

## **Daily Compliance Activity Report** Trade Date: 11/18/2008

**Potential ANALYST TRADE Violations: 0 BCM Watch List ACTIVITY ALERT: 0** 

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	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
	IMPALA ASSET MMT	012	ACI	S	100,000	14.61	n/a	n/a	3,000.00	3.0
	KORMAN	003	ACI	S	1,000	14.37	n/a	n/a	0.00	0.0
	NORTHPOINT	030	ADS	S	15 <b>,</b> 190	40.14	n/a	n/a	607.60	4.0
	KORMAN	003	AMZN	SS	3,000	40.23	n/a	n/a	0.00	0.0
	BAYPOINT TRADING/XYLEM	091	ARA	S	20,368	9.28	n/a	n/a	814.72	4.0
В	BUCK CAPITAL MGMT		ARO+LW[ARO]	SS	1,000	1.11	n/a	n/a	non-brg	150.0
В	BUCK CAPITAL MGMT		AVP	SS	20,000	21.60	3-Nov	3-Nov	non-brg	4.0
ß	BUCK CAPITAL MGMT		AXP	SS	20,000	18.99	n/a	17-Nov	non-brg	4.0
ß	BUCK CAPITAL MGMT		BBBY	С	30,000	19.15	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		BBBY	SS	100,000	19.67	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		BBBY	SS	50,000	19.23	n/a	n/a	non-brg	4.0
	BALYASNY ASSET MGMT	044	BEN	В	10,000	51.90	13-Nov	13-Nov	500.00	5.0
	BUCK CAPITAL MGMT	001	BKE	S	10,000	16.37	n/a	n/a	400.00	4.0
	NEUBERGER BERMAN	036	BRKB	S	2003,	053.60	n/a	n/a	9.00	4.5
	NEUBERGER BERMAN	036	BRY	S	43,100	12.18	n/a	n/a	1,939.50	4.5
	HUNTER GLOBAL INVESTOR	067	СВ	В	61,700	47.24	n/a	n/a	3,085.00	5.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Sh	r.
ß	BUCK CAPITAL MGMT		CCI	s	55,000	12.85	n/a	n/a	non-brg 2.	5
ß	BUCK CAPITAL MGMT		CCI	S	75,000	12.80	n/a	n/a	non-brg 2.0	0
	NORTHPOINT	030	CEDC	В	5,430	22.01	n/a	n/a	217.20 4.0	0
	EFSTATHIOU	044	CENT	В	3,000	3.00	18-Nov	18-Nov	0.00 0.0	0
	BUCK CAPITAL MGMT	001	СНН	SS	20,000	22.23	n/a	n/a	800.00 4.0	0
	NEUBERGER BERMAN	036	CHL	S	4,800	41.32	n/a	n/a	216.00 4.5	5
	ZOLIDIS	011	СМСВ	S	200	39.26	n/a	n/a	0.00 0.0	0
ß	BUCK CAPITAL MGMT		CMG	SS	10,000	43.42	23-Oct	23-0ct	non-brg 4.0	0
ß	BUCK CAPITAL MGMT		CMG	SS	15,000	42.00	23-0ct	23-0ct	non-brg 1.0	0
	IMPALA ASSET MMT	012	CNI	S	50,000	36.83	n/a	n/a	1,500.00 3.0	0
ß	BUCK CAPITAL MGMT		COF	SS	20,000	28.57	n/a	17-Nov	non-brg 4.0	0
ß	BUCK CAPITAL MGMT		COH+WA[COH]	С	1,000	2.40	n/a	n/a	non-brg 300.0	0
ß	BUCK CAPITAL MGMT		COH+WD[COH]	С	495	4.80	n/a	n/a	non-brg 300.0	0
	BUCK CAPITAL MGMT	001	СОН	S	50,000	14.85	8-Oct	22-0ct	2,000.00 4.0	0
ß	BUCK CAPITAL MGMT		COLM	SS	20,000	35.06	n/a	n/a	non-brg 4.0	0
ß	BUCK CAPITAL MGMT		CRI	SS	50,000	19.48	n/a	n/a	non-brg 2.	5

