



# Daily Compliance Activity Report

Trade Date: 11/21/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	ABG	S	50,000	17.08	31-Oct	2-Nov	2,000.00	4.0
BUCK CAPITAL MGMT	001	AEO	S	100,000	20.90	9-Nov	20-Nov	4,000.00	4.0
BUCK CAPITAL MGMT	001	ARO	S	100,000	24.95	9-Nov	20-Nov	4,000.00	4.0
COUGAR TRADING	044	ARO	S	5,000	24.26	9-Nov	20-Nov	250.00	5.0
THE BOSTON COMPANY	214	BBY	C	48,430	47.19	n/a	27-Jul	2,421.50	5.0
COUGAR TRADING	044	BLK	B	5,000	185.90	21-Nov	21-Nov	250.00	5.0
COUGAR TRADING	044	BLK	SS	5,000	184.11	21-Nov	21-Nov	250.00	5.0
FORD FDN.	032	BMJ	B	20,000	27.67	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT		BONT	B	5,000	11.63	9-Nov	21-Nov	non-brg	4.0
LEDDY	035	BONT	B	1,800	11.80	9-Nov	21-Nov	0.00	0.0
SANDLER O'NEILL ASSET	031	BSC	SS	25,000	92.22	15-Nov	20-Nov	1,250.00	5.0
BUCK CAPITAL MGMT	001	CAB	S	50,000	15.59	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT		CACH	S	58,763	14.22	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	CCE	SS	20,000	24.85	n/a	n/a	800.00	4.0
MARK ASSETMGMT (SR)	091	CFC	S	40,000	9.25	n/a	n/a	2,000.00	5.0
ZOLIDIS	011	CHS	C	1,500	10.40	9-Nov	12-Nov	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GRUSS CAPITAL	045	CKR	B	5,000	14.41	n/a	n/a	200.00	4.0
ROCKEFELLER & CO.	045	CMCSA	B	58,510	19.25	26-Oct	19-Nov	2,925.50	5.0
<b>BARR</b>	<b>096</b>	<b>COF</b>	<b>SS</b>	<b>700</b>	<b>49.94</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>S</b>	<b>151,700</b>	<b>34.20</b>	<b>24-Oct</b>	<b>24-Oct</b>	<b>6,068.00</b>	<b>4.0</b>
COUGAR TRADING	044	COH	B	5,000	34.20	24-Oct	24-Oct	250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>CROX</b>	<b>S</b>	<b>70,000</b>	<b>36.80</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CTRN</b>	<b>B</b>	<b>20,000</b>	<b>15.07</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DECK</b>	<b>SS</b>	<b>10,000</b>	<b>120.75</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DIA</b>	<b>SS</b>	<b>200,000</b>	<b>128.89</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
COLUMBIA PARTNERS	028	DKS	SS	14,206	30.56	n/a	20-Nov	568.24	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>DLTR</b>	<b>SS</b>	<b>30,000</b>	<b>26.40</b>	<b>9-Nov</b>	<b>9-Nov</b>	<b>non-brg</b>	<b>4.0</b>
<b>OGORMAN</b>	<b>046</b>	<b>DXD</b>	<b>B</b>	<b>400</b>	<b>53.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>EAR</b>	<b>S</b>	<b>14,400</b>	<b>1.35</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>EDA</b>	<b>S</b>	<b>27,110</b>	<b>12.42</b>	<b>n/a</b>	<b>n/a</b>	<b>1,084.40</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>EGLT</b>	<b>C</b>	<b>30,000</b>	<b>11.47</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
AAD CAPITAL	048	ERIC	B	200,000	23.37	n/a	n/a	6,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RAINIER INV MGMT	035	ETR	B	63,450	118.36	n/a	n/a	3,172.50	5.0
