



Daily Compliance Activity Report

Trade Date: 07/23/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TOKIO MARINE ASSET MGMT	045	AAPL	S	8,000	157.43	n/a	n/a	320.00	4.0
LAGRANGE CAP ADV	048	ABG	SS	10,000	12.75	n/a	30-Apr	500.00	5.0
CAXTON PART	040	ABT	S	16,695	44.23	n/a	22-Apr	584.34	3.5
RBC CAPITAL MARKETS	040	ADM	B	20,000	30.52	1-Jun	1-Jun	800.00	4.0
WASHINGTON ASSET	048	ADM	B	5,000	29.94	1-Jun	1-Jun	250.00	5.0
PATTEN & PATTEN	067	ADRU	S	1,800	18.78	n/a	n/a	90.00	5.0
REICH AND TANG	067	ADSK	B	2,000	21.54	n/a	n/a	100.00	5.0
BUCK CAPITAL MGMT	001	AEO	B	50,000	14.95	25-Jun	10-Jul	2,000.00	4.0
PLATTE RIVER CAPITAL	240	AEO	B	28,900	15.02	25-Jun	10-Jul	1,156.00	4.0
B BUCK CAPITAL MGMT		AGCO	S	15,000	30.43	29-Jun	29-Jun	non-brg	1.0
TOKIO MARINE ASSET MGMT	045	AKAM	B	39,500	20.93	n/a	n/a	1,580.00	4.0
STRONG/MARK GRONET	030	ALK	S	10,000	21.99	n/a	n/a	400.00	4.0
f JOSEPH CIRO AMATURO	FID	AMAG	S	1000	51.16	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	ANF	B	150,000	27.42	3-Jun	10-Jul	6,000.00	4.0
SIGMA CAPITAL ASSOCIATES	041	ANF	S	50,000	27.51	3-Jun	10-Jul	2,000.00	4.0
B BUCK CAPITAL MGMT		ARO	S	10,000	37.66	n/a	10-Jul	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß	BUCK CAPITAL MGMT		ARO	S	4,629	37.54	n/a	10-Jul	non-brg	1.0
	SYSTEMATIC FINANCIAL MGT	035	ARO	S	52,975	37.88	n/a	10-Jul	1,854.13	3.5
	BUCK CAPITAL MGMT	001	AVP	B	70,000	29.91	2-Jun	23-Jul	2,800.00	4.0
	PZENA INV ADV	044	AVT	S	16,900	24.21	n/a	n/a	591.53	3.5
	PATTEN & PATTEN	067	AVY	S	3,050	27.29	28-Apr	9-Jul	152.50	5.0
	BALYASNY ASSET MGMT	044	AXL	S	25,000	1.25	n/a	9-Jul	750.00	3.0
ß	BUCK CAPITAL MGMT		AXL	S	297,200	1.17	n/a	9-Jul	non-brg	1.0
ß	BUCK CAPITAL MGMT		AXL	S	52,453	1.15	n/a	9-Jul	non-brg	1.0
ß	BUCK CAPITAL MGMT		AXL	S	61,500	1.17	n/a	9-Jul	non-brg	1.5
	LAGRANGE CAP ADV	048	AXL	B	30,000	1.30	n/a	9-Jul	900.00	3.0
f	MANNY I KORMAN	FID	BAC	B	5000	12.32	11-May	20-Jul	0.00	0.0
	PATTEN & PATTEN	067	BAC	S	900	12.46	11-May	20-Jul	45.00	5.0
	CATAPULT	040	BA	SS	60,000	41.76	n/a	n/a	3,000.00	5.0
	BUCK CAPITAL MGMT	001	BBY	SS	100,000	37.07	n/a	27-Jul	4,000.00	4.0
	SIGMA CAP BOBBY	044	BC	B	100,000	4.68	n/a	n/a	4,000.00	4.0
	PATTEN & PATTEN	067	BDX	B	2,000	71.44	n/a	22-Apr	100.00	5.0
ß	BUCK CAPITAL MGMT		BEBE	B	25,000	6.66	n/a	n/a	non-brg	2.0
ß	BUCK CAPITAL MGMT		BEBE	B	67,600	6.67	n/a	n/a	non-brg	2.0
ß	BUCK CAPITAL MGMT		BEBE	B	7,400	6.62	n/a	n/a	non-brg	3.0
f	ALANA J A MADIGAN-SI	FID	BGZ	B	75	28.51	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f	JOSEPH CIRO AMATURO	FID	BGZ	B	4000	29.45	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		BHI	B	10,000	39.12	n/a	n/a	non-brg	4.0
	BUCK CAPITAL MGMT	001	BIG	B	30,000	23.05	28-May	6-Jul	1,200.00	4.0
	CATAPULT	040	BJS	SS	50,000	14.93	n/a	n/a	2,500.00	5.0
f	MARC PAUL LUCHANSKY	FID	BKC	S	500	16.30	16-Apr	10-Jul	0.00	0.0
ß	BUCK CAPITAL MGMT		BK	B	10,000	27.23	11-May	23-Jul	non-brg	1.0
	UBS OCONNOR	031	BLK	S	14,000	194.34	21-Jul	21-Jul	420.00	3.0
