



Daily Compliance Activity Report

Trade Date: 11/06/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 1

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	ABH	SS	50,000	27.76	n/a	21-Sep	2,500.00	5.0
BANK OF NEW YORK	040	ACN	S	9,900	36.00	n/a	n/a	495.00	5.0
B BUCK CAPITAL MGMT		AEO	S	20,000	21.82	12-Oct	5-Nov	non-brg	4.0
B BUCK CAPITAL MGMT		AEO	S	8,000	22.25	12-Oct	5-Nov	non-brg	4.0
BENCHMARK	028	AIQ	S	10,000	8.66	n/a	n/a	500.00	5.0
BRENCOURT	028	AIQ	B	50,000	8.95	n/a	n/a	1,500.00	3.0
MAZAMA CAPITAL MGMT.	035	AIQ	S	97,900	8.95	n/a	n/a	3,916.00	4.0
WHEELER	008	AIXD	S	5,000	4.28	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT	001	ANF	S	15,000	72.11	2-Oct	5-Nov	600.00	4.0
B BUCK CAPITAL MGMT		ANF	S	5,200	73.11	2-Oct	5-Nov	non-brg	4.0
COUGAR TRADING	044	ANF	B	15,000	73.52	2-Oct	5-Nov	750.00	5.0
COUGAR TRADING	044	ANF	SS	5,000	72.97	2-Oct	5-Nov	250.00	5.0
NORTHPOINT	030	ANIK	S	4,000	16.36	n/a	n/a	160.00	4.0
B BUCK CAPITAL MGMT	001	ANN	SS	50,000	29.88	6-Aug	5-Nov	2,000.00	4.0
J L F ASSET MGMT	039	ANN	B	3,100	29.71	6-Aug	5-Nov	124.00	4.0
B BUCK CAPITAL MGMT		APC	S	3,000	59.72	22-Jun	2-Nov	non-brg	4.0
B BUCK CAPITAL MGMT	001	ARO	B	150,000	22.55	n/a	5-Nov	6,000.00	4.0
COUGAR TRADING	044	ARO	S	5,000	22.85	n/a	5-Nov	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
J L F ASSET MGMT	039	ARO	B	55,700	22.64	n/a	5-Nov	2,228.00	4.0
PRINCIPLE CAPITAL	040	ARO	B	2,700	21.99	n/a	5-Nov	81.00	3.0
MEISENBACH CAP MGMT	041	AVP	B	4,000	40.49	24-Sep	26-Oct	120.00	3.0
ENDEAVOUR CAPITAL	035	AXS	B	45,500	37.97	n/a	n/a	2,275.00	5.0
BUCK CAPITAL MGMT	001	BBY	B	20,000	46.77	n/a	27-Jul	800.00	4.0
WHITE PINE CAPITAL	030	BBY	S	300	46.33	n/a	27-Jul	15.00	5.0
B BUCK CAPITAL MGMT		BONT	B	20,000	15.75	17-Oct	5-Nov	non-brg	4.0
B BUCK CAPITAL MGMT		BONT	B	6,935	16.06	17-Oct	5-Nov	non-brg	1.0
B BUCK CAPITAL MGMT		BONT	B	7,035	15.89	17-Oct	5-Nov	non-brg	1.0
WOOSTER CAPITAL	035	BONT	B	10,000	15.75	17-Oct	5-Nov	500.00	5.0
ROSENBERG	034	BONT	B	200	15.93	17-Oct	5-Nov	0.00	0.0
MAGUIRE	090	BSC	B	750	100.79	4-Sep	22-Oct	0.00	0.0
SOROS	036	BWLD	B	171,000	30.72	n/a	n/a	8,550.00	5.0
BANK OF NEW YORK	040	CAH	S	7,925	62.01	n/a	n/a	396.25	5.0
INDEPENDENCE INV	039	CEG	S	2,200	97.14	n/a	n/a	88.00	4.0
KENNEDY CAPITAL	046	CHD	B	10,000	48.00	7-Nov	10-Sep	400.00	4.0
ROXBURY CAPITAL MGMT	035	CLB	S	21,000	146.42	6-Nov	6-Nov	840.00	4.0
CATAPULT	040	CMA	B	5,000	44.53	n/a	n/a	250.00	5.0
Ö Glenn Redemann		COGN	B	6	0.27	n/a	n/a	0.00	0.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ	Glenn Redemann		COGN	B	6	0.33	n/a	n/a	0.00	0.0
Õ	Glenn Redemann		COGN	SS	4	0.97	n/a	n/a	0.00	0.0
Õ	Glenn Redemann		COGN	SS	4	1.09	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		COH	S	10,000	33.52	24-Oct	24-Oct	non-brg	4.0
