

Daily Compliance Activity Report Trade Date: 01/13/2010

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
TOKIO MARINE ASSET MGMT	045	AAPL	S	2,800	206.37	n/a	n/a	112.00	4.0
CAVU CAP ADV	028	ABFS	В	25,000	28.17	n/a	n/a	1,250.00	5.0
RAINIER INV MGMT	035	ACL	S	57,340	153.44	n/a	13-Jan	2,867.00	5.0
BALYASNY ASSET MGMT	044	AGCO	SS	50,000	34.46	n/a	4-Jan	2,500.00	5.0
TOKIO MARINE ASSET MGMT	045	APA	S	5,700	105.58	n/a	29-Dec	228.00	4.0
НАНА	028	APOL	В	12,000	59.42	n/a	n/a	480.00	4.0
JMP ASSET MGMT	210	AVP	В	2,136	32.18	n/a	12-Jan	106.80	5.0
TRELLUS PARTNERS LP	028	AXL	S	100,000	9.62	n/a	4-Jan	3,000.00	3.0
UBS OCONNOR	031	BEN	S	30,000	111.68	n/a	13-Jan	900.00	3.0
RBC CAPITAL MARKETS	040	ВЈ	В	10,000	32.83	n/a	n/a	400.00	4.0
GLENHILL CAPITAL	212	BRCD	В	200,000	7.92	n/a	n/a	10,000.00	5.0
TOKIO MARINE ASSET MGMT	045	CERN	S	2,500	87.05	n/a	n/a	100.00	4.0
LEVEL GLOBAL SHARED ACCT	257	CRI	В	100,000	26.52	n/a	n/a	3,000.00	3.0
CASTLE ARK	031	CTXS	С	1,100	42.47	n/a	n/a	66.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
TRELLUS PARTNERS LP	028	DAN	В	30,000	11.42	n/a	6-Jan	1,500.00	5.0
CATAPULT	040	DD	SS	25,000	34.30	n/a	13-Jan	1,250.00	5.0
GEORGE WEISS	034	DOW	SS	40,000	30.73	n/a	13-Jan	1,600.00	4.0
BMO NESBITT BURNS	041	ENDP	SS	5,000	20.39	n/a	13-Jan	250.00	5.0
TOKIO MARINE ASSET MGMT	045	EOG	S	7,100	95.89	n/a	n/a	284.00	4.0
TOKIO MARINE ASSET MGMT	045	ESRX	S	3,100	89.87	n/a	n/a	124.00	4.0
FIRST NEW YORK LEDDY	035	ETFC	S	10,000	1.72	n/a	n/a	600.00	6.0
TOKIO MARINE ASSET MGMT	045	ETR	S	3,200	82.15	n/a	n/a	128.00	4.0
EXIS CAPITAL	044	F	В	20,000	11.69	n/a	6-Jan	1,000.00	5.0
DUCK CADIMAL MCM	001	550		E0 000	25 21	- /-	- /-	2 000 00	4.0
JMP ASSET MGMT	210	GCO	S	5,000	25.21	n/a n/a	n/a n/a	250.00	5.0
KLEINHEINZ CAP PART	031	GE	В	50,000	16.82	n/a	n/a	2,500.00	5.0
JMP ASSET MGMT	210	GME	В	5,000	20.77	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	GPS	S	100,000	19.92	n/a	n/a	4,000.00	4.0
TOKIO MARINE ASSET MGMT	045	GS	S	2,800	167.49	n/a	13-Jan	112.00	4.0
BALYASNY ASSET MGMT	044	HBAN	SS	50,000	4.13	n/a	n/a	1,500.00	3.0
