



# Daily Compliance Activity Report

Trade Date: 11/01/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	AAPL	B	85	519.38	n/a	n/a	3.40	4.0
PIONEER OAKRIDGE	031	AAPL	S	120	518.65	n/a	n/a	3.60	3.0
SAC CHRIS C	041	ABT	B	150,000	36.84	n/a	n/a	4,500.00	3.0
BESSEMER INVESTMENT	085	ACE	B	284	95.99	n/a	n/a	11.36	4.0
BESSEMER INVESTMENT	085	ACN	B	249	73.03	n/a	n/a	9.96	4.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>ACT</b>	<b>S</b>	<b>40</b>	<b>7.40</b>	<b>30-Oct</b>	<b>30-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>ACWV</b>	<b>B</b>	<b>2000</b>	<b>64.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BESSEMER INVESTMENT	085	AET	B	316	62.74	n/a	n/a	12.64	4.0
BESSEMER INVESTMENT	085	AIG	B	453	48.24	n/a	n/a	18.12	4.0
<b>f MARK ANTHONY GRONET</b>	<b>FID</b>	<b>AIG</b>	<b>B</b>	<b>300</b>	<b>48.51</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PIONEER OAKRIDGE	031	ALTR	S	400	33.36	n/a	n/a	12.00	3.0
PIONEER OAKRIDGE	031	AME	S	790	47.44	n/a	n/a	23.70	3.0
PIONEER OAKRIDGE	031	AMG	S	205	196.68	n/a	n/a	6.15	3.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>AMRI</b>	<b>B</b>	<b>2000</b>	<b>12.99</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SAC CHRIS C	041	ARRAY	B	75,000	6.65	n/a	n/a	2,250.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SAC CHRIS C	041	ARNA	SS	100,000	4.32	n/a	n/a	3,000.00	3.0
⌘ BUCK CAPITAL MGMT		ASNA	C	600	19.68	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		ASNA	SS	900	19.66	n/a	n/a	non-brg	1.0
LATEEF MGMT	033	ATI	S	500	33.18	n/a	23-Oct	50.00	10.0
EVERGREEN	047	AVT	B	10,600	39.74	n/a	n/a	424.00	4.0
BESSEMER INVESTMENT	085	AWK	B	1,030	42.81	n/a	n/a	41.20	4.0
⌘ BUCK CAPITAL MGMT		AXL	B	1,020	17.73	n/a	1-Nov	non-brg	1.0
⌘ BUCK CAPITAL MGMT		AXL	B	30,000	17.79	n/a	1-Nov	non-brg	3.0
⌘ BUCK CAPITAL MGMT		AXP	B	190	82.26	n/a	31-Oct	non-brg	1.0
EVERGREEN	047	A	S	8,300	51.04	n/a	n/a	332.00	4.0
⌘ BUCK CAPITAL MGMT		BAC	B	1,710	14.06	n/a	25-Oct	non-brg	1.0
f DAVID GEORGE BUCK	FID	BAX	S	30	0.36	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	BAX	S	14,610	66.16	n/a	n/a	438.30	3.0
PIONEER OAKRIDGE	031	BBBY	S	320	76.49	n/a	n/a	9.60	3.0
⌘ BUCK CAPITAL MGMT		BBY	B	1,800	42.79	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		BBY	S	1,300	42.77	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		BCC	B	7,500	24.73	n/a	n/a	non-brg	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		BCC	B	820	25.56	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		BHI	B	260	57.33	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		BIG	C	500	36.44	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		BIG	SS	100	36.24	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		BIG	SS	900	36.40	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		BKW	C	200	21.00	n/a	30-Oct	non-brg	1.0
ß BUCK CAPITAL MGMT		BKW	SS	300	20.97	n/a	30-Oct	non-brg	1.0
ß BUCK CAPITAL MGMT		BLMN	B	1,400	25.77	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		BLMN	B	20,000	25.39	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BLMN	S	900	25.75	n/a	n/a	non-brg	1.0
MERRILL ASSET/BLACKROCK	085	BOH	B	17,100	57.60	n/a	n/a	684.00	4.0
ß BUCK CAPITAL MGMT		BONT	C	100	11.04	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		BONT	SS	100	11.01	n/a	n/a	non-brg	1.0
SAC CHRIS C	041	BSX	B	150,000	11.70	n/a	n/a	4,500.00	3.0
ß BUCK CAPITAL MGMT		BURL	C	600	26.62	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		BURL	SS	900	26.58	n/a	n/a	non-brg	1.0
