



# Daily Compliance Activity Report

Trade Date: 10/10/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HUNTER GLOBAL INVESTOR	067	AAPL	SS	20,000	95.31	n/a	n/a	800.00	4.0
LEDDY	035	AAPL	S	200	92.11	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	AEO	B	100,000	9.93	n/a	10-Oct	4,000.00	4.0
BUCK CAPITAL MGMT		AEO	S	7,450	10.00	n/a	10-Oct	non-brg	4.0
JP MORGAN VENTURES	046	AEO	SS	35,000	10.09	n/a	10-Oct	1,750.00	5.0
BUCK CAPITAL MGMT		AG	S	2,100	31.61	n/a	30-Jul	non-brg	4.0
BUCK CAPITAL MGMT		AIT	C	900	21.93	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		AMG	S	1,450	57.40	6-Oct	9-Oct	non-brg	4.0
BUCK CAPITAL MGMT		AMT	S	2,700	28.81	n/a	n/a	non-brg	4.0
MERRILL ASSET	032	ANF	B	11,000	25.94	7-Aug	10-Oct	495.00	4.5
BRENCOURT	028	AN	B	113,750	8.12	25-Jul	28-Jul	5,687.50	5.0
BUCK CAPITAL MGMT		AN	C	100,000	8.29	25-Jul	28-Jul	non-brg	4.0
BUCK CAPITAL MGMT		AN	C	100,000	8.61	25-Jul	28-Jul	non-brg	4.0
BUCK CAPITAL MGMT		AN	C	350,000	7.72	25-Jul	28-Jul	non-brg	4.0
BUCK CAPITAL MGMT		AOS	C	19,700	31.82	17-Jul	3-Oct	non-brg	4.0
BUCK CAPITAL MGMT		AOS	C	300	29.49	17-Jul	3-Oct	non-brg	4.0
SINCLAIR	031	APCKQ	S	5	0.05	n/a	n/a	0.00	0.0
EMP ERROR	099	APC	B	1,000	27.45	n/a	2-Oct	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
BUCK CAPITAL MGMT		APP	B	20,000	5.99	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT	001	ARO	S	60,000	25.51	n/a	10-Oct	2,400.00 4.0
BUCK CAPITAL MGMT		AVB	C	100	75.59	n/a	n/a	non-brg 4.0
MAGUIRE	039	BACAF	B	10	1.75	n/a	n/a	0.00 0.0
NATIONAL BK OF CAN	031	BAC	B	75,000	20.03	n/a	9-Oct	3,000.00 4.0
BUCK	015	BAC	SS	4,000	20.40	n/a	9-Oct	0.00 0.0
HUNTER GLOBAL INVESTOR	067	BAX	B	36,400	54.81	n/a	22-Apr	1,820.00 5.0
BUCK CAPITAL MGMT		BBBY	C	3,000	25.42	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		BBBY	SS	150,000	25.35	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		BBY	SS	50,000	25.41	n/a	27-Jul	non-brg 4.0
HUNTER GLOBAL INVESTOR	067	BCR	S	75,000	79.27	n/a	22-Apr	3,750.00 5.0
BUCK CAPITAL MGMT		BHI	S	1,200	35.22	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT	001	BIG	SS	20,000	22.36	29-May	9-Oct	800.00 4.0
BUCK CAPITAL MGMT		BKC	S	5,500	19.59	1-May	22-Aug	non-brg 4.0
BUCK CAPITAL MGMT	001	BKE	B	10,000	46.59	n/a	n/a	400.00 4.0
BUCK CAPITAL MGMT		BK	S	100	25.12	9-Oct	9-Oct	non-brg 4.0

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BUCK CAPITAL MGMT		BOBE	SS	20,000	23.20	n/a	n/a	non-brg 4.0
NATIONAL BK OF CAN	031	BOH	S	4,800	44.06	n/a	n/a	192.00 4.0
BUCK CAPITAL MGMT		BRE	C	200	36.11	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		BXP	C	200	68.89	n/a	n/a	non-brg 4.0
MILLER	025	BX	S	225	8.30	n/a	n/a	0.00 0.0
BUCK CAPITAL MGMT		CAM	S	1,800	24.89	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		CASY	SS	20,000	23.02	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		CAT	C	900	43.26	19-Sep	19-Sep	non-brg 4.0
BEAR STEARNS ASSET MGMT.	033	CBE	C	25,400	31.26	n/a	3-Oct	1,016.00 4.0
BUCK CAPITAL MGMT		CBL	C	600	10.43	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		CCI	S	3,200	18.70	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		CEC	SS	20,000	25.95	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		CEC	SS	20,000	25.99	n/a	n/a	non-brg 4.0
ROYCE TRADING	216	CEM	B	10,000	1.91	n/a	n/a	300.00 3.0
BUCK CAPITAL MGMT	001	CHS	S	100,000	3.65	8-Aug	10-Oct	3,000.00 3.0
BUCK CAPITAL MGMT		CHUX	C	30,000	5.10	n/a	n/a	non-brg 3.0

