



Daily Compliance Activity Report

Trade Date: 01/29/2014

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EMPYREAN CAPITAL	084	AAL	C	300,000	33.01	29-Jan	29-Jan	9,000.00	3.0
FARBER	006	AAL	B	2,900	32.95	29-Jan	29-Jan	116.00	4.0
SOROS	036	AAL	S	263,765	32.92	29-Jan	29-Jan	10,550.60	4.0
ZWEIG FUNDS	006	AAL	B	25,000	32.95	29-Jan	29-Jan	1,250.00	5.0
B BUCK CAPITAL MGMT		AAPL	B	4,000	506.45	n/a	n/a	non-brg	4.0
f JOHN MICHAEL ZOLIDIS	FID	AAPL	B	9	501.50	n/a	n/a	0.00	0.0
STELLIAM INV ADV	086	ABX	B	60,000	19.44	n/a	n/a	2,400.00	4.0
B BUCK CAPITAL MGMT		AEO	S	740	13.41	n/a	n/a	non-brg	1.0
ARDSLEY PARTNERS/RIDGECREST	306	AGU	SS	5,000	87.24	n/a	n/a	250.00	5.0
B BUCK CAPITAL MGMT		ALK	C	460	78.59	24-Jan	24-Jan	non-brg	1.0
SCOPUS FUND	041	ALV	B	50,000	87.74	n/a	27-Jan	2,000.00	4.0
TWO OCEAN CAPITAL	084	ANN	SS	37,150	32.34	n/a	n/a	1,114.50	3.0
B BUCK CAPITAL MGMT		AXL	S	2,240	19.08	n/a	27-Jan	non-brg	1.0
B BUCK CAPITAL MGMT		AXP	S	310	86.16	17-Jan	17-Jan	non-brg	1.0
B BUCK CAPITAL MGMT		BAC	S	3,440	16.61	16-Jan	16-Jan	non-brg	1.0
B BUCK CAPITAL MGMT		BCC	S	1,760	30.74	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		BHI	S	450	55.82	n/a	n/a	non-brg	1.0
J. GOLDMAN	028	BIG	B	25,000	27.00	n/a	n/a	1,000.00	4.0
DELTEC ASSET MGMT.	040	BONT	B	12,000	10.79	13-Jan	23-Jan	600.00	5.0
ROVER CAPITAL PARTNERS	040	BUD	B	2,000	97.64	n/a	28-Jan	80.00	4.0
COUGAR TRADING	044	CAKE	SS	5,000	44.25	n/a	10-Jan	250.00	5.0
B BUCK CAPITAL MGMT		CAR	S	1,700	37.97	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		CERN	C	330	54.81	n/a	n/a	non-brg	1.0
LIONEYE CAPITAL	040	CLF	B	85,000	20.63	n/a	n/a	4,260.00	5.0
LISTED ERR	040	CLF	B	200	20.63	n/a	n/a	0.00	0.0
LISTED ERR	099	CLF	S	200	20.01	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		CNC	S	810	60.78	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		COF	S	640	70.49	17-Jan	17-Jan	non-brg	1.0
LAKEWOOD CAPITAL MGMT	085	CONN	C	9,000	63.00	n/a	n/a	270.00	3.0
FARBER	006	CP	B	8,500	146.03	n/a	29-Jan	340.00	4.0
B BUCK CAPITAL MGMT		C	S	540	48.94	9-Jan	27-Jan	non-brg	1.0
MSF CAPITAL (ENTRUST)	040	C	B	9,625	47.84	9-Jan	27-Jan	481.25	5.0
TROUBH PART	070	C	B	25,000	49.00	9-Jan	27-Jan	1,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		DAL	S	190	30.66	22-Jan	22-Jan	non-brg	1.0
MAPLE ROW	006	DAL	B	7,500	30.85	22-Jan	22-Jan	225.00	3.0
KORTRIGHT CAPITAL PARTNERS	025	DECK	B	10,000	76.75	n/a	n/a	300.00	3.0
BUCK CAPITAL MGMT		DFS	S	670	54.67	13-Jan	24-Jan	non-brg	1.0
BUCK CAPITAL MGMT		DGX	S	57,000	53.21	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		DGX	S	690	53.10	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		DG	B	20,000	57.00	n/a	9-Jan	non-brg	4.0
BUCK CAPITAL MGMT		DG	S	420	57.04	n/a	9-Jan	non-brg	1.0
BUCK CAPITAL MGMT		DHI	S	1,740	22.57	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		DKS	S	620	51.61	n/a	29-Jan	non-brg	1.0
CAPITAL GUARDIAN /INTN'L	084	D	S	354,138	66.27	n/a	n/a	12,394.83	4.0
P.SCHOENFELD ASSET MGMT LLC	041	ELS	S	10,000	38.35	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT		EL	S	40,000	68.63	n/a	28-Jan	non-brg	4.0
BUCK CAPITAL MGMT		ETN	S	410	73.76	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		EXPE	C	370	65.87	n/a	n/a	non-brg	1.0
