

## **Daily Compliance Activity Report** Trade Date: 10/08/2007

## **POTENTIAL ANALYST TRADE VIOLATIONS: 0**

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Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
WOOSTER CAPITAL	035	ABG	В	50,000	20.50	18-Jun	8-0ct	2,500.00	5.0
BUCK CAPITAL MGMT		AEO	s	10,000	24.75	10-Jul	5-0ct	non-brg	4.0
COUGAR TRADING	044	AEO	В	10,000	24.70	10-Jul	5-0ct	500.00	5.0
GALLEON MGMT LP	033	AEO	С	10,000	25.04	10-Jul	5-0ct	500.00	5.0
SAC TRADING HOWARD	038	AEO	SS	25 <b>,</b> 000	25.04	10-Jul	5-0ct	1,250.00	5.0
BUCK CAPITAL MGMT	001	ANF	S	5,000	82.62	2-0ct	5-0ct	200.00	4.0
COUGAR TRADING	044	ANF	В	5,000	83.46	2-0ct	5-0ct	250.00	5.0
BUCK CAPITAL MGMT	001	ANN	SS	60,000	33.72	6-Aug	5-0ct	2,400.00	4.0
COUGAR TRADING	044	ANN	В	5,000	33.82	6-Aug	5-0ct	250.00	5.0
CATTANI	041	ARBA	S	500	11.35	n/a	n/a	0.00	0.0
COUGAR TRADING	044	ARO	В	5,000	20.10	n/a	5-0ct	250.00	5.0
COUGAR TRADING	044	ARO	S	45,000	19.85	n/a	5-0ct	2,250.00	5.0
THE JAY GOLDMAN	034	ARO	В	100,000	20.56	n/a	5-0ct	4,000.00	4.0
BUCK CAPITAL MGMT		BHI	S	20,000	91.61	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		BONT	s	10,000	22.77	3-Aug	5-0ct	non-brg	4.0
BUCK CAPITAL MGMT		BONT	S	10,000	23.12	3-Aug	5-0ct	non-brg	4.0
BUCK CAPITAL MGMT	001	BWS	s	25,000	21.76	n/a	n/a	1,000.00	4.0
BUCK CAPITAL MGMT		САСН	s	5,000	17.08	n/a	n/a	non-brg	4.0
	ACCOUNT  WOOSTER CAPITAL  BUCK CAPITAL MGMT COUGAR TRADING GALLEON MGMT LP SAC TRADING HOWARD  BUCK CAPITAL MGMT COUGAR TRADING  BUCK CAPITAL MGMT COUGAR TRADING  CATTANI  COUGAR TRADING COUGAR TRADING THE JAY GOLDMAN  BUCK CAPITAL MGMT	ACCOUNT RR #  WOOSTER CAPITAL 035  BUCK CAPITAL MGMT COUGAR TRADING 044 GALLEON MGMT LP 033 SAC TRADING HOWARD 038  BUCK CAPITAL MGMT 001 COUGAR TRADING 044  BUCK CAPITAL MGMT 001 COUGAR TRADING 044  CATTANI 041  COUGAR TRADING 044  COUGAR TRADING 044 THE JAY GOLDMAN 034  BUCK CAPITAL MGMT BUCK CAPITAL MGMT BUCK CAPITAL MGMT BUCK CAPITAL MGMT  BUCK CAPITAL MGMT  BUCK CAPITAL MGMT  BUCK CAPITAL MGMT  BUCK CAPITAL MGMT  BUCK CAPITAL MGMT  O01	Account RR # Symbol  WOOSTER CAPITAL 035 ABG  BUCK CAPITAL MGMT AEO COUGAR TRADING 044 AEO GALLEON MGMT LP 033 AEO SAC TRADING HOWARD 038 AEO  BUCK CAPITAL MGMT 001 ANF COUGAR TRADING 044 ANF  BUCK CAPITAL MGMT 001 ANN COUGAR TRADING 044 ANN  CATTANI 041 ARBA  COUGAR TRADING 044 ARO COUGAR TRADING 044 ARO THE JAY GOLDMAN 034 ARO BUCK CAPITAL MGMT 034 ARO BUCK CAPITAL MGMT BHI  BUCK CAPITAL MGMT BHI  BUCK CAPITAL MGMT BONT BUCK CAPITAL MGMT BONT BUCK CAPITAL MGMT BONT BUCK CAPITAL MGMT BONT	ACCOUNT RR # Symbol B/S  WOOSTER CAPITAL 035 ABG B  BUCK CAPITAL MGMT AEO S COUGAR TRADING 044 AEO B GALLEON MGMT LP 033 AEO C SAC TRADING HOWARD 038 AEO SS  BUCK CAPITAL MGMT O01 ANF S COUGAR TRADING 044 ANF B  BUCK CAPITAL MGMT 001 ANN SS COUGAR TRADING 044 ANN B  CATTANI 041 ARBA S  COUGAR TRADING 044 ARO B COUGAR TRADING 044 ARO B COUGAR TRADING 044 ARO B THE JAY GOLDMAN 034 ARO B  BUCK CAPITAL MGMT BHI S  BUCK CAPITAL MGMT BONT S BUCK CAPITAL MGMT BONT S BUCK CAPITAL MGMT BONT S BUCK CAPITAL MGMT BONT S BUCK CAPITAL MGMT BONT S BUCK CAPITAL MGMT BONT S BUCK CAPITAL MGMT BONT S BUCK CAPITAL MGMT BONT S	Account         RR #         Symbol         B/S         Shares           WOOSTER CAPITAL         035         ABG         B         50,000           BUCK CAPITAL MGMT         AEO         S         10,000           COUGAR TRADING         044         AEO         B         10,000           GALLEON MGMT LP         033         AEO         C         10,000           SAC TRADING HOWARD         038         AEO         SS         25,000           BUCK CAPITAL MGMT         001         ANF         S         5,000           BUCK CAPITAL MGMT         001         ANN         SS         60,000           BUCK CAPITAL MGMT         001         ANN         SS         60,000           CATTANI         041         ARBA         S         500           COUGAR TRADING         044         ARO         B         5,000           THE JAY GOLDMAN         034         ARO         B         100,000           BUCK CAPITAL MGMT         BHI         S         20,000           BUCK CAPITAL MGMT         BONT         S         10,000           BUCK