

## **Daily Compliance Activity Report** Trade Date: 07/14/2008

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

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
BUCK CAPITAL MGMT	001	AEO	В	250,000	12.39	6-Mar	11-Jul	10,000.00	4.0
FRONTPOINT CHRIS C	041	AKAM	SS	4,100	30.42	n/a	n/a	164.00	4.0
OGORMAN	046	ALVR	S	1,000	5.83	n/a	n/a	0.00	0.0
BEAR STEARNS ASSET MGMT.	033	ANF	S	111,300	54.08	10-Jul	11-Jul	4,452.00	4.0
COUGAR TRADING	044	ARO	SS	5,000	30.50	28-Apr	11-Jul	250.00	5.0
WAGONHOUND/NIC	048	ARO	S	1,095	31.11	28-Apr	11-Jul	43.80	4.0
CUMBERLAND	038	ARRS	В	50,000	7.53	n/a	n/a	2,000.00	4.0
WILLOW CREEK	033	AXP	SS	2,000	37.93	n/a	n/a	80.00	4.0
BARR	096	AXP	S	75	37.81	n/a	n/a	0.00	0.0
BUCK	015	BBBY	С	1,000	26.93	n/a	n/a	0.00	0.0
CASEY CAPITAL	067	BGG	SS	25,000	11.83	n/a	n/a	750.00	3.0
CROWN ADVISORS	045	BIG	В	4,000	28.66	29-May	11-Jul	200.00	5.0
LEVIN CAPITAL STRATEGIES	012	BIG	В	30,000	27.00	29-May	11-Jul	1,200.00	4.0
ETON PARK CAPITAL	041	BUD	S	500,000	67.38	n/a	n/a	20,000.00	4.0
GRUSS CAPITAL	045	BUD	В	169,700	67.18	n/a	n/a	5,091.00	3.0
US BANCORP	030	CAM	S	59,070	52.20	n/a	n/a	2,953.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
BUCK CAPITAL MGMT	001	CBL	s	10,000	20.40	n/a	n/a	400.00	4.0
COUGAR TRADING	044	CMG	В	1,000	70.24	n/a	24-Apr	50.00	5.0
LEDDY	035	CMI	SS	200	66.53	n/a	23-May	0.00	0.0
BARR	096	COF	SS	1,600	38.85	n/a	n/a	0.00	0.0
COUGAR TRADING	044	СОН	В	10,000	26.18	4-Apr	9-Jul	500.00	5.0
RBC CAPITAL MARKETS	034	COST	SS	5,000	69.18	n/a	27-Jul	200.00	4.0
KAICHER	064	С	В	2,000	15.24	19-Jun	14-Jul	0.00	0.0
NORTHPOINT	030	DBTK	S	41,340	12.32	n/a	n/a	1,653.60	4.0
BUCK CAPITAL MGMT	001	DDR	S	10,000	29.77	n/a	n/a	400.00	4.0
GRUSS CAPITAL	045	DEI	В	11,000	20.75	n/a	n/a	330.00	3.0
ROTHSCHILD ASSET	040	DEI	В	3,050	20.55	n/a	n/a	137.25	4.5
BUCK CAPITAL MGMT	001	DRE	s	10,000	21.82	n/a	n/a	400.00	4.0
EPOCH INV MGMT	030	DUF	В	12,650	14.98	n/a	n/a	506.00	4.0
BARR	096	FNM	SS	9,000	12.49	n/a	n/a	0.00	0.0
COUGAR TRADING	044	FOSL	В	10,000	23.51	n/a	9-Jul	500.00	5.0
MENCKE	055	FRE	S	30	6.42	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.	
