



## Daily Compliance Activity Report

Trade Date: 02/06/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAPITAL GROWTH MGMT.	241	ACI	B	17,300	48.65	n/a	n/a	865.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AEO</b>	<b>S</b>	<b>1,000,000</b>	<b>20.92</b>	<b>5-Feb</b>	<b>5-Feb</b>	<b>40,000.00</b>	<b>4.0</b>
COUGAR TRADING	044	AEO	B	10,000	21.47	5-Feb	5-Feb	500.00	5.0
COUGAR TRADING	044	AEO	S	25,000	20.49	5-Feb	5-Feb	1,250.00	5.0
STRAUSS ASSET MGMT	040	AERO	B	4,262	5.50	n/a	n/a	127.86	3.0
CENTURION GLOBAL MGMT LL	041	AMT	B	20,500	37.67	n/a	n/a	615.00	3.0
COUGAR TRADING	044	ANN	B	45,000	24.42	11-Jan	4-Feb	2,250.00	5.0
MERRILL ASSET	032	ANN	S	523,400	24.20	11-Jan	4-Feb	23,553.00	4.5
SAC TRADING HOWARD	038	ANN	B	255,500	24.21	11-Jan	4-Feb	12,775.00	5.0
ASCEND PARTNERS	033	AN	C	1,900	15.06	n/a	25-Jan	95.00	5.0
COUGAR TRADING	044	ARO	B	5,000	26.20	29-Nov	4-Feb	250.00	5.0
AVESTA CAP	229	AVP	B	25,000	38.76	5-Feb	5-Feb	1,250.00	5.0
BALYASNY ASSET MGMT	044	BA	SS	25,000	79.76	n/a	n/a	1,250.00	5.0
PRINCIPLE CAPITAL	040	BID	B	34,700	32.37	n/a	n/a	1,041.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BJ</b>	<b>B</b>	<b>20,000</b>	<b>31.69</b>	<b>n/a</b>	<b>27-Jul</b>	<b>800.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BKS</b>	<b>B</b>	<b>20,000</b>	<b>30.22</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
METROPOLITAN CAPITAL	044	BWS	B	22,400	15.28	n/a	n/a	1,113.00	4.8
<b>MKT MAKER</b>	<b>099</b>	<b>CLMS</b>	<b>B</b>	<b>200</b>	<b>22.02</b>	<b>29-Jan</b>	<b>29-Jan</b>	<b>0.00</b>	<b>0.0</b>
NOMURA CAPITAL	045	CMCSK	S	5,600	17.71	n/a	n/a	280.00	5.0
CASTLE ARK	031	CME	S	13,830	521.31	n/a	6-Feb	829.80	6.0
NATIONAL BK OF CAN	031	CME	B	2,000	483.66	n/a	6-Feb	80.00	4.0
MERRILL ASSET	032	CNB	B	50,400	14.04	n/a	n/a	2,268.00	4.5
THIRD COAST CAPITAL	035	COH	B	12,500	30.68	24-Oct	24-Jan	625.00	5.0
BEAR STEARNS ASSET MGMT.	033	CROX	B	75,000	33.20	n/a	n/a	3,000.00	4.0
NOMURA CAPITAL	045	DAL	S	5,600	18.35	n/a	n/a	280.00	5.0
<b>GAULT</b>	<b>063</b>	<b>DIG</b>	<b>S</b>	<b>1,000</b>	<b>81.12</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>WHEELER</b>	<b>008</b>	<b>DWSN</b>	<b>B</b>	<b>1,000</b>	<b>49.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MERRILL ASSET	032	FHN	B	19,400	19.18	n/a	n/a	873.00	4.5
CRAMER ROSENTHAL/SCOTT	012	FIS	B	338,000	42.79	n/a	n/a	13,520.00	4.0
GEORGE WEISS	034	FOR	S	15,000	25.55	n/a	n/a	600.00	4.0
GRUSS CAPITAL	045	FOR	B	5,000	24.28	n/a	n/a	200.00	4.0
<b>MAGUIRE</b>	<b>090</b>	<b>FXERO</b>	<b>B</b>	<b>15</b>	<b>3.20</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.	
