



# Daily Compliance Activity Report

Trade Date: 11/21/2008

Potential ANALYST TRADE Violations: 0

BCM Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEDDY	035	AAPL	S	400	82.55	n/a	n/a	0.00	0.0
LUCHANSKY	036	ANN	S	600	4.66	n/a	21-Nov	0.00	0.0
LEDDY	035	ARGN	S	9,600	2.52	29-Oct	29-Oct	0.00	0.0
BUCK CAPITAL MGMT		ARO+LC [ARO]	SS	1,000	1.40	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		AVP+WX [AVP]	C	2,000	4.23	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		BBBY	C	10,000	16.57	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		BBY+WY [BBY]	C	1,967	5.73	n/a	n/a	non-brg	300.0
HUNTER GLOBAL INVESTOR	067	BCR	B	131,704	77.19	n/a	22-Apr	6,585.20	5.0
AMATURO	018	BGU	B	16,000	22.84	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		BHQ+MC [BBBY]	SS	1,000	1.80	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		BHQ+MT [BBBY]	SS	3,000	0.95	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT		BHQ+WE [BBBY]	C	5,780	8.40	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		BHQ+WX [BBBY]	C	3,745	6.10	n/a	n/a	non-brg	300.0
SYSTEMATIC FINANCIAL MGT	035	BKE	B	136,800	15.33	n/a	n/a	5,130.00	3.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	BMR	S	662,000	6.69	n/a	n/a	19,860.00	3.0
⌘ BUCK CAPITAL MGMT		BQU+WS[BWLD]	C	4,074	7.43	n/a	n/a	non-brg	300.0
MATLIN PATTERSON	046	CALM	B	11,600	21.63	n/a	n/a	348.00	3.0
ROTHSCHILD ASSET	040	CA	B	64,760	13.87	n/a	n/a	2,914.20	4.5
⌘ BUCK CAPITAL MGMT		CBQ+WW[CBRL]	C	872	6.68	n/a	n/a	non-brg	300.0
KLEINHEINZ CAP PART	031	CB	B	200,000	42.70	n/a	n/a	10,000.00	5.0
T. ROWE PRICE	033	CEG	S	864,000	23.04	n/a	n/a	34,560.00	4.0
EFSTATHIOU	044	CENT	B	2,000	2.30	18-Nov	18-Nov	0.00	0.0
WHEELER	008	CITPRA	S	26,800	5.25	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		CJY+WI[CMG]	C	1,494	7.71	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		CMG	C	23,000	37.27	23-Oct	23-Oct	non-brg	2.5
BUCK	015	COF	C	12,000	24.76	n/a	17-Nov	0.00	0.0
LUCHANSKY1	036	CPN	S	6,000	7.33	n/a	n/a	0.00	0.0
MERRILL ASSET	032	CRR	S	37,600	36.14	29-Aug	20-Nov	1,692.00	4.5
⌘ BUCK CAPITAL MGMT		DBRN	S	100,000	6.32	n/a	n/a	non-brg	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	DIS	SS	80,000	19.42	n/a	n/a	3,200.00	4.0
J.W. SELIGMAN	041	DNA	S	38,800	69.71	n/a	n/a	1,552.00	4.0
DC CAPITAL	044	DPS	B	700,000	14.92	n/a	n/a	35,000.00	5.0
BMO NESBITT BURNS	041	DSW	SS	100,000	7.90	14-Nov	14-Nov	5,000.00	5.0
EFSTATHIOU	044	DUG	B	800	38.92	n/a	n/a	0.00	0.0
NOLAN	067	DUG	B	340	44.86	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	DW	S	120,800	9.69	n/a	n/a	3,624.00	3.0
ß BUCK CAPITAL MGMT		DXD	S	2,250	97.36	n/a	n/a	non-brg	1.0
Õ Steven Maguire		DXD	S	4500	86.31	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		EDU+WK[EDU]	C	1,333	14.37	n/a	n/a	non-brg	300.0
NEUBERGER BERMAN	036	EQY	S	327,600	9.85	n/a	n/a	9,828.00	3.0
ß BUCK CAPITAL MGMT		ETH+WE[ETH]	C	1,409	13.37	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		ETH+WX[ETH]	C	998	10.70	n/a	n/a	non-brg	300.0
