



## Daily Compliance Activity Report

Trade Date: 10/04/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MORGAN BANK /JPM	012	AAPL	B	2,021	156.35	n/a	n/a	40.42	2.0
MORGAN BANK /JPM	012	AA	B	2,054	37.66	n/a	n/a	41.08	2.0
MORGAN BANK /JPM	012	ABC	B	419	44.58	n/a	n/a	8.38	2.0
EGS ASSOCIATES LP	091	ABG	B	3,500	20.04	18-Jun	3-Oct	210.00	6.0
LEDDY	035	ABG	B	100	20.05	18-Jun	3-Oct	0.00	0.0
HART	056	ABG	B	48	20.14	18-Jun	3-Oct	0.00	0.0
MORGAN BANK /JPM	012	ABI	B	426	35.31	n/a	n/a	8.52	2.0
MORGAN BANK /JPM	012	ABT	B	3,591	55.54	n/a	22-Apr	71.82	2.0
MORGAN BANK /JPM	012	ACAS	B	437	44.18	n/a	n/a	8.74	2.0
MORGAN BANK /JPM	012	ACE	B	764	62.27	n/a	n/a	15.28	2.0
MORGAN BANK /JPM	012	ACS	B	231	52.01	n/a	n/a	4.62	2.0
MORGAN BANK /JPM	012	ADBE	B	1,367	44.25	n/a	n/a	27.34	2.0
MORGAN BANK /JPM	012	ADI	B	723	36.18	n/a	n/a	14.46	2.0
MORGAN BANK /JPM	012	ADM	B	1,495	32.83	n/a	1-Oct	29.90	2.0
MORGAN BANK /JPM	012	ADP	B	1,234	47.39	n/a	n/a	24.68	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MORGAN BANK /JPM	012	ADSK	B	534	49.96	n/a	n/a	10.68	2.0
MORGAN BANK /JPM	012	AEE	B	482	53.86	n/a	n/a	9.64	2.0
MORGAN BANK /JPM	012	AEP	B	928	48.03	n/a	n/a	18.56	2.0
MORGAN BANK /JPM	012	AES	B	1,554	20.53	n/a	n/a	31.08	2.0
MORGAN BANK /JPM	012	AET	B	1,188	53.08	n/a	n/a	23.76	2.0
MORGAN BANK /JPM	012	AFL	B	1,135	57.45	n/a	n/a	22.70	2.0
MORGAN BANK /JPM	012	AGN	B	715	66.52	1-Aug	2-Oct	14.30	2.0
MORGAN BANK /JPM	012	AIG	B	5,958	68.92	n/a	n/a	119.16	2.0
MORGAN BANK /JPM	012	AIV	B	225	47.45	n/a	n/a	4.50	2.0
MORGAN BANK /JPM	012	AIZ	B	224	54.74	n/a	n/a	4.48	2.0
RAINIER INV MGMT	035	AIZ	B	120,000	54.71	n/a	n/a	4,800.00	4.0
MORGAN BANK /JPM	012	AKAM	B	385	30.06	n/a	n/a	7.70	2.0
MORGAN BANK /JPM	012	ALL	B	1,359	58.45	n/a	n/a	27.18	2.0
MORGAN BANK /JPM	012	ALTR	B	827	24.47	n/a	n/a	16.54	2.0
MILLENIUM PARTNERS	028	AL	B	10,000	100.30	n/a	n/a	500.00	5.0
MORGAN BANK /JPM	012	AMAT	B	3,202	20.65	n/a	n/a	64.04	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MORGAN BANK /JPM	012	AMD	B	1,278	13.35	n/a	n/a	25.56	2.0
MORGAN BANK /JPM	012	AMGN	B	2,525	55.33	n/a	26-Jan	50.50	2.0
MORGAN BANK /JPM	012	AMP	B	547	65.03	n/a	n/a	10.94	2.0
MORGAN BANK /JPM	012	AMZN	B	710	92.26	n/a	n/a	14.20	2.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>S</b>	<b>20,000</b>	<b>82.81</b>	<b>2-Oct</b>	<b>2-Oct</b>	<b>800.00</b>	<b>4.0</b>
MORGAN BANK /JPM	012	ANF	B	201	82.80	2-Oct	2-Oct	4.02	2.0
MORGAN BANK /JPM	012	AN	B	352	17.97	n/a	27-Jul	7.04	2.0
MORGAN BANK /JPM	012	AOC	B	680	45.70	n/a	n/a	13.60	2.0
MORGAN BANK /JPM	012	APA	B	771	89.66	n/a	3-Oct	15.42	2.0
MORGAN BANK /JPM	012	APC	B	1,078	54.55	22-Jun	3-Oct	21.56	2.0
MORGAN BANK /JPM	012	APD	B	502	95.76	n/a	4-Sep	10.04	2.0
MORGAN BANK /JPM	012	APOL	B	330	62.16	n/a	n/a	6.60	2.0
COUGAR TRADING	044	ARO	S	5,000	20.49	n/a	7-Sep	250.00	5.0
MORGAN BANK /JPM	012	ASD	B	422	35.82	17-Aug	14-Sep	8.44	2.0
MORGAN BANK /JPM	012	ASH	B	130	61.37	9-Jul	4-Sep	2.60	2.0
MORGAN BANK /JPM	012	ASN	B	520	60.56	n/a	n/a	10.40	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MORGAN BANK /JPM	012	ATI	B	237	109.28	n/a	n/a	4.74	2.0
MORGAN BANK /JPM	012	AT	B	814	70.14	n/a	n/a	16.28	2.0
MORGAN BANK /JPM	012	AVB	B	185	122.28	n/a	n/a	3.70	2.0
MORGAN BANK /JPM	012	AVP	B	1,005	37.47	24-Sep	24-Sep	20.10	2.0
MORGAN BANK /JPM	012	AVY	B	247	57.28	13-Aug	11-Sep	4.94	2.0
MORGAN BANK /JPM	012	AV	B	1,062	17.03	n/a	22-Mar	21.24	2.0
MORGAN BANK /JPM	012	AW	B	670	12.80	n/a	n/a	13.40	2.0
CATAPULT	040	AXP	S	5,000	60.21	n/a	n/a	250.00	5.0
MORGAN BANK /JPM	012	AXP	B	2,748	59.76	n/a	n/a	54.96	2.0
MORGAN BANK /JPM	012	AYE	B	386	54.86	n/a	n/a	7.72	2.0
MORGAN BANK /JPM	012	AZO	B	106	120.50	n/a	n/a	2.12	2.0
MORGAN BANK /JPM	012	A	B	898	37.20	n/a	n/a	17.96	2.0
MORGAN BANK /JPM	012	BAC	B	10,310	52.40	20-Apr	20-Sep	206.20	2.0
MORGAN BANK /JPM	012	BAX	B	1,498	56.34	n/a	22-Apr	29.96	2.0
MORGAN BANK /JPM	012	BA	B	1,821	104.50	n/a	n/a	36.42	2.0
MORGAN BANK /JPM	012	BBBY	B	630	35.26	n/a	n/a	12.60	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MORGAN BANK /JPM	012	BBT	B	1,282	42.00	n/a	n/a	25.64	2.0
MORGAN BANK /JPM	012	BBY	B	925	48.46	n/a	27-Jul	18.50	2.0
MORGAN BANK /JPM	012	BCR	B	240	87.37	n/a	22-Apr	4.80	2.0
MORGAN BANK /JPM	012	BC	B	207	23.54	n/a	n/a	4.14	2.0
MORGAN BANK /JPM	012	BDK	B	153	81.82	n/a	n/a	3.06	2.0
MORGAN BANK /JPM	012	BDX	B	566	82.29	n/a	22-Apr	11.32	2.0
MORGAN BANK /JPM	012	BEN	B	377	127.39	25-Sep	28-Sep	7.54	2.0
MORGAN BANK /JPM	012	BFB	B	201	75.00	n/a	n/a	4.02	2.0
MORGAN BANK /JPM	012	BHI	B	742	93.15	n/a	n/a	14.84	2.0
MORGAN BANK /JPM	012	BIG	B	236	29.94	n/a	7-Sep	4.72	2.0
MORGAN BANK /JPM	012	BIIB	B	669	65.88	n/a	n/a	13.38	2.0
MORGAN BANK /JPM	012	BJS	B	678	27.25	n/a	n/a	13.56	2.0
CARLYLE BLUE WAVE PR MG	224	BJ	B	5,400	34.87	n/a	27-Jul	270.00	5.0
MORGAN BANK /JPM	012	BK	B	2,644	44.21	20-Jul	20-Sep	52.88	2.0
MORGAN BANK /JPM	012	BLL	B	238	54.86	n/a	n/a	4.76	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MORGAN BANK /JPM	012	BMC	B	468	31.56	n/a	n/a	9.36	2.0
MAIRS AND POWER INV	030	BMS	B	10,000	28.26	n/a	n/a	600.00	6.0
MORGAN BANK /JPM	012	BMS	B	243	28.37	n/a	n/a	4.86	2.0
MORGAN BANK /JPM	012	BMV	B	4,596	29.74	n/a	n/a	91.92	2.0
MORGAN BANK /JPM	012	BNI	B	698	81.99	n/a	n/a	13.96	2.0
MORGAN BANK /JPM	012	BOL	B	129	64.54	n/a	n/a	2.58	2.0
MORGAN BANK /JPM	012	BRCM	B	1,090	36.60	n/a	n/a	21.80	2.0
MORGAN BANK /JPM	012	BRL	B	249	55.92	8-Aug	2-Oct	4.98	2.0
<b>SINCLAIR</b>	<b>031</b>	<b>BSCAG</b>	<b>S</b>	<b>10</b>	<b>8.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MORGAN BANK /JPM	012	BSC	B	270	127.61	4-Sep	21-Sep	5.40	2.0
NATIONAL BK OF CAN	031	BSC	S	10,000	126.76	4-Sep	21-Sep	400.00	4.0
MORGAN BANK /JPM	012	BSX	B	3,100	13.92	n/a	22-Apr	62.00	2.0
MORGAN BANK /JPM	012	BTU	B	617	48.52	n/a	n/a	12.34	2.0
MORGAN BANK /JPM	012	BUD	B	1,742	50.92	n/a	n/a	34.84	2.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BWS</b>	<b>S</b>	<b>30,000</b>	<b>20.69</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
MORGAN BANK /JPM	012	BXP	B	277	109.89	n/a	n/a	5.54	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MORGAN BANK /JPM	012	CAG	B	1,138	25.43	n/a	n/a	22.76	2.0
MORGAN BANK /JPM	012	CAH	B	847	62.19	n/a	n/a	16.94	2.0
MORGAN BANK /JPM	012	CAT	B	1,485	78.64	n/a	n/a	29.70	2.0
MORGAN BANK /JPM	012	CA	B	903	25.88	n/a	n/a	18.06	2.0
MORGAN BANK /JPM	012	CBE	B	427	54.89	19-Jul	19-Jul	8.54	2.0
MORGAN BANK /JPM	012	CBG	B	458	27.70	n/a	n/a	9.16	2.0
MORGAN BANK /JPM	012	CBH	B	447	39.48	n/a	n/a	8.94	2.0
MORGAN BANK /JPM	012	CBS	B	1,592	30.83	n/a	n/a	31.84	2.0
MORRISON & FRASIER	040	CBT	B	54,600	36.64	9-Jul	4-Sep	2,730.00	5.0
MORGAN BANK /JPM	012	CB	B	914	54.97	n/a	n/a	18.28	2.0
CARLYLE BLUE WAVE PR MG	224	CCE	S	13,700	24.13	n/a	n/a	685.00	5.0
MORGAN BANK /JPM	012	CCE	B	662	24.04	n/a	n/a	13.24	2.0
MORGAN BANK /JPM	012	CCL	B	1,014	50.00	n/a	26-Jan	20.28	2.0
MORGAN BANK /JPM	012	CCU	B	1,157	36.99	n/a	n/a	23.14	2.0
MORGAN BANK /JPM	012	CC	B	392	8.76	n/a	27-Jul	7.84	2.0
MORGAN BANK /JPM	012	CEG	B	419	86.64	n/a	n/a	8.38	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MORGAN BANK /JPM	012	CELG	B	889	72.38	n/a	n/a	17.78	2.0
ROBX	033	CEPH	B	100,000	75.97	1-Aug	2-Oct	4,000.00	4.0
MORGAN BANK /JPM	012	CFC	B	1,338	19.88	n/a	n/a	26.76	2.0
MORGAN BANK /JPM	012	CHK	B	953	36.43	n/a	n/a	19.06	2.0
MORGAN BANK /JPM	012	CHRW	B	401	53.08	n/a	n/a	8.02	2.0
MORGAN BANK /JPM	012	CIEN	B	200	45.31	n/a	22-Mar	4.00	2.0
MORGAN BANK /JPM	012	CINF	B	400	43.92	n/a	n/a	8.00	2.0
MORGAN BANK /JPM	012	CIT	B	443	40.47	n/a	n/a	8.86	2.0
MORGAN BANK /JPM	012	CI	B	657	52.13	n/a	n/a	13.14	2.0
MORGAN BANK /JPM	012	CLX	B	321	61.54	2-Aug	2-Aug	6.42	2.0
MORGAN BANK /JPM	012	CL	B	1,185	71.72	n/a	25-Jul	23.70	2.0
MORGAN BANK /JPM	012	CMA	B	356	53.94	n/a	n/a	7.12	2.0
MORGAN BANK /JPM	012	CMCSA	B	7,181	23.96	21-Sep	21-Sep	143.62	2.0
PLATTE RIVER CAPITAL	240	CMCSA	B	38,500	23.97	21-Sep	21-Sep	1,540.00	4.0
MORGAN BANK /JPM	012	CME	B	123	604.85	n/a	2-Oct	2.46	2.0
MORGAN BANK /JPM	012	CMI	B	242	136.44	n/a	n/a	4.84	2.0



