



## Daily Compliance Activity Report

Trade Date: 11/29/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NORTHPOINT	030	AAWW	S	270	52.70	n/a	n/a	10.80	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ABG</b>	<b>S</b>	<b>52,800</b>	<b>16.60</b>	<b>31-Oct</b>	<b>2-Nov</b>	<b>2,112.00</b>	<b>4.0</b>
<b>LEDDY</b>	<b>035</b>	<b>ABG</b>	<b>B</b>	<b>200</b>	<b>16.88</b>	<b>31-Oct</b>	<b>2-Nov</b>	<b>0.00</b>	<b>0.0</b>
RH CAPITAL ASSOCIATES	060	AEO	S	47,530	21.84	9-Nov	28-Nov	2,376.50	5.0
<b>BARR</b>	<b>096</b>	<b>ALSC</b>	<b>B</b>	<b>23,500</b>	<b>1.67</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NORTHPOINT	030	ANGO	S	500	19.90	n/a	n/a	20.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANN</b>	<b>S</b>	<b>50,000</b>	<b>30.52</b>	<b>6-Aug</b>	<b>16-Nov</b>	<b>2,000.00</b>	<b>4.0</b>
<b>STRATTON</b>	<b>N21</b>	<b>ANPI</b>	<b>S</b>	<b>200</b>	<b>3.93</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROYCE TRADING	216	APSG	B	5,000	13.00	n/a	n/a	250.00	5.0
REINHART & MAHONEY	031	ATG	B	36,725	36.98	n/a	n/a	1,836.25	5.0
PATTEN & PATTEN	067	AVY	B	300	51.72	13-Aug	14-Nov	15.00	5.0
<b>XYLEM GLOBAL</b>	<b>091</b>	<b>AVY</b>	<b>S</b>	<b>25,000</b>	<b>51.40</b>	<b>13-Aug</b>	<b>14-Nov</b>	<b>1,250.00</b>	<b>5.0</b>
PATTEN & PATTEN	067	BAC	B	200	44.28	13-Nov	20-Nov	10.00	5.0
RHO CAPITAL MGMT	041	BBW	S	1,000	15.25	11-Sep	18-Oct	40.00	4.0
MERRILL LYNCH STRATEGICI	034	BFB	SS	15,000	69.87	n/a	n/a	900.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL LYNCH STRATEGICI	034	BG	SS	5,000	111.76	n/a	n/a	300.00	6.0
KNOTT PARTNERS	044	BIG	B	25,000	20.00	26-Oct	29-Nov	1,000.00	4.0
ROYCE TRADING	216	BNE	S	10,000	16.96	n/a	n/a	500.00	5.0
WELLS/STRONG LEDDY	035	BONT	S	7,700	11.63	9-Nov	21-Nov	308.00	4.0
PATTEN & PATTEN	067	CAT	B	400	71.83	n/a	n/a	20.00	5.0
NEUBERGER BERMAN	036	CBI	S	11,000	52.01	n/a	n/a	550.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CBK</b>	<b>SS</b>	<b>30,000</b>	<b>15.79</b>	<b>n/a</b>	<b>19-Nov</b>	<b>1,200.00</b>	<b>4.0</b>
ROYCE TRADING	216	CCC	S	10,000	13.88	n/a	n/a	500.00	5.0
NORTHPOINT	030	CEDC	S	145	48.61	n/a	n/a	5.80	4.0
PATTEN & PATTEN	067	CNI	B	600	47.75	n/a	n/a	30.00	5.0
MATRIX ASSET ADV.	036	COV	S	4,000	39.00	n/a	n/a	160.00	4.0
ROYCE TRADING	216	CRAY	B	10,000	5.91	n/a	n/a	500.00	5.0
ROYCE TRADING	216	CRS	S	7,500	73.47	n/a	n/a	375.00	5.0
CAXTON PART	040	CSCO	S	54,221	28.01	n/a	22-Mar	1,897.75	3.5
NORTHPOINT	030	CSH	S	801	35.06	n/a	n/a	32.04	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	216	CTGX	S	8,000	5.01	n/a	n/a	400.00	5.0
FIRST NY SEC/CHRIS	041	CVS	SS	10,000	40.39	n/a	n/a	600.00	6.0
SCOPUS FUND	041	CVS	B	50,000	40.04	n/a	n/a	2,500.00	5.0
CAPITAL GROWTH MGMT.	241	DE	B	230,000	169.97	n/a	n/a	11,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DSW</b>	<b>S</b>	<b>20,000</b>	<b>21.80</b>	<b>26-Oct</b>	<b>5-Nov</b>	<b>800.00</b>	<b>4.0</b>
MERRILL LYNCH STRATEGICI	034	DUK	B	10,000	19.73	n/a	n/a	400.00	4.0
<b>LEDDY</b>	<b>035</b>	<b>DXD</b>	<b>S</b>	<b>600</b>	<b>50.52</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>EDA</b>	<b>S</b>	<b>30,000</b>	<b>13.64</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
NORTHPOINT	030	ELY	S	485	16.61	n/a	n/a	19.40	4.0
SOLARIS INV MGMT	036	EMC	B	141,500	19.49	n/a	n/a	7,075.00	5.0
MERRILL LYNCH STRATEGICI	034	ENS	SS	10,000	23.30	n/a	n/a	400.00	4.0
<b>MCCARTAN</b>	<b>028</b>	<b>ENS</b>	<b>B</b>	<b>100</b>	<b>23.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COLUMBIA PARTNERS	028	ETFC	SS	10,000	4.89	n/a	n/a	300.00	3.0
DOUBLE V/PBX	045	EXPE	S	5,000	32.29	n/a	n/a	250.00	5.0
AMBER CAPITAL	046	FCBP	S	25,000	45.62	n/a	n/a	1,000.00	4.0
<b>SINCLAIR</b>	<b>031</b>	<b>FMULU</b>	<b>S</b>	<b>5</b>	<b>3.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	216	FRM	S	5,000	9.73	n/a	n/a	250.00	5.0
<b>MAGUIRE</b>	<b>090</b>	<b>FXP</b>	<b>B</b>	<b>1,000</b>	<b>72.17</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROYCE TRADING	216	GCOM	B	10,000	11.23	n/a	n/a	500.00	5.0
NORTHPOINT	030	GEOY	S	435	31.29	n/a	n/a	17.40	4.0
BARROW HANLEY MEWHINNEY	031	GE	S	89,200	37.98	n/a	n/a	3,568.00	4.0
HEALY CIRCLE	044	GE	SS	30,000	38.15	n/a	n/a	1,500.00	5.0
NORTHPOINT	030	GFIG	B	2,390	97.81	n/a	n/a	95.60	4.0
<b>MCCARTAN</b>	<b>028</b>	<b>GLBC</b>	<b>S</b>	<b>200</b>	<b>19.28</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>GLW</b>	<b>B</b>	<b>5</b>	<b>24.17</b>	<b>n/a</b>	<b>24-Oct</b>	<b>0.00</b>	<b>0.0</b>
MERRILL ASSET	032	GME	B	156,200	55.65	n/a	n/a	7,029.00	4.5
<b>SINCLAIR</b>	<b>031</b>	<b>GMME</b>	<b>B</b>	<b>20</b>	<b>1.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROYCE TRADING	216	GMTN	B	10,000	4.75	n/a	n/a	300.00	3.0
PIVOT CAP	034	GPS	S	7,500	19.83	n/a	21-Nov	375.00	5.0
REINHART & MAHONEY	031	HCC	B	16,450	30.01	n/a	n/a	822.50	5.0
PATTEN & PATTEN	067	HON	B	400	54.98	9-Oct	19-Oct	20.00	5.0
NORTHPOINT	030	ICON	S	1,500	22.66	n/a	n/a	60.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	216	IKAN	B	25,000	5.92	n/a	n/a	1,250.00	5.0
PILOT ADV	038	IM	S	61,000	20.31	n/a	n/a	2,440.00	4.0
NORTHPOINT	030	INT	S	35	31.00	n/a	n/a	1.40	4.0
IRONBOUND CAPITAL	012	IP	B	20,000	33.23	n/a	5-Nov	1,000.00	5.0
FORD FDN.	032	ITW	S	35,000	56.00	n/a	n/a	1,750.00	5.0
NORTHPOINT	030	IWOV	S	820	12.40	n/a	n/a	32.80	4.0
NORTHPOINT	030	JAH	S	255	26.07	n/a	n/a	10.20	4.0
REINHART & MAHONEY	031	JAS	S	6,000	18.52	n/a	n/a	300.00	5.0