<b>MAGUIRE</b>	<b>090</b>	<b>FXP</b>	<b>B</b>	<b>1,000</b>	<b>96.88</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CAPITAL GROWTH MGMT.	241	F	B	500,000	6.40	n/a	4-Feb	15,000.00	3.0
MORGAN BANK /JPM	012	GE	S	53,000	34.07	n/a	n/a	1,590.00	3.0
COUGAR TRADING	044	GPS	B	5,000	18.85	n/a	4-Feb	250.00	5.0
<b>KORMAN</b>	<b>003</b>	<b>GS</b>	<b>S</b>	<b>500</b>	<b>188.26</b>	<b>21-Sep</b>	<b>22-Jan</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	GYMB	B	5,000	37.39	n/a	4-Feb	250.00	5.0
SARAS CAPITAL	038	HAR	SS	25,000	40.06	14-Jan	6-Feb	1,250.00	5.0
SARAS CAPITAL	038	HAR	S	5,000	39.98	14-Jan	6-Feb	250.00	5.0
<b>MAGUIRE</b>	<b>090</b>	<b>HDB</b>	<b>SS</b>	<b>1,000</b>	<b>114.90</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>MAGUIRE</b>	<b>090</b>	<b>IBN</b>	<b>SS</b>	<b>1,000</b>	<b>57.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ASCEND PARTNERS	033	INTC	B	60,000	20.10	n/a	n/a	3,000.00	5.0
<b>WHEELER</b>	<b>008</b>	<b>IUVET</b>	<b>B</b>	<b>30</b>	<b>3.09</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>WHEELER</b>	<b>008</b>	<b>IVGN</b>	<b>S</b>	<b>3,000</b>	<b>87.42</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
METROPOLITAN CAPITAL	044	JCP	B	9,400	43.62	4-Jan	4-Feb	470.00	5.0
SANDLER O'NEILL ASSET	031	JPM	B	24,700	43.41	17-Jan	22-Jan	1,235.00	5.0
THE JAY GOLDMAN	034	JWN	SS	10,000	36.76	20-Nov	4-Feb	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PILOT ROCK	028	KLAC	S	102,000	41.67	n/a	n/a	4,080.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KMX</b>	<b>SS</b>	<b>50,000</b>	<b>20.45</b>	<b>n/a</b>	<b>10-Jan</b>	<b>2,000.00</b>	<b>4.0</b>
CENTURION GLOBAL MGMT LL	041	KO	B	5,300	57.74	n/a	n/a	159.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KSS</b>	<b>B</b>	<b>143,500</b>	<b>43.12</b>	<b>4-Jan</b>	<b>4-Feb</b>	<b>5,740.00</b>	<b>4.0</b>
COUGAR TRADING	044	KSS	B	35,000	43.42	4-Jan	4-Feb	1,750.00	5.0
COUGAR TRADING	044	KSS	S	5,000	43.59	4-Jan	4-Feb	250.00	5.0
JP MORGAN VENTURES	046	KSS	C	32,000	42.65	4-Jan	4-Feb	1,600.00	5.0
SAC TRADING HOWARD	038	KSS	B	30,000	42.75	4-Jan	4-Feb	1,500.00	5.0
SIGMA CAPITAL ASSOCIATES	237	KSS	B	50,000	43.69	4-Jan	4-Feb	2,500.00	5.0
THE JAY GOLDMAN	034	KSS	B	10,000	42.70	4-Jan	4-Feb	400.00	4.0
<b>LISTED ERR</b>	<b>099</b>	<b>KSS</b>	<b>B</b>	<b>5,000</b>	<b>43.57</b>	<b>4-Jan</b>	<b>4-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>KSS</b>	<b>SS</b>	<b>5,000</b>	<b>43.59</b>	<b>4-Jan</b>	<b>4-Feb</b>	<b>0.00</b>	<b>0.0</b>
DAVID J GREEN & CO	040	KSU	S	57,480	36.97	n/a	n/a	2,299.20	4.0
DGLN	040	KSU	S	200	36.97	n/a	n/a	8.00	4.0
