



Daily Compliance Activity Report

Trade Date: 11/13/2008

Potential ANALYST TRADE Violations: 2

BCM Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MATRIX ASSET ADV.	036	AA	B	50,000	9.84	n/a	n/a	1,500.00	3.0
WESTERN RESERVE	031	ADS	S	2,000	43.85	n/a	n/a	100.00	5.0
COOKBIELER	028	ALO	S	120,000	30.70	n/a	n/a	4,800.00	4.0
LISTED ERR	028	ALO	S	100	30.70	n/a	n/a	4.00	4.0
CAMBIAR CAP	046	ANF	S	500,000	20.70	7-Aug	7-Nov	19,728.00	3.9
B BUCK CAPITAL MGMT		AN	C	2,700	5.90	7-Nov	7-Nov	non-brg	1.0
SILVERPOINT	067	AXP	SS	150,000	19.27	n/a	12-Nov	7,500.00	5.0
WESTERN RESERVE	031	AXP	S	3,000	19.49	n/a	12-Nov	150.00	5.0
KORMAN	003	AZO	SS	800	105.94	n/a	n/a	0.00	0.0
BUCK	015	BACLT	B	15	0.53	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BBBY	C	100,000	21.85	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BBBY	C	40,000	20.38	n/a	n/a	non-brg	1.0
BALYASNY ASSET MGMT	044	BBY	SS	10,000	23.15	n/a	27-Jul	500.00	5.0
B BUCK CAPITAL MGMT		BBY	SS	50,000	22.51	n/a	27-Jul	non-brg	4.0
ARAGON GLOBAL	041	BIDU	SS	3,100	174.22	n/a	n/a	155.00	5.0
BALYASNY ASSET MGMT	044	BJ	B	10,000	36.00	n/a	27-Jul	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GRANITE CAPITAL	045	BKC	B	10,000	19.18	27-Oct	3-Nov	500.00	5.0
BUCK CAPITAL MGMT	001	BKE	S	10,000	18.32	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT		BOBE	SS	20,000	17.03	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT	001	BRE	S	10,000	27.75	n/a	n/a	400.00	4.0
HIGHFIELDS CAP MGMT	039	BUD	SS	250,000	66.59	n/a	n/a	10,000.00	4.0
COUGAR TRADING	044	BWA	B	5,000	17.94	n/a	30-Oct	250.00	5.0
COUGAR TRADING	044	BWA	S	5,000	15.97	n/a	30-Oct	250.00	5.0
LISTED ERR	099	BWA	B	6,700	17.25	n/a	30-Oct	0.00	0.0
LISTED ERR	099	BWA	S	6,700	17.48	n/a	30-Oct	0.00	0.0
STELLIAM INV ADV	040	CAL	B	12,500	10.71	n/a	n/a	500.00	4.0
AMATURO	018	CBS	B	1,000	6.24	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		CHCG	S	190,600	0.88	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT	001	CLX	B	50,000	61.18	3-Nov	3-Nov	2,000.00	4.0
ZOLIDIS	011	CMGB	S	200	39.00	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	CMG	SS	10,000	43.79	23-Oct	23-Oct	400.00	4.0
WESTERN RESERVE	031	COF	S	5,000	29.79	n/a	12-Nov	250.00	5.0
BUCK	015	COF	SS	1,500	29.81	n/a	12-Nov	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		COH	S	70,000	15.64	8-Oct	22-Oct	non-brg	4.0
COUGAR TRADING	044	COH	S	10,000	14.98	8-Oct	22-Oct	500.00	5.0
GRUSS CAPITAL	045	COP	B	1,000	45.18	n/a	n/a	30.00	3.0
MATRIX ASSET ADV.	036	COP	B	19,000	44.92	n/a	n/a	760.00	4.0
BUCK CAPITAL MGMT		COST	C	50,000	49.32	n/a	27-Jul	non-brg	4.0
BUCK CAPITAL MGMT		COST	SS	70,000	46.28	n/a	27-Jul	non-brg	4.0
BUCK CAPITAL MGMT	001	CRI	SS	60,000	19.31	n/a	n/a	2,400.00	4.0
PILOT ADV	038	CRI	SS	16,000	18.79	n/a	n/a	640.00	4.0
GRISANTI BROWN & PARTNER	048	CSCO	S	15,500	16.08	n/a	22-Mar	775.00	5.0
VALHALLA CAPITAL LP	041	CSCO	B	2,000	16.61	n/a	22-Mar	60.00	3.0
STRAUSS ASSET MGMT	040	CTCT	SS	5,000	12.55	n/a	n/a	200.00	4.0
BUCK CAPITAL MGMT	001	CUZ	S	20,000	12.65	n/a	n/a	800.00	4.0
AVESTA CAP	229	CVS	B	25,000	28.57	n/a	n/a	1,250.00	5.0
BUCK	015	C	C	3,000	9.21	15-Sep	5-Nov	0.00	0.0
BUCK CAPITAL MGMT		DECK	B	30,000	64.55	n/a	n/a	non-brg	4.0
