



## Daily Compliance Activity Report

Trade Date: 11/05/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	AAP	S	25,000	65.90	n/a	n/a	875.00	3.5
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>ADM</b>	<b>B</b>	<b>1000</b>	<b>31.29</b>	<b>n/a</b>	<b>2-Nov</b>	<b>0.00</b>	<b>0.0</b>
STATE TEACHERS RET SYS	047	AIV	S	10,000	25.25	n/a	n/a	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>AMR</b>	<b>S</b>	<b>200,000</b>	<b>8.62</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ANN</b>	<b>S</b>	<b>100,000</b>	<b>24.30</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>AN</b>	<b>B</b>	<b>20,100</b>	<b>26.24</b>	<b>n/a</b>	<b>29-Oct</b>	<b>804.00</b>	<b>4.0</b>
ENTRUST CAPITAL	040	ARO	SS	44,500	24.06	n/a	5-Nov	2,225.00	5.0
IRIDIAN ASSET MGMT.	036	ATML	S	137,360	10.15	n/a	n/a	6,868.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>AVP</b>	<b>S</b>	<b>214,000</b>	<b>29.45</b>	<b>n/a</b>	<b>29-Oct</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>AXL</b>	<b>S</b>	<b>75,000</b>	<b>10.10</b>	<b>n/a</b>	<b>1-Nov</b>	<b>non-brg</b>	<b>4.0</b>
APEX CAPITAL MGMT.	261	BBY	C	102,800	44.68	n/a	n/a	4,112.00	4.0
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>BEE</b>	<b>B</b>	<b>500</b>	<b>5.24</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>BGZ</b>	<b>S</b>	<b>35000</b>	<b>9.82</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	BIG	SS	5,000	29.21	n/a	5-Nov	250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⚡ BUCK CAPITAL MGMT		BJ	C	50,000	43.16	n/a	n/a	non-brg	4.0
FIRST NEW YORK LEDDY	035	BSX	S	10,000	6.73	n/a	n/a	400.00	4.0
JETSTREAM GLOBAL FUND LP	065	CAR	B	100,300	13.64	n/a	n/a	5,015.00	5.0
STATE TEACHERS RET SYS	047	CBL	S	30,000	18.73	n/a	n/a	1,500.00	5.0
KLEINHEINZ CAP PART	031	CCJ	B	40,000	33.36	n/a	n/a	2,000.00	5.0
⚡ BUCK CAPITAL MGMT		CHS	S	100,000	10.73	n/a	5-Feb	non-brg	4.0
HARRIER HAWK MGMT	028	CLGX	S	50,000	18.20	n/a	n/a	2,000.00	4.0
STATE TEACHERS RET SYS	047	CLP	S	10,000	19.30	n/a	n/a	500.00	5.0
⚡ BUCK CAPITAL MGMT		CNW	S	3,700	35.10	n/a	n/a	non-brg	0.8
⚡ BUCK CAPITAL MGMT		COF	B	60,000	39.79	n/a	5-Nov	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	COF	S	100	40.74	n/a	5-Nov	0.00	0.0
STATE TEACHERS RET SYS	047	COF	B	25,000	40.41	n/a	5-Nov	1,250.00	5.0
f JOHN MICHAEL ZOLIDIS	FID	COST	B	150	65.73	n/a	n/a	0.00	0.0
SIGMA CAPITAL ASSOCIATES	041	COST	B	27,400	65.97	n/a	n/a	959.00	3.5
⚡ BUCK CAPITAL MGMT		CROX	B	25,000	13.93	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		CROX	B	25,000	14.37	n/a	n/a	non-brg	2.5
⚡ BUCK CAPITAL MGMT		CROX	B	50,000	13.97	n/a	n/a	non-brg	0.8
⚡ BUCK CAPITAL MGMT		CSTR	S	20,000	61.66	n/a	n/a	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROTHSCHILD ASSET	040	CTB	B	23,922	21.48	n/a	n/a	956.88	4.0
CROWN CAP MGMT	084	CVGI	B	35,000	15.33	n/a	n/a	1,750.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>C</b>	<b>B</b>	<b>100,000</b>	<b>4.39</b>	<b>n/a</b>	<b>19-Oct</b>	<b>non-brg</b>	<b>3.0</b>
