



Daily Compliance Activity Report

Trade Date: 09/19/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHFIELDS CAP MGMT	039	AA	S	250,000	26.24	n/a	n/a	10,000.00	4.0
MENCKE	055	ABCW	B	100	10.94	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	ABM	S	10,000	23.41	n/a	n/a	450.00	4.5
NOMURA CAPITAL	045	ACW	B	12,900	1.16	n/a	n/a	258.00	2.0
MAGUIRE	039	ADMLF	B	40	0.50	n/a	n/a	0.00	0.0
ADAGE CAPITAL MGMT	030	AEO	B	462,100	16.85	n/a	5-Sep	18,484.00	4.0
COUGAR TRADING	044	AEO	B	10,000	16.94	n/a	5-Sep	500.00	5.0
METROPOLITAN CAPITAL	044	AEO	S	21,700	17.07	n/a	5-Sep	1,085.00	5.0
AMATURO	018	AIG	B	2,000	4.36	n/a	n/a	0.00	0.0
KAICHER	064	AIG	B	5,000	4.20	n/a	n/a	0.00	0.0
MERRILL ASSET	032	AMG	S	16,900	112.00	3-Sep	19-Sep	760.50	4.5
ROXBURY CAPITAL MGMT	035	AMG	S	20,000	107.56	3-Sep	19-Sep	800.00	4.0
PRINCIPLE CAPITAL	040	AMZN	B	2,910	78.99	n/a	n/a	116.40	4.0
COUGAR TRADING	044	ANF	B	10,000	46.21	7-Aug	17-Sep	500.00	5.0
DEMARTINI	065	ANF	S	200	45.40	7-Aug	17-Sep	0.00	0.0
LUCID PARTNERS	067	AOS	S	9,200	50.52	17-Jul	17-Jul	460.00	5.0
BUCK CAPITAL MGMT	001	AVB	B	22,500	103.56	n/a	n/a	900.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LBACIRA	005	AXE	S	1,000	64.95	n/a	17-Sep	0.00	0.0
LBACENTRP	005	AXE	S	1,000	64.98	n/a	17-Sep	0.00	0.0
LITESPEED	028	AXL	SS	200,000	7.67	n/a	n/a	6,000.00	3.0
BUCK	015	BAC	S	3,500	35.94	n/a	19-Sep	0.00	0.0
MERRILL ASSET	032	BBT	B	89,400	43.54	n/a	n/a	4,023.00	4.5
FARALLON CAP MGMT	040	BBY	SS	27,500	45.91	n/a	27-Jul	1,100.00	4.0
PHILADELPHIA FINANCIAL	033	BEN	S	24,020	107.24	10-Sep	19-Sep	960.80	4.0
GRUBER MACBAINE	033	BJ	SS	20,000	39.47	n/a	27-Jul	800.00	4.0
BUCK CAPITAL MGMT	001	BRE	B	40,000	55.38	n/a	n/a	1,600.00	4.0
REINHART & MAHONEY	031	BRKB	B	1274,349.61		n/a	n/a	6.35	5.0
BUCK CAPITAL MGMT	001	BXP	B	31,000	100.08	n/a	n/a	1,240.00	4.0
BMO NESBITT BURNS	041	BZ	B	50,000	1.78	n/a	n/a	1,500.00	3.0
REINHART & MAHONEY	031	CAG	S	29,755	19.64	n/a	n/a	1,487.75	5.0
HEALY CIRCLE	044	CAT	SS	10,000	67.87	19-Sep	19-Sep	500.00	5.0
BUCK CAPITAL MGMT	001	CBL	B	68,400	22.85	n/a	n/a	2,736.00	4.0
MENCKE	055	CBON	B	100	6.50	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK	015	CJD	S	60	1.90	n/a	n/a	0.00	0.0
BUCK	015	CJR	B	40	4.00	n/a	n/a	0.00	0.0
NOMURA CAPITAL	045	CKH	S	1,870	86.79	n/a	n/a	93.50	5.0
ROTHSCHILD ASSET	040	CLI	S	21,365	37.52	n/a	n/a	961.44	4.5
