



# Daily Compliance Activity Report

Trade Date: 10/17/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>LEDDY</b>	<b>035</b>	<b>ABG</b>	<b>B</b>	<b>2,100</b>	<b>19.64</b>	<b>18-Jun</b>	<b>8-Oct</b>	<b>0.00</b>	<b>0.0</b>
KEEFE BRUYETTE WOODS A	031	AB	S	4,600	88.34	9-Aug	17-Oct	230.00	5.0
DAVID J GREEN & CO	040	ACCL	S	7,500	7.13	n/a	n/a	300.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>AEO</b>	<b>B</b>	<b>30,000</b>	<b>23.89</b>	<b>12-Oct</b>	<b>12-Oct</b>	<b>non-brg</b>	<b>4.0</b>
DURANGO INVESTMENTS	031	AHG	B	35,000	23.55	n/a	n/a	1,400.00	4.0
MAZAMA CAPITAL MGMT.	035	AIQ	S	91,900	9.22	n/a	n/a	3,676.00	4.0
BALYASNY ASSET MGMT	044	AMG	B	10,000	131.58	25-Jul	17-Oct	500.00	5.0
APEX CAPITAL MGMT.	091	AMZN	B	100,000	90.89	n/a	n/a	5,000.00	5.0
<b>BUCK</b>	<b>015</b>	<b>ANF</b>	<b>SS</b>	<b>600</b>	<b>79.46</b>	<b>2-Oct</b>	<b>12-Oct</b>	<b>0.00</b>	<b>0.0</b>
MERRILL ASSET	032	ARB	B	10,000	44.85	n/a	n/a	500.00	5.0
ROTHSCHILD ASSET	040	ARJ	B	41,020	45.13	n/a	n/a	1,845.90	4.5
TRIVIUM CAP MGMT	251	ARW	SS	25,000	42.85	n/a	n/a	1,000.00	4.0
DSM CAPITAL PARTNERS	032	BA	S	16,000	95.12	n/a	n/a	960.00	6.0
SUNOVA CAPITAL	031	BEN	B	60,000	136.66	25-Sep	15-Oct	3,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
<b>B BUCK CAPITAL MGMT</b>		<b>BHI</b>	<b>S</b>	<b>15,000</b>	<b>97.54</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg 4.0</b>
MUHLENKAMP FUND	046	BHP	S	78,900	83.43	n/a	n/a	3,945.00 5.0
LEVIN CAPITAL STRATEGIES	012	BIG	C	10,000	29.43	n/a	12-Oct	400.00 4.0
<b>LEDDY</b>	<b>035</b>	<b>BJ</b>	<b>S</b>	<b>400</b>	<b>35.75</b>	<b>n/a</b>	<b>27-Jul</b>	<b>0.00 0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BLK</b>	<b>S</b>	<b>9,500</b>	<b>197.61</b>	<b>17-Oct</b>	<b>17-Oct</b>	<b>non-brg 1.0</b>
GRUBER MACBAIN	033	BLK	B	4,000	191.71	17-Oct	17-Oct	160.00 4.0
<b>B BUCK CAPITAL MGMT</b>		<b>BONT</b>	<b>B</b>	<b>10,000</b>	<b>18.30</b>	<b>17-Oct</b>	<b>17-Oct</b>	<b>non-brg 2.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BONT</b>	<b>B</b>	<b>10,000</b>	<b>19.10</b>	<b>17-Oct</b>	<b>17-Oct</b>	<b>non-brg 4.0</b>
LAGRANGE CAP ADV	048	BONT	B	20,700	19.07	17-Oct	17-Oct	1,035.00 5.0
<b>MKT MAKER</b>	<b>099</b>	<b>BONT</b>	<b>B</b>	<b>50</b>	<b>19.07</b>	<b>17-Oct</b>	<b>17-Oct</b>	<b>0.00 0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BWS</b>	<b>B</b>	<b>50,000</b>	<b>20.30</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00 4.0</b>
<b>MILLER</b>	<b>N23</b>	<b>BX</b>	<b>B</b>	<b>10</b>	<b>26.17</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>
GEORGE WEISS	034	CBE	SS	3,000	55.17	19-Jul	9-Oct	120.00 4.0
WILLOW CREEK	033	CDS	SS	30,000	9.62	n/a	n/a	1,200.00 4.0
LAGRANGE CAP ADV	048	CETV	S	2,000	106.51	n/a	n/a	100.00 5.0
DSM CAPITAL PARTNERS	032	CGV	B	10,225	65.49	n/a	n/a	613.50 6.0
RAMIUS CAP	040	CHRS	S	50,000	7.64	n/a	22-Mar	2,500.00 5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
J L F ASSET MGMT	039	CHS	SS	152,400	13.34	12-Oct	12-Oct	6,096.00	4.0
SANDLER O'NEILL ASSET	031	CLMS	S	5,900	30.74	29-May	15-Oct	295.00	5.0
CATAPULT	040	CMA	B	10,000	49.23	n/a	n/a	500.00	5.0
DAVID J GREEN & CO	040	CNST	S	3,400	3.42	n/a	n/a	102.00	3.0
BEAR STEARNS ASSET MGMT.	033	COH	SS	15,000	42.96	15-Oct	15-Oct	600.00	4.0
BUCK CAPITAL MGMT	001	COH	SS	20,000	42.92	15-Oct	15-Oct	800.00	4.0
COUGAR TRADING	044	COH	B	5,000	43.45	15-Oct	15-Oct	250.00	5.0
LISTED ERR	099	COH	B	1,100	43.10	15-Oct	15-Oct	0.00	0.0
AMBER CAPITAL	046	COST	B	250,000	66.66	n/a	27-Jul	10,000.00	4.0
DENVER INST. ADV	046	COST	B	16,710	66.56	n/a	27-Jul	668.40	4.0
MAGUIRE	039	CPNLQ	B	2,500	1.61	n/a	29-Jun	0.00	0.0
SIGMA CAPITAL ASSOCIATES	237	CRI	SS	25,000	20.03	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT		C	B	66,400	44.56	n/a	16-Oct	non-brg	4.0
GOLDEN TREE	036	C	B	40,900	44.00	n/a	16-Oct	2,045.00	5.0
PRINCIPLE CAPITAL	040	DKS	SS	18,600	63.78	n/a	n/a	744.00	4.0
MERRILL ASSET	032	DRQ	B	16,900	51.81	n/a	n/a	845.00	5.0
OGORMAN	146	DXD	B	500	47.38	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		ESV	S	10,000	55.20	n/a	n/a	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GRUBER MACBAINE	033	FAF	S	25,000	35.60	n/a	n/a	1,000.00	4.0
