



# Daily Compliance Activity Report

Trade Date: 01/23/2009

Potential ANALYST TRADE Violations: 0

BCM Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRUST CO/COWEN/CALF.	040	AA	S	329,525	8.08	n/a	n/a	13,181.00	4.0
TROUBH PART	067	ADM	B	25,000	27.01	5-Jan	22-Jan	1,250.00	5.0
CAPITAL GROWTH MGMT.	241	AEM	B	110,000	56.69	n/a	n/a	5,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AEO</b>	<b>S</b>	<b>300,000</b>	<b>9.12</b>	<b>n/a</b>	<b>9-Jan</b>	<b>9,000.00</b>	<b>3.0</b>
RAINIER INV MGMT	035	AET	B	190,460	29.94	n/a	n/a	8,353.30	4.5
WASHINGTON ASSET	048	AFL	S	10,000	27.26	n/a	n/a	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>AMB</b>	<b>SS</b>	<b>60,000</b>	<b>17.79</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
FEDERATED INV/KAUFMAN	029	AMR	B	200,000	7.79	n/a	n/a	11,000.01	5.5
CADIAN CAPITAL	067	ARO	SS	50,000	20.57	n/a	9-Jan	2,000.00	4.0
THE BOSTON COMPANY	401	ARO	B	49,980	20.41	n/a	9-Jan	1,999.20	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>AVB</b>	<b>SS</b>	<b>40,000</b>	<b>52.29</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>AVP</b>	<b>SS</b>	<b>100,000</b>	<b>19.63</b>	<b>3-Nov</b>	<b>9-Dec</b>	<b>non-brg</b>	<b>4.0</b>
DIAMONDBACK CAP MGMT	232	BAC	SS	200,000	6.22	16-Jan	16-Jan	10,000.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>BBY+RT [BBY]</b>	<b>SS</b>	<b>2,000</b>	<b>1.18</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>300.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BBY</b>	<b>SS</b>	<b>100,000</b>	<b>27.03</b>	<b>n/a</b>	<b>27-Jul</b>	<b>4,000.00</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CHARTER OAK	033	BEN	B	50,000	52.03	13-Nov	21-Jan	2,500.00	5.0
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>BGU</b>	<b>B</b>	<b>80</b>	<b>27.35</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>BGU</b>	<b>B</b>	<b>8000</b>	<b>26.39</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>BGZ</b>	<b>S</b>	<b>40</b>	<b>74.80</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>3500</b>	<b>74.07</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BKC</b>	<b>SS</b>	<b>50,000</b>	<b>22.59</b>	<b>27-Oct</b>	<b>8-Jan</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BMR</b>	<b>SS</b>	<b>60,000</b>	<b>11.27</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
TROUBH PART	067	BNI	S	25,000	63.50	n/a	n/a	1,250.00	5.0
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>BONT</b>	<b>S</b>	<b>2000</b>	<b>1.15</b>	<b>n/a</b>	<b>9-Jan</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	BWA	B	5,000	17.88	16-Dec	12-Jan	250.00	5.0
LOCUS WOOD CAPITAL MGMT	044	BWA	B	30,000	17.67	16-Dec	12-Jan	1,200.00	4.0
TRELLUS PARTNERS LP	028	BWA	C	10,000	17.30	16-Dec	12-Jan	500.00	5.0
<b>f JOHN CAREY MAGUIRE</b>	<b>FID</b>	<b>BYD</b>	<b>B</b>	<b>1500</b>	<b>4.73</b>	<b>29-Oct</b>	<b>29-Oct</b>	<b>0.00</b>	<b>0.0</b>
HUNTER GLOBAL INVESTOR	067	CAT	B	54,000	35.41	22-Oct	22-Jan	2,700.00	5.0
TRELLUS PARTNERS LP	028	CAT	C	50,000	35.72	22-Oct	22-Jan	2,500.00	5.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>CITPRA</b>	<b>B</b>	<b>3400</b>	<b>7.45</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EGS ASSOCIATES LP	091	COH	B	3,000	14.43	9-Jan	22-Jan	180.00	6.0
DIAMONDBACK CAP MGMT	232	CSCO	SS	250,000	15.07	n/a	22-Mar	12,500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JAT CAPITAL MANAGEMENT	041	CTV	B	69,400	13.95	n/a	n/a	2,776.00	4.0
SANDLER O'NEILL ASSET	031	C	SS	50,000	3.45	n/a	20-Jan	1,500.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>DAI</b>	<b>C</b>	<b>50,000</b>	<b>26.93</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>B</b>	<b>10,000</b>	<b>55.97</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
DIAMONDBACK CAP MGMT	232	DELL	SS	150,000	9.66	n/a	n/a	7,500.00	5.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>DGP</b>	<b>B</b>	<b>500</b>	<b>18.33</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DIN</b>	<b>B</b>	<b>30,000</b>	<b>8.54</b>	<b>n/a</b>	<b>n/a</b>	<b>900.00</b>	<b>3.0</b>
CATAPULT	040	DKS	B	10,000	10.62	7-Oct	12-Dec	400.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>DSW</b>	<b>SS</b>	<b>50,000</b>	<b>10.34</b>	<b>14-Nov</b>	<b>19-Dec</b>	<b>non-brg</b>	<b>1.0</b>
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>DV</b>	<b>B</b>	<b>1000</b>	<b>61.09</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JOHN CAREY MAGUIRE</b>	<b>FID</b>	<b>DXO</b>	<b>B</b>	<b>1500</b>	<b>2.76</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>EAT</b>	<b>SS</b>	<b>20,000</b>	<b>11.13</b>	<b>n/a</b>	<b>24-Apr</b>	<b>800.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>FDO</b>	<b>SS</b>	<b>20,000</b>	<b>27.26</b>	<b>7-Jan</b>	<b>7-Jan</b>	<b>800.00</b>	<b>4.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>FIG</b>	<b>B</b>	<b>4400</b>	<b>1.52</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MISSOURI VALLEY PART	046	FII	B	12,810	19.46	13-Nov	23-Jan	640.50	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PHILADELPHIA FINANCIAL	033	FII	B	65,000	17.99	13-Nov	23-Jan	2,600.00	4.0
FARALLON CAP MGMT	040	FIS	B	42,500	15.42	n/a	n/a	1,275.00	3.0
