



Daily Compliance Activity Report

Trade Date: 11/06/2008

Potential ANALYST TRADE Violations: 0

BCM Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	AAP	SS	20,000	28.08	n/a	n/a	800.00	4.0
THE BOSTON COMPANY	401	ACV	S	109,080	22.69	n/a	n/a	4,363.20	4.0
COUGAR TRADING	044	AEO	B	20,000	10.45	n/a	3-Nov	1,000.00	5.0
THOMSON HORSTMAN BRYANT	040	AEO	B	85,000	10.15	n/a	3-Nov	4,250.00	5.0
BUCK	015	ALV	SS	1,500	21.35	22-Oct	22-Oct	0.00	0.0
COUGAR TRADING	044	ANF	SS	5,000	26.60	7-Aug	3-Nov	250.00	5.0
BEAR STEARNS ASSET MGMT.	033	ANN	SS	43,200	9.64	n/a	4-Nov	1,728.00	4.0
BUCK CAPITAL MGMT		ANN	SS	50,000	9.01	n/a	4-Nov	non-brg	3.0
BRENCOURT	028	AN	B	100,000	5.91	15-Oct	20-Oct	0.00	0.0
BUCK CAPITAL MGMT		AN	C	180,000	5.90	15-Oct	20-Oct	non-brg	3.0
BUCK CAPITAL MGMT		AN	C	77,500	5.90	15-Oct	20-Oct	non-brg	3.0
STRAUSS ASSET MGMT	040	AN	SS	20,000	6.00	15-Oct	20-Oct	800.00	4.0
WAGONHOUND/NIC	048	AN	C	38,725	5.83	15-Oct	20-Oct	1,161.75	3.0
SINCLAIR	031	APCEG	S	100	6.50	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		AVP	SS	20,000	25.60	3-Nov	3-Nov	non-brg	2.5
SANDLER O'NEILL ASSET	031	BAC	B	25,000	20.18	15-Oct	5-Nov	1,250.00	5.0
BUCK	015	BAC	C	4,000	20.28	15-Oct	5-Nov	0.00	0.0
BUCK CAPITAL MGMT		BBBY	SS	50,000	23.28	n/a	n/a	non-brg	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		BBBY	SS	50,000	23.45	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		BHQ+XD [BBBY]	SS	1,000	0.95	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT		BHQ+XX [BBBY]	SS	1,000	1.75	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	BJ	SS	30,000	36.93	n/a	27-Jul	1,200.00	4.0
THE JAY GOLDMAN	034	BJ	SS	10,000	37.44	n/a	27-Jul	400.00	4.0
MERRILL ASSET	032	BOH	B	17,000	47.70	n/a	n/a	765.00	4.5
BUCK CAPITAL MGMT		BRBY LN	SS	100,000	4.10	n/a	n/a	non-brg	0.8
GRONET	030	BZ	S	3,000	0.65	n/a	n/a	0.00	0.0
CASTLEROCK	040	CAL	B	142,632	16.85	n/a	n/a	5,705.28	4.0
PILOT ROCK	028	CAL	S	300,000	16.60	n/a	n/a	12,000.00	4.0
NORTHPOINT	030	CBST	S	31,333	24.54	n/a	n/a	1,253.32	4.0
AMATURO	018	CHCG	S	13,462	1.03	n/a	n/a	0.00	0.0
WHEELER	008	CHP	S	10,000	2.98	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		CHUX	C	20,000	6.98	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT	001	COH	S	80,000	17.98	8-Oct	22-Oct	3,200.00	4.0
JP MORGAN VENTURES	046	COSI	S	22,000	0.80	n/a	n/a	440.00	2.0
BUCK CAPITAL MGMT		COST	SS	60,000	53.91	n/a	27-Jul	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	CRI	SS	150,000	21.49	n/a	n/a	6,000.00	4.0
AVESTA CAP	229	CVX	SS	20,000	70.47	n/a	n/a	1,000.00	5.0
BUCK	015	C	SS	1,500	11.95	15-Sep	5-Nov	0.00	0.0
ß BUCK CAPITAL MGMT		DIN	SS	2,800	14.26	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		DIN	SS	22,200	13.62	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT	001	DKS	SS	30,000	14.84	7-Oct	7-Oct	1,200.00	4.0
ß BUCK CAPITAL MGMT		DLTR	B	20,000	39.00	n/a	3-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		DPZ+XV[DPZ]	C	39	7.50	n/a	n/a	non-brg	300.0
BRUNNER	012	DUG	S	500	41.76	n/a	n/a	0.00	0.0
