



Daily Compliance Activity Report

Trade Date: 11/04/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCHOTTENFELD ASSOC	041	AAPL	S	1,000	320.14	n/a	n/a	150.00	15.0
SIGMA CAPITAL ASSOCIATES	041	AAP	S	60,000	65.54	n/a	n/a	2,100.00	3.5
BNP PARIBAS SEC	040	ADM	B	15,000	31.25	n/a	2-Nov	600.00	4.0
f DAVID GEORGE BUCK	FID	ADM	B	1000	31.46	n/a	2-Nov	0.00	0.0
B BUCK CAPITAL MGMT		AEO	B	64,000	16.00	n/a	29-Oct	non-brg	0.8
SIGMA CAPITAL ASSOCIATES	041	AEO	B	200,000	16.08	n/a	29-Oct	7,000.00	3.5
f KEVIN MICHAEL O'GORM	FID	AF	B	2000	12.87	n/a	21-Oct	0.00	0.0
STATE TEACHERS RET SYS	047	AIV	S	20,000	24.34	n/a	n/a	1,000.00	5.0
LAGRANGE CAP ADV	048	ALV	SS	7,000	75.00	n/a	27-Oct	350.00	5.0
BMO NESBITT BURNS	041	AMAG	S	7,000	16.45	n/a	n/a	280.00	4.0
B BUCK CAPITAL MGMT		AMR	S	150,000	8.48	n/a	n/a	non-brg	1.0
RBC CAPITAL MARKETS	040	ANF	B	12,000	45.22	n/a	29-Oct	480.00	4.0
B BUCK CAPITAL MGMT	001	ANN	S	45,000	23.39	n/a	n/a	1,800.00	4.0
B BUCK CAPITAL MGMT		ANN	S	5,000	23.47	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		ARO	B	300	23.40	n/a	29-Oct	non-brg	1.0
B BUCK CAPITAL MGMT		ARO	B	42,000	24.25	n/a	29-Oct	non-brg	0.8