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
	IMPALA ASSET MMT	012	CTRP	В	346 <b>,</b> 732	19.41	n/a	n/a	10,401.96	3.0
	SANDLER O'NEILL ASSET	031	С	SS	100,000	8.20	15-Sep	17-Nov	3,000.00	3.0
	ZOLIDIS	011	DECK	S	100	49.93	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		DIA	SS	110,000	82.67	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		DIA	SS	50,000	83.95	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		DIN	SS	10,000	11.13	n/a	n/a	non-brg	2.5
ß	BUCK CAPITAL MGMT		DIS	SS	40,000	20.27	n/a	n/a	non-brg	4.0
	NOLAN	067	DUG	В	67	39.65	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		DV	SS	20,000	53.49	n/a	n/a	non-brg	4.0
	NEUBERGER BERMAN	036	DW	S	16,400	10.83	n/a	n/a	738.00	4.5
ß	BUCK CAPITAL MGMT		EAT	С	650	6.78	n/a	24-Apr	non-brg	3.0
ß	BUCK CAPITAL MGMT		EAT	SS	50	6.55	n/a	24-Apr	non-brg	1.0
ß	BUCK CAPITAL MGMT		EAT	SS	700	6.77	n/a	24-Apr	non-brg	3.0
ß	BUCK CAPITAL MGMT		EDU+WK[EDU]	С	300	7.80	n/a	n/a	non-brg	300.0
ß	BUCK CAPITAL MGMT		EDU	С	20,000	47.86	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		EDU	SS	13,100	49.86	n/a	n/a	non-brg	2.0
ß	BUCK CAPITAL MGMT		EDU	SS	46,900	49.87	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		EL	SS	200,000	28.71	n/a	29-0ct	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.	
	CENTURION GLOBAL MGMT LL	041	EMC	В	25,000	10.19	n/a	n/a	750.00	3.0	
	NEUBERGER BERMAN	036	EOG	S	2,500	78.71	n/a	n/a	112.50	4.5	
	EFSTATHIOU	044	EPG	S	2,000	0.36	n/a	n/a	0.00	0.0	
	NORTHPOINT	030	EPIQ	В	2,000	14.93	n/a	n/a	80.00	4.0	
	COLUMBIA PARTNERS	028	FDO	SS	24,789	27.11	23-Jul	7-Nov	743.67	3.0	
	TRELLUS PARTNERS LP	028	FDO	SS	30,000	27.24	23-Jul	7-Nov	1,500.00	5.0	
	ROYCE TRADING	216	FII	В	21,000	20.12	13-Nov	13-Nov	1,050.00	5.0	
	SIGMA CAPITAL ASSOCIATES	237	FL	SS	25,000	9.59	7-0ct	14-Nov	1,250.00	5.0	
	PROSPECTOR PARTNERS LLC	036	FOR	В	25 <b>,</b> 000	3.96	n/a	3-0ct	1,000.00	4.0	
ß	BUCK CAPITAL MGMT		FOSL	s	100,000	13.49	10-Nov	11-Nov	non-brg	1.0	
ß	BUCK CAPITAL MGMT		FOSL	S	100,000	13.68	10-Nov	11-Nov	non-brg	4.0	
ß	BUCK CAPITAL MGMT		FOSL	S	50,000	13.65	10-Nov	11-Nov	non-brg	1.0	
ß	BUCK CAPITAL MGMT		FOSL	S	61,221	13.38	10-Nov	11-Nov	non-brg	1.0	
	BUCK CAPITAL MGMT	001	FRT	S	10,000	48.54	n/a	n/a	400.00	4.0	
ß	BUCK CAPITAL MGMT		FRT	SS	10,000	51.42	n/a	n/a	non-brg	1.0	
	NORTHPOINT	030	FULT	В	1,200	10.33	n/a	n/a	48.00	4.0	
a	BUCK CAPITAL MGMT		GCO+LD[GCO]	SS	3,000	1.90	n/a	n/a	non-brg	300.0	
ß	BUCK CAPITAL MGMT		GCO	S	130,000	18.33	n/a	10-Jan	non-brg	4.0	

