



Daily Compliance Activity Report

Trade Date: 11/01/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		ABG	B	300	31.93	n/a	31-Oct	non-brg	1.0
B BUCK CAPITAL MGMT		AEO	B	1,100	21.51	n/a	2-Dec	non-brg	1.0
GUGGENHEIM GLOBAL TRADING (GGT) 251		AIG	B	10,000	35.13		n/a	n/a	200.00 2.0
B BUCK CAPITAL MGMT		ALV	B	300	58.74	n/a	24-Oct	non-brg	1.0
f WILLIAM J GAULT	FID	AMCC	S	2215	6.10	n/a	n/a	0.00	0.0
f ALEXANDRA ELISE ZOLI	FID	AMZN	S	30	233.01	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		APC	B	600	70.39	n/a	31-Oct	non-brg	1.0
B BUCK CAPITAL MGMT		ATI	B	800	27.46	n/a	18-Oct	non-brg	1.0
LATEEF MGMT	035	ATI	S	750	27.52	n/a	18-Oct	75.00	10.0
CATAPULT CAP/DEFRANCO	040	ATK	S	11,872	59.73	n/a	n/a	474.88	0.0
ASCEND PARTNERS	033	AVP	C	16,720	15.67	n/a	22-Oct	501.60	0.0
B BUCK CAPITAL MGMT		AXL	B	2,300	10.67	n/a	1-Nov	non-brg	1.0
B BUCK CAPITAL MGMT		AXL	B	25,000	10.78	n/a	1-Nov	non-brg	1.0
B BUCK CAPITAL MGMT		AXL	B	25,000	10.98	n/a	1-Nov	non-brg	4.0
f JONATHAN RICHARD HAR	FID	AXL	B	380	10.73	n/a	1-Nov	0.00	0.0
MILLENNIUM-NEW VERNON	031	AXL	B	30,000	10.95	n/a	1-Nov	1,800.00	0.0
WOOSTER CAPITAL	035	AXL	B	100,000	10.69	n/a	1-Nov	5,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BASSWOOD PARTNERS	267	AXP	C	6,184	56.26	n/a	26-Oct	247.36	0.0
⌘ BUCK CAPITAL MGMT		AXP	B	500	57.00	n/a	26-Oct	non-brg	1.0
BASSWOOD PARTNERS	267	BAC	S	99,512	9.32	n/a	18-Oct	3,980.48	0.0
⌘ BUCK CAPITAL MGMT		BAC	B	4,700	9.49	n/a	18-Oct	non-brg	1.0
SANDLER O'NEILL ASSET	031	BAC	S	50,000	9.60	n/a	18-Oct	1,850.00	4.3
⌘ BUCK CAPITAL MGMT		BBBY	B	200	58.33	n/a	n/a	non-brg	1.0
MACELLUM CAPITAL	086	BBY	B	73,530	15.16	n/a	n/a	2,205.90	3.0
⌘ BUCK CAPITAL MGMT		BHI	SS	200	42.49	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		BID	SS	800	32.26	n/a	n/a	non-brg	1.0
f MARC PAUL LUCHANSKY	FID	BIG	B	250	30.52	n/a	23-Aug	0.00	0.0
J. GOLDMAN	028	BKW	SS	15,000	15.18	n/a	n/a	600.00	4.0
⌘ BUCK CAPITAL MGMT		BTU	B	600	29.29	n/a	n/a	non-brg	1.0
BRIGADE CAPITAL MGMT	029	BYD	SS	50,000	5.71	n/a	n/a	1,500.00	0.0
⌘ BUCK CAPITAL MGMT		CAR	B	1,800	16.76	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		CCL	B	200	38.55	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		CERN	SS	100	76.50	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		CLD	B	800	21.59	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BASSWOOD PARTNERS	267	CMI	B	2,800	98.38	n/a	n/a	112.00	0.0
⚡ BUCK CAPITAL MGMT		CNC	B	400	38.39	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		COF	B	600	61.13	n/a	26-Oct	non-brg	1.0
NOMURA/ANGEL LANE PRINCIPAL	040	COH	SS	37,000	56.96	n/a	24-Oct	1,110.00	3.0
⚡ BUCK CAPITAL MGMT		CROX	B	800	12.87	n/a	n/a	non-brg	1.0
⚡ KAREN F LEDDY	FID	CROX	B	500	12.78	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		C	B	1,300	37.92	n/a	17-Oct	non-brg	1.0
⚡ BUCK CAPITAL MGMT		DAL	B	3,800	9.71	n/a	31-Oct	non-brg	1.0
⚡ BUCK CAPITAL MGMT		DECK	B	300	29.08	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		DFS	B	800	41.29	n/a	26-Oct	non-brg	1.0
⚡ BUCK CAPITAL MGMT		DG	B	700	48.46	n/a	5-Sep	non-brg	1.0
⚡ BUCK CAPITAL MGMT		DHI	B	1,800	21.72	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		DHI	SS	200	21.70	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		DIA	SS	1,400	132.39	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		DKS	B	100	51.79	n/a	17-Sep	non-brg	1.0
⚡ BUCK CAPITAL MGMT		DKS	B	50,000	51.44	n/a	17-Sep	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DLTR	B	800	40.46	n/a	12-Oct	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		DO	SS	400	70.30	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		DTG 1 P85	S	100	10.30	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		DVN	B	400	58.45	n/a	11-Oct	non-brg	1.0
J. GOLDMAN	028	EAT	S	15,000	31.18	n/a	25-Oct	600.00	4.0
WEDGE CAPITAL	093	ELS	B	15,295	67.54	n/a	n/a	611.80	0.0
ß BUCK CAPITAL MGMT		ESV	B	300	59.15	n/a	n/a	non-brg	1.0
ADAGE CAPITAL MGMT	030	ETN	B	64,803	48.65	n/a	31-Oct	1,944.09	0.0
CAMBIAR CAP	046	ETN	S	99,635	48.65	n/a	31-Oct	3,985.40	0.0
ß BUCK CAPITAL MGMT		FDO	B	600	66.56	n/a	4-Oct	non-brg	1.0
ß BUCK CAPITAL MGMT		FINL	B	1,900	21.34	n/a	28-Sep	non-brg	1.0
