



Daily Compliance Activity Report

Trade Date: 10/01/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		AAP	SS	20,000	38.55	n/a	n/a	non-brg	4.0
KEVIN MICHAEL O'GORM	FID	AB	S	200	26.60	n/a	n/a	0.00	0.0
DISCIPLINED GROWTH INV.	030	ADBE	B	100	32.06	n/a	n/a	5.00	5.0
DISCIPLINED GROWTH INV.	030	AKAM	B	100	18.83	n/a	n/a	5.00	5.0
BUCK CAPITAL MGMT		AMR	B	25,000	7.43	n/a	n/a	non-brg	0.8
SOUTH POINT CAP	067	AMSC	B	25,000	32.25	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	ANF	B	20,000	32.07	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT		ANF	B	10,000	31.77	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		AN	B	39,000	17.52	n/a	n/a	non-brg	4.0
GRANITE CAPITAL	045	AN	B	10,000	17.49	n/a	n/a	500.00	5.0
ARMATURE CAPITAL	041	ARG	B	19,000	47.02	n/a	n/a	760.00	4.0
DISCIPLINED GROWTH INV.	030	ARMH	B	500	6.79	n/a	n/a	25.00	5.0
BUCK CAPITAL MGMT		AXL	B	33,900	6.80	n/a	n/a	non-brg	0.8
BUCK CAPITAL MGMT		AXL	B	60,000	6.75	n/a	n/a	non-brg	3.0
PROSPECTOR PARTNERS LLC	036	AYE	B	10,000	26.29	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT		BAC	B	14,000	16.34	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	BBY	S	20,000	37.16	n/a	n/a	1,000.00	5.0
f WILLIAM J GAULT	FID	BGZ	B	1000	22.63	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		BHI	B	9,300	42.01	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BK	B	15,000	28.03	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BWA	B	20,000	28.86	n/a	n/a	non-brg	4.0
METROPOLITAN CAPITAL	044	BWA	B	17,300	28.88	n/a	n/a	865.00	5.0
DISIPLINED GROWTH INV.	030	CAB	B	100	13.03	n/a	n/a	5.00	5.0
DISIPLINED GROWTH INV.	030	CAKE	B	200	18.03	n/a	n/a	10.00	5.0
ß BUCK CAPITAL MGMT		CAL	B	5,000	15.38	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		CAM	B	20,000	36.28	n/a	n/a	non-brg	0.8
f MARC PAUL LUCHANSKY	FID	CHK	S	500	27.52	n/a	n/a	0.00	0.0
KLEINHEINZ CAP PART	031	CHL	S	50,000	48.05	n/a	n/a	2,500.00	5.0
MERRILL ASSET/BLACKROCK	214	CHRS	B	100,000	4.75	n/a	n/a	4,500.00	4.5
ß BUCK CAPITAL MGMT		COF	B	15,000	34.06	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	COH	S	50,000	32.20	n/a	n/a	2,000.00	4.0
RBC CAPITAL MARKETS	040	COST	B	5,000	55.89	n/a	n/a	200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		CTRN	B	30,000	28.93	n/a	n/a	non-brg	0.8
BUCK CAPITAL MGMT		CTRN	B	35,000	28.96	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		CTRN	B	8,300	28.95	n/a	n/a	non-brg	1.0
JONATHAN RICHARD HAR	FID	CVO	S	540	6.82	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	CVX	S	200	69.36	n/a	n/a	10.00	5.0
DAVID GEORGE BUCK	FID	CYPB	S	3000	8.00	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		C	B	70,000	4.55	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		DAL	B	25,100	8.41	n/a	n/a	non-brg	0.8
JOHN MICHAEL ZOLIDIS	FID	DBO	S	500	24.87	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		DHI	B	50,000	11.00	n/a	n/a	non-brg	4.0
