



# Daily Compliance Activity Report

Trade Date: 10/26/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DISCIPLINED GROWTH INV.	030	AAPL	S	100	204.62	n/a	n/a	5.00	5.0
DISCIPLINED GROWTH INV.	030	ADBE	S	1,500	34.73	n/a	n/a	75.00	5.0
DISCIPLINED GROWTH INV.	030	ADSK	S	400	26.31	n/a	n/a	20.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AEO</b>	<b>S</b>	<b>20,000</b>	<b>19.28</b>	<b>n/a</b>	<b>9-Oct</b>	<b>800.00</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>AEO</b>	<b>B</b>	<b>10,600</b>	<b>18.86</b>	<b>n/a</b>	<b>9-Oct</b>	<b>non-brg</b>	<b>0.8</b>
DISCIPLINED GROWTH INV.	030	AKAM	S	800	21.76	n/a	n/a	40.00	5.0
DISCIPLINED GROWTH INV.	030	AMD	S	1,200	5.53	n/a	n/a	60.00	5.0
APEX CAPITAL MGMT.	091	AMX	C	95,000	46.33	n/a	n/a	3,800.00	4.0
HUNTER GLOBAL INVESTOR	067	AMZN	B	15,000	122.48	n/a	n/a	600.00	4.0
NEWLAND CAPITAL MGT	067	ANDE	B	5,000	34.41	n/a	n/a	200.00	4.0
BNP PARIBAS SEC	040	AN	B	15,000	20.10	n/a	19-Oct	600.00	4.0
TRELLUS PARTNERS LP	028	AN	B	30,000	20.70	n/a	19-Oct	1,500.00	5.0
WAGONHOUND/NIC	048	AN	B	25,575	20.61	n/a	19-Oct	1,023.00	4.0
COLUMBIA PARTNERS	028	APD	S	16,430	80.50	n/a	21-Oct	657.20	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>APP</b>	<b>S</b>	<b>20,000</b>	<b>2.91</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>ARGN</b>	<b>S</b>	<b>1200</b>	<b>8.27</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.	
DISCIPLINED GROWTH INV.	030	ARMH	S	4,800	7.40	n/a	n/a	240.00	5.0
BUCK CAPITAL MGMT	001	ARO	B	10,000	42.69	n/a	9-Oct	400.00	4.0
BUCK CAPITAL MGMT		AXL	B	41,536	6.87	n/a	19-Oct	non-brg	0.8
COOPER CREEK PART	028	AXL	B	25,000	6.95	n/a	19-Oct	750.00	3.0
BUCK CAPITAL MGMT		BAC	B	1,500	15.40	n/a	26-Oct	non-brg	4.0
JOSEPH CIRO AMATURO	FID	BAC	B	1000	15.82	n/a	26-Oct	0.00	0.0
JOSEPH CIRO AMATURO	FID	BAC	B	5000	15.80	n/a	26-Oct	0.00	0.0
MANNY I KORMAN	FID	BAC	S	5000	15.75	n/a	26-Oct	0.00	0.0
TROUBH PART	067	BAC	B	50,000	15.33	n/a	26-Oct	2,500.00	5.0
DISCIPLINED GROWTH INV.	030	BJS	S	500	20.35	n/a	n/a	25.00	5.0
RBC CAPITAL MARKETS	040	BKC	B	50,000	17.97	26-Oct	26-Oct	2,000.00	4.0
VISIUM/BALY HOWARD	038	BKC	B	40,000	17.89	26-Oct	26-Oct	2,000.00	5.0
BUCK CAPITAL MGMT		BK	B	2,300	28.51	n/a	21-Oct	non-brg	0.8
TRELLUS PARTNERS LP	028	BWA	S	20,000	34.12	n/a	n/a	1,000.00	5.0
DISCIPLINED GROWTH INV.	030	CAB	S	1,100	14.38	n/a	n/a	55.00	5.0
ROYCE TRADING	216	CAB	S	5,000	14.72	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT		CAKE	SS	20,000	19.44	n/a	23-Oct	non-brg	4.0
DISCIPLINED GROWTH INV.	030	CAKE	S	700	19.34	n/a	23-Oct	35.00	5.0
BUCK CAPITAL MGMT		CHA	SS	10,000	46.53	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ARCHON CAPITAL	035	CLNE	SS	5,000	13.11	n/a	n/a	150.00	3.0
M&I FUNDS	047	COF	B	7,619	39.50	n/a	23-Oct	304.76	4.0
<b>f ANDREW SINCLAIR</b>	<b>FID</b>	<b>COGLH</b>	<b>B</b>	<b>20</b>	<b>1.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROSEDALE CAPITAL	046	COG	B	10,000	39.02	n/a	21-Oct	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>COH</b>	<b>S</b>	<b>30,000</b>	<b>34.95</b>	<b>n/a</b>	<b>21-Oct</b>	<b>non-brg</b>	<b>4.0</b>
PECONIC PARTNERS	036	COST	C	49,900	57.98	n/a	n/a	2,495.00	5.0
LEVEL GLOBAL SHARED ACCT	257	CRI	S	100,000	28.85	n/a	n/a	3,000.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>CTRN</b>	<b>S</b>	<b>20,000</b>	<b>29.66</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DAL</b>	<b>B</b>	<b>30,000</b>	<b>7.81</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
PATTEN & PATTEN	067	DBC	B	825	24.17	n/a	n/a	41.25	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>DECK</b>	<b>S</b>	<b>20,000</b>	<b>98.26</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DECK</b>	<b>S</b>	<b>5,000</b>	<b>97.40</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
