



Daily Compliance Activity Report

Trade Date: 05/14/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		AEO	B	20,000	15.48	n/a	10-May	non-brg	4.0
EXIS CAPITAL	044	AEO	B	7,500	15.47	n/a	10-May	375.00	5.0
HILLIARD LYONS CAP MGMT	047	AGN	S	503	61.11	n/a	14-May	15.09	3.0
MANNY I KORMAN	FID	ALL	S	10000	31.92	n/a	n/a	0.00	0.0
MANNY I KORMAN	FID	ALL	S	4000	31.89	n/a	n/a	0.00	0.0
KAREN F LEDDY	FID	ALN	S	2100	3.35	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		ANF	B	700	40.28	n/a	10-May	non-brg	4.0
BUCK CAPITAL MGMT		ANF	S	40,000	40.15	n/a	10-May	non-brg	4.0
BUCK CAPITAL MGMT		ANN	B	20,000	21.99	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		AN	B	1,200	19.58	n/a	23-Apr	non-brg	4.0
JOSEPH CIRO AMATURO	FID	ARM	B	10000	15.33	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		ARO	B	3,700	27.44	n/a	10-May	non-brg	4.0
BUCK CAPITAL MGMT		ARO	B	40,000	27.34	n/a	10-May	non-brg	4.0
BUCK CAPITAL MGMT		AVP	B	30,000	27.41	n/a	3-May	non-brg	4.0
BUCK CAPITAL MGMT		AVY	B	2,400	36.42	n/a	10-May	non-brg	4.0
BUCK CAPITAL MGMT		AXL	B	6,300	9.51	n/a	3-May	non-brg	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MANNY I KORMAN	FID	AXP	S	5000	40.98	n/a	14-May	0.00	0.0
B BUCK CAPITAL MGMT		BAC	B	2,500	16.49	n/a	14-May	non-brg	4.0
CAVU CAP ADV	028	BA	SS	25,000	69.64	n/a	5-May	1,250.00	5.0
f ALEXANDER A SACCO	FID	BGZ	B	225	14.30	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	BGZ	S	20000	14.00	n/a	n/a	0.00	0.0
f SCOTT L BRUNNER	FID	BGZ	S	3000	14.47	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	040	BJ	B	10,000	37.75	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		BK	B	1,300	29.91	n/a	11-May	non-brg	4.0
B BUCK CAPITAL MGMT		BONT	B	11,000	14.95	n/a	n/a	non-brg	4.0
EXIS CAPITAL	044	BONT	B	10,000	15.15	n/a	n/a	500.00	5.0
f JOSEPH CIRO AMATURO	FID	BCY	B	2000	55.05	n/a	30-Apr	0.00	0.0
TRELLUS PARTNERS LP	028	BWA	B	20,000	39.04	n/a	30-Apr	1,000.00	5.0
B BUCK CAPITAL MGMT		BX	B	1,200	12.26	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BX	B	1,800	12.26	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BX	B	16,000	12.26	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BX	B	400	12.26	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BX	B	600	12.26	n/a	n/a	non-brg	4.0
CAERUS GLOBAL	041	BYI	SS	5,000	45.06	n/a	n/a	200.00	4.0
PILOT ADV	242	B	SS	30,000	20.71	n/a	n/a	1,200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		CAR	B	2,400	13.10	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		CAR	B	30,000	12.67	n/a	n/a	non-brg	4.0
RAMIUS CAP	040	CAT	C	10,250	65.74	n/a	12-May	410.00	4.0
BNP PARIBAS SEC	040	CHS	B	10,000	14.69	n/a	5-Feb	400.00	4.0
HILLIARD LYONS CAP MGMT	047	CMCSA	S	1,742	17.57	n/a	n/a	52.26	3.0
MANNY I KORMAN	FID	CMCSA	S	4000	17.57	n/a	n/a	0.00	0.0
MANNY I KORMAN	FID	CMCSA	S	5000	17.58	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		CNW	B	1,200	34.99	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		COH	B	10,000	40.01	n/a	14-May	non-brg	4.0
