



# Daily Compliance Activity Report

Trade Date: 10/02/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	ABG	S	5,000	20.14	18-Jun	1-Oct	250.00	5.0
<b>EGS ASSOCIATES LP</b>	<b>091</b>	<b>ABG</b>	<b>B</b>	<b>5,000</b>	<b>19.45</b>	<b>18-Jun</b>	<b>1-Oct</b>	<b>300.00</b>	<b>6.0</b>
WOOSTER CAPITAL	035	ABG	B	50,000	20.52	18-Jun	1-Oct	2,500.00	5.0
<b>EMP ERROR</b>	<b>099</b>	<b>ABG</b>	<b>B</b>	<b>2,700</b>	<b>19.89</b>	<b>18-Jun</b>	<b>1-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>EMP ERROR</b>	<b>099</b>	<b>ABG</b>	<b>S</b>	<b>3,500</b>	<b>20.56</b>	<b>18-Jun</b>	<b>1-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>OGORMAN</b>	<b>146</b>	<b>ABG</b>	<b>B</b>	<b>400</b>	<b>19.48</b>	<b>18-Jun</b>	<b>1-Oct</b>	<b>0.00</b>	<b>0.0</b>
KEEFE BRUYETTE WOODS A	031	AB	S	2,700	90.80	9-Aug	28-Sep	135.00	5.0
BALYASNY ASSET MGMT	044	AEO	S	20,000	25.49	10-Jul	7-Sep	1,000.00	5.0
FRIESS MGMT	042	AEO	S	293,100	25.52	10-Jul	7-Sep	13,189.50	4.5
LIGHTHOUSE FIN/QUAD	046	AKAM	S	5,000	29.06	n/a	n/a	250.00	5.0
<b>DEMARTINI</b>	<b>065</b>	<b>AMCC</b>	<b>S</b>	<b>5,000</b>	<b>3.17</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
J L F ASSET MGMT	039	ANN	B	62,700	33.27	6-Aug	7-Sep	2,508.00	4.0
MEISENBACH CAP MGMT	041	AOC	S	20,000	45.83	n/a	n/a	600.00	3.0
RHO CAPITAL MGMT	041	ARBA	B	3,900	10.91	n/a	n/a	195.00	5.0
BALYASNY ASSET MGMT	044	ARO	B	15,000	20.14	n/a	7-Sep	750.00	5.0
PILOT ADV	038	AXL	B	18,700	26.03	n/a	n/a	748.00	4.0
CATAPULT	040	AXP	B	5,000	60.85	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>MADIGAN</b>	<b>031</b>	<b>BAC</b>	<b>S</b>	<b>150</b>	<b>51.71</b>	<b>20-Apr</b>	<b>20-Sep</b>	<b>0.00</b>	<b>0.0</b>
NATIONAL BK OF CAN	031	BK	B	30,000	44.94	20-Jul	20-Sep	1,200.00	4.0
PROSPECTOR PARTNERS LLC	036	BR	S	10,000	18.93	n/a	30-Jan	400.00	4.0
<b>SINCLAIR</b>	<b>031</b>	<b>BSCAG</b>	<b>S</b>	<b>36</b>	<b>8.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BALYASNY ASSET MGMT	044	BWA	B	6,500	95.81	7-Sep	7-Sep	325.00	5.0
JPMSI/TOM LEDDY	035	BWS	S	20,000	20.34	n/a	n/a	1,000.00	5.0
COLUMBIA PARTNERS	028	CBH	C	44,632	39.38	n/a	n/a	1,785.28	4.0
MORGAN BANK /JPM	012	CCI	B	21,780	39.97	n/a	n/a	653.40	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CEC</b>	<b>B</b>	<b>20,000</b>	<b>27.83</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
GRANAHAN INV	039	CENT	S	100,000	9.25	n/a	18-Sep	3,000.00	3.0
ROARING BLUE LION MGMT	012	CHS	B	27,500	14.66	30-Aug	7-Sep	1,100.00	4.0
CATAPULT	040	CIT	B	5,000	40.37	n/a	n/a	250.00	5.0
COUGAR TRADING	044	COH	B	5,000	47.15	n/a	10-Sep	250.00	5.0
GLG PARTNERS	034	COST	SS	25,000	61.31	n/a	27-Jul	1,250.00	5.0
J L F ASSET MGMT	039	CVS	B	90,800	38.49	n/a	n/a	3,632.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MORGAN BANK /JPM	012	CX	B	3,400	31.52	n/a	n/a	102.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DGX</b>	<b>B</b>	<b>30,000</b>	<b>57.40</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
