



# Daily Compliance Activity Report

Trade Date: 10/15/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRUST CO/COWEN/CALF.	040	AA	B	159,905	14.25	n/a	n/a	6,396.20	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>ABII</b>	<b>B</b>	<b>1000</b>	<b>37.61</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>AEO</b>	<b>S</b>	<b>50,000</b>	<b>19.26</b>	<b>n/a</b>	<b>9-Oct</b>	<b>2,000.00</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>AEO</b>	<b>B</b>	<b>50,000</b>	<b>19.28</b>	<b>n/a</b>	<b>9-Oct</b>	<b>non-brg</b>	<b>4.0</b>
FRIESS MGMT	033	AEO	B	1,100	19.06	n/a	9-Oct	44.00	4.0
FRIESS MGMT	033	AEO	B	191,500	19.06	n/a	9-Oct	7,660.00	4.0
NORTHPOINT	030	AMT	S	1,100	39.80	n/a	n/a	44.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>AM</b>	<b>S</b>	<b>20,000</b>	<b>23.44</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>AN</b>	<b>S</b>	<b>200</b>	<b>19.86</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>APC</b>	<b>B</b>	<b>7,500</b>	<b>65.64</b>	<b>n/a</b>	<b>9-Oct</b>	<b>non-brg</b>	<b>0.8</b>
NEUBERGER BERMAN	036	APH	B	20,250	40.78	n/a	n/a	911.25	4.5
<b>f ANTHONY SUTERA</b>	<b>FID</b>	<b>AXL</b>	<b>B</b>	<b>2000</b>	<b>6.56</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>AXL</b>	<b>B</b>	<b>137,800</b>	<b>6.57</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>AXL</b>	<b>B</b>	<b>14,100</b>	<b>6.55</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
RAINIER INV MGMT	035	BAX	B	247,540	54.95	n/a	n/a	9,901.60	4.0
<b>f FRANCIS MICHAEL MCCA</b>	<b>FID</b>	<b>BBY</b>	<b>B</b>	<b>200</b>	<b>40.38</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f FRANCIS MICHAEL MCCA</b>	<b>FID</b>	<b>BBY</b>	<b>S</b>	<b>200</b>	<b>40.38</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.	
RAINIER INV MGMT	035	BRY	B	46,050	29.71	n/a	n/a	2,302.50	5.0
CAXTON PART	040	BYI	B	15,000	43.00	n/a	n/a	525.01	3.5
<b>f RAGHAV NAYAR</b>	<b>FID</b>	<b>CGYV</b>	<b>B</b>	<b>1000</b>	<b>1.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f NICOLAS EVAN PAKLER</b>	<b>FID</b>	<b>CKP</b>	<b>B</b>	<b>85</b>	<b>0.17</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NORTHPOINT	030	CMS	S	14,200	13.68	n/a	n/a	568.00	4.0
DIAMONDBACK CAP MGMT	232	COF	B	25,000	37.16	15-Oct	15-Oct	1,250.00	5.0
STERLING JOHNSTON	035	CRI	B	20,000	28.49	n/a	n/a	800.00	4.0
<b>ß BUCK CAPITAL MGMT</b>		<b>CTRN</b>	<b>S</b>	<b>20,000</b>	<b>29.94</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>DECK</b>	<b>S</b>	<b>5,000</b>	<b>88.40</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>f JOHN MICHAEL ZOLIDIS</b>	<b>FID</b>	<b>DECK</b>	<b>B</b>	<b>150</b>	<b>88.94</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
STADIA CAPITAL	035	DECK	B	10,000	88.35	n/a	n/a	400.00	4.0
COOPER CREEK PART	028	DKS	B	15,000	25.44	15-Oct	15-Oct	750.00	5.0
MILLENIUM PARTNERS	028	DKS	B	13,500	25.55	15-Oct	15-Oct	540.00	4.0
DIAMONDBACK CAP MGMT	232	DOW	S	55,000	26.89	n/a	n/a	2,750.00	5.0
<b>ß BUCK CAPITAL MGMT</b>		<b>DSW</b>	<b>B</b>	<b>50,000</b>	<b>20.07</b>	<b>n/a</b>	<b>15-Oct</b>	<b>non-brg</b>	<b>0.8</b>
BNP PARIBAS SEC	040	DVN	B	20,000	71.40	n/a	9-Oct	800.00	4.0
FIRST NEW YORK LEDDY	035	ETFC	B	20,000	1.75	n/a	n/a	1,200.00	6.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	EXPD	S	8,850	34.68	n/a	n/a	398.25	4.5
SOUTH POINT CAP	067	FAS	SS	7,000	91.45	n/a	n/a	350.00	5.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>FDGFX</b>	<b>S</b>	<b>60</b>	<b>23.49</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROARING BLUE LION MGMT	012	FL	B	27,000	11.84	n/a	n/a	1,080.00	4.0
<b>f MITCHELL JAMES SPEIS</b>	<b>FID</b>	<b>FSNXX</b>	<b>B</b>	<b>9500</b>	<b>1.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROYCE TRADING	216	FUL	S	700	22.56	n/a	n/a	35.00	5.0
GREEN ARROW DOUG	040	GCA	S	45,000	7.13	n/a	n/a	2,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GE</b>	<b>S</b>	<b>1,400</b>	<b>16.58</b>	<b>n/a</b>	<b>n/a</b>	<b>56.00</b>	<b>4.0</b>
