

## **Daily Compliance Activity Report** Trade Date: 03/09/2010

## **POTENTIAL ANALYST TRADE VIOLATIONS: 0**

					10.		MALLIGI	TREEDE VIO	
Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
ISLE RIDGE PARTNERS	041	AEO	В	32,500	16.95	n/a	5-Mar	1,300.00	4.0
IMPALA ASSET MMT	012	AMR	В	20,000	9.08	n/a	n/a	400.00	2.0
BUCK CAPITAL MGMT	001	ANF	S	10,000	43.30	n/a	5-Mar	400.00	4.0
GLOBAL 56 LLC	060	ARM	S	2,500	12.51	n/a	n/a	125.00	5.0
HIGHBRIDGE CAP	041	BHI	В	100,000	50.07	n/a	n/a	4,000.00	4.0
BUCK CAPITAL MGMT	001	СОН	В	20,000	38.68	n/a	21-Jan	800.00	4.0
ARCHON CAPITAL	035	CROX	SS	60,000	7.47	n/a	n/a	1,800.00	3.0
HOTCHKIS & WILEY	035	CRS	S	32,000	33.20	n/a	n/a	1,600.00	5.0
EXIS CAPITAL	044	CSCO	В	25,000	26.08	n/a	n/a	1,250.00	5.0
SIGMA CAPITAL ASSOCIATES	041	DKS	В	25,000	26.04	n/a	9-Mar	875.00	3.5
AVESTA CAP	229	DOW	В	100,000	29.50	n/a	2-Feb	3,000.00	3.0
RBC CAPITAL MARKETS	040	DOW	S	20,000	29.19	n/a	2-Feb	800.00	4.0
BALYASNY ASSET MGMT	044	EAT	С	30,000	19.42	n/a	n/a	1,500.00	5.0
OSS CAPITAL/KEVIN DANN	067	ECA	SS	50,000	34.25	n/a	n/a	1,500.00	3.0
KLEINHEINZ CAP PART	031	EMC	В	150,000	18.66	n/a	n/a	7,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	Shr.	
HIGHBRIDGE CAP	041	EOG	SS	22,106	98.01	n/a	n/a	884.24	4.0	
FIRST NEW YORK LEDDY	035	ETFC	В	10,000	1.69	n/a	n/a	600.00	6.0	
1798 CAPITAL MGMT	040	FLR	В	33,000	45.19	n/a	n/a	1,650.00	5.0	
ROARING BLUE LION MGMT	012	GCO	S	10,000	28.49	n/a	n/a	400.00	4.0	
JP MORGAN VENTURES	046	GDP	В	15,000	19.17	n/a	n/a	750.00	5.0	
MILLENIUM PARTNERS	028	GE	В	50,000	16.37	n/a	n/a	2,000.00	4.0	
SACC-SCHWARTZ	044	GWW	В	50,000	107.43	n/a	26-Jan	1,750.00	3.5	
STERLING JOHNSTON	035	GYMB	В	23,000	45.60	n/a	5-Mar	920.00	4.0	
AVESTA CAP	229	IP	В	100,000	25.37	n/a	3-Feb	3,000.00	3.0	
EXIS CAPITAL	044	JEF	В	5,000	25.30	n/a	n/a	250.00	5.0	
EXIS CAPITAL	044	JNY	В	30,000	18.64	n/a	10-Feb	1,500.00	5.0	
EPOCH INV MGMT	030	КВН	S	1,900	17.74	n/a	n/a	57.00	3.0	
EPOCH INV MGMT	030	KMT	S	750	28.28	n/a	26-Feb	22.50	3.0	
HUNTER GLOBAL INVESTOR	067	KO	SS	100,000	54.36	n/a	n/a	5,000.00	5.0	
KARSCH CAPITAL	034	KR	S	297 <b>,</b> 780	22.40	n/a	n/a	8,933.40	3.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.
