



Daily Compliance Activity Report

Trade Date: 10/30/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	AAP	SS	10,000	37.40	n/a	n/a	400.00	4.0
PHILADELPHIA FINANCIAL	033	AB	B	64,247	27.19	n/a	30-Oct	2,569.88	4.0
BUCK CAPITAL MGMT		AEO	S	70,000	17.88	n/a	9-Oct	non-brg	4.0
NEW JERSEY DIV OF INV.	030	AMGN	S	20,000	54.62	n/a	n/a	600.00	3.0
BUCK CAPITAL MGMT		APC	B	6,166	61.12	n/a	9-Oct	non-brg	4.0
JOSEPH CIRO AMATURO	FID	APC	B	1000	61.30	n/a	9-Oct	0.00	0.0
BUCK CAPITAL MGMT		APP	S	30,000	2.86	n/a	n/a	non-brg	2.0
MTB INV ADV	034	ARO	B	7,425	38.05	n/a	9-Oct	371.25	5.0
WHITE PINE CAPITAL	030	ART	B	16,850	23.69	n/a	30-Oct	842.50	5.0
NEW JERSEY DIV OF INV.	030	ASEI	B	15,000	66.14	n/a	n/a	450.00	3.0
NEW JERSEY DIV OF INV.	030	ATHN	B	30,000	37.93	n/a	n/a	900.00	3.0
MARC PAUL LUCHANSKY	FID	AXLKA	S	20	1.15	n/a	n/a	0.00	0.0
COLONIAL FUND LLC	036	AXL	B	30,000	6.95	n/a	28-Oct	1,200.00	4.0
COOPER CREEK PART	028	AXL	B	15,000	6.29	n/a	28-Oct	450.00	3.0
ANDREW SINCLAIR	FID	AZWKO	B	100	0.20	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		BAC	B	26,972	14.66	n/a	26-Oct	non-brg	4.0
SUFFOLK CAPITAL MGMT	040	BBBY	B	118,800	35.97	n/a	n/a	4,752.00	4.0
COLUMBIA PARTNERS	028	BBT	SS	9,600	24.42	n/a	n/a	384.00	4.0
f JOSEPH CIRO AMATURO	FID	BGU	B	5000	47.32	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BHI	B	11,585	42.12	n/a	n/a	non-brg	4.0
TRUST CO/COWEN/CALF.	040	BHI	B	21,335	41.96	n/a	n/a	1,066.75	5.0
B BUCK CAPITAL MGMT		BJ	SS	20,000	35.39	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BKS	C	50,000	17.05	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BONT	B	80,000	9.19	n/a	n/a	non-brg	2.5
f DAVID S HOCHSTIM	FID	BRKB	B	20	3285.00	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BYI	B	20,000	39.51	n/a	n/a	non-brg	0.8
SMITH MGMT LLC	029	BZ	S	160,000	4.87	n/a	n/a	4,800.00	3.0
B BUCK CAPITAL MGMT		CAM	B	1,216	37.16	n/a	n/a	non-brg	4.0
SENATOR INVESTMENT GROUP	036	CBE	B	35,000	38.51	n/a	23-Oct	1,400.00	4.0
f EDWARD W WHEELER	FID	CCCDW	S	70	1.15	n/a	n/a	0.00	0.0
ROARING BLUE LION MGMT	012	CGA	SS	8,200	10.95	n/a	n/a	328.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MARC PAUL LUCHANSKY	FID	CHL	S	100	46.67	n/a	n/a	0.00	0.0
f DAVID S HOCHSTIM	FID	CIM	B	2000	3.67	n/a	n/a	0.00	0.0
f DAVID S HOCHSTIM	FID	CMO	B	1000	13.20	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		COF	B	10,622	36.65	n/a	28-Oct	non-brg	4.0
SANDLER O'NEILL ASSET	031	COF	B	19,400	36.49	n/a	28-Oct	970.00	5.0
LISTED ERR	099	COF	B	5,600	36.63	n/a	28-Oct	0.00	0.0
ROSEDALE CAPITAL	046	COG	B	8,000	39.41	n/a	27-Oct	400.00	5.0
STANDARD PACIFIC CAPITAL	040	COST	B	50,000	57.05	n/a	n/a	2,500.00	5.0
f ALEXANDRA ELISE ZOLI	FID	CRI	B	200	23.69	n/a	n/a	0.00	0.0
f JOEL GIFFORD TISS	FID	CVGI	B	10000	5.30	n/a	n/a	0.00	0.0
f JOHN PATRICK DAVEY	FID	CVGI	B	5000	4.82	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		C	B	99,692	4.08	n/a	16-Oct	non-brg	2.0