BRUNNER	012	DXD	S	500	79.97	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	EL	SS	30,000	33.68	15-Aug	29-Oct	1,200.00	4.0
PNC/MERCANTILE	028	EMR	S	34,675	31.95	n/a	n/a	1,733.75	5.0
CAVU CAP ADV	028	ERTS	B	25,000	22.31	n/a	n/a	1,250.00	5.0
OGORMAN	046	EV	SS	100	21.20	21-Aug	5-Nov	0.00	0.0
PHILADELPHIA FINANCIAL	033	FII	S	56,200	22.88	6-Oct	5-Nov	2,248.00	4.0
SERENGETI MGMT	030	FITB	S	300,000	10.69	n/a	n/a	15,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
UBS OCONNOR	031	FITB	B	190,000	10.69	n/a	n/a	5,700.00	3.0
NORTHPOINT	030	FLO	S	16,646	26.89	n/a	n/a	665.84	4.0
⌘ BUCK CAPITAL MGMT		FMQ+XS[???	SS	1,000	1.02	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		FOSL	S	120,000	15.73	13-Oct	13-Oct	non-brg	4.0
⌘ BUCK CAPITAL MGMT		FOSL	S	170,000	15.80	13-Oct	13-Oct	non-brg	1.0
⌘ BUCK CAPITAL MGMT		FOSL	S	250,000	15.33	13-Oct	13-Oct	non-brg	4.0
WAGONHOUND/NIC	048	FOSL	S	15,512	16.06	13-Oct	13-Oct	620.48	4.0
⌘ BUCK CAPITAL MGMT		FUA+LW[FOSL]	SS	1,000	0.95	n/a	n/a	non-brg	100.0
BRUNNER	012	FXP	S	750	101.52	n/a	n/a	0.00	0.0
GAULT	063	FXP	S	800	101.81	n/a	n/a	0.00	0.0
DEMARTINI	065	FXP	B	200	94.68	n/a	n/a	0.00	0.0
DEMARTINI	065	FXP	S	200	101.59	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		GES+KD[GES]	SS	1,000	0.76	n/a	n/a	non-brg	100.0
⌘ BUCK CAPITAL MGMT		GES	S	25,000	18.96	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		GES	S	260,000	18.52	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GES	S	53,000	18.18	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		GIL+KE[GIL]	C	1,968	1.04	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT	001	GIL	S	100,000	23.30	8-Sep	16-Oct	4,000.00	4.0
TRUST CO/COWEN/CALF.	040	GPS	S	327,300	12.92	n/a	3-Nov	13,092.00	4.0
⌘ BUCK CAPITAL MGMT		GSIC	B	20,000	9.40	n/a	n/a	non-brg	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KORMAN	003	HAS	SS	2,000	28.18	n/a	n/a	0.00	0.0
UBS OCONNOR	031	HERO	S	25,000	6.26	n/a	n/a	750.00	3.0
⚡ BUCK CAPITAL MGMT		HOTT	B	20,000	6.37	n/a	6-Nov	non-brg	1.0
CAVU CAP ADV	028	HPQ	B	15,000	33.90	n/a	n/a	750.00	5.0
BRUNNER	012	HRS	S	1,000	35.11	30-Oct	30-Oct	0.00	0.0
NOMURA CAPITAL	045	IAR	S	95,500	0.37	n/a	n/a	1,910.00	2.0
Õ Alice Longley		IBM	??	1000	12.00	n/a	n/a	0.00	0.0
SCOPUS FUND	041	IP	B	25,000	14.84	22-Sep	31-Oct	1,250.00	5.0
⚡ BUCK CAPITAL MGMT		JCG+WC[JCG]	SS	700	0.86	n/a	n/a	non-brg	100.0
BRIGADE CAPITAL MGMT	029	JCG	SS	88,200	16.73	n/a	3-Nov	2,646.00	3.0
⚡ BUCK CAPITAL MGMT		JCG	SS	50,000	16.36	n/a	3-Nov	non-brg	4.0
THIRD COAST CAPITAL	035	JCG	B	7,500	17.60	n/a	3-Nov	375.00	5.0
AVESTA CAP	229	JCP	SS	25,000	21.79	n/a	3-Nov	1,250.00	5.0
BUCK CAPITAL MGMT	015	JCP	SS	111,000	23.40	n/a	3-Nov	4,400.00	0.5
THIRD COAST CAPITAL	035	JNY	B	15,000	9.58	n/a	30-Oct	750.00	5.0
⚡ BUCK CAPITAL MGMT		JWN	SS	100,000	15.69	6-Nov	6-Nov	non-brg	4.0
COUGAR TRADING	044	JWN	B	10,000	16.49	6-Nov	6-Nov	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HEALY CIRCLE	044	JWN	SS	10,000	15.17	6-Nov	6-Nov	400.00	4.0
THE JAY GOLDMAN	034	JWN	B	25,000	16.62	6-Nov	6-Nov	1,000.00	4.0
⌘ BUCK CAPITAL MGMT		KGF LN	SS	100,000	1.95	n/a	n/a	non-brg	0.4
