



# Daily Compliance Activity Report

Trade Date: 08/06/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f</b> MARC PAUL LUCHANSKY	<b>FID</b>	<b>AEGFX</b>	<b>B</b>	<b>46</b>	<b>34.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	AEO	B	10,000	14.67	25-Jun	3-Aug	500.00	5.0
<b>f</b> JOSEPH CIRO AMATURO	<b>FID</b>	<b>AIG</b>	<b>B</b>	<b>1000</b>	<b>24.39</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>AMT</b>	<b>S</b>	<b>30,000</b>	<b>33.07</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>ANF</b>	<b>S</b>	<b>100,000</b>	<b>30.95</b>	<b>3-Jun</b>	<b>3-Aug</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>ANF</b>	<b>S</b>	<b>40,000</b>	<b>30.54</b>	<b>3-Jun</b>	<b>3-Aug</b>	<b>non-brg</b>	<b>1.0</b>
HOLLIS CAPITAL	033	AN	B	15,000	19.61	3-Aug	5-Aug	750.00	5.0
TRELLUS PARTNERS LP	028	AN	B	30,000	19.74	3-Aug	5-Aug	1,500.00	5.0
EATON VANCE MGMT	039	APA	B	60,684	86.43	31-Jul	3-Aug	1,820.52	3.0
<b>f</b> JASON ERIC COHEN	<b>FID</b>	<b>APVTK</b>	<b>S</b>	<b>1</b>	<b>0.99</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> JASON ERIC COHEN	<b>FID</b>	<b>APVTL</b>	<b>B</b>	<b>2</b>	<b>2.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>ARO</b>	<b>B</b>	<b>60,000</b>	<b>36.09</b>	<b>n/a</b>	<b>3-Aug</b>	<b>non-brg</b>	<b>1.0</b>
COUGAR TRADING	044	ARO	B	5,000	36.06	n/a	3-Aug	250.00	5.0
SNYDER CAPITAL	038	ARP	B	75,000	9.76	n/a	n/a	3,000.00	4.0
<b>f</b> ABRAM M CHAPPELL	<b>FID</b>	<b>AURD</b>	<b>B</b>	<b>1500</b>	<b>0.57</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	AXL	S	30,000	3.63	n/a	6-Aug	900.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
L.R.BURTSCHY & CO	045	AXL	B	100,000	3.89	n/a	6-Aug	5,000.00	5.0
LAGRANGE CAP ADV	048	AXL	B	40,000	2.95	n/a	6-Aug	800.00	2.0
MORTAR ROCK	033	AXL	B	50,000	3.81	n/a	6-Aug	2,000.00	4.0
SLS CAPITAL LLC	224	AXL	B	369,100	3.19	n/a	6-Aug	9,227.50	2.5
TRELLUS PARTNERS LP	028	AXL	B	200,000	3.24	n/a	6-Aug	6,000.00	3.0
TROUBH PART	067	AXL	B	25,000	3.05	n/a	6-Aug	1,250.00	5.0
DIAMONDBACK CAP MGMT	232	BA	C	40,000	45.58	n/a	n/a	2,000.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>BHI</b>	<b>B</b>	<b>10,000</b>	<b>37.66</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
COUGAR TRADING	044	BWA	S	5,000	32.88	3-Aug	5-Aug	250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>BYD</b>	<b>S</b>	<b>151,639</b>	<b>9.31</b>	<b>n/a</b>	<b>7-May</b>	<b>non-brg</b>	<b>3.0</b>
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>CBIAC</b>	<b>S</b>	<b>70</b>	<b>1.90</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CCI</b>	<b>S</b>	<b>40,000</b>	<b>28.52</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>CCI</b>	<b>S</b>	<b>18</b>	<b>28.22</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MATRIX ASSET ADV.	036	CMCSK	S	3,000	14.52	n/a	n/a	90.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>CMG</b>	<b>C</b>	<b>10,000</b>	<b>94.37</b>	<b>23-Jul</b>	<b>23-Jul</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CMG</b>	<b>C</b>	<b>5,000</b>	<b>93.07</b>	<b>23-Jul</b>	<b>23-Jul</b>	<b>non-brg</b>	<b>4.0</b>
CAPITAL GROWTH MGMT.	241	CMI	B	100,000	45.73	7-Aug	6-May	5,000.00	5.0
DECADE CAPITAL PARTNERS	040	CPB	SS	53,000	30.72	n/a	n/a	2,120.00	4.0
<b>f ABRAM M CHAPPELL</b>	<b>FID</b>	<b>CVGI</b>	<b>B</b>	<b>500</b>	<b>3.03</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.	
NOMURA CAPITAL	045	C	S	100,000	3.75	n/a	20-Jul	2,000.00	2.0