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
NORTHPOINT	030	GES	S	18,000	12.89	n/a	n/a	720.00	4.0
BENCHMARK	028	GIII	В	10,000	8.43	n/a	n/a	500.00	5.0
HUNTER GLOBAL INVES	TOR 067	GIS	S	35,000	64.76	n/a	n/a	1,750.00	5.0
DC CAPITAL	044	GLW	S	100,000	8.00	13-Nov	18-Nov	3,500.00	3.5
IMPALA ASSET MMT	012	GLW	S	110,600	7.74	13-Nov	18-Nov	1,106.00	1.0
BUCK CAPITAL MGMT		HBI	S	10,000	12.71	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		HD	SS	60,000	20.61	n/a	27-Jul	non-brg	4.0
BUCK CAPITAL MGMT		HEW	SS	20,000	26.17	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		HOG	SS	70,000	14.55	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		HOTT	S	50,000	7.18	n/a	7-Nov	non-brg	3.0
PERRY PARTNERS	041	HPQ	SS	200,000	32.58	n/a	n/a	10,000.00	5.0
PNC/MERCANTILE	028	HPQ	В	27,264	32.70	n/a	n/a	1,363.20	5.0
BUCK CAPITAL MGMT		HSII	SS	10,000	20.86	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT		HSTX	s	10,000	5.06	n/a	n/a	non-brg	1.0
Steven Maguire		HSTX	S	10000	4.98	n/a	n/a	0.00	0.0
WHEELER	800	HSTX	S	8,010	5.04	n/a	n/a	0.00	0.0
J COHEN	N27	HSTX	S	180	5.38	n/a	n/a	0.00	0.0
ZOLIDIS	011	ICON	s	500	7.73	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm	.¢/Shr.	
	NEUBERGER BERMAN	036	IDC	В	16,100	20.10	n/a	n/a	724.50	4.5	
	BARROW HANLEY MEWHINNEY	031	INTC	В	1,282,500	12.84	n/a	n/a	51,300.00	4.0	
	EFSTATHIOU	044	IVZ	s	600	10.79	13-Nov	13-Nov	0.00	0.0	
	BUCK CAPITAL MGMT	001	JCG	SS	100,000	9.93	n/a	13-Nov	3,000.00	3.0	
ß	BUCK CAPITAL MGMT		JCG	SS	50,000	9.99	n/a	13-Nov	non-brg	2.0	
a	BUCK CAPITAL MGMT		JCP+WY[JCP]	С	903	10.80	n/a	n/a	non-brg	300.0	
a	BUCK CAPITAL MGMT		JCP+XX[JCP]	ss	3,000	0.60	n/a	n/a	non-brg	100.0	
	BENNETT LAWRENCE	045	JCP	SS	27,700	16.62	17-Nov	17-Nov	1,246.50	4.5	
	KORMAN	003	JNY	C	6,000	5.90	n/a	30-Oct	0.00	0.0	
ß	BUCK CAPITAL MGMT		JOSB	SS	100,000	17.41	n/a	n/a	non-brg	4.0	
ß	BUCK CAPITAL MGMT		JOSB	SS	44,200	16.89	n/a	n/a	non-brg	1.0	
ß	BUCK CAPITAL MGMT		JOSB	SS	55,800	17.71	n/a	n/a	non-brg	2.0	
	SANDLER O'NEILL ASSET	031	JPM	В	45,000	31.24	26-Sep	17-Nov	2,250.00	5.0	
	KORMAN	003	KMB	С	1,000	56.54	23-0ct	23-Oct	0.00	0.0	
	COUGAR TRADING	044	KSS	SS	2,500	28.37	n/a	14-Nov	125.00	5.0	
	PHILADELPHIA FINANCIAL	033	LAZ	В	50,000	24.01	n/a	n/a	2,000.00	4.0	
	IMPALA ASSET MMT	012	LCC	В	275 <b>,</b> 000	6.49	n/a	n/a	2,750.00	1.0	

