



Daily Compliance Activity Report

Trade Date: 05/20/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		AAPL	S	5,000	242.10	n/a	n/a	non-brg	4.0
f JONATHAN RICHARD HAR	FID	ACUZ	S	8000	1.28	n/a	n/a	0.00	0.0
JP MORGAN VENTURES	046	AEO	S	50,000	15.03	n/a	10-May	2,500.00	5.0
LAGRANGE CAP ADV	048	ALV	B	5,000	44.70	n/a	28-Apr	250.00	5.0
LEVIN CAPITAL STRATEGIES	012	ALV	B	20,000	44.94	n/a	28-Apr	600.00	3.0
f WILLIAM WEINBERG	FID	AMLN	S	1700	15.73	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ANF	B	10,000	36.54	n/a	19-May	non-brg	4.0
EXIS CAPITAL	044	ANF	S	5,000	36.60	n/a	19-May	250.00	5.0
B BUCK CAPITAL MGMT		ANN	B	20,000	21.05	n/a	n/a	non-brg	4.0
BENCHMARK	025	APOL	B	2,500	57.78	n/a	n/a	125.00	5.0
B BUCK CAPITAL MGMT		ARO	B	40,000	27.32	n/a	10-May	non-brg	4.0
f ANTHONY SUTERA	FID	ASTI	S	5000	3.12	n/a	n/a	0.00	0.0
LAGRANGE CAP ADV	048	AXL	B	30,000	7.68	n/a	3-May	1,500.00	5.0
MILLRACE FUND LP	028	AXL	B	10,000	7.67	n/a	3-May	300.00	3.0
f CHRISTOPHER ROBERT C	FID	AXP	B	200	39.55	n/a	20-May	0.00	0.0
f JONATHAN RICHARD HAR	FID	BAC	S	550	15.56	n/a	17-May	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PLATTE RIVER CAPITAL	240	BAC	B	86,350	15.81	n/a	17-May	3,454.00	4.0
MAIRS AND POWER INV	030	BAX	B	10,000	41.59	n/a	n/a	500.00	5.0
EXIS CAPITAL	044	BEBE	S	82,300	6.67	n/a	n/a	4,115.00	5.0
f JONATHAN RICHARD HAR	FID	BEE	S	2145	4.54	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	BEE	S	388	4.32	n/a	n/a	0.00	0.0
EGS ASSOCIATES LP	091	BIG	SS	3,500	35.27	n/a	17-May	210.00	6.0
LEVEL GLOBAL SHARED ACCT	257	BKC	C	50,000	19.01	n/a	29-Apr	1,500.00	3.0
BUCK CAPITAL MGMT	001	BKS	SS	50,000	18.91	n/a	n/a	2,000.00	4.0
ß BUCK CAPITAL MGMT		BONT	S	15,000	13.03	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		BONT	S	26,700	13.40	n/a	n/a	non-brg	0.8
f EDWARD W WHEELER	FID	BTN	S	10000	7.61	n/a	n/a	0.00	0.0
MILLENNIUM-ANDEW	031	CAT	B	12,000	58.71	n/a	12-May	720.00	6.0
f RAGHAV NAYAR	FID	CDR	B	340	6.56	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CHS	B	50,000	11.73	n/a	5-Feb	non-brg	4.0
f WILLIAM J GAULT	FID	CLH	B	1000	63.11	n/a	n/a	0.00	0.0
f MARY CATHERI MADIGA	FID	CMO	S	1060	10.52	n/a	n/a	0.00	0.0
THOMAS WEISEL ASSET MGMT	035	CMVT	S	14,971	8.32	n/a	n/a	449.13	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		COH	S	20,000	38.02	n/a	14-May	non-brg	4.0
f DAVID GEORGE BUCK	FID	COP	S	1500	51.62	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	COP	S	500	52.21	n/a	n/a	0.00	0.0
ROYCE TRADING	216	CP	S	10,000	52.02	n/a	n/a	500.00	5.0
f KEVIN MICHAEL O'GORM	FID	CRBC	S	17500	0.98	n/a	n/a	0.00	0.0
ROYCE TRADING	216	CSX	S	10,000	50.11	n/a	n/a	500.00	5.0
f DAVID GEORGE BUCK	FID	CS	S	3000	39.05	n/a	n/a	0.00	0.0
WEISS PECK	040	CTRN	C	4,200	32.83	n/a	n/a	210.00	5.0
f JESSICA PERNO	FID	CVGI	S	150	11.17	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	CVGI	S	4250	11.01	n/a	n/a	0.00	0.0