<b>B</b> BUCK CAPITAL MGMT		<b>DAI</b>	<b>C</b>	<b>30,000</b>	<b>47.17</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> EDWARD W WHEELER	<b>FID</b>	<b>DAN</b>	<b>B</b>	<b>10000</b>	<b>4.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>DECK</b>	<b>B</b>	<b>5,000</b>	<b>65.69</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
DIAMONDBACK CAP MGMT	232	DOW	S	30,000	22.79	n/a	30-Jul	1,500.00	5.0
EGS ASSOCIATES LP	091	DRI	B	5,000	32.50	19-Mar	15-Jul	300.00	6.0
<b>B</b> BUCK CAPITAL MGMT		<b>EAT</b>	<b>C</b>	<b>130,000</b>	<b>15.53</b>	<b>n/a</b>	<b>24-Apr</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>EFA</b>	<b>S</b>	<b>1000</b>	<b>50.90</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> MARC PAUL LUCHANSKY	<b>FID</b>	<b>EHSTX</b>	<b>S</b>	<b>70</b>	<b>15.07</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	EL	B	5,000	36.08	5-May	5-May	250.00	5.0
SNYDER CAPITAL	038	ESI	B	19,500	101.91	n/a	n/a	780.00	4.0
FIRST NEW YORK LEDDY	035	ETFC	S	10,000	1.43	n/a	n/a	600.00	6.0
<b>f</b> MARC PAUL LUCHANSKY	<b>FID</b>	<b>EXWAX</b>	<b>B</b>	<b>69</b>	<b>7.24</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> MARC PAUL LUCHANSKY	<b>FID</b>	<b>FDGRX</b>	<b>S</b>	<b>30</b>	<b>59.56</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> MARC PAUL LUCHANSKY	<b>FID</b>	<b>FDVIX</b>	<b>S</b>	<b>84</b>	<b>13.83</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.	
f MARC PAUL LUCHANSKY	FID	FEMKX	B	52	19.32	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FIGRX	B	76	27.71	n/a	n/a	0.00	0.0
DALTON GREINER	012	FII	B	108,300	26.37	3-Aug	4-Aug	5,415.00	5.0
EPOCH INV MGMT	030	FII	B	134,850	26.44	3-Aug	4-Aug	4,045.50	3.0
f MARC PAUL LUCHANSKY	FID	FILEX	B	466	7.55	n/a	n/a	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	FINL	S	500	9.00	n/a	28-Mar	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	FINL	S	500	9.00	n/a	28-Mar	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FINSX	S	52	15.27	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FLPSX	S	25	28.39	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT B	FID	FOR	B	1000	13.91	6-Aug	6-Aug	0.00	0.0
f CICALY S BACKUS	FID	FOR	B	1000	13.80	6-Aug	6-Aug	0.00	0.0
f KAREN F LEDDY	FID	FOR	B	500	14.19	6-Aug	6-Aug	0.00	0.0
f LEE F BACKUS	FID	FOR	B	1000	13.79	6-Aug	6-Aug	0.00	0.0
f MELISSA LEE BACKUS	FID	FOR	B	1000	13.92	6-Aug	6-Aug	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FSHBX	B	86	8.15	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FSMAX	S	37	69.13	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FTBFX	B	118	10.17	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		F	B	100,000	8.00	3-Aug	5-Aug	non-brg	1.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
	DSG CAPITAL	225	F	B	5,000	8.24	3-Aug	5-Aug	250.00	5.0
f	KAREN F LEDDY	FID	F	B	1500	8.07	3-Aug	5-Aug	0.00	0.0
f	ROBERT M DANIELS	FID	GE	S	285	14.15	n/a	n/a	0.00	0.0
	BUCK CAPITAL MGMT	001	GIL	B	20,000	16.93	25-Jun	25-Jun	800.00	4.0
	DSG CAPITAL	225	GLW	S	27,000	16.71	27-Jul	27-Jul	810.00	3.0
	THE JAY GOLDMAN	034	GPS	B	20,000	17.73	n/a	30-Jan	800.00	4.0
B	BUCK CAPITAL MGMT		GQU+HE [GYMB]	C	1,943	15.00	n/a	n/a	non-brg	300.0
	NOMURA CAPITAL	045	GRA	S	100	17.58	n/a	n/a	5.00	5.0
B	BUCK CAPITAL MGMT		GRMN	C	80,000	31.55	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		HBI	B	20,000	20.28	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		HK	B	10,000	22.69	n/a	n/a	non-brg	1.0
B	BUCK CAPITAL MGMT		HLF	S	30,000	32.30	n/a	n/a	non-brg	1.0
f	MARC PAUL LUCHANSKY	FID	HRINX	B	17	48.35	n/a	n/a	0.00	0.0