ß	BUCK CAPITAL MGMT		COH	S	3,300	33.30	24-Oct	24-Oct	non-brg	4.0
Õ	Glenn Redemann		COST	B	6	0.41	n/a	27-Jul	0.00	0.0
Õ	Glenn Redemann		COST	B	6	0.56	n/a	27-Jul	0.00	0.0
Õ	Glenn Redemann		COST	SS	4	1.06	n/a	27-Jul	0.00	0.0
Õ	Glenn Redemann		COST	SS	4	1.69	n/a	27-Jul	0.00	0.0
	AMBER CAPITAL	046	CROX	SS	50,000	42.89	n/a	n/a	2,000.00	4.0
	BANK OF NEW YORK	040	CSCO	B	6,100	33.80	n/a	22-Mar	305.00	5.0
	WHITE PINE CAPITAL	030	CSCO	B	300	33.65	n/a	22-Mar	15.00	5.0
Õ	Alice Longley		CS	S	4540	62.46	n/a	n/a	0.00	0.0
	BANK OF NEW YORK	040	CTSH	S	6,800	33.88	n/a	n/a	340.00	5.0
	MAGUIRE	090	C	B	3,000	34.77	5-Nov	5-Nov	0.00	0.0
	HEALY CIRCLE	044	DBD	SS	15,000	38.95	16-Aug	9-Oct	750.00	5.0
	STRATTON	N21	DLIA	B	1,000	2.80	n/a	n/a	0.00	0.0
	WILLIAMS/COVEY CAP	045	DLLR	B	5,500	31.65	n/a	n/a	220.00	4.0
	INDEPENDENCE INV	039	DOW	S	4,200	44.40	n/a	25-Oct	168.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PAKLER	N22	DRYS	B	38	110.74	n/a	n/a	0.00	0.0
APEX CAPITAL MGMT.	091	EBAY	B	250,000	33.98	n/a	n/a	12,500.00	5.0
BUCK CAPITAL MGMT	001	EDA	S	5,000	12.25	n/a	n/a	200.00	4.0
ß BUCK CAPITAL MGMT		ESV	S	1,200	55.69	n/a	n/a	non-brg	4.0
SCOPUS FUND	041	ETN	B	27,000	91.49	9-Oct	15-Oct	1,350.00	5.0
BANK OF NEW YORK	040	EWJ	S	5,000	14.02	n/a	n/a	225.00	4.5
ß BUCK CAPITAL MGMT		EXH	S	4,000	88.58	n/a	2-Nov	non-brg	4.0
J L F ASSET MGMT	039	FL	SS	38,400	13.66	22-Aug	5-Nov	1,536.00	4.0
ß BUCK CAPITAL MGMT		FUQI	S	5,000	6.25	n/a	n/a	non-brg	4.0
SERENGETI MGMT	030	GCO	B	35,000	44.99	n/a	10-Jan	1,750.00	5.0
ß BUCK CAPITAL MGMT		GES	S	2,000	46.70	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GES	S	560	47.75	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		GIII	B	10,000	13.47	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		GIII	B	10,000	13.60	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GIII	B	12,300	13.50	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		GIII	B	25,200	13.55	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GIII	B	4,500	13.50	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT	001	GIL	S	20,000	42.17	5-Nov	5-Nov	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		GIL	S	10,000	42.66	5-Nov	5-Nov	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GIL	S	2,500	42.79	5-Nov	5-Nov	non-brg	4.0
AAD CAPITAL	048	GPI	B	93,600	28.98	31-Oct	31-Oct	3,744.00	4.0
COUGAR TRADING	044	GPS	SS	5,000	18.40	n/a	5-Nov	250.00	5.0
WHEELER	008	GXP	S	5,000	29.77	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		GYMB	B	10,000	29.83	10-Aug	5-Nov	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GYMB	S	5,000	29.96	10-Aug	5-Nov	non-brg	4.0
J L F ASSET MGMT	039	GYMB	B	28,800	30.22	10-Aug	5-Nov	1,152.00	4.0
MKT MAKER	099	GYMB	S	200	30.15	10-Aug	5-Nov	0.00	0.0
