



# Daily Compliance Activity Report

Trade Date: 12/28/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MAGUIRE	090	AAI	S	12,500	7.27	n/a	n/a	0.00	0.0
TRUSTCO/SUNTRUST	040	ABG	B	99,600	15.14	31-Oct	4-Dec	2,988.00	3.0
LEDDY	035	ABG	S	1,400	15.27	31-Oct	4-Dec	0.00	0.0
KORMAN	003	ABK	B	2,000	25.47	n/a	n/a	0.00	0.0
ROYCE TRADING	216	AEO	B	25,000	20.59	9-Nov	7-Dec	1,250.00	5.0
MAGUIRE	090	AMR	S	2,500	14.04	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	ANF	S	75,000	79.97	2-Oct	7-Dec	3,000.00	4.0
COUGAR TRADING	044	ANF	B	5,000	79.97	2-Oct	7-Dec	250.00	5.0
CAPITAL GROWTH MGMT.	241	APD	B	74,900	101.80	n/a	24-Oct	3,745.00	5.0
BUCK CAPITAL MGMT	001	BBY	S	82,200	52.29	n/a	27-Jul	3,288.00	4.0
JP MORGAN VENTURES	046	BBY	SS	15,000	52.36	n/a	27-Jul	750.00	5.0
LEDDY	035	BONT	S	2,700	10.17	9-Nov	7-Dec	0.00	0.0
MAGUIRE	090	BONT	S	3,000	9.97	9-Nov	7-Dec	0.00	0.0
BARR	096	BQI	B	8,000	4.22	n/a	n/a	0.00	0.0
SLS CAPITAL LLC	224	BSC	S	118,300	86.64	21-Dec	21-Dec	4,732.00	4.0
OPPENHEIMER MGMT.	036	CAG	S	80,700	24.01	n/a	n/a	807.00	1.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>MAGUIRE</b>	<b>090</b>	<b>CAL</b>	<b>B</b>	<b>2,000</b>	<b>21.96</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TRUSTCO/SUNTRUST	040	CBK	B	28,500	10.89	n/a	28-Dec	855.00	3.0
<b>LEDDY</b>	<b>035</b>	<b>CHCG</b>	<b>S</b>	<b>2,500</b>	<b>3.18</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>APEX CAPITAL MGMT.</b>	<b>091</b>	<b>COH</b>	<b>B</b>	<b>50,000</b>	<b>30.07</b>	<b>24-Oct</b>	<b>24-Oct</b>	<b>2,500.00</b>	<b>5.0</b>
SERENGETI MGMT	030	C	SS	50,000	29.56	5-Nov	19-Dec	2,000.00	4.0
<b>MAGUIRE</b>	<b>090</b>	<b>DAL</b>	<b>B</b>	<b>5,000</b>	<b>14.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CRAMER ROSENTHAL/SCOTT	012	DBRN	S	3,100	13.05	n/a	n/a	124.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DDS</b>	<b>SS</b>	<b>20,000</b>	<b>18.68</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
PROSPECTOR PARTNERS LLC	036	DD	B	20,000	44.20	n/a	4-Dec	800.00	4.0
JP MORGAN VENTURES	046	DIA	SS	50,000	133.68	n/a	n/a	1,500.00	3.0
CRAMER ROSENTHAL/SCOTT	012	DLTR	S	900	26.29	9-Nov	7-Dec	36.00	4.0
CRAMER ROSENTHAL/SCOTT	012	EFII	S	2,500	22.05	n/a	n/a	100.00	4.0
PROSPECTOR PARTNERS LLC	036	EIG	B	10,000	17.09	n/a	n/a	400.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>B</b>	<b>10,000</b>	<b>38.94</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
<b>BARR</b>	<b>096</b>	<b>GLD</b>	<b>B</b>	<b>200</b>	<b>82.77</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.	
