

Daily Compliance Activity Report Trade Date: 09/14/2009

POTENTIAL ANALYST TRADE VIOLATIONS: 0

					I OILIVIII IL III.		TITLET			
Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.	
BUCK CAPITAL MGMT	001	AAN	S	20,000	26.34	n/a	n/a	800.00	4.0	
EPOCH INV MGMT	030	AAPL	В	200	172.39	n/a	n/a	6.00	3.0	
BUCK CAPITAL MGMT	001	AEO	В	50,000	16.21	25-Jun	4-Sep	2,000.00	4.0	
CASTLE ARK	031	AEO	В	111,880	16.15	25-Jun	4-Sep	6,712.80	6.0	
EPOCH INV MGMT	030	AET	В	800	30.48	n/a	n/a	24.00	3.0	
EPOCH INV MGMT	030	AMP	В	800	30.43	n/a	n/a	24.00	3.0	
EPOCH INV MGMT	030	ATK	В	300	76.71	n/a	n/a	9.00	3.0	
&LAG	048	AXL	S	200	7.70	19-Aug	2-Sep	10.00	5.0	
EPOCH INV MGMT	030	BA	В	550	51.06	28-Aug	1-Sep	16.50	3.0	
EPOCH INV MGMT	030	BEN	В	350	97.35	4-Sep	14-Sep	10.50	3.0	
EPOCH INV MGMT	030	BK	В	950	28.41	11-May	14-Sep	28.50	3.0	
CSL CAPITAL MGMT	039	BPZ	В	3,000	7.14	n/a	n/a	150.00	5.0	
EPOCH INV MGMT	030	BSX	В	2,000	11.13	n/a	22-Apr	60.00	3.0	
EPOCH INV MGMT	030	BTU	В	250	37.04	n/a	n/a	7.50	3.0	
EPOCH INV MGMT	030	CAM	В	350	37.82	n/a	n/a	10.50	3.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	Shr.			
11:11 CAPITAL CORP	046	СЕРН	В	16,300	58.62	21-May	11-Sep	815.00	5.0			
BALYASNY ASSET MGMT	044	CLMS	С	25,000	12.05	n/a	14-Sep	1,250.00	5.0			
EPOCH INV MGMT	030	CMCSK	В	1,850	16.42	n/a	n/a	55.50	3.0			
WAGONHOUND/NIC	048	CMI	S	3,303	46.84	7-Aug	7-Aug	132.12	4.0			
DIAMONDBACK CAP MGMT	232	COF	В	5,000	37.43	10-Aug	14-Sep	250.00	5.0			
EPOCH INV MGMT	030	COL	В	400	48.28	n/a	n/a	12.00	3.0			
EPOCH INV MGMT	030	COP	В	600	45.60	n/a	n/a	18.00	3.0			
NOMURA CAPITAL	045	CORE	S	200	29.00	n/a	n/a	10.00	5.0			
EPOCH INV MGMT	030	CPO	В	500	29.04	n/a	n/a	15.00	3.0			
DIAMONDBACK CAP MGMT	232	CWTR	В	100,000	7.01	n/a	n/a	5,000.00	5.0			
MADINED /TDICADIA	0.41	CVM	D	10 000	22 20	2/2	2/2	400.00	4 0			
MARINER/TRICADIA	041	CXW	S	10,000	22.36	n/a	n/a	400.00	4.0			
WAGONHOUND/NIC	048	С	S	150,000	4.45	n/a	14-Sep	4,500.00	3.0			
EPOCH INV MGMT	030	DD	В	800	31.54	n/a	3-Sep	24.00	3.0			
EPOCH INV MGMT	030	DE	В	350	42.90	n/a	20-Aug	10.50	3.0			
L.R.BURTSCHY & CO	045	DSW	SS	20,000	15.00	26-Aug	26-Aug	1,200.00	6.0			
