



Daily Compliance Activity Report

Trade Date: 10/16/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PILOT ROCK	028	AAPL	S	100,000	95.12	n/a	n/a	4,000.00	4.0
LEDDY	035	AAPL	B	100	97.21	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	ABX	S	20,000	25.21	n/a	n/a	800.00	4.0
B BUCK CAPITAL MGMT		ACC	C	4,800	25.76	n/a	n/a	non-brg	4.0
COUGAR TRADING	044	AEO	B	15,000	9.56	n/a	10-Oct	750.00	5.0
JMP ASSET MGMT	210	AG	S	2,700	29.55	n/a	30-Jul	135.00	5.0
SINCUTMA	031	AG	S	65	30.32	n/a	30-Jul	0.00	0.0
B BUCK CAPITAL MGMT		AMB	C	4,200	28.00	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		AMG	B	10,000	51.23	6-Oct	16-Oct	non-brg	1.0
B BUCK CAPITAL MGMT		ANF+KG	SS	1,000	1.43	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	ANF	B	100,000	29.30	7-Aug	10-Oct	4,000.00	4.0
BUCK CAPITAL MGMT	001	AN	SS	119,300	6.82	15-Oct	15-Oct	4,772.00	4.0
COUGAR TRADING	044	ARG	B	5,000	35.30	13-Oct	13-Oct	250.00	5.0
COUGAR TRADING	044	ARG	S	5,000	33.31	13-Oct	13-Oct	250.00	5.0
B BUCK CAPITAL MGMT		AVB	C	1,700	71.36	n/a	n/a	non-brg	4.0
PRINCIPLE CAPITAL	040	AVP	SS	36,100	28.70	10-Oct	10-Oct	1,083.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		AXP	SS	50,000	22.77	n/a	15-Oct	non-brg	4.0
ENDEAVOUR CAPITAL	035	BAC	S	123,600	22.79	15-Oct	15-Oct	6,180.00	5.0
NATIONAL BK OF CAN	031	BAC	S	45,000	22.36	15-Oct	15-Oct	1,800.00	4.0
BUCK CAPITAL MGMT		BBBY	SS	50,000	23.69	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		BIG	SS	70,000	19.98	29-May	9-Oct	non-brg	4.0
CADIAN CAPITAL	067	BIG	B	25,000	20.99	29-May	9-Oct	1,250.00	5.0
FARALLON CAP MGMT	040	BIG	B	240,000	20.18	29-May	9-Oct	9,600.00	4.0
BUCK CAPITAL MGMT		BJ	SS	30,000	31.21	n/a	27-Jul	non-brg	4.0
BUCK CAPITAL MGMT	001	BLK	B	1,000	139.62	n/a	16-Oct	40.00	4.0
LEDDY	035	BONT	S	1,281	2.27	n/a	10-Oct	0.00	0.0
BUCK CAPITAL MGMT		BRE	C	3,000	34.85	n/a	n/a	non-brg	4.0
BUCK	015	BUCY	C	1,000	23.52	5-Sep	5-Sep	0.00	0.0
BUCK	015	BUCY	SS	1,000	24.20	5-Sep	5-Sep	0.00	0.0
BUCK CAPITAL MGMT		BXP	C	300	65.25	n/a	n/a	non-brg	4.0
MERRILL ASSET	032	BXS	B	8,100	24.74	n/a	n/a	364.50	4.5
BUCK CAPITAL MGMT	001	BYI	B	40,000	22.76	n/a	n/a	1,600.00	4.0
BUCK CAPITAL MGMT		BYI	B	50,000	22.55	n/a	n/a	non-brg	4.0
CATAPULT	040	BYI	S	3,000	21.85	n/a	n/a	150.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		CAL	B	15,000	14.49	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		CBL	C	29,700	9.63	n/a	n/a	non-brg	4.0
RAINIER INV MGMT	035	CCC	S	66,600	15.93	n/a	n/a	3,330.00	5.0
RAINIER INV MGMT	035	CGX	S	64,175	15.06	n/a	n/a	3,208.75	5.0
ß BUCK CAPITAL MGMT		CIT	B	200,000	3.38	n/a	16-Oct	non-brg	3.0
ß BUCK CAPITAL MGMT		CJY+XG	SS	250	3.20	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		CLP	C	3,400	12.13	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		CMG	SS	25,000	41.15	13-Oct	15-Oct	non-brg	4.0
HARVEST MGMT	039	COST	S	20,000	52.87	n/a	27-Jul	1,000.00	5.0
N STRATTON	014	CPI	B	74	22.00	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CPT	C	2,700	32.50	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		CRI	S	45,500	14.05	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		CUZ	C	2,500	18.01	n/a	n/a	non-brg	4.0
Õ Raghav Nayar		C	B	128	15.70	15-Sep	15-Oct	0.00	0.0
SANDLER O'NEILL ASSET	031	C	B	25,000	15.45	15-Sep	15-Oct	1,250.00	5.0
ß BUCK CAPITAL MGMT		DAL	B	15,000	8.48	n/a	n/a	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		DDR	C	16,100	17.01	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DIS+MX	SS	1,000	2.65	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		DIS	SS	50,000	22.57	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DPZ	C	14,500	6.90	n/a	24-Apr	non-brg	2.0
ß BUCK CAPITAL MGMT		DPZ	C	25,500	6.86	n/a	24-Apr	non-brg	4.0
BULL PATH CAPITAL	044	DRI	S	33,000	20.25	13-Oct	13-Oct	1,650.00	5.0
BRUNNER	012	DUG	B	500	59.72	n/a	n/a	0.00	0.0
BRUNNER	012	DUG	S	500	63.87	n/a	n/a	0.00	0.0
OGORMAN	046	DXD	B	400	91.42	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		EDR	C	3,500	8.04	n/a	n/a	non-brg	4.0
NEUBERGER BERMAN	036	EGP	S	37,600	34.55	n/a	n/a	1,692.00	4.5
ß BUCK CAPITAL MGMT		FCE/A	C	1,800	16.85	n/a	n/a	non-brg	1.0
STRONG/MARK GRONET	030	FLE	B	700,000	0.47	n/a	n/a	7,000.00	1.0
ß BUCK CAPITAL MGMT		FOSL	B	50,000	17.62	13-Oct	13-Oct	non-brg	4.0
JMP ASSET MGMT	210	FOSL	S	6,000	18.11	13-Oct	13-Oct	300.00	5.0
