



Daily Compliance Activity Report

Trade Date: 05/04/2010

Potential ANALYST TRADE Violations: 0

Watch List **ACTIVITY ALERT: 1**

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. |
|-------------------|-----|--------|-----|--------|--------|-----|----------|--------------|
| BUCK CAPITAL MGMT | | AAI | B | 4,800 | 5.26 | n/a | n/a | non-brg 3.0 |
| BUCK CAPITAL MGMT | | AAPL | B | 5,000 | 258.16 | n/a | n/a | non-brg 0.8 |
| BUCK CAPITAL MGMT | | AAPL | B | 775 | 258.72 | n/a | n/a | non-brg 2.0 |
| BUCK CAPITAL MGMT | | ABFS | B | 1,300 | 29.98 | n/a | n/a | non-brg 4.0 |
| BUCK CAPITAL MGMT | | ABG | B | 2,856 | 15.26 | n/a | 4-May | non-brg 2.0 |
| NEUBERGER BERMAN | 036 | ACC | B | 2,900 | 28.70 | n/a | n/a | 116.00 4.0 |
| ROSEDALE CAPITAL | 046 | ACI | S | 30,000 | 25.56 | n/a | n/a | 1,500.00 5.0 |
| BUCK CAPITAL MGMT | | ADM | B | 1,300 | 27.00 | n/a | 4-May | non-brg 4.0 |
| BUCK CAPITAL MGMT | | AEO | B | 5,309 | 16.64 | n/a | 3-May | non-brg 2.0 |
| BUCK CAPITAL MGMT | | AEO | B | 5,400 | 16.68 | n/a | 3-May | non-brg 4.0 |
| EXIS CAPITAL | 044 | AEO | B | 20,000 | 16.65 | n/a | 3-May | 1,000.00 5.0 |
| NEUBERGER BERMAN | 036 | AINV | B | 6,900 | 12.19 | n/a | n/a | 276.00 4.0 |
| NEUBERGER BERMAN | 036 | AMB | B | 3,000 | 28.19 | n/a | n/a | 120.00 4.0 |
| RAINIER INV MGMT | 035 | AMT | S | 94,300 | 40.48 | n/a | n/a | 3,772.00 4.0 |
| BUCK CAPITAL MGMT | | ANF | B | 10,000 | 44.03 | n/a | 3-May | non-brg 4.0 |
| BUCK CAPITAL MGMT | | ANF | B | 20,000 | 42.85 | n/a | 3-May | non-brg 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-----------------------|-----|--------|-----|---------|--------|-----|----------|-------------|-----|
| ⌘ BUCK CAPITAL MGMT | | ANF | B | 3,445 | 43.36 | n/a | 3-May | non-brg | 2.0 |
| MILLENIUM KOZLOW | 028 | ANF | B | 4,000 | 43.41 | n/a | 3-May | 160.00 | 4.0 |
| APEX CAPITAL MGMT. | 261 | ANN | C | 94,800 | 24.57 | n/a | n/a | 3,792.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | ANN | B | 50,000 | 23.88 | n/a | n/a | 2,000.00 | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | ANN | B | 999 | 24.61 | n/a | n/a | non-brg | 2.0 |
| ⌘ BUCK CAPITAL MGMT | | AN | B | 2,500 | 20.12 | n/a | 23-Apr | non-brg | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | AN | B | 847 | 20.28 | n/a | 23-Apr | non-brg | 2.0 |
| ⌘ BUCK CAPITAL MGMT | | APC | B | 800 | 63.85 | n/a | 4-May | non-brg | 4.0 |
| f HARALAMBOS EFSTATHI | FID | ARM | B | 700 | 15.96 | n/a | n/a | 0.00 | 0.0 |
| f JOSEPH CIRO AMATURO | FID | ARM | B | 2500 | 15.66 | n/a | n/a | 0.00 | 0.0 |
| ⌘ BUCK CAPITAL MGMT | | ARO | B | 34,400 | 28.99 | n/a | 3-May | non-brg | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | ARO | B | 9,446 | 29.31 | n/a | 3-May | non-brg | 2.0 |
| ⌘ BUCK CAPITAL MGMT | | ARO | B | 90,000 | 29.24 | n/a | 3-May | non-brg | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | ATVI | B | 125,000 | 10.93 | n/a | n/a | non-brg | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | ATVI | B | 2,900 | 11.01 | n/a | n/a | non-brg | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | ATVI | B | 3,965 | 10.88 | n/a | n/a | non-brg | 2.0 |
| NEUBERGER BERMAN | 036 | AVB | B | 1,000 | 108.57 | n/a | n/a | 40.00 | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | AVP | B | 1,000 | 31.09 | n/a | 3-May | non-brg | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | AVP | B | 3,239 | 30.94 | n/a | 3-May | non-brg | 2.0 |
| ⌘ BUCK CAPITAL MGMT | | AVY | B | 1,300 | 38.45 | n/a | 28-Apr | non-brg | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | AXL | B | 4,700 | 10.66 | n/a | 3-May | non-brg | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|------------------------|-----|--------|-----|--------|--------|-----|----------|--------------|-----|
| SAXON WOODS ADVISORS | 242 | BBW | S | 14,900 | 9.36 | n/a | n/a | 596.00 | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | BBY | B | 1,745 | 44.40 | n/a | n/a | non-brg | 2.0 |
| ⚡ BUCK CAPITAL MGMT | | BBY | B | 20,000 | 44.45 | n/a | n/a | non-brg | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | BEBE | B | 454 | 8.13 | n/a | n/a | non-brg | 2.0 |
| EXIS CAPITAL | 044 | BEBE | B | 30,000 | 8.10 | n/a | n/a | 1,500.00 | 5.0 |
| f JONATHAN RICHARD HAR | FID | BEE | B | 115 | 6.67 | n/a | n/a | 0.00 | 0.0 |
| f JOSEPH CIRO AMATURO | FID | BEE | B | 1000 | 6.67 | n/a | n/a | 0.00 | 0.0 |
