



## Daily Compliance Activity Report

Trade Date: 09/19/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KARSCH CAPITAL	034	AAP	B	1,900	34.59	n/a	n/a	57.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>ABG</b>	<b>B</b>	<b>1,000</b>	<b>22.49</b>	<b>18-Jun</b>	<b>27-Jul</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ABG</b>	<b>B</b>	<b>82,700</b>	<b>22.75</b>	<b>18-Jun</b>	<b>27-Jul</b>	<b>non-brg</b>	<b>4.0</b>
TRIVIUM CAP MGMT	251	ACN	SS	50,000	39.11	n/a	n/a	2,000.00	4.0
CROSS CAPITAL	028	ADBE	SS	12,600	43.51	n/a	n/a	630.00	5.0
RH CAPITAL ASSOCIATES	060	AEO	B	25,000	26.38	10-Jul	7-Sep	1,250.00	5.0
<b>BARR</b>	<b>096</b>	<b>AFBIX</b>	<b>S</b>	<b>1,249</b>	<b>27.34</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
GOLDMAN SACHS ASSET MGMT	044	AF	S	65,000	27.38	n/a	n/a	1,300.00	2.0
SUNOVA CAPITAL	031	AMG	B	20,000	120.41	25-Jul	19-Sep	1,000.00	5.0
ZIFF BROS	038	AMT	S	41,000	41.81	n/a	n/a	2,050.00	5.0
COUGAR TRADING	044	ANF	B	10,000	83.84	23-Aug	7-Sep	500.00	5.0
COUGAR TRADING	044	ANF	SS	5,000	82.40	23-Aug	7-Sep	250.00	5.0
HIGHBRIDGE CAPITAL	038	APC	B	8,000	52.87	22-Jun	17-Sep	400.00	5.0
COUGAR TRADING	044	ARO	B	5,000	21.04	n/a	7-Sep	250.00	5.0
HBK FUNDS	031	ARO	B	25,000	19.97	n/a	7-Sep	1,250.00	5.0
J L F ASSET MGMT	039	ARO	B	96,000	19.79	n/a	7-Sep	3,840.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>ASD</b>	<b>B</b>	<b>10,000</b>	<b>36.46</b>	<b>17-Aug</b>	<b>14-Sep</b>	<b>non-brg</b>	<b>4.0</b>
MORGAN LEWIS/MLH	046	AUO	B	10,000	15.21	n/a	n/a	500.00	5.0
GRANAHAN INV	039	BBW	S	40,000	18.45	11-Sep	13-Sep	1,600.00	4.0
KENNEDY CAPITAL	046	BBW	B	220,000	18.24	11-Sep	13-Sep	8,800.00	4.0
KARSCH CAPITAL	034	BDK	C	95,300	86.78	n/a	n/a	2,859.00	3.0
WHITTIER CAP	048	BGP	B	5,105	15.14	n/a	n/a	204.20	4.0
BRIGHTPOINT CAP	067	BIG	SS	72,700	30.95	n/a	7-Sep	2,908.00	4.0
HARVEST MGMT	039	BIG	B	50,000	31.36	n/a	7-Sep	2,500.00	5.0
<b>ZOLIDIS</b>	<b>011</b>	<b>BKRS</b>	<b>SS</b>	<b>1,000</b>	<b>4.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CRAMER ROSENTHAL/SCOTT	012	BMS	SS	22,900	30.13	n/a	n/a	916.00	4.0
WHITTIER CAP	048	BONT	B	8,600	27.38	3-Aug	7-Sep	344.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>BWS</b>	<b>B</b>	<b>20,000</b>	<b>21.66</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
FRIESS MGMT	042	BWS	S	193,900	22.14	n/a	n/a	8,725.50	4.5
AMBER CAPITAL	046	CFC	SS	345,000	20.41	n/a	n/a	13,800.00	4.0
ZIFF BROS	038	CHTR	S	82,500	2.87	n/a	n/a	4,125.00	5.0
GALLEON MGMT LP	033	CL	S	10,000	69.84	n/a	25-Jul	500.00	5.0
TROUBH PART	067	CMCSA	S	50,000	24.58	5-Apr	4-Sep	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FARALLON CAP MGMT	040	CMI	S	94,600	131.82	n/a	n/a	3,784.00	4.0
DIAMONDBACK CAP MGMT	232	CNO	SS	50,000	14.08	n/a	n/a	2,500.00	5.0
COUGAR TRADING	044	COH	S	5,000	50.41	n/a	10-Sep	250.00	5.0
WEISS PECK	040	COH	SS	4,500	50.49	n/a	10-Sep	225.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>CPHI</b>	<b>B</b>	<b>4,000</b>	<b>1.54</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CTRN</b>	<b>B</b>	<b>10,000</b>	<b>22.51</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>BUCK</b>	<b>015</b>	<b>CTX</b>	<b>C</b>	<b>800</b>	<b>30.56</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ZIFF BROS	038	CVS	S	85,300	37.92	n/a	n/a	4,265.00	5.0
BRANDWINE	028	C	B	8,400	48.14	n/a	16-Aug	378.00	4.5
CATAPULT	040	C	S	5,000	48.28	n/a	16-Aug	250.00	5.0
HIGHBRIDGE CAPITAL	038	DADE	SS	500	76.28	n/a	n/a	25.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>DBRN</b>	<b>B</b>	<b>50,000</b>	<b>17.57</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
WEISS PECK	040	DECK	SS	2,000	105.95	n/a	n/a	100.00	5.0
WHITTIER CAP	048	DGIT	S	9,990	23.62	n/a	n/a	399.60	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>DIA</b>	<b>SS</b>	<b>110,000</b>	<b>138.35</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
COLONIAL FUND LLC	036	DLTR	B	25,000	43.61	10-Aug	7-Sep	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	DRI	B	30,000	44.80	n/a	24-Apr	1,200.00	4.0
BUCK CAPITAL MGMT	001	DSW	B	50,000	29.54	5-Sep	5-Sep	2,000.00	4.0
WYCKOFF	013	EFT	B	1,000	16.96	n/a	n/a	0.00	0.0
LEDDY	035	EFT	B	600	16.99	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		EGLT	SS	20,000	13.29	n/a	n/a	non-brg	1.0
LEDDY	035	FIG	S	500	20.55	n/a	n/a	0.00	0.0
WHITTIER CAP	048	FINL	B	28,385	5.52	n/a	17-Sep	1,135.40	4.0
AMBER CAPITAL	046	FITB	SS	121,700	36.52	n/a	n/a	4,868.00	4.0
BRIGHTPOINT CAP	067	GES	B	20,000	50.86	n/a	n/a	1,000.00	5.0
⌘ BUCK CAPITAL MGMT		GES	B	5,000	48.38	n/a	n/a	non-brg	4.0
LOOMIS SALES/BOSTON	036	GES	S	2,900	50.50	n/a	n/a	116.00	4.0
WHITTIER CAP	048	GIII	S	11,765	20.00	n/a	n/a	470.60	4.0
DC CAPITAL	044	GLW	B	150,000	24.81	n/a	14-Sep	7,500.00	5.0
MEISENBACH CAP MGMT	041	GPS	SS	10,000	18.79	n/a	7-Sep	400.00	4.0
