



## Daily Compliance Activity Report

Trade Date: 01/29/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
BUCK CAPITAL MGMT		AAWW	C	10,000	50.12	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		ABG	S	10,000	13.08	25-Jan	25-Jan	non-brg 4.0
BUCK CAPITAL MGMT		AEO	S	4,000	23.06	11-Jan	11-Jan	non-brg 4.0
CENTURION GLOBAL MGMT LL	041	AEO	B	13,600	23.04	11-Jan	11-Jan	408.00 3.0
COUGAR TRADING	044	AEO	SS	10,000	22.98	11-Jan	11-Jan	500.00 5.0
JP MORGAN VENTURES	046	AEO	S	20,000	23.05	11-Jan	11-Jan	1,000.00 5.0
MERRILL ASSET	032	AEO	S	19,500	22.92	11-Jan	11-Jan	877.50 4.5
CASTLEROCK	040	AKS	S	159,400	44.28	n/a	n/a	6,376.00 4.0
FIRST NY SEC/CHRIS	041	AMAT	B	10,000	18.00	n/a	n/a	600.00 6.0
BUCK CAPITAL MGMT		AMG	S	2,000	98.26	9-Jan	28-Jan	non-brg 4.0
NCM CAPITAL MGMT	035	AMG	B	6	97.79	9-Jan	28-Jan	0.24 4.0
BUCK CAPITAL MGMT		AMT	S	4,000	38.63	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		ANF	S	4,000	78.49	10-Jan	29-Jan	non-brg 4.0
WHITE PINE CAPITAL	030	ANN	B	7,950	22.49	11-Jan	11-Jan	397.50 5.0
BUCK CAPITAL MGMT		APC	S	3,500	56.59	14-Jan	28-Jan	non-brg 4.0
BALYASNY ASSET MGMT	044	ARO	S	20,000	26.20	29-Nov	29-Jan	1,000.00 5.0
BUCK CAPITAL MGMT		AVCI	C	4,000	6.53	n/a	n/a	non-brg 4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DSG CAPITAL	225	AXE	SS	5,000	68.80	29-Jan	29-Jan	250.00	5.0
<b>GAULT</b>	<b>063</b>	<b>AXE</b>	<b>S</b>	<b>200</b>	<b>68.57</b>	<b>29-Jan</b>	<b>29-Jan</b>	<b>0.00</b>	<b>0.0</b>
TROUBH PART	067	AXP	SS	25,000	47.61	n/a	n/a	1,250.00	5.0
NCM CAPITAL MGMT	035	BCR	B	15	93.70	n/a	22-Apr	0.60	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BDK</b>	<b>SS</b>	<b>10,000</b>	<b>69.72</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
NCM CAPITAL MGMT	035	BEAV	B	22	38.11	n/a	n/a	0.88	4.0
BALYASNY ASSET MGMT	044	BEN	B	10,000	100.94	25-Sep	28-Jan	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BKS</b>	<b>B</b>	<b>10,000</b>	<b>31.28</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
SANDLER O'NEILL ASSET	031	BK	B	25,000	45.08	19-Oct	18-Jan	1,250.00	5.0
NCM CAPITAL MGMT	035	BLK	B	3	213.69	21-Nov	28-Jan	0.12	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>BONT</b>	<b>B</b>	<b>50,000</b>	<b>6.69</b>	<b>4-Jan</b>	<b>11-Jan</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BONT</b>	<b>S</b>	<b>8,000</b>	<b>6.64</b>	<b>4-Jan</b>	<b>11-Jan</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BRL</b>	<b>S</b>	<b>5,000</b>	<b>52.52</b>	<b>8-Aug</b>	<b>29-Jan</b>	<b>non-brg</b>	<b>4.0</b>
<b>BARR</b>	<b>096</b>	<b>BTU</b>	<b>S</b>	<b>200</b>	<b>58.88</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NCM CAPITAL MGMT	035	BYI	B	40	46.48	n/a	n/a	1.60	4.0
