



Daily Compliance Activity Report

Trade Date: 10/01/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------------|------------|-------------|-----------|-------------|--------------|------------|------------|----------------|------------|
| LATEEF MGMT | 033 | AA | S | 900 | 8.12 | n/a | n/a | 63.00 | 7.0 |
| f DAVID GEORGE BUCK | FID | AB | S | 3000 | 19.79 | n/a | n/a | 0.00 | 0.0 |
| SYMPHONY ASSET | 033 | ADSK | S | 15,949 | 40.51 | n/a | n/a | 478.47 | 3.0 |
| PRIMECAP MGMT | 084 | AFFX | B | 10,700 | 6.36 | n/a | n/a | 321.00 | 3.0 |
| f JARROD MICHAEL FEINS | FID | ALGN | B | 300 | 49.09 | n/a | n/a | 0.00 | 0.0 |
| f DAVID GEORGE BUCK | FID | AMRI | B | 4000 | 12.97 | n/a | n/a | 0.00 | 0.0 |
| SYMPHONY ASSET | 033 | AMZN | B | 1,122 | 320.08 | n/a | n/a | 33.66 | 3.0 |
| B BUCK CAPITAL MGMT | | APC | B | 240 | 93.74 | n/a | n/a | non-brg | 1.0 |
| B BUCK CAPITAL MGMT | | APC | S | 240 | 93.72 | n/a | n/a | non-brg | 1.0 |
| B BUCK CAPITAL MGMT | | ASNA | C | 700 | 20.28 | n/a | n/a | non-brg | 1.0 |
| B BUCK CAPITAL MGMT | | ASNA | SS | 700 | 20.27 | n/a | n/a | non-brg | 1.0 |
| LATEEF MGMT | 033 | ATI | S | 550 | 30.90 | n/a | 16-Sep | 55.00 | 10.0 |
| SYMPHONY ASSET | 033 | AVGO | B | 3,601 | 43.32 | n/a | n/a | 108.03 | 3.0 |
| TOCQUEVILLE | 046 | AXLL | B | 7,700 | 37.80 | n/a | n/a | 385.00 | 5.0 |
| BALYASNY ASSET MGMT | 044 | AXL | SS | 25,000 | 19.80 | n/a | 18-Sep | 1,250.00 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|-----|--------|-----|---------|--------|-----|----------|-------------|------|
| ß BUCK CAPITAL MGMT | | AXL | B | 1,550 | 19.64 | n/a | 18-Sep | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | AXL | S | 1,550 | 19.63 | n/a | 18-Sep | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | AXP | B | 430 | 75.96 | n/a | 1-Oct | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | AXP | S | 430 | 75.95 | n/a | 1-Oct | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | BAC | B | 2,890 | 13.92 | n/a | 30-Sep | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | BAC | S | 2,890 | 13.92 | n/a | 30-Sep | non-brg | 1.0 |
| LATEEF MGMT | 033 | BA | S | 100 | 117.51 | n/a | n/a | 30.00 | 30.0 |
| ß BUCK CAPITAL MGMT | | BBBY | C | 480 | 77.69 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | BBBY | C | 500 | 77.79 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | BBBY | SS | 480 | 77.66 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | BBBY | SS | 500 | 77.79 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | BBY | B | 25,000 | 38.14 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | BBY | B | 300 | 37.90 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | BBY | B | 75,000 | 38.06 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | BBY | S | 300 | 37.89 | n/a | n/a | non-brg | 1.0 |
| SYSTEMATIC FINANCIAL MGT | 070 | BBY | B | 129,350 | 38.01 | n/a | n/a | 3,880.50 | 3.0 |
| ß BUCK CAPITAL MGMT | | BCC | B | 1,350 | 26.79 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | BCC | S | 1,350 | 26.74 | n/a | n/a | non-brg | 1.0 |
| f IRVING D KAR PAS JR | FID | BDFFX | B | 250 | 10.00 | n/a | n/a | 0.00 | 0.0 |
| f IRVING D KAR PAS JR | FID | BDFFX | B | 250 | 10.00 | n/a | n/a | 0.00 | 0.0 |
| f IRVING D KAR PAS TRU | FID | BDFFX | B | 250 | 10.00 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | BHI | B | 750 | 49.69 | n/a | n/a | non-brg | 1.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-----------------------|-----|--------|-----|--------|--------|-----|----------|-------------|-----|
| ß BUCK CAPITAL MGMT | | BHI | S | 750 | 49.68 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | BIG | C | 200 | 37.60 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | BIG | C | 700 | 37.55 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | BIG | SS | 200 | 37.57 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | BIG | SS | 700 | 37.52 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | BLMN | B | 600 | 23.85 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | BLMN | S | 600 | 23.82 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | BONT | C | 100 | 10.52 | n/a | 30-Sep | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | BONT | SS | 100 | 10.49 | n/a | 30-Sep | non-brg | 1.0 |
| f JOSEPH CIRO AMATURO | FID | BONT | B | 3000 | 10.55 | n/a | 30-Sep | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | CAR | B | 1,390 | 28.91 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | CAR | B | 2,400 | 28.82 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | CAR | S | 1,390 | 28.86 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | CAR | S | 2,400 | 28.79 | n/a | n/a | non-brg | 1.0 |
