



# Daily Compliance Activity Report

Trade Date: 01/22/2010

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>AAPL</b>	<b>B</b>	<b>2,500</b>	<b>205.18</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>f</b> MAY Y TANG	<b>FID</b>	<b>AAPL</b>	<b>B</b>	<b>20</b>	<b>197.78</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BUCK CAPITAL MGMT	<b>001</b>	<b>AAP</b>	<b>SS</b>	<b>40,000</b>	<b>40.15</b>	<b>n/a</b>	<b>n/a</b>	<b>1,600.00</b>	<b>4.0</b>
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>ABT</b>	<b>S</b>	<b>2000</b>	<b>55.22</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> MATTHEW FRANCIS BUCK	<b>FID</b>	<b>ABT</b>	<b>S</b>	<b>400</b>	<b>55.28</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PECONIC PARTNERS	036	ABX	S	200,000	36.89	n/a	n/a	10,000.00	5.0
BUCK CAPITAL MGMT	<b>001</b>	<b>AEO</b>	<b>B</b>	<b>10,000</b>	<b>16.36</b>	<b>n/a</b>	<b>8-Jan</b>	<b>400.00</b>	<b>4.0</b>
EXIS CAPITAL	044	AEO	SS	20,000	16.38	n/a	8-Jan	1,000.00	5.0
NEUBERGER BERMAN	036	AKR	B	37,900	16.67	n/a	n/a	1,516.00	4.0
BUCK CAPITAL MGMT	<b>001</b>	<b>AMR</b>	<b>SS</b>	<b>150,000</b>	<b>7.99</b>	<b>n/a</b>	<b>n/a</b>	<b>4,500.00</b>	<b>3.0</b>
BUCK CAPITAL MGMT	<b>001</b>	<b>ANF</b>	<b>S</b>	<b>10,000</b>	<b>30.03</b>	<b>n/a</b>	<b>8-Jan</b>	<b>400.00</b>	<b>4.0</b>
JMP ASSET MGMT	210	ANF	S	15,400	30.05	n/a	8-Jan	770.00	5.0
BUCK CAPITAL MGMT	<b>001</b>	<b>ARO</b>	<b>B</b>	<b>20,000</b>	<b>34.15</b>	<b>n/a</b>	<b>8-Jan</b>	<b>800.00</b>	<b>4.0</b>
METROPOLITAN CAPITAL	044	AXL	B	18,400	9.04	n/a	4-Jan	920.00	5.0
<b>f</b> MANNY I KORMAN	<b>FID</b>	<b>AXP</b>	<b>B</b>	<b>4000</b>	<b>40.28</b>	<b>n/a</b>	<b>22-Jan</b>	<b>0.00</b>	<b>0.0</b>
GRUBER MACBAINE	033	BBBY	B	10,000	39.73	n/a	n/a	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f</b> JOHN MICHAEL ZOLIDIS	<b>FID</b>	<b>BKRS</b>	<b>B</b>	<b>2700</b>	<b>1.07</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DAVIDSON KEMPNER ADVISOR	040	BMV	C	10,000	24.60	n/a	n/a	500.00	5.0
<b>f</b> JONATHAN RICHARD HAR	<b>FID</b>	<b>BONT</b>	<b>S</b>	<b>788</b>	<b>8.33</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NEUBERGER BERMAN	036	BRC	S	33,100	30.12	n/a	n/a	1,324.00	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>BWIN AV</b>	<b>B</b>	<b>10,000</b>	<b>69.18</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>10.4</b>
<b>f</b> JOHN BARTMAN COLE	<b>FID</b>	<b>BXC</b>	<b>B</b>	<b>1200</b>	<b>2.54</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>CAH</b>	<b>B</b>	<b>1000</b>	<b>32.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>CAKE</b>	<b>C</b>	<b>60,000</b>	<b>21.90</b>	<b>n/a</b>	<b>19-Jan</b>	<b>non-brg</b>	<b>4.0</b>
METROPOLITAN CAPITAL	044	CAKE	B	14,600	21.30	n/a	19-Jan	730.00	5.0
