



Daily Compliance Activity Report

Trade Date: 10/06/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SURVEYOR CAPITAL	041	AA	B	20,367	9.79	n/a	n/a	611.01	3.0
BESSEMER INVESTMENT	085	ABT	S	1,255	50.99	n/a	n/a	50.20	4.0
BESSEMER INVESTMENT	085	ACM	S	900	18.60	n/a	n/a	36.00	4.0
KACELA CAPITAL	034	ACN	S	38,000	54.44	n/a	n/a	1,520.00	4.0
BESSEMER INVESTMENT	085	ADM	S	525	25.09	n/a	23-Sep	21.00	4.0
BESSEMER INVESTMENT	085	AFL	S	1,295	37.77	n/a	n/a	51.80	4.0
SURVEYOR CAPITAL	041	AGCO	SS	3,000	34.70	n/a	14-Sep	90.00	3.0
MACQUARIE INVESTMENT MGMT.	040	ALB	B	25,000	42.53	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		AMZN	B	20,000	220.24	n/a	n/a	non-brg	4.0
BESSEMER INVESTMENT	085	ANAT	S	510	70.58	n/a	n/a	20.40	4.0
B BUCK CAPITAL MGMT		ANN	B	30,000	22.62	n/a	n/a	non-brg	4.0
f MARC PAUL LUCHANSKY	FID	APC	B	300	66.13	n/a	27-Sep	0.00	0.0
B BUCK CAPITAL MGMT		ASNA	B	18,895	28.25	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		ASNA	B	69,400	28.06	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		AVY	SS	178,590	26.28	n/a	6-Sep	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		AVY	S	36,720	26.28	n/a	6-Sep	non-brg	4.0
CATAPULT	040	AVY	SS	5,000	26.29	n/a	6-Sep	200.00	4.0
BESSEMER INVESTMENT	085	AXP	S	309	43.30	n/a	5-Oct	12.36	4.0
PARKWEST	084	AXTI	B	18,300	5.00	n/a	n/a	366.00	2.0
BESSEMER INVESTMENT	085	BAX	S	1,175	54.85	n/a	n/a	47.00	4.0
COUGAR TRADING	044	BA	B	10,000	60.59	n/a	6-Oct	500.00	5.0
COUGAR TRADING	044	BA	S	5,000	60.96	n/a	6-Oct	250.00	5.0
BESSEMER INVESTMENT	085	BHI	S	895	49.27	n/a	n/a	35.80	4.0
ASCEND PARTNERS	033	BIG	B	150,000	34.30	n/a	25-Aug	4,500.00	3.0
BESSEMER INVESTMENT	085	BK	S	1,032	18.26	n/a	29-Sep	41.28	4.0
BESSEMER INVESTMENT	085	BLK	S	300	149.87	n/a	n/a	12.00	4.0
BESSEMER INVESTMENT	085	BMS	S	475	29.82	n/a	n/a	19.00	4.0
BESSEMER INVESTMENT	085	BRKB	S	1,363	72.91	n/a	n/a	54.52	4.0
BESSEMER INVESTMENT	085	BRO	S	2,065	18.01	n/a	n/a	82.60	4.0
BESSEMER INVESTMENT	085	BRS	S	200	42.96	n/a	n/a	8.00	4.0
WEISS PECK	040	BWS	B	115,860	7.50	n/a	n/a	4,634.40	4.0
BESSEMER INVESTMENT	085	CELG	S	1,140	63.44	n/a	n/a	45.60	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f ABRAM M CHAPPELL	FID	CGI	S	150	9.19	n/a	n/a	0.00	0.0
f JASON ERIC COHEN	FID	CGI	S	350	9.17	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		CHS	C	100,000	12.06	n/a	5-Feb	non-brg	4.0
KLEINHEINZ CAP PART	031	COH	B	50,000	55.89	n/a	3-Aug	2,500.00	5.0
CATAPULT	040	CPX	B	9,100	20.59	n/a	n/a	364.00	4.0
B BUCK CAPITAL MGMT		CROX	B	30,000	25.20	n/a	n/a	non-brg	4.0
SYSTEMATIC FINANCIAL MGT	035	CROX	B	30,000	25.45	n/a	n/a	900.00	3.0
f CHRISTOPHER ARTHUR K	FID	CVGI	S	500	8.10	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	CVGI	B	540	7.46	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		CVX	SS	20,300	94.23	n/a	n/a	non-brg	4.0
NEW JERSEY DIV OF INV.	030	DD	S	100,000	41.74	n/a	5-Oct	4,000.00	4.0
NEW JERSEY DIV OF INV.	030	DOW	B	170,000	25.07	n/a	5-Oct	6,800.00	4.0
ARCHON CAPITAL	035	DSW	S	20,000	49.39	n/a	11-Feb	600.00	3.0
RWC PARTNERS LTD	085	DTV	S	21,265	41.80	n/a	n/a	637.95	3.0
BESSEMER INVESTMENT	085	DVN	S	270	56.32	n/a	27-Sep	10.80	4.0
BESSEMER INVESTMENT	085	ECL	S	480	50.43	n/a	28-Sep	19.20	4.0
B BUCK CAPITAL MGMT		ERTS	B	30,000	21.88	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SURVEYOR CAPITAL	041	EXPD	SS	4,000	42.64	n/a	n/a	120.00	3.0
RIDGECREST INV MGMT LLC	028	F	B	15,000	10.77	n/a	4-Oct	750.00	5.0
ß BUCK CAPITAL MGMT		GIL	S	55,045	25.98	n/a	5-Aug	non-brg	4.0
MERCHANTS GATE CAP LP	036	GLT	SS	24,000	13.85	n/a	n/a	960.00	4.0
ß BUCK CAPITAL MGMT		GLW	S	144,967	13.33	n/a	23-Sep	non-brg	4.0
ß BUCK CAPITAL MGMT		GLW	S	150,000	13.00	n/a	23-Sep	non-brg	4.0
ß BUCK CAPITAL MGMT		GLW	S	50,000	13.15	n/a	23-Sep	non-brg	4.0
f MARC PAUL LUCHANSKY	FID	GLW	B	1000	13.35	n/a	23-Sep	0.00	0.0
