

Daily Compliance Activity Report Trade Date: 12/03/2007

POTENTIAL ANALYST TRADE VIOLATIONS: 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
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AMBER CAPITAL	046	AA	S	275,000	36.09	n/a	n/a	11,000.00	4.0
BUCK CAPITAL MGMT	001	AEO	S	40,000	23.08	9-Nov	3-Dec	1,600.00	4.0
ROXBURY CAPITAL MGMT	035	AMG	В	8 , 265	123.85	21-Nov	29-Nov	330.60	4.0
ROADURI CAFITAL MGMI	033	AMG	Ь	0,203	123.03	21-NOV	2 9-NOV	330.00	4.0
EGS ASSOCIATES LP	091	ARO	В	11,000	25.15	29-Nov	3-Dec	660.00	6.0
PIVOT CAP	034	ARO	S	2,000	25.05	29-Nov	3-Dec	100.00	5.0
MERRILL LYNCH STRATEGICI	034	AVR	S	7,100	10.25	n/a	n/a	213.00	3.0
ASCEND PARTNERS	033	BBBY	SS	25,000	31.38	n/a	n/a	1,250.00	5.0
THOUSING THICHMEN	033	DDDI		23,000	31.30	π, α	117 (4	1,200.00	3 . 0
SCOGGIN CAP	044	BBT	SS	66,500	35.52	n/a	n/a	3,325.00	5.0
ROXBURY CAPITAL MGMT	035	BBW	В	30 , 570	15.68	11-Sep	18-Oct	1,222.80	4.0
LEDDY	035	BBW	S	600	15.69	11-Sep	18-0ct	0.00	0.0
ADAGE CAPITAL MGMT	030	BBY	S	100,000	51.58	n/a	27-Jul	4,000.00	4.0
PIVOT CAP	034	BBY	S	4,000	51.73	n/a	27-Jul	200.00	5.0
FIVOI CAF	034	DDI	ی	4,000	31.73	II/ a	27-041	200.00	3.0
IVORY CAPITAL	034	BEAS	S	125,000	15.99	n/a	3-Apr	6,250.00	5.0
ROYCE TRADING	216	BHE	В	5,000	17.91	n/a	n/a	250.00	5.0
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ASCEND PARTNERS	033	BIG	SS	2,700	18.02	30-Nov	3-Dec	135.00	5.0
EGS ASSOCIATES LP	091	BIG	S	3,000	17.85	30-Nov	3-Dec	180.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.	
BUCK CAPITAL MGMT	001	BKS	SS	40,000	37.35	n/a	n/a	1,600.00	4.0	
WHITE PINE CAPITAL	030	BONT	S	125	11.76	9-Nov	3-Dec	6.25	5.0	
ROYCE TRADING	216	BWS	В	5,000	17.02	n/a	n/a	250.00	5.0	
ROXBURY CAPITAL MGMT	035	CAKE	В	42,625	23.27	n/a	24-Apr	1,705.00	4.0	
BUCK CAPITAL MGMT	001	СВК	SS	20,000	16.13	n/a	3-Dec	800.00	4.0	
HIGHBRIDGE CAPITAL	038	CBS	В	27,000	27.22	n/a	n/a	1,350.00	5.0	
ROYCE TRADING	216	CCC	S	25,000	15.21	n/a	n/a	1,250.00	5.0	
ROYCE TRADING	216	CLI	В	5,000	35.43	n/a	n/a	250.00	5.0	
BEAR STEARNS ASSET MGMT.	033	COH	SS	18,500	37.40	24-Oct	24-0ct	740.00	4.0	
DIAMONDBACK CAP MGMT	232	СОН	В	35,000	36.83	24-Oct	24-Oct	1,750.00	5.0	
THIRD COAST CAPITAL	035	СОН	В	30,000	37.36	24-0ct	24-Oct	1,500.00	5.0	
BUCK CAPITAL MGMT	001	CRI	SS	50,000	22.87	n/a	n/a	2,000.00	4.0	
MERRILL ASSET	032	CRR	В	15,500	40.30	25-Oct	30-Nov	697.50	4.5	
ROYCE TRADING	216	CRS	S	10,000	75.87	n/a	n/a	500.00	5.0	
PROSPECTOR PARTNERS LLC	036	DD	В	15,000	47.13	n/a	23-Oct	600.00	4.0	
MAZAMA CAPITAL MGMT.	035	DHX	S	5,200	9.64	n/a	n/a	208.00	4.0	

RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.	
