



# Daily Compliance Activity Report

Trade Date: 10/21/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HARBORWATCH/DIAMBACK	232	AA	S	50,000	14.00	n/a	n/a	2,500.00	5.0
NEWLAND CAPITAL MGT	067	AME	S	20,000	36.70	n/a	n/a	800.00	4.0
EXIS CAPITAL	044	ANR	S	20,000	40.74	n/a	n/a	1,000.00	5.0
STADIA CAPITAL	035	AN	S	13,300	21.08	n/a	19-Oct	532.00	4.0
TRELLUS PARTNERS LP	028	AN	S	20,000	21.22	n/a	19-Oct	1,000.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>APP</b>	<b>S</b>	<b>20,000</b>	<b>3.04</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
EXIS CAPITAL	044	ARO	SS	5,000	41.86	n/a	9-Oct	250.00	5.0
ROTHSCHILD ASSET	040	AWI	S	18,410	38.35	n/a	n/a	828.45	4.5
NEWLAND CAPITAL MGT	067	AXE	S	20,000	42.42	n/a	6-Oct	800.00	4.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>AXLKA</b>	<b>B</b>	<b>20</b>	<b>1.45</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
GLOBAL 56 LLC	060	AXL	B	3,000	6.63	n/a	19-Oct	150.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>BAC</b>	<b>B</b>	<b>45,000</b>	<b>16.48</b>	<b>n/a</b>	<b>19-Oct</b>	<b>non-brg</b>	<b>0.8</b>
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>BAC</b>	<b>S</b>	<b>15000</b>	<b>16.83</b>	<b>n/a</b>	<b>19-Oct</b>	<b>0.00</b>	<b>0.0</b>
GRUBER MACBAINE	033	BBBY	S	10,000	36.48	n/a	n/a	400.00	4.0
CR INTRINIC INVESTMENT	044	BEC	B	10,000	69.36	n/a	n/a	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>BEE</b>	<b>S</b>	<b>2500</b>	<b>2.33</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BIG</b>	<b>S</b>	<b>20,000</b>	<b>27.46</b>	<b>n/a</b>	<b>6-Oct</b>	<b>non-brg</b>	<b>4.0</b>
DIAMONDBACK CAP MGMT	232	BK	C	20,000	28.35	n/a	21-Oct	1,000.00	5.0
NEUBERGER BERMAN	036	BMI	B	12,900	38.79	n/a	n/a	580.50	4.5
SONTERRA CAP	041	BNI	B	20,000	86.12	n/a	n/a	800.00	4.0
BRIGADE CAPITAL MGMT	029	BONT	B	25,000	8.44	n/a	n/a	750.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>BONT</b>	<b>B</b>	<b>20,000</b>	<b>8.50</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
RBC CAPITAL MARKETS	040	BWA	S	10,000	32.66	n/a	n/a	400.00	4.0
TRELLUS PARTNERS LP	028	BWA	S	10,000	33.22	n/a	n/a	500.00	5.0
&FNY	035	CAB	B	40,000	14.02	n/a	n/a	1,600.00	4.0
HARBORWATCH/DIAMBACK	232	CAT	SS	15,000	59.66	n/a	21-Oct	750.00	5.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>CAT</b>	<b>S</b>	<b>1000</b>	<b>58.72</b>	<b>n/a</b>	<b>21-Oct</b>	<b>0.00</b>	<b>0.0</b>
PIONEER MICHAEL NOLAN	067	CDNS	S	34,000	7.88	n/a	n/a	1,020.00	3.0
NORTHPOINT	030	CEDC	S	14,311	35.00	n/a	n/a	572.44	4.0
STRONG/MARK GRONET	030	CIM	B	200,000	3.80	n/a	n/a	6,000.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>COCO</b>	<b>SS</b>	<b>20,000</b>	<b>18.32</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>COF</b>	<b>B</b>	<b>2000</b>	<b>38.11</b>	<b>n/a</b>	<b>15-Oct</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ADALY INV MGMT	031	COG	B	10,000	40.58	21-Oct	21-Oct	500.00	5.0
CIRCLE T/SES PART	035	COG	S	15,000	40.61	21-Oct	21-Oct	600.00	4.0
EXIS CAPITAL	044	COST	B	5,000	58.88	n/a	n/a	250.00	5.0
