



Daily Compliance Activity Report

Trade Date: 10/29/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		AAPL	B	10,000	108.45	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		AAP	SS	30,000	26.20	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		ADS GR	SS	50,000	34.28	n/a	n/a	non-brg	6.9
BUCK CAPITAL MGMT		ADS GR	SS	50,000	35.11	n/a	n/a	non-brg	7.0
COUGAR TRADING	044	AEO	B	10,000	10.74	n/a	10-Oct	500.00	5.0
SUN AMERICA ASSET MGMT	030	AEO	S	70,000	10.78	n/a	10-Oct	2,800.00	4.0
ARAGON GLOBAL	041	ALU	B	68,325	2.24	n/a	n/a	2,049.75	3.0
BUCK CAPITAL MGMT		ALV	S	151,600	20.75	22-Oct	22-Oct	non-brg	4.0
BUCK CAPITAL MGMT	001	AMG	S	72,025	40.07	23-Oct	27-Oct	2,881.00	4.0
SCOPUS FUND	041	ANF	SS	5,000	27.41	7-Aug	10-Oct	250.00	5.0
LEVIN CAPITAL STRATEGIES	012	APC	B	15,000	32.56	n/a	24-Oct	600.00	4.0
ARAGON GLOBAL	041	APOL	B	11,300	65.87	n/a	n/a	565.00	5.0
BUCK CAPITAL MGMT		APP	B	30,000	5.13	n/a	n/a	non-brg	3.0
COUGAR TRADING	044	ARO	B	10,000	23.71	n/a	10-Oct	500.00	5.0
COUGAR TRADING	044	ARO	S	5,000	24.15	n/a	10-Oct	250.00	5.0
DEMARTINI	065	ASH	S	200	23.44	14-Jul	28-Oct	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
ß BUCK CAPITAL MGMT		BBBY	SS	100,000	24.51	n/a	n/a	non-brg 4.0
ß BUCK CAPITAL MGMT		BBBY	SS	150,000	23.96	n/a	n/a	non-brg 4.0
ß BUCK CAPITAL MGMT		BBBY	SS	50,000	23.46	n/a	n/a	non-brg 1.0
BUCK CAPITAL MGMT	001	BBY	SS	40,000	23.23	n/a	27-Jul	1,600.00 4.0
ß BUCK CAPITAL MGMT		BDK	SS	20,000	48.38	n/a	n/a	non-brg 4.0
ß BUCK CAPITAL MGMT		BHI	S	62,500	34.20	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT	001	BIG	B	30,000	22.99	n/a	9-Oct	1,200.00 4.0
HARVEST MGMT	039	BIG	S	20,000	21.38	n/a	9-Oct	1,000.00 5.0
BUCK CAPITAL MGMT	001	BJ	B	30,000	34.33	n/a	27-Jul	1,200.00 4.0
BUCK CAPITAL MGMT	001	BKE	B	60,000	39.36	n/a	n/a	2,400.00 4.0
ß BUCK CAPITAL MGMT		BPOP	C	20,000	7.24	n/a	n/a	non-brg 4.0
HART	056	BWAWD	S	20	1.60	n/a	n/a	0.00 0.0
ß BUCK CAPITAL MGMT		BWA	C	140,000	21.37	10-Jun	20-Oct	non-brg 4.0
ß BUCK CAPITAL MGMT		BYI	B	80,000	19.86	n/a	n/a	non-brg 4.0
ß BUCK CAPITAL MGMT		CAKE	C	20,000	8.20	n/a	24-Oct	non-brg 4.0
APEX CAPITAL MGMT.	091	CCI	C	70,000	19.83	n/a	n/a	2,800.00 4.0
LEVIN CAPITAL STRATEGIES	012	CE	S	25,000	13.03	n/a	n/a	1,000.00 4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	CHH	SS	10,000	28.59	n/a	n/a	400.00	4.0
⌘ BUCK CAPITAL MGMT		CHUX	C	20,000	6.59	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		CJY+WI	C	250	1.83	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		CJY+XH	C	100	2.10	n/a	n/a	non-brg	300.0
AVESTA CAP	229	CNX	B	20,000	26.90	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	COH	B	100,000	18.99	8-Oct	22-Oct	4,000.00	4.0