ß	BUCK CAPITAL MGMT		BYI	S	25,000	35.37	n/a	n/a	non-brg	2.0
ß	BUCK CAPITAL MGMT		BYI	S	71,558	35.78	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		CAM	B	10,000	31.20	n/a	n/a	non-brg	4.0
f	MICHAEL THOMAS NOLAN	FID	CIT	S	1000	0.72	20-Jul	22-Jul	0.00	0.0
	BUCK CAPITAL MGMT	001	CLX	B	30,000	59.68	15-Jun	15-Jun	1,200.00	4.0
ß	BUCK CAPITAL MGMT		CLX	C	20,000	59.28	15-Jun	15-Jun	non-brg	4.0
	PZENA INV ADV	044	CMA	B	2,750	21.57	n/a	n/a	96.25	3.5
f	EDWARD W WHEELER	FID	CMCO	B	5000	12.17	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		CMG	C	5,000	86.28	23-Jul	23-Jul	non-brg	4.0
ß	BUCK CAPITAL MGMT		CMG	SS	15,000	91.02	23-Jul	23-Jul	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CONIFER/ISF	025	COO	B	3,571	25.90	n/a	n/a	178.55	5.0
f ABRAM M CHAPPELL	FID	CVGI	B	1000	1.50	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CVGI	B	20,000	1.59	n/a	n/a	non-brg	1.0
RBC CAPITAL MARKETS	040	CVX	B	100,000	66.60	n/a	n/a	4,000.00	4.0
BUCK CAPITAL MGMT	001	DAI	SS	20,000	44.17	n/a	n/a	800.00	4.0
ß BUCK CAPITAL MGMT		DAL	B	35,000	5.72	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT	001	DDS	SS	50,000	8.98	n/a	n/a	1,500.00	3.0
ß BUCK CAPITAL MGMT		DECK	S	10,000	77.32	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DECK	S	2,300	68.75	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		DFS	S	87,500	11.29	n/a	22-Jul	non-brg	4.0
RBC CAPITAL MARKETS	040	DF	B	25,000	21.44	n/a	n/a	1,000.00	4.0
TOKIO MARINE ASSET MGMT	045	DGX	B	6,200	55.62	n/a	n/a	248.00	4.0
ß BUCK CAPITAL MGMT		DIA	SS	88,500	90.00	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		DPZ	S	77,800	8.32	n/a	24-Apr	non-brg	3.0
CAXTON PART	040	DTV	B	20,000	25.08	n/a	4-Jan	700.00	3.5
BUCK CAPITAL MGMT	001	EDU	B	116,423	68.07	n/a	n/a	4,656.92	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MARC PAUL LUCHANSKY	FID	EJ	B	300	19.09	n/a	n/a	0.00	0.0
UBS OCONNOR	031	EV	B	150,000	27.15	19-May	21-Jul	4,500.00	3.0
PATTEN & PATTEN	067	EXH	S	562	17.29	27-May	23-Jul	28.10	5.0
PATTEN & PATTEN	067	FHN	B	1,400	11.59	n/a	n/a	70.00	5.0
B BUCK CAPITAL MGMT		FOR	B	7,200	12.97	29-Jun	20-Jul	non-brg	1.0
B BUCK CAPITAL MGMT		FOSL	S	10,000	25.49	30-Jan	30-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		FOSL	S	20,000	25.43	30-Jan	30-Jan	non-brg	4.0
f MANNY I KORMAN	FID	FSIXX	S	135000	1.00	n/a	n/a	0.00	0.0
f JOHN CAREY MAGUIRE	FID	FXALB	S	5	4.30	n/a	n/a	0.00	0.0
ARMATURE CAPITAL	041	F	SS	60,000	6.95	n/a	16-Jul	2,400.00	4.0
BMO NESBITT BURNS	041	F	SS	50,000	7.01	n/a	16-Jul	2,500.00	5.0
BRENCOURT	028	F	S	50,000	6.85	n/a	16-Jul	1,500.00	3.0
TRELLUS PARTNERS LP	028	F	S	100,000	6.67	n/a	16-Jul	3,000.00	3.0
B BUCK CAPITAL MGMT	001	GCO	B	10,000	20.45	n/a	10-Jan	400.00	4.0
B BUCK CAPITAL MGMT	001	GES	S	10,000	28.76	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		GES	S	30,000	28.68	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GIL	S	20,000	17.01	25-Jun	25-Jun	non-brg	4.0
B BUCK CAPITAL MGMT	001	GME	B	70,000	23.83	n/a	n/a	2,800.00	4.0

