100	70.18	n/a	n/a	5.00 5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS975)	048	FDX	B	200	70.18	n/a	n/a	10.00 5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS2026)	048	FDX	B	100	70.18	n/a	n/a	5.00 5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS3024)	048	FDX	B	200	70.18	n/a	n/a	10.00 5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS1013)	048	FDX	B	600	70.18	n/a	n/a	30.00 5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS2052)	048	FDX	B	100	70.18	n/a	n/a	5.00 5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS3026)	048	FDX	B	100	70.18	n/a	n/a	5.00 5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS976)	048	FDX	B	100	70.18	n/a	n/a	5.00 5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS2560)	048	FDX	B	100	70.18	n/a	n/a	5.00 5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS3021)	048	FDX	B	100	70.18	n/a	n/a	5.00 5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS991)	048	FDX	B	100	70.18	n/a	n/a	5.00 5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS2570)	048	FDX	B	100	70.18	n/a	n/a	5.00 5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS3029)	048	FDX	B	300	70.18	n/a	n/a	15.00 5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS9991)	048	FDX	B	1,600	70.18	n/a	n/a	80.00 5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS2900)	048	FDX	B	600	70.18	n/a	n/a	30.00 5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS3031)	048	FDX	B	200	70.18	n/a	n/a	10.00 5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS8014)	048	FDX	B	200	70.18	n/a	n/a	10.00 5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS2901)	048	FDX	B	900	70.18	n/a	n/a	45.00 5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS3032)	048	FDX	B	100	70.18	n/a	n/a	5.00 5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS970)	048	FDX	B	100	70.18	n/a	n/a	5.00 5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS2951)	048	FDX	B	200	70.18	n/a	n/a	10.00 5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS3035)	048	FDX	B	1,800	70.18	n/a	n/a	90.00 5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS912)	048	FDX	B	1,100	70.18	n/a	n/a	55.00 5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS3001)	048	FDX	B	100	70.18	n/a	n/a	5.00 5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS3039)	048	FDX	B	100	70.18	n/a	n/a	5.00 5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS3002)	048	FDX	B	100	70.18	n/a	n/a	5.00 5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS3040)	048	FDX	B	100	70.18	n/a	n/a	5.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS7969)	048	FDX	B	600	70.18	n/a	n/a	30.00	5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS3045)	048	FDX	B	300	70.18	n/a	n/a	15.00	5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS7990)	048	FDX	B	400	70.18	n/a	n/a	20.00	5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS3048)	048	FDX	B	100	70.18	n/a	n/a	5.00	5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS7996)	048	FDX	B	4,000	70.18	n/a	n/a	200.00	5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS3049)	048	FDX	B	100	70.18	n/a	n/a	5.00	5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS7999)	048	FDX	B	300	70.18	n/a	n/a	15.00	5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS350)	048	FDX	B	200	70.18	n/a	n/a	10.00	5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS8010)	048	FDX	B	800	70.18	n/a	n/a	40.00	5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS600)	048	FDX	B	1,400	70.18	n/a	n/a	70.00	5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS8031)	048	FDX	B	400	70.18	n/a	n/a	20.00	5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS6001)	048	FDX	B	3,600	70.18	n/a	n/a	180.00	5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS8034)	048	FDX	B	100	70.18	n/a	n/a	5.00	5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS6017)	048	FDX	B	100	70.18	n/a	n/a	5.00	5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS8038)	048	FDX	B	400	70.18	n/a	n/a	20.00	5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS625)	048	FDX	B	500	70.18	n/a	n/a	25.00	5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS8043)	048	FDX	B	200	70.18	n/a	n/a	10.00	5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS626)	048	FDX	B	100	70.18	