ß BUCK CAPITAL MGMT		FL	B	1,100	34.29	n/a	29-Aug	non-brg	1.0
ß BUCK CAPITAL MGMT		FL	B	50,000	34.24	n/a	29-Aug	non-brg	4.0
ß BUCK CAPITAL MGMT		FL	B	50,000	34.24	n/a	29-Aug	non-brg	4.0
LATEEF MGMT	035	FMER	B	500	14.10	n/a	n/a	50.00	10.0
ß BUCK CAPITAL MGMT		FOR	B	2,400	16.47	n/a	15-Oct	non-brg	1.0
f CHRISTOPHER ROBERT C	FID	FRESX	S	84	31.44	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	FRIFX	S	243	11.52	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f CHRISTOPHER ROBERT C	FID	FSHOX	S	94	47.89	n/a	n/a	0.00	0.0
f SERGEI BARANOVSKY	FID	F	S	50	0.36	n/a	31-Oct	0.00	0.0
ß BUCK CAPITAL MGMT		GCO	B	500	57.77	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		GIII	B	10,000	36.83	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GIII	B	10,000	36.83	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GIII	B	200	36.72	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		GIL	B	900	34.82	n/a	18-Oct	non-brg	1.0
ß BUCK CAPITAL MGMT		GLW	B	1,300	11.98	n/a	24-Oct	non-brg	1.0
LATEEF MGMT	035	GLW	B	500	11.88	n/a	24-Oct	50.00	10.0
BRONSON POINT	036	GM	B	25,000	25.60	1-Nov	1-Nov	750.00	0.0
ß BUCK CAPITAL MGMT		GM	B	700	25.31	1-Nov	1-Nov	non-brg	1.0
CAPITAL GROWTH MGMT.	241	GM	S	200,000	25.27	1-Nov	1-Nov	10,000.00	5.0
CATAPULT CAP/DEFRANCO	040	GM	B	11,688	25.35	1-Nov	1-Nov	467.52	0.0
CATAPULT CAP/DEFRANCO	040	GM	SS	11,688	25.30	1-Nov	1-Nov	467.52	0.0
PATRIOT STRATEGY PARTNERS	036	GM	B	10,000	25.50	1-Nov	1-Nov	400.00	4.0
TIDE POINT CAPITAL	034	GM	B	10,000	25.51	1-Nov	1-Nov	300.00	0.0
TRELLUS PARTNERS LP	028	GM	S	30,000	25.78	1-Nov	1-Nov	900.00	0.0
TIDE POINT CAPITAL	034	GPI	S	7,000	63.96	n/a	31-Oct	210.00	0.0
f IAN L MILLER	FID	GXC	S	20	70.56	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		HAL	B	600	32.52	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		HBI	B	800	34.30	n/a	24-Oct	non-brg	1.0
BUCK CAPITAL MGMT		HOS	SS	100	35.83	n/a	n/a	non-brg	1.0
RIDGECREST INV MGMT LLC	028	HSC	B	15,000	21.14	n/a	31-Jul	600.00	4.0
BUCK CAPITAL MGMT		HTZ	B	3,100	13.28	n/a	n/a	non-brg	1.0
KENNEDY CAPITAL	046	ICON	S	45,429	19.29	n/a	n/a	1,817.16	0.0
BUCK CAPITAL MGMT		IJH	SS	700	99.98	n/a	n/a	non-brg	1.0
ROSEDALE CAPITAL	046	INTC	S	20,000	22.22	n/a	n/a	1,000.00	5.0
SYSTEMATIC FINANCIAL MGT	035	IPXL	S	150,000	21.04	n/a	31-Oct	4,500.00	0.0
BALYASNY ASSET MGMT	044	IP	B	25,000	36.93	n/a	25-Oct	1,250.00	0.0
BUCK CAPITAL MGMT		IP	B	1,000	36.44	n/a	25-Oct	non-brg	1.0
BUCK CAPITAL MGMT		IWF	C	130,000	65.60	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		IWF	C	130,000	65.60	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		IWO	C	90,000	93.55	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		IWO	C	90,000	93.55	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		IWO	SS	3,900	93.80	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		JBLU	B	4,400	5.32	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		JCI	B	500	26.03	n/a	31-Oct	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEEF MGMT	035	JCI	S	1,000	26.09	n/a	31-Oct	90.00	9.0
⚡ BUCK CAPITAL MGMT		JCP	S	50,000	24.42	n/a	13-Aug	non-brg	4.0
⚡ BUCK CAPITAL MGMT		JIVE	B	1,800	11.45	n/a	n/a	non-brg	1.0
SIGMA CAPITAL ASSOCIATES	041	JWN	B	25,000	57.32	n/a	26-Oct	875.00	3.5
BASSWOOD PARTNERS	267	KEY	S	99,476	8.41	n/a	n/a	3,979.04	0.0
⚡ BUCK CAPITAL MGMT		KNX	B	1,700	15.08	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		KSS	B	500	54.69	n/a	26-Oct	non-brg	1.0
J. GOLDMAN	028	KSS	S	34,829	54.96	n/a	26-Oct	1,393.16	4.0
⚡ JOHN MICHAEL ZOLIDIS	FID	KWS	B	2000	2.30	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		LEA	B	500	42.78	n/a	31-Oct	non-brg	1.0
⚡ IAN L MILLER	FID	LEA	S	25	42.99	n/a	31-Oct	0.00	0.0
⚡ BUCK CAPITAL MGMT		LEN	B	1,000	38.48	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		LEN	SS	100	38.46	n/a	n/a	non-brg	1.0
CASTLEROCK	040	LL	B	6,101	57.02	n/a	n/a	244.04	4.0
⚡ BUCK CAPITAL MGMT		LPNT	B	500	36.21	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		LSTR	B	10,000	51.16	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		LSTR	B	100	51.08	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		LVS	B	50,000	46.55	n/a	13-Jun	non-brg	4.0