034	DVR	S	25,000	12.75	n/a	n/a	750.00	3.0	
035	ELY	В	27 , 825	17.19	n/a	n/a	1,113.00	4.0	
030	EMR	S	10,000	57.69	n/a	n/a	600.00	6.0	
030	ETH	В	185,000	29.06	n/a	n/a	7,400.00	4.0	
216	FBP	В	5,000	6.73	n/a	n/a	250.00	5.0	
033	FDO	S	ss 10,000	23.46	5-Nov	3-Dec	400.00	4.0	
035	FDP	В	28,425	31.49	n/a	n/a	1,137.00	4.0	
028	FDX	S	ss 7,500	97.53	n/a	n/a	375.00	5.0	
044	FII	В	40,000	39.53	n/a	26-Nov	2,000.00	5.0	
040	GE	S	159,588	37.35	n/a	n/a	5,585.60	3.5	
046	GE	S	50,000	36.87	n/a	n/a	2,500.00	5.0	
096	GE	S	105	37.63	n/a	n/a	0.00	0.0	
034	GPS	S	10,446	20.46	n/a	3-Dec	522.30	5.0	
018	GSI	S	4,000	10.27	n/a	n/a	0.00	0.0	
034	GT	S	5,000	28.62	n/a	n/a	250.00	5.0	
035	GYMB	В	18,980	32.99	10-Aug	3-Dec	759.20	4.0	
	034 035 030 030 216 033 035 028 044 040 046 096 034 018	034 DVR 035 ELY 030 EMR 030 ETH 216 FBP 033 FDO 035 FDP 028 FDX 044 FII 040 GE 046 GE 046 GE 096 GE 034 GPS 018 GSI 034 GT	034 DVR S 035 ELY B 030 EMR S 030 ETH B 216 FBP B 033 FDO S 035 FDP B 028 FDX S 044 FII B 040 GE S 046 GE S 046 GE S 047 GPS S 034 GPS S 018 GSI S 034 GT S	034 DVR S 25,000 035 ELY B 27,825 030 EMR S 10,000 030 ETH B 185,000 216 FBP B 5,000 033 FDO SS 10,000 035 FDP B 28,425 028 FDX SS 7,500 044 FII B 40,000 040 GE S 50,000 096 GE S 105 034 GPS S 10,446 018 GSI S 4,000 034 GT S 5,000	034 DVR S 25,000 12.75 035 ELY B 27,825 17.19 030 EMR S 10,000 57.69 030 ETH B 185,000 29.06 216 FBP B 5,000 6.73 033 FDO SS 10,000 23.46 035 FDP B 28,425 31.49 028 FDX SS 7,500 97.53 044 FII B 40,000 39.53 040 GE S 159,588 37.35 046 GE S 50,000 36.87 096 GE S 105 37.63 034 GPS S 10,446 20.46 018 GSI S 4,000 10.27 034 GT S 5,000 28.62	034 DVR S 25,000 12.75 n/a 035 ELY B 27,825 17.19 n/a 030 EMR S 10,000 57.69 n/a 030 ETH B 185,000 29.06 n/a 216 FBP B 5,000 6.73 n/a 033 FDO SS 10,000 23.46 5-Nov 035 FDP B 28,425 31.49 n/a 028 FDX SS 7,500 97.53 n/a 044 FII B 40,000 39.53 n/a 040 GE S 50,000 36.87 n/a 046 GE S 105 37.63 n/a 034 GPS S 10,446 20.46 n/a 034 GT S 5,000 28.62 n/a	034 DVR S 25,000 12.75 n/a n/a 035 ELY B 27,825 17.19 n/a n/a 030 EMR S 10,000 57.69 n/a n/a 030 ETH B 185,000 29.06 n/a n/a 216 FBP B 5,000 6.73 n/a n/a 033 FDO SS 10,000 23.46 5-Nov 3-Dec 035 FDP B 28,425 31.49 n/a n/a 028 FDX SS 7,500 