



Daily Compliance Activity Report

Trade Date: 11/12/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Glenn Redemann		AA	B	6	0.12	n/a	n/a	0.00	0.0
Glenn Redemann		AA	B	6	0.22	n/a	n/a	0.00	0.0
Glenn Redemann		AA	SS	4	0.64	n/a	n/a	0.00	0.0
Glenn Redemann		AA	SS	4	0.88	n/a	n/a	0.00	0.0
MATRIX ASSET ADV.	036	ADI	B	37,300	32.25	n/a	n/a	1,492.00	4.0
COUGAR TRADING	044	AEO	B	5,000	22.20	9-Nov	12-Nov	250.00	5.0
NCM CAPITAL MGMT	035	AMG	B	300	119.62	8-Nov	8-Nov	15.00	5.0
CATAPULT	040	AMTD	B	7,500	17.60	n/a	n/a	375.00	5.0
BUCK CAPITAL MGMT		AMT	C	20,400	41.96	n/a	n/a	non-brg	4.0
Glenn Redemann		AMT	B	12	0.80	n/a	n/a	0.00	0.0
Glenn Redemann		AMT	B	12	0.85	n/a	n/a	0.00	0.0
Glenn Redemann		AMT	SS	8	1.45	n/a	n/a	0.00	0.0
Glenn Redemann		AMT	SS	8	1.52	n/a	n/a	0.00	0.0
MS PRINCIPAL STRATEGIES	041	AMZN	B	25,000	76.88	n/a	n/a	1,250.00	5.0
GALLEON MGMT LP	033	ANDE	S	10,000	40.40	n/a	n/a	500.00	5.0
MATTHES CAPITAL MGMT	033	ANN	B	40,000	31.27	6-Aug	12-Nov	1,600.00	4.0
PECONIC PARTNERS	036	ANN	C	100,000	31.43	6-Aug	12-Nov	5,000.00	5.0
BARR	096	AXP	S	675	56.80	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Õ Glenn Redemann		BAC	B	12	0.43	19-Oct	8-Nov	0.00	0.0
Õ Glenn Redemann		BAC	B	12	1.08	19-Oct	8-Nov	0.00	0.0
Õ Glenn Redemann		BAC	SS	8	1.05	19-Oct	8-Nov	0.00	0.0
Õ Glenn Redemann		BAC	SS	8	1.74	19-Oct	8-Nov	0.00	0.0
NCM CAPITAL MGMT	035	BCR	B	400	84.54	n/a	22-Apr	20.00	5.0
DIAMONDBACK CAP MGMT	232	BEAS	S	250,000	16.71	n/a	3-Apr	12,500.00	5.0
NCM CAPITAL MGMT	035	BEAV	B	900	47.37	n/a	n/a	45.00	5.0
GREENLIGHT CAPITAL	041	BIG	B	161,733	20.73	26-Oct	9-Nov	8,086.65	5.0
MERRILL LYNCH STRATEGICI	034	BJS	B	25,000	24.64	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	BJ	B	10,000	33.61	n/a	27-Jul	400.00	4.0
ß BUCK CAPITAL MGMT		BJ	C	70,000	34.02	n/a	27-Jul	non-brg	4.0
NCM CAPITAL MGMT	035	BLK	B	100	195.89	17-Oct	6-Nov	5.00	5.0
ß BUCK CAPITAL MGMT		BONT	B	10,000	13.15	9-Nov	12-Nov	non-brg	4.0
LEDDY	035	BONT	B	1,700	13.39	9-Nov	12-Nov	0.00	0.0
MAGUIRE	090	BONT	B	3,000	13.20	9-Nov	12-Nov	0.00	0.0
NCM CAPITAL MGMT	035	BYI	B	900	39.84	n/a	n/a	45.00	5.0
NCM CAPITAL MGMT	035	B	B	800	34.89	n/a	n/a	40.00	5.0
