



Daily Compliance Activity Report

Trade Date: 02/27/2007

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	AAI	B	500	10.48	n/a	n/a	25.00	5.0
PATTEN & PATTEN	067	AB	B	450	86.13	24-Jan	28-Feb	22.50	5.0
BARR	096	ACF	SS	400	24.76	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	ADBE	S	500	39.95	n/a	n/a	25.00	5.0
PRIME CAPITAL	048	ADBE	S	60,000	40.27	n/a	n/a	2,400.00	4.0
SAC TRADING HOWARD	038	AEOS	B	25,000	31.34	4-Jan	9-Feb	1,250.00	5.0
MAZAMA CAPITAL MGMT.	035	AIQ	S	20,700	7.50	n/a	n/a	828.00	4.0
BALYASNY ASSET MGMT	044	AMG	SS	5,000	115.96	25-Jan	28-Feb	250.00	5.0
BUCK CAPITAL MGMT	001	ANF	B	10,000	77.32	2-Feb	22-Feb	400.00	4.0
JP MORGAN VENTURES	046	ANF	SS	7,500	77.57	2-Feb	22-Feb	375.00	5.0
B BUCK CAPITAL MGMT		ANST	SS	5,225	31.84	n/a	n/a	non-brg	5.0
LUCID PARTNERS	067	AOS	B	10,000	39.32	21-Dec	8-Feb	500.00	5.0
PATTEN & PATTEN	067	APA	S	300	70.67	2-Feb	2-Feb	15.00	5.0
B BUCK CAPITAL MGMT		APC	B	10,000	40.59	27-Feb	27-Feb	non-brg	5.0
B BUCK CAPITAL MGMT		ARO	S	10,000	36.10	23-Oct	9-Feb	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SUTERA	060	ARO	C	2,000	36.05	23-Oct	9-Feb	0.00	0.0
⌘ BUCK CAPITAL MGMT		AVZ	B	17,000	24.31	13-Feb	28-Feb	non-brg	5.0
PHILADELPHIA FINANCIAL	031	AVZ	B	11,491	23.97	13-Feb	28-Feb	574.55	5.0
TURETSKY	038	AVZ	B	1,000	23.78	13-Feb	28-Feb	0.00	0.0
PATTEN & PATTEN	067	AXP	S	300	56.91	n/a	n/a	15.00	5.0
⌘ BUCK CAPITAL MGMT		BBY	S	30,000	47.78	13-Dec	21-Feb	non-brg	5.0
SANDLER O'NEILL ASSET	031	BEN	B	15,000	118.69	9-Nov	28-Feb	750.00	5.0
BUCK	015	BFB	S	600	67.06	n/a	n/a	0.00	0.0
SANDLER CAPITAL	038	BHP	S	92,000	44.22	n/a	n/a	5,520.00	6.0
BUCK CAPITAL MGMT	001	BID	B	5,000	36.68	n/a	n/a	200.00	4.0
MAGUIRE	039	BJSCY	S	10	0.55	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		BONT	S	20,000	49.12	9-Feb	9-Feb	non-brg	5.0
⌘ BUCK CAPITAL MGMT		BRL	B	15,000	55.28	26-Jan	27-Feb	non-brg	5.0
⌘ BUCK CAPITAL MGMT		BRNC	B	9,000	15.15	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		BSC	B	20,000	150.01	15-Dec	16-Feb	non-brg	5.0
⌘ BUCK CAPITAL MGMT		BWS	SS	10,000	51.69	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		CACH	S	25,000	22.77	n/a	n/a	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	CAG	S	400	25.43	n/a	n/a	20.00	5.0
LEDDY	035	CAKE	S	500	27.81	7-Feb	7-Feb	0.00	0.0
FORD FDN.	032	CAT	B	30,000	65.34	n/a	n/a	1,500.00	5.0
BLUE HARBOR	036	CC	B	265,000	19.61	20-Dec	23-Feb	13,250.00	5.0
BUCK CAPITAL MGMT	001	CC	SS	30,000	19.59	20-Dec	23-Feb	1,200.00	4.0
B BUCK CAPITAL MGMT		CLE	S	517,550	31.90	3-Nov	23-Feb	non-brg	4.0
RAMIUS CAP	040	CLE	B	50,000	32.35	3-Nov	23-Feb	2,500.00	5.0
PATTEN & PATTEN	067	CL	S	200	68.65	31-Jan	31-Jan	10.00	5.0
PATTEN & PATTEN	067	CNI	B	300	45.00	n/a	n/a	15.00	5.0
BUCK CAPITAL MGMT	001	COH	S	25,000	46.29	23-Feb	23-Feb	1,000.00	4.0
B BUCK CAPITAL MGMT		COLM	C	20,000	63.75	n/a	n/a	non-brg	5.0
B BUCK CAPITAL MGMT		CRI	S	20,000	24.15	n/a	n/a	non-brg	5.0
