



# Daily Compliance Activity Report

Trade Date: 11/28/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EGS ASSOCIATES LP	091	ABG	B	1,900	16.70	31-Oct	2-Nov	114.00	6.0
BUCK CAPITAL MGMT	001	AEO	S	70,000	21.76	9-Nov	28-Nov	2,800.00	4.0
SINCLAIR	031	AMGAF	S	10	4.00	n/a	n/a	0.00	0.0
COLUMBIA PARTNERS	028	ANF	C	15,995	80.04	2-Oct	21-Nov	639.80	4.0
COUGAR TRADING	044	ANF	S	10,000	79.55	2-Oct	21-Nov	500.00	5.0
BUCK	015	ANF	C	500	78.62	2-Oct	21-Nov	0.00	0.0
SARAS CAPITAL	038	AN	SS	50,000	16.85	n/a	25-Oct	2,500.00	5.0
FRONTPOINT	044	APC	B	406,000	54.75	22-Jun	28-Nov	14,210.00	3.5
BALYASNY ASSET MGMT	044	ARO	S	15,000	27.54	9-Nov	20-Nov	750.00	5.0
BUCK CAPITAL MGMT	001	ARO	S	30,000	28.33	9-Nov	20-Nov	1,200.00	4.0
COUGAR TRADING	044	ARO	B	5,000	28.44	9-Nov	20-Nov	250.00	5.0
SIGMA CAPITAL ASSOCIATES	237	ARO	SS	50,000	28.29	9-Nov	20-Nov	2,500.00	5.0
THE BOSTON COMPANY	214	ARO	B	26,010	27.90	9-Nov	20-Nov	1,040.40	4.0
BOS1	214	ARO	B	11,390	27.90	9-Nov	20-Nov	455.60	4.0
ROYCE TRADING	216	ASTE	B	5,000	36.88	n/a	n/a	250.00	5.0
STRATTON	N21	AXPAH	S	1	18.00	n/a	n/a	0.00	0.0
KERN	050	BHI	B	250	79.99	n/a	n/a	0.00	0.0
KERN	050	BHP	B	250	73.04	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	BIG	SS	80,000	20.70	26-Oct	9-Nov	3,200.00	4.0
WHITE PINE CAPITAL	030	BIG	C	500	20.70	26-Oct	9-Nov	25.00	5.0
BUCK CAPITAL MGMT	001	BLK	S	31,000	200.00	21-Nov	26-Nov	1,240.00	4.0
LEDDY	035	BONT	B	1,850	13.25	9-Nov	21-Nov	0.00	0.0
MERRILL LYNCH STRATEGICI	034	CCL	B	10,000	44.19	n/a	26-Jan	500.00	5.0
MKT MAKER	099	CENT	B	100	5.00	n/a	28-Nov	0.00	0.0
ZOLIDIS	011	CHS	SS	1,500	11.40	9-Nov	12-Nov	0.00	0.0
KACELA CAPITAL	034	CLX	B	8,000	64.28	n/a	1-Nov	320.00	4.0
PAKLER	N22	CMG	S	9	132.53	n/a	24-Apr	0.00	0.0
MAZAMA CAPITAL MGMT.	035	CML	S	50,700	13.59	n/a	n/a	2,028.00	4.0
CAXTON PART	040	CSCO	B	165,304	28.06	n/a	22-Mar	5,785.65	3.5
ROYCE TRADING	216	CTGX	S	2,000	5.12	n/a	n/a	100.00	5.0
SCOPUS FUND	041	CVS	SS	50,000	40.85	n/a	n/a	2,500.00	5.0
MERRILL LYNCH STRATEGICI	034	CY	B	66,000	32.17	n/a	n/a	2,640.00	4.0
VISIUM/BALY HOWARD	038	DLTR	B	35,000	25.77	9-Nov	9-Nov	1,750.00	5.0
BUCK CAPITAL MGMT	001	DSW	S	20,000	22.16	26-Oct	5-Nov	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL LYNCH STRATEGICI	034	DVR	S	13,800	11.95	n/a	n/a	414.00	3.0
<b>LEDDY</b>	<b>035</b>	<b>EDA</b>	<b>S</b>	<b>1,000</b>	<b>13.17</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
KACELA CAPITAL	034	EL	B	10,000	43.43	25-Oct	25-Oct	400.00	4.0
