



Daily Compliance Activity Report

Trade Date: 03/06/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BULL PATH CAPITAL	044	AEOS	B	35,731	29.46	4-Jan	5-Mar	1,786.55	5.0
ANTEUS ASSOC.BAEL	065	AFL	S	186	46.28	n/a	n/a	9.30	5.0
ANTEUS ASSOC.BAEL	065	AGR	S	7	21.29	n/a	n/a	0.35	5.0
ANTEUS ASSOC.BAEL	065	AIG	S	119	69.32	n/a	n/a	5.95	5.0
ANTEUS ASSOC.BAEL	065	ALU	S	46	12.01	n/a	n/a	2.30	5.0
COUGAR TRADING	044	ANF	B	10,000	74.35	2-Feb	5-Mar	500.00	5.0
J L F ASSET MGMT	039	ANN	B	66,300	35.77	5-Jan	5-Mar	1,053.43	2.0
ANTEUS ASSOC.BAEL	065	ATI	S	357	97.65	n/a	n/a	17.85	5.0
LEDDY	035	AVZ	S	800	23.00	5-Mar	6-Mar	0.00	0.0
ANTEUS ASSOC.BAEL	065	AV	S	20	12.06	n/a	22-Mar	1.00	5.0
ANTEUS ASSOC.BAEL	065	AXA	S	123	40.92	n/a	n/a	6.15	5.0
BUCK CAPITAL MGMT	001	AZO	B	5,000	122.80	n/a	n/a	200.00	4.0
ANTEUS ASSOC.BAEL	065	A	S	52	30.78	n/a	n/a	2.60	5.0
LUCHANSKY2	036	BBT	C	100	41.24	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	BBW	B	5,000	25.81	8-Jan	21-Feb	200.00	4.0
SAC TRADING HOWARD	038	BBW	SS	15,000	25.85	8-Jan	21-Feb	750.00	5.0
BUCK CAPITAL MGMT	001	BBY	B	20,000	46.14	13-Dec	21-Feb	800.00	4.0
CHART WELL ADV	243	BBY	B	7,050	45.99	13-Dec	21-Feb	317.19	4.5
SOROS	036	BBY	SS	21,900	45.54	13-Dec	21-Feb	1,095.00	5.0
PDY3	243	BBY	B	200	45.99	13-Dec	21-Feb	9.00	4.5
BALYASNY ASSET MGMT	044	BEN	B	5,000	114.73	9-Nov	5-Mar	250.00	5.0
LOOMIS SALES/BOSTON	036	BIG	S	73,507	23.65	16-Nov	6-Mar	2,940.28	4.0
UBS OCONNOR	031	BIG	SS	10,000	23.64	16-Nov	6-Mar	0.00	0.0
VARDON PARTNERS	035	BJ	SS	20,000	30.97	n/a	6-Mar	1,000.00	5.0
BALYASNY ASSET MGMT	044	BLK	B	5,000	155.16	n/a	6-Mar	250.00	5.0
ANTEUS ASSOC.BAEL	065	BMV	S	1,505	26.58	n/a	n/a	75.25	5.0
ANTEUS ASSOC.BAEL	065	BOBE	S	475	35.59	n/a	n/a	23.75	5.0
CENTURION PARTNERS	249	BONT	B	10,000	47.36	9-Feb	5-Mar	500.00	5.0
COUGAR TRADING	044	BONT	B	25,000	47.89	9-Feb	5-Mar	1,250.00	5.0
COUGAR TRADING	044	BONT	SS	5,000	47.47	9-Feb	5-Mar	250.00	5.0
WHEELER	008	BQI	B	10,000	3.23	n/a	n/a	0.00	0.0
BARR	096	BQI	B	13,500	3.23	n/a	n/a	0.00	0.0
ANTEUS ASSOC.BAEL	065	BRL	S	802	48.78	1-Mar	6-Mar	40.10	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ANTEUS ASSOC.BAEL	065	BSX	S	344	15.29	n/a	22-Apr	17.20	5.0
