



# Daily Compliance Activity Report

Trade Date: 11/29/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NORTHPOINT	030	AAWW	S	270	52.70	n/a	n/a	10.80	4.0
BUCK CAPITAL MGMT	001	ABG	S	52,800	16.60	31-Oct	2-Nov	2,112.00	4.0
LEDDY	035	ABG	B	200	16.88	31-Oct	2-Nov	0.00	0.0
BUCK CAPITAL MGMT		AEO	S	20,000	21.74	9-Nov	28-Nov	non-brg	4.0
RH CAPITAL ASSOCIATES	060	AEO	S	47,530	21.84	9-Nov	28-Nov	2,376.50	5.0
BARR	096	ALSC	B	23,500	1.67	n/a	n/a	0.00	0.0
NORTHPOINT	030	ANGO	S	500	19.90	n/a	n/a	20.00	4.0
BUCK CAPITAL MGMT	001	ANN	S	50,000	30.52	6-Aug	16-Nov	2,000.00	4.0
STRATTON	N21	ANPI	S	200	3.93	n/a	n/a	0.00	0.0
ROYCE TRADING	216	APSG	B	5,000	13.00	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT		ARO	S	100,000	25.89	29-Nov	29-Nov	non-brg	4.0
REINHART & MAHONEY	031	ATG	B	36,725	36.98	n/a	n/a	1,836.25	5.0
PATTEN & PATTEN	067	AVY	B	300	51.72	13-Aug	14-Nov	15.00	5.0
XYLEM GLOBAL	091	AVY	S	25,000	51.40	13-Aug	14-Nov	1,250.00	5.0
PATTEN & PATTEN	067	BAC	B	200	44.28	13-Nov	20-Nov	10.00	5.0
RHO CAPITAL MGMT	041	BBW	S	1,000	15.25	11-Sep	18-Oct	40.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL LYNCH STRATEGICI	034	BFB	SS	15,000	69.87	n/a	n/a	900.00	6.0
MERRILL LYNCH STRATEGICI	034	BG	SS	5,000	111.76	n/a	n/a	300.00	6.0
KNOTT PARTNERS	044	BIG	B	25,000	20.00	26-Oct	29-Nov	1,000.00	4.0
ROYCE TRADING	216	BNE	S	10,000	16.96	n/a	n/a	500.00	5.0
WELLS/STRONG LEDDY	035	BONT	S	7,700	11.63	9-Nov	21-Nov	308.00	4.0
PATTEN & PATTEN	067	CAT	B	400	71.83	n/a	n/a	20.00	5.0
NEUBERGER BERMAN	036	CBI	S	11,000	52.01	n/a	n/a	550.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CBK</b>	<b>SS</b>	<b>30,000</b>	<b>15.79</b>	<b>n/a</b>	<b>19-Nov</b>	<b>1,200.00</b>	<b>4.0</b>
ROYCE TRADING	216	CCC	S	10,000	13.88	n/a	n/a	500.00	5.0
NORTHPOINT	030	CEDC	S	145	48.61	n/a	n/a	5.80	4.0
PATTEN & PATTEN	067	CNI	B	600	47.75	n/a	n/a	30.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>COLM</b>	<b>SS</b>	<b>10,000</b>	<b>48.21</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
MATRIX ASSET ADV.	036	COV	S	4,000	39.00	n/a	n/a	160.00	4.0
ROYCE TRADING	216	CRAY	B	10,000	5.91	n/a	n/a	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>CRI</b>	<b>SS</b>	<b>50,000</b>	<b>22.02</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	216	CRS	S	7,500	73.47	n/a	n/a	375.00	5.0
CAXTON PART	040	CSCO	S	54,221	28.01	n/a	22-Mar	1,897.75	3.5
NORTHPOINT	030	CSH	S	801	35.06	n/a	n/a	32.04	4.0
ROYCE TRADING	216	CTGX	S	8,000	5.01	n/a	n/a	400.00	5.0
⌘ BUCK CAPITAL MGMT		CTRN	S	10,000	15.48	n/a	n/a	non-brg	4.0
FIRST NY SEC/CHRIS	041	CVS	SS	10,000	40.39	n/a	n/a	600.00	6.0
SCOPUS FUND	041	CVS	B	50,000	40.04	n/a	n/a	2,500.00	5.0
⌘ BUCK CAPITAL MGMT		DBRN	S	20,000	13.89	n/a	n/a	non-brg	1.0
CAPITAL GROWTH MGMT.	241	DE	B	230,000	169.97	n/a	n/a	11,500.00	5.0
⌘ BUCK CAPITAL MGMT		DIA	SS	50,000	132.33	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		DLTR	SS	30,000	28.08	9-Nov	29-Nov	non-brg	4.0
BUCK CAPITAL MGMT	001	DSW	S	20,000	21.80	26-Oct	5-Nov	800.00	4.0
MERRILL LYNCH STRATEGICI	034	DUK	B	10,000	19.73	n/a	n/a	400.00	4.0
LEDDY	035	DXD	S	600	50.52	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	EDA	S	30,000	13.64	n/a	n/a	1,200.00	4.0
⌘ BUCK CAPITAL MGMT		EGLT	C	10,000	10.90	n/a	n/a	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NORTHPOINT	030	ELY	S	485	16.61	n/a	n/a	19.40	4.0
SOLARIS INV MGMT	036	EMC	B	141,500	19.49	n/a	n/a	7,075.00	5.0
MERRILL LYNCH STRATEGICI	034	ENS	SS	10,000	23.30	n/a	n/a	400.00	4.0
<b>MCCARTAN</b>	<b>028</b>	<b>ENS</b>	<b>B</b>	<b>100</b>	<b>23.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COLUMBIA PARTNERS	028	ETFC	SS	10,000	4.89	n/a	n/a	300.00	3.0
DOUBLE V/PBX	045	EXPE	S	5,000	32.29	n/a	n/a	250.00	5.0
AMBER CAPITAL	046	FCBP	S	25,000	45.62	n/a	n/a	1,000.00	4.0
<b>SINCLAIR</b>	<b>031</b>	<b>FMULU</b>	<b>S</b>	<b>5</b>	<b>3.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROYCE TRADING	216	FRM	S	5,000	9.73	n/a	n/a	250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>FRX</b>	<b>B</b>	<b>195,000</b>	<b>37.93</b>	<b>30-Jul</b>	<b>29-Nov</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>FRX</b>	<b>B</b>	<b>25,000</b>	<b>37.93</b>	<b>30-Jul</b>	<b>29-Nov</b>	<b>non-brg</b>	<b>1.0</b>