ROTHSCHILD ASSET	040	DLX	B	35,742	16.72	n/a	n/a	1,608.45	4.5
PATTEN & PATTEN	067	EP	S	1,000	9.79	n/a	n/a	50.00	5.0
DISCIPLINED GROWTH INV.	030	ETN	B	100	54.90	n/a	n/a	5.00	5.0
SOUTH POINT CAP	067	FAS	SS	20,000	80.30	n/a	n/a	1,000.00	5.0
WILLIAM J GAULT	FID	FAZ	B	1000	22.08	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		FITB	B	1,400	9.46	n/a	n/a	non-brg	3.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß	BUCK CAPITAL MGMT		FITB	B	12,000	9.46	n/a	n/a	non-brg	3.0
ß	BUCK CAPITAL MGMT		FITB	B	300	9.46	n/a	n/a	non-brg	3.0
ß	BUCK CAPITAL MGMT		FITB	B	500	9.46	n/a	n/a	non-brg	3.0
ß	BUCK CAPITAL MGMT		FITB	B	800	9.46	n/a	n/a	non-brg	3.0
f	MARC PAUL LUCHANSKY	FID	FLEX	S	2000	7.03	n/a	n/a	0.00	0.0
	BASIX	033	FL	B	15,000	11.56	n/a	n/a	450.00	3.0
ß	BUCK CAPITAL MGMT		FL	B	50,000	11.51	n/a	n/a	non-brg	4.0
	CONIFER/ISF	025	FL	B	10,000	11.57	n/a	n/a	500.00	5.0
	EXIS CAPITAL	044	FL	S	5,000	11.63	n/a	n/a	250.00	5.0
	LAGRANGE CAP ADV	048	F	B	10,000	7.10	n/a	1-Oct	500.00	5.0
	MILLENIUUM PARTNERS	028	GCI	B	23,872	11.77	n/a	n/a	954.88	4.0
	ROSEDALE CAPITAL	046	GILD	S	15,000	45.65	n/a	n/a	750.00	5.0
ß	BUCK CAPITAL MGMT		GIL	B	34,000	18.70	n/a	n/a	non-brg	4.0
	KLEINHEINZ CAP PART	031	GLD	B	150,000	98.62	n/a	n/a	7,500.00	5.0
	DISIPLINED GROWTH INV.	030	GNTX	B	100	13.89	n/a	n/a	5.00	5.0
	MILLENIUUM PARTNERS	028	GPS	B	13,377	21.00	n/a	n/a	535.08	4.0
	RBC CAPITAL MARKETS	040	GPS	B	50,000	21.09	n/a	n/a	2,000.00	4.0
	STERLING JOHNSTON	035	GR	S	9,600	53.15	n/a	n/a	384.00	4.0
	MILLENIUUM PARTNERS	028	GT	B	17,337	16.21	n/a	n/a	693.48	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f JONATHAN RICHARD HAR	FID	HBI	B	145	20.77	n/a	n/a	0.00	0.0
NWQ INVESTMENT MGMT CO	048	HCC	B	600	27.40	n/a	n/a	24.00	4.0
MILLENIUM PARTNERS	028	HD	S	53,372	26.25	n/a	n/a	2,134.88	4.0
f JOHN MICHAEL ZOLIDIS	FID	HH	S	5700	0.93	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		HK	B	25,000	22.92	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	HYWVL	S	20	0.90	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	IAQWJ	B	5	1.35	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	IAT	S	500	20.19	n/a	n/a	25.00	5.0
GCORE MANAGEMENT	041	INTC	B	25,000	19.21	n/a	n/a	1,250.00	5.0
DISCIPLINED GROWTH INV.	030	INTU	B	200	27.94	n/a	n/a	10.00	5.0
NWQ INVESTMENT MGMT CO	048	IPI	B	1,900	22.79	n/a	n/a	76.00	4.0
MILLENIUM PARTNERS	028	IP	B	25,000	22.39	n/a	n/a	1,000.00	4.0
B BUCK CAPITAL MGMT		IVZ	B	1,200	21.98	n/a	1-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		IVZ	B	1,700	21.98	n/a	1-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		IVZ	B	15,100	21.98	n/a	1-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		IVZ	B	500	21.98	n/a	1-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		IVZ	B	600	21.98	n/a	1-Oct	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		JBHT	B	5,100	32.24	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		JBLU	B	43,800	5.54	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT	001	JCG	S	40,000	34.38	n/a	n/a	1,600.00	4.0
