



Daily Compliance Activity Report

Trade Date: 11/24/2008

Potential ANALYST TRADE Violations: 0

BCM Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	AAP	B	50,000	28.23	n/a	n/a	2,000.00	4.0
PATTEN & PATTEN	067	AA	B	8,300	9.13	n/a	n/a	415.00	5.0
PATTEN & PATTEN	067	AB	B	1,000	14.90	10-Sep	19-Nov	50.00	5.0
PATTEN & PATTEN	067	ACL	B	1,550	72.06	n/a	18-Nov	77.50	5.0
PATTEN & PATTEN	067	ADRU	S	3,225	15.93	n/a	n/a	161.25	5.0
BUCK CAPITAL MGMT	001	AEO	S	49,200	8.14	n/a	10-Nov	1,476.00	3.0
PATTEN & PATTEN	067	AGN	S	300	33.41	24-Oct	18-Nov	15.00	5.0
PATTEN & PATTEN	067	AIG	S	400	1.67	n/a	n/a	20.00	5.0
B BUCK CAPITAL MGMT		AIT	C	19,300	16.71	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	AMD	B	47,200	1.81	n/a	n/a	944.00	2.0
WAGONHOUND/NIC	048	AMG	B	7,476	21.37	13-Nov	19-Nov	299.04	4.0
B BUCK CAPITAL MGMT		AMT	S	20,000	23.70	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		AMT	S	33,200	23.76	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT	001	AM	B	30,000	9.55	n/a	n/a	900.00	3.0
B BUCK CAPITAL MGMT		ANF	B	50,000	17.27	7-Aug	14-Nov	non-brg	2.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
ß	BUCK CAPITAL MGMT		ANF	B	800,000	16.50	7-Aug	14-Nov	non-brg 1.0
	J.W. SELIGMAN	041	ANF	S	189,000	16.37	7-Aug	14-Nov	7,560.00 4.0
	SOROS	036	ANF	B	186,630	17.33	7-Aug	14-Nov	7,465.20 4.0
	PATTEN & PATTEN	067	APOL	S	1,300	72.37	n/a	n/a	65.00 5.0
	TRUST CO/COWEN/CALF.	040	ARM	B	95,950	3.00	n/a	n/a	2,878.50 3.0
ß	BUCK CAPITAL MGMT		AVP+MC[AVP]	SS	1,000	0.70	n/a	n/a	non-brg 100.0
	WHEELER	008	AVYDG	S	30	1.60	n/a	n/a	0.00 0.0
	PATTEN & PATTEN	067	AVY	S	1,200	28.17	13-Nov	13-Nov	60.00 5.0
	PATTEN & PATTEN	067	BAC	S	1,800	14.24	15-Oct	17-Nov	90.00 5.0
	AMATURO	018	BGU	S	4,000	28.90	n/a	n/a	0.00 0.0
ß	BUCK CAPITAL MGMT		BHQ+NT[BBBY]	SS	1,000	0.86	n/a	n/a	non-brg 100.0
ß	BUCK CAPITAL MGMT		BKE	B	125,000	18.03	n/a	n/a	non-brg 4.0
ß	BUCK CAPITAL MGMT		BKE	B	25,000	17.73	n/a	n/a	non-brg 1.0
	PATTEN & PATTEN	067	BP	S	500	46.33	n/a	n/a	25.00 5.0
ß	BUCK CAPITAL MGMT		BQU+XC[BWLD]	SS	2,000	1.01	n/a	n/a	non-brg 300.0
	PATTEN & PATTEN	067	BTU	B	8,950	21.61	n/a	n/a	447.50 5.0
	COUGAR TRADING	044	BWA	S	5,000	18.94	n/a	30-Oct	250.00 5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		BWLD	C	3,000	16.68	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		BWLD	C	47,000	18.18	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BYI+LC[BYI]	SS	5,000	1.77	n/a	n/a	non-brg	300.0
PATTEN & PATTEN	067	CAG	S	400	15.09	n/a	n/a	20.00	5.0
IRIDIAN ASSET MGMT.	036	CCK	B	11,020	14.35	n/a	n/a	551.00	5.0
STRAUSS ASSET MGMT	040	CCL	B	15,000	16.46	n/a	26-Jan	600.00	4.0
TRELLUS PARTNERS LP	028	CHD	SS	10,000	57.71	4-Sep	4-Nov	500.00	5.0
WHEELER	008	CITPRA	S	2,800	7.76	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CIT	S	500,000	2.51	n/a	11-Nov	non-brg	2.0
BUCK CAPITAL MGMT	001	CMG	SS	25,000	41.45	23-Oct	23-Oct	1,000.00	4.0
ß BUCK CAPITAL MGMT		COLM	SS	10,007	33.76	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		COLM	SS	18,600	33.70	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		COLM	SS	64,180	31.31	n/a	n/a	non-brg	4.0
N STRATTON	014	CPI	S	74	22.35	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CRI+XC[CRI]	SS	1,000	1.21	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		CRI+XV[CRI]	SS	2,000	0.40	n/a	n/a	non-brg	100.0