	TRELLUS PARTNERS LP CATAPULT GEORGE WEISS BMO NESBITT BURNS TOKIO MARINE ASSET MGMT TOKIO MARINE ASSET MGMT FIRST NEW YORK LEDDY TOKIO MARINE ASSET MGMT EXIS CAPITAL BUCK CAPITAL MGMT JMP ASSET MGMT KLEINHEINZ CAP PART JMP ASSET MGMT BUCK CAPITAL MGMT TOKIO MARINE ASSET MGMT	TRELLUS PARTNERS LP CATAPULT O40 GEORGE WEISS O34 BMO NESBITT BURNS O41 TOKIO MARINE ASSET MGMT O45 FIRST NEW YORK LEDDY O35 TOKIO MARINE ASSET MGMT O45 EXIS CAPITAL BUCK CAPITAL MGMT JMP ASSET MGMT CAPITAL MGMT JMP ASSET MGMT JMP ASSET MGMT O01 JMP ASSET MGMT O01 JMP ASSET MGMT O01 TOKIO MARINE ASSET MGMT O01 TOKIO MARINE ASSET MGMT O01 TOKIO MARINE ASSET MGMT O01	TRELLUS PARTNERS LP CATAPULT GEORGE WEISS 034 DOW BMO NESBITT BURNS 041 ENDP TOKIO MARINE ASSET MGMT TOKIO GCO KLEINHEINZ CAP PART TOKIO GME BUCK CAPITAL MGMT TOKIO MARINE ASSET MGMT TOKIO GES TOKIO MARINE ASSET MGMT TOKIO GES TOKIO MARINE ASSET MGMT TOKIO MARINE ASSET MGMT TOKIO GES TOKIO MARINE ASSET MGMT TOKIO GEO TOKIO MARINE ASSET MGMT TOKIO MARINE ASSET MGMT TOKIO GEO TOKIO MARINE ASSET MGMT TOKIO GEO TOKIO MARINE ASSET MGMT TOKIO MARINE ASSET MGMT TOKIO GEO TOKIO MARINE ASSET MGMT TOKIO MARINE ASSET MGM	TRELLUS PARTNERS LP 028 DAN B CATAPULT 040 DD SS GEORGE WEISS 034 DOW SS BMO NESBITT BURNS 041 ENDP SS TOKIO MARINE ASSET MGMT 045 EOG S TOKIO MARINE ASSET MGMT 045 ESRX S FIRST NEW YORK LEDDY 035 ETFC S TOKIO MARINE ASSET MGMT 045 ETR S EXIS CAPITAL 044 F B BUCK CAPITAL MGMT JMP ASSET MGMT 210 GCO S KLEINHEINZ CAP PART 031 GE B JMP ASSET MGMT 210 GME B BUCK CAPITAL MGMT JMP ASSET MGMT 210 GME B BUCK CAPITAL MGMT O01 GFS S TOKIO MARINE ASSET MGMT 001 GPS S TOKIO MARINE ASSET MGMT 001 GPS S	TRELLUS PARTNERS LP 028 DAN B 30,000 CATAPULT 040 DD SS 25,000 GEORGE WEISS 034 DOW SS 40,000 BMO NESBITT BURNS 041 ENDP SS 5,000 TOKIO MARINE ASSET MGMT 045 EOG S 7,100 TOKIO MARINE ASSET MGMT 045 ESRX S 3,100 FIRST NEW YORK LEDDY 035 ETFC S 10,000 TOKIO MARINE ASSET MGMT 045 ETR S 3,200 EXIS CAPITAL 044 F B 20,000 BUCK CAPITAL MGMT 001 GCO S 5,000 JMP ASSET MGMT 210 GCO S 5,000 KLEINHEINZ CAP PART 031 GE B 50,000 JMP ASSET MGMT 210 GME B 5,000 BUCK CAPITAL MGMT 001 GPS S 100,000 BUCK CAPITAL MGMT 001 GPS S 100,000 TOKIO MARINE ASSET MGMT 045 GS S 2,800	TRELLUS PARTNERS