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MORGAN BANK /JPM	012	CMS	B	522	16.89	n/a	n/a	10.44	2.0
MORGAN BANK /JPM	012	CNP	B	746	16.47	n/a	n/a	14.92	2.0
MORGAN BANK /JPM	012	CNX	B	424	45.34	n/a	n/a	8.48	2.0
MORGAN BANK /JPM	012	COF	B	971	71.05	n/a	n/a	19.42	2.0
COUGAR TRADING	044	COH	B	5,000	46.59	n/a	10-Sep	250.00	5.0
MORGAN BANK /JPM	012	COH	B	867	45.96	n/a	10-Sep	17.34	2.0
MORGAN BANK /JPM	012	COL	B	387	75.13	n/a	n/a	7.74	2.0
MORGAN BANK /JPM	012	COP	B	3,781	83.94	n/a	n/a	75.62	2.0
MORGAN BANK /JPM	012	COST	B	1,018	62.09	n/a	27-Jul	20.36	2.0
MORGAN BANK /JPM	012	COV	B	1,155	41.00	n/a	n/a	23.10	2.0
MORGAN BANK /JPM	012	CPB	B	522	36.29	n/a	n/a	10.44	2.0
MORGAN BANK /JPM	012	CPWR	B	704	8.15	n/a	n/a	14.08	2.0
MORGAN BANK /JPM	012	CSCO	B	14,152	32.15	n/a	22-Mar	283.04	2.0
MORGAN BANK /JPM	012	CSC	B	404	56.32	n/a	n/a	8.08	2.0
MORGAN BANK /JPM	012	CSX	B	1,020	42.07	n/a	n/a	20.40	2.0
MORGAN BANK /JPM	012	CTAS	B	313	37.06	n/a	n/a	6.26	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MORGAN BANK /JPM	012	CTL	B	260	45.96	n/a	n/a	5.20	2.0
MORGAN BANK /JPM	012	CTSH	B	336	83.34	n/a	n/a	6.72	2.0
MORGAN BANK /JPM	012	CTXS	B	418	40.05	n/a	n/a	8.36	2.0
MORGAN BANK /JPM	012	CTX	B	279	28.31	n/a	n/a	5.58	2.0
MORGAN BANK /JPM	012	CVG	B	315	17.59	n/a	n/a	6.30	2.0
MORGAN BANK /JPM	012	CVH	B	363	60.25	n/a	n/a	7.26	2.0
MORGAN BANK /JPM	012	CVS	B	3,441	38.66	n/a	n/a	68.82	2.0
MORGAN BANK /JPM	012	CVX	B	4,953	91.84	n/a	n/a	99.06	2.0
MORGAN BANK /JPM	012	CZN	B	791	14.10	n/a	n/a	15.82	2.0
MORGAN BANK /JPM	012	C	B	11,559	47.63	n/a	1-Oct	231.18	2.0
MORGAN BANK /JPM	012	DDR	B	289	57.77	n/a	n/a	5.78	2.0
MORGAN BANK /JPM	012	DDS	B	141	22.82	n/a	n/a	2.82	2.0
MORGAN BANK /JPM	012	DD	B	2,139	49.63	n/a	14-Sep	42.78	2.0
HIGHBRIDGE/MS OLDS	041	DELL	S	25,028	27.57	n/a	n/a	750.84	3.0
MORGAN BANK /JPM	012	DELL	B	5,278	27.62	n/a	n/a	105.56	2.0
MORGAN BANK /JPM	012	DE	B	516	147.61	n/a	n/a	10.32	2.0