<b>LEDDY</b>	<b>035</b>	<b>FBR</b>	<b>S</b>	<b>700</b>	<b>4.56</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
APEX CAPITAL MGMT.	091	FL	SS	100,000	14.70	22-Aug	4-Sep	5,000.00	5.0
REINHART & MAHONEY	031	FSP	S	26,300	17.00	n/a	n/a	1,315.00	5.0
OPTIMUM INV ADV	030	GCI	S	1,600	44.51	n/a	n/a	64.00	4.0
DSM CAPITAL PARTNERS	032	GENZ	B	4,620	72.57	n/a	n/a	277.20	6.0
<b>B BUCK CAPITAL MGMT</b>		<b>GES</b>	<b>S</b>	<b>10,000</b>	<b>56.14</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
J L F ASSET MGMT	039	GES	B	15,100	55.89	n/a	n/a	604.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>GIII</b>	<b>S</b>	<b>5,374</b>	<b>20.16</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
ACT II PARTNERS	067	GLBC	B	700	21.75	n/a	n/a	35.00	5.0
DENVER INST. ADV	046	GME	B	18,960	59.29	n/a	n/a	758.40	4.0
FRIESS MGMT	042	GME	S	389,000	58.65	n/a	n/a	17,505.00	4.5
MORGAN LEWIS/MLH	046	GRA	B	10,000	30.23	n/a	n/a	500.00	5.0
NORTHPOINT	030	GRNB	S	5,366	35.18	n/a	n/a	214.64	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>GSF</b>	<b>S</b>	<b>15,000</b>	<b>77.04</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
GOLDEN TREE	036	GT	S	111,000	30.20	n/a	n/a	5,550.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>GYMB</b>	<b>B</b>	<b>40,000</b>	<b>34.93</b>	<b>10-Aug</b>	<b>12-Oct</b>	<b>non-brg</b>	<b>4.0</b>
<b>ROSENBERG</b>	<b>034</b>	<b>HON</b>	<b>S</b>	<b>1,000</b>	<b>60.68</b>	<b>9-Oct</b>	<b>9-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>HP</b>	<b>S</b>	<b>25,000</b>	<b>32.59</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
AMBER CAPITAL	046	HSY	SS	330,000	44.28	n/a	n/a	13,200.00	4.0
MERRILL LYNCH STRATEGICI	034	HSY	SS	20,000	44.40	n/a	n/a	1,000.00	5.0
SENTINAL CAPITAL	067	IBM	B	6,000	116.92	n/a	n/a	300.00	5.0
CAPITAL GROWTH MGMT.	241	IHP	B	15,000	62.38	n/a	n/a	750.00	5.0
TRIVIUM CAP MGMT	251	IM	B	25,000	19.75	n/a	n/a	1,000.00	4.0
DEEPHAVEN	031	IVZ	B	25,000	29.02	8-Oct	17-Oct	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCG</b>	<b>S</b>	<b>50,000</b>	<b>41.17</b>	<b>22-Jun</b>	<b>6-Sep</b>	<b>2,000.00</b>	<b>4.0</b>
COUGAR TRADING	044	JCG	B	5,000	44.04	22-Jun	6-Sep	250.00	5.0
COUGAR TRADING	044	JCG	SS	10,000	43.22	22-Jun	6-Sep	500.00	5.0
VISIUM/BALY HOWARD	038	JCP	B	35,000	59.10	12-Oct	12-Oct	1,750.00	5.0
VISIUM/BALY HOWARD	038	JCP	SS	35,000	61.11	12-Oct	12-Oct	1,750.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>JOSB</b>	<b>B</b>	<b>15,000</b>	<b>32.53</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
DEEPHAVEN	031	JPM	B	25,000	46.38	n/a	16-Oct	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JWN</b>	<b>B</b>	<b>20,000</b>	<b>41.34</b>	<b>12-Oct</b>	<b>12-Oct</b>	<b>800.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	JWN	B	10,000	41.40	12-Oct	12-Oct	500.00	5.0
DAVID J GREEN & CO	040	KEYN	S	3,600	14.73	n/a	n/a	144.00	4.0
<b>BUCK</b>	<b>015</b>	<b>KEY</b>	<b>SS</b>	<b>1,000</b>	<b>29.66</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
XYLEM GLOBAL	091	KMB	SS	75,000	69.32	n/a	n/a	3,750.00	5.0
J L F ASSET MGMT	039	KSS	SS	64,500	56.99	27-Sep	12-Oct	2,580.00	4.0
METROPOLITAN CAPITAL	044	KSS	B	17,100	56.98	27-Sep	12-Oct	684.00	4.0
WYPER CAPITAL	044	LBTYK	S	30,000	38.90	n/a	n/a	1,200.00	4.0
DELTEC ASSET MGMT.	040	LEH	S	10,000	61.59	12-Jun	16-Oct	500.00	5.0
<b>SINCLAIR</b>	<b>031</b>	<b>LESAM</b>	<b>B</b>	<b>20</b>	<b>3.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>SINCLAIR</b>	<b>031</b>	<b>LESAN</b>	<b>S</b>	<b>20</b>	<b>1.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
GRUBER MACBAIN	033	LFG	S	25,000	35.04	n/a	n/a	1,000.00	4.0
DURANGO INVESTMENTS	031	LLTC	S	40,000	34.36	n/a	n/a	1,600.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LTD</b>	<b>B</b>	<b>30,000</b>	<b>22.31</b>	<b>16-May</b>	<b>17-Oct</b>	<b>1,200.00</b>	<b>4.0</b>
MFP INVESTORS	032	LTD	S	200,000	21.72	16-May	17-Oct	10,000.00	5.0
GALLEON MGMT LP	033	MA	B	20,000	151.91	n/a	n/a	1,000.00	5.0
FORD FDN.	032	MDT	S	30,000	50.57	n/a	22-Apr	1,500.00	5.0
PRINCIPLE CAPITAL	040	MW	B	22,700	40.68	n/a	n/a	908.00	4.0

