



Daily Compliance Activity Report

Trade Date: 10/24/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		AAPL	B	10,000	96.37	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	AAP	SS	60,000	25.94	n/a	n/a	2,400.00	4.0
COUGAR TRADING	044	ABG	B	10,000	2.02	n/a	20-Oct	500.00	5.0
WYCKOFF	013	ABG	B	2,600	2.06	n/a	20-Oct	0.00	0.0
MENCKE	055	ALD	S	100	5.89	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		AMZN	C	150,000	48.09	n/a	n/a	non-brg	4.0
WHALE ROCK CAP	030	AMZN	B	127,850	48.82	n/a	n/a	5,114.00	4.0
BUCK CAPITAL MGMT		ANN	SS	10,000	12.50	n/a	8-Oct	non-brg	4.0
EGS ASSOCIATES LP	091	ANN	SS	6,000	12.79	n/a	8-Oct	360.00	6.0
STRAUSS ASSET MGMT	040	AN	B	12,500	4.64	15-Oct	20-Oct	500.00	4.0
BUCK CAPITAL MGMT		APP	B	50,000	4.92	n/a	n/a	non-brg	3.0
STERLING JOHNSTON	035	ARG	B	6,850	31.74	24-Oct	24-Oct	274.00	4.0
BUCK CAPITAL MGMT	001	ARO	S	200,000	20.99	n/a	10-Oct	8,000.00	4.0
BUCK CAPITAL MGMT		AVP+WX	SS	1,000	1.40	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		AVP	SS	70,000	24.65	10-Oct	10-Oct	non-brg	2.0
BUCK CAPITAL MGMT		AZO	SS	6,000	100.85	n/a	n/a	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
IRIDIAN ASSET MGMT.	036	BAX	B	6,630	58.22	n/a	22-Apr	331.50	5.0
BUCK CAPITAL MGMT	001	BDK	SS	20,000	45.30	n/a	n/a	800.00	4.0
⌘ BUCK CAPITAL MGMT		BDK	SS	30,000	44.85	n/a	n/a	non-brg	4.0
IRIDIAN ASSET MGMT.	036	BDX	B	22,470	66.43	n/a	22-Apr	1,123.50	5.0
MILLRACE FUND LP	028	BJRI	SS	10,000	8.21	n/a	n/a	300.00	3.0
BUCK CAPITAL MGMT	001	BKE	B	50,000	35.02	n/a	n/a	2,000.00	4.0
HOLDEN CAPITAL MGMT	035	BKE	S	10,000	34.26	n/a	n/a	500.00	5.0
NORTHPOINT	030	BRLI	S	8,800	21.97	n/a	n/a	352.00	4.0
BUCK CAPITAL MGMT	001	BWS	B	49,200	8.01	n/a	n/a	1,968.00	4.0
MCERLEAN	N16	CAL	B	1,000	16.51	n/a	n/a	0.00	0.0
JP MORGAN VENTURES	046	CAT	C	5,000	33.39	19-Sep	22-Oct	250.00	5.0
⌘ BUCK CAPITAL MGMT		CHTT	C	36,400	67.51	16-Oct	16-Oct	non-brg	4.0
⌘ BUCK CAPITAL MGMT		CIT	B	250,000	3.22	n/a	16-Oct	non-brg	1.0
⌘ BUCK CAPITAL MGMT		CIT	B	393,391	3.22	n/a	16-Oct	non-brg	3.0
BUCK CAPITAL MGMT	001	CL	B	50,000	56.84	14-Oct	14-Oct	2,000.00	4.0
⌘ BUCK CAPITAL MGMT		COH+KD	SS	1,000	0.91	n/a	n/a	non-brg	100.0
ROTHSCHILD ASSET	040	CTL	B	53,070	30.28	n/a	n/a	2,388.15	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AMATURO	018	DAVWI	S	60	7.46	n/a	n/a	0.00	0.0
HEALY CIRCLE	044	DBD	S	20,000	23.61	2-Oct	13-Oct	1,000.00	5.0
CENTURION GLOBAL MGMT LL	041	DDM	S	21,900	31.03	n/a	n/a	657.00	3.0
PZENA INV ADV	044	DELL	B	27,325	11.17	n/a	n/a	956.39	3.5
ß BUCK CAPITAL MGMT		DIS	SS	10,000	22.21	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		DKS+WR	SS	500	1.33	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		DKS	SS	20,000	13.09	7-Oct	7-Oct	non-brg	2.0
ß BUCK CAPITAL MGMT		DLTR	B	200,000	34.59	n/a	15-Oct	non-brg	4.0
IRIDIAN ASSET MGMT.	036	DNA	B	9,230	78.71	n/a	n/a	461.50	5.0
ß BUCK CAPITAL MGMT		DSW	S	63,100	10.84	7-Oct	7-Oct	non-brg	1.0
ß BUCK CAPITAL MGMT		DSW	S	83,100	10.87	7-Oct	7-Oct	non-brg	1.0
IRIDIAN ASSET MGMT.	036	DTV	B	61,540	18.99	n/a	4-Jan	3,077.00	5.0
BRUNNER	012	DUG	B	500	53.03	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		DV	C	60,000	42.04	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DXD	B	2,500	90.83	n/a	n/a	non-brg	2.0
