



Daily Compliance Activity Report

Trade Date: 10/24/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		AAPL	S	10,000	182.82	n/a	n/a	non-brg	4.0
KORMAN	003	ABG	S	3,000	19.24	n/a	23-Oct	0.00	0.0
POST ROAD CAP	045	ABK	B	8,500	51.64	n/a	n/a	255.00	3.0
BUCK	015	AB	B	800	87.30	25-Oct	22-Oct	0.00	0.0
BUCK CAPITAL MGMT		AEO	B	40,000	22.07	12-Oct	12-Oct	non-brg	4.0
THE BOSTON COMPANY	214	AGN	S	3,550	64.21	9-Oct	23-Oct	177.50	5.0
NATIONAL BK OF CAN	031	AMG	S	8,000	126.53	25-Jul	24-Oct	320.00	4.0
BALYASNY ASSET MGMT	044	ANF	B	20,000	76.49	2-Oct	12-Oct	1,000.00	5.0
BALYASNY ASSET MGMT	044	ANF	SS	20,000	75.72	2-Oct	12-Oct	1,000.00	5.0
COUGAR TRADING	044	ANF	B	15,000	77.20	2-Oct	12-Oct	750.00	5.0
COUGAR TRADING	044	ANF	SS	10,000	76.54	2-Oct	12-Oct	500.00	5.0
LEHMAN PROPRIETARY TRAD	041	ANN	B	100,000	30.10	6-Aug	12-Oct	4,000.00	4.0
SARAS CAPITAL	038	AN	SS	15,000	17.50	n/a	23-Oct	750.00	5.0
BUCK CAPITAL MGMT	001	ARO	B	160,000	21.11	n/a	12-Oct	6,400.00	4.0
BUCK CAPITAL MGMT		ARO	B	20,000	20.64	n/a	12-Oct	non-brg	4.0
COUGAR TRADING	044	ARO	B	15,000	21.13	n/a	12-Oct	750.00	5.0
HARVEST MGMT	039	ASD	B	30,000	35.21	18-Oct	19-Oct	1,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THE BOSTON COMPANY	214	BAX	B	27,000	59.06	n/a	22-Apr	1,350.00	5.0
CHILTON CAPITAL MGMT.	036	BBI	SS	25,000	5.18	n/a	n/a	1,000.00	4.0
BEAR STEARNS ASSET MGMT.	033	BBY	SS	20,000	47.49	n/a	27-Jul	800.00	4.0
CHILTON CAPITAL MGMT.	036	BBY	SS	50,000	47.45	n/a	27-Jul	2,000.00	4.0
LIGHTHOUSE FIN/QUAD	046	BEAS	S	10,000	17.60	n/a	3-Apr	500.00	5.0
NATIONAL BK OF CAN	031	BEN	B	7,500	141.07	25-Sep	22-Oct	300.00	4.0
CAPITAL GROWTH MGMT.	241	BHP	S	300,000	80.81	n/a	n/a	12,000.00	4.0
BALYASNY ASSET MGMT	044	BIG	SS	10,000	25.96	n/a	12-Oct	500.00	5.0
PAW PARTNERS	041	BIG	SS	15,400	26.46	n/a	12-Oct	770.00	5.0
KAICHER	064	BQI	S	2,000	4.88	n/a	n/a	0.00	0.0
KORMAN	003	BRLC	S	15,000	4.46	n/a	n/a	0.00	0.0
WILLOW CREEK	033	CAB	SS	10,000	19.76	n/a	n/a	400.00	4.0
KORMAN	003	CAKE	S	4,628	22.15	n/a	24-Apr	0.00	0.0
BARR	096	CCRT	SS	1,800	20.08	n/a	n/a	0.00	0.0
WILLOW CREEK	033	CENT	B	9,500	8.35	n/a	18-Sep	380.00	4.0
BUCK	015	CMA	SS	500	45.54	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BEAR STEARNS ASSET MGMT.	033	COH	SS	30,000	36.52	24-Oct	24-Oct	1,200.00	4.0
BUCK CAPITAL MGMT	001	COH	B	40,000	36.63	24-Oct	24-Oct	1,600.00	4.0
