



# Daily Compliance Activity Report

Trade Date: 10/21/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.		
	CATAPULT	040	AA	B	25,000	13.04	n/a	n/a	1,000.00	4.0	
f	ROBERT M DANIELS	FID	ABB	S	300	22.52	n/a	n/a	0.00	0.0	
	PROSPECTOR PARTNERS LLC	036	ABT	B	2,000	52.87	n/a	n/a	80.00	4.0	
	PNC CAPITAL ADV	028	ACE	B	60,062	60.43	n/a	n/a	2,402.48	4.0	
	CENTURION PARTNERS	041	AEO	B	20,000	16.90	n/a	11-Oct	800.00	4.0	
	DIAMONDBACK CAP MGMT	232	AF	S	15,000	13.00	n/a	21-Oct	750.00	5.0	
	PROSPECTOR PARTNERS LLC	036	ALTE	B	2,600	20.71	n/a	n/a	104.00	4.0	
	LAGRANGE CAP ADV	048	ALV	SS	5,000	70.01	n/a	19-Oct	250.00	5.0	
	MILLRACE FUND LP	028	ANF	B	6,000	42.49	n/a	11-Oct	240.00	4.0	
	BUCK CAPITAL MGMT	001	ANN	B	20,000	21.07	n/a	n/a	800.00	4.0	
	LAGRANGE CAP ADV	048	AN	SS	5,491	24.00	n/a	19-Oct	274.55	5.0	
	BUCK CAPITAL MGMT	001	ARO	S	30,000	25.26	n/a	11-Oct	1,200.00	4.0	
	WEDBUSH/PACIFIC GROWTH EQTY LLC	084	ATML	S	10,000	7.83		n/a	n/a	400.00	4.0
f	MARC PAUL LUCHANSKY	FID	ATVI	S	1000	11.00	n/a	n/a	0.00	0.0	

