



Daily Compliance Activity Report

Trade Date: 01/09/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 1

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B									
BUCK CAPITAL MGMT		09776NAB8	B	5,000,000	68.50	n/a	n/a	non-brg	0.0
SASCO	038	ABB	S	31,700	25.82	n/a	n/a	1,585.00	5.0
ENTRUST CAPITAL	040	ABG	S	20,000	13.59	31-Oct	2-Jan	1,000.00	5.0
HART	056	ABG	S	48	13.84	31-Oct	2-Jan	0.00	0.0
BARR	096	ALSC	S	13,000	1.51	n/a	n/a	0.00	0.0
CRAMER ROSENTHAL/SCOTT	012	AMG	B	27,900	100.95	9-Jan	9-Jan	1,116.00	4.0
SUNOVA CAPITAL	031	AMG	B	20,000	103.45	9-Jan	9-Jan	1,000.00	5.0
TYEE/TYGH	035	AMG	S	95,985	101.19	9-Jan	9-Jan	3,839.40	4.0
ZOLIDIS	011	AMZN	SS	200	82.51	n/a	n/a	0.00	0.0
COUGAR TRADING	044	ANF	B	10,000	72.86	2-Oct	7-Jan	500.00	5.0
BUCK	015	ANF	SS	400	71.76	2-Oct	7-Jan	0.00	0.0
ADAGE CAPITAL MGMT	030	ANN	S	200,000	23.02	n/a	7-Jan	8,000.00	4.0
COUGAR TRADING	044	ANN	SS	5,000	23.32	n/a	7-Jan	250.00	5.0
BUCK CAPITAL MGMT	001	APP	S	10,000	12.75	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	ARO	S	200,000	26.12	29-Nov	7-Jan	8,000.00	4.0
COUGAR TRADING	044	ARO	B	15,000	26.12	29-Nov	7-Jan	750.00	5.0
J L F ASSET MGMT	039	ARO	B	118,000	26.24	29-Nov	7-Jan	4,720.00	4.0
JACOB	068	BARE	S	300	21.02	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MAIRS AND POWER INV	030	BAX	S	20,000	64.16	n/a	22-Apr	1,200.00	6.0
BUCK CAPITAL MGMT	001	BBY	SS	50,000	45.51	27-Jul	27-Jul	2,000.00	4.0
MS PRINCIPAL STRATEGIES	041	BBY	S	25,000	46.35	27-Jul	27-Jul	1,250.00	5.0
STRAUSS ASSET MGMT	040	BCSI	SS	10,000	26.64	n/a	n/a	500.00	5.0
JACOB	068	BIG	SS	800	12.78	7-Jan	7-Jan	0.00	0.0
B BUCK CAPITAL MGMT		BONT	B	171,500	4.71	4-Jan	7-Jan	non-brg	3.0
SINCLAIR	031	BONT	B	1,000	4.80	4-Jan	7-Jan	0.00	0.0
BUCK CAPITAL MGMT	001	CBK	B	10,000	9.85	n/a	28-Dec	400.00	4.0
STRONG/MARK GRONET	030	CHB	B	90,160	7.47	n/a	n/a	2,704.80	3.0
WYCKOFF	013	CHCG	B	2,000	3.99	n/a	n/a	0.00	0.0
BRIGHTPOINT CAP	067	CHS	S	50,000	7.31	5-Dec	7-Jan	2,000.00	4.0
NOMURA CAPITAL	045	CLUB	S	10,000	10.05	n/a	n/a	500.00	5.0
CROWLEY	061	CMU	B	500	5.02	n/a	n/a	0.00	0.0
KENNEDY CAPITAL	046	CNO	B	38,800	11.09	n/a	n/a	1,552.00	4.0
BUCK CAPITAL MGMT	001	COH	B	10,000	27.24	24-Oct	24-Oct	400.00	4.0
B BUCK CAPITAL MGMT		COH	B	20,000	26.34	24-Oct	24-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		COH	B	40,000	27.13	24-Oct	24-Oct	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	COH	S	4,200	26.53	24-Oct	24-Oct	210.00	5.0
⌘ BUCK CAPITAL MGMT		COLM	C	20,000	38.01	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		COST	C	20,000	67.25	27-Jul	27-Jul	non-brg	4.0
DAVIDSON TRUST CO	028	CPB	B	1,000	34.31	n/a	n/a	90.00	9.0
MFP INVESTORS	032	DBRN	B	100,000	9.97	n/a	n/a	5,000.00	5.0
MKT MAKER	099	DBRN	B	294	9.83	n/a	n/a	0.00	0.0
OGORMAN	046	DDM	S	350	76.22	n/a	n/a	0.00	0.0
BARR	096	DFS	SS	3,200	13.68	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		DKS	B	10,000	27.29	n/a	27-Nov	non-brg	4.0
MKT MAKER	099	DLTR	B	300	22.00	9-Nov	7-Jan	0.00	0.0
⌘ BUCK CAPITAL MGMT		DOUGR	SS	10,000	53.94	n/a	n/a	non-brg	8.1
SASCO	038	DUK	S	183,300	20.36	n/a	n/a	9,165.00	5.0
LED DY	035	EFT	S	1,400	16.17	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	EGN	B	22,320	64.93	n/a	n/a	1,004.40	4.5