COUGAR TRADING	044	JCG	S	10,000	40.17	28-Nov	28-Nov	500.00	5.0
MERRILL LYNCH STRATEGICI	034	JCI	B	40,000	38.62	6-Nov	6-Nov	1,600.00	4.0
MAZAMA CAPITAL MGMT.	035	JEF	B	37,500	24.99	n/a	n/a	1,500.00	4.0
ROYCE TRADING	216	JNY	B	10,000	18.38	n/a	1-Nov	500.00	5.0
NORTHPOINT	030	JOSB	S	895	25.08	n/a	n/a	35.80	4.0
FINANCIAL STOCK LP	028	JPM	B	100,000	43.96	19-Oct	20-Nov	4,000.00	4.0
PATTEN & PATTEN	067	JPM	B	700	43.65	19-Oct	20-Nov	35.00	5.0
PATTEN & PATTEN	067	JWN	B	400	33.68	20-Nov	20-Nov	20.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KSS</b>	<b>S</b>	<b>500,000</b>	<b>49.41</b>	<b>9-Nov</b>	<b>16-Nov</b>	<b>20,000.00</b>	<b>4.0</b>
COUGAR TRADING	044	KSS	SS	5,000	48.74	9-Nov	16-Nov	250.00	5.0
COUGAR TRADING	044	KSS	S	15,000	49.55	9-Nov	16-Nov	750.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KWD</b>	<b>B</b>	<b>10,000</b>	<b>14.62</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
NORTHPOINT	030	LIMC	B	38,835	12.66	n/a	n/a	1,553.40	4.0
NORTHPOINT	030	LKQX	S	100	40.12	n/a	n/a	4.00	4.0
BEAR STEARNS ASSET MGMT.	033	LTD	SS	96,200	19.04	n/a	21-Nov	3,848.00	4.0
PIVOT CAP	034	MATK	S	4,040	26.57	n/a	n/a	202.00	5.0
MERRILL LYNCH STRATEGICI	034	MEE	SS	10,000	33.98	n/a	n/a	400.00	4.0
PATTEN & PATTEN	067	MHP	B	500	47.56	n/a	n/a	25.00	5.0
PATTEN & PATTEN	067	MMM	B	125	83.44	27-Sep	16-Nov	6.25	5.0
ROYCE TRADING	216	MNI	B	5,000	13.33	n/a	n/a	250.00	5.0
MERRILL LYNCH STRATEGICI	034	MON	S	30,000	98.04	n/a	9-Nov	1,800.00	6.0
PIVOT CAP	034	MOT	S	5,000	15.64	n/a	n/a	250.00	5.0
CAPITAL GROWTH MGMT.	241	MRK	B	3,000	59.97	n/a	n/a	150.00	5.0
ROYCE TRADING	216	MRN	S	5,000	6.10	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	MS	B	500	52.12	2-Jul	20-Nov	25.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MW</b>	<b>B</b>	<b>20,000</b>	<b>34.77</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
RAINIER INV MGMT	035	NLY	B	134,905	17.19	n/a	n/a	5,396.20	4.0
ROYCE TRADING	216	NPO	B	5,000	31.38	n/a	n/a	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>NWY</b>	<b>S</b>	<b>150,000</b>	<b>7.15</b>	<b>n/a</b>	<b>20-Nov</b>	<b>6,000.00</b>	<b>4.0</b>
NORTHPOINT	030	OMPI	S	37	17.98	n/a	n/a	1.48	4.0
ROYCE TRADING	216	PBY	B	5,000	10.96	n/a	n/a	250.00	5.0
<b>BARR</b>	<b>096</b>	<b>PDFS</b>	<b>B</b>	<b>1,400</b>	<b>7.89</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SIGMA CAPITAL ASSOCIATES	237	PIR	B	57,000	3.95	n/a	n/a	2,850.00	5.0
MAZAMA CAPITAL MGMT.	035	PJC	B	46,100	46.53	n/a	n/a	1,844.00	4.0
BELMONT GLOBAL ADV	248	PLCE	B	50,000	27.31	26-Sep	23-Nov	2,500.00	5.0
PRINCIPLE CAPITAL	040	PRX	SS	10,000	19.01	28-Sep	27-Nov	300.00	3.0
ROYCE TRADING	216	PSS	B	10,000	15.52	n/a	n/a	500.00	5.0
COUGAR TRADING	044	PSUN	B	10,000	15.34	n/a	21-Nov	500.00	5.0
COUGAR TRADING	044	PSUN	SS	5,000	15.33	n/a	21-Nov	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PTT</b>	<b>S</b>	<b>5,000</b>	<b>10.59</b>	<b>n/a</b>	<b>n/a</b>	<b>200.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHITTIER CAP	048	PVH	B	5,745	40.22	21-Nov	21-Nov	287.25	5.0
CAXTON PART	040	QCOM	B	100,000	41.31	n/a	n/a	3,500.01	3.5
WELLS/STRONG LEDDY	035	RDEN	S	3,100	23.41	n/a	6-Nov	124.00	4.0
<b>STRATTON</b>	<b>N21</b>	<b>REXI</b>	<b>B</b>	<b>400</b>	<b>15.77</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>RL</b>	<b>S</b>	<b>40,000</b>	<b>67.21</b>	<b>8-Nov</b>	<b>8-Nov</b>	<b>1,600.00</b>	<b>4.0</b>
COUGAR TRADING	044	RL	SS	5,000	67.02	8-Nov	8-Nov	250.00	5.0
<b>SINCLAIR</b>	<b>031</b>	<b>RQWMK</b>	<b>S</b>	<b>20</b>	<b>2.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>EFSTATHIOU</b>	<b>044</b>	<b>RVI</b>	<b>S</b>	<b>300</b>	<b>6.82</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CATAPULT	040	SCHW	S	2,400	24.11	n/a	n/a	120.00	5.0
SIGMA CAPITAL ASSOCIATES	237	SCSS	B	100,000	10.66	n/a	n/a	5,000.00	5.0
NORTHPOINT	030	SGMS	S	50	32.31	n/a	n/a	2.00	4.0
<b>MAGUIRE</b>	<b>090</b>	<b>SKF</b>	<b>B</b>	<b>1,000</b>	<b>97.93</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>OTC ERROR</b>	<b>099</b>	<b>SMBLW</b>	<b>S</b>	<b>1,500</b>	<b>6.28</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SYSTEMATIC FINANCIAL MGT	035	SNA	B	76,900	48.53	n/a	n/a	2,883.75	3.8
CATAPULT	040	STI	S	2,500	69.32	n/a	n/a	125.00	5.0
ROYCE TRADING	216	TDY	S	5,000	54.66	n/a	n/a	250.00	5.0



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
VISIUM/DIV OF BALLY BOBBY	044	TEVA	B	100,000	44.09	2-Aug	27-Nov	5,000.00	5.0
BEAR STEARNS ASSET MGMT.	033	TIF	C	212,000	48.77	18-Oct	27-Nov	8,480.00	4.0
STADIA CAPITAL	035	TIF	S	35,000	48.55	18-Oct	27-Nov	1,400.00	4.0
CAXTON PART	040	TIN	B	150,000	43.72	9-Nov	9-Nov	5,250.01	3.5
NORTHPOINT	030	TRID	S	1,000	6.43	n/a	n/a	30.00	3.0
<b>LISTED ERR</b>	<b>099</b>	<b>TRN</b>	<b>B</b>	<b>1,600</b>	<b>26.28</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROYCE TRADING	216	TTMI	S	10,000	12.17	n/a	n/a	500.00	5.0
MATRIX ASSET ADV.	036	TYC	S	4,000	39.80	9-Nov	15-Nov	160.00	4.0
U.S.TRUST COMPANY	012	TYC	B	100,000	39.60	9-Nov	15-Nov	4,500.01	4.5
CAXTON PART	040	T	B	200,000	37.80	21-Sep	19-Nov	7,000.01	3.5
NORTHPOINT	030	UAPH	S	1,000	29.97	n/a	n/a	40.00	4.0
COLUMBIA PARTNERS	028	USG	SS	18,134	36.42	24-Oct	24-Oct	725.36	4.0
RHO CAPITAL MGMT	041	VSL	B	700	29.24	n/a	n/a	28.00	4.0
NEUBERGER BERMAN	036	WBC	S	5,800	47.27	n/a	24-Oct	290.00	5.0
KNOTT PARTNERS	044	WHR	B	5,300	78.11	n/a	n/a	212.00	4.0