	11:11 CAPITAL CORP BALYASNY ASSET MGMT EPOCH INV MGMT WAGONHOUND/NIC DIAMONDBACK CAP MGMT EPOCH INV MGMT NOMURA CAPITAL EPOCH INV MGMT DIAMONDBACK CAP MGMT MARINER/TRICADIA MARINER/TRICADIA WAGONHOUND/NIC EPOCH INV MGMT EPOCH INV MGMT	11:11 CAPITAL CORP 046 BALYASNY ASSET MGMT 044 EPOCH INV MGMT 030 WAGONHOUND/NIC 048 DIAMONDBACK CAP MGMT 232 EPOCH INV MGMT 030 RPOCH INV MGMT 030 NOMURA CAPITAL 045 EPOCH INV MGMT 030 DIAMONDBACK CAP MGMT 232 MARINER/TRICADIA 041 MARINER/TRICADIA 041 WAGONHOUND/NIC 048 EPOCH INV MGMT 030 EPOCH INV MGMT 030 EPOCH INV MGMT 030	11:11 CAPITAL CORP 046 CEPH BALYASNY ASSET MGMT 044 CLMS EPOCH INV MGMT 030 CMCSK WAGONHOUND/NIC 048 CMI DIAMONDBACK CAP MGMT 232 COF EPOCH INV MGMT 030 COL EPOCH INV MGMT 030 COP NOMURA CAPITAL 045 CORE EPOCH INV MGMT 030 CPO DIAMONDBACK CAP MGMT 232 CWTR MARINER/TRICADIA 041 CXW MAGONHOUND/NIC 048 C EPOCH INV MGMT 030 DD EPOCH INV MGMT 030 DE	BALYASNY ASSET MGMT 044 CLMS C EPOCH INV MGMT 030 CMCSK B WAGONHOUND/NIC 048 CMI S DIAMONDBACK CAP MGMT 232 COF B EPOCH INV MGMT 030 COL B EPOCH INV MGMT 030 COP B NOMURA CAPITAL 045 CORE S EPOCH INV MGMT 030 CPO B DIAMONDBACK CAP MGMT 232 CWTR B MARINER/TRICADIA 041 CXW B MARINER/TRICADIA 041 CXW S WAGONHOUND/NIC 048 C S EPOCH INV MGMT 030 DD B EPOCH INV MGMT 030 DD B EPOCH INV MGMT 030 DD B	11:11 CAPITAL CORP 046 CEPH B 16,300 BALYASNY ASSET MGMT 044 CLMS C 25,000 EPOCH INV MGMT 030 CMCSK B 1,850 WAGONHOUND/NIC 048 CMI S 3,303 DIAMONDBACK CAP MGMT 232 COF B 5,000 EPOCH INV MGMT 030 COL B 400 EPOCH INV MGMT 030 COP B 600 NOMURA CAPITAL 045 CORE S 200 EPOCH INV MGMT 030 CPO B 500 DIAMONDBACK CAP MGMT 232 CWTR B 100,000 MARINER/TRICADIA 041 CXW B 10,000 MARINER/TRICADIA 041 CXW S 10,000 WAGONHOUND/NIC 048 C S 150,000 EPOCH INV MGMT 030 DD B 800 EPOCH INV MGMT 030 DD B 800	11:11 CAPITAL CORP	11:11 CAPITAL CORP 046 CEPH B 16,300 58.62 21-May BALYASNY ASSET MGMT 044 CLMS C 25,000 12.05 n/a EPOCH INV MGMT 030 CMCSK B 1,850 16.42 n/a WAGONHOUND/NIC 048 CMI S 3,303 46.84 7-Aug DIAMONDBACK CAP MGMT 232 COF B 5,000 37.43 10-Aug EPOCH INV MGMT 030 COL B 400 48.28 n/a EPOCH INV MGMT 030 COP B 600 45.60 n/a NOMURA CAPITAL 045 CORE S 200 29.00 n/a EPOCH INV MGMT 030 CPO B 500 29.04 n/a DIAMONDBACK CAP MGMT 232 CWTR B 100,000 7.01 n/a MARINER/TRICADIA 041 CXW B 10,000 22.30 n/a MARINER/TRICADIA 041 CXW S 10,000 22.36 n/a WAGONHOUND/NIC 048 C S 150,000 4.45 n/a EPOCH INV MGMT 030 DD B 800 31.54 n/a EPOCH INV MGMT 030 DD B 800 31.54 n/a	11:11 CAPITAL CORP	11:11 CAPITAL CORP	11:11 CAPITAL CORP 046 CEPH B 16,300 58.62 21-May 11-Sep 815.00 5.0		

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	:/Shr.	