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ß BUCK CAPITAL MGMT		LVS	B	50,000	46.55	n/a	13-Jun	non-brg	4.0
ß BUCK CAPITAL MGMT		LVS	B	50,000	46.92	n/a	13-Jun	non-brg	4.0
ß BUCK CAPITAL MGMT		LVS	B	50,000	46.92	n/a	13-Jun	non-brg	4.0
COLUMBUS CIRCLE	036	MAS	B	5,999	15.98	n/a	n/a	239.96	0.0
ß BUCK CAPITAL MGMT		MCD	SS	100	86.85	n/a	22-Oct	non-brg	1.0
ß BUCK CAPITAL MGMT		MDC	SS	10,000	41.70	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		MDC	SS	300	41.92	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		MDT	B	700	42.05	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		MDY	SS	300	182.14	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		MS	B	1,700	17.49	n/a	19-Oct	non-brg	1.0
ß BUCK CAPITAL MGMT		MTOR	B	4,900	4.53	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		MWV	B	500	30.13	n/a	24-Oct	non-brg	1.0
ß BUCK CAPITAL MGMT		M	B	900	39.63	n/a	26-Oct	non-brg	1.0
CASTLEROCK	040	NFLX	SS	8,901	78.07	n/a	n/a	356.04	4.0
ß BUCK CAPITAL MGMT		ORLY	SS	10,000	88.21	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		ORLY	SS	10,000	88.21	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		PAG	B	600	30.84	n/a	18-Oct	non-brg	1.0
ß BUCK CAPITAL MGMT		PCLN	SS	100	583.75	n/a	n/a	non-brg	1.0