GOLDMAN SACHS ASSET MGMT	044	CBG	B	100,000	20.44	n/a	n/a	1,500.00	1.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE CAPITAL	038	CBS	B	19,000	27.22	n/a	n/a	950.00	5.0
BUCK CAPITAL MGMT	001	CCE	SS	30,000	25.14	n/a	n/a	1,200.00	4.0
Õ Glenn Redemann		CELG	B	6	0.69	n/a	n/a	0.00	0.0
Õ Glenn Redemann		CELG	B	6	1.15	n/a	n/a	0.00	0.0
Õ Glenn Redemann		CELG	SS	4	1.50	n/a	n/a	0.00	0.0
Õ Glenn Redemann		CELG	SS	4	2.16	n/a	n/a	0.00	0.0
MKT MAKER	099	CENT	S	100	7.14	n/a	18-Sep	0.00	0.0
B BUCK CAPITAL MGMT		CHCG	S	100,000	3.72	n/a	n/a	non-brg	2.5
NCM CAPITAL MGMT	035	CIEN	B	800	44.82	n/a	22-Mar	40.00	5.0
BUCK CAPITAL MGMT	001	CLX	SS	30,000	65.58	2-Aug	1-Nov	1,200.00	4.0
MKT MAKER	099	CMCSK	B	100	19.00	n/a	n/a	0.00	0.0
MS PRINCIPAL STRATEGIES	041	CMG	B	25,000	118.42	n/a	24-Apr	1,250.00	5.0
NCM CAPITAL MGMT	035	CNET	B	2,000	7.95	n/a	n/a	100.00	5.0
BUCK CAPITAL MGMT	001	COH	S	25,000	32.93	24-Oct	24-Oct	1,000.00	4.0
SCOPUS FUND	041	COH	B	50,000	34.16	24-Oct	24-Oct	2,500.00	5.0
NCM CAPITAL MGMT	035	COL	B	700	73.91	n/a	n/a	35.00	5.0
LOCUS WOOD CAPITAL MGMT	044	CPLP	S	12,600	23.05	n/a	n/a	504.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NCM CAPITAL MGMT	035	CROX	B	5,300	37.66	n/a	n/a	265.00	5.0
LUCHANSKY2	036	CROX	SS	100	35.92	n/a	n/a	0.00	0.0
MERRILL LYNCH STRATEGICI	034	DD	B	156,000	47.43	n/a	23-Oct	5,250.00	2.5
DSG CAPITAL	225	DISH	B	5,000	42.00	4-Oct	12-Nov	250.00	5.0
STRAUSS ASSET MGMT	040	DISH	SS	20,000	42.83	4-Oct	12-Nov	1,000.00	5.0
PRINCIPLE CAPITAL	040	DKS	B	43,400	28.28	26-Oct	26-Oct	1,302.00	3.0
B BUCK CAPITAL MGMT		DLTR	C	90,000	29.22	9-Nov	9-Nov	non-brg	4.0
LUCHANSKY	036	DLTR	S	200	29.07	9-Nov	9-Nov	0.00	0.0
ENTRUST CAPITAL	040	DSW	B	24,900	22.01	26-Oct	5-Nov	1,245.00	5.0
NCM CAPITAL MGMT	035	ESV	B	400	55.07	n/a	n/a	20.00	5.0
HIGHBRIDGE CAPITAL	038	ETM	B	44,000	18.93	n/a	n/a	2,200.00	5.0
MAZAMA CAPITAL MGMT.	035	FIG	S	44,000	17.21	n/a	n/a	1,760.00	4.0
LEDY	035	FIG	B	1,000	17.20	n/a	n/a	0.00	0.0
NCM CAPITAL MGMT	035	FIS	S	11,300	43.08	n/a	n/a	565.00	5.0
CAPITAL GROWTH MGMT.	241	FLR	S	100,000	134.35	n/a	n/a	5,000.00	5.0
REINHART & MAHONEY	031	FSP	S	35,022	15.00	n/a	n/a	1,751.10	5.0
