



Daily Compliance Activity Report

Trade Date: 10/26/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DISCIPLINED GROWTH INV.	030	AAPL	S	100	204.62	n/a	n/a	5.00	5.0
DISCIPLINED GROWTH INV.	030	ADBE	S	1,500	34.73	n/a	n/a	75.00	5.0
DISCIPLINED GROWTH INV.	030	ADSK	S	400	26.31	n/a	n/a	20.00	5.0
BUCK CAPITAL MGMT	001	AEO	S	20,000	19.28	n/a	9-Oct	800.00	4.0
DISCIPLINED GROWTH INV.	030	AKAM	S	800	21.76	n/a	n/a	40.00	5.0
DISCIPLINED GROWTH INV.	030	AMD	S	1,200	5.53	n/a	n/a	60.00	5.0
APEX CAPITAL MGMT.	091	AMX	C	95,000	46.33	n/a	n/a	3,800.00	4.0
HUNTER GLOBAL INVESTOR	067	AMZN	B	15,000	122.48	n/a	n/a	600.00	4.0
NEWLAND CAPITAL MGT	067	ANDE	B	5,000	34.41	n/a	n/a	200.00	4.0
BNP PARIBAS SEC	040	AN	B	15,000	20.10	n/a	19-Oct	600.00	4.0
TRELLUS PARTNERS LP	028	AN	B	30,000	20.70	n/a	19-Oct	1,500.00	5.0
WAGONHOUND/NIC	048	AN	B	25,575	20.61	n/a	19-Oct	1,023.00	4.0
COLUMBIA PARTNERS	028	APD	S	16,430	80.50	n/a	21-Oct	657.20	4.0
DISCIPLINED GROWTH INV.	030	ARMH	S	4,800	7.40	n/a	n/a	240.00	5.0
BUCK CAPITAL MGMT	001	ARO	B	10,000	42.69	n/a	9-Oct	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COOPER CREEK PART	028	AXL	B	25,000	6.95	n/a	19-Oct	750.00	3.0
TROUBH PART	067	BAC	B	50,000	15.33	n/a	26-Oct	2,500.00	5.0
DISIPLINED GROWTH INV.	030	BJS	S	500	20.35	n/a	n/a	25.00	5.0
RBC CAPITAL MARKETS	040	BKC	B	50,000	17.97	n/a	26-Oct	2,000.00	4.0
VISIUM/BALY HOWARD	038	BKC	B	40,000	17.89	n/a	26-Oct	2,000.00	5.0
TRELLUS PARTNERS LP	028	BWA	S	20,000	34.12	n/a	n/a	1,000.00	5.0
DISIPLINED GROWTH INV.	030	CAB	S	1,100	14.38	n/a	n/a	55.00	5.0
ROYCE TRADING	216	CAB	S	5,000	14.72	n/a	n/a	250.00	5.0
DISIPLINED GROWTH INV.	030	CAKE	S	700	19.34	n/a	23-Oct	35.00	5.0
ARCHON CAPITAL	035	CLNE	SS	5,000	13.11	n/a	n/a	150.00	3.0
M&I FUNDS	047	COF	B	7,619	39.50	n/a	23-Oct	304.76	4.0
ROSEDALE CAPITAL	046	COG	B	10,000	39.02	n/a	21-Oct	500.00	5.0
PECONIC PARTNERS	036	COST	C	49,900	57.98	n/a	n/a	2,495.00	5.0
LEVEL GLOBAL SHARED ACCT	257	CRI	S	100,000	28.85	n/a	n/a	3,000.00	3.0
PATTEN & PATTEN	067	DBC	B	825	24.17	n/a	n/a	41.25	5.0
JETSTREAM GLOBAL FUND LP	065	DPTR	B	1,500,000	1.50	n/a	n/a	45,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	DSW	S	45,000	20.40	n/a	15-Oct	1,800.00	4.0
PATTEN & PATTEN	067	DVY	B	850	41.76	n/a	n/a	42.50	5.0
DISCIPLINED GROWTH INV.	030	DWA	S	800	32.31	n/a	n/a	40.00	5.0
DISCIPLINED GROWTH INV.	030	ETFC	S	1,800	1.65	n/a	n/a	54.00	3.0
DISCIPLINED GROWTH INV.	030	ETH	S	1,000	14.61	n/a	n/a	50.00	5.0
DISCIPLINED GROWTH INV.	030	ETN	S	600	62.62	n/a	20-Oct	30.00	5.0
PATTEN & PATTEN	067	EWC	B	600	25.11	n/a	n/a	30.00	5.0
PATTEN & PATTEN	067	EWZ	S	150	73.10	n/a	n/a	7.50	5.0
DISCIPLINED GROWTH INV.	030	EW	S	600	76.32	n/a	n/a	30.00	5.0
DISCIPLINED GROWTH INV.	030	EXBD	S	300	25.61	n/a	n/a	15.00	5.0
DISCIPLINED GROWTH INV.	030	FDS	S	500	65.72	n/a	n/a	25.00	5.0
LAGRANGE CAP ADV	048	F	B	10,000	7.50	n/a	19-Oct	500.00	5.0
DISCIPLINED GROWTH INV.	030	GENZ	S	300	52.07	n/a	n/a	15.00	5.0
BUCK CAPITAL MGMT	001	GES	S	20,000	41.10	n/a	n/a	800.00	4.0
BARCLEYS CAP (OLD LEHM)	041	GME	S	100,000	24.13	n/a	n/a	4,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	GME	B	20,000	24.10	n/a	n/a	800.00	4.0