ANTEUS ASSOC.BAEL	065	BUD	S	931	48.43	n/a	n/a	46.55	5.0
BUCK CAPITAL MGMT	001	BWS	B	20,000	49.61	n/a	n/a	800.00	4.0
LUCHANSKY2	036	CACB	C	125	25.34	n/a	n/a	0.00	0.0
KAICHER	064	CBLI	S	1,400	11.25	n/a	n/a	0.00	0.0
ANTEUS ASSOC.BAEL	065	CB	S	201	49.31	n/a	n/a	10.05	5.0
JACOB	068	CEC	B	300	42.39	n/a	n/a	0.00	0.0
SEASONS CAPITAL	040	CIEN	B	200,000	26.34	n/a	22-Mar	10,000.00	5.0
ROYCE TRADING	216	CLE	S	100,000	31.30	3-Nov	5-Mar	5,000.00	5.0
ANTEUS ASSOC.BAEL	065	CMCSA	S	33	25.28	22-Feb	1-Mar	1.65	5.0
ANTEUS ASSOC.BAEL	065	CMVT	S	120	20.90	n/a	n/a	6.00	5.0
TRIBECA/DOUG	040	CNB	B	10,000	25.50	n/a	n/a	400.00	4.0
ANTEUS ASSOC.BAEL	065	CPB	S	1,188	39.68	n/a	n/a	59.40	5.0
ZOLIDIS	011	CRMT	S	500	10.87	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	CRS	B	30,000	114.03	n/a	n/a	1,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ANTEUS ASSOC.BAEL	065	CSCO	S	265	25.76	n/a	22-Mar	13.25	5.0
KENNEDY CAPITAL	046	CSE	S	17,766	24.53	n/a	n/a	710.64	4.0
SOROS	036	CVS	B	160,500	31.21	n/a	n/a	8,025.00	5.0
ANTEUS ASSOC.BAEL	065	C	S	928	49.86	11-Jan	6-Mar	46.40	5.0
ANTEUS ASSOC.BAEL	065	DELL	S	2,863	22.56	n/a	n/a	143.15	5.0
ANTEUS ASSOC.BAEL	065	DGX	S	845	49.35	n/a	n/a	42.25	5.0
BUCK CAPITAL MGMT	001	DGX	B	10,000	49.64	n/a	n/a	400.00	4.0
ANTEUS ASSOC.BAEL	065	DISCA	S	76	16.21	n/a	n/a	3.80	5.0
S.A.C. CAPITAL MGMT.	044	DLM	S	35,000	11.36	n/a	n/a	1,750.00	5.0
ANTEUS ASSOC.BAEL	065	DLTR	S	786	33.77	8-Feb	6-Mar	39.30	5.0
ANTEUS ASSOC.BAEL	065	DOV	S	443	46.69	n/a	n/a	22.15	5.0
LEDDY	035	EDA	B	1,400	10.64	n/a	n/a	0.00	0.0
ANTEUS ASSOC.BAEL	065	EL	S	1,474	46.89	1-Feb	1-Feb	73.70	5.0
KAICHER	064	ENER	B	1,000	29.90	n/a	n/a	0.00	0.0
FARALLON CAP MGMT	040	FBN	B	25,000	17.13	n/a	n/a	750.00	3.0
KARSCH CAPITAL	034	FBN	S	185,000	17.28	n/a	n/a	5,550.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ANTEUS ASSOC.BAEL	065	FDO	S	388	28.25	3-Nov	6-Mar	19.40	5.0
UBS OCONNOR	031	FDO	SS	10,000	28.16	3-Nov	6-Mar	500.00	5.0
BUCK CAPITAL MGMT	001	FD	B	45,000	43.98	26-Jan	5-Mar	1,800.00	4.0
ANTEUS ASSOC.BAEL	065	FHN	S	119	42.37	n/a	n/a	5.95	5.0
BALYASNY ASSET MGMT	044	FII	B	20,000	35.83	n/a	6-Mar	1.79	0.0
CAPITAL GROWTH MGMT.	241	FLR	B	20,000	89.25	n/a	n/a	1,000.00	5.0