CAPITAL MGMT         BONT         S         10,000	Account         RR #         Symbol         B/S         Shares         Price           WOOSTER CAPITAL         035         ABG         B         50,000         20.50           BUCK CAPITAL MGMT         AEO         S         10,000         24.75           COUGAR TRADING         044         AEO         B         10,000         24.70           GALLEON MGMT LP         033         AEO         C         10,000         25.04           SAC TRADING HOWARD         038         AEO         SS         25,000         25.04           BUCK CAPITAL MGMT         001         ANF         S         5,000         82.62           COUGAR TRADING         044         ANF         B         5,000         33.72           COUGAR TRADING         044         ANN         B         5,000         33.82           CATTANI         041         ARBA         S         500         11.35           COUGAR TRADING         044         ARO         B         5,000         20.10           COUGAR TRADING         044         ARO         B         5,000         19.85           THE JAY GOLDMAN         034         ARO         B         100,000         20.56 <td>Account         RR #         Symbol         B/S         Shares         Price         MRI           WOOSTER CAPITAL         035         ABG         B         50,000         20.50         18-Jun           BUCK CAPITAL MGMT         AEO         S         10,000         24.75         10-Jul           COUGAR TRADING         044         ABO         B         10,000         24.70         10-Jul           GALLEON MGMT LP         033         AEO         C         10,000         25.04         10-Jul           SAC TRADING HOWARD         038         AEO         SS         25,000         25.04         10-Jul           BUCK CAPITAL MGMT         001         ANF         S         5,000         82.62         2-Oct           COUGAR TRADING         044         ANF         B         5,000         83.46         2-Oct           BUCK CAPITAL MGMT         041         ARBA         S         500         11.35         n/a           COUGAR TRADING         044         ARO         B         5,000         20.10         n/a           COUGAR TRADING         044         ARO         B         5,000         19.85         n/a           THE JAY GOLDMAN         034</td> <td>Account         RR #         Symbol         B/S         Shares         Price         MRI         Research           WOOSTER CAPITAL         035         ABG         B         50,000         20.50         18-Jun         8-Oct           BUCK CAPITAL MGMT         AEO         S         10,000         24.75         10-Jul         5-Oct           COUGAR TRADING         044         AEO         B         10,000         25.04         10-Jul         5-Oct           GALLEON MGMT LP         033         AEO         C         10,000         25.04         10-Jul         5-Oct           SAC TRADING HOWARD         038         AEO         SS         25,000         25.04         10-Jul         5-Oct           BUCK CAPITAL MGMT         001         ANF         S         5,000         82.62         2-Oct         5-Oct           COUGAR TRADING         044         ANF         B         5,000         33.72         6-Aug         5-Oct           COUGAR TRADING         044         ANN         B         5,000         33.82         6-Aug         5-Oct           CATTANI         041         ARBA         S         500         11.35         n/a         n/a</td> <td>Account RR # Symbol B/S Shares Price MRI Research Comm.  MOOSTER CAPITAL 035 ABG B 50,000 20.50 18-Jun 8-Oct 2,500.00  BUCK CAPITAL MGMT AEO S 10,000 24.75 10-Jul 5-Oct non-brg COUGAR TRADING 044 AEO B 10,000 24.70 10-Jul 5-Oct 500.00  GALLEON MGMT LP 033 AEO C 10,000 25.04 10-Jul 5-Oct 500.00  SAC TRADING HOWARD 038 AEO SS 25,000 25.04 10-Jul 5-Oct 1,250.00  BUCK CAPITAL MGMT 001 ANF S 5,000 82.62 2-Oct 5-Oct 200.00  COUGAR TRADING 044 ANF B 5,000 83.46 2-Oct 5-Oct 250.00  BUCK CAPITAL MGMT 001 ANN SS 60,000 33.72 6-Aug 5-Oct 250.00  BUCK CAPITAL MGMT 044 ANN B 5,000 33.82 6-Aug 5-Oct 250.00  CATTANI 041 ARBA S 500 11.35 N/a N/a 0.00  COUGAR TRADING 044 ARO B 5,000 20.10 N/a 