



# Daily Compliance Activity Report

Trade Date: 11/10/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ADAGE CAPITAL MGMT	030	AEO	B	100,000	16.21	n/a	6-Nov	4,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>AEO</b>	<b>S</b>	<b>5,000</b>	<b>16.14</b>	<b>n/a</b>	<b>6-Nov</b>	<b>non-brg</b>	<b>4.0</b>
ISLE RIDGE PARTNERS	041	AEO	B	10,000	16.14	n/a	6-Nov	400.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>APP</b>	<b>S</b>	<b>20,000</b>	<b>2.53</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>APP</b>	<b>S</b>	<b>20,225</b>	<b>2.63</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ARO</b>	<b>S</b>	<b>3,000</b>	<b>33.49</b>	<b>n/a</b>	<b>6-Nov</b>	<b>non-brg</b>	<b>4.0</b>
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>BAC</b>	<b>B</b>	<b>310</b>	<b>16.11</b>	<b>n/a</b>	<b>26-Oct</b>	<b>0.00</b>	<b>0.0</b>
ADAGE CAPITAL MGMT	030	BBY	B	76,159	41.81	n/a	n/a	3,046.36	4.0
HUTCHIN HILL CAPITAL LP	233	BBY	B	20,000	41.87	n/a	n/a	600.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>BEBE</b>	<b>S</b>	<b>8,100</b>	<b>6.00</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
MORTAR ROCK	033	BIIB	S	5,000	45.33	n/a	n/a	200.00	4.0
HUTCHIN HILL CAPITAL LP	233	BJ	SS	7,700	36.10	n/a	n/a	231.00	3.0
<b>B BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BKS</b>	<b>B</b>	<b>50,000</b>	<b>19.22</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BKS</b>	<b>C</b>	<b>10,000</b>	<b>19.09</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BONT</b>	<b>S</b>	<b>5,000</b>	<b>10.79</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
PATTEN & PATTEN	067	BP	B	1,100	59.09	n/a	n/a	55.00	5.0
NICOLAS APPELGATE	048	BCY	S	34,200	53.29	n/a	26-Oct	1,368.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SMITH MGMT LLC	029	BZ	B	100,000	5.46	n/a	n/a	3,000.00	3.0
⚡ BUCK CAPITAL MGMT		CAKE	B	25,000	18.92	n/a	23-Oct	non-brg	4.0
⚡ BUCK CAPITAL MGMT		CAKE	C	20,000	18.88	n/a	23-Oct	non-brg	4.0
IRIDIAN ASSET MGMT.	036	CA	B	113,050	21.98	n/a	n/a	5,652.50	5.0
KENNEDY CAPITAL	046	CBK	B	2,100	6.50	n/a	n/a	63.00	3.0
SENATOR INVESTMENT GROUP	036	CMCSA	B	50,000	14.88	n/a	n/a	1,500.00	3.0
ADAGE CAPITAL MGMT	030	COH	B	150,000	35.14	n/a	21-Oct	6,000.00	4.0
BUCK CAPITAL MGMT	001	COH	S	10,000	34.85	n/a	21-Oct	400.00	4.0
⚡ BUCK CAPITAL MGMT		COH	S	2,000	34.92	n/a	21-Oct	non-brg	4.0
BUCK CAPITAL MGMT	001	CRI	B	20,000	21.18	n/a	n/a	800.00	4.0
SAC TRADING TOM LEDDY	035	CRI	S	15,310	21.90	n/a	n/a	765.50	5.0
⚡ BUCK CAPITAL MGMT		CTRN	S	900	28.10	n/a	n/a	non-brg	4.0
EXIS CAPITAL	044	CTXS	S	15,000	39.25	n/a	n/a	750.00	5.0
⚡ JOHN CAREY MAGUIRE	FID	CVLY	S	800	5.90	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		CVS	S	10,027	30.44	n/a	n/a	non-brg	4.0
MORTAR ROCK	033	CVS	B	2,500	29.79	n/a	n/a	100.00	4.0
PATTEN & PATTEN	067	CVS	S	500	29.75	n/a	n/a	25.00	5.0
PATTEN & PATTEN	067	CWB	B	900	36.78	n/a	n/a	45.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B</b> BUCK CAPITAL MGMT		<b>CWTR</b>	<b>S</b>	<b>10,000</b>	<b>6.30</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
BARON ASSET MGMT*	012	CYH	S	25,000	33.09	n/a	n/a	1,250.00	5.0
<b>f</b> JOHN CAREY MAGUIRE	<b>FID</b>	<b>DAL</b>	<b>B</b>	<b>1000</b>	<b>7.74</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>DB</b>	<b>B</b>	<b>700</b>	<b>75.37</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>DECK</b>	<b>S</b>	<b>15,000</b>	<b>96.41</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
MILLENIUM PARTNERS	028	DF	B	20,000	16.89	n/a	n/a	800.00	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>DIA</b>	<b>C</b>	<b>7,500</b>	<b>102.56</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>f</b> KAREN F LEDDY	<b>FID</b>	<b>DVN</b>	<b>S</b>	<b>200</b>	<b>69.33</b>	<b>n/a</b>	<b>2-Nov</b>	<b>0.00</b>	<b>0.0</b>
ISLE RIDGE PARTNERS	041	EAT	B	25,000	13.69	n/a	n/a	1,000.00	4.0
MORTAR ROCK	033	EAT	B	2,500	13.68	n/a	n/a	100.00	4.0
MERRILL ASSET/BLACKROCK	214	EDMC	S	9,700	22.13	n/a	n/a	436.50	4.5
BMO NESBITT BURNS	041	ENDP	SS	3,000	23.19	n/a	9-Nov	150.00	5.0
PATTEN & PATTEN	067	EP	S	4,000	10.14	n/a	n/a	200.00	5.0
<b>B</b> BUCK CAPITAL MGMT		<b>ERTS</b>	<b>B</b>	<b>50,000</b>	<b>18.21</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>ESRX</b>	<b>B</b>	<b>700</b>	<b>86.34</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	067	EWC	B	500	25.93	n/a	n/a	25.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	EXC	B	700	47.14	n/a	n/a	35.00	5.0
CUMBERLAND	239	EXH	B	15,000	22.96	n/a	2-Nov	600.00	4.0
RBC CAPITAL MARKETS	040	FDO	SS	10,000	29.38	n/a	4-Nov	400.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>FINL</b>	<b>S</b>	<b>6,752</b>	<b>10.16</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BASIX	033	FL	S	20,000	10.88	n/a	n/a	600.00	3.0
<b>f CAROL ANNE LACHENAU</b>	<b>FID</b>	<b>FOR</b>	<b>B</b>	<b>500</b>	<b>17.12</b>	<b>n/a</b>	<b>5-Nov</b>	<b>0.00</b>	<b>0.0</b>
<b>f DOUGLAS ROGERS</b>	<b>FID</b>	<b>FOR</b>	<b>B</b>	<b>500</b>	<b>17.13</b>	<b>n/a</b>	<b>5-Nov</b>	<b>0.00</b>	<b>0.0</b>
<b>f TR U/W OF CH RISTINA</b>	<b>FID</b>	<b>FOR</b>	<b>B</b>	<b>500</b>	<b>17.22</b>	<b>n/a</b>	<b>5-Nov</b>	<b>0.00</b>	<b>0.0</b>
<b>f MITCHELL JAMES SPEIS</b>	<b>FID</b>	<b>FSNXX</b>	<b>B</b>	<b>24797</b>	<b>1.00</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>GAP</b>	<b>SS</b>	<b>20,000</b>	<b>12.11</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>GAZ</b>	<b>B</b>	<b>5000</b>	<b>13.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GIII</b>	<b>S</b>	<b>10,000</b>	<b>17.70</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GIL</b>	<b>B</b>	<b>10,000</b>	<b>19.48</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GPS</b>	<b>S</b>	<b>5,000</b>	<b>22.87</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GSIC</b>	<b>S</b>	<b>5,000</b>	<b>19.10</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>GSI</b>	<b>S</b>	<b>1700</b>	<b>4.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

