



## Daily Compliance Activity Report

Trade Date: 10/16/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DEEPHAVEN	031	AA	B	25,000	37.33	n/a	n/a	1,250.00	5.0
ROARING BLUE LION MGMT	012	AB	S	10,550	86.99	9-Aug	12-Oct	422.00	4.0
DAVID J GREEN & CO	040	ACCL	S	7,500	7.11	n/a	n/a	300.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AEO</b>	<b>B</b>	<b>40,000</b>	<b>23.71</b>	<b>12-Oct</b>	<b>12-Oct</b>	<b>1,600.00</b>	<b>4.0</b>
COUGAR TRADING	044	AEO	S	25,000	23.67	12-Oct	12-Oct	1,250.00	5.0
FORSTMAN/AG CAP	250	ALTR	S	21,500	23.51	n/a	n/a	1,075.00	5.0
WILLOW CREEK	033	ALU	SS	10,000	9.34	n/a	n/a	400.00	4.0
COUGAR TRADING	044	ANF	B	10,000	81.42	2-Oct	12-Oct	500.00	5.0
COUGAR TRADING	044	ANF	SS	5,000	79.57	2-Oct	12-Oct	250.00	5.0
COUGAR TRADING	044	ANN	S	5,000	33.31	6-Aug	12-Oct	250.00	5.0
COUGAR TRADING	044	ARO	S	5,000	20.71	n/a	12-Oct	250.00	5.0
J L F ASSET MGMT	039	ARO	S	39,760	20.68	n/a	12-Oct	1,590.40	4.0
BENCHMARK	028	ASD	SS	12,000	34.27	9-Oct	9-Oct	600.00	5.0
<b>Philip Franz</b>		<b>ASD</b>	<b>S</b>	<b>200</b>	<b>34.27</b>	<b>9-Oct</b>	<b>9-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>LEDDY</b>	<b>035</b>	<b>AXE</b>	<b>S</b>	<b>300</b>	<b>83.07</b>	<b>9-Oct</b>	<b>9-Oct</b>	<b>0.00</b>	<b>0.0</b>
CHILTON CAPITAL MGMT.	036	BEC	C	35,627	74.01	n/a	n/a	1,425.08	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>BHI</b>	<b>S</b>	<b>5,000</b>	<b>98.91</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
CAPITAL GROWTH MGMT.	241	BHI	B	70,000	99.98	n/a	n/a	3,500.00	5.0
MUHLENKAMP FUND	046	BHP	S	21,100	82.61	n/a	n/a	1,055.00	5.0
BELMONT GLOBAL ADV	248	BIG	SS	20,000	27.90	n/a	12-Oct	1,000.00	5.0
PRINCIPLE CAPITAL	040	BIG	SS	32,400	28.29	n/a	12-Oct	972.00	3.0
PHILADELPHIA FINANCIAL	033	BLK	S	12,147	182.63	18-Jul	12-Oct	607.35	5.0
WASHINGTON ASSET	048	CAT	S	6,000	78.00	n/a	n/a	300.00	5.0
MAIRS AND POWER INV	030	CEN	S	20,000	35.41	n/a	n/a	1,200.00	6.0
SANDLER O'NEILL ASSET	031	CLMS	S	19,100	30.10	29-May	15-Oct	955.00	5.0
<b>MKT MAKER</b>	<b>099</b>	<b>CLMS</b>	<b>B</b>	<b>641</b>	<b>30.24</b>	<b>29-May</b>	<b>15-Oct</b>	<b>0.00</b>	<b>0.0</b>
DAVIS SELECT ADV	040	CMCSK	B	495,000	24.02	n/a	n/a	14,850.00	3.0
DAVID J GREEN & CO	040	CNST	S	3,400	3.47	n/a	n/a	102.00	3.0
ARIENCE CAPITAL	036	COH	SS	51,100	41.73	15-Oct	15-Oct	2,555.00	5.0
ASCEND PARTNERS	033	COH	SS	25,000	41.78	15-Oct	15-Oct	1,250.00	5.0
<b>WHEELER</b>	<b>008</b>	<b>CPNLQ</b>	<b>S</b>	<b>35,000</b>	<b>1.65</b>	<b>n/a</b>	<b>29-Jun</b>	<b>0.00</b>	<b>0.0</b>
THIRD COAST CAPITAL	035	CTSH	SS	10,000	80.30	n/a	n/a	500.00	5.0
