



Daily Compliance Activity Report

Trade Date: 07/10/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|---------------------|------|--------|-----|---------|--------|--------|----------|--------------|-------|
| BARR | 096 | AAPL | B | 100 | 175.97 | n/a | n/a | 0.00 | 0.0 |
| ROSEDALE CAPITAL | 046 | AEO | B | 20,000 | 12.92 | 6-Mar | 2-Jul | 1,000.00 | 5.0 |
| LEDDY | 035 | AER | S | 1,000 | 13.08 | n/a | n/a | 0.00 | 0.0 |
| BUCK | 015 | AET | B | 800 | 36.55 | n/a | n/a | 0.00 | 0.0 |
| BRIGHTPOINT CAP | 067 | AMR | C | 65,000 | 5.20 | n/a | n/a | 1,300.00 | 2.0 |
| B BUCK CAPITAL MGMT | | ANF+KL | SS | 1,000 | 3.73 | n/a | n/a | non-brg | 300.0 |
| BUCK CAPITAL MGMT | 001 | ANF | B | 20,000 | 53.90 | 10-Jul | 10-Jul | 800.00 | 4.0 |
| COUGAR TRADING | 044 | ANF | S | 20,000 | 55.35 | 10-Jul | 10-Jul | 1,000.00 | 5.0 |
| LEDDY | 035 | APP | S | 1,400 | 6.35 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | ARO | S | 150,000 | 30.84 | 28-Apr | 2-Jul | 6,000.00 | 4.0 |
| COUGAR TRADING | 044 | ARO | B | 20,000 | 30.61 | 28-Apr | 2-Jul | 1,000.00 | 5.0 |
| COUGAR TRADING | 044 | ARO | SS | 25,000 | 31.49 | 28-Apr | 2-Jul | 1,250.00 | 5.0 |
| BARR | 096 | ATT | B | 800 | 25.19 | n/a | n/a | 0.00 | 0.0 |
| SATELITE/BOBBY | 044 | ATVID | B | 20,000 | 31.20 | n/a | n/a | 800.00 | 4.0 |
| BUCK | 015 | BBBY | SS | 1,000 | 28.80 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | BBY | SS | 20,000 | 38.50 | n/a | 27-Jul | non-brg | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|---------------------|------|--------|-----|---------|-------|--------|----------|--------------|-----|
| BUCK CAPITAL MGMT | 001 | BIG | SS | 40,000 | 31.31 | 29-May | 2-Jul | 1,600.00 | 4.0 |
| N STRATTON | 014 | BIG | C | 125 | 31.50 | 29-May | 2-Jul | 0.00 | 0.0 |
| ⌘ BUCK CAPITAL MGMT | | BJ | SS | 20,000 | 40.29 | n/a | 27-Jul | non-brg | 4.0 |
| BUCK CAPITAL MGMT | 001 | BKC | S | 123,200 | 25.61 | 1-May | 2-May | 4,928.00 | 4.0 |
| CLOVIS CAPITAL | 012 | CAG | B | 150,000 | 21.02 | n/a | n/a | 7,500.00 | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | CBL | SS | 10,000 | 20.85 | n/a | n/a | non-brg | 4.0 |
| KORMAN | 003 | CHCG | S | 6,000 | 1.20 | n/a | n/a | 0.00 | 0.0 |
| ⌘ BUCK CAPITAL MGMT | | CHUX | SS | 10,900 | 9.99 | n/a | n/a | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | CHUX | SS | 38,400 | 10.07 | n/a | n/a | non-brg | 4.0 |
| BUCK | 015 | CMA | C | 2,500 | 23.79 | n/a | n/a | 0.00 | 0.0 |
| ⌘ BUCK CAPITAL MGMT | | CMG | C | 56,700 | 73.57 | n/a | 24-Apr | non-brg | 4.0 |
| COUGAR TRADING | 044 | COH | B | 25,000 | 26.38 | 4-Apr | 9-Jul | 1,250.00 | 5.0 |
