



Daily Compliance Activity Report

Trade Date: 10/23/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		AAPL	B	10,000	97.68	n/a	n/a	non-brg	4.0
ADAGE CAPITAL MGMT	030	AAP	B	100,000	27.65	n/a	n/a	4,000.00	4.0
MENCKE	055	ABCW	S	100	5.58	n/a	n/a	0.00	0.0
CENTURION GLOBAL MGMT LL	041	ADP	B	12,700	33.12	n/a	n/a	381.00	3.0
BUCK CAPITAL MGMT	001	AEO	S	579,518	9.96	n/a	10-Oct	23,180.72	4.0
COUGAR TRADING	044	AEO	B	5,000	10.39	n/a	10-Oct	250.00	5.0
AAD CAPITAL	048	ALV	B	20,000	21.66	22-Oct	22-Oct	600.00	3.0
⌘ BUCK CAPITAL MGMT		AMZN	SS	150,000	47.63	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	ANN	SS	50,000	13.28	n/a	8-Oct	2,000.00	4.0
WAGONHOUND/NIC	048	AN	SS	38,725	5.74	15-Oct	20-Oct	1,161.75	3.0
SINCLAIR	031	APCEG	B	40	6.10	n/a	n/a	0.00	0.0
EFSTATHIOU	044	ARGN	S	2,000	3.16	17-Oct	20-Oct	0.00	0.0
COUGAR TRADING	044	ARG	S	5,000	30.72	13-Oct	13-Oct	250.00	5.0
BUCK CAPITAL MGMT	001	ARO	S	268,700	22.05	n/a	10-Oct	10,748.00	4.0
⌘ BUCK CAPITAL MGMT		ARO	S	42,000	22.94	n/a	10-Oct	non-brg	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		AVP	SS	30,000	25.42	10-Oct	10-Oct	non-brg	4.0
PRINCIPLE CAPITAL	040	AVP	SS	43,400	25.64	10-Oct	10-Oct	1,302.00	3.0
⌘ BUCK CAPITAL MGMT		AXP	SS	80,000	24.35	n/a	21-Oct	non-brg	4.0
MORGENS WATERFALL	040	BAC	S	150,000	22.43	15-Oct	21-Oct	4,500.00	3.0
ADAGE CAPITAL MGMT	030	BBY	S	250,000	22.41	n/a	27-Jul	10,000.00	4.0
⌘ BUCK CAPITAL MGMT		BBY	SS	50,000	21.62	n/a	27-Jul	non-brg	4.0
⌘ BUCK CAPITAL MGMT		BHI	B	62,500	31.12	n/a	n/a	non-brg	4.0
LEDDY	035	BIG	C	1,500	21.49	29-May	9-Oct	0.00	0.0
⌘ BUCK CAPITAL MGMT		BLK	B	1,000	108.60	n/a	22-Oct	non-brg	1.0
PHILADELPHIA FINANCIAL	033	BLK	SS	18,777	118.26	n/a	22-Oct	751.08	4.0
NORTHPOINT	030	BRLI	S	29,195	22.72	n/a	n/a	1,167.80	4.0
LUCHANSKY1	036	BWA	SS	1,000	20.95	10-Jun	20-Oct	0.00	0.0
WHEELER	008	CBI	B	10,000	9.50	n/a	n/a	0.00	0.0
NORTHPOINT	030	CBST	S	50,645	20.98	n/a	n/a	2,025.80	4.0
STELLIAM INV ADV	040	CCE	B	30,000	9.94	n/a	n/a	1,500.00	5.0
LEDDY	035	CHCG	S	7,000	1.01	n/a	n/a	0.00	0.0
IRONBOUND CAPITAL	012	CHD	SS	86,800	56.50	4-Sep	11-Sep	4,340.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
BUCK CAPITAL MGMT		CHIC	C	39,200	7.52	n/a	n/a	non-brg 2.0
BUCK CAPITAL MGMT		CHIC	C	40,000	7.46	n/a	n/a	non-brg 4.0
CATTANI	041	CHK	S	150	19.92	n/a	n/a	0.00 0.0
BUCK CAPITAL MGMT		CHTT	SS	36,400	67.73	16-Oct	16-Oct	non-brg 4.0
BUCK CAPITAL MGMT		CIT	B	176,702	3.21	n/a	16-Oct	non-brg 3.0
BUCK CAPITAL MGMT		CIT	B	79,907	3.20	n/a	16-Oct	non-brg 1.0
BUCK CAPITAL MGMT		CLX+WJ	SS	1,000	1.07	n/a	n/a	non-brg 300.0
BUCK CAPITAL MGMT	001	CLX	SS	100,000	55.69	15-Oct	15-Oct	4,000.00 4.0
BUCK CAPITAL MGMT		CLX	SS	20,000	55.84	15-Oct	15-Oct	non-brg 4.0