PIONEER OAKRIDGE	031	CAH	B	31,900	60.82	n/a	n/a	957.00	3.0
ß BUCK CAPITAL MGMT		CAR	B	3,000	31.20	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		CAR	B	850	31.21	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		CAR	S	1,800	31.16	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>CBK</b>	<b>B</b>	<b>1000</b>	<b>5.62</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PIONEER OAKRIDGE	031	CELG	S	405	149.67	n/a	n/a	12.15	3.0
<b>ß BUCK CAPITAL MGMT</b>		<b>CERN</b>	<b>SS</b>	<b>180</b>	<b>55.77</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
PIONEER OAKRIDGE	031	CERN	S	660	55.76	n/a	n/a	19.80	3.0
PIONEER OAKRIDGE	031	CHD	S	425	65.08	n/a	1-Nov	12.75	3.0
PIONEER OAKRIDGE	031	CHKP	S	435	57.96	n/a	n/a	13.05	3.0
SAGE ASSET MGMT	025	CLX	B	8,900	89.75	n/a	n/a	445.00	5.0
BESSEMER INVESTMENT	085	CMI	B	65	128.56	n/a	30-Oct	2.60	4.0
<b>ß BUCK CAPITAL MGMT</b>		<b>CNC</b>	<b>B</b>	<b>370</b>	<b>55.44</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
CSL ASSOCIATES	006	CNW	B	10,000	41.27	1-Nov	1-Nov	500.00	5.0
<b>ß BUCK CAPITAL MGMT</b>		<b>COF</b>	<b>B</b>	<b>320</b>	<b>69.14</b>	<b>15-Oct</b>	<b>30-Oct</b>	<b>non-brg</b>	<b>1.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>COLM</b>	<b>B</b>	<b>500</b>	<b>66.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MERRILL ASSET/BLACKROCK	085	CONE	B	633	19.54	n/a	n/a	25.32	4.0
<b>ß BUCK CAPITAL MGMT</b>		<b>CONN</b>	<b>B</b>	<b>120</b>	<b>60.49</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>CONN</b>	<b>B</b>	<b>600</b>	<b>61.07</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>CONN</b>	<b>S</b>	<b>400</b>	<b>61.07</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
BESSEMER INVESTMENT	085	COP	B	315	72.87	n/a	n/a	12.60	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	CTL	B	468	33.60	n/a	n/a	18.72	4.0
SAC CHRIS C	041	CTRX	B	75,000	46.40	n/a	n/a	2,250.00	3.0
PIONEER OAKRIDGE	031	CTSH	S	170	86.39	n/a	n/a	5.10	3.0
TROUBH PART	070	CVC	S	10,000	15.90	n/a	n/a	500.00	5.0
BESSEMER INVESTMENT	085	CVS	B	399	62.71	n/a	n/a	15.96	4.0
PIONEER OAKRIDGE	031	CXO	S	135	107.16	n/a	n/a	4.05	3.0
BESSEMER INVESTMENT	085	C	B	478	48.71	n/a	25-Oct	19.12	4.0
⌘ BUCK CAPITAL MGMT		C	B	280	48.76	n/a	25-Oct	non-brg	1.0
⌘ BUCK CAPITAL MGMT		DAL	B	460	26.76	23-Oct	31-Oct	non-brg	1.0
⌘ BUCK CAPITAL MGMT		DAL	SS	460	26.75	23-Oct	31-Oct	non-brg	1.0
JSRG CAPITAL PARTNERS LP	084	DAL	B	40,000	26.84	23-Oct	31-Oct	1,200.00	3.0
LATEEF MGMT	033	DAL	S	500	26.68	23-Oct	31-Oct	50.00	10.0
⌘ BUCK CAPITAL MGMT		DECK	B	700	68.50	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		DECK	S	500	68.42	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		DFS	B	390	52.01	n/a	30-Oct	non-brg	1.0
⌘ BUCK CAPITAL MGMT		DGX	B	250	60.25	n/a	n/a	non-brg	1.0
BESSEMER INVESTMENT	085	DG	B	680	57.84	n/a	n/a	27.20	4.0
⌘ BUCK CAPITAL MGMT		DG	B	210	57.59	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SHEFFIELD ASSET MGMT	031	DG	B	52,500	57.87	n/a	n/a	2,625.00	5.0
⚡ BUCK CAPITAL MGMT		DHI	B	1,170	18.36	n/a	n/a	non-brg	1.0
PIIONEER OAKRIDGE	031	DHR	S	625	72.16	n/a	n/a	18.75	3.0
f MANNY I KORMAN	FID	DISCA	S	2000	87.87	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	DIS	S	100	1.33	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		DKS	B	2,700	53.21	n/a	30-Oct	non-brg	1.0
⚡ BUCK CAPITAL MGMT		DKS	B	320	53.11	n/a	30-Oct	non-brg	1.0
⚡ BUCK CAPITAL MGMT		DKS	S	1,800	53.15	n/a	30-Oct	non-brg	1.0
