



Daily Compliance Activity Report

Trade Date: 08/19/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		AAPL	S	15,000	362.66	n/a	n/a	non-brg	4.0
HIGHBRIDGE CAP	041	AEO	B	60,000	11.22	n/a	26-May	1,800.00	3.0
ROYCE TRADING	012	AEO	B	14,500	11.14	n/a	26-May	725.00	5.0
ROYCE TRADING	012	AIT	B	1,500	26.78	n/a	n/a	75.00	5.0
DAVIDSON KEMPNER ADVISOR	040	AKS	S	150,000	7.79	n/a	n/a	4,500.00	3.0
BUCK CAPITAL MGMT		ANF	S	100,000	58.26	n/a	18-Aug	non-brg	4.0
BUCK CAPITAL MGMT		ANF	S	5,448	58.76	n/a	18-Aug	non-brg	4.0
HIGHBRIDGE CAP	041	ANF	B	2,871	59.10	n/a	18-Aug	86.13	3.0
BUCK CAPITAL MGMT		ANN	S	23,000	22.13	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		ANN	S	50,000	21.75	n/a	n/a	non-brg	4.0
HIGHBRIDGE CAP	041	ANN	SS	23,000	21.92	n/a	n/a	690.00	3.0
JP MORGAN VENTURES	046	ANN	S	10,000	21.80	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT		APC	S	7,202	67.96	n/a	17-Aug	non-brg	4.0
DAVID GEORGE BUCK	FID	APC	B	10	2.10	n/a	17-Aug	0.00	0.0
BUCK CAPITAL MGMT		APO	S	130	13.90	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		APO	S	250	13.90	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		APO	S	430	13.90	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		APO	S	5,129	13.90	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		APO	S	590	13.90	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		APO	S	610	13.90	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		APO	S	700	13.90	n/a	n/a	non-brg	4.0
ROYCE TRADING	012	AVX	B	1,000	12.13	n/a	n/a	50.00	5.0
⌘ BUCK CAPITAL MGMT		AVY	S	11,090	26.20	n/a	11-Aug	non-brg	4.0
⌘ BUCK CAPITAL MGMT		AXE	S	3,340	48.17	n/a	17-Aug	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	AXL	S	300	8.02	n/a	1-Aug	0.00	0.0
⌘ BUCK CAPITAL MGMT		BID	S	100,000	31.30	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		BID	S	7,700	31.85	n/a	n/a	non-brg	4.0
ROYCE TRADING	012	BIO	B	500	96.44	n/a	n/a	25.00	5.0
⌘ BUCK CAPITAL MGMT		BK	S	16,368	19.41	n/a	16-Aug	non-brg	4.0
⌘ BUCK CAPITAL MGMT		BODY	S	7,816	16.32	n/a	n/a	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	BOX	S	150	12.40	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		BWLD	C	20,000	57.11	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		BYD	S	40,795	5.52	n/a	n/a	non-brg	3.0
SCOPUS FUND	041	BZ	S	123,600	5.31	n/a	n/a	4,944.00	4.0
⌘ BUCK CAPITAL MGMT		CAR	S	17,300	11.61	n/a	n/a	non-brg	4.0
SOROS	036	CCI	S	7,700	39.84	n/a	n/a	308.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FORTRESS INVESTMENT (US)	036	CCK	B	15,000	34.38	n/a	n/a	600.00	4.0