PRINCIPLE CAPITAL	040	CLX	SS	24,700	61.99	4-Aug	4-Aug	988.00	4.0
GRONET	030	CMG	S	500	63.35	12-Sep	12-Sep	0.00	0.0
MENCKE	055	CNBC	B	100	10.55	n/a	n/a	0.00	0.0
NATIONAL BK OF CAN	031	CNB	B	5,000	11.48	n/a	n/a	200.00	4.0
NATIONAL BK OF CAN	031	CNB	S	5,000	10.07	n/a	n/a	200.00	4.0
AAD CAPITAL	048	COF	SS	50,000	59.49	n/a	19-Sep	2,000.00	4.0
LUCHANSKY	036	COF	S	800	57.32	n/a	19-Sep	0.00	0.0
BUCK CAPITAL MGMT	001	CPT	B	30,000	53.63	n/a	n/a	1,200.00	4.0
MENCKE	055	CTCM	S	200	17.06	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	CUZ	B	45,000	27.75	n/a	n/a	1,800.00	4.0
BUCK	015	C	B	6,000	20.31	15-Sep	19-Sep	0.00	0.0
BUCK CAPITAL MGMT	001	DAI	SS	120,000	57.33	n/a	n/a	4,800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JMP ASSET MGMT	210	DAR	SS	5,000	11.91	n/a	n/a	250.00	5.0
LUCHANSKY	036	DCTH	S	1,000	1.44	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	DDR	B	70,000	36.96	n/a	n/a	2,800.00	4.0
AMATURO	018	DIAVJ	B	20	3.45	n/a	n/a	0.00	0.0
BUCK	015	DIS	S	2,000	34.43	n/a	n/a	0.00	0.0
JMP ASSET MGMT	210	DM	SS	3,500	11.89	n/a	n/a	175.00	5.0
BUCK CAPITAL MGMT	001	DRE	B	60,000	26.41	n/a	n/a	2,400.00	4.0
METROPOLITAN CAPITAL	044	DSW	S	38,050	15.00	8-May	29-Aug	1,902.50	5.0
AMATURO	018	EPG	S	8,000	2.25	n/a	n/a	0.00	0.0
PHILADELPHIA FINANCIAL	033	EVR	S	40,304	15.53	n/a	n/a	1,612.16	4.0
LBACCICIND	005	EV	S	730	37.83	21-Aug	19-Sep	0.00	0.0
SINCUTMA	031	EXH	S	30	39.94	28-Aug	3-Sep	0.00	0.0
BUCK CAPITAL MGMT	001	FCEA	B	30,000	34.38	n/a	n/a	1,200.00	4.0
MENCKE	055	FFIC	B	100	21.09	n/a	n/a	0.00	0.0
REINHART & MAHONEY	031	FISV	S	22,100	51.44	n/a	n/a	1,105.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
REINHART & MAHONEY	031	FLIR	B	22,710	38.33	n/a	n/a	1,135.50	5.0
GRONET	030	FRO	S	30	52.89	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	FRT	B	55,000	86.99	n/a	n/a	2,200.00	4.0
GAULT	063	FXP	B	1,000	85.82	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GES	B	25,000	41.17	n/a	n/a	1,000.00	4.0
WAGONHOUND/NIC	048	GES	S	469	41.14	n/a	n/a	18.76	4.0
PROSPECTOR PARTNERS LLC	036	GFI	B	150,000	8.65	n/a	n/a	6,000.00	4.0
BUCK CAPITAL MGMT	001	GGP	B	50,000	25.05	n/a	n/a	2,000.00	4.0
COUGAR TRADING	044	GIL	B	10,000	26.56	8-Sep	8-Sep	500.00	5.0
COUGAR TRADING	044	GIL	S	5,000	26.52	8-Sep	8-Sep	250.00	5.0
LEDDY	035	GIL	S	500	26.67	8-Sep	8-Sep	0.00	0.0