BUCK CAPITAL MGMT	001	FRT	s	10,000	66.20	n/a	n/a	400.00	4.0	
BUCK CAPITAL MGMT	001	GES	В	20,000	32.11	n/a	n/a	800.00	4.0	
WILLOW CREEK	033	GES	SS	2,000	31.44	n/a	n/a	80.00	4.0	
BUCK CAPITAL MGMT	001	GGP	s	10,000	30.39	n/a	n/a	400.00	4.0	
WILLOW CREEK	033	GIL	SS	2,000	22.89	30-Apr	9-Jul	80.00	4.0	
WHEELER	008	GLDD	s	20,000	6.34	n/a	n/a	0.00	0.0	
ETON PARK CAPITAL	041	GLD	S	100,000	95.62	n/a	n/a	3,000.00	3.0	
BARR	096	GLD	В	500	95.50	n/a	n/a	0.00	0.0	
BUCK CAPITAL MGMT	001	GRT	s	10,000	9.55	n/a	n/a	400.00	4.0	
COUGAR TRADING	044	GYMB	S	5,000	36.85	11-Jul	11-Jul	250.00	5.0	
WAGONHOUND/NIC	048	GYMB	S	700	35.84	11-Jul	11-Jul	28.00	4.0	
BUCK	015	HAR	С	1,000	37.18	n/a	7-May	0.00	0.0	
JP MORGAN VENTURES	046	HAS	С	15,000	35.01	n/a	n/a	750.00	5.0	
KAICHER	064	нк	s	2,000	48.52	n/a	n/a	0.00	0.0	
APEX CAPITAL MGMT.	091	HRB	ss	34,800	22.36	n/a	n/a	1,740.00	5.0	
виск	015	IGT	ss	1,000	23.49	n/a	18-Apr	0.00	0.0	
WHEELER	008	INQAE	В	100	0.75	n/a	n/a	0.00	0.0	

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢	:/Shr.	
виск	015	ISPH	В	2,000	3.74	n/a	n/a	0.00	0.0	
WHEELER	800	IVGN	S	2,000	40.28	n/a	n/a	0.00	0.0	
BUCK CAPITAL MGMT	001	JAH	S	200,000	17.61	n/a	n/a	8,000.00	4.0	
COUGAR TRADING	044	JCG	SS	5,000	28.14	n/a	30-May	250.00	5.0	
виск	015	JNJ	В	500	66.46	n/a	22-Apr	0.00	0.0	
JP MORGAN VENTURES	046	JNY	В	20,000	12.98	n/a	1-May	1,000.00	5.0	
JP MORGAN VENTURES	046	JWN	SS	15,000	27.41	10-Jul	11-Jul	750.00	5.0	
BUCK CAPITAL MGMT	001	KIM	S	10,000	32.31	n/a	n/a	400.00	4.0	
WEISS PECK	040	KMX	SS	10,900	12.08	n/a	10-Jan	545.00	5.0	
BARR	096	KRE	SS	7,200	23.44	n/a	n/a	0.00	0.0	
COUGAR TRADING	044	KSS	S	5,000	38.36	n/a	11-Jul	250.00	5.0	
COLUMBIA PARTNERS	028	LCC	S	43,655	2.01	n/a	n/a	873.10	2.0	
NATIONAL BK OF CAN	031	LEH	В	40,000	14.56	9-Jun	14-Jul	1,600.00	4.0	
APEX CAPITAL MGMT.	091	LIZ	В	175,000	11.75	n/a	14-May	8,750.00	5.0	
GLG PARTNERS	034	LOW	В	100,000	19.04	n/a	27-Jul	5,000.00	5.0	
	BUCK WHEELER BUCK CAPITAL MGMT COUGAR TRADING BUCK  JP MORGAN VENTURES JP MORGAN VENTURES BUCK CAPITAL MGMT WEISS PECK BARR COUGAR TRADING COLUMBIA PARTNERS NATIONAL BK OF CAN APEX CAPITAL MGMT.	