



## Daily Compliance Activity Report

Trade Date: 08/12/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CATTANI	041	AAI	S	2,000	3.63	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	AAP	SS	30,000	43.64	n/a	n/a	1,200.00	4.0
NOMURA CAPITAL	045	ACW	B	53,000	2.40	n/a	n/a	1,590.00	3.0
INDEPENDENCE INV	039	AET	B	48,460	43.50	n/a	n/a	1,938.40	4.0
LUCHANSKY	036	AGU	B	100	77.66	n/a	n/a	0.00	0.0
TRELLUS PARTNERS LP	028	ALV	S	30,300	41.73	23-Jul	30-Jul	1,515.00	5.0
ZOLIDIS	011	AMZN	SS	200	86.51	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	ANF	S	20,000	52.63	7-Aug	8-Aug	800.00	4.0
COUGAR TRADING	044	ANF	B	5,500	53.66	7-Aug	8-Aug	275.00	5.0
MERRILL LYNCH STRATEGICI	034	ANF	B	5,000	52.17	7-Aug	8-Aug	250.00	5.0
BEAR STEARNS ASSET MGMT.	033	ANN	SS	50,000	25.82	n/a	11-Jul	2,000.00	4.0
BUCK CAPITAL MGMT	001	ANN	SS	30,000	26.61	n/a	11-Jul	1,200.00	4.0
WEISS PECK	040	ANN	SS	7,400	26.65	n/a	11-Jul	370.00	5.0
BUCK CAPITAL MGMT	001	ARO	S	140,000	34.73	28-Apr	8-Aug	5,600.00	4.0
COUGAR TRADING	044	ARO	S	10,000	35.09	28-Apr	8-Aug	500.00	5.0
BUCK CAPITAL MGMT	001	AZO	SS	10,000	138.10	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	BBY	SS	30,000	44.43	n/a	27-Jul	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHITE PINE CAPITAL	030	BBY	B	1,050	44.39	n/a	27-Jul	52.50	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BWS</b>	<b>SS</b>	<b>10,000</b>	<b>17.96</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
METROPOLITAN CAPITAL	044	BWS	S	16,700	18.00	n/a	n/a	835.00	5.0
WEISS PECK	040	BWS	S	23,650	17.78	n/a	n/a	1,182.50	5.0
<b>CATTANI</b>	<b>041</b>	<b>CHK</b>	<b>B</b>	<b>300</b>	<b>44.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WEISS PECK	040	CHRS	SS	50,000	5.75	n/a	22-Mar	2,000.00	4.0
PILOT ADV	038	CMCO	B	11,300	28.12	n/a	n/a	452.00	4.0
INDEPENDENCE INV	039	CNA	B	63,680	27.10	n/a	n/a	2,547.20	4.0
COUGAR TRADING	044	COH	B	5,000	31.23	30-Jul	30-Jul	250.00	5.0
COUGAR TRADING	044	CPKI	B	10,000	15.46	10-Jul	8-Aug	500.00	5.0
ROSEDALE CAPITAL	046	CPN	S	37,100	16.06	n/a	n/a	1,855.00	5.0
TRELLUS PARTNERS LP	028	CSCO	S	100,000	24.60	n/a	22-Mar	5,000.00	5.0
WHITE PINE CAPITAL	030	CSCO	B	650	24.49	n/a	22-Mar	32.50	5.0
UBS OCONNOR	031	CVS	B	150,000	38.37	n/a	n/a	4,500.00	3.0
BMO NESBITT BURNS	041	C	B	50,000	18.46	19-Jun	31-Jul	2,500.00	5.0
BMO NESBITT BURNS	041	C	S	50,000	19.32	19-Jun	31-Jul	2,500.00	5.0
PERRY PARTNERS	041	DBD	S	12,400	38.96	12-Aug	12-Aug	372.00	3.0
<b>Õ Jason Cohen</b>		<b>DDY</b>	<b>S</b>	<b>50</b>	<b>25.3100</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.	
BUCK CAPITAL MGMT	001	DSW	B	120,000	14.77	8-May	8-Aug	4,800.00	4.0
WATER STREET CAPITAL	038	EBAY	S	50,000	26.30	n/a	n/a	2,500.00	5.0
AVESTA CAP	229	EMR	SS	20,000	49.05	n/a	n/a	1,000.00	5.0
BALYASNY ASSET MGMT	044	EV	SS	30,000	36.84	8-Aug	8-Aug	1,500.00	5.0
VISIUM/BALY HOWARD	038	FL	B	15,000	15.23	11-Aug	11-Aug	750.00	5.0
CSFB GLOBAL PROPRIETARY	041	FOR	B	21,100	19.42	n/a	n/a	1,055.00	5.0
COUGAR TRADING	044	FOSL	SS	10,000	31.31	n/a	6-Aug	500.00	5.0