PIIONEER OAKRIDGE	031	DLTR	S	430	58.08	n/a	n/a	12.90	3.0
PIIONEER OAKRIDGE	031	DNR	S	900	18.67	n/a	n/a	27.00	3.0
⚡ BUCK CAPITAL MGMT		DSW	B	700	86.90	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		DSW	S	500	86.83	n/a	n/a	non-brg	1.0
LATEEF MGMT	033	DVN	S	400	63.57	n/a	n/a	48.00	12.0
⚡ BUCK CAPITAL MGMT		EAT	C	300	44.49	n/a	30-Oct	non-brg	1.0
⚡ BUCK CAPITAL MGMT		EAT	SS	500	44.46	n/a	30-Oct	non-brg	1.0
⚡ BUCK CAPITAL MGMT		EBAY	B	900	52.42	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		EBAY	S	600	52.41	n/a	n/a	non-brg	1.0
PIIONEER OAKRIDGE	031	ECL	S	330	105.79	n/a	n/a	9.90	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		ELLI	B	130	23.96	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		ELLI	B	40,000	23.35	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		EL	B	1,100	69.92	n/a	31-Oct	non-brg	1.0
ß BUCK CAPITAL MGMT		EL	S	700	69.87	n/a	31-Oct	non-brg	1.0
f DAVID GEORGE BUCK	FID	EL	B	3000	70.03	n/a	31-Oct	0.00	0.0
PIONEER OAKRIDGE	031	EMC	S	750	23.76	n/a	n/a	22.50	3.0
OSKIE CAPITAL MGMT	224	ESRX	B	20,000	62.59	n/a	n/a	1,000.00	5.0
PIONEER OAKRIDGE	031	ESRX	S	610	62.28	n/a	n/a	18.30	3.0
ß BUCK CAPITAL MGMT		ETN	B	250	69.86	31-Oct	31-Oct	non-brg	1.0
f DAVID GEORGE BUCK	FID	ETY	B	2500	10.70	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		EXPR	B	1,400	22.57	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		EXPR	S	1,000	22.55	n/a	n/a	non-brg	1.0
AMICI CAPITAL N/C	044	FB	B	50,000	50.71	n/a	n/a	2,000.00	4.0
LATEEF MGMT	033	FCX	S	500	36.68	n/a	n/a	50.00	10.0
SHEFFIELD ASSET MGMT	031	FDO	B	7,500	69.73	n/a	10-Oct	375.00	5.0
ß BUCK CAPITAL MGMT		FINL	B	430	24.96	n/a	30-Oct	non-brg	1.0
ß BUCK CAPITAL MGMT		FL	B	420	34.80	n/a	30-Oct	non-brg	1.0
ß BUCK CAPITAL MGMT		FL	B	5,800	34.78	n/a	30-Oct	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
ß BUCK CAPITAL MGMT		FL	S	3,700	34.77	n/a	30-Oct	non-brg 1.0
ß BUCK CAPITAL MGMT		FNP	B	200	26.67	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		FNP	B	6,400	26.52	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		FNP	S	4,000	26.50	n/a	n/a	non-brg 1.0
PROSPECTOR PARTNERS LLC	036	FOR	B	10,000	21.68	n/a	n/a	400.00 4.0
ß BUCK CAPITAL MGMT		FOSL	B	1,100	127.08	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		FOSL	S	800	126.95	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		FRAN	S	98,800	18.01	n/a	n/a	non-brg 4.0
ß BUCK CAPITAL MGMT		FWM	B	250	24.32	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		FWM	B	4,900	24.39	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		FWM	S	3,200	24.23	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		F	SS	760	17.01	n/a	1-Nov	non-brg 1.0
ß BUCK CAPITAL MGMT		GCO	B	2,200	67.37	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		GCO	S	1,500	67.21	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		GES	C	800	31.14	n/a	17-Oct	non-brg 1.0
ß BUCK CAPITAL MGMT		GES	SS	1,400	31.10	n/a	17-Oct	non-brg 1.0
ß BUCK CAPITAL MGMT		GES	SS	320	31.08	n/a	17-Oct	non-brg 1.0
MOORE CAPITAL	257	GE	B	50,000	26.28	n/a	n/a	1,500.00 3.0
ß BUCK CAPITAL MGMT		GIII	B	100	55.95	n/a	17-Oct	non-brg 1.0
ß BUCK CAPITAL MGMT		GIII	B	3,700	55.85	n/a	17-Oct	non-brg 1.0



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BUCK CAPITAL MGMT		GIII	S	2,400	55.63	n/a	17-Oct	non-brg	1.0
PIONEER OAKRIDGE	031	GILD	S	635	70.62	n/a	n/a	19.05	3.0
BUCK CAPITAL MGMT		GIL	B	2,900	48.23	n/a	17-Oct	non-brg	1.0
BUCK CAPITAL MGMT		GIL	S	1,800	48.19	n/a	17-Oct	non-brg	1.0
