



Daily Compliance Activity Report

Trade Date: 10/06/2011

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SURVEYOR CAPITAL	041	AA	B	20,367	9.79	n/a	n/a	611.01	3.0
BESSEMER INVESTMENT	085	ABT	S	1,255	50.99	n/a	n/a	50.20	4.0
BESSEMER INVESTMENT	085	ACM	S	900	18.60	n/a	n/a	36.00	4.0
KACELA CAPITAL	034	ACN	S	38,000	54.44	n/a	n/a	1,520.00	4.0
BESSEMER INVESTMENT	085	ADM	S	525	25.09	n/a	23-Sep	21.00	4.0
BESSEMER INVESTMENT	085	AFL	S	1,295	37.77	n/a	n/a	51.80	4.0
SURVEYOR CAPITAL	041	AGCO	SS	3,000	34.70	n/a	14-Sep	90.00	3.0
MACQUARIE INVESTMENT MGMT.	040	ALB	B	25,000	42.53	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	ANAT	S	510	70.58	n/a	n/a	20.40	4.0
CATAPULT	040	AVY	SS	5,000	26.29	n/a	6-Sep	200.00	4.0
BESSEMER INVESTMENT	085	AXP	S	309	43.30	n/a	5-Oct	12.36	4.0
PARKWEST	084	AXTI	B	18,300	5.00	n/a	n/a	366.00	2.0
BESSEMER INVESTMENT	085	BAX	S	1,175	54.85	n/a	n/a	47.00	4.0
COUGAR TRADING	044	BA	B	10,000	60.59	n/a	6-Oct	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	BA	S	5,000	60.96	n/a	6-Oct	250.00	5.0
BESSEMER INVESTMENT	085	BHI	S	895	49.27	n/a	n/a	35.80	4.0
ASCEND PARTNERS	033	BIG	B	150,000	34.30	n/a	25-Aug	4,500.00	3.0
BESSEMER INVESTMENT	085	BK	S	1,032	18.26	n/a	29-Sep	41.28	4.0
BESSEMER INVESTMENT	085	BLK	S	300	149.87	n/a	n/a	12.00	4.0
BESSEMER INVESTMENT	085	BMS	S	475	29.82	n/a	n/a	19.00	4.0
BESSEMER INVESTMENT	085	BRKB	S	1,363	72.91	n/a	n/a	54.52	4.0
BESSEMER INVESTMENT	085	BRO	S	2,065	18.01	n/a	n/a	82.60	4.0
BESSEMER INVESTMENT	085	BRS	S	200	42.96	n/a	n/a	8.00	4.0
WEISS PECK	040	BWS	B	115,860	7.50	n/a	n/a	4,634.40	4.0
BESSEMER INVESTMENT	085	CELG	S	1,140	63.44	n/a	n/a	45.60	4.0
KLEINHEINZ CAP PART	031	COH	B	50,000	55.89	n/a	3-Aug	2,500.00	5.0
CATAPULT	040	CPX	B	9,100	20.59	n/a	n/a	364.00	4.0
SYSTEMATIC FINANCIAL MGT	035	CROX	B	30,000	25.45	n/a	n/a	900.00	3.0
NEW JERSEY DIV OF INV.	030	DD	S	100,000	41.74	n/a	5-Oct	4,000.00	4.0
NEW JERSEY DIV OF INV.	030	DOW	B	170,000	25.07	n/a	5-Oct	6,800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ARCHON CAPITAL	035	DSW	S	20,000	49.39	n/a	11-Feb	600.00	3.0
RWC PARTNERS LTD	085	DTV	S	21,265	41.80	n/a	n/a	637.95	3.0
BESSEMER INVESTMENT	085	DVN	S	270	56.32	n/a	27-Sep	10.80	4.0
BESSEMER INVESTMENT	085	ECL	S	480	50.43	n/a	28-Sep	19.20	4.0
SURVEYOR CAPITAL	041	EXPD	SS	4,000	42.64	n/a	n/a	120.00	3.0
RIDGECREST INV MGMT LLC	028	F	B	15,000	10.77	n/a	4-Oct	750.00	5.0
MERCHANTS GATE CAP LP	036	GLT	SS	24,000	13.85	n/a	n/a	960.00	4.0
BNP PARIBAS SEC	040	GM	SS	30,000	22.22	n/a	4-Oct	1,500.00	5.0
FIRST NY SEC/CHRIS	041	GM	SS	25,000	22.34	n/a	4-Oct	1,250.00	5.0
OZ MGMT	040	GM	SS	50,000	21.80	n/a	4-Oct	1,500.00	3.0
TRELLUS PARTNERS LP	028	GM	SS	20,000	22.35	n/a	4-Oct	1,000.00	5.0
ADAGE CAPITAL MGMT	030	GPS	B	391,723	17.20	n/a	n/a	11,751.69	3.0
BMO NESBITT BURNS	041	HD	SS	2,000	33.03	n/a	16-Aug	80.00	4.0
SURVEYOR CAPITAL	041	HII	B	4,201	23.70	n/a	n/a	126.03	3.0
BESSEMER INVESTMENT	085	HON	S	2,340	44.24	n/a	14-Sep	93.60	4.0
CATAPULT	040	HON	SS	5,000	44.51	n/a	14-Sep	200.00	4.0
GREEN ARROW DOUG	040	IFF	SS	5,000	57.68	n/a	6-Sep	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	JCI	S	420	28.95	n/a	5-Oct	16.80	4.0
CAERUS GLOBAL	041	JNY	B	50,000	9.02	n/a	28-Jul	2,000.00	4.0
EGS ASSOCIATES LP	091	JNY	B	3,500	9.11	n/a	28-Jul	210.00	6.0
LATEFF MGMT	035	JNY	B	2,000	9.12	n/a	28-Jul	120.00	6.0
MACQUARIE INVESTMENT MGMT.	040	KEG	B	25,000	9.98	n/a	20-Sep	0.00	0.0
ADAGE CAPITAL MGMT	030	KO	S	50,000	64.54	n/a	26-Sep	1,500.00	3.0
LEVIN CAPITAL STRATEGIES	041	LEA	S	35,000	43.80	n/a	5-Aug	1,050.00	3.0
BMO NESBITT BURNS	041	LOW	SS	3,000	19.74	n/a	15-Aug	120.00	4.0
CAPITAL GROWTH MGMT.	241	MA	S	130,000	313.34	n/a	16-Sep	6,500.00	5.0
BESSEMER INVESTMENT	085	MET	S	450	29.01	n/a	n/a	18.00	4.0
TALPION LLC	040	MIDD	SS	3,758	73.21	n/a	14-Sep	150.32	4.0
BESSEMER INVESTMENT	085	MMM	S	505	74.20	n/a	7-Sep	20.20	4.0
PRIMECAP MGMT	084	MON	S	10,000	70.05	n/a	5-Oct	400.00	4.0
MACQUARIE INVESTMENT MGMT.	040	MSM	S	4,000	60.09	n/a	n/a	0.00	0.0
PILOT ADV	041	MYL	B	95,000	17.06	n/a	3-Oct	2,850.00	3.0
M&I FUNDS	047	M	B	3,917	25.46	n/a	28-Sep	156.68	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BASSWOOD PARTNERS	267	NAV	B	11,600	33.54	n/a	14-Sep	464.00	4.0
BNP PARIBAS SEC	040	NDN	S	50,000	20.02	n/a	16-Sep	2,500.00	5.0
MOORE CAPITAL	041	NDN	B	14,220	19.76	n/a	16-Sep	568.80	4.0
SONTERRA CAP	041	OSK	S	50,000	17.11	n/a	n/a	2,000.00	4.0
SURVEYOR CAPITAL	041	PCP	SS	1,310	152.20	n/a	22-Sep	39.30	3.0
AVESTA CAP	229	PEP	SS	100,000	59.87	n/a	n/a	3,000.00	3.0
BESSEMER INVESTMENT	085	PG	S	280	63.04	n/a	29-Sep	11.20	4.0
SURVEYOR CAPITAL	041	PHM	B	24,876	4.04	n/a	n/a	746.28	3.0
SURVEYOR CAPITAL	041	PLL	B	2,500	44.78	n/a	n/a	75.00	3.0
SURVEYOR CAPITAL	041	PPO	SS	1,000	56.23	n/a	n/a	30.00	3.0
PRIMECAP MGMT	084	PSS	S	2,000	13.94	n/a	n/a	80.00	4.0
PARKWEST	084	QCOR	S	50,000	30.82	n/a	n/a	2,000.00	4.0
BRONSON POINT	036	RGC	SS	50,000	12.41	n/a	n/a	1,500.00	3.0
CATAPULT	040	RKT	S	5,000	50.30	n/a	4-Aug	200.00	4.0
COOKBIELER	028	RKT	B	15,000	50.45	n/a	4-Aug	600.00	4.0
ARCHON CAPITAL	035	RT	B	14,000	6.84	n/a	n/a	420.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WEISS PECK	040	SDS	B	31,500	24.20	n/a	n/a	945.00	3.0
SIMMONS VENTURES	041	SKUL	SS	5,000	13.96	n/a	n/a	200.00	4.0
BESSEMER INVESTMENT	085	STJ	S	350	36.86	n/a	n/a	14.00	4.0
KAM ADVISORS LLC	041	SU	SS	76,500	27.48	n/a	n/a	2,295.00	3.0
BASSWOOD PARTNERS	267	TEX	B	8,700	11.93	n/a	14-Sep	348.00	4.0
ADAGE CAPITAL MGMT	030	TGT	B	277,082	51.75	n/a	6-Oct	8,312.46	3.0
ASCEND PARTNERS	033	TGT	S	50,000	51.92	n/a	6-Oct	1,500.00	3.0
BMO NESBITT BURNS	041	TGT	B	2,000	51.98	n/a	6-Oct	80.00	4.0