MERRILL LYNCH STRATEGICI	034	EL	SS	35,000	43.65	25-Oct	25-Oct	1,750.00	5.0
BALYASNY ASSET MGMT	044	EV	B	20,000	42.40	20-Nov	26-Nov	1,000.00	5.0
CAPITAL GROWTH MGMT.	241	FCL	B	325,000	44.93	n/a	n/a	16,250.00	5.0
T. ROWE PRICE	243	FCL	S	105,400	45.00	n/a	n/a	4,216.00	4.0
BALYASNY ASSET MGMT	044	FII	B	30,000	39.57	n/a	26-Nov	1,500.00	5.0
ROYCE TRADING	216	FLDR	B	10,000	6.50	n/a	n/a	500.00	5.0
ROYCE TRADING	216	FLE	S	10,000	5.69	n/a	n/a	500.00	5.0
<b>SINCLAIR</b>	<b>031</b>	<b>FMULU</b>	<b>B</b>	<b>5</b>	<b>2.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROYCE TRADING	216	FRM	S	5,000	10.11	n/a	n/a	250.00	5.0
<b>MAGUIRE</b>	<b>090</b>	<b>FXP</b>	<b>B</b>	<b>6,000</b>	<b>76.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FIRST NY SEC/CHRIS	041	F	S	20,000	7.30	n/a	16-Nov	1,200.00	6.0
CAXTON PART	040	GE	S	109,728	38.09	n/a	n/a	3,840.50	3.5
<b>SINCLAIR</b>	<b>031</b>	<b>GMME</b>	<b>B</b>	<b>40</b>	<b>1.15</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.	
TRELLUS PARTNERS LP	028	GM	C	115,000	28.23	n/a	8-Nov	5,750.00	5.0
<b>BUCK</b>	<b>015</b>	<b>GPYMD</b>	<b>S</b>	<b>5</b>	<b>12.90</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>GS</b>	<b>S</b>	<b>36,850</b>	<b>227.35</b>	<b>21-Sep</b>	<b>20-Nov</b>	<b>1,474.00</b>	<b>4.0</b>
MERRILL LYNCH STRATEGICI	034	HCN	B	20,000	44.08	n/a	n/a	1,000.00	5.0
CAPITAL GROWTH MGMT.	241	HES	S	3,000	66.92	n/a	n/a	150.00	5.0
<b>BUCK</b>	<b>015</b>	<b>HOLX</b>	<b>S</b>	<b>700</b>	<b>64.99</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROYCE TRADING	216	HZO	B	5,000	14.94	n/a	n/a	250.00	5.0
IRONBOUND CAPITAL	012	IP	B	10,000	33.25	n/a	5-Nov	500.00	5.0
BALYASNY ASSET MGMT	044	IVZ	S	50,000	26.42	21-Nov	26-Nov	2,500.00	5.0
PROSPECTOR PARTNERS LLC	036	IVZ	B	100,000	25.93	21-Nov	26-Nov	4,000.00	4.0
FRONTPOINT	044	JBHT	B	160,000	26.12	n/a	n/a	5,600.00	3.5
WHITE PINE CAPITAL	030	JBX	C	700	30.09	n/a	24-Apr	35.00	5.0
BENCHMARK	028	JCG	B	10,000	39.31	28-Nov	28-Nov	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCG</b>	<b>B</b>	<b>100,000</b>	<b>39.48</b>	<b>28-Nov</b>	<b>28-Nov</b>	<b>4,000.00</b>	<b>4.0</b>
CENTURION PARTNERS	255	JCG	B	20,000	39.00	28-Nov	28-Nov	1,000.00	5.0
KACELA CAPITAL	034	JCP	B	20,000	42.82	15-Nov	16-Nov	800.00	4.0
COUGAR TRADING	044	JNS	B	10,000	31.73	21-Nov	26-Nov	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	JWN	B	40,000	34.44	20-Nov	20-Nov	1,600.00	4.0
