



Daily Compliance Activity Report

Trade Date: 09/03/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------------|-------------|-----------|--------------|--------------|--------------|---------------|----------------|------------|
| f MANNY I KORMAN | FID | AMCX | B | 2000 | 61.93 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | APC | B | 300 | 92.74 | n/a | n/a | non-brg | 1.0 |
| PATTEN & PATTEN | 025 | APC | S | 25 | 92.45 | n/a | n/a | 1.25 | 5.0 |
| SEVEN LOCKS CAPITAL | 025 | ARCP | S | 70,000 | 13.23 | n/a | n/a | 2,100.00 | 3.0 |
| LATEEF MGMT | 033 | ATI | S | 150 | 26.99 | n/a | 27-Aug | 30.00 | 20.0 |
| B BUCK CAPITAL MGMT | | AXL | B | 1,200 | 20.03 | 5-Aug | 3-Sep | non-brg | 1.0 |
| B BUCK CAPITAL MGMT | | AXP | B | 300 | 73.05 | 9-Aug | 30-Aug | non-brg | 1.0 |
| B BUCK CAPITAL MGMT | | BAC | B | 2,300 | 14.36 | n/a | 3-Sep | non-brg | 1.0 |
| B BUCK CAPITAL MGMT | | BBBY | SS | 200 | 74.77 | n/a | n/a | non-brg | 1.0 |
| B BUCK CAPITAL MGMT | | BBBY | SS | 400 | 74.55 | n/a | n/a | non-brg | 1.0 |
| B BUCK CAPITAL MGMT | | BCC | B | 1,100 | 22.81 | n/a | n/a | non-brg | 1.0 |
| B BUCK CAPITAL MGMT | | BHI | B | 600 | 47.24 | n/a | n/a | non-brg | 1.0 |
| B BUCK CAPITAL MGMT | | BIG | SS | 200 | 34.65 | n/a | n/a | non-brg | 1.0 |
| PATTEN & PATTEN | 025 | BK | B | 125 | 30.09 | n/a | 23-Aug | 6.25 | 5.0 |
| B BUCK CAPITAL MGMT | | BLMN | B | 200 | 22.60 | n/a | n/a | non-brg | 1.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|------------------------|-----|--------|-----|--------|--------|--------|----------|--------------|-----|
| f JONATHAN RICHARD HAR | FID | BODY | S | 130 | 3.73 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | BONT | SS | 100 | 11.25 | 23-Aug | 22-Aug | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | CAR | B | 1,200 | 27.43 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | CAR | B | 600 | 27.18 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | CERN | SS | 400 | 47.62 | n/a | n/a | non-brg | 1.0 |
| CAPITAL GROWTH MGMT. | 241 | CLR | B | 30,000 | 94.49 | n/a | n/a | 1,500.00 | 5.0 |
| ß BUCK CAPITAL MGMT | | CLX | SS | 200 | 83.16 | 30-Aug | 15-Aug | non-brg | 1.0 |
| PATTEN & PATTEN | 025 | CL | B | 100 | 57.46 | n/a | 29-Aug | 5.00 | 5.0 |
| ß BUCK CAPITAL MGMT | | CNC | B | 500 | 58.61 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | COF | B | 400 | 64.92 | n/a | 29-Aug | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | COH | SS | 200 | 53.10 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | COLM | SS | 100 | 57.18 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | COST | B | 100 | 112.42 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | CPB | SS | 200 | 42.78 | n/a | n/a | non-brg | 1.0 |
| GALT INVESTMENT | 041 | CROX | S | 20,000 | 13.65 | n/a | n/a | 800.00 | 4.0 |
| ß BUCK CAPITAL MGMT | | C | B | 400 | 49.72 | n/a | 28-Aug | non-brg | 1.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|-----|--------|-----|--------|-------|--------|----------|-------------|------|