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MORGAN BANK /JPM	012	DFS	B	1,109	22.02	n/a	n/a	22.18	2.0
MORGAN BANK /JPM	012	DF	B	301	26.28	n/a	n/a	6.02	2.0
MORGAN BANK /JPM	012	DGX	B	363	56.50	n/a	n/a	7.26	2.0
MORGAN BANK /JPM	012	DHI	B	635	14.39	n/a	n/a	12.70	2.0
MORGAN BANK /JPM	012	DHR	B	573	81.95	n/a	n/a	11.46	2.0
DSG CAPITAL	225	DISH	SS	5,000	48.04	4-Oct	4-Oct	250.00	5.0
MORGAN BANK /JPM	012	DIS	B	4,510	34.90	n/a	n/a	90.20	2.0
MORGAN BANK /JPM	012	DJ	B	152	59.57	n/a	n/a	3.04	2.0
MORGAN BANK /JPM	012	DOV	B	475	50.38	n/a	n/a	9.50	2.0
MORGAN BANK /JPM	012	DOW	B	2,207	44.35	n/a	4-Sep	44.14	2.0
TROUBH PART	067	DPHIQ	S	50,000	0.40	n/a	n/a	2,500.00	5.0
MORGAN BANK /JPM	012	DRI	B	329	43.45	n/a	24-Apr	6.58	2.0
MERRILL ASSET	032	DRQ	B	15,900	50.93	n/a	n/a	795.00	5.0
MORGAN BANK /JPM	012	DTE	B	397	48.98	n/a	n/a	7.94	2.0
DSG CAPITAL	225	DTV	B	10,000	24.91	21-Sep	4-Oct	500.00	5.0

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MORGAN BANK /JPM	012	DTV	B	1,765	25.53	21-Sep	4-Oct	35.30	2.0
MORGAN BANK /JPM	012	DUK	B	2,928	19.30	n/a	n/a	58.56	2.0
MORGAN BANK /JPM	012	DVN	B	1,036	85.82	19-Sep	3-Oct	20.72	2.0
MORGAN BANK /JPM	012	DYN	B	1,151	9.35	n/a	n/a	23.02	2.0
MORGAN BANK /JPM	012	D	B	676	86.36	n/a	n/a	13.52	2.0
MORGAN BANK /JPM	012	EBAY	B	2,651	39.19	n/a	n/a	53.02	2.0
MORGAN BANK /JPM	012	ECL	B	405	46.81	4-Oct	4-Oct	8.10	2.0
MORGAN BANK /JPM	012	EDS	B	1,183	22.62	n/a	n/a	23.66	2.0
MORGAN BANK /JPM	012	ED	B	630	47.24	n/a	n/a	12.60	2.0
MORGAN BANK /JPM	012	EFX	B	332	37.88	n/a	n/a	6.64	2.0
MORGAN BANK /JPM	012	EIX	B	757	56.55	n/a	29-Jun	15.14	2.0
MORGAN BANK /JPM	012	EK	B	667	27.25	n/a	n/a	13.34	2.0
MORGAN BANK /JPM	012	EL	B	266	44.15	16-Aug	16-Aug	5.32	2.0
MORGAN BANK /JPM	012	EMC	B	4,873	21.05	n/a	n/a	97.46	2.0
MORGAN BANK /JPM	012	EMN	B	195	68.16	n/a	n/a	3.90	2.0
MORGAN BANK /JPM	012	EMR	B	1,840	53.37	n/a	n/a	36.80	2.0

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MORGAN BANK /JPM	012	EOG	B	569	76.55	n/a	n/a	11.38	2.0
MORGAN BANK /JPM	012	EP	B	1,628	17.19	n/a	n/a	32.56	2.0
MORGAN BANK /JPM	012	EQR	B	644	44.08	n/a	n/a	12.88	2.0
MORGAN BANK /JPM	012	EQ	B	355	57.04	n/a	n/a	7.10	2.0
MORGAN BANK /JPM	012	ERTS	B	723	58.41	n/a	n/a	14.46	2.0
MORGAN BANK /JPM	012	ESRX	B	599	53.69	n/a	n/a	11.98	2.0
MORGAN BANK /JPM	012	ESV	B	344	55.43	n/a	n/a	6.88	2.0
MORGAN BANK /JPM	012	ETFC	B	988	13.13	n/a	n/a	19.76	2.0
MORGAN BANK /JPM	012	ETN	B	339	99.72	16-Jul	19-Sep	6.78	2.0
MORGAN BANK /JPM	012	ETR	B	455	112.70	n/a	n/a	9.10	2.0
MORGAN BANK /JPM	012	EXC	B	1,566	76.06	n/a	n/a	31.32	2.0
MORGAN BANK /JPM	012	EXPE	B	475	33.98	n/a	n/a	9.50	2.0
S.A.C. CAPITAL MGMT.	044	EYE	B	40,000	31.00	n/a	n/a	2,000.00	5.0
MORGAN BANK /JPM	012	FCX	B	887	108.26	n/a	n/a	17.74	2.0
BUCK CAPITAL MGMT	001	FDO	SS	20,000	28.53	9-Aug	4-Oct	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MORGAN BANK /JPM	012	FDO	B	338	26.53	9-Aug	4-Oct	6.76	2.0
MORGAN BANK /JPM	012	FDX	B	717	104.75	n/a	n/a	14.34	2.0
MORGAN BANK /JPM	012	FE	B	708	66.46	n/a	n/a	14.16	2.0
MORGAN BANK /JPM	012	FHN	B	293	27.74	n/a	n/a	5.86	2.0
BALYASNY ASSET MGMT	044	FII	S	30,000	40.37	n/a	28-Sep	1,500.00	5.0
MORGAN BANK /JPM	012	FII	B	203	40.14	n/a	28-Sep	4.06	2.0
MORGAN BANK /JPM	012	FISV	B	388	54.74	n/a	n/a	7.76	2.0
MORGAN BANK /JPM	012	FIS	B	395	44.66	n/a	n/a	7.90	2.0
MORGAN BANK /JPM	012	FITB	B	1,245	34.89	n/a	n/a	24.90	2.0
MORGAN BANK /JPM	012	FLR	B	205	150.50	n/a	n/a	4.10	2.0
MORGAN BANK /JPM	012	FNM	B	2,262	67.39	n/a	n/a	45.24	2.0
MORGAN BANK /JPM	012	FO	B	356	83.03	n/a	n/a	7.12	2.0
MORGAN BANK /JPM	012	FPL	B	945	62.49	n/a	n/a	18.90	2.0
MORGAN BANK /JPM	012	FRE	B	1,511	63.19	n/a	n/a	30.22	2.0
MORGAN BANK /JPM	012	FRX	B	735	39.75	30-Jul	3-Oct	14.70	2.0
MORGAN BANK /JPM	012	F	B	4,878	8.26	n/a	3-Oct	97.56	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MORGAN BANK /JPM	012	GAS	B	105	43.57	n/a	n/a	2.10	2.0
MORGAN BANK /JPM	012	GCI	B	541	45.23	n/a	n/a	10.82	2.0
MORGAN BANK /JPM	012	GD	B	943	83.80	n/a	n/a	18.86	2.0
MORGAN BANK /JPM	012	GENZ	B	613	67.85	n/a	n/a	12.26	2.0
BRIGHTPOINT CAP	067	GES	SS	15,000	49.94	n/a	n/a	600.00	4.0
FIRST INV MGMT CORP	036	GE	S	15,000	41.70	n/a	n/a	750.00	5.0
MORGAN BANK /JPM	012	GE	B	23,807	41.70	n/a	n/a	476.14	2.0
RAMIUS CAP	040	GGL	S	33,500	24.92	n/a	n/a	1,675.00	5.0
MORGAN BANK /JPM	012	GGP	B	571	55.25	n/a	n/a	11.42	2.0
MORGAN BANK /JPM	012	GILD	B	2,152	41.52	n/a	n/a	43.04	2.0
MORGAN BANK /JPM	012	GIS	B	767	57.50	n/a	n/a	15.34	2.0
MORGAN BANK /JPM	012	GLW	B	3,655	25.19	n/a	14-Sep	73.10	2.0
MORGAN BANK /JPM	012	GM	B	1,315	37.32	n/a	3-Oct	26.30	2.0
TRELLUS PARTNERS LP	028	GM	SS	25,000	37.30	n/a	3-Oct	1,250.00	5.0
MORGAN BANK /JPM	012	GNW	B	1,029	31.22	n/a	n/a	20.58	2.0
MORGAN BANK /JPM	012	GOOG	B	537	579.03	n/a	n/a	10.74	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MORGAN BANK /JPM	012	GPC	B	395	49.87	n/a	n/a	7.90	2.0
COUGAR TRADING	044	GPS	SS	5,000	18.40	n/a	7-Sep	250.00	5.0
MORGAN BANK /JPM	012	GPS	B	1,150	18.40	n/a	7-Sep	23.00	2.0
MORGAN BANK /JPM	012	GR	B	291	69.12	26-Jul	26-Jul	5.82	2.0
MORGAN BANK /JPM	012	GS	B	943	225.95	21-Sep	21-Sep	18.86	2.0
MORGAN BANK /JPM	012	GT	B	490	29.56	n/a	n/a	9.80	2.0
MORGAN BANK /JPM	012	GWW	B	167	91.99	16-Jul	16-Jul	3.34	2.0
MORGAN BANK /JPM	012	HAL	B	2,068	39.51	n/a	n/a	41.36	2.0
MORGAN BANK /JPM	012	HAR	B	152	86.70	n/a	n/a	3.04	2.0
MORGAN BANK /JPM	012	HAS	B	372	28.70	n/a	n/a	7.44	2.0
MORGAN BANK /JPM	012	HBAN	B	850	17.92	n/a	n/a	17.00	2.0
MORGAN BANK /JPM	012	HCBK	B	1,236	15.82	n/a	n/a	24.72	2.0
MORGAN BANK /JPM	012	HCR	B	170	63.59	n/a	17-Sep	3.40	2.0
MORGAN BANK /JPM	012	HD	B	3,923	33.74	n/a	27-Jul	78.46	2.0
MORGAN BANK /JPM	012	HES	B	643	64.79	n/a	n/a	12.86	2.0
MORGAN BANK /JPM	012	HET	B	435	87.02	8-Aug	8-Aug	8.70	2.0



