



# Daily Compliance Activity Report

Trade Date: 10/27/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

| Account                       | RR#        | Symbol     | B/S      | Shares         | Price        | MRI        | Research      | Comm. ¢/Shr.   |            |
|-------------------------------|------------|------------|----------|----------------|--------------|------------|---------------|----------------|------------|
| BUCK CAPITAL MGMT             | 001        | AEO        | B        | 60,000         | 16.57        | n/a        | 11-Oct        | 2,400.00       | 4.0        |
| PATTEN & PATTEN               | 067        | AGG        | S        | 250            | 108.05       | n/a        | n/a           | 12.50          | 5.0        |
| MILLENNIUM PARTNERS ICSUS     | 041        | AKS        | B        | 25,000         | 12.40        | n/a        | n/a           | 1,250.00       | 5.0        |
| ENTRUST CAPITAL               | 040        | ALGT       | B        | 10,000         | 42.91        | n/a        | n/a           | 500.00         | 5.0        |
| <b>B</b> BUCK CAPITAL MGMT    |            | <b>AMR</b> | <b>S</b> | <b>50,000</b>  | <b>7.85</b>  | <b>n/a</b> | <b>n/a</b>    | <b>non-brg</b> | <b>3.0</b> |
| BUCK CAPITAL MGMT             | 001        | ANN        | B        | 20,000         | 21.55        | n/a        | n/a           | 800.00         | 4.0        |
| M&I FUNDS                     | 047        | ANN        | B        | 6,450          | 21.43        | n/a        | n/a           | 258.00         | 4.0        |
| <b>f</b> JONATHAN RICHARD HAR | <b>FID</b> | <b>APC</b> | <b>S</b> | <b>225</b>     | <b>61.85</b> | <b>n/a</b> | <b>22-Oct</b> | <b>0.00</b>    | <b>0.0</b> |
| <b>f</b> EDWARD W WHEELER     | <b>FID</b> | <b>ARM</b> | <b>S</b> | <b>150</b>     | <b>2.00</b>  | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>    | <b>0.0</b> |
| BUCK CAPITAL MGMT             | 001        | ARO        | B        | 40,000         | 25.34        | n/a        | 11-Oct        | 1,600.00       | 4.0        |
| <b>B</b> BUCK CAPITAL MGMT    |            | <b>ARO</b> | <b>B</b> | <b>150,000</b> | <b>25.46</b> | <b>n/a</b> | <b>11-Oct</b> | <b>non-brg</b> | <b>4.0</b> |
| OSS CAPITAL                   | 067        | AUXL       | B        | 50,000         | 25.37        | n/a        | n/a           | 1,500.00       | 3.0        |
| <b>f</b> FRANCIS MICHAEL MCCA | <b>FID</b> | <b>AXL</b> | <b>B</b> | <b>700</b>     | <b>9.52</b>  | <b>n/a</b> | <b>19-Oct</b> | <b>0.00</b>    | <b>0.0</b> |
| <b>f</b> CHRISTOPHER ROBERT C | <b>FID</b> | <b>AXP</b> | <b>S</b> | <b>100</b>     | <b>40.58</b> | <b>n/a</b> | <b>27-Oct</b> | <b>0.00</b>    | <b>0.0</b> |
| PATTEN & PATTEN               | 067        | BAB        | S        | 1,000          | 26.01        | n/a        | n/a           | 50.00          | 5.0        |

