



Daily Compliance Activity Report

Trade Date: 01/10/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	AAPL	B	785	177.02	n/a	n/a	15.70	2.0
PIONEER OAKRIDGE	031	ABT	B	1,335	59.77	n/a	22-Apr	26.70	2.0
PIONEER OAKRIDGE	031	ADBE	B	1,625	38.94	n/a	n/a	32.50	2.0
PIONEER OAKRIDGE	031	AFL	B	1,415	65.30	n/a	n/a	28.30	2.0
PIONEER OAKRIDGE	031	AGN	B	985	67.03	9-Oct	10-Jan	19.70	2.0
SUNOVA CAPITAL	031	AMG	S	10,000	105.31	9-Jan	9-Jan	500.00	5.0
LUCHANSKY	036	AMR	B	1,000	13.54	n/a	n/a	0.00	0.0
ARIENCE CAPITAL	036	ANF	SS	64,000	72.32	10-Jan	10-Jan	3,200.00	5.0
BUCK CAPITAL MGMT	001	ANF	B	100,000	73.66	10-Jan	10-Jan	4,000.00	4.0
COUGAR TRADING	044	ANF	B	10,000	73.68	10-Jan	10-Jan	500.00	5.0
COUGAR TRADING	044	ANF	SS	10,000	72.07	10-Jan	10-Jan	500.00	5.0
PIONEER OAKRIDGE	031	ANF	B	895	71.91	10-Jan	10-Jan	17.90	2.0
BUCK CAPITAL MGMT	001	ARO	S	40,000	26.36	29-Nov	7-Jan	1,600.00	4.0
COUGAR TRADING	044	ARO	B	5,000	26.50	29-Nov	7-Jan	250.00	5.0
B BUCK CAPITAL MGMT		ATW	SS	20,000	97.36	n/a	n/a	non-brg	4.0
PIONEER OAKRIDGE	031	BA	B	725	81.84	n/a	n/a	14.50	2.0
GLG PARTNERS	034	BBY	SS	25,000	46.52	27-Jul	27-Jul	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	BBY	B	1,185	45.80	27-Jul	27-Jul	23.70	2.0
SCOPUS FUND	041	BYD	SS	10,000	29.04	n/a	1-Nov	500.00	5.0
ELM RIDGE ADVISORS	044	CA	B	146,000	23.05	n/a	n/a	5,840.00	4.0
BUCK CAPITAL MGMT	001	CBK	B	10,000	9.60	n/a	28-Dec	400.00	4.0
VISIUM/BALY HOWARD	038	CBK	B	30,000	9.66	n/a	28-Dec	1,500.00	5.0
PIONEER OAKRIDGE	031	CELG	B	940	52.08	n/a	n/a	18.80	2.0
EPOCH INV MGMT	030	CHRS	B	350,000	4.44	n/a	22-Mar	14,000.00	4.0
COUGAR TRADING	044	CLMS	SS	10,000	26.78	n/a	10-Jan	500.00	5.0
PIONEER OAKRIDGE	031	CME	B	70	603.97	n/a	13-Dec	1.40	2.0
BUCK	015	COF	SS	1,500	43.67	n/a	n/a	0.00	0.0
WHEELER	008	COHR	B	5,000	23.35	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	COH	B	130,000	28.92	24-Oct	24-Oct	5,200.00	4.0
COUGAR TRADING	044	COH	S	10,000	28.57	24-Oct	24-Oct	500.00	5.0
PIONEER OAKRIDGE	031	COH	B	1,445	28.62	24-Oct	24-Oct	28.90	2.0
B BUCK CAPITAL MGMT		COLM	C	30,000	38.83	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		COST	C	20,000	67.22	27-Jul	27-Jul	non-brg	4.0
PIONEER OAKRIDGE	031	CSCO	B	3,890	25.91	n/a	22-Mar	77.80	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRUST CO/COWEN/CALF.	040	CSX	S	390,290	43.67	n/a	n/a	19,514.50	5.0
LISTED ERR	099	CSX	B	200	43.55	n/a	n/a	0.00	0.0
BUCK	015	C	B	500	28.43	5-Nov	8-Jan	0.00	0.0
MAGUIRE	090	DALBW	S	75	1.40	n/a	n/a	0.00	0.0
FIRST NY SEC/CHRIS	041	DAL	B	15,000	14.21	n/a	n/a	900.00	6.0
FORD FDN.	032	DD	S	25,000	45.42	n/a	9-Jan	1,250.00	5.0