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MORGAN BANK /JPM	012	HIG	B	738	95.98	n/a	n/a	14.76	2.0
MORGAN BANK /JPM	012	HLT	B	907	46.72	n/a	n/a	18.14	2.0
LEHMAN PROPRIETARY TRAD	039	HME	B	50,000	54.30	n/a	n/a	2,000.00	4.0
MORGAN BANK /JPM	012	HNZ	B	742	46.08	n/a	n/a	14.84	2.0
MORGAN BANK /JPM	012	HOG	B	584	48.24	n/a	n/a	11.68	2.0
MORGAN BANK /JPM	012	HON	B	1,739	59.59	19-Jul	19-Jul	34.78	2.0
MORGAN BANK /JPM	012	HOT	B	488	59.78	n/a	n/a	9.76	2.0
MORGAN BANK /JPM	012	HPC	B	270	21.14	n/a	n/a	5.40	2.0
MORGAN BANK /JPM	012	HPQ	B	5,990	50.47	n/a	n/a	119.80	2.0
MORGAN BANK /JPM	012	HRB	B	754	22.21	n/a	n/a	15.08	2.0
MEISENBACH CAP MGMT	041	HSC	B	7,500	58.19	26-Jul	26-Sep	225.00	3.0
MORGAN BANK /JPM	012	HSP	B	365	41.44	n/a	22-Apr	7.30	2.0
BULL PATH CAPITAL	044	HST	S	25,000	22.56	n/a	n/a	1,250.00	5.0
MORGAN BANK /JPM	012	HST	B	1,214	22.84	n/a	n/a	24.28	2.0
MORGAN BANK /JPM	012	HSY	B	393	44.58	n/a	n/a	7.86	2.0
MORGAN BANK /JPM	012	HUM	B	392	71.21	n/a	n/a	7.84	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MORGAN BANK /JPM	012	IACI	B	444	30.02	n/a	n/a	8.88	2.0
ACT II PARTNERS	067	IAR	SS	40,000	31.86	n/a	n/a	2,000.00	5.0
MORGAN BANK /JPM	012	IBM	B	3,161	115.69	n/a	n/a	63.22	2.0
MORGAN BANK /JPM	012	ICE	B	161	154.20	n/a	n/a	3.22	2.0
MORGAN BANK /JPM	012	IFF	B	207	53.37	26-Jul	4-Sep	4.14	2.0
MORGAN BANK /JPM	012	IGT	B	780	43.83	n/a	20-Jul	15.60	2.0
FIRST INV MGMT CORP	036	INTC	S	4,500	25.78	n/a	n/a	225.00	5.0
MORGAN BANK /JPM	012	INTC	B	13,569	25.62	n/a	n/a	271.38	2.0
MORGAN BANK /JPM	012	INTU	B	787	31.24	n/a	n/a	15.74	2.0
MORGAN BANK /JPM	012	IPG	B	1,095	10.25	n/a	n/a	21.90	2.0
MORGAN BANK /JPM	012	IP	B	998	35.62	4-May	21-Sep	19.96	2.0
MORGAN BANK /JPM	012	IR	B	666	53.84	n/a	n/a	13.32	2.0
MORGAN BANK /JPM	012	ITT	B	421	66.26	n/a	27-Jul	8.42	2.0
MORGAN BANK /JPM	012	ITW	B	975	58.46	n/a	n/a	19.50	2.0
CRAMER ROSENTHAL/SCOTT	012	IVZ	B	12,200	28.22	8-Aug	3-Oct	488.00	4.0
MORGAN BANK /JPM	012	JAVA	B	8,220	5.67	n/a	n/a	164.40	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MORGAN BANK /JPM	012	JBL	B	482	22.57	n/a	n/a	9.64	2.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCG</b>	<b>S</b>	<b>25,000</b>	<b>44.37</b>	<b>22-Jun</b>	<b>6-Sep</b>	<b>1,000.00</b>	<b>4.0</b>
COUGAR TRADING	044	JCG	SS	10,000	43.81	22-Jun	6-Sep	500.00	5.0
MORGAN BANK /JPM	012	JCI	B	1,380	38.85	2-Oct	2-Oct	27.60	2.0
COUGAR TRADING	044	JCP	SS	10,000	66.28	21-Jun	7-Sep	500.00	5.0
COUGAR TRADING	044	JCP	S	5,000	67.04	21-Jun	7-Sep	250.00	5.0
MORGAN BANK /JPM	012	JCP	B	515	66.32	21-Jun	7-Sep	10.30	2.0
MORGAN BANK /JPM	012	JDSU	B	492	15.20	n/a	n/a	9.84	2.0
MORGAN BANK /JPM	012	JNJ	B	6,726	66.11	n/a	22-Apr	134.52	2.0
MORGAN BANK /JPM	012	JNPR	B	1,195	35.94	n/a	22-Mar	23.90	2.0
MORGAN BANK /JPM	012	JNS	B	367	30.46	27-Jul	28-Sep	7.34	2.0
MORGAN BANK /JPM	012	JNY	B	217	21.40	n/a	13-Sep	4.34	2.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JWN</b>	<b>S</b>	<b>30,000</b>	<b>48.72</b>	<b>12-Jul</b>	<b>7-Sep</b>	<b>1,200.00</b>	<b>4.0</b>
MORGAN BANK /JPM	012	JWN	B	460	48.85	12-Jul	7-Sep	9.20	2.0
MORGAN BANK /JPM	012	KBH	B	179	28.10	n/a	n/a	3.58	2.0
MORGAN BANK /JPM	012	KEY	B	905	33.48	n/a	n/a	18.10	2.0
MORGAN BANK /JPM	012	KFT	B	3,664	34.32	n/a	n/a	73.28	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MORGAN BANK /JPM	012	KG	B	567	10.98	n/a	n/a	11.34	2.0
MORGAN BANK /JPM	012	KIM	B	586	46.61	n/a	n/a	11.72	2.0
MORGAN BANK /JPM	012	KLAC	B	449	53.99	n/a	n/a	8.98	2.0
MORGAN BANK /JPM	012	KMB	B	989	69.96	n/a	n/a	19.78	2.0
MORGAN BANK /JPM	012	KO	B	4,623	57.87	n/a	n/a	92.46	2.0
MORGAN BANK /JPM	012	KR	B	1,644	28.76	n/a	n/a	32.88	2.0
COUGAR TRADING	044	KSS	SS	10,000	59.49	27-Sep	3-Oct	500.00	5.0
MORGAN BANK /JPM	012	KSS	B	738	58.93	27-Sep	3-Oct	14.76	2.0
MORGAN BANK /JPM	012	K	B	617	54.99	n/a	n/a	12.34	2.0
MORGAN BANK /JPM	012	LEG	B	406	19.85	n/a	n/a	8.12	2.0
MORGAN BANK /JPM	012	LEH	B	1,233	63.22	12-Jun	20-Sep	24.66	2.0
MORGAN BANK /JPM	012	LEN	B	324	24.34	n/a	n/a	6.48	2.0
<b>SINCLAIR</b>	<b>031</b>	<b>LESAN</b>	<b>B</b>	<b>20</b>	<b>2.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MORGAN BANK /JPM	012	LH	B	273	76.95	n/a	n/a	5.46	2.0
MORGAN BANK /JPM	012	LIZ	B	238	35.18	n/a	14-Sep	4.76	2.0