MATTHES CAPITAL MGMT	033	HBI	SS	20,000	30.12	n/a	n/a	800.00	4.0
MORGAN LEWIS/MLH	046	HRZ	B	10,000	29.62	n/a	n/a	500.00	5.0
⌘ BUCK CAPITAL MGMT		ICON	S	20,000	22.80	n/a	n/a	non-brg	4.0
HIGHBRIDGE CAPITAL	038	IP	B	290,000	34.99	n/a	5-Nov	14,500.00	5.0
⌘ BUCK CAPITAL MGMT		ITXSM	S	5,000	75.89	n/a	n/a	non-brg	15.2
BUCK CAPITAL MGMT	001	JCG	B	35,000	38.20	24-Oct	24-Oct	1,400.00	4.0
⌘ BUCK CAPITAL MGMT		JCG	B	25,000	37.91	24-Oct	24-Oct	non-brg	2.0
COUGAR TRADING	044	JCG	S	5,000	39.14	24-Oct	24-Oct	250.00	5.0
THE JAY GOLDMAN	034	JCG	S	9,997	37.77	24-Oct	24-Oct	399.88	4.0
GAULT	063	JCPKK	B	40	1.00	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
INDEPENDENCE INV	039	JCP	S	3,400	52.01	12-Oct	5-Nov	136.00	4.0
MATTHES CAPITAL MGMT	033	JCP	SS	20,000	51.12	12-Oct	5-Nov	800.00	4.0
MAGUIRE	090	JCP	B	1,000	51.64	12-Oct	5-Nov	0.00	0.0
B BUCK CAPITAL MGMT		JOSB	B	18,015	27.27	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		JOSB	B	29,400	27.19	n/a	n/a	non-brg	4.0
INDEPENDENCE INV	039	JPM	S	3,700	43.92	19-Oct	1-Nov	148.00	4.0
B BUCK CAPITAL MGMT		JWN	B	50,000	33.48	12-Oct	5-Nov	non-brg	4.0
B BUCK CAPITAL MGMT		JWN	B	70,000	33.31	12-Oct	5-Nov	non-brg	4.0
MTB INV ADV	034	JWN	S	39,456	33.49	12-Oct	5-Nov	1,972.80	5.0
SOROS	036	JWN	SS	90,500	33.09	12-Oct	5-Nov	4,525.00	5.0
LUCHANSKY	036	KEG	S	100	14.08	29-Oct	29-Oct	0.00	0.0
HEALY CIRCLE	044	KMX	SS	10,000	19.28	n/a	10-Jan	500.00	5.0
BALYASNY ASSET MGMT	044	KSS	B	10,000	50.71	2-Nov	5-Nov	500.00	5.0
COUGAR TRADING	044	KSS	B	15,000	50.76	2-Nov	5-Nov	750.00	5.0
COUGAR TRADING	044	KSS	SS	5,000	51.39	2-Nov	5-Nov	250.00	5.0
OGORMAN	046	KSS	SS	100	50.20	2-Nov	5-Nov	0.00	0.0
ZOLIDIS	011	KSWs	SS	500	19.09	n/a	13-Mar	0.00	0.0
MKT MAKER	097	KSWs	B	100	19.00	n/a	13-Mar	0.00	0.0
B BUCK CAPITAL MGMT		LAMR	S	1,500	52.54	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		LAMR	S	5,000	52.21	n/a	n/a	non-brg	4.0
PERRY PARTNERS	041	LEAP	B	32,000	62.28	n/a	n/a	960.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MAGUIRE	090	LEH	B	1,500	57.94	12-Jun	16-Oct	0.00	0.0
NORTHPOINT	030	LMAT	S	36,905	7.45	n/a	n/a	1,107.15	3.0
BUCK CAPITAL MGMT	001	LTD	SS	40,000	21.79	n/a	17-Oct	1,600.00	4.0
J L F ASSET MGMT	039	LTD	B	85,400	21.72	n/a	17-Oct	3,416.00	4.0
MS PRINCIPAL STRATEGIES	041	MAR	B	30,000	38.21	n/a	n/a	1,500.00	5.0
B BUCK CAPITAL MGMT		MIR	S	5,000	42.98	n/a	n/a	non-brg	4.0
INDEPENDENCE INV	039	MRK	S	2,900	55.95	n/a	n/a	116.00	4.0
BUCK CAPITAL MGMT	001	M	B	120,000	30.46	24-Sep	5-Nov	4,800.00	4.0
MAGUIRE	090	M	B	1,500	30.33	24-Sep	5-Nov	0.00	0.0
SYSTEMATIC FINANCIAL MGT	035	NTY	S	20,000	32.81	n/a	n/a	750.00	3.8
MATRIX ASSET ADV.	036	NVLS	B	13,000	26.90	n/a	n/a	520.00	4.0
BANK OF NEW YORK	040	NVS	S	12,775	52.70	n/a	n/a	638.75	5.0
INDEPENDENCE INV	039	NWSA	S	8,700	21.30	n/a	n/a	348.00	4.0
