



Daily Compliance Activity Report

Trade Date: 12/06/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	216	AAI	S	10,000	8.11	n/a	n/a	500.00	5.0
JP MORGAN VENTURES	046	AA	S	25,000	35.50	n/a	n/a	1,250.00	5.0
PATTEN & PATTEN	067	ACL	B	1,715	140.92	26-Oct	4-Dec	85.75	5.0
PATTEN & PATTEN	067	ADBE	B	400	44.09	n/a	n/a	20.00	5.0
PATTEN & PATTEN	067	ADSK	B	100	47.59	n/a	n/a	5.00	5.0
BALYASNY ASSET MGMT	044	AIG	SS	30,000	61.36	n/a	n/a	1,500.00	5.0
BUCK CAPITAL MGMT	001	ANF	S	20,000	81.98	2-Oct	3-Dec	800.00	4.0
COUGAR TRADING	044	ANF	SS	5,000	81.41	2-Oct	3-Dec	250.00	5.0
BUCK CAPITAL MGMT	001	ANN	SS	115,000	30.71	6-Aug	3-Dec	4,600.00	4.0
B BUCK CAPITAL MGMT		ANN	SS	35,000	31.26	6-Aug	3-Dec	non-brg	2.0
SAC TRADING HOWARD	038	ANN	SS	37,000	30.83	6-Aug	3-Dec	1,850.00	5.0
BUCK CAPITAL MGMT	001	ARO	B	50,000	24.96	29-Nov	3-Dec	2,000.00	4.0
COUGAR TRADING	044	ARO	S	5,000	24.70	29-Nov	3-Dec	250.00	5.0
THOMSON HORSTMAN BRYANT	040	ARO	B	27,900	24.72	29-Nov	3-Dec	1,395.00	5.0
PATTEN & PATTEN	067	AVY	B	600	52.46	13-Aug	14-Nov	30.00	5.0
BALYASNY ASSET MGMT	044	AXL	B	10,000	19.73	n/a	n/a	500.00	5.0
BALYASNY ASSET MGMT	044	AXP	SS	15,000	59.37	n/a	n/a	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CARLSON CAPITAL	031	BAC	S	65,900	45.53	13-Nov	20-Nov	3,295.00	5.0
PATTEN & PATTEN	067	BAC	B	200	45.49	13-Nov	20-Nov	10.00	5.0
PATTEN & PATTEN	067	BBH	S	200	170.77	n/a	n/a	10.00	5.0
SIGMA CAPITAL ASSOCIATES	237	BBY	B	100,000	52.16	n/a	27-Jul	5,000.00	5.0
BALYASNY ASSET MGMT	044	BEN	B	25,000	122.90	25-Sep	26-Nov	1,250.00	5.0
CAPITAL GROWTH MGMT.	241	BHP	S	140,000	75.55	n/a	n/a	7,000.00	5.0
KERN	050	BHP	S	250	74.54	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	BKS	SS	10,000	36.76	n/a	n/a	400.00	4.0
CARLSON CAPITAL	031	BK	S	25,000	49.02	19-Oct	20-Nov	1,250.00	5.0
BARR	096	BQI	B	5,000	4.50	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	CBS	S	500	27.01	n/a	n/a	25.00	5.0
ROYCE TRADING	216	CCC	S	10,000	16.01	n/a	n/a	500.00	5.0
MILLER	N23	CFC	B	15	11.82	n/a	n/a	0.00	0.0
NORTHPOINT	030	CFNL	B	14,325	9.99	n/a	n/a	429.75	3.0
ROYCE TRADING	216	CHB	S	10,000	8.39	n/a	n/a	500.00	5.0
TRUSTCO/SUNTRUST	040	CHD	S	7,800	56.05	7-Nov	7-Nov	234.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ZOLIDIS	011	CHS	SS	1,000	9.90	5-Dec	5-Dec	0.00	0.0
ROXBURY CAPITAL MGMT	035	CLB	B	10,000	120.13	6-Nov	30-Nov	400.00	4.0
PATTEN & PATTEN	067	CL	S	50	79.18	2-Nov	2-Nov	2.50	5.0
AVESTA CAP	229	CMI	B	20,000	127.69	n/a	n/a	1,000.00	5.0
PATTEN & PATTEN	067	CNI	B	600	49.36	n/a	n/a	30.00	5.0
JS ASSET MGMT	028	CNO	B	4,000	12.95	n/a	n/a	160.00	4.0
B BUCK CAPITAL MGMT		CROX	B	20,000	43.07	n/a	n/a	non-brg	2.5