OZ MGMT	040	TGT	S	10,000	51.30	n/a	6-Oct	300.00	3.0
LITESPEED	028	TIN	S	100,000	31.42	n/a	13-Sep	3,000.00	3.0
BESSEMER INVESTMENT	085	T	S	310	28.21	n/a	n/a	12.40	4.0
MERRILL ASSET/BLACKROCK	297	UPL	B	8,200	28.32	n/a	27-Sep	328.00	4.0
BMO NESBITT BURNS	041	USG	S	50,000	7.53	n/a	22-Jul	2,500.00	5.0
AVESTA CAP	229	UTX	C	50,000	70.01	n/a	n/a	1,500.00	3.0
SURVEYOR CAPITAL	041	WMT	SS	5,716	52.47	n/a	25-Aug	171.48	3.0
SIMMONS VENTURES	041	WRC	B	5,000	42.70	n/a	2-Aug	200.00	4.0
SUFFOLK CAPITAL MGMT	040	YUM	B	25,000	48.89	n/a	5-Oct	1,000.00	4.0

TOTAL (Trade Date):

100,675.16

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	AA	S	1,500	9.26	n/a	n/a	60.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	AA	S	1,500	9.26	n/a	n/a	60.00 4.0
AO,CRT	10/05	AVESTA CAP (AVESDEUTS)	229	AAPL	B	2,250	377.79	n/a	n/a	67.50 3.0
AO,CRT	10/05	AVESTA CAP (AVESDEUTS)	229	AAPL	B	450	377.79	n/a	n/a	13.50 3.0
AO,CRT	10/05	AVESTA CAP (AVESDEUTS)	229	AAPL	B	8,920	377.79	n/a	n/a	267.60 3.0
AO,CXL	10/05	AVESTA CAP (AVESDEUTS)	229	AAPL	B	2,250	377.79	n/a	n/a	67.50 3.0
AO,CXL	10/05	AVESTA CAP (AVESDEUTS)	229	AAPL	B	450	377.79	n/a	n/a	13.50 3.0
AO,CXL	10/05	AVESTA CAP (AVESDEUTS)	229	AAPL	B	8,920	377.79	n/a	n/a	267.60 3.0
AO,CRT	10/05	AVESTA CAP (AVESGSUSE)	229	AAPL	B	13,380	377.79	n/a	n/a	401.40 3.0
AO,CXL	10/05	AVESTA CAP (AVESGSUSE)	229	AAPL	B	13,380	377.79	n/a	n/a	401.40 3.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	ACE	S	450	59.66	n/a	n/a	18.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	ACE	S	450	59.66	n/a	n/a	18.00 4.0
AO,CRT	10/05	MERRILL ASSET/BLACKROCK (MERRTRSDIV)	297	ACE	B	5,100	59.43	n/a	n/a	204.00 4.0
AO,CXL	10/05	MERRILL ASSET/BLACKROCK (MERRTRSDIV)	297	ACE	B	5,100	59.43	n/a	n/a	204.00 4.0
AO,CRT	10/05	MERRILL ASSET/BLACKROCK (MERREVALIC)	297	ACE	B	16,500	59.43	n/a	n/a	660.00 4.0
AO,CXL	10/05	MERRILL ASSET/BLACKROCK (MERREVALIC)	297	ACE	B	16,500	59.43	n/a	n/a	660.00 4.0
AO,CRT	10/05	MERRILL ASSET/BLACKROCK (MERREMMED)	297	ACE	B	7,800	59.43	n/a	n/a	312.00 4.0
AO,CXL	10/05	MERRILL ASSET/BLACKROCK (MERREMMED)	297	ACE	B	7,800	59.43	n/a	n/a	312.00 4.0
AO,CRT	10/05	MERRILL ASSET/BLACKROCK (MERRECIBCE)	297	ACE	B	3,200	59.43	n/a	n/a	128.00 4.0
AO,CXL	10/05	MERRILL ASSET/BLACKROCK (MERRECIBCE)	297	ACE	B	3,200	59.43	n/a	n/a	128.00 4.0
AO,CRT	10/05	MERRILL ASSET/BLACKROCK (MERR2800)	297	ACE	B	2,800	59.43	n/a	n/a	112.00 4.0
AO,CXL	10/05	MERRILL ASSET/BLACKROCK (MERR2800)	297	ACE	B	2,800	59.43	n/a	n/a	112.00 4.0
AO,CRT	10/05	KACELA CAPITAL (KACEGS)	034	ACN	B	38,000	54.78	n/a	n/a	1520.00 4.0
AO,CXL	10/05	KACELA CAPITAL (KACEGS)	034	ACN	B	38,000	54.78	n/a	n/a	1520.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/05	OSKIE CAPITAL MGMT (OSKIGSPB)	224	ACW	B	11,400	5.00	n/a	n/a	228.00 2.0
AO,CXL	10/05	OSKIE CAPITAL MGMT (OSKIGSPB)	224	ACW	B	11,400	5.00	n/a	n/a	570.00 5.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	ADM	S	3,324	24.92	n/a	23-Sep	132.96 4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	ADM	S	1,945	24.89	n/a	23-Sep	77.80 4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	ADM	S	2,245	24.70	n/a	23-Sep	89.80 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	ADM	S	3,324	24.92	n/a	23-Sep	132.96 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	ADM	S	1,945	24.89	n/a	23-Sep	77.80 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	ADM	S	2,245	24.70	n/a	23-Sep	89.80 4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	AMAT	S	950	10.50	n/a	n/a	38.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	AMAT	S	950	10.50	n/a	n/a	38.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	APC	S	600	65.16	n/a	27-Sep	24.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	APC	S	600	65.16	n/a	27-Sep	24.00 4.0
AO,CRT	10/05	SIMMONS VENTURES (SIMMJPM)	041	ARO	B	5,000	11.40	n/a	19-Aug	200.00 4.0
AO,CXL	10/05	SIMMONS VENTURES (SIMMJPM)	041	ARO	B	5,000	11.40	n/a	19-Aug	200.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	AXP	S	1,225	43.31	n/a	5-Oct	49.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	AXP	S	1,110	43.24	n/a	5-Oct	44.40 4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	AXP	S	570	43.23	n/a	5-Oct	22.80 4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	AXP	S	3,700	43.17	n/a	5-Oct	148.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	AXP	S	1,225	43.31	n/a	5-Oct	49.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	AXP	S	1,110	43.24	n/a	5-Oct	44.40 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	AXP	S	570	43.23	n/a	5-Oct	22.80 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	AXP	S	3,700	43.17	n/a	5-Oct	148.00 4.0
AO,CRT	10/05	NEWLAND CAPITAL MGT (NEWLGS)	025	BECN	B	25,000	16.35	n/a	n/a	1000.00 4.0

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AO,CXL	10/05	NEWLAND CAPITAL MGT (NEWLGS)	025	BECN	B	25,000	16.35	n/a	n/a	1000.00 4.0
AO,CRT	10/05	KLEINHEINZ CAP PART (KLHZMLMAFD)	031	BID	B	50,000	27.38	n/a	n/a	2500.00 5.0
AO,CXL	10/05	KLEINHEINZ CAP PART (KLHZMLMAFD)	031	BID	B	50,000	27.38	n/a	n/a	2500.00 5.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	BRCM	S	700	34.63	n/a	n/a	28.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	BRCM	S	700	34.63	n/a	n/a	28.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	C	S	3,100	23.97	n/a	27-Sep	124.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	C	S	3,100	23.97	n/a	27-Sep	124.00 4.0
AO,CRT	10/05	SUFFOLK CAPITAL MGMT (SUFFEMG)	040	C	B	2,500	24.56	n/a	27-Sep	100.00 4.0
AO,CXL	10/05	SUFFOLK CAPITAL MGMT (SUFFEMG)	040	C	B	2,500	24.56	n/a	27-Sep	100.00 4.0
AO,CRT	10/05	SUFFOLK CAPITAL MGMT (SUFFRUSS)	040	C	B	47,200	24.56	n/a	27-Sep	1888.00 4.0
