



## Daily Compliance Activity Report

Trade Date: 09/16/2010

### POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PARAMETER CAPITAL MGMT LLC044		AMTD	SS	128,000	15.54	n/a	n/a	4,480.00	3.5
JP MORGAN VENTURES	046	ANN	B	10,000	18.63	n/a	n/a	500.00	5.0
CONIFER/ISF	025	APOL	B	3,750	48.48	n/a	n/a	187.50	5.0
L.R.BURTSCHY & CO	029	AXL	B	50,000	8.62	n/a	4-Aug	3,000.00	6.0
TROUBH PART	067	BBY	B	25,000	36.98	n/a	n/a	1,250.00	5.0
PIONEER MICHAEL NOLAN	067	BRCD	S	95,000	5.75	n/a	n/a	2,850.00	3.0
CATAPULT	040	CCK	SS	5,000	28.99	n/a	n/a	250.00	5.0
NEWLAND CAPITAL MGT	067	CLU	S	35,000	11.87	n/a	n/a	1,400.00	4.0
BAYPOINT CRIT/B COLBURN	033	CMCSA	SS	40,000	17.60	n/a	n/a	2,000.00	5.0
ROSEDALE CAPITAL	046	CMCSA	B	25,000	17.73	n/a	n/a	1,250.00	5.0
KACELA CAPITAL	034	COH	S	18,000	41.08	n/a	4-Aug	720.00	4.0
TPG-AXON	040	CSCO	C	133,000	21.80	n/a	n/a	6,650.00	5.0
SIGMA CAP BOBBY	044	CX	B	50,000	8.30	n/a	n/a	1,750.00	3.5
MISSION POINT	048	DOV	S	4,000	49.69	n/a	n/a	200.00	5.0
LOMBARDIA CAP MGMT	084	ECL	S	21,188	49.91	n/a	27-Jul	1,059.40	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	EMN	B	10,000	69.28	n/a	n/a	500.00	5.0
DAVIDSON KEMPNER ADVISOR	040	FCX	B	50,000	82.16	n/a	n/a	2,500.00	5.0
SCOPUS FUND	041	FINL	B	16,800	15.41	n/a	n/a	840.00	5.0
JP MORGAN VENTURES	046	FL	B	10,000	13.93	n/a	20-Aug	500.00	5.0
SONTERRA CAP	041	FTO	B	38,600	13.15	n/a	n/a	1,544.00	4.0
BALYASNY ASSET MGMT	044	F	SS	100,000	12.45	n/a	2-Sep	5,000.00	5.0
FIRST NY SEC/CHRIS	041	F	SS	50,000	12.43	n/a	2-Sep	1,500.00	3.0
TRELLUS PARTNERS LP	028	F	SS	25,000	12.09	n/a	2-Sep	1,250.00	5.0
KACELA CAPITAL	034	GIS	S	16,000	36.71	n/a	n/a	640.00	4.0
PARAMETER CAPITAL MGMT LLC	044	GS	SS	13,000	151.88	n/a	15-Sep	455.00	3.5
ROXBURY CAPITAL MGMT	035	HEK	S	47,600	3.89	n/a	n/a	952.00	2.0
CATAPULT	040	HON	B	10,000	43.72	n/a	18-Aug	500.00	5.0
SAC ENERGY GS-BOB	044	IGT	B	75,000	15.21	n/a	28-Jul	2,625.00	3.5
AVESTA CAP	229	INTC	SS	100,000	18.70	n/a	n/a	3,000.00	3.0
RBC CAPITAL MARKETS	040	IP	B	25,000	22.91	n/a	26-Aug	1,000.00	4.0
WEINTRAUB CAPITAL MGT.	040	IP	S	200,000	22.78	n/a	26-Aug	8,000.00	4.0
