



# Daily Compliance Activity Report

Trade Date: 06/09/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MADISON ST PARTNERS LLC	046	AGCO	B	15,000	48.15	n/a	27-Apr	750.00	5.0
MACQUARIE INVESTMENT MGMT.	040	AGU	SS	7,500	84.97	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	AIMC	B	50,000	23.57	n/a	n/a	1,000.00	2.0
PERRY PARTNERS	085	AMT	S	50,000	49.86	n/a	n/a	2,500.00	5.0
PIONEER OAKRIDGE	031	ANSS	B	25,000	52.25	n/a	n/a	500.00	2.0
PIONEER OAKRIDGE	031	AOS	B	10,000	39.95	n/a	6-Jun	200.00	2.0
<b>f BARBARA S LEDDY</b>	<b>FID</b>	<b>ARCO</b>	<b>B</b>	<b>300</b>	<b>21.89</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>ARCO</b>	<b>B</b>	<b>1500</b>	<b>21.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PIONEER OAKRIDGE	031	AREX	B	20,000	23.26	n/a	n/a	400.00	2.0
<b>B BUCK CAPITAL MGMT</b>		<b>BBRG</b>	<b>SS</b>	<b>20,000</b>	<b>21.69</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
COBALT	041	BEAV	B	10,000	36.62	n/a	3-Jun	400.00	4.0
PZENA INV ADV	044	BEN	B	1,550	123.95	n/a	2-Mar	54.26	3.5
PIONEER OAKRIDGE	031	BKU	B	30,000	27.77	n/a	n/a	600.00	2.0
<b>B BUCK CAPITAL MGMT</b>		<b>BWLD</b>	<b>SS</b>	<b>10,000</b>	<b>57.45</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BWLD</b>	<b>SS</b>	<b>15,000</b>	<b>57.29</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>

