



Daily Compliance Activity Report

Trade Date: 01/04/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		AAPL	S	10,000	191.17	n/a	n/a	non-brg	4.0
CAXTON PART	040	AAPL	S	32,326	182.60	n/a	n/a	1,131.42	3.5
⚡ Michael Marrano		AAPL	B	100	191.52	n/a	n/a	0.00	0.0
CRAGO	000	AAPL	B	25	183.69	n/a	n/a	0.00	0.0
J COHEN	N27	AAPL	B	10	183.07	n/a	n/a	0.00	0.0
NICHOLAS ADVISORS	034	AB	S	4,000	74.67	21-Nov	4-Jan	200.00	5.0
GALLEON MGMT LP	033	ADM	C	10,000	46.11	2-Jan	2-Jan	500.00	5.0
⚡ BUCK CAPITAL MGMT		AEO	S	20,000	18.71	9-Nov	7-Dec	non-brg	4.0
WEISS PECK	040	AEO	B	15,400	18.64	9-Nov	7-Dec	770.00	5.0
MS PRINCIPAL STRATEGIES	041	AF	B	21,824	22.13	n/a	n/a	1,091.20	5.0
BARR	096	ALSC	S	5,000	1.52	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		AMT	S	40,000	39.57	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	ANF	S	45,000	74.92	2-Oct	7-Dec	1,800.00	4.0
COUGAR TRADING	044	ANF	SS	5,000	75.45	2-Oct	7-Dec	250.00	5.0
MISSOURI VALLEY PART	046	ANF	S	18,640	74.15	2-Oct	7-Dec	932.00	5.0
CAMBIAR CAP	046	ANN	B	31,540	23.13	6-Aug	7-Dec	1,261.60	4.0
⚡ BUCK CAPITAL MGMT		AN	SS	50,000	14.24	n/a	25-Oct	non-brg	4.0
⚡ BUCK CAPITAL MGMT		APP	S	10,000	13.10	n/a	n/a	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⌘ BUCK CAPITAL MGMT		APP	S	5,000	13.01	n/a	n/a	non-brg	2.0
KERN	050	APP	S	1,000	13.43	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		ARO	S	30,000	25.69	29-Nov	7-Dec	non-brg	4.0
JP MORGAN VENTURES	046	ARO	B	15,000	26.21	29-Nov	7-Dec	750.00	5.0
KERN	050	AXE	S	200	58.63	9-Oct	28-Nov	0.00	0.0
NICHOLAS ADVISORS	034	AXP	S	6,100	49.21	n/a	n/a	305.00	5.0
⌘ BUCK CAPITAL MGMT		BONT	S	100,000	6.90	4-Jan	4-Jan	non-brg	2.5
MKT MAKER	099	BONT	S	600	6.85	4-Jan	4-Jan	0.00	0.0
KAICHER	064	BQI	S	3,000	4.21	n/a	n/a	0.00	0.0
NATIONAL BK OF CAN	031	BSC	S	10,000	78.62	21-Dec	21-Dec	400.00	4.0
WHEELER	008	BTN	S	11,500	5.86	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	BWA	B	2,000	43.66	16-Nov	16-Nov	100.00	5.0
HIGHBRIDGE/MS OLDS	041	BXP	S	5,400	87.72	n/a	n/a	216.00	4.0
TRUSTCO/SUNTRUST	040	CBK	B	24,752	10.55	n/a	28-Dec	742.56	3.0
⌘ BUCK CAPITAL MGMT		CCI	S	40,000	38.64	n/a	n/a	non-brg	4.0
CUMBERLAND	038	CCL	SS	100,000	42.09	n/a	26-Jan	4,000.00	4.0
ZOLIDIS	011	CHS	C	2,000	8.06	5-Dec	7-Dec	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MKT MAKER	099	CMCSA	B	100	17.00	26-Oct	4-Jan	0.00	0.0
ZOLIDIS	011	CMG	S	100	136.68	n/a	24-Apr	0.00	0.0
CROWLEY	061	CMU	B	2,000	4.97	n/a	n/a	0.00	0.0
CHARTER OAK	033	CNQ	SS	25,000	74.45	n/a	n/a	1,250.00	5.0
THIRD COAST CAPITAL	035	COH	S	14,000	28.47	24-Oct	24-Oct	700.00	5.0
B BUCK CAPITAL MGMT		CPNLQ	SS	10,000	0.35	n/a	29-Jun	non-brg	1.0
THIRD COAST CAPITAL	035	CROX	S	17,500	35.84	n/a	n/a	875.00	5.0
ZOLIDIS	011	CROX	C	250	32.93	n/a	n/a	0.00	0.0
STRATTON	N21	CSCO	B	100	26.25	n/a	22-Mar	0.00	0.0
B BUCK CAPITAL MGMT		CTRN	S	20,000	13.82	n/a	n/a	non-brg	4.0
CROWLEY	061	CXE	B	2,000	5.50	n/a	n/a	0.00	0.0
NICHOLAS ADVISORS	034	C	S	7,000	28.07	5-Nov	19-Dec	350.00	5.0
DC CAPITAL	044	DBRN	B	60,000	10.80	n/a	n/a	2,400.00	4.0
MKT MAKER	099	DBRN	S	294	10.80	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		DHI	S	20,000	11.26	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DIA	C	42,000	129.06	n/a	n/a	non-brg	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MCCARTAN	028	DKS	SS	200	27.66	n/a	27-Nov	0.00	0.0
Õ Ted Wheeler		DURA	B	500	9.58	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	EL	SS	90,000	42.27	4-Jan	4-Jan	3,600.00	4.0
ß BUCK CAPITAL MGMT		EL	SS	40,000	41.78	4-Jan	4-Jan	non-brg	1.0
CATAPULT	040	EL	SS	9,400	42.84	4-Jan	4-Jan	376.00	4.0
FIRST NY SEC/CHRIS	041	EL	SS	10,000	42.01	4-Jan	4-Jan	600.00	6.0
WAGONHOUND	048	EL	SS	18,440	41.79	4-Jan	4-Jan	737.60	4.0
MCCARTAN	028	EL	SS	100	43.24	4-Jan	4-Jan	0.00	0.0
CATAPULT	040	EV	SS	10,000	42.63	20-Nov	4-Jan	500.00	5.0
MKT MAKER	099	FINL	B	100	2.00	n/a	4-Jan	0.00	0.0
GRUSS CAPITAL	045	FOR	B	5,000	21.48	n/a	n/a	200.00	4.0
IRONBOUND CAPITAL	012	FOR	B	50,000	21.99	n/a	n/a	2,000.00	4.0
MAGUIRE	039	FXP	B	100	83.14	n/a	n/a	0.00	0.0
PHILADELPHIA FINANCIAL	033	GBL	SS	12,322	70.58	n/a	4-Jan	616.10	5.0
GASNER	025	GDX	B	100	49.62	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GES	B	20,000	34.91	n/a	n/a	800.00	4.0
WEINTRAUB	024	GFG	B	200	14.49	n/a	n/a	0.00	0.0
STRATTON	N21	GF	B	99	16.67	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	GIL	S	30,000	39.90	5-Nov	11-Dec	1,200.00	4.0
LUCHANSEY	036	GIL	S	200	40.05	5-Nov	11-Dec	0.00	0.0
