



Daily Compliance Activity Report

Trade Date: 11/01/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
BUCK CAPITAL MGMT		AAPL	S	10,000	188.37	n/a	n/a	non-brg 1.0
BALYASNY ASSET MGMT	044	ABG	S	85,000	18.00	31-Oct	1-Nov	4,250.00 5.0
BUCK CAPITAL MGMT		ABG	S	20,000	17.48	31-Oct	1-Nov	non-brg 4.0
TRUSTCO/SUNTRUST	040	ABG	B	197,200	17.97	31-Oct	1-Nov	5,916.00 3.0
POST ROAD CAP	045	AEO	B	6,550	22.75	12-Oct	12-Oct	196.50 3.0
ROSEDALE CAPITAL	046	AEO	B	10,000	23.35	12-Oct	12-Oct	500.00 5.0
WHITE PINE CAPITAL	030	AGO	S	14,900	20.06	n/a	n/a	745.00 5.0
MAZAMA CAPITAL MGMT.	035	AIQ	S	149,300	9.07	n/a	n/a	5,972.00 4.0
BUCK CAPITAL MGMT	001	ANF	B	30,000	75.07	2-Oct	25-Oct	1,200.00 4.0
COUGAR TRADING	044	ANF	B	5,000	76.66	2-Oct	25-Oct	250.00 5.0
BUCK CAPITAL MGMT	001	ANN	S	30,000	30.00	6-Aug	12-Oct	1,200.00 4.0
BUCK CAPITAL MGMT		ANN	S	20,000	30.08	6-Aug	12-Oct	non-brg 4.0
INDEPENDENCE INV	039	ARJ	B	3,600	43.96	n/a	n/a	144.00 4.0
THOMSON HORSTMAN BRYANT	040	ARO	B	56,400	21.61	n/a	12-Oct	2,820.00 5.0
MAZAMA CAPITAL MGMT.	035	ATW	S	54,900	83.15	n/a	n/a	2,196.00 4.0
ZOLIDIS	011	BBI	B	1,000	5.06	n/a	n/a	0.00 0.0
HIGHBRIDGE CAPITAL	038	BBT	B	112,400	35.61	n/a	n/a	0.00 0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAPITAL GROWTH MGMT.	241	BHP	S	250,000	83.95	n/a	n/a	12,500.00	5.0
LUCHANSKY1	036	BONT	S	500	16.90	17-Oct	17-Oct	0.00	0.0
INDEPENDENCE INV	039	BPFH	B	3,700	27.87	n/a	n/a	148.00	4.0
NEW JERSEY DIV OF INV.	220	BRE	S	53,000	52.64	n/a	n/a	2,120.00	4.0
Ö Ted Wheeler		BRNC	S	10000	14.80	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	BWS	S	20,000	19.48	n/a	n/a	800.00	4.0
B BUCK CAPITAL MGMT		BWS	S	38,200	19.22	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		BWS	S	50,000	19.50	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		BWS	S	58,300	19.50	n/a	n/a	non-brg	4.0
INDEPENDENCE INV	039	CBK	B	12,300	13.24	n/a	12-Oct	492.00	4.0
LEDDY	035	CC	S	1,000	7.87	n/a	27-Jul	0.00	0.0
B BUCK CAPITAL MGMT		CEC	SS	20,000	29.01	n/a	n/a	non-brg	4.0
S.A.C. CAPITAL MGMT.	044	CENX	B	100,000	56.21	n/a	n/a	5,000.00	5.0
BEAR STEARNS ASSET MGMT.	033	CHS	SS	37,000	12.77	12-Oct	12-Oct	1,480.00	4.0
NICOLAS APPLGATE	048	CIR	S	22,400	41.66	n/a	n/a	896.00	4.0
B BUCK CAPITAL MGMT		CMRG	SS	20,000	8.10	n/a	n/a	non-brg	4.0
AMBER CAPITAL	046	COF	B	120,000	62.62	n/a	n/a	4,800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ENDEAVOUR CAPITAL	035	COF	SS	8,000	62.42	n/a	n/a	400.00	5.0
ZOLIDIS	011	CROX	SS	100	52.42	n/a	n/a	0.00	0.0
FRIESS MGMT	042	CSCO	S	923,800	32.84	n/a	22-Mar	41,571.00	4.5
CUMBERLAND	038	CTRN	B	10,000	18.09	n/a	n/a	400.00	4.0
KACELA CAPITAL	034	CTX	S	15,000	23.47	n/a	n/a	600.00	4.0
KORMAN	003	C	B	2,000	38.42	n/a	1-Nov	0.00	0.0
B BUCK CAPITAL MGMT		DECK	S	36,300	134.79	n/a	n/a	non-brg	4.0