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GALT INVESTMENT	041	GME	S	10,000	23.93	n/a	n/a	500.00	5.0
CAVU CAP ADV	028	GNTX	SS	40,000	14.49	10-Jun	23-Jul	2,000.00	5.0
TRELLUS PARTNERS LP	028	GNTX	SS	20,000	14.53	10-Jun	23-Jul	1,000.00	5.0
⚡ BUCK CAPITAL MGMT		GRMN	SS	10,000	27.78	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		GS	S	10,000	165.99	14-Jul	14-Jul	non-brg	4.0
⚡ BUCK CAPITAL MGMT		GYMB	S	10,000	38.87	21-May	10-Jul	non-brg	4.0
⚡ BUCK CAPITAL MGMT		GYMB	S	10,000	39.39	21-May	10-Jul	non-brg	4.0
RBC CAPITAL MARKETS	040	HAL	B	100,000	22.28	n/a	n/a	4,000.00	4.0
LAGRANGE CAP ADV	048	HAR	SS	2,000	22.81	10-Jun	16-Jun	100.00	5.0
BUCK CAPITAL MGMT	001	HBI	B	50,000	15.68	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	HOT	SS	30,000	22.85	n/a	n/a	1,200.00	4.0
CATAPULT	040	HRB	S	75,000	16.94	n/a	n/a	3,000.00	4.0
SUN AMERICA ASSET MGMT	030	IDTI	S	50,200	6.67	n/a	n/a	2,008.00	4.0
⚡ BUCK CAPITAL MGMT		IGT	SS	40,000	19.50	n/a	27-Apr	non-brg	1.0
⚡ BUCK CAPITAL MGMT		IP	S	20,000	18.13	21-Jul	21-Jul	non-brg	1.0
CSFB GLOBAL PROPRIETARY	041	IP	B	75,000	18.17	21-Jul	21-Jul	3,750.00	5.0
CUMBERLAND	038	IRM	B	5,000	29.98	n/a	n/a	200.00	4.0