ASCEND PARTNERS	033	KVA	S	25,000	27.45	n/a	n/a	1,250.00	5.0
TRUSTCO/SUNTRUST	040	LII	S	8,200	36.72	n/a	n/a	246.00	3.0
BALYASNY ASSET MGMT	044	LIZ	SS	30,000	20.50	n/a	28-Jan	1,500.00	5.0
BENCHMARK	028	LOOP	B	15,000	12.22	n/a	n/a	750.00	5.0
LEHMAN PROPRIETARY TRAD	041	LPX	S	40,000	13.01	30-Oct	6-Feb	1,600.00	4.0
GRISANTI BROWN & PARTNER	048	LVL	S	160,000	3.23	24-Oct	4-Jan	4,800.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>MAGUIRE</b>	<b>090</b>	<b>MAG</b>	<b>S</b>	<b>21,000</b>	<b>3.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BARR</b>	<b>096</b>	<b>MAG</b>	<b>S</b>	<b>16,000</b>	<b>3.39</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DALTON GREINER	012	MLI	B	14,665	28.81	5-Feb	5-Feb	733.25	5.0
SAXON WOODS ADVISORS	038	MNC	S	10,000	11.11	n/a	n/a	500.00	5.0
NATIONAL BK OF CAN	031	MTB	SS	10,000	88.21	n/a	n/a	400.00	4.0
<b>MAGUIRE</b>	<b>090</b>	<b>MZZ</b>	<b>B</b>	<b>1,000</b>	<b>63.36</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>M</b>	<b>S</b>	<b>600,000</b>	<b>24.02</b>	<b>4-Jan</b>	<b>4-Feb</b>	<b>24,000.00</b>	<b>4.0</b>
COUGAR TRADING	044	M	B	10,000	25.68	4-Jan	4-Feb	500.00	5.0
COUGAR TRADING	044	M	SS	15,000	24.52	4-Jan	4-Feb	750.00	5.0
COUGAR TRADING	044	M	S	35,000	25.38	4-Jan	4-Feb	1,750.00	5.0
IRON HORSE CAPITAL MGMT	038	M	S	15,000	25.57	4-Jan	4-Feb	750.00	5.0
JP MORGAN VENTURES	046	M	S	25,000	24.81	4-Jan	4-Feb	1,250.00	5.0
MERRILL LYNCH STRATEGICI	034	NKE	B	18,500	60.73	n/a	n/a	1,110.00	6.0
INDEPENDENCE INV	039	NOK	S	168,900	34.94	n/a	n/a	6,756.00	4.0
<b>CATTANI</b>	<b>041</b>	<b>NOK</b>	<b>B</b>	<b>200</b>	<b>35.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LEDDY</b>	<b>035</b>	<b>PDXC</b>	<b>B</b>	<b>1,200</b>	<b>6.18</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
HIGHBRIDGE CAPITAL	038	PKG	B	50,000	23.99	23-Jan	23-Jan	2,500.00	5.0
BACKBAY	041	PLCE	B	12,500	18.15	10-Jan	4-Feb	625.00	5.0
<b>LUCHANSKY</b>	<b>036</b>	<b>PLCE</b>	<b>S</b>	<b>150</b>	<b>18.83</b>	<b>10-Jan</b>	<b>4-Feb</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>MKT MAKER</b>	<b>099</b>	<b>PLCE</b>	<b>B</b>	<b>12,500</b>	<b>17.94</b>	<b>10-Jan</b>	<b>4-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>MKT MAKER</b>	<b>099</b>	<b>PLCE</b>	<b>S</b>	<b>12,500</b>	<b>17.84</b>	<b>10-Jan</b>	<b>4-Feb</b>	<b>0.00</b>	<b>0.0</b>
FIRST NEW YORK LEDDY	035	PSUN	S	15,000	11.55	n/a	4-Feb	600.00	4.0
<b>KORMAN</b>	<b>003</b>	<b>QJPNJ</b>	<b>B</b>	<b>50</b>	<b>3.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>KORMAN</b>	<b>003</b>	<b>QJPNK</b>	<b>B</b>	<b>50</b>	<b>7.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FIRST NEW YORK LEDDY	035	Q	B	30,000	5.66	n/a	n/a	1,800.00	6.0
