



Daily Compliance Activity Report

Trade Date: 01/24/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK	015	ACC	S	500	30.77	n/a	n/a	0.00	0.0
ELAZAR ADV	034	ACMR	SS	1,706	20.92	n/a	n/a	85.30	5.0
GOURGEY	001	ADELQ	S	333	0.04	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	AMG	SS	15,000	109.81	12-Jan	24-Jan	750.00	5.0
IMPALA ASSET MMT	012	AMR	S	129,600	36.42	n/a	n/a	3,888.00	3.0
ELAZAR ADV	034	ANF	SS	1,122	79.71	3-Nov	5-Jan	56.10	5.0
IMPALA ASSET MMT	012	ATI	S	208,000	97.20	n/a	n/a	6,240.00	3.0
APEX CAPITAL MGMT.	002	AV	B	85,000	13.23	n/a	22-Mar	4,250.00	5.0
COLONIAL FUND LLC	036	AXE	B	10,000	54.14	26-Dec	12-Jan	500.00	5.0
BULL PATH CAPITAL	044	BLL	S	30,000	45.39	n/a	n/a	1,500.00	5.0
ELAZAR ADV	034	CAM	S	11,988	53.56	n/a	n/a	599.40	5.0
BUCK	015	CBE	SS	300	91.17	25-Oct	12-Jan	0.00	0.0
LUCHANSKY	036	CC	B	400	20.74	20-Dec	10-Jan	0.00	0.0
NOLAN	067	CC	B	20	20.38	20-Dec	10-Jan	0.00	0.0
IMPALA ASSET MMT	012	CENX	B	200,000	42.79	n/a	n/a	6,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BRIGHTPOINT CAP	067	CHS	B	10,000	20.97	5-Jan	5-Jan	500.00	5.0
VARDON PARTNERS	035	CHS	B	10,000	20.86	5-Jan	5-Jan	500.00	5.0
CAPITAL GROWTH MGMT.	241	CLB	B	15,000	78.97	6-Dec	22-Jan	750.00	5.0
SINCLAIR	031	CLZR	S	700	11.05	n/a	n/a	0.00	0.0
IMPALA ASSET MMT	012	CNQ	S	120,000	49.30	n/a	n/a	3,600.00	3.0
BUCK CAPITAL MGMT	001	CRI	B	10,000	26.09	n/a	n/a	400.00	4.0
ELAZAR ADV	034	CROX	B	13,508	49.11	n/a	n/a	675.40	5.0
MAZAMA CAPITAL MGMT.	035	CSE	S	15,400	27.53	n/a	n/a	616.00	4.0
FARBER/WEISS PECK	012	CVS	S	6,000	33.55	n/a	n/a	300.00	5.0
MKT MAKER	099	CWTR	B	5,900	19.45	n/a	n/a	0.00	0.0
TROUBH PART	067	DELL	B	50,000	24.42	n/a	n/a	2,500.00	5.0
BUCK	015	DIGE	C	400	52.93	n/a	n/a	0.00	0.0
BUCK	015	DIS	B	250	35.48	n/a	n/a	0.00	0.0
ARIENCE CAPITAL	036	DST	S	23,500	71.51	n/a	n/a	1,175.00	5.0
HOFFMAN	014	DURA OPER CORPB		50,000	37.25	n/a	n/a	0.00	0.0
HIGHBRIDGE CAPITAL	038	ECL	B	20,000	44.40	n/a	22-Jan	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KERN	050	EDA	B	500	10.60	n/a	n/a	0.00	0.0
CROWLEY	061	EFT	B	500	19.06	n/a	n/a	0.00	0.0
ELAZAR ADV	034	EOG	S	12,338	67.24	n/a	n/a	616.90	5.0
Õ Glenn Redemann		FDX	B	9	0.5200	n/a	n/a	0.00	0.0
Õ Glenn Redemann		FDX	B	9	0.5600	n/a	n/a	0.00	0.0
Õ Glenn Redemann		FDX	S	9	1.2400	n/a	n/a	0.00	0.0
Õ Glenn Redemann		FDX	S	9	1.6400	n/a	n/a	0.00	0.0
CENTURION PARTNERS	249	FD	B	40,000	40.79	9-Nov	5-Jan	2,000.00	5.0
