



# Daily Compliance Activity Report

Trade Date: 11/07/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 1**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>1688HK</b>	<b>S</b>	<b>37,500</b>	<b>4.64</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
<b>BARR</b>	<b>096</b>	<b>AAI</b>	<b>S</b>	<b>1,500</b>	<b>9.21</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LEDDY</b>	<b>035</b>	<b>ABG</b>	<b>B</b>	<b>1,500</b>	<b>16.52</b>	<b>31-Oct</b>	<b>2-Nov</b>	<b>0.00</b>	<b>0.0</b>
NOMURA CAPITAL	045	ABH	SS	10,000	25.71	n/a	21-Sep	500.00	5.0
<b>BUCK</b>	<b>015</b>	<b>AB</b>	<b>S</b>	<b>1,700</b>	<b>76.07</b>	<b>25-Oct</b>	<b>2-Nov</b>	<b>0.00</b>	<b>0.0</b>
CLOVIS CAPITAL	012	ADM	B	550,000	36.66	n/a	6-Nov	27,500.00	5.0
BALYASNY ASSET MGMT	044	AEO	B	30,000	22.13	12-Oct	5-Nov	1,500.00	5.0
LEVIN CAPITAL STRATEGIES	012	AIG	S	207,940	60.67	n/a	n/a	6,238.20	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>AMCN</b>	<b>S</b>	<b>10,500</b>	<b>20.56</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AMG</b>	<b>S</b>	<b>1,000</b>	<b>123.35</b>	<b>25-Jul</b>	<b>2-Nov</b>	<b>40.00</b>	<b>4.0</b>
COUGAR TRADING	044	ANF	B	5,000	73.10	2-Oct	5-Nov	250.00	5.0
COUGAR TRADING	044	ANF	SS	10,000	73.04	2-Oct	5-Nov	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>ANN</b>	<b>C</b>	<b>50,000</b>	<b>30.58</b>	<b>6-Aug</b>	<b>5-Nov</b>	<b>non-brg</b>	<b>4.0</b>
WHITE PINE CAPITAL	030	APA	B	400	105.51	18-Oct	7-Nov	20.00	5.0
<b>SINCLAIR</b>	<b>031</b>	<b>APC</b>	<b>S</b>	<b>300</b>	<b>60.78</b>	<b>22-Jun</b>	<b>7-Nov</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	ARO	B	60,000	22.21	n/a	5-Nov	2,400.00	4.0
COUGAR TRADING	044	ARO	B	10,000	22.44	n/a	5-Nov	500.00	5.0
COUGAR TRADING	044	ARO	S	30,000	22.16	n/a	5-Nov	1,500.00	5.0
PRINCIPLE CAPITAL	040	ARO	B	47,300	22.24	n/a	5-Nov	1,419.00	3.0
KAICHER	064	ARYX	B	2,000	8.30	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	ASD	S	3,000	38.57	31-Oct	31-Oct	120.00	4.0
CAVU CAP ADV	028	AVY	SS	10,000	56.43	13-Aug	23-Oct	500.00	5.0
BASIX	033	AXE	B	15,400	68.21	9-Oct	23-Oct	616.00	4.0
HARRIS ASSOCIATES	031	AXP	B	20,000	57.29	n/a	n/a	600.00	3.0
CHILTON CAPITAL MGMT.	036	BJ	C	122,033	34.60	n/a	27-Jul	4,881.32	4.0
CAVU CAP ADV	028	BMS	SS	15,000	28.44	n/a	n/a	750.00	5.0
ß BUCK CAPITAL MGMT		BONT	B	10,000	15.50	17-Oct	5-Nov	non-brg	4.0
WOOSTER CAPITAL	035	BONT	B	10,000	15.55	17-Oct	5-Nov	500.00	5.0
ß BUCK CAPITAL MGMT		BSC	B	3,900	96.90	4-Sep	22-Oct	non-brg	4.0
BARR	096	BTU	S	200	53.98	n/a	n/a	0.00	0.0
Ö Glenn Redemann		CAT	B	6	0.83	n/a	n/a	0.00	0.0
Ö Glenn Redemann		CAT	B	6	1.01	n/a	n/a	0.00	0.0
Ö Glenn Redemann		CAT	SS	4	1.92	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Glenn Redemann		CAT	SS	4	2.04	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	CBK	B	20,000	14.20	n/a	5-Nov	800.00	4.0