| WALL STREET CAPITAL | 084 | CAR | S | 57,478 | 28.24 | n/a | n/a | 2,586.51 | 5.0 |
| f DAVID GEORGE BUCK | FID | CAT | B | 3000 | 84.03 | n/a | n/a | 0.00 | 0.0 |
| f KAREN LYNNE FERENZO | FID | CELG | S | 67 | 156.78 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | CERN | C | 560 | 53.73 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | CERN | SS | 560 | 53.72 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | CLX | C | 400 | 81.76 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | CLX | SS | 400 | 81.73 | n/a | n/a | non-brg | 1.0 |
| PRIMECAP MGMT | 084 | CMA | B | 5,000 | 39.45 | n/a | n/a | 200.00 | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------|-----|--------|-----|--------|-------|-----|----------|-------------|-----|
| ß BUCK CAPITAL MGMT | | CNC | B | 590 | 64.99 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | CNC | S | 590 | 64.95 | n/a | n/a | non-brg | 1.0 |
| TOCQUEVILLE | 046 | CNX | B | 11,900 | 33.56 | n/a | n/a | 595.00 | 5.0 |
| ß BUCK CAPITAL MGMT | | COF | B | 550 | 69.85 | n/a | 26-Sep | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | COF | S | 550 | 69.84 | n/a | 26-Sep | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | COH | C | 1,100 | 54.39 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | COH | C | 90 | 54.50 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | COH | SS | 1,100 | 54.37 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | COH | SS | 90 | 54.49 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | COLM | C | 13,593 | 60.61 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | CPB | C | 700 | 40.98 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | CPB | SS | 700 | 40.97 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | CRMB | B | 4,800 | 1.12 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | CRMB | S | 4,800 | 1.12 | n/a | n/a | non-brg | 1.0 |
| f MANNY I KORMAN | FID | CYH | B | 4000 | 42.34 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | C | B | 410 | 48.97 | n/a | 1-Oct | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | C | S | 410 | 48.96 | n/a | 1-Oct | non-brg | 1.0 |
| SUFFOLK CAPITAL MGMT | 040 | C | B | 34,500 | 49.05 | n/a | 1-Oct | 1,380.00 | 4.0 |
| ß BUCK CAPITAL MGMT | | DAL | B | 720 | 24.04 | n/a | 30-Sep | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | DAL | C | 720 | 24.04 | n/a | 30-Sep | non-brg | 1.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|---------------------|-----|--------|-----|---------|-------|-------|----------|---------------|
| ß BUCK CAPITAL MGMT | | DAL | SS | 720 | 24.03 | n/a | 30-Sep | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | DAL | S | 720 | 24.03 | n/a | 30-Sep | non-brg 1.0 |
| IRIDIAN ASSET MGMT. | 036 | DAL | B | 254,610 | 24.11 | n/a | 30-Sep | 12,730.50 5.0 |
| LATEEF MGMT | 033 | DAL | S | 150 | 24.03 | n/a | 30-Sep | 30.00 20.0 |
| ß BUCK CAPITAL MGMT | | DFS | B | 690 | 50.85 | n/a | 1-Oct | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | DFS | S | 690 | 50.84 | n/a | 1-Oct | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | DGX | B | 300 | 62.04 | n/a | n/a | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | DGX | S | 300 | 62.03 | n/a | n/a | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | DG | B | 380 | 57.44 | 5-Sep | 17-Sep | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | DG | S | 380 | 57.43 | 5-Sep | 17-Sep | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | DHI | B | 1,660 | 19.43 | n/a | n/a | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | DHI | S | 1,660 | 19.42 | n/a | n/a | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | DKS | B | 2,200 | 53.81 | n/a | 1-Oct | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | DKS | B | 490 | 53.90 | n/a | 1-Oct | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | DKS | S | 2,200 | 53.78 | n/a | 1-Oct | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | DKS | S | 490 | 53.88 | n/a | 1-Oct | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | DVN | B | 450 | 58.69 | n/a | n/a | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | DVN | S | 450 | 58.67 | n/a | n/a | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | EAT | C | 300 | 40.77 | n/a | n/a | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | EAT | SS | 300 | 40.73 | n/a | n/a | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | EBAY | B | 600 | 56.09 | n/a | n/a | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | EBAY | S | 600 | 56.08 | n/a | n/a | non-brg 1.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|-----|--------|-----|---------|--------|--------|----------|--------------|------|
