



Daily Compliance Activity Report

Trade Date: 10/07/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 1

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	ACC	S	30,000	30.76	n/a	n/a	1,200.00	4.0
BUCK CAPITAL MGMT	001	AEO	B	90,000	13.10	n/a	3-Oct	3,600.00	4.0
COUGAR TRADING	044	AEO	B	5,000	13.69	n/a	3-Oct	250.00	5.0
COUGAR TRADING	044	AEO	S	25,000	12.54	n/a	3-Oct	1,250.00	5.0
SIGMA CAPITAL ASSOCIATES	237	AEO	S	47,600	13.11	n/a	3-Oct	2,380.00	5.0
REINHART & MAHONEY	031	AFG	B	10,750	23.43	n/a	n/a	537.50	5.0
PRINCIPLE CAPITAL	040	AMZN	B	35,100	61.67	n/a	n/a	1,404.00	4.0
BUCK CAPITAL MGMT	001	ANF	B	80,000	34.97	7-Aug	3-Oct	3,200.00	4.0
COUGAR TRADING	044	ANF	S	10,000	34.71	7-Aug	3-Oct	500.00	5.0
CATAPULT	040	ANR	S	4,000	35.90	n/a	n/a	200.00	5.0
COUGAR TRADING	044	ARO	B	5,000	28.25	n/a	3-Oct	250.00	5.0
COUGAR TRADING	044	ARO	S	5,000	26.73	n/a	3-Oct	250.00	5.0
BUCK CAPITAL MGMT	001	AVB	S	10,000	80.76	n/a	n/a	400.00	4.0
WILLOW CREEK	033	AVP	SS	3,000	37.26	31-Jul	31-Jul	120.00	4.0
WHEELER	008	AVY	B	3,000	38.18	9-Sep	15-Sep	0.00	0.0
BUCK	015	BBBY	C	1,500	28.75	n/a	n/a	0.00	0.0
DURANGO INVESTMENTS	031	BHI	B	25,000	45.60	n/a	n/a	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEDDY	035	BIG	C	500	25.40	29-May	6-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	BRE	B	11,000	43.35	n/a	n/a	440.00	4.0
BUCK	015	BUD	B	800	63.59	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	BWS	SS	50,000	13.17	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	BXP	B	1,200	81.40	n/a	n/a	48.00	4.0
COLE	077	BZ	B	300	0.99	n/a	n/a	0.00	0.0
BUCK	015	CAT	SS	1,000	49.84	19-Sep	19-Sep	0.00	0.0
BUCK CAPITAL MGMT	001	CBL	S	30,000	12.66	n/a	n/a	1,200.00	4.0
CASTLE ARK	031	CHK	S	192,834	25.15	n/a	n/a	11,570.04	6.0
FRONTPOINT CHRIS C	041	CHK	B	5,400	27.79	n/a	n/a	216.00	4.0
THIRD POINT MGMT	044	COST	C	85,000	59.91	n/a	27-Jul	3,400.00	4.0
REICH AND TANG	067	CR	B	2,000	25.51	n/a	n/a	100.00	5.0
CASTLE ARK	031	CTXS	C	2,070	20.57	n/a	n/a	124.20	6.0
SANDLER O'NEILL ASSET	031	C	S	34,500	17.55	15-Sep	3-Oct	1,725.00	5.0
BUCK	015	C	S	9,100	16.66	15-Sep	3-Oct	0.00	0.0
AMATURO	018	DAVWU	B	30	5.00	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EATON VANCE MGMT	039	DE	S	155,600	36.37	14-Aug	14-Aug	4,668.00	3.0
BUCK CAPITAL MGMT	001	DRE	S	30,000	18.06	n/a	n/a	1,200.00	4.0
HOLDEN CAPITAL MGMT	035	DRYS	B	20,000	23.58	n/a	n/a	1,000.00	5.0
GRANITE CAPITAL	045	DTV	SS	20,000	23.64	n/a	4-Jan	1,000.00	5.0
J ROSEIND	034	DUG	S	100	53.26	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	EDR	S	30,000	9.22	n/a	n/a	1,200.00	4.0
LUCHANSKY1	036	EEM	B	300	28.94	n/a	n/a	0.00	0.0
LUCHANSKY1	036	EEM	S	200	28.39	n/a	n/a	0.00	0.0
BUCK	015	EFA	B	200	50.14	n/a	n/a	0.00	0.0