| ⌘ BUCK CAPITAL MGMT | | DAL | B | 600 | 19.99 | n/a | 30-Aug | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | DAL | SS | 600 | 19.98 | n/a | 30-Aug | non-brg | 1.0 |
| WAGONHOUND/NICOLAS | 033 | DAL | B | 16,495 | 20.23 | n/a | 30-Aug | 659.80 | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | DECK | B | 200 | 60.40 | n/a | n/a | non-brg | 1.0 |
| LATEEF MGMT | 033 | DE | B | 125 | 83.83 | n/a | n/a | 35.00 | 28.0 |
| ⌘ BUCK CAPITAL MGMT | | DFS | B | 500 | 47.96 | n/a | 29-Aug | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | DGX | B | 300 | 59.25 | n/a | n/a | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | DG | B | 300 | 53.84 | n/a | 3-Sep | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | DHI | B | 1,400 | 18.00 | n/a | n/a | non-brg | 1.0 |
| f MANNY I KORMAN | FID | DISCA | B | 2000 | 78.96 | n/a | n/a | 0.00 | 0.0 |
| ⌘ BUCK CAPITAL MGMT | | DKS | B | 400 | 47.05 | 21-Aug | 28-Aug | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | DKS | B | 600 | 46.83 | 21-Aug | 28-Aug | non-brg | 1.0 |
| PATTEN & PATTEN | 025 | DLR | S | 50 | 54.01 | n/a | n/a | 2.50 | 5.0 |
| PROSPECTOR PARTNERS LLC | 036 | DOLE | S | 10,000 | 13.71 | n/a | n/a | 400.00 | 4.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | DPZ | SS | 20,168 | 61.47 | n/a | n/a | 605.04 | 3.0 |
| ⌘ BUCK CAPITAL MGMT | | DRI | SS | 200 | 46.20 | n/a | n/a | non-brg | 1.0 |
| PATTEN & PATTEN | 025 | DUK | B | 25 | 64.93 | n/a | n/a | 1.25 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------------|-----|--------|-----|--------|--------|--------|----------|--------------|------|
| ⚡ BUCK CAPITAL MGMT | | DVN | B | 400 | 57.51 | n/a | n/a | non-brg | 1.0 |
| CAPITAL GROWTH MGMT. | 241 | DVN | B | 30,000 | 57.33 | n/a | n/a | 1,500.00 | 5.0 |
| LATEEF MGMT | 033 | DVN | B | 125 | 57.42 | n/a | n/a | 31.25 | 25.0 |
| BALYASNY ASSET MGMT | 044 | EAT | SS | 40,000 | 39.81 | 5-Aug | n/a | 2,000.00 | 5.0 |
| ⚡ BUCK CAPITAL MGMT | | EBAY | B | 200 | 50.96 | n/a | n/a | non-brg | 1.0 |
| ⚡ BUCK CAPITAL MGMT | | EL | B | 200 | 66.62 | n/a | 29-Aug | non-brg | 1.0 |
| ⚡ BUCK CAPITAL MGMT | | EL | B | 200 | 66.91 | n/a | 29-Aug | non-brg | 1.0 |
| CAPITAL GROWTH MGMT. | 241 | EOG | B | 10,000 | 157.46 | n/a | n/a | 500.00 | 5.0 |
| ⚡ BUCK CAPITAL MGMT | | ETN | B | 300 | 63.73 | n/a | 5-Aug | non-brg | 1.0 |
| ⚡ BUCK CAPITAL MGMT | | ETN | B | 7,900 | 63.79 | n/a | 5-Aug | non-brg | 4.0 |
| HERRING CREEK CAPITAL MGMT LLC | 040 | ETN | B | 14,600 | 63.36 | n/a | 5-Aug | 438.00 | 3.0 |
| PATTEN & PATTEN | 025 | EWA | S | 200 | 24.18 | n/a | n/a | 10.00 | 5.0 |
| ⚡ BUCK CAPITAL MGMT | | EXPR | B | 300 | 21.22 | n/a | n/a | non-brg | 1.0 |
| TYVOR CAPITAL LLC | 031 | FDO | B | 10,000 | 71.25 | n/a | n/a | 300.00 | 3.0 |
| ⚡ BUCK CAPITAL MGMT | | FINL | B | 200 | 21.64 | n/a | 28-Aug | non-brg | 1.0 |
| ⚡ BUCK CAPITAL MGMT | | FINL | B | 900 | 21.50 | n/a | 28-Aug | non-brg | 1.0 |
| ⚡ BUCK CAPITAL MGMT | | FL | B | 1,200 | 32.50 | 26-Aug | 28-Aug | non-brg | 1.0 |
| ⚡ BUCK CAPITAL MGMT | | FL | B | 500 | 32.41 | 26-Aug | 28-Aug | non-brg | 1.0 |
