

Daily Compliance Activity Report Trade Date: 03/27/2008

POTENTIAL ANALYST TRADE VIOLATIONS: 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
TRUSTCO/SUNTRUST	040	ABG	В	23,900	14.40	25-Jan	22-Feb	764.80	3.2
LEDDY	035	ABG	S	1,800	14.44	25-Jan	22-Feb	0.00	0.0
VENTANA CAPITAL	060	AKNS	В	10,000	6.69	n/a	n/a	400.00	4.0
AMATURO	018	AKNS	В	1,000	6.49	n/a	n/a	0.00	0.0
AMATURO	018	AKNS	S	1,000	7.60	n/a	n/a	0.00	0.0
COLUMBUS CIRCLE	036	AMAT	В	492,942	20.13	n/a	n/a	17,793.26	3.0
COUGAR TRADING	044	AN	SS	5,000	15.22	n/a	8-Feb	250.00	5.0
SINCLAIR	031	APCEM	S	40	4.00	n/a	n/a	0.00	0.0
TRELLUS PARTNERS LP	028	ARGN	В	5,000	15.10	n/a	25-Feb	250.00	5.0
LEDDY	035	ARGN	В	1,600	15.76	n/a	25-Feb	0.00	0.0
ZOLIDIS	011	ARO	В	500	28.00	29-Nov	14-Mar	0.00	0.0
MOORE CAPITAL	036	ASML	В	100,000	23.88	n/a	n/a	4,000.00	4.0
SANDLER O'NEILL ASSET	031	BAC	В	50,000	38.95	13-Nov	17-Mar	2,500.00	5.0
MOORE CAPITAL	036	BBY	SS	100,000	42.36	n/a	27-Jul	4,000.00	4.0
PHILADELPHIA FINANCIAL	033	BEN	S	22,703	100.41	24-Mar	26-Mar	1,135.15	5.0
CENTURION PARTNERS	255	BK	S	25,000	42.45	19-0ct	10-Mar	1,250.00	5.0

Account	RR #	Symbol	B/S		Shares	Price	MRI	Research	Comm.	Shr.	
GRONET	030	CALM	В		1,000	40.41	n/a	n/a	0.00	0.0	
LUCHANSKY	036	CALM	В		100	40.43	n/a	n/a	0.00	0.0	
LUCHANSKY	036	CALM		S	100	36.75	n/a	n/a	0.00	0.0	
GALLEON MGMT LP	033	CCU		S	5,000	29.98	n/a	n/a	250.00	5.0	
N STRATTON	014	CHIC	В		198	17.30	n/a	n/a	0.00	0.0	
GRUSS CAPITAL	045	CKR	В		10,000	11.33	n/a	n/a	400.00	4.0	
BUCK	015	СМА	С		700	36.43	n/a	n/a	0.00	0.0	
OGORMAN	046	СМО		S	1,500	12.40	n/a	n/a	0.00	0.0	
BEAR STEARNS ASSET MGMT.	033	СОН		SS	40,000	30.85	24-Oct	14-Mar	1,600.00	4.0	
WHEELER	800	CPNID		S	219	2.20	n/a	n/a	0.00	0.0	
GAULT	063	CPN		s	1,123	18.59	n/a	n/a	0.00	0.0	
MERRILL ASSET	032	CRR	В		12,700	39.31	13-Feb	26-Mar	571.50	4.5	
PRINCIPLE CAPITAL	040	DKS		SS	70,000	27.26	n/a	14-Mar	2,100.00	3.0	
BUCK CAPITAL MGMT	001	DSW		S	20,000	13.87	26-Oct	20-Mar	800.00	4.0	
NOMURA CAPITAL	045	DTG	В		3,600	14.20	n/a	n/a	180.00	5.0	
OGORMAN	046	DXD	В		260	55.99	n/a	n/a	0.00	0.0	