BALYASNY ASSET MGMT	044	EV	B	15,000	40.18	20-Nov	21-Nov	750.00	5.0
REINHART & MAHONEY	031	EV	S	23,226	41.87	20-Nov	21-Nov	1,161.30	5.0
SUNOVA CAPITAL	031	EV	SS	50,000	40.64	20-Nov	21-Nov	2,500.00	5.0
LISTED ERR	099	EV	B	500	42.37	20-Nov	21-Nov	0.00	0.0
⌘ BUCK CAPITAL MGMT		FGXI	S	20,000	14.22	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		FGXI	S	56,184	14.25	n/a	n/a	non-brg	4.0
MKT MAKER	099	FINL	B	100	3.00	n/a	28-Sep	0.00	0.0
⌘ BUCK CAPITAL MGMT		FOSL	SS	30,000	40.79	13-Nov	13-Nov	non-brg	4.0
BUCK CAPITAL MGMT	001	GES	B	20,000	39.93	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	GES	S	50,000	38.83	n/a	n/a	2,000.00	4.0
ZOLIDIS	011	GES	B	250	39.94	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GIL	S	100,000	37.28	5-Nov	5-Nov	4,000.00	4.0
BARR	096	GLD	B	200	79.20	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		GYMB	S	25,000	29.37	10-Aug	21-Nov	non-brg	2.0
⌘ BUCK CAPITAL MGMT		GYMB	S	95,000	29.48	10-Aug	21-Nov	non-brg	4.0
GALLEON MGMT LP	033	GYMB	B	10,000	29.97	10-Aug	21-Nov	500.00	5.0
⌘ BUCK CAPITAL MGMT		HIBB	C	15,000	19.91	n/a	n/a	non-brg	4.0
MERRILL LYNCH STRATEGICI	034	HSY	B	20,000	38.94	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RAINIER INV MGMT	035	ICE	B	33,650	166.73	n/a	n/a	1,682.50	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>ICON</b>	<b>S</b>	<b>30,000</b>	<b>21.58</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>IWM</b>	<b>SS</b>	<b>300,000</b>	<b>74.18</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
GRUSS CAPITAL	045	IWM	SS	5,000	74.05	n/a	n/a	200.00	4.0
MERRILL LYNCH STRATEGICI	034	JASO	B	5,000	50.62	n/a	n/a	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCG</b>	<b>B</b>	<b>10,000</b>	<b>36.15</b>	<b>24-Oct</b>	<b>24-Oct</b>	<b>400.00</b>	<b>4.0</b>
COUGAR TRADING	044	JCG	B	1,200	36.14	24-Oct	24-Oct	60.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCP</b>	<b>S</b>	<b>130,000</b>	<b>40.37</b>	<b>15-Nov</b>	<b>16-Nov</b>	<b>5,200.00</b>	<b>4.0</b>
<b>MAGUIRE</b>	<b>090</b>	<b>JCP</b>	<b>B</b>	<b>1,500</b>	<b>40.63</b>	<b>15-Nov</b>	<b>16-Nov</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	JNS	SS	10,000	30.24	21-Nov	21-Nov	500.00	5.0
DISIPLINED GROWTH INV.	030	JNS	B	14,200	29.44	21-Nov	21-Nov	710.00	5.0
GALLEON MGMT LP	033	JNS	SS	22,500	29.66	21-Nov	21-Nov	1,125.00	5.0
SUNOVA CAPITAL	031	JNS	SS	100,000	29.35	21-Nov	21-Nov	5,000.00	5.0
<b>BARR</b>	<b>096</b>	<b>JPM</b>	<b>C</b>	<b>300</b>	<b>41.36</b>	<b>19-Oct</b>	<b>20-Nov</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JWN</b>	<b>S</b>	<b>60,000</b>	<b>33.66</b>	<b>20-Nov</b>	<b>20-Nov</b>	<b>2,400.00</b>	<b>4.0</b>
COUGAR TRADING	044	JWN	B	10,000	33.94	20-Nov	20-Nov	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KMB</b>	<b>SS</b>	<b>10,000</b>	<b>68.52</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
