



Daily Compliance Activity Report

Trade Date: 10/28/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
BUCK CAPITAL MGMT		AAPL	B	20,000	96.28	n/a	n/a	non-brg 4.0
PROSPECTOR PARTNERS LLC	036	ABX	B	20,000	18.50	n/a	n/a	800.00 4.0
ROYCE TRADING	216	AB	B	10,000	18.44	10-Sep	27-Oct	500.00 5.0
COUGAR TRADING	044	AEO	S	10,000	10.05	n/a	10-Oct	500.00 5.0
KORMAN	003	AMZN	SS	1,000	51.84	n/a	n/a	0.00 0.0
BUCK CAPITAL MGMT		ARO+LE	SS	2,000	2.25	n/a	n/a	non-brg 300.0
BUCK CAPITAL MGMT		ARO+XW	SS	2,000	1.12	n/a	n/a	non-brg 300.0
COUGAR TRADING	044	ARO	S	10,000	21.81	n/a	10-Oct	500.00 5.0
HUNTER GLOBAL INVESTOR	067	AVB	S	65,200	64.85	n/a	n/a	3,260.00 5.0
KORMAN	003	AVP	SS	2,000	24.30	10-Oct	10-Oct	0.00 0.0
BUCK CAPITAL MGMT	001	AZO	B	10,000	111.13	n/a	n/a	400.00 4.0
BUCK CAPITAL MGMT		BBBY	SS	300,000	22.70	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		BBY	SS	50,000	22.00	n/a	27-Jul	non-brg 4.0
WEINTRAUB CAPITAL MGT.	040	BEN	S	25,000	56.62	24-Oct	27-Oct	1,000.00 4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	BIG	B	30,000	21.93	n/a	9-Oct	1,200.00	4.0
ß BUCK CAPITAL MGMT		BJ	C	50,000	34.10	n/a	27-Jul	non-brg	4.0
ß BUCK CAPITAL MGMT		BLK	S	5,000	125.32	n/a	27-Oct	non-brg	1.0
KERN	050	BRWIX	S	1,084	20.37	n/a	n/a	0.00	0.0
HART	056	BWAWD	B	20	1.30	n/a	n/a	0.00	0.0
MILLRACE FUND LP	028	BWA	SS	9,000	21.15	10-Jun	20-Oct	360.00	4.0
LUCHANSKY1	036	BWA	C	1,000	21.11	10-Jun	20-Oct	0.00	0.0
HUNTER GLOBAL INVESTOR	067	BXP	S	49,800	70.38	n/a	n/a	2,490.00	5.0
BUCK CAPITAL MGMT	001	BYI	B	30,000	16.63	n/a	n/a	1,200.00	4.0
ß BUCK CAPITAL MGMT		CASY	SS	10,100	26.21	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		CASY	SS	60,000	26.38	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		CBL	S	6,400	7.03	n/a	n/a	non-brg	4.0
BECK MACK & OLIVER LLC	045	CBT	S	3,950	21.52	n/a	24-Sep	197.50	5.0
APEX CAPITAL MGMT.	091	CEL	C	30,000	27.67	n/a	n/a	1,200.00	4.0
KORMAN	003	CLX	SS	1,000	53.38	15-Oct	15-Oct	0.00	0.0
KORMAN	003	CL	SS	1,000	57.54	14-Oct	14-Oct	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SASCO	038	CNW	S	8,100	30.09	n/a	n/a	405.00	5.0
KORMAN	003	COF	SS	1,000	35.44	n/a	17-Oct	0.00	0.0
ß BUCK CAPITAL MGMT		COH+LD	SS	1,000	1.09	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		COH+LD	SS	1,000	1.40	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		COH	B	50,000	18.14	8-Oct	22-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		COST	C	50,000	56.35	n/a	27-Jul	non-brg	4.0
ROTHSCHILD ASSET	040	CPB	B	8,880	37.13	n/a	n/a	399.60	4.5
THE BOSTON COMPANY	401	CTRN	B	6,000	14.06	n/a	n/a	240.00	4.0
AVESTA CAP	229	CVS	B	25,000	25.02	n/a	n/a	1,250.00	5.0
AMATURO	018	DAVXF	B	40	7.40	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		DECK	B	60,000	70.88	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		DHI	B	7,500	5.09	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DIN	SS	10,000	12.82	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		DIN	SS	40,000	13.05	n/a	n/a	non-brg	2.5