⌘ BUCK CAPITAL MGMT		KO+XV[KO]	SS	1,000	1.90	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		KO+XV[KO]	SS	1,000	2.37	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		KO	SS	100,000	44.03	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		KSS+KH[KSS]	SS	2,000	0.60	n/a	n/a	non-brg	100.0
BMO NESBITT BURNS	041	KSS	B	25,000	33.93	n/a	3-Nov	1,250.00	5.0
BMO NESBITT BURNS	041	KSS	SS	25,000	34.16	n/a	3-Nov	1,250.00	5.0
COUGAR TRADING	044	KSS	B	10,000	34.22	n/a	3-Nov	500.00	5.0
COUGAR TRADING	044	KSS	SS	5,000	34.12	n/a	3-Nov	250.00	5.0
KORMAN	003	LEG	SS	2,000	16.24	n/a	n/a	0.00	0.0
WHEELER	008	LPX	B	25,000	2.95	5-Nov	5-Nov	0.00	0.0
COUGAR TRADING	044	LTD	B	5,000	10.87	9-Oct	3-Nov	250.00	5.0
KORMAN	003	MAR	SS	1,500	19.63	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		MFB	S	20,000	10.54	n/a	n/a	non-brg	4.0
CAVU CAP ADV	028	MGA	B	10,000	33.19	n/a	n/a	500.00	5.0
FRONTIER ASSET	039	MSCC	S	119,400	19.86	n/a	n/a	4,776.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHEELER	008	MTRX	S	5,000	11.51	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	M	B	25,000	10.66	12-Aug	3-Nov	1,250.00	5.0
BMO NESBITT BURNS	041	M	SS	25,000	11.36	12-Aug	3-Nov	1,250.00	5.0
COUGAR TRADING	044	M	SS	5,000	11.59	12-Aug	3-Nov	250.00	5.0
RBC CAPITAL MARKETS	034	M	B	10,000	11.26	12-Aug	3-Nov	400.00	4.0
SLS CAPITAL LLC	224	M	B	95,000	11.70	12-Aug	3-Nov	2,850.00	3.0
HIGHBRIDGE CAPITAL	038	NCR	S	75,000	16.98	n/a	n/a	3,750.00	5.0
KORMAN	003	NKE	SS	1,500	51.86	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		OXM+LV[OXM]	SS	490	1.27	n/a	n/a	non-brg	300.0
WHEELER	008	PENX	S	3,200	12.54	n/a	n/a	0.00	0.0
J.W. SELIGMAN	041	PEP	B	25,100	55.17	n/a	n/a	1,004.00	4.0
ß BUCK CAPITAL MGMT		PERY	B	17,464	7.01	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		PETM	SS	100,000	17.89	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		PLCE	B	60,000	27.78	6-Nov	6-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		PVH+KX[PVH]	SS	2,000	1.06	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	PVH	S	100,000	21.54	7-Nov	24-Oct	4,000.00	4.0
COUGAR TRADING	044	PVH	S	5,000	19.83	7-Nov	24-Oct	250.00	5.0
FIRST NEW YORK NICK	029	Q	S	20,000	3.10	n/a	n/a	1,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SERENGETI MGMT	030	RF	B	300,000	11.13	n/a	n/a	15,000.00	5.0
BUCK CAPITAL MGMT	001	RHI	SS	20,000	18.05	n/a	n/a	800.00	4.0
⌘ BUCK CAPITAL MGMT		RL+XG[RL]	SS	1,000	0.92	n/a	n/a	non-brg	100.0
BMO NESBITT BURNS	041	RL	B	25,000	46.74	n/a	6-Nov	1,250.00	5.0
BUCK CAPITAL MGMT	001	RL	SS	60,000	45.61	n/a	6-Nov	2,400.00	4.0
⌘ BUCK CAPITAL MGMT		RL	SS	600	46.72	n/a	6-Nov	non-brg	4.0
COUGAR TRADING	044	RL	B	5,000	45.97	n/a	6-Nov	250.00	5.0
COUGAR TRADING	044	RL	SS	5,000	46.33	n/a	6-Nov	250.00	5.0
THIRD COAST CAPITAL	035	RSH	B	10,000	11.80	n/a	n/a	500.00	5.0
PALMYRA CAPITAL	048	RUTH	S	100,000	1.62	n/a	n/a	2,000.00	2.0
LUCHANSKY1	036	SDS	B	200	87.34	n/a	n/a	0.00	0.0
LUCHANSKY1	036	SDS	S	200	94.18	n/a	n/a	0.00	0.0
GAULT	063	SDS	S	1,800	95.02	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		SGMS	SS	7,000	16.51	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		SGMS	SS	75,000	16.58	n/a	n/a	non-brg	4.0