DC CAPITAL	044	GLW	B	150,000	24.25	n/a	26-Dec	6,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GM</b>	<b>SS</b>	<b>10,000</b>	<b>25.22</b>	<b>n/a</b>	<b>4-Dec</b>	<b>400.00</b>	<b>4.0</b>
TRUSTCO/SUNTRUST	040	GPI	B	30,200	24.47	31-Oct	31-Oct	906.00	3.0
<b>BARR</b>	<b>096</b>	<b>IOM</b>	<b>S</b>	<b>4,000</b>	<b>3.32</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PROSPECTOR PARTNERS LLC	036	IP	B	10,000	32.40	n/a	5-Nov	400.00	4.0
<b>Õ Michael Marrano</b>		<b>IYR</b>	<b>S</b>	<b>400</b>	<b>65.4600</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>JAH</b>	<b>B</b>	<b>20,000</b>	<b>23.50</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCG</b>	<b>S</b>	<b>10,000</b>	<b>48.85</b>	<b>28-Nov</b>	<b>30-Nov</b>	<b>400.00</b>	<b>4.0</b>
COUGAR TRADING	044	JCG	SS	5,000	48.67	28-Nov	30-Nov	250.00	5.0
<b>MAGUIRE</b>	<b>090</b>	<b>JCP</b>	<b>S</b>	<b>1,000</b>	<b>43.14</b>	<b>15-Nov</b>	<b>7-Dec</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JWN</b>	<b>S</b>	<b>46,600</b>	<b>36.12</b>	<b>20-Nov</b>	<b>7-Dec</b>	<b>1,864.00</b>	<b>4.0</b>
SYSTEMATIC FINANCIAL MGT	035	KCP	B	3,500	17.44	28-Sep	28-Sep	131.25	3.8
BENCHMARK	028	KMX	SS	5,000	19.28	n/a	10-Jan	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KMX</b>	<b>B</b>	<b>40,000</b>	<b>19.40</b>	<b>n/a</b>	<b>10-Jan</b>	<b>1,600.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KSS</b>	<b>S</b>	<b>100,000</b>	<b>44.81</b>	<b>9-Nov</b>	<b>7-Dec</b>	<b>4,000.00</b>	<b>4.0</b>
COUGAR TRADING	044	KSS	B	10,000	44.85	9-Nov	7-Dec	500.00	5.0
SANDLER O'NEILL ASSET	031	LM	S	13,000	72.09	17-Dec	24-Dec	650.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>MAGUIRE</b>	<b>090</b>	<b>LUV</b>	<b>S</b>	<b>10,000</b>	<b>12.32</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
UNITED STATES PENSION	032	MHS	S	154,100	101.24	n/a	n/a	7,705.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>M</b>	<b>B</b>	<b>10,000</b>	<b>25.15</b>	<b>9-Nov</b>	<b>7-Dec</b>	<b>400.00</b>	<b>4.0</b>
FIRST NY SEC/CHRIS	041	M	B	10,000	25.30	9-Nov	7-Dec	600.00	6.0
PILOT ADV	038	M	S	88,600	25.05	9-Nov	7-Dec	3,544.00	4.0
CAXTON PART	040	NFS	B	1,200	44.47	n/a	n/a	42.01	3.5
<b>APEX CAPITAL MGMT.</b>	<b>091</b>	<b>NUAN</b>	<b>B</b>	<b>30,000</b>	<b>18.53</b>	<b>n/a</b>	<b>n/a</b>	<b>1,500.00</b>	<b>5.0</b>
<b>BARR</b>	<b>096</b>	<b>PDFS</b>	<b>B</b>	<b>2,500</b>	<b>9.47</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>STRATTON</b>	<b>N21</b>	<b>PHH</b>	<b>B</b>	<b>200</b>	<b>17.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
HIGHBRIDGE CAPITAL	038	PKG	SS	110,000	28.57	18-Oct	8-Nov	5,500.00	5.0
<b>STRATTON</b>	<b>N21</b>	<b>PLUS</b>	<b>B</b>	<b>500</b>	<b>9.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PROSPECTOR PARTNERS LLC	036	PPS	B	10,000	34.49	n/a	n/a	400.00	4.0
JP MORGAN VENTURES	046	PVH	B	10,000	37.54	5-Dec	21-Dec	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RVI</b>	<b>B</b>	<b>94,000</b>	<b>5.19</b>	<b>n/a</b>	<b>n/a</b>	<b>3,760.00</b>	<b>4.0</b>
MS PRINCIPAL STRATEGIES	041	SKYW	S	4,200	27.32	n/a	n/a	210.00	5.0
<b>XYLEM GLOBAL</b>	<b>091</b>	<b>TIN</b>	<b>B</b>	<b>40,000</b>	<b>29.35</b>	<b>11-Dec</b>	<b>11-Dec</b>	<b>2,000.00</b>	<b>5.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
H PARTNERS MGMT LLC	031	TPX	SS	25,000	26.62	n/a	n/a	1,000.00	4.0
COUGAR TRADING	044	TWB	B	5,000	26.77	19-Nov	19-Nov	250.00	5.0
<b>STRATTON</b>	<b>N21</b>	<b>WINN</b>	<b>B</b>	<b>200</b>	<b>16.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TRUSTCO/SUNTRUST	040	WRE	B	106,900	31.39	n/a	n/a	3,207.00	3.0
CAXTON PART	040	XOM	S	53,869	94.47	n/a	n/a	1,885.42	3.5
PROSPECTOR PARTNERS LLC	036	XRX	B	10,000	16.24	n/a	n/a	400.00	4.0
<b>TOTAL (Trade Date):</b>								<b>81,379.68</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4443)	040	ALU	S	2,000	7.44	n/a	n/a	80.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4454)	040	ALU	S	400	7.44	n/a	n/a	16.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4467)	040	ALU	S	10,300	7.44	n/a	n/a	412.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4473)	040	ALU	S	600	7.44	n/a	n/a	24.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4476)	040	ALU	S	4,100	7.44	n/a	n/a	164.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4431)	040	ALU	S	1,500	7.44	n/a	n/a	60.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4412)	040	ALU	S	100	7.44	n/a	n/a	4.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4396)	040	ALU	S	39,700	7.44	n/a	n/a	1588.