



## Daily Compliance Activity Report

Trade Date: 10/03/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EGS ASSOCIATES LP	091	ABG	B	6,000	20.34	18-Jun	3-Oct	360.00	6.0
WOOSTER CAPITAL	035	ABG	B	25,000	20.54	18-Jun	3-Oct	1,250.00	5.0
<b>KORMAN</b>	<b>003</b>	<b>ABG</b>	<b>B</b>	<b>3,000</b>	<b>20.60</b>	<b>18-Jun</b>	<b>3-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>EMP ERROR</b>	<b>099</b>	<b>ABG</b>	<b>B</b>	<b>800</b>	<b>20.55</b>	<b>18-Jun</b>	<b>3-Oct</b>	<b>0.00</b>	<b>0.0</b>
DSG CAPITAL	225	ADM	B	30,000	32.82	n/a	1-Oct	1,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AEO</b>	<b>B</b>	<b>50,000</b>	<b>24.99</b>	<b>10-Jul</b>	<b>7-Sep</b>	<b>2,000.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>		<b>AEO</b>	<b>B</b>	<b>100,000</b>	<b>25.21</b>	<b>10-Jul</b>	<b>7-Sep</b>	<b>non-brg</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>		<b>AEO</b>	<b>B</b>	<b>228,200</b>	<b>25.06</b>	<b>10-Jul</b>	<b>7-Sep</b>	<b>non-brg</b>	<b>2.0</b>
<b>BUCK CAPITAL MGMT</b>		<b>AEO</b>	<b>B</b>	<b>50,000</b>	<b>24.98</b>	<b>10-Jul</b>	<b>7-Sep</b>	<b>non-brg</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>		<b>AEO</b>	<b>B</b>	<b>51,800</b>	<b>25.02</b>	<b>10-Jul</b>	<b>7-Sep</b>	<b>non-brg</b>	<b>4.0</b>
FRIESS MGMT	042	AEO	S	484,200	25.12	10-Jul	7-Sep	21,789.00	4.5
J L F ASSET MGMT	039	AEO	SS	146,400	24.94	10-Jul	7-Sep	5,856.00	4.0
MORGAN LEWIS/MLH	046	AMR	B	10,000	24.91	n/a	n/a	500.00	5.0
AVESTA CAP	229	ANN	B	25,000	34.39	6-Aug	7-Sep	1,250.00	5.0
CRAMER ROSENTHAL/SCOTT	012	ARO	S	2,500	20.62	n/a	7-Sep	100.00	4.0
THE JAY GOLDMAN	034	ARO	SS	25,000	20.54	n/a	7-Sep	1,000.00	4.0
SAXON WOODS ADVISORS	038	AVD	S	10,000	19.04	n/a	n/a	500.00	5.0
ROTHSCHILD ASSET	040	AXS	B	27,120	39.09	n/a	n/a	1,220.40	4.5
NEW JERSEY DIV OF INV.	220	A	S	200,000	36.91	n/a	n/a	8,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RHO CAPITAL MGMT	041	BBW	B	1,000	19.62	11-Sep	13-Sep	50.00	5.0
SCOPUS FUND	041	BBW	B	25,000	19.68	11-Sep	13-Sep	1,250.00	5.0
HIGHBRIDGE/MS OLDS	041	BDK	SS	5,800	84.00	n/a	n/a	232.00	4.0
PRINCIPLE CAPITAL	040	BGP	B	196,400	14.90	n/a	n/a	5,892.00	3.0
BRIGHTPOINT CAP	067	BIG	SS	20,000	30.14	n/a	7-Sep	800.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BIG</b>	<b>B</b>	<b>20,000</b>	<b>30.39</b>	<b>n/a</b>	<b>7-Sep</b>	<b>800.00</b>	<b>4.0</b>
<b>SUTERA</b>	<b>160</b>	<b>BQI</b>	<b>B</b>	<b>5,000</b>	<b>4.18</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>KERN</b>	<b>050</b>	<b>BSCJF</b>	<b>B</b>	<b>10</b>	<b>3.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BWS</b>	<b>B</b>	<b>10,000</b>	<b>20.44</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
METROPOLITAN CAPITAL	044	BWS	B	23,000	20.61	n/a	n/a	935.00	4.5
STERLING JOHNSTON	035	BWS	B	100,000	20.70	n/a	n/a	5,000.00	5.0
MORGAN LEWIS/MLH	046	CAL	B	5,000	35.70	n/a	n/a	250.00	5.0