PHILADELPHIA FINANCIAL	033	EVR	B	177,600	6.82	n/a	n/a	7,104.00	4.0
BARON ASSET MGMT*	012	EV	S	160,000	12.24	13-Nov	20-Nov	6,400.00	4.0
NEUBERGER BERMAN	036	EXR	S	708,000	6.16	n/a	n/a	21,240.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STG INVESTORS	041	FDO	SS	200,000	24.85	23-Jul	7-Nov	8,000.00	4.0
ß BUCK CAPITAL MGMT		FL	B	1,300,000	4.62	7-Oct	21-Nov	non-brg	1.0
ß BUCK CAPITAL MGMT		FL	B	700,000	4.67	7-Oct	21-Nov	non-brg	3.0
ß BUCK CAPITAL MGMT		FMQ+WA[WFMI]	C	1,453	10.09	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		FMQ+WB[WFMI]	C	969	7.26	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		FMQ+WE[WFMI]	C	3,542	17.31	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		FMQ+WF[WFMI]	C	3,938	9.43	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		FMQ+WL[WFMI]	C	969	10.81	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		FMQ+WS[WFMI]	C	1,475	2.07	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	FRT	S	40,000	46.06	n/a	n/a	1,600.00	4.0
EFSTATHIOU	044	FXP	B	400	82.13	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GCO	B	200,000	11.56	n/a	10-Jan	8,000.00	4.0
WHEELER	008	GEWFH	S	320	2.63	n/a	n/a	0.00	0.0
WHEELER	008	GE	B	32,000	13.12	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GIL	S	60,000	16.49	8-Sep	16-Oct	2,400.00	4.0
MAIRS AND POWER INV	030	GIS	S	40,000	61.94	n/a	n/a	2,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LUCHANSKY2	036	GLW	S	800	7.52	19-Nov	20-Nov	0.00	0.0
MCCARTAN	028	GMCA	B	400	0.71	n/a	n/a	0.00	0.0
MCCARTAN	028	GMXA	S	400	2.89	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		GM	C	305,300	2.92	10-Nov	17-Nov	non-brg	2.0
LEDDY	035	GM	C	4,800	2.75	10-Nov	17-Nov	0.00	0.0
LEDDY	035	GOOG	S	400	263.89	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		GQR+WE [GRMN]	C	1,896	10.27	n/a	n/a	non-brg	300.0
BUCK	015	GSLP	S	56	1.40	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	HCP	S	348,400	14.97	n/a	n/a	15,678.00	4.5
⌘ BUCK CAPITAL MGMT		HOT+WD [HOT]	C	1,739	8.26	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		HOT+WE [HOT]	C	997	13.69	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		HOT+WW [HOT]	C	548	5.30	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		HOT+WX [HOT]	C	3,708	11.11	n/a	n/a	non-brg	300.0
AMATURO	018	HYP	B	22,400	1.33	n/a	n/a	0.00	0.0
RK CAPITAL MGMT LLC	045	HZO	B	162,400	2.08	n/a	n/a	4,872.00	3.0
SIGMA CAPITAL ASSOCIATES	237	ICON	SS	200,000	5.51	n/a	n/a	10,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEDDY	035	ICON	S	12,000	5.60	n/a	n/a	0.00	0.0
LUCHANSKY	036	IVZ	S	400	8.61	13-Nov	20-Nov	0.00	0.0
EMP ERROR	099	IVZ	B	2,800	8.80	13-Nov	20-Nov	0.00	0.0
NORTHPOINT	030	JAH	B	64,232	8.90	n/a	n/a	1,926.96	3.0
SYSTEMATIC FINANCIAL MGT	035	JCG	B	68,800	8.18	n/a	13-Nov	2,580.00	3.8
NEUBERGER BERMAN	036	JPM	S	1,868,944	20.38	26-Sep	20-Nov	84,102.72	4.5
⌘ BUCK CAPITAL MGMT		KCP	B	100,000	6.05	n/a	28-Sep	non-brg	2.0
⌘ BUCK CAPITAL MGMT		KSS	S	100,000	25.36	n/a	14-Nov	non-brg	4.0