BUCK CAPITAL MGMT		GIS	C	300	50.24	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		GIS	SS	400	50.23	n/a	n/a	non-brg	1.0
LATEEF MGMT	033	GLW	B	500	17.10	n/a	n/a	50.00	10.0
BUCK CAPITAL MGMT		GME	B	1,100	54.84	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		GME	S	700	54.83	n/a	n/a	non-brg	1.0
BALYASNY ASSET MGMT	044	GM	B	100,000	37.39	n/a	1-Nov	5,000.00	5.0
BUCK CAPITAL MGMT		GM	B	840	37.53	n/a	1-Nov	non-brg	1.0
RIDGECREST INV MGMT LLC	028	GM	S	5,000	37.85	n/a	1-Nov	200.00	4.0
STANDARD PACIFIC CAPITAL	084	GM	B	272,000	37.73	n/a	1-Nov	13,600.00	5.0
TIDE POINT CAPITAL	028	GM	B	20,000	37.79	n/a	1-Nov	600.00	3.0
BUCK CAPITAL MGMT		GNC	B	3,400	58.34	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		GNC	S	2,300	58.31	n/a	n/a	non-brg	1.0
PIONEER OAKRIDGE	031	GOOG	S	201,028.64		n/a	n/a	0.60	3.0
TIDE POINT CAPITAL	028	GPI	B	11,000	64.45	25-Oct	31-Oct	330.00	3.0
BUCK CAPITAL MGMT		GPS	C	500	36.56	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		GPS	SS	20	36.51	n/a	n/a	non-brg	1.0

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ß BUCK CAPITAL MGMT		GPS	SS	700	36.55	n/a	n/a	non-brg	1.0
PIONEER OAKRIDGE	031	GS	S	135	161.26	n/a	25-Oct	4.05	3.0
ß BUCK CAPITAL MGMT		HAL	B	180	52.72	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		HBI	B	2,000	68.09	31-Oct	31-Oct	non-brg	1.0
ß BUCK CAPITAL MGMT		HBI	S	1,300	68.02	31-Oct	31-Oct	non-brg	1.0
ß BUCK CAPITAL MGMT		HCA	B	450	46.86	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		HDS	B	25,000	19.94	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		HDS	B	3,100	20.12	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		HDS	B	830	20.04	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		HDS	S	2,000	20.10	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		HD	B	300	77.23	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		HD	S	200	77.22	n/a	n/a	non-brg	1.0
SAC CHRIS C	041	HOLX	SS	75,000	22.41	n/a	n/a	2,250.00	3.0
SAC CHRIS C	041	HOLX	S	25,000	22.31	n/a	n/a	750.00	3.0
ß BUCK CAPITAL MGMT		HOS	SS	10,000	53.62	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		HTZ	B	3,700	22.90	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		HTZ	B	990	23.06	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		HTZ	S	2,400	22.89	n/a	n/a	non-brg	1.0
SAC CHRIS C	041	HWAY	S	93,000	10.26	n/a	n/a	2,790.00	3.0
BESSEMER INVESTMENT	085	IBM	B	147	179.44	n/a	n/a	5.88	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	ICE	S	150	193.28	n/a	n/a	4.50	3.0
⌘ BUCK CAPITAL MGMT		ICON	B	300	36.16	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		ICON	S	400	36.16	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		IJH	SS	630	127.99	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		IP	B	140	44.75	n/a	25-Oct	non-brg	1.0
PIONEER OAKRIDGE	031	ISRG	S	25	369.67	n/a	n/a	0.75	3.0
BESSEMER INVESTMENT	085	ITW	B	386	78.93	n/a	n/a	15.44	4.0
PIONEER OAKRIDGE	031	ITW	S	545	78.67	n/a	n/a	16.35	3.0
PIONEER OAKRIDGE	031	IT	S	470	59.12	n/a	n/a	14.10	3.0
⌘ BUCK CAPITAL MGMT		IWM	SS	1,350	108.10	n/a	n/a	non-brg	1.0
BTG PACTUAL	040	JBLU	B	20,000	7.23	n/a	30-Oct	600.00	3.0
⌘ BUCK CAPITAL MGMT		JBLU	B	4,700	7.21	n/a	30-Oct	non-brg	1.0
⌘ BUCK CAPITAL MGMT		JBLU	B	50,000	7.21	n/a	30-Oct	non-brg	3.0
WEISS PECK/ROBECO/BOSTON PT		040 JBLU	B		165,020	7.22	n/a	30-Oct	6,600.80 4.0
⌘ BUCK CAPITAL MGMT		JIVE	B	1,440	10.32	n/a	n/a	non-brg	1.0
PIONEER OAKRIDGE	031	JNJ	S	510	93.04	n/a	n/a	15.30	3.0