HEALY CIRCLE	044	CAT	SS	15,000	79.11	n/a	n/a	750.00	5.0
<b>WHEELER</b>	<b>008</b>	<b>CCCJU</b>	<b>B</b>	<b>100</b>	<b>7.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>WHEELER</b>	<b>008</b>	<b>CCC</b>	<b>S</b>	<b>3,000</b>	<b>14.47</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CEC</b>	<b>B</b>	<b>20,000</b>	<b>28.63</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
GRANAHAN INV	039	CENT	S	45,300	9.15	n/a	18-Sep	1,359.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DIAMONDBACK CAP MGMT	232	CE	B	25,000	39.43	n/a	n/a	1,250.00	5.0
<b>WHEELER</b>	<b>008</b>	<b>CFCPRA</b>	<b>S</b>	<b>4,100</b>	<b>19.71</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CHS</b>	<b>B</b>	<b>40,000</b>	<b>15.41</b>	<b>30-Aug</b>	<b>7-Sep</b>	<b>1,600.00</b>	<b>4.0</b>
<b>MKT MAKER</b>	<b>099</b>	<b>CHTP</b>	<b>S</b>	<b>100</b>	<b>6.72</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROXBURY CAPITAL MGMT	035	CLB	S	23,600	126.06	15-Aug	3-Oct	944.00	4.0
CAPITAL GROWTH MGMT.	241	CMI	B	10,000	132.45	n/a	n/a	500.00	5.0
CATAPULT	040	CMO	S	15,000	10.79	n/a	n/a	750.00	5.0
PZENA INV ADV	044	CNO	B	68,900	16.04	n/a	n/a	2,756.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>B</b>	<b>10,000</b>	<b>46.98</b>	<b>n/a</b>	<b>10-Sep</b>	<b>400.00</b>	<b>4.0</b>
PILOT ADV	038	COST	B	20,000	62.55	n/a	27-Jul	800.00	4.0
GEORGE WEISS	034	COWN	B	10,000	14.23	n/a	n/a	300.00	3.0
<b>LED DY</b>	<b>035</b>	<b>CPHI</b>	<b>B</b>	<b>3,300</b>	<b>1.96</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
STRAUSS ASSET MGMT	040	CSUN	B	20,000	12.69	n/a	n/a	1,000.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>CTCT</b>	<b>B</b>	<b>1,000</b>	<b>16.00</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CTCT</b>	<b>B</b>	<b>10,000</b>	<b>16.00</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CTCT</b>	<b>S</b>	<b>11,000</b>	<b>28.37</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.	
BUCK CAPITAL MGMT		CTRN	B	70,000	20.74	n/a	n/a	non-brg	4.0
DIAMONDBACK CAP MGMT	232	C	B	50,000	48.15	n/a	1-Oct	2,500.00	5.0
ROCKEFELLER & CO.	045	C	S	129,645	47.99	n/a	1-Oct	6,422.70	4.7
BUCK CAPITAL MGMT		DBRN	B	20,000	17.08	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		DIA	SS	165,000	139.67	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		DIA	SS	55,000	139.48	n/a	n/a	non-brg	1.0
STADIA CAPITAL	035	DKS	B	5,000	68.47	n/a	n/a	200.00	4.0
BUCK CAPITAL MGMT	001	DSW	B	10,000	26.15	5-Sep	2-Oct	400.00	4.0
BUCK CAPITAL MGMT		DSW	B	10,000	26.23	5-Sep	2-Oct	non-brg	2.0
ENTRUST CAPITAL	040	DSW	B	7,400	25.80	5-Sep	2-Oct	370.00	5.0
WEINTRAUB CAPITAL MGT.	040	DSW	B	25,000	26.07	5-Sep	2-Oct	1,250.00	5.0
BUCK CAPITAL MGMT	001	EAT	B	20,000	27.77	n/a	24-Apr	800.00	4.0
MTB INV ADV	034	EV	B	50,305	41.49	23-May	28-Sep	2,515.25	5.0
HIGHBRIDGE/MS OLDS	041	EXPD	B	8,300	48.20	n/a	n/a	332.00	4.0