COUGAR TRADING	044	JWN	B	10,000	35.11	20-Nov	20-Nov	500.00	5.0
SINCLAIR	031	KEGCV	B	25	1.80	n/a	n/a	0.00	0.0
KERN	050	KEG	S	1,000	13.20	29-Oct	28-Nov	0.00	0.0
COUGAR TRADING	044	KSS	B	5,000	50.89	9-Nov	16-Nov	250.00	5.0
ROYCE TRADING	216	LDL	B	5,000	9.72	n/a	n/a	250.00	5.0
MS PRINCIPAL STRATEGIES	041	MAR	S	50,000	36.30	n/a	n/a	2,500.00	5.0
NATIONAL BK OF CAN	031	MER	SS	20,000	57.67	16-Nov	20-Nov	800.00	4.0
BUCK	015	MER	S	1,000	57.19	16-Nov	20-Nov	0.00	0.0
LEDDY	035	MER	S	400	57.05	16-Nov	20-Nov	0.00	0.0
U.S.TRUST COMPANY	012	MLI	S	49,200	30.11	9-Oct	23-Oct	2,214.01	4.5
AMATURO	018	MPEL	S	2,000	14.34	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	MW	SS	30,000	40.92	n/a	n/a	1,200.00	4.0
LEDDY	035	MZZ	S	800	55.95	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	M	B	30,000	29.80	9-Nov	15-Nov	1,200.00	4.0
THE JAY GOLDMAN	034	M	S	30,000	30.03	9-Nov	15-Nov	1,500.00	5.0
CATAPULT	040	NLY	S	5,000	17.15	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAXTON PART	040	NVDA	B	100,000	33.00	n/a	n/a	3,500.01	3.5
ROYCE TRADING	216	NWY	B	10,000	7.15	n/a	20-Nov	500.00	5.0
RAINIER INV MGMT	035	OMC	B	66,765	48.07	n/a	n/a	3,338.25	5.0
MERRILL ASSET	032	ONB	S	34,900	16.15	n/a	n/a	1,570.50	4.5
AMBER CAPITAL	046	PDE	S	100,000	32.37	n/a	n/a	4,000.00	4.0
<b>XYLEM GLOBAL</b>	<b>091</b>	<b>PKG</b>	<b>S</b>	<b>50,000</b>	<b>27.93</b>	<b>18-Oct</b>	<b>8-Nov</b>	<b>2,500.00</b>	<b>5.0</b>
BELMONT GLOBAL ADV	248	PLCE	B	20,000	26.24	26-Sep	23-Nov	1,000.00	5.0
ROYCE TRADING	216	POL	B	5,000	6.11	n/a	n/a	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PTT</b>	<b>S</b>	<b>10,000</b>	<b>9.91</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>S</b>	<b>10,000</b>	<b>42.10</b>	<b>21-Nov</b>	<b>21-Nov</b>	<b>400.00</b>	<b>4.0</b>
STRONG/MARK GRONET	030	PWAV	B	150,000	4.22	n/a	n/a	4,500.00	3.0
BELMONT GLOBAL ADV	248	PWRD	B	20,000	24.23	n/a	n/a	1,000.00	5.0
CAXTON PART	040	QCOM	B	100,000	41.47	n/a	n/a	3,500.01	3.5
ROYCE TRADING	216	RAS	B	10,000	7.99	n/a	n/a	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>S</b>	<b>10,000</b>	<b>67.95</b>	<b>8-Nov</b>	<b>8-Nov</b>	<b>400.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KACELA CAPITAL	034	RTH	B	12,000	96.05	n/a	n/a	480.00	4.0
WELLS/STRONG LEDDY	035	RUS	S	6,300	16.63	n/a	n/a	252.00	4.0
ROYCE TRADING	216	SAH	B	5,000	23.54	n/a	31-Oct	250.00	5.0
