



## Daily Compliance Activity Report

Trade Date: 10/03/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KARP	023	AAPL	B	100	103.81	n/a	n/a	0.00	0.0
KORMAN	003	ACI	B	1,000	29.99	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	ACL	S	450	162.09	29-Apr	30-Sep	22.50	5.0
SAC TRADING HOWARD	038	AEO	B	17,400	13.78	n/a	3-Oct	870.00	5.0
RAINIER INV MGMT	035	AGN	B	134,890	48.22	n/a	30-Sep	5,395.60	4.0
GRANAHAN INV	039	ALV	S	5,400	30.73	23-Jul	30-Jul	216.00	4.0
TRUSTCO/SUNTRUST	040	ALV	B	75,100	30.97	23-Jul	30-Jul	2,403.20	3.2
COUGAR TRADING	044	ARO	B	15,000	28.95	28-Apr	3-Oct	750.00	5.0
BUCK	015	BBBY	SS	1,500	29.51	n/a	n/a	0.00	0.0
WHEELER	008	BEAV	B	10,000	12.55	n/a	n/a	0.00	0.0
BUCK	015	BUD	B	1,200	65.61	n/a	n/a	0.00	0.0
ZOLIDIS	011	BX	S	200	15.82	n/a	n/a	0.00	0.0
ROYCE TRADING	216	CAB	B	10,000	9.99	n/a	n/a	500.00	5.0
ARIENCE CAPITAL	036	CAT	SS	39,560	52.84	19-Sep	19-Sep	1,978.00	5.0
KORMAN	003	CBI	B	2,000	17.89	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SEASONS CAPITAL	040	CHK	S	100,000	30.24	n/a	n/a	5,000.00	5.0
<b>LUCHANSKY1</b>	<b>036</b>	<b>CHL</b>	<b>B</b>	<b>100</b>	<b>50.22</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
HEALY CIRCLE	044	CLF	SS	30,000	40.59	n/a	n/a	1,500.00	5.0
PATTEN & PATTEN	067	CL	S	540	76.28	29-Jul	29-Jul	27.00	5.0
REICH AND TANG	067	CMC	B	5,000	14.09	n/a	n/a	250.00	5.0
<b>ZOLIDIS</b>	<b>011</b>	<b>CMG</b>	<b>S</b>	<b>50</b>	<b>53.59</b>	<b>12-Sep</b>	<b>12-Sep</b>	<b>0.00</b>	<b>0.0</b>
REICH AND TANG	067	CR	B	6,000	26.97	n/a	n/a	300.00	5.0
REICH AND TANG	067	CYT	B	5,000	37.38	n/a	n/a	250.00	5.0
IVORY CAPITAL	034	C	B	150,000	18.15	15-Sep	3-Oct	7,500.00	5.0
NATIONAL BK OF CAN	031	C	B	85,000	19.67	15-Sep	3-Oct	3,400.00	4.0
NATIONAL BK OF CAN	031	C	S	50,000	19.27	15-Sep	3-Oct	2,000.00	4.0
<b>BUCK</b>	<b>015</b>	<b>DHR</b>	<b>C</b>	<b>1,000</b>	<b>66.32</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
IRIDIAN ASSET MGMT.	036	DRC	B	39,800	29.44	n/a	n/a	1,990.00	5.0
IRIDIAN ASSET MGMT.	036	DVN	S	19,180	87.35	n/a	2-Oct	959.00	5.0
<b>OGORMAN</b>	<b>046</b>	<b>DXD</b>	<b>B</b>	<b>300</b>	<b>64.39</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LUCHANSKY1</b>	<b>036</b>	<b>EEM</b>	<b>B</b>	<b>100</b>	<b>32.61</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
REICH AND TANG	067	EMN	B	6,000	51.16	n/a	n/a	300.00	5.0
<b>ZOLIDIS</b>	<b>011</b>	<b>EWZ</b>	<b>S</b>	<b>32</b>	<b>51.95</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
AVESTA CAP	229	FDO	SS	25,000	25.28	23-Jul	3-Oct	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>FDO</b>	<b>SS</b>	<b>40,000</b>	<b>24.03</b>	<b>23-Jul</b>	<b>3-Oct</b>	<b>1,600.00</b>	<b>4.0</b>