| ⚡ BUCK CAPITAL MGMT | | BHI | B | 1,000 | 48.68 | n/a | n/a | non-brg | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | BID | B | 249 | 34.08 | n/a | n/a | non-brg | 2.0 |
| ⚡ BUCK CAPITAL MGMT | | BJ | SS | 265 | 38.27 | n/a | n/a | non-brg | 2.0 |
| f ALEXANDRA ELISE ZOLI | FID | BKRS | S | 2000 | 2.70 | n/a | n/a | 0.00 | 0.0 |
| f JOHN MICHAEL ZOLIDIS | FID | BKRS | S | 5000 | 2.55 | n/a | n/a | 0.00 | 0.0 |
| f JOHN MICHAEL ZOLIDIS | FID | BKRS | S | 5293 | 2.52 | n/a | n/a | 0.00 | 0.0 |
| ⚡ BUCK CAPITAL MGMT | | BLK | B | 400 | 181.54 | n/a | n/a | non-brg | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | BONT | B | 6,896 | 17.45 | n/a | n/a | non-brg | 2.0 |
| f KAREN F LEDDY | FID | BP | B | 200 | 50.76 | n/a | n/a | 0.00 | 0.0 |
| ⚡ BUCK CAPITAL MGMT | | BX | B | 1,200 | 13.82 | n/a | n/a | non-brg | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | BX | B | 11,200 | 13.82 | n/a | n/a | non-brg | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|------------|----------|------------|--------------|------------|------------|-------------|------------|
| ß BUCK CAPITAL MGMT | | BX | B | 300 | 13.82 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | BX | B | 400 | 13.82 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | BX | B | 900 | 13.82 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | BYD | SS | 1,834 | 13.46 | n/a | n/a | non-brg | 2.0 |
| ß BUCK CAPITAL MGMT | | BYI | B | 1,155 | 45.53 | n/a | n/a | non-brg | 2.0 |
| ß BUCK CAPITAL MGMT | | CAB | SS | 796 | 19.02 | n/a | n/a | non-brg | 2.0 |
| ß BUCK CAPITAL MGMT | | CACH | B | 618 | 6.77 | n/a | n/a | non-brg | 2.0 |
| ß BUCK CAPITAL MGMT | | CAM | B | 100 | 39.72 | n/a | n/a | non-brg | 4.0 |
| EPOCH INV MGMT | 030 | CAM | S | 700 | 39.18 | n/a | n/a | 21.00 | 3.0 |
| ß BUCK CAPITAL MGMT | | CAR | B | 1,800 | 14.21 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | CAR | B | 30,000 | 13.48 | n/a | n/a | non-brg | 4.0 |
| JP MORGAN VENTURES | 046 | CAT | B | 35,000 | 67.46 | n/a | 30-Apr | 1,750.00 | 5.0 |
| CAMBIAR CAP | 046 | CBI | B | 18,170 | 20.62 | n/a | n/a | 726.80 | 4.0 |
| CRAMER ROSENTHAL/SCOTT | 012 | CCL | B | 1,550 | 41.35 | n/a | n/a | 62.00 | 4.0 |
| CRAMER ROSENTHAL/SCOTT | 012 | CCL | B | 8,660 | 41.35 | n/a | n/a | 346.40 | 4.0 |
| NEUBERGER BERMAN | 036 | CEO | B | 600 | 171.79 | n/a | n/a | 24.00 | 4.0 |
| f CHRISTOPHER ARTHUR K | FID | CGI | S | 700 | 15.00 | n/a | n/a | 0.00 | 0.0 |
| NEUBERGER BERMAN | 036 | CHL | B | 2,100 | 47.30 | n/a | n/a | 84.00 | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------|-----|--------|-----|---------|-------|-----|----------|--------------|-----|
| BUCK CAPITAL MGMT | 001 | CHS | B | 100,000 | 15.15 | n/a | 5-Feb | 4,000.00 | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | CHS | B | 1,503 | 14.95 | n/a | 5-Feb | non-brg | 2.0 |
| NEUBERGER BERMAN | 036 | CHT | B | 4,700 | 19.32 | n/a | n/a | 188.00 | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | CNK | B | 1,061 | 18.25 | n/a | n/a | non-brg | 2.0 |
| ⌘ BUCK CAPITAL MGMT | | COH | B | 1,196 | 41.60 | n/a | 21-Apr | non-brg | 2.0 |
| EPOCH INV MGMT | 030 | COL | S | 950 | 64.85 | n/a | 26-Apr | 28.50 | 3.0 |
| ⌘ BUCK CAPITAL MGMT | | CPLA | SS | 292 | 91.73 | n/a | n/a | non-brg | 2.0 |
| ⌘ BUCK CAPITAL MGMT | | CRI | B | 4,219 | 32.79 | n/a | n/a | non-brg | 2.0 |
| ⌘ BUCK CAPITAL MGMT | | CROX | B | 8,555 | 10.13 | n/a | n/a | non-brg | 2.0 |
| AVESTA CAP | 229 | CSCO | B | 100,000 | 26.67 | n/a | n/a | 3,000.00 | 3.0 |
| ⌘ BUCK CAPITAL MGMT | | CSTR | B | 1,440 | 47.89 | n/a | n/a | non-brg | 2.0 |
| ⌘ BUCK CAPITAL MGMT | | CWTR | B | 3,511 | 7.13 | n/a | n/a | non-brg | 2.0 |
| ⌘ BUCK CAPITAL MGMT | | C | B | 24,300 | 4.35 | n/a | 4-May | non-brg | 3.0 |
| ⌘ BUCK CAPITAL MGMT | | DAL | B | 100,000 | 11.77 | n/a | n/a | non-brg | 4.0 |
| METROPOLITAN CAPITAL | 044 | DAN | B | 30,100 | 13.20 | n/a | 30-Apr | 1,505.00 | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | DBRN | B | 20,000 | 27.81 | n/a | n/a | non-brg | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------|-----|--------|-----|--------|-------|-----|----------|-------------|-----|
| BUCK CAPITAL MGMT | | DBRN | B | 3,157 | 27.87 | n/a | n/a | non-brg | 2.0 |
| BUCK CAPITAL MGMT | | DDS | SS | 375 | 28.43 | n/a | n/a | non-brg | 2.0 |
| DAVID S HOCHSTIM | FID | DE | B | 1500 | 58.40 | n/a | 30-Apr | 0.00 | 0.0 |
| NEUBERGER BERMAN | 036 | DLR | B | 1,100 | 59.29 | n/a | n/a | 44.00 | 4.0 |
