

Daily Compliance Activity Report Trade Date: 10/02/2007

POTENTIAL ANALYST TRADE VIOLATIONS: 0

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	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
	BALYASNY ASSET MGMT	044	ABG	S	5,000	20.14	18-Jun	1-0ct	250.00	5.0
ß	BUCK CAPITAL MGMT		ABG	В	170,000	19.72	18-Jun	1-0ct	non-brg	2.5
ß	BUCK CAPITAL MGMT		ABG	В	40,000	20.31	18-Jun	1-0ct	non-brg	4.0
	EGS ASSOCIATES LP	091	ABG	В	5,000	19.45	18-Jun	1-0ct	300.00	6.0
	WOOSTER CAPITAL	035	ABG	В	50,000	20.52	18-Jun	1-0ct	2,500.00	5.0
	EMP ERROR	099	ABG	В	2,700	19.89	18-Jun	1-0ct	0.00	0.0
	EMP ERROR	099	ABG	S	3,500	20.56	18-Jun	1-0ct	0.00	0.0
	OGORMAN	146	ABG	В	400	19.48	18-Jun	1-0ct	0.00	0.0
	KEEFE BRUYETTE WOODS A	031	AB	S	2,700	90.80	9-Aug	28-Sep	135.00	5.0
	BALYASNY ASSET MGMT	044	AEO	S	20,000	25.49	10-Jul	7-Sep	1,000.00	5.0
ß	BUCK CAPITAL MGMT		AEO	S	30,000	25.37	10-Jul	7-Sep	non-brg	4.0
ß	BUCK CAPITAL MGMT		AEO	S	30,000	25.52	10-Jul	7-Sep	non-brg	4.0
	FRIESS MGMT	042	AEO	S	293,100	25.52	10-Jul	7-Sep	13,189.50	4.5
	LIGHTHOUSE FIN/QUAD	046	AKAM	S	5,000	29.06	n/a	n/a	250.00	5.0
	DEMARTINI	065	AMCC	s	5,000	3.17	n/a	n/a	0.00	0.0
	J L F ASSET MGMT	039	ANN	В	62,700	33.27	6-Aug	7-Sep	2,508.00	4.0
	MEISENBACH CAP MGMT	041	AOC	S	20,000	45.83	n/a	n/a	600.00	3.0
	RHO CAPITAL MGMT	041	ARBA	В	3,900	10.91	n/a	n/a	195.00	5.0
	BALYASNY ASSET MGMT	044	ARO	В	15,000	20.14	n/a	7-Sep	750.00	5.0