JS ASSET MGMT	028	C	B	600	34.11	5-Nov	27-Nov	24.00	4.0
BUCK CAPITAL MGMT	001	DDS	SS	90,000	20.16	n/a	n/a	3,600.00	4.0
B BUCK CAPITAL MGMT		DECK	C	10,000	158.58	n/a	n/a	non-brg	2.5
FRIESS MGMT	042	DELL	B	910,900	24.88	n/a	n/a	40,990.50	4.5
PATTEN & PATTEN	067	DELL	S	900	24.73	n/a	n/a	45.00	5.0
PATTEN & PATTEN	067	DFS	S	200	16.93	n/a	n/a	10.00	5.0
ZOLIDIS	011	DHI	S	230	14.05	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	DIS	S	600	32.71	n/a	n/a	30.00	5.0
B BUCK CAPITAL MGMT		DLTR	SS	20,000	28.40	9-Nov	3-Dec	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
APEX CAPITAL MGMT.	091	DNA	S	70,000	66.65	n/a	n/a	3,500.00	5.0
PATTEN & PATTEN	067	DOW	S	3,200	41.63	n/a	25-Oct	160.00	5.0
BUCK CAPITAL MGMT	001	EDA	S	10,000	14.40	n/a	n/a	400.00	4.0
SUTERA	160	EFT	B	5	15.87	n/a	n/a	0.00	0.0
IVORY CAPITAL	034	EIG	S	43,000	18.05	n/a	n/a	860.00	2.0
PATTEN & PATTEN	067	EMR	S	300	57.54	n/a	n/a	15.00	5.0
PATTEN & PATTEN	067	EPP	B	995	169.42	n/a	n/a	49.75	5.0
PATTEN & PATTEN	067	EWC	S	700	31.69	n/a	n/a	35.00	5.0
PATTEN & PATTEN	067	EWG	S	100	35.87	n/a	n/a	5.00	5.0
PATTEN & PATTEN	067	EWB	S	250	23.57	n/a	n/a	12.50	5.0
PATTEN & PATTEN	067	EWJ	S	13,000	14.21	n/a	n/a	650.00	5.0
PATTEN & PATTEN	067	EWZ	B	250	83.90	n/a	n/a	12.50	5.0
PATTEN & PATTEN	067	EXH	B	107	78.98	n/a	28-Nov	5.35	5.0
LATEFF MGMT	040	FBN	B	2,000	10.83	n/a	n/a	160.00	8.0
CASTLEROCK	040	FDO	B	149,600	21.43	7-Dec	3-Dec	5,984.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MATTHES CAPITAL MGMT	033	FDO	SS	25,000	21.24	7-Dec	3-Dec	1,000.00	4.0
PATTEN & PATTEN	067	FHN	B	250	22.84	n/a	n/a	12.50	5.0
PATTEN & PATTEN	067	FHN	S	600	22.83	n/a	n/a	30.00	5.0
BENCHMARK	028	FRED	SS	20,000	10.15	6-Dec	6-Dec	1,000.00	5.0
NORTHPOINT	030	GBTS	B	3,744	13.95	n/a	n/a	149.76	4.0
BUCK CAPITAL MGMT	001	GES	B	70,000	43.97	n/a	n/a	2,800.00	4.0
PATTEN & PATTEN	067	GE	S	200	36.75	n/a	n/a	10.00	5.0
⚡ BUCK CAPITAL MGMT		GIL	S	248,700	38.21	5-Nov	4-Dec	non-brg	4.0
⚡ BUCK CAPITAL MGMT		GIL	S	51,300	37.97	5-Nov	4-Dec	non-brg	2.0
LEDDY	035	GIL	S	400	38.07	5-Nov	4-Dec	0.00	0.0
BARR	096	GLD	B	500	79.02	n/a	n/a	0.00	0.0
LATEFF MGMT	040	GM	B	500	28.30	n/a	4-Dec	140.00	28.0
BALYASNY ASSET MGMT	044	GNTX	SS	10,000	19.30	24-Jul	23-Oct	500.00	5.0
CAXTON PART	040	GPS	B	100,000	21.48	n/a	3-Dec	3,500.01	3.5
COUGAR TRADING	044	GPS	S	15,000	21.00	n/a	3-Dec	750.00	5.0
MATRIX ASSET ADV.	036	GPS	S	11,000	20.75	n/a	3-Dec	440.00	4.0
SIGMA CAPITAL ASSOCIATES	237	GPS	B	50,000	20.71	n/a	3-Dec	2,500.00	5.0
CATAPULT	040	GS	B	5,000	217.32	21-Sep	5-Dec	250.00	5.0
ROYCE TRADING	216	GY	B	5,000	11.73	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	IBB	S	100	84.74	n/a	n/a	5.00	5.0