HUNTER GLOBAL INVESTOR	067	BZH	B	350,000	8.68	n/a	n/a	12,250.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NCM CAPITAL MGMT	035	B	B	22	25.79	n/a	n/a	0.88	4.0
RBC CAPITAL MARKETS	034	CB	B	50,000	50.99	n/a	n/a	2,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>CCI</b>	<b>S</b>	<b>6,000</b>	<b>35.40</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
MERRILL ASSET	032	CFR	S	18,400	53.50	n/a	n/a	920.00	5.0
BALYASNY ASSET MGMT	044	CHS	B	40,000	9.43	10-Jan	11-Jan	2,000.00	5.0
<b>ZOLIDIS</b>	<b>011</b>	<b>CHS</b>	<b>SS</b>	<b>1,000</b>	<b>9.40</b>	<b>10-Jan</b>	<b>11-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>CATTANI</b>	<b>041</b>	<b>CHTT</b>	<b>S</b>	<b>100</b>	<b>75.88</b>	<b>11-Jan</b>	<b>11-Jan</b>	<b>0.00</b>	<b>0.0</b>
SSI INVESTORS	048	CLMS	SS	58,870	21.65	29-Jan	29-Jan	2,354.80	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CLX</b>	<b>B</b>	<b>10,000</b>	<b>60.24</b>	<b>n/a</b>	<b>1-Nov</b>	<b>400.00</b>	<b>4.0</b>
CASTLE ARK	031	CME	S	17,630	618.59	n/a	28-Jan	1,057.80	6.0
NCM CAPITAL MGMT	035	CNET	B	120	8.16	n/a	n/a	4.80	4.0
J.W. SELIGMAN	041	COH	S	135,000	30.96	24-Oct	24-Jan	5,400.00	4.0
<b>ZOLIDIS</b>	<b>011</b>	<b>COH</b>	<b>C</b>	<b>400</b>	<b>30.90</b>	<b>24-Oct</b>	<b>24-Jan</b>	<b>0.00</b>	<b>0.0</b>
NCM CAPITAL MGMT	035	COL	B	14	62.75	n/a	n/a	0.56	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CRI</b>	<b>B</b>	<b>20,000</b>	<b>18.33</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
REICH AND TANG	067	CR	S	9,000	40.75	n/a	n/a	400.00	2.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		CTRN	S	50,000	13.06	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		CTSH	C	120,000	27.86	n/a	n/a	non-brg	4.0
FARALLON CAP MGMT	040	C	SS	252,500	27.82	16-Jan	22-Jan	10,100.00	4.0
NATIONAL BK OF CAN	031	C	B	35,000	27.80	16-Jan	22-Jan	1,400.00	4.0
NATIONAL BK OF CAN	031	C	SS	35,000	27.72	16-Jan	22-Jan	1,400.00	4.0
BUCK CAPITAL MGMT		DAI	SS	70,000	76.73	n/a	n/a	non-brg	4.0
REICH AND TANG	067	DBD	B	15,000	25.57	14-Jan	16-Jan	750.00	5.0
ZOLIDIS	011	DECK	B	100	118.49	n/a	n/a	0.00	0.0
REICH AND TANG	067	DHR	B	1,500	74.05	n/a	n/a	75.00	5.0
BUCK CAPITAL MGMT		DIA	C	6,000	124.34	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		DLTR	C	20,000	26.29	9-Nov	11-Jan	non-brg	4.0
CASTLE ARK	031	DLTR	SS	2,250	26.68	9-Nov	11-Jan	135.00	6.0
GRISANTI BROWN & PARTNER	048	DTV	S	17,800	22.92	15-Nov	4-Jan	890.00	5.0
BUCK CAPITAL MGMT		DVN	S	1,800	83.19	14-Jan	28-Jan	non-brg	4.0
BUCK CAPITAL MGMT		EL	C	4,000	41.08	4-Jan	4-Jan	non-brg	2.5
CUMBERLAND	038	EME	B	40,000	21.30	n/a	n/a	1,600.00	4.0
NCM CAPITAL MGMT	035	EQIX	B	10	73.81	n/a	n/a	0.40	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		ESV	S	1,800	50.96	n/a	n/a	non-brg	4.0