BARABOO GROWTH	031	CXO	S	4,000	20.33	n/a	n/a	200.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		DE	S	33,300	32.41	3-Nov	3-Nov	non-brg	4.0
MILLENIUM PARTNERS	028	DFS	S	100,000	9.31	n/a	12-Nov	5,000.00	5.0
BUCK CAPITAL MGMT		DHI	S	6,000	4.98	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		DIN	SS	15,000	9.18	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		DIN	SS	35,000	8.36	n/a	n/a	non-brg	2.5
EGS ASSOCIATES LP	091	DLTR	SS	5,000	37.90	n/a	7-Nov	300.00	6.0
SIGMA CAPITAL ASSOCIATES	237	DLTR	SS	75,000	36.94	n/a	7-Nov	3,750.00	5.0
PATTEN & PATTEN	067	DNN	B	1,900	1.11	n/a	n/a	95.00	5.0
PATTEN & PATTEN	067	DNN	S	800	1.10	n/a	n/a	40.00	5.0
PATTEN & PATTEN	067	DOW	S	825	18.21	n/a	20-Nov	41.25	5.0
SCOPUS FUND	041	DRI	S	102,133	15.70	13-Oct	13-Oct	5,106.65	5.0
SCOPUS FUND	041	DSW	SS	45,300	8.41	14-Nov	14-Nov	2,265.00	5.0
PATTEN & PATTEN	067	DUK	S	234	15.42	n/a	n/a	11.70	5.0
BUCK CAPITAL MGMT		DV+MJ[???	SS	2,000	3.51	n/a	n/a	non-brg	300.0
NEUBERGER BERMAN	036	DW	S	22,900	11.69	n/a	n/a	1,030.50	4.5
BUCK CAPITAL MGMT		DXD	B	1,500	79.08	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		EBHI	B	20,680	0.63	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NORTHPOINT	030	EMKR	B	16,993	1.22	n/a	n/a	509.79	3.0
PATTEN & PATTEN	067	EPP	B	600	23.17	n/a	n/a	30.00	5.0
PATTEN & PATTEN	067	EPP	S	1,050	23.14	n/a	n/a	52.50	5.0
PATTEN & PATTEN	067	EP	B	2,100	6.74	n/a	n/a	105.00	5.0
PATTEN & PATTEN	067	EWZ	B	100	32.70	n/a	n/a	5.00	5.0
PATTEN & PATTEN	067	EWZ	S	650	32.70	n/a	n/a	32.50	5.0
PATTEN & PATTEN	067	EXH	S	2,590	15.15	28-Aug	20-Nov	129.50	5.0
BUCK CAPITAL MGMT	001	FDO	SS	20,000	27.17	23-Jul	7-Nov	800.00	4.0
ROTHSCHILD ASSET	040	FLO	S	19,090	28.48	n/a	n/a	859.05	4.5
⌘ BUCK CAPITAL MGMT		FMQ+XV[WFMI]	SS	4,000	0.37	n/a	n/a	non-brg	100.0
PROSPECTOR PARTNERS LLC	036	FOR	B	25,000	4.15	n/a	3-Oct	750.00	3.0
⌘ BUCK CAPITAL MGMT		GCO	B	50,000	12.29	n/a	10-Jan	non-brg	4.0
PATTEN & PATTEN	067	GD	S	1,400	50.35	n/a	n/a	70.00	5.0
PILOT ROCK	028	GG	B	320,000	26.85	n/a	n/a	9,600.00	3.0
⌘ BUCK CAPITAL MGMT		GIII	B	20,000	7.30	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		GIL	S	100	18.00	25-Nov	16-Oct	non-brg	1.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
ß	BUCK CAPITAL MGMT		GIL	S	74,900	18.15	25-Nov	16-Oct	non-brg 4.0
	PATTEN & PATTEN	067	GLW	S	200	8.95	19-Nov	20-Nov	10.00 5.0
	M WEINTRAU	024	GLW	B	500	8.82	19-Nov	20-Nov	0.00 0.0
ß	BUCK CAPITAL MGMT		GM	C	205,000	3.39	10-Nov	17-Nov	non-brg 3.0
ß	BUCK CAPITAL MGMT		GNTX	C	10,000	8.10	22-Oct	22-Oct	non-brg 3.0
ß	BUCK CAPITAL MGMT		GRMN	C	50,000	16.94	n/a	n/a	non-brg 4.0
	PILOT ADV	038	GVA	B	6,000	33.80	n/a	n/a	240.00 4.0
	BUCK CAPITAL MGMT	001	HBI	B	171,700	10.99	n/a	n/a	6,868.00 4.0
ß	BUCK CAPITAL MGMT		HBI	B	28,300	10.39	n/a	n/a	non-brg 2.0
	SERENGETI MGMT	030	HCF	B	49,000	5.67	n/a	n/a	2,450.00 5.0
	BARABOO GROWTH	031	HK	S	40,000	15.75	n/a	n/a	2,000.00 5.0
ß	BUCK CAPITAL MGMT		HOTT	B	20,000	6.80	n/a	20-Nov	non-brg 3.0
	PATTEN & PATTEN	067	HST	S	1,250	7.03	n/a	n/a	62.50 5.0
	PATTEN & PATTEN	067	IDXX	S	420	29.86	n/a	22-Apr	21.00 5.0
	BUCK CAPITAL MGMT	001	IFF	B	40,000	28.93	30-Oct	13-Nov	1,600.00 4.0
	PATTEN & PATTEN	067	ILF	B	500	23.43	n/a	n/a	25.00 5.0
	PATTEN & PATTEN	067	ITT	B	1,300	39.27	3-Oct	18-Nov	65.00 5.0