<b>f IAN L MILLER</b>	<b>FID</b>	<b>C</b>	<b>S</b>	<b>300</b>	<b>4.47</b>	<b>n/a</b>	<b>19-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>C</b>	<b>B</b>	<b>2000</b>	<b>4.48</b>	<b>n/a</b>	<b>19-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>DAL</b>	<b>B</b>	<b>1000</b>	<b>14.47</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
METROPOLITAN CAPITAL	044	DAN	S	22,300	15.02	n/a	29-Oct	1,115.00	5.0
PZENA INV ADV	044	DFG	S	1,725	28.43	n/a	n/a	60.40	3.5
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>DLTR</b>	<b>B</b>	<b>150</b>	<b>4.80</b>	<b>n/a</b>	<b>26-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>DLTR</b>	<b>S</b>	<b>150</b>	<b>1.85</b>	<b>n/a</b>	<b>26-Oct</b>	<b>0.00</b>	<b>0.0</b>
STATE TEACHERS RET SYS	047	DRE	S	10,000	12.90	n/a	n/a	500.00	5.0
KLEINHEINZ CAP PART	031	EBAY	B	50,000	30.80	n/a	n/a	2,500.00	5.0
<b>f MATTHEW FRANCIS BUCK</b>	<b>FID</b>	<b>EFA</b>	<b>B</b>	<b>200</b>	<b>59.17</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
STATE TEACHERS RET SYS	047	ENR	B	30,000	67.47	n/a	3-Nov	1,500.00	5.0
HIGHBRIDGE CAP	041	EV	S	16,926	31.01	n/a	n/a	507.78	3.0
CHARTER OAK	033	EXH	B	25,016	22.87	n/a	22-Oct	1,250.80	5.0
<b>f MATTHEW FRANCIS BUCK</b>	<b>FID</b>	<b>FCX</b>	<b>S</b>	<b>150</b>	<b>105.46</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.	
BMO NESBITT BURNS	041	FDO	SS	3,000	48.21	n/a	7-Oct	120.00	4.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>FDO</b>	<b>B</b>	<b>1000</b>	<b>48.19</b>	<b>n/a</b>	<b>7-Oct</b>	<b>0.00</b>	<b>0.0</b>
O CAPITAL MGMT	029	FFNW	B	4,000	3.87	n/a	n/a	200.00	5.0
BMO NESBITT BURNS	041	FINL	B	4,000	16.19	n/a	n/a	160.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>FITB</b>	<b>B</b>	<b>82,000</b>	<b>13.58</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BMO NESBITT BURNS	041	FL	B	4,000	16.53	n/a	14-Oct	160.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>FL</b>	<b>S</b>	<b>300,000</b>	<b>16.59</b>	<b>n/a</b>	<b>14-Oct</b>	<b>12,000.00</b>	<b>4.0</b>
JP MORGAN VENTURES	046	FL	S	15,000	16.46	n/a	14-Oct	750.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>FOSL</b>	<b>S</b>	<b>30,000</b>	<b>61.99</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
BMO NESBITT BURNS	041	FRED	SS	5,000	12.66	n/a	n/a	200.00	4.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>FSLXX</b>	<b>S</b>	<b>45042</b>	<b>1.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>FXI</b>	<b>B</b>	<b>40</b>	<b>8.83</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>FXI</b>	<b>S</b>	<b>40</b>	<b>3.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>F</b>	<b>S</b>	<b>40,000</b>	<b>16.01</b>	<b>n/a</b>	<b>4-Nov</b>	<b>non-brg</b>	<b>4.0</b>
<b>f MELISSA LEE BACKUS</b>	<b>FID</b>	<b>F</b>	<b>S</b>	<b>3000</b>	<b>15.97</b>	<b>n/a</b>	<b>4-Nov</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GCO</b>	<b>S</b>	<b>100,000</b>	<b>33.59</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
