



Daily Compliance Activity Report

Trade Date: 10/22/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ADAGE CAPITAL MGMT	030	AAP	B	200,000	28.66	n/a	n/a	8,000.00	4.0
B BUCK CAPITAL MGMT		AAP	SS	80,000	28.41	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	AEO	S	1,191,300	10.33	n/a	10-Oct	47,652.00	4.0
COUGAR TRADING	044	AEO	B	5,000	10.60	n/a	10-Oct	250.00	5.0
B BUCK CAPITAL MGMT		AG	S	44,900	24.54	n/a	30-Jul	non-brg	4.0
AAD CAPITAL	048	ALV	B	50,000	22.47	22-Oct	22-Oct	1,500.00	3.0
CATTANI	041	AMG	S	50	44.01	23-Oct	22-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	ANF	S	494,900	27.32	7-Aug	10-Oct	19,796.00	4.0
SCOPUS FUND	041	ANF	SS	15,000	27.01	7-Aug	10-Oct	750.00	5.0
COUGAR TRADING	044	ARG	S	10,000	33.95	13-Oct	13-Oct	500.00	5.0
BUCK CAPITAL MGMT	001	ARO	S	236,500	23.74	n/a	10-Oct	9,460.00	4.0
MILLRACE FUND LP	028	AVAV	B	4,000	27.94	n/a	n/a	160.00	4.0
B BUCK CAPITAL MGMT		AXP	SS	80,000	25.28	n/a	21-Oct	non-brg	4.0
SANDLER O'NEILL ASSET	031	BAC	B	50,000	21.87	15-Oct	21-Oct	2,500.00	5.0
B BUCK CAPITAL MGMT		BBBY	SS	50,000	24.16	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BBY	SS	50,000	22.57	n/a	27-Jul	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	BEN	B	60,000	63.58	9-Oct	21-Oct	2,400.00	4.0
GRUBER MACBAINE	033	BJ	B	10,000	32.73	n/a	27-Jul	400.00	4.0
⌘ BUCK CAPITAL MGMT		BKC	S	166,600	19.60	13-Oct	13-Oct	non-brg	4.0
⌘ BUCK CAPITAL MGMT		BKC	S	54,100	19.08	13-Oct	13-Oct	non-brg	2.5
⌘ BUCK CAPITAL MGMT		BKC	S	9,600	19.81	13-Oct	13-Oct	non-brg	2.0
⌘ BUCK CAPITAL MGMT		BLK	B	1,000	118.90	n/a	22-Oct	non-brg	1.0
IRIDIAN ASSET MGMT.	036	BLL	B	4,660	31.36	n/a	n/a	233.00	5.0
TRELLUS PARTNERS LP	028	BWA	C	20,000	21.85	10-Jun	20-Oct	1,000.00	5.0
⌘ BUCK CAPITAL MGMT		CBRL	SS	30,000	17.98	n/a	n/a	non-brg	4.0
IRONBOUND CAPITAL	012	CHD	SS	50,000	57.80	4-Sep	11-Sep	2,500.00	5.0
BUCK CAPITAL MGMT	001	CHS	S	194,500	2.95	8-Aug	10-Oct	7,780.00	4.0
⌘ BUCK CAPITAL MGMT		CHS	S	200,000	2.88	8-Aug	10-Oct	non-brg	3.0
⌘ BUCK CAPITAL MGMT		CLX+WJ	SS	1,000	0.67	n/a	n/a	non-brg	100.0
⌘ BUCK CAPITAL MGMT		CLX	SS	50,000	56.71	15-Oct	15-Oct	non-brg	4.0
⌘ BUCK CAPITAL MGMT		COH+KD	SS	1,500	1.45	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		COH	B	50,000	18.73	8-Oct	22-Oct	non-brg	4.0
⌘ BUCK CAPITAL MGMT		CRI	S	15,000	18.68	n/a	n/a	non-brg	1.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		CRI	S	55,000	19.11	n/a	n/a	non-brg	2.5
LBACMELISA	005	CSCO	S	1,000	17.52	n/a	22-Mar	0.00	0.0
LBACCICIND	005	CSCO	S	1,000	17.56	n/a	22-Mar	0.00	0.0
AVESTA CAP	229	CVS	B	20,000	28.59	n/a	n/a	1,000.00	5.0
SATELITE/BOBBY	044	DAL	B	60,000	9.81	n/a	n/a	2,400.00	4.0
MCCARTAN	028	DAVWI	S	20	7.25	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		DECK	B	5,000	83.60	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DE	S	56,600	34.08	14-Aug	14-Aug	non-brg	4.0
BRUNNER	012	DIG	B	500	28.20	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	DIN	SS	25,000	7.75	n/a	n/a	1,000.00	4.0
BUCK CAPITAL MGMT	001	DIS	SS	20,000	23.82	n/a	n/a	800.00	4.0
ADAGE CAPITAL MGMT	030	DKS	S	100,000	15.30	7-Oct	7-Oct	4,000.00	4.0
ß BUCK CAPITAL MGMT		DLTR	B	20,000	34.36	n/a	15-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		DLTR	B	20,000	34.62	n/a	15-Oct	non-brg	4.0
N STRATTON	014	DMRC	B	150	9.15	n/a	n/a	0.00	0.0
BENNETT LAWRENCE	045	DNR	B	98,200	11.11	n/a	n/a	4,419.00	4.5
NEUBERGER BERMAN	036	DRH	S	68,600	4.04	n/a	n/a	1,372.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	DSW	S	75,400	11.69	7-Oct	7-Oct	3,016.00	4.0
⌘ BUCK CAPITAL MGMT		DSW	S	50,000	11.43	7-Oct	7-Oct	non-brg	4.0
BRUNNER	012	DUG	S	1,000	49.34	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		DV+WH	SS	1,770	1.26	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	DV	SS	20,000	45.40	n/a	n/a	800.00	4.0
SCOPUS FUND	041	EL	B	15,000	34.34	15-Aug	4-Sep	750.00	5.0
⌘ BUCK CAPITAL MGMT		ETN	S	42,900	38.74	21-Oct	21-Oct	non-brg	4.0
BUCK CAPITAL MGMT	001	FDO	B	70,000	24.89	23-Jul	9-Oct	2,800.00	4.0
NUMERIC	060	FL	B	52,400	12.29	7-Oct	7-Oct	1,572.00	3.0
⌘ BUCK CAPITAL MGMT		FOR	S	11,000	9.66	n/a	3-Oct	non-brg	4.0
MAGNETAR FINANCIAL	031	F	B	400,000	2.11	8-Oct	20-Oct	12,000.00	3.0
BUCK CAPITAL MGMT	001	GCO	B	20,000	24.81	n/a	10-Jan	800.00	4.0
⌘ BUCK CAPITAL MGMT		GES	B	30,000	20.69	n/a	n/a	non-brg	1.0
CLOVIS CAPITAL	012	GES	SS	28,895	21.37	n/a	n/a	1,444.75	5.0