COUGAR TRADING	044	FL	B	20,000	22.41	n/a	9-Feb	1,000.00	5.0
VARDON PARTNERS	035	F	B	15,000	7.64	n/a	n/a	750.00	5.0
ANTEUS ASSOC.BAEL	065	GE	S	841	34.59	n/a	n/a	42.05	5.0
ANTEUS ASSOC.BAEL	065	GLW	S	464	20.72	n/a	2-Mar	23.20	5.0
ANTEUS ASSOC.BAEL	065	HBC	S	67	86.99	n/a	n/a	3.35	5.0
LUCHANSKY2	036	HBHC	C	100	44.35	n/a	n/a	0.00	0.0
SAGE ASSET MGMT	012	HDB	B	79,800	64.66	n/a	n/a	3,990.00	5.0
ASCEND PARTNERS	033	HLEX	S	10,000	26.53	n/a	n/a	500.00	5.0
LISTED ERR	099	HMA	B	400	10.70	5-Mar	5-Mar	0.00	0.0
ANTEUS ASSOC.BAEL	065	HPQ	S	271	39.36	n/a	n/a	13.55	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ANTEUS ASSOC.BAEL	065	IBM	S	164	93.09	n/a	n/a	8.20	5.0
BUCK	015	IBN	S	800	40.18	n/a	n/a	0.00	0.0
LEDDY	035	ICON	B	150	20.15	n/a	n/a	0.00	0.0
ANTEUS ASSOC.BAEL	065	IFF	S	679	46.32	30-Jan	2-Mar	33.95	5.0
ANTEUS ASSOC.BAEL	065	INTU	S	499	28.41	n/a	n/a	24.95	5.0
MORGAN LEWIS/MLH	046	IOC	B	10,000	23.65	n/a	n/a	500.00	5.0
ANTEUS ASSOC.BAEL	065	IPG	S	361	12.22	n/a	n/a	18.05	5.0
SUTERA	160	ISE	S	1,000	47.79	26-Oct	5-Mar	0.00	0.0
WYCKOFF	013	JADE	B	300	9.60	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	JCP	B	15,000	77.39	23-Feb	5-Mar	600.00	4.0
ANTEUS ASSOC.BAEL	065	JNJ	S	403	61.61	n/a	22-Apr	20.15	5.0
CHILTON CAPITAL MGMT.	036	JNJ	B	100,000	62.01	n/a	22-Apr	4,000.00	4.0
CUMBERLAND	038	JWN	B	15,000	50.72	27-Feb	5-Mar	600.00	4.0
BUCK CAPITAL MGMT	001	KCP	S	10,000	24.88	n/a	28-Feb	400.00	4.0
ANTEUS ASSOC.BAEL	065	KEY	S	180	37.12	n/a	n/a	9.00	5.0
ZOLIDIS	011	KMX	B	100	50.00	n/a	10-Jan	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ANTEUS ASSOC.BAEL	065	KO	S	236	46.71	n/a	n/a	11.80	5.0
ANTEUS ASSOC.BAEL	065	LBTYA	S	30	29.83	n/a	n/a	1.50	5.0
ANTEUS ASSOC.BAEL	065	LBTYK	S	30	28.29	n/a	n/a	1.50	5.0
ANTEUS ASSOC.BAEL	065	LCAPA	S	38	106.75	n/a	n/a	1.90	5.0
ANTEUS ASSOC.BAEL	065	LEG	S	352	23.68	n/a	n/a	17.60	5.0
MCCARTAN	028	LEH	B	100	74.18	6-Dec	28-Feb	0.00	0.0
ANTEUS ASSOC.BAEL	065	LINTA	S	190	22.43	n/a	n/a	9.50	5.0
ANTEUS ASSOC.BAEL	065	LIZ	S	1,457	43.08	n/a	28-Feb	72.85	5.0
ANTEUS ASSOC.BAEL	065	LLY	S	628	51.76	n/a	n/a	31.40	5.0
BALYASNY ASSET MGMT	044	LM	B	5,000	98.92	n/a	6-Mar	250.00	5.0
ANTEUS ASSOC.BAEL	065	LTD	S	381	25.14	2-Mar	5-Mar	19.05	5.0