5-Oct 2,250.00  COUGAR TRADING 044 ARO B 5,000 19.85 N/a 5-Oct 2,250.00  THE JAY COLDMAN 034 ARO B 100,000 20.56 N/a 5-Oct 4,000.00  BUCK CAPITAL MGMT BHI S 20,000 91.61 N/a 5-Oct 1,250.00  BUCK CAPITAL MGMT BHI S 20,000 91.61 N/a 5-Oct 1,250.00  BUCK CAPITAL MGMT BONT S 10,000 22.77 3-Aug 5-Oct non-brg BUCK CAPITAL MGMT BONT S 10,000 23.12 3-Aug 5-Oct non-brg BUCK CAPITAL MGMT BONT S 10,000 23.12 3-Aug 5-Oct non-brg BUCK CAPITAL MGMT BONT S 10,000 23.12 3-Aug 5-Oct non-brg BUCK CAPITAL MGMT BONT S 10,000 23.12 3-Aug 5-Oct non-brg BUCK CAPITAL MGMT BONT S 10,000 23.12 3-Aug 5-Oct non-brg</td>	Account         RR #         Symbol         B/S         Shares         Price         MRI           WOOSTER CAPITAL         035         ABG         B         50,000         20.50         18-Jun           BUCK CAPITAL MGMT         AEO         S         10,000         24.75         10-Jul           COUGAR TRADING         044         ABO         B         10,000         24.70         10-Jul           GALLEON MGMT LP         033         AEO         C         10,000         25.04         10-Jul           SAC TRADING HOWARD         038         AEO         SS         25,000         25.04         10-Jul           BUCK CAPITAL MGMT         001         ANF         S         5,000         82.62         2-Oct           COUGAR TRADING         044         ANF         B         5,000         83.46         2-Oct           BUCK CAPITAL MGMT         041         ARBA         S         500         11.35         n/a           COUGAR TRADING         044         ARO         B         5,000         20.10         n/a           COUGAR TRADING         044         ARO         B         5,000         19.85         n/a           THE JAY GOLDMAN         034	Account         RR #         Symbol         B/S         Shares         Price         MRI         Research           WOOSTER CAPITAL         035         ABG         B         50,000         20.50         18-Jun         8-Oct           BUCK CAPITAL MGMT         AEO         S         10,000         24.75         10-Jul         5-Oct           COUGAR TRADING         044         AEO         B         10,000         25.04         10-Jul         5-Oct           GALLEON MGMT LP         033         AEO         C         10,000         25.04         10-Jul         5-Oct           SAC TRADING HOWARD         038         AEO         SS         25,000         25.04         10-Jul         5-Oct           BUCK CAPITAL MGMT         001         ANF         S         5,000         82.62         2-Oct         5-Oct           COUGAR TRADING         044         ANF         B         5,000         33.72         6-Aug         5-Oct           COUGAR TRADING         044         ANN         B         5,000         33.82         6-Aug         5-Oct           CATTANI         041         ARBA         S         500         11.35         n/a         n/a	Account RR # Symbol B/S Shares Price MRI Research Comm.  MOOSTER CAPITAL 035 ABG B 50,000 20.50 18-Jun 8-Oct 2,500.00  BUCK CAPITAL MGMT AEO S 10,000 24.75 10-Jul 5-Oct non-brg COUGAR TRADING 044 AEO B 10,000 24.70 10-Jul 5-Oct 500.00  GALLEON MGMT LP 033 AEO C 10,000 25.04 10-Jul 5-Oct 500.00  SAC TRADING HOWARD 038 AEO SS 25,000 25.04 10-Jul 5-Oct 1,250.00  BUCK CAPITAL MGMT 001 ANF S 5,000 82.62 2-Oct 5-Oct 200.00  COUGAR TRADING 044 ANF B 5,000 83.46 2-Oct 5-Oct 250.00  BUCK CAPITAL MGMT 001 ANN SS 60,000 33.72 6-Aug 5-Oct 250.00  BUCK CAPITAL MGMT 044 ANN B 5,000 33.82 6-Aug 5-Oct 250.00  CATTANI 041 ARBA S 500 11.35 N/a N/a 0.00  COUGAR TRADING 044 ARO B 5,000 20.10 N/a 5-Oct 2,250.00  COUGAR TRADING 044 ARO B 5,000 19.85 N/a 5-Oct 2,250.00  THE JAY COLDMAN 034 ARO B 100,000 20.56 N/a 5-Oct 4,000.00  BUCK CAPITAL MGMT BHI S 20,000 91.61 N/a 5-Oct 1,250.00  BUCK CAPITAL MGMT BHI S 20,000 91.61 N/a 5-Oct 1,250.00  BUCK CAPITAL MGMT BONT S 10,000 22.77 3-Aug 5-Oct non-brg BUCK CAPITAL MGMT BONT S 10,000 23.12 3-Aug 5-Oct non-brg BUCK CAPITAL MGMT BONT S 10,000 23.12 3-Aug 5-Oct non-brg BUCK CAPITAL MGMT BONT S 10,000 23.12 3-Aug 5-Oct non-brg BUCK CAPITAL MGMT BONT S 10,000 23.12 3-Aug 5-Oct non-brg BUCK CAPITAL MGMT BONT S 10,000 23.12 3-Aug 5-Oct non-brg