AO,CXL	10/05	SUFFOLK CAPITAL MGMT (SUFFRUSS)	040	C	B	47,200	24.56	n/a	27-Sep	1888.00 4.0
AO,CRT	10/05	SUFFOLK CAPITAL MGMT (SUFFVAL)	040	C	B	1,000	24.56	n/a	27-Sep	40.00 4.0
AO,CXL	10/05	SUFFOLK CAPITAL MGMT (SUFFVAL)	040	C	B	1,000	24.56	n/a	27-Sep	40.00 4.0
AO,CRT	10/05	SUFFOLK CAPITAL MGMT (SUFFFREQ2)	040	C	B	53,500	24.56	n/a	27-Sep	2140.00 4.0
AO,CXL	10/05	SUFFOLK CAPITAL MGMT (SUFFFREQ2)	040	C	B	53,500	24.56	n/a	27-Sep	2140.00 4.0
AO,CRT	10/05	SUFFOLK CAPITAL MGMT (SUFFMSM)	040	C	B	2,100	24.56	n/a	27-Sep	84.00 4.0
AO,CXL	10/05	SUFFOLK CAPITAL MGMT (SUFFMSM)	040	C	B	2,100	24.56	n/a	27-Sep	84.00 4.0
AO,CRT	10/05	SUFFOLK CAPITAL MGMT (SUFFBRI)	040	C	B	27,500	24.56	n/a	27-Sep	1100.00 4.0
AO,CXL	10/05	SUFFOLK CAPITAL MGMT (SUFFBRI)	040	C	B	27,500	24.56	n/a	27-Sep	1100.00 4.0
AO,CRT	10/05	SUFFOLK CAPITAL MGMT (SUFFRIFM)	040	C	B	6,600	24.56	n/a	27-Sep	264.00 4.0
AO,CXL	10/05	SUFFOLK CAPITAL MGMT (SUFFRIFM)	040	C	B	6,600	24.56	n/a	27-Sep	264.00 4.0
AO,CRT	10/05	SUFFOLK CAPITAL MGMT (SUFFOMNI)	040	C	B	3,000	24.56	n/a	27-Sep	120.00 4.0
AO,CXL	10/05	SUFFOLK CAPITAL MGMT (SUFFOMNI)	040	C	B	3,000	24.56	n/a	27-Sep	120.00 4.0
AO,CRT	10/05	SUFFOLK CAPITAL MGMT (SUFFKPL)	040	C	B	34,800	24.56	n/a	27-Sep	1392.00 4.0
AO,CXL	10/05	SUFFOLK CAPITAL MGMT (SUFFKPL)	040	C	B	34,800	24.56	n/a	27-Sep	1392.00 4.0
AO,CRT	10/05	SUFFOLK CAPITAL MGMT (SUFFFRTC)	040	C	B	7,300	24.56	n/a	27-Sep	292.00 4.0
AO,CXL	10/05	SUFFOLK CAPITAL MGMT (SUFFFRTC)	040	C	B	7,300	24.56	n/a	27-Sep	292.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/05	SUFFOLK CAPITAL MGMT (SUFFILGWU)	040	C	B	1,800	24.56	n/a	27-Sep	72.00 4.0
AO,CXL	10/05	SUFFOLK CAPITAL MGMT (SUFFILGWU)	040	C	B	1,800	24.56	n/a	27-Sep	72.00 4.0
AO,CRT	10/05	SUFFOLK CAPITAL MGMT (SUFFFPPI)	040	C	B	9,800	24.56	n/a	27-Sep	392.00 4.0
AO,CXL	10/05	SUFFOLK CAPITAL MGMT (SUFFFPPI)	040	C	B	9,800	24.56	n/a	27-Sep	392.00 4.0
AO,CRT	10/05	MERRILL ASSET/BLACKROCK (MERR44)	297	CBG	B	5,100	13.61	n/a	n/a	204.00 4.0
AO,CXL	10/05	MERRILL ASSET/BLACKROCK (MERR44)	297	CBG	B	5,100	13.61	n/a	n/a	204.00 4.0
AO,CRT	10/05	MERRILL ASSET/BLACKROCK (MERR3400)	297	CBG	B	14,900	13.61	n/a	n/a	596.00 4.0
AO,CXL	10/05	MERRILL ASSET/BLACKROCK (MERR3400)	297	CBG	B	14,900	13.61	n/a	n/a	596.00 4.0
AO,CXL	10/05	ACK ASSET (ACKAMS)	028	CFX	SS	29,461	19.88	n/a	n/a	883.83 3.0
AO,CRT	10/05	ACK ASSET (ACKABEARPB)	028	CFX	SS	40,539	19.88	n/a	n/a	1216.17 3.0
AO,CXL	10/05	ACK ASSET (ACKABEARPB)	028	CFX	SS	40,539	19.88	n/a	n/a	1216.17 3.0
AO,CRT	10/05	ACK ASSET (ACKAMS)	028	CFX	SS	29,461	19.88	n/a	n/a	883.83 3.0
AO,CRT	10/05	CATAPULT (CATADEUTCH)	040	CHK	SS	25,000	24.98	n/a	n/a	1000.00 4.0
AO,CXL	10/05	CATAPULT (CATADEUTCH)	040	CHK	SS	25,000	24.98	n/a	n/a	1000.00 4.0
AO,CRT	10/05	TALPION LLC (TALPGSPB)	040	CLGX	B	10,000	10.83	n/a	n/a	400.00 4.0
AO,CXL	10/05	TALPION LLC (TALPGSPB)	040	CLGX	B	10,000	10.83	n/a	n/a	400.00 4.0
AO,CRT	10/05	ACK ASSET (ACKAMS)	028	CMI	B	11,185	86.71	n/a	14-Sep	335.55 3.0
AO,CRT	10/05	ACK ASSET (ACKAMS)	028	CMI	B	15,217	86.71	n/a	14-Sep	456.51 3.0
AO,CXL	10/05	ACK ASSET (ACKAMS)	028	CMI	B	11,185	86.71	n/a	14-Sep	335.55 3.0
AO,CXL	10/05	ACK ASSET (ACKAMS)	028	CMI	B	15,217	86.71	n/a	14-Sep	456.51 3.0
AO,CRT	10/05	MERRILL ASSET/BLACKROCK (MERR44)	297	COG	S	500	64.25	n/a	27-Sep	20.00 4.0
AO,CXL	10/05	MERRILL ASSET/BLACKROCK (MERR44)	297	COG	S	500	64.25	n/a	27-Sep	20.00 4.0
AO,CRT	10/05	MERRILL ASSET/BLACKROCK (MERR22)	297	COG	S	600	64.48	n/a	27-Sep	24.00 4.0
AO,CXL	10/05	MERRILL ASSET/BLACKROCK (MERR22)	297	COG	S	600	64.48	n/a	27-Sep	24.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/05	MERRILL ASSET/BLACKROCK (MERR700)	297	COG	S	3,200	64.48	n/a	27-Sep	128.00 4.0
AO,CXL	10/05	MERRILL ASSET/BLACKROCK (MERR700)	297	COG	S	3,200	64.48	n/a	27-Sep	128.00 4.0
AO,CRT	10/05	MERRILL ASSET/BLACKROCK (MERR3400)	297	COG	S	2,000	64.25	n/a	27-Sep	80.00 4.0
AO,CXL	10/05	MERRILL ASSET/BLACKROCK (MERR3400)	297	COG	S	2,000	64.25	n/a	27-Sep	80.00 4.0
AO,CRT	10/05	SURVEYOR CAPITAL (SURVCDRGS)	041	CP	SS	400	50.04	n/a	n/a	12.00 3.0
AO,CXL	10/05	SURVEYOR CAPITAL (SURVCDRGS)	041	CP	SS	400	50.04	n/a	n/a	12.00 3.0
AO,CRT	10/05	SURVEYOR CAPITAL (SURVSCLDN)	041	CP	SS	600	50.04	n/a	n/a	18.00 3.0
AO,CXL	10/05	SURVEYOR CAPITAL (SURVSCLDN)	041	CP	SS	600	50.04	n/a	n/a	18.00 3.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	CTL	S	1,500	31.96	n/a	n/a	60.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	CTL	S	1,500	31.96	n/a	n/a	60.00 4.0
AO,CRT	10/05	AVESTA CAP (AVESDEUTS)	229	CVI	B	9,000	21.41	n/a	n/a	270.00 3.0
AO,CRT	10/05	AVESTA CAP (AVESDEUTS)	229	CVI	B	1,800	21.41	n/a	n/a	54.00 3.0
AO,CRT	10/05	AVESTA CAP (AVESDEUTS)	229	CVI	B	35,680	21.41	n/a	n/a	1070.40 3.0
AO,CXL	10/05	AVESTA CAP (AVESDEUTS)	229	CVI	B	9,000	21.41	n/a	n/a	270.00 3.0
AO,CXL	10/05	AVESTA CAP (AVESDEUTS)	229	CVI	B	1,800	21.41	n/a	n/a	54.00 3.0
AO,CXL	10/05	AVESTA CAP (AVESDEUTS)	229	CVI	B	35,680	21.41	n/a	n/a	1070.40 3.0
AO,CRT	10/05	AVESTA CAP (AVESGSUSE)	229	CVI	B	53,520	21.41	n/a	n/a	1605.60 3.0
AO,CXL	10/05	AVESTA CAP (AVESGSUSE)	229	CVI	B	53,520	21.41	n/a	n/a	1605.60 3.0
AO,CRT	10/05	COPIA CAPITAL (COPICSPB)	031	CVI	SS	448	21.28	n/a	n/a	15.68 3.5
AO,CXL	10/05	COPIA CAPITAL (COPICSPB)	031	CVI	SS	448	21.28	n/a	n/a	15.68 3.5
AO,CRT	10/05	COPIA CAPITAL (COPIGSPB)	031	CVI	SS	21,419	21.28	n/a	n/a	749.67 3.5
AO,CRT	10/05	COPIA CAPITAL (COPIGSPB)	031	CVI	SS	3,133	21.28	n/a	n/a	109.66 3.5
AO,CXL	10/05	COPIA CAPITAL (COPIGSPB)	031	CVI	SS	21,419	21.28	n/a	n/a	749.67 3.5
AO,CXL	10/05	COPIA CAPITAL (COPIGSPB)	031	CVI	SS	3,133	21.28	n/a	n/a	109.66 3.5
AO,CRT	10/05	ARMATURE CAPITAL (ARMADB)	041	DAN	B	100,000	11.32	n/a	29-Jul	4000.00 4.0