COUGAR TRADING	044	KSS	B	5,000	48.46	9-Nov	16-Nov	250.00	5.0
MERRILL LYNCH STRATEGICI	034	KSS	B	18,000	47.92	9-Nov	16-Nov	900.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GRUSS CAPITAL	045	KSWS	B	5,000	17.03	n/a	13-Mar	200.00	4.0
⌘ BUCK CAPITAL MGMT		LAMR	S	60,000	49.06	n/a	n/a	non-brg	4.0
MERRILL ASSET	032	LNG	S	54,900	34.39	n/a	n/a	2,470.50	4.5
XYLEM GLOBAL	091	LPX	B	100,000	14.62	30-Oct	30-Oct	4,000.00	4.0
BUCK CAPITAL MGMT	001	LTD	SS	50,000	18.00	n/a	21-Nov	2,000.00	4.0
BUCK CAPITAL MGMT	001	LTM	S	60,000	49.06	n/a	n/a	2,400.00	4.0
MS PRINCIPAL STRATEGIES	041	MAR	S	5,400	34.75	n/a	n/a	270.00	5.0
⌘ BUCK CAPITAL MGMT		MSSR	SS	10,000	14.81	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		MWV	S	102,500	30.53	31-Jul	26-Oct	non-brg	4.0
MAGUIRE	090	MZZ	S	7,500	60.16	n/a	n/a	0.00	0.0
BARR	096	MZZ	S	200	60.00	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		M	B	50,000	28.70	9-Nov	15-Nov	non-brg	4.0
COUGAR TRADING	044	M	B	10,000	28.72	9-Nov	15-Nov	500.00	5.0
PRINCIPLE CAPITAL	040	M	S	192,326	28.44	9-Nov	15-Nov	5,769.78	3.0
MAGUIRE	090	M	B	2,500	28.60	9-Nov	15-Nov	0.00	0.0
BARR	096	M	B	3,000	28.70	9-Nov	15-Nov	0.00	0.0
⌘ BUCK CAPITAL MGMT		NEXC	B	30,000	4.50	n/a	n/a	non-brg	3.0
GRUSS CAPITAL	045	NLS	B	5,000	4.57	n/a	n/a	100.00	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	NWY	S	25,000	6.81	n/a	20-Nov	1,250.00	5.0
<b>BARR</b>	<b>096</b>	<b>OPLK</b>	<b>C</b>	<b>1,300</b>	<b>15.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PAG</b>	<b>S</b>	<b>50,000</b>	<b>19.29</b>	<b>n/a</b>	<b>26-Oct</b>	<b>2,000.00</b>	<b>4.0</b>
HIGHBRIDGE CAPITAL	038	PAYX	B	8,000	38.51	n/a	n/a	400.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PBG</b>	<b>SS</b>	<b>20,000</b>	<b>41.37</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
SYSTEMATIC FINANCIAL MGT	035	PBG	S	30,800	41.72	n/a	n/a	1,155.00	3.8
<b>B BUCK CAPITAL MGMT</b>		<b>PERY</b>	<b>S</b>	<b>20,000</b>	<b>16.18</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PFCB</b>	<b>SS</b>	<b>10,000</b>	<b>25.42</b>	<b>n/a</b>	<b>24-Apr</b>	<b>non-brg</b>	<b>4.0</b>
STRAUSS ASSET MGMT	040	PFCB	S	27,500	25.34	n/a	24-Apr	1,375.00	5.0
SERENGETI MGMT	030	PGR	B	50,000	17.51	n/a	n/a	2,500.00	5.0
TRIVIUM CAP MGMT	251	PLXS	SS	25,000	27.43	n/a	n/a	1,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>PNRA</b>	<b>SS</b>	<b>20,000</b>	<b>33.75</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
COUGAR TRADING	044	PSUN	SS	10,000	14.76	n/a	21-Nov	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PTT</b>	<b>S</b>	<b>50,000</b>	<b>9.49</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>S</b>	<b>20,000</b>	<b>40.20</b>	<b>21-Nov</b>	<b>21-Nov</b>	<b>800.00</b>	<b>4.0</b>
<b>SINCLAIR</b>	<b>031</b>	<b>QHWAV</b>	<b>B</b>	<b>25</b>	<b>2.00</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.	