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
	WHEELER	008	CCCJU	В	8	8.00	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		CHIC	SS	30,000	15.40	n/a	n/a	non-brg	4.0
	KENNEDY CAPITAL	046	CHRS	S	7,900	8.50	n/a	22-Mar	237.00	3.0
	BUCK CAPITAL MGMT	001	CHS	s	289,600	14.73	30-Aug	5-0ct	11,584.00	4.0
ß	BUCK CAPITAL MGMT		CHS	S	98,441	14.52	30-Aug	5-0ct	non-brg	1.0
	COUGAR TRADING	044	CHS	В	5,000	14.61	30-Aug	5-0ct	250.00	5.0
	TRELLUS PARTNERS LP	028	CHS	В	20,000	14.58	30-Aug	5-0ct	1,000.00	5.0
	SINCLAIR	031	CNMMV	В	2	18.00	n/a	n/a	0.00	0.0
	BUCK CAPITAL MGMT	001	СОН	s	5,000	46.60	n/a	10-Sep	200.00	4.0
	COUGAR TRADING	044	СОН	S	5,000	46.18	n/a	10-Sep	250.00	5.0
В	BUCK CAPITAL MGMT		CROX	s	5,000	67.95	n/a	n/a	non-brg	4.0
	MERRILL ASSET	032	CRR	В	8,600	50.00	n/a	1-0ct	387.00	4.5
	HOOVER INV. MGMT	033	CSTR	S	6,300	33.10	n/a	n/a	315.00	5.0
В	BUCK CAPITAL MGMT		CTRN	В	5,000	19.16	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		CWTR	S	10,000	10.66	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		CWTR	S	20,000	10.56	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		DBRN	S	10,000	16.63	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		DBRN	s	10,000	16.74	n/a	n/a	non-brg	4.0

