



Daily Compliance Activity Report

Trade Date: 09/16/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|-----|--------|-----|---------|-------|--------|----------|--------------|-----|
| BUCK CAPITAL MGMT | 001 | AAN | S | 20,000 | 26.10 | n/a | n/a | 800.00 | 4.0 |
| RBC CAPITAL MARKETS | 040 | AEO | B | 30,000 | 16.48 | 25-Jun | 4-Sep | 1,200.00 | 4.0 |
| B BUCK CAPITAL MGMT | | AMWD | B | 5,000 | 20.04 | n/a | n/a | non-brg | 0.8 |
| MERRILL ASSET/BLACKROCK | 214 | ANDE | S | 11,300 | 35.45 | n/a | n/a | 508.50 | 4.5 |
| SIGMA CAPITAL ASSOCIATES | 041 | ANN | S | 50,000 | 16.90 | n/a | 30-Jan | 2,000.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | AN | B | 45,000 | 18.37 | 3-Aug | 5-Aug | 1,800.00 | 4.0 |
| DSG CAPITAL | 225 | APC | B | 2,000 | 63.15 | 17-Sep | 16-Sep | 100.00 | 5.0 |
| B BUCK CAPITAL MGMT | | APP | S | 20,000 | 3.76 | n/a | n/a | non-brg | 2.0 |
| WAGONHOUND/NIC | 048 | ARD | S | 1,512 | 35.48 | n/a | n/a | 60.48 | 4.0 |
| ARTX | 304 | ATHR | B | 106,200 | 27.72 | n/a | n/a | 5,310.00 | 5.0 |
| f HARALAMBOS EFSTATHI | FID | ATVI | B | 700 | 11.72 | n/a | n/a | 0.00 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | ATVI | B | 700 | 11.74 | n/a | n/a | 0.00 | 0.0 |
| f MANNY I KORMAN | FID | BACPRU | B | 5000 | 18.19 | n/a | n/a | 0.00 | 0.0 |
| ARTX | 304 | BARE | S | 57,000 | 11.11 | n/a | n/a | 2,850.00 | 5.0 |
| MILLENIUUM PARTNERS | 028 | BBY | SS | 37,537 | 38.37 | n/a | 27-Jul | 1,501.48 | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------------|------------|-------------|----------|----------------|--------------|------------|---------------|----------------|------------|
| CRAMER ROSENTHAL/SCOTT | 012 | BCR | S | 3,260 | 81.26 | n/a | 22-Apr | 130.40 | 4.0 |
| MANNING & NAPIER | 034 | BEN | S | 54,370 | 99.66 | 4-Sep | 14-Sep | 1,631.10 | 3.0 |
| LONG OAR GLOBAL INV | 040 | BGC | SS | 8,100 | 40.04 | n/a | n/a | 324.00 | 4.0 |
| B BUCK CAPITAL MGMT | | BJ | C | 120,000 | 37.02 | n/a | 27-Jul | non-brg | 4.0 |
| SCOPUS FUND | 041 | BKI | S | 25,000 | 11.09 | n/a | n/a | 1,250.00 | 5.0 |
| B BUCK CAPITAL MGMT | | BKS | C | 50,000 | 22.09 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | BONT | B | 39,180 | 9.00 | n/a | 6-Feb | non-brg | 2.5 |
| f ALICE BEEBE LONGLEY | FID | BUD | B | 300 | 46.22 | n/a | n/a | 0.00 | 0.0 |
| TRELLUS PARTNERS LP | 028 | BWA | B | 30,000 | 32.70 | 3-Aug | 24-Aug | 1,500.00 | 5.0 |
| GREEN ARROW DOUG | 040 | CAKE | SS | 20,000 | 19.76 | 24-Jul | 24-Jul | 1,000.00 | 5.0 |
| f MICHAEL THOMAS NOLAN | FID | CAL | B | 500 | 16.51 | n/a | n/a | 0.00 | 0.0 |
| CATAPULT | 040 | CAR | S | 50,000 | 13.17 | n/a | n/a | 2,000.00 | 4.0 |
| f JOHN CAREY MAGUIRE | FID | CAT | B | 200 | 52.64 | n/a | 5-Aug | 0.00 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | CAT | B | 100 | 52.43 | n/a | 5-Aug | 0.00 | 0.0 |
| GREEN ARROW DOUG | 040 | CCL | SS | 15,000 | 33.28 | n/a | 26-Jan | 750.00 | 5.0 |