HOLDEN CAPITAL MGMT	035	GME	B	40,000	38.48	n/a	n/a	2,000.00	5.0
BUCK CAPITAL MGMT	001	GPI	SS	50,000	26.74	10-Jun	30-Jul	2,000.00	4.0
NOMURA CAPITAL	045	GPI	S	12,000	27.80	10-Jun	30-Jul	600.00	5.0
BUCK CAPITAL MGMT	001	GPS	B	75,000	20.10	n/a	17-Sep	3,000.00	4.0
COUGAR TRADING	044	GPS	B	10,000	19.20	n/a	17-Sep	500.00	5.0
JP MORGAN VENTURES	046	GPS	SS	25,400	19.42	n/a	17-Sep	1,270.00	5.0
BUCK CAPITAL MGMT	001	GRT	B	60,000	15.37	n/a	n/a	2,400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NATIONAL BK OF CAN	031	GS	B	25,000	143.00	15-Sep	19-Sep	1,000.00	4.0
NATIONAL BK OF CAN	031	GS	S	10,000	140.85	15-Sep	19-Sep	400.00	4.0
COUGAR TRADING	044	GYMB	B	5,000	40.89	11-Jul	5-Sep	250.00	5.0
COUGAR TRADING	044	GYMB	S	5,000	39.70	11-Jul	5-Sep	250.00	5.0
KAICHER	064	HERO	S	2,000	19.35	n/a	n/a	0.00	0.0
GALT INVESTMENT	041	HIBB	B	25,000	23.00	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	HOT	SS	50,000	37.06	n/a	n/a	2,000.00	4.0
JP MORGAN VENTURES	046	HOT	SS	90,000	37.51	n/a	n/a	4,500.00	5.0
J ROSELTD	034	HPQ	S	500	48.56	n/a	n/a	0.00	0.0
TRIVIUM CAP MGMT	251	IM	SS	75,000	17.42	n/a	n/a	3,000.00	4.0
BMO NESBITT BURNS	041	IP	SS	25,000	28.48	11-Sep	11-Sep	1,250.00	5.0
BMO NESBITT BURNS	041	IP	S	50,000	27.95	11-Sep	11-Sep	2,500.00	5.0
TYEE/TYGH	035	IVZ	B	243,899	26.11	4-Aug	19-Sep	9,755.96	4.0
BUCK CAPITAL MGMT	001	IYR	B	53,000	72.61	n/a	n/a	2,120.00	4.0
KAICHER	064	JASO	B	2,000	12.76	n/a	n/a	0.00	0.0
KAICHER	064	JASO	S	2,000	13.65	n/a	n/a	0.00	0.0
REINHART & MAHONEY	031	JBX	B	10,910	26.62	n/a	24-Apr	545.50	5.0
COUGAR TRADING	044	JCG	B	10,300	35.44	n/a	17-Sep	515.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	JCG	S	10,000	32.67	n/a	17-Sep	500.00	5.0
SYSTEMATIC FINANCIAL MGT	035	JCG	S	8,300	33.19	n/a	17-Sep	311.25	3.8
BUCK CAPITAL MGMT	001	JNY	SS	20,000	19.52	n/a	30-Jul	800.00	4.0
CUMBERLAND	038	JWN	SS	40,000	34.81	10-Jul	17-Sep	1,600.00	4.0
JP MORGAN VENTURES	046	JWN	SS	14,300	34.60	10-Jul	17-Sep	715.00	5.0
MERRILL LYNCH STRATEGICI	034	JWN	SS	21,400	36.02	10-Jul	17-Sep	856.00	4.0
BUCK CAPITAL MGMT	001	KIM	B	50,000	46.16	n/a	n/a	2,000.00	4.0
ROTHSCHILD ASSET	040	KMT	S	640	35.03	18-Sep	18-Sep	28.83	4.5
BUCK CAPITAL MGMT	001	KMX	SS	25,000	16.23	n/a	10-Jan	1,000.00	4.0
COUGAR TRADING	044	KSS	SS	5,000	52.10	n/a	5-Sep	250.00	5.0
