



# Daily Compliance Activity Report

Trade Date: 09/24/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KARSCH CAPITAL	034	AAP	C	148,680	39.02	n/a	n/a	4,460.40	3.0
PATTEN & PATTEN	067	ACL	B	175	142.02	18-Sep	21-Sep	8.75	5.0
COUGAR TRADING	044	AEO	S	5,000	16.49	21-Sep	21-Sep	250.00	5.0
DIAMONDBACK CAP MGMT	232	AER	B	25,000	9.19	n/a	n/a	1,250.00	5.0
PATTEN & PATTEN	067	AGN	S	500	57.07	18-Sep	21-Sep	25.00	5.0
⚡ BUCK CAPITAL MGMT		AMR	B	125,000	7.85	n/a	n/a	non-brg	0.8
MERRILL ASSET/BLACKROCK	214	AMSC	S	39,700	29.67	n/a	n/a	1,786.50	4.5
BUCK CAPITAL MGMT	001	ANF	B	150,000	32.89	3-Jun	21-Sep	6,000.00	4.0
⚡ BUCK CAPITAL MGMT		ANF	B	60,000	32.77	3-Jun	21-Sep	non-brg	0.8
EXIS CAPITAL	044	ANF	B	2,500	33.00	3-Jun	21-Sep	125.00	5.0
LEVIN CAPITAL STRATEGIES	012	ANF	C	25,000	32.57	3-Jun	21-Sep	1,000.00	4.0
⚡ BUCK CAPITAL MGMT		AONE	S	35,000	18.37	n/a	n/a	non-brg	2.5
WAGONHOUND/NIC	048	ARG	S	12,190	47.75	24-Sep	24-Sep	487.60	4.0
BUCK CAPITAL MGMT	001	ARO	S	30,000	42.87	n/a	4-Sep	1,200.00	4.0
⚡ BUCK CAPITAL MGMT		ARO	S	20,000	42.85	n/a	4-Sep	non-brg	4.0
⚡ BUCK CAPITAL MGMT		ART	S	5,000	27.25	n/a	n/a	non-brg	0.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B</b> BUCK CAPITAL MGMT		<b>AXL</b>	<b>B</b>	<b>100,000</b>	<b>7.12</b>	<b>18-Sep</b>	<b>18-Sep</b>	<b>non-brg</b>	<b>0.8</b>
CIRCLE T/SES PART	035	AXL	B	30,000	7.00	18-Sep	18-Sep	1,200.00	4.0
OZ MGMT	040	AXL	S	30,500	7.18	18-Sep	18-Sep	915.00	3.0
SCHOTTENFELD ASSOC	041	AXP	S	10,000	33.20	24-Sep	24-Sep	500.00	5.0
THE JAY GOLDMAN	034	AXP	S	50,000	33.36	24-Sep	24-Sep	2,000.00	4.0
KARSCH CAPITAL	034	AZO	C	20,000	143.13	n/a	n/a	600.00	3.0
<b>Õ</b> Manny Korman		<b>BAC.U</b>	<b>B</b>	<b>500</b>	<b>18.59</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> JOSEPH CIRO AMATURO	<b>FID</b>	<b>BGU</b>	<b>B</b>	<b>1500</b>	<b>50.26</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BUCK CAPITAL MGMT	<b>001</b>	<b>BIG</b>	<b>S</b>	<b>50,000</b>	<b>23.57</b>	<b>25-Aug</b>	<b>10-Sep</b>	<b>2,000.00</b>	<b>4.0</b>
MERRILL ASSET/BLACKROCK	214	BIG	B	29,100	23.74	25-Aug	10-Sep	1,309.50	4.5
THE JAY GOLDMAN	034	BIG	S	20,000	23.71	25-Aug	10-Sep	800.00	4.0
EXIS CAPITAL	044	BKE	S	5,000	31.40	n/a	n/a	250.00	5.0
PATTEN & PATTEN	067	BP	B	825	54.04	n/a	n/a	41.25	5.0
<b>B</b> BUCK CAPITAL MGMT		<b>BWA</b>	<b>B</b>	<b>15,000</b>	<b>29.67</b>	<b>3-Aug</b>	<b>24-Aug</b>	<b>non-brg</b>	<b>0.8</b>
<b>B</b> BUCK CAPITAL MGMT		<b>CAKE</b>	<b>SS</b>	<b>20,000</b>	<b>19.26</b>	<b>24-Jul</b>	<b>24-Jul</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> JASON ERIC COHEN	<b>FID</b>	<b>CCI</b>	<b>S</b>	<b>48</b>	<b>31.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ</b> Manny Korman		<b>CCW</b>	<b>B</b>	<b>500</b>	<b>24.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>CHRS</b>	<b>S</b>	<b>60,000</b>	<b>4.96</b>	<b>n/a</b>	<b>22-Mar</b>	<b>non-brg</b>	<b>3.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⚡ BUCK CAPITAL MGMT		CMN	B	3,000	15.05	n/a	n/a	non-brg	2.5
⚡ BUCK CAPITAL MGMT		CPKI	SS	50,000	16.07	7-Aug	7-Aug	non-brg	4.0
⌚ Manny Korman		CRP	B	500	25.00	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	CVX	S	1,000	70.93	n/a	n/a	50.00	5.0
SCHOTTENFELD ASSOC	041	C	S	25,000	4.53	17-Sep	21-Sep	750.00	3.0