| NEWLAND CAPITAL MGT | 025 | EDG | S | 50,000 | 11.88 | n/a | n/a | 2,000.00 | 4.0 |
| NORTHWESTERN MUTUAL LIFE | 047 | EEM | B | 171,690 | 41.31 | n/a | n/a | 3,433.80 | 2.0 |
| ⌘ BUCK CAPITAL MGMT | | EL | B | 190 | 70.44 | n/a | 11-Sep | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | EL | B | 900 | 70.25 | n/a | 11-Sep | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | EL | S | 190 | 70.41 | n/a | 11-Sep | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | EL | S | 900 | 70.22 | n/a | 11-Sep | non-brg | 1.0 |
| LATEEF MGMT | 033 | ENR | B | 525 | 92.24 | n/a | 11-Sep | 106.25 | 23.3 |
| CAPITAL GROWTH MGMT. | 241 | EOG | B | 30,000 | 171.45 | n/a | n/a | 1,500.00 | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | ETN | B | 430 | 69.36 | n/a | 5-Sep | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | ETN | S | 430 | 69.35 | n/a | 5-Sep | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | EXPR | B | 1,100 | 23.78 | n/a | n/a | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | EXPR | S | 1,100 | 23.76 | n/a | n/a | non-brg | 1.0 |
| ROSEDALE CAPITAL | 046 | FET | S | 6,000 | 27.52 | n/a | n/a | 240.00 | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | FINL | B | 690 | 24.76 | 30-Sep | 1-Oct | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | FINL | S | 690 | 24.75 | 30-Sep | 1-Oct | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | FL | B | 4,800 | 34.11 | n/a | 1-Oct | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | FL | B | 730 | 34.30 | n/a | 1-Oct | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | FL | S | 4,800 | 34.11 | n/a | 1-Oct | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | FL | S | 730 | 34.29 | n/a | 1-Oct | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | FNP | B | 450 | 25.19 | n/a | n/a | non-brg | 1.0 |

| | Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---|---------------------------------|-----|--------|-----|--------|--------|-----|----------|-------------|------------|
| ß | BUCK CAPITAL MGMT | | FNP | B | 5,500 | 25.31 | n/a | n/a | non-brg | 1.0 |
| ß | BUCK CAPITAL MGMT | | FNP | S | 450 | 25.17 | n/a | n/a | non-brg | 1.0 |
| ß | BUCK CAPITAL MGMT | | FNP | S | 5,500 | 25.31 | n/a | n/a | non-brg | 1.0 |
| ß | BUCK CAPITAL MGMT | | FOSL | B | 900 | 117.91 | n/a | n/a | non-brg | 1.0 |
| ß | BUCK CAPITAL MGMT | | FOSL | S | 900 | 117.74 | n/a | n/a | non-brg | 1.0 |
| | GUGGENHEIM GLOBAL TRADING (GGT) | 251 | FOXA | S | 5,000 | 33.75 | | n/a | n/a | 150.00 3.0 |
| ß | BUCK CAPITAL MGMT | | FRAN | B | 1,000 | 18.82 | n/a | n/a | non-brg | 1.0 |
| ß | BUCK CAPITAL MGMT | | FRAN | B | 6,300 | 18.85 | n/a | n/a | non-brg | 1.0 |
| ß | BUCK CAPITAL MGMT | | FRAN | S | 1,000 | 18.81 | n/a | n/a | non-brg | 1.0 |
| ß | BUCK CAPITAL MGMT | | FRAN | S | 6,300 | 18.84 | n/a | n/a | non-brg | 1.0 |
| ß | BUCK CAPITAL MGMT | | FTK | B | 910 | 23.34 | n/a | n/a | non-brg | 1.0 |
| ß | BUCK CAPITAL MGMT | | FTK | S | 910 | 23.34 | n/a | n/a | non-brg | 1.0 |
| ß | BUCK CAPITAL MGMT | | FWM | B | 3,900 | 25.91 | n/a | n/a | non-brg | 1.0 |
| ß | BUCK CAPITAL MGMT | | FWM | B | 310 | 25.46 | n/a | n/a | non-brg | 1.0 |
| ß | BUCK CAPITAL MGMT | | FWM | S | 3,900 | 25.71 | n/a | n/a | non-brg | 1.0 |
| ß | BUCK CAPITAL MGMT | | FWM | S | 310 | 25.43 | n/a | n/a | non-brg | 1.0 |
| ß | BUCK CAPITAL MGMT | | F | C | 980 | 17.21 | n/a | 1-Oct | non-brg | 1.0 |
| ß | BUCK CAPITAL MGMT | | F | SS | 980 | 17.20 | n/a | 1-Oct | non-brg | 1.0 |
| | CAERUS GLOBAL | 041 | F | SS | 50,000 | 17.20 | n/a | 1-Oct | 2,000.00 | 4.0 |
| | LEVIN CAPITAL STRATEGIES | 041 | F | SS | 50,000 | 17.16 | n/a | 1-Oct | 1,500.00 | 3.0 |
| ß | BUCK CAPITAL MGMT | | GCO | B | 1,400 | 65.93 | n/a | n/a | non-brg | 1.0 |
| ß | BUCK CAPITAL MGMT | | GCO | B | 180 | 66.85 | n/a | n/a | non-brg | 1.0 |
| ß | BUCK CAPITAL MGMT | | GCO | B | 20,000 | 66.76 | n/a | n/a | non-brg | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|---------------------|-----|--------|-----|--------|-------|-------|----------|-------------|
