



Daily Compliance Activity Report

Trade Date: 01/14/2009

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAPITAL GROWTH MGMT.	241	AET	B	60,000	25.79	n/a	n/a	2,400.00	4.0
TRUSTCO/SUNTRUST	040	ALV	B	18,200	19.82	26-Nov	16-Dec	637.00	3.5
SCOPUS FUND	041	AVY	SS	9,000	29.72	6-Jan	6-Jan	450.00	5.0
CATAPULT	040	AXYS	B	9,000	44.30	n/a	n/a	450.00	5.0
TRELLUS PARTNERS LP	028	AYI	SS	26,100	29.30	n/a	n/a	1,305.00	5.0
SERENGETI MGMT	030	BBT	B	100,000	21.46	n/a	n/a	5,000.00	5.0
BUCK CAPITAL MGMT	001	BJ	SS	150,000	30.72	n/a	27-Jul	6,000.00	4.0
BUCK CAPITAL MGMT	001	BKE	S	50,000	21.12	n/a	n/a	2,000.00	4.0
CATAPULT	040	BLL	SS	34,684	38.76	n/a	n/a	1,734.20	5.0
COUGAR TRADING	044	BWA	SS	5,000	19.47	16-Dec	12-Jan	250.00	5.0
HOLDEN CAPITAL MGMT	035	BWA	SS	12,800	20.01	16-Dec	12-Jan	640.00	5.0
LOCUS WOOD CAPITAL MGMT	044	BWA	SS	20,000	19.79	16-Dec	12-Jan	800.00	4.0
NWQ INVESTMENT MGMT CO	048	CASY	B	39,400	21.82	n/a	n/a	1,182.00	3.0
ENDEAVOUR CAPITAL	035	CB	B	30,300	43.03	n/a	n/a	1,515.00	5.0
ROSEDALE CAPITAL	046	CMI	B	10,000	24.64	14-Nov	11-Dec	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	CMTL	B	7,535	41.06	n/a	n/a	376.75	5.0
PNC/MERCANTILE	028	CMTL	B	18,000	41.05	n/a	n/a	900.00	5.0
POST ROAD CAP	045	DCP	S	3,800	15.40	n/a	n/a	114.00	3.0
WEISS PECK	040	DHI	S	49,800	6.55	n/a	n/a	1,992.00	4.0
BUCK CAPITAL MGMT	001	DIS	SS	100,000	20.73	n/a	n/a	4,000.00	4.0
BASIX	033	DRI	B	10,000	24.46	19-Dec	8-Jan	300.00	3.0
FIRST NY SEC/CHRIS	041	EV	SS	5,000	18.11	9-Jan	12-Jan	300.00	6.0
HOLDEN CAPITAL MGMT	035	EV	SS	800	18.52	9-Jan	12-Jan	40.00	5.0
CUMBERLAND	038	EXH	B	2,000	21.86	n/a	16-Dec	80.00	4.0
TRELLUS PARTNERS LP	028	FDO	SS	28,800	27.43	7-Jan	7-Jan	1,440.00	5.0
BUCK CAPITAL MGMT	001	GES	S	145,000	15.01	n/a	n/a	5,800.00	4.0
SIGMA CAPITAL ASSOCIATES	237	GMCR	SS	25,000	33.05	n/a	n/a	1,250.00	5.0
KLEINHEINZ CAP PART	031	HRB	B	50,000	20.65	n/a	n/a	2,500.00	5.0
PIONEER MICHAEL NOLAN	067	IMA	B	25,000	21.63	n/a	n/a	750.00	3.0
MILLENIUM KOZLOW	028	JCI	B	15,000	16.86	9-Jan	9-Jan	750.00	5.0
THE BOSTON COMPANY	401	JOSB	S	1,900	29.33	n/a	n/a	76.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	JWN	SS	8,200	12.30	9-Jan	9-Jan	328.00	4.0
BUCK CAPITAL MGMT	001	KCP	B	13,300	6.05	n/a	28-Sep	399.00	3.0
SIGMA CAPITAL ASSOCIATES	237	LLY	SS	50,000	37.38	n/a	n/a	2,500.00	5.0
FRONTPOINT CHRIS C	041	LNK	B	2,200	6.33	n/a	n/a	88.00	4.0
BUCK CAPITAL MGMT	001	MAR	SS	100,000	17.45	n/a	n/a	4,000.00	4.0
AVESTA CAP	229	MET	S	15,000	27.00	n/a	n/a	750.00	5.0
OSS CAPITAL/KEVIN DANN	067	MI	SS	500,000	10.92	n/a	n/a	15,000.00	3.0
SIGMA CAPITAL ASSOCIATES	237	MW	B	25,000	12.31	n/a	n/a	1,250.00	5.0
BALYASNY ASSET MGMT	044	M	B	45,000	9.62	12-Aug	9-Jan	1,800.00	4.0
MARINER/TRICADIA	041	NCX	SS	25,000	5.62	n/a	n/a	1,250.00	5.0
CATAPULT	040	NOC	S	18,000	46.75	n/a	n/a	900.00	5.0
BULL PATH CAPITAL	044	NYT	B	23,004	6.24	n/a	n/a	1,150.20	5.0
CATAPULT	040	OI	B	34,746	23.05	n/a	n/a	1,737.30	5.0
SCOPUS FUND	041	PAG	SS	7,500	7.87	n/a	23-Dec	375.00	5.0
BUCK CAPITAL MGMT	001	PVH	B	40,000	17.37	18-Dec	18-Dec	1,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVIN CAPITAL STRATEGIES	012	PVH	S	25,000	17.47	18-Dec	18-Dec	750.00	3.0
NWQ INVESTMENT MGMT CO	048	RDEN	B	34,758	11.38	7-Nov	7-Nov	1,042.74	3.0
KLEINHEINZ CAP PART	031	SBUX	B	75,000	8.92	n/a	8-Jan	3,750.00	5.0
HOLDEN CAPITAL MGMT	035	SFSF	B	23,300	5.70	n/a	n/a	1,165.00	5.0
BUCK CAPITAL MGMT	001	SSI	S	20,000	7.62	n/a	9-Jan	600.00	3.0
KLEINHEINZ CAP PART	031	SWN	S	50,000	28.08	19-Dec	19-Dec	2,500.00	5.0
NOMURA CAPITAL	045	TOL	B	10,000	18.71	n/a	n/a	500.00	5.0
SERENGETI MGMT	030	VAL	B	150,000	17.83	n/a	n/a	7,500.00	5.0
BUCK CAPITAL MGMT	001	WMS	SS	35,000	24.24	n/a	n/a	1,400.00	4.0
BUCK CAPITAL MGMT	001	WRC	B	20,000	16.71	7-Nov	7-Nov	800.00	4.0
SCOPUS FUND	041	WSM	SS	12,500	7.62	n/a	n/a	625.00	5.0
KLEINHEINZ CAP PART	031	XOM	S	100,000	76.26	n/a	n/a	5,000.00	5.0
TOTAL (Trade Date) :							104,292.19		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	01/14	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	BJ	SS	8,000	30.72	n/a	27-Jul	320.00 4.0