<b>KAICHER</b>	<b>064</b>	<b>FEIC</b>	<b>S</b>	<b>1,000</b>	<b>22.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>KORMAN</b>	<b>003</b>	<b>FLR</b>	<b>B</b>	<b>1,000</b>	<b>50.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BAYPOINT TRADING/XYLEM</b>	<b>091</b>	<b>FOR</b>	<b>S</b>	<b>10,000</b>	<b>13.71</b>	<b>n/a</b>	<b>3-Oct</b>	<b>500.00</b>	<b>5.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>B</b>	<b>60,000</b>	<b>31.15</b>	<b>n/a</b>	<b>n/a</b>	<b>2,400.00</b>	<b>4.0</b>
<b>KORMAN</b>	<b>003</b>	<b>GE</b>	<b>B</b>	<b>2,000</b>	<b>22.36</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
RAMIUS CAP	040	GGG	SS	133,386	32.63	n/a	n/a	6,669.30	5.0
<b>KERN</b>	<b>050</b>	<b>GLW</b>	<b>S</b>	<b>250</b>	<b>14.87</b>	<b>n/a</b>	<b>23-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>LEDDY</b>	<b>035</b>	<b>GNTX</b>	<b>C</b>	<b>1,800</b>	<b>12.10</b>	<b>2-Oct</b>	<b>2-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GPS</b>	<b>SS</b>	<b>30,000</b>	<b>17.44</b>	<b>n/a</b>	<b>3-Oct</b>	<b>1,200.00</b>	<b>4.0</b>
<b>N STRATTON</b>	<b>014</b>	<b>HEMGF</b>	<b>B</b>	<b>1,000</b>	<b>2.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
IRIDIAN ASSET MGMT.	036	HPQ	S	35,290	44.83	n/a	n/a	1,764.50	5.0
REICH AND TANG	067	HUBB	B	3,100	32.76	n/a	n/a	155.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>KORMAN</b>	<b>003</b>	<b>HXL</b>	<b>B</b>	<b>10,000</b>	<b>11.86</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PHILADELPHIA FINANCIAL	033	IVZ	S	56,600	21.64	4-Aug	2-Oct	2,264.00	4.0
COUGAR TRADING	044	JCG	B	15,000	25.64	n/a	17-Sep	750.00	5.0
COUGAR TRADING	044	JCG	SS	5,000	25.43	n/a	17-Sep	250.00	5.0
HOLLIS CAPITAL	033	JNPR	B	5,000	19.53	n/a	22-Mar	250.00	5.0
CAXTON PART	040	JPM	B	72,739	50.00	26-Sep	26-Sep	2,545.88	3.5
AVESTA CAP	229	JWN	B	10,000	23.84	2-Oct	3-Oct	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JWN</b>	<b>SS</b>	<b>30,000</b>	<b>24.59</b>	<b>2-Oct</b>	<b>3-Oct</b>	<b>1,200.00</b>	<b>4.0</b>
<b>EGS ASSOCIATES LP</b>	<b>091</b>	<b>JWN</b>	<b>B</b>	<b>10,000</b>	<b>24.70</b>	<b>2-Oct</b>	<b>3-Oct</b>	<b>600.00</b>	<b>6.0</b>
HUNTER GLOBAL INVESTOR	067	JWN	SS	50,000	24.21	2-Oct	3-Oct	2,500.00	5.0
PATTEN & PATTEN	067	JWN	S	975	23.86	2-Oct	3-Oct	48.75	5.0
<b>ZOLIDIS</b>	<b>011</b>	<b>KMX</b>	<b>S</b>	<b>200</b>	<b>12.33</b>	<b>n/a</b>	<b>10-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KSS</b>	<b>S</b>	<b>20,000</b>	<b>41.47</b>	<b>n/a</b>	<b>3-Oct</b>	<b>800.00</b>	<b>4.0</b>
<b>BUCK</b>	<b>015</b>	<b>KSS</b>	<b>C</b>	<b>1,000</b>	<b>41.88</b>	<b>n/a</b>	<b>3-Oct</b>	<b>0.00</b>	<b>0.0</b>
CAXTON PART	040	LEN	S	96,131	12.79	n/a	n/a	3,364.60	3.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LIZ</b>	<b>S</b>	<b>20,000</b>	<b>14.31</b>	<b>n/a</b>	<b>18-Sep</b>	<b>800.00</b>	<b>4.0</b>
IRIDIAN ASSET MGMT.	036	LMT	S	7,140	105.28	n/a	n/a	357.00	5.0
