



Daily Compliance Activity Report

Trade Date: 12/02/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------------|-------------|----------|------------|--------------|------------|---------------|--------------|------------|
| MILLENNIUM-ANDEW | 031 | ABB | B | 6,000 | 18.83 | n/a | n/a | 360.00 | 6.0 |
| MILLENNIUM-ANDEW | 031 | ABFS | SS | 7,000 | 26.19 | n/a | n/a | 420.00 | 6.0 |
| f DAVID GEORGE BUCK | FID | ABII | B | 500 | 35.68 | n/a | n/a | 0.00 | 0.0 |
| SCOPUS FUND | 041 | ADP | B | 100,000 | 43.95 | n/a | n/a | 5,000.00 | 5.0 |
| CAERUS GLOBAL | 041 | AEO | B | 13,200 | 15.23 | n/a | 1-Dec | 528.00 | 4.0 |
| JP MORGAN VENTURES | 046 | AEO | B | 15,000 | 15.40 | n/a | 1-Dec | 750.00 | 5.0 |
| PEREGRINE | 030 | AEO | B | 25,000 | 15.21 | n/a | 1-Dec | 1,000.00 | 4.0 |
| ARMATURE CAPITAL | 041 | AEP | S | 10,000 | 33.82 | n/a | n/a | 400.00 | 4.0 |
| MILLRACE FUND LP | 028 | ALGT | SS | 8,500 | 43.97 | n/a | n/a | 0.00 | 0.0 |
| STRONG/MARK GRONET | 030 | ALK | S | 5,000 | 30.09 | n/a | n/a | 200.00 | 4.0 |
| SANDLER O'NEILL ASSET | 031 | AMG | S | 5,000 | 66.24 | n/a | 2-Dec | 250.00 | 5.0 |
| JMP ASSET MGMT | 210 | AMSC | B | 2,500 | 34.15 | n/a | n/a | 125.00 | 5.0 |
| TRELLUS PARTNERS LP | 028 | AN | B | 36,500 | 17.77 | n/a | 30-Oct | 1,825.00 | 5.0 |
| LOMBARDIA CAP MGMT | 048 | ARCC | S | 38,961 | 11.96 | n/a | n/a | 1,886.69 | 4.9 |
| f NANCY KARP | FID | ARGN | S | 500 | 7.34 | n/a | 29-Oct | 0.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------------|----------------|----------|---------------|--------------|------------|--------------|----------------|------------|
| B BUCK CAPITAL MGMT | | AXL | S | 47,070 | 6.97 | n/a | 2-Nov | non-brg | 2.5 |
| SANDLER O'NEILL ASSET | 031 | AXP | B | 25,000 | 41.18 | n/a | 2-Dec | 1,250.00 | 5.0 |
| CHILTON CAPITAL MGMT. | 036 | BAC | SS | 100,000 | 15.63 | n/a | 24-Nov | 3,000.00 | 3.0 |
| HARBORWATCH/DIAMBACK | 232 | BA | B | 10,000 | 53.55 | n/a | 2-Dec | 500.00 | 5.0 |
| UBS OCONNOR | 031 | BBY | SS | 250,000 | 43.52 | n/a | n/a | 7,500.00 | 3.0 |
| B BUCK CAPITAL MGMT | | BIG | S | 50,000 | 24.02 | n/a | 1-Dec | non-brg | 4.0 |
| RBC CAPITAL MARKETS | 040 | BIG | SS | 35,000 | 23.96 | n/a | 1-Dec | 1,400.00 | 4.0 |
| LEVEL GLOBAL SHARED ACCT | 257 | BJ | SS | 150,000 | 34.25 | n/a | n/a | 4,500.00 | 3.0 |
| COBALT | 041 | BLL | S | 50,000 | 49.38 | n/a | n/a | 2,500.00 | 5.0 |
| SCOPUS FUND | 041 | BWA | SS | 25,000 | 31.23 | n/a | 9-Nov | 1,250.00 | 5.0 |
| B BUCK CAPITAL MGMT | | BWIN AV | B | 10,000 | 57.43 | n/a | n/a | non-brg | 8.6 |
| f EDWARD W WHEELER | FID | CECE | S | 690 | 4.12 | n/a | n/a | 0.00 | 0.0 |
| EXIS CAPITAL | 044 | CENX | B | 20,000 | 10.75 | n/a | n/a | 1,000.00 | 5.0 |
| PORTER-ORLIN-FELDMAN | 044 | CLR | SS | 30,000 | 38.63 | n/a | n/a | 1,500.00 | 5.0 |
| SANDLER CAPITAL | 226 | CMP | B | 40,000 | 66.39 | n/a | n/a | 2,400.00 | 6.0 |
| MILLENNIUM-ANDEW | 031 | CNI | B | 10,000 | 53.23 | n/a | n/a | 600.00 | 6.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|-----|--------|-----|---------|-------|-----|----------|-------------|-----|
