



# Daily Compliance Activity Report

Trade Date: 10/29/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		ABCO	S	601	69.25		n/a	n/a	12.02 2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		ACHC	S	1,894	39.16		n/a	n/a	37.88 2.0
BNP PARIBAS SEC	040	AEO	S	106,833	15.16		n/a	n/a	3,204.99 3.0
PIIONEER OAKRIDGE	031	ALGN	S	50,000	56.58		n/a	n/a	1,500.00 3.0
BMO / M&I FUNDS	047	ALKS	S	3,618	36.38		n/a	n/a	144.72 4.0
CAPITAL RESEARCH GROUP	296	APD	S	117,000	108.44		n/a	n/a	4,095.00 4.0
SANDLER CAPITAL	028	APD	S	50,000	108.10		n/a	n/a	2,500.00 5.0
SENATOR INVESTMENT GROUP	287	APD	B	250,000	108.19		n/a	n/a	7,500.00 3.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		ATHN	S	713	136.89		n/a	n/a	14.26 2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		ATU	S	2,383	38.21		n/a	n/a	47.66 2.0
BESSEMER INVESTMENT	085	AVGO	S	2,090	46.07		n/a	n/a	83.60 4.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		AWAY	S	1,438	29.84		n/a	n/a	28.76 2.0
BESSEMER INVESTMENT	085	AWK	S	1,925	42.50		n/a	n/a	77.00 4.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		AZPN	S	3,820	35.09		n/a	n/a	76.40 2.0
BASSWOOD PARTNERS	267	BAC	B	46,594	14.18		n/a	25-Oct	1,863.76 4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	BANR	S	1,457	38.84	n/a	n/a	29.14	2.0
KEY ASSET MGMT/VICTORY	220	BA	S	58,730	129.15	28-Oct	28-Oct	2,349.20	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>BBBY</b>	<b>C</b>	<b>82,210</b>	<b>77.35</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	BC	S	2,498	45.23	n/a	n/a	49.96	2.0
LATEEF MGMT	033	BDNPRE	B	350	23.39	n/a	n/a	35.00	10.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	BECN	S	2,299	36.01	n/a	n/a	45.98	2.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>BIIB</b>	<b>B</b>	<b>500</b>	<b>251.47</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	BJRI	S	764	26.17	n/a	n/a	15.28	2.0
<b>B BUCK CAPITAL MGMT</b>		<b>BLMN</b>	<b>B</b>	<b>20,000</b>	<b>24.66</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	BLOX	S	3,379	44.81	n/a	n/a	67.58	2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	BZH	S	4,417	18.86	n/a	n/a	88.34	2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	CAR	S	1,266	28.87	n/a	n/a	25.32	2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	CASY	S	1,028	73.71	n/a	n/a	20.56	2.0
MOORE CAPITAL	257	CAT	SS	70,000	83.39	n/a	n/a	2,100.00	3.0
TUDOR INVESTORS	028	CAT	B	10,000	83.95	n/a	n/a	300.00	3.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	CAVM	S	2,697	37.59	n/a	n/a	53.94	2.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.		
f	JONATHAN RICHARD HAR	FID	CBK	B	2000	5.91	n/a	n/a	0.00	0.0	
	THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	CEB		S	1,373	76.00	n/a	n/a	27.46	2.0
	SENATOR INVESTMENT GROUP	287	CIE	SS	330,000	23.77	n/a	n/a	9,900.00	3.0	
f	EDWARD W WHEELER	FID	CLH	S	9000	63.06	n/a	n/a	0.00	0.0	
	MOORE CAPITAL	257	CMCSA	S	45,000	47.72	n/a	n/a	1,350.00	3.0	
	THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	CNC		S	1,192	58.66	n/a	n/a	23.84	2.0
B	BUCK CAPITAL MGMT	CONN		B	10,000	60.55	n/a	n/a	non-brg	4.0	
	THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	CSGP		S	448	181.03	n/a	n/a	8.96	2.0
f	ABRAM M CHAPPELL	FID	DAL	S	155	26.52	23-Oct	23-Oct	0.00	0.0	
	FIRST NY SEC/CHRIS	041	DAL	B	10,000	26.46	23-Oct	23-Oct	500.00	5.0	
	DEPRINCE, RACE & ZOLLO	093	DAN	S	100,000	19.37	n/a	29-Oct	4,000.00	4.0	
	INTERVAL PARTNERS	033	DAN	C	95,000	19.51	n/a	29-Oct	2,850.00	3.0	
	TUDOR INVESTORS	028	DE	B	5,000	82.34	n/a	n/a	150.00	3.0	
	THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	DGI		S	3,396	30.80	n/a	n/a	67.92	2.0
B	BUCK CAPITAL MGMT	DSW		B	10,000	86.22	n/a	n/a	non-brg	4.0	
	THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	DSX		S	4,131	11.64	n/a	n/a	82.62	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.		
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	DW	S	1,431	50.93	n/a	n/a	28.62	2.0	
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	DXCM	S	2,445	29.68	n/a	n/a	48.90	2.0	
<b>B BUCK CAPITAL MGMT</b>		<b>EBAY</b>	<b>B</b>	<b>10,000</b>	<b>52.52</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>	
MOORE CAPITAL	257	EBAY	C	20,000	53.24	n/a	n/a	600.00	3.0	
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	EGP	S	852	63.91	n/a	n/a	17.04	2.0	
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	ELGX	S	2,425	17.53	n/a	n/a	48.50	2.0	
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	ELLI	S	2,434	30.17	n/a	n/a	48.68	2.0	
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	ENV	S	2,483	37.91	n/a	n/a	49.66	2.0	
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	EXAM	S	3,208	27.63	n/a	n/a	64.16	2.0	
TUDOR INVESTORS	028	EXPD	S	5,000	46.50	n/a	11-Oct	150.00	3.0	
PAULSON & CO INC	041	FDX	S	83,800	132.42	16-Oct	16-Oct	3,352.00	4.0	
AH LISANTII	006	FIVE	B	11,235	49.71	n/a	4-Oct	561.75	5.0	
PROSPECTOR PARTNERS LLC	036	FOR	S	10,000	23.22	n/a	n/a	400.00	4.0	
<b>B BUCK CAPITAL MGMT</b>		<b>FRAN</b>	<b>S</b>	<b>40,700</b>	<b>18.08</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>	
<b>B BUCK CAPITAL MGMT</b>		<b>FRAN</b>	<b>S</b>	<b>75,000</b>	<b>18.02</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>	
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	FUL	S	1,577	48.00	n/a	n/a	31.54	2.0	