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MILLENIUM PARTNERS	028	AXL	B	25,000	9.24	n/a	19-Oct	1,000.00	4.0
<b>f ANDREW MARK GRONET</b>	<b>FID</b>	<b>BAC</b>	<b>B</b>	<b>100</b>	<b>11.62</b>	<b>n/a</b>	<b>20-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>BAC</b>	<b>S</b>	<b>1000</b>	<b>11.38</b>	<b>n/a</b>	<b>20-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARK ANTHONY GRONET</b>	<b>FID</b>	<b>BAC</b>	<b>B</b>	<b>1000</b>	<b>11.62</b>	<b>n/a</b>	<b>20-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>f SARAH ELIZABETH GRON</b>	<b>FID</b>	<b>BAC</b>	<b>B</b>	<b>100</b>	<b>11.60</b>	<b>n/a</b>	<b>20-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>f TIMOTHY MICHAEL GRON</b>	<b>FID</b>	<b>BAC</b>	<b>B</b>	<b>100</b>	<b>11.62</b>	<b>n/a</b>	<b>20-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>BBD</b>	<b>B</b>	<b>2000</b>	<b>21.65</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MICHAEL THOMAS NOLAN</b>	<b>FID</b>	<b>BEAV</b>	<b>B</b>	<b>10</b>	<b>0.45</b>	<b>n/a</b>	<b>12-Oct</b>	<b>0.00</b>	<b>0.0</b>
MORTAR ROCK	033	BEAV	SS	35,000	32.84	n/a	12-Oct	1,400.00	4.0
PROSPECTOR PARTNERS LLC	036	BRKB	B	1,800	82.96	n/a	n/a	72.00	4.0
PROSPECTOR PARTNERS LLC	036	CCE	B	3,300	24.34	n/a	n/a	132.00	4.0
CATAPULT	040	CE	B	10,000	34.70	n/a	n/a	400.00	4.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>CIM</b>	<b>B</b>	<b>1000</b>	<b>4.29</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MERRILL ASSET/BLACKROCK	266	CLB	S	2,700	84.05	n/a	21-Oct	108.00	4.0
RBC CAPITAL MARKETS	040	CLF	SS	15,000	64.70	n/a	n/a	600.00	4.0
PROSPECTOR PARTNERS LLC	036	CMCSK	B	2,400	18.50	n/a	n/a	96.00	4.0
PROSPECTOR PARTNERS LLC	036	CPB	B	2,400	36.30	n/a	n/a	96.00	4.0
PROSPECTOR PARTNERS LLC	036	CPN	B	3,300	12.41	n/a	n/a	132.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	266	CRR	S	1,000	85.19	n/a	30-Sep	40.00	4.0
JENNISON	070	CSCO	S	1,150,000	23.39	n/a	n/a	42,550.02	3.7
ENTRUST CAPITAL	040	CSX	S	10,900	59.84	n/a	n/a	545.00	5.0
STERLING JOHNSTON	035	CVGI	B	45,000	11.70	n/a	n/a	1,800.00	4.0
AMBER CAPITAL	046	CX	SS	137,000	8.05	n/a	n/a	5,480.00	4.0
<b>f</b> CHRISTINE MARIE NORM	<b>FID</b>	<b>C</b>	<b>B</b>	<b>50</b>	<b>4.16</b>	<b>n/a</b>	<b>19-Oct</b>	<b>0.00</b>	<b>0.0</b>
SCHOTTENFELD ASSOC	041	C	B	50,000	4.07	n/a	19-Oct	1,500.00	3.0
<b>ß</b> BUCK CAPITAL MGMT		<b>DAL</b>	<b>S</b>	<b>40,000</b>	<b>13.33</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> MARC PAUL LUCHANSKY	<b>FID</b>	<b>DAL</b>	<b>S</b>	<b>1000</b>	<b>13.34</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> MARK ANTHONY GRONET	<b>FID</b>	<b>DAN</b>	<b>S</b>	<b>1000</b>	<b>13.66</b>	<b>n/a</b>	<b>19-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>ß</b> BUCK CAPITAL MGMT		<b>DBRN</b>	<b>B</b>	<b>100,000</b>	<b>22.68</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß</b> BUCK CAPITAL MGMT		<b>DBRN</b>	<b>B</b>	<b>175,000</b>	<b>22.57</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>ß</b> BUCK CAPITAL MGMT		<b>DBRN</b>	<b>B</b>	<b>25,000</b>	<b>22.57</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß</b> BUCK CAPITAL MGMT		<b>DBRN</b>	<b>B</b>	<b>5,600</b>	<b>22.57</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>ß</b> BUCK CAPITAL MGMT		<b>DBRN</b>	<b>B</b>	<b>83,000</b>	<b>22.66</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> CHRISTOPHER ROBERT C	<b>FID</b>	<b>DBRN</b>	<b>B</b>	<b>300</b>	<b>22.52</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LOMBARDIA CAP MGMT	084	DBRN	B	35,831	23.15	n/a	n/a	1,703.61	5.0
HARBORWATCH/DIAMBACK	232	DD	B	25,000	47.24	n/a	23-Sep	1,250.00	5.0
COOPER CREEK PART	028	DPZ	SS	10,000	14.93	n/a	19-Oct	400.00	4.0