<b>STRATTON</b>	<b>N21</b>	<b>WINN</b>	<b>B</b>	<b>300</b>	<b>18.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NORTHPOINT	030	WRLD	S	115	30.50	n/a	n/a	4.60	4.0
PATTEN & PATTEN	067	WY	B	400	72.02	1-Nov	1-Nov	20.00	5.0
<b>XYLEM GLOBAL</b>	<b>091</b>	<b>WY</b>	<b>B</b>	<b>10,000</b>	<b>70.75</b>	<b>1-Nov</b>	<b>1-Nov</b>	<b>500.00</b>	<b>5.0</b>
WHALE ROCK CAP	030	XLF	SS	325,000	30.10	n/a	n/a	13,000.00	4.0
PIVOT CAP	034	XLY	B	10,000	34.00	n/a	n/a	500.00	5.0
<b>TOTAL (Trade Date):</b>								<b>187,743.57</b>	

# Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	11/26	MKT MAKER (MKT MAKER)	099	BONT	S	100	14.13	9-Nov	21-Nov	0.00	0.0
AO,CXL	11/26	MKT MAKER (MKT MAKER)	099	BONT	S	100	13.98	9-Nov	21-Nov	0.00	0.0
AO,CXL	11/26	MKT MAKER (MKT MAKER)	099	BONT	S	300	13.98	9-Nov	21-Nov	0.00	0.0
AO,	11/28	JP MORGAN VENTURES (JPMVGS)	046	BR	S	100,000	21.79	n/a	30-Jan	5000.00	5.0
AO,CXL	11/26	LISTED ERR (LISTED ERR)	099	CBE	B	500	48.55	n/a	23-Oct	0.00	0.0
AO,	11/26	LISTED ERR (LISTED ERR)	099	CBE	B	500	48.55	n/a	23-Oct	0.00	0.0
AO,CXL	11/26	MKT MAKER (MKT MAKER)	099	CENT	S	100	6.45	n/a	28-Nov	0.00	0.0
AO,CXL	11/26	MKT MAKER (MKT MAKER)	099	CENT	S	100	6.45	n/a	28-Nov	0.00	0.0
AO,CXL	11/26	MKT MAKER (MKT MAKER)	099	CENT	S	100	6.45	n/a	28-Nov	0.00	0.0
AO,CXL	11/26	MKT MAKER (MKT MAKER)	099	CENT	S	300	6.43	n/a	28-Nov	0.00	0.0
AO,	11/28	TRIVIUM CAP MGMT (TRIVMS)	251	CVS	S	20,000	40.93	n/a	n/a	800.00	4.0
AO,CXL	11/26	MKT MAKER (MKT MAKER)	099	FINL	S	99	3.01	n/a	28-Sep	0.00	0.0
AO,CXL	11/26	MKT MAKER (MKT MAKER)	099	FINL	S	1	3.01	n/a	28-Sep	0.00	0.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB68172)	048	GLT	B	22	15.07	n/a	n/a	1.32	6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB28335)	048	GLT	B	24	15.07	n/a	n/a	1.44	6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26072)	048	GLT	B	30	15.07	n/a	n/a	1.80	6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB02531)	048	GLT	B	16	15.07	n/a	n/a	0.96	6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB83002)	048	GLT	B	48	15.07	n/a	n/a	2.88	6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB68160)	048	GLT	B	15	15.07	n/a	n/a	0.90	6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB34278)	048	GLT	B	61	15.07	n/a	n/a	3.66	6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26693)	048	GLT	B	55	15.07	n/a	n/a	3.30	6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB02533)	048	GLT	B	16	15.07	n/a	n/a	0.96	6.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB02310)	048	GLT	B	20	15.07	n/a	n/a	1.20 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB68025)	048	GLT	B	24	15.07	n/a	n/a	1.44 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB28351)	048	GLT	B	16	15.07	n/a	n/a	0.96 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26211)	048	GLT	B	22	15.07	n/a	n/a	1.32 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB02534)	048	GLT	B	16	15.07	n/a	n/a	0.96 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB83243)	048	GLT	B	26	15.07	n/a	n/a	1.56 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB68254)	048	GLT	B	52	15.07	n/a	n/a	3.12 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB28336)	048	GLT	B	33	15.07	n/a	n/a	1.98 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26782)	048	GLT	B	24	15.07	n/a	n/a	1.44 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB02501)	048	GLT	B	63	15.07	n/a	n/a	3.78 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB83002)	048	GLT	B	62	15.07	n/a	n/a	3.72 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB68023)	048	GLT	B	83	15.07	n/a	n/a	4.98 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB28351)	048	GLT	B	48	15.07	n/a	n/a	2.88 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26687)	048	GLT	B	32	15.07	n/a	n/a	1.92 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB02556)	048	GLT	B	26	15.07	n/a	n/a	1.56 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB83365)	048	GLT	B	47	15.07	n/a	n/a	2.82 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB68023)	048	GLT	B	17	15.07	n/a	n/a	1.02 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB28033)	048	GLT	B	23	15.07	n/a	n/a	1.38 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26709)	048	GLT	B	52	15.07	n/a	n/a	3.12 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB83273)	048	GLT	B	218	15.07	n/a	n/a	13.08 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB02029)	048	GLT	B	43	15.07	n/a	n/a	2.58 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB68029)	048	GLT	B	44	15.07	n/a	n/a	2.64 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB28037)	048	GLT	B	15	15.07	n/a	n/a	0.90 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26748)	048	GLT	B	15	15.07	n/a	n/a	0.90 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB83271)	048	GLT	B	10	15.07	n/a	n/a	0.60 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB83260)	048	GLT	B	42	15.07	n/a	n/a	2.52 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB70595)	048	GLT	B	19	15.07	n/a	n/a	1.14 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB28201)	048	GLT	B	62	15.07	n/a	n/a	3.72 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26824)	048	GLT	B	15	15.07	n/a	n/a	0.90 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB83101)	048	GLT	B	15	15.07	n/a	n/a	0.90 6.