<b>PAKLER</b>	<b>029</b>	<b>LULU</b>	<b>S</b>	<b>35</b>	<b>20.71</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PROSPECTOR PARTNERS LLC	036	MDP	S	10,000	25.92	n/a	n/a	400.00	4.0
<b>KORMAN</b>	<b>003</b>	<b>MEE</b>	<b>B</b>	<b>1,000</b>	<b>30.79</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>KORMAN</b>	<b>003</b>	<b>MERPRK</b>	<b>B</b>	<b>2,000</b>	<b>14.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FORD FDN.	032	MER	B	100,000	28.76	24-Jun	19-Sep	5,000.00	5.0
<b>BUCK</b>	<b>015</b>	<b>MER</b>	<b>B</b>	<b>1,500</b>	<b>26.19</b>	<b>24-Jun</b>	<b>19-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK</b>	<b>015</b>	<b>MER</b>	<b>S</b>	<b>1,000</b>	<b>28.98</b>	<b>24-Jun</b>	<b>19-Sep</b>	<b>0.00</b>	<b>0.0</b>
IRIDIAN ASSET MGMT.	036	MMR	S	57,060	21.16	n/a	n/a	2,853.00	5.0
<b>BUCK</b>	<b>015</b>	<b>MSJK</b>	<b>B</b>	<b>15</b>	<b>0.19</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LEDDY</b>	<b>035</b>	<b>MS</b>	<b>S</b>	<b>400</b>	<b>24.15</b>	<b>15-Sep</b>	<b>22-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>KORMAN</b>	<b>003</b>	<b>MTRX</b>	<b>B</b>	<b>6,000</b>	<b>15.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>ZOLIDIS</b>	<b>011</b>	<b>MWO</b>	<b>B</b>	<b>1,000</b>	<b>11.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	M	SS	5,000	16.42	12-Aug	3-Oct	250.00	5.0
<b>EGS ASSOCIATES LP</b>	<b>091</b>	<b>M</b>	<b>B</b>	<b>7,000</b>	<b>16.30</b>	<b>12-Aug</b>	<b>3-Oct</b>	<b>420.00</b>	<b>6.0</b>
<b>KAICHER</b>	<b>064</b>	<b>NCC</b>	<b>S</b>	<b>5,000</b>	<b>3.41</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
RAINIER INV MGMT	035	NKE	S	62,910	65.12	n/a	n/a	3,145.50	5.0
PROSPECTOR PARTNERS LLC	036	NP	S	8,000	17.82	n/a	11-Sep	320.00	4.0
MAIRS AND POWER INV	030	PFG	B	20,000	31.86	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	PG	S	1,085	70.85	18-Aug	25-Sep	54.25	5.0
<b>EGS ASSOCIATES LP</b>	<b>091</b>	<b>PLCE</b>	<b>B</b>	<b>4,500</b>	<b>32.95</b>	<b>21-Aug</b>	<b>3-Oct</b>	<b>270.00</b>	<b>6.0</b>
<b>N STRATTON</b>	<b>014</b>	<b>PNWIF</b>	<b>B</b>	<b>1,000</b>	<b>1.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PROSPECTOR PARTNERS LLC	036	PPS	S	25,000	26.27	n/a	n/a	1,000.00	4.0
COUGAR TRADING	044	PSUN	B	20,000	6.16	n/a	3-Oct	800.00	4.0
NOMURA CAPITAL	045	QLTY	SS	800	4.18	n/a	n/a	24.00	3.0
<b>PAKLER</b>	<b>029</b>	<b>RHD</b>	<b>S</b>	<b>375</b>	<b>1.72</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>RL</b>	<b>SS</b>	<b>125,000</b>	<b>59.90</b>	<b>n/a</b>	<b>28-Aug</b>	<b>5,000.00</b>	<b>4.0</b>
REICH AND TANG	067	ROK	B	7,000	33.79	n/a	n/a	350.00	5.0
REICH AND TANG	067	RRD	B	7,000	22.44	n/a	n/a	350.00	5.0
