

Daily Compliance Activity Report Trade Date: 01/05/2010

Potential ANALYST TRADE Violations: 0 Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. (S/Shr.
BUCK CAPITAL MGMT		AAPL	S	500	214.95	n/a	n/a	non-brg	4.0
DAVID GEORGE BUCK	FID	ABT	В	1000	53.86	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		AEO	S	5,000	17.35	n/a	5-Jan	non-brg	4.0
DAVID GEORGE BUCK	FID	AET	В	1000	32.41	n/a	n/a	0.00	0.0
FORWARD MGMT	033	AIRV	S	1,000	7.62	n/a	n/a	50.00	5.0
JONATHAN RICHARD HAR	FID	ALN	В	1000	2.85	n/a	n/a	0.00	0.0
CADIAN CAPITAL	067	ANF	S	100,000	35.50	n/a	5-Jan	4,000.00	4.0
BUCK CAPITAL MGMT		AN	В	50,000	19.49	n/a	4-Jan	non-brg	4.0
CIRCLE T/SES PART	035	AN	В	45,000	19.39	n/a	4-Jan	1,800.00	4.0
OZ MGMT	040	AN	В	100,000	19.59	n/a	4-Jan	3,000.00	3.0
BUCK CAPITAL MGMT		ARO	В	10,000	34.28	n/a	5-Jan	non-brg	4.0
FORWARD MGMT	033	ASEI	В	115	79.59	n/a	n/a	5.75	5.0
FORWARD MGMT	033	AXL	В	1,050	9.30	n/a	4-Jan	52.50	5.0
JP MORGAN VENTURES	046	AXL	S	25,000	9.24	n/a	4-Jan	750.00	3.0
MILLRACE FUND LP	028	AXL	S	10,000	9.56	n/a	4-Jan	300.00	3.0
RBC CAPITAL MARKETS	040	AXL	S	30,000	9.34	n/a	4-Jan	1,200.00	4.0
TRELLUS PARTNERS LP	028	AXL	S	219,700	9.39	n/a	4-Jan	6,591.00	3.0
	BUCK CAPITAL MGMT DAVID GEORGE BUCK BUCK CAPITAL MGMT DAVID GEORGE BUCK FORWARD MGMT JONATHAN RICHARD HAR CADIAN CAPITAL BUCK CAPITAL MGMT CIRCLE T/SES PART OZ MGMT BUCK CAPITAL MGMT FORWARD MGMT FORWARD MGMT JP MORGAN VENTURES MILLRACE FUND LP RBC CAPITAL MARKETS	BUCK CAPITAL MGMT DAVID GEORGE BUCK BUCK CAPITAL MGMT DAVID GEORGE BUCK FID FORWARD MGMT CADIAN CAPITAL CADIAN CAPITAL CIRCLE T/SES PART OZ MGMT O40 BUCK CAPITAL MGMT CIRCLE T/SES PART OZ MGMT O40 CONGRET O40 C	BUCK CAPITAL MGMT DAVID GEORGE BUCK BUCK CAPITAL MGMT AEO DAVID GEORGE BUCK FID AET FORWARD MGMT CADIAN CAPITAL BUCK CAPITAL MGMT CIRCLE T/SES PART OZ MGMT BUCK CAPITAL MGMT FORWARD MGMT OZ MGMT AN CONSTRUCT ON AN BUCK CAPITAL MGMT CIRCLE T/SES PART OZ MGMT AN OZ MGMT AN OZ MGMT AN OZ MGMT AN OZ MGMT ARO FORWARD MGMT OJ ASEI FORWARD MGMT OJ ASEI FORWARD MGMT OJ ASL MILLRACE FUND LP OZ AXL MILLRACE FUND LP OZ AKL MILLRACE FUND LP OZ AKL MILLRACE FUND LP OZ AKL	BUCK CAPITAL MGMT DAVID GEORGE BUCK BUCK CAPITAL MGMT AEO S DAVID GEORGE BUCK FID AET B FORWARD MGMT O33 AIRV S JONATHAN RICHARD HAR FID ALN B CADIAN CAPITAL O67 ANF S BUCK CAPITAL MGMT AN B CIRCLE T/SES PART OZ MGMT O40 AN B FORWARD MGMT ARO B FORWARD MGMT O33 ASEI B FORWARD MGMT