



Daily Compliance Activity Report

Trade Date: 10/19/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BACKUS	005	AAI	S	11,000	9.60	n/a	n/a	0.00	0.0
LAGRANGE CAP ADV	048	ABG	B	10,000	18.76	18-Jun	8-Oct	500.00	5.0
MORGAN LEWIS/MLH	046	ABG	B	10,000	18.64	18-Jun	8-Oct	500.00	5.0
GENERAL ELECTIC CO	033	ABT	B	26,819	51.44	n/a	22-Apr	1,072.76	4.0
KEEFE BRUYETTE WOODS A	031	AB	S	4,700	87.80	9-Aug	17-Oct	235.00	5.0
B BUCK CAPITAL MGMT		AEO	B	20,000	22.88	12-Oct	12-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		AEO	B	60,000	22.72	12-Oct	12-Oct	non-brg	4.0
COUGAR TRADING	044	AEO	S	20,000	22.77	12-Oct	12-Oct	1,000.00	5.0
NOMURA CAPITAL	045	ALY	B	2,200	17.29	n/a	n/a	110.00	5.0
SONAR CAP MGMT	039	AMD	S	65,000	13.75	n/a	n/a	3,250.00	5.0
CATAPULT	040	AME	B	9,300	45.44	n/a	n/a	465.00	5.0
MAZAMA CAPITAL MGMT.	035	AMG	S	15,600	129.64	25-Jul	17-Oct	624.00	4.0
J L F ASSET MGMT	039	AMR	S	65,525	23.49	n/a	n/a	2,621.00	4.0
COUGAR TRADING	044	ANF	B	5,000	76.85	2-Oct	12-Oct	250.00	5.0
COUGAR TRADING	044	ANF	SS	5,000	77.85	2-Oct	12-Oct	250.00	5.0
BACKUS	005	ANF	S	500	78.49	2-Oct	12-Oct	0.00	0.0
BUCK	015	ANF	C	600	78.33	2-Oct	12-Oct	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	015	ANN	SS	20,500	33.10	6-Aug	12-Oct	800.00	2.0
BACKUS	005	APC	S	2,000	58.11	22-Jun	15-Oct	0.00	0.0
ROTHSCHILD ASSET	040	ARJ	B	7,400	45.15	n/a	n/a	333.00	4.5
⚡ BUCK CAPITAL MGMT		ARO	B	100,000	20.04	n/a	12-Oct	non-brg	4.0
⚡ BUCK CAPITAL MGMT		ARO	B	180,656	19.86	n/a	12-Oct	non-brg	4.0
⚡ BUCK CAPITAL MGMT		ARO	B	20,000	19.80	n/a	12-Oct	non-brg	1.0
J L F ASSET MGMT	039	ARO	S	51,040	20.26	n/a	12-Oct	2,041.60	4.0
THOMSON HORSTMAN BRYANT	040	ARO	B	42,000	19.88	n/a	12-Oct	2,100.00	5.0
CATAPULT	040	ATVI	B	22,000	22.39	n/a	n/a	880.00	4.0
SUN AMERICA ASSET MGMT	030	BAC	S	532,900	47.96	19-Oct	19-Oct	26,645.00	5.0
UBS OCONNOR	031	BAC	SS	105,000	48.33	19-Oct	19-Oct	3,150.00	3.0
CHILTON CAPITAL MGMT.	036	BEZ	SS	73,900	40.76	n/a	n/a	2,956.00	4.0
J L F ASSET MGMT	039	BGP	S	38,600	15.35	n/a	n/a	1,544.00	4.0
⚡ BUCK CAPITAL MGMT		BHI	S	5,000	92.42	n/a	n/a	non-brg	4.0
LAGRANGE CAP ADV	048	BIG	B	15,000	27.27	n/a	12-Oct	750.00	5.0
PRINCIPLE CAPITAL	040	BIG	SS	43,300	27.44	n/a	12-Oct	1,299.00	3.0
NATIONAL BK OF CAN	031	BSC	B	15,000	117.11	4-Sep	16-Oct	600.00	4.0