GALLEON MGMT LP	033	RAH	SS	10,000	57.73	n/a	n/a	500.00	5.0
NEW JERSEY DIV OF INV.	220	RHI	S	40,000	25.93	n/a	n/a	1,600.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>S</b>	<b>113,003</b>	<b>63.36</b>	<b>14-Jan</b>	<b>1-Feb</b>	<b>4,520.12</b>	<b>4.0</b>
HUNTER GLOBAL INVESTOR	067	RL	SS	50,000	63.02	14-Jan	1-Feb	2,500.00	5.0
TRELLUS PARTNERS LP	028	RL	SS	40,000	61.40	14-Jan	1-Feb	2,000.00	5.0
BACKBAY	041	SBH	B	12,500	7.47	n/a	n/a	625.00	5.0
KENNEDY CAPITAL	046	SIAL	S	36,750	49.84	6-Nov	24-Jan	1,470.00	4.0
<b>MAGUIRE</b>	<b>090</b>	<b>SKF</b>	<b>B</b>	<b>1,000</b>	<b>105.95</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SYSTEMATIC FINANCIAL MGT	035	SNA	S	10,000	50.79	n/a	n/a	375.00	3.8
GALLEON MGMT LP	033	SPWR	S	2,000	61.93	n/a	n/a	100.00	5.0
GRISANTI BROWN & PARTNER	048	SPY	C	11,000	134.94	n/a	n/a	550.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SENECA CAPITAL LP NY	028	SPY	B	42,000	134.89	n/a	n/a	2,100.00	5.0
TRUSTCO/SUNTRUST	040	SSI	S	26,300	12.30	4-Jan	4-Feb	789.00	3.0
<b>MCCARTAN</b>	<b>028</b>	<b>SUNH</b>	<b>SS</b>	<b>200</b>	<b>17.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>EMP ERROR</b>	<b>099</b>	<b>SUNH</b>	<b>B</b>	<b>200</b>	<b>17.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
T. ROWE PRICE	033	S	B	49,800	9.89	n/a	n/a	1,494.00	3.0
BRANDWINE	028	TGT	B	3,000	52.59	n/a	27-Jul	135.00	4.5
COUGAR TRADING	044	TIF	B	10,000	38.95	14-Jan	17-Jan	500.00	5.0
COUGAR TRADING	044	TIF	SS	10,000	37.50	14-Jan	17-Jan	500.00	5.0
CSFB GLOBAL PROPRIETARY	041	TIN	S	20,000	18.86	6-Feb	6-Feb	1,000.00	5.0
GEORGE WEISS	034	TIN	S	50,000	18.26	6-Feb	6-Feb	2,000.00	4.0
THE JAY GOLDMAN	034	TIN	B	15,000	18.52	6-Feb	6-Feb	600.00	4.0
<b>XYLEM GLOBAL</b>	<b>091</b>	<b>TIN</b>	<b>S</b>	<b>11,100</b>	<b>18.85</b>	<b>6-Feb</b>	<b>6-Feb</b>	<b>555.00</b>	<b>5.0</b>
SYSTEMATIC FINANCIAL MGT	035	TJX	S	75,000	31.27	21-Sep	4-Feb	2,812.50	3.8
BRANDWINE	028	TRV	B	2,000	47.70	n/a	n/a	90.00	4.5
CAPITAL GROWTH MGMT.	241	TUP	B	50,000	36.48	n/a	n/a	2,500.00	5.0
BRANDWINE	028	TXT	B	2,400	55.36	n/a	n/a	108.00	4.5
<b>CATTANI</b>	<b>041</b>	<b>TXT</b>	<b>S</b>	<b>100</b>	<b>54.99</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BRANDWINE	028	T	B	7,600	36.88	n/a	4-Jan	342.00	4.5
GOLDMAN SACHS ASSET MGMT	044	T	S	70,000	36.41	n/a	4-Jan	2,800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BRANDWINE	028	UNH	B	2,000	49.50	n/a	n/a	90.00	4.5
NATIONAL BK OF CAN	031	USB	B	10,000	32.09	n/a	n/a	400.00	4.0
BRANDWINE	028	UTX	B	2,100	72.38	n/a	n/a	94.50	4.5