⚡ JOHN MICHAEL ZOLIDIS	FID	DBO	B	500	24.28	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		DECK	S	10,000	82.87	n/a	n/a	non-brg	0.8
EXIS CAPITAL	044	DECK	B	2,500	82.71	n/a	n/a	125.00	5.0
SANDLER O'NEILL ASSET	031	DFS	SS	50,000	15.77	17-Sep	23-Sep	2,500.00	5.0
⚡ BUCK CAPITAL MGMT		DIA	SS	135,000	96.92	n/a	n/a	non-brg	0.8
⚡ MANNY I KORMAN	FID	DLTR	B	2000	49.17	21-Sep	24-Sep	0.00	0.0
JP MORGAN VENTURES	046	DSW	B	15,000	16.74	26-Aug	26-Aug	750.00	5.0
SCHOTTENFELD ASSOC	041	DYN	B	100,000	2.28	n/a	n/a	3,000.00	3.0
BMO NESBITT BURNS	041	ENDP	SS	3,600	22.51	n/a	21-Sep	144.00	4.0
BMO NESBITT BURNS	041	ENDP	S	1,900	22.50	n/a	21-Sep	76.00	4.0
UBS OCONNOR	031	EV	S	37,500	26.89	19-May	23-Sep	1,125.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MILLRACE FUND LP	028	FL	B	5,000	11.67	21-Sep	21-Sep	200.00	4.0
PATTEN & PATTEN	067	FO	S	500	43.07	n/a	n/a	25.00	5.0
<b>B</b> BUCK CAPITAL MGMT		<b>F</b>	<b>B</b>	<b>100,000</b>	<b>7.31</b>	<b>27-Aug</b>	<b>2-Sep</b>	<b>non-brg</b>	<b>3.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>F</b>	<b>B</b>	<b>50,000</b>	<b>7.36</b>	<b>27-Aug</b>	<b>2-Sep</b>	<b>non-brg</b>	<b>1.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>F</b>	<b>B</b>	<b>50,000</b>	<b>7.47</b>	<b>27-Aug</b>	<b>2-Sep</b>	<b>non-brg</b>	<b>0.8</b>
<b>f</b> CHRISTOPHER ROBERT B	<b>FID</b>	<b>F</b>	<b>B</b>	<b>2000</b>	<b>7.34</b>	<b>27-Aug</b>	<b>2-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> CICILY S BACKUS	<b>FID</b>	<b>F</b>	<b>B</b>	<b>3000</b>	<b>7.34</b>	<b>27-Aug</b>	<b>2-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> CICILY S BACKUS	<b>FID</b>	<b>F</b>	<b>B</b>	<b>5000</b>	<b>7.32</b>	<b>27-Aug</b>	<b>2-Sep</b>	<b>0.00</b>	<b>0.0</b>
DSG CAPITAL	225	F	B	6,000	7.49	27-Aug	2-Sep	300.00	5.0
<b>f</b> LEE F BACKUS	<b>FID</b>	<b>F</b>	<b>B</b>	<b>5000</b>	<b>7.32</b>	<b>27-Aug</b>	<b>2-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> MELISSA LEE BACKUS	<b>FID</b>	<b>F</b>	<b>B</b>	<b>2000</b>	<b>7.33</b>	<b>27-Aug</b>	<b>2-Sep</b>	<b>0.00</b>	<b>0.0</b>
MILLENIUM PARTNERS	028	F	B	40,000	7.52	27-Aug	2-Sep	1,200.00	3.0
OZ MGMT	040	F	B	125,000	7.48	27-Aug	2-Sep	3,750.00	3.0
TRELLUS PARTNERS LP	028	F	B	25,000	7.30	27-Aug	2-Sep	750.00	3.0
WAGONHOUND/NIC	048	F	B	25,000	7.39	27-Aug	2-Sep	750.00	3.0
WEINTRAUB CAPITAL MGT.	040	F	B	100,000	7.48	27-Aug	2-Sep	3,000.00	3.0
<b>B</b> BUCK CAPITAL MGMT	<b>001</b>	<b>GIL</b>	<b>B</b>	<b>10,000</b>	<b>18.21</b>	<b>21-Sep</b>	<b>21-Sep</b>	<b>400.00</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>GIL</b>	<b>B</b>	<b>20,000</b>	<b>18.39</b>	<b>21-Sep</b>	<b>21-Sep</b>	<b>non-brg</b>	<b>0.8</b>
SCOPUS FUND	041	GIL	B	59,000	18.23	21-Sep	21-Sep	2,950.00	5.0
<b>f</b> JOHN PATRICK DAVEY	<b>FID</b>	<b>GLW</b>	<b>B</b>	<b>1000</b>	<b>15.00</b>	<b>27-Jul</b>	<b>22-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT	<b>001</b>	<b>GME</b>	<b>B</b>	<b>30,000</b>	<b>26.66</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
GRISANTI BROWN & PARTNER	048	GNW	S	10,300	11.88	n/a	n/a	515.00	5.0
<b>f</b> ROBERT M DANIELS	<b>FID</b>	<b>GSI</b>	<b>B</b>	<b>900</b>	<b>4.07</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