BACKUS	005	BTU	S	2,000	51.96	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DSG CAPITAL	225	CBE	SS	5,500	53.73	19-Jul	9-Oct	275.00	5.0
ZOLIDIS	011	CHS	SS	1,000	12.30	12-Oct	12-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	COH	SS	200,000	41.88	15-Oct	15-Oct	8,000.00	4.0
EGS ASSOCIATES LP	091	COH	SS	4,000	41.83	15-Oct	15-Oct	240.00	6.0
BACKUS	005	COV	S	500	40.59	n/a	n/a	0.00	0.0
SINCLAIR	031	CWOKF	B	2	18.00	n/a	n/a	0.00	0.0
PROVIDENT INV COUNSEL	048	CYBS	S	72,700	15.25	n/a	n/a	3,635.00	5.0
NOMURA CAPITAL	045	DAL	S	21,500	19.64	n/a	n/a	1,075.00	5.0
B BUCK CAPITAL MGMT		DFT	S	5,000	22.44	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DIA	SS	50,000	135.90	n/a	n/a	non-brg	1.0
LAGRANGE CAP ADV	048	DIA	B	105,303	135.27	n/a	n/a	5,265.15	5.0
HAYGROUND COE	039	DIS	SS	89,700	34.15	n/a	n/a	4,485.00	5.0
PRINCIPLE CAPITAL	040	DKS	SS	26,000	63.50	n/a	n/a	1,040.00	4.0
B BUCK CAPITAL MGMT		DLTR	SS	50,000	37.82	10-Aug	12-Oct	non-brg	4.0
BARR	096	DSL	SS	800	42.85	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		DSW	B	10,000	23.24	5-Sep	2-Oct	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DEEPHAVEN	031	DTV	B	30,000	25.67	21-Sep	17-Oct	1,500.00	5.0
LEDDY	035	DXD	S	400	48.34	n/a	n/a	0.00	0.0
BACKUS	005	ECMV	S	2,000	25.64	n/a	n/a	0.00	0.0
BUCK	015	ELN	B	1,000	23.00	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ESV	S	5,000	54.91	n/a	n/a	non-brg	4.0
STRATTON	N21	ETFC	B	200	10.73	n/a	n/a	0.00	0.0
NOMURA CAPITAL	045	FCN	S	4,300	54.36	n/a	n/a	215.00	5.0
CHILTON CAPITAL MGMT.	036	FHN	C	25,000	24.45	n/a	n/a	1,000.00	4.0
J L F ASSET MGMT	039	FL	SS	208,600	14.27	22-Aug	4-Sep	8,344.00	4.0
BACKUS	005	FL	S	2,000	14.41	22-Aug	4-Sep	0.00	0.0
B BUCK CAPITAL MGMT		GES	S	20,000	54.05	n/a	n/a	non-brg	4.0
STADIA CAPITAL	035	GIL	S	11,400	42.05	19-Sep	19-Sep	456.00	4.0
DEEPHAVEN	031	GIS	B	10,000	57.17	n/a	n/a	500.00	5.0
BUCK	015	GIS	B	1,000	57.46	n/a	n/a	0.00	0.0
BACKUS	005	GLW	S	1,000	24.99	n/a	16-Oct	0.00	0.0
BALYASNY ASSET MGMT	044	GNTX	SS	1,300	21.03	24-Jul	19-Oct	65.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	GPS	SS	5,000	18.00	n/a	12-Oct	250.00	5.0
DSG CAPITAL	225	GR	SS	4,500	67.02	9-Oct	9-Oct	225.00	5.0