f KEVIN MICHAEL O'GORM	FID	CVGI	S	6000	11.26	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	CVGI	S	2000	11.04	n/a	n/a	0.00	0.0
WAGONHOUND/NIC	048	CVGI	S	21,353	10.96	n/a	n/a	854.12	4.0
f ANTHONY SUTERA	FID	C	B	2000	3.68	n/a	17-May	0.00	0.0
f DAVID GEORGE BUCK	FID	C	B	5000	3.63	n/a	17-May	0.00	0.0
f JESSICA PERNO	FID	C	S	235	3.66	n/a	17-May	0.00	0.0
f JONATHAN RICHARD HAR	FID	C	S	2500	3.65	n/a	17-May	0.00	0.0
f KEVIN MICHAEL O'GORM	FID	C	S	10000	3.74	n/a	17-May	0.00	0.0
f MARY CATHERI MADIGA	FID	C	B	1425	3.70	n/a	17-May	0.00	0.0
f ANTHONY SUTERA	FID	DAN	B	1000	10.30	n/a	30-Apr	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		DBRN	B	20,000	27.69	n/a	n/a	non-brg	4.0
EXIS CAPITAL	044	DENN	S	25,000	2.85	n/a	n/a	1,250.00	5.0
B BUCK CAPITAL MGMT		DHI	B	2,100	12.42	n/a	n/a	non-brg	4.0
US BANCORP	098	DOW	S	168,856	25.62	n/a	20-May	8,442.80	5.0
f MARY CATHERI MADIGA	FID	DPZ	B	430	12.53	n/a	5-May	0.00	0.0
LOOMIS SALES/BOSTON	098	DTV	B	393,485	36.98	n/a	n/a	15,739.40	4.0
LEVIN CAPITAL STRATEGIES	012	DUG	S	10,000	69.39	n/a	n/a	300.00	3.0
LATEFF MGMT	035	DVN	B	4,500	61.96	n/a	5-May	720.00	16.0
B BUCK CAPITAL MGMT		ECL	B	500	46.20	n/a	10-May	non-brg	4.0
KACELA CAPITAL	034	EME	S	29,900	25.00	n/a	n/a	1,196.00	4.0
CRAMER ROSENTHAL/SCOTT	012	ERTS	S	7,600	16.72	n/a	n/a	304.00	4.0
f SCOTT L BRUNNER	FID	FAZ	B	3000	16.16	n/a	n/a	0.00	0.0
WEISS PECK	040	FE	B	12,800	35.05	n/a	n/a	640.00	5.0
CATAPULT	040	FITB	B	5,000	12.73	n/a	n/a	250.00	5.0
ROARING BLUE LION MGMT	012	FLS	B	800	96.45	n/a	n/a	32.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
B BUCK CAPITAL MGMT		FL	B	1,900	13.38	n/a	20-May	non-brg 4.0
f KEVIN MICHAEL O'GORM	FID	FL	B	4000	13.70	n/a	20-May	0.00 0.0
B BUCK CAPITAL MGMT		FOR	B	1,400	18.21	n/a	10-May	non-brg 4.0
f IAN L MILLER	FID	FOR	B	25	18.02	n/a	10-May	0.00 0.0
f WILLIAM WEINBERG	FID	FOR	S	3000	17.90	n/a	10-May	0.00 0.0
B BUCK CAPITAL MGMT		FOSL	S	50,000	36.07	n/a	n/a	non-brg 4.0
f MITCHELL JAMES SPEIS	FID	FSNXX	B	8825	1.00	n/a	n/a	0.00 0.0
BROADARCH CAP/OLD NEWC	070	FSS	S	9,800	6.61	n/a	n/a	392.00 4.0
f MARY CATHERI MADIGA	FID	F	B	500	11.05	n/a	4-May	0.00 0.0
B BUCK CAPITAL MGMT	001	GES	B	20,000	35.74	n/a	14-May	800.00 4.0
LEVEL GLOBAL SHARED ACCT	257	GES	B	100,000	35.88	n/a	14-May	3,000.00 3.0
f FRANCIS PATRICK GALL	FID	GFF	B	150	12.50	n/a	n/a	0.00 0.0
B BUCK CAPITAL MGMT		GPS	B	150,000	22.01	n/a	n/a	non-brg 4.0
B BUCK CAPITAL MGMT		GRMN	SS	30,000	33.29	n/a	n/a	non-brg 4.0
f ANDREW SINCLAIR	FID	GS	B	2	9.80	n/a	11-May	0.00 0.0
B BUCK CAPITAL MGMT		GYMB	B	30,000	45.30	n/a	20-May	non-brg 4.0
ROARING BLUE LION MGMT	012	GYMB	B	6,000	44.61	n/a	20-May	240.00 4.0
SPARTA ASSET MGMT	035	GYMB	B	7,500	44.00	n/a	20-May	225.00 3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHITE PINE CAPITAL	030	HAE	B	4,225	54.96	n/a	n/a	211.25	5.0