⌘ BUCK CAPITAL MGMT		GIGM	S	152,300	6.16	n/a	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		GIII	B	5,000	15.93	n/a	n/a	non-brg	1.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		GIL+KX	SS	2,000	1.35	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		GLW	S	117,800	11.01	n/a	23-Sep	non-brg	4.0
LBACCICIND	005	GLW	S	1,000	11.02	n/a	23-Sep	0.00	0.0
BUCK CAPITAL MGMT		GM+CI	SS	6,000	2.15	n/a	n/a	non-brg	200.0
BUCK CAPITAL MGMT		GM+XA	B	6,000	1.18	n/a	n/a	non-brg	200.0
BUCK CAPITAL MGMT		GMCR	SS	50,000	25.29	n/a	n/a	non-brg	4.0
BALYASNY ASSET MGMT	044	GNTX	SS	100,000	9.47	22-Oct	22-Oct	5,000.00	5.0
BUCK CAPITAL MGMT		GNTX	SS	25,000	9.43	22-Oct	22-Oct	non-brg	4.0
BUCK CAPITAL MGMT		GNTX	SS	25,000	9.58	22-Oct	22-Oct	non-brg	1.0
COUGAR TRADING	044	GPS	S	10,000	12.40	n/a	17-Oct	500.00	5.0
BUCK CAPITAL MGMT		GYMB	S	190,580	24.37	11-Jul	10-Oct	non-brg	4.0
BUCK CAPITAL MGMT		HIBB	SS	20,000	14.13	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		HOT	SS	20,000	19.66	n/a	n/a	non-brg	4.0
CAXTON PART	040	HPQ	S	72,957	36.93	n/a	n/a	2,553.50	3.5
VALHALLA CAPITAL LP	041	HPQ	B	5,000	36.00	n/a	n/a	150.00	3.0
BUCK CAPITAL MGMT		HRS	S	44,700	33.38	3-Oct	3-Oct	non-brg	4.0
BUCK CAPITAL MGMT		HSII	SS	3,100	21.65	n/a	n/a	non-brg	1.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		ICON	B	30,000	8.69	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		IFF+XF	SS	1,000	1.25	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	IFF	SS	30,000	33.83	3-Oct	3-Oct	1,200.00	4.0
BALYASNY ASSET MGMT	044	IVZ	SS	45,000	13.30	6-Oct	21-Oct	2,250.00	5.0
COUGAR TRADING	044	JCG	B	5,000	17.98	n/a	17-Sep	250.00	5.0
IRIDIAN ASSET MGMT.	036	KEX	SS	10,410	32.54	n/a	n/a	520.50	5.0
ADAGE CAPITAL MGMT	030	KMX	S	300,000	9.57	n/a	10-Jan	12,000.00	4.0
IRONBOUND CAPITAL	012	KR	SS	240,000	26.81	n/a	n/a	12,000.00	5.0
BUCK CAPITAL MGMT		KSS	S	31,300	30.56	n/a	10-Oct	non-brg	4.0
COUGAR TRADING	044	KSS	SS	5,000	31.28	n/a	10-Oct	250.00	5.0
NEUBERGER BERMAN	036	KSS	B	5,600	30.97	n/a	10-Oct	252.00	4.5
MCCARTAN	028	KSS	S	200	30.84	n/a	10-Oct	0.00	0.0
BUCK CAPITAL MGMT		LEG	SS	30,000	16.20	n/a	n/a	non-brg	4.0
UNITED STATES PENSION	032	LINTA	B	50,000	6.54	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	LIZ	S	365,700	8.65	n/a	8-Oct	14,628.00	4.0
BUCK CAPITAL MGMT		LIZ	S	25,000	8.70	n/a	8-Oct	non-brg	2.0
BUCK CAPITAL MGMT	001	LL	S	62,000	9.87	n/a	n/a	2,480.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HUNTER GLOBAL INVESTOR	067	LMT	S	20,100	81.17	n/a	n/a	1,005.00	5.0
⚡ BUCK CAPITAL MGMT		LOW	SS	70,000	18.43	n/a	27-Jul	non-brg	4.0
BUCK CAPITAL MGMT	001	LTD	SS	20,000	11.82	9-Oct	10-Oct	800.00	4.0
COUGAR TRADING	044	LTD	B	5,000	12.04	9-Oct	10-Oct	250.00	5.0
SATELITE/BOBBY	044	LTD	S	30,000	11.64	9-Oct	10-Oct	1,200.00	4.0
SATELITE/BOBBY	044	MAR	SS	10,000	17.97	n/a	n/a	400.00	4.0
⚡ BUCK CAPITAL MGMT		MC FP	SS	32,000	68.18	n/a	n/a	non-brg	13.6
CLOVIS CAPITAL	012	MCD	B	150,000	55.04	13-Oct	22-Oct	7,500.00	5.0
HUNTER GLOBAL INVESTOR	067	MCD	B	75,000	54.72	13-Oct	22-Oct	3,750.00	5.0
CLOVIS CAPITAL	012	MON	SS	200,000	78.71	n/a	9-Oct	10,000.00	5.0
N STRATTON	014	MOVE	B	500	1.75	n/a	n/a	0.00	0.0
DEMARTINI	065	MO	S	1,000	19.64	n/a	n/a	0.00	0.0
UBS OCONNOR	031	MS	B	25,000	19.68	15-Sep	21-Oct	750.00	3.0
⚡ BUCK CAPITAL MGMT		NEXC	S	285,100	0.12	n/a	n/a	non-brg	1.5
⚡ BUCK CAPITAL MGMT		NKE+WJ	SS	1,000	1.95	n/a	n/a	non-brg	300.0
⚡ BUCK CAPITAL MGMT		NKE	SS	230,000	52.95	n/a	n/a	non-brg	4.0
WHEELER	008	NLC	B	5,000	13.00	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		OIH	C	70,300	86.10	n/a	n/a	non-brg	1.0
VALHALLA CAPITAL LP	041	ORCL	B	5,000	17.18	n/a	n/a	150.00	3.0
⚡ BUCK CAPITAL MGMT		PEI	S	109	11.76	n/a	n/a	non-brg	4.0
BMO NESBITT BURNS	041	PEP	B	25,000	54.01	n/a	n/a	1,250.00	5.0
⚡ BUCK CAPITAL MGMT		PERY	B	3,443	8.51	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		PETM	SS	70,000	19.64	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		PFCB	SS	50,000	18.04	n/a	22-Oct	non-brg	4.0
COUGAR TRADING	044	PFCB	SS	10,000	18.47	n/a	22-Oct	500.00	5.0
ELM RIDGE ADVISORS	044	PKG	B	215,710	17.46	11-Sep	21-Oct	8,628.40	4.0
IRIDIAN ASSET MGMT.	036	PKG	B	4,640	17.57	11-Sep	21-Oct	232.00	5.0
⚡ BUCK CAPITAL MGMT		PLCE	B	40,000	29.13	21-Aug	10-Oct	non-brg	4.0
CAXTON PART	040	PM	B	280,784	41.63	n/a	n/a	9,827.48	3.5
N STRATTON	014	PNWIF	B	300	1.50	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	PSS	S	350,400	11.85	n/a	n/a	14,016.00	4.0
⚡ BUCK CAPITAL MGMT		PVH+KE	SS	2,000	1.84	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	PVH	S	118,300	24.36	8-Oct	8-Oct	4,732.00	4.0