LEVEL GLOBAL SHARED ACCT	257	CRM	S	100,000	64.21	n/a	n/a	3,000.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>CTRN</b>	<b>S</b>	<b>10,000</b>	<b>30.13</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
NEUBERGER BERMAN	036	DAR	B	31,900	7.23	n/a	n/a	957.00	3.0
EXIS CAPITAL	044	DD	B	25,000	34.64	n/a	20-Oct	1,250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>DECK</b>	<b>S</b>	<b>5,000</b>	<b>90.95</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DIA</b>	<b>SS</b>	<b>45,000</b>	<b>99.62</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
IRIDIAN ASSET MGMT.	036	EBAY	S	11,120	25.71	n/a	n/a	556.00	5.0
PAW PARTNERS	045	EBAY	S	10,000	25.17	n/a	n/a	500.00	5.0
ROTHSCHILD ASSET	040	ELS	B	57,930	46.15	n/a	n/a	2,606.85	4.5
FIRST NEW YORK LEDDY	035	ETFC	S	10,000	1.67	n/a	n/a	600.00	6.0
HARBORWATCH/DIAMBACK	232	ETN	SS	10,000	64.88	n/a	20-Oct	500.00	5.0
LEVEL GLOBAL SHARED ACCT	257	EXPE	S	100,000	25.84	n/a	n/a	3,000.00	3.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>FBRSX</b>	<b>B</b>	<b>180</b>	<b>16.68</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.	
BULL PATH CAPITAL	044	FII	S	38,261	26.06	n/a	21-Oct	1,913.05	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>FL</b>	<b>B</b>	<b>5,660</b>	<b>11.57</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
CARDINAL CAPITAL	044	FMC	B	14,300	55.87	n/a	n/a	715.00	5.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>F</b>	<b>B</b>	<b>25000</b>	<b>7.88</b>	<b>n/a</b>	<b>19-Oct</b>	<b>0.00</b>	<b>0.0</b>
TRAFELET & COMP.	028	F	B	730,000	7.89	n/a	19-Oct	29,200.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>GAP</b>	<b>SS</b>	<b>50,000</b>	<b>9.61</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>GDQAT</b>	<b>B</b>	<b>15</b>	<b>1.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GES</b>	<b>S</b>	<b>20,000</b>	<b>39.69</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
OVERLAND PARK CAP	041	GE	S	50,000	15.87	n/a	n/a	2,000.00	4.0
STADIA CAPITAL	035	GILD	S	27,400	45.08	n/a	n/a	1,096.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>GME</b>	<b>B</b>	<b>50,000</b>	<b>25.85</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BACKBAY	041	HBHC	B	25,000	36.40	n/a	n/a	1,250.00	5.0
NUMERIC	060	HRS	S	24,000	40.32	n/a	19-Oct	720.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>IFF</b>	<b>B</b>	<b>2,400</b>	<b>40.24</b>	<b>n/a</b>	<b>12-Oct</b>	<b>non-brg</b>	<b>0.8</b>
NORTHPOINT	030	IPCS	S	20,632	23.87	n/a	n/a	825.28	4.0
NEUBERGER BERMAN	036	IPI	B	7,500	28.41	n/a	n/a	337.50	4.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	IPI	B	10,000	28.54	n/a	n/a	400.00	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>IWF</b>	<b>S</b>	<b>1500</b>	<b>48.12</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>IWM</b>	<b>SS</b>	<b>145,000</b>	<b>60.68</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JBHT</b>	<b>B</b>	<b>4,400</b>	<b>33.35</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