TRELLUS PARTNERS LP	028	F	SS	70,000	5.27	25-Jul	28-Jul	2,100.00	3.0
INDEPENDENCE INV	039	GILD	B	68,120	57.02	n/a	n/a	2,724.80	4.0
MERRILL LYNCH STRATEGICI	034	GME	B	8,000	45.21	n/a	n/a	400.00	5.0
AMBER CAPITAL	046	GM	B	100,000	11.58	4-Aug	4-Aug	4,000.00	4.0
TRELLUS PARTNERS LP	028	GNTX	SS	10,000	16.32	24-Jun	28-Jul	500.00	5.0
LEDDY	035	GNTX	SS	700	16.33	24-Jun	28-Jul	0.00	0.0
NATIONAL BK OF CAN	031	GS	SS	5,000	170.46	12-Aug	12-Aug	200.00	4.0
BUCK CAPITAL MGMT	001	HBI	S	100,000	24.44	n/a	n/a	4,000.00	4.0
SAB CAPITAL	034	HBI	B	115,000	24.82	n/a	n/a	5,750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL LYNCH STRATEGICI	034	HD	S	20,000	27.53	n/a	27-Jul	800.00	4.0
MERRILL ASSET	032	HHS	B	52,000	12.07	n/a	n/a	2,340.00	4.5
WEISS PECK	040	HOG	SS	9,300	42.27	n/a	n/a	465.00	5.0
<b>Õ Jason Cohen</b>		<b>IACI</b>	<b>S</b>	<b>33</b>	<b>18.6000</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
POST ROAD CAP	045	IJR	B	14,000	64.99	n/a	n/a	420.00	3.0
POST ROAD CAP	045	IWR	B	5,000	95.48	n/a	n/a	150.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCG</b>	<b>S</b>	<b>35,000</b>	<b>28.79</b>	<b>n/a</b>	<b>30-May</b>	<b>1,400.00</b>	<b>4.0</b>
INDEPENDENCE INV	039	JNPR	B	53,440	26.03	n/a	22-Mar	2,137.60	4.0
JP MORGAN VENTURES	046	JNY	S	40,000	18.27	n/a	30-Jul	2,000.00	5.0
WEISS PECK	040	JNY	SS	20,900	18.76	n/a	30-Jul	1,045.00	5.0
SIGMA CAPITAL ASSOCIATES	237	JWN	SS	50,000	31.04	10-Jul	8-Aug	2,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KSS</b>	<b>S</b>	<b>100,000</b>	<b>49.33</b>	<b>n/a</b>	<b>8-Aug</b>	<b>4,000.00</b>	<b>4.0</b>
COUGAR TRADING	044	KSS	SS	10,000	49.92	n/a	8-Aug	500.00	5.0
JP MORGAN VENTURES	046	KSS	SS	10,000	49.45	n/a	8-Aug	500.00	5.0
WEISS PECK	040	KSS	SS	15,400	50.15	n/a	8-Aug	770.00	5.0
RK CAPITAL MGMT LLC	045	KVA	S	15,000	21.15	n/a	n/a	750.00	5.0
BULL PATH CAPITAL	044	LAMR	SS	25,000	37.53	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>APEX CAPITAL MGMT.</b>	<b>091</b>	<b>LIZ</b>	<b>S</b>	<b>26,500</b>	<b>14.69</b>	<b>n/a</b>	<b>25-Jul</b>	<b>1,325.00</b>	<b>5.0</b>
MERRILL LYNCH STRATEGICI	034	LOW	S	47,000	23.94	n/a	27-Jul	1,880.00	4.0
ASCEND PARTNERS	033	LTD	C	50,000	19.14	n/a	8-Aug	2,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MCD</b>	<b>SS</b>	<b>20,000</b>	<b>64.13</b>	<b>9-Jun</b>	<b>8-Aug</b>	<b>800.00</b>	<b>4.0</b>
SSI INVESTORS	048	MCD	S	20,954	64.47	9-Jun	8-Aug	838.16	4.0
UBS OCONNOR	031	MER	SS	200,000	25.18	24-Jun	29-Jul	6,000.00	3.0
HUNTER GLOBAL INVESTOR	067	MGM	B	52,600	35.41	n/a	6-Aug	2,630.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MW</b>	<b>SS</b>	<b>20,000</b>	<b>22.24</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
CROWN ADVISORS	045	M	SS	3,000	21.37	12-Aug	12-Aug	150.00	5.0
WAGONHOUND/NIC	048	M	SS	15,768	21.46	12-Aug	12-Aug	630.72	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>NWY</b>	<b>SS</b>	<b>10,000</b>	<b>10.45</b>	<b>n/a</b>	<b>22-May</b>	<b>400.00</b>	<b>4.0</b>
NOMURA CAPITAL	045	NYT	B	5,700	13.15	n/a	n/a	285.00	5.0
CRAMER ROSENTHAL/SCOTT	012	PENN	S	18,900	33.23	n/a	n/a	756.00	4.0