NCM CAPITAL MGMT	035	ESV	B	11	50.85	n/a	n/a	0.44	4.0
BUCK CAPITAL MGMT		EXH	S	8,000	68.41	n/a	28-Jan	non-brg	4.0
MATTHES CAPITAL MGMT	033	FDO	SS	50,000	19.22	8-Jan	11-Jan	2,000.00	4.0
MKT MAKER	099	FINL	S	100	2.33	n/a	4-Jan	0.00	0.0
BUCK CAPITAL MGMT		FLDR	C	6,000	5.38	n/a	n/a	non-brg	2.5
NCM CAPITAL MGMT	035	FLEX	B	79	10.20	n/a	n/a	3.16	4.0
BUCK CAPITAL MGMT		FOR	S	4,000	22.48	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		FOSL	B	100,000	32.84	13-Nov	29-Jan	non-brg	4.0
N STRATTON	014	FRED	C	200	8.95	6-Dec	11-Jan	0.00	0.0
BUCK CAPITAL MGMT		FRX	S	5,000	39.71	n/a	29-Jan	non-brg	4.0
BARR	096	FXP	S	800	92.95	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		GES	S	6,000	36.50	n/a	n/a	non-brg	4.0
NCM CAPITAL MGMT	035	GES	B	11	36.55	n/a	n/a	0.44	4.0
REICH AND TANG	067	GE	B	4,000	34.91	n/a	n/a	200.00	5.0
BUCK CAPITAL MGMT		GIL	S	6,000	35.74	22-Jan	29-Jan	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SUFFOLK CAPITAL MGMT	040	GIS	B	100,000	54.64	n/a	n/a	4,000.00	4.0
NCM CAPITAL MGMT	035	GLF	B	7	41.02	n/a	n/a	0.28	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>GLW</b>	<b>S</b>	<b>15,000</b>	<b>23.60</b>	<b>n/a</b>	<b>28-Jan</b>	<b>non-brg</b>	<b>4.0</b>
DELTEC ASSET MGMT.	040	GLW	S	7,000	23.70	n/a	28-Jan	350.00	5.0
<b>SINCLAIR</b>	<b>031</b>	<b>GMRX</b>	<b>B</b>	<b>30</b>	<b>1.76</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GM</b>	<b>C</b>	<b>1,300</b>	<b>27.11</b>	<b>3-Jan</b>	<b>29-Jan</b>	<b>non-brg</b>	<b>2.5</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GM</b>	<b>SS</b>	<b>40,000</b>	<b>26.90</b>	<b>3-Jan</b>	<b>29-Jan</b>	<b>non-brg</b>	<b>4.0</b>
<b>MCCARTAN</b>	<b>028</b>	<b>GM</b>	<b>SS</b>	<b>100</b>	<b>27.24</b>	<b>3-Jan</b>	<b>29-Jan</b>	<b>0.00</b>	<b>0.0</b>
BALYASNY ASSET MGMT	044	GNTX	SS	48,900	15.56	25-Jan	29-Jan	2,445.00	5.0
GOLD SACHS SPECIAL SIT	030	GNTX	B	300,000	15.80	25-Jan	29-Jan	15,000.00	5.0
WAGONHOUND	048	GNTX	B	58,095	15.76	25-Jan	29-Jan	2,323.80	4.0
<b>AMATURO</b>	<b>018</b>	<b>GSI</b>	<b>B</b>	<b>1,000</b>	<b>8.67</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CENTURION GLOBAL MGMT LL	041	GYMB	B	10,300	36.45	n/a	29-Jan	309.00	3.0
NCM CAPITAL MGMT	035	HANS	B	21	41.93	n/a	n/a	0.84	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>HBI</b>	<b>B</b>	<b>20,000</b>	<b>24.11</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
SANDELL ADV	040	HERO	B	50,000	23.28	n/a	n/a	2,500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>HOG</b>	<b>C</b>	<b>30,000</b>	<b>39.73</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