| MILLENNIUM-ANDEW | 031 | CNW | SS | 6,200 | 31.61 | n/a | n/a | 372.00 | 6.0 |
| f NANCY KARP | FID | COH | S | 100 | 35.80 | n/a | 21-Oct | 0.00 | 0.0 |
| f EDWARD W WHEELER | FID | CPN | S | 1000 | 11.15 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | CRI | B | 20,000 | 22.90 | n/a | n/a | 800.00 | 4.0 |
| LISTED ERR | 099 | CRK | S | 100 | 37.40 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | DBRN | S | 50,000 | 21.43 | n/a | n/a | non-brg | 4.0 |
| VISIUM/BALY BOBBY | 044 | DBRN | S | 15,000 | 21.51 | n/a | n/a | 750.00 | 5.0 |
| f DAVID GEORGE BUCK | FID | DB | B | 1000 | 73.45 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | DHI | B | 25,000 | 9.90 | n/a | n/a | non-brg | 3.0 |
| ß BUCK CAPITAL MGMT | | DHI | B | 50,000 | 10.02 | n/a | n/a | non-brg | 3.0 |
| f NANCY KARP | FID | DODGX | S | 46 | 95.37 | n/a | n/a | 0.00 | 0.0 |
| f FRANCIS MICHAEL MCCA | FID | FL | B | 300 | 9.97 | n/a | 23-Nov | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | FOSL | S | 20,000 | 32.06 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | FUQI | B | 20,000 | 21.05 | n/a | n/a | non-brg | 4.0 |
| CENTURION GLOBAL MGMT LL | 041 | F | B | 25,000 | 9.03 | n/a | 2-Dec | 750.00 | 3.0 |
| TRAFELET & COMP. | 028 | F | B | 290,000 | 8.99 | n/a | 2-Dec | 8,700.00 | 3.0 |
| TRELLUS PARTNERS LP | 028 | F | B | 100,875 | 8.97 | n/a | 2-Dec | 3,026.25 | 3.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-----------------------|-----|--------|-----|---------|-------|-----|----------|--------------|-----|
| BUCK CAPITAL MGMT | | GES | S | 20,000 | 42.13 | n/a | n/a | non-brg | 2.0 |
| BUCK CAPITAL MGMT | | GES | S | 30,000 | 42.69 | n/a | n/a | non-brg | 4.0 |
| BUCK CAPITAL MGMT | | GIII | S | 17,700 | 19.35 | n/a | n/a | non-brg | 0.8 |
| BUCK CAPITAL MGMT | | GIII | S | 25,000 | 18.89 | n/a | n/a | non-brg | 2.5 |
| BUCK CAPITAL MGMT | | GIII | S | 3,100 | 18.98 | n/a | n/a | non-brg | 2.0 |
| BUCK CAPITAL MGMT | | GIII | S | 45,302 | 18.79 | n/a | n/a | non-brg | 0.8 |
| BUCK CAPITAL MGMT | 001 | GME | B | 10,000 | 22.41 | n/a | n/a | 400.00 | 4.0 |
| f HARALAMBOS EFSTATHI | FID | GME | B | 500 | 21.83 | n/a | n/a | 0.00 | 0.0 |
| JP MORGAN VENTURES | 046 | GPS | SS | 20,000 | 21.93 | n/a | n/a | 1,000.00 | 5.0 |
| f NANCY KARP | FID | GR | S | 100 | 61.03 | n/a | 23-Nov | 0.00 | 0.0 |
| CASTLE ARK | 031 | GWR | B | 48,870 | 31.42 | n/a | n/a | 2,932.20 | 6.0 |
| BUCK CAPITAL MGMT | | GYMB | S | 10,000 | 41.26 | n/a | 1-Dec | non-brg | 4.0 |
| HIGHBRIDGE CAP | 041 | HAS | B | 200,000 | 30.55 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | HBI | S | 30,000 | 24.12 | n/a | n/a | 1,200.00 | 4.0 |
| BUCK CAPITAL MGMT | | HD | SS | 30,000 | 28.31 | n/a | 18-Nov | non-brg | 4.0 |
| UBS OCONNOR | 031 | HD | C | 375,000 | 28.23 | n/a | 18-Nov | 11,250.00 | 3.0 |
| BUCK CAPITAL MGMT | | HGG | S | 20,000 | 21.00 | n/a | n/a | non-brg | 4.0 |
| MILLENNIUM-ANDEW | 031 | INTC | B | 100 | 19.69 | n/a | n/a | 1.00 | 1.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|-------------|----------|---------------|--------------|------------|--------------|----------------|------------|