MERRILL ASSET/BLACKROCK	214	DBRN	B	32,713	17.99	n/a	n/a	1,472.09	4.5
f MARC PAUL LUCHANSKY	FID	DCTH	S	1000	4.66	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		DECK	S	7,400	92.01	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		DHI	B	40,000	11.10	n/a	n/a	non-brg	0.8
MILLENIUM PARTNERS	028	DKS	B	10,730	23.32	n/a	15-Oct	429.20	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		DVN	B	3,169	64.80	n/a	9-Oct	non-brg	4.0
MARC PAUL LUCHANSKY	FID	DVN	S	200	64.82	n/a	9-Oct	0.00	0.0
MARC PAUL LUCHANSKY	FID	DVN	S	500	64.61	n/a	9-Oct	0.00	0.0
MARC PAUL LUCHANSKY	FID	EEM	S	2000	37.49	n/a	n/a	0.00	0.0
MARC PAUL LUCHANSKY	FID	EFT	S	500	12.53	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	047	EL	B	12,115	42.95	n/a	20-Oct	605.75	5.0
TRUST CO/COWEN/CALF.	040	EL	S	200,000	43.60	n/a	20-Oct	10,000.00	5.0
TRUST CO/COWEN/CALF.	040	ESV	B	87,273	45.70	n/a	n/a	4,363.65	5.0
BUCK CAPITAL MGMT		EXH	B	7,856	20.62	n/a	9-Oct	non-brg	4.0
BUCK CAPITAL MGMT		FINL	S	20,000	10.12	n/a	n/a	non-brg	0.8
MANNING & NAPIER	034	FINL	B	50,000	10.17	n/a	n/a	1,500.00	3.0
BUCK CAPITAL MGMT		FITB	B	107	8.98	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT		FITB	B	2,822	8.98	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT		FITB	B	226	8.98	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT		FITB	B	326	8.98	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT		FITB	B	82	8.98	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT	001	FL	S	40,000	10.58	n/a	n/a	1,600.00	4.0
LISTED ERR	099	FL	S	3,000	10.72	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		FOR	B	25,000	15.09	n/a	12-Oct	non-brg	2.5
MARC PAUL LUCHANSKY	FID	FOR	S	1000	14.82	n/a	12-Oct	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f DAVID S HOCHSTIM	FID	FSIXX	S	175000	1.00	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		GAP	SS	20,000	9.85	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT	001	GES	B	10,000	37.06	n/a	n/a	400.00	4.0
f JOHN BARTMAN COLE	FID	GGC	B	450	14.55	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		GIL	B	20,000	17.88	n/a	n/a	non-brg	4.0
BARCLEYS CAP (OLD LEHM)	041	GME	S	50,000	24.18	n/a	n/a	2,000.00	4.0
BALYASNY ASSET MGMT	044	GPI	C	20,000	26.18	n/a	28-Oct	1,000.00	5.0
f ANTHONY NG	FID	GSI	B	500	3.67	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		GS	B	1,660	170.03	n/a	16-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		GYMB	B	10,000	42.83	n/a	9-Oct	non-brg	2.5
NEW JERSEY DIV OF INV.	030	GYMB	B	10,000	44.37	n/a	9-Oct	300.00	3.0
ISLE RIDGE PARTNERS	041	HD	SS	15,000	25.31	n/a	n/a	600.00	4.0
ß BUCK CAPITAL MGMT		HK	B	12,607	23.60	n/a	n/a	non-brg	4.0
PENNANT CAP MGMT	029	HOLX	B	400,000	14.84	n/a	n/a	12,000.00	3.0
ß BUCK CAPITAL MGMT		IBOC	SS	100,000	14.98	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		ICON	S	10,000	11.69	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		IJR	SS	101,000	49.40	n/a	n/a	non-brg	1.0