NCM CAPITAL MGMT	035	HOLX	B	9	63.73	n/a	n/a	0.36	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>CATTANI</b>	<b>041</b>	<b>HQTN</b>	<b>B</b>	<b>1</b>	<b>6.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DSG CAPITAL	225	HRS	B	8,000	49.10	11-Jan	17-Jan	400.00	5.0
NCM CAPITAL MGMT	035	HRS	B	16	48.94	11-Jan	17-Jan	0.64	4.0
<b>CATTANI</b>	<b>041</b>	<b>HRS</b>	<b>B</b>	<b>300</b>	<b>49.35</b>	<b>11-Jan</b>	<b>17-Jan</b>	<b>0.00</b>	<b>0.0</b>
WAGONHOUND	048	HSC	B	5,080	55.28	10-Dec	10-Dec	203.20	4.0
NCM CAPITAL MGMT	035	HUM	B	16	79.75	n/a	n/a	0.64	4.0
REICH AND TANG	067	IEX	B	2,000	30.08	n/a	n/a	100.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>IJR</b>	<b>C</b>	<b>6,000</b>	<b>60.68</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>IJS</b>	<b>C</b>	<b>3,000</b>	<b>65.80</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
NCM CAPITAL MGMT	035	IMA	B	15	48.35	n/a	n/a	0.60	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>INFY</b>	<b>C</b>	<b>120,000</b>	<b>40.12</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
MORGAN LEWIS/MLH	046	INSU	B	10,000	13.24	n/a	n/a	500.00	5.0
NCM CAPITAL MGMT	035	ITC	B	17	52.79	n/a	n/a	0.68	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>IVZ</b>	<b>S</b>	<b>18,000</b>	<b>26.65</b>	<b>20-Dec</b>	<b>28-Jan</b>	<b>non-brg</b>	<b>4.0</b>
NCM CAPITAL MGMT	035	IVZ	B	24	26.81	20-Dec	28-Jan	0.96	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>IWM</b>	<b>C</b>	<b>8,000</b>	<b>69.87</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
GRISANTI BROWN & PARTNER	048	IWM	C	14,300	70.20	n/a	n/a	715.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		IWO	C	8,000	75.27	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		JCG	S	20,000	42.24	28-Nov	18-Jan	non-brg	4.0
MERRILL LYNCH STRATEGICI	034	JCP	SS	10,000	45.31	4-Jan	11-Jan	500.00	5.0
BUCK CAPITAL MGMT	001	JNY	B	40,000	16.21	n/a	1-Nov	1,600.00	4.0
NATIONAL BK OF CAN	031	JPM	B	35,000	45.57	17-Jan	22-Jan	1,400.00	4.0
NATIONAL BK OF CAN	031	JPM	SS	35,000	46.53	17-Jan	22-Jan	1,400.00	4.0
BUCK CAPITAL MGMT		KEG	S	15,000	12.20	29-Oct	28-Jan	non-brg	4.0
BUCK CAPITAL MGMT	001	KMB	B	10,000	64.28	n/a	n/a	400.00	4.0
BALYASNY ASSET MGMT	044	KSS	B	10,000	43.50	4-Jan	11-Jan	500.00	5.0
BUCK CAPITAL MGMT		KSS	C	1,500	43.44	4-Jan	11-Jan	non-brg	2.5
SUN AMERICA ASSET MGMT	030	KSS	S	89,600	43.01	4-Jan	11-Jan	4,480.00	5.0
BUCK CAPITAL MGMT		KV/A	S	2,500	25.98	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		LAMR	S	4,000	42.80	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		LBTYA	S	4,000	39.18	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		LBTYK	S	5,000	36.12	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		LEH	S	4,000	61.76	n/a	22-Jan	non-brg	4.0
ROSENBERG	034	LEH	S	100	60.95	n/a	22-Jan	0.00	0.0