<b>MAGUIRE</b>	<b>090</b>	<b>SKF</b>	<b>B</b>	<b>6,000</b>	<b>97.93</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BARR</b>	<b>096</b>	<b>SKF</b>	<b>B</b>	<b>300</b>	<b>98.44</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>SKS</b>	<b>B</b>	<b>200,000</b>	<b>19.51</b>	<b>n/a</b>	<b>n/a</b>	<b>8,000.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKX</b>	<b>S</b>	<b>30,000</b>	<b>22.49</b>	<b>n/a</b>	<b>13-Mar</b>	<b>1,200.00</b>	<b>4.0</b>
<b>MKT MAKER</b>	<b>099</b>	<b>SMBLW</b>	<b>B</b>	<b>2,500</b>	<b>6.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>MKT MAKER</b>	<b>099</b>	<b>SMBLW</b>	<b>S</b>	<b>2,500</b>	<b>6.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
KACELA CAPITAL	034	SMH	B	65,000	32.81	n/a	n/a	2,600.00	4.0
ROYCE TRADING	216	SPA	S	5,000	5.15	n/a	n/a	250.00	5.0
BLACKSTONE KAILIX ASS.	048	TGT	SS	500,000	58.96	n/a	27-Jul	25,000.00	5.0
<b>ZOLIDIS</b>	<b>011</b>	<b>TIF</b>	<b>S</b>	<b>300</b>	<b>50.27</b>	<b>18-Oct</b>	<b>27-Nov</b>	<b>0.00</b>	<b>0.0</b>
ROYCE TRADING	216	TKLC	B	5,000	12.01	n/a	22-Mar	250.00	5.0
MERRILL LYNCH STRATEGICI	034	TOT	B	10,000	80.26	n/a	n/a	600.00	6.0
ROYCE TRADING	216	TRN	B	23,000	25.97	n/a	n/a	1,150.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FIRST NY SEC/CHRIS	041	VC	B	20,000	4.10	n/a	19-Nov	1,200.00	6.0
ROYCE TRADING	216	VOL	B	5,000	12.70	n/a	n/a	250.00	5.0
HARVEST MGMT	039	WMT	B	100,000	46.56	20-Nov	20-Nov	5,000.00	5.0
BEAR STEARNS ASSET MGMT.	033	WSM	B	80,000	28.14	n/a	n/a	3,200.00	4.0
S.A.C. CAPITAL MGMT.	044	WY	B	50,000	72.04	1-Nov	1-Nov	2,500.00	5.0
PILOT ROCK	028	XLNX	B	250,000	22.26	n/a	n/a	10,000.00	4.0
WHITE PINE CAPITAL	030	XLY	C	3,800	34.09	n/a	n/a	190.00	5.0
<b>ZOLIDIS</b>	<b>011</b>	<b>ZUMZ</b>	<b>S</b>	<b>500</b>	<b>28.84</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>TOTAL (Trade Date):</b>								<b>209,972.73</b>	



### Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	11/27	NEWLAND CAPITAL MGT (NEWL-GS)	067		S	10,000	34.35	n/a	n/a	400.00	4.0
AO,CXL	11/27	NEWLAND CAPITAL MGT (NEWL-GS)	067	ASD	S	10,000	34.35	31-Oct	31-Oct	500.00	5.0
AO,CRT	11/27	STRAUSS ASSET MGMT (STRAJEFUSE)	040	BLOG	B	7,500	24.24	n/a	n/a	375.00	5.0
AO,CXL	11/27	STRAUSS ASSET MGMT (STRAMS)	040	BLOG	B	7,500	24.24	n/a	n/a	375.00	5.0
AO,CRT	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	S	500	48.37	n/a	23-Oct	0.00	0.0
CRT	11/28	MKT MAKER (MKT MAKER)	099	CENT	B	100	5.00	n/a	28-Nov	0.00	0.0
AO,CXL	11/21	ROCKEFELLER & CO. (ROCKRFSNOM)	045	CMCSA	B	49,630	19.25	26-Oct	19-Nov	1985.20	4.0