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß	BUCK CAPITAL MGMT		ARO	B	49,700	24.14	n/a	29-Oct	non-brg	4.0
	THE JAY GOLDMAN	028	ARO	S	15,000	23.82	n/a	29-Oct	600.00	4.0
f	MARK ANTHONY GRONET	FID	AVY	S	500	37.47	n/a	27-Oct	0.00	0.0
ß	BUCK CAPITAL MGMT		AXL	S	100,000	9.84	n/a	1-Nov	non-brg	3.0
f	DAVID GEORGE BUCK	FID	BBD	S	2000	22.30	n/a	n/a	0.00	0.0
	DELTEC ASSET MGMT.	040	BDC	S	6,000	30.51	n/a	n/a	300.00	5.0
	NEUBERGER BERMAN	036	BEAV	S	123,400	37.05	n/a	27-Oct	4,936.00	4.0
	LISTED ERR	099	BEAV	B	38,600	37.00	n/a	27-Oct	0.00	0.0
	LISTED ERR	099	BEAV	S	38,600	36.73	n/a	27-Oct	0.00	0.0
ß	BUCK CAPITAL MGMT		BEBE	S	39,964	6.02	n/a	n/a	non-brg	2.5
f	JONATHAN RICHARD HAR	FID	BEE	B	1500	4.86	n/a	n/a	0.00	0.0
	BUCK CAPITAL MGMT	001	BIG	B	50,000	29.51	n/a	4-Nov	2,000.00	4.0
ß	BUCK CAPITAL MGMT		BIG	B	50,000	29.31	n/a	4-Nov	non-brg	4.0
	COUGAR TRADING	044	BIG	SS	5,000	29.92	n/a	4-Nov	250.00	5.0
	SAC CHICAGO ANDREW	031	BIG	SS	50,000	29.28	n/a	4-Nov	1,750.00	3.5
	ADAGE CAPITAL MGMT	030	BK	B	100,000	26.09	n/a	19-Oct	3,000.00	3.0
f	MARK ANTHONY GRONET	FID	BLUD	S	1000	18.05	n/a	n/a	0.00	0.0
	KACELA CAPITAL	034	BRCM	B	35,000	42.27	n/a	n/a	1,400.00	4.0
	NEUBERGER BERMAN	036	BWC	S	15,300	23.35	n/a	n/a	612.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		BWIN AV	S	74,227	43.28	n/a	n/a	non-brg	8.7
NEUBERGER BERMAN	036	BXP	S	600	88.10	n/a	n/a	24.00	4.0
STATE TEACHERS RET SYS	047	BXP	B	5,000	88.04	n/a	n/a	250.00	5.0
STATE TEACHERS RET SYS	047	CBL	S	15,000	17.80	n/a	n/a	750.00	5.0
MTB INV ADV	034	CGI	S	32,150	14.04	n/a	n/a	1,286.00	4.0
B BUCK CAPITAL MGMT		CHS	S	150,000	10.16	n/a	5-Feb	non-brg	4.0
B BUCK CAPITAL MGMT		CHS	S	20,000	10.40	n/a	5-Feb	non-brg	4.0
NEUBERGER BERMAN	036	CMA	S	1,300	37.49	n/a	n/a	52.00	4.0
DSG CAPITAL	225	COG	S	5,000	31.70	n/a	27-Oct	250.00	5.0
NEUBERGER BERMAN	036	COG	S	1,600	31.66	n/a	27-Oct	64.00	4.0
B BUCK CAPITAL MGMT		COH	B	10,000	51.95	n/a	27-Oct	non-brg	4.0
CAPITAL GROWTH MGMT.	241	COH	B	280,000	51.94	n/a	27-Oct	14,000.00	5.0
f KAREN F LEDDY	FID	CPN	S	1200	12.34	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		CROX	B	20,000	13.97	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		CSTR	S	5,000	61.96	n/a	n/a	non-brg	2.5
RBC CAPITAL MARKETS	040	CSX	SS	5,000	62.74	n/a	n/a	200.00	4.0
CROWN ADVISORS	045	CVGI	B	40,000	14.92	n/a	n/a	2,000.00	5.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	EDWARD W WHEELER	FID	CVGI	S	8400	15.00	n/a	n/a	0.00	0.0
	THIRD COAST CAPITAL	035	CVGI	B	2,600	14.06	n/a	n/a	130.00	5.0
	REINHART & MAHONEY	047	CVS	B	21,550	31.24	n/a	n/a	1,077.50	5.0
f	MANNY I KORMAN	FID	C	B	15000	4.23	n/a	19-Oct	0.00	0.0
f	MANNY I KORMAN	FID	C	B	20000	4.24	n/a	19-Oct	0.00	0.0
	CAPITAL GROWTH MGMT.	241	DAL	S	200,000	14.10	n/a	n/a	8,000.00	4.0
	CAVU CAP ADV	028	DAL	SS	20,000	14.10	n/a	n/a	1,000.00	5.0
f	DAVID GEORGE BUCK	FID	DB	B	1500	58.86	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		DLTR	S	20,000	52.30	n/a	26-Oct	non-brg	4.0
B	BUCK CAPITAL MGMT		DLTR	S	5,000	52.00	n/a	26-Oct	non-brg	2.5
	STATE TEACHERS RET SYS	047	DRH	S	10,000	10.85	n/a	n/a	500.00	5.0
B	BUCK CAPITAL MGMT		DVN	B	10,000	69.26	n/a	4-Nov	non-brg	0.8
	DSG CAPITAL	225	DVN	S	2,500	69.78	n/a	4-Nov	125.00	5.0
	SCHOTTENFELD ASSOC	041	EXAS	B	10,000	6.21	n/a	n/a	400.00	4.0
	O CAPITAL MGMT	029	FFNW	B	4,000	3.74	n/a	n/a	200.00	5.0
B	BUCK CAPITAL MGMT		FITB	B	25,000	13.24	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		FITB	B	25,000	13.29	n/a	n/a	non-brg	0.8
	NEUBERGER BERMAN	036	FNF	S	10,900	13.70	n/a	n/a	436.00	4.0
B	BUCK CAPITAL MGMT		FOSL	S	12,000	61.20	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STATE TEACHERS RET SYS	047	FRT	B	15,000	81.20	n/a	n/a	750.00	5.0
Ⓐ BUCK CAPITAL MGMT		F	S	50,000	15.78	n/a	4-Nov	non-brg	1.0
LATEFF MGMT	035	F	S	1,500	15.84	n/a	4-Nov	210.00	14.0
Ⓐ BUCK CAPITAL MGMT		GCO	S	47,031	34.44	n/a	n/a	non-brg	4.0
Ⓐ BUCK CAPITAL MGMT		GES	B	40,000	40.13	n/a	18-Oct	non-brg	4.0
Ⓐ BUCK CAPITAL MGMT		GIII	B	10,000	27.68	n/a	n/a	non-brg	4.0
Ⓐ BUCK CAPITAL MGMT		GIII	B	10,000	27.85	n/a	n/a	non-brg	4.0
Ⓐ BUCK CAPITAL MGMT		GIII	B	20,000	27.75	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	GIL	B	70,000	28.13	n/a	18-Oct	2,800.00	4.0
Ⓐ BUCK CAPITAL MGMT		GIL	B	18,200	27.65	n/a	18-Oct	non-brg	4.0
GREENWICH PB/HILLTOP	086	GIL	S	57,500	27.72	n/a	18-Oct	1,725.00	3.0