97.53 n/a n/a 044 FII B 40,000 39.53 n/a 26-Nov 040 GE S 159,588 37.35 n/a n/a 046 GE S 50,000 36.87 n/a n/a 034 GPS S 10,446 20.46 n/a 3-Dec	034 DVR S 25,000 12.75 n/a n/a 750.00 035 ELY B 27,825 17.19 n/a n/a 1,113.00 030 EMR S 10,000 57.69 n/a n/a 600.00 030 ETH B 185,000 29.06 n/a n/a 7,400.00 216 FBP B 5,000 6.73 n/a n/a 250.00 033 FDO SS 10,000 23.46 5-Nov 3-Dec 400.00 035 FDP B 28,425 31.49 n/a n/a 1,137.00 028 FDX SS 7,500 97.53 n/a n/a 375.00 044 FII B 40,000 39.53 n/a 26-Nov 2,000.00 040 GE S 159,588 37.35 n/a n/a 0.00 046 GE S 50,000	034 DVR S 25,000 12.75 n/a n/a 750.00 3.0 035 ELY B 27,825 17.19 n/a n/a 1,113.00 4.0 030 EMR S 10,000 57.69 n/a n/a 600.00 6.0 030 ETH B 185,000 29.06 n/a n/a 7,400.00 4.0 216 FBP B 5,000 6.73 n/a n/a 250.00 5.0 033 FDO SS 10,000 23.46 5-Nov 3-Dec 400.00 4.0 035 FDP B 28,425 31.49 n/a n/a 375.00 5.0 044 FII B 40,000 39.53 n/a n/a 375.00 5.0 044 FII B 40,000 39.53 n/a n/a 5,585.60 3.5 046 GE S 50,000 36.

Account	RR #	Symbol	B/	s	Shares	Price	MRI	Research	Comm.	¢/Shr.	
SOCIETY GENERALE	040	HCR	В		5,000	64.05	n/a	15-Nov	250.00	5.0	
LATEFF MGMT	040	HD	В		1,000	28.71	n/a	27-Jul	230.00	23.0	
MATTHES CAPITAL MGMT	033	HIBB		SS	10,000	21.58	n/a	n/a	400.00	4.0	
ROXBURY CAPITAL MGMT	035	HLF	В		24,525	41.46	n/a	n/a	981.00	4.0	
LEDDY	035	НҮР		S	2,949	3.11	n/a	n/a	0.00	0.0	
LEDDY	035	ICON		s	627	23.11	n/a	n/a	0.00	0.0	
PIVOT CAP	034	IM		S	5,150	19.62	n/a	n/a	257.50	5.0	
IRONBOUND CAPITAL	012	IP	В		5,100	33.50	n/a	5-Nov	255.00	5.0	
CROWLEY	061	ISLN		s	1,000	5.55	n/a	n/a	0.00	0.0	
LUCHANSKY	036	ITCD		S	1,000	6.60	n/a	n/a	0.00	0.0	
THIRD COAST CAPITAL	035	ITT		SS	10,000	63.73	n/a	13-Nov	500.00	5.0	
BALYASNY ASSET MGMT	044	IVZ	В		50,000	25.30	21-Nov	3-Dec	2,500.00	5.0	
CR INTRINIC INVESTMENT	044	IVZ		SS	250,000	27.02	21-Nov	3-Dec	12,500.00	5.0	
DEEPHAVEN	031	IVZ	В		200,000	26.07	21-Nov	3-Dec	8,000.00	4.0	
HEALY CIRCLE	044	IVZ	В		40,000	26.80	21-Nov	3-Dec	2,000.00	5.0	
LOCUS WOOD CAPITAL MGMT	044	IVZ	В		25,000	26.91	21-Nov	3-Dec	1,000.00	4.0	
MISSOURI VALLEY PART	046	IVZ	В		23,625	25.68	21-Nov		1,181.25	5.0	
SSI INVESTORS	048	IVZ	В		112,328	27.10	21-Nov	3-Dec	4,493.12	4.0	

Account	RR #	Symbol	В/	s	Shares	Price	MRI	Research	Comm.	¢/Shr.