| BUCK CAPITAL MGMT | | DLTR | B | 1,812 | 61.11 | n/a | 24-Feb | non-brg | 2.0 |
| BNP PARIBAS SEC | 040 | DPZ | B | 5,000 | 14.43 | n/a | 4-May | 200.00 | 4.0 |
| BUCK CAPITAL MGMT | | DPZ | SS | 684 | 14.38 | n/a | 4-May | non-brg | 2.0 |
| EXIS CAPITAL | 044 | DPZ | B | 90,000 | 14.49 | n/a | 4-May | 4,500.00 | 5.0 |
| KENNEDY CAPITAL | 046 | DPZ | S | 40,000 | 14.55 | n/a | 4-May | 1,600.00 | 4.0 |
| MARINER/TRICADIA | 041 | DTG | S | 38,900 | 50.74 | n/a | n/a | 1,945.00 | 5.0 |
| BUCK CAPITAL MGMT | | DVN | B | 300 | 66.44 | n/a | 27-Apr | non-brg | 4.0 |
| BUCK CAPITAL MGMT | | EBAY | B | 997 | 22.74 | n/a | n/a | non-brg | 2.0 |
| NEUBERGER BERMAN | 036 | EEQ | B | 1,700 | 51.76 | n/a | n/a | 68.00 | 4.0 |
| BUCK CAPITAL MGMT | | EL | B | 398 | 65.02 | n/a | 28-Apr | non-brg | 2.0 |
| BUCK CAPITAL MGMT | | EL | B | 400 | 65.39 | n/a | 28-Apr | non-brg | 4.0 |
| BUCK CAPITAL MGMT | | ERTS | B | 1,100 | 19.28 | n/a | n/a | non-brg | 4.0 |
| BUCK CAPITAL MGMT | | ERTS | B | 1,146 | 19.04 | n/a | n/a | non-brg | 2.0 |
| NEUBERGER BERMAN | 036 | EXC | B | 2,600 | 43.23 | n/a | n/a | 104.00 | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|-----|--------|-----|---------|--------|-----|----------|-------------|-----|
| f MICHAEL MARRANO | FID | FAGIX | B | 110 | 9.08 | n/a | n/a | 0.00 | 0.0 |
| f MICHAEL MARRANO | FID | FDGFX | B | 137 | 25.64 | n/a | n/a | 0.00 | 0.0 |
| f MICHAEL MARRANO | FID | FDGRX | B | 41 | 73.85 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | FDO | C | 20,000 | 39.52 | n/a | 7-Apr | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | FDO | SS | 825 | 39.61 | n/a | 7-Apr | non-brg | 2.0 |
| f JOHN MICHAEL ZOLIDIS | FID | FINL | B | 1000 | 15.94 | n/a | n/a | 0.00 | 0.0 |
| RAINIER INV MGMT | 035 | FLS | S | 94,040 | 111.03 | n/a | n/a | 3,761.60 | 4.0 |
| B BUCK CAPITAL MGMT | | FL | B | 6,435 | 15.18 | n/a | 14-Apr | non-brg | 2.0 |
| B BUCK CAPITAL MGMT | | FL | B | 67,500 | 14.86 | n/a | 14-Apr | non-brg | 4.0 |
| EGS ASSOCIATES LP | 091 | FL | B | 4,500 | 15.17 | n/a | 14-Apr | 270.00 | 6.0 |
| f CHRISTOPHER ARTHUR K | FID | FOR | S | 1000 | 22.30 | n/a | 19-Apr | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | FOSL | B | 4,326 | 39.06 | n/a | n/a | non-brg | 2.0 |
| f MICHAEL MARRANO | FID | FSTFX | B | 94 | 10.65 | n/a | n/a | 0.00 | 0.0 |
| f MICHAEL MARRANO | FID | FTFMX | B | 610 | 12.99 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | F | B | 3,900 | 12.89 | n/a | 4-May | non-brg | 4.0 |
| f CHRISTOPHER ARTHUR K | FID | F | S | 2500 | 12.85 | n/a | 4-May | 0.00 | 0.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | F | SS | 200,000 | 12.91 | n/a | 4-May | 7,000.00 | 3.5 |
| B BUCK CAPITAL MGMT | | GAP | SS | 443 | 8.24 | n/a | n/a | non-brg | 2.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------------------------|-----|--------|-----|---------|--------|-----|----------|--------------|
| BUCK CAPITAL MGMT | | GES | B | 22,900 | 43.80 | n/a | 18-Mar | non-brg 4.0 |
| BUCK CAPITAL MGMT | | GES | B | 4,997 | 44.55 | n/a | 18-Mar | non-brg 2.0 |
| BUCK CAPITAL MGMT | | GIII | B | 5,000 | 27.98 | n/a | n/a | non-brg 2.5 |
| BUCK CAPITAL MGMT | | GIII | B | 9,821 | 28.80 | n/a | n/a | non-brg 2.0 |
| BUCK CAPITAL MGMT | | GIL | B | 1,700 | 28.73 | n/a | 27-Apr | non-brg 4.0 |
| BUCK CAPITAL MGMT | | GIL | B | 10,000 | 28.86 | n/a | 27-Apr | non-brg 4.0 |
| BUCK CAPITAL MGMT | | GIL | B | 35,000 | 28.75 | n/a | 27-Apr | non-brg 4.0 |
| BUCK CAPITAL MGMT | | GIL | B | 9,935 | 28.84 | n/a | 27-Apr | non-brg 2.0 |
| BUCK CAPITAL MGMT | | GLW | B | 4,200 | 19.16 | n/a | 28-Apr | non-brg 4.0 |
| EPOCH INV MGMT | 030 | GPC | S | 850 | 42.19 | n/a | n/a | 25.50 3.0 |
| BUCK CAPITAL MGMT | | GPS | B | 1,869 | 25.09 | n/a | n/a | non-brg 2.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | GPS | S | 25,000 | 24.99 | n/a | n/a | 875.00 3.5 |
| BUCK CAPITAL MGMT | | GRMN | SS | 643 | 37.11 | n/a | n/a | non-brg 2.0 |
| BUCK CAPITAL MGMT | | GS | B | 600 | 148.93 | n/a | 30-Apr | non-brg 4.0 |
| BUCK CAPITAL MGMT | | GYMB | B | 4,840 | 48.58 | n/a | 3-May | non-brg 2.0 |
| DSM CAPITAL PARTNERS | 032 | GYMB | B | 6,285 | 48.70 | n/a | 3-May | 314.25 5.0 |
| BUCK CAPITAL MGMT | | HAL | B | 3,500 | 30.16 | n/a | n/a | non-brg 4.0 |
| BUCK CAPITAL MGMT | | HBI | B | 8,841 | 28.13 | n/a | n/a | non-brg 2.0 |
| APEX CAPITAL MGMT. | 261 | HD | C | 193,200 | 35.17 | n/a | 23-Feb | 7,728.00 4.0 |