GOLDMAN SACHS ASSET MGMT	044	PM	S	27,920	55.74	n/a	n/a	1,116.80	4.0
LITESPEED	028	PPC	B	150,000	17.06	n/a	n/a	7,500.00	5.0
MS PRINCIPAL STRATEGIES	041	PRSP	B	22,500	33.34	n/a	n/a	1,125.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	PSUN	B	10,000	8.00	n/a	8-Aug	400.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>S</b>	<b>62,500</b>	<b>39.94</b>	<b>5-May</b>	<b>18-Jul</b>	<b>2,500.00</b>	<b>4.0</b>
COUGAR TRADING	044	PVH	B	5,000	41.20	5-May	18-Jul	250.00	5.0
MTB INV ADV	034	PWRD	S	16,000	24.65	n/a	n/a	800.00	5.0
<b>ZOLIDIS</b>	<b>011</b>	<b>QUKIH</b>	<b>S</b>	<b>6</b>	<b>3.10</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>RL</b>	<b>SS</b>	<b>10,000</b>	<b>72.23</b>	<b>n/a</b>	<b>7-Aug</b>	<b>400.00</b>	<b>4.0</b>
BAYPOINT/PRIMEMOVERS	041	RSH	SS	7,000	18.05	n/a	n/a	280.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RSH</b>	<b>SS</b>	<b>50,000</b>	<b>18.01</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
BALYASNY ASSET MGMT	044	SKS	SS	20,000	10.91	n/a	n/a	1,000.00	5.0
COUGAR TRADING	044	SSO	B	5,000	63.04	n/a	n/a	250.00	5.0
BAIRD INVESTMENT	031	SWN	S	3,910	32.15	20-Mar	11-Aug	195.50	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>SYNA</b>	<b>B</b>	<b>1</b>	<b>53.16</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>TGT</b>	<b>SS</b>	<b>100,000</b>	<b>50.32</b>	<b>n/a</b>	<b>8-Aug</b>	<b>4,000.00</b>	<b>4.0</b>
IRONBOUND CAPITAL	012	TIN	S	30,400	17.16	29-Apr	30-Jul	1,520.00	5.0
DALTON GREINER	012	TJX	S	144,555	36.46	11-Aug	12-Aug	7,227.75	5.0
WEISS PECK	040	TJX	SS	6,400	36.24	11-Aug	12-Aug	320.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TLB</b>	<b>S</b>	<b>20,000</b>	<b>12.61</b>	<b>7-Aug</b>	<b>8-Aug</b>	<b>800.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WEISS PECK	040	TRLG	SS	6,600	30.00	n/a	n/a	330.00	5.0
SCUDDER HEDGE	034	TROW	S	2,000	60.65	25-Jul	5-Aug	100.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TWB</b>	<b>SS</b>	<b>10,000</b>	<b>14.87</b>	<b>17-Mar</b>	<b>22-May</b>	<b>400.00</b>	<b>4.0</b>
<b>HART</b>	<b>056</b>	<b>TWTC</b>	<b>S</b>	<b>123</b>	<b>15.88</b>	<b>n/a</b>	<b>4-Jan</b>	<b>0.00</b>	<b>0.0</b>
NOMURA CAPITAL	045	UAUA	B	21,700	13.47	n/a	n/a	1,085.00	5.0
JP MORGAN VENTURES	046	URBN	SS	20,000	34.61	15-May	8-Aug	1,000.00	5.0
TRELLUS PARTNERS LP	028	VC	S	50,000	3.24	n/a	31-Jul	1,500.00	3.0
BALYASNY ASSET MGMT	044	WDR	SS	30,000	32.73	15-Jul	5-Aug	1,500.00	5.0
SERENGETI MGMT	030	WFC	SS	100,000	31.12	n/a	n/a	5,000.00	5.0
MERRILL LYNCH STRATEGICI	034	WMT	B	20,000	59.62	8-Aug	8-Aug	1,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WRC</b>	<b>S</b>	<b>130,000</b>	<b>50.02</b>	<b>8-Aug</b>	<b>8-Aug</b>	<b>5,200.00</b>	<b>4.0</b>
<b>WHEELER</b>	<b>008</b>	<b>WRLS</b>	<b>B</b>	<b>10,000</b>	<b>2.91</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>WWW</b>	<b>SS</b>	<b>40,000</b>	<b>27.50</b>	<b>n/a</b>	<b>13-Mar</b>	<b>1,600.00</b>	<b>4.0</b>
MTB INV ADV	034	WXS	S	32,000	29.47	n/a	n/a	1,600.00	5.0
STG INVESTORS	041	WY	B	10,000	51.98	n/a	6-Aug	500.00	5.0

