



Daily Compliance Activity Report

Trade Date: 08/27/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROARING BLUE LION MGMT	012	AB	S	3,200	83.92	9-Aug	22-Aug	160.00	5.0
SAGE ASSET MGMT	012	ACA	B	9,300	6.85	n/a	n/a	465.00	5.0
LOCUS WOOD CAPITAL MGMT	044	AEO	B	25,000	26.08	10-Jul	21-Aug	1,000.00	4.0
CRAMER ROSENTHAL/SCOTT	012	AF	B	148,100	26.26	n/a	n/a	5,924.00	4.0
NEW JERSEY DIV OF INV.	220	AMD	B	130,000	12.05	n/a	n/a	3,900.00	3.0
MAZAMA CAPITAL MGMT.	035	AOS	S	26,800	48.65	18-Jul	18-Jul	1,072.00	4.0
BARROW HANLEY MEWHINNEY	031	AVY	B	113,400	60.54	13-Aug	21-Aug	4,536.00	4.0
LEVIN CAPITAL STRATEGIES	012	BAC	SS	15,000	51.32	20-Apr	16-Aug	600.00	4.0
DOWNTOWN ASSOC	033	BECN	B	19,800	10.97	n/a	n/a	693.00	3.5
BUCK CAPITAL MGMT	001	BIG	B	50,000	26.75	9-Mar	27-Aug	2,000.00	4.0
LEVIN CAPITAL STRATEGIES	012	BIG	C	10,000	26.59	9-Mar	27-Aug	400.00	4.0
CARLYLE BLUE WAVE PR MG	224	BUD	S	8,200	48.41	n/a	n/a	410.00	5.0
VISIUM/BALY HOWARD	038	CACH	B	25,000	16.56	n/a	n/a	1,250.00	5.0
CARLYLE BLUE WAVE PR MG	224	CAR	SS	7,100	23.15	n/a	n/a	355.00	5.0
ACT II PARTNERS	067	CCOI	B	21,962	26.88	n/a	n/a	1,098.10	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AMATURO	001	CHCG	B	5,462	5.50	n/a	n/a	0.00	0.0
COUGAR TRADING	044	CHS	B	5,000	16.85	10-Aug	10-Aug	250.00	5.0
MATTHES CAPITAL MGMT	033	CHS	SS	10,000	16.93	10-Aug	10-Aug	400.00	4.0
CROWLEY	061	CMU	B	2,000	5.59	n/a	n/a	0.00	0.0
J L F ASSET MGMT	039	COH	S	133,400	43.20	n/a	1-Aug	5,336.00	4.0
MANNING & NAPIER	034	CVC	S	63,237	32.70	8-Aug	16-Aug	2,529.48	4.0
MATTHES CAPITAL MGMT	033	CWTR	SS	10,000	17.17	n/a	n/a	400.00	4.0
LEDDY	035	EVST	S	1,200	32.52	n/a	n/a	0.00	0.0
MATTHES CAPITAL MGMT	033	FDO	SS	10,000	28.05	9-Aug	10-Aug	400.00	4.0
MAGNETAR FINANCIAL	247	GMT	B	6,420	43.58	n/a	n/a	192.60	3.0
MAGNETAR FINANCIAL	247	HCR	B	100,000	63.28	n/a	26-Jul	2,000.00	2.0
HIGHBRIDGE CAPITAL	038	ILF	B	4,500	207.41	n/a	n/a	225.00	5.0
BARR	096	IMB	C	800	23.07	n/a	n/a	0.00	0.0
GALLEON MGMT LP	033	IP	C	15,000	34.63	4-May	20-Aug	750.00	5.0
GENERAL ELECTIC CO	033	ITT	B	22,726	64.61	n/a	27-Jul	909.04	4.0
BUCK CAPITAL MGMT	001	JCG	B	5,000	51.08	22-Jun	6-Aug	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	JCP	B	5,000	66.50	21-Jun	16-Aug	250.00	5.0
BARR	096	JPM	SS	100	45.03	n/a	16-Aug	0.00	0.0
BUCK CAPITAL MGMT	001	JWN	B	5,000	48.68	12-Jul	17-Aug	200.00	4.0
MAZAMA CAPITAL MGMT.	035	KNL	S	47,300	18.91	n/a	n/a	1,892.00	4.0
