



Daily Compliance Activity Report

Trade Date: 10/14/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Õ Alice Longley		AAPL	B	100	116.38	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		AAPL	S	5,000	105.18	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		AAWW	C	23,700	29.31	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		AEO+KV	SS	5,000	0.36	n/a	n/a	non-brg	100.0
ADAGE CAPITAL MGMT	030	AEO	B	35,000	10.94	n/a	10-Oct	1,400.00	4.0
BUCK CAPITAL MGMT	001	AEO	S	200,000	10.61	n/a	10-Oct	8,000.00	4.0
ß BUCK CAPITAL MGMT		AEO	S	115,690	10.62	n/a	10-Oct	non-brg	1.0
COUGAR TRADING	044	AEO	B	10,000	11.50	n/a	10-Oct	500.00	5.0
COUGAR TRADING	044	AEO	S	30,000	10.67	n/a	10-Oct	1,500.00	5.0
JMP ASSET MGMT	210	AEO	B	1,000	10.87	n/a	10-Oct	50.00	5.0
LISTED ERR	099	AG	B	4,000	35.30	n/a	30-Jul	0.00	0.0
LISTED ERR	099	AG	S	4,000	35.30	n/a	30-Jul	0.00	0.0
NEW JERSEY DIV OF INV.	220	AHT	S	112,000	2.31	n/a	n/a	4,480.00	4.0
ß BUCK CAPITAL MGMT		ALV	B	155,000	25.10	23-Jul	30-Jul	non-brg	4.0
Õ Joel Tiss		AMGN	S	4000	50.00	n/a	26-Jan	0.00	0.0
ß BUCK CAPITAL MGMT		AMG	B	16,300	64.18	6-Oct	14-Oct	non-brg	4.0
BUCK CAPITAL MGMT	001	ANF	S	20,000	28.44	7-Aug	10-Oct	800.00	4.0
CATAPULT	040	ARG	S	4,000	40.98	13-Oct	13-Oct	200.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		ARO+KF	SS	1,000	1.05	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	ARO	S	20,000	25.67	n/a	10-Oct	800.00	4.0
COUGAR TRADING	044	ARO	S	5,000	25.85	n/a	10-Oct	250.00	5.0
⌘ BUCK CAPITAL MGMT		AVB	C	6,000	82.61	n/a	n/a	non-brg	4.0
NATIONAL BK OF CAN	031	BAC	S	30,000	25.75	n/a	9-Oct	1,200.00	4.0
LISTED ERR	099	BAC	B	10,000	25.60	n/a	9-Oct	0.00	0.0
LISTED ERR	099	BAC	S	10,000	25.75	n/a	9-Oct	0.00	0.0
BEAR STEARNS ASSET MGMT.	033	BBBY	C	43,100	27.46	n/a	n/a	1,724.00	4.0
⌘ BUCK CAPITAL MGMT		BBBY	C	27,000	26.94	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		BBBY	C	50,000	28.29	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		BBBY	SS	100,000	26.49	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	BBY	SS	20,000	26.82	n/a	27-Jul	800.00	4.0
⌘ BUCK CAPITAL MGMT		BIG	SS	30,000	23.02	29-May	9-Oct	non-brg	4.0
SANDLER O'NEILL ASSET	031	BK	S	40,000	34.91	9-Oct	9-Oct	2,000.00	5.0
⌘ BUCK CAPITAL MGMT		BOBE	SS	40,000	24.12	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		BRE	C	12,800	38.44	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		BXP	C	6,080	78.79	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		CASY	SS	40,000	26.78	n/a	n/a	non-brg	2.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		CCI	B	130,000	22.61	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		CHUX	C	800	5.98	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		CIT	B	250,000	5.49	n/a	14-Oct	non-brg	3.0