PATTEN & PATTEN	067	IGM	B	200	59.90	n/a	n/a	10.00	5.0
PATTEN & PATTEN	067	ILF	B	390	262.32	n/a	n/a	19.50	5.0
PATTEN & PATTEN	067	ITT	B	700	64.18	n/a	13-Nov	35.00	5.0
B BUCK CAPITAL MGMT		ITXSM	S	85,000	68.58	n/a	n/a	non-brg	10.3
GAULT	063	IVZ	S	1,000	27.44	21-Nov	3-Dec	0.00	0.0
B BUCK CAPITAL MGMT		IWM	SS	180,000	76.52	n/a	n/a	non-brg	2.0
PATTEN & PATTEN	067	IYT	S	100	84.79	n/a	n/a	5.00	5.0
BUCK CAPITAL MGMT	001	JAH	B	50,000	27.10	n/a	n/a	2,000.00	4.0
FIRST NY SEC/CHRIS	041	JBHT	S	5,000	27.25	n/a	n/a	300.00	6.0
BUCK CAPITAL MGMT	001	JCG	S	20,000	49.03	28-Nov	30-Nov	800.00	4.0
COUGAR TRADING	044	JCG	B	5,000	49.70	28-Nov	30-Nov	250.00	5.0
COUGAR TRADING	044	JCG	SS	5,000	48.57	28-Nov	30-Nov	250.00	5.0
ADAGE CAPITAL MGMT	030	JCP	SS	100,000	43.16	15-Nov	3-Dec	4,000.00	4.0
B BUCK CAPITAL MGMT		JCP	S	10,000	43.03	15-Nov	3-Dec	non-brg	4.0
B BUCK CAPITAL MGMT		JCP	S	70,000	43.75	15-Nov	3-Dec	non-brg	4.0
DELTEC ASSET MGMT.	040	JCP	B	8,000	43.42	15-Nov	3-Dec	400.00	5.0
PILOT ADV	038	JCP	B	47,500	43.18	15-Nov	3-Dec	1,900.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	216	JNY	B	5,000	18.18	n/a	1-Nov	250.00	5.0
⌘ BUCK CAPITAL MGMT		JOSB	S	10,000	28.31	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		JOSB	S	20,000	26.71	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		JOSB	S	6,000	28.28	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		JOSB	S	78,853	27.73	n/a	n/a	non-brg	1.0
DIAMONDBACK CAP MGMT	232	JPM	B	25,000	45.22	19-Oct	20-Nov	1,250.00	5.0
MERRILL ASSET	032	JPM	B	37,210	45.52	19-Oct	20-Nov	1,860.50	5.0
⌘ BUCK CAPITAL MGMT		JWN	S	30,000	37.02	20-Nov	3-Dec	non-brg	4.0
PATTEN & PATTEN	067	JWN	B	11,400	37.60	20-Nov	3-Dec	570.00	5.0
BUCK CAPITAL MGMT	001	KMX	SS	60,000	21.71	n/a	10-Jan	2,400.00	4.0
⌘ BUCK CAPITAL MGMT		KSS	S	20,000	49.47	9-Nov	3-Dec	non-brg	4.0
COUGAR TRADING	044	KSS	S	5,000	49.52	9-Nov	3-Dec	250.00	5.0
SSI INVESTORS	048	LEAP	SS	40,994	38.04	n/a	n/a	1,639.76	4.0
BALYASNY ASSET MGMT	044	LEA	S	10,000	28.09	n/a	n/a	500.00	5.0
NCM CAPITAL MGMT	035	LLL	B	17,550	112.75	n/a	n/a	877.50	5.0
MS PRINCIPAL STRATEGIES	041	LNG	SS	10,000	35.62	n/a	n/a	500.00	5.0
HAYGROUND COE	039	LOW	SS	75,000	24.60	27-Jul	27-Jul	3,750.00	5.0
SAC TRADING HOWARD	038	LTD	SS	15,000	19.50	n/a	3-Dec	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ASCEND PARTNERS	033	LZ	C	20,000	63.33	n/a	n/a	1,000.00	5.0
MS PRINCIPAL STRATEGIES	041	MAR	S	25,000	37.11	n/a	n/a	1,250.00	5.0
APEX CAPITAL MGMT.	091	MAT	B	50,000	19.97	n/a	n/a	2,500.00	5.0
AVESTA CAP	229	MCD	B	50,000	60.20	n/a	24-Apr	2,500.00	5.0
PATTEN & PATTEN	067	MGU	S	600	32.18	n/a	n/a	30.00	5.0
JS ASSET MGMT	028	MIR	B	3,300	39.45	n/a	n/a	132.00	4.0