| J.W. SELIGMAN | 041 | COH | B | 152,900 | 25.45 | 4-Apr | 9-Jul | 6,116.00 | 4.0 |
| WOOSTER CAPITAL | 035 | COH | B | 53,700 | 25.77 | 4-Apr | 9-Jul | 2,685.00 | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | COLM | SS | 40,000 | 35.04 | n/a | n/a | non-brg | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | COST | SS | 20,000 | 70.66 | n/a | 27-Jul | non-brg | 4.0 |
| DENVER INST. ADV | 046 | COST | B | 11,611 | 70.97 | n/a | 27-Jul | 464.44 | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | CPKI | SS | 100,000 | 12.22 | 10-Jul | 10-Jul | non-brg | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------|------|--------|-----|---------|--------|--------|----------|-------------|-----|
| ⌘ BUCK CAPITAL MGMT | | CPKI | SS | 20,000 | 12.21 | 10-Jul | 10-Jul | non-brg | 4.0 |
| BAIRD INVESTMENT | 031 | CRR | S | 2,975 | 51.03 | 5-Jun | 9-Jul | 148.75 | 5.0 |
| MERRILL ASSET | 032 | CRR | S | 9,900 | 51.32 | 5-Jun | 9-Jul | 445.50 | 4.5 |
| ⌘ BUCK CAPITAL MGMT | | DDR | SS | 10,000 | 31.10 | n/a | n/a | non-brg | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | DECK | S | 15,000 | 125.70 | n/a | n/a | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | DRE | SS | 10,000 | 22.22 | n/a | n/a | non-brg | 4.0 |
| BAIRD INVESTMENT | 031 | DRQ | S | 2,100 | 54.12 | n/a | n/a | 105.00 | 5.0 |
| CLOVIS CAPITAL | 012 | DST | S | 100,000 | 55.35 | n/a | n/a | 5,000.00 | 5.0 |
| EPOCH INV MGMT | 030 | DUF | B | 20,000 | 15.70 | n/a | n/a | 800.00 | 4.0 |
| J COHEN | N27 | DXD | S | 14 | 66.44 | n/a | n/a | 0.00 | 0.0 |
| ⌘ BUCK CAPITAL MGMT | | EAT | SS | 50,000 | 16.90 | n/a | 24-Apr | non-brg | 4.0 |
| SATELITE/BOBBY | 044 | EL | B | 10,000 | 45.44 | 7-May | 24-Jun | 400.00 | 4.0 |
| BRANDWINE | 028 | ETN | B | 62,600 | 80.17 | 18-Jun | 9-Jul | 2,504.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | FDO | SS | 40,000 | 23.04 | 30-Jun | 2-Jul | 1,600.00 | 4.0 |
| TRUST CO/COWEN/CALF. | 040 | FLE | S | 25,000 | 2.13 | n/a | n/a | 750.00 | 3.0 |
| ⌘ BUCK CAPITAL MGMT | | FL | S | 50,000 | 12.25 | 2-Apr | 9-Jul | non-brg | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---------------------|------|--------|-----|--------|-------|--------|----------|-------------|-------|
| ß BUCK CAPITAL MGMT | | FOSL | B | 40,000 | 25.45 | n/a | 9-Jul | non-brg | 4.0 |
| MKT MAKER | 099 | FOSL | B | 200 | 25.00 | n/a | 9-Jul | 0.00 | 0.0 |
| BUCK | 015 | FREHM | S | 30 | 1.40 | n/a | n/a | 0.00 | 0.0 |
| BUCK | 015 | FREHT | B | 30 | 0.28 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | FRT | SS | 10,000 | 66.27 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | FTO | S | 39,600 | 18.75 | n/a | n/a | non-brg | 4.0 |