	BNP PARIBAS SEC	040	IP	S	20,000	19.39	30-Jul	30-Jul	800.00	4.0
	RBC CAPITAL MARKETS	040	IP	B	25,000	19.59	30-Jul	30-Jul	1,000.00	4.0
B	BUCK CAPITAL MGMT		IVZ	B	55,000	20.28	6-Aug	6-Aug	non-brg	1.0
	CATAPULT	040	IVZ	B	20,000	20.02	6-Aug	6-Aug	1,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>JANSX</b>	<b>S</b>	<b>83</b>	<b>23.01</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
THIRD COAST CAPITAL	035	JCP	B	16,000	31.64	13-Apr	3-Aug	800.00	5.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>JLPSX</b>	<b>B</b>	<b>68</b>	<b>16.07</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>JMCVX</b>	<b>S</b>	<b>50</b>	<b>17.95</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JNS</b>	<b>B</b>	<b>15,000</b>	<b>14.06</b>	<b>16-Jul</b>	<b>4-Aug</b>	<b>non-brg</b>	<b>1.0</b>
SIGMA CAPITAL ASSOCIATES	041	JNY	SS	25,000	14.24	n/a	30-Jul	1,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>JOSB</b>	<b>B</b>	<b>70,000</b>	<b>37.20</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
EATON VANCE MGMT	039	JPM	S	39,888	41.18	7-Aug	20-Jul	1,196.64	3.0
COUGAR TRADING	044	JWN	S	15,000	28.41	n/a	3-Aug	750.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>LM</b>	<b>S</b>	<b>40,000</b>	<b>28.63</b>	<b>3-Aug</b>	<b>4-Aug</b>	<b>non-brg</b>	<b>1.0</b>
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>LNCR</b>	<b>B</b>	<b>1000</b>	<b>25.12</b>	<b>n/a</b>	<b>21-Jul</b>	<b>0.00</b>	<b>0.0</b>
MILLENIUUM PARTNERS	028	LOW	B	91,500	22.74	12-May	18-May	3,660.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>LPX</b>	<b>S</b>	<b>10,000</b>	<b>6.46</b>	<b>n/a</b>	<b>5-Aug</b>	<b>non-brg</b>	<b>1.0</b>
<b>f IAN L MILLER</b>	<b>FID</b>	<b>MAR</b>	<b>S</b>	<b>45</b>	<b>22.73</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CATAPULT	040	MDU	SS	25,000	20.45	n/a	n/a	1,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f</b> MARC PAUL LUCHANSKY	<b>FID</b>	<b>MFOCX</b>	<b>S</b>	<b>96</b>	<b>13.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> MARC PAUL LUCHANSKY	<b>FID</b>	<b>MIQBX</b>	<b>B</b>	<b>58</b>	<b>12.12</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
HOLLIS CAPITAL	033	M	SS	10,000	14.98	n/a	3-Aug	500.00	5.0
JP MORGAN VENTURES	046	M	B	40,000	15.06	n/a	3-Aug	2,000.00	5.0
<b>f</b> MARC PAUL LUCHANSKY	<b>FID</b>	<b>PAVLX</b>	<b>S</b>	<b>76</b>	<b>18.45</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DECADE CAPITAL PARTNERS	040	PEP	B	24,200	57.90	n/a	n/a	968.00	4.0
<b>f</b> JOEL GIFFORD TISS	<b>FID</b>	<b>PG</b>	<b>B</b>	<b>800</b>	<b>51.73</b>	<b>3-Aug</b>	<b>6-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> MARC PAUL LUCHANSKY	<b>FID</b>	<b>PKG</b>	<b>S</b>	<b>500</b>	<b>19.27</b>	<b>21-Jul</b>	<b>21-Jul</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> MARC PAUL LUCHANSKY	<b>FID</b>	<b>PTRAX</b>	<b>B</b>	<b>94</b>	<b>10.59</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	PVH	S	14,817	34.60	28-Jul	28-Jul	740.85	5.0
CATAPULT	040	PWR	SS	23,000	23.29	n/a	n/a	1,150.00	5.0
NOMURA CAPITAL	045	RRD	B	800	14.33	n/a	n/a	40.00	5.0
JP MORGAN VENTURES	046	RX	B	40,000	12.45	n/a	n/a	2,000.00	5.0
<b>f</b> MARC PAUL LUCHANSKY	<b>FID</b>	<b>RYPFX</b>	<b>B</b>	<b>181</b>	<b>8.31</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>SBAC</b>	<b>S</b>	<b>40,000</b>	<b>25.55</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> MARC PAUL LUCHANSKY	<b>FID</b>	<b>SBLGX</b>	<b>S</b>	<b>46</b>	<b>19.58</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