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<b>B</b> BUCK CAPITAL MGMT		<b>HBI</b>	<b>S</b>	<b>3,000</b>	<b>25.84</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> JONATHAN RICHARD HAR	<b>FID</b>	<b>HBI</b>	<b>S</b>	<b>215</b>	<b>26.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	067	IEF	B	1,400	90.96	n/a	n/a	70.00	5.0
ISLE RIDGE PARTNERS	041	IGT	S	25,000	20.29	n/a	9-Nov	1,000.00	4.0
<b>f</b> LEE F BACKUS	<b>FID</b>	<b>IVZ</b>	<b>S</b>	<b>1000</b>	<b>23.21</b>	<b>n/a</b>	<b>10-Nov</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>IWM</b>	<b>C</b>	<b>3,000</b>	<b>58.96</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
MORTAR ROCK	033	JACK	SS	2,500	19.46	n/a	n/a	100.00	4.0
<b>f</b> KAREN F LEDDY	<b>FID</b>	<b>JADE</b>	<b>S</b>	<b>880</b>	<b>3.21</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>JCG</b>	<b>B</b>	<b>10,000</b>	<b>43.67</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
RBC CAPITAL MARKETS	040	JCP	SS	5,000	30.87	n/a	6-Nov	200.00	4.0
SCOPUS FUND	041	JNY	B	35,000	19.18	n/a	29-Oct	1,750.00	5.0
RBC CAPITAL MARKETS	040	JOYG	SS	10,000	56.14	n/a	n/a	400.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JWN</b>	<b>B</b>	<b>40,000</b>	<b>35.32</b>	<b>n/a</b>	<b>6-Nov</b>	<b>1,600.00</b>	<b>4.0</b>
SIGMA CAPITAL ASSOCIATES	041	JWN	S	50,000	35.33	n/a	6-Nov	2,000.00	4.0
<b>f</b> JOEL GIFFORD TISS	<b>FID</b>	<b>KFT</b>	<b>S</b>	<b>1200</b>	<b>26.68</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> CICILY S BACKUS	<b>FID</b>	<b>KG</b>	<b>S</b>	<b>2000</b>	<b>11.21</b>	<b>n/a</b>	<b>9-Nov</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JP MORGAN VENTURES	046	KSS	S	15,000	56.68	n/a	6-Nov	750.00	5.0
RBC CAPITAL MARKETS	040	KSS	SS	5,000	56.72	n/a	6-Nov	200.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>LL</b>	<b>S</b>	<b>20,000</b>	<b>25.34</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>LNCR</b>	<b>B</b>	<b>1500</b>	<b>33.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FIRST NEW YORK LEDDY	035	LVLTT	S	10,000	1.22	n/a	n/a	600.00	6.0
<b>B BUCK CAPITAL MGMT</b>		<b>MFB</b>	<b>B</b>	<b>50,000</b>	<b>15.76</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
PATTEN & PATTEN	067	MGU	S	1,700	14.82	n/a	n/a	85.00	5.0
PATTEN & PATTEN	067	MHP	S	400	29.70	n/a	n/a	20.00	5.0
PATTEN & PATTEN	067	MOT	B	1,000	8.82	n/a	n/a	50.00	5.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>MPEL</b>	<b>B</b>	<b>500</b>	<b>4.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BMO NESBITT BURNS	041	MRX	SS	3,000	23.71	n/a	n/a	150.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>MVRX</b>	<b>SS</b>	<b>25,000</b>	<b>167.71</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>16.8</b>
SCOPUS FUND	041	MW	B	25,000	22.97	n/a	n/a	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>M</b>	<b>B</b>	<b>50,000</b>	<b>19.58</b>	<b>n/a</b>	<b>6-Nov</b>	<b>2,000.00</b>	<b>4.0</b>
EXIS CAPITAL	044	M	S	10,000	19.44	n/a	6-Nov	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>NP</b>	<b>S</b>	<b>1,500</b>	<b>12.88</b>	<b>n/a</b>	<b>12-Oct</b>	<b>non-brg</b>	<b>2.5</b>