<b>MAGUIRE</b>	<b>090</b>	<b>FXP</b>	<b>B</b>	<b>1,000</b>	<b>72.17</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROYCE TRADING	216	GCOM	B	10,000	11.23	n/a	n/a	500.00	5.0
NORTHPOINT	030	GEOY	S	435	31.29	n/a	n/a	17.40	4.0
BARROW HANLEY MEWHINNEY	031	GE	S	89,200	37.98	n/a	n/a	3,568.00	4.0
HEALY CIRCLE	044	GE	SS	30,000	38.15	n/a	n/a	1,500.00	5.0
NORTHPOINT	030	GFIG	B	2,390	97.81	n/a	n/a	95.60	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		GIL	S	25,000	38.74	5-Nov	5-Nov	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GIL	S	25,000	38.99	5-Nov	5-Nov	non-brg	2.0
⌘ BUCK CAPITAL MGMT		GIL	S	25,000	39.30	5-Nov	5-Nov	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GIL	S	47,100	38.32	5-Nov	5-Nov	non-brg	1.0
⌘ BUCK CAPITAL MGMT		GIL	S	50,000	38.35	5-Nov	5-Nov	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GIL	S	51,100	37.98	5-Nov	5-Nov	non-brg	1.0
MCCARTAN	028	GLBC	S	200	19.28	n/a	n/a	0.00	0.0
LISTED ERR	099	GLW	B	5	24.17	n/a	24-Oct	0.00	0.0
MERRILL ASSET	032	GME	B	156,200	55.65	n/a	n/a	7,029.00	4.5
SINCLAIR	031	GMME	B	20	1.00	n/a	n/a	0.00	0.0
ROYCE TRADING	216	GMTN	B	10,000	4.75	n/a	n/a	300.00	3.0
⌘ BUCK CAPITAL MGMT		GPS	SS	100,000	19.83	n/a	21-Nov	non-brg	4.0
PIVOT CAP	034	GPS	S	7,500	19.83	n/a	21-Nov	375.00	5.0
REINHART & MAHONEY	031	HCC	B	16,450	30.01	n/a	n/a	822.50	5.0
PATTEN & PATTEN	067	HON	B	400	54.98	9-Oct	19-Oct	20.00	5.0
NORTHPOINT	030	ICON	S	1,500	22.66	n/a	n/a	60.00	4.0
ROYCE TRADING	216	IKAN	B	25,000	5.92	n/a	n/a	1,250.00	5.0
PILOT ADV	038	IM	S	61,000	20.31	n/a	n/a	2,440.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NORTHPOINT	030	INT	S	35	31.00	n/a	n/a	1.40	4.0
IRONBOUND CAPITAL	012	IP	B	20,000	33.23	n/a	5-Nov	1,000.00	5.0
FORD FDN.	032	ITW	S	35,000	56.00	n/a	n/a	1,750.00	5.0
⌘ BUCK CAPITAL MGMT		IWM	SS	80,000	76.60	n/a	n/a	non-brg	1.0
NORTHPOINT	030	IWOV	S	820	12.40	n/a	n/a	32.80	4.0
NORTHPOINT	030	JAH	S	255	26.07	n/a	n/a	10.20	4.0
REINHART & MAHONEY	031	JAS	S	6,000	18.52	n/a	n/a	300.00	5.0
⌘ BUCK CAPITAL MGMT		JCG	B	195,000	40.48	28-Nov	28-Nov	non-brg	4.0
⌘ BUCK CAPITAL MGMT		JCG	B	20,000	40.23	28-Nov	28-Nov	non-brg	1.0
COUGAR TRADING	044	JCG	S	10,000	40.17	28-Nov	28-Nov	500.00	5.0
MERRILL LYNCH STRATEGICI	034	JCI	B	40,000	38.62	6-Nov	6-Nov	1,600.00	4.0
⌘ BUCK CAPITAL MGMT		JCP	S	20,000	43.22	15-Nov	16-Nov	non-brg	4.0
MAZAMA CAPITAL MGMT.	035	JEF	B	37,500	24.99	n/a	n/a	1,500.00	4.0
ROYCE TRADING	216	JNY	B	10,000	18.38	n/a	1-Nov	500.00	5.0
NORTHPOINT	030	JOSB	S	895	25.08	n/a	n/a	35.80	4.0
FINANCIAL STOCK LP	028	JPM	B	100,000	43.96	19-Oct	20-Nov	4,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	JPM	B	700	43.65	19-Oct	20-Nov	35.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>JWN</b>	<b>S</b>	<b>20,000</b>	<b>34.14</b>	<b>20-Nov</b>	<b>20-Nov</b>	<b>non-brg</b>	<b>4.0</b>
PATTEN & PATTEN	067	JWN	B	400	33.68	20-Nov	20-Nov	20.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KSS</b>	<b>S</b>	<b>500,000</b>	<b>49.41</b>	<b>9-Nov</b>	<b>16-Nov</b>	<b>20,000.00</b>	<b>4.0</b>
COUGAR TRADING	044	KSS	SS	5,000	48.74	9-Nov	16-Nov	250.00	5.0
COUGAR TRADING	044	KSS	S	15,000	49.55	9-Nov	16-Nov	750.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KWD</b>	<b>B</b>	<b>10,000</b>	<b>14.62</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>LAMR</b>	<b>S</b>	<b>10,000</b>	<b>50.57</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
NORTHPOINT	030	LIMC	B	38,835	12.66	n/a	n/a	1,553.40	4.0
NORTHPOINT	030	LKQX	S	100	40.12	n/a	n/a	4.00	4.0
BEAR STEARNS ASSET MGMT.	033	LTD	SS	96,200	19.04	n/a	21-Nov	3,848.00	4.0
PIVOT CAP	034	MATK	S	4,040	26.57	n/a	n/a	202.00	5.0
MERRILL LYNCH STRATEGICI	034	MEE	SS	10,000	33.98	n/a	n/a	400.00	4.0
PATTEN & PATTEN	067	MHP	B	500	47.56	n/a	n/a	25.00	5.0
PATTEN & PATTEN	067	MMM	B	125	83.44	27-Sep	16-Nov	6.25	5.0
ROYCE TRADING	216	MNI	B	5,000	13.33	n/a	n/a	250.00	5.0
MERRILL LYNCH STRATEGICI	034	MON	S	30,000	98.04	n/a	9-Nov	1,800.00	6.0