BUCK 015  WHEELER 008  BUCK CAPITAL MGMT 001  COUGAR TRADING 044  BUCK 015  JP MORGAN VENTURES 046  JP MORGAN VENTURES 046  BUCK CAPITAL MGMT 001  WEISS PECK 040  BARR 096  COUGAR TRADING 044  COLUMBIA PARTNERS 028  NATIONAL BK OF CAN 031  APEX CAPITAL MGMT. 091	BUCK 015 ISPH WHEELER 008 IVGN BUCK CAPITAL MGMT 001 JAH COUGAR TRADING 044 JCG BUCK 015 JNJ JP MORGAN VENTURES 046 JNY JP MORGAN VENTURES 046 JWN BUCK CAPITAL MGMT 001 KIM WEISS PECK 040 KMX BARR 096 KRE COUGAR TRADING 044 KSS COLUMBIA PARTNERS 028 LCC NATIONAL BK OF CAN 031 LEH APEX CAPITAL MGMT. 091 LIZ	BUCK 015 ISPH B WHEELER 008 IVGN S BUCK CAPITAL MGMT 001 JAH S COUGAR TRADING 044 JCG SS BUCK 015 JNJ B JP MORGAN VENTURES 046 JNY B JP MORGAN VENTURES 046 JWN SS BUCK CAPITAL MGMT 001 KIM S WEISS PECK 040 KMX SS BARR 096 KRE SS COUGAR TRADING 044 KSS S COUGAR TRADING 044 KSS S COLUMBIA PARTNERS 028 LCC S NATIONAL BK OF CAN 031 LEH B APEX CAPITAL MGMT. 091 LIZ B	BUCK 015 ISPH B 2,000  WHEELER 008 IVGN S 2,000  BUCK CAPITAL MGMT 001 JAH S 200,000  COUGAR TRADING 044 JCG SS 5,000  BUCK 015 JNJ B 500  JP MORGAN VENTURES 046 JNY B 20,000  JP MORGAN VENTURES 046 JWN SS 15,000  BUCK CAPITAL MGMT 001 KIM S 10,000  WEISS PECK 040 KMX SS 10,900  BARR 096 KRE SS 7,200  COUGAR TRADING 044 KSS S 5,000  COUGAR TRADING 044 KSS S 5,000  COLUMBIA PARTNERS 028 LCC S 43,655  NATIONAL BK OF CAN 031 LEH B 40,000  APEX CAPITAL MGMT. 091 LIZ B 175,000	BUCK 015 ISPH B 2,000 3.74  WHEELER 008 IVGN S 2,000 40.28  BUCK CAPITAL MGMT 001 JAH S 200,000 17.61  COUGAR TRADING 044 JCG SS 5,000 28.14  BUCK 015 JNJ B 500 66.46  JP MORGAN VENTURES 046 JNY B 20,000 12.98  JP MORGAN VENTURES 046 JWN SS 15,000 27.41  BUCK CAPITAL MGMT 001 KIM S 10,000 32.31  WEISS PECK 040 KMX SS 10,900 12.08  BARR 096 KRE SS 7,200 23.44  COUGAR TRADING 044 KSS S 5,000 38.36  COLUMBIA PARTNERS 028 LCC S 43,655 2.01  NATIONAL BK OF CAN 031 LEH B 40,000 14.56  APEX CAPITAL MGMT. 091 LIZ B 175,000 11.75	BUCK 015 ISPH B 2,000 3.74 n/a WHEELER 008 IVGN S 2,000 40.28 n/a BUCK CAPITAL MGMT 001 JAH S 200,000 17.61 n/a COUGAR TRADING 044 JCG SS 5,000 28.14 n/a BUCK 015 JNJ B 500 66.46 n/a JP MORGAN VENTURES 046 JNY B 20,000 12.98 n/a JP MORGAN VENTURES 046 JWN SS 15,000 27.41 10-Jul BUCK CAPITAL MGMT 001 KIM S 10,000 32.31 n/a WEISS PECK 040 KMX SS 10,900 12.08 n/a BARR 096 KRE SS 7,200 23.44 n/a COUGAR TRADING 044 KSS S 5,000 38.36 n/a COLUMBIA PARTNERS 028 LCC S 43,655 2.01 n/a NATIONAL EK OF CAN 031 LEH B 40,000 14.56 9-Jun APEX CAPITAL MGMT. 091 LIZ B 175,000 11.75 n/a	BUCK 015 ISPH B 2,000 3.74 n/a n/a WHEELER 