HIGHBRIDGE CAP	041	GES	B	11,675	40.43	n/a	18-Oct	350.25	3.0
PATTEN & PATTEN	067	GE	B	500	16.73	n/a	n/a	25.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		GIL	B	15,800	28.39	n/a	18-Oct	non-brg	2.5
BUCK CAPITAL MGMT		GIL	B	20,000	28.23	n/a	18-Oct	non-brg	4.0
BUCK CAPITAL MGMT		GIL	B	30,000	28.37	n/a	18-Oct	non-brg	0.8
BUCK CAPITAL MGMT		GIL	B	70,000	28.20	n/a	18-Oct	non-brg	4.0
MARC PAUL LUCHANSKY	FID	GLW	S	500	18.93	n/a	1-Nov	0.00	0.0
MARK ANTHONY GRONET	FID	GMCR	B	1000	34.43	n/a	n/a	0.00	0.0
MARK ANTHONY GRONET	FID	GMCR	S	1000	35.07	n/a	n/a	0.00	0.0
NUMERIC	060	GNW	S	141,600	12.32	n/a	n/a	4,248.00	3.0
BUCK CAPITAL MGMT	001	GPS	S	100,000	20.55	n/a	n/a	4,000.00	4.0
DAVID GEORGE BUCK	FID	GS	S	10	5.75	n/a	19-Oct	0.00	0.0
CICILY S BACKUS	FID	HAL	B	1000	31.70	n/a	n/a	0.00	0.0
CICILY S BACKUS	FID	HAL	B	1000	31.72	n/a	n/a	0.00	0.0
DELTEC ASSET MGMT.	040	HAL	S	7,000	32.63	n/a	n/a	350.00	5.0
MELISSA LEE BACKUS	FID	HAL	B	1000	31.66	n/a	n/a	0.00	0.0
BASSWOOD PARTNERS	267	HBC	B	16,500	55.17	n/a	n/a	660.00	4.0
CAERUS GLOBAL	041	HBI	B	25,000	25.29	n/a	28-Oct	1,000.00	4.0
BMO NESBITT BURNS	041	HD	SS	4,000	32.03	n/a	7-Oct	160.00	4.0
STATE TEACHERS RET SYS	047	HLF	B	30,000	65.90	n/a	n/a	1,500.00	5.0
DAVID GEORGE BUCK	FID	HOLX	S	4000	15.89	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f</b>	<b>MATTHEW FRANCIS BUCK</b>	<b>FID</b>	<b>HOLX</b>	<b>S</b>	<b>1000</b>	<b>15.89</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
	STATE TEACHERS RET SYS	047	HT	B	20,000	5.90	n/a	n/a	1,000.00	5.0
<b>B</b>	<b>BUCK CAPITAL MGMT</b>		<b>ICON</b>	<b>S</b>	<b>90,000</b>	<b>17.21</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
	PATTEN & PATTEN	067	ITT	S	900	48.58	n/a	30-Apr	45.00	5.0
<b>B</b>	<b>BUCK CAPITAL MGMT</b>		<b>JBLU</b>	<b>S</b>	<b>20,000</b>	<b>7.39</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
	WEISS PECK	040	JNY	B	75,000	14.77	n/a	28-Oct	3,750.00	5.0
	CAXTON PART	040	JPM	B	18,440	41.13	n/a	4-Nov	645.43	3.5
	STATE TEACHERS RET SYS	047	JPM	B	50,000	40.87	n/a	4-Nov	2,500.00	5.0
	HIGHBRIDGE CAP	041	JWN	B	500	41.88	5-Nov	5-Nov	15.00	3.0
<b>f</b>	<b>EDWARD W WHEELER</b>	<b>FID</b>	<b>KEM</b>	<b>S</b>	<b>400</b>	<b>0.51</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b>	<b>BUCK CAPITAL MGMT</b>		<b>KEY</b>	<b>B</b>	<b>121,000</b>	<b>8.60</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
	STATE TEACHERS RET SYS	047	KFT	B	70,000	30.99	n/a	n/a	3,500.00	5.0
<b>B</b>	<b>BUCK CAPITAL MGMT</b>		<b>KNX</b>	<b>B</b>	<b>40,000</b>	<b>18.69</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
	ASCEND PARTNERS	033	KSS	B	32,829	52.26	n/a	5-Nov	1,641.45	5.0
	ASCEND PARTNERS	033	KSS	S	32,829	53.13	n/a	5-Nov	1,641.45	5.0
	<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KSS</b>	<b>B</b>	<b>60,000</b>	<b>52.28</b>	<b>n/a</b>	<b>5-Nov</b>	<b>2,400.00</b>	<b>4.0</b>