STRONG/WELL HOWARD	038	KNL	B	18,000	18.79	n/a	n/a	720.00	4.0
BUCK CAPITAL MGMT	001	KSS	B	30,000	57.57	14-Jun	27-Jul	1,200.00	4.0
J L F ASSET MGMT	039	LOW	S	163,801	29.84	n/a	27-Jul	6,552.04	4.0
J L F ASSET MGMT	039	MAT	SS	97,600	21.72	n/a	n/a	3,904.00	4.0
MAZAMA CAPITAL MGMT.	035	MSO	S	22,800	12.95	n/a	n/a	912.00	4.0
ROTHSCHILD ASSET	040	MTN	S	14,540	56.82	n/a	n/a	654.30	4.5
PLATTE RIVER CAPITAL	240	MTU	S	54,000	9.71	n/a	n/a	2,160.00	4.0
BUCK CAPITAL MGMT	001	M	S	180,000	31.59	13-Jul	16-Aug	7,200.00	4.0
J L F ASSET MGMT	039	NKE	S	62,700	54.09	n/a	n/a	2,508.00	4.0
AMBER CAPITAL	046	NLC	B	150,600	26.01	n/a	n/a	6,024.00	4.0
Ö Claire Mencke		NTE	S	660	12.5100	n/a	n/a	0.00	0.0
J L F ASSET MGMT	039	ODP	S	119,000	24.05	n/a	27-Jul	4,760.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEDDY	035	OPY	S	300	48.95	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	OXM	SS	25,000	36.75	n/a	n/a	1,000.00	4.0
STRONG/WELL HOWARD	038	PMI	B	25,800	30.89	n/a	n/a	1,032.00	4.0
AMBER CAPITAL	046	PPG	S	50,000	73.55	n/a	21-Aug	2,000.00	4.0
ROTHSCHILD ASSET	040	RKT	S	4,860	29.67	n/a	n/a	218.70	4.5
ARTISAN PARTNERS LP	031	RL	S	39,900	76.58	9-Aug	9-Aug	1,995.00	5.0
ARTM	031	RL	S	100	76.58	9-Aug	9-Aug	5.00	5.0
BALYASNY ASSET MGMT	044	RSO	B	20,000	10.80	n/a	n/a	1,000.00	5.0
CARLYLE BLUE WAVE PR MG	224	SLE	SS	9,800	16.65	n/a	n/a	490.00	5.0
EMP ERROR	099	SNPS	B	500	26.99	n/a	n/a	0.00	0.0
GALLEON MGMT LP	033	SPY	C	10,000	147.30	n/a	n/a	500.00	5.0
MATLIN PATTERSON	046	SWN	B	25,000	37.74	n/a	3-Aug	1,250.00	5.0
WAGONHOUND	048	TIF	B	4,610	45.64	1-Jun	13-Jun	184.40	4.0
Õ Claire Mencke		TLT	S	100	88.2800	n/a	n/a	0.00	0.0
WANG	192	TWB	S	75	28.99	23-Aug	23-Aug	0.00	0.0
MAGNETAR FINANCIAL	247	TXU	B	200,000	65.75	n/a	n/a	4,000.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KAICHER	064	UIS	B	300	7.34	n/a	n/a	0.00	0.0
COUGAR TRADING	044	URBN	B	5,000	22.84	31-Jul	10-Aug	250.00	5.0
SSI INVESTORS	048	USM	B	13,965	97.44	n/a	n/a	558.60	4.0
HIGHBRIDGE CAPITAL	038	VMC	B	4,300	91.42	n/a	n/a	215.00	5.0
SAGE ASSET MGMT	012	WFMI	B	43,000	45.66	n/a	n/a	2,150.00	5.0
COUGAR TRADING	044	ZQK	S	5,000	12.83	n/a	27-Jun	250.00	5.0
TOTAL (Trade Date) :								93,490.26	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	08/24	BALYASNY ASSET MGMT (BALY)	044	AEO	B	30,000	24.74	10-Jul	21-Aug	1500.00	5.0
AO,CRT	08/24	BALYASNY ASSET MGMT (BALY)	044	AEO	B	30,000	24.74	10-Jul	21-Aug	1500.00	5.0