| f JENNIFER CORWIN GLIC | FID | FL | S | 400 | 32.48 | 26-Aug | 28-Aug | 0.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------|-----|--------|-----|--------|--------|--------|----------|-------------|-----|
| METROPOLITAN CAPITAL | 044 | FL | B | 8,355 | 32.17 | 26-Aug | 28-Aug | 417.75 | 5.0 |
| ß BUCK CAPITAL MGMT | | FNP | B | 1,400 | 24.06 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | FNP | B | 400 | 24.15 | n/a | n/a | non-brg | 1.0 |
| PROSPECTOR PARTNERS LLC | 036 | FOR | B | 10,000 | 20.31 | n/a | 8-Aug | 400.00 | 4.0 |
| ß BUCK CAPITAL MGMT | | FOSL | B | 300 | 115.91 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | FRAN | B | 2,000 | 24.02 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | FRAN | B | 20,000 | 23.81 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | FRAN | B | 900 | 24.03 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | FTK | B | 24,800 | 20.20 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | FTK | B | 700 | 20.25 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | FWM | B | 1,100 | 23.28 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | FWM | B | 10,000 | 22.96 | n/a | n/a | non-brg | 2.5 |
| ß BUCK CAPITAL MGMT | | FWM | B | 100 | 23.07 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | F | SS | 800 | 16.44 | n/a | 27-Aug | non-brg | 1.0 |
| OZ MGMT | 040 | F | C | 57,420 | 16.34 | n/a | 27-Aug | 1,722.60 | 3.0 |
| ß BUCK CAPITAL MGMT | | GCO | B | 100 | 62.01 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | GCO | B | 20,000 | 61.87 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | GCO | B | 300 | 62.08 | n/a | n/a | non-brg | 1.0 |
| PATTEN & PATTEN | 025 | GD | B | 65 | 84.35 | 26-Aug | n/a | 3.25 | 5.0 |
| ß BUCK CAPITAL MGMT | | GES | SS | 200 | 30.49 | 29-Aug | 29-Aug | non-brg | 1.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|-----|--------|-----|--------|-------|----------|----------|-------------|------|
| BUCK CAPITAL MGMT | | GES | SS | 300 | 30.55 | 29-Aug | 29-Aug | non-brg | 1.0 |
| BUCK CAPITAL MGMT | | GIII | B | 100 | 46.97 | 9-Aug[i] | 3-Sep | non-brg | 1.0 |
| BUCK CAPITAL MGMT | | GIII | B | 800 | 46.57 | 9-Aug[i] | 3-Sep | non-brg | 1.0 |
| BUCK CAPITAL MGMT | | GIL | B | 700 | 45.00 | n/a | n/a | non-brg | 1.0 |
| BUCK CAPITAL MGMT | | GIS | SS | 200 | 49.32 | n/a | n/a | non-brg | 1.0 |
| LATEEF MGMT | 033 | GIS | B | 125 | 49.22 | n/a | n/a | 31.25 | 25.0 |
| DAVIDSON KEMPNER ADVISOR | 281 | GMCR | C | 15,000 | 85.25 | n/a | n/a | 750.00 | 5.0 |
| ARDSLEY PARTNERS | 280 | GM | B | 50,000 | 34.57 | n/a | 3-Sep | 2,500.00 | 5.0 |
| ARDSLEY PARTNERS | 280 | GM | S | 50,000 | 34.17 | n/a | 3-Sep | 2,500.00 | 5.0 |
| BUCK CAPITAL MGMT | | GM | B | 1,100 | 34.40 | n/a | 3-Sep | non-brg | 1.0 |
| ROSEDALE CAPITAL | 046 | GM | S | 5,000 | 34.50 | n/a | 3-Sep | 200.00 | 4.0 |
| BUCK CAPITAL MGMT | | GNC | B | 800 | 51.18 | n/a | n/a | non-brg | 1.0 |
| BUCK CAPITAL MGMT | | GPS | B | 200 | 40.73 | n/a | n/a | non-brg | 1.0 |
| BUCK CAPITAL MGMT | | GPS | B | 500 | 40.74 | n/a | n/a | non-brg | 1.0 |