EPOCH INV MGMT	030	DVA	В	850	54.01	n/a	n/a	25.50	3.0	
CATAPULT	040	EMC	В	46,500	16.81	n/a	n/a	0.00	0.0	
EPOCH INV MGMT	030	ERTS	В	850	18.26	n/a	n/a	25.50	3.0	
CSL CAPITAL MGMT	039	EXH	В	2,000	22.19	n/a	28-Aug	100.00	5.0	
COLONIAL FUND LLC	036	F	В	25,000	7.35	27-Aug	2-Sep	1,250.00	5.0	
CSL CAPITAL MGMT	039	GDX	В	2,000	45.45	n/a	n/a	100.00	5.0	
EPOCH INV MGMT	030	GLW	В	1,250	15.74	27-Jul	28-Aug	37.50	3.0	
BARCLEYS CAP(OLD LEHM) EPOCH INV MGMT	041	GME GME	В	50 , 000 550	25.79 25.31	n/a n/a	n/a n/a	2,000.00 16.50	4.0	
EPOCH INV MGMT	030	GPC	В	700	35.59	n/a	n/a	21.00	3.0	
ROSEDALE CAPITAL	046	HAS	S	15,000	28.60	n/a	n/a	750.00	5.0	
BUCK CAPITAL MGMT	001	HBI	В	20,000	20.40	n/a	n/a	800.00	4.0	
EPOCH INV MGMT	030	нсвк	В	900	13.00	n/a	14-Sep	27.00	3.0	
EPOCH INV MGMT	030	HLX	В	750	14.10	n/a	n/a	22.50	3.0	
EPOCH INV MGMT	030	IFF	В	400	37.19	5-Aug	14-Sep	12.00	3.0	
EPOCH INV MGMT	030	IGT	В	1,450	22.62	n/a	27-Jul	43.50	3.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.	
ARMATURE CAPITAL	041	IP	S	50,000	23.91	14-Aug	14-Aug	2,000.00	4.0	
BMO NESBITT BURNS	041	IP	В	25,000	23.54	14-Aug	14-Aug	1,250.00	5.0	
SCOPUS FUND	041	IP	SS	10,000	24.15	14-Aug	14-Aug	500.00	5.0	
UBS OCONNOR	031	IVZ	В	45,000	22.27	6-Aug	14-Sep	1,350.00	3.0	
EPOCH INV MGMT	030	KBH	В	1,300	18.48	n/a	n/a	39.00	3.0	
EPOCH INV MGMT	030	LH	В	550	69.34	n/a	n/a	16.50	3.0	
DIAMONDBACK CAP MGMT	232	LM	SS	15,000	29.99	3-Aug	14-Sep	750.00	5.0	
ACK ASSET	028	LPX	SS	29,000	7.25	n/a	5-Aug	870.00	3.0	
BMO NESBITT BURNS	041	LPX	SS	50,000	7.23	n/a	5-Aug	2,500.00	5.0	
COLONIAL FUND LLC	036	LPX	SS	30,000	7.24	n/a	5-Aug	900.00	3.0	
CSFB GLOBAL PROPRIETARY	041	LPX	SS	120,000	7.27	n/a	5-Aug	6,000.00	5.0	
MILLENIUM PARTNERS	028	LPX	SS	50,000	7.31	n/a	5-Aug	2,000.00	4.0	
SCOPUS FUND	041	LPX	SS	65,000	7.21	n/a	5-Aug	3,250.00	5.0	
TRELLUS PARTNERS LP	028	LPX	SS	60,000	7.31	n/a	5-Aug	1,800.00	3.0	
FIRST NEW YORK LEDDY	035	LVLT	S	10,000	1.36	n/a	4-Jan	600.00	6.0	
CIRCLE T/SES PART	035	LVS	S	25,000	17.65	14-Sep	14-Sep	1,000.00	4.0	
DIAMONDBACK CAP MGMT	232	MDR	В	10,000	26.82	n/a	n/a	500.00	5.0	
EPOCH INV MGMT	030	MET	В	1,050	38.09	n/a	n/a	31.50	3.0	
SUN AMERICA ASSET MGMT	030	MRVL	S	6,900	16.16	n/a	n/a	276.00	4.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.	