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PATTEN & PATTEN	067	ITT	S	300	39.22	3-Oct	18-Nov	15.00	5.0
SANDLER O'NEILL ASSET	031	IVZ	S	40,000	11.48	13-Nov	20-Nov	1,200.00	3.0
SIGMA CAPITAL ASSOCIATES	237	JBX	B	7,100	14.33	n/a	24-Apr	355.00	5.0
BUCK CAPITAL MGMT	001	JCG	B	140,000	10.25	n/a	13-Nov	5,600.00	4.0
BENNETT LAWRENCE	045	JCP	SS	13,700	16.53	17-Nov	17-Nov	616.50	4.5
B BUCK CAPITAL MGMT		JNY	B	948,626	3.50	n/a	30-Oct	non-brg	1.0
MILLENIUM PARTNERS	028	JPM	S	150,000	27.13	26-Sep	20-Nov	7,500.00	5.0
PATTEN & PATTEN	067	JPM	B	200	26.85	26-Sep	20-Nov	10.00	5.0
PATTEN & PATTEN	067	JWN	B	4,200	9.71	14-Nov	14-Nov	210.00	5.0
PATTEN & PATTEN	067	JWN	S	3,000	9.65	14-Nov	14-Nov	150.00	5.0
BENNETT LAWRENCE	045	KSS	B	7,900	28.70	n/a	14-Nov	355.50	4.5
IRIDIAN ASSET MGMT.	036	LMDIA	S	119,490	11.10	n/a	n/a	5,974.50	5.0
BMO NESBITT BURNS	041	LM	SS	10,000	16.20	29-Oct	21-Nov	500.00	5.0
BMO NESBITT BURNS	041	LM	S	36,000	16.32	29-Oct	21-Nov	1,800.00	5.0
ROTHSCHILD ASSET	040	LNT	S	22,520	31.75	n/a	n/a	1,013.40	4.5
BUCK CAPITAL MGMT	001	LTM	B	24,600	9.03	n/a	n/a	738.00	3.0
WHEELER	008	LZCG	S	50	2.00	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	MDT	B	300	30.98	n/a	22-Apr	15.00	5.0
MILLENIUM PARTNERS	028	MET	S	100,000	22.31	n/a	n/a	5,000.00	5.0
PATTEN & PATTEN	067	MGU	S	1,000	9.41	n/a	n/a	50.00	5.0
PATTEN & PATTEN	067	MHP	S	3,100	23.26	n/a	n/a	155.00	5.0
PATTEN & PATTEN	067	MIC	B	2,800	3.29	n/a	n/a	140.00	5.0
PATTEN & PATTEN	067	MIC	S	2,650	3.27	n/a	n/a	132.50	5.0
PATTEN & PATTEN	067	MOO	B	200	23.46	n/a	n/a	10.00	5.0
B BUCK CAPITAL MGMT		MS	S	378,800	11.50	15-Sep	17-Nov	non-brg	4.0
B BUCK CAPITAL MGMT		MZZ	B	1,000	114.75	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT	001	M	B	300,000	6.18	12-Aug	13-Nov	9,000.00	3.0
ROTHSCHILD ASSET	040	NRG	B	18,780	20.97	n/a	n/a	845.10	4.5
IRIDIAN ASSET MGMT.	036	NVDA	B	63,970	6.66	n/a	n/a	3,198.50	5.0
PATTEN & PATTEN	067	NVS	S	200	46.59	n/a	n/a	10.00	5.0
TRUST CO/COWEN/CALF.	040	NYB	B	25,350	11.79	n/a	n/a	1,014.00	4.0
NOMURA CAPITAL	045	OC	S	26,800	13.40	n/a	n/a	804.00	3.0
PATTEN & PATTEN	067	OSK	B	3,850	4.67	n/a	n/a	192.50	5.0

