



## Daily Compliance Activity Report

Trade Date: 12/12/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CHART WELL ADV	028	ABC	B	120,025	32.83	n/a	n/a	4,801.00	4.0
COUGAR TRADING	044	AG	SS	5,000	21.30	31-Oct	31-Oct	250.00	5.0
PIONEER OAKRIDGE	031	AIR	B	12,000	15.87	n/a	n/a	240.00	2.0
COUGAR TRADING	044	ALV	B	5,000	21.42	26-Nov	26-Nov	250.00	5.0
COUGAR TRADING	044	ALV	SS	15,000	20.08	26-Nov	26-Nov	750.00	5.0
PILOT ADV	038	AMZN	B	4,900	49.84	n/a	n/a	196.00	4.0
BALYASNY ASSET MGMT	044	ANF	B	25,000	20.13	7-Aug	12-Dec	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>SS</b>	<b>120,000</b>	<b>20.39</b>	<b>7-Aug</b>	<b>12-Dec</b>	<b>4,800.00</b>	<b>4.0</b>
PIONEER OAKRIDGE	031	ANSS	B	17,500	28.66	n/a	n/a	350.00	2.0
COUGAR TRADING	044	AN	B	5,000	9.09	7-Nov	7-Nov	200.00	4.0
COUGAR TRADING	044	AN	SS	10,000	8.68	7-Nov	7-Nov	400.00	4.0
PIONEER OAKRIDGE	031	ARG	B	3,000	34.59	24-Oct	3-Nov	60.00	2.0
NORTHPOINT	030	AWR	B	16,640	29.81	n/a	n/a	665.60	4.0
<b>AMATURO</b>	<b>018</b>	<b>BGZ</b>	<b>S</b>	<b>1,500</b>	<b>71.43</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MATRIX ASSET ADV.	036	BK	B	14,000	26.34	9-Oct	12-Dec	560.00	4.0
PIONEER OAKRIDGE	031	BLUD	B	1,500	23.02	n/a	n/a	30.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	BWA	B	10,000	19.64	26-Nov	26-Nov	500.00	5.0
BMO NESBITT BURNS	041	BWA	B	25,000	20.90	26-Nov	26-Nov	1,250.00	5.0
COUGAR TRADING	044	BWA	SS	10,000	19.36	26-Nov	26-Nov	500.00	5.0
PALMYRA CAPITAL	048	CAB	B	19,300	6.65	n/a	n/a	772.00	4.0
BALYASNY ASSET MGMT	044	CAT	SS	7,500	40.64	19-Sep	22-Oct	375.00	5.0
PIONEER OAKRIDGE	031	CHD	B	11,500	51.11	4-Sep	8-Dec	230.00	2.0
PIONEER OAKRIDGE	031	CHSI	B	4,000	22.76	n/a	n/a	80.00	2.0
PIONEER OAKRIDGE	031	CHTT	B	13,000	63.17	16-Oct	11-Dec	260.00	2.0
SERENGETI MGMT	030	CLI	B	75,000	19.73	n/a	n/a	3,750.00	5.0
SAXON WOODS ADVISORS	038	CL	B	75,000	57.64	14-Oct	13-Nov	3,000.00	4.0
DELTEC ASSET MGMT.	040	CTV	B	12,000	13.60	n/a	n/a	600.00	5.0
PIONEER OAKRIDGE	031	CXO	B	5,000	22.02	n/a	n/a	100.00	2.0
COUGAR TRADING	044	DSW	B	896	9.55	14-Nov	12-Dec	35.84	4.0
BRANDWINE	028	ETN	B	25,600	44.28	18-Nov	18-Nov	1,024.00	4.0
TRIBE CAP/MILLENNIUM	041	FDML	S	38,200	4.11	n/a	n/a	1,910.00	5.0
ASCEND PARTNERS	033	FDO	SS	20,000	24.29	5-Dec	12-Dec	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WAGONHOUND/NIC	048	FDO	C	7,218	24.35	5-Dec	12-Dec	288.72	4.0
BUCK CAPITAL MGMT	001	FL	S	150,000	6.92	7-Oct	12-Dec	4,500.00	3.0
PROSPECTOR PARTNERS LLC	036	FOR	B	25,000	4.30	n/a	3-Oct	1,000.00	4.0
TYNDALL	091	FOR	B	17,400	4.19	n/a	3-Oct	522.00	3.0
BUCK CAPITAL MGMT	001	GES	B	200,000	14.67	n/a	n/a	8,000.00	4.0
COUGAR TRADING	044	GIL	B	10,000	8.67	11-Dec	12-Dec	400.00	4.0
GRUSS CAPITAL	045	GLD	B	20,000	81.03	n/a	n/a	600.00	3.0
COOPER CREEK PART	028	GT	S	20,000	5.46	n/a	n/a	1,000.00	5.0
RAMIUS CAP	040	GVA	SS	34,800	41.88	n/a	n/a	1,740.00	5.0
PIONEER OAKRIDGE	031	HAE	B	3,000	55.18	n/a	n/a	60.00	2.0
PIONEER OAKRIDGE	031	HMSY	B	10,500	27.61	n/a	n/a	210.00	2.0
BRANDWINE	028	HON	B	65,700	28.14	3-Oct	18-Nov	2,628.00	4.0