Õ Steven Maguire		DXD	B	2500	91.50	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MENCKE	055	DXPE	S	100	14.70	n/a	n/a	0.00	0.0
LUCHANSKY1	036	ECL	S	100	37.93	23-Oct	23-Oct	0.00	0.0
LUCHANSKY1	036	EEM	S	300	20.15	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		EXH	B	111,935	18.81	28-Aug	24-Oct	non-brg	4.0
JMP ASSET MGMT	210	FAST	B	600	32.25	n/a	n/a	30.00	5.0
BUCK CAPITAL MGMT	001	FDO	B	260,000	25.17	23-Jul	9-Oct	10,400.00	4.0
SERENGETI MGMT	030	FII	B	100,000	21.57	6-Oct	24-Oct	5,000.00	5.0
ß BUCK CAPITAL MGMT		FMQ+WS	SS	1,500	1.32	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		FOSL	B	130,000	16.04	13-Oct	13-Oct	non-brg	4.0
IRIDIAN ASSET MGMT.	036	GD	B	26,260	55.26	n/a	n/a	1,313.00	5.0
BUCK CAPITAL MGMT	001	GES	B	40,000	19.36	n/a	n/a	1,600.00	4.0
ß BUCK CAPITAL MGMT		GIL+KD	SS	1,000	0.97	n/a	n/a	non-brg	100.0
JP MORGAN VENTURES	046	GIL	S	38,000	18.65	8-Sep	16-Oct	1,900.00	5.0
ß BUCK CAPITAL MGMT		GM+CI	SS	5,000	1.97	n/a	n/a	non-brg	200.0
ß BUCK CAPITAL MGMT		GM+XA	B	5,000	1.76	n/a	n/a	non-brg	200.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MCCARTAN	028	GMCA	S	100	2.43	n/a	n/a	0.00	0.0
HART	056	GMCA	S	10	2.38	n/a	n/a	0.00	0.0
MCCARTAN	028	GMXA	B	100	1.70	n/a	n/a	0.00	0.0
LUCHANSKY1	036	GMXA	B	100	1.70	n/a	n/a	0.00	0.0
HART	056	GMXA	B	10	1.75	n/a	n/a	0.00	0.0
BRENCOURT	028	GNTX	SS	50,000	8.45	22-Oct	22-Oct	1,500.00	3.0
BASIX	033	GR	B	14,000	33.18	23-Oct	23-Oct	420.00	3.0
EMP ERROR	099	GR	S	500	33.27	23-Oct	23-Oct	0.00	0.0
ß BUCK CAPITAL MGMT		GYMB	S	72,200	22.07	11-Jul	10-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		HIBB	SS	40,000	13.33	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		HIBB	SS	60,000	13.22	n/a	n/a	non-brg	2.5
JP MORGAN VENTURES	046	HK	SS	15,000	12.83	n/a	n/a	750.00	5.0
ß BUCK CAPITAL MGMT		HOTT	B	100,000	5.74	n/a	10-Oct	non-brg	4.0
LATEFF MGMT	035	HPQ	B	4,000	32.91	n/a	n/a	500.00	12.5
ß BUCK CAPITAL MGMT		HPY	C	10,000	17.24	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		ICON	B	50,000	7.46	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		ICON	B	82,400	7.45	n/a	n/a	non-brg	4.0
EGS ASSOCIATES LP	091	IGT	SS	6,500	10.80	n/a	17-Oct	390.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	IGT	S	10,000	10.60	n/a	17-Oct	500.00	5.0
⌘ BUCK CAPITAL MGMT		JCP+WV	SS	1,000	1.37	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		JCP	SS	100,000	19.23	n/a	10-Oct	non-brg	2.0
IRIDIAN ASSET MGMT.	036	JNJ	B	24,140	60.15	n/a	22-Apr	1,207.00	5.0
CENTURION GLOBAL MGMT LL	041	JPM	S	37,000	34.69	26-Sep	21-Oct	1,110.00	3.0
⌘ BUCK CAPITAL MGMT		JWN+WC	SS	505	1.65	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		KEG	B	250,000	4.98	n/a	24-Oct	non-brg	3.0
⌘ BUCK CAPITAL MGMT		KEG	B	80,000	4.95	n/a	24-Oct	non-brg	1.0
MS PRINCIPAL STRATEGIES	041	KOG	S	92,000	0.70	n/a	n/a	1,840.00	2.0
LUCHANSKY1	036	LH	S	100	60.05	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	LLY	S	22,030	31.88	n/a	n/a	991.35	4.5
⌘ BUCK CAPITAL MGMT		LL	S	34,700	9.23	n/a	n/a	non-brg	4.0
IRIDIAN ASSET MGMT.	036	LMT	B	18,910	77.21	n/a	n/a	945.50	5.0
LUCHANSKY1	036	LOW	S	100	17.52	n/a	27-Jul	0.00	0.0
⌘ BUCK CAPITAL MGMT		LPX	B	100,000	3.29	n/a	15-Oct	non-brg	1.0
⌘ BUCK CAPITAL MGMT		LPX	B	200,000	3.35	n/a	15-Oct	non-brg	3.0
⌘ BUCK CAPITAL MGMT		LPX	B	32,236	3.43	n/a	15-Oct	non-brg	1.0