KAM ADVISORS LLC	041	FDX	S	71,500	132.78	n/a	n/a	2,145.00	3.0
SMITH MGMT/ALDEN GLOBAL		029 FINL	B	19,800	25.39	n/a	29-Jan	594.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
ß BUCK CAPITAL MGMT		FL	S	860	37.79	n/a	29-Jan	non-brg 1.0
SMITH MGMT/ALDEN GLOBAL		029 FL	B	13,200	38.07		n/a 29-Jan	396.00 3.0
ß BUCK CAPITAL MGMT		FNP	S	340	28.00	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		FTK	S	1,970	19.71	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		FWM	S	19,000	11.60	n/a	n/a	non-brg 0.8
ß BUCK CAPITAL MGMT		FWM	S	30,000	11.60	n/a	n/a	non-brg 3.0
ß BUCK CAPITAL MGMT		FWM	S	35,730	11.50	n/a	n/a	non-brg 4.0
ß BUCK CAPITAL MGMT		FWM	S	40,000	11.57	n/a	n/a	non-brg 0.8
ß BUCK CAPITAL MGMT		F	C	1,230	15.45	n/a	29-Jan	non-brg 1.0
ß BUCK CAPITAL MGMT		GIII	S	190	70.03	24-Jan	24-Jan	non-brg 1.0
ß BUCK CAPITAL MGMT		GM	S	1,720	36.76	27-Jan	27-Jan	non-brg 1.0
CAERUS GLOBAL	041	GM	S	25,000	36.05	27-Jan	27-Jan	1,000.00 4.0
LEVIN CAPITAL STRATEGIES	041	GM	S	15,000	36.05	27-Jan	27-Jan	450.00 3.0
f ALEXANDRA ELISE ZOLI	FID	GNC	B	140	50.20	n/a	n/a	0.00 0.0
BRONSON POINT	036	GPS	B	25,000	37.02	28-Jan[i]	29-Jan	750.00 3.0
ß BUCK CAPITAL MGMT		HAL	S	530	48.32	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		HCA	S	900	49.63	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		HDS	S	1,690	21.82	n/a	n/a	non-brg 1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		HD	S	140	78.10	n/a	n/a	non-brg	1.0
SANDLER CAPITAL	028	HD	S	105,000	78.07	n/a	n/a	5,250.00	5.0
DAVIDSON KEMPNER ADVISOR	281	HIBB	SS	25,000	58.99	n/a	n/a	1,250.00	5.0
INTERVAL PARTNERS	033	HIBB	C	10,000	59.00	n/a	n/a	300.00	3.0
SEVEN LOCKS CAPITAL	025	HTH	B	55,000	23.87	n/a	n/a	1,650.00	3.0
B BUCK CAPITAL MGMT		HTZ	S	2,390	26.18	n/a	n/a	non-brg	1.0
BESSEMER INVESTMENT	085	IBM	B	90	178.27	n/a	n/a	3.60	4.0
f MANNY I KORMAN	FID	ICPT	B	200	300.00	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		IP	S	540	46.93	n/a	24-Jan	non-brg	1.0
FIRST NY SEC/CHRIS	041	IP	B	10,000	46.46	n/a	24-Jan	500.00	5.0
KAM ADVISORS LLC	041	IP	C	53,200	46.97	n/a	24-Jan	1,596.00	3.0
P.SCHOENFELD ASSET MGMT LLC	041	IRC	B	40,000	10.25	n/a	n/a	1,600.00	4.0
AMICI CAPITAL N/C	044	IWM	B	100,000	111.48	n/a	n/a	4,000.00	4.0
B BUCK CAPITAL MGMT		IWO	C	3,900	132.70	n/a	n/a	non-brg	1.0
LAKEWOOD CAPITAL MGMT	085	I	B	3,000	20.40	n/a	n/a	90.00	3.0
DAVIDSON KEMPNER ADVISOR	281	JACK	B	14,800	49.93	n/a	n/a	740.00	5.0
B BUCK CAPITAL MGMT		JBLU	S	7,070	8.92	n/a	27-Jan	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MAPLE ROW	006	JBLU	B	12,500	8.68	n/a	27-Jan	375.00	3.0
SYSTEMATIC FINANCIAL MGT	070	JBLU	B	110,750	8.97	n/a	27-Jan	3,322.50	3.0
KAM ADVISORS LLC	041	JCI	S	155,200	46.79	7-Jan	24-Jan	4,656.00	3.0
S.A.C. CAPITAL	044	JCI	B	3,000	46.98	7-Jan	24-Jan	90.00	3.0
⚡ BUCK CAPITAL MGMT		JIVE	S	2,900	9.10	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		JPM	S	590	55.14	9-Jan	15-Jan	non-brg	1.0
⚡ BUCK CAPITAL MGMT		KBR	S	330	31.79	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		KEG	S	2,560	7.15	n/a	n/a	non-brg	1.0
BESSEMER INVESTMENT	085	KEY	B	1,485	13.00	n/a	n/a	59.40	4.0
