



Daily Compliance Activity Report

Trade Date: 10/04/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		1913 HK	S	388,800	3.73	n/a	n/a	non-brg	0.0
Õ Abram Chappel		AAPL	B	13	368.76	n/a	n/a	0.00	0.0
COLUMBIA PARTNERS	028	ABCO	S	26,880	59.11	n/a	n/a	1,075.20	4.0
f DAVID GEORGE BUCK	FID	ABT	B	500	49.61	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	297	AKR	B	5,000	17.65	n/a	n/a	200.00	4.0
B BUCK CAPITAL MGMT		ANF	S	20,000	60.22	n/a	18-Aug	non-brg	4.0
B BUCK CAPITAL MGMT		ANN	S	20,000	21.92	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		APC	B	8,400	60.15	n/a	27-Sep	non-brg	4.0
APEX CAPITAL MGMT.	261	APEI	SS	1,313	32.88	n/a	n/a	52.52	4.0
f ALEXANDER PRYLUCKI	FID	ARCO	S	250	21.51	n/a	3-Oct	0.00	0.0
APEX CAPITAL MGMT.	261	ARCO	B	10,600	22.13	n/a	3-Oct	424.00	4.0
COUGAR TRADING	044	ARCO	S	5,000	20.99	n/a	3-Oct	250.00	5.0
B BUCK CAPITAL MGMT		ARO	C	50,000	10.69	n/a	19-Aug	non-brg	4.0
f ALEXANDER PRYLUCKI	FID	ASCA	S	100	14.78	n/a	13-Jan	0.00	0.0
SCOUT/UMB	047	ATI	S	45,805	31.47	n/a	n/a	1,832.20	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
APEX CAPITAL MGMT.	261	ATVI	SS	49,200	11.77	n/a	n/a	1,968.00	4.0
SANDLER O'NEILL ASSET	031	AXP	B	45,000	41.88	n/a	28-Sep	2,250.00	5.0
B BUCK CAPITAL MGMT		BBBY	S	20,000	53.73	n/a	n/a	non-brg	4.0
f WILLIAM WEINBERG	FID	BDE	S	2800	6.07	n/a	n/a	0.00	0.0
APEX CAPITAL MGMT.	261	BDX	SS	4,700	70.78	n/a	n/a	188.00	4.0
BMO NESBITT BURNS	041	BIG	B	3,000	33.33	n/a	25-Aug	120.00	4.0
HARVEST MGMT	029	BIG	B	20,000	33.60	n/a	25-Aug	800.00	4.0
RIDGECREST INV MGMT LLC	028	BIG	B	7,100	33.08	n/a	25-Aug	355.00	5.0
MERRILL ASSET/BLACKROCK	297	BMR	B	5,000	15.88	n/a	n/a	200.00	4.0
APEX CAPITAL MGMT.	261	BWA	SS	3,900	57.15	n/a	29-Jul	156.00	4.0
APEX CAPITAL MGMT.	261	BWLD	SS	5,000	55.57	n/a	n/a	200.00	4.0
B BUCK CAPITAL MGMT		BYD	B	115,000	4.49	n/a	n/a	non-brg	2.0
f DAVID GEORGE BUCK	FID	CAH	B	15	0.13	n/a	n/a	0.00	0.0
BASIX	033	CE	S	20,000	30.38	n/a	20-May	600.00	3.0
B BUCK CAPITAL MGMT		CHS	C	100,000	10.89	n/a	5-Feb	non-brg	4.0
APEX CAPITAL MGMT.	261	CMG	SS	1,000	291.08	n/a	3-Oct	40.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	297	COG	S	7,000	57.10	n/a	27-Sep	280.00	4.0
APEX CAPITAL MGMT.	261	COP	SS	11,700	60.12	n/a	n/a	468.00	4.0
KLEINHEINZ CAP PART	031	COST	SS	40,000	79.12	n/a	n/a	2,000.00	5.0
BMO NESBITT BURNS	041	CRI	SS	2,000	30.99	n/a	n/a	80.00	4.0
APEX CAPITAL MGMT.	261	CRM	SS	2,900	113.71	n/a	n/a	116.00	4.0
B BUCK CAPITAL MGMT		CSTR	S	10,000	41.20	n/a	n/a	non-brg	4.0
f JONATHAN RICHARD HAR	FID	CVGI	B	400	6.17	n/a	n/a	0.00	0.0
f ALEXANDER PRYLUCKI	FID	CXS	S	175	8.20	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		CXS	S	20,000	8.10	n/a	n/a	non-brg	3.0