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Account	RR #	Symbol	B/S		Shares	Price	MRI	Research	Comm.	Shr.	
STADIA CAPITAL	035	EL	В		25 , 000	46.10	4-Jan	4-Feb	1,000.00	4.0	
GAULT	063	EXLP	В		1,500	29.70	n/a	n/a	0.00	0.0	
N STRATTON	014	FBEI	В		290	12.00	n/a	n/a	0.00	0.0	
N STRATTON	014	FBSI	В		300	16.50	n/a	n/a	0.00	0.0	
BUCK CAPITAL MGMT	001	GES	В		10,000	40.05	n/a	n/a	400.00	4.0	
TRIVIUM CAP MGMT	251	GLW		SS	50,000	24.40	n/a	27-Mar	2,000.00	4.0	
BELMONT GLOBAL ADV	248	GMO	В		30,000	8.18	n/a	n/a	1,500.00	5.0	
AMATURO	018	GMO	В		1,000	8.23	n/a	n/a	0.00	0.0	
EFSTATHIOU	044	GMO	В		1,000	8.05	n/a	n/a	0.00	0.0	
COUGAR TRADING	044	GPS		SS	10,000	20.35	n/a	7-Mar	500.00	5.0	
BUCK	015	HD		SS	700	28.12	n/a	27-Jul	0.00	0.0	
BEAR STEARNS ASSET MGMT.	033	HON	В		25 , 000	55.16	n/a	25-Jan	1,000.00	4.0	
FARALLON CAP MGMT	040	IAI	В		215,000	38.96	n/a	n/a	8,600.00	4.0	
CROWLEY	061	ILA	В		5,000	3.21	n/a	n/a	0.00	0.0	
BARR	096	IOM		s	7,000	3.56	n/a	n/a	0.00	0.0	
GENERAL ELECTIC CO	033	IRM	В		112,365	25.21	n/a	n/a	2,247.30	2.0	
	STADIA CAPITAL GAULT N STRATTON N STRATTON BUCK CAPITAL MGMT TRIVIUM CAP MGMT BELMONT GLOBAL ADV AMATURO EFSTATHIOU COUGAR TRADING BUCK BEAR STEARNS ASSET MGMT. FARALLON CAP MGMT CROWLEY BARR	STADIA CAPITAL GAULT O63 N STRATTON O14 BUCK CAPITAL MGMT TRIVIUM CAP MGMT BELMONT GLOBAL ADV AMATURO EFSTATHIOU COUGAR TRADING BUCK BEAR STEARNS ASSET MGMT. O40 CROWLEY O61 BARR O96	GAULT 063 EXLP N STRATTON 014 FBEI N STRATTON 014 FBSI BUCK CAPITAL MGMT 001 GES TRIVIUM CAP MGMT 251 GLW BELMONT GLOBAL ADV 248 GMO AMATURO 018 GMO EFSTATHIOU 044 GMO COUGAR TRADING 044 GPS BUCK 015 HD BEAR STEARNS ASSET MGMT. 033 HON FARALLON CAP MGMT 040 IAI CROWLEY 061 ILA BARR 096 IOM	STADIA CAPITAL GAULT O63 EXLP B N STRATTON O14 FBEI B N STRATTON O14 FBSI B BUCK CAPITAL MGMT O01 GES B TRIVIUM CAP MGMT 251 GLW BELMONT GLOBAL ADV AMATURO O18 GMO B EFSTATHIOU O44 GMO B COUGAR TRADING O15 HD CROWLEY O61 ILA B CROWLEY O66 IOM	STADIA CAPITAL GAULT 063 EXLP B N STRATTON 014 FBEI B N STRATTON 014 FBSI B BUCK CAPITAL MGMT 001 GES B TRIVIUM CAP MGMT 251 GLW SS BELMONT GLOBAL ADV AMATURO 018 GMO B EFSTATHIOU 044 GMO B