AO,CRT	11/21	ROCKEFELLER & CO. (ROCKRFSNOM)	045	CMCSA	B	580	19.25	26-Oct	19-Nov	23.20	4.0
AO,CXL	11/21	ROCKEFELLER & CO. (ROCKRCOBLO)	045	CMCSA	B	580	19.25	26-Oct	19-Nov	23.20	4.0
AO,CRT	11/21	ROCKEFELLER & CO. (ROCKRCOBLO)	045	CMCSA	B	49,630	19.25	26-Oct	19-Nov	1985.20	4.0
CRT	11/28	CAPITAL GROWTH MGMT. (CAPG4810)	241	FCL	B	325,000	44.93	n/a	n/a	16250.00	5.0
AO,	11/27	TOCQUEVILLE ASSET MGMT (TOCQB26049)	048	GLT	B	100	14.36	n/a	n/a	6.00	6.0
AO,	11/27	TOCQUEVILLE ASSET MGMT (TOCQM04877)	048	GLT	B	600	14.36	n/a	n/a	36.00	6.0
AO,	11/27	TOCQUEVILLE ASSET MGMT (TOCQSCHWAS)	048	GLT	B	7,000	14.36	n/a	n/a	420.00	6.0
AO,	11/27	TOCQUEVILLE ASSET MGMT (TOCQB36015)	048	GLT	B	100	14.36	n/a	n/a	6.00	6.0
AO,	11/27	TOCQUEVILLE ASSET MGMT (TOCQS11596)	048	GLT	B	700	14.36	n/a	n/a	42.00	6.0
AO,	11/27	TOCQUEVILLE ASSET MGMT (TOCQA54130)	048	GLT	B	100	14.36	n/a	n/a	6.00	6.0
AO,	11/27	TOCQUEVILLE ASSET MGMT (TOCQS11896)	048	GLT	B	200	14.36	n/a	n/a	12.00	6.0
AO,	11/27	TOCQUEVILLE ASSET MGMT (TOCQB83014)	048	GLT	B	100	14.36	n/a	n/a	6.00	6.0
AO,	11/27	TOCQUEVILLE ASSET MGMT (TOCQS11989)	048	GLT	B	100	14.36	n/a	n/a	6.00	6.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/27	TOCQUEVILLE ASSET MGMT (TOCQA55511)	048	GLT	B	100	14.36	n/a	n/a	6.00 6.0
AO,	11/27	TOCQUEVILLE ASSET MGMT (TOCQS22339)	048	GLT	B	600	14.36	n/a	n/a	36.00 6.0
AO,	11/27	TOCQUEVILLE ASSET MGMT (TOCQS22342)	048	GLT	B	1,700	14.36	n/a	n/a	102.00 6.0
AO,	11/27	TOCQUEVILLE ASSET MGMT (TOCQS26079)	048	GLT	B	22,700	14.36	n/a	n/a	1362.00 6.0
AO,	11/27	TOCQUEVILLE ASSET MGMT (TOCQS80044)	048	GLT	B	200	14.36	n/a	n/a	12.00 6.0
AO,	11/27	TOCQUEVILLE ASSET MGMT (TOCQB83273)	048	GLT	B	100	14.36	n/a	n/a	6.00 6.0
AO,	11/27	TOCQUEVILLE ASSET MGMT (TOCQB83271)	048	GLT	B	100	14.36	n/a	n/a	6.00 6.0
AO,	11/27	TOCQUEVILLE ASSET MGMT (TOCQB83101)	048	GLT	B	100	14.36	n/a	n/a	6.00 6.0
AO,	11/27	TOCQUEVILLE ASSET MGMT (TOCQB26539)	048	GLT	B	100	14.36	n/a	n/a	6.00 6.0
AO,	11/27	TOCQUEVILLE ASSET MGMT (TOCQB26533)	048	GLT	B	100	14.36	n/a	n/a	6.00 6.0
AO,	11/27	TOCQUEVILLE ASSET MGMT (TOCQB70596)	048	GLT	B	100	14.36	n/a	n/a	6.00 6.0
AO,	11/27	TOCQUEVILLE ASSET MGMT (TOCQB68196)	048	GLT	B	100	14.36	n/a	n/a	6.00 6.0
AO,	11/27	TOCQUEVILLE ASSET MGMT (TOCQB28307)	048	GLT	B	100	14.36	n/a	n/a	6.00 6.0
AO,	11/27	TOCQUEVILLE ASSET MGMT (TOCQB28092)	048	GLT	B	100	14.36	n/a	n/a	6.00 6.0
AO,	11/27	TOCQUEVILLE ASSET MGMT (TOCQB26276)	048	GLT	B	100	14.36	n/a	n/a	6.00 6.0