ß BUCK CAPITAL MGMT		CIT	B	500,000	5.52	n/a	14-Oct	non-brg	3.0
HART	056	CJR	B	1	1.80	n/a	n/a	0.00	0.0
HART	056	CJR	S	1	1.26	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CJY+WI	SS	1,000	3.74	n/a	n/a	non-brg	300.0
CATTANI	041	CLDN	S	200	9.62	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CLX	SS	100,000	57.24	15-Oct	4-Aug	non-brg	4.0
ß BUCK CAPITAL MGMT		CMG	SS	700	49.33	13-Oct	13-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		CMG	SS	99,300	49.06	13-Oct	13-Oct	non-brg	2.0
CASTLE ARK	031	CMG	SS	980	50.10	13-Oct	13-Oct	58.80	6.0
ß BUCK CAPITAL MGMT		COH+WA	SS	1,000	1.40	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		COH+WD	SS	500	1.95	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	COH	SS	1,000	21.16	8-Oct	8-Oct	40.00	4.0
ß BUCK CAPITAL MGMT		COH	SS	100,000	19.47	8-Oct	8-Oct	non-brg	2.0
PRINCIPLE CAPITAL	040	COH	SS	54,200	19.89	8-Oct	8-Oct	1,626.00	3.0
BEAR STEARNS ASSET MGMT.	033	COST	SS	74,000	59.52	n/a	27-Jul	2,960.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KNOTT PARTNERS	044	COST	B	20,000	60.73	n/a	27-Jul	800.00	4.0
J ROSE LTD	034	COV	S	25	48.75	n/a	n/a	0.00	0.0
Ⓑ BUCK CAPITAL MGMT		CPN	B	25,000	11.04	n/a	n/a	non-brg	4.0
Õ Doug Rogers		CPN	S	10136	9.60	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	CRI	S	60,000	16.25	n/a	n/a	2,400.00	4.0
PRINCIPLE CAPITAL	040	CRM	SS	37,900	36.61	n/a	n/a	1,137.00	3.0
HUNTER GLOBAL INVESTOR	067	CSCO	S	100,000	19.29	n/a	22-Mar	4,000.00	4.0
PRINCIPLE CAPITAL	040	CVS	B	36,200	30.58	n/a	n/a	1,086.00	3.0
KORMAN	003	C	SS	3,000	18.31	15-Sep	9-Oct	0.00	0.0
ROTHSCHILD ASSET	040	DD	S	18,640	37.23	n/a	30-Sep	838.80	4.5
Õ Alice Longley		DEO	B	100	63.80	n/a	n/a	0.00	0.0
Ⓑ BUCK CAPITAL MGMT		DIA	C	10,200	97.83	n/a	n/a	non-brg	1.0
Ⓑ BUCK CAPITAL MGMT		DIA	C	42,900	95.45	n/a	n/a	non-brg	2.0
Ⓑ BUCK CAPITAL MGMT		DIN	SS	50,000	10.40	n/a	n/a	non-brg	2.5
Ⓑ BUCK CAPITAL MGMT		DIS	SS	40,000	25.23	n/a	n/a	non-brg	4.0
CHIARMONTE	N10	DIS	B	12	27.59	n/a	n/a	0.00	0.0
ROLON	N11	DIS	B	5	27.59	n/a	n/a	0.00	0.0
FRONTPOINT/COPIA-ANDREW	031	DOW	B	168,000	25.85	n/a	25-Sep	5,880.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		DPZ	C	50,000	7.21	n/a	24-Apr	non-brg	4.0
ß BUCK CAPITAL MGMT		DRE	C	23,600	16.26	n/a	n/a	non-brg	4.0
BULL PATH CAPITAL	044	DRI	S	59,500	22.54	13-Oct	13-Oct	2,975.00	5.0
THE BOSTON COMPANY	401	DSW	S	22,800	11.89	7-Oct	7-Oct	912.00	4.0
ß BUCK CAPITAL MGMT		DV	SS	20,000	44.45	n/a	n/a	non-brg	4.0
OGORMAN	046	DXD	B	200	78.58	n/a	n/a	0.00	0.0
BECK MACK & OLIVER LLC	045	ECA	B	5,000	49.00	n/a	n/a	250.00	5.0