BUCK CAPITAL MGMT	001	LL	В	40,000	24.24	n/a	n/a	1,600.00	4.0
OSS CAPITAL/KEVIN DANN	067	LYV	В	125,000	14.21	n/a	n/a	3,750.00	3.0
SIGMA CAPITAL ASSOCIATES	041	MAT	S	50,000	22.55	n/a	n/a	1,750.00	3.5
EPOCH INV MGMT	030	MEOH	S	1,200	26.49	n/a	n/a	36.00	3.0
EPOCH INV MGMT	030	MGAM	S	3 <b>,</b> 350	4.46	n/a	n/a	100.50	3.0
HUNTER GLOBAL INVESTOR	067	MHS	В	75 <b>,</b> 000	63.21	n/a	n/a	3,750.00	5.0
DAVIDSON KEMPNER ADVISOR	040	MJN	S	10,000	50.12	n/a	n/a	500.00	5.0
THE JAY GOLDMAN	028	MXIM	SS	50,000	18.77	n/a	n/a	2,000.00	4.0
EXIS CAPITAL	044	М	В	10,000	20.84	n/a	5-Mar	500.00	5.0
EPOCH INV MGMT	030	NLC	S	1,000	23.89	n/a	n/a	30.00	3.0
COOPER CREEK PART	028	NP	SS	5,000	16.85	n/a	3-Mar	200.00	4.0
EPOCH INV MGMT	030	NST	S	750	34.98	n/a	n/a	22.50	3.0
KACELA CAPITAL	034	NWL	В	65 <b>,</b> 000	15.05	n/a	n/a	2,600.00	4.0
EPOCH INV MGMT	030	OKE	S	850	46.40	n/a	n/a	25.50	3.0
CAXTON PART	040	PCAR	В	213,984	39.56	n/a	1-Feb	7,489.46	3.5
	BUCK CAPITAL MGMT  OSS CAPITAL/KEVIN DANN  SIGMA CAPITAL ASSOCIATES  EPOCH INV MGMT  EPOCH INV MGMT  HUNTER GLOBAL INVESTOR  DAVIDSON KEMPNER ADVISOR  THE JAY GOLDMAN  EXIS CAPITAL  EPOCH INV MGMT  COOPER CREEK PART  EPOCH INV MGMT  KACELA CAPITAL  EPOCH INV MGMT	BUCK CAPITAL MGMT 001  OSS CAPITAL/KEVIN DANN 067  SIGMA CAPITAL ASSOCIATES 041  EPOCH INV MGMT 030  HUNTER GLOBAL INVESTOR 067  DAVIDSON KEMPNER ADVISOR 040  THE JAY GOLDMAN 028  EXIS CAPITAL 044  EPOCH INV MGMT 030  COOPER CREEK PART 028  EPOCH INV MGMT 030  KACELA CAPITAL 034  EPOCH INV MGMT 030	BUCK CAPITAL MGMT OSS CAPITAL/KEVIN DANN OSS CAPITAL/KEVIN DANN SIGMA CAPITAL ASSOCIATES O41 MAT EPOCH INV MGMT O30 MEOH EPOCH INV MGMT O30 MGAM HUNTER GLOBAL INVESTOR DAVIDSON KEMPNER ADVISOR DAVIDSON KEMPNER ADVISOR THE JAY GOLDMAN EXIS CAPITAL O44 M EPOCH INV MGMT O30 NLC COOPER CREEK PART O28 NP EPOCH INV MGMT O30 NST KACELA CAPITAL O34 NWL EPOCH INV MGMT O30 OKE	BUCK CAPITAL MGMT  OSS CAPITAL/KEVIN DANN  SIGMA CAPITAL ASSOCIATES  EPOCH INV MGMT  O30  MEOH  S  EPOCH INV MGMT  O30  MGAM  S  HUNTER GLOBAL INVESTOR  DAVIDSON KEMPNER ADVISOR  THE JAY GOLDMAN  EXIS CAPITAL  EPOCH INV MGMT  O30  MIN  S  EXIS CAPITAL  O44  M  B  EPOCH INV MGMT  O30  NLC  S  COOPER CREEK PART  O28  NP  SS  EPOCH INV MGMT  O30  NST  S  KACELA CAPITAL  O34  NWL  B  EPOCH INV MGMT  O30  OKE  