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BUCK CAPITAL MGMT		CHUX	C	4,500	5.67	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		CIT	S	3,800	4.70	n/a	15-Sep	non-brg	3.0
BUCK CAPITAL MGMT		CLX	SS	25,000	55.06	4-Aug	4-Aug	non-brg	4.0
CENTURION GLOBAL MGMT LL	041	CMCSA	B	15,000	14.58	n/a	4-Jan	450.00	3.0
BUCK CAPITAL MGMT		CMG	C	1,000	47.98	12-Sep	12-Sep	non-brg	4.0
COUGAR TRADING	044	CMG	B	2,000	48.85	12-Sep	12-Sep	100.00	5.0
OGORMAN	046	CMOBB	S	10	1.15	n/a	n/a	0.00	0.0
OGORMAN	046	CMOBV	B	10	0.40	n/a	n/a	0.00	0.0
BEAR STEARNS ASSET MGMT.	033	CNW	B	40,000	37.79	n/a	n/a	1,600.00	4.0
BUCK CAPITAL MGMT		COLM	SS	50,000	32.68	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT		CPKI	C	3,700	10.60	8-Oct	8-Oct	non-brg	4.0
BUCK CAPITAL MGMT		CPKI	SS	20,000	10.46	8-Oct	8-Oct	non-brg	4.0
BUCK CAPITAL MGMT		CPT	C	200	35.54	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		CRL	SS	40,000	44.43	n/a	n/a	non-brg	4.0
HUNTER GLOBAL INVESTOR	067	CSCO	B	200,000	16.50	n/a	22-Mar	8,000.00	4.0
BUCK CAPITAL MGMT		CUZ	C	400	17.66	n/a	n/a	non-brg	4.0
HIGHFIELDS CAP MGMT	039	CVS	S	250,000	28.60	n/a	n/a	10,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCUDDER HEDGE	034	CVS	S	3,000	30.14	n/a	n/a	150.00	5.0
DIAMONDBACK CAP MGMT	232	C	C	25,000	13.35	15-Sep	9-Oct	1,250.00	5.0
NATIONAL BK OF CAN	031	C	S	35,000	14.04	15-Sep	9-Oct	1,400.00	4.0
AMATURO	018	DAVKI	B	30	6.30	n/a	n/a	0.00	0.0
AMATURO	018	DAVWU	S	30	16.20	n/a	n/a	0.00	0.0
OGORMAN	046	DDM	B	500	30.05	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		DDR	C	300	15.31	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DDR	SS	10,000	14.49	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DDR	SS	23,000	15.93	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DECK	S	40,000	82.25	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DE	S	1,800	38.13	14-Aug	14-Aug	non-brg	4.0
CATAPULT	040	DE	S	9,000	34.87	14-Aug	14-Aug	450.00	5.0
MAGUIRE	039	DIAKV	B	15	1.28	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		DIA	C	2,200	83.06	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DIA	C	30,000	85.03	n/a	n/a	non-brg	2.0
KLEINHEINZ CAP PART	031	DIA	B	100,000	83.80	n/a	n/a	5,000.00	5.0
ß BUCK CAPITAL MGMT		DIN	C	12,300	10.46	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DIN	C	200	9.81	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	DIS	SS	20,000	22.33	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	DKS	SS	25,000	15.97	7-Oct	7-Oct	1,000.00	4.0
ß BUCK CAPITAL MGMT		DKS	S	76,300	16.88	7-Oct	7-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		DOU GR	SS	20,000	39.91	n/a	n/a	non-brg	8.0
IRIDIAN ASSET MGMT.	036	DRC	B	14,050	20.92	n/a	n/a	702.50	5.0
ß BUCK CAPITAL MGMT		DRE	C	500	14.35	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DRI	S	500	20.59	26-Aug	18-Sep	non-brg	4.0
ß BUCK CAPITAL MGMT		DSW	S	4,500	10.73	7-Oct	7-Oct	non-brg	4.0
BUCK CAPITAL MGMT	001	DV	SS	20,000	43.19	n/a	n/a	800.00	4.0
OGORMAN	046	DXD	S	300	104.00	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		EAT	C	100,000	11.57	n/a	24-Apr	non-brg	4.0
ß BUCK CAPITAL MGMT		EDU	SS	50,000	51.72	n/a	n/a	non-brg	4.0
EFSTATHIOU	044	EFR	S	1,000	8.06	n/a	n/a	0.00	0.0
COLUMBIA PARTNERS	028	ETH	SS	14,536	22.35	n/a	n/a	581.44	4.0
ß BUCK CAPITAL MGMT		ETN	S	1,200	46.45	3-Oct	3-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		EXH	S	2,037	20.83	28-Aug	2-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		FCE/A	C	19,700	19.35	n/a	n/a	non-brg	4.0