ß BUCK CAPITAL MGMT		GMCR	B	10,000	90.11	n/a	n/a	non-brg	4.0
BNP PARIBAS SEC	040	GM	SS	30,000	22.22	n/a	4-Oct	1,500.00	5.0
ß BUCK CAPITAL MGMT		GM	SS	67,000	22.11	n/a	4-Oct	non-brg	4.0
FIRST NY SEC/CHRIS	041	GM	SS	25,000	22.34	n/a	4-Oct	1,250.00	5.0
OZ MGMT	040	GM	SS	50,000	21.80	n/a	4-Oct	1,500.00	3.0
TRELLUS PARTNERS LP	028	GM	SS	20,000	22.35	n/a	4-Oct	1,000.00	5.0
ADAGE CAPITAL MGMT	030	GPS	B	391,723	17.20	n/a	n/a	11,751.69	3.0
ß BUCK CAPITAL MGMT		GPS	SS	200,000	17.26	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GPS	SS	300,000	17.26	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GWV	SS	26,000	152.12	n/a	18-Aug	non-brg	4.0
BMO NESBITT BURNS	041	HD	SS	2,000	33.03	n/a	16-Aug	80.00	4.0
SURVEYOR CAPITAL	041	HII	B	4,201	23.70	n/a	n/a	126.03	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	HON	S	2,340	44.24	n/a	14-Sep	93.60	4.0
CATAPULT	040	HON	SS	5,000	44.51	n/a	14-Sep	200.00	4.0
GREEN ARROW DOUG	040	IFF	SS	5,000	57.68	n/a	6-Sep	250.00	5.0
f MARC PAUL LUCHANSKY	FID	IP	B	500	24.58	n/a	6-Sep	0.00	0.0
BESSEMER INVESTMENT	085	JCI	S	420	28.95	n/a	5-Oct	16.80	4.0
CAERUS GLOBAL	041	JNY	B	50,000	9.02	n/a	28-Jul	2,000.00	4.0
EGS ASSOCIATES LP	091	JNY	B	3,500	9.11	n/a	28-Jul	210.00	6.0
LATEFF MGMT	035	JNY	B	2,000	9.12	n/a	28-Jul	120.00	6.0
ß BUCK CAPITAL MGMT		JOSB	B	30,000	47.90	n/a	n/a	non-brg	4.0
MACQUARIE INVESTMENT MGMT.	040	KEG	B	25,000	9.98	n/a	20-Sep	0.00	0.0
ß BUCK CAPITAL MGMT		KEY	S	100,000	6.22	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		KEY	S	200,000	6.20	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		KEY	S	437,100	6.21	n/a	n/a	non-brg	3.0
ADAGE CAPITAL MGMT	030	KO	S	50,000	64.54	n/a	26-Sep	1,500.00	3.0
LEVIN CAPITAL STRATEGIES	041	LEA	S	35,000	43.80	n/a	5-Aug	1,050.00	3.0
BMO NESBITT BURNS	041	LOW	SS	3,000	19.74	n/a	15-Aug	120.00	4.0
ß BUCK CAPITAL MGMT		LVS	B	20,000	41.59	n/a	13-Jun	non-brg	4.0
CAPITAL GROWTH MGMT.	241	MA	S	130,000	313.34	n/a	16-Sep	6,500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	MET	S	450	29.01	n/a	n/a	18.00	4.0
TALPION LLC	040	MIDD	SS	3,758	73.21	n/a	14-Sep	150.32	4.0
BESSEMER INVESTMENT	085	MMM	S	505	74.20	n/a	7-Sep	20.20	4.0
PRIMECAP MGMT	084	MON	S	10,000	70.05	n/a	5-Oct	400.00	4.0
B BUCK CAPITAL MGMT		MPEL	B	50,000	9.46	n/a	13-Jun	non-brg	3.0
B BUCK CAPITAL MGMT		MSMSBCD	C	496,693	88.49	n/a	n/a	non-brg	0.4
B BUCK CAPITAL MGMT		MSMSBCD	SS	483,407	88.49	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		MSMSBCM	C	5,362,941	88.29	n/a	n/a	non-brg	0.4
B BUCK CAPITAL MGMT		MSMSBCM	SS	5,219,487	88.29	n/a	n/a	non-brg	0.0
MACQUARIE INVESTMENT MGMT.	040	MSM	S	4,000	60.09	n/a	n/a	0.00	0.0
f KEVIN MICHAEL O'GORM	FID	MWO	B	1600	19.44	n/a	n/a	0.00	0.0
PILOT ADV	041	MYL	B	95,000	17.06	n/a	3-Oct	2,850.00	3.0
M&I FUNDS	047	M	B	3,917	25.46	n/a	28-Sep	156.68	4.0
BASSWOOD PARTNERS	267	NAV	B	11,600	33.54	n/a	14-Sep	464.00	4.0
BNP PARIBAS SEC	040	NDN	S	50,000	20.02	n/a	16-Sep	2,500.00	5.0
MOORE CAPITAL	041	NDN	B	14,220	19.76	n/a	16-Sep	568.80	4.0
SONTERRA CAP	041	OSK	S	50,000	17.11	n/a	n/a	2,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SURVEYOR CAPITAL	041	PCP	SS	1,310	152.20	n/a	22-Sep	39.30	3.0
AVESTA CAP	229	PEP	SS	100,000	59.87	n/a	n/a	3,000.00	3.0
BESSEMER INVESTMENT	085	PG	S	280	63.04	n/a	29-Sep	11.20	4.0
SURVEYOR CAPITAL	041	PHM	B	24,876	4.04	n/a	n/a	746.28	3.0
B BUCK CAPITAL MGMT		PII	B	30,000	52.93	n/a	n/a	non-brg	4.0
SURVEYOR CAPITAL	041	PLL	B	2,500	44.78	n/a	n/a	75.00	3.0
SURVEYOR CAPITAL	041	PPO	SS	1,000	56.23	n/a	n/a	30.00	3.0
PRIMECAP MGMT	084	PSS	S	2,000	13.94	n/a	n/a	80.00	4.0
PARKWEST	084	QCOR	S	50,000	30.82	n/a	n/a	2,000.00	4.0
BRONSON POINT	036	RGC	SS	50,000	12.41	n/a	n/a	1,500.00	3.0
f CHRISTOPHER ROBERT C	FID	RIMM	S	200	24.20	n/a	n/a	0.00	0.0
CATAPULT	040	RKT	S	5,000	50.30	n/a	4-Aug	200.00	4.0
COOKBIELER	028	RKT	B	15,000	50.45	n/a	4-Aug	600.00	4.0