FIRST NY SEC/CHRIS	041	GE	B	50,000	16.61	n/a	n/a	2,000.00	4.0
<b>Õ Larry Leeds</b>		<b>GE</b>	<b>S</b>	<b>1400</b>	<b>12.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>GIII</b>	<b>S</b>	<b>25,000</b>	<b>18.49</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>GME</b>	<b>S</b>	<b>20,000</b>	<b>27.89</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
ROYCE TRADING	216	GPI	S	3,000	32.25	n/a	14-Oct	150.00	5.0
ROYCE TRADING	216	GTI	S	5,000	14.93	n/a	n/a	250.00	5.0
EXIS CAPITAL	044	GYMB	B	5,000	46.80	n/a	9-Oct	250.00	5.0
ROYCE TRADING	216	HAR	S	2,500	37.01	n/a	n/a	125.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>HBI+JD[???</b>	<b>C</b>	<b>971</b>	<b>3.87</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>300.0</b>
FRIESS MGMT	033	HCBK	S	14,500	13.24	n/a	15-Oct	580.00	4.0
FRIESS MGMT	033	HCBK	S	478,100	13.24	n/a	15-Oct	19,124.00	4.0
NEUBERGER BERMAN	036	HGG	B	36,500	19.43	n/a	n/a	1,642.50	4.5
PENNANT CAP MGMT	029	HOLX	B	170,000	16.85	n/a	n/a	5,100.00	3.0
CRAMER ROSENTHAL/SCOTT	012	HON	S	250,875	37.38	n/a	n/a	10,035.00	4.0
HARVEST MGMT	039	HOTT	B	20,000	8.83	n/a	n/a	1,000.00	5.0
ROYCE TRADING	216	HWK	S	5,000	15.88	n/a	n/a	250.00	5.0
ROYCE TRADING	216	HXL	S	5,000	11.69	n/a	n/a	250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>ICON</b>	<b>S</b>	<b>20,000</b>	<b>13.77</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f FRANCIS MICHAEL MCCA</b>	<b>FID</b>	<b>JCIJE</b>	<b>S</b>	<b>50</b>	<b>2.06</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SAXON WOODS ADVISORS	038	JNJ	S	140,400	60.49	n/a	n/a	5,616.00	4.0
DSG CAPITAL	225	JNS	B	30,000	15.25	n/a	n/a	1,500.00	5.0
BNP PARIBAS SEC	040	JOYG	B	10,000	51.92	n/a	n/a	400.00	4.0
<b>f ROBERT M DANIELS</b>	<b>FID</b>	<b>JST</b>	<b>B</b>	<b>100</b>	<b>31.64</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f ROBERT M DANIELS</b>	<b>FID</b>	<b>JST</b>	<b>S</b>	<b>150</b>	<b>32.50</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.	
<b>f ANTHONY SUTERA</b>	<b>FID</b>	<b>KG</b>	<b>S</b>	<b>1000</b>	<b>11.05</b>	<b>n/a</b>	<b>15-Oct</b>	<b>0.00</b>	<b>0.0</b>
SANDLER O'NEILL ASSET	031	LAZ	B	25,000	40.99	n/a	15-Oct	1,250.00	5.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>LNCR</b>	<b>B</b>	<b>1500</b>	<b>31.33</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
STADIA CAPITAL	035	LRCX	B	6,200	36.90	n/a	n/a	248.00	4.0
JP MORGAN VENTURES	046	MAT	B	30,000	19.33	n/a	n/a	1,500.00	5.0
<b>f ROBERT M DANIELS</b>	<b>FID</b>	<b>MCD</b>	<b>B</b>	<b>100</b>	<b>58.04</b>	<b>n/a</b>	<b>15-Oct</b>	<b>0.00</b>	<b>0.0</b>
SUN AMERICA ASSET MGMT	030	MGLN	B	6,400	29.60	n/a	n/a	256.00	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>MHS</b>	<b>S</b>	<b>1500</b>	<b>56.19</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f KEVIN MICHAEL O'GORM</b>	<b>FID</b>	<b>MONJN</b>	<b>B</b>	<b>10</b>	<b>8.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f ROBERT M DANIELS</b>	<b>FID</b>	<b>MO</b>	<b>B</b>	<b>105</b>	<b>18.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DIAMONDBACK CAP MGMT	232	MS	C	15,000	32.66	n/a	15-Oct	750.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>M</b>	<b>S</b>	<b>23,500</b>	<b>20.33</b>	<b>n/a</b>	<b>9-Oct</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>M</b>	<b>S</b>	<b>23,500</b>	<b>20.33</b>	<b>n/a</b>	<b>9-Oct</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>M</b>	<b>S</b>	<b>26,500</b>	<b>20.17</b>	<b>n/a</b>	<b>9-Oct</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>M</b>	<b>S</b>	<b>26,500</b>	<b>20.17</b>	<b>n/a</b>	<b>9-Oct</b>	<b>non-brg</b>	<b>0.8</b>
EXIS CAPITAL	044	M	B	5,000	20.79	n/a	9-Oct	250.00	5.0
<b>f FRANCIS MICHAEL MCCA</b>	<b>FID</b>	<b>M</b>	<b>B</b>	<b>300</b>	<b>20.53</b>	<b>n/a</b>	<b>9-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>f ROBERT M DANIELS</b>	<b>FID</b>	<b>NE</b>	<b>B</b>	<b>200</b>	<b>42.27</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

