



Daily Compliance Activity Report

Trade Date: 11/02/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		AAPL	S	10,000	187.64	n/a	n/a	non-brg	1.0
OGORMAN	046	ABG	S	400	17.23	31-Oct	2-Nov	0.00	0.0
STRATTON	N21	ABK	B	100	23.33	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	ACS	B	31,200	46.64	n/a	n/a	1,560.00	5.0
BALYASNY ASSET MGMT	044	AEO	S	10,000	22.22	12-Oct	12-Oct	500.00	5.0
COUGAR TRADING	044	AEO	S	20,000	22.40	12-Oct	12-Oct	1,000.00	5.0
MAZAMA CAPITAL MGMT.	035	AIQ	S	166,050	9.00	n/a	n/a	6,642.00	4.0
LISTED ERR	099	AIQ	B	16	9.00	n/a	n/a	0.00	0.0
PEAK MACAYA CAP MGMT	044	AMR	S	20,935	23.00	n/a	n/a	1,046.75	5.0
PEAK MACAYA CAP MGMT	044	AMTD	B	15,700	18.82	n/a	n/a	785.00	5.0
COUGAR TRADING	044	ANF	B	10,000	74.81	2-Oct	25-Oct	500.00	5.0
COUGAR TRADING	044	ANF	SS	10,000	74.58	2-Oct	25-Oct	500.00	5.0
BUCK	015	ANF	C	400	74.50	2-Oct	25-Oct	0.00	0.0
NORTHPOINT	030	ANGO	B	22,380	18.80	n/a	n/a	895.20	4.0
BUCK CAPITAL MGMT	001	ARO	B	233,300	21.88	n/a	12-Oct	9,332.00	4.0
COUGAR TRADING	044	ARO	S	15,000	22.07	n/a	12-Oct	750.00	5.0
J L F ASSET MGMT	039	ARO	B	28,800	21.97	n/a	12-Oct	1,152.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BANK OF NEW YORK	040	BAC	S	57,900	44.38	19-Oct	19-Oct	2,605.50	4.5
GALLEON MGMT LP	033	BAC	C	40,000	45.22	19-Oct	19-Oct	2,000.00	5.0
METROPOLITAN CAPITAL	044	BBW	B	17,100	18.88	11-Sep	18-Oct	855.00	5.0
GOLD SACHS SPECIAL SIT	030	BIG	B	200,000	23.56	26-Oct	26-Oct	10,000.00	5.0
NEW JERSEY DIV OF INV.	220	BRE	S	77,000	49.92	n/a	n/a	3,850.00	5.0
BUCK CAPITAL MGMT	001	BSC	B	3,700	105.31	4-Sep	22-Oct	148.00	4.0
COUGAR TRADING	044	BWA	B	5,000	102.64	26-Oct	26-Oct	250.00	5.0
BUCK CAPITAL MGMT	001	BWS	S	80,000	18.50	n/a	n/a	3,200.00	4.0
OGORMAN	046	CBK	S	400	12.71	n/a	12-Oct	0.00	0.0
NORTHPOINT	030	CCBL	B	18,520	12.06	n/a	n/a	740.80	4.0
WHEELER	008	CHP	B	25,000	4.95	n/a	n/a	0.00	0.0
KENNEDY CAPITAL	046	CHS	B	50,000	12.42	12-Oct	12-Oct	2,000.00	4.0
BUCK	015	CMA	C	800	44.65	n/a	n/a	0.00	0.0
HARRIS ASSOCIATES	031	CNO	S	333,900	13.71	n/a	n/a	10,017.00	3.0
BUCK CAPITAL MGMT	001	COH	S	20,000	34.57	24-Oct	24-Oct	800.00	4.0
COUGAR TRADING	044	COH	S	5,000	34.33	24-Oct	24-Oct	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CROWLEY	061	CRMEX	S	1,305	10.97	n/a	n/a	0.00	0.0
CROWLEY	061	CRMMX	S	533	32.81	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CROX	B	50,000	48.97	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		CROX	S	100,000	45.31	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		CROX	S	100,000	46.83	n/a	n/a	non-brg	4.0