ELAZAR ADV	034	FD	B	8,827	40.79	9-Nov	5-Jan	441.35	5.0
PRINCIPLE CAPITAL	040	FD	S	49,900	40.81	9-Nov	5-Jan	1,996.00	4.0
BUCK	015	FRB	B	500	18.72	n/a	n/a	0.00	0.0
IMPALA ASSET MMT	012	FWLT	S	100,000	51.23	n/a	n/a	3,000.00	3.0
BUCK CAPITAL MGMT	001	GES	S	10,000	72.27	n/a	n/a	400.00	4.0
ELAZAR ADV	034	GES	B	2,437	73.33	n/a	n/a	121.85	5.0
MAZAMA CAPITAL MGMT.	035	GHL	S	12,600	74.56	n/a	n/a	504.00	4.0
ELAZAR ADV	034	GPS	SS	4,611	19.35	n/a	24-Jan	230.55	5.0
MAZAMA CAPITAL MGMT.	035	GRP	S	18,700	38.53	n/a	n/a	748.00	4.0
BELMONT GLOBAL ADV	248	GRS	B	5,000	15.88	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ELAZAR ADV	034	HIBB	S	5,525	31.85	n/a	n/a	276.25	5.0
BUCK	015	HIW	B	300	41.65	n/a	n/a	0.00	0.0
BELMONT GLOBAL ADV	248	IAAC	B	5,000	22.91	n/a	n/a	250.00	5.0
WHITE PINE CAPITAL	030	IFF	B	300	50.67	4-Jan	22-Jan	15.00	5.0
AAD CAPITAL	048	INFY	SS	30,000	58.27	n/a	n/a	1,200.00	4.0
MAZAMA CAPITAL MGMT.	035	INT	S	19,700	44.91	n/a	n/a	788.00	4.0
Õ Glenn Redemann		JBL	B	17	0.0170	n/a	n/a	0.00	0.0
Õ Glenn Redemann		JBL	B	17	0.1200	n/a	n/a	0.00	0.0
Õ Glenn Redemann		JBL	S	17	0.4600	n/a	n/a	0.00	0.0
Õ Glenn Redemann		JBL	S	17	0.6800	n/a	n/a	0.00	0.0
CASTLE ARK	031	JCP	B	70,900	82.77	10-Nov	5-Jan	4,254.00	6.0
THE BOSTON COMPANY	214	JCP	S	15,210	82.54	10-Nov	5-Jan	760.50	5.0
SOMERSET ADV	044	JJZ	S	159,500	12.48	n/a	n/a	4,785.00	3.0
KEEFE BRUYETTE WOODS A	031	JNS	SS	19,900	21.97	1-Dec	24-Jan	995.00	5.0
SAGE ASSET MGMT	012	JNS	S	100,000	21.86	1-Dec	24-Jan	5,000.00	5.0
MAZAMA CAPITAL MGMT.	035	KNL	S	28,900	21.23	n/a	n/a	1,156.00	4.0
BALYASNY ASSET MGMT	044	LAZ	B	5,000	51.21	n/a	n/a	250.00	5.0
SCHEINER	037	LIZ	SS	1,500	43.82	n/a	27-Oct	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCHEINER	037	LIZ	S	1,000	43.80	n/a	27-Oct	0.00	0.0
SAILFISH	037	LPX	SS	25,000	23.17	n/a	23-Jan	1,250.00	5.0
BUCK CAPITAL MGMT	001	LTD	B	20,000	28.35	5-Jan	5-Jan	800.00	4.0
ELAZAR ADV	034	MAT	B	7,461	24.02	n/a	n/a	373.05	5.0
THIRD POINT MGMT	044	MCD	S	200,000	44.24	12-Oct	24-Jan	8,000.00	4.0
HIGHBRIDGE CAPITAL	038	MDR	S	30,000	50.80	n/a	n/a	1,500.00	5.0
BARR	096	MEM	B	2,400	4.94	n/a	n/a	0.00	0.0
Õ Doug Rogers		MIR	B	300	34.3700	n/a	n/a	0.00	0.0
Õ Doug Rogers		MIR	B	300	34.3700	n/a	n/a	0.00	0.0
Õ Doug Rogers		MIR	B	300	34.3700	n/a	n/a	0.00	0.0
ELAZAR ADV	034	MLM	B	3,217	113.29	n/a	n/a	160.85	5.0
DAVID J GREEN & CO	040	MRCY	B	100	13.00	n/a	n/a	6.00	6.0