⚡ BUCK CAPITAL MGMT		KMT	S	980	48.19	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		KND	S	1,040	19.76	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		KORS	S	240	79.71	24-Jan	24-Jan	non-brg	1.0
J. GOLDMAN	028	KORS	B	30,000	79.75	24-Jan	24-Jan	1,200.00	4.0
AMBER CAPITAL	046	LBTYK	SS	141,659	78.13	n/a	n/a	5,666.36	4.0
LONE PINE MGMT	257	LBTYK	B	175,000	78.07	n/a	n/a	7,000.00	4.0
SEVEN LOCKS CAPITAL	025	LBTYK	B	25,000	78.07	n/a	n/a	750.00	3.0
BESSEMER INVESTMENT	085	LB	B	245	52.62	29-Jan[i]	29-Jan	9.80	4.0
SEVEN LOCKS CAPITAL	025	LINTA	B	80,000	27.18	n/a	n/a	2,400.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f YANAI A FRANK	FID	LNKD	B	65	204.15	n/a	n/a	0.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	LOW	S	60,000	46.33	n/a	n/a	1,800.00	3.0
BESSEMER INVESTMENT	085	LO	B	155	48.96	n/a	n/a	6.20	4.0
B BUCK CAPITAL MGMT		LPNT	S	550	52.73	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		LPX	S	1,940	17.68	22-Jan	29-Jan	non-brg	1.0
ACK ASSET	028	MCD	SS	25,000	93.35	n/a	24-Jan	750.00	3.0
CORTEX CAPITAL	031	MMM	SS	20,000	129.36	n/a	n/a	600.00	3.0
S.A.C. CAPITAL	044	MMM	B	75,000	130.12	n/a	n/a	2,250.00	3.0
PRIMECAP MGMT	084	MNTA	B	5,000	18.59	n/a	n/a	200.00	4.0
B BUCK CAPITAL MGMT		MOH	S	1,180	36.16	n/a	n/a	non-brg	1.0
BESSEMER INVESTMENT	085	MRO	B	230	33.24	n/a	n/a	9.20	4.0
PRIMECAP MGMT	084	MSFT	B	37,000	36.68	n/a	n/a	1,480.00	4.0
BESSEMER INVESTMENT	085	MS	B	235	30.18	9-Jan	21-Jan	9.40	4.0
B BUCK CAPITAL MGMT		MS	S	1,630	29.96	9-Jan	21-Jan	non-brg	1.0
BADGE CAPITAL	030	MWV	B	1,000	36.05	n/a	28-Jan	35.00	4.0
B BUCK CAPITAL MGMT		MWV	S	1,220	36.07	n/a	28-Jan	non-brg	1.0
BESSEMER INVESTMENT	085	MYL	B	610	44.92	n/a	27-Jan	24.40	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	M	B	350	54.25	23-Jan	24-Jan	14.00	4.0
⌘ BUCK CAPITAL MGMT		M	S	740	54.34	23-Jan	24-Jan	non-brg	1.0
⌘ BUCK CAPITAL MGMT		OWW	S	3,530	7.02	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		PCLN	C	30	1145.32	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		PETM	C	550	63.11	n/a	n/a	non-brg	1.0
BESSEMER INVESTMENT	085	PFE	B	620	30.22	n/a	n/a	24.80	4.0
⌘ BUCK CAPITAL MGMT		PFE	S	2,110	30.37	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		PII	B	20,000	126.45	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PIR	S	370	19.18	n/a	n/a	non-brg	1.0
PRIMECAP MGMT	084	PKG	S	1,500	64.72	10-Jan	24-Jan	60.00	4.0
⌘ BUCK CAPITAL MGMT		PVH	S	200	121.22	24-Jan	24-Jan	non-brg	1.0
BESSEMER INVESTMENT	085	QCOM	B	265	71.92	n/a	n/a	10.60	4.0
⌘ BUCK CAPITAL MGMT		RAD	S	11,650	5.45	n/a	n/a	non-brg	1.0
DISCIPLINED GROWTH INV.	030	RCL	B	4,450	49.38	n/a	n/a	222.50	5.0
ROTHSCHILD ASSET	040	RFMD	S	118,020	5.22	n/a	n/a	4,720.80	4.0
LAKEWOOD CAPITAL MGMT	085	RH	C	5,000	56.38	n/a	n/a	150.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SYMPHONY ASSET	033	RH	S	18,511	55.16	n/a	n/a	555.33	3.0
LAKEWOOD CAPITAL MGMT	085	RIG	B	8,000	43.78	n/a	n/a	240.00	3.0
⌘ BUCK CAPITAL MGMT		RKT	S	140	104.53	n/a	29-Jan	non-brg	1.0
CSFB GLOBAL PROPRIETARY	041	RKT	S	10,000	103.99	n/a	29-Jan	500.00	5.0
NOMURA/ANGEL LANE PRINCIPAL	040	RLGY	S	10,000	46.19	n/a	n/a	300.00	3.0