ARCHON CAPITAL	035	RT	B	14,000	6.84	n/a	n/a	420.00	3.0
WEISS PECK	040	SDS	B	31,500	24.20	n/a	n/a	945.00	3.0
B BUCK CAPITAL MGMT		SFLY	B	100,000	41.90	n/a	n/a	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JONATHAN RICHARD HAR	FID	SGI	B	700	12.25	n/a	n/a	0.00	0.0
SIMMONS VENTURES	041	SKUL	SS	5,000	13.96	n/a	n/a	200.00	4.0
B BUCK CAPITAL MGMT		SPB	C	43,400	25.42	n/a	n/a	non-brg	4.0
BESSEMER INVESTMENT	085	STJ	S	350	36.86	n/a	n/a	14.00	4.0
KAM ADVISORS LLC	041	SU	SS	76,500	27.48	n/a	n/a	2,295.00	3.0
BASSWOOD PARTNERS	267	TEX	B	8,700	11.93	n/a	14-Sep	348.00	4.0
ADAGE CAPITAL MGMT	030	TGT	B	277,082	51.75	n/a	6-Oct	8,312.46	3.0
ASCEND PARTNERS	033	TGT	S	50,000	51.92	n/a	6-Oct	1,500.00	3.0
BMO NESBITT BURNS	041	TGT	B	2,000	51.98	n/a	6-Oct	80.00	4.0
OZ MGMT	040	TGT	S	10,000	51.30	n/a	6-Oct	300.00	3.0
LITESPEED	028	TIN	S	100,000	31.42	n/a	13-Sep	3,000.00	3.0
B BUCK CAPITAL MGMT		TPX	B	20,000	55.10	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		TSCO	C	50,000	64.71	n/a	n/a	non-brg	4.0
BESSEMER INVESTMENT	085	T	S	310	28.21	n/a	n/a	12.40	4.0
MERRILL ASSET/BLACKROCK	297	UPL	B	8,200	28.32	n/a	27-Sep	328.00	4.0
BMO NESBITT BURNS	041	USG	S	50,000	7.53	n/a	22-Jul	2,500.00	5.0
AVESTA CAP	229	UTX	C	50,000	70.01	n/a	n/a	1,500.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f MARC PAUL LUCHANSKY	FID	WBC	B	500	40.32	n/a	22-Sep	0.00	0.0
SURVEYOR CAPITAL	041	WMT	SS	5,716	52.47	n/a	25-Aug	171.48	3.0
SIMMONS VENTURES	041	WRC	B	5,000	42.70	n/a	2-Aug	200.00	4.0
B BUCK CAPITAL MGMT		XLFX	C	384,000	11.96	n/a	n/a	non-brg	2.0
SUFFOLK CAPITAL MGMT	040	YUM	B	25,000	48.89	n/a	5-Oct	1,000.00	4.0
TOTAL (Trade Date):							100,675.16		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/05	BESSEMER INVESTMENT	085	AA	S	1,500	9.26	n/a	n/a	60.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	AA	S	1,500	9.26	n/a	n/a	60.00 4.0
AO,CXL	10/05	AVESTA CAP	229	AAPL	B	25,000	377.79	n/a	n/a	750.00 3.0
AO,CRT	10/05	AVESTA CAP	229	AAPL	B	25,000	377.79	n/a	n/a	750.00 3.0
AO,CXL	10/05	BESSEMER INVESTMENT	085	ACE	S	450	59.66	n/a	n/a	18.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	ACE	S	450	59.66	n/a	n/a	18.00 4.0
AO,CRT	10/05	MERRILL ASSET/BLACKROCK	297	ACE	B	35,400	59.43	n/a	n/a	1416.00 4.0
AO,CXL	10/05	MERRILL ASSET/BLACKROCK	297	ACE	B	35,400	59.43	n/a	n/a	1416.00 4.0
AO,CXL	10/05	KACELA CAPITAL	034	ACN	B	38,000	54.78	n/a	n/a	1520.00 4.0
AO,CRT	10/05	KACELA CAPITAL	034	ACN	B	38,000	54.78	n/a	n/a	1520.00 4.0
AO,CXL	10/05	OSKIE CAPITAL MGMT	224	ACW	B	11,400	5.00	n/a	n/a	570.00 5.0
AO,CRT	10/05	OSKIE CAPITAL MGMT	224	ACW	B	11,400	5.00	n/a	n/a	228.00 2.0
AO,CXL	10/05	BESSEMER INVESTMENT	085	ADM	S	7,514	24.84	n/a	23-Sep	300.56 4.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	ADM	S	7,514	24.84	n/a	23-Sep	300.56 4.0
AO,CXL	10/05	BESSEMER INVESTMENT	085	AMAT	S	950	10.50	n/a	n/a	38.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	AMAT	S	950	10.50	n/a	n/a	38.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT	085	APC	S	600	65.16	n/a	27-Sep	24.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	APC	S	600	65.16	n/a	27-Sep	24.00 4.0
AO,CXL	10/05	SIMMONS VENTURES	041	ARO	B	5,000	11.40	n/a	19-Aug	200.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/05	SIMMONS VENTURES	041	ARO	B	5,000	11.40	n/a	19-Aug	200.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT	085	AXP	S	6,605	43.24	n/a	5-Oct	264.20 4.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	AXP	S	6,605	43.24	n/a	5-Oct	264.20 4.0
AO,CXL	10/05	NEWLAND CAPITAL MGT	025	BECN	B	25,000	16.35	n/a	n/a	1000.00 4.0
AO,CRT	10/05	NEWLAND CAPITAL MGT	025	BECN	B	25,000	16.35	n/a	n/a	1000.00 4.0
AO,CXL	10/05	KLEINHEINZ CAP PART	031	BID	B	50,000	27.38	n/a	n/a	2500.00 5.0