MAZAMA CAPITAL MGMT.	035	MSO	S	26,300	19.86	n/a	n/a	1,052.00	4.0
ZOLIDIS	011	MWRK	B	300	36.00	n/a	n/a	0.00	0.0
COUGAR TRADING	044	NCI	B	15,000	19.60	n/a	n/a	750.00	5.0
COUGAR TRADING	044	NCI	S	15,000	19.84	n/a	n/a	750.00	5.0
MAZAMA CAPITAL MGMT.	035	NCI	S	61,600	19.61	n/a	n/a	2,464.00	4.0
BANK OF NEW YORK	040	NDN	B	27,170	15.02	16-Jan	16-Jan	1,222.65	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCUDDER HEDGE	034	NEW	S	25,000	30.45	n/a	n/a	1,000.00	4.0
NEUBERGER BERMAN	238	NOK	S	100,000	20.12	n/a	n/a	5,000.00	5.0
ELAZAR ADV	034	NTRI	B	2,836	62.88	n/a	n/a	141.80	5.0
BROMPTON CROSS	036	NVLS	SS	25,000	30.13	n/a	n/a	1,000.00	4.0
ROYCE TRADING	216	OIS	B	95,000	28.79	n/a	n/a	4,750.00	5.0
IMPALA ASSET MMT	012	OSG	B	100,000	58.15	n/a	n/a	3,000.00	3.0
ELAZAR ADV	034	OXY	S	14,232	46.17	n/a	n/a	711.60	5.0
DSM CAPITAL PARTNERS	032	PACR	S	16,448	29.76	n/a	n/a	986.88	6.0
ELAZAR ADV	034	PBG	SS	1,421	31.75	n/a	n/a	71.05	5.0
ELAZAR ADV	034	PBY	B	5,862	15.26	n/a	n/a	293.10	5.0
WHITE PINE CAPITAL	030	PERY	B	3,250	27.61	n/a	n/a	162.50	5.0
CAXTON PART	040	PG	B	98,196	65.31	15-Dec	9-Jan	3,927.84	4.0
ELAZAR ADV	034	PLCE	B	4,861	54.99	n/a	5-Jan	243.05	5.0
BUCK	015	PFCO	B	370	15.08	n/a	n/a	0.00	0.0
DAWSON SANBERG & CO	036	PWR	B	100,000	21.00	n/a	n/a	5,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ELAZAR ADV	034	QQQQ	B	40,998	44.25	n/a	n/a	2,049.90	5.0
WHITE PINE CAPITAL	030	RCKY	B	600	15.54	n/a	n/a	30.00	5.0
TRIBECA/DOUG	040	RF	SS	5,000	36.13	n/a	n/a	200.00	4.0
BALYASNY ASSET MGMT	044	RJF	S	15,000	31.66	n/a	n/a	750.00	5.0
BUCK CAPITAL MGMT	001	RL	SS	20,000	81.45	7-Dec	8-Jan	800.00	4.0
BUCK CAPITAL MGMT	001	RL	S	5,000	81.27	7-Dec	8-Jan	200.00	4.0
THE BOSTON COMPANY	214	ROST	B	40,200	32.16	n/a	n/a	2,010.00	5.0
IMPALA ASSET MMT	012	RTI	B	150,000	78.93	n/a	n/a	4,500.00	3.0
WHITE PINE CAPITAL	030	RVI	B	550	20.06	n/a	n/a	27.50	5.0
ELAZAR ADV	034	SBUX	SS	2,666	34.91	6-Oct	12-Dec	133.30	5.0
HIGHBRIDGE CAPITAL	038	SIAL	B	32,000	38.33	3-Jan	22-Jan	1,600.00	5.0
BUCK CAPITAL MGMT	001	SKX	S	10,000	34.66	n/a	12-Jan	400.00	4.0
ELAZAR ADV	034	SKX	B	25,632	34.97	n/a	12-Jan	1,281.60	5.0
ELAZAR ADV	034	SLB	S	10,221	64.02	n/a	n/a	511.05	5.0
ELAZAR ADV	034	SPY	SS	4,578	143.80	n/a	n/a	228.90	5.0
IRONBOUND CAPITAL	012	SSCC	SS	19,700	11.15	26-Oct	23-Jan	591.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WD PARTNERS ILP	067	SSCC	B	7,000	10.80	26-Oct	23-Jan	350.00	5.0