AO,CXL	10/05	ARMATURE CAPITAL (ARMADB)	041	DAN	B	100,000	11.32	n/a	29-Jul	4000.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/05	MA CAPITAL MGMT/MELLON ADV (MACAJPM)	041	DG	B	2,600	37.67	n/a	30-Aug	130.00 5.0
AO,CXL	10/05	MA CAPITAL MGMT/MELLON ADV (MACAJPM)	041	DG	B	2,600	37.67	n/a	30-Aug	130.00 5.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	DIS	S	650	30.91	n/a	n/a	26.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	DIS	S	650	30.91	n/a	n/a	26.00 4.0
AO,CRT	10/05	DSG CAPITAL (DSGCJEFF)	030	DOW	B	8,000	23.25	n/a	5-Oct	240.00 3.0
AO,CXL	10/05	DSG CAPITAL (DSGCJEFF)	030	DOW	B	8,000	23.25	n/a	5-Oct	240.00 3.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	DVN	S	975	55.98	n/a	27-Sep	39.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	DVN	S	1,355	55.97	n/a	27-Sep	54.20 4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	DVN	S	1,645	55.58	n/a	27-Sep	65.80 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	DVN	S	975	55.98	n/a	27-Sep	39.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	DVN	S	1,355	55.97	n/a	27-Sep	54.20 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	DVN	S	1,645	55.58	n/a	27-Sep	65.80 4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	ESRX	S	350	35.57	n/a	n/a	14.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	ESRX	S	350	35.57	n/a	n/a	14.00 4.0
AO,CRT	10/05	GREEN ARROW DOUG (GADRMLICS)	040	EXPD	B	2,500	40.38	n/a	n/a	125.00 5.0
AO,CXL	10/05	GREEN ARROW DOUG (GADRMLICS)	040	EXPD	B	2,500	40.38	n/a	n/a	125.00 5.0
AO,CRT	10/05	BNP PARIBAS SEC (BNPPMAIN)	040	EXPR	S	50,000	21.84	n/a	n/a	2500.00 5.0
AO,CXL	10/05	BNP PARIBAS SEC (BNPPMAIN)	040	EXPR	S	50,000	21.84	n/a	n/a	2500.00 5.0
AO,CRT	10/05	SUN AMERICA ASSET MGMT (SUNAJUBG)	030	F	B	50,000	10.15	n/a	4-Oct	2000.00 4.0
AO,CXL	10/05	SUN AMERICA ASSET MGMT (SUNAJUBG)	030	F	B	50,000	10.15	n/a	4-Oct	2000.00 4.0
AO,CRT	10/05	SUN AMERICA ASSET MGMT (SUNAF416)	030	F	B	15,900	10.15	n/a	4-Oct	636.00 4.0
AO,CXL	10/05	SUN AMERICA ASSET MGMT (SUNAF416)	030	F	B	15,900	10.15	n/a	4-Oct	636.00 4.0
AO,CXL	10/05	PRIMECAP MGMT (PRISMA1)	084	FDX	B	4,500	69.88	n/a	n/a	180.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/05	PRIMECAP MGMT (PRIMSMAL)	084	FDX	B	4,500	69.88	n/a	n/a	180.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	FLS	S	175	77.65	n/a	n/a	7.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	FLS	S	175	77.65	n/a	n/a	7.00 4.0
AO,CRT	10/05	OSKIE CAPITAL MGMT (OSKIGSPB)	224	FSL	B	10,000	10.41	n/a	n/a	500.00 5.0
AO,CXL	10/05	OSKIE CAPITAL MGMT (OSKIGSPB)	224	FSL	B	10,000	10.41	n/a	n/a	500.00 5.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	GE	S	2,000	15.12	n/a	n/a	80.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	GE	S	2,000	15.12	n/a	n/a	80.00 4.0
AO,CRT	10/05	MERCHANTS GATE CAP LP (MERGCSPB)	036	GLT	SS	36,000	13.84	n/a	n/a	1440.00 4.0
AO,CXL	10/05	MERCHANTS GATE CAP LP (MERGCSPB)	036	GLT	SS	36,000	13.84	n/a	n/a	1440.00 4.0
AO,CRT	10/05	BNP PARIBAS SEC (BNPPMAIN)	040	GM	SS	60,000	22.11	n/a	4-Oct	3000.00 5.0
AO,CXL	10/05	BNP PARIBAS SEC (BNPPMAIN)	040	GM	SS	60,000	22.11	n/a	4-Oct	3000.00 5.0
AO,CRT	10/05	HUNTER GLOBAL INVESTOR (HUNTJPMORG)	028	GM	SS	45,200	22.17	n/a	4-Oct	2260.00 5.0
AO,CXL	10/05	HUNTER GLOBAL INVESTOR (HUNTJPMORG)	028	GM	SS	45,200	22.17	n/a	4-Oct	2260.00 5.0
AO,CRT	10/05	OZ MGMT (OZFFJPMBS)	040	GM	SS	781	21.30	n/a	4-Oct	23.43 3.0
AO,CRT	10/05	OZ MGMT (OZFFJPMBS)	040	GM	SS	21,483	21.30	n/a	4-Oct	644.49 3.0
AO,CRT	10/05	OZ MGMT (OZFFJPMBS)	040	GM	SS	901	21.30	n/a	4-Oct	27.03 3.0
AO,CRT	10/05	OZ MGMT (OZFFJPMBS)	040	GM	SS	3,125	21.29	n/a	4-Oct	93.75 3.0
AO,CRT	10/05	OZ MGMT (OZFFJPMBS)	040	GM	SS	85,930	21.29	n/a	4-Oct	2577.90 3.0
AO,CRT	10/05	OZ MGMT (OZFFJPMBS)	040	GM	SS	3,604	21.29	n/a	4-Oct	108.12 3.0
AO,CXL	10/05	OZ MGMT (OZFFJPMBS)	040	GM	SS	781	21.30	n/a	4-Oct	23.43 3.0
AO,CXL	10/05	OZ MGMT (OZFFJPMBS)	040	GM	SS	21,483	21.30	n/a	4-Oct	644.49 3.0
AO,CXL	10/05	OZ MGMT (OZFFJPMBS)	040	GM	SS	901	21.30	n/a	4-Oct	27.03 3.0
AO,CXL	10/05	OZ MGMT (OZFFJPMBS)	040	GM	SS	3,125	21.29	n/a	4-Oct	93.75 3.0
AO,CXL	10/05	OZ MGMT (OZFFJPMBS)	040	GM	SS	85,930	21.29	n/a	4-Oct	2577.90 3.0
AO,CXL	10/05	OZ MGMT (OZFFJPMBS)	040	GM	SS	3,604	21.29	n/a	4-Oct	108.12 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/05	OZ MGMT (OZFFCSFB)	040	GM	SS	563	21.30	n/a	4-Oct	16.89 3.0
AO,CRT	10/05	OZ MGMT (OZFFCSFB)	040	GM	SS	709	21.30	n/a	4-Oct	21.27 3.0
AO,CRT	10/05	OZ MGMT (OZFFCSFB)	040	GM	SS	2,252	21.29	n/a	4-Oct	67.56 3.0
AO,CRT	10/05	OZ MGMT (OZFFCSFB)	040	GM	SS	2,837	21.29	n/a	4-Oct	85.11 3.0
AO,CXL	10/05	OZ MGMT (OZFFCSFB)	040	GM	SS	563	21.30	n/a	4-Oct	16.89 3.0
AO,CXL	10/05	OZ MGMT (OZFFCSFB)	040	GM	SS	709	21.30	n/a	4-Oct	21.27 3.0
AO,CXL	10/05	OZ MGMT (OZFFCSFB)	040	GM	SS	2,252	21.29	n/a	4-Oct	67.56 3.0
AO,CXL	10/05	OZ MGMT (OZFFCSFB)	040	GM	SS	2,837	21.29	n/a	4-Oct	85.11 3.0
AO,CRT	10/05	OZ MGMT (OZFFMS)	040	GM	SS	563	21.30	n/a	4-Oct	16.89 3.0
AO,CRT	10/05	OZ MGMT (OZFFMS)	040	GM	SS	2,252	21.29	n/a	4-Oct	67.56 3.0
AO,CXL	10/05	OZ MGMT (OZFFMS)	040	GM	SS	563	21.30	n/a	4-Oct	16.89 3.0
AO,CXL	10/05	OZ MGMT (OZFFMS)	040	GM	SS	2,252	21.29	n/a	4-Oct	67.56 3.0
AO,CRT	10/05	TRELLUS PARTNERS LP (TRELGS)	028	GM	SS	1,000	21.46	n/a	4-Oct	50.00 5.0
AO,CXL	10/05	TRELLUS PARTNERS LP (TRELGS)	028	GM	SS	1,000	21.46	n/a	4-Oct	50.00 5.0
AO,CRT	10/05	TRELLUS PARTNERS LP (TRELMAIN)	028	GM	SS	49,000	21.46	n/a	4-Oct	2450.00 5.0