DIAMONDBACK CAP MGMT	232	JEF	C	20,000	27.55	n/a	n/a	1,000.00	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>JNJ</b>	<b>S</b>	<b>20,000</b>	<b>60.50</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>JNY</b>	<b>B</b>	<b>8,700</b>	<b>18.63</b>	<b>n/a</b>	<b>21-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>JNY</b>	<b>S</b>	<b>8,700</b>	<b>18.73</b>	<b>n/a</b>	<b>21-Oct</b>	<b>0.00</b>	<b>0.0</b>
SCOPUS FUND	041	JOE	B	23,300	28.15	n/a	n/a	1,165.00	5.0
SCOPUS FUND	041	JOE	S	15,000	28.99	n/a	n/a	750.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>JOSB</b>	<b>S</b>	<b>10,000</b>	<b>46.80</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
CAXTON PART	040	JPM	B	15,002	46.36	n/a	15-Oct	525.08	3.5
S.A.C.HABER/BOBBY	044	JPM	B	50,000	46.37	n/a	15-Oct	2,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JWN</b>	<b>B</b>	<b>80,000</b>	<b>35.08</b>	<b>n/a</b>	<b>9-Oct</b>	<b>3,200.00</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JWN</b>	<b>B</b>	<b>6,000</b>	<b>34.18</b>	<b>n/a</b>	<b>9-Oct</b>	<b>non-brg</b>	<b>4.0</b>
IRIDIAN ASSET MGMT.	036	KMB	S	8,410	60.12	n/a	n/a	420.50	5.0
NUMERIC	060	LIZ	B	40,000	7.38	n/a	7-Oct	1,200.00	3.0
CR INTRINIC INVESTMENT	044	LLY	B	10,000	34.27	n/a	n/a	400.00	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f</b>	<b>DAVID GEORGE BUCK</b>	<b>FID</b>	<b>LLY</b>	<b>B</b>	<b>2000</b>	<b>34.12</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
	CR INTRINIC INVESTMENT	044	LNCR	S	13,286	32.58	n/a	n/a	531.44	4.0
	GEORGE WEISS	034	LPX	SS	100,000	6.42	n/a	12-Oct	3,000.00	3.0
	MILLENIUM PARTNERS	028	LPX	B	30,000	6.75	n/a	12-Oct	1,200.00	4.0
	SCOPUS FUND	041	LPX	SS	50,000	6.62	n/a	12-Oct	2,500.00	5.0
	NEUBERGER BERMAN	036	LXU	B	8,400	13.91	n/a	n/a	378.00	4.5
	BACKBAY	041	MI	SS	50,000	6.47	n/a	n/a	2,500.00	5.0
	BALYASNY ASSET MGMT	044	MMM	B	20,000	77.20	n/a	n/a	1,000.00	5.0
	ST OF MICHIAN	047	MON	B	100,000	75.30	n/a	20-Oct	2,000.00	2.0
	KLEINHEINZ CAP PART	031	MSFT	B	250,000	26.57	n/a	n/a	12,500.00	5.0
	COLUMBIA PARTNERS	028	MSM	C	37,717	48.23	n/a	n/a	1,131.51	3.0
<b>B</b>	<b>BUCK CAPITAL MGMT</b>		<b>MVRX</b>	<b>SS</b>	<b>35,000</b>	<b>170.93</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>17.1</b>
<b>f</b>	<b>NEIL M STRATTON</b>	<b>FID</b>	<b>MXM</b>	<b>B</b>	<b>245</b>	<b>10.00</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>M</b>	<b>S</b>	<b>20,000</b>	<b>18.86</b>	<b>n/a</b>	<b>9-Oct</b>	<b>800.00</b>	<b>4.0</b>
	EXIS CAPITAL	044	M	B	5,000	19.10	n/a	9-Oct	250.00	5.0
<b>B</b>	<b>BUCK CAPITAL MGMT</b>		<b>NTY</b>	<b>S</b>	<b>20,000</b>	<b>41.94</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
	SYSTEMATIC FINANCIAL MGT	035	NUS	B	100,000	23.60	n/a	n/a	3,500.00	3.5

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CR INTRINIC INVESTMENT	044	NVS	SS	25,000	51.93	n/a	n/a	1,000.00	4.0
NEWLAND CAPITAL MGT	067	PENN	S	7,500	28.55	n/a	n/a	300.00	4.0
ENTRUST CAPITAL	040	PFCB	SS	62,300	31.69	n/a	21-Oct	3,115.00	5.0
NEUBERGER BERMAN	036	PICO	B	13,300	34.95	n/a	n/a	598.50	4.5
CAXTON PART	040	PM	S	60,832	50.92	n/a	n/a	2,129.20	3.5
<b>B BUCK CAPITAL MGMT</b>		<b>PNRA</b>	<b>B</b>	<b>40,000</b>	<b>54.23</b>	<b>n/a</b>	<b>20-Oct</b>	<b>non-brg</b>	<b>4.0</b>