SIGMA CAPITAL ASSOCIATES	237	EL	S	7,400	44.77	15-Aug	4-Sep	370.00	5.0
MAGNETAR FINANCIAL	031	EMC	B	150,000	10.63	n/a	n/a	4,500.00	3.0
VENTANA CAPITAL	060	EMC	S	7,500	10.65	n/a	n/a	225.00	3.0
NEUBERGER BERMAN	036	ENR	S	22,800	79.13	24-Jul	31-Jul	1,026.00	4.5
ZOLIDIS	011	FINL	C	1,000	7.74	n/a	28-Mar	0.00	0.0
ROTHSCHILD ASSET	040	FLO	S	17,960	29.76	n/a	n/a	808.20	4.5
BUCK CAPITAL MGMT	001	FL	S	156,300	13.90	7-Oct	7-Oct	6,252.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	FR	S	30,000	17.93	n/a	n/a	1,200.00	4.0
BUCK CAPITAL MGMT	001	GES	B	20,000	30.09	n/a	n/a	800.00	4.0
GRANITE CAPITAL	045	GGP	B	12,400	3.99	n/a	n/a	620.00	5.0
COUGAR TRADING	044	GIL	B	5,000	21.82	8-Sep	1-Oct	250.00	5.0
COUGAR TRADING	044	GIL	S	5,000	20.45	8-Sep	1-Oct	250.00	5.0
JP MORGAN VENTURES	046	GIL	S	15,000	20.62	8-Sep	1-Oct	750.00	5.0
LUCHANSKY2	036	GLW	S	100	13.04	n/a	23-Sep	0.00	0.0
BUCK CAPITAL MGMT	001	GRT	S	20,000	6.39	n/a	n/a	800.00	4.0
CATAPULT	040	GR	S	9,300	35.05	3-Oct	3-Oct	465.00	5.0
BUCK	015	GSK	B	300	42.35	n/a	n/a	0.00	0.0
KEEFE BRUYETTE WOODS A	031	GS	S	2,900	118.07	15-Sep	24-Sep	145.00	5.0
LUCHANSKY1	036	GS	S	100	116.07	15-Sep	24-Sep	0.00	0.0
WILLOW CREEK	033	HOG	SS	6,000	31.78	n/a	n/a	240.00	4.0
STRONG/MARK GRONET	030	HOLX	B	25,000	15.62	n/a	n/a	1,000.00	4.0
NOMURA CAPITAL	045	IPHS	B	15,000	18.80	n/a	n/a	750.00	5.0
FRONTPOINT CHRIS C	041	ITW	B	12,300	36.57	12-Aug	12-Aug	492.00	4.0
SANDELL ADV	040	ITW	B	67,100	38.18	12-Aug	12-Aug	4,026.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WILLOW CREEK	033	IYR	SS	2,000	51.54	n/a	n/a	80.00	4.0
COUGAR TRADING	044	JCG	B	5,000	25.56	n/a	17-Sep	250.00	5.0
COUGAR TRADING	044	JCG	S	5,000	24.05	n/a	17-Sep	250.00	5.0
CASEY CAPITAL	067	JNY	B	10,500	15.32	n/a	30-Jul	525.00	5.0
BUCK CAPITAL MGMT	001	JWN	B	50,000	24.51	2-Oct	3-Oct	2,000.00	4.0
REICH AND TANG	067	KMT	B	2,000	23.36	18-Sep	18-Sep	100.00	5.0
MS PRINCIPAL STRATEGIES	041	KOG	S	8,300	1.04	n/a	n/a	166.00	2.0
BUCK CAPITAL MGMT	001	KSS	S	15,000	38.55	n/a	3-Oct	600.00	4.0
ZOLIDIS	011	KSS	C	500	41.05	n/a	3-Oct	0.00	0.0
BUCK	015	KSS	SS	800	39.22	n/a	3-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	LIZ	S	20,000	13.95	n/a	18-Sep	800.00	4.0
GRANITE CAPITAL	045	LMDIA	B	15,000	21.74	n/a	n/a	750.00	5.0
LUCHANSKY1	036	LPX	S	500	7.07	n/a	11-Sep	0.00	0.0
N STRATTON	014	LRN	C	150	22.50	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	LRY	S	30,000	29.59	n/a	n/a	1,200.00	4.0
NEUBERGER BERMAN	036	LRY	S	185,049	29.66	n/a	n/a	8,327.21	4.5
NEUBERGER BERMAN	036	MAA	B	13,500	43.37	n/a	n/a	607.50	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BENCHMARK	028	MA	B	5,000	170.93	n/a	19-Sep	250.00	5.0
KEEFE BRUYETTE WOODS A	031	MER	B	46,300	18.01	24-Jun	19-Sep	2,315.00	5.0