BUCK CAPITAL MGMT		FBN	C	10,000	14.09	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		FDO	C	20,000	26.90	9-Aug	2-Oct	non-brg	4.0
CAPITAL GROWTH MGMT.	241	FNM	B	220,000	66.02	n/a	n/a	11,000.00	5.0
FNXC	041	FRX	B	10,000	37.96	30-Jul	3-Oct	600.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LOOMIS SALES/BOSTON	036	GES	S	135,000	50.84	n/a	n/a	5,400.00	4.0
<b>LEDDY</b>	<b>035</b>	<b>GM</b>	<b>SS</b>	<b>1,000</b>	<b>37.84</b>	<b>n/a</b>	<b>3-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GPS</b>	<b>B</b>	<b>120,000</b>	<b>18.78</b>	<b>n/a</b>	<b>7-Sep</b>	<b>4,800.00</b>	<b>4.0</b>
<b>LEDDY</b>	<b>035</b>	<b>GSI</b>	<b>B</b>	<b>1,000</b>	<b>9.42</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
HIGHBRIDGE/MS OLDS	041	HSC	B	7,500	59.06	26-Jul	26-Sep	300.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>IKAN</b>	<b>S</b>	<b>25,000</b>	<b>5.58</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>CROWLEY</b>	<b>061</b>	<b>ISLN</b>	<b>B</b>	<b>1,000</b>	<b>7.06</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TYEE/TYGH	035	IVZ	B	114,619	28.08	8-Aug	3-Oct	4,584.76	4.0
SENECA CAPITAL LP NY	028	IWM	B	42,000	82.53	n/a	n/a	2,100.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCG</b>	<b>B</b>	<b>5,000</b>	<b>45.97</b>	<b>22-Jun</b>	<b>6-Sep</b>	<b>200.00</b>	<b>4.0</b>
BALYASNY ASSET MGMT	044	JCP	S	2,000	65.38	21-Jun	7-Sep	100.00	5.0
TRIVIUM CAP MGMT	251	JCP	S	20,000	67.72	21-Jun	7-Sep	800.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>JOSB</b>	<b>S</b>	<b>40,000</b>	<b>35.87</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
COUGAR TRADING	044	JWN	B	5,000	48.65	12-Jul	7-Sep	250.00	5.0
J L F ASSET MGMT	039	JWN	SS	42,600	49.44	12-Jul	7-Sep	1,704.00	4.0
BARON ASSET MGMT*	012	KMX	B	125,000	21.78	n/a	10-Jan	6,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BEAR STEARNS ASSET MGMT.	033	KSS	S	28,300	60.34	27-Sep	3-Oct	1,132.00	4.0
KACELA CAPITAL	034	KSS	B	15,000	59.86	27-Sep	3-Oct	600.00	4.0
<b>OGORMAN</b>	<b>146</b>	<b>LEH</b>	<b>B</b>	<b>900</b>	<b>64.93</b>	<b>12-Jun</b>	<b>20-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LTD</b>	<b>SS</b>	<b>40,000</b>	<b>22.57</b>	<b>16-May</b>	<b>7-Sep</b>	<b>1,600.00</b>	<b>4.0</b>
ROSEDALE CAPITAL	046	LTD	B	10,000	22.00	16-May	7-Sep	500.00	5.0
MS PRINCIPAL STRATEGIES	041	MAR	B	30,000	44.18	n/a	n/a	1,500.00	5.0
<b>BARR</b>	<b>096</b>	<b>MENT</b>	<b>S</b>	<b>1,000</b>	<b>15.90</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
HIGHBRIDGE/MS OLDS	041	MGA	B	24,161	95.87	n/a	n/a	966.44	4.0
ALLEN & CO	032	MHP	B	90,000	53.66	n/a	n/a	3,600.00	4.0
FIRST NEW YORK/BILLY	063	MSO	B	5,100	13.00	n/a	n/a	255.00	5.0
J L F ASSET MGMT	039	MSO	B	206,200	13.35	n/a	n/a	8,248.00	4.0
SCOPUS FUND	041	MSO	S	17,500	12.87	n/a	n/a	875.00	5.0
THE JAY GOLDMAN	034	MSO	S	20,000	13.26	n/a	n/a	800.00	4.0