J.W. SELIGMAN	041	KSS	S	146,200	51.57	n/a	5-Sep	5,848.00	4.0
LUCHANSKY3	036	LEHMQ	S	200	0.12	n/a	n/a	0.00	0.0
LBACENTRP	005	LM	S	2,000	40.25	1-Jul	19-Sep	0.00	0.0
BMO NESBITT BURNS	041	LPX	SS	66,800	11.01	n/a	11-Sep	3,340.00	5.0
DEMARTINI	065	LPX	S	1,000	11.06	n/a	11-Sep	0.00	0.0
LISTED ERR	099	LPX	SS	33,600	11.01	n/a	11-Sep	0.00	0.0
BUCK CAPITAL MGMT	001	MAC	B	28,000	68.16	n/a	n/a	1,120.00	4.0
REINHART & MAHONEY	031	MANT	S	22,670	57.63	n/a	n/a	1,133.50	5.0
T. ROWE PRICE	033	MCK	B	40,300	56.84	n/a	n/a	1,612.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CR INTRINIC INVESTMENT	044	MDT	B	50,000	52.78	n/a	22-Apr	2,500.00	5.0
BUCK	015	MO	B	1,000	20.55	n/a	n/a	0.00	0.0
BUCK	015	MRK	B	500	31.54	n/a	n/a	0.00	0.0
ELM RIDGE ADVISORS	044	MSFT	S	155,552	25.07	n/a	3-Apr	6,222.08	4.0
COLE	N24	MSHL	B	800	1.64	n/a	n/a	0.00	0.0
OGORMAN	046	MSIE	S	5	3.50	n/a	n/a	0.00	0.0
NATIONAL BK OF CAN	031	MS	B	45,000	33.40	15-Sep	19-Sep	1,800.00	4.0
GRONET	030	MWO	B	1,000	14.01	n/a	n/a	0.00	0.0
REINHART & MAHONEY	031	NE	B	26,350	46.82	n/a	n/a	1,317.50	5.0
Õ Ted Wheeler		NPO	B	5000	37.7200	n/a	n/a	0.00	0.0
WHEELER	008	NPO	B	5,000	36.57	n/a	n/a	0.00	0.0
LUCHANSKY1	036	NTRZ	S	1,000	0.43	n/a	n/a	0.00	0.0
JP MORGAN VENTURES	046	NTY	S	74,000	29.60	n/a	n/a	3,700.00	5.0
LUCHANSKY1	036	NT	S	5	2.88	n/a	22-Mar	0.00	0.0
PRINCIPLE CAPITAL	040	PCLN	B	28,200	87.83	n/a	n/a	1,128.00	4.0
BMO NESBITT BURNS	041	PCL	B	20,000	53.57	n/a	11-Sep	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	PEI	B	44,500	22.77	n/a	n/a	1,780.00	4.0
N STRATTON	014	PNWIF	B	400	2.25	n/a	n/a	0.00	0.0
COUGAR TRADING	044	PSUN	SS	10,000	7.49	n/a	5-Sep	400.00	4.0
CADIAN CAPITAL	067	PVH	B	100,000	42.47	n/a	28-Aug	5,000.00	5.0
COUGAR TRADING	044	PVH	B	10,000	41.78	n/a	28-Aug	500.00	5.0
EMP ERROR	099	PZN	B	1,200	15.00	30-Jul	19-Sep	0.00	0.0
EMP ERROR	099	PZN	S	1,200	12.50	30-Jul	19-Sep	0.00	0.0
ZOLIDIS	011	QUKJF	S	6	3.50	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	REG	B	31,000	72.45	n/a	n/a	1,240.00	4.0
BUCK CAPITAL MGMT	001	RL	B	73,300	73.19	n/a	28-Aug	2,932.00	4.0
COUGAR TRADING	044	RL	B	5,000	72.00	n/a	28-Aug	250.00	5.0
JMP ASSET MGMT	210	RRGB	SS	800	30.79	n/a	n/a	40.00	5.0
LBACIRA	005	RUSHA	S	2,000	14.20	n/a	n/a	0.00	0.0
LBACCICIND	005	RUSHA	S	2,000	14.36	n/a	n/a	0.00	0.0
CUMBERLAND	038	RYL	S	10,000	27.34	n/a	n/a	400.00	4.0