---

**TOTAL (Trade Date):**

**168,119.43**

---



### Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/11	NOMURA CAPITAL (NOMUSTRATE)	045	ACW	B	15,000	2.24	n/a	n/a	450.00 3.0
AO,	08/11	NOMURA CAPITAL (NOMUBATT2)	045	ACW	B	16,000	2.24	n/a	n/a	480.00 3.0
AO,	08/11	NOMURA CAPITAL (NOMUBSMAN)	045	ACW	B	18,000	2.24	n/a	n/a	540.00 3.0
<b>CRT</b>	<b>08/12</b>	<b>BUCK CAPITAL MGMT (BUCKMSMAN)</b>	<b>001</b>	<b>ARO</b>	<b>S</b>	<b>139,900</b>	<b>34.73</b>	<b>28-Apr</b>	<b>8-Aug</b>	<b>5596.00 4.0</b>
AO,	08/11	ETON PARK CAPITAL (ETONGSBULK)	041	CBS	SS	200,000	17.69	n/a	n/a	8000.00 4.0
AO,CXL	08/11	SATELITE/BOBBY (SATBCITI)	044	CCL	B	25,000	40.62	n/a	26-Jan	1250.00 5.0
AO,CRT	08/11	SATELITE/BOBBY (SATBCITI)	044	CCL	B	25,000	40.62	n/a	26-Jan	1000.00 4.0
AO,	08/11	NOMURA CAPITAL (NOMUSTRATE)	045	CKH	S	100	82.70	n/a	n/a	5.00 5.0
AO,	08/11	NOMURA CAPITAL (NOMUBATT2)	045	CKH	S	400	82.70	n/a	n/a	20.00 5.0
AO,	08/11	NOMURA CAPITAL (NOMUBSMAN)	045	CKH	S	900	82.70	n/a	n/a	45.00 5.0
AO,CXL	08/11	HUNTER GLOBAL INVESTOR (HUNTMS P)	067	DFS	SS	31,600	15.81	n/a	8-Aug	1580.00 5.0
AO,CRT	08/11	HUNTER GLOBAL INVESTOR (HUNTMS P)	067	DFS	SS	31,600	15.81	n/a	8-Aug	1264.00 4.0
<b>CRT</b>	<b>08/12</b>	<b>BUCK CAPITAL MGMT (BUCKMSMAN)</b>	<b>001</b>	<b>DSW</b>	<b>B</b>	<b>119,600</b>	<b>14.77</b>	<b>8-May</b>	<b>8-Aug</b>	<b>4784.00 4.0</b>
AO,CXL	08/11	SATELITE/BOBBY (SATBCITI)	044	EL	B	5,000	45.64	7-May	24-Jun	250.00 5.0
AO,CRT	08/11	SATELITE/BOBBY (SATBCITI)	044	EL	B	5,000	45.64	7-May	24-Jun	200.00 4.0
AO,	08/11	ETON PARK CAPITAL (ETONGSBULK)	041	IWM	B	884,800	74.85	n/a	n/a	26544.00 3.0
AO,CXL	08/11	SATELITE/BOBBY (SATBCITI)	044	KSS	S	27,400	49.01	n/a	8-Aug	1370.00 5.0
AO,CRT	08/11	SATELITE/BOBBY (SATBCITI)	044	KSS	S	27,400	49.01	n/a	8-Aug	1096.00 4.0
AO,CXL	08/11	KENNEDY CAPITAL (KENN464)	046	NVDA	S	270	11.27	n/a	n/a	10.80 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	08/11	KENNEDY CAPITAL (KENN464)	046	PCLN	B	40	100.22	n/a	n/a	1.60	4.0
AO,CXL	08/11	MTB INV ADV (MTBISMSLEE)	034	PLCE	B	150	38.41	23-Jun	8-Aug	7.50	5.0