⌘ BUCK CAPITAL MGMT		GSF	S	7,000	77.38	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GYMB	B	45,000	33.50	10-Aug	18-Oct	non-brg	4.0
CATAPULT	040	HNZ	B	43,000	46.23	n/a	n/a	2,150.00	5.0
EFSTATHIOU	044	HONVL	S	10	2.60	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		HP	S	5,000	32.11	n/a	n/a	non-brg	4.0
CATAPULT	040	HRL	B	20,000	37.21	n/a	n/a	1,000.00	5.0
⌘ BUCK CAPITAL MGMT		ICON	S	10,000	19.37	n/a	n/a	non-brg	4.0
BACKUS	005	ICON	S	2,000	19.65	n/a	n/a	0.00	0.0
LUCHANSKY	036	IGT	S	500	42.61	n/a	20-Jul	0.00	0.0
⌘ BUCK CAPITAL MGMT		IKAN	S	40,000	6.08	n/a	n/a	non-brg	2.5
XYLEM GLOBAL	091	IP	B	10,000	35.08	n/a	18-Oct	500.00	5.0
TYEE/TYGH	035	IVZ	B	100,000	27.89	8-Oct	17-Oct	4,000.00	4.0
⌘ BUCK CAPITAL MGMT		JADE	S	445,800	4.23	n/a	n/a	non-brg	3.0
⌘ BUCK CAPITAL MGMT		JCG	S	40,000	39.19	22-Jun	6-Sep	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	JCG	B	5,000	38.98	22-Jun	6-Sep	250.00	5.0
APEX CAPITAL MGMT.	091	JCP	B	325,000	55.72	12-Oct	12-Oct	16,250.00	5.0
BUCK CAPITAL MGMT	001	JCP	B	100,000	57.19	12-Oct	12-Oct	4,000.00	4.0
BENCHMARK	028	JNS	SS	7,500	31.91	19-Oct	19-Oct	375.00	5.0
NATIONAL BK OF CAN	031	JNS	B	20,000	30.67	19-Oct	19-Oct	800.00	4.0
NATIONAL BK OF CAN	031	JNS	SS	20,000	31.07	19-Oct	19-Oct	800.00	4.0
BUCK CAPITAL MGMT	001	JNY	SS	100,000	18.80	n/a	13-Sep	4,000.00	4.0
BUCK CAPITAL MGMT		JOSB	B	150,000	31.26	n/a	n/a	non-brg	4.0
DEEPHAVEN	031	JPM	B	40,000	46.16	19-Oct	19-Oct	2,000.00	5.0
BUCK	015	JWN	SS	800	39.02	12-Oct	12-Oct	0.00	0.0
BUCK	015	KEY	C	1,000	28.94	n/a	n/a	0.00	0.0
CATAPULT	040	KO	B	50,000	59.40	n/a	n/a	2,500.00	5.0
COUGAR TRADING	044	KSS	SS	5,000	54.98	27-Sep	12-Oct	250.00	5.0
J L F ASSET MGMT	039	KSS	SS	80,100	54.98	27-Sep	12-Oct	3,204.00	4.0
BUCK CAPITAL MGMT		LAMR	S	10,000	51.25	n/a	n/a	non-brg	1.0
NATIONAL BK OF CAN	031	LEH	B	10,000	57.09	12-Jun	16-Oct	400.00	4.0
BALYASNY ASSET MGMT	044	LIZ	SS	10,000	29.22	n/a	14-Sep	500.00	5.0
BUCK CAPITAL MGMT	001	LIZ	SS	100,000	28.95	n/a	14-Sep	4,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	LIZ	SS	10,000	29.32	n/a	14-Sep	500.00	5.0
J L F ASSET MGMT	039	LOW	SS	126,100	26.50	n/a	27-Jul	5,044.00	4.0
B BUCK CAPITAL MGMT		LULU	S	12,900	55.53	n/a	n/a	non-brg	1.0
ACT II PARTNERS	067	LVLTT	B	100,000	4.25	6-Sep	17-Oct	4,000.00	4.0