VINIK ASSET MGMT.	030	DLTR	B	90,000	41.57	10-Aug	21-Sep	3,600.00	4.0
MORGAN BANK /JPM	012	DOV	B	4,900	51.23	n/a	n/a	147.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DRI</b>	<b>B</b>	<b>20,000</b>	<b>43.06</b>	<b>n/a</b>	<b>24-Apr</b>	<b>800.00</b>	<b>4.0</b>
ENTRUST CAPITAL	040	DSW	B	25,000	25.83	5-Sep	2-Oct	1,250.00	5.0
WEINTRAUB CAPITAL MGT.	040	DSW	B	25,000	25.85	5-Sep	2-Oct	1,250.00	5.0
ROCKEFELLER & CO.	045	DVN	B	990	82.87	19-Sep	1-Oct	49.50	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>EAT</b>	<b>B</b>	<b>20,000</b>	<b>27.89</b>	<b>n/a</b>	<b>24-Apr</b>	<b>800.00</b>	<b>4.0</b>
COLUMBIA PARTNERS	028	EGLE	B	19,917	26.73	n/a	n/a	796.68	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ELY</b>	<b>B</b>	<b>40,000</b>	<b>16.70</b>	<b>n/a</b>	<b>n/a</b>	<b>1,600.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ETH</b>	<b>B</b>	<b>25,000</b>	<b>33.86</b>	<b>n/a</b>	<b>n/a</b>	<b>1,000.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>FBN</b>	<b>B</b>	<b>100,000</b>	<b>14.41</b>	<b>n/a</b>	<b>n/a</b>	<b>4,000.00</b>	<b>4.0</b>
AVESTA CAP	229	FDO	B	25,000	26.51	9-Aug	2-Oct	1,250.00	5.0
<b>SINCLAIR</b>	<b>031</b>	<b>FMU</b>	<b>B</b>	<b>100</b>	<b>0.35</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
STRAUSS ASSET MGMT	040	FTK	B	5,000	47.35	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LIGHTHOUSE FIN/QUAD	046	F	B	10,000	8.42	n/a	1-Oct	500.00	5.0
LOOMIS SALES/BOSTON	036	GES	S	46,500	50.50	n/a	n/a	1,860.00	4.0
MORGAN BANK /JPM	012	GE	B	6,000	42.11	n/a	n/a	180.00	3.0
SUN AMERICA ASSET MGMT	030	GE	S	167,800	41.96	n/a	n/a	8,390.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>GM</b>	<b>SS</b>	<b>800</b>	<b>36.72</b>	<b>n/a</b>	<b>1-Oct</b>	<b>0.00</b>	<b>0.0</b>
GEORGE WEISS	034	GPS	S	5,000	18.92	n/a	7-Sep	200.00	4.0
PRINCIPLE CAPITAL	040	GRMN	B	106,400	101.74	n/a	n/a	4,256.00	4.0
MATRIX ASSET ADV.	036	INTC	S	5,000	26.31	n/a	n/a	200.00	4.0
BRIGHTPOINT CAP	067	JCG	SS	15,000	45.01	22-Jun	6-Sep	600.00	4.0
COUGAR TRADING	044	JCG	SS	10,000	45.07	22-Jun	6-Sep	500.00	5.0
COUGAR TRADING	044	JCP	S	10,000	65.55	21-Jun	7-Sep	500.00	5.0
COUGAR TRADING	044	JWN	B	10,000	48.16	12-Jul	7-Sep	500.00	5.0
MORGAN BANK /JPM	012	KBH	S	8,400	26.79	n/a	n/a	252.00	3.0
<b>BUCK</b>	<b>015</b>	<b>KBH</b>	<b>C</b>	<b>1,000</b>	<b>26.96</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	KSS	SS	10,000	58.08	27-Sep	27-Sep	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LEG</b>	<b>B</b>	<b>30,000</b>	<b>19.62</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
CATAPULT	040	LEH	B	5,000	63.40	12-Jun	20-Sep	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>HART</b>	<b>056</b>	<b>LEH</b>	<b>B</b>	<b>25</b>	<b>64.60</b>	<b>12-Jun</b>	<b>20-Sep</b>	<b>0.00</b>	<b>0.0</b>