EMP ERROR	099	IVZ	В		100	25.33	21-Nov	3-Dec	0.00	0.0
EMP ERROR	099	IVZ		S	100	25.33	21-Nov	3-Dec	0.00	0.0
KORMAN	003	JADE	В		5,000	3.56	n/a	n/a	0.00	0.0
COUGAR TRADING	044	JCG		SS	10,000	47.60	28-Nov	30-Nov	500.00	5.0
BUCK CAPITAL MGMT	001	JCP	В		90,000	44.21	15-Nov	3-Dec	3,600.00	4.0
THE JAY GOLDMAN	034	JCP	В		10,000	43.68	15-Nov	3-Dec	400.00	4.0
BUCK CAPITAL MGMT	001	JWN		s	50,000	34.46	20-Nov	3-Dec	2,000.00	4.0
THE JAY GOLDMAN	034	JWN		SS	10,000	34.45	20-Nov	3-Dec	400.00	4.0
ROXBURY CAPITAL MGMT	035	KNL	В		29 , 050	17.47	n/a	n/a	1,162.00	4.0
BUCK CAPITAL MGMT	001	KSS		S	40,000	49.65	9-Nov	3-Dec	1,600.00	4.0
ROYCE TRADING	216	KWD	В		5,000	14.86	n/a	n/a	250.00	5.0
KORMAN	003	LDK	В		6,000	32.31	n/a	n/a	0.00	0.0
ROYCE TRADING	216	LDL	В		5,000	9.92	n/a	n/a	250.00	5.0
BUCK	015	LEH	С		500	61.01	n/a	20-Nov	0.00	0.0
SIGMA CAPITAL ASSOCIATES	237	LTD		SS	100,000	19.78	n/a	3-Dec	5,000.00	5.0
SATELLITE ASSET MGMT	012	LVS		S	8,000	110.08	n/a	n/a	320.00	4.0
BUCK	015	MBI	С		700	33.78	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	:/Shr.
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SATELLITE ASSET MGMT	012	MGM	В	5,000	85.06	n/a	31-0ct	200.00	4.0
NORTHPOINT	030	MODT	S	10,200	0.93	n/a	n/a	306.00	3.0
AMATURO	018	MPEL	В	3,000	12.97	n/a	n/a	0.00	0.0
ROYCE TRADING	216	MRN	S	5,000	6.09	n/a	n/a	250.00	5.0
ROXBURY CAPITAL MGMT	035	MSA	В	12,695	48.85	n/a	n/a	507.80	4.0
BUCK CAPITAL MGMT	001	м	В	80,000	29.93	9-Nov	3-Dec	3,200.00	4.0
JPMSI/TOM LEDDY	035	М	В	20,000	30.01	9-Nov	3-Dec	1,000.00	5.0
PILOT ADV	038	М	S	10,000	29.63	9-Nov	3-Dec	400.00	4.0
PIVOT CAP	034	М	S	4,650	29.93	9-Nov	3-Dec	232.50	5.0
SATELLITE ASSET MGMT	012	М	В	10,000	30.08	9-Nov	3-Dec	400.00	4.0
THIRD COAST CAPITAL	035	М	В	25,000	29.94	9-Nov	3-Dec	1,250.00	5.0
TROUBH PART	067	М	В	50,000	30.11	9-Nov	3-Dec	2,500.00	5.0
PIVOT CAP	034	NKE	S	3,400	66.15	n/a	n/a	170.00	5.0
PIVOT CAP	034	NWSA	S	7,500	21.00	n/a	n/a	375.00	5.0
BUCK CAPITAL MGMT	001	NWY	S	150,000	7.38	n/a	20-Nov	6,000.00	4.0
WHITE PINE CAPITAL	030	NWY	S	225	7.47	n/a	20-Nov	11.25	5.0
ROYCE TRADING	216	OSK	В	4,125	47.91	n/a	n/a	206.25	5.0
ROYCE TRADING	216	PBY	В	5,000	10.88	n/a	n/a	250.00	5.0
WHITE PINE CAPITAL	030	PERY	S	125	16.41	n/a	n/a	6.25	5.0

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Account	RR #	Symbol	в/:	s	Shares	Price	MRI	Research	Comm.	¢/Shr.	-
LATEFF MGMT	040	PFE	В		1,000	23.46	n/a	31-Mar	210.00	21.0	
BELMONT GLOBAL ADV	248	PLCE	В		22,000	28.89	3-Dec	3-Dec	1,100.00	5.0	
METROPOLITAN CAPITAL	044	PLCE		S	20,800	28.95	3-Dec	3-Dec	832.00	4.0	