XYLEM GLOBAL	024	SSCC	SS	353,000	10.92	26-Oct	23-Jan	14,120.00	4.0
BUCK CAPITAL MGMT	001	SSI	B	10,000	32.64	9-Jan	9-Jan	400.00	4.0
BUCK	015	THOR	B	1,000	18.17	n/a	n/a	0.00	0.0
EFSTATHIOU	044	TNG	B	20	0.19	n/a	n/a	0.00	0.0
MAZAMA CAPITAL MGMT.	035	TOA	S	14,100	9.58	n/a	n/a	564.00	4.0
BINDER	007	TOL	B	95	34.24	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	TROW	B	10,000	48.13	16-Oct	24-Jan	500.00	5.0
BUCK CAPITAL MGMT	001	TWB	S	10,000	34.40	9-Jan	23-Jan	400.00	4.0
GALLEON MGMT LP	033	TWGP	S	25,000	32.43	n/a	n/a	1,250.00	5.0
VARDON PARTNERS	035	T	S	40,000	36.24	n/a	24-Jan	2,000.00	5.0
ELAZAR ADV	034	UPL	S	3,154	51.96	7-Aug	22-Jan	157.70	5.0
SAC TRADING HOWARD	038	URBN	S	25,000	24.51	7-Dec	5-Jan	1,250.00	5.0
CENTURION PARTNERS	249	VNO	B	5,000	124.63	n/a	n/a	250.00	5.0
ELAZAR ADV	034	WEN	B	13,525	33.08	12-Dec	18-Dec	676.25	5.0
ELAZAR ADV	034	XTO	S	20,518	49.20	n/a	n/a	1,025.90	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AMBER CAPITAL	046	X	B	65,000	76.40	n/a	n/a	2,600.00	4.0
IMPALA ASSET MMT	012	X	B	290,000	76.14	n/a	n/a	8,700.00	3.0
ELAZAR ADV	034	ZUMZ	B	15,999	33.51	n/a	n/a	799.95	5.0
TOTAL (Trade Date) :								160,897.02	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	01/23	BESSIMER TRUST (BESSBONY)	034	ACI	B	50,000	29.82	n/a	n/a	2250.00	4.5
AO,CXL	01/23	BESSIMER TRUST (BESSBONY)	044	ACI	B	50,000	29.82	n/a	n/a	2250.00	4.5
AO,	01/23	MKT MAKER (MKT MAKER)	099	CAKE	B	64	27.69	n/a	17-Jan	0.00	0.0
AO,CXL	01/23	SEQUENCE CAPITAL (SEQUGOLDMA)	028	COH	S	1,701	43.31	24-Jan	24-Jan	85.05	5.0
AO,	01/23	SEQUENCE CAPITAL (SEQUGOLDMA)	028	COH	S	1,710	43.31	24-Jan	24-Jan	85.50	5.0
AO,	01/23	MKT MAKER (MKT MAKER)	033	CWTR	S	5,900	19.96	n/a	n/a	0.00	0.0
AO,	01/23	HIGHBRIDGE CAPITAL (HIGBNEW)	038	ECL	B	27,000	44.11	n/a	22-Jan	1350.00	5.0
AO,	01/23	IRIDIAN ASSET MGMT. (IRAM320)	036	GPS	B	13,800	19.64	n/a	24-Jan	690.00	5.0
AO,	01/23	IRIDIAN ASSET MGMT. (IRAM134)	036	GPS	B	700	19.64	n/a	24-Jan	35.00	5.0
AO,	01/23	IRIDIAN ASSET MGMT. (IRAM8002)	036	GPS	B	14,000	19.64	n/a	24-Jan	700.00	5.0
AO,	01/23	IRIDIAN ASSET MGMT. (IRAM103)	036	GPS	B	7,800	19.64	n/a	24-Jan	390.00	5.0
AO,	01/23	IRIDIAN ASSET MGMT. (IRAM69)	036	GPS	B	15,700	19.64	n/a	24-Jan	785.00	5.0
AO,	01/23	BELMONT GLOBAL ADV (BELMJJEFFPB)	248	GRS	B	5,000	15.82	n/a	n/a	250.00	5.0
AO,	01/23	AAD CAPITAL (AADCS0.04)	048	INFY	SS	31,700	57.76	n/a	n/a	1268.00	4.0