f CHRISTOPHER ROBERT C	FID	GLRE	B	300	28.70	n/a	n/a	0.00	0.0
JP MORGAN VENTURES	046	GPS	B	25,000	20.71	n/a	n/a	1,250.00	5.0
Õ Michael Ehrlich		GSL	S	1134	5.02	n/a	n/a	0.00	0.0
Õ Michael Ehrlich		GSL	S	66	5.01	n/a	n/a	0.00	0.0
NUMERIC	060	GT	S	77,900	10.42	n/a	n/a	2,337.00	3.0
Ⓐ BUCK CAPITAL MGMT		HBI	B	20,000	24.95	n/a	28-Oct	non-brg	4.0
Ⓐ BUCK CAPITAL MGMT		HBI	B	20,100	24.92	n/a	28-Oct	non-brg	4.0
CENTURION PARTNERS	041	HIG	S	50,000	25.83	n/a	n/a	2,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	HOG	S	1,700	33.20	n/a	n/a	68.00	4.0
GRUSS CAPITAL	025	HOS	B	20,000	21.01	n/a	n/a	600.00	3.0
OMEGA ADVISORS	041	HPQ	B	250,000	44.34	n/a	n/a	10,000.00	4.0
JET CAPITAL/CHRIS	041	HTZ	B	100,000	11.94	n/a	n/a	3,000.00	3.0
B BUCK CAPITAL MGMT		ICON	S	20,000	17.36	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ICON	S	76,894	17.23	n/a	n/a	non-brg	4.0
f KATHERINE L O'GORMAN	FID	IGT	B	2000	16.40	n/a	20-Oct	0.00	0.0
f KEVIN MICHAEL O'GORM	FID	IGT	B	2000	16.33	n/a	20-Oct	0.00	0.0
f ALICE BEEBE LONGLEY	FID	IJT	B	250	67.73	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	IP	SS	25,000	25.82	n/a	27-Oct	1,250.00	5.0
B BUCK CAPITAL MGMT		JACK	S	10,900	23.75	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		JBLU	S	40,000	7.33	n/a	n/a	non-brg	3.0
ARCHON CAPITAL	035	JCG	S	35,000	32.62	n/a	n/a	1,050.00	3.0
f KEVIN MICHAEL O'GORM	FID	JCG	B	1200	32.89	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	JCG	B	25,000	32.48	n/a	n/a	1,000.00	4.0
B BUCK CAPITAL MGMT	001	JCP	B	20,000	32.55	n/a	29-Oct	800.00	4.0
f DAVID GEORGE BUCK	FID	JCP	S	1000	32.29	n/a	29-Oct	0.00	0.0
SAC CAPITAL/M GRONET	030	JCP	SS	25,000	32.45	n/a	29-Oct	875.00	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAC COHEN	044	JCP	SS	50,000	32.31	n/a	29-Oct	1,750.00	3.5
BERMAN CAPITAL MGMT	046	JNY	B	3,000	14.80	n/a	28-Oct	90.00	3.0
BUCK CAPITAL MGMT	001	JNY	B	34,100	14.80	n/a	28-Oct	1,364.00	4.0
EGS ASSOCIATES LP	091	JNY	B	3,000	14.78	n/a	28-Oct	180.00	6.0
GRUSS CAPITAL	025	JOE	B	5,000	19.98	n/a	n/a	150.00	3.0
ASCEND PARTNERS	033	JWN	S	65,000	41.69	n/a	29-Oct	3,250.00	5.0
f JONATHAN RICHARD HAR	FID	KCP	B	250	14.04	n/a	n/a	0.00	0.0
THOMAS WEISEL ASSET MGMT	035	KEG	B	19,496	10.32	n/a	28-Oct	584.88	3.0
B BUCK CAPITAL MGMT		KEY	B	100,000	8.61	n/a	n/a	non-brg	0.8
NEUBERGER BERMAN	036	KEY	S	6,400	8.52	n/a	n/a	256.00	4.0
RBC CAPITAL MARKETS	040	KFT	SS	50,000	31.93	n/a	n/a	2,000.00	4.0
BNP PARIBAS SEC	040	KRA	B	10,000	28.26	n/a	n/a	400.00	4.0
BNP PARIBAS SEC	040	KRA	S	10,000	29.63	n/a	n/a	400.00	4.0
APEX CAPITAL MGMT.	261	KSS	S	155,200	51.52	n/a	29-Oct	6,208.00	4.0
BUCK CAPITAL MGMT	001	KSS	B	110,000	49.95	n/a	29-Oct	4,400.00	4.0
B BUCK CAPITAL MGMT		KSS	B	100,000	50.30	n/a	29-Oct	non-brg	2.5
B BUCK CAPITAL MGMT		KSS	B	20,000	50.22	n/a	29-Oct	non-brg	2.5
B BUCK CAPITAL MGMT		KSS	B	460,000	49.90	n/a	29-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		KSS	B	70,000	49.97	n/a	29-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		KSS	C	210,184	50.76	n/a	29-Oct	non-brg	0.8
CAERUS GLOBAL	041	KSS	S	7,500	51.82	n/a	29-Oct	300.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SYSTEMATIC FINANCIAL MGT	035	KSS	S	277,209	49.99	n/a	29-Oct	8,316.27	3.0
MTB INV ADV	034	KSU	S	3,100	45.39	n/a	n/a	155.00	5.0
f JOHN MICHAEL ZOLIDIS	FID	KSWs	B	700	11.22	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	KSWs	B	1000	11.85	n/a	n/a	0.00	0.0
WEDBUSH/PACIFIC GROWTH EQTY LLC084	KSWs	B	15,000	11.90		n/a	n/a	600.00	4.0
NEUBERGER BERMAN	036	LEA	S	700	89.94	n/a	29-Oct	28.00	4.0
B BUCK CAPITAL MGMT		LEN	B	50,000	15.17	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	LIZ	B	50,000	6.52	n/a	7-Oct	1,500.00	3.0
f CHRISTOPHER ROBERT C	FID	LIZ	S	500	6.82	n/a	7-Oct	0.00	0.0
JMP ASSET MGMT	210	LIZ	SS	25,000	6.89	n/a	7-Oct	1,000.00	4.0
KENNEDY CAPITAL	046	LIZ	S	100,000	6.92	n/a	7-Oct	3,000.00	3.0
B BUCK CAPITAL MGMT		LL	S	200,000	22.09	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		LL	S	35,164	21.61	n/a	n/a	non-brg	2.5
ARMATURE CAPITAL	041	LYB	SS	40,000	27.03	n/a	n/a	1,600.00	4.0
SIGMA CAPITAL ASSOCIATES	041	MAR	B	25,000	38.71	n/a	2-Nov	875.00	3.5
B BUCK CAPITAL MGMT		MDC	B	20,000	27.74	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT	001	MFB	S	38,711	28.61	n/a	n/a	1,548.44	4.0
BNP PARIBAS SEC	040	MON	S	20,000	62.87	n/a	25-Oct	800.00	4.0
f DAVID GEORGE BUCK	FID	MRK	B	1500	36.61	n/a	n/a	0.00	0.0