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ß BUCK CAPITAL MGMT		LPX	B	38,100	3.46	n/a	15-Oct	non-brg	1.0
ß BUCK CAPITAL MGMT		MAS	SS	20,000	10.30	n/a	n/a	non-brg	4.0
PZENA INV ADV	044	MAT	B	52,350	13.03	n/a	n/a	1,832.32	3.5
ß BUCK CAPITAL MGMT		MC FP	SS	25,000	59.14	n/a	n/a	non-brg	11.8
IRIDIAN ASSET MGMT.	036	MSFT	B	69,880	21.65	n/a	3-Apr	3,494.00	5.0
BUCK	015	MSKT	S	20	0.90	n/a	n/a	0.00	0.0
ROSEDALE CAPITAL	046	MYL	B	20,000	6.20	30-May	21-Oct	1,000.00	5.0
ß BUCK CAPITAL MGMT		MZZ	B	5,000	120.18	n/a	n/a	non-brg	2.0
Õ Steven Maguire		MZZ	B	5000	119.41	n/a	n/a	0.00	0.0
LUCHANSKY1	036	M	S	300	9.17	12-Aug	10-Oct	0.00	0.0
PAKLER	029	NCCAZ	S	7	0.30	n/a	n/a	0.00	0.0
NATIONAL BK OF CAN	031	NCC	S	100,000	2.38	n/a	n/a	4,000.00	4.0
ß BUCK CAPITAL MGMT		NKE+WH	SS	2,000	1.10	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		NKE	SS	150,000	48.10	n/a	n/a	non-brg	4.0
IRIDIAN ASSET MGMT.	036	NOC	B	16,810	43.81	n/a	n/a	840.50	5.0
ROYCE TRADING	216	NR	S	25,000	4.60	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NOMURA CAPITAL	045	NYT	B	12,000	9.61	n/a	n/a	480.00	4.0
PZENA INV ADV	044	OMC	B	27,025	27.17	n/a	n/a	946.07	3.5
ROTHSCHILD ASSET	040	OMI	S	17,370	37.29	n/a	n/a	781.65	4.5
ß BUCK CAPITAL MGMT		PETM	SS	30,000	18.19	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		PG	C	50,000	58.40	10-Oct	10-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		PLCE	B	20,000	26.92	21-Aug	10-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		PLCE	B	80,000	27.40	21-Aug	10-Oct	non-brg	2.0
ß BUCK CAPITAL MGMT		POOL	C	26,800	16.45	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	PSS	S	274,800	10.30	n/a	n/a	10,992.00	4.0
COUGAR TRADING	044	PSUN	B	5,000	3.04	n/a	10-Oct	150.00	3.0
BUCK CAPITAL MGMT	001	PVH	B	10,000	21.95	24-Oct	24-Oct	400.00	4.0
IRIDIAN ASSET MGMT.	036	PX	B	2,360	54.03	n/a	14-Oct	118.00	5.0
ß BUCK CAPITAL MGMT		QIA+KU	SS	1,000	0.70	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		QQX+WV	SS	1,000	1.15	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		QUK+KP	SS	200	4.40	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		QZS+KE	SS	2,000	0.97	n/a	n/a	non-brg	100.0