COUGAR TRADING	044	SAH	B	3,000	13.26	n/a	30-Jul	150.00	5.0
REINHART & MAHONEY	031	SII	B	15,850	64.78	n/a	n/a	792.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AAD CAPITAL	048	SKF	B	7,000	93.66	n/a	n/a	280.00	4.0
GAULT	063	SKF	B	300	92.72	n/a	n/a	0.00	0.0
J ROSEIND	034	SLB	S	100	89.06	n/a	n/a	0.00	0.0
WAGONHOUND/NIC	048	SMG	SS	21,878	26.85	4-Aug	4-Aug	875.12	4.0
JP MORGAN VENTURES	046	SPY	C	12,000	124.72	n/a	n/a	360.00	3.0
COUGAR TRADING	044	SSO	B	10,000	57.63	n/a	n/a	500.00	5.0
COUGAR TRADING	044	SSO	S	5,000	57.01	n/a	n/a	250.00	5.0
KERN	050	SWNJG	S	20	3.00	n/a	n/a	0.00	0.0
KERN	050	SWNJI	B	20	0.39	n/a	n/a	0.00	0.0
SINCLAIR	031	SWNLF	S	9	7.50	n/a	n/a	0.00	0.0
KAICHER	064	SWN	S	500	35.05	n/a	3-Sep	0.00	0.0
WHITE PINE CAPITAL	030	TCBI	B	3,000	20.89	n/a	n/a	150.00	5.0
BUCK CAPITAL MGMT	001	TCO	B	48,000	58.61	n/a	n/a	1,920.00	4.0
COUGAR TRADING	044	TIF	SS	5,000	39.93	n/a	17-Sep	250.00	5.0
LBACIND	005	TIN	S	1,000	18.43	11-Sep	11-Sep	0.00	0.0
LBACCICIND	005	TIN	S	1,000	18.61	11-Sep	11-Sep	0.00	0.0
GOLD SACHS SPECIAL SIT	030	TRW	B	225,000	19.64	n/a	n/a	11,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LITESPEED	028	TSN	S	100,000	13.08	n/a	n/a	3,000.00	3.0
BUCK CAPITAL MGMT	001	TWB	S	20,000	9.54	n/a	20-Aug	800.00	4.0
BUCK CAPITAL MGMT	001	UDR	B	35,000	26.46	n/a	n/a	1,400.00	4.0
GOLD SACHS SPECIAL SIT	030	URBN	B	95,000	36.47	14-Aug	17-Sep	4,750.00	5.0
LBACCICIND	005	UTVG	S	10,000	1.20	n/a	n/a	0.00	0.0
JMP ASSET MGMT	210	VLCM	SS	1,400	19.83	n/a	n/a	70.00	5.0
REINHART & MAHONEY	031	VMW	S	15,730	29.06	n/a	n/a	786.50	5.0
MAGNETAR FINANCIAL	031	WB	B	200,000	18.65	n/a	n/a	6,000.00	3.0
BUCK	015	WB	C	3,000	19.75	n/a	n/a	0.00	0.0
N STRATTON	014	WFSL	C	100	24.00	n/a	n/a	0.00	0.0
AVESTA CAP	229	WMT	S	25,000	59.91	8-Aug	5-Sep	1,250.00	5.0
JP MORGAN VENTURES	046	WMT	B	16,200	61.32	8-Aug	5-Sep	810.00	5.0
BUCK CAPITAL MGMT	001	WRC	B	100,000	49.23	8-Aug	28-Aug	4,000.00	4.0
COUGAR TRADING	044	WRC	SS	10,000	48.60	8-Aug	28-Aug	500.00	5.0
BUCK CAPITAL MGMT	001	WRI	B	60,000	38.77	n/a	n/a	2,400.00	4.0
THOMSON HORSTMAN BRYANT	040	WTSLA	B	27,000	4.25	n/a	n/a	810.00	3.0
SAC TRADING/BILLY	063	WYE	B	20,000	38.45	n/a	31-Mar	1,000.00	5.0

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BMO NESBITT BURNS	041	WY	S	20,000	61.66	n/a	11-Sep	1,000.00	5.0