ß BUCK CAPITAL MGMT		FRT	C	5,200	61.52	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		FRX	S	95,000	22.66	3-Sep	16-Oct	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
B BUCK CAPITAL MGMT		FR	C	2,400	13.45	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT	001	GCO	B	20,000	24.34	n/a	10-Jan	800.00 4.0
CASTLE ARK	031	GENZ	S	2,200	64.13	n/a	n/a	132.00 6.0
BUCK CAPITAL MGMT	001	GES	B	170,000	22.33	n/a	n/a	6,800.00 4.0
KORMAN	003	GE	S	2,000	18.90	n/a	n/a	0.00 0.0
SUTERA	160	GE	B	1,000	19.16	n/a	n/a	0.00 0.0
MCCARTAN	028	GIL	B	100	19.02	8-Sep	16-Oct	0.00 0.0
COUGAR TRADING	044	GPS	B	5,000	12.66	n/a	13-Oct	250.00 5.0
B BUCK CAPITAL MGMT		GRT	C	7,500	5.47	n/a	n/a	non-brg 4.0
COUGAR TRADING	044	GYMB	S	10,000	26.36	11-Jul	10-Oct	500.00 5.0
HARVEST MGMT	039	GYMB	S	30,000	25.02	11-Jul	10-Oct	1,500.00 5.0
BUCK CAPITAL MGMT	001	HAS	SS	20,000	28.85	n/a	n/a	800.00 4.0
N STRATTON	014	HEMGF	B	1,000	1.45	n/a	n/a	0.00 0.0
B BUCK CAPITAL MGMT		HIBB	SS	30,000	15.34	n/a	n/a	non-brg 4.0
B BUCK CAPITAL MGMT		HIW	C	3,500	21.96	n/a	n/a	non-brg 4.0
CENTURION GLOBAL MGMT LL	041	HOLX	B	20,000	14.67	n/a	n/a	600.00 3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	HON	B	5,000	30.82	3-Oct	3-Oct	250.00	5.0
B BUCK CAPITAL MGMT		ICON	B	200,000	9.30	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	IFF	SS	100,000	34.43	3-Oct	3-Oct	4,000.00	4.0
GRONET	030	ITCD	S	3,501	1.30	n/a	n/a	0.00	0.0
LEVIN CAPITAL STRATEGIES	012	IVZ	B	100,000	14.29	6-Oct	16-Oct	3,000.00	3.0
B BUCK CAPITAL MGMT		IYR	C	8,000	41.53	n/a	n/a	non-brg	2.0
COUGAR TRADING	044	JCG	B	10,000	18.16	n/a	17-Sep	500.00	5.0
RAINIER INV MGMT	035	JCG	B	105,500	18.33	n/a	17-Sep	4,220.00	4.0
BENNETT LAWRENCE	045	JCP	C	13,400	21.28	n/a	10-Oct	603.00	4.5
WHITE PINE CAPITAL	030	JCP	S	22,800	20.14	n/a	10-Oct	1,140.00	5.0
PZENA INV ADV	044	JNJ	S	565,625	62.42	n/a	22-Apr	19,797.33	3.5
CENTURION GLOBAL MGMT LL	041	JPM	B	31,500	38.99	26-Sep	16-Oct	945.00	3.0
GRUBER MACBAINE	033	JPM	B	10,000	37.89	26-Sep	16-Oct	400.00	4.0
B BUCK CAPITAL MGMT		KO	SS	30,000	42.98	n/a	n/a	non-brg	4.0
CASTLEROCK	040	KSS	B	44,982	28.02	n/a	10-Oct	1,799.28	4.0
BUCK	015	KSS	SS	2,000	29.39	n/a	10-Oct	0.00	0.0
B BUCK CAPITAL MGMT		LEG	C	100,000	18.46	n/a	n/a	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	LEG	B	5,000	18.57	n/a	n/a	250.00	5.0
CENTURION GLOBAL MGMT LL	041	LMT	B	5,800	92.34	n/a	n/a	174.00	3.0
⌘ BUCK CAPITAL MGMT		LOW	SS	20,000	17.37	n/a	27-Jul	non-brg	4.0
⌘ BUCK CAPITAL MGMT		LPX	B	100,000	3.93	n/a	15-Oct	non-brg	3.0
SCOPUS FUND	041	LPX	B	35,000	4.07	n/a	15-Oct	1,750.00	5.0
⌘ BUCK CAPITAL MGMT		LRY	C	3,500	25.44	n/a	n/a	non-brg	4.0
COUGAR TRADING	044	LTD	SS	10,000	12.45	9-Oct	10-Oct	500.00	5.0
⌘ BUCK CAPITAL MGMT		MAC	C	3,000	33.88	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		MIDD	SS	10,500	37.00	11-Aug	11-Aug	non-brg	1.0
⌘ BUCK CAPITAL MGMT		MIDD	SS	59,577	36.62	11-Aug	11-Aug	non-brg	4.0
DEMARTINI	065	MO	B	1,000	18.12	n/a	n/a	0.00	0.0
LATEFF MGMT	035	MSFT	B	3,000	22.70	n/a	3-Apr	420.00	14.0
WHITE PINE CAPITAL	030	MTW	S	49,750	11.47	n/a	18-Aug	2,487.50	5.0
VALHALLA CAPITAL LP	041	MVSN	S	20,000	11.54	n/a	n/a	600.00	3.0
LEDDY	035	MWO	S	900	12.14	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	MW	SS	10,000	15.12	n/a	n/a	400.00	4.0
⌘ BUCK CAPITAL MGMT		MW	SS	20,000	15.01	n/a	n/a	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SLS CAPITAL LLC	224	M	S	263,700	8.22	12-Aug	10-Oct	10,548.00	4.0
VALHALLA CAPITAL LP	041	NIHD	S	20,000	20.03	n/a	n/a	600.00	3.0
COUGAR TRADING	044	NWY	B	25,000	3.23	n/a	13-Oct	750.00	3.0
NEUBERGER BERMAN	036	OHI	B	61,000	14.31	n/a	n/a	2,745.00	4.5
ß BUCK CAPITAL MGMT		O	C	4,200	21.78	n/a	n/a	non-brg	4.0
MILLER	025	PBR	S	50	25.30	n/a	n/a	0.00	0.0
LEDDY	035	PCL	B	600	36.15	n/a	15-Oct	0.00	0.0
ß BUCK CAPITAL MGMT		PEI	S	133	10.90	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		PERY	B	28,014	8.97	n/a	n/a	non-brg	2.5
CATTANI	041	PG	B	100	60.86	10-Oct	10-Oct	0.00	0.0
ß BUCK CAPITAL MGMT		PKG	B	30,000	17.03	11-Sep	16-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		PKY	C	2,300	21.86	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		PLCE	B	50,000	27.76	21-Aug	10-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		PLD	C	3,500	23.00	n/a	n/a	non-brg	4.0
HIGHBRIDGE CAPITAL	038	PPG	B	9,000	49.44	n/a	16-Oct	450.00	5.0