MUHLENKAMP FUND	046	C	S	200,000	45.11	n/a	16-Oct	10,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>DIA</b>	<b>SS</b>	<b>55,000</b>	<b>139.56</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
LAGRANGE CAP ADV	048	DISH	SS	10,000	51.48	4-Oct	4-Oct	500.00	5.0
U.S.TRUST COMPANY	012	DISH	S	25,000	49.62	4-Oct	4-Oct	1,125.00	4.5
<b>STRATTON</b>	<b>N21</b>	<b>DLIA</b>	<b>B</b>	<b>300</b>	<b>4.26</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>DRI</b>	<b>SS</b>	<b>10,000</b>	<b>42.70</b>	<b>n/a</b>	<b>24-Apr</b>	<b>400.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DSW</b>	<b>B</b>	<b>10,000</b>	<b>23.92</b>	<b>5-Sep</b>	<b>2-Oct</b>	<b>400.00</b>	<b>4.0</b>
<b>LEDDY</b>	<b>035</b>	<b>EDA</b>	<b>S</b>	<b>2,000</b>	<b>11.95</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TROUBH PART	067	EMC	B	35,000	22.38	n/a	n/a	1,750.00	5.0
GARD	028	EMR	S	2,300	52.66	n/a	n/a	115.00	5.0
GLAM	028	EMR	S	29,650	52.66	n/a	n/a	1,482.50	5.0
<b>LEDDY</b>	<b>035</b>	<b>FBR</b>	<b>S</b>	<b>200</b>	<b>4.62</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BALYASNY ASSET MGMT	044	FDO	SS	10,000	26.36	9-Aug	12-Oct	500.00	5.0
SAGE ASSET MGMT	012	FHN	SS	206,500	24.65	n/a	n/a	10,325.00	5.0
APEX CAPITAL MGMT.	091	FL	SS	74,700	14.91	22-Aug	4-Sep	3,735.00	5.0
REINHART & MAHONEY	031	FSP	S	3,840	17.03	n/a	n/a	192.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>S</b>	<b>10,000</b>	<b>53.98</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WILLOW CREEK	033	GES	SS	5,000	53.81	n/a	n/a	200.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>GIII</b>	<b>S</b>	<b>10,000</b>	<b>20.05</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
WILLOW CREEK	033	GLBL	SS	5,000	25.50	n/a	n/a	200.00	4.0
MUHLENKAMP FUND	046	GLW	B	100,000	25.28	n/a	16-Oct	5,000.00	5.0
FRIESS MGMT	042	GME	S	97,600	58.17	n/a	n/a	4,392.00	4.5
<b>BARR</b>	<b>096</b>	<b>GNSM</b>	<b>B</b>	<b>9,900</b>	<b>2.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GSF</b>	<b>S</b>	<b>5,000</b>	<b>77.27</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
LAGRANGE CAP ADV	048	GS	B	5,000	225.34	21-Sep	16-Oct	250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>GYMB</b>	<b>B</b>	<b>15,000</b>	<b>35.77</b>	<b>10-Aug</b>	<b>12-Oct</b>	<b>non-brg</b>	<b>4.0</b>
WILLOW CREEK	033	HBI	SS	5,000	27.60	n/a	n/a	200.00	4.0
ACT II PARTNERS	067	HHH	SS	65,000	65.08	n/a	n/a	3,250.00	5.0
PRINCIPLE CAPITAL	040	HUBG	SS	65,000	29.94	n/a	n/a	1,950.00	3.0