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Account	RR #	Symbol	B/S	Sh	ares	Price	MRI	Research	Comm.	¢/Shr.	
PILOT ADV	038	AXL	В	18,	700	26.03	n/a	n/a	748.00	4.0	
CATAPULT	040	AXP	В	5,	000	60.85	n/a	n/a	250.00	5.0	
MADIGAN	031	BAC	S	5	150	51.71	20- A pr	20-Sep	0.00	0.0	
NATIONAL BK OF CAN	031	BK	В	30,	000	44.94	20-Jul	20-Sep	1,200.00	4.0	
PROSPECTOR PARTNERS LLC	036	BR	S	10,	000	18.93	n/a	30-Jan	400.00	4.0	
SINCLAIR	031	BSCAG	S	.	36	8.20	n/a	n/a	0.00	0.0	
BALYASNY ASSET MGMT	044	BWA	В	6,	500	95.81	7-Sep	7-Sep	325.00	5.0	
JPMSI/TOM LEDDY	035	BWS	S	20,	000	20.34	n/a	n/a	1,000.00	5.0	
COLUMBIA PARTNERS	028	СВН	С	44,	632	39.38	n/a	n/a	1,785.28	4.0	
MORGAN BANK /JPM	012	CCI	В	21,	780	39.97	n/a	n/a	653.40	3.0	
BUCK CAPITAL MGMT	001	CEC	В	20,	000	27.83	n/a	n/a	800.00	4.0	
GRANAHAN INV	039	CENT	S	100,	000	9.25	n/a	18-Sep	3,000.00	3.0	
ROARING BLUE LION MGMT	012	CHS	В	27,	500	14.66	30-Aug	7-Sep	1,100.00	4.0	
CATAPULT	040	CIT	В	5,	000	40.37	n/a	n/a	250.00	5.0	
COUGAR TRADING	044	СОН	В	5,	000	47.15	n/a	10-Sep	250.00	5.0	
	PILOT ADV CATAPULT MADIGAN NATIONAL BK OF CAN PROSPECTOR PARTNERS LLC SINCLAIR BALYASNY ASSET MGMT JPMSI/TOM LEDDY COLUMBIA PARTNERS MORGAN BANK /JPM BUCK CAPITAL MGMT GRANAHAN INV ROARING BLUE LION MGMT CATAPULT	PILOT ADV 038 CATAPULT 040 MADIGAN 031 NATIONAL BK OF CAN 031 PROSPECTOR PARTNERS LLC 036 SINCLAIR 031 BALYASNY ASSET MGMT 044 JPMSI/TOM LEDDY 035 COLUMBIA PARTNERS 028 MORGAN BANK /JPM 012 BUCK CAPITAL MGMT 001 GRANAHAN INV 039 ROARING BLUE LION MGMT 012 CATAPULT 040	PILOT ADV 038 AXL CATAPULT 040 AXP MADIGAN 031 BAC NATIONAL BK OF CAN 031 BK PROSPECTOR PARTNERS LLC 036 BR SINCLAIR 031 BSCAG BALYASNY ASSET MGMT 044 BWA JPMSI/TOM LEDDY 035 BWS COLUMBIA PARTNERS 028 CBH MORGAN BANK /JPM 012 CCI BUCK CAPITAL MGMT 001 CEC GRANAHAN INV 039 CENT ROARING BLUE LION MGMT 012 CHS CATAPULT 040 CIT	PILOT ADV 038 AXL B CATAPULT 040 AXP B MADIGAN 031 BAC S NATIONAL BK OF CAN 031 BK B PROSPECTOR PARTNERS LLC 036 BR S SINCLAIR 031 BSCAG S BALYASNY ASSET MGMT 044 BWA B JPMSI/TOM LEDDY 035 BWS S COLUMBIA PARTNERS 028 CBH C MORGAN BANK /JPM 012 CCI B BUCK CAPITAL MGMT 001 CEC B GRANAHAN INV 039 CENT S ROARING BLUE LION MGMT 012 CHS B CATAPULT 040 CIT B	PILOT ADV 038 AXL B 18, CATAPULT 040 AXP B 5, MADIGAN 031 BAC S NATIONAL BK OF CAN 031 BK B 30, PROSPECTOR PARTNERS LLC 036 BR S 10, SINCLAIR 031 BSCAG S BALYASNY ASSET MGMT 044 BWA B 6, JPMSI/TOM LEDDY 035 BWS S 20, COLUMBIA PARTNERS 028 CBH C 44, MORGAN BANK /JPM 012 CCI B 21, BUCK CAPITAL MGMT 001 CEC B 20, GRANAHAN INV 039 CENT S 100, ROARING BLUE LION MGMT 012 CHS B 27, CATAPULT 040 CIT B 5,	PILOT ADV 038 AXL B 18,700 CATAPULT 040 AXP B 5,000 MADIGAN 031 BAC S 150 NATIONAL BK OF CAN 031 BK B 30,000 PROSPECTOR PARTNERS LLC 036 BR S 10,000 SINCLAIR 031 BSCAG S 36 BALYASNY ASSET MGMT 044 BWA B 6,500 JPMSI/TOM LEDDY 035 BWS S 20,000 COLUMBIA PARTNERS 028 CBH C 44,632 MORGAN BANK /JPM 012 CCI B 21,780 BUCK CAPITAL MGMT 001 CEC B 20,000 GRANAHAN INV 039 CENT S 100,000 ROARING BLUE LION MGMT 012 CHS B 27,500 CATAPULT 040 CIT B 5,000	PILOT ADV 038 AXL B 18,700 26.03 CATAPULT 040 AXP B 5,000 60.85 MADIGAN 031 BAC S 150 51.71 NATIONAL BK OF CAN 031 BK B 30,000 44.94 PROSPECTOR PARTNERS LLC 036 BR S 10,000 18.93 SINCLAIR 031 BSCAG S 36 8.20 BALYASNY ASSET MGMT 044 BWA B 6,500 95.81 JPMSI/TOM LEDDY 035 BWS S 20,000 20.34 COLUMBIA PARTNERS 028 CBH C 44,632 39.38 MORGAN BANK /JPM 012 