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ß BUCK CAPITAL MGMT		PPS	C	2,100	20.90	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		PSB	C	3,100	43.82	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	PSS	S	50,000	12.62	n/a	n/a	2,000.00	4.0
COUGAR TRADING	044	PSUN	SS	5,000	3.60	n/a	10-Oct	150.00	3.0
ß BUCK CAPITAL MGMT		QIA+KB	SS	3,000	0.75	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		QTF+WF	SS	1,000	1.75	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		QUK+KB	SS	200	6.60	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		REG	C	2,400	41.28	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		RL+MH	SS	500	4.55	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		RL+WH	SS	500	2.40	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		RL+WI	SS	500	3.70	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	RL	SS	70,000	44.04	n/a	8-Oct	2,800.00	4.0
NOMURA CAPITAL	045	RT	B	20,000	2.43	n/a	n/a	600.00	3.0
BENCHMARK	028	SATS	B	15,000	20.82	n/a	n/a	750.00	5.0
Õ Jason Cohen		SBAC	B	50	18.00	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BRUNNER	012	SDS	B	200	109.92	n/a	n/a	0.00	0.0
BRUNNER	012	SDS	S	200	107.48	n/a	n/a	0.00	0.0
OGORMAN	046	SDS	B	400	105.19	n/a	n/a	0.00	0.0
MERRILL ASSET	032	SF	S	32,100	42.65	n/a	n/a	1,605.00	5.0
⌘ BUCK CAPITAL MGMT		SHPGY	S	41,500	38.67	15-Oct	16-Oct	non-brg	4.0
THE BOSTON COMPANY	401	SKX	B	1,200	12.00	n/a	13-Mar	48.00	4.0
N STRATTON	014	SPRO	B	400	2.40	n/a	n/a	0.00	0.0
VALHALLA CAPITAL LP	041	SPSS	S	10,000	24.30	n/a	n/a	300.00	3.0
⌘ BUCK CAPITAL MGMT		SPTN	SS	20,000	24.31	n/a	n/a	non-brg	4.0
BMO NESBITT BURNS	041	SSCC	S	100,000	1.64	30-Jul	16-Oct	5,000.00	5.0
BRUNNER	012	SSO	B	500	27.96	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		SSS	C	2,800	32.98	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SUI	C	3,500	13.21	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		TCO	C	6,100	31.10	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	TGT	SS	50,000	34.09	n/a	9-Oct	2,000.00	4.0
CADIAN CAPITAL	067	TJX	B	300,000	26.61	11-Aug	10-Oct	15,000.00	5.0

