



## Daily Compliance Activity Report

Trade Date: 11/07/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 1**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BARR	096	AAI	S	1,500	9.21	n/a	n/a	0.00	0.0
LEDDY	035	ABG	B	1,500	16.52	31-Oct	2-Nov	0.00	0.0
NOMURA CAPITAL	045	ABH	SS	10,000	25.71	n/a	21-Sep	500.00	5.0
BUCK	015	AB	S	1,700	76.07	25-Oct	2-Nov	0.00	0.0
CLOVIS CAPITAL	012	ADM	B	550,000	36.66	n/a	6-Nov	27,500.00	5.0
BALYASNY ASSET MGMT	044	AEO	B	30,000	22.13	12-Oct	5-Nov	1,500.00	5.0
LEVIN CAPITAL STRATEGIES	012	AIG	S	207,940	60.67	n/a	n/a	6,238.20	3.0
BUCK CAPITAL MGMT	001	AMG	S	1,000	123.35	25-Jul	2-Nov	40.00	4.0
COUGAR TRADING	044	ANF	B	5,000	73.10	2-Oct	5-Nov	250.00	5.0
COUGAR TRADING	044	ANF	SS	10,000	73.04	2-Oct	5-Nov	500.00	5.0
WHITE PINE CAPITAL	030	APA	B	400	105.51	18-Oct	7-Nov	20.00	5.0
SINCLAIR	031	APC	S	300	60.78	22-Jun	7-Nov	0.00	0.0
BUCK CAPITAL MGMT	001	ARO	B	60,000	22.21	n/a	5-Nov	2,400.00	4.0
COUGAR TRADING	044	ARO	B	10,000	22.44	n/a	5-Nov	500.00	5.0
COUGAR TRADING	044	ARO	S	30,000	22.16	n/a	5-Nov	1,500.00	5.0
PRINCIPLE CAPITAL	040	ARO	B	47,300	22.24	n/a	5-Nov	1,419.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KAICHER	064	ARYX	B	2,000	8.30	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	ASD	S	3,000	38.57	31-Oct	31-Oct	120.00	4.0
CAVU CAP ADV	028	AVY	SS	10,000	56.43	13-Aug	23-Oct	500.00	5.0
BASIX	033	AXE	B	15,400	68.21	9-Oct	23-Oct	616.00	4.0
HARRIS ASSOCIATES	031	AXP	B	20,000	57.29	n/a	n/a	600.00	3.0
CHILTON CAPITAL MGMT.	036	BJ	C	122,033	34.60	n/a	27-Jul	4,881.32	4.0
CAVU CAP ADV	028	BMS	SS	15,000	28.44	n/a	n/a	750.00	5.0
WOOSTER CAPITAL	035	BONT	B	10,000	15.55	17-Oct	5-Nov	500.00	5.0
BARR	096	BTU	S	200	53.98	n/a	n/a	0.00	0.0
Õ Glenn Redemann		CAT	B	6	0.8300	n/a	n/a	0.00	0.0
Õ Glenn Redemann		CAT	B	6	1.0100	n/a	n/a	0.00	0.0
Õ Glenn Redemann		CAT	SS	4	1.9200	n/a	n/a	0.00	0.0
Õ Glenn Redemann		CAT	SS	4	2.0400	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	CBK	B	20,000	14.20	n/a	5-Nov	800.00	4.0
ZOLIDIS	011	CBK	S	700	14.13	n/a	5-Nov	0.00	0.0
HIGHBRIDGE CAPITAL	038	CBS	B	25,000	27.37	n/a	n/a	1,250.00	5.0
TRUSTCO/SUNTRUST	040	CHD	S	19,250	51.07	7-Nov	7-Nov	577.50	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ASCEND PARTNERS	033	CHS	SS	15,000	12.30	12-Oct	5-Nov	750.00	5.0
PATTEN & PATTEN	067	CIU	B	500	100.28	n/a	n/a	25.00	5.0
WHITE PINE CAPITAL	030	CL	B	300	75.71	2-Nov	2-Nov	15.00	5.0
