

## **Daily Compliance Activity Report** Trade Date: 09/10/2008

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

					- 0		mule i o i	THE IDE THE PROPERTY OF THE PR			
Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.		
COUGAR TRADING	044	AB	S	20,000	49.49	10-Sep	10-Sep	1,000.00	5.0		
COUGAR TRADING	044	AEO	S	10,000	16.77	n/a	5-Sep	500.00	5.0		
J L F ASSET MGMT	039	AEO	В	51,700	16.68	n/a	5-Sep	2,068.00	4.0		
MILLENIUM KOZLOW	028	AEO	S	5,000	16.63	n/a	5-Sep	250.00	5.0		
COUGAR TRADING	044	ANF	В	5,000	49.52	7-Aug	5-Sep	250.00	5.0		
COUGAR TRADING	044	ANF	S	5,000	49.96	7-Aug	5-Sep	250.00	5.0		
MISSOURI VALLEY PART	046	ANF	В	27,545	49.37	7-Aug	5-Sep	1,377.25	5.0		
PRINCIPLE CAPITAL	040	ANF	В	80,100	49.81	7-Aug	5-Sep	3,204.00	4.0		
COUGAR TRADING	044	ARO	SS	20,000	34.90	28-Apr	5-Sep	1,000.00	5.0		
PRINCIPLE CAPITAL	040	AVP	SS	81,800	43.52	31-Jul	31-Jul	3,272.00	4.0		
BALYASNY ASSET MGMT	044	BBBY	SS	20,000	31.61	n/a	n/a	1,000.00	5.0		
BUCK CAPITAL MGMT	001	BBY	В	20,000	45.28	n/a	27-Jul	800.00	4.0		
JP MORGAN VENTURES	046	BBY	С	50,000	45.59	n/a	27-Jul	2,500.00	5.0		
HIGHBRIDGE CAPITAL	038	BDX	В	25,000	85.10	n/a	22-Apr	1,250.00	5.0		
HIGHBRIDGE CAPITAL	038	BEC	В	25,000	73.04	n/a	n/a	1,250.00	5.0		
PHILADELPHIA FINANCIAL	033	BEN	В	17,612	95.96	10-Sep	10-Sep	704.48	4.0		
MILLENIUM KOZLOW	028	BHI	S	5,000	64.74	n/a	n/a	250.00	5.0		