| ß BUCK CAPITAL MGMT | | GCO | S | 1,400 | 65.80 | n/a | n/a | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | GCO | S | 180 | 66.75 | n/a | n/a | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | GES | C | 1,100 | 29.91 | n/a | n/a | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | GES | C | 570 | 30.14 | n/a | n/a | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | GES | SS | 1,100 | 29.86 | n/a | n/a | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | GES | SS | 570 | 30.12 | n/a | n/a | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | GIII | B | 180 | 54.67 | 5-Sep | 30-Sep | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | GIII | B | 3,000 | 54.72 | 5-Sep | 30-Sep | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | GIII | S | 180 | 54.54 | 5-Sep | 30-Sep | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | GIII | S | 3,000 | 54.40 | 5-Sep | 30-Sep | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | GIL | B | 2,300 | 46.70 | n/a | n/a | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | GIL | S | 2,300 | 46.69 | n/a | n/a | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | GIS | C | 300 | 47.80 | n/a | n/a | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | GIS | SS | 300 | 47.79 | n/a | n/a | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | GM | B | 1,330 | 35.72 | n/a | 1-Oct | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | GM | S | 1,330 | 35.71 | n/a | 1-Oct | non-brg 1.0 |
| TIDE POINT CAPITAL | 028 | GM | B | 20,000 | 36.10 | n/a | 1-Oct | 600.00 3.0 |
| TUDOR INVESTORS | 028 | GM | B | 10,000 | 36.19 | n/a | 1-Oct | 300.00 3.0 |
| ß BUCK CAPITAL MGMT | | GNC | B | 2,900 | 55.46 | n/a | n/a | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | GNC | S | 2,900 | 55.45 | n/a | n/a | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | GPS | B | 2,500 | 40.33 | n/a | n/a | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | GPS | B | 350 | 40.30 | n/a | n/a | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | GPS | S | 2,500 | 40.32 | n/a | n/a | non-brg 1.0 |

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|-------------------------------|-----|--------|-----|--------|-------|-----|----------|-------------|------|
| ⌘ BUCK CAPITAL MGMT | | GPS | S | 350 | 40.30 | n/a | n/a | non-brg | 1.0 |
| LATEEF MGMT | 033 | GSPRD | B | 250 | 19.74 | n/a | n/a | 25.00 | 10.0 |
| DSG CAPITAL | 030 | GSVC | B | 1,200 | 14.74 | n/a | n/a | 36.00 | 3.0 |
| ⌘ BUCK CAPITAL MGMT | | HAL | B | 500 | 48.68 | n/a | n/a | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | HAL | S | 500 | 48.67 | n/a | n/a | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | HBI | B | 1,900 | 62.99 | n/a | 11-Sep | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | HBI | S | 1,900 | 62.96 | n/a | 11-Sep | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | HCA | B | 800 | 43.95 | n/a | n/a | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | HCA | S | 800 | 43.95 | n/a | n/a | non-brg | 1.0 |
| NOKOMIS PARTNERS | 031 | HC0M | S | 400 | 26.95 | n/a | n/a | 12.00 | 3.0 |
| ⌘ BUCK CAPITAL MGMT | | HDS | B | 1,210 | 22.39 | n/a | n/a | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | HDS | B | 2,500 | 22.19 | n/a | n/a | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | HDS | S | 1,210 | 22.38 | n/a | n/a | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | HDS | S | 2,500 | 22.15 | n/a | n/a | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | HMB SS | C | 800 | 43.99 | n/a | n/a | non-brg | 0.0 |
| ⌘ BUCK CAPITAL MGMT | | HMB SS | SS | 800 | 43.86 | n/a | n/a | non-brg | 0.0 |
| TIEDEMANN/TIG ADVISORS LLC006 | | HRB | B | 9,870 | 27.58 | n/a | n/a | 296.10 | 3.0 |
| ⌘ BUCK CAPITAL MGMT | | HTZ | B | 1,410 | 22.19 | n/a | n/a | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | HTZ | B | 4,000 | 22.32 | n/a | n/a | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | HTZ | S | 1,410 | 22.19 | n/a | n/a | non-brg | 1.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---------------------------------|-----|--------|-----|--------|--------|-----|----------|-------------|------------|
| ß BUCK CAPITAL MGMT | | HTZ | S | 4,000 | 22.32 | n/a | n/a | non-brg | 1.0 |
| GUGGENHEIM GLOBAL TRADING (GGT) | 251 | HUN | S | 20,000 | 21.03 | | n/a | n/a | 600.00 3.0 |
| ß BUCK CAPITAL MGMT | | IJH | C | 980 | 125.92 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | IJH | SS | 980 | 125.90 | n/a | n/a | non-brg | 1.0 |
| PRIMECAP MGMT | 084 | IMGN | B | 3,300 | 16.96 | n/a | n/a | 132.00 | 4.0 |
| LATEEF MGMT | 033 | IP | B | 300 | 45.32 | n/a | 18-Sep | 61.00 | 21.5 |
| ß BUCK CAPITAL MGMT | | IWM | C | 2,210 | 107.64 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | IWM | SS | 2,210 | 107.63 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | JBLU | B | 7,850 | 6.86 | n/a | 30-Sep | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | JBLU | S | 7,850 | 6.85 | n/a | 30-Sep | non-brg | 1.0 |
| GEORGE WEISS | 278 | JCI | SS | 5,000 | 41.45 | n/a | 24-Sep | 150.00 | 3.0 |