PIONEER OAKRIDGE	031	DHR	B	910	82.03	n/a	n/a	18.20	2.0
CASTLE ARK	031	DLTR	C	2,070	22.44	9-Nov	7-Jan	124.20	6.0
PIONEER OAKRIDGE	031	DNA	B	730	70.91	n/a	n/a	14.60	2.0
PIONEER OAKRIDGE	031	ECL	B	1,215	50.39	4-Jan	4-Jan	24.30	2.0
PIONEER OAKRIDGE	031	ERTS	B	1,280	53.26	n/a	n/a	25.60	2.0
GAULT	063	ETNBQ	B	10	5.30	n/a	n/a	0.00	0.0
GAULT	063	ETN	B	300	86.47	26-Dec	10-Jan	0.00	0.0
DSG CAPITAL	225	FDO	B	7,500	16.23	8-Jan	8-Jan	375.00	5.0
B BUCK CAPITAL MGMT		FOR	B	7,700	18.79	n/a	n/a	non-brg	4.0
GRUSS CAPITAL	045	FOR	B	10,000	18.73	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
IRONBOUND CAPITAL	012	FOR	B	2,300	18.48	n/a	n/a	115.00	5.0
B BUCK CAPITAL MGMT		FOSL	C	30,000	37.26	13-Nov	13-Nov	non-brg	4.0
BUCK CAPITAL MGMT	001	GES	B	50,000	36.96	n/a	n/a	2,000.00	4.0
PIIONEER OAKRIDGE	031	GE	B	1,940	35.54	n/a	n/a	38.80	2.0
SCOPUS FUND	041	GFG	B	78,000	12.22	n/a	n/a	3,900.00	5.0
ROSENBERG	034	GFG	B	200	11.50	n/a	n/a	0.00	0.0
PIIONEER OAKRIDGE	031	GILD	B	1,240	48.43	n/a	n/a	24.80	2.0
BUCK CAPITAL MGMT	001	GIL	S	10,000	39.53	5-Nov	11-Dec	400.00	4.0
EMP ERROR	035	GIL	S	500	39.23	5-Nov	11-Dec	0.00	0.0
EMP ERROR	099	GIL	B	500	39.54	5-Nov	11-Dec	0.00	0.0
MORGAN LEWIS/MLH	046	GLW	B	25,000	22.16	n/a	26-Dec	1,250.00	5.0
PIIONEER OAKRIDGE	031	GLW	B	2,405	22.59	n/a	26-Dec	48.10	2.0
PIIONEER OAKRIDGE	031	GOOG	B	195	647.98	n/a	n/a	3.90	2.0
COUGAR TRADING	044	GYMB	B	10,000	30.12	10-Aug	10-Jan	500.00	5.0
COUGAR TRADING	044	GYMB	S	10,000	32.13	10-Aug	10-Jan	500.00	5.0
B BUCK CAPITAL MGMT		HBI	C	20,000	24.49	n/a	n/a	non-brg	4.0
PIIONEER OAKRIDGE	031	HOLX	B	925	69.22	n/a	n/a	18.50	2.0
PIIONEER OAKRIDGE	031	HPQ	B	1,440	45.01	n/a	n/a	28.80	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GAULT	063	HRSBJ	B	30	2.80	n/a	n/a	0.00	0.0
VENTANA CAPITAL	060	HRS	B	7,500	50.19	30-Oct	2-Nov	300.00	4.0
BRUNNER	012	HRS	B	1,000	49.99	30-Oct	2-Nov	0.00	0.0
GAULT	063	HRS	B	500	50.16	30-Oct	2-Nov	0.00	0.0
PIONEER OAKRIDGE	031	ICE	B	425	169.47	n/a	n/a	8.50	2.0
B BUCK CAPITAL MGMT		ICON	B	150,000	16.70	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		IJJ	C	164,300	74.03	n/a	n/a	non-brg	2.0
PIONEER OAKRIDGE	031	INTC	B	2,945	22.36	n/a	n/a	58.90	2.0
STRAUSS ASSET MGMT	040	INWK	B	15,000	16.13	n/a	n/a	750.00	5.0
XYLEM GLOBAL	091	IP	B	150,000	30.94	8-Jan	8-Jan	7,500.00	5.0
PIONEER OAKRIDGE	031	IRM	B	1,225	34.23	n/a	n/a	24.50	2.0
GRONET	030	ITCD	S	3,000	4.50	n/a	n/a	0.00	0.0
LEDDY	035	ITCD	S	500	4.55	n/a	n/a	0.00	0.0
CARLYLE BLUE WAVE PR MG	224	ITW	SS	5,000	49.03	n/a	n/a	250.00	5.0
PIONEER OAKRIDGE	031	IVZ	B	2,710	27.34	20-Dec	10-Jan	54.20	2.0
U.S.TRUST COMPANY	012	IVZ	B	55,000	28.17	20-Dec	10-Jan	1,650.00	3.0