f WILLIAM J GAULT	FID	CXS	S	8000	8.19	n/a	n/a	0.00	0.0
APEX CAPITAL MGMT.	261	CY	SS	47,900	14.04	n/a	n/a	1,916.00	4.0
f ALANA J A MADIGAN-SI	FID	C	B	200	22.35	n/a	27-Sep	0.00	0.0
B BUCK CAPITAL MGMT		C	B	23,000	22.53	n/a	27-Sep	non-brg	4.0
PIIONEER PATH	028	C	B	46,260	22.92	n/a	27-Sep	1,387.80	3.0
B BUCK CAPITAL MGMT		DHI	B	115,000	8.41	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		DIA	C	5,000	105.63	n/a	n/a	non-brg	2.0
APEX CAPITAL MGMT.	261	DO	SS	4,200	52.26	n/a	n/a	168.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		DSW	S	30,000	44.97	n/a	11-Feb	non-brg	4.0
APEX CAPITAL MGMT.	261	DXCM	B	11,500	11.77	n/a	n/a	460.00	4.0
B BUCK CAPITAL MGMT		EAT	S	150,000	20.06	n/a	3-Oct	non-brg	4.0
APEX CAPITAL MGMT.	261	ERTS	S	2,400	19.55	n/a	n/a	96.00	4.0
B BUCK CAPITAL MGMT		ESV	B	13,000	38.30	n/a	n/a	non-brg	4.0
f JOSEPH CIRO AMATURO	FID	FAS	B	10000	8.82	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	FAZ	S	10000	80.43	n/a	n/a	0.00	0.0
LEVIN CAPITAL STRATEGIES	041	FDO	C	28,048	49.65	n/a	29-Sep	841.44	3.0
SCOUT/UMB	047	FII	S	6,000	16.64	n/a	2-Mar	240.00	4.0
B BUCK CAPITAL MGMT		FINL	S	70,000	18.88	n/a	23-Sep	non-brg	4.0
B BUCK CAPITAL MGMT		FL	S	100,000	19.00	n/a	19-Aug	non-brg	4.0
BALYASNY ASSET MGMT	044	F	B	100,000	9.39	n/a	4-Oct	4,000.00	4.0
BALYASNY ASSET MGMT	044	F	S	100,000	9.70	n/a	4-Oct	4,000.00	4.0
OZ MGMT	040	F	C	693,317	9.36	n/a	4-Oct	20,799.51	3.0
B BUCK CAPITAL MGMT		GCO	S	10,000	49.37	n/a	n/a	non-brg	4.0
AVESTA CAP	229	GE	C	400,000	14.58	n/a	n/a	12,000.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
APEX CAPITAL MGMT.	261	GIII	B	4,400	22.33	n/a	n/a	176.00	4.0
⚡ BUCK CAPITAL MGMT		GIL	S	100,000	23.55	n/a	5-Aug	non-brg	4.0
STRONG/MARK GRONET	030	GLBL	S	200,000	7.92	n/a	n/a	6,000.00	3.0
⚡ WILLIAM WEINBERG	FID	GLD	S	2500	155.72	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		GMCR	B	30,000	87.96	n/a	n/a	non-brg	2.5
SANDLER CAPITAL	028	GM	C	260,000	19.35	n/a	4-Oct	13,000.00	5.0
WEINTRAUB CAPITAL MGT.	040	GM	B	50,000	19.98	n/a	4-Oct	2,000.00	4.0
TALPION LLC	040	GNC	B	5,000	20.26	n/a	n/a	200.00	4.0
MACQUARIE INVESTMENT MGMT.	040	GPS	B	10,000	16.25	n/a	n/a	0.00	0.0
APEX CAPITAL MGMT.	261	GRMN	SS	11,400	31.19	n/a	n/a	456.00	4.0
⚡ BUCK CAPITAL MGMT		HBI	S	25,000	23.28	n/a	21-Jul	non-brg	0.8
⚡ BUCK CAPITAL MGMT		HBI	S	35,000	23.82	n/a	21-Jul	non-brg	4.0
⚡ BUCK CAPITAL MGMT		HBI	S	5,000	23.58	n/a	21-Jul	non-brg	0.8
⚡ BUCK CAPITAL MGMT		HBI	S	55,000	23.83	n/a	21-Jul	non-brg	4.0
APEX CAPITAL MGMT.	261	ICON	B	10,600	15.03	n/a	n/a	424.00	4.0
SCOPUS FUND	041	IR	B	8,784	26.14	n/a	30-Sep	351.36	4.0
APEX CAPITAL MGMT.	261	IWM	SS	12,800	61.46	n/a	n/a	256.00	2.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	JASON ERIC COHEN	FID	IWM	B	3	2.08	n/a	n/a	0.00	0.0