ZOLIDIS	011	DECK	S	200	61.84	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		DIN	SS	25,000	14.36	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT		DLTR	S	50,000	38.78	n/a	7-Nov	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	DSW	S	190,000	11.29	7-Oct	7-Nov	7,600.00	4.0
BRUNNER	012	DUG	B	500	43.80	n/a	n/a	0.00	0.0
KORMAN	003	DV	SS	1,500	54.61	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	ELS	S	40,000	35.38	n/a	n/a	1,600.00	4.0
BUCK CAPITAL MGMT	001	EL	B	50,000	31.38	15-Aug	29-Oct	2,000.00	4.0
GRONET	030	EPG	S	1,000	0.34	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	EQR	S	60,000	28.70	n/a	n/a	2,400.00	4.0
BUCK CAPITAL MGMT	001	ESS	S	70,000	74.43	n/a	n/a	2,800.00	4.0
RAIL-SPLITTER	031	EV	SS	55,300	17.02	13-Nov	13-Nov	2,765.00	5.0
TRELLUS PARTNERS LP	028	EV	C	68,500	16.37	13-Nov	13-Nov	3,425.00	5.0
BUCK CAPITAL MGMT	001	EXR	S	50,000	9.43	n/a	n/a	1,500.00	3.0
ROYCE TRADING	216	FII	B	65,000	20.56	13-Nov	13-Nov	3,250.00	5.0
LISTED ERR	099	FII	S	38	20.56	13-Nov	13-Nov	0.00	0.0
GRISANTI BROWN & PARTNER	048	FISV	S	11,200	32.18	n/a	n/a	560.00	5.0
GRUSS CAPITAL	045	FOR	B	10,000	5.15	n/a	3-Oct	300.00	3.0
MFP INVESTORS	032	FOR	B	2,500	4.74	n/a	3-Oct	100.00	4.0
8 BUCK CAPITAL MGMT		FOSL	S	15,800	15.40	10-Nov	11-Nov	non-brg	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		FOSL	S	236,975	15.18	10-Nov	11-Nov	non-brg	1.0
B BUCK CAPITAL MGMT		FOSL	S	70,000	15.56	10-Nov	11-Nov	non-brg	1.0
ZOLIDIS	011	FRED	SS	500	10.68	n/a	27-Mar	0.00	0.0
BUCK CAPITAL MGMT	001	FRT	S	20,000	53.56	n/a	n/a	800.00	4.0
LEDDY	035	F	B	5,000	1.83	10-Nov	10-Nov	0.00	0.0
SUTERA	160	GE	B	1,000	15.22	n/a	n/a	0.00	0.0
SUTERA	160	GE	S	1,000	16.70	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		GIII	B	10,000	9.76	n/a	n/a	non-brg	1.0
BUCK	015	GIS	B	500	64.09	n/a	n/a	0.00	0.0
ZOLIDIS	011	GMAH	S	3	0.90	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		GPS	C	30,000	11.82	n/a	7-Nov	non-brg	4.0
DIAMONDBACK CAP MGMT	232	GPS	C	50,000	10.91	n/a	7-Nov	2,500.00	5.0
B BUCK CAPITAL MGMT		GSIC	B	20,000	8.97	n/a	n/a	non-brg	2.5
DIAMONDBACK CAP MGMT	232	HAS	SS	25,000	25.68	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	HBI	B	100,000	14.84	n/a	n/a	4,000.00	4.0
BUCK CAPITAL MGMT	001	HD	SS	70,000	19.98	n/a	27-Jul	2,800.00	4.0
GRONET	030	HMA	S	2,000	1.75	n/a	29-Oct	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	HME	S	50,000	36.22	n/a	n/a	2,000.00	4.0
N STRATTON	014	HPC	B	1,000	19.70	n/a	n/a	0.00	0.0
GRISANTI BROWN & PARTNER	048	HPQ	S	11,100	29.05	n/a	n/a	555.00	5.0
LEDDY	035	HSC	S	400	22.17	31-Oct	31-Oct	0.00	0.0
NOLAN	067	HSTX	S	150	5.27	n/a	n/a	0.00	0.0
SCOGGIN CAP	039	IMA	B	66,500	19.79	n/a	n/a	3,325.00	5.0
CENTURION GLOBAL MGMT LL	041	INTC	B	47,500	14.25	n/a	n/a	1,425.00	3.0
BARROW HANLEY MEWHINNEY	031	ITT	B	25,000	41.54	3-Oct	28-Oct	1,000.00	4.0
CRAMER ROSENTHAL/SCOTT	012	IVZ	B	535,500	11.95	13-Nov	13-Nov	21,420.00	4.0
⌘ BUCK CAPITAL MGMT		JCG	B	50,000	12.16	n/a	13-Nov	non-brg	4.0
⌘ BUCK CAPITAL MGMT		JCP+XU[JCP]	SS	1,000	1.25	n/a	n/a	non-brg	300.0
PNC/MERCANTILE	028	JNJ	S	11,643	60.06	n/a	22-Apr	582.15	5.0
NUMERIC	060	JNY	B	95,000	6.81	n/a	30-Oct	2,850.00	3.0
HUNTER GLOBAL INVESTOR	067	JPM	B	39,400	34.82	26-Sep	5-Nov	1,970.00	5.0
WESTERN RESERVE	031	JPM	B	5,000	34.23	26-Sep	5-Nov	250.00	5.0
⌘ BUCK CAPITAL MGMT		KGF LN	SS	50,000	1.56	n/a	n/a	non-brg	0.2