SERENGETI MGMT	030	FIS	S	100,000	15.44	n/a	n/a	3,000.00	3.0
GRUSS CAPITAL	045	FOR	S	16,800	11.29	n/a	20-Jan	504.00	3.0
⚡ BUCK CAPITAL MGMT		FRT	SS	40,000	49.00	n/a	n/a	non-brg	4.0
f EDWARD W WHEELER	FID	GEWFH	B	80	0.95	n/a	n/a	0.00	0.0
f ANTHONY SUTERA	FID	GE	B	1000	12.90	n/a	n/a	0.00	0.0
BULL PATH CAPITAL	044	GGG	S	22,000	21.68	n/a	n/a	1,100.00	5.0
⚡ BUCK CAPITAL MGMT		GIL	B	180,600	10.93	11-Dec	12-Dec	non-brg	4.0
⚡ BUCK CAPITAL MGMT		GIL	B	19,400	10.93	11-Dec	12-Dec	non-brg	1.5
⚡ BUCK CAPITAL MGMT		GIL	B	25,000	10.65	11-Dec	12-Dec	non-brg	4.0
f KAREN F LEDDY	FID	GIL	S	500	11.09	11-Dec	12-Dec	0.00	0.0
PEREGRINE	030	GIL	S	50,000	10.80	11-Dec	12-Dec	2,000.00	4.0
HUNTER GLOBAL INVESTOR	067	GPN	B	69,400	32.59	n/a	n/a	3,470.00	5.0
SCOPUS FUND	041	HAR	B	62,200	16.55	n/a	26-Nov	3,110.00	5.0
CATAPULT	040	HLX	SS	63,300	5.90	n/a	n/a	2,532.00	4.0
KENNEDY CAPITAL	099	IPAR	B	1,200	5.00	n/a	n/a	36.00	3.0
MKT MAKER	099	IPAR	B	5	5.00	n/a	n/a	0.00	0.0
DALTON GREINER	012	IVZ	B	43,690	11.24	9-Jan	21-Jan	2,184.50	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		JCG+CS [JCG]	SS	1,000	0.85	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT		JCG+RR [JCG]	SS	2,000	0.95	n/a	n/a	non-brg	100.0
JOSEPH CIRO AMATURO	FID	JCI	B	3000	12.87	9-Jan	20-Jan	0.00	0.0
KEVIN MICHAEL O'GORM	FID	JCP	B	1000	18.56	9-Jan	9-Jan	0.00	0.0
BUCK CAPITAL MGMT		JNY+EA [JNY]	SS	3,000	0.31	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT	001	JNY	B	100,000	3.71	n/a	23-Jan	3,000.00	3.0
BUCK CAPITAL MGMT		JOSB	B	20,000	27.93	n/a	n/a	non-brg	4.0
SANDLER O'NEILL ASSET	031	JPM	S	50,000	24.11	16-Jan	16-Jan	2,500.00	5.0
SERENGETI MGMT	030	JPM	S	75,000	23.23	16-Jan	16-Jan	2,250.00	3.0
BUCK CAPITAL MGMT	001	JWN	B	108,200	13.29	9-Jan	9-Jan	4,328.00	4.0
MOORE CAPITAL	036	KGC	B	100,000	17.56	n/a	n/a	4,000.00	4.0
BUCK CAPITAL MGMT		KIM	SS	40,000	15.05	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		KRE	C	20,000	20.40	n/a	n/a	non-brg	4.0
HUNTER GLOBAL INVESTOR	067	LMT	S	40,000	82.74	n/a	n/a	2,000.00	5.0
BUCK CAPITAL MGMT		LPX	B	180,000	1.96	5-Nov	23-Jan	non-brg	2.0
BUCK CAPITAL MGMT		LPX	B	182,550	1.93	5-Nov	23-Jan	non-brg	2.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
B	BUCK CAPITAL MGMT		LPX	B	72,745	1.91	5-Nov	23-Jan	non-brg 1.5
B	BUCK CAPITAL MGMT		LPX	B	800	1.92	5-Nov	23-Jan	non-brg 1.0
	CSFB GLOBAL PROPRIETARY	041	LPX	B	20,000	1.77	5-Nov	23-Jan	400.00 2.0
	FRONTPOINT CHRIS C	041	LPX	B	79,500	1.97	5-Nov	23-Jan	2,385.00 3.0
	WASHINGTON ASSET	048	MCD	S	10,000	57.83	13-Oct	16-Jan	500.00 5.0
	GREEN ARROW CAPITAL	034	MET	B	25,000	26.80	n/a	n/a	1,250.00 5.0
	BRENCOURT	028	MGA	B	15,000	29.05	n/a	n/a	750.00 5.0
f	KAREN F LEDDY	FID	MGA	S	700	28.33	n/a	n/a	0.00 0.0
B	BUCK CAPITAL MGMT		MIR	S	118,917	17.71	n/a	n/a	non-brg 4.0
f	KAREN F LEDDY	FID	MIR	S	1000	17.97	n/a	n/a	0.00 0.0
f	DAVID GEORGE BUCK	FID	MONPM	B	10	4.60	n/a	n/a	0.00 0.0
	WASHINGTON ASSET	048	NEM	S	6,000	42.43	n/a	n/a	300.00 5.0
	PROSPECTOR PARTNERS LLC	036	NFLX	SS	8,500	30.81	n/a	n/a	340.00 4.0
	KINGDON ASSET MGMT	041	NSM	B	100,000	9.91	n/a	n/a	3,000.00 3.0
	HUNTER GLOBAL INVESTOR	067	NYX	B	100,000	20.49	n/a	n/a	4,000.00 4.0
f	FRANCIS MICHAEL MCCA	FID	OMGI	S	500	8.41	n/a	n/a	0.00 0.0
	DE SHAW	040	ONNN	B	250,000	4.15	n/a	n/a	7,500.00 3.0
B	BUCK CAPITAL MGMT		PLCE	B	100,000	19.50	6-Jan	9-Jan	non-brg 2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DIAMONDBACK CAP MGMT	232	PM	S	170,000	40.81	n/a	n/a	8,500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>PP FP</b>	<b>SS</b>	<b>50,000</b>	<b>47.40</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>9.5</b>
NOMURA CAPITAL	045	QLTY	B	4,060	2.31	n/a	n/a	121.80	3.0
SIGMA CAPITAL ASSOCIATES	237	RDK	SS	25,000	26.81	n/a	n/a	1,250.00	5.0
MOORE CAPITAL	036	RIO	B	25,000	12.92	n/a	n/a	1,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RNT</b>	<b>B</b>	<b>20,000</b>	<b>26.37</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
<b>f HARALAMBOS EFSTATHI</b>	<b>FID</b>	<b>SDS</b>	<b>S</b>	<b>200</b>	<b>83.92</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f NEIL M STRATTON</b>	<b>FID</b>	<b>SFL</b>	<b>B</b>	<b>600</b>	<b>11.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SIGMA CAPITAL ASSOCIATES	237	SGP	B	25,000	18.46	n/a	n/a	1,250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>SKX+CB[SKX]</b>	<b>SS</b>	<b>1,000</b>	<b>0.85</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>100.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SLG</b>	<b>SS</b>	<b>60,000</b>	<b>14.62</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>SPHIX</b>	<b>B</b>	<b>15974</b>	<b>6.26</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
UNITED STATES PENSION	032	SPY	B	360,000	83.24	n/a	n/a	10,800.00	3.0
<b>LISTED ERR</b>	<b>099</b>	<b>SPY</b>	<b>B</b>	<b>5,000</b>	<b>83.24</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>SPY</b>	<b>S</b>	<b>5,000</b>	<b>83.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JILL ROSENBERG</b>	<b>FID</b>	<b>SSO</b>	<b>B</b>	<b>100</b>	<b>22.35</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