| Account                       | RR# | Symbol | B/S | Shares  | Price  | MRI | Research | Comm.¢/Shr. |     |
|-------------------------------|-----|--------|-----|---------|--------|-----|----------|-------------|-----|
| <b>B</b> BUCK CAPITAL MGMT    |     | BAC    | S   | 227,400 | 11.60  | n/a | 20-Oct   | non-brg     | 4.0 |
| MERRILL ASSET/BLACKROCK       | 266 | BAC    | B   | 282,800 | 11.54  | n/a | 20-Oct   | 11,312.00   | 4.0 |
| <b>f</b> JOSEPH CIRO AMATURO  | FID | BALT   | S   | 1308    | 11.40  | n/a | n/a      | 0.00        | 0.0 |
| <b>B</b> BUCK CAPITAL MGMT    |     | BEAV   | C   | 32,500  | 36.30  | n/a | 27-Oct   | non-brg     | 4.0 |
| <b>B</b> BUCK CAPITAL MGMT    |     | BID    | B   | 20,000  | 42.25  | n/a | n/a      | non-brg     | 4.0 |
| <b>B</b> BUCK CAPITAL MGMT    |     | BIG    | SS  | 50,000  | 32.85  | n/a | 24-Aug   | non-brg     | 4.0 |
| FOVEA CAPITAL MGMT            | 040 | BKE    | S   | 28,700  | 28.75  | n/a | n/a      | 1,435.00    | 5.0 |
| <b>f</b> MARK ANTHONY GRONET  | FID | BLUD   | B   | 1000    | 17.55  | n/a | n/a      | 0.00        | 0.0 |
| <b>f</b> KAREN F LEDDY        | FID | BP     | B   | 700     | 39.90  | n/a | n/a      | 0.00        | 0.0 |
| <b>f</b> SEAN F LEDDY         | FID | BP     | B   | 33      | 39.94  | n/a | n/a      | 0.00        | 0.0 |
| KADE CAPITAL LLC              | 028 | BWA    | S   | 7,500   | 54.89  | n/a | 27-Oct   | 375.00      | 5.0 |
| COOPER CREEK PART             | 028 | BZ     | B   | 20,000  | 7.15   | n/a | n/a      | 600.00      | 3.0 |
| REINHART & MAHONEY            | 047 | CAVM   | B   | 22,240  | 30.39  | n/a | n/a      | 1,112.00    | 5.0 |
| ASCEND PARTNERS               | 033 | CCE    | S   | 72,898  | 23.54  | n/a | n/a      | 3,644.90    | 5.0 |
| <b>f</b> ALEXANDRA ELISE ZOLI | FID | CMG    | S   | 100     | 210.77 | n/a | 22-Oct   | 0.00        | 0.0 |
| TOCQUEVILLE                   | 067 | CRDN   | S   | 11,500  | 23.57  | n/a | n/a      | 575.00      | 5.0 |

| Account                       | RR#        | Symbol      | B/S      | Shares        | Price        | MRI        | Research      | Comm. ¢/Shr.   |            |
|-------------------------------|------------|-------------|----------|---------------|--------------|------------|---------------|----------------|------------|
| GRUSS CAPITAL                 | 025        | CRESY       | B        | 5,000         | 19.67        | n/a        | n/a           | 150.00         | 3.0        |
| MERRILL ASSET/BLACKROCK       | 266        | CRR         | S        | 6,500         | 85.84        | n/a        | 22-Oct        | 260.00         | 4.0        |
| <b>f JOSEPH CIRO AMATURO</b>  | <b>FID</b> | <b>CVGI</b> | <b>S</b> | <b>3500</b>   | <b>12.91</b> | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>    | <b>0.0</b> |
| <b>f JOHN MICHAEL ZOLIDIS</b> | <b>FID</b> | <b>CVS</b>  | <b>B</b> | <b>300</b>    | <b>30.55</b> | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>    | <b>0.0</b> |
| <b>f CHRISTINE MARIE NORM</b> | <b>FID</b> | <b>C</b>    | <b>B</b> | <b>50</b>     | <b>4.16</b>  | <b>n/a</b> | <b>19-Oct</b> | <b>0.00</b>    | <b>0.0</b> |
| <b>f JOSEPH CIRO AMATURO</b>  | <b>FID</b> | <b>C</b>    | <b>S</b> | <b>20000</b>  | <b>4.17</b>  | <b>n/a</b> | <b>19-Oct</b> | <b>0.00</b>    | <b>0.0</b> |
| <b>f MARC PAUL LUCHANSKY</b>  | <b>FID</b> | <b>C</b>    | <b>B</b> | <b>1000</b>   | <b>4.18</b>  | <b>n/a</b> | <b>19-Oct</b> | <b>0.00</b>    | <b>0.0</b> |
| <b>Õ Nilsa Vazquez</b>        |            | <b>C</b>    | <b>B</b> | <b>1000</b>   | <b>4.19</b>  | <b>n/a</b> | <b>19-Oct</b> | <b>0.00</b>    | <b>0.0</b> |
| <b>ß BUCK CAPITAL MGMT</b>    |            | <b>DBRN</b> | <b>B</b> | <b>21,000</b> | <b>22.94</b> | <b>n/a</b> | <b>n/a</b>    | <b>non-brg</b> | <b>0.8</b> |
| <b>ß BUCK CAPITAL MGMT</b>    |            | <b>DBRN</b> | <b>B</b> | <b>40,000</b> | <b>22.91</b> | <b>n/a</b> | <b>n/a</b>    | <b>non-brg</b> | <b>4.0</b> |
| WHALE ROCK CAP                | 030        | DDS         | S        | 39,339        | 26.34        | n/a        | n/a           | 1,573.56       | 4.0        |
| GRUSS CAPITAL                 | 025        | DEI         | S        | 10,000        | 17.93        | n/a        | n/a           | 300.00         | 3.0        |
| REINHART & MAHONEY            | 047        | EAT         | S        | 74,140        | 19.21        | n/a        | n/a           | 3,707.00       | 5.0        |
| FOVEA CAPITAL MGMT            | 040        | EL          | SS       | 20,000        | 64.74        | n/a        | 26-Oct        | 800.00         | 4.0        |
| BROADARCH CAP/OLD NEWC        | 070        | EMC         | B        | 4,400         | 21.10        | n/a        | n/a           | 176.00         | 4.0        |
| <b>ß BUCK CAPITAL MGMT</b>    |            | <b>FINL</b> | <b>B</b> | <b>20,000</b> | <b>15.68</b> | <b>n/a</b> | <b>n/a</b>    | <b>non-brg</b> | <b>4.0</b> |
| WHALE ROCK CAP                | 030        | FINL        | S        | 66,019        | 15.70        | n/a        | n/a           | 2,640.76       | 4.0        |
| OZ MGMT                       | 040        | F           | SS       | 150,000       | 14.17        | n/a        | 27-Oct        | 4,500.00       | 3.0        |