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	KMB	B	50,000	58.14	23-Oct	23-Oct	2,000.00	4.0
ROYCE TRADING	216	KMT	B	100,000	15.80	18-Sep	27-Oct	5,000.00	5.0
SYSTEMATIC FINANCIAL MGT	035	KR	B	12,689	26.89	n/a	n/a	475.84	3.8
Ⓐ BUCK CAPITAL MGMT		KSS	B	35,000	29.26	n/a	10-Nov	non-brg	1.0
CASTLEROCK	040	KSS	B	39,968	28.89	n/a	10-Nov	1,598.72	4.0
BUCK	015	KSS	C	1,000	28.13	n/a	10-Nov	0.00	0.0
ZOLIDIS	011	KSWS	SS	2,000	12.15	n/a	13-Mar	0.00	0.0
BUCK CAPITAL MGMT	001	LEG	SS	50,000	14.37	n/a	n/a	2,000.00	4.0
FINANCIAL STOCK LP	028	LFG	B	75,000	5.57	n/a	n/a	3,000.00	4.0
LUCHANSKY1	036	LLL	S	100	69.48	n/a	n/a	0.00	0.0
LEVIN CAPITAL STRATEGIES	012	LM	B	25,000	16.11	29-Oct	13-Nov	750.00	3.0
KORMAN	003	LNCE	SS	2,000	19.12	n/a	n/a	0.00	0.0
Ⓐ BUCK CAPITAL MGMT		LULU	B	30,000	8.82	n/a	n/a	non-brg	2.5
Ⓐ BUCK CAPITAL MGMT		MAR+WC [MAR]	SS	1,000	0.52	n/a	n/a	non-brg	100.0
Ⓐ BUCK CAPITAL MGMT		MAR+XS [MAR]	SS	1,000	0.67	n/a	n/a	non-brg	100.0
Ⓐ BUCK CAPITAL MGMT		MDTL	C	1,400	0.95	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		MFB	S	15,000	8.16	n/a	n/a	non-brg	3.0
MATRIX ASSET ADV.	036	MHP	B	27,200	22.01	n/a	n/a	1,088.00	4.0
PNC/MERCANTILE	028	MHS	B	31,612	39.77	n/a	n/a	1,580.60	5.0
GRUSS CAPITAL	045	MSFT	B	1,000	19.91	n/a	3-Apr	30.00	3.0
SOROS	036	MT	SS	389,100	21.02	n/a	n/a	15,564.00	4.0
ROSEDALE CAPITAL	046	MYL	B	15,000	8.70	n/a	13-Nov	600.00	4.0
NOLAN	067	NCC	S	600	2.29	n/a	n/a	0.00	0.0
KORMAN	003	NDN	SS	3,000	11.51	31-Oct	7-Nov	0.00	0.0
B BUCK CAPITAL MGMT		NEXC	S	200,000	0.10	n/a	n/a	non-brg	0.5
BUCK CAPITAL MGMT	001	NHP	S	40,000	22.04	n/a	n/a	1,600.00	4.0
BUCK CAPITAL MGMT	001	NKE	SS	30,000	45.75	n/a	n/a	1,200.00	4.0
GRISANTI BROWN & PARTNER	048	NLY	S	18,700	13.19	n/a	n/a	935.00	5.0
GRONET	030	NWY	S	1,000	2.00	n/a	7-Nov	0.00	0.0
BUCK CAPITAL MGMT	001	OFC	S	40,000	24.58	n/a	n/a	1,600.00	4.0
WESTERN RESERVE	031	ORCD	B	7,000	2.52	n/a	n/a	210.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	OXM	S	24,100	9.50	n/a	n/a	723.00	3.0
MANNING & NAPIER	034	PCAR	B	1,038,730	26.13	3-Oct	22-Oct	31,161.90	3.0
MJ31	034	PCAR	B	540	26.13	3-Oct	22-Oct	16.20	3.0
⌘ BUCK CAPITAL MGMT		PERY	B	100,000	3.65	n/a	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		PETM	SS	20,000	16.04	n/a	n/a	non-brg	4.0
ELM RIDGE ADVISORS	044	PKG	B	115,700	13.15	11-Sep	21-Oct	4,628.00	4.0
CHART WELL ADV	028	PLCE	B	65,570	21.17	6-Nov	6-Nov	2,622.80	4.0
GRUSS CAPITAL	045	PLD	B	5,000	5.96	n/a	n/a	150.00	3.0
BUCK CAPITAL MGMT	001	PPS	S	20,000	14.80	n/a	n/a	800.00	4.0
⌘ BUCK CAPITAL MGMT		PRQ+XV[COST]	SS	1,000	2.50	n/a	n/a	non-brg	300.0
AMATURO	018	PRUXX	S	30	4.00	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		PSA	SS	40,000	66.47	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PVH+LD[PVH]	SS	2,000	0.82	n/a	n/a	non-brg	100.0
⌘ BUCK CAPITAL MGMT		PVH+LW[PVH]	SS	1,500	1.67	n/a	n/a	non-brg	300.0
CUMBERLAND	038	QQQQ	B	75,000	29.41	n/a	n/a	2,250.00	3.0
⌘ BUCK CAPITAL MGMT		QUK+LM[DECK]	SS	400	4.70	n/a	n/a	non-brg	300.0