PIONEER OAKRIDGE	031	ICON	B	2,500	8.53	n/a	n/a	50.00	2.0
MERRILL ASSET	032	ITG	B	18,300	19.90	n/a	n/a	823.50	4.5
BUCK CAPITAL MGMT	001	JCG	S	150,000	12.46	n/a	12-Dec	6,000.00	4.0
MERRILL ASSET	032	JLL	B	10,000	25.83	n/a	n/a	450.00	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	JNY	S	200,000	5.44	n/a	30-Oct	6,000.00	3.0
BUCK CAPITAL MGMT	001	KCP	S	30,000	8.11	n/a	28-Sep	900.00	3.0
SERENGETI MGMT	030	KIM	B	50,000	15.22	n/a	n/a	2,500.00	5.0
PIONEER OAKRIDGE	031	KNX	B	10,500	13.30	n/a	n/a	210.00	2.0
BULL PATH CAPITAL	044	KSS	B	21,500	34.66	n/a	12-Dec	1,075.00	5.0
WEINTRAUB CAPITAL MGT.	040	LEA	B	225,000	1.99	n/a	n/a	9,000.00	4.0
PIONEER OAKRIDGE	031	LKQX	B	5,000	10.08	n/a	n/a	100.00	2.0
CAMBIAR CAP	046	LTD	B	145,140	8.57	18-Nov	12-Dec	4,354.20	3.0
BUCK CAPITAL MGMT	001	MFB	S	1,600	9.51	n/a	n/a	48.00	3.0
PIONEER OAKRIDGE	031	MOGA	B	6,500	31.33	n/a	n/a	130.00	2.0
UBS OCONNOR	031	NUE	C	10,000	43.31	n/a	n/a	300.00	3.0
AVESTA CAP	229	PEP	S	50,000	51.28	n/a	n/a	2,500.00	5.0
COUGAR TRADING	044	PH	B	5,000	36.97	28-Sep	11-Dec	250.00	5.0
COUGAR TRADING	044	PH	SS	10,000	35.59	28-Sep	11-Dec	500.00	5.0
BUCK CAPITAL MGMT	001	PII	SS	30,000	26.10	n/a	n/a	1,200.00	4.0
PIONEER OAKRIDGE	031	PRAA	B	5,000	31.17	n/a	n/a	100.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	PRA	B	3,500	47.81	n/a	n/a	70.00	2.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PSA</b>	<b>B</b>	<b>10,000</b>	<b>65.52</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
PIONEER OAKRIDGE	031	RATE	B	2,000	33.47	n/a	n/a	40.00	2.0
FRONTPOINT/COPIA-ANDREW	031	RIG	S	46,000	55.55	n/a	n/a	1,610.00	3.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>B</b>	<b>15,000</b>	<b>43.60</b>	<b>n/a</b>	<b>6-Nov</b>	<b>600.00</b>	<b>4.0</b>
PIONEER OAKRIDGE	031	RMD	B	3,500	36.17	n/a	n/a	70.00	2.0
BRANDWINE	028	RTN	B	65,400	50.48	n/a	n/a	2,616.00	4.0
<b>DEMARTINI</b>	<b>065</b>	<b>SDS</b>	<b>S</b>	<b>500</b>	<b>88.49</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PALMYRA CAPITAL	048	SKS	S	14,525	4.38	n/a	n/a	581.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKX</b>	<b>S</b>	<b>100,000</b>	<b>10.62</b>	<b>n/a</b>	<b>13-Mar</b>	<b>4,000.00</b>	<b>4.0</b>
GRUSS CAPITAL	045	SPY	B	10,000	85.83	n/a	n/a	300.00	3.0
PIONEER OAKRIDGE	031	SXE	B	8,500	31.14	n/a	n/a	170.00	2.0
PIONEER OAKRIDGE	031	SYNT	B	5,500	23.85	n/a	n/a	110.00	2.0
DELTEC ASSET MGMT.	040	TEX	B	10,000	16.81	23-Oct	23-Oct	500.00	5.0
ASCEND PARTNERS	033	TGT	SS	2,000	36.61	17-Nov	12-Dec	100.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TGT</b>	<b>SS</b>	<b>50,000</b>	<b>36.76</b>	<b>17-Nov</b>	<b>12-Dec</b>	<b>2,000.00</b>	<b>4.0</b>
TRELLUS PARTNERS LP	028	TGT	B	10,000	35.82	17-Nov	12-Dec	500.00	5.0
PRINCIPLE CAPITAL	040	TIF	SS	93,700	22.66	n/a	12-Dec	2,811.00	3.0
KEEFE BRUYETTE WOODS A	045	TROW	SS	5,600	31.28	19-Sep	9-Dec	280.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>UA</b>	<b>SS</b>	<b>20,000</b>	<b>24.37</b>	<b>n/a</b>	<b>29-Oct</b>	<b>800.00</b>	<b>4.0</b>