BUCK CAPITAL MGMT		CL	SS	50,000	56.38	14-Oct	14-Oct	non-brg 4.0
CATAPULT	040	CL	B	11,600	58.75	14-Oct	14-Oct	580.00 5.0
BUCK CAPITAL MGMT		COF	SS	100,000	35.20	n/a	17-Oct	non-brg 4.0
BUCK	015	COF	SS	1,000	34.98	n/a	17-Oct	0.00 0.0
BUCK CAPITAL MGMT	001	COH	B	20,000	18.54	8-Oct	22-Oct	800.00 4.0
BUCK CAPITAL MGMT		COST	SS	100,000	50.46	n/a	27-Jul	non-brg 4.0
JP MORGAN VENTURES	046	COST	C	10,000	51.66	n/a	27-Jul	500.00 5.0
PILOT ADV	038	COST	B	15,000	52.11	n/a	27-Jul	600.00 4.0
WAGONHOUND/NIC	048	COV	S	7,501	41.79	n/a	n/a	300.04 4.0
KORMAN	003	CPRE	S	2,000	14.61	n/a	n/a	0.00 0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		CRL	C	39,400	35.12	n/a	n/a	non-brg	4.0
PIONEERING MGMT CORP	067	CRL	S	600	36.41	n/a	n/a	18.00	3.0
DEMARTINI	065	CROX	S	500	1.91	n/a	n/a	0.00	0.0
HUNTER GLOBAL INVESTOR	067	CVS	B	100,000	28.90	n/a	n/a	5,000.00	5.0
ß BUCK CAPITAL MGMT		DECK	B	15,000	78.09	n/a	n/a	non-brg	4.0
BRUNNER	012	DIG	S	500	27.22	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	DKS	SS	30,000	13.52	7-Oct	7-Oct	1,200.00	4.0
ß BUCK CAPITAL MGMT		DLTR	B	50,000	34.80	n/a	15-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		DSW	S	150,000	10.51	7-Oct	7-Oct	non-brg	2.0
ß BUCK CAPITAL MGMT		DSW	S	5,722	11.00	7-Oct	7-Oct	non-brg	1.0
ß BUCK CAPITAL MGMT		DSW	S	69,100	11.26	7-Oct	7-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		DSW	S	9,640	10.92	7-Oct	7-Oct	non-brg	1.0
BRUNNER	012	DUG	B	1,000	53.55	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	DV	SS	30,000	43.67	n/a	n/a	1,200.00	4.0
BARON ASSET MGMT*	012	EV	S	40,000	18.80	21-Aug	23-Oct	1,600.00	4.0
ß BUCK CAPITAL MGMT		EXH	B	15,515	19.03	28-Aug	14-Oct	non-brg	1.0
MISSOURI VALLEY PART	046	EXPD	B	1,740	31.21	n/a	n/a	87.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MENCKE	055	FFIC	S	100	16.10	n/a	n/a	0.00	0.0
DIAMONDBACK CAP MGMT	232	FL	B	50,000	12.12	7-Oct	7-Oct	2,500.00	5.0
B BUCK CAPITAL MGMT		FOR	S	25,000	8.95	n/a	3-Oct	non-brg	4.0
MISSOURI VALLEY PART	046	FTO	B	1,550	10.60	n/a	n/a	77.50	5.0
PHILADELPHIA FINANCIAL	033	GBL	B	5,100	28.82	19-Sep	20-Oct	204.00	4.0
B BUCK CAPITAL MGMT		GES+OW	SS	1,000	3.10	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	GES	B	50,000	19.90	n/a	n/a	2,000.00	4.0
BUCK	015	GIS	B	1,000	65.31	n/a	n/a	0.00	0.0
MENCKE	055	GME	S	100	28.00	n/a	n/a	0.00	0.0
LED DY	035	GOOG	S	50	346.95	n/a	n/a	0.00	0.0
COUGAR TRADING	044	GPS	S	5,000	11.96	n/a	17-Oct	250.00	5.0
BASIX	033	GR	B	35,000	33.66	23-Oct	23-Oct	1,050.00	3.0
BENCHMARK	028	GR	B	10,000	34.59	23-Oct	23-Oct	500.00	5.0
EFSTATHIOU	044	GR	B	500	32.65	23-Oct	23-Oct	0.00	0.0
B BUCK CAPITAL MGMT		GYMB	S	128,000	23.26	11-Jul	10-Oct	non-brg	4.0
COUGAR TRADING	044	GYMB	S	10,000	23.22	11-Jul	10-Oct	500.00	5.0