JOSEPH CIRO AMATURO	FID	JCI	B	5000	24.77	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	JNJ	S	500	60.11	n/a	n/a	25.00	5.0
BUCK CAPITAL MGMT		JNS	B	2,000	13.55	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		JNS	B	2,800	13.55	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		JNS	B	24,600	13.55	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		JNS	B	700	13.55	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		JNS	B	900	13.55	n/a	n/a	non-brg	4.0
ROBERT M DANIELS	FID	JNS	B	250	13.64	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		KCP	S	9,300	9.86	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT		KEY	B	1,400	6.15	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT		KEY	B	12,100	6.15	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT		KEY	B	400	6.15	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT		KEY	B	400	6.15	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT		KEY	B	700	6.15	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT		KMT	B	20,000	22.63	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	KSS	B	15,000	56.14	n/a	n/a	600.00	4.0
RBC CAPITAL MARKETS	040	KSS	B	5,000	55.66	n/a	n/a	200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROTHSCHILD ASSET	040	LEG	B	18,800	18.59	n/a	n/a	846.00	4.5
B BUCK CAPITAL MGMT		LEN	B	25,000	13.25	n/a	n/a	non-brg	4.0
FIRST NEW YORK LEDDY	035	LVL	S	10,000	1.29	n/a	n/a	600.00	6.0
f JOSEPH CIRO AMATURO	FID	LVS	B	2500	15.57	n/a	n/a	0.00	0.0
PENN CAPITAL	243	LVS	B	15,500	15.74	n/a	n/a	620.00	4.0
PATTEN & PATTEN	067	MMM	S	300	73.00	n/a	n/a	15.00	5.0
f DAVID GEORGE BUCK	FID	MNE	S	3500	12.71	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		MS	B	15,000	29.98	n/a	n/a	non-brg	4.0
BASIX	033	MTW	B	35,000	8.80	n/a	n/a	1,050.00	3.0
B BUCK CAPITAL MGMT		MVRX	SS	187,500	159.07	n/a	n/a	non-brg	15.9
MILLENIU	028	M	B	15,955	17.60	n/a	n/a	638.20	4.0
f ROBERT M DANIELS	FID	NE	B	100	37.21	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	NKE	SS	150,000	63.70	n/a	n/a	6,000.00	4.0
DISIPLINED GROWTH INV.	030	OTEX	B	100	36.48	n/a	n/a	5.00	5.0
COUGAR TRADING	044	PAG	S	15,000	16.52	n/a	n/a	750.00	5.0
PATTEN & PATTEN	067	PHO	S	1,000	16.24	n/a	n/a	50.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
B BUCK CAPITAL MGMT		PKG	B	6,000	19.63	n/a	n/a	non-brg 4.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	30,000	19.50	n/a	n/a	1,500.00 5.0
NWQ INVESTMENT MGMT CO	048	PKG	B	1,500	19.47	n/a	n/a	60.00 4.0
SCOPUS FUND	041	PKG	S	20,076	19.54	n/a	n/a	1,003.80 5.0
TRUSTCO/SUNTRUST	040	PKG	S	14,700	20.01	n/a	n/a	573.30 3.9
BUCK CAPITAL MGMT	001	PVH	B	10,000	42.65	n/a	n/a	400.00 4.0