CCI B 21,780 39.97 BUCK CAPITAL MGMT 001 CEC B 20,000 27.83 GRANAHAN INV 039 CENT S 100,000 9.25 ROARING BLUE LION MGMT 012 CHS B 27,500 14.66 CATAPULT 040 CIT B 5,000 40.37	PILOT ADV 038 AXL B 18,700 26.03 n/a CATAPULT 040 AXP B 5,000 60.85 n/a MADIGAN 031 BAC S 150 51.71 20-Apr NATIONAL BK OF CAN 031 BK B 30,000 44.94 20-Jul PROSPECTOR PARTNERS LLC 036 BR S 10,000 18.93 n/a SINCLAIR 031 BSCAG S 36 8.20 n/a BALYASNY ASSET MGMT 044 BWA B 6,500 95.81 7-Sep JPMSI/TOM LEDDY 035 BWS S 20,000 20.34 n/a COLUMBIA PARTNERS 028 CBH C 44,632 39.38 n/a MORGAN BANK /JPM 012 CCI B 21,780 39.97 n/a BUCK CAPITAL MGMT 001 CEC B 20,000 27.83 n/a ROARING BLUE LION MGMT 012 CHS B 27,500 14.66 30-Aug CATAPULT 040 CIT B 5,000 40.37 n/a	PILOT ADV 038 AXL B 18,700 26.03	FILOT ADV 038 AXL B 18,700 26.03 n/a n/a 748.00 CATAPULT 040 AXP B 5,000 60.85 n/a n/a 250.00 MADIGAN 031 BAC 8 150 51.71 20-Apr 20-Sep 0.00 NATIONAL BK OF CAN 031 BK B 30,000 44.94 20-Jul 20-Sep 1,200.00 PROSPECTOR PARTNERS LLC 036 BR S 10,000 18.93 n/a 30-Jan 400.00 SINCLAIR 031 BSCAG S 36 B.20 n/a n/a 0.00 BALYASNY ASSET MGMT 044 BWA B 6,500 95.81 7-Sep 7-Sep 325.00 JPMSI/TOM LEDDY 035 BWS S 20,000 20.34 n/a n/a n/a 1,785.28 MORGAN BANK /JPM 012 CCI B 21,780 39.97 n/a n/a 653.40 BUCK CAPITAL MGMT 01 CEC B 20,000 27.83 n/a n/a 800.00 GRANAHAN INV 039 CENT S 100,000 9.25 n/a 18-Sep 3,000.00 ROARING BLUE LION MGMT 012 CHS B 27,500 14.66 30-Aug 7-Sep 1,100.00 CATAPULT 040 CIT B 5,000 40.37 n/a n/a 250.00	PRINOT ADV 038 AXI B 18,700 26.03 n/a n/a 748.00 4.0 CATAPULT 040 AXP B 5,000 60.85 n/a n/a 250.00 5.0 MADIGAN 031 BAC S 150 51.71 20-Apr 20-Sep 0.00 0.0 NATIONAL BK OF CAN 031 BBK B 30,000 44.94 20-Jul 20-Sep 1,200.00 4.0 PROSPECTOR FARTNERS LLC 036 BBR S 10,000 18.93 n/a 30-Jan 400.00 4.0 SINCLAIR 031 BSCAG S 36 8.20 n/a n/a 0.00 0.0 JEMSI/YASNY ASSET MGMT 044 BNA B 6,500 95.81 7-Sep 7-Sep 325.00 5.0 JEMSI/TOM LEDDY 035 BWS S 20,000 20.34 n/a n/a n/a 1,000.00 5.0 COLUMBIA FARTNERS 028 CBH C 44,632 39.38 n/a n/a n/a 1,785.28 4.0 MORGAN BANK /JPM 012 CCT B 21,780 39.97 n/a n/a 653.40 3.0 BUCK CAPITAL MGMT 012 CEC B 20,000 27.83 n/a n/a n/a 653.40 3.0 GRANAHAN INV 039 CENT S 100,000 9.25 n/a 18-Sep 3,000.00 3.0 ROARING BLUE LION MGMT 012 CHS B 27,500 14.66 30-Aug 7-Sep 1,100.00 4.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
	GLG PARTNERS	034	COST	SS	25,000	61.31	n/a	27-Jul	1,250.00	5.0
ß	BUCK CAPITAL MGMT		CTRN	В	5,000	21.15	n/a	n/a	non-brg	4.0
	J L F ASSET MGMT	039	CVS	В	90,800	38.49	n/a	n/a	3,632.00	4.0
	MORGAN BANK /JPM	012	CX	В	3,400	31.52	n/a	n/a	102.00	3.0
	BUCK CAPITAL MGMT	001	DGX	В	30,000	57.40	n/a	n/a	1,200.00	4.0
В	BUCK CAPITAL MGMT		DIA	SS	325,000	140.38	n/a	n/a	non-brg	2.0
	VINIK ASSET MGMT.	030	DLTR	В	90,000	41.57	10-Aug	21-Sep	3,600.00	4.0
	MORGAN BANK /JPM	012	DOV	В	4,900	51.23	n/a	n/a	147.00	3.0
	BUCK CAPITAL MGMT	001	DRI	В	20,000	43.06	n/a	24-Apr	800.00	4.0
ß	BUCK CAPITAL MGMT		DSW	В	10,000	25.86	5-Sep	2-0ct	non-brg	4.0
ß	BUCK CAPITAL MGMT		DSW	В	30,000	25.81	5-Sep	2-0ct	non-brg	2.0
	ENTRUST CAPITAL	040	DSW	В	25,000	25.83	5-Sep	2-0ct	1,250.00	5.0
	WEINTRAUB CAPITAL MGT.	040	DSW	В	25,000	25.85	5-Sep	2-0ct	1,250.00	5.0
	ROCKEFELLER & CO.	045	DVN	В	990	82.87	19-Sep	1-0ct	49.50	5.0
	BUCK CAPITAL MGMT	001	EAT	В	20,000	27.89	n/a	24-Apr	800.00	4.0
	COLUMBIA PARTNERS	028	EGLE	В	19,917	26.73	n/a	n/a	796.68	4.0
	BUCK CAPITAL MGMT	001	ELY	В	40,000	16.70	n/a	n/a	1,600.00	4.0