⌘ BUCK CAPITAL MGMT		JPM	B	290	52.09	n/a	30-Oct	non-brg	1.0
⌘ BUCK CAPITAL MGMT		JWN	B	500	59.94	n/a	4-Oct	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		JWN	S	400	59.93	n/a	4-Oct	non-brg	1.0
ß BUCK CAPITAL MGMT		KEG	B	1,720	7.84	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		KEG	S	70,000	7.84	n/a	n/a	non-brg	3.0
f EDWARD W WHEELER	FID	KEM	S	10000	5.94	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	KEY	B	851	12.54	n/a	n/a	34.04	4.0
ß BUCK CAPITAL MGMT		KMT	B	450	46.01	n/a	n/a	non-brg	1.0
INTERVAL PARTNERS	033	KMX	B	12,500	47.80	n/a	n/a	375.00	3.0
ß BUCK CAPITAL MGMT		KORS	B	240	75.71	n/a	17-Oct	non-brg	1.0
ß BUCK CAPITAL MGMT		KORS	B	3,000	75.87	n/a	17-Oct	non-brg	1.0
ß BUCK CAPITAL MGMT		KORS	S	1,900	75.83	n/a	17-Oct	non-brg	1.0
PIONEER OAKRIDGE	031	KORS	S	405	75.80	n/a	17-Oct	12.15	3.0
LATEEF MGMT	033	KR	S	500	42.67	n/a	n/a	50.00	10.0
ß BUCK CAPITAL MGMT		KSS	B	110	56.49	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		KSS	B	500	56.82	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		KSS	S	300	56.81	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		K	C	300	62.56	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		K	SS	600	62.54	n/a	n/a	non-brg	1.0
SCOPUS FUND	041	LAD	B	2,100	63.21	n/a	n/a	84.00	4.0
JSRG CAPITAL PARTNERS LP	084	LCC	B	40,000	22.01	24-Oct	24-Oct	1,200.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TIDE POINT CAPITAL	028	LEA	B	10,000	77.95	28-Oct	28-Oct	300.00	3.0
SEVEN LOCKS CAPITAL	025	LINTA	B	9,600	27.20	n/a	n/a	288.00	3.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>LNKD</b>	<b>S</b>	<b>10</b>	<b>1.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PIONEER OAKRIDGE	031	LNKD	S	100	221.11	n/a	n/a	3.00	3.0
BESSEMER INVESTMENT	085	LO	B	303	51.44	n/a	n/a	12.12	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>LPNT</b>	<b>B</b>	<b>160</b>	<b>51.16</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>LPX</b>	<b>B</b>	<b>900</b>	<b>16.77</b>	<b>n/a</b>	<b>1-Nov</b>	<b>non-brg</b>	<b>1.0</b>
CR INTRINIC INVESTMENT	044	LPX	B	35,000	16.87	n/a	1-Nov	1,050.00	3.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	30,000	16.87	n/a	1-Nov	1,500.00	5.0
PEAK INV/OAKMONT/CYPRESS	084	LPX	S	600,000	16.87	n/a	1-Nov	24,000.00	4.0
SCOPUS FUND	041	LPX	S	25,000	16.76	n/a	1-Nov	1,000.00	4.0
TIDE POINT CAPITAL	028	LPX	SS	50,000	16.91	n/a	1-Nov	1,500.00	3.0
BESSEMER INVESTMENT	085	LTD	B	425	62.44	n/a	n/a	17.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>LVS</b>	<b>B</b>	<b>300</b>	<b>70.12</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>LVS</b>	<b>S</b>	<b>200</b>	<b>70.08</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>LZB</b>	<b>B</b>	<b>120</b>	<b>23.02</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>LZB</b>	<b>B</b>	<b>700</b>	<b>23.06</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>LZB</b>	<b>S</b>	<b>500</b>	<b>23.01</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
PIONEER OAKRIDGE	031	MAR	S	685	45.32	n/a	n/a	20.55	3.0
PIONEER OAKRIDGE	031	MDLZ	S	575	33.44	n/a	n/a	17.25	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B</b> BUCK CAPITAL MGMT		<b>MDY</b>	<b>SS</b>	<b>310</b>	<b>233.30</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
PIONEER OAKRIDGE	031	MJN	S	300	81.66	n/a	n/a	9.00	3.0