SCOPUS FUND	041	IP	B	50,000	23.01	n/a	28-Oct	2,500.00	5.0
ß BUCK CAPITAL MGMT		IR	B	20,000	32.10	n/a	26-Oct	non-brg	4.0
RAINIER INV MGMT	035	ITC	B	74,690	44.44	n/a	n/a	3,734.50	5.0
ß BUCK CAPITAL MGMT		IVZ	B	47,503	21.22	n/a	26-Oct	non-brg	4.0
f MARC PAUL LUCHANSKY	FID	IVZ	S	700	21.37	n/a	26-Oct	0.00	0.0
ß BUCK CAPITAL MGMT		IWM	C	10,000	56.68	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		IWM	SS	88,000	56.34	n/a	n/a	non-brg	1.0
f ANTHONY NG	FID	JBLU	S	325	4.93	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	JCG	B	5,000	41.06	n/a	n/a	200.00	4.0
ß BUCK CAPITAL MGMT		JCG	B	5,000	41.12	n/a	n/a	non-brg	0.8
MTB INV ADV	034	JCG	B	7,075	40.87	n/a	n/a	353.75	5.0
ADAGE CAPITAL MGMT	030	JCP	SS	75,000	33.91	n/a	9-Oct	3,000.00	4.0
ß BUCK CAPITAL MGMT		JNS	B	72,236	13.15	n/a	26-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		JOSB	B	10,000	41.88	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		JPM	B	7,280	41.87	n/a	15-Oct	non-brg	4.0
HUNTER GLOBAL INVESTOR	067	JPM	B	50,000	42.07	n/a	15-Oct	2,500.00	5.0
BUCK CAPITAL MGMT	001	JWN	B	40,000	32.14	30-Oct	30-Oct	1,600.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		KEG	B	28,773	7.32	n/a	29-Oct	non-brg	3.0
f MARC PAUL LUCHANSKY	FID	KGC	S	500	18.01	n/a	n/a	0.00	0.0
f ALEXANDRA ELISE ZOLI	FID	KMX	B	250	19.75	n/a	n/a	0.00	0.0
ISLE RIDGE PARTNERS	041	KSS	SS	15,000	57.52	30-Oct	30-Oct	600.00	4.0
B BUCK CAPITAL MGMT		LEN	B	40,000	12.72	n/a	n/a	non-brg	0.8
NEW JERSEY DIV OF INV.	030	LMIA	S	20,000	10.94	n/a	n/a	600.00	3.0
PHILADELPHIA FINANCIAL	033	LM	C	20,000	29.26	n/a	26-Oct	800.00	4.0
ROTHSCHILD ASSET	040	LZB	B	110,610	7.35	n/a	n/a	4,977.45	4.5
B BUCK CAPITAL MGMT		MDY	C	8,500	120.50	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		MDY	SS	41,700	119.78	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		MGM	SS	20,000	10.30	n/a	n/a	non-brg	0.8
CIRCLE T/SES PART	035	MGM	B	25,000	9.33	n/a	n/a	1,000.00	4.0
CIRCLE T/SES PART	035	MPEL	B	25,000	5.12	n/a	n/a	1,000.00	4.0
AELTUS/ING INVESTMENT MGT	215	MSFT	B	598,118	28.17	n/a	n/a	20,934.13	3.5
B BUCK CAPITAL MGMT		MS	B	15,580	32.08	n/a	22-Oct	non-brg	4.0
f MARC PAUL LUCHANSKY	FID	MS	S	500	32.23	n/a	22-Oct	0.00	0.0
f DAVID S HOCHSTIM	FID	MTW	B	8000	9.62	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TYEE/TYGH	035	MYL	B	99,861	16.57	n/a	29-Oct	3,994.44	4.0
BUCK CAPITAL MGMT	001	NTY	S	10,000	37.70	n/a	n/a	400.00	4.0
SYSTEMATIC FINANCIAL MGT	035	NUS	B	39,500	23.17	n/a	n/a	1,382.50	3.5
BUCK CAPITAL MGMT	001	NWY	S	10,000	4.51	n/a	n/a	300.00	3.0
f JONATHAN RICHARD HAR	FID	OPK	B	1000	2.23	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	OPK	S	1000	2.13	n/a	n/a	0.00	0.0
MILLENIUM PARTNERS	028	PETM	B	21,830	23.95	n/a	n/a	873.20	4.0
B BUCK CAPITAL MGMT		PLCE	S	10,000	31.84	n/a	12-Oct	non-brg	4.0
DENVER INST. ADV	046	PRGO	B	75,000	37.08	n/a	26-Oct	3,000.00	4.0
f NICOLAS EVAN PAKLER	FID	PRGO	B	100	37.16	n/a	26-Oct	0.00	0.0