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	FURX	S	1,531	40.59	n/a	n/a	30.62	2.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>FWM</b>	<b>B</b>	<b>1000</b>	<b>25.03</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GCO</b>	<b>B</b>	<b>20,000</b>	<b>69.03</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SENATOR INVESTMENT GROUP	287	GES	SS	20,739	31.50	n/a	17-Oct	622.17	3.0
BRONSON POINT	036	GE	S	150,000	26.24	n/a	n/a	4,500.00	3.0
<b>f ABRAM M CHAPPELL</b>	<b>FID</b>	<b>GLPW</b>	<b>B</b>	<b>240</b>	<b>20.83</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>GLW</b>	<b>S</b>	<b>200</b>	<b>1.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GME</b>	<b>B</b>	<b>90,000</b>	<b>55.29</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	GME	S	1,663	55.32	n/a	n/a	33.26	2.0
MOORE CAPITAL	257	GM	B	20,000	36.17	n/a	21-Oct	600.00	3.0
ROSEDALE CAPITAL	046	GM	S	20,000	35.92	n/a	21-Oct	800.00	4.0
TUDOR INVESTORS	028	GM	S	15,000	35.91	n/a	21-Oct	450.00	3.0
CAMBIAR CAP	046	GPI	B	72,892	64.13	25-Oct	24-Oct	2,915.68	4.0
CADIAN CAPITAL	041	GPS	SS	14,000	37.53	n/a	n/a	420.00	3.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	GWRE	S	1,536	50.91	n/a	n/a	30.72	2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	GWR	S	630	101.44	n/a	n/a	12.60	2.0
TUDOR INVESTORS	028	GWR	S	5,000	101.27	n/a	n/a	150.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.		
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		HAE		S	1,016	41.26	n/a	n/a	20.32	2.0
SENATOR INVESTMENT GROUP	287	HAL	S	250,000	52.80	n/a	n/a	7,500.00	3.0	
SENATOR INVESTMENT GROUP	287	HAS	B	97,655	53.38	n/a	n/a	2,929.65	3.0	
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		HIMX		S	7,593	10.28	n/a	n/a	151.86	2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		HLS		S	2,868	35.18	n/a	n/a	57.36	2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		HMSY		S	1,711	21.27	n/a	n/a	34.22	2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		HOS		S	740	58.17	n/a	n/a	14.80	2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		HVT		S	1,531	26.16	n/a	n/a	30.62	2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		HXL		S	1,584	42.75	22-Oct	n/a	31.68	2.0
B	BUCK CAPITAL MGMT	ICON	B	10,000	34.30	n/a	n/a	non-brg	4.0	
B	BUCK CAPITAL MGMT	ICON	B	15,000	34.11	n/a	n/a	non-brg	3.0	
B	BUCK CAPITAL MGMT	ICON	B	45,000	34.15	n/a	n/a	non-brg	4.0	
B	BUCK CAPITAL MGMT	ICON	B	7,700	34.09	n/a	n/a	non-brg	4.0	
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		ININ		S	1,335	64.38	n/a	n/a	26.70	2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		IRWD		S	3,740	9.99	n/a	n/a	74.80	2.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		JACK		S	1,917	40.63	n/a	n/a	38.34	2.0
SCOPIA CAPITAL	025	JBLU	S	133,000	7.28	n/a	29-Oct	5,320.00	4.0	