NCM CAPITAL MGMT	035	GES	B	500	47.20	n/a	n/a	25.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		GIII	B	40,000	13.65	n/a	n/a	non-brg	4.0
NCM CAPITAL MGMT	035	GLF	B	200	42.69	n/a	n/a	10.00	5.0
LEVIN CAPITAL STRATEGIES	012	GM	C	10,000	31.04	n/a	8-Nov	400.00	4.0
NCM CAPITAL MGMT	035	GNTX	B	1,300	19.12	24-Jul	23-Oct	65.00	5.0
NORTHPOINT	030	GVA	S	32,000	38.04	n/a	n/a	1,280.00	4.0
NCM CAPITAL MGMT	035	HANS	B	1,100	47.87	n/a	n/a	55.00	5.0
STERLING JOHNSTON	035	HIBB	S	80,000	21.99	n/a	n/a	4,000.00	5.0
NEUBERGER BERMAN	036	HPQ	B	1,560	48.60	n/a	n/a	78.00	5.0
NCM CAPITAL MGMT	035	HRS	B	700	62.38	30-Oct	2-Nov	35.00	5.0
CASTLE ARK	031	HSP	C	1,240	39.79	n/a	22-Apr	74.40	6.0
NCM CAPITAL MGMT	035	HUM	B	500	73.33	n/a	n/a	25.00	5.0
NCM CAPITAL MGMT	035	IART	B	300	41.83	n/a	22-Apr	15.00	5.0
GOLDMAN SACHS ASSET MGMT	044	IBM	B	156,543	102.79	n/a	n/a	2,348.15	1.5
B BUCK CAPITAL MGMT		IHP	SS	20,000	57.86	n/a	n/a	non-brg	4.0
NCM CAPITAL MGMT	035	IMA	B	500	60.72	n/a	n/a	25.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GOLDMAN SACHS ASSET MGMT	044	IRM	S	77,000	36.26	n/a	n/a	1,540.00	2.0
REINHART & MAHONEY	031	IRM	B	4,720	36.02	n/a	n/a	188.80	4.0
REINHART & MAHONEY	031	ISIL	B	3,200	28.76	n/a	n/a	128.00	4.0
NCM CAPITAL MGMT	035	ITC	B	400	55.94	n/a	n/a	20.00	5.0
NCM CAPITAL MGMT	035	ITT	B	700	63.06	n/a	29-Oct	35.00	5.0
DIAMONDBACK CAP MGMT	232	IVZ	B	25,000	27.11	8-Oct	12-Nov	1,250.00	5.0
NCM CAPITAL MGMT	035	IVZ	B	1,300	26.86	8-Oct	12-Nov	65.00	5.0
REINHART & MAHONEY	031	IVZ	B	8,870	27.01	8-Oct	12-Nov	354.80	4.0
COUGAR TRADING	044	JCG	S	1,806	39.54	24-Oct	24-Oct	90.30	5.0
APEX CAPITAL MGMT.	091	JCP	B	20,000	47.19	9-Nov	12-Nov	1,000.00	5.0
BUCK CAPITAL MGMT	001	JCP	B	100,000	47.61	9-Nov	12-Nov	4,000.00	4.0
REINHART & MAHONEY	031	JCP	B	3,630	46.87	9-Nov	12-Nov	145.20	4.0
MAGUIRE	090	JCP	B	2,000	47.05	9-Nov	12-Nov	0.00	0.0
DIAMONDBACK CAP MGMT	232	JNS	S	25,000	34.55	19-Oct	2-Nov	1,250.00	5.0
BUCK CAPITAL MGMT	001	JNY	SS	10,000	20.43	n/a	1-Nov	400.00	4.0
APEX CAPITAL MGMT.	091	JWN	B	50,000	33.35	12-Oct	12-Nov	2,500.00	5.0
REINHART & MAHONEY	031	KAMN	S	3,400	34.65	n/a	n/a	136.00	4.0
BUCK CAPITAL MGMT	001	KMB	SS	30,000	68.47	n/a	n/a	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