MORGAN BANK /JPM	012	LLL	B	293	104.41	n/a	n/a	5.86	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MORGAN BANK /JPM	012	LLTC	B	516	35.04	n/a	n/a	10.32	2.0
MORGAN BANK /JPM	012	LLY	B	2,293	58.96	n/a	n/a	45.86	2.0
MORGAN BANK /JPM	012	LMT	B	807	109.00	n/a	n/a	16.14	2.0
MORGAN BANK /JPM	012	LM	B	308	84.92	19-Sep	28-Sep	6.16	2.0
MORGAN BANK /JPM	012	LNC	B	629	66.64	n/a	n/a	12.58	2.0
MORGAN BANK /JPM	012	LOW	B	3,436	28.64	n/a	27-Jul	68.72	2.0
MORGAN BANK /JPM	012	LSI	B	1,664	7.36	n/a	n/a	33.28	2.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LTD</b>	<b>SS</b>	<b>20,000</b>	<b>22.53</b>	<b>16-May</b>	<b>7-Sep</b>	<b>800.00</b>	<b>4.0</b>
MORGAN BANK /JPM	012	LTD	B	741	22.37	16-May	7-Sep	14.82	2.0
MORGAN BANK /JPM	012	LTR	B	1,033	49.59	n/a	n/a	20.66	2.0
MORGAN BANK /JPM	012	LUK	B	383	49.87	n/a	n/a	7.66	2.0
MORGAN BANK /JPM	012	LUV	B	1,736	14.75	n/a	n/a	34.72	2.0
MORGAN BANK /JPM	012	LXK	B	220	40.31	n/a	n/a	4.40	2.0
MORGAN BANK /JPM	012	MAR	B	743	42.28	n/a	n/a	14.86	2.0
MS PRINCIPAL STRATEGIES	041	MAR	B	75,000	42.65	n/a	n/a	3,750.00	5.0
MORGAN BANK /JPM	012	MAS	B	853	23.68	n/a	n/a	17.06	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MORGAN BANK /JPM	012	MAT	B	917	23.00	n/a	n/a	18.34	2.0
MORGAN BANK /JPM	012	MBI	B	294	65.15	n/a	n/a	5.88	2.0
MORGAN BANK /JPM	012	MCD	B	2,769	56.04	24-Apr	24-Apr	55.38	2.0
MORGAN BANK /JPM	012	MCHP	B	505	36.54	n/a	n/a	10.10	2.0
MORGAN BANK /JPM	012	MCK	B	688	59.29	n/a	n/a	13.76	2.0
MORGAN BANK /JPM	012	MCO	B	515	52.25	n/a	n/a	10.30	2.0
MORGAN BANK /JPM	012	MDP	B	89	59.19	n/a	n/a	1.78	2.0
MORGAN BANK /JPM	012	MDT	B	2,635	57.00	n/a	22-Apr	52.70	2.0
MORGAN BANK /JPM	012	MER	B	2,003	74.78	18-Jul	20-Sep	40.06	2.0
MORGAN BANK /JPM	012	MET	B	1,726	69.72	n/a	n/a	34.52	2.0
HIGHBRIDGE/MS OLDS	041	MGA	B	39,386	95.76	n/a	n/a	1,181.58	3.0
MORGAN BANK /JPM	012	MHP	B	787	52.99	n/a	n/a	15.74	2.0
MORGAN BANK /JPM	012	MHS	B	629	89.61	n/a	n/a	12.58	2.0
MORGAN BANK /JPM	012	MIL	B	125	75.45	n/a	n/a	2.50	2.0
MORGAN BANK /JPM	012	MI	B	619	45.29	n/a	n/a	12.38	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MORGAN BANK /JPM	012	MKC	B	301	35.07	n/a	n/a	6.02	2.0
U.S.TRUST COMPANY	012	MLI	S	10,000	36.75	24-Jul	10-Aug	450.00	4.5
LISTED ERR	099	MLI	B	800	36.94	24-Jul	10-Aug	0.00	0.0
MORGAN BANK /JPM	012	MMC	B	1,259	26.33	n/a	n/a	25.18	2.0
MORGAN BANK /JPM	012	MMM	B	1,663	94.25	27-Sep	27-Sep	33.26	2.0
MORGAN BANK /JPM	012	MNST	B	308	35.86	n/a	n/a	6.16	2.0
MORGAN BANK /JPM	012	MOLX	B	334	27.40	n/a	n/a	6.68	2.0
MORGAN BANK /JPM	012	MON	B	1,267	84.76	n/a	17-Sep	25.34	2.0
MORGAN BANK /JPM	012	MOT	B	5,378	18.78	n/a	n/a	107.56	2.0
MORGAN BANK /JPM	012	MO	B	4,892	69.69	n/a	n/a	97.84	2.0
MORGAN BANK /JPM	012	MRK	B	5,057	52.86	n/a	n/a	101.14	2.0
MORGAN BANK /JPM	012	MRO	B	1,583	57.70	n/a	n/a	31.66	2.0
MORGAN BANK /JPM	012	MSFT	B	18,735	29.70	n/a	3-Apr	374.70	2.0
J L F ASSET MGMT	039	MSO	B	103,300	13.72	n/a	n/a	4,132.00	4.0
SCOPUS FUND	041	MSO	S	32,600	13.70	n/a	n/a	1,630.00	5.0
THE JAY GOLDMAN	034	MSO	S	25,000	13.71	n/a	n/a	1,000.00	4.0
MORGAN BANK /JPM	012	MS	B	2,446	67.11	2-Jul	20-Sep	48.92	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MORGAN BANK /JPM	012	MTB	B	174	107.13	n/a	n/a	3.48	2.0
MORGAN BANK /JPM	012	MTG	B	191	34.82	n/a	n/a	3.82	2.0
MORGAN BANK /JPM	012	MUR	B	438	74.10	n/a	n/a	8.76	2.0
MORGAN BANK /JPM	012	MU	B	1,759	10.61	n/a	n/a	35.18	2.0
MORGAN BANK /JPM	012	MWV	B	426	29.70	31-Jul	21-Sep	8.52	2.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MW</b>	<b>SS</b>	<b>20,000</b>	<b>50.85</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
MORGAN BANK /JPM	012	MYL	B	578	16.56	n/a	4-Oct	11.56	2.0
COUGAR TRADING	044	M	B	5,000	34.96	24-Sep	24-Sep	250.00	5.0
MORGAN BANK /JPM	012	M	B	1,007	33.98	24-Sep	24-Sep	20.14	2.0
PILOT ADV	038	M	S	25,000	34.90	24-Sep	24-Sep	1,000.00	4.0
PRINCIPLE CAPITAL	040	M	S	43,700	34.36	24-Sep	24-Sep	1,311.00	3.0
MORGAN BANK /JPM	012	NBR	B	653	30.38	n/a	n/a	13.06	2.0
MORGAN BANK /JPM	012	NCC	B	1,472	26.56	n/a	n/a	29.44	2.0
MORGAN BANK /JPM	012	NEM	B	1,049	45.05	n/a	n/a	20.98	2.0
MORGAN BANK /JPM	012	NE	B	624	48.47	n/a	n/a	12.48	2.0
MAZAMA CAPITAL MGMT.	035	NGS	S	10,000	17.86	n/a	n/a	400.00	4.0
MORGAN BANK /JPM	012	NI	B	637	19.56	n/a	n/a	12.74	2.0