AO,CRT	10/05	KLEINHEINZ CAP PART	031	BID	B	50,000	27.38	n/a	n/a	2500.00 5.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	BRCM	S	700	34.63	n/a	n/a	28.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT	085	BRCM	S	700	34.63	n/a	n/a	28.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	C	S	3,100	23.97	n/a	27-Sep	124.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT	085	C	S	3,100	23.97	n/a	27-Sep	124.00 4.0
AO,CRT	10/05	SUFFOLK CAPITAL MGMT	040	C	B	197,100	24.56	n/a	27-Sep	7884.00 4.0
AO,CXL	10/05	SUFFOLK CAPITAL MGMT	040	C	B	197,100	24.56	n/a	27-Sep	7884.00 4.0
AO,CXL	10/05	MERRILL ASSET/BLACKROCK	297	CBG	B	20,000	13.61	n/a	n/a	800.00 4.0
AO,CRT	10/05	MERRILL ASSET/BLACKROCK	297	CBG	B	20,000	13.61	n/a	n/a	800.00 4.0
AO,CXL	10/05	ACK ASSET	028	CFX	SS	70,000	19.88	n/a	n/a	2100.00 3.0
AO,CRT	10/05	ACK ASSET	028	CFX	SS	70,000	19.88	n/a	n/a	2100.00 3.0
AO,CXL	10/05	CATAPULT	040	CHK	SS	25,000	24.98	n/a	n/a	1000.00 4.0
AO,CRT	10/05	CATAPULT	040	CHK	SS	25,000	24.98	n/a	n/a	1000.00 4.0
AO,CXL	10/05	TALPION LLC	040	CLGX	B	10,000	10.83	n/a	n/a	400.00 4.0
AO,CRT	10/05	TALPION LLC	040	CLGX	B	10,000	10.83	n/a	n/a	400.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/05	ACK ASSET	028	CMI	B	26,402	86.71	n/a	14-Sep	792.06 3.0
AO,CRT	10/05	ACK ASSET	028	CMI	B	26,402	86.71	n/a	14-Sep	792.06 3.0
AO,CRT	10/05	MERRILL ASSET/BLACKROCK	297	COG	S	6,300	64.36	n/a	27-Sep	252.00 4.0
AO,CXL	10/05	MERRILL ASSET/BLACKROCK	297	COG	S	6,300	64.36	n/a	27-Sep	252.00 4.0
AO,CXL	10/05	SURVEYOR CAPITAL	041	CP	SS	1,000	50.04	n/a	n/a	30.00 3.0
AO,CRT	10/05	SURVEYOR CAPITAL	041	CP	SS	1,000	50.04	n/a	n/a	30.00 3.0
AO,CXL	10/05	BESSEMER INVESTMENT	085	CTL	S	1,500	31.96	n/a	n/a	60.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	CTL	S	1,500	31.96	n/a	n/a	60.00 4.0
AO,CXL	10/05	AVESTA CAP	229	CVI	B	100,000	21.41	n/a	n/a	3000.00 3.0
AO,CRT	10/05	AVESTA CAP	229	CVI	B	100,000	21.41	n/a	n/a	3000.00 3.0
AO,CXL	10/05	COPIA CAPITAL	031	CVI	SS	25,000	21.28	n/a	n/a	875.01 3.5
AO,CRT	10/05	COPIA CAPITAL	031	CVI	SS	25,000	21.28	n/a	n/a	875.01 3.5
AO,CXL	10/05	ARMATURE CAPITAL	041	DAN	B	100,000	11.32	n/a	29-Jul	4000.00 4.0
AO,CRT	10/05	ARMATURE CAPITAL	041	DAN	B	100,000	11.32	n/a	29-Jul	4000.00 4.0
AO,CRT	10/05	MA CAPITAL MGMT/MELLON ADV	041	DG	B	2,600	37.67	n/a	30-Aug	130.00 5.0
AO,CXL	10/05	MA CAPITAL MGMT/MELLON ADV	041	DG	B	2,600	37.67	n/a	30-Aug	130.00 5.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	DIS	S	650	30.91	n/a	n/a	26.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT	085	DIS	S	650	30.91	n/a	n/a	26.00 4.0
AO,CRT	10/05	DSG CAPITAL	030	DOW	B	8,000	23.25	n/a	5-Oct	240.00 3.0
AO,CXL	10/05	DSG CAPITAL	030	DOW	B	8,000	23.25	n/a	5-Oct	240.00 3.0
AO,CXL	10/05	BESSEMER INVESTMENT	085	DVN	S	3,975	55.84	n/a	27-Sep	159.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/05	BESSEMER INVESTMENT	085	DVN	S	3,975	55.84	n/a	27-Sep	159.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT	085	ESRX	S	350	35.57	n/a	n/a	14.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	ESRX	S	350	35.57	n/a	n/a	14.00 4.0
AO,CRT	10/05	GREEN ARROW DOUG	040	EXPD	B	2,500	40.38	n/a	n/a	125.00 5.0
AO,CXL	10/05	GREEN ARROW DOUG	040	EXPD	B	2,500	40.38	n/a	n/a	125.00 5.0
AO,CXL	10/05	BNP PARIBAS SEC	040	EXPR	S	50,000	21.84	n/a	n/a	2500.00 5.0
AO,CRT	10/05	BNP PARIBAS SEC	040	EXPR	S	50,000	21.84	n/a	n/a	2500.00 5.0
AO,CXL	10/05	SUN AMERICA ASSET MGMT	030	F	B	65,900	10.15	n/a	4-Oct	2636.00 4.0
AO,CRT	10/05	SUN AMERICA ASSET MGMT	030	F	B	65,900	10.15	n/a	4-Oct	2636.00 4.0
AO,CRT	10/05	PRIMECAP MGMT	084	FDX	B	4,500	69.88	n/a	n/a	180.00 4.0
AO,CXL	10/05	PRIMECAP MGMT	084	FDX	B	4,500	69.88	n/a	n/a	180.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT	085	FLS	S	175	77.65	n/a	n/a	7.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	FLS	S	175	77.65	n/a	n/a	7.00 4.0
AO,CXL	10/05	OSKIE CAPITAL MGMT	224	FSL	B	10,000	10.41	n/a	n/a	500.00 5.0