<b>MKT MAKER</b>	<b>099</b>	<b>CMCSK</b>	<b>B</b>	<b>100</b>	<b>20.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CAPITAL GROWTH MGMT.	241	CMI	B	10,000	127.83	n/a	n/a	500.00	5.0
FORD FDN.	032	COF	S	47,800	53.00	n/a	n/a	2,390.00	5.0
COUGAR TRADING	044	COH	S	10,000	33.27	24-Oct	24-Oct	500.00	5.0
CAVU CAP ADV	028	CRM	B	10,000	51.21	n/a	n/a	500.00	5.0
AMBER CAPITAL	046	CROX	SS	25,000	41.10	n/a	n/a	1,000.00	4.0
BASIX	033	CTV	B	10,000	45.01	n/a	n/a	400.00	4.0
ROTHSCHILD ASSET	040	CTV	S	21,580	44.33	n/a	n/a	971.10	4.5
PATTEN & PATTEN	067	CVA	B	33,050	27.44	n/a	n/a	1,652.50	5.0
NORTHPOINT	030	CWT	B	9,000	38.42	n/a	n/a	360.00	4.0
<b>SCHWARZWAL</b>	<b>N18</b>	<b>CXTI</b>	<b>S</b>	<b>2,000</b>	<b>0.16</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
GENERAL ELECTIC CO	033	C	S	136,914	34.72	5-Nov	5-Nov	5,476.56	4.0
PATTEN & PATTEN	067	C	S	8,060	34.47	5-Nov	5-Nov	403.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SINCLAIR	031	DAWMY	S	10	3.60	n/a	n/a	0.00	0.0
MAGUIRE	090	DB	SS	1,100	121.69	n/a	n/a	0.00	0.0
BARON ASSET MGMT*	012	DKS	B	20,000	29.68	n/a	26-Oct	1,000.00	5.0
PRINCIPLE CAPITAL	040	DKS	SS	31,200	29.79	n/a	26-Oct	936.00	3.0
BUCK CAPITAL MGMT	001	DSW	B	30,000	20.70	26-Oct	5-Nov	1,200.00	4.0
DEEPHAVEN	031	DTV	B	20,000	26.96	21-Sep	7-Nov	1,000.00	5.0
MAGUIRE	039	DUG	B	100	40.34	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	DVN	B	40,000	94.25	22-Oct	7-Nov	2,000.00	5.0
BUCK	015	ELN	S	1,000	23.29	n/a	n/a	0.00	0.0
HIGHBRIDGE CAPITAL	038	ETM	B	33,000	16.86	n/a	n/a	1,650.00	5.0
PATTEN & PATTEN	067	EWZ	S	4,450	82.77	n/a	n/a	222.50	5.0
CHILTON CAPITAL MGMT.	036	FIS	S	2,000	43.23	n/a	n/a	80.00	4.0
BUCK	015	GENZ	B	500	72.08	n/a	n/a	0.00	0.0
APEX CAPITAL MGMT.	091	GIGM	S	20,000	21.13	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	GLW	S	8,000	23.91	n/a	24-Oct	320.00	4.0
LEVIN CAPITAL STRATEGIES	012	GM	SS	10,000	35.28	n/a	6-Nov	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SLS CAPITAL LLC	224	GM	S	377,100	34.91	n/a	6-Nov	15,084.00	4.0
TRELLUS PARTNERS LP	028	GM	SS	25,000	34.51	n/a	6-Nov	1,250.00	5.0
HARRIS ASSOCIATES	031	GSK	B	10,000	50.87	n/a	n/a	300.00	3.0
U.S.TRUST COMPANY	012	HAR	B	18,100	80.94	n/a	26-Oct	814.51	4.5
MATTHES CAPITAL MGMT	033	HBI	SS	20,000	30.18	n/a	n/a	800.00	4.0
Õ Glenn Redemann		HIG	B	6	1.3100	n/a	n/a	0.00	0.0
Õ Glenn Redemann		HIG	B	6	1.5400	n/a	n/a	0.00	0.0
Õ Glenn Redemann		HIG	SS	4	2.4300	n/a	n/a	0.00	0.0
Õ Glenn Redemann		HIG	SS	4	2.5200	n/a	n/a	0.00	0.0
ASCEND PARTNERS	033	HLF	S	2,300	37.19	n/a	n/a	115.00	5.0