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ROSEDALE CAPITAL	046	MRK	B	15,000	36.54	n/a	n/a	750.00	5.0
f KEVIN MICHAEL O'GORM	FID	MRT	S	4900	5.06	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		MS	B	50,000	25.80	n/a	21-Oct	non-brg	0.8
ß BUCK CAPITAL MGMT		MVRX	C	10,000	201.15	n/a	n/a	non-brg	20.1
ß BUCK CAPITAL MGMT		MVRX	C	100,000	199.48	n/a	n/a	non-brg	19.9
EGS ASSOCIATES LP	091	M	B	2,200	25.19	n/a	29-Oct	132.00	6.0
SAC CAPITAL/M GRONET	030	M	B	12,500	25.30	n/a	29-Oct	437.50	3.5
COOPER CREEK PART	028	NDN	B	15,000	14.91	4-Nov	4-Nov	600.00	4.0
HOOVER INV. MGMT	033	NDN	S	11,900	15.44	4-Nov	4-Nov	476.00	4.0
ß BUCK CAPITAL MGMT		NILE	SS	10,000	45.90	n/a	n/a	non-brg	1.0
NEUBERGER BERMAN	036	NRG	S	2,600	19.86	n/a	n/a	104.00	4.0
ADAGE CAPITAL MGMT	030	NTRS	S	50,000	50.94	n/a	21-Oct	1,500.00	3.0
BUCK CAPITAL MGMT	001	NWY	B	50,000	3.69	n/a	n/a	1,500.00	3.0
NEUBERGER BERMAN	036	OII	S	1,500	67.31	n/a	n/a	60.00	4.0
ADALY INV MGMT	031	PAG	S	17,800	14.75	n/a	25-Oct	623.00	3.5
ß BUCK CAPITAL MGMT		PAG	B	20,000	14.81	n/a	25-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		PAG	B	30,000	14.79	n/a	25-Oct	non-brg	4.0
NICOLAS APPELEGATE	084	PCS	S	36,500	11.25	n/a	n/a	1,095.00	3.0