| BUCK CAPITAL MGMT | | HAL | B | 500 | 48.49 | n/a | n/a | non-brg | 1.0 |
| BUCK CAPITAL MGMT | | HBI | B | 600 | 59.67 | n/a | n/a | non-brg | 1.0 |
| BUCK CAPITAL MGMT | | HCA | B | 600 | 38.51 | n/a | n/a | non-brg | 1.0 |
| BUCK CAPITAL MGMT | | HDS | B | 700 | 23.02 | n/a | n/a | non-brg | 1.0 |
| BUCK CAPITAL MGMT | | HDS | B | 800 | 23.10 | n/a | n/a | non-brg | 1.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------|-----|--------|-----|--------|--------|--------|----------|--------------|------|
| BUCK CAPITAL MGMT | | HTZ | B | 1,000 | 24.63 | n/a | n/a | non-brg | 1.0 |
| BUCK CAPITAL MGMT | | HTZ | B | 1,000 | 24.74 | n/a | n/a | non-brg | 1.0 |
| BUCK CAPITAL MGMT | | IJH | SS | 900 | 119.05 | n/a | n/a | non-brg | 1.0 |
| LATEEF MGMT | 033 | INTC | B | 300 | 22.14 | n/a | n/a | 30.00 | 10.0 |
| BUCK CAPITAL MGMT | | IWM | SS | 1,800 | 101.68 | n/a | n/a | non-brg | 1.0 |
| BUCK CAPITAL MGMT | | JBLU | B | 5,900 | 6.16 | n/a | 29-Aug | non-brg | 1.0 |
| BUCK CAPITAL MGMT | | JCP | B | 600 | 12.71 | 21-Aug | 27-Aug | non-brg | 1.0 |
| BUCK CAPITAL MGMT | | JIVE | B | 1,900 | 12.52 | n/a | n/a | non-brg | 1.0 |
| MERRILL ASSET/BLACKROCK | 085 | JLL | B | 5,900 | 82.47 | n/a | n/a | 236.00 | 4.0 |
| BALYASNY ASSET MGMT | 044 | JNY | B | 50,000 | 14.79 | n/a | n/a | 2,500.00 | 5.0 |
| BUCK CAPITAL MGMT | | JOY | B | 400 | 49.73 | n/a | n/a | non-brg | 1.0 |
| BUCK CAPITAL MGMT | | JPM | B | 400 | 51.53 | n/a | 28-Aug | non-brg | 1.0 |
| BUCK CAPITAL MGMT | | JWN | B | 100 | 55.90 | 16-Aug | 7-Aug | non-brg | 1.0 |
| BUCK CAPITAL MGMT | | KEG | B | 2,100 | 7.22 | n/a | n/a | non-brg | 1.0 |
| BUCK CAPITAL MGMT | | KEG | S | 50,000 | 7.19 | n/a | n/a | non-brg | 3.0 |
| BUCK CAPITAL MGMT | | KMT | B | 800 | 43.23 | n/a | n/a | non-brg | 1.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|-----|--------|-----|--------|--------|-------|----------|--------------|------|
| BUCK CAPITAL MGMT | | KMX | B | 200 | 48.46 | n/a | n/a | non-brg | 1.0 |
| BUCK CAPITAL MGMT | | KORS | B | 400 | 74.72 | 7-Aug | 6-Aug | non-brg | 1.0 |
| BUCK CAPITAL MGMT | | KORS | B | 800 | 74.41 | 7-Aug | 6-Aug | non-brg | 1.0 |
| LATEEF MGMT | 033 | KR | B | 225 | 36.93 | n/a | n/a | 33.75 | 15.0 |
| BUCK CAPITAL MGMT | | K | SS | 200 | 60.89 | n/a | n/a | non-brg | 1.0 |
| BUCK CAPITAL MGMT | | LEA | B | 200 | 70.11 | n/a | 16-Aug | non-brg | 1.0 |
| BUCK CAPITAL MGMT | | LEG | SS | 200 | 29.22 | n/a | n/a | non-brg | 1.0 |
| BUCK CAPITAL MGMT | | LEN | B | 400 | 31.92 | n/a | n/a | non-brg | 1.0 |
| BUCK CAPITAL MGMT | | LPNT | B | 23,000 | 44.76 | n/a | n/a | non-brg | 4.0 |
| BUCK CAPITAL MGMT | | LPX | B | 1,200 | 15.40 | n/a | 30-Aug | non-brg | 1.0 |
| CR INTRINIC INVESTMENT | 044 | LPX | S | 50,200 | 15.46 | n/a | 30-Aug | 1,506.00 | 3.0 |
| BALYASNY ASSET MGMT | 044 | LULU | SS | 25,000 | 70.41 | n/a | 27-Aug | 1,250.00 | 5.0 |
| BUCK CAPITAL MGMT | | LVS | B | 200 | 57.48 | n/a | n/a | non-brg | 1.0 |
| BUCK CAPITAL MGMT | | MDY | SS | 400 | 216.99 | n/a | n/a | non-brg | 1.0 |