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MORGAN BANK /JPM	012	NKE	B	898	59.36	n/a	n/a	17.96	2.0
<b>LISTED ERR</b>	<b>099</b>	<b>NOA</b>	<b>S</b>	<b>5</b>	<b>17.74</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MORGAN BANK /JPM	012	NOC	B	799	79.21	n/a	n/a	15.98	2.0
MORGAN BANK /JPM	012	NOVL	B	813	7.68	n/a	n/a	16.26	2.0
MORGAN BANK /JPM	012	NOV	B	828	74.67	n/a	n/a	16.56	2.0
MORGAN BANK /JPM	012	NSC	B	915	51.16	n/a	n/a	18.30	2.0
MORGAN BANK /JPM	012	NSM	B	559	26.82	n/a	n/a	11.18	2.0
MORGAN BANK /JPM	012	NTAP	B	827	25.91	n/a	n/a	16.54	2.0
MORGAN BANK /JPM	012	NTRS	B	445	67.68	n/a	20-Sep	8.90	2.0
<b>LUCHANSKY1</b>	<b>036</b>	<b>NTRZ</b>	<b>B</b>	<b>1,000</b>	<b>1.64</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MORGAN BANK /JPM	012	NUE	B	669	56.99	n/a	n/a	13.38	2.0
MORGAN BANK /JPM	012	NVDA	B	1,275	35.97	n/a	n/a	25.50	2.0
MORGAN BANK /JPM	012	NVLS	B	288	28.02	n/a	n/a	5.76	2.0
PERRY PARTNERS	041	NVT	B	900	75.80	n/a	n/a	27.00	3.0
MORGAN BANK /JPM	012	NWL	B	642	29.03	n/a	n/a	12.84	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MORGAN BANK /JPM	012	NWSA	B	5,379	22.18	n/a	n/a	107.58	2.0
MORGAN BANK /JPM	012	NYT	B	334	19.96	n/a	n/a	6.68	2.0
MORGAN BANK /JPM	012	ODP	B	634	21.11	n/a	27-Jul	12.68	2.0
MORGAN BANK /JPM	012	OMC	B	763	48.62	n/a	n/a	15.26	2.0
MORGAN BANK /JPM	012	OMX	B	175	33.34	n/a	15-Apr	3.50	2.0
MORGAN BANK /JPM	012	ORCL	B	9,148	21.76	n/a	n/a	182.96	2.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>OXM</b>	<b>SS</b>	<b>10,000</b>	<b>35.13</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
MORGAN BANK /JPM	012	OXY	B	1,930	65.83	n/a	n/a	38.60	2.0
MORGAN BANK /JPM	012	PAYX	B	790	41.15	n/a	n/a	15.80	2.0
MORGAN BANK /JPM	012	PBG	B	326	39.31	n/a	n/a	6.52	2.0
MORGAN BANK /JPM	012	PBI	B	511	45.57	n/a	n/a	10.22	2.0
MORGAN BANK /JPM	012	PCAR	B	578	85.87	n/a	n/a	11.56	2.0
MORGAN BANK /JPM	012	PCG	B	821	48.90	n/a	n/a	16.42	2.0
MORGAN BANK /JPM	012	PCL	B	406	44.87	10-Jul	21-Sep	8.12	2.0
MORGAN BANK /JPM	012	PCP	B	320	146.27	n/a	n/a	6.40	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MORGAN BANK /JPM	012	PDCO	B	325	39.42	n/a	n/a	6.50	2.0
MORGAN BANK /JPM	012	PEG	B	591	89.25	n/a	n/a	11.82	2.0
MORGAN BANK /JPM	012	PEP	B	3,754	73.87	n/a	n/a	75.08	2.0
MORGAN BANK /JPM	012	PFE	B	16,095	25.30	n/a	31-Mar	321.90	2.0
MORGAN BANK /JPM	012	PFG	B	617	62.75	n/a	n/a	12.34	2.0
MORGAN BANK /JPM	012	PGN	B	602	47.57	n/a	n/a	12.04	2.0
MORGAN BANK /JPM	012	PGR	B	1,683	19.95	n/a	n/a	33.66	2.0
MORGAN BANK /JPM	012	PG	B	7,251	70.83	4-Sep	24-Sep	145.02	2.0
MORGAN BANK /JPM	012	PHM	B	493	15.42	n/a	n/a	9.86	2.0
MORGAN BANK /JPM	012	PH	B	405	72.05	n/a	n/a	8.10	2.0
MORGAN BANK /JPM	012	PKI	B	282	28.82	n/a	n/a	5.64	2.0
MORGAN BANK /JPM	012	PLD	B	597	69.21	n/a	n/a	11.94	2.0
MORGAN BANK /JPM	012	PLL	B	285	40.80	n/a	n/a	5.70	2.0
MORGAN BANK /JPM	012	PNC	B	795	70.92	n/a	n/a	15.90	2.0
MORGAN BANK /JPM	012	PNW	B	233	40.81	n/a	n/a	4.66	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MORGAN BANK /JPM	012	PPG	B	381	76.87	n/a	4-Sep	7.62	2.0
MORGAN BANK /JPM	012	PPL	B	890	48.38	n/a	n/a	17.80	2.0
MORGAN BANK /JPM	012	PRU	B	1,066	98.30	n/a	n/a	21.32	2.0
MORGAN BANK /JPM	012	PSA	B	289	83.61	n/a	n/a	5.78	2.0
MORGAN BANK /JPM	012	PTV	B	304	29.66	n/a	n/a	6.08	2.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>S</b>	<b>15,000</b>	<b>53.82</b>	<b>13-Aug</b>	<b>29-Aug</b>	<b>600.00</b>	<b>4.0</b>
MORGAN BANK /JPM	012	PX	B	743	81.56	n/a	4-Sep	14.86	2.0
MORGAN BANK /JPM	012	QCOM	B	3,890	42.81	n/a	n/a	77.80	2.0
MORGAN BANK /JPM	012	QLGC	B	341	13.35	n/a	n/a	6.82	2.0
MORGAN BANK /JPM	012	Q	B	3,712	9.36	n/a	n/a	74.24	2.0
MORGAN BANK /JPM	012	RAI	B	398	62.23	n/a	n/a	7.96	2.0
MORGAN BANK /JPM	012	RDC	B	257	38.00	n/a	n/a	5.14	2.0
MORGAN BANK /JPM	012	RF	B	1,636	30.74	n/a	n/a	32.72	2.0
MORGAN BANK /JPM	012	RHI	B	381	30.91	n/a	n/a	7.62	2.0
MORGAN BANK /JPM	012	RIG	B	672	112.34	n/a	n/a	13.44	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	RL	SS	80,000	75.13	9-Aug	29-Aug	3,200.00	4.0
BUCK CAPITAL MGMT	001	RL	S	50,000	75.72	9-Aug	29-Aug	2,000.00	4.0
COUGAR TRADING	044	RL	S	10,000	74.41	9-Aug	29-Aug	500.00	5.0
MORGAN BANK /JPM	012	RL	B	139	74.74	9-Aug	29-Aug	2.78	2.0
MORGAN BANK /JPM	012	ROH	B	295	54.90	n/a	4-Sep	5.90	2.0
MORGAN BANK /JPM	012	ROK	B	355	70.45	n/a	n/a	7.10	2.0
MORGAN BANK /JPM	012	RRD	B	516	37.03	n/a	n/a	10.32	2.0
BUCK CAPITAL MGMT	001	RSH	SS	20,000	21.38	n/a	n/a	800.00	4.0
MORGAN BANK /JPM	012	RSH	B	320	21.51	n/a	n/a	6.40	2.0
MORGAN BANK /JPM	012	RTN	B	1,016	63.99	n/a	n/a	20.32	2.0
MORGAN BANK /JPM	012	RX	B	453	30.70	n/a	n/a	9.06	2.0
MORGAN BANK /JPM	012	R	B	139	47.41	n/a	n/a	2.78	2.0
MORGAN BANK /JPM	012	SAF	B	242	59.97	n/a	n/a	4.84	2.0
MORGAN BANK /JPM	012	SBUX	B	1,732	26.51	n/a	24-Apr	34.64	2.0
MORGAN BANK /JPM	012	SCHW	B	2,202	22.62	n/a	n/a	44.04	2.0
MORGAN BANK /JPM	012	SEE	B	375	26.68	n/a	n/a	7.50	2.0
MORGAN BANK /JPM	012	SE	B	1,469	25.07	n/a	n/a	29.38	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MORGAN BANK /JPM	012	SGP	B	3,763	32.53	n/a	n/a	75.26	2.0
GRACIE CAPITAL	028	SHLD	S	10,000	140.59	n/a	n/a	500.00	5.0
MORGAN BANK /JPM	012	SHLD	B	176	141.40	n/a	n/a	3.52	2.0
MORGAN BANK /JPM	012	SHW	B	252	65.67	n/a	4-Sep	5.04	2.0
MORGAN BANK /JPM	012	SIAL	B	305	48.57	24-Sep	24-Sep	6.10	2.0
MORGAN BANK /JPM	012	SII	B	466	70.94	n/a	n/a	9.32	2.0
<b>STRATTON</b>	<b>N21</b>	<b>SIR</b>	<b>B</b>	<b>1,500</b>	<b>0.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MORGAN BANK /JPM	012	SLB	B	2,770	106.19	n/a	n/a	55.40	2.0
MORGAN BANK /JPM	012	SLE	B	1,684	16.62	n/a	n/a	33.68	2.0
MORGAN BANK /JPM	012	SLM	B	959	49.45	n/a	n/a	19.18	2.0
<b>LUCHANSKY1</b>	<b>036</b>	<b>SMBL</b>	<b>B</b>	<b>500</b>	<b>12.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MORGAN BANK /JPM	012	SNA	B	135	49.61	n/a	n/a	2.70	2.0
MORGAN BANK /JPM	012	SNDK	B	529	53.20	n/a	n/a	10.58	2.0
MORGAN BANK /JPM	012	SNV	B	761	28.45	n/a	n/a	15.22	2.0
MORGAN BANK /JPM	012	SOV	B	835	17.40	n/a	n/a	16.70	2.0
MORGAN BANK /JPM	012	SO	B	1,758	36.92	n/a	n/a	35.16	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MORGAN BANK /JPM	012	SPG	B	519	106.37	n/a	n/a	10.38	2.0
MORGAN BANK /JPM	012	SPLS	B	1,659	21.70	n/a	27-Jul	33.18	2.0
MORGAN BANK /JPM	012	SRE	B	613	58.64	n/a	n/a	12.26	2.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SSI</b>	<b>S</b>	<b>10,000</b>	<b>18.68</b>	<b>3-Aug</b>	<b>7-Sep</b>	<b>400.00</b>	<b>4.0</b>
MORGAN BANK /JPM	012	SSP	B	209	42.36	n/a	n/a	4.18	2.0
MORGAN BANK /JPM	012	STI	B	811	77.26	n/a	n/a	16.22	2.0
MORGAN BANK /JPM	012	STJ	B	792	43.61	n/a	n/a	15.84	2.0
MORGAN BANK /JPM	012	STR	B	401	51.00	15-Aug	1-Oct	8.02	2.0
MORGAN BANK /JPM	012	STT	B	905	68.22	n/a	n/a	18.10	2.0
HIGHBRIDGE/MS OLDS	041	STX	B	73,000	25.47	n/a	n/a	2,190.00	3.0
MORGAN BANK /JPM	012	STZ	B	451	25.00	n/a	n/a	9.02	2.0
MORGAN BANK /JPM	012	SUN	B	280	71.60	n/a	n/a	5.60	2.0
MORGAN BANK /JPM	012	SVU	B	488	37.16	n/a	n/a	9.76	2.0
MORGAN BANK /JPM	012	SWK	B	191	55.47	n/a	n/a	3.82	2.0
MORGAN BANK /JPM	012	SWY	B	1,020	33.08	n/a	n/a	20.40	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MORGAN BANK /JPM	012	SYK	B	551	72.60	n/a	n/a	11.02	2.0
MORGAN BANK /JPM	012	SYMC	B	2,090	20.35	n/a	3-Apr	41.80	2.0
MORGAN BANK /JPM	012	SYX	B	1,417	34.74	n/a	24-Apr	28.34	2.0
SIGMA CAPITAL ASSOCIATES	237	SYX	SS	56,700	34.78	n/a	24-Apr	2,835.00	5.0
AMBER CAPITAL	046	S	S	1,050,000	19.18	n/a	n/a	42,000.00	4.0
MILLENIUM PARTNERS	028	S	B	30,000	19.24	n/a	n/a	1,500.00	5.0
MORGAN BANK /JPM	012	S	B	6,614	19.28	n/a	n/a	132.28	2.0
<b>LUCHANSKY1</b>	<b>036</b>	<b>S</b>	<b>C</b>	<b>1,000</b>	<b>19.08</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MORGAN BANK /JPM	012	TAP	B	317	49.98	n/a	n/a	6.34	2.0
MORGAN BANK /JPM	012	TDC	B	419	27.00	n/a	n/a	8.38	2.0
MORGAN BANK /JPM	012	TEG	B	177	52.33	n/a	n/a	3.54	2.0
MORGAN BANK /JPM	012	TEK	B	176	27.95	n/a	n/a	3.52	2.0
MORGAN BANK /JPM	012	TEL	B	1,155	35.90	n/a	n/a	23.10	2.0
MORGAN BANK /JPM	012	TER	B	441	13.75	n/a	n/a	8.82	2.0
MORGAN BANK /JPM	012	TEX	B	237	86.03	n/a	n/a	4.74	2.0
MORGAN BANK /JPM	012	TE	B	489	15.84	n/a	n/a	9.78	2.0
MORGAN BANK /JPM	012	TGT	B	1,967	65.19	n/a	27-Jul	39.34	2.0