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<b>B</b> BUCK CAPITAL MGMT		BWLD	SS	15,000	57.45	n/a	n/a	non-brg	4.0
GLENHILL CAPITAL	036	BYI	B	39,750	36.21	n/a	11-May	1,987.50	5.0
BMO NESBITT BURNS	041	BZ	S	6,000	7.57	n/a	n/a	420.00	7.0
PIONEER OAKRIDGE	031	CHSI	B	25,000	53.77	n/a	n/a	500.00	2.0
<b>f</b> MARC PAUL LUCHANSKY	<b>FID</b>	<b>CMCSA</b>	<b>S</b>	<b>200</b>	<b>24.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		COH	<b>B</b>	<b>30,000</b>	<b>60.12</b>	<b>n/a</b>	<b>3-Jun</b>	<b>non-brg</b>	<b>4.0</b>
EMERSON CAPITAL MGMT	048	COH	B	10,551	59.77	n/a	3-Jun	316.53	3.0
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>COP</b>	<b>B</b>	<b>1000</b>	<b>72.71</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MERRILL ASSET/BLACKROCK	297	CPT	S	5,600	64.47	n/a	n/a	224.00	4.0
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>CS</b>	<b>S</b>	<b>2000</b>	<b>41.14</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SUN AMERICA ASSET MGMT	030	CVX	B	63,000	101.43	n/a	n/a	2,520.00	4.0
CATAPULT	040	C	S	5,000	37.43	n/a	2-Jun	200.00	4.0
<b>B</b> BUCK CAPITAL MGMT		DAL	<b>B</b>	<b>2,300</b>	<b>9.20</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>B</b> BUCK CAPITAL MGMT		DECK	<b>S</b>	<b>10,000</b>	<b>80.72</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
PIONEER OAKRIDGE	031	DECK	B	10,000	80.93	n/a	n/a	200.00	2.0
PIONEER OAKRIDGE	031	DHX	B	50,000	13.51	n/a	n/a	1,000.00	2.0
<b>f</b> MARC PAUL LUCHANSKY	<b>FID</b>	<b>DODGX</b>	<b>B</b>	<b>76</b>	<b>111.73</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.	
<b>f</b> <b>MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>EATVX</b>	<b>S</b>	<b>248</b>	<b>17.01</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CATAPULT	040	ECL	SS	10,000	54.50	n/a	2-Jun	400.00	4.0
MAIRS AND POWER INV	030	ECL	S	10,000	54.67	n/a	2-Jun	500.00	5.0
PIONEER PATH	028	EFA	B	19,650	60.60	n/a	n/a	589.50	3.0
<b>f</b> <b>CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>EL</b>	<b>B</b>	<b>50</b>	<b>97.07</b>	<b>n/a</b>	<b>19-May</b>	<b>0.00</b>	<b>0.0</b>
MERRILL ASSET/BLACKROCK	297	ESS	S	11,000	136.05	n/a	n/a	440.00	4.0
RWC PARTNERS LTD	085	ESV	B	17,328	54.57	n/a	n/a	519.84	3.0
SAC TRADING TOM LEDDY	035	EXPR	S	15,000	19.80	n/a	n/a	0.00	0.0
<b>f</b> <b>MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>FAGCX</b>	<b>B</b>	<b>293</b>	<b>37.53</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> <b>MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>FCPVX</b>	<b>S</b>	<b>265</b>	<b>15.44</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROYCE TRADING	012	FINL	B	4,400	21.25	n/a	10-May	220.00	5.0
<b>f</b> <b>MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>FINSX</b>	<b>S</b>	<b>673</b>	<b>20.43</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> <b>BUCK CAPITAL MGMT</b>		<b>FIO</b>	<b>S</b>	<b>1,000</b>	<b>24.39</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>f</b> <b>MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>FLPSX</b>	<b>B</b>	<b>64</b>	<b>40.64</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> <b>MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>FMIHX</b>	<b>B</b>	<b>318</b>	<b>16.34</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> <b>BUCK CAPITAL MGMT</b>		<b>FOR</b>	<b>B</b>	<b>500</b>	<b>15.55</b>	<b>n/a</b>	<b>5-May</b>	<b>non-brg</b>	<b>1.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO NESBITT BURNS	041	FRED	SS	3,000	14.13	n/a	n/a	120.00	4.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>GOOG</b>	<b>S</b>	<b>24</b>	<b>516.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PIONEER OAKRIDGE	031	GPOR	B	25,000	27.04	n/a	n/a	500.00	2.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>GSMCX</b>	<b>S</b>	<b>78</b>	<b>37.23</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PIONEER OAKRIDGE	031	HAE	B	20,000	65.75	n/a	n/a	400.00	2.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>HBC</b>	<b>B</b>	<b>1500</b>	<b>51.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PIONEER OAKRIDGE	031	HMSY	B	20,000	75.03	n/a	n/a	400.00	2.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>HNT</b>	<b>B</b>	<b>2000</b>	<b>30.86</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PERRY PARTNERS	085	HTZ	S	75,000	14.45	n/a	n/a	3,750.00	5.0
PIONEER OAKRIDGE	031	ICON	B	70,000	22.13	n/a	n/a	1,400.00	2.0
PIONEER OAKRIDGE	031	IDXX	B	20,000	73.65	n/a	n/a	400.00	2.0
PIONEER OAKRIDGE	031	INFA	B	15,000	55.05	n/a	n/a	300.00	2.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>IWD</b>	<b>B</b>	<b>97</b>	<b>66.71</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
GLENHILL CAPITAL	036	JCI	B	136,012	36.39	n/a	26-Apr	6,800.60	5.0
PIONEER OAKRIDGE	031	KMT	B	40,000	38.57	n/a	29-Apr	800.00	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAC CHICAGO ANDREW	031	KR	SS	100,000	23.90	n/a	n/a	3,500.00	3.5
PIONEER OAKRIDGE	031	LKQX	B	50,000	24.86	n/a	n/a	1,000.00	2.0
CYRUS CAPITAL	025	LPX	B	95,000	7.43	n/a	19-May	2,850.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>LTD</b>	<b>B</b>	<b>20,000</b>	<b>36.44</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>LTM</b>	<b>SS</b>	<b>40,000</b>	<b>34.82</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f NICOLAS EVAN PAKLER</b>	<b>FID</b>	<b>LULU</b>	<b>B</b>	<b>60</b>	<b>84.92</b>	<b>n/a</b>	<b>6-Jun</b>	<b>0.00</b>	<b>0.0</b>
PIONEER OAKRIDGE	031	MCRS	B	20,000	47.26	n/a	n/a	400.00	2.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>MDIDX</b>	<b>B</b>	<b>63</b>	<b>14.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>MERC</b>	<b>S</b>	<b>400</b>	<b>12.04</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>MGM</b>	<b>S</b>	<b>4000</b>	<b>13.03</b>	<b>n/a</b>	<b>9-Jun</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>MLAIX</b>	<b>B</b>	<b>1129</b>	<b>7.53</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SONTERRA CAP	041	MMI	SS	50,000	23.41	n/a	n/a	2,000.00	4.0
RWC PARTNERS LTD	085	MOS	B	13,076	68.35	n/a	n/a	392.28	3.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>MRK</b>	<b>B</b>	<b>1000</b>	<b>36.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MSMSBCM</b>	<b>SS</b>	<b>1,621,581</b>	<b>95.30</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.8</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>MSMSDAH2</b>	<b>C</b>	<b>915,000</b>	<b>93.58</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.7</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MTG</b>	<b>B</b>	<b>106,200</b>	<b>5.75</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MVRX</b>	<b>C</b>	<b>325,365</b>	<b>211.80</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>10.6</b>
PIONEER OAKRIDGE	031	MWIV	B	15,000	81.79	n/a	n/a	300.00	2.0
BMO NESBITT BURNS	041	MWV	B	4,000	32.37	n/a	27-Apr	280.00	7.0
SMITH MGMT LLC	029	NDN	B	244,000	20.56	n/a	27-May	7,320.00	3.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>NINLX</b>	<b>B</b>	<b>254</b>	<b>11.83</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>NMBAX</b>	<b>S</b>	<b>500</b>	<b>8.95</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>NNP</b>	<b>B</b>	<b>1000</b>	<b>14.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COOKBIELER	028	NX	B	100,000	18.01	n/a	n/a	4,000.00	4.0
PIONEER OAKRIDGE	031	OAS	B	30,000	27.66	n/a	n/a	600.00	2.0
BALYASNY ASSET MGMT	044	ORLY	SS	20,000	59.51	n/a	n/a	1,000.00	5.0
ROSEDALE CAPITAL	046	OSK	B	10,000	26.57	n/a	n/a	500.00	5.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>PAFDX</b>	<b>S</b>	<b>578</b>	<b>24.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>PARRX</b>	<b>S</b>	<b>268</b>	<b>11.69</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