SUNOVA CAPITAL	031	LM	B	50,000	86.29	19-Sep	28-Sep	2,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LZB</b>	<b>B</b>	<b>25,000</b>	<b>8.03</b>	<b>n/a</b>	<b>n/a</b>	<b>1,000.00</b>	<b>4.0</b>
MS PRINCIPAL STRATEGIES	041	MAR	S	36,300	44.83	n/a	n/a	1,815.00	5.0
ROTHSCHILD ASSET	040	MCK	S	16,780	58.44	n/a	n/a	755.10	4.5
GALLEON MGMT LP	033	MCO	B	30,000	53.26	n/a	n/a	1,500.00	5.0
<b>BUCK</b>	<b>015</b>	<b>MCO</b>	<b>C</b>	<b>700</b>	<b>52.96</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
HIGHBRIDGE/MS OLDS	041	MDT	B	157,669	57.48	n/a	22-Apr	6,306.76	4.0
<b>BARR</b>	<b>096</b>	<b>MENT</b>	<b>S</b>	<b>1,000</b>	<b>15.99</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SSI INVESTORS	048	MER	B	35,810	75.62	18-Jul	20-Sep	1,432.40	4.0
BALYASNY ASSET MGMT	044	MGM	S	5,000	94.52	n/a	3-Aug	250.00	5.0
MORGAN BANK /JPM	012	MMM	B	1,100	94.65	27-Sep	27-Sep	33.00	3.0
RHO CAPITAL MGMT	041	MSO	B	500	12.55	n/a	n/a	25.00	5.0
THE JAY GOLDMAN	034	MSO	S	20,000	12.93	n/a	n/a	800.00	4.0
<b>GAULT</b>	<b>063</b>	<b>MSO</b>	<b>B</b>	<b>2,000</b>	<b>13.14</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>GAULT</b>	<b>063</b>	<b>MSO</b>	<b>S</b>	<b>2,000</b>	<b>12.69</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LEDDY</b>	<b>035</b>	<b>MZZ</b>	<b>B</b>	<b>600</b>	<b>50.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>M</b>	<b>B</b>	<b>200,000</b>	<b>33.97</b>	<b>24-Sep</b>	<b>24-Sep</b>	<b>8,000.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PRINCIPLE CAPITAL	040	M	B	28,700	34.06	24-Sep	24-Sep	861.00	3.0
WAGONHOUND	048	M	B	11,020	33.95	24-Sep	24-Sep	440.80	4.0
MAZAMA CAPITAL MGMT.	035	NGS	S	11,700	18.30	n/a	n/a	468.00	4.0
SOROS	036	ODP	B	44,900	21.61	n/a	27-Jul	2,245.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PBY</b>	<b>B</b>	<b>20,900</b>	<b>15.24</b>	<b>n/a</b>	<b>n/a</b>	<b>836.00</b>	<b>4.0</b>
MATRIX ASSET ADV.	036	PFE	S	5,000	24.94	n/a	31-Mar	200.00	4.0
<b>LUCHANSKY</b>	<b>036</b>	<b>PHM</b>	<b>B</b>	<b>200</b>	<b>16.11</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LUCHANSKY</b>	<b>036</b>	<b>PHM</b>	<b>S</b>	<b>200</b>	<b>15.72</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WESTLANE CAPITAL	044	PLCE	B	10,000	24.65	26-Sep	26-Sep	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PNR</b>	<b>B</b>	<b>20,000</b>	<b>33.48</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
CAPITAL GROWTH MGMT.	241	PRU	B	50,000	99.05	n/a	n/a	2,000.00	4.0
PAW PARTNERS	041	QCOM	S	7,700	41.82	n/a	n/a	385.00	5.0
DAVIDSON KEMPNER ADVISOR	217	RF	SS	50,000	30.47	n/a	n/a	2,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>SS</b>	<b>30,000</b>	<b>77.52</b>	<b>9-Aug</b>	<b>29-Aug</b>	<b>1,200.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>S</b>	<b>10,000</b>	<b>77.68</b>	<b>9-Aug</b>	<b>29-Aug</b>	<b>400.00</b>	<b>4.0</b>