JETSTREAM GLOBAL FUND LP	065	DPTR	B	1,500,000	1.50	n/a	n/a	45,000.00	3.0
<b>B BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DSW</b>	<b>S</b>	<b>45,000</b>	<b>20.40</b>	<b>n/a</b>	<b>15-Oct</b>	<b>1,800.00</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DSW</b>	<b>S</b>	<b>5,000</b>	<b>20.57</b>	<b>n/a</b>	<b>15-Oct</b>	<b>non-brg</b>	<b>0.8</b>
PATTEN & PATTEN	067	DVY	B	850	41.76	n/a	n/a	42.50	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DISCIPLINED GROWTH INV.	030	DWA	S	800	32.31	n/a	n/a	40.00	5.0
DISCIPLINED GROWTH INV.	030	ETFC	S	1,800	1.65	n/a	n/a	54.00	3.0
DISCIPLINED GROWTH INV.	030	ETH	S	1,000	14.61	n/a	n/a	50.00	5.0
DISCIPLINED GROWTH INV.	030	ETN	S	600	62.62	n/a	20-Oct	30.00	5.0
PATTEN & PATTEN	067	EWC	B	600	25.11	n/a	n/a	30.00	5.0
PATTEN & PATTEN	067	EWZ	S	150	73.10	n/a	n/a	7.50	5.0
DISCIPLINED GROWTH INV.	030	EW	S	600	76.32	n/a	n/a	30.00	5.0
DISCIPLINED GROWTH INV.	030	EXBD	S	300	25.61	n/a	n/a	15.00	5.0
DISCIPLINED GROWTH INV.	030	FDS	S	500	65.72	n/a	n/a	25.00	5.0
LAGRANGE CAP ADV	048	F	B	10,000	7.50	n/a	19-Oct	500.00	5.0
DISCIPLINED GROWTH INV.	030	GENZ	S	300	52.07	n/a	n/a	15.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>S</b>	<b>20,000</b>	<b>41.10</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GLW</b>	<b>B</b>	<b>4,000</b>	<b>15.51</b>	<b>n/a</b>	<b>26-Oct</b>	<b>non-brg</b>	<b>4.0</b>
BARCLEYS CAP (OLD LEHM)	041	GME	S	100,000	24.13	n/a	n/a	4,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GME</b>	<b>B</b>	<b>20,000</b>	<b>24.10</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
DISCIPLINED GROWTH INV.	030	GNTX	S	800	17.15	n/a	22-Oct	40.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DISCIPLINED GROWTH INV.	030	GRMN	S	700	38.51	n/a	n/a	35.00	5.0
⌘ BUCK CAPITAL MGMT		GSIC	S	10,000	20.82	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GSIC	S	20,000	20.90	n/a	n/a	non-brg	1.0
DISCIPLINED GROWTH INV.	030	HLX	S	300	15.85	n/a	n/a	15.00	5.0
DISCIPLINED GROWTH INV.	030	HSTX	S	1,700	6.91	n/a	n/a	85.00	5.0
PATTEN & PATTEN	067	IGM	S	850	50.47	n/a	n/a	42.50	5.0
DISCIPLINED GROWTH INV.	030	IMN	S	500	9.50	n/a	n/a	25.00	5.0
DISCIPLINED GROWTH INV.	030	INCY	S	1,000	5.49	n/a	n/a	50.00	5.0
PATTEN & PATTEN	067	INTC	S	1,500	19.76	n/a	n/a	75.00	5.0
DISCIPLINED GROWTH INV.	030	INTU	S	1,500	30.09	n/a	n/a	75.00	5.0
BACKBAY	041	IP	B	25,000	23.84	n/a	22-Oct	1,250.00	5.0
DISCIPLINED GROWTH INV.	030	ISRG	S	100	259.61	n/a	n/a	5.00	5.0
⌘ BUCK CAPITAL MGMT		IVZ	B	8,200	21.68	n/a	26-Oct	non-brg	4.0
⌘ BUCK CAPITAL MGMT		IWM	SS	75,000	60.94	n/a	n/a	non-brg	0.8
DISCIPLINED GROWTH INV.	030	JBLU	S	1,000	5.41	n/a	n/a	50.00	5.0
BUCK CAPITAL MGMT	001	JCG	S	20,000	43.10	n/a	n/a	800.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	JNK	B	775	38.60	n/a	n/a	38.75	5.0
DISCIPLINED GROWTH INV.	030	JNS	S	1,300	14.88	n/a	26-Oct	65.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JWN</b>	<b>B</b>	<b>10,000</b>	<b>33.37</b>	<b>n/a</b>	<b>9-Oct</b>	<b>400.00</b>	<b>4.0</b>
METROPOLITAN CAPITAL	044	LMT	B	5,450	71.60	n/a	22-Oct	272.50	5.0
DISCIPLINED GROWTH INV.	030	LNC	S	700	25.11	n/a	n/a	35.00	5.0
DISCIPLINED GROWTH INV.	030	LSTR	S	500	36.33	n/a	n/a	25.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LTD</b>	<b>B</b>	<b>20,000</b>	<b>19.81</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>LTD</b>	<b>S</b>	<b>20,000</b>	<b>19.81</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>LTD</b>	<b>S</b>	<b>20,000</b>	<b>19.80</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
DISCIPLINED GROWTH INV.	030	LTD	S	1,100	19.64	n/a	n/a	55.00	5.0