DISCIPLINED GROWTH INV.	030	GNTX	S	800	17.15	n/a	22-Oct	40.00	5.0
DISCIPLINED GROWTH INV.	030	GRMN	S	700	38.51	n/a	n/a	35.00	5.0
DISCIPLINED GROWTH INV.	030	HLX	S	300	15.85	n/a	n/a	15.00	5.0
DISCIPLINED GROWTH INV.	030	HSTX	S	1,700	6.91	n/a	n/a	85.00	5.0
PATTEN & PATTEN	067	IGM	S	850	50.47	n/a	n/a	42.50	5.0
DISCIPLINED GROWTH INV.	030	IMN	S	500	9.50	n/a	n/a	25.00	5.0
DISCIPLINED GROWTH INV.	030	INCY	S	1,000	5.49	n/a	n/a	50.00	5.0
PATTEN & PATTEN	067	INTC	S	1,500	19.76	n/a	n/a	75.00	5.0
DISCIPLINED GROWTH INV.	030	INTU	S	1,500	30.09	n/a	n/a	75.00	5.0
BACKBAY	041	IP	B	25,000	23.84	n/a	22-Oct	1,250.00	5.0
DISCIPLINED GROWTH INV.	030	ISRG	S	100	259.61	n/a	n/a	5.00	5.0
DISCIPLINED GROWTH INV.	030	JBLU	S	1,000	5.41	n/a	n/a	50.00	5.0
BUCK CAPITAL MGMT	001	JCG	S	20,000	43.10	n/a	n/a	800.00	4.0
PATTEN & PATTEN	067	JNK	B	775	38.60	n/a	n/a	38.75	5.0
DISCIPLINED GROWTH INV.	030	JNS	S	1,300	14.88	n/a	26-Oct	65.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	JWN	B	10,000	33.37	n/a	9-Oct	400.00	4.0
METROPOLITAN CAPITAL	044	LMT	B	5,450	71.60	n/a	22-Oct	272.50	5.0
DISCIPLINED GROWTH INV.	030	LNC	S	700	25.11	n/a	n/a	35.00	5.0
DISCIPLINED GROWTH INV.	030	LSTR	S	500	36.33	n/a	n/a	25.00	5.0
BUCK CAPITAL MGMT	001	LTD	B	20,000	19.81	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	LTD	S	20,000	19.81	n/a	n/a	0.00	0.0
DISCIPLINED GROWTH INV.	030	LTD	S	1,100	19.64	n/a	n/a	55.00	5.0
DISCIPLINED GROWTH INV.	030	LVLTT	S	3,900	1.33	n/a	n/a	117.00	3.0
FIRST NEW YORK LEDDY	035	LVLTT	B	10,000	1.33	n/a	n/a	600.00	6.0
ROYCE TRADING	216	MEI	B	5,000	8.01	n/a	n/a	250.00	5.0
ST OF MICHIAN	047	MON	B	80,000	72.45	n/a	20-Oct	2,400.00	3.0
HUNTER GLOBAL INVESTOR	067	MSFT	B	291,300	28.69	n/a	n/a	11,652.00	4.0
JENNISON	032	MSFT	B	900,000	28.51	n/a	n/a	33,300.00	3.7
ROYCE TRADING	216	PAG	S	2,500	18.32	n/a	19-Oct	125.00	5.0
ROYCE TRADING	216	PBY	S	5,000	9.32	n/a	n/a	250.00	5.0
PATTEN & PATTEN	067	PFE	S	2,772	17.12	n/a	n/a	138.60	5.0
PATTEN & PATTEN	067	PFF	B	1,500	35.66	n/a	n/a	75.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MACKLOWE ASSET MGMT	041	PG	S	40,000	57.51	n/a	n/a	1,600.00	4.0
IRIDIAN ASSET MGMT.	036	PKG	B	62,740	19.80	n/a	22-Oct	3,137.00	5.0
EXIS CAPITAL	044	PNC	B	20,000	52.58	n/a	n/a	1,000.00	5.0
LEVEL GLOBAL SHARED ACCT	257	PVH	S	50,000	43.70	n/a	n/a	1,500.00	3.0
HUNTER GLOBAL INVESTOR	067	RL	B	50,000	79.69	n/a	n/a	2,500.00	5.0
ROYCE TRADING	216	SGY	S	2,500	18.30	n/a	n/a	125.00	5.0
PATTEN & PATTEN	067	SHV	S	1,000	110.20	n/a	n/a	50.00	5.0
ENTRUST CAPITAL	040	SHW	B	11,800	57.55	n/a	20-Oct	590.00	5.0
CASEY CAPITAL	067	SPG	B	5,000	70.00	n/a	n/a	250.00	5.0
PIONEER MICHAEL NOLAN	067	SWKS	S	25,000	11.18	n/a	n/a	750.00	3.0
BUCK CAPITAL MGMT	001	TJX	S	50,000	40.21	n/a	21-Oct	2,000.00	4.0
EXIS CAPITAL	044	TXT	B	20,000	18.73	n/a	n/a	1,000.00	5.0
NEWCASTLE FUNDS	255	TXT	C	35,200	18.39	n/a	n/a	1,408.00	4.0
COBALT	041	UFS	B	50,000	41.84	n/a	n/a	2,500.00	5.0
ROYCE TRADING	216	URI	S	5,000	10.66	n/a	n/a	250.00	5.0
DSG CAPITAL	225	WDR	B	5,300	30.38	n/a	26-Oct	212.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EXIS CAPITAL	044	WRC	SS	20,000	43.33	n/a	2-Oct	1,000.00	5.0
ROTHSCHILD ASSET	040	WRC	B	15,700	43.25	n/a	2-Oct	706.56	4.5