	Account	RR #	Symbol	B/	s	Shares	Price	MRI	Research	Comm.	Shr.
	BUCK CAPITAL MGMT	001	ETH	В		25,000	33.86	n/a	n/a	1,000.00	4.0
	BUCK CAPITAL MGMT	001	FBN	В		100,000	14.41	n/a	n/a	4,000.00	4.0
	AVESTA CAP	229	FDO	В		25,000	26.51	9-Aug	2-0ct	1,250.00	5.0
	SINCLAIR	031	FMU	В		100	0.35	n/a	n/a	0.00	0.0
	STRAUSS ASSET MGMT	040	FTK	В		5,000	47.35	n/a	n/a	250.00	5.0
	LIGHTHOUSE FIN/QUAD	046	F	В		10,000	8.42	n/a	1-0ct	500.00	5.0
	LOOMIS SALES/BOSTON	036	GES		S	46,500	50.50	n/a	n/a	1,860.00	4.0
	MORGAN BANK /JPM SUN AMERICA ASSET MGMT	012	GE GE	В	S	6,000 167,800	42.11 41.96	n/a n/a	n/a n/a	180.00 8,390.00	3.0 5.0
	LEDDY	035	GM		SS	800	36.72	4-May	1-0ct	0.00	0.0
	GEORGE WEISS	034	GPS		S	5,000	18.92	n/a	7-Sep	200.00	4.0
	PRINCIPLE CAPITAL	040	GRMN	В		106,400	101.74	n/a	n/a	4,256.00	4.0
ß	BUCK CAPITAL MGMT		нот	С		20,000	62.71	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		ICON		s	10,000	23.67	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		IKAN		S	100,000	5.60	n/a	n/a	non-brg	2.5
	MATRIX ASSET ADV.	036	INTC		S	5,000	26.31	n/a	n/a	200.00	4.0