ZOLIDIS	011	CROX	SS	100	44.92	n/a	n/a	0.00	0.0
PAKLER	N22	CROX	S	95	44.35	n/a	n/a	0.00	0.0
PILOT ROCK	028	CTV	B	31,300	45.88	n/a	n/a	1,252.00	4.0
APEX CAPITAL MGMT.	091	CVS	S	11,900	41.60	n/a	n/a	595.00	5.0
BUCK CAPITAL MGMT	001	C	B	10,500	37.40	n/a	1-Nov	420.00	4.0
NATIONAL BK OF CAN	031	C	S	50,000	37.12	n/a	1-Nov	2,000.00	4.0
KAICHER	064	C	B	1,500	36.91	n/a	1-Nov	0.00	0.0
SINCLAIR	031	DAWMY	B	40	3.10	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	DD	B	10,000	47.87	n/a	23-Oct	400.00	4.0
CASTLE ARK	031	DE	B	19,000	152.63	n/a	n/a	1,140.00	6.0
BACKBAY	041	DHR	S	17,000	81.81	n/a	n/a	850.00	5.0
ß BUCK CAPITAL MGMT		DIA	C	102,000	136.19	n/a	n/a	non-brg	2.0
CASTLE ARK	031	DKS	B	23,800	30.73	26-Oct	26-Oct	1,428.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PRINCIPLE CAPITAL	040	DKS	B	46,000	30.89	26-Oct	26-Oct	1,380.00	3.0
STADIA CAPITAL	035	DKS	S	25,000	30.74	26-Oct	26-Oct	1,000.00	4.0
LEDDY	035	DLIA	S	777	3.18	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	DSW	B	20,000	21.34	26-Oct	26-Oct	800.00	4.0
CROWLEY	061	EFT	S	2,249	16.16	n/a	n/a	0.00	0.0
SYSTEMATIC FINANCIAL MGT	035	ELY	S	22,000	16.68	n/a	n/a	825.00	3.8
CASTLE ARK	031	EMC	B	38,700	24.49	n/a	n/a	2,322.00	6.0
PEAK MACAYA CAP MGMT	044	EMC	S	6,200	24.56	n/a	n/a	310.00	5.0
CASTLE ARK	031	EMR	B	70,400	51.74	n/a	n/a	4,224.00	6.0
PEAK MACAYA CAP MGMT	044	ETFC	B	82,000	9.59	n/a	n/a	4,100.00	5.0
SYSTEMATIC FINANCIAL MGT	035	FCX	B	123,950	111.20	n/a	n/a	4,648.13	3.8
WAGONHOUND	048	FDO	B	23,320	23.77	9-Aug	12-Oct	932.80	4.0
B BUCK CAPITAL MGMT		FGXI	S	20,000	16.77	n/a	n/a	non-brg	4.0
LEDDY	035	FIG	B	800	18.52	n/a	n/a	0.00	0.0
CASTLE ARK	031	FWLT	B	14,700	145.28	n/a	n/a	882.00	6.0
B BUCK CAPITAL MGMT		GES	B	160,600	44.65	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		GES	B	70,000	44.12	n/a	n/a	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LUCHANSKY	036	GES	S	200	44.65	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	GET	S	34,500	49.27	n/a	n/a	1,725.00	5.0
PROSPECTOR PARTNERS LLC	036	GFI	B	10,000	17.36	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		GIII	B	20,000	14.67	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		GIL	S	20,000	44.87	19-Sep	19-Sep	non-brg	4.0
CASTLE ARK	031	GIL	B	45,400	43.95	19-Sep	19-Sep	2,724.00	6.0
MAGUIRE	039	GLBC	B	300	20.22	n/a	n/a	0.00	0.0
LOCUS WOOD CAPITAL MGMT	044	GM	S	20,000	36.83	n/a	2-Nov	1,000.00	5.0
WAGONHOUND	048	GM	SS	10,400	37.27	n/a	2-Nov	416.00	4.0
BACKBAY	041	GNA	SS	25,000	12.23	n/a	n/a	1,250.00	5.0
PEAK MACAYA CAP MGMT	044	GOOG	S	130	711.11	n/a	n/a	6.50	5.0