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>KERN</b>	<b>050</b>	<b>LEH</b>	<b>S</b>	<b>100</b>	<b>60.31</b>	<b>n/a</b>	<b>22-Jan</b>	<b>0.00</b>	<b>0.0</b>
REICH AND TANG	067	LH	B	3,000	74.73	n/a	n/a	150.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>LM</b>	<b>S</b>	<b>5,000</b>	<b>71.11</b>	<b>17-Dec</b>	<b>29-Jan</b>	<b>non-brg</b>	<b>4.0</b>
THIRD AVE MGMT	030	LPX	S	8,000	15.70	30-Oct	23-Jan	320.00	4.0
GRISANTI BROWN & PARTNER	048	MDR	C	11,000	47.88	n/a	n/a	550.00	5.0
REICH AND TANG	067	MDT	B	6,000	46.93	n/a	22-Apr	300.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>MER</b>	<b>S</b>	<b>3,000</b>	<b>57.08</b>	<b>18-Jan</b>	<b>22-Jan</b>	<b>non-brg</b>	<b>4.0</b>
REICH AND TANG	067	MHK	B	2,000	74.22	n/a	n/a	100.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>MIR</b>	<b>S</b>	<b>6,000</b>	<b>35.73</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
GRISANTI BROWN & PARTNER	048	MIR	B	17,500	36.33	n/a	n/a	875.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>MLHR</b>	<b>C</b>	<b>600</b>	<b>28.48</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
REICH AND TANG	067	MLM	B	2,000	114.76	n/a	n/a	100.00	5.0
HUNTER GLOBAL INVESTOR	067	MON	B	20,000	113.23	n/a	14-Jan	1,000.00	5.0
FIRST NY SEC/CHRIS	041	MOT	B	10,000	11.27	n/a	n/a	600.00	6.0
<b>GAULT</b>	<b>063</b>	<b>MRK</b>	<b>S</b>	<b>400</b>	<b>48.24</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
&ROS	046	MSFT	B	25,000	32.50	n/a	3-Apr	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
BUCK CAPITAL MGMT		MSM	S	3,000	40.15	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		MS	S	3,000	49.06	20-Dec	22-Jan	non-brg 4.0
WHEELER	008	MYE	B	1,500	11.05	n/a	n/a	0.00 0.0
BUCK CAPITAL MGMT	001	M	B	90,000	26.19	4-Jan	29-Jan	3,600.00 4.0
BUCK CAPITAL MGMT		M	B	200	26.59	4-Jan	29-Jan	non-brg 1.0
BUCK CAPITAL MGMT		M	S	15,000	26.18	4-Jan	29-Jan	non-brg 4.0
SOCIETY GENERALE	040	M	B	5,000	25.90	4-Jan	29-Jan	200.00 4.0
BUCK CAPITAL MGMT		OIH	C	2,000	163.44	n/a	n/a	non-brg 2.0
BUCK CAPITAL MGMT		PAG	S	6,000	17.18	n/a	17-Jan	non-brg 4.0
CHART WELL ADV	028	PAG	B	70,306	17.09	n/a	17-Jan	2,812.24 4.0
BARR	096	PDFS	S	3,745	8.21	n/a	n/a	0.00 0.0
BUCK CAPITAL MGMT	001	PEP	B	30,000	69.16	n/a	n/a	1,200.00 4.0
WHITE PINE CAPITAL	030	PERY	S	2,000	17.35	n/a	n/a	100.00 5.0
BUCK CAPITAL MGMT		PLCE	S	10,000	17.71	10-Jan	11-Jan	non-brg 4.0
BUCK CAPITAL MGMT		PLCE	S	5,000	17.72	10-Jan	11-Jan	non-brg 4.0
COUGAR TRADING	044	PLCE	S	30,000	17.96	10-Jan	11-Jan	1,500.00 5.0
N STRATTON	014	PLUS	S	500	9.25	n/a	n/a	0.00 0.0
BUCK CAPITAL MGMT	001	PVH	S	6,000	40.16	16-Jan	29-Jan	240.00 4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WAGONHOUND	048	PVH	B	18,730	39.83	16-Jan	29-Jan	749.20	4.0
GRISANTI BROWN & PARTNER	048	QQQQ	SS	17,400	44.53	n/a	n/a	870.00	5.0
OTC ERROR	099	QQQQ	B	17,400	44.53	n/a	n/a	0.00	0.0
OTC ERROR	099	QQQQ	S	17,400	44.53	n/a	n/a	0.00	0.0
DSG CAPITAL	225	RCL	B	5,000	37.35	n/a	25-Jan	250.00	5.0
N STRATTON	014	REXI	B	400	12.50	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		RL	S	3,000	61.16	14-Jan	14-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		RTH	C	4,300	92.14	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		RYL	S	2,000	32.01	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SBAC	S	6,000	29.10	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SDXC	S	6,000	10.94	n/a	n/a	non-brg	4.0