| 11:11 CAPITAL CORP | 046 | CEPH | B | 55,100 | 58.19 | 21-May | 16-Sep | 2,755.00 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|----------------------|-----|--------|-----|---------|-------|--------|----------|--------------|
| BUCK CAPITAL MGMT | | CHRS | S | 20,000 | 4.95 | n/a | 22-Mar | non-brg 0.8 |
| BUCK CAPITAL MGMT | | COLM | C | 10,000 | 42.45 | n/a | n/a | non-brg 4.0 |
| NOMURA CAPITAL | 045 | CORE | S | 6,212 | 29.11 | n/a | n/a | 310.60 5.0 |
| BUCK CAPITAL MGMT | | COST | C | 40,000 | 57.30 | n/a | 27-Jul | non-brg 4.0 |
| PRIMECAP MGMT | 048 | CPTS | B | 1,000 | 18.53 | n/a | n/a | 50.00 5.0 |
| MATLIN PATTERSON | 046 | CPT | B | 67,100 | 40.93 | n/a | n/a | 2,013.00 3.0 |
| BUCK CAPITAL MGMT | | CRM | C | 20,000 | 56.88 | n/a | n/a | non-brg 4.0 |
| WAGONHOUND/NIC | 048 | CRZO | B | 18,043 | 26.09 | n/a | n/a | 721.72 4.0 |
| STADIA CAPITAL | 035 | CSCO | S | 10,000 | 23.34 | n/a | 22-Mar | 400.00 4.0 |
| MARC PAUL LUCHANSKY | FID | CVGI | B | 500 | 6.09 | n/a | n/a | 0.00 0.0 |
| BUCK CAPITAL MGMT | | C | B | 100,000 | 4.25 | 17-Sep | 15-Sep | non-brg 0.8 |
| BUCK CAPITAL MGMT | | DBRN | B | 150,000 | 18.09 | n/a | n/a | non-brg 4.0 |
| BUCK CAPITAL MGMT | | DBRN | B | 50,000 | 17.30 | n/a | n/a | non-brg 0.8 |
| BUCK CAPITAL MGMT | 001 | DDS | B | 40,000 | 14.13 | n/a | n/a | 1,600.00 4.0 |
| BUCK CAPITAL MGMT | | DECK | B | 15,000 | 76.77 | n/a | n/a | non-brg 2.5 |
| HARBORWATCH/DIAMBACK | 232 | DHI | S | 15,000 | 13.63 | n/a | n/a | 750.00 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------------------------|-----|--------|-----|--------|-------|--------|----------|-------------|-----|
| ⚡ BUCK CAPITAL MGMT | | DKS | C | 50,000 | 23.14 | 17-Aug | 21-Aug | non-brg | 1.0 |
| ⚡ BUCK CAPITAL MGMT | | DPZ | B | 30,000 | 9.11 | n/a | 24-Apr | non-brg | 3.0 |
| ⚡ BUCK CAPITAL MGMT | | DRI | B | 30,000 | 36.23 | 13-Aug | 13-Aug | non-brg | 4.0 |
| CIRCLE T/SES PART | 035 | DRI | S | 30,000 | 35.42 | 13-Aug | 13-Aug | 1,200.00 | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | DSW | C | 70,000 | 15.99 | 26-Aug | 26-Aug | non-brg | 4.0 |
| SCOPUS FUND | 041 | DTG | B | 5,000 | 25.59 | n/a | n/a | 250.00 | 5.0 |
| f JONATHAN RICHARD HAR | FID | DTQIW | B | 32 | 0.91 | n/a | n/a | 0.00 | 0.0 |
| f KEVIN MICHAEL O'GORM | FID | DTQIW | B | 40 | 1.05 | n/a | n/a | 0.00 | 0.0 |
| WAGONHOUND/NIC | 048 | DVN | B | 4,615 | 68.84 | 5-Aug | 15-Sep | 184.60 | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | EAT | B | 30,000 | 16.36 | n/a | 24-Apr | non-brg | 4.0 |
| FIRST NEW YORK LEDDY | 035 | ETFC | S | 10,000 | 1.81 | n/a | n/a | 600.00 | 6.0 |
| f MARC PAUL LUCHANSKY | FID | EXH | B | 1000 | 24.64 | n/a | 15-Sep | 0.00 | 0.0 |
| f WILLIAM RAYMOND KATZ | FID | EXTGX | S | 1137 | 9.32 | n/a | n/a | 0.00 | 0.0 |
| Õ James Mitchell | | FITB | B | 900 | 10.21 | n/a | n/a | 0.00 | 0.0 |