<b>f</b> KEVIN MICHAEL O'GORM	<b>FID</b>	<b>CAMP</b>	<b>B</b>	<b>23</b>	<b>2.81</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TROUBH PART	067	CBG	S	35,000	13.00	n/a	n/a	1,750.00	5.0
LAGRANGE CAP ADV	048	CEC	S	10,000	35.25	n/a	n/a	500.00	5.0
<b>f</b> JOEL GIFFORD TISS	<b>FID</b>	<b>CNW</b>	<b>B</b>	<b>2000</b>	<b>30.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>COF</b>	<b>B</b>	<b>25,000</b>	<b>38.23</b>	<b>n/a</b>	<b>22-Jan</b>	<b>non-brg</b>	<b>4.0</b>
TROUBH PART	067	COH	B	10,000	34.26	n/a	21-Jan	500.00	5.0
NEW JERSEY DIV OF INV.	030	CPB	S	50,000	32.85	n/a	n/a	2,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	CRI	S	40,000	25.87	n/a	n/a	1,600.00	4.0
⌘ BUCK CAPITAL MGMT		CRI	S	10,000	25.51	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		CROX	B	150,000	7.23	n/a	n/a	non-brg	3.0
JMP ASSET MGMT	210	CTRN	B	2,453	30.66	n/a	n/a	122.65	5.0
NEUBERGER BERMAN	036	CVC	S	55,500	26.00	n/a	n/a	2,220.00	4.0
⌘ BUCK CAPITAL MGMT		CVS	S	10,000	33.33	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		C	B	100,000	3.33	n/a	21-Jan	non-brg	3.0
PARTNER REINSURANCE	033	C	S	94,400	3.30	n/a	21-Jan	2,832.00	3.0
PARA	033	C	S	5,600	3.30	n/a	21-Jan	168.00	3.0
⌘ BUCK CAPITAL MGMT		DAL	S	150,000	13.30	n/a	n/a	non-brg	4.0
CHARTER OAK	033	DAN	B	40,000	10.17	n/a	6-Jan	2,000.00	5.0
f EDWARD W WHEELER	FID	DAN	B	5000	10.19	n/a	6-Jan	0.00	0.0
TRELLUS PARTNERS LP	028	DAN	B	30,000	10.58	n/a	6-Jan	1,500.00	5.0
⌘ BUCK CAPITAL MGMT		DBRN	S	10,000	24.15	n/a	n/a	non-brg	4.0
SANDLER O'NEILL ASSET	031	DFS	B	50,000	13.72	n/a	21-Jan	2,500.00	5.0
⌘ BUCK CAPITAL MGMT		DHI	B	25,000	11.52	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		DIA	C	35,000	103.61	n/a	n/a	non-brg	0.8
⌘ BUCK CAPITAL MGMT		DLTR	B	10,000	48.75	n/a	4-Jan	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCHOTTENFELD ASSOC	041	DPZ	B	3,699	10.81	n/a	19-Jan	110.97	3.0
ISLE RIDGE PARTNERS	041	DTG	B	20,000	25.33	n/a	n/a	800.00	4.0
FIRST NEW YORK LEDDY	035	ETFC	B	20,000	1.72	n/a	n/a	1,200.00	6.0
<b>f NEIL M STRATTON</b>	<b>FID</b>	<b>FC</b>	<b>B</b>	<b>1000</b>	<b>5.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DIAMONDBACK CAP MGMT	232	FLS	C	10,000	102.12	n/a	n/a	500.00	5.0
GRUSS CAPITAL	045	FOR	S	5,000	18.99	n/a	4-Jan	150.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>FOSL</b>	<b>B</b>	<b>10,000</b>	<b>35.19</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>FUQI</b>	<b>B</b>	<b>10,000</b>	<b>18.28</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
AVESTA CAP	229	F	B	500,000	10.83	n/a	6-Jan	15,000.00	3.0
MERRILL ASSET/BLACKROCK	214	GCO	B	29,200	24.67	n/a	n/a	1,168.00	4.0
<b>B BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>B</b>	<b>70,000</b>	<b>40.36</b>	<b>n/a</b>	<b>n/a</b>	<b>2,800.00</b>	<b>4.0</b>