BUCK CAPITAL MGMT		CRI	S	20,000	32.95	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		CROX	S	50,000	10.70	n/a	n/a	non-brg	4.0
HILLIARD LYONS CAP MGMT	047	CSCO	S	1,426	24.86	n/a	n/a	42.78	3.0
HILLIARD LYONS CAP MGMT	047	CVS	S	1,349	35.88	n/a	n/a	40.47	3.0
BUCK CAPITAL MGMT		DAL	B	2,800	13.21	n/a	n/a	non-brg	4.0
HILLIARD LYONS CAP MGMT	047	DELL	S	1,604	15.03	n/a	n/a	48.12	3.0
BNP PARIBAS SEC	040	DE	B	4,600	58.87	n/a	30-Apr	184.00	4.0
SANDLER O'NEILL ASSET	031	DFS	B	25,000	14.36	n/a	14-May	1,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GREEN ARROW DOUG	040	DG	SS	25,000	29.40	n/a	26-Apr	1,250.00	5.0
⌘ BUCK CAPITAL MGMT		DIA	SS	4,400	106.73	n/a	n/a	non-brg	2.0
HILLIARD LYONS CAP MGMT	047	DIS	S	1,579	34.05	n/a	n/a	47.37	3.0
EXIS CAPITAL	044	DPZ	B	10,000	13.80	n/a	5-May	500.00	5.0
CAERUS GLOBAL	041	DRI	B	5,091	43.49	n/a	7-Apr	203.64	4.0
⌘ BUCK CAPITAL MGMT		DVN	B	300	65.89	n/a	5-May	non-brg	4.0
FIRST NEW YORK LEDDY	035	ETFC	S	20,000	1.55	n/a	n/a	800.00	4.0
⌘ BUCK CAPITAL MGMT		EXPR	S	175,000	16.04	n/a	n/a	non-brg	4.0
RBC CAPITAL MARKETS	040	FAST	SS	15,000	53.84	n/a	n/a	600.00	4.0
f SCOTT L BRUNNER	FID	FAZ	S	3000	13.96	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		FL	B	1,000	14.24	n/a	14-May	non-brg	4.0
⌘ BUCK CAPITAL MGMT		FL	B	20,000	14.16	n/a	14-May	non-brg	4.0
RBC CAPITAL MARKETS	040	FL	B	15,000	14.24	n/a	14-May	600.00	4.0
⌘ BUCK CAPITAL MGMT		FOR	B	1,200	20.42	n/a	10-May	non-brg	4.0
⌘ BUCK CAPITAL MGMT		FOSL	S	10,000	39.08	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		F	B	4,400	12.09	n/a	4-May	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OZ MGMT	040	F	B	200,000	12.08	n/a	4-May	6,000.00	3.0
OZ MGMT	040	F	C	183,773	12.27	n/a	4-May	5,513.19	3.0
WHITE PINE CAPITAL	030	GDXJ	B	500	28.94	n/a	n/a	25.00	5.0
B BUCK CAPITAL MGMT		GES	B	10,000	38.15	n/a	14-May	non-brg	4.0
CHARTER OAK	033	GES	B	20,000	37.88	n/a	14-May	1,000.00	5.0
HILLIARD LYONS CAP MGMT	047	GE	S	1,251	17.67	n/a	n/a	37.53	3.0
f MANNY I KORMAN	FID	GE	S	3000	17.87	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		GIL	B	900	29.32	n/a	14-May	non-brg	4.0
B BUCK CAPITAL MGMT		GIL	S	30,000	29.43	n/a	14-May	non-brg	4.0
B BUCK CAPITAL MGMT		GLW	B	1,900	18.00	n/a	10-May	non-brg	4.0
f JASON ERIC COHEN	FID	GLW	B	10	0.37	n/a	10-May	0.00	0.0
f JASON ERIC COHEN	FID	GLW	S	5	0.30	n/a	10-May	0.00	0.0
f MANNY I KORMAN	FID	GLW	S	15000	17.84	n/a	10-May	0.00	0.0
f MANNY I KORMAN	FID	GLW	S	5000	17.84	n/a	10-May	0.00	0.0
EXIS CAPITAL	044	GYMB	B	10,000	44.01	n/a	10-May	500.00	5.0
GRUBER MACBAINE	033	HD	S	20,000	35.04	n/a	11-May	800.00	4.0
HILLIARD LYONS CAP MGMT	047	HD	S	1,431	35.23	n/a	11-May	42.93	3.0
SAC TRADING TOM LEDDY	035	HD	B	50,000	35.12	n/a	11-May	1,750.00	3.5
HILLIARD LYONS CAP MGMT	047	HOG	S	552	32.18	n/a	n/a	16.56	3.0
CAERUS GLOBAL	041	HOT	B	4,000	48.92	n/a	n/a	160.00	4.0
BERMAN CAPITAL MGMT	046	HTZ	B	10,000	12.24	n/a	n/a	300.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		HTZ	B	10,000	12.13	n/a	n/a	non-brg	0.8