REINHART & MAHONEY	031	KMT	B	1,120	84.72	n/a	n/a	44.80	4.0
SUFFOLK CAPITAL MGMT	040	KO	S	112,200	60.56	n/a	n/a	4,488.00	4.0
REINHART & MAHONEY	031	KSS	B	2,640	48.96	9-Nov	12-Nov	105.60	4.0
BUCK CAPITAL MGMT	001	KWD	B	30,000	16.66	n/a	n/a	1,200.00	4.0
REINHART & MAHONEY	031	LAMR	B	890	51.40	n/a	n/a	35.60	4.0
NCM CAPITAL MGMT	035	LBTYA	B	700	36.70	n/a	n/a	35.00	5.0
SARAS CAPITAL	038	LM	S	25,000	73.56	13-Nov	9-Nov	1,250.00	5.0
REINHART & MAHONEY	031	LOGI	B	3,280	33.36	n/a	n/a	131.20	4.0
NCM CAPITAL MGMT	035	LRCX	B	500	47.32	n/a	n/a	25.00	5.0
BUCK CAPITAL MGMT	001	LTD	B	30,000	19.08	n/a	12-Nov	1,200.00	4.0
MKT MAKER	099	LVL	S	107	2.92	24-Oct	1-Nov	0.00	0.0
PERRY PARTNERS	041	LYO	B	128,800	47.10	n/a	14-May	3,864.00	3.0
NCM CAPITAL MGMT	035	MAN	B	100	65.33	n/a	n/a	5.00	5.0
REINHART & MAHONEY	031	MAN	B	3,880	64.95	n/a	n/a	155.20	4.0
APEX CAPITAL MGMT.	91	MAT	S	380,000	20.96	n/a	n/a	19,000.00	5.0
MANNING & NAPIER	034	MCCC	B	300,000	4.83	7-Nov	7-Nov	9,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NCM CAPITAL MGMT	035	MDR	B	2,000	51.85	n/a	n/a	100.00	5.0
REINHART & MAHONEY	031	MEG	S	4,000	27.19	n/a	n/a	160.00	4.0
NCM CAPITAL MGMT	035	MICC	B	400	103.68	n/a	n/a	20.00	5.0
NCM CAPITAL MGMT	035	MIL	B	400	80.43	n/a	n/a	20.00	5.0
NCM CAPITAL MGMT	035	MOGN	B	2,000	29.16	n/a	n/a	100.00	5.0
DSG CAPITAL	225	MOT	S	17,000	16.62	n/a	n/a	850.00	5.0
PILOT ROCK	028	MOT	S	785,000	16.54	n/a	n/a	23,550.00	3.0
MERRILL LYNCH STRATEGICI	034	MRO	S	25,000	58.67	n/a	n/a	1,250.00	5.0
REINHART & MAHONEY	031	MRX	B	7,330	27.91	n/a	n/a	293.20	4.0
MILLENIUM PARTNERS	028	MSM	SS	5,000	45.11	n/a	n/a	250.00	5.0
NCM CAPITAL MGMT	035	MUR	B	600	72.08	n/a	n/a	30.00	5.0
B BUCK CAPITAL MGMT		MVRX	C	170,900	156.21	n/a	n/a	non-brg	15.6
REINHART & MAHONEY	031	MV	B	3,730	23.34	n/a	n/a	149.20	4.0
COUGAR TRADING	044	M	B	5,000	29.08	9-Nov	12-Nov	250.00	5.0
COUGAR TRADING	044	M	S	25,000	29.67	9-Nov	12-Nov	1,250.00	5.0
JP MORGAN VENTURES	046	M	B	10,000	29.24	9-Nov	12-Nov	500.00	5.0
MAGUIRE	090	M	B	1,500	29.28	9-Nov	12-Nov	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MKT MAKER	099	NEXC	B	12	4.65	n/a	n/a	0.00	0.0
NCM CAPITAL MGMT	035	NUAN	B	1,600	20.25	n/a	n/a	80.00	5.0