AO,	01/13	TRELLUS PARTNERS LP (TRELMAIN)	028	BWA	B	30,000	21.58	16-Dec	12-Jan	1500.00 5.0
AO,CXL	01/13	RAINIER INV MGMT (RAINMICH)	035	ENR	S	400	50.28	4-Nov	4-Nov	16.00 4.0
AO,	01/13	RAINIER INV MGMT (RAINMICPEN)	035	ENR	S	400	50.28	4-Nov	4-Nov	16.00 4.0
AO,CXL	01/13	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	JNY	S	30,000	4.68	n/a	13-Jan	900.00 3.0
AO,CRT	01/13	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	JNY	S	30,000	4.68	n/a	13-Jan	600.00 2.0
CRT	01/14	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	KCP	B	600	6.05	n/a	28-Sep	18.00 3.0
AO,CXL	01/13	SCOPUS FUND (SCOPBANC O)	041	KMT	B	8,112	19.15	18-Sep	13-Jan	405.60 5.0
AO,CRT	01/13	SCOPUS FUND (SCOPBANC O)	041	KMT	B	7,457	19.15	18-Sep	13-Jan	372.85 5.0
AO,CXL	01/13	SCOPUS FUND (SCOPUBS)	041	KMT	B	25,688	19.15	18-Sep	13-Jan	1284.40 5.0
AO,CRT	01/13	SCOPUS FUND (SCOPUBS)	041	KMT	B	26,343	19.15	18-Sep	13-Jan	1317.15 5.0
AO,CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3452)	098	MAT	B	200	15.20	n/a	n/a	8.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3234)	012	MAT	B	5,800	15.20	n/a	n/a	232.00 4.0
AO,CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3441)	098	MAT	B	700	15.20	n/a	n/a	28.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3222)	012	MAT	B	300	15.20	n/a	n/a	12.00 4.0
AO,CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3443)	098	MAT	B	200	15.20	n/a	n/a	8.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3221)	012	MAT	B	400	15.20	n/a	n/a	16.00 4.0
AO,CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3227)	098	MAT	B	900	15.20	n/a	n/a	36.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3225)	012	MAT	B	700	15.20	n/a	n/a	28.00 4.0
AO,CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3445)	098	MAT	B	200	15.20	n/a	n/a	8.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3213)	012	MAT	B	6,000	15.20	n/a	n/a	240.00 4.0
AO,CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3444)	098	MAT	B	100	15.20	n/a	n/a	4.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3224)	012	MAT	B	600	15.20	n/a	n/a	24.00 4.0
AO,CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3442)	098	MAT	B	100	15.20	n/a	n/a	4.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3223)	012	MAT	B	3,900	15.20	n/a	n/a	156.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3203)	098	MAT	B	600	15.20	n/a	n/a	24.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3189)	012	MAT	B	1,300	15.20	n/a	n/a	52.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2434)	098	MAT	B	600	15.20	n/a	n/a	24.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2967)	012	MAT	B	400	15.20	n/a	n/a	16.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2945)	098	MAT	B	1,600	15.20	n/a	n/a	64.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB84000)	012	MAT	B	7,700	15.20	n/a	n/a	308.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3265)	098	MAT	B	2,500	15.20	n/a	n/a	100.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3187)	012	MAT	B	1,500	15.20	n/a	n/a	60.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3435)	098	MAT	B	1,100	15.20	n/a	n/a	44.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3408)	012	MAT	B	400	15.20	n/a	n/a	16.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3601)	098	MAT	B	400	15.20	n/a	n/a	16.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3404)	012	MAT	B	200	15.20	n/a	n/a	8.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3147)	098	MAT	B	400	15.20	n/a	n/a	16.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3400)	012	MAT	B	100	15.20	n/a	n/a	4.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3270)	098	MAT	B	400	15.20	n/a	n/a	16.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3172)	012	MAT	B	400	15.20	n/a	n/a	16.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3271)	098	MAT	B	400	15.20	n/a	n/a	16.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3179)	012	MAT	B	900	15.20	n/a	n/a	36.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2529)	098	MAT	B	1,000	15.20	n/a	n/a	40.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3182)	012	MAT	B	700	15.20	n/a	n/a	28.