MORGAN BANK /JPM	012	ROH	B	2,100	55.64	n/a	4-Sep	63.00	3.0
STADIA CAPITAL	035	SFD	S	20,000	31.63	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JPM SI/TOM LEDDY	035	SKS	SS	25,000	18.02	n/a	n/a	1,250.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>SLB</b>	<b>B</b>	<b>100</b>	<b>106.45</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BRIGHTPOINT CAP	067	SMG	SS	15,000	42.44	9-Jul	18-Sep	600.00	4.0
<b>LUCHANKSY</b>	<b>036</b>	<b>SPLS</b>	<b>S</b>	<b>150</b>	<b>21.94</b>	<b>n/a</b>	<b>27-Jul</b>	<b>0.00</b>	<b>0.0</b>
MORGAN BANK /JPM	012	SPR	B	5,000	38.23	n/a	n/a	150.00	3.0
ROCKEFELLER & CO.	045	SRCL	B	1,440	57.54	n/a	n/a	72.00	5.0
GALLEON MGMT LP	033	SSCC	SS	25,000	11.52	4-May	21-Sep	1,250.00	5.0
<b>LUCHANKSY</b>	<b>036</b>	<b>SSI</b>	<b>S</b>	<b>100</b>	<b>18.76</b>	<b>3-Aug</b>	<b>7-Sep</b>	<b>0.00</b>	<b>0.0</b>
CATAPULT	040	STT	B	5,000	68.96	n/a	n/a	250.00	5.0
CATAPULT	040	STT	S	5,000	69.22	n/a	n/a	250.00	5.0
NORTHPOINT	030	TAXI	S	7,875	10.96	n/a	n/a	315.00	4.0
CATAPULT	040	TCBI	B	5,000	22.35	n/a	n/a	250.00	5.0
CATAPULT	040	TCB	S	12,500	27.18	n/a	n/a	625.00	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>TCB</b>	<b>B</b>	<b>2,200</b>	<b>27.06</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>TCB</b>	<b>S</b>	<b>2,200</b>	<b>27.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LUCHANKSY</b>	<b>036</b>	<b>TEL</b>	<b>S</b>	<b>25</b>	<b>35.99</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MORGAN BANK /JPM	012	TOL	S	26,600	21.75	n/a	n/a	798.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PRINCIPLE CAPITAL	040	TPX	S	27,000	36.94	n/a	n/a	810.00	3.0
DAVIS SELECT ADV	040	TXN	B	256,000	36.68	n/a	n/a	7,680.00	3.0
WEISS PECK	040	URBN	S	10,200	22.31	31-Jul	10-Aug	510.00	5.0
MORGAN BANK /JPM	012	UTX	B	3,800	82.31	n/a	n/a	114.00	3.0
<b>LUCHANSKY4</b>	<b>036</b>	<b>VSL</b>	<b>S</b>	<b>100</b>	<b>23.38</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LEVIN CAPITAL STRATEGIES	012	VZ	S	15,000	45.41	21-Sep	1-Oct	600.00	4.0
MORGAN BANK /JPM	012	WBC	B	4,900	48.14	n/a	14-Aug	147.00	3.0
SLS CAPITAL LLC	224	WBC	B	146,000	48.59	n/a	14-Aug	5,840.00	4.0
<b>LEDDY</b>	<b>035</b>	<b>WCI</b>	<b>B</b>	<b>1,200</b>	<b>6.52</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROCKEFELLER & CO.	045	WFT	S	10,000	69.52	n/a	n/a	500.00	5.0
JP MORGAN VENTURES	046	WMT	B	10,000	44.98	4-Jun	27-Jul	500.00	5.0
<b>ZOLIDIS</b>	<b>011</b>	<b>WYNN</b>	<b>B</b>	<b>20</b>	<b>167.33</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LEDDY</b>	<b>035</b>	<b>XOM</b>	<b>S</b>	<b>200</b>	<b>92.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LUCHANSKY1</b>	<b>036</b>	<b>YTEC</b>	<b>B</b>	<b>1,000</b>	<b>11.68</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	ZQK	S	5,000	14.65	n/a	7-Sep	250.00	5.0