GAULT	063	SGP	S	500	19.21	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SHPGY	S	4,000	56.10	2-Nov	29-Jan	non-brg	2.5
GAULT	063	SKF	B	500	100.19	n/a	n/a	0.00	0.0
WEISS PECK	040	SKX	S	11,560	18.57	n/a	13-Mar	578.00	5.0
REICH AND TANG	067	SLB	B	2,000	78.88	n/a	n/a	100.00	5.0
TRUSTCO/SUNTRUST	040	SMG	S	199,126	37.54	29-Jan	29-Jan	5,973.78	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		SONC	C	10,000	22.14	n/a	n/a	non-brg	4.0
SINCLAIR	031	SWNFK	S	4	5.10	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		SWN	S	5,000	52.77	14-Jan	28-Jan	non-brg	4.0
BUCK CAPITAL MGMT		TBL	B	100,000	16.17	n/a	13-Mar	non-brg	2.5
BUCK CAPITAL MGMT		TIN	S	6,000	17.92	8-Jan	23-Jan	non-brg	4.0
CSFB GLOBAL PROPRIETARY	041	TIN	S	25,000	17.83	8-Jan	23-Jan	1,250.00	5.0
XYLEM GLOBAL	091	TIN	S	60,000	17.81	8-Jan	23-Jan	3,000.00	5.0
WAGONHOUND	048	TJX	B	43,290	31.21	21-Sep	29-Jan	1,731.60	4.0
SAC TRADING HOWARD	038	TLB	SS	50,000	8.73	n/a	7-Jan	2,500.00	5.0
WHALE ROCK CAP	030	TLB	B	129,398	8.71	n/a	7-Jan	5,175.92	4.0
BUCK CAPITAL MGMT		TOL	S	2,000	22.56	n/a	n/a	non-brg	4.0
FORD FDN.	032	TROW	S	993	53.00	9-Jan	29-Jan	49.65	5.0
BUCK CAPITAL MGMT		TWB	S	3,000	32.37	9-Jan	9-Jan	non-brg	4.0
BUCK CAPITAL MGMT		TWTC	S	15,000	17.99	9-Nov	4-Jan	non-brg	4.0
CATTANI	041	TXT	B	100	54.42	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		URBN	S	10,000	27.86	3-Jan	29-Jan	non-brg	4.0
BUCK CAPITAL MGMT		URBN	S	12,000	28.23	3-Jan	29-Jan	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		VCGH	S	10,000	11.09	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	VC	S	10,000	3.85	n/a	18-Jan	400.00	4.0
⚡ BUCK CAPITAL MGMT		VIRL	S	10,000	7.40	n/a	n/a	non-brg	4.0
LEHMAN PROPRIETARY TRAD	041	VMC	B	20,000	75.26	n/a	n/a	800.00	4.0
⚡ BUCK CAPITAL MGMT		WBC	S	3,000	40.41	n/a	12-Dec	non-brg	4.0
BUCK	015	WB	S	2,000	37.84	n/a	n/a	0.00	0.0
HUNTER GLOBAL INVESTOR	067	WLT	B	82,200	42.74	n/a	n/a	4,110.00	5.0
CAPITAL GROWTH MGMT.	241	WM	B	500,000	17.49	n/a	n/a	15,000.00	3.0
REICH AND TANG	067	WPO	B	600	741.73	n/a	n/a	30.00	5.0
⚡ BUCK CAPITAL MGMT		WRNC	S	3,000	34.54	14-Jan	29-Jan	non-brg	4.0
FIRST NEW YORK LEDDY	035	WRNC	B	7,500	34.70	14-Jan	29-Jan	450.00	6.0
⚡ BUCK CAPITAL MGMT		WSO	S	3,000	32.61	n/a	n/a	non-brg	4.0
BALYASNY ASSET MGMT	044	WWW	B	50,000	21.63	n/a	13-Mar	2,500.00	5.0
BUCK CAPITAL MGMT	001	WWY	B	10,000	58.76	n/a	n/a	400.00	4.0
SAXON WOODS ADVISORS	038	WY	B	80,000	65.78	8-Jan	23-Jan	3,200.00	4.0
FARALLON CAP MGMT	040	XHB	B	300,000	21.48	n/a	n/a	12,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		XLFX	C	10,000	28.36	n/a	n/a	non-brg	2.0
GAULT	063	XRT	S	1,000	32.70	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		ZQK	B	50,000	8.81	23-Jan	23-Jan	non-brg	4.0
BUCK CAPITAL MGMT		ZQK	S	6,000	8.79	23-Jan	23-Jan	non-brg	4.0
EGS ASSOCIATES LP	091	ZQK	B	5,000	8.80	23-Jan	23-Jan	300.00	6.0
WEISS PECK	040	ZQK	S	155,150	8.61	23-Jan	23-Jan	6,206.00	4.0
MCCARTAN	028	ZQK	C	500	8.81	23-Jan	23-Jan	0.00	0.0
ZOLIDIS	011	ZUMZ	SS	400	17.24	n/a	n/a	0.00	0.0
TOTAL (Trade Date):							183,808.11		