AO,CRT	10/05	OSKIE CAPITAL MGMT	224	FSL	B	10,000	10.41	n/a	n/a	500.00 5.0
AO,CXL	10/05	BESSEMER INVESTMENT	085	GE	S	2,000	15.12	n/a	n/a	80.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	GE	S	2,000	15.12	n/a	n/a	80.00 4.0
AO,CXL	10/05	MERCHANTS GATE CAP LP	036	GLT	SS	36,000	13.84	n/a	n/a	1440.00 4.0
AO,CRT	10/05	MERCHANTS GATE CAP LP	036	GLT	SS	36,000	13.84	n/a	n/a	1440.00 4.0
AO,CXL	10/05	BNP PARIBAS SEC	040	GM	SS	60,000	22.11	n/a	4-Oct	3000.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/05	BNP PARIBAS SEC	040	GM	SS	60,000	22.11	n/a	4-Oct	3000.00 5.0
AO,CXL	10/05	HUNTER GLOBAL INVESTOR	028	GM	SS	45,200	22.17	n/a	4-Oct	2260.00 5.0
AO,CRT	10/05	HUNTER GLOBAL INVESTOR	028	GM	SS	45,200	22.17	n/a	4-Oct	2260.00 5.0
AO,CRT	10/05	OZ MGMT	040	GM	SS	125,000	21.29	n/a	4-Oct	3750.00 3.0
AO,CXL	10/05	OZ MGMT	040	GM	SS	125,000	21.29	n/a	4-Oct	3750.00 3.0
AO,CXL	10/05	TRELLUS PARTNERS LP	028	GM	SS	50,000	21.46	n/a	4-Oct	2500.00 5.0
AO,CRT	10/05	TRELLUS PARTNERS LP	028	GM	SS	50,000	21.46	n/a	4-Oct	2500.00 5.0
AO,CXL	10/05	BESSEMER INVESTMENT	085	GOOG	S	513	499.69	n/a	n/a	20.52 4.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	GOOG	S	513	499.69	n/a	n/a	20.52 4.0
AO,CRT	10/05	SONTERRA CAP	041	GPC	B	200	50.79	n/a	n/a	8.00 4.0
AO,CXL	10/05	SONTERRA CAP	041	GPC	B	200	50.79	n/a	n/a	8.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT	085	HON	S	4,755	43.92	n/a	14-Sep	190.20 4.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	HON	S	4,755	43.92	n/a	14-Sep	190.20 4.0
AO,CRT	10/05	TROUBH PART	070	HPQ	S	50,000	23.78	n/a	n/a	2500.00 5.0
AO,CXL	10/05	TROUBH PART	070	HPQ	S	50,000	23.78	n/a	n/a	2500.00 5.0
AO,CRT	10/05	GREEN ARROW DOUG	040	IFF	SS	5,000	58.16	n/a	6-Sep	250.00 5.0
AO,CXL	10/05	GREEN ARROW DOUG	040	IFF	SS	5,000	58.16	n/a	6-Sep	250.00 5.0
AO,CXL	10/05	BESSEMER INVESTMENT	085	IP	S	1,050	23.50	n/a	6-Sep	42.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	IP	S	1,050	23.50	n/a	6-Sep	42.00 4.0
AO,CXL	10/05	FIRST NY SEC/CHRIS	041	IP	B	10,000	23.75	n/a	6-Sep	500.00 5.0
AO,CRT	10/05	FIRST NY SEC/CHRIS	041	IP	B	10,000	23.75	n/a	6-Sep	500.00 5.0
AO,CRT	10/05	ARCHON CAPITAL	035	IRDM	SS	45,000	5.90	n/a	n/a	1350.00 3.0
AO,CXL	10/05	ARCHON CAPITAL	035	IRDM	SS	45,000	5.90	n/a	n/a	1350.00 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/05	BESSEMER INVESTMENT	085	JPM	S	675	30.17	n/a	27-Sep	27.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	JPM	S	675	30.17	n/a	27-Sep	27.00 4.0
AO,CXL	10/05	TROUBH PART	070	JPM	S	25,000	30.15	n/a	27-Sep	1250.00 5.0
AO,CRT	10/05	TROUBH PART	070	JPM	S	25,000	30.15	n/a	27-Sep	1250.00 5.0
AO,CXL	10/05	BESSEMER INVESTMENT	085	KFT	S	300	32.70	n/a	n/a	12.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	KFT	S	300	32.70	n/a	n/a	12.00 4.0
AO,CRT	10/05	FIRST NY SEC/CHRIS	041	KSS	SS	10,000	49.15	n/a	28-Sep	500.00 5.0
AO,CXL	10/05	FIRST NY SEC/CHRIS	041	KSS	SS	10,000	49.15	n/a	28-Sep	500.00 5.0
AO,CXL	10/05	MA CAPITAL MGMT/MELLON ADV	041	KSS	SS	2,000	49.07	n/a	28-Sep	100.00 5.0
AO,CRT	10/05	MA CAPITAL MGMT/MELLON ADV	041	KSS	SS	2,000	49.07	n/a	28-Sep	100.00 5.0
AO,CXL	10/05	PRIMECAP MGMT	084	KSS	S	5,000	49.95	n/a	28-Sep	200.00 4.0
AO,CRT	10/05	PRIMECAP MGMT	084	KSS	S	5,000	49.95	n/a	28-Sep	200.00 4.0
AO,CRT	10/05	LEVIN CAPITAL STRATEGIES	041	LEA	B	7,500	42.92	n/a	5-Aug	225.00 3.0
AO,CXL	10/05	LEVIN CAPITAL STRATEGIES	041	LEA	B	7,500	42.92	n/a	5-Aug	225.00 3.0
AO,CXL	10/05	RIDGECREST INV MGMT LLC	028	LEA	B	5,000	43.90	n/a	5-Aug	250.00 5.0
AO,CRT	10/05	RIDGECREST INV MGMT LLC	028	LEA	B	5,000	43.90	n/a	5-Aug	250.00 5.0
AO,CXL	10/05	MACQUARIE INVESTMENT MGMT.	040	LIZ	S	20,000	4.41	n/a	7-Oct	0.00 0.0
AO,CRT	10/05	MACQUARIE INVESTMENT MGMT.	040	LIZ	S	20,000	4.41	n/a	7-Oct	0.00 0.0
AO,CXL	10/05	SIMMONS VENTURES	041	M	B	5,000	25.70	n/a	28-Sep	200.00 4.0