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**TOTAL (Trade Date):**

**137,181.42**

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**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	10/02	EMP ERROR (EMP ERROR)	030	ABG	B	100	19.89	18-Jun	1-Oct	0.00 0.0
CRT	10/02	EMP ERROR (EMP ERROR)	030	ABG	B	200	19.88	18-Jun	1-Oct	0.00 0.0
CRT	10/02	EMP ERROR (EMP ERROR)	030	ABG	B	100	19.88	18-Jun	1-Oct	0.00 0.0
CRT	10/02	EMP ERROR (EMP ERROR)	030	ABG	B	200	19.88	18-Jun	1-Oct	0.00 0.0
CRT	10/02	EMP ERROR (EMP ERROR)	030	ABG	B	600	19.69	18-Jun	1-Oct	0.00 0.0
CRT	10/02	EMP ERROR (EMP ERROR)	030	ABG	B	100	19.68	18-Jun	1-Oct	0.00 0.0
CRT	10/02	EMP ERROR (EMP ERROR)	030	ABG	B	300	19.68	18-Jun	1-Oct	0.00 0.0
CRT	10/02	EMP ERROR (EMP ERROR)	035	ABG	B	200	19.40	18-Jun	1-Oct	0.00 0.0
CRT	10/02	EMP ERROR (EMP ERROR)	036	ABG	B	400	19.84	18-Jun	1-Oct	0.00 0.0
CRT	10/02	EMP ERROR (EMP ERROR)	036	ABG	B	100	19.82	18-Jun	1-Oct	0.00 0.0
<b>CRT</b>	<b>10/02</b>	<b>EMP ERROR (EMP ERROR)</b>	<b>099</b>	<b>ABG</b>	<b>B</b>	<b>400</b>	<b>19.87</b>	<b>18-Jun</b>	<b>1-Oct</b>	<b>0.00 0.0</b>
CRT	10/02	J L F ASSET MGMT (JLFA\$0.04)	039	ANN	B	62,700	33.27	6-Aug	7-Sep	2508.00 4.0
CRT	10/02	RHO CAPITAL MGMT (RHOCBSPB)	041	ARBA	B	3,900	10.91	n/a	n/a	195.00 5.0
CRT	10/02	GLG PARTNERS (GLGPMAIN L)	034	COST	SS	25,000	61.31	n/a	27-Jul	1250.00 5.0
AO,	10/01	COUGAR TRADING (COUGPB MS)	044	JCG	S	6,600	43.54	22-Jun	6-Sep	330.00 5.0
CRT	10/02	MS PRINCIPAL STRATEGIES (MSPSMS)	041	MAR	S	36,300	44.83	n/a	n/a	1815.00 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>6,098.00</b>

TOTAL (Trade Date):	137,181.42
TOTAL (AO, CXL, CRT):	6,098.00

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TOTAL (RUN DATE) / NFS:

143,279.42

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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