DISCIPLINED GROWTH INV.	030	LVL	S	3,900	1.33	n/a	n/a	117.00	3.0
FIRST NEW YORK LEDDY	035	LVL	B	10,000	1.33	n/a	n/a	600.00	6.0
ROYCE TRADING	216	MEI	B	5,000	8.01	n/a	n/a	250.00	5.0
ST OF MICHIAN	047	MON	B	80,000	72.45	n/a	20-Oct	2,400.00	3.0
HUNTER GLOBAL INVESTOR	067	MSFT	B	291,300	28.69	n/a	n/a	11,652.00	4.0
JENNISON	032	MSFT	B	900,000	28.51	n/a	n/a	33,300.00	3.7
<b>B BUCK CAPITAL MGMT</b>		<b>MVRX</b>	<b>SS</b>	<b>25,000</b>	<b>170.92</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>17.1</b>
<b>f JOHN MICHAEL ZOLIDIS</b>	<b>FID</b>	<b>M</b>	<b>B</b>	<b>500</b>	<b>19.23</b>	<b>n/a</b>	<b>9-Oct</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>NTY</b>	<b>S</b>	<b>20,000</b>	<b>40.66</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
ROYCE TRADING	216	PAG	S	2,500	18.32	n/a	19-Oct	125.00	5.0
ROYCE TRADING	216	PBY	S	5,000	9.32	n/a	n/a	250.00	5.0
<b>f ALEX JOSEPH DEFILIPP</b>	<b>FID</b>	<b>PCAR</b>	<b>S</b>	<b>100</b>	<b>38.96</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JILL ROSENBERG</b>	<b>FID</b>	<b>PCAR</b>	<b>S</b>	<b>100</b>	<b>38.97</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f VICTORIA JEAN DEFILI</b>	<b>FID</b>	<b>PCAR</b>	<b>S</b>	<b>100</b>	<b>38.92</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	067	PFE	S	2,772	17.12	n/a	n/a	138.60	5.0
PATTEN & PATTEN	067	PFF	B	1,500	35.66	n/a	n/a	75.00	5.0
MACKLOWE ASSET MGMT	041	PG	S	40,000	57.51	n/a	n/a	1,600.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>PIR</b>	<b>B</b>	<b>20,000</b>	<b>4.07</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
IRIDIAN ASSET MGMT.	036	PKG	B	62,740	19.80	n/a	22-Oct	3,137.00	5.0
EXIS CAPITAL	044	PNC	B	20,000	52.58	n/a	n/a	1,000.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>PVH</b>	<b>S</b>	<b>20,000</b>	<b>44.34</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
LEVEL GLOBAL SHARED ACCT	257	PVH	S	50,000	43.70	n/a	n/a	1,500.00	3.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>RF</b>	<b>S</b>	<b>1000</b>	<b>5.18</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>RL</b>	<b>S</b>	<b>5,000</b>	<b>79.91</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
HUNTER GLOBAL INVESTOR	067	RL	B	50,000	79.69	n/a	n/a	2,500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>RSR</b>	<b>C</b>	<b>140,000</b>	<b>17.78</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
ROYCE TRADING	216	SGY	S	2,500	18.30	n/a	n/a	125.00	5.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>SHS</b>	<b>S</b>	<b>1600</b>	<b>8.14</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	067	SHV	S	1,000	110.20	n/a	n/a	50.00	5.0
ENTRUST CAPITAL	040	SHW	B	11,800	57.55	n/a	20-Oct	590.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>SKX</b>	<b>S</b>	<b>20,000</b>	<b>24.91</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
CASEY CAPITAL	067	SPG	B	5,000	70.00	n/a	n/a	250.00	5.0
PIONEER MICHAEL NOLAN	067	SWKS	S	25,000	11.18	n/a	n/a	750.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>TGT</b>	<b>S</b>	<b>30,000</b>	<b>49.68</b>	<b>n/a</b>	<b>21-Oct</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>THI</b>	<b>C</b>	<b>30,000</b>	<b>29.23</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TJX</b>	<b>S</b>	<b>50,000</b>	<b>40.21</b>	<b>n/a</b>	<b>21-Oct</b>	<b>2,000.00</b>	<b>4.0</b>
EXIS CAPITAL	044	TXT	B	20,000	18.73	n/a	n/a	1,000.00	5.0
NEWCASTLE FUNDS	255	TXT	C	35,200	18.39	n/a	n/a	1,408.00	4.0
COBALT	041	UFS	B	50,000	41.84	n/a	n/a	2,500.00	5.0
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>UNG</b>	<b>S</b>	<b>250</b>	<b>10.90</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROYCE TRADING	216	URI	S	5,000	10.66	n/a	n/a	250.00	5.0