BUCK CAPITAL MGMT	001	JAH	B	10,000	19.62	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	JCG	B	10,000	42.13	28-Nov	30-Nov	500.00	5.0
FIRST NY SEC/CHRIS	041	JCG	S	4,000	42.39	28-Nov	30-Nov	240.00	6.0
PIONEER OAKRIDGE	031	JCI	B	1,730	33.34	6-Nov	6-Nov	34.60	2.0
BUCK CAPITAL MGMT	001	JCP	B	100,000	37.27	4-Jan	7-Jan	4,000.00	4.0
Õ Michael Marrano		JMBA	B	1000	3.47	n/a	n/a	0.00	0.0
BENCHMARK	028	JNS	B	15,000	28.75	9-Jan	9-Jan	750.00	5.0
SARAS CAPITAL	038	JNS	SS	25,000	28.43	9-Jan	9-Jan	1,250.00	5.0
BUCK CAPITAL MGMT	001	JNY	B	300,000	13.78	n/a	1-Nov	12,000.00	4.0
COUGAR TRADING	044	JWN	B	15,000	32.03	20-Nov	7-Jan	750.00	5.0
SYSTEMATIC FINANCIAL MGT	035	KCP	B	5,000	14.01	28-Sep	28-Sep	187.50	3.8
MS PRINCIPAL STRATEGIES	041	KND	SS	25,000	24.19	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	KSS	B	40,000	40.95	4-Jan	7-Jan	1,600.00	4.0
COUGAR TRADING	044	KSS	SS	15,000	40.87	4-Jan	7-Jan	750.00	5.0
CARLYLE BLUE WAVE PR MG	224	LEA	B	5,000	25.14	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	LEG	SS	20,000	16.16	n/a	n/a	800.00	4.0
ROSENBERG	034	LEH	B	100	55.49	n/a	19-Dec	0.00	0.0
GAULT	063	LEH	B	500	55.64	n/a	19-Dec	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GAULT	063	LEH	S	500	58.30	n/a	19-Dec	0.00	0.0
LUCHANSKY1	036	LLL	SS	200	106.54	n/a	n/a	0.00	0.0
BUCK	015	LM	C	800	73.52	17-Dec	9-Jan	0.00	0.0
B BUCK CAPITAL MGMT		LTD	C	80,000	16.01	n/a	7-Jan	non-brg	4.0
PIONEER OAKRIDGE	031	MAR	B	1,455	33.60	n/a	n/a	29.10	2.0
B BUCK CAPITAL MGMT		MA	SS	10,000	195.07	n/a	n/a	non-brg	4.0
CATAPULT	040	MER	B	5,000	50.80	24-Dec	24-Dec	250.00	5.0
PILOT ROCK	028	MER	B	165,420	50.55	24-Dec	24-Dec	6,616.80	4.0
TRIVIUM CAP MGMT	251	MLNX	SS	25,000	16.16	n/a	n/a	1,000.00	4.0
B BUCK CAPITAL MGMT		MPWR	C	25,000	16.73	n/a	n/a	non-brg	4.0
PIONEER OAKRIDGE	031	MSFT	B	2,480	34.07	n/a	3-Apr	49.60	2.0
B BUCK CAPITAL MGMT		MSMSBMV2	C	83,400	88.85	n/a	n/a	non-brg	8.9
ROSENBERG	034	MS	B	200	47.38	20-Dec	20-Dec	0.00	0.0
BEAR STEARNS ASSET MGMT.	033	M	B	124,500	22.66	4-Jan	7-Jan	4,980.00	4.0
B BUCK CAPITAL MGMT		M	B	32,000	22.96	4-Jan	7-Jan	non-brg	4.0
COUGAR TRADING	044	M	S	20,000	22.50	4-Jan	7-Jan	1,000.00	5.0
J L F ASSET MGMT	039	M	B	35,100	22.60	4-Jan	7-Jan	1,404.00	4.0
JP MORGAN VENTURES	046	M	B	20,000	22.83	4-Jan	7-Jan	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THE JAY GOLDMAN	034	M	B	80,000	22.16	4-Jan	7-Jan	3,200.00	4.0
LISTED ERR	099	M	S	56	22.60	4-Jan	7-Jan	0.00	0.0
PROSPECTOR PARTNERS LLC	036	NP	B	10,000	26.79	8-Jan	8-Jan	400.00	4.0
PIONEER OAKRIDGE	031	NVDA	B	1,650	28.11	n/a	n/a	33.00	2.0
PIONEER OAKRIDGE	031	NVS	B	1,145	58.82	n/a	n/a	22.90	2.0