LATEFF MGMT	035	UN	S	2,250	23.32	n/a	n/a	315.00	14.0
MAIRS AND POWER INV	030	USB	B	20,000	24.86	n/a	n/a	1,000.00	5.0
FRONTPOINT/COPIA-ANDREW	031	USO	B	125,100	36.63	n/a	n/a	3,753.00	3.0
RAMIUS CAP	040	VMC	SS	20,600	65.07	n/a	n/a	1,030.00	5.0
PIONEER OAKRIDGE	031	VMI	B	1,500	56.82	n/a	n/a	30.00	2.0
AVESTA CAP	229	WAG	SS	25,000	25.50	n/a	n/a	1,250.00	5.0
FRONTPOINT/COPIA-ANDREW	031	WFT	B	86,584	10.33	n/a	n/a	3,030.44	3.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WRC</b>	<b>S</b>	<b>30,000</b>	<b>16.05</b>	<b>7-Nov</b>	<b>7-Nov</b>	<b>1,200.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WSM</b>	<b>SS</b>	<b>100,000</b>	<b>7.77</b>	<b>n/a</b>	<b>n/a</b>	<b>3,000.00</b>	<b>3.0</b>
PIONEER OAKRIDGE	031	WWW	B	3,500	19.59	n/a	13-Mar	70.00	2.0
FRONTPOINT/COPIA-ANDREW	031	XOM	B	88,000	79.18	n/a	n/a	3,080.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
UBS OCONNOR	031	YUM	SS	180,000	27.36	14-Aug	10-Dec	5,400.00	3.0
SERENGETI MGMT	030	ZION	SS	50,000	26.00	n/a	n/a	2,500.00	5.0
<b>TOTAL (Trade Date):</b>								<b>130,845.30</b>	

### Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CRT	12/10	BUCK CAPITAL MGMT (BUCKMSMAIN)	040	AEO	B	100,000	10.13	n/a	12-Dec	4000.00	4.0
AO,CXL	12/10	DE SHAW (DESHBARCLA)	040	AEO	B	100,000	10.13	n/a	12-Dec	4000.00	4.0
AO,	12/11	UBS OCONNOR (UBSOJPMBS)	031	COST	C	74,048	51.86	n/a	27-Jul	2221.44	3.0
AO,CXL	12/11	UBS OCONNOR (UBSOCITI)	031	COST	C	74,048	51.86	n/a	27-Jul	2221.44	3.0
AO,CXL	12/11	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	GIL	S	52,900	9.31	11-Dec	12-Dec	2116.00	4.0
AO,CRT	12/11	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	GIL	S	52,900	9.31	11-Dec	12-Dec	1587.00	3.0
AO,CXL	12/11	COUGAR TRADING (COUGPB MS)	044	GIL	S	10,000	9.71	11-Dec	12-Dec	400.00	4.0
AO,CRT	12/11	COUGAR TRADING (COUGPB MS)	044	GIL	S	10,000	9.71	11-Dec	12-Dec	300.00	3.0
AO,CXL	12/11	WILLOW CREEK (WILLMAIN)	033	GMT	B	10,000	25.04	n/a	n/a	500.00	5.0
AO,CRT	12/11	WILLOW CREEK (WILLMAIN)	033	GMT	B	10,000	25.04	n/a	n/a	400.00	4.0
AO,CXL	12/11	HBK FUNDS (HBKFCITI)	203	KG	S	250,000	9.27	n/a	n/a	0.00	0.0
AO,	12/11	HBK FUNDS (HBKFCITI)	203	KG	S	250,000	9.27	n/a	n/a	12500.00	5.0
AO,CXL	12/11	WILLOW CREEK (WILLMAIN)	033	NOK	B	10,000	15.12	n/a	n/a	500.00	5.0
AO,CRT	12/11	WILLOW CREEK (WILLMAIN)	033	NOK	B	10,000	15.12	n/a	n/a	400.00	4.0
AO,CXL	12/11	COUGAR TRADING (COUGPB MS)	044	SSI	B	15,000	6.46	n/a	5-Dec	750.00	5.0
AO,CRT	12/11	COUGAR TRADING (COUGPB MS)	044	SSI	B	15,000	6.46	n/a	5-Dec	600.00	4.0
AO,CXL	12/11	WILLOW CREEK (WILLMAIN)	033	TTC	B	5,000	30.36	n/a	n/a	250.00	5.0
AO,CRT	12/11	WILLOW CREEK (WILLMAIN)	033	TTC	B	5,000	30.36	n/a	n/a	200.00	4.0
AO,	12/11	AELTUS/ING IVESTMENT MGT (AELTIIMANE)	215	URBN	S	2,052	15.15	5-Nov	12-Dec	71.82	3.5



Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELTSEP819)	215	URBN	S	244	15.15	5-Nov	12-Dec	8.54 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELTSEP583)	215	URBN	S	546	15.15	5-Nov	12-Dec	19.11 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELTSEP466)	215	URBN	S	385	15.15	5-Nov	12-Dec	13.48 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELT695342)	215	URBN	S	41	15.15	5-Nov	12-Dec	1.44 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELT25613)	215	URBN	S	27	15.15	5-Nov	12-Dec	0.95 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELT35613)	215	URBN	S	95	15.15	5-Nov	12-Dec	3.33 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELT15613)	215	URBN	S	27	15.15	5-Nov	12-Dec	0.95 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELT240175)	215	URBN	S	122	15.15	5-Nov	12-Dec	4.27 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELT42613)	215	URBN	S	75	15.15	5-Nov	12-Dec	2.63 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELT94613)	215	URBN	S	27	15.15	5-Nov	12-Dec	0.95 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELT84613T)	215	URBN	S	27	15.15	5-Nov	12-Dec	0.95 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELT87370)	215	URBN	S	20	15.15	5-Nov	12-Dec	0.70 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELT317821)	215	URBN	S	81	15.15	5-Nov	12-Dec	2.84 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELT46736)	215	URBN	S	68	15.15	5-Nov	12-Dec	2.38 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELT97305)	215	URBN	S	19	15.15	5-Nov	12-Dec	0.67 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELT30070)	215	URBN	S	95	15.15	5-Nov	12-Dec	3.33 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELT28461)	215	URBN	S	22	15.15	5-Nov	12-Dec	0.77 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELT23427)	215	URBN	S	42	15.15	5-Nov	12-Dec	1.47 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELT40040)	215	URBN	S	44	15.15	5-Nov	12-Dec	1.54 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELT364701)	215	URBN	S	87	15.15	5-Nov	12-Dec	3.05 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELT45196)	215	URBN	S	78	15.15	5-Nov	12-Dec	2.73 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELT22843)	215	URBN	S	40	15.15	5-Nov	12-Dec	1.40 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELT47074)	215	URBN	S	43	15.15	5-Nov	12-Dec	1.51 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELT49043)	215	URBN	S	59	15.15	5-Nov	12-Dec	2.07 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELT203689)	215	URBN	S	110	15.15	5-Nov	12-Dec	3.85 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELT50994)	215	URBN	S	25	15.15	5-Nov	12-Dec	0.88 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELT56007)	215	URBN	S	78	15.15	5-Nov	12-Dec	2.73 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELT60400)	215	URBN	S	60	15.15	5-Nov	12-Dec	2.10 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELT12524)	215	URBN	S	31	15.15	5-Nov	12-Dec	1.09 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELT20031)	215	URBN	S	22	15.15	5-Nov	12-Dec	0.77 3.5