BUCK CAPITAL MGMT	001	PAG	S	3,800	20.93	n/a	26-Oct	152.00	4.0
B BUCK CAPITAL MGMT		PAG	S	9,800	21.00	n/a	26-Oct	non-brg	4.0
PILOT ADV	038	PAG	S	9,400	20.82	n/a	26-Oct	376.00	4.0
HIGHBRIDGE CAPITAL	038	PAYX	B	30,000	40.29	n/a	n/a	1,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
INDEPENDENCE INV	039	PEP	S	3,000	73.47	n/a	n/a	120.00	4.0
MEISENBACH CAP MGMT	041	PG	B	3,000	70.24	25-Oct	31-Oct	90.00	3.0
⌘ BUCK CAPITAL MGMT		PLCE	B	58,500	24.76	26-Sep	5-Nov	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PLCE	B	6,883	24.73	26-Sep	5-Nov	non-brg	1.0
⌘ BUCK CAPITAL MGMT		PLCE	B	7,400	24.79	26-Sep	5-Nov	non-brg	1.0
WHITTIER CAP	048	PLCE	B	3,330	24.25	26-Sep	5-Nov	133.20	4.0
MKT MAKER	099	PLCE	B	100	24.11	26-Sep	5-Nov	0.00	0.0
DIAMONDBACK CAP MGMT	232	PNC	B	15,000	69.07	n/a	n/a	750.00	5.0
ROTHSCHILD ASSET	040	PRX	S	59,616	17.07	28-Sep	5-Nov	2,682.74	4.5
FRIESS MGMT	042	PSUN	B	293,700	16.32	n/a	5-Nov	13,216.50	4.5
⌘ BUCK CAPITAL MGMT		PTT	S	5,000	11.02	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	PVH	S	20,000	44.43	13-Aug	29-Aug	800.00	4.0
⌘ BUCK CAPITAL MGMT		PVH	B	8,300	44.38	13-Aug	29-Aug	non-brg	1.0
⌘ BUCK CAPITAL MGMT		PVH	S	7,200	44.22	13-Aug	29-Aug	non-brg	4.0
SYSTEMATIC FINANCIAL MGT	035	PVH	B	49,700	44.42	13-Aug	29-Aug	1,863.75	3.8
WAGONHOUND	048	PVH	B	8,860	44.64	13-Aug	29-Aug	354.40	4.0
WHITTIER CAP	048	PVH	B	1,845	44.25	13-Aug	29-Aug	73.80	4.0
LEDDY	035	PVH	B	500	44.22	13-Aug	29-Aug	0.00	0.0
WILLIAMS/COVEY CAP	045	QMAR	B	1,900	25.91	n/a	n/a	76.00	4.0
LISTED ERR	099	Q	S	200	6.74	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHITE PINE CAPITAL	030	RFMD	S	2,500	6.27	n/a	n/a	125.00	5.0
BUCK CAPITAL MGMT	001	RL	B	50,000	65.87	31-Oct	31-Oct	2,000.00	4.0
BUCK CAPITAL MGMT	001	SKX	S	69,500	22.24	n/a	13-Mar	2,780.00	4.0
BUCK CAPITAL MGMT	001	SSI	B	20,000	17.12	3-Aug	5-Nov	800.00	4.0
⌘ BUCK CAPITAL MGMT		SSI	S	2,100	16.78	3-Aug	5-Nov	non-brg	4.0
OGORMAN	046	SSI	B	300	17.00	3-Aug	5-Nov	0.00	0.0
⌘ BUCK CAPITAL MGMT		SWN	S	7,000	54.26	n/a	1-Nov	non-brg	4.0
HEALY CIRCLE	044	S	S	5,000	17.11	n/a	n/a	250.00	5.0
WHITE PINE CAPITAL	030	TGT	S	300	58.00	n/a	27-Jul	15.00	5.0
BUCK CAPITAL MGMT	001	TIF	SS	30,000	49.33	18-Oct	18-Oct	1,200.00	4.0
CSFB GLOBAL PROPRIETARY	035	TIN	B	40,000	50.64	21-Sep	25-Oct	2,000.00	5.0
BUCK CAPITAL MGMT	001	TJX	B	20,000	27.35	21-Sep	5-Nov	800.00	4.0
⌘ BUCK CAPITAL MGMT		TRLG	B	50,000	14.50	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		TRLG	B	50,000	15.31	n/a	n/a	non-brg	4.0
ZOLIDIS	011	TRLG	B	700	15.17	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		TWB	B	20,000	28.44	2-Oct	2-Oct	non-brg	4.0
MATTHES CAPITAL MGMT	033	TWB	SS	50,000	28.05	2-Oct	2-Oct	2,000.00	4.0
DENVER INST. ADV	046	TWTC	B	100,000	21.63	n/a	1-Nov	4,000.00	4.0

