



# Daily Compliance Activity Report

Trade Date: 10/28/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BASCOM HILL PARTNERS LLC	033	AEO	B	10,000	15.97	n/a	11-Oct	300.00	3.0
REINHART & MAHONEY	047	AFSI	B	1,400	15.28	n/a	n/a	70.00	5.0
REINHART & MAHONEY	047	AGL	B	2,400	39.10	n/a	n/a	120.00	5.0
HIGHBRIDGE CAP	041	ALTR	SS	100,000	30.61	n/a	n/a	3,000.00	3.0
BMO NESBITT BURNS	041	AMAG	B	6,000	19.44	n/a	n/a	420.00	7.0
<b>B BUCK CAPITAL MGMT</b>		<b>AMR</b>	<b>S</b>	<b>50,000</b>	<b>8.01</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
CATAPULT	040	ANN	S	38,280	22.66	n/a	n/a	1,531.20	4.0
BENNETT LAWRENCE	028	ANSS	S	22,300	44.85	n/a	n/a	892.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AN</b>	<b>B</b>	<b>40,000</b>	<b>23.17</b>	<b>n/a</b>	<b>19-Oct</b>	<b>1,600.00</b>	<b>4.0</b>
TRELLUS PARTNERS LP	028	AN	SS	30,000	24.01	n/a	19-Oct	1,500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>ARO</b>	<b>B</b>	<b>50,000</b>	<b>25.25</b>	<b>n/a</b>	<b>11-Oct</b>	<b>non-brg</b>	<b>4.0</b>
HIGHBRIDGE CAP	041	ATHR	B	100,000	30.95	n/a	n/a	3,000.00	3.0
BROADARCH CAP/OLD NEWC	070	AVT	C	5,100	29.63	n/a	n/a	204.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>AXL</b>	<b>S</b>	<b>169,000</b>	<b>9.81</b>	<b>n/a</b>	<b>19-Oct</b>	<b>non-brg</b>	<b>3.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>AXL</b>	<b>S</b>	<b>3000</b>	<b>9.63</b>	<b>n/a</b>	<b>19-Oct</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CR INTRINIC INVESTMENT	044	AZN	B	25,000	49.89	n/a	n/a	875.00	3.5
<b>B BUCK CAPITAL MGMT</b>		<b>BID</b>	<b>B</b>	<b>20,000</b>	<b>43.21</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
REINHART & MAHONEY	047	BKI	B	1,200	16.34	n/a	n/a	60.00	5.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>BLUD</b>	<b>B</b>	<b>3000</b>	<b>17.62</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
REINHART & MAHONEY	047	BMS	B	2,200	31.95	n/a	n/a	110.00	5.0
<b>f MARK ANTHONY GRONET</b>	<b>FID</b>	<b>BOX</b>	<b>B</b>	<b>1000</b>	<b>10.83</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BWIN AV</b>	<b>S</b>	<b>6,273</b>	<b>49.38</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>7.4</b>
GALT INVESTMENT	041	BWLD	B	10,000	46.57	n/a	n/a	500.00	5.0
CIRCLE T/SES PART	035	BYD	S	10,000	8.45	n/a	n/a	400.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>BYI</b>	<b>B</b>	<b>10,000</b>	<b>35.38</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>CAH</b>	<b>S</b>	<b>2000</b>	<b>34.44</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
HARBORWATCH/DIAMBACK	232	CAT	S	20,000	77.40	n/a	22-Oct	1,000.00	5.0