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⌘ BUCK CAPITAL MGMT		FCE/A	C	300	20.04	n/a	n/a	non-brg	4.0
PILOT ADV	038	FDO	B	8,000	23.33	23-Jul	9-Oct	320.00	4.0
MERRILL ASSET	032	FHN	S	2,000	8.01	n/a	n/a	80.00	4.0
ADAGE CAPITAL MGMT	030	FL	B	100,000	12.47	7-Oct	7-Oct	4,000.00	4.0
BUCK CAPITAL MGMT	001	FL	S	150,000	12.58	7-Oct	7-Oct	6,000.00	4.0
SOROS	036	FL	B	160,000	12.62	7-Oct	7-Oct	6,400.00	4.0
⌘ BUCK CAPITAL MGMT		FOR	S	2,632	9.50	n/a	3-Oct	non-brg	4.0
⌘ BUCK CAPITAL MGMT		FOSL	B	30,000	21.19	n/a	1-Oct	non-brg	4.0
⌘ BUCK CAPITAL MGMT		FOSL	S	3,000	20.92	n/a	1-Oct	non-brg	4.0
BEAR STEARNS ASSET MGMT.	033	FO	C	20,000	42.35	n/a	n/a	800.00	4.0
⌘ BUCK CAPITAL MGMT		FRT	C	100	64.05	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		FRX	S	2,900	21.16	3-Sep	10-Oct	non-brg	4.0
TRELLUS PARTNERS LP	028	F	C	356,000	2.19	8-Oct	8-Oct	3,560.00	1.0
LEDDY	035	F	C	1,200	2.15	8-Oct	8-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	GCO	B	10,000	26.13	n/a	10-Jan	400.00	4.0
⌘ BUCK CAPITAL MGMT		GES+KF	SS	1,000	2.06	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	GES	B	60,000	26.81	n/a	n/a	2,400.00	4.0
⌘ BUCK CAPITAL MGMT		GES	S	1,200	25.38	n/a	n/a	non-brg	4.0

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SOROS	036	GE	B	485,000	19.12	n/a	n/a	19,400.00	4.0
LEDDY	035	GE	B	600	19.73	n/a	n/a	0.00	0.0
EFSTATHIOU	044	GE	B	500	20.56	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		GIII	B	5,000	13.73	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		GIII	S	20,527	14.13	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		GIL	S	5,900	19.43	8-Sep	8-Oct	non-brg	4.0
SINCLAIR	031	GLDJM	B	50	2.10	n/a	n/a	0.00	0.0
SINCLAIR	031	GLDJM	S	50	1.05	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		GLW	S	9,900	12.10	n/a	23-Sep	non-brg	4.0
ß BUCK CAPITAL MGMT		GM+JM	C	10	0.05	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		GM+JM	C	150	0.07	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		GM+JW	C	47	0.05	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		GM+JW	C	700	0.01	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		GM+VM	S	10	6.05	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		GM+VM	S	150	6.00	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		GM+VW	S	47	7.04	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		GM+VW	S	700	7.01	n/a	n/a	non-brg	300.0
HART	056	GMWJ	S	10	3.50	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	GPI	B	25,000	12.88	10-Jun	30-Jul	1,250.00	5.0