KORMAN	003	DKS	SS	2,000	12.99	7-Oct	7-Oct	0.00	0.0
ß BUCK CAPITAL MGMT		DSW	S	12,700	10.49	7-Oct	7-Oct	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		DSW	S	121,751	10.34	7-Oct	7-Oct	non-brg	1.0
⌘ BUCK CAPITAL MGMT		DSW	S	29,000	10.31	7-Oct	7-Oct	non-brg	1.0
⌘ BUCK CAPITAL MGMT		DSW	S	78,400	10.37	7-Oct	7-Oct	non-brg	2.0
SATELITE/BOBBY	044	DSW	S	25,000	10.30	7-Oct	7-Oct	1,000.00	4.0
BRUNNER	012	DUG	B	1,000	51.70	n/a	n/a	0.00	0.0
BRUNNER	012	DUG	S	1,000	54.63	n/a	n/a	0.00	0.0
KORMAN	003	DV	SS	1,000	50.39	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		DXD	B	2,500	75.20	n/a	n/a	non-brg	1.0
BRUNNER	012	DXD	B	500	92.52	n/a	n/a	0.00	0.0
OGORMAN	046	DXD	S	200	89.00	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		EAT	C	30,000	8.57	n/a	24-Apr	non-brg	4.0
⌘ BUCK CAPITAL MGMT		EBHI	B	50,000	2.58	n/a	n/a	non-brg	3.0
ETON PARK CAPITAL	041	EEM	B	1,225,000	20.97	n/a	n/a	36,750.00	3.0
DISIPLINED GROWTH INV.	030	ELON	S	30,000	6.85	n/a	n/a	1,500.00	5.0
⌘ BUCK CAPITAL MGMT		EL	C	100,000	34.97	15-Aug	4-Sep	non-brg	4.0
MISSOURI VALLEY PART	046	EQT	B	5,430	27.89	n/a	n/a	271.50	5.0
BUCK CAPITAL MGMT	001	FDO	B	20,000	25.69	23-Jul	9-Oct	800.00	4.0
MFP INVESTORS	032	FOR	B	10,000	6.46	n/a	3-Oct	400.00	4.0
HOLDEN CAPITAL MGMT	035	FOSL	SS	25,000	15.57	13-Oct	13-Oct	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
THE BOSTON COMPANY	401	FRED	C	10,000	10.48	n/a	27-Mar	400.00	4.0
HUNTER GLOBAL INVESTOR	067	FRT	S	45,000	51.08	n/a	n/a	2,250.00	5.0
PHILADELPHIA FINANCIAL	033	GBL	B	6,000	27.83	19-Sep	27-Oct	240.00	4.0
BUCK CAPITAL MGMT	001	GCO	B	30,000	21.98	n/a	10-Jan	1,200.00	4.0
ß BUCK CAPITAL MGMT		GES+LD	SS	1,000	2.36	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		GES+LD	SS	3,000	2.25	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		GES+LD	SS	3,000	2.36	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		GES+XW	SS	1,000	2.00	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		GES+XW	SS	3,000	2.11	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	GES	S	50,000	21.15	n/a	n/a	2,000.00	4.0
LEDDY	035	GE	S	400	19.55	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		GIII	B	10,000	12.00	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GIL	S	100,000	18.57	8-Sep	16-Oct	non-brg	4.0
COUGAR TRADING	044	GIL	S	5,000	18.60	8-Sep	16-Oct	250.00	5.0
KERN	050	GLW	S	250	11.32	28-Oct	28-Oct	0.00	0.0
HART	056	GMWJ	S	30	2.20	n/a	n/a	0.00	0.0
LUCHANSKY1	036	GMXA	S	50	1.61	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	GPS	S	5,000	11.71	n/a	17-Oct	250.00	5.0
SINCLAIR	031	GSDT	B	10	12.80	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		GSIC	B	150,000	8.72	n/a	n/a	non-brg	4.0
BUCK	015	GSKD	S	10	1.17	n/a	n/a	0.00	0.0
BUCK	015	GSKF	B	5	0.36	n/a	n/a	0.00	0.0
BUCK	015	GS	C	500	85.83	15-Sep	21-Oct	0.00	0.0