AO,	11/27	TOCQUEVILLE ASSET MGMT (TOCQB26692)	048	GLT	B	200	14.36	n/a	n/a	12.00 6.0
AO,	11/27	TOCQUEVILLE ASSET MGMT (TOCQB26544)	048	GLT	B	100	14.36	n/a	n/a	6.00 6.0
AO,	11/27	TOCQUEVILLE ASSET MGMT (TOCQB26067)	048	GLT	B	100	14.36	n/a	n/a	6.00 6.0
AO,	11/27	TOCQUEVILLE ASSET MGMT (TOCQB68282)	048	GLT	B	100	14.36	n/a	n/a	6.00 6.0
AO,	11/27	TOCQUEVILLE ASSET MGMT (TOCQB26057)	048	GLT	B	100	14.36	n/a	n/a	6.00 6.0
AO,	11/27	TOCQUEVILLE ASSET MGMT (TOCQB36135)	048	GLT	B	200	14.36	n/a	n/a	12.00 6.0
AO,	11/27	TOCQUEVILLE ASSET MGMT (TOCQB26672)	048	GLT	B	200	14.36	n/a	n/a	12.00 6.0
AO,	11/27	TOCQUEVILLE ASSET MGMT (TOCQB34090)	048	GLT	B	100	14.36	n/a	n/a	6.00 6.0
AO,	11/27	TOCQUEVILLE ASSET MGMT (TOCQB23460)	048	GLT	B	100	14.36	n/a	n/a	6.00 6.0
AO,	11/27	TOCQUEVILLE ASSET MGMT (TOCQB34059)	048	GLT	B	100	14.36	n/a	n/a	6.00 6.0
AO,	11/27	TOCQUEVILLE ASSET MGMT (TOCQ36113)	048	GLT	B	100	14.36	n/a	n/a	6.00 6.0
AO,	11/27	TOCQUEVILLE ASSET MGMT (TOCQB95001)	048	GLT	B	100	14.36	n/a	n/a	6.00 6.0
AO,	11/27	TOCQUEVILLE ASSET MGMT (TOCQB36148)	048	GLT	B	100	14.36	n/a	n/a	6.00 6.0
AO,	11/27	TOCQUEVILLE ASSET MGMT (TOCQB95001)	048	GLT	B	100	14.36	n/a	n/a	6.00 6.0
AO,	11/27	TOCQUEVILLE ASSET MGMT (TOCQB86256)	048	GLT	B	100	14.36	n/a	n/a	6.00 6.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	11/27	TOCQUEVILLE ASSET MGMT (TOCQCALLAN)	048	GLT	B	1,400	14.36	n/a	n/a	84.00	6.0
AO,CRT	11/15	AMATURO (AMATURO)	018	GMO	B	2,500	8.60	n/a	n/a	0.00	0.0
AO,CXL	11/15	AMATURO (AMATURO)	018	GMO	B	2,500	8.60	n/a	n/a	0.00	0.0
AO,CRT	11/20	AMATURO (AMATURO)	018	GMO	S	2,500	9.70	n/a	n/a	0.00	0.0
AO,CXL	11/20	AMATURO (AMATURO)	018	GMO	S	2,500	9.70	n/a	n/a	0.00	0.0
AO,CRT	11/26	PILOT ADV (PILOPARADI)	038	M	S	16,000	29.50	9-Nov	15-Nov	640.00	4.0
AO,	11/26	PILOT ADV (PILOBSOMNI)	038	M	S	9,000	29.50	9-Nov	15-Nov	360.00	4.0
AO,CXL	11/26	PILOT ADV (PILOPARADI)	038	M	S	25,000	29.50	9-Nov	15-Nov	1000.00	4.0
AO,CXL	11/27	XYLEM GLOBAL (XYLMM S PB)	091	USG	B	10,000	35.99	24-Oct	24-Oct	500.00	5.0
AO,	11/27	XYLEM GLOBAL (XYLMM S PB)	091	USG	B	10,000	35.92	24-Oct	24-Oct	500.00	5.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>18,460.00</b>
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TOTAL (Trade Date) :	209,972.73
TOTAL (AO, CXL, CRT) :	18,460.00

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<b>TOTAL (RUN DATE) / NFS :</b>	<b>228,432.73</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