<b>B</b> BUCK CAPITAL MGMT		<b>MOH</b>	<b>B</b>	<b>560</b>	<b>31.15</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>f</b> EDWARD W WHEELER	<b>FID</b>	<b>MRC</b>	<b>B</b>	<b>10000</b>	<b>28.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> EDWARD W WHEELER	<b>FID</b>	<b>MRC</b>	<b>B</b>	<b>10000</b>	<b>29.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PROSPECTOR PARTNERS LLC	036	MRK	B	10,000	44.94	n/a	n/a	400.00	4.0
BESSEMER INVESTMENT	085	MRO	B	534	35.20	n/a	n/a	21.36	4.0
MERRILL ASSET/BLACKROCK	085	MSCI	S	27,300	40.49	n/a	n/a	1,092.00	4.0
BESSEMER INVESTMENT	085	MS	B	250	29.18	21-Oct	25-Oct	10.00	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>MS</b>	<b>B</b>	<b>810</b>	<b>29.09</b>	<b>21-Oct</b>	<b>25-Oct</b>	<b>non-brg</b>	<b>1.0</b>
AVENUE CAPITAL MGMT	070	MTOR	B	80,000	6.79	n/a	n/a	2,400.00	3.0
SAGE ASSET MGMT	025	MTOR	SS	80,700	6.79	n/a	n/a	3,228.00	4.0
S.A.C. CAPITAL	044	MTW	SS	25,000	19.43	n/a	n/a	750.00	3.0
<b>B</b> BUCK CAPITAL MGMT		<b>MVRX</b>	<b>C</b>	<b>2,200</b>	<b>312.47</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>25.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>MVRX</b>	<b>SS</b>	<b>3,400</b>	<b>312.47</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>25.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>MWV</b>	<b>B</b>	<b>570</b>	<b>35.02</b>	<b>30-Oct</b>	<b>30-Oct</b>	<b>non-brg</b>	<b>1.0</b>
BESSEMER INVESTMENT	085	M	B	574	45.96	n/a	n/a	22.96	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		M	B	3,600	45.73	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		M	B	990	45.59	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		M	S	2,400	45.70	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		NCLH	B	3,900	31.91	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		NCLH	S	2,500	31.85	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		NKE	B	300	75.79	n/a	30-Oct	non-brg	1.0
⌘ BUCK CAPITAL MGMT		NKE	S	200	75.76	n/a	30-Oct	non-brg	1.0
BESSEMER INVESTMENT	085	NLSN	B	821	40.01	n/a	n/a	32.84	4.0
SEVEN LOCKS CAPITAL	025	NWSA	B	12,400	17.66	n/a	n/a	372.00	3.0
SCOGGIN LLC	041	OCR	B	46,000	55.19	n/a	n/a	2,300.00	5.0
LATEEF MGMT	033	OLN	B	250	22.47	n/a	n/a	30.00	12.0
PIONEER OAKRIDGE	031	ORCL	S	920	33.59	n/a	n/a	27.60	3.0
PIONEER OAKRIDGE	031	ORLY	S	250	123.99	n/a	n/a	7.50	3.0
⌘ BUCK CAPITAL MGMT		PCLN	SS	20	1044.89	n/a	n/a	non-brg	1.0
PIONEER OAKRIDGE	031	PCLN	S	251,044	68	n/a	n/a	0.75	3.0
PIONEER OAKRIDGE	031	PCP	S	155	251.54	16-Oct	24-Oct	4.65	3.0
PIONEER OAKRIDGE	031	PEP	S	390	84.02	n/a	n/a	11.70	3.0
⌘ BUCK CAPITAL MGMT		PETM	C	500	71.01	n/a	n/a	non-brg	1.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß	BUCK CAPITAL MGMT		PETM	SS	250	71.26	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		PETM	SS	700	70.98	n/a	n/a	non-brg	1.0
	BESSEMER INVESTMENT	085	PFE	B	1,375	31.21	n/a	n/a	55.00	4.0
ß	BUCK CAPITAL MGMT		PFE	B	1,040	30.90	n/a	n/a	non-brg	1.0
	LATEEF MGMT	033	PFE	S	500	31.16	n/a	n/a	50.00	10.0
	BESSEMER INVESTMENT	085	PG	S	500	81.19	n/a	25-Oct	20.00	4.0
ß	BUCK CAPITAL MGMT		PII	B	1,100	130.56	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		PII	S	700	130.41	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		PIR	B	2,300	20.61	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		PIR	S	1,500	20.60	n/a	n/a	non-brg	1.0
f	JOHN FRANCIS MCERLEA	FID	PSUN	S	2000	2.58	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		PVH	B	1,700	124.57	n/a	17-Oct	non-brg	1.0
ß	BUCK CAPITAL MGMT		PVH	B	130	124.35	n/a	17-Oct	non-brg	1.0
ß	BUCK CAPITAL MGMT		PVH	S	1,000	124.47	n/a	17-Oct	non-brg	1.0
	SHEFFIELD ASSET MGMT	031	PVH	B	20,500	124.99	n/a	17-Oct	1,025.00	5.0