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ß BUCK CAPITAL MGMT		QZS+WX[JOSB]	C	1,000	3.20	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		QZS+WX[JOSB]	C	1,000	3.70	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		QZS+WX[JOSB]	C	951	3.85	n/a	n/a	non-brg	300.0
FIRST NEW YORK LEDDY	035	Q	S	10,000	2.86	n/a	n/a	600.00	6.0
ß BUCK CAPITAL MGMT		RL	C	10,000	39.17	n/a	6-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		RL	SS	20,000	43.51	n/a	6-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		RL	SS	30,000	39.89	n/a	6-Nov	non-brg	4.0
KLEINHEINZ CAP PART	031	RL	S	61,400	39.21	n/a	6-Nov	3,070.00	5.0
ß BUCK CAPITAL MGMT		RTH	C	136,500	71.52	n/a	n/a	non-brg	1.0
MCCARTAN	028	SDS	S	100	110.00	n/a	n/a	0.00	0.0
OGORMAN	046	SDS	B	400	111.57	n/a	n/a	0.00	0.0
OGORMAN	046	SDS	S	200	102.74	n/a	n/a	0.00	0.0
KERN	050	SDS	S	150	107.57	n/a	n/a	0.00	0.0
GAULT	063	SDS	B	500	93.28	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SIG LN	SS	20,000	9.64	n/a	n/a	non-brg	1.4
ARAGON GLOBAL	041	SINA	SS	25,600	25.69	n/a	n/a	1,280.00	5.0
ZOLIDIS	011	SKF	B	100	174.92	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKT	S	50,000	30.43	n/a	n/a	2,000.00	4.0
ß BUCK CAPITAL MGMT		SLM	B	100,000	6.54	n/a	10-Nov	non-brg	1.0
ß BUCK CAPITAL MGMT		SPLS	C	50,000	17.49	n/a	27-Jul	non-brg	4.0