AO,CRT	08/11	MTB INV ADV (MTBISMSLEE)	034	PLCE	B	100	38.41	23-Jun	8-Aug	5.00	5.0
AO,CXL	08/11	MTB INV ADV (MTBIMAIN O)	034	PLCE	B	100	38.41	23-Jun	8-Aug	5.00	5.0
AO,CRT	08/11	MTB INV ADV (MTBIMAIN O)	034	PLCE	B	150	38.41	23-Jun	8-Aug	7.50	5.0
AO,	08/11	STG INVESTORS (STGIGOLDMA)	041	QQQQ	SS	1,900	47.58	n/a	n/a	76.00	4.0
AO,	08/11	STG INVESTORS (STGIBANC O)	041	QQQQ	SS	41,500	47.58	n/a	n/a	1660.00	4.0
AO,	08/11	STG INVESTORS (STGIMAIN)	041	QQQQ	SS	56,600	47.58	n/a	n/a	2264.00	4.0
AO,	08/11	GOLDMAN SACHS ASSET MGMT (GSAM945)	044	S	S	140,000	8.78	n/a	n/a	2800.00	2.0
<b>AO,</b>	<b>08/08</b>	<b>OTC ERROR (OTC ERROR)</b>	<b>099</b>	<b>SYNA</b>	<b>B</b>	<b>1</b>	<b>53.76</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
AO,CXL	08/11	SATELITE/BOBBY (SATBCITI)	044	SYX	SS	17,500	31.13	n/a	24-Apr	875.00	5.0
AO,CRT	08/11	SATELITE/BOBBY (SATBCITI)	044	SYX	SS	17,500	31.13	n/a	24-Apr	700.00	4.0
<b>CRT</b>	<b>08/12</b>	<b>BUCK CAPITAL MGMT (BUCKMSMAIN)</b>	<b>001</b>	<b>TGT</b>	<b>SS</b>	<b>100,000</b>	<b>50.32</b>	<b>n/a</b>	<b>8-Aug</b>	<b>4000.00</b>	<b>4.0</b>
AO,	08/11	MISSOURI VALLEY PART (MISS154)	046	TJX	S	5,730	36.84	11-Aug	12-Aug	286.50	5.0
AO,	08/11	MISSOURI VALLEY PART (MISS144)	046	TJX	S	5,775	36.84	11-Aug	12-Aug	288.75	5.0
AO,	08/11	MISSOURI VALLEY PART (MISS134)	046	TJX	S	1,850	36.84	11-Aug	12-Aug	92.50	5.0
AO,	08/11	MISSOURI VALLEY PART (MISS1214)	046	TJX	S	205	36.84	11-Aug	12-Aug	10.25	5.0
AO,	08/11	MISSOURI VALLEY PART (MISS1164)	046	TJX	S	1,125	36.84	11-Aug	12-Aug	56.25	5.0
AO,	08/11	MISSOURI VALLEY PART (MISS1144)	046	TJX	S	2,475	36.84	11-Aug	12-Aug	123.75	5.0
AO,	08/11	MISSOURI VALLEY PART (MISS1184)	046	TJX	S	50	36.84	11-Aug	12-Aug	2.50	5.0
AO,	08/11	MISSOURI VALLEY PART (MISS1034)	046	TJX	S	450	36.84	11-Aug	12-Aug	22.50	5.0
AO,	08/11	MISSOURI VALLEY PART (MISS1024)	046	TJX	S	800	36.84	11-Aug	12-Aug	40.00	5.0
AO,	08/11	MISSOURI VALLEY PART (MISS1014)	046	TJX	S	1,350	36.84	11-Aug	12-Aug	67.50	5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/11	MISSOURI VALLEY PART (MISS1004)	046	TJX	S	1,325	36.84	11-Aug	12-Aug	66.25 5.0