| CLOVIS CAPITAL | 012 | GAP | B | 75,000 | 21.54 | n/a | n/a | 3,750.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | GES | B | 10,000 | 34.41 | n/a | n/a | 400.00 | 4.0 |
| ß BUCK CAPITAL MGMT | | GES | B | 29,400 | 34.06 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | GGP | SS | 10,000 | 31.64 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | GIL | B | 43,000 | 23.26 | 30-Apr | 9-Jul | non-brg | 4.0 |
| BUCK | 015 | GIS | S | 1,000 | 62.93 | n/a | n/a | 0.00 | 0.0 |
| M WEINTRAU | 024 | GLW | B | 200 | 19.98 | n/a | 9-Jul | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | GM+HB | C | 6,000 | 1.24 | n/a | n/a | non-brg | 200.0 |
| ß BUCK CAPITAL MGMT | | GM+TB | S | 6,000 | 1.81 | n/a | n/a | non-brg | 200.0 |
| ß BUCK CAPITAL MGMT | | GRT | SS | 10,000 | 10.24 | n/a | n/a | non-brg | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|-------------|-----------|----------------|--------------|------------|---------------|-----------------|------------|
| SATELITE/BOBBY | 044 | HAIN | SS | 15,000 | 23.36 | n/a | n/a | 600.00 | 4.0 |
| BUCK | 015 | HAR | SS | 1,000 | 37.74 | n/a | 7-May | 0.00 | 0.0 |
| N STRATTON | 014 | HIBB | C | 100 | 20.25 | n/a | n/a | 0.00 | 0.0 |
| MERRILL ASSET | 032 | HOS | S | 12,000 | 48.59 | n/a | n/a | 600.00 | 5.0 |
| SUFFOLK CAPITAL MGMT | 040 | HOT | B | 447,800 | 35.77 | n/a | n/a | 17,912.00 | 4.0 |
| WEINTRAUB CAPITAL MGT. | 040 | HOT | S | 25,000 | 35.67 | n/a | n/a | 1,000.00 | 4.0 |
| CHARTER OAK | 033 | IN | S | 97,171 | 16.25 | n/a | n/a | 4,858.55 | 5.0 |
| BRIGHTPOINT CAP | 067 | IWM | C | 175,000 | 67.32 | n/a | n/a | 7,000.00 | 4.0 |
| B BUCK CAPITAL MGMT | | JAH | S | 100,000 | 17.98 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | JCG | B | 33,000 | 30.81 | n/a | 30-May | non-brg | 4.0 |
| COUGAR TRADING | 044 | JCG | B | 15,000 | 29.99 | n/a | 30-May | 750.00 | 5.0 |
| COUGAR TRADING | 044 | JCG | SS | 5,000 | 31.27 | n/a | 30-May | 250.00 | 5.0 |
| ASCEND PARTNERS | 033 | JCP | S | 20,000 | 33.81 | n/a | 2-Jul | 1,000.00 | 5.0 |
| B BUCK CAPITAL MGMT | | JCP | SS | 100,000 | 32.51 | n/a | 2-Jul | non-brg | 4.0 |
| NICOLAS APPELEGATE | 048 | JNPR | S | 45,000 | 21.82 | n/a | 22-Mar | 1,800.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | JNY | S | 198,000 | 13.24 | n/a | 1-May | 7,920.00 | 4.0 |
| JP MORGAN VENTURES | 046 | JNY | B | 30,000 | 13.21 | n/a | 1-May | 1,500.00 | 5.0 |
| B BUCK CAPITAL MGMT | | JOSB | B | 20,000 | 23.07 | n/a | n/a | non-brg | 2.0 |

| | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---|------------------------|------|--------|-----|---------|-------|--------|----------|-------------|-----|
| ß | BUCK CAPITAL MGMT | | JOSB | B | 25,000 | 22.96 | n/a | n/a | non-brg | 4.0 |
| | COUGAR TRADING | 044 | JWN | S | 30,000 | 28.64 | 10-Jul | 10-Jul | 1,500.00 | 5.0 |
| ß | BUCK CAPITAL MGMT | | KIM | SS | 10,000 | 32.52 | n/a | n/a | non-brg | 4.0 |
| | WEISS PECK | 040 | KMX | SS | 12,000 | 13.35 | n/a | 10-Jan | 600.00 | 5.0 |
| | BUCK CAPITAL MGMT | 001 | KSS | B | 10,000 | 40.07 | n/a | 2-Jul | 400.00 | 4.0 |
| ß | BUCK CAPITAL MGMT | | KSS | B | 25,000 | 40.52 | n/a | 2-Jul | non-brg | 4.0 |
| ß | BUCK CAPITAL MGMT | | KSS | S | 50,000 | 40.85 | n/a | 2-Jul | non-brg | 4.0 |
| | COUGAR TRADING | 044 | KSS | B | 10,000 | 41.06 | n/a | 2-Jul | 500.00 | 5.0 |
| | COUGAR TRADING | 044 | KSS | S | 30,000 | 39.88 | n/a | 2-Jul | 1,500.00 | 5.0 |
| | SAGE ASSET MGMT | 012 | KSS | B | 41,800 | 40.47 | n/a | 2-Jul | 2,090.00 | 5.0 |
| | THE JAY GOLDMAN | 034 | KSS | B | 10,000 | 40.28 | n/a | 2-Jul | 400.00 | 4.0 |
| | BUCK CAPITAL MGMT | 001 | LEG | SS | 40,000 | 14.93 | n/a | n/a | 1,600.00 | 4.0 |
| | COBALT | 041 | LEG | SS | 50,000 | 15.06 | n/a | n/a | 2,500.00 | 5.0 |
| | N STRATTON | 014 | LEG | SS | 100 | 15.00 | n/a | n/a | 0.00 | 0.0 |
| | KAICHER | 064 | LEH | B | 1,000 | 15.96 | 9-Jun | 17-Jun | 0.00 | 0.0 |
| | KAICHER | 064 | LEH | S | 1,000 | 17.24 | 9-Jun | 17-Jun | 0.00 | 0.0 |
| | APEX CAPITAL MGMT. | 091 | LOW | S | 218,700 | 19.66 | n/a | 27-Jul | 10,935.00 | 5.0 |
| | OSS CAPITAL/KEVIN DANN | 067 | LPS | B | 100,000 | 31.77 | n/a | n/a | 3,000.00 | 3.0 |
| | COUGAR TRADING | 044 | LTD | B | 10,000 | 16.38 | n/a | 2-Jul | 500.00 | 5.0 |
| ß | BUCK CAPITAL MGMT | | LTM | S | 40,000 | 30.89 | n/a | n/a | non-brg | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------------|-------------|-----------|----------------|---------------|---------------|---------------|----------------|-------------|
| RAMIUS CAP | 040 | MER | SS | 265,000 | 29.21 | 24-Jun | 24-Jun | 13,250.00 | 5.0 |
| BUCK | 015 | MER | C | 1,000 | 29.00 | 24-Jun | 24-Jun | 0.00 | 0.0 |
| RAMIUS CAP | 040 | MS | SS | 232,000 | 33.95 | n/a | 19-Jun | 11,600.00 | 5.0 |
| B BUCK CAPITAL MGMT | | MVRX | SS | 40,000 | 123.33 | n/a | n/a | non-brg | 12.3 |
| BRIGHTPOINT CAP | 067 | NWA | C | 240,000 | 6.38 | n/a | n/a | 4,800.00 | 2.0 |
| B BUCK CAPITAL MGMT | | PEI | SS | 10,000 | 21.89 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | PERY | S | 10,000 | 21.58 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | PKG | B | 62,200 | 22.66 | 7-Apr | 26-Jun | non-brg | 2.5 |
| B BUCK CAPITAL MGMT | | PLCE | S | 120,000 | 34.45 | 23-Jun | 10-Jul | non-brg | 4.0 |
| OSS CAPITAL/KEVIN DANN | 067 | PLD | S | 200,000 | 47.59 | n/a | n/a | 6,000.00 | 3.0 |
| NICOLAS APPLGATE | 048 | PRU | S | 44,150 | 59.06 | n/a | n/a | 1,766.00 | 4.0 |
| FIRST NEW YORK LEDDY | 035 | Q | B | 10,000 | 3.76 | n/a | n/a | 600.00 | 6.0 |
| BARR | 096 | RIMM | SS | 350 | 117.77 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | RL | B | 16,700 | 59.91 | 7-Feb | 29-May | non-brg | 4.0 |
| COUGAR TRADING | 044 | RL | S | 10,000 | 60.11 | 7-Feb | 29-May | 500.00 | 5.0 |