COUGAR TRADING	044	PVH	S	5,000	41.98	n/a	n/a	250.00 5.0
PATTEN & PATTEN	067	PWR	S	800	21.30	n/a	n/a	40.00 5.0
B BUCK CAPITAL MGMT		RF	B	30,000	5.99	n/a	n/a	non-brg 3.0
SENATOR INVESTMENT GROUP	036	RHI	SS	50,000	24.23	n/a	n/a	1,500.00 3.0
B BUCK CAPITAL MGMT		RRR	B	25,000	6.96	n/a	n/a	non-brg 3.0
NEWLAND CAPITAL MGT	067	RRR	B	9,600	6.92	n/a	n/a	288.00 3.0
NWQ INVESTMENT MGMT CO	048	RS	B	1,200	41.50	n/a	n/a	48.00 4.0
B BUCK CAPITAL MGMT		RYL	B	20,000	19.93	n/a	n/a	non-brg 4.0
CATAPULT	040	SFD	B	75,000	12.89	n/a	n/a	0.00 0.0
ROYAL CAPITAL MGMT	039	SFD	S	200,000	13.06	n/a	n/a	10,000.00 5.0
PATTEN & PATTEN	067	SLB	S	200	57.73	n/a	n/a	10.00 5.0
B BUCK CAPITAL MGMT		SLM	B	1,600	8.24	n/a	1-Oct	non-brg 3.0
B BUCK CAPITAL MGMT		SLM	B	2,800	8.24	n/a	1-Oct	non-brg 3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		SLM	B	24,000	8.24	n/a	1-Oct	non-brg	3.0
⌘ BUCK CAPITAL MGMT		SLM	B	700	8.24	n/a	1-Oct	non-brg	3.0
⌘ BUCK CAPITAL MGMT		SLM	B	900	8.24	n/a	1-Oct	non-brg	3.0
⌘ BUCK CAPITAL MGMT		SPLS	SS	40,000	23.00	n/a	n/a	non-brg	4.0
SACF	044	SPY	SS	72,000	103.48	n/a	n/a	2,880.00	4.0
⌘ BUCK CAPITAL MGMT		STI	B	300	21.32	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		STI	B	300	21.32	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		STI	B	600	21.32	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		STI	B	7,900	21.32	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		STI	B	900	21.32	n/a	n/a	non-brg	4.0
SANDLER O'NEILL ASSET	031	STT	B	25,000	50.82	n/a	n/a	1,250.00	5.0
PROSPECTOR PARTNERS LLC	036	SVU	B	10,000	14.79	n/a	n/a	400.00	4.0
PATTEN & PATTEN	067	SWN	S	200	40.78	n/a	n/a	10.00	5.0
SCOPIA CAPITAL	048	SYMC	B	31,294	16.33	n/a	n/a	1,251.76	4.0
f ANTHONY NG	FID	S	S	370	3.81	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	TBT	B	35	43.01	n/a	n/a	0.00	0.0
f KEVIN MICHAEL O'GORM	FID	TBT	B	160	42.86	n/a	n/a	0.00	0.0
f KEVIN MICHAEL O'GORM	FID	TBT	S	100	43.16	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		TGT	S	50,000	46.12	n/a	n/a	non-brg	4.0
MILLENIUM PARTNERS	028	TGT	B	6,070	46.19	n/a	n/a	242.80	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NWQ INVESTMENT MGMT CO	048	THG	B	1,100	41.67	n/a	n/a	44.00	4.0
NWQ INVESTMENT MGMT CO	048	TIN	B	3,500	15.84	n/a	n/a	140.00	4.0
DISIPLINED GROWTH INV.	030	TJX	B	150	36.79	n/a	n/a	7.50	5.0
PORTER-ORLIN-FELDMAN	044	TLT	B	25,000	99.66	n/a	n/a	750.00	3.0
B BUCK CAPITAL MGMT		TOL	B	30,000	18.98	n/a	n/a	non-brg	0.8
DISIPLINED GROWTH INV.	030	TRMB	B	100	23.40	n/a	n/a	5.00	5.0
MAIRS AND POWER INV	030	TRV	S	20,000	49.21	n/a	n/a	1,000.00	5.0
PROSPECTOR PARTNERS LLC	036	TR	B	10,000	23.52	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		UAUA	B	285,000	7.51	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		ULTA	S	20,000	16.13	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	067	UNM	S	1,000	20.65	n/a	n/a	50.00	5.0
