



# Daily Compliance Activity Report

Trade Date: 10/31/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	AEO	B	20,000	24.15	12-Oct	7-Dec	1,000.00	5.0
COUGAR TRADING	044	AEO	S	15,000	23.92	12-Oct	7-Dec	750.00	5.0
J L F ASSET MGMT	039	AEO	SS	41,000	24.18	12-Oct	7-Dec	1,640.00	4.0
NUMERIC	060	AMD	C	138,700	13.07	n/a	n/a	4,161.00	3.0
COUGAR TRADING	044	ANF	SS	5,000	79.13	2-Oct	7-Dec	250.00	5.0
SARAS CAPITAL	038	AN	B	57,000	17.65	n/a	25-Oct	2,850.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ARO</b>	<b>B</b>	<b>25,000</b>	<b>22.55</b>	<b>n/a</b>	<b>7-Dec</b>	<b>1,000.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>		<b>ARO</b>	<b>B</b>	<b>25,000</b>	<b>22.44</b>	<b>n/a</b>	<b>7-Dec</b>	<b>non-brg</b>	<b>2.0</b>
COUGAR TRADING	044	ARO	B	15,000	22.74	n/a	7-Dec	750.00	5.0
COUGAR TRADING	044	ARO	S	10,000	22.51	n/a	7-Dec	500.00	5.0
DSG CAPITAL	225	ASD	B	3,000	37.19	n/a	n/a	150.00	5.0
MAZAMA CAPITAL MGMT.	035	ATW	S	26,000	84.20	n/a	n/a	1,040.00	4.0
HIGHBRIDGE CAPITAL	038	BBT	B	49,000	36.76	n/a	n/a	2,450.00	5.0
<b>BUCK CAPITAL MGMT</b>		<b>BBY</b>	<b>B</b>	<b>10,000</b>	<b>48.13</b>	<b>n/a</b>	<b>27-Jul</b>	<b>non-brg</b>	<b>1.0</b>
<b>BUCK CAPITAL MGMT</b>		<b>BBY</b>	<b>B</b>	<b>100,000</b>	<b>48.51</b>	<b>n/a</b>	<b>27-Jul</b>	<b>non-brg</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>		<b>BBY</b>	<b>B</b>	<b>20,000</b>	<b>48.41</b>	<b>n/a</b>	<b>27-Jul</b>	<b>non-brg</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>		<b>BBY</b>	<b>B</b>	<b>20,000</b>	<b>48.56</b>	<b>n/a</b>	<b>27-Jul</b>	<b>non-brg</b>	<b>2.0</b>
<b>BUCK CAPITAL MGMT</b>		<b>BBY</b>	<b>B</b>	<b>200,000</b>	<b>48.58</b>	<b>n/a</b>	<b>27-Jul</b>	<b>non-brg</b>	<b>4.0</b>
XYLEM GLOBAL	091	BMS	B	20,000	28.03	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MAGUIRE	090	BONT	B	2,800	17.50	17-Oct	7-Dec	0.00	0.0
MKT MAKER	099	BONT	B	50	16.93	17-Oct	7-Dec	0.00	0.0
OGORMAN	400	CBK	B	400	13.64	n/a	20-Dec	0.00	0.0
MKT MAKER	099	CENT	B	200	8.45	n/a	28-Nov	0.00	0.0
⌘ BUCK CAPITAL MGMT		CISG	S	7,000	25.13	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	067	CIU	B	500	100.67	n/a	n/a	25.00	5.0
SAGE ASSET MGMT	012	CMA	SS	82,700	45.95	n/a	n/a	4,135.00	5.0
⌘ BUCK CAPITAL MGMT		COH	B	60,000	36.58	24-Oct	24-Oct	non-brg	4.0
J.W. SELIGMAN	041	COH	B	87,600	36.22	24-Oct	24-Oct	3,504.00	4.0
DSG CAPITAL	225	COV	S	3,000	41.57	n/a	n/a	150.00	5.0
WHEELER	008	CPNLQ	S	45,000	1.51	n/a	29-Jun	0.00	0.0
⌘ BUCK CAPITAL MGMT		CROX	B	50,000	58.94	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		CROX	S	50,000	61.61	n/a	n/a	non-brg	1.0
NORTHPOINT	030	CROX	S	1,530	73.60	n/a	n/a	61.20	4.0