O33 AXL B MILLRACE FUND LP O28 AXL S MILLRACE FUND LP O28 AXL S RBC CAPITAL MARKETS O40 AXL S	BUCK CAPITAL MGMT AAPL S 500 DAVID GEORGE BUCK FID ABT B 1000 BUCK CAPITAL MGMT AEO S 5,000 DAVID GEORGE BUCK FID AET B 1000 FORWARD MGMT 033 AIRV S 1,000 JONATHAN RICHARD HAR FID ALN B 100,000 CADIAN CAPITAL 067 ANF S 100,000 BUCK CAPITAL MGMT AN B 45,000 OZ MGMT 040 AN B 100,000 BUCK CAPITAL MGMT ARO B 10,000 FORWARD MGMT 033 ASEI B 1,050 JP MORGAN VENTURES 046 AXL S 25,000 MILLRACE FUND LP 028 AXL S 10,000 RBC CAPITAL MARKETS 040 AXL S 30,000	BUCK CAPITAL MGMT AAPL S 500 214.95 DAVID GEORGE BUCK FID ABT B 1000 53.86 BUCK CAPITAL MGMT AEO S 5,000 17.35 DAVID GEORGE BUCK FID AET B 1000 32.41 FORWARD MGMT 033 AIRV S 1,000 7.62 JONATHAN RICHARD HAR FID ALN B 1000 2.85 CADIAN CAPITAL 6067 ANF S 100,000 35.50 BUCK CAPITAL MGMT AN B 50,000 19.49 CIRCLE T/SES PART 035 AN B 45,000 19.39 OZ MGMT 040 AN B 100,000 19.59 BUCK CAPITAL MGMT ARO B 10,000 34.28 FORWARD MGMT 033 ASEI B 115 79.59 FORWARD MGMT 033 AXL B 1,050 9.30 JP MORGAN VENTURES 046 AXL S 25,000 9.24 MILLRACE FUND LP 028 AXL S 10,000 9.56 RBC CAPITAL MARKETS 040 AXL S 30,000 9.34	BUCK CAPITAL MGMT AAPL S 500 214.95 n/a DAVID GEORGE BUCK FID ABT B 1000 53.86 n/a BUCK CAPITAL MGMT AEO S 5,000 17.35 n/a DAVID GEORGE BUCK FID AET B 1000 32.41 n/a FORWARD MGMT 033 AIRV S 1,000 7.62 n/a JONATHAN RICHARD HAR FID ALN B 1000 2.85 n/a CADIAN CAPITAL 067 ANF S 100,000 35.50 n/a BUCK CAPITAL MGMT AN B 50,000 19.49 n/a CIRCLE T/SES PART 035 AN B 45,000 19.39 n/a OZ MGMT 040 AN B 100,000 34.28 n/a BUCK CAPITAL MGMT ARO B 10,000 34.28 n/a FORWARD MGMT 033 AXL B 1,050 9.30 n/a	BUCK CAPITAL MGMT AAPL S 500 214.95 n/a n/a DAVID GEORGE BUCK FID ABT B 1000 53.86 n/a n/a BUCK CAPITAL MGMT AEO S 5,000 17.35 n/a 5-Jan DAVID GEORGE BUCK FID AET B 1000 32.41 n/a n/a FORWARD MGMT 033 AIRV S 1,000 7.62 n/a n/a CADIAN CAPITAL MGMT B 1000 2.85 n/a n/a BUCK CAPITAL MGMT AN B 50,000 19.49 n/a 5-Jan BUCK CAPITAL MGMT AN B 45,000 19.39 n/a 4-Jan CIRCLE T/SES PART 035 AN B 45,000 19.39 n/a 4-Jan OZ MGMT 040 AN B 100,000 34.28 n/a 5-Jan BUCK CAPITAL MGMT ARO B 100,000 19.59 n/a 4-Jan FORWARD MGMT 033 AXE B 10,000 34.28 n/a 5-Jan FORWARD MGMT 033 AXE B 1,050 9.30 n/a 4-Jan JF MORGAN VENTURES 046 AXE S 25,000 9.24 n/a 4-Jan MILLRACE FUND LP 028 AXE S 10,000 9.56 n/a 4-Jan RBC CAPITAL MARKETS 040 AXE S 30,000 9.34 n/a 4-Jan	BUCK CAPITAL MGMT

