



# Daily Compliance Activity Report

Trade Date: 11/13/2007

## POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SYSTEMATIC FINANCIAL MGT	035	AAP	B	45,300	35.41	n/a	n/a	1,698.75	3.8
BALYASNY ASSET MGMT	044	ABG	S	5,000	17.97	31-Oct	2-Nov	250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>ABG</b>	<b>S</b>	<b>40,000</b>	<b>17.94</b>	<b>31-Oct</b>	<b>2-Nov</b>	<b>non-brg</b>	<b>4.0</b>
PILOT ADV	038	ACE	B	18,700	59.06	n/a	n/a	748.00	4.0
GALLEON MGMT LP	033	ADM	S	5,000	37.00	n/a	12-Nov	250.00	5.0
COUGAR TRADING	044	AEO	S	15,000	22.92	9-Nov	12-Nov	750.00	5.0
SIGMA CAPITAL ASSOCIATES	237	AGN	B	20,000	65.06	9-Oct	13-Nov	1,000.00	5.0
MTB INV ADV	034	ANF	B	6,500	78.21	2-Oct	12-Nov	325.00	5.0
THE JAY GOLDMAN	034	ANF	S	20,000	78.60	2-Oct	12-Nov	800.00	4.0
BALYASNY ASSET MGMT	044	ANN	B	37,500	32.69	6-Aug	12-Nov	1,875.00	5.0
MATTHES CAPITAL MGMT	033	ANN	B	30,000	32.35	6-Aug	12-Nov	1,200.00	4.0
PECONIC PARTNERS	036	ANN	C	101,100	32.53	6-Aug	12-Nov	5,055.00	5.0
<b>OGORMAN</b>	<b>046</b>	<b>AN</b>	<b>C</b>	<b>800</b>	<b>17.10</b>	<b>n/a</b>	<b>25-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>COLE</b>	<b>N24</b>	<b>AOB</b>	<b>S</b>	<b>400</b>	<b>11.69</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
STERLING JOHNSTON	035	ARG	S	7,800	47.38	5-Oct	25-Oct	390.00	5.0
BALYASNY ASSET MGMT	044	ARO	S	80,000	25.64	9-Nov	12-Nov	4,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>AVCI</b>	<b>C</b>	<b>5,000</b>	<b>7.30</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>GAULT</b>	<b>063</b>	<b>AXE</b>	<b>B</b>	<b>500</b>	<b>65.48</b>	<b>9-Oct</b>	<b>23-Oct</b>	<b>0.00</b>	<b>0.0</b>
SUNOVA CAPITAL	031	BEN	B	75,000	122.20	25-Sep	8-Nov	3,750.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BJ</b>	<b>B</b>	<b>30,000</b>	<b>35.22</b>	<b>n/a</b>	<b>27-Jul</b>	<b>1,200.00</b>	<b>4.0</b>
VISIUM/BALY HOWARD	038	BONT	S	20,000	14.55	9-Nov	12-Nov	1,000.00	5.0
<b>ROSENBERG</b>	<b>034</b>	<b>BONT</b>	<b>S</b>	<b>200</b>	<b>14.59</b>	<b>9-Nov</b>	<b>12-Nov</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BSC</b>	<b>S</b>	<b>25,500</b>	<b>101.07</b>	<b>4-Sep</b>	<b>8-Nov</b>	<b>non-brg</b>	<b>4.0</b>
SLS CAPITAL LLC	224	BSC	B	166,000	98.71	4-Sep	8-Nov	6,640.00	4.0
STRAUSS ASSET MGMT	040	CADA	B	1,900	40.02	n/a	n/a	95.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CCE</b>	<b>SS</b>	<b>10,000</b>	<b>25.48</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
ROTHSCHILD ASSET	040	CCE	B	62,960	25.28	n/a	n/a	2,833.20	4.5
STADIA CAPITAL	035	CC	B	49,900	6.73	n/a	27-Jul	1,996.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CEC</b>	<b>SS</b>	<b>10,000</b>	<b>29.97</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
<b>AMATURO</b>	<b>018</b>	<b>CHCG</b>	<b>B</b>	<b>3,000</b>	<b>3.67</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>WHEELER</b>	<b>008</b>	<b>CHP</b>	<b>B</b>	<b>10,000</b>	<b>4.54</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NORTHPOINT	030	CLWR	B	300	13.44	n/a	n/a	12.00	4.0