AO,CXL	10/05	TRELLUS PARTNERS LP (TRELMAIN)	028	GM	SS	49,000	21.46	n/a	4-Oct	2450.00 5.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	GOOG	S	141	504.18	n/a	n/a	5.64 4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	GOOG	S	72	499.59	n/a	n/a	2.88 4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	GOOG	S	300	495.29	n/a	n/a	12.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	GOOG	S	141	504.18	n/a	n/a	5.64 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	GOOG	S	72	499.59	n/a	n/a	2.88 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	GOOG	S	300	495.29	n/a	n/a	12.00 4.0
AO,CRT	10/05	SONTERRA CAP (SONTGSRUCK)	041	GPC	B	200	50.79	n/a	n/a	8.00 4.0
AO,CXL	10/05	SONTERRA CAP (SONTGSRUCK)	041	GPC	B	200	50.79	n/a	n/a	8.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	HON	S	1,250	44.04	n/a	14-Sep	50.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	HON	S	1,460	43.86	n/a	14-Sep	58.40 4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	HON	S	2,045	43.86	n/a	14-Sep	81.80 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	HON	S	1,250	44.04	n/a	14-Sep	50.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	HON	S	1,460	43.86	n/a	14-Sep	58.40 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	HON	S	2,045	43.86	n/a	14-Sep	81.80 4.0
AO,CRT	10/05	TROUBH PART (TROUGOLD)	070	HPQ	S	50,000	23.78	n/a	n/a	2500.00 5.0
AO,CXL	10/05	TROUBH PART (TROUGOLD)	070	HPQ	S	50,000	23.78	n/a	n/a	2500.00 5.0
AO,CRT	10/05	GREEN ARROW DOUG (GADRMLICS)	040	IFF	SS	5,000	58.16	n/a	6-Sep	250.00 5.0
AO,CXL	10/05	GREEN ARROW DOUG (GADRMLICS)	040	IFF	SS	5,000	58.16	n/a	6-Sep	250.00 5.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	IP	S	1,050	23.50	n/a	6-Sep	42.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	IP	S	1,050	23.50	n/a	6-Sep	42.00 4.0
AO,CRT	10/05	FIRST NY SEC/CHRIS (FNYCHRIS)	041	IP	B	10,000	23.75	n/a	6-Sep	500.00 5.0
AO,CXL	10/05	FIRST NY SEC/CHRIS (FNYCHRIS)	041	IP	B	10,000	23.75	n/a	6-Sep	500.00 5.0
AO,CXL	10/05	ARCHON CAPITAL (ARCCMORGAN)	035	IRDM	SS	45,000	5.90	n/a	n/a	1350.00 3.0
AO,CRT	10/05	ARCHON CAPITAL (ARCCUBS)	035	IRDM	SS	45,000	5.90	n/a	n/a	1350.00 3.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	JPM	S	675	30.17	n/a	27-Sep	27.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	JPM	S	675	30.17	n/a	27-Sep	27.00 4.0
AO,CRT	10/05	TROUBH PART (TROUGOLD)	070	JPM	S	25,000	30.15	n/a	27-Sep	1250.00 5.0
AO,CXL	10/05	TROUBH PART (TROUGOLD)	070	JPM	S	25,000	30.15	n/a	27-Sep	1250.00 5.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	KFT	S	300	32.70	n/a	n/a	12.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	KFT	S	300	32.70	n/a	n/a	12.00 4.0
AO,CRT	10/05	FIRST NY SEC/CHRIS (FNYCHRIS)	041	KSS	SS	10,000	49.15	n/a	28-Sep	500.00 5.0
AO,CXL	10/05	FIRST NY SEC/CHRIS (FNYCHRIS)	041	KSS	SS	10,000	49.15	n/a	28-Sep	500.00 5.0
AO,CRT	10/05	MA CAPITAL MGMT/MELLON ADV (MACAJPM)	041	KSS	SS	2,000	49.07	n/a	28-Sep	100.00 5.0
AO,CXL	10/05	MA CAPITAL MGMT/MELLON ADV (MACAJPM)	041	KSS	SS	2,000	49.07	n/a	28-Sep	100.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	10/05	PRIMECAP MGMT (PRIMSMAL)	084	KSS	S	5,000	49.95	n/a	28-Sep	200.00	4.0
AO,CXL	10/05	PRIMECAP MGMT (PRIMSMAL)	084	KSS	S	5,000	49.95	n/a	28-Sep	200.00	4.0
AO,CRT	10/05	LEVIN CAPITAL STRATEGIES (LEVSMS)	041	LEA	B	7,500	42.92	n/a	5-Aug	225.00	3.0
AO,CXL	10/05	LEVIN CAPITAL STRATEGIES (LEVSMS)	041	LEA	B	7,500	42.92	n/a	5-Aug	225.00	3.0
AO,CRT	10/05	RIDGECREST INV MGMT LLC (RIDCMSPB)	028	LEA	B	5,000	43.90	n/a	5-Aug	250.00	5.0
AO,CXL	10/05	RIDGECREST INV MGMT LLC (RIDCMSPB)	028	LEA	B	5,000	43.90	n/a	5-Aug	250.00	5.0
AO,CRT	10/05	MACQUARIE INVESTMENT MGMT. (MACQSELFPLP) 040	LIZ	S	20,000	4.41	n/a	7-Oct	0.00	0.0	
AO,CXL	10/05	MACQUARIE INVESTMENT MGMT. (MACQSELFPLP) 040	LIZ	S	20,000	4.41	n/a	7-Oct	0.00	0.0	
AO,CRT	10/05	SIMMONS VENTURES (SIMMJPM)	041	M	B	5,000	25.70	n/a	28-Sep	200.00	4.0
AO,CXL	10/05	SIMMONS VENTURES (SIMMJPM)	041	M	B	5,000	25.70	n/a	28-Sep	200.00	4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	MA	S	200	308.15	n/a	16-Sep	8.00	4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	MA	S	500	306.05	n/a	16-Sep	20.00	4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	MA	S	130	304.43	n/a	16-Sep	5.20	4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	MA	S	200	308.15	n/a	16-Sep	8.00	4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	MA	S	500	306.05	n/a	16-Sep	20.00	4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	MA	S	130	304.43	n/a	16-Sep	5.20	4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	MET	S	1,060	28.41	n/a	n/a	42.40	4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	MET	S	1,400	28.32	n/a	n/a	56.00	4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	MET	S	5,300	28.29	n/a	n/a	212.00	4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	MET	S	1,060	28.41	n/a	n/a	42.40	4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	MET	S	1,400	28.32	n/a	n/a	56.00	4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	MET	S	5,300	28.29	n/a	n/a	212.00	4.0
AO,CRT	10/05	NEWLAND CAPITAL MGT (NEWLGS)	025	MHK	S	42,487	45.11	n/a	n/a	1699.48	4.0
AO,CXL	10/05	NEWLAND CAPITAL MGT (NEWLGS)	025	MHK	S	42,487	45.11	n/a	n/a	1699.48	4.0
AO,CRT	10/05	TALPION LLC (TALPGSPB)	040	MIDD	SS	2,242	73.43	n/a	14-Sep	89.68	4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/05	TALPION LLC (TALPGSPB)	040	MIDD	SS	2,242	73.43	n/a	14-Sep	89.68 4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	MO	S	1,400	26.31	n/a	n/a	56.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	MO	S	1,400	26.31	n/a	n/a	56.00 4.0
AO,CRT	10/05	COUGAR TRADING (COUGPB MS)	044	MON	B	15,000	64.63	n/a	5-Oct	750.00 5.0
AO,CXL	10/05	COUGAR TRADING (COUGPB MS)	044	MON	B	15,000	64.63	n/a	5-Oct	750.00 5.0
AO,CRT	10/05	COUGAR TRADING (COUGPB MS)	044	MON	S	15,000	65.63	n/a	5-Oct	750.00 5.0
AO,CXL	10/05	COUGAR TRADING (COUGPB MS)	044	MON	S	15,000	65.63	n/a	5-Oct	750.00 5.0