| CAPITAL GROWTH MGMT. | 241 | MGA | S | 20,000 | 78.18 | n/a | n/a | 1,000.00 | 5.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | MNST | S | 25,000 | 55.92 | n/a | n/a | 750.00 | 3.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---------------------------------|-----|--------|-----|--------|--------|--------|----------|-------------|------------|
| BUCK CAPITAL MGMT | | MOH | B | 800 | 34.04 | n/a | n/a | non-brg | 1.0 |
| LATEEF MGMT | 033 | MRK | B | 150 | 47.12 | n/a | n/a | 30.00 | 20.0 |
| GUGGENHEIM GLOBAL TRADING (GGT) | 251 | MSFT | B | 15,000 | 31.95 | | n/a | n/a | 450.00 3.0 |
| BUCK CAPITAL MGMT | | MS | B | 1,100 | 26.36 | n/a | 23-Aug | non-brg | 1.0 |
| BUCK CAPITAL MGMT | | MVRX | SS | 500 | 297.45 | n/a | n/a | non-brg | 23.8 |
| BUCK CAPITAL MGMT | | MWV | B | 800 | 36.42 | n/a | n/a | non-brg | 1.0 |
| BALYASNY ASSET MGMT | 044 | M | B | 50,000 | 44.91 | 15-Aug | 14-Aug | 2,500.00 | 5.0 |
| BUCK CAPITAL MGMT | | M | B | 600 | 44.35 | 15-Aug | 14-Aug | non-brg | 1.0 |
| BUCK CAPITAL MGMT | | M | B | 900 | 44.61 | 15-Aug | 14-Aug | non-brg | 1.0 |
| LEVIN CAPITAL STRATEGIES | 041 | M | B | 11,685 | 44.71 | 15-Aug | 14-Aug | 350.55 | 3.0 |
| BUCK CAPITAL MGMT | | NCLH | B | 1,400 | 31.40 | n/a | n/a | non-brg | 1.0 |
| BUCK CAPITAL MGMT | | NCLH | B | 700 | 32.04 | n/a | n/a | non-brg | 1.0 |
| TYVOR CAPITAL LLC | 031 | NKE | SS | 18,000 | 64.35 | n/a | 28-Aug | 540.00 | 3.0 |
| LATEEF MGMT | 033 | OLN | B | 150 | 23.15 | n/a | n/a | 30.00 | 20.0 |
| BUCK CAPITAL MGMT | | PETM | SS | 400 | 71.37 | n/a | n/a | non-brg | 1.0 |
| BUCK CAPITAL MGMT | | PFE | B | 1,400 | 28.13 | n/a | n/a | non-brg | 1.0 |
| BUCK CAPITAL MGMT | | PII | B | 400 | 110.39 | n/a | n/a | non-brg | 1.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------|-----|--------|-----|--------|--------|--------|----------|--------------|-----|
| CAPITAL GROWTH MGMT. | 241 | PKG | S | 30,000 | 52.19 | n/a | 15-Aug | 1,500.00 | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | PLCE | B | 100 | 53.06 | n/a | 23-Aug | non-brg | 1.0 |
| JET CAPITAL/CHRIS | 041 | PRKR | B | 50,000 | 3.46 | n/a | n/a | 1,500.00 | 3.0 |
| ⌘ BUCK CAPITAL MGMT | | PVH | B | 200 | 130.64 | n/a | n/a | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | PVH | B | 300 | 130.03 | n/a | n/a | non-brg | 1.0 |
| PATTEN & PATTEN | 025 | QCOM | S | 25 | 66.88 | n/a | n/a | 1.25 | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | RAD | B | 10,600 | 3.58 | n/a | n/a | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | RAD | B | 7,300 | 3.57 | n/a | n/a | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | RDN | B | 1,500 | 13.74 | n/a | n/a | non-brg | 1.0 |
| SHEFFIELD ASSET MGMT | 031 | RKT | B | 33,000 | 112.58 | n/a | 15-Aug | 1,320.00 | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | RLJE | B | 900 | 5.78 | n/a | n/a | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | RL | B | 100 | 167.10 | n/a | 8-Aug | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | RL | B | 200 | 167.00 | n/a | 8-Aug | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | ROST | B | 200 | 68.56 | 23-Aug | 7-Aug | non-brg | 1.0 |