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
f	JONATHAN RICHARD HAR	FID	BAC	В	375	15.89	n/a	4-Jan	0.00	0.0
	VISIUM/BALY BOBBY	044	BKE	SS	20,000	30.65	n/a	n/a	1,000.00	5.0
ß	BUCK CAPITAL MGMT		BONT	s	5,000	10.19	n/a	n/a	non-brg	4.0
	MILLENNIUM-ANDEW	031	BUCY	SS	30,000	64.72	n/a	22-Dec	1,800.00	6.0
f	KAREN F LEDDY	FID	BWA	В	115	35.50	n/a	4-Jan	0.00	0.0
В	BUCK CAPITAL MGMT		BYI	S	2,000	44.59	n/a	n/a	non-brg	4.0
f	CHRISTOPHER ROBERT C	FID	BYI	В	100	45.00	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		СНА	С	5,000	43.05	n/a	n/a	non-brg	4.0
f	CHRISTOPHER ROBERT C	FID	CIT	В	200	29.10	n/a	2-Nov	0.00	0.0
ß	BUCK CAPITAL MGMT		COLM	В	400	38.78	n/a	n/a	non-brg	5.0
ß	BUCK CAPITAL MGMT		COLM	SS	30,000	38.79	n/a	n/a	non-brg	2.5
а	BUCK CAPITAL MGMT		COLM	S	400	38.75	n/a	n/a	non-brg	5.0
	DIAMONDBACK CAP MGMT	232	CPKI	В	59,300	13.54	n/a	4-Jan	2,965.00	5.0
	BUCK CAPITAL MGMT	001	CRI	S	10,000	27.31	n/a	n/a	400.00	4.0
f	NEIL M STRATTON	FID	CRV	s	15	0.20	n/a	n/a	0.00	0.0
	DAVIDSON KEMPNER ADVISOR	040	CX	С	50,000	12.55	n/a	n/a	2,500.00	5.0
	EXIS CAPITAL	044	CZZ	В	15,000	8.94	n/a	n/a	750.00	5.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
ß	BUCK CAPITAL MGMT		DAL	S	175,000	11.99	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		DBRN	S	8,000	23.78	n/a	n/a	non-brg	4.0
	KENNEDY CAPITAL	046	DPZ	В	50,000	8.74	n/a	4-Jan	1,500.00	3.0
	WAGONHOUND/NIC	048	DPZ	В	15 , 976	8.70	n/a	4-Jan	479.28	3.0
f	EDWARD W WHEELER	FID	DST	S	3000	45.22	n/a	n/a	0.00	0.0
	SYSTEMATIC FINANCIAL MGT	035	DSW	S	25,000	26.49	n/a	17-Dec	750.00	3.0
f	CHRISTOPHER ROBERT C	FID	DVN	В	100	76.45	n/a	4-Jan	0.00	0.0
f	DAVID GEORGE BUCK	FID	DVN	s	500	76.14	n/a	4-Jan	0.00	0.0
f	ABRAM M CHAPPELL	FID	EGLE	В	460	5.43	n/a	n/a	0.00	0.0
	FIRST NEW YORK LEDDY	035	ETFC	В	10,000	1.82	n/a	n/a	600.00	6.0
	RBC CAPITAL MARKETS	040	FDO	В	20,000	27.51	n/a	4-Jan	800.00	4.0
	THIRD COAST CAPITAL	035	FDO	В	10,000	27.19	n/a	4-Jan	500.00	5.0
	NEUBERGER BERMAN	036	FHN	S	10,500	13.42	n/a	n/a	420.00	4.0
	PAW PARTNERS	045	FL	SS	8,500	11.33	n/a	4-Jan	425.00	5.0
	THIRD COAST CAPITAL	035	FL	В	35,000	11.47	n/a	4-Jan	1,750.00	5.0
	PAW PARTNERS	045	FRED	SS	4,400	10.13	n/a	n/a	220.00	5.0
	LISTED ERR	099	FRED	В	2,200	10.01	n/a	n/a	0.00	0.0
	LISTED ERR	099	FRED	S	2,200	10.00	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	:/Shr.	
ß	BUCK CAPITAL MGMT		FUQI	В	20,000	20.08	n/a	n/a	non-brg	4.0	
	LEVIN CAPITAL STRATEGIES	012	F	S	25,000	11.06	n/a	4-Jan	1,000.00	4.0	
f	NICOLAS EVAN PAKLER	FID	GEOI	В	210	14.39	n/a	n/a	0.00	0.0	
В	BUCK CAPITAL MGMT		GIII	S	10,000	21.47	n/a	n/a	non-brg	2.5	
В	BUCK CAPITAL MGMT		GPS	S	6,000	20.82	n/a	n/a	non-brg	4.0	
	FORWARD MGMT	033	GSS	S	4,200	3.36	n/a	n/a	210.00	5.0	
ß	BUCK CAPITAL MGMT		GYMB	s	5,000	44.06	n/a	5-Jan	non-brg	4.0	
	COOPER CREEK PART	028	GYMB	В	7 , 500	44.59	n/a	5-Jan	300.00	4.0	
	GRISANTI BROWN & PARTNER	048	HAWK	В	6,300	24.47	n/a	n/a	315.00	5.0	
	EXIS CAPITAL	044	HBAN	S	15,000	3.65	n/a	n/a	750.00	5.0	
	MACKLOWE ASSET MGMT	041	HD	SS	25,000	28.93	n/a	18-Nov	1,000.00	4.0	
f	KAREN F LEDDY	FID	HSC	В	300	32.97	n/a	4-Jan	0.00	0.0	
ß	BUCK CAPITAL MGMT		ICON	s	10,000	12.81	n/a	n/a	non-brg	2.5	
ß	BUCK CAPITAL MGMT		ICON	S	10,000	12.86	n/a	n/a	non-brg	0.8	
	NEUBERGER BERMAN	036	JCI	S	5,600	27.79	n/a	4-Jan	224.00	4.0	
	CADIAN CAPITAL	067	JCP	S	50,000	27.18	n/a	5-Jan	2,000.00	4.0	