⌘ BUCK CAPITAL MGMT		COLM	C	10,000	36.90	n/a	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		COST	SS	30,000	56.13	n/a	27-Jul	non-brg	4.0
CAXTON PART	040	CPB	S	146,114	38.24	n/a	n/a	5,114.00	3.5
⌘ BUCK CAPITAL MGMT		CPKI	C	20,000	9.70	8-Oct	13-Oct	non-brg	4.0
SCOPUS FUND	041	CRI	B	10,000	19.00	n/a	n/a	500.00	5.0
JAT CAPITAL MANAGEMENT	041	CSCO	S	84,000	18.05	n/a	22-Mar	4,200.00	5.0
THE BOSTON COMPANY	401	CTRN	B	9	13.70	n/a	n/a	0.36	4.0
⌘ BUCK CAPITAL MGMT		CTX	B	25,000	9.55	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		CTX	S	12,500	10.90	n/a	n/a	non-brg	4.0
SUN AMERICA ASSET MGMT	030	CVS	S	20,000	27.00	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BARON ASSET MGMT*	012	CYH	B	100,000	15.66	2-Oct	2-Oct	4,000.00	4.0
NORTHPOINT	030	CYNO	S	30,900	9.08	n/a	n/a	927.00	3.0
FRONTPOINT/COPIA-ANDREW	031	CYT	B	50,000	26.18	n/a	n/a	2,000.00	4.0
ß BUCK CAPITAL MGMT		DHI	B	2,500	5.05	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		DHI	B	5,000	5.36	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		DHI	S	5,000	5.73	n/a	n/a	non-brg	3.0
STANDARD PACIFIC CAPITAL	040	DHI	B	120,000	5.34	n/a	n/a	6,000.00	5.0
ß BUCK CAPITAL MGMT		DIN	SS	30,000	17.71	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT	001	DIS	SS	30,000	23.81	n/a	n/a	1,200.00	4.0
BUCK CAPITAL MGMT	001	DKS	SS	30,000	13.81	7-Oct	7-Oct	1,200.00	4.0
BUCK CAPITAL MGMT	001	DPZ	B	100,000	5.21	n/a	24-Apr	4,000.00	4.0
ß BUCK CAPITAL MGMT		DPZ	C	80,000	5.02	n/a	24-Apr	non-brg	3.0
ß BUCK CAPITAL MGMT		DSW	S	24,100	11.05	7-Oct	7-Oct	non-brg	2.0
ß BUCK CAPITAL MGMT		DSW	S	75,000	11.02	7-Oct	7-Oct	non-brg	1.0
ß BUCK CAPITAL MGMT		DSW	S	92,487	10.90	7-Oct	7-Oct	non-brg	4.0
KORMAN	003	DUA	S	2,000	14.84	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	DV	SS	10,000	54.68	n/a	n/a	400.00	4.0
ß BUCK CAPITAL MGMT		DXD	B	5,000	75.23	n/a	n/a	non-brg	1.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		EAT	C	90,000	9.14	n/a	24-Apr	non-brg	4.0
ß BUCK CAPITAL MGMT		EBHI	B	43,000	2.93	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT	001	EDU	SS	10,000	54.91	n/a	n/a	400.00	4.0
DISCIPLINED GROWTH INV.	030	ELON	S	75,000	7.27	n/a	n/a	3,750.00	5.0
BUCK CAPITAL MGMT	001	EL	B	100,000	35.74	15-Aug	29-Oct	4,000.00	4.0
COUGAR TRADING	044	EL	SS	5,000	35.14	15-Aug	29-Oct	250.00	5.0
ARAGON GLOBAL	041	ESI	B	8,900	84.00	n/a	n/a	445.00	5.0
TRELLUS PARTNERS LP	028	EV	SS	39,000	20.75	21-Aug	27-Oct	1,950.00	5.0
ß BUCK CAPITAL MGMT		EXBD	SS	10,000	25.71	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	FDO	B	20,000	28.79	23-Jul	9-Oct	800.00	4.0
BUCK CAPITAL MGMT	001	GCO	B	90,000	23.72	n/a	10-Jan	3,600.00	4.0