BALYASNY ASSET MGMT	044	PSUN	B	50,000	7.00	n/a	n/a	2,000.00	4.0
KENNEDY CAPITAL	046	PSUN	S	280,000	7.01	n/a	n/a	8,400.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>S</b>	<b>30,000</b>	<b>43.27</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
IRIDIAN ASSET MGMT.	036	QCOM	B	12,290	41.86	n/a	n/a	614.50	5.0
NEWLAND CAPITAL MGT	067	QQQQ	SS	25,000	43.11	n/a	n/a	1,000.00	4.0
NORTHPOINT	030	RADS	S	6,383	10.20	n/a	n/a	255.32	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>RCL</b>	<b>B</b>	<b>10,000</b>	<b>22.69</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>RF</b>	<b>B</b>	<b>3000</b>	<b>5.98</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>10,000</b>	<b>78.43</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
EXIS CAPITAL	044	ROST	B	5,000	46.00	n/a	n/a	250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NORTHPOINT	030	ROVI	S	11,316	29.08	n/a	n/a	452.64	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>SHOO</b>	<b>SS</b>	<b>20,000</b>	<b>42.31</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
EXIS CAPITAL	044	SKS	B	5,000	6.40	n/a	n/a	250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>SKX</b>	<b>S</b>	<b>30,000</b>	<b>22.12</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
APEX CAPITAL MGMT.	091	SNE	SS	100,000	29.37	n/a	n/a	4,000.00	4.0
COUGAR TRADING	044	SPR	B	25,000	17.63	n/a	n/a	1,250.00	5.0
COUGAR TRADING	044	SPR	S	25,000	17.32	n/a	n/a	1,250.00	5.0
THIRD COAST CAPITAL	035	SPR	B	15,000	17.64	n/a	n/a	750.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>SPY</b>	<b>SS</b>	<b>42,000</b>	<b>108.49</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
HARBORWATCH/DIAMBACK	232	STLD	SS	25,000	15.56	n/a	n/a	1,250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>STT</b>	<b>B</b>	<b>10,000</b>	<b>45.96</b>	<b>n/a</b>	<b>20-Oct</b>	<b>non-brg</b>	<b>0.8</b>
<b>f MICHAEL THOMAS NOLAN</b>	<b>FID</b>	<b>SUP</b>	<b>B</b>	<b>300</b>	<b>14.58</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TRELLUS PARTNERS LP	028	SUP	B	26,800	14.43	n/a	n/a	1,340.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SVU</b>	<b>SS</b>	<b>50,000</b>	<b>16.96</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
CR INTRINIC INVESTMENT	044	SYK	SS	50,000	48.97	n/a	n/a	2,000.00	4.0
CR INTRINIC INVESTMENT	044	TEVA	S	600	51.70	n/a	19-Oct	24.00	4.0
CR INTRINIC INVESTMENT	044	TFX	SS	20,000	51.02	n/a	n/a	800.00	4.0



Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ACK ASSET	028	TIN	B	25,000	17.51	n/a	12-Oct	750.00	3.0
BACKBAY	041	TIN	B	50,000	17.48	n/a	12-Oct	2,500.00	5.0
DSG CAPITAL	225	TIN	B	30,000	17.37	n/a	12-Oct	1,500.00	5.0
NEWCASTLE FUNDS	255	TIN	S	80,500	17.35	n/a	12-Oct	3,220.00	4.0
OZ MGMT	040	TIN	B	50,000	17.34	n/a	12-Oct	1,500.00	3.0
SCHOTTENFELD ASSOC	041	TIN	B	25,000	17.44	n/a	12-Oct	750.00	3.0
SCOPUS FUND	041	TIN	B	35,000	17.56	n/a	12-Oct	1,750.00	5.0
TRELLUS PARTNERS LP	028	TIN	B	80,000	17.41	n/a	12-Oct	4,000.00	5.0