BUCK CAPITAL MGMT		HTZ	B	20,000	12.23	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		HTZ	B	3,600	12.24	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		IJS	SS	800	66.58	n/a	n/a	non-brg	2.0
COBALT	041	INTC	B	100,000	21.73	n/a	n/a	5,000.00	5.0
TRELLUS PARTNERS LP	028	IP	B	30,000	23.64	n/a	29-Apr	1,500.00	5.0
BUCK CAPITAL MGMT		IVZ	B	2,400	20.98	n/a	2-Mar	non-brg	4.0
DAVID GEORGE BUCK	FID	IWF	S	3000	50.67	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		IWM	SS	6,700	69.64	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		IWO	SS	900	74.41	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		JBHT	B	1,400	34.90	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	JCG	S	10,000	45.41	n/a	n/a	400.00	4.0
BAIRD INVESTMENT	047	JCI	B	15,200	30.41	n/a	26-Apr	760.00	5.0
BUCK CAPITAL MGMT		JCP	B	1,500	27.54	n/a	14-May	non-brg	4.0
BUCK CAPITAL MGMT		JCP	B	20,000	27.60	n/a	14-May	non-brg	2.5
EXIS CAPITAL	044	JCP	S	72,800	27.40	n/a	14-May	3,640.00	5.0
RBC CAPITAL MARKETS	040	JCP	S	5,000	27.26	n/a	14-May	200.00	4.0
HILLIARD LYONS CAP MGMT	047	JEC	S	668	46.00	n/a	n/a	20.04	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HILLIARD LYONS CAP MGMT	047	JNJ	S	643	63.80	n/a	n/a	19.29	3.0
B BUCK CAPITAL MGMT		JNS	B	2,500	12.29	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		JNY	B	30,000	20.75	n/a	14-May	non-brg	4.0
EXIS CAPITAL	044	JNY	B	30,000	20.58	n/a	14-May	1,500.00	5.0
B BUCK CAPITAL MGMT		JOSB	B	10,000	59.62	n/a	n/a	non-brg	4.0
HILLIARD LYONS CAP MGMT	047	JPM	S	925	39.74	n/a	14-May	27.75	3.0
f MANNY I KORMAN	FID	JPM	S	5000	39.66	n/a	14-May	0.00	0.0
BUCK CAPITAL MGMT	001	JWN	B	10,000	39.63	n/a	14-May	400.00	4.0
B BUCK CAPITAL MGMT		JWN	B	10,000	40.12	n/a	14-May	non-brg	4.0
B BUCK CAPITAL MGMT		JWN	B	400	39.90	n/a	14-May	non-brg	4.0
CAERUS GLOBAL	041	JWN	B	5,000	39.60	n/a	14-May	200.00	4.0
EXIS CAPITAL	044	JWN	B	10,000	39.91	n/a	14-May	500.00	5.0
f JOSEPH CIRO AMATURO	FID	JWN	B	2000	39.70	n/a	14-May	0.00	0.0
HILLIARD LYONS CAP MGMT	047	KFT	S	929	29.77	n/a	n/a	27.87	3.0
B BUCK CAPITAL MGMT		KNX	B	2,700	21.00	n/a	n/a	non-brg	4.0
BNP PARIBAS SEC	040	KSS	B	4,797	54.05	n/a	14-May	191.88	4.0
BUCK CAPITAL MGMT	001	KSS	B	10,000	53.36	n/a	14-May	400.00	4.0
B BUCK CAPITAL MGMT		KSS	B	10,000	54.10	n/a	14-May	non-brg	4.0
B BUCK CAPITAL MGMT		KSS	B	500	53.54	n/a	14-May	non-brg	4.0
SAC CAPITAL/M GRONET	030	KSS	B	10,000	53.98	n/a	14-May	350.00	3.5
f JOHN BARTMAN COLE	FID	LBV	S	400	14.45	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TYEE/TYGH	035	MAN	S	54,252	49.37	n/a	n/a	2,170.08	4.0
HILLIARD LYONS CAP MGMT	047	MAT	S	1,878	21.85	n/a	n/a	56.34	3.0
f DAVID GEORGE BUCK	FID	MCD	B	1000	70.35	n/a	10-May	0.00	0.0
B BUCK CAPITAL MGMT		MDY	SS	1,000	143.95	n/a	n/a	non-brg	2.0
KENNEDY CAPITAL	046	MOV	B	10,000	12.73	n/a	n/a	400.00	4.0
HILLIARD LYONS CAP MGMT	047	MSFT	S	1,445	28.76	n/a	n/a	43.35	3.0
B BUCK CAPITAL MGMT		MSMSRAWW	SS	100,000	95.08	n/a	n/a	non-brg	9.5