f	JASON ERIC COHEN	FID	IWM	S	3	2.10	n/a	n/a	0.00	0.0
	APEX CAPITAL MGMT.	261	IYT	SS	4,500	72.69	n/a	n/a	90.00	2.0
	APEX CAPITAL MGMT.	261	JWN	B	10,600	46.70	n/a	28-Sep	424.00	4.0
	BNP PARIBAS SEC	040	JWN	S	25,000	47.76	n/a	28-Sep	1,250.00	5.0
	ACK ASSET	028	KSS	SS	28,000	48.67	n/a	28-Sep	840.00	3.0
	APEX CAPITAL MGMT.	261	LEA	B	4,100	40.85	n/a	5-Aug	164.00	4.0
	BRONSON POINT	036	LEA	B	10,000	42.79	n/a	5-Aug	300.00	3.0
B	BUCK CAPITAL MGMT		LEA	B	3,200	40.05	n/a	5-Aug	non-brg	2.5
B	BUCK CAPITAL MGMT		LEA	B	9,800	39.93	n/a	5-Aug	non-brg	1.0
	LEVIN CAPITAL STRATEGIES	041	LEA	B	17,500	42.41	n/a	5-Aug	525.00	3.0
B	BUCK CAPITAL MGMT		LEN	B	75,000	12.70	n/a	n/a	non-brg	4.0
	APEX CAPITAL MGMT.	261	LH	SS	4,000	76.28	n/a	n/a	160.00	4.0
	PRIMECAP MGMT	084	LIFE	B	17,349	37.07	n/a	n/a	693.96	4.0
	APEX CAPITAL MGMT.	261	LLY	SS	14,400	36.06	n/a	n/a	576.00	4.0
	ADAGE CAPITAL MGMT	030	LTD	B	194,000	38.51	n/a	n/a	5,820.00	3.0
	APEX CAPITAL MGMT.	261	LTM	SS	11,200	35.88	n/a	n/a	448.00	4.0
f	JOSEPH CIRO AMATURO	FID	MCHP	B	1000	30.70	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		MDC	S	136,020	15.50	n/a	n/a	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
ß	BUCK CAPITAL MGMT		MDC	S	45,000	15.56	n/a	n/a	non-brg 2.0
	KLEINHEINZ CAP PART	031	MJN	B	50,000	67.46	n/a	n/a	2,500.00 5.0
	SCOPUS FUND	041	MMM	B	4,500	69.69	n/a	7-Sep	180.00 4.0
ß	BUCK CAPITAL MGMT		MPEL	B	100,000	7.97	n/a	13-Jun	non-brg 3.0
ß	BUCK CAPITAL MGMT		MPEL	B	100,000	7.97	n/a	13-Jun	non-brg 3.0
f	ALEXANDER PRYLUCKI	FID	MSG	S	100	21.37	n/a	n/a	0.00 0.0
ß	BUCK CAPITAL MGMT		MSMSBCD	C	42,000	81.63	n/a	n/a	non-brg 6.5
ß	BUCK CAPITAL MGMT		MSMSBCM	C	500,000	82.68	n/a	n/a	non-brg 6.6
ß	BUCK CAPITAL MGMT		MSMSBOB	S	42,300	90.29	n/a	n/a	non-brg 7.2
ß	BUCK CAPITAL MGMT		MSMSBOB	S	80,000	91.50	n/a	n/a	non-brg 7.3
	CASTLE ARK	031	MTD	B	26,830	131.20	n/a	n/a	1,341.50 5.0
	ADAGE CAPITAL MGMT	030	M	S	182,327	25.45	n/a	28-Sep	5,469.81 3.0
	BRONSON POINT	036	M	B	50,000	26.03	n/a	28-Sep	1,500.00 3.0
ß	BUCK CAPITAL MGMT		M	S	200,000	25.27	n/a	28-Sep	non-brg 4.0
	APEX CAPITAL MGMT.	261	NAV	B	4,800	31.14	n/a	14-Sep	192.00 4.0
	SERENGETI MGMT	030	NCT	B	200,000	3.77	n/a	n/a	6,000.00 3.0
	ADAGE CAPITAL MGMT	030	NDN	B	145,421	18.20	n/a	16-Sep	4,362.63 3.0
	CATAPULT	040	NDN	S	10,000	18.29	n/a	16-Sep	300.00 3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MOORE CAPITAL	041	NDN	B	23,006	18.13	n/a	16-Sep	920.24	4.0
SMITH MGMT LLC	029	NDN	S	175,000	18.28	n/a	16-Sep	5,250.00	3.0
f ALEXANDER PRYLUCKI	FID	NLY	S	125	14.81	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		NLY	S	10,000	14.82	n/a	n/a	non-brg	4.0