ZOLIDIS	011	CBK	S	700	14.13	n/a	5-Nov	0.00	0.0
HIGHBRIDGE CAPITAL	038	CBS	B	25,000	27.37	n/a	n/a	1,250.00	5.0
TRUSTCO/SUNTRUST	040	CHD	S	19,250	51.07	7-Nov	7-Nov	577.50	3.0
ASCEND PARTNERS	033	CHS	SS	15,000	12.30	12-Oct	5-Nov	750.00	5.0
PATTEN & PATTEN	067	CIU	B	500	100.28	n/a	n/a	25.00	5.0
WHITE PINE CAPITAL	030	CL	B	300	75.71	2-Nov	2-Nov	15.00	5.0
MKT MAKER	099	CMCSK	B	100	20.00	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	CMI	B	10,000	127.83	n/a	n/a	500.00	5.0
FORD FDN.	032	COF	S	47,800	53.00	n/a	n/a	2,390.00	5.0
COUGAR TRADING	044	COH	S	10,000	33.27	24-Oct	24-Oct	500.00	5.0
CAVU CAP ADV	028	CRM	B	10,000	51.21	n/a	n/a	500.00	5.0
AMBER CAPITAL	046	CROX	SS	25,000	41.10	n/a	n/a	1,000.00	4.0
BASIX	033	CTV	B	10,000	45.01	n/a	n/a	400.00	4.0
ROTHSCHILD ASSET	040	CTV	S	21,580	44.33	n/a	n/a	971.10	4.5
PATTEN & PATTEN	067	CVA	B	33,050	27.44	n/a	n/a	1,652.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NORTHPOINT	030	CWT	B	9,000	38.42	n/a	n/a	360.00	4.0
<b>SCHWARZWAL</b>	<b>N18</b>	<b>CXTI</b>	<b>S</b>	<b>2,000</b>	<b>0.16</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>C</b>	<b>B</b>	<b>11,300</b>	<b>34.39</b>	<b>5-Nov</b>	<b>5-Nov</b>	<b>non-brg</b>	<b>4.0</b>
GENERAL ELECTIC CO	033	C	S	136,914	34.72	5-Nov	5-Nov	5,476.56	4.0
PATTEN & PATTEN	067	C	S	8,060	34.47	5-Nov	5-Nov	403.00	5.0
<b>SINCLAIR</b>	<b>031</b>	<b>DAWMY</b>	<b>S</b>	<b>10</b>	<b>3.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DBRN</b>	<b>B</b>	<b>11,700</b>	<b>13.95</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DBRN</b>	<b>B</b>	<b>15,000</b>	<b>14.13</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DBRN</b>	<b>B</b>	<b>3,300</b>	<b>14.05</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>MAGUIRE</b>	<b>090</b>	<b>DB</b>	<b>SS</b>	<b>1,100</b>	<b>121.69</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BARON ASSET MGMT*	012	DKS	B	20,000	29.68	26-Oct	26-Oct	1,000.00	5.0
PRINCIPLE CAPITAL	040	DKS	SS	31,200	29.79	26-Oct	26-Oct	936.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DSW</b>	<b>B</b>	<b>30,000</b>	<b>20.70</b>	<b>26-Oct</b>	<b>5-Nov</b>	<b>1,200.00</b>	<b>4.0</b>
DEEPHAVEN	031	DTV	B	20,000	26.96	21-Sep	7-Nov	1,000.00	5.0
<b>MAGUIRE</b>	<b>039</b>	<b>DUG</b>	<b>B</b>	<b>100</b>	<b>40.34</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CAPITAL GROWTH MGMT.	241	DVN	B	40,000	94.25	22-Oct	7-Nov	2,000.00	5.0
<b>BUCK</b>	<b>015</b>	<b>ELN</b>	<b>S</b>	<b>1,000</b>	<b>23.29</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ESV</b>	<b>S</b>	<b>23,100</b>	<b>55.93</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE CAPITAL	038	ETM	B	33,000	16.86	n/a	n/a	1,650.00	5.0