AO,CRT	10/05	SIMMONS VENTURES	041	M	B	5,000	25.70	n/a	28-Sep	200.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT	085	MA	S	830	306.21	n/a	16-Sep	33.20 4.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	MA	S	830	306.21	n/a	16-Sep	33.20 4.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	MET	S	7,760	28.34	n/a	n/a	310.40 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/05	BESSEMER INVESTMENT	085	MET	S	7,760	28.34	n/a	n/a	310.40 4.0
AO,CRT	10/05	NEWLAND CAPITAL MGT	025	MHK	S	42,487	45.11	n/a	n/a	1699.48 4.0
AO,CXL	10/05	NEWLAND CAPITAL MGT	025	MHK	S	42,487	45.11	n/a	n/a	1699.48 4.0
AO,CXL	10/05	TALPION LLC	040	MIDD	SS	2,242	73.43	n/a	14-Sep	89.68 4.0
AO,CRT	10/05	TALPION LLC	040	MIDD	SS	2,242	73.43	n/a	14-Sep	89.68 4.0
AO,CXL	10/05	BESSEMER INVESTMENT	085	MO	S	1,400	26.31	n/a	n/a	56.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	MO	S	1,400	26.31	n/a	n/a	56.00 4.0
AO,CRT	10/05	COUGAR TRADING	044	MON	B	15,000	64.63	n/a	5-Oct	750.00 5.0
AO,CXL	10/05	COUGAR TRADING	044	MON	B	15,000	64.63	n/a	5-Oct	750.00 5.0
AO,CXL	10/05	COUGAR TRADING	044	MON	S	15,000	65.63	n/a	5-Oct	750.00 5.0
AO,CRT	10/05	COUGAR TRADING	044	MON	S	15,000	65.63	n/a	5-Oct	750.00 5.0
AO,CXL	10/05	CAPITAL GROWTH MGMT.	241	MPC	B	300,000	30.60	n/a	n/a	12000.00 4.0
AO,CRT	10/05	CAPITAL GROWTH MGMT.	241	MPC	B	300,000	30.60	n/a	n/a	12000.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT	085	MSFT	S	1,300	25.99	n/a	n/a	52.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	MSFT	S	1,300	25.99	n/a	n/a	52.00 4.0
AO,CRT	10/05	THOMAS WEISEL ASSET MGMT	035	MSPD	B	4,440	5.36	n/a	n/a	133.20 3.0
AO,CXL	10/05	DAVIDSON KEMPNER ADVISOR	040	MT	C	124,000	16.89	n/a	n/a	6200.00 5.0
AO,CRT	10/05	DAVIDSON KEMPNER ADVISOR	040	MT	C	124,000	16.89	n/a	n/a	6200.00 5.0
AO,CXL	10/05	SURVEYOR CAPITAL	041	NAV	B	4,800	33.03	n/a	14-Sep	144.00 3.0
AO,CRT	10/05	SURVEYOR CAPITAL	041	NAV	B	4,800	33.03	n/a	14-Sep	144.00 3.0
AO,CRT	10/05	ADAGE CAPITAL MGMT	030	NDN	B	54,579	18.64	n/a	16-Sep	1637.37 3.0

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AO,CXL	10/05	ADAGE CAPITAL MGMT	030	NDN	B	54,579	18.64	n/a	16-Sep	1637.37 3.0
AO,CXL	10/05	MOORE CAPITAL	041	NDN	B	10,000	18.37	n/a	16-Sep	300.00 3.0
AO,CRT	10/05	MOORE CAPITAL	041	NDN	B	10,000	18.37	n/a	16-Sep	300.00 3.0
AO,CXL	10/05	BESSEMER INVESTMENT	085	NOC	S	1,113	51.70	n/a	26-Sep	44.52 4.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	NOC	S	1,113	51.70	n/a	26-Sep	44.52 4.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	NOV	S	225	52.15	n/a	n/a	9.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT	085	NOV	S	225	52.15	n/a	n/a	9.00 4.0
AO,CXL	10/05	TALPION LLC	040	NWL	SS	35,000	11.87	n/a	n/a	1400.00 4.0
AO,CRT	10/05	TALPION LLC	040	NWL	SS	35,000	11.87	n/a	n/a	1400.00 4.0
AO,CRT	10/05	THOMAS WEISEL ASSET MGMT	035	OCZ	S	78,115	4.91	n/a	n/a	1562.30 2.0
AO,CXL	10/05	HUNTER GLOBAL INVESTOR	028	OSK	B	70,500	15.97	n/a	n/a	2467.50 3.5
AO,CRT	10/05	HUNTER GLOBAL INVESTOR	028	OSK	B	70,500	15.97	n/a	n/a	2467.50 3.5
AO,CRT	10/05	DEVENNY CAP LLC	044	PAG	SS	13,500	17.14	n/a	22-Jul	405.00 3.0
AO,CXL	10/05	DEVENNY CAP LLC	044	PAG	SS	13,500	17.14	n/a	22-Jul	405.00 3.0
AO,CXL	10/05	BESSEMER INVESTMENT	085	PCP	S	1,530	149.19	n/a	22-Sep	61.20 4.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	PCP	S	1,530	149.19	n/a	22-Sep	61.20 4.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	PFE	S	1,500	17.81	n/a	n/a	60.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT	085	PFE	S	1,500	17.81	n/a	n/a	60.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	PG	S	325	62.97	n/a	29-Sep	13.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT	085	PG	S	325	62.97	n/a	29-Sep	13.00 4.0
AO,CRT	10/05	ROARING BLUE LION MGMT	031	PLCE	S	4,666	48.68	n/a	18-Aug	186.64 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/05	ROARING BLUE LION MGMT	031	PLCE	S	4,666	48.68	n/a	18-Aug	186.64 4.0