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PIVOT CAP	034	MOT	S	5,000	15.64	n/a	n/a	250.00	5.0
CAPITAL GROWTH MGMT.	241	MRK	B	3,000	59.97	n/a	n/a	150.00	5.0
ROYCE TRADING	216	MRN	S	5,000	6.10	n/a	n/a	250.00	5.0
PATTEN & PATTEN	067	MS	B	500	52.12	2-Jul	20-Nov	25.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MW</b>	<b>B</b>	<b>20,000</b>	<b>34.77</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
RAINIER INV MGMT	035	NLY	B	134,905	17.19	n/a	n/a	5,396.20	4.0
ROYCE TRADING	216	NPO	B	5,000	31.38	n/a	n/a	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>NWY</b>	<b>S</b>	<b>150,000</b>	<b>7.15</b>	<b>n/a</b>	<b>20-Nov</b>	<b>6,000.00</b>	<b>4.0</b>
NORTHPOINT	030	OMPI	S	37	17.98	n/a	n/a	1.48	4.0
ROYCE TRADING	216	PBY	B	5,000	10.96	n/a	n/a	250.00	5.0
<b>BARR</b>	<b>096</b>	<b>PDFS</b>	<b>B</b>	<b>1,400</b>	<b>7.89</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SIGMA CAPITAL ASSOCIATES	237	PIR	B	57,000	3.95	n/a	n/a	2,850.00	5.0
MAZAMA CAPITAL MGMT.	035	PJC	B	46,100	46.53	n/a	n/a	1,844.00	4.0
BELMONT GLOBAL ADV	248	PLCE	B	50,000	27.31	26-Sep	23-Nov	2,500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>PLCE</b>	<b>B</b>	<b>10,000</b>	<b>27.24</b>	<b>26-Sep</b>	<b>23-Nov</b>	<b>non-brg</b>	<b>4.0</b>
PRINCIPLE CAPITAL	040	PRX	SS	10,000	19.01	28-Sep	27-Nov	300.00	3.0