| LISTED ERR | 099 | RYL | B | 2,534 | 35.38 | n/a | n/a | 0.00 | 0.0 |
| ⌘ BUCK CAPITAL MGMT | | R | B | 300 | 56.40 | 3-Sep | 3-Sep | non-brg | 1.0 |
| TALON ASSET MGMT. | 006 | SAP | B | 5,000 | 72.69 | n/a | n/a | 250.00 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|-----|--------|-----|--------|-------|--------|----------|-------------|------|
| STATE TEACHERS RET SYS | 047 | SBRA | B | 10,000 | 22.05 | n/a | n/a | 500.00 | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | SCSS | B | 700 | 24.78 | n/a | n/a | non-brg | 1.0 |
| LEVIN CAPITAL STRATEGIES | 041 | SKS | B | 66,186 | 15.93 | n/a | n/a | 1,985.58 | 3.0 |
| CAPITAL GROWTH MGMT. | 241 | SLG | S | 20,000 | 85.43 | n/a | n/a | 1,000.00 | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | SLM | B | 400 | 24.27 | n/a | n/a | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | SMG | SS | 100 | 52.96 | 7-Aug | 6-Aug | non-brg | 1.0 |
| LATEEF MGMT | 033 | SPLS | B | 300 | 13.98 | n/a | n/a | 30.00 | 10.0 |
| ⌘ BUCK CAPITAL MGMT | | SPN | B | 1,000 | 25.07 | n/a | n/a | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | SSI | B | 1,000 | 18.64 | 23-Aug | 22-Aug | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | SSI | B | 25,000 | 18.52 | 23-Aug | 22-Aug | non-brg | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | SSI | B | 700 | 18.63 | 23-Aug | 22-Aug | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | STT | B | 500 | 68.05 | n/a | 23-Aug | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | SWN | B | 500 | 38.71 | n/a | n/a | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | SWN | S | 13,000 | 38.65 | n/a | n/a | non-brg | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | SYX | SS | 500 | 32.21 | n/a | n/a | non-brg | 1.0 |
| f JOHN MICHAEL ZOLIDIS | FID | TFM | B | 80 | 48.01 | n/a | n/a | 0.00 | 0.0 |
| ⌘ BUCK CAPITAL MGMT | | TGT | C | 20,000 | 63.66 | n/a | 22-Aug | non-brg | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------|-----|--------|-----|---------|--------|--------|----------|-------------|------|
| BUCK CAPITAL MGMT | | TGT | SS | 100 | 63.66 | n/a | 22-Aug | non-brg | 1.0 |
| LATEEF MGMT | 033 | TGT | B | 100 | 63.69 | n/a | 22-Aug | 30.00 | 30.0 |
| BUCK CAPITAL MGMT | | TJX | B | 200 | 53.47 | 21-Aug | 7-Aug | non-brg | 1.0 |
| BUCK CAPITAL MGMT | | TSCO | B | 100 | 122.41 | n/a | n/a | non-brg | 1.0 |
| CAPITAL GROWTH MGMT. | 241 | TSLA | S | 20,000 | 167.57 | n/a | n/a | 1,000.00 | 5.0 |
| MANNY I KORMAN | FID | TWX | B | 2000 | 61.46 | n/a | n/a | 0.00 | 0.0 |
| AMBER CAPITAL | 046 | T | B | 462,130 | 34.01 | n/a | n/a | 18,485.20 | 4.0 |
| LATEEF MGMT | 033 | T | B | 150 | 33.67 | n/a | n/a | 30.00 | 20.0 |
| LATEEF MGMT | 033 | UAL | B | 150 | 28.76 | 3-Sep | 3-Sep | 30.00 | 20.0 |
| BUCK CAPITAL MGMT | | UCP | B | 1,200 | 13.73 | n/a | n/a | non-brg | 1.0 |
| BUCK CAPITAL MGMT | | ULTA | B | 200 | 100.23 | n/a | n/a | non-brg | 1.0 |
| LATEEF MGMT | 033 | UN | B | 150 | 37.67 | n/a | n/a | 30.00 | 20.0 |
| ADAGE CAPITAL MGMT | 030 | URBN | S | 65,716 | 41.95 | n/a | n/a | 1,971.48 | 3.0 |