ß BUCK CAPITAL MGMT		GES+KX	SS	1,000	1.13	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	GES	S	155,000	21.82	n/a	n/a	6,200.00	4.0
ß BUCK CAPITAL MGMT		GES	S	102,936	21.49	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		GES	S	50,000	21.66	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		GES	S	55,100	21.31	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GES	S	9,100	21.16	n/a	n/a	non-brg	4.0
BUCK	015	GISKN	S	10	1.80	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MAIRS AND POWER INV	030	GLW	B	20,000	10.25	29-Oct	29-Oct	1,000.00	5.0
OMEGA ADVISORS	041	GLW	S	400,000	10.47	29-Oct	29-Oct	12,000.00	3.0
⌘ BUCK CAPITAL MGMT		GM+CI	C	5,500	2.94	n/a	n/a	non-brg	200.0
⌘ BUCK CAPITAL MGMT		GM+XA	S	5,500	1.27	n/a	n/a	non-brg	200.0
HART	056	GMCA	B	10	3.25	n/a	n/a	0.00	0.0
HART	056	GMXA	S	10	1.40	n/a	n/a	0.00	0.0
FRONTPOINT/COPIA-ANDREW	031	GMXR	B	39,000	31.50	n/a	n/a	1,365.00	3.5
SUN AMERICA ASSET MGMT	030	GR	B	100,000	36.57	23-Oct	23-Oct	4,000.00	4.0
MILLER	025	GR	S	25	36.50	23-Oct	23-Oct	0.00	0.0
⌘ BUCK CAPITAL MGMT		GSIC	B	100,000	9.08	n/a	n/a	non-brg	4.0
BUCK	015	GSK	S	2,000	38.20	n/a	n/a	0.00	0.0
HART	056	GXQXB	S	10	1.80	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	HES	B	5,000	54.57	n/a	n/a	200.00	4.0
⌘ BUCK CAPITAL MGMT		HOTT	B	168,000	6.64	n/a	10-Oct	non-brg	4.0
⌘ BUCK CAPITAL MGMT		HOTT	B	25,000	6.53	n/a	10-Oct	non-brg	2.0
⌘ BUCK CAPITAL MGMT		HOTT	B	7,000	6.54	n/a	10-Oct	non-brg	1.0
PROSPECTOR PARTNERS LLC	036	HRB	B	20,000	18.90	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEDDY	035	HSC	B	400	20.91	3-Oct	3-Oct	0.00	0.0
DENVER INST. ADV	046	HUM	S	150,000	31.52	n/a	n/a	6,000.00	4.0
BMO NESBITT BURNS	041	IP	SS	25,000	17.69	22-Sep	29-Oct	1,250.00	5.0
B BUCK CAPITAL MGMT		IP	SS	100,000	18.02	22-Sep	29-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		IP	SS	100,000	18.20	22-Sep	29-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		IP	SS	90,000	18.07	22-Sep	29-Oct	non-brg	2.0
COUGAR TRADING	044	IP	SS	15,000	17.73	22-Sep	29-Oct	750.00	5.0
SCOPUS FUND	041	IP	SS	60,000	17.83	22-Sep	29-Oct	3,000.00	5.0
THE JAY GOLDMAN	034	IP	SS	12,500	17.80	22-Sep	29-Oct	500.00	4.0
BALYASNY ASSET MGMT	044	IVZ	B	20,000	13.36	27-Oct	27-Oct	1,000.00	5.0
BALYASNY ASSET MGMT	044	IVZ	SS	40,000	14.43	27-Oct	27-Oct	2,000.00	5.0
HEALY CIRCLE	044	IVZ	B	40,000	12.97	27-Oct	27-Oct	2,000.00	5.0
B BUCK CAPITAL MGMT		IYR	SS	30,000	39.08	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT	001	JCG	SS	50,000	18.12	n/a	17-Sep	2,000.00	4.0
B BUCK CAPITAL MGMT		JCG	SS	50,000	18.73	n/a	17-Sep	non-brg	1.0
COUGAR TRADING	044	JCG	S	10,000	18.01	n/a	17-Sep	500.00	5.0
AVESTA CAP	229	JCP	SS	10,000	21.42	n/a	10-Oct	500.00	5.0