MERRILL ASSET/BLACKROCK	297	CFR	B	6,200	47.24	n/a	n/a	248.00	4.0
B BUCK CAPITAL MGMT		CHEF	S	27,100	15.81	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		CHEF	S	56,319	15.87	n/a	n/a	non-brg	1.0
HIGHBRIDGE CAP	041	CHS	B	21,000	12.33	n/a	5-Feb	630.00	3.0
f MICHAEL MARRANO	FID	CIVVX	B	226	11.05	n/a	n/a	0.00	0.0
ROYCE TRADING	012	CLW	B	2,500	66.10	n/a	n/a	125.00	5.0
CHALSON/MILLENIUM	041	CLX	B	17,000	65.42	n/a	4-Aug	680.00	4.0
PROSPECTOR PARTNERS LLC	036	CLX	B	8,100	64.73	n/a	4-Aug	324.00	4.0
CHALSON/MILLENIUM	041	CL	B	25,000	84.99	n/a	1-Aug	1,000.00	4.0
B BUCK CAPITAL MGMT		COF	S	9,000	42.04	n/a	17-Aug	non-brg	4.0
B BUCK CAPITAL MGMT		COH	S	40,000	47.18	n/a	3-Aug	non-brg	4.0
B BUCK CAPITAL MGMT		CROX	S	50,000	24.76	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CSTR	S	50,000	40.87	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	CS	B	4000	26.75	n/a	n/a	0.00	0.0
SOROS	036	CTSH	B	54,250	55.16	n/a	n/a	2,170.00	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f	JOHN BARTMAN COLE	FID	CVGI	B	500	6.00	n/a	n/a	0.00	0.0
f	JOHN MICHAEL DEMARTI	FID	CVGI	B	2000	6.18	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		C	S	7,660	27.77	n/a	16-Aug	non-brg	4.0
ß	BUCK CAPITAL MGMT		DAL	S	82,726	7.47	n/a	n/a	non-brg	3.0
ß	BUCK CAPITAL MGMT		DDS	S	160,000	39.52	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		DDS	S	20,000	39.52	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		DDS	S	7,580	39.74	n/a	n/a	non-brg	4.0
	HIGHBRIDGE CAP	041	DECK	B	1,288	77.31	n/a	n/a	38.64	3.0
	BAIRD INVESTMENT	047	DG	B	16,025	32.22	n/a	4-Aug	801.25	5.0
ß	BUCK CAPITAL MGMT		DG	C	40,000	32.39	n/a	4-Aug	non-brg	4.0
ß	BUCK CAPITAL MGMT		DG	C	59,400	32.39	n/a	4-Aug	non-brg	4.0
ß	BUCK CAPITAL MGMT		DHI	S	37,563	9.07	n/a	n/a	non-brg	3.0
ß	BUCK CAPITAL MGMT		DKS	S	50,700	30.91	n/a	16-Aug	non-brg	4.0
ß	BUCK CAPITAL MGMT		DSW	S	50,000	38.82	n/a	11-Feb	non-brg	4.0
ß	BUCK CAPITAL MGMT		DVN	S	4,032	63.61	n/a	17-Aug	non-brg	4.0
	BNP PARIBAS SEC	040	EBAY	B	75,000	28.33	n/a	n/a	3,750.00	5.0
	BAIRD INVESTMENT	047	ECL	B	23,225	44.59	n/a	11-Aug	1,161.25	5.0
f	ANTHONY SUTERA	FID	EFT	B	5000	14.14	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f BARBARA S LEDDY	FID	EFT	S	584	13.86	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ESV	S	9,810	43.61	n/a	n/a	non-brg	4.0
MILLENIUM ICS OPPORTUNITIES	TONY060	EXH	B	20,000	10.50		n/a 11-Jan	600.00	3.0