PATTEN & PATTEN	067	MMC	S	250	25.37	n/a	n/a	12.50	5.0
PATTEN & PATTEN	067	MS	B	900	50.35	5-Dec	5-Dec	45.00	5.0
BUCK CAPITAL MGMT	001	MW	B	100,000	31.60	n/a	n/a	4,000.00	4.0
1837 PARTNERS/RMB CAP	030	MXIM	B	300	24.96	n/a	n/a	12.00	4.0
ADAGE CAPITAL MGMT	030	M	SS	150,000	29.92	9-Nov	3-Dec	6,000.00	4.0
B BUCK CAPITAL MGMT		M	B	70,000	29.91	9-Nov	3-Dec	non-brg	4.0
COUGAR TRADING	044	M	S	10,000	29.96	9-Nov	3-Dec	500.00	5.0
EGS ASSOCIATES LP	091	M	B	7,500	29.90	9-Nov	3-Dec	450.00	6.0
WOOSTER CAPITAL	035	M	B	50,000	29.83	9-Nov	3-Dec	2,500.00	5.0
PATTEN & PATTEN	067	NEM	S	900	50.33	n/a	n/a	45.00	5.0
ROYCE TRADING	216	NPO	B	5,000	30.82	n/a	n/a	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KENNEDY CAPITAL	046	NTY	S	80,900	28.13	n/a	n/a	3,236.00	4.0
KENNEDY CAPITAL	046	NUE	S	9,725	61.02	n/a	n/a	389.00	4.0
YORK CAPITAL	036	NVT	S	402,000	75.12	n/a	n/a	20,100.00	5.0
1837 PARTNERS/RMB CAP	030	NYT	B	24,500	17.00	n/a	n/a	980.00	4.0
IVORY CAPITAL	034	OCR	S	182,756	25.25	n/a	6-Dec	3,106.85	1.7
BARR	096	OPXT	B	4,000	7.58	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	OSK	B	500	49.76	n/a	n/a	25.00	5.0
PATTEN & PATTEN	067	PBE	S	500	19.27	n/a	n/a	25.00	5.0
PATTEN & PATTEN	067	PCX	B	400	37.62	n/a	n/a	20.00	5.0
LEDDY	035	PFE	S	600	23.97	n/a	31-Mar	0.00	0.0
BELMONT GLOBAL ADV	248	PLCE	S	30,000	29.61	3-Dec	3-Dec	1,500.00	5.0
WAGONHOUND	048	PLCE	S	7,500	30.21	3-Dec	3-Dec	300.00	4.0
WEISS PECK	040	PLCE	S	8,400	30.21	3-Dec	3-Dec	420.00	5.0
DIAMONDBACK CAP MGMT	232	PNC	S	15,000	73.48	n/a	n/a	750.00	5.0
ASCEND PARTNERS	033	PNRA	S	36,000	38.94	n/a	n/a	1,800.00	5.0
B BUCK CAPITAL MGMT		PNRA	SS	30,000	38.72	n/a	n/a	non-brg	2.5
KENNEDY CAPITAL	046	POM	B	59,690	28.98	n/a	n/a	2,387.60	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	PSS	B	20,000	18.47	n/a	n/a	800.00	4.0
COUGAR TRADING	044	PSUN	SS	10,000	16.15	n/a	3-Dec	500.00	5.0
BUCK CAPITAL MGMT	001	PTT	S	5,000	11.58	n/a	n/a	200.00	4.0
CENTURION PARTNERS	255	PVH	B	10,000	39.93	5-Dec	5-Dec	500.00	5.0
COUGAR TRADING	044	PVH	S	10,000	39.35	5-Dec	5-Dec	500.00	5.0
WAGONHOUND	048	PVH	S	9,870	40.02	5-Dec	5-Dec	394.80	4.0
PATTEN & PATTEN	067	PWR	B	3,900	26.54	n/a	n/a	195.00	5.0
PATTEN & PATTEN	067	Q	S	1,500	6.83	n/a	n/a	75.00	5.0
GALLEON MGMT LP	033	RAD	C	25,000	3.68	n/a	n/a	750.00	3.0
WHEELER	008	RAE	B	20,000	2.63	n/a	n/a	0.00	0.0
JP MORGAN VENTURES	046	RIO	B	50,000	36.10	n/a	n/a	2,500.00	5.0
B BUCK CAPITAL MGMT		RTH	SS	110,400	97.91	n/a	n/a	non-brg	2.0
JACOB	068	RUTH	B	1,300	11.20	n/a	n/a	0.00	0.0
CARLYLE BLUE WAVE PR MG	224	RYAAY	B	5,000	38.89	n/a	n/a	250.00	5.0
B BUCK CAPITAL MGMT		SBUX	SS	20,000	22.57	n/a	24-Apr	non-brg	4.0
ZOLIDIS	011	SDS	B	200	53.01	n/a	n/a	0.00	0.0