BUCK	015	HOLX	B	400	64.00	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	IHP	S	85,000	55.29	n/a	n/a	4,250.00	5.0
IRONBOUND CAPITAL	012	IP	B	70,000	34.95	n/a	5-Nov	3,500.00	5.0
PRINCIPLE CAPITAL	040	ITRI	SS	13,600	85.16	n/a	n/a	544.00	4.0
LEDDY	035	JADE	S	1,500	2.88	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	JCG	B	10,100	39.59	24-Oct	24-Oct	404.00	4.0
COUGAR TRADING	044	JCG	S	10,000	39.32	24-Oct	24-Oct	500.00	5.0
KENNEDY CAPITAL	046	JCP	B	52,410	51.74	12-Oct	5-Nov	2,096.40	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MATTHES CAPITAL MGMT	033	JCP	SS	20,000	51.12	12-Oct	5-Nov	800.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JWN</b>	<b>B</b>	<b>50,000</b>	<b>33.85</b>	<b>12-Oct</b>	<b>5-Nov</b>	<b>2,000.00</b>	<b>4.0</b>
MS PRINCIPAL STRATEGIES	041	KND	S	37,500	23.92	n/a	n/a	1,875.00	5.0
WHITE PINE CAPITAL	030	KO	B	300	60.63	n/a	n/a	15.00	5.0
COUGAR TRADING	044	KSS	B	5,000	51.14	2-Nov	5-Nov	250.00	5.0
COUGAR TRADING	044	KSS	SS	5,000	51.18	2-Nov	5-Nov	250.00	5.0
MORGENS WATERFALL	040	KSS	B	150,000	51.38	2-Nov	5-Nov	4,500.00	3.0
LEVIN CAPITAL STRATEGIES	012	LEH	S	7,500	57.71	12-Jun	16-Oct	300.00	4.0
<b>SINCLAIR</b>	<b>031</b>	<b>LES DM</b>	<b>B</b>	<b>10</b>	<b>4.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	LIZ	B	10,000	26.68	n/a	31-Oct	500.00	5.0
AMBER CAPITAL	046	LOW	SS	200,000	24.29	n/a	27-Jul	8,000.00	4.0
<b>XYLEM GLOBAL</b>	<b>091</b>	<b>LPX</b>	<b>SS</b>	<b>25,000</b>	<b>16.13</b>	<b>30-Oct</b>	<b>30-Oct</b>	<b>1,250.00</b>	<b>5.0</b>
<b>KORMAN</b>	<b>003</b>	<b>LVQLH</b>	<b>B</b>	<b>100</b>	<b>5.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MS PRINCIPAL STRATEGIES	041	MAR	B	35,000	37.31	n/a	n/a	1,750.00	5.0
<b>SINCLAIR</b>	<b>031</b>	<b>MERKV</b>	<b>S</b>	<b>100</b>	<b>0.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FIRST NY SEC/CHRIS	041	MOT	S	15,000	17.28	n/a	n/a	750.00	5.0
WHITE PINE CAPITAL	030	MO	B	300	72.59	n/a	n/a	15.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>BUCK</b>	<b>015</b>	<b>MO</b>	<b>B</b>	<b>700</b>	<b>72.17</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NORTHPOINT	030	MPP	S	275	14.06	n/a	n/a	11.00	4.0
EPOCH INV MGMT	030	MSFT	B	99,000	36.01	n/a	3-Apr	3,960.00	4.0
CATAPULT	040	MS	B	5,000	52.28	2-Jul	16-Oct	2.61	0.0
PATTEN & PATTEN	067	MS	S	150	50.58	2-Jul	16-Oct	7.50	5.0
WHITE PINE CAPITAL	030	MTG	B	600	19.89	n/a	n/a	30.00	5.0
CHILTON CAPITAL MGMT.	036	MV	C	42,544	24.00	n/a	n/a	1,701.76	4.0