⌘ BUCK CAPITAL MGMT		EL	SS	20,000	41.24	4-Jan	4-Jan	non-brg	2.5
⌘ BUCK CAPITAL MGMT		EL	SS	70,000	41.63	4-Jan	4-Jan	non-brg	4.0
GEORGE WEISS	034	EWBC	SS	10,000	20.95	n/a	n/a	300.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CUMBERLAND	038	EXH	B	8,000	74.60	n/a	28-Nov	320.00	4.0
GRUSS CAPITAL	045	FOR	B	5,000	18.47	n/a	n/a	200.00	4.0
IRONBOUND CAPITAL	012	FOR	B	50,000	18.21	n/a	n/a	2,500.00	5.0
XYLEM GLOBAL	091	FOR	B	50,000	18.54	n/a	n/a	2,500.00	5.0
BRIGHTPOINT CAP	067	FOSL	SS	6,000	36.52	13-Nov	13-Nov	300.00	5.0
ZOLIDIS	011	F	SS	1,700	6.03	n/a	4-Jan	0.00	0.0
COMMISSUM CAPITAL	067	GBL	SS	5,000	64.33	n/a	9-Jan	250.00	5.0
BARR	096	GDX	B	1,400	50.75	n/a	n/a	0.00	0.0
BUCK	015	GENZ	B	500	79.51	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GES	B	10,000	35.36	n/a	n/a	400.00	4.0
WEINTRAUB	024	GFG	B	200	11.16	n/a	n/a	0.00	0.0
GAULT	063	GFG	S	333	10.83	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GIL	S	40,000	39.20	5-Nov	11-Dec	1,600.00	4.0
CAXTON PART	040	GME	S	25,000	53.26	n/a	n/a	875.01	3.5
DSG CAPITAL	225	GM	SS	10,200	22.75	3-Jan	4-Jan	510.00	5.0
ZOLIDIS	011	GM	SS	400	22.82	3-Jan	4-Jan	0.00	0.0
MERRILL LYNCH STRATEGICI	034	GPS	B	10,000	18.99	n/a	7-Jan	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	GYMB	B	5,000	28.77	10-Aug	7-Jan	250.00	5.0
JP MORGAN VENTURES	046	GYMB	S	10,000	28.58	10-Aug	7-Jan	500.00	5.0
MKT MAKER	099	HOTT	S	100	4.54	n/a	7-Jan	0.00	0.0
MKT MAKER	099	HPOL	S	16	3.78	n/a	n/a	0.00	0.0
IRIDIAN ASSET MGMT.	036	HPQ	S	24,010	43.75	n/a	n/a	1,200.50	5.0
SCOPUS FUND	041	HSC	S	21,684	56.50	10-Dec	10-Dec	1,084.20	5.0
ZOLIDIS	011	HZO	SS	700	13.62	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ICON	B	50,000	16.70	n/a	n/a	non-brg	4.0
LEDDY	035	ICON	B	562	16.88	n/a	n/a	0.00	0.0
HART	056	ICON	B	98	16.88	n/a	n/a	0.00	0.0
DEMARTINI	065	ICON	B	500	16.82	n/a	n/a	0.00	0.0
JACOB	068	ICON	S	500	16.32	n/a	n/a	0.00	0.0
DAVIDSON KEMPNER ADVISOR	040	IDU	B	33,300	104.28	n/a	n/a	1,665.00	5.0
BUCK CAPITAL MGMT	001	IHP	B	20,000	43.92	n/a	n/a	800.00	4.0
GRONET	030	ILA	B	2,000	3.65	n/a	n/a	0.00	0.0
IRIDIAN ASSET MGMT.	036	INTC	S	93,280	22.47	n/a	n/a	4,664.00	5.0
LEDDY	035	ITCD	S	1,576	4.70	n/a	n/a	0.00	0.0
WASHINGTON ASSET	048	IVZ	S	16,000	25.90	20-Dec	9-Jan	800.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BELMONT GLOBAL ADV	248	JCG	B	16,000	41.09	28-Nov	30-Nov	800.00	5.0
BRIGHTPOINT CAP	067	JCG	SS	25,000	40.85	28-Nov	30-Nov	1,000.00	4.0
COUGAR TRADING	044	JCG	B	5,000	40.92	28-Nov	30-Nov	250.00	5.0
COUGAR TRADING	044	JCG	SS	5,000	41.04	28-Nov	30-Nov	250.00	5.0
LATEFF MGMT	040	JNJ	S	1,200	68.13	n/a	22-Apr	276.00	23.0
KINGD POINT PARTNERS	067	JNPR	B	120,000	30.28	n/a	22-Mar	6,000.00	5.0
SARAS CAPITAL	038	JNS	B	30,000	27.48	9-Jan	9-Jan	1,500.00	5.0
B BUCK CAPITAL MGMT		JNY	S	20,000	13.55	n/a	1-Nov	non-brg	4.0
ZOLIDIS	011	JOEZ	B	10,000	1.10	n/a	n/a	0.00	0.0
OGORMAN	046	JOEZ	B	2,100	1.11	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		JOSB	S	20,000	24.69	n/a	n/a	non-brg	4.0
COUGAR TRADING	044	JWN	S	5,000	31.25	20-Nov	7-Jan	250.00	5.0
MATTHES CAPITAL MGMT	033	JWN	SS	25,000	31.74	20-Nov	7-Jan	1,000.00	4.0
SYSTEMATIC FINANCIAL MGT	035	KCP	B	20,000	13.95	28-Sep	28-Sep	750.00	3.8
STRATTON	N21	KEG	S	400	13.01	29-Oct	10-Dec	0.00	0.0