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
WEISS PECK/ROBECO/BOSTON PT		040	JBLU	B	145,040	7.28	n/a	29-Oct	5,801.60	4.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	JLL		S	735	95.75	n/a	n/a	14.70	2.0
<b>B BUCK CAPITAL MGMT</b>		<b>JOSB</b>	<b>C</b>	<b>50,000</b>	<b>49.95</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>	
S.A.C. CAPITAL	044	JWN	B	25,000	60.37	n/a	4-Oct	750.00	3.0	
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE033	KERX		S	9,178	10.75	n/a	n/a	183.56	2.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>LMCA</b>	<b>S</b>	<b>600</b>	<b>150.39</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>	
HERRING CREEK CAPITAL	040	MS	B	29,300	29.21	21-Oct	25-Oct	879.00	3.0	
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>MTOR</b>	<b>B</b>	<b>20000</b>	<b>7.32</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>	
<b>f NILSA VAZQUEZ</b>	<b>FID</b>	<b>MTOR</b>	<b>B</b>	<b>5000</b>	<b>7.28</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>	
<b>B BUCK CAPITAL MGMT</b>		<b>MWV</b>	<b>B</b>	<b>18,000</b>	<b>35.11</b>	<b>n/a</b>	<b>29-Oct</b>	<b>non-brg</b>	<b>4.0</b>	
OSKIE CAPITAL MGMT	224	MWV	S	80,000	36.00	n/a	29-Oct	4,000.00	5.0	
TUDOR INVESTORS	028	MWV	S	10,000	35.26	n/a	29-Oct	300.00	3.0	
CORTEX CAPITAL	031	M	B	45,000	46.13	30-Sep	30-Sep	1,350.00	3.0	
S.A.C. CAPITAL	044	M	B	35,000	46.00	30-Sep	30-Sep	1,050.00	3.0	
<b>Õ Jack Chernus</b>		<b>NG</b>	<b>S</b>	<b>500</b>	<b>9.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>	
BESSEMER INVESTMENT	085	NLSN	S	2,005	39.20	n/a	n/a	80.20	4.0	
BMO / M&I FUNDS	047	ORLY	B	2,110	124.04	n/a	n/a	84.40	4.0	
BESSEMER INVESTMENT	085	PFE	S	3,511	31.29	n/a	n/a	140.44	4.0	