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B BUCK CAPITAL MGMT		RCL	SS	100,000	15.22	21-Oct	21-Oct	non-brg	4.0
MCKERLEAN	N16	RIG	B	500	64.97	n/a	n/a	0.00	0.0
MCKERLEAN	N16	RIG	S	500	67.70	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		RL+WG	SS	1,000	1.65	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	RL	SS	150,000	40.08	n/a	24-Oct	6,000.00	4.0
BECK MACK & OLIVER LLC	045	ROP	B	2,500	39.03	n/a	n/a	125.00	5.0
NOMURA CAPITAL	045	RT	B	20,000	2.23	n/a	n/a	600.00	3.0
JMP ASSET MGMT	210	SAFM	B	600	29.15	n/a	n/a	30.00	5.0
COUGAR TRADING	044	SAH	B	12,000	2.57	n/a	20-Oct	480.00	4.0
EFSTATHIOU	044	SBLK	S	1,500	3.88	n/a	n/a	0.00	0.0
AMATURO	018	SDS	B	1,000	105.66	n/a	n/a	0.00	0.0
IRIDIAN ASSET MGMT.	036	SHPGY	B	630	36.39	15-Oct	21-Oct	0.00	0.0
MENCKE	055	SKF	B	10	172.70	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKX	B	120,000	11.55	n/a	13-Mar	4,800.00	4.0
BUCK	015	SPG	B	1,000	52.70	n/a	n/a	0.00	0.0
BRENCOURT	028	SUP	SS	50,000	11.93	17-Oct	20-Oct	1,500.00	3.0

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BUCK CAPITAL MGMT	001	SYX	SS	40,000	23.34	n/a	24-Apr	1,600.00	4.0
ß BUCK CAPITAL MGMT		SYX	SS	10,000	23.24	n/a	24-Apr	non-brg	1.0
BUCK CAPITAL MGMT	001	TCO	S	30,000	27.73	n/a	n/a	1,200.00	4.0
LUCHANSKY1	036	TEL	S	75	18.04	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		TGT+WU	SS	1,339	1.60	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		TJX+KE	SS	2,000	1.30	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		TJX	B	100,000	23.93	11-Aug	10-Oct	non-brg	2.0
ß BUCK CAPITAL MGMT		TJX	B	100,000	24.56	11-Aug	10-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		TLB+WU	SS	2,000	0.71	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		TLB	B	150,000	8.86	7-Aug	30-Sep	non-brg	4.0
ß BUCK CAPITAL MGMT		TRLG	B	10,000	14.60	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		TSCO	SS	10,000	34.90	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		TSCO	SS	40,000	36.04	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		TUP	C	50,000	20.75	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		TUY+KF	SS	2,000	1.71	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	TWB	B	90,400	7.05	n/a	1-Oct	3,616.00	4.0
JMP ASSET MGMT	210	TXI	B	2,100	24.16	n/a	n/a	105.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
IRIDIAN ASSET MGMT.	036	T	B	11,900	24.37	n/a	4-Jan	595.00	5.0
IRIDIAN ASSET MGMT.	036	UL	B	16,170	21.54	n/a	n/a	808.50	5.0
⌘ BUCK CAPITAL MGMT		URBN	B	20,000	18.67	14-Aug	1-Oct	non-brg	4.0
⌘ BUCK CAPITAL MGMT		URBN	B	40,000	19.04	14-Aug	1-Oct	non-brg	4.0
BUCK CAPITAL MGMT	001	URI	SS	60,000	7.92	8-Sep	8-Sep	2,400.00	4.0
NOMURA CAPITAL	045	USO	B	10,000	51.98	n/a	n/a	500.00	5.0
ROTHSCHILD ASSET	040	UTX	S	21,390	47.70	n/a	n/a	962.55	4.5
WHEELER	008	UXI	B	2,000	20.99	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	VFC	B	68,900	47.30	n/a	n/a	2,756.00	4.0
BECK MACK & OLIVER LLC	045	WAT	B	2,900	40.42	n/a	n/a	145.00	5.0
⌘ BUCK CAPITAL MGMT		WMT+KX	SS	1,000	2.85	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		WMT	B	100,000	51.52	10-Oct	10-Oct	non-brg	4.0
CAXTON PART	040	WMT	B	68,909	52.56	10-Oct	10-Oct	2,411.82	3.5
JP MORGAN VENTURES	046	WMT	B	15,000	52.27	10-Oct	10-Oct	750.00	5.0
BUCK CAPITAL MGMT	001	WRC	B	50,000	24.64	24-Oct	24-Oct	2,000.00	4.0
⌘ BUCK CAPITAL MGMT		WWW	SS	20,000	21.61	n/a	13-Mar	non-brg	4.0
⌘ BUCK CAPITAL MGMT		XRT	SS	225,000	19.45	n/a	n/a	non-brg	1.0