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PATTEN & PATTEN	067	OSK	S	600	4.62	n/a	n/a	30.00	5.0
BEAR STEARNS ASSET MGMT.	033	PFCB	B	20,000	16.80	n/a	14-Nov	800.00	4.0
⌘ BUCK CAPITAL MGMT		PLCE	B	100,000	20.93	21-Nov	21-Nov	non-brg	4.0
PATTEN & PATTEN	067	PL	B	2,000	7.40	n/a	n/a	100.00	5.0
PATTEN & PATTEN	067	PRU	B	300	18.72	n/a	n/a	15.00	5.0
BUCK CAPITAL MGMT	001	PSA	S	10,000	65.64	n/a	n/a	400.00	4.0
PATTEN & PATTEN	067	PWR	B	8,300	13.68	n/a	n/a	415.00	5.0
PATTEN & PATTEN	067	Q	S	1,700	2.58	n/a	n/a	85.00	5.0
⌘ BUCK CAPITAL MGMT		RL+ME [RL]	SS	2,000	1.00	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		RL+XG [RL]	SS	2,000	1.87	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	RL	B	30,000	39.04	n/a	6-Nov	1,200.00	4.0
⌘ BUCK CAPITAL MGMT		RL	SS	110,000	40.42	n/a	6-Nov	non-brg	4.0
SCOPUS FUND	041	RL	SS	10,000	40.51	n/a	6-Nov	500.00	5.0
⌘ BUCK CAPITAL MGMT		RTH	C	210,000	67.94	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		RTH	C	73,000	68.87	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		RYL	S	2,450	12.84	n/a	n/a	non-brg	1.0
CASTLE ARK	031	SCHW	B	95,520	17.73	n/a	n/a	5,731.20	6.0