008 IVGN S 2,000 40.28 n/a n/a BUCK CAPITAL MGMT 001 JAH S 200,000 17.61 n/a n/a COUGAR TRADING 044 JCG SS 5,000 28.14 n/a 30-May BUCK 015 JNJ B 500 66.46 n/a 22-Apr JP MORGAN VENTURES 046 JNY B 20,000 12.98 n/a 1-May JP MORGAN VENTURES 046 JWN SS 15,000 27.41 10-Jul 11-Jul BUCK CAPITAL MGMT 001 KIM S 10,000 32.31 n/a n/a WEISS PECK 040 KMX SS 10,900 12.08 n/a 10-Jan BARR 096 KRE SS 7,200 23.44 n/a n/a COUGAR TRADING 044 KSS S 5,000 38.36 n/a 11-Jul COUGAR TRADING 044 KSS S 5,000 38.36 n/a 11-Jul COUGAR TRADING 044 KSS S 43,655 2.01 n/a n/a NATIONAL BK OF CAN 031 LEH B 40,000 14.56 9-Jun 14-Jul APEX CAPITAL MGMT. 091 LIZ B 175,000 11.75 n/a 14-May	BUCK 015 ISPH B 2,000 3.74 n/a n/a 0.00 WHEELER 008 IVGN S 2,000 40.28 n/a n/a 0.00 BUCK CAPITAL MGMT 001 JAH S 200,000 17.61 n/a n/a 8,000.00 COUGAR TRADING 044 JCG SS 5,000 28.14 n/a 30-May 250.00 BUCK 015 JNJ B 500 66.46 n/a 22-Apr 0.00 JP MORGAN VENTURES 046 JNY B 20,000 12.98 n/a 1-May 1,000.00 BUCK 046 JWN SS 15,000 27.41 10-Jul 11-Jul 750.00 BUCK CAPITAL MGMT 001 KIM S 10,000 32.31 n/a n/a 400.00 WEISS PECK 040 KMX SS 10,900 12.08 n/a 10-Jan 545.00 BARR 096 KRE SS 7,200 23.44 n/a n/a 0.00 COUGAR TRADING 044 KSS S 5,000 38.36 n/a 11-Jul 250.00 COUGAR TRADING 044 KSS S 5,000 38.36 n/a 11-Jul 250.00 COUGAR TRADING 044 KSS S 13,655 2.01 n/a n/a 873.10 NATIONAL BK OF CAN 031 LEH B 40,000 14.56 9-Jun 14-Jul 1,600.00 APEK CAPITAL MGMT. 091 LIZ B 175,000 11.75 n/a 14-May 8,750.00	BUCK 015 ISPH B 2,000 3.74 n/a n/a 0.00 0.0  WHEELER 008 IVGN S 2,000 40.28 n/a n/a 0.00 0.0  BUCK CAPITAL MONT 001 JAH S 200,000 17.61 n/a 30-May 250.00 5.0  BUCK CAPITAL MONT 015 JNJ B 500 66.46 n/a 22-Apr 0.00 0.0  JP MORGAN VENTURES 046 JWN B 500 06.46 n/a 1-May 1,000.00 5.0  BUCK CAPITAL MONT 016 KMM S 10,000 32.31 n/a 11-Jul 750.00 5.0  BUCK CAPITAL MONT 040 KMM S 10,000 32.31 n/a n/a 400.00 4.0  WEISS PECK 040 KMM S 5 10,000 12.08 n/a 10-Jan 545.00 5.0  BARR 096 KRE S 7,200 23.44 n/a n/a n/a 0.00 0.0  COUGAR TRADING 044 KSS S 5,000 38.36 n/a 11-Jul 250.00 5.0  COUGAR TRADING 045 KRE 058 7,200 38.36 n/a 11-Jul 250.00 5.0  COUGAR TRADING 046 KRE 058 7,200 14.56 9-Jun 14-Jul 1,600.00 4.0  APEK CAPITAL MONT. 091 LIZ B 175,000 11.75 n/a 14-May 8,750.00 5.0

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Account	RR #	Symbol	B/	s	Shares	Price	MRI	Research	Comm.	Shr.	
