



# Daily Compliance Activity Report

Trade Date: 05/21/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		ABG	S	20,000	16.43	n/a	25-Apr	non-brg	4.0
KACELA CAPITAL	034	ACI	B	8,000	68.43	n/a	n/a	320.00	4.0
BUCK CAPITAL MGMT		AEO	S	48,000	17.62	6-Mar	9-May	non-brg	4.0
TROUBH PART	067	AIG	S	15,000	37.54	n/a	n/a	600.00	4.0
AMATURO	018	AKNS	S	6,000	7.10	n/a	n/a	0.00	0.0
COUGAR TRADING	044	ANF	B	15,000	72.32	10-Apr	16-May	750.00	5.0
COUGAR TRADING	044	ANF	SS	5,000	73.49	10-Apr	16-May	250.00	5.0
BUCK CAPITAL MGMT		ANN	SS	40,000	27.02	14-Mar	12-May	non-brg	4.0
BUCK CAPITAL MGMT		AN	SS	50,000	15.65	n/a	25-Apr	non-brg	4.0
BUCK CAPITAL MGMT		ARO	S	120,000	33.54	28-Apr	9-May	non-brg	4.0
COUGAR TRADING	044	ARO	SS	10,000	33.49	28-Apr	9-May	500.00	5.0
J L F ASSET MGMT	039	ARO	SS	48,100	33.69	28-Apr	9-May	1,924.00	4.0
J L F ASSET MGMT	039	BA	S	7,800	82.36	n/a	n/a	312.00	4.0
BUCK CAPITAL MGMT		BBBY	SS	30,000	31.38	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		BBBY	SS	30,000	31.79	n/a	n/a	non-brg	4.0
KACELA CAPITAL	034	BBBY	S	20,100	31.83	n/a	n/a	804.00	4.0
KACELA CAPITAL	034	BHI	B	12,000	88.82	n/a	n/a	480.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>BJ</b>	<b>SS</b>	<b>10,000</b>	<b>36.98</b>	<b>n/a</b>	<b>27-Jul</b>	<b>non-brg</b>	<b>4.0</b>
SYSTEMATIC FINANCIAL MGT	035	BJ	B	25,700	38.00	n/a	27-Jul	963.75	3.8
COUGAR TRADING	044	BKC	S	10,000	28.65	1-May	2-May	500.00	5.0
DIAMONDBACK CAP MGMT	232	BMS	SS	25,000	26.00	n/a	n/a	1,250.00	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>BWS</b>	<b>B</b>	<b>16</b>	<b>14.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>BWS</b>	<b>S</b>	<b>16</b>	<b>15.03</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>MILLER</b>	<b>025</b>	<b>BX</b>	<b>B</b>	<b>50</b>	<b>19.43</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	067	CAG	S	1,800	23.60	n/a	n/a	90.00	5.0
<b>BUCK</b>	<b>015</b>	<b>CAL</b>	<b>SS</b>	<b>1,000</b>	<b>14.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
KACELA CAPITAL	034	CAM	B	10,000	56.58	n/a	n/a	400.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>CHUX</b>	<b>SS</b>	<b>22,800</b>	<b>10.80</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
KACELA CAPITAL	034	CL	B	10,800	72.04	n/a	1-May	432.00	4.0
COUGAR TRADING	044	COH	SS	20,000	35.56	4-Apr	23-Apr	1,000.00	5.0
MERRILL LYNCH STRATEGICI	034	COH	B	30,000	35.08	4-Apr	23-Apr	1,200.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>COLM</b>	<b>SS</b>	<b>10,000</b>	<b>41.87</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CPKI</b>	<b>SS</b>	<b>40,000</b>	<b>14.48</b>	<b>n/a</b>	<b>9-May</b>	<b>non-brg</b>	<b>4.0</b>
DAWSON SANBERG & CO	041	CVS	B	91,000	41.98	n/a	n/a	4,550.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ZOLIDIS	011	DECK	B	190	138.56	n/a	n/a	0.00	0.0
CATTANI	041	DECK	B	50	138.67	n/a	n/a	0.00	0.0
COUGAR TRADING	044	DSW	S	10,000	13.31	8-May	9-May	500.00	5.0
⌘ BUCK CAPITAL MGMT		EAT	SS	60,000	20.57	n/a	24-Apr	non-brg	4.0
⌘ BUCK CAPITAL MGMT		EL	SS	10,000	46.96	7-May	21-May	non-brg	4.0