| ⚡ BUCK CAPITAL MGMT | | FL | B | 25,000 | 11.33 | 27-Aug | 27-Aug | non-brg | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | FL | B | 25,000 | 11.34 | 27-Aug | 27-Aug | non-brg | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | FL | B | 50,000 | 11.45 | 27-Aug | 27-Aug | non-brg | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------------------------|-----|--------|-----|---------|-------|--------|----------|-------------|-----|
| SENVEST PART | 045 | FOR | B | 9,800 | 15.43 | 6-Aug | 6-Aug | 490.00 | 5.0 |
| ⚡ BUCK CAPITAL MGMT | | FO | C | 30,000 | 44.61 | n/a | n/a | non-brg | 4.0 |
| f MANNY I KORMAN | FID | FSIXX | S | 56000 | 1.00 | n/a | n/a | 0.00 | 0.0 |
| f MITCHELL JAMES SPEIS | FID | FSNXX | S | 8000 | 1.00 | n/a | n/a | 0.00 | 0.0 |
| ⚡ BUCK CAPITAL MGMT | | F | B | 100,000 | 7.15 | 27-Aug | 2-Sep | non-brg | 3.0 |
| f CHRISTOPHER ROBERT B | FID | F | B | 3000 | 7.22 | 27-Aug | 2-Sep | 0.00 | 0.0 |
| f CICILY S BACKUS | FID | F | B | 5000 | 7.23 | 27-Aug | 2-Sep | 0.00 | 0.0 |
| f KAREN F LEDDY | FID | F | B | 1500 | 7.12 | 27-Aug | 2-Sep | 0.00 | 0.0 |
| f LEE F BACKUS | FID | F | B | 2000 | 7.22 | 27-Aug | 2-Sep | 0.00 | 0.0 |
| f MELISSA LEE BACKUS | FID | F | B | 3000 | 7.22 | 27-Aug | 2-Sep | 0.00 | 0.0 |
| TRELLUS PARTNERS LP | 028 | F | B | 50,000 | 7.14 | 27-Aug | 2-Sep | 1,500.00 | 3.0 |
| BUCK CAPITAL MGMT | 001 | GCO | B | 39,200 | 23.31 | n/a | 10-Jan | 1,568.00 | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | GCO | B | 50,000 | 22.80 | n/a | 10-Jan | non-brg | 4.0 |
| COOPER CREEK PART | 028 | GCO | B | 7,800 | 23.06 | n/a | 10-Jan | 234.00 | 3.0 |
| f ANTHONY SUTERA | FID | GE | S | 1000 | 16.72 | n/a | n/a | 0.00 | 0.0 |
| ⚡ BUCK CAPITAL MGMT | | GIL | B | 40,000 | 19.91 | 14-Aug | 14-Aug | non-brg | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | GRMN | C | 70,000 | 37.28 | n/a | n/a | non-brg | 4.0 |
| CUMBERLAND | 038 | HD | B | 50,000 | 27.89 | 10-Aug | 2-Sep | 2,000.00 | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | HGG | B | 50,000 | 15.93 | n/a | n/a | non-brg | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. |
|-------------------------------|------------|-------------|----------|---------------|--------------|--------------|---------------|--------------------|
| B BUCK CAPITAL MGMT | | HOG | C | 50,000 | 25.03 | n/a | n/a | non-brg 4.0 |
| RBC CAPITAL MARKETS | 040 | HOTT | SS | 18,600 | 7.02 | n/a | 30-Jan | 744.00 4.0 |
| B BUCK CAPITAL MGMT | | IDXX | C | 10,000 | 53.51 | n/a | 22-Apr | non-brg 4.0 |
| MOORE CAPITAL | 036 | IP | SS | 125,000 | 25.09 | 16-Sep | 16-Sep | 5,000.00 4.0 |
| TRELLUS PARTNERS LP | 028 | IP | SS | 50,000 | 24.50 | 16-Sep | 16-Sep | 2,500.00 5.0 |
| SANDLER O'NEILL ASSET | 031 | IVZ | B | 25,000 | 22.49 | 6-Aug | 15-Sep | 1,250.00 5.0 |
| MILLENIUM PARTNERS | 028 | JCP | B | 18,130 | 33.02 | 13-Apr | 15-Sep | 725.20 4.0 |
| B BUCK CAPITAL MGMT | | JOSB | S | 15,000 | 46.54 | n/a | n/a | non-brg 0.8 |
| f DAVID GEORGE BUCK | FID | JPM | S | 1500 | 44.26 | 7-Aug | 15-Sep | 0.00 0.0 |