STRATTON	N21	CSR	B	100	25.00	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		C	B	40,800	41.68	n/a	19-Dec	non-brg	4.0
⌘ BUCK CAPITAL MGMT		DBD	S	189,100	41.80	16-Aug	21-Nov	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⌘ BUCK CAPITAL MGMT		DDS	SS	20,000	23.06	n/a	n/a	non-brg	4.0
TRIVIUM CAP MGMT	251	DELL	B	25,000	30.28	n/a	n/a	1,000.00	4.0
⌘ BUCK CAPITAL MGMT		DIA	C	100,000	138.49	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		DIA	C	309,500	138.21	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		DIA	SS	100,000	138.00	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		DSW	B	40,000	22.49	26-Oct	14-Dec	non-brg	4.0
ROBX	302	DUK	S	82,000	19.13	n/a	n/a	2,460.00	3.0
CAPITAL GROWTH MGMT.	241	DVN	B	270,000	92.99	22-Oct	30-Nov	13,500.00	5.0
MAZAMA CAPITAL MGMT.	035	ESS	S	16,200	123.08	n/a	n/a	648.00	4.0
BALYASNY ASSET MGMT	044	FDO	B	10,000	25.67	9-Aug	7-Dec	500.00	5.0
BARR	096	FEIC	B	400	28.80	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		FLDR	SS	2,000	4.49	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		FLDR	SS	5,000	4.95	n/a	n/a	non-brg	3.0
SECOND CURVE	031	GHL	B	3,500	74.18	n/a	n/a	175.00	5.0
STADIA CAPITAL	035	GIL	S	25,000	45.54	19-Sep	11-Dec	1,000.00	4.0
MAGUIRE	039	GLW	S	300	24.07	n/a	26-Dec	0.00	0.0
TRELLUS PARTNERS LP	028	GM	SS	25,000	38.51	n/a	4-Dec	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		GPS	C	100,000	18.87	n/a	7-Dec	non-brg	4.0
BUCK CAPITAL MGMT		GPS	C	100,000	18.95	n/a	7-Dec	non-brg	4.0
BUCK CAPITAL MGMT		GPS	C	60,000	18.85	n/a	7-Dec	non-brg	4.0
NORTHPOINT	030	GPX	B	5,100	11.02	n/a	n/a	204.00	4.0
DSG CAPITAL	225	GR	B	2,000	69.40	25-Oct	25-Oct	100.00	5.0
BUCK CAPITAL MGMT		GSF	S	34,400	80.02	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		GSF	S	5,000	78.95	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		GYMB	B	10,000	34.09	10-Aug	7-Dec	non-brg	4.0
J L F ASSET MGMT	039	GYMB	B	35,500	34.54	10-Aug	7-Dec	1,420.00	4.0
SARAS CAPITAL	038	IP	SS	65,000	36.71	n/a	5-Nov	3,250.00	5.0
NOLAN	067	IVZ	S	30	30.52	8-Oct	24-Dec	0.00	0.0
BUCK CAPITAL MGMT		IWM	C	170,000	81.42	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT	001	JCG	S	20,000	36.99	24-Oct	30-Nov	800.00	4.0
BUCK CAPITAL MGMT		JCG	S	50,000	36.44	24-Oct	30-Nov	non-brg	4.0
BUCK CAPITAL MGMT		JCG	S	91,600	36.49	24-Oct	30-Nov	non-brg	4.0
APEX CAPITAL MGMT.	091	JCP	B	10,000	56.25	12-Oct	7-Dec	500.00	5.0
MAGUIRE	090	JCP	B	2,000	55.92	12-Oct	7-Dec	0.00	0.0
WHEELER	008	JNJ	B	3,000	65.10	n/a	22-Apr	0.00	0.0
BUCK CAPITAL MGMT	001	JNY	SS	25,000	21.72	n/a	1-Nov	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		JNY	SS	15,000	21.58	n/a	1-Nov	non-brg	4.0