ROBX	302	MSO	S	13,500	12.83	n/a	n/a	0.00	0.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MW</b>	<b>SS</b>	<b>10,000</b>	<b>51.35</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
CR INTRINIC INVESTMENT	044	MYL	B	100,000	16.89	n/a	2-Oct	5,000.00	5.0
SSI INVESTORS	048	MYL	B	78,500	16.89	n/a	2-Oct	3,140.00	4.0
BALYASNY ASSET MGMT	044	M	B	10,000	34.56	24-Sep	24-Sep	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>M</b>	<b>B</b>	<b>320,000</b>	<b>34.87</b>	<b>24-Sep</b>	<b>24-Sep</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PRINCIPLE CAPITAL	040	M	B	43,500	34.78	24-Sep	24-Sep	1,305.00	3.0
MAZAMA CAPITAL MGMT.	035	NGS	S	1,400	18.32	n/a	n/a	56.00	4.0
BELMONT GLOBAL ADV	248	NOA	B	20,000	18.03	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	NWY	B	61,900	6.72	25-May	24-Aug	2,476.00	4.0
⌘ BUCK CAPITAL MGMT		NWY	B	18,100	6.79	25-May	24-Aug	non-brg	1.0
⌘ BUCK CAPITAL MGMT		NWY	B	70,000	6.79	25-May	24-Aug	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PAG	B	12,900	20.64	n/a	1-Aug	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PAG	B	83,246	20.74	n/a	1-Aug	non-brg	4.0
CSFB GLOBAL PROPRIETARY	035	PCH	B	21,000	44.84	21-Sep	21-Sep	1,050.00	5.0
HIGHBRIDGE/MS OLDS	041	PCP	B	2,161	144.99	n/a	n/a	86.44	4.0
⌘ BUCK CAPITAL MGMT		PERY	S	5,000	27.02	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PSS	B	20,000	23.12	n/a	n/a	non-brg	4.0
METROPOLITAN CAPITAL	044	PSS	S	23,000	24.05	n/a	n/a	1,150.00	5.0
BUCK CAPITAL MGMT	001	PVH	B	15,000	52.74	13-Aug	29-Aug	600.00	4.0
⌘ BUCK CAPITAL MGMT		PZZA	C	20,000	26.59	n/a	24-Apr	non-brg	4.0
PAW PARTNERS	041	QCOM	S	7,700	42.07	n/a	n/a	385.00	5.0
⌘ BUCK CAPITAL MGMT		RICK	S	10,000	11.07	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT	001	RL	SS	20,000	76.18	9-Aug	29-Aug	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	RL	S	5,000	76.04	9-Aug	29-Aug	250.00	5.0
BUCK CAPITAL MGMT	001	RSH	SS	40,000	22.67	n/a	n/a	1,600.00	4.0
⌘ BUCK CAPITAL MGMT		RTH	C	225,000	100.95	n/a	n/a	non-brg	1.0
PIVOT CAP	034	RTH	B	5,000	101.11	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	RT	B	20,000	19.33	n/a	n/a	800.00	4.0
SUTERA	160	SCRX	S	1,000	27.03	27-Apr	2-Oct	0.00	0.0
RIVER RUN MGMT	031	SHLD	SS	50,000	138.04	n/a	n/a	2,500.00	5.0
OGORMAN	146	SKF	S	800	73.64	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKX	B	10,000	23.81	n/a	13-Mar	400.00	4.0
BELMONT GLOBAL ADV	248	SMBL	B	20,000	12.67	n/a	n/a	0.00	0.0
LEDDY	035	SMBL	S	1,000	12.19	n/a	n/a	0.00	0.0
BRIGHTPOINT CAP	067	SMG	SS	15,000	42.68	9-Jul	18-Sep	600.00	4.0
LUCHANSKY1	036	SNVNF	B	1,000	7.15	n/a	n/a	0.00	0.0
LUCHANSKY	036	SNVNF	B	250	7.15	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		SPY	SS	75,000	153.68	n/a	n/a	non-brg	1.0
STADIA CAPITAL	035	SVU	B	24,000	36.13	n/a	n/a	960.00	4.0
NORTHPOINT	030	TAXI	S	13,324	10.98	n/a	n/a	532.96	4.0