BUCK CAPITAL MGMT	001	VFC	S	20,000	77.54	n/a	n/a	800.00	4.0
CATTANI	041	WBC	S	100	41.87	n/a	12-Dec	0.00	0.0
BRANDWINE	028	WB	B	7,100	34.74	n/a	n/a	319.50	4.5
BRANDWINE	028	WFC	B	5,600	30.58	n/a	n/a	252.00	4.5
NATIONAL BK OF CAN	031	WFC	SS	30,000	29.96	n/a	n/a	1,200.00	4.0
GOLDMAN SACHS ASSET MGMT	044	WMI	B	70,000	32.60	n/a	n/a	2,800.00	4.0
JP MORGAN VENTURES	046	WMT	B	10,000	49.55	n/a	5-Feb	500.00	5.0
BRANDWINE	028	WM	B	7,500	17.87	n/a	n/a	337.50	4.5
MISSOURI VALLEY PART	046	WTSLA	B	90,345	2.95	n/a	n/a	2,710.35	3.0
CAXTON PART	040	XOM	S	58,237	81.48	n/a	n/a	2,038.31	3.5
BUCK CAPITAL MGMT	001	ZQK	B	100,000	8.77	5-Feb	5-Feb	4,000.00	4.0
TOTAL (Trade Date):								259,349.89	



# Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CRT	02/06	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	AEO	S	999,800	20.92	5-Feb	5-Feb	39992.00	4.0
AO,CXL	02/04	SAB CAPITAL (SABCMORGAN)	034	ANF	B	35,000	79.47	10-Jan	4-Feb	1750.00	5.0
AO,CRT	02/04	SAB CAPITAL (SABCGOLDMA)	034	ANF	B	35,000	79.47	10-Jan	4-Feb	1750.00	5.0
AO,CXL	02/04	SAB CAPITAL (SABCMORGAN)	034	ARO	B	75,000	27.70	29-Nov	4-Feb	3750.00	5.0
AO,CRT	02/04	SAB CAPITAL (SABCGOLDMA)	034	ARO	B	75,000	27.70	29-Nov	4-Feb	3750.00	5.0
CRT	02/06	METROPOLITAN CAPITAL (METRHARTZ)	044	BWS	B	2,500	15.28	n/a	n/a	125.00	5.0
CRT	02/06	METROPOLITAN CAPITAL (METRDEUTSC)	044	BWS	B	1,400	15.28	n/a	n/a	70.00	5.0
CRT	02/06	METROPOLITAN CAPITAL (METRGS BUL)	044	BWS	B	17,800	15.28	n/a	n/a	890.00	5.0
CRT	02/06	MKT MAKER (MKT MAKER)	099	CLMS	B	100	22.02	29-Jan	29-Jan	0.00	0.0
CRT	02/06	MKT MAKER (MKT MAKER)	099	CLMS	B	100	22.02	29-Jan	29-Jan	0.00	0.0
AO,CXL	02/01	PROSPECTOR PARTNERS LLC (PROSSIRIRH)	036	COP	B	500	80.11	n/a	n/a	20.00	4.0
AO,CRT	02/01	PROSPECTOR PARTNERS LLC (PROSS-93)	036	COP	B	500	80.11	n/a	n/a	20.00	4.0
CRT	02/06	METROPOLITAN CAPITAL (METRDEUTSC)	044	JCP	B	700	43.62	4-Jan	4-Feb	35.00	5.0
CRT	02/06	METROPOLITAN CAPITAL (METRGS BUL)	044	JCP	B	8,300	43.62	4-Jan	4-Feb	415.00	5.0
CRT	02/06	METROPOLITAN CAPITAL (METRSPEAR)	044	JCP	B	400	43.62	4-Jan	4-Feb	20.00	5.0
AO,CXL	02/05	LEHMAN PROPRIETARY TRAD (LEHMFLI.04)	041	LPX	S	50,000	13.76	30-Oct	6-Feb	2500.00	5.0
AO,	02/05	LEHMAN PROPRIETARY TRAD (LEHMFLI.04)	041	LPX	S	50,000	13.76	30-Oct	6-Feb	2000.00	4.0
AO,CXL	02/04	SAB CAPITAL (SABCMORGAN)	034	LTD	B	390,000	18.47	n/a	4-Feb	19500.00	5.0
AO,CRT	02/04	SAB CAPITAL (SABCGOLDMA)	034	LTD	B	390,000	18.47	n/a	4-Feb	19500.00	5.0
CRT	02/06	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	M	S	599,200	24.02	4-Jan	4-Feb	23968.00	4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	02/05	ROTHSCHILD ASSET (ROTH355)	040	MTW	S	20	39.55	n/a	n/a	0.90 4.5