	ARMATURE CAPITAL	041	LCC	SS	50,000	11.65	n/a	n/a	2,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
UNITED STATES PENSION	085	LEG	S	114,221	20.52	n/a	n/a	5,711.05	5.0
ARMATURE CAPITAL	041	LEN	B	60,000	15.83	n/a	n/a	2,400.00	4.0
⚡ BUCK CAPITAL MGMT		LEN	B	25,000	15.75	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		LEN	B	86,600	15.78	n/a	n/a	non-brg	4.0
KENNEDY CAPITAL	046	LIZ	S	190,450	6.99	n/a	7-Oct	5,713.50	3.0
⚡ BUCK CAPITAL MGMT		LL	S	20,000	22.08	n/a	n/a	non-brg	4.0
STATE TEACHERS RET SYS	047	LNT	B	15,492	37.52	n/a	n/a	774.60	5.0
MERRILL ASSET/BLACKROCK	266	LTD	S	29,510	31.71	n/a	n/a	1,180.40	4.0
STATE TEACHERS RET SYS	047	MAC	B	5,000	49.35	n/a	n/a	250.00	5.0
f EDWARD W WHEELER	FID	MET	S	130	2.88	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	MFB	S	20,000	28.75	n/a	n/a	800.00	4.0
⚡ BUCK CAPITAL MGMT		MI	B	100,000	5.90	n/a	n/a	non-brg	3.0
f KEVIN MICHAEL O'GORM	FID	MI	B	5000	5.91	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	MMYT	S	23,400	32.65	n/a	n/a	936.00	4.0
⚡ BUCK CAPITAL MGMT		MNRO	S	10,000	49.99	n/a	n/a	non-brg	2.5
RBC CAPITAL MARKETS	040	MOS	B	20,000	72.00	n/a	n/a	800.00	4.0
RBC CAPITAL MARKETS	040	MOS	S	20,000	72.24	n/a	n/a	800.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B</b> BUCK CAPITAL MGMT		<b>MS</b>	<b>B</b>	<b>78,600</b>	<b>26.88</b>	<b>n/a</b>	<b>21-Oct</b>	<b>non-brg</b>	<b>4.0</b>
IRIDIAN ASSET MGMT.	036	MS	S	9,810	27.27	n/a	21-Oct	490.50	5.0
<b>B</b> BUCK CAPITAL MGMT		<b>MVRX</b>	<b>C</b>	<b>195,000</b>	<b>203.87</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>20.4</b>
<b>f</b> MARC PAUL LUCHANSKY	<b>FID</b>	<b>MYL</b>	<b>S</b>	<b>500</b>	<b>20.15</b>	<b>n/a</b>	<b>1-Nov</b>	<b>0.00</b>	<b>0.0</b>
HIGHBRIDGE CAP	041	M	S	5,869	26.00	5-Nov[i]	5-Nov	176.07	3.0
BMO NESBITT BURNS	041	NDN	B	5,000	14.53	n/a	4-Nov	200.00	4.0
COOPER CREEK PART	028	NDN	B	15,000	14.68	n/a	4-Nov	600.00	4.0
<b>f</b> EDWARD W WHEELER	<b>FID</b>	<b>NPO</b>	<b>S</b>	<b>5000</b>	<b>37.07</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> BRIAN FRANCIS KEALOH	<b>FID</b>	<b>NWY</b>	<b>S</b>	<b>2172</b>	<b>3.69</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
STATE TEACHERS RET SYS	047	PEI	S	15,000	15.60	n/a	n/a	750.00	5.0
MERRILL ASSET/BLACKROCK	266	PH	S	6,400	81.57	n/a	20-Oct	256.00	4.0
MERRILL ASSET/BLACKROCK	266	PJC	B	6,907	33.58	n/a	n/a	276.28	4.0
BMO NESBITT BURNS	041	PKG	B	6,000	26.12	n/a	19-Oct	300.00	5.0
<b>B</b> BUCK CAPITAL MGMT		<b>PLCE</b>	<b>B</b>	<b>10,000</b>	<b>45.56</b>	<b>n/a</b>	<b>21-Oct</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>PLCE</b>	<b>B</b>	<b>22,000</b>	<b>45.59</b>	<b>n/a</b>	<b>21-Oct</b>	<b>non-brg</b>	<b>4.0</b>
STATE TEACHERS RET SYS	047	PLD	S	15,000	14.35	n/a	n/a	750.00	5.0
<b>f</b> MANNY I KORMAN	<b>FID</b>	<b>PM</b>	<b>B</b>	<b>30</b>	<b>5.74</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.	