COUGAR TRADING 044 GPS SS BEAR STEARNS ASSET MGMT. 033 HON B FARALLON CAP MGMT 040 IAI B CROWLEY 061 ILA B	STADIA CAPITAL 035 EL B 25,000 GAULT 063 EXLP B 1,500 N STRATTON 014 FBEI B 290 N STRATTON 014 FBSI B 300 BUCK CAPITAL MGMT 001 GES B 10,000 TRIVIUM CAP MGMT 251 GLW SS 50,000 BELMONT GLOBAL ADV 248 GMO B 30,000 AMATURO 018 GMO B 1,000 EFSTATHIOU 044 GMO B 1,000 BUCK 015 HD SS 10,000 BUCK 015 HD SS 700 BEAR STEARNS ASSET MGMT 033 HON B 25,000 FARALLON CAP MGMT 040 IAI B 5,000 CROWLEY 061 ILA B 5,000	STADIA CAPITAL 035 EL B 25,000 46.10 GAULT 063 EXLP B 1,500 29.70 N STRATTON 014 FBEI B 290 12.00 N STRATTON 014 FBSI B 300 16.50 BUCK CAPITAL MGMT 001 GES B 10,000 40.05 TRIVIUM CAP MGMT 251 GLW SS 50,000 24.40 BELMONT GLOBAL ADV 248 GMO B 30,000 8.18 AMATURO 018 GMO B 1,000 8.23 EFSTATHIOU 044 GMO B 1,000 8.05 COUGAR TRADING 044 GPS SS 10,000 20.35 BUCK 015 HD SS 700 28.12 BEAR STEARNS ASSET MGMT. 033 HON B 25,000 55.16 FARALLON CAP MGMT 040 IAI B 215,000 38.96 CROWLEY 061 ILA B 5,000 3.21	STADIA CAPITAL 035 EL B 25,000 46.10 4-Jan GAULT 063 EXLP B 1,500 29.70 n/a N STRATTON 014 FBEI B 290 12.00 n/a N STRATTON 014 FBSI B 300 16.50 n/a BUCK CAPITAL MGMT 001 GES B 10,000 40.05 n/a TRIVIUM CAP MGMT 251 GLW SS 50,000 24.40 n/a BELMONT GLOBAL ADV 248 GMO B 30,000 8.18 n/a AMATURO 018 GMO B 1,000 8.23 n/a EFSTATHIOU 044 GMO B 1,000 8.05 n/a COUGAR TRADING 044 GPS SS 10,000 20.35 n/a BUCK 015 HD SS 700 28.12 n/a BEAR STEARNS ASSET MGMT. 033 HON B 25,000 55.16 n/a CROWLEY 061 ILA B 5,000 3.21 n/a BARR 096 IOM S 7,000 3.56 n/a	STADIA CAPITAL 035 EL B 25,000 46.10 4-Jan 4-Feb GAULT 063 EXLP B 1,500 29.70 n/a n/a N STRATTON 014 FBEI B 290 12.00 n/a n/a BUCK CAPITAL MGMT 011 GES B 10,000 40.05 n/a n/a TRIVIUM CAP MGMT 251 GLW SS 50,000 24.40 n/a 27-Mar BELMONT GLOBAL ADV 248 GMO B 30,000 8.18 n/a n/a AMATURO 018 GMO B 1,000 8.23 n/a n/a COUGAR TRADING 044 GPS SS 10,000 20.35 n/a 7-Mar BUCK 015 HD SS 700 28.12 n/a 27-Jul BEAR STEARNS ASSET MGMT 033 HON B 25,000 35.16 n/a n/a CROWLEY	STADIA CAPITAL 035 EL B 25,000 46.10 4-Jan 4-Feb 1,000.00 GAULT 063 EXLP B 1,500 29.70 n/a n/a n/a 0.00 N STRATTON 014 FBEI B 