AO,CXL	08/23	NATIONAL BK OF CAN (NBCAMAIN)	031	BSC	S	10,000	116.53	10-Aug	16-Aug	300.00	3.0
AO,CRT	08/23	NATIONAL BK OF CAN (NBCAMAIN)	031	BSC	S	10,000	116.53	10-Aug	16-Aug	400.00	4.0
AO,CRT	08/24	MKT MAKER (MKT MAKER)	097	CPWM	B	37	5.03	n/a	n/a	0.00	0.0
AO,	08/24	MANNING & NAPIER (MANNMU2000)	034	CVC	S	141,621	32.84	8-Aug	16-Aug	5664.84	4.0
AO,	08/24	MANNING & NAPIER (MANNMJ6129)	034	CVC	S	850	32.84	8-Aug	16-Aug	34.00	4.0
AO,	08/24	MANNING & NAPIER (MANNMJ6126)	034	CVC	S	1,470	32.84	8-Aug	16-Aug	58.80	4.0
AO,	08/24	MANNING & NAPIER (MANNMJ6124)	034	CVC	S	25,870	32.84	8-Aug	16-Aug	1034.80	4.0
AO,	08/24	MANNING & NAPIER (MANNGR4862)	034	CVC	S	1,010	32.84	8-Aug	16-Aug	40.40	4.0
AO,	08/24	MANNING & NAPIER (MANNGR4859)	034	CVC	S	1,190	32.84	8-Aug	16-Aug	47.60	4.0
AO,	08/24	MANNING & NAPIER (MANNGR4830)	034	CVC	S	250	32.84	8-Aug	16-Aug	10.00	4.0
AO,	08/24	MANNING & NAPIER (MANNGR4829)	034	CVC	S	500	32.84	8-Aug	16-Aug	20.00	4.0
AO,	08/24	MANNING & NAPIER (MANNCD9916)	034	CVC	S	190	32.84	8-Aug	16-Aug	7.60	4.0
AO,	08/24	MANNING & NAPIER (MANNCD9915)	034	CVC	S	120	32.84	8-Aug	16-Aug	4.80	4.0
AO,	08/24	MANNING & NAPIER (MANNCD9914)	034	CVC	S	120	32.84	8-Aug	16-Aug	4.80	4.0
AO,	08/24	MANNING & NAPIER (MANNGR4820)	034	CVC	S	625	32.84	8-Aug	16-Aug	25.00	4.0
AO,	08/24	MANNING & NAPIER (MANNCD8664)	034	CVC	S	820	32.84	8-Aug	16-Aug	32.80	4.0
AO,	08/24	MANNING & NAPIER (MANNGR6388)	034	CVC	S	160	32.84	8-Aug	16-Aug	6.40	4.0
AO,	08/24	MANNING & NAPIER (MANNGR8200)	034	CVC	S	120	32.84	8-Aug	16-Aug	4.80	4.0
AO,	08/24	MANNING & NAPIER (MANNEQ6364)	034	CVC	S	260	32.84	8-Aug	16-Aug	10.40	4.0
AO,	08/24	MANNING & NAPIER (MANNEQ0992)	034	CVC	S	580	32.84	8-Aug	16-Aug	23.20	4.0
AO,	08/24	MANNING & NAPIER (MANNMJ2823)	034	CVC	S	2,420	32.84	8-Aug	16-Aug	96.80	4.0
AO,	08/24	MANNING & NAPIER (MANNGR4858)	034	CVC	S	460	32.84	8-Aug	16-Aug	18.40	4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/24	MANNING & NAPIER (MANNGR5640)	034	CVC	S	1,700	32.84	8-Aug	16-Aug	68.00 4.0
AO,	08/24	MANNING & NAPIER (MANNGR5354)	034	CVC	S	480	32.84	8-Aug	16-Aug	19.20 4.0
AO,	08/24	MANNING & NAPIER (MANNGR5999)	034	CVC	S	140	32.84	8-Aug	16-Aug	5.60 4.0
AO,	08/24	MANNING & NAPIER (MANNMJ8572)	034	CVC	S	690	32.84	8-Aug	16-Aug	27.60 4.0
AO,	08/24	MANNING & NAPIER (MANNJS0075)	034	CVC	S	100	32.84	8-Aug	16-Aug	4.00 4.0
AO,	08/24	MANNING & NAPIER (MANNEQ0971)	034	CVC	S	170	32.84	8-Aug	16-Aug	6.80 4.0