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FRONTPOINT/COPIA-ANDREW	031	PXP	S	190,348	22.08	n/a	n/a	6,662.19	3.5
⌘ BUCK CAPITAL MGMT		QPT+WW	SS	1,500	0.87	n/a	n/a	non-brg	100.0
⌘ BUCK CAPITAL MGMT		QTF+WF	SS	1,000	1.43	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		QUK+KR	SS	100	9.20	n/a	n/a	non-brg	300.0
IRIDIAN ASSET MGMT.	036	RDC	S	15,090	15.85	n/a	n/a	754.50	5.0
⌘ BUCK CAPITAL MGMT		RECN	SS	35,000	15.26	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		RICK	S	59,129	6.87	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		RL+XH	SS	1,000	2.52	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	RL	SS	120,000	45.16	n/a	8-Oct	4,800.00	4.0
IRIDIAN ASSET MGMT.	036	RRR	SS	49,980	8.07	18-Sep	18-Sep	2,499.00	5.0
WHEELER	008	RUSHA	B	3,000	7.25	n/a	n/a	0.00	0.0
N STRATTON	014	SFL	B	700	14.25	n/a	n/a	0.00	0.0
MS PRINCIPAL STRATEGIES	041	SJT	B	24,475	36.06	n/a	n/a	1,223.75	5.0
THE BOSTON COMPANY	401	SKX	B	24,980	11.92	n/a	13-Mar	999.20	4.0
LBACCICIND	005	SNCR	S	1,000	7.73	n/a	n/a	0.00	0.0