PAKLER	N22	GMME	S	13	1.85	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GM	SS	30,000	23.42	3-Jan	4-Jan	1,200.00	4.0
BARR	096	GM	SS	1,400	23.62	3-Jan	4-Jan	0.00	0.0
KERN	050	GOOG	B	20	661.70	n/a	n/a	0.00	0.0
COUGAR TRADING	044	GPS	S	15,000	19.82	n/a	7-Dec	750.00	5.0
BUCK	015	GPYSS	B	5	19.90	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		GR	SS	40,000	68.61	25-Oct	25-Oct	non-brg	4.0
NATIONAL BK OF CAN	031	GS	B	5,000	200.07	21-Sep	19-Dec	200.00	4.0
NICHOLAS ADVISORS	034	GS	S	1,000	201.25	21-Sep	19-Dec	50.00	5.0
ß BUCK CAPITAL MGMT		GWW	SS	40,000	82.79	15-Nov	12-Dec	non-brg	4.0
CATAPULT	040	GYMB	SS	600	27.98	10-Aug	7-Dec	24.00	4.0
COLUMBIA PARTNERS	028	HIG	S	13,143	83.04	n/a	n/a	525.72	4.0
ß BUCK CAPITAL MGMT		HON	SS	50,000	58.35	9-Oct	19-Oct	non-brg	4.0
MKT MAKER	099	HOTT	B	100	4.50	n/a	7-Dec	0.00	0.0
GEORGE WEISS	034	HPOL	B	43,000	3.99	n/a	n/a	1,290.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MAGUIRE	039	ILA	B	1,500	3.69	n/a	n/a	0.00	0.0
CROWLEY	061	ILA	B	6,000	3.69	n/a	n/a	0.00	0.0
NOLAN	067	ILA	B	225	3.67	n/a	n/a	0.00	0.0
NICHOLAS ADVISORS	034	INTC	S	49,000	22.99	n/a	n/a	2,450.00	5.0
GALLEON MGMT LP	033	IWM	C	10,000	72.14	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	JAH	B	10,000	21.73	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	JCG	S	20,000	42.99	28-Nov	30-Nov	800.00	4.0
COUGAR TRADING	044	JCG	B	5,000	42.00	28-Nov	30-Nov	250.00	5.0
COUGAR TRADING	044	JCG	SS	5,000	42.70	28-Nov	30-Nov	250.00	5.0
WHEELER	008	JNJGN	S	30	1.75	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	JNY	S	20,000	15.21	n/a	1-Nov	800.00	4.0
B BUCK CAPITAL MGMT		JNY	S	109,400	14.41	n/a	1-Nov	non-brg	4.0
NICHOLAS ADVISORS	034	JPM	S	7,300	40.96	19-Oct	13-Dec	365.00	5.0
CLOVIS CAPITAL	012	JWN	SS	75,000	31.66	20-Nov	7-Dec	3,750.00	5.0
HARVEST MGMT	039	JWN	SS	50,000	32.04	20-Nov	7-Dec	2,500.00	5.0
LUCHANSKY	036	KMB	S	100	68.92	n/a	n/a	0.00	0.0
MS PRINCIPAL STRATEGIES	041	KND	B	14,047	23.39	n/a	n/a	702.35	5.0
BUCK CAPITAL MGMT	001	KSS	SS	100,000	41.06	4-Jan	4-Jan	4,000.00	4.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß	BUCK CAPITAL MGMT		KSS	S	90,700	41.11	4-Jan	4-Jan	non-brg	4.0
	COUGAR TRADING	044	KSS	B	5,000	41.14	4-Jan	4-Jan	250.00	5.0
	COUGAR TRADING	044	KSS	SS	10,000	40.62	4-Jan	4-Jan	500.00	5.0
	LEVIN CAPITAL STRATEGIES	012	KSS	C	10,000	40.94	4-Jan	4-Jan	400.00	4.0
	LEVIN CAPITAL STRATEGIES	012	KSS	SS	10,000	41.66	4-Jan	4-Jan	400.00	4.0
	SIGMA CAPITAL ASSOCIATES	237	KSS	SS	50,000	41.14	4-Jan	4-Jan	2,500.00	5.0
	BUCK CAPITAL MGMT	001	KWD	S	70,000	17.77	n/a	n/a	2,800.00	4.0
ß	BUCK CAPITAL MGMT		LAMR	S	10,000	46.24	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		LBTYA	S	20,000	37.95	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		LBTYK	S	20,000	35.48	n/a	n/a	non-brg	4.0
	LEHMAN PROPRIETARY TRAD	041	LEN	SS	200,000	15.86	n/a	n/a	8,000.00	4.0
	SINCLAIR	031	LES DM	B	15	3.20	n/a	n/a	0.00	0.0
	SIGMA CAPITAL ASSOCIATES	237	LTD	B	10,000	16.46	n/a	7-Dec	500.00	5.0
	VISIUM/BALY HOWARD	038	LTD	B	25,000	16.52	n/a	7-Dec	1,250.00	5.0
	FIRST NEW YORK LEDDY	035	LVL T	B	25,000	2.99	24-Oct	4-Jan	1,500.00	6.0
	BARR	096	MCO	SS	1,400	33.05	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		MDC	S	30,000	33.36	n/a	n/a	non-brg	4.0
	CROWLEY	061	MFM	S	671	7.05	n/a	n/a	0.00	0.0
Õ	Doug Rogers		MIR	S	31	9.58	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		MLHR	SS	20,404	30.13	n/a	n/a	non-brg	4.0
PRINCIPLE CAPITAL	040	MLHR	SS	100,000	30.30	n/a	n/a	3,000.00	3.0
ß BUCK CAPITAL MGMT		MPWR	SS	10,000	20.08	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		MRU+NV	B	620	2.39	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		MSMSBMV2	SS	207,965	91.76	n/a	n/a	non-brg	9.2
BRANDWINE	028	M	B	67,000	22.29	4-Jan	4-Jan	3,015.00	4.5
BUCK CAPITAL MGMT	001	M	B	10,000	22.41	4-Jan	4-Jan	400.00	4.0
THE JAY GOLDMAN	034	M	B	30,000	22.03	4-Jan	4-Jan	1,200.00	4.0
WEISS PECK	040	M	B	46,900	22.07	4-Jan	4-Jan	2,345.00	5.0
NICHOLAS ADVISORS	034	NDAQ	S	4,500	45.20	n/a	n/a	225.00	5.0
CATAPULT	040	NTRS	SS	20,000	73.56	n/a	13-Dec	1,000.00	5.0
BUCK CAPITAL MGMT	001	OXM	SS	10,000	22.53	n/a	n/a	400.00	4.0
ß BUCK CAPITAL MGMT		PERY	B	10,000	12.94	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		PETM	SS	50,000	22.04	n/a	n/a	non-brg	4.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	15,000	27.09	18-Oct	8-Nov	750.00	5.0
GEORGE WEISS	034	PKG	SS	3,500	27.11	18-Oct	8-Nov	140.00	4.0
ß BUCK CAPITAL MGMT		PLCE	S	174,450	23.24	3-Dec	7-Dec	non-brg	1.0
ß BUCK CAPITAL MGMT		PLCE	S	5,000	23.75	3-Dec	7-Dec	non-brg	4.0