BALYASNY ASSET MGMT	044	JCP	S	25,000	23.93	n/a	2-Sep	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EGS ASSOCIATES LP	091	JNY	B	4,000	18.52	n/a	29-Jul	240.00	6.0
BALYASNY ASSET MGMT	044	KO	C	25,000	57.33	n/a	22-Jul	1,250.00	5.0
LONG OAR GLOBAL INV	040	LALLF	B	36,600	21.99	n/a	n/a	1,464.00	4.0
SIGMA CAPITAL ASSOCIATES	041	LOW	S	100,000	21.25	n/a	16-Aug	3,500.00	3.5
WHALE ROCK CAP	030	LULU	S	55,465	43.33	n/a	n/a	2,218.60	4.0
MISSION POINT	048	MSM	B	12,600	51.63	n/a	n/a	630.00	5.0
CATAPULT	040	OMG	B	10,000	29.37	n/a	n/a	500.00	5.0
ADALY INV MGMT	031	PAG	B	361	11.95	n/a	4-Aug	14.44	4.0
TRELLUS PARTNERS LP	028	PAG	B	3,000	11.90	n/a	4-Aug	150.00	5.0
MERRILL ASSET/BLACKROCK	266	PJC	B	15,300	29.89	n/a	n/a	612.00	4.0
HOPLITE MGMT	025	PXD	C	63,903	64.92	n/a	29-Jul	3,195.15	5.0
DENVER INST. ADV	046	QCOR	B	45,000	10.26	n/a	n/a	1,800.00	4.0
CATAPULT	040	ROC	B	10,000	30.11	n/a	n/a	500.00	5.0
JP MORGAN VENTURES	046	SAI	B	20,000	15.54	n/a	n/a	1,000.00	5.0
SCOPUS FUND	041	SKS	B	7,408	8.58	n/a	n/a	370.40	5.0
MACKLOWE ASSET MGMT	041	SPLS	SS	25,000	19.42	n/a	n/a	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MACKLOWE ASSET MGMT	041	SPLS	S	60,000	19.45	n/a	n/a	2,400.00	4.0
PZENA INV ADV	044	TEL	B	6,725	27.23	n/a	n/a	235.38	3.5
RBC CAPITAL MARKETS	040	TIN	B	25,000	19.62	n/a	26-Aug	1,000.00	4.0
TROUBH PART	067	TLB	B	25,000	11.77	n/a	n/a	1,250.00	5.0
BAYPOINT CRIT/B COLBURN	033	TWC	SS	30,000	51.38	n/a	n/a	1,500.00	5.0
PARAMETER CAPITAL MGMT LLC	044	USB	SS	178,000	22.51	n/a	n/a	6,230.00	3.5
CATAPULT	040	UTX	B	10,000	68.46	n/a	n/a	500.00	5.0
DAVIDSON KEMPNER ADVISOR	040	VALE	SS	124,400	28.05	n/a	n/a	6,220.00	5.0
RBC CAPITAL MARKETS	040	VALE	SS	20,000	27.96	n/a	n/a	800.00	4.0
SAC ENERGY GS-BOB	044	WMS	S	24,779	39.07	n/a	n/a	867.27	3.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WRC</b>	<b>S</b>	<b>50,000</b>	<b>47.87</b>	<b>n/a</b>	<b>6-Aug</b>	<b>2,000.00</b>	<b>4.0</b>
MORTAR ROCK	033	WYNN	SS	10,000	89.85	n/a	10-Sep	400.00	4.0
SIGMA CAP BOBBY	044	XRX	SS	25,000	9.95	n/a	n/a	875.00	3.5
BASCOM HILL PARTNERS LLC	033	X	B	5,000	46.50	n/a	n/a	150.00	3.0
ONE EAST CAP ADV LP	048	YHOO	S	15,000	14.12	n/a	n/a	0.00	0.0

