



# Daily Compliance Activity Report

Trade Date: 11/05/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B</b> BUCK CAPITAL MGMT		<b>ACOM</b>	<b>S</b>	<b>1,000</b>	<b>16.10</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
NEW JERSEY DIV OF INV.	030	ADSK	S	4,000	25.26	n/a	n/a	120.00	3.0
ADAGE CAPITAL MGMT	030	AEO	B	114,522	15.96	n/a	2-Nov	4,580.88	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>AEO</b>	<b>B</b>	<b>100,000</b>	<b>16.10</b>	<b>n/a</b>	<b>2-Nov</b>	<b>non-brg</b>	<b>0.8</b>
<b>B</b> BUCK CAPITAL MGMT		<b>AEO</b>	<b>B</b>	<b>13,000</b>	<b>15.93</b>	<b>n/a</b>	<b>2-Nov</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>AEO</b>	<b>B</b>	<b>300,000</b>	<b>15.73</b>	<b>n/a</b>	<b>2-Nov</b>	<b>non-brg</b>	<b>4.0</b>
JP MORGAN VENTURES	046	AEO	B	20,000	15.78	n/a	2-Nov	1,000.00	5.0
THIRD COAST CAPITAL	035	AEO	S	15,000	15.75	n/a	2-Nov	750.00	5.0
<b>B</b> BUCK CAPITAL MGMT		<b>ANF</b>	<b>S</b>	<b>250,000</b>	<b>34.50</b>	<b>n/a</b>	<b>2-Nov</b>	<b>non-brg</b>	<b>4.0</b>
RBC CAPITAL MARKETS	040	ANF	SS	5,000	33.19	n/a	2-Nov	200.00	4.0
SIGMA CAPITAL ASSOCIATES	041	ANF	B	25,000	34.99	n/a	2-Nov	1,000.00	4.0
<b>f</b> JOSEPH CIRO AMATURO	<b>FID</b>	<b>APC</b>	<b>S</b>	<b>4000</b>	<b>65.75</b>	<b>n/a</b>	<b>3-Nov</b>	<b>0.00</b>	<b>0.0</b>
BUCK CAPITAL MGMT	<b>001</b>	<b>ARO</b>	<b>B</b>	<b>200,000</b>	<b>33.04</b>	<b>n/a</b>	<b>2-Nov</b>	<b>8,000.00</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>ARO</b>	<b>B</b>	<b>20,000</b>	<b>33.21</b>	<b>n/a</b>	<b>2-Nov</b>	<b>non-brg</b>	<b>0.8</b>
<b>B</b> BUCK CAPITAL MGMT		<b>ARO</b>	<b>B</b>	<b>5,000</b>	<b>32.75</b>	<b>n/a</b>	<b>2-Nov</b>	<b>non-brg</b>	<b>4.0</b>
RBC CAPITAL MARKETS	040	ARO	B	5,000	34.13	n/a	2-Nov	200.00	4.0
RBC CAPITAL MARKETS	040	AXL	S	40,000	6.87	n/a	2-Nov	1,600.00	4.0
HUNTER GLOBAL INVESTOR	067	AXP	S	50,000	36.60	n/a	4-Nov	2,500.00	5.0
<b>B</b> BUCK CAPITAL MGMT		<b>BARC LN</b>	<b>SS</b>	<b>100,000</b>	<b>5.54</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>BGU</b>	<b>S</b>	<b>5000</b>	<b>49.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>BGZ</b>	<b>B</b>	<b>5000</b>	<b>20.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>BGZ</b>	<b>S</b>	<b>5000</b>	<b>20.43</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
RBC CAPITAL MARKETS	040	BKE	SS	5,000	30.34	n/a	n/a	200.00	4.0
NEW JERSEY DIV OF INV.	030	BK	S	100,000	26.27	n/a	21-Oct	4,000.00	4.0
BAIRD INVESTMENT	047	BUCY	S	8,600	49.82	n/a	26-Oct	430.00	5.0
BALYASNY ASSET MGMT	044	BX	B	25,000	13.65	n/a	n/a	1,250.00	5.0
NEW JERSEY DIV OF INV.	030	CEG	S	20,000	32.49	n/a	n/a	800.00	4.0
NEW JERSEY DIV OF INV.	030	CERN	B	10,000	76.98	n/a	n/a	300.00	3.0
RBC CAPITAL MARKETS	040	COST	B	5,000	58.19	n/a	n/a	200.00	4.0
TPG-AXON	040	CPB	C	70,000	32.02	n/a	n/a	3,500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>CRI</b>	<b>B</b>	<b>35,800</b>	<b>23.59</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CRI</b>	<b>B</b>	<b>45,000</b>	<b>23.50</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
CAXTON PART	040	CSCO	B	15,159	23.96	n/a	n/a	530.57	3.5
<b>f JESSICA PERNO</b>	<b>FID</b>	<b>CVGI</b>	<b>B</b>	<b>75</b>	<b>5.38</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>CVGI</b>	<b>B</b>	<b>10000</b>	<b>5.17</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f STEFFANIE CARMELA CA</b>	<b>FID</b>	<b>CVGI</b>	<b>B</b>	<b>1200</b>	<b>5.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f JOEL GIFFORD TISS</b>	<b>FID</b>	<b>CVS</b>	<b>B</b>	<b>2000</b>	<b>28.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MARINER/TRICADIA	041	CXW	B	20,000	24.62	n/a	n/a	1,000.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>DBRN</b>	<b>B</b>	<b>20,000</b>	<b>18.03</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DECK</b>	<b>S</b>	<b>20,000</b>	<b>92.34</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
AVESTA CAP	229	DIS	B	200,000	28.75	n/a	n/a	8,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>DLTR</b>	<b>B</b>	<b>60,000</b>	<b>48.16</b>	<b>n/a</b>	<b>3-Nov</b>	<b>non-brg</b>	<b>4.0</b>
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>DPTR</b>	<b>B</b>	<b>10000</b>	<b>1.17</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
OVERLAND PARK CAP	041	DRI	B	10,500	32.80	n/a	2-Oct	420.00	4.0
<b>f WILLIAM J GAULT</b>	<b>FID</b>	<b>FAZ</b>	<b>B</b>	<b>10000</b>	<b>22.48</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f WILLIAM J GAULT</b>	<b>FID</b>	<b>FAZ</b>	<b>S</b>	<b>10000</b>	<b>22.19</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
RBC CAPITAL MARKETS	040	FL	SS	10,000	10.43	n/a	n/a	400.00	4.0
BMO NESBITT BURNS	041	FOR	B	25,000	16.24	n/a	5-Nov	1,250.00	5.0
RBC CAPITAL MARKETS	040	FOR	B	40,000	16.51	n/a	5-Nov	1,600.00	4.0
THIRD COAST CAPITAL	035	FOR	B	5,000	16.25	n/a	5-Nov	250.00	5.0
BAIRD INVESTMENT	047	FWLT	B	10,825	31.39	n/a	n/a	541.25	5.0
S.A.C. CAP/ORENSTEIN	044	F	S	250,000	7.37	n/a	4-Nov	10,000.00	4.0