BUCK CAPITAL MGMT	001	HAS	SS	30,000	26.65	n/a	n/a	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROTHSCHILD ASSET	040	HEW	B	10,901	25.68	n/a	n/a	490.57	4.5
MISSOURI VALLEY PART	046	HIG	B	2,735	23.31	n/a	n/a	136.75	5.0
⌘ BUCK CAPITAL MGMT		HOTT	B	150,000	5.81	n/a	10-Oct	non-brg	4.0
⌘ BUCK CAPITAL MGMT		HOT	SS	20,000	18.88	n/a	n/a	non-brg	4.0
VALHALLA CAPITAL LP	041	HPQ	B	5,000	34.93	n/a	n/a	150.00	3.0
⌘ BUCK CAPITAL MGMT		HSII	SS	40,000	20.32	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		IFF+XF	SS	1,000	1.55	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		IFF	SS	50,000	33.18	3-Oct	3-Oct	non-brg	4.0
MISSOURI VALLEY PART	046	IGT	B	1,955	11.03	n/a	17-Oct	97.75	5.0
MISSOURI VALLEY PART	046	INTC	B	1,480	14.30	n/a	n/a	74.00	5.0
MISSOURI VALLEY PART	046	IVZ	B	3,690	11.65	6-Oct	23-Oct	184.50	5.0
⌘ BUCK CAPITAL MGMT		JCG+WC	SS	1,000	0.65	n/a	n/a	non-brg	100.0
⌘ BUCK CAPITAL MGMT		JCG+XS	SS	1,000	1.00	n/a	n/a	non-brg	100.0
COUGAR TRADING	044	JCG	B	15,000	17.27	n/a	17-Sep	750.00	5.0
MISSOURI VALLEY PART	046	JNJ	B	1,690	61.79	n/a	22-Apr	84.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WAGONHOUND/NIC	048	JNS	S	35,348	10.07	25-Jul	23-Oct	1,413.92	4.0
THE BOSTON COMPANY	401	JOSB	S	22,840	22.51	n/a	n/a	913.60	4.0
BENCHMARK	028	JOYG	S	12,500	20.99	4-Sep	4-Sep	625.00	5.0
CAXTON PART	040	JPM	B	70,496	37.94	26-Sep	21-Oct	2,467.36	3.5
MISSOURI VALLEY PART	046	JPM	B	2,225	37.11	26-Sep	21-Oct	111.25	5.0
MERRILL ASSET	032	JWN	S	500,000	16.21	17-Oct	17-Oct	22,500.00	4.5
THE JAY GOLDMAN	034	JWN	B	100,000	16.06	17-Oct	17-Oct	4,000.00	4.0
⌘ BUCK CAPITAL MGMT		KEG	B	24,600	5.20	n/a	14-Oct	non-brg	1.0
⌘ BUCK CAPITAL MGMT		KFY	SS	80,000	11.87	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		KMB	SS	50,000	55.09	23-Oct	23-Oct	non-brg	4.0
MS PRINCIPAL STRATEGIES	041	KOG	S	12,300	0.80	n/a	n/a	615.00	5.0
MISSOURI VALLEY PART	046	KO	B	1,870	43.49	n/a	n/a	93.50	5.0
COUGAR TRADING	044	KSS	B	10,000	28.83	n/a	10-Oct	500.00	5.0
BUCK	015	KSS	C	2,000	28.45	n/a	10-Oct	0.00	0.0
CATTANI	041	KSS	S	150	29.49	n/a	10-Oct	0.00	0.0
⌘ BUCK CAPITAL MGMT		LL	S	50,200	9.31	n/a	n/a	non-brg	4.0
MISSOURI VALLEY PART	046	LOW	B	2,115	17.84	n/a	27-Jul	105.75	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		LPX	B	20,191	3.26	n/a	15-Oct	non-brg	1.0
⚡ BUCK CAPITAL MGMT		LPX	B	232,600	3.21	n/a	15-Oct	non-brg	2.0
COUGAR TRADING	044	LTD	B	5,000	10.62	9-Oct	23-Oct	250.00	5.0
BUCK CAPITAL MGMT	001	MAN	SS	80,000	26.34	n/a	n/a	3,200.00	4.0
⚡ BUCK CAPITAL MGMT		MAR	SS	20,000	17.75	n/a	n/a	non-brg	4.0
PZENA INV ADV	044	MAT	B	50,000	12.94	n/a	n/a	1,750.05	3.5
⚡ BUCK CAPITAL MGMT		MC FP	SS	15,000	64.82	n/a	n/a	non-brg	13.0
