



# Daily Compliance Activity Report

Trade Date: 10/14/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>AAP</b>	<b>SS</b>	<b>40,000</b>	<b>38.94</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
TRUSTCO/SUNTRUST	040	ABG	B	23,455	13.96	n/a	n/a	914.75	3.9
<b>B BUCK CAPITAL MGMT</b>		<b>AEO</b>	<b>S</b>	<b>230,000</b>	<b>19.00</b>	<b>n/a</b>	<b>9-Oct</b>	<b>non-brg</b>	<b>4.0</b>
FRIESS MGMT	033	AEO	B	245,000	19.07	n/a	9-Oct	9,800.00	4.0
SIGMA CAPITAL ASSOCIATES	041	AEO	S	25,000	18.92	n/a	9-Oct	1,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>AGCO</b>	<b>B</b>	<b>20,000</b>	<b>26.74</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
EXIS CAPITAL	044	AMR	S	25,000	8.09	n/a	n/a	1,250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>AM</b>	<b>B</b>	<b>20,000</b>	<b>23.86</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ANF</b>	<b>B</b>	<b>30,000</b>	<b>36.80</b>	<b>n/a</b>	<b>9-Oct</b>	<b>non-brg</b>	<b>4.0</b>
SCHOTTENFELD ASSOC	041	AN	B	10,000	19.44	n/a	n/a	300.00	3.0
US BANCORP	030	APH	B	139,169	40.35	n/a	n/a	6,958.45	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>ARO</b>	<b>B</b>	<b>20,000</b>	<b>42.08</b>	<b>n/a</b>	<b>9-Oct</b>	<b>non-brg</b>	<b>4.0</b>
EXIS CAPITAL	044	ARO	B	10,000	42.19	n/a	9-Oct	500.00	5.0
HOLLIS CAPITAL	033	AVAV	B	7,000	28.31	n/a	n/a	350.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>AXL</b>	<b>B</b>	<b>150,000</b>	<b>6.71</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
COOPER CREEK PART	028	AXL	S	25,000	6.70	n/a	n/a	750.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PROSPECTOR PARTNERS LLC	036	AYE	B	10,000	25.48	n/a	n/a	400.00	4.0
RBC CAPITAL MARKETS	040	AZO	SS	2,500	144.91	n/a	n/a	100.00	4.0
HARBORWATCH/DIAMBACK	232	BA	SS	25,000	52.34	n/a	12-Oct	1,250.00	5.0
EXIS CAPITAL	044	BBY	B	5,000	39.99	n/a	n/a	250.00	5.0
<b>f FRANCIS MICHAEL MCCA</b>	<b>FID</b>	<b>BBY</b>	<b>B</b>	<b>200</b>	<b>40.59</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BID</b>	<b>SS</b>	<b>60,000</b>	<b>18.78</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BJ</b>	<b>SS</b>	<b>30,000</b>	<b>35.95</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BK</b>	<b>B</b>	<b>20,000</b>	<b>27.60</b>	<b>n/a</b>	<b>6-Oct</b>	<b>non-brg</b>	<b>0.8</b>
CAMBIAR CAP	046	BK	B	45,880	27.62	n/a	6-Oct	1,835.20	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>BONT</b>	<b>B</b>	<b>20,000</b>	<b>8.31</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>BWA</b>	<b>B</b>	<b>5000</b>	<b>32.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BYI</b>	<b>B</b>	<b>20,000</b>	<b>42.42</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
FORD FDN.	032	CEPH	B	45,000	54.28	n/a	12-Oct	2,250.00	5.0
<b>f CICILY S BACKUS</b>	<b>FID</b>	<b>CHCG</b>	<b>S</b>	<b>10000</b>	<b>0.84</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>CLUB</b>	<b>B</b>	<b>5400</b>	<b>2.94</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>CNO</b>	<b>S</b>	<b>800</b>	<b>6.23</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.	
BUCK CAPITAL MGMT		COCO	SS	30,000	17.33	n/a	n/a	non-brg	4.0
JOHN MICHAEL ZOLIDIS	FID	COH	B	400	34.75	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		COST	SS	20,000	58.87	n/a	n/a	non-brg	4.0
CHRISTOPHER ROBERT B	FID	CSR	B	3000	6.80	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		DBRN	B	40,000	18.94	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		DECK	S	5,000	87.03	n/a	n/a	non-brg	0.8
EXIS CAPITAL	044	DECK	SS	5,000	86.00	n/a	n/a	250.00	5.0
PRINCIPLE CAPITAL	040	DIS	B	14,300	28.56	n/a	n/a	429.00	3.0
PRINCIPLE CAPITAL	040	DIS	SS	14,300	28.63	n/a	n/a	429.00	3.0
BUCK CAPITAL MGMT	001	DKS	B	90,000	25.08	n/a	n/a	3,600.00	4.0
BUCK CAPITAL MGMT		DPZ	B	30,000	8.59	n/a	n/a	non-brg	3.0
SIGMA CAPITAL ASSOCIATES	041	DPZ	SS	25,000	8.40	n/a	n/a	1,000.00	4.0
BUCK CAPITAL MGMT		DRI	B	30,000	33.18	n/a	2-Oct	non-brg	4.0
BUCK CAPITAL MGMT		EAT	B	30,000	15.68	n/a	n/a	non-brg	4.0