AMATURO	018	EPG	B	4,000	5.23	n/a	n/a	0.00	0.0
OSS CAPITAL/KEVIN DANN	067	FIS	B	400,000	38.99	n/a	n/a	12,000.00	3.0
BUCK CAPITAL MGMT	001	FL	S	20,000	12.31	2-Apr	20-May	800.00	4.0
⌘ BUCK CAPITAL MGMT		FOSL	B	10,000	30.69	n/a	14-May	non-brg	4.0
⌘ BUCK CAPITAL MGMT		FUA+GG	SS	1,000	0.90	n/a	n/a	non-brg	100.0
⌘ BUCK CAPITAL MGMT		F	SS	100,000	7.78	25-Apr	2-May	non-brg	4.0
⌘ BUCK CAPITAL MGMT		F	SS	100,000	7.79	25-Apr	2-May	non-brg	4.0
BUCK CAPITAL MGMT	001	GES	B	10,000	38.58	n/a	n/a	400.00	4.0
⌘ BUCK CAPITAL MGMT		GE	SS	100,000	31.03	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	GIL	B	30,000	27.59	30-Apr	8-May	1,200.00	4.0
⌘ BUCK CAPITAL MGMT		GM+XC	SS	1,000	1.60	n/a	n/a	non-brg	300.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AMATURO	018	GMO	S	2,000	9.03	n/a	n/a	0.00	0.0
HART	056	GMRX	S	5	3.25	n/a	n/a	0.00	0.0
KORMAN	003	GM	SS	5,000	19.88	29-Apr	19-May	0.00	0.0
BUCK	015	GS	B	150	181.06	19-Mar	15-May	0.00	0.0
⌘ BUCK CAPITAL MGMT		GYMB	S	10,000	44.65	22-May	9-May	non-brg	4.0
⌘ BUCK CAPITAL MGMT		HBI	SS	10,000	34.34	n/a	n/a	non-brg	4.0
SYSTEMATIC FINANCIAL MGT	035	HBI	B	22,500	34.64	n/a	n/a	843.75	3.8
ZOLIDIS	011	HD	S	1,000	27.25	n/a	27-Jul	0.00	0.0
CATTANI	041	HD	S	250	27.27	n/a	27-Jul	0.00	0.0
BENCHMARK	028	HIL	S	5,000	15.60	n/a	n/a	250.00	5.0
MISSOURI VALLEY PART	046	JADE	S	60,000	3.65	n/a	n/a	1,800.00	3.0
BUCK CAPITAL MGMT	001	JAH	S	10,000	20.76	n/a	n/a	400.00	4.0
⌘ BUCK CAPITAL MGMT		JCG	S	10,000	46.14	n/a	12-Mar	non-brg	2.5
CATAPULT	040	JNS	S	5,000	27.50	25-Apr	20-May	250.00	5.0
⌘ BUCK CAPITAL MGMT		JOSB	S	10,000	25.62	n/a	n/a	non-brg	4.0
MERRILL LYNCH STRATEGICI	034	JWN	B	20,000	35.72	16-May	16-May	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>KMX</b>	<b>SS</b>	<b>50,000</b>	<b>20.71</b>	<b>n/a</b>	<b>10-Jan</b>	<b>non-brg</b>	<b>4.0</b>
PATTEN & PATTEN	067	KO	B	700	57.20	n/a	n/a	35.00	5.0
COUGAR TRADING	044	KSS	SS	5,000	45.37	n/a	16-May	250.00	5.0
MERRILL LYNCH STRATEGICI	034	KSS	B	10,000	46.31	n/a	16-May	500.00	5.0
MERRILL LYNCH STRATEGICI	034	KSS	SS	10,000	47.58	n/a	16-May	500.00	5.0
RBC CAPITAL MARKETS	034	KSS	B	10,000	45.22	n/a	16-May	400.00	4.0
<b>BUCK</b>	<b>015</b>	<b>LEH</b>	<b>SS</b>	<b>1,000</b>	<b>40.15</b>	<b>1-Apr</b>	<b>15-May</b>	<b>0.00</b>	<b>0.0</b>
<b>SINCLAIR</b>	<b>031</b>	<b>LESAJ</b>	<b>B</b>	<b>10</b>	<b>3.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LIZ</b>	<b>SS</b>	<b>10,000</b>	<b>17.01</b>	<b>n/a</b>	<b>14-May</b>	<b>400.00</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>LL</b>	<b>S</b>	<b>10,000</b>	<b>15.35</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
WHITTIER CAP	048	LOW	S	1,925	23.74	n/a	27-Jul	77.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>LTD</b>	<b>SS</b>	<b>10,000</b>	<b>18.53</b>	<b>n/a</b>	<b>19-May</b>	<b>non-brg</b>	<b>4.0</b>
PATTEN & PATTEN	067	MBI	S	600	8.66	n/a	n/a	30.00	5.0
KACELA CAPITAL	034	MCO	S	18,000	38.24	n/a	n/a	720.00	4.0
<b>N STRATTON</b>	<b>014</b>	<b>MCO</b>	<b>C</b>	<b>100</b>	<b>40.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MFP INVESTORS	032	MFW	B	200	33.00	n/a	n/a	10.00	5.0