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⌘ BUCK CAPITAL MGMT		GPI	C	92,200	12.46	10-Jun	30-Jul	non-brg	4.0
TRELLUS PARTNERS LP	028	GPI	C	200,000	12.00	10-Jun	30-Jul	10,000.00	5.0
TRUSTCO/SUNTRUST	040	GPI	B	20,600	11.67	10-Jun	30-Jul	659.20	3.2
⌘ BUCK CAPITAL MGMT		GQU+KF	SS	1,500	2.00	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		GRT	C	34,500	4.81	n/a	n/a	non-brg	3.0
⌘ BUCK CAPITAL MGMT		GRT	C	500	4.59	n/a	n/a	non-brg	3.0
⌘ BUCK CAPITAL MGMT		GS	B	10,000	88.90	15-Sep	24-Sep	non-brg	1.0
⌘ BUCK CAPITAL MGMT		GS	S	600	89.90	15-Sep	24-Sep	non-brg	4.0
NATIONAL BK OF CAN	031	GS	B	5,000	93.69	15-Sep	24-Sep	200.00	4.0
NATIONAL BK OF CAN	031	GS	S	2,500	94.02	15-Sep	24-Sep	100.00	4.0
BUCK	015	GS	SS	500	86.01	15-Sep	24-Sep	0.00	0.0
LEDDY	035	GS	B	100	92.77	15-Sep	24-Sep	0.00	0.0
⌘ BUCK CAPITAL MGMT		GWV	C	32,400	74.30	3-Oct	3-Oct	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GWV	C	600	71.06	3-Oct	3-Oct	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GYMB	B	20,000	27.07	11-Jul	10-Oct	non-brg	4.0
HOLDEN CAPITAL MGMT	035	HBI	B	17,500	16.08	n/a	n/a	875.00	5.0
HOLDEN CAPITAL MGMT	035	HBI	C	17,500	16.08	n/a	n/a	875.00	5.0
N STRATTON	014	HEMGF	B	500	1.45	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		HIBB	SS	50,000	16.76	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		HOT	SS	50,000	19.59	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		HPY	SS	45,000	19.46	n/a	n/a	non-brg	4.0

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ß BUCK CAPITAL MGMT		HP	C	49,200	24.90	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		HP	C	800	25.97	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		HRS	S	1,300	33.11	3-Oct	3-Oct	non-brg	4.0
CENTURION GLOBAL MGMT LL	041	IBM	S	7,500	85.94	n/a	n/a	225.00	3.0
PILOT ADV	038	IBM	B	3,500	88.26	n/a	n/a	140.00	4.0
ß BUCK CAPITAL MGMT		IJR	C	1,700	43.53	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		IJR	C	45,000	45.55	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		IJS	C	2,900	47.10	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		IJS	C	30,000	49.65	n/a	n/a	non-brg	2.0
MERRILL ASSET	032	ITG	S	49,800	21.63	n/a	n/a	2,241.00	4.5
FRONTPOINT CHRIS C	041	ITW	B	13,000	31.33	12-Aug	12-Aug	520.00	4.0
ß BUCK CAPITAL MGMT		ITX SM	SS	50,000	35.28	n/a	n/a	non-brg	7.1
ß BUCK CAPITAL MGMT		IVZ	S	6,000	13.05	6-Oct	9-Oct	non-brg	4.0
EFSTATHIOU	044	IVZ	B	500	13.97	6-Oct	9-Oct	0.00	0.0
ß BUCK CAPITAL MGMT		IWM	C	2,200	48.49	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		IWM	C	45,000	50.46	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		IWO	C	4,000	50.52	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		IWO	C	45,000	52.52	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		IYR	C	400	43.35	n/a	n/a	non-brg	4.0

