



# Daily Compliance Activity Report

Trade Date: 11/25/2008

Potential ANALYST TRADE Violations: 0

BCM Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOPUS FUND	041	AAP	B	5,000	28.82	n/a	n/a	250.00	5.0
HIGHBRIDGE CAPITAL	038	AA	SS	49,800	9.51	n/a	n/a	2,490.00	5.0
PRINCIPLE CAPITAL	040	ACN	B	65,800	28.99	n/a	n/a	1,974.00	3.0
CROSS CAPITAL	028	ADM	B	33,100	27.22	4-Nov	13-Nov	1,655.00	5.0
TRUST CO/COWEN/CALF.	040	AET	S	287,350	20.70	n/a	n/a	11,494.00	4.0
DE SHAW	040	AMAT	B	100,000	8.68	n/a	n/a	3,000.00	3.0
AVESTA CAP	229	AMT	B	25,000	24.92	n/a	n/a	1,250.00	5.0
⚡ BUCK CAPITAL MGMT		ANF	B	350,000	18.57	7-Aug	14-Nov	non-brg	1.0
⚡ BUCK CAPITAL MGMT		AVB	C	16,500	57.03	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		AVP+XW[AVP]	SS	1,000	0.70	n/a	n/a	non-brg	100.0
⚡ BUCK CAPITAL MGMT		AVP	SS	30,000	19.38	3-Nov	3-Nov	non-brg	2.0
⚡ BUCK CAPITAL MGMT		AXP+XD[AXP]	SS	1,000	1.90	n/a	n/a	non-brg	300.0
⚡ BUCK CAPITAL MGMT		AXP	SS	60,000	20.85	n/a	17-Nov	non-brg	2.0
⚡ BUCK CAPITAL MGMT		BAC	B	2,500	14.93	15-Oct	17-Nov	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Steven Maguire		BAC	B	2500	14.80	15-Oct	17-Nov	0.00	0.0
BUCK CAPITAL MGMT		BBBY	SS	100,000	19.30	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		BBY+XC[BBY]	SS	1,000	0.65	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT		BBY	SS	30,000	19.91	n/a	27-Jul	non-brg	4.0
TRELLUS PARTNERS LP	028	BIG	SS	7,800	16.16	n/a	7-Nov	390.00	5.0
BUCK CAPITAL MGMT		BKE	B	60,000	17.21	n/a	n/a	non-brg	1.0
SANDLER O'NEILL ASSET	031	BLK	S	5,400	118.79	n/a	20-Nov	270.00	5.0
BRENCOURT	028	BWA	SS	25,000	20.12	n/a	30-Oct	1,250.00	5.0
COUGAR TRADING	044	BWA	S	5,000	21.00	n/a	30-Oct	250.00	5.0
FIRST NY SEC/CHRIS	041	BWA	SS	30,000	20.38	n/a	30-Oct	1,500.00	5.0
MILLRACE FUND LP	028	BWA	SS	12,600	20.56	n/a	30-Oct	504.00	4.0
SCOPUS FUND	041	BWA	SS	100,000	20.14	n/a	30-Oct	5,000.00	5.0
TRELLUS PARTNERS LP	028	BWA	SS	10,000	20.64	n/a	30-Oct	500.00	5.0
BUCK CAPITAL MGMT		BYD	B	15,000	3.90	29-Oct	29-Oct	non-brg	1.0
Steven Maguire		BYD	B	15000	3.98	29-Oct	29-Oct	0.00	0.0
BUCK CAPITAL MGMT		CAKE	C	20,000	6.22	n/a	24-Oct	non-brg	3.0
MCKERLEAN	N16	CAL	S	1,000	14.52	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		CBRL	SS	20,000	15.85	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		CCI	B	7,500	12.96	n/a	n/a	non-brg	1.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ	Steven Maguire		CCI	B	7500	12.92	n/a	n/a	0.00	0.0