LUCHANSKY	036	PLCE	В		150	28.91	3-Dec	3-Dec	0.00	0.0	
ROYCE TRADING	216	PMC	В		5,000	14.47	n/a	n/a	250.00	5.0	
ROYCE TRADING	216	PSS	В		5,000	15.32	n/a	n/a	250.00	5.0	
COUGAR TRADING	044	PVH	В		10,000	43.79	21-Nov	21-Nov	500.00	5.0	
COLE	N24	QQECX	В		17	1.35	n/a	n/a	0.00	0.0	
MERRILL ASSET	032	RGA	В		14,900	53.28	n/a	n/a	745.00	5.0	
ROYCE TRADING	216	RHB		S	2,500	23.34	n/a	n/a	125.00	5.0	
RIVER RUN MGMT	031	SCSS	В		100,000	10.47	n/a	n/a	5,000.00	5.0	
WELLS/STRONG LEDDY	035	SCVL		S	4,700	11.40	n/a	n/a	188.00	4.0	
BUCK CAPITAL MGMT	001	SKS	В		12,500	20.74	n/a	n/a	500.00	4.0	
SIGMA CAPITAL ASSOCIATES	237	SKS		S	70,000	20.68	n/a	n/a	3,500.00	5.0	
LEDDY	035	SLB		s	200	93.33	n/a	n/a	0.00	0.0	
MERRILL LYNCH STRATEGICI	034	SLG	В		12,000	101.58	n/a	n/a	720.00	6.0	
WILLOW CREEK	033	SNS	В		19,000	11.67	n/a	n/a	570.00	3.0	
	LATEFF MGMT BELMONT GLOBAL ADV METROPOLITAN CAPITAL LUCHANSKY ROYCE TRADING ROYCE TRADING COLE MERRILL ASSET ROYCE TRADING RIVER RUN MGMT WELLS/STRONG LEDDY BUCK CAPITAL MGMT SIGMA CAPITAL ASSOCIATES LEDDY MERRILL LYNCH STRATEGICI	LATEFF MGMT 040 BELMONT GLOBAL ADV 248 METROPOLITAN CAPITAL 044 LUCHANSKY 036 ROYCE TRADING 216 ROYCE TRADING 216 COUGAR TRADING 044 COLE N24 MERRILL ASSET 032 ROYCE TRADING 216 RIVER RUN MGMT 031 WELLS/STRONG LEDDY 035 BUCK CAPITAL MGMT 001 SIGMA CAPITAL ASSOCIATES 237 LEDDY 035	BELMONT GLOBAL ADV METROPOLITAN CAPITAL LUCHANSKY ROYCE TRADING COUGAR TRADING COLE MERRILL ASSET ROYCE TRADING ROYCE TRADING COLE MERRILL ASSET ROYCE TRADING ROYCE TRADING COLE MERRILL ASSET ROYCE TRADING COLE MERRILL ASSET COUGAR TRADING COLE MERRILL ASSET COUGAR COLE MERRILL ASSET COUGAR COLE COL	BELMONT GLOBAL ADV METROPOLITAN CAPITAL LUCHANSKY ROYCE TRADING COLE MERRILL ASSET ROYCE TRADING ROYCE TRADING MERRILL ASSET ROYCE TRADING ROYCE TRADING ROYCE TRADING MERRILL ASSET ROYCE TRADING ROYCE TRA	BELMONT GLOBAL ADV METROPOLITAN CAPITAL LUCHANSKY ROYCE TRADING COUGAR TRADING MERRILL ASSET ROYCE TRADING ROYCE TRADING COLE MERRILL ASSET ROYCE TRADING ROYCE TRADING COLE MERRILL ASSET ROYCE TRADING COLE MERRILL ASSET COUGAR TRADING COLE COLE	LATEFF MGMT 040 PFE B 1,000 BELMONT GLOBAL ADV 248 PLCE B 22,000 METROPOLITAN CAPITAL 044 PLCE S 20,800 LUCHANSKY 036 PLCE B 150 ROYCE TRADING 216 PMC B 5,000 ROYCE TRADING 216 PSS B 5,000 COUGAR TRADING 044 PVH B 10,000 COLE N24 QQECX B 17 MERRILL ASSET 032 RGA B 14,900 ROYCE TRADING 216 RHB S 2,500 RIVER RUN MGMT 031 SCSS B 100,000 WELLS/STRONG LEDDY 035 SCVL S 4,700 BUCK CAPITAL MGMT 001 SKS B 12,500 SIGMA CAPITAL ASSOCIATES 237 SKS S 70,000 LEDDY 035 