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SOROS	036	PFE	S	100,000	17.33	n/a	n/a	4,000.00	4.0
B BUCK CAPITAL MGMT		PLCE	B	11,300	44.28	n/a	21-Oct	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	PLCE	S	100	44.66	n/a	21-Oct	0.00	0.0
B BUCK CAPITAL MGMT		RF	B	50,000	6.39	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		RF	B	50,000	6.42	n/a	n/a	non-brg	3.0
STATE TEACHERS RET SYS	047	RGA	S	10,000	51.22	n/a	n/a	500.00	5.0
OWL CREEK INV	085	RKT	B	100,000	57.98	n/a	n/a	3,000.00	3.0
B BUCK CAPITAL MGMT		ROST	C	151,900	63.64	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		RRR	B	100,000	8.51	n/a	25-Oct	non-brg	2.5
B BUCK CAPITAL MGMT		RYL	B	20,000	15.79	n/a	n/a	non-brg	4.0
NOKOMIS PARTNERS	031	SATS	B	10,000	21.43	n/a	n/a	500.00	5.0
f MARC PAUL LUCHANSKY	FID	SDS	S	1000	26.00	n/a	n/a	0.00	0.0
STATE TEACHERS RET SYS	047	SHO	S	15,000	10.60	n/a	n/a	750.00	5.0
f JASON ERIC COHEN	FID	SNCR	S	50	27.86	n/a	n/a	0.00	0.0
CAMBIAR CAP	046	SPR	B	13,000	18.81	n/a	12-Oct	520.00	4.0
GRUSS CAPITAL	025	SPR	B	10,000	18.89	n/a	12-Oct	300.00	3.0
BERMAN CAPITAL MGMT	046	SPY	S	10,000	121.39	n/a	n/a	300.00	3.0