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BUCK CAPITAL MGMT		NP	S	19,678	12.88	n/a	12-Oct	non-brg	2.5
BUCK CAPITAL MGMT		NP	S	2,200	12.88	n/a	12-Oct	non-brg	2.5
BUCK CAPITAL MGMT		NP	S	600	12.88	n/a	12-Oct	non-brg	2.5
BUCK CAPITAL MGMT		NP	S	700	12.88	n/a	12-Oct	non-brg	2.5
BUCK CAPITAL MGMT		NTY	B	20,000	38.32	n/a	n/a	non-brg	4.0
ISLE RIDGE PARTNERS	041	NWL	SS	4,000	14.89	n/a	n/a	160.00	4.0
ISLE RIDGE PARTNERS	041	NWL	S	21,000	14.89	n/a	n/a	840.00	4.0
BUCK CAPITAL MGMT		NWY	S	10,000	4.41	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT		NWY	S	20,000	4.07	n/a	n/a	non-brg	2.0
EXIS CAPITAL	044	NWY	B	20,000	4.11	n/a	n/a	1,000.00	5.0
NICOLAS APPELEGATE	048	PERY	S	9,800	13.44	n/a	n/a	294.00	3.0
BUCK CAPITAL MGMT		PIR	B	40,000	3.87	n/a	n/a	non-brg	2.0
BMO NESBITT BURNS	041	PKG	B	25,000	19.66	n/a	22-Oct	1,250.00	5.0
BUCK CAPITAL MGMT		PLCE	S	2,000	36.40	n/a	6-Nov	non-brg	4.0
MILLRACE FUND LP	028	PRX	SS	5,000	22.46	n/a	9-Nov	200.00	4.0
BUCK CAPITAL MGMT	001	PSS	B	50,000	20.65	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	PVH	B	30,000	43.37	n/a	2-Nov	1,200.00	4.0
BUCK CAPITAL MGMT		QKLS	B	600	6.75	n/a	n/a	non-brg	2.5
JANA CAPITAL	044	Q	S	250,000	3.74	n/a	n/a	10,000.00	4.0