	Account	RR #	Symbol	B/S	Share	s Price	MRI	Research	Comm.	\$/Shr.
	MADIGAN	031	DEEP	В	300	11.68	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		DIA	\$	ss 100,000	140.51	n/a	n/a	non-brg	1.0
	BUCK CAPITAL MGMT	001	DKS	:	SS 10,000	68.17	n/a	n/a	400.00	4.0
	OPTIMUM INV ADV	030	DNR	В	4,000	46.26	n/a	n/a	160.00	4.0
	MERRILL ASSET	032	DRQ	В	23,000	51.59	n/a	n/a	1,150.00	5.0
	BUCK CAPITAL MGMT	001	DSW	\$	s 10,000	25.62	5-Sep	2-0ct	400.00	4.0
	LEDDY	035	DXD	В	700	45.65	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		ESV	\$	s 15,000	54.29	n/a	n/a	non-brg	4.0
	COLUMBIA PARTNERS	028	ETM	В	12,000	21.48	n/a	n/a	480.00	4.0
	FORCE CAPITAL MGMT	030	FAST	В	30,000	48.33	n/a	n/a	1,500.00	5.0
ß	BUCK CAPITAL MGMT		FLDR	5	ss 30,000	5.02	n/a	n/a	non-brg	4.0
	ARTISAN PARTNERS LP	031	FLEX	В	357,600	11.44	n/a	n/a	17,880.00	5.0
	FORD FDN.	032	FLR	(	s 15,000	152.01	n/a	n/a	750.00	5.0
a a	BUCK CAPITAL MGMT BUCK CAPITAL MGMT		FOSL FOSL		5 20,000 5 5,300		12-Sep 12-Sep	12-Sep 12-Sep	non-brg non-brg	4.0 4.0
	BUCK CAPITAL MGMT	001	GES	\$	s 35,000	52.58	n/a	n/a	1,400.00	4.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
a	BUCK CAPITAL MGMT		GIII	S	10,000	19.48	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		GIL	S	15,000	39.28	19-Sep	19-Sep	non-brg	4.0
	LEDDY	035	GM	SS	1,700	38.07	n/a	3-0ct	0.00	0.0
ß	BUCK CAPITAL MGMT		GSF	S	25,000	74.78	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		GTRC	S	39,729	62.79	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		GYMB	S	10,000	38.09	10-Aug	7-Sep	non-brg	4.0
	MAGUIRE	090	HGG	В	1,000	12.65	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		HP	S	25,000	32.49	n/a	n/a	non-brg	4.0
	WAGONHOUND	048	HSC	В	1,290	59.05	26-Jul	26-Sep	51.60	4.0
	PRIME LOGIC ADV	039	HVT	В	50,000	8.82	n/a	n/a	2,500.00	5.0
ß	BUCK CAPITAL MGMT		ICON	s	10,000	23.53	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		ICON	S	5,000	23.26	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		ICON	S	5,000	23.50	n/a	n/a	non-brg	4.0
	BARR	096	IOM	В	1,550	5.32	n/a	n/a	0.00	0.0
	BUCK CAPITAL MGMT	001	JCG	s	10,000	43.51	22-Jun	6-Sep	400.00	4.0
	COUGAR TRADING	044	JCG	SS	10,000	43.34	22-Jun	6-Sep	500.00	5.0
	BALYASNY ASSET MGMT	044	JCP	В	10,000	67.69	21-Jun	5-0ct	500.00	5.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
	COUGAR TRADING	044	JCP	В	5,000	67.36	21-Jun	5-0ct	250.00	5.0