	PIONEER OAKRIDGE	031	PX	S	230	124.01	n/a	n/a	6.90	3.0
	BESSEMER INVESTMENT	085	QCOM	B	473	69.82	n/a	n/a	18.92	4.0
	PIONEER OAKRIDGE	031	QCOM	S	605	69.64	n/a	n/a	18.15	3.0
ß	BUCK CAPITAL MGMT		QUNR	B	3,000	15.00	n/a	n/a	non-brg	0.0
ß	BUCK CAPITAL MGMT		QUNR	S	3,000	28.35	n/a	n/a	non-brg	2.5
ß	BUCK CAPITAL MGMT		RAD	B	35,500	5.29	n/a	n/a	non-brg	1.0



Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
ß BUCK CAPITAL MGMT		RAD	B	8,470	5.28	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		RAD	S	22,600	5.28	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		RDN	B	340	14.35	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		RDN	S	35,000	14.51	n/a	n/a	non-brg 4.0
ß BUCK CAPITAL MGMT		RH	B	10	68.73	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		RH	B	2,100	68.26	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		RH	S	1,400	68.20	n/a	n/a	non-brg 1.0
SHEFFIELD ASSET MGMT	031	RKT	B	37,500	107.21	n/a	15-Oct	1,500.00 4.0
ß BUCK CAPITAL MGMT		RLJE	B	3,900	5.28	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		RLJE	S	2,600	5.26	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		RL	B	600	167.91	n/a	17-Oct	non-brg 1.0
ß BUCK CAPITAL MGMT		RL	B	70	167.53	n/a	17-Oct	non-brg 1.0
ß BUCK CAPITAL MGMT		RL	S	300	167.83	n/a	17-Oct	non-brg 1.0
ß BUCK CAPITAL MGMT		ROST	B	900	77.51	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		ROST	S	600	77.50	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		R	B	250	65.97	23-Oct	23-Oct	non-brg 1.0
PIONEER OAKRIDGE	031	SBH	S	845	25.80	n/a	n/a	25.35 3.0
ß BUCK CAPITAL MGMT		SBUX	B	900	80.16	n/a	30-Oct	non-brg 1.0
ß BUCK CAPITAL MGMT		SBUX	S	600	80.15	n/a	30-Oct	non-brg 1.0
PIONEER OAKRIDGE	031	SBUX	S	220	80.16	n/a	30-Oct	6.60 3.0
ß BUCK CAPITAL MGMT		SIG	B	1,200	74.51	n/a	n/a	non-brg 1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		SIG	S	800	74.46	n/a	n/a	non-brg	1.0
DPB CAPITAL	029	SIRI	S	5,000	3.80	n/a	n/a	250.00	5.0
PIONEER OAKRIDGE	031	SLB	S	235	92.60	n/a	n/a	7.05	3.0
BUCK CAPITAL MGMT		SLM	B	300	25.10	n/a	17-Oct	non-brg	1.0
BUCK CAPITAL MGMT		SPN	B	840	26.45	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		STT	B	370	70.26	n/a	23-Oct	non-brg	1.0
PIONEER OAKRIDGE	031	SWN	S	375	37.61	n/a	n/a	11.25	3.0
BUCK CAPITAL MGMT		SYI	C	1,000	32.31	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		SYI	SS	1,500	32.30	n/a	n/a	non-brg	1.0
PROSPECTOR PARTNERS LLC	036	SYI	B	5,000	32.28	n/a	n/a	200.00	4.0
BUCK CAPITAL MGMT		TCS	B	200	36.18	n/a	n/a	non-brg	0.0
BUCK CAPITAL MGMT		TCS	B	5,000	18.00	n/a	n/a	non-brg	0.0
BUCK CAPITAL MGMT		TCS	S	200	35.80	n/a	n/a	non-brg	0.0
BUCK CAPITAL MGMT		TCS	S	5,000	35.00	n/a	n/a	non-brg	2.5
STANDARD PACIFIC CAPITAL	084	TCS	S	60,000	35.93	n/a	n/a	3,000.00	5.0
BOURGEON CAPITAL	025	TEVA	S	15,000	37.11	n/a	31-Oct	600.00	4.0
LATEEF MGMT	033	TEVA	S	600	37.11	n/a	31-Oct	60.00	10.0
BESSEMER INVESTMENT	085	TGT	B	435	64.67	n/a	31-Oct	17.40	4.0
BUCK CAPITAL MGMT		TGT	C	400	64.66	n/a	31-Oct	non-brg	1.0
BUCK CAPITAL MGMT		TGT	SS	500	64.65	n/a	31-Oct	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		TJX	B	1,100	60.62	23-Oct	23-Oct	non-brg	1.0
ß BUCK CAPITAL MGMT		TJX	S	700	60.62	23-Oct	23-Oct	non-brg	1.0
PIONEER OAKRIDGE	031	TJX	S	905	60.62	23-Oct	23-Oct	27.15	3.0
BESSEMER INVESTMENT	085	TMO	B	386	97.79	n/a	n/a	15.44	4.0
Õ Nilsa Vazquez		TMV	S	10	0.95	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	TWI	S	5000	14.28	n/a	n/a	0.00	0.0