| ß BUCK CAPITAL MGMT | | JIVE | B | 2,410 | 12.36 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | JIVE | S | 2,410 | 12.36 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | JPM | B | 490 | 52.06 | n/a | 26-Sep | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | JPM | S | 490 | 52.05 | n/a | 26-Sep | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | JWN | B | 500 | 56.21 | n/a | 30-Sep | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | JWN | S | 500 | 56.19 | n/a | 30-Sep | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | KEG | B | 2,360 | 7.34 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | KEG | S | 2,360 | 7.33 | n/a | n/a | non-brg | 1.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---------------------------------|-----|--------|-----|---------|-------|-----|----------|-------------|------------|
| ß BUCK CAPITAL MGMT | | KMT | B | 930 | 46.25 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | KMT | S | 930 | 46.25 | n/a | n/a | non-brg | 1.0 |
| CAPITAL GROWTH MGMT. | 241 | KOG | B | 150,000 | 12.48 | n/a | n/a | 6,500.00 | 4.5 |
| ß BUCK CAPITAL MGMT | | KORS | B | 2,400 | 75.73 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | KORS | B | 430 | 75.84 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | KORS | S | 2,400 | 75.69 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | KORS | S | 430 | 75.83 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | KSS | C | 240 | 52.17 | n/a | 30-Sep | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | KSS | C | 800 | 52.26 | n/a | 30-Sep | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | KSS | SS | 240 | 52.16 | n/a | 30-Sep | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | KSS | SS | 800 | 52.25 | n/a | 30-Sep | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | K | C | 500 | 58.59 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | K | SS | 500 | 58.58 | n/a | n/a | non-brg | 1.0 |
| LATEEF MGMT | 033 | K | B | 100 | 58.50 | n/a | n/a | 25.00 | 25.0 |
| GUGGENHEIM GLOBAL TRADING (GGT) | 251 | LBTYK | S | 4,500 | 76.34 | | n/a | n/a | 135.00 3.0 |
| IRIDIAN ASSET MGMT. | 036 | LDOS | B | 179,410 | 47.16 | n/a | n/a | 8,970.50 | 5.0 |
| ß BUCK CAPITAL MGMT | | LEA | B | 340 | 72.05 | n/a | 18-Sep | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | LEA | S | 340 | 72.02 | n/a | 18-Sep | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | LEG | C | 600 | 30.40 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | LEG | SS | 600 | 30.38 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | LEN | B | 220 | 35.74 | n/a | n/a | non-brg | 1.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---------------------------------|-----|--------|-----|--------|--------|-----|----------|-------------|------------|
| ß BUCK CAPITAL MGMT | | LEN | S | 220 | 35.73 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | LPNT | B | 300 | 47.29 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | LPNT | S | 300 | 47.23 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | LPX | B | 1,530 | 18.07 | n/a | 27-Sep | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | LPX | S | 1,530 | 18.06 | n/a | 27-Sep | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | LVS | B | 300 | 66.83 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | LVS | S | 300 | 66.82 | n/a | n/a | non-brg | 1.0 |
| STANDARD PACIFIC CAPITAL | 084 | LYV | B | 50,000 | 18.85 | n/a | n/a | 2,500.00 | 5.0 |
| TOCQUEVILLE | 046 | MAKO | S | 64,510 | 29.54 | n/a | n/a | 3,225.50 | 5.0 |
| ß BUCK CAPITAL MGMT | | MDY | C | 460 | 229.60 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | MDY | SS | 460 | 229.58 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | MOH | B | 950 | 36.39 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | MOH | S | 950 | 36.34 | n/a | n/a | non-brg | 1.0 |
| f DAEIL CHA | FID | MPC | S | 4 | 64.44 | n/a | n/a | 0.00 | 0.0 |
| GUGGENHEIM GLOBAL TRADING (GGT) | 251 | MSFT | S | 10,000 | 33.48 | | n/a | n/a | 300.00 3.0 |
| ß BUCK CAPITAL MGMT | | MS | B | 1,340 | 27.21 | n/a | 26-Sep | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | MS | S | 1,340 | 27.20 | n/a | 26-Sep | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | MVRX | C | 1,400 | 307.14 | n/a | n/a | non-brg | 0.0 |
| ß BUCK CAPITAL MGMT | | MVRX | SS | 1,400 | 307.14 | n/a | n/a | non-brg | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|-------------------------|-----|--------|-----|--------|-------|--------|----------|--------------|
| ⌘ BUCK CAPITAL MGMT | | MWV | B | 1,060 | 38.37 | n/a | 1-Oct | non-brg 1.0 |
| ⌘ BUCK CAPITAL MGMT | | MWV | S | 1,060 | 38.36 | n/a | 1-Oct | non-brg 1.0 |
| CR INTRINIC INVESTMENT | 044 | MWV | S | 49,300 | 38.51 | n/a | 1-Oct | 1,479.00 3.0 |
| CSFB GLOBAL PROPRIETARY | 041 | MWV | B | 40,000 | 38.46 | n/a | 1-Oct | 2,000.00 5.0 |
| RIDGECREST INV MGMT LLC | 028 | MWV | B | 5,000 | 38.52 | n/a | 1-Oct | 200.00 4.0 |
| ⌘ BUCK CAPITAL MGMT | | M | B | 3,700 | 43.74 | 30-Sep | 30-Sep | non-brg 1.0 |