SUFFOLK CAPITAL MGMT	040	PSSI	S	10,000	20.33	n/a	n/a	300.00	3.0
B BUCK CAPITAL MGMT		QKLS	B	19,500	6.45	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		RCL	B	10,000	20.25	n/a	n/a	non-brg	4.0
ISLE RIDGE PARTNERS	041	RCL	SS	35,000	20.31	n/a	n/a	1,400.00	4.0
B BUCK CAPITAL MGMT		RF	B	20,786	4.86	n/a	n/a	non-brg	3.0
EXIS CAPITAL	044	ROST	B	15,000	45.03	n/a	n/a	750.00	5.0
B BUCK CAPITAL MGMT		SBUX	C	60,000	19.47	n/a	2-Oct	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Ⓕ BUCK CAPITAL MGMT		SDS	S	10,000	41.07	n/a	n/a	non-brg	4.0
f MARC PAUL LUCHANSKY	FID	SDS	B	800	41.18	n/a	n/a	0.00	0.0
f PEARL LUCHANSKY	FID	SDS	B	500	41.17	n/a	n/a	0.00	0.0
Ⓕ BUCK CAPITAL MGMT		SII	B	11,430	27.68	n/a	n/a	non-brg	4.0
Ⓕ BUCK CAPITAL MGMT		SKF	S	3,000	26.91	n/a	n/a	non-brg	4.0
Ⓕ BUCK CAPITAL MGMT		SKX	S	30,000	22.06	n/a	n/a	non-brg	4.0
Ⓕ BUCK CAPITAL MGMT		SLB	B	4,766	62.23	n/a	n/a	non-brg	4.0
Ⓕ BUCK CAPITAL MGMT		SLM	B	7,706	9.75	n/a	28-Oct	non-brg	0.8
STANDARD PACIFIC CAPITAL	040	SON	B	10,407	26.50	n/a	n/a	520.35	5.0
STANDARD PACIFIC CAPITAL	040	SON	S	10,407	26.75	n/a	n/a	520.35	5.0
CUMBERLAND	239	SPY	B	25,000	103.89	n/a	n/a	750.00	3.0
f MARC PAUL LUCHANSKY	FID	SPY	S	1000	104.01	n/a	n/a	0.00	0.0
Ⓕ BUCK CAPITAL MGMT		SRS	S	4,000	10.29	n/a	n/a	non-brg	4.0
f SCOTT L BRUNNER	FID	SRS	B	2000	10.25	n/a	n/a	0.00	0.0
Ⓕ BUCK CAPITAL MGMT		STI	B	1,379	19.15	n/a	n/a	non-brg	4.0
Ⓕ BUCK CAPITAL MGMT		STI	B	113	19.15	n/a	n/a	non-brg	4.0
Ⓕ BUCK CAPITAL MGMT		STI	B	157	19.15	n/a	n/a	non-brg	4.0
Ⓕ BUCK CAPITAL MGMT		STI	B	44	19.15	n/a	n/a	non-brg	4.0
Ⓕ BUCK CAPITAL MGMT		STI	B	50	19.15	n/a	n/a	non-brg	4.0
Ⓕ BUCK CAPITAL MGMT		STT	B	8,533	42.07	n/a	23-Oct	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PZENA INV ADV	044	STT	B	6,875	43.69	n/a	23-Oct	240.63	3.5
HUNTER GLOBAL INVESTOR	067	STZ	B	75,000	15.92	n/a	n/a	3,000.00	4.0
⌘ BUCK CAPITAL MGMT		SVU	SS	20,000	16.01	n/a	n/a	non-brg	0.8
⌘ BUCK CAPITAL MGMT		SWN	B	7,366	43.79	n/a	30-Oct	non-brg	4.0
ISLE RIDGE PARTNERS	041	SYT	SS	10,000	26.83	n/a	n/a	400.00	4.0
⌘ BUCK CAPITAL MGMT		TGT	S	10,000	48.75	n/a	21-Oct	non-brg	0.8
ELM RIDGE ADVISORS	044	TIN	B	66,551	15.34	n/a	22-Oct	1,996.53	3.0
NEW JERSEY DIV OF INV.	030	TIVO	S	50,000	11.02	n/a	n/a	1,500.00	3.0
⌘ BUCK CAPITAL MGMT		TJX	S	10,000	38.23	n/a	21-Oct	non-brg	2.0
⌘ BUCK CAPITAL MGMT		TJX	S	20,000	38.30	n/a	21-Oct	non-brg	4.0
SIGMA CAPITAL ASSOCIATES	041	TJX	SS	25,000	38.25	n/a	21-Oct	1,000.00	4.0
⌘ JOHN BARTMAN COLE	FID	UNG	S	600	10.27	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	UNS	S	20,905	29.27	n/a	n/a	940.75	4.5
⌘ BUCK CAPITAL MGMT		URBN	B	20,000	32.09	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		URBN	B	5,000	31.68	n/a	n/a	non-brg	0.8
MTB INV ADV	034	URBN	B	23,225	31.53	n/a	n/a	1,161.25	5.0
⌘ MARC PAUL LUCHANSKY	FID	UYG	S	2000	5.28	n/a	n/a	0.00	0.0
⌘ IAN L MILLER	FID	VIXKI	S	10	1.05	n/a	n/a	0.00	0.0