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.	
BRIGHTPOINT CAP	067	BJS	С	100,000	21.08	n/a	n/a	4,000.00	4.0	
LATEFF MGMT	035	BLL	В	1,000	43.32	n/a	n/a	250.00	25.0	
JP MORGAN VENTURES	046	CAM	В	25,000	39.40	n/a	n/a	1,250.00	5.0	
WHEELER	800	CBI	В	1,000	23.80	n/a	n/a	0.00	0.0	
LEDDY	035	СНК	S	350	40.33	n/a	n/a	0.00	0.0	
NOMURA CAPITAL	045	СКН	S	1,500	82.59	n/a	n/a	75.00	5.0	
MS PRINCIPAL STRATEGIES	041	CLMS	SS	300	20.00	13-Aug	8-Sep	15.00	5.0	
JP MORGAN VENTURES	046	COL	S	25,000	49.66	n/a	n/a	1,250.00	5.0	
MATRIX ASSET ADV.	036	COV	S	5,400	54.55	n/a	n/a	216.00	4.0	
JP MORGAN VENTURES	046	CRL	С	25,000	65.40	n/a	n/a	1,250.00	5.0	
JP MORGAN VENTURES	046	CVD	С	15,000	96.35	n/a	n/a	750.00	5.0	
THE JAY GOLDMAN	034	DDS	S	10,000	13.60	n/a	n/a	400.00	4.0	
MUHLENKAMP FUND	046	DVN	S	87 <b>,</b> 700	88.62	7-May	21-Aug	4,385.00	5.0	
THE BOSTON COMPANY	401	EL	В	4,000	52.48	15-Aug	4-Sep	160.00	4.0	
S CAST	016	EPG	В	300	1.85	n/a	n/a	0.00	0.0	
	BRIGHTPOINT CAP  LATEFF MGMT  JP MORGAN VENTURES  WHEELER  LEDDY  NOMURA CAPITAL  MS PRINCIPAL STRATEGIES  JP MORGAN VENTURES  MATRIX ASSET ADV.  JP MORGAN VENTURES  THE JAY GOLDMAN  MUHLENKAMP FUND  THE BOSTON COMPANY	BRIGHTPOINT CAP  LATEFF MGMT  .035  JP MORGAN VENTURES  .046  WHEELER  .008  LEDDY  .035  NOMURA CAPITAL  .045  MS PRINCIPAL STRATEGIES  .041  JP MORGAN VENTURES  .046  MATRIX ASSET ADV.  .036  JP MORGAN VENTURES  .046  JP MORGAN VENTURES  .046  THE JAY GOLDMAN  .034  MUHLENKAMP FUND  .046  THE BOSTON COMPANY  .041	BRIGHTPOINT CAP 067 BJS  LATEFF MGMT 035 BLL  JP MORGAN VENTURES 046 CAM  WHEELER 008 CBI  LEDDY 035 CHK  NOMURA CAPITAL 045 CKH  MS PRINCIPAL STRATEGIES 041 CLMS  JP MORGAN VENTURES 046 COL  MATRIX ASSET ADV. 036 COV  JP MORGAN VENTURES 046 CRL  JP MORGAN VENTURES 046 CVD  THE JAY GOLDMAN 034 DDS  MUHLENKAMP FUND 046 DVN  THE BOSTON COMPANY 401 EL	BRIGHTPOINT CAP  LATEFF MGMT  JP MORGAN VENTURES  046  CAM  B  WHEELER  008  CBI  B  LEDDY  035  CHK  S  NOMURA CAPITAL  045  CKH  S  MS PRINCIPAL STRATEGIES  041  CLMS  SS  JP MORGAN VENTURES  046  COL  S  MATRIX ASSET ADV.  036  COV  S  JP MORGAN VENTURES  046  CVD  C  THE JAY GOLDMAN  034  DDS  S  MUHLENKAMP FUND  046  DVN  S  THE BOSTON COMPANY  401  EL  B	BRIGHTPOINT CAP 067 BJS C 100,000  LATEFF MGMT 035 BLL B 1,000  JP MORGAN VENTURES 046 CAM B 25,000  WHEELER 008 CBI B 1,000  LEDDY 035 CHK S 350  NOMURA CAPITAL 045 CKH S 1,500  MS PRINCIPAL STRATEGIES 041 CLMS SS 300  JP MORGAN VENTURES 046 COL S 25,000  MATRIX ASSET ADV. 036 COV S 5,400  JP MORGAN VENTURES 046 CRL C 25,000  JP MORGAN VENTURES 046 CVD C 15,000  THE JAY GOLDMAN 034 DDS S 10,000  MUHLENKAMP FUND 046 DVN S 87,700  THE BOSTON COMPANY 401 EL B 4,000	BRIGHTPOINT CAP 067 BJS C 100,000 21.08  LATEFF MGMT 035 BLL B 1,000 43.32  JP MORGAN VENTURES 046 CAM B 25,000 39.40  WHEELER 008 CBI B 1,000 23.80  LEDDY 035 CHK S 350 40.33  NOMURA CAPITAL 045 CKH S 1,500 82.59  MS PRINCIPAL STRATEGIES 041 CLMS SS 300 20.00  JP MORGAN VENTURES 046 COL S 25,000 49.66  MATRIX ASSET ADV. 036 COV S 5,400 54.55  JP MORGAN VENTURES 046 CRL C 25,000 65.40  JP MORGAN VENTURES 046 CVD C 15,000 96.35  THE JAY GOLDMAN 034 DDS S 10,000 13.60  MUHLENKAMP FUND 046 DVN S 87,700 88.62  THE BOSTON COMPANY 401 EL B 4,000 52.48	BRIGHTPOINT CAP 067 BJS C 100,000 21.08 n/a  LATEFF MGMT 035 BLL B 1,000 43.32 n/a  JP MORGAN VENTURES 046 CAM B 25,000 39.40 n/a  WHEELER 008 CBI B 1,000 23.80 n/a  LEDDY 035 CHK S 350 40.33 n/a  NOMURA CAPITAL 045 CKH S 1,500 82.59 n/a  MS PRINCIPAL STRATEGIES 041 CLMS SS 300 20.00 13-Aug  JP MORGAN VENTURES 046 COL S 25,000 49.66 n/a  MATRIX ASSET ADV. 036 COV S 5,400 54.55 n/a  JP MORGAN VENTURES 046 CRL C 25,000 65.40 n/a  JP MORGAN VENTURES 046 CVD C 15,000 96.35 n/a  THE JAY GOLDMAN 034 DDS S 10,000 13.60 n/a  MUHLENKAMP FUND 046 DVN S 87,700 88.62 7-May  THE BOSTON COMPANY 401 EL B 4,000 52.48 15-Aug	BRIGHTPOINT CAP 067 BJS C 100,000 21.08 n/a n/a  LATEFF MGMT 035 BLL B 1,000 43.32 n/a n/a  JP MORGAN VENTURES 046 CAM B 25,000 39.40 n/a n/a  WHEELER 008 CBI B 1,000 23.80 n/a n/a  LEDDY 035 CHK S 350 40.33 n/a n/a  NOMURA CAPITAL 045 CKH S 1,500 82.59 n/a n/a  MS PRINCIPAL STRATEGIES 041 CLMS SS 300 20.00 13-Aug 8-Sep  JP MORGAN VENTURES 046 COL S 25,000 49.66 n/a n/a  MATRIX ASSET ADV. 036 COV S 5,400 54.55 n/a n/a  JP MORGAN VENTURES 046 CVD C 25,000 65.40 n/a n/a  THE JAY GOLDMAN 034 DDS S 10,000 13.60 n/a n/a  MUHLENKAMP FUND 046 DVN S 87,700 88.62 7-May 21-Aug  THE BOSTON COMPANY 401 EL B 4,000 52.48 15-Aug 4-Sep	BRICHTPOINT CAP 067 BJS C 100,000 21.08 n/a n/a 4,000.00  LATEFF MGMT 035 BLL B 1,000 43.32 n/a n/a 250.00  JP MORGAN VENTURES 046 CAM B 25,000 39.40 n/a n/a 1,250.00  WHEELER 008 CBI B 1,000 23.80 n/a n/a 0.00  LEDDY 035 CHK S 350 40.33 n/a n/a 0.00  NOMURA CAPITAL 045 CKH S 1,500 82.59 n/a n/a n/a 75.00  MS PRINCIPAL STRATEGIES 041 CLMS SS 300 20.00 13-Aug 8-Sep 15.00  JP MORGAN VENTURES 046 COL S 25,000 49.66 n/a n/a 1,250.00  MATRIX ASSET ADV. 036 CVV S 5,400 54.55 n/a n/a 1,250.00  JP MORGAN VENTURES 046 CRL C 25,000 65.40 n/a n/a 1,250.00  JP MORGAN VENTURES 046 CVD C 15,000 96.35 n/a n/a 750.00  THE JAY GOLDMAN 034 DDS S 10,000 13.60 n/a n/a 400.00  MUHLENKAMP FUND 046 DVN S 87,700 88.62 7-May 21-Aug 4,385.00	BRIGHTPOINT CAP 067 BJS C 100,000 21.08 n/a n/a 4,000.00 25.00  LATEFF MGMT 035 BLL B 1,000 43.32 n/a n/a 250.00 25.00  JP MORCAN VENTURES 046 CAM B 25,000 39.40 n/a n/a n/a 1,250.00 5.00  WHEELER 008 CBI B 1,000 23.80 n/a n/a n/a 0.00 0.00  LEDDY 035 CHK S 350 40.33 n/a n/a n/a 0.00 0.00  NOMURA CAPITAL 045 CKH S 1,500 82.59 n/a n/a n/a 75.00 5.00  MS PRINCIPAL STRATEGIES 041 CLMS SS 300 20.00 13-Aug 8-Sep 15.00 5.00  JP MORGAN VENTURES 046 COL S 25,000 49.66 n/a n/a n/a 1,250.00 5.00  MATRIX ASSET ADV. 036 COV S 5,400 54.55 n/a n/a n/a 216.00 4.00  JP MORGAN VENTURES 046 CRL C 25,000 65.40 n/a n/a n/a 1,250.00 5.00  JP MORGAN VENTURES 046 CRL C 25,000 65.40 n/a n/a n/a 75.00 5.00  JP MORGAN VENTURES 046 CRL C 25,000 65.40 n/a n/a n/a 75.00 5.00  HATRIX ASSET ADV. 036 COV S 15,000 96.35 n/a n/a n/a 75.00 5.00  HOLLENKAMP FUND 046 DVN S 87,700 88.62 7-May 21-Aug 4,385.00 5.00  HUHLENKAMP FUND 046 DVN S 87,700 88.62 7-May 21-Aug 4,385.00 5.00