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DAVID J GREEN & CO	040	MXWL	S	800	11.51	n/a	n/a	32.00	4.0
<b>MAGUIRE</b>	<b>090</b>	<b>MZZ</b>	<b>B</b>	<b>7,000</b>	<b>50.49</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DAVID J GREEN & CO	040	MZ	S	900	7.89	n/a	n/a	36.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>M</b>	<b>B</b>	<b>20,000</b>	<b>32.01</b>	<b>24-Sep</b>	<b>12-Oct</b>	<b>non-brg</b>	<b>4.0</b>
GOLD SACHS SPECIAL SIT	030	NDN	SS	246,700	10.83	13-Aug	12-Oct	12,335.00	5.0
PEREGRINE	030	NDN	B	175,000	10.88	13-Aug	12-Oct	8,750.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>OIH</b>	<b>SS</b>	<b>10,000</b>	<b>197.76</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
DAVID J GREEN & CO	040	ORCT	S	2,800	8.64	n/a	n/a	112.00	4.0
DAVID J GREEN & CO	040	PCOP	S	3,900	5.89	n/a	n/a	156.00	4.0
CSFB GLOBAL PROPRIETARY	035	PKG	B	10,000	30.70	18-Oct	21-Sep	500.00	5.0
SCOPUS FUND	041	PKG	B	25,000	30.72	18-Oct	21-Sep	1,250.00	5.0
CONN	041	PKG	B	10,000	30.46	18-Oct	21-Sep	300.00	3.0
REINHART & MAHONEY	031	PSYS	B	22,950	39.62	n/a	n/a	1,147.50	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>B</b>	<b>85,000</b>	<b>49.78</b>	<b>13-Aug</b>	<b>29-Aug</b>	<b>3,400.00</b>	<b>4.0</b>
JPMSI/TOM LEDDY	035	PVH	S	15,000	50.91	13-Aug	29-Aug	750.00	5.0
<b>MAGUIRE</b>	<b>090</b>	<b>QID</b>	<b>B</b>	<b>5,000</b>	<b>36.13</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FORSTMAN/AG CAP	250	RFMD	B	24,200	7.16	n/a	n/a	968.00	4.0