⌘ BUCK CAPITAL MGMT		R	S	530	71.36	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		SBUX	B	30,000	71.60	n/a	28-Jan	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SBUX	S	80	72.90	n/a	28-Jan	non-brg	1.0
LAKEWOOD CAPITAL MGMT	085	SDRL	SS	4,000	36.24	n/a	n/a	120.00	3.0
⌘ BUCK CAPITAL MGMT		SLM	S	720	23.14	n/a	23-Jan	non-brg	1.0
f CHRISTOPHER ARTHUR K	FID	SLM	B	500	23.34	n/a	23-Jan	0.00	0.0
f CHRISTOPHER ROBERT C	FID	SLM	B	400	23.25	n/a	23-Jan	0.00	0.0
f MARIO SAPIENZA	FID	SLM	B	1000	23.35	n/a	23-Jan	0.00	0.0
f MARK DEVEREAUX KAICH	FID	SNCR	B	500	26.33	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		SONC	B	25,000	18.39	n/a	17-Jan	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SPN 6 C30	S	20	0.25	n/a	n/a	non-brg	100.0
⌘ BUCK CAPITAL MGMT		SPN	S	1,840	24.05	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		STT	S	760	68.00	27-Jan	27-Jan	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ASCEND PARTNERS	033	STZ	B	22,189	77.62	9-Jan	29-Jan	665.67	3.0
FARBER	006	STZ	B	2,000	77.84	9-Jan	29-Jan	80.00	4.0
ADAGE CAPITAL MGMT	310	SWY	B	50,000	31.30	n/a	n/a	1,500.00	3.0
f JASON ERIC COHEN	FID	TBT	B	10	0.91	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	TGT	B	250	57.35	n/a	10-Jan	10.00	4.0
DISCIPLINED GROWTH INV.	030	TJX	B	8,700	57.90	23-Jan	6-Jan	435.00	5.0
BESSEMER INVESTMENT	085	TMO	B	195	111.52	n/a	n/a	7.80	4.0
PRIMECAP MGMT	084	TMO	B	10,000	111.21	n/a	n/a	400.00	4.0
ROYCE TRADING	031	TRN	S	7,000	57.06	n/a	n/a	350.00	5.0
LAKEWOOD CAPITAL MGMT	085	TXMD	SS	5,000	6.01	n/a	n/a	150.00	3.0
PRIMECAP MGMT	084	TXN	B	15,000	42.58	n/a	n/a	600.00	4.0
B BUCK CAPITAL MGMT		UAL	S	680	46.09	24-Jan	24-Jan	non-brg	1.0
B BUCK CAPITAL MGMT		UCP	S	1,760	14.71	n/a	n/a	non-brg	1.0
ROYCE TRADING	031	UFI	S	5,000	22.28	n/a	n/a	250.00	5.0
BESSEMER INVESTMENT	085	UNP	B	50	172.37	24-Jan	24-Jan	2.00	4.0
BRONSON POINT	036	URBN	B	25,000	35.77	n/a	n/a	750.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		URBN	S	530	35.78	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		URI	S	510	80.74	n/a	n/a	non-brg	1.0
CR INTRINSIC/CHRIS C	041	URI	B	5,000	80.28	n/a	n/a	150.00	3.0
VISIUM/BALY BOBBY	044	USG	C	20,051	30.74	n/a	24-Jan	1,002.55	5.0
BESSEMER INVESTMENT	085	VLO	B	235	52.05	n/a	n/a	9.40	4.0
⚡ BUCK CAPITAL MGMT		VMC	S	670	61.70	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		VNCE	S	520	24.10	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		VSI	C	70	44.71	n/a	n/a	non-brg	1.0
Ⓣ WILLIAM J GAULT	FID	VXX	S	750	46.53	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		V	S	90	218.09	10-Jan	21-Jan	non-brg	1.0
BESSEMER INVESTMENT	085	WAG	B	145	56.86	n/a	n/a	5.80	4.0
⚡ BUCK CAPITAL MGMT		WAG	S	240	56.96	n/a	n/a	non-brg	1.0
ROYCE TRADING	031	WAIR	B	2,500	21.66	n/a	n/a	125.00	5.0
⚡ BUCK CAPITAL MGMT		WCIC	S	1,710	18.10	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		WFM	C	230	52.16	n/a	n/a	non-brg	1.0
ROYCE TRADING	031	WLH	B	17,500	23.16	n/a	n/a	875.00	5.0
⚡ BUCK CAPITAL MGMT		WSM	S	90	53.47	n/a	n/a	non-brg	1.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
B	BUCK CAPITAL MGMT		ZTS	S	1,310	31.24	n/a	n/a	non-brg 1.0
f	DAVID GEORGE BUCK	FID		B	50000	100.00	n/a	24-Jan	0.00 0.0
TOTAL (Trade Date):									117,826.29