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BUCK	015	SPY	SS	1,000	85.64	n/a	n/a	0.00	0.0
LUCHANSKY1	036	SSO	B	1,000	25.65	n/a	n/a	0.00	0.0
LUCHANSKY1	036	SSO	S	1,000	27.95	n/a	n/a	0.00	0.0
NOLAN	067	SSO	B	100	25.75	n/a	n/a	0.00	0.0
SINCLAIR	031	SWGCL	B	40	6.35	n/a	n/a	0.00	0.0
GRUSS CAPITAL	045	TEX	B	1,000	12.10	23-Oct	23-Oct	30.00	3.0
AMBER CAPITAL	046	TGT	B	100,000	32.54	6-Nov	7-Nov	4,000.00	4.0
BUCK CAPITAL MGMT	001	TGT	B	50,000	34.52	6-Nov	7-Nov	2,000.00	4.0
ZOLIDIS	011	TIF	SS	500	22.26	n/a	3-Nov	0.00	0.0
BUCK CAPITAL MGMT	001	TJX	S	50,000	21.15	11-Aug	12-Nov	2,000.00	4.0
BUCK CAPITAL MGMT	001	TLB	S	149,475	3.69	7-Aug	7-Nov	4,484.25	3.0
BUCK CAPITAL MGMT		TLB	S	5,000	4.04	7-Aug	7-Nov	non-brg	1.0
KORMAN	003	TSCO	SS	2,000	33.94	n/a	n/a	0.00	0.0
NORTHPOINT	030	TTMI	B	39,100	5.41	n/a	n/a	977.52	2.5
BEAR STEARNS ASSET MGMT.	033	TWB	C	17,300	5.18	n/a	3-Nov	692.00	4.0
BUCK CAPITAL MGMT	001	TWB	S	175,800	5.33	n/a	3-Nov	5,274.00	3.0
BUCK CAPITAL MGMT		TWB	S	182,000	5.33	n/a	3-Nov	non-brg	1.0
BUCK CAPITAL MGMT		URBN	B	30,000	16.58	5-Nov	13-Nov	non-brg	4.0