290 12.00 n/a n/a n/a 0.00 N STRATTON 014 FBSI B 300 16.50 n/a n/a 0.00 EUCK CAPITAL MGMT 001 GES B 10,000 40.05 n/a n/a 400.00 TRIVIUM CAP MGMT 251 GLW SS 50,000 24.40 n/a 27-Max 2,000.00 EELMONT GLOBAL ADV 248 CMO B 30,000 8.18 n/a n/a 1,500.00 AMATURO 018 GMO B 1,000 8.23 n/a n/a n/a 0.00 EFSTATHIOU 044 CMO B 1,000 8.05 n/a n/a 0.00 COUGAR TRADING 044 CMO B 1,000 8.05 n/a n/a 0.00 EFSTATHIOU 044 CMO B 1,000 8.05 n/a n/a 0.00 COUGAR TRADING 044 CMO B 25,000 55.16 n/a 25-Jan 1,000.00 EERR STEARNS ASSET MCMT. 033 HON B 25,000 55.16 n/a 25-Jan 1,000.00 CROWLEY 061 ILA B 5,000 3.21 n/a n/a 0.00 CROWLEY 061 ILA B 5,000 3.21 n/a n/a 0.00 CROWLEY 061 ILA B 5,000 3.21 n/a n/a 0.00 CROWLEY 061 ILA B 5,000 3.21 n/a n/a 0.00 CROWLEY 061 IM B 5,000 3.21 n/a n/a 0.00 CROWLEY 061 IM B 5,000 3.21 n/a n/a 0.00 CROWLEY 061 IM B 5,000 3.21 n/a n/a 0.00 CROWLEY 061 IM B 5,000 3.21 n/a n/a 0.00 CROWLEY 061 IM B 5,000 3.21 n/a n/a 0.00 CROWLEY 061 IM B 5,000 3.21 n/a n/a 0.00 CROWLEY 061 IM B 5,000 3.21 n/a n/a 0.00 CROWLEY 061 IM B 5,000 3.21 n/a n/a 0.00 CROWLEY 061 IM B 5,000 3.21 n/a n/a 0.00 CROWLEY 061 IM B 5,000 3.21 n/a n/a 0.00 CROWLEY 061 IM B 5,000 3.21 n/a n/a 0.00 CROWLEY 061 IM B 5,000 3.21 n/a n/a 0.00 CROWLEY 061 IM B 5,000 3.21 n/a n/a 0.00 CROWLEY 061 IM B 5,000 3.21 n/a n/a 0.00 CROWLEY 061 IM B 5,000 3.21	STADIA CAPITAL 035 EL B 25,000 46.10 4-Jan 4-Feb 1,000.00 4.00 GAULT 063 EKLP B 1,500 29.70 n/a n/a n/a 0.00 0.0 N STRATTON 014 FBEI B 290 12.00 n/a n/a n/a 0.00 0.0 N STRATTON 014 FBSI B 300 16.50 n/a n/a 0.00 0.0 BUCK CAPITAL MGMT 001 GES B 10,000 40.05 n/a n/a 27-Mar 2,000.00 4.0 TRIVIUM CAP MGMT 251 GLW SS 50,000 24.40 n/a 27-Mar 2,000.00 4.0 BELMONT GLOBAL ADV 248 GMO B 30,000 8.18 n/a n/a n/a 1,500.00 5.0 AMATURO 018 GMO B 1,000 8.23 n/a n/a n/a 0.00 0.0 EFSTATHIOU 044 GMO B 1,000 8.05 n/a n/a 0.00 0.0 COUGAR TRADING 044 GPS SS 10,000 20.35 n/a 7-Mar 500.00 5.0 BUCK 015 HD SS 700 28.12 n/a 27-Jul 0.00 0.0 EBAR STEARNS ASSET MGMT. 033 HON B 25,000 38.96 n/a n/a 0.4 3.600.00 4.0 CROWLEY 061 ILA B 5,000 33.21 n/a n/a 0.4 0.00 0.0 ERRALLON CAP MGMT 040 INI B 5,000 33.21 n/a n/a 0.4 0.00 0.0