LUCHANSKY1	036	DF	S	150	27.56	n/a	n/a	0.00	0.0
HARRIS ASSOCIATES	031	DHI	S	11,700	11.79	n/a	n/a	351.00	3.0
B BUCK CAPITAL MGMT		DIA	SS	105,500	136.12	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT	001	DKS	S	10,000	31.33	26-Oct	26-Oct	400.00	4.0
STRATTON	N21	DLIA	B	400	3.20	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		DRI	SS	15,000	41.70	n/a	24-Apr	non-brg	4.0
BUCK CAPITAL MGMT	001	DSW	B	10,000	21.81	26-Oct	26-Oct	400.00	4.0
BULL PATH CAPITAL	044	DTV	B	78,500	26.37	21-Sep	1-Nov	3,925.00	5.0
POST ROAD CAP	045	DTV	B	3,300	26.36	21-Sep	1-Nov	99.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	EDA	S	10,000	12.30	n/a	n/a	400.00	4.0
APEX CAPITAL MGMT.	091	EK	B	10,400	28.54	n/a	n/a	520.00	5.0
NICOLAS APPEGATE	048	EMC	S	50,000	25.04	n/a	n/a	2,000.00	4.0
NEW JERSEY DIV OF INV.	220	ESS	B	65,000	118.04	n/a	n/a	2,600.00	4.0
SANDLER O'NEILL ASSET	031	EV	SS	25,000	48.65	15-Oct	24-Oct	1,250.00	5.0
INDEPENDENCE INV	039	FBCM	B	6,700	12.15	n/a	n/a	268.00	4.0
⌘ BUCK CAPITAL MGMT		FGXI	S	20,000	16.68	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		FLDR	C	100,000	5.62	n/a	n/a	non-brg	1.0
INDEPENDENCE INV	039	FLOW	B	12,800	8.26	n/a	n/a	512.00	4.0
INDEPENDENCE INV	039	FMR	B	6,900	22.80	n/a	n/a	276.00	4.0
⌘ BUCK CAPITAL MGMT		FOSL	S	119,700	35.86	12-Sep	12-Sep	non-brg	4.0
INDEPENDENCE INV	039	FSYS	B	4,200	16.19	n/a	n/a	168.00	4.0
INDEPENDENCE INV	039	FUL	B	5,100	28.53	n/a	n/a	204.00	4.0
⌘ BUCK CAPITAL MGMT		GA	B	10,000	15.50	n/a	n/a	non-brg	0.0
⌘ BUCK CAPITAL MGMT		GA	B	2,000	15.50	n/a	n/a	non-brg	0.0
⌘ BUCK CAPITAL MGMT		GA	B	2,500	15.50	n/a	n/a	non-brg	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Ⓐ BUCK CAPITAL MGMT		GA	S	14,500	18.91	n/a	n/a	non-brg	4.0
LISTED ERR	099	GBL	B	2,500	58.99	n/a	22-Oct	0.00	0.0
LISTED ERR	099	GBL	S	2,500	59.01	n/a	22-Oct	0.00	0.0
INDEPENDENCE INV	039	GDP	B	4,900	32.85	n/a	n/a	196.00	4.0
BUCK CAPITAL MGMT	001	GES	B	10,000	47.00	n/a	n/a	400.00	4.0
NEUBERGER BERMAN	036	GET	S	114,847	51.05	n/a	n/a	5,742.35	5.0
Ⓐ BUCK CAPITAL MGMT		GIL	S	30,000	45.24	19-Sep	19-Sep	non-brg	4.0
CASTLE ARK	031	GIL	S	70,000	45.21	19-Sep	19-Sep	4,200.00	6.0
MCCARTAN	028	GLBC	B	200	20.06	n/a	n/a	0.00	0.0
NOLAN	067	GLBC	B	20	19.85	n/a	n/a	0.00	0.0
HOLLIS CAPITAL	033	GLBL	B	5,000	25.54	n/a	n/a	200.00	4.0
OGORMAN	046	GLD	B	110	77.55	n/a	n/a	0.00	0.0
BANK OF NEW YORK	040	GME	B	103,850	58.50	n/a	n/a	5,192.50	5.0
AAD CAPITAL	048	GPI	B	126,200	30.44	31-Oct	31-Oct	5,048.00	4.0
Ⓐ BUCK CAPITAL MGMT		GPS	SS	100,000	18.25	n/a	12-Oct	non-brg	4.0
COUGAR TRADING	044	GPS	SS	5,000	18.19	n/a	12-Oct	250.00	5.0
SYSTEMATIC FINANCIAL MGT	035	GR	B	160,000	68.68	25-Oct	25-Oct	6,000.00	3.8
VENTANA CAPITAL	060	GSX	B	10,000	2.20	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		GS	S	37,700	242.61	21-Sep	16-Oct	non-brg	4.0