AVESTA CAP	229	GE	B	250,000	16.63	n/a	n/a	7,500.00	3.0
<b>f MAY Y TANG</b>	<b>FID</b>	<b>GE</b>	<b>S</b>	<b>240</b>	<b>16.36</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
STELLIAM INV ADV	034	GE	B	25,000	16.42	n/a	n/a	1,250.00	5.0
SLS CAPITAL LLC	224	GGWPQ	S	42,500	10.32	n/a	n/a	1,700.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>GIII</b>	<b>B</b>	<b>20,000</b>	<b>17.84</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f DAVID GEORGE BUCK	FID	GIS	B	1000	71.39	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	GIS	B	400	71.44	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		GYMB	S	40,000	40.17	n/a	8-Jan	non-brg	4.0
ß BUCK CAPITAL MGMT		HBI	B	20,000	23.14	n/a	n/a	non-brg	4.0
NEUBERGER BERMAN	036	HEI	B	22,200	43.69	n/a	n/a	888.00	4.0
WAGONHOUND/NIC	048	HSC	S	11,976	32.53	n/a	4-Jan	479.04	4.0
NEUBERGER BERMAN	036	HUBG	S	35,900	26.69	n/a	n/a	1,436.00	4.0
RBC CAPITAL MARKETS	040	IGT	B	10,000	21.02	22-Jan[i]	22-Jan	400.00	4.0
SCOPUS FUND	041	IP	B	30,450	24.94	n/a	22-Jan	1,522.50	5.0
BALYASNY ASSET MGMT	044	IVZ	S	25,000	20.92	n/a	19-Jan	1,250.00	5.0
ß BUCK CAPITAL MGMT		IWM	C	250,000	62.59	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		IWM	SS	215,000	61.61	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		IWO	C	10,900	68.20	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		JACK	B	10,000	20.20	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	JCG	B	10,000	39.29	n/a	n/a	400.00	4.0
NEW JERSEY DIV OF INV.	030	JEC	S	30,000	40.26	n/a	n/a	1,200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PILOT ROCK	028	JWN	SS	25,000	35.24	n/a	8-Jan	1,000.00	4.0
RBC CAPITAL MARKETS	040	JWN	B	15,000	35.02	n/a	8-Jan	600.00	4.0
JMP ASSET MGMT	210	KR	B	11,343	21.58	n/a	n/a	567.15	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>KSS</b>	<b>B</b>	<b>10,000</b>	<b>51.12</b>	<b>n/a</b>	<b>8-Jan</b>	<b>non-brg</b>	<b>4.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>LJJOP</b>	<b>B</b>	<b>20</b>	<b>1.21</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JOHN MICHAEL ZOLIDIS</b>	<b>FID</b>	<b>LMI</b>	<b>B</b>	<b>300</b>	<b>31.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ARCHON CAPITAL	035	LOGI	SS	10,000	17.63	n/a	n/a	300.00	3.0
COBALT	041	LOW	B	100,000	22.83	n/a	16-Nov	5,000.00	5.0
GRUBER MACBAINE	033	LOW	B	10,000	22.87	n/a	16-Nov	400.00	4.0
NEUBERGER BERMAN	036	LUFK	B	12,600	67.50	n/a	n/a	504.00	4.0
NEW JERSEY DIV OF INV.	030	LXP	B	25,000	6.08	n/a	n/a	1,000.00	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>MCD</b>	<b>S</b>	<b>1000</b>	<b>63.93</b>	<b>n/a</b>	<b>22-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>f MATTHEW FRANCIS BUCK</b>	<b>FID</b>	<b>MCD</b>	<b>S</b>	<b>350</b>	<b>63.97</b>	<b>n/a</b>	<b>22-Jan</b>	<b>0.00</b>	<b>0.0</b>