PATTEN & PATTEN	067	XOM	S	500	73.31	n/a	n/a	25.00	5.0
AVESTA CAP	229	X	B	100,000	40.86	n/a	n/a	4,000.00	4.0
LAGRANGE CAP ADV	048	YHOO	B	10,000	16.79	n/a	n/a	500.00	5.0
TOTAL (Trade Date):								155,815.12	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/23	COOPER CREEK PART (COOPGS)	028	AXL	B	25,000	6.81	n/a	19-Oct	1000.00 4.0
AO,CRT	10/23	COOPER CREEK PART (COOPGS)	028	AXL	B	25,000	6.81	n/a	19-Oct	750.00 3.0
CRT	10/26	ROSEDALE CAPITAL (ROSEGS)	046	COG	B	10,000	39.02	n/a	21-Oct	500.00 5.0
AO,CXL	10/21	IRIDIAN ASSET MGMT. (IRAM226)	036	EBAY	S	150	25.71	n/a	n/a	0.00 0.0
AO,	10/21	IRIDIAN ASSET MGMT. (IRAM226)	036	EBAY	S	150	25.71	n/a	n/a	7.50 5.0
AO,CXL	10/21	GREEN ARROW DOUG (GADRCSUSE)	040	GE	S	25,000	15.87	n/a	n/a	1000.00 4.0
AO,CXL	10/21	GREEN ARROW DOUG (GADRCSUSE)	040	GE	S	25,000	15.85	n/a	n/a	1000.00 4.0
AO,CRT	10/21	GREEN ARROW DOUG (GADRCSUSE)	040	GE	S	25,000	15.87	n/a	n/a	1250.00 5.0
AO,CRT	10/21	GREEN ARROW DOUG (GADRCSUSE)	040	GE	S	25,000	15.85	n/a	n/a	1250.00 5.0
AO,CXL	10/22	GARDNER LEWIS ASSET MGMT (GLAMPPIA)	028	LZ	B	60	73.93	n/a	n/a	3.00 5.0
AO,	10/22	GARDNER LEWIS ASSET MGMT (GLAMPPIA)	028	LZ	B	300	73.93	n/a	n/a	15.00 5.0
AO,CXL	10/22	GARDNER LEWIS ASSET MGMT (GLAMSCS1)	028	LZ	B	300	73.93	n/a	n/a	15.00 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,CXL	10/22	ST OF MICHIAN (MICHMER2)	047	MON	B	30,000	74.54	n/a	20-Oct	600.00 2.0
AO,CRT	10/22	ST OF MICHIAN (MICHMER2)	047	MON	B	30,000	74.54	n/a	20-Oct	900.00 3.0
AO,CXL	10/23	GALT INVESTMENT (GALTGS)	041	SCSS	S	85,000	6.54	n/a	n/a	4250.00 5.0
AO,CRT	10/23	GALT INVESTMENT (GALTGS)	041	SCSS	S	85,000	6.54	n/a	n/a	2550.00 3.0
AO,	10/23	MANN (MANNEQ0164)	034	SEIC	S	370	18.36	n/a	n/a	11.10 3.0
AO,	10/23	MANNING & NAPIER (MANNEQ0980)	034	SEIC	S	400	18.36	n/a	n/a	12.00 3.0
AO,	10/23	MANNING & NAPIER (MANNGR3335)	034	SEIC	S	1,450	18.36	n/a	n/a	43.50 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/23	MANNING & NAPIER (MANNGR4944)	034	SEIC	S	70	18.36	n/a	n/a	2.10 3.0
AO,	10/23	MANNING & NAPIER (MANNEQ0437)	034	SEIC	S	60	18.36	n/a	n/a	1.80 3.0
AO,	10/23	MANNING & NAPIER (MANNEQ0233)	034	SEIC	S	240	18.36	n/a	n/a	7.20 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ8642)	034	SEIC	S	100	18.36	n/a	n/a	3.00 3.0
AO,	10/23	MANNING & NAPIER (MANNCD1323)	034	SEIC	S	2,620	18.36	n/a	n/a	78.60 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ0047)	034	SEIC	S	70	18.36	n/a	n/a	2.10 3.0
AO,	10/23	MANNING & NAPIER (MANNGR4906)	034	SEIC	S	30	18.36	n/a	n/a	0.90 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ6590)	034	SEIC	S	3,680	18.36	n/a	n/a	110.40 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ1738)	034	SEIC	S	130	18.36	n/a	n/a	3.90 3.0
AO,	10/23	MANNING & NAPIER (MANNGR4897)	034	SEIC	S	100	18.36	n/a	n/a	3.00 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ0108)	034	SEIC	S	640	18.36	n/a	n/a	19.20 3.0
AO,	10/23	MANNING & NAPIER (MANNCD0136)	034	SEIC	S	6,950	18.36	n/a	n/a	208.50 3.0
AO,	10/23	MANNING & NAPIER (MANNJS5070)	034	SEIC	S	460	18.36	n/a	n/a	13.80 3.0
AO,	10/23	MANNING & NAPIER (MANNCD3830)	034	SEIC	S	3,750	18.36	n/a	n/a	112.50 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ2042)	034	SEIC	S	210	18.36	n/a	n/a	6.30 3.0