EPOCH INV MGMT	030	MSFT	В	2,300	25.00	n/a	3-Apr	69.00	3.0	
DIAMONDBACK CAP MGMT	232	MS	С	50,000	28.63	11-May	14-Sep	2,500.00	5.0	
EXIS CAPITAL	044	MS	В	35,000	28.75	11-May	14-Sep	1,750.00	5.0	
WAGONHOUND/NIC	048	MTW	В	15 , 630	8.82	11-Sep	11-Sep	468.90	3.0	
AVESTA CAP	229	М	В	75 , 000	16.79	n/a	4-Sep	3,000.00	4.0	
BUCK CAPITAL MGMT	001	M	В	60,000	16.27	n/a	4-Sep	2,400.00	4.0	
CAERUS GLOBAL	041	M	В	10,000	16.51	n/a	4-Sep	400.00	4.0	
KLEINHEINZ CAP PART	031	М	В	50,000	16.61	n/a	4-Sep	2,500.00	5.0	
DIAMONDBACK CAP MGMT	232	NKE	С	10,000	54.44	n/a	n/a	500.00	5.0	
EPOCH INV MGMT	030	NOV	В	500	40.16	n/a	n/a	15.00	3.0	
EPOCH INV MGMT	030	NYX	В	350	27.56	n/a	n/a	10.50	3.0	
EPOCH INV MGMT	030	OKE	В	700	33.95	n/a	n/a	21.00	3.0	
SAC TRADIN/BINDER	044	PENN	В	100,000	28.60	n/a	n/a	4,000.00	4.0	
EPOCH INV MGMT	030	PER	В	1,550	17.08	n/a	n/a	46.50	3.0	
EPOCH INV MGMT	030	PM	В	250	47.43	n/a	n/a	7.50	3.0	
EPOCH INV MGMT	030	PX	В	500	77.20	5-Jun	24-Aug	15.00	3.0	
BUCK CAPITAL MGMT	001	RCL	В	30,000	21.47	31-Jul	8-Sep	1,200.00	4.0	
	EPOCH INV MGMT DIAMONDBACK CAP MGMT EXIS CAPITAL WAGONHOUND/NIC AVESTA CAP BUCK CAPITAL MGMT CAERUS GLOBAL KLEINHEINZ CAP PART DIAMONDBACK CAP MGMT EPOCH INV MGMT EPOCH INV MGMT SAC TRADIN/BINDER EPOCH INV MGMT EPOCH INV MGMT EPOCH INV MGMT EPOCH INV MGMT	EPOCH INV MGMT 030 DIAMONDBACK CAP MGMT 232 EXIS CAPITAL 044 WAGONHOUND/NIC 048 AVESTA CAP 229 BUCK CAPITAL MGMT 001 CAERUS GLOBAL 041 KLEINHEINZ CAP PART 031 DIAMONDBACK CAP MGMT 232 EPOCH INV MGMT 030 EPOCH INV MGMT 030 SAC TRADIN/BINDER 044 EPOCH INV MGMT 030 EPOCH INV MGMT 030 EPOCH INV MGMT 030 EPOCH INV MGMT 030 EPOCH INV MGMT 030	EPOCH INV MGMT DIAMONDBACK CAP MGMT EXIS CAPITAL WAGONHOUND/NIC AVESTA CAP BUCK CAPITAL MGMT CAERUS GLOBAL KLEINHEINZ CAP PART DIAMONDBACK CAP MGMT DIAMONDBACK CAP MGMT CAPUS GLOBAL WAGONHOUND/NIC AVESTA CAP BUCK CAPITAL MGMT CAERUS GLOBAL