f MANNY I KORMAN	FID	MS	S	10000	27.13	n/a	11-May	0.00	0.0
DELTEC ASSET MGMT.	040	MTW	B	14,000	13.23	n/a	30-Apr	700.00	5.0
B BUCK CAPITAL MGMT		MVRX	SS	45,000	193.61	n/a	n/a	non-brg	19.4
CRAMER ROSENTHAL/SCOTT	012	MWW	B	244,700	16.13	n/a	n/a	9,788.00	4.0
B BUCK CAPITAL MGMT		MW	SS	10,000	22.21	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		M	B	1,800	22.96	n/a	13-May	non-brg	4.0
B BUCK CAPITAL MGMT		M	B	10,000	22.44	n/a	13-May	non-brg	4.0
SIGMA CAPITAL ASSOCIATES	041	M	B	25,000	22.61	n/a	13-May	875.00	3.5
SLS CAPITAL LLC	224	M	B	23,900	22.95	n/a	13-May	956.00	4.0
HILLIARD LYONS CAP MGMT	047	OMC	S	755	40.95	n/a	n/a	22.65	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MARK DEVEREAUX KAICH	FID	OWW	S	1000	5.82	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		OZM	B	1,400	16.38	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		OZM	B	12,000	16.38	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		OZM	B	300	16.38	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		OZM	B	400	16.38	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		OZM	B	900	16.38	n/a	n/a	non-brg	4.0
HILLIARD LYONS CAP MGMT	047	PEP	S	433	66.27	n/a	n/a	12.99	3.0
HILLIARD LYONS CAP MGMT	047	PFE	S	543	16.18	n/a	n/a	16.29	3.0
HILLIARD LYONS CAP MGMT	047	PGR	S	1,895	20.33	n/a	n/a	56.85	3.0
HILLIARD LYONS CAP MGMT	047	PG	S	416	62.53	n/a	30-Apr	12.48	3.0
B BUCK CAPITAL MGMT		PIR	B	20,000	8.13	n/a	n/a	non-brg	3.0
SCOPUS FUND	041	PKG	B	58,763	22.95	n/a	20-Apr	2,938.15	5.0
B BUCK CAPITAL MGMT		PLCE	S	30,000	42.21	n/a	27-Apr	non-brg	4.0
EXIS CAPITAL	044	PLCE	SS	5,000	42.40	n/a	27-Apr	250.00	5.0
B BUCK CAPITAL MGMT		PSS	B	10,000	21.16	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		PSS	B	900	21.32	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		PVH	B	300	57.85	n/a	14-May	non-brg	4.0
B BUCK CAPITAL MGMT		PVH	S	40,000	57.53	n/a	14-May	non-brg	4.0
SYSTEMATIC FINANCIAL MGT	035	PVH	B	43,550	57.51	n/a	14-May	1,306.50	3.0

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GRUBER MACBAINE	033	QLD	B	15,000	60.91	n/a	n/a	600.00	4.0
ARCHON CAPITAL	035	RAX	S	12,000	17.05	n/a	n/a	480.00	4.0
BUCK CAPITAL MGMT	001	RL	S	30,000	88.90	n/a	14-May	1,200.00	4.0
f KAREN F LEDDY	FID	ROHI	S	2600	2.59	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		RYL	B	2,300	19.16	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SIG	S	20,000	32.17	n/a	n/a	non-brg	2.5
EXIS CAPITAL	044	SKS	B	10,000	9.05	n/a	n/a	500.00	5.0
ß BUCK CAPITAL MGMT		SLB	B	400	65.17	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SLM	B	3,000	11.82	n/a	12-May	non-brg	4.0
ß BUCK CAPITAL MGMT		SPY	SS	1,900	114.17	n/a	n/a	non-brg	2.0
f JOSEPH CIRO AMATURO	FID	SRI	B	10000	9.99	n/a	n/a	0.00	0.0
CARDINAL CAPITAL	044	SSI	B	1,800	14.50	n/a	n/a	90.00	5.0
ß BUCK CAPITAL MGMT		STT	B	900	41.74	n/a	11-May	non-brg	4.0
FRED ALGER MGMT	035	SWKS	B	336,900	15.43	n/a	n/a	12,802.20	3.8
BAIRD INVESTMENT	047	SWN	B	10,175	38.60	n/a	30-Apr	508.75	5.0