f MICHAEL MARRANO	FID	FHGX	S	85	12.84	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FINL	S	100,000	17.38	n/a	24-Jun	non-brg	4.0
B BUCK CAPITAL MGMT		FINL	S	22,220	17.31	n/a	24-Jun	non-brg	4.0
ROYCE TRADING	012	FINL	B	2,000	17.69	n/a	24-Jun	100.00	5.0
f MICHAEL MARRANO	FID	FINPX	S	88	12.90	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FITB	S	20,356	9.55	n/a	n/a	non-brg	3.0
f ALICE BEEBE LONGLEY	FID	FLPSX	S	487	35.32	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FL	S	24,356	18.18	n/a	19-Aug	non-brg	4.0
OZ MGMT	040	FL	S	140,000	18.35	n/a	19-Aug	4,200.00	3.0
B BUCK CAPITAL MGMT		FOR	S	29,534	11.48	n/a	9-Aug	non-brg	2.5
M&I FUNDS	047	F	S	27,537	10.26	n/a	3-Aug	1,101.48	4.0
B BUCK CAPITAL MGMT		GCO	S	20,000	42.97	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GES	S	30,000	31.02	n/a	18-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		GES	S	6,005	31.35	n/a	18-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		GIL	S	40,000	24.63	n/a	5-Aug	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		GIL	S	7,750	24.68	n/a	5-Aug	non-brg	4.0
ß BUCK CAPITAL MGMT		GLW	S	24,507	14.35	n/a	11-Aug	non-brg	4.0
ß BUCK CAPITAL MGMT		GMCR	S	10,000	88.12	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GNC	S	30,000	20.28	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GPS	C	50,000	16.02	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GPS	C	50,000	16.02	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		HAL	S	8,870	40.81	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	HBC	S	4000	42.35	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		HBI	S	50,000	24.36	n/a	21-Jul	non-brg	4.0
ß BUCK CAPITAL MGMT		HBI	S	9,487	24.46	n/a	21-Jul	non-brg	4.0
CHALSON/MILLENIU	041	HD	SS	20,000	32.24	n/a	16-Aug	800.00	4.0
f BARBARA S LEDDY	FID	HOTT	S	600	7.45	n/a	n/a	0.00	0.0
CONIFER/ISF	025	HPQ	B	10,000	23.47	n/a	n/a	400.00	4.0
SOROS	036	HPQ	SS	21,300	23.28	n/a	n/a	852.00	4.0
ß BUCK CAPITAL MGMT		HTZ	S	31,101	10.01	n/a	n/a	non-brg	4.0
ROYCE TRADING	012	HUBB	B	2,500	49.99	n/a	n/a	125.00	5.0
ß BUCK CAPITAL MGMT		IGT	S	12,095	14.12	n/a	13-Jun	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HOPLITE MGMT	025	INTC	C	100,000	19.70	n/a	n/a	4,000.00	4.0
⚡ BUCK CAPITAL MGMT		IP	S	16,890	23.78	n/a	4-Aug	non-brg	4.0
ELM RIDGE ADVISORS	044	IP	B	320,300	23.67	n/a	4-Aug	12,812.00	4.0
⚡ BUCK CAPITAL MGMT		IR	S	12,770	27.52	n/a	18-Aug	non-brg	4.0
f MICHAEL MARRANO	FID	IWD	B	87	57.92	n/a	n/a	0.00	0.0
f ALICE BEEBE LONGLEY	FID	JATTX	S	6222	14.77	n/a	n/a	0.00	0.0