| MILLENIUM PARTNERS | 028 | JWN | S | 38,070 | 31.36 | n/a | 4-Sep | 1,522.80 4.0 |
| RBC CAPITAL MARKETS | 040 | JWN | SS | 20,000 | 31.32 | n/a | 4-Sep | 800.00 4.0 |
| Õ James Mitchell | | KEY | B | 1800 | 6.67 | n/a | n/a | 0.00 0.0 |
| f WILLIAM RAYMOND KATZ | FID | KEY | B | 1000 | 6.53 | n/a | n/a | 0.00 0.0 |
| MILLENIUM PARTNERS | 028 | KSS | B | 10,920 | 54.75 | 14-Aug | 4-Sep | 436.80 4.0 |
| RBC CAPITAL MARKETS | 040 | K | S | 25,000 | 48.60 | n/a | n/a | 1,000.00 4.0 |
| KEEFE BRUYETTE WOODS A | 045 | LM | B | 29,200 | 31.43 | 3-Aug | 14-Sep | 1,460.00 5.0 |
| CAERUS GLOBAL | 041 | LOW | B | 20,000 | 21.65 | 2-Sep | 2-Sep | 800.00 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------------------------|-----|--------|-----|---------|-------|--------|----------|-------------|-----|
| B BUCK CAPITAL MGMT | | LPX | S | 197,622 | 7.62 | n/a | 5-Aug | non-brg | 3.0 |
| B BUCK CAPITAL MGMT | | LPX | S | 50,000 | 7.65 | n/a | 5-Aug | non-brg | 2.5 |
| TRELLUS PARTNERS LP | 028 | LPX | SS | 10,000 | 7.61 | n/a | 5-Aug | 300.00 | 3.0 |
| f JOHN MICHAEL ZOLIDIS | FID | LVS | S | 800 | 20.12 | 14-Sep | 14-Sep | 0.00 | 0.0 |
| f NICOLAS EVAN PAKLER | FID | LVS | B | 55 | 18.88 | 14-Sep | 14-Sep | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | MAR | C | 40,000 | 26.19 | n/a | n/a | non-brg | 4.0 |
| f IAN L MILLER | FID | MAR | B | 45 | 26.42 | n/a | n/a | 0.00 | 0.0 |
| f MANNY I KORMAN | FID | MERPRK | B | 4000 | 18.24 | n/a | n/a | 0.00 | 0.0 |
| f CHRISTOPHER ARTHUR K | FID | MHGC | B | 2800 | 4.75 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | MHK | C | 36,400 | 53.03 | n/a | n/a | non-brg | 2.5 |
| f DAVID GEORGE BUCK | FID | MHS | B | 500 | 55.61 | n/a | n/a | 0.00 | 0.0 |
| STADIA CAPITAL | 035 | MON | SS | 10,000 | 79.86 | n/a | 11-Sep | 400.00 | 4.0 |
| KEEFE BRUYETTE WOODS A | 045 | MS | B | 28,300 | 28.92 | 11-May | 15-Sep | 1,415.00 | 5.0 |
| f MARC PAUL LUCHANSKY | FID | MS | B | 500 | 29.92 | 11-May | 15-Sep | 0.00 | 0.0 |
| f JOSEPH CIRO AMATURO | FID | MTW | B | 5000 | 9.92 | 11-Sep | 11-Sep | 0.00 | 0.0 |
| f WILLIAM RAYMOND KATZ | FID | MTW | B | 500 | 9.93 | 11-Sep | 11-Sep | 0.00 | 0.0 |
| f MANNY I KORMAN | FID | MWO | B | 2000 | 19.95 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | M | B | 100,000 | 17.38 | n/a | 4-Sep | non-brg | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|-----|--------|-----|---------|-------|--------|----------|-------------|-----|
| B BUCK CAPITAL MGMT | | M | B | 100,000 | 17.43 | n/a | 4-Sep | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | M | B | 125,000 | 17.52 | n/a | 4-Sep | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | M | B | 150,000 | 17.59 | n/a | 4-Sep | non-brg | 0.8 |
| CATAPULT | 040 | NKE | SS | 20,000 | 57.18 | n/a | n/a | 800.00 | 4.0 |
| THIRD COAST CAPITAL | 035 | NUAN | B | 15,000 | 14.54 | n/a | n/a | 750.00 | 5.0 |
| f MANNY I KORMAN | FID | NYB | B | 5000 | 11.18 | n/a | 14-Sep | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | PDCO | C | 20,000 | 27.17 | n/a | n/a | non-brg | 4.0 |