CAERUS GLOB	EPOCH INV MGMT DIAMONDBACK CAP MGMT EXIS CAPITAL WAGONHOUND/NIC AVESTA CAP BUCK CAPITAL MGMT CAERUS GLOBAL KLEINHEINZ CAP PART DIAMONDBACK CAP MGMT DIAMONDBACK CAP MGMT CAPOCH INV MGMT O30 NOV B EPOCH INV MGMT O30 NYX B EPOCH INV MGMT O30 PER B EPOCH INV MGMT O30 PX B	DIAMONDBACK CAP MGMT 232 MS C 50,000 EXIS CAPITAL 044 MS B 35,000 MAGONHOUND/NIC 048 MTW B 15,630 AVESTA CAP 229 M B 75,000 BUCK CAPITAL MGMT 001 M B 60,000 CAERUS GLOBAL 041 M B 10,000 KLEINHEINZ CAP PART 031 M B 50,000 DIAMONDBACK CAP MGMT 232 NKE C 10,000 EPOCH INV MGMT 030 NVX B 350 EPOCH INV MGMT 030 OKE B 700 SAC TRADIN/BINDER 044 PENN B 100,000 EPOCH INV MGMT 030 PER B 1,550 EPOCH INV MGMT 030 PM B 250 EPOCH INV MGMT 030 PM B 500	EPOCH INV MGMT 030 MSFT B 2,300 25.00 DIAMONDBACK CAP MGMT 232 MS C 50,000 28.63 EXIS CAPITAL 044 MS B 35,000 28.75 WAGONHOUND/NIC 048 MTW B 15,630 8.82 AVESTA CAP 229 M B 75,000 16.79 BUCK CAPITAL MGMT 001 M B 60,000 16.27 CAERUS GLOBAL 041 M B 10,000 16.51 KLEINHEINZ CAP PART 031 M B 50,000 16.61 DIAMONDBACK CAP MGMT 232 NKE C 10,000 54.44 EPOCH INV MGMT 030 NOV B 500 40.16 EPOCH INV MGMT 030 NYX B 350 27.56 EPOCH INV MGMT 030 PER B 10,550 17.08 EPOCH INV MGMT 030 PM B 250 47.43 EPOCH INV MGMT 030 PM B 250 47.43 EPOCH INV MGMT 030 PM B 500 77.20	EPOCH INV MGMT 030 MSFT B 2,300 25.00 n/a DIAMONDBACK CAP MGMT 232 MS C 50,000 28.63 11-May EXIS CAPITAL 044 MS B 35,000 28.75 11-May WAGONHOUND/NIC 048 MTW B 15,630 8.82 11-Sep AVESTA CAP 229 M B 75,000 16.79 n/a BUCK CAPITAL MGMT 001 M B 60,000 16.27 n/a CAERUS GLOBAL 041 M B 10,000 16.51 n/a KLEINHEINZ CAP PART 031 M B 50,000 16.61 n/a DIAMONDBACK CAP MGMT 232 NKE C 10,000 54.44 n/a EPOCH INV MGMT 030 NOV B 500 40.16 n/a EPOCH INV MGMT 030 OKE B 700 33.95 n/a SAC TRADIN/BINDER 044 PENN B 100,000 28.60 n/a EPOCH INV MGMT 030 PER B 1,550 17.08 n/a EPOCH INV MGMT 030 PER B 1,550 17.08 