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|-------------------------|-----|--------|-----|--------|-------|-----|----------|--------------|-----|
| ß BUCK CAPITAL MGMT | | HK | B | 2,800 | 21.69 | n/a | n/a | non-brg | 4.0 |
| THE JAY GOLDMAN | 028 | HOT | B | 10,000 | 54.10 | n/a | n/a | 400.00 | 4.0 |
| THE JAY GOLDMAN | 028 | HPT | S | 10,000 | 26.72 | n/a | n/a | 400.00 | 4.0 |
| ß BUCK CAPITAL MGMT | | HTZ | B | 1,545 | 13.51 | n/a | n/a | non-brg | 2.0 |
| ß BUCK CAPITAL MGMT | | HTZ | B | 2,800 | 13.50 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | HTZ | B | 30,000 | 13.42 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | IBOC | SS | 870 | 23.04 | n/a | n/a | non-brg | 2.0 |
| DSM CAPITAL PARTNERS | 032 | IDXX | S | 5,410 | 66.22 | n/a | n/a | 270.50 | 5.0 |
| ß BUCK CAPITAL MGMT | | IMAX | SS | 1,137 | 18.72 | n/a | n/a | non-brg | 2.0 |
| ß BUCK CAPITAL MGMT | | IP | B | 2,000 | 25.59 | n/a | 29-Apr | non-brg | 4.0 |
| CSFB GLOBAL PROPRIETARY | 041 | IP | B | 52,500 | 25.26 | n/a | 29-Apr | 2,625.00 | 5.0 |
| ß BUCK CAPITAL MGMT | | IR | B | 700 | 36.89 | n/a | 23-Apr | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | IWM | SS | 7,600 | 70.98 | n/a | n/a | non-brg | 2.0 |
| ß BUCK CAPITAL MGMT | | JACK | B | 1,845 | 23.82 | n/a | n/a | non-brg | 2.0 |
| ß BUCK CAPITAL MGMT | | JBLU | B | 14,200 | 5.56 | n/a | n/a | non-brg | 3.0 |
| BUCK CAPITAL MGMT | 001 | JCG | S | 10,000 | 46.54 | n/a | n/a | 400.00 | 4.0 |
| ß BUCK CAPITAL MGMT | | JCG | B | 2,437 | 46.88 | n/a | n/a | non-brg | 2.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------|-----|--------|-----|--------|-------|-----|----------|--------------|-----|
| ß BUCK CAPITAL MGMT | | JCP | B | 20,000 | 29.25 | n/a | 3-May | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | JCP | B | 35,100 | 28.61 | n/a | 3-May | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | JCP | B | 4,536 | 29.31 | n/a | 3-May | non-brg | 2.0 |
| EXIS CAPITAL | 044 | JCP | B | 20,000 | 28.78 | n/a | 3-May | 1,000.00 | 5.0 |
| NEUBERGER BERMAN | 036 | JNJ | B | 1,600 | 64.64 | n/a | n/a | 64.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | JNY | B | 10,000 | 21.73 | n/a | 29-Apr | 400.00 | 4.0 |
| ß BUCK CAPITAL MGMT | | JNY | B | 10,362 | 21.74 | n/a | 29-Apr | non-brg | 2.0 |
| ß BUCK CAPITAL MGMT | | JNY | B | 46,400 | 21.65 | n/a | 29-Apr | non-brg | 4.0 |
| EXIS CAPITAL | 044 | JNY | B | 18,238 | 21.59 | n/a | 29-Apr | 911.90 | 5.0 |
| ß BUCK CAPITAL MGMT | | JOSB | B | 1,506 | 61.28 | n/a | n/a | non-brg | 2.0 |
| ß BUCK CAPITAL MGMT | | JOSB | B | 10,000 | 61.17 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | JPM | B | 1,500 | 42.96 | n/a | 4-May | non-brg | 4.0 |
| f MICHAEL MARRANO | FID | JSCVX | B | 21 | 23.26 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | JWN | B | 10,000 | 41.71 | n/a | 3-May | 400.00 | 4.0 |
| ß BUCK CAPITAL MGMT | | JWN | B | 24,100 | 41.56 | n/a | 3-May | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | JWN | B | 4,012 | 42.00 | n/a | 3-May | non-brg | 2.0 |
| NEUBERGER BERMAN | 036 | KMR | B | 1,100 | 57.40 | n/a | n/a | 44.00 | 4.0 |
| SHEFFIELD ASSET MGMT | 031 | KR | S | 50,000 | 22.69 | n/a | n/a | 2,500.00 | 5.0 |
| ß BUCK CAPITAL MGMT | | KSS | B | 4,086 | 56.12 | n/a | 3-May | non-brg | 2.0 |
| ß BUCK CAPITAL MGMT | | KSS | S | 90,000 | 55.68 | n/a | 3-May | non-brg | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|--------------|-----------|--------------|--------------|------------|---------------|----------------|------------|
| DIAMONDBACK CAP MGMT | 232 | KSS | C | 25,000 | 56.15 | n/a | 3-May | 1,250.00 | 5.0 |