AO,	10/23	MANNING & NAPIER (MANNCD7024)	034	SEIC	S	470	18.36	n/a	n/a	14.10 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ3279)	034	SEIC	S	210	18.36	n/a	n/a	6.30 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ4995)	034	SEIC	S	160	18.36	n/a	n/a	4.80 3.0
AO,	10/23	MANNING & NAPIER (MANNCD1744)	034	SEIC	S	190	18.36	n/a	n/a	5.70 3.0
AO,	10/23	MANNING & NAPIER (MANNGR6170)	034	SEIC	S	880	18.36	n/a	n/a	26.40 3.0
AO,	10/23	MANNING & NAPIER (MANNCD7400)	034	SEIC	S	200	18.36	n/a	n/a	6.00 3.0
AO,	10/23	MANNING & NAPIER (MANNCD0061)	034	SEIC	S	500	18.36	n/a	n/a	15.00 3.0
AO,	10/23	MANNING & NAPIER (MANNCD7401)	034	SEIC	S	210	18.36	n/a	n/a	6.30 3.0
AO,	10/23	MANNING & NAPIER (MANNCD0059)	034	SEIC	S	1,180	18.36	n/a	n/a	35.40 3.0
AO,	10/23	MANNING & NAPIER (MANNEQ0612)	034	SEIC	S	30	18.36	n/a	n/a	0.90 3.0
AO,	10/23	MANNING & NAPIER (MANNCD8157)	034	SEIC	S	3,490	18.36	n/a	n/a	104.70 3.0
AO,	10/23	MANNING & NAPIER (MANNGR0058)	034	SEIC	S	410	18.36	n/a	n/a	12.30 3.0
AO,	10/23	MANNING & NAPIER (MANNEQ0623)	034	SEIC	S	230	18.36	n/a	n/a	6.90 3.0
AO,	10/23	MANNING & NAPIER (MANNGR0059)	034	SEIC	S	130	18.36	n/a	n/a	3.90 3.0
AO,	10/23	MANNING & NAPIER (MANNEQ0622)	034	SEIC	S	850	18.36	n/a	n/a	25.50 3.0

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AO,	10/23	MANNING & NAPIER (MANNGR4214)	034	SEIC	S	100	18.36	n/a	n/a	3.00 3.0
AO,	10/23	MANNING & NAPIER (MANNGR4159)	034	SEIC	S	1,020	18.36	n/a	n/a	30.60 3.0
AO,	10/23	MANNING & NAPIER (MANNJS0069)	034	SEIC	S	3,580	18.36	n/a	n/a	107.40 3.0
AO,	10/23	MANNING & NAPIER (MANNGR4169)	034	SEIC	S	1,760	18.36	n/a	n/a	52.80 3.0
AO,	10/23	MANNING & NAPIER (MANNJS0072)	034	SEIC	S	210	18.36	n/a	n/a	6.30 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ2936)	034	SEIC	S	340	18.36	n/a	n/a	10.20 3.0
AO,	10/23	MANNING & NAPIER (MANNJS1009)	034	SEIC	S	140	18.36	n/a	n/a	4.20 3.0
AO,	10/23	MANNING & NAPIER (MANNJS0121)	034	SEIC	S	110	18.36	n/a	n/a	3.30 3.0
AO,	10/23	MANNING & NAPIER (MANNJ21011)	034	SEIC	S	190	18.36	n/a	n/a	5.70 3.0
AO,	10/23	MANNING & NAPIER (MANNJS0120)	034	SEIC	S	50	18.36	n/a	n/a	1.50 3.0
AO,	10/23	MANNING & NAPIER (MANNCD0099)	034	SEIC	S	270	18.36	n/a	n/a	8.10 3.0
AO,	10/23	MANNING & NAPIER (MANNGR3328)	034	SEIC	S	80	18.36	n/a	n/a	2.40 3.0
AO,	10/23	MANNING & NAPIER (MANNGR6064)	034	SEIC	S	40	18.36	n/a	n/a	1.20 3.0
AO,	10/23	MANNING & NAPIER (MANNEQ5535)	034	SEIC	S	100	18.36	n/a	n/a	3.00 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ2296)	034	SEIC	S	170	18.36	n/a	n/a	5.10 3.0
AO,	10/23	MANNING & NAPIER (MANNEQ0614)	034	SEIC	S	50	18.36	n/a	n/a	1.50 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ3135)	034	SEIC	S	290	18.36	n/a	n/a	8.70 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ3281)	034	SEIC	S	990	18.36	n/a	n/a	29.70 3.0
AO,	10/23	MANNING & NAPIER (MANNEQ6525)	034	SEIC	S	580	18.36	n/a	n/a	17.40 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ5142)	034	SEIC	S	2,090	18.36	n/a	n/a	62.70 3.0
AO,	10/23	MANNING & NAPIER (MANNJS5079)	034	SEIC	S	460	18.36	n/a	n/a	13.80 3.0
AO,	10/23	MANNING & NAPIER (MANNCD5551)	034	SEIC	S	370	18.36	n/a	n/a	11.10 3.0