Account		RR #	Symbol	в/:	s	Shares	Price	MRI	Research	Comm	¢/Shr.	
SCOPUS FUN	ND	041	ITT		SS	25,000	52.70	n/a	6-Feb	1,250.00	5.0	
LEDDY		035	JADE	В		2,800	3.08	n/a	n/a	0.00	0.0	
PAW PARTNE	ERS	041	JAS	В		23,600	15.11	n/a	n/a	1,180.00	5.0	
CENTURION	GLOBAL MGMT LL	041	JBX		S	5 , 300	26.87	n/a	24-Apr	159.00	3.0	
BUCK		015	JWN		SS	1,000	35.21	26-Feb	10-Mar	0.00	0.0	
NORTHPOINT	2	030	KOG	В		63,384	1.77	n/a	n/a	1,901.52	3.0	
BEAR STEAR	RNS ASSET MGMT.	033	KR	В		150,000	25.01	n/a	n/a	6,000.00	4.0	
GRUBER MAG	CBAINE	033	KSS	В		20,000	45.57	4-Jan	7-Mar	800.00	4.0	
TYEE/TYGH		035	KVA		S	300	25.71	n/a	n/a	12.00	4.0	
MS PRINCIE	PAL STRATEGIES	041	LAZ		SS	13,300	38.06	n/a	n/a	665.00	5.0	
EMP ERROR		099	LEH	В		1,000	40.32	19- M ar	19-Mar	0.00	0.0	
EMP ERROR		099	LEH	_	S	1,000	40.00	19-Mar		0.00	0.0	
SINCLAIR		031	LESJJ	В		10	4.80	n/a	n/a	0.00	0.0	
CR INTRIN	IC INVESTMENT	044	LLY		SS	50,000	50.48	n/a	n/a	2,500.00	5.0	
IRIDIAN AS	SSET MGMT.	036	LMDIA	В		46,940	22.54	n/a	n/a	2,347.00	5.0	
ROYCE TRAI	DING	216	MENT	В		25,000	9.06	n/a	n/a	1,250.00	5.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
COLUMBUS CIRCLE	036	MHS	S	259,389	43.86	n/a	n/a	10,375.56	4.0
FORD FDN.	032	MMM	S	15,000	78.43	n/a	24-Mar	750.00	5.0
ROYCE TRADING	216	MODT	В	10,000	0.26	n/a	n/a	300.00	3.0
GALLEON MGMT LP	033	MRK	В	10,000	45.29	n/a	n/a	500.00	5.0
SAXON WOODS ADVISORS	038	MRK	S	150,000	44.65	n/a	n/a	6,000.00	4.0
BUCK	015	MSFT	С	1,000	28.10	n/a	3-Apr	0.00	0.0
LEDDY	035	NEXC	В	800	3.47	n/a	n/a	0.00	0.0
HART	056	NEXC	В	295	3.34	n/a	n/a	0.00	0.0
COUGAR TRADING	044	NWY	В	20,000	5.98	n/a	20-Mar	1,000.00	5.0
BUCK CAPITAL MGMT	001	ОХМ	SS	10,000	23.06	n/a	n/a	400.00	4.0
BALYASNY ASSET MGMT	044	PAG	SS	37 , 500	19.80	6-Feb	20-Mar	1,875.00	5.0
COUGAR TRADING	044	PAG	SS	10,000	19.57	6-Feb	20-Mar	500.00	5.0
WOOSTER CAPITAL	035	PAG	SS	75,000	19.55	6-Feb	20-Mar	3,750.00	5.0
ROYCE TRADING	216	PENX	В	5,000	21.42	n/a	n/a	250.00	5.0
BUCK	015	PEP	В	800	71.44	n/a	n/a	0.00	0.0
TRUGENT CAPITAL	031	PKG	В	26,700	22.06	23-Jan	23-Jan	1,068.00	4.0
AMBER CAPITAL	046	PRM	S	84,617	7.00	n/a	n/a	3,384.68	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.	
MS PRINCIPAL STRATEGIES	041	QMAR	S	78,100	22.54	n/a	n/a	3,905.00	5.0	
PAKLER	029	QSYGC	S	14	0.60	n/a	n/a	0.00	0.0	
LEDDY	035	RL	С	300	61.74	7-Feb	15-Feb	0.00	0.0	
BUCK CAPITAL MGMT	001	RSH	SS	10,000	16.99	n/a	n/a	400.00	4.0	
BUCK CAPITAL MGMT	001	RVI	S	20,000	5.17	n/a	n/a	800.00	4.0	
OGORMAN	046	SDS	В	230	63.24	n/a	n/a	0.00	0.0	
CR INTRINIC INVESTMENT	044	SGP	В	112,300	19.28	n/a	n/a	5,615.00	5.0	
MERRILL ASSET	032	SGY	В	15,600	53.15	n/a	n/a	780.00	5.0	
GAULT	063	SKF	S	100	114.07	n/a	n/a	0.00	0.0	
BUCK CAPITAL MGMT	001	SKX	S	20,000	20.14	n/a	13-Mar	800.00	4.0	
CATTANI	041	SLB	S	100	86.83	n/a	n/a	0.00	0.0	
ROYCE TRADING	216	SONE	S	5,000	7.41	n/a	n/a	250.00	5.0	
KORMAN	003	SORL	s	699	5.35	n/a	n/a	0.00	0.0	
BARR	096	SYNP	s	1,775	7.81	n/a	n/a	0.00	0.0	
GRUBER MACBAINE	033	TGT	В	15,000	51.90	n/a	27-Jul	600.00	4.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
ROYCE TRADING	216	TQNT	S	10,000	5.20	n/a	n/a	500.00	5.0
SYSTEMATIC FINANCIAL MGT	035	TUP	S	25,300	38.69	n/a	n/a	948.75	3.8
AMBER CAPITAL	046	UFS	В	129,700	6.47	n/a	n/a	5,188.00	4.0
FORD FDN.	032	UTX	S	25,000	69.86	n/a	n/a	1,250.00	5.0
RAINIER INV MGMT	035	WAB	S	37,300	36.60	n/a	n/a	1,865.00	5.0
GRANAHAN INV	039	WBC	В	1,000	45.89	n/a	7-Feb	40.00	4.0
ROYCE TRADING	216	WEDC	S	10,000	4.47	n/a	n/a	300.00	3.0
MILLENIUM PARTNERS	028	WIN	SS	40,000	11.91	n/a	n/a	2,000.00	5.0
JPMSI/TOM LEDDY	035	WSM	SS	30,000	23.73	n/a	n/a	1,500.00	5.0
MISSOURI VALLEY PART	046	WTSLA	В	94,400	2.87	n/a	n/a	2,832.00	3.0
ROYCE TRADING	216	YRCW	S	10,000	13.55	n/a	n/a	500.00	5.0
ZOLIDIS	011	ZUMZ	SS	1,000	17.76	n/a	n/a	0.00	0.0