| Account                       | RR#        | Symbol      | B/S      | Shares        | Price        | MRI        | Research      | Comm.¢/Shr.    |            |
|-------------------------------|------------|-------------|----------|---------------|--------------|------------|---------------|----------------|------------|
| MILLENIUM PARTNERS            | 028        | GE          | B        | 70,000        | 16.02        | n/a        | n/a           | 2,800.00       | 4.0        |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>GIII</b> | <b>S</b> | <b>24,891</b> | <b>27.84</b> | <b>n/a</b> | <b>n/a</b>    | <b>non-brg</b> | <b>0.7</b> |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>GIL</b>  | <b>S</b> | <b>35,400</b> | <b>28.38</b> | <b>n/a</b> | <b>18-Oct</b> | <b>non-brg</b> | <b>4.0</b> |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>GMCR</b> | <b>B</b> | <b>30,000</b> | <b>33.25</b> | <b>n/a</b> | <b>n/a</b>    | <b>non-brg</b> | <b>4.0</b> |
| SCOPUS FUND                   | 041        | GNTX        | SS       | 100,000       | 19.75        | n/a        | 25-Oct        | 5,000.00       | 5.0        |
| DIAMONDBACK CAP MGMT          | 232        | GPS         | B        | 20,000        | 19.20        | n/a        | n/a           | 1,000.00       | 5.0        |
| PATTEN & PATTEN               | 067        | GVI         | S        | 400           | 110.19       | n/a        | n/a           | 20.00          | 5.0        |
| ROTHSCHILD ASSET              | 040        | HAL         | S        | 6,070         | 34.08        | n/a        | n/a           | 242.80         | 4.0        |
| REINHART & MAHONEY            | 047        | HMSY        | S        | 13,040        | 59.47        | n/a        | n/a           | 652.00         | 5.0        |
| <b>f FRANCIS MICHAEL MCCA</b> | <b>FID</b> | <b>HUN</b>  | <b>B</b> | <b>500</b>    | <b>13.65</b> | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>    | <b>0.0</b> |
| <b>f EDWARD W WHEELER</b>     | <b>FID</b> | <b>HWCC</b> | <b>B</b> | <b>4200</b>   | <b>11.38</b> | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>    | <b>0.0</b> |
| PATTEN & PATTEN               | 067        | HYG         | B        | 150           | 90.71        | n/a        | n/a           | 7.50           | 5.0        |
| PATTEN & PATTEN               | 067        | IEF         | S        | 3,668         | 97.79        | n/a        | n/a           | 183.40         | 5.0        |
| ARMATURE CAPITAL              | 041        | IP          | B        | 50,000        | 24.80        | n/a        | 27-Oct        | 2,000.00       | 4.0        |
| BMO NESBITT BURNS             | 041        | IP          | B        | 25,000        | 24.85        | n/a        | 27-Oct        | 1,250.00       | 5.0        |
| CSFB GLOBAL PROPRIETARY       | 041        | IP          | B        | 65,750        | 24.86        | n/a        | 27-Oct        | 3,287.50       | 5.0        |