LP 028 DAN B 30,000 11.42 CATAPULT 040 DD SS 25,000 34.30 GEORGE WEISS 034 DOW SS 40,000 30.73 BMO NESBITT BURNS 041 ENDP SS 5,000 20.39 TOKIO MARINE ASSET MGMT 045 EOG S 7,100 95.89 TOKIO MARINE ASSET MGMT 045 ESRX S 3,100 89.87 FIRST NEW YORK LEDDY 035 ETFC S 10,000 1.72 TOKIO MARINE ASSET MGMT 045 ETR S 3,200 82.15 EXIS CAPITAL 044 F B 20,000 11.69 BUCK CAPITAL MGMT 001 GCO S 50,000 25.21 JMP ASSET MGMT 031 GE B 50,000 16.82 JMP ASSET MGMT 210 GME B 5,000 20.77 BUCK CAPITAL MGMT 001 GPS S 100,000 19.92 TOKIO MARINE ASSET MGMT 045 GS S 2,800 167.49	TRELLUS PARTNERS LP 028 DAN B 30,000 11.42 n/a CATAPULT 040 DD SS 25,000 34.30 n/a GEORGE WEISS 034 DOW SS 40,000 30.73 n/a BMO NESBITT BURNS 041 ENDP SS 5,000 20.39 n/a TOKIO MARINE ASSET MGMT 045 EOG S 7,100 95.89 n/a TOKIO MARINE ASSET MGMT 045 ESRX S 3,100 89.87 n/a FIRST NEW YORK LEDDY 035 ETFC S 10,000 1.72 n/a TOKIO MARINE ASSET MGMT 045 ETR S 3,200 82.15 n/a EXIS CAPITAL 044 F B 20,000 11.69 n/a BUCK CAPITAL MGMT 001 GCO S 5,000 25.21 n/a JMP ASSET MGMT 210 GCO S 5,000 25.43 n/a KLEINHEINZ CAP PART 031 GE B 50,000 16.82 n/a JMP ASSET MGMT 210 GME B 5,000 20.77 n/a BUCK CAPITAL MGMT 001 GPS S 100,000 19.92 n/a TOKIO MARINE ASSET MGMT 01 GPS S 2,800 167.49 n/a	TRELLUS PARTNERS LP 028 DAN B 30,000 11.42 n/a 6-Jan CATAPULT 040 DD SS 25,000 34.30 n/a 13-Jan GEORGE WEISS 034 DOW SS 40,000 30.73 n/a 13-Jan BMO NESBITT BURNS 041 ENDP SS 5,000 20.39 n/a 13-Jan TOKIO MARINE ASSET MGMT 045 EOG S 7,100 95.89 n/a n/a TOKIO MARINE ASSET MGMT 045 ESRX S 3,100 89.87 n/a n/a FIRST NEW YORK LEDDY 035 ETFC S 10,000 1.72 n/a n/a TOKIO MARINE ASSET MGMT 045 ETR S 3,200 82.15 n/a n/a EXIS CAPITAL 044 F B 20,000 11.69 n/a 6-Jan BUCK CAPITAL MGMT 001 GCO S 5,000 25.21 n/a n/a MLEINHEINZ CAP PART 031 GE B 50,000 16.82 n/a n/a MLEINHEINZ CAP PART 031 GE B 50,000 16.82 n/a n/a MLEINHEINZ CAP PART 031 GE B 5,000 20.77 n/a n/a BUCK CAPITAL MGMT 210 GME B 5,000 20.77 n/a n/a BUCK CAPITAL MGMT 001 GPS S 100,000 19.92 n/a n/a BUCK CAPITAL MGMT 001 GPS S 2,800 167.49 n/a 13-Jan	TRELLUS PARTNERS LP 028 DAN B 30,000 11.42

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢,	/Shr.