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB83222)	048	GLT	B	25	15.07	n/a	n/a	1.50 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB68028)	048	GLT	B	43	15.07	n/a	n/a	2.58 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB28353)	048	GLT	B	23	15.07	n/a	n/a	1.38 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26732)	048	GLT	B	43	15.07	n/a	n/a	2.58 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26533)	048	GLT	B	10	15.07	n/a	n/a	0.60 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB83229)	048	GLT	B	50	15.07	n/a	n/a	3.00 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB68002)	048	GLT	B	56	15.07	n/a	n/a	3.36 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB28206)	048	GLT	B	30	15.07	n/a	n/a	1.80 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26747)	048	GLT	B	15	15.07	n/a	n/a	0.90 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB70596)	048	GLT	B	21	15.07	n/a	n/a	1.26 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB83213)	048	GLT	B	45	15.07	n/a	n/a	2.70 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB68002)	048	GLT	B	17	15.07	n/a	n/a	1.02 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB34097)	048	GLT	B	30	15.07	n/a	n/a	1.80 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26007)	048	GLT	B	50	15.07	n/a	n/a	3.00 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB68196)	048	GLT	B	9	15.07	n/a	n/a	0.54 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB95203)	048	GLT	B	20	15.07	n/a	n/a	1.20 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB28205)	048	GLT	B	29	15.07	n/a	n/a	1.74 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26783)	048	GLT	B	59	15.07	n/a	n/a	3.54 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB28307)	048	GLT	B	9	15.07	n/a	n/a	0.54 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB83244)	048	GLT	B	16	15.07	n/a	n/a	0.96 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB28352)	048	GLT	B	24	15.07	n/a	n/a	1.44 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26007)	048	GLT	B	43	15.07	n/a	n/a	2.58 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB28092)	048	GLT	B	6	15.07	n/a	n/a	0.36 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB83234)	048	GLT	B	99	15.07	n/a	n/a	5.94 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB28354)	048	GLT	B	32	15.07	n/a	n/a	1.92 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26210)	048	GLT	B	19	15.07	n/a	n/a	1.14 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26276)	048	GLT	B	24	15.07	n/a	n/a	1.44 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB83367)	048	GLT	B	64	15.07	n/a	n/a	3.84 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB34088)	048	GLT	B	52	15.07	n/a	n/a	3.12 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26203)	048	GLT	B	23	15.07	n/a	n/a	1.38 6.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26692)	048	GLT	B	202	15.07	n/a	n/a	12.12 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB83266)	048	GLT	B	36	15.07	n/a	n/a	2.16 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB28355)	048	GLT	B	16	15.07	n/a	n/a	0.96 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26059)	048	GLT	B	33	15.07	n/a	n/a	1.98 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26544)	048	GLT	B	25	15.07	n/a	n/a	1.50 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB83280)	048	GLT	B	24	15.07	n/a	n/a	1.44 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB28355)	048	GLT	B	48	15.07	n/a	n/a	2.88 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26103)	048	GLT	B	70	15.07	n/a	n/a	4.20 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26067)	048	GLT	B	48	15.07	n/a	n/a	2.88 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB83247)	048	GLT	B	37	15.07	n/a	n/a	2.22 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB28355)	048	GLT	B	19	15.07	n/a	n/a	1.14 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB12083)	048	GLT	B	58	15.07	n/a	n/a	3.48 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB68282)	048	GLT	B	79	15.07	n/a	n/a	4.74 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB83292)	048	GLT	B	58	15.07	n/a	n/a	3.48 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB34077)	048	GLT	B	67	15.07	n/a	n/a	4.02 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB28126)	048	GLT	B	18	15.07	n/a	n/a	1.08 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26057)	048	GLT	B	21	15.07	n/a	n/a	1.26 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB83255)	048	GLT	B	30	15.07	n/a	n/a	1.80 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB34060)	048	GLT	B	30	15.07	n/a	n/a	1.80 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26207)	048	GLT	B	44	15.07	n/a	n/a	2.64 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB36135)	048	GLT	B	312	15.07	n/a	n/a	18.72 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB93037)	048	GLT	B	15	15.07	n/a	n/a	0.90 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB34064)	048	GLT	B	27	15.07	n/a	n/a	1.62 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB05521)	048	GLT	B	58	15.07	n/a	n/a	3.48 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26672)	048	GLT	B	140	15.07	n/a	n/a	8.40 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB83284)	048	GLT	B	35	15.07	n/a	n/a	2.10 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB3470)	048	GLT	B	30	15.07	n/a	n/a	1.80 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB29710)	048	GLT	B	51	15.07	n/a	n/a	3.06 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB34090)	048	GLT	B	17	15.07	n/a	n/a	1.02 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQ850003)	048	GLT	B	23	15.07	n/a	n/a	1.38 6.