S	BUCK CAPITAL MGMT  OSS CAPITAL/KEVIN DANN  OSS CAPITAL/KEVIN DANN  SIGMA CAPITAL ASSOCIATES  O41  MAT  S  50,000  EPOCH INV MGMT  O30  MEOH  S  1,200  EPOCH INV MGMT  O30  MGAM  S  3,350  HUNTER GLOBAL INVESTOR  DAVIDSON KEMPNER ADVISOR  O40  MJN  S  10,000  THE JAY GOLDMAN  O28  MXIM  SS  50,000  EXIS CAPITAL  O44  M  B  10,000  EPOCH INV MGMT  O30  NLC  S  1,000  COOPER CREEK PART  O28  NP  SS  5,000  EPOCH INV MGMT  O30  NST  S  750  KACELA CAPITAL  O34  NWL  B  65,000  EPOCH INV MGMT  O30  OKE  S  850	BUCK CAPITAL MGMT 001 LL B 40,000 24.24  OSS CAPITAL/KEVIN DANN 067 LYV B 125,000 14.21  SIGMA CAPITAL ASSOCIATES 041 MAT S 50,000 22.55  EPOCH INV MGMT 030 MEOH S 1,200 26.49  EPOCH INV MGMT 030 MGAM S 3,350 4.46  HUNTER GLOBAL INVESTOR 067 MHS B 75,000 63.21  DAVIDSON KEMPNER ADVISOR 040 MJN S 10,000 50.12  THE JAY GOLDMAN 028 MXIM SS 50,000 18.77  EXIS CAPITAL 044 M B 10,000 20.84  EPOCH INV MGMT 030 NLC S 1,000 23.89  COOPER CREEK PART 028 NP SS 5,000 16.85  EPOCH INV MGMT 030 NST S 750 34.98  KACELA CAPITAL 034 NWL B 65,000 15.05  EPOCH INV MGMT 030 OKE S 850 46.40	BUCK CAPITAL MGMT 001 LL B 40,000 24.24 n/a  OSS CAPITAL/KEVIN DANN 067 LYV B 125,000 14.21 n/a  SIGMA CAPITAL ASSOCIATES 041 MAT S 50,000 22.55 n/a  EPOCH INV MGMT 030 MEOH S 1,200 26.49 n/a  EPOCH INV MGMT 030 MGAM S 3,350 4.46 n/a  HUNTER GLOBAL INVESTOR 067 MHS B 75,000 63.21 n/a  DAVIDSON KEMPNER ADVISOR 040 MJN S 10,000 50.12 n/a  THE JAY GOLDMAN 028 MXIM SS 50,000 18.77 n/a  EXIS CAPITAL 044 M B 10,000 20.84 n/a  EPOCH INV MGMT 030 NLC S 1,000 23.89 n/a  COOPER CREEK PART 028 NP SS 5,000 16.85 n/a  EPOCH INV MGMT 030 NST S 750 34.98 n/a  KACELA CAPITAL 034 NWL B 65,000 15.05 n/a  EPOCH INV MGMT 030 OKE S 850 46.40 n/a	BUCK CAPITAL MGMT 001 LL B 40,000 24.24 n/a n/a  OSS CAPITAL/KEVIN DANN 067 LYV B 125,000 14.21 n/a n/a  SIGMA CAPITAL ASSOCIATES 041 MAT S 50,000 22.55 n/a n/a  EPOCH INV MGMT 030 MEOH S 1,200 26.49 n/a n/a  EPOCH INV MGMT 030 MGAM S 3,350 4.46 n/a n/a  HUNTER GLOBAL INVESTOR 067 MHS B 75,000 63.21 n/a n/a  DAVIDSON KEMPNER ADVISOR 040 MJN S 10,000 50.12 n/a n/a  THE JAY GOLDMAN 028 MXIM SS 50,000 18.77 n/a n/a  EXIS CAPITAL 044 M B 10,000 20.84 n/a 5-Mar  EPOCH INV MGMT 030 NLC S 1,000 23.89 n/a n/a  COOPER CREEK PART 028 NP SS 5,000 16.85 n/a 