f WILLIAM J GAULT	FID	NLY	S	5000	14.87	n/a	n/a	0.00	0.0
SHIKIAR ASSET	025	NUE	S	9,000	30.75	n/a	n/a	450.00	5.0
BALLAST CAP	040	OCR	S	20,000	22.72	n/a	n/a	1,000.00	5.0
APEX CAPITAL MGMT.	261	OIH	SS	1,500	97.88	n/a	n/a	30.00	2.0
CATAPULT	040	OIS	B	25,000	48.49	n/a	n/a	1,000.00	4.0
SHIKIAR ASSET	025	ORCL	S	15,450	27.74	n/a	n/a	772.50	5.0
APEX CAPITAL MGMT.	261	OTEX	SS	11,000	48.28	n/a	n/a	440.00	4.0
AVESTA CAP	229	PCAR	SS	7,000	33.47	n/a	14-Sep	210.00	3.0
B BUCK CAPITAL MGMT		PII	B	10,000	49.82	n/a	n/a	non-brg	4.0
BMO NESBITT BURNS	041	PLCE	B	3,000	47.00	n/a	18-Aug	120.00	4.0
f DAVID GEORGE BUCK	FID	PM	S	1500	61.96	n/a	n/a	0.00	0.0
CATAPULT	040	PTEN	B	50,000	15.88	n/a	n/a	2,000.00	4.0
B BUCK CAPITAL MGMT		PVH	S	120,000	55.32	n/a	1-Sep	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
APEX CAPITAL MGMT.	261	RAD	B	181,400	0.90	n/a	n/a	3,628.00	2.0
B BUCK CAPITAL MGMT		RCL	B	50,700	19.81	n/a	n/a	non-brg	4.0
APEX CAPITAL MGMT.	261	RDY	SS	3,900	28.97	n/a	n/a	156.00	4.0
f EDWARD W WHEELER	FID	RRD	S	200	0.50	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	RUE	SS	3,000	22.55	n/a	n/a	120.00	4.0
B BUCK CAPITAL MGMT		RYL	B	100,000	9.57	n/a	n/a	non-brg	3.0
APEX CAPITAL MGMT.	261	SAP	SS	11,000	48.71	n/a	n/a	440.00	4.0
B BUCK CAPITAL MGMT		SFER IM	S	100,000	11.14	n/a	n/a	non-brg	1.7
B BUCK CAPITAL MGMT		SFLY	S	75,000	39.98	n/a	n/a	non-brg	4.0
THOMAS WEISEL ASSET MGMT	035	SFLY	S	13,500	35.07	n/a	n/a	405.00	3.0
LISTED ERR	099	SFL	S	2,500	12.01	n/a	n/a	0.00	0.0
APEX CAPITAL MGMT.	261	SGEN	SS	13,300	19.69	n/a	n/a	532.00	4.0
f JONATHAN RICHARD HAR	FID	SGI	B	230	10.73	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	SGI	B	2000	10.72	n/a	n/a	0.00	0.0
APEX CAPITAL MGMT.	261	SHLD	SS	1,600	61.05	n/a	n/a	64.00	4.0
APEX CAPITAL MGMT.	261	SIAL	SS	4,700	60.45	n/a	6-Sep	188.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MANNY I KORMAN	FID	SIJ	S	20000	67.28	n/a	n/a	0.00	0.0
APEX CAPITAL MGMT.	261	SLB	B	3,900	56.46	n/a	n/a	156.00	4.0
B BUCK CAPITAL MGMT		SLB	B	8,800	57.17	n/a	n/a	non-brg	4.0
f JOSEPH CIRO AMATURO	FID	SLW	B	1000	27.43	n/a	n/a	0.00	0.0
f JASON ERIC COHEN	FID	SPY	S	2	2.82	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SWFT	B	40,800	5.56	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		SWFT	B	50,000	5.54	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		SWN	B	15,400	32.57	n/a	27-Sep	non-brg	4.0
CAPITAL GROWTH MGMT.	241	TCO	S	80,000	49.29	n/a	n/a	4,000.00	5.0
APEX CAPITAL MGMT.	261	TDC	SS	13,000	51.01	n/a	n/a	520.00	4.0
PENNANT CAP MGMT	029	TDG	B	31,885	75.17	n/a	n/a	956.55	3.0
ROYCE TRADING	031	TER	S	55,000	11.00	n/a	n/a	2,750.00	5.0
APEX CAPITAL MGMT.	261	TEVA	B	13,600	35.56	n/a	3-Oct	544.00	4.0