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4382)	040	ALU	S	3,000	7.44	n/a	n/a	120.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4387)	040	ALU	S	400	7.44	n/a	n/a	16.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4378)	040	ALU	S	600	7.44	n/a	n/a	24.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4366)	040	ALU	S	10,800	7.44	n/a	n/a	432.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4365)	040	ALU	S	169,900	7.44	n/a	n/a	6796.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4358)	040	ALU	S	3,200	7.44	n/a	n/a	128.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4312)	040	ALU	S	2,200	7.44	n/a	n/a	88.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4308)	040	ALU	S	700	7.44	n/a	n/a	28.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4315)	040	ALU	S	1,900	7.44	n/a	n/a	76.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4306)	040	ALU	S	6,500	7.44	n/a	n/a	260.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4150)	040	ALU	S	100	7.44	n/a	n/a	4.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4739)	040	ALU	S	3,200	7.44	n/a	n/a	128.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4236)	040	ALU	S	8,500	7.44	n/a	n/a	340.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4740)	040	ALU	S	200	7.44	n/a	n/a	8.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4225)	040	ALU	S	9,500	7.44	n/a	n/a	380.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4741)	040	ALU	S	100	7.44	n/a	n/a	4.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4204)	040	ALU	S	198	7.44	n/a	n/a	7.92 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4708)	040	ALU	S	400	7.44	n/a	n/a	16.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4151)	040	ALU	S	43	7.44	n/a	n/a	1.72 4.0

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AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4732)	040	ALU	S	6,300	7.44	n/a	n/a	252.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4066)	040	ALU	S	200	7.44	n/a	n/a	8.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4737)	040	ALU	S	1,200	7.44	n/a	n/a	48.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4056)	040	ALU	S	700	7.44	n/a	n/a	28.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4727)	040	ALU	S	400	7.44	n/a	n/a	16.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4033)	040	ALU	S	22	7.44	n/a	n/a	0.88 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4664)	040	ALU	S	2,800	7.44	n/a	n/a	112.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4039)	040	ALU	S	2,200	7.44	n/a	n/a	88.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4704)	040	ALU	S	400	7.44	n/a	n/a	16.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4031)	040	ALU	S	5,200	7.44	n/a	n/a	208.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4705)	040	ALU	S	100	7.44	n/a	n/a	4.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO3991)	040	ALU	S	100	7.44	n/a	n/a	4.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4709)	040	ALU	S	700	7.44	n/a	n/a	28.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO3990)	040	ALU	S	200	7.44	n/a	n/a	8.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4678)	040	ALU	S	6,100	7.44	n/a	n/a	244.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO3987)	040	ALU	S	100	7.44	n/a	n/a	4.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4693)	040	ALU	S	600	7.44	n/a	n/a	24.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO3984)	040	ALU	S	200	7.44	n/a	n/a	8.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4694)	040	ALU	S	400	7.44	n/a	n/a	16.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4026)	040	ALU	S	9,400	7.44	n/a	n/a	376.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4675)	040	ALU	S	6,200	7.44	n/a	n/a	248.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4010)	040	ALU	S	2,100	7.44	n/a	n/a	84.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4669)	040	ALU	S	2,200	7.44	n/a	n/a	88.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO3909)	040	ALU	S	146,100	7.44	n/a	n/a	5844.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4670)	040	ALU	S	800	7.44	n/a	n/a	32.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4004)	040	ALU	S	200	7.44	n/a	n/a	8.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4671)	040	ALU	S	400	7.44	n/a	n/a	16.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO3948)	040	ALU	S	100	7.44	n/a	n/a	4.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4676)	040	ALU	S	10,500	7.44	n/a	n/a	420.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO3947)	040	ALU	S	400	7.44	n/a	n/a	16.00 4.0