AO,	08/24	MANNING & NAPIER (MANNJS0076)	034	CVC	S	30	32.84	8-Aug	16-Aug	1.20 4.0
AO,	08/24	MANNING & NAPIER (MANNEQ0970)	034	CVC	S	180	32.84	8-Aug	16-Aug	7.20 4.0
AO,	08/24	MANNING & NAPIER (MANNJS0077)	034	CVC	S	60	32.84	8-Aug	16-Aug	2.40 4.0
AO,	08/24	MANNING & NAPIER (MANNEQ0974)	034	CVC	S	60	32.84	8-Aug	16-Aug	2.40 4.0
AO,	08/24	MANNING & NAPIER (MANNMJ1400)	034	CVC	S	3,280	32.84	8-Aug	16-Aug	131.20 4.0
AO,	08/24	MANNING & NAPIER (MANNEQ2445)	034	CVC	S	1,020	32.84	8-Aug	16-Aug	40.80 4.0
AO,	08/24	MANNING & NAPIER (MANNCD9910)	034	CVC	S	220	32.84	8-Aug	16-Aug	8.80 4.0
AO,	08/24	MANNING & NAPIER (MANNGR6354)	034	CVC	S	430	32.84	8-Aug	16-Aug	17.20 4.0
AO,	08/24	MANNING & NAPIER (MANNGR6217)	034	CVC	S	1,460	32.84	8-Aug	16-Aug	58.40 4.0
AO,	08/24	MANNING & NAPIER (MANNMJ5180)	034	CVC	S	350	32.84	8-Aug	16-Aug	14.00 4.0
AO,	08/24	MANNING & NAPIER (MANNGR6387)	034	CVC	S	350	32.84	8-Aug	16-Aug	14.00 4.0
AO,	08/24	MANNING & NAPIER (MANNJS5004)	034	CVC	S	150	32.84	8-Aug	16-Aug	6.00 4.0
AO,	08/24	MANNING & NAPIER (MANNGR7337)	034	CVC	S	440	32.84	8-Aug	16-Aug	17.60 4.0
AO,	08/24	MANNING & NAPIER (MANNJS5005)	034	CVC	S	90	32.84	8-Aug	16-Aug	3.60 4.0
AO,	08/24	MANNING & NAPIER (MANNGR5648)	034	CVC	S	180	32.84	8-Aug	16-Aug	7.20 4.0
AO,	08/24	MANNING & NAPIER (MANNGR7338)	034	CVC	S	420	32.84	8-Aug	16-Aug	16.80 4.0
AO,	08/24	MANNING & NAPIER (MANNGR2812)	034	CVC	S	1,000	32.84	8-Aug	16-Aug	40.00 4.0
AO,	08/24	MANNING & NAPIER (MANNGR5647)	034	CVC	S	2,270	32.84	8-Aug	16-Aug	90.80 4.0
AO,	08/24	MANNING & NAPIER (MANNMJ7230)	034	CVC	S	1,350	32.84	8-Aug	16-Aug	54.00 4.0
AO,	08/24	MANNING & NAPIER (MANNGR5644)	034	CVC	S	1,970	32.84	8-Aug	16-Aug	78.80 4.0
AO,	08/24	MANNING & NAPIER (MANNMJ1401)	034	CVC	S	4,930	32.84	8-Aug	16-Aug	197.20 4.0
AO,	08/24	MANNING & NAPIER (MANNOMNIHE)	034	CVC	S	9,660	32.84	8-Aug	16-Aug	386.40 4.0
AO,	08/24	MANNING & NAPIER (MANNGR5644)	034	CVC	S	830	32.84	8-Aug	16-Aug	33.20 4.0
AO,	08/24	MANNING & NAPIER (MANNCD0943)	034	CVC	S	300	32.84	8-Aug	16-Aug	12.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/24	MANNING & NAPIER (MANNGR4798)	034	CVC	S	290	32.84	8-Aug	16-Aug	11.60 4.0
AO,	08/24	MANNING & NAPIER (MANNCD6391)	034	CVC	S	100	32.84	8-Aug	16-Aug	4.00 4.0
AO,	08/24	MANNING & NAPIER (MANNCD1121)	034	CVC	S	1,820	32.84	8-Aug	16-Aug	72.80 4.0
AO,	08/24	MANNING & NAPIER (MANNEQ0972)	034	CVC	S	230	32.84	8-Aug	16-Aug	9.20 4.0