| EXIS CAPITAL | 044 | KSS | SS | 10,000 | 56.25 | n/a | 3-May | 500.00 | 5.0 |
| B BUCK CAPITAL MGMT | | LEA | B | 500 | 79.48 | n/a | 20-Apr | non-brg | 4.0 |
| METROPOLITAN CAPITAL | 044 | LEA | B | 6,900 | 78.44 | n/a | 20-Apr | 345.00 | 5.0 |
| MERRILL ASSET/BLACKROCK | 263 | LF | B | 89,800 | 5.72 | n/a | n/a | 3,592.00 | 4.0 |
| EXIS CAPITAL | 044 | LIZ | B | 20,000 | 8.59 | n/a | 7-Oct | 1,000.00 | 5.0 |
| B BUCK CAPITAL MGMT | | LL | B | 3,612 | 30.48 | n/a | n/a | non-brg | 2.0 |
| NEUBERGER BERMAN | 036 | LNT | B | 3,000 | 33.74 | n/a | n/a | 120.00 | 4.0 |
| DIAMONDBACK CAP MGMT | 232 | LOW | B | 50,000 | 27.14 | n/a | 22-Feb | 2,500.00 | 5.0 |
| BMO NESBITT BURNS | 041 | LPX | SS | 30,000 | 11.28 | n/a | 19-Apr | 1,500.00 | 5.0 |
| B BUCK CAPITAL MGMT | | LTD | B | 3,663 | 27.11 | n/a | n/a | non-brg | 2.0 |
| f MICHAEL MARRANO | FID | MACGX | B | 17 | 30.23 | n/a | n/a | 0.00 | 0.0 |
| NEUBERGER BERMAN | 036 | MCHP | B | 3,400 | 28.77 | n/a | n/a | 136.00 | 4.0 |
| NICOLAS APPLGATE | 048 | MCK | B | 78,600 | 67.00 | n/a | n/a | 1,572.00 | 2.0 |
| B BUCK CAPITAL MGMT | | MFB | B | 375 | 22.97 | n/a | n/a | non-brg | 2.0 |
| B BUCK CAPITAL MGMT | | MGM | SS | 1,355 | 15.74 | n/a | 15-Apr | non-brg | 2.0 |
| B BUCK CAPITAL MGMT | | MNRO | B | 2,272 | 36.28 | n/a | n/a | non-brg | 2.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------|-----|--------|-----|--------|-------|-----|----------|-------------|-----|
| ß BUCK CAPITAL MGMT | | MON | B | 700 | 62.41 | n/a | 12-Apr | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | MS | B | 4,400 | 29.82 | n/a | 21-Apr | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | MW | SS | 732 | 23.69 | n/a | n/a | non-brg | 2.0 |
| ß BUCK CAPITAL MGMT | | M | B | 10,000 | 23.26 | n/a | 3-May | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | M | B | 12,633 | 23.25 | n/a | 3-May | non-brg | 2.0 |
| ß BUCK CAPITAL MGMT | | M | B | 44,100 | 22.77 | n/a | 3-May | non-brg | 4.0 |
| KACELA CAPITAL | 034 | M | B | 75,000 | 23.39 | n/a | 3-May | 3,000.00 | 4.0 |
| ß BUCK CAPITAL MGMT | | NAV | SS | 100 | 48.90 | n/a | n/a | non-brg | 2.0 |
| EGS ASSOCIATES LP | 091 | NDN | B | 6,500 | 14.90 | n/a | 9-Apr | 390.00 | 6.0 |
| NEUBERGER BERMAN | 036 | NGG | B | 2,100 | 47.92 | n/a | n/a | 84.00 | 4.0 |
| NEUBERGER BERMAN | 036 | NJR | B | 2,700 | 37.57 | n/a | n/a | 108.00 | 4.0 |
| CAERUS GLOBAL | 041 | NKE | B | 10,000 | 77.39 | n/a | n/a | 400.00 | 4.0 |
| PROSPECTOR PARTNERS LLC | 036 | NP | B | 10,000 | 17.42 | n/a | 19-Apr | 400.00 | 4.0 |
| NEUBERGER BERMAN | 036 | NSC | B | 1,900 | 59.65 | n/a | n/a | 76.00 | 4.0 |
| NEUBERGER BERMAN | 036 | NST | B | 2,400 | 37.03 | n/a | n/a | 96.00 | 4.0 |
| ß BUCK CAPITAL MGMT | | NTY | B | 1,650 | 40.21 | n/a | n/a | non-brg | 2.0 |
| ß BUCK CAPITAL MGMT | | NTY | B | 20,000 | 40.18 | n/a | n/a | non-brg | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|------------------------|-----|--------|-----|--------|-------|-----|----------|--------------|-----|
| NEUBERGER BERMAN | 036 | NU | B | 4,200 | 27.48 | n/a | n/a | 168.00 | 4.0 |
| ISLE RIDGE PARTNERS | 041 | NWL | B | 51,000 | 17.11 | n/a | n/a | 2,040.00 | 4.0 |
| JP MORGAN VENTURES | 046 | NWL | S | 50,000 | 17.20 | n/a | n/a | 2,500.00 | 5.0 |
| ß BUCK CAPITAL MGMT | | NWY | B | 1,407 | 6.10 | n/a | n/a | non-brg | 2.0 |
| NEUBERGER BERMAN | 036 | NYB | B | 3,800 | 16.23 | n/a | 4-May | 152.00 | 4.0 |
| EPOCH INV MGMT | 030 | NYX | S | 2,150 | 31.51 | n/a | n/a | 64.50 | 3.0 |
| ß BUCK CAPITAL MGMT | | OMX | B | 997 | 18.52 | n/a | n/a | non-brg | 2.0 |