THE JAY GOLDMAN	034	GRP	SS	5,000	54.96	n/a	n/a	200.00	4.0
LISTED ERR	099	GRS	B	20,000	10.06	n/a	n/a	0.00	0.0
LISTED ERR	099	GRS	S	20,000	10.10	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>LEDDY</b>	<b>035</b>	<b>GSHO</b>	<b>B</b>	<b>1,700</b>	<b>5.97</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROYAL CAPITAL	039	GTI	S	234,900	18.42	n/a	n/a	11,745.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>GYMB</b>	<b>B</b>	<b>20,000</b>	<b>40.13</b>	<b>10-Aug</b>	<b>7-Sep</b>	<b>non-brg</b>	<b>4.0</b>
GALLEON MGMT LP	033	HBAN	B	75,000	18.39	n/a	n/a	3,750.00	5.0
JPMSI/TOM LEDDY	035	HIBB	SS	10,000	27.72	n/a	n/a	500.00	5.0
FARALLON CAP MGMT	040	HLT	S	32,900	46.50	n/a	n/a	1,316.00	4.0
BALYASNY ASSET MGMT	044	HMC	B	15,000	33.60	n/a	n/a	750.00	5.0
<b>WYCKOFF</b>	<b>013</b>	<b>HYP</b>	<b>B</b>	<b>3,000</b>	<b>3.28</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LEDDY</b>	<b>035</b>	<b>HYP</b>	<b>B</b>	<b>2,949</b>	<b>3.27</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
HIGHBRIDGE CAPITAL	038	IP	SS	5,000	36.20	4-May	20-Aug	250.00	5.0
XYLEM GLOBAL	091	IP	B	50,000	36.29	4-May	20-Aug	2,500.00	5.0
NATIONAL BK OF CAN	031	IVZ	B	40,000	25.56	8-Aug	19-Sep	1,600.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>IWM</b>	<b>SS</b>	<b>180,000</b>	<b>81.57</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
BRIGHTPOINT CAP	067	JCG	B	20,000	48.26	22-Jun	6-Sep	1,000.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>JCG</b>	<b>B</b>	<b>10,000</b>	<b>48.61</b>	<b>22-Jun</b>	<b>6-Sep</b>	<b>non-brg</b>	<b>4.0</b>
COUGAR TRADING	044	JCG	S	5,000	48.37	22-Jun	6-Sep	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCP</b>	<b>B</b>	<b>50,000</b>	<b>69.56</b>	<b>21-Jun</b>	<b>7-Sep</b>	<b>2,000.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	JCP	B	5,000	69.23	21-Jun	7-Sep	250.00	5.0
COUGAR TRADING	044	JCP	S	5,000	69.40	21-Jun	7-Sep	250.00	5.0
JP MORGAN VENTURES	046	JCP	S	15,000	68.58	21-Jun	7-Sep	750.00	5.0
COUGAR TRADING	044	JWN	B	5,000	52.29	12-Jul	7-Sep	250.00	5.0
ROARING BLUE LION MGMT	012	KFN	S	17,000	16.52	n/a	n/a	680.00	4.0
BULL PATH CAPITAL	044	KSS	S	75,000	61.03	14-Jun	27-Jul	3,750.00	5.0
HARVEST MGMT	039	KSS	B	50,000	60.90	14-Jun	27-Jul	2,500.00	5.0
SCOPUS FUND	041	LEH	B	55,000	65.27	12-Jun	19-Sep	2,750.00	5.0
SCOPUS FUND	041	LEH	S	20,500	66.25	12-Jun	19-Sep	1,025.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>LIZ</b>	<b>C</b>	<b>20,000</b>	<b>34.56</b>	<b>n/a</b>	<b>14-Sep</b>	<b>non-brg</b>	<b>4.0</b>
NATIONAL BK OF CAN	031	LM	B	10,000	85.00	19-Sep	19-Sep	400.00	4.0
DAWSON SANBERG & CO	041	LOW	B	7,300	32.20	n/a	27-Jul	365.00	5.0
COUGAR TRADING	044	LTD	B	10,000	24.01	16-May	7-Sep	500.00	5.0
METROPOLITAN CAPITAL	044	LTD	B	51,100	23.47	16-May	7-Sep	2,555.00	5.0
BECK MACK & OLIVER LLC	068	LVL	B	26,000	4.70	6-Sep	6-Sep	1,040.00	4.0
MS PRINCIPAL STRATEGIES	041	MAR	S	19,900	45.00	n/a	n/a	995.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>MDTL</b>	<b>SS</b>	<b>10,000</b>	<b>10.27</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>BARR</b>	<b>096</b>	<b>MENT</b>	<b>S</b>	<b>2,500</b>	<b>14.73</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>MNC</b>	<b>C</b>	<b>15,200</b>	<b>13.57</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SUN AMERICA ASSET MGMT	030	MSFT	S	44,800	28.60	n/a	3-Apr	2,240.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>MSMSBMVR</b>	<b>C</b>	<b>75,000</b>	<b>188.78</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>18.9</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MVRX</b>	<b>C</b>	<b>165,000</b>	<b>180.34</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>18.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>M</b>	<b>B</b>	<b>60,000</b>	<b>33.44</b>	<b>13-Jul</b>	<b>7-Sep</b>	<b>2,400.00</b>	<b>4.0</b>
COLONIAL FUND LLC	036	M	S	25,000	33.10	13-Jul	7-Sep	1,250.00	5.0
COUGAR TRADING	044	M	B	10,000	33.36	13-Jul	7-Sep	500.00	5.0
WOOSTER CAPITAL	035	M	B	50,000	33.31	13-Jul	7-Sep	2,500.00	5.0
CRYSTAL ROCK CAP MGMT	031	NCMI	B	12,000	24.08	n/a	n/a	600.00	5.0
<b>HART</b>	<b>056</b>	<b>NEXC</b>	<b>B</b>	<b>100</b>	<b>6.61</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BALYASNY ASSET MGMT	044	NTY	B	15,000	43.13	n/a	n/a	750.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>NWY</b>	<b>B</b>	<b>1,500</b>	<b>6.90</b>	<b>25-May</b>	<b>24-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>OIH</b>	<b>SS</b>	<b>50,000</b>	<b>190.63</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
RHOC	041	ORCL	B	1,000	20.96	n/a	n/a	50.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>PAG</b>	<b>B</b>	<b>60,000</b>	<b>21.47</b>	<b>n/a</b>	<b>1-Aug</b>	<b>non-brg</b>	<b>4.0</b>
FARALLON CAP MGMT	040	PCU	B	60,800	115.30	n/a	n/a	2,432.00	4.0
COUGAR TRADING	044	PLCE	S	5,000	26.50	n/a	7-Sep	250.00	5.0