BUCK CAPITAL MGMT	001	JCP	SS	150,000	19.88	n/a	10-Oct	6,000.00	4.0
VALHALLA CAPITAL LP	041	JNPR	B	5,000	18.62	n/a	22-Mar	150.00	3.0
BALYASNY ASSET MGMT	044	JNS	SS	50,000	10.48	25-Jul	27-Oct	2,500.00	5.0
GRUBER MACBAINE	033	JPM	B	15,000	36.84	26-Sep	21-Oct	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SUN AMERICA ASSET MGMT	030	JPM	B	3,800	37.79	26-Sep	21-Oct	152.00	4.0
&SUN	030	JPM	B	5,900	37.79	26-Sep	21-Oct	236.00	4.0
STANDARD PACIFIC CAPITAL	040	KFT	S	160,000	29.12	n/a	n/a	8,000.00	5.0
MS PRINCIPAL STRATEGIES	041	KOG	S	102,200	0.72	n/a	n/a	2,044.00	2.0
⚡ BUCK CAPITAL MGMT		KO	SS	20,000	44.79	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	KSS	B	50,000	30.71	n/a	10-Oct	2,000.00	4.0
COUGAR TRADING	044	KSS	B	5,000	31.85	n/a	10-Oct	250.00	5.0
COUGAR TRADING	044	KSS	SS	5,000	29.42	n/a	10-Oct	250.00	5.0
SUN AMERICA ASSET MGMT	030	KSS	S	23,100	30.77	n/a	10-Oct	924.00	4.0
⚡ BUCK CAPITAL MGMT		KSWS	C	18,600	13.79	n/a	13-Mar	non-brg	4.0
⚡ BUCK CAPITAL MGMT		LEN	B	5,000	6.79	n/a	n/a	non-brg	4.0
LUCHANSKY1	036	LLL	B	100	76.03	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		LL	S	63,100	9.00	n/a	n/a	non-brg	4.0
BALYASNY ASSET MGMT	044	LM	B	50,000	17.34	29-Oct	29-Oct	2,500.00	5.0
BUCK CAPITAL MGMT	001	LM	S	160,000	17.06	29-Oct	29-Oct	6,400.00	4.0
COUGAR TRADING	044	LM	B	10,000	17.42	29-Oct	29-Oct	500.00	5.0
GREEN ARROW CAPITAL	034	LM	B	10,000	17.43	29-Oct	29-Oct	500.00	5.0
LEVIN CAPITAL STRATEGIES	012	LM	B	50,000	18.03	29-Oct	29-Oct	1,500.00	3.0
⚡ BUCK CAPITAL MGMT		LTD	C	40,000	12.30	9-Oct	23-Oct	non-brg	4.0
COUGAR TRADING	044	LTD	SS	5,000	11.80	9-Oct	23-Oct	250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	MAC	S	20,000	22.88	n/a	n/a	800.00	4.0
ß BUCK CAPITAL MGMT		MBFG IM	S	25,000	13.36	n/a	n/a	non-brg	2.7
N STRATTON	014	MCDAE	S	1	34.00	n/a	n/a	0.00	0.0
SUN AMERICA ASSET MGMT	030	MCD	S	31,800	58.82	13-Oct	23-Oct	1,272.00	4.0
HIGHBRIDGE/MS OLDS	041	MDR	B	125,000	13.86	n/a	n/a	5,000.00	4.0
MAGNETAR FINANCIAL	031	MDT	B	75,000	39.64	n/a	22-Apr	2,250.00	3.0
GREEN ARROW CAPITAL	034	MET	S	10,000	29.49	n/a	n/a	500.00	5.0
SUN AMERICA ASSET MGMT	030	MET	S	24,600	30.85	n/a	n/a	984.00	4.0
BUCK CAPITAL MGMT	001	MFB	B	13,400	9.48	n/a	n/a	536.00	4.0
MILLRACE FUND LP	028	MMSI	SS	5,000	17.26	n/a	n/a	200.00	4.0
BUCK	015	MSKT	B	20	0.65	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		MSSR	C	10,000	5.55	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	MW	SS	30,000	14.22	n/a	n/a	1,200.00	4.0
ß BUCK CAPITAL MGMT		MZZ	B	5,000	102.83	n/a	n/a	non-brg	1.0
COUGAR TRADING	044	M	B	5,000	10.68	12-Aug	10-Oct	250.00	5.0
COUGAR TRADING	044	M	S	5,000	11.60	12-Aug	10-Oct	250.00	5.0