	Account	RR #	Symbol	в/:	s	Shares	Price	MRI	Research	Comm.	¢/Shr.
ß	BUCK CAPITAL MGMT		IWM	С	1,27	5,000	82.35	n/a	n/a	non-brg	2.0
a	BUCK CAPITAL MGMT		JBX	С	2	0,000	66.05	n/a	24-Apr	non-brg	4.0
	BRIGHTPOINT CAP	067	JCG		SS 1	5,000	45.01	22-Jun	6-Sep	600.00	4.0
	COUGAR TRADING	044	JCG		SS 1	0,000	45.07	22-Jun	6-Sep	500.00	5.0
	COUGAR TRADING	044	JCP		S 1	0,000	65.55	21-Jun	7-Sep	500.00	5.0
ß	BUCK CAPITAL MGMT		JOSB		s 3	0,000	35.31	n/a	n/a	non-brg	4.0
	COUGAR TRADING	044	JWN	В	1	0,000	48.16	12-Jul	7-Sep	500.00	5.0
	MORGAN BANK /JPM	012	КВН		S	8,400	26.79	n/a	n/a	252.00	3.0
	BUCK	015	КВН	С		1,000	26.96	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		KNL	С	2	0,000	18.20	n/a	n/a	non-brg	4.0
	COUGAR TRADING	044	KSS		SS 1	0,000	58.08	27-Sep	27-Sep	500.00	5.0
	BUCK CAPITAL MGMT	001	LEG	В	3	0,000	19.62	n/a	n/a	1,200.00	4.0
	CATAPULT	040	LEH	В		5,000	63.40	12-Jun	20-Sep	250.00	5.0
	HART	056	LEH	В		25	64.60	12-Jun	20-Sep	0.00	0.0
	SUNOVA CAPITAL	031	LM	В	5	0,000	86.29	19-Sep	28-Sep	2,500.00	5.0
ß	BUCK CAPITAL MGMT		LTD		SS 2	0,000	22.89	16-May	7-Sep	non-brg	4.0
ß	BUCK CAPITAL MGMT		LULU		s 2	0,000	45.20	n/a	n/a	non-brg	1.0