PIONEER OAKRIDGE	031	NWSA	B	3,155	19.14	n/a	n/a	63.10	2.0
MATRIX ASSET ADV.	036	ODP	S	20,000	12.19	27-Jul	27-Jul	600.00	3.0
LEDDY	035	OPY	S	600	37.60	n/a	n/a	0.00	0.0
PILOT ADV	038	ORLY	B	9,300	25.00	n/a	n/a	372.00	4.0
PIONEER OAKRIDGE	031	PCP	B	445	125.15	n/a	n/a	8.90	2.0
B BUCK CAPITAL MGMT		PDE	SS	30,000	32.52	n/a	n/a	non-brg	4.0
PIONEER OAKRIDGE	031	PEP	B	1,125	79.12	n/a	n/a	22.50	2.0
B BUCK CAPITAL MGMT		PERY	B	40,000	14.81	n/a	n/a	non-brg	1.0
INDEPENDENCE INV	039	PFE	S	27,970	23.85	n/a	31-Mar	1,118.80	4.0
PIONEER OAKRIDGE	031	PG	B	1,340	72.46	11-Dec	11-Dec	26.80	2.0
COUGAR TRADING	044	PLCE	S	10,000	20.76	10-Jan	10-Jan	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL LYNCH STRATEGICI	034	PLCE	B	20,000	19.96	10-Jan	10-Jan	800.00	4.0
BRUNNER	012	PNCL	S	2,000	13.89	n/a	n/a	0.00	0.0
DIAMONDBACK CAP MGMT	232	POT	B	10,000	135.98	n/a	n/a	500.00	5.0
J L F ASSET MGMT	039	PSS	B	65,000	16.13	n/a	n/a	2,600.00	4.0
COUGAR TRADING	044	PSUN	SS	20,000	12.09	n/a	7-Jan	1,000.00	5.0
PIONEER OAKRIDGE	031	QCOM	B	2,240	37.74	n/a	n/a	44.80	2.0
MAGUIRE	039	QID	S	200	42.44	n/a	n/a	0.00	0.0
FIRST NEW YORK LEDDY	035	Q	B	10,000	5.96	n/a	n/a	600.00	6.0
BULL PATH CAPITAL	044	RCL	B	25,000	34.80	23-Oct	23-Oct	1,250.00	5.0
KAICHER	064	REV	S	2,000	1.18	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		RIG	SS	20,000	138.53	n/a	n/a	non-brg	4.0
PIONEER OAKRIDGE	031	RIG	B	485	137.07	n/a	n/a	9.70	2.0
PIONEER OAKRIDGE	031	RTN	B	1,305	61.37	n/a	n/a	26.10	2.0
BUCK	015	SBUX	S	2,000	20.41	n/a	24-Apr	0.00	0.0
PIONEER OAKRIDGE	031	SCHW	B	3,720	23.39	n/a	n/a	74.40	2.0
MAGUIRE	039	SDS	S	100	57.13	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	SLB	B	990	95.35	n/a	n/a	19.80	2.0
PIONEER OAKRIDGE	031	SPLS	B	2,865	21.22	27-Jul	27-Jul	57.30	2.0
B BUCK CAPITAL MGMT		SPY	C	73,600	140.25	n/a	n/a	non-brg	2.0
TRIVIUM CAP MGMT	251	STEC	C	5,400	8.00	n/a	n/a	216.00	4.0
PIONEER OAKRIDGE	031	SYK	B	975	69.75	n/a	n/a	19.50	2.0
PIONEER OAKRIDGE	031	TGT	B	1,135	51.12	27-Jul	27-Jul	22.70	2.0
PECONIC PARTNERS	036	TIF	C	100,000	40.50	18-Oct	7-Jan	5,000.00	5.0
B BUCK CAPITAL MGMT		TIN	B	20,000	16.55	8-Jan	8-Jan	non-brg	4.0
J L F ASSET MGMT	039	TJX	B	87,700	28.32	21-Sep	7-Jan	3,508.00	4.0
WAGONHOUND	048	TJX	S	7,500	27.98	21-Sep	7-Jan	300.00	4.0
PIONEER OAKRIDGE	031	TMO	B	1,335	55.66	n/a	n/a	26.70	2.0
PIONEER OAKRIDGE	031	TXN	B	2,205	30.12	n/a	n/a	44.10	2.0
DIAMONDBACK CAP MGMT	232	TXT	B	20,000	61.79	n/a	n/a	1,000.00	5.0
U.S.TRUST COMPANY	012	TYC	B	55,000	37.70	9-Nov	15-Nov	1,650.00	3.0
OMEGA ADVISORS	041	T	B	260,000	38.79	21-Sep	4-Jan	10,400.00	4.0
MAGUIRE	090	UALBG	S	50	2.25	n/a	n/a	0.00	0.0