NEW JERSEY DIV OF INV.	030	MIC	S	75,000	12.76	n/a	n/a	3,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>MS</b>	<b>B</b>	<b>60,000</b>	<b>28.60</b>	<b>n/a</b>	<b>21-Jan</b>	<b>non-brg</b>	<b>4.0</b>
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>MS</b>	<b>B</b>	<b>2000</b>	<b>28.31</b>	<b>n/a</b>	<b>21-Jan</b>	<b>0.00</b>	<b>0.0</b>
BASIX	033	MTW	B	27,000	11.86	n/a	12-Jan	810.00	3.0

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SLS CAPITAL LLC	224	M	B	139,000	15.84	n/a	8-Jan	5,560.00	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>NYB</b>	<b>S</b>	<b>5000</b>	<b>15.22</b>	<b>n/a</b>	<b>14-Jan</b>	<b>0.00</b>	<b>0.0</b>
DAVIDSON KEMPNER ADVISOR	040	OSK	B	10,000	34.87	n/a	n/a	500.00	5.0
BASIX	033	PAG	B	45,000	14.97	n/a	22-Jan	1,350.00	3.0
BMO NESBITT BURNS	041	PAG	B	25,000	15.48	n/a	22-Jan	1,250.00	5.0
LAGRANGE CAP ADV	048	PAG	B	10,000	15.45	n/a	22-Jan	500.00	5.0
BRAZOS	031	PKG	B	33,500	21.80	n/a	22-Jan	1,005.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>PLCE</b>	<b>B</b>	<b>10,000</b>	<b>33.03</b>	<b>n/a</b>	<b>8-Jan</b>	<b>non-brg</b>	<b>4.0</b>
GRUSS CAPITAL	045	PLD	S	10,000	12.47	n/a	n/a	300.00	3.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>PNC</b>	<b>S</b>	<b>2000</b>	<b>53.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PRTY LN</b>	<b>B</b>	<b>100,000</b>	<b>4.67</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.7</b>
JMP ASSET MGMT	210	PSS	S	8,389	19.69	n/a	n/a	419.45	5.0
WEISS PECK	040	RBA	SS	15,760	21.17	n/a	n/a	788.00	5.0
KAILIX INV ADV	048	ROC	B	10,000	23.17	n/a	n/a	500.00	5.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>SDS</b>	<b>S</b>	<b>2000</b>	<b>34.89</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NEUBERGER BERMAN	036	SLH	B	29,046	35.38	n/a	n/a	1,161.84	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f</b> MANNY I KORMAN	<b>FID</b>	<b>SLM</b>	<b>B</b>	<b>5000</b>	<b>11.11</b>	<b>n/a</b>	<b>21-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> SCOTT L BRUNNER	<b>FID</b>	<b>SMN</b>	<b>B</b>	<b>2000</b>	<b>8.62</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
KAILIX INV ADV	048	SOA	B	25,000	12.27	n/a	n/a	1,250.00	5.0
<b>B</b> BUCK CAPITAL MGMT		<b>SPY</b>	<b>C</b>	<b>35,000</b>	<b>111.34</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>f</b> MARC PAUL LUCHANSKY	<b>FID</b>	<b>SPY</b>	<b>S</b>	<b>500</b>	<b>109.27</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>TGT</b>	<b>B</b>	<b>50,000</b>	<b>50.75</b>	<b>22-Jan</b>	<b>22-Jan</b>	<b>non-brg</b>	<b>4.0</b>
MAIRS AND POWER INV	030	TGT	S	10,000	50.25	22-Jan	22-Jan	500.00	5.0
CASEY CAPITAL	067	TIN	B	15,000	18.36	22-Jan	22-Jan	750.00	5.0