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SANDLER O'NEILL ASSET	031	PBCT	B	25,000	12.63	n/a	19-May	1,250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>PCAR</b>	<b>B</b>	<b>900</b>	<b>47.24</b>	<b>n/a</b>	<b>20-Apr</b>	<b>non-brg</b>	<b>4.0</b>
WOOSTER CAPITAL	035	PCAR	B	25,000	47.16	n/a	20-Apr	1,250.00	5.0
CATAPULT	040	PCH	B	15,000	35.26	n/a	3-Jun	600.00	4.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>PEEAX</b>	<b>B</b>	<b>31</b>	<b>28.97</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>PEIDX</b>	<b>B</b>	<b>715</b>	<b>11.89</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LONG OAR GLOBAL INV	040	PKG	SS	69,000	28.93	n/a	19-Apr	2,760.00	4.0
PIONEER OAKRIDGE	031	PLCE	B	15,000	45.30	n/a	8-Jun	300.00	2.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>PM</b>	<b>B</b>	<b>1000</b>	<b>68.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PIONEER OAKRIDGE	031	PRAA	B	15,000	80.20	n/a	n/a	300.00	2.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>PRFSX</b>	<b>B</b>	<b>535</b>	<b>5.61</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CATAPULT	040	PX	SS	10,000	101.54	n/a	9-Jun	400.00	4.0
PIONEER OAKRIDGE	031	QCOR	B	35,000	21.76	n/a	n/a	700.00	2.0
PIONEER OAKRIDGE	031	QGEN	B	25,000	19.28	n/a	n/a	500.00	2.0
PIONEER OAKRIDGE	031	RBN	B	25,000	42.84	n/a	n/a	500.00	2.0
PAULSON & CO INC	041	RIG	S	250,000	65.09	n/a	n/a	7,500.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CYPRESS CAP MGMT LLC	040	ROST	SS	11,700	77.79	n/a	n/a	468.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>RRR</b>	<b>B</b>	<b>2,400</b>	<b>10.95</b>	<b>n/a</b>	<b>26-Apr</b>	<b>non-brg</b>	<b>4.0</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>RYPFX</b>	<b>B</b>	<b>184</b>	<b>11.98</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PIONEER OAKRIDGE	031	SF	B	50,000	37.25	n/a	n/a	1,000.00	2.0
PIONEER OAKRIDGE	031	SIRO	B	30,000	51.58	n/a	n/a	600.00	2.0
MERRILL ASSET/BLACKROCK	297	SLGN	B	33,900	44.38	n/a	n/a	1,356.00	4.0
PIONEER OAKRIDGE	031	SLH	B	15,000	57.08	n/a	n/a	300.00	2.0
LATEFF MGMT	035	SPLS	B	400	15.23	n/a	n/a	52.00	13.0
BMO NESBITT BURNS	041	SVU	S	6,000	8.73	n/a	n/a	240.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>SWFT</b>	<b>B</b>	<b>1,800</b>	<b>11.89</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SONTERRA CAP	041	SWY	SS	20,000	22.65	n/a	n/a	800.00	4.0
AMBER CAPITAL	046	S	B	500,000	5.44	n/a	n/a	15,000.00	3.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>TAMVX</b>	<b>B</b>	<b>164</b>	<b>24.45</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>TBT</b>	<b>S</b>	<b>250</b>	<b>32.87</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EMERSON CAPITAL MGMT	048	TIF	B	2,000	73.18	n/a	n/a	60.00	3.0



Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BNP PARIBAS SEC	040	TIN	B	25,000	30.07	n/a	7-Jun	1,250.00	5.0
BUTTE CAPITAL MGMT LLC	084	TIN	B	5,000	29.95	n/a	7-Jun	250.00	5.0
SCOPUS FUND	041	TIN	B	50,000	30.06	n/a	7-Jun	2,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>TOL</b>	<b>B</b>	<b>2,100</b>	<b>20.18</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f PATRICK O'GRADY</b>	<b>FID</b>	<b>TRMAQ</b>	<b>B</b>	<b>5000</b>	<b>0.14</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SURVEYOR CAPITAL	041	UA	SS	100,000	64.09	n/a	27-Apr	3,000.00	3.0
MASTERS CAPITAL MANAGE	091	VLO	B	100,000	25.65	n/a	n/a	4,000.00	4.0
MATRIX ASSET ADV.	091	VOD	B	5,000	26.57	n/a	n/a	200.00	4.0
PIONEER OAKRIDGE	031	WCN	B	50,000	30.84	n/a	n/a	1,000.00	2.0
MERRILL ASSET/BLACKROCK	297	WLL	B	11,700	60.55	n/a	n/a	468.00	4.0
BRANDWINE	028	WMT	B	32,000	53.91	n/a	18-May	1,280.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>WNC</b>	<b>B</b>	<b>2,300</b>	<b>8.94</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>WRC</b>	<b>S</b>	<b>9,500</b>	<b>50.00</b>	<b>n/a</b>	<b>6-May</b>	<b>non-brg</b>	<b>4.0</b>
PIONEER OAKRIDGE	031	WWW	B	15,000	36.65	n/a	n/a	300.00	2.0
PIONEER OAKRIDGE	031	WXS	B	35,000	49.89	n/a	n/a	700.00	2.0

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**TOTAL (Trade Date):**

**105,838.51**

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**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	06/07	BALLAST CAP	040	CAKE	B	13,000	30.08	n/a	21-Apr	650.00 5.0
AO,CXL	06/07	BALLAST CAP	040	CAKE	B	13,000	30.08	n/a	21-Apr	390.00 3.0
AO,CXL	06/08	BROADARCH CAP/OLD NEWC	070	DO	B	4,000	68.90	n/a	n/a	160.00 4.0
AO,CRT	06/08	BROADARCH CAP/OLD NEWC	070	DO	B	4,000	68.90	n/a	n/a	160.00 4.0
AO,CRT	06/07	BALLAST CAP	040	ITT	B	10,500	55.80	n/a	4-May	525.00 5.0
AO,CXL	06/07	BALLAST CAP	040	ITT	B	10,500	55.80	n/a	4-May	315.00 3.0
AO,CXL	06/08	LISTED ERR	041	URI	S	38	22.40	n/a	n/a	0.00 0.0
AO,CRT	06/08	MOORE CAPITAL	041	URI	S	15,138	22.40	n/a	n/a	605.52 4.0
AO,CXL	06/08	MOORE CAPITAL	041	URI	S	15,100	22.40	n/a	n/a	604.00 4.0

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**TOTAL (AO, CXL, CRT) :****471.52**

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**TOTAL (Trade Date) :****105,838.51****TOTAL (AO, CXL, CRT) :****471.52**

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**TOTAL (RUN DATE) / NFS :****106,310.03**

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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO	06/08	BUCK CAPITAL MGMT	FIO	B	1,000	19.00	n/a	n/a	0.00	0.0

MRI Securities with Trade Activity on 9-Jun.  
NONE

MRI Securities without Trade Activity on 9-Jun.  
NONE

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 0%  
YTD = 3%

**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**

**Watch List Trades**

**f: Employee Trades (Fidelity)**