



# Daily Compliance Activity Report

Trade Date: 01/03/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		AAPL	S	800	329.40	n/a	n/a	non-brg	4.0
BALLAST CAP	040	ABB	B	7,300	22.71	n/a	n/a	365.00	5.0
BUCK CAPITAL MGMT	001	AEO	SS	40,000	14.50	n/a	3-Dec	1,200.00	3.0
f DAVID GEORGE BUCK	FID	AIG	B	1000	57.90	n/a	n/a	0.00	0.0
LAGRANGE CAP ADV	048	ALV	SS	5,000	81.40	n/a	27-Oct	250.00	5.0
B BUCK CAPITAL MGMT		ANF	S	6,500	58.07	n/a	3-Dec	non-brg	4.0
B BUCK CAPITAL MGMT		ANN	S	3,800	26.00	n/a	n/a	non-brg	4.0
f KAREN F LEDDY	FID	ANN	S	400	26.04	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		AN	C	200	28.44	n/a	29-Oct	non-brg	4.0
JP MORGAN VENTURES	046	AOL	S	10,000	23.59	n/a	n/a	500.00	5.0
f JOSEPH CIRO AMATURO	FID	APC	B	2000	77.30	n/a	14-Dec	0.00	0.0
B BUCK CAPITAL MGMT		ARO	C	700	24.10	n/a	2-Dec	non-brg	4.0
B BUCK CAPITAL MGMT		ASNA	S	12,400	26.43	n/a	n/a	non-brg	4.0
CRAMER ROSENTHAL/SCOTT	012	ATVI	S	6,000	12.50	n/a	n/a	240.00	4.0
BUCK CAPITAL MGMT	001	BBY	SS	50,000	34.57	n/a	n/a	1,500.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		BC	SS	30,000	19.25	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT		BID	S	2,300	46.05	n/a	n/a	non-brg	4.0
BALLAST CAP	040	BIG	SS	2,730	30.53	n/a	7-Dec	136.50	5.0
BUCK CAPITAL MGMT		BIG	S	2,400	30.65	n/a	7-Dec	non-brg	4.0
SAC CHICAGO ANDREW	031	BIG	B	130,000	30.56	n/a	7-Dec	4,550.00	3.5
ANDREW LONGLEY TRUS	FID	BKF	B	50	50.02	n/a	n/a	0.00	0.0
CLIFFORD LONGLEY TR	FID	BKF	B	50	50.04	n/a	n/a	0.00	0.0
JONATHAN LONGLEY TR	FID	BKF	B	50	50.04	n/a	n/a	0.00	0.0
NOKOMIS PARTNERS	031	BOBE	SS	2,600	33.29	n/a	n/a	78.00	3.0
BUCK CAPITAL MGMT		BODY	S	2,400	14.40	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		BONT	S	8,700	12.87	n/a	n/a	non-brg	4.0
DAVID GEORGE BUCK	FID	BP	B	1000	45.18	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	266	BRO	B	12,100	24.41	n/a	n/a	484.00	4.0
EDWARD W WHEELER	FID	BTN	S	2227	8.01	n/a	n/a	0.00	0.0
MARC PAUL LUCHANSKY	FID	BUD	S	200	57.60	n/a	15-Dec	0.00	0.0
CHRISTOPHER ROBERT C	FID	BYD	B	300	10.91	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		CACH	S	700	4.35	n/a	n/a	non-brg	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALLAST CAP	040	CAG	SS	3,650	22.65	n/a	n/a	182.50	5.0
ß BUCK CAPITAL MGMT		CBK	B	40,000	6.14	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		CBK	S	3,400	6.15	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		CHS	S	7,500	12.15	n/a	5-Feb	non-brg	4.0
CAVU CAP ADV	028	CL	SS	25,000	79.78	n/a	8-Nov	1,250.00	5.0
SAC TRADING TOM LEDDY	035	CL	SS	20,000	79.75	n/a	8-Nov	700.00	3.5
f CHRISTOPHER ROBERT C	FID	COF	S	100	43.73	n/a	30-Dec	0.00	0.0
ß BUCK CAPITAL MGMT		COH	S	2,600	54.78	n/a	27-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		COLM	C	100	61.06	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		COLM	SS	10,000	61.15	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		CRI	C	300	29.53	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		CRI	SS	20,000	29.57	n/a	n/a	non-brg	4.0
f ABRAM M CHAPPELL	FID	CRK	B	125	24.84	n/a	n/a	0.00	0.0
f JASON ERIC COHEN	FID	CRK	B	125	24.73	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CROX	S	2,900	17.53	n/a	n/a	non-brg	4.0
MERRILL ASSET/BLACKROCK	266	CRR	S	4,400	104.64	n/a	14-Dec	176.00	4.0
ß BUCK CAPITAL MGMT		CSTR	S	2,600	56.12	n/a	n/a	non-brg	4.0
CATAPULT	040	CVA	B	50,000	17.37	n/a	n/a	2,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JONATHAN RICHARD HAR	FID	CVGI	B	200	16.19	n/a	n/a	0.00	0.0
f NICOLAS EVAN PAKLER	FID	C	B	1000	4.84	n/a	17-Dec	0.00	0.0
f ABRAM M CHAPPELL	FID	DAL	B	155	12.82	n/a	n/a	0.00	0.0