ZOLIDIS	011	SHOO	C	1,000	20.27	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		SIG LN	SS	50,000	11.60	n/a	n/a	non-brg	2.3
RAMIUS CAP	040	SINT	B	40,000	29.23	n/a	n/a	2,000.00	5.0
⌘ BUCK CAPITAL MGMT		SLM	S	122,700	10.31	n/a	23-Oct	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		SLM	S	2,300	10.65	n/a	23-Oct	non-brg	1.0
⌘ BUCK CAPITAL MGMT		SLM	S	275,000	10.24	n/a	23-Oct	non-brg	4.0
COUGAR TRADING	044	SSO	B	5,000	28.50	n/a	n/a	250.00	5.0
COUGAR TRADING	044	SSO	S	5,000	30.30	n/a	n/a	250.00	5.0
NORTHPOINT	030	STU	S	1,724	41.13	n/a	n/a	68.96	4.0
KERN	050	SWNWG	S	20	5.00	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	TGT	B	25,000	36.86	6-Nov	6-Nov	1,250.00	5.0
⌘ BUCK CAPITAL MGMT		TGT	SS	70,000	36.51	6-Nov	6-Nov	non-brg	4.0
CASEY CAPITAL	067	TGT	SS	5,000	37.02	6-Nov	6-Nov	250.00	5.0
FIRST NY SEC/CHRIS	041	TGT	B	10,000	36.90	6-Nov	6-Nov	600.00	6.0
SCOPUS FUND	041	TGT	B	10,000	36.68	6-Nov	6-Nov	500.00	5.0
⌘ BUCK CAPITAL MGMT		TJX+LE [TJX]	SS	2,000	1.72	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		TJX	S	200,000	24.33	11-Aug	3-Nov	non-brg	2.0
COUGAR TRADING	044	TJX	B	5,000	25.91	11-Aug	3-Nov	250.00	5.0
⌘ BUCK CAPITAL MGMT		TLB	S	50,000	6.65	7-Aug	4-Nov	non-brg	3.0
⌘ BUCK CAPITAL MGMT		TSCO	SS	30,000	39.25	n/a	n/a	non-brg	4.0
BEAR STEARNS ASSET MGMT.	033	TWB	SS	16,500	7.61	n/a	3-Nov	660.00	4.0
⌘ BUCK CAPITAL MGMT		UNFI	SS	10,000	20.31	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		UNFI	SS	20,000	20.49	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		URBN	B	25,000	19.46	5-Nov	6-Nov	non-brg	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		URBN	B	42,600	19.56	5-Nov	6-Nov	non-brg	2.0
⌘ BUCK CAPITAL MGMT		URBN	B	62,400	19.13	5-Nov	6-Nov	non-brg	4.0
COUGAR TRADING	044	URBN	B	5,000	18.55	5-Nov	6-Nov	250.00	5.0
COUGAR TRADING	044	URBN	SS	5,000	19.60	5-Nov	6-Nov	250.00	5.0
⌘ BUCK CAPITAL MGMT		URQ+KD [URBN]	SS	1,000	1.07	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		URQ+KD [URBN]	SS	1,000	1.45	n/a	n/a	non-brg	300.0
WHEELER	008	UXI	B	4,000	23.50	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		WMT+KY [WMT]	SS	1,000	0.90	n/a	n/a	non-brg	100.0
J.W. SELIGMAN	041	WMT	B	39,200	55.01	10-Oct	3-Nov	1,568.00	4.0
⌘ BUCK CAPITAL MGMT		WRC+LD [WRC]	SS	1,000	1.05	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		WRC+LD [WRC]	SS	2,000	1.52	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		WRC+LX [WRC]	SS	2,000	1.34	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	WRC	S	400,000	20.81	7-Nov	24-Oct	16,000.00	4.0
PENN CAPITAL MGMT	243	WRC	B	45,725	16.43	7-Nov	24-Oct	1,829.00	4.0
THIRD COAST CAPITAL	035	WRC	B	7,000	23.22	7-Nov	24-Oct	350.00	5.0
MKT MAKER	098	WRC	S	700	16.43	7-Nov	24-Oct	0.00	0.0
MKT MAKER	243	WRC	B	700	16.43	7-Nov	24-Oct	28.00	4.0
⌘ BUCK CAPITAL MGMT		XRT	SS	675,000	21.38	n/a	n/a	non-brg	1.0
MERRILL ASSET	032	XRX	B	1,369,900	7.35	n/a	n/a	61,645.50	4.5
⌘ BUCK CAPITAL MGMT		ZJQ+LW [TRLG]	SS	1,000	1.46	n/a	n/a	non-brg	300.0