MS PRINCIPAL STRATEGIES	041	MAR	B	50,000	40.36	n/a	n/a	2,500.00	5.0
BACKUS	005	MEE	S	2,000	26.82	n/a	n/a	0.00	0.0
BARR	096	MENT	S	800	16.04	n/a	n/a	0.00	0.0
NOMURA CAPITAL	045	MIR	B	2,100	42.29	n/a	n/a	105.00	5.0
BACKUS	005	MIR	S	1,000	42.53	n/a	n/a	0.00	0.0
GEORGE WEISS	034	MMM	B	10,000	88.33	27-Sep	19-Oct	400.00	4.0
CATAPULT	040	MO	B	43,000	70.84	n/a	n/a	2,150.00	5.0
B BUCK CAPITAL MGMT		MVRX	SS	80,000	167.11	n/a	n/a	non-brg	16.7
B BUCK CAPITAL MGMT		MXT	S	1,000	18.68	n/a	n/a	non-brg	4.0
GALLEON MGMT LP	033	M	B	25,000	30.87	24-Sep	12-Oct	1,250.00	5.0
J L F ASSET MGMT	039	M	SS	125,000	30.31	24-Sep	12-Oct	5,000.00	4.0
LAGRANGE CAP ADV	048	M	B	10,000	30.15	24-Sep	12-Oct	500.00	5.0
PRINCIPLE CAPITAL	040	M	S	620,900	30.46	24-Sep	12-Oct	18,627.00	3.0
STELLIAM INV ADV	040	M	B	25,000	30.99	24-Sep	12-Oct	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		NED	B	1,000	14.00	n/a	n/a	non-brg	0.0
⌘ BUCK CAPITAL MGMT		NED	B	2,000	14.00	n/a	n/a	non-brg	0.0
⌘ BUCK CAPITAL MGMT		NED	S	3,000	21.64	n/a	n/a	non-brg	4.0
BARR	096	NGI	B	9,900	5.00	n/a	n/a	0.00	0.0
BACKUS	005	NLS	S	4,000	5.49	n/a	n/a	0.00	0.0
NOMURA CAPITAL	045	NRG	S	4,200	46.43	n/a	n/a	210.00	5.0
LEDDY	035	NWY	S	2,300	6.24	25-May	18-Oct	0.00	0.0
⌘ BUCK CAPITAL MGMT		OIH	C	65,000	189.25	n/a	n/a	non-brg	1.0
GENERAL ELECTIC CO	033	PBI	S	14,999	45.49	n/a	n/a	599.96	4.0
BACKUS	005	PDC	S	6,000	11.99	n/a	n/a	0.00	0.0
LEDDY	035	PFE	S	300	24.33	n/a	31-Mar	0.00	0.0
CSFB GLOBAL PROPRIETARY	035	PKG	S	13,400	30.68	18-Oct	18-Oct	670.00	5.0
⌘ BUCK CAPITAL MGMT		PSS	B	20,000	18.80	n/a	n/a	non-brg	4.0
J L F ASSET MGMT	039	PSS	SS	60,600	18.11	n/a	n/a	2,424.00	4.0
COUGAR TRADING	044	PVH	B	10,000	46.39	13-Aug	29-Aug	500.00	5.0
SYSTEMATIC FINANCIAL MGT	035	PVH	B	40,650	46.23	13-Aug	29-Aug	1,524.38	3.8
MAGUIRE	039	QID	B	200	36.46	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
⌘ BUCK CAPITAL MGMT		RIG	S	5,000	114.30	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT	001	RL	SS	20,000	68.65	9-Aug	29-Aug	800.00 4.0
COUGAR TRADING	044	RL	SS	5,000	68.68	9-Aug	29-Aug	250.00 5.0
⌘ BUCK CAPITAL MGMT		ROST	SS	20,000	26.91	n/a	n/a	non-brg 4.0
BULL PATH CAPITAL	044	ROST	B	15,000	26.80	n/a	n/a	750.00 5.0
⌘ BUCK CAPITAL MGMT		RTH	SS	73,000	97.32	n/a	n/a	non-brg 2.0
⌚ Alice Longley		SDS	B	600	50.94	n/a	n/a	0.00 0.0