PATTEN & PATTEN	067	CTXS	B	300	32.12	n/a	n/a	15.00	5.0
SAILFISH	037	CVS	B	10,000	31.90	n/a	n/a	500.00	5.0
DAVIDSON TRUST CO	033	CVX	S	1,000	70.39	n/a	n/a	90.00	9.0
B BUCK CAPITAL MGMT		CWTR	B	20,000	18.72	n/a	n/a	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KORMAN	003	CXTI	B	17,000	5.26	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		C	S	58,939	50.80	11-Jan	16-Feb	non-brg	5.0
WHALE ROCK CAP	030	DDS	SS	175,000	33.14	n/a	n/a	7,000.00	4.0
⌘ BUCK CAPITAL MGMT		DECK	S	51,136	64.96	n/a	n/a	non-brg	1.0
PECONIC PARTNERS	036	DELL	SS	150,000	22.86	n/a	n/a	7,500.00	5.0
BARR	096	DGX	S	350	50.57	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		DKS	C	10,000	51.70	n/a	n/a	non-brg	5.0
PATTEN & PATTEN	067	DOW	S	300	44.52	n/a	26-Feb	15.00	5.0
⌘ BUCK CAPITAL MGMT		DRI	C	40,000	41.57	12-Dec	19-Dec	non-brg	5.0
LOOMIS SALES/BOSTON	036	DTG	B	16,009	50.88	n/a	n/a	640.36	4.0
PRIME CAPITAL	048	DTV	B	28,000	21.97	22-Dec	28-Feb	1,400.00	5.0
BRANDWINE	028	DVN	B	20,300	66.53	9-Feb	9-Feb	1,015.00	5.0
⌘ BUCK CAPITAL MGMT		DVN	B	5,000	66.34	9-Feb	9-Feb	non-brg	5.0
⌘ BUCK CAPITAL MGMT		EAT	C	62,500	34.74	n/a	23-Jan	non-brg	5.0
PATTEN & PATTEN	067	ERTS	S	200	51.85	n/a	n/a	10.00	5.0
⌘ BUCK CAPITAL MGMT		ESV	B	5,000	51.85	n/a	n/a	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LOOMIS SALES/BOSTON	036	ETH	C	67,490	37.64	n/a	n/a	2,699.60	4.0
PLATTE RIVER CAPITAL	035	ETR	B	1,100	101.81	n/a	n/a	44.00	4.0
PATTEN & PATTEN	067	EWG	B	400	28.07	n/a	n/a	20.00	5.0
PATTEN & PATTEN	067	EWJ	B	600	15.00	n/a	n/a	30.00	5.0
THIRD COAST CAPITAL	035	EXBD	SS	5,000	79.42	n/a	n/a	250.00	5.0
T. ROWE PRICE	033	FCS	B	50,000	18.73	n/a	n/a	2,000.00	4.0
ALSON CAPITAL	039	FD	B	150,000	43.48	26-Jan	28-Feb	7,500.00	5.0
BRANDWINE	028	FD	B	21,500	43.94	26-Jan	28-Feb	1,075.00	5.0
⚡ BUCK CAPITAL MGMT		FD	B	100,000	44.00	26-Jan	28-Feb	non-brg	5.0
⚡ BUCK CAPITAL MGMT		FD	B	40,000	44.00	26-Jan	28-Feb	non-brg	5.0
COUGAR TRADING	044	FD	B	10,000	43.77	26-Jan	28-Feb	500.00	5.0
WOOSTER CAPITAL	035	FD	S	50,000	44.12	26-Jan	28-Feb	2,500.00	5.0
THIRD COAST CAPITAL	035	FISV	SS	5,000	54.07	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	FL	S	30,000	22.57	n/a	9-Feb	1,200.00	4.0
SASCO	038	FL	B	1,500	22.61	n/a	9-Feb	75.00	5.0
PATTEN & PATTEN	067	FPL	S	200	60.73	n/a	n/a	10.00	5.0
KORMAN	003	FSIN	B	3,000	8.02	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		GCO	S	20,000	40.51	n/a	10-Jan	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	GD	B	200	76.59	n/a	n/a	10.00	5.0
SAILFISH	037	GE	S	35,000	35.58	n/a	n/a	1,750.00	5.0
⌘ BUCK CAPITAL MGMT		GIII	B	2,000	20.27	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT	001	GIL	B	5,000	52.46	n/a	n/a	200.00	4.0
⌘ BUCK CAPITAL MGMT		GIL	B	5,000	52.21	n/a	n/a	non-brg	5.0
LEDDY	035	GIL	S	400	52.19	n/a	n/a	0.00	0.0
GRISANTTI BROWN & PARTNER	048	GLBC	B	2,000	28.32	n/a	n/a	100.00	5.0
⌘ BUCK CAPITAL MGMT		GLBL	B	6,000	14.53	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		GLW	B	20,000	20.74	n/a	16-Feb	non-brg	5.0