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<b>f</b>	<b>ROBERT M DANIELS</b>	<b>FID</b>	<b>NE</b>	<b>S</b>	<b>200</b>	<b>41.36</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
	SYSTEMATIC FINANCIAL MGT	035	NUS	B	64,000	21.24	n/a	n/a	2,240.00	3.5
	PORTER-ORLIN-FELDMAN	044	OIH	B	30,000	129.06	n/a	n/a	900.00	3.0
	ROTHSCHILD ASSET	040	ORB	S	7,640	14.70	n/a	n/a	343.80	4.5
	NEWLAND CAPITAL MGT	067	OSK	S	5,000	33.56	n/a	n/a	200.00	4.0
	BALYASNY ASSET MGMT	044	PAG	S	20,000	17.27	n/a	n/a	1,000.00	5.0
	HUNTER GLOBAL INVESTOR	067	PEP	S	25,000	62.16	n/a	n/a	1,250.00	5.0
	BMO NESBITT BURNS	041	PKG	SS	25,000	22.05	n/a	12-Oct	1,250.00	5.0
<b>B</b>	<b>BUCK CAPITAL MGMT</b>		<b>PVH</b>	<b>S</b>	<b>20,000</b>	<b>43.93</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
	FIRST NEW YORK NICK	029	Q	S	40,000	3.69	n/a	n/a	2,000.00	5.0
	SCOPUS FUND	041	RKT	S	1,509	49.58	n/a	n/a	75.45	5.0
	SCOPUS FUND	041	RKT	S	6,435	49.58	n/a	n/a	321.75	5.0
	DELTEC ASSET MGMT.	040	RRR	B	40,000	7.71	n/a	n/a	1,600.00	4.0
	KLEINHEINZ CAP PART	031	RTH	B	25,000	92.41	n/a	n/a	1,250.00	5.0
	PENNANT CAP MGMT	029	RVBD	B	50,000	24.27	n/a	n/a	1,500.00	3.0
<b>B</b>	<b>BUCK CAPITAL MGMT</b>		<b>RVI</b>	<b>B</b>	<b>10,000</b>	<b>6.77</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B</b> BUCK CAPITAL MGMT		<b>SBUX</b>	<b>C</b>	<b>30,000</b>	<b>20.36</b>	<b>n/a</b>	<b>2-Oct</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>SKX</b>	<b>S</b>	<b>50,000</b>	<b>20.90</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>f</b> JOEL GIFFORD TISS	<b>FID</b>	<b>SNY</b>	<b>S</b>	<b>500</b>	<b>39.96</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
KENNEDY CAPITAL	046	SOA	S	35,906	12.50	n/a	n/a	1,436.24	4.0
MACKLOWE ASSET MGMT	041	SWY	B	40,000	22.50	n/a	n/a	1,600.00	4.0
ADAGE CAPITAL MGMT	030	TGT	S	291,342	50.24	n/a	9-Oct	11,653.68	4.0
ROYCE TRADING	216	TIN	S	5,000	17.70	n/a	12-Oct	250.00	5.0
SCHOTTENFELD ASSOC	041	TIN	B	30,000	17.85	n/a	12-Oct	900.00	3.0
SCOPUS FUND	041	TIN	S	1,900	17.76	n/a	12-Oct	95.00	5.0
SCOPUS FUND	041	TIN	S	8,100	17.76	n/a	12-Oct	405.00	5.0
BALYASNY ASSET MGMT	044	TROW	B	20,000	47.72	n/a	n/a	1,000.00	5.0
<b>B</b> BUCK CAPITAL MGMT		<b>TSCO</b>	<b>SS</b>	<b>20,000</b>	<b>52.40</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
BNP PARIBAS SEC	040	TSN	B	5,000	11.96	n/a	n/a	200.00	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>TWTC</b>	<b>S</b>	<b>50,000</b>	<b>14.69</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
DSG CAPITAL	225	TYC	B	3,000	35.51	n/a	12-Oct	150.00	5.0
<b>f</b> ABRAM M CHAPPELL	<b>FID</b>	<b>TZA</b>	<b>B</b>	<b>90</b>	<b>10.95</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ST OF MICHIAN	047	T	B	160,000	25.82	n/a	n/a	4,800.00	3.0