PAW PARTNERS	041	URBN	S	12,000	29.38	n/a	n/a	600.00	5.0
SOUTH POINT CAP	067	UYG	SS	70,000	5.80	n/a	n/a	3,500.00	5.0
NWQ INVESTMENT MGMT CO	048	WAL	B	21,300	5.92	n/a	n/a	639.00	3.0
SCOPIA CAPITAL	048	WCG	B	27,715	25.33	n/a	n/a	1,108.60	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LISTED ERR	099	WCG	B	35	25.33	n/a	n/a	0.00	0.0
LISTED ERR	099	WCG	S	35	25.23	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		WFT	B	20,000	19.77	n/a	n/a	non-brg	0.8
f ANTHONY NG	FID	WH	B	250	4.53	n/a	n/a	0.00	0.0
f ROBERT M DANIELS	FID	WH	B	250	4.59	n/a	n/a	0.00	0.0
CAERUS GLOBAL	041	WMT	B	5,000	49.20	n/a	n/a	200.00	4.0
EXIS CAPITAL	044	WMT	B	17,500	49.33	n/a	n/a	875.00	5.0
⚡ BUCK CAPITAL MGMT		WSM	C	160,000	20.35	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		WSM	C	42,287	20.28	n/a	n/a	non-brg	0.7
f MANNY I KORMAN	FID	WSM	B	5000	20.23	n/a	n/a	0.00	0.0
CATAPULT	040	WU	B	50,000	18.61	n/a	n/a	2,000.00	4.0
f JOHN PATRICK DAVEY	FID	WYNN	B	200	66.86	n/a	n/a	0.00	0.0
PENN CAPITAL	243	WYNN	SS	3,630	67.42	n/a	n/a	145.20	4.0
PATTEN & PATTEN	067	XBI	S	200	52.29	n/a	n/a	10.00	5.0
⚡ BUCK CAPITAL MGMT		XRT	C	900,000	33.45	n/a	n/a	non-brg	1.0
PILOT ROCK	028	ZION	B	46,253	16.71	n/a	n/a	1,850.12	4.0
f HARALAMBOS EFSTATHI	FID	ZQK	B	1500	2.56	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								84,572.05	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	09/30	EXIS CAPITAL	044	AMR	S	25,000	7.87	n/a	n/a	1250.00 5.0
AO,CXL	09/30	EXIS CAPITAL	044	AMR	S	25,000	7.87	n/a	n/a	0.00 0.0
AO,CXL	09/30	CLOVIS CAPITAL	012	CAT	SS	100,000	50.78	n/a	n/a	4000.00 4.0
AO,CRT	09/30	CLOVIS CAPITAL	012	CAT	SS	100,000	50.78	n/a	n/a	5000.00 5.0
AO,CXL	09/30	NEWLAND CAPITAL MGT	067	ENTG	S	25,000	4.93	n/a	n/a	1000.00 4.0
AO,CRT	09/30	NEWLAND CAPITAL MGT	067	ENTG	S	25,000	4.93	n/a	n/a	750.00 3.0
AO,CXL	09/30	PARTNER REINSURANCE	033	FL	B	32,700	11.91	n/a	n/a	1308.00 4.0
AO,	09/30	PARTNER REINSURANCE	033	FL	B	32,700	11.91	n/a	n/a	1308.00 4.0
AO,CRT	09/30	CLOVIS CAPITAL	012	IWM	B	250,000	59.85	n/a	n/a	10750.00 4.3
AO,CXL	09/30	CLOVIS CAPITAL	012	IWM	B	250,000	59.85	n/a	n/a	10000.00 4.0
AO,CRT	09/30	NEWLAND CAPITAL MGT	067	TWI	B	15,000	8.98	n/a	n/a	450.00 3.0
AO,CXL	09/30	NEWLAND CAPITAL MGT	067	TWI	B	15,000	8.98	n/a	n/a	600.00 4.0
TOTAL (AO, CXL, CRT) :										2,600.00

TOTAL (Trade Date) :	84,572.05
TOTAL (AO, CXL, CRT) :	2,600.00

TOTAL (RUN DATE) / NFS:	87,172.05
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MRI Securities with Trade Activity on 1-Oct. NONE
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MRI Securities without Trade Activity on 1-Oct. NONE

BRG comm. as a % of BCM Total Comm. paid. T-Date = 12% YTD = 21%
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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)