⌘ BUCK CAPITAL MGMT		RICK	S	20,000	14.21	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	RL	B	10,000	65.49	8-Nov	8-Nov	400.00	4.0
COUGAR TRADING	044	RL	SS	5,000	64.08	8-Nov	8-Nov	250.00	5.0
EGS ASSOCIATES LP	091	RL	B	3,000	65.14	8-Nov	8-Nov	180.00	6.0
GRUSS CAPITAL	045	RTH	SS	5,000	91.79	n/a	n/a	200.00	4.0
BEAR STEARNS ASSET MGMT.	033	SBUX	S	75,000	22.90	n/a	24-Apr	3,000.00	4.0
⌘ BUCK CAPITAL MGMT		SBUX	SS	20,000	22.66	n/a	24-Apr	non-brg	4.0
ZOLIDIS	011	SDS	S	200	58.04	n/a	n/a	0.00	0.0
OGORMAN	046	SDS	B	400	57.95	n/a	n/a	0.00	0.0
MAGUIRE	090	SKF	S	3,500	109.14	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKS	S	50,000	19.22	n/a	n/a	2,000.00	4.0
GRUBER MACBAINE	033	SKS	SS	40,000	19.10	n/a	n/a	1,600.00	4.0
BUCK CAPITAL MGMT	001	SKX	S	60,000	20.10	n/a	13-Mar	2,400.00	4.0
GRONET	030	SMBL	S	1,000	11.55	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		SPY	SS	100,000	142.92	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		SPY	SS	25,000	142.78	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		SPY	SS	75,000	142.73	n/a	n/a	non-brg	2.0
CARLYLE BLUE WAVE PR MG	224	SSCC	B	40,000	9.80	n/a	26-Oct	1,600.00	4.0
BARR	096	STI	C	300	67.05	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BARR	096	STT	C	400	77.07	n/a	n/a	0.00	0.0
ROYAL CAPITAL	039	SUP	B	3,300	17.98	n/a	n/a	165.00	5.0
⚡ BUCK CAPITAL MGMT		SWN+LK	C	1,000	0.67	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT	001	TGT	S	70,000	51.32	n/a	27-Jul	2,800.00	4.0
ROYAL CAPITAL	039	THC	B	654,100	3.98	n/a	6-Nov	19,623.00	3.0
LISTED ERR	099	THC	S	48	4.00	n/a	6-Nov	0.00	0.0
ZOLIDIS	011	TIF	B	300	45.97	18-Oct	18-Oct	0.00	0.0
⚡ BUCK CAPITAL MGMT		TIN	B	60,000	41.86	9-Nov	9-Nov	non-brg	4.0
IRONBOUND CAPITAL	012	TIN	B	36,300	41.57	9-Nov	9-Nov	1,815.00	5.0
LATEFF MGMT	040	TIN	B	7,000	41.24	9-Nov	9-Nov	910.00	13.0
XYLEM GLOBAL	091	TIN	B	100,000	42.03	9-Nov	9-Nov	5,000.00	5.0
ASCEND PARTNERS	033	TJX	B	25,000	28.35	21-Sep	14-Nov	1,250.00	5.0
BUCK CAPITAL MGMT	001	TJX	S	50,000	27.98	21-Sep	14-Nov	2,000.00	4.0
⚡ BUCK CAPITAL MGMT		TRLG	S	40,000	16.72	n/a	n/a	non-brg	2.5
COMMISSUM CAPITAL	067	TROW	SS	15,000	59.10	21-Nov	21-Nov	750.00	5.0
SSI INVESTORS	048	TROW	SS	26,108	57.60	21-Nov	21-Nov	1,044.32	4.0
UBS OCONNOR	031	TROW	SS	55,000	57.16	21-Nov	21-Nov	1,650.00	3.0
⚡ BUCK CAPITAL MGMT		TSCO	SS	20,000	38.97	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	TWB	S	70,000	25.20	19-Nov	19-Nov	2,800.00	4.0



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SENTINAL CAPITAL	067	UCBH	S	43,700	14.82	n/a	n/a	2,185.00	5.0
⚡ BUCK CAPITAL MGMT		ULTA	S	20,000	26.04	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		URBN	S	150,000	23.99	9-Nov	12-Nov	non-brg	4.0
⚡ BUCK CAPITAL MGMT		URBN	S	50,000	24.18	9-Nov	12-Nov	non-brg	2.0
ELM RIDGE ADVISORS	044	VC	B	135,000	3.86	n/a	19-Nov	4,050.00	3.0
MORTAR ROCK	033	VC	B	5,000	3.83	n/a	19-Nov	150.00	3.0
⚡ BUCK CAPITAL MGMT		VIRL	S	10,000	8.38	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		VLCM	S	30,000	24.61	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		VLCM	S	40,000	24.90	n/a	n/a	non-brg	1.0