| f MARK DEVEREAUX KAICH | FID | OWW | S | 1000 | 6.50 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | OZM | B | 100 | 16.99 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | OZM | B | 100 | 16.99 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | OZM | B | 2,800 | 16.99 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | OZM | B | 200 | 16.99 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | OZM | B | 300 | 16.99 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | PAG | B | 2,243 | 14.96 | n/a | 3-May | non-brg | 2.0 |
| ß BUCK CAPITAL MGMT | | PAG | B | 5,900 | 14.90 | n/a | 3-May | non-brg | 4.0 |
| f MICHAEL MARRANO | FID | PAIBX | S | 200 | 9.48 | n/a | n/a | 0.00 | 0.0 |
| f DAVID S HOCHSTIM | FID | PCAR | B | 2000 | 46.11 | n/a | 30-Apr | 0.00 | 0.0 |
| NEUBERGER BERMAN | 036 | PCG | B | 2,400 | 43.99 | n/a | n/a | 96.00 | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------------|--------------|-----------|---------------|--------------|------------|---------------|----------------|------------|
| NEUBERGER BERMAN | 036 | PCH | B | 1,500 | 37.94 | n/a | 28-Apr | 60.00 | 4.0 |
| f MICHAEL MARRANO | FID | PCRRX | B | 127 | 7.86 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | PETM | SS | 1,269 | 32.99 | n/a | n/a | non-brg | 2.0 |
| ß BUCK CAPITAL MGMT | | PFCB | SS | 199 | 43.73 | n/a | 28-Apr | non-brg | 2.0 |
| CR INTRINIC INVESTMENT | 044 | PFE | S | 75,000 | 17.26 | n/a | n/a | 3,000.00 | 4.0 |
| NEUBERGER BERMAN | 036 | PGN | B | 2,200 | 40.26 | n/a | n/a | 88.00 | 4.0 |
| NEUBERGER BERMAN | 036 | PHI | B | 1,900 | 56.14 | n/a | n/a | 76.00 | 4.0 |
| ß BUCK CAPITAL MGMT | | PIR | B | 5,596 | 8.26 | n/a | n/a | non-brg | 2.0 |
| EXIS CAPITAL | 044 | PIR | B | 50,000 | 8.31 | n/a | n/a | 2,500.00 | 5.0 |
| ß BUCK CAPITAL MGMT | | PLCE | B | 1,536 | 44.85 | n/a | 27-Apr | non-brg | 2.0 |
| ß BUCK CAPITAL MGMT | | PLCE | S | 30,000 | 45.08 | n/a | 27-Apr | non-brg | 4.0 |
| NEUBERGER BERMAN | 036 | PM | B | 2,100 | 49.30 | n/a | n/a | 84.00 | 4.0 |
| CAPITAL GROWTH MGMT. | 241 | PRU | B | 100,000 | 62.25 | n/a | n/a | 5,000.00 | 5.0 |
| EPOCH INV MGMT | 030 | PRU | S | 1,450 | 62.53 | n/a | n/a | 43.50 | 3.0 |
| ß BUCK CAPITAL MGMT | | PSS | B | 20,000 | 23.14 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | PSS | B | 44,000 | 23.01 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | PSS | B | 7,772 | 23.16 | n/a | n/a | non-brg | 2.0 |
| ß BUCK CAPITAL MGMT | | PVH | B | 4,479 | 62.49 | n/a | 21-Apr | non-brg | 2.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|-----|--------|-----|---------|--------|-----|----------|--------------|-----|
| NEUBERGER BERMAN | 036 | RAX | S | 365,950 | 17.70 | n/a | n/a | 14,638.00 | 4.0 |
| NEUBERGER BERMAN | 036 | RGLD | B | 1,900 | 49.39 | n/a | n/a | 76.00 | 4.0 |
| SENATOR INVESTMENT GROUP | 036 | RHI | B | 75,000 | 26.94 | n/a | n/a | 2,250.00 | 3.0 |
| ⌘ BUCK CAPITAL MGMT | | RL | B | 570 | 90.97 | n/a | 14-Apr | non-brg | 2.0 |
| ⌘ BUCK CAPITAL MGMT | | RTH | SS | 1,800 | 103.04 | n/a | n/a | non-brg | 2.0 |
| ⌘ BUCK CAPITAL MGMT | | RVI | B | 2,206 | 10.59 | n/a | n/a | non-brg | 2.0 |
| COHE & STEERS | 041 | RYN | S | 8,656 | 49.16 | n/a | 19-Apr | 346.24 | 4.0 |
| NEUBERGER BERMAN | 036 | RYN | B | 2,300 | 49.04 | n/a | 19-Apr | 92.00 | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | SAH | B | 2,642 | 11.18 | n/a | n/a | non-brg | 2.0 |
| ⌘ BUCK CAPITAL MGMT | | SAI | SS | 1,359 | 17.35 | n/a | n/a | non-brg | 2.0 |
| NEUBERGER BERMAN | 036 | SE | B | 4,900 | 23.17 | n/a | n/a | 196.00 | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | SHLD | SS | 497 | 117.29 | n/a | n/a | non-brg | 2.0 |