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
	BUCK CAPITAL MGMT	001	LOW	SS	40,000	18.64	n/a	27-Jul	1,600.00	4.0
ß	BUCK CAPITAL MGMT		LOW	SS	20,000	18.92	n/a	27-Jul	non-brg	4.0
	IMPALA ASSET MMT	012	LUK	В	52,300	17.10	n/a	n/a	1,569.00	3.0
ß	BUCK CAPITAL MGMT		LVS	S	100,000	5.77	n/a	n/a	non-brg	3.0
	KORMAN	003	MEE	s	1,000	15.01	n/a	n/a	0.00	0.0
	WHEELER	800	METPRA	В	5,000	10.10	n/a	n/a	0.00	0.0
	NEUBERGER BERMAN	036	MET	В	53,600	21.38	n/a	n/a	2,412.00	4.5
	WHEELER	800	MET	В	5,000	19.31	n/a	n/a	0.00	0.0
	BUCK CAPITAL MGMT	001	MFB	s	10,000	7.53	n/a	n/a	300.00	3.0
	NORTHPOINT	030	MTZ	В	1,600	8.15	n/a	n/a	48.00	3.0
ß	BUCK CAPITAL MGMT		М	В	50,000	6.97	12-Aug	13-Nov	non-brg	3.0
ß	BUCK CAPITAL MGMT		M	S	140,000	7.05	12-Aug	13-Nov	non-brg	3.0
ß	BUCK CAPITAL MGMT		M	S	50,000	6.53	12-Aug	13-Nov	non-brg	3.0
	COBALT	041	M	В	50,000	6.98	12-Aug	13-Nov	1,500.00	3.0
	CLOVIS CAPITAL	012	NKE	В	100,000	45.80	n/a	n/a	5,000.00	5.0
	NEUBERGER BERMAN	036	NLY	S	15,400	12.91	n/a	n/a	693.00	4.5
	PNC/MERCANTILE	028	NST	В	14,346	33.12	n/a	n/a	717.30	5.0
	NORTHPOINT	030	NTLS	В	600	23.11	n/a	n/a	24.00	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
	NORTHPOINT	030	NYB	В	1,000	14.21	n/a	n/a	40.00 4.0	
	NORTHPOINT	030	PBCT	В	1,400	18.39	n/a	n/a	56.00 4.0	
	ELM RIDGE ADVISORS	044	PKG	В	64,300	13.09	11-Sep	21-Oct	2,572.00 4.0	
	N STRATTON	014	PNWIF	В	2,200	1.20	n/a	n/a	0.00 0.0	
	NORTHPOINT	030	PRE	В	200	66.11	n/a	n/a	8.00 4.0	
	BENNETT LAWRENCE	045	PRU	С	53,700	18.85	n/a	n/a	2,416.50 4.5	
	BUCK CAPITAL MGMT	001	PSA	S	30,000	62.67	n/a	n/a	1,200.00 4.0	
	CASTLEROCK	040	PVH	S	178,403	15.57	7-Nov	7-Nov	7,136.12 4.0	
ß	BUCK CAPITAL MGMT		QIA+LU[ICON]	SS	3,000	0.60	n/a	n/a	non-brg 100.0	
ß	BUCK CAPITAL MGMT		QUK+LJ[DECK]	SS	200	5.90	n/a	n/a	non-brg 300.0	
ß	BUCK CAPITAL MGMT		QUK+LK[DECK]	SS	400	6.10	n/a	n/a	non-brg 300.0	
ß	BUCK CAPITAL MGMT		QZS+WD[JOSB]	С	1,968	2.69	n/a	n/a	non-brg 300.0	
	HUNTER GLOBAL INVESTOR	067	RDK	SS	32,618	27.01	n/a	n/a	1,630.90 5.0	
ß	BUCK CAPITAL MGMT		RIMM	SS	50,000	45.39	n/a	n/a	non-brg 4.0	
ß	BUCK CAPITAL MGMT		RL+WH[RL]	С	1,000	5.26	n/a	n/a	non-brg 300.0	