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>GAZ</b>	<b>B</b>	<b>5000</b>	<b>13.46</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	GPS	SS	20,000	22.30	n/a	n/a	800.00	4.0
SIGMA CAPITAL ASSOCIATES	041	GPS	B	25,000	22.93	n/a	n/a	1,000.00	4.0
ASCEND PARTNERS	033	GYMB	B	65,000	41.12	n/a	2-Nov	3,250.00	5.0
<b>f</b> BUCK CAPITAL MGMT		GYMB	B	10,000	40.77	n/a	2-Nov	non-brg	0.8
<b>f</b> BUCK CAPITAL MGMT		GYMB	B	20,000	40.97	n/a	2-Nov	non-brg	2.5
<b>f</b> BUCK CAPITAL MGMT		GYMB	B	5,000	40.56	n/a	2-Nov	non-brg	4.0
<b>f</b> BUCK CAPITAL MGMT		GYMB	B	50,000	41.21	n/a	2-Nov	non-brg	4.0
<b>f</b> BUCK CAPITAL MGMT		GYMB	B	50,000	41.38	n/a	2-Nov	non-brg	4.0
<b>f</b> BUCK CAPITAL MGMT		GYMB	B	80,000	40.98	n/a	2-Nov	non-brg	4.0
DAVIDSON INV ADV	035	GYMB	B	32,305	40.95	n/a	2-Nov	1,292.20	4.0
SIGMA CAPITAL ASSOCIATES	041	GYMB	SS	15,000	41.86	n/a	2-Nov	600.00	4.0
<b>f</b> ROBERT M DANIELS	<b>FID</b>	<b>HOV</b>	<b>S</b>	<b>500</b>	<b>4.36</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CATAPULT	040	ID	B	14,669	5.98	n/a	n/a	586.76	4.0
MACKLOWE ASSET MGMT	041	IGT	S	50,000	18.53	n/a	n/a	2,000.00	4.0
EXIS CAPITAL	044	INTC	B	25,000	18.89	n/a	n/a	1,250.00	5.0
SCOPUS FUND	041	IP	S	50,000	23.47	n/a	28-Oct	2,500.00	5.0
NEW JERSEY DIV OF INV.	030	JAKK	B	20,000	11.87	n/a	n/a	600.00	3.0
NEW JERSEY DIV OF INV.	030	JAVA	S	350,000	8.29	n/a	n/a	10,500.00	3.0
<b>f</b> JASON ERIC COHEN	<b>FID</b>	<b>JBLU</b>	<b>B</b>	<b>393</b>	<b>4.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ADAGE CAPITAL MGMT	030	JCP	SS	200,000	30.13	n/a	2-Nov	8,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	JCP	SS	5,000	30.55	n/a	2-Nov	200.00	4.0
NEUBERGER BERMAN	036	JNS	S	480,000	13.09	n/a	3-Nov	21,600.00	4.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JWN</b>	<b>B</b>	<b>10,000</b>	<b>32.92</b>	<b>n/a</b>	<b>2-Nov</b>	<b>400.00</b>	<b>4.0</b>
THE BOSTON COMPANY	039	KCP	S	11,000	9.95	n/a	n/a	440.00	4.0
ELM RIDGE ADVISORS	044	KPPC	S	23,900	7.10	n/a	n/a	717.00	3.0
KENNEDY CAPITAL	046	KPPC	B	50,000	7.11	n/a	n/a	1,500.00	3.0
BASCOM HILL PARTNERS LLC	033	KSS	SS	15,000	55.95	n/a	2-Nov	450.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KSS</b>	<b>B</b>	<b>150,000</b>	<b>54.29</b>	<b>n/a</b>	<b>2-Nov</b>	<b>6,000.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>		<b>KSS</b>	<b>B</b>	<b>10,000</b>	<b>54.06</b>	<b>n/a</b>	<b>2-Nov</b>	<b>non-brg</b>	<b>1.0</b>
<b>BUCK CAPITAL MGMT</b>		<b>KSS</b>	<b>B</b>	<b>110,000</b>	<b>53.89</b>	<b>n/a</b>	<b>2-Nov</b>	<b>non-brg</b>	<b>0.8</b>
<b>BUCK CAPITAL MGMT</b>		<b>KSS</b>	<b>B</b>	<b>2,600</b>	<b>54.95</b>	<b>n/a</b>	<b>2-Nov</b>	<b>non-brg</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>		<b>KSS</b>	<b>B</b>	<b>20,000</b>	<b>53.94</b>	<b>n/a</b>	<b>2-Nov</b>	<b>non-brg</b>	<b>4.0</b>
JP MORGAN VENTURES	046	KSS	B	20,000	54.28	n/a	2-Nov	1,000.00	5.0
BALYASNY ASSET MGMT	044	LM	C	50,000	30.29	n/a	3-Nov	2,500.00	5.0
SCOPUS FUND	041	LPX	S	80,200	6.17	n/a	4-Nov	4,010.00	5.0
FIRST NEW YORK LEDDY	035	LVLTT	S	10,000	1.22	n/a	n/a	600.00	6.0
<b>BUCK CAPITAL MGMT</b>		<b>MFB</b>	<b>B</b>	<b>35,000</b>	<b>15.05</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
DAVIDSON KEMPNER ADVISOR	040	MOT	S	25,000	9.28	n/a	n/a	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>		<b>MVRX</b>	<b>SS</b>	<b>75,000</b>	<b>160.83</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>16.1</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROSEDALE CAPITAL	046	MYL	S	10,000	17.23	n/a	2-Nov	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>M</b>	<b>B</b>	<b>80,000</b>	<b>17.83</b>	<b>n/a</b>	<b>2-Nov</b>	<b>non-brg</b>	<b>4.0</b>
WEISS PECK	040	M	C	4,380	17.18	n/a	2-Nov	219.00	5.0
<b>f JOHN BARTMAN COLE</b>	<b>FID</b>	<b>NBRXF</b>	<b>B</b>	<b>250</b>	<b>12.42</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARK ADAM WEINTRAUB</b>	<b>FID</b>	<b>NBRXF</b>	<b>B</b>	<b>500</b>	<b>12.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COHE & STEERS	091	PCL	S	500,000	32.90	n/a	30-Oct	20,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>PHM</b>	<b>B</b>	<b>100,000</b>	<b>9.79</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
RBC CAPITAL MARKETS	040	POT	S	7,500	94.17	n/a	n/a	300.00	4.0
JP MORGAN VENTURES	046	PVH	S	10,000	41.40	n/a	2-Nov	0.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>QKLS</b>	<b>B</b>	<b>5,579</b>	<b>6.47</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>f STRATTON PARTNERSHIP</b>	<b>FID</b>	<b>REG</b>	<b>B</b>	<b>75</b>	<b>33.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
THOMAS WEISEL ASSET MGMT	035	ROCK	S	6,320	13.65	n/a	n/a	189.60	3.0
NEW JERSEY DIV OF INV.	030	SANM	B	160,000	8.11	n/a	n/a	4,800.00	3.0
HOLLIS CAPITAL	033	SII	B	5,000	29.18	n/a	n/a	250.00	5.0
THIRD COAST CAPITAL	035	SKS	B	40,000	5.64	n/a	n/a	2,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKX</b>	<b>S</b>	<b>30,000</b>	<b>22.76</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>