NORTHPOINT	030	TITN	S	14,792	13.01	n/a	n/a	591.68	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>TJX</b>	<b>B</b>	<b>9,900</b>	<b>39.78</b>	<b>n/a</b>	<b>21-Oct</b>	<b>non-brg</b>	<b>0.8</b>
<b>B</b> BUCK CAPITAL MGMT		<b>TJX</b>	<b>S</b>	<b>20,000</b>	<b>39.33</b>	<b>n/a</b>	<b>21-Oct</b>	<b>non-brg</b>	<b>4.0</b>
EPOCH INV MGMT	030	TJX	B	300,000	39.71	n/a	21-Oct	9,000.00	3.0
EXIS CAPITAL	044	TJX	S	5,000	39.80	n/a	21-Oct	250.00	5.0
<b>f</b> CHRISTOPHER ROBERT C	<b>FID</b>	<b>TMNVX</b>	<b>S</b>	<b>425</b>	<b>9.42</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> CHRISTOPHER ROBERT C	<b>FID</b>	<b>TMNVX</b>	<b>S</b>	<b>484</b>	<b>9.42</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BASIX	033	TRW	B	13,400	18.28	n/a	n/a	402.00	3.0
NEWLAND CAPITAL MGT	067	TRW	S	15,000	18.38	n/a	n/a	600.00	4.0
IRIDIAN ASSET MGMT.	036	T	S	21,910	26.10	n/a	n/a	1,095.50	5.0
CAXTON PART	040	UNP	S	68,655	64.72	n/a	n/a	2,402.96	3.5
<b>B</b> BUCK CAPITAL MGMT		<b>URBN</b>	<b>B</b>	<b>10,000</b>	<b>33.70</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>17,100</b>	<b>33.67</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
RWC PARTNERS LTD	067	URBN	S	174,900	32.66	n/a	n/a	5,247.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EXIS CAPITAL	044	VMW	B	10,000	44.93	n/a	n/a	500.00	5.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>VRSK</b>	<b>B</b>	<b>1000</b>	<b>28.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NEWLAND CAPITAL MGT	067	WGOV	S	15,000	26.46	n/a	n/a	600.00	4.0
JP MORGAN VENTURES	046	WMT	S	20,000	50.85	n/a	21-Oct	1,000.00	5.0
SANDLER CAPITAL	038	WMT	B	60,000	51.53	n/a	21-Oct	3,600.00	6.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WRC</b>	<b>S</b>	<b>20,000</b>	<b>44.48</b>	<b>n/a</b>	<b>2-Oct</b>	<b>800.00</b>	<b>4.0</b>
EXIS CAPITAL	044	WRC	SS	2,500	44.75	n/a	2-Oct	125.00	5.0
NORTHPOINT	030	WWW	S	4,472	7.56	n/a	n/a	134.16	3.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>WYNN</b>	<b>B</b>	<b>75</b>	<b>63.93</b>	<b>n/a</b>	<b>8-Oct</b>	<b>0.00</b>	<b>0.0</b>
LEVEL GLOBAL SHARED ACCT	257	XRT	SS	100,000	35.57	n/a	n/a	3,000.00	3.0
KLEINHEINZ CAP PART	031	YHOO	B	250,000	17.94	n/a	n/a	12,500.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>211,809.06</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/20	MILLRACE FUND LP	028	CPKI	B	5,000	14.21	n/a	8-Oct	150.00 3.0
AO,CRT	10/20	MILLRACE FUND LP	028	CPKI	B	5,000	14.21	n/a	8-Oct	200.00 4.0
AO,CRT	10/20	SCOPUS FUND	041	IP	B	66,600	24.38	n/a	12-Oct	3330.00 5.0
AO,CXL	10/20	SCOPUS FUND	041	IP	B	66,600	24.38	n/a	12-Oct	3330.00 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>50.00</b>

TOTAL (Trade Date) :	211,809.06
TOTAL (AO, CXL, CRT) :	50.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>211,859.06</b>
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MRI Securities with Trade Activity on 21-Oct.  
**COG**

MRI Securities without Trade Activity on 21-Oct.  
**NTRS, JNS, ITW, BLK, APD**

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 27%  
YTD = 21%



<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)