n/a	n/a	5.00	5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS1089)	048	FDX	B	100	70.18	n/a	n/a	5.00	5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS630)	048	FDX	B	500	70.18	n/a	n/a	25.00	5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS8053)	048	FDX	B	100	70.18	n/a	n/a	5.00	5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS636)	048	FDX	B	100	70.18	n/a	n/a	5.00	5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS8056)	048	FDX	B	100	70.18	n/a	n/a	5.00	5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS639)	048	FDX	B	100	70.18	n/a	n/a	5.00	5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS8057)	048	FDX	B	300	70.18	n/a	n/a	15.00	5.0
AO,	10/13	GRISANTI BROWN & PARTNER (GRIS7103)	048	FDX	B	400	70.18	n/a	n/a	20.00	5.0
AO,CXL	10/10	HOLDEN CAPITAL MGMT (HOLCJPM)	035	HBI	B	5,600	16.08	n/a	n/a	280.00	5.0
AO,CXL	10/10	HOLDEN CAPITAL MGMT (HOLCMS)	035	HBI	B	11,900	16.08	n/a	n/a	595.00	5.0
AO,	10/10	HOLDEN CAPITAL MGMT (HOLCMS)	035	HBI	B	35,000	16.08	n/a	n/a	1750.00	5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	10/10	HOLDEN CAPITAL MGMT (HOLCJPM)	035	HBI	C	17,500	16.08	n/a	n/a	875.00	5.0
<b>AO,</b>	<b>10/13</b>	<b>BUCK CAPITAL MGMT (BUCK)</b>	<b>015</b>	<b>MS</b>	<b>B</b>	<b>1,500</b>	<b>35.00</b>	<b>15-Sep</b>	<b>13-Oct</b>	<b>0.00</b>	<b>0.0</b>
AO,CXL	10/10	SOLARIS INV MGMT (SOLA19)	029	MYL	S	6,200	6.77	30-May	14-Oct	248.00	4.0
AO,	10/10	SOLARIS INV MGMT (SOLA16)	029	MYL	S	6,200	6.77	30-May	14-Oct	248.00	4.0
AO,	10/13	IRIDIAN ASSET MGMT. (IRAM257)	036	NOV	S	11,910	27.15	n/a	n/a	595.50	5.0
AO,	10/13	IRIDIAN ASSET MGMT. (IRAM246)	036	NOV	S	19,530	27.15	n/a	n/a	976.50	5.0
AO,	10/13	IRIDIAN ASSET MGMT. (IRAM137)	036	NOV	S	40,420	27.15	n/a	n/a	2021.00	5.0
AO,CXL	10/10	HOLDEN CAPITAL MGMT (HOLCJPM)	035	PII	B	4,000	35.09	n/a	n/a	200.00	5.0
AO,CXL	10/10	HOLDEN CAPITAL MGMT (HOLCMS)	035	PII	B	3,000	35.09	n/a	n/a	150.00	5.0
AO,CXL	10/10	HOLDEN CAPITAL MGMT (HOLCJPM)	035	PII	C	3,000	35.09	n/a	n/a	150.00	5.0
AO,	10/10	HOLDEN CAPITAL MGMT (HOLCMS)	035	PII	C	10,000	35.09	n/a	n/a	500.00	5.0
<b>CRT</b>	<b>10/14</b>	<b>CATTANI (CATTANI)</b>	<b>041</b>	<b>RL</b>	<b>B</b>	<b>200</b>	<b>55.52</b>	<b>n/a</b>	<b>8-Oct</b>	<b>0.00</b>	<b>0.0</b>
AO,	10/13	ROTHSCHILD ASSET (ROTH500140)	040	SCL	B	34	40.37	n/a	n/a	1.53	4.5
AO,	10/13	ROTHSCHILD ASSET (ROTH500130)	040	SCL	B	132	40.37	n/a	n/a	5.94	4.5
AO,	10/13	ROTHSCHILD ASSET (ROTH500110)	040	SCL	B	192	40.37	n/a	n/a	8.64	4.5
AO,	10/13	ROTHSCHILD ASSET (ROTH500100)	040	SCL	B	69	40.37	n/a	n/a	3.11	4.5
AO,	10/13	ROTHSCHILD ASSET (ROTH344)	040	SCL	B	54	40.37	n/a	n/a	2.43	4.5
AO,	10/13	ROTHSCHILD ASSET (ROTH000331)	040	SCL	B	169	40.37	n/a	n/a	7.61	4.5
AO,	10/13	ROTHSCHILD ASSET (ROTH347)	040	SCL	B	11	40.37	n/a	n/a	0.50	4.5
AO,	10/13	ROTHSCHILD ASSET (ROTH346)	040	SCL	B	54	40.37	n/a	n/a	2.43	4.5
AO,	10/13	ROTHSCHILD ASSET (ROTH309)	040	SCL	B	1,244	40.37	n/a	n/a	55.98	4.5
AO,	10/13	ROTHSCHILD ASSET (ROTH306)	040	SCL	B	89	40.37	n/a	n/a	4.01	4.5
AO,	10/13	ROTHSCHILD ASSET (ROTH396)	040	SCL	B	1,146	40.37	n/a	n/a	51.57	4.5
AO,	10/13	ROTHSCHILD ASSET (ROTH304)	040	SCL	B	406	40.37	n/a	n/a	18.27	4.5
<b>AO,CRT</b>	<b>10/10</b>	<b>OGORMAN (OGORMAN)</b>	<b>046</b>	<b>SSO</b>	<b>B</b>	<b>400</b>	<b>26.08</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO, CXL	10/10	OGORMAN (OGORMAN)	046	SSO	B	400	26.08	n/a	n/a	0.00	0.0
AO, CRT	10/13	OGORMAN (OGORMAN)	046	SSO	S	400	32.08	n/a	n/a	0.00	0.0
AO, CXL	10/13	OGORMAN (OGORMAN)	046	SSO	S	400	32.08	n/a	n/a	0.00	0.0
AO, CRT	10/13	BALYASNY ASSET MGMT (BALYGS)	044	UNM	S	30,000	18.80	n/a	n/a	1500.00	5.0
AO, CXL	10/13	BALYASNY ASSET MGMT (BALY)	044	UNM	S	30,000	18.80	n/a	n/a	1500.00	5.0
AO, CRT	10/10	OGORMAN (OGORMAN)	046	UYG	B	1,500	9.20	n/a	n/a	0.00	0.0
AO, CXL	10/10	OGORMAN (OGORMAN)	046	UYG	B	1,500	9.20	n/a	n/a	0.00	0.0
AO, CRT	10/13	OGORMAN (OGORMAN)	046	UYG	S	1,500	10.22	n/a	n/a	0.00	0.0
AO, CXL	10/13	OGORMAN (OGORMAN)	046	UYG	S	1,500	10.22	n/a	n/a	0.00	0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>13,251.02</b>	
TOTAL (Trade Date) :										161,668.30	
TOTAL (AO, CXL, CRT) :										13,251.02	
<b>TOTAL (RUN DATE) / NFS:</b>										<b>174,919.32</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