CONIFER/ISF	025	HAS	S	5,000	40.09	n/a	n/a	250.00	5.0
⚡ BUCK CAPITAL MGMT		IFF	B	500	44.14	n/a	10-May	non-brg	4.0
⚡ BUCK CAPITAL MGMT		IMAX	SS	30,000	17.70	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		IR	B	600	35.94	n/a	23-Apr	non-brg	4.0
HUNTER GLOBAL INVESTOR	067	IR	B	140,000	35.71	n/a	23-Apr	7,000.00	5.0
⚡ BUCK CAPITAL MGMT		ITW	B	500	46.05	n/a	30-Apr	non-brg	4.0
⚡ BUCK CAPITAL MGMT		IVZ	B	1,500	18.90	n/a	2-Mar	non-brg	0.8
⚡ DAVID GEORGE BUCK	FID	IWF	B	3000	48.39	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		JBHT	B	700	34.02	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		JCG	B	10,000	43.88	n/a	n/a	non-brg	4.0
CASTLEROCK	040	JCG	B	38,711	43.19	n/a	n/a	1,548.44	4.0
⚡ BUCK CAPITAL MGMT		JCP	B	900	26.46	n/a	14-May	non-brg	0.8
⚡ BUCK CAPITAL MGMT		JCP	S	424,536	26.06	n/a	14-May	non-brg	4.0
⚡ BUCK CAPITAL MGMT		JNS	B	2,100	11.37	n/a	n/a	non-brg	0.8
LAGRANGE CAP ADV	048	JNS	B	30,000	11.23	n/a	n/a	1,500.00	5.0
⚡ BUCK CAPITAL MGMT		JNY	B	1,600	18.73	n/a	14-May	non-brg	0.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		JNY	B	10,000	18.75	n/a	14-May	non-brg	4.0
BUCK CAPITAL MGMT		JOSB	B	10,000	57.09	n/a	n/a	non-brg	4.0
KLEINHEINZ CAP PART	031	JPM	S	75,000	38.35	n/a	17-May	3,750.00	5.0
BUCK CAPITAL MGMT		JWN	B	600	37.57	n/a	14-May	non-brg	0.8
BUCK CAPITAL MGMT		JWN	S	50,000	37.38	n/a	14-May	non-brg	2.0
BUCK CAPITAL MGMT		JWN	S	70,000	37.45	n/a	14-May	non-brg	4.0
BUCK CAPITAL MGMT		JWN	S	70,000	37.45	n/a	14-May	non-brg	4.0
BUCK CAPITAL MGMT		JWN	S	80,000	37.33	n/a	14-May	non-brg	4.0
BUCK CAPITAL MGMT		JWN	S	80,000	37.33	n/a	14-May	non-brg	4.0
KEVIN MICHAEL O'GORM	FID	KEY	S	3600	7.45	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		KSS	B	20,000	52.02	n/a	14-May	non-brg	4.0
EXIS CAPITAL	044	KSS	B	35,000	51.67	n/a	14-May	1,750.00	5.0
HIGHBRIDGE CAP	041	KSS	B	2,895	51.75	n/a	14-May	115.80	4.0
BUCK CAPITAL MGMT		LEN	B	1,300	17.71	n/a	n/a	non-brg	0.8
DAVID GEORGE BUCK	FID	LLY	S	2000	33.65	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		LL	S	10,000	27.17	n/a	n/a	non-brg	4.0
CATAPULT	040	LM	B	5,000	29.80	n/a	2-Mar	250.00	5.0
SCOPUS FUND	041	LPX	B	10,000	8.00	n/a	11-May	500.00	5.0
KLEINHEINZ CAP PART	031	LUK	S	75,000	21.42	n/a	n/a	3,750.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FIRST NEW YORK LEDDY	035	LVL	S	10,000	1.23	n/a	n/a	400.00	4.0
CATAPULT	040	MDR	B	25,000	21.82	n/a	n/a	1,250.00	5.0
f MARY CATHERI MADIGA	FID	MO	S	115	20.90	n/a	n/a	0.00	0.0
f KEVIN MICHAEL O'GORM	FID	MRT	S	3000	5.96	n/a	n/a	0.00	0.0
WADDELL AND REED	047	MSFT	S	500,000	27.27	n/a	n/a	20,000.00	4.0
NEUBERGER BERMAN	036	MWIV	S	5,800	49.57	n/a	n/a	232.00	4.0
B BUCK CAPITAL MGMT		M	B	1,100	20.86	n/a	13-May	non-brg	0.8
B BUCK CAPITAL MGMT		M	B	20,000	20.95	n/a	13-May	non-brg	4.0
HIGHBRIDGE CAP	041	M	B	7,183	20.80	n/a	13-May	287.32	4.0
f JOHN MICHAEL ZOLIDIS	FID	NFLX	S	5	8.00	n/a	n/a	0.00	0.0