BUCK	015	MER	B	1,250	21.08	24-Jun	19-Sep	0.00	0.0
LUCHANSKY1	036	MMAB	S	900	0.62	n/a	n/a	0.00	0.0
SANDLER O'NEILL ASSET	031	MS	S	50,000	18.02	15-Sep	22-Sep	2,500.00	5.0
LEDDY	035	MWO	B	900	9.20	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	M	S	80,000	14.06	12-Aug	3-Oct	3,200.00	4.0
SLS CAPITAL LLC	224	M	S	118,300	14.10	12-Aug	3-Oct	4,732.00	4.0
BUCK CAPITAL MGMT	001	O	S	30,000	22.99	n/a	n/a	1,200.00	4.0
CATAPULT	040	PCP	B	5,000	68.86	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	PEI	B	17,500	13.64	n/a	n/a	700.00	4.0
JENNISON	032	PEP	B	83,400	66.40	n/a	n/a	3,085.80	3.7
BUCK CAPITAL MGMT	001	PKY	B	6,000	31.65	n/a	n/a	240.00	4.0
COUGAR TRADING	044	PLCE	B	5,000	33.47	21-Aug	3-Oct	250.00	5.0
COUGAR TRADING	044	PLCE	S	5,000	31.32	21-Aug	3-Oct	250.00	5.0
N STRATTON	014	PNWIF	B	1,000	1.50	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	PPS	S	30,000	22.80	n/a	n/a	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	PVH	B	5,000	33.38	n/a	1-Oct	250.00	5.0
BUCK CAPITAL MGMT	001	RL	SS	50,000	55.64	n/a	28-Aug	2,000.00	4.0
SIGMA CAPITAL ASSOCIATES	237	RL	S	25,000	55.81	n/a	28-Aug	1,250.00	5.0
REICH AND TANG	067	ROK	B	2,000	32.40	n/a	n/a	100.00	5.0
WILLOW CREEK	033	SHW	SS	2,000	53.51	n/a	17-Jul	80.00	4.0
BUCK CAPITAL MGMT	001	SKX	B	20,000	13.58	n/a	13-Mar	800.00	4.0
THE BOSTON COMPANY	401	SKX	S	18,380	15.06	n/a	13-Mar	735.20	4.0
NEUBERGER BERMAN	036	SPG	S	114,500	74.86	n/a	n/a	5,152.50	4.5
FRONTPOINT CHRIS C	041	SPY	B	9,000	103.74	n/a	n/a	360.00	4.0
FRONTPOINT CHRIS C	041	SPY	SS	9,000	105.23	n/a	n/a	360.00	4.0
KNOTT PARTNERS	044	SSI	B	45,000	10.65	n/a	3-Oct	1,800.00	4.0
HEALY CIRCLE	044	STT	B	10,000	46.31	n/a	n/a	500.00	5.0
MORTAR ROCK	033	SUP	SS	15,000	16.67	25-Jul	8-Aug	750.00	5.0
MS PRINCIPAL STRATEGIES	041	TEO	B	61,800	12.04	n/a	n/a	3,090.00	5.0
CATAPULT	040	TEX	S	7,000	21.10	9-Sep	9-Sep	350.00	5.0
PILOT ROCK	028	TIF	B	100,000	29.19	n/a	17-Sep	4,000.00	4.0
SIGMA CAPITAL ASSOCIATES	237	TIF	S	58,500	29.05	n/a	17-Sep	2,925.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	TJX	S	220,000	28.07	11-Aug	3-Oct	8,800.00	4.0
COUGAR TRADING	044	TJX	B	6,300	29.70	11-Aug	3-Oct	315.00	5.0
KEEFE BRUYETTE WOODS A	031	TROW	B	3,100	47.28	19-Sep	6-Oct	155.00	5.0
WILLOW CREEK	033	TTC	SS	6,000	37.01	n/a	n/a	240.00	4.0
BUCK CAPITAL MGMT	001	TWB	B	100,000	8.47	n/a	1-Oct	4,000.00	4.0
NWQ INVESTMENT MGMT CO	048	UFS	S	35,100	3.24	n/a	n/a	702.00	2.0
MERRILL ASSET	032	VQ	B	27,900	9.27	n/a	n/a	1,116.00	4.0
AVESTA CAP	229	WMT	S	25,000	54.59	8-Aug	6-Oct	1,250.00	5.0
NWQ INVESTMENT MGMT CO	048	WPP	S	13,000	8.78	n/a	n/a	390.00	3.0
BUCK CAPITAL MGMT	001	WRC	B	20,000	38.11	8-Aug	1-Oct	800.00	4.0
BUCK CAPITAL MGMT	001	WRI	S	50,000	27.13	n/a	n/a	2,000.00	4.0