ACT II PARTNERS	067	IAR	SS	25,000	31.36	n/a	n/a	1,250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>IKAN</b>	<b>S</b>	<b>50,000</b>	<b>6.10</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>BUCK</b>	<b>015</b>	<b>INFY</b>	<b>S</b>	<b>1,300</b>	<b>48.97</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>INTC</b>	<b>C</b>	<b>200,000</b>	<b>26.80</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		INTC	SS	100,000	25.58	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		INTC	SS	100,000	25.60	n/a	n/a	non-brg	4.0
J L F ASSET MGMT	039	INTC	B	586,000	25.55	n/a	n/a	23,440.00	4.0
WHEELER	008	INTC	S	5,000	25.68	n/a	n/a	0.00	0.0
PHILADELPHIA FINANCIAL	033	IVZ	B	43,795	28.45	8-Oct	12-Oct	2,189.75	5.0
TYEE/TYGH	035	IVZ	B	75,000	28.48	8-Oct	12-Oct	3,000.00	4.0
GASNER	025	IYTOR	B	1	8.30	n/a	n/a	0.00	0.0
COUGAR TRADING	044	JCG	B	5,000	43.24	22-Jun	6-Sep	250.00	5.0
COUGAR TRADING	044	JCG	SS	10,000	42.98	22-Jun	6-Sep	500.00	5.0
SENTINAL CAPITAL	067	JCI	B	3,000	42.25	2-Oct	10-Oct	150.00	5.0
BUCK CAPITAL MGMT	001	JCP	B	5,000	59.04	12-Oct	12-Oct	200.00	4.0
⌘ BUCK CAPITAL MGMT		JOSB	B	15,000	33.56	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	JWN	B	25,000	41.07	12-Oct	12-Oct	1,000.00	4.0
DAVID J GREEN & CO	040	KEYN	S	3,600	14.21	n/a	n/a	144.00	4.0
COUGAR TRADING	044	KSS	S	15,000	57.49	27-Sep	12-Oct	750.00	5.0
LISTED ERR	099	KSS	B	5,000	57.28	27-Sep	12-Oct	0.00	0.0
LISTED ERR	099	KSS	SS	5,000	57.28	27-Sep	12-Oct	0.00	0.0
OGORMAN	146	LEH	S	900	60.48	12-Jun	16-Oct	0.00	0.0
SUNOVA CAPITAL	031	LM	S	25,000	82.60	12-Oct	12-Oct	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>LTD</b>	<b>C</b>	<b>20,000</b>	<b>21.85</b>	<b>16-May</b>	<b>12-Oct</b>	<b>non-brg</b>	<b>4.0</b>
MS PRINCIPAL STRATEGIES	041	MAR	B	25,000	40.88	n/a	n/a	1,250.00	5.0
MS PRINCIPAL STRATEGIES	041	MAR	S	37,300	42.77	n/a	n/a	1,865.00	5.0
FORSTMAN/AG CAP	250	MCHP	S	14,590	31.77	n/a	n/a	729.50	5.0
<b>BUCK</b>	<b>015</b>	<b>MON</b>	<b>B</b>	<b>600</b>	<b>90.02</b>	<b>n/a</b>	<b>11-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK</b>	<b>015</b>	<b>MOXM</b>	<b>B</b>	<b>8</b>	<b>0.59</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>KAICHER</b>	<b>064</b>	<b>MVL</b>	<b>B</b>	<b>17</b>	<b>24.24</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>MW</b>	<b>B</b>	<b>10,000</b>	<b>41.00</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
DAVID J GREEN & CO	040	MXWL	S	800	11.30	n/a	n/a	32.00	4.0
<b>LEDDY</b>	<b>035</b>	<b>MZZ</b>	<b>S</b>	<b>600</b>	<b>50.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DAVID J GREEN & CO	040	MZ	S	900	8.11	n/a	n/a	36.00	4.0
BALYASNY ASSET MGMT	044	M	S	10,000	31.70	24-Sep	12-Oct	500.00	5.0
EGS ASSOCIATES LP	091	M	B	3,000	31.19	24-Sep	12-Oct	180.00	6.0
PEREGRINE	030	NDN	B	131,300	10.80	13-Aug	12-Oct	5,485.00	3.0
BARROW HANLEY MEWHINNEY	031	NOK	S	94,800	35.33	n/a	n/a	3,792.00	4.0
WILLOW CREEK	033	NSIT	SS	10,000	25.86	n/a	n/a	400.00	4.0