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B BUCK CAPITAL MGMT		VFC	B	40,000	73.14	n/a	21-Oct	non-brg	0.8
B BUCK CAPITAL MGMT		WBC	B	1,400	23.60	n/a	n/a	non-brg	0.8
DSG CAPITAL	225	WDR	B	5,300	30.38	n/a	26-Oct	212.00	4.0
B BUCK CAPITAL MGMT		WRC	S	20,000	44.12	n/a	2-Oct	non-brg	4.0
EXIS CAPITAL	044	WRC	SS	20,000	43.33	n/a	2-Oct	1,000.00	5.0
ROTHSCHILD ASSET	040	WRC	B	15,700	43.25	n/a	2-Oct	706.56	4.5
PATTEN & PATTEN	067	XOM	S	500	73.31	n/a	n/a	25.00	5.0
AVESTA CAP	229	X	B	100,000	40.86	n/a	n/a	4,000.00	4.0
LAGRANGE CAP ADV	048	YHOO	B	10,000	16.79	n/a	n/a	500.00	5.0
<b>TOTAL (Trade Date) :</b>							<b>155,815.12</b>		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/23	COOPER CREEK PART	028	AXL	B	25,000	6.81	n/a	19-Oct	750.00 3.0
AO,CXL	10/23	COOPER CREEK PART	028	AXL	B	25,000	6.81	n/a	19-Oct	1000.00 4.0
AO,CRT	10/21	IRIDIAN ASSET MGMT.	036	EBAY	S	150	25.71	n/a	n/a	7.50 5.0
AO,CXL	10/21	IRIDIAN ASSET MGMT.	036	EBAY	S	150	25.71	n/a	n/a	0.00 0.0
AO,CRT	10/21	GREEN ARROW DOUG	040	GE	S	50,000	15.86	n/a	n/a	2500.00 5.0
AO,CXL	10/21	GREEN ARROW DOUG	040	GE	S	50,000	15.86	n/a	n/a	2000.00 4.0
AO,	10/22	GARDNER LEWIS ASSET MGMT	028	LZ	B	360	73.93	n/a	n/a	18.00 5.0
AO,CXL	10/22	GARDNER LEWIS ASSET MGMT	028	LZ	B	360	73.93	n/a	n/a	18.00 5.0
AO,CRT	10/22	ST OF MICHIAN	047	MON	B	30,000	74.54	n/a	20-Oct	900.00 3.0
AO,CXL	10/22	ST OF MICHIAN	047	MON	B	30,000	74.54	n/a	20-Oct	600.00 2.0
AO,CRT	10/23	GALT INVESTMENT	041	SCSS	S	85,000	6.54	n/a	n/a	2550.00 3.0
AO,CXL	10/23	GALT INVESTMENT	041	SCSS	S	85,000	6.54	n/a	n/a	4250.00 5.0
AO,	10/23	MANNING & NAPIER	034	SEIC	S	197,300	18.36	n/a	n/a	5919.00 3.0

**TOTAL (AO, CXL, CRT) :****4,776.50**

TOTAL (Trade Date) :

155,815.12

TOTAL (AO, CXL, CRT) :

4,776.50

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TOTAL (RUN DATE) / NFS:

160,591.62

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MRI Securities with Trade Activity on 26-Oct.

BKC

MRI Securities without Trade Activity on 26-Oct.

KMB

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

T-Date = 29%

YTD = 19%

<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)