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B BUCK CAPITAL MGMT		ISLE	SS	30,000	13.19	n/a	26-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		IVZ	S	75,000	19.44	5-Jun	21-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		JBHT	B	2,000	27.51	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		JBLU	B	40,000	4.91	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT	001	JCG	B	30,000	27.48	30-Jan	30-Jan	1,200.00	4.0
f JOHN CAREY MAGUIRE	FID	JCI	S	400	24.75	21-Jul	21-Jul	0.00	0.0
BUCK CAPITAL MGMT	001	JCP	B	150,000	29.79	13-Apr	10-Jul	6,000.00	4.0
B BUCK CAPITAL MGMT		JPM	S	20,000	38.37	n/a	20-Jul	non-brg	4.0
DC CAPITAL	044	JPM	S	50,000	37.30	n/a	20-Jul	2,500.00	5.0
TROUBH PART	067	JPM	B	50,000	37.32	n/a	20-Jul	2,500.00	5.0
BUCK CAPITAL MGMT	001	JWN	B	36,117	26.13	20-Feb	10-Jul	1,444.68	4.0
LATEFF MGMT	035	JWN	S	2,000	25.84	20-Feb	10-Jul	320.00	16.0
MATLIN PATTERSON	046	JWN	B	100,000	25.65	20-Feb	10-Jul	3,000.00	3.0
PILOT ROCK	028	JWN	B	90,809	24.96	20-Feb	10-Jul	3,632.36	4.0
PATTEN & PATTEN	067	KMB	B	3,200	57.11	23-Apr	27-Apr	160.00	5.0
KENNEDY CAPITAL	046	KPPC	B	400,000	5.21	n/a	n/a	12,000.00	3.0
LEVIN CAPITAL STRATEGIES	012	KPPC	B	20,000	5.15	n/a	n/a	600.00	3.0
BUCK CAPITAL MGMT	001	KSS	S	12,000	49.12	10-Jul	10-Jul	480.00	4.0

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⚡ BUCK CAPITAL MGMT		LEN	B	20,000	10.83	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		LM	S	35,000	27.92	25-Jun	21-Jul	non-brg	4.0
f MANNY I KORMAN	FID	LNCR	B	2000	25.22	n/a	21-Jul	0.00	0.0
PILOT ROCK	028	LNC	B	107,500	17.59	n/a	n/a	4,300.00	4.0
APEX CAPITAL MGMT.	091	LOW	S	100,000	21.69	12-May	18-May	4,000.00	4.0
CONIFER/ISF	025	LRN	B	4,434	19.59	n/a	n/a	221.70	5.0
BUCK CAPITAL MGMT	001	LVS	S	50,000	10.39	n/a	14-Jul	2,000.00	4.0
⚡ BUCK CAPITAL MGMT		LVS	S	10,000	10.20	n/a	14-Jul	non-brg	4.0
HOLLIS CAPITAL	033	MAN	B	5,000	45.92	n/a	n/a	250.00	5.0
⚡ BUCK CAPITAL MGMT		MCD	B	25,000	55.74	n/a	23-Jul	non-brg	1.0
⚡ BUCK CAPITAL MGMT		MDR	B	10,000	19.15	n/a	n/a	non-brg	4.0
CATAPULT	040	MHK	SS	35,000	42.08	n/a	n/a	1,750.00	5.0
RAMIUS CAP	040	MHP	C	27,525	32.09	n/a	n/a	1,101.00	4.0
BMO NESBITT BURNS	041	MMM	SS	25,000	66.50	23-Jul	23-Jul	1,250.00	5.0
f IAN L MILLER	FID	MMM	S	15	68.27	23-Jul	23-Jul	0.00	0.0
f MARK ADAM WEINTRAUB	FID	MMM	S	80	68.42	23-Jul	23-Jul	0.00	0.0
STRONG/MARK GRONET	030	MNI	S	20,000	1.26	n/a	n/a	200.00	1.0