BUCK	015	MET	C	2,000	28.71	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	MIR	B	20,000	15.74	n/a	n/a	800.00	4.0
HUNTER GLOBAL INVESTOR	067	MLM	SS	8,163	79.17	n/a	n/a	408.15	5.0
⚡ BUCK CAPITAL MGMT		MNST	SS	80,000	10.74	n/a	n/a	non-brg	4.0
ARTX	304	MOS	S	45,758	32.15	n/a	n/a	2,287.90	5.0
PIONEERING MGMT CORP	067	MRO	B	80,000	23.80	n/a	n/a	2,400.00	3.0
Õ Mitchell Speiser		MZZ	S	25	122.43	n/a	n/a	0.00	0.0
IRIDIAN ASSET MGMT.	036	M	SS	106,450	8.77	12-Aug	10-Oct	5,322.50	5.0
GEOSPHERE CAPITAL MGMT	044	NBR	S	50,000	13.84	n/a	n/a	1,500.00	3.0

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⚡ BUCK CAPITAL MGMT		NEXC	S	466,195	0.10	n/a	n/a	non-brg	0.5
BUCK CAPITAL MGMT	001	NKE	SS	80,000	50.97	n/a	n/a	3,200.00	4.0
THE BOSTON COMPANY	401	NKE	SS	18,340	51.62	n/a	n/a	733.60	4.0
EPOCH INV MGMT	030	NLC	B	13,300	13.39	n/a	n/a	532.00	4.0
PROSPECTOR PARTNERS LLC	036	NP	B	10,000	10.01	n/a	15-Oct	400.00	4.0
BALYASNY ASSET MGMT	044	NTRS	B	25,000	48.91	9-Oct	23-Oct	1,250.00	5.0
PZENA INV ADV	044	OMC	B	60,000	26.75	n/a	n/a	2,100.18	3.5
CSFB GLOBAL PROPRIETARY	041	PCL	S	5,000	33.88	n/a	15-Oct	250.00	5.0
LEDDY	035	PCL	B	400	33.50	n/a	15-Oct	0.00	0.0
⚡ BUCK CAPITAL MGMT		PERY	B	20,457	8.55	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		PERY	B	29,543	8.47	n/a	n/a	non-brg	2.5
BEAR STEARNS ASSET MGMT.	033	PFCB	B	20,000	18.14	n/a	23-Oct	800.00	4.0
BUCK CAPITAL MGMT	001	PG	SS	50,000	58.02	10-Oct	10-Oct	2,000.00	4.0
⚡ BUCK CAPITAL MGMT		PLCE	B	125,000	28.80	21-Aug	10-Oct	non-brg	4.0
⚡ BUCK CAPITAL MGMT		POOL	C	27,000	16.33	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT	001	PSS	S	277,200	11.04	n/a	n/a	11,088.00	4.0
COUGAR TRADING	044	PVH	S	5,000	23.03	8-Oct	8-Oct	250.00	5.0

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BUCK CAPITAL MGMT		OPT+WW	SS	1,600	0.78	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT		QUK+WO	SS	400	7.30	n/a	n/a	non-brg	300.0
IRIDIAN ASSET MGMT.	036	RDC	S	19,930	16.06	n/a	n/a	996.50	5.0
BUCK CAPITAL MGMT		RECN	SS	80,000	14.70	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	RHI	SS	80,000	15.95	n/a	n/a	3,200.00	4.0
BUCK CAPITAL MGMT		RIG	B	55,000	70.73	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	RL	SS	30,000	42.81	n/a	8-Oct	1,200.00	4.0
COUGAR TRADING	044	RL	S	5,000	43.58	n/a	8-Oct	250.00	5.0
IRIDIAN ASSET MGMT.	036	ROC	S	12,180	11.49	n/a	n/a	609.00	5.0
ROTHSCHILD ASSET	040	RSG	S	18,240	20.21	n/a	n/a	820.80	4.5
MENCKE	055	RTIX	S	25	5.10	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		SAFM	SS	20,200	31.81	n/a	n/a	non-brg	4.0
CATTANI	041	SHPGY	S	100	36.95	15-Oct	21-Oct	0.00	0.0