RANGER	031	CHD	S	40,810	66.37	n/a	26-Oct	2,040.50	5.0
REINHART & MAHONEY	047	CMCO	B	850	16.71	n/a	n/a	42.50	5.0
MELLON/BANK OF NEW YORK	046	COV	B	14,720	40.50	n/a	n/a	736.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCHOTTENFELD ASSOC	041	C	B	20,000	4.18	n/a	19-Oct	600.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>DAL</b>	<b>S</b>	<b>25,000</b>	<b>14.03</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DAN</b>	<b>S</b>	<b>100,000</b>	<b>14.05</b>	<b>n/a</b>	<b>19-Oct</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DAN</b>	<b>S</b>	<b>50,000</b>	<b>14.09</b>	<b>n/a</b>	<b>19-Oct</b>	<b>non-brg</b>	<b>4.0</b>
METROPOLITAN CAPITAL	044	DAN	S	12,400	14.06	n/a	19-Oct	620.00	5.0
PROSPECTOR PARTNERS LLC	036	DBD	SS	18,300	30.94	n/a	16-Sep	732.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>DBRN</b>	<b>B</b>	<b>20,000</b>	<b>22.71</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
REINHART & MAHONEY	047	DCOM	B	1,200	14.59	n/a	n/a	60.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>DLTR</b>	<b>S</b>	<b>10,000</b>	<b>51.27</b>	<b>n/a</b>	<b>26-Oct</b>	<b>non-brg</b>	<b>4.0</b>
REINHART & MAHONEY	047	DNR	B	5,500	16.85	n/a	n/a	275.00	5.0
NOMURA CAPITAL	029	DOW	B	9,400	30.91	n/a	28-Oct	188.00	2.0
MTB INV ADV	034	EAT	S	80,100	18.14	n/a	n/a	3,204.00	4.0
HARRIER HAWK MGMT	028	EQR	B	11,900	48.29	n/a	n/a	476.00	4.0
REINHART & MAHONEY	047	EQT	B	2,300	37.10	n/a	n/a	115.00	5.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>ESRX</b>	<b>S</b>	<b>1000</b>	<b>48.41</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>EXAM</b>	<b>S</b>	<b>5,000</b>	<b>17.00</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AMBER CAPITAL	046	FBC	B	250,000	1.50	n/a	n/a	5,000.00	2.0
<b>B BUCK CAPITAL MGMT</b>		<b>FINL</b>	<b>B</b>	<b>50,000</b>	<b>15.72</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
ENTRUST CAPITAL	040	FINL	S	50,000	15.58	n/a	n/a	2,500.00	5.0
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>FL</b>	<b>S</b>	<b>900</b>	<b>15.97</b>	<b>n/a</b>	<b>14-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>FOSL</b>	<b>S</b>	<b>10,000</b>	<b>58.86</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
MELLON/BANK OF NEW YORK	046	FTR	S	5,280	8.71	n/a	n/a	264.00	5.0
OZ MGMT	040	F	SS	100,000	14.10	n/a	27-Oct	3,000.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>GAGA</b>	<b>B</b>	<b>1,000</b>	<b>9.50</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.0</b>
REINHART & MAHONEY	047	GB	B	600	23.70	n/a	n/a	30.00	5.0
REINHART & MAHONEY	047	GES	B	2,400	39.87	n/a	18-Oct	120.00	5.0