ß BUCK CAPITAL MGMT		EDU	SS	30,000	59.20	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		EL+WG	SS	1,000	1.15	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	EL	SS	50,000	40.11	15-Aug	4-Sep	2,000.00	4.0
FRONTPOINT/COPIA-ANDREW	031	EOG	S	200,000	70.38	n/a	n/a	7,000.00	3.5
S CAST	016	EPG	B	200	1.34	n/a	n/a	0.00	0.0
WILLOW CREEK	033	ERTS	SS	2,500	31.33	n/a	n/a	100.00	4.0
NEW JERSEY DIV OF INV.	220	ESS	B	9,500	102.71	n/a	n/a	380.00	4.0
BRUNNER	012	ETN	S	400	51.03	3-Oct	3-Oct	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NOLAN	067	FCX	S	60	43.60	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	FDO	B	70,000	25.84	23-Jul	9-Oct	2,800.00	4.0
GRISANTTI BROWN & PARTNER	048	FDX	B	82,160	73.25	n/a	n/a	4,108.00	5.0
Õ James Mitchell		FITB	S	100	13.11	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	FL	S	66,600	14.36	7-Oct	7-Oct	2,664.00	4.0
ß BUCK CAPITAL MGMT		FL	B	66,600	15.10	7-Oct	7-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		FOSL	B	20,000	18.90	13-Oct	13-Oct	non-brg	4.0
JMP ASSET MGMT	210	FOSL	S	5,000	19.54	13-Oct	13-Oct	250.00	5.0
Õ Joel Tiss		FRP	S	80	5.91	n/a	n/a	0.00	0.0
GAULT	063	FXP	S	1,000	91.80	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GCO	B	40,000	27.82	n/a	10-Jan	1,600.00	4.0
BEAR STEARNS ASSET MGMT.	033	GD	S	20,000	61.94	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	GES	B	10,000	26.99	n/a	n/a	400.00	4.0
JMP ASSET MGMT	210	GES	B	300	28.03	n/a	n/a	15.00	5.0
TANG	058	GE	B	200	20.83	n/a	n/a	0.00	0.0
JP MORGAN VENTURES	046	GIL	S	15,000	20.45	8-Sep	8-Oct	750.00	5.0
HART	056	GMWJ	B	30	1.94	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		GM	SS	100,000	7.75	10-Oct	14-Oct	non-brg	1.0
⌘ BUCK CAPITAL MGMT		GM	SS	200,000	6.70	10-Oct	14-Oct	non-brg	4.0
AELTUS/ING INVESTMENT MGT	044	GPS	B	160,590	14.76	n/a	13-Oct	5,620.65	3.5
COUGAR TRADING	044	GPS	B	10,000	15.49	n/a	13-Oct	500.00	5.0
Õ Alice Longley		GS	B	100	127.98	15-Sep	24-Sep	0.00	0.0
UBS OCONNOR	031	GS	SS	25,000	122.80	15-Sep	24-Sep	750.00	3.0
BUCK	015	GS	B	1,000	120.28	15-Sep	24-Sep	0.00	0.0
WILLOW CREEK	033	GVA	SS	4,000	28.99	n/a	n/a	160.00	4.0
⌘ BUCK CAPITAL MGMT		GWV	SS	30,000	84.28	3-Oct	3-Oct	non-brg	4.0
COUGAR TRADING	044	GYMB	B	5,000	30.46	11-Jul	10-Oct	250.00	5.0
⌘ BUCK CAPITAL MGMT		HIBB	SS	50,000	17.40	n/a	n/a	non-brg	4.0
NEW JERSEY DIV OF INV.	220	HME	B	22,500	45.54	n/a	n/a	900.00	4.0
WILLOW CREEK	033	HOG	SS	2,000	30.59	n/a	n/a	80.00	4.0
⌘ BUCK CAPITAL MGMT		HOT	SS	40,000	23.15	n/a	n/a	non-brg	4.0
WILLOW CREEK	033	HOT	SS	4,000	24.90	n/a	n/a	160.00	4.0
WILLOW CREEK	033	HPQ	SS	2,000	41.67	n/a	n/a	80.00	4.0
BRUNNER	012	HRS	S	500	38.91	3-Oct	3-Oct	0.00	0.0