AO,	08/24	MANNING & NAPIER (MANNMJ3481)	034	CVC	S	190	32.84	8-Aug	16-Aug	7.60 4.0
AO,	08/24	MANNING & NAPIER (MANNGR0037)	034	CVC	S	760	32.84	8-Aug	16-Aug	30.40 4.0
AO,	08/24	MANNING & NAPIER (MANNMJ3477)	034	CVC	S	140	32.84	8-Aug	16-Aug	5.60 4.0
AO,	08/24	MANNING & NAPIER (MANNGR0058)	034	CVC	S	420	32.84	8-Aug	16-Aug	16.80 4.0
AO,	08/24	MANNING & NAPIER (MANNMJ3474)	034	CVC	S	770	32.84	8-Aug	16-Aug	30.80 4.0
AO,	08/24	MANNING & NAPIER (MANNGR0059)	034	CVC	S	140	32.84	8-Aug	16-Aug	5.60 4.0
AO,	08/24	MANNING & NAPIER (MANNMJ3466)	034	CVC	S	640	32.84	8-Aug	16-Aug	25.60 4.0
AO,	08/24	MANNING & NAPIER (MANNGR0095)	034	CVC	S	3,460	32.84	8-Aug	16-Aug	138.40 4.0
AO,	08/24	MANNING & NAPIER (MANNMJ3465)	034	CVC	S	630	32.84	8-Aug	16-Aug	25.20 4.0
AO,	08/24	MANNING & NAPIER (MANNGR4755)	034	CVC	S	230	32.84	8-Aug	16-Aug	9.20 4.0
AO,	08/24	MANNING & NAPIER (MANNMJ3464)	034	CVC	S	630	32.84	8-Aug	16-Aug	25.20 4.0
AO,	08/24	MANNING & NAPIER (MANNJS1009)	034	CVC	S	170	32.84	8-Aug	16-Aug	6.80 4.0
AO,	08/24	MANNING & NAPIER (MANNMJ3463)	034	CVC	S	630	32.84	8-Aug	16-Aug	25.20 4.0
AO,	08/24	MANNING & NAPIER (MANNJ21011)	034	CVC	S	280	32.84	8-Aug	16-Aug	11.20 4.0
AO,	08/24	MANNING & NAPIER (MANNMJ3462)	034	CVC	S	630	32.84	8-Aug	16-Aug	25.20 4.0
AO,	08/24	MANNING & NAPIER (MANNCD0108)	034	CVC	S	90	32.84	8-Aug	16-Aug	3.60 4.0
AO,	08/24	MANNING & NAPIER (MANNMJ3461)	034	CVC	S	630	32.84	8-Aug	16-Aug	25.20 4.0
AO,	08/24	MANNING & NAPIER (MANNCD0107)	034	CVC	S	960	32.84	8-Aug	16-Aug	38.40 4.0
AO,	08/24	MANNING & NAPIER (MANNMJ3460)	034	CVC	S	70	32.84	8-Aug	16-Aug	2.80 4.0
AO,	08/24	MANNING & NAPIER (MANNCD0088)	034	CVC	S	1,370	32.84	8-Aug	16-Aug	54.80 4.0
AO,	08/24	MANNING & NAPIER (MANNMJ8571)	034	CVC	S	3,360	32.84	8-Aug	16-Aug	134.40 4.0
AO,	08/24	MANNING & NAPIER (MANNEQ8867)	034	CVC	S	140	32.84	8-Aug	16-Aug	5.60 4.0
AO,	08/24	MANNING & NAPIER (MANNMJ8570)	034	CVC	S	5,040	32.84	8-Aug	16-Aug	201.60 4.0
AO,	08/24	MANNING & NAPIER (MANNEQ4810)	034	CVC	S	330	32.84	8-Aug	16-Aug	13.20 4.0
AO,	08/24	MANNING & NAPIER (MANNMJ7630)	034	CVC	S	540	32.84	8-Aug	16-Aug	21.60 4.0
AO,	08/24	MANNING & NAPIER (MANNEQ6365)	034	CVC	S	320	32.84	8-Aug	16-Aug	12.80 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	08/24	MANNING & NAPIER (MANNEQ1273)	034	CVC	S	7,470	32.84	8-Aug	16-Aug	298.80	4.0
AO,	08/24	MANNING & NAPIER (MANNEQ6366)	034	CVC	S	190	32.84	8-Aug	16-Aug	7.60	4.0