ZOLIDIS	011	LVS	S	50	83.75	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	MAA	S	7,520	53.41	n/a	n/a	338.40	4.5
ANTEUS ASSOC.BAEL	065	MCD	S	466	42.55	n/a	6-Feb	23.30	5.0
SAGE ASSET MGMT	012	MCHP	B	25,000	36.52	n/a	n/a	1.83	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BARR	096	MEM	S	100	4.68	n/a	n/a	0.00	0.0
ZOLIDIS	011	MER	S	50	81.31	19-Jan	28-Feb	0.00	0.0
RIDGECRST PARTNERS	035	MHP	C	12,500	64.02	n/a	n/a	625.00	5.0
ANTEUS ASSOC.BAEL	065	MHS	S	159	68.46	n/a	n/a	7.95	5.0
ANTEUS ASSOC.BAEL	065	MMM	S	391	73.25	n/a	2-Mar	19.55	5.0
ANTEUS ASSOC.BAEL	065	MNI	S	58	35.64	n/a	n/a	2.90	5.0
ANTEUS ASSOC.BAEL	065	MO	S	456	83.27	n/a	n/a	22.80	5.0
ANTEUS ASSOC.BAEL	065	MRK	S	1,316	44.34	n/a	n/a	65.80	5.0
ANTEUS ASSOC.BAEL	065	MSFT	S	183	27.75	n/a	3-Apr	9.15	5.0
ANTEUS ASSOC.BAEL	065	MS	S	475	73.00	20-Dec	28-Feb	23.75	5.0
BUCK CAPITAL MGMT	001	NDN	S	10,000	13.96	16-Jan	6-Mar	400.00	4.0
BINDER	007	NEXC	B	200	9.77	n/a	n/a	0.00	0.0
LEDDY	035	NEXC	B	3,200	9.94	n/a	n/a	0.00	0.0
ANTEUS ASSOC.BAEL	065	NWL	S	196	30.08	n/a	n/a	9.80	5.0
COUGAR TRADING	044	NWY	SS	5,000	13.71	1-Dec	5-Mar	250.00	5.0
LEDDY	035	NWY	B	1,200	13.61	1-Dec	5-Mar	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ANTEUS ASSOC.BAEL	065	PBY	S	326	15.10	n/a	n/a	16.30	5.0
HIGHBRIDGE CAPITAL	038	PCL	S	5,000	38.90	n/a	30-Jan	250.00	5.0
ANTEUS ASSOC.BAEL	065	PFE	S	214	24.87	n/a	31-Mar	10.70	5.0
MAZAMA CAPITAL MGMT.	035	PJC	B	35,000	61.03	n/a	n/a	1,400.00	4.0
BUCK CAPITAL MGMT	001	PSS	B	140,000	31.46	n/a	n/a	5,600.00	4.0
COUGAR TRADING	044	PSUN	B	5,000	17.28	n/a	5-Mar	250.00	5.0
BUCK CAPITAL MGMT	001	PVH	B	5,000	52.20	18-Jan	16-Feb	200.00	4.0
MERRILL LYNCH STRATEGICI	034	PX	B	20,000	60.72	n/a	2-Mar	1,000.00	5.0
ANTEUS ASSOC.BAEL	065	QCOM	S	597	39.45	n/a	n/a	29.85	5.0
BINDER	007	RDEN	B	100	20.71	5-Feb	5-Feb	0.00	0.0
ANTEUS ASSOC.BAEL	065	RF	S	341	35.14	n/a	n/a	17.05	5.0
DENVER INST. ADV	046	RL	S	37,200	82.79	2-Feb	16-Feb	1,860.00	5.0
WHALE ROCK CAP	030	RTH	B	19,000	101.26	n/a	n/a	760.00	4.0
ANTEUS ASSOC.BAEL	065	SCHW	S	2,781	18.04	n/a	n/a	139.05	5.0
BINDER	007	SDS	B	35	61.58	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEDDY	035	SDS	S	2,100	61.50	n/a	n/a	0.00	0.0