EDWARD W WHEELER	FID	FFEX	B	4000	3.32	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	FL	B	50,000	11.72	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT		FL	B	60,000	11.73	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DELTEC ASSET MGMT.	040	FL	B	30,000	11.68	n/a	n/a	1,500.00	5.0
BUCK CAPITAL MGMT	001	FO	B	30,000	43.62	n/a	n/a	1,200.00	4.0
f CHRISTOPHER ROBERT C	FID	FSHOX	S	140	29.29	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	FSIXX	S	605500	1.00	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		GIL	B	20,000	19.94	n/a	n/a	non-brg	4.0
f MANNY I KORMAN	FID	GLW	B	13000	15.87	n/a	n/a	0.00	0.0
DIAMONDBACK CAP MGMT	232	GS	S	5,000	191.05	n/a	6-Oct	250.00	5.0
COOPER CREEK PART	028	HAR	SS	5,000	36.74	n/a	n/a	200.00	4.0
FRIESS MGMT	033	HCBK	S	738,900	13.26	n/a	n/a	29,556.00	4.0
ROSEDALE CAPITAL	046	HCBK	B	30,000	13.21	n/a	n/a	1,500.00	5.0
NEUBERGER BERMAN	036	HGG	B	56,600	18.65	n/a	n/a	2,547.00	4.5
B BUCK CAPITAL MGMT		HOT	C	80,000	34.84	n/a	n/a	non-brg	4.0
EXIS CAPITAL	044	INTC	B	25,000	21.02	n/a	n/a	1,250.00	5.0
BMO NESBITT BURNS	041	IP	SS	50,000	24.18	n/a	12-Oct	2,500.00	5.0
EXIS CAPITAL	044	JCG	SS	5,000	38.36	n/a	n/a	250.00	5.0
f HARALAMBOS EFSTATHI	FID	JCIJE	S	20	1.96	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	JOSEPH CIRO AMATURO	FID	JCIJE	S	100	1.90	n/a	n/a	0.00	0.0
f	MARC PAUL LUCHANSKY	FID	JCIJE	S	25	1.96	n/a	n/a	0.00	0.0
f	JOSEPH CIRO AMATURO	FID	JCI	S	10000	26.91	n/a	14-Oct	0.00	0.0
	EGS ASSOCIATES LP	091	JNY	B	3,000	19.38	n/a	n/a	180.00	6.0
B	BUCK CAPITAL MGMT		JOSB	B	10,000	44.97	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		JWN	B	130,000	34.61	n/a	9-Oct	non-brg	4.0
	LATEFF MGMT	035	JWN	S	1,625	34.30	n/a	9-Oct	325.00	20.0
f	CICILY S BACKUS	FID	KG	S	1000	11.11	n/a	12-Oct	0.00	0.0
B	BUCK CAPITAL MGMT		KMT	B	25,000	24.92	n/a	n/a	non-brg	4.0
	CIRCLE T/SES PART	035	LIZ	S	50,000	6.92	n/a	7-Oct	2,000.00	4.0
f	DAVID GEORGE BUCK	FID	LJJVR	B	40	0.44	n/a	n/a	0.00	0.0
f	MANNY I KORMAN	FID	LNCR	B	3000	31.03	n/a	n/a	0.00	0.0
	DIAMONDBACK CAP MGMT	232	LOW	S	25,000	21.78	n/a	n/a	1,250.00	5.0
f	JOSEPH CIRO AMATURO	FID	LVS	S	10000	17.98	n/a	n/a	0.00	0.0
	TRELLUS PARTNERS LP	028	LVS	S	50,000	18.19	n/a	n/a	2,500.00	5.0
	PROSPECTOR PARTNERS LLC	036	L	B	10,000	35.59	n/a	n/a	400.00	4.0
	NICOLAS APPELEGATE	048	MCGC	B	17,500	4.89	n/a	n/a	525.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	216	MEI	B	5,000	8.91	n/a	n/a	250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>MGM</b>	<b>SS</b>	<b>20,000</b>	<b>12.11</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
STERLING JOHNSTON	035	MIDD	S	11,500	53.01	n/a	n/a	460.00	4.0
HUNTER GLOBAL INVESTOR	067	MMM	B	131,500	76.51	n/a	n/a	5,260.00	4.0
DIAMONDBACK CAP MGMT	232	MS	SS	10,000	31.81	n/a	6-Oct	500.00	5.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>MS</b>	<b>B</b>	<b>4000</b>	<b>32.78</b>	<b>n/a</b>	<b>6-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>MTW</b>	<b>B</b>	<b>300</b>	<b>10.65</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CAERUS GLOBAL	041	MW	B	10,000	25.81	n/a	n/a	400.00	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>MYRX</b>	<b>S</b>	<b>4000</b>	<b>6.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>M</b>	<b>B</b>	<b>30,000</b>	<b>20.25</b>	<b>n/a</b>	<b>9-Oct</b>	<b>non-brg</b>	<b>4.0</b>
CAERUS GLOBAL	041	M	B	8,520	20.56	n/a	9-Oct	340.80	4.0
EXIS CAPITAL	044	M	S	10,000	20.26	n/a	9-Oct	500.00	5.0
<b>f FRANCIS MICHAEL MCCA</b>	<b>FID</b>	<b>M</b>	<b>B</b>	<b>300</b>	<b>20.45</b>	<b>n/a</b>	<b>9-Oct</b>	<b>0.00</b>	<b>0.0</b>
KACELA CAPITAL	034	M	B	65,000	20.36	n/a	9-Oct	2,600.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>NP</b>	<b>S</b>	<b>1,284</b>	<b>12.10</b>	<b>n/a</b>	<b>12-Oct</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>NP</b>	<b>S</b>	<b>100</b>	<b>12.10</b>	<b>n/a</b>	<b>12-Oct</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>NP</b>	<b>S</b>	<b>100</b>	<b>12.10</b>	<b>n/a</b>	<b>12-Oct</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>NP</b>	<b>S</b>	<b>200</b>	<b>12.10</b>	<b>n/a</b>	<b>12-Oct</b>	<b>non-brg</b>	<b>0.8</b>
CAERUS GLOBAL	041	ORLY	B	10,000	35.25	n/a	n/a	400.00	4.0