| ⌘ BUCK CAPITAL MGMT | | M | B | 760 | 43.42 | 30-Sep | 30-Sep | non-brg 1.0 |
| ⌘ BUCK CAPITAL MGMT | | M | S | 3,700 | 43.74 | 30-Sep | 30-Sep | non-brg 1.0 |
| ⌘ BUCK CAPITAL MGMT | | M | S | 760 | 43.42 | 30-Sep | 30-Sep | non-brg 1.0 |
| CORTEX CAPITAL | 031 | M | B | 15,000 | 43.60 | 30-Sep | 30-Sep | 450.00 3.0 |
| DEPRINCE, RACE & ZOLLO | 093 | M | B | 50,000 | 43.46 | 30-Sep | 30-Sep | 2,000.00 4.0 |
| ⌘ BUCK CAPITAL MGMT | | NCLH | B | 4,900 | 30.81 | n/a | n/a | non-brg 1.0 |
| ⌘ BUCK CAPITAL MGMT | | NCLH | B | 520 | 30.72 | n/a | n/a | non-brg 1.0 |
| ⌘ BUCK CAPITAL MGMT | | NCLH | S | 4,900 | 30.68 | n/a | n/a | non-brg 1.0 |
| ⌘ BUCK CAPITAL MGMT | | NCLH | S | 520 | 30.70 | n/a | n/a | non-brg 1.0 |
| ⌘ BUCK CAPITAL MGMT | | NCLH | S | 83,900 | 30.76 | n/a | n/a | non-brg 4.0 |
| PRIMECAP MGMT | 084 | NKTR | B | 3,900 | 10.29 | n/a | n/a | 156.00 4.0 |
| CAPITAL GROWTH MGMT. | 241 | NTRI | B | 30,000 | 14.57 | n/a | n/a | 1,200.00 4.0 |
| S.A.C. CAPITAL | 044 | NUE | SS | 25,000 | 48.86 | n/a | n/a | 750.00 3.0 |
| CAPITAL GROWTH MGMT. | 241 | OAS | B | 40,000 | 50.61 | n/a | n/a | 2,000.00 5.0 |
| LATEEF MGMT | 033 | OI | S | 125 | 30.31 | n/a | n/a | 25.00 20.0 |
| S.A.C. CAPITAL | 044 | OMX | B | 45,000 | 12.96 | n/a | n/a | 1,350.00 3.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|---------------------------------|-----|--------|-----|--------|---------|-----|----------|--------------|------|
| ß BUCK CAPITAL MGMT | | PCLN | C | 50 | 1029.07 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | PCLN | SS | 1,000 | 1038.39 | n/a | n/a | non-brg | 3.0 |
| ß BUCK CAPITAL MGMT | | PCLN | SS | 50 | 1028.30 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | PETM | C | 300 | 76.77 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | PETM | C | 390 | 77.00 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | PETM | SS | 300 | 76.73 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | PETM | SS | 390 | 76.99 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | PFE | B | 1,730 | 28.82 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | PFE | S | 1,730 | 28.81 | n/a | n/a | non-brg | 1.0 |
| LATEEF MGMT | 033 | PG | B | 100 | 76.01 | n/a | 11-Sep | 30.00 | 30.0 |
| ß BUCK CAPITAL MGMT | | PII | B | 700 | 130.18 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | PII | S | 700 | 130.11 | n/a | n/a | non-brg | 1.0 |
| GUGGENHEIM GLOBAL TRADING (GGT) | 251 | PLCM | S | 24,800 | 11.02 | | n/a n/a | 744.00 | 3.0 |
| LATEEF MGMT | 033 | POT | B | 850 | 31.88 | n/a | n/a | 85.00 | 10.0 |
| ß BUCK CAPITAL MGMT | | PVH | B | 1,300 | 117.03 | n/a | 11-Sep | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | PVH | B | 220 | 116.12 | n/a | 11-Sep | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | PVH | B | 4,400 | 115.15 | n/a | 11-Sep | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | PVH | S | 1,300 | 117.03 | n/a | 11-Sep | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | PVH | S | 220 | 116.09 | n/a | 11-Sep | non-brg | 1.0 |
| SHEFFIELD ASSET MGMT | 031 | PVH | B | 59,200 | 116.33 | n/a | 11-Sep | 2,368.00 | 4.0 |
| f DAVID GEORGE BUCK | FID | QCOR | B | 2000 | 58.63 | n/a | n/a | 0.00 | 0.0 |

| | Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---|----------------------|-----|--------|-----|--------|--------|-------|----------|-------------|-----|
| f | DAVID GEORGE BUCK | FID | QCOR | S | 20 | 2.38 | n/a | n/a | 0.00 | 0.0 |
| ß | BUCK CAPITAL MGMT | | RAD | B | 14,370 | 4.93 | n/a | n/a | non-brg | 1.0 |
| ß | BUCK CAPITAL MGMT | | RAD | B | 29,200 | 4.90 | n/a | n/a | non-brg | 1.0 |
| ß | BUCK CAPITAL MGMT | | RAD | S | 14,370 | 4.92 | n/a | n/a | non-brg | 1.0 |
| ß | BUCK CAPITAL MGMT | | RAD | S | 29,200 | 4.90 | n/a | n/a | non-brg | 1.0 |
| ß | BUCK CAPITAL MGMT | | RDN | B | 1,870 | 14.02 | n/a | n/a | non-brg | 1.0 |
| ß | BUCK CAPITAL MGMT | | RDN | S | 1,870 | 14.01 | n/a | n/a | non-brg | 1.0 |
| ß | BUCK CAPITAL MGMT | | RH | B | 1,000 | 61.80 | n/a | n/a | non-brg | 1.0 |
| ß | BUCK CAPITAL MGMT | | RH | B | 20,000 | 61.80 | n/a | n/a | non-brg | 4.0 |
| ß | BUCK CAPITAL MGMT | | RH | S | 1,000 | 61.75 | n/a | n/a | non-brg | 1.0 |
| | SHEFFIELD ASSET MGMT | 031 | RKT | B | 20,000 | 104.10 | n/a | 18-Sep | 1,000.00 | 5.0 |
| ß | BUCK CAPITAL MGMT | | RLJE | B | 3,100 | 5.42 | n/a | n/a | non-brg | 1.0 |
| ß | BUCK CAPITAL MGMT | | RLJE | S | 3,100 | 5.26 | n/a | n/a | non-brg | 1.0 |
| ß | BUCK CAPITAL MGMT | | RL | B | 100 | 165.96 | n/a | 23-Sep | non-brg | 1.0 |
| ß | BUCK CAPITAL MGMT | | RL | B | 700 | 165.92 | n/a | 23-Sep | non-brg | 1.0 |
| ß | BUCK CAPITAL MGMT | | RL | S | 100 | 165.84 | n/a | 23-Sep | non-brg | 1.0 |