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<b>B BUCK CAPITAL MGMT</b>		<b>RIG</b>	<b>S</b>	<b>15,000</b>	<b>113.84</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>B</b>	<b>35,000</b>	<b>69.28</b>	<b>9-Aug</b>	<b>29-Aug</b>	<b>1,400.00</b>	<b>4.0</b>
COUGAR TRADING	044	RL	B	10,000	68.40	9-Aug	29-Aug	500.00	5.0
COUGAR TRADING	044	RL	SS	5,000	69.04	9-Aug	29-Aug	250.00	5.0
CUMBERLAND	038	RRGB	S	5,000	40.36	n/a	n/a	200.00	4.0
<b>MAGUIRE</b>	<b>039</b>	<b>RRI</b>	<b>B</b>	<b>200</b>	<b>26.19</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
GRUBER MACBAINE	033	RWT	S	24,000	28.69	n/a	n/a	960.00	4.0
LAGRANGE CAP ADV	048	SAM	SS	2,600	54.16	n/a	n/a	130.00	5.0
RIVER RUN MGMT	031	SCSS	B	100,000	13.03	n/a	n/a	5,000.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>SCVL</b>	<b>B</b>	<b>25,000</b>	<b>15.37</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>MAGUIRE</b>	<b>090</b>	<b>SKF</b>	<b>B</b>	<b>4,000</b>	<b>79.08</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FRIESS MGMT	042	SKX	S	102,400	20.87	n/a	13-Mar	4,608.00	4.5
DEEPHAVEN	031	SPY	SS	62,500	153.98	n/a	n/a	2,500.00	4.0
DSM CAPITAL PARTNERS	032	STT	B	3,175	74.73	n/a	n/a	190.50	6.0
DEEPHAVEN	031	SVU	S	30,000	37.03	n/a	n/a	1,500.00	5.0
DAVID J GREEN & CO	040	TECUA	S	3,800	17.02	n/a	n/a	152.00	4.0