KORMAN	003	HAS	SS	2,000	26.01	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		HOTT	B	100,000	6.34	n/a	10-Oct	non-brg	3.0
BARROW HANLEY MEWHINNEY	031	HPQ	B	171,970	31.86	n/a	n/a	6,878.80	4.0
⌘ BUCK CAPITAL MGMT		HPY	C	20,000	15.67	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		ICON	B	100,000	7.89	n/a	n/a	non-brg	4.0
KORMAN	003	IFF	SS	1,000	31.15	3-Oct	27-Oct	0.00	0.0
⌘ BUCK CAPITAL MGMT		IPAR	C	39,400	10.32	n/a	n/a	non-brg	2.5
CASTLE ARK	031	JBHT	B	86,080	24.33	n/a	n/a	5,164.80	6.0
COUGAR TRADING	044	JCG	B	10,000	17.10	n/a	17-Sep	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	JCG	S	20,000	16.68	n/a	17-Sep	1,000.00	5.0
B BUCK CAPITAL MGMT		JCP	SS	50,000	18.64	n/a	10-Oct	non-brg	4.0
PZENA INV ADV	044	JPM	S	65,250	35.90	26-Sep	21-Oct	2,283.87	3.5
BARROW HANLEY MEWHINNEY	031	KFT	S	80,155	26.81	n/a	n/a	3,206.20	4.0
KORMAN	003	KMB	SS	1,000	56.66	23-Oct	23-Oct	0.00	0.0
WAGONHOUND/NIC	048	KMT	SS	23,195	16.28	18-Sep	27-Oct	927.80	4.0
B BUCK CAPITAL MGMT		KSS+KF	SS	1,000	2.00	n/a	n/a	non-brg	300.0
B BUCK CAPITAL MGMT		KSS	B	50,000	29.72	n/a	10-Oct	non-brg	4.0
COUGAR TRADING	044	KSS	B	10,000	28.50	n/a	10-Oct	500.00	5.0
COUGAR TRADING	044	KSS	SS	5,000	28.29	n/a	10-Oct	250.00	5.0
B BUCK CAPITAL MGMT		KWS	C	30,000	12.81	n/a	13-Mar	non-brg	4.0
BULL PATH CAPITAL	044	LAMR	B	44,000	12.96	n/a	n/a	2,200.00	5.0
B BUCK CAPITAL MGMT		LL	S	79,169	8.74	n/a	n/a	non-brg	4.0
SANDLER O'NEILL ASSET	031	LM	B	50,000	12.97	1-Jul	27-Oct	2,500.00	5.0
N STRATTON	014	LNET	B	300	1.00	n/a	n/a	0.00	0.0
MASTERS CAPITAL MANAGE	091	LPX	B	150,000	3.49	n/a	15-Oct	4,500.00	3.0
CAMBIAR CAP	046	LTD	B	120,200	10.53	9-Oct	23-Oct	4,808.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	LTD	SS	5,000	12.16	9-Oct	23-Oct	250.00	5.0
KORMAN	003	MAR	SS	3,000	16.84	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		MBFG IM	S	50,000	12.67	n/a	n/a	non-brg	2.5
BUCK	015	MER	S	5,500	15.00	n/a	21-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	MFB	B	50,000	8.27	n/a	n/a	2,000.00	4.0
COUGAR TRADING	044	M	B	5,000	10.07	12-Aug	10-Oct	250.00	5.0
SATELITE/BOBBY	044	M	S	25,000	9.47	12-Aug	10-Oct	1,000.00	4.0
STELLIAM INV ADV	040	NEM	S	20,000	22.76	n/a	n/a	1,000.00	5.0
KORMAN	003	NKE	SS	1,500	48.95	n/a	n/a	0.00	0.0
HUNTER GLOBAL INVESTOR	067	OFC	S	78,600	25.05	n/a	n/a	3,930.00	5.0
SASCO	038	OKE	S	9,100	26.54	n/a	n/a	455.00	5.0
B BUCK CAPITAL MGMT		PENN	B	7,500	13.14	n/a	n/a	non-brg	4.0
BMO NESBITT BURNS	041	PEP	S	25,000	54.13	n/a	n/a	1,250.00	5.0
B BUCK CAPITAL MGMT		PERY	B	50,000	8.39	n/a	n/a	non-brg	4.0
ELM RIDGE ADVISORS	044	PKG	B	111,800	14.97	11-Sep	21-Oct	4,472.00	4.0
B BUCK CAPITAL MGMT		PLCE	B	20,000	26.70	21-Aug	10-Oct	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		PLCE	B	20,000	27.64	21-Aug	10-Oct	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PNK	B	15,000	2.75	n/a	n/a	non-brg	4.0