BMO NESBITT BURNS	041	HSP	S	5,000	51.89	n/a	n/a	250.00	5.0
TOKIO MARINE ASSET MGMT	045	IBM	S	7,900	130.12	n/a	n/a	316.00	4.0
SCOPUS FUND	041	IP	SS	50,000	26.61	n/a	7-Jan	2,500.00	5.0
RBC CAPITAL MARKETS	040	JCP	SS	10,000	25.35	n/a	8-Jan	400.00	4.0
LAGRANGE CAP ADV	048	JNS	SS	10,000	14.70	n/a	8-Jan	500.00	5.0
BUCK CAPITAL MGMT	001	JNY	В	50,000	16.62	n/a	4-Jan	2,000.00	4.0
BMO NESBITT BURNS	041	KG	В	10,000	12.67	n/a	13-Jan	500.00	5.0
BAIRD INVESTMENT	047	KSS	S	6,300	51.95	n/a	8-Jan	315.00	5.0
GRANITE CAPITAL	045	LEAP	S	39,100	14.39	n/a	n/a	1,955.00	5.0
BUCK CAPITAL MGMT	001	LL	s	33,482	24.85	n/a	n/a	1,339.28	4.0
MILLENIUM PARTNERS	028	MCD	SS	16,000	62.74	n/a	11-Jan	640.00	4.0
CAVU CAP ADV	028	MGA	В	3,380	57.88	n/a	n/a	169.00	5.0
WAGONHOUND/NIC	048	MGM	В	50,000	12.31	n/a	6-Nov	2,000.00	4.0
TOKIO MARINE ASSET MGMT	045	MMM	S	8,000	83.53	n/a	13-Jan	320.00	4.0
ST OF MICHIAN	047	MRK	В	120,000	38.91	n/a	n/a	3,600.00	3.0
	BMO NESBITT BURNS TOKIO MARINE ASSET MGMT SCOPUS FUND RBC CAPITAL MARKETS LAGRANGE CAP ADV BUCK CAPITAL MGMT BMO NESBITT BURNS BAIRD INVESTMENT GRANITE CAPITAL BUCK CAPITAL MGMT MILLENIUM PARTNERS CAVU CAP ADV WAGONHOUND/NIC TOKIO MARINE ASSET MGMT	BMO NESBITT BURNS 041 TOKIO MARINE ASSET MGMT 045 SCOPUS FUND 041 RBC CAPITAL MARKETS 040 LAGRANGE CAP ADV 048 BUCK CAPITAL MGMT 001 BMO NESBITT BURNS 041 BAIRD INVESTMENT 047 GRANITE CAPITAL 045 BUCK CAPITAL MGMT 001 MILLENIUM PARTNERS 028 CAVU CAP ADV 028 WAGONHOUND/NIC 048 TOKIO MARINE ASSET MGMT 045	BMO NESBITT BURNS 041 HSP TOKIO MARINE ASSET MGMT 045 IBM SCOPUS FUND 041 IP RBC CAPITAL MARKETS 040 JCP LAGRANGE CAP ADV 048 JNS BUCK CAPITAL MGMT 001 JNY BMO NESBITT BURNS 041 KG BAIRD INVESTMENT 047 KSS GRANITE CAPITAL 045 LEAP BUCK CAPITAL MGMT 001 LL MILLENIUM PARTNERS 028 MCD CAVU CAP ADV 028 MGA WAGONHOUND/NIC 048 MGM TOKIO MARINE ASSET MGMT 045 MMM	BMO NESBITT BURNS O41 HSP S TOKIO MARINE ASSET MGMT O45 IBM S SCOPUS FUND O41 IP SS RBC CAPITAL MARKETS O40 JCP SS LAGRANGE CAP ADV O48 JNS SS BUCK CAPITAL MGMT O01 JNY B BMO NESBITT BURNS O41 KG B BAIRD INVESTMENT O47 KSS S GRANITE CAPITAL MGMT O01 LL S BUCK CAPITAL MGMT O01 SS BUCK CAPITAL MGMT O01 SS CAVU CAP ADV O28 MCD SS CAVU CAP ADV O48 MGM B TOKIO MARINE ASSET MGMT O45 MMM S	BMO NESBITT BURNS 041 HSP S 5,000 TOKIO MARINE ASSET MGMT 045 IBM S 7,900 SCOPUS FUND 041 IP SS 50,000 RBC CAPITAL MARKETS 040 JCP SS 10,000 LAGRANGE CAP ADV 048 JNS SS 10,000 BUCK CAPITAL MGMT 001 JNY