3-Mar  EPOCH INV MGMT 030 NST S 750 34.98 n/a n/a  KACELA CAPITAL 034 NWL B 65,000 15.05 n/a n/a  EPOCH INV MGMT 030 OKE S 850 46.40 n/a n/a	BUCK CAPITAL MGMT 001 LL B 40,000 24.24 n/a n/a 1,600.00  OSS CAPITAL/KEVIN DANN 067 LYV B 125,000 14.21 n/a n/a 3,750.00  SIGMA CAPITAL ASSOCIATES 041 MAT S 50,000 22.55 n/a n/a 1,750.00  EPOCH INV MGMT 030 MEOH S 1,200 26.49 n/a n/a 36.00  EPOCH INV MGMT 030 MGAM S 3,350 4.46 n/a n/a 100.50  HUNTER GLOBAL INVESTOR 067 MHS B 75,000 63.21 n/a n/a 3,750.00  DAVIDSON KEMPNER ADVISOR 040 MJN S 10,000 50.12 n/a n/a 500.00  THE JAY GOLDMAN 028 MKIM SS 50,000 18.77 n/a n/a 2,000.00  EXIS CAPITAL 044 M B 10,000 20.84 n/a 5-Mar 500.00  EPOCH INV MGMT 030 NLC S 1,000 23.89 n/a n/a 30.00  COOPER CREEK PART 028 NP SS 5,000 16.85 n/a 3-Mar 200.00  EPOCH INV MGMT 030 NST S 750 34.98 n/a n/a 22.50  KACELA CAPITAL 034 NWL B 65,000 15.05 n/a n/a 2,600.00  EPOCH INV MGMT 030 OKE S 850 46.40 n/a n/a 25.50

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BASIX	033	PKG	S	5,000	24.36	n/a	26-Jan	150.00	3.0	
EPOCH INV MGMT	030	PTP	S	950	37.26	n/a	n/a	28.50	3.0	
ARMATURE CAPITAL	041	PTV	SS	25,000	24.68	n/a	n/a	1,000.00	4.0	
1798 CAPITAL MGMT	040	PVA	В	20,000	25.06	n/a	n/a	1,000.00	5.0	
1798 CAPITAL MGMT	040	PXP	В	25,000	32.94	n/a	n/a	1,250.00	5.0	
OSS CAPITAL/KEVIN DANN	067	RGC	S	25,000	16.68	n/a	n/a	750.00	3.0	
EPOCH INV MGMT	030	ROVI	S	700	35.92	n/a	n/a	21.00	3.0	
EPOCH INV MGMT	030	SCI	S	2 <b>,</b> 950	8.56	n/a	n/a	88.50	3.0	
EPOCH INV MGMT	030	SHFL	S	2,400	8.65	n/a	n/a	72.00	3.0	
PROSPECTOR PARTNERS LLC	036	SJT	S	10,000	22.09	n/a	n/a	400.00	4.0	
EXIS CAPITAL	044	SKS	В	25,000	7.62	n/a	n/a	1,250.00	5.0	
COBALT	041	SLM	S	66,816	12.33	n/a	8-Mar	3,340.80	5.0	
SCOPIA CAPITAL	048	SLM	В	100,000	12.22	n/a	8-Mar	4,000.00	4.0	
SACC-SCHWARTZ	044	SPY	В	100,000	114.33	n/a	n/a	3,500.00	3.5	
MILLENIUM PARTNERS	028	STI	S	10,000	26.19	n/a	n/a	400.00	4.0	
CAPITAL GROWTH MGMT.	241	STX	S	100,000	19.54	n/a	n/a	4,000.00	4.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	SWY	SS	75,000	24.70	n/a	n/a	2,625.00 3.5	
MILLENIUM PARTNERS	028	TKR	S	10,000	27.41	n/a	n/a	400.00 4.0	
OSS CAPITAL/KEVIN DANN	067	TWX	S	70,000	30.55	n/a	n/a	2,100.00 3.0	
DAVIDSON KEMPNER ADVISOR	040	UFS	В	30,000	61.02	n/a	n/a	1,500.00 5.0	