TOTAL (Trade Date):

245,487.08

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/30	JMP ASSET MGMT	210	DM	S	3,500	3.94	n/a	n/a	105.00 3.0
AO,CXL	10/30	JMP ASSET MGMT	210	DM	S	3,500	3.94	n/a	n/a	175.00 5.0
AO,CRT	11/04	DISIPLINED GROWTH INV.	030	ELON	S	2,550	8.51	n/a	n/a	127.50 5.0
AO,CXL	11/04	DISIPLINED GROWTH INV.	030	ELON	S	2,550	8.51	n/a	n/a	127.50 5.0
AO,CRT	11/05	HIGHBRIDGE CAPITAL	038	HUN	B	50,000	8.45	n/a	n/a	1500.00 3.0
AO,CXL	11/05	HIGHBRIDGE CAPITAL	038	HUN	B	50,000	8.45	n/a	n/a	2500.00 5.0
AO,CXL	10/31	SENATOR INVESTMENT GROUP	036	IWM	SS	25,000	53.64	n/a	n/a	1250.00 5.0
AO,CRT	10/31	SENATOR INVESTMENT GROUP	036	IWM	SS	25,000	53.64	n/a	n/a	1250.00 5.0
AO,	11/05	IVORY CAPITAL	034	MOT	B	1,450,000	4.80	n/a	n/a	0.00 0.0
AO,CRT	11/05	STANDARD PACIFIC CAPITAL	040	PAG	B	150,000	8.32	n/a	31-Oct	7500.00 5.0
AO,CXL	11/05	STANDARD PACIFIC CAPITAL	040	PAG	B	150,000	8.32	n/a	31-Oct	7500.00 5.0
AO,CRT	10/31	MORRISON/TLB/BAYPOINT	040	RWT	B	20,000	14.24	n/a	n/a	600.00 3.0
AO,CXL	10/31	MORRISON/TLB/BAYPOINT	040	RWT	B	20,000	14.24	n/a	n/a	600.00 3.0
AO,CXL	11/05	STELLIAM INV ADV	040	SLE	B	25,000	10.44	n/a	n/a	1000.00 4.0
AO,CRT	11/05	STELLIAM INV ADV	040	SLE	B	25,000	10.44	n/a	n/a	1250.00 5.0
TOTAL (AO, CXL, CRT) :										-820.00

TOTAL (Trade Date):	245,487.08
TOTAL (AO, CXL, CRT):	-820.00

TOTAL (RUN DATE) / NFS:	244,667.08
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MRI Securities with Trade Activity on 6-Nov. JWN, PLCE, TGT
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MRI Securities without Trade Activity on 6-Nov. MIDD, MWA
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BRG comm. as a % of BCM Total Comm. paid. T-Date = 22% YTD = 19%
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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

BCM Watch List Trades