LUCHANSKY	036	LMC	S	1,140	0.85	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		LOW+WD [LOW]	C	2,000	3.92	n/a	n/a	non-brg	300.0
GRANAHAN INV	039	LTD	S	600,000	7.49	18-Nov	20-Nov	18,000.00	3.0
THE BOSTON COMPANY	401	LTD	C	218,480	7.58	18-Nov	20-Nov	8,739.20	4.0
⌘ BUCK CAPITAL MGMT		MAR+WC [MAR]	C	1,000	2.78	n/a	n/a	non-brg	300.0
BUCK	015	MA	SS	1,600	117.78	n/a	4-Nov	0.00	0.0
⌘ BUCK CAPITAL MGMT		MDTL	C	100,000	0.39	n/a	n/a	non-brg	1.0
WHEELER	008	MMM	S	12,000	57.90	21-Oct	21-Oct	0.00	0.0
LUCHANSKY	036	MMM	S	800	57.77	21-Oct	21-Oct	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
IVORY CAPITAL	034	MOT	B	4,000,000	3.09	n/a	n/a	20,000.00	0.5
WHEELER	008	MTRX	B	24,784	5.50	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		MW+AU [MW]	C	1,000	2.50	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		MW+MU [MW]	SS	1,000	0.85	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		MW+WD [MWW]	C	2,726	11.38	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		MW+WW [MWW]	C	910	8.82	n/a	n/a	non-brg	300.0
SIGMA CAPITAL ASSOCIATES	237	MW	SS	100,000	9.06	n/a	n/a	5,000.00	5.0
ß BUCK CAPITAL MGMT		MZZ	S	1,500	150.52	n/a	n/a	non-brg	1.0
Õ Steven Maguire		MZZ	S	3000	134.27	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	M	B	1,200,000	5.54	12-Aug	13-Nov	36,000.00	3.0
ß BUCK CAPITAL MGMT		NKE+WJ [NKE]	C	4,000	4.73	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		NKE	C	50,000	46.51	n/a	n/a	non-brg	4.0
CLOVIS CAPITAL	012	NKE	B	400,000	45.93	n/a	n/a	20,000.00	5.0
OSS CAPITAL/KEVIN DANN	067	NSR	B	1,380,000	17.17	n/a	n/a	41,400.00	3.0
MAGNETAR FINANCIAL	031	PHM	S	400,000	6.72	n/a	n/a	12,000.00	3.0
ELM RIDGE ADVISORS	044	PKG	B	965,200	11.60	11-Sep	21-Oct	38,608.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		PLCE	B	100,000	17.68	21-Nov	21-Nov	non-brg	4.0
BUCK CAPITAL MGMT		PLCE	B	77,200	18.96	21-Nov	21-Nov	non-brg	4.0
LUCHANSKY	036	PNC	S	400	39.95	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	PRE	B	39,600	58.43	n/a	n/a	1,782.00	4.5
MERRILL ASSET	032	PRU	S	149,200	14.12	n/a	n/a	6,714.00	4.5
BUCK CAPITAL MGMT		PSA	SS	40,000	56.64	n/a	n/a	non-brg	1.0
LUCHANSKY	036	PTP	S	800	25.30	n/a	n/a	0.00	0.0
MATLIN PATTERSON	046	PTRY	B	120,000	13.70	n/a	n/a	3,600.00	3.0
EGS ASSOCIATES LP	091	PVH	B	14,000	13.55	7-Nov	20-Nov	840.00	6.0
BUCK CAPITAL MGMT		QPT+WW[PETM]	C	3,026	2.48	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		RCL+WV[RCL]	C	900	6.12	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		RL+MX[RL]	SS	2,000	1.11	n/a	n/a	non-brg	300.0
BARON ASSET MGMT*	012	RL	B	40,000	35.01	n/a	6-Nov	2,000.00	5.0
BUCK CAPITAL MGMT		RL	C	30,000	33.86	n/a	6-Nov	non-brg	4.0
BUCK CAPITAL MGMT		RTH	C	420,000	63.05	n/a	n/a	non-brg	1.0
ZOLIDIS	011	SDS	B	220	126.72	n/a	n/a	0.00	0.0



Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EFSTATHIOU	044	SDS	S	800	123.60	n/a	n/a	0.00	0.0
ENTRUST CAPITAL	040	SHW	S	182,000	50.27	n/a	27-Oct	9,100.00	5.0
N STRATTON	014	SJM	S	1,288	41.00	n/a	n/a	0.00	0.0