B 50,000 BMO NESBITT BURNS 041 KG B 10,000 BAIRD INVESTMENT 047 KSS S 6,300 GRANITE CAPITAL 045 LEAP S 39,100 BUCK CAPITAL MGMT 001 LL S 33,482 MILLENIUM PARTNERS 028 MCD SS 16,000 CAVU CAP ADV 028 MGA B 3,380 WAGONHOUND/NIC 048 MGM B 50,000 TOKIO MARINE ASSET MGMT 045 MMM S 8,000	BMO NESBITT BURNS 041 HSP S 5,000 51.89 TOKIO MARINE ASSET MGMT 045 IBM S 7,900 130.12 SCOPUS FUND 041 IP SS 50,000 26.61 RBC CAPITAL MARKETS 040 JCP SS 10,000 25.35 LAGRANGE CAP ADV 048 JNS SS 10,000 14.70 BUCK CAPITAL MGMT 001 JNY B 50,000 16.62 BMO NESBITT BURNS 041 KG B 10,000 12.67 BAIRD INVESTMENT 047 KSS S 6,300 51.95 GRANITE CAPITAL 045 LEAP S 39,100 14.39 BUCK CAPITAL MGMT 001 LL S 33,482 24.85 MILLENIUM PARTNERS 028 MCD SS 16,000 62.74 CAVU CAP ADV 028 MGA B 3,380 57.88 WAGONHOUND/NIC 048 MGM B 50,000 12.31 TOKIO MARINE ASSET MGMT 045 MMM S 8,000 83.53	BMO NESBITT BURNS 041 HSP S 5,000 51.89 n/a TOKIO MARINE ASSET MGMT 045 IBM S 7,900 130.12 n/a SCOPUS FUND 041 IP SS 50,000 26.61 n/a RBC CAPITAL MARKETS 040 JCP SS 10,000 25.35 n/a LAGRANGE CAP ADV 048 JNS SS 10,000 14.70 n/a BUCK CAPITAL MGMT 001 JNY B 50,000 16.62 n/a BAIRD INVESTMENT 047 KSS S 6,300 51.95 n/a GRANITE CAPITAL 045 LEAP S 39,100 14.39 n/a BUCK CAPITAL MGMT 001 LL S 33,482 24.85 n/a MILLENIUM PARTNERS 028 MCD SS 16,000 62.74 n/a WAGONHOUND/NIC 048 MGM B 50,000 12.31 n/a TOKIO MARINE	BMO NESBITT BURNS 041 HSP S 5,000 51.89 n/a n/a TOKIO MARINE ASSET MGMT 045 IBM S 7,900 130.12 n/a n/a SCOPUS FUND 041 IP SS 50,000 26.61 n/a 7-Jan RBC CAPITAL MARKETS 040 JCP SS 10,000 25.35 n/a 8-Jan LAGRANGE CAP ADV 048 JNS SS 10,000 14.70 n/a 8-Jan BUCK CAPITAL MGMT 001 JNY B 50,000 16.62 n/a 4-Jan BAIRD INVESTMENT 047 KSS S 6,300 51.95 n/a 8-Jan GRANITE CAPITAL 045 LEAP S 39,100 14.39 n/a n/a BUCK CAPITAL MGMT 001 LL S 33,482 24.85 n/a n/a MILLENIUM PARTNERS 028 MCD SS 16,000 62.74 n/a 11-Jan	BMO NESRITT BURNS 041 HSP S 5,000 51.89 n/a n/a 250.00 TOKIO MARINE ASSET MGMT 045 IBM S 7,900 130.12 n/a n/a 316.00 SCOPUS FUND 041 IP SS 50,000 26.61 n/a 7-Jan 2,500.00 RBC CAPITAL MARKETS 040 JCP SS 10,000 25.35 n/a 8-Jan 400.00 LAGRANGE CAP ADV 048 JNS SS 10,000 14.70 n/a 8-Jan 500.00 BUCK CAPITAL MGMT 001 JNY B 50,000 16.62 n/a 4-Jan 2,000.00 BMO NESBITT BURNS 041 KG B 10,000 12.67 n/a 13-Jan 500.00 BAIRD INVESTMENT 047 KSS S 6,300 51.95 n/a 8-Jan 315.00 BUCK CAPITAL MGMT 01 LL S 33,162 24.85 n/a n/a

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.	