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**TOTAL (Trade Date):**

**102,475.14**

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**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	09/16	SONTERRA CAP (SONTGSRBUK)	041	FTO	B	38,600	13.15	n/a	n/a	1544.00 4.0
AO,	09/15	ROXBURY CAPITAL MGMT (ROXB40474)	035	HEK	S	1,675	3.95	n/a	n/a	33.50 2.0
AO,	09/15	ROXBURY CAPITAL MGMT (ROXB40467)	035	HEK	S	11,040	3.95	n/a	n/a	220.80 2.0
AO,	09/15	ROXBURY CAPITAL MGMT (ROXB40459)	035	HEK	S	3,245	3.95	n/a	n/a	64.90 2.0
AO,	09/15	ROXBURY CAPITAL MGMT (ROXB40450)	035	HEK	S	12,250	3.95	n/a	n/a	245.00 2.0
AO,	09/15	ROXBURY CAPITAL MGMT (ROXB40454)	035	HEK	S	3,850	3.95	n/a	n/a	77.00 2.0
AO,	09/15	ROXBURY CAPITAL MGMT (ROXB40424)	035	HEK	S	400	3.95	n/a	n/a	8.00 2.0
AO,	09/15	ROXBURY CAPITAL MGMT (ROXB40429)	035	HEK	S	305	3.95	n/a	n/a	6.10 2.0
AO,	09/15	ROXBURY CAPITAL MGMT (ROXB40446)	035	HEK	S	8,500	3.95	n/a	n/a	170.00 2.0
AO,	09/15	ROXBURY CAPITAL MGMT (ROXB40434)	035	HEK	S	23,890	3.95	n/a	n/a	477.80 2.0
AO,	09/15	ROXBURY CAPITAL MGMT (ROXB40390)	035	HEK	S	185	3.95	n/a	n/a	3.70 2.0
AO,	09/15	ROXBURY CAPITAL MGMT (ROXB40372)	035	HEK	S	480	3.95	n/a	n/a	9.60 2.0
AO,	09/15	ROXBURY CAPITAL MGMT (ROXB40373)	035	HEK	S	480	3.95	n/a	n/a	9.60 2.0
AO,	09/15	ROXBURY CAPITAL MGMT (ROXB40369)	035	HEK	S	6,365	3.95	n/a	n/a	127.30 2.0
AO,	09/15	ROXBURY CAPITAL MGMT (ROXB40368)	035	HEK	S	4,295	3.95	n/a	n/a	85.90 2.0
AO,	09/15	ROXBURY CAPITAL MGMT (ROXB40364)	035	HEK	S	1,045	3.95	n/a	n/a	20.90 2.0
AO,	09/15	ROXBURY CAPITAL MGMT (ROXB40351)	035	HEK	S	2,645	3.95	n/a	n/a	52.90 2.0
AO,	09/15	ROXBURY CAPITAL MGMT (ROXB40336)	035	HEK	S	4,145	3.95	n/a	n/a	82.90 2.0
AO,	09/15	ROXBURY CAPITAL MGMT (ROXB40335)	035	HEK	S	1,585	3.95	n/a	n/a	31.70 2.0
AO,	09/15	ROXBURY CAPITAL MGMT (ROXB40328)	035	HEK	S	210	3.95	n/a	n/a	4.20 2.0
AO,	09/15	ROXBURY CAPITAL MGMT (ROXB39951)	035	HEK	S	330	3.95	n/a	n/a	6.60 2.0
AO,	09/15	ROXBURY CAPITAL MGMT (ROXB40030)	035	HEK	S	110	3.95	n/a	n/a	2.20 2.0
AO,	09/15	ROXBURY CAPITAL MGMT (ROXB39993)	035	HEK	S	11,230	3.95	n/a	n/a	224.60 2.0
AO,	09/15	ROXBURY CAPITAL MGMT (ROXB40381)	035	HEK	S	910	3.95	n/a	n/a	18.20 2.0
AO,	09/15	ROXBURY CAPITAL MGMT (ROXB40542)	035	HEK	S	730	3.95	n/a	n/a	14.60 2.0
AO,	09/15	ROXBURY CAPITAL MGMT (ROXB40504)	035	HEK	S	560	3.95	n/a	n/a	11.20 2.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/15	ROXBURY CAPITAL MGMT (ROXB40548)	035	HEK	S	7,495	3.95	n/a	n/a	149.90 2.0
AO,	09/15	ROXBURY CAPITAL MGMT (ROXB40520)	035	HEK	S	1,280	3.95	n/a	n/a	25.60 2.0