Õ Glenn Redemann		NVDA	B	12	0.85	n/a	n/a	0.00	0.0
Õ Glenn Redemann		NVDA	B	12	0.87	n/a	n/a	0.00	0.0
Õ Glenn Redemann		NVDA	SS	8	1.50	n/a	n/a	0.00	0.0
Õ Glenn Redemann		NVDA	SS	8	1.52	n/a	n/a	0.00	0.0
COUGAR TRADING	044	NWY	S	10,000	7.64	n/a	12-Nov	500.00	5.0
REINHART & MAHONEY	031	OFIX	S	3,000	57.43	n/a	n/a	120.00	4.0
B BUCK CAPITAL MGMT		OIH	C	40,000	181.02	n/a	n/a	non-brg	1.0
NCM CAPITAL MGMT	035	OSIP	B	18,200	41.97	n/a	n/a	910.00	5.0
NCM CAPITAL MGMT	035	PCLN	B	400	102.06	n/a	n/a	20.00	5.0
BUCK CAPITAL MGMT	001	PEP	SS	30,000	72.84	n/a	n/a	1,200.00	4.0
NCM CAPITAL MGMT	035	PKG	B	700	30.56	18-Oct	8-Nov	35.00	5.0
REINHART & MAHONEY	031	PLCM	B	6,420	26.04	n/a	22-Mar	256.80	4.0
NCM CAPITAL MGMT	035	PPC	B	700	25.53	n/a	n/a	35.00	5.0
REINHART & MAHONEY	031	PPDI	B	6,450	41.01	n/a	n/a	258.00	4.0
WAGONHOUND	048	PVH	S	8,860	42.16	13-Aug	29-Aug	354.40	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEDDY	035	PVH	B	500	42.54	13-Aug	29-Aug	0.00	0.0
COUGAR TRADING	044	RL	B	5,000	72.09	8-Nov	8-Nov	250.00	5.0
HIGHBRIDGE CAPITAL	038	ROIAK	B	63,000	2.93	n/a	n/a	1,890.00	3.0
BULL PATH CAPITAL	044	ROST	S	21,000	26.39	n/a	n/a	1,050.00	5.0
REINHART & MAHONEY	031	RSG	B	2,630	33.46	n/a	n/a	105.20	4.0
B BUCK CAPITAL MGMT		RTH	C	140,000	93.38	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		RTH	C	145,000	94.27	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		RTH	C	150,000	93.16	n/a	n/a	non-brg	2.0
REINHART & MAHONEY	031	RVBD	B	5,990	26.89	n/a	n/a	239.60	4.0
LEDDY	035	RVI	S	1,900	7.57	n/a	n/a	0.00	0.0
REINHART & MAHONEY	031	SALM	S	8,900	7.97	n/a	n/a	356.00	4.0
NORTHPOINT	030	SGR	S	24,600	65.95	n/a	n/a	984.00	4.0
ZOLIDIS	011	SHOE	SS	2,000	1.50	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKS	B	100,000	20.08	n/a	n/a	4,000.00	4.0
BUCK CAPITAL MGMT	001	SKX	S	30,000	21.58	n/a	13-Mar	1,200.00	4.0
LEDDY	035	SLB	B	150	90.95	n/a	n/a	0.00	0.0
MAGUIRE	039	SMG	C	200	37.50	1-Nov	1-Nov	0.00	0.0

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NCM CAPITAL MGMT	035	SNA	B	600	47.70	n/a	n/a	30.00	5.0
REINHART & MAHONEY	031	SNS	S	15,000	13.51	n/a	n/a	600.00	4.0
DEEPHAVEN	031	SPY	SS	50,000	145.85	n/a	n/a	2,000.00	4.0
NEUBERGER BERMAN	036	SPY	S	515	145.65	n/a	n/a	25.75	5.0