| MILLENNIUM-ANDEW | 031 | INTC | S | 100 | 19.68 | n/a | n/a | 1.00 | 1.0 |
| APEX CAPITAL MGMT. | 091 | IPI | SS | 90,000 | 32.13 | n/a | n/a | 3,600.00 | 4.0 |
| MILLENNIUM-ANDEW | 031 | ITRI | B | 3,000 | 62.38 | n/a | n/a | 180.00 | 6.0 |
| HIGHBRIDGE CAP | 041 | ITW | B | 110,758 | 48.88 | n/a | 18-Nov | 0.00 | 0.0 |
| NEUBERGER BERMAN | 036 | JAH | B | 116,300 | 28.99 | n/a | n/a | 5,233.50 | 4.5 |
| B BUCK CAPITAL MGMT | | JCG | S | 10,000 | 44.70 | n/a | n/a | non-brg | 4.0 |
| ADAGE CAPITAL MGMT | 030 | JCP | SS | 125,000 | 29.06 | n/a | 1-Dec | 5,000.00 | 4.0 |
| THE JAY GOLDMAN | 028 | JCP | S | 50,000 | 29.19 | n/a | 1-Dec | 2,000.00 | 4.0 |
| NEUBERGER BERMAN | 036 | JKHY | S | 150,000 | 23.15 | n/a | n/a | 6,750.00 | 4.5 |
| ROTHSCHILD ASSET | 040 | JNY | B | 17,920 | 17.05 | n/a | 29-Oct | 806.40 | 4.5 |
| B BUCK CAPITAL MGMT | | JOSB | S | 60,000 | 43.87 | n/a | n/a | non-brg | 4.0 |
| f ROBERT M DANIELS | FID | JST | S | 100 | 45.45 | n/a | n/a | 0.00 | 0.0 |
| MILLENNIUM-ANDEW | 031 | KNX | SS | 7,000 | 17.63 | n/a | n/a | 420.00 | 6.0 |
| f NEIL M STRATTON | FID | KOMV | B | 2 | 0.07 | n/a | n/a | 0.00 | 0.0 |
| f STRATTON PAR TNERSHI | FID | KOMV | B | 2 | 0.07 | n/a | n/a | 0.00 | 0.0 |
| BERMAN CAPITAL MGMT | 046 | KSS | B | 4,000 | 53.61 | n/a | 1-Dec | 200.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | KSS | B | 20,000 | 53.75 | n/a | 1-Dec | 800.00 | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|-------------|-----------|----------------|---------------|------------|--------------|----------------|-------------|
| LEVEL GLOBAL SHARED ACCT | 257 | KSS | B | 125,000 | 53.67 | n/a | 1-Dec | 3,750.00 | 3.0 |
| B BUCK CAPITAL MGMT | | LL | S | 20,000 | 25.22 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | LL | S | 30,000 | 25.40 | n/a | n/a | non-brg | 4.0 |
| f EDWARD W WHEELER | FID | LPX | S | 10000 | 6.54 | n/a | 4-Nov | 0.00 | 0.0 |
| KLEINHEINZ CAP PART | 031 | LPX | B | 100,000 | 6.41 | n/a | 4-Nov | 5,000.00 | 5.0 |
| NEUBERGER BERMAN | 036 | MDRX | B | 64,150 | 20.43 | n/a | n/a | 2,886.75 | 4.5 |
| f EDWARD W WHEELER | FID | MET | S | 600 | 34.97 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | MVRX | SS | 100,000 | 166.40 | n/a | n/a | non-brg | 16.6 |
| B BUCK CAPITAL MGMT | | M | B | 150,000 | 16.25 | n/a | 1-Dec | non-brg | 4.0 |
| ISLE RIDGE PARTNERS | 041 | M | SS | 50,000 | 16.23 | n/a | 1-Dec | 2,000.00 | 4.0 |
| LEVEL GLOBAL SHARED ACCT | 257 | M | SS | 200,000 | 16.19 | n/a | 1-Dec | 6,000.00 | 3.0 |
| STELLIAM INV ADV | 034 | M | B | 20,000 | 16.24 | n/a | 1-Dec | 1,000.00 | 5.0 |
| FULLER & THALER ASSET | 033 | NDN | B | 29,000 | 12.30 | n/a | 1-Dec | 870.00 | 3.0 |
| MILLENNIUM-ANDEW | 031 | NSC | B | 6,000 | 52.32 | n/a | n/a | 360.00 | 6.0 |
| B BUCK CAPITAL MGMT | | NTY | S | 30,000 | 41.90 | n/a | n/a | non-brg | 4.0 |
| BUCK CAPITAL MGMT | 001 | NWY | S | 20,000 | 4.40 | n/a | n/a | 400.00 | 2.0 |
| f RAGHAV NAYAR | FID | NWY | S | 300 | 4.42 | n/a | n/a | 0.00 | 0.0 |
| MILLENNIUM-ANDEW | 031 | ODFL | SS | 6,600 | 26.81 | n/a | n/a | 396.00 | 6.0 |
| B BUCK CAPITAL MGMT | | PAG | B | 50,000 | 15.45 | n/a | 2-Nov | non-brg | 4.0 |

| | Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|---|--------------------------|-----|---------|-----|---------|-------|-----|----------|--------------|-----|
| f | EDWARD W WHEELER | FID | PAG | S | 10000 | 15.47 | n/a | 2-Nov | 0.00 | 0.0 |
| | CHILTON CAPITAL MGMT. | 036 | PBR | S | 96,581 | 52.63 | n/a | n/a | 2,897.43 | 3.0 |
| f | DAVID GEORGE BUCK | FID | PBR | B | 1000 | 52.79 | n/a | n/a | 0.00 | 0.0 |
| | CSFB GLOBAL PROPRIETARY | 041 | PCH | B | 64,300 | 30.21 | n/a | 30-Oct | 3,215.00 | 5.0 |
| | RAMIUS CAP | 040 | PCL | B | 62,475 | 34.94 | n/a | 30-Oct | 2,499.00 | 4.0 |
| | COOPER CREEK PART | 028 | PHK | B | 20,000 | 10.86 | n/a | n/a | 800.00 | 4.0 |
| | ASCEND PARTNERS | 033 | PLCE | C | 20,000 | 31.53 | n/a | 1-Dec | 1,000.00 | 5.0 |
| B | BUCK CAPITAL MGMT | | PLCE | S | 100,000 | 31.64 | n/a | 1-Dec | non-brg | 4.0 |
| | DIAMONDBACK CAP MGMT | 232 | PLCE | C | 25,000 | 31.83 | n/a | 1-Dec | 1,250.00 | 5.0 |
| | BAIRD INVESTMENT | 047 | PLXS | B | 40,725 | 27.87 | n/a | n/a | 2,036.25 | 5.0 |
| f | DAVID GEORGE BUCK | FID | PM | B | 500 | 49.25 | n/a | n/a | 0.00 | 0.0 |
| B | BUCK CAPITAL MGMT | | PNRA | S | 30,000 | 65.46 | n/a | 18-Nov | non-brg | 4.0 |
| | DENVER INST. ADV | 046 | PRGO | B | 68,536 | 40.14 | n/a | 30-Nov | 2,741.44 | 4.0 |
| B | BUCK CAPITAL MGMT | | PRTY LN | B | 100,000 | 4.29 | n/a | n/a | non-brg | 0.6 |
| | MILLRACE FUND LP | 028 | PRX | B | 8,091 | 24.52 | n/a | 2-Dec | 323.64 | 4.0 |
| | ISLE RIDGE PARTNERS | 041 | PSS | S | 20,000 | 20.36 | n/a | n/a | 800.00 | 4.0 |
| | LEVEL GLOBAL SHARED ACCT | 257 | PSS | B | 200,000 | 20.42 | n/a | n/a | 6,000.00 | 3.0 |
| B | BUCK CAPITAL MGMT | | PVH | S | 30,000 | 41.80 | n/a | 20-Nov | non-brg | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|--------------|----------|----------------|--------------|------------|------------|-----------------|------------|
| MILLENNIUM-ANDEW | 031 | PWR | B | 5,000 | 19.25 | n/a | n/a | 300.00 | 6.0 |
| f NANCY KARP | FID | QQQQ | S | 50 | 44.08 | n/a | n/a | 0.00 | 0.0 |
| f EDWARD W WHEELER | FID | RAE | S | 7394 | 0.71 | n/a | n/a | 0.00 | 0.0 |
| SCOGGIN CAP | 039 | RAH | S | 31,500 | 58.51 | n/a | n/a | 945.00 | 3.0 |
| LOMBARDIA CAP MGMT | 048 | RHB | S | 11,448 | 29.12 | n/a | n/a | 554.40 | 4.9 |
| f DAVID GEORGE BUCK | FID | RIG | S | 1000 | 86.43 | n/a | n/a | 0.00 | 0.0 |
| EXIS CAPITAL | 044 | RJA | B | 25,000 | 8.00 | n/a | n/a | 1,250.00 | 5.0 |