	JP MORGAN VENTURES	046	JCP	Š	25,000	67.44	21-Jun	5-0ct	1,250.00	5.0
	FORD FDN.	032	JEC	Š	30,000	82.30	n/a	n/a	1,500.00	5.0
	BUCK CAPITAL MGMT	001	JWN		25,000	49.26	12-Jul	5-Oct	1,000.00	4.0
	BUCK	015	KSSWK		5	1.23	n/a	n/a	0.00	0.0
	BUCK CAPITAL MGMT	001	KSS	\$	30,000	60.58	27-Sep	5-0ct	1,200.00	4.0
ß	BUCK CAPITAL MGMT		LAMR	В	15,000	55.48	n/a	n/a	non-brg	4.0
	TOCQUEVILLE ASSET MGMT	048	LEE	В	11,500	17.22	n/a	n/a	690.00	6.0
	CATAPULT	040	LEH	В	2,500	63.28	12-Jun	20-Sep	125.00	5.0
	GLG PARTNERS	034	LIZ	S	SS 50,000	35.19	n/a	14-Sep	2,500.00	5.0
	OPTIMUM INV ADV	030	LNCR	В	8,000	35.80	17-Sep	5-0ct	40,000.00	500.0
ß	BUCK CAPITAL MGMT		LTD	\$	60,000	22.16	16-May	5-0ct	non-brg	4.0
	BARR	096	MAG	\$	2,000	5.22	n/a	n/a	0.00	0.0
	MS PRINCIPAL STRATEGIES	041	MAR	В	28,900	42.70	n/a	n/a	1,445.00	5.0
ß	BUCK CAPITAL MGMT		MVRX	\$	ss 90,000	177.58	n/a	n/a	non-brg	17.8
	HOOVER INV. MGMT	033	MW	S	18,800	48.77	n/a	n/a	940.00	5.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
	BUCK CAPITAL MGMT	001	М	S	10,000	34.21	24-Sep	5-Oct	400.00	4.0
	COUGAR TRADING	044	М	S	15,000	34.22	24-Sep	5-Oct	750.00	5.0
	виск	015	NMXWF	S	8	4.70	n/a	n/a	0.00	0.0
	виск	015	NMX	S	700	134.98	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		OIH	SS	20,000	190.03	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		PERY	s	10,500	26.39	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		PERY	S	15,000	26.24	n/a	n/a	non-brg	4.0
	BUCK CAPITAL MGMT	001	PSS	S	30,000	22.72	n/a	n/a	1,200.00	4.0
ß	BUCK CAPITAL MGMT		PSS	S	15,000	22.51	n/a	n/a	non-brg	4.0
	BUCK CAPITAL MGMT	001	PTT	S	15,000	7.91	n/a	n/a	600.00	4.0
	BUCK CAPITAL MGMT	001	PVH	S	10,000	53.48	13-Aug	29-Aug	400.00	4.0
	WHITE PINE CAPITAL	030	RCKY	S	13,000	10.21	n/a	n/a	650.00	5.0
ß	BUCK CAPITAL MGMT		RICK	S	5,000	11.29	n/a	n/a	non-brg	2.5
ß	BUCK CAPITAL MGMT		RIG	S	15,000	110.66	n/a	n/a	non-brg	4.0
	BUCK CAPITAL MGMT	001	RL	SS	70,000	75.30	9-Aug	29-Aug	2,800.00	4.0
ß	BUCK CAPITAL MGMT		RL	S	15,000	74.83	9-Aug	29-Aug	non-brg	4.0
	GLG PARTNERS	034	RL	В	25,000	76.07	9-Aug	29-Aug	1,250.00	5.0
ß	BUCK CAPITAL MGMT		RTH	SS	150,000	101.56	n/a	n/a	non-brg	1.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
	BUCK CAPITAL MGMT	001	SKS	s	90,000	17.64	n/a	n/a	3,600.00	4.0
	BUCK CAPITAL MGMT	001	SKX	s	30,000	23.45	n/a	13-Mar	1,200.00	4.0