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S.A.C. CAPITAL MGMT.	044	NX	S	15,000	44.23	n/a	n/a	750.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>OIH</b>	<b>SS</b>	<b>15,000</b>	<b>200.27</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>OIH</b>	<b>SS</b>	<b>5,000</b>	<b>199.50</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
XYLEM GLOBAL	091	OI	B	10,000	41.96	n/a	n/a	500.00	5.0
<b>BARR</b>	<b>096</b>	<b>OPLK</b>	<b>SS</b>	<b>800</b>	<b>14.12</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DAVID J GREEN & CO	040	ORCT	S	2,800	8.50	n/a	n/a	112.00	4.0
CATAPULT	040	PBCT	B	15,000	17.36	n/a	n/a	750.00	5.0
DAVID J GREEN & CO	040	PCOP	S	3,900	5.89	n/a	n/a	156.00	4.0
CSFB GLOBAL PROPRIETARY	035	PKG	B	70,000	30.02	n/a	21-Sep	3,500.00	5.0
SCOPUS FUND	041	PKG	B	49,600	30.10	n/a	21-Sep	2,480.00	5.0
MONA	041	PKG	B	5,000	29.68	n/a	21-Sep	250.00	5.0
MONA	041	PKG	S	5,000	30.45	n/a	21-Sep	250.00	5.0
<b>STRATTON</b>	<b>N21</b>	<b>PRXI</b>	<b>B</b>	<b>100</b>	<b>13.14</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>PSS</b>	<b>B</b>	<b>20,000</b>	<b>19.03</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
BULL PATH CAPITAL	044	PSUN	B	50,000	16.10	n/a	12-Oct	2,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>B</b>	<b>5,000</b>	<b>48.62</b>	<b>13-Aug</b>	<b>29-Aug</b>	<b>200.00</b>	<b>4.0</b>
EGS ASSOCIATES LP	091	PVH	B	4,000	48.78	13-Aug	29-Aug	240.00	6.0
MILLENIUM PARTNERS	028	PWAV	B	20,000	5.94	n/a	n/a	800.00	4.0

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EMP ERROR	099	PXD	S	250	48.39	n/a	11-Oct	0.00	0.0
FIRST NEW YORK LEDDY	035	Q	B	10,000	8.36	n/a	n/a	600.00	6.0
⌘ BUCK CAPITAL MGMT		RIG	S	5,000	114.45	n/a	n/a	non-brg	4.0
COUGAR TRADING	044	RL	SS	10,000	67.94	9-Aug	29-Aug	500.00	5.0
⌘ BUCK CAPITAL MGMT		ROST	SS	10,000	27.92	n/a	n/a	non-brg	4.0
CUMBERLAND	038	RRGB	S	15,000	40.65	n/a	n/a	600.00	4.0
BUCK CAPITAL MGMT	001	RSH	SS	10,000	20.51	n/a	n/a	400.00	4.0
RIVER RUN MGMT	031	SCSS	B	12,500	12.90	n/a	n/a	625.00	5.0
STRATTON	N21	SIR	B	1,500	0.50	n/a	n/a	0.00	0.0
FRIESS MGMT	042	SKX	S	147,700	20.46	n/a	13-Mar	6,646.50	4.5
⌘ BUCK CAPITAL MGMT		SPY	SS	50,000	154.39	n/a	n/a	non-brg	1.0
CSFB GLOBAL PROPRIETARY	035	SSCC	B	40,000	12.74	4-May	21-Sep	2,000.00	5.0
SCOPUS FUND	041	SSCC	B	90,000	12.78	4-May	21-Sep	4,500.00	5.0
BARR	096	SYNP	B	2,500	6.55	n/a	n/a	0.00	0.0
DAVID J GREEN & CO	040	TECUA	S	3,800	16.93	n/a	n/a	152.00	4.0
BUCK	015	TGT	B	500	63.27	n/a	27-Jul	0.00	0.0



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DEEPHAVEN	031	TRB	SS	47,300	29.17	n/a	n/a	2,365.00	5.0
MATRIX ASSET ADV.	036	TWX	S	5,000	18.75	n/a	n/a	200.00	4.0