n/a EPOCH INV MGMT 030 PER B 500 77.20 5-Jun	EPOCH INV MGMT 030 MSFT B 2,300 25.00 n/a 3-Apr DIAMONDBACK CAP MGMT 232 MS C 50,000 28.63 11-May 14-Sep EXIS CAPITAL 044 MS B 35,000 28.75 11-May 14-Sep WAGONHOUND/NIC 048 MTW B 15,630 8.82 11-Sep 11-Sep AVESTA CAP 229 M B 75,000 16.79 n/a 4-Sep BUCK CAPITAL MGMT 001 M B 60,000 16.27 n/a 4-Sep CARRUS GLOBAL 041 M B 10,000 16.51 n/a 4-Sep KLEINHEINZ CAP PART 031 M B 50,000 16.61 n/a 4-Sep DIAMONDBACK CAP MGMT 232 NKE C 10,000 54.44 n/a n/a EPOCH INV MGMT 030 NOV B 500 40.16 n/a n/a EPOCH INV MGMT 030 NYX B 350 27.56 n/a n/a EPOCH INV MGMT 030 OKE B 700 33.95 n/a n/a EPOCH INV MGMT 030 PER B 100,000 28.60 n/a n/a EPOCH INV MGMT 030 PER B 1,550 17.08 n/a n/a EPOCH INV MGMT 030 PER B 1,550 17.08 n/a n/a EPOCH INV MGMT 030 PM B 250 47.43 n/a n/a EPOCH INV MGMT 030 PM B 250 47.43 n/a n/a	EPOCH INV MGMT 030 MSFT B 2,300 25.00 n/a 3-Apr 69.00 DIAMONDBACK CAP MGMT 232 MS C 50,000 28.63 11-May 14-Sep 2,500.00 EXIS CAPITAL 044 MS B 35,000 28.75 11-May 14-Sep 1,750.00 NAGONHOUND/NIC 048 MTW B 15,630 8.82 11-Sep 11-Sep 468.90 AVESTA CAP 229 M B 75,000 16.79 n/a 4-Sep 3,000.00 BUCK CAPITAL MGMT 001 M B 60,000 16.27 n/a 4-Sep 2,400.00 CARRUS GLOBAL 041 M B 10,000 16.51 n/a 4-Sep 400.00 KLEINHEINZ CAP FART 031 M B 50,000 16.61 n/a 4-Sep 2,500.00 DIAMONDBACK CAP MGMT 232 NKE C 10,000 54.44 n/a n/a 500.00 EPOCH INV MGMT 030 NOV B 500 40.16 n/a n/a 15.00 EPOCH INV MGMT 030 NYX B 350 27.56 n/a n/a 21.00 SAC TRADIN/BINDER 044 PENN B 100,000 28.60 n/a n/a 21.00 EPOCH INV MGMT 030 PER B 1,550 17.08 n/a n/a 46.50 EPOCH INV MGMT 030 PER B 1,550 17.08 n/a n/a 7.50 EPOCH INV MGMT 030 PER B 1,550 17.08 n/a n/a 7.50 EPOCH INV MGMT 030 PER B 1,550 17.08 n/a n/a 7.50	EPOCH INV MGMT 030 MSFT B 2,300 25.00 n/a 3-Apr 69.00 3.0 DIAMONDBACK CAP MCMT 232 MS C 50,000 28.63 11-May 14-Sep 2,500.00 5.0 EXIS CAPITAL 044 MS B 35,000 