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WHEELER	008	PMD	B	2,000	16.90	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		PSS	B	100,000	23.00	n/a	n/a	non-brg	4.0
COUGAR TRADING	044	PSUN	S	5,000	16.67	n/a	7-Sep	250.00	5.0
MILLENIUM PARTNERS	028	PSUN	SS	10,000	16.55	n/a	7-Sep	500.00	5.0
LUCHANSKY1	036	QID	S	600	40.93	n/a	n/a	0.00	0.0
WHITTIER CAP	048	RAD	B	31,060	5.08	n/a	n/a	1,242.40	4.0
⌘ BUCK CAPITAL MGMT		RCL	B	10,000	38.07	27-Jul	27-Jul	non-brg	4.0
GOLDMAN SACHS ASSET MGMT	044	RF	S	83,200	32.46	n/a	n/a	1,248.00	1.5
ZIFF BROS	038	RIMM	S	92,300	92.74	n/a	n/a	4,615.00	5.0
⌘ BUCK CAPITAL MGMT		RTH	SS	109,100	103.78	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		RTH	SS	70,000	104.11	n/a	n/a	non-brg	2.0
BALYASNY ASSET MGMT	044	SCHW	SS	50,000	21.96	n/a	n/a	2,500.00	5.0
ZOLIDIS	011	SDS	S	200	50.34	n/a	n/a	0.00	0.0
WHITTIER CAP	048	SIX	B	46,100	3.41	n/a	n/a	1,844.00	4.0
MORRISON & FRASIER	040	SKF	S	11,100	74.98	n/a	n/a	555.00	5.0
⌘ BUCK CAPITAL MGMT		SKX	B	10,000	22.73	n/a	13-Mar	non-brg	4.0