											_
Account	RR #	Symbol	B/S		Shares	Price	MRI	Research	Comm.	Shr.	
HIGHBRIDGE CAPITAL	038	FISV	В		7,000	51.84	n/a	n/a	350.00	5.0	
ADAGE CAPITAL MGMT	030	FL		S	142 <b>,</b> 927	17.49	11-Aug	22-Aug	5,717.08	4.0	
COUGAR TRADING	044	FOSL	В		10,000	30.29	n/a	13-Aug	500.00	5.0	
BUCK CAPITAL MGMT	001	GIL	В		36,000	24.83	8-Sep	8-Sep	1,440.00	4.0	
COUGAR TRADING	044	GIL	В		20,000	25.05	8-Sep	8-Sep	1,000.00	5.0	
WAGONHOUND/NIC	048	GIL	В		11,906	24.95	8-Sep	8-Sep	476.24	4.0	
WHITE PINE CAPITAL	030	GIL	В		59,025	24.90	8-Sep	8-Sep	2,951.25	5.0	
TRELLUS PARTNERS LP	028	GNTX		SS	10,000	16.35	24-Jun	28-Jul	500.00	5.0	
TRELLUS PARTNERS LP	028	GPI		SS	10,000	23.85	10-Jun	30-Jul	500.00	5.0	
S CAST	016	GSI	В		70	9.70	n/a	n/a	0.00	0.0	
JP MORGAN VENTURES	046	GT		S	50,000	17.32	n/a	n/a	2,500.00	5.0	
LEHMAN PROPRIETARY TRAD	041	GYMB	В		50,000	39.57	11-Jul	5-Sep	2,000.00	4.0	
NEUBERGER BERMAN	036	HCN		S	30,000	48.03	n/a	n/a	1,350.00	4.5	
JP MORGAN VENTURES	046	HD	С		50,000	29.27	n/a	27-Jul	2,500.00	5.0	
BUCK CAPITAL MGMT	001	нот		ss	80,000	37.47	n/a	n/a	3,200.00	4.0	
ROTHSCHILD ASSET	040	HRL		S	13,300	36.53	n/a	n/a	598.50	4.5	
HIGHBRIDGE/MS OLDS	041	IACID	В		23,100	17.57	n/a	n/a	924.00	4.0	