WHITE PINE CAPITAL	030	MWV	B	500	32.34	31-Jul	26-Oct	25.00	5.0
<b>XYLEM GLOBAL</b>	<b>091</b>	<b>MWV</b>	<b>S</b>	<b>10,000</b>	<b>32.03</b>	<b>31-Jul</b>	<b>26-Oct</b>	<b>500.00</b>	<b>5.0</b>
PRINCIPLE CAPITAL	040	M	S	39,600	30.18	24-Sep	5-Nov	1,188.00	3.0
STADIA CAPITAL	035	M	B	22,300	30.34	24-Sep	5-Nov	892.00	4.0
<b>LED DY</b>	<b>035</b>	<b>NEXC</b>	<b>S</b>	<b>2,300</b>	<b>5.70</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LATEFF MGMT	040	NOK	S	3,000	41.75	n/a	n/a	540.00	18.0
ROTHSCHILD ASSET	040	NOV	B	12,450	76.58	n/a	n/a	560.25	4.5
CAVU CAP ADV	028	NVDA	B	10,000	36.49	n/a	n/a	500.00	5.0
<b>APEX CAPITAL MGMT.</b>	<b>091</b>	<b>OCR</b>	<b>B</b>	<b>20,000</b>	<b>25.00</b>	<b>n/a</b>	<b>31-Oct</b>	<b>1,000.00</b>	<b>5.0</b>
SYSTEMATIC FINANCIAL MGT	035	OXM	B	30,000	23.16	n/a	n/a	1,125.00	3.8

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAPITAL	038	PAYX	B	31,000	40.43	n/a	n/a	1,550.00	5.0
TRIVIUM CAP MGMT	251	PAYX	C	100,000	40.15	n/a	n/a	4,000.00	4.0
SYSTEMATIC FINANCIAL MGT	035	PKD	B	125,000	8.87	n/a	n/a	4,687.50	3.8
CSFB GLOBAL PROPRIETARY	035	PKG	B	30,000	30.32	18-Oct	18-Oct	1,500.00	5.0
PILOT ADV	038	PKG	SS	40,000	29.50	18-Oct	18-Oct	1,600.00	4.0
<b>OGORMAN</b>	<b>046</b>	<b>PLCE</b>	<b>B</b>	<b>400</b>	<b>23.30</b>	<b>26-Sep</b>	<b>5-Nov</b>	<b>0.00</b>	<b>0.0</b>
WHITE PINE CAPITAL	030	PMI	B	600	11.19	n/a	n/a	30.00	5.0
PROSPECTOR PARTNERS LLC	036	PPS	B	10,000	38.01	n/a	n/a	400.00	4.0
COUGAR TRADING	044	PSUN	B	5,000	16.37	n/a	5-Nov	250.00	5.0
COUGAR TRADING	044	PSUN	S	5,000	16.49	n/a	5-Nov	250.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>PVH</b>	<b>B</b>	<b>500</b>	<b>43.73</b>	<b>13-Aug</b>	<b>29-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>KORMAN</b>	<b>003</b>	<b>QIAKD</b>	<b>B</b>	<b>100</b>	<b>2.70</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>KORMAN</b>	<b>003</b>	<b>QJPLK</b>	<b>B</b>	<b>50</b>	<b>11.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>KORMAN</b>	<b>003</b>	<b>QJPLL</b>	<b>B</b>	<b>40</b>	<b>8.70</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>KORMAN</b>	<b>003</b>	<b>QJPLN</b>	<b>S</b>	<b>90</b>	<b>4.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK</b>	<b>015</b>	<b>QQQQ</b>	<b>S</b>	<b>700</b>	<b>54.39</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WHITE PINE CAPITAL	030	Q	B	3,000	6.69	n/a	n/a	150.00	5.0