⌘ BUCK CAPITAL MGMT		JOSB	S	10,000	28.80	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		JWN	B	120,000	39.46	12-Oct	7-Dec	non-brg	4.0
⌘ BUCK CAPITAL MGMT		JWN	B	149,500	39.47	12-Oct	7-Dec	non-brg	4.0
⌘ BUCK CAPITAL MGMT		JWN	B	30,000	39.41	12-Oct	7-Dec	non-brg	2.5
⌘ BUCK CAPITAL MGMT		JWN	B	30,500	39.51	12-Oct	7-Dec	non-brg	2.0
BUCK	015	JWN	C	500	38.67	12-Oct	7-Dec	0.00	0.0
MAGUIRE	039	KEG	S	300	13.73	29-Oct	10-Dec	0.00	0.0
HIGHBRIDGE CAPITAL	038	KEY	B	55,000	28.43	n/a	n/a	2,750.00	5.0
VARDON PARTNERS	035	KMX	B	75,000	20.72	n/a	10-Jan	3,750.00	5.0
APEX CAPITAL MGMT.	091	KO	B	4,800	61.61	n/a	n/a	240.00	5.0
APEX CAPITAL MGMT.	091	KSS	B	6,400	55.03	27-Sep	7-Dec	320.00	5.0
⌘ BUCK CAPITAL MGMT		KSS	S	10,000	55.59	27-Sep	7-Dec	non-brg	2.0
⌘ BUCK CAPITAL MGMT		KSS	S	100,000	55.83	27-Sep	7-Dec	non-brg	4.0
⌘ BUCK CAPITAL MGMT		KSS	S	90,000	55.22	27-Sep	7-Dec	non-brg	4.0
COUGAR TRADING	044	KSS	B	5,000	55.24	27-Sep	7-Dec	250.00	5.0
COUGAR TRADING	044	KSS	SS	5,000	55.01	27-Sep	7-Dec	250.00	5.0
THE JAY GOLDMAN	034	KSS	B	10,000	55.05	27-Sep	7-Dec	400.00	4.0
CHARTER OAK	033	LEH	B	48,305	61.80	12-Jun	19-Dec	2,415.25	5.0
SUNOVA CAPITAL	031	LM	B	40,000	82.77	12-Oct	24-Dec	2,000.00	5.0
APEX CAPITAL MGMT.	091	LOW	B	4,100	26.77	n/a	27-Jul	205.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MS PRINCIPAL STRATEGIES	041	MAR	S	95,000	40.44	n/a	n/a	4,750.00	5.0
APEX CAPITAL MGMT.	091	MAT	B	19,700	20.90	n/a	n/a	985.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>MDTL</b>	<b>SS</b>	<b>25,000</b>	<b>13.84</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>SINCLAIR</b>	<b>031</b>	<b>MERAV</b>	<b>B</b>	<b>15</b>	<b>2.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>SINCLAIR</b>	<b>031</b>	<b>MERKU</b>	<b>S</b>	<b>5</b>	<b>1.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CHILTON CAPITAL MGMT.	036	MFE	B	63,991	40.73	n/a	3-Apr	2,559.64	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>MVRX</b>	<b>C</b>	<b>40,000</b>	<b>169.44</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>16.9</b>
MS PRINCIPAL STRATEGIES	041	MWAB	S	29,100	10.58	n/a	n/a	1,455.00	5.0
MS PRINCIPAL STRATEGIES	041	MWA	B	8,200	11.64	n/a	n/a	410.00	5.0
PRINCIPLE CAPITAL	040	MW	S	25,300	41.89	n/a	n/a	1,012.00	4.0
COUGAR TRADING	044	M	B	10,000	31.92	24-Sep	7-Dec	500.00	5.0
<b>MAGUIRE</b>	<b>090</b>	<b>M</b>	<b>B</b>	<b>2,500</b>	<b>31.82</b>	<b>24-Sep</b>	<b>7-Dec</b>	<b>0.00</b>	<b>0.0</b>
<b>BARR</b>	<b>096</b>	<b>NGI</b>	<b>B</b>	<b>9,950</b>	<b>5.11</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK</b>	<b>015</b>	<b>NMXXB</b>	<b>S</b>	<b>10</b>	<b>2.45</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