SINCLAIR	031	LYHAX		s	25	2.60	n/a	n/a	0.00	0.0	
PAKLER	029	LYHGF		s	10	0.01	n/a	n/a	0.00	0.0	
WILLOW CREEK	033	MATK		SS	2,000	35.67	n/a	n/a	80.00	4.0	
WILLOW CREEK	033	MDRX		SS	3,000	13.31	n/a	n/a	120.00	4.0	
BARR	096	MER		SS	2,300	26.32	24-Jun	14-Jul	0.00	0.0	
LEDDY	035	MTW	В		500	26.54	n/a	23-May	0.00	0.0	
CATAPULT	040	MT		SS	22,000	87.41	n/a	n/a	1,100.00	5.0	
PROSPECTOR PARTNERS LLC	036	MWV	В		10,000	22.32	7-Apr	11-Jul	400.00	4.0	
BUCK CAPITAL MGMT	001	м	В		370,000	16.32	14-Jul	14-Jul	14,800.00	4.0	
COUGAR TRADING	044	M		S	5,000	16.54	14-Jul	14-Jul	250.00	5.0	
RBC CAPITAL MARKETS	034	М	В	D	10,000	16.21	14-Jul	14-Jul	400.00	4.0	
MORTAR ROCK	033	NCOC	В		50,000	6.67	n/a	n/a	2,500.00	5.0	
BARR	096	NEM	В		500	51.91	n/a	n/a	0.00	0.0	
WILLOW CREEK	033	NETL		SS	3,000	31.14	n/a	n/a	120.00	4.0	
WILLOW CREEK	033	NFLX		SS	5,000	27.78	n/a	n/a	200.00	4.0	
PROSPECTOR PARTNERS LLC	036	NP	В		15,000	14.88	n/a	11-Jul	600.00	4.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr
BUCK CAPITAL MGMT	001	NWY	S	50,000	8.55	n/a	22-May	2,000.00	4.0
JP MORGAN VENTURES	046	ORCL	С	100,000	20.71	n/a	n/a	5,000.00	5.0
CATAPULT	040	OTTR	В	19,914	42.43	n/a	n/a	995.70	5.0
BUCK CAPITAL MGMT	001	ОХМ	SS	40,000	18.63	n/a	n/a	1,600.00	4.0
BARR	096	PDFS	В	3,000	5.05	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	PEI	S	10,000	19.62	n/a	n/a	400.00	4.0
FRONTPOINT	044	PLCM	SS	5,400	23.15	n/a	22-Mar	216.00	4.0
EGS ASSOCIATES LP	091	PNRA	SS	3,000	43.00	n/a	30-Jun	180.00	6.0
WILLOW CREEK	033	PNRA	SS	2,000	43.67	n/a	30-Jun	80.00	4.0
RBC CAPITAL MARKETS	034	PVH	SS	5,000	33.29	5-May	9-Jul	200.00	4.0
ROYAL CAPITAL	039	RGS	В	49,400	24.96	n/a	n/a	2,470.00	5.0
LISTED ERR	099	RGS	В	6,000	25.04	n/a	n/a	0.00	0.0
LISTED ERR	099	RGS	S	6,000	25.01	n/a	n/a	0.00	0.0
WILLOW CREEK	033	RIMM	SS	1,500	108.85	n/a	n/a	60.00	4.0
BARR	096	RIMM	SS	300	108.07	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	RSG	S	33,610	32.48	n/a	n/a	1,512.45	4.5

Account		RR #	Symbol	в/s	3	Shares	Price	MRI	Research	Comm.	¢/Shr.	
WILLOW CREEK		033	SCHN		SS	1,500	97.94	n/a	n/a	60.00	4.0	
KINGDON ASSET 1	MGMT	041	SIMO	С		100,000	13.14	n/a	n/a	4,000.00	4.0	
BUCK CAPITAL M	GMT	001	SKT		s	10,000	35.70	n/a	n/a	400.00	4.0	
KINGDON ASSET	MGMT	041	SOL	В		150,000	15.65	n/a	n/a	6,000.00	4.0	
CSFB GLOBAL PR	OPRIETARY	041	SSCC	В		20,000	4.26	7-Apr	11-Jul	1,000.00	5.0	
BARR		096	STI		SS	2,000	28.66	n/a	n/a	0.00	0.0	
BEAR STEARNS A	SSET MGMT.	033	STZ	В		30,000	20.92	n/a	n/a	1,200.00	4.0	
JP MORGAN VENT	URES	046	SWY		SS	10,000	28.37	n/a	n/a	500.00	5.0	
BUCK CAPITAL M	GMT	001	TCO		s	10,000	45.28	n/a	n/a	400.00	4.0	
RBC CAPITAL MA	RKETS	034	TJX		SS	5 <b>,</b> 000	32.09	n/a	11-Jul	200.00	4.0	
SIGMA CAPITAL		237	TJX	В		75,000	32.14	n/a	11-Jul	3,750.00	5.0	
WHEELER		800	TRMA	В		1,000	30.24	n/a	n/a	0.00	0.0	
ZOLIDIS		011	TWM	В		200	82.57	n/a	n/a	0.00	0.0	
WILLOW CREEK		033	TXN		SS	2,000	27.15	n/a	n/a	80.00	4.0	
OGORMAN		046	UCC		s	500	35.77	n/a	n/a	0.00	0.0	
RBC CAPITAL MA	RKETS	034	VFC	В		2,500	69.90	n/a	n/a	100.00	4.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	;/Shr.