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MORGAN BANK /JPM	012	THC	B	1,101	3.50	n/a	19-Sep	22.02	2.0
MORGAN BANK /JPM	012	TIF	B	318	54.77	1-Oct	1-Oct	6.36	2.0
MORGAN BANK /JPM	012	TIN	B	246	55.21	21-Sep	21-Sep	4.92	2.0
AVESTA CAP	229	TJX	S	25,000	29.04	21-Sep	21-Sep	1,250.00	5.0
MORGAN BANK /JPM	012	TJX	B	1,033	28.66	21-Sep	21-Sep	20.66	2.0
MORGAN BANK /JPM	012	TLAB	B	1,018	9.58	n/a	22-Mar	20.36	2.0
MORGAN BANK /JPM	012	TMK	B	222	62.88	n/a	n/a	4.44	2.0
MORGAN BANK /JPM	012	TMO	B	991	57.00	n/a	n/a	19.82	2.0
MORGAN BANK /JPM	012	TRB	B	179	28.17	n/a	n/a	3.58	2.0
MORGAN BANK /JPM	012	TROW	B	616	56.64	28-Sep	28-Sep	12.32	2.0
MORGAN BANK /JPM	012	TRV	B	1,525	53.55	n/a	n/a	30.50	2.0
MORGAN BANK /JPM	012	TSN	B	639	17.66	n/a	n/a	12.78	2.0
MORGAN BANK /JPM	012	TSO	B	318	48.00	n/a	n/a	6.36	2.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TWB</b>	<b>S</b>	<b>50,000</b>	<b>34.49</b>	<b>2-Oct</b>	<b>2-Oct</b>	<b>2,000.00</b>	<b>4.0</b>
MORGAN BANK /JPM	012	TWX	B	8,665	18.99	n/a	n/a	173.30	2.0
MORGAN BANK /JPM	012	TXN	B	3,321	36.20	n/a	n/a	66.42	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MORGAN BANK /JPM	012	TXT	B	580	63.76	n/a	n/a	11.60	2.0
MORGAN BANK /JPM	012	TXU	B	1,072	68.80	n/a	n/a	21.44	2.0
MORGAN BANK /JPM	012	TYC	B	1,155	45.32	6-Aug	7-Aug	23.10	2.0
MORGAN BANK /JPM	012	T	B	14,171	41.99	21-Sep	4-Oct	283.42	2.0
<b>ZOLIDIS</b>	<b>011</b>	<b>UA</b>	<b>SS</b>	<b>200</b>	<b>58.09</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PROSPECTOR PARTNERS LLC	036	UFS	B	25,000	7.99	n/a	n/a	1,000.00	4.0
MORGAN BANK /JPM	012	UIS	B	813	7.00	n/a	n/a	16.26	2.0
MORGAN BANK /JPM	012	UNH	B	3,078	47.38	n/a	n/a	61.56	2.0
MORGAN BANK /JPM	012	UNM	B	838	25.13	n/a	n/a	16.76	2.0
MORGAN BANK /JPM	012	UNP	B	619	112.36	n/a	n/a	12.38	2.0
MORGAN BANK /JPM	012	UPS	B	2,439	75.60	n/a	n/a	48.78	2.0
MORGAN BANK /JPM	012	USB	B	4,011	33.50	n/a	n/a	80.22	2.0
MORGAN BANK /JPM	012	UST	B	370	49.24	n/a	n/a	7.40	2.0
MORGAN BANK /JPM	012	UTX	B	2,304	80.09	n/a	n/a	46.08	2.0
MORGAN BANK /JPM	012	VAR	B	294	43.57	n/a	n/a	5.88	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MORGAN BANK /JPM	012	VFC	B	206	83.06	n/a	n/a	4.12	2.0
MORGAN BANK /JPM	012	VIAB	B	1,595	39.02	n/a	n/a	31.90	2.0
MORGAN BANK /JPM	012	VLO	B	1,287	67.86	n/a	n/a	25.74	2.0
MORGAN BANK /JPM	012	VMC	B	222	93.69	n/a	n/a	4.44	2.0
MORGAN BANK /JPM	012	VNO	B	311	114.40	n/a	n/a	6.22	2.0
MORGAN BANK /JPM	012	VRSN	B	567	34.00	n/a	n/a	11.34	2.0
MORGAN BANK /JPM	012	VZ	B	6,744	45.42	21-Sep	1-Oct	134.88	2.0
SENTINAL CAPITAL	067	VZ	B	10,000	45.35	21-Sep	1-Oct	500.00	5.0
MORGAN BANK /JPM	012	WAG	B	2,309	39.77	n/a	n/a	46.18	2.0
MORGAN BANK /JPM	012	WAT	B	232	66.85	n/a	n/a	4.64	2.0
<b>LEDDY</b>	<b>035</b>	<b>WBC</b>	<b>B</b>	<b>300</b>	<b>48.36</b>	<b>n/a</b>	<b>14-Aug</b>	<b>0.00</b>	<b>0.0</b>
HIGHBRIDGE/MS OLDS	041	WB	SS	320,000	51.44	n/a	n/a	9,600.00	3.0
MORGAN BANK /JPM	012	WB	B	4,422	51.42	n/a	n/a	88.44	2.0
MORGAN BANK /JPM	012	WEN	B	203	34.65	n/a	24-Apr	4.06	2.0
MORGAN BANK /JPM	012	WFC	B	7,766	37.27	n/a	n/a	155.32	2.0
MORGAN BANK /JPM	012	WFMI	B	323	51.08	n/a	n/a	6.46	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MORGAN BANK /JPM	012	WFR	B	523	64.00	n/a	n/a	10.46	2.0
MORGAN BANK /JPM	012	WFT	B	783	67.20	n/a	n/a	15.66	2.0
MORGAN BANK /JPM	012	WHR	B	181	91.93	n/a	n/a	3.62	2.0
MORGAN BANK /JPM	012	WIN	B	1,109	14.12	n/a	n/a	22.18	2.0
MORGAN BANK /JPM	012	WLP	B	1,403	78.32	n/a	n/a	28.06	2.0
<b>Õ Ted Wheeler</b>		<b>WLVT</b>	<b>B</b>	<b>46500115.0000</b>		<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MORGAN BANK /JPM	012	WMB	B	1,395	34.50	n/a	n/a	27.90	2.0
MORGAN BANK /JPM	012	WMI	B	1,206	38.24	n/a	n/a	24.12	2.0
MORGAN BANK /JPM	012	WMT	B	5,577	45.00	4-Jun	27-Jul	111.54	2.0
MORGAN BANK /JPM	012	WM	B	2,035	35.28	n/a	n/a	40.70	2.0
MORGAN BANK /JPM	012	WPI	B	238	31.96	3-Aug	2-Oct	4.76	2.0
MORGAN BANK /JPM	012	WU	B	1,795	20.92	n/a	n/a	35.90	2.0
MORGAN BANK /JPM	012	WWY	B	505	65.84	n/a	n/a	10.10	2.0
MORGAN BANK /JPM	012	WYE	B	3,124	46.59	n/a	31-Mar	62.48	2.0
MORGAN BANK /JPM	012	WYN	B	415	32.62	n/a	n/a	8.30	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MORGAN BANK /JPM	012	WY	B	502	73.19	21-Sep	21-Sep	10.04	2.0
MORGAN BANK /JPM	012	XEL	B	975	21.92	n/a	n/a	19.50	2.0
MORGAN BANK /JPM	012	XLNX	B	687	26.32	n/a	n/a	13.74	2.0
MORGAN BANK /JPM	012	XL	B	422	80.34	n/a	n/a	8.44	2.0
<b>LEDDY</b>	<b>035</b>	<b>XOHO</b>	<b>B</b>	<b>3,000</b>	<b>3.33</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MORGAN BANK /JPM	012	XOM	B	12,887	90.92	n/a	n/a	257.74	2.0
MORGAN BANK /JPM	012	XRX	B	2,174	17.35	n/a	n/a	43.48	2.0
MORGAN BANK /JPM	012	XTO	B	896	62.57	n/a	n/a	17.92	2.0
MORGAN BANK /JPM	012	X	B	275	103.25	n/a	n/a	5.50	2.0
MORGAN BANK /JPM	012	YHOO	B	3,130	27.17	n/a	n/a	62.60	2.0
MORGAN BANK /JPM	012	YUM	B	1,208	33.72	n/a	24-Apr	24.16	2.0
MORGAN BANK /JPM	012	ZION	B	250	71.88	n/a	n/a	5.00	2.0
MORGAN BANK /JPM	012	ZMH	B	549	80.99	n/a	n/a	10.98	2.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ZQK</b>	<b>S</b>	<b>50,000</b>	<b>14.81</b>	<b>n/a</b>	<b>7-Sep</b>	<b>2,000.00</b>	<b>4.0</b>