AO,	08/11	MISSOURI VALLEY PART (MISS534)	046	TJX	S	180	36.84	11-Aug	12-Aug	9.00 5.0
AO,	08/11	MISSOURI VALLEY PART (MISS784)	046	TJX	S	525	36.84	11-Aug	12-Aug	26.25 5.0
AO,	08/11	MISSOURI VALLEY PART (MISS104)	030	TJX	S	235	36.84	11-Aug	12-Aug	11.75 5.0
AO,	08/11	MISSOURI VALLEY PART (MISS474)	046	TJX	S	2,300	36.84	11-Aug	12-Aug	115.00 5.0
AO,	08/11	MISSOURI VALLEY PART (MISS444)	046	TJX	S	1,400	36.84	11-Aug	12-Aug	70.00 5.0
AO,	08/11	MISSOURI VALLEY PART (MISS434)	046	TJX	S	795	36.84	11-Aug	12-Aug	39.75 5.0
AO,	08/11	MISSOURI VALLEY PART (MISS414)	046	TJX	S	110	36.84	11-Aug	12-Aug	5.50 5.0
AO,	08/11	MISSOURI VALLEY PART (MISS404)	046	TJX	S	1,050	36.84	11-Aug	12-Aug	52.50 5.0
AO,	08/11	MISSOURI VALLEY PART (MISS394)	046	TJX	S	4,030	36.84	11-Aug	12-Aug	201.50 5.0
AO,	08/11	MISSOURI VALLEY PART (MISS384)	046	TJX	S	7,830	36.84	11-Aug	12-Aug	391.50 5.0
AO,	08/11	MISSOURI VALLEY PART (MISS374)	046	TJX	S	2,490	36.84	11-Aug	12-Aug	124.50 5.0
AO,	08/11	MISSOURI VALLEY PART (MISS364)	046	TJX	S	520	36.84	11-Aug	12-Aug	26.00 5.0
AO,	08/11	MISSOURI VALLEY PART (MISS164)	046	TJX	S	520	36.84	11-Aug	12-Aug	26.00 5.0
AO,	08/11	MISSOURI VALLEY PART (MISS094)	046	TJX	S	270	36.84	11-Aug	12-Aug	13.50 5.0
AO,	08/11	MISSOURI VALLEY PART (MISS084)	046	TJX	S	2,345	36.84	11-Aug	12-Aug	117.25 5.0
AO,	08/11	MISSOURI VALLEY PART (MISS984)	046	TJX	S	4,100	36.84	11-Aug	12-Aug	205.00 5.0
AO,	08/11	MISSOURI VALLEY PART (MISS199)	046	TJX	S	3,810	36.84	11-Aug	12-Aug	190.50 5.0
AO,	08/11	STG INVESTORS (STGIGOLDMA)	041	WY	B	500	51.86	n/a	6-Aug	20.00 4.0
AO,	08/11	STG INVESTORS (STGIBANC O)	041	WY	B	10,100	51.86	n/a	6-Aug	404.00 4.0
AO,	08/11	STG INVESTORS (STGIMAIN)	041	WY	B	13,800	51.86	n/a	6-Aug	552.00 4.0

**TOTAL (AO, CXL, CRT) :**

**59,844.85**

TOTAL (Trade Date) :

168,119.43

TOTAL (AO, CXL, CRT):

59,844.85

---

**TOTAL (RUN DATE) / NFS:**

**227,964.28**

---

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