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.	
	PZENA INV ADV	044	JCP	В	27,500	27.14	n/a	5-Jan	962.54	3.5	
	FORWARD MGMT	033	JNS	В	670	13.93	n/a	5-Jan	33.50	5.0	
	SANDLER O'NEILL ASSET	031	JNS	В	3,500	13.75	n/a	5-Jan	175.00	5.0	
	BUCK CAPITAL MGMT	001	JNY	В	10,000	16.63	n/a	4-Jan	400.00	4.0	
ß	BUCK CAPITAL MGMT		JNY	В	200,000	16.49	n/a	4-Jan	non-brg	0.8	
ß	BUCK CAPITAL MGMT		JOSB	S	10,000	44.39	n/a	n/a	non-brg	4.0	
ß	BUCK CAPITAL MGMT		JOSB	S	20,000	43.47	n/a	n/a	non-brg	2.0	
ß	BUCK CAPITAL MGMT		JOSB	S	5,000	44.12	n/a	n/a	non-brg	4.0	
	PAW PARTNERS	045	JOSB	SS	2,200	43.95	n/a	n/a	110.00	5.0	
	MILLENNIUM-ANDEW	031	JOYG	В	56,600	56.63	n/a	8-Dec	3,396.00	6.0	
f	CHRISTOPHER ROBERT C	FID	JRCC	s	200	20.76	n/a	n/a	0.00	0.0	
	RBC CAPITAL MARKETS	040	JWN	В	10,000	37.81	n/a	5-Jan	400.00	4.0	
	MACKLOWE ASSET MGMT	041	KFT	В	40,000	28.33	n/a	n/a	1,600.00	4.0	
ß	BUCK CAPITAL MGMT		KSS	s	3,000	53.81	n/a	5-Jan	non-brg	4.0	
f	DAVID GEORGE BUCK	FID	LLY	s	3000	34.93	n/a	n/a	0.00	0.0	
ß	BUCK CAPITAL MGMT		LL	S	3,000	26.27	n/a	n/a	non-brg	4.0	
	SANDLER O'NEILL ASSET	031	LM	SS	15,000	30.03	n/a	5-Jan	750.00	5.0	
	BUCK CAPITAL MGMT	001	LTD	В	30,000	19.11	n/a	n/a	1,200.00	4.0	