	BUCK CAPITAL MGMT	001	CCL	SS	20,000	17.28	n/a	26-Jan	800.00	4.0
	COLUMBIA PARTNERS	028	CCRN	SS	3,580	8.03	n/a	n/a	107.40	3.0
	BUCK CAPITAL MGMT	001	CEC	B	20,000	15.77	n/a	n/a	800.00	4.0
	PALMYRA CAPITAL	048	CHS	S	65,000	2.37	26-Nov	19-Nov	2,600.00	4.0
ß	BUCK CAPITAL MGMT		CJY+MF [CMG]	SS	1,000	1.15	n/a	n/a	non-brg	300.0
ß	BUCK CAPITAL MGMT		CJY+MG [CMG]	SS	1,000	2.26	n/a	n/a	non-brg	300.0
	ENTRUST CAPITAL	040	CKR	B	137,100	5.77	n/a	n/a	6,855.00	5.0
	BUCK CAPITAL MGMT	001	CMG	SS	78,400	43.82	23-Oct	23-Oct	3,136.00	4.0
ß	BUCK CAPITAL MGMT		CMG	SS	21,600	43.46	23-Oct	23-Oct	non-brg	2.0
	DIAMONDBACK CAP MGMT	232	CMI	B	15,000	22.76	14-Nov	14-Nov	750.00	5.0
ß	BUCK CAPITAL MGMT		COF	SS	20,000	34.02	n/a	17-Nov	non-brg	4.0
ß	BUCK CAPITAL MGMT		COLM	SS	10,900	30.66	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		COLM	SS	30,000	29.72	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		COLM	SS	9,100	26.97	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		COST	C	121,600	51.22	n/a	27-Jul	non-brg	4.0
ß	BUCK CAPITAL MGMT		CPKI	C	20,000	6.26	30-Oct	7-Nov	non-brg	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KAICHER	064	CPN	S	1,000	7.41	n/a	n/a	0.00	0.0
OPPENHEIMER MGMT.	036	CSCO	S	206,500	15.61	n/a	22-Mar	8,260.00	4.0
OPPM236	036	CSCO	S	173,500	15.61	n/a	22-Mar	6,940.00	4.0
ß BUCK CAPITAL MGMT		CTX	B	12,500	7.89	n/a	n/a	non-brg	1.0
Õ Steven Maguire		CTX	B	12500	7.80	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	DE	S	25,000	32.35	3-Nov	3-Nov	1,250.00	5.0
ß BUCK CAPITAL MGMT		DE	S	56,000	32.21	3-Nov	3-Nov	non-brg	4.0
COLUMBIA PARTNERS	028	DF	B	9,600	12.89	n/a	n/a	384.00	4.0
LISTED ERR	099	DF	B	9,600	12.95	n/a	n/a	0.00	0.0
LISTED ERR	099	DF	SS	9,600	12.79	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		DHI	S	24,000	6.21	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		DIN	SS	20,000	8.64	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		DIN	SS	30,000	9.12	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		DLTR	S	30,000	40.45	n/a	25-Nov	non-brg	4.0
COUGAR TRADING	044	DRI	B	5,000	16.37	13-Oct	13-Oct	250.00	5.0
SCOPUS FUND	041	DSW	SS	10,000	8.90	14-Nov	25-Nov	500.00	5.0