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BUCK CAPITAL MGMT		PCLN	SS	2,000	585.60	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		PCP	B	100	175.11	n/a	18-Oct	non-brg	1.0
BUCK CAPITAL MGMT		PFE	B	1,800	24.53	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		PFE	B	20,000	24.54	n/a	n/a	non-brg	4.0
BALYASNY ASSET MGMT	044	PKG	B	50,000	36.46	n/a	16-Oct	2,500.00	0.0
BUCK CAPITAL MGMT		PLCE	B	300	60.05	n/a	17-Sep	non-brg	1.0
BRIGADE CAPITAL MGMT	029	PPC	S	25,000	5.75	n/a	n/a	750.00	0.0
BUCK CAPITAL MGMT		PVH	B	400	111.66	1-Nov	1-Nov	non-brg	1.0
SCOPUS FUND	041	PVH	B	15,000	114.41	1-Nov	1-Nov	600.00	0.0
PECONIC PARTNERS	036	PX	C	50,000	108.27	n/a	24-Oct	2,500.00	0.0
BUCK CAPITAL MGMT		RCL	B	400	34.62	n/a	n/a	non-brg	1.0
BALYASNY ASSET MGMT	044	RKT	SS	10,000	73.77	n/a	15-Oct	500.00	0.0
COOPER CREEK PART	028	RKT	S	7,500	74.13	n/a	15-Oct	300.00	4.0
BUCK CAPITAL MGMT		RUSHA	B	1,000	19.91	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		RYL	B	600	34.66	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		R	B	800	45.52	n/a	n/a	non-brg	1.0
J. GOLDMAN	028	SBUX	S	10,000	46.13	n/a	31-Oct	400.00	4.0