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ZOLIDIS	011	UYG	S	113	6.56	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	VFC	S	90,000	45.65	n/a	n/a	3,600.00	4.0
BARCLEYS CAPITAL	041	VLCM	B	100,000	9.29	n/a	n/a	4,000.00	4.0
LITESPEED	028	WAG	B	7,721	23.06	n/a	n/a	386.05	5.0
BLACKSTONE KAILIX ASS.	048	WFC	S	250,000	27.17	n/a	n/a	12,500.00	5.0
GRISANTI BROWN & PARTNER	048	WMB	S	14,000	15.51	n/a	n/a	700.00	5.0
BUCK CAPITAL MGMT	001	WMS	SS	40,000	21.38	n/a	n/a	1,600.00	4.0
BUCK CAPITAL MGMT	001	WMT	S	250,000	51.73	10-Oct	13-Nov	10,000.00	4.0
LITESPEED	028	WMT	B	33,328	52.12	10-Oct	13-Nov	1,666.40	5.0
BUCK	015	WY	SS	1,500	32.44	3-Nov	3-Nov	0.00	0.0
ß BUCK CAPITAL MGMT		XRT	C	1,100,000	19.28	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		XRT	C	450,000	19.60	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		XRT	C	50,000	17.55	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		YUM	SS	20,000	24.98	14-Aug	20-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		YUM	SS	30,000	25.06	14-Aug	20-Oct	non-brg	4.0
TOTAL (Trade Date):								274,773.43	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	11/12	SATELITE/BOBBY	012	ADP	SS	15,000	34.00	n/a	n/a	600.00 4.0
AO,CXL	11/12	SATELLITE ASSET MGMT	012	ADP	SS	15,000	34.00	n/a	n/a	600.00 4.0
AO,CXL	11/11	PALMYRA CAPITAL	048	ARO	S	40,000	16.43	n/a	10-Nov	1600.00 4.0
AO,CRT	11/11	PALMYRA CAPITAL	048	ARO	S	40,000	16.43	n/a	10-Nov	1200.00 3.0
AO,CXL	11/12	GRANITE CAPITAL	045	COF	S	12,500	30.95	n/a	12-Nov	500.00 4.0
AO,CRT	11/12	GRANITE CAPITAL	045	COF	S	12,500	30.95	n/a	12-Nov	625.00 5.0
AO,CRT	11/12	JP MORGAN VENTURES	046	ENZN	S	100,000	3.23	n/a	14-Oct	2000.00 2.0
AO,CXL	11/12	JP MORGAN VENTURES	046	ENZN	S	100,000	3.23	n/a	14-Oct	5000.00 5.0
AO,CRT	11/12	CUMBERLAND	038	FEED	S	30,000	3.43	n/a	n/a	900.00 3.0
AO,CXL	11/12	CUMBERLAND	038	FEED	S	30,000	3.43	n/a	n/a	1200.00 4.0
AO,CXL	11/12	MFP INVESTORS	032	FOR	B	5,000	5.11	n/a	3-Oct	0.00 0.0
AO,CRT	11/12	MFP INVESTORS	032	FOR	B	5,000	5.11	n/a	3-Oct	200.00 4.0
TOTAL (AO, CXL, CRT) :										-3,375.00

TOTAL (Trade Date) :	274,773.43
TOTAL (AO, CXL, CRT) :	-3,375.00

TOTAL (RUN DATE) / NFS:	271,398.43
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MRI Securities with Trade Activity on 13-Nov.

EV, FII, IVZ

MRI Securities without Trade Activity on 13-Nov.

AMG, AVY, BEN, GLW, PZN

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

T-Date = 46%

YTD = 20%

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