PATTEN & PATTEN	067	MMC	S	1,500	27.59	n/a	n/a	75.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SEMINOLE CAP	036	MMM	S	100,000	75.99	n/a	24-Apr	5,000.00	5.0
PATTEN & PATTEN	067	MRK	B	1,000	39.51	n/a	n/a	50.00	5.0
DSG CAPITAL	225	MTW	B	15,000	40.33	19-May	19-May	750.00	5.0
RBC CAPITAL MARKETS	034	M	B	15,000	23.16	7-Feb	15-May	600.00	4.0
THE JAY GOLDMAN	034	M	B	20,000	23.51	7-Feb	15-May	800.00	4.0
RBC CAPITAL MARKETS	034	NDN	B	20,000	7.99	27-Feb	9-May	800.00	4.0
KACELA CAPITAL	034	NFLX	B	35,000	32.41	n/a	n/a	1,400.00	4.0
J L F ASSET MGMT	039	NKE	S	10,500	66.26	n/a	n/a	420.00	4.0
CATAPULT	040	NTRS	B	5,000	74.96	16-Apr	15-May	250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>OXM</b>	<b>SS</b>	<b>10,000</b>	<b>26.05</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PAG</b>	<b>S</b>	<b>40,000</b>	<b>20.59</b>	<b>22-Apr</b>	<b>30-Apr</b>	<b>non-brg</b>	<b>4.0</b>
REINHART & MAHONEY	031	PBG	B	9,000	33.11	n/a	n/a	450.00	5.0
<b>BARR</b>	<b>096</b>	<b>PDFS</b>	<b>B</b>	<b>7,500</b>	<b>5.28</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
KACELA CAPITAL	034	PEP	B	8,000	68.11	n/a	n/a	320.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>PERY</b>	<b>S</b>	<b>5,000</b>	<b>25.04</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
COUGAR TRADING	044	PFCB	B	5,000	27.10	n/a	24-Apr	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LAGRANGE CAP ADV	048	PLCE	B	21,438	28.11	2-May	12-May	1,071.90	5.0
METROPOLITAN CAPITAL	044	PLCE	S	7,400	28.40	2-May	12-May	370.00	5.0
MILLRACE FUND LP	028	PLCE	B	10,000	27.65	2-May	12-May	400.00	4.0
WAGONHOUND	048	PLCE	B	15,000	28.73	2-May	12-May	600.00	4.0
WEISS PECK	040	PLCE	S	16,800	28.14	2-May	12-May	840.00	5.0
PATTEN & PATTEN	067	PRU	B	400	75.31	n/a	n/a	20.00	5.0
COUGAR TRADING	044	PSUN	B	20,000	10.15	n/a	9-May	1,000.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>PVH+IJ</b>	<b>SS</b>	<b>250</b>	<b>1.95</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>300.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>B</b>	<b>10,000</b>	<b>44.26</b>	<b>5-May</b>	<b>5-May</b>	<b>400.00</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PVH</b>	<b>S</b>	<b>50,000</b>	<b>43.33</b>	<b>5-May</b>	<b>5-May</b>	<b>non-brg</b>	<b>4.0</b>
GOLD SACHS SPECIAL SIT	030	PVH	B	100,000	43.63	5-May	5-May	5,000.00	5.0
WHITTIER CAP	048	PVH	B	1,035	44.06	5-May	5-May	41.40	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>PZZA</b>	<b>SS</b>	<b>60,000</b>	<b>27.56</b>	<b>n/a</b>	<b>24-Apr</b>	<b>non-brg</b>	<b>4.0</b>
KACELA CAPITAL	034	QID	B	32,000	39.00	n/a	n/a	1,280.00	4.0
COUGAR TRADING	044	RL	SS	5,000	61.21	7-Feb	6-May	250.00	5.0
KACELA CAPITAL	034	SDS	B	15,000	56.02	n/a	n/a	600.00	4.0
KACELA CAPITAL	034	SKF	B	5,000	106.72	n/a	n/a	200.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKX</b>	<b>S</b>	<b>10,000</b>	<b>22.36</b>	<b>n/a</b>	<b>13-Mar</b>	<b>400.00</b>	<b>4.0</b>
IRIDIAN ASSET MGMT.	036	SLE	SS	80,690	13.69	n/a	n/a	4,034.50	5.0