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3141)	098	MAT	B	400	15.20	n/a	n/a	16.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3169)	012	MAT	B	700	15.20	n/a	n/a	28.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3250)	098	MAT	B	900	15.20	n/a	n/a	36.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3170)	012	MAT	B	200	15.20	n/a	n/a	8.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3252)	098	MAT	B	500	15.20	n/a	n/a	20.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3161)	012	MAT	B	100	15.20	n/a	n/a	4.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3456)	012	MAT	B	400	15.20	n/a	n/a	16.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3248)	098	MAT	B	600	15.20	n/a	n/a	24.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3156)	012	MAT	B	400	15.20	n/a	n/a	16.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB5487)	012	MAT	B	6,100	15.20	n/a	n/a	244.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3249)	098	MAT	B	600	15.20	n/a	n/a	24.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3154)	012	MAT	B	5,100	15.20	n/a	n/a	204.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3455)	012	MAT	B	600	15.20	n/a	n/a	24.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3253)	098	MAT	B	400	15.20	n/a	n/a	16.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB877)	012	MAT	B	300	15.20	n/a	n/a	12.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB861)	012	MAT	B	30	15.20	n/a	n/a	1.20 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3257)	098	MAT	B	1,000	15.20	n/a	n/a	40.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB787)	012	MAT	B	200	15.20	n/a	n/a	8.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3447)	012	MAT	B	100	15.20	n/a	n/a	4.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3260)	098	MAT	B	3,800	15.20	n/a	n/a	152.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB699)	012	MAT	B	400	15.20	n/a	n/a	16.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3448)	012	MAT	B	100	15.20	n/a	n/a	4.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3428)	098	MAT	B	100	15.20	n/a	n/a	4.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3093)	012	MAT	B	300	15.20	n/a	n/a	12.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3446)	012	MAT	B	100	15.20	n/a	n/a	4.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3246)	098	MAT	B	200	15.20	n/a	n/a	8.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3062)	012	MAT	B	600	15.20	n/a	n/a	24.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3449)	012	MAT	B	100	15.20	n/a	n/a	4.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3426)	098	MAT	B	100	15.20	n/a	n/a	4.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3061)	012	MAT	B	9,200	15.20	n/a	n/a	368.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3453)	012	MAT	B	400	15.20	n/a	n/a	16.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3424)	098	MAT	B	100	15.20	n/a	n/a	4.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2986)	012	MAT	B	600	15.20	n/a	n/a	24.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3282)	012	MAT	B	2,200	15.20	n/a	n/a	88.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3240)	098	MAT	B	600	15.20	n/a	n/a	24.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3061)	098	MAT	B	9,200	15.20	n/a	n/a	368.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2951)	012	MAT	B	200	15.20	n/a	n/a	8.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3282)	012	MAT	B	2,500	15.20	n/a	n/a	100.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3418)	098	MAT	B	300	15.20	n/a	n/a	12.00 4.0