											_
Account	RR #	Symbol	B/S	5	Shares	Price	MRI	Research	Comm.	\$/Shr.	
BACKBAY	041	IP		S	7,500	29.23	1-Aug	1-Aug	375.00	5.0	
LEDDY	035	IVZ		S	700	24.70	4-Aug	10-Sep	0.00	0.0	
BUCK CAPITAL MGMT	001	JCG	В		135,700	30.17	n/a	27-Aug	5,428.00	4.0	
COUGAR TRADING	044	JCG	В		5,000	30.60	n/a	27-Aug	250.00	5.0	
BUCK CAPITAL MGMT	001	JNY		SS	80,000	21.06	n/a	30-Jul	3,200.00	4.0	
COUGAR TRADING	044	JWN		S	10,000	34.71	10-Jul	5-Sep	500.00	5.0	
AVESTA CAP	229	KMB	В		10,000	64.84	28-Aug	28-Aug	500.00	5.0	
COUGAR TRADING	044	KSS	В		15,000	52.35	n/a	5-Sep	750.00	5.0	
MISSOURI VALLEY PART	046	KSS		S	57 <b>,</b> 515	52.78	n/a	5-Sep	2,875.75	5.0	
BUCK CAPITAL MGMT	001	LIZ	В		125,000	18.95	n/a	28-Aug	5,000.00	4.0	
WAGONHOUND/NIC	048	LPX	В		14,238	10.62	n/a	8-Sep	569.52	4.0	
EPOCH INV MGMT	030	MA	В		4,900	212.73	n/a	6-Aug	196.00	4.0	
MISSOURI VALLEY PART	046	MCD		S	29 <b>,</b> 950	63.63	9-Sep	9-Sep	1,497.50	5.0	
SANDLER O'NEILL ASSET	031	MER		SS	50,000	23.71	24-Jun	15-Aug	2,500.00	5.0	
MISSOURI VALLEY PART	046	MET	В		15,840	56.28	n/a	n/a	792.00	5.0	
HIGHBRIDGE CAPITAL	038	МОН	В		24,000	32.62	n/a	n/a	1,200.00	5.0	