APEX CAPITAL MGMT.	091	ODP	B	6,900	18.24	n/a	27-Jul	345.00	5.0
<b>BUCK</b>	<b>015</b>	<b>ONXX</b>	<b>S</b>	<b>800</b>	<b>45.93</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BARR	096	PDFS	B	1,500	7.89	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		PERY	S	5,000	22.86	n/a	n/a	non-brg	4.0
INDEPENDENCE INV	039	PG	B	5,000	69.49	25-Oct	11-Dec	200.00	4.0
⌘ BUCK CAPITAL MGMT		PLCE	B	150,000	25.50	26-Sep	7-Dec	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PLCE	B	235,331	25.44	26-Sep	7-Dec	non-brg	4.0
TRELLUS PARTNERS LP	028	PLCE	B	51,600	25.57	26-Sep	7-Dec	2,580.00	5.0
MKT MAKER	099	PLCE	B	172	25.46	26-Sep	7-Dec	0.00	0.0
CHARTER OAK	033	PPO	S	48,305	16.76	n/a	n/a	2,415.25	5.0
WENTWORTH HAUSER VIOLICH	033	PRFT	B	39,225	18.80	n/a	n/a	1,961.25	5.0
BUCK CAPITAL MGMT	001	PSS	S	100,000	18.47	n/a	n/a	4,000.00	4.0
⌘ BUCK CAPITAL MGMT		PTT	S	10,000	11.75	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT	001	PVH	B	10,000	46.55	13-Aug	21-Dec	400.00	4.0
COUGAR TRADING	044	PVH	B	5,000	47.17	13-Aug	21-Dec	250.00	5.0
TRUST CO/COWEN/CALF.	040	Q	B	3,204,500	7.13	n/a	n/a	128,180.00	4.0
INDEPENDENCE INV	039	RCL	B	4,100	42.86	23-Oct	23-Oct	164.00	4.0
⌘ BUCK CAPITAL MGMT		RIG	S	16,600	117.82	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		RIG	S	5,000	116.87	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT	001	RL	B	155,000	69.13	31-Oct	8-Nov	6,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WAGONHOUND	048	RL	SS	10,830	68.64	31-Oct	8-Nov	433.20	4.0
⌘ BUCK CAPITAL MGMT		RTH	C	140,000	98.88	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		RTH	C	143,900	98.85	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		RTH	C	32,900	98.80	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		RTH	C	70,000	98.17	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		RTH	C	70,000	98.91	n/a	n/a	non-brg	2.0
CANTILLON CAPITAL	040	R	SS	304,000	47.86	n/a	n/a	15,200.00	5.0
NEUBERGER BERMAN	036	SKS	S	53,400	21.03	n/a	n/a	2,670.00	5.0
⌘ BUCK CAPITAL MGMT		SKX	S	70,000	24.70	n/a	13-Mar	non-brg	4.0
BELMONT GLOBAL ADV	248	SMBL	B	30,000	12.19	n/a	n/a	1,500.00	5.0
WHITE PINE CAPITAL	030	SMBL	B	2,325	11.94	n/a	n/a	116.25	5.0
MAGUIRE	039	SMG	SS	200	45.96	9-Jul	13-Dec	0.00	0.0
⌘ BUCK CAPITAL MGMT		SPY	C	90,000	153.67	n/a	n/a	non-brg	2.0
LUCHANSKY	036	SWN	B	200	51.07	n/a	20-Dec	0.00	0.0
INDEPENDENCE INV	039	SYMC	B	5,300	18.68	n/a	3-Apr	212.00	4.0
MKT MAKER	099	TAXI	S	1	10.48	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		TGT	B	20,000	61.49	n/a	27-Jul	non-brg	4.0
⌘ BUCK CAPITAL MGMT		TGT	B	30,000	61.16	n/a	27-Jul	non-brg	4.0
⌘ BUCK CAPITAL MGMT		TGT	B	50,000	61.70	n/a	27-Jul	non-brg	4.0