MATLIN PATTERSON	046	COH	B	20,000	36.70	24-Oct	24-Oct	1,000.00	5.0
PRINCIPLE CAPITAL	040	COH	B	24,800	36.64	24-Oct	24-Oct	744.00	3.0
MATRIX ASSET ADV.	036	COV	S	4,700	40.25	n/a	n/a	188.00	4.0
MAZAMA CAPITAL MGMT.	035	CPX	S	66,500	20.08	n/a	n/a	2,660.00	4.0
CHILTON CAPITAL MGMT.	036	CSE	SS	50,000	17.47	n/a	n/a	2,000.00	4.0
THIRD COAST CAPITAL	035	CTSH	SS	5,000	40.35	n/a	n/a	250.00	5.0
THE BOSTON COMPANY	214	CVD	S	2,900	78.97	n/a	n/a	145.00	5.0
DIAMONDBACK CAP MGMT	232	C	S	25,000	41.73	n/a	16-Oct	1,250.00	5.0
NATIONAL BK OF CAN	031	C	B	50,000	41.55	n/a	16-Oct	2,000.00	4.0
NATIONAL BK OF CAN	031	C	S	50,000	41.98	n/a	16-Oct	2,000.00	4.0
CATTANI	041	C	B	1,000	41.99	n/a	16-Oct	0.00	0.0
⌘ BUCK CAPITAL MGMT		DECK	S	10,000	116.07	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		DKS	S	10,000	31.61	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	DSW	S	10,000	23.25	5-Sep	2-Oct	400.00	4.0
DEEPHAVEN	031	DTV	B	20,000	25.26	21-Sep	17-Oct	800.00	4.0
⌘ BUCK CAPITAL MGMT		EGLT	SS	10,000	13.23	n/a	n/a	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NORTHPOINT	030	ENG	S	18,230	13.93	n/a	n/a	729.20	4.0
CARLYLE BLUE WAVE PR MG	224	ENR	SS	2,900	112.24	n/a	n/a	145.00	5.0
MILLENIUUM PARTNERS	028	ERTS	SS	7,500	57.15	n/a	n/a	375.00	5.0
CATAPULT	040	FHN	B	5,000	24.34	n/a	n/a	250.00	5.0
BUCK	015	FITB	SS	1,200	29.14	n/a	n/a	0.00	0.0
J L F ASSET MGMT	039	FL	B	78,314	14.19	22-Aug	4-Sep	3,132.56	4.0
ß BUCK CAPITAL MGMT		FOSL	S	10,000	36.38	12-Sep	12-Sep	non-brg	4.0
ß BUCK CAPITAL MGMT		FUQI	B	50,000	10.06	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		FUQI	B	70,000	10.44	n/a	n/a	non-brg	4.0
LEDDY	035	F	SS	2,500	8.47	n/a	23-Oct	0.00	0.0
ß BUCK CAPITAL MGMT		GES	S	20,000	49.66	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GES	S	5,000	51.33	n/a	n/a	non-brg	4.0
CARLYLE BLUE WAVE PR MG	224	GFI	B	18,600	17.87	n/a	n/a	930.00	5.0
ß BUCK CAPITAL MGMT		GIL	S	35,000	42.30	19-Sep	19-Sep	non-brg	4.0
COLONIAL FUND LLC	036	GLW	B	75,000	23.07	n/a	24-Oct	3,750.00	5.0
DC CAPITAL	044	GLW	B	150,000	23.24	n/a	24-Oct	7,500.00	5.0
LEDDY	035	GM	SS	1,000	38.47	n/a	23-Oct	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FARALLON CAP MGMT	040	GPS	B	135,000	17.86	n/a	12-Oct	5,400.00	4.0
B BUCK CAPITAL MGMT		GYMB	B	60,000	33.37	10-Aug	18-Oct	non-brg	4.0