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AMATURO	018	SDS	B	2,000	108.07	n/a	n/a	0.00	0.0
MCCARTAN	028	SDS	B	100	96.63	n/a	n/a	0.00	0.0
MENCKE	055	SKF	S	40	223.80	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKX	B	45,000	11.07	n/a	13-Mar	1,800.00	4.0
PATTEN & PATTEN	067	SNE	S	3,000	20.99	n/a	n/a	150.00	5.0
BUCK CAPITAL MGMT	001	SPG	S	10,000	43.92	n/a	n/a	400.00	4.0
PATTEN & PATTEN	067	SRZ	B	500	0.37	n/a	n/a	25.00	5.0
PATTEN & PATTEN	067	SRZ	S	1,250	0.36	n/a	n/a	62.50	5.0
FIRST NY SEC/CHRIS	041	STX	B	15,000	4.30	n/a	n/a	900.00	6.0
SINCLAIR	031	SWGCL	S	140	5.75	n/a	n/a	0.00	0.0
SINCLAIR	031	SZCOF	B	45	10.00	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	THO	S	81,300	14.92	n/a	n/a	3,658.50	4.5
BMO NESBITT BURNS	041	TROW	B	25,000	30.46	19-Sep	21-Nov	1,250.00	5.0
B BUCK CAPITAL MGMT		TSCO	C	70,000	36.13	n/a	n/a	non-brg	4.0
BEAR STEARNS ASSET MGMT.	033	TWB	B	48,800	2.23	n/a	20-Nov	1,464.00	3.0
PATTEN & PATTEN	067	TWTC	S	9,200	6.35	n/a	4-Jan	460.00	5.0

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PATTEN & PATTEN	067	TXN	S	100	15.18	n/a	n/a	5.00	5.0
EGS ASSOCIATES LP	091	TYC	B	7,500	18.99	12-Nov	18-Nov	450.00	6.0
PATTEN & PATTEN	067	T	S	250	27.06	n/a	4-Jan	12.50	5.0
COUGAR TRADING	044	URBN	B	5,000	15.87	5-Nov	13-Nov	250.00	5.0
IRIDIAN ASSET MGMT.	036	USB	B	22,990	24.43	n/a	n/a	1,149.50	5.0
AMATURO	018	USO	S	2,000	42.36	n/a	n/a	0.00	0.0
CUMBERLAND	038	UTX	SS	25,000	49.18	n/a	n/a	1,000.00	4.0
PATTEN & PATTEN	067	UTX	B	700	48.95	n/a	n/a	35.00	5.0
WHEELER	008	UXI	S	4,000	19.00	n/a	n/a	0.00	0.0
WHEELER	008	UYG	S	10,000	4.38	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		VLCM	B	194,500	8.17	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		VLCM	B	5,500	8.20	n/a	n/a	non-brg	1.0
PATTEN & PATTEN	067	VLO	S	1,000	17.41	n/a	n/a	50.00	5.0
B BUCK CAPITAL MGMT		VNO	SS	50,000	46.73	n/a	n/a	non-brg	1.0
KLEINHEINZ CAP PART	031	VOD	B	100,000	17.99	n/a	n/a	5,000.00	5.0
B BUCK CAPITAL MGMT		VOW GR	C	9,000	423.09	n/a	n/a	non-brg	63.5