| f DAVID GEORGE BUCK | FID | PFE | B | 1000 | 16.19 | n/a | 31-Mar | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | PII | C | 29,749 | 41.90 | n/a | n/a | non-brg | 4.0 |
| f JOHN BARTMAN COLE | FID | PNCL | S | 200 | 7.54 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | PNRA | B | 30,000 | 56.70 | 30-Jul | 30-Jul | non-brg | 4.0 |
| RBC CAPITAL MARKETS | 040 | PNRA | B | 5,000 | 56.67 | 30-Jul | 30-Jul | 200.00 | 4.0 |
| f STEFFANIE CARMELA CA | FID | PQ | S | 500 | 5.70 | n/a | n/a | 0.00 | 0.0 |
| f JONATHAN RICHARD HAR | FID | PSUN | S | 750 | 5.08 | n/a | 6-Feb | 0.00 | 0.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | PVH | S | 25,000 | 42.25 | 8-Sep | 8-Sep | 1,000.00 | 4.0 |
| f JOHN MICHAEL ZOLIDIS | FID | RBSPRL | B | 1000 | 11.32 | n/a | n/a | 0.00 | 0.0 |
| GREEN ARROW DOUG | 040 | RCL | S | 15,000 | 24.19 | 31-Jul | 8-Sep | 750.00 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------------------------|-----|--------|-----|---------|-------|--------|----------|-------------|-----|
| ⚡ BUCK CAPITAL MGMT | | RF | B | 227,801 | 6.39 | n/a | n/a | non-brg | 0.8 |
| f DAVID GEORGE BUCK | FID | RF | B | 3000 | 6.52 | n/a | n/a | 0.00 | 0.0 |
| f JILL ROSENBERG | FID | RF | B | 500 | 6.60 | n/a | n/a | 0.00 | 0.0 |
| Õ James Mitchell | | RF | B | 2000 | 24.00 | n/a | n/a | 0.00 | 0.0 |
| f KAREN F LEDDY | FID | RF | B | 3100 | 6.48 | n/a | n/a | 0.00 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | RF | B | 1000 | 6.50 | n/a | n/a | 0.00 | 0.0 |
| f MICHAEL THOMAS NOLAN | FID | RF | B | 1000 | 6.65 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | RL | B | 10,000 | 72.96 | 6-Aug | 6-Aug | 400.00 | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | RRR | B | 100,000 | 7.93 | 17-Sep | 11-Aug | non-brg | 3.0 |
| ⚡ BUCK CAPITAL MGMT | | RRR | B | 37,500 | 7.96 | 17-Sep | 11-Aug | non-brg | 2.5 |
| BUCK CAPITAL MGMT | 001 | RVI | B | 20,000 | 5.07 | n/a | n/a | 600.00 | 3.0 |
| ⚡ BUCK CAPITAL MGMT | | SHOO | C | 30,000 | 36.01 | n/a | n/a | non-brg | 2.5 |
| HOLDEN CAPITAL MGMT | 035 | SKT | B | 46,000 | 40.71 | n/a | n/a | 2,300.00 | 5.0 |
| ⚡ BUCK CAPITAL MGMT | | SKX | S | 30,000 | 18.85 | n/a | 13-Mar | non-brg | 4.0 |
| f ABRAM M CHAPPELL | FID | SNCR | B | 100 | 10.52 | n/a | n/a | 0.00 | 0.0 |
| f ANTHONY NG | FID | SPNG | B | 5000 | 0.10 | n/a | n/a | 0.00 | 0.0 |
| Õ James Mitchell | | STI | B | 400 | 24.00 | n/a | n/a | 0.00 | 0.0 |
| f WILLIAM RAYMOND KATZ | FID | STI | B | 250 | 23.35 | n/a | n/a | 0.00 | 0.0 |
| COUGAR TRADING | 044 | SUP | S | 10,000 | 15.49 | 10-Aug | 10-Aug | 500.00 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------------------------|-----|--------|-----|---------|-------|-------|----------|-------------|-----|