RBC CAPITAL MARKETS	034	WAG	S	15,000	32.48	n/a	n/a	600.00	4.0
MERRILL ASSET BUCK	032 <b>015</b>	WBS	В <b>SS</b>	40,000 <b>1,500</b>	15.31 <b>14.40</b>	n/a <b>n/a</b>	n/a <b>n/a</b>	1,800.00	4.5 <b>0.0</b>
WILLOW CREEK	033	WB	SS	11,000	11.67	n/a	n/a	440.00	4.0
SUNOVA CAPITAL	031	WDR	S	10,000	30.83	22-Apr	10-Jul	500.00	5.0
MAIRS AND POWER INV	030	WFC	В	20,000	21.70	n/a	n/a	1,000.00	5.0
US BANCORP	030	WFT	S	74 <b>,</b> 992	41.38	n/a	n/a	3,749.60	5.0
WILLOW CREEK	033	WM	SS	29,000	4.90	n/a	n/a	1,160.00	4.0
BUCK CAPITAL MGMT	001	WRI	s	10,000	28.14	n/a	n/a	400.00	4.0
KAICHER	064	хсо	s	1,000	37.69	n/a	n/a	0.00	0.0
CATAPULT	040	XIDE	S	32 <b>,</b> 392	14.12	n/a	n/a	1,619.60	5.0
NATIONAL BK OF CAN	031	XLF	В	75 <b>,</b> 000	18.35	n/a	n/a	2,250.00	3.0
OGORMAN	046	XLY	s	400	26.61	n/a	n/a	0.00	0.0
FRONTPOINT CHRIS C	041	XRAY	SS	6,800	36.45	n/a	n/a	272.00	4.0
BARR	096	x	SS	200	162.14	n/a	n/a	0.00	0.0
WILLOW CREEK	033	YHOO	SS	10,000	22.80	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
COUGAR TRADING	044	ZQK	В	30,000	8.90	5-Feb	9-Jul	1,500.00 5.0
ZOLIDIS	011	ZUMZ	S	500	12.56	n/a	n/a	0.00 0.0

TOTAL (Trade Date): 156,352.60

## Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
AO,	07/11	GRISANTI BROWN & PARTNER (GRISGS)	048	CAL	S	22,600	7.36	n/a	n/a	904.00	4.0
AO, CRT	07/11	EMP ERROR (EMP ERROR)	099	СОН	В	100	24.50	4-Apr	9-Jul	0.00	0.0
AO,	07/11	KARPNANCY (KARPNANCY)	023	СОН	В	100	24.55	4-Apr	9-Jul	0.00	0.0
AO, CXL	07/11	KARPNANCY (KARPNANCY)	023	СОН	В	100	24.50	4-Apr	9-Jul	0.00	0.0
AO,	07/11	EMP ERROR (EMP ERROR)	099	СОН	S	100	24.55	4-Apr	9-Jul	0.00	0.0
AO,	07/11	NOMURA CAPITAL (NOMUSTRATE)	045	NYT	SS	2,300	13.27	n/a	n/a	115.00	5.0
AO,	07/11	NOMURA CAPITAL (NOMUBATT2)	045	NYT	SS	2,535	13.27	n/a	n/a	126.75	5.0
AO,	07/11	NOMURA CAPITAL (NOMUBSMAIN)	045	NYT	SS	3,165	13.27	n/a	n/a	158.25	5.0

TOTAL (RUN DATE) / NFS:	157,656.60
TOTAL (AO, CXL, CRT):	1,304.00
TOTAL (Trade Date):	156,352.60

## 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