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LISTED ERR	099	Q	B	400	6.66	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	RL	S	20,000	68.10	31-Oct	31-Oct	800.00	4.0
COUGAR TRADING	044	RL	S	15,000	67.17	31-Oct	31-Oct	750.00	5.0
WAGONHOUND	048	RL	B	10,830	66.66	31-Oct	31-Oct	433.20	4.0
SECOND CURVE	031	RNR	S	50,000	56.05	n/a	n/a	2,500.00	5.0
HIGHBRIDGE CAPITAL	038	ROIAK	B	57,000	3.06	n/a	n/a	2,850.00	5.0
BUCK CAPITAL MGMT	001	SKX	S	40,000	22.37	n/a	13-Mar	1,600.00	4.0
GRONET	030	SSI	B	1,000	17.00	3-Aug	5-Nov	0.00	0.0
CHILTON CAPITAL MGMT.	036	SWY	B	5,000	31.94	n/a	n/a	200.00	4.0
NORTHPOINT	030	TRID	S	483,700	6.42	n/a	n/a	14,511.00	3.0
RH CAPITAL ASSOCIATES	060	TRID	B	50,000	6.50	n/a	n/a	1,500.00	3.0
ZOLIDIS	011	TRLG	S	700	15.99	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	TR	B	10,000	23.75	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	TWB	B	20,000	28.66	2-Oct	2-Oct	800.00	4.0
COUGAR TRADING	044	TWB	S	5,000	28.49	2-Oct	2-Oct	250.00	5.0
MATTHES CAPITAL MGMT	033	TWB	SS	21,000	28.65	2-Oct	2-Oct	840.00	4.0
ACT II PARTNERS	067	TWTC	SS	100,000	20.98	n/a	7-Nov	5,000.00	5.0
APEX CAPITAL MGMT.	091	TWTC	S	40,000	21.20	n/a	7-Nov	2,000.00	5.0
DENVER INST. ADV	046	TWTC	B	446,200	21.12	n/a	7-Nov	17,848.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>LUCHANSKY</b>	<b>036</b>	<b>TYC</b>	<b>S</b>	<b>25</b>	<b>41.01</b>	<b>9-Oct</b>	<b>9-Oct</b>	<b>0.00</b>	<b>0.0</b>
WHITE PINE CAPITAL	030	T	B	1,000	39.54	21-Sep	7-Nov	50.00	5.0
COUGAR TRADING	044	URBN	B	5,000	25.00	23-Oct	6-Nov	250.00	5.0
COUGAR TRADING	044	VC	S	10,000	5.52	n/a	1-Nov	500.00	5.0
TRELLUS PARTNERS LP	028	VC	B	85,500	5.79	n/a	1-Nov	2,565.00	3.0
MATTHES CAPITAL MGMT	033	VLCM	B	8,100	25.85	n/a	n/a	324.00	4.0
OSS CAPITAL/KEVIN DANN	067	VMED	S	500,000	20.77	n/a	n/a	15,000.00	3.0
EPOCH INV MGMT	030	WFR	S	33,100	75.25	n/a	n/a	1,324.00	4.0
<b>BUCK</b>	<b>015</b>	<b>WM</b>	<b>C</b>	<b>2,000</b>	<b>22.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NORTHPOINT	030	WRLD	B	600	28.91	n/a	n/a	24.00	4.0
PROSPECTOR PARTNERS LLC	036	XEC	B	10,000	41.12	n/a	n/a	400.00	4.0
AMBER CAPITAL	046	XRT	SS	150,000	35.87	n/a	n/a	6,000.00	4.0
<b>BUCK</b>	<b>015</b>	<b>ZMH</b>	<b>S</b>	<b>1,100</b>	<b>66.33</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>TOTAL (Trade Date) :</b>							<b>234,806.41</b>		

### Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	11/07	CAVU CAP ADV (CAVU)	028	AVY	SS	9,700	56.43	13-Aug	23-Oct	485.00 5.0
CRT	11/07	CAVU CAP ADV (CAVU)	028	BMS	SS	14,550	28.44	n/a	n/a	727.50 5.0