BALYASNY ASSET MGMT	044	SKS	B	20,000	19.56	n/a	n/a	1,000.00 5.0
MS PRINCIPAL STRATEGIES	041	SNDK	B	25,000	45.98	n/a	n/a	1,250.00 5.0
BACKUS	005	SNEN	S	10,000	4.65	n/a	n/a	0.00 0.0
⌘ BUCK CAPITAL MGMT		SPY	SS	50,000	150.89	n/a	n/a	non-brg 1.0
DEEPHAVEN	031	SPY	B	25,000	151.92	n/a	n/a	1,000.00 4.0
DEEPHAVEN	031	SPY	S	25,000	152.25	n/a	n/a	1,000.00 4.0
BACKUS	005	SSI	S	1,125	17.93	3-Aug	12-Oct	0.00 0.0
BACKUS	005	SWN	S	500	46.90	n/a	1-Oct	0.00 0.0
LEDDY	035	SWN	S	300	46.76	n/a	1-Oct	0.00 0.0
⌘ BUCK CAPITAL MGMT		TBL	SS	50,000	18.71	n/a	13-Mar	non-brg 4.0
BACKUS	005	TEL	S	500	36.77	n/a	n/a	0.00 0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAPITAL GROWTH MGMT.	241	TGI	S	50,000	79.51	n/a	n/a	2,500.00	5.0
B BUCK CAPITAL MGMT		TGT	SS	30,000	61.29	n/a	27-Jul	non-brg	4.0
BUCK	015	TGT	S	1,500	62.87	n/a	27-Jul	0.00	0.0
GENERAL ELECTIC CO	033	THQI	B	60,000	24.11	n/a	n/a	2,400.00	4.0
CATAPULT	040	TIF	B	5,000	56.47	18-Oct	18-Oct	250.00	5.0
BACKUS	005	TYC	S	500	43.13	9-Oct	9-Oct	0.00	0.0
DEEPHAVEN	031	T	B	15,000	41.60	21-Sep	17-Oct	750.00	5.0
B BUCK CAPITAL MGMT		URBN	B	50,000	22.01	31-Jul	10-Aug	non-brg	4.0
SINCLAIR	031	VCAU	B	100	0.35	n/a	n/a	0.00	0.0
LAGRANGE CAP ADV	048	VC	B	50,000	5.62	n/a	19-Oct	1,500.00	3.0
TRELLUS PARTNERS LP	028	VC	B	100,000	5.62	n/a	19-Oct	3,000.00	3.0
STRATTON	N21	VC	B	200	5.52	n/a	19-Oct	0.00	0.0
MATTHES CAPITAL MGMT	033	VFC	SS	12,000	83.34	n/a	n/a	600.00	5.0
DEEPHAVEN	031	VZ	B	10,000	44.62	21-Sep	17-Oct	500.00	5.0
SINCLAIR	031	WBWI	S	75	0.95	n/a	n/a	0.00	0.0
CATAPULT	040	WB	B	10,000	47.14	n/a	n/a	500.00	5.0
SUNOVA CAPITAL	031	WDR	SS	75,000	27.32	5-Oct	15-Oct	3,750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		WMT	SS	120,000	45.37	4-Jun	27-Jul	non-brg	4.0
BUCK CAPITAL MGMT		WRNC	S	30,000	38.09	19-Sep	28-Sep	non-brg	4.0
STELLIAM INV ADV	040	WSM	B	7,500	29.37	n/a	n/a	375.00	5.0
XYLEM GLOBAL	091	WY	B	20,000	69.61	21-Sep	18-Oct	1,000.00	5.0
LUCHANSKY	036	YTEC	S	500	14.60	n/a	n/a	0.00	0.0
BUCK	015	ZMH	B	500	80.10	n/a	n/a	0.00	0.0
TOTAL (Trade Date):							207,954.85		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/18	NORTH GROWTH RESEARCH	030	AAWW	S	8,575	56.42	n/a	n/a	343.00 4.0
AO,	10/18	NORTHPOINT	030	AAWW	S	8,575	56.42	n/a	n/a	0.00 0.0