SHIKIAR ASSET	029	GE	S	10,700	16.10	n/a	n/a	535.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>GIII</b>	<b>B</b>	<b>10,000</b>	<b>26.71</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
KLEINHEINZ CAP PART	031	GIL	B	50,000	28.88	n/a	18-Oct	2,500.00	5.0
PLATTE RIVER CAPITAL	240	GLW	S	23,770	18.37	n/a	21-Oct	950.80	4.0
MORTAR ROCK	033	GNTX	SS	10,000	19.66	n/a	25-Oct	400.00	4.0
BENNETT LAWRENCE	028	GSIC	S	12,100	22.81	n/a	n/a	484.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		GYMB	S	5,052	65.00	n/a	8-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		HAL	B	40,000	30.40	n/a	n/a	non-brg	4.0
MORTAR ROCK	033	HAR	SS	10,000	33.66	n/a	19-Oct	400.00	4.0
EMERSON CAPITAL MGMT	048	HBI	B	18,256	25.44	28-Oct	28-Oct	547.68	3.0
PAULSON & CO INC	041	HOT	S	101,200	54.78	n/a	26-Oct	3,036.00	3.0
SHIKIAR ASSET	029	HPQ	S	2,680	42.47	n/a	n/a	134.00	5.0
UNITED STATES PENSION	085	IBM	S	172,385	141.07	n/a	n/a	8,619.25	5.0
ß BUCK CAPITAL MGMT		ICON	S	20,000	17.86	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		IMAX	C	11,950	21.40	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		JCG	SS	30,000	31.27	n/a	n/a	non-brg	4.0
SAC TRADING TOM LEDDY	035	JCP	B	15,000	31.76	n/a	11-Oct	525.00	3.5
BUCK CAPITAL MGMT	001	JNY	S	225,000	14.94	28-Oct	28-Oct	9,000.00	4.0
ß BUCK CAPITAL MGMT		JNY	S	49,200	14.64	28-Oct	28-Oct	non-brg	4.0
WEISS PECK	040	JNY	B	266,920	14.68	28-Oct	28-Oct	13,346.00	5.0
ß BUCK CAPITAL MGMT		JOSB	S	20,000	43.61	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT	001	JWN	S	20,000	37.78	n/a	11-Oct	800.00	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f	EDWARD W WHEELER	FID	KEM	S	21643	3.32	n/a	n/a	0.00	0.0
	SAC TRADING TOM LEDDY	035	KFT	SS	25,000	32.05	n/a	n/a	875.00	3.5
	MELLON/BANK OF NEW YORK	046	KO	B	12,445	61.18	n/a	26-Oct	622.25	5.0
	PLATTE RIVER CAPITAL	240	KO	S	16,670	61.19	n/a	26-Oct	666.80	4.0
	BUCK CAPITAL MGMT	001	KSS	S	13,900	51.99	n/a	11-Oct	556.00	4.0
B	BUCK CAPITAL MGMT		KSS	S	40,000	51.60	n/a	11-Oct	non-brg	4.0
	LEVIN CAPITAL STRATEGIES	012	LEA	B	10,000	88.23	n/a	19-Oct	300.00	3.0
	METROPOLITAN CAPITAL	044	LEA	S	2,100	88.04	n/a	19-Oct	105.00	5.0
B	BUCK CAPITAL MGMT		LL	S	10,000	23.84	n/a	n/a	non-brg	4.0
	ASCEND PARTNERS	033	LOW	S	28,000	21.38	n/a	16-Aug	1,400.00	5.0
	REINHART & MAHONEY	047	LRV	B	2,800	34.15	n/a	n/a	140.00	5.0
	TRELLUS PARTNERS LP	028	LVS	C	50,000	45.70	n/a	28-Oct	2,500.00	5.0
	GRUSS CAPITAL	025	MDR	B	10,000	15.53	n/a	n/a	300.00	3.0
	BUCK CAPITAL MGMT	001	MFB	S	10,000	26.61	n/a	n/a	400.00	4.0
B	BUCK CAPITAL MGMT		MFB	S	6,743	26.82	n/a	n/a	non-brg	4.0
	REINHART & MAHONEY	047	MHP	B	2,900	37.75	n/a	n/a	145.00	5.0