WILLOW CREEK	033	IT	SS	2,000	20.07	n/a	n/a	80.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
⌘ BUCK CAPITAL MGMT		IWM	C	360,768	56.96	n/a	n/a	non-brg 2.0
⌘ BUCK CAPITAL MGMT		IWM	C	41,832	58.03	n/a	n/a	non-brg 1.0
Õ Alice Longley		JNJ	B	400	67.35	n/a	22-Apr	0.00 0.0
BUCK CAPITAL MGMT	001	JNY	B	30,000	14.24	n/a	8-Oct	1,200.00 4.0
⌘ BUCK CAPITAL MGMT		JOSB	S	52,774	27.51	n/a	n/a	non-brg 4.0
⌘ BUCK CAPITAL MGMT		JWN	SS	50,000	18.19	8-Oct	10-Oct	non-brg 4.0
Õ James Mitchell		KEY	S	100	11.86	n/a	n/a	0.00 0.0
⌘ BUCK CAPITAL MGMT		KIM	C	14,500	28.33	n/a	n/a	non-brg 4.0
WILLOW CREEK	033	KIM	S	4,000	27.75	n/a	n/a	160.00 4.0
MS PRINCIPAL STRATEGIES	041	KOG	S	54,600	0.86	n/a	n/a	1,092.00 2.0
⌘ BUCK CAPITAL MGMT		KSS	B	30,000	34.97	n/a	10-Oct	non-brg 4.0
CASTLEROCK	040	KSS	B	81,433	32.81	n/a	10-Oct	3,257.32 4.0
Õ Joel Tiss		LEHMQ	S	3561	0.11	n/a	n/a	0.00 0.0
FORD FDN.	032	LLY	B	30,000	35.50	n/a	n/a	1,500.00 5.0
⌘ BUCK CAPITAL MGMT		LM	B	142,500	24.97	1-Jul	14-Oct	non-brg 4.0
⌘ BUCK CAPITAL MGMT		LM	B	25,000	25.22	1-Jul	14-Oct	non-brg 1.0
⌘ BUCK CAPITAL MGMT		LOW	C	40,000	20.12	n/a	27-Jul	non-brg 4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		LPX	B	300,000	4.91	n/a	11-Sep	non-brg	3.0
COUGAR TRADING	044	LTD	SS	10,000	12.99	9-Oct	10-Oct	500.00	5.0
JMP ASSET MGMT	210	LULU	S	7,600	16.28	n/a	n/a	304.00	4.0
NEW JERSEY DIV OF INV.	220	MAA	B	5,200	44.05	n/a	n/a	208.00	4.0
AELTUS/ING INVESTMENT MGT	044	MCD	S	223,800	56.50	13-Oct	13-Oct	7,833.00	3.5
PRINCIPLE CAPITAL	040	MCD	SS	39,300	56.27	13-Oct	13-Oct	1,572.00	4.0
BUCK	015	MCD	S	500	57.28	13-Oct	13-Oct	0.00	0.0
CATAPULT	040	MDR	B	3,900	21.93	n/a	n/a	195.00	5.0
B BUCK CAPITAL MGMT		MER	B	100,000	21.06	24-Jun	10-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		MIR	B	25,000	17.45	n/a	n/a	non-brg	4.0
BECK MACK & OLIVER LLC	045	MRK	B	7,000	31.00	n/a	n/a	350.00	5.0
B BUCK CAPITAL MGMT		MS	B	100,000	22.08	15-Sep	13-Oct	non-brg	4.0
UBS OCONNOR	031	MS	B	50,000	20.83	15-Sep	13-Oct	1,500.00	3.0
OGORMAN	046	MS	C	300	21.78	15-Sep	13-Oct	0.00	0.0
BRUNNER	012	MTRX	S	2,000	10.75	n/a	n/a	0.00	0.0
KORMAN	003	MWO	B	2,902	12.00	n/a	n/a	0.00	0.0
GRONET	030	MWO	B	1,000	11.63	n/a	n/a	0.00	0.0
OGORMAN	046	MWO	B	500	11.50	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ADAGE CAPITAL MGMT	030	M	B	150,000	10.54	12-Aug	10-Oct	6,000.00	4.0
FRONTPOINT/COPIA-ANDREW	031	NBR	S	160,000	16.76	n/a	n/a	5,600.00	3.5
Ø James Mitchell		NCC	S	250	3.26	n/a	n/a	0.00	0.0
KAICHER	064	NCC	S	2,500	3.42	n/a	n/a	0.00	0.0
WILLOW CREEK	033	NZ	SS	6,000	9.75	n/a	n/a	240.00	4.0
WILLOW CREEK	033	OC	SS	3,000	19.73	n/a	n/a	120.00	4.0
ß BUCK CAPITAL MGMT		OIH	SS	20,000	107.83	n/a	n/a	non-brg	1.0