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MKT MAKER	099	PLCE	B	2,200	23.44	3-Dec	7-Dec	0.00	0.0
MKT MAKER	099	PLCE	S	2,200	23.50	3-Dec	7-Dec	0.00	0.0
PROSPECTOR PARTNERS LLC	036	PPS	B	10,000	31.99	n/a	n/a	400.00	4.0
VISIUM/BALY HOWARD	038	PSUN	B	20,000	12.30	n/a	7-Dec	1,000.00	5.0
KORMAN	003	QIABW	S	100	1.65	n/a	n/a	0.00	0.0
WHEELER	008	RAE	S	15,000	2.67	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		RIG	SS	20,000	143.05	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	RL	S	15,000	58.17	8-Nov	8-Nov	600.00	4.0
PRINCIPLE CAPITAL	040	RL	SS	70,000	56.80	8-Nov	8-Nov	2,800.00	4.0
MAGUIRE	039	RRI	S	200	25.13	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		RTH	C	40,400	88.52	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		RTH	SS	100,000	88.00	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		RTH	SS	20,000	88.20	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		RYL	S	12,000	22.89	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SBAC	S	30,000	31.90	n/a	n/a	non-brg	4.0
PRIME LOGIC ADV	039	SCHS	B	15,000	32.89	n/a	n/a	750.00	5.0
ß BUCK CAPITAL MGMT		SDS	B	188,700	56.49	n/a	n/a	non-brg	1.0
ZOLIDIS	011	SDS	B	1,000	56.52	n/a	n/a	0.00	0.0