| HUTCHIN HILL CAPITAL LP | 233 | ROST | B | 8,477 | 44.60 | n/a | n/a | 254.31 | 3.0 |
| f NANCY KARP | FID | RSRAX | S | 454 | 7.13 | n/a | n/a | 0.00 | 0.0 |
| CSFB GLOBAL PROPRIETARY | 041 | RYN | B | 70,000 | 39.73 | n/a | 30-Oct | 3,500.00 | 5.0 |
| f EDWARD W WHEELER | FID | SCSC | B | 10000 | 24.19 | n/a | n/a | 0.00 | 0.0 |
| MILLENNIUM-ANDEW | 031 | SHAW | B | 5,500 | 29.18 | n/a | n/a | 330.00 | 6.0 |
| f EDWARD W WHEELER | FID | SHS | S | 5000 | 8.98 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | SKX | B | 100,000 | 23.99 | n/a | n/a | 4,000.00 | 4.0 |
| f DAVID GEORGE BUCK | FID | SLB | S | 700 | 63.89 | n/a | n/a | 0.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------------|------------|------------|----------|---------------|--------------|------------|--------------|-----------------|------------|
| CHILTON CAPITAL MGMT. | 036 | SLV | S | 191,941 | 18.87 | n/a | n/a | 5,758.23 | 3.0 |
| ARMATURE CAPITAL | 041 | SO | B | 35,000 | 32.62 | n/a | n/a | 1,400.00 | 4.0 |
| f DAVID GEORGE BUCK | FID | SPG | S | 1200 | 74.94 | n/a | n/a | 0.00 | 0.0 |
| LAGRANGE CAP ADV | 048 | SSO | SS | 60,000 | 38.07 | n/a | n/a | 3,000.00 | 5.0 |
| HARBORWATCH/DIAMBACK | 232 | STLD | C | 25,000 | 17.82 | n/a | n/a | 1,250.00 | 5.0 |
| BALYASNY ASSET MGMT | 044 | SUP | S | 5,000 | 15.15 | n/a | 9-Nov | 250.00 | 5.0 |
| BERMAN CAPITAL MGMT | 046 | TGT | S | 5,000 | 47.63 | n/a | 1-Dec | 250.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | TGT | S | 40,000 | 47.25 | n/a | 1-Dec | 1,600.00 | 4.0 |
| f CHRISTOPHER ROBERT C | FID | TGT | B | 100 | 47.44 | n/a | 1-Dec | 0.00 | 0.0 |
| THE JAY GOLDMAN | 028 | TGT | S | 40,000 | 47.58 | n/a | 1-Dec | 1,600.00 | 4.0 |
| TRUSTCO/SUNTRUST | 040 | TIN | B | 22,700 | 19.59 | n/a | 22-Oct | 885.30 | 3.9 |
| BUCK CAPITAL MGMT | 001 | TJX | S | 20,000 | 38.53 | n/a | 1-Dec | 800.00 | 4.0 |
| f NANCY KARP | FID | TLB | S | 200 | 6.72 | n/a | n/a | 0.00 | 0.0 |
| LAGRANGE CAP ADV | 048 | TSO | B | 10,000 | 12.50 | n/a | n/a | 500.00 | 5.0 |
| f FRANCIS MICHAEL MCCA | FID | TWI | B | 400 | 9.15 | n/a | n/a | 0.00 | 0.0 |
| COOPER CREEK PART | 028 | ULTA | B | 22,500 | 18.12 | n/a | n/a | 900.00 | 4.0 |
| f JOSEPH CIRO AMATURO | FID | UNG | B | 10000 | 8.91 | n/a | n/a | 0.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|---------------------|-----|--------|-----|---------|-------|-----|----------|--------------|-----|