VALHALLA CAPITAL LP	041	ORCL	B	10,000	19.38	n/a	n/a	300.00	3.0
ß BUCK CAPITAL MGMT		OSTK	SS	20,000	15.41	n/a	n/a	non-brg	2.5
Ø Alice Longley		PEP	B	300	55.00	n/a	n/a	0.00	0.0
FORD FDN.	032	PFE	S	46,000	17.07	n/a	31-Mar	2,300.00	5.0
PZENA INV ADV	044	PFE	S	50,000	17.15	n/a	31-Mar	1,750.15	3.5
SUN AMERICA ASSET MGMT	030	PFE	S	20,000	17.00	n/a	31-Mar	800.00	4.0
ß BUCK CAPITAL MGMT		PLCE	B	10,000	32.05	21-Aug	10-Oct	non-brg	4.0
N STRATTON	014	PNWIF	B	500	1.70	n/a	n/a	0.00	0.0
MS PRINCIPAL STRATEGIES	041	PTNR	B	30,800	19.67	n/a	n/a	1,540.00	5.0
ß BUCK CAPITAL MGMT		RIG	S	4,000	85.90	n/a	n/a	non-brg	1.0

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MILLER	025	RIMM	S	10	65.31	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		RL+WI	SS	2,500	1.74	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	RL	SS	30,000	50.96	n/a	8-Oct	1,200.00	4.0
CATTANI	041	RL	B	300	55.55	n/a	8-Oct	0.00	0.0
ß BUCK CAPITAL MGMT		ROST	SS	20,000	29.19	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	RSH	B	7,700	15.17	n/a	n/a	308.00	4.0
ß BUCK CAPITAL MGMT		RTH	C	16,700	78.37	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		RTH	C	5,000	77.77	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		RTH	SS	70,000	73.25	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		RTH	SS	72,600	73.48	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		SBAC	B	200,000	18.85	n/a	n/a	non-brg	4.0
PHILADELPHIA FINANCIAL	033	SCHW	B	89,147	22.57	n/a	n/a	3,565.88	4.0
AMATURO	018	SDS	B	300	87.03	n/a	n/a	0.00	0.0
MCCARTAN	028	SDS	B	100	79.80	n/a	n/a	0.00	0.0
OGORMAN	046	SDS	B	200	88.73	n/a	n/a	0.00	0.0
WILLOW CREEK	033	SHW	SS	2,000	53.64	n/a	14-Oct	80.00	4.0
Õ Joel Tiss		SKM	S	2000	18.30	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKS	B	13,700	6.53	n/a	n/a	548.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
THE BOSTON COMPANY	401	SKX	B	50,170	13.33	n/a	13-Mar	2,006.80	4.0
⌘ BUCK CAPITAL MGMT		SLM	B	400,000	10.04	n/a	14-Oct	non-brg	4.0
COUGAR TRADING	044	SLM	B	25,000	10.39	n/a	14-Oct	1,250.00	5.0
STRONG/WELL HOWARD	038	SNV	B	325,000	9.83	n/a	n/a	13,000.00	4.0
⌘ BUCK CAPITAL MGMT		SPTN	SS	14,712	25.69	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		SPTN	SS	21,600	25.51	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SPY	C	186,900	101.70	n/a	n/a	non-brg	2.0
MAGNETAR FINANCIAL	031	SPY	S	215,000	103.58	n/a	n/a	6,450.00	3.0
KNOTT PARTNERS	044	SSI	B	30,000	9.07	n/a	10-Oct	900.00	3.0
HUNTER GLOBAL INVESTOR	067	SVU	SS	41,875	20.03	n/a	n/a	2,093.75	5.0
KERN	050	SWNVF	B	20	1.35	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		SWN	S	3,000	29.36	n/a	14-Oct	non-brg	1.0