| Account                       | RR#        | Symbol       | B/S       | Shares         | Price        | MRI        | Research      | Comm.¢/Shr.     |            |
|-------------------------------|------------|--------------|-----------|----------------|--------------|------------|---------------|-----------------|------------|
| GRUSS CAPITAL                 | 025        | IYR          | SS        | 5,000          | 55.25        | n/a        | n/a           | 150.00          | 3.0        |
| SAC CRIB                      | 044        | JBHT         | B         | 25,000         | 36.10        | n/a        | n/a           | 875.00          | 3.5        |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>JCG</b>   | <b>SS</b> | <b>250,000</b> | <b>31.64</b> | <b>n/a</b> | <b>n/a</b>    | <b>non-brg</b>  | <b>4.0</b> |
| <b>f JOHN MICHAEL ZOLIDIS</b> | <b>FID</b> | <b>JCP</b>   | <b>S</b>  | <b>300</b>     | <b>31.77</b> | <b>n/a</b> | <b>11-Oct</b> | <b>0.00</b>     | <b>0.0</b> |
| PATTEN & PATTEN               | 067        | JNK          | B         | 50             | 40.75        | n/a        | n/a           | 2.50            | 5.0        |
| <b>BUCK CAPITAL MGMT</b>      | <b>001</b> | <b>JNY</b>   | <b>B</b>  | <b>33,200</b>  | <b>15.09</b> | <b>n/a</b> | <b>18-Oct</b> | <b>1,328.00</b> | <b>4.0</b> |
| DALTON GREINER                | 012        | JNY          | S         | 65,050         | 15.26        | n/a        | 18-Oct        | 3,252.50        | 5.0        |
| PZENA INV ADV                 | 044        | JNY          | B         | 7,425          | 15.12        | n/a        | 18-Oct        | 259.88          | 3.5        |
| NEUBERGER BERMAN              | 036        | KO           | B         | 46,600         | 60.44        | n/a        | 26-Oct        | 1,864.00        | 4.0        |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>KR</b>    | <b>SS</b> | <b>50,000</b>  | <b>21.86</b> | <b>n/a</b> | <b>n/a</b>    | <b>non-brg</b>  | <b>4.0</b> |
| FOVEA CAPITAL MGMT            | 040        | KR           | B         | 10,000         | 22.04        | n/a        | n/a           | 500.00          | 5.0        |
| <b>BUCK CAPITAL MGMT</b>      | <b>001</b> | <b>KSS</b>   | <b>S</b>  | <b>50,000</b>  | <b>51.33</b> | <b>n/a</b> | <b>11-Oct</b> | <b>2,000.00</b> | <b>4.0</b> |
| <b>f EDWARD W WHEELER</b>     | <b>FID</b> | <b>LEACW</b> | <b>S</b>  | <b>391</b>     | <b>84.13</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>LIZ</b>   | <b>B</b>  | <b>50,000</b>  | <b>6.38</b>  | <b>n/a</b> | <b>7-Oct</b>  | <b>1,500.00</b> | <b>3.0</b> |
| BMO NESBITT BURNS             | 041        | LPX          | SS        | 5,000          | 7.88         | n/a        | 18-Oct        | 350.00          | 7.0        |
| PATTEN & PATTEN               | 067        | LQD          | S         | 150            | 111.76       | n/a        | n/a           | 7.50            | 5.0        |
| COLONIAL FUND LLC             | 036        | MON          | S         | 10,000         | 59.98        | n/a        | 25-Oct        | 500.00          | 5.0        |