AO,CRT	10/05	CAPITAL GROWTH MGMT. (CAPG4892)	241	MPC	B	300,000	30.60	n/a	n/a	12000.00 4.0
AO,CXL	10/05	CAPITAL GROWTH MGMT. (CAPG4892)	241	MPC	B	300,000	30.60	n/a	n/a	12000.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	MSFT	S	1,300	25.99	n/a	n/a	52.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	MSFT	S	1,300	25.99	n/a	n/a	52.00 4.0
AO,CRT	10/05	THOMAS WEISEL ASSET MGMT (TWAMSCG04)	035	MSPD	B	4,440	5.36	n/a	n/a	133.20 3.0
AO,CRT	10/05	DAVIDSON KEMPNER ADVISOR (DAVIBARC)	040	MT	C	122,859	16.89	n/a	n/a	6142.95 5.0
AO,CXL	10/05	DAVIDSON KEMPNER ADVISOR (DAVIBARC)	040	MT	C	122,859	16.89	n/a	n/a	6142.95 5.0
AO,CRT	10/05	DAVIDSON KEMPNER ADVISOR (DAVIGS)	040	MT	C	1,141	16.89	n/a	n/a	57.05 5.0
AO,CXL	10/05	DAVIDSON KEMPNER ADVISOR (DAVIGS)	040	MT	C	1,141	16.89	n/a	n/a	57.05 5.0
AO,CRT	10/05	SURVEYOR CAPITAL (SURVSCLDN)	041	NAV	B	4,800	33.03	n/a	14-Sep	144.00 3.0
AO,CXL	10/05	SURVEYOR CAPITAL (SURVSCLDN)	041	NAV	B	4,800	33.03	n/a	14-Sep	144.00 3.0
AO,CRT	10/05	ADAGE CAPITAL MGMT (ADAGCSFB)	030	NDN	B	54,579	18.64	n/a	16-Sep	1637.37 3.0
AO,CXL	10/05	ADAGE CAPITAL MGMT (ADAGCSFB)	030	NDN	B	54,579	18.64	n/a	16-Sep	1637.37 3.0
AO,CRT	10/05	MOORE CAPITAL (MOORUBS)	041	NDN	B	10,000	18.37	n/a	16-Sep	300.00 3.0
AO,CXL	10/05	MOORE CAPITAL (MOORUBS)	041	NDN	B	10,000	18.37	n/a	16-Sep	300.00 3.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	NOC	S	1,113	51.70	n/a	26-Sep	44.52 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	NOC	S	1,113	51.70	n/a	26-Sep	44.52 4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	NOV	S	225	52.15	n/a	n/a	9.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	NOV	S	225	52.15	n/a	n/a	9.00 4.0
AO,CRT	10/05	TALPION LLC (TALPGSPB)	040	NWL	SS	10,000	11.92	n/a	n/a	400.00 4.0
AO,CRT	10/05	TALPION LLC (TALPGSPB)	040	NWL	SS	25,000	11.81	n/a	n/a	1000.00 4.0
AO,CXL	10/05	TALPION LLC (TALPGSPB)	040	NWL	SS	10,000	11.92	n/a	n/a	400.00 4.0
AO,CXL	10/05	TALPION LLC (TALPGSPB)	040	NWL	SS	25,000	11.81	n/a	n/a	1000.00 4.0
AO,CRT	10/05	THOMAS WEISEL ASSET MGMT (TWAMSCG04)	035	OCZ	S	7,030	4.91	n/a	n/a	140.60 2.0
AO,CRT	10/05	THOMAS WEISEL ASSET MGMT (TWAMSCG10)	035	OCZ	S	1,610	4.91	n/a	n/a	32.20 2.0
AO,CRT	10/05	THOMAS WEISEL ASSET MGMT (TWAMSCG09)	035	OCZ	S	16,160	4.91	n/a	n/a	323.20 2.0
AO,CRT	10/05	THOMAS WEISEL ASSET MGMT (TWAMSCG08)	035	OCZ	S	23,420	4.91	n/a	n/a	468.40 2.0
AO,CRT	10/05	THOMAS WEISEL ASSET MGMT (TWAMSCG07)	035	OCZ	S	8,190	4.91	n/a	n/a	163.80 2.0
AO,CRT	10/05	THOMAS WEISEL ASSET MGMT (TWAMSCG06)	035	OCZ	S	3,320	4.91	n/a	n/a	66.40 2.0
AO,CRT	10/05	THOMAS WEISEL ASSET MGMT (TWAMSCG05)	035	OCZ	S	10,135	4.91	n/a	n/a	202.70 2.0
AO,CRT	10/05	THOMAS WEISEL ASSET MGMT (TWAMSCG03)	035	OCZ	S	8,250	4.91	n/a	n/a	165.00 2.0
AO,CRT	10/05	HUNTER GLOBAL INVESTOR (HUNTMS P)	028	OSK	B	70,500	15.97	n/a	n/a	2467.50 3.5
AO,CXL	10/05	HUNTER GLOBAL INVESTOR (HUNTMS P)	028	OSK	B	70,500	15.97	n/a	n/a	2467.50 3.5
AO,CRT	10/05	DEVENNY CAP LLC (DEVEDB)	044	PAG	SS	13,500	17.14	n/a	22-Jul	405.00 3.0
AO,CXL	10/05	DEVENNY CAP LLC (DEVEDB)	044	PAG	SS	13,500	17.14	n/a	22-Jul	405.00 3.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	PCP	S	220	149.75	n/a	22-Sep	8.80 4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	PCP	S	310	149.63	n/a	22-Sep	12.40 4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	PCP	S	1,000	148.21	n/a	22-Sep	40.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	PCP	S	220	149.75	n/a	22-Sep	8.80 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	PCP	S	310	149.63	n/a	22-Sep	12.40 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	PCP	S	1,000	148.21	n/a	22-Sep	40.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	PFE	S	1,500	17.81	n/a	n/a	60.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	PFE	S	1,500	17.81	n/a	n/a	60.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	PG	S	325	62.97	n/a	29-Sep	13.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	PG	S	325	62.97	n/a	29-Sep	13.00 4.0
AO,CRT	10/05	ROARING BLUE LION MGMT (ROARMAIN)	031	PLCE	S	4,666	48.68	n/a	18-Aug	186.64 4.0
AO,CXL	10/05	ROARING BLUE LION MGMT (ROARMAIN)	031	PLCE	S	4,666	48.68	n/a	18-Aug	186.64 4.0
AO,CRT	10/05	HUNTER GLOBAL INVESTOR (HUNTMS P)	028	PWR	SS	53,000	18.94	n/a	n/a	2120.00 4.0
AO,CXL	10/05	HUNTER GLOBAL INVESTOR (HUNTMS P)	028	PWR	SS	53,000	18.94	n/a	n/a	2120.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	QCOM	S	175	50.43	n/a	n/a	7.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	QCOM	S	175	50.43	n/a	n/a	7.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	RIG	S	550	45.25	n/a	n/a	22.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	RIG	S	550	45.25	n/a	n/a	22.00 4.0
AO,CRT	10/05	NEWLAND CAPITAL MGT (NEWLGS)	025	RKT	B	10,000	47.31	n/a	4-Aug	400.00 4.0
AO,CXL	10/05	NEWLAND CAPITAL MGT (NEWLGS)	025	RKT	B	10,000	47.31	n/a	4-Aug	400.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	SBUX	S	550	38.12	n/a	3-Oct	22.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	SBUX	S	550	38.12	n/a	3-Oct	22.00 4.0
AO,CRT	10/05	ENTRUST CAPITAL (ENTRMORGAN)	040	SCSS	SS	5,000	13.59	n/a	n/a	250.00 5.0
AO,CXL	10/05	ENTRUST CAPITAL (ENTRMORGAN)	040	SCSS	SS	5,000	13.59	n/a	n/a	250.00 5.0
AO,CRT	10/05	ENTRUST CAPITAL (ENTRGOLDMA)	040	SCSS	SS	18,400	13.59	n/a	n/a	920.00 5.0
AO,CXL	10/05	ENTRUST CAPITAL (ENTRGOLDMA)	040	SCSS	SS	18,400	13.59	n/a	n/a	920.00 5.0
AO,CRT	10/05	CATAPULT (CATADEUTCH)	040	SFL	SS	25,000	12.28	n/a	n/a	1000.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/05	CATAPULT (CATADEUTCH)	040	SFL	SS	25,000	12.28	n/a	n/a	1000.00 4.0
AO,CRT	10/05	COBALT (COBAGS)	041	SLM	B	4,100	11.73	n/a	6-Oct	164.00 4.0