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PERRY PARTNERS	085	EBAY	S	100,000	27.90	n/a	n/a	5,000.00	5.0
NWQ INVESTMENT MGMT CO	084	ENTG	B	24,100	5.03	n/a	n/a	723.00	3.0
f MARC PAUL LUCHANSKY	FID	FEMKX	S	66	25.57	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	FFIV	S	75	93.39	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FILEX	S	80	8.79	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		FINL	B	50,000	15.84	n/a	n/a	non-brg	4.0
f FRANCIS MICHAEL MCCA	FID	FINL	S	600	15.92	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FLPSX	S	25	35.77	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FL	S	1000	15.63	n/a	14-Oct	0.00	0.0
ROARING BLUE LION MGMT	012	FRED	SS	20,000	12.34	n/a	n/a	800.00	4.0
f MARC PAUL LUCHANSKY	FID	FSAMX	B	302	10.26	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FSCFX	B	137	10.24	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FSHBX	B	47	8.52	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FUSOX	B	87	9.23	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	FWS	S	1500	5.55	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		F	S	71,300	14.01	n/a	19-Oct	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OZ MGMT	040	F	C	149,280	13.96	n/a	19-Oct	4,478.40	3.0
SIGMA CAP BOBBY	044	F	B	50,000	14.13	n/a	19-Oct	1,750.00	3.5
TROUBH PART	067	F	B	40,000	14.08	n/a	19-Oct	2,000.00	5.0
SAXON WOODS ADVISORS	242	GES	S	19,572	41.78	n/a	18-Oct	782.88	4.0
MILLENIUM PARTNERS	028	GE	SS	4,000	16.22	n/a	n/a	160.00	4.0
MILLENIUM PARTNERS	028	GE	S	46,000	16.22	n/a	n/a	1,840.00	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>GGP</b>	<b>B</b>	<b>2000</b>	<b>17.45</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
GRUSS CAPITAL	025	GLD	B	10,000	128.82	n/a	n/a	300.00	3.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>GS</b>	<b>B</b>	<b>10</b>	<b>2.61</b>	<b>n/a</b>	<b>19-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>GS</b>	<b>S</b>	<b>10</b>	<b>4.25</b>	<b>n/a</b>	<b>19-Oct</b>	<b>0.00</b>	<b>0.0</b>
OZ MGMT	040	HD	C	51,559	31.98	n/a	7-Oct	1,546.77	3.0
SHEFFIELD ASSET MGMT	031	HD	S	71,500	31.81	n/a	7-Oct	3,575.00	5.0
MORTAR ROCK	033	HRB	SS	10,000	10.70	n/a	n/a	400.00	4.0
MORTAR ROCK	033	HRS	SS	10,000	43.99	n/a	4-Aug	400.00	4.0
BROADARCH CAP/OLD NEWC	070	HTZ	B	16,000	10.54	n/a	n/a	640.00	4.0
KENNEDY CAPITAL	046	JAS	B	3,190	40.75	n/a	n/a	127.60	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>JBLU</b>	<b>S</b>	<b>50,000</b>	<b>6.99</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JBLU</b>	<b>S</b>	<b>75,000</b>	<b>7.00</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
BALYASNY ASSET MGMT	044	JCG	C	10,000	32.10	n/a	n/a	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		JCG	B	31,900	31.46	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		JCG	S	30,000	33.28	n/a	n/a	non-brg	4.0
f FRANCIS MICHAEL MCCA	FID	KSS	S	200	52.69	n/a	11-Oct	0.00	0.0
CATAPULT	040	KWK	SS	25,000	15.08	n/a	n/a	1,000.00	4.0
BALYASNY ASSET MGMT	044	LIFE	C	25,000	47.16	n/a	n/a	1,250.00	5.0
B BUCK CAPITAL MGMT		LIZ	B	50,000	6.58	n/a	7-Oct	non-brg	3.0
f KAREN F LEDDY	FID	LIZ	B	1200	6.65	n/a	7-Oct	0.00	0.0
f ALICE BEEBE LONGLEY	FID	LQD	B	300	112.46	n/a	n/a	0.00	0.0
LATEFF MGMT	035	LUV	S	2,500	13.55	n/a	n/a	250.00	10.0
f DAVID GEORGE BUCK	FID	MAR	S	1000	36.49	n/a	8-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	MFB	S	10,000	27.09	n/a	n/a	400.00	4.0
MOORE CAPITAL	028	MGM	B	20,000	11.32	n/a	13-Oct	800.00	4.0
B BUCK CAPITAL MGMT		MSMSRAW3	SS	31,100	118.25	n/a	n/a	non-brg	11.8
B BUCK CAPITAL MGMT		MS	B	40,700	24.54	n/a	21-Oct	non-brg	4.0
T. ROWE PRICE	033	NKE	B	25,100	81.95	n/a	n/a	1,004.00	4.0
ARMATURE CAPITAL	041	OC	B	50,000	28.20	n/a	n/a	2,000.00	4.0
11:11 CAPITAL CORP	046	ONXX	S	27,461	27.33	n/a	n/a	823.83	3.0