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<b>B BUCK CAPITAL MGMT</b>		<b>SPLS</b>	<b>S</b>	<b>100,000</b>	<b>22.91</b>	<b>n/a</b>	<b>27-Jul</b>	<b>non-brg</b>	<b>4.0</b>
J L F ASSET MGMT	039	SPLS	S	22,700	23.08	n/a	27-Jul	908.00	4.0
KACELA CAPITAL	034	SRS	B	15,000	83.13	n/a	n/a	600.00	4.0
BMO NESBITT BURNS	041	SSCC	S	50,000	6.37	7-Apr	23-Apr	2,500.00	5.0
SCOPUS FUND	041	SSCC	B	75,000	6.44	7-Apr	23-Apr	3,750.00	5.0
<b>BARR</b>	<b>096</b>	<b>SYNA</b>	<b>B</b>	<b>200</b>	<b>40.65</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MS PRINCIPAL STRATEGIES	041	TDC	S	25,000	25.37	n/a	n/a	1,250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>TEN</b>	<b>SS</b>	<b>30,000</b>	<b>25.88</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
AVESTA CAP	229	TGT	SS	50,000	53.27	n/a	27-Jul	2,500.00	5.0
MERRILL LYNCH STRATEGICI	034	TGT	SS	10,000	54.12	n/a	27-Jul	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>TIN</b>	<b>S</b>	<b>100,000</b>	<b>15.37</b>	<b>29-Apr</b>	<b>29-Apr</b>	<b>non-brg</b>	<b>4.0</b>
FIRST NY SEC/CHRIS	041	TIN	B	25,000	15.31	29-Apr	29-Apr	1,250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>TPX+IC</b>	<b>SS</b>	<b>1,000</b>	<b>0.70</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>100.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>TRLG</b>	<b>B</b>	<b>10,000</b>	<b>23.33</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>LUCHANSKY1</b>	<b>036</b>	<b>TROW</b>	<b>C</b>	<b>200</b>	<b>58.48</b>	<b>n/a</b>	<b>20-May</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>TWB</b>	<b>S</b>	<b>63,500</b>	<b>20.78</b>	<b>17-Mar</b>	<b>14-May</b>	<b>non-brg</b>	<b>4.0</b>
COUGAR TRADING	044	TWB	B	20,000	22.07	17-Mar	14-May	1,000.00	5.0
XYLEM GLOBAL	091	UFPI	B	34,077	33.76	n/a	n/a	1,703.85	5.0