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ROYCE TRADING	216	PSS	B	10,000	15.52	n/a	n/a	500.00	5.0
COUGAR TRADING	044	PSUN	B	10,000	15.34	n/a	21-Nov	500.00	5.0
COUGAR TRADING	044	PSUN	SS	5,000	15.33	n/a	21-Nov	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PTT</b>	<b>S</b>	<b>5,000</b>	<b>10.59</b>	<b>n/a</b>	<b>n/a</b>	<b>200.00</b>	<b>4.0</b>
WHITTIER CAP	048	PVH	B	5,745	40.22	21-Nov	21-Nov	287.25	5.0
CAXTON PART	040	QCOM	B	100,000	41.31	n/a	n/a	3,500.01	3.5
WELLS/STRONG LEDDY	035	RDEN	S	3,100	23.41	n/a	6-Nov	124.00	4.0
<b>STRATTON</b>	<b>N21</b>	<b>REXI</b>	<b>B</b>	<b>400</b>	<b>15.77</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>RL</b>	<b>S</b>	<b>40,000</b>	<b>67.21</b>	<b>8-Nov</b>	<b>8-Nov</b>	<b>1,600.00</b>	<b>4.0</b>
COUGAR TRADING	044	RL	SS	5,000	67.02	8-Nov	8-Nov	250.00	5.0
<b>SINCLAIR</b>	<b>031</b>	<b>RQWMK</b>	<b>S</b>	<b>20</b>	<b>2.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>EFSTATHIOU</b>	<b>044</b>	<b>RVI</b>	<b>S</b>	<b>300</b>	<b>6.82</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CATAPULT	040	SCHW	S	2,400	24.11	n/a	n/a	120.00	5.0
SIGMA CAPITAL ASSOCIATES	237	SCSS	B	100,000	10.66	n/a	n/a	5,000.00	5.0
NORTHPOINT	030	SGMS	S	50	32.31	n/a	n/a	2.00	4.0
<b>MAGUIRE</b>	<b>090</b>	<b>SKF</b>	<b>B</b>	<b>1,000</b>	<b>97.93</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