|   | Account                    | RR# | Symbol | B/S | Shares  | Price | MRI | Research | Comm.¢/Shr. |     |
|---|----------------------------|-----|--------|-----|---------|-------|-----|----------|-------------|-----|
| f | KAREN F LEDDY              | FID | MON    | S   | 150     | 59.78 | n/a | 25-Oct   | 0.00        | 0.0 |
|   | PARAMETER CAPITAL MGMT LLC | 044 | NDAQ   | B   | 20,000  | 20.89 | n/a | n/a      | 800.00      | 4.0 |
|   | MILLENNIUM PARTNERS ICSUS  | 041 | NXY    | B   | 35,000  | 20.93 | n/a | n/a      | 1,750.00    | 5.0 |
|   | ST OF MICHIAN              | 047 | ORCL   | B   | 140,000 | 28.66 | n/a | n/a      | 4,200.00    | 3.0 |
|   | SAC TRADING TOM LEDDY      | 035 | ORLY   | B   | 20,000  | 54.24 | n/a | n/a      | 700.00      | 3.5 |
|   | OSS CAPITAL                | 067 | OTEX   | SS  | 50,000  | 45.60 | n/a | n/a      | 1,500.00    | 3.0 |
| B | BUCK CAPITAL MGMT          |     | PACB   | S   | 5,000   | 16.64 | n/a | n/a      | non-brg     | 2.5 |
| B | BUCK CAPITAL MGMT          |     | PFCB   | C   | 20,000  | 45.60 | n/a | 27-Oct   | non-brg     | 4.0 |
| B | BUCK CAPITAL MGMT          |     | PFCB   | C   | 50,000  | 45.99 | n/a | 27-Oct   | non-brg     | 2.0 |
|   | CATAPULT                   | 040 | PFCB   | B   | 35,000  | 45.89 | n/a | 27-Oct   | 1,400.00    | 4.0 |
|   | ROTHSCHILD ASSET           | 040 | PG     | B   | 45,717  | 63.02 | n/a | 27-Oct   | 1,828.68    | 4.0 |
|   | BMO NESBITT BURNS          | 041 | PKG    | B   | 5,000   | 24.23 | n/a | 19-Oct   | 350.00      | 7.0 |
|   | TRELLUS PARTNERS LP        | 028 | PKG    | S   | 15,000  | 24.32 | n/a | 19-Oct   | 750.00      | 5.0 |
|   | COOPER CREEK PART          | 028 | PNRA   | B   | 6,000   | 90.87 | n/a | 27-Oct   | 180.00      | 3.0 |
| B | BUCK CAPITAL MGMT          |     | PVH    | B   | 10,000  | 61.61 | n/a | 18-Oct   | non-brg     | 4.0 |
|   | FIRST NEW YORK NICK        | 029 | Q      | S   | 10,000  | 6.54  | n/a | n/a      | 500.00      | 5.0 |
|   | BUCK CAPITAL MGMT          | 001 | RL     | B   | 20,000  | 94.31 | n/a | 18-Oct   | 800.00      | 4.0 |