NEUBERGER BERMAN	036	DW	S	11,200	11.88	n/a	n/a	504.00	4.5
ß BUCK CAPITAL MGMT		DXD	B	3,000	77.18	n/a	n/a	non-brg	1.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ	Steven Maguire		DXD	B	3000	76.97	n/a	n/a	0.00	0.0
	MATRIX ASSET ADV.	036	EBAY	B	10,000	12.74	n/a	n/a	300.00	3.0
ß	BUCK CAPITAL MGMT		EDU	SS	19,700	47.31	n/a	n/a	non-brg	2.0
ß	BUCK CAPITAL MGMT		EDU	SS	300	47.47	n/a	n/a	non-brg	4.0
	COLUMBIA PARTNERS	028	ETM	B	5,830	0.83	n/a	n/a	29.15	0.5
	LISTED ERR	099	ETM	B	5,830	0.83	n/a	n/a	0.00	0.0
	LISTED ERR	099	ETM	SS	5,830	0.81	n/a	n/a	0.00	0.0
	DSG CAPITAL	225	ETN	B	2,000	44.99	18-Nov	18-Nov	100.00	5.0
ß	BUCK CAPITAL MGMT		EXH	S	128,533	15.03	28-Aug	20-Nov	non-brg	4.0
	WHEELER	008	EXH	B	4,000	14.46	28-Aug	20-Nov	0.00	0.0
	GRONET	030	EXH	S	300	14.65	28-Aug	20-Nov	0.00	0.0
	SAXON WOODS ADVISORS	038	FAS	S	75,000	24.03	n/a	n/a	3,000.00	4.0
	BUCK CAPITAL MGMT	001	FDO	SS	50,000	28.01	23-Jul	7-Nov	2,000.00	4.0
	TRELLUS PARTNERS LP	028	FDO	SS	15,000	28.00	23-Jul	7-Nov	750.00	5.0
	PHILADELPHIA FINANCIAL	033	FII	B	11,800	18.27	13-Nov	19-Nov	472.00	4.0
ß	BUCK CAPITAL MGMT		FL	S	150,000	6.09	7-Oct	21-Nov	non-brg	1.0
ß	BUCK CAPITAL MGMT		FL	S	200,000	6.04	7-Oct	21-Nov	non-brg	3.0
	BUCK CAPITAL MGMT	001	GCO	B	20,000	11.53	n/a	10-Jan	800.00	4.0
ß	BUCK CAPITAL MGMT		GES+OU[GES]	SS	2,000	0.86	n/a	n/a	non-brg	100.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COLUMBIA PARTNERS	028	GE	B	8,880	15.90	n/a	n/a	355.20	4.0
LISTED ERR	099	GE	B	8,880	15.90	n/a	n/a	0.00	0.0
LISTED ERR	099	GE	SS	8,880	15.50	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		GM	C	100,000	3.50	10-Nov	17-Nov	non-brg	2.0
DSG CAPITAL	225	GNTX	B	7,500	8.06	22-Oct	22-Oct	375.00	5.0
MKT MAKER	099	GNTX	B	500	8.06	22-Oct	22-Oct	0.00	0.0
MKT MAKER	099	GNTX	S	500	8.08	22-Oct	22-Oct	0.00	0.0
⌘ BUCK CAPITAL MGMT		HD+XD [HD]	SS	1,800	0.91	n/a	n/a	non-brg	100.0
⌘ BUCK CAPITAL MGMT		HUO+MV [PFCB]	SS	2,000	0.55	n/a	n/a	non-brg	100.0
⌘ BUCK CAPITAL MGMT		HUO+XC [PFCB]	SS	1,000	0.70	n/a	n/a	non-brg	100.0
⌘ BUCK CAPITAL MGMT		IFF	C	40,000	29.84	30-Oct	13-Nov	non-brg	4.0
COLUMBIA PARTNERS	028	IJR	SS	5,630	38.38	n/a	n/a	225.20	4.0
⌘ BUCK CAPITAL MGMT		ITW	SS	150,000	31.87	25-Nov	25-Nov	non-brg	4.0
CAVU CAP ADV	028	ITW	SS	10,000	31.94	25-Nov	25-Nov	500.00	5.0
COLUMBIA PARTNERS	028	ITW	SS	7,300	32.46	25-Nov	25-Nov	292.00	4.0