HIGHBRIDGE CAP	041	JCP	SS	11,000	23.68	n/a	12-Aug	330.00	3.0
f MICHAEL MARRANO	FID	JMCVX	B	64	20.32	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		JOSB	S	25,000	41.53	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		JOSB	S	4,250	40.48	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		JPM	S	12,220	34.95	n/a	16-Aug	non-brg	4.0
⚡ BUCK CAPITAL MGMT		JWN	C	10,000	38.16	n/a	12-Aug	non-brg	4.0
⚡ BUCK CAPITAL MGMT		JWN	C	30,000	38.16	n/a	12-Aug	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	KMI	S	100	24.98	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		KNX	S	17,020	13.93	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	KO	B	1000	67.52	n/a	20-Jul	0.00	0.0
BNP PARIBAS SEC	040	KRA	B	10,000	21.87	n/a	n/a	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL ASSET/BLACKROCK	297	KRC	S	22,100	35.02	n/a	n/a	884.00	4.0
⌘ BUCK CAPITAL MGMT		KSS	C	40,000	45.43	n/a	12-Aug	non-brg	4.0
ROYCE TRADING	012	LANC	B	1,000	54.89	n/a	n/a	50.00	5.0
⌘ BUCK CAPITAL MGMT		LEA	S	5,640	41.18	n/a	5-Aug	non-brg	4.0
⌘ BUCK CAPITAL MGMT		LEN	S	30,091	13.24	n/a	n/a	non-brg	4.0
CRAMER ROSENTHAL/SCOTT	012	LL	S	57,500	14.63	n/a	n/a	2,300.00	4.0
BMO NESBITT BURNS	041	LPX	B	2,000	6.06	n/a	5-Aug	80.00	4.0
⌘ BUCK CAPITAL MGMT		LTD	S	50,000	33.59	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		LVS	S	20,000	42.04	n/a	13-Jun	non-brg	4.0
⌘ BUCK CAPITAL MGMT		LVS	S	20,000	42.04	n/a	13-Jun	non-brg	4.0
PROSPECTOR PARTNERS LLC	036	L	B	10,000	35.59	n/a	n/a	400.00	4.0
⌘ BUCK CAPITAL MGMT		MDC	S	13,580	17.00	n/a	n/a	non-brg	4.0
ROYCE TRADING	012	MDP	B	6,500	23.99	n/a	n/a	325.00	5.0
ROYCE TRADING	012	MLI	B	1,000	38.44	n/a	26-Jul	50.00	5.0
DAVIDSON KEMPNER ADVISOR	040	MMI	B	75,000	37.90	n/a	n/a	3,750.00	5.0
BNP PARIBAS SEC	040	MMM	B	10,000	77.52	n/a	11-Aug	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEFF MGMT	035	MMM	B	2,000	77.81	n/a	11-Aug	240.00	12.0
⚡ BUCK CAPITAL MGMT		MPXL	S	40,000	12.36	n/a	13-Jun	non-brg	4.0
⚡ BUCK CAPITAL MGMT		MSMSBCM	C	50,000	84.35	n/a	n/a	non-brg	6.7
⚡ BUCK CAPITAL MGMT		MSMSBCM	C	590,000	84.35	n/a	n/a	non-brg	6.7
⚡ BUCK CAPITAL MGMT		MSSR	S	20	5.81	n/a	n/a	non-brg	3.0
⚡ BUCK CAPITAL MGMT		MSSR	S	40	5.81	n/a	n/a	non-brg	3.0
⚡ BUCK CAPITAL MGMT		MSSR	S	40	5.81	n/a	n/a	non-brg	3.0
⚡ BUCK CAPITAL MGMT		MSSR	S	60	5.81	n/a	n/a	non-brg	3.0
⚡ BUCK CAPITAL MGMT		MSSR	S	639	5.81	n/a	n/a	non-brg	3.0
⚡ BUCK CAPITAL MGMT		MSSR	S	80	5.81	n/a	n/a	non-brg	3.0
⚡ BUCK CAPITAL MGMT		MSSR	S	90	5.81	n/a	n/a	non-brg	3.0