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		TGT	C	19,800	62.50	n/a	27-Jul	non-brg	4.0
⌘ BUCK CAPITAL MGMT		TJX	B	200,000	29.12	21-Sep	7-Dec	non-brg	4.0
⌘ BUCK CAPITAL MGMT		TJX	B	300,000	29.11	21-Sep	7-Dec	non-brg	4.0
⌘ BUCK CAPITAL MGMT		TRLG	B	25,000	15.49	n/a	n/a	non-brg	4.0
MKT MAKER	099	TRMP	B	13	8.02	n/a	n/a	0.00	0.0
CRAMER ROSENTHAL/SCOTT	012	TWB	B	22,700	30.62	2-Oct	19-Nov	908.00	4.0
WHITE PINE CAPITAL	030	UNT	B	1,000	47.02	n/a	30-Nov	50.00	5.0
INDEPENDENCE INV	039	UPS	B	4,200	75.05	n/a	n/a	168.00	4.0
HIGHBRIDGE CAPITAL	038	USB	B	66,000	33.13	n/a	n/a	3,300.00	5.0
MKT MAKER	099	USTR	B	100	57.38	23-May	27-Jul	0.00	0.0
MKT MAKER	099	USTR	S	100	59.44	23-May	27-Jul	0.00	0.0
⌘ BUCK CAPITAL MGMT		VC	B	478,500	6.32	n/a	13-Dec	non-brg	3.0
ELM RIDGE ADVISORS	044	VC	S	60,000	6.16	n/a	13-Dec	1,800.00	3.0
ROTHSCHILD ASSET	040	WAT	S	15,440	76.19	n/a	n/a	694.80	4.5
INDEPENDENCE INV	039	WB	B	4,700	46.18	n/a	n/a	188.00	4.0
BALYASNY ASSET MGMT	044	WDR	S	30,000	32.91	23-Oct	24-Dec	1,500.00	5.0
WHITE PINE CAPITAL	030	WDR	B	1,125	32.86	23-Oct	24-Dec	56.25	5.0
SINCLAIR	031	WDR	C	200	32.75	23-Oct	24-Dec	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
STRATTON	N21	WRVAF	B	2	13.90	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		WTSLA	S	500,000	2.65	n/a	n/a	non-brg	2.0
MORRISON & FRASIER	040	WTS	S	42,500	28.48	n/a	n/a	1,700.00	4.0
WHEELER	008	WVLAP	B	10	22.00	n/a	n/a	0.00	0.0
XYLEM GLOBAL	091	WY	S	40,000	75.36	1-Nov	1-Nov	2,000.00	5.0
INDEPENDENCE INV	039	XLNX	B	3,200	24.28	n/a	n/a	128.00	4.0
NORTHPOINT	030	ZINC	B	76,400	22.58	n/a	n/a	3,056.00	4.0
BUCK CAPITAL MGMT	001	ZQK	S	100,000	13.45	n/a	18-Dec	4,000.00	4.0
TOTAL (Trade Date):								263,851.09	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/30	DENVER INST. ADV	046	ABK	S	214,000	39.95	n/a	n/a	8560.00 4.0
AO,CXL	10/24	CATTANI	041	C	B	1,000	41.99	n/a	19-Dec	0.00 0.0
AO,CRT	10/24	CATTANI	041	C	B	1,000	41.99	n/a	19-Dec	0.00 0.0
AO,CXL	10/26	CATTANI	041	C	S	1,000	42.36	n/a	19-Dec	0.00 0.0
AO,CRT	10/26	CATTANI	041	C	S	1,000	42.36	n/a	19-Dec	0.00 0.0
AO,CXL	10/30	MERRILL ASSET	032	EQ	S	3,300	54.68	n/a	n/a	148.50 4.5
AO,CRT	10/30	MERRILL ASSET	032	EQ	S	3,300	54.68	n/a	n/a	148.50 4.5
AO,CXL	10/30	HIGHBRIDGE CAPITAL	038	FL	SS	108,570	14.76	22-Aug	23-Nov	5428.50 5.0
AO,CRT	10/30	HIGHBRIDGE CAPITAL	038	FL	SS	108,570	14.76	22-Aug	23-Nov	5428.50 5.0
AO,	10/30	DALTON GREINER	012	IVZ	S	97,830	30.13	8-Oct	24-Dec	4891.50 5.0
AO,	10/30	NUMERIC	060	PMI	B	130,000	17.20	n/a	n/a	3900.00 3.0
AO,CRT	10/30	STONERIDGE INV PART	033	SSI	B	2,525	17.59	3-Aug	7-Dec	126.25 5.0
AO,CXL	10/30	STONERIDGE INV PART	033	SSI	B	2,525	17.59	3-Aug	7-Dec	126.25 5.0

**TOTAL (AO, CXL, CRT) :****17,351.50**

TOTAL (Trade Date) :

263,851.09

TOTAL (AO, CXL, CRT) :

17,351.50

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TOTAL (RUN DATE) / NFS:

281,202.59

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MRI Securities with Trade Activity on 31-Oct.

RL

MRI Securities without Trade Activity on 31-Oct.

ABG, GPI, IFF, TT, WPL

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

T-Date = 9%

YTD = 17%

**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**