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ADAGE CAPITAL MGMT	030	SMG	SS	30,000	42.83	n/a	n/a	1,200.00	4.0
NEUBERGER BERMAN	036	SPG	S	10,600	68.55	n/a	n/a	477.00	4.5
DAVIDSON KEMPNER ADVISOR	040	SPY	C	2,025	106.63	n/a	n/a	101.25	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>SSI</b>	<b>C</b>	<b>20,000</b>	<b>12.11</b>	<b>n/a</b>	<b>2-Nov</b>	<b>non-brg</b>	<b>2.5</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SSI</b>	<b>C</b>	<b>22,600</b>	<b>12.16</b>	<b>n/a</b>	<b>2-Nov</b>	<b>non-brg</b>	<b>0.8</b>
NEW JERSEY DIV OF INV.	030	STEC	B	50,000	14.40	n/a	n/a	1,500.00	3.0
SANDLER O'NEILL ASSET	031	STT	B	25,000	41.15	n/a	23-Oct	1,250.00	5.0
RBC CAPITAL MARKETS	040	TGT	B	5,000	49.06	n/a	5-Nov	200.00	4.0
THIRD COAST CAPITAL	035	TGT	B	4,000	49.29	n/a	5-Nov	200.00	5.0
BMO NESBITT BURNS	041	TIN	B	25,000	15.90	n/a	22-Oct	1,250.00	5.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>TROW</b>	<b>B</b>	<b>100</b>	<b>49.62</b>	<b>n/a</b>	<b>3-Nov</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>TWB</b>	<b>B</b>	<b>20,000</b>	<b>8.43</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
TPG-AXON	040	TWC	B	300,000	40.43	n/a	n/a	15,000.00	5.0
SUN AMERICA ASSET MGMT	030	T	B	30,000	25.91	n/a	n/a	1,200.00	4.0
<b>f JOHN BARTMAN COLE</b>	<b>FID</b>	<b>UNG</b>	<b>S</b>	<b>700</b>	<b>9.87</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NEW JERSEY DIV OF INV.	030	UNH	S	100,000	28.03	n/a	n/a	4,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B</b> BUCK CAPITAL MGMT		URBN	B	10,000	31.66	n/a	n/a	non-brg	4.0
THE BOSTON COMPANY	039	URBN	S	130,860	31.55	n/a	n/a	5,234.40	4.0
THIRD COAST CAPITAL	035	URBN	B	10,000	30.87	n/a	n/a	500.00	5.0
NEUBERGER BERMAN	036	VNO	S	13,100	61.02	n/a	n/a	589.50	4.5
WAGONHOUND/NIC	048	WBC	B	5,675	23.53	n/a	29-Oct	227.00	4.0
<b>f</b> JOHN BARTMAN COLE	FID	WFR	S	200	12.82	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	WRC	S	50,000	41.62	n/a	5-Nov	2,000.00	4.0
GRUSS CAPITAL	045	WSM	B	20,000	19.13	n/a	n/a	600.00	3.0
PAW PARTNERS	045	YHOO	B	20,000	15.89	n/a	n/a	1,000.00	5.0
<b>TOTAL (Trade Date) :</b>							<b>193,656.41</b>		