SLB S 200 MERRILL LYNCH STRATEGICI 034 SLG B 12,000	LATEFF MGMT 040 PFE B 1,000 23.46 BELMONT GLOBAL ADV 248 PLCE B 22,000 28.89 METROPOLITAN CAPITAL 044 PLCE S 20,800 28.95 LUCHANSKY 036 PLCE B 150 28.91 ROYCE TRADING 216 PMC B 5,000 14.47 ROYCE TRADING 216 PSS B 5,000 15.32 COUGAR TRADING 044 PVH B 10,000 43.79 COLE N24 QQECX B 17 1.35 MERRILL ASSET 032 RGA B 14,900 53.28 ROYCE TRADING 216 RHB S 2,500 23.34 RIVER RUN MGMT 031 SCSS B 100,000 10.47 WELLS/STRONG LEDDY 035 SCVL S 4,700 11.40 BUCK CAPITAL MGMT 001 SKS B 12,500 20.74 SIGMA CAPITAL ASSOCIATES 237 SKS S 70,000 20.68 LEDDY 035 SLB S 200 93.33 MERRILL LYNCH STRATEGICI 034 SLG B 12,000 101.58	LATEFF MGMT 040 PFE B 1,000 23.46 n/a BELMONT GLOBAL ADV 248 PLCE B 22,000 28.89 3-Dec METROPOLITAN CAPITAL 044 PLCE S 20,800 28.95 3-Dec LUCHANSKY 036 PLCE B 150 28.91 3-Dec ROYCE TRADING 216 PMC B 5,000 14.47 n/a ROYCE TRADING 216 PSS B 5,000 15.32 n/a COUGAR TRADING 044 PVH B 10,000 43.79 21-Nov COLE N24 QQECX B 17 1.35 n/a MERRILL ASSET 032 RGA B 14,900 53.28 n/a ROYCE TRADING 216 RHB S 2,500 23.34 n/a ROYCE TRADING 216 RHB S 2,500 23.34 n/a ROYCE TRADING 216 SKS B 100,000 10.47 n/a BUCK CAPITAL MGMT 031 SKS B 12,500 20.74 n/a BUCK CAPITAL MGMT 001 SKS B 12,500 20.74 n/a BUCK CAPITAL MGMT 001 SKS B 12,500 20.74 n/a LEDDY 035 SLB S 200 93.33 n/a MERRILL LYNCH STRATEGICI 034 SLG B 12,000 101.58 n/a	LATEFF MGMT 040 PFE B 1,000 23.46 n/a 31-Mar BELMONT GLOBAL ADV 248 PLCE B 22,000 28.89 3-Dec 3-Dec METROPOLITAN CAPITAL 044 PLCE S 20,800 28.95 3-Dec 3-Dec LUCHANSKY 036 PLCE B 150 28.91 3-Dec 3-Dec November 20,000 14.47 n/a	LATEFF MCMT 040 PFE B 1,000 23.46 n/a 31-Mar 210.00 BELMONT GLOBAL ADV 248 PLCE B 22,000 28.89 3-Dec 3-Dec 832.00 METROPOLITAN CAPITAL 044 PLCE S 20,800 28.95 3-Dec 3-Dec 832.00 LUCHANSKY 036 PLCE B 150 28.91 3-Dec 3-Dec 832.00 ROYCE TRADING 216 PMC B 5,000 14.47 n/a n/a 250.00 ROYCE TRADING 216 PSS B 5,000 15.32 n/a n/a 250.00 COUGAR TRADING 044 PVH B 10,000 43.79 21-Nov 21-Nov 500.00 MERRILL ASSET 032 RGA B 14,900 53.28 n/a n/a n/a 745.00 ROYCE TRADING 216 RHB S 2,500 23.34 n/a n/a 125.00 ROYCE TRADING 216 SHB S 4,700 10.47 n/a n/a 5,000.00 RUVER RUN MCMT 031 SCSS B 100,000 10.47 n/a n/a 5,000.00 BUCK CAPITAL MGMT 001 SKS B 12,500 20.74 n/a n/a 1/a 500.00 BUCK CAPITAL MGMT 011 SKS B 12,500 20.74 n/a n/a n/a 3,500.00 BUCK CAPITAL MGMT 011 SKS B 12,500 20.74 n/a n/a n/a 3,500.00 BUCK CAPITAL MGMT 035 SLB S 8 200 93.33 n/a n/a n/a 720.00	LATEFF MGMT 040 PFE B 1,000 23.46

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.	