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BUCK CAPITAL MGMT		TMX	SS	50,000	20.67	n/a	n/a	non-brg	4.0
GREEN ARROW CAPITAL	034	TROW	B	10,000	37.30	19-Sep	16-Oct	500.00	5.0
BUCK CAPITAL MGMT		TSCO	SS	20,000	33.77	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	TWB	B	40,000	7.91	n/a	1-Oct	1,600.00	4.0
COUGAR TRADING	044	TWB	S	8,800	8.13	n/a	1-Oct	352.00	4.0
BUCK CAPITAL MGMT		UAUA	B	15,000	8.38	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		UDR	C	1,800	16.68	n/a	n/a	non-brg	4.0
PROSPECTOR PARTNERS LLC	036	UNS	S	44,500	21.96	n/a	n/a	1,780.00	4.0
BUCK CAPITAL MGMT		URBN	B	20,000	21.82	14-Aug	1-Oct	non-brg	4.0
BUCK CAPITAL MGMT		URBN	B	60,000	21.77	14-Aug	1-Oct	non-brg	4.0
COUGAR TRADING	044	URBN	B	5,000	21.88	14-Aug	1-Oct	250.00	5.0
WHEELER	008	UXI	B	2,000	26.00	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		WMT+KY	SS	1,000	2.18	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	WMT	B	150,000	51.71	10-Oct	10-Oct	6,000.00	4.0
COUGAR TRADING	044	WMT	B	5,000	51.25	10-Oct	10-Oct	250.00	5.0
COUGAR TRADING	044	WMT	S	5,000	52.70	10-Oct	10-Oct	250.00	5.0
THIRD COAST CAPITAL	035	WMT	S	4,000	52.12	10-Oct	10-Oct	200.00	5.0
BUCK CAPITAL MGMT	001	WRC	B	10,000	28.88	8-Oct	8-Oct	400.00	4.0