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AMATURO	018	UQM	B	5,000	2.37	n/a	n/a	0.00	0.0
HART	056	UQM	B	800	2.34	n/a	n/a	0.00	0.0
CROWLEY	061	UQM	B	2,500	2.35	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		URBN	B	10,000	29.61	15-May	15-May	non-brg	1.0
⌘ BUCK CAPITAL MGMT		URBN	B	60,000	29.94	15-May	15-May	non-brg	4.0
GREENLIGHT CAPITAL	041	UST	SS	65,339	54.16	n/a	n/a	3,266.95	5.0
⌘ BUCK CAPITAL MGMT		VCGH	S	83,000	4.43	n/a	n/a	non-brg	2.5
RBC CAPITAL MARKETS	034	VFC	B	7,500	73.97	n/a	n/a	300.00	4.0
MERRILL ASSET	032	WBS	S	31,100	25.76	n/a	n/a	1,399.50	4.5
KORMAN	003	WFMI	SS	5,000	28.99	n/a	n/a	0.00	0.0
OSS CAPITAL/KEVIN DANN	067	WHR	SS	125,000	72.41	n/a	n/a	3,750.00	3.0
⌘ BUCK CAPITAL MGMT		WMT	S	20,000	55.23	13-May	13-May	non-brg	4.0
⌘ BUCK CAPITAL MGMT		WRC	B	10,000	45.92	13-May	13-May	non-brg	4.0
⌘ BUCK CAPITAL MGMT		WSM	SS	30,000	24.86	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		WSM	SS	30,000	25.28	n/a	n/a	non-brg	4.0
KACELA CAPITAL	034	WSM	S	35,000	25.34	n/a	n/a	1,400.00	4.0
PATTEN & PATTEN	067	WYE	S	800	44.13	n/a	31-Mar	40.00	5.0
KERN	050	XHB	S	500	20.17	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		XRT	SS	26,100	32.69	n/a	n/a	non-brg	1.0
STRAUSS ASSET MGMT	040	YTEC	B	10,000	11.33	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT		ZUMZ	SS	10,000	20.40	n/a	n/a	non-brg	2.5
TOTAL (Trade Date):								92,682.60	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	05/20	REINHART & MAHONEY	031	AIRM	B	6,100	36.37	n/a	n/a	305.00 5.0
AO,CRT	05/20	REINHART & MAHONEY	031	ARP	S	5,000	19.05	n/a	n/a	250.00 5.0
AO,	05/20	PATTEN & PATTEN	067	CAG	S	825	23.62	n/a	n/a	41.25 5.0
AO,CRT	05/20	CASTLEROCK	040	CSR	SS	60,400	19.45	n/a	n/a	2416.00 4.0
AO,CXL	05/20	CASTLEROCK	040	CSR	SS	60,400	19.45	n/a	n/a	3020.00 5.0
AO,	05/20	PATTEN & PATTEN	067	CX	B	258	31.20	n/a	n/a	12.90 5.0
AO,	05/20	PATTEN & PATTEN	067	DUK	S	1,600	18.57	n/a	n/a	80.00 5.0
AO,	05/20	PATTEN & PATTEN	067	HCF	B	3,000	14.18	n/a	n/a	150.00 5.0
AO,	05/20	REINHART & MAHONEY	031	HGR	S	3,700	12.58	n/a	n/a	185.00 5.0
AO,CRT	05/20	GALT INVESTMENT	041	KSS	B	10,000	46.98	n/a	16-May	500.00 5.0
AO,CXL	05/20	GALT INVESTMENT	041	KSS	B	10,000	46.98	n/a	16-May	400.00 4.0
AO,	05/20	REINHART & MAHONEY	031	MDT	B	9,190	48.97	n/a	22-Apr	459.50 5.0
AO,	05/20	PATTEN & PATTEN	067	MWV	S	450	26.22	7-Apr	13-May	22.50 5.0
AO,	05/20	PATTEN & PATTEN	067	PG	B	100	65.79	n/a	8-May	5.00 5.0
AO,	05/20	PATTEN & PATTEN	067	PRU	B	250	75.49	n/a	n/a	12.50 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	05/20	PATTEN & PATTEN	067	RHHBY	S	200	86.30	n/a	n/a	10.00 5.0
AO,	05/20	PATTEN & PATTEN	067	SWN	S	150	47.88	20-Mar	14-May	7.50 5.0
AO,CRT	05/20	GALT INVESTMENT	041	WRC	B	20,000	48.08	13-May	13-May	1000.00 5.0
AO,CXL	05/20	GALT INVESTMENT	041	WRC	B	20,000	48.08	13-May	13-May	800.00 4.0

**TOTAL (AO, CXL, CRT) :** **1,237.15**

TOTAL (Trade Date) : 92,682.60  
TOTAL (AO, CXL, CRT) : 1,237.15

**TOTAL (RUN DATE) / NFS:** **93,919.75**

MRI Securities with Trade Activity on 21-May.  
NONE

MRI Securities without Trade Activity on 21-May.  
SHPGY, WPL

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 5%  
YTD = 18%



**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**