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KAICHER	064	SNCR	B	256	42.75	n/a	n/a	0.00	0.0
KAICHER	064	SNCR	S	256	45.27	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		SPY	SS	100,000	153.69	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		SPY	SS	56,700	153.22	n/a	n/a	non-brg	2.0
WEISS PECK	040	SSI	S	32,800	19.42	3-Aug	7-Sep	1,640.00	5.0
THE JAY GOLDMAN	034	SWN	B	10,000	43.51	n/a	17-Sep	400.00	4.0
ZIFF BROS	038	SYMC	S	312,000	19.61	n/a	3-Apr	15,600.00	5.0
FIRST INV MGMT CORP	036	TEL	B	9,900	32.87	n/a	n/a	495.00	5.0
WAGONHOUND	048	TGT	B	4,960	66.85	n/a	27-Jul	198.40	4.0
WAGONHOUND	048	TJX	B	10,360	31.99	13-Jul	7-Sep	414.40	4.0
MORRISON & FRASIER	040	TWM	S	13,700	63.82	n/a	n/a	685.00	5.0
HIGHBRIDGE CAPITAL	038	UFS	B	25,000	8.40	n/a	n/a	1,250.00	5.0
⌘ BUCK CAPITAL MGMT		URBN	B	10,000	22.81	31-Jul	10-Aug	non-brg	4.0
JP MORGAN VENTURES	046	UTX	B	25,000	78.54	n/a	n/a	1,250.00	5.0
JP MORGAN VENTURES	046	VLCM	SS	12,500	39.75	n/a	n/a	625.00	5.0
EFSTATHIOU	044	VSL	S	400	21.61	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AVESTA CAP	229	VZ	B	20,000	43.86	31-Jul	6-Sep	1,000.00	5.0
OPTIMUM INV ADV	030	WERN	B	12,000	18.04	n/a	n/a	480.00	4.0
BASIX	033	WRNC	S	28,500	40.96	19-Sep	19-Sep	1,140.00	4.0
DAWSON SANBERG & CO	041	WWY	B	18,200	62.29	n/a	n/a	910.00	5.0
<b>BUCK</b>	<b>015</b>	<b>WYVN</b>	<b>S</b>	<b>10</b>	<b>1.65</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SCOPUS FUND	041	WY	S	25,000	72.57	13-Jul	20-Aug	1,250.00	5.0
XYLEM GLOBAL	091	WY	S	10,000	74.41	13-Jul	20-Aug	500.00	5.0
FARALLON CAP MGMT	040	XHB	SS	400,000	24.76	n/a	n/a	16,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>XLF</b>	<b>C</b>	<b>578,400</b>	<b>35.44</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
FARALLON CAP MGMT	040	XLF	B	705,000	35.54	n/a	n/a	28,200.00	4.0
COUGAR TRADING	044	ZQK	S	5,000	14.67	n/a	7-Sep	250.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>239,110.50</b>	

### Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	09/17	NATIONAL BK OF CAN	031	BSC	S	5,000	115.29	4-Sep	4-Sep	200.00 4.0
AO,CXL	09/17	NATIONAL BK OF CAN	031	BSC	S	5,000	115.29	4-Sep	4-Sep	250.00 5.0
AO,CXL	09/18	MATRIX ASSET ADV.	036	CVX	S	1,000	91.25	n/a	n/a	40.00 4.0
AO,CRT	09/18	MATRIX ASSET ADV.	036	CVX	S	1,000	91.25	n/a	n/a	40.00 4.0
AO,	09/18	IMPALA ASSET MMT	012	GLW	S	250,000	23.78	n/a	14-Sep	7500.00 3.0
AO,CRT	09/18	KACELA CAPITAL	034	M	B	15,000	30.53	13-Jul	7-Sep	600.00 4.0
AO,CXL	09/18	KACELA CAPITAL	034	M	B	15,000	30.53	13-Jul	7-Sep	750.00 5.0
AO,CXL	09/18	REINHART & MAHONEY	031	MTG	S	245	33.44	n/a	n/a	12.25 5.0
AO,CRT	09/18	REINHART & MAHONEY	031	MTG	S	245	33.44	n/a	n/a	12.25 5.0
AO,CXL	09/18	AAD CAPITAL	048	PLCE	S	20,512	25.63	n/a	7-Sep	820.48 4.0
AO,CRT	09/18	AAD CAPITAL	048	PLCE	S	20,512	25.63	n/a	7-Sep	615.36 3.0
AO,CRT	09/18	KACELA CAPITAL	034	TGT	B	10,000	64.22	n/a	27-Jul	400.00 4.0
AO,CXL	09/18	KACELA CAPITAL	034	TGT	B	10,000	64.22	n/a	27-Jul	500.00 5.0
<b>AO,CXL</b>	<b>09/18</b>	<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TOL</b>	<b>B</b>	<b>253,000</b>	<b>22.18</b>	<b>n/a</b>	<b>n/a</b>	<b>10120.00 4.0</b>
<b>AO,</b>	<b>09/18</b>	<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TOL</b>	<b>B</b>	<b>1,500</b>	<b>22.18</b>	<b>n/a</b>	<b>n/a</b>	<b>60.00 4.0</b>
<b>AO,CRT</b>	<b>09/18</b>	<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TOL</b>	<b>B</b>	<b>251,500</b>	<b>22.18</b>	<b>n/a</b>	<b>n/a</b>	<b>10060.00 4.0</b>
AO,CRT	09/18	IMPALA ASSET MMT	012	UAUA	S	97,000	45.07	n/a	n/a	2910.00 3.0
AO,CXL	09/18	IMPALA ASSET MMT	012	UAUA	S	97,000	45.01	n/a	n/a	2910.00 3.0
AO,CRT	09/18	HIGHBRIDGE CAPITAL	038	UFS	B	680,700	8.19	n/a	n/a	20421.00 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CXL	09/18	HIGHBRIDGE CAPITAL	038	UFS	B	680,700	8.19	n/a	n/a 34035.00 5.0
AO,CRT	09/18	KACELA CAPITAL	034	WFMI	B	8,000	43.74	n/a	n/a 320.00 4.0
AO,CXL	09/18	KACELA CAPITAL	034	WFMI	B	8,000	43.74	n/a	n/a 400.00 5.0
<b>TOTAL (AO, CXL, CRT) :</b>									<b>-6,699.12</b>

TOTAL (Trade Date):	239,110.50
TOTAL (AO, CXL, CRT):	-6,699.12

<b>TOTAL (RUN DATE) / NFS:</b>	<b>232,411.38</b>
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MRI Securities with Trade Activity on 19-Sep.  
LM, WRNC

MRI Securities without Trade Activity on 19-Sep.  
DVN, GIL

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 8%  
YTD = 16%

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