FARALLON CAP MGMT	040	WLP	S	92 <b>,</b> 672	62.00	n/a	n/a	3,706.88 4.0	
DENVER INST. ADV	046	WRC	В	98,300	46.40	n/a	2-Mar	3,932.00 4.0	
LEVEL GLOBAL SHARED ACCT	257	WRC	S	150,000	46.87	n/a	2-Mar	4,500.00 3.0	
MERRILL ASSET/BLACKROCK	214	YUM	С	1,500	36.61	n/a	5-Feb	60.00 4.0	
EXIS CAPITAL	044	ZQK	В	20,000	3.10	n/a	5-Mar	1,000.00 5.0	

TOTAL (Trade Date): 119,995.78

## Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,	03/05	TRUSTCO/SUNTRUST (TRUS9065)	040	AOS	В	84	47.61	n/a	8-Feb	3.28	3.9
AO,CXL	03/05	TRUSTCO/SUNTRUST (&TRUS1706)	040	AOS	В	84	47.61	n/a	8-Feb	3.28	3.9
AO,CXL	03/08	MILLRACE FUND LP (MILRGS)	028	ARGN	SS	2,500	11.13	n/a	11-Feb	75.00	3.0
AO, CRT	03/08	MILLRACE FUND LP (MILRGS)	028	ARGN	SS	2,500	11.13	n/a	11-Feb	100.00	4.0
AO,	03/08	CAMBIAR CAP (CAMB25)	046	CBE	S	300	47.53	n/a	1-Mar	12.00	4.0
AO,	03/08	CAMBIAR CAP (CAMB24)	046	CBE	S	150	47.53	n/a	1-Mar	6.00	4.0
AO,	03/08	CAMBIAR CAP (CAMB21)	046	CBE	S	2,400	47.53	n/a	1-Mar	96.00	4.0
AO,	03/08	CAMBIAR CAP (CAMB20)	046	CBE	S	3,300	47.53	n/a	1-Mar	132.00	4.0
AO,	03/08	CAMBIAR CAP (CAMB76)	046	CBE	S	600	47.53	n/a	1-Mar	24.00	4.0
AO,	03/08	CAMBIAR CAP (CAMB1)	046	CBE	S	2,000	47.53	n/a	1-Mar	80.00	4.0
AO,	03/08	CAMBIAR CAP (CAMB10)	046	CBE	S	2,155	47.53	n/a	1-Mar	86.20	4.0
AO,	03/08	CAMBIAR CAP (CAMB400)	046	CBE	S	100	47.53	n/a	1-Mar	4.00	4.0
AO,	03/08	CAMBIAR CAP (CAMB42)	046	CBE	S	33,000	47.53	n/a	1-Mar	1320.00	4.0
AO,	03/08	CAMBIAR CAP (CAMB65)	046	CBE	S	2,800	47.53	n/a	1-Mar	112.00	4.0
AO,	03/08	CAMBIAR CAP (CAMB43)	046	CBE	S	2,400	47.53	n/a	1-Mar	96.00	4.0
AO,	03/08	CAMBIAR CAP (CAMB28)	046	CBE	S	150	47.53	n/a	1-Mar	6.00	4.0
AO,	03/08	CAMBIAR CAP (CAMB1114)	046	CBE	S	10	47.53	n/a	1-Mar	0.40	4.0
AO,	03/08	CAMBIAR CAP (CAMB1116)	046	CBE	S	20	47.53	n/a	1-Mar	0.80	4.0
AO,	03/08	CAMBIAR CAP (CAMB1110)	046	CBE	S	10	47.53	n/a	1-Mar	0.40	4.0
AO,	03/08	CAMBIAR CAP (CAMB1109)	046	CBE	S	10	47.53	n/a	1-Mar	0.40	4.0
AO,	03/08	CAMBIAR CAP (CAMB1115)	046	CBE	S	20	47.53	n/a	1-Mar	0.80	4.0
AO,	03/08	CAMBIAR CAP (CAMB1108)	046	CBE	S	20	47.53	n/a	1-Mar	0.80	4.0
AO,	03/08	CAMBIAR CAP (CAMB1107)	046	CBE	S	10	47.53	n/a	1-Mar	0.40	4.0
AO,	03/08	CAMBIAR CAP (CAMB1111)	046	CBE	S	10	47.53	n/a	1-Mar	0.40	4.0
AO,	03/08	CAMBIAR CAP (CAMB1117)	046	CBE	S	10	47.53	n/a	1-Mar	0.40	4.0