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⌘ BUCK CAPITAL MGMT		NAV	SS	100,000	26.37	n/a	n/a	non-brg	4.0
KAICHER	064	NCC	S	2,500	2.46	n/a	n/a	0.00	0.0
AAD CAPITAL	048	NDN	SS	25,000	11.10	18-Sep	9-Oct	750.00	3.0
PROSPECTOR PARTNERS LLC	036	NEM	B	20,000	26.53	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	NKE	SS	100,000	52.02	n/a	n/a	4,000.00	4.0
BUCK CAPITAL MGMT	001	NWY	B	69,000	2.54	n/a	13-Oct	2,760.00	4.0
HUNTER GLOBAL INVESTOR	067	OFC	S	100,000	27.02	n/a	n/a	5,000.00	5.0
⌘ BUCK CAPITAL MGMT		OIH	SS	15,000	94.45	n/a	n/a	non-brg	2.0
LEDDY	035	PBR	B	400	24.82	n/a	n/a	0.00	0.0
HIGHBRIDGE/MS OLDS	041	PCP	B	28,000	54.27	n/a	n/a	1,400.00	5.0
⌘ BUCK CAPITAL MGMT		PENN	B	5,000	14.51	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PENN	S	6,500	16.03	n/a	n/a	non-brg	4.0
COUGAR TRADING	044	PFCB	B	10,000	17.55	n/a	23-Oct	500.00	5.0
⌘ BUCK CAPITAL MGMT		PLCE	B	20,000	29.42	21-Aug	10-Oct	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PNK	B	15,000	3.08	n/a	n/a	non-brg	3.0
⌘ BUCK CAPITAL MGMT		PNK	S	30,000	4.21	n/a	n/a	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BEAR STEARNS ASSET MGMT.	033	PNRA	SS	30,000	40.63	4-Sep	21-Oct	1,200.00	4.0
JP MORGAN VENTURES	046	PVH	B	15,000	22.04	24-Oct	24-Oct	750.00	5.0
LEVIN CAPITAL STRATEGIES	012	PVH	S	50,000	21.50	24-Oct	24-Oct	2,000.00	4.0
⌘ BUCK CAPITAL MGMT		QUK+LO	SS	500	7.55	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		RIG	S	55,000	74.98	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		RL+XG	SS	1,000	1.75	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	RL	SS	355,400	42.65	n/a	24-Oct	14,216.00	4.0
⌘ BUCK CAPITAL MGMT		ROST	SS	10,000	32.18	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		RTH	C	720,000	75.98	n/a	n/a	non-brg	1.0
MERRILL ASSET	032	RTI	B	31,000	14.62	n/a	n/a	1,395.00	4.5
⌘ BUCK CAPITAL MGMT		RYL	B	4,200	15.99	n/a	n/a	non-brg	4.0
EFSTATHIOU	044	SDS	B	100	89.10	n/a	n/a	0.00	0.0
KERN	050	SDS	S	200	85.00	n/a	n/a	0.00	0.0
BUCK	015	SGPPRB	B	600	132.00	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		SHPGY	S	39,300	37.40	15-Oct	28-Oct	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SLB	S	44,300	52.87	n/a	n/a	non-brg	4.0