⚡ BUCK CAPITAL MGMT		MS	S	24,718	16.32	n/a	16-Aug	non-brg	4.0
f JOHN BARTMAN COLE	FID	MS	S	450	16.27	n/a	16-Aug	0.00	0.0
ROYCE TRADING	012	MTX	B	4,000	52.29	n/a	n/a	200.00	5.0
⚡ BUCK CAPITAL MGMT		M	S	150,000	23.11	n/a	11-Aug	non-brg	4.0
⚡ BUCK CAPITAL MGMT		M	S	17,787	22.70	n/a	11-Aug	non-brg	4.0
f ALICE BEEBE LONGLEY	FID	NBGEX	S	1926	44.42	n/a	n/a	0.00	0.0
f JOHN BARTMAN COLE	FID	NBRXF	S	500	9.89	n/a	n/a	0.00	0.0
BASIX	033	NDN	B	28,000	16.59	n/a	9-Aug	840.00	3.0
BNP PARIBAS SEC	040	NDN	B	2,100	16.40	n/a	9-Aug	42.00	2.0
CHALSON/MILLENIUM	041	NKE	B	1,600	80.19	n/a	1-Jul	64.00	4.0

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NOMURA CAPITAL	029	NRG	S	12,225	21.41	n/a	n/a	611.25	5.0
ROYCE TRADING	012	NSR	B	3,000	23.20	n/a	n/a	150.00	5.0
ROYCE TRADING	012	OMI	B	1,000	27.11	n/a	n/a	50.00	5.0
HIGHBRIDGE CAP	041	ORLY	B	67,000	61.02	n/a	n/a	2,010.00	3.0
f MICHAEL MARRANO	FID	PAFDX	S	118	20.66	n/a	n/a	0.00	0.0
WEISS PECK	040	PAG	B	47,740	16.66	n/a	22-Jul	2,387.00	5.0
f MICHAEL MARRANO	FID	PAHIX	S	631	6.45	n/a	n/a	0.00	0.0
BASSWOOD PARTNERS	267	PCAR	SS	12,700	34.49	n/a	27-Jul	508.00	4.0
B BUCK CAPITAL MGMT		PCAR	S	14,080	34.91	n/a	27-Jul	non-brg	4.0
DAVIDSON INV ADV	035	PCAR	B	46,820	34.61	n/a	27-Jul	1,872.80	4.0
CHALSON/MILLENIUM	041	PENN	SS	15,000	36.05	n/a	n/a	600.00	4.0
SURVEYOR CAPITAL	041	PEP	S	48,204	62.10	n/a	n/a	1,446.12	3.0
B BUCK CAPITAL MGMT		PLCE	S	10,000	39.09	n/a	18-Aug	non-brg	4.0
B BUCK CAPITAL MGMT		PLCE	S	20,000	39.02	n/a	18-Aug	non-brg	4.0
B BUCK CAPITAL MGMT		PLCE	S	8,740	39.03	n/a	18-Aug	non-brg	4.0
ROYCE TRADING	012	PLCE	B	2,000	39.14	n/a	18-Aug	100.00	5.0
ROYCE TRADING	012	PLT	B	4,000	31.17	n/a	n/a	200.00	5.0
SURVEYOR CAPITAL	041	PM	B	43,091	69.19	n/a	n/a	1,292.73	3.0

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⚡ BUCK CAPITAL MGMT		PVH	S	10,000	51.60	n/a	18-Jul	non-brg 4.0
⚡ BUCK CAPITAL MGMT		PVH	S	30,000	53.71	n/a	18-Jul	non-brg 4.0
⚡ BUCK CAPITAL MGMT		PVH	S	5,260	54.16	n/a	18-Jul	non-brg 4.0
SOROS	036	PXP	B	50,000	28.82	n/a	n/a	2,000.00 4.0
ROYCE TRADING	012	RBC	B	2,000	50.58	n/a	n/a	100.00 5.0
⚡ BUCK CAPITAL MGMT		RCL	S	12,360	22.97	n/a	n/a	non-brg 4.0
⚡ BUCK CAPITAL MGMT		RCL	S	40,000	23.06	n/a	n/a	non-brg 4.0
f DAVID GEORGE BUCK	FID	RKT	B	2000	48.10	n/a	4-Aug	0.00 0.0
FORTRESS INVESTMENT (US)	036	ROK	S	4,000	55.70	n/a	n/a	160.00 4.0
⚡ BUCK CAPITAL MGMT		RRR	S	40,510	7.16	n/a	22-Jul	non-brg 3.0
f JASON ERIC COHEN	FID	RRR	B	735	6.80	n/a	22-Jul	0.00 0.0