TOTAL (Trade Date): 133,783.52

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI F	Research	Comm.	¢/Shr.
AO, CRT	02/15	EMP ERROR (EMP ERROR)	099		В	20,000	82.88	n/a	n/a	0.00	0.0
AO, CXL	02/15	AMATURO (AMATURO)	018		В	20,000	82.88	n/a	n/a	0.00	0.0
AO, CRT	03/24	EMP ERROR (EMP ERROR)	099		S	20,000	82.00	n/a	n/a	0.00	0.0
AO, CXL	03/24	AMATURO (AMATURO)	018		S	20,000	82.00	n/a	n/a	0.00	0.0
CRT	03/27	AMATURO (AMATURO)	018	AKNS	В	100	6.47	n/a	n/a	0.00	0.0
CRT	03/27	AMATURO (AMATURO)	018	AKNS	S	1,000	7.60	n/a	n/a	0.00	0.0
AO, CRT	03/26	BELMONT GLOBAL ADV (BELMJEFFPB)	248	CDE	В	100,000	3.97	n/a	n/a	3000.00	3.0
AO,CXL	03/26	BELMONT GLOBAL ADV (BELMJEFFPB)	248	CDE	В	100,000	3.97	n/a	n/a	5000.00	5.0
AO,CRT	03/19	NOMURA CAPITAL (NOMUBPD)	045	DAL	S	3,436	10.66	n/a	n/a	171.80	5.0
AO,CXL	03/19	NOMURA CAPITAL (NOMUBATT2)	045	DAL	S	3,436	10.66	n/a	n/a	171.80	5.0
AO, CRT	03/20	NOMURA CAPITAL (NOMUBPD)	045	DAL	S	700	10.50	n/a	n/a	35.00	5.0
AO,CXL	03/20	NOMURA CAPITAL (NOMUBATT2)	045	DAL	S	700	10.50	n/a	n/a	35.00	5.0
AO,	03/26	NOMURA CAPITAL (NOMUSTRATE)	045	DTG	В	1,800	14.42	n/a	n/a	90.00	5.0
AO,	03/26	NOMURA CAPITAL (NOMUBATT2)	045	DTG	В	1,900	14.42	n/a	n/a	95.00	5.0
AO,	03/26	NOMURA CAPITAL (NOMUBSMAIN)	045	DTG	В	3 , 950	14.42	n/a	n/a	197.50	5.0
AO, CRT	03/20	NOMURA CAPITAL (NOMUBPD)	045	FEMO	S	2,000	19.85	n/a	n/a	100.00	5.0
AO,CXL	03/20	NOMURA CAPITAL (NOMUBATT2)	045	FEMO	S	2,000	19.85	n/a	n/a	100.00	5.0
AO, CRT	03/04	AMATURO (AMATURO)	018	GMO	В	2,000	10.23	n/a	n/a	0.00	0.0
AO, CXL	03/04	AMATURO (AMATURO)	018	GMO	В	2,000	10.23	n/a	n/a	0.00	0.0
AO, CRT	03/07	AMATURO (AMATURO)	018	GMO	В	2,000	9.28	n/a	n/a	0.00	0.0
AO, CXL	03/07	AMATURO (AMATURO)	018	GMO	В	2,000	9.28	n/a	n/a	0.00	0.0
CRT	03/27	AMATURO (AMATURO)	018	GMO	В	30	8.23	n/a	n/a	0.00	0.0
AO, CRT	02/19	AMATURO (AMATURO)	018	GSI	В	3,000	7.50	n/a	n/a	0.00	0.0