Type	Date	Account		RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,	03/08	CAMBIAR CAP (	CAMB1106)	046	CBE	S	20	47.53	n/a	1-Mar	0.80	4.0
AO,	03/08	CAMBIAR CAP (	CAMB1122)	046	CBE	S	40	47.53	n/a	1-Mar	1.60	4.0
AO,	03/08	CAMBIAR CAP (	CAMB1112)	046	CBE	S	50	47.53	n/a	1-Mar	2.00	4.0
AO,	03/08	CAMBIAR CAP (	CAMB1100)	046	CBE	S	30	47.53	n/a	1-Mar	1.20	4.0
AO,	03/08	CAMBIAR CAP (	CAMB1099)	046	CBE	S	60	47.53	n/a	1-Mar	2.40	4.0
AO,	03/08	CAMBIAR CAP (	CAMB1098)	046	CBE	S	60	47.53	n/a	1-Mar	2.40	4.0
AO,	03/08	CAMBIAR CAP (	CAMB1097)	046	CBE	S	60	47.53	n/a	1-Mar	2.40	4.0
AO,	03/08	CAMBIAR CAP (	CAMB1089)	046	CBE	S	30	47.53	n/a	1-Mar	1.20	4.0
AO,	03/08	CAMBIAR CAP (	CAMB1090)	046	CBE	S	20	47.53	n/a	1-Mar	0.80	4.0
AO,	03/08	CAMBIAR CAP (	CAMB1085)	046	CBE	S	100	47.53	n/a	1-Mar	4.00	4.0
AO,	03/08	CAMBIAR CAP (	CAMB1087)	046	CBE	S	200	47.53	n/a	1-Mar	8.00	4.0
AO,	03/08	CAMBIAR CAP (	CAMB1044)	046	CBE	S	5	47.53	n/a	1-Mar	0.20	4.0
AO,	03/08	CAMBIAR CAP (	CAMB1025)	046	CBE	S	1,300	47.53	n/a	1-Mar	52.00	4.0
AO,	03/08	CAMBIAR CAP (	CAMB1020)	046	CBE	S	20	47.53	n/a	1-Mar	0.80	4.0
AO,	03/08	CAMBIAR CAP (	CAMB1010)	046	CBE	S	650	47.53	n/a	1-Mar	26.00	4.0
AO,	03/08	CAMBIAR CAP (	CAMB736)	046	CBE	S	25	47.53	n/a	1-Mar	1.00	4.0
AO,	03/08	CAMBIAR CAP (	CAMB540)	046	CBE	S	1,600	47.53	n/a	1-Mar	64.00	4.0
AO,	03/08	CAMBIAR CAP (	CAMB413)	046	CBE	S	400	47.53	n/a	1-Mar	16.00	4.0
AO,	03/08	CAMBIAR CAP (	CAMB969)	046	CBE	S	50	47.53	n/a	1-Mar	2.00	4.0
AO,	03/08	CAMBIAR CAP (	CAMB972)	046	CBE	S	200	47.53	n/a	1-Mar	8.00	4.0
AO,	03/08	CAMBIAR CAP (	CAMB971)	046	CBE	S	50	47.53	n/a	1-Mar	2.00	4.0
AO,	03/08	CAMBIAR CAP (	CAMB970)	046	CBE	S	50	47.53	n/a	1-Mar	2.00	4.0
AO,	03/08	CAMBIAR CAP (	CAMB879)	046	CBE	S	300	47.53	n/a	1-Mar	12.00	4.0
AO,	03/08	CAMBIAR CAP (	CAMB883)	046	CBE	S	600	47.53	n/a	1-Mar	24.00	4.0
AO,	03/08	CAMBIAR CAP (	CAMB831)	046	CBE	S	275	47.53	n/a	1-Mar	11.00	4.0
AO,	03/08	CAMBIAR CAP (	CAMB832)	046	CBE	S	100	47.53	n/a	1-Mar	4.00	4.0
AO,	03/08	CAMBIAR CAP (	CAMB767)	046	CBE	S	15	47.53	n/a	1-Mar	0.60	4.0
AO,	03/08	CAMBIAR CAP (	CAMB)	046	CBE	S	15	47.53	n/a	1-Mar	0.60	4.0
AO,	03/08	CAMBIAR CAP (	CAMB804)	046	CBE	S	150	47.53	n/a	1-Mar	6.00	4.0
AO,	03/08	CAMBIAR CAP (	CAMB766)	046	CBE	S	150	47.53	n/a	1-Mar	6.00	4.0

Гуре	Date	Account	RR #	Symbol	B/C	Shares	Price	MDT I	Research	Comm	¢/Shr.