NOKOMIS PARTNERS	031	DAL	SS	12,500	12.68	n/a	n/a	375.00	3.0
B BUCK CAPITAL MGMT		DDS	S	4,000	39.27	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DECK	S	3,000	81.23	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DLTR	S	2,000	56.79	n/a	18-Nov	non-brg	4.0
LAGRANGE CAP ADV	048	DLTR	SS	5,000	57.00	n/a	18-Nov	250.00	5.0
B BUCK CAPITAL MGMT		ETH	C	500	20.80	n/a	n/a	non-brg	4.0
LONG OAR GLOBAL INV	040	EXPE	SS	21,700	24.59	n/a	n/a	868.00	4.0
B BUCK CAPITAL MGMT		EXPR	S	400	18.95	n/a	n/a	non-brg	4.0
f ALICE BEEBE LONGLEY	FID	FAIRX	B	2769	36.11	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	047	FCX	S	5,875	121.60	n/a	n/a	293.75	5.0
BUCK CAPITAL MGMT	001	FDO	SS	30,000	50.29	n/a	21-Dec	900.00	3.0
B BUCK CAPITAL MGMT		FINL	S	10,300	17.39	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		FL	S	8,400	19.94	n/a	22-Dec	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LAKEVIEW INV GROUP LLC	031	FOR	B	35,000	19.36	n/a	3-Nov	1,050.00	3.0
⌘ BUCK CAPITAL MGMT		FOSL	S	4,000	72.29	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		FRED	C	300	14.16	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GCO	S	800	38.00	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GES	S	5,400	47.06	n/a	24-Nov	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GIII	S	10,000	36.11	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		GIII	S	10,700	35.89	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GIL	S	11,000	28.28	n/a	3-Dec	non-brg	4.0
HARRIER HAWK MGMT	028	GIL	B	14,100	28.36	n/a	3-Dec	564.00	4.0
⌘ BUCK CAPITAL MGMT		GMCR	S	3,700	34.16	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GRMN	C	1,400	31.34	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		HBI	S	11,600	25.56	n/a	28-Oct	non-brg	4.0
NOKOMIS PARTNERS	031	HD	SS	6,000	35.28	n/a	13-Dec	180.00	3.0
⌘ BUCK CAPITAL MGMT		HGG	SS	30,000	21.08	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		HTZ	S	3,000	14.80	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		IBOC	C	500	20.51	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>ICON</b>	<b>S</b>	<b>440</b>	<b>20.04</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>IMAX</b>	<b>S</b>	<b>2,900</b>	<b>28.95</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
MERRILL ASSET/BLACKROCK	266	IPCC	S	2,300	63.11	n/a	n/a	92.00	4.0
BALLAST CAP	040	IRM	SS	3,300	24.94	n/a	n/a	165.00	5.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>IVZ</b>	<b>S</b>	<b>1500</b>	<b>24.46</b>	<b>n/a</b>	<b>2-Mar</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>IWF</b>	<b>S</b>	<b>1000</b>	<b>57.83</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f ANDREW LONGLEY TRUS</b>	<b>FID</b>	<b>IYK</b>	<b>B</b>	<b>50</b>	<b>64.92</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f CLIFFORD LONGLEY TR</b>	<b>FID</b>	<b>IYK</b>	<b>B</b>	<b>50</b>	<b>64.92</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JONATHAN LONGLEY TR</b>	<b>FID</b>	<b>IYK</b>	<b>B</b>	<b>50</b>	<b>64.93</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JACK</b>	<b>S</b>	<b>1,600</b>	<b>21.59</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
JMP ASSET MGMT	210	JAS	S	19,000	60.22	n/a	n/a	950.00	5.0
JP MORGAN VENTURES	046	JNJ	B	10,000	62.59	n/a	n/a	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>JNY</b>	<b>S</b>	<b>16,000</b>	<b>15.96</b>	<b>n/a</b>	<b>28-Oct</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JOSB</b>	<b>S</b>	<b>5,900</b>	<b>41.40</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BAIRD INVESTMENT	047	JOYG	S	9,900	88.60	n/a	16-Dec	495.00	5.0
ASCEND PARTNERS	033	JWN	S	77,100	43.42	n/a	30-Nov	3,855.00	5.0