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B BUCK CAPITAL MGMT		SII	B	15,000	25.65	n/a	n/a	non-brg	4.0
f MARC PAUL LUCHANSKY	FID	SLASX	S	36	33.38	n/a	n/a	0.00	0.0
ARAGON GLOBAL	041	SLG	B	5,352	31.28	n/a	n/a	267.60	5.0
f DAVID GEORGE BUCK	FID	SPGJN	B	20	2.40	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	SPGVL	S	20	4.20	n/a	n/a	0.00	0.0
CUMBERLAND	038	SPY	B	10,000	99.63	n/a	n/a	300.00	3.0
f DAVID GEORGE BUCK	FID	SPY	B	1000	99.83	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	SUP	B	15,000	15.73	10-Jun	10-Jun	750.00	5.0
NOMURA CAPITAL	045	SUP	B	8,100	15.79	10-Jun	10-Jun	405.00	5.0
KACELA CAPITAL	034	TGT	B	16,000	41.72	6-Aug	6-Aug	640.00	4.0
f KAREN F LEDDY	FID	TIN	S	900	15.89	23-Jul	23-Jul	0.00	0.0
BUCK CAPITAL MGMT	001	TJX	B	30,000	35.41	28-Jul	3-Aug	1,200.00	4.0
CATAPULT	040	TROW	S	20,000	47.34	n/a	4-Aug	1,000.00	5.0
LISTED ERR	099	TROW	B	10,000	47.37	n/a	4-Aug	0.00	0.0
LISTED ERR	099	TROW	SS	10,000	47.37	n/a	4-Aug	0.00	0.0
B BUCK CAPITAL MGMT		TSCO	SS	20,000	46.91	n/a	n/a	non-brg	2.5
f BRIAN W CRAGO	FID	TTWO	S	100	9.56	n/a	n/a	0.00	0.0



Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MATRIX ASSET ADV.	036	TYC	S	4,000	30.74	30-Jul	30-Jul	160.00	4.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>USGLX</b>	<b>S</b>	<b>26</b>	<b>22.86</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ARAGON GLOBAL	041	VNO	B	2,942	57.15	n/a	n/a	147.10	5.0
TYEE/TYGH	035	WDR	B	50,000	27.62	29-Jul	6-Aug	2,000.00	4.0
<b>f ROBERT M DANIELS</b>	<b>FID</b>	<b>WEN</b>	<b>S</b>	<b>600</b>	<b>5.09</b>	<b>n/a</b>	<b>6-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>WFC</b>	<b>S</b>	<b>4500</b>	<b>28.03</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>WFT</b>	<b>B</b>	<b>15,000</b>	<b>18.55</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f JOEL GIFFORD TISS</b>	<b>FID</b>	<b>WMT</b>	<b>B</b>	<b>400</b>	<b>49.08</b>	<b>11-May</b>	<b>4-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>XLFX</b>	<b>C</b>	<b>260,000</b>	<b>14.14</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>XRT</b>	<b>C</b>	<b>115,000</b>	<b>31.25</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>TOTAL (Trade Date) :</b>								<b>85,738.71</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/05	NOMURA CAPITAL	045	C	S	200,000	3.60	n/a	20-Jul	4000.00 2.0
AO,	08/05	HEALTHCOR MGMT	038	CBE	C	100,000	35.15	n/a	27-Jul	5000.00 5.0
AO,CRT	08/05	CONIFER/ISF	025	EBAY	S	3,500	21.45	n/a	n/a	140.00 4.0
AO,CXL	08/05	WILLOW CREEK	033	EBAY	S	3,500	21.45	n/a	n/a	140.00 4.0
AO,CRT	08/05	NOMURA CAPITAL	045	FCN	B	1,000	47.75	n/a	n/a	50.00 5.0
AO,CRT	08/05	NOMURA CAPITAL	045	GPI	S	700	31.34	n/a	29-Jul	35.00 5.0
AO,	08/05	NOMURA CAPITAL	045	GRA	S	1,000	17.59	n/a	n/a	50.00 5.0
AO,CRT	08/05	NOMURA CAPITAL	045	NRG	S	700	27.67	n/a	n/a	35.00 5.0
AO,CRT	08/04	SIGMA CAPITAL ASSOCIATES	041	QQQQ	SS	50,000	40.07	n/a	n/a	1500.00 3.0
AO,CXL	08/04	SIGMA CAPITAL ASSOCIATES	041	QQQQ	SS	50,000	40.07	n/a	n/a	2000.00 4.0
AO,CRT	08/05	NOMURA CAPITAL	045	SMG	B	2,100	40.05	30-Jul	30-Jul	105.00 5.0

**TOTAL (AO, CXL, CRT) :****8,775.00**

TOTAL (Trade Date) :

85,738.71

TOTAL (AO, CXL, CRT) :

8,775.00

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TOTAL (RUN DATE) / NFS:

94,513.71

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MRI Securities with Trade Activity on 6-Aug.

FOR, IVZ, TGT

MRI Securities without Trade Activity on 6-Aug.

AF, ARG, CENT, GYMB, LVS, RL

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

T-Date = 5%

YTD = 20%

<b><u>Legend:</u></b>
<b>Õ: Employee Trades in Outside Accounts</b>
<b>ß: Non-BRG BCM Trades</b>
[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)