| Account                  | RR# | Symbol | B/S | Shares  | Price  | MRI | Research | Comm. ¢/Shr. |     |
|--------------------------|-----|--------|-----|---------|--------|-----|----------|--------------|-----|
| Õ Ravi Sadarangani       |     | SDS    | B   | 1000    | 27.86  | n/a | n/a      | 0.00         | 0.0 |
| BUCK CAPITAL MGMT        | 001 | SKX    | S   | 50,000  | 23.45  | n/a | n/a      | 2,000.00     | 4.0 |
| f EDWARD W WHEELER       | FID | SPNC   | S   | 20273   | 4.62   | n/a | n/a      | 0.00         | 0.0 |
| f ANDREW SINCLAIR        | FID | SPY    | B   | 250     | 0.67   | n/a | n/a      | 0.00         | 0.0 |
| f ANDREW SINCLAIR        | FID | SPY    | S   | 320     | 1.04   | n/a | n/a      | 0.00         | 0.0 |
| f KEVIN MICHAEL O'GORM   | FID | TEX    | B   | 1000    | 22.04  | n/a | 22-Oct   | 0.00         | 0.0 |
| SENATOR INVESTMENT GROUP | 036 | TIN    | B   | 30,000  | 20.50  | n/a | 20-Oct   | 900.00       | 3.0 |
| PATTEN & PATTEN          | 067 | TIP    | S   | 300     | 110.82 | n/a | n/a      | 15.00        | 5.0 |
| ß BUCK CAPITAL MGMT      |     | TRLG   | B   | 10,000  | 20.91  | n/a | n/a      | non-brg      | 2.5 |
| f EDWARD W WHEELER       | FID | TWI    | S   | 200     | 1.60   | n/a | n/a      | 0.00         | 0.0 |
| TRUST CO/COWEN/CALF.     | 040 | TXT    | B   | 150,455 | 20.69  | n/a | n/a      | 6,018.20     | 4.0 |
| ß BUCK CAPITAL MGMT      |     | UAL    | SS  | 41,400  | 29.44  | n/a | n/a      | non-brg      | 4.0 |
| ß BUCK CAPITAL MGMT      |     | UAL    | S   | 8,600   | 29.44  | n/a | n/a      | non-brg      | 4.0 |
| ß BUCK CAPITAL MGMT      |     | URBN   | SS  | 11,800  | 31.08  | n/a | n/a      | non-brg      | 2.0 |
| ß BUCK CAPITAL MGMT      |     | URBN   | SS  | 288,200 | 31.00  | n/a | n/a      | non-brg      | 4.0 |
| CATAPULT                 | 040 | USG    | B   | 10,000  | 12.71  | n/a | 22-Oct   | 400.00       | 4.0 |
| BALYASNY ASSET MGMT      | 044 | VXX    | S   | 50,000  | 13.60  | n/a | n/a      | 2,500.00     | 5.0 |

| Account                       | RR#        | Symbol     | B/S      | Shares        | Price        | MRI        | Research         | Comm. ¢/Shr.   |            |
|-------------------------------|------------|------------|----------|---------------|--------------|------------|------------------|----------------|------------|
| <b>f MARK DEVEREAUX KAICH</b> | <b>FID</b> | <b>WNC</b> | <b>S</b> | <b>900</b>    | <b>7.88</b>  | <b>n/a</b> | <b>n/a</b>       | <b>0.00</b>    | <b>0.0</b> |
| NWQ INVESTMENT MGMT CO        | 084        | WPP        | S        | 12,900        | 8.45         | n/a        | n/a              | 387.00         | 3.0        |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>WRC</b> | <b>B</b> | <b>10,000</b> | <b>54.28</b> | <b>n/a</b> | <b>18-Oct</b>    | <b>non-brg</b> | <b>4.0</b> |
| MILLENIUM PARTNERS            | 028        | WY         | SS       | 20,000        | 15.75        | n/a        | 18-Oct           | 800.00         | 4.0        |
| <b>TOTAL (Trade Date):</b>    |            |            |          |               |              |            | <b>98,343.18</b> |                |            |



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

| Type                          | Date  | Account         | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr.  |
|-------------------------------|-------|-----------------|------|--------|-----|--------|-------|-----|----------|--------------|
| AO,                           | 10/26 | NOMURA CAPITAL  | 029  | AWI    | S   | 1,267  | 42.45 | n/a | n/a      | 25.34 2.0    |
| AO,CXL                        | 10/26 | CARLSON CAPITAL | 290  | WFC    | B   | 75,000 | 25.55 | n/a | 21-Oct   | 3000.00 4.0  |
| AO,CRT                        | 10/26 | CARLSON CAPITAL | 290  | WFC    | B   | 75,000 | 25.55 | n/a | 21-Oct   | 3000.00 4.0  |
| <b>TOTAL (AO, CXL, CRT) :</b> |       |                 |      |        |     |        |       |     |          | <b>25.34</b> |

|                        |           |
|------------------------|-----------|
| TOTAL (Trade Date) :   | 98,343.18 |
| TOTAL (AO, CXL, CRT) : | 25.34     |

|                                |                  |
|--------------------------------|------------------|
| <b>TOTAL (RUN DATE) / NFS:</b> | <b>98,368.52</b> |
|--------------------------------|------------------|

MRI Securities with Trade Activity on 27-Oct.  
NONE

MRI Securities without Trade Activity on 27-Oct.  
**JCI, AXE, HSP**

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 18%  
YTD = 11%

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

Watch List Trades

f: Employee Trades (Fidelity)