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f JOSEPH CIRO AMATURO	FID	TBT	B	2000	41.71	n/a	n/a	0.00	0.0
HILLIARD LYONS CAP MGMT	047	TEL	S	906	28.87	n/a	n/a	27.18	3.0
MAIRS AND POWER INV	030	TGT	S	10,000	55.57	n/a	10-May	500.00	5.0
RBC CAPITAL MARKETS	040	TGT	B	5,000	55.28	n/a	10-May	200.00	4.0
RBC CAPITAL MARKETS	040	TGT	S	10,000	55.31	n/a	10-May	400.00	4.0
SAC CAPITAL/M GRONET	030	TGT	B	15,000	55.75	n/a	10-May	525.00	3.5
BUCK CAPITAL MGMT	001	TJX	S	20,000	44.97	n/a	10-May	800.00	4.0
EXIS CAPITAL	044	TJX	SS	5,000	45.12	n/a	10-May	250.00	5.0
HILLIARD LYONS CAP MGMT	047	TJX	S	748	45.26	n/a	10-May	22.44	3.0
RAMIUS CAP	040	TJX	S	27,375	45.56	n/a	10-May	1,095.00	4.0
CAVU CAP ADV	028	TLB	S	41,694	16.13	n/a	n/a	2,084.70	5.0
f JOHN BARTMAN COLE	FID	TMBCF	S	2000	2.18	n/a	n/a	0.00	0.0
COUGAR TRADING	044	TM	SS	10,000	75.61	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		TOL	B	2,400	20.80	n/a	n/a	non-brg	4.0
f MANNY I KORMAN	FID	TXN	S	5000	24.75	n/a	n/a	0.00	0.0
HILLIARD LYONS CAP MGMT	047	TYC	S	993	38.62	n/a	28-Apr	29.79	3.0
B BUCK CAPITAL MGMT		UA	SS	10,000	32.20	n/a	28-Apr	non-brg	4.0
EXIS CAPITAL	044	UA	B	10,000	32.82	n/a	28-Apr	500.00	5.0
B BUCK CAPITAL MGMT		URBN	B	30,000	35.88	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GALT INVESTMENT	041	URBN	B	35,000	35.94	n/a	n/a	1,750.00	5.0
CAERUS GLOBAL	041	URI	B	10,000	13.45	n/a	n/a	400.00	4.0
HILLIARD LYONS CAP MGMT	047	USB	S	1,459	25.44	n/a	n/a	43.77	3.0
RBC CAPITAL MARKETS	040	VALE	SS	30,000	27.53	n/a	n/a	1,200.00	4.0
RBC CAPITAL MARKETS	040	VFC	B	5,000	82.48	n/a	14-May	200.00	4.0
TPG-AXON	040	V	S	275,000	76.71	n/a	14-May	13,750.00	5.0
HILLIARD LYONS CAP MGMT	047	WAT	S	606	67.90	n/a	n/a	18.18	3.0
f JOSEPH CIRO AMATURO	FID	WEN	B	5000	4.84	n/a	13-May	0.00	0.0
ß BUCK CAPITAL MGMT		WERN	B	2,100	22.84	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		WRC	B	400	44.30	n/a	14-May	non-brg	4.0
ß BUCK CAPITAL MGMT		WRC	S	20,000	44.16	n/a	14-May	non-brg	4.0
ß BUCK CAPITAL MGMT		XLF	SS	162,700	15.37	n/a	n/a	non-brg	2.0
BERMAN CAPITAL MGMT	046	XRT	S	15,000	40.96	n/a	n/a	450.00	3.0
ß BUCK CAPITAL MGMT		XRT	SS	18,600	40.94	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		XRT	SS	625,000	40.82	n/a	n/a	non-brg	2.0
RBC CAPITAL MARKETS	040	XRT	B	5,000	40.91	n/a	n/a	200.00	4.0
TOTAL (Trade Date):								103,382.46	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	05/13	LISTED ERR	097	EQR	S	10,000	47.81	n/a	n/a	0.00 0.0
AO,CXL	05/13	LISTED ERR	099	EQR	S	10,000	47.64	n/a	n/a	0.00 0.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date) :	103,382.46
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	103,382.46
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MRI Securities with Trade Activity on 14-May.
NONE

MRI Securities without Trade Activity on 14-May.
MIDD

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 4%
YTD = 8%

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)