COUGAR TRADING	044	HAR	B	5,000	83.60	24-Oct [i]	24-Oct	250.00	5.0
COUGAR TRADING	044	HAR	S	5,000	83.77	24-Oct [i]	24-Oct	250.00	5.0
MILLENIUM PARTNERS	028	HAR	B	5,000	84.00	24-Oct [i]	24-Oct	250.00	5.0
STRATTON	N21	HINTW	S	200	5.00	n/a	n/a	0.00	0.0
LEDDY	035	ICON	B	627	18.97	n/a	n/a	0.00	0.0
KORMAN	003	IMB	S	400	12.68	n/a	n/a	0.00	0.0
THIRD COAST CAPITAL	035	INFY	SS	15,000	49.65	n/a	n/a	750.00	5.0
JENNISON	032	INTC	S	1,000,000	25.67	n/a	n/a	40,000.00	4.0
ZOLIDIS	011	IPAR	B	500	24.01	n/a	n/a	0.00	0.0
STRONG/WELL HOWARD	038	IPG	B	130,000	9.97	n/a	n/a	3,900.00	3.0
CUMBERLAND	038	ISIS	S	30,000	17.62	n/a	n/a	1,200.00	4.0
PHILADELPHIA FINANCIAL	033	IVZ	S	37,914	29.06	8-Oct	22-Oct	1,895.70	5.0
B BUCK CAPITAL MGMT		JCG	B	10,000	35.63	24-Oct	24-Oct	non-brg	0.0
B BUCK CAPITAL MGMT		JCG	S	10,000	35.69	24-Oct	24-Oct	non-brg	0.0
B BUCK CAPITAL MGMT		JCG	S	10,000	37.07	24-Oct	24-Oct	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		JCG	S	20,000	35.30	24-Oct	24-Oct	non-brg	4.0
COLUMBIA PARTNERS	028	JCG	SS	26,006	35.40	24-Oct	24-Oct	1,040.24	4.0
COUGAR TRADING	044	JCG	B	15,000	35.45	24-Oct	24-Oct	750.00	5.0
COUGAR TRADING	044	JCG	SS	5,000	36.22	24-Oct	24-Oct	250.00	5.0
WEINTRAUB CAPITAL MGT.	040	JCG	B	25,000	35.37	24-Oct	24-Oct	1,250.00	5.0
B BUCK CAPITAL MGMT		JCP	B	20,000	54.11	12-Oct	12-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		JNY	SS	20,000	18.47	n/a	23-Oct	non-brg	4.0
BUCK	015	JWN	C	800	38.00	12-Oct	12-Oct	0.00	0.0
LEDDY	035	KEG	S	600	14.90	23-Jul	24-Oct	0.00	0.0
B BUCK CAPITAL MGMT		KSS	S	5,000	55.01	27-Sep	12-Oct	non-brg	4.0
CATAPULT	040	LEH	S	5,000	55.52	12-Jun	16-Oct	250.00	5.0
EPOCH INV MGMT	030	LM	B	46,550	81.16	12-Oct	24-Oct	1,862.00	4.0
SANDLER O'NEILL ASSET	031	LM	B	30,000	80.35	12-Oct	24-Oct	1,500.00	5.0
KORMAN	003	LNCR	S	3,000	34.86	17-Sep	23-Oct	0.00	0.0
COUGAR TRADING	044	LTD	SS	10,000	21.59	n/a	17-Oct	500.00	5.0
AAD CAPITAL	048	LVL	B	1,945,209	3.03	24-Oct	24-Oct	77,808.36	4.0
ASCEND PARTNERS	033	LVL	C	100,000	3.06	24-Oct	24-Oct	3,000.00	3.0
MILLENIUM PARTNERS	028	LVL	B	50,000	3.03	24-Oct	24-Oct	1,500.00	3.0
TROUBH PART	067	LVL	B	550,000	2.98	24-Oct	24-Oct	27,500.00	5.0
WHALE ROCK CAP	030	LVL	SS	1,600,000	3.03	24-Oct	24-Oct	48,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MS PRINCIPAL STRATEGIES	041	MAR	B	15,000	39.59	n/a	n/a	750.00	5.0