CSFB GLOBAL PROPRIETARY	041	TIN	B	70,000	17.67	22-Jan	22-Jan	3,500.00	5.0
MILLENIUM PARTNERS	028	TIN	B	25,000	17.79	22-Jan	22-Jan	1,000.00	4.0
SCHOTTENFELD ASSOC	041	TIN	S	50,000	18.44	22-Jan	22-Jan	1,500.00	3.0
SLS CAPITAL LLC	224	TIN	B	53,500	18.35	22-Jan	22-Jan	2,140.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TJX</b>	<b>S</b>	<b>10,000</b>	<b>36.76</b>	<b>n/a</b>	<b>8-Jan</b>	<b>400.00</b>	<b>4.0</b>
MERRILL ASSET/BLACKROCK	214	TLB	B	82,400	10.84	n/a	n/a	3,296.00	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>UAUA</b>	<b>S</b>	<b>150,000</b>	<b>13.30</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>URBN</b>	<b>B</b>	<b>10,000</b>	<b>31.03</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BERMAN CAPITAL MGMT	046	UYG	S	35,000	5.69	n/a	n/a	1,050.00	3.0
<b>f</b> HARALAMBOS EFSTATHI	<b>FID</b>	<b>VIXBD</b>	<b>S</b>	<b>10</b>	<b>5.30</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.	
f DAVID GEORGE BUCK	FID	VRTX	B	1000	40.05	n/a	n/a	0.00	0.0
f NEIL M STRATTON	FID	VUXMW	S	4	1.05	n/a	n/a	0.00	0.0
NEW JERSEY DIV OF INV.	030	WEC	B	100,000	49.65	n/a	n/a	4,000.00	4.0
f DAVID GEORGE BUCK	FID	WFC	B	3000	27.24	n/a	21-Jan	0.00	0.0
B BUCK CAPITAL MGMT		WFT	B	30,000	18.14	n/a	n/a	non-brg	4.0
f ANDREW SINCLAIR	FID	WNC	B	1000	2.99	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	WRC	B	10,000	42.12	n/a	4-Jan	400.00	4.0
B BUCK CAPITAL MGMT		WSO	B	11,000	51.14	n/a	n/a	non-brg	4.0
f JOEL GIFFORD TISS	FID	WWRAX	B	10	8.35	n/a	n/a	0.00	0.0
CSFB GLOBAL PROPRIETARY	041	WY	B	24,000	41.50	n/a	4-Jan	1,200.00	5.0
GRUSS CAPITAL	045	WY	SS	3,000	41.23	n/a	4-Jan	90.00	3.0
SYSTEMATIC FINANCIAL MGT	035	XL	S	450,000	16.63	n/a	n/a	13,500.00	3.0
<b>TOTAL (Trade Date) :</b>							<b>143,398.60</b>		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/21	COLUMBUS CIRCLE	036	EBAY	S	14,400	23.96	n/a	n/a	576.00 4.0
AO,CRT	01/19	ADAGE CAPITAL MGMT	030	JCP	B	80,400	26.20	n/a	8-Jan	2412.00 3.0
AO,CXL	01/19	ADAGE CAPITAL MGMT	030	JCP	B	80,400	26.20	n/a	8-Jan	3216.00 4.0
AO,CRT	01/19	CR INTRINIC INVESTMENT	044	JCP	SS	250,000	26.18	n/a	8-Jan	8750.00 3.5
AO,CXL	01/19	CR INTRINIC INVESTMENT	044	JCP	SS	250,000	26.18	n/a	8-Jan	8750.00 3.5
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-228.00</b>

TOTAL (Trade Date) :	143,398.60
TOTAL (AO, CXL, CRT) :	-228.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>143,170.60</b>
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MRI Securities with Trade Activity on 22-Jan.  
**IGT, TGT, TIN**

MRI Securities without Trade Activity on 22-Jan.  
**PCP, JCI, EL**

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 24%  
YTD = 22%



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)