AAD CAPITAL	048	GPI	B	117,970	30.01	31-Oct	31-Oct	4,718.80	4.0
BUCK	015	GSK	S	1,000	50.71	n/a	n/a	0.00	0.0
PEAK MACAYA CAP MGMT	044	GYI	S	5,700	30.57	n/a	n/a	285.00	5.0
B BUCK CAPITAL MGMT		GYMB	B	10,000	31.18	10-Aug	18-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		GYMB	B	90,000	30.36	10-Aug	18-Oct	non-brg	4.0
MKT MAKER	097	GYMB	B	100	30.00	10-Aug	18-Oct	0.00	0.0
CASTLE ARK	031	HANS	B	21,100	65.13	n/a	n/a	1,266.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KACELA CAPITAL	034	HD	S	40,000	30.33	n/a	27-Jul	1,600.00	4.0
CASTLE ARK	031	HOLX	B	45,700	65.86	n/a	n/a	2,742.00	6.0
CASTLE ARK	031	HPQ	B	46,700	52.17	n/a	n/a	2,802.00	6.0
PROSPECTOR PARTNERS LLC	036	HRB	S	10,000	20.62	n/a	n/a	400.00	4.0
CASTLE ARK	031	HRS	B	12,600	62.97	30-Oct	2-Nov	756.00	6.0
PEAK MACAYA CAP MGMT	044	HWCC	B	3,000	14.53	n/a	n/a	150.00	5.0
CROWLEY	061	ICENX	S	535	42.36	n/a	n/a	0.00	0.0
CASTLE ARK	031	ICE	B	11,100	173.32	n/a	n/a	666.00	6.0
PEAK MACAYA CAP MGMT	044	ICE	S	660	173.80	n/a	n/a	33.00	5.0
KAICHER	064	ICON	S	100	21.79	n/a	n/a	0.00	0.0
XYLEM GLOBAL	091	IP	B	43,100	35.33	n/a	18-Oct	2,155.00	5.0
CASTLE ARK	031	ISRG	B	11,900	311.87	n/a	n/a	714.00	6.0
LEDDY	035	JADE	S	1,000	4.07	n/a	n/a	0.00	0.0
CROWLEY	061	JAOSX	S	300	61.65	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	JCG	S	50,000	34.66	24-Oct	24-Oct	2,000.00	4.0
B BUCK CAPITAL MGMT		JCG	S	20,000	35.10	24-Oct	24-Oct	non-brg	4.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
ß	BUCK CAPITAL MGMT		JCG	S	40,000	34.26	24-Oct	24-Oct	non-brg 2.0
	COUGAR TRADING	044	JCG	B	5,000	34.74	24-Oct	24-Oct	250.00 5.0
	COUGAR TRADING	044	JCG	S	5,000	34.19	24-Oct	24-Oct	250.00 5.0
	TRELLUS PARTNERS LP	028	JCI	SS	50,000	42.78	2-Oct	23-Oct	2,500.00 5.0
	BUCK CAPITAL MGMT	001	JCP	B	240,000	53.79	12-Oct	12-Oct	9,600.00 4.0
	CASTLE ARK	031	JCP	B	28,200	53.12	12-Oct	12-Oct	1,692.00 6.0
	FIRST NY SEC/CHRIS	041	JCP	B	10,000	54.15	12-Oct	12-Oct	600.00 6.0
	CROWLEY	061	JMCVX	S	400	26.06	n/a	n/a	0.00 0.0
	CROWLEY	061	JSVAX	S	700	21.03	n/a	n/a	0.00 0.0
	BUCK CAPITAL MGMT	001	JWN	B	50,000	36.88	12-Oct	12-Oct	2,000.00 4.0
ß	BUCK CAPITAL MGMT		JWN	B	20,000	36.57	12-Oct	12-Oct	non-brg 4.0
	CUMBERLAND	038	JWN	B	20,000	37.98	12-Oct	12-Oct	800.00 4.0
	CUMBERLAND	038	KOP	B	2,000	41.93	n/a	n/a	80.00 4.0
	PROSPECTOR PARTNERS LLC	036	KO	S	10,000	60.39	n/a	n/a	400.00 4.0
	APEX CAPITAL MGMT.	091	KSS	B	18,600	52.13	2-Nov	2-Nov	930.00 5.0
	BEAR STEARNS ASSET MGMT.	033	KSS	S	339,200	52.16	2-Nov	2-Nov	13,568.00 4.0