f WILLIAM WEINBERG	FID	NG	S	8000	6.55	n/a	n/a	0.00	0.0
DIAMONDBACK CAP MGMT	232	NWL	S	115,000	15.77	n/a	n/a	5,750.00	5.0
B BUCK CAPITAL MGMT		OZM	B	1,000	15.23	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		OZM	B	1,400	15.23	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		OZM	B	13,100	15.23	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		OZM	B	400	15.23	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		OZM	B	500	15.23	n/a	n/a	non-brg	4.0
LAGRANGE CAP ADV	048	PAG	B	29,500	12.69	n/a	3-May	1,475.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MATTHEW FRANCIS BUCK	FID	PEP	B	200	65.00	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		PFCB	SS	30,000	43.71	n/a	28-Apr	non-brg	4.0
EXIS CAPITAL	044	PIR	S	55,000	7.27	n/a	n/a	2,750.00	5.0
B BUCK CAPITAL MGMT		PLCE	B	155,000	43.04	n/a	17-May	non-brg	0.8
B BUCK CAPITAL MGMT		PLCE	B	75,000	42.62	n/a	17-May	non-brg	4.0
ROARING BLUE LION MGMT	012	PLCE	B	2,000	41.30	n/a	17-May	80.00	4.0
THE JAY GOLDMAN	028	PNK	B	20,000	11.89	n/a	n/a	800.00	4.0
LAGRANGE CAP ADV	048	PSS	SS	5,000	21.00	n/a	n/a	250.00	5.0
B BUCK CAPITAL MGMT		PVH	B	20,000	51.92	n/a	14-May	non-brg	4.0
B BUCK CAPITAL MGMT		PVH	S	20,000	52.70	n/a	14-May	non-brg	4.0
LEVIN CAPITAL STRATEGIES	012	PVH	B	25,000	51.53	n/a	14-May	750.00	3.0
B BUCK CAPITAL MGMT		QKLS	S	111,000	5.11	n/a	n/a	non-brg	3.0
COLUMBUS CIRCLE	036	RADS	B	306	15.18	n/a	n/a	6.12	2.0
BROADARCH CAP/OLD NEWC	070	RFMD	S	21,300	4.70	n/a	n/a	852.00	4.0
f KEVIN MICHAEL O'GORM	FID	RF	S	3000	7.33	n/a	n/a	0.00	0.0
EXIS CAPITAL	044	RL	SS	5,000	85.68	n/a	20-May	250.00	5.0
B BUCK CAPITAL MGMT		RRR	B	3,000	7.48	n/a	30-Apr	non-brg	0.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		RT	S	10,000	10.40	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		RT	S	40,000	10.62	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	RYN	B	2000	43.54	n/a	13-May	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	RYN	B	300	43.56	n/a	13-May	0.00	0.0
f WILLIAM WEINBERG	FID	SD	S	10000	5.91	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SIG	S	45,000	30.00	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		SIG	S	5,000	29.92	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		SKS	SS	200,000	8.47	n/a	n/a	non-brg	3.0
f JONATHAN RICHARD HAR	FID	SOKE	S	2000	3.95	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	SPY	S	20	3.60	n/a	n/a	0.00	0.0
COUGAR TRADING	044	TAST	S	10,000	6.58	n/a	n/a	500.00	5.0
f KEVIN MICHAEL O'GORM	FID	TBT	S	1250	38.66	n/a	n/a	0.00	0.0
ENTRUST CAPITAL	040	TEL	B	40,500	27.15	n/a	n/a	2,025.00	5.0
B BUCK CAPITAL MGMT		TIF	SS	100,000	42.81	n/a	n/a	non-brg	4.0
EXIS CAPITAL	044	TJX	SS	10,000	44.21	n/a	19-May	500.00	5.0
B BUCK CAPITAL MGMT		TRLG	SS	30,000	26.67	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		TSCO	SS	20,000	65.38	n/a	n/a	non-brg	4.0