MS PRINCIPAL STRATEGIES	041	CMGB	S	25,000	108.83	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>CMRG</b>	<b>C</b>	<b>70,000</b>	<b>7.74</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
COUGAR TRADING	044	COH	B	15,000	34.67	24-Oct	24-Oct	750.00	5.0
MTB INV ADV	034	COH	B	15,000	34.37	24-Oct	24-Oct	750.00	5.0
LOCUS WOOD CAPITAL MGMT	044	CPLP	S	29,516	23.14	n/a	n/a	1,180.64	4.0
GALLEON MGMT LP	033	CROX	S	5,000	38.83	n/a	n/a	250.00	5.0
DEEPHAVEN	031	CSCO	B	20,000	29.72	n/a	22-Mar	1,000.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>CTRN</b>	<b>B</b>	<b>25,000</b>	<b>16.19</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>C</b>	<b>S</b>	<b>50,000</b>	<b>35.76</b>	<b>5-Nov</b>	<b>8-Nov</b>	<b>non-brg</b>	<b>4.0</b>
DELTEC ASSET MGMT.	040	C	B	24,200	35.79	5-Nov	8-Nov	1,210.00	5.0
<b>AMATURO</b>	<b>018</b>	<b>DAWXD</b>	<b>S</b>	<b>50</b>	<b>3.77</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
GALLEON MGMT LP	033	DF	SS	10,000	25.57	n/a	n/a	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>DIA</b>	<b>C</b>	<b>5,000</b>	<b>131.07</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
NORTHPOINT	030	DIVX	B	5,560	19.15	n/a	n/a	222.40	4.0
STERLING JOHNSTON	035	DKS	B	30,500	29.20	26-Oct	26-Oct	1,525.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DRI</b>	<b>SS</b>	<b>10,000</b>	<b>40.92</b>	<b>n/a</b>	<b>24-Apr</b>	<b>400.00</b>	<b>4.0</b>
DEEPHAVEN	031	DTV	B	20,000	24.67	21-Sep	12-Nov	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	DUF	B	21,850	17.81	n/a	n/a	874.00	4.0
CAPITAL GROWTH MGMT.	241	DVN	S	28,100	83.03	22-Oct	13-Nov	1,405.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>EFT</b>	<b>B</b>	<b>800</b>	<b>15.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LEVIN CAPITAL STRATEGIES	012	EL	B	10,000	44.22	25-Oct	25-Oct	400.00	4.0
PRINCIPLE CAPITAL	040	FDO	B	13,700	24.77	5-Nov	9-Nov	411.00	3.0
COUGAR TRADING	044	FL	B	20,000	14.71	22-Aug	5-Nov	1,000.00	5.0
PRINCIPLE CAPITAL	040	FOSL	SS	100,000	39.79	13-Nov	13-Nov	3,000.00	3.0
REINHART & MAHONEY	031	FSP	S	1,528	15.09	n/a	n/a	76.40	5.0
CAPITAL GROWTH MGMT.	241	FTI	S	41,900	52.99	n/a	n/a	2,095.00	5.0
MERRILL LYNCH STRATEGICI	034	FTI	B	10,000	52.86	n/a	n/a	500.00	5.0
MORGAN LEWIS/MLH	046	F	B	20,000	7.92	n/a	9-Nov	1,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>B</b>	<b>10,000</b>	<b>46.62</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GIII</b>	<b>S</b>	<b>10,900</b>	<b>14.59</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GIL</b>	<b>B</b>	<b>4,600</b>	<b>40.01</b>	<b>5-Nov</b>	<b>5-Nov</b>	<b>184.00</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GIL</b>	<b>B</b>	<b>5,400</b>	<b>40.17</b>	<b>5-Nov</b>	<b>5-Nov</b>	<b>non-brg</b>	<b>4.0</b>