	BUCK CAPITAL MGMT	001	KSS	B	80,000	52.47	2-Nov	2-Nov	3,200.00 4.0
	COUGAR TRADING	044	KSS	B	5,000	52.50	2-Nov	2-Nov	250.00 5.0
	BUCK CAPITAL MGMT	001	LEH	B	6,600	59.82	12-Jun	16-Oct	264.00 4.0
	LEDDY	035	LEH	B	500	57.95	12-Jun	16-Oct	0.00 0.0
	APEX CAPITAL MGMT.	091	LIZ	B	53,800	26.55	n/a	31-Oct	2,690.00 5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ENDEAVOUR CAPITAL	035	LM	B	4,800	80.70	12-Oct	2-Nov	240.00	5.0
SUNOVA CAPITAL	031	LM	S	20,000	78.69	12-Oct	2-Nov	1,000.00	5.0
ENDEAVOUR CAPITAL	035	LNC	B	7,200	60.65	n/a	n/a	360.00	5.0
DISCIPLINED GROWTH INV.	030	LTD	B	4,700	21.58	n/a	17-Oct	235.00	5.0
LUCID PARTNERS	067	LTD	S	17,000	21.37	n/a	17-Oct	850.00	5.0
DISCIPLINED GROWTH INV.	030	LVL	B	19,800	3.04	24-Oct	1-Nov	594.00	3.0
MS PRINCIPAL STRATEGIES	041	LVL	B	1,000,000	3.00	24-Oct	1-Nov	30,000.00	3.0
THIRD COAST CAPITAL	035	LVL	B	75,000	3.01	24-Oct	1-Nov	3,750.00	5.0
MS PRINCIPAL STRATEGIES	041	MAR	B	25,000	38.98	n/a	n/a	1,250.00	5.0
APEX CAPITAL MGMT.	091	MAT	B	40,300	20.40	n/a	n/a	2,015.00	5.0
SINCLAIR	031	MERAV	B	15	1.00	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	MER	B	6,900	56.79	25-Oct	30-Oct	276.00	4.0
ENDEAVOUR CAPITAL	035	MMC	B	6,400	25.41	n/a	n/a	320.00	5.0
PROSPECTOR PARTNERS LLC	036	MMC	S	10,000	24.92	n/a	n/a	400.00	4.0
BUCK	015	MO	B	800	72.22	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	MRK	S	10,000	56.87	n/a	n/a	400.00	4.0
MILLER	N23	MSFT	B	15	36.82	n/a	3-Apr	0.00	0.0
BUCK CAPITAL MGMT	001	MW	S	90,000	39.79	n/a	n/a	3,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CROWLEY	061	MZT	S	18,000	0.11	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	M	B	10,000	31.51	24-Sep	12-Oct	500.00	5.0
COUGAR TRADING	044	M	S	10,000	31.41	24-Sep	12-Oct	500.00	5.0
OGORMAN	046	NDN	S	1,400	9.89	13-Aug	12-Oct	0.00	0.0
WILLOW CREEK	033	NEXC	B	18,000	5.73	n/a	n/a	900.00	5.0
KAICHER	064	NRG	S	1,000	45.50	n/a	n/a	0.00	0.0
GAULT	063	OFTAA	S	100	0.50	n/a	n/a	0.00	0.0
NICOLAS APPLGATE	048	OIS	S	59,000	37.17	n/a	n/a	2,360.00	4.0
PEAK MACAYA CAP MGMT	044	OMG	S	10,200	51.95	n/a	n/a	510.00	5.0
SYSTEMATIC FINANCIAL MGT	035	O	B	12,700	27.96	n/a	n/a	476.25	3.8
HIGHBRIDGE CAPITAL	038	PCU	B	5,000	132.28	n/a	n/a	250.00	5.0
B BUCK CAPITAL MGMT		PERY	S	5,000	21.32	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		PLCE	B	40,000	24.19	26-Sep	18-Oct	non-brg	4.0
EGS ASSOCIATES LP	091	PLCE	B	3,000	23.80	26-Sep	18-Oct	180.00	6.0
KAICHER	064	PLLL	S	1,000	20.04	n/a	n/a	0.00	0.0
FRIESS MGMT	042	PSUN	B	244,700	15.70	n/a	25-Oct	11,011.50	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