| ß | BUCK CAPITAL MGMT | | RL | S | 700 | 165.87 | n/a | 23-Sep | non-brg | 1.0 |
| ß | BUCK CAPITAL MGMT | | ROST | B | 10,000 | 73.58 | n/a | 30-Sep | non-brg | 4.0 |
| ß | BUCK CAPITAL MGMT | | ROST | B | 600 | 73.72 | n/a | 30-Sep | non-brg | 1.0 |
| ß | BUCK CAPITAL MGMT | | ROST | S | 600 | 73.70 | n/a | 30-Sep | non-brg | 1.0 |
| ß | BUCK CAPITAL MGMT | | R | B | 440 | 60.99 | 3-Sep | 30-Sep | non-brg | 1.0 |
| ß | BUCK CAPITAL MGMT | | R | S | 440 | 60.95 | 3-Sep | 30-Sep | non-brg | 1.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. |
|---------------------|-----|--------|-----|--------|-------|--------|----------|--------------|
| ß BUCK CAPITAL MGMT | | SBUX | B | 20,000 | 77.03 | 30-Sep | 30-Sep | non-brg 4.0 |
| ß BUCK CAPITAL MGMT | | SBUX | B | 200 | 77.06 | 30-Sep | 30-Sep | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | SBUX | S | 200 | 77.03 | 30-Sep | 30-Sep | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | SCSS | B | 2,200 | 24.70 | n/a | n/a | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | SCSS | S | 2,200 | 24.70 | n/a | n/a | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | SIG | B | 15,000 | 72.18 | n/a | n/a | non-brg 4.0 |
| ß BUCK CAPITAL MGMT | | SIG | B | 200 | 72.16 | n/a | n/a | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | SIG | B | 5,000 | 72.27 | n/a | n/a | non-brg 0.8 |
| ß BUCK CAPITAL MGMT | | SIG | S | 200 | 72.12 | n/a | n/a | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | SLM | B | 500 | 24.77 | n/a | 26-Sep | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | SLM | S | 500 | 24.76 | n/a | 26-Sep | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | SMG | C | 300 | 55.55 | n/a | n/a | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | SMG | SS | 300 | 55.50 | n/a | n/a | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | SPN | B | 1,180 | 25.78 | n/a | n/a | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | SPN | S | 1,180 | 25.78 | n/a | n/a | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | SQBG-P | B | 14,500 | 5.50 | n/a | n/a | non-brg 0.0 |
| ß BUCK CAPITAL MGMT | | SQBG-P | S | 14,500 | 5.50 | n/a | n/a | non-brg 0.0 |
| ß BUCK CAPITAL MGMT | | SSI | B | 2,500 | 18.98 | 30-Sep | 30-Sep | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | SSI | B | 970 | 19.24 | 30-Sep | 30-Sep | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | SSI | S | 2,500 | 18.95 | 30-Sep | 30-Sep | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | SSI | S | 970 | 19.20 | 30-Sep | 30-Sep | non-brg 1.0 |
| ß BUCK CAPITAL MGMT | | STT | B | 630 | 66.72 | n/a | 26-Sep | non-brg 1.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---------------------|-----|--------|-----|--------|-------|--------|----------|-------------|------|
| ß BUCK CAPITAL MGMT | | STT | S | 630 | 66.71 | n/a | 26-Sep | non-brg | 1.0 |
| ROYCE TRADING | 031 | STT | B | 5,300 | 66.68 | n/a | 26-Sep | 265.00 | 5.0 |
| TUDOR INVESTORS | 028 | ST | S | 11,000 | 38.38 | n/a | n/a | 330.00 | 3.0 |
| CLOVIS CAPITAL | 033 | SVU | S | 75,000 | 8.27 | n/a | n/a | 3,750.00 | 5.0 |
| ß BUCK CAPITAL MGMT | | SWN | B | 490 | 36.58 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | SWN | S | 490 | 36.57 | n/a | n/a | non-brg | 1.0 |
| LATEEF MGMT | 033 | SWY | S | 450 | 31.82 | n/a | n/a | 60.00 | 15.0 |
| ß BUCK CAPITAL MGMT | | SYX | C | 1,600 | 32.06 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | SYX | SS | 1,600 | 32.05 | n/a | n/a | non-brg | 1.0 |
| Õ Nilsa Vazquez | | TBT | B | 15 | 76.50 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | TGT | C | 400 | 63.86 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | TGT | SS | 400 | 63.85 | n/a | n/a | non-brg | 1.0 |
| TYVOR CAPITAL LLC | 031 | TIF | B | 20,000 | 76.86 | n/a | n/a | 600.00 | 3.0 |
| ß BUCK CAPITAL MGMT | | TJX | B | 700 | 56.85 | n/a | 30-Sep | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | TJX | S | 700 | 56.83 | n/a | 30-Sep | non-brg | 1.0 |
| TUDOR INVESTORS | 028 | TRW | B | 5,000 | 71.90 | n/a | n/a | 150.00 | 3.0 |
| CADIAN CAPITAL | 041 | TUES | B | 15,000 | 15.47 | n/a | n/a | 450.00 | 3.0 |
| PIMCO | 084 | UAL | B | 50,000 | 31.71 | 27-Sep | 30-Sep | 1,000.00 | 2.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|---------------------|-----|--------|-----|--------|--------|--------|----------|--------------|-----|