f	MANNY I KORMAN	FID	PM	S	30	1.91	n/a	n/a	0.00	0.0
	MTB INV ADV	034	PNK	S	24,900	14.05	n/a	n/a	1,245.00	5.0
	PATTEN & PATTEN	067	PWR	S	200	17.81	n/a	n/a	10.00	5.0
B	BUCK CAPITAL MGMT		RF	B	171,600	6.61	n/a	n/a	non-brg	3.0
	MERRILL ASSET/BLACKROCK	266	RGA	B	8,900	52.18	n/a	n/a	356.00	4.0
B	BUCK CAPITAL MGMT		RGS	S	33,789	21.35	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		RGS	S	66,211	21.07	n/a	n/a	non-brg	2.5
	OWL CREEK INV	085	RKT	B	163,000	57.58	n/a	n/a	4,890.00	3.0
f	EDWARD W WHEELER	FID	RLOG	S	15000	4.74	n/a	n/a	0.00	0.0
	HIGHBRIDGE CAP	041	RL	S	1,510	99.36	n/a	18-Oct	45.30	3.0
	HIGHBRIDGE CAP	041	ROST	B	1,929	63.57	n/a	n/a	57.87	3.0
B	BUCK CAPITAL MGMT		RRR	B	20,000	8.54	n/a	25-Oct	non-brg	2.5
f	EDWARD W WHEELER	FID	RUSHA	S	5000	17.17	n/a	n/a	0.00	0.0
f	EDWARD W WHEELER	FID	R	B	80	0.10	n/a	n/a	0.00	0.0
f	EDWARD W WHEELER	FID	SCSC	S	2000	30.00	n/a	n/a	0.00	0.0
f	MARC PAUL LUCHANSKY	FID	SDS	S	500	25.43	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STATE TEACHERS RET SYS	047	SHO	S	20,000	10.80	n/a	n/a	1,000.00	5.0
f EDWARD W WHEELER	FID	SHS	S	2000	28.10	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SKS	SS	100,000	12.02	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	SKX	SS	100,000	20.46	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SKX	C	100,000	20.70	n/a	n/a	non-brg	1.0
f MANNY I KORMAN	FID	SLM	B	550	1.87	n/a	3-Nov	0.00	0.0
f MANNY I KORMAN	FID	SLM	S	550	0.81	n/a	3-Nov	0.00	0.0
f ANDREW SINCLAIR	FID	SPY	B	25	0.32	n/a	n/a	0.00	0.0
f ANDREW SINCLAIR	FID	SPY	S	203	0.01	n/a	n/a	0.00	0.0
f ANDREW SINCLAIR	FID	SPY	S	25	0.35	n/a	n/a	0.00	0.0
WEDBUSH/PACIFIC GROWTH EQTY LLC084	SSCC		S	6,600	24.74		n/a 2-Nov	330.00	5.0
B BUCK CAPITAL MGMT		STI	B	42,600	27.27	n/a	n/a	non-brg	4.0
f EDWARD W WHEELER	FID	STS	S	12283	2.37	n/a	n/a	0.00	0.0
STATE TEACHERS RET SYS	047	TEVA	B	40,000	51.12	n/a	4-Nov	2,000.00	5.0
B BUCK CAPITAL MGMT		TEX	B	12,400	24.85	n/a	22-Oct	non-brg	4.0
f CICILY S BACKUS	FID	TEX	B	1000	24.68	n/a	22-Oct	0.00	0.0
f CICILY S BACKUS	FID	TEX	B	2000	24.70	n/a	22-Oct	0.00	0.0
f LBP ENTERPRI SES INC	FID	TEX	B	2000	24.70	n/a	22-Oct	0.00	0.0
f LEE F BACKUS	FID	TEX	B	1000	24.67	n/a	22-Oct	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f	SNEJANA P GARFUNKEL	FID	TEX	B	1000	24.71	n/a	22-Oct	0.00	0.0
	ADAGE CAPITAL MGMT	030	TJX	B	430,000	46.98	n/a	5-Nov	12,900.00	3.0