S.A.C. CAPITAL MGMT.	044	WYE	B	20,000	37.11	n/a	31-Mar	1,000.00	5.0
NATIONAL BK OF CAN	031	XLF	B	35,000	16.22	n/a	n/a	1,400.00	4.0
REINHART & MAHONEY	031	XOM	S	7,848	78.63	n/a	n/a	392.40	5.0
FRONTPOINT CHRIS C	041	XTO	B	2,700	39.61	n/a	n/a	108.00	4.0
BUCK	015	XTYVU	B	4	11.30	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LUCHANSKY2	036	YTEC	S	100	8.46	n/a	n/a	0.00	0.0
BUCK	015	YUM	B	300	28.51	14-Aug	7-Oct	0.00	0.0
NOMURA CAPITAL	045	ZZ	B	20,000	4.68	n/a	n/a	600.00	3.0
TOTAL (Trade Date):							155,001.55		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/06	BMO NESBITT BURNS (BMONFLIP)	041	AN	B	50,542	10.55	25-Jul	28-Jul	2527.10 5.0
AO,CXL	10/02	ROTHSCHILD ASSET (ROTH356)	040	DD	S	970	38.86	n/a	30-Sep	43.65 4.5
AO,	10/02	ROTHSCHILD ASSET (ROTH384)	040	DD	S	970	38.86	n/a	30-Sep	43.65 4.5
CRT	10/07	MAGNETAR FINANCIAL (MAGNGSCO)	031	EMC	B	141,500	10.63	n/a	n/a	4245.00 3.0
AO,CXL	10/01	LUCHANSKY1 (LUCHANSKY1)	036	GS	B	100	134.95	15-Sep	24-Sep	0.00 0.0
AO,CRT	10/01	LUCHANSKY1 (LUCHANSKY1)	036	GS	B	100	134.95	15-Sep	24-Sep	0.00 0.0
CRT	10/07	LUCHANSKY1 (LUCHANSKY1)	036	GS	S	100	116.07	15-Sep	24-Sep	0.00 0.0
AO,	10/06	BMO NESBITT BURNS (BMONFLIP)	041	IP	B	25,000	24.56	22-Sep	22-Sep	1250.00 5.0
AO,	10/06	BMO NESBITT BURNS (BMONFLIP)	041	M	B	25,000	14.57	12-Aug	3-Oct	1250.00 5.0
CRT	10/07	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	M	S	79,900	14.06	12-Aug	3-Oct	3196.00 4.0
AO,CXL	10/01	ROTHSCHILD ASSET (ROTH346)	040	NR	B	40	6.95	n/a	n/a	1.80 4.5
AO,	10/01	ROTHSCHILD ASSET (ROTH345)	040	NR	B	40	6.95	n/a	n/a	1.80 4.5
AO,	10/06	NOMURA CAPITAL (NOMUBSMAIN)	045	NRG	S	1,900	19.73	n/a	n/a	95.00 5.0
AO,	10/06	NOMURA CAPITAL (NOMUSTRATE)	045	NRG	S	1,200	19.73	n/a	n/a	60.00 5.0
AO,	10/06	NOMURA CAPITAL (NOMUBATT2)	045	NRG	S	1,800	19.73	n/a	n/a	90.00 5.0
AO,	10/06	SISI (SISI1BOM47)	030	RCL	B	50	16.55	23-Jul	23-Jul	2.50 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI190SCL)	030	RCL	B	850	16.55	23-Jul	23-Jul	42.50 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI190PRL)	030	RCL	B	275	16.55	23-Jul	23-Jul	13.75 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI190270)	030	RCL	B	525	16.55	23-Jul	23-Jul	26.25 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/06	DISIPLINED GROWTH INV. (DISI190SCL)	030	RCL	B	2,550	16.55	23-Jul	23-Jul	127.50 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI190LEV)	030	RCL	B	200	16.55	23-Jul	23-Jul	10.00 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI190BUR)	030	RCL	B	125	16.55	23-Jul	23-Jul	6.25 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI190967)	030	RCL	B	6,225	16.55	23-Jul	23-Jul	311.25 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI190497)	030	RCL	B	