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CXL	01/23	ZOLIDIS	011	DECK	B	100	122.36	n/a	n/a	0.00	0.0
AO,CRT	01/23	ZOLIDIS	011	DECK	B	100	122.36	n/a	n/a	0.00	0.0
AO,CXL	01/24	ZOLIDIS	011	DECK	S	200	133.65	n/a	n/a	0.00	0.0
AO,CRT	01/24	ZOLIDIS	011	DECK	S	200	133.65	n/a	n/a	0.00	0.0
AO,CRT	01/24	GEORGE WEISS	034	DSW	SS	10,000	18.07	26-Oct	24-Jan	400.00	4.0
AO,CXL	01/24	GEORGE WEISS	034	DSW	SS	10,000	18.07	26-Oct	24-Jan	500.00	5.0
AO,CRT	01/28	U.S.TRUST COMPANY	012	GLW	B	20,000	23.15	n/a	28-Jan	600.00	3.0
AO,CXL	01/28	FARALLON CAP MGMT	040	XRT	B	285,000	32.36	n/a	n/a	11400.00	4.0
AO,CRT	01/28	FARALLON CAP MGMT	040	XRT	B	285,000	32.36	n/a	n/a	8550.00	3.0

**TOTAL (AO, CXL, CRT) :****-2,350.00**

TOTAL (Trade Date):

183,808.11

TOTAL (AO, CXL, CRT):

-2,350.00

**TOTAL (RUN DATE) / NFS:****181,458.11****MRI Securities with Trade Activity on 29-Jan.****AXE, CLMS, SMG**

MRI Securities without Trade Activity on 29-Jan.  
NONE

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 19%  
YTD = 26%



**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**