



Daily Compliance Activity Report

Trade Date: 10/23/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	AAP	SS	30,000	37.20	n/a	n/a	1,200.00	4.0
JP MORGAN VENTURES	046	AEO	S	30,000	19.26	n/a	9-Oct	1,500.00	5.0
TRAFELET & COMP.	028	AN	B	125,000	20.68	n/a	19-Oct	5,000.00	4.0
COOPER CREEK PART	028	AXL	B	25,000	6.81	n/a	19-Oct	1,000.00	4.0
L.R.BURTSCHY & CO	045	AXL	B	50,000	7.08	n/a	19-Oct	3,000.00	6.0
KLEINHEINZ CAP PART	031	BAC	S	150,000	16.22	n/a	19-Oct	7,500.00	5.0
TROUBH PART	067	BK	SS	25,000	29.70	n/a	21-Oct	1,250.00	5.0
BRIGADE CAPITAL MGMT	029	BONT	B	25,000	8.69	n/a	n/a	750.00	3.0
CUMBERLAND	038	BRCD	S	50,000	8.93	n/a	n/a	2,000.00	4.0
KENNEDY CAPITAL	046	CBK	B	93,050	6.54	n/a	n/a	2,791.50	3.0
PIONEER MICHAEL NOLAN	067	CBST	B	60,000	17.82	n/a	n/a	1,800.00	3.0
CARDINAL CAPITAL	044	CHKP	S	31,500	31.94	n/a	n/a	1,575.00	5.0
SAXON WOODS ADVISORS	038	CL	S	214,800	77.95	n/a	14-Oct	8,592.00	4.0
GRUBER MACBAINE	033	COLM	S	5,000	45.11	n/a	n/a	200.00	4.0
EPOCH INV MGMT	030	COMS	B	21,650	5.75	n/a	n/a	649.50	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PROSPECTOR PARTNERS LLC	036	CPB	B	10,000	32.07	n/a	n/a	400.00	4.0
AVESTA CAP	229	CVS	B	100,000	37.30	n/a	n/a	4,000.00	4.0
PATTEN & PATTEN	067	DBC	B	1,400	24.95	n/a	n/a	70.00	5.0
EPOCH INV MGMT	030	DHR	B	1,800	70.41	n/a	n/a	54.00	3.0
EPOCH INV MGMT	030	DPS	S	48,500	27.48	n/a	n/a	1,455.00	3.0
SIGMA CAPITAL ASSOCIATES	041	DPZ	SS	25,000	7.99	n/a	n/a	1,000.00	4.0
ROTHSCHILD ASSET	040	DST	S	4,010	43.77	n/a	n/a	180.45	4.5
EPOCH INV MGMT	030	DVA	B	4,350	54.52	n/a	n/a	130.50	3.0
FIRST NEW YORK LEDDY	035	ETFC	B	10,000	1.66	n/a	n/a	600.00	6.0
STADIA CAPITAL	035	EWZ	B	24,500	75.45	n/a	n/a	980.00	4.0
BMO NESBITT BURNS	041	FOR	B	10,000	17.27	n/a	12-Oct	500.00	5.0
AVESTA CAP	229	F	B	100,000	7.62	n/a	19-Oct	4,000.00	4.0
OZ MGMT	040	F	B	200,000	7.70	n/a	19-Oct	6,000.00	3.0
ROSEDALE CAPITAL	046	F	B	40,000	7.62	n/a	19-Oct	1,600.00	4.0
MATRIX ASSET ADV.	036	GENZ	B	15,700	52.59	n/a	n/a	628.00	4.0
KLEINHEINZ CAP PART	031	GLD	B	100,000	104.45	n/a	n/a	5,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	GLW	B	11,650	15.59	n/a	n/a	349.50	3.0
CSFB GLOBAL PROPRIETARY	041	IP	B	365,000	23.77	n/a	22-Oct	18,250.00	5.0
SCOPUS FUND	041	IP	S	16,800	24.12	n/a	22-Oct	840.00	5.0
BRIGADE CAPITAL MGMT	029	JNY	B	40,396	19.00	n/a	21-Oct	1,211.88	3.0
MERRILL ASSET/BLACKROCK	214	JOYG	S	7,500	58.11	n/a	n/a	337.50	4.5
BUCK CAPITAL MGMT	001	JWN	B	10,000	33.65	n/a	9-Oct	400.00	4.0
ROTHSCHILD ASSET	040	LEG	S	8,310	20.60	n/a	n/a	373.95	4.5
EPOCH INV MGMT	030	LH	B	2,700	70.88	n/a	n/a	81.00	3.0
OVERLAND PARK CAP	041	LIZ	B	25,000	7.11	n/a	7-Oct	1,000.00	4.0
METROPOLITAN CAPITAL	044	LMT	B	16,500	71.95	n/a	22-Oct	825.00	5.0
SOROS	036	LOW	S	113,500	20.89	n/a	n/a	4,540.00	4.0
BMO NESBITT BURNS	041	LPX	SS	20,000	6.37	n/a	12-Oct	1,000.00	5.0
ENTRUST CAPITAL	040	LTM	SS	66,700	26.31	n/a	n/a	3,335.00	5.0
NEUBERGER BERMAN	036	LXU	B	13,071	14.00	n/a	n/a	588.20	4.5
MERRILL ASSET/BLACKROCK	214	MDR	B	164,900	25.49	n/a	n/a	7,420.50	4.5
EPOCH INV MGMT	030	MET	B	6,000	37.04	n/a	n/a	180.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	MON	SS	15,000	74.61	n/a	20-Oct	750.00	5.0
ROTHSCHILD ASSET	040	MRX	B	10,080	22.55	n/a	n/a	453.60	4.5
KLEINHEINZ CAP PART	031	MSFT	B	75,000	28.14	n/a	n/a	3,750.00	5.0
TRUSTCO/SUNTRUST	040	MTW	S	15,600	11.70	n/a	n/a	608.40	3.9
COUGAR TRADING	044	M	S	25,000	19.01	n/a	9-Oct	1,250.00	5.0
DIAMONDBACK CAP MGMT	232	NOK	B	100,000	13.46	n/a	n/a	5,000.00	5.0
SYSTEMATIC FINANCIAL MGT	035	NUS	B	20,000	23.66	n/a	n/a	700.00	3.5
KENNEDY CAPITAL	046	NWY	B	118,500	5.25	n/a	n/a	3,555.00	3.0
ROTHSCHILD ASSET	040	OCR	S	7,560	22.70	n/a	n/a	340.20	4.5