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WEISS PECK	040	PAG	B	50,000	13.76	n/a	19-Oct	2,500.00	5.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>PCRRX</b>	<b>S</b>	<b>47</b>	<b>8.53</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>PENN</b>	<b>S</b>	<b>150</b>	<b>32.83</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CR INTRINIC INVESTMENT	044	PFE	S	194,000	17.70	n/a	n/a	6,790.00	3.5
PERRY PARTNERS	085	PFE	B	150,000	17.80	n/a	n/a	7,500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>PIR</b>	<b>B</b>	<b>50,000</b>	<b>7.86</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
CSFB GLOBAL PROPRIETARY	041	PKG	B	70,000	24.09	n/a	19-Oct	3,500.00	5.0
SCHOTTENFELD ASSOC	041	PKG	B	20,000	23.61	n/a	19-Oct	600.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>PLCE</b>	<b>B</b>	<b>22,200</b>	<b>44.99</b>	<b>n/a</b>	<b>21-Oct</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PLCE</b>	<b>B</b>	<b>25,000</b>	<b>45.72</b>	<b>n/a</b>	<b>21-Oct</b>	<b>non-brg</b>	<b>2.5</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PLCE</b>	<b>B</b>	<b>50,000</b>	<b>45.90</b>	<b>n/a</b>	<b>21-Oct</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PLCE</b>	<b>B</b>	<b>55,000</b>	<b>45.31</b>	<b>n/a</b>	<b>21-Oct</b>	<b>non-brg</b>	<b>4.0</b>
<b>f MARGARET M DAVEY</b>	<b>FID</b>	<b>PLCE</b>	<b>B</b>	<b>200</b>	<b>44.65</b>	<b>n/a</b>	<b>21-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PSS</b>	<b>S</b>	<b>200,000</b>	<b>16.30</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
THIRD POINT MGMT	044	PSS	B	50,000	17.21	n/a	n/a	2,000.00	4.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>PZFBVX</b>	<b>S</b>	<b>51</b>	<b>15.67</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FIRST NEW YORK NICK	029	Q	B	20,000	6.43	n/a	n/a	1,000.00	5.0
ARCHON CAPITAL	035	RBCN	SS	10,000	23.79	n/a	n/a	300.00	3.0
OHIO PERS	047	RCL	B	42,000	34.71	n/a	n/a	1,260.00	3.0

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	ARCHON CAPITAL	035	ROVI	SS	5,000	48.50	n/a	n/a	150.00	3.0	
f	KAREN F LEDDY	FID	RRR	B	1000	8.62	n/a	23-Jul	0.00	0.0	
f	MARC PAUL LUCHANSKY	FID	RYPFX	S	115	10.42	n/a	n/a	0.00	0.0	
f	MARC PAUL LUCHANSKY	FID	SDS	S	500	27.36	n/a	n/a	0.00	0.0	
	LAGRANGE CAP ADV	048	SKS	SS	10,000	10.75	n/a	n/a	500.00	5.0	
B	BUCK CAPITAL MGMT		SKX	S	100,000	24.09	n/a	n/a	non-brg	4.0	
B	BUCK CAPITAL MGMT		SKX	S	50,000	23.23	n/a	n/a	non-brg	4.0	
	CAXTON PART	040	SLM	SS	50,000	11.40	n/a	20-Oct	1,750.00	3.5	
f	ANDREW SINCLAIR	FID	SPY	B	280	0.78	n/a	n/a	0.00	0.0	
f	ANDREW SINCLAIR	FID	SPY	S	280	0.70	n/a	n/a	0.00	0.0	
	WEDBUSH/PACIFIC GROWTH EQTY LLC084	STX		B	10,000	15.24		n/a	n/a	400.00	4.0
	ENTRUST CAPITAL	040	TBL	S	20,100	21.08	n/a	n/a	1,005.00	5.0	
B	BUCK CAPITAL MGMT		TEX	B	25,000	23.13	n/a	18-Oct	non-brg	0.8	
B	BUCK CAPITAL MGMT		TEX	B	5,000	22.58	n/a	18-Oct	non-brg	4.0	
	PENNANT CAP MGMT	029	TEX	B	510,000	22.96	n/a	18-Oct	15,300.00	3.0	
	PLATTE RIVER CAPITAL	240	TEX	B	25,010	22.35	n/a	18-Oct	1,000.40	4.0	
	MORTAR ROCK	033	THO	SS	20,000	31.40	n/a	n/a	800.00	4.0	
	GRUSS CAPITAL	025	TLT	SS	20,000	101.57	n/a	n/a	600.00	3.0	