a	BUCK CAPITAL MGMT		SPY	SS	100,000	155.32	n/a	n/a	non-brg	1.0
	BUCK CAPITAL MGMT	001	SSI	S	36,400	18.41	3-Aug	5-0ct	1,456.00	4.0
ß	BUCK CAPITAL MGMT		SSI	S	10,000	18.35	3-Aug	5-0ct	non-brg	4.0
ß	BUCK CAPITAL MGMT		SSI	S	4,300	18.37	3-Aug	5-0ct	non-brg	1.0
ß	BUCK CAPITAL MGMT		SSI	S	50,000	18.71	3-Aug	5-0ct	non-brg	2.0
ß	BUCK CAPITAL MGMT		SSI	S	51,500	18.61	3-Aug	5-0ct	non-brg	2.0
	BAIRD INVESTMENT	031	SWN	S	4,550	43.78	n/a	1-0ct	227.50	5.0
	SIGMA CAPITAL ASSOCIATES	237	SYY	SS	100,000	34.66	n/a	24-Apr	5,000.00	5.0
	NORTHPOINT	030	TAXI	S	2,400	11.01	n/a	n/a	96.00	4.0
	SATELLITE ASSET MGMT	012	TIF	В	20,000	55.94	1-0ct	1-0ct	800.00	4.0
	BUCK CAPITAL MGMT	001	TJX	В	10,000	29.44	21-Sep	5-0ct	400.00	4.0
	WAGONHOUND	048	TJX	S	10,350	28.87	21-Sep	5-0ct	414.00	4.0
ß	BUCK CAPITAL MGMT		TLB	С	30,000	18.26	n/a	23-Aug	non-brg	4.0
	SIGMA CAPITAL ASSOCIATES	237	TMO	В	25,000	58.04	n/a	n/a	1,250.00	5.0
ß	BUCK CAPITAL MGMT		TRLG	s	10,000	16.71	n/a	n/a	non-brg	4.0
	BUCK CAPITAL MGMT	001	TWB	s	25,000	34.15	2-0ct	2-0ct	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
MADIGAN	031	UNT	В	14	47.82	n/a	5-0ct	0.00	0.0
BUCK CAPITAL MGMT		WRNC	S	10,000	41.17	19-Sep	28-Sep	non-brg	4.0
BUCK CAPITAL MGMT		WRNC	S	40,000	41.15	19-Sep	28-Sep	non-brg	4.0
BUCK	015	WYWN	S	10	1.65	n/a	n/a	0.00	0.0
BUCK	015	WY	S	500	74.89	21-Sep	21-Sep	0.00	0.0
BUCK CAPITAL MGMT	001	ZQK	s	80,000	14.78	n/a	7-Sep	3,200.00	4.0
BUCK CAPITAL MGMT		ZQK	S	15,000	14.88	n/a	7-Sep	non-brg	4.0
BUCK CAPITAL MGMT		ZUMZ	S	10,000	47.23	n/a	n/a	non-brg	4.0

TOTAL (Trade Date):

135,238.10

## Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	;/Shr
<b>A</b> O,	10/05	BUCK CAPITAL MGMT	001	AEO	В	249,900	25.34	10-Jul	5-0ct	9996.00	4.0
AO, CXL	10/05	BUCK CAPITAL MGMT	001	MER	В	41,500	76.06	5-0ct	5-0ct	1660.00	4.0
AO,	10/05	BUCK CAPITAL MGMT	001	MER	В	500	76.06	5-0ct	5-0ct	20.00	4.0
AO, CRT	10/05	BUCK CAPITAL MGMT	001	MER	В	41,000	76.06	5-0ct	5-0ct	1640.00	4.0

TOTAL (RUN DATE) / NFS:	145,234.10
TOTAL (AO, CXL, CRT):	9,996.00
TOTAL (Trade Date):	135,238.10

MRI Securities with Trade Activity on 8-Oct. NONE

MRI Securities without Trade Activity on 8-Oct.

IVZ

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

T-Date = 44%

YTD = 16%

## Legend:

Õ: Employee Trades in Outside Accounts

ß: Non-BRG BCM Trades

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