MENCKE	055	SKF	B	30	148.20	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		SKX+KV	SS	3,000	0.40	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT		SKX+WB	SS	3,000	0.60	n/a	n/a	non-brg	100.0

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BUCK CAPITAL MGMT	001	SKX	B	33,500	11.18	n/a	13-Mar	1,340.00	4.0
ß BUCK CAPITAL MGMT		SKX	B	100,204	11.37	n/a	13-Mar	non-brg	4.0
ß BUCK CAPITAL MGMT		SKX	B	29,400	11.03	n/a	13-Mar	non-brg	1.0
ß BUCK CAPITAL MGMT		SKX	B	86,896	11.02	n/a	13-Mar	non-brg	1.0
THE BOSTON COMPANY	401	SKX	B	23,338	11.13	n/a	13-Mar	933.52	4.0
ß BUCK CAPITAL MGMT		SLB	B	44,300	51.57	n/a	n/a	non-brg	4.0
BUCK	015	SPG	S	1,000	56.93	n/a	n/a	0.00	0.0
WHEELER	008	SPNC	B	20,000	3.40	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SPTN	SS	20,000	24.34	n/a	n/a	non-brg	2.5
PROSPECTOR PARTNERS LLC	036	SRP	B	25,000	7.65	n/a	n/a	1,000.00	4.0
BRUNNER	012	SSO	S	1,500	27.16	n/a	n/a	0.00	0.0
HART	056	SUPWV	B	10	1.30	n/a	n/a	0.00	0.0
SINCLAIR	031	SWGOL	S	30	9.55	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SYW+WX	SS	800	1.05	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	SYW	SS	30,000	23.14	n/a	24-Apr	1,200.00	4.0
ß BUCK CAPITAL MGMT		TGT+WF	SS	1,500	1.91	n/a	n/a	non-brg	300.0
JP MORGAN VENTURES	046	TIF	SS	10,000	23.76	n/a	10-Oct	500.00	5.0

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⌘ BUCK CAPITAL MGMT		TLB	B	150,000	7.97	7-Aug	30-Sep	non-brg	4.0
⌘ BUCK CAPITAL MGMT		TLB	B	181,895	7.80	7-Aug	30-Sep	non-brg	1.0
⌘ BUCK CAPITAL MGMT		TLB	B	33,400	7.53	7-Aug	30-Sep	non-brg	2.0
⌘ BUCK CAPITAL MGMT		TLB	B	70,900	7.69	7-Aug	30-Sep	non-brg	2.0
⌘ BUCK CAPITAL MGMT		TLB	B	91,400	7.64	7-Aug	30-Sep	non-brg	1.0
PROSPECTOR PARTNERS LLC	036	TR	B	10,000	23.82	n/a	n/a	400.00	4.0
⌘ BUCK CAPITAL MGMT		TSCO	SS	100,000	36.08	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		TUP	SS	50,000	21.18	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		TWB	B	100,000	7.18	n/a	1-Oct	non-brg	4.0
STELLIAM INV ADV	040	TXN	B	50,000	16.33	n/a	n/a	2,500.00	5.0
COUGAR TRADING	044	UA	B	10,000	20.51	n/a	8-Oct	500.00	5.0
COUGAR TRADING	044	UA	S	10,000	18.44	n/a	8-Oct	500.00	5.0
⌘ BUCK CAPITAL MGMT		UNFI	SS	100,000	19.20	n/a	n/a	non-brg	4.0
HUNTER GLOBAL INVESTOR	067	UNP	SS	50,000	59.83	n/a	n/a	2,500.00	5.0
COUGAR TRADING	044	UPS	B	10,000	47.16	n/a	n/a	500.00	5.0
COUGAR TRADING	044	UPS	SS	10,000	47.42	n/a	n/a	500.00	5.0
⌘ BUCK CAPITAL MGMT		URBN	B	50,000	20.29	14-Aug	1-Oct	non-brg	4.0
COUGAR TRADING	044	URBN	B	10,000	20.81	14-Aug	1-Oct	500.00	5.0
COUGAR TRADING	044	URBN	SS	10,000	21.26	14-Aug	1-Oct	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	VFC	B	5,000	51.13	n/a	n/a	250.00	5.0
MENCKE	055	VIP	S	75	10.00	n/a	n/a	0.00	0.0
CAXTON PART	040	WFC	B	70,496	30.98	n/a	n/a	2,467.36	3.5