Account	RR #	Symbol	В/:	s	Shares	Price	MRI	Research	Comm.	¢/Shr.
BUCK	015	MOJVD		s	15	1.70	n/a	n/a	0.00	0.0
WHEELER	008	MTRX		s	3,600	22.02	n/a	n/a	0.00	0.0
SLS CAPITAL LLC	224	М	В		128,500	21.94	12-Aug	29-Aug	5,140.00	4.0
DENVER INST. ADV	046	NFX		S	300,100	36.87	n/a	n/a	12,004.00	4.0
LATEFF MGMT	035	OLN	В		2,000	22.70	20-Jun	20-Jun	320.00	16.0
BACKBAY	041	PKG		S	34,600	25.17	22-Jul	22-Jul	1,730.00	5.0
MILLENIUM KOZLOW	028	PKG	В		5,000	24.86	22-Jul	22-Jul	250.00	5.0
THIRD POINT MGMT	044	PNRA		SS	25,000	53.00	4-Sep	4-Sep	1,000.00	4.0
CADIAN CAPITAL	067	PVH	В		125,000	40.53	5-May	28-Aug	6,250.00	5.0
LEDDY	035	PVH	ъ	S	500	41.24	5-May	28-Aug	0.00	0.0
							_			
FIRST NEW YORK LEDDY	035	Q	В		50,000	3.74	n/a	n/a	3,000.00	6.0
BULL PATH CAPITAL	044	ROST		SS	23,500	40.00	n/a	n/a	1,175.00	5.0
BACKBAY	041	SSCC		S	5,000	6.76	30-Jul	30-Jul	250.00	5.0
THE JAY GOLDMAN	034	SSI	В		10,000	15.60	n/a	5-Sep	400.00	4.0
COLICAD TRADING	0.4.4	000	В		E 000	E	/ -	/ -	250.00	E 0
COUGAR TRADING	044	SSO	В	C	5 <b>,</b> 000	56.56	n/a	n/a		5.0
COUGAR TRADING	044	SSO		S	5,000	56.20	n/a	n/a	250.00	5.0
BAIRD INVESTMENT	031	SWN	В		6,085	29.30	20-Mar	3-Sep	304.25	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
AMBER CAPITAL	046	TGT	В	100,000	56.83	n/a	5-Sep	5,000.00	5.0
AVESTA CAP	229	TGT	В	25,000	57.14	n/a	5-Sep	1,250.00	5.0
MISSOURI VALLEY PART	046	TGT		16,890	56.80		5-Sep	844.50	5.0
MISSOURI VALLEI PARI	046	IGI	В	10,090	30.00	n/a	5-sep	044.50	3.0
COUGAR TRADING	044	TIF	SS	15,000	43.89	n/a	28-Aug	750.00	5.0
CADIAN CAPITAL	067	TJX	SS	150,000	34.06	11-Aug	5-Sep	7,500.00	5.0
BUCK CAPITAL MGMT	001	TWB	В	20,000	11.02	n/a	20-Aug	800.00	4.0
HIGHBRIDGE CAPITAL	038	UNH	В	15,000	29.41	n/a	n/a	750.00	5.0
HARVEST MGMT	039	URBN	S	25,000	35.62	14-Aug	14-Aug	1,250.00	5.0
MILLENIUM KOZLOW	028	VC	В	15,000	3.32	n/a	31-Jul	450.00	3.0
TRELLUS PARTNERS LP	028	VC	S	66,810	3.20	n/a	31-Jul	2,004.30	3.0
LEDDY	035	VC	S	3,700	3.29	n/a	31-Jul	0.00	0.0
LEHMAN PROPRIETARY TRAD	041	WAG	В	50,000	35.53	n/a	n/a	2,000.00	4.0
COUGAR TRADING	044	WFC	SS	5,000	31.94	n/a	n/a	250.00	5.0
JP MORGAN VENTURES	046	WINN	В	20,000	14.84	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	WRC	S	40,000	50.72	8-Aug	28-Aug	1,600.00	4.0
CADIAN CAPITAL	067	WRC	В	29,000	50.23	8-Aug	28-Aug	1,450.00	5.0
COUGAR TRADING	044	WRC	SS	5,000	50.35	8-Aug	28-Aug	250.00	5.0
BEAR STEARNS ASSET MGMT.	033	WSM	В	50,000	18.64	n/a	n/a	2,000.00	4.0