AO,CRT	01/23	MKT MAKER (MKT MAKER)	099	MRCY	B	55	13.00	n/a	n/a	0.00	0.0
AO,	01/23	CASTLE ARK (CASA101)	031	ODP	SS	1,320	38.70	n/a	23-Jan	79.20	6.0
AO,	01/23	GALLEON MGMT LP (GALLBOA.05)	033	OIH	B	10,000	134.85	n/a	n/a	500.00	5.0
AO,CXL	01/23	GALLEON MGMT LP (GALLBOA.05)	033	OIH	C	10,000	134.85	n/a	n/a	500.00	5.0
AO,CXL	01/23	DAVIDSON TRUST CO (DAVTOMNI)	033	ORCL	S	4,200	17.14	n/a	n/a	252.00	6.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	01/23	DAVIDSON TRUST CO (DAVTOMNI)	033	ORCL	S	4,200	17.14	n/a	n/a	210.00 5.0
AO,	01/23	ROTHSCHILD ASSET (ROTH340)	040	PL	B	5,880	48.65	n/a	n/a	264.60 4.5
AO,	01/23	ROTHSCHILD ASSET (ROTH348)	040	PL	B	420	48.65	n/a	n/a	18.90 4.5
AO,	01/23	ROTHSCHILD ASSET (ROTH333)	040	PL	B	860	48.65	n/a	n/a	38.70 4.5
AO,	01/23	ROTHSCHILD ASSET (ROTH360-2)	040	PL	B	780	48.65	n/a	n/a	35.10 4.5
AO,	01/23	ROTHSCHILD ASSET (ROTH471-2)	040	PL	B	340	48.65	n/a	n/a	15.30 4.5
AO,	01/23	ROTHSCHILD ASSET (ROTH471-1)	040	PL	B	930	48.65	n/a	n/a	41.85 4.5
AO,	01/23	ROTHSCHILD ASSET (ROTH471)	040	PL	B	1,740	48.65	n/a	n/a	78.30 4.5
AO,	01/23	ROTHSCHILD ASSET (ROTH470)	040	PL	B	1,310	48.65	n/a	n/a	58.95 4.5
AO,	01/23	ROTHSCHILD ASSET (ROTH450)	040	PL	B	4,260	48.65	n/a	n/a	191.70 4.5
AO,	01/23	ROTHSCHILD ASSET (ROTH386)	040	PL	B	230	48.65	n/a	n/a	10.35 4.5
AO,	01/23	CHART WELL ADV (CHAT385)	243	TWB	S	1,115	34.54	9-Jan	23-Jan	50.18 4.5
AO,CXL	01/23	CHART WELL ADV (CHAT)	234	TWB	S	1,555	34.55	9-Jan	23-Jan	69.98 4.5
AO,CXL	01/23	CHART WELL ADV (CHAT386)	243	TWB	S	120	34.55	9-Jan	23-Jan	5.40 4.5
AO,	01/23	CHART WELL ADV (CHAT)	234	TWB	S	1,555	34.54	9-Jan	23-Jan	69.98 4.5
AO,	01/23	CHART WELL ADV (CHAT386)	243	TWB	S	120	34.54	9-Jan	23-Jan	5.40 4.5
AO,CXL	01/23	CHART WELL ADV (CHAT382)	234	TWB	S	1,755	34.55	9-Jan	23-Jan	78.98 4.5
AO,CXL	01/23	CHART WELL ADV (CHAT365)	243	TWB	S	1,235	34.55	9-Jan	23-Jan	55.58 4.5
AO,	01/23	CHART WELL ADV (CHAT382)	234	TWB	S	1,755	34.54	9-Jan	23-Jan	78.98 4.5
AO,	01/23	CHART WELL ADV (CHAT365)	243	TWB	S	1,235	34.54	9-Jan	23-Jan	55.58 4.5
AO,CXL	01/23	CHART WELL ADV (CHAT325)	243	TWB	S	955	34.55	9-Jan	23-Jan	42.98 4.5
AO,	01/23	CHART WELL ADV (CHAT325)	243	TWB	S	955	34.54	9-Jan	23-Jan	42.98 4.5
AO,CXL	01/23	CHART WELL ADV (CHAT066)	243	TWB	S	160	34.55	9-Jan	23-Jan	7.20 4.5
AO,	01/23	CHART WELL ADV (CHAT066)	243	TWB	S	160	34.54	9-Jan	23-Jan	7.20 4.5
AO,CXL	01/23	CHART WELL ADV (CHAT090)	243	TWB	S	2,010	34.55	9-Jan	23-Jan	90.45 4.5