APEX CAPITAL MGMT.	261	TIVO	B	97,900	8.98	n/a	n/a	2,937.00	3.0
APEX CAPITAL MGMT.	261	TJX	SS	11,200	54.16	n/a	28-Sep	448.00	4.0
SIMMONS VENTURES	041	TJX	B	5,000	54.20	n/a	28-Sep	200.00	4.0
SYSTEMATIC FINANCIAL MGT	035	TKR	B	20,000	32.82	n/a	n/a	600.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TOCQUEVILLE	035	TKR	B	39,000	31.41	n/a	n/a	1,950.00	5.0
APEX CAPITAL MGMT.	261	TMO	B	11,400	49.48	n/a	n/a	456.00	4.0
f JOSEPH CIRO AMATURO	FID	TNA	B	4000	27.04	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		TPX	S	10,000	47.65	n/a	n/a	non-brg	4.0
f EDWARD W WHEELER	FID	TWI	B	200	0.60	n/a	n/a	0.00	0.0
APEX CAPITAL MGMT.	261	TXT	SS	13,400	16.94	n/a	n/a	536.00	4.0
f MANNY I KORMAN	FID	TZA	S	10000	61.77	n/a	n/a	0.00	0.0
TALPION LLC	040	UA	C	4,000	66.38	n/a	27-Jul	160.00	4.0
SCOUT/UMB	047	UNT	S	5,500	35.00	n/a	27-Sep	220.00	4.0
B BUCK CAPITAL MGMT		URBN	C	50,000	22.36	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		URBN	C	50,000	22.38	n/a	n/a	non-brg	4.0
f JOSEPH CIRO AMATURO	FID	USA	B	10000	3.82	n/a	n/a	0.00	0.0
APEX CAPITAL MGMT.	261	VPHM	SS	15,100	17.66	n/a	n/a	604.00	4.0
APEX CAPITAL MGMT.	261	VTR	S	4,700	46.89	n/a	n/a	188.00	4.0
TOCQUEVILLE	035	WCC	B	25,000	31.82	n/a	n/a	1,250.00	5.0
APEX CAPITAL MGMT.	261	WCRX	B	10,600	13.21	n/a	3-Oct	424.00	4.0

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LISTED ERR	099	WCRX	B	2,200	13.18	n/a	3-Oct	0.00	0.0
LISTED ERR	099	WCRX	S	2,200	13.18	n/a	3-Oct	0.00	0.0
CATAPULT	040	WFT	SS	50,000	11.00	n/a	n/a	2,000.00	4.0
f STEFFANIE CARMELA CA	FID	WINN	B	750	5.33	n/a	n/a	0.00	0.0
ADAGE CAPITAL MGMT	030	WMT	B	300,000	52.04	n/a	25-Aug	9,000.00	3.0
APEX CAPITAL MGMT.	261	WRC	B	2,400	41.18	n/a	2-Aug	96.00	4.0
B BUCK CAPITAL MGMT		WRC	S	31,185	41.24	n/a	2-Aug	non-brg	4.0
THOMAS WEISEL ASSET MGMT	035	WRC	S	5,420	40.78	n/a	2-Aug	162.60	3.0
VISIUM/BALY BOBBY	044	XLI	SS	10,000	28.47	n/a	n/a	500.00	5.0
LEVIN CAPITAL STRATEGIES	041	XOM	SS	15,000	70.29	n/a	n/a	450.00	3.0
f JOSEPH CIRO AMATURO	FID	XPO	B	2500	6.66	n/a	n/a	0.00	0.0
APEX CAPITAL MGMT.	261	XRT	SS	41,000	44.92	n/a	n/a	820.00	2.0
B BUCK CAPITAL MGMT		XRT	C	11,500	43.90	n/a	n/a	non-brg	2.0
TOTAL (Trade Date):								165,217.82	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									165,217.82
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									165,217.82

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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MRI Securities with Trade Activity on 4-Oct.
NONE

MRI Securities without Trade Activity on 4-Oct.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 0%
YTD = 2%

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)