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AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2986)	098	MAT	B	600	15.20	n/a	n/a	24.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3078)	012	MAT	B	1,200	15.20	n/a	n/a	48.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3452)	012	MAT	B	200	15.20	n/a	n/a	8.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3226)	098	MAT	B	7,100	15.20	n/a	n/a	284.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2951)	098	MAT	B	200	15.20	n/a	n/a	8.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3063)	012	MAT	B	200	15.20	n/a	n/a	8.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3441)	012	MAT	B	700	15.20	n/a	n/a	28.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3236)	098	MAT	B	400	15.20	n/a	n/a	16.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3078)	098	MAT	B	1,200	15.20	n/a	n/a	48.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3087)	012	MAT	B	400	15.20	n/a	n/a	16.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3443)	012	MAT	B	200	15.20	n/a	n/a	8.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3238)	098	MAT	B	2,400	15.20	n/a	n/a	96.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3063)	098	MAT	B	200	15.20	n/a	n/a	8.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3392)	012	MAT	B	100	15.20	n/a	n/a	4.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3227)	012	MAT	B	900	15.20	n/a	n/a	36.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3234)	098	MAT	B	5,800	15.20	n/a	n/a	232.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3087)	098	MAT	B	400	15.20	n/a	n/a	16.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB718)	012	MAT	B	200	15.20	n/a	n/a	8.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3445)	012	MAT	B	200	15.20	n/a	n/a	8.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3222)	098	MAT	B	300	15.20	n/a	n/a	12.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3392)	098	MAT	B	100	15.20	n/a	n/a	4.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2932)	012	MAT	B	300	15.20	n/a	n/a	12.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3444)	012	MAT	B	100	15.20	n/a	n/a	4.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3221)	098	MAT	B	400	15.20	n/a	n/a	16.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB718)	098	MAT	B	200	15.20	n/a	n/a	8.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3390)	012	MAT	B	200	15.20	n/a	n/a	8.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3442)	012	MAT	B	100	15.20	n/a	n/a	4.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3225)	098	MAT	B	700	15.20	n/a	n/a	28.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2932)	098	MAT	B	300	15.20	n/a	n/a	12.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2769)	012	MAT	B	100	15.20	n/a	n/a	4.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3203)	012	MAT	B	600	15.20	n/a	n/a	24.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3213)	098	MAT	B	6,000	15.20	n/a	n/a	240.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB390)	098	MAT	B	200	15.20	n/a	n/a	8.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2607)	012	MAT	B	200	15.20	n/a	n/a	8.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2434)	012	MAT	B	600	15.20	n/a	n/a	24.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3224)	098	MAT	B	600	15.20	n/a	n/a	24.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2769)	098	MAT	B	100	15.20	n/a	n/a	4.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2597)	012	MAT	B	100	15.20	n/a	n/a	4.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2945)	012	MAT	B	1,600	15.20	n/a	n/a	64.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3223)	098	MAT	B	3,900	15.20	n/a	n/a	156.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2607)	098	MAT	B	200	15.20	n/a	n/a	8.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2163)	012	MAT	B	100	15.20	n/a	n/a	4.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3265)	012	MAT	B	2,500	15.20	n/a	n/a	100.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3189)	098	MAT	B	1,300	15.20	n/a	n/a	52.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2597)	098	MAT	B	100	15.20	n/a	n/a	4.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2162)	012	MAT	B	200	15.20	n/a	n/a	8.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3435)	012	MAT	B	1,100	15.20	n/a	n/a	44.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2967)	098	MAT	B	400	15.20	n/a	n/a	16.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2163)	098	MAT	B	100	15.20	n/a	n/a	4.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2161)	012	MAT	B	200	15.20	n/a	n/a	8.