ZOLIDIS	011	SKF	B	100	270.78	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKT	S	120,000	27.11	n/a	n/a	4,800.00	4.0
ß BUCK CAPITAL MGMT		SKX+LB[SKX]	SS	2,000	1.00	n/a	n/a	non-brg	100.0
LEDDY	035	SLB	S	1,200	41.05	n/a	n/a	0.00	0.0
AMATURO	018	SSO	S	20,000	18.82	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SUP	C	15,000	8.87	10-Nov	10-Nov	non-brg	2.0
ß BUCK CAPITAL MGMT		SUP	C	54,000	8.79	10-Nov	10-Nov	non-brg	3.0
SINCLAIR	031	SWGCL	B	160	3.99	n/a	n/a	0.00	0.0
SINCLAIR	031	SWNCF	B	200	4.70	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SYX+WF[SYX]	C	747	8.49	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		SYX+WX[SYX]	C	800	1.01	n/a	n/a	non-brg	300.0
LUCHANSKY	036	TEL	S	200	12.94	n/a	n/a	0.00	0.0
BUCK	015	TGT	C	8,000	27.53	17-Nov	17-Nov	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	THO	S	216,800	13.02	n/a	n/a	9,756.00	4.5
⚡ BUCK CAPITAL MGMT		TIF+WF[TIF]	C	535	12.45	n/a	n/a	non-brg	300.0
⚡ BUCK CAPITAL MGMT		TIF+WG[TIF]	C	217	17.43	n/a	n/a	non-brg	300.0
ZOLIDIS	011	TIF	SS	2,000	18.51	n/a	3-Nov	0.00	0.0
LEDDY	035	TIF	C	8,400	17.96	n/a	3-Nov	0.00	0.0
SCOPUS FUND	041	TJX	B	14,000	19.99	11-Aug	12-Nov	700.00	5.0
BUCK	015	TM	SS	4,000	62.29	n/a	n/a	0.00	0.0
ZOLIDIS	011	TWM	B	556	173.07	n/a	n/a	0.00	0.0
LUCHANSKY	036	TYC	S	200	15.67	12-Nov	18-Nov	0.00	0.0
BENNETT LAWRENCE	045	UA	S	190,200	17.99	n/a	29-Oct	8,559.00	4.5
CAXTON PART	040	UNP	S	91,008	47.97	n/a	n/a	3,185.28	3.5
PAULSON & CO INC	041	USB	SS	1,168,000	20.89	n/a	n/a	35,040.00	3.0
BUCK	015	USB	SS	8,000	22.24	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		UWY+WH[WYNN]	C	975	9.75	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	VNO	S	240,000	40.24	n/a	n/a	9,600.00	4.0
NEUBERGER BERMAN	036	VNO	B	68,400	40.55	n/a	n/a	3,078.00	4.5
KLEINHEINZ CAP PART	031	VOD	S	300,000	16.36	n/a	n/a	15,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		VOW GR	C	13,000	417.71	n/a	n/a	non-brg	62.7
ROTHSCHILD ASSET	040	WCN	S	49,200	32.73	n/a	n/a	2,214.16	4.5
EPOCH INV MGMT	030	WDR	B	407,600	9.04	15-Jul	19-Nov	16,304.00	4.0
PZENA INV ADV	044	WEC	S	384,300	40.75	n/a	n/a	13,451.40	3.5
ENTRUST CAPITAL	040	WFC	B	90,400	21.76	n/a	n/a	4,520.00	5.0
PZENA INV ADV	044	WLP	B	33,800	29.30	n/a	n/a	1,183.00	3.5
ß BUCK CAPITAL MGMT		WMT+LK[WMT]	SS	2,000	2.08	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		WMT+LX[WMT]	SS	3,000	2.73	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		WMT	B	300,000	52.37	10-Oct	13-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		WMT	S	150,000	51.88	10-Oct	13-Nov	non-brg	4.0
BUCK CAPITAL MGMT	001	WRC	B	448,400	12.83	7-Nov	7-Nov	17,936.00	4.0
ß BUCK CAPITAL MGMT		WRC	B	123,000	13.00	7-Nov	7-Nov	non-brg	2.0
ß BUCK CAPITAL MGMT		WRC	B	20,000	12.89	7-Nov	7-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		WRC	B	25,000	13.00	7-Nov	7-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		WRC	B	55,005	13.29	7-Nov	7-Nov	non-brg	1.0
ß BUCK CAPITAL MGMT		WRC	B	84,895	12.87	7-Nov	7-Nov	non-brg	1.0
ß BUCK CAPITAL MGMT		WYNN	SS	17,860	29.83	n/a	n/a	non-brg	4.0