Account	RR #	R # Symbol B/S		Shares Price		MRI	Research	Comm.¢/Shr.		
REINHART & MAHONEY	031	XOM	В	10,100	74.82	n/a	n/a	505.00	5.0	
BUCK CAPITAL MGMT	001	ZQK	В	300,000	7.44	27-Aug	5-Sep	12,000.00	4.0	
J L F ASSET MGMT	039	ZQK	S	86,000	7.37	27-Aug	5-Sep	3,440.00	4.0	
MILLENIUM KOZLOW	028	ZUMZ	В	15,000	17.32	n/a	n/a	750.00	5.0	

TOTAL (Trade Date): 165,234.62

## Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CXL	09/08	PRINCIPLE CAPITAL (PRINUBSPB)	040	ANF	В	15,000	49.38	7-Aug	5-Sep	450.00	3.0
AO, CRT	09/08	PRINCIPLE CAPITAL (PRINUBSPB)	040	ANF	В	15,000	49.38	7-Aug	5-Sep	600.00	4.0
AO,	09/09	KENNEDY CAPITAL (KENN894)	046	CASY	S	300	30.31	n/a	n/a	12.00	4.0
AO,CXL	09/09	MATLIN PATTERSON (MATLGSPB)	046	DAI	SS	20,000	57.58	n/a	n/a	1000.00	5.0
AO,CRT	09/09	MATLIN PATTERSON (MATLGSPB)	046	DAI	SS	20,000	57.58	n/a	n/a	600.00	3.0
AO, CXL	09/09	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	GES	S	24,900	42.29	n/a	n/a	996.00	4.0
AO, CRT	09/09	BUCK CAPITAL MGMT (BUCKMSMAIN)	001	GES	s	25,000	42.29	n/a	n/a	1000.00	4.0
AO, CXL	09/09	BUCK CAPITAL MGMT (BUCKGIL)	001	GES	S	100	42.29	n/a	n/a	4.00	4.0
AO,	09/09	DURANGO INVESTMENTS (DURAMORGAN)	031	LNCR	S	20,000	34.32	n/a	22-Jul	800.00	4.0
AO,	09/09	NOMURA CAPITAL (NOMUBATT2)	045	RT	В	3,800	8.18	n/a	n/a	152.00	4.0
AO,	09/09	NOMURA CAPITAL (NOMUBSMAIN)	045	RT	В	8,600	8.18	n/a	n/a	344.00	4.0
AO,	09/09	NOMURA CAPITAL (NOMUSTRATE)	045	RT	В	2,600	8.18	n/a	n/a	104.00	4.0
AO,	09/09	WADDELL AND REED (WADD002)	046	SMBL	В	141,700	7.00	n/a	n/a	2125.50	1.5
AO,	09/09	WADDELL AND REED (WADD077)	046	SMBL	В	253,300	7.00	n/a	n/a	3799.50	1.5
AO,	09/09	WADDELL AND REED (WADD522)	046	SMBL	В	6,700	7.00	n/a	n/a	100.50	1.5
AO,	09/09	WADDELL AND REED (WADD535)	046	SMBL	В	10,100	7.00	n/a	n/a	151.50	1.5
AO,CXL	09/09	SCOPUS FUND (SCOPBANC O)	041	SSCC	S	51,000	6.75	30-Jul	30-Jul	2550.00	5.0
AO,CRT	09/09	SCOPUS FUND (SCOPBANC O)	041	SSCC	S	51,750	6.75	30-Jul	30-Jul	2587.50	5.0
AO,CXL	09/09	SCOPUS FUND (SCOPUBS)	041	SSCC	S	249,000	6.75	30-Jul	30-Jul	12450.00	5.0
AO, CRT	09/09	SCOPUS FUND (SCOPUBS)	041	SSCC	S	248,250	6.75	30-Jul	30-Jul	12412.50	5.0
AO,CXL	09/09	TRELLUS PARTNERS LP (TRELMAIN)	028	VC	S	22,600	3.38	n/a	31-Jul	678.00	3.0
AO,	09/09	TRELLUS PARTNERS LP (TRELMAIN)	028	VC	S	22,600	3.38	n/a	31-Jul	678.00	3.0

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm	¢/Shr.
AO,	09/09	HIGHFIELDS CAP MGMT (HIGFBSPB)	039	XTO	В	200,000	45.41	n/a	n/a	8000.00	4.0
TOTAL	(AO, (	CXL, CRT):							15,	339.00	
TOTAL	(Trad	e Date):							165,	234.62	
TOTAL	(AO,	CXL, CRT):							15 <b>,</b>	339.00	
TOTAL	(RUN	DATE) / NFS:							180,	573.62	

## 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