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BUCK	015	UBS	B	300	45.79	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		URBN	S	10,000	25.70	3-Jan	7-Jan	non-brg	4.0
SCOPUS FUND	041	USG	B	64,059	31.28	8-Jan	8-Jan	3,202.95	5.0
PIONEER OAKRIDGE	031	UTX	B	935	71.93	n/a	n/a	18.70	2.0
⌘ BUCK CAPITAL MGMT		VCGH	S	10,000	10.98	n/a	n/a	non-brg	4.0
CHARTER OAK	033	VR	S	66,213	26.20	n/a	n/a	3,310.65	5.0
STONERIDGE INV PART	028	WDR	B	36,440	32.80	21-Nov	9-Jan	1,817.50	4.6
STRATTON	N21	WINN	S	200	17.50	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	WLP	B	985	88.72	n/a	n/a	19.70	2.0
AVESTA CAP	229	WMT	B	50,000	47.54	20-Nov	7-Jan	2,500.00	5.0
⌘ BUCK CAPITAL MGMT		WRNC	B	132,613	31.81	6-Nov	12-Nov	non-brg	1.0
⌘ BUCK CAPITAL MGMT		WRNC	B	25,000	31.35	6-Nov	12-Nov	non-brg	4.0
⌘ BUCK CAPITAL MGMT		WRNC	B	50,000	30.84	6-Nov	12-Nov	non-brg	4.0
⌘ BUCK CAPITAL MGMT		WRNC	B	50,000	31.96	6-Nov	12-Nov	non-brg	4.0
⌘ BUCK CAPITAL MGMT		XLF	C	75,000	26.69	n/a	n/a	non-brg	2.0
PIONEER OAKRIDGE	031	XTO	B	1,945	54.63	n/a	n/a	38.90	2.0
CAPITAL GROWTH MGMT.	241	X	B	550,000	109.09	n/a	n/a	22,000.00	4.0