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BUCK CAPITAL MGMT		JWN	S	3,200	43.55	n/a	30-Nov	non-brg	4.0
BUCK CAPITAL MGMT		KR	C	800	21.95	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		KSS	S	3,500	54.62	n/a	30-Nov	non-brg	4.0
NOKOMIS PARTNERS	031	KSS	B	10,500	54.69	n/a	30-Nov	315.00	3.0
SIGMA CAPITAL ASSOCIATES	041	KSS	SS	25,000	54.51	n/a	30-Nov	875.00	3.5
JMP ASSET MGMT	210	LAD	S	5,000	14.65	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT		LIZ	S	10,500	7.43	n/a	7-Oct	non-brg	3.0
CHRISTOPHER ROBERT C	FID	LPX	B	500	10.00	n/a	8-Nov	0.00	0.0
BUCK CAPITAL MGMT		LTD	S	8,200	31.12	n/a	n/a	non-brg	4.0
PROSPECTOR PARTNERS LLC	036	MDP	S	10,000	35.27	n/a	n/a	400.00	4.0
KLEINHEINZ CAP PART	031	MMM	B	50,000	87.17	n/a	29-Dec	2,500.00	5.0
BUCK CAPITAL MGMT		MNRO	S	10,000	35.57	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		MNRO	S	2,000	35.79	n/a	n/a	non-brg	4.0
BALLAST CAP	040	MON	B	4,250	69.27	n/a	17-Dec	212.50	5.0
PZENA INV ADV	044	MSFT	S	775	28.05	n/a	n/a	27.13	3.5
BUCK CAPITAL MGMT		MSMSRAW3	C	110,000	136.64	n/a	n/a	non-brg	13.7
BUCK CAPITAL MGMT		MSMSRAWW	C	325,000	114.26	n/a	n/a	non-brg	11.4