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B BUCK CAPITAL MGMT		MPEL	S	100,000	5.30	n/a	14-Jul	non-brg	1.0
B BUCK CAPITAL MGMT		MS	S	40,000	28.53	11-May	23-Jul	non-brg	4.0
CAXTON PART	040	MS	B	40,000	28.03	11-May	23-Jul	1,400.00	3.5
BARCLEYS CAP (OLD LEHM)	041	M	B	125,000	13.44	n/a	10-Jul	5,000.00	4.0
PATTEN & PATTEN	067	NVS	S	2,600	44.19	n/a	n/a	130.00	5.0
CONIFER/ISF	025	OC	B	3,730	17.17	n/a	n/a	186.50	5.0
MOORE CAPITAL	036	OSK	SS	35,000	26.97	n/a	n/a	1,400.00	4.0
CAXTON PART	040	OXY	B	13,296	71.11	n/a	n/a	465.40	3.5
f IAN L MILLER	FID	PCAR	S	15	35.19	25-Mar	26-Jun	0.00	0.0
PATTEN & PATTEN	067	PG	S	1,150	55.38	5-Jun	5-Jun	57.50	5.0
B BUCK CAPITAL MGMT		PKG	S	20,000	20.05	21-Jul	21-Jul	non-brg	1.0
REICH AND TANG	067	PKI	B	2,000	17.99	n/a	n/a	100.00	5.0
B BUCK CAPITAL MGMT		PLCE	B	30,000	30.70	19-Mar	10-Jul	non-brg	4.0
REICH AND TANG	067	PLL	B	2,000	28.80	n/a	n/a	100.00	5.0
CAXTON PART	040	PM	B	16,619	45.03	n/a	n/a	581.68	3.5
B BUCK CAPITAL MGMT		POOL	C	50,000	21.51	n/a	n/a	non-brg	4.0