	REINHART & MAHONEY	047	MKC	B	2,400	43.31	n/a	n/a	120.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BROOKSIDE CAPITAL PART	067	MOT	SS	300,000	8.24	n/a	n/a	9,000.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>MSMSRAW3</b>	<b>C</b>	<b>6,000</b>	<b>120.27</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>12.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MS</b>	<b>B</b>	<b>105,000</b>	<b>24.87</b>	<b>n/a</b>	<b>21-Oct</b>	<b>non-brg</b>	<b>4.0</b>
REINHART & MAHONEY	047	NBL	B	1,100	80.15	n/a	n/a	55.00	5.0
SONTERRA CAP	041	NBR	SS	50,000	20.46	n/a	n/a	2,000.00	4.0
NOMURA CAPITAL	029	NOR	B	8,259	9.80	n/a	n/a	165.18	2.0
REINHART & MAHONEY	047	NWE	B	900	29.87	n/a	n/a	45.00	5.0
WALL STREET CAPITAL	084	NWY	S	225,500	3.19	n/a	n/a	4,510.00	2.0
COLUMBUS CIRCLE	036	OCLR	S	31,960	8.73	n/a	n/a	1,278.40	4.0
REINHART & MAHONEY	047	OMC	B	2,800	44.10	n/a	n/a	140.00	5.0
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>OXM</b>	<b>S</b>	<b>430</b>	<b>23.26</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
REINHART & MAHONEY	047	O	B	2,400	34.96	n/a	n/a	120.00	5.0
LAGRANGE CAP ADV	048	PAG	B	20,000	13.18	n/a	25-Oct	1,000.00	5.0
WEISS PECK	040	PAG	B	9,900	13.14	n/a	25-Oct	495.00	5.0
MELLON/BANK OF NEW YORK	046	PAYX	S	19,250	27.71	n/a	n/a	962.50	5.0
GRUSS CAPITAL	025	PCH	B	20,000	33.62	n/a	18-Oct	600.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	PEP	S	9,450	64.83	n/a	n/a	472.50	5.0
REINHART & MAHONEY	047	PETM	B	2,600	37.42	n/a	n/a	130.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>PFCB</b>	<b>C</b>	<b>20,000</b>	<b>44.81</b>	<b>n/a</b>	<b>27-Oct</b>	<b>non-brg</b>	<b>4.0</b>
MELLON/BANK OF NEW YORK	046	PG	S	20,476	63.19	n/a	27-Oct	1,023.80	5.0
HARBORWATCH/DIAMBACK	232	PHM	C	20,000	7.87	n/a	n/a	600.00	3.0
RBC CAPITAL MARKETS	040	PKG	S	30,000	24.51	n/a	19-Oct	1,200.00	4.0
REINHART & MAHONEY	047	PLL	B	2,400	42.97	n/a	n/a	120.00	5.0
REINHART & MAHONEY	047	PLXS	B	500	32.41	n/a	n/a	25.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>PRTY LN</b>	<b>S</b>	<b>54,886</b>	<b>4.17</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.6</b>
ENTRUST CAPITAL	040	PSS	S	27,500	15.29	n/a	n/a	1,375.00	5.0
REINHART & MAHONEY	047	QSFT	B	600	26.55	n/a	n/a	30.00	5.0
SUFFOLK CAPITAL MGMT	040	RCL	B	175,000	39.84	n/a	n/a	7,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>ROST</b>	<b>C</b>	<b>13,100</b>	<b>58.72</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SAC ENERGY GS-BOB	044	RRC	SS	100,000	36.53	n/a	22-Oct	3,500.00	3.5
GALT INVESTMENT	041	SAH	B	25,000	11.01	n/a	n/a	1,000.00	4.0



Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
REINHART & MAHONEY	047	SCG	B	1,800	40.86	n/a	n/a	90.00	5.0
Õ Chris Cattani		SCMWY	B	300	41.55	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	SCSC	B	2000	28.56	n/a	n/a	0.00	0.0
Õ Chris Cattani		SDRL	B	200	30.28	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	SDS	B	1000	27.34	n/a	n/a	0.00	0.0
GREEN ARROW DOUG	040	SGMS	S	25,000	8.83	n/a	n/a	1,250.00	5.0
REINHART & MAHONEY	047	SIAL	B	1,600	62.80	n/a	21-Oct	80.00	5.0
BUCK CAPITAL MGMT	001	SKX	B	30,000	19.24	n/a	n/a	1,200.00	4.0
ß BUCK CAPITAL MGMT		SKX	B	150,000	19.77	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		SKX	B	20,000	19.39	n/a	n/a	non-brg	4.0
WEISS PECK	040	SKX	B	11,040	19.50	n/a	n/a	552.00	5.0
REINHART & MAHONEY	047	SNX	B	800	29.46	n/a	n/a	40.00	5.0
f ANDREW SINCLAIR	FID	SPY	B	200	0.93	n/a	n/a	0.00	0.0
f ANDREW SINCLAIR	FID	SPY	S	200	1.16	n/a	n/a	0.00	0.0
f JASON ERIC COHEN	FID	SPY	B	4	1.23	n/a	n/a	0.00	0.0
TALKOT CAPITAL LLC	084	SSCC	S	5,000	23.43	n/a	18-Oct	200.00	4.0
EPOCH INV MGMT	030	SSI	B	26,300	13.45	n/a	n/a	789.00	3.0
GREEN ARROW DOUG	040	SVU	S	15,000	10.79	n/a	n/a	750.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>TBL</b>	<b>S</b>	<b>480</b>	<b>20.83</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SCOPUS FUND	041	TEN	SS	57,280	31.96	n/a	n/a	2,864.00	5.0
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>TEX</b>	<b>B</b>	<b>150</b>	<b>22.33</b>	<b>n/a</b>	<b>22-Oct</b>	<b>0.00</b>	<b>0.0</b>
ASCEND PARTNERS	033	TGT	C	54,882	52.55	n/a	11-Oct	2,744.10	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>TGT</b>	<b>S</b>	<b>577</b>	<b>52.93</b>	<b>n/a</b>	<b>11-Oct</b>	<b>0.00</b>	<b>0.0</b>
SHEFFIELD ASSET MGMT	031	TIN	B	10,700	20.10	n/a	20-Oct	535.00	5.0
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>TLB</b>	<b>B</b>	<b>700</b>	<b>9.56</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
GRUSS CAPITAL	025	TLT	SS	10,000	99.30	n/a	n/a	300.00	3.0
GALT INVESTMENT	041	URI	S	50,000	18.52	n/a	n/a	2,000.00	4.0
REINHART & MAHONEY	047	VITA	B	4,900	2.21	n/a	n/a	245.00	5.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>VXX</b>	<b>B</b>	<b>1000</b>	<b>13.07</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
THIRD COAST CAPITAL	035	WBC	B	10,000	42.92	n/a	9-Sep	500.00	5.0
REINHART & MAHONEY	047	WFT	B	4,200	17.21	n/a	n/a	210.00	5.0
CASTLEROCK	040	WMS	B	77,293	43.24	n/a	n/a	3,091.72	4.0
GREEN ARROW DOUG	040	WMT	B	15,000	54.01	n/a	14-Oct	750.00	5.0
THIRD COAST CAPITAL	035	WNC	S	25,000	7.83	n/a	n/a	1,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	WY	B	49,900	15.69	n/a	18-Oct	2,495.00	5.0
REINHART & MAHONEY	047	ZBRA	B	2,400	35.94	n/a	n/a	120.00	5.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>ZMH</b>	<b>B</b>	<b>1000</b>	<b>49.34</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MELLON/BANK OF NEW YORK	046	ZMH	B	10,395	49.80	n/a	n/a	519.75	5.0
<b>TOTAL (Trade Date):</b>							<b>144,415.93</b>		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/27	NOMURA CAPITAL	029	NRG	S	4,425	19.84	n/a	n/a	88.50 2.0
AO,	10/27	LISTED ERR	033	TGT	C	577	52.48	n/a	11-Oct	0.00 0.0
AO,	10/27	LISTED ERR	099	TGT	C	30,809	52.48	n/a	11-Oct	0.00 0.0
AO,CRT	10/27	LISTED ERR	099	TGT	S	30,809	52.48	n/a	11-Oct	0.00 0.0
AO,	10/27	ASCEND PARTNERS	033	TGT	C	30,232	52.48	n/a	11-Oct	1511.60 5.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>1,600.10</b>
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TOTAL (Trade Date) :	144,415.93
TOTAL (AO, CXL, CRT) :	1,600.10

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>146,016.03</b>
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO	10/27	BUCK CAPITAL MGMT	EXAM	B	4,000	16.00	n/a	n/a	0.00	0.0
AO	10/27	BUCK CAPITAL MGMT	EXAM	B	1,000	16.00	n/a	n/a	0.00	0.0
AO	10/27	BUCK CAPITAL MGMT	SKX	B	302,170	22.00	n/a	n/a	2266.28	0.8
AO	10/27	BUCK CAPITAL MGMT	SKX	B	45,000	22.12	n/a	n/a	450.00	1.0
AO	10/27	BUCK CAPITAL MGMT	SKX	B	50,000	20.51	n/a	n/a	500.00	1.0

MRI Securities with Trade Activity on 28-Oct.

HBI, JNY

MRI Securities without Trade Activity on 28-Oct.

NONE

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

T-Date = 26%

YTD = 11%

**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**

**Watch List Trades**

**f: Employee Trades (Fidelity)**