SCOPUS FUND	041	WY	S	55,000	61.66	n/a	11-Sep	2,750.00	5.0
KAICHER	064	XCO	S	500	20.72	n/a	n/a	0.00	0.0
KORMAN	003	ZOLT	S	2,000	19.30	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	ZQK	B	70,000	7.47	27-Aug	5-Sep	2,800.00	4.0
COUGAR TRADING	044	ZQK	B	20,000	7.58	27-Aug	5-Sep	800.00	4.0
TOTAL (Trade Date):								237,194.40	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	09/18	COLE (COLE)	N24	BZ	B	1,400	1.70	n/a	n/a	0.00	0.0
AO,	09/18	HIGHFIELDS CAP MGMT (HIGFGS)	039	EIG	S	118,543	16.52	n/a	n/a	4741.72	4.0
AO,CXL	09/17	MATLIN PATTERSON (MATLGSPB)	046	GE	SS	20,000	22.89	n/a	n/a	1000.00	5.0
AO,CRT	09/17	MATLIN PATTERSON (MATLGSPB)	046	GE	SS	20,000	22.89	n/a	n/a	600.00	3.0
AO,CXL	09/18	NATIONAL BK OF CAN (NBCAMAIN)	031	MS	B	25,000	20.58	15-Sep	19-Sep	0.00	0.0
AO,CRT	09/18	NATIONAL BK OF CAN (NBCAMAIN)	031	MS	B	25,000	20.58	15-Sep	19-Sep	1000.00	4.0
CRT	09/19	EMP ERROR (EMP ERROR)	099	PZN	B	200	15.00	30-Jul	19-Sep	0.00	0.0
CRT	09/19	EMP ERROR (EMP ERROR)	099	PZN	B	1,000	15.00	30-Jul	19-Sep	0.00	0.0
AO,CXL	09/18	ROTHSCHILD ASSET (ROTH384)	040	RGC	S	1,270	15.46	n/a	n/a	57.15	4.5
AO,	09/18	ROTHSCHILD ASSET (ROTH348)	040	RGC	S	1,270	15.46	n/a	n/a	57.15	4.5
AO,	09/18	BRIGADE CAPITAL MGMT (BRICGS)	029	ROST	SS	150,000	36.47	n/a	n/a	4500.00	3.0
AO,CXL	09/18	BRIGHTPOINT CAP (BRIGMS)	067	ROST	SS	150,000	36.47	n/a	n/a	6000.00	4.0
AO,	09/18	JENNISON (JENN8150)	032	S	B	7,100	6.13	n/a	n/a	262.70	3.7
AO,	09/18	JENNISON (JENN859)	032	S	B	400	6.13	n/a	n/a	14.80	3.7
AO,	09/18	JENNISON (JENN468)	032	S	B	11,000	6.13	n/a	n/a	407.00	3.7
AO,	09/18	JENNISON (JENN631)	032	S	B	40,600	6.13	n/a	n/a	1502.20	3.7
AO,	09/18	JENNISON (JENN465)	032	S	B	28,900	6.13	n/a	n/a	1069.30	3.7
AO,	09/18	JENNISON (JENN410)	032	S	B	700	6.13	n/a	n/a	25.90	3.7
AO,	09/18	JENNISON (JENN555)	032	S	B	108,200	6.13	n/a	n/a	4003.40	3.7
CRT	09/19	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	TWB	S	20,000	9.54	n/a	20-Aug	800.00	4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	09/19	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	ZQK	B	70,000	7.47	27-Aug	5-Sep	2800.00 4.0
TOTAL (AO, CXL, CRT) :									14,727.02	

TOTAL (Trade Date):									237,194.40	
TOTAL (AO, CXL, CRT):									14,727.02	
TOTAL (RUN DATE) / NFS:									251,921.42	

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