INDEPENDENCE INV	039	GWR	B	5,300	28.55	n/a	n/a	212.00	4.0
B BUCK CAPITAL MGMT		GYMB	B	40,000	31.84	10-Aug	18-Oct	non-brg	4.0
PILOT ADV	038	HAS	SS	15,800	28.81	n/a	n/a	632.00	4.0
B BUCK CAPITAL MGMT		HOS	S	62,600	41.83	n/a	n/a	non-brg	4.0
ENDEAVOUR CAPITAL	035	HRB	SS	12,400	21.15	n/a	n/a	620.00	5.0
ENDEAVOUR CAPITAL	035	HRH	SS	5,700	43.97	n/a	n/a	285.00	5.0
LEHMAN PROPRIETARY TRAD	041	HZO	B	180,000	14.79	n/a	n/a	7,200.00	4.0
INDEPENDENCE INV	039	ICOC	B	7,000	14.14	n/a	n/a	280.00	4.0
B BUCK CAPITAL MGMT		ICON	S	20,000	21.15	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		ICON	S	30,000	21.73	n/a	n/a	non-brg	4.0
Õ Ted Wheeler		IMMC	B	50000	1.03	n/a	n/a	0.00	0.0
INDEPENDENCE INV	039	IPAR	B	4,900	23.07	n/a	n/a	196.00	4.0
IRONBOUND CAPITAL	012	IP	B	9,000	36.33	n/a	18-Oct	270.00	3.0
GREENLIGHT CAPITAL	041	ITRI	SS	76,002	101.57	n/a	n/a	3,800.10	5.0
CATAPULT	040	IVZ	B	5,000	29.55	8-Oct	1-Nov	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
⌘ BUCK CAPITAL MGMT		IWM	SS	180,000	79.54	n/a	n/a	non-brg 2.0
ENDEAVOUR CAPITAL	035	IWM	SS	10,700	79.51	n/a	n/a	535.00 5.0
SENECA CAPITAL LP NY	028	IWM	S	42,000	80.32	n/a	n/a	2,100.00 5.0
⌘ BUCK CAPITAL MGMT		JBX	SS	20,000	30.24	n/a	24-Apr	non-brg 4.0
BUCK CAPITAL MGMT	001	JCG	S	150,000	35.76	24-Oct	24-Oct	6,000.00 4.0
⌘ BUCK CAPITAL MGMT		JCG	S	50,000	35.77	24-Oct	24-Oct	non-brg 1.0
GALLEON MGMT LP	033	JCG	S	15,000	35.52	24-Oct	24-Oct	750.00 5.0
LISTED ERR	099	JCG	B	200	35.04	24-Oct	24-Oct	0.00 0.0
LISTED ERR	099	JCG	SS	200	35.81	24-Oct	24-Oct	0.00 0.0
BUCK CAPITAL MGMT	001	JCP	S	230,000	54.17	12-Oct	12-Oct	9,200.00 4.0
⌘ BUCK CAPITAL MGMT		JOSB	S	30,000	28.33	n/a	n/a	non-brg 4.0
⌘ BUCK CAPITAL MGMT		JOSB	S	50,000	28.65	n/a	n/a	non-brg 4.0
NATIONAL BK OF CAN	031	JPM	B	40,000	44.72	19-Oct	1-Nov	1,600.00 4.0
LEDDY	035	KEG	S	500	13.67	29-Oct	29-Oct	0.00 0.0
HIGHBRIDGE CAPITAL	038	KEY	B	131,400	27.81	n/a	n/a	6,570.00 5.0
ARIENCE CAPITAL	036	KMX	S	113,700	19.94	n/a	10-Jan	5,685.00 5.0
BUCK CAPITAL MGMT	001	KSS	S	250,000	53.53	27-Sep	12-Oct	10,000.00 4.0
⌘ BUCK CAPITAL MGMT		KSS	S	50,000	54.29	27-Sep	12-Oct	non-brg 4.0
COUGAR TRADING	044	KSS	B	15,000	54.29	27-Sep	12-Oct	750.00 5.0
⌘ BUCK CAPITAL MGMT		LAMR	S	20,000	53.08	n/a	n/a	non-brg 4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KORMAN	003	LEH	B	4,000	60.86	12-Jun	16-Oct	0.00	0.0
NORTHPOINT	030	LNCR	B	37,100	35.04	17-Sep	1-Nov	1,484.00	4.0
⌘ BUCK CAPITAL MGMT		LTD	SS	50,000	21.47	n/a	17-Oct	non-brg	4.0
⌘ BUCK CAPITAL MGMT		LTM	S	20,000	59.47	n/a	n/a	non-brg	4.0
BECK MACK & OLIVER LLC	045	LVLTT	B	32,000	2.98	24-Oct	1-Nov	960.00	3.0
MS PRINCIPAL STRATEGIES	041	MAR	B	60,000	39.97	n/a	n/a	3,000.00	5.0
ENDEAVOUR CAPITAL	035	MDY	SS	2,300	162.00	n/a	n/a	115.00	5.0
KORMAN	003	MER	B	1,000	63.19	25-Oct	30-Oct	0.00	0.0