AO,	02/05	ROTHSCHILD ASSET (ROTH476)	040	MTW	S	10	39.55	n/a	n/a	0.45 4.5
AO,	02/05	ROTHSCHILD ASSET (ROTH359)	040	MTW	S	360	39.55	n/a	n/a	16.20 4.5
AO,	02/05	ROTHSCHILD ASSET (ROTH362)	040	MTW	S	40	39.55	n/a	n/a	1.80 4.5
AO,	02/05	ROTHSCHILD ASSET (ROTH356)	040	MTW	S	20	39.55	n/a	n/a	0.90 4.5
AO,	02/05	ROTHSCHILD ASSET (ROTH351)	040	MTW	S	10	39.55	n/a	n/a	0.45 4.5
AO,	02/05	ROTHSCHILD ASSET (ROTH363-1)	040	MTW	S	20	39.55	n/a	n/a	0.90 4.5
AO,	02/05	ROTHSCHILD ASSET (ROTH332)	040	MTW	S	10	39.55	n/a	n/a	0.45 4.5
AO,	02/05	ROTHSCHILD ASSET (ROTH315)	040	MTW	S	20	39.55	n/a	n/a	0.90 4.5
AO,	02/05	ROTHSCHILD ASSET (ROTH310)	040	MTW	S	20	39.55	n/a	n/a	0.90 4.5
AO,	02/05	ROTHSCHILD ASSET (ROTH467)	040	MTW	S	10	39.55	n/a	n/a	0.45 4.5
AO,	02/05	ROTHSCHILD ASSET (ROTH464)	040	MTW	S	30	39.55	n/a	n/a	1.35 4.5
AO,	02/05	ROTHSCHILD ASSET (ROTH469)	040	MTW	S	270	39.55	n/a	n/a	12.15 4.5
AO,	02/05	ROTHSCHILD ASSET (ROTH468)	040	MTW	S	80	39.55	n/a	n/a	3.60 4.5
AO,	02/05	ROTHSCHILD ASSET (ROTH466)	040	MTW	S	110	39.55	n/a	n/a	4.95 4.5
AO,	02/05	ROTHSCHILD ASSET (ROTH452)	040	MTW	S	20	39.55	n/a	n/a	0.90 4.5
AO,	02/05	ROTHSCHILD ASSET (ROTH000300)	040	MTW	S	70	39.55	n/a	n/a	3.15 4.5
AO,	02/05	ROTHSCHILD ASSET (ROTH345)	040	MTW	S	10	39.55	n/a	n/a	0.45 4.5
AO,	02/05	ROTHSCHILD ASSET (ROTH372-1)	040	MTW	S	20	39.55	n/a	n/a	0.90 4.5
AO,	02/05	ROTHSCHILD ASSET (ROTH302-1)	040	MTW	S	80	39.55	n/a	n/a	3.60 4.5
AO,	02/05	ROTHSCHILD ASSET (ROTH369)	040	MTW	S	20	39.55	n/a	n/a	0.90 4.5
AO,	02/05	ROTHSCHILD ASSET (ROTH322)	040	MTW	S	40	39.55	n/a	n/a	1.80 4.5
AO,	02/05	ROTHSCHILD ASSET (ROTH302)	040	MTW	S	60	39.55	n/a	n/a	2.70 4.5
AO,	02/05	ROTHSCHILD ASSET (ROTH329)	040	MTW	S	20	39.55	n/a	n/a	0.90 4.5
AO,	02/05	ROTHSCHILD ASSET (ROTH368)	040	MTW	S	10	39.55	n/a	n/a	0.45 4.5
AO,	02/05	ROTHSCHILD ASSET (ROTH367)	040	MTW	S	20	39.55	n/a	n/a	0.90 4.5
<b>CRT</b>	<b>02/06</b>	<b>BUCK CAPITAL MGMT (BUCKMSMAIN)</b>	<b>001</b>	<b>RL</b>	<b>S</b>	<b>112,753</b>	<b>63.36</b>	<b>14-Jan</b>	<b>1-Feb</b>	<b>4510.12 4.0</b>
<b>AO,CRT</b>	<b>02/05</b>	<b>EMP ERROR (EMP ERROR)</b>	<b>099</b>	<b>SUNH</b>	<b>SS</b>	<b>200</b>	<b>17.27</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.		
AO,CXL	02/05	MCCARTAN (MCCARTAN)	028	SUNH	SS	200	17.27	n/a	n/a	0.00	0.0
TOTAL (AO, CXL, CRT) :									69,588.12		
TOTAL (Trade Date) :									259,349.89		
TOTAL (AO, CXL, CRT) :									69,588.12		
TOTAL (RUN DATE) / NFS :									328,938.01		

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