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BUCK CAPITAL MGMT		XRY+XP	SS	2,000	0.96	n/a	n/a	non-brg 100.0	
LUCHANSKY1	036	YTEC	S	500	7.04	n/a	n/a	0.00	0.0
IRIDIAN ASSET MGMT.	036	YUM	B	35,420	25.76	14-Aug	20-Oct	1,771.00	5.0
NOMURA CAPITAL	045	ZZ	B	20,000	2.84	n/a	n/a	600.00	3.0
TOTAL (Trade Date):							127,750.30		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/22	IRONBOUND CAPITAL	012	CHD	SS	50,000	57.80	4-Sep	11-Sep	2500.00 5.0
AO,CXL	10/22	IRONBOUND CAPITAL	012	CHD	SS	50,000	57.80	4-Sep	11-Sep	2500.00 5.0
AO,CRT	10/23	IRONBOUND CAPITAL	012	CHD	SS	86,800	56.50	4-Sep	11-Sep	4340.00 5.0
AO,CXL	10/23	IRONBOUND CAPITAL	012	CHD	SS	86,800	56.50	4-Sep	11-Sep	4340.00 5.0
AO,CRT	10/23	EMP ERROR	099	GR	B	500	32.65	23-Oct	23-Oct	0.00 0.0
AO,CXL	10/23	EFSTATHIOU	044	GR	B	500	32.65	23-Oct	23-Oct	0.00 0.0
AO,CRT	10/22	IRONBOUND CAPITAL	012	KR	SS	240,000	26.81	n/a	n/a	12000.00 5.0
AO,CXL	10/22	IRONBOUND CAPITAL	012	KR	SS	240,000	26.81	n/a	n/a	12000.00 5.0
AO,CRT	10/23	STELLIAM INV ADV	040	TXN	B	50,000	16.33	n/a	n/a	2500.00 5.0
AO,CXL	10/23	STELLIAM INV ADV	040	TXN	B	50,000	16.33	n/a	n/a	2500.00 5.0
AO,	10/23	SENATOR INVESTMENT GROUP	036	VMC	SS	10,000	48.50	n/a	n/a	500.00 5.0
AO,CRT	10/23	US BANCORP	030	WRC	B	500	24.95	24-Oct	24-Oct	25.00 5.0
AO,CXL	10/23	US BANCORP	030	WRC	B	500	24.95	24-Oct	24-Oct	25.00 5.0
TOTAL (AO, CXL, CRT) :										500.00

TOTAL (Trade Date):	127,750.30
TOTAL (AO, CXL, CRT):	500.00

TOTAL (RUN DATE) / NFS:

128,250.30

MRI Securities with Trade Activity on 24-Oct.

ARG, PVH, WRC

MRI Securities without Trade Activity on 24-Oct.

AGN, BEN, PXD

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

T-Date = 24%

YTD = 19%

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