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f JONATHAN RICHARD HAR	FID	SRI	B	200	12.08	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		STI	B	30,000	25.70	n/a	n/a	non-brg	0.8
f DAVID GEORGE BUCK	FID	SYK	B	1000	51.63	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	040	TCK	B	40,000	47.38	n/a	n/a	1,600.00	4.0
B BUCK CAPITAL MGMT		TEX	B	50,000	24.29	n/a	22-Oct	non-brg	4.0
ADAGE CAPITAL MGMT	030	TGT	B	550,000	55.59	n/a	4-Nov	16,500.00	3.0
SAC CHICAGO ANDREW	031	TGT	B	125,000	54.95	n/a	4-Nov	4,375.00	3.5
OWL CREEK INV	085	TIN	B	300,000	21.47	n/a	20-Oct	9,000.00	3.0
STATE TEACHERS RET SYS	047	TMO	S	20,000	52.54	n/a	n/a	1,000.00	5.0
B BUCK CAPITAL MGMT		TOL	B	75,000	18.38	n/a	n/a	non-brg	4.0
f JONATHAN RICHARD HAR	FID	TRLG	B	175	18.84	n/a	n/a	0.00	0.0
DAVIDSON KEMPNER ADVISOR	040	TYC	B	50,000	39.23	n/a	18-Aug	2,500.00	5.0
ELM RIDGE ADVISORS	044	UFS	S	38,500	80.04	n/a	n/a	1,540.00	4.0
B BUCK CAPITAL MGMT		URBN	B	250,000	31.71	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		URBN	B	32,000	32.11	n/a	n/a	non-brg	0.8
f JONATHAN RICHARD HAR	FID	URZ	B	2000	3.17	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	JONATHAN RICHARD HAR	FID	URZ	S	2000	3.05	n/a	n/a	0.00	0.0
	ADAGE CAPITAL MGMT	030	USB	S	100,000	24.53	n/a	n/a	3,000.00	3.0
f	CHRISTOPHER ROBERT C	FID	USG	S	150	14.21	n/a	22-Oct	0.00	0.0
B	BUCK CAPITAL MGMT		USTR	S	19,104	59.19	n/a	n/a	non-brg	4.0
f	DAVID GEORGE BUCK	FID	VLY	S	2000	13.41	n/a	n/a	0.00	0.0
	SCHOTTENFELD ASSOC	041	VMW	S	2,200	79.70	n/a	n/a	110.00	5.0
	NEUBERGER BERMAN	036	VNO	S	600	88.82	n/a	n/a	24.00	4.0
f	JOSEPH CIRO AMATURO	FID	VXX	S	40000	11.40	n/a	n/a	0.00	0.0
f	MARC PAUL LUCHANSKY	FID	VXX	S	2000	11.43	n/a	n/a	0.00	0.0
f	PEARL LUCHANSKY	FID	VXX	S	2000	11.48	n/a	n/a	0.00	0.0
	NEUBERGER BERMAN	036	WBC	S	2,100	49.50	n/a	29-Oct	84.00	4.0
	DAVIDSON KEMPNER ADVISOR	040	WCG	B	50,000	29.15	n/a	n/a	2,500.00	5.0
	ADAGE CAPITAL MGMT	030	WFC	B	50,000	26.91	n/a	4-Nov	1,500.00	3.0
B	BUCK CAPITAL MGMT		WFT	B	40,000	18.20	n/a	n/a	non-brg	4.0
	NEUBERGER BERMAN	036	WLL	S	1,000	107.21	n/a	n/a	40.00	4.0
f	JONATHAN RICHARD HAR	FID	WNC	S	500	9.19	n/a	n/a	0.00	0.0
	STERLING JOHNSTON	035	WRC	B	26,400	53.38	n/a	18-Oct	1,056.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TYEE/TYGH	035	WRC	S	22,000	53.64	n/a	18-Oct	880.00	4.0
ADAGE CAPITAL MGMT	030	WSM	SS	75,000	35.00	n/a	n/a	2,250.00	3.0
PATTEN & PATTEN	067	WY	S	8,350	16.92	n/a	29-Oct	417.50	5.0
ASCEND PARTNERS	033	XRT	C	88,119	44.80	n/a	n/a	4,405.95	5.0
B BUCK CAPITAL MGMT		XRT	C	20,000	44.53	n/a	n/a	non-brg	1.0
SENVEST PART	085	ZQK	B	75,000	4.30	n/a	10-May	2,250.00	3.0
THOMPSON SIEGAL&WALMSLEY	029	ZQK	B	26,400	4.32	n/a	10-May	1,056.00	4.0
TOTAL (Trade Date):								203,059.04	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/03	FULLER & THALER ASSET	033	AXL	S	100,000	9.03	n/a	1-Nov	3000.00 3.0
AO,CRT	11/03	BMO NESBITT BURNS	041	BZ	S	9,000	7.65	n/a	n/a	450.00 5.0
AO,CXL	11/03	ADAGE CAPITAL MGMT	030	M	B	369,700	23.81	n/a	29-Oct	11091.00 3.0
AO,CRT	11/03	ADAGE CAPITAL MGMT	030	M	B	369,700	23.82	n/a	29-Oct	11091.00 3.0
AO,	11/03	NOMURA CAPITAL	029	QLTY	S	10,000	7.30	n/a	n/a	200.00 2.0
AO,CXL	11/03	REINHART & MAHONEY	047	RSG	B	350	29.95	n/a	n/a	17.50 5.0
AO,CRT	11/03	REINHART & MAHONEY	047	RSG	B	350	29.95	n/a	n/a	17.50 5.0
AO,CRT	11/03	SAC CHICAGO ANDREW	031	WMT	SS	75,000	54.60	n/a	14-Oct	2625.00 3.5
AO,CXL	11/03	SAC CHICAGO ANDREW	031	WMT	SS	75,000	54.60	n/a	14-Oct	2625.00 3.5

TOTAL (AO, CXL, CRT) :**3,650.00**

TOTAL (Trade Date):

203,059.04

TOTAL (AO, CXL, CRT):

3,650.00

TOTAL (RUN DATE) / NFS:**206,709.04**

MRI Securities with Trade Activity on 4-Nov.

NDN

MRI Securities without Trade Activity on 4-Nov.

MCD, BUD, IFF, PRX

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

T-Date = 12%

YTD = 11%

<u>Legend:</u>
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)