LEHMAN PROPRIETARY TRAD	041	VMC	SS	10,000	80.77	n/a	n/a	400.00	4.0
⚡ BUCK CAPITAL MGMT		WFMI	SS	30,000	40.87	n/a	n/a	non-brg	4.0
COUGAR TRADING	044	WMT	B	5,000	45.10	20-Nov	20-Nov	250.00	5.0
SERENGETI MGMT	030	WM	B	50,000	17.38	n/a	n/a	2,500.00	5.0
⚡ BUCK CAPITAL MGMT		WRNC	S	30,000	33.07	6-Nov	12-Nov	non-brg	4.0
STRATTON	N21	WRVAF	S	2	8.00	n/a	n/a	0.00	0.0
COOKBIELER	033	WSM	S	50,100	28.01	n/a	n/a	20.04	0.0
KORMAN	003	YTEC	S	6,000	11.12	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
8 BUCK CAPITAL MGMT		ZUMZ	S	50,000	26.03	n/a	n/a	non-brg	4.0
ZOLIDIS	011	ZUMZ	B	500	26.54	n/a	n/a	0.00	0.0
TOTAL (Trade Date):							165,061.58		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	11/20	BUCK CAPITAL MGMT	001	COH	S	49,900	35.17	24-Oct	24-Oct	1996.00 4.0
AO,CXL	11/20	BUCK CAPITAL MGMT	001	COH	S	50,000	35.17	24-Oct	24-Oct	2000.00 4.0
AO,	11/20	BUCK CAPITAL MGMT	001	COH	S	100	35.17	24-Oct	24-Oct	4.00 4.0
AO,CXL	11/20	STRAUSS ASSET MGMT	040	DKS	B	9,100	31.46	n/a	20-Nov	455.00 5.0
AO,CRT	11/20	STRAUSS ASSET MGMT	040	DKS	B	9,100	31.46	n/a	20-Nov	455.00 5.0
AO,	11/20	LISTED ERR	099	EV	S	500	43.57	20-Nov	21-Nov	0.00 0.0
AO,CRT	11/15	MERRILL LYNCH STRATEGICI	034	JCP	B	60,000	44.24	15-Nov	16-Nov	3000.00 5.0
AO,CXL	11/15	MERRILL LYNCH STRATEGICI	034	JCP	B	60,000	44.24	15-Nov	16-Nov	3600.00 6.0
AO,CRT	11/20	PRINCIPLE CAPITAL	040	M	S	44,700	27.59	9-Nov	15-Nov	1341.00 3.0
AO,CXL	11/20	PRINCIPLE CAPITAL	040	M	S	44,700	27.59	9-Nov	15-Nov	1788.00 4.0
AO,	11/20	DAVIDSON KEMPNER ADVISOR	217	PDE	S	39,364	32.58	n/a	n/a	1968.20 5.0
AO,CRT	11/20	DAVIDSON KEMPNER ADVISOR	217	PDE	S	2,836	32.58	n/a	n/a	141.80 5.0
AO,CXL	11/20	DAVIDSON KEMPNER ADVISOR	217	PDE	S	42,200	32.58	n/a	n/a	2110.00 5.0
AO,CXL	11/20	KORMAN	003	QIAAD	S	100	2.70	n/a	n/a	0.00 0.0
AO,CRT	11/20	KORMAN	003	QIAAD	S	100	2.70	n/a	n/a	0.00 0.0
AO,CRT	11/20	LISTED ERR	099	THC	B	48	4.00	n/a	6-Nov	0.00 0.0
AO,CXL	11/20	LISTED ERR	099	THC	B	48	4.00	n/a	6-Nov	1.44 3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-1,048.44</b>

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TOTAL (Trade Date):	165,061.58
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TOTAL (AO, CXL, CRT):	-1,048.44
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TOTAL (RUN DATE) / NFS:	164,013.14
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MRI Securities with Trade Activity on 21-Nov.
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BLK, JNS, PVH, TROW
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MRI Securities without Trade Activity on 21-Nov.
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AB, AMG, DBD, IVZ, LM, SSI, WDR
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BRG comm. as a % of BCM Total Comm. paid.
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T-Date = 49%
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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**