SAC TRADING HOWARD	038	SPLS	В	38,800	23.76	n/a	27-Jul	1,940.00	5.0	
SENECA CAPITAL LP NY	028	SPY	S	42,000	147.61	n/a	n/a	2,100.00	5.0	
PIVOT CAP	034	SWY	S	4,250	35.14	n/a	n/a	212.50	5.0	
BUCK	015	TGT	s	500	59.97	n/a	27-Jul	0.00	0.0	
SATELLITE ASSET MGMT	012	TIF	SS	s 5,000	48.10	18-Oct	3-Dec	200.00	4.0	
XYLEM GLOBAL	091	TIN	В	14,000	44.86	9-Nov	9-Nov	700.00	5.0	
SATELLITE ASSET MGMT	012	TTWO	S	5,000	16.58	n/a	n/a	200.00	4.0	
ROXBURY CAPITAL MGMT	035	TXRH	В	40,080	12.51	n/a	n/a	1,603.20	4.0	
SCOGGIN CAP	044	UBS	В	66,500	49.68	n/a	n/a	3,325.00	5.0	
ROXBURY CAPITAL MGMT	035	UNFI	В	34,250	28.77	n/a	n/a	1,370.00	4.0	
ROYCE TRADING	216	VOL	В	5,000	12.85	n/a	n/a	250.00	5.0	
ADAGE CAPITAL MGMT	030	WMT	В	300,000	47.97	20-Nov	3-Dec	12,000.00	4.0	
PIVOT CAP	034	WMT	S	4,373	48.18	20-Nov	3-Dec	218.65	5.0	
STERLING JOHNSTON	035	WRNC	В	35 , 800	37.54	6-Nov	12-Nov	1,790.00	5.0	
GALLEON MGMT LP	033	WTSLA	В	125,000	2.25	n/a	n/a	3,750.00	3.0	
RHO CAPITAL MGMT	041	XSI	S	300	3.17	n/a	n/a	12.00	4.0	

TOTAL (Trade Date): 181,021.52

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CXL	11/30	FARALLON CAP MGMT (FARABULK F)	040	BIG	SS	110,000	19.08	30-Nov	3-Dec	4400.00	4.0
AO,CRT	11/30	FARALLON CAP MGMT (FARABULK F)	040	BIG	SS	110,000	19.08	30-Nov	3-Dec	3300.00	3.0
AO,CXL	11/30	KNOTT PARTNERS (KNOTGS)	044	BIG	В	216,500	19.22	30-Nov	3-Dec	8660.00	4.0
AO,CRT	11/30	KNOTT PARTNERS (KNOTGS)	044	BIG	В	216,500	19.22	30-Nov	3-Dec	8660.00	4.0
AO,CXL	11/30	FIRST NEW YORK LEDDY (FNYS)	035	GE	В	25,000	38.14	n/a	n/a	1250.00	5.0
AO, CRT	11/30	FIRST NY SEC/CHRIS (FNYCHRIS)	041	GE	В	25,000	38.14	n/a	n/a	1250.00	5.0
CRT	12/03	EMP ERROR (EMP ERROR)	099	IVZ	В	100	25.33	21-Nov	3-Dec	0.00	0.0
CRT	12/03	CR INTRINIC INVESTMENT (CRINGSPB)	044	IVZ	SS	250,000	27.02	21-Nov	3-Dec	12500.00	5.0
AO,CXL	11/30	FIRST NEW YORK LEDDY (FNYS)	035	IVZ	В	10,000	26.25	21-Nov	3-Dec	600.00	6.0