BMO NESBITT BURNS	041	MRX	SS	5,000	24.14	n/a	n/a	250.00	5.0	
FIRST NY SEC/CHRIS	041	MSFT	В	25,000	30.32	n/a	n/a	1,250.00	5.0	
CAPITAL GROWTH MGMT.	241	MU	В	250,000	10.48	n/a	n/a	7,500.00	3.0	
BMO NESBITT BURNS	041	MYL	В	15,000	17.59	n/a	13-Jan	750.00	5.0	
BRIGADE CAPITAL MGMT	029	М	В	125,000	16.50	n/a	8-Jan	3,750.00	3.0	
BUCK CAPITAL MGMT	001	NTY	s	50,379	45.05	n/a	n/a	2,015.16	4.0	
SYSTEMATIC FINANCIAL MGT	035	NUS	S	22,600	26.09	n/a	n/a	678.00	3.0	
TOKIO MARINE ASSET MGMT	045	OXY	S	1,900	79.70	n/a	n/a	76.00	4.0	
FRIESS MGMT	033	PAG	В	101,500	16.96	n/a	4-Jan	4,060.00	4.0	
SCOPUS FUND	041	PAG	В	5,000	16.52	n/a	4-Jan	250.00	5.0	
MKT MAKER	099	PBR	S	25,000	46.35	n/a	n/a	0.00	0.0	
BMO NESBITT BURNS	041	PRGO	В	5,000	42.04	n/a	13-Jan	250.00	5.0	
CATAPULT	040	PXP	В	25,000	32.16	n/a	n/a	1,250.00	5.0	
TOKIO MARINE ASSET MGMT	045	RIG	S	3,400	90.76	n/a	n/a	136.00	4.0	
BUCK CAPITAL MGMT	001	SKX	S	20,000	29.92	n/a	n/a	800.00	4.0	
JANA CAPITAL	044	TIN	В	14,630	19.70	n/a	7-Jan	585.20	4.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/S	hr.
SCOPUS FUND	041	TIN	SS	25,000	20.14	n/a	7-Jan	1,250.00 5	.0
SOROS	036	TXN	С	200,000	24.80	n/a	n/a	8,000.00 4	.0
CAVU CAP ADV	028	URI	В	25,000	8.87	n/a	n/a	1,250.00 5	.0
TOKIO MARINE ASSET MGMT	045	VFC	S	3,000	74.44	n/a	4-Jan	120.00 4	.0
BMO NESBITT BURNS	041	WCRX	В	7,000	28.36	n/a	13-Jan	350.00 5	.0
SYSTEMATIC FINANCIAL MGT	035	WSM	В	110,000	22.58	n/a	n/a	3,300.00	.0
JMP ASSET MGMT	210	WTW	В	4,657	29.35	n/a	n/a	232.85 5	.0
AVESTA CAP	229	XLNX	В	100,000	24.29	n/a	n/a	3,000.00 3	.0

TOTAL (Trade Date): 100,265.29

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	n Comm.	¢/Shr.
AO,CXL	01/12	SACC-SCHWARTZ (SAC1SCHWA)	044	AA	В	50,000	15.85	n/a	n/a	2000.00	4.0
AO,CRT	01/12	SACC-SCHWARTZ (SAC1SCHWA)	044	AA	В	50,000	15.85	n/a	n/a	1750.00	3.5
AO,	01/12	ETON PARK CAPITAL (ETONUBS)	041	С	S	2,500,000	3.56	n/a	13-Jan	50000.00	2.0
AO,	01/12	ETON PARK CAPITAL (ETONUBS)	041	С	S	2,500,000	3.56	n/a	13-Jan	50000.00	2.0
AO,CXL	01/12	SAC TRADING TOM LEDDY (SACHGS)	035	GPS	В	40,000	19.85	n/a	n/a	2000.00	5.0
AO,CRT	01/12	SAC TRADING TOM LEDDY (SACHGS)	035	GPS	В	40,000	19.85	n/a	n/a	1400.00	3.5
AO,CXL	01/12	SAC TRADIN/BINDER (SACBBINDER)	044	LVS	SS	25,000	18.70	n/a	4-Jan	1000.00	4.0
AO,CRT	01/12	SAC TRADIN/BINDER (SACBBINDER)	044	LVS	SS	25,000	18.70	n/a	4-Jan	875.00	3.5
AO,CXL	01/12	PRINCIPLE CAPITAL (PRINUBSPB)	040	ORA	SS	50,000	36.52	n/a	n/a	2000.00	4.0
AO, CRT	01/12	PRINCIPLE CAPITAL (PRINUBSPB)	040	ORA	SS	50,000	36.52	n/a	n/a	1500.00	3.0
TOTAL	(AO, 0	CXL, CRT):							98	, 525.00	

TOTAL (RUN DATE) / NFS:	198,790.29
TOTAL (AO, CXL, CRT):	98,525.00
TOTAL (Trade Date):	100,265.29

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