ACK ASSET	028	PAG	S	27,400	18.56	n/a	19-Oct	822.00	3.0
MILLENIUM PARTNERS	028	PAG	SS	20,000	18.34	n/a	19-Oct	800.00	4.0
ROTHSCHILD ASSET	040	PAG	B	2,900	18.37	n/a	19-Oct	130.50	4.5
RAMIUS CAP	040	PFCB	B	28,900	30.59	n/a	22-Oct	1,156.00	4.0
PATTEN & PATTEN	067	PFF	B	1,200	35.88	n/a	n/a	60.00	5.0
BUCK CAPITAL MGMT	001	PIR	B	20,000	4.32	n/a	n/a	600.00	3.0
BUCK CAPITAL MGMT	001	PVH	S	30,000	43.96	n/a	n/a	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	RIMM	S	20,000	66.09	n/a	n/a	1,000.00	5.0
GALT INVESTMENT	041	SCSS	S	85,000	6.54	n/a	n/a	4,250.00	5.0
CRAMER ROSENTHAL/SCOTT	012	SJM	S	76,100	52.77	n/a	n/a	3,044.00	4.0
BUCK CAPITAL MGMT	001	SKX	S	30,000	24.97	n/a	n/a	1,200.00	4.0
STRONG/WELLS CAP ANN F	038	SNV	B	152,220	2.82	n/a	n/a	4,566.60	3.0
PROSPECTOR PARTNERS LLC	036	STFC	B	10,000	17.88	n/a	n/a	400.00	4.0
METROPOLITAN CAPITAL	044	TGT	B	5,900	49.05	n/a	21-Oct	295.00	5.0
BASIX	033	TIN	B	40,000	17.81	n/a	22-Oct	1,200.00	3.0
BUCK CAPITAL MGMT	001	TWB	B	10,000	9.04	n/a	n/a	300.00	3.0
COBALT	041	UFS	B	3,900	41.36	n/a	n/a	195.00	5.0
ROTHSCHILD ASSET	040	UIS	B	201,600	2.67	n/a	n/a	9,072.00	4.5
STADIA CAPITAL	035	UPS	SS	38,000	55.53	n/a	n/a	1,520.00	4.0
EXIS CAPITAL	044	VZ	S	20,000	28.97	n/a	n/a	1,000.00	5.0
EPOCH INV MGMT	030	WFR	S	2,000	14.23	n/a	n/a	60.00	3.0
ROTHSCHILD ASSET	040	WRC	B	24,510	43.44	n/a	2-Oct	1,103.01	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GREEN ARROW DOUG	040	WTW	S	25,000	27.70	n/a	n/a	1,250.00	5.0
PILOT ROCK	028	WU	S	100,000	18.80	n/a	n/a	4,000.00	4.0
RAMIUS CAP	040	WU	S	200,000	18.82	n/a	n/a	8,000.00	4.0
TOTAL (Trade Date) :								169,769.79	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	10/21	IRIDIAN ASSET MGMT. (IRAM226)	036	EBAY	S	150	25.71	n/a	n/a	7.50	5.0
AO,	10/21	IRIDIAN ASSET MGMT. (IRAM226)	036	EBAY	S	150	25.71	n/a	n/a	0.00	0.0
AO,	10/22	PARTNER REINSURANCE (PARRPUSDEQ)	033	FL	B	19,400	11.59	n/a	n/a	776.00	4.0
AO,	10/22	PARTNER REINSURANCE (PARRPELCEQ)	033	FL	B	750	11.59	n/a	n/a	30.00	4.0
AO,CXL	10/22	HIGHBRIDGE CAP (HIBCCSFB)	041	JCP	B	25,000	36.68	n/a	9-Oct	0.00	0.0
AO,CRT	10/22	HIGHBRIDGE CAP (HIBCCSFB)	041	JCP	B	25,000	36.68	n/a	9-Oct	1000.00	4.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMRHC3)	028	LZ	B	200	73.93	n/a	n/a	10.00	5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMCHES)	028	LZ	B	395	73.93	n/a	n/a	19.75	5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMSANFRA)	028	LZ	B	200	73.93	n/a	n/a	10.00	5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMGFI)	028	LZ	B	200	73.93	n/a	n/a	10.00	5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMRHC1)	028	LZ	B	1,500	73.93	n/a	n/a	75.00	5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMSBA002)	028	LZ	B	100	73.93	n/a	n/a	5.00	5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMSHRVPT)	028	LZ	B	240	73.93	n/a	n/a	12.00	5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMSCHAEF)	028	LZ	B	1,190	73.93	n/a	n/a	59.50	5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMSIBLEY)	028	LZ	B	3,500	73.93	n/a	n/a	175.00	5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMUCIN)	028	LZ	B	495	73.93	n/a	n/a	24.75	5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMSTANLY)	028	LZ	B	600	73.93	n/a	n/a	30.00	5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMVALLEY)	028	LZ	B	110	73.93	n/a	n/a	5.50	5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMSTPAL1)	028	LZ	B	220	73.93	n/a	n/a	11.00	5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMFUND)	028	LZ	B	1,770	73.93	n/a	n/a	88.50	5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMSTPAL2)	028	LZ	B	600	73.93	n/a	n/a	30.00	5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMGOLDST)	028	LZ	B	235	73.93	n/a	n/a	11.75	5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMSTPAL3)	028	LZ	B	700	73.93	n/a	n/a	35.00	5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMETCP2)	028	LZ	B	100	73.93	n/a	n/a	5.00	5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMSUMIT)	028	LZ	B	500	73.93	n/a	n/a	25.