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
	NEUBERGER BERMAN	036	LTD	В	87 , 600	19.10	n/a	n/a	3,504.00	4.0
	EMERSON CAPITAL MGMT	048	LVLT	В	25,000	1.64	n/a	n/a	1,000.00	4.0
ß	BUCK CAPITAL MGMT		MGM	SS	30,000	10.43	n/a	6-Nov	non-brg	4.0
f	DAVID GEORGE BUCK	FID	MON	S	1000	84.90	n/a	5-Jan	0.00	0.0
	MDOVIDU DADM	0.67	мот	9	F0 000	7.00	,	,	0 500 00	F 0
	TROUBH PART	067	MOT	S	50,000	7.99	n/a	n/a	2,500.00	5.0
ß	BUCK CAPITAL MGMT		MSMSFINB	С	200,000	99.09	n/a	n/a	non-brg	9.9
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f	JONATHAN RICHARD HAR	FID	MTW	В	245	10.75	n/a	4-Jan	0.00	0.0
	OZ MGMT	040	MTW	В	125,000	10.91	n/a	4-Jan	3,750.00	3.0
ß	BUCK CAPITAL MGMT		M	S	10,000	17.02	n/a	5-Jan	non-brg	4.0
	FORWARD MGMT	033	NTRI	S	530	28.74	n/a	n/a	26.50	5.0
	DODINDD MONT	033	ONXX	S	250	29.65	n/a	n/a	12.50	5.0
	FORWARD MGMT	033	UNXX	5	250	29.03	11/a	II/a	12.50	5.0
	FORWARD MGMT	033	OSIP	S	400	31.11	n/a	n/a	20.00	5.0
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	FORWARD MGMT	033	OSTK	S	560	13.57	n/a	n/a	28.00	5.0
	COUGAR TRADING	044	OZM	В	10,000	14.22	n/a	5-Jan	500.00	5.0
	BALYASNY ASSET MGMT	044	PAG	В	25,000	15.81	n/a	4-Jan	1,250.00	5.0
ß	BUCK CAPITAL MGMT		PAG	В	5,000	15.87	n/a	4-Jan	non-brg	0.8
ß	BUCK CAPITAL MGMT		PAG	В	7,500	15.92	n/a	4-Jan	non-brg	2.5

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
	SCOPUS FUND	041	PAG	В	25,000	16.01	n/a	4-Jan	1,250.00	5.0
	TRELLUS PARTNERS LP	028	PAG	В	40,000	15.49	n/a	4-Jan	2,000.00	5.0
	GRISANTI BROWN & PARTNER	048	PCX	S	3,700	17.99	n/a	n/a	185.00	5.0
	NEUBERGER BERMAN	036	PETS	В	47,100	17.71	n/a	n/a	1,884.00	4.0
ß	BUCK CAPITAL MGMT		PIR	S	10,000	5.62	n/a	n/a	non-brg	3.0
ß	BUCK CAPITAL MGMT		PLCE	S	2,000	32.40	n/a	5-Jan	non-brg	4.0
ß	BUCK CAPITAL MGMT		PNRA	S	2,000	65.68	n/a	4-Jan	non-brg	4.0
f	MICHAEL THOMAS NOLAN	FID	PRGO	s	150	39.02	n/a	4-Jan	0.00	0.0
f	NICOLAS EVAN PAKLER	FID	PRGO	s	100	39.09	n/a	4-Jan	0.00	0.0
ß	BUCK CAPITAL MGMT		PSS	S	20,000	22.58	n/a	n/a	non-brg	4.0
	KLEINHEINZ CAP PART	031	QCOM	В	75,000	47.98	n/a	n/a	3,750.00	5.0
	FIRST NEW YORK NICK	029	Q	В	10,000	4.46	n/a	n/a	500.00	5.0
	CADIAN CAPITAL	067	RL	В	7,400	81.83	n/a	4-Jan	296.00	4.0
f	DAVID GEORGE BUCK	FID	RX	В	2300	21.21	n/a	n/a	0.00	0.0
	CATAPULT	040	SCHN	В	10,000	49.85	n/a	n/a	500.00	5.0
f	WILLIAM WEINBERG	FID	SD	В	5000	10.35	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		SHOO	В	10,000	39.92	n/a	n/a	non-brg	0.8