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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/04	ROSEDALE CAPITAL	046	AXL	B	25,000	6.58	n/a	2-Nov	1250.00 5.0
AO,CRT	11/04	ROSEDALE CAPITAL	046	AXL	B	25,000	6.58	n/a	2-Nov	1000.00 4.0
AO,CXL	11/04	WINSLOW CAPITAL	030	GILD	B	500	44.17	n/a	n/a	20.00 4.0
AO,CRT	11/04	WINSLOW CAPITAL	030	GILD	B	500	44.17	n/a	n/a	20.00 4.0
AO,CRT	11/03	NEW JERSEY DIV OF INV.	030	RGC	S	10,000	12.65	n/a	n/a	300.00 3.0
AO,CXL	11/03	NEW JERSEY DIV OF INV.	030	RGC	S	10,000	12.65	n/a	n/a	400.00 4.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-350.00</b>
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TOTAL (Trade Date) :	193,656.41
TOTAL (AO, CXL, CRT) :	-350.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>193,306.41</b>
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MRI Securities with Trade Activity on 5-Nov. NONE
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MRI Securities without Trade Activity on 5-Nov. NDN
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BRG comm. as a % of BCM Total Comm. paid.

T-Date = 22%

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**

**Watch List Trades**

**f: Employee Trades (Fidelity)**