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B BUCK CAPITAL MGMT		LVS	С	20,000	140.52	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	LZB	В	25,000	8.03	n/a	n/a	1,000.00	4.0
ß BUCK CAPITAL MGMT		MAR	С	30,000	44.66	n/a	n/a	non-brg	4.0
MS PRINCIPAL STRATEGIES	041	MAR	S	36,300	44.83	n/a	n/a	1,815.00	5.0
ROTHSCHILD ASSET	040	MCK	S	16 , 780	58.44	n/a	n/a	755.10	4.5
GALLEON MGMT LP	033	MCO	В	30,000	53.26	n/a	n/a	1,500.00	5.0
BUCK	015	MCO	С	700	52.96	n/a	n/a	0.00	0.0
HIGHBRIDGE/MS OLDS	041	MDT	В	157 , 669	57.48	n/a	22-Apr	6,306.76	4.0
BARR	096	MENT	S	1,000	15.99	n/a	n/a	0.00	0.0
SSI INVESTORS	048	MER	В	35 , 810	75.62	18-Jul	20-Sep	1,432.40	4.0
BALYASNY ASSET MGMT	044	MGM	S	5,000	94.52	n/a	3-Aug	250.00	5.0
ß BUCK CAPITAL MGMT		MGM	С	20,000	93.69	n/a	3-Aug	non-brg	4.0
MORGAN BANK /JPM	012	MMM	В	1,100	94.65	27-Sep	27-Sep	33.00	3.0
RHO CAPITAL MGMT	041	MSO	В	500	12.55	n/a	n/a	25.00	5.0
THE JAY GOLDMAN	034	MSO	S	20,000	12.93	n/a	n/a	800.00	4.0
GAULT	063	MSO	В	2,000	13.14	n/a	n/a	0.00	0.0
GAULT	063	MSO	S	2,000	12.69	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		MW	SS	10,000	51.16	n/a	n/a	non-brg	4.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
	LEDDY	035	MZZ	В	600	50.25	n/a	n/a	0.00	0.0
	BUCK CAPITAL MGMT	001	М	В	200,000	33.97	24-Sep	24-Sep	8,000.00	4.0
	PRINCIPLE CAPITAL	040	М	В	28,700	34.06	24-Sep	24-Sep	861.00	3.0
	WAGONHOUND	048	М	В	11,020	33.95	24-Sep	24-Sep	440.80	4.0
	MAZAMA CAPITAL MGMT.	035	NGS	S	11,700	18.30	n/a	n/a	468.00	4.0
	SOROS	036	ODP	В	44,900	21.61	n/a	27-Jul	2,245.00	5.0
ß	BUCK CAPITAL MGMT		OEF	С	389,900	72.26	n/a	n/a	non-brg	2.0
А	BUCK CAPITAL MGMT		OSK	С	20,000	62.50	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		PAG	В	20,854	20.57	n/a	1-Aug	non-brg	1.0
ß	BUCK CAPITAL MGMT		PAG	В	40,000	20.82	n/a	1-Aug	non-brg	1.0
ß	BUCK CAPITAL MGMT		PAG	В	45,800	20.54	n/a	1-Aug	non-brg	4.0
ß	BUCK CAPITAL MGMT		PAG	В	55,000	20.38	n/a	1-Aug	non-brg	4.0
а	BUCK CAPITAL MGMT		PBI	С	30,000	45.88	n/a	n/a	non-brg	4.0
	BUCK CAPITAL MGMT	001	PBY	В	20,900	15.24	n/a	n/a	836.00	4.0
ß	BUCK CAPITAL MGMT		PCAR	С	20,000	87.10	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		PERY	S	10,000	27.39	n/a	n/a	non-brg	1.0
	MATRIX ASSET ADV.	036	PFE	S	5,000	24.94	n/a	31-Mar	200.00	4.0
	LUCHANSKY	036	PHM	В	200	16.11	n/a	n/a	0.00	0.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
	LUCHANSKY	036	PHM	S	200	15.72	n/a	n/a	0.00	0.0
	WESTLANE CAPITAL	044	PLCE	В	10,000	24.65	26-Sep	26-Sep	500.00	5.0
	BUCK CAPITAL MGMT	001	PNR	В	20,000	33.48	n/a	n/a	800.00	4.0
	CAPITAL GROWTH MGMT.	241	PRU	В	50,000	99.05	n/a	n/a	2,000.00	4.0
ß	BUCK CAPITAL MGMT		PZZA	С	20,000	26.81	n/a	24-Apr	non-brg	4.0
	PAW PARTNERS	041	QCOM	S	7,700	41.82	n/a	n/a	385.00	5.0
	DAVIDSON KEMPNER ADVISOR	217	RF	SS	50,000	30.47	n/a	n/a	2,500.00	5.0
ß	BUCK CAPITAL MGMT		RIMM	С	30,000	96.85	n/a	n/a	non-brg	4.0
	BUCK CAPITAL MGMT	001	RL	SS	30,000	77.52	9-Aug	29-Aug	1,200.00	4.0
	BUCK CAPITAL MGMT	001	RL	s	10,000	77.68	9-Aug	29-Aug	400.00	4.0
	MORGAN BANK /JPM	012	ROH	В	2,100	55.64	n/a	4-Sep	63.00	3.0
В	BUCK CAPITAL MGMT		RRGB	С	20,000	43.89	n/a	n/a	non-brg	4.0