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
IVORY CAPITAL	084	PFE	S	100,000	31.24	n/a	n/a	5,000.00	5.0
<b>f MATTHEW FRANCIS BUCK</b>	<b>FID</b>	<b>PINC</b>	<b>B</b>	<b>300</b>	<b>31.88</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PIR</b>	<b>B</b>	<b>50,000</b>	<b>21.10</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
TUDOR INVESTORS	028	PNR	SS	5,000	67.55	n/a	n/a	150.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>RL</b>	<b>S</b>	<b>10,000</b>	<b>165.45</b>	<b>n/a</b>	<b>17-Oct</b>	<b>non-brg</b>	<b>4.0</b>
ZWEIG FUNDS	006	RYN	B	35,000	47.33	25-Oct	25-Oct	1,750.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>SBUX</b>	<b>B</b>	<b>10,000</b>	<b>79.18</b>	<b>30-Sep</b>	<b>11-Oct</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SIG</b>	<b>B</b>	<b>20,000</b>	<b>75.30</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
T. ROWE PRICE	243	SSD	B	14,492	35.60	n/a	n/a	579.68	4.0
<b>f ABRAM M CHAPPELL</b>	<b>FID</b>	<b>STRM</b>	<b>B</b>	<b>625</b>	<b>8.04</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TUDOR INVESTORS	028	SWK	S	5,000	79.39	n/a	n/a	150.00	3.0
1798 CAP/LOMBARD ASSET	040	SYI	SS	15,000	32.86	n/a	n/a	750.00	5.0
TUDOR INVESTORS	028	TEX	B	10,000	34.86	n/a	n/a	300.00	3.0
BESSEMER INVESTMENT	085	TMO	S	455	98.00	n/a	n/a	18.20	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>TOT</b>	<b>B</b>	<b>1000</b>	<b>62.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NEWLAND CAPITAL MGT	025	TOWR	S	17,300	21.58	n/a	n/a	692.00	4.0



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COHE & STEERS	041	TPH	S	275,647	16.11	n/a	n/a	8,269.41	3.0
TUDOR INVESTORS	028	TRW	B	3,000	75.81	n/a	n/a	90.00	3.0
ASCEND PARTNERS	033	TWI	C	7,970	14.64	n/a	n/a	239.10	3.0
SENATOR INVESTMENT GROUP	287	TYC	B	205,638	36.42	n/a	n/a	6,169.14	3.0
SENATOR INVESTMENT GROUP	287	T	SS	250,000	36.25	n/a	n/a	7,500.00	3.0
FIRST NY SEC/CHRIS	041	UAL	B	10,000	33.37	25-Oct	25-Oct	500.00	5.0
LOMAS CAPITAL	040	UAL	B	183,000	33.70	25-Oct	25-Oct	5,490.00	3.0
BESSEMER INVESTMENT	085	UNP	S	1,245	151.97	n/a	18-Oct	49.80	4.0
TUDOR INVESTORS	028	UNP	B	5,000	151.16	n/a	18-Oct	150.00	3.0
SYMPHONY ASSET	033	URBN	S	31,890	38.20	n/a	n/a	956.70	3.0
RIDGECREST INV MGMT LLC	028	USO	B	20,000	35.43	n/a	n/a	800.00	4.0
BESSEMER INVESTMENT	085	VIAB	S	750	84.67	n/a	n/a	30.00	4.0
BESSEMER INVESTMENT	085	WAG	S	1,390	59.59	n/a	n/a	55.60	4.0
TUDOR INVESTORS	028	WNC	B	10,600	12.40	n/a	25-Oct	318.00	3.0
TUDOR INVESTORS	028	XHB	B	10,000	31.20	n/a	n/a	300.00	3.0

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**TOTAL (Trade Date):**

**132,464.93**

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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	10/28	PALESTRA	044	AMCX	B	10,000	69.75	n/a	n/a	300.00 0.0
AO,CXL	10/28	VISIUM/BALY BOBBY	044	AMCX	B	10,000	69.75	n/a	n/a	300.00 0.0
AO,	10/28	OZ MGMT	040	BA	B	32,646	129.64-2013-10-28-2013-10-28			979.38 0.0
AO,CXL	10/28	OZ MGMT	040	BA	B	32,646	129.64-2013-10-28-2013-10-28			1632.30 0.0
AO,CRT	10/28	FSI GROUP, LLC	047	WETF	B	100,000	14.20	n/a	n/a	4000.00 4.0
AO,CXL	10/28	FSI GROUP, LLC	047	WETF	B	100,000	14.20	n/a	n/a	4999.60 0.0

**TOTAL (AO, CXL, CRT) :****-1,652.52**

TOTAL (Trade Date) :

132,464.93

TOTAL (AO, CXL, CRT) :

-1,652.52

**TOTAL (RUN DATE) / NFS:****130,812.41**

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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MRI Securities with Trade Activity on 29-Oct.  
NONE

MRI Securities without Trade Activity on 29-Oct.  
NONE

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 0%  
YTD = 0%

<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)