| DIAMONDBACK CAP MGMT | 232 | ROST | C | 25,000 | 37.95 | n/a | n/a | 1,250.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------|------|--------|-----|---------|--------|--------|----------|-------------|------|
| SATELITE/BOBBY | 044 | RTH | SS | 10,000 | 86.98 | n/a | n/a | 400.00 | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | S4RETL | SS | 35,000 | 305.25 | n/a | n/a | non-brg | 30.5 |
| ⌘ BUCK CAPITAL MGMT | | S6RETL | SS | 70,000 | 158.77 | n/a | n/a | non-brg | 15.9 |
| COUGAR TRADING | 044 | SDS | SS | 10,000 | 69.88 | n/a | n/a | 500.00 | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | SKT | SS | 10,000 | 36.48 | n/a | n/a | non-brg | 4.0 |
| CSFB GLOBAL PROPRIETARY | 041 | SSCC | B | 100,000 | 4.66 | 7-Apr | 26-Jun | 5,000.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | SSI | S | 40,000 | 12.67 | n/a | 2-Jul | 1,600.00 | 4.0 |
| MCERLEAN | 016 | SSO | B | 1,000 | 58.72 | n/a | n/a | 0.00 | 0.0 |
| BAIRD INVESTMENT | 031 | SWN | S | 2,375 | 42.07 | 20-Mar | 9-Jul | 118.75 | 5.0 |
| ROTHSCHILD ASSET | 040 | SY | S | 36,070 | 29.94 | n/a | n/a | 1,623.15 | 4.5 |
| ⌘ BUCK CAPITAL MGMT | | TCO | SS | 10,000 | 46.63 | n/a | n/a | non-brg | 4.0 |
| MS PRINCIPAL STRATEGIES | 041 | TD | B | 45,900 | 60.02 | n/a | n/a | 2,295.00 | 5.0 |
| N STRATTON | 014 | TECUA | SS | 200 | 33.05 | n/a | n/a | 0.00 | 0.0 |
| LEDDY | 035 | TEX | B | 300 | 43.27 | n/a | 10-Jul | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | TGT | SS | 20,000 | 45.90 | n/a | 2-Jul | 800.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------------------------|------|--------|-----|---------|-------|--------|----------|-------------|-----|
| BUCK CAPITAL MGMT | 001 | THI | SS | 35,000 | 28.50 | n/a | 24-Apr | 1,400.00 | 4.0 |
| BUCK CAPITAL MGMT | | THI | SS | 10,000 | 28.13 | n/a | 24-Apr | non-brg | 4.0 |
| BUCK CAPITAL MGMT | | TIF | SS | 40,000 | 38.16 | n/a | 2-Jun | non-brg | 4.0 |
| COLUMBIA PARTNERS | 028 | TIF | SS | 27,021 | 38.14 | n/a | 2-Jun | 1,080.84 | 4.0 |
| DANIELS | N25 | TIN | B | 150 | 11.72 | 29-Apr | 26-Jun | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | TJX | S | 100,000 | 31.99 | n/a | 9-Jul | 4,000.00 | 4.0 |
| JP MORGAN VENTURES | 046 | TJX | SS | 10,000 | 31.63 | n/a | 9-Jul | 500.00 | 5.0 |
| KEEFE BRUYETTE WOODS A | 031 | TROW | SS | 5,300 | 53.08 | n/a | 10-Jul | 265.00 | 5.0 |
| MKT MAKER | 099 | TROW | B | 2,700 | 53.10 | n/a | 10-Jul | 0.00 | 0.0 |
| MKT MAKER | 099 | TROW | SS | 2,700 | 53.24 | n/a | 10-Jul | 0.00 | 0.0 |
| COUGAR TRADING | 044 | TWB | S | 25,000 | 14.57 | 17-Mar | 22-May | 1,250.00 | 5.0 |
| ARIENCE CAPITAL | 036 | TWC | SS | 23,600 | 25.86 | n/a | 4-Jan | 1,180.00 | 5.0 |
| BARR | 096 | T | B | 500 | 32.79 | n/a | 4-Jan | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | UA | S | 60,000 | 25.92 | n/a | n/a | 2,400.00 | 4.0 |
| BUCK CAPITAL MGMT | | URBN | S | 80,000 | 30.35 | 15-May | 9-Jul | non-brg | 4.0 |
| COUGAR TRADING | 044 | URBN | B | 10,000 | 29.98 | 15-May | 9-Jul | 500.00 | 5.0 |
| KENNEDY CAPITAL | 046 | VCJ | B | 40,000 | 12.50 | n/a | n/a | 1,600.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | VFC | S | 30,000 | 72.43 | n/a | n/a | 1,200.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------|--------|-----|---------|-------|--------|----------|-------------|-------|