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3601)	012	MAT	B	400	15.20	n/a	n/a	16.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB84000)	098	MAT	B	7,700	15.20	n/a	n/a	308.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2162)	098	MAT	B	200	15.20	n/a	n/a	8.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2160)	012	MAT	B	200	15.20	n/a	n/a	8.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3147)	012	MAT	B	400	15.20	n/a	n/a	16.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3187)	098	MAT	B	1,500	15.20	n/a	n/a	60.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2161)	098	MAT	B	200	15.20	n/a	n/a	8.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2097)	012	MAT	B	100	15.20	n/a	n/a	4.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3270)	012	MAT	B	400	15.20	n/a	n/a	16.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3408)	098	MAT	B	400	15.20	n/a	n/a	16.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2160)	098	MAT	B	200	15.20	n/a	n/a	8.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2086)	012	MAT	B	100	15.20	n/a	n/a	4.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3271)	012	MAT	B	400	15.20	n/a	n/a	16.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3404)	098	MAT	B	200	15.20	n/a	n/a	8.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2097)	098	MAT	B	100	15.20	n/a	n/a	4.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2952)	012	MAT	B	300	15.20	n/a	n/a	12.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2529)	012	MAT	B	1,000	15.20	n/a	n/a	40.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2086)	098	MAT	B	100	15.20	n/a	n/a	4.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2950)	012	MAT	B	100	15.20	n/a	n/a	4.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3141)	012	MAT	B	400	15.20	n/a	n/a	16.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3400)	098	MAT	B	100	15.20	n/a	n/a	4.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2952)	098	MAT	B	300	15.20	n/a	n/a	12.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB820000)	012	MAT	B	124,270	15.20	n/a	n/a	4970.80 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3250)	012	MAT	B	900	15.20	n/a	n/a	36.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3172)	098	MAT	B	400	15.20	n/a	n/a	16.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2950)	098	MAT	B	100	15.20	n/a	n/a	4.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2739)	012	MAT	B	12,200	15.20	n/a	n/a	488.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3252)	012	MAT	B	500	15.20	n/a	n/a	20.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3179)	098	MAT	B	900	15.20	n/a	n/a	36.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB820000)	098	MAT	B	124,270	15.20	n/a	n/a	4970.80 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2640)	012	MAT	B	1,300	15.20	n/a	n/a	52.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3248)	012	MAT	B	600	15.20	n/a	n/a	24.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3182)	098	MAT	B	700	15.20	n/a	n/a	28.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2739)	098	MAT	B	12,200	15.20	n/a	n/a	488.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2560)	012	MAT	B	100	15.20	n/a	n/a	4.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3249)	012	MAT	B	600	15.20	n/a	n/a	24.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3169)	098	MAT	B	700	15.20	n/a	n/a	28.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2640)	098	MAT	B	1,300	15.20	n/a	n/a	52.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2521)	012	MAT	B	300	15.20	n/a	n/a	12.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3253)	012	MAT	B	400	15.20	n/a	n/a	16.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3170)	098	MAT	B	200	15.20	n/a	n/a	8.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2560)	098	MAT	B	100	15.20	n/a	n/a	4.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3456)	098	MAT	B	400	15.20	n/a	n/a	16.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2520)	012	MAT	B	500	15.20	n/a	n/a	20.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3257)	012	MAT	B	1,000	15.20	n/a	n/a	40.