| CASTLEROCK | 040 | SVR | B | 62,579 | 19.29 | n/a | n/a | 2,503.16 | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | TGT | B | 50,000 | 47.93 | 3-Sep | 3-Sep | non-brg | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | TGT | B | 50,000 | 48.01 | 3-Sep | 3-Sep | non-brg | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | TGT | B | 50,000 | 48.38 | 3-Sep | 3-Sep | non-brg | 4.0 |
| f JOHN CAREY MAGUIRE | FID | TIF | B | 300 | 38.41 | n/a | 30-Jan | 0.00 | 0.0 |
| f JOHN BARTMAN COLE | FID | TMBCF | B | 5000 | 0.82 | n/a | n/a | 0.00 | 0.0 |
| CRAMER ROSENTHAL/SCOTT | 012 | TMO | S | 9,650 | 45.60 | n/a | n/a | 386.00 | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | TOL | B | 50,000 | 22.14 | n/a | n/a | non-brg | 4.0 |
| BALYASNY ASSET MGMT | 044 | TROW | B | 100,000 | 45.51 | n/a | 14-Sep | 5,000.00 | 5.0 |
| KACELA CAPITAL | 034 | TROW | B | 15,000 | 45.55 | n/a | 14-Sep | 600.00 | 4.0 |
| SONTERRA CAP | 041 | TRW | SS | 10,000 | 18.89 | n/a | n/a | 400.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | TWB | B | 30,000 | 8.48 | n/a | 30-Jan | 900.00 | 3.0 |
| ⚡ BUCK CAPITAL MGMT | | URBN | B | 30,000 | 31.18 | n/a | 30-Jan | non-brg | 0.8 |
| EXIS CAPITAL | 044 | URBN | SS | 5,000 | 30.60 | n/a | 30-Jan | 250.00 | 5.0 |
| MILLENIUM PARTNERS | 028 | URBN | B | 46,709 | 31.08 | n/a | 30-Jan | 1,868.36 | 4.0 |
| f STRATTON PAR TNERSHI | FID | VBAMB | S | 2 | 1.25 | n/a | n/a | 0.00 | 0.0 |
| f STRATTON PAR TNERSHI | FID | VNJMV | S | 2 | 1.50 | n/a | n/a | 0.00 | 0.0 |
| f DAVID GEORGE BUCK | FID | VNO | S | 1514 | 66.53 | n/a | n/a | 0.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|--------------|----------|----------------|--------------|---------------|---------------|----------------|------------|
| f ABRAM M CHAPPELL | FID | VTG | B | 1000 | 1.58 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | VTG | B | 200,000 | 1.55 | n/a | n/a | non-brg | 1.0 |
| B BUCK CAPITAL MGMT | | WBC | B | 40,000 | 19.61 | 5-Aug | 5-Aug | non-brg | 0.8 |
| f DAVID GEORGE BUCK | FID | WFC | B | 1500 | 29.37 | n/a | n/a | 0.00 | 0.0 |
| THIRD COAST CAPITAL | 035 | WFR | B | 30,000 | 18.32 | n/a | n/a | 1,500.00 | 5.0 |
| STADIA CAPITAL | 035 | WLP | S | 10,300 | 54.39 | n/a | n/a | 412.00 | 4.0 |
| f JOHN CAREY MAGUIRE | FID | WMTIJ | S | 15 | 0.38 | n/a | n/a | 0.00 | 0.0 |
| f JOHN CAREY MAGUIRE | FID | WMT | S | 200 | 50.08 | 11-May | 13-Aug | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | WRC | S | 17,448 | 43.38 | 15-Sep | 15-Sep | 697.92 | 4.0 |
| B BUCK CAPITAL MGMT | | WWW | C | 40,000 | 26.99 | n/a | 13-Mar | non-brg | 3.0 |
| f JOHN MICHAEL ZOLIDIS | FID | WYNN | S | 200 | 71.49 | n/a | 16-Sep | 0.00 | 0.0 |
| THE JAY GOLDMAN | 034 | WY | B | 10,000 | 39.41 | n/a | 3-Aug | 400.00 | 4.0 |
| B BUCK CAPITAL MGMT | | XRAY | C | 16,931 | 34.37 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | XRT | C | 500,000 | 33.91 | n/a | n/a | non-brg | 0.8 |
| MERRILL ASSET/BLACKROCK | 214 | XRX | S | 57,400 | 9.55 | n/a | n/a | 2,583.00 | 4.5 |
| f JILL ROSENBERG | FID | ZQK | B | 500 | 2.83 | n/a | 4-Sep | 0.00 | 0.0 |