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EFSTATHIOU	044	SMG	SS	300	24.46	22-Sep	22-Sep	0.00	0.0
MERRILL ASSET	032	SM	B	22,200	22.06	n/a	n/a	999.00	4.5
⚡ BUCK CAPITAL MGMT		SPLS	C	120,000	16.53	n/a	27-Jul	non-brg	4.0
COUGAR TRADING	044	SSO	B	10,000	30.28	n/a	n/a	500.00	5.0
DSG CAPITAL	225	SSO	B	5,000	29.99	n/a	n/a	250.00	5.0
PROSPECTOR PARTNERS LLC	036	STFC	B	10,000	22.64	n/a	n/a	400.00	4.0
DECADE CAPITAL PARTNERS	040	STI	S	25,000	40.75	n/a	n/a	1,250.00	5.0
HART	056	SUPWV	S	10	1.40	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		SUP	C	40,000	11.69	17-Oct	20-Oct	non-brg	4.0
KERN	050	SWNWE	B	30	1.55	n/a	n/a	0.00	0.0
KERN	050	SWNWE	S	30	1.20	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	TGT	SS	80,000	39.23	n/a	22-Oct	3,200.00	4.0
LEVIN CAPITAL STRATEGIES	012	TGT	B	50,000	40.52	n/a	22-Oct	2,000.00	4.0
⚡ BUCK CAPITAL MGMT		TIN	B	380,800	4.87	29-Oct	29-Oct	non-brg	3.0
⚡ BUCK CAPITAL MGMT		TJX	B	150,000	26.13	11-Aug	10-Oct	non-brg	4.0
⚡ BUCK CAPITAL MGMT		TJX	B	50,000	26.10	11-Aug	10-Oct	non-brg	4.0
⚡ BUCK CAPITAL MGMT		TLB	B	50,000	9.17	7-Aug	30-Sep	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CASTLEROCK	040	TLB	B	151,567	9.53	7-Aug	30-Sep	6,062.68	4.0
⌘ BUCK CAPITAL MGMT		TRLG	B	50,000	15.31	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		TSCO	SS	20,000	38.24	n/a	n/a	non-brg	4.0
BEAR STEARNS ASSET MGMT.	033	TWB	SS	21,700	7.78	n/a	1-Oct	868.00	4.0
⌘ BUCK CAPITAL MGMT		TWB	B	50,000	7.89	n/a	1-Oct	non-brg	4.0
⌘ BUCK CAPITAL MGMT		URBN	B	70,000	22.03	14-Aug	1-Oct	non-brg	4.0
⌘ BUCK CAPITAL MGMT		URQ+LE	SS	2,000	1.32	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		URQ+XD	SS	2,000	2.28	n/a	n/a	non-brg	300.0
DECADE CAPITAL PARTNERS	040	USB	B	10,000	30.19	n/a	n/a	500.00	5.0
⌘ BUCK CAPITAL MGMT		USTR	C	20,000	31.91	n/a	27-Jul	non-brg	1.0
BUCK CAPITAL MGMT	001	VFC	B	20,000	55.71	n/a	n/a	800.00	4.0
HUNTER GLOBAL INVESTOR	067	VNO	S	32,300	61.57	n/a	n/a	1,615.00	5.0
SUN AMERICA ASSET MGMT	030	VZ	S	50,000	31.15	n/a	4-Jan	2,000.00	4.0
⌘ BUCK CAPITAL MGMT		WBC	B	190,000	16.88	3-Oct	3-Oct	non-brg	4.0
⌘ BUCK CAPITAL MGMT		WBC	B	30,000	17.02	3-Oct	3-Oct	non-brg	1.0
FRONTPOINT CHRIS C	041	WMI	S	8,800	29.50	n/a	n/a	352.00	4.0
⌘ BUCK CAPITAL MGMT		WMT+KY	SS	1,000	1.30	n/a	n/a	non-brg	300.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AVESTA CAP	229	WMT	S	20,000	55.01	10-Oct	29-Oct	1,000.00	5.0
Ⓐ BUCK CAPITAL MGMT		WMT	B	550,000	55.03	10-Oct	29-Oct	non-brg	4.0
SUN AMERICA ASSET MGMT	030	WMT	B	6,900	55.69	10-Oct	29-Oct	276.00	4.0
&SUN	030	WMT	B	10,700	55.69	10-Oct	29-Oct	428.00	4.0
CASTLE ARK	031	WRC	B	41,300	26.02	24-Oct	24-Oct	2,478.00	6.0
LEVIN CAPITAL STRATEGIES	012	WYE	B	50,000	34.16	n/a	31-Mar	2,000.00	4.0
LEVIN CAPITAL STRATEGIES	012	XOM	C	25,000	76.19	n/a	n/a	1,000.00	4.0
TOTAL (Trade Date):								228,344.79	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/28	BULL PATH CAPITAL	044	LAMR	B	44,000	12.96	n/a	n/a	2200.00 5.0
AO,CXL	10/28	BULL PATH CAPITAL	044	LAMR	B	44,000	12.96	n/a	n/a	2200.00 5.0
AO,CRT	10/28	SATELITE/BOBBY	044	M	S	25,000	9.47	12-Aug	10-Oct	750.00 3.0
AO,CXL	10/28	SATELITE/BOBBY	044	M	S	25,000	9.47	12-Aug	10-Oct	1000.00 4.0
AO,CXL	10/28	STELLIAM INV ADV	040	NEM	S	20,000	22.76	n/a	n/a	1000.00 5.0
AO,CRT	10/28	STELLIAM INV ADV	040	NEM	S	20,000	22.76	n/a	n/a	1000.00 5.0
AO,CXL	10/28	STELLIAM INV ADV	040	SNDK	B	65,000	7.86	n/a	n/a	3250.00 5.0
AO,CRT	10/28	STELLIAM INV ADV	040	SNDK	B	65,000	7.86	n/a	n/a	1950.00 3.0
AO,CRT	10/28	SATELITE/BOBBY	044	XLY	SS	25,000	19.47	n/a	n/a	750.00 3.0
AO,CXL	10/28	SATELITE/BOBBY	044	XLY	SS	25,000	19.47	n/a	n/a	1000.00 4.0

TOTAL (AO, CXL, CRT) :**-1,800.00**

TOTAL (Trade Date):

228,344.79

TOTAL (AO, CXL, CRT):

-1,800.00

TOTAL (RUN DATE) / NFS:**226,544.79**

MRI Securities with Trade Activity on 29-Oct.

GLW, LM, TIN

MRI Securities without Trade Activity on 29-Oct.

ARGN, BYD, RCL, URI

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

T-Date = 26%

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