AO,	01/23	CHART WELL ADV (CHAT090)	243	TWB	S	2,010	34.54	9-Jan	23-Jan	90.45 4.5
AO,CXL	01/23	CHART WELL ADV (CHAT108)	243	TWB	S	520	34.55	9-Jan	23-Jan	23.40 4.5
AO,	01/23	CHART WELL ADV (CHAT108)	243	TWB	S	520	34.54	9-Jan	23-Jan	23.40 4.5
AO,CXL	01/23	CHART WELL ADV (CHAT165)	243	TWB	S	3,840	34.55	9-Jan	23-Jan	172.80 4.5

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/23	CHART WELL ADV (CHAT165)	243	TWB	S	3,840	34.54	9-Jan	23-Jan	172.80 4.5
AO,CXL	01/23	CHART WELL ADV (CHAT167)	243	TWB	S	85	34.55	9-Jan	23-Jan	3.83 4.5
AO,	01/23	CHART WELL ADV (CHAT167)	243	TWB	S	85	34.54	9-Jan	23-Jan	3.83 4.5
AO,CXL	01/23	CHART WELL ADV (CHAT194)	243	TWB	S	770	34.55	9-Jan	23-Jan	34.65 4.5
AO,	01/23	CHART WELL ADV (CHAT194)	243	TWB	S	770	34.54	9-Jan	23-Jan	34.65 4.5
AO,CXL	01/23	CHART WELL ADV (CHAT046)	243	TWB	S	190	34.55	9-Jan	23-Jan	8.55 4.5
AO,	01/23	CHART WELL ADV (CHAT046)	243	TWB	S	190	34.54	9-Jan	23-Jan	8.55 4.5
AO,CXL	01/23	CHART WELL ADV (CHAT062)	243	TWB	S	825	34.55	9-Jan	23-Jan	37.13 4.5
AO,	01/23	CHART WELL ADV (CHAT062)	243	TWB	S	825	34.54	9-Jan	23-Jan	37.13 4.5
AO,CXL	01/23	CHART WELL ADV (CHAT283)	243	TWB	S	185	34.55	9-Jan	23-Jan	8.33 4.5
AO,	01/23	CHART WELL ADV (CHAT283)	243	TWB	S	185	34.54	9-Jan	23-Jan	8.33 4.5
AO,CXL	01/23	CHART WELL ADV (CHAT287)	243	TWB	S	400	34.55	9-Jan	23-Jan	18.00 4.5
AO,	01/23	CHART WELL ADV (CHAT287)	243	TWB	S	400	34.54	9-Jan	23-Jan	18.00 4.5
AO,CXL	01/23	CHART WELL ADV (CHAT306)	243	TWB	S	130	34.55	9-Jan	23-Jan	5.85 4.5
AO,	01/23	CHART WELL ADV (CHAT306)	243	TWB	S	130	34.54	9-Jan	23-Jan	5.85 4.5
AO,CXL	01/23	CHART WELL ADV (CHAT305)	243	TWB	S	1,615	34.55	9-Jan	23-Jan	72.68 4.5
AO,	01/23	CHART WELL ADV (CHAT305)	243	TWB	S	1,615	34.54	9-Jan	23-Jan	72.68 4.5
AO,CXL	01/23	CHART WELL ADV (CHAT326)	243	TWB	S	420	34.55	9-Jan	23-Jan	18.90 4.5
AO,	01/23	CHART WELL ADV (CHAT326)	243	TWB	S	420	34.54	9-Jan	23-Jan	18.90 4.5
AO,CXL	01/23	CHART WELL ADV (CHAT329)	243	TWB	S	545	34.55	9-Jan	23-Jan	24.53 4.5
AO,	01/23	CHART WELL ADV (CHAT329)	243	TWB	S	545	34.54	9-Jan	23-Jan	24.53 4.5
AO,CXL	01/23	CHART WELL ADV (CHAT376)	243	TWB	S	16,730	34.55	9-Jan	23-Jan	752.85 4.5
AO,	01/23	CHART WELL ADV (CHAT376)	243	TWB	S	16,730	34.54	9-Jan	23-Jan	752.85 4.5
AO,CXL	01/23	CHART WELL ADV (CHAT15)	243	TWB	S	24,315	34.55	9-Jan	23-Jan	1094.18 4.5
AO,	01/23	CHART WELL ADV (CHAT15)	243	TWB	S	24,315	34.54	9-Jan	23-Jan	1094.18 4.5