<b>KAICHER</b>	<b>064</b>	<b>SBAC</b>	<b>B</b>	<b>2,000</b>	<b>22.45</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LEDDY</b>	<b>035</b>	<b>SCC</b>	<b>S</b>	<b>300</b>	<b>105.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>OGORMAN</b>	<b>046</b>	<b>SDS</b>	<b>B</b>	<b>200</b>	<b>73.74</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>KERN</b>	<b>050</b>	<b>SDS</b>	<b>B</b>	<b>200</b>	<b>72.98</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
THE BOSTON COMPANY	401	SKX	S	52,530	14.89	n/a	13-Mar	2,101.20	4.0
<b>HART</b>	<b>056</b>	<b>SPYJH</b>	<b>S</b>	<b>5</b>	<b>4.90</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO NESBITT BURNS	041	SSCC	B	100,000	4.07	30-Jul	22-Sep	5,000.00	5.0
NATIONAL BK OF CAN	031	STT	B	12,000	46.25	n/a	n/a	480.00	4.0
REICH AND TANG	067	SUG	B	7,000	19.17	n/a	n/a	350.00	5.0
<b>SINCLAIR</b>	<b>031</b>	<b>SWGWX</b>	<b>B</b>	<b>20</b>	<b>2.41</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>THI</b>	<b>SS</b>	<b>20,000</b>	<b>27.58</b>	<b>n/a</b>	<b>24-Apr</b>	<b>800.00</b>	<b>4.0</b>
SIGMA CAPITAL ASSOCIATES	237	TIF	S	25,000	34.24	n/a	17-Sep	1,250.00	5.0
THE BOSTON COMPANY	401	TIF	S	75,000	33.83	n/a	17-Sep	3,000.00	4.0
<b>LISTED ERR</b>	<b>099</b>	<b>TIF</b>	<b>B</b>	<b>2,500</b>	<b>34.00</b>	<b>n/a</b>	<b>17-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>TIF</b>	<b>S</b>	<b>2,500</b>	<b>34.02</b>	<b>n/a</b>	<b>17-Sep</b>	<b>0.00</b>	<b>0.0</b>
BASIX	033	TJX	SS	30,000	29.97	11-Aug	3-Oct	900.00	3.0
SIGMA CAPITAL ASSOCIATES	237	TJX	B	31,400	29.98	11-Aug	3-Oct	1,570.00	5.0
VICTORIA INVESTORS LP	060	TJX	B	5,000	30.01	11-Aug	3-Oct	250.00	5.0
ROTHSCHILD ASSET	040	TMP	B	5,200	47.16	n/a	n/a	234.03	4.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TPX</b>	<b>S</b>	<b>63,000</b>	<b>9.32</b>	<b>n/a</b>	<b>n/a</b>	<b>2,520.00</b>	<b>4.0</b>
<b>BUCK</b>	<b>015</b>	<b>TRA</b>	<b>C</b>	<b>1,500</b>	<b>22.06</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK</b>	<b>015</b>	<b>TRA</b>	<b>SS</b>	<b>1,500</b>	<b>24.18</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>PAKLER</b>	<b>029</b>	<b>TWTC</b>	<b>S</b>	<b>75</b>	<b>9.93</b>	<b>n/a</b>	<b>4-Jan</b>	<b>0.00</b>	<b>0.0</b>
BEAR STEARNS ASSET MGMT.	033	URBN	B	50,000	28.64	14-Aug	1-Oct	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	URBN	B	5,000	27.14	14-Aug	1-Oct	250.00	5.0
KORMAN	003	URBN	C	2,000	27.15	14-Aug	1-Oct	0.00	0.0
ZOLIDIS	011	UYG	B	3,000	18.29	n/a	n/a	0.00	0.0
MCCARTAN	028	UYG	B	100	16.80	n/a	n/a	0.00	0.0
OGORMAN	046	UYG	B	1,000	18.00	n/a	n/a	0.00	0.0
OGORMAN	046	UYG	S	1,000	17.38	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	WFC	S	800	35.74	n/a	n/a	40.00	5.0
BUCK CAPITAL MGMT	001	WRC	B	20,000	41.07	8-Aug	1-Oct	800.00	4.0
ZOLIDIS	011	WYNN	S	20	73.56	n/a	n/a	0.00	0.0
MCCARTAN	028	WY	SS	100	57.61	n/a	11-Sep	0.00	0.0
KORMAN	003	XLF	B	3,000	20.39	n/a	n/a	0.00	0.0
KAICHER	064	YHOO	S	2,000	16.00	n/a	n/a	0.00	0.0
COUGAR TRADING	044	ZUMZ	SS	5,000	14.50	n/a	n/a	250.00	5.0
TOTAL (Trade Date):							110,412.31		