MILLENIUM PARTNERS	028	T	B	10,000	42.46	21-Sep	4-Oct	500.00	5.0
COUGAR TRADING	044	URBN	B	5,000	22.94	31-Jul	10-Aug	250.00	5.0
KEEFE BRUYETTE WOODS A	031	WBS	SS	9,500	41.01	n/a	n/a	475.00	5.0
<b>SINCLAIR</b>	<b>031</b>	<b>WDR</b>	<b>SS</b>	<b>200</b>	<b>28.62</b>	<b>5-Oct</b>	<b>15-Oct</b>	<b>0.00</b>	<b>0.0</b>
ROTHSCHILD ASSET	040	WGL	B	15,370	33.99	n/a	n/a	691.65	4.5
<b>ß BUCK CAPITAL MGMT</b>		<b>WGO</b>	<b>SS</b>	<b>10,000</b>	<b>28.63</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>Õ Philip Franz</b>		<b>WHT</b>	<b>S</b>	<b>1000</b>	<b>2.81</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CHILTON CAPITAL MGMT.	036	WPI	C	112,470	30.62	3-Aug	15-Oct	4,498.80	4.0
<b>ß BUCK CAPITAL MGMT</b>		<b>WRNC</b>	<b>S</b>	<b>20,000</b>	<b>42.54</b>	<b>19-Sep</b>	<b>28-Sep</b>	<b>non-brg</b>	<b>4.0</b>
DAVID J GREEN & CO	040	WVCM	S	1,400	27.09	n/a	n/a	56.00	4.0
CHILTON CAPITAL MGMT.	036	WYE	C	27,339	46.03	n/a	31-Mar	1,093.56	4.0
STELLIAM INV ADV	040	WY	B	5,000	70.50	21-Sep	21-Sep	250.00	5.0
XYLEM GLOBAL	091	WY	B	10,000	70.91	21-Sep	21-Sep	500.00	5.0
CHILTON CAPITAL MGMT.	036	X	SS	18,500	106.66	n/a	n/a	740.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MILLENIUМ PARTNERS	028	YHOO	B	10,000	26.89	n/a	n/a	500.00	5.0
PRINCIPLE CAPITAL	040	YRCW	SS	30,000	26.00	n/a	n/a	900.00	3.0
BUCK CAPITAL MGMT	001	ZQK	S	40,000	13.81	n/a	7-Sep	1,600.00	4.0
COUGAR TRADING	044	ZQK	S	5,000	13.82	n/a	7-Sep	250.00	5.0
<b>TOTAL (Trade Date):</b>								<b>179,350.09</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
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	841,100	42.13	15-Oct	15-Oct	33644.00 4.0
AO,CRT	10/15	DAVIDSON KEMPNER ADVISOR	217	IBB	B	50,000	88.69	n/a	n/a	2500.00 5.0
AO,CXL	10/15	DAVIDSON KEMPNER ADVISOR	217	IBB	B	50,000	88.69	n/a	n/a	2500.00 5.0
AO,	10/15	ACT II PARTNERS	067	LVLTT	B	100,000	4.39	6-Sep	21-Sep	5000.00 5.0
AO,CRT	10/11	EMP ERROR	099	PXD	B	250	47.59	n/a	11-Oct	0.00 0.0
AO,CXL	10/11	EMP ERROR	099	PXD	B	250	47.59	n/a	11-Oct	0.00 0.0
AO,	10/15	LISTED ERR	099	WDR	B	4,200	27.92	5-Oct	15-Oct	0.00 0.0
AO,	10/15	MILLENNIUM PARTNERS	028	YHOO	B	10,000	27.86	n/a	n/a	500.00 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>5,500.00</b>

TOTAL (Trade Date):	179,350.09
TOTAL (AO, CXL, CRT):	5,500.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>184,850.09</b>
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MRI Securities with Trade Activity on 16-Oct.  
NONE

MRI Securities without Trade Activity on 16-Oct.  
AOS

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 31%  
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