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB34098)	048	GLT	B	30	15.07	n/a	n/a	1.80 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26470)	048	GLT	B	48	15.07	n/a	n/a	2.88 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB23460)	048	GLT	B	23	15.07	n/a	n/a	1.38 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB83369)	048	GLT	B	79	15.07	n/a	n/a	4.74 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB3410)	048	GLT	B	46	15.07	n/a	n/a	2.76 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB23802)	048	GLT	B	20	15.07	n/a	n/a	1.20 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB34059)	048	GLT	B	2	15.07	n/a	n/a	0.12 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB83287)	048	GLT	B	16	15.07	n/a	n/a	0.96 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB34102)	048	GLT	B	33	15.07	n/a	n/a	1.98 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB10049)	048	GLT	B	43	15.07	n/a	n/a	2.58 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQ36113)	048	GLT	B	3	15.07	n/a	n/a	0.18 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQ)	048	GLT	B	4	15.07	n/a	n/a	0.24 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB34094)	048	GLT	B	29	15.07	n/a	n/a	1.74 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26470)	048	GLT	B	48	15.07	n/a	n/a	2.88 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB95001)	048	GLT	B	31	15.07	n/a	n/a	1.86 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB83365)	048	GLT	B	43	15.07	n/a	n/a	2.58 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB34101)	048	GLT	B	23	15.07	n/a	n/a	1.38 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB49720)	048	GLT	B	92	15.07	n/a	n/a	5.52 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB36148)	048	GLT	B	20	15.07	n/a	n/a	1.20 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB83365)	048	GLT	B	48	15.07	n/a	n/a	2.88 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB36166)	048	GLT	B	42	15.07	n/a	n/a	2.52 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB07321)	048	GLT	B	30	15.07	n/a	n/a	1.80 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB95001)	048	GLT	B	25	15.07	n/a	n/a	1.50 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26654)	048	GLT	B	27	15.07	n/a	n/a	1.62 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB95112)	048	GLT	B	37	15.07	n/a	n/a	2.22 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB44212)	048	GLT	B	19	15.07	n/a	n/a	1.14 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB03080)	048	GLT	B	18	15.07	n/a	n/a	1.08 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB86256)	048	GLT	B	192	15.07	n/a	n/a	11.52 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB83192)	048	GLT	B	46	15.07	n/a	n/a	2.76 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB83364)	048	GLT	B	68	15.07	n/a	n/a	4.08 6.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB34108)	048	GLT	B	63	15.07	n/a	n/a	3.78 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB05760)	048	GLT	B	65	15.07	n/a	n/a	3.90 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQCALLAN)	048	GLT	B	2,900	15.07	n/a	n/a	174.00 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26244)	048	GLT	B	64	15.07	n/a	n/a	3.84 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB95187)	048	GLT	B	27	15.07	n/a	n/a	1.62 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB34001)	048	GLT	B	23	15.07	n/a	n/a	1.38 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB01083)	048	GLT	B	68	15.07	n/a	n/a	4.08 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQM04877)	048	GLT	B	1,200	15.07	n/a	n/a	72.00 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26585)	048	GLT	B	49	15.07	n/a	n/a	2.94 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB83368)	048	GLT	B	63	15.07	n/a	n/a	3.78 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB63173)	048	GLT	B	71	15.07	n/a	n/a	4.26 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB06110)	048	GLT	B	27	15.07	n/a	n/a	1.62 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQSCHWAS)	048	GLT	B	13,900	15.07	n/a	n/a	834.00 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26310)	048	GLT	B	35	15.07	n/a	n/a	2.10 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB85002)	048	GLT	B	50	15.07	n/a	n/a	3.00 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB34010)	048	GLT	B	85	15.07	n/a	n/a	5.10 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB7609)	048	GLT	B	16	15.07	n/a	n/a	0.96 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB36015)	048	GLT	B	1	15.07	n/a	n/a	0.06 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB82902)	048	GLT	B	23	15.07	n/a	n/a	1.38 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB95154)	048	GLT	B	55	15.07	n/a	n/a	3.30 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB44002)	048	GLT	B	54	15.07	n/a	n/a	3.24 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB28281)	048	GLT	B	52	15.07	n/a	n/a	3.12 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQS11596)	048	GLT	B	1,260	15.07	n/a	n/a	75.60 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26603)	048	GLT	B	25	15.07	n/a	n/a	1.50 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB97902)	048	GLT	B	30	15.07	n/a	n/a	1.80 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB36112)	048	GLT	B	49	15.07	n/a	n/a	2.94 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26002)	048	GLT	B	19	15.07	n/a	n/a	1.14 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQA54130)	048	GLT	B	100	15.07	n/a	n/a	6.00 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26584)	048	GLT	B	18	15.07	n/a	n/a	1.08 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB01021)	048	GLT	B	23	15.07	n/a	n/a	1.38 6.0



Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB36153)	048	GLT	B	33	15.07	n/a	n/a	1.98 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB06034)	048	GLT	B	16	15.07	n/a	n/a	0.96 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQS11896)	048	GLT	B	350	15.07	n/a	n/a	21.00 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26253)	048	GLT	B	25	15.07	n/a	n/a	1.50 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQS11132)	048	GLT	B	45	15.07	n/a	n/a	2.70 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB83214)	048	GLT	B	69	15.07	n/a	n/a	4.14 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB18081)	048	GLT	B	57	15.07	n/a	n/a	3.42 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQS11989)	048	GLT	B	210	15.07	n/a	n/a	12.60 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26415)	048	GLT	B	39	15.07	n/a	n/a	2.34 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB95172)	048	GLT	B	21	15.07	n/a	n/a	1.26 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB36160)	048	GLT	B	65	15.07	n/a	n/a	3.90 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB01768)	048	GLT	B	15	15.07	n/a	n/a	0.90 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQA55511)	048	GLT	B	10	15.07	n/a	n/a	0.60 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26542)	048	GLT	B	30	15.07	n/a	n/a	1.80 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB95165)	048	GLT	B	67	15.07	n/a	n/a	4.02 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB44244)	048	GLT	B	59	15.07	n/a	n/a	3.54 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB28179)	048	GLT	B	67	15.07	n/a	n/a	4.02 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQS22339)	048	GLT	B	1,200	15.07	n/a	n/a	72.00 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26428)	048	GLT	B	39	15.07	n/a	n/a	2.34 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB95720)	048	GLT	B	16	15.07	n/a	n/a	0.96 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB68030)	048	GLT	B	46	15.07	n/a	n/a	2.76 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB63234)	048	GLT	B	36	15.07	n/a	n/a	2.16 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB12150)	048	GLT	B	20	15.07	n/a	n/a	1.20 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQS22342)	048	GLT	B	3,700	15.07	n/a	n/a	222.00 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26497)	048	GLT	B	95	15.07	n/a	n/a	5.70 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB95174)	048	GLT	B	25	15.07	n/a	n/a	1.50 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB70574)	048	GLT	B	42	15.07	n/a	n/a	2.52 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB44031)	048	GLT	B	19	15.07	n/a	n/a	1.14 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26231)	048	GLT	B	20	15.07	n/a	n/a	1.20 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQS26079)	048	GLT	B	49,481	15.07	n/a	n/a	2968.86 6.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26541)	048	GLT	B	49	15.07	n/a	n/a	2.94 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB95201)	048	GLT	B	23	15.07	n/a	n/a	1.38 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB7074)	048	GLT	B	83	15.07	n/a	n/a	4.98 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB63079)	048	GLT	B	86	15.07	n/a	n/a	5.16 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB15013)	048	GLT	B	52	15.07	n/a	n/a	3.12 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQS80044)	048	GLT	B	350	15.07	n/a	n/a	21.00 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26671)	048	GLT	B	34	15.07	n/a	n/a	2.04 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB95193)	048	GLT	B	29	15.07	n/a	n/a	1.74 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB68003)	048	GLT	B	88	15.07	n/a	n/a	5.28 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB44034)	048	GLT	B	16	15.07	n/a	n/a	0.96 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB36173)	048	GLT	B	15	15.07	n/a	n/a	0.90 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26486)	048	GLT	B	27	15.07	n/a	n/a	1.62 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB95179)	048	GLT	B	65	15.07	n/a	n/a	3.90 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB70594)	048	GLT	B	26	15.07	n/a	n/a	1.56 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB44036)	048	GLT	B	16	15.07	n/a	n/a	0.96 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26233)	048	GLT	B	68	15.07	n/a	n/a	4.08 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26245)	048	GLT	B	53	15.07	n/a	n/a	3.18 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB95195)	048	GLT	B	23	15.07	n/a	n/a	1.38 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB68461)	048	GLT	B	19	15.07	n/a	n/a	1.14 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB63070)	048	GLT	B	15	15.07	n/a	n/a	0.90 