J L F ASSET MGMT	039	PSUN	B	3,400	16.02	n/a	25-Oct	136.00	4.0
WEINTRAUB CAPITAL MGT.	040	PSUN	B	22,300	15.80	n/a	25-Oct	1,115.00	5.0
BUCK CAPITAL MGMT	001	PVH	B	10,000	45.34	13-Aug	29-Aug	400.00	4.0
WHITTIER CAP	048	PVH	B	3,620	45.41	13-Aug	29-Aug	144.80	4.0
MILLER	N23	QUASX	S	25	32.38	n/a	n/a	0.00	0.0
COUGAR TRADING	044	RL	SS	5,000	66.52	31-Oct	31-Oct	250.00	5.0
CROWLEY	061	RSINX	S	900	12.20	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		RSTO	B	100,000	2.96	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		RSTO	B	18,299	3.00	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		RSTO	B	18,800	2.98	n/a	n/a	non-brg	1.0
CROWLEY	061	RSVAX	S	514	29.54	n/a	n/a	0.00	0.0
LEDDY	035	RVI	S	800	8.08	n/a	n/a	0.00	0.0
NORTHPOINT	030	SDIX	B	12,425	5.69	n/a	n/a	372.75	3.0
NICOLAS APPEGATE	048	SEA	S	36,100	14.48	n/a	n/a	1,083.00	3.0
B BUCK CAPITAL MGMT		SGMS	SS	30,000	33.73	n/a	n/a	non-brg	4.0
EFSTATHIOU	044	SIMG	B	400	4.46	n/a	n/a	0.00	0.0
OGORMAN	046	SKF	B	100	93.58	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKX	S	100,000	22.81	n/a	13-Mar	4,000.00	4.0

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BUCK CAPITAL MGMT		SKX	S	100,000	22.83	n/a	13-Mar	non-brg	1.0
BUCK CAPITAL MGMT	001	SSI	B	50,000	17.43	3-Aug	12-Oct	2,000.00	4.0
J L F ASSET MGMT	039	SSI	B	2,000	17.58	3-Aug	12-Oct	80.00	4.0
NATIONAL BK OF CAN	031	STT	B	10,000	73.45	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT		SWN+LK	SS	1,000	4.18	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		TGT	B	20,000	57.99	n/a	27-Jul	non-brg	4.0
ADAGE CAPITAL MGMT	030	TJX	B	21,400	27.18	21-Sep	12-Oct	856.00	4.0
BUCK CAPITAL MGMT	001	TJX	B	185,000	27.86	21-Sep	12-Oct	7,400.00	4.0
BUCK CAPITAL MGMT		TJX	B	15,000	27.88	21-Sep	12-Oct	non-brg	2.0
DISCIPLINED GROWTH INV.	030	TJX	B	5,900	27.75	21-Sep	12-Oct	295.00	5.0
WEINTRAUB CAPITAL MGT.	040	TJX	B	50,000	27.73	21-Sep	12-Oct	2,500.00	5.0
BUCK CAPITAL MGMT		TNDM	S	51,000	18.71	n/a	n/a	non-brg	4.0
J L F ASSET MGMT	039	TPX	B	25,400	35.32	n/a	n/a	1,016.00	4.0
BUCK CAPITAL MGMT		TRLG	B	10,000	15.10	n/a	n/a	non-brg	4.0
STRAUSS ASSET MGMT	040	TRMA	B	25,000	35.05	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	TWB	B	28,300	28.41	2-Oct	2-Oct	1,132.00	4.0
BUCK CAPITAL MGMT		TWB	B	51,700	27.63	2-Oct	2-Oct	non-brg	4.0
OGORMAN	046	UBS	S	50	48.78	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		URBN	B	10,000	24.10	23-Oct	23-Oct	non-brg	1.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEHMAN PROPRIETARY TRAD	041	VMC	SS	20,000	81.33	n/a	n/a	800.00	4.0