CAPITAL RESEARCH GROUP		296 T		S	1,048,600	36.32	n/a	n/a	36,701.00 4.0
ß BUCK CAPITAL MGMT		UAL	B	170	34.42	25-Oct	25-Oct	non-brg	1.0
ß BUCK CAPITAL MGMT		UCP	B	870	14.27	n/a	n/a	non-brg	1.0
PIONEER OAKRIDGE	031	ULTA	S	260	128.10	n/a	n/a	7.80	3.0
BESSEMER INVESTMENT	085	UNP	B	210	152.95	n/a	18-Oct	8.40	4.0
ß BUCK CAPITAL MGMT		URBN	B	180	38.02	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		URBN	B	3,800	38.12	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		URBN	S	2,500	38.10	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		URI	B	230	63.94	n/a	n/a	non-brg	1.0
PIONEER OAKRIDGE	031	UTX	S	325	106.68	n/a	n/a	9.75	3.0
PIONEER OAKRIDGE	031	VFC	S	85	215.13	22-Oct	22-Oct	2.55	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		VMC	B	330	53.49	n/a	n/a	non-brg	1.0
f MANNY I KORMAN	FID	VRTX	S	3000	67.56	n/a	n/a	0.00	0.0
MOORE CAPITAL	257	VZ	S	50,000	50.42	n/a	n/a	1,500.00	3.0
ß BUCK CAPITAL MGMT		V	B	50	199.68	31-Oct	31-Oct	non-brg	1.0
f MARK ANTHONY GRONET	FID	V	B	100	198.67	31-Oct	31-Oct	0.00	0.0
PIONEER OAKRIDGE	031	V	S	220	199.21	31-Oct	31-Oct	6.60	3.0
ß BUCK CAPITAL MGMT		WAG	B	500	60.34	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		WAG	B	50	59.94	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		WAG	S	200	60.33	n/a	n/a	non-brg	1.0
SAC CHRIS C	041	WBMD	B	50,000	34.40	n/a	n/a	1,500.00	3.0
ß BUCK CAPITAL MGMT		WCIC	B	760	16.88	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		WCIC	B	8,600	16.82	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		WHR	B	600	145.65	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		WHR	S	500	145.39	n/a	n/a	non-brg	1.0
VERITION	028	WNC	B	10,000	11.50	n/a	31-Oct	300.00	3.0
ß BUCK CAPITAL MGMT		WSM	B	10	52.07	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		WSM	B	300	51.78	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		WSM	S	200	51.76	n/a	n/a	non-brg	1.0
CSFB GLOBAL PROPRIETARY	041	WY	B	20,000	30.22	25-Oct	1-Nov	1,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	XLI	C	357,550	49.00	n/a	n/a	17,877.50	5.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>XON</b>	<b>B</b>	<b>20</b>	<b>2.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
RIDGECREST INV MGMT LLC	028	XOP	SS	15,000	68.34	n/a	n/a	600.00	4.0
BESSEMER INVESTMENT	085	ZMH	B	492	87.71	n/a	n/a	19.68	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>ZTS</b>	<b>B</b>	<b>650</b>	<b>31.46</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>TOTAL (Trade Date):</b>								<b>172,025.58</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/31	DC CAPITAL	044	CAM	B	6,000	55.28	n/a	n/a	240.00 0.0
AO,CRT	10/31	DELTEC ASSET MGMT.	040	CAM	B	6,000	55.28	n/a	n/a	240.00 0.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>0.00</b>
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TOTAL (Trade Date) :	172,025.58
TOTAL (AO, CXL, CRT) :	0.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>172,025.58</b>
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### BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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MRI Securities with Trade Activity on 1-Nov.

CNW

MRI Securities without Trade Activity on 1-Nov.

VSI, PRGO

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

T-Date = 0%

YTD = 0%

<b><u>Legend:</u></b>
<b>Õ: Employee Trades in Outside Accounts</b>
<b>ß: Non-BRG BCM Trades</b>
[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)