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BUCK CAPITAL MGMT	001	UA	SS	50,000	49.22	n/a	n/a	2,000.00	4.0
ß BUCK CAPITAL MGMT		URBN	S	10,000	24.80	23-Oct	6-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		URBN	S	110,000	24.86	23-Oct	6-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		URBN	S	20,000	25.17	23-Oct	6-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		URBN	S	30,000	24.73	23-Oct	6-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		URBN	S	30,000	24.83	23-Oct	6-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		VIRL	S	1,700	8.38	n/a	n/a	non-brg	1.0
Õ Glenn Redemann		VRSN	B	6	0.27	n/a	n/a	0.00	0.0
Õ Glenn Redemann		VRSN	B	6	0.33	n/a	n/a	0.00	0.0
Õ Glenn Redemann		VRSN	SS	4	0.97	n/a	n/a	0.00	0.0
Õ Glenn Redemann		VRSN	SS	4	1.09	n/a	n/a	0.00	0.0
NORTHPOINT	030	VTIV	B	11,950	37.28	n/a	n/a	478.00	4.0
BUCK	015	WM	SS	1,200	23.86	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		WRNC	S	10,000	39.38	6-Nov	6-Nov	non-brg	4.0
NORTHPOINT	030	WSPI	B	810	9.94	n/a	n/a	24.30	3.0
LEDDY	035	XOHO	S	900	3.30	n/a	n/a	0.00	0.0
INDEPENDENCE INV	039	XOM	S	2,900	90.22	n/a	n/a	116.00	4.0
POST ROAD CAP	045	XRT	SS	10,000	36.00	n/a	n/a	300.00	3.0
PORTER-ORLIN-FELDMAN	044	ZQK	B	50,000	11.80	n/a	31-Oct	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRIVIUM CAP MGMT	251	ZQK	B	100,000	11.73	n/a	31-Oct	4,000.00	4.0
B BUCK CAPITAL MGMT		ZUMZ	B	40,000	37.47	n/a	n/a	non-brg	4.0
TOTAL (Trade Date):								153,657.52	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/05	BUCK CAPITAL MGMT	001	AEO	S	169,500	21.98	12-Oct	5-Nov	6780.00 4.0
AO,	11/05	BUCK CAPITAL MGMT	001	AEO	S	100	21.98	12-Oct	5-Nov	4.00 4.0
AO,CRT	11/05	BUCK CAPITAL MGMT	001	AEO	S	169,400	21.98	12-Oct	5-Nov	6776.00 4.0
AO,CRT	11/05	LISTED ERR	035	AIQ	S	16	8.99	n/a	n/a	0.00 0.0
AO,CXL	11/05	LISTED ERR	035	AIQ	S	16	8.99	n/a	n/a	0.64 4.0
AO,	11/05	ALLEN & CO	032	FCX	S	37,500	108.37	n/a	n/a	1500.00 4.0
AO,CXL	11/01	MCCARTAN	028	GLBC	B	200	20.06	n/a	n/a	0.00 0.0
AO,CRT	11/01	MCCARTAN	028	GLBC	B	200	20.06	n/a	n/a	0.00 0.0
AO,CXL	11/05	APEX CAPITAL MGMT.	091	LTD	SS	235,000	21.47	n/a	17-Oct	11750.00 5.0
AO,CRT	11/05	APEX CAPITAL MGMT.	091	LTD	SS	235,000	21.47	n/a	17-Oct	11750.00 5.0
AO,CRT	11/05	HUNTER GLOBAL INVESTOR	067	NCT	B	150,000	13.33	n/a	n/a	6000.00 4.0
AO,CXL	11/05	HUNTER GLOBAL INVESTOR	067	NCT	B	150,000	13.33	n/a	n/a	6000.00 4.0
TOTAL (AO, CXL, CRT) :										1,499.36

TOTAL (Trade Date) :	153,657.52
TOTAL (AO, CXL, CRT) :	1,499.36

TOTAL (RUN DATE) / NFS :	155,156.88
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MRI Securities with Trade Activity on 6-Nov.

CLB, WRNC

MRI Securities without Trade Activity on 6-Nov.

JCI, SIAL, WDR

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

T-Date = 46%

YTD = 18%

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