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ß BUCK CAPITAL MGMT		VTG	B	1,060	1.62	n/a	n/a	non-brg 2.0
ß BUCK CAPITAL MGMT		VTG	B	1,417	1.62	n/a	n/a	non-brg 2.0
ß BUCK CAPITAL MGMT		VTG	B	12,371	1.62	n/a	n/a	non-brg 2.0
ß BUCK CAPITAL MGMT		VTG	B	370	1.62	n/a	n/a	non-brg 2.0
ß BUCK CAPITAL MGMT		VTG	B	458	1.62	n/a	n/a	non-brg 2.0
HUNTER GLOBAL INVESTOR	067	V	B	200,000	75.98	n/a	28-Oct	10,000.00 5.0
ß BUCK CAPITAL MGMT		WFT	B	11,198	17.50	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT	001	WRC	B	5,000	40.69	n/a	2-Oct	200.00 4.0
TRELLUS PARTNERS LP	028	WYNN	B	5,000	55.44	n/a	28-Oct	250.00 5.0
f MARC PAUL LUCHANSKY	FID	WY	S	500	36.33	n/a	12-Oct	0.00 0.0
OZ MGMT	040	WY	S	62,337	37.12	n/a	12-Oct	1,870.11 3.0
T. ROWE PRICE	033	WY	B	32,100	36.42	n/a	12-Oct	1,284.00 4.0
f ANTHONY NG	FID	XOMA	B	500	0.68	n/a	n/a	0.00 0.0
CAXTON PART	040	XTO	S	15,288	41.20	n/a	n/a	535.10 3.5
EXIS CAPITAL	044	ZQK	B	25,000	1.99	n/a	n/a	1,250.00 5.0
TOTAL (Trade Date):							144,274.11	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/29	SMITH MGMT LLC	029	BZ	S	190,000	5.20	n/a	n/a	9500.00 5.0
AO,CRT	10/29	SMITH MGMT LLC	029	BZ	S	190,000	5.20	n/a	n/a	5700.00 3.0
AO,	10/29	LISTED ERR	099	FL	B	3,000	10.72	n/a	n/a	0.00 0.0
AO,CRT	10/29	ROARING BLUE LION MGMT	012	FL	B	7,000	10.50	n/a	n/a	280.00 4.0
AO,CXL	10/29	ROARING BLUE LION MGMT	012	FL	B	10,000	10.50	n/a	n/a	400.00 4.0
AO,CRT	10/29	BRIGADE CAPITAL MGMT	029	JNY	B	25,000	17.45	n/a	29-Oct	750.00 3.0
AO,CXL	10/29	BRIGADE CAPITAL MGMT	029	JNY	B	25,000	17.45	n/a	29-Oct	1250.00 5.0
AO,CXL	10/29	BRIGADE CAPITAL MGMT	029	OMX	B	100,000	10.81	n/a	n/a	5000.00 5.0
AO,CRT	10/29	BRIGADE CAPITAL MGMT	029	OMX	B	100,000	10.81	n/a	n/a	3000.00 3.0
AO,CRT	10/29	HIGHBRIDGE CAP	041	SNV	S	200,000	2.35	n/a	n/a	4000.00 2.0
AO,CXL	10/29	HIGHBRIDGE CAP	041	SNV	S	200,000	2.35	n/a	n/a	8000.00 4.0
AO,CRT	10/29	NEW JERSEY DIV OF INV.	030	YHOO	S	100,000	16.01	n/a	n/a	3000.00 3.0
AO,CXL	10/29	NEW JERSEY DIV OF INV.	030	YHOO	S	100,000	16.01	n/a	n/a	3000.00 3.0
TOTAL (AO, CXL, CRT) :										-10,420.00

TOTAL (Trade Date):	144,274.11
TOTAL (AO, CXL, CRT):	-10,420.00

TOTAL (RUN DATE) / NFS:

133,854.11

MRI Securities with Trade Activity on 30-Oct.

JWN, KSS

MRI Securities without Trade Activity on 30-Oct.

KMT, CRR, AN

BRG comm. as a % of BCM Total Comm. paid.

T-Date = 11%

YTD = 19%

Legend:

Õ: Employee Trades in Outside Accounts

ß: Non-BRG BCM Trades

[i]: Initiation of Coverage

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

Watch List Trades

f: Employee Trades (Fidelity)