AO,	09/15	ROXBURY CAPITAL MGMT (ROXB40549)	035	HEK	S	330	3.95	n/a	n/a	6.60 2.0
AO,	09/15	ROXBURY CAPITAL MGMT (ROXB40521)	035	HEK	S	1,565	3.95	n/a	n/a	31.30 2.0
AO,	09/15	ROXBURY CAPITAL MGMT (ROXB40400)	035	HEK	S	895	3.95	n/a	n/a	17.90 2.0
AO,	09/15	ROXBURY CAPITAL MGMT (ROXB40517)	035	HEK	S	215	3.95	n/a	n/a	4.30 2.0
AO,	09/15	ROXBURY CAPITAL MGMT (ROXB40951)	035	HEK	S	3,870	3.95	n/a	n/a	77.40 2.0
AO,	09/15	ROXBURY CAPITAL MGMT (ROXB40952)	035	HEK	S	2,420	3.95	n/a	n/a	48.40 2.0
AO,	09/15	ROXBURY CAPITAL MGMT (ROXB40953)	035	HEK	S	1,580	3.95	n/a	n/a	31.60 2.0
AO,	09/15	ROXBURY CAPITAL MGMT (ROXB40794)	035	HEK	S	2,160	3.95	n/a	n/a	43.20 2.0
AO,	09/15	ROXBURY CAPITAL MGMT (ROXB40795)	035	HEK	S	2,730	3.95	n/a	n/a	54.60 2.0
AO,CXL	09/15	WINSLOW CAPITAL (WINS132)	030	ORLY	S	300	51.14	n/a	n/a	12.00 4.0
AO,CRT	09/15	WINSLOW CAPITAL (WINS132)	030	ORLY	S	300	51.14	n/a	n/a	9.00 3.0
AO,	09/15	STHT (STHTST282)	047	TRW	S	6,900	35.04	n/a	n/a	276.00 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST2325)	047	TRW	S	305	35.04	n/a	n/a	12.20 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST1886)	047	TRW	S	530	35.04	n/a	n/a	21.20 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST2272)	047	TRW	S	130	35.04	n/a	n/a	5.20 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST2263)	047	TRW	S	150	35.04	n/a	n/a	6.00 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST2247)	047	TRW	S	50	35.04	n/a	n/a	2.00 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST1886)	047	TRW	S	350	35.04	n/a	n/a	14.00 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST2253)	047	TRW	S	55	35.04	n/a	n/a	2.20 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST2233)	047	TRW	S	125	35.04	n/a	n/a	5.00 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST0900)	047	TRW	S	710	35.04	n/a	n/a	28.40 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST2377)	047	TRW	S	65	35.04	n/a	n/a	2.60 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTBO8316)	047	TRW	S	11,400	35.04	n/a	n/a	456.00 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST2211)	047	TRW	S	710	35.04	n/a	n/a	28.40 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST2373)	047	TRW	S	220	35.04	n/a	n/a	8.80 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST1354)	047	TRW	S	300	35.04	n/a	n/a	12.