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3161)	098	MAT	B	100	15.20	n/a	n/a	4.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2521)	098	MAT	B	300	15.20	n/a	n/a	12.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB5487)	098	MAT	B	6,100	15.20	n/a	n/a	244.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2442)	012	MAT	B	200	15.20	n/a	n/a	8.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3260)	012	MAT	B	3,800	15.20	n/a	n/a	152.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3156)	098	MAT	B	400	15.20	n/a	n/a	16.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2520)	098	MAT	B	500	15.20	n/a	n/a	20.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3455)	098	MAT	B	600	15.20	n/a	n/a	24.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2425)	012	MAT	B	300	15.20	n/a	n/a	12.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3428)	012	MAT	B	100	15.20	n/a	n/a	4.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3154)	098	MAT	B	5,100	15.20	n/a	n/a	204.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2442)	098	MAT	B	200	15.20	n/a	n/a	8.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB861)	098	MAT	B	30	15.20	n/a	n/a	1.20 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2287)	012	MAT	B	500	15.20	n/a	n/a	20.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3246)	012	MAT	B	200	15.20	n/a	n/a	8.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB877)	098	MAT	B	300	15.20	n/a	n/a	12.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2425)	098	MAT	B	300	15.20	n/a	n/a	12.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3447)	098	MAT	B	100	15.20	n/a	n/a	4.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2340)	012	MAT	B	2,000	15.20	n/a	n/a	80.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3426)	012	MAT	B	100	15.20	n/a	n/a	4.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB787)	098	MAT	B	200	15.20	n/a	n/a	8.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2287)	098	MAT	B	500	15.20	n/a	n/a	20.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3448)	098	MAT	B	100	15.20	n/a	n/a	4.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3424)	012	MAT	B	100	15.20	n/a	n/a	4.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB699)	098	MAT	B	400	15.20	n/a	n/a	16.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB2340)	098	MAT	B	2,000	15.20	n/a	n/a	80.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3446)	098	MAT	B	100	15.20	n/a	n/a	4.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3240)	012	MAT	B	600	15.20	n/a	n/a	24.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3093)	098	MAT	B	300	15.20	n/a	n/a	12.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3449)	098	MAT	B	100	15.20	n/a	n/a	4.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3418)	012	MAT	B	300	15.20	n/a	n/a	12.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3062)	098	MAT	B	600	15.20	n/a	n/a	24.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3453)	098	MAT	B	400	15.20	n/a	n/a	16.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3226)	012	MAT	B	7,100	15.20	n/a	n/a	284.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3282)	098	MAT	B	2,200	15.20	n/a	n/a	88.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3236)	012	MAT	B	400	15.20	n/a	n/a	16.00 4.0
AO, CXL	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3282)	098	MAT	B	2,500	15.20	n/a	n/a	100.00 4.0
AO,	01/13	CRAMER ROSENTHAL/SCOTT (CRSB3238)	012	MAT	B	2,400	15.20	n/a	n/a	96.00 4.0
AO, CRT	01/07	PROSPECTOR PARTNERS LLC (PROSPCAP)	036	MWV	B	500	12.44	15-Dec	15-Dec	20.00 4.0
AO, CXL	01/07	PROSPECTOR PARTNERS LLC (PROSPG)	036	MWV	B	500	12.44	15-Dec	15-Dec	20.00 4.0
AO, CXL	01/13	MAGNETAR FINANCIAL (MAGNCSFB)	031	PGN	S	5,900	38.01	n/a	n/a	295.00 5.0
AO, CRT	01/13	MAGNETAR FINANCIAL (MAGNCSFB)	031	PGN	S	5,900	38.01	n/a	n/a	177.00 3.0
TOTAL (AO, CXL, CRT) :										1,420.00

TOTAL (Trade Date):	104,292.19
TOTAL (AO, CXL, CRT):	1,420.00

TOTAL (RUN DATE) / NFS: 105,712.19



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