⚡ BUCK CAPITAL MGMT		RYL	S	33,667	10.21	n/a	n/a	non-brg 4.0
⚡ BUCK CAPITAL MGMT		R	S	6,700	42.40	n/a	n/a	non-brg 4.0
⚡ BUCK CAPITAL MGMT		SCS	S	50,000	6.80	n/a	n/a	non-brg 3.0
⚡ BUCK CAPITAL MGMT		SFER IM	S	160,000	14.48	n/a	n/a	non-brg 2.2
⚡ BUCK CAPITAL MGMT		SFLY	S	10,000	41.45	n/a	n/a	non-brg 4.0
⚡ BUCK CAPITAL MGMT		SFLY	S	40,000	43.22	n/a	n/a	non-brg 4.0
ROYCE TRADING	012	SHLM	B	5,500	16.92	n/a	n/a	275.00 5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
BUCK CAPITAL MGMT		SIG	S	10,690	32.31	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		SIG	S	100,000	32.11	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		SIX	C	70,000	31.77	n/a	n/a	non-brg 2.5
BUCK CAPITAL MGMT		SLB	S	3,738	73.95	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		SLM	S	35,201	12.86	n/a	9-Aug	non-brg 4.0
BUCK CAPITAL MGMT		SODA	S	55,000	39.55	n/a	n/a	non-brg 4.0
ROYCE TRADING	012	SON	B	4,000	28.23	n/a	n/a	200.00 5.0
BUCK CAPITAL MGMT		SSI	C	42,700	13.37	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		STI	S	8,730	17.66	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		STT	S	10,887	32.39	n/a	16-Aug	non-brg 4.0
BUCK CAPITAL MGMT		SUMR	S	25,000	6.27	n/a	n/a	non-brg 3.0
BUCK CAPITAL MGMT		SWFT	S	21,174	6.99	n/a	n/a	non-brg 3.0
BUCK CAPITAL MGMT		SWN	S	10,204	36.61	n/a	17-Aug	non-brg 4.0
HIGHBRIDGE CAP	041	SWY	B	31,273	17.12	n/a	n/a	938.19 3.0
ROYCE TRADING	012	SXI	B	2,000	26.35	n/a	n/a	100.00 5.0
BUCK CAPITAL MGMT		TEA	S	37,300	21.58	n/a	n/a	non-brg 1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		TEA	S	47,600	23.56	n/a	n/a	non-brg	4.0
ROYCE TRADING	012	TER	B	5,000	11.13	n/a	n/a	250.00	5.0
B BUCK CAPITAL MGMT		TEX	S	6,220	14.13	n/a	22-Jul	non-brg	4.0
HIGHBRIDGE CAP	041	TGT	B	3,000	50.62	n/a	17-Aug	90.00	3.0
SURVEYOR CAPITAL	041	THOR	B	12,500	31.20	n/a	n/a	375.00	3.0
ASCEND PARTNERS	033	TIN	C	27,748	24.62	n/a	4-Aug	832.44	3.0
BMO NESBITT BURNS	041	TIN	B	25,000	24.38	n/a	4-Aug	1,250.00	5.0
SONTERRA CAP	041	TIN	B	60,000	24.63	n/a	4-Aug	2,400.00	4.0
B BUCK CAPITAL MGMT		TJX	S	7,010	52.73	n/a	17-Aug	non-brg	4.0
DISCIPLINED GROWTH INV.	030	TJX	B	8,200	53.08	n/a	17-Aug	410.00	5.0
f JOHN BARTMAN COLE	FID	TLB	B	1000	2.56	n/a	n/a	0.00	0.0
f MICHAEL MARRANO	FID	TMDPX	B	42	11.89	n/a	n/a	0.00	0.0
f DAEIL CHA	FID	TMF	B	5	57.20	n/a	n/a	0.00	0.0
ROYCE TRADING	012	TNB	B	2,000	38.90	n/a	n/a	100.00	5.0
B BUCK CAPITAL MGMT		TOL	S	24,715	15.28	n/a	n/a	non-brg	4.0