500	16.55	23-Jul	23-Jul	25.00 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI190345)	030	RCL	B	575	16.55	23-Jul	23-Jul	28.75 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISIOMINBU)	030	RCL	B	14,825	16.55	23-Jul	23-Jul	741.25 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI190406)	030	RCL	B	50	16.55	23-Jul	23-Jul	2.50 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI190195)	030	RCL	B	3,400	16.55	23-Jul	23-Jul	170.00 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI190194)	030	RCL	B	3,625	16.55	23-Jul	23-Jul	181.25 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI190194)	030	RCL	B	600	16.55	23-Jul	23-Jul	30.00 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI190194)	030	RCL	B	450	16.55	23-Jul	23-Jul	22.50 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI1BOM45)	030	RCL	B	50	16.55	23-Jul	23-Jul	2.50 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI1BOM46)	030	RCL	B	25	16.55	23-Jul	23-Jul	1.25 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI1BOM48)	030	RCL	B	25	16.55	23-Jul	23-Jul	1.25 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI1BOM53)	030	RCL	B	25	16.55	23-Jul	23-Jul	1.25 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISIBREBLK)	030	RCL	B	950	16.55	23-Jul	23-Jul	47.50 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI1BOM50)	030	RCL	B	50	16.55	23-Jul	23-Jul	2.50 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI1BOM49)	030	RCL	B	50	16.55	23-Jul	23-Jul	2.50 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI190TRI)	030	RCL	B	225	16.55	23-Jul	23-Jul	11.25 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI190QHS)	030	RCL	B	1,075	16.55	23-Jul	23-Jul	53.75 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI1BOM27)	030	RCL	B	75	16.55	23-Jul	23-Jul	3.75 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI1BOM33)	030	RCL	B	25	16.55	23-Jul	23-Jul	1.25 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI1BOM35)	030	RCL	B	50	16.55	23-Jul	23-Jul	2.50 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI1BOM38)	030	RCL	B	125	16.55	23-Jul	23-Jul	6.25 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI1BOM40)	030	RCL	B	25	16.55	23-Jul	23-Jul	1.25 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI1BOM41)	030	RCL	B	25	16.55	23-Jul	23-Jul	1.25 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI1BOM25)	030	RCL	B	25	16.55	23-Jul	23-Jul	1.25 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI1BOM26)	030	RCL	B	25	16.55	23-Jul	23-Jul	1.25 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI190MEY)	030	RCL	B	850	16.55	23-Jul	23-Jul	42.50 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/06	DISIPLINED GROWTH INV. (DISI1BOM28)	030	RCL	B	50	16.55	