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S.A.C. HEALTHCARE BOBBY	044	GSK	B	10,000	38.89	n/a	n/a	400.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>GYMB</b>	<b>S</b>	<b>20,000</b>	<b>49.26</b>	<b>21-Sep</b>	<b>21-Sep</b>	<b>non-brg</b>	<b>4.0</b>
EXIS CAPITAL	044	GYMB	B	2,200	49.25	21-Sep	21-Sep	110.00	5.0
LEVIN CAPITAL STRATEGIES	012	HBI	C	25,000	21.46	n/a	n/a	1,000.00	4.0
MERRILL ASSET/BLACKROCK	214	HHS	S	12,600	13.18	n/a	n/a	567.00	4.5
PZENA INV ADV	044	HHS	B	2,817	13.04	n/a	n/a	98.60	3.5
PATTEN & PATTEN	067	HNZ	S	1,080	39.89	n/a	n/a	54.00	5.0
ACK ASSET	028	IP	SS	15,100	22.03	16-Sep	16-Sep	453.00	3.0
COLUMBIA PARTNERS	028	IP	SS	79,932	21.38	16-Sep	16-Sep	3,197.28	4.0
OZ MGMT	040	IP	SS	35,000	21.70	16-Sep	16-Sep	1,050.00	3.0
RBC CAPITAL MARKETS	040	IP	S	35,000	21.30	16-Sep	16-Sep	1,400.00	4.0
SCHOTTENFELD ASSOC	041	IP	B	40,000	21.58	16-Sep	16-Sep	1,200.00	3.0
TRELLUS PARTNERS LP	028	IP	C	20,000	21.30	16-Sep	16-Sep	1,000.00	5.0
BALYASNY ASSET MGMT	044	IVZ	S	125,000	21.62	6-Aug	24-Sep	6,250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>IWM</b>	<b>SS</b>	<b>210,000</b>	<b>60.16</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>IWM</b>	<b>SS</b>	<b>5,000</b>	<b>60.56</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCG</b>	<b>S</b>	<b>40,000</b>	<b>35.23</b>	<b>n/a</b>	<b>30-Jan</b>	<b>1,600.00</b>	<b>4.0</b>
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>JCI</b>	<b>B</b>	<b>5000</b>	<b>26.29</b>	<b>15-Sep</b>	<b>15-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JOSB</b>	<b>S</b>	<b>36,452</b>	<b>45.37</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KARSCH CAPITAL	034	KBH	S	179,830	18.66	n/a	n/a	5,394.90	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KCP</b>	<b>S</b>	<b>21,300</b>	<b>10.40</b>	<b>n/a</b>	<b>28-Sep</b>	<b>852.00</b>	<b>4.0</b>
SIGMA CAP BOBBY	044	KG	B	25,000	10.50	14-Aug	21-Sep	1,000.00	4.0
PATTEN & PATTEN	067	KMB	B	850	58.47	27-Jul	27-Jul	42.50	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>KMX</b>	<b>S</b>	<b>100,000</b>	<b>19.88</b>	<b>n/a</b>	<b>10-Jan</b>	<b>non-brg</b>	<b>4.0</b>
ROBX	302	KO	S	99,800	52.65	n/a	n/a	3,992.00	4.0
EXIS CAPITAL	044	KSS	SS	5,000	54.74	21-Sep	21-Sep	250.00	5.0
PATTEN & PATTEN	067	LOW	S	3,500	21.60	2-Sep	2-Sep	175.00	5.0
BMO NESBITT BURNS	041	LPX	B	27,500	6.78	23-Sep	23-Sep	1,375.00	5.0
FIRST NEW YORK LEDDY	035	LVL	B	20,000	1.31	n/a	4-Jan	1,200.00	6.0
EXIS CAPITAL	044	MCD	B	20,000	55.84	n/a	9-Sep	1,000.00	5.0
GRISANTI BROWN & PARTNER	048	MDR	S	3,500	25.87	n/a	n/a	175.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>MDY</b>	<b>SS</b>	<b>5,000</b>	<b>124.59</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
PZENA INV ADV	044	MGA	B	71,000	41.62	n/a	n/a	2,485.22	3.5
BTIG/KDI ADV	039	MIDD	B	200	55.35	23-Sep	23-Sep	8.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>MNRO</b>	<b>S</b>	<b>5,000</b>	<b>30.32</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
BMO NESBITT BURNS	041	MRX	SS	1,500	20.85	n/a	n/a	60.00	4.0
BMO NESBITT BURNS	041	MRX	S	4,500	20.88	n/a	n/a	180.00	4.0
BASIX	033	MTW	B	20,000	9.72	11-Sep	11-Sep	600.00	3.0
MERRILL ASSET/BLACKROCK	214	MVL	S	14,350	49.86	n/a	n/a	645.75	4.5
<b>B BUCK CAPITAL MGMT</b>	<b>001</b>	<b>M</b>	<b>B</b>	<b>40,000</b>	<b>18.05</b>	<b>21-Sep</b>	<b>21-Sep</b>	<b>1,600.00</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>M</b>	<b>B</b>	<b>40,000</b>	<b>17.95</b>	<b>21-Sep</b>	<b>21-Sep</b>	<b>non-brg</b>	<b>0.8</b>
<b>f JOHN MICHAEL ZOLIDIS</b>	<b>FID</b>	<b>M</b>	<b>B</b>	<b>400</b>	<b>17.95</b>	<b>21-Sep</b>	<b>21-Sep</b>	<b>0.00</b>	<b>0.0</b>
KLEINHEINZ CAP PART	031	NOV	S	150,000	41.58	n/a	n/a	7,500.00	5.0
S.A.C. HEALTHCARE BOBBY	044	NVO	B	5,000	62.14	n/a	n/a	200.00	4.0
KARSCH CAPITAL	034	ORLY	C	140,920	36.65	n/a	n/a	4,227.60	3.0
COOPER CREEK PART	028	PAG	B	15,000	16.62	n/a	30-Jul	450.00	3.0
GRISANTI BROWN & PARTNER	048	PCX	S	8,500	12.04	n/a	n/a	425.00	5.0
BMO NESBITT BURNS	041	PKG	SS	25,000	19.40	21-Jul	21-Jul	1,250.00	5.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	75,000	19.30	21-Jul	21-Jul	3,750.00	5.0
OZ MGMT	040	PKG	SS	15,000	19.33	21-Jul	21-Jul	450.00	3.0
RBC CAPITAL MARKETS	040	PKG	S	94,000	19.21	21-Jul	21-Jul	3,760.00	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>PM</b>	<b>S</b>	<b>2300</b>	<b>48.17</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