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MATRIX ASSET ADV.	036	TEVA	S	6,600	45.26	2-Aug	15-Oct	163.62	1.3
BEAR STEARNS ASSET MGMT.	033	TIF	SS	30,000	54.31	1-Oct	1-Oct	1,200.00	4.0
GOLDEN TREE	036	TMO	S	37,100	59.11	n/a	n/a	1,855.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>TSON</b>	<b>S</b>	<b>1,000</b>	<b>24.36</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
PRINCIPLE CAPITAL	040	TUP	B	24,700	35.51	n/a	n/a	741.00	3.0
WASHINGTON ASSET	048	T	B	10,000	41.80	21-Sep	17-Oct	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>URBN</b>	<b>B</b>	<b>110,000</b>	<b>23.50</b>	<b>31-Jul</b>	<b>10-Aug</b>	<b>non-brg</b>	<b>4.0</b>
TRIVIUM CAP MGMT	251	VCLK	B	7,900	24.51	n/a	n/a	316.00	4.0
<b>LEDDY</b>	<b>035</b>	<b>VC</b>	<b>B</b>	<b>2,500</b>	<b>5.80</b>	<b>n/a</b>	<b>10-Oct</b>	<b>0.00</b>	<b>0.0</b>
LATEFF MGMT	040	WAG	B	3,000	38.14	n/a	n/a	510.00	17.0
<b>LEDDY</b>	<b>035</b>	<b>WBC</b>	<b>S</b>	<b>300</b>	<b>51.04</b>	<b>n/a</b>	<b>9-Oct</b>	<b>0.00</b>	<b>0.0</b>
DEEPHAVEN	031	WB	S	25,495	48.82	n/a	n/a	1,274.75	5.0
SANDLER O'NEILL ASSET	031	WDR	S	1,800	28.83	5-Oct	15-Oct	90.00	5.0
LOCUS WOOD CAPITAL MGMT	044	WFC	S	14,000	34.14	n/a	n/a	560.00	4.0
<b>BUCK</b>	<b>015</b>	<b>WFC</b>	<b>B</b>	<b>800</b>	<b>34.09</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>STRATTON</b>	<b>N21</b>	<b>WHDAE</b>	<b>B</b>	<b>1</b>	<b>10.10</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.	
BUCK CAPITAL MGMT	001	WMT	B	50,000	46.27	4-Jun	27-Jul	2,000.00	4.0
GALLEON MGMT LP	033	WMT	B	50,000	45.42	4-Jun	27-Jul	2,500.00	5.0
COUGAR TRADING	044	WRNC	B	5,000	41.29	19-Sep	28-Sep	250.00	5.0
DAVID J GREEN & CO	040	WVCM	S	1,400	27.02	n/a	n/a	56.00	4.0
TRIVIUM CAP MGMT	251	XLNX	S	200,000	25.54	n/a	n/a	8,000.00	4.0
LUCHANSKY4	036	YTEC	B	500	16.53	n/a	n/a	0.00	0.0
DSM CAPITAL PARTNERS	032	ZMH	B	2,275	81.78	n/a	n/a	136.50	6.0
BUCK CAPITAL MGMT	001	ZQK	S	20,000	13.43	n/a	7-Sep	800.00	4.0
TOTAL (Trade Date):							207,949.91		

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/16	DEEPHAVEN	031	AA	B	13,675	37.33	n/a	n/a	683.75 5.0
AO,CRT	10/16	DEEPHAVEN	031	AA	B	11,325	37.33	n/a	n/a	566.25 5.0
AO,CXL	10/16	DEEPHAVEN	031	AA	B	25,000	37.33	n/a	n/a	1250.00 5.0
AO,	10/16	REINHART & MAHONEY	031	MI	B	5,200	42.38	n/a	n/a	260.00 5.0
AO,CXL	10/16	PEREGRINE	030	NDN	B	21,600	10.80	13-Aug	12-Oct	0.00 0.0
AO,CRT	10/16	MATRIX ASSET ADV.	036	TWX	S	5,000	18.75	n/a	n/a	150.00 3.0
AO,CXL	10/16	MATRIX ASSET ADV.	036	TWX	S	5,000	18.75	n/a	n/a	200.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>210.00</b>

TOTAL (Trade Date):	207,949.91
TOTAL (AO, CXL, CRT):	210.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>208,159.91</b>
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MRI Securities with Trade Activity on 17-Oct. <b>BLK, BONT</b>
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MRI Securities without Trade Activity on 17-Oct. <b>NONE</b>
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BRG comm. as a % of BCM Total Comm. paid.

T-Date = 46%

YTD = 17%

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