AO,	10/23	MANNING & NAPIER (MANNEQ8867)	034	SEIC	S	90	18.36	n/a	n/a	2.70 3.0
AO,	10/23	MANNING & NAPIER (MANNGR3087)	034	SEIC	S	1,020	18.36	n/a	n/a	30.60 3.0
AO,	10/23	MANNING & NAPIER (MANNCD5547)	034	SEIC	S	400	18.36	n/a	n/a	12.00 3.0
AO,	10/23	MANNING & NAPIER (MANNCD0073)	034	SEIC	S	4,550	18.36	n/a	n/a	136.50 3.0
AO,	10/23	MANNING & NAPIER (MANNGR2069)	034	SEIC	S	1,370	18.36	n/a	n/a	41.10 3.0
AO,	10/23	MANNING & NAPIER (MANNCD5545)	034	SEIC	S	430	18.36	n/a	n/a	12.90 3.0
AO,	10/23	MANNING & NAPIER (MANNCD1120)	034	SEIC	S	1,340	18.36	n/a	n/a	40.20 3.0
AO,	10/23	MANNING & NAPIER (MANNGR2072)	034	SEIC	S	1,230	18.36	n/a	n/a	36.90 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/23	MANNING & NAPIER (MANNEQ7619)	034	SEIC	S	220	18.36	n/a	n/a	6.60 3.0
AO,	10/23	MANNING & NAPIER (MANNCD5790)	034	SEIC	S	30	18.36	n/a	n/a	0.90 3.0
AO,	10/23	MANNING & NAPIER (MANNGR2081)	034	SEIC	S	1,340	18.36	n/a	n/a	40.20 3.0
AO,	10/23	MANNING & NAPIER (MANNGR3452)	034	SEIC	S	140	18.36	n/a	n/a	4.20 3.0
AO,	10/23	MANNING & NAPIER (MANNCD5801)	034	SEIC	S	160	18.36	n/a	n/a	4.80 3.0
AO,	10/23	MANNING & NAPIER (MANNJS0185)	034	SEIC	S	2,100	18.36	n/a	n/a	63.00 3.0
AO,	10/23	MANNING & NAPIER (MANNEQ0611)	034	SEIC	S	60	18.36	n/a	n/a	1.80 3.0
AO,	10/23	MANNING & NAPIER (MANNEQ8356)	034	SEIC	S	500	18.36	n/a	n/a	15.00 3.0
AO,	10/23	MANNING & NAPIER (MANNCD8515)	034	SEIC	S	60	18.36	n/a	n/a	1.80 3.0
AO,	10/23	MANNING & NAPIER (MANNGR4926)	034	SEIC	S	310	18.36	n/a	n/a	9.30 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ2935)	034	SEIC	S	1,780	18.36	n/a	n/a	53.40 3.0
AO,	10/23	MANNING & NAPIER (MANNGR4849)	034	SEIC	S	1,560	18.36	n/a	n/a	46.80 3.0
AO,	10/23	MANNING & NAPIER (MANNGR2071)	034	SEIC	S	1,050	18.36	n/a	n/a	31.50 3.0
AO,	10/23	MANNING & NAPIER (MANNGR4551)	034	SEIC	S	80	18.36	n/a	n/a	2.40 3.0
AO,	10/23	MANNING & NAPIER (MANNEQ0801)	034	SEIC	S	650	18.36	n/a	n/a	19.50 3.0
AO,	10/23	MANNING & NAPIER (MANNEQ9940)	034	SEIC	S	60	18.36	n/a	n/a	1.80 3.0
AO,	10/23	MANNING & NAPIER (MANNCD5071)	034	SEIC	S	5,460	18.36	n/a	n/a	163.80 3.0
AO,	10/23	MANNING & NAPIER (MANNCD9080)	034	SEIC	S	610	18.36	n/a	n/a	18.30 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ4344)	034	SEIC	S	380	18.36	n/a	n/a	11.40 3.0
AO,	10/23	MANNING & NAPIER (MANNCD2220)	034	SEIC	S	30	18.36	n/a	n/a	0.90 3.0
AO,	10/23	MANNING & NAPIER (MANNCD0232)	034	SEIC	S	30	18.36	n/a	n/a	0.90 3.0
AO,	10/23	MANNING & NAPIER (MANNCD9081)	034	SEIC	S	80	18.36	n/a	n/a	2.40 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ4345)	034	SEIC	S	1,470	18.36	n/a	n/a	44.10 3.0
AO,	10/23	MANNING & NAPIER (MANNGR4933)	034	SEIC	S	100	18.36	n/a	n/a	3.00 3.0
AO,	10/23	MANNING & NAPIER (MANNCD0272)	034	SEIC	S	100	18.36	n/a	n/a	3.00 3.0
AO,	10/23	MANNING & NAPIER (MANNJS1501)	034	SEIC	S	10,190	18.36	n/a	n/a	305.70 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ5180)	034	SEIC	S	240	18.36	n/a	n/a	7.20 3.0
AO,	10/23	MANNING & NAPIER (MANNCD0740)	034	SEIC	S	60	18.36	n/a	n/a	1.80 3.0
AO,	10/23	MANNING & NAPIER (MANNGR4951)	034	SEIC	S	180	18.36	n/a	n/a	5.40 3.0