PATTEN & PATTEN	067	EWZ	S	4,450	82.77	n/a	n/a	222.50	5.0
CHILTON CAPITAL MGMT.	036	FIS	S	2,000	43.23	n/a	n/a	80.00	4.0
<b>BUCK</b>	<b>015</b>	<b>GENZ</b>	<b>B</b>	<b>500</b>	<b>72.08</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
APEX CAPITAL MGMT.	091	GIGM	S	20,000	21.13	n/a	n/a	1,000.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>GIII</b>	<b>B</b>	<b>3,000</b>	<b>13.91</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GIII</b>	<b>B</b>	<b>7,000</b>	<b>13.50</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GIL</b>	<b>S</b>	<b>20,000</b>	<b>42.44</b>	<b>5-Nov</b>	<b>5-Nov</b>	<b>non-brg</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GLW</b>	<b>S</b>	<b>8,000</b>	<b>23.91</b>	<b>n/a</b>	<b>24-Oct</b>	<b>320.00</b>	<b>4.0</b>
LEVIN CAPITAL STRATEGIES	012	GM	SS	10,000	35.28	n/a	6-Nov	400.00	4.0
SLS CAPITAL LLC	224	GM	S	377,100	34.91	n/a	6-Nov	15,084.00	4.0
TRELLUS PARTNERS LP	028	GM	SS	25,000	34.51	n/a	6-Nov	1,250.00	5.0
HARRIS ASSOCIATES	031	GSK	B	10,000	50.87	n/a	n/a	300.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>GYMB</b>	<b>B</b>	<b>10,000</b>	<b>31.01</b>	<b>10-Aug</b>	<b>5-Nov</b>	<b>non-brg</b>	<b>4.0</b>
U.S.TRUST COMPANY	012	HAR	B	18,100	80.94	n/a	26-Oct	814.51	4.5
MATTHES CAPITAL MGMT	033	HBI	SS	20,000	30.18	n/a	n/a	800.00	4.0
<b>Ö Glenn Redemann</b>		<b>HIG</b>	<b>B</b>	<b>6</b>	<b>1.31</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.	
Õ	Glenn Redemann		HIG	B	6	1.54	n/a	n/a	0.00	0.0
Õ	Glenn Redemann		HIG	SS	4	2.43	n/a	n/a	0.00	0.0
Õ	Glenn Redemann		HIG	SS	4	2.52	n/a	n/a	0.00	0.0
	ASCEND PARTNERS	033	HLF	S	2,300	37.19	n/a	n/a	115.00	5.0
	BUCK	015	HOLX	B	400	64.00	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		HSTX	S	10,000	18.70	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		ICXT	B	25,000	16.00	n/a	n/a	non-brg	0.0
ß	BUCK CAPITAL MGMT		ICXT	B	3,000	16.00	n/a	n/a	non-brg	0.0
ß	BUCK CAPITAL MGMT		ICXT	B	500	16.00	n/a	n/a	non-brg	0.0
	CAPITAL GROWTH MGMT.	241	IHP	S	85,000	55.29	n/a	n/a	4,250.00	5.0
	IRONBOUND CAPITAL	012	IP	B	70,000	34.95	n/a	5-Nov	3,500.00	5.0
	PRINCIPLE CAPITAL	040	ITRI	SS	13,600	85.16	n/a	n/a	544.00	4.0
	LEDDY	035	JADE	S	1,500	2.88	n/a	n/a	0.00	0.0
	BUCK CAPITAL MGMT	001	JCG	B	10,100	39.59	24-Oct	24-Oct	404.00	4.0
ß	BUCK CAPITAL MGMT		JCG	B	19,900	39.01	24-Oct	24-Oct	non-brg	4.0
	COUGAR TRADING	044	JCG	S	10,000	39.32	24-Oct	24-Oct	500.00	5.0
	KENNEDY CAPITAL	046	JCP	B	52,410	51.74	12-Oct	5-Nov	2,096.40	4.0
	MATTHES CAPITAL MGMT	033	JCP	SS	20,000	51.12	12-Oct	5-Nov	800.00	4.0
ß	BUCK CAPITAL MGMT		JOSB	B	70,000	27.07	n/a	n/a	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JWN</b>	<b>B</b>	<b>50,000</b>	<b>33.85</b>	<b>12-Oct</b>	<b>5-Nov</b>	<b>2,000.00</b>	<b>4.0</b>