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EXIS CAPITAL	044	UAUA	S	25,000	7.81	n/a	n/a	1,250.00	5.0
NEUBERGER BERMAN	036	UTHR	S	7,000	45.00	n/a	n/a	315.00	4.5
SOUTH POINT CAP	067	UYG	SS	55,000	6.34	n/a	n/a	2,750.00	5.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>VNOXK</b>	<b>S</b>	<b>15</b>	<b>2.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>VRSK</b>	<b>B</b>	<b>1000</b>	<b>27.98</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DSG CAPITAL	225	WBC	B	5,000	22.37	n/a	n/a	250.00	5.0
OVERLAND PARK CAP	041	WEN	B	24,500	4.61	n/a	2-Oct	980.00	4.0
ROYCE TRADING	216	WFR	B	10,000	15.70	n/a	n/a	500.00	5.0
BALYASNY ASSET MGMT	044	WL	B	25,000	15.35	n/a	n/a	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WRC</b>	<b>S</b>	<b>10,000</b>	<b>43.70</b>	<b>n/a</b>	<b>2-Oct</b>	<b>400.00</b>	<b>4.0</b>
BALYASNY ASSET MGMT	044	WYNN	C	25,000	65.50	n/a	8-Oct	1,250.00	5.0
BMO NESBITT BURNS	041	WY	SS	50,000	39.83	n/a	12-Oct	2,500.00	5.0
WEINTRAUB CAPITAL MGT.	040	WY	S	100,000	39.50	n/a	12-Oct	4,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>XOM</b>	<b>S</b>	<b>1,940</b>	<b>72.39</b>	<b>n/a</b>	<b>n/a</b>	<b>77.60</b>	<b>4.0</b>
<b>Õ Larry Leeds</b>		<b>XOM</b>	<b>S</b>	<b>1940</b>	<b>72.39</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>



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**TOTAL (Trade Date):**

**147,481.83**

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/14	FRIESS MGMT	033	AEO	B	600	19.07	n/a	9-Oct	24.00 4.0
AO,CXL	10/14	FRIESS MGMT	033	AEO	B	600	19.07	n/a	9-Oct	24.00 4.0
AO,CRT	10/14	BUCK CAPITAL MGMT	001	FO	B	3,100	43.62	n/a	n/a	124.00 4.0
AO,CXL	10/14	BUCK CAPITAL MGMT	001	FO	B	30,000	43.62	n/a	n/a	1200.00 4.0
AO,	10/14	BUCK CAPITAL MGMT	001	FO	B	26,900	43.62	n/a	n/a	1076.00 4.0
AO,CRT	10/14	EXIS CAPITAL	044	JCG	SS	3,100	38.36	n/a	n/a	155.00 5.0
AO,CXL	10/14	EXIS CAPITAL	044	JCG	SS	3,100	38.36	n/a	n/a	155.00 5.0
AO,CXL	10/09	G WEISS /SASHA	070	WBC	B	8,000	23.61	n/a	n/a	320.00 4.0
AO,CRT	10/09	G WEISS /SASHA	070	WBC	B	8,000	23.61	n/a	n/a	320.00 4.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>0.00</b>
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TOTAL (Trade Date):	147,481.83
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TOTAL (AO, CXL, CRT):	0.00
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<b>TOTAL (RUN DATE) / NFS:</b>	<b>147,481.83</b>
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MRI Securities with Trade Activity on 15-Oct. COF, DKS
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MRI Securities without Trade Activity on 15-Oct.

GWW

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

T-Date = 13%

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)