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TRIVIUM CAP MGMT	251	ZRAN	C	11,416	17.95	n/a	n/a	456.64	4.0
TOTAL (Trade Date):							192,610.04		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/09	LISTED ERR	099	CHS	B	50,000	7.32	10-Jan	10-Jan	0.00 0.0
AO,CRT	01/09	LISTED ERR	099	CHS	S	50,000	7.31	10-Jan	10-Jan	0.00 0.0
AO,	01/09	BRIGHTPOINT CAP	067	CHS	S	50,000	7.32	10-Jan	10-Jan	1500.00 3.0
AO,CXL	01/09	BRIGHTPOINT CAP	067	CHS	S	50,000	7.31	10-Jan	10-Jan	2000.00 4.0
AO,CRT	01/09	NOMURA CAPITAL	045	CLUB	S	3,152	10.05	n/a	n/a	157.60 5.0
AO,CXL	01/09	NOMURA CAPITAL	045	CLUB	S	10,000	10.05	n/a	n/a	500.00 5.0
AO,	01/09	NOMURA CAPITAL	045	CLUB	S	6,848	10.05	n/a	n/a	342.40 5.0
AO,	01/09	APEX CAPITAL MGMT.	091	DIS	SS	100,000	30.17	n/a	n/a	5000.00 5.0
AO,CRT	01/09	GEORGE WEISS	034	FOR	B	10,000	18.25	n/a	n/a	400.00 4.0
AO,CRT	01/09	BRIGHTPOINT CAP	067	FOSL	SS	6,000	36.52	13-Nov	13-Nov	240.00 4.0
AO,CXL	01/09	BRIGHTPOINT CAP	067	FOSL	SS	6,000	36.52	13-Nov	13-Nov	300.00 5.0
AO,CXL	01/08	MERRILL LYNCH STRATEGICI	034	FOSL	B	20,000	37.19	13-Nov	13-Nov	800.00 4.0
AO,CRT	01/08	MERRILL LYNCH STRATEGICI	034	FOSL	B	20,000	37.19	13-Nov	13-Nov	800.00 4.0
AO,	01/09	GEORGE WEISS	034	GFG	B	25,000	11.52	n/a	n/a	1000.00 4.0
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	1600.00 4.0
AO,CXL	01/09	MERRILL LYNCH STRATEGICI	034	GPS	B	10,000	18.99	n/a	7-Jan	500.00 5.0
AO,CRT	01/09	MERRILL LYNCH STRATEGICI	034	GPS	B	10,000	18.99	n/a	7-Jan	400.00 4.0
AO,CRT	01/09	SCOPUS FUND	041	HSC	S	21,684	56.50	10-Dec	10-Dec	1084.20 5.0
AO,CXL	01/09	SCOPUS FUND	041	HSC	S	21,684	56.50	10-Dec	10-Dec	1084.20 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	01/08	CUMBERLAND	038	HXM	B	5,000	46.25	n/a	n/a	200.00 4.0
AO,CXL	01/08	CUMBERLAND	038	HXM	B	5,000	46.25	n/a	n/a	250.00 5.0
AO,CXL	01/09	KINGD POINT PARTNERS	067	JNPR	B	120,000	30.28	n/a	22-Mar	6000.00 5.0
AO,CRT	01/09	KINGDON ASSET MGMT	041	JNPR	B	120,000	30.28	n/a	22-Mar	6000.00 5.0
AO,CXL	01/09	CARLYLE BLUE WAVE PR MG	224	NSC	S	5,000	47.36	n/a	n/a	250.00 5.0
AO,CRT	01/09	CARLYLE BLUE WAVE PR MG	224	NSC	S	5,000	47.36	n/a	n/a	250.00 5.0
AO,CRT	01/09	CARLYLE BLUE WAVE PR MG	224	TIN	B	5,000	16.86	8-Jan	8-Jan	250.00 5.0
AO,CXL	01/09	CARLYLE BLUE WAVE PR MG	224	TIN	B	5,000	16.86	8-Jan	8-Jan	250.00 5.0

TOTAL (AO, CXL, CRT) :	5,690.00
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TOTAL (Trade Date) :	192,610.04
TOTAL (AO, CXL, CRT) :	5,690.00

TOTAL (RUN DATE) / NFS:	198,300.04
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MRI Securities with Trade Activity on 10-Jan.
ANF, PLCE

MRI Securities without Trade Activity on 10-Jan.

CHS, TEVA

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

T-Date = 44%

YTD = 35%

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