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PATTEN & PATTEN	067	SE	S	300	25.27	n/a	n/a	15.00	5.0
STRATTON	N21	SGU	B	1,000	3.78	n/a	n/a	0.00	0.0
DIAMONDBACK CAP MGMT	232	SOV	S	15,000	12.15	n/a	n/a	750.00	5.0
B BUCK CAPITAL MGMT		SPY	SS	100,000	148.67	n/a	n/a	non-brg	2.0
PALMYRA CAPITAL	048	SPY	C	170,000	150.64	n/a	n/a	5,100.00	3.0
ROXBURY CAPITAL MGMT	035	SSI	S	125,000	16.29	21-Nov	3-Dec	5,000.00	4.0
PATTEN & PATTEN	067	STI	B	100	69.98	n/a	n/a	5.00	5.0
BEAR STEARNS ASSET MGMT.	033	TGT	B	75,000	55.45	n/a	27-Jul	3,000.00	4.0
BUCK CAPITAL MGMT	001	TGT	S	30,000	56.04	n/a	27-Jul	1,200.00	4.0
BUCK CAPITAL MGMT	001	TIF	SS	10,000	47.00	18-Oct	3-Dec	400.00	4.0
SUN AMERICA ASSET MGMT	030	TIN	B	57,800	45.77	9-Nov	9-Nov	2,890.00	5.0
ADAGE CAPITAL MGMT	030	TJX	S	301,300	30.27	21-Sep	3-Dec	12,052.00	4.0
B BUCK CAPITAL MGMT		TOL	SS	10,000	22.25	n/a	n/a	non-brg	4.0
SAXON WOODS ADVISORS	038	TOL	B	20,000	23.37	n/a	n/a	1,000.00	5.0
ZOLIDIS	011	TOL	S	150	23.51	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		TRLG	S	10,000	19.13	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	TWB	B	20,000	24.23	19-Nov	19-Nov	800.00	4.0