AO,CXL	10/17	ROTHSCHILD ASSET	040	ARJ	B	490	45.13	n/a	n/a	22.05 4.5
AO,CRT	10/17	ROTHSCHILD ASSET	040	ARJ	B	490	45.13	n/a	n/a	22.05 4.5
AO,CRT	10/18	ROTHSCHILD ASSET	040	ARJ	B	240	45.33	n/a	n/a	10.80 4.5
AO,CXL	10/18	ROTHSCHILD ASSET	040	ARJ	B	240	45.33	n/a	n/a	10.80 4.5
AO,CXL	10/18	VENTANA CAPITAL	060	ARO	SS	10,000	20.43	n/a	12-Oct	400.00 4.0
AO,CRT	10/18	VENTANA CAPITAL	060	ARO	SS	10,000	20.43	n/a	12-Oct	400.00 4.0
AO,CXL	10/18	CHILTON CAPITAL MGMT.	036	BEAS	S	58,331	18.25	n/a	3-Apr	2333.24 4.0
AO,CRT	10/18	CHILTON CAPITAL MGMT.	036	BEAS	S	58,331	18.25	n/a	3-Apr	2333.24 4.0
AO,CXL	10/15	BUCK CAPITAL MGMT	001	COH	S	841,100	42.13	15-Oct	15-Oct	33644.00 4.0
AO,CRT	10/15	BUCK CAPITAL MGMT	001	COH	S	840,766	42.13	15-Oct	15-Oct	33630.64 4.0
AO,CRT	10/15	BUCK CAPITAL MGMT	001	COH	S	334	42.13	15-Oct	15-Oct	13.36 4.0
AO,CXL	10/18	COUGAR TRADING	044	JCG	B	5,000	39.99	22-Jun	6-Sep	250.00 5.0
AO,CRT	10/18	COUGAR TRADING	044	JCG	B	10,000	39.99	22-Jun	6-Sep	500.00 5.0
AO,CXL	10/18	BUCK CAPITAL MGMT	001	M	S	10,000	31.25	24-Sep	12-Oct	400.00 4.0
AO,CRT	10/18	BUCK CAPITAL MGMT	001	M	S	10,000	31.25	24-Sep	12-Oct	400.00 4.0
AO,CRT	10/18	CHILTON CAPITAL MGMT.	036	NKTR	S	29,375	6.91	n/a	n/a	1175.00 4.0
AO,CXL	10/18	CHILTON CAPITAL MGMT.	036	NKTR	S	29,375	6.91	n/a	n/a	1175.00 4.0
AO,CXL	10/18	BUCK CAPITAL MGMT	001	PVH	B	10,000	46.28	13-Aug	29-Aug	400.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/18	BUCK CAPITAL MGMT	001	PVH	B	10,000	46.28	13-Aug	29-Aug	400.00 4.0
AO,	10/18	WLBA	031	RX	S	12,425	22.73	n/a	n/a	497.00 4.0
AO,	10/18	WILLIAM BLAIR	031	RX	S	587,950	22.73	n/a	n/a	23518.00 4.0
AO,CXL	10/18	STELLIAM INV ADV	040	WSM	B	10,000	29.85	n/a	n/a	500.00 5.0
AO,CRT	10/18	STELLIAM INV ADV	040	WSM	B	10,000	29.85	n/a	n/a	500.00 5.0

TOTAL (AO, CXL, CRT) : **23,922.00**

TOTAL (Trade Date) : 207,954.85

TOTAL (AO, CXL, CRT) : 23,922.00

TOTAL (RUN DATE) / NFS: **231,876.85**

MRI Securities with Trade Activity on 19-Oct.

BAC, JNS, JPM

MRI Securities without Trade Activity on 19-Oct.

BK, TROW

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

T-Date = 23%

YTD = 17%

Legend:

Õ: Employee Trades in Outside Accounts

ß: Non-BRG BCM Trades

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