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NOMURA/ANGEL LANE PRINCIPAL	040	SBUX	S	55,000	46.19	n/a	31-Oct	1,650.00	3.0
⌘ BUCK CAPITAL MGMT		SHOO	S	10,000	45.38	n/a	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		SLB	B	400	69.62	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		SLM	B	3,000	17.66	n/a	18-Oct	non-brg	1.0
⌘ BUCK CAPITAL MGMT		SLXP	SS	200	40.06	n/a	31-Oct	non-brg	1.0
⌘ BUCK CAPITAL MGMT		SPY	SS	200	142.88	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		STT	B	1,000	45.18	n/a	16-Oct	non-brg	1.0
⌘ BUCK CAPITAL MGMT		SWFT	B	3,200	9.73	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		SWN	B	1,300	34.62	n/a	11-Oct	non-brg	1.0
⌘ BUCK CAPITAL MGMT		TDG	SS	200	136.33	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		TEVA	B	12,000	41.37	n/a	1-Nov	non-brg	4.0
⌘ BUCK CAPITAL MGMT		TEVA	B	900	40.91	n/a	1-Nov	non-brg	1.0
ASCEND PARTNERS	033	TGT	B	48,900	63.16	n/a	1-Nov	1,467.00	0.0
OZ MGMT	040	TGT	B	50,000	63.62	n/a	1-Nov	1,500.00	0.0
IRIDIAN ASSET MGMT.	036	THRX	B	17,600	22.46	n/a	n/a	880.00	0.0
⌘ BUCK CAPITAL MGMT		TITN	B	20,000	23.15	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		TITN	B	900	23.26	n/a	n/a	non-brg	1.0

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⚡ BUCK CAPITAL MGMT		TJX	B	400	43.01	n/a	26-Oct	non-brg	1.0
⚡ BUCK CAPITAL MGMT		TOL	SS	200	33.79	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		UAL	B	500	19.29	n/a	31-Oct	non-brg	1.0
⚡ BUCK CAPITAL MGMT		URI	B	600	42.81	n/a	17-Apr	non-brg	1.0
f CHRISTOPHER ROBERT C	FID	URI	S	75	42.62	n/a	17-Apr	0.00	0.0
WEDGE CAPITAL	093	VLV	S	16,294	9.82	n/a	n/a	651.76	0.0
f DAVID GEORGE BUCK	FID	VNO	B	1000	81.19	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	VNO	B	100	81.14	n/a	n/a	0.00	0.0
LOMAS CAPITAL	040	VRSN	B	21,200	37.46	n/a	n/a	636.00	3.0
⚡ BUCK CAPITAL MGMT		V	B	200	142.75	n/a	31-Oct	non-brg	1.0
⚡ BUCK CAPITAL MGMT		WERN	B	1,200	23.33	n/a	n/a	non-brg	1.0
TRUSTCO/SUNTRUST (CEREDEX)	273	WIN	B	57,344	9.58	n/a	n/a	1,835.01	0.0
LOMAS CAPITAL	040	WM	SS	15,000	32.83	n/a	n/a	450.00	3.0
⚡ BUCK CAPITAL MGMT		WNC	B	6,800	7.44	n/a	n/a	non-brg	1.0
f KAREN F LEDDY	FID	WNC	B	1500	6.86	n/a	n/a	0.00	0.0
NEWLAND CAPITAL MGT	025	WNC	S	10,000	7.70	n/a	n/a	300.00	3.0
⚡ BUCK CAPITAL MGMT		WRC	S	50,000	70.66	1-Nov	1-Nov	non-brg	4.0

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ß BUCK CAPITAL MGMT		XLF	SS	3,800	16.05	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		XLY	C	180,000	46.54	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		XLY	C	180,000	46.54	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		XPO	B	35,000	13.74	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		XPO	B	900	13.98	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		XRT	SS	2,200	63.15	n/a	n/a	non-brg	1.0
LEVIN CAPITAL STRATEGIES	041	XRT	B	35,000	62.98	n/a	n/a	1,050.00	0.0
TOTAL (Trade Date):							74,707.72		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/26	ROYCE TRADING	031	FINL	B	12,069	20.49	n/a	28-Sep	603.45 0.0
AO,	10/26	ROYCE TRADING	031	FINL	B	12,069	20.49	n/a	28-Sep	603.45 0.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	74,707.72
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	74,707.72
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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 1-Nov.

GM, PVH, WRC

MRI Securities without Trade Activity on 1-Nov.

NONE

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)