MATRIX ASSET ADV.	036	MHP	B	18,100	47.85	n/a	n/a	455.82	2.4
FORD FDN.	032	MON	S	300	95.76	n/a	11-Oct	15.00	5.0
AMATURO	018	MPET	B	1,000	14.90	n/a	n/a	0.00	0.0
LATEFF MGMT	040	MSFT	S	3,000	37.24	n/a	3-Apr	48,000.00	0.0
NICOLAS APPELGATE	048	MSFT	S	30,000	37.21	n/a	3-Apr	1,200.00	4.0
⌘ BUCK CAPITAL MGMT		MSSR	S	19,700	16.09	n/a	n/a	non-brg	2.5
KORMAN	003	MS	B	1,000	62.95	2-Jul	16-Oct	0.00	0.0
⌘ BUCK CAPITAL MGMT		MW	S	50,000	41.02	n/a	n/a	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		M	S	100,000	31.61	24-Sep	12-Oct	non-brg	4.0
⌘ BUCK CAPITAL MGMT		M	S	21,882	31.49	24-Sep	12-Oct	non-brg	1.0
⌘ BUCK CAPITAL MGMT		M	S	28,118	31.44	24-Sep	12-Oct	non-brg	4.0
⌘ BUCK CAPITAL MGMT		M	S	50,000	31.84	24-Sep	12-Oct	non-brg	4.0
⌘ BUCK CAPITAL MGMT		M	S	50,000	32.29	24-Sep	12-Oct	non-brg	4.0
COUGAR TRADING	044	M	B	15,000	32.19	24-Sep	12-Oct	750.00	5.0
PRINCIPLE CAPITAL	040	M	S	63,400	31.92	24-Sep	12-Oct	1,902.00	3.0
BARR	096	NGI	B	9,950	5.12	n/a	n/a	0.00	0.0
CATAPULT	040	NLY	S	5,000	16.95	n/a	n/a	250.00	5.0
PZENA INV ADV	044	NOC	B	3,500	83.00	n/a	n/a	140.00	4.0
COUGAR TRADING	044	NWY	S	5,000	6.86	25-May	18-Oct	250.00	5.0
HARRIS ASSOCIATES	031	OCR	S	6,200	28.92	n/a	31-Oct	186.00	3.0
⌘ BUCK CAPITAL MGMT		PAG	S	34,952	21.70	n/a	26-Oct	non-brg	4.0
SYSTEMATIC FINANCIAL MGT	035	PAS	S	27,800	35.43	n/a	n/a	1,042.50	3.8
CHARTER OAK	033	PPO	S	48,275	17.01	n/a	n/a	2,413.75	5.0
⌘ BUCK CAPITAL MGMT		PROJ	B	5,000	18.00	n/a	n/a	non-brg	0.0
⌘ BUCK CAPITAL MGMT		PROJ	S	5,000	17.85	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PSS	S	100,000	17.81	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PSS	S	196,800	17.55	n/a	n/a	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
BUCK CAPITAL MGMT		PTT	S	10,000	11.45	n/a	n/a	non-brg 1.0
BUCK CAPITAL MGMT		PTT	S	20,000	11.39	n/a	n/a	non-brg 2.5
UBS OCONNOR	031	PZN	C	58,300	18.78	n/a	n/a	1,749.00 3.0
BUCK CAPITAL MGMT		RICK	S	5,000	17.85	n/a	n/a	non-brg 2.5
ENDEAVOUR CAPITAL	035	RLI	SS	3,900	56.09	n/a	n/a	195.00 5.0
GALLEON MGMT LP	033	RL	SS	15,000	66.77	31-Oct	31-Oct	750.00 5.0
BUCK CAPITAL MGMT		RRGB	SS	10,000	39.11	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		RSH	SS	60,000	19.94	n/a	n/a	non-brg 4.0
PZENA INV ADV	044	RX	B	4,325	24.96	n/a	n/a	173.00 4.0
BUCK CAPITAL MGMT		SCVL	S	25,000	15.28	n/a	n/a	non-brg 4.0
OGORMAN	046	SDS	B	450	52.13	n/a	n/a	0.00 0.0
BUCK CAPITAL MGMT	001	SKX	S	174,000	23.57	n/a	13-Mar	6,960.00 4.0
BUCK CAPITAL MGMT		SKX	S	10,400	23.22	n/a	13-Mar	non-brg 1.0
JP MORGAN VENTURES	046	SKX	S	25,000	23.63	n/a	13-Mar	1,250.00 5.0
BUCK CAPITAL MGMT		SONC	SS	10,000	23.80	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		SPY	SS	95,000	151.43	n/a	n/a	non-brg 2.0
BUCK CAPITAL MGMT		TGT	S	100,000	59.53	n/a	27-Jul	non-brg 4.0