MISSOURI VALLEY PART	046	WFC	B	1,105	30.88	n/a	n/a	55.25	5.0
B BUCK CAPITAL MGMT		WMT+KX	SS	1,000	2.85	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	WRC	B	50,000	25.75	8-Oct	8-Oct	2,000.00	4.0
CASTLE ARK	031	WRC	B	175,920	25.29	8-Oct	8-Oct	10,555.20	6.0
US BANCORP	030	WRC	B	10,000	24.95	8-Oct	8-Oct	500.00	5.0
FEDP	029	WYE	B	472,000	32.55	n/a	31-Mar	21,240.00	4.5
CSFB GLOBAL PROPRIETARY	041	WY	S	7,000	36.35	n/a	15-Oct	350.00	5.0
B BUCK CAPITAL MGMT		XRT	SS	450,000	20.62	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		YUM	SS	150,000	26.30	14-Aug	20-Oct	non-brg	4.0
TOTAL (Trade Date):								226,028.15	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/22	SCOPUS FUND	041	ANF	SS	15,000	27.01	7-Aug	10-Oct	750.00 5.0
AO,CXL	10/22	SCOPUS FUND	041	ANF	SS	15,000	27.01	7-Aug	10-Oct	750.00 5.0
AO,CRT	10/21	MILLRACE FUND LP	028	BWA	SS	4,300	23.95	10-Jun	20-Oct	172.00 4.0
AO,CXL	10/21	MILLRACE FUND LP	028	BWA	SS	4,300	23.95	10-Jun	20-Oct	215.00 5.0
AO,CRT	10/21	BUCK CAPITAL MGMT	001	CHS	S	400,000	3.22	8-Aug	10-Oct	12000.00 3.0
AO,CXL	10/21	BUCK CAPITAL MGMT	001	CHS	S	400,000	3.22	8-Aug	10-Oct	16000.00 4.0
AO,CRT	10/22	BUCK CAPITAL MGMT	001	CHS	S	194,500	2.95	8-Aug	10-Oct	5835.00 3.0
AO,CXL	10/22	BUCK CAPITAL MGMT	001	CHS	S	194,500	2.95	8-Aug	10-Oct	7780.00 4.0
AO,CRT	10/22	SATELITE/BOBBY	044	DAL	B	60,000	9.81	n/a	n/a	1800.00 3.0
AO,CXL	10/22	SATELITE/BOBBY	044	DAL	B	60,000	9.81	n/a	n/a	2400.00 4.0
AO,	10/22	IRIDIAN ASSET MGMT.	036	DRC	B	20,800	19.90	n/a	n/a	1040.00 5.0
AO,CXL	10/22	SCOPUS FUND	041	EL	B	15,000	34.34	15-Aug	4-Sep	750.00 5.0
AO,CRT	10/22	SCOPUS FUND	041	EL	B	15,000	34.34	15-Aug	4-Sep	750.00 5.0
AO,CXL	10/22	MAGNETAR FINANCIAL	031	F	B	378,029	2.11	8-Oct	20-Oct	11340.87 3.0
AO,CRT	10/22	MAGNETAR FINANCIAL	031	F	B	378,029	2.11	8-Oct	20-Oct	11340.87 3.0
AO,CRT	10/22	BALYASNY ASSET MGMT	044	GNTX	SS	100,000	9.47	22-Oct	22-Oct	4000.00 4.0
AO,CXL	10/22	BALYASNY ASSET MGMT	044	GNTX	SS	100,000	9.47	22-Oct	22-Oct	5000.00 5.0
TOTAL (AO, CXL, CRT) :										-6,548.00

TOTAL (Trade Date):	226,028.15
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TOTAL (AO, CXL, CRT):	-6,548.00
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TOTAL (RUN DATE) / NFS:	219,480.15
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MRI Securities with Trade Activity on 23-Oct. GR, KMB
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MRI Securities without Trade Activity on 23-Oct. AMG, CMG, ECL, TEX
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BRG comm. as a % of BCM Total Comm. paid. T-Date = 30% YTD = 19%
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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