AO,CXL	10/05	COBALT (COBAGS)	041	SLM	B	4,100	11.73	n/a	6-Oct	164.00 4.0
AO,CRT	10/05	COBALT (COBAUBS)	041	SLM	B	145,900	11.73	n/a	6-Oct	5836.00 4.0
AO,CXL	10/05	COBALT (COBAUBS)	041	SLM	B	145,900	11.73	n/a	6-Oct	5836.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	SO	S	500	41.11	n/a	n/a	20.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	SO	S	500	41.11	n/a	n/a	20.00 4.0
AO,CRT	10/05	ROARING BLUE LION MGMT (ROARMAIN)	031	SSI	S	2,200	15.04	n/a	n/a	88.00 4.0
AO,CXL	10/05	ROARING BLUE LION MGMT (ROARMAIN)	031	SSI	S	2,200	15.04	n/a	n/a	88.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	STJ	S	375	36.54	n/a	n/a	15.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	STJ	S	375	36.54	n/a	n/a	15.00 4.0
AO,CRT	10/05	LEVIN CAPITAL STRATEGIES (LEVSMS)	041	SUG	B	15,000	39.86	n/a	n/a	450.00 3.0
AO,CXL	10/05	LEVIN CAPITAL STRATEGIES (LEVSMS)	041	SUG	B	15,000	39.86	n/a	n/a	450.00 3.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	SWK	S	95	53.17	n/a	n/a	3.80 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	SWK	S	95	53.17	n/a	n/a	3.80 4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	T	S	750	28.08	n/a	n/a	30.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	T	S	750	28.08	n/a	n/a	30.00 4.0
AO,CRT	10/05	OZ MGMT (OZFFJPMBS)	040	TGT	B	2,344	49.62	n/a	6-Oct	70.32 3.0
AO,CRT	10/05	OZ MGMT (OZFFJPMBS)	040	TGT	B	64,447	49.62	n/a	6-Oct	1933.41 3.0
AO,CRT	10/05	OZ MGMT (OZFFJPMBS)	040	TGT	B	2,702	49.62	n/a	6-Oct	81.06 3.0
AO,CXL	10/05	OZ MGMT (OZFFJPMBS)	040	TGT	B	2,344	49.62	n/a	6-Oct	70.32 3.0
AO,CXL	10/05	OZ MGMT (OZFFJPMBS)	040	TGT	B	64,447	49.62	n/a	6-Oct	1933.41 3.0
AO,CXL	10/05	OZ MGMT (OZFFJPMBS)	040	TGT	B	2,702	49.62	n/a	6-Oct	81.06 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/05	OZ MGMT (OZFFCSFB)	040	TGT	B	1,690	49.62	n/a	6-Oct	50.70 3.0
AO,CRT	10/05	OZ MGMT (OZFFCSFB)	040	TGT	B	2,128	49.62	n/a	6-Oct	63.84 3.0
AO,CXL	10/05	OZ MGMT (OZFFCSFB)	040	TGT	B	1,690	49.62	n/a	6-Oct	50.70 3.0
AO,CXL	10/05	OZ MGMT (OZFFCSFB)	040	TGT	B	2,128	49.62	n/a	6-Oct	63.84 3.0
AO,CRT	10/05	OZ MGMT (OZFFMS)	040	TGT	B	1,689	49.62	n/a	6-Oct	50.67 3.0
AO,CXL	10/05	OZ MGMT (OZFFMS)	040	TGT	B	1,689	49.62	n/a	6-Oct	50.67 3.0
AO,CRT	10/05	HUNTER GLOBAL INVESTOR (HUNTJPMORG)	028	THO	SS	20,300	24.80	n/a	n/a	1015.00 5.0
AO,CXL	10/05	HUNTER GLOBAL INVESTOR (HUNTJPMORG)	028	THO	SS	20,300	24.80	n/a	n/a	1015.00 5.0
AO,CRT	10/05	LITESPEED (LITEUBS)	028	TIN	S	100,100	31.38	n/a	13-Sep	3003.00 3.0
AO,CXL	10/05	LITESPEED (LITEUBS)	028	TIN	S	100,100	31.38	n/a	13-Sep	3003.00 3.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	TRV	S	900	48.39	n/a	n/a	36.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	TRV	S	900	48.39	n/a	n/a	36.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	TRW	S	225	34.15	n/a	n/a	9.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	TRW	S	225	34.15	n/a	n/a	9.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	TSN	S	1,200	17.22	n/a	n/a	48.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	TSN	S	1,200	17.22	n/a	n/a	48.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	TWC	S	550	65.95	n/a	n/a	22.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	TWC	S	550	65.95	n/a	n/a	22.00 4.0
AO,CRT	10/05	MASTERS CAPITAL MANAGE (MASTCS)	025	UAL	B	50,000	18.26	n/a	n/a	2000.00 4.0
AO,CXL	10/05	MASTERS CAPITAL MANAGE (MASTCS)	025	UAL	B	50,000	18.26	n/a	n/a	2000.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	UNH	S	1,500	43.96	n/a	n/a	60.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	UNH	S	1,500	43.96	n/a	n/a	60.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/05	SURVEYOR CAPITAL (SURVCDRGS)	041	UNP	B	1,000	85.41	n/a	n/a	30.00 3.0
AO,CXL	10/05	SURVEYOR CAPITAL (SURVCDRGS)	041	UNP	B	1,000	85.41	n/a	n/a	30.00 3.0
AO,CRT	10/05	MERRILL ASSET/BLACKROCK (MERR44)	297	UPL	B	1,700	27.74	n/a	27-Sep	68.00 4.0
AO,CXL	10/05	MERRILL ASSET/BLACKROCK (MERR44)	297	UPL	B	1,700	27.74	n/a	27-Sep	68.00 4.0
AO,CRT	10/05	MERRILL ASSET/BLACKROCK (MERR3400)	297	UPL	B	4,700	27.74	n/a	27-Sep	188.00 4.0
AO,CXL	10/05	MERRILL ASSET/BLACKROCK (MERR3400)	297	UPL	B	4,700	27.74	n/a	27-Sep	188.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	UPS	S	425	65.34	n/a	n/a	17.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	UPS	S	425	65.34	n/a	n/a	17.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	UTX	S	75	69.21	n/a	n/a	3.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	UTX	S	75	69.21	n/a	n/a	3.00 4.0
AO,CXL	10/05	AVESTA CAP (AVESGSUSE)	229	V	B	13,380	83.69	n/a	24-Aug	401.40 3.0
AO,CRT	10/05	AVESTA CAP (AVESDEUTS)	229	V	B	2,250	83.69	n/a	24-Aug	67.50 3.0
AO,CRT	10/05	AVESTA CAP (AVESDEUTS)	229	V	B	450	83.69	n/a	24-Aug	13.50 3.0
AO,CRT	10/05	AVESTA CAP (AVESDEUTS)	229	V	B	8,920	83.69	n/a	24-Aug	267.60 3.0
AO,CXL	10/05	AVESTA CAP (AVESDEUTS)	229	V	B	2,250	83.69	n/a	24-Aug	67.50 3.0
AO,CXL	10/05	AVESTA CAP (AVESDEUTS)	229	V	B	450	83.69	n/a	24-Aug	13.50 3.0
AO,CXL	10/05	AVESTA CAP (AVESDEUTS)	229	V	B	8,920	83.69	n/a	24-Aug	267.60 3.0
AO,CRT	10/05	AVESTA CAP (AVESGSUSE)	229	V	B	13,380	83.69	n/a	24-Aug	401.40 3.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	V	S	100	84.35	n/a	24-Aug	4.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	V	S	100	84.35	n/a	24-Aug	4.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	VFC	S	75	125.51	n/a	22-Jul	3.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	VFC	S	75	125.51	n/a	22-Jul	3.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	VIAB	S	950	38.90	n/a	n/a	38.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	VIAB	S	950	38.90	n/a	n/a	38.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	10/05	KAM ADVISORS LLC (KAMAMS)	041	VMC	SS	47,700	28.22	n/a	n/a	1431.00	3.0