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMKINEYC)	028	LZ	B	90	73.93	n/a	n/a	4.50 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMSUMIT1)	028	LZ	B	200	73.93	n/a	n/a	10.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMKINSEY)	028	LZ	B	60	73.93	n/a	n/a	3.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMCGSE)	028	LZ	B	1,300	73.93	n/a	n/a	65.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMKLOTH2)	028	LZ	B	85	73.93	n/a	n/a	4.25 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMCHATT)	028	LZ	B	900	73.93	n/a	n/a	45.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMELPASO)	028	LZ	B	1,300	73.93	n/a	n/a	65.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMCROWN)	028	LZ	B	3,300	73.93	n/a	n/a	165.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMETCPAR)	028	LZ	B	100	73.93	n/a	n/a	5.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMCSMAY)	028	LZ	B	1,800	73.93	n/a	n/a	90.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMGENCOR)	028	LZ	B	3,100	73.93	n/a	n/a	155.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMDEANEY)	028	LZ	B	115	73.93	n/a	n/a	5.75 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMJBLIND)	028	LZ	B	200	73.93	n/a	n/a	10.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMDESRET)	028	LZ	B	2,200	73.93	n/a	n/a	110.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMGOSHAW)	028	LZ	B	465	73.93	n/a	n/a	23.25 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMSUMIT2)	028	LZ	B	400	73.93	n/a	n/a	20.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMFLOWER)	028	LZ	B	700	73.93	n/a	n/a	35.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMSYMPON)	028	LZ	B	500	73.93	n/a	n/a	25.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMIBEW26)	028	LZ	B	800	73.93	n/a	n/a	40.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMSYSCO)	028	LZ	B	9,500	73.93	n/a	n/a	475.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMGLATFE)	028	LZ	B	3,600	73.93	n/a	n/a	180.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMTEAM14)	028	LZ	B	3,100	73.93	n/a	n/a	155.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMIBEW15)	028	LZ	B	900	73.93	n/a	n/a	45.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMTXHOSP)	028	LZ	B	3,200	73.93	n/a	n/a	160.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMIBEW)	028	LZ	B	500	73.93	n/a	n/a	25.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMWARE16)	028	LZ	B	600	73.93	n/a	n/a	30.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMHITACH)	028	LZ	B	600	73.93	n/a	n/a	30.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMWCHEN)	028	LZ	B	180	73.93	n/a	n/a	9.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMIOWA)	028	LZ	B	1,600	73.93	n/a	n/a	80.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMWCHOP)	028	LZ	B	115	73.93	n/a	n/a	5.75 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMKIMBEL)	028	LZ	B	900	73.93	n/a	n/a	45.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMWCHPE)	028	LZ	B	200	73.93	n/a	n/a	10.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMKLOTH1)	028	LZ	B	95	73.93	n/a	n/a	4.75 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMADIA)	028	LZ	B	54,200	73.93	n/a	n/a	2710.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMMARIOT)	028	LZ	B	5,000	73.93	n/a	n/a	250.