MS PRINCIPAL STRATEGIES	041	KND	B	5,000	23.00	n/a	n/a	250.00	5.0
COUGAR TRADING	044	KSS	B	15,000	38.91	4-Jan	7-Jan	750.00	5.0
BUCK CAPITAL MGMT	001	KWD	S	63,000	16.43	n/a	n/a	2,520.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		LAMR	S	10,000	42.84	n/a	n/a	non-brg	4.0
KORMAN	003	LDKFK	S	60	9.40	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		LEG	SS	30,000	15.89	n/a	n/a	non-brg	4.0
KORMAN	003	LES DK	S	100	6.50	n/a	n/a	0.00	0.0
SINCLAIR	031	LES DM	B	20	2.40	n/a	n/a	0.00	0.0
JP MORGAN VENTURES	046	LM	B	100,000	68.95	17-Dec	9-Jan	5,000.00	5.0
BUCK	015	LM	SS	800	66.65	17-Dec	9-Jan	0.00	0.0
BEAR STEARNS ASSET MGMT.	033	LTD	C	19,500	15.66	n/a	7-Jan	780.00	4.0
BUCK CAPITAL MGMT	001	LTM	B	10,000	44.58	n/a	n/a	400.00	4.0
PILOT ADV	038	LULU	S	30,000	33.97	n/a	n/a	1,200.00	4.0
BUCK CAPITAL MGMT	001	MA	SS	20,000	190.46	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	MHK	SS	20,000	69.02	n/a	n/a	800.00	4.0
MERRILL ASSET	032	MIC	B	40,000	36.77	n/a	n/a	1,800.00	4.5
⌘ BUCK CAPITAL MGMT		MPWR	C	75,000	17.17	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		MRU+NV	B	250	3.30	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		MSMSBMV2	C	110,000	89.55	n/a	n/a	non-brg	9.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		MVRX	C	55,500	130.84	n/a	n/a	non-brg	4.0
COUGAR TRADING	044	M	S	20,000	21.73	4-Jan	7-Jan	1,000.00	5.0
J L F ASSET MGMT	039	M	B	173,800	22.09	4-Jan	7-Jan	6,952.00	4.0
JP MORGAN VENTURES	046	M	B	35,000	22.00	4-Jan	7-Jan	1,750.00	5.0
MKT MAKER	099	NETL	S	23	24.60	n/a	n/a	0.00	0.0
JACOB	068	NEXC	S	2,000	4.05	n/a	n/a	0.00	0.0
WYCKOFF	013	NILE	B	100	60.84	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	NP	B	10,000	25.93	8-Jan	8-Jan	400.00	4.0
CARLYLE BLUE WAVE PR MG	224	NSC	S	5,000	47.36	n/a	n/a	250.00	5.0
DIAMONDBACK CAP MGMT	232	NUE	C	65,000	52.21	n/a	n/a	3,250.00	5.0
GRANITE CAPITAL	045	NWSA	S	52,846	18.79	n/a	n/a	2,642.30	5.0
COUGAR TRADING	044	NWY	S	30,000	5.19	n/a	20-Nov	1,500.00	5.0
MERRILL ASSET	032	ONB	S	14,000	13.37	n/a	n/a	630.00	4.5
KAICHER	064	ONNN	S	200	7.42	n/a	n/a	0.00	0.0
BUCK	015	ONXX	B	800	52.35	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	OXM	SS	10,000	22.34	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEDDY	035	OXM	S	300	22.42	n/a	n/a	0.00	0.0
BARR	096	PDFS	B	1,200	8.04	n/a	n/a	0.00	0.0
BUCK	015	PEP	S	800	78.38	n/a	n/a	0.00	0.0
Ⓕ BUCK CAPITAL MGMT		PERY	B	16,200	14.44	n/a	n/a	non-brg	2.0
Ⓕ BUCK CAPITAL MGMT		PERY	B	53,800	14.76	n/a	n/a	non-brg	1.0
BELMONT GLOBAL ADV	248	PLCE	B	50,000	21.77	3-Dec	7-Jan	2,500.00	5.0
Ⓕ BUCK CAPITAL MGMT		PLCE	S	10,000	21.69	3-Dec	7-Jan	non-brg	1.0
Ⓕ BUCK CAPITAL MGMT		PLCE	S	40,000	21.74	3-Dec	7-Jan	non-brg	4.0
KORMAN	003	QIAEW	S	80	2.00	n/a	n/a	0.00	0.0
KORMAN	003	QJPFL	S	90	20.80	n/a	n/a	0.00	0.0
SINCLAIR	031	RF	S	25	19.60	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	RL	S	10,000	55.33	8-Nov	8-Nov	400.00	4.0
ZOLIDIS	011	RL	SS	400	54.98	8-Nov	8-Nov	0.00	0.0
Ⓕ BUCK CAPITAL MGMT		RTH	C	36,200	85.57	n/a	n/a	non-brg	2.0
MARK ASSETMGMT (SR)	040	SBUX	S	20,000	19.17	n/a	24-Apr	1,000.00	5.0
MKT MAKER	097	SBUX	S	100	19.15	n/a	24-Apr	0.00	0.0
STRATTON	N21	SGU	S	1,000	3.44	n/a	n/a	0.00	0.0
ZOLIDIS	011	SKK	B	500	78.50	n/a	n/a	0.00	0.0