NOLAN	067	XOHO	S	500	0.13	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		XRT+WT[XRT]	C	7,634	4.79	n/a	n/a	non-brg	300.0
B BUCK CAPITAL MGMT		XRT	C	1,800,000	15.41	n/a	n/a	non-brg	1.0
PNC/MERCANTILE	028	YHOO	S	75,004	9.18	n/a	n/a	3,750.20	5.0
LUCHANSKY2	036	YTEC	S	800	4.43	n/a	n/a	0.00	0.0
COUGAR TRADING	044	YUM	B	20,000	23.47	14-Aug	20-Oct	1,000.00	5.0
COUGAR TRADING	044	YUM	SS	20,000	22.39	14-Aug	20-Oct	1,000.00	5.0
B BUCK CAPITAL MGMT		ZLC+WC[ZLC]	C	1,133	7.10	n/a	n/a	non-brg	300.0
B BUCK CAPITAL MGMT		ZLC+WD[ZLC]	C	934	12.05	n/a	n/a	non-brg	300.0
B BUCK CAPITAL MGMT		ZLC+WW[ZLC]	C	1,563	9.57	n/a	n/a	non-brg	300.0
SIGMA CAPITAL ASSOCIATES	237	ZLC	SS	100,000	8.16	n/a	n/a	5,000.00	5.0
<b>TOTAL (Trade Date):</b>							<b>695,057.32</b>		

### Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	11/20	COUGAR TRADING	044	AEO	S	10,000	7.58	n/a	10-Nov	400.00 4.0
AO,CXL	11/20	COUGAR TRADING	044	AEO	S	10,000	7.58	n/a	10-Nov	300.00 3.0
AO,	11/20	NEUBERGER BERMAN	036	ALV	S	41,100	15.27	22-Oct	22-Oct	1849.50 4.5
AO,	11/20	NEUBERGER BERMAN	036	DW	S	300	10.13	n/a	n/a	13.50 4.5
AO,	11/20	NEUBERGER BERMAN	036	DW	S	25,000	10.13	n/a	n/a	1125.00 4.5
AO,CXL	11/20	NEUBERGER BERMAN	036	IDC	B	900	19.77	n/a	n/a	40.50 4.5
AO,CRT	11/20	NEUBERGER BERMAN	036	IDC	B	900	19.77	n/a	n/a	40.50 4.5
AO,CRT	11/20	EMP ERROR	044	IVZ	S	700	9.26	13-Nov	20-Nov	0.00 0.0
AO,CXL	11/20	EFSTATHIOU	044	IVZ	S	700	9.26	13-Nov	20-Nov	0.00 0.0
AO,CRT	11/20	LITESPEED	028	IWM	B	135,000	39.33	n/a	n/a	4050.00 3.0
AO,CXL	11/20	LITESPEED	028	IWM	B	135,000	39.33	n/a	n/a	5400.00 4.0
AO,CRT	11/20	JP MORGAN VENTURES	046	NWY	S	70,000	1.06	n/a	21-Nov	1400.00 2.0
AO,CXL	11/20	JP MORGAN VENTURES	046	NWY	S	70,000	1.06	n/a	21-Nov	3500.00 5.0
AO,	11/20	BULL PATH CAPITAL	044	QQQQ	B	595,000	25.57	n/a	n/a	17850.00 3.0
AO,	11/20	BULL PATH CAPITAL	044	SPY	B	50,000	75.79	n/a	n/a	1500.00 3.0
AO,CRT	11/19	NEUBERGER BERMAN	036	THO	S	300	14.16	n/a	n/a	13.50 4.5
AO,CXL	11/19	NEUBERGER BERMAN	036	THO	S	300	14.16	n/a	n/a	13.50 4.5
AO,	11/20	NEUBERGER BERMAN	036	THO	S	60,900	13.01	n/a	n/a	2740.50 4.5

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CRT	11/20	NEUBERGER BERMAN	036	THO	S	500	13.01	n/a n/a	22.50 4.5
AO,CRT	11/20	TOKIO MARINE ASSET MGMT	045	XOM	B	10,400	72.59	n/a n/a	416.00 4.0
AO,CXL	11/20	TOKIO MARINE ASSET MGMT	045	XOM	B	10,400	72.59	n/a n/a	0.00 0.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>22,167.00</b>
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TOTAL (Trade Date):	695,057.32
TOTAL (AO, CXL, CRT):	22,167.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>717,224.32</b>
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MRI Securities with Trade Activity on 21-Nov. PLCE
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MRI Securities without Trade Activity on 21-Nov. NONE
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BRG comm. as a % of BCM Total Comm. paid. T-Date = 5% 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**