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
ß	BUCK CAPITAL MGMT		RL+WI[RL]	С	6,000	7.59	n/a	n/a	non-brg	300.0
ß	BUCK CAPITAL MGMT		RL+WJ[RL]	С	1,000	10.70	n/a	n/a	non-brg	300.0
	BARCLEYS CAPITAL	041	RL	SS	30,000	36.00	n/a	6-Nov	1,200.00	4.0
ß	BUCK CAPITAL MGMT		RL	С	30,000	36.09	n/a	6-Nov	non-brg	1.0
ß	BUCK CAPITAL MGMT		RL	С	7,000	39.94	n/a	6-Nov	non-brg	4.0
ß	BUCK CAPITAL MGMT		RTH	SS	70,000	66.19	n/a	n/a	non-brg	1.0
	WHEELER	800	RUSHA	В	17,000	6.30	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		SBAC	S	200,000	13.89	n/a	n/a	non-brg	4.0
	ZOLIDIS	011	SKF	В	100	182.92	n/a	n/a	0.00	0.0
	NORTHPOINT	030	SMSI	В	20,440	5.68	n/a	n/a	613.20	3.0
	NORTHPOINT	030	SRCL	S	4,210	61.50	n/a	n/a	168.40	4.0
	NOLAN	067	sso	S	100	23.67	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		TGT	SS	20,000	31.96	17-Nov	17-Nov	non-brg	4.0
	NEUBERGER BERMAN	036	THO	S	18,600	15.06	n/a	n/a	837.00	4.5
	ZOLIDIS	011	TIF	SS	500	19.04	n/a	3-Nov	0.00	0.0
	BUCK CAPITAL MGMT	001	TJX	s	40,000	20.26	11-Aug	12-Nov	1,600.00	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	Shr.
	THE BOSTON COMPANY	401	TLB	С	62,049	2.96	7-Aug	7-Nov	930.74	1.5
	SERENGETI MGMT	030	TMK	SS	100,000	33.73	n/a	n/a	5,000.00	5.0
ß	BUCK CAPITAL MGMT		TMX	SS	20,000	17.67	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		TRLG	s	50,000	11.18	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		TSCO	SS	20,000	33.25	n/a	n/a	non-brg	4.0
	BUCK CAPITAL MGMT	001	TWB	s	102,700	3.88	n/a	3-Nov	3,081.00	3.0
ß	BUCK CAPITAL MGMT		TWTC	s	96,003	6.68	n/a	4-Jan	non-brg	3.0
	HUNTER GLOBAL INVESTOR	067	Т	В	405,750	26.18	n/a	4-Jan	16,230.00	4.0
a	BUCK CAPITAL MGMT		URBN	s	100,000	14.93	5-Nov	13-Nov	non-brg	4.0
ß	BUCK CAPITAL MGMT		URBN	S	530,000	14.76	5-Nov	13-Nov	non-brg	4.0
	ZOLIDIS	011	URBN	S	1,000	15.03	5-Nov	13-Nov	0.00	0.0
a	BUCK CAPITAL MGMT		URQ+LC[URBN]	SS	1,000	1.52	n/a	n/a	non-brg 3	300.0
ß	BUCK CAPITAL MGMT		URQ+LW[URBN]	SS	1,000	1.05	n/a	n/a	non-brg 3	300.0
ß	BUCK CAPITAL MGMT		URQ+LW[URBN]	SS	1,000	1.05	n/a	n/a	non-brg 3	300.0
a	BUCK CAPITAL MGMT		URQ+XD[URBN]	С	2,000	6.27	n/a	n/a	non-brg 3	300.0
	RAMIUS CAP	040	UST	S	50,000	68.73	n/a	n/a	2,500.00	5.0
	BAYPOINT TRADING/XYLEM	091	VCP	S	25,457	6.66	n/a	n/a	1,018.28	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/	Shr
	BUCK CAPITAL MGMT	001	VFC	S	5,000	42.89	n/a	n/a	200.00	4.0
	SANDLER O'NEILL ASSET	031	WFC	В	50,000	26.80	n/a	n/a	2,500.00	5.0
3	BUCK CAPITAL MGMT		WMS	SS	20,000	20.49	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		WMT	S	100,000	51.28	10-Oct	13-Nov	non-brg	4.0
ß	BUCK CAPITAL MGMT		WMT	S	50,000	51.79	10-0ct	13-Nov	non-brg	4.0
ß	BUCK CAPITAL MGMT		XRT	С	80,000	16.93	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		XRT	SS	250,000	17.03	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		YUM	SS	40,000	24.93	14-Aug	20-Oct	non-brg	4.0
3	BUCK CAPITAL MGMT		ZJQ+LV[TRLG]	SS	1,000	1.11	n/a	n/a	non-brg 30	0.0
ß	BUCK CAPITAL MGMT		ZJQ+WE[TRLG]	С	2,000	12.55	n/a	n/a	non-brg 30	0.0
ß	BUCK CAPITAL MGMT		ZLC	SS	11,200	10.99	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		ZLC	SS	115,000	10.72	n/a	n/a	non-brg	<b>4</b> .0
ß	BUCK CAPITAL MGMT		ZLC	SS	128,800	10.57	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		ZLC	SS	45,000	10.57	n/a	n/a	non-brg	2.0
	ZOLIDIS	011	ZQK	S	10,000	1.39	3-Nov	3-Nov	0.00	0.0

TOTAL (Trade Date): 183,299.79

## Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
AO, CRT	11/14	ROSEDALE CAPITAL	046	CMI	В	10,000	21.45	14-Nov	14-Nov	500.00	5.0
AO,CXL	11/14	ROSEDALE CAPITAL	046	CMI	В	10,000	21.45	14-Nov	14-Nov	600.00	6.0
AO, CRT	11/17	STRAUSS ASSET MGMT	040	GRA	В	15,000	4.00	n/a	n/a	450.00	3.0
AO,CXL	11/17	STRAUSS ASSET MGMT	040	GRA	В	15,000	4.00	n/a	n/a	600.00	4.0
AO, CRT	11/07	BUCK CAPITAL MGMT	001	MFB	s	20,000	10.06	n/a	n/a	800.00	4.0
AO, CXL	11/07	BUCK CAPITAL MGMT	001	MFB	s	20,000	10.06	n/a	n/a	600.00	3.0

TOTAL (Trade Date):	183,299.79	
TOTAL (AO, CXL, CRT):	-50.00	

TOTAL (RUN DATE) / NFS: 183,249.79

MRI Securities with Trade Activity on 18-Nov. CENT

MRI Securities without Trade Activity on 18-Nov. AXE, ETN, JCI, LTD, WBC

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

T-Date = 7%

YTD = 20%

## Legend:

O: 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