⌘ BUCK CAPITAL MGMT		TCO	C	11,800	38.22	n/a	n/a	non-brg	4.0
WILLOW CREEK	033	TGT	SS	4,000	40.60	n/a	9-Oct	160.00	4.0
COUGAR TRADING	044	TIF	B	5,000	29.12	n/a	10-Oct	250.00	5.0
COUGAR TRADING	044	TIF	SS	15,000	32.50	n/a	10-Oct	750.00	5.0
PRINCIPLE CAPITAL	040	TIF	SS	58,500	30.05	n/a	10-Oct	1,755.00	3.0
JMP ASSET MGMT	210	TITN	B	500	15.25	n/a	n/a	20.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		TPX	SS	48,000	8.17	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		TRLG	B	10,000	19.76	n/a	n/a	non-brg	4.0
LAGRANGE CAP ADV	048	TSCM	S	8,703	4.00	n/a	n/a	435.15	5.0
BUCK CAPITAL MGMT		TSCO	SS	30,000	37.67	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		TWB	B	40,000	8.91	n/a	1-Oct	non-brg	3.0
BUCK CAPITAL MGMT		TWTC	B	265,000	7.38	n/a	4-Jan	non-brg	3.0
BUCK CAPITAL MGMT		URBN	S	40,000	24.48	14-Aug	1-Oct	non-brg	4.0
COUGAR TRADING	044	URBN	SS	5,000	25.64	14-Aug	1-Oct	250.00	5.0
BRUNNER	012	URE	B	1,000	14.02	n/a	n/a	0.00	0.0
BRUNNER	012	URE	S	1,000	14.61	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		URQ+KF	SS	1,000	0.85	n/a	n/a	non-brg	100.0
HART	056	UYG	B	500	12.64	n/a	n/a	0.00	0.0
HART	056	UYG	S	500	12.29	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		VFC+WK	SS	689	2.85	n/a	n/a	non-brg	300.0
J ROSELTD	034	VLY	S	1,214	19.35	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		VOW GR	SS	8,200	460.66	n/a	n/a	non-brg	92.1
JMP ASSET MGMT	210	WAG	B	1,500	23.09	n/a	n/a	60.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FRONTPOINT CHRIS C	041	WMI	S	8,200	31.18	n/a	n/a	328.00	4.0
⌘ BUCK CAPITAL MGMT		WMT+JK	SS	1,000	1.23	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		WMT+JY	SS	1,000	0.39	n/a	n/a	non-brg	100.0
⌘ BUCK CAPITAL MGMT		WMT+KY	SS	1,000	2.09	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		WMT	B	100,000	55.26	10-Oct	10-Oct	non-brg	4.0
BUCK CAPITAL MGMT	001	WRC	B	10,000	31.16	8-Oct	8-Oct	400.00	4.0
⌘ BUCK CAPITAL MGMT		WRI	C	17,600	27.52	n/a	n/a	non-brg	4.0
POST ROAD CAP	045	WSM	B	16,700	12.98	n/a	n/a	501.00	3.0
BUCK	015	WY	S	1,000	48.12	n/a	11-Sep	0.00	0.0
⌘ BUCK CAPITAL MGMT		XLF	C	60,000	17.10	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		XLF	C	79,900	17.14	n/a	n/a	non-brg	2.0
WILLOW CREEK	033	XLNX	SS	3,000	21.01	n/a	n/a	120.00	4.0
⌘ BUCK CAPITAL MGMT		XRT	C	20,000	25.55	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		XRT	C	49,500	25.87	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		XRT	C	50,000	23.76	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		XRT	C	79,000	23.94	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		XRT	SS	220,000	23.61	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		XRT	SS	222,100	23.56	n/a	n/a	non-brg	1.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEW JERSEY DIV OF INV.	220	YSI	S	110,000	8.51	n/a	n/a	4,400.00	4.0