POST ROAD CAP	045	MBI	B	9,100	53.47	n/a	n/a	273.00	3.0
SINCLAIR	031	MERKU	B	5	1.05	n/a	n/a	0.00	0.0
FIRST NY SEC/CHRIS	041	MOT	B	10,000	18.39	n/a	n/a	600.00	6.0
BARR	096	MTG	SS	300	18.00	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		MVRX	C	5,000	164.81	n/a	n/a	non-brg	16.5
BALYASNY ASSET MGMT	044	M	S	10,000	31.00	24-Sep	12-Oct	500.00	5.0
B BUCK CAPITAL MGMT		M	S	10,000	31.13	24-Sep	12-Oct	non-brg	4.0
BUCK	015	NCC	B	1,200	22.76	n/a	n/a	0.00	0.0
BARR	096	NGI	B	5,000	5.05	n/a	n/a	0.00	0.0
MAZAMA CAPITAL MGMT.	035	NGS	S	58,600	17.98	n/a	n/a	2,344.00	4.0
WILLOW CREEK	033	NSIT	SS	5,000	25.47	n/a	n/a	200.00	4.0
CATAPULT	040	NTRS	B	10,000	71.15	n/a	18-Oct	500.00	5.0
BULL PATH CAPITAL	044	PAYX	B	40,000	40.00	n/a	n/a	2,000.00	5.0
T. ROWE PRICE	243	PNW	B	21,300	40.21	n/a	n/a	852.00	4.0
B BUCK CAPITAL MGMT		PSS	S	5,000	18.42	n/a	n/a	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	PSUN	B	5,000	16.55	n/a	12-Oct	250.00	5.0
COUGAR TRADING	044	PSUN	S	15,000	14.80	n/a	12-Oct	750.00	5.0
BUCK CAPITAL MGMT	001	PTT	S	30,000	10.51	n/a	n/a	1,200.00	4.0
FIRST NEW YORK LEDDY	035	Q	S	5,000	8.10	n/a	n/a	300.00	6.0
B BUCK CAPITAL MGMT		RCL	S	20,000	42.47	23-Oct	23-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		RICK	S	5,000	15.23	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		RL	S	5,000	65.93	9-Aug	29-Aug	non-brg	4.0
COUGAR TRADING	044	RL	B	5,000	67.23	9-Aug	29-Aug	250.00	5.0
DENVER INST. ADV	046	RL	S	168,800	66.39	9-Aug	29-Aug	6,752.00	4.0
PRINCIPLE CAPITAL	040	RL	B	50,000	66.39	9-Aug	29-Aug	2,000.00	4.0
B BUCK CAPITAL MGMT		ROST	SS	20,000	26.22	n/a	n/a	non-brg	4.0
KORMAN	003	RPF	S	1,500	19.96	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		RTH	C	10,000	96.54	n/a	n/a	non-brg	1.0
STRAUSS ASSET MGMT	040	SCOR	S	7,500	36.62	n/a	n/a	300.00	4.0
ROTHSCHILD ASSET	040	SFI	S	71,698	30.68	n/a	n/a	3,226.41	4.5
THE BOSTON COMPANY	214	SHPGY	S	14,600	71.83	27-Jul	23-Oct	730.00	5.0
BALYASNY ASSET MGMT	044	SKS	S	20,000	18.50	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		SKS	B	20,000	18.30	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	SKX	B	125,000	21.44	n/a	13-Mar	5,000.00	4.0
ß BUCK CAPITAL MGMT		SKX	B	1,600	21.50	n/a	13-Mar	non-brg	1.0
ß BUCK CAPITAL MGMT		SKX	B	16,800	21.59	n/a	13-Mar	non-brg	1.0