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ZOLIDIS	011	SDS	S	1,200	57.78	n/a	n/a	0.00	0.0
STRAUSS ASSET MGMT	040	SONO	B	10,000	33.69	n/a	n/a	500.00	5.0
GALLEON MGMT LP	033	SPY	C	5,000	141.16	n/a	n/a	250.00	5.0
GEORGE WEISS	034	SSCC	SS	9,300	10.17	n/a	26-Oct	279.00	3.0
NICHOLAS ADVISORS	034	STX	S	46,100	23.54	n/a	n/a	2,305.00	5.0
LATEFF MGMT	040	TEVA	S	7,500	48.31	3-Jan	3-Jan	900.00	12.0
CSFB GLOBAL PROPRIETARY	041	TIN	B	30,000	19.59	11-Dec	11-Dec	1,500.00	5.0
GEORGE WEISS	034	TIN	B	10,000	19.07	11-Dec	11-Dec	400.00	4.0
XYLEM GLOBAL	091	TIN	B	50,000	18.85	11-Dec	11-Dec	2,500.00	5.0
BUCK CAPITAL MGMT	001	TJX	S	40,000	27.29	21-Sep	4-Jan	1,600.00	4.0
B BUCK CAPITAL MGMT		TJX	S	30,000	27.39	21-Sep	4-Jan	non-brg	4.0
WAGONHOUND	048	TJX	B	7,500	27.31	21-Sep	4-Jan	300.00	4.0
HIGHBRIDGE/MS OLDS	041	TLM	B	25,000	19.21	n/a	n/a	1,000.00	4.0
B BUCK CAPITAL MGMT		TOL	S	12,000	17.50	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		TRLG	S	30,000	18.13	n/a	n/a	non-brg	4.0
CAMBIAR CAP	046	TWB	B	28,405	25.52	19-Nov	19-Nov	1,136.20	4.0
LUCHANSKY	036	TWTC	S	300	19.29	9-Nov	4-Jan	0.00	0.0
BUCK CAPITAL MGMT	001	UA	S	10,000	41.74	n/a	n/a	400.00	4.0