N STRATTON	014	PNWIF	B	1,000	1.34	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		PVH+LE	SS	2,000	1.30	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		PVH+LX	SS	1,000	1.87	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		PVH+LX	SS	3,000	1.85	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		PVH+XD	SS	1,000	2.24	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		PVH+XD	SS	3,000	2.25	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	PVH	B	100,000	22.13	24-Oct	24-Oct	4,000.00	4.0
CADIAN CAPITAL	067	PVH	B	226,300	21.93	24-Oct	24-Oct	9,052.00	4.0
JP MORGAN VENTURES	046	PVH	B	15,000	21.32	24-Oct	24-Oct	750.00	5.0
LEVIN CAPITAL STRATEGIES	012	PVH	B	50,000	22.63	24-Oct	24-Oct	2,000.00	4.0
BENCHMARK	028	QLD	B	15,000	30.11	n/a	n/a	750.00	5.0
⌘ BUCK CAPITAL MGMT		QTF+XF	SS	1,000	2.01	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		QUK+KO	SS	300	3.70	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		QUK+LQ	SS	200	4.90	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		QUK+LQ	SS	300	4.60	n/a	n/a	non-brg	300.0
HIGHBRIDGE CAPITAL	038	RHI	B	44,000	15.93	n/a	n/a	2,200.00	5.0
⌘ BUCK CAPITAL MGMT		RTH	C	280,000	70.83	n/a	n/a	non-brg	1.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SASCO	038	RTN	S	2,800	44.30	n/a	n/a	140.00	5.0
B BUCK CAPITAL MGMT		RYL	B	2,500	14.65	n/a	n/a	non-brg	4.0
AMATURO	018	SDS	S	600	99.50	n/a	n/a	0.00	0.0
OGORMAN	046	SDS	S	200	107.00	n/a	n/a	0.00	0.0
KERN	050	SDS	B	200	98.40	n/a	n/a	0.00	0.0
GAULT	063	SDS	B	1,800	104.78	n/a	n/a	0.00	0.0
ENTRUST CAPITAL	040	SHW	B	55,700	49.14	n/a	27-Oct	2,785.00	5.0
B BUCK CAPITAL MGMT		SKX	B	30,000	12.21	n/a	13-Mar	non-brg	4.0
CAXTON PART	040	SLB	S	63,471	43.44	n/a	n/a	2,221.49	3.5
STELLIAM INV ADV	040	SNDK	B	65,000	7.86	n/a	n/a	3,250.00	5.0
PROSPECTOR PARTNERS LLC	036	STFC	B	10,000	20.40	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		SUP	C	40,000	10.81	17-Oct	20-Oct	non-brg	4.0
BUCK CAPITAL MGMT	001	TGT	B	50,000	36.55	n/a	22-Oct	2,000.00	4.0
COUGAR TRADING	044	TIF	B	5,000	22.28	n/a	10-Oct	250.00	5.0
COUGAR TRADING	044	TIF	SS	5,000	23.07	n/a	10-Oct	250.00	5.0
KORMAN	003	TIF	SS	2,000	22.89	n/a	10-Oct	0.00	0.0
BACKBAY	041	TIN	B	50,000	5.80	11-Sep	16-Oct	1,500.00	3.0
FIRST NY SEC/CHRIS	041	TIN	B	30,000	5.74	11-Sep	16-Oct	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MASTERS CAPITAL MANAGE	091	TIN	B	150,000	4.56	11-Sep	16-Oct	4,500.00	3.0
SCOPUS FUND	041	TIN	B	50,000	5.78	11-Sep	16-Oct	2,500.00	5.0
B BUCK CAPITAL MGMT		TJX+KE	SS	1,000	1.04	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	TJX	B	20,000	23.85	11-Aug	10-Oct	800.00	4.0
B BUCK CAPITAL MGMT		TJX	B	120,000	24.08	11-Aug	10-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		TJX	B	20,000	24.76	11-Aug	10-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		TLB	B	60,000	8.38	7-Aug	30-Sep	non-brg	3.0
THE BOSTON COMPANY	401	TLB	SS	40,000	8.13	7-Aug	30-Sep	1,600.00	4.0
ROTHSCHILD ASSET	040	TMO	S	34,860	34.34	n/a	n/a	1,568.70	4.5
SASCO	038	TNB	S	5,100	19.76	n/a	n/a	255.00	5.0