AO,	10/23	MANNING & NAPIER (MANNJS0045)	034	SEIC	S	660	18.36	n/a	n/a	19.80 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/23	MANNING & NAPIER (MANNMJ8640)	034	SEIC	S	100	18.36	n/a	n/a	3.00 3.0
AO,	10/23	MANNING & NAPIER (MANNCD1952)	034	SEIC	S	120	18.36	n/a	n/a	3.60 3.0
AO,	10/23	MANNING & NAPIER (MANNEQ0115)	034	SEIC	S	18,820	18.36	n/a	n/a	564.60 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ2293)	034	SEIC	S	70	18.36	n/a	n/a	2.10 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ8641)	034	SEIC	S	90	18.36	n/a	n/a	2.70 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ1944)	034	SEIC	S	660	18.36	n/a	n/a	19.80 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ2389)	034	SEIC	S	20	18.36	n/a	n/a	0.60 3.0
AO,	10/23	MANNING & NAPIER (MANNJS8924)	034	SEIC	S	3,470	18.36	n/a	n/a	104.10 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ2178)	034	SEIC	S	240	18.36	n/a	n/a	7.20 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ9459)	034	SEIC	S	130	18.36	n/a	n/a	3.90 3.0
AO,	10/23	MANNING & NAPIER (MANNGR4934)	034	SEIC	S	170	18.36	n/a	n/a	5.10 3.0
AO,	10/23	MANNING & NAPIER (MANNJS8923)	034	SEIC	S	430	18.36	n/a	n/a	12.90 3.0
AO,	10/23	MANNING & NAPIER (MANNGR6176)	034	SEIC	S	120	18.36	n/a	n/a	3.60 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ1400)	034	SEIC	S	1,810	18.36	n/a	n/a	54.30 3.0
AO,	10/23	MANNING & NAPIER (MANNCD0270)	034	SEIC	S	80	18.36	n/a	n/a	2.40 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ3019)	034	SEIC	S	170	18.36	n/a	n/a	5.10 3.0
AO,	10/23	MANNING & NAPIER (MANNGR4215)	034	SEIC	S	100	18.36	n/a	n/a	3.00 3.0
AO,	10/23	MANNING & NAPIER (MANNGR4680)	034	SEIC	S	6,900	18.36	n/a	n/a	207.00 3.0
AO,	10/23	MANNING & NAPIER (MANNGR6647)	034	SEIC	S	2,800	18.36	n/a	n/a	84.00 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ2823)	034	SEIC	S	2,300	18.36	n/a	n/a	69.00 3.0
AO,	10/23	MANNING & NAPIER (MANNCD7021)	034	SEIC	S	260	18.36	n/a	n/a	7.80 3.0
AO,	10/23	MANNING & NAPIER (MANNCD2280)	034	SEIC	S	2,420	18.36	n/a	n/a	72.60 3.0
AO,	10/23	MANNING & NAPIER (MANNEQ1593)	034	SEIC	S	260	18.36	n/a	n/a	7.80 3.0
AO,	10/23	MANNING & NAPIER (MANNGR0014)	034	SEIC	S	330	18.36	n/a	n/a	9.90 3.0
AO,	10/23	MANNING & NAPIER (MANNCD1121)	034	SEIC	S	820	18.36	n/a	n/a	24.60 3.0
AO,	10/23	MANNING & NAPIER (MANNCD2282)	034	SEIC	S	1,990	18.36	n/a	n/a	59.70 3.0
AO,	10/23	MANNING & NAPIER (MANNGR4937)	034	SEIC	S	90	18.36	n/a	n/a	2.70 3.0
AO,	10/23	MANNING & NAPIER (MANNGR0028)	034	SEIC	S	50	18.36	n/a	n/a	1.50 3.0
AO,	10/23	MANNING & NAPIER (MANNCD0543)	034	SEIC	S	110	18.36	n/a	n/a	3.30 3.0
AO,	10/23	MANNING & NAPIER (MANNCD2283)	034	SEIC	S	1,170	18.36	n/a	n/a	35.10 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/23	MANNING & NAPIER (MANNEQ1594)	034	SEIC	S	170	18.36	n/a	n/a	5.10 3.0
AO,	10/23	MANNING & NAPIER (MANNEQ3745)	034	SEIC	S	170	18.36	n/a	n/a	5.10 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ3477)	034	SEIC	S	100	18.36	n/a	n/a	3.00 3.0
AO,	10/23	MANNING & NAPIER (MANNCD2285)	034	SEIC	S	830	18.36	n/a	n/a	24.90 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ0418)	034	SEIC	S	80	18.36	n/a	n/a	2.40 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ4542)	034	SEIC	S	180	18.36	n/a	n/a	5.40 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ3474)	034	SEIC	S	630	18.36	n/a	n/a	18.90 3.0