	MERRILL ASSET/BLACKROCK	266	TKR	S	7,100	44.31	n/a	n/a	284.00	4.0
	ASCEND PARTNERS	033	UN	C	83,531	31.79	n/a	n/a	4,176.55	5.0
B	BUCK CAPITAL MGMT		URBN	B	31,200	32.38	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		URBN	B	50,000	32.14	n/a	n/a	non-brg	4.0
	SIGMA CAPITAL ASSOCIATES	041	URBN	B	75,000	32.28	n/a	n/a	2,625.00	3.5
	RBC CAPITAL MARKETS	040	VALE	B	50,000	33.84	n/a	n/a	2,000.00	4.0
	HIGHBRIDGE CAP	041	VCLK	SS	9,877	15.25	n/a	n/a	296.31	3.0
f	JOSEPH CIRO AMATURO	FID	VXX	S	4000	11.09	n/a	n/a	0.00	0.0
f	MARC PAUL LUCHANSKY	FID	VXX	S	500	11.10	n/a	n/a	0.00	0.0
f	SCOTT L BRUNNER	FID	VXX	B	1000	11.15	n/a	n/a	0.00	0.0
f	MATTHEW FRANCIS BUCK	FID	V	B	200	79.69	n/a	29-Oct	0.00	0.0
f	DAVID GEORGE BUCK	FID	WBC	S	1000	49.81	n/a	29-Oct	0.00	0.0
B	BUCK CAPITAL MGMT		WERN	B	20,000	21.91	n/a	n/a	non-brg	4.0
	CARLSON CAPITAL	290	WFC	S	74,200	29.21	n/a	4-Nov	2,968.00	4.0
	IRIDIAN ASSET MGMT.	036	WFC	S	18,540	29.04	n/a	4-Nov	927.00	5.0
	ROTHSCHILD ASSET	040	WLL	B	12,367	106.95	n/a	n/a	494.68	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	WMT	SS	125,000	55.16	n/a	14-Oct	4,375.00	3.5
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>WNC</b>	<b>S</b>	<b>500</b>	<b>9.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TYEE/TYGH	035	WRC	S	30,000	55.00	n/a	18-Oct	1,200.00	4.0
STATE TEACHERS RET SYS	047	WRE	B	5,000	32.85	n/a	n/a	250.00	5.0
STATE TEACHERS RET SYS	047	WRI	S	5,000	25.95	n/a	n/a	250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>WSO</b>	<b>S</b>	<b>10,000</b>	<b>58.53</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SIGMA CAPITAL ASSOCIATES	041	WYN	S	25,000	30.10	n/a	n/a	875.00	3.5
BMO NESBITT BURNS	041	WY	B	6,000	17.51	n/a	29-Oct	300.00	5.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>WY</b>	<b>B</b>	<b>1000</b>	<b>17.45</b>	<b>n/a</b>	<b>29-Oct</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	067	WY	B	2,500	17.42	n/a	29-Oct	125.00	5.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>XLFX</b>	<b>B</b>	<b>300</b>	<b>15.58</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>XRT</b>	<b>C</b>	<b>25,000</b>	<b>45.43</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>XRXX</b>	<b>B</b>	<b>400</b>	<b>1.21</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>XRXX</b>	<b>S</b>	<b>450</b>	<b>0.39</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>TOTAL (Trade Date):</b>								<b>151,565.55</b>	

### Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	11/04	STATE TEACHERS RET SYS	047	AIV	S	10,000	24.19	n/a	n/a	500.00 5.0
AO,	11/04	STATE TEACHERS RET SYS	047	AIV	S	10,000	24.50	n/a	n/a	500.00 5.0
AO,CXL	11/04	STATE TEACHERS RET SYS	047	AIV	S	20,000	24.34	n/a	n/a	1000.00 5.0
<b>AO,CRT</b>	<b>11/04</b>	<b>LISTED ERR</b>	<b>099</b>	<b>BEAV</b>	<b>S</b>	<b>38,600</b>	<b>36.73</b>	<b>n/a</b>	<b>27-Oct</b>	<b>0.00 0.0</b>
<b>AO,CXL</b>	<b>11/04</b>	<b>LISTED ERR</b>	<b>099</b>	<b>BEAV</b>	<b>S</b>	<b>38,600</b>	<b>36.73</b>	<b>n/a</b>	<b>27-Oct</b>	<b>0.00 0.0</b>
AO,CRT	11/04	DSG CAPITAL	225	COG	S	5,000	31.70	n/a	27-Oct	150.00 3.0
AO,CXL	11/04	DSG CAPITAL	225	COG	S	5,000	31.70	n/a	27-Oct	250.00 5.0
AO,CXL	11/04	CROWN ADVISORS	045	CVGI	B	40,000	14.92	n/a	n/a	2000.00 5.0
AO,CRT	11/04	CROWN CAP MGMT	084	CVGI	B	40,000	14.92	n/a	n/a	2000.00 5.0
<b>AO,</b>	<b>11/04</b>	<b>LISTED ERR</b>	<b>099</b>	<b>KSS</b>	<b>B</b>	<b>2,500</b>	<b>51.49</b>	<b>n/a</b>	<b>5-Nov</b>	<b>0.00 0.0</b>
<b>AO,</b>	<b>11/04</b>	<b>LISTED ERR</b>	<b>099</b>	<b>KSS</b>	<b>S</b>	<b>2,500</b>	<b>51.34</b>	<b>n/a</b>	<b>5-Nov</b>	<b>0.00 0.0</b>
AO,CXL	11/03	ADAGE CAPITAL MGMT	030	M	B	369,700	23.82	5-Nov	5-Nov	11091.00 3.0
AO,CRT	11/03	ADAGE CAPITAL MGMT	030	M	B	369,700	23.82	5-Nov	5-Nov	11091.00 3.0
AO,	11/04	CASTLE ARK	031	MCHP	S	83,092	33.92	n/a	n/a	4154.60 5.0
AO,CRT	11/04	ADALY INV MGMT	031	PAG	S	17,800	14.75	n/a	25-Oct	623.00 3.5
AO,CXL	11/04	ADALY INV MGMT	031	PAG	S	17,800	14.75	n/a	25-Oct	623.00 3.5
AO,CRT	11/04	NOKOMIS PARTNERS	031	SATS	B	6,302	21.43	n/a	n/a	189.06 3.0
AO,CXL	11/04	NOKOMIS PARTNERS	031	SATS	B	10,000	21.43	n/a	n/a	500.00 5.0
AO,	11/04	NOKOMIS PARTNERS	031	SATS	B	3,698	21.43	n/a	n/a	110.94 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.		
AO,	11/04	COLUMBUS CIRCLE	036	WLK	B	6,100	35.96	n/a	n/a	244.00	4.0
TOTAL (AO, CXL, CRT) :									4,098.60		

TOTAL (Trade Date):	151,565.55
TOTAL (AO, CXL, CRT):	4,098.60

<b>TOTAL (RUN DATE) / NFS:</b>	<b>155,664.15</b>
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MRI Securities with Trade Activity on 5-Nov.  
**JWN, M**

MRI Securities without Trade Activity on 5-Nov.  
**ANF, MON, SBUX**

BRG comm. as a % of BCM Total Comm. paid.  
 T-Date = 14%  
 YTD = 11%

**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**

**Watch List Trades**

**f: Employee Trades (Fidelity)**