ANTEUS ASSOC.BAEL	065	SGP	S	95	22.98	n/a	n/a	4.75	5.0
MCCARTAN	028	SHOO	S	200	29.82	n/a	n/a	0.00	0.0
PIVOT CAP	034	SKS	B	13,500	18.75	n/a	n/a	540.00	4.0
KAICHER	064	SNCR	S	2,000	17.76	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SSI	B	5,000	20.71	26-Feb	5-Mar	200.00	4.0
ANTEUS ASSOC.BAEL	065	STI	S	731	84.56	n/a	n/a	36.55	5.0
ANTEUS ASSOC.BAEL	065	TDY	S	102	36.56	n/a	n/a	5.10	5.0
PILOT ADV	038	TEX	B	15,000	64.08	n/a	n/a	600.00	4.0
ANTEUS ASSOC.BAEL	065	TFSM	S	38	7.94	n/a	n/a	1.90	5.0
ADAGE CAPITAL MGMT	030	TJX	B	83,091	26.96	n/a	5-Mar	3,323.64	4.0
PIVOT CAP	034	TJX	B	13,500	26.64	n/a	5-Mar	540.00	4.0
ANTEUS ASSOC.BAEL	065	TRB	S	212	30.10	n/a	n/a	10.60	5.0
ANTEUS ASSOC.BAEL	065	TRV	S	53	51.28	n/a	n/a	2.65	5.0
ANTEUS ASSOC.BAEL	065	TWB	S	27	34.89	22-Feb	22-Feb	1.35	5.0
COUGAR TRADING	044	TWB	B	10,000	34.93	22-Feb	22-Feb	500.00	5.0
LISTED ERR	099	TWB	B	1,089	34.90	22-Feb	22-Feb	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LISTED ERR	099	TWB	S	1,089	34.66	22-Feb	22-Feb	0.00	0.0
ANTEUS ASSOC.BAEL	065	TWX	S	1,089	19.89	n/a	n/a	54.45	5.0
ANTEUS ASSOC.BAEL	065	T	S	11	35.78	26-Jan	5-Mar	0.55	5.0
GENERAL ELECTIC CO	033	UNH	B	35,591	53.80	n/a	n/a	1,601.63	4.5
WEISS PECK	040	URBN	C	13,500	24.86	7-Dec	9-Feb	675.00	5.0
ANTEUS ASSOC.BAEL	065	VRGY	S	6	23.92	n/a	n/a	0.30	5.0
EFSTATHIOU	044	VSL	B	200	16.50	n/a	n/a	0.00	0.0
MERRILL ASSET	032	WBS	S	10,500	48.21	n/a	n/a	525.00	5.0
ANTEUS ASSOC.BAEL	065	WB	S	561	54.52	n/a	n/a	28.05	5.0
HOTCHKIS & WILEY	035	WCI	S	33,000	20.14	n/a	n/a	1,650.00	5.0
LEDDY	035	WDR	S	700	23.02	5-Mar	5-Mar	0.00	0.0
SOROS	036	WEN	SS	32,600	30.67	12-Dec	5-Feb	1,630.00	5.0
SOROS	036	WMT	B	103,800	48.08	n/a	21-Feb	5,190.00	5.0
LISTED ERR	099	WMT	B	34,600	48.12	n/a	21-Feb	0.00	0.0
LISTED ERR	099	WMT	SS	34,600	48.12	n/a	21-Feb	0.00	0.0
ANTEUS ASSOC.BAEL	065	WTM	S	67	563.01	n/a	n/a	3.35	5.0
ANTEUS ASSOC.BAEL	065	XL	S	83	70.18	n/a	n/a	4.15	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MCCARTAN	028	XOHO	S	600	4.33	n/a	n/a	0.00	0.0
ANTEUS ASSOC.BAEL	065	XOM	S	130	70.90	n/a	n/a	6.50	5.0
ANTEUS ASSOC.BAEL	065	ZMH	S	150	83.33	n/a	n/a	7.50	5.0
ASCEND PARTNERS	033	ZMH	C	36,000	83.87	n/a	n/a	1,800.00	5.0