| ⌘ BUCK CAPITAL MGMT | | SIG | B | 2,492 | 31.98 | n/a | n/a | non-brg | 2.0 |
| ⌘ BUCK CAPITAL MGMT | | SKX | B | 342 | 38.22 | n/a | n/a | non-brg | 2.0 |
| EXIS CAPITAL | 044 | SKX | B | 30,000 | 37.09 | n/a | n/a | 1,500.00 | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | SLB | B | 700 | 69.31 | n/a | n/a | non-brg | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|------------------------|-----|--------|-----|--------|--------|-----|----------|--------------|-----|
| CONIFER/ISF | 025 | SMG | B | 2,500 | 47.95 | n/a | 9-Apr | 125.00 | 5.0 |
| JP MORGAN VENTURES | 046 | SPMD | S | 15,000 | 44.50 | n/a | n/a | 750.00 | 5.0 |
| Ⓕ BUCK CAPITAL MGMT | | SPY | SS | 914 | 117.58 | n/a | n/a | non-brg | 2.0 |
| Ⓕ BUCK CAPITAL MGMT | | STT | B | 1,400 | 43.46 | n/a | 23-Apr | non-brg | 4.0 |
| Ⓕ BUCK CAPITAL MGMT | | SVU | SS | 338 | 14.88 | n/a | n/a | non-brg | 2.0 |
| Ⓕ BUCK CAPITAL MGMT | | SWN | B | 1,800 | 39.55 | n/a | 30-Apr | non-brg | 4.0 |
| f JONATHAN RICHARD HAR | FID | TBT | S | 261 | 44.05 | n/a | n/a | 0.00 | 0.0 |
| f JOSEPH CIRO AMATURO | FID | TBT | B | 1000 | 44.06 | n/a | n/a | 0.00 | 0.0 |
| f KAREN F LEDDY | FID | TBT | B | 350 | 44.24 | n/a | n/a | 0.00 | 0.0 |
| f KEVIN MICHAEL O'GORM | FID | TBT | S | 1160 | 44.05 | n/a | n/a | 0.00 | 0.0 |
| f KEVIN MICHAEL O'GORM | FID | TBT | S | 1500 | 44.05 | n/a | n/a | 0.00 | 0.0 |
| NEUBERGER BERMAN | 036 | TE | B | 6,600 | 17.03 | n/a | n/a | 264.00 | 4.0 |
| Ⓕ BUCK CAPITAL MGMT | | TGT | B | 1,267 | 55.71 | n/a | 3-May | non-brg | 2.0 |
| Ⓕ BUCK CAPITAL MGMT | | THI | SS | 806 | 32.82 | n/a | n/a | non-brg | 2.0 |
| BASIX | 033 | TIN | B | 26,000 | 22.40 | n/a | 21-Apr | 780.00 | 3.0 |
| BALYASNY ASSET MGMT | 044 | TJX | C | 30,000 | 45.85 | n/a | 3-May | 1,500.00 | 5.0 |
| Ⓕ BUCK CAPITAL MGMT | | TJX | B | 1,772 | 45.87 | n/a | 3-May | non-brg | 2.0 |
| EPOCH INV MGMT | 030 | TJX | S | 1,200 | 46.56 | n/a | 3-May | 36.00 | 3.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|------------------------|-----|--------|-----|--------|-------|-----|----------|--------------|-----|
| BUCK CAPITAL MGMT | | TLB | B | 11,174 | 17.64 | n/a | n/a | non-brg | 2.0 |
| BUCK CAPITAL MGMT | | TLB | B | 50,000 | 17.36 | n/a | n/a | non-brg | 4.0 |
| EMERSON CAPITAL MGMT | 048 | TLB | B | 5,000 | 17.55 | n/a | n/a | 250.00 | 5.0 |
| COUGAR TRADING | 044 | TM | SS | 5,000 | 76.29 | n/a | n/a | 250.00 | 5.0 |
| NEUBERGER BERMAN | 036 | TOT | B | 2,200 | 51.84 | n/a | n/a | 88.00 | 4.0 |
| MICHAEL MARRANO | FID | TPINX | B | 207 | 13.51 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | | TSCO | SS | 384 | 66.64 | n/a | n/a | non-brg | 2.0 |
| JP MORGAN VENTURES | 046 | TTT | S | 35,000 | 12.86 | n/a | n/a | 1,750.00 | 5.0 |
| BUCK CAPITAL MGMT | | UAL | B | 40,000 | 19.57 | n/a | n/a | non-brg | 4.0 |
| BUCK CAPITAL MGMT | | UA | SS | 1,082 | 33.86 | n/a | 28-Apr | non-brg | 2.0 |
| BUCK CAPITAL MGMT | | UBI FP | B | 2,400 | 12.24 | n/a | n/a | non-brg | 1.8 |
| CR INTRINIC INVESTMENT | 044 | UNH | S | 32,500 | 29.47 | n/a | n/a | 1,300.00 | 4.0 |
| NEUBERGER BERMAN | 036 | UN | B | 3,400 | 29.78 | n/a | n/a | 136.00 | 4.0 |
| NEUBERGER BERMAN | 036 | UPS | B | 1,300 | 69.40 | n/a | n/a | 52.00 | 4.0 |
| BUCK CAPITAL MGMT | | URBN | B | 6,523 | 37.56 | n/a | n/a | non-brg | 2.0 |
| NEUBERGER BERMAN | 036 | VLCCF | B | 3,300 | 19.28 | n/a | n/a | 132.00 | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|--------------|-----------|---------------|--------------|------------|---------------|----------------|------------|