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⚡ BUCK CAPITAL MGMT		THI	SS	20,000	37.70	n/a	24-Apr	non-brg	4.0
ZOLIDIS	011	TIF	C	100	52.79	18-Oct	18-Oct	0.00	0.0
ADAGE CAPITAL MGMT	030	TJX	B	50,000	28.56	21-Sep	12-Oct	2,000.00	4.0
RIVER RUN MGMT	031	TRMP	SS	35,000	8.31	n/a	n/a	1,400.00	4.0
⚡ BUCK CAPITAL MGMT		TWB	B	10,000	28.50	2-Oct	2-Oct	non-brg	4.0
⚡ BUCK CAPITAL MGMT		TWB	B	50,000	28.73	2-Oct	2-Oct	non-brg	4.0
OSS CAPITAL/KEVIN DANN	067	TYC	B	325,000	41.29	9-Oct	9-Oct	9,750.00	3.0
CAMBIAR CAP	046	T	S	294,990	41.22	21-Sep	1-Nov	11,799.60	4.0
HIGHBRIDGE CAPITAL	038	T	B	150,000	41.26	21-Sep	1-Nov	7,500.00	5.0
ZOLIDIS	011	UA	SS	100	59.25	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		URBN	S	60,000	24.35	23-Oct	23-Oct	non-brg	4.0
JPMSI/TOM LEDDY	035	URBN	B	30,000	24.82	23-Oct	23-Oct	1,500.00	5.0
GALLEON MGMT LP	033	USB	S	20,000	32.30	n/a	n/a	1,000.00	5.0
HIGHBRIDGE CAPITAL	038	USB	B	148,300	32.08	n/a	n/a	7,415.00	5.0
⚡ BUCK CAPITAL MGMT		VC	B	35,000	6.13	n/a	1-Nov	non-brg	3.0
LEHMAN PROPRIETARY TRAD	041	VMC	SS	30,000	83.84	n/a	n/a	1,200.00	4.0
MERRILL ASSET	032	WBS	S	35,000	34.65	n/a	n/a	1,575.00	4.5