B BUCK CAPITAL MGMT		TRLG	B	40,000	13.49	n/a	n/a	non-brg	4.0
BEAR STEARNS ASSET MGMT.	033	TWB	C	43,400	6.94	n/a	1-Oct	1,736.00	4.0
BUCK CAPITAL MGMT	001	TWB	B	50,000	7.17	n/a	1-Oct	2,000.00	4.0
JP MORGAN VENTURES	046	TWB	S	70,000	7.06	n/a	1-Oct	2,100.00	3.0
B BUCK CAPITAL MGMT		URBN	B	150,000	20.43	14-Aug	1-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		URBN	B	20,000	21.28	14-Aug	1-Oct	non-brg	1.0
ROSEDALE CAPITAL	046	UYG	B	30,000	7.32	n/a	n/a	900.00	3.0
BUCK CAPITAL MGMT	001	VFC	B	95,400	51.55	n/a	n/a	3,816.00	4.0
COUGAR TRADING	044	VFC	B	5,000	47.70	n/a	n/a	250.00	5.0
PROSPECTOR PARTNERS LLC	036	WAG	B	20,000	22.31	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GRANAHAN INV	039	WDR	S	71,000	12.09	15-Jul	28-Oct	2,840.00	4.0
BARROW HANLEY MEWHINNEY	031	WFC	S	149,940	30.94	n/a	n/a	5,997.60	4.0
COUGAR TRADING	044	WMT	S	5,000	51.88	10-Oct	10-Oct	250.00	5.0
J.W. SELIGMAN	041	WMT	B	68,100	52.86	10-Oct	10-Oct	2,724.00	4.0
⌘ BUCK CAPITAL MGMT		WRC+LF	SS	3,000	0.80	n/a	n/a	non-brg	100.0
⌘ BUCK CAPITAL MGMT		WRC+XX	SS	3,000	2.25	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		WSM	SS	100,000	9.19	n/a	n/a	non-brg	4.0
PORTER-ORLIN-FELDMAN	044	WYE	S	55,000	31.57	n/a	31-Mar	2,750.00	5.0
SATELITE/BOBBY	044	XLY	SS	25,000	19.47	n/a	n/a	1,000.00	4.0
⌘ BUCK CAPITAL MGMT		XRT	C	1,800,000	20.83	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		XRT	SS	250,000	19.31	n/a	n/a	non-brg	1.0
MISSOURI VALLEY PART	046	ZMH	B	6,830	39.68	n/a	n/a	341.50	5.0
TOTAL (Trade Date) :								185,267.36	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/27	LITESPEED	028	DAI	B	225,000	26.00	n/a	n/a	6750.00 3.0
AO,CXL	10/27	LITESPEED	028	DAI	B	225,000	26.00	n/a	n/a	9000.00 4.0
AO,CXL	10/24	BRUNNER	012	DUG	B	500	53.03	n/a	n/a	0.00 0.0
AO,CRT	10/24	BRUNNER	012	DUG	B	500	53.03	n/a	n/a	0.00 0.0
AO,CXL	10/24	MCCARTAN	028	GMCA	S	40	2.43	n/a	n/a	0.00 0.0
AO,CRT	10/24	MCCARTAN	028	GMCA	S	40	2.43	n/a	n/a	0.00 0.0
AO,CRT	10/27	MORGENS WATERFALL	040	MIR	S	80,000	15.07	n/a	n/a	2400.00 3.0
AO,CXL	10/27	MORGENS WATERFALL	040	MIR	S	80,000	15.07	n/a	n/a	4000.00 5.0
AO,CXL	09/15	EMP ERROR	099	MS	C	1,500	34.39	15-Sep	21-Oct	0.00 0.0
AO,CRT	09/16	EMP ERROR	099	MS	C	1,500	26.60	15-Sep	21-Oct	0.00 0.0
AO,CRT	09/15	BUCK CAPITAL MGMT	015	MS	C	1,500	34.39	15-Sep	21-Oct	0.00 0.0
AO,CXL	09/16	BUCK CAPITAL MGMT	015	MS	C	1,500	26.60	15-Sep	21-Oct	0.00 0.0
AO,CRT	10/24	NATIONAL BK OF CAN	031	NCC	S	100,000	2.38	n/a	n/a	2000.00 2.0
AO,CXL	10/24	NATIONAL BK OF CAN	031	NCC	S	100,000	2.38	n/a	n/a	4000.00 4.0

TOTAL (AO, CXL, CRT) :

-5,850.00

TOTAL (Trade Date) :

185,267.36

TOTAL (AO, CXL, CRT) :

-5,850.00

TOTAL (RUN DATE) / NFS:

179,417.36

MRI Securities with Trade Activity on 28-Oct.

GLW

MRI Securities without Trade Activity on 28-Oct.

UHS

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

T-Date = 9%

YTD = 19%

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