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMITW)	028	LZ	B	7,900	73.93	n/a	n/a	395.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMIAHN)	028	LZ	B	4,500	73.93	n/a	n/a	225.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMDIOPHX)	028	LZ	B	400	73.93	n/a	n/a	20.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMIMI)	028	LZ	B	4,600	73.93	n/a	n/a	230.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMMADONN)	028	LZ	B	200	73.93	n/a	n/a	10.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMKINSEY)	028	LZ	B	90	73.93	n/a	n/a	4.50 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMFRANOP)	028	LZ	B	1,500	73.93	n/a	n/a	75.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMKINSEY)	028	LZ	B	205	73.93	n/a	n/a	10.25 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMMARS2)	028	LZ	B	1,100	73.93	n/a	n/a	55.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMDIOPHX)	028	LZ	B	1,200	73.93	n/a	n/a	60.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMNC0007)	028	LZ	B	30	73.93	n/a	n/a	1.50 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMFRANCI)	028	LZ	B	900	73.93	n/a	n/a	45.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMNORMAN)	028	LZ	B	140	73.93	n/a	n/a	7.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMCHRISUS)	028	LZ	B	2,100	73.93	n/a	n/a	105.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMMARS1)	028	LZ	B	4,900	73.93	n/a	n/a	245.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMDOMIN)	028	LZ	B	800	73.93	n/a	n/a	40.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMMARRIO)	028	LZ	B	3,600	73.93	n/a	n/a	180.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMMADISO)	028	LZ	B	300	73.93	n/a	n/a	15.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMNYSE)	028	LZ	B	1,800	73.93	n/a	n/a	90.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMCHRIS2)	028	LZ	B	800	73.93	n/a	n/a	40.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMPRESBY)	028	LZ	B	700	73.93	n/a	n/a	35.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMDIOPHX)	028	LZ	B	270	73.93	n/a	n/a	13.50 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMREMY2)	028	LZ	B	285	73.93	n/a	n/a	14.25 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMMERCY)	028	LZ	B	1,100	73.93	n/a	n/a	55.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMMETHOP)	028	LZ	B	1,500	73.93	n/a	n/a	75.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMOSF1)	028	LZ	B	3,300	73.93	n/a	n/a	165.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMMETHPE)	028	LZ	B	1,300	73.93	n/a	n/a	65.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMOSF2)	028	LZ	B	2,900	73.93	n/a	n/a	145.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMMOLSON)	028	LZ	B	1,400	73.93	n/a	n/a	70.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMPROVCS)	028	LZ	B	400	73.93	n/a	n/a	20.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMOCE)	028	LZ	B	4,700	73.93	n/a	n/a	235.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMMAGEE)	028	LZ	B	700	73.93	n/a	n/a	35.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMURSULI)	028	LZ	B	900	73.93	n/a	n/a	45.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMOPAL)	028	LZ	B	700	73.93	n/a	n/a	35.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMETCPT3)	028	LZ	B	700	73.93	n/a	n/a	35.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMNYCOMM)	028	LZ	B	300	73.93	n/a	n/a	15.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMMAGEE2)	028	LZ	B	300	73.93	n/a	n/a	15.