| EPOCH INV MGMT | 030 | V | S | 1,350 | 88.35 | n/a | 4-May | 40.50 | 3.0 |
| f MICHAEL MARRANO | FID | WBIGX | B | 358 | 18.83 | n/a | n/a | 0.00 | 0.0 |
| JP MORGAN VENTURES | 046 | WEN | S | 25,000 | 5.29 | n/a | 7-Apr | 1,250.00 | 5.0 |
| B BUCK CAPITAL MGMT | | WERN | B | 1,700 | 22.41 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | WFT | B | 5,200 | 17.44 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | WMS | B | 1,144 | 50.03 | n/a | n/a | non-brg | 2.0 |
| B BUCK CAPITAL MGMT | 001 | WRC | B | 21,500 | 46.89 | n/a | 2-Mar | 860.00 | 4.0 |
| B BUCK CAPITAL MGMT | | WRC | B | 20,000 | 46.83 | n/a | 2-Mar | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | WRC | B | 5,046 | 47.63 | n/a | 2-Mar | non-brg | 2.0 |
| NEUBERGER BERMAN | 036 | WTR | B | 7,500 | 18.49 | n/a | n/a | 300.00 | 4.0 |
| NEUBERGER BERMAN | 036 | WWE | B | 4,800 | 18.11 | n/a | n/a | 192.00 | 4.0 |
| B BUCK CAPITAL MGMT | | WY | B | 1,000 | 48.59 | n/a | 30-Apr | non-brg | 4.0 |
| NEUBERGER BERMAN | 036 | WY | B | 1,500 | 49.28 | n/a | 30-Apr | 60.00 | 4.0 |
| NEUBERGER BERMAN | 036 | XEL | B | 4,800 | 21.87 | n/a | n/a | 192.00 | 4.0 |
| OZ MGMT | 040 | XLP | SS | 156,217 | 27.57 | n/a | n/a | 4,686.51 | 3.0 |
| EXIS CAPITAL | 044 | XLV | B | 20,000 | 30.85 | n/a | n/a | 1,000.00 | 5.0 |
| B BUCK CAPITAL MGMT | | XLY | SS | 10,000 | 34.50 | n/a | n/a | non-brg | 2.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|-----|--------|-----|---------|-------|-----|----------|-------------------|-----|
| Ⓐ BUCK CAPITAL MGMT | | XRT | SS | 235,000 | 42.42 | n/a | n/a | non-brg | 2.0 |
| Ⓐ BUCK CAPITAL MGMT | | XRT | SS | 54,000 | 42.63 | n/a | n/a | non-brg | 2.0 |
| EXIS CAPITAL | 044 | XRT | B | 20,000 | 42.51 | n/a | n/a | 1,000.00 | 5.0 |
| TOTAL (Trade Date): | | | | | | | | 133,491.70 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------|-------|-------------------------|------|--------|-----|---------|-------|-----|----------|-------------|-----|
| AO,CXL | 04/30 | BAIRD INVESTMENT | 047 | APC | S | 3,750 | 64.32 | n/a | 4-May | 0.00 | 0.0 |
| AO,CRT | 04/30 | BAIRD INVESTMENT | 047 | APC | S | 3,750 | 64.32 | n/a | 4-May | 187.50 | 5.0 |
| AO,CRT | 05/03 | GRUBER MACBAINE | 033 | BBBY | S | 5,000 | 46.67 | n/a | n/a | 200.00 | 4.0 |
| AO,CXL | 05/03 | GRUBER MACBAINE | 033 | BBBY | S | 5,000 | 46.67 | n/a | n/a | 0.00 | 0.0 |
| AO,CXL | 05/03 | BARROW HANLEY MEWHINNEY | 031 | BP | B | 100 | 48.30 | n/a | n/a | 3.50 | 3.5 |
| AO,CRT | 05/03 | BARROW HANLEY MEWHINNEY | 031 | BP | B | 100 | 48.30 | n/a | n/a | 3.50 | 3.5 |
| AO,CXL | 05/03 | CATAPULT | 040 | NCR | B | 100,000 | 13.58 | n/a | n/a | 4000.00 | 4.0 |
| AO,CRT | 05/03 | CATAPULT | 040 | NCR | B | 100,000 | 13.58 | n/a | n/a | 4000.00 | 4.0 |
| AO, | 05/03 | IVORY CAPITAL | 034 | PFE | S | 100,000 | 16.82 | n/a | n/a | 5000.00 | 5.0 |

TOTAL (AO, CXL, CRT) :**5,387.50**

TOTAL (Trade Date) :**133,491.70****TOTAL (AO, CXL, CRT) :****5,387.50**

TOTAL (RUN DATE) / NFS :**138,879.20**

BCM Cancel/Corrects and As-Of Trades

| Type | Date | Account | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------|-------|-------------------|--------|-----|---------|-------|-----|----------|-------------|-----|
| AO | 05/03 | BUCK CAPITAL MGMT | APC | S | 800 | 64.70 | n/a | 4-May | 6.00 | 0.8 |
| CRT | 05/03 | BUCK CAPITAL MGMT | XRT | SS | 200,000 | 43.62 | n/a | n/a | 2000.00 | 1.0 |

MRI Securities with Trade Activity on 4-May.
NONE

MRI Securities without Trade Activity on 4-May.
PRX, MA

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

T-Date = 12%

YTD = 10%

| |
|--|
| <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) |