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ß BUCK CAPITAL MGMT		JCG+VD	SS	1,000	1.85	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		JCG+WD	SS	2,000	3.60	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		JCG	SS	213,000	20.44	n/a	17-Sep	non-brg	2.0
ß BUCK CAPITAL MGMT		JCI	C	1,000	21.93	3-Oct	3-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		JCI	C	64,200	21.57	3-Oct	3-Oct	non-brg	4.0
BUCK CAPITAL MGMT	001	JCP	B	50,000	23.47	n/a	10-Oct	2,000.00	4.0
HUNTER GLOBAL INVESTOR	067	JNJ	B	36,000	55.72	n/a	22-Apr	1,800.00	5.0
ß BUCK CAPITAL MGMT		JOSB	S	100,000	26.30	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		JOSB	S	100,200	26.13	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		JOSB	S	60,000	26.62	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		JOSB	S	64,800	26.53	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		JWN	C	116,000	18.54	8-Oct	10-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		KEG	S	11,400	5.70	n/a	2-Oct	non-brg	4.0
PZENA INV ADV	044	KFT	S	300	26.68	n/a	n/a	10.50	3.5
BUCK CAPITAL MGMT	001	KIM	S	12,000	25.77	n/a	n/a	480.00	4.0
ß BUCK CAPITAL MGMT		KIM	C	300	25.56	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		KIM	SS	10,000	24.35	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		KMT	C	34,400	20.20	18-Sep	18-Sep	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		KMT	C	600	18.84	18-Sep	18-Sep	non-brg	4.0
MS PRINCIPAL STRATEGIES	041	KOG	S	232,300	0.65	n/a	n/a	4,646.00	2.0
BUCK CAPITAL MGMT	001	KSS	B	30,000	32.06	n/a	10-Oct	1,200.00	4.0
BUCK CAPITAL MGMT		KSS	S	300	32.57	n/a	10-Oct	non-brg	4.0
BUCK CAPITAL MGMT		KTQ+LM	SS	410	5.95	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		KTQ+XM	B	410	13.43	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		LEG	C	1,300	17.07	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		LIZ+JV	SS	1,000	0.70	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT		LIZ+KV	SS	1,000	1.41	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		LIZ	S	100,000	12.11	n/a	8-Oct	non-brg	4.0
HUNTER GLOBAL INVESTOR	067	LO	B	36,000	56.29	n/a	n/a	1,800.00	5.0
BUCK CAPITAL MGMT		LPX	S	8,600	4.55	n/a	11-Sep	non-brg	3.0
SCOPUS FUND	041	LPX	B	100,000	4.69	n/a	11-Sep	5,000.00	5.0
BUCK CAPITAL MGMT		LTD	SS	100,000	12.31	9-Oct	10-Oct	non-brg	4.0
BUCK CAPITAL MGMT		MAC	C	100	40.39	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		MAR	SS	30,000	17.08	n/a	n/a	non-brg	4.0
SOLARIS INV MGMT	029	MAS	S	50,000	13.26	n/a	n/a	2,500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HUNTER GLOBAL INVESTOR	067	MA	B	20,500	145.95	n/a	19-Sep	1,025.00	5.0
ß BUCK CAPITAL MGMT		MBFG IM	S	8,107	18.84	n/a	n/a	non-brg	3.8
ß BUCK CAPITAL MGMT		MC FP	SS	100,000	64.80	n/a	n/a	non-brg	13.0
FRONTPOINT CHRIS C	041	MCD	SS	5,200	49.62	9-Sep	25-Sep	208.00	4.0
ß BUCK CAPITAL MGMT		MDTL	C	5,800	1.25	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		MDTL	C	7,900	1.05	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		MDY	C	12,000	97.40	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		MDY	C	300	97.46	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		MER	S	4,000	13.83	24-Jun	10-Oct	non-brg	4.0
BUCK	015	MET	SS	500	29.40	n/a	n/a	0.00	0.0
PRINCIPLE CAPITAL	040	MHK	SS	24,400	49.12	n/a	n/a	976.00	4.0
ß BUCK CAPITAL MGMT		MIR	S	3,142	12.70	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		MSM	S	700	36.35	n/a	n/a	non-brg	4.0
KERN	050	MSVH	B	20	0.85	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		MS	B	30,000	9.46	15-Sep	22-Sep	non-brg	1.0
ß BUCK CAPITAL MGMT		MS	S	5,200	8.86	15-Sep	22-Sep	non-brg	4.0