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⌘ BUCK CAPITAL MGMT		SKNN	S	36,000	0.35	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		SKS	B	170,000	19.50	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SKX	S	20,000	22.83	n/a	13-Mar	non-brg	4.0
OTC ERROR	099	SMBLW	S	1,500	6.28	n/a	n/a	0.00	0.0
SYSTEMATIC FINANCIAL MGT	035	SNA	B	76,900	48.53	n/a	n/a	2,883.75	3.8
⌘ BUCK CAPITAL MGMT		SPY	SS	50,000	146.34	n/a	n/a	non-brg	1.0
CATAPULT	040	STI	S	2,500	69.32	n/a	n/a	125.00	5.0
ROYCE TRADING	216	TDY	S	5,000	54.66	n/a	n/a	250.00	5.0
⌘ BUCK CAPITAL MGMT		TEVA	S	168,100	44.30	2-Aug	27-Nov	non-brg	4.0
VISIUM/DIV OF BALY BOBBY	044	TEVA	B	100,000	44.09	2-Aug	27-Nov	5,000.00	5.0
⌘ BUCK CAPITAL MGMT		TGT	S	10,000	58.57	n/a	27-Jul	non-brg	4.0
⌘ BUCK CAPITAL MGMT		TGT	S	10,000	59.25	n/a	27-Jul	non-brg	1.0
BEAR STEARNS ASSET MGMT.	033	TIF	C	212,000	48.77	18-Oct	27-Nov	8,480.00	4.0
STADIA CAPITAL	035	TIF	S	35,000	48.55	18-Oct	27-Nov	1,400.00	4.0
CAXTON PART	040	TIN	B	150,000	43.72	9-Nov	9-Nov	5,250.01	3.5
NORTHPOINT	030	TRID	S	1,000	6.43	n/a	n/a	30.00	3.0
⌘ BUCK CAPITAL MGMT		TRLG	S	10,000	17.10	n/a	n/a	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>LISTED ERR</b>	<b>099</b>	<b>TRN</b>	<b>B</b>	<b>1,600</b>	<b>26.28</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROYCE TRADING	216	TTMI	S	10,000	12.17	n/a	n/a	500.00	5.0
MATRIX ASSET ADV.	036	TYC	S	4,000	39.80	9-Nov	15-Nov	160.00	4.0
U.S.TRUST COMPANY	012	TYC	B	100,000	39.60	9-Nov	15-Nov	4,500.01	4.5
CAXTON PART	040	T	B	200,000	37.80	21-Sep	19-Nov	7,000.01	3.5
NORTHPOINT	030	UAPH	S	1,000	29.97	n/a	n/a	40.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>URBN</b>	<b>S</b>	<b>40,000</b>	<b>25.27</b>	<b>9-Nov</b>	<b>12-Nov</b>	<b>non-brg</b>	<b>4.0</b>
COLUMBIA PARTNERS	028	USG	SS	18,134	36.42	24-Oct	24-Oct	725.36	4.0
RHO CAPITAL MGMT	041	VSL	B	700	29.24	n/a	n/a	28.00	4.0
NEUBERGER BERMAN	036	WBC	S	5,800	47.27	n/a	24-Oct	290.00	5.0
KNOTT PARTNERS	044	WHR	B	5,300	78.11	n/a	n/a	212.00	4.0
<b>STRATTON</b>	<b>N21</b>	<b>WINN</b>	<b>B</b>	<b>300</b>	<b>18.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NORTHPOINT	030	WRLD	S	115	30.50	n/a	n/a	4.60	4.0
PATTEN & PATTEN	067	WY	B	400	72.02	1-Nov	1-Nov	20.00	5.0
XYLEM GLOBAL	091	WY	B	10,000	70.75	1-Nov	1-Nov	500.00	5.0
WHALE ROCK CAP	030	XLF	SS	325,000	30.10	n/a	n/a	13,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIVOT CAP	034	XLY	B	10,000	34.00	n/a	n/a	500.00	5.0
8 BUCK CAPITAL MGMT		ZUMZ	S	20,000	27.88	n/a	n/a	non-brg	4.0
TOTAL (Trade Date):							187,743.57		

# Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	11/26	MKT MAKER	099	BONT	S	500	14.03	9-Nov	21-Nov	0.00	0.0
AO,	11/28	JP MORGAN VENTURES	046	BR	S	100,000	21.79	n/a	30-Jan	5000.00	5.0
AO,	11/26	LISTED ERR	099	CBE	B	500	48.55	n/a	23-Oct	0.00	0.0
AO,CXL	11/26	LISTED ERR	099	CBE	B	500	48.55	n/a	23-Oct	0.00	0.0
AO,CXL	11/26	MKT MAKER	099	CENT	S	600	6.45	n/a	28-Nov	0.00	0.0
AO,	11/28	TRIVIUM CAP MGMT	251	CVS	S	20,000	40.93	n/a	n/a	800.00	4.0
AO,CXL	11/26	MKT MAKER	099	FINL	S	100	3.01	n/a	28-Sep	0.00	0.0
AO,	11/28	TOCQUEVILLE ASSET MGMT	048	GLT	B	86,575	15.07	n/a	n/a	5194.50	6.0
AO,CRT	11/28	THE JAY GOLDMAN	034	M	S	30,000	30.03	9-Nov	15-Nov	1200.00	4.0
AO,CXL	11/28	THE JAY GOLDMAN	034	M	S	30,000	30.03	9-Nov	15-Nov	1500.00	5.0
AO,CXL	11/27	SCOGGIN CAP	044	MSFT	B	66,500	33.34	n/a	3-Apr	3325.00	5.0
AO,CRT	11/27	SCOGGIN CAP	044	MSFT	B	66,500	33.34	n/a	3-Apr	3325.00	5.0
AO,CRT	11/28	OTC ERROR	099	SMBLW	B	1,500	6.00	n/a	n/a	0.00	0.0
AO,	11/28	WHITE PINE CAPITAL	030	SMBLW	S	7,500	6.00	n/a	n/a	375.00	5.0
AO,	11/28	LISTED ERR	099	TRN	S	1,600	26.33	n/a	n/a	0.00	0.0
AO,CXL	11/27	XYLEM GLOBAL	091	USG	B	10,000	35.92	24-Oct	24-Oct	500.00	5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CRT	11/27	XYLEM GLOBAL	091	USG	B	20,000	35.92	24-Oct 24-Oct	1000.00 5.0

TOTAL (AO, CXL, CRT):								11,569.50	
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TOTAL (Trade Date):								187,743.57	
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TOTAL (AO, CXL, CRT):								11,569.50	
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TOTAL (RUN DATE) / NFS:								199,313.07	
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MRI Securities with Trade Activity on 29-Nov.

ARO

MRI Securities without Trade Activity on 29-Nov.

NONE

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

T-Date = 39%

YTD = 20%

**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**