AO,CXL	10/05	HUNTER GLOBAL INVESTOR	028	PWR	SS	53,000	18.94	n/a	n/a	2120.00 4.0
AO,CRT	10/05	HUNTER GLOBAL INVESTOR	028	PWR	SS	53,000	18.94	n/a	n/a	2120.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT	085	QCOM	S	175	50.43	n/a	n/a	7.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	QCOM	S	175	50.43	n/a	n/a	7.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT	085	RIG	S	550	45.25	n/a	n/a	22.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	RIG	S	550	45.25	n/a	n/a	22.00 4.0
AO,CXL	10/05	NEWLAND CAPITAL MGT	025	RKT	B	10,000	47.31	n/a	4-Aug	400.00 4.0
AO,CRT	10/05	NEWLAND CAPITAL MGT	025	RKT	B	10,000	47.31	n/a	4-Aug	400.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT	085	SBUX	S	550	38.12	n/a	3-Oct	22.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	SBUX	S	550	38.12	n/a	3-Oct	22.00 4.0
AO,CXL	10/05	ENTRUST CAPITAL	040	SCSS	SS	23,400	13.59	n/a	n/a	1170.00 5.0
AO,CRT	10/05	ENTRUST CAPITAL	040	SCSS	SS	23,400	13.59	n/a	n/a	1170.00 5.0
AO,CXL	10/05	CATAPULT	040	SFL	SS	25,000	12.28	n/a	n/a	1000.00 4.0
AO,CRT	10/05	CATAPULT	040	SFL	SS	25,000	12.28	n/a	n/a	1000.00 4.0
AO,CXL	10/05	COBALT	041	SLM	B	150,000	11.73	n/a	6-Oct	6000.00 4.0
AO,CRT	10/05	COBALT	041	SLM	B	150,000	11.73	n/a	6-Oct	6000.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT	085	SO	S	500	41.11	n/a	n/a	20.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	SO	S	500	41.11	n/a	n/a	20.00 4.0
AO,CRT	10/05	ROARING BLUE LION MGMT	031	SSI	S	2,200	15.04	n/a	n/a	88.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/05	ROARING BLUE LION MGMT	031	SSI	S	2,200	15.04	n/a	n/a	88.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT	085	STJ	S	375	36.54	n/a	n/a	15.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	STJ	S	375	36.54	n/a	n/a	15.00 4.0
AO,CXL	10/05	LEVIN CAPITAL STRATEGIES	041	SUG	B	15,000	39.86	n/a	n/a	450.00 3.0
AO,CRT	10/05	LEVIN CAPITAL STRATEGIES	041	SUG	B	15,000	39.86	n/a	n/a	450.00 3.0
AO,CXL	10/05	BESSEMER INVESTMENT	085	SWK	S	95	53.17	n/a	n/a	3.80 4.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	SWK	S	95	53.17	n/a	n/a	3.80 4.0
AO,CXL	10/05	BESSEMER INVESTMENT	085	T	S	750	28.08	n/a	n/a	30.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	T	S	750	28.08	n/a	n/a	30.00 4.0
AO,CXL	10/05	OZ MGMT	040	TGT	B	75,000	49.62	n/a	6-Oct	2250.00 3.0
AO,CRT	10/05	OZ MGMT	040	TGT	B	75,000	49.62	n/a	6-Oct	2250.00 3.0
AO,CXL	10/05	HUNTER GLOBAL INVESTOR	028	THO	SS	20,300	24.80	n/a	n/a	1015.00 5.0
AO,CRT	10/05	HUNTER GLOBAL INVESTOR	028	THO	SS	20,300	24.80	n/a	n/a	1015.00 5.0
AO,CXL	10/05	LITESPEED	028	TIN	S	100,100	31.38	n/a	13-Sep	3003.00 3.0
AO,CRT	10/05	LITESPEED	028	TIN	S	100,100	31.38	n/a	13-Sep	3003.00 3.0
AO,CXL	10/05	BESSEMER INVESTMENT	085	TRV	S	900	48.39	n/a	n/a	36.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	TRV	S	900	48.39	n/a	n/a	36.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT	085	TRW	S	225	34.15	n/a	n/a	9.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	TRW	S	225	34.15	n/a	n/a	9.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT	085	TSN	S	1,200	17.22	n/a	n/a	48.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/05	BESSEMER INVESTMENT	085	TSN	S	1,200	17.22	n/a	n/a	48.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT	085	TWC	S	550	65.95	n/a	n/a	22.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	TWC	S	550	65.95	n/a	n/a	22.00 4.0
AO,CRT	10/05	MASTERS CAPITAL MANAGE	025	UAL	B	50,000	18.26	n/a	n/a	2000.00 4.0
AO,CXL	10/05	MASTERS CAPITAL MANAGE	025	UAL	B	50,000	18.26	n/a	n/a	2000.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT	085	UNH	S	1,500	43.96	n/a	n/a	60.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	UNH	S	1,500	43.96	n/a	n/a	60.00 4.0
AO,CXL	10/05	SURVEYOR CAPITAL	041	UNP	B	1,000	85.41	n/a	n/a	30.00 3.0