HIGHBRIDGE CAPITAL	038	SSCC	S	42,352	11.01	n/a	26-Oct	2,117.60	5.0
BUCK CAPITAL MGMT	001	TBL	B	50,000	17.08	n/a	13-Mar	2,000.00	4.0
NCM CAPITAL MGMT	035	TDSS	B	300	61.30	n/a	n/a	15.00	5.0
NCM CAPITAL MGMT	035	TECD	B	800	36.83	n/a	n/a	40.00	5.0
BUCK CAPITAL MGMT	001	TGT	B	10,000	57.16	n/a	27-Jul	400.00	4.0
AMBER CAPITAL	046	TIF	SS	447,500	46.01	18-Oct	18-Oct	17,900.00	4.0
APEX CAPITAL MGMT.	091	TIF	SS	60,000	46.13	18-Oct	18-Oct	3,000.00	5.0
BUCK CAPITAL MGMT	001	TIF	B	3,700	46.47	18-Oct	18-Oct	148.00	4.0
B BUCK CAPITAL MGMT		TIF	C	36,300	46.89	18-Oct	18-Oct	non-brg	4.0
GLG PARTNERS	034	TIF	B	102,503	46.83	18-Oct	18-Oct	5,125.15	5.0
B BUCK CAPITAL MGMT		TIN	B	30,000	47.13	9-Nov	9-Nov	non-brg	4.0
XYLEM GLOBAL	091	TIN	B	40,000	47.44	9-Nov	9-Nov	2,000.00	5.0
OPPENHEIMER MGMT.	036	TJX	S	75,000	29.29	21-Sep	12-Nov	3,000.00	4.0
REINHART & MAHONEY	031	TMO	B	2,440	57.22	n/a	n/a	97.60	4.0

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REINHART & MAHONEY	031	TNB	S	5,000	52.15	n/a	n/a	200.00	4.0
BUCK CAPITAL MGMT	001	TOL	SS	30,000	21.35	n/a	n/a	1,200.00	4.0
B BUCK CAPITAL MGMT		TRLG	S	15,000	18.24	n/a	n/a	non-brg	4.0
PRINCIPLE CAPITAL	040	TUP	B	28,600	32.15	n/a	n/a	858.00	3.0
COUGAR TRADING	044	TWB	S	5,000	29.75	2-Oct	2-Oct	250.00	5.0
NCM CAPITAL MGMT	035	TXT	B	800	66.72	n/a	n/a	40.00	5.0
B BUCK CAPITAL MGMT		URBN	S	10,000	26.01	9-Nov	12-Nov	non-brg	4.0
REINHART & MAHONEY	031	USM	S	1,600	86.67	n/a	n/a	64.00	4.0
THIRD POINT MGMT	044	VFC	C	125,000	81.37	n/a	n/a	5,000.00	4.0
B BUCK CAPITAL MGMT		VIRL	S	1,680	8.45	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		VLCM	B	10,000	26.20	n/a	n/a	non-brg	4.0
NEUBERGER BERMAN	036	VTR	B	42,200	42.57	n/a	n/a	2,110.00	5.0
PRIME LOGIC ADV	039	WAG	S	30,000	38.97	n/a	n/a	1,500.00	5.0
FORD FDN.	032	WB	S	50,000	41.86	n/a	n/a	2,500.00	5.0
NCM CAPITAL MGMT	035	WMB	B	1,300	34.77	n/a	n/a	65.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		WMT	C	50,000	43.48	n/a	27-Jul	non-brg	4.0
REINHART & MAHONEY	031	WR	S	5,000	25.90	n/a	n/a	200.00	4.0
BUCK CAPITAL MGMT	001	WWY	SS	30,000	61.07	n/a	n/a	1,200.00	4.0
NCM CAPITAL MGMT	035	WW	B	200	49.91	n/a	n/a	10.00	5.0