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMNC0006)	028	LZ	B	25	73.93	n/a	n/a	1.25 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMMAGEE3)	028	LZ	B	255	73.93	n/a	n/a	12.75 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMPOMAR)	028	LZ	B	2,200	73.93	n/a	n/a	110.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMMIAPEN)	028	LZ	B	300	73.93	n/a	n/a	15.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMNICHOL)	028	LZ	B	145	73.93	n/a	n/a	7.25 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMNATION)	028	LZ	B	16,000	73.93	n/a	n/a	800.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMPACCAR)	028	LZ	B	1,700	73.93	n/a	n/a	85.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMNC0001)	028	LZ	B	45	73.93	n/a	n/a	2.25 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMORLAND)	028	LZ	B	900	73.93	n/a	n/a	45.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMNC0002)	028	LZ	B	70	73.93	n/a	n/a	3.50 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMPACARP)	028	LZ	B	1,800	73.93	n/a	n/a	90.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMNC0008)	028	LZ	B	30	73.93	n/a	n/a	1.50 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMRBS)	028	LZ	B	2,100	73.93	n/a	n/a	105.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMNC0012)	028	LZ	B	50	73.93	n/a	n/a	2.50 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMPACCAR)	028	LZ	B	300	73.93	n/a	n/a	15.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMNC0013)	028	LZ	B	60	73.93	n/a	n/a	3.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMPOWER2)	028	LZ	B	400	73.93	n/a	n/a	20.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMNC0014)	028	LZ	B	45	73.93	n/a	n/a	2.25 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMPOWER1)	028	LZ	B	50	73.93	n/a	n/a	2.50 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMNC0016)	028	LZ	B	45	73.93	n/a	n/a	2.25 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMPOWER4)	028	LZ	B	300	73.93	n/a	n/a	15.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMNC0017)	028	LZ	B	45	73.93	n/a	n/a	2.25 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMSCS1)	028	LZ	B	60	73.93	n/a	n/a	3.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMPHONIX)	028	LZ	B	200	73.93	n/a	n/a	10.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMP1A)	028	LZ	B	300	73.93	n/a	n/a	15.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMPOW3A)	028	LZ	B	20	73.93	n/a	n/a	1.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMREMY1)	028	LZ	B	150	73.93	n/a	n/a	7.50 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMPOW3B)	028	LZ	B	20	73.93	n/a	n/a	1.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMROYALT)	028	LZ	B	175	73.93	n/a	n/a	8.75 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMPOW3C)	028	LZ	B	20	73.93	n/a	n/a	1.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMRBSUK)	028	LZ	B	4,600	73.93	n/a	n/a	230.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMPOW3D)	028	LZ	B	20	73.93	n/a	n/a	1.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMRHC2)	028	LZ	B	400	73.93	n/a	n/a	20.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMSANTA)	028	LZ	B	100	73.93	n/a	n/a	5.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMREMY4)	028	LZ	B	125	73.93	n/a	n/a	6.25 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMELANPS)	028	LZ	B	195	73.93	n/a	n/a	9.75 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMRKINSE)	028	LZ	B	55	73.93	n/a	n/a	2.75 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMETCFDN)	028	LZ	B	200	73.93	n/a	n/a	10.00 5.0

TOTAL (AO, CXL, CRT) :

12,137.75

TOTAL (Trade Date):

169,769.79

TOTAL (AO, CXL, CRT):

12,137.75

TOTAL (RUN DATE) / NFS:

181,907.54

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