CASTLE ARK	031	GIL	S	60,000	40.14	5-Nov	5-Nov	3,600.00	6.0
JPSI/TOM LEDDY	035	GIL	B	10,000	40.13	5-Nov	5-Nov	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STADIA CAPITAL	035	GM	B	44,400	31.59	n/a	8-Nov	1,776.00	4.0
APEX CAPITAL MGMT.	091	GPS	SS	50,000	20.40	n/a	12-Nov	2,500.00	5.0
COUGAR TRADING	044	GPS	B	10,000	20.40	n/a	12-Nov	500.00	5.0
<b>AMATURO</b>	<b>018</b>	<b>GSI</b>	<b>S</b>	<b>1,000</b>	<b>12.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MATTHES CAPITAL MGMT	033	HBI	SS	10,000	31.42	n/a	n/a	400.00	4.0
CAPITAL GROWTH MGMT.	241	HES	S	29,900	65.14	n/a	n/a	1,495.00	5.0
BAIRD INVESTMENT	031	HON	B	12,975	57.77	9-Oct	19-Oct	648.75	5.0
<b>JACOB</b>	<b>068</b>	<b>IBN</b>	<b>S</b>	<b>225</b>	<b>63.39</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ICON</b>	<b>S</b>	<b>15,000</b>	<b>22.72</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>IHP</b>	<b>SS</b>	<b>10,000</b>	<b>58.70</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
NORTHPOINT	030	IMCL	B	100	43.55	n/a	n/a	4.00	4.0
JENNISON	032	INTC	S	1,325,000	25.63	n/a	n/a	53,000.00	4.0
NORTHPOINT	030	ISRG	S	3,140	265.62	n/a	n/a	125.60	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>IWM</b>	<b>C</b>	<b>7,500</b>	<b>77.41</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
COUGAR TRADING	044	JCG	S	9,394	39.11	24-Oct	24-Oct	469.70	5.0
COUGAR TRADING	044	JCP	S	5,000	47.46	9-Nov	12-Nov	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DELTEC ASSET MGMT.	040	JCP	B	10,000	48.09	9-Nov	12-Nov	500.00	5.0
APEX CAPITAL MGMT.	091	JWN	B	23,300	34.52	12-Oct	12-Nov	1,165.00	5.0
APEX CAPITAL MGMT.	091	JWN	S	1,700	34.52	12-Oct	12-Nov	85.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JWN</b>	<b>B</b>	<b>20,000</b>	<b>34.40</b>	<b>12-Oct</b>	<b>12-Nov</b>	<b>800.00</b>	<b>4.0</b>
COUGAR TRADING	044	JWN	B	5,000	34.32	12-Oct	12-Nov	250.00	5.0
<b>LUCHANISKY</b>	<b>036</b>	<b>JWN</b>	<b>B</b>	<b>200</b>	<b>34.73</b>	<b>12-Oct</b>	<b>12-Nov</b>	<b>0.00</b>	<b>0.0</b>
REINHART & MAHONEY	031	KAMN	S	6,600	33.61	n/a	n/a	330.00	5.0
<b>OGORMAN</b>	<b>046</b>	<b>KEG</b>	<b>S</b>	<b>400</b>	<b>13.87</b>	<b>29-Oct</b>	<b>9-Nov</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KSS</b>	<b>S</b>	<b>100,000</b>	<b>50.75</b>	<b>9-Nov</b>	<b>12-Nov</b>	<b>4,000.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KWD</b>	<b>B</b>	<b>70,000</b>	<b>17.78</b>	<b>n/a</b>	<b>n/a</b>	<b>2,800.00</b>	<b>4.0</b>
PRINCIPLE CAPITAL	040	LIZ	B	100,000	27.52	n/a	31-Oct	3,000.00	3.0
SARAS CAPITAL	038	LM	S	45,000	73.96	13-Nov	13-Nov	2,250.00	5.0
SUNOVA CAPITAL	031	LM	B	25,000	74.16	13-Nov	13-Nov	1,250.00	5.0
TRIVIUM CAP MGMT	251	LSCC	B	75,000	3.76	n/a	n/a	3,000.00	4.0
BULL PATH CAPITAL	044	LTD	S	55,000	20.03	n/a	13-Nov	2,750.00	5.0
MS PRINCIPAL STRATEGIES	041	MAR	S	12,900	37.05	n/a	n/a	645.00	5.0
SAGE ASSET MGMT	012	MBI	B	90,000	36.83	n/a	n/a	4,500.00	5.0