AO,	03/08	CAMBIAR CAP (CAMB748)	046	CBE	<b>Б/3</b> S	13,700	47.53	n/a	1-Mar	548.00	4.0
10, 10,	03/08	CAMBIAR CAP (CAMB710)	046	CBE	S	100	47.53	n/a	1-Mar	4.00	4.0
ΔΟ,	03/08	CAMBIAR CAP (CAMB716)	046	CBE	S	90	47.53	n/a	1-Mar	3.60	4.0
40,	03/08	CAMBIAR CAP (CAMB714)	046	CBE	S	300	47.53	n/a	1-Mar	12.00	4.0
AO,	03/08	CAMBIAR CAP (CAMB535)	046	CBE	S	600	47.53	n/a	1-Mar	24.00	4.0
۸٥,	03/08	CAMBIAR CAP (CAMB18)	046	CBE	S	120	47.53	n/a	1-Mar	4.80	4.0
AO,	03/08	CAMBIAR CAP (CAMB527)	046	CBE	S	20	47.53	n/a	1-Mar	0.80	4.0
٨٥,	03/08	CAMBIAR CAP (CAMB520)	046	CBE	S	500	47.53	n/a	1-Mar	20.00	4.0
۸٥,	03/08	CAMBIAR CAP (CAMB525)	046	CBE	S	200	47.53	n/a	1-Mar	8.00	4.0
AO,	03/08	CAMBIAR CAP (CAMB502)	046	CBE	S	200	47.53	n/a	1-Mar	8.00	4.0
۸٥,	03/08	CAMBIAR CAP (CAMB526)	046	CBE	S	300	47.53	n/a	1-Mar	12.00	4.0
AO,	03/08	CAMBIAR CAP (CAMB26)	046	CBE	S	100	47.53	n/a	1-Mar	4.00	4.0
AO,	03/08	TRUSTCO/SUNTRUST (TRUS1113)	046	CBE	S	50	47.53	n/a	1-Mar	2.00	4.0
O,CXL	03/05	OSS CAPITAL/KEVIN DANN (OSSCMS)	067	CCK	S	125,000	27.16	n/a	n/a	6250.00	5.0
O,CRT	03/05	OSS CAPITAL/KEVIN DANN (OSSCMS)	067	CCK	S	125,000	27.16	n/a	n/a	3750.00	3.0
0,	03/04	TRUSTCO/SUNTRUST (TRUS9065)	040	FL	S	300	14.00	n/a	4-Mar	11.70	3.9
Ο,	03/04	TRUSTCO/SUNTRUST (TRUS9065)	040	FL	S	500	13.99	n/a	4-Mar	19.50	3.9
Ο,	03/04	TRUSTCO/SUNTRUST (TRUS9065)	040	FL	S	198	13.71	n/a	4-Mar	7.72	3.9
Ο,	03/04	TRUSTCO/SUNTRUST (TRUS9065)	040	FL	S	148	13.70	n/a	4-Mar	5.77	3.9
O,CXL	03/04	TRUSTCO/SUNTRUST (&TRUS1706)	040	FL	S	300	14.00	n/a	4-Mar	11.70	3.9
O,CXL	03/04	TRUSTCO/SUNTRUST (&TRUS1706)	040	FL	S	500	13.99	n/a	4-Mar	19.50	3.9
O,CXL	03/04	TRUSTCO/SUNTRUST (&TRUS1706)	040	FL	S	198	13.71	n/a	4-Mar	7.72	3.9
O,CXL	03/04	TRUSTCO/SUNTRUST (&TRUS1706)	040	FL	S	148	13.70	n/a	4-Mar	5.77	3.9
O,CXL	03/04	GREEN ARROW DOUG (GADRJPM)	040	WERN	SS	5,000	22.03	n/a	n/a	200.00	4.0
O,CRT	03/04	ISLE RIDGE PARTNERS (ISLECSFB)	040	WERN	SS	5,000	22.03	n/a	n/a	200.00	4.0

TOTAL (AO, CXL, CRT): 420.20

TOTAL (RUN DATE) / NFS:	120,415.98
TOTAL (AO, CXL, CRT):	420.20
TOTAL (Trade Date):	119,995.78

## 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