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CSFB GLOBAL PROPRIETARY	041	UFS	B	98,000	7.52	n/a	n/a	4,900.00	5.0
B BUCK CAPITAL MGMT		URBN	S	200,000	26.88	3-Jan	3-Jan	non-brg	4.0
THIRD COAST CAPITAL	035	URBN	S	15,000	26.99	3-Jan	3-Jan	750.00	5.0
WAGONHOUND	048	URBN	B	7,500	26.68	3-Jan	3-Jan	300.00	4.0
SINCLAIR	031	VCFA	B	165	0.40	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		VCGH	S	20,000	12.01	n/a	n/a	non-brg	2.5
MORTAR ROCK	033	VC	B	20,000	3.69	n/a	13-Dec	600.00	3.0
SINCUTMA	031	VC	B	500	3.65	n/a	13-Dec	0.00	0.0
BUCK CAPITAL MGMT	001	VFC	B	10,000	64.23	n/a	n/a	400.00	4.0
NICHOLAS ADVISORS	034	VMC	S	5,000	71.98	n/a	n/a	250.00	5.0
MENCKE	055	VM	B	20	8.92	n/a	n/a	0.00	0.0
WHEELER	008	VNLAE	S	100	2.45	n/a	n/a	0.00	0.0
HOLLIS CAPITAL	033	VPRT	B	5,000	38.28	n/a	n/a	250.00	5.0
FARALLON CAP MGMT	040	WB	B	137,500	35.69	n/a	n/a	5,500.00	4.0
B BUCK CAPITAL MGMT		WFMI	SS	10,000	38.20	n/a	n/a	non-brg	4.0
BALYASNY ASSET MGMT	044	WL	SS	20,000	32.18	n/a	n/a	1,000.00	5.0
B BUCK CAPITAL MGMT		WRNC	B	25,000	29.55	6-Nov	12-Nov	non-brg	4.0

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BUCK CAPITAL MGMT	001	WSM	SS	50,000	23.09	n/a	n/a	2,000.00	4.0
⌘ BUCK CAPITAL MGMT		WSO	SS	30,000	34.11	n/a	n/a	non-brg	4.0
XYLEM GLOBAL	091	WY	S	20,000	69.50	1-Nov	1-Nov	1,000.00	5.0
⌘ BUCK CAPITAL MGMT		XLF	C	82,900	27.65	n/a	n/a	non-brg	2.0
RHO CAPITAL MGMT	041	XSI	S	37,200	2.70	n/a	n/a	1,302.00	3.5
KAICHER	064	ZHNE	S	5,000	1.16	n/a	n/a	0.00	0.0
CATAPULT	040	ZLC	SS	20,000	13.93	n/a	n/a	800.00	4.0
PRIME CAPITAL	048	ZQK	B	28,700	7.51	n/a	18-Dec	1,148.00	4.0
⌘ BUCK CAPITAL MGMT		ZUMZ	S	50,000	17.28	n/a	n/a	non-brg	4.0
TOTAL (Trade Date) :								120,856.75	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/03	TRELLUS PARTNERS LP	028	ARTC	SS	200	51.85	n/a	n/a	10.00 5.0
AO,CRT	01/03	MKT MAKER	034	HPOL	B	16	4.00	n/a	n/a	0.00 0.0
AO,CXL	01/03	MKT MAKER	099	HPOL	B	16	4.00	n/a	n/a	0.00 0.0
AO,CRT	01/03	GEORGE WEISS	034	HPOL	B	7,000	4.00	n/a	n/a	210.00 3.0
AO,CRT	12/31	PROSPECTOR PARTNERS LLC	036	LM	B	6,400	73.37	17-Dec	4-Jan	320.00 5.0
AO,CXL	12/31	PROSPECTOR PARTNERS LLC	036	LM	B	6,400	73.37	17-Dec	4-Jan	320.00 5.0
AO,	01/03	HOLLIS CAPITAL	033	RIO	B	4,900	33.32	n/a	n/a	245.00 5.0
TOTAL (AO, CXL, CRT) :										465.00

TOTAL (Trade Date):	120,856.75
TOTAL (AO, CXL, CRT):	465.00

TOTAL (RUN DATE) / NFS:	121,321.75
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MRI Securities with Trade Activity on 4-Jan.
BONT, EL, KSS, M

MRI Securities without Trade Activity on 4-Jan.
ECL, JCP, SSI, UPL

BRG comm. as a % of BCM Total Comm. paid.

T-Date = 22%

YTD = 22%

Legend:

Õ: Employee Trades in Outside Accounts

ß: Non-BRG BCM Trades

[i]: Initiation of Coverage

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