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⚡ BUCK CAPITAL MGMT		WRI	C	10,400	23.11	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	WWW	SS	20,000	22.61	n/a	13-Mar	800.00	4.0
PERFORMANCE PART LP #2	041	WY	B	15,000	38.62	n/a	15-Oct	750.00	5.0
PROSPECTOR PARTNERS LLC	036	XEC	S	10,000	32.39	n/a	n/a	400.00	4.0
KORMAN	003	XLF	S	3,000	15.00	n/a	n/a	0.00	0.0
Õ Michael Marrano		XOM	B	100	62.55	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		YSI	C	3,500	8.43	n/a	n/a	non-brg	4.0
JMP ASSET MGMT	210	ZQK	S	17,000	2.99	8-Oct	8-Oct	340.00	2.0
TOTAL (Trade Date):							170,291.36		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	10/15	COUGAR TRADING	044	AN	SS	8,000	7.27	15-Oct	15-Oct	320.00	4.0
AO,CXL	10/15	COUGAR TRADING	044	AN	SS	8,000	7.27	15-Oct	15-Oct	400.00	5.0
AO,CRT	10/15	STELLIAM INV ADV	040	BBBY	B	10,000	24.51	n/a	n/a	500.00	5.0
AO,CXL	10/15	STELLIAM INV ADV	040	BBBY	B	10,000	24.51	n/a	n/a	500.00	5.0
AO,	10/15	BUCK CAPITAL MGMT	015	EFA	B	200	54.00	n/a	n/a	0.00	0.0
AO,CRT	10/14	JMP ASSET MGMT	210	LULU	S	7,600	16.28	n/a	n/a	380.00	5.0
AO,CXL	10/14	JMP ASSET MGMT	210	LULU	S	7,600	16.28	n/a	n/a	304.00	4.0
AO,	10/15	AELTUS/ING IVESTMENT MGT	044	PM	S	194,390	41.72	n/a	n/a	6803.65	3.5
AO,CRT	10/06	DISIPLINED GROWTH INV.	030	RCL	B	15,125	16.55	23-Jul	23-Jul	756.25	5.0
AO,CXL	10/06	DISIPLINED GROWTH INV.	030	RCL	B	15,125	16.55	23-Jul	23-Jul	756.25	5.0
AO,CXL	10/15	STELLIAM INV ADV	040	ROST	B	10,000	27.70	n/a	n/a	500.00	5.0
AO,CRT	10/15	STELLIAM INV ADV	040	ROST	B	10,000	27.70	n/a	n/a	500.00	5.0
AO,CRT	10/15	BECKER CAPITAL	035	WRC	B	100	29.00	8-Oct	8-Oct	4.00	4.0
AO,CXL	10/15	BECKER CAPITAL	035	WRC	B	100	29.00	8-Oct	8-Oct	4.00	4.0
TOTAL (AO, CXL, CRT) :										6,799.65	

TOTAL (Trade Date) :

170,291.36

TOTAL (AO, CXL, CRT):

6,799.65

TOTAL (RUN DATE) / NFS:

177,091.01

MRI Securities with Trade Activity on 16-Oct.
NONE

MRI Securities without Trade Activity on 16-Oct.
CHTT

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 30%
YTD = 18%

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