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST322)	047	TRW	S	70	35.04	n/a	n/a	2.80 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST296)	047	TRW	S	360	35.04	n/a	n/a	14.40 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST267)	047	TRW	S	5,160	35.04	n/a	n/a	206.40 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST281)	047	TRW	S	460	35.04	n/a	n/a	18.40 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST255)	047	TRW	S	1,600	35.04	n/a	n/a	64.00 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST1881)	047	TRW	S	270	35.04	n/a	n/a	10.80 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST1558)	047	TRW	S	3,400	35.04	n/a	n/a	136.00 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTBO8316)	047	TRW	S	3,200	35.04	n/a	n/a	128.00 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST174)	047	TRW	S	450	35.04	n/a	n/a	18.00 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST2001)	047	TRW	S	400	35.04	n/a	n/a	16.00 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTBO8316)	047	TRW	S	15,500	35.04	n/a	n/a	620.00 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST182)	047	TRW	S	1,400	35.04	n/a	n/a	56.00 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST966)	047	TRW	S	17,700	35.04	n/a	n/a	708.00 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST0664)	047	TRW	S	210	35.04	n/a	n/a	8.40 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST2056)	047	TRW	S	430	35.04	n/a	n/a	17.20 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST9976)	047	TRW	S	9,200	35.04	n/a	n/a	368.00 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST2396)	047	TRW	S	145	35.04	n/a	n/a	5.80 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST903)	047	TRW	S	25	35.04	n/a	n/a	1.00 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST200)	047	TRW	S	530	35.04	n/a	n/a	21.20 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST902)	047	TRW	S	360	35.04	n/a	n/a	14.40 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST2396)	047	TRW	S	370	35.04	n/a	n/a	14.80 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST875)	047	TRW	S	25	35.04	n/a	n/a	1.00 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST1859)	047	TRW	S	600	35.04	n/a	n/a	24.00 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST873)	047	TRW	S	15	35.04	n/a	n/a	0.60 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST2281)	047	TRW	S	550	35.04	n/a	n/a	22.00 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST874)	047	TRW	S	60	35.04	n/a	n/a	2.40 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST2274)	047	TRW	S	145	35.04	n/a	n/a	5.80 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHT228112)	047	TRW	S	460	35.04	n/a	n/a	18.40 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST2357)	047	TRW	S	170	35.04	n/a	n/a	6.80 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST2373)	047	TRW	S	20	35.04	n/a	n/a	0.80 4.0