| BALYASNY ASSET MGMT | 044 | URBN | B | 30,000 | 41.88 | n/a | n/a | 1,500.00 | 5.0 |
| BUCK CAPITAL MGMT | | URBN | B | 1,300 | 42.01 | n/a | n/a | non-brg | 1.0 |
| BUCK CAPITAL MGMT | | URBN | B | 600 | 41.91 | n/a | n/a | non-brg | 1.0 |
| BUCK CAPITAL MGMT | | URI | B | 400 | 56.28 | n/a | n/a | non-brg | 1.0 |
| BUCK CAPITAL MGMT | | VMC | B | 500 | 48.55 | n/a | n/a | non-brg | 1.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-----------------------------|-----|--------|-----|--------|--------|-----|------------------|-------------|------|
| ⚡ BUCK CAPITAL MGMT | | V | B | 100 | 178.14 | n/a | 21-Aug | non-brg | 1.0 |
| ⚡ BUCK CAPITAL MGMT | | WCIC | B | 1,000 | 15.32 | n/a | n/a | non-brg | 1.0 |
| ⚡ BUCK CAPITAL MGMT | | WGO | B | 700 | 22.91 | n/a | n/a | non-brg | 1.0 |
| NEWLAND CAPITAL MGT | 025 | WLL | S | 5,000 | 51.18 | n/a | n/a | 200.00 | 4.0 |
| f JONATHAN RICHARD HAR | FID | WNC | B | 500 | 10.70 | n/a | n/a | 0.00 | 0.0 |
| ⚡ BUCK CAPITAL MGMT | | WSM | SS | 100 | 56.41 | n/a | n/a | non-brg | 1.0 |
| FRED ALGER MGMT | 070 | WTS | B | 275 | 51.76 | n/a | n/a | 9.90 | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | WYNN | B | 200 | 142.81 | n/a | n/a | non-brg | 1.0 |
| LATEEF MGMT | 033 | XOM | B | 100 | 87.47 | n/a | n/a | 30.00 | 30.0 |
| ⚡ BUCK CAPITAL MGMT | | XRT | SS | 1,100 | 78.65 | n/a | n/a | non-brg | 1.0 |
| ⚡ BUCK CAPITAL MGMT | | XRT | SS | 300 | 78.72 | n/a | n/a | non-brg | 1.0 |
| ⚡ BUCK CAPITAL MGMT | | ZTS | B | 900 | 29.35 | n/a | n/a | non-brg | 1.0 |
| TOTAL (Trade Date) : | | | | | | | 62,059.90 | | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|-------------------------------|-------|--------------------------|------|--------|-----|--------|--------|-----|----------|----------------|
| AO,CRT | 08/30 | FIFTH THIRD BANK/FREEMAN | 047 | PMF | S | 25,096 | 12.03 | n/a | n/a | 752.88 0.0 |
| AO,CXL | 08/30 | FIFTH THIRD BANK/FREEMAN | 047 | PMF | S | 25,096 | 12.03 | n/a | n/a | 1254.80 0.0 |
| AO, | 08/29 | CALA | 041 | PX | B | 35,000 | 116.52 | n/a | n/a | 1050.00 0.0 |
| AO,CXL | 08/29 | CALA | 041 | PX | B | 35,000 | 116.52 | n/a | n/a | 1050.00 0.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | -501.92 |

| | |
|------------------------|-----------|
| TOTAL (Trade Date) : | 62,059.90 |
| TOTAL (AO, CXL, CRT) : | -501.92 |

| | |
|---------------------------------|------------------|
| TOTAL (RUN DATE) / NFS : | 61,557.98 |
|---------------------------------|------------------|

BCM Cancel/Corrects and As-Of Trades

| Type | Date | Account | Symbol | B/S | Shares | Price | MRI Research | Comm.¢/Shr. |
|------|------|---------|--------|-----|--------|-------|--------------|-------------|
|------|------|---------|--------|-----|--------|-------|--------------|-------------|

MRI Securities with Trade Activity on 3-Sep.

R, UAL

MRI Securities without Trade Activity on 3-Sep.

NONE

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

T-Date = 0%

YTD = 0%

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)