| MILLENNIUM-ANDEW | 031 | UNP | B | 6,000 | 64.92 | n/a | n/a | 360.00 | 6.0 |
| Õ Alice Longley | | VPU | B | 1000 | 63.93 | n/a | n/a | 0.00 | 0.0 |
| SOROS | 036 | WAG | B | 63,752 | 37.32 | n/a | n/a | 2,550.08 | 4.0 |
| BENCHMARK | 025 | WEN | S | 7,300 | 4.19 | n/a | 6-Nov | 365.00 | 5.0 |
| MILLENNIUM-ANDEW | 031 | WERN | SS | 7,000 | 19.35 | n/a | n/a | 420.00 | 6.0 |
| BUCK CAPITAL MGMT | 001 | WRC | S | 40,000 | 43.77 | n/a | 5-Nov | 1,600.00 | 4.0 |
| KLEINHEINZ CAP PART | 031 | WY | B | 145,000 | 41.31 | n/a | 2-Nov | 7,250.00 | 5.0 |
| OZ MGMT | 040 | WY | S | 26,500 | 41.35 | n/a | 2-Nov | 795.00 | 3.0 |
| RAMIUS CAP | 040 | WY | B | 49,000 | 41.26 | n/a | 2-Nov | 1,960.00 | 4.0 |
| T. ROWE PRICE | 033 | WY | B | 147,741 | 41.30 | n/a | 2-Nov | 5,909.64 | 4.0 |
| ß BUCK CAPITAL MGMT | | XRT | SS | 23,800 | 35.31 | n/a | n/a | non-brg | 0.8 |
| TOTAL (Trade Date): | | | | | | | | 193,079.51 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|-------------------------------|-------|---------------------|------|--------|-----|--------|-------|-----|----------|------------------|
| AO, | 11/27 | LISTED ERR | 099 | CRK | B | 100 | 37.87 | n/a | n/a | 0.00 0.0 |
| AO,CRT | 11/27 | CASTLEROCK | 040 | CRK | B | 61,897 | 37.87 | n/a | n/a | 2475.88 4.0 |
| AO,CXL | 11/27 | CASTLEROCK | 040 | CRK | B | 61,997 | 37.87 | n/a | n/a | 2479.88 4.0 |
| AO,CRT | 11/30 | TRELLUS PARTNERS LP | 028 | F | B | 50,000 | 8.77 | n/a | 2-Dec | 1500.00 3.0 |
| AO,CXL | 11/30 | TRELLUS PARTNERS LP | 028 | F | B | 50,000 | 8.77 | n/a | 2-Dec | 2500.00 5.0 |
| AO,CXL | 12/01 | BUCK CAPITAL MGMT | 001 | HBI | S | 20,000 | 24.01 | n/a | n/a | 800.00 4.0 |
| AO,CRT | 12/01 | BUCK CAPITAL MGMT | 001 | HBI | S | 20,000 | 24.01 | n/a | n/a | 800.00 4.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | -1,004.00 |

| | |
|------------------------|------------|
| TOTAL (Trade Date) : | 193,079.51 |
| TOTAL (AO, CXL, CRT) : | -1,004.00 |

| | |
|---------------------------------|-------------------|
| TOTAL (RUN DATE) / NFS : | 192,075.51 |
|---------------------------------|-------------------|

MRI Securities with Trade Activity on 2-Dec.
NONE

MRI Securities without Trade Activity on 2-Dec.
DG, ADM

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

T-Date = 18%

YTD = 19%

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)