ß BUCK CAPITAL MGMT		SKX	B	17,000	21.31	n/a	13-Mar	non-brg	1.0
KAICHER	064	SNCR	S	1,000	44.22	n/a	n/a	0.00	0.0
WILLOW CREEK	033	SNS	SS	5,000	14.70	n/a	n/a	200.00	4.0
FIRST NY SEC/CHRIS	041	SPLS	B	10,000	21.71	n/a	27-Jul	600.00	6.0
BALYASNY ASSET MGMT	044	SUP	B	10,000	20.27	n/a	n/a	500.00	5.0
ß BUCK CAPITAL MGMT		TGT	C	40,200	61.65	n/a	27-Jul	non-brg	4.0
COUGAR TRADING	044	TJX	SS	10,000	28.88	21-Sep	12-Oct	500.00	5.0
BALYASNY ASSET MGMT	044	TLB	B	10,000	14.81	n/a	24-Oct	500.00	5.0
HEALY CIRCLE	044	TM	SS	10,000	105.75	n/a	n/a	500.00	5.0
SANDLER CAPITAL	038	TRB	B	52,800	28.51	n/a	n/a	3,168.00	6.0
ß BUCK CAPITAL MGMT		TRLG	S	10,000	16.23	n/a	n/a	non-brg	1.0
CATAPULT	040	TROW	B	5,000	59.03	19-Oct	23-Oct	250.00	5.0
SYSTEMATIC FINANCIAL MGT	035	TUP	B	41,700	34.88	n/a	n/a	1,563.75	3.8

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FARALLON CAP MGMT	040	TV	B	120,000	24.87	n/a	n/a	4,800.00	4.0
BUCK CAPITAL MGMT	001	TWB	S	10,000	29.68	2-Oct	2-Oct	400.00	4.0
BUCK CAPITAL MGMT		TWB	S	10,000	30.07	2-Oct	2-Oct	non-brg	4.0
CASTLE ARK	031	TXN	S	335,380	31.00	n/a	n/a	20,122.80	6.0
BUCK CAPITAL MGMT		URBN	B	20,000	21.62	23-Oct	23-Oct	non-brg	4.0
BUCK CAPITAL MGMT		URBN	S	10,000	21.75	23-Oct	23-Oct	non-brg	4.0
COUGAR TRADING	044	URBN	B	5,000	21.81	23-Oct	23-Oct	250.00	5.0
FARALLON CAP MGMT	040	USG	SS	137,500	36.36	24-Oct	24-Oct	5,500.00	4.0
BALYASNY ASSET MGMT	044	VC	B	10,000	5.41	n/a	19-Oct	500.00	5.0
COUGAR TRADING	044	VC	B	50,000	5.80	n/a	19-Oct	2,500.00	5.0
TRELLUS PARTNERS LP	028	VC	B	100,000	6.00	n/a	19-Oct	3,000.00	3.0
WOOSTER CAPITAL	035	VC	B	100,000	5.80	n/a	19-Oct	3,000.00	3.0
DEEPHAVEN	031	VZ	B	20,000	43.96	21-Sep	24-Oct	800.00	4.0
SLS CAPITAL LLC	224	WBC	B	20,000	48.60	n/a	24-Oct	800.00	4.0
BALYASNY ASSET MGMT	044	WDR	B	85,000	31.03	23-Oct	23-Oct	4,250.00	5.0
PZENA INV ADV	044	WEC	S	25,075	45.14	n/a	n/a	1,003.00	4.0
BUCK	015	WFC	B	400	33.69	n/a	n/a	0.00	0.0
WHEELER	008	WVLAP	B	20	19.50	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK	015	WY	S	500	67.71	21-Sep	18-Oct	0.00	0.0
BUCK CAPITAL MGMT		ZQK	S	50,000	12.29	n/a	7-Sep	non-brg	4.0
TOTAL (Trade Date):							374,042.52		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	10/23	BUCK CAPITAL MGMT	001	COH	B	100	36.85	24-Oct	24-Oct	4.00	4.0