AO,CXL	11/06	SOROS (SOROGS0.04)	036	BWLD	B	171,000	30.72	n/a	n/a	8550.00 5.0
AO,CRT	11/06	SOROS (SOROGS0.04)	036	BWLD	B	171,000	30.72	n/a	n/a	6840.00 4.0
<b>CRT</b>	<b>11/07</b>	<b>MKT MAKER (MKT MAKER)</b>	<b>099</b>	<b>CMCSK</b>	<b>B</b>	<b>100</b>	<b>20.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>
CRT	11/07	CAVU CAP ADV (CAVU)	028	CRM	B	9,700	51.21	n/a	n/a	485.00 5.0
<b>AO,CXL</b>	<b>11/05</b>	<b>WYCKOFF (WYCKOFF)</b>	<b>013</b>	<b>CSCO</b>	<b>B</b>	<b>1</b>	<b>33.12</b>	<b>n/a</b>	<b>22-Mar</b>	<b>0.00 0.0</b>
<b>AO,CRT</b>	<b>11/05</b>	<b>LISTED ERR (LISTED ERR)</b>	<b>099</b>	<b>CSCO</b>	<b>B</b>	<b>1</b>	<b>33.12</b>	<b>n/a</b>	<b>22-Mar</b>	<b>0.00 0.0</b>
AO,CRT	11/06	COVEY CAPITAL (COVE-MS)	045	DLLR	B	5,500	31.65	n/a	n/a	220.00 4.0
AO,CXL	11/06	WILLIAMS/COVEY CAP (WTRACOVEY)	045	DLLR	B	5,500	31.65	n/a	n/a	220.00 4.0
AO,CRT	11/06	SOROS (SOROGS0.04)	036	JWN	SS	90,500	33.09	12-Oct	5-Nov	3620.00 4.0
AO,CXL	11/06	SOROS (SOROGS0.04)	036	JWN	SS	90,500	33.09	12-Oct	5-Nov	4525.00 5.0
CRT	11/07	CAVU CAP ADV (CAVU)	028	NVDA	B	9,700	36.49	n/a	n/a	485.00 5.0
AO,	11/06	TRELLUS PARTNERS LP (TRELMAIN)	028	PLCE	B	25,000	24.28	26-Sep	5-Nov	1250.00 5.0
<b>AO,CRT</b>	<b>11/06</b>	<b>LISTED ERR (LISTED ERR)</b>	<b>097</b>	<b>Q</b>	<b>B</b>	<b>200</b>	<b>7.12</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>
<b>AO,CXL</b>	<b>11/06</b>	<b>LISTED ERR (LISTED ERR)</b>	<b>099</b>	<b>Q</b>	<b>S</b>	<b>200</b>	<b>6.74</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>
<b>AO,CRT</b>	<b>11/06</b>	<b>LISTED ERR (LISTED ERR)</b>	<b>099</b>	<b>Q</b>	<b>S</b>	<b>400</b>	<b>6.93</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>
<b>AO,CRT</b>	<b>11/06</b>	<b>LISTED ERR (LISTED ERR)</b>	<b>099</b>	<b>Q</b>	<b>S</b>	<b>200</b>	<b>6.74</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>
AO,CRT	11/06	COVEY CAPITAL (COVE-MS)	045	QMAR	B	1,900	25.91	n/a	n/a	76.00 4.0
AO,CXL	11/06	WILLIAMS/COVEY CAP (WTRACOVEY)	045	QMAR	B	1,900	25.91	n/a	n/a	76.00 4.0
CRT	11/07	ACT II PARTNERS (ACT2-GOLDM)	067	TWTC	SS	100,000	20.98	n/a	7-Nov	5000.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,	11/06	TRELLUS PARTNERS LP (TRELMAIN)	028	VC	B	14,500	5.80	n/a 1-Nov	725.00 5.0
<b>TOTAL (AO, CXL, CRT) :</b>									<b>6,542.50</b>
TOTAL (Trade Date) :									234,806.41
TOTAL (AO, CXL, CRT) :									6,542.50
<b>TOTAL (RUN DATE) / NFS :</b>									<b>241,348.91</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