MS PRINCIPAL STRATEGIES	041	KND	S	37,500	23.92	n/a	n/a	1,875.00	5.0
WHITE PINE CAPITAL	030	KO	B	300	60.63	n/a	n/a	15.00	5.0
COUGAR TRADING	044	KSS	B	5,000	51.14	2-Nov	5-Nov	250.00	5.0
COUGAR TRADING	044	KSS	SS	5,000	51.18	2-Nov	5-Nov	250.00	5.0
MORGENS WATERFALL	040	KSS	B	150,000	51.38	2-Nov	5-Nov	4,500.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>LEH</b>	<b>B</b>	<b>6,800</b>	<b>56.15</b>	<b>12-Jun</b>	<b>16-Oct</b>	<b>non-brg</b>	<b>4.0</b>
LEVIN CAPITAL STRATEGIES	012	LEH	S	7,500	57.71	12-Jun	16-Oct	300.00	4.0
<b>SINCLAIR</b>	<b>031</b>	<b>LES DM</b>	<b>B</b>	<b>10</b>	<b>4.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	LIZ	B	10,000	26.68	n/a	31-Oct	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>LM</b>	<b>B</b>	<b>5,200</b>	<b>74.95</b>	<b>12-Oct</b>	<b>6-Nov</b>	<b>non-brg</b>	<b>4.0</b>
AMBER CAPITAL	046	LOW	SS	200,000	24.29	n/a	27-Jul	8,000.00	4.0
XYLEM GLOBAL	091	LPX	SS	25,000	16.13	30-Oct	30-Oct	1,250.00	5.0
<b>KORMAN</b>	<b>003</b>	<b>LVQLH</b>	<b>B</b>	<b>100</b>	<b>5.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MS PRINCIPAL STRATEGIES	041	MAR	B	35,000	37.31	n/a	n/a	1,750.00	5.0
<b>SINCLAIR</b>	<b>031</b>	<b>MERKV</b>	<b>S</b>	<b>100</b>	<b>0.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MER</b>	<b>B</b>	<b>7,200</b>	<b>54.10</b>	<b>25-Oct</b>	<b>30-Oct</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FIRST NY SEC/CHRIS	041	MOT	S	15,000	17.28	n/a	n/a	750.00	5.0
WHITE PINE CAPITAL	030	MO	B	300	72.59	n/a	n/a	15.00	5.0
<b>BUCK</b>	<b>015</b>	<b>MO</b>	<b>B</b>	<b>700</b>	<b>72.17</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NORTHPOINT	030	MPP	S	275	14.06	n/a	n/a	11.00	4.0
EPOCH INV MGMT	030	MSFT	B	99,000	36.01	n/a	3-Apr	3,960.00	4.0
CATAPULT	040	MS	B	5,000	52.28	2-Jul	16-Oct	2.61	0.0
PATTEN & PATTEN	067	MS	S	150	50.58	2-Jul	16-Oct	7.50	5.0
WHITE PINE CAPITAL	030	MTG	B	600	19.89	n/a	n/a	30.00	5.0
CHILTON CAPITAL MGMT.	036	MV	C	42,544	24.00	n/a	n/a	1,701.76	4.0
WHITE PINE CAPITAL	030	MWV	B	500	32.34	31-Jul	26-Oct	25.00	5.0
XYLEM GLOBAL	091	MWV	S	10,000	32.03	31-Jul	26-Oct	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>M</b>	<b>B</b>	<b>20,000</b>	<b>29.99</b>	<b>24-Sep</b>	<b>5-Nov</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>M</b>	<b>B</b>	<b>50,000</b>	<b>30.12</b>	<b>24-Sep</b>	<b>5-Nov</b>	<b>non-brg</b>	<b>4.0</b>
PRINCIPLE CAPITAL	040	M	S	39,600	30.18	24-Sep	5-Nov	1,188.00	3.0
STADIA CAPITAL	035	M	B	22,300	30.34	24-Sep	5-Nov	892.00	4.0
<b>LEDDY</b>	<b>035</b>	<b>NEXC</b>	<b>S</b>	<b>2,300</b>	<b>5.70</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LATEFF MGMT	040	NOK	S	3,000	41.75	n/a	n/a	540.00	18.0
ROTHSCHILD ASSET	040	NOV	B	12,450	76.58	n/a	n/a	560.25	4.5