AO,	08/24	MANNING & NAPIER (MANNGR6395)	034	CVC	S	2,020	32.84	8-Aug	16-Aug	80.80	4.0
AO,	08/24	MANNING & NAPIER (MANNEQ4670)	034	CVC	S	180	32.84	8-Aug	16-Aug	7.20	4.0
AO,	08/24	MANNING & NAPIER (MANNGR4808)	034	CVC	S	1,400	32.84	8-Aug	16-Aug	56.00	4.0
AO,	08/24	MANNING & NAPIER (MANNGR4809)	034	CVC	S	450	32.84	8-Aug	16-Aug	18.00	4.0
AO,	08/24	MANNING & NAPIER (MANNGR4744)	034	CVC	S	290	32.84	8-Aug	16-Aug	11.60	4.0
AO,	08/24	MANNING & NAPIER (MANNGR4818)	034	CVC	S	350	32.84	8-Aug	16-Aug	14.00	4.0
AO,	08/24	MANNING & NAPIER (MANNGR4742)	034	CVC	S	360	32.84	8-Aug	16-Aug	14.40	4.0
AO,	08/24	MANNING & NAPIER (MANNGR4836)	034	CVC	S	2,440	32.84	8-Aug	16-Aug	97.60	4.0
AO,	08/24	MANNING & NAPIER (MANNGR4741)	034	CVC	S	860	32.84	8-Aug	16-Aug	34.40	4.0
AO,	08/24	MANNING & NAPIER (MANNGR4738)	034	CVC	S	290	32.84	8-Aug	16-Aug	11.60	4.0
AO,	08/24	MANNING & NAPIER (MANNGR4737)	034	CVC	S	290	32.84	8-Aug	16-Aug	11.60	4.0
AO,	08/24	MANNING & NAPIER (MANNGR5643)	034	CVC	S	2,640	32.84	8-Aug	16-Aug	105.60	4.0
AO,	08/24	MANNING & NAPIER (MANNCD0941)	034	CVC	S	1,670	32.84	8-Aug	16-Aug	66.80	4.0
AO,	08/24	MANNING & NAPIER (MANNMU2020)	034	CVC	S	23,044	32.84	8-Aug	16-Aug	921.76	4.0
CRT	08/27	MAGNETAR FINANCIAL (MAGNLEHMAN)	247	GMT	B	6,420	43.58	n/a	n/a	192.60	3.0
AO,CXL	08/24	HIGHBRIDGE CAPITAL (HIGBNEW)	038	ILF	B	10,500	206.77	n/a	n/a	525.00	5.0
AO,	08/24	HIGHBRIDGE CAPITAL (HIGBNEW)	038	ILF	B	10,500	206.77	n/a	n/a	315.00	3.0
AO,CRT	08/22	PATTEN & PATTEN (PATTPEPSHI)	067	ITT	B	50	64.19	n/a	27-Jul	2.50	5.0
AO,CXL	08/22	PATTEN & PATTEN (PATTSCWAB)	067	ITT	B	50	64.19	n/a	27-Jul	2.50	5.0
AO,CRT	08/23	EMP ERROR (EMP ERROR)	099	SNPS	S	500	26.48	n/a	n/a	0.00	0.0
AO,CXL	08/23	BARROW HANLEY MEWHINNEY (BARR)	096	SNPS	S	500	26.48	n/a	n/a	0.00	0.0
AO,CXL	08/24	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	ZQK	S	10,000	13.03	n/a	27-Jun	400.00	4.0
AO,CRT	08/24	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	ZQK	S	9,900	13.03	n/a	27-Jun	396.00	4.0
AO,	08/24	BUCK CAPITAL MGMT (BUCKGIL)	001	ZQK	S	100	13.03	n/a	27-Jun	4.00	4.0

TOTAL (AO, CXL, CRT) :

11,358.60

TOTAL (Trade Date):	93,490.26
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TOTAL (AO, CXL, CRT):	11,358.60
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TOTAL (RUN DATE) / NFS:	104,848.86
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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