NATIONAL BK OF CAN	031	MS	S	5,000	10.70	15-Sep	22-Sep	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OGORMAN	046	MS	SS	3,000	8.22	15-Sep	22-Sep	0.00	0.0
LISTED ERR	099	MS	B	2,500	10.79	15-Sep	22-Sep	0.00	0.0
LISTED ERR	099	MS	S	2,500	10.77	15-Sep	22-Sep	0.00	0.0
LEDDY	035	MWO	B	1,400	5.35	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		MW	SS	150,000	16.61	n/a	n/a	non-brg	4.0
SOLARIS INV MGMT	029	MYL	S	130,000	6.77	30-May	10-Oct	6,500.00	5.0
BUCK CAPITAL MGMT	001	M	S	198,400	10.21	12-Aug	10-Oct	7,936.00	4.0
SLS CAPITAL LLC	224	M	B	300,000	10.44	12-Aug	10-Oct	11,500.00	3.5
THE JAY GOLDMAN	034	M	B	81,000	10.19	12-Aug	10-Oct	3,240.00	4.0
NATIONAL BK OF CAN	031	NCC	S	100,000	2.05	n/a	n/a	2,000.00	2.0
⌘ BUCK CAPITAL MGMT		OIH	C	300	91.45	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		OIH	C	9,700	88.05	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT	001	OXM	SS	50,000	15.29	n/a	n/a	2,000.00	4.0
MILLER	025	PBR	S	100	26.06	n/a	n/a	0.00	0.0
MILLER	025	PCAR	B	15	29.36	3-Oct	3-Oct	0.00	0.0
LEDDY	035	PCL	B	500	37.33	n/a	9-Oct	0.00	0.0
⌘ BUCK CAPITAL MGMT		PEI	C	22,600	9.77	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PEI	C	400	9.29	n/a	n/a	non-brg	4.0
AMBER CAPITAL	046	PETM	B	250,000	20.05	n/a	n/a	10,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		PFCB	C	1,400	17.95	n/a	6-Aug	non-brg	4.0
ß BUCK CAPITAL MGMT		PFCB	SS	65,000	17.92	n/a	6-Aug	non-brg	4.0
HOLDEN CAPITAL MGMT	035	PII	B	7,000	35.09	n/a	n/a	350.00	5.0
HOLDEN CAPITAL MGMT	035	PII	C	3,000	35.09	n/a	n/a	150.00	5.0
ß BUCK CAPITAL MGMT		PKG	S	2,800	18.20	11-Sep	22-Sep	non-brg	4.0
ß BUCK CAPITAL MGMT		PLCE	B	20,000	30.79	21-Aug	10-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		POOL	C	1,100	17.29	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		POOL	SS	50,000	17.13	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		PSS+KC	SS	2,000	1.37	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		PVH+JF	SS	1,000	1.30	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		PVH+KG	SS	1,000	1.30	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		PVH	S	2,400	28.87	8-Oct	8-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		QZS+MW	C	9	2.65	n/a	n/a	non-brg	300.0
IRIDIAN ASSET MGMT.	036	RDC	S	14,940	17.17	n/a	n/a	747.00	5.0
ß BUCK CAPITAL MGMT		REG	C	200	44.81	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		RIG	B	1,000	70.37	n/a	n/a	non-brg	1.0
MILLER	025	RIMM	B	10	55.45	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	RL	SS	25,000	48.74	n/a	8-Oct	1,000.00	4.0
ß BUCK CAPITAL MGMT		RL	SS	115,000	48.42	n/a	8-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		RTH	C	140,000	74.88	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		RTH	SS	135,800	70.38	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		RTH	SS	140,000	69.21	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		RTH	SS	144,900	66.82	n/a	n/a	non-brg	2.0
NOMURA CAPITAL	045	RT	B	20,000	3.00	n/a	n/a	600.00	3.0
ß BUCK CAPITAL MGMT		SBAC	S	5,400	13.28	n/a	n/a	non-brg	4.0
MCCARTAN	028	SDS	S	100	121.31	n/a	n/a	0.00	0.0
OGORMAN	046	SDS	S	200	123.00	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SHPGY	S	1,200	37.79	21-May	10-Oct	non-brg	4.0
NATIONAL BK OF CAN	031	SIVB	S	10,000	45.95	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	SKX	B	30,000	13.15	n/a	13-Mar	1,200.00	4.0
LEDDY	035	SLB	B	300	58.07	n/a	n/a	0.00	0.0
PERRY PARTNERS	041	SNDK	S	100,000	15.65	n/a	n/a	3,000.00	3.0
ß BUCK CAPITAL MGMT		SONC	SS	20,000	11.20	n/a	n/a	non-brg	4.0
KAICHER	064	SPNG	S	63,337	0.02	n/a	n/a	0.00	0.0
KNOTT PARTNERS	044	SSI	B	25,000	9.76	n/a	10-Oct	750.00	3.0