AO,CRT	10/23	BUCK CAPITAL MGMT	001	COH	B	99,900	36.85	24-Oct	24-Oct	3996.00	4.0
AO,CXL	10/23	BUCK CAPITAL MGMT	001	COH	B	100,000	36.85	24-Oct	24-Oct	4000.00	4.0
AO,	10/23	SENTINAL CAPITAL	067	COH	B	15,000	36.66	24-Oct	24-Oct	750.00	5.0
AO,CXL	10/23	SENTINAL CAPITAL	067	COH	B	15,000	36.66	24-Oct	24-Oct	750.00	5.0
AO,	10/23	MILLENIUM PARTNERS	028	EBAY	B	5,000	35.92	n/a	n/a	250.00	5.0
AO,CRT	10/23	LISTED ERR	099	HRL	S	5,000	36.86	n/a	n/a	0.00	0.0
AO,CXL	10/23	LISTED ERR	099	HRL	S	5,000	36.86	n/a	n/a	0.00	0.0
AO,	10/23	HOLLIS CAPITAL	033	LVLTT	B	10,000	3.50	24-Oct	24-Oct	500.00	5.0
AO,CRT	10/23	SIGMA CAPITAL ASSOCIATES	237	LVLTT	B	300,000	3.58	24-Oct	24-Oct	12000.00	4.0
AO,CXL	10/23	SIGMA CAPITAL ASSOCIATES	237	LVLTT	B	300,000	3.58	24-Oct	24-Oct	12000.00	4.0
AO,CRT	10/23	HIGHBRIDGE CAPITAL	038	NVT	B	2,300	75.89	n/a	n/a	115.00	5.0
AO,CXL	10/23	HIGHBRIDGE CAPITAL	038	NVT	B	2,300	75.89	n/a	n/a	115.00	5.0
AO,CXL	10/22	LISTED ERR	038	PSS	B	900	18.68	n/a	n/a	0.00	0.0
AO,CRT	10/22	LISTED ERR	099	PSS	B	900	18.68	n/a	n/a	0.00	0.0
AO,CXL	10/23	LISTED ERR	099	PSS	S	900	19.32	n/a	n/a	0.00	0.0
AO,CRT	10/23	LISTED ERR	099	PSS	S	900	19.32	n/a	n/a	0.00	0.0
AO,CXL	10/22	STRONG/WELL HOWARD	038	PSS	B	900	18.68	n/a	n/a	0.00	0.0
AO,CXL	10/23	LISTED ERR	099	WBC	B	1,500	48.21	n/a	24-Oct	0.00	0.0
AO,CRT	10/23	LISTED ERR	099	WBC	B	1,500	48.21	n/a	24-Oct	0.00	0.0
AO,CRT	10/23	LISTED ERR	099	WBC	S	1,500	48.29	n/a	24-Oct	0.00	0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CXL	10/23	LISTED ERR	099	WBC	S	1,500	48.29	n/a 24-Oct	0.00 0.0

TOTAL (AO, CXL, CRT):									750.00
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TOTAL (Trade Date):									374,042.52
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TOTAL (AO, CXL, CRT):									750.00
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TOTAL (RUN DATE) / NFS:									374,792.52
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MRI Securities with Trade Activity on 24-Oct. COH, HAR, JCG, LVL, USG
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MRI Securities without Trade Activity on 24-Oct. NONE
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BRG comm. as a % of BCM Total Comm. paid. T-Date = 36% YTD = 18%
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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