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
BUCK CAPITAL MGMT		MVRX	C	8,400	216.08	n/a	n/a	non-brg 21.6
BUCK CAPITAL MGMT	001	MW	SS	30,000	25.34	n/a	n/a	900.00 3.0
BUCK CAPITAL MGMT		M	S	12,900	25.57	n/a	30-Nov	non-brg 4.0
SCOPUS FUND	041	M	B	100,000	25.58	n/a	30-Nov	4,000.00 4.0
SONTERRA CAP	041	NBR	SS	91,583	23.44	n/a	n/a	3,663.32 4.0
PZENA INV ADV	044	NOC	S	500	65.33	n/a	28-Dec	17.50 3.5
BUCK CAPITAL MGMT		NWY	S	7,300	4.49	n/a	n/a	non-brg 3.0
BUCK CAPITAL MGMT		OXM	S	700	26.25	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		PAG	S	2,000	17.24	3-Jan	3-Jan	non-brg 4.0
BALLAST CAP	040	PAYX	B	5,300	31.42	n/a	n/a	265.00 5.0
MILLENIU PARTNERS	028	PCL	B	15,000	38.31	n/a	26-Oct	600.00 4.0
BUCK CAPITAL MGMT		PIR	S	4,900	10.50	n/a	n/a	non-brg 4.0
SHEFFIELD ASSET MGMT	031	PKG	S	50,000	26.50	n/a	15-Dec	1,500.00 3.0
BUCK CAPITAL MGMT		PLCE	S	3,500	49.84	n/a	18-Nov	non-brg 4.0
BUCK CAPITAL MGMT		PSS	C	1,500	21.41	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		PSS	SS	20,000	21.28	n/a	n/a	non-brg 4.0



Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		PSUN	SS	40,000	5.63	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		PVH	S	5,200	63.40	n/a	3-Dec	non-brg	4.0
M&I FUNDS	047	PVH	B	4,229	63.44	n/a	3-Dec	169.16	4.0
LAGRANGE CAP ADV	048	RDEN	SS	10,000	23.99	n/a	12-Nov	500.00	5.0
ß BUCK CAPITAL MGMT		RGC	S	2,100	12.06	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		RL	C	100	111.85	n/a	11-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		ROST	C	500	63.96	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		ROST	SS	20,000	64.33	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		RTH	C	28,100	107.58	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		RTH	C	500	107.72	n/a	n/a	non-brg	2.0
f ALICE BEEBE LONGLEY	FID	RXI	B	500	54.00	n/a	n/a	0.00	0.0
f ANDREW LONGLEY TRUS	FID	RXI	B	50	54.23	n/a	n/a	0.00	0.0
f CLIFFORD LONGLEY TR	FID	RXI	B	50	54.23	n/a	n/a	0.00	0.0
f JONATHAN LONGLEY TR	FID	RXI	B	50	54.23	n/a	n/a	0.00	0.0
MILLENIUM PARTNERS	028	RYN	S	10,000	54.93	n/a	27-Oct	400.00	4.0
ß BUCK CAPITAL MGMT		SIG	S	3,400	43.40	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SKS	C	2,100	11.27	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SODA	B	30,000	30.30	n/a	n/a	non-brg	2.5

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BUCK CAPITAL MGMT		SODA	S	1,700	30.29	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		SPY	C	1,100	127.50	n/a	n/a	non-brg	2.0
DAVID GEORGE BUCK	FID	STI	B	1500	30.23	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		SUMR	S	7,800	7.75	n/a	n/a	non-brg	3.0
BALLAST CAP	040	SVU	B	12,850	9.61	n/a	n/a	385.50	3.0
METROPOLITAN CAPITAL	044	SWK	S	5,500	68.00	n/a	n/a	275.00	5.0
BUCK CAPITAL MGMT		SWY	C	1,700	22.53	n/a	n/a	non-brg	4.0
1798 CAP/LOMBARD ASSET	040	TEN	B	5,000	42.34	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT		TGT	S	1,400	60.68	n/a	2-Dec	non-brg	4.0
BUCK CAPITAL MGMT		TJX	S	2,100	43.95	n/a	10-Dec	non-brg	4.0
THE JAY GOLDMAN	028	TJX	B	15,000	43.80	n/a	10-Dec	600.00	4.0
BUCK CAPITAL MGMT		TLB	S	14,600	8.41	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT		TPX	S	900	40.62	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		TRLG	SS	20,000	21.81	n/a	n/a	non-brg	4.0
SCOPUS FUND	041	TRW	B	1,000	54.70	n/a	n/a	40.00	4.0
BUCK CAPITAL MGMT		TSCO	S	300	49.45	n/a	n/a	non-brg	4.0