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⚡ BUCK CAPITAL MGMT		SPTN	SS	50,000	26.09	n/a	n/a	non-brg	2.5
SENATOR INVESTMENT GROUP	036	SPY	B	30,000	90.06	n/a	n/a	1,500.00	5.0
BRUNNER	012	SSO	B	1,500	29.84	n/a	n/a	0.00	0.0
KERN	050	SWNWE	S	40	2.70	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		SYI	SS	50,000	23.87	n/a	24-Apr	non-brg	4.0
HUNTER GLOBAL INVESTOR	067	TGT	B	25,000	32.82	n/a	22-Oct	1,250.00	5.0
NOMURA CAPITAL	045	TLB	B	8,300	7.86	7-Aug	30-Sep	332.00	4.0
⚡ BUCK CAPITAL MGMT		TQQ+WF	SS	750	2.50	n/a	n/a	non-brg	300.0
BALYASNY ASSET MGMT	044	TROW	SS	15,000	34.63	19-Sep	21-Oct	750.00	5.0
PHILADELPHIA FINANCIAL	033	TROW	B	38,345	33.68	19-Sep	21-Oct	1,533.80	4.0
⚡ BUCK CAPITAL MGMT		TWB	B	4,000	7.43	n/a	1-Oct	non-brg	1.0
⚡ BUCK CAPITAL MGMT		UNFI	SS	23,231	20.25	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		URBN	B	10,000	21.83	14-Aug	1-Oct	non-brg	1.0
COUGAR TRADING	044	URBN	B	10,000	22.44	14-Aug	1-Oct	500.00	5.0
BUCK CAPITAL MGMT	001	URI	SS	25,000	8.40	8-Sep	8-Sep	1,000.00	4.0
⚡ BUCK CAPITAL MGMT		URQ+KE	SS	1,000	0.85	n/a	n/a	non-brg	100.0