23-Jul	23-Jul	2.50 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI1900OP)	030	RCL	B	75	16.55	23-Jul	23-Jul	3.75 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI190GEO)	030	RCL	B	375	16.55	23-Jul	23-Jul	18.75 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI190SIN)	030	RCL	B	525	16.55	23-Jul	23-Jul	26.25 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI1BOM18)	030	RCL	B	75	16.55	23-Jul	23-Jul	3.75 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI1BOM13)	030	RCL	B	25	16.55	23-Jul	23-Jul	1.25 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI190MCC)	030	RCL	B	200	16.55	23-Jul	23-Jul	10.00 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI190263)	030	RCL	B	525	16.55	23-Jul	23-Jul	26.25 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI190263)	030	RCL	B	425	16.55	23-Jul	23-Jul	21.25 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI190263)	030	RCL	B	75	16.55	23-Jul	23-Jul	3.75 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI190263)	030	RCL	B	350	16.55	23-Jul	23-Jul	17.50 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI190216)	030	RCL	B	3,900	16.55	23-Jul	23-Jul	195.00 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI190194)	030	RCL	B	150	16.55	23-Jul	23-Jul	7.50 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI190194)	030	RCL	B	425	16.55	23-Jul	23-Jul	21.25 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI190UMC)	030	RCL	B	16,175	16.55	23-Jul	23-Jul	808.75 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI190194)	030	RCL	B	950	16.55	23-Jul	23-Jul	47.50 5.0
AO,	10/06	DISIPLINED GROWTH INV. (DISI190NIA)	030	RCL	B	350	16.55	23-Jul	23-Jul	17.50 5.0
AO,	10/06	NOMURA CAPITAL (NOMUBATT2)	045	SMG	S	1,300	21.39	22-Sep	22-Sep	65.00 5.0
AO,	10/06	NOMURA CAPITAL (NOMUBSMAIN)	045	SMG	S	1,000	21.39	22-Sep	22-Sep	50.00 5.0
AO,	10/06	BMO NESBITT BURNS (BMONFLIP)	041	SSCC	B	100,000	3.46	30-Jul	22-Sep	5000.00 5.0
AO,CXL	10/06	S.A.C. CAPITAL MGMT. (SACCNEW)	044	TJX	B	30,000	29.21	11-Aug	3-Oct	1500.00 5.0
AO,CRT	10/06	SAC TRADING HOWARD (SACHGS)	038	TJX	B	30,000	29.21	11-Aug	3-Oct	1500.00 5.0
AO,CXL	10/06	COUGAR TRADING (COUGCITI)	044	URBN	SS	5,000	25.00	14-Aug	1-Oct	250.00 5.0
AO,CRT	10/06	COUGAR TRADING (COUGPB MS)	044	URBN	SS	5,000	25.00	14-Aug	1-Oct	250.00 5.0
AO,	10/06	BMO NESBITT BURNS (BMONFLIP)	041	WY	B	25,000	54.56	n/a	11-Sep	1250.00 5.0

TOTAL (AO, CXL, CRT) :

22,236.85

TOTAL (Trade Date):	155,001.55
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TOTAL (AO, CXL, CRT):	22,236.85
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TOTAL (RUN DATE) / NFS:	177,238.40
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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