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STRATTON	N21	TWIN	S	50	68.80	n/a	n/a	0.00	0.0
DIAMONDBACK CAP MGMT	232	UNH	C	25,000	54.45	n/a	n/a	1,250.00	5.0
B BUCK CAPITAL MGMT		URBN	S	50,000	28.02	9-Nov	3-Dec	non-brg	4.0
PATTEN & PATTEN	067	UTX	S	200	77.44	n/a	n/a	10.00	5.0
BALYASNY ASSET MGMT	044	VC	B	35,000	4.25	n/a	19-Nov	1,050.00	3.0
LED DY	035	VC	B	1,200	4.34	n/a	19-Nov	0.00	0.0
YORK CAPITAL	036	VLO	B	100,000	64.93	n/a	n/a	5,000.00	5.0
PATTEN & PATTEN	067	WB	B	500	43.11	n/a	n/a	25.00	5.0
DIAMONDBACK CAP MGMT	232	WFC	B	20,000	32.07	n/a	n/a	1,000.00	5.0
MOORE CAPITAL	036	WMT	S	395,000	48.61	20-Nov	3-Dec	15,800.00	4.0
BUCK CAPITAL MGMT	001	WSM	SS	50,000	28.74	n/a	n/a	2,000.00	4.0
PATTEN & PATTEN	067	WTW	S	1,000	47.16	n/a	n/a	50.00	5.0
PATTEN & PATTEN	067	WWY	S	25	64.37	n/a	n/a	1.25	5.0
PATTEN & PATTEN	067	WYE	S	1,050	48.87	n/a	31-Mar	52.50	5.0
HIGHBRIDGE CAPITAL	038	WY	SS	18,000	74.01	1-Nov	1-Nov	900.00	5.0
PATTEN & PATTEN	067	XBI	S	600	61.16	n/a	n/a	30.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CLOVIS CAPITAL	012	XLE	B	200,000	75.81	n/a	n/a	10,000.00	5.0
APEX CAPITAL MGMT.	091	ZUMZ	B	67,900	25.27	n/a	n/a	3,395.00	5.0
TOTAL (Trade Date):								267,441.63	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/04	LISTED ERR	099	DSW	S	100	20.86	26-Oct	5-Dec	0.00 0.0
AO,CRT	12/05	CARLYLE BLUE WAVE PR MG	224	ETN	S	4,000	91.96	5-Dec	5-Dec	200.00 5.0
AO,CXL	12/05	CARLYLE BLUE WAVE PR MG	224	ETN	S	4,000	91.96	5-Dec	5-Dec	200.00 5.0
AO,CXL	12/05	CARLYLE BLUE WAVE PR MG	224	IR	S	5,000	51.81	n/a	n/a	250.00 5.0
AO,CRT	12/05	CARLYLE BLUE WAVE PR MG	224	IR	S	5,000	51.81	n/a	n/a	250.00 5.0
AO,CXL	12/04	FIRST NEW YORK LEDDY	035	IVZ	S	10,000	27.72	21-Nov	3-Dec	600.00 6.0
AO,	12/05	FIRST NY SEC/CHRIS	041	JBHT	B	10,000	26.71	n/a	n/a	600.00 6.0
AO,CXL	12/05	MKT MAKER	099	PLCE	S	100	29.20	3-Dec	3-Dec	0.00 0.0
AO,CRT	11/29	WHITTIER CAP	048	PVH	B	5,745	40.22	5-Dec	5-Dec	229.80 4.0
AO,CXL	11/29	WHITTIER CAP	048	PVH	B	5,745	40.22	5-Dec	5-Dec	229.80 4.0
AO,CXL	12/05	CARLYLE BLUE WAVE PR MG	224	SSCC	S	10,000	10.92	n/a	26-Oct	500.00 5.0
AO,CRT	12/05	CARLYLE BLUE WAVE PR MG	224	SSCC	S	10,000	10.92	n/a	26-Oct	500.00 5.0
AO,CRT	12/05	CARLYLE BLUE WAVE PR MG	224	WMI	B	10,000	33.88	n/a	n/a	500.00 5.0
AO,CXL	12/05	CARLYLE BLUE WAVE PR MG	224	WMI	B	10,000	33.88	n/a	n/a	500.00 5.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date):	267,441.63
TOTAL (AO, CXL, CRT):	0.00

TOTAL (RUN DATE) / NFS:	267,441.63
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MRI Securities with Trade Activity on 6-Dec.

FRED

MRI Securities without Trade Activity on 6-Dec.

NONE

BRG comm. as a % of BCM Total Comm. paid.

T-Date = 40%

YTD = 20%

Legend:

Õ: Employee Trades in Outside Accounts

ß: Non-BRG BCM Trades

[i]: Initiation of Coverage

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