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AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4667)	040	ALU	S	4,700	7.44	n/a	n/a	188.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO3944)	040	ALU	S	1,400	7.44	n/a	n/a	56.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4623)	040	ALU	S	900	7.44	n/a	n/a	36.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO3943)	040	ALU	S	5,000	7.44	n/a	n/a	200.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4624)	040	ALU	S	200	7.44	n/a	n/a	8.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO3942)	040	ALU	S	1,400	7.44	n/a	n/a	56.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4625)	040	ALU	S	2,100	7.44	n/a	n/a	84.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO3941)	040	ALU	S	600	7.44	n/a	n/a	24.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4639)	040	ALU	S	1,600	7.44	n/a	n/a	64.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO3940)	040	ALU	S	100	7.44	n/a	n/a	4.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4640)	040	ALU	S	300	7.44	n/a	n/a	12.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO3939)	040	ALU	S	4,600	7.44	n/a	n/a	184.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4647)	040	ALU	S	400	7.44	n/a	n/a	16.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO3938)	040	ALU	S	500	7.44	n/a	n/a	20.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4648)	040	ALU	S	1,100	7.44	n/a	n/a	44.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO3910)	040	ALU	S	88,000	7.44	n/a	n/a	3520.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4617)	040	ALU	S	2,900	7.44	n/a	n/a	116.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO3905)	040	ALU	S	38,200	7.44	n/a	n/a	1528.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4637)	040	ALU	S	3,000	7.44	n/a	n/a	120.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO3903)	040	ALU	S	1,900	7.44	n/a	n/a	76.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4622)	040	ALU	S	4,800	7.44	n/a	n/a	192.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO3902)	040	ALU	S	6,100	7.44	n/a	n/a	244.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4621)	040	ALU	S	2,100	7.44	n/a	n/a	84.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4444)	040	ALU	S	2,500	7.44	n/a	n/a	100.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4619)	040	ALU	S	1,000	7.44	n/a	n/a	40.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4618)	040	ALU	S	3,400	7.44	n/a	n/a	136.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4524)	040	ALU	S	1,000	7.44	n/a	n/a	40.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4547)	040	ALU	S	1,200	7.44	n/a	n/a	48.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4587)	040	ALU	S	600	7.44	n/a	n/a	24.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4577)	040	ALU	S	5,600	7.44	n/a	n/a	224.00 4.0



Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4574)	040	ALU	S	3,000	7.44	n/a	n/a	120.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4568)	040	ALU	S	400	7.44	n/a	n/a	16.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4567)	040	ALU	S	3,000	7.44	n/a	n/a	120.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4458)	040	ALU	S	700	7.44	n/a	n/a	28.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4480)	040	ALU	S	3,600	7.44	n/a	n/a	144.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4510)	040	ALU	S	27,600	7.44	n/a	n/a	1104.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4493)	040	ALU	S	1,400	7.44	n/a	n/a	56.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4509)	040	ALU	S	800	7.44	n/a	n/a	32.00 4.0
AO,	12/27	TRUST CO/COWEN/CALF. (TRCO4433)	040	ALU	S	41,400	7.44	n/a	n/a	1656.00 4.0
AO,CXL	12/27	PILOT ROCK (PILRPARTEX)	028	EBAY	SS	25,000	34.05	n/a	n/a	1250.00 5.0
AO,CRT	12/27	PILOT ROCK (PILRPARTEX)	028	EBAY	SS	25,000	34.05	n/a	n/a	1000.00 4.0
AO,	12/27	ROYCE TRADING (ROYC42)	216	HEIA	S	100	42.50	n/a	n/a	5.00 5.0
CRT	12/28	COUGAR TRADING (COUGPB MS)	044	JCG	SS	5,000	48.67	28-Nov	30-Nov	250.00 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>30,227.52</b>
TOTAL (Trade Date):										81,379.68
TOTAL (AO, CXL, CRT):										30,227.52
<b>TOTAL (RUN DATE) / NFS:</b>										<b>111,607.20</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