NCM CAPITAL MGMT	035	WYN	S	16,298	29.29	n/a	n/a	814.90	5.0
NCM CAPITAL MGMT	035	XEC	B	600	40.66	n/a	n/a	30.00	5.0
REINHART & MAHONEY	031	YDNT	S	624	23.46	n/a	n/a	24.96	4.0
GALLEON MGMT LP	033	ZOLT	B	10,000	39.26	n/a	n/a	500.00	5.0
COUGAR TRADING	044	ZQK	SS	4,358	12.50	n/a	31-Oct	217.90	5.0
B BUCK CAPITAL MGMT		ZUMZ	B	10,000	26.78	n/a	n/a	non-brg	4.0
TOTAL (Trade Date):							224,939.06		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CRT	11/09	FINANCIAL STOCK LP	028	KEY	B	4,888	26.17	n/a	n/a	195.52	4.0
AO,CXL	11/09	FINANCIAL STOCK LP	028	KEY	B	4,888	26.17	n/a	n/a	0.00	0.0
AO,	11/09	TRELLUS PARTNERS LP	028	KMX	SS	100,000	20.05	n/a	10-Jan	5000.00	5.0
AO,	11/09	DIAMONDBACK CAP MGMT	039	ODP	SS	30,000	18.13	n/a	27-Jul	1500.00	5.0
AO,CXL	11/09	BLUE HARBOR	036	PLCE	B	36,000	24.64	26-Sep	12-Nov	1440.00	4.0
AO,CRT	11/09	ROARING BLUE LION MGMT	036	PLCE	B	36,000	24.64	26-Sep	12-Nov	1440.00	4.0
AO,	11/09	DIAMONDBACK CAP MGMT	232	PNC	S	25,000	69.53	n/a	n/a	1250.00	5.0
AO,	11/09	MKT MAKER	099	PSUN	S	74	15.00	n/a	12-Nov	0.00	0.0
AO,CXL	11/09	MKT MAKER	099	PSUN	S	74	15.45	n/a	12-Nov	0.00	0.0
AO,CXL	11/09	HIGHBRIDGE CAPITAL	038	ROIAK	B	60,000	3.00	n/a	n/a	3000.00	5.0
AO,CRT	11/09	HIGHBRIDGE CAPITAL	038	ROIAK	B	60,000	3.00	n/a	n/a	1800.00	3.0
AO,CRT	11/09	MILLENIUUM PARTNERS	028	TROW	B	50,000	59.02	19-Oct	23-Oct	2500.00	5.0
AO,CXL	11/09	MILLENIUUM PARTNERS	028	TROW	B	50,000	59.02	19-Oct	23-Oct	2500.00	5.0
AO,CXL	11/09	DAVIDSON TRUST CO	033	USB	B	800	30.88	n/a	n/a	40.00	5.0
AO,CRT	11/09	DAVIDSON TRUST CO	033	USB	B	800	30.88	n/a	n/a	72.00	9.0
AO,CRT	11/09	MILLENIUUM PARTNERS	028	UTX	B	15,000	74.07	n/a	n/a	750.00	5.0
AO,CXL	11/09	MILLENIUUM PARTNERS	028	UTX	B	15,000	74.07	n/a	n/a	750.00	5.0
TOTAL (AO, CXL, CRT) :										6,777.52	

TOTAL (Trade Date):	224,939.06
TOTAL (AO, CXL, CRT):	6,777.52

TOTAL (RUN DATE) / NFS:	231,716.58
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MRI Securities with Trade Activity on 12-Nov. NONE

MRI Securities without Trade Activity on 12-Nov. NONE
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BRG comm. as a % of BCM Total Comm. paid. T-Date = 30% 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