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB28230)	048	GLT	B	22	15.07	n/a	n/a	1.32 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26480)	048	GLT	B	42	15.07	n/a	n/a	2.52 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB95198)	048	GLT	B	41	15.07	n/a	n/a	2.46 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB70591)	048	GLT	B	13	15.07	n/a	n/a	0.78 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB44040)	048	GLT	B	15	15.07	n/a	n/a	0.90 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB02012)	048	GLT	B	2	15.07	n/a	n/a	0.12 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26547)	048	GLT	B	30	15.07	n/a	n/a	1.80 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB95001)	048	GLT	B	81	15.07	n/a	n/a	4.86 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB70575)	048	GLT	B	15	15.07	n/a	n/a	0.90 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB25335)	048	GLT	B	70	15.07	n/a	n/a	4.20 6.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB28143)	048	GLT	B	68	15.07	n/a	n/a	4.08 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26528)	048	GLT	B	23	15.07	n/a	n/a	1.38 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB10770)	048	GLT	B	32	15.07	n/a	n/a	1.92 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB44039)	048	GLT	B	23	15.07	n/a	n/a	1.38 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB28255)	048	GLT	B	92	15.07	n/a	n/a	5.52 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26552)	048	GLT	B	58	15.07	n/a	n/a	3.48 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB16050)	048	GLT	B	27	15.07	n/a	n/a	1.62 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB7526)	048	GLT	B	41	15.07	n/a	n/a	2.46 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB52305)	048	GLT	B	48	15.07	n/a	n/a	2.88 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB28291)	048	GLT	B	90	15.07	n/a	n/a	5.40 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26548)	048	GLT	B	72	15.07	n/a	n/a	4.32 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB95209)	048	GLT	B	17	15.07	n/a	n/a	1.02 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB7563)	048	GLT	B	61	15.07	n/a	n/a	3.66 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB63215)	048	GLT	B	48	15.07	n/a	n/a	2.88 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB28245)	048	GLT	B	70	15.07	n/a	n/a	4.20 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26679)	048	GLT	B	20	15.07	n/a	n/a	1.20 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB95002)	048	GLT	B	50	15.07	n/a	n/a	3.00 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB70005)	048	GLT	B	13	15.07	n/a	n/a	0.78 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB44106)	048	GLT	B	59	15.07	n/a	n/a	3.54 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB28306)	048	GLT	B	39	15.07	n/a	n/a	2.34 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26600)	048	GLT	B	20	15.07	n/a	n/a	1.20 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB95610)	048	GLT	B	42	15.07	n/a	n/a	2.52 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB70005)	048	GLT	B	19	15.07	n/a	n/a	1.14 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB7603)	048	GLT	B	19	15.07	n/a	n/a	1.14 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB28272)	048	GLT	B	64	15.07	n/a	n/a	3.84 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26602)	048	GLT	B	21	15.07	n/a	n/a	1.26 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB95002)	048	GLT	B	18	15.07	n/a	n/a	1.08 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB70005)	048	GLT	B	65	15.07	n/a	n/a	3.90 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB63438)	048	GLT	B	24	15.07	n/a	n/a	1.44 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB28290)	048	GLT	B	81	15.07	n/a	n/a	4.86 6.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26566)	048	GLT	B	64	15.07	n/a	n/a	3.84 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB01007)	048	GLT	B	21	15.07	n/a	n/a	1.26 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB83000)	048	GLT	B	65	15.07	n/a	n/a	3.90 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB63283)	048	GLT	B	51	15.07	n/a	n/a	3.06 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB28339)	048	GLT	B	33	15.07	n/a	n/a	1.98 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26650)	048	GLT	B	60	15.07	n/a	n/a	3.60 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB95780)	048	GLT	B	50	15.07	n/a	n/a	3.00 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB70005)	048	GLT	B	18	15.07	n/a	n/a	1.08 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB6228)	048	GLT	B	22	15.07	n/a	n/a	1.32 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB28287)	048	GLT	B	48	15.07	n/a	n/a	2.88 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26623)	048	GLT	B	33	15.07	n/a	n/a	1.98 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQS10968)	048	GLT	B	45	15.07	n/a	n/a	2.70 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB70005)	048	GLT	B	81	15.07	n/a	n/a	4.86 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB63025)	048	GLT	B	47	15.07	n/a	n/a	2.82 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB28294)	048	GLT	B	54	15.07	n/a	n/a	3.24 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26646)	048	GLT	B	45	15.07	n/a	n/a	2.70 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQ102203)	048	