MANNING & NAPIER	034	MCCC	B	146,350	4.79	7-Nov	7-Nov	4,390.50	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLE	N24	MCCC	B	1,000	4.62	7-Nov	7-Nov	0.00	0.0
CAPITAL GROWTH MGMT.	241	MCD	B	257,600	57.08	n/a	24-Apr	12,880.00	5.0
NORTHPOINT	030	MDU	B	200	26.97	n/a	n/a	8.00	4.0
⚡ BUCK CAPITAL MGMT		MER	S	32,000	56.89	25-Oct	8-Nov	non-brg	4.0
LEDDY	035	MIR	B	400	36.79	n/a	n/a	0.00	0.0
AMATURO	018	MPEL	B	2,000	14.00	n/a	n/a	0.00	0.0
NORTHPOINT	030	MRX	B	200	27.88	n/a	n/a	8.00	4.0
WHITE PINE CAPITAL	030	MTG	B	21,000	22.76	n/a	n/a	1,050.00	5.0
CAPITAL GROWTH MGMT.	241	MUR	S	26,900	69.15	n/a	n/a	1,345.00	5.0
BALYASNY ASSET MGMT	044	M	B	20,000	30.07	9-Nov	12-Nov	1,000.00	5.0
IRON HORSE CAPITAL MGMT	038	M	S	10,000	30.68	9-Nov	12-Nov	500.00	5.0
VISIUM/BALY HOWARD	038	M	B	20,000	30.70	9-Nov	12-Nov	1,000.00	5.0
⚡ BUCK CAPITAL MGMT		NEXC	B	20,000	4.81	n/a	n/a	non-brg	3.0
CAPITAL GROWTH MGMT.	241	NOV	S	47,100	63.92	n/a	n/a	2,355.00	5.0
Õ Glenn Redemann		NTES	B	12	0.13	n/a	n/a	0.00	0.0
Õ Glenn Redemann		NTES	B	12	0.26	n/a	n/a	0.00	0.0
Õ Glenn Redemann		NTES	SS	8	0.50	n/a	n/a	0.00	0.0
Õ Glenn Redemann		NTES	SS	8	0.79	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DEEPHAVEN	031	NWSA	B	100,000	20.90	n/a	n/a	5,000.00	5.0
COUGAR TRADING	044	NWY	S	20,000	7.94	n/a	12-Nov	1,000.00	5.0
OPPENHEIMER MGMT.	036	OMX	B	17,700	26.47	n/a	15-Apr	708.00	4.0
NORTHPOINT	030	PBCT	B	9,100	16.66	n/a	n/a	364.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>PEP</b>	<b>SS</b>	<b>10,000</b>	<b>73.26</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PLCE</b>	<b>B</b>	<b>40,000</b>	<b>26.61</b>	<b>26-Sep</b>	<b>12-Nov</b>	<b>non-brg</b>	<b>4.0</b>
MTB INV ADV	034	PLCE	B	34,665	26.56	26-Sep	12-Nov	1,733.25	5.0
MERRILL LYNCH STRATEGICI	034	PLD	B	40,000	69.39	n/a	n/a	2,400.00	6.0
NORTHPOINT	030	PPDI	B	200	41.04	n/a	n/a	8.00	4.0
<b>LISTED ERR</b>	<b>099</b>	<b>PRX</b>	<b>B</b>	<b>50</b>	<b>17.88</b>	<b>28-Sep</b>	<b>12-Nov</b>	<b>0.00</b>	<b>0.0</b>
NORTHPOINT	030	PSYS	B	200	38.83	n/a	n/a	8.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PTT</b>	<b>S</b>	<b>5,000</b>	<b>10.22</b>	<b>n/a</b>	<b>n/a</b>	<b>200.00</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PTT</b>	<b>S</b>	<b>5,000</b>	<b>10.97</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
JPMSI/TOM LEDDY	035	PVH	S	20,000	44.26	13-Aug	29-Aug	1,000.00	5.0
<b>ZOLIDIS</b>	<b>011</b>	<b>PXG</b>	<b>B</b>	<b>2,500</b>	<b>2.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>OGORMAN</b>	<b>046</b>	<b>PXG</b>	<b>B</b>	<b>845</b>	<b>2.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>NOLAN</b>	<b>067</b>	<b>PXG</b>	<b>B</b>	<b>100</b>	<b>2.34</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GALLEON MGMT LP	033	QQQQ	SS	10,000	50.05	n/a	n/a	500.00	5.0
FIRST NEW YORK LEDDY	035	Q	S	5,000	6.50	n/a	n/a	300.00	6.0