| Account | | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|---------------------|----------------------|-----|--------|-----|--------|-------|-----|----------|--------------|-----|
| f | MICHAEL THOMAS NOLAN | FID | ZQK | B | 2000 | 2.83 | n/a | 4-Sep | 0.00 | 0.0 |
| TOTAL (Trade Date): | | | | | | | | | 84,497.12 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------|-------|----------------|------|--------|-----|--------|-------|-----|----------|-------------|
| AO,CRT | 09/15 | HIGHBRIDGE CAP | 041 | AAP | B | 28,000 | 39.39 | n/a | n/a | 1120.00 4.0 |
| AO,CXL | 09/15 | HIGHBRIDGE CAP | 041 | AAP | B | 28,000 | 39.39 | n/a | n/a | 1400.00 5.0 |

| | |
|-------------------------------|----------------|
| TOTAL (AO, CXL, CRT) : | -280.00 |
|-------------------------------|----------------|

| | |
|------------------------|-----------|
| TOTAL (Trade Date) : | 84,497.12 |
| TOTAL (AO, CXL, CRT) : | -280.00 |

| | |
|--------------------------------|------------------|
| TOTAL (RUN DATE) / NFS: | 84,217.12 |
|--------------------------------|------------------|

MRI Securities with Trade Activity on 16-Sep.

IP

MRI Securities without Trade Activity on 16-Sep.

AXE, JNS

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

T-Date = 8%

YTD = 21%

| |
|--|
| <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) |