f PATRICK O'GRADY	FID	TRMAQ	S	100000	0.04	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		TSCO	S	109,700	54.64	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	012	TSS	B	540	16.63	n/a	n/a	27.00	5.0
MILLENIUM ICS OPPORTUNITIES	TONY060	TXT	B	20,000	15.23		n/a	n/a	600.00 3.0
SOROS	036	T	B	17,600	28.40	n/a	n/a	704.00	4.0
f DAEIL CHA	FID	UGL	B	2	116.00	n/a	n/a	0.00	0.0
ROYCE TRADING	012	UNF	B	2,000	46.47	n/a	n/a	100.00	5.0
HIGHBRIDGE CAP	041	URBN	SS	30,000	26.52	n/a	n/a	900.00	3.0
DAVIDSON KEMPNER ADVISOR	040	VSEA	B	1,000	60.10	n/a	n/a	50.00	5.0
ROYCE TRADING	012	VSH	B	7,000	10.22	n/a	n/a	350.00	5.0
SOROS	036	VZ	B	14,200	35.22	n/a	n/a	568.00	4.0
B BUCK CAPITAL MGMT		V	S	5,751	79.59	n/a	28-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		WBC	S	4,637	41.53	n/a	18-Aug	non-brg	4.0
f JONATHAN RICHARD HAR	FID	WBC	B	125	42.13	n/a	18-Aug	0.00	0.0
f ANTHONY SUTERA	FID	WCRX	B	1000	16.73	n/a	17-Aug	0.00	0.0
B BUCK CAPITAL MGMT		WERN	S	6,270	20.76	n/a	n/a	non-brg	4.0
LEVIN CAPITAL STRATEGIES	012	WMT	C	45,000	52.32	n/a	17-Aug	1,350.00	3.0
B BUCK CAPITAL MGMT		WNC	S	68,630	4.72	n/a	n/a	non-brg	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BNP PARIBAS SEC	040	WRC	B	20,000	46.61	n/a	2-Aug	1,000.00	5.0
B BUCK CAPITAL MGMT		WSM	C	20,000	29.00	n/a	n/a	non-brg	4.0
SYSTEMATIC FINANCIAL MGT	035	WSM	S	450,000	28.93	n/a	n/a	13,500.00	3.0
ROYCE TRADING	012	WSO	B	500	53.32	n/a	n/a	25.00	5.0
BMO NESBITT BURNS	041	WY	S	10,000	16.13	n/a	29-Jul	400.00	4.0
f ANTHONY SUTERA	FID	XPO	B	10000	2.75	n/a	n/a	0.00	0.0
f JOHN BARTMAN COLE	FID	XPO	S	2000	2.80	n/a	n/a	0.00	0.0
f JOHN MICHAEL DEMARTI	FID	XPO	B	5000	2.79	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	XPO	B	1000	2.78	n/a	n/a	0.00	0.0
ROYCE TRADING	012	ZBRA	B	1,000	32.01	n/a	n/a	50.00	5.0
f JOHN BARTMAN COLE	FID		B	10000	0.17	n/a	n/a	0.00	0.0
TOTAL (Trade Date) :								101,009.28	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/18	BRONSON POINT	036	JCOM	B	16,500	27.84	n/a	n/a	495.00 3.0
AO,	08/18	SONTERRA CAP	041	TIN	B	20,000	25.64	n/a	4-Aug	800.00 4.0
TOTAL (AO, CXL, CRT) :										1,295.00

TOTAL (Trade Date):	101,009.28
TOTAL (AO, CXL, CRT):	1,295.00

TOTAL (RUN DATE) / NFS:	102,304.28
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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MRI Securities with Trade Activity on 19-Aug.
NONE

MRI Securities without Trade Activity on 19-Aug.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 0%
YTD = 2%

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)