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LUCHANSKY1	036	SSO	S	500	26.52	n/a	n/a	0.00	0.0
OGORMAN	046	SSO	B	400	26.08	n/a	n/a	0.00	0.0
KERN	050	SSO	B	1,000	29.54	n/a	n/a	0.00	0.0
GAULT	063	SSO	B	3,000	27.02	n/a	n/a	0.00	0.0
DEMARTINI	065	SSO	B	500	26.07	n/a	n/a	0.00	0.0
BUCK	015	STI	C	500	34.59	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SUP	C	2,600	14.12	25-Jul	8-Aug	non-brg	4.0
MILLRACE FUND LP	028	SUP	B	15,000	13.24	25-Jul	8-Aug	600.00	4.0
TRELLUS PARTNERS LP	028	SUP	C	50,000	13.95	25-Jul	8-Aug	2,500.00	5.0
SINCLAIR	031	SWGKA	S	20	1.60	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SWN	B	3,000	21.26	n/a	2-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		SWSI	C	14,800	14.50	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SWSI	C	200	13.83	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SYI	SS	20,000	23.79	n/a	24-Apr	non-brg	4.0
SINCLAIR	031	SZCXB	B	20	5.40	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		TCO	C	200	32.79	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	THI	SS	20,000	23.31	n/a	24-Apr	800.00	4.0
ß BUCK CAPITAL MGMT		THI	C	38,900	23.42	n/a	24-Apr	non-brg	4.0
ß BUCK CAPITAL MGMT		THI	C	600	23.72	n/a	24-Apr	non-brg	4.0
PRINCIPLE CAPITAL	040	TIF	SS	39,200	28.42	n/a	10-Oct	1,176.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		TJX+JE	SS	1,000	0.80	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT	001	TJX	B	100,000	26.54	11-Aug	10-Oct	4,000.00	4.0
BUCK CAPITAL MGMT		TJX	B	100,000	24.35	11-Aug	10-Oct	non-brg	2.0
BUCK CAPITAL MGMT		TJX	B	50,000	25.90	11-Aug	10-Oct	non-brg	4.0
HUNTER GLOBAL INVESTOR	067	TMO	B	50,000	40.07	n/a	n/a	2,500.00	5.0
BUCK CAPITAL MGMT	001	TPX	SS	50,000	8.39	n/a	n/a	2,000.00	4.0
RAIL-SPLITTER	031	TROW	SS	27,300	39.27	19-Sep	9-Oct	1,365.00	5.0
OGORMAN	046	TROW	C	300	35.63	19-Sep	9-Oct	0.00	0.0
BUCK CAPITAL MGMT		TSCO LN	SS	100,000	5.87	n/a	n/a	non-brg	1.2
BUCK CAPITAL MGMT		TSCO	SS	30,000	34.59	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	TWB	B	40,000	8.27	n/a	1-Oct	1,600.00	4.0
BUCK CAPITAL MGMT		TWTC	S	10,000	5.96	n/a	4-Jan	non-brg	4.0
BUCK CAPITAL MGMT		UDR	C	500	17.56	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		URBN	B	90,000	22.84	14-Aug	1-Oct	non-brg	4.0
BUCK CAPITAL MGMT		URBN	S	400	22.55	14-Aug	1-Oct	non-brg	4.0
BUCK CAPITAL MGMT		URQ+KX	SS	3,000	2.45	n/a	n/a	non-brg	300.0
DECADE CAPITAL PARTNERS	040	USB	B	25,000	27.94	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DECADE CAPITAL PARTNERS	040	USB	S	25,000	30.00	n/a	n/a	1,250.00	5.0
WHEELER	008	UXI	B	4,000	24.90	n/a	n/a	0.00	0.0
LEDDY	035	UYG	B	1,200	8.20	n/a	n/a	0.00	0.0
OGORMAN	046	UYG	B	3,000	9.20	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		VC	S	27,300	1.07	n/a	31-Jul	non-brg	3.0
JMP ASSET MGMT	210	VLCM	B	5,700	11.99	n/a	n/a	285.00	5.0
⌘ BUCK CAPITAL MGMT		VOW GR	SS	10,000	425.67	n/a	n/a	non-brg	85.1
⌘ BUCK CAPITAL MGMT		VZ	C	2,500	25.50	n/a	4-Jan	non-brg	4.0
JMP ASSET MGMT	210	WAG	B	3,100	22.49	n/a	n/a	155.00	5.0
CAXTON PART	040	WFC	B	68,341	27.52	n/a	n/a	2,391.94	3.5
ROTHSCHILD ASSET	040	WMI	B	5,209	24.89	n/a	n/a	234.42	4.5
⌘ BUCK CAPITAL MGMT		WMT+KX	SS	1,000	2.76	n/a	n/a	non-brg	150.0
BUCK CAPITAL MGMT	001	WMT	B	150,000	51.80	10-Oct	10-Oct	6,000.00	4.0
⌘ BUCK CAPITAL MGMT		WMT	B	100,000	50.03	10-Oct	10-Oct	non-brg	3.0
CAXTON PART	040	WMT	B	68,341	49.93	10-Oct	10-Oct	2,391.94	3.5
OGORMAN	046	WMT	C	500	51.56	10-Oct	10-Oct	0.00	0.0
⌘ BUCK CAPITAL MGMT		WRC	B	20,000	29.85	8-Oct	8-Oct	non-brg	4.0
⌘ BUCK CAPITAL MGMT		WRI	C	400	23.93	n/a	n/a	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
ß BUCK CAPITAL MGMT		XLF	C	4,300	13.73	n/a	n/a	non-brg 4.0
ß BUCK CAPITAL MGMT		XRT+WT	SS	3,000	1.30	n/a	n/a	non-brg 300.0
ß BUCK CAPITAL MGMT		XRT	C	144,000	23.28	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		XRT	C	25,200	23.03	n/a	n/a	non-brg 4.0
ß BUCK CAPITAL MGMT		XRT	C	440,000	24.56	n/a	n/a	non-brg 2.0
ß BUCK CAPITAL MGMT		XRT	SS	300,000	22.50	n/a	n/a	non-brg 2.0
ß BUCK CAPITAL MGMT		XRT	SS	435,400	23.00	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		XRT	SS	438,700	22.44	n/a	n/a	non-brg 2.0
ß BUCK CAPITAL MGMT		XRT	SS	450,900	21.83	n/a	n/a	non-brg 2.0
ß BUCK CAPITAL MGMT		ZJQ+KW	SS	2,000	1.26	n/a	n/a	non-brg 300.0
TOTAL (Trade Date) :							225,857.44	

# Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/09	CHRISTENSE	022	APC	S	1,000	31.35	n/a	2-Oct	0.00 0.0
AO,CRT	10/09	EMP ERROR	098	APC	S	1,000	31.35	n/a	2-Oct	0.00 0.0
AO,CRT	10/09	EPOCH INV MGMT	030	BEN	B	510	66.04	9-Oct	9-Oct	20.40 4.0
AO,CXL	10/09	EPOCH INV MGMT	030	BEN	B	510	66.04	9-Oct	9-Oct	20.40 4.0
AO,CXL	10/09	BUCK CAPITAL MGMT	001	CHS	S	50,000	4.04	8-Aug	10-Oct	2000.00 4.0
AO,CRT	10/09	BUCK CAPITAL MGMT	001	CHS	S	50,000	4.04	8-Aug	10-Oct	1500.00 3.0
AO,	10/09	HIGHBRIDGE/MS OLDS	041	DAI	SS	45,300	33.47	n/a	n/a	1812.00 4.0
AO,	10/09	MKT MAKER	099	DISH	S	100	18.57	n/a	4-Jan	0.00 0.0
AO,CXL	10/09	BULL PATH CAPITAL	044	DRI	S	23,516	22.15	26-Aug	18-Sep	1175.80 5.0
AO,CRT	10/09	BULL PATH CAPITAL	044	DRI	S	27,800	22.15	26-Aug	18-Sep	1390.00 5.0
AO,	10/09	MKT MAKER	099	ENDP	S	105	16.42	1-Aug	10-Oct	0.00 0.0
AO,	10/09	MKT MAKER	099	GYMB	S	200	28.95	11-Jul	10-Oct	0.00 0.0
AO,	10/09	HIGHBRIDGE/MS OLDS	041	JCI	SS	85,516	24.48	3-Oct	3-Oct	3420.64 4.0
AO,	10/09	MKT MAKER	099	JNPR	S	100	17.77	n/a	22-Mar	0.00 0.0
AO,CXL	10/09	FRIESS MGMT	033	JNPR	S	10,600	17.41	n/a	22-Mar	424.00 4.0
AO,CRT	10/09	FRIESS MGMT	033	JNPR	S	10,600	17.41	n/a	22-Mar	424.00 4.0
AO,	10/08	BUCK CAPITAL MGMT	001	M	S	100	13.31	12-Aug	10-Oct	4.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/08	BUCK CAPITAL MGMT	001	M	S	59,900	13.31	12-Aug	10-Oct	2396.00 4.0
AO,CXL	10/08	BUCK CAPITAL MGMT	001	M	S	60,000	13.31	12-Aug	10-Oct	2400.00 4.0
AO,	10/09	THE BOSTON COMPANY	098	ROST	B	30,700	29.93	n/a	n/a	1228.00 4.0
AO,CRT	10/09	LUCHANSKY1	036	SSO	S	500	34.67	n/a	n/a	0.00 0.0
AO,CXL	10/09	LUCHANSKY1	036	SSO	S	500	34.67	n/a	n/a	0.00 0.0
AO,	10/09	BAIRD INVESTMENT	031	SWN	S	9,650	24.41	n/a	2-Oct	482.50 5.0
AO,	10/09	MKT MAKER	099	TWTC	S	100	7.47	n/a	4-Jan	0.00 0.0
AO,	10/09	MKT MAKER	099	URBN	S	200	24.42	14-Aug	1-Oct	0.00 0.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>6,657.34</b>
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TOTAL (Trade Date) :	225,857.44
TOTAL (AO, CXL, CRT) :	6,657.34

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>232,514.78</b>
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MRI Securities with Trade Activity on 10-Oct. WMT
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MRI Securities without Trade Activity on 10-Oct.

AVP, GM, PG

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

T-Date = 15%

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**