AO,CRT	10/05	SURVEYOR CAPITAL	041	UNP	B	1,000	85.41	n/a	n/a	30.00 3.0
AO,CXL	10/05	MERRILL ASSET/BLACKROCK	297	UPL	B	6,400	27.74	n/a	27-Sep	256.00 4.0
AO,CRT	10/05	MERRILL ASSET/BLACKROCK	297	UPL	B	6,400	27.74	n/a	27-Sep	256.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT	085	UPS	S	425	65.34	n/a	n/a	17.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	UPS	S	425	65.34	n/a	n/a	17.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	UTX	S	75	69.21	n/a	n/a	3.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT	085	UTX	S	75	69.21	n/a	n/a	3.00 4.0
AO,CXL	10/05	AVESTA CAP	229	V	B	25,000	83.69	n/a	24-Aug	750.00 3.0
AO,CRT	10/05	AVESTA CAP	229	V	B	25,000	83.69	n/a	24-Aug	750.00 3.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	V	S	100	84.35	n/a	24-Aug	4.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT	085	V	S	100	84.35	n/a	24-Aug	4.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	VFC	S	75	125.51	n/a	22-Jul	3.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT	085	VFC	S	75	125.51	n/a	22-Jul	3.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/05	BESSEMER INVESTMENT	085	VIAB	S	950	38.90	n/a	n/a	38.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	VIAB	S	950	38.90	n/a	n/a	38.00 4.0
AO,CXL	10/05	KAM ADVISORS LLC	041	VMC	SS	47,700	28.22	n/a	n/a	1431.00 3.0
AO,CRT	10/05	KAM ADVISORS LLC	041	VMC	SS	47,700	28.22	n/a	n/a	1431.00 3.0
AO,CXL	10/05	BNP PARIBAS SEC	040	WEN	B	250,000	4.52	n/a	3-Oct	6250.00 2.5
AO,CRT	10/05	BNP PARIBAS SEC	040	WEN	B	250,000	4.52	n/a	3-Oct	6250.00 2.5
AO,CXL	10/05	CARDINAL CAPITAL	044	WEN	S	3,300	4.55	n/a	3-Oct	165.00 5.0
AO,CRT	10/05	CARDINAL CAPITAL	044	WEN	S	3,300	4.55	n/a	3-Oct	165.00 5.0
AO,CXL	10/05	BESSEMER INVESTMENT	085	WFC	S	600	24.02	n/a	27-Sep	24.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	WFC	S	600	24.02	n/a	27-Sep	24.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	WLP	S	1,100	63.18	n/a	n/a	44.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT	085	WLP	S	1,100	63.18	n/a	n/a	44.00 4.0
AO,CXL	10/05	APEX CAPITAL MGMT.	261	WMT	SS	75,000	52.30	n/a	25-Aug	3000.00 4.0
AO,CRT	10/05	APEX CAPITAL MGMT.	261	WMT	SS	75,000	52.30	n/a	25-Aug	3000.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT	085	WRI	S	500	19.87	n/a	n/a	20.00 4.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	WRI	S	500	19.87	n/a	n/a	20.00 4.0
AO,CXL	10/05	KAM ADVISORS LLC	041	XLI	C	45,400	29.72	n/a	n/a	1362.00 3.0
AO,CRT	10/05	KAM ADVISORS LLC	041	XLI	C	45,400	29.72	n/a	n/a	1362.00 3.0
AO,CRT	10/05	BESSEMER INVESTMENT	085	XOM	S	250	73.59	n/a	n/a	10.00 4.0
AO,CXL	10/05	BESSEMER INVESTMENT	085	XOM	S	250	73.59	n/a	n/a	10.00 4.0
AO,CXL	10/05	LEVIN CAPITAL STRATEGIES	041	XOM	B	20,000	73.63	n/a	n/a	600.00 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/05	LEVIN CAPITAL STRATEGIES	041	XOM	B	20,000	73.63	n/a	n/a	600.00 3.0
AO,CXL	10/05	KLEINHEINZ CAP PART	031	YUM	B	75,000	49.11	n/a	5-Oct	3750.00 5.0
AO,CRT	10/05	KLEINHEINZ CAP PART	031	YUM	B	75,000	49.11	n/a	5-Oct	3750.00 5.0
AO,CXL	10/05	SUFFOLK CAPITAL MGMT	040	YUM	B	111,600	48.73	n/a	5-Oct	4464.00 4.0
AO,CRT	10/05	SUFFOLK CAPITAL MGMT	040	YUM	B	111,600	48.73	n/a	5-Oct	4464.00 4.0
AO,CXL	10/05	TUDOR INVESTORS	028	ZUMZ	SS	12,500	18.83	n/a	n/a	375.00 3.0
AO,CRT	10/05	TUDOR INVESTORS	028	ZUMZ	SS	12,500	18.83	n/a	n/a	375.00 3.0
TOTAL (AO, CXL, CRT) :										1,353.50
TOTAL (Trade Date) :										100,675.16
TOTAL (AO, CXL, CRT) :										1,353.50
TOTAL (RUN DATE) / NFS :										102,028.66

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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MRI Securities with Trade Activity on 6-Oct.
NONE

MRI Securities without Trade Activity on 6-Oct.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 0%
YTD = 2%

<u>Legend:</u>
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)