NORTHPOINT	030	REXX	B	8,498	9.50	n/a	n/a	254.94	3.0
ß BUCK CAPITAL MGMT		RICK	S	5,000	15.83	n/a	n/a	non-brg	2.5
COUGAR TRADING	044	RL	B	5,000	72.18	8-Nov	8-Nov	250.00	5.0
IRON HORSE CAPITAL MGMT	038	RL	B	8,400	71.79	8-Nov	8-Nov	420.00	5.0
STERLING JOHNSTON	035	RL	B	12,250	71.81	8-Nov	8-Nov	612.50	5.0
ß BUCK CAPITAL MGMT		RRGB	SS	10,000	41.33	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		RTH	C	10,000	94.80	n/a	n/a	non-brg	1.0
REINHART & MAHONEY	031	SALM	S	6,100	7.93	n/a	n/a	305.00	5.0
APEX CAPITAL MGMT.	091	SBUX	B	150,000	23.57	n/a	24-Apr	7,500.00	5.0
ß BUCK CAPITAL MGMT		SGMS	C	30,000	32.51	n/a	n/a	non-brg	4.0
OGORMAN	046	SKF	S	100	93.26	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKS	B	20,000	20.90	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	SKX	S	30,000	21.60	n/a	13-Mar	1,200.00	4.0
ß BUCK CAPITAL MGMT		SKX	S	14,400	21.40	n/a	13-Mar	non-brg	4.0
ß BUCK CAPITAL MGMT		SKX	S	30,000	21.82	n/a	13-Mar	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
VISIUM/BALY HOWARD	038	SKX	B	15,000	21.40	n/a	13-Mar	750.00	5.0
CAPITAL GROWTH MGMT.	241	SLB	S	28,200	91.48	n/a	n/a	1,410.00	5.0
⌘ BUCK CAPITAL MGMT		SPY	C	6,000	145.50	n/a	n/a	non-brg	1.0
CAPITAL GROWTH MGMT.	241	STLD	S	52,600	46.44	n/a	n/a	2,630.00	5.0
DEEPHAVEN	031	S	B	31,000	15.85	n/a	n/a	1,550.00	5.0
MTB INV ADV	034	TGT	B	12,000	58.73	n/a	27-Jul	600.00	5.0
WAGONHOUND	048	TIF	B	10,300	46.69	18-Oct	18-Oct	412.00	4.0
XYLEM GLOBAL	091	TIN	S	20,000	47.85	9-Nov	9-Nov	1,000.00	5.0
BUCK CAPITAL MGMT	001	TJX	S	40,000	30.40	21-Sep	12-Nov	1,600.00	4.0
⌘ BUCK CAPITAL MGMT		TRLG	S	60,000	18.53	n/a	n/a	non-brg	4.0
BAIRD INVESTMENT	031	TROW	B	11,050	61.81	19-Oct	23-Oct	552.50	5.0
NEUBERGER BERMAN	036	TSN	S	142,900	15.01	n/a	n/a	7,145.00	5.0
Õ Glenn Redemann		TSRA	B	6	0.32	n/a	n/a	0.00	0.0
Õ Glenn Redemann		TSRA	B	6	0.42	n/a	n/a	0.00	0.0
Õ Glenn Redemann		TSRA	SS	4	1.10	n/a	n/a	0.00	0.0
Õ Glenn Redemann		TSRA	SS	4	1.29	n/a	n/a	0.00	0.0
WASHINGTON ASSET	048	TTEK	S	13,875	22.25	n/a	n/a	693.75	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAPITAL GROWTH MGMT.	241	TXT	S	37,600	66.05	n/a	n/a	1,880.00	5.0
NORTHPOINT	030	UHC0	B	200	24.70	n/a	n/a	8.00	4.0
ß BUCK CAPITAL MGMT		URBN	S	120,000	26.28	9-Nov	12-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		URBN	S	70,000	26.55	9-Nov	12-Nov	non-brg	4.0
REINHART & MAHONEY	031	USM	S	4,400	85.03	n/a	n/a	220.00	5.0
FIRST NY SEC/CHRIS	041	VC	B	25,000	5.09	n/a	1-Nov	1,000.00	4.0
LEDDY	035	VC	B	3,000	5.04	n/a	1-Nov	0.00	0.0
MERRILL ASSET	032	VQ	S	6,800	20.12	n/a	n/a	306.00	4.5
Õ Alice Longley		VRAZ	S	1500	5.51	n/a	n/a	0.00	0.0
BARROW HANLEY MEWHINNEY	031	VRX	S	122,000	11.05	n/a	n/a	4,880.00	4.0
FARALLON CAP MGMT	040	VZ	SS	230,000	43.21	21-Sep	12-Nov	9,200.00	4.0
BALYASNY ASSET MGMT	044	WDR	B	20,000	33.42	6-Nov	6-Nov	1,000.00	5.0
ß BUCK CAPITAL MGMT		WFMI	SS	10,000	46.41	n/a	n/a	non-brg	4.0