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B BUCK CAPITAL MGMT		PNRA	B	10,000	54.57	30-Jul	30-Jul	non-brg	4.0
f JOSEPH CIRO AMATURO	FID	PZA	B	10000	24.12	n/a	n/a	0.00	0.0
f JESSICA PERNO	FID	RAD	S	200	1.78	n/a	n/a	0.00	0.0
SCOPUS FUND	041	RKT	SS	10,000	46.21	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	RL	B	10,000	73.83	21-Sep	21-Sep	400.00	4.0
THE BOSTON COMPANY	039	RL	S	44,440	74.30	21-Sep	21-Sep	1,777.60	4.0
DAVIDSON INV ADV	035	RTN	B	36,265	47.38	n/a	n/a	1,450.60	4.0
B BUCK CAPITAL MGMT		SDS	B	3,000	40.59	n/a	n/a	non-brg	0.8
METROPOLITAN CAPITAL	044	SKS	B	5,600	6.85	n/a	n/a	280.00	5.0
BUCK CAPITAL MGMT	001	SKX	S	30,000	17.44	n/a	13-Mar	1,200.00	4.0
f SCOTT L BRUNNER	FID	SMN	B	1000	10.81	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	214	SPR	S	12,800	17.38	n/a	n/a	576.00	4.5
B BUCK CAPITAL MGMT		SPY	SS	120,000	105.01	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		SRS	B	10,000	9.90	n/a	n/a	non-brg	0.8
TRELLUS PARTNERS LP	028	SUP	B	1,787	13.74	10-Aug	10-Aug	89.35	5.0
TROUBH PART	067	SUP	B	23,600	14.22	10-Aug	10-Aug	1,180.00	5.0



Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ACK ASSET	028	TIN	SS	19,100	16.21	14-Aug	14-Aug	573.00	3.0
OZ MGMT	040	TIN	SS	50,000	16.14	14-Aug	14-Aug	1,500.00	3.0
<b>f ABRAM M CHAPPELL</b>	<b>FID</b>	<b>TZA</b>	<b>B</b>	<b>80</b>	<b>12.22</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f ABRAM M CHAPPELL</b>	<b>FID</b>	<b>TZA</b>	<b>B</b>	<b>80</b>	<b>12.22</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	067	T	B	1,500	27.37	n/a	4-Jan	75.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>ULTA</b>	<b>S</b>	<b>20,000</b>	<b>15.29</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>B BUCK CAPITAL MGMT</b>		<b>URBN</b>	<b>B</b>	<b>20,000</b>	<b>30.32</b>	<b>n/a</b>	<b>30-Jan</b>	<b>non-brg</b>	<b>4.0</b>
EXIS CAPITAL	044	USB	S	25,000	22.06	n/a	n/a	1,250.00	5.0
<b>f JOHN CAREY MAGUIRE</b>	<b>FID</b>	<b>VIXLZ</b>	<b>B</b>	<b>15</b>	<b>1.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BTIG/KDI ADV	039	WAG	B	17,000	33.55	n/a	n/a	680.00	4.0
FIRST NYS/FENLIN	035	WAG	B	35,000	33.53	n/a	n/a	1,400.00	4.0
GRISANTTI BROWN & PARTNER	048	WBC	S	3,800	20.98	5-Aug	5-Aug	190.00	5.0
BMO NESBITT BURNS	041	WCRX	B	20,000	19.81	31-Aug	23-Sep	800.00	4.0
KARSCH CAPITAL	034	WFC	SS	203,000	28.53	n/a	n/a	6,090.00	3.0
GRISANTTI BROWN & PARTNER	048	WLT	S	1,600	61.49	n/a	n/a	80.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WRC</b>	<b>B</b>	<b>10,000</b>	<b>43.33</b>	<b>21-Sep</b>	<b>21-Sep</b>	<b>400.00</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>WY</b>	<b>B</b>	<b>12,000</b>	<b>36.50</b>	<b>n/a</b>	<b>3-Aug</b>	<b>non-brg</b>	<b>0.8</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	WY	B	30,000	36.44	n/a	3-Aug	1,500.00	5.0
OZ MGMT	040	WY	B	23,156	36.57	n/a	3-Aug	694.68	3.0
PATTEN & PATTEN	067	XOM	S	3,000	69.22	n/a	n/a	150.00	5.0
PZENA INV ADV	044	XOM	B	12,675	68.56	n/a	n/a	443.63	3.5
Ⓐ BUCK CAPITAL MGMT		XRT	SS	20,400	33.62	n/a	n/a	non-brg	0.8
Ⓐ BUCK CAPITAL MGMT		XRT	SS	604,600	33.57	n/a	n/a	non-brg	0.8
BUCK CAPITAL MGMT	001	YUM	SS	40,000	32.91	n/a	15-Jul	1,600.00	4.0
Ⓐ BUCK CAPITAL MGMT		YUM	SS	100,000	32.82	n/a	15-Jul	non-brg	4.0
<b>TOTAL (Trade Date):</b>							<b>136,076.71</b>		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/23	PARTNER REINSURANCE	033	GIL	B	18,300	19.36	21-Sep	21-Sep	732.00 4.0
TOTAL (AO, CXL, CRT) :										732.00

TOTAL (Trade Date):	136,076.71
TOTAL (AO, CXL, CRT):	732.00

TOTAL (RUN DATE) / NFS: 136,808.71

MRI Securities with Trade Activity on 24-Sep.  
ARG, AXP

MRI Securities without Trade Activity on 24-Sep.  
FII

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 43%  
YTD = 21%

<b><u>Legend:</u></b>
<b>Õ: Employee Trades in Outside Accounts</b>
<b>ß: Non-BRG BCM Trades</b>
[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)