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f JONATHAN RICHARD HAR	FID	TZA	B	5000	7.18	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	T	S	700	25.08	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		UA	SS	10,000	30.50	n/a	28-Apr	non-brg	0.8
ß BUCK CAPITAL MGMT		UA	SS	40,000	30.71	n/a	28-Apr	non-brg	4.0
ß BUCK CAPITAL MGMT		VFC	SS	20,000	77.95	n/a	14-May	non-brg	4.0
f JOHN BARTMAN COLE	FID	VRS	B	3000	3.59	n/a	n/a	0.00	0.0
f ANTHONY SUTERA	FID	VTG	S	5000	1.52	n/a	n/a	0.00	0.0
f ALEXANDER A SACCO	FID	VXX	S	100	33.07	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	VXX	B	100	33.75	n/a	n/a	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	WHR	B	5	3.67	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	263	WLL	S	8,600	74.28	n/a	n/a	344.00	4.0
f EDWARD W WHEELER	FID	WNC	B	15000	7.43	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	WNC	B	5000	7.35	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	WRC	B	30,000	40.98	n/a	14-May	1,200.00	4.0
LEVIN CAPITAL STRATEGIES	012	WRC	S	25,000	40.79	n/a	14-May	750.00	3.0
f CHRISTOPHER ROBERT C	FID	WY	B	150	42.95	n/a	30-Apr	0.00	0.0
ß BUCK CAPITAL MGMT		XLP	SS	350,000	26.74	n/a	n/a	non-brg	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CASTLE ARK	031	XOM	S	173,780	61.21	n/a	n/a	10,426.80	6.0
MERRILL ASSET/BLACKROCK	263	XRX	S	814,700	9.11	n/a	n/a	32,588.00	4.0
EXIS CAPITAL	044	ZQK	B	25,000	4.38	n/a	10-May	1,250.00	5.0
EXIS CAPITAL	044	ZQK	S	75,000	4.50	n/a	10-May	3,750.00	5.0
EXIS CAPITAL	044	ZUMZ	S	20,000	16.45	n/a	n/a	1,000.00	5.0
TOTAL (Trade Date):								164,160.18	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	05/19	CARLSON CAPITAL	203	ALK	B	40,000	46.00	n/a	n/a	1600.00 4.0
AO,CRT	05/19	CARLSON CAPITAL	203	ALK	B	40,000	46.00	n/a	n/a	1600.00 4.0
AO,CRT	05/19	MILLRACE FUND LP	028	AXL	B	20,000	8.20	n/a	3-May	600.00 3.0
AO,CXL	05/19	MILLRACE FUND LP	028	AXL	B	20,000	8.20	n/a	3-May	800.00 4.0
AO,	05/19	BANK OF AMERICA/MERRILL	259	IGT	B	4,500	20.55	n/a	23-Apr	180.00 4.0
AO,	05/19	BANK OF AMERICA/MERRILL	259	JBHT	B	10,000	35.10	n/a	n/a	400.00 4.0
AO,CXL	05/19	SOUTH POINT CAP	067	NOVL	B	175,000	6.03	n/a	n/a	8750.00 5.0
AO,CRT	05/19	SOUTH POINT CAP	067	NOVL	B	175,000	6.03	n/a	n/a	8750.00 5.0
AO,	05/19	COLUMBUS CIRCLE	036	RADS	B	5,091	15.46	n/a	n/a	196.08 3.3

TOTAL (AO, CXL, CRT) :**576.08**

TOTAL (Trade Date):

164,160.18

TOTAL (AO, CXL, CRT):

576.08

TOTAL (RUN DATE) / NFS:**164,736.26**

MRI Securities with Trade Activity on 20-May.
NONE

MRI Securities without Trade Activity on 20-May.
DLTR

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 4%
YTD = 8%

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)