SONAR CAP MGMT	039	VRTX	SS	20,000	28.81	n/a	n/a	1,000.00	5.0
MENCKE	055	WATG	B	15	9.15	n/a	n/a	0.00	0.0
MERRILL ASSET	032	WBS	S	200	34.39	n/a	n/a	9.00	4.5
BANK OF NEW YORK	040	WB	S	6,020	41.97	n/a	n/a	301.00	5.0
PEAK MACAYA CAP MGMT	044	WIRE	B	4,400	20.02	n/a	n/a	220.00	5.0
SCOPUS FUND	041	WNC	B	10,000	8.05	n/a	n/a	500.00	5.0
STRATTON	N21	WRVAF	B	2	11.30	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		WTSLA	S	724,296	2.41	n/a	n/a	non-brg	2.0
HIGHBRIDGE CAPITAL	038	WY	S	205,000	73.11	1-Nov	1-Nov	10,250.00	5.0
CASTLE ARK	031	XOM	B	25,600	87.12	n/a	n/a	1,536.00	6.0
BUCK CAPITAL MGMT	001	ZQK	S	50,000	12.72	n/a	31-Oct	2,000.00	4.0
B BUCK CAPITAL MGMT		ZUMZ	B	10,000	37.59	n/a	n/a	non-brg	4.0
TOTAL (Trade Date):								260,795.78	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/01	WILLIAMS TRAD/MANHASSET	041	ANF	B	7,500	76.00	2-Oct	25-Oct	262.50 3.5
AO,CRT	11/01	HIGHBRIDGE CAPITAL	038	BBT	B	112,400	35.61	n/a	n/a	5620.00 5.0
AO,CXL	11/01	HIGHBRIDGE CAPITAL	038	BBT	B	112,400	35.61	n/a	n/a	0.00 0.0
AO,	11/01	STEADFAST FIN LLC	041	CNB	B	150,000	18.03	n/a	n/a	7500.00 5.0
AO,CXL	10/31	ROBX	033	DUK	S	250	19.13	n/a	n/a	7.50 3.0
AO,CRT	10/31	ROBX	033	DUK	S	250	19.13	n/a	n/a	7.50 3.0
AO,CRT	11/01	HOLLIS CAPITAL	033	GLBL	B	5,000	25.54	n/a	n/a	250.00 5.0
AO,CXL	11/01	HOLLIS CAPITAL	033	GLBL	B	5,000	25.54	n/a	n/a	200.00 4.0
AO,CXL	11/01	BANK OF NEW YORK	040	GME	B	103,850	58.50	n/a	n/a	5192.50 5.0
AO,CRT	11/01	BANK OF NEW YORK	040	GME	B	103,850	58.50	n/a	n/a	4154.00 4.0
AO,CXL	11/01	VENTANA CAPITAL	060	GSX	B	10,000	2.20	n/a	n/a	400.00 4.0
AO,CRT	11/01	VENTANA CAPITAL	060	GSX	B	10,000	2.20	n/a	n/a	400.00 4.0
AO,CXL	11/01	MATRIX ASSET ADV.	036	MHP	B	6,800	47.85	n/a	n/a	3.82 0.0
AO,CRT	11/01	MATRIX ASSET ADV.	036	MHP	B	6,800	47.85	n/a	n/a	272.00 4.0
AO,CRT	11/01	LATEFF MGMT	040	MSFT	S	3,000	37.24	n/a	3-Apr	480.00 16.0
AO,CXL	11/01	LATEFF MGMT	040	MSFT	S	3,000	37.24	n/a	3-Apr	48000.00 0.0
AO,CRT	11/01	SCOPUS FUND	041	WNC	B	30,000	8.69	n/a	n/a	1500.00 5.0
AO,CXL	11/01	SCOPUS FUND	041	WNC	B	30,000	8.69	n/a	n/a	1500.00 5.0

TOTAL (AO, CXL, CRT) :**-34,857.82**

TOTAL (Trade Date):	260,795.78
TOTAL (AO, CXL, CRT):	-34,857.82

TOTAL (RUN DATE) / NFS:	225,937.96
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MRI Securities with Trade Activity on 2-Nov. KSS
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MRI Securities without Trade Activity on 2-Nov. CL, SHPGY

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 48%
YTD = 18%

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