В	BUCK CAPITAL MGMT		RT	С	20,000	18.95	n/a	n/a	non-brg	4.0
	STADIA CAPITAL	035	SFD	S	20,000	31.63	n/a	n/a	800.00	4.0
	JPMSI/TOM LEDDY	035	SKS	SS	25,000	18.02	n/a	n/a	1,250.00	5.0
	LEDDY	035	SLB	В	100	106.45	n/a	n/a	0.00	0.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
	BRIGHTPOINT CAP	067	SMG	SS	15,000	42.44	9-Jul	18-Sep	600.00	4.0
ß	BUCK CAPITAL MGMT		SONC	С	20,000	23.78	n/a	n/a	non-brg	4.0
	LUCHANKSY	036	SPLS	S	150	21.94	n/a	27-Jul	0.00	0.0
	MORGAN BANK /JPM	012	SPR	В	5,000	38.23	n/a	n/a	150.00	3.0
ß	BUCK CAPITAL MGMT		SPY	SS	180,000	154.00	n/a	n/a	non-brg	2.0
ß	BUCK CAPITAL MGMT		SPY	SS	200,000	154.06	n/a	n/a	non-brg	2.0
	ROCKEFELLER & CO.	045	SRCL	В	1,440	57.54	n/a	n/a	72.00	5.0
	GALLEON MGMT LP	033	SSCC	SS	25,000	11.52	4-May	21-Sep	1,250.00	5.0
	LUCHANKSY	036	SSI	s	100	18.76	3-Aug	7-Sep	0.00	0.0
	CATAPULT	040	STT	В	5,000	68.96	n/a	n/a	250.00	5.0
	CATAPULT	040	STT	S	5,000	69.22	n/a	n/a	250.00	5.0
	NORTHPOINT	030	TAXI	S	7 , 875	10.96	n/a	n/a	315.00	4.0
	CATAPULT	040	TCBI	В	5,000	22.35	n/a	n/a	250.00	5.0
	CATAPULT	040	TCB	S	12,500	27.18	n/a	n/a	625.00	5.0
	LISTED ERR	099	TCB	В	2,200	27.06	n/a	n/a	0.00	0.0
	LISTED ERR	099	TCB	S	2,200	27.05	n/a	n/a	0.00	0.0
	LUCHANKSY	036	TEL	S	25	35.99	n/a	n/a	0.00	0.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	\$/Shr.
ß	BUCK CAPITAL MGMT		THI	C	20,000	35.44	n/a	24-Apr	non-brg	4.0
ß	BUCK CAPITAL MGMT		TJX	В	30,000	28.98	21-Sep	21-Sep	non-brg	4.0
	MORGAN BANK /JPM	012	TOL	S	26,600	21.75	n/a	n/a	798.00	3.0
	PRINCIPLE CAPITAL	040	TPX	S	27,000	36.94	n/a	n/a	810.00	3.0
	DAVIS SELECT ADV	040	TXN	В	256 , 000	36.68	n/a	n/a	7,680.00	3.0
	WEISS PECK	040	URBN	S	10,200	22.31	31-Jul	10-Aug	510.00	5.0
	MORGAN BANK /JPM	012	UTX	В	3,800	82.31	n/a	n/a	114.00	3.0
В	BUCK CAPITAL MGMT		VIRL	В	15,100	7.95	n/a	n/a	non-brg	4.0
	LUCHANSKY4	036	VSL	S	100	23.38	n/a	n/a	0.00	0.0
	LEVIN CAPITAL STRATEGIES	012	VZ	S	15,000	45.41	21-Sep	1-0ct	600.00	4.0
	MORGAN BANK /JPM	012	WBC	В	4,900	48.14	n/a	14-Aug	147.00	3.0
	SLS CAPITAL LLC	224	WBC	В	146,000	48.59	n/a	14-Aug	5,840.00	4.0
	LEDDY	035	WCI	В	1,200	6.52	n/a	n/a	0.00	0.0
	ROCKEFELLER & CO.	045	WFT	S	10,000	69.52	n/a	n/a	500.00	5.0
ß	BUCK CAPITAL MGMT		WHR	C	20,000	92.42	n/a	n/a	non-brg	4.0
	JP MORGAN VENTURES	046	WMT	В	10,000	44.98	4-Jun	27-Jul	500.00	5.0

	Account	RR #	Symbol	B/S	Shares	: Price	MRI	Research	Comm.¢	:/Shr.
ß	BUCK CAPITAL MGMT		WYNN	С	30,000	165.60	n/a	n/a	non-brg	4.0
	ZOLIDIS	011	WYNN	В	20	167.33	n/a	n/a	0.00	0.0
	LEDDY	035	XOM	S	200	92.20	n/a	n/a	0.00	0.0
	LUCHANSKY1	036	YTEC	В	1,000	11.68	n/a	n/a	0.00	0.0
	COUGAR TRADING	044	ZQK	S	5,000	14.65	n/a	7-Sep	250.00	5.0

TOTAL (Trade Date): 137,181.42

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
AO,	10/01	COUGAR TRADING	044	JCG	S	6,600	43.54	22-Jun	6-Sep	330.00	5.0
TOTAL	(AO,	CXL, CRT):							:	330.00	

TOTAL (Trade Date):

TOTAL (AO, CXL, CRT):

137,181.42
330.00

TOTAL (RUN DATE) / NFS:

137,511.42

MRI Securities with Trade Activity on 2-Oct.

MRI Securities without Trade Activity on 2-Oct.
ANF, JCI, TWB

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

T-Date = 22%

YTD = 16%

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