AO,	10/23	MANNING & NAPIER (MANNGR3346)	034	SEIC	S	1,850	18.36	n/a	n/a	55.50 3.0
AO,	10/23	MANNING & NAPIER (MANNCD0185)	034	SEIC	S	260	18.36	n/a	n/a	7.80 3.0
AO,	10/23	MANNING & NAPIER (MANNGR7535)	034	SEIC	S	450	18.36	n/a	n/a	13.50 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ3466)	034	SEIC	S	400	18.36	n/a	n/a	12.00 3.0
AO,	10/23	MANNING & NAPIER (MANNGR6072)	034	SEIC	S	3,230	18.36	n/a	n/a	96.90 3.0
AO,	10/23	MANNING & NAPIER (MANNJS5065)	034	SEIC	S	1,410	18.36	n/a	n/a	42.30 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ2292)	034	SEIC	S	150	18.36	n/a	n/a	4.50 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ3465)	034	SEIC	S	380	18.36	n/a	n/a	11.40 3.0
AO,	10/23	MANNING & NAPIER (MANNGR8542)	034	SEIC	S	120	18.36	n/a	n/a	3.60 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ9460)	034	SEIC	S	240	18.36	n/a	n/a	7.20 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ7540)	034	SEIC	S	930	18.36	n/a	n/a	27.90 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ3464)	034	SEIC	S	380	18.36	n/a	n/a	11.40 3.0
AO,	10/23	MANNING & NAPIER (MANNJS1504)	034	SEIC	S	9,730	18.36	n/a	n/a	291.90 3.0
AO,	10/23	MANNING & NAPIER (MANNJS5037)	034	SEIC	S	1,020	18.36	n/a	n/a	30.60 3.0
AO,	10/23	MANNING & NAPIER (MANNCD6489)	034	SEIC	S	280	18.36	n/a	n/a	8.40 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ3463)	034	SEIC	S	390	18.36	n/a	n/a	11.70 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ2297)	034	SEIC	S	160	18.36	n/a	n/a	4.80 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ3141)	034	SEIC	S	2,500	18.36	n/a	n/a	75.00 3.0
AO,	10/23	MANNING & NAPIER (MANNJS5000)	034	SEIC	S	150	18.36	n/a	n/a	4.50 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ3462)	034	SEIC	S	380	18.36	n/a	n/a	11.40 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ2298)	034	SEIC	S	120	18.36	n/a	n/a	3.60 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ3146)	034	SEIC	S	490	18.36	n/a	n/a	14.70 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ1018)	034	SEIC	S	920	18.36	n/a	n/a	27.60 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/23	MANNING & NAPIER (MANNMJ3461)	034	SEIC	S	380	18.36	n/a	n/a	11.40 3.0
AO,	10/23	MANNING & NAPIER (MANNCD1840)	034	SEIC	S	1,790	18.36	n/a	n/a	53.70 3.0
AO,	10/23	MANNING & NAPIER (MANNGR2302)	034	SEIC	S	560	18.36	n/a	n/a	16.80 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ1401)	034	SEIC	S	3,330	18.36	n/a	n/a	99.90 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ0980)	034	SEIC	S	350	18.36	n/a	n/a	10.50 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ5013)	034	SEIC	S	390	18.36	n/a	n/a	11.70 3.0
AO,	10/23	MANNING & NAPIER (MANNGR0138)	034	SEIC	S	1,000	18.36	n/a	n/a	30.00 3.0
AO,	10/23	MANNING & NAPIER (MANNCD0029)	034	SEIC	S	190	18.36	n/a	n/a	5.70 3.0
AO,	10/23	MANNING & NAPIER (MANNGR4669)	034	SEIC	S	4,030	18.36	n/a	n/a	120.90 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ8115)	034	SEIC	S	330	18.36	n/a	n/a	9.90 3.0
AO,	10/23	MANNING & NAPIER (MANNEQ1381)	034	SEIC	S	140	18.36	n/a	n/a	4.20 3.0
AO,	10/23	MANNING & NAPIER (MANNCD7029)	034	SEIC	S	590	18.36	n/a	n/a	17.70 3.0