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BUCK CAPITAL MGMT		TWMC	C	200	1.76	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		UA	C	100	55.80	n/a	27-Oct	non-brg	4.0
JOSEPH CIRO AMATURO	FID	UNG	S	7500	6.31	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		URBN	S	4,200	35.15	n/a	n/a	non-brg	4.0
KAREN F LEDDY	FID	URRE	B	5000	3.51	n/a	n/a	0.00	0.0
THOMAS MACTAGGART LE	FID	URRE	B	1000	3.54	n/a	n/a	0.00	0.0
KAREN F LEDDY	FID	URZ	S	2400	3.97	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	VFC	SS	20,000	86.35	n/a	22-Oct	600.00	3.0
BUCK CAPITAL MGMT		VFC	C	1,900	86.49	n/a	22-Oct	non-brg	4.0
LEVEL GLOBAL SHARED ACCT	257	VFC	SS	100,000	86.36	n/a	22-Oct	3,000.00	3.0
BAIRD INVESTMENT	047	WBC	S	3,375	60.99	n/a	21-Dec	168.75	5.0
MERRILL ASSET/BLACKROCK	266	WLL	S	280	116.25	n/a	n/a	11.20	4.0
BUCK CAPITAL MGMT		WMS	S	300	46.14	n/a	23-Dec	non-brg	4.0
BUCK CAPITAL MGMT	001	WMT	SS	20,000	54.71	n/a	17-Nov	600.00	3.0
BUCK CAPITAL MGMT		WMT	C	1,400	54.72	n/a	17-Nov	non-brg	4.0
BUCK CAPITAL MGMT		WRC	S	6,000	53.43	n/a	9-Nov	non-brg	4.0
BUCK CAPITAL MGMT		XRT	C	7,600	48.93	n/a	n/a	non-brg	2.0

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**TOTAL (Trade Date):**

**46,674.81**

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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	12/30	MOORE CAPITAL	028	CAR	SS	5,000	15.32	n/a	n/a	150.00 3.0
AO,CXL	12/30	MOORE CAPITAL	028	CAR	SS	5,000	15.32	n/a	n/a	200.00 4.0
AO,CRT	12/31	WINSLOW CAPITAL	030	CTXS	B	20,300	68.18	n/a	n/a	609.00 3.0
AO,CXL	12/31	WINSLOW CAPITAL	030	CTXS	B	20,300	68.18	n/a	n/a	609.00 3.0
AO,CRT	12/31	COLUMBUS CAP MGMT LLC	084	HLIT	S	25,000	8.53	n/a	n/a	1250.00 5.0
AO,CXL	12/31	COLUMBUS CAP MGMT LLC	084	HLIT	S	25,000	8.53	n/a	n/a	1000.00 4.0
AO,	12/23	MANNING & NAPIER	034	V	B	180	68.71	n/a	21-Dec	5.40 3.0
AO,CXL	12/23	MANNING & NAPIER	034	V	B	180	68.71	n/a	21-Dec	5.40 3.0

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**TOTAL (AO, CXL, CRT) :** **200.00**

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**TOTAL (Trade Date) :** **46,674.81****TOTAL (AO, CXL, CRT) :** **200.00**

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**TOTAL (RUN DATE) / NFS:** **46,874.81**

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MRI Securities with Trade Activity on 3-Jan.

PAG

MRI Securities without Trade Activity on 3-Jan.

SIAL, LEA, DAN, SUP, MIDD, PH, PCAR, ITW, EAT, APA

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

T-Date = 7%

YTD = 7%

**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)**