| ß BUCK CAPITAL MGMT | | UCP | B | 1,410 | 14.83 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | UCP | S | 1,410 | 14.74 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | URBN | B | 4,700 | 36.78 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | URBN | B | 800 | 36.77 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | URBN | S | 4,700 | 36.76 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | URBN | S | 800 | 36.76 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | URI | B | 490 | 59.37 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | URI | S | 490 | 59.33 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | VMC | B | 540 | 52.31 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | VMC | S | 540 | 52.27 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | V | B | 100 | 193.14 | 25-Sep | 1-Oct | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | V | S | 100 | 193.02 | 25-Sep | 1-Oct | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | WCIC | B | 1,310 | 17.28 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | WCIC | S | 1,310 | 17.21 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | WGO | B | 880 | 26.57 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | WGO | S | 19,100 | 26.27 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | WGO | S | 880 | 26.56 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | WHR | B | 300 | 146.59 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | WHR | S | 300 | 146.43 | n/a | n/a | non-brg | 1.0 |
| f DAVID GEORGE BUCK | FID | WLP | S | 10 | 1.22 | n/a | n/a | 0.00 | 0.0 |
| PERIMETER | 273 | WNC | B | 24,265 | 11.76 | n/a | 24-Sep | 970.60 | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---------------------------------|-----|--------|-----|--------|-------|-------|----------|------------------|------------|
| THOMPSON SIEGAL&WALMSLEY | 029 | WNC | B | 16,350 | 11.80 | n/a | 24-Sep | 490.50 | 3.0 |
| ⌘ BUCK CAPITAL MGMT | | WSM | C | 200 | 56.34 | n/a | n/a | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | WSM | SS | 200 | 56.32 | n/a | n/a | non-brg | 1.0 |
| RIDGECREST INV MGMT LLC | 028 | WY | B | 15,000 | 29.00 | n/a | 27-Sep | 600.00 | 4.0 |
| SYMPHONY ASSET | 033 | XLNX | B | 3,135 | 47.17 | n/a | n/a | 94.05 | 3.0 |
| ⌘ BUCK CAPITAL MGMT | | XRT | C | 2,100 | 82.80 | n/a | n/a | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | XRT | SS | 2,100 | 82.79 | n/a | n/a | non-brg | 1.0 |
| GUGGENHEIM GLOBAL TRADING (GGT) | 251 | YHOO | S | 10,000 | 34.00 | | n/a | n/a | 300.00 3.0 |
| ⌘ BUCK CAPITAL MGMT | | YUM | C | 100 | 71.46 | 9-Sep | 9-Sep | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | YUM | SS | 100 | 71.45 | 9-Sep | 9-Sep | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | ZTS | B | 1,020 | 31.88 | n/a | n/a | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | ZTS | S | 1,020 | 31.87 | n/a | n/a | non-brg | 1.0 |
| TOTAL (Trade Date): | | | | | | | | 83,821.97 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------|-------|------------------------|------|--------|-----|--------|-----------------------------|----------------|----------|-------------|
| AO,CRT | 09/30 | DSG CAPITAL | 030 | GSVC | B | 3,500 | 14.78 | n/a | n/a | 105.00 0.0 |
| AO,CXL | 09/30 | DSG CAPITAL | 030 | GSVC | B | 3,500 | 14.78 | n/a | n/a | 175.00 0.0 |
| AO,CRT | 09/25 | STERLING CAPITAL MGMT. | 093 | KSS | B | 200 | 50.81 | n/a-2013-09-30 | | 9.01 0.0 |
| AO,CXL | 09/25 | STERLING CAPITAL MGMT. | 093 | KSS | B | 200 | 50.81 | n/a-2013-09-30 | | 0.00 0.0 |
| AO,CXL | 09/30 | WINSLOW CAPITAL | 030 | NKE | B | 1,400 | 72.65-2013-09-27-2013-10-01 | | | 42.00 0.0 |
| AO,CRT | 09/30 | WINSLOW CAPITAL | 030 | NKE | B | 1,400 | 72.65-2013-09-27-2013-10-01 | | | 42.00 0.0 |
| AO,CXL | 09/30 | ARDSLEY PARTNERS | 280 | VNDA | S | 20,000 | 11.11 | n/a | n/a | 1000.00 0.0 |
| AO, | 09/30 | ARDSLEY PARTNERS | 280 | VNDA | S | 20,000 | 11.11 | n/a | n/a | 1000.00 0.0 |

| | |
|-------------------------------|---------------|
| TOTAL (AO, CXL, CRT) : | -60.99 |
|-------------------------------|---------------|

| | |
|----------------------|-----------|
| TOTAL (Trade Date) : | 83,821.97 |
|----------------------|-----------|

| | |
|------------------------|--------|
| TOTAL (AO, CXL, CRT) : | -60.99 |
|------------------------|--------|

| | |
|---------------------------------|------------------|
| TOTAL (RUN DATE) / NFS : | 83,760.98 |
|---------------------------------|------------------|

BCM Cancel/Corrects and As-Of Trades

| Type | Date | Account | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------|-------|-------------------|--------|-----|--------|-------|-----|----------|-------------|-----|
| AO | 09/30 | BUCK CAPITAL MGMT | RH | B | 1,000 | 62.00 | n/a | n/a | 0.00 | 0.0 |

MRI Securities with Trade Activity on 1-Oct.
NONE

MRI Securities without Trade Activity on 1-Oct.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 0%
YTD = 0%

| |
|--|
| <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) |