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KAICHER	064	SNCR	B	1,000	26.10	n/a	n/a	0.00	0.0
WHEELER	008	SPNC	S	5,000	14.76	n/a	n/a	0.00	0.0
GRONET	030	SSI	S	1,000	10.99	4-Jan	7-Jan	0.00	0.0
JACOB	068	SSI	SS	900	11.37	4-Jan	7-Jan	0.00	0.0
BUCK	015	STI	C	1,000	57.74	n/a	n/a	0.00	0.0
KENNEDY CAPITAL	046	SYI	B	84,135	28.89	n/a	24-Apr	3,365.40	4.0
LISTED ERR	099	SYI	B	15	28.89	n/a	24-Apr	0.00	0.0
LISTED ERR	099	SYI	S	15	28.91	n/a	24-Apr	0.00	0.0
ZOLIDIS	011	TBL	C	500	16.51	n/a	13-Mar	0.00	0.0
GRONET	030	TEL	S	200	32.85	n/a	n/a	0.00	0.0
GRONET	030	TEVA	S	300	49.75	3-Jan	8-Jan	0.00	0.0
MKT MAKER	099	TIBX	S	100	6.76	n/a	3-Apr	0.00	0.0
CARLYLE BLUE WAVE PR MG	224	TIN	B	5,000	16.86	8-Jan	8-Jan	250.00	5.0
GAULT	063	TIN	B	1,000	16.83	8-Jan	8-Jan	0.00	0.0
J L F ASSET MGMT	039	TLB	SS	24,300	8.09	n/a	7-Jan	972.00	4.0
JACOB	068	TPX	SS	400	22.29	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		TRLG	S	10,000	17.37	n/a	n/a	non-brg	2.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MAIRS AND POWER INV	030	TRV	S	10,000	50.84	n/a	n/a	600.00	6.0
MS PRINCIPAL STRATEGIES	041	TSS	B	2,100	22.70	n/a	n/a	105.00	5.0
ZOLIDIS	011	TUES	SS	2,500	4.21	n/a	n/a	0.00	0.0
CAMBIAR CAP	046	TWB	B	8,360	28.02	9-Jan	9-Jan	334.40	4.0
DAVIDSON TRUST CO	028	TXN	B	1,000	30.28	n/a	n/a	90.00	9.0
BUCK CAPITAL MGMT	001	UA	B	10,000	43.12	n/a	n/a	400.00	4.0
LUCHANSKY	036	UNTD	S	500	10.11	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		URBN	S	40,000	25.07	3-Jan	7-Jan	non-brg	4.0
ß BUCK CAPITAL MGMT		VCGH	S	10,000	11.41	n/a	n/a	non-brg	4.0
OGORMAN	046	VC	B	5,000	3.55	n/a	13-Dec	0.00	0.0
BUCK CAPITAL MGMT	001	VFC	B	20,000	66.48	n/a	n/a	800.00	4.0
JP MORGAN VENTURES	046	VFC	B	15,000	68.00	n/a	n/a	750.00	5.0
SAXON WOODS ADVISORS	038	VFC	B	100,000	67.84	n/a	n/a	4,000.00	4.0
BUCK	015	WB	C	1,000	33.48	n/a	n/a	0.00	0.0
CAXTON PART	040	WFC	B	56,620	26.98	n/a	n/a	1,981.71	3.5
STRONG/MARK GRONET	030	WMAN	B	200,000	0.25	n/a	n/a	2,000.00	1.0