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MERRILL ASSET	032	WBS	B	22,300	12.76	n/a	n/a	1,003.50	4.5
WAGONHOUND/NIC	048	WDR	S	19,487	10.42	15-Jul	19-Nov	779.48	4.0
PATTEN & PATTEN	067	WFR	S	500	13.96	n/a	n/a	25.00	5.0
⌘ BUCK CAPITAL MGMT		WMT+AK[WMT]	SS	2,000	3.34	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		WMT+LK[WMT]	SS	3,000	1.46	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	WMT	B	50,000	53.87	10-Oct	13-Nov	2,000.00	4.0
⌘ BUCK CAPITAL MGMT		WRC	B	140,000	15.60	7-Nov	7-Nov	non-brg	1.0
⌘ BUCK CAPITAL MGMT		WRC	B	160,000	14.61	7-Nov	7-Nov	non-brg	4.0
WAGONHOUND/NIC	048	WRC	B	1,101	14.59	7-Nov	7-Nov	44.04	4.0
BUCK CAPITAL MGMT	001	WSM	B	100,000	6.41	n/a	n/a	3,000.00	3.0
PATTEN & PATTEN	067	WY	B	1,300	34.81	3-Nov	3-Nov	65.00	5.0
PATTEN & PATTEN	067	WY	S	1,000	34.74	3-Nov	3-Nov	50.00	5.0
⌘ BUCK CAPITAL MGMT		XRT	C	300,000	17.31	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		XRT	C	900,000	17.07	n/a	n/a	non-brg	1.0
FORWARD MGMT	033	ZQK	S	16,000	1.30	3-Nov	3-Nov	800.00	5.0
TOTAL (Trade Date):								153,764.65	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	11/19	WHEELER	008		B	100,000	85.00	n/a	n/a	0.00	0.0
AO,CXL	11/19	WHEELER	008		B	100,000	85.00	n/a	n/a	0.00	0.0
AO,	11/21	N STRATTON	OPT	BUDAM	S	5	5.00	n/a	n/a	0.00	0.0
AO,CRT	11/20	STELLIAM INV ADV	040	CSCO	B	25,000	14.66	n/a	22-Mar	1250.00	5.0
AO,CXL	11/20	STELLIAM INV ADV	040	CSCO	B	25,000	14.66	n/a	22-Mar	1000.00	4.0
AO,CRT	11/21	CLOVIS CAPITAL	012	DPS	B	175,000	14.92	n/a	n/a	8750.00	5.0
AO,CXL	11/21	DC CAPITAL	044	DPS	B	175,000	14.92	n/a	n/a	8750.00	5.0
AO,CXL	11/20	NEUBERGER BERMAN	036	DW	S	300	10.13	n/a	n/a	13.50	4.5
AO,CRT	11/20	NEUBERGER BERMAN	036	DW	S	300	10.13	n/a	n/a	13.50	4.5
AO,CRT	11/20	BALYASNY ASSET MGMT	044	IVZ	B	15,000	9.73	13-Nov	20-Nov	600.00	4.0
AO,CXL	11/20	BALYASNY ASSET MGMT	044	IVZ	B	15,000	9.73	13-Nov	20-Nov	750.00	5.0
AO,	11/21	BUCK CAPITAL MGMT	015	IWO	B	1,000	52.00	n/a	n/a	0.00	0.0
AO,CXL	11/21	IVORY CAPITAL	034	MOT	B	1,000,000	3.09	n/a	n/a	5000.00	0.5
AO,CRT	11/21	IVORY CAPITAL	034	MOT	B	1,000,000	3.09	n/a	n/a	5000.00	0.5
AO,CRT	11/21	OSS CAPITAL/KEVIN DANN	067	NSR	B	345,900	17.17	n/a	n/a	10377.00	3.0
AO,CXL	11/21	OSS CAPITAL/KEVIN DANN	067	NSR	B	345,000	17.17	n/a	n/a	10350.00	3.0
AO,CRT	11/21	COUGAR TRADING	044	YUM	B	5,000	23.47	14-Aug	20-Oct	250.00	5.0
AO,CXL	11/21	COUGAR TRADING	044	YUM	B	5,000	23.47	14-Aug	20-Oct	250.00	5.0
TOTAL (AO, CXL, CRT) :										127.00	

TOTAL (Trade Date):	153,764.65
TOTAL (AO, CXL, CRT):	127.00

TOTAL (RUN DATE) / NFS:	153,891.65
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MRI Securities with Trade Activity on 24-Nov. NONE

MRI Securities without Trade Activity on 24-Nov. NONE
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BRG comm. as a % of BCM Total Comm. paid. T-Date = 17% YTD = 19%
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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

BCM Watch List Trades