28.75 11-May 14-Sep 1,750.00 5.0 WAGONHOUND/NIC 048 MTW B 15,630 8.82 11-Sep 11-Sep 468.90 3.0 AVESTA CAP 229 M B 75,000 16.79 n/a 4-Sep 3,000.00 4.0 BUCK CAPITAL MGMT 001 M B 60,000 16.27 n/a 4-Sep 2,400.00 4.0 CARRUS GLOBAL 041 M B 10,000 16.51 n/a 4-Sep 400.00 4.0 KIEINHEINZ CAP PART 031 M B 50,000 16.61 n/a 4-Sep 2,500.00 5.0 DIAMONDBACK CAP MGMT 232 NKE C 10,000 54.44 n/a n/a 500.00 5.0 EPOCH INV MGMT 030 NOV B 500 40.16 n/a n/a 15.00 3.0 EPOCH INV MGMT 030 NE B 700 33.95 n/a n/a 10.50 3.0 EPOCH INV MGMT 030 PER B 10,500 17.08 n/a n/a 4.650 3.0 EPOCH INV MGMT 030 PER B 1,550 17.08 n/a n/a 4.650 3.0 EPOCH INV MGMT 030 PER B 1,550 17.08 n/a n/a 7.50 3.0 EPOCH INV MGMT 030 PER B 1,550 17.08 n/a n/a 7.50 3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
CSL CAPITAL MGMT	039	RDSA	SS	1,000	57.66	n/a	n/a	50.00	5.0
EPOCH INV MGMT	030	RE	В	500	84.15	n/a	n/a	15.00	3.0
BUCK CAPITAL MGMT	001	RL	S	20,000	68.69	6-Aug	6-Aug	800.00	4.0
LEVIN CAPITAL STRATEGIES	012	RL	SS	20,000	68.75	6-Aug	6-Aug	800.00	4.0
CIRCLE T/SES PART	035	SBUX	В	25 , 000	19.70	n/a	21-Jul	1,000.00	4.0
EPOCH INV MGMT	030	SCI	В	1,200	7.07	n/a	n/a	36.00	3.0
EPOCH INV MGMT	030	SLGN	В	700	49.52	n/a	n/a	21.00	3.0
COUGAR TRADING	044	SLM	S	10,000	8.82	12-Aug	14-Sep	500.00	5.0
EPOCH INV MGMT	030	SY	В	750	37.00	n/a	n/a	22.50	3.0
CAMBIAR CAP	046	TEVA	В	46,225	51.76	29-Jul	11-Sep	1,849.00	4.0
GREEN ARROW DOUG	040	THI	SS	7,750	28.79	n/a	24-Apr	387.50	5.0
EPOCH INV MGMT	030	TMO	В	650	47.48	n/a	n/a	19.50	3.0
BALYASNY ASSET MGMT	044	TROW	SS	20,000	43.13	n/a	14-Sep	1,000.00	5.0
APEX CAPITAL MGMT.	091	UA	S	50,000	28.11	14-Sep	14-Sep	2,000.00	4.0
CAERUS GLOBAL	041	UA	S	17,500	28.35	14-Sep	14-Sep	700.00	4.0
LEVIN CAPITAL STRATEGIES	012	UA	SS	25,000	26.98	14-Sep	14-Sep	1,000.00	4.0
CSL CAPITAL MGMT	039	VLO	В	2,000	18.97	n/a	n/a	100.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.	