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ACK ASSET	028	PAG	B	13,800	16.19	n/a	n/a	414.00	3.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>PAG</b>	<b>B</b>	<b>10000</b>	<b>16.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SCHOTTENFELD ASSOC	041	PAG	B	25,000	16.22	n/a	n/a	750.00	3.0
HUNTER GLOBAL INVESTOR	067	PEP	S	45,000	61.38	n/a	n/a	2,250.00	5.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>PFE</b>	<b>B</b>	<b>2000</b>	<b>17.22</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>4.92</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
MILLENIUM PARTNERS	028	PKG	SS	23,000	21.22	n/a	12-Oct	920.00	4.0
SUN AMERICA ASSET MGMT	030	PMCS	B	25,000	9.86	n/a	n/a	1,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>PNRA</b>	<b>B</b>	<b>10,000</b>	<b>55.24</b>	<b>n/a</b>	<b>2-Oct</b>	<b>non-brg</b>	<b>4.0</b>
<b>f CICYLY S BACKUS</b>	<b>FID</b>	<b>PRGO</b>	<b>S</b>	<b>1000</b>	<b>37.52</b>	<b>n/a</b>	<b>12-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>PZA</b>	<b>B</b>	<b>7500</b>	<b>23.91</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
HUNTER GLOBAL INVESTOR	067	QCOM	SS	200,000	41.82	n/a	n/a	8,000.00	4.0
IRIDIAN ASSET MGMT.	036	QCOM	B	97,860	41.85	n/a	n/a	4,893.00	5.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>QQQQ</b>	<b>S</b>	<b>100</b>	<b>43.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f CHRISTOPHER ROBERT B</b>	<b>FID</b>	<b>RF</b>	<b>B</b>	<b>3000</b>	<b>5.99</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f CICYLY S BACKUS</b>	<b>FID</b>	<b>RF</b>	<b>B</b>	<b>1000</b>	<b>5.99</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f CICYLY S BACKUS</b>	<b>FID</b>	<b>RF</b>	<b>B</b>	<b>5000</b>	<b>5.99</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MELISSA LEE BACKUS</b>	<b>FID</b>	<b>RF</b>	<b>B</b>	<b>2000</b>	<b>5.99</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