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B BUCK CAPITAL MGMT		TRLG	B	20,000	21.10	n/a	n/a	non-brg	4.0
f HARALAMBOS EFSTATHI	FID	TRLG	S	500	22.41	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	TRLG	S	440	22.44	n/a	n/a	0.00	0.0
DIAMONDBACK CAP MGMT	232	UPS	SS	7,500	69.02	n/a	n/a	375.00	5.0
B BUCK CAPITAL MGMT		URBN	S	100,000	29.62	n/a	n/a	non-brg	4.0
LAGRANGE CAP ADV	048	URI	SS	20,000	18.43	n/a	n/a	1,000.00	5.0
NOMURA CAPITAL	029	USG	B	11,600	12.11	n/a	18-Oct	348.00	3.0
TALKOT CAPITAL LLC	084	USG	B	10,000	12.03	n/a	18-Oct	400.00	4.0
BUCK CAPITAL MGMT	001	VFC	B	50,000	86.79	n/a	18-Oct	2,000.00	4.0
RBC CAPITAL MARKETS	040	VFC	SS	10,000	87.09	n/a	18-Oct	400.00	4.0
f DAVID GEORGE BUCK	FID	VLY	B	2000	13.13	n/a	n/a	0.00	0.0
f JOEL GIFFORD TISS	FID	VMC	B	1000	36.50	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	VNO	S	1500	91.00	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		VRA	S	5,500	23.52	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		VSTO	S	7,939	61.49	n/a	n/a	non-brg	4.0
f JOSEPH CIRO AMATURO	FID	VXX	B	5000	13.46	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	VXX	B	700	13.40	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	VXX	B	1000	13.42	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f ROBERT M DANIELS	FID	WEN	B	1000	4.77	n/a	15-Oct	0.00	0.0
B BUCK CAPITAL MGMT		WFMI	C	20,000	38.06	n/a	n/a	non-brg	4.0
f KEVIN MICHAEL O'GORM	FID	WFR	S	2500	12.37	n/a	n/a	0.00	0.0
SAC CAP/ROSEN FOR BOBBY	044	XLB	SS	150,000	34.76	n/a	n/a	5,250.00	3.5
B BUCK CAPITAL MGMT		XLF	SS	103,000	14.56	n/a	n/a	non-brg	2.0
LAGRANGE CAP ADV	048	X	B	10,000	42.50	n/a	n/a	500.00	5.0
NEW JERSEY DIV OF INV.	030	YSI	B	25,000	8.72	n/a	n/a	1,000.00	4.0
<b>TOTAL (Trade Date) :</b>							<b>158,385.54</b>		

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/20	BENNETT LAWRENCE	028	GTIV	C	8,250	23.79	n/a	n/a	330.00 4.0
AO,	10/20	BENNETT LAWRENCE	028	IPCM	C	8,150	29.39	n/a	n/a	326.00 4.0
AO,	10/20	BENNETT LAWRENCE	028	OPTR	B	4,800	10.12	n/a	n/a	192.00 4.0
AO,CXL	10/14	ADALY INV MGMT	031	PAG	S	5,000	13.86	n/a	19-Oct	250.00 5.0
AO,CRT	10/14	ADALY INV MGMT	031	PAG	S	5,000	13.86	n/a	19-Oct	200.00 4.0
AO,	10/20	NOMURA CAPITAL	029	SSCC	S	7,500	22.58	n/a	18-Oct	225.00 3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>1,023.00</b>

TOTAL (Trade Date):	158,385.54
TOTAL (AO, CXL, CRT):	1,023.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>159,408.54</b>
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MRI Securities with Trade Activity on 21-Oct. NONE
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MRI Securities without Trade Activity on 21-Oct. NTRS, PRX, MCD, GR
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BRG comm. as a % of BCM Total Comm. paid.

T-Date = 7%

YTD = 11%

**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**

**Watch List Trades**

**f: Employee Trades (Fidelity)**