COUGAR TRADING	044	ZQK	B	5,000	13.36	9-Feb	1-Mar	250.00	5.0
MERRILL LYNCH STRATEGICI	034	ZQK	S	15,000	13.41	9-Feb	1-Mar	750.00	5.0
TOTAL (Trade Date):								98,303.43	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	03/05	GRISANTTI BROWN & PARTNER (GRISGS)	048	ABB	S	47,000	16.03	n/a	n/a	2350.00 5.0
AO,CXL	02/27	SOMERSET ADV (SOMEL I 1)	044	GLW	B	1,075	20.50	n/a	2-Mar	53.75 5.0
AO,CRT	02/27	SOMERSET ADV (SOMEL I 1)	044	GLW	B	1,075	20.50	n/a	2-Mar	43.00 4.0
AO,CXL	02/27	SOMERSET ADV (SOMEL I 2)	044	GLW	B	440	20.50	n/a	2-Mar	22.00 5.0
AO,CRT	02/27	SOMERSET ADV (SOMEL I 2)	044	GLW	B	440	20.50	n/a	2-Mar	17.60 4.0
AO,CRT	03/01	WHEELER (WHEELER)	008	GYIJJ	S	50	6.41	n/a	n/a	0.00 0.0
AO,CXL	03/01	WHEELER (WHEELER)	008	GYIJJ	S	50	6.41	n/a	n/a	0.00 0.0
AO,CRT	03/05	LISTED ERR (LISTED ERR)	099	HMA	SS	400	10.37	5-Mar	5-Mar	0.00 0.0
AO,	03/05	ALLEN & CO (ALLNALLEN)	032	LVLTT	B	22,500	6.18	n/a	5-Mar	900.00 4.0
AO,	03/05	SOMERSET ADV (SOMEMAINUB)	044	NDN	B	28,405	14.09	16-Jan	6-Mar	1136.20 4.0
AO,	03/05	SOMERSET ADV (SOMEL I 1)	044	NDN	B	1,130	14.09	16-Jan	6-Mar	45.20 4.0
AO,	03/05	SOMERSET ADV (SOMEL I 2)	044	NDN	B	465	14.09	16-Jan	6-Mar	18.60 4.0
AO,CXL	03/05	T. ROWE PRICE (TROW2625)	040	PFE	B	690	24.83	n/a	31-Mar	27.60 4.0
AO,CXL	03/05	T. ROWE PRICE (TROW4624)	040	PFE	B	50	24.83	n/a	31-Mar	2.00 4.0
AO,CXL	03/05	T. ROWE PRICE (TROW4623)	040	PFE	B	300	24.83	n/a	31-Mar	12.00 4.0
AO,	03/05	TRUST CO/COWEN/CALF. (TRCO4623)	040	PFE	B	300	24.83	n/a	31-Mar	12.00 4.0
AO,	03/05	TRUST CO/COWEN/CALF. (TRCO4624)	040	PFE	B	50	24.83	n/a	31-Mar	2.00 4.0
AO,	03/05	TRUST CO/COWEN/CALF. (TRCO4625)	040	PFE	B	690	24.83	n/a	31-Mar	27.60 4.0
AO,CXL	03/01	AMBER CAPITAL (AMBRLEH)	046	SPLS	B	200,000	25.33	n/a	2-Mar	10000.00 5.0
AO,CRT	03/01	AMBER CAPITAL (AMBRLEH)	046	SPLS	B	200,000	25.33	n/a	2-Mar	8000.00 4.0
AO,	03/05	CATAPULT (CATAMSPB)	040	TROW	SS	5,000	45.24	n/a	5-Mar	200.00 4.0
TOTAL (AO, CXL, CRT) :										2,634.85

TOTAL (Trade Date):	98,303.43
TOTAL (AO, CXL, CRT):	2,634.85

TOTAL (RUN DATE) / NFS:	100,938.28
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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