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EXIS CAPITAL	044	ROST	SS	2,500	46.18	n/a	n/a	125.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>RSH</b>	<b>SS</b>	<b>20,000</b>	<b>15.99</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>RTH</b>	<b>C</b>	<b>90,000</b>	<b>92.00</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
ROYCE TRADING	216	RT	B	10,000	8.53	n/a	n/a	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>SBUX</b>	<b>C</b>	<b>50,000</b>	<b>20.49</b>	<b>n/a</b>	<b>2-Oct</b>	<b>non-brg</b>	<b>4.0</b>
EXIS CAPITAL	044	SKS	B	10,000	6.47	n/a	n/a	500.00	5.0
LAGRANGE CAP ADV	048	SKS	B	10,000	6.39	n/a	n/a	500.00	5.0
ROYCE TRADING	216	SKS	B	27,500	6.46	n/a	n/a	1,375.00	5.0
FRONTIER	039	SMTG	B	150,000	17.38	n/a	n/a	6,000.00	4.0
ARMATURE CAPITAL	041	SOA	B	25,000	12.54	n/a	n/a	1,000.00	4.0
KENNEDY CAPITAL	046	SOA	S	50,000	12.50	n/a	n/a	2,000.00	4.0
ROYCE TRADING	216	SOA	S	2,500	12.29	n/a	n/a	125.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>SPLS</b>	<b>SS</b>	<b>20,000</b>	<b>23.23</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SUN AMERICA ASSET MGMT	030	STJ	B	15,700	32.97	n/a	n/a	628.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>STT</b>	<b>B</b>	<b>12,000</b>	<b>52.71</b>	<b>n/a</b>	<b>6-Oct</b>	<b>non-brg</b>	<b>0.8</b>
SANDLER O'NEILL ASSET	031	STT	S	11,400	54.01	n/a	6-Oct	570.00	5.0
BMO NESBITT BURNS	041	TIN	SS	25,000	17.21	n/a	12-Oct	1,250.00	5.0
ROYCE TRADING	216	TLB	S	5,300	11.70	n/a	n/a	265.00	5.0



Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	TROW	B	50,000	46.42	n/a	6-Oct	2,500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>TSCO</b>	<b>SS</b>	<b>20,000</b>	<b>52.56</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>TWB</b>	<b>B</b>	<b>20,000</b>	<b>8.84</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>T</b>	<b>B</b>	<b>5000</b>	<b>25.84</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>UA</b>	<b>C</b>	<b>50,000</b>	<b>29.87</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>URBN</b>	<b>B</b>	<b>30,000</b>	<b>31.80</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
STADIA CAPITAL	035	URBN	S	15,700	32.35	n/a	n/a	628.00	4.0
ROYCE TRADING	216	VSH	B	7,000	8.01	n/a	n/a	350.00	5.0
MAIRS AND POWER INV	030	WFC	S	20,000	30.89	n/a	n/a	1,000.00	5.0
ROYCE TRADING	216	WFR	B	10,000	15.81	n/a	n/a	500.00	5.0
US BANCORP	030	WMT	S	283,670	50.21	n/a	6-Oct	14,183.50	5.0
EGS ASSOCIATES LP	091	WRC	B	5,000	44.30	n/a	2-Oct	300.00	6.0
<b>f JOHN PATRICK DAVEY</b>	<b>FID</b>	<b>WYNN</b>	<b>S</b>	<b>200</b>	<b>67.05</b>	<b>n/a</b>	<b>8-Oct</b>	<b>0.00</b>	<b>0.0</b>
BMO NESBITT BURNS	041	WY	SS	50,000	38.82	n/a	12-Oct	2,500.00	5.0
COHE & STEERS	091	WY	B	195,998	38.78	n/a	12-Oct	7,839.92	4.0
STRAUSS ASSET MGMT	040	WY	B	5,000	38.22	n/a	12-Oct	200.00	4.0
ROTHSCHILD ASSET	040	XL	B	42,751	17.96	n/a	n/a	1,923.81	4.5

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**TOTAL (Trade Date):**

**159,250.43**

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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	10/13	JP MORGAN VENTURES	046	ANF	SS	10,000	36.21	n/a	9-Oct	500.00 5.0
AO,CXL	10/13	JP MORGAN VENTURES	046	ANF	SS	10,000	36.21	n/a	9-Oct	0.00 0.0
AO,CXL	10/13	MAIRS AND POWER INV	030	PRXI	B	276	1.58	n/a	n/a	13.80 5.0
AO,CXL	10/13	MAIRS AND POWER INV	030	PRXI	S	27,900	1.61	n/a	n/a	837.00 3.0
AO,CRT	10/13	MARINER/TRICADIA	041	PRXI	B	276	1.58	n/a	n/a	8.28 3.0
AO,CRT	10/13	MARINER/TRICADIA	041	PRXI	S	25,416	1.61	n/a	n/a	762.48 3.0
AO,CRT	10/13	MARINER/TRICADIA	041	PRXI	S	2,484	1.61	n/a	n/a	74.52 3.0
AO,	10/13	LISTED ERR	097	RKT	S	4,900	49.00	n/a	n/a	0.00 0.0
AO,CXL	10/09	CSFB GLOBAL PROPRIETARY	041	TIN	B	30,000	16.13	n/a	12-Oct	1500.00 5.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-1,005.52</b>
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TOTAL (Trade Date) :	159,250.43
TOTAL (AO, CXL, CRT) :	-1,005.52

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>158,244.91</b>
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MRI Securities with Trade Activity on 14-Oct. NONE
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MRI Securities without Trade Activity on 14-Oct.

CL

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

T-Date = 11%

YTD = 21%

**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)**