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AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST1852)	047	TRW	S	2,200	35.04	n/a	n/a	88.00 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHT240291)	047	TRW	S	140	35.04	n/a	n/a	5.60 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST2390)	047	TRW	S	230	35.04	n/a	n/a	9.20 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST2396)	047	TRW	S	65	35.04	n/a	n/a	2.60 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST2373)	047	TRW	S	50	35.04	n/a	n/a	2.00 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHT239284)	047	TRW	S	190	35.04	n/a	n/a	7.60 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST2390)	047	TRW	S	50	35.04	n/a	n/a	2.00 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHT239499)	047	TRW	S	4,770	35.04	n/a	n/a	190.80 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST2373)	047	TRW	S	20	35.04	n/a	n/a	0.80 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHT22859)	047	TRW	S	470	35.04	n/a	n/a	18.80 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST2390)	047	TRW	S	540	35.04	n/a	n/a	21.60 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST2377)	047	TRW	S	60	35.04	n/a	n/a	2.40 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST2372)	047	TRW	S	70	35.04	n/a	n/a	2.80 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST237)	047	TRW	S	320	35.04	n/a	n/a	12.80 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST2357)	047	TRW	S	380	35.04	n/a	n/a	15.20 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST6096)	047	TRW	S	30	35.04	n/a	n/a	1.20 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST699)	047	TRW	S	760	35.04	n/a	n/a	30.40 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHT223325)	047	TRW	S	190	35.04	n/a	n/a	7.60 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST6089)	047	TRW	S	40	35.04	n/a	n/a	1.60 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST2345)	047	TRW	S	1,520	35.04	n/a	n/a	60.80 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST6083)	047	TRW	S	120	35.04	n/a	n/a	4.80 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST6082)	047	TRW	S	80	35.04	n/a	n/a	3.20 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST1807)	047	TRW	S	65	35.04	n/a	n/a	2.60 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST528)	047	TRW	S	40	35.04	n/a	n/a	1.60 4.0
AO,	09/15	STRONG/WELLS CAP ANN F (SCHTST561)	047	TRW	S	2,315	35.04	n/a	n/a	92.60 4.0
AO,CXL	09/15	OZ MGMT (OZFFCSFB)	040	WMT	B	3,433	53.02	n/a	7-Sep	68.66 2.0
AO,CXL	09/15	OZ MGMT (OZFFCSFB)	040	WMT	B	83,864	53.02	n/a	7-Sep	1677.28 2.0
AO,CXL	09/15	OZ MGMT (OZFFCSFB)	040	WMT	B	1,693	53.02	n/a	7-Sep	33.86 2.0
AO,CXL	09/15	OZ MGMT (OZFFCSFB)	040	WMT	B	4,086	53.02	n/a	7-Sep	81.72 2.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/15	OZ MGMT (OZFFCSFB)	040	WMT	B	4,256	53.02	n/a	7-Sep	85.12 2.0
AO,	09/15	OZ MGMT (OZFFCSFB)	040	WMT	B	4,086	53.02	n/a	7-Sep	122.58 3.0
AO,	09/15	OZ MGMT (OZFFCSFB)	040	WMT	B	1,693	53.02	n/a	7-Sep	50.79 3.0
AO,	09/15	OZ MGMT (OZFFCSFB)	040	WMT	B	83,864	53.02	n/a	7-Sep	2515.92 3.0
AO,	09/15	OZ MGMT (OZFFCSFB)	040	WMT	B	3,433	53.02	n/a	7-Sep	102.99 3.0
AO,	09/15	OZ MGMT (OZFFCSFB)	040	WMT	B	4,256	53.02	n/a	7-Sep	127.68 3.0
AO,CXL	09/15	OZ MGMT (OZFFMS)	040	WMT	B	2,668	53.02	n/a	7-Sep	53.36 2.0
AO,	09/15	OZ MGMT (OZFFMS)	040	WMT	B	2,668	53.02	n/a	7-Sep	80.04 3.0
AO,CXL	09/15	OZ MGMT (OZFFCSFB)	040	WMT	SS	3,433	52.80	n/a	7-Sep	68.66 2.0
AO,CXL	09/15	OZ MGMT (OZFFCSFB)	040	WMT	SS	83,864	52.80	n/a	7-Sep	1677.28 2.0
AO,CXL	09/15	OZ MGMT (OZFFCSFB)	040	WMT	SS	1,693	52.80	n/a	7-Sep	33.86 2.0
AO,CXL	09/15	OZ MGMT (OZFFCSFB)	040	WMT	SS	4,086	52.80	n/a	7-Sep	81.72 2.0
AO,CXL	09/15	OZ MGMT (OZFFCSFB)	040	WMT	SS	4,256	52.80	n/a	7-Sep	85.12 2.0
AO,	09/15	OZ MGMT (OZFFCSFB)	040	WMT	SS	4,086	52.80	n/a	7-Sep	122.58 3.0
AO,	09/15	OZ MGMT (OZFFCSFB)	040	WMT	SS	1,693	52.80	n/a	7-Sep	50.79 3.0
AO,	09/15	OZ MGMT (OZFFCSFB)	040	WMT	SS	83,864	52.80	n/a	7-Sep	2515.92 3.0
AO,	09/15	OZ MGMT (OZFFCSFB)	040	WMT	SS	3,433	52.80	n/a	7-Sep	102.99 3.0
AO,	09/15	OZ MGMT (OZFFCSFB)	040	WMT	SS	4,256	52.80	n/a	7-Sep	127.68 3.0
AO,CXL	09/15	OZ MGMT (OZFFMS)	040	WMT	SS	2,668	52.80	n/a	7-Sep	53.36 2.0
AO,	09/15	OZ MGMT (OZFFMS)	040	WMT	SS	2,668	52.80	n/a	7-Sep	80.04 3.0

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

**10,041.00**

TOTAL (Trade Date) :

102,475.14

TOTAL (AO, CXL, CRT) :

10,041.00

**TOTAL (RUN DATE) / NFS:**

**112,516.14**

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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