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PATTEN & PATTEN	067	Q	S	3,500	3.78	n/a	n/a	175.00	5.0
BUCK CAPITAL MGMT	001	SKX	S	10,000	23.45	n/a	n/a	400.00	4.0
ß BUCK CAPITAL MGMT		SKX	S	5,000	23.72	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SPY	C	7,500	109.52	n/a	n/a	non-brg	0.8
DAVIDSON KEMPNER ADVISOR	040	SPY	SS	1,100	109.68	n/a	n/a	55.00	5.0
JP MORGAN VENTURES	046	SPY	B	15,000	109.39	n/a	n/a	450.00	3.0
ß BUCK CAPITAL MGMT		SSI	C	20,000	12.37	n/a	6-Nov	non-brg	4.0
f KAREN F LEDDY	FID	TIN	S	700	16.33	n/a	22-Oct	0.00	0.0
ß BUCK CAPITAL MGMT		TJX	S	20,000	39.15	n/a	6-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		TJX	S	8,000	39.08	n/a	6-Nov	non-brg	4.0
PATTEN & PATTEN	067	TWTC	S	1,000	14.91	n/a	n/a	50.00	5.0
DAVIDSON KEMPNER ADVISOR	040	TYC	B	25,000	34.76	n/a	10-Nov	1,250.00	5.0
EXIS CAPITAL	044	UPS	S	20,000	56.49	n/a	n/a	1,000.00	5.0
PZENA INV ADV	044	VLO	B	8,575	17.25	n/a	n/a	300.14	3.5
PRINCIPLE CAPITAL	040	VRX	SS	50,000	32.69	n/a	n/a	1,500.00	3.0
PATTEN & PATTEN	067	WAG	B	500	39.60	n/a	n/a	25.00	5.0
BMO NESBITT BURNS	041	WCRX	B	10,000	22.10	n/a	10-Nov	500.00	5.0
PATTEN & PATTEN	067	WFR	S	600	12.92	n/a	n/a	30.00	5.0



Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
ß BUCK CAPITAL MGMT		WMT	B	100,000	52.28	n/a	10-Nov	non-brg 2.0
ß BUCK CAPITAL MGMT		WMT	B	25,000	52.29	n/a	10-Nov	non-brg 0.8
ß BUCK CAPITAL MGMT		WMT	B	275,000	52.25	n/a	10-Nov	non-brg 4.0
BUCK CAPITAL MGMT	001	WRC	B	10,000	44.18	n/a	5-Nov	400.00 4.0
ß BUCK CAPITAL MGMT		WWW	B	20,000	27.90	n/a	n/a	non-brg 2.5
ß BUCK CAPITAL MGMT		WWW	S	14,449	27.36	n/a	n/a	non-brg 0.8
ß BUCK CAPITAL MGMT		XLY	C	5,000	28.67	n/a	n/a	non-brg 0.8
ß BUCK CAPITAL MGMT		XRT	C	45,000	35.78	n/a	n/a	non-brg 0.8
TOTAL (Trade Date):							73,202.00	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	11/09	EGS ASSOCIATES LP	091	AEO	B	4,000	16.10	n/a	6-Nov	240.00 6.0
AO,CXL	11/09	EGS ASSOCIATES LP	091	AEO	B	3,000	16.10	n/a	6-Nov	180.00 6.0
AO,CXL	11/05	ADAGE CAPITAL MGMT	030	SMG	SS	30,000	42.83	n/a	9-Nov	1200.00 4.0
AO,CRT	11/05	ADAGE CAPITAL MGMT	030	SMG	SS	30,000	42.83	n/a	9-Nov	1200.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>60.00</b>

TOTAL (Trade Date) :	73,202.00
TOTAL (AO, CXL, CRT) :	60.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>73,262.00</b>
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MRI Securities with Trade Activity on 10-Nov. NONE
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MRI Securities without Trade Activity on 10-Nov. NONE
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BRG comm. as a % of BCM Total Comm. paid. T-Date = 25% YTD = 19%
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<b><u>Legend:</u></b>
<b>Õ: Employee Trades in Outside Accounts</b>
<b>ß: Non-BRG BCM Trades</b>
[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)