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**TOTAL (Trade Date):**

**146,006.86**

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### Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/03	RHO CAPITAL MGMT (RHOCBSPB)	041	BBW	B	1,000	19.62	11-Sep	13-Sep	50.00 5.0
AO,CRT	10/03	RHO CAPITAL MGMT (RHOCBSPB)	041	BBW	B	1,000	19.62	11-Sep	13-Sep	40.00 4.0
AO,	10/03	DIAMONDBACK CAP MGMT (DIAMMSMAIN)	232	BMRN	S	50,000	25.18	n/a	n/a	2500.00 5.0
AO,CXL	10/03	METROPOLITAN CAPITAL (METRGS BUL)	044	BWS	B	21,500	20.61	n/a	n/a	860.00 4.0
AO,CRT	10/03	METROPOLITAN CAPITAL (METRGS BUL)	044	BWS	B	20,600	20.61	n/a	n/a	1030.00 5.0
AO,	10/03	METROPOLITAN CAPITAL (METRSPEAR)	044	BWS	B	900	20.61	n/a	n/a	45.00 5.0
AO,CXL	10/03	ROCKEFELLER & CO. (ROCK9388)	045	C	S	1,239	47.99	n/a	1-Oct	2.40 0.0
AO,CRT	10/03	ROCKEFELLER & CO. (ROCK9388)	045	C	S	1,239	47.99	n/a	1-Oct	61.95 5.0
AO,	10/03	J.W. SELIGMAN (JWSE450)	041	CVS	S	144,700	38.25	n/a	n/a	5788.00 4.0
AO,	10/03	J.W. SELIGMAN (JWSE320)	041	CVS	S	3,700	38.25	n/a	n/a	148.00 4.0
AO,CRT	10/03	SENECA CAPITAL LP NY (SENEMORGAN)	028	IWM	B	42,000	82.53	n/a	n/a	2100.00 5.0
AO,CXL	10/03	SENECA CAPITAL LP NY (SENE)	028	IWM	B	42,000	82.53	n/a	n/a	2100.00 5.0
CRT	10/04	COUGAR TRADING (COUGPB MS)	044	JCP	SS	10,000	66.28	21-Jun	7-Sep	500.00 5.0
CRT	10/04	COUGAR TRADING (COUGPB MS)	044	KSS	SS	10,000	59.49	27-Sep	3-Oct	500.00 5.0
AO,	10/03	LISTED ERR (LISTED ERR)	099	MLI	B	15,000	36.66	24-Jul	10-Aug	0.00 0.0
AO,	10/03	LISTED ERR (LISTED ERR)	099	MLI	S	15,800	36.67	24-Jul	10-Aug	0.00 0.0
AO,	10/03	U.S.TRUST COMPANY (USTCEVE)	012	MLI	S	15,000	36.66	24-Jul	10-Aug	675.00 4.5
AO,CXL	10/03	ROBX (ROBX190)	302	MSO	S	13,500	12.83	n/a	n/a	0.00 0.0
AO,CXL	10/03	J L F ASSET MGMT (JLFA\$0.04)	039	MSO	B	72,400	13.35	n/a	n/a	2896.00 4.0
AO,	10/01	LISTED ERR (LISTED ERR)	099	NOA	B	5	17.72	n/a	n/a	0.00 0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/01	BELMONT GLOBAL ADV (BELMJJEFFPB)	248	NOA	B	86,405	17.72	n/a	n/a	4320.25 5.0
AO,CRT	10/01	BELMONT GLOBAL ADV (BELMJJEFFPB)	248	NOA	B	86,400	17.72	n/a	n/a	4320.00 5.0
AO,CXL	10/03	METROPOLITAN CAPITAL (METRGS BUL)	044	PSS	S	21,500	24.05	n/a	n/a	1075.00 5.0
AO,CRT	10/03	METROPOLITAN CAPITAL (METRGS BUL)	044	PSS	S	20,600	24.05	n/a	n/a	1030.00 5.0
AO,	10/03	METROPOLITAN CAPITAL (METRSPEAR)	044	PSS	S	900	24.05	n/a	n/a	45.00 5.0
AO,CXL	10/03	BELMONT GLOBAL ADV (BELMJJEFFPB)	248	SMBL	B	20,000	12.67	n/a	n/a	0.00 0.0
AO,CRT	10/03	BELMONT GLOBAL ADV (BELMJJEFFPB)	248	SMBL	B	20,000	12.67	n/a	n/a	1000.00 5.0

**TOTAL (AO, CXL, CRT) :** **8,479.30**

TOTAL (Trade Date): 146,006.86  
TOTAL (AO, CXL, CRT): 8,479.30

**TOTAL (RUN DATE) / NFS:** **154,486.16**



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