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BUCK CAPITAL MGMT	001	WSM	SS	20,000	23.59	n/a	n/a	800.00	4.0
XYLEM GLOBAL	091	WY	S	15,000	66.11	8-Jan	8-Jan	750.00	5.0
NATIONAL BK OF CAN	031	XLF	B	60,000	26.40	n/a	n/a	2,400.00	4.0
GRONET	030	XOM	S	56	90.01	n/a	n/a	0.00	0.0
COUGAR TRADING	044	ZQK	S	50,000	7.42	n/a	18-Dec	2,500.00	5.0
ZOLIDIS	011	ZUMZ	SS	600	17.01	n/a	n/a	0.00	0.0
TOTAL (Trade Date):							151,504.12		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	01/03	JP MORGAN VENTURES	046	ASCA	B	10,000	26.56	n/a	6-Nov	500.00 5.0
AO,CRT	01/03	JPSI/TOM LEDDY	035	ASCA	B	10,000	26.56	n/a	6-Nov	500.00 5.0
AO,CRT	01/08	MERRILL LYNCH STRATEGICI	034	FOSL	B	20,000	37.19	13-Nov	13-Nov	800.00 4.0
AO,CXL	01/08	MERRILL LYNCH STRATEGICI	034	FOSL	B	20,000	37.19	13-Nov	13-Nov	1000.00 5.0
AO,CRT	01/08	LEHMAN PROPRIETARY TRAD	041	GIGM	B	25,000	16.95	n/a	n/a	1000.00 4.0
AO,CXL	01/08	LEHMAN PROPRIETARY TRAD	041	GIGM	B	25,000	16.95	n/a	n/a	1250.00 5.0
AO,CRT	01/08	MERRILL LYNCH STRATEGICI	034	GPS	B	40,000	19.68	n/a	7-Jan	1600.00 4.0
AO,CXL	01/08	MERRILL LYNCH STRATEGICI	034	GPS	B	40,000	19.68	n/a	7-Jan	2000.00 5.0
AO,CXL	01/03	RHO CAPITAL MGMT	041	NETL	S	618	30.90	n/a	n/a	24.72 4.0
AO,	01/03	RHO CAPITAL MGMT	041	NETL	S	134	30.90	n/a	n/a	5.36 4.0
AO,CRT	01/03	RHO CAPITAL MGMT	041	NETL	S	484	30.90	n/a	n/a	19.36 4.0
AO,	01/08	DURANGO INVESTMENTS	031	SYMC	B	40,000	15.60	n/a	3-Apr	1600.00 4.0
TOTAL (AO, CXL, CRT) :										750.00

TOTAL (Trade Date) :	151,504.12
TOTAL (AO, CXL, CRT) :	750.00

TOTAL (RUN DATE) / NFS:	152,254.12
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MRI Securities with Trade Activity on 9-Jan.

AMG, JNS, TWB

MRI Securities without Trade Activity on 9-Jan.

EV, SMG, TROW

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

T-Date = 35%

YTD = 31%

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