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	01/28	HALCYON LLC	041	ARCP	B	95,592	14.01	n/a	n/a	2867.76 0.0
AO,CRT	01/28	HALCYON LLC	041	ARCP	B	95,592	14.01	n/a	n/a	5594.10 0.0
AO,CRT	01/28	DELTEC ASSET MGMT.	040	BONT	B	1,100	10.83-2014-01-13-2014-01-23			44.00 4.0
AO,CXL	01/28	DELTEC ASSET MGMT.	040	BONT	B	1,100	10.83-2014-01-13-2014-01-23			55.00 0.0
AO,CXL	01/28	TIDE POINT CAPITAL	028	LEA	B	20,000	77.13	n/a-2014-01-27		600.00 0.0
AO,	01/28	TIDE POINT CAPITAL	028	LEA	B	20,000	77.13	n/a-2014-01-27		600.00 0.0
AO,CRT	01/28	FIRST NY SEC/CHRIS	041	LOW	SS	5,000	46.95	n/a	n/a	150.00 3.0
AO,CXL	01/28	FIRST NY SEC/CHRIS	041	LOW	SS	5,000	46.95	n/a	n/a	250.00 0.0

TOTAL (AO, CXL, CRT) :	2,615.34
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TOTAL (Trade Date) :	117,826.29
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TOTAL (AO, CXL, CRT) :	2,615.34
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TOTAL (RUN DATE) / NFS :	120,441.63
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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-Jan.

AAL, LB

MRI Securities without Trade Activity on 29-Jan.

CIT, WERN

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

T-Date = 0%

YTD = 0%

<u>Legend:</u>
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)