SANDLER O'NEILL ASSET	031	IVZ	S	3,800	11.47	13-Nov	20-Nov	190.00	5.0
KARSCH CAPITAL	034	IWM	B	424,500	43.62	n/a	n/a	12,735.00	3.0
⌘ BUCK CAPITAL MGMT		JCG	S	100,000	10.41	n/a	13-Nov	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
ß	BUCK CAPITAL MGMT		JCG	S	40,000	10.40	n/a	13-Nov	non-brg 4.0
	BUCK CAPITAL MGMT	001	JNY	B	700,000	4.61	n/a	30-Oct	21,000.00 3.0
	WHITE PINE CAPITAL	030	JPM	B	10,000	30.17	26-Sep	20-Nov	500.00 5.0
	BALYASNY ASSET MGMT	044	JWN	SS	25,000	9.97	14-Nov	14-Nov	1,250.00 5.0
ß	BUCK CAPITAL MGMT		KEG	S	729,500	4.47	n/a	20-Nov	non-brg 2.0
ß	BUCK CAPITAL MGMT		KRE	SS	200,000	27.71	n/a	n/a	non-brg 4.0
ß	BUCK CAPITAL MGMT		KSS+LF [KSS]	SS	1,000	2.00	n/a	n/a	non-brg 300.0
ß	BUCK CAPITAL MGMT		LEN	B	5,000	6.43	n/a	n/a	non-brg 1.0
Õ	Steven Maguire		LEN	B	5000	6.03	n/a	n/a	0.00 0.0
	SANDLER O'NEILL ASSET	031	LM	B	50,000	15.45	29-Oct	21-Nov	2,500.00 5.0
ß	BUCK CAPITAL MGMT		LOW+XD [LOW]	SS	2,000	1.40	n/a	n/a	non-brg 300.0
ß	BUCK CAPITAL MGMT		LOW	C	200,000	20.45	n/a	27-Jul	non-brg 4.0
	KAICHER	064	LVS	S	1,000	3.83	n/a	n/a	0.00 0.0
	GRONET	030	MER	S	300	11.41	n/a	17-Nov	0.00 0.0
	WHEELER	008	METPRA	B	4,900	7.80	n/a	n/a	0.00 0.0
	MERRILL ASSET	032	MKC	S	15,300	30.10	n/a	n/a	688.50 4.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COLUMBIA PARTNERS	028	MPX	SS	7,750	4.33	n/a	n/a	232.50	3.0
ß BUCK CAPITAL MGMT		MZZ	B	2,000	110.75	n/a	n/a	non-brg	1.0
Õ Steven Maguire		MZZ	B	2000	109.57	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		M	B	100,000	6.44	12-Aug	13-Nov	non-brg	3.0
COLUMBIA PARTNERS	028	NBIX	SS	2,100	2.72	n/a	n/a	42.00	2.0
BUCK CAPITAL MGMT	001	NHP	B	50,000	21.40	n/a	n/a	2,000.00	4.0
AVESTA CAP	229	OMC	SS	25,000	25.81	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	O	B	37,900	20.05	n/a	n/a	1,516.00	4.0
COLUMBIA PARTNERS	028	PBG	SS	2,330	16.63	n/a	n/a	93.20	4.0
COLUMBIA PARTNERS	028	PDCO	SS	4,430	17.95	n/a	n/a	177.20	4.0
DIAMONDBACK CAP MGMT	097	PETM	B	25,000	16.20	n/a	n/a	1,250.00	5.0
WAGONHOUND/NIC	048	PLCE	B	1,327	22.40	21-Nov	21-Nov	53.08	4.0
ß BUCK CAPITAL MGMT		PNK	B	15,000	4.39	n/a	n/a	non-brg	1.0
Õ Steven Maguire		PNK	B	15000	4.48	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	PSS	B	500,000	6.39	n/a	n/a	15,000.00	3.0
NORTHPOINT	030	PWR	B	100,000	13.83	n/a	n/a	4,000.00	4.0



Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	REG	B	21,400	30.08	n/a	n/a	856.00	4.0
ß BUCK CAPITAL MGMT		RL+MF [RL]	SS	2,000	1.67	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		RL+XJ [RL]	C	1,000	11.65	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		RL+XJ [RL]	C	1,000	12.04	n/a	n/a	non-brg	300.0
BALYASNY ASSET MGMT	044	RL	SS	5,000	39.65	n/a	6-Nov	250.00	5.0
BUCK CAPITAL MGMT	001	RL	SS	350,000	38.66	n/a	6-Nov	14,000.00	4.0
ß BUCK CAPITAL MGMT		RTH	C	280,000	70.65	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		RYL	S	10,000	14.78	n/a	n/a	non-brg	4.0
CUMBERLAND	038	RYL	S	10,000	14.61	n/a	n/a	400.00	4.0
GRANITE CAPITAL	045	SGR	B	10,000	16.48	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	SKS	S	3,100	3.30	n/a	n/a	93.00	3.0
ß BUCK CAPITAL MGMT		SLM	S	200,000	9.73	n/a	10-Nov	non-brg	3.0
ß BUCK CAPITAL MGMT		SPLS	SS	100,000	15.98	n/a	27-Jul	non-brg	4.0
ß BUCK CAPITAL MGMT		SPLS	SS	100,000	16.44	n/a	27-Jul	non-brg	4.0
KARSCH CAPITAL	034	SPY	B	234,500	86.01	n/a	n/a	7,035.00	3.0
ß BUCK CAPITAL MGMT		SSS	C	25,100	25.39	n/a	n/a	non-brg	4.0
GRONET	030	STKL	S	1,000	1.39	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
B BUCK CAPITAL MGMT		SUMR	B	400	2.40	n/a	n/a	non-brg 2.5
DSG CAPITAL	225	SUP	B	3,500	9.90	10-Nov	10-Nov	175.00 5.0
SINCLAIR	031	SWNCF	S	50	8.01	n/a	n/a	0.00 0.0
SINCLAIR	031	SWNXF	B	100	2.70	n/a	n/a	0.00 0.0
B BUCK CAPITAL MGMT		TGT	C	128,900	31.44	17-Nov	17-Nov	non-brg 4.0
KARSCH CAPITAL	034	TGT	S	204,000	31.16	17-Nov	17-Nov	6,120.00 3.0
BUCK CAPITAL MGMT	001	THI	SS	20,000	23.31	n/a	24-Apr	800.00 4.0
B BUCK CAPITAL MGMT		TIF+XW[TIF]	SS	1,000	1.40	n/a	n/a	non-brg 300.0
BUCK CAPITAL MGMT	001	TIF	SS	200,000	20.48	n/a	24-Nov	8,000.00 4.0
PRINCIPLE CAPITAL	040	TIF	B	55,500	20.04	n/a	24-Nov	1,665.00 3.0
BEAR STEARNS ASSET MGMT.	033	TWB	S	48,800	3.01	n/a	20-Nov	1,952.00 4.0
GRONET	030	TYC	S	200	19.50	12-Nov	18-Nov	0.00 0.0
SCOPUS FUND	041	URBN	S	12,000	17.58	5-Nov	13-Nov	600.00 5.0
SCOPUS FUND	041	VFC	SS	10,000	46.97	n/a	n/a	500.00 5.0
FIRST NY SEC/CHRIS	041	VIAB	B	10,000	14.20	n/a	n/a	600.00 6.0
B BUCK CAPITAL MGMT		VNO	SS	25,000	49.39	n/a	n/a	non-brg 4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
BUCK CAPITAL MGMT		VOW GR	C	3,000	371.94	n/a	n/a	non-brg 55.8
MAIRS AND POWER INV	030	WFC	S	20,000	26.05	n/a	n/a	1,000.00 5.0
FIRST NY SEC/CHRIS	041	WFMI	B	15,000	10.39	n/a	n/a	900.00 6.0
KLEINHEINZ CAP PART	031	WFMI	B	50,000	10.37	n/a	n/a	2,500.00 5.0
COLUMBIA PARTNERS	028	WMAR	SS	6,860	4.26	n/a	n/a	205.80 3.0
BUCK CAPITAL MGMT		WMT+LK[WMT]	SS	1,000	2.25	n/a	n/a	non-brg 300.0
BUCK CAPITAL MGMT		WMT+LY[WMT]	SS	2,000	1.06	n/a	n/a	non-brg 300.0
ADAGE CAPITAL MGMT	030	WMT	S	180,000	53.91	10-Oct	13-Nov	7,200.00 4.0
BUCK CAPITAL MGMT		WMT	B	50,000	54.35	10-Oct	13-Nov	non-brg 4.0
ASCEND PARTNERS	033	WRC	B	105,400	16.73	7-Nov	7-Nov	5,270.00 5.0
BUCK CAPITAL MGMT	001	WRC	B	130,000	16.92	7-Nov	7-Nov	5,200.00 4.0
AVESTA CAP	229	WRI	S	20,000	13.37	n/a	n/a	1,000.00 5.0
BUCK CAPITAL MGMT		XRT	B	5,000	17.60	n/a	n/a	non-brg 1.0
BUCK CAPITAL MGMT		XRT	SS	500,000	17.50	n/a	n/a	non-brg 1.0
Steven Maguire		XRT	B	5000	17.67	n/a	n/a	0.00 0.0
BUCK CAPITAL MGMT	001	YUM	SS	20,000	26.22	14-Aug	20-Oct	800.00 4.0
COUGAR TRADING	044	YUM	B	5,000	26.22	14-Aug	20-Oct	250.00 5.0
COUGAR TRADING	044	YUM	S	5,000	26.06	14-Aug	20-Oct	250.00 5.0
BUCK CAPITAL MGMT		ZJQ+LV[TRLG]	SS	1,000	0.70	n/a	n/a	non-brg 100.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CHARTER OAK	033	ZMH	SS	50,000	38.07	n/a	n/a	2,500.00	5.0
COLUMBIA PARTNERS	028	ZQK	SS	1,831	1.12	3-Nov	3-Nov	18.31	1.0
<b>TOTAL (Trade Date):</b>								<b>209,229.54</b>	

# Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/24	MILLENIU M PARTNERS	028	DFS	S	100,000	9.31	n/a	12-Nov	5000.00 5.0
AO,CRT	11/24	MILLENIU M PARTNERS	028	DFS	S	100,000	9.31	n/a	12-Nov	5000.00 5.0
AO,CRT	11/24	PATTEN & PATTEN	067	DOW	S	825	18.21	n/a	20-Nov	41.25 5.0
AO,CXL	11/24	PATTEN & PATTEN	067	DOW	S	825	18.21	n/a	20-Nov	41.25 5.0
AO,CXL	11/20	NEUBERGER BERMAN	036	IDC	B	600	19.77	n/a	n/a	27.00 4.5
AO,CRT	11/20	NEUBERGER BERMAN	036	IDC	B	600	19.77	n/a	n/a	27.00 4.5
AO,CRT	11/21	EMP ERROR	099	IVZ	B	700	8.80	13-Nov	20-Nov	0.00 0.0
AO,CXL	11/21	EMP ERROR	099	IVZ	B	700	8.80	13-Nov	20-Nov	0.00 0.0
AO,CRT	11/24	MILLENIU M PARTNERS	028	JPM	S	150,000	27.13	26-Sep	20-Nov	7500.00 5.0
AO,CXL	11/24	MILLENIU M PARTNERS	028	JPM	S	150,000	27.13	26-Sep	20-Nov	7500.00 5.0
AO,CXL	11/21	NEUBERGER BERMAN	036	JPM	S	825	20.38	26-Sep	20-Nov	37.13 4.5
AO,CRT	11/21	NEUBERGER BERMAN	036	JPM	S	825	20.38	26-Sep	20-Nov	37.13 4.5
AO,	11/24	PATTEN & PATTEN	067	JWN	B	300	9.71	14-Nov	14-Nov	15.00 5.0
AO,CRT	11/24	PATTEN & PATTEN	067	JWN	B	3,900	9.71	14-Nov	14-Nov	195.00 5.0
AO,CXL	11/24	PATTEN & PATTEN	067	JWN	B	4,200	9.71	14-Nov	14-Nov	210.00 5.0
AO,CXL	11/24	MILLENIU M PARTNERS	028	MET	S	100,000	22.31	n/a	n/a	5000.00 5.0
AO,CRT	11/24	MILLENIU M PARTNERS	028	MET	S	100,000	22.31	n/a	n/a	5000.00 5.0
AO,	11/24	NOMURA CAPITAL	045	OC	S	26,800	13.40	n/a	n/a	1340.00 5.0
AO,CXL	11/24	NOMURA CAPITAL	045	OC	S	26,800	13.40	n/a	n/a	804.00 3.0
AO,	11/24	GARDNER LEWIS ASSET MGMT	028	WFT	S	140,400	11.41	n/a	n/a	7020.00 5.0

TOTAL (AO, CXL, CRT):

7,556.00

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TOTAL (Trade Date):

209,229.54

TOTAL (AO, CXL, CRT):

7,556.00

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TOTAL (RUN DATE) / NFS:

216,785.54

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MRI Securities with Trade Activity on 25-Nov.

ITW

MRI Securities without Trade Activity on 25-Nov.

GIL

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

T-Date = 31%

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**

**BCM Watch List Trades**