Гуре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO, CXL	02/19	AMATURO (AMATURO)	018	GSI	В	3,000	7.50	n/a	n/a	0.00	0.0
AO, CRT	10/05	AMATURO (AMATURO)	018	GSI	В	1,000	16.90	n/a	n/a	0.00	0.0
AO, CXL	10/05	AMATURO (AMATURO)	018	GSI	В	1,000	16.90	n/a	n/a	0.00	0.0
AO, CXL	11/20	AMATURO (AMATURO)	018	GSI	В	4,000	9.25	n/a	n/a	0.00	0.0
AO, CRT	11/20	AMATURO (AMATURO)	018	GSI	В	4,000	9.25	n/a	n/a	0.00	0.0
AO, CRT	11/13	AMATURO (AMATURO)	018	GSI	S	1,000	12.00	n/a	n/a	0.00	0.0
AO, CXL	11/13	AMATURO (AMATURO)	018	GSI	S	1,000	12.00	n/a	n/a	0.00	0.0
AO,CRT	03/20	NOMURA CAPITAL (NOMUBPD)	045	HAYZ	S	10,000	3.01	n/a	n/a	300.00	3.0
AO,CXL	03/20	NOMURA CAPITAL (NOMUBATT2)	045	HAYZ	S	10,000	3.01	n/a	n/a	500.00	5.0
CRT	03/27	EMP ERROR (EMP ERROR)	099	LEH	В	1,000	40.32	19-Mar	19-Mar	0.00	0.0
AO,CXL	03/26	HOLLIS CAPITAL (HOLLBS)	033	LII	SS	3,000	36.86	n/a	n/a	120.00	4.0
O,CRT	03/26	HOLLIS CAPITAL (HOLLBS)	033	LII	SS	3,000	36.86	n/a	n/a	150.00	5.0
O,CRT	03/19	NOMURA CAPITAL (NOMUBPD)	045	NWA	S	5,000	10.57	n/a	n/a	250.00	5.0
AO,CXL	03/19	NOMURA CAPITAL (NOMUBATT2)	045	NWA	S	5,000	10.57	n/a	n/a	250.00	5.0
AO, CRT	03/20	NOMURA CAPITAL (NOMUBPD)	045	NWA	S	2,108	10.50	n/a	n/a	105.40	5.0
AO,CXL	03/20	NOMURA CAPITAL (NOMUBATT2)	045	NWA	S	2,108	10.50	n/a	n/a	105.40	5.0
O,CXL	03/25	MS PRINCIPAL STRATEGIES (MSPSMS)	041	QMAR	S	83,688	22.08	n/a	n/a	4184.40	5.0
O, CRT	03/25	MS PRINCIPAL STRATEGIES (MSPSMS)	041	QMAR	S	83,688	22.08	n/a	n/a	3347.52	4.0

TOTAL (AO, CXL, CRT): -2,624.38

TOTAL (Trade Date): 133,783.52

TOTAL (AO, CXL, CRT):

-2,624.38

TOTAL (RUN DATE) / NFS:

131,159.14

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