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f	JOHN MICHAEL DEMARTI	FID	SSO	B	1000	22.33	n/a	n/a	0.00	0.0
	JMP ASSET MGMT	210	TAST	B	2,528	2.90	n/a	n/a	50.56	2.0
B	BUCK CAPITAL MGMT		TGT	C	20,000	33.50	17-Nov	21-Jan	non-brg	4.0
	BMO NESBITT BURNS	041	TIN	S	60,000	4.65	5-Dec	20-Jan	3,000.00	5.0
	CSFB GLOBAL PROPRIETARY	041	TIN	B	40,000	4.27	5-Dec	20-Jan	2,000.00	5.0
	ELM RIDGE ADVISORS	044	TIN	B	135,567	4.53	5-Dec	20-Jan	4,067.01	3.0
	MASTERS CAPITAL MANAGE	091	TIN	S	50,000	4.58	5-Dec	20-Jan	1,500.00	3.0
	NEWLAND CAPITAL MGT	067	TIN	B	10,000	4.25	5-Dec	20-Jan	300.00	3.0
	NEWLAND CAPITAL MGT	067	TIN	S	10,000	4.62	5-Dec	20-Jan	300.00	3.0
	SCOPUS FUND	041	TIN	B	74,500	4.52	5-Dec	20-Jan	3,725.00	5.0
f	JONATHAN RICHARD HAR	FID	TNA	B	50	22.70	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		TUY+CD[PLCE]	SS	1,000	2.15	n/a	n/a	non-brg	300.0
B	BUCK CAPITAL MGMT		TUY+CX[PLCE]	SS	1,000	1.30	n/a	n/a	non-brg	300.0
f	JONATHAN RICHARD HAR	FID	TZA	S	35	64.60	n/a	n/a	0.00	0.0
	TROUBH PART	067	UNP	S	25,000	42.50	n/a	n/a	1,250.00	5.0
B	BUCK CAPITAL MGMT		UWV+NE[WYNN]	SS	1,000	0.75	n/a	n/a	non-brg	100.0
	GRANAHAN INV	039	WBC	S	80,000	14.92	18-Nov	2-Dec	3,200.00	4.0
	KEEFE BRUYETTE WOODS A	045	WDR	SS	31,800	14.45	n/a	21-Jan	1,590.00	5.0
	KENNEDY CAPITAL	046	WFD	S	60,000	9.60	n/a	n/a	1,800.00	3.0



Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GREEN ARROW CAPITAL	034	WL	SS	20,000	14.85	n/a	n/a	1,000.00	5.0
MOORE CAPITAL	036	WMB	B	52,500	13.77	n/a	n/a	2,100.00	4.0
BUCK CAPITAL MGMT	001	WMS	SS	20,000	23.03	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	WRC	S	165,000	20.04	7-Nov	7-Nov	6,600.00	4.0
EGS ASSOCIATES LP	091	WRC	SS	3,500	19.79	7-Nov	7-Nov	210.00	6.0
f DAVID GEORGE BUCK	FID	WYEOG	B	40	0.69	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	WYEOH	S	40	1.94	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	ZBRA	S	52,000	17.34	n/a	n/a	2,080.00	4.0
<b>TOTAL (Trade Date):</b>								<b>225,288.88</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	01/22	CAVU CAP ADV	028	AAP	B	11,151	32.26	n/a	n/a	557.55 5.0
AO,CXL	01/22	CAVU CAP ADV	028	AAP	B	11,151	32.26	n/a	n/a	557.55 5.0
AO,CXL	01/22	CAVU CAP ADV	028	HON	B	10,395	31.76	n/a	18-Nov	519.75 5.0
AO,CRT	01/22	CAVU CAP ADV	028	HON	B	10,395	31.76	n/a	18-Nov	519.75 5.0
AO,CXL	01/22	MKT MAKER	096	IPAR	B	26	5.00	n/a	n/a	0.00 0.0
AO,CRT	01/22	MKT MAKER	097	IPAR	S	26	5.00	n/a	n/a	0.00 0.0
AO,CRT	01/22	CAVU CAP ADV	028	SNDK	B	13,702	11.40	n/a	n/a	685.10 5.0
AO,CXL	01/22	CAVU CAP ADV	028	SNDK	B	13,702	11.40	n/a	n/a	685.10 5.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>0.00</b>
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TOTAL (Trade Date) :	225,288.88
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TOTAL (AO, CXL, CRT) :	0.00
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<b>TOTAL (RUN DATE) / NFS :</b>	<b>225,288.88</b>
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MRI Securities with Trade Activity on 23-Jan. NONE
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MRI Securities without Trade Activity on 23-Jan.

FOSL

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

T-Date = 30%

YTD = 24%

**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**

**f: Employee Trades (Fidelity)**