BUCK CAPITAL MGMT	001	ZLC	SS	60,000	17.64	n/a	n/a	2,400.00	4.0
TOTAL (Trade Date):								161,668.30	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/13	SOROS	036	BA	B	93,500	43.22	n/a	n/a	3740.00 4.0
AO,CRT	10/13	SOROS	036	BA	B	93,500	43.22	n/a	n/a	3740.00 4.0
AO,CRT	10/10	OGORMAN	046	DDM	B	500	30.05	n/a	n/a	0.00 0.0
AO,CXL	10/10	OGORMAN	046	DDM	B	500	30.05	n/a	n/a	0.00 0.0
AO,CXL	10/13	OGORMAN	046	DDM	S	500	35.08	n/a	n/a	0.00 0.0
AO,CRT	10/13	OGORMAN	046	DDM	S	500	35.08	n/a	n/a	0.00 0.0
AO,	10/13	GRISANTI BROWN & PARTNER	048	FDX	B	30,000	70.18	n/a	n/a	1500.00 5.0
AO,CRT	10/10	HOLDEN CAPITAL MGMT	035	HBI	B	35,000	16.08	n/a	n/a	1750.00 5.0
AO,CXL	10/10	HOLDEN CAPITAL MGMT	035	HBI	B	17,500	16.08	n/a	n/a	875.00 5.0
AO,CXL	10/10	HOLDEN CAPITAL MGMT	035	HBI	C	17,500	16.08	n/a	n/a	875.00 5.0
AO,CRT	10/13	BUCK CAPITAL MGMT	015	MS	B	1,500	35.00	15-Sep	13-Oct	0.00 0.0
AO,CXL	10/10	SOLARIS INV MGMT	029	MYL	S	6,200	6.77	30-May	14-Oct	248.00 4.0
AO,CRT	10/10	SOLARIS INV MGMT	029	MYL	S	6,200	6.77	30-May	14-Oct	248.00 4.0
AO,	10/13	IRIDIAN ASSET MGMT.	036	NOV	S	71,860	27.15	n/a	n/a	3593.00 5.0
AO,CXL	10/10	HOLDEN CAPITAL MGMT	035	PII	B	7,000	35.09	n/a	n/a	350.00 5.0
AO,CRT	10/10	HOLDEN CAPITAL MGMT	035	PII	C	10,000	35.09	n/a	n/a	500.00 5.0
AO,CXL	10/10	HOLDEN CAPITAL MGMT	035	PII	C	3,000	35.09	n/a	n/a	150.00 5.0
AO,	10/13	ROTHSCHILD ASSET	040	SCL	B	3,600	40.37	n/a	n/a	162.02 4.5
AO,CXL	10/10	OGORMAN	046	SSO	B	400	26.08	n/a	n/a	0.00 0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/10	OGORMAN	046	SSO	B	400	26.08	n/a	n/a	0.00 0.0
AO,CXL	10/13	OGORMAN	046	SSO	S	400	32.08	n/a	n/a	0.00 0.0
AO,CRT	10/13	OGORMAN	046	SSO	S	400	32.08	n/a	n/a	0.00 0.0
AO,CXL	10/13	BALYASNY ASSET MGMT	044	UNM	S	30,000	18.80	n/a	n/a	1500.00 5.0
AO,CRT	10/13	BALYASNY ASSET MGMT	044	UNM	S	30,000	18.80	n/a	n/a	1500.00 5.0
AO,CRT	10/10	OGORMAN	046	UYG	B	1,500	9.20	n/a	n/a	0.00 0.0
AO,CXL	10/10	OGORMAN	046	UYG	B	1,500	9.20	n/a	n/a	0.00 0.0
AO,CXL	10/13	OGORMAN	046	UYG	S	1,500	10.22	n/a	n/a	0.00 0.0
AO,CRT	10/13	OGORMAN	046	UYG	S	1,500	10.22	n/a	n/a	0.00 0.0
TOTAL (AO, CXL, CRT) :										5,255.02

TOTAL (Trade Date):	161,668.30
TOTAL (AO, CXL, CRT):	5,255.02

TOTAL (RUN DATE) / NFS:	166,923.32
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MRI Securities with Trade Activity on 14-Oct.
NONE

MRI Securities without Trade Activity on 14-Oct.
CL

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

T-Date = 11%

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