AO,	10/23	MANNING & NAPIER (MANNCD0493)	034	SEIC	S	830	18.36	n/a	n/a	24.90 3.0
AO,	10/23	MANNING & NAPIER (MANNCD6493)	034	SEIC	S	100	18.36	n/a	n/a	3.00 3.0
AO,	10/23	MANNING & NAPIER (MANNCD7027)	034	SEIC	S	420	18.36	n/a	n/a	12.60 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ1979)	034	SEIC	S	5,170	18.36	n/a	n/a	155.10 3.0
AO,	10/23	MANNING & NAPIER (MANNGR1804)	034	SEIC	S	120	18.36	n/a	n/a	3.60 3.0
AO,	10/23	MANNING & NAPIER (MANNCD7028)	034	SEIC	S	330	18.36	n/a	n/a	9.90 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ5014)	034	SEIC	S	280	18.36	n/a	n/a	8.40 3.0
AO,	10/23	MANNING & NAPIER (MANNJS0612)	034	SEIC	S	150	18.36	n/a	n/a	4.50 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ3460)	034	SEIC	S	80	18.36	n/a	n/a	2.40 3.0
AO,	10/23	MANNING & NAPIER (MANNCD6590)	034	SEIC	S	4,850	18.36	n/a	n/a	145.50 3.0
AO,	10/23	MANNING & NAPIER (MANNEQ0632)	034	SEIC	S	60	18.36	n/a	n/a	1.80 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ2176)	034	SEIC	S	490	18.36	n/a	n/a	14.70 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ5016)	034	SEIC	S	390	18.36	n/a	n/a	11.70 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ3142)	034	SEIC	S	740	18.36	n/a	n/a	22.20 3.0
AO,	10/23	MANNING & NAPIER (MANNGR4702)	034	SEIC	S	2,630	18.36	n/a	n/a	78.90 3.0
AO,	10/23	MANNING & NAPIER (MANNGR6217)	034	SEIC	S	1,530	18.36	n/a	n/a	45.90 3.0
AO,	10/23	MANNING & NAPIER (MANNEQ0102)	034	SEIC	S	350	18.36	n/a	n/a	10.50 3.0
AO,	10/23	MANNING & NAPIER (MANN058840)	034	SEIC	S	760	18.36	n/a	n/a	22.80 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/23	MANNING & NAPIER (MANNMJ8940)	034	SEIC	S	50	18.36	n/a	n/a	1.50 3.0
AO,	10/23	MANNING & NAPIER (MANNEQ1102)	034	SEIC	S	120	18.36	n/a	n/a	3.60 3.0
AO,	10/23	MANNING & NAPIER (MANN058521)	034	SEIC	S	720	18.36	n/a	n/a	21.60 3.0
AO,	10/23	MANNING & NAPIER (MANNEQ0231)	034	SEIC	S	70	18.36	n/a	n/a	2.10 3.0
AO,	10/23	MANNING & NAPIER (MANNEQ0103)	034	SEIC	S	870	18.36	n/a	n/a	26.10 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ8131)	034	SEIC	S	70	18.36	n/a	n/a	2.10 3.0
AO,	10/23	MANNING & NAPIER (MANNEQ0229)	034	SEIC	S	220	18.36	n/a	n/a	6.60 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ0377)	034	SEIC	S	150	18.36	n/a	n/a	4.50 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ6530)	034	SEIC	S	70	18.36	n/a	n/a	2.10 3.0
AO,	10/23	MANNING & NAPIER (MANNEQ0199)	034	SEIC	S	2,030	18.36	n/a	n/a	60.90 3.0
AO,	10/23	MANNING & NAPIER (MANNEQ6281)	034	SEIC	S	1,130	18.36	n/a	n/a	33.90 3.0
AO,	10/23	MANNING & NAPIER (MANNMJ4590)	034	SEIC	S	50	18.36	n/a	n/a	1.50 3.0
AO,	10/23	MANNING & NAPIER (MANNCD1884)	034	SEIC	S	160	18.36	n/a	n/a	4.80 3.0
AO,	10/23	MANNING & NAPIER (MANNGR4815)	034	SEIC	S	400	18.36	n/a	n/a	12.00 3.0
AO,	10/23	MANNING & NAPIER (MANNEQ3045)	034	SEIC	S	20	18.36	n/a	n/a	0.60 3.0
AO,	10/23	MANNING & NAPIER (MANNEQ0201)	034	SEIC	S	850	18.36	n/a	n/a	25.50 3.0
AO,	10/23	MANNING & NAPIER (MANNGR4898)	034	SEIC	S	180	18.36	n/a	n/a	5.40 3.0

TOTAL (AO, CXL, CRT) : **5,276.50**

TOTAL (Trade Date): 155,815.12

TOTAL (AO, CXL, CRT): 5,276.50

TOTAL (RUN DATE) / NFS: **161,091.62**

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