EPOCH INV MGMT	030	VTR	В	750	36.95	n/a	n/a	22.50	3.0	
EPOCH INV MGMT	030	VVC	В	1,000	23.39	n/a	n/a	30.00	3.0	
EPOCH INV MGMT	030	V	В	750	72.69	n/a	14-Sep	22.50	3.0	
TRELLUS PARTNERS LP	028	WBC	В	15,591	19.31	5-Aug	5-Aug	779.55	5.0	
EPOCH INV MGMT	030	WEC	В	700	44.82	n/a	n/a	21.00	3.0	
EPOCH INV MGMT	030	WFR	В	1,000	17.10	n/a	n/a	30.00	3.0	
EPOCH INV MGMT	030	WFT	В	550	21.70	n/a	n/a	16.50	3.0	
EPOCH INV MGMT	030	WM	В	1,050	30.24	n/a	n/a	31.50	3.0	
EPOCH INV MGMT	030	WRC	В	300	41.82	28-Jul	2-Sep	9.00	3.0	
EPOCH INV MGMT	030	WRC	S	1,700	41.80	28-Jul	2-Sep	51.00	3.0	
GLOBAL 56 LLC	060	WRES	S	2,500	3.27	n/a	n/a	75.00	3.0	
EPOCH INV MGMT	030	WU	В	1,000	18.91	n/a	n/a	30.00	3.0	
OZ MGMT	040	WY	В	8,100	39.23	n/a	3-Aug	243.00	3.0	
SANDLER CAPITAL	038	XL	В	170,000	16.83	n/a	n/a	10,200.00	6.0	
EPOCH INV MGMT	030	XOM	В	650	70.16	n/a	n/a	19.50	3.0	

TOTAL (Trade Date): 95,610.37

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	e MRI Researc		h Comm.¢/Sl	
AO,	09/11	PHILADELPHIA FINANCIAL (PHILFCMNFS)	033	AB	S	18,648	24.60	31-Jul	14-Sep	745.92	4.0
AO,	09/11	PHILADELPHIA FINANCIAL (PHILMSCOM)	033	AB	S	81,352	24.60	31-Jul	14-Sep	3254.08	4.0
AO,	09/11	CAERUS GLOBAL (CAERGS)	041	AEO	В	30,000	15.56	25-Jun	4-Sep	1200.00	4.0
AO,	09/11	LISTED ERR (LISTED ERR)	099	AXL	S	2,100	7.88	19-Aug	2-Sep	0.00	0.0
AO,	09/11	PARTNER REINSURANCE (PARRPUSDEQ)	033	FL	В	32,750	10.69	27-Aug	27-Aug	1310.00	4.0
AO,	09/11	PARTNER REINSURANCE (PARRPELCEQ)	033	FL	В	2,300	10.69	27-Aug	27-Aug	92.00	4.0
AO,CXL	09/11	GALT INVESTMENT (GALTGS)	041	SCSS	S	50,000	4.30	n/a	n/a	2500.00	5.0
AO,CRT	09/11	GALT INVESTMENT (GALTGS)	041	SCSS	S	50,000	4.30	n/a	n/a	1250.00	2.5
AO, CXL	09/11	BUCK CAPITAL MGMT (BUCKJPMBS)	001	TLB	SS	18,000	8.51	n/a	30-Jan	720.00	4.0
AO, CRT	09/11	BUCK CAPITAL MGMT (BUCKJPMBS)	001	TLB	SS	18,000	8.51	n/a	30-Jan	540.00	3.0
AO, CXL	09/11	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	TLB	SS	2,000	8.51	n/a	30-Jan	80.00	4.0
AO, CRT	09/11	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	TLB	SS	2,000	8.51	n/a	30-Jan	60.00	3.0
AO,CXL	09/11	STRAUSS ASSET MGMT (STRAJEFUSE)	040	VOCS	SS	5,000	19.76	n/a	n/a	250.00	5.0
AO, CRT	09/11	STRAUSS ASSET MGMT (STRAJEFUSE)	040	VOCS	SS	5,000	19.76	n/a	n/a	200.00	4.0

TOTAL	(AO,	CXL,	CRT):	5,102	.00
	(/	 /	U-1- , .	0/202	

TOTAL (Trade Date):

95,610.37

TOTAL (AO, CXL, CRT):

5,102.00

TOTAL (RUN DATE) / NFS: 100,712.37

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