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.	_
	NEUBERGER BERMAN	036	SJM	S	7,500	61.72	n/a	n/a	300.00	4.0	
f	CHRISTOPHER ROBERT C	FID	SKS	s	500	7.10	n/a	n/a	0.00	0.0	
	TROUBH PART	067	SUP	В	10,000	15.97	n/a	4-Jan	500.00	5.0	
	M&I FUNDS	047	SWN	S	6 , 700	51.80	n/a	4-Jan	268.00	4.0	
	RAMIUS CAP	040	SWSI	S	81,800	16.44	n/a	n/a	3,272.00	4.0	
	NEUBERGER BERMAN	036	SY	В	14,750	43.29	n/a	n/a	590.00	4.0	
	FORWARD MGMT	033	TIE	В	700	13.59	n/a	n/a	35.00	5.0	
	RBC CAPITAL MARKETS	040	TSN	SS	50,000	12.22	n/a	n/a	2,000.00	4.0	
a	BUCK CAPITAL MGMT		UAUA	s	175,000	13.71	n/a	n/a	non-brg	4.0	
a	BUCK CAPITAL MGMT		URBN	s	3,000	35.10	n/a	n/a	non-brg	4.0	
a	BUCK CAPITAL MGMT		VFC	В	30,000	73.37	n/a	4-Jan	non-brg	4.0	
	NEUBERGER BERMAN	036	VNO	S	4,300	69.41	n/a	n/a	172.00	4.0	
	GRISANTI BROWN & PARTNER	048	WBC	S	3,260	26.72	n/a	4-Jan	163.00	5.0	
	CADIAN CAPITAL	067	WFMI	S	60,300	27.25	n/a	n/a	2,412.00	4.0	
	NEUBERGER BERMAN	036	WHR	S	5,800	80.77	n/a	n/a	232.00	4.0	

Account	1	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
DALTON GREINE	R	012	WMT	В	24,870	53.89	n/a	4-Jan	1,243.50	5.0
ß BUCK CAPITAL	MGMT		WRC	S	2,000	44.70	n/a	4-Jan	non-brg	4.0
LEVEL GLOBAL	SHARED ACCT	257	WRC	В	28,600	44.41	n/a	4-Jan	858.00	3.0
ß BUCK CAPITAL	MGMT		XLF	SS	1,342,000	14.73	n/a	n/a	non-brg	1.0

TOTAL (Trade Date): 84,436.07

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,	01/04	UBS OCONNOR	031	COWN	S	55 , 901	5.94	n/a	n/a	1677.03	3.0
AO,CRT			041	GT	В	100,000	14.52	n/a		5000.00	5.0
AO,CXL	01/04	COBALT	041	GT	В	100,000	14.52	n/a	n/a	5000.00	5.0
TOTAL	(AO, 0	CXL, CRT):							1,	677.03	

TOTAL (Trade Date): TOTAL (AO, CXL, CRT):	84,436.07 1,677.03
TOTAL (RUN DATE) / NFS:	86,113.10

MRI Securities with Trade Activity on 5-Jan. NONE

MRI Securities without Trade Activity on 5-Jan.
PRX, COF

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

T-Date = 3%

YTD = 6%

Legend:

O: 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)