| SIGMA CAPITAL ASSOCIATES | 237 | VFC | SS | 75,000 | 72.66 | n/a | n/a | 3,750.00 | 5.0 |
| VISIUM/BALY HOWARD | 038 | VFC | SS | 10,000 | 72.84 | n/a | n/a | 500.00 | 5.0 |
| BUCK CAPITAL MGMT | | VLO | S | 50,300 | 33.56 | n/a | n/a | non-brg | 4.0 |
| BARR | 096 | VZ | SS | 700 | 34.42 | n/a | 4-Jan | 0.00 | 0.0 |
| SUNOVA CAPITAL | 031 | WDR | S | 20,000 | 31.25 | 22-Apr | 10-Jul | 1,000.00 | 5.0 |
| BUCK CAPITAL MGMT | | WFMI | SS | 150,000 | 22.05 | n/a | n/a | non-brg | 2.5 |
| BUCK CAPITAL MGMT | | WFMI | SS | 45,000 | 22.11 | n/a | n/a | non-brg | 2.0 |
| OGORMAN | 046 | WFSL | SS | 1,000 | 15.38 | n/a | n/a | 0.00 | 0.0 |
| CSFB GLOBAL PROPRIETARY | 041 | WMI | B | 30,000 | 36.94 | n/a | n/a | 1,500.00 | 5.0 |
| BUCK CAPITAL MGMT | | WRC+JI | SS | 1,000 | 2.51 | n/a | n/a | non-brg | 300.0 |
| BUCK CAPITAL MGMT | | WRC+JJ | SS | 1,000 | 1.26 | n/a | n/a | non-brg | 300.0 |
| BUCK CAPITAL MGMT | | WRC | S | 60,000 | 41.20 | 13-May | 9-Jul | non-brg | 4.0 |
| BUCK CAPITAL MGMT | | WRI | SS | 10,000 | 28.54 | n/a | n/a | non-brg | 4.0 |
| BUCK CAPITAL MGMT | 001 | WSM | SS | 150,000 | 18.99 | n/a | n/a | 6,000.00 | 4.0 |
| GRUSS CAPITAL | 045 | WY | B | 5,000 | 49.10 | 7-Apr | 27-May | 150.00 | 3.0 |
| KAICHER | 064 | XCO | S | 1,000 | 34.86 | n/a | n/a | 0.00 | 0.0 |
| MCERLEAN | 016 | XLFF | S | 1,000 | 19.00 | n/a | n/a | 0.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------|--------|-----|---------|-------|-----|-------------------|--------------|-----|
| ⌘ BUCK CAPITAL MGMT | | XRT | SS | 400,000 | 28.32 | n/a | n/a | non-brg | 2.0 |
| ⌘ BUCK CAPITAL MGMT | | XRT | SS | 400,000 | 28.48 | n/a | n/a | non-brg | 2.0 |
| SATELITE/BOBBY | 044 | XRT | SS | 20,000 | 28.31 | n/a | n/a | 800.00 | 4.0 |
| DENVER INST. ADV | 046 | YUM | B | 23,184 | 35.29 | n/a | 10-Jul | 927.36 | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | ZLC | SS | 20,000 | 16.96 | n/a | n/a | non-brg | 4.0 |
| TOTAL (Trade Date): | | | | | | | 206,418.34 | | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|-------|--------------|------|--------|-----|--------|-------|-----|----------|-------------|-----|
| AO,CXL | 07/02 | MCCARTAN | 028 | DHR | SS | 100 | 75.32 | n/a | n/a | 0.00 | 0.0 |
| AO,CRT | 07/02 | MCCARTAN | 028 | DHR | SS | 100 | 75.32 | n/a | n/a | 0.00 | 0.0 |
| AO,CRT | 07/02 | FORWARD MGMT | 033 | GRNB | B | 1,200 | 14.40 | n/a | n/a | 60.00 | 5.0 |
| AO,CXL | 07/02 | FORWARD MGMT | 033 | GRNB | B | 1,200 | 14.40 | n/a | n/a | 60.00 | 5.0 |
| AO,CRT | 07/02 | FORWARD MGMT | 033 | OSBC | B | 1,600 | 11.97 | n/a | n/a | 80.00 | 5.0 |
| AO,CXL | 07/02 | FORWARD MGMT | 033 | OSBC | B | 1,600 | 11.97 | n/a | n/a | 80.00 | 5.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | 0.00 | |

| | |
|-----------------------|------------|
| TOTAL (Trade Date): | 206,418.34 |
| TOTAL (AO, CXL, CRT): | 0.00 |

| | |
|--------------------------------|-------------------|
| TOTAL (RUN DATE) / NFS: | 206,418.34 |
|--------------------------------|-------------------|

MRI Securities with Trade Activity on 10-Jul.
ANF, CPKI, JWN

MRI Securities without Trade Activity on 10-Jul.
BEN, EV, GBL, IVZ

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

T-Date = 23%

YTD = 16%

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