AO,CRT	11/30	FIRST NY SEC/CHRIS (FNYCHRIS)	041	IVZ	В	10,000	26.25	21-Nov	3-Dec	600.00	6.0
AO,	11/30	FRONTPOINT (FROPGS)	035	IVZ	В	114,000	26.21	21-Nov	3-Dec	4560.00	4.0
AO,	11/30	FRONTPOINT (FROPGS)	035	IVZ	В	27,800	26.21	21-Nov	3-Dec	1112.00	4.0
CRT	12/03	SSI INVESTORS (SSIIMORGAN)	048	IVZ	В	48,425	27.10	21-Nov	3-Dec	1937.00	4.0
CRT	12/03	SSI INVESTORS (SSIIUBS PA)	048	IVZ	В	30,800	27.10	21-Nov	3-Dec	1232.00	4.0
CRT	12/03	SSI INVESTORS (SSIISMITH)	048	IVZ	В	33,103	27.10	21-Nov	3-Dec	1324.12	4.0
AO,CXL	11/30	STADIA CAPITAL (STADGOLDMA)	035	IVZ	В	114,000	26.21	21-Nov	3-Dec	4560.00	4.0
AO,CXL	11/30	STADIA CAPITAL (STADGOLDMA)	035	IVZ	В	27,800	26.21	21-Nov	3-Dec	1112.00	4.0
CRT	12/03	COUGAR TRADING (COUGPB MS)	044	JCG	SS	10,000	47.60	28-Nov	30-Nov	500.00	5.0
AO,	11/30	GARDNER LEWIS ASSET MGMT (GLAMCCG)	028	MET	S	44,100	66.83	n/a	n/a	2205.00	5.0
AO,CXL	11/30	VISIUM/BALY HOWARD (VISHMS)	038	TEVA	В	50,000	44.20	2-Aug	27-Nov	2500.00	5.0
AO, CRT	11/30	VISIUM/DIV OF BALY BOBBY (VISBMSBOB)	044	TEVA	В	50,000	44.20	2-Aug	27-Nov	2500.00	5.0
AO,CRT	11/29	STRAUSS ASSET MGMT (STRATTON)	N21	WINN	В	300	18.40	n/a	n/a	0.00	0.0
AO,CXL	11/29	STRAUSS ASSET MGMT (STRATTON)	N21	WINN	В	300	18.40	n/a	n/a	0.00	0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI R	esearch	Comm.	¢/Shr.
AO, CRT	11/30	STRAUSS ASSET MGMT (STRATTON)	N21	WINN	S	300	19.01	n/a	n/a	0.00	0.0
AO,CXL	11/30	STRAUSS ASSET MGMT (STRATTON)	N21	WINN	S	300	19.01	n/a	n/a	0.00	0.0
AO,	11/30	STG INVESTORS (STGIGOLDMA)	041	YHOO	В	600	26.97	n/a	n/a	24.00	4.0
AO,	11/30	STG INVESTORS (STGIBANC O)	041	YHOO	В	11,500	26.97	n/a	n/a	460.00	4.0
AO,CXL	11/30	STG INVESTORS (STGIMAIN.)	041	YHOO	В	30,000	26.97	n/a	n/a	1200.00	4.0
AO, CRT	11/30	STG INVESTORS (STGIMAIN.)	041	YHOO	В	17,900	26.97	n/a	n/a	716.00	4.0

TOTAL (RUN DATE) / NES:	199.619.64
TOTAL (AO, CXL, CRT):	18,598.12
TOTAL (Trade Date):	181,021.52

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