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NOMURA CAPITAL	045	USO	B	2,500	55.04	n/a	n/a	125.00	5.0
LBACCICIND	005	UTVG	S	10,000	0.67	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		VC	S	100,000	0.94	17-Oct	20-Oct	non-brg	1.0
⌘ BUCK CAPITAL MGMT		VC	S	650,000	0.94	17-Oct	20-Oct	non-brg	1.0
COUGAR TRADING	044	VFC	SS	5,000	52.70	n/a	n/a	250.00	5.0
NWQ INVESTMENT MGMT CO	048	VIAB	B	16,400	18.84	n/a	n/a	656.00	4.0
HUNTER GLOBAL INVESTOR	067	WFC	B	33,200	30.23	n/a	n/a	1,660.00	5.0
⌘ BUCK CAPITAL MGMT		WFMI	SS	50,000	12.12	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		WMT+KX	SS	1,000	3.30	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		WMT+KX	SS	500	2.95	n/a	n/a	non-brg	300.0
COBALT	041	WMT	SS	100,000	52.77	10-Oct	10-Oct	5,000.00	5.0
BUCK CAPITAL MGMT	001	WRC	B	20,000	26.05	8-Oct	8-Oct	800.00	4.0
SENATOR INVESTMENT GROUP	036	WSH	S	20,000	26.86	n/a	n/a	1,000.00	5.0
⌘ BUCK CAPITAL MGMT		XRT+WT	SS	2,000	1.10	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		XRT	SS	1,600,000	21.20	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		XRT	SS	200,000	21.85	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		XRY+WR	SS	3,000	0.60	n/a	n/a	non-brg	100.0

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⚡ BUCK CAPITAL MGMT		XRY+XQ	SS	4,000	0.85	n/a	n/a	non-brg 100.0	
KLEINHEINZ CAP PART	031	X	SS	100,000	38.11	n/a	n/a	5,000.00	5.0
VENTANA CAPITAL	060	X	B	7,500	38.13	n/a	n/a	225.00	3.0
⚡ BUCK CAPITAL MGMT		YUM	SS	100,000	26.55	14-Aug	20-Oct	non-brg 4.0	
CASEY CAPITAL	067	ZLC	B	5,000	15.36	n/a	n/a	250.00	5.0
TOTAL (Trade Date):							302,850.07		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/21	MERRILL LYNCH STRATEGICI	034	AEO	B	10,000	11.13	n/a	10-Oct	300.00 3.0
AO,CXL	10/21	MERRILL LYNCH STRATEGICI	034	AEO	B	10,000	11.13	n/a	10-Oct	500.00 5.0
AO,	10/21	LISTED ERR	099	BBH	B	16,300	170.77	n/a	n/a	0.00 0.0
AO,	10/21	LISTED ERR	099	BBH	S	5,800	170.94	n/a	n/a	0.00 0.0
AO,	10/21	LISTED ERR	041	BBH	S	10,500	170.69	n/a	n/a	0.00 0.0
AO,CXL	10/21	CENTURION GLOBAL MGMT LL	041	BBH	S	10,500	170.69	n/a	n/a	525.00 5.0
AO,CRT	10/21	HOLDEN CAPITAL MGMT	035	CTB	SS	20,000	7.05	n/a	n/a	1000.00 5.0
AO,CXL	10/21	HOLDEN CAPITAL MGMT	035	CTB	SS	20,000	7.05	n/a	n/a	1000.00 5.0
AO,CRT	10/21	HOLDEN CAPITAL MGMT	035	GNTX	S	20,000	10.10	22-Oct	22-Oct	1000.00 5.0
AO,CXL	10/21	HOLDEN CAPITAL MGMT	035	GNTX	S	20,000	10.10	22-Oct	22-Oct	1000.00 5.0
AO,CRT	10/21	HOLDEN CAPITAL MGMT	035	PNRA	SS	5,000	40.36	4-Sep	21-Oct	250.00 5.0
AO,CXL	10/21	HOLDEN CAPITAL MGMT	035	PNRA	SS	5,000	40.36	4-Sep	21-Oct	250.00 5.0
AO,CRT	10/16	JMP ASSET MGMT	210	ZQK	S	17,000	2.99	8-Oct	8-Oct	510.00 3.0
AO,CXL	10/16	JMP ASSET MGMT	210	ZQK	S	17,000	2.99	8-Oct	8-Oct	340.00 2.0

TOTAL (AO, CXL, CRT) :**-555.00**

TOTAL (Trade Date) :

302,850.07

TOTAL (AO, CXL, CRT) :

-555.00

TOTAL (RUN DATE) / NFS:

302,295.07

MRI Securities with Trade Activity on 22-Oct.

ALV, GNTX

MRI Securities without Trade Activity on 22-Oct.

AXE, SIAL

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

T-Date = 38%

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