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AO,	12/11	AELTUS/ING INVESTMENT MGT (AELT62474)	215	URBN	S	41	15.15	5-Nov	12-Dec	1.44 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELT77904)	215	URBN	S	67	15.15	5-Nov	12-Dec	2.35 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELT82764)	215	URBN	S	24	15.15	5-Nov	12-Dec	0.84 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELT97715)	215	URBN	S	112	15.15	5-Nov	12-Dec	3.92 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELT138242)	215	URBN	S	129	15.15	5-Nov	12-Dec	4.52 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELT20229)	215	URBN	S	43	15.15	5-Nov	12-Dec	1.51 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELT31671)	215	URBN	S	73	15.15	5-Nov	12-Dec	2.56 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELT31672)	215	URBN	S	134	15.15	5-Nov	12-Dec	4.69 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELTLUXUSG)	215	URBN	S	1,002	15.15	5-Nov	12-Dec	35.07 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELTALLIED)	215	URBN	S	208	15.15	5-Nov	12-Dec	7.28 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELTSEPCO0)	215	URBN	S	7,196	15.15	5-Nov	12-Dec	251.86 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELTIIMHEB)	215	URBN	S	327	15.15	5-Nov	12-Dec	11.45 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELTAIMPRO)	215	URBN	S	310	15.15	5-Nov	12-Dec	10.85 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELTAIMPRO)	215	URBN	S	2,912	15.15	5-Nov	12-Dec	101.92 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELTAIMCOK)	215	URBN	S	1,076	15.15	5-Nov	12-Dec	37.66 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELTINGMCO)	215	URBN	S	5,217	15.15	5-Nov	12-Dec	182.60 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELTINGMCO)	215	URBN	S	1,913	15.15	5-Nov	12-Dec	66.96 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELTAIMTIG)	215	URBN	S	19,750	15.15	5-Nov	12-Dec	691.25 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELT31624)	215	URBN	S	141	15.15	5-Nov	12-Dec	4.94 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELT31622)	215	URBN	S	149	15.15	5-Nov	12-Dec	5.22 3.5
AO,	12/11	AELTUS/ING INVESTMENT MGT (AELT31621)	215	URBN	S	61	15.15	5-Nov	12-Dec	2.14 3.5
AO,	12/11	BAIRD INVESTMENT (BAIRWMCLFD)	031	WFT	B	3,275	10.65	n/a	n/a	163.75 5.0
AO,	12/11	BAIRD INVESTMENT (BAIRJB473L)	031	WFT	B	2,050	10.65	n/a	n/a	102.50 5.0
AO,	12/11	BAIRD INVESTMENT (BAIRBLCFB)	031	WFT	B	6,250	10.65	n/a	n/a	312.50 5.0
AO,	12/11	BAIRD INVESTMENT (BAIRVB515)	031	WFT	B	2,850	10.65	n/a	n/a	142.50 5.0
AO,CXL	12/11	WILLOW CREEK (WILLMAIN)	033	ZBRA	B	10,000	19.64	n/a	n/a	500.00 5.0
AO,CRT	12/11	WILLOW CREEK (WILLMAIN)	033	ZBRA	B	10,000	19.64	n/a	n/a	400.00 4.0

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

**13,687.58**

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TOTAL (Trade Date):	130,845.30
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TOTAL (AO, CXL, CRT):	13,687.58
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<b>TOTAL (RUN DATE) / NFS:</b>	<b>144,532.88</b>
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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