GLT	B	23	15.07	n/a	n/a	1.38 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB70005)	048	GLT	B	20	15.07	n/a	n/a	1.20 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB83001)	048	GLT	B	96	15.07	n/a	n/a	5.76 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB28304)	048	GLT	B	43	15.07	n/a	n/a	2.58 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26624)	048	GLT	B	16	15.07	n/a	n/a	0.96 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQ101601)	048	GLT	B	21	15.07	n/a	n/a	1.26 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB70006)	048	GLT	B	42	15.07	n/a	n/a	2.52 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB68265)	048	GLT	B	19	15.07	n/a	n/a	1.14 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB28313)	048	GLT	B	31	15.07	n/a	n/a	1.86 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26648)	048	GLT	B	16	15.07	n/a	n/a	0.96 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB29380)	048	GLT	B	44	15.07	n/a	n/a	2.64 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB70005)	048	GLT	B	25	15.07	n/a	n/a	1.50 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB7473)	048	GLT	B	18	15.07	n/a	n/a	1.08 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB28241)	048	GLT	B	58	15.07	n/a	n/a	3.48 6.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26616)	048	GLT	B	58	15.07	n/a	n/a	3.48 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB00851)	048	GLT	B	17	15.07	n/a	n/a	1.02 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB83001)	048	GLT	B	45	15.07	n/a	n/a	2.70 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB63432)	048	GLT	B	35	15.07	n/a	n/a	2.10 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB28314)	048	GLT	B	21	15.07	n/a	n/a	1.26 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26658)	048	GLT	B	24	15.07	n/a	n/a	1.44 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB00859)	048	GLT	B	30	15.07	n/a	n/a	1.80 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB83001)	048	GLT	B	99	15.07	n/a	n/a	5.94 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB63031)	048	GLT	B	19	15.07	n/a	n/a	1.14 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB28320)	048	GLT	B	27	15.07	n/a	n/a	1.62 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26720)	048	GLT	B	17	15.07	n/a	n/a	1.02 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB02337)	048	GLT	B	33	15.07	n/a	n/a	1.98 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB83001)	048	GLT	B	36	15.07	n/a	n/a	2.16 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB68011)	048	GLT	B	85	15.07	n/a	n/a	5.10 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB28329)	048	GLT	B	14	15.07	n/a	n/a	0.84 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26637)	048	GLT	B	58	15.07	n/a	n/a	3.48 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB02401)	048	GLT	B	18	15.07	n/a	n/a	1.08 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB30018)	048	GLT	B	37	15.07	n/a	n/a	2.22 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB69186)	048	GLT	B	20	15.07	n/a	n/a	1.20 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB28319)	048	GLT	B	20	15.07	n/a	n/a	1.20 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB10005)	048	GLT	B	37	15.07	n/a	n/a	2.22 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB02463)	048	GLT	B	19	15.07	n/a	n/a	1.14 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB83002)	048	GLT	B	18	15.07	n/a	n/a	1.08 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB68150)	048	GLT	B	34	15.07	n/a	n/a	2.04 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB28325)	048	GLT	B	20	15.07	n/a	n/a	1.20 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB26695)	048	GLT	B	17	15.07	n/a	n/a	1.02 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB02483)	048	GLT	B	23	15.07	n/a	n/a	1.38 6.0
AO,	11/28	TOCQUEVILLE ASSET MGMT (TOCQB70203)	048	GLT	B	48	15.07	n/a	n/a	2.88 6.0
AO,CXL	11/28	THE JAY GOLDMAN (GOLDGSBULK)	034	M	S	30,000	30.03	9-Nov	15-Nov	1500.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	11/28	THE JAY GOLDMAN (GOLDGSBULK)	034	M	S	30,000	30.03	9-Nov	15-Nov	1200.00 4.0
AO,	11/27	SCOGGIN CAP (SCOGWORLDW)	044	MSFT	B	5,000	33.34	n/a	3-Apr	250.00 5.0
AO,	11/27	SCOGGIN CAP (SCOGGUGGEN)	044	MSFT	B	7,500	33.34	n/a	3-Apr	375.00 5.0
AO,CXL	11/27	SCOGGIN CAP (SCOGSCOGCP)	044	MSFT	B	33,250	33.34	n/a	3-Apr	1662.50 5.0
AO,	11/27	SCOGGIN CAP (SCOGSCOGCP)	044	MSFT	B	25,000	33.34	n/a	3-Apr	1250.00 5.0
AO,CXL	11/27	SCOGGIN CAP (SCOGINTERN)	044	MSFT	B	33,250	33.34	n/a	3-Apr	1662.50 5.0
AO,	11/27	SCOGGIN CAP (SCOGINTERN)	044	MSFT	B	29,000	33.34	n/a	3-Apr	1450.00 5.0
CRT	11/29	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	RL	S	39,900	67.21	8-Nov	8-Nov	1596.00 4.0
AO,	11/28	OTC ERROR (OTC ERROR)	099	SMBLW	B	1,500	6.00	n/a	n/a	0.00 0.0
AO,	11/28	WHITE PINE CAPITAL (WPIN0002)	030	SMBLW	S	7,500	6.00	n/a	n/a	375.00 5.0
AO,	11/28	LISTED ERR (LISTED ERR)	099	TRN	S	1,600	26.33	n/a	n/a	0.00 0.0
AO,CXL	11/27	XYLEM GLOBAL (XYLMM S PB)	091	USG	B	10,000	35.92	24-Oct	24-Oct	500.00 5.0
AO,	11/27	XYLEM GLOBAL (XYLMM S PB)	091	USG	B	20,000	35.92	24-Oct	24-Oct	1000.00 5.0
TOTAL (AO, CXL, CRT) :										13,165.50
TOTAL (Trade Date) :										187,743.57
TOTAL (AO, CXL, CRT) :										13,165.50
TOTAL (RUN DATE) / NFS :										200,909.07

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