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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	10/02	GRANITE CAPITAL (GRANBULK)	045	EMC	S	25,000	11.85	n/a	n/a	0.00	0.0
AO,CRT	10/02	GRANITE CAPITAL (GRANBULK)	045	EMC	S	25,000	11.85	n/a	n/a	1250.00	5.0
CRT	10/03	PROSPECTOR PARTNERS LLC (PROSLRE)	036	NP	S	8,000	17.82	n/a	11-Sep	320.00	4.0
AO,	10/01	ROTHSCHILD ASSET (ROTH355)	040	NR	B	80	6.95	n/a	n/a	3.60	4.5
AO,	10/01	ROTHSCHILD ASSET (ROTH476)	040	NR	B	50	6.95	n/a	n/a	2.25	4.5
AO,	10/01	ROTHSCHILD ASSET (ROTH359)	040	NR	B	1,280	6.95	n/a	n/a	57.60	4.5
AO,	10/01	ROTHSCHILD ASSET (ROTH362)	040	NR	B	160	6.95	n/a	n/a	7.20	4.5
AO,	10/01	ROTHSCHILD ASSET (ROTH356)	040	NR	B	70	6.95	n/a	n/a	3.15	4.5
AO,	10/01	ROTHSCHILD ASSET (ROTH332)	040	NR	B	30	6.95	n/a	n/a	1.35	4.5
AO,	10/01	ROTHSCHILD ASSET (ROTH315)	040	NR	B	60	6.95	n/a	n/a	2.70	4.5
AO,	10/01	ROTHSCHILD ASSET (ROTH310)	040	NR	B	50	6.95	n/a	n/a	2.25	4.5
AO,	10/01	ROTHSCHILD ASSET (ROTH467)	040	NR	B	30	6.95	n/a	n/a	1.35	4.5
AO,	10/01	ROTHSCHILD ASSET (ROTH464)	040	NR	B	100	6.95	n/a	n/a	4.50	4.5
AO,	10/01	ROTHSCHILD ASSET (ROTH469)	040	NR	B	1,030	6.95	n/a	n/a	46.35	4.5
AO,	10/01	ROTHSCHILD ASSET (ROTH466)	040	NR	B	390	6.95	n/a	n/a	17.55	4.5
AO,	10/01	ROTHSCHILD ASSET (ROTH452)	040	NR	B	60	6.95	n/a	n/a	2.70	4.5
AO,	10/01	ROTHSCHILD ASSET (ROTH000300)	040	NR	B	120	6.95	n/a	n/a	5.40	4.5
AO,	10/01	ROTHSCHILD ASSET (ROTH346)	040	NR	B	40	6.95	n/a	n/a	1.80	4.5
AO,	10/01	ROTHSCHILD ASSET (ROTH3721)	040	NR	B	40	6.95	n/a	n/a	1.80	4.5
AO,	10/01	ROTHSCHILD ASSET (ROTH3021)	040	NR	B	280	6.95	n/a	n/a	12.60	4.5
AO,	10/01	ROTHSCHILD ASSET (ROTH369)	040	NR	B	90	6.95	n/a	n/a	4.05	4.5
AO,	10/01	ROTHSCHILD ASSET (ROTH322)	040	NR	B	150	6.95	n/a	n/a	6.75	4.5
AO,	10/01	ROTHSCHILD ASSET (ROTH302)	040	NR	B	230	6.95	n/a	n/a	10.35	4.5
AO,	10/01	ROTHSCHILD ASSET (ROTH329)	040	NR	B	70	6.95	n/a	n/a	3.15	4.5
AO,	10/01	ROTHSCHILD ASSET (ROTH368)	040	NR	B	20	6.95	n/a	n/a	0.90	4.5

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	10/01	ROTHSCHILD ASSET (ROTH367)	040	NR	B	70	6.95	n/a	n/a	3.15	4.5
AO,	10/02	NOMURA CAPITAL (NOMUBATT2)	045	QLTY	SS	530	4.18	n/a	n/a	15.90	3.0
AO,	10/02	NOMURA CAPITAL (NOMUBSMAN)	045	QLTY	SS	650	4.18	n/a	n/a	19.50	3.0
AO,	10/02	NOMURA CAPITAL (NOMUSTRATE)	045	QLTY	SS	530	4.18	n/a	n/a	15.90	3.0

---

<b>TOTAL (AO, CXL, CRT) :</b>	<b>1,823.80</b>
-------------------------------	-----------------

---



---

TOTAL (Trade Date) :	110,412.31
TOTAL (AO, CXL, CRT) :	1,823.80

---

<b>TOTAL (RUN DATE) / NFS:</b>	<b>112,236.11</b>
--------------------------------	-------------------

---

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