AO,CXL	10/05	KAM ADVISORS LLC (KAMAMS)	041	VMC	SS	47,700	28.22	n/a	n/a	1431.00	3.0
AO,CRT	10/05	BNP PARIBAS SEC (BNPPMAIN)	040	WEN	B	250,000	4.52	n/a	3-Oct	6250.00	2.5
AO,CXL	10/05	BNP PARIBAS SEC (BNPPMAIN)	040	WEN	B	250,000	4.52	n/a	3-Oct	6250.00	2.5
AO,CRT	10/05	CARDINAL CAPITAL (CARDNTMFD)	044	WEN	S	3,300	4.55	n/a	3-Oct	165.00	5.0
AO,CXL	10/05	CARDINAL CAPITAL (CARDNTMFD)	044	WEN	S	3,300	4.55	n/a	3-Oct	165.00	5.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	WFC	S	600	24.02	n/a	27-Sep	24.00	4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	WFC	S	600	24.02	n/a	27-Sep	24.00	4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	WLP	S	1,100	63.18	n/a	n/a	44.00	4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	WLP	S	1,100	63.18	n/a	n/a	44.00	4.0
AO,CRT	10/05	APEX CAPITAL MGMT. (APEXGS)	261	WMT	SS	18,900	52.30	n/a	25-Aug	756.00	4.0
AO,CXL	10/05	APEX CAPITAL MGMT. (APEXGS)	261	WMT	SS	18,900	52.30	n/a	25-Aug	756.00	4.0
AO,CRT	10/05	APEX CAPITAL MGMT. (APEXUBS)	261	WMT	SS	2,000	52.30	n/a	25-Aug	80.00	4.0
AO,CXL	10/05	APEX CAPITAL MGMT. (APEXUBS)	261	WMT	SS	2,000	52.30	n/a	25-Aug	80.00	4.0
AO,CRT	10/05	APEX CAPITAL MGMT. (APEXMORGAN)	261	WMT	SS	54,100	52.30	n/a	25-Aug	2164.00	4.0
AO,CXL	10/05	APEX CAPITAL MGMT. (APEXMORGAN)	261	WMT	SS	54,100	52.30	n/a	25-Aug	2164.00	4.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	WRI	S	500	19.87	n/a	n/a	20.00	4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	WRI	S	500	19.87	n/a	n/a	20.00	4.0
AO,CRT	10/05	KAM ADVISORS LLC (KAMAMS)	041	XLI	C	45,400	29.72	n/a	n/a	1362.00	3.0
AO,CXL	10/05	KAM ADVISORS LLC (KAMAMS)	041	XLI	C	45,400	29.72	n/a	n/a	1362.00	3.0
AO,CRT	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	XOM	S	250	73.59	n/a	n/a	10.00	4.0
AO,CXL	10/05	BESSEMER INVESTMENT (BESSMAIN)	085	XOM	S	250	73.59	n/a	n/a	10.00	4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/05	LEVIN CAPITAL STRATEGIES (LEVSMS)	041	XOM	B	20,000	73.63	n/a	n/a	600.00 3.0
AO,CXL	10/05	LEVIN CAPITAL STRATEGIES (LEVSMS)	041	XOM	B	20,000	73.63	n/a	n/a	600.00 3.0
AO,CRT	10/05	KLEINHEINZ CAP PART (KLHZMLMAFD)	031	YUM	B	75,000	49.11	n/a	5-Oct	3750.00 5.0
AO,CXL	10/05	KLEINHEINZ CAP PART (KLHZMLMAFD)	031	YUM	B	75,000	49.11	n/a	5-Oct	3750.00 5.0
AO,CRT	10/05	SUFFOLK CAPITAL MGMT (SUFFRIFM)	040	YUM	B	3,200	48.73	n/a	5-Oct	128.00 4.0
AO,CXL	10/05	SUFFOLK CAPITAL MGMT (SUFFRIFM)	040	YUM	B	3,200	48.73	n/a	5-Oct	128.00 4.0
AO,CRT	10/05	SUFFOLK CAPITAL MGMT (SUFFOMNI)	040	YUM	B	1,500	48.73	n/a	5-Oct	60.00 4.0
AO,CXL	10/05	SUFFOLK CAPITAL MGMT (SUFFOMNI)	040	YUM	B	1,500	48.73	n/a	5-Oct	60.00 4.0
AO,CRT	10/05	SUFFOLK CAPITAL MGMT (SUFFKPL)	040	YUM	B	14,200	48.73	n/a	5-Oct	568.00 4.0
AO,CXL	10/05	SUFFOLK CAPITAL MGMT (SUFFKPL)	040	YUM	B	14,200	48.73	n/a	5-Oct	568.00 4.0
AO,CRT	10/05	SUFFOLK CAPITAL MGMT (SUFFFRTC)	040	YUM	B	4,500	48.73	n/a	5-Oct	180.00 4.0
AO,CXL	10/05	SUFFOLK CAPITAL MGMT (SUFFFRTC)	040	YUM	B	4,500	48.73	n/a	5-Oct	180.00 4.0
AO,CRT	10/05	SUFFOLK CAPITAL MGMT (SUFFILGWU)	040	YUM	B	900	48.73	n/a	5-Oct	36.00 4.0
AO,CXL	10/05	SUFFOLK CAPITAL MGMT (SUFFILGWU)	040	YUM	B	900	48.73	n/a	5-Oct	36.00 4.0
AO,CRT	10/05	SUFFOLK CAPITAL MGMT (SUFFFPPI)	040	YUM	B	5,100	48.73	n/a	5-Oct	204.00 4.0
AO,CXL	10/05	SUFFOLK CAPITAL MGMT (SUFFFPPI)	040	YUM	B	5,100	48.73	n/a	5-Oct	204.00 4.0
AO,CRT	10/05	SUFFOLK CAPITAL MGMT (SUFFFEMG)	040	YUM	B	1,300	48.73	n/a	5-Oct	52.00 4.0
AO,CXL	10/05	SUFFOLK CAPITAL MGMT (SUFFFEMG)	040	YUM	B	1,300	48.73	n/a	5-Oct	52.00 4.0
AO,CRT	10/05	SUFFOLK CAPITAL MGMT (SUFFFRUSS)	040	YUM	B	20,800	48.73	n/a	5-Oct	832.00 4.0
AO,CXL	10/05	SUFFOLK CAPITAL MGMT (SUFFFRUSS)	040	YUM	B	20,800	48.73	n/a	5-Oct	832.00 4.0
AO,CRT	10/05	SUFFOLK CAPITAL MGMT (SUFFFLSP)	040	YUM	B	6,000	48.73	n/a	5-Oct	240.00 4.0
AO,CXL	10/05	SUFFOLK CAPITAL MGMT (SUFFFLSP)	040	YUM	B	6,000	48.73	n/a	5-Oct	240.00 4.0
AO,CRT	10/05	SUFFOLK CAPITAL MGMT (SUFFFFREQ2)	040	YUM	B	22,200	48.73	n/a	5-Oct	888.00 4.0
AO,CXL	10/05	SUFFOLK CAPITAL MGMT (SUFFFFREQ2)	040	YUM	B	22,200	48.73	n/a	5-Oct	888.00 4.0
AO,CRT	10/05	SUFFOLK CAPITAL MGMT (SUFFFRICG2)	040	YUM	B	5,000	48.73	n/a	5-Oct	200.00 4.0
AO,CXL	10/05	SUFFOLK CAPITAL MGMT (SUFFFRICG2)	040	YUM	B	5,000	48.73	n/a	5-Oct	200.00 4.0
AO,CRT	10/05	SUFFOLK CAPITAL MGMT (SUFFFURICG)	040	YUM	B	1,800	48.73	n/a	5-Oct	72.00 4.0
AO,CXL	10/05	SUFFOLK CAPITAL MGMT (SUFFFURICG)	040	YUM	B	1,800	48.73	n/a	5-Oct	72.00 4.0
AO,CRT	10/05	SUFFOLK CAPITAL MGMT (SUFFFBGROWT)	040	YUM	B	5,800	48.73	n/a	5-Oct	232.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/05	SUFFOLK CAPITAL MGMT (SUFFBGROWT)	040	YUM	B	5,800	48.73	n/a	5-Oct	232.00 4.0
AO,CRT	10/05	SUFFOLK CAPITAL MGMT (SUFFMSM)	040	YUM	B	1,200	48.73	n/a	5-Oct	48.00 4.0
AO,CXL	10/05	SUFFOLK CAPITAL MGMT (SUFFMSM)	040	YUM	B	1,200	48.73	n/a	5-Oct	48.00 4.0
AO,CRT	10/05	SUFFOLK CAPITAL MGMT (SUFFBRI)	040	YUM	B	11,200	48.73	n/a	5-Oct	448.00 4.0
AO,CXL	10/05	SUFFOLK CAPITAL MGMT (SUFFBRI)	040	YUM	B	11,200	48.73	n/a	5-Oct	448.00 4.0
AO,CRT	10/05	SUFFOLK CAPITAL MGMT (SUFFSOCALE)	040	YUM	B	6,900	48.73	n/a	5-Oct	276.00 4.0
AO,CXL	10/05	SUFFOLK CAPITAL MGMT (SUFFSOCALE)	040	YUM	B	6,900	48.73	n/a	5-Oct	276.00 4.0
AO,CRT	10/05	TUDOR INVESTORS (TUDRMAIN)	028	ZUMZ	SS	12,500	18.83	n/a	n/a	375.00 3.0
AO,CXL	10/05	TUDOR INVESTORS (TUDRMAIN)	028	ZUMZ	SS	12,500	18.83	n/a	n/a	375.00 3.0
TOTAL (AO, CXL, CRT) :										1,353.50
TOTAL (Trade Date):										100,675.16
TOTAL (AO, CXL, CRT):										1,353.50
TOTAL (RUN DATE) / NFS:										102,028.66

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