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f JOSEPH CIRO AMATURO	FID	PQ	S	10000	3.42	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		PSS	S	129,850	15.80	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		PVH	S	20,000	33.82	20-Apr	21-May	non-brg	4.0
CAXTON PART	040	QCOM	B	16,619	47.05	n/a	n/a	581.68	3.5
BALYASNY ASSET MGMT	044	RCII	B	25,000	19.71	n/a	n/a	1,250.00	5.0
B BUCK CAPITAL MGMT	001	RL	S	20,000	60.10	25-Jun	25-Jun	800.00	4.0
B BUCK CAPITAL MGMT		RL	S	10,000	61.11	25-Jun	25-Jun	non-brg	4.0
PILOT ROCK	028	RL	B	24,325	60.52	25-Jun	25-Jun	973.00	4.0
CAXTON PART	040	RTN	B	13,296	45.72	n/a	n/a	465.40	3.5
B BUCK CAPITAL MGMT		SII	B	10,000	25.90	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SKX	S	45,400	13.95	n/a	13-Mar	non-brg	1.5
B BUCK CAPITAL MGMT		SLB	B	10,000	55.41	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SPY	SS	82,400	96.84	n/a	n/a	non-brg	1.0
CATAPULT	040	SPY	B	9,000	97.57	n/a	n/a	360.00	4.0
f MARC PAUL LUCHANSKY	FID	SPY	B	500	96.90	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT	001	SSI	SS	10,000	12.32	n/a	10-Jul	400.00	4.0
ROYAL CAPITAL	039	SWY	B	128,191	18.17	n/a	n/a	6,409.55	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FRIESS MGMT	033	SYMC	B	146,400	17.49	n/a	3-Apr	5,856.00	4.0
f ANDREW SINCLAIR	FID	SZCUJ	B	45	1.15	n/a	n/a	0.00	0.0
REICH AND TANG	067	TBI	S	39,000	11.91	n/a	n/a	1,950.00	5.0
B BUCK CAPITAL MGMT		TEX	S	20,000	14.33	n/a	12-Jun	non-brg	1.0
PLATTE RIVER CAPITAL	240	TEX	B	15,000	14.08	n/a	12-Jun	600.00	4.0
BASIX	033	TIN	B	50,000	15.02	23-Jul	23-Jul	1,500.00	3.0
B BUCK CAPITAL MGMT		TIN	S	2,500	15.89	23-Jul	23-Jul	non-brg	1.0
CSFB GLOBAL PROPRIETARY	041	TIN	B	70,000	15.26	23-Jul	23-Jul	3,500.00	5.0
NWQ INVESTMENT MGMT CO	048	TIN	S	50,930	14.54	23-Jul	23-Jul	2,037.20	4.0
WASHINGTON ASSET	048	TIN	S	15,000	15.01	23-Jul	23-Jul	750.00	5.0
BUCK CAPITAL MGMT	001	TJX	S	20,000	35.94	10-Jul	10-Jul	800.00	4.0
M&I FUNDS	256	TJX	S	19,186	36.03	10-Jul	10-Jul	767.44	4.0
BUCK CAPITAL MGMT	001	TLB	SS	30,000	4.50	30-Jan	30-Jan	900.00	3.0
THIRD COAST CAPITAL	035	TLB	B	35,000	4.37	30-Jan	30-Jan	1,750.00	5.0
REICH AND TANG	067	TMO	S	25,000	45.83	n/a	n/a	1,250.00	5.0
HOLDEN CAPITAL MGMT	035	TROW	B	25,000	45.81	n/a	21-Jul	1,250.00	5.0
KEEFE BRUYETTE WOODS A	045	TROW	B	61,000	45.48	n/a	21-Jul	3,050.00	5.0
CONIFER/ISF	025	TXT	B	3,182	11.27	n/a	n/a	159.10	5.0
PATTEN & PATTEN	067	T	S	700	25.60	n/a	4-Jan	35.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		URBN	S	10,000	22.45	30-Jan	30-Jan	non-brg	4.0
TOKIO MARINE ASSET MGMT	045	VAR	B	10,700	34.74	n/a	n/a	428.00	4.0
f CHRISTOPHER ARTHUR K	FID	VIXHE	S	25	2.70	n/a	n/a	0.00	0.0
f JOHN CAREY MAGUIRE	FID	VIXIF	B	10	2.50	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	VMC	S	1,350	45.82	n/a	n/a	67.50	5.0
PATTEN & PATTEN	067	VXX	B	3,300	60.52	n/a	n/a	165.00	5.0
f FRANCIS MICHAEL MCCA	FID	WBC	S	300	19.89	n/a	27-Apr	0.00	0.0
ß BUCK CAPITAL MGMT		WFMI	C	50,000	23.75	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		WFT	B	10,000	18.80	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		WMS	C	28,757	36.69	n/a	n/a	non-brg	4.0
MILLENIUUM PARTNERS	028	WMT	B	43,000	49.19	11-May	6-Jul	1,720.00	4.0
ß BUCK CAPITAL MGMT		WRC	S	30,000	36.00	13-May	13-May	non-brg	1.0
MILLENIUUM PARTNERS	028	WY	S	20,000	33.15	n/a	20-Jul	800.00	4.0
RBC CAPITAL MARKETS	040	XOM	SS	100,000	70.19	n/a	n/a	4,000.00	4.0
ß BUCK CAPITAL MGMT		XRT	SS	275,000	30.36	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
B BUCK CAPITAL MGMT		XRT	SS	8,600	29.83	n/a	n/a	non-brg 1.0
TOTAL (Trade Date):							192,735.01	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	07/21	MILLENIU	028	IP	S	15,000	17.53	21-Jul	21-Jul	600.00 4.0
AO,CXL	07/21	MILLENIU	028	IP	S	15,000	17.53	21-Jul	21-Jul	750.00 5.0
AO,CRT	07/22	BUCK CAPITAL MGMT	001	LVS	S	15,300	10.02	n/a	14-Jul	459.00 3.0
AO,CXL	07/22	BUCK CAPITAL MGMT	001	LVS	S	15,300	10.02	n/a	14-Jul	612.00 4.0
AO,CRT	07/22	MILLENIU	028	TIN	B	20,000	14.92	23-Jul	23-Jul	800.00 4.0
AO,CXL	07/22	MILLENIU	028	TIN	B	20,000	14.92	23-Jul	23-Jul	1000.00 5.0
AO,CXL	07/21	MILLENIU	028	TIN	S	20,000	14.91	23-Jul	23-Jul	1000.00 5.0
AO,CRT	07/21	MILLENIU	028	TIN	S	20,000	14.91	23-Jul	23-Jul	800.00 4.0
TOTAL (AO, CXL, CRT) :										-703.00

TOTAL (Trade Date):	192,735.01
TOTAL (AO, CXL, CRT):	-703.00

TOTAL (RUN DATE) / NFS:	192,032.01
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MRI Securities with Trade Activity on 23-Jul.
CMG, MMM, TIN

MRI Securities without Trade Activity on 23-Jul.
NONE

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

T-Date = 46%

YTD = 20%

<u>Legend:</u>
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)