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CAVU CAP ADV	028	NVDA	B	10,000	36.49	n/a	n/a	500.00	5.0
APEX CAPITAL MGMT.	091	OCR	B	20,000	25.00	n/a	31-Oct	1,000.00	5.0
SYSTEMATIC FINANCIAL MGT	035	OXM	B	30,000	23.16	n/a	n/a	1,125.00	3.8
HIGHBRIDGE CAPITAL	038	PAYX	B	31,000	40.43	n/a	n/a	1,550.00	5.0
TRIVIUM CAP MGMT	251	PAYX	C	100,000	40.15	n/a	n/a	4,000.00	4.0
SYSTEMATIC FINANCIAL MGT	035	PKD	B	125,000	8.87	n/a	n/a	4,687.50	3.8
CSFB GLOBAL PROPRIETARY	035	PKG	B	30,000	30.32	18-Oct	18-Oct	1,500.00	5.0
PILOT ADV	038	PKG	SS	40,000	29.50	18-Oct	18-Oct	1,600.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>PLCE</b>	<b>B</b>	<b>30,000</b>	<b>23.79</b>	<b>26-Sep</b>	<b>5-Nov</b>	<b>non-brg</b>	<b>4.0</b>
<b>OGORMAN</b>	<b>046</b>	<b>PLCE</b>	<b>B</b>	<b>400</b>	<b>23.30</b>	<b>26-Sep</b>	<b>5-Nov</b>	<b>0.00</b>	<b>0.0</b>
WHITE PINE CAPITAL	030	PMI	B	600	11.19	n/a	n/a	30.00	5.0
PROSPECTOR PARTNERS LLC	036	PPS	B	10,000	38.01	n/a	n/a	400.00	4.0
COUGAR TRADING	044	PSUN	B	5,000	16.37	n/a	5-Nov	250.00	5.0
COUGAR TRADING	044	PSUN	S	5,000	16.49	n/a	5-Nov	250.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>PVH</b>	<b>B</b>	<b>500</b>	<b>43.73</b>	<b>13-Aug</b>	<b>29-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>KORMAN</b>	<b>003</b>	<b>QIAKD</b>	<b>B</b>	<b>100</b>	<b>2.70</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>KORMAN</b>	<b>003</b>	<b>QJPLK</b>	<b>B</b>	<b>50</b>	<b>11.10</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.	
KORMAN	003	QJPLL	B	40	8.70	n/a	n/a	0.00	0.0
KORMAN	003	QJPLN	S	90	4.50	n/a	n/a	0.00	0.0
BUCK	015	QQQQ	S	700	54.39	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	Q	B	3,000	6.69	n/a	n/a	150.00	5.0
LISTED ERR	099	Q	B	400	6.66	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	RL	S	20,000	68.10	31-Oct	31-Oct	800.00	4.0
COUGAR TRADING	044	RL	S	15,000	67.17	31-Oct	31-Oct	750.00	5.0
WAGONHOUND	048	RL	B	10,830	66.66	31-Oct	31-Oct	433.20	4.0
SECOND CURVE	031	RNR	S	50,000	56.05	n/a	n/a	2,500.00	5.0
HIGHBRIDGE CAPITAL	038	ROIAK	B	57,000	3.06	n/a	n/a	2,850.00	5.0
BUCK CAPITAL MGMT	001	SKX	S	40,000	22.37	n/a	13-Mar	1,600.00	4.0
GRONET	030	SSI	B	1,000	17.00	3-Aug	5-Nov	0.00	0.0
CHILTON CAPITAL MGMT.	036	SWY	B	5,000	31.94	n/a	n/a	200.00	4.0
NORTHPOINT	030	TRID	S	483,700	6.42	n/a	n/a	14,511.00	3.0
RH CAPITAL ASSOCIATES	060	TRID	B	50,000	6.50	n/a	n/a	1,500.00	3.0
B BUCK CAPITAL MGMT		TRLG	B	20,000	15.83	n/a	n/a	non-brg	4.0
ZOLIDIS	011	TRLG	S	700	15.99	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	TR	B	10,000	23.75	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	TWB	B	20,000	28.66	2-Oct	2-Oct	800.00	4.0
COUGAR TRADING	044	TWB	S	5,000	28.49	2-Oct	2-Oct	250.00	5.0
MATTHES CAPITAL MGMT	033	TWB	SS	21,000	28.65	2-Oct	2-Oct	840.00	4.0
ACT II PARTNERS	067	TWTC	SS	100,000	20.98	n/a	7-Nov	5,000.00	5.0
APEX CAPITAL MGMT.	091	TWTC	S	40,000	21.20	n/a	7-Nov	2,000.00	5.0
DENVER INST. ADV	046	TWTC	B	446,200	21.12	n/a	7-Nov	17,848.00	4.0
LUCHANKSY	036	TYC	S	25	41.01	9-Oct	9-Oct	0.00	0.0
WHITE PINE CAPITAL	030	T	B	1,000	39.54	21-Sep	7-Nov	50.00	5.0