CAPITAL GROWTH MGMT.	241	WFR	S	30,800	70.34	n/a	n/a	1,540.00	5.0
BUCK CAPITAL MGMT	001	WMT	B	70,000	45.72	n/a	27-Jul	2,800.00	4.0
XYLEM GLOBAL	091	WY	S	8,300	74.00	1-Nov	1-Nov	415.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEDDY	035	XOHO	S	2,600	2.86	n/a	n/a	0.00	0.0
CASTLE ARK	031	XOM	S	114,470	83.71	n/a	n/a	6,868.20	6.0
REINHART & MAHONEY	031	YDNT	S	5,376	23.13	n/a	n/a	268.80	5.0
DEEPHAVEN	031	YHOO	B	60,000	25.77	n/a	n/a	3,000.00	5.0
RAINIER INV MGMT	035	ZMH	S	71,615	67.19	n/a	n/a	3,580.75	5.0
BUCK CAPITAL MGMT	001	ZQK	S	49	12.09	n/a	31-Oct	1.96	4.0
TOTAL (Trade Date):							255,457.59		

# Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	11/12	MERRILL LYNCH STRATEGICI	034	BJS	B	25,000	24.64	n/a	n/a	1000.00 4.0
AO,CXL	11/12	MERRILL LYNCH STRATEGICI	034	BJS	B	25,000	24.64	n/a	n/a	1250.00 5.0
AO,CXL	11/09	MERRILL LYNCH STRATEGICI	034	CVX	B	25,000	87.98	n/a	n/a	1250.00 5.0
AO,CRT	11/09	MERRILL LYNCH STRATEGICI	034	CVX	B	25,000	87.98	n/a	n/a	1500.00 6.0
AO,CXL	11/12	MERRILL LYNCH STRATEGICI	034	DD	B	51,000	47.43	n/a	23-Oct	0.00 0.0
AO,CXL	11/09	MERRILL LYNCH STRATEGICI	034	DIS	SS	20,000	32.76	n/a	n/a	1000.00 5.0
AO,CRT	11/09	MERRILL LYNCH STRATEGICI	034	DIS	SS	20,000	32.76	n/a	n/a	800.00 4.0
AO,CRT	11/09	MERRILL LYNCH STRATEGICI	034	GLW	S	100,000	21.75	n/a	24-Oct	4000.00 4.0
AO,CXL	11/09	MERRILL LYNCH STRATEGICI	034	GLW	S	100,000	21.75	n/a	24-Oct	5000.00 5.0
AO,	11/12	GALLEON MGMT LP	033	LAZ	B	40,000	45.66	n/a	n/a	2000.00 5.0
AO,CRT	11/06	BANK OF NEW YORK	040	NVS	S	12,775	52.70	n/a	n/a	574.88 4.5
AO,CXL	11/06	BANK OF NEW YORK	040	NVS	S	12,775	52.70	n/a	n/a	638.75 5.0
AO,CXL	11/09	ROARING BLUE LION MGMT	036	PLCE	B	36,000	24.64	26-Sep	12-Nov	1440.00 4.0
AO,CRT	11/09	ROARING BLUE LION MGMT	012	PLCE	B	36,000	24.64	26-Sep	12-Nov	1440.00 4.0
AO,	11/06	LISTED ERR	099	PRX	S	50	17.07	28-Sep	12-Nov	0.00 0.0
AO,CRT	11/06	ROTHSCHILD ASSET	040	PRX	S	602	17.07	28-Sep	12-Nov	27.09 4.5
AO,CXL	11/06	ROTHSCHILD ASSET	040	PRX	S	652	17.07	28-Sep	12-Nov	29.34 4.5
AO,CXL	11/07	PROSPECTOR PARTNERS LLC	036	TR	B	800	23.75	n/a	n/a	32.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CRT	11/07	PROSPECTOR PARTNERS LLC	036	TR	B	800	23.75	n/a n/a	32.00 4.0
AO,CRT	11/09	LEHMAN PROPRIETARY TRAD	041	YSI	B	80,000	10.72	n/a n/a	3200.00 4.0
AO,CXL	11/09	LEHMAN PROPRIETARY TRAD	041	YSI	B	80,000	10.72	n/a n/a	4000.00 5.0
<b>TOTAL (AO, CXL, CRT) :</b>									<b>-66.12</b>

TOTAL (Trade Date):	255,457.59
TOTAL (AO, CXL, CRT):	-66.12

<b>TOTAL (RUN DATE) / NFS:</b>	<b>255,391.47</b>
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MRI Securities with Trade Activity on 13-Nov.  
**FOSL, LM**

MRI Securities without Trade Activity on 13-Nov.  
**BAC, JNC**

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 38%  
YTD = 18%

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