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ENDEAVOUR CAPITAL	035	WFC	SS	11,600	32.29	n/a	n/a	580.00	5.0
THIRD AVE MGMT	030	WLL	S	25,000	54.54	n/a	n/a	1,000.00	4.0
SCOPUS FUND	041	WNC	B	30,000	8.69	n/a	n/a	1,500.00	5.0
B BUCK CAPITAL MGMT		WTSLA	S	1,040,000	2.58	n/a	n/a	non-brg	2.0
MORRISON & FRASIER	040	WTS	S	12,700	27.87	n/a	n/a	635.00	5.0
LEDDY	035	WY	S	300	74.25	1-Nov	1-Nov	0.00	0.0
MORGAN LEWIS/MLH	046	XEC	B	10,000	40.44	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	ZQK	S	268,800	12.91	n/a	31-Oct	10,752.00	4.0
B BUCK CAPITAL MGMT		ZQK	S	31,452	12.78	n/a	31-Oct	non-brg	1.0
COUGAR TRADING	044	ZQK	SS	5,642	13.20	n/a	31-Oct	282.10	5.0
BEAR STEARNS ASSET MGMT.	033	ZUMZ	C	20,300	40.30	n/a	n/a	812.00	4.0
TOTAL (Trade Date) :								328,975.22	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/31	TRUSTCO/SUNTRUST	040	ABG	B	3,300	18.05	31-Oct	1-Nov	99.00 3.0
AO,CRT	10/31	MORRISON & FRASIER	040	WTS	S	23,900	28.48	n/a	n/a	1195.00 5.0
AO,CRT	10/31	MORRISON & FRASIER	040	WTS	S	18,600	28.48	n/a	n/a	930.00 5.0
AO,CXL	10/31	MORRISON & FRASIER	040	WTS	S	42,500	28.48	n/a	n/a	1700.00 4.0
TOTAL (AO, CXL, CRT) :										524.00

TOTAL (Trade Date) :	328,975.22
TOTAL (AO, CXL, CRT) :	524.00

TOTAL (RUN DATE) / NFS:	329,499.22
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MRI Securities with Trade Activity on 1-Nov.

WY

MRI Securities without Trade Activity on 1-Nov.

SMG, WPL

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

T-Date = 31%

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