BUCK CAPITAL MGMT		URBN	S	20,000	24.84	23-Oct	6-Nov	non-brg	4.0
BUCK CAPITAL MGMT		URBN	S	30,000	25.30	23-Oct	6-Nov	non-brg	4.0
COUGAR TRADING	044	URBN	B	5,000	25.00	23-Oct	6-Nov	250.00	5.0
COUGAR TRADING	044	VC	S	10,000	5.52	n/a	1-Nov	500.00	5.0
TRELLUS PARTNERS LP	028	VC	B	85,500	5.79	n/a	1-Nov	2,565.00	3.0
BUCK CAPITAL MGMT		VIRL	S	1,400	8.51	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		VIRL	S	43,200	8.59	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		VLCM	B	50,615	26.02	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		VLCM	B	9,385	26.00	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		VLCM	C	15,000	25.87	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		VLCM	C	15,000	25.96	n/a	n/a	non-brg	2.0
MATTHES CAPITAL MGMT	033	VLCM	B	8,100	25.85	n/a	n/a	324.00	4.0
OSS CAPITAL/KEVIN DANN	067	VMED	S	500,000	20.77	n/a	n/a	15,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	WFR	S	33,100	75.25	n/a	n/a	1,324.00	4.0
BUCK	015	WM	C	2,000	22.40	n/a	n/a	0.00	0.0
NORTHPOINT	030	WRLD	B	600	28.91	n/a	n/a	24.00	4.0
ß BUCK CAPITAL MGMT		WRNC	B	30,000	37.41	6-Nov	6-Nov	non-brg	4.0
PROSPECTOR PARTNERS LLC	036	XEC	B	10,000	41.12	n/a	n/a	400.00	4.0
AMBER CAPITAL	046	XRT	SS	150,000	35.87	n/a	n/a	6,000.00	4.0
BUCK	015	ZMH	S	1,100	66.33	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		ZUMZ	B	10,000	27.00	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		ZUMZ	B	70,000	38.87	n/a	n/a	non-brg	4.0
TOTAL (Trade Date):								234,806.41	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/06	SOROS	036	BWLD	B	171,000	30.72	n/a	n/a	8550.00 5.0
AO,CRT	11/06	SOROS	036	BWLD	B	171,000	30.72	n/a	n/a	6840.00 4.0
AO,CRT	11/05	LISTED ERR	099	CSCO	B	1	33.12	n/a	22-Mar	0.00 0.0
AO,CXL	11/05	WYCKOFF	013	CSCO	B	1	33.12	n/a	22-Mar	0.00 0.0
AO,CRT	11/06	COVEY CAPITAL	045	DLLR	B	5,500	31.65	n/a	n/a	220.00 4.0
AO,CXL	11/06	WILLIAMS/COVEY CAP	045	DLLR	B	5,500	31.65	n/a	n/a	220.00 4.0
AO,CRT	11/06	SOROS	036	JWN	SS	90,500	33.09	12-Oct	5-Nov	3620.00 4.0
AO,CXL	11/06	SOROS	036	JWN	SS	90,500	33.09	12-Oct	5-Nov	4525.00 5.0
AO,CRT	11/06	TRELLUS PARTNERS LP	028	PLCE	B	25,000	24.28	26-Sep	5-Nov	1250.00 5.0
AO,CRT	11/06	LISTED ERR	097	Q	B	200	7.12	n/a	n/a	0.00 0.0
AO,CRT	11/06	LISTED ERR	099	Q	S	600	6.84	n/a	n/a	0.00 0.0
AO,CXL	11/06	LISTED ERR	099	Q	S	200	6.74	n/a	n/a	0.00 0.0
AO,CRT	11/06	COVEY CAPITAL	045	QMAR	B	1,900	25.91	n/a	n/a	76.00 4.0
AO,CXL	11/06	WILLIAMS/COVEY CAP	045	QMAR	B	1,900	25.91	n/a	n/a	76.00 4.0
AO,	11/06	TRELLUS PARTNERS LP	028	VC	B	14,500	5.80	n/a	1-Nov	725.00 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-640.00</b>

TOTAL (Trade Date):	234,806.41
TOTAL (AO, CXL, CRT):	-640.00

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TOTAL (RUN DATE) / NFS:	234,166.41
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MRI Securities with Trade Activity on 7-Nov.

CHD

MRI Securities without Trade Activity on 7-Nov.

MCCC

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

T-Date = 27%

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**