AO,CXL	01/23	CHART WELL ADV (CHAT16)	243	TWB	S	2,430	34.55	9-Jan	23-Jan	109.35 4.5
AO,CXL	01/23	CHART WELL ADV (CHAT320)	243	TWB	S	5,615	34.55	9-Jan	23-Jan	252.68 4.5
AO,	01/23	CHART WELL ADV (CHAT16)	243	TWB	S	2,430	34.54	9-Jan	23-Jan	109.35 4.5
AO,	01/23	CHART WELL ADV (CHAT320)	243	TWB	S	5,615	34.54	9-Jan	23-Jan	252.68 4.5
AO,CXL	01/23	CHART WELL ADV (CHAT24)	243	TWB	S	1,635	34.55	9-Jan	23-Jan	73.58 4.5

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	01/23	CHART WELL ADV (CHAT217)	243	TWB	S	1,225	34.55	9-Jan	23-Jan	55.13 4.5
AO,	01/23	CHART WELL ADV (CHAT24)	243	TWB	S	1,635	34.54	9-Jan	23-Jan	73.58 4.5
AO,	01/23	CHART WELL ADV (CHAT217)	243	TWB	S	1,225	34.54	9-Jan	23-Jan	55.13 4.5
AO,CXL	01/23	CHART WELL ADV (CHAT68)	243	TWB	S	890	34.55	9-Jan	23-Jan	40.05 4.5
AO,CXL	01/23	CHART WELL ADV (CHAT397)	243	TWB	S	235	34.55	9-Jan	23-Jan	10.58 4.5
AO,	01/23	CHART WELL ADV (CHAT68)	243	TWB	S	890	34.54	9-Jan	23-Jan	40.05 4.5
AO,	01/23	CHART WELL ADV (CHAT397)	243	TWB	S	235	34.54	9-Jan	23-Jan	10.58 4.5
AO,CXL	01/23	CHART WELL ADV (CHAT71)	243	TWB	S	2,405	34.55	9-Jan	23-Jan	108.23 4.5
AO,CXL	01/23	CHART WELL ADV (CHATHN45MG)	243	TWB	S	10	34.55	9-Jan	23-Jan	0.45 4.5
AO,	01/23	CHART WELL ADV (CHAT71)	243	TWB	S	2,405	34.54	9-Jan	23-Jan	108.23 4.5
AO,	01/23	CHART WELL ADV (CHATHN45MG)	243	TWB	S	10	34.54	9-Jan	23-Jan	0.45 4.5
AO,CXL	01/23	CHART WELL ADV (CHAT89)	243	TWB	S	985	34.55	9-Jan	23-Jan	44.33 4.5
AO,CXL	01/23	CHART WELL ADV (CHAT327)	243	TWB	S	465	34.55	9-Jan	23-Jan	20.93 4.5
AO,	01/23	CHART WELL ADV (CHAT89)	243	TWB	S	985	34.54	9-Jan	23-Jan	44.33 4.5
AO,	01/23	CHART WELL ADV (CHAT327)	243	TWB	S	465	34.54	9-Jan	23-Jan	20.93 4.5
AO,CXL	01/23	CHART WELL ADV (CHAT252)	243	TWB	S	1,140	34.55	9-Jan	23-Jan	51.30 4.5
AO,CXL	01/23	CHART WELL ADV (CHATHNW026)	243	TWB	S	70	34.55	9-Jan	23-Jan	3.15 4.5
AO,	01/23	CHART WELL ADV (CHAT252)	243	TWB	S	1,140	34.54	9-Jan	23-Jan	51.30 4.5
AO,	01/23	CHART WELL ADV (CHATHNW026)	243	TWB	S	70	34.54	9-Jan	23-Jan	3.15 4.5
AO,CXL	01/23	CHART WELL ADV (CHAT286)	243	TWB	S	4,975	34.55	9-Jan	23-Jan	223.88 4.5
AO,CXL	01/23	CHART WELL ADV (CHATHNW027)	243	TWB	S	95	34.55	9-Jan	23-Jan	4.28 4.5
AO,	01/23	CHART WELL ADV (CHAT286)	243	TWB	S	4,975	34.54	9-Jan	23-Jan	223.88 4.5
AO,	01/23	CHART WELL ADV (CHATHNW027)	243	TWB	S	95	34.54	9-Jan	23-Jan	4.28 4.5