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MEISENBACH CAP MGMT	041	TGT	SS	10,000	64.92	n/a	27-Jul	300.00	3.0
S.A.C. CAPITAL MGMT.	044	TIN	S	41,300	56.00	21-Sep	21-Sep	2,065.00	5.0
SSI INVESTORS	048	TIN	B	21,500	56.07	21-Sep	21-Sep	860.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TLB</b>	<b>B</b>	<b>50,000</b>	<b>18.78</b>	<b>n/a</b>	<b>23-Aug</b>	<b>2,000.00</b>	<b>4.0</b>
BALYASNY ASSET MGMT	044	TM	B	5,000	115.66	n/a	n/a	250.00	5.0
<b>SINCLAIR</b>	<b>031</b>	<b>TPXMF</b>	<b>B</b>	<b>5</b>	<b>1.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PRINCIPLE CAPITAL	040	TPX	S	26,700	36.62	n/a	n/a	801.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>TRLG</b>	<b>B</b>	<b>10,000</b>	<b>16.99</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>TWB</b>	<b>S</b>	<b>10,000</b>	<b>34.88</b>	<b>2-Oct</b>	<b>2-Oct</b>	<b>400.00</b>	<b>4.0</b>
PAW PARTNERS	041	UA	S	16,600	59.44	n/a	n/a	830.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>VIRL</b>	<b>B</b>	<b>5,000</b>	<b>8.06</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
FIRST INV MGMT CORP	036	WAG	B	49,700	39.40	n/a	n/a	2,485.00	5.0
STERLING JOHNSTON	035	WCRX	B	15,700	18.23	n/a	2-Oct	785.00	5.0
SANDLER O'NEILL ASSET	031	WDR	S	28,200	27.25	13-Jul	25-Sep	1,410.00	5.0
SUNOVA CAPITAL	031	WDR	SS	50,000	27.22	13-Jul	25-Sep	2,500.00	5.0
ROCKEFELLER & CO.	045	WFT	S	10,000	67.07	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PLATTE RIVER CAPITAL	240	WMT	S	44,200	45.35	4-Jun	27-Jul	1,768.00	4.0
PIVOT CAP	034	XRT	B	10,000	40.51	n/a	n/a	500.00	5.0
LUCHANSKY	036	YTEC	B	500	12.20	n/a	n/a	0.00	0.0
<b>TOTAL (Trade Date):</b>							<b>190,393.95</b>		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/02	GENERAL ELECTIC CO	033	ATVI	S	73,937	22.35	n/a	n/a	2957.48 4.0
AO,CXL	10/01	WHITTIER CAP	048	DGIT	S	8,140	24.67	n/a	n/a	407.00 5.0
AO,CRT	10/01	WHITTIER CAP	048	DGIT	S	8,140	24.67	n/a	n/a	407.00 5.0
AO,	10/02	THIRD POINT MGMT	044	DLTR	SS	250,000	41.58	10-Aug	21-Sep	10000.00 4.0
AO,	10/02	GENERAL ELECTIC CO	033	GCA	S	60,000	10.99	n/a	n/a	1200.00 2.0
AO,CRT	10/02	SSI INVESTORS	048	MER	B	20,395	75.62	18-Jul	20-Sep	815.80 4.0
AO,CXL	10/02	SSI INVESTORS	048	MER	B	20,395	75.62	18-Jul	20-Sep	815.80 4.0
AO,CRT	10/02	SOROS	036	ODP	B	44,900	21.61	n/a	27-Jul	1796.00 4.0
AO,CXL	10/02	SOROS	036	ODP	B	44,900	21.61	n/a	27-Jul	2245.00 5.0
AO,CXL	10/02	ROCKEFELLER & CO.	045	SRCL	B	1,440	57.54	n/a	n/a	72.00 5.0
AO,CRT	10/02	ROCKEFELLER & CO.	045	SRCL	B	1,440	57.54	n/a	n/a	57.60 4.0
AO,CXL	09/27	PILOT ADV	038	TOL	S	4,500	19.83	n/a	n/a	180.00 4.0
AO,CRT	09/27	PILOT ADV	038	TOL	S	4,500	19.83	n/a	n/a	180.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>13,694.08</b>

TOTAL (Trade Date):	190,393.95
TOTAL (AO, CXL, CRT):	13,694.08

---

TOTAL (RUN DATE) / NFS:

204,088.03

---

MRI Securities with Trade Activity on 3-Oct.  
NONE

MRI Securities without Trade Activity on 3-Oct.  
NONE

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 31%  
YTD = 16%

Legend:

Õ: Employee Trades in Outside Accounts

ß: Non-BRG BCM Trades

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