AO,CXL	01/23	CHART WELL ADV (CHAT319)	243	TWB	S	1,210	34.55	9-Jan	23-Jan	54.45 4.5
AO,CXL	01/23	CHART WELL ADV (CHAT330)	243	TWB	S	60	34.55	9-Jan	23-Jan	2.70 4.5
AO,	01/23	CHART WELL ADV (CHAT319)	243	TWB	S	1,210	34.54	9-Jan	23-Jan	54.45 4.5
AO,	01/23	CHART WELL ADV (CHAT330)	243	TWB	S	60	34.54	9-Jan	23-Jan	2.70 4.5
AO,CXL	01/23	CHART WELL ADV (CHAT271)	243	TWB	S	1,670	34.55	9-Jan	23-Jan	75.15 4.5
AO,CXL	01/23	CHART WELL ADV (CHAT331)	243	TWB	S	65	34.55	9-Jan	23-Jan	2.93 4.5
AO,	01/23	CHART WELL ADV (CHAT271)	243	TWB	S	1,670	34.54	9-Jan	23-Jan	75.15 4.5

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/23	CHART WELL ADV (CHAT331)	243	TWB	S	65	34.54	9-Jan	23-Jan	2.93 4.5
AO,CXL	01/23	CHART WELL ADV (CHAT347)	243	TWB	S	1,840	34.55	9-Jan	23-Jan	82.80 4.5
AO,CXL	01/23	CHART WELL ADV (CHATHNW024)	243	TWB	S	35	34.55	9-Jan	23-Jan	1.58 4.5
AO,	01/23	CHART WELL ADV (CHAT347)	243	TWB	S	1,840	34.54	9-Jan	23-Jan	82.80 4.5
AO,	01/23	CHART WELL ADV (CHATHNW024)	243	TWB	S	35	34.54	9-Jan	23-Jan	1.58 4.5
AO,CXL	01/23	CHART WELL ADV (CHAT348)	243	TWB	S	2,090	34.55	9-Jan	23-Jan	94.05 4.5
AO,CXL	01/23	CHART WELL ADV (CHATHNW025)	243	TWB	S	70	34.55	9-Jan	23-Jan	3.15 4.5
AO,	01/23	CHART WELL ADV (CHAT348)	243	TWB	S	2,090	34.54	9-Jan	23-Jan	94.05 4.5
AO,	01/23	CHART WELL ADV (CHATHNW025)	243	TWB	S	70	34.54	9-Jan	23-Jan	3.15 4.5
AO,CXL	01/23	CHART WELL ADV (CHAT358)	243	TWB	S	6,885	34.55	9-Jan	23-Jan	309.83 4.5
AO,CXL	01/23	CHART WELL ADV (CHATHNW023)	243	TWB	S	95	34.55	9-Jan	23-Jan	4.28 4.5
AO,	01/23	CHART WELL ADV (CHAT358)	243	TWB	S	6,885	34.54	9-Jan	23-Jan	309.83 4.5
AO,	01/23	CHART WELL ADV (CHATHNW023)	243	TWB	S	95	34.54	9-Jan	23-Jan	4.28 4.5
AO,CXL	01/23	CHART WELL ADV (CHAT385)	243	TWB	S	1,115	34.55	9-Jan	23-Jan	50.18 4.5
AO,CXL	01/23	CAXTON PART (CAXTKFZEMS)	040	WB	S	29,272	56.28	n/a	n/a	1170.88 4.0
AO,CXL	01/23	CAXTON PART (CAXTKFCIMS)	040	WB	S	60,728	56.28	n/a	n/a	2429.12 4.0
AO,CXL	01/23	CAXTON PART (CAXTKFXXMS)	040	WB	SS	29,272	56.28	n/a	n/a	1170.88 4.0
AO,	01/23	CAXTON PART (CAXTKFZEMS)	040	WB	SS	29,272	56.28	n/a	n/a	1170.88 4.0
AO,CXL	01/23	CAXTON PART (CAXTKFCIMS)	040	WB	SS	60,728	56.28	n/a	n/a	2429.12 4.0
AO,	01/23	CAXTON PART (CAXTKFCIMS)	040	WB	SS	60,728	56.28	n/a	n/a	2429.12 4.0

TOTAL (AO, CXL, CRT) : 2,659.40

TOTAL (Trade Date): 160,897.02
TOTAL (AO, CXL, CRT): 2,659.40

TOTAL (RUN DATE) / NFS:

163,556.42

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