SOMERSET ADV	044	GLW	B	28,000	20.50	n/a	16-Feb	1,400.00	5.0
MCCARTAN	028	GLW	S	300	20.78	n/a	16-Feb	0.00	0.0
⌘ BUCK CAPITAL MGMT		GPS	C	120,000	19.30	n/a	27-Feb	non-brg	5.0
⌘ BUCK CAPITAL MGMT		GSF	B	5,000	58.32	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		GSF	B	5,000	59.54	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		GS	B	8,050	201.10	13-Dec	16-Feb	non-brg	5.0
⌘ BUCK CAPITAL MGMT		GTRC	B	50,000	46.19	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		GYMB	S	15,000	38.00	4-Jan	9-Feb	non-brg	5.0
⌘ BUCK CAPITAL MGMT		HAIN	SS	10,000	29.31	n/a	n/a	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		HC	B	10,000	21.95	n/a	15-Feb	non-brg	5.0
PATTEN & PATTEN	067	HMC	S	250	37.75	n/a	n/a	12.50	5.0
⌘ BUCK CAPITAL MGMT		HOS	B	5,000	27.81	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		HP	B	10,000	27.15	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		HP	B	5,000	27.66	n/a	n/a	non-brg	5.0
SAILFISH	037	HSY	SS	10,000	53.20	n/a	n/a	500.00	5.0
PATTEN & PATTEN	067	IAR	S	15	34.15	n/a	n/a	0.75	5.0
CHARTER OAK	037	IDIX	B	25,000	9.77	n/a	n/a	1,250.00	5.0
EFSTATHIOU	044	INTC	B	500	20.39	n/a	n/a	0.00	0.0
SUTERA	160	ISE	B	1,000	45.85	26-Oct	16-Feb	0.00	0.0
REINHART & MAHONEY	031	ISRG	S	4,420	110.27	n/a	n/a	221.00	5.0
HASAN	010	ITCD	S	1,500	2.70	n/a	n/a	0.00	0.0
BARR	096	ITCD	S	2,500	2.76	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	ITT	B	200	60.52	2-Feb	2-Feb	10.00	5.0
PERSHING SQUARE	028	IYR	S	60,500	88.06	n/a	n/a	2,420.00	4.0
⌘ BUCK CAPITAL MGMT		JADE	B	50,000	10.02	n/a	n/a	non-brg	5.0

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KORMAN	003	JADE	B	10,000	10.33	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	JCG	B	10,000	35.87	25-Jan	25-Jan	400.00	4.0
BUCK CAPITAL MGMT		JCG	B	3,000	35.60	25-Jan	25-Jan	non-brg	5.0
COUGAR TRADING	044	JCG	B	30,000	36.52	25-Jan	25-Jan	1,500.00	5.0
MKT MAKER	099	JCG	S	83	35.68	25-Jan	25-Jan	0.00	0.0
J L F ASSET MGMT	039	JCP	SS	42,100	81.67	23-Feb	23-Feb	1,684.00	4.0
SANDLER O'NEILL ASSET	031	JNC	B	25,000	50.05	n/a	28-Feb	1,250.00	5.0
COUGAR TRADING	044	JWN	B	10,000	53.34	27-Feb	27-Feb	500.00	5.0
BUCK CAPITAL MGMT		KBLHW	B	150,000	0.87	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		KBLH	B	250,000	5.65	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		KCP	S	10,000	23.56	n/a	28-Feb	non-brg	5.0
BUCK CAPITAL MGMT		KEGS	B	35,000	16.70	n/a	22-Feb	non-brg	5.0
SAILFISH	037	KSS	SS	25,100	70.37	27-Dec	27-Feb	1,255.00	5.0
BUCK CAPITAL MGMT		LAVA	B	20,000	10.48	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT		LEH	B	20,000	74.65	6-Dec	16-Feb	non-brg	5.0
BUCK CAPITAL MGMT	001	LIZ	SS	10,000	45.08	n/a	21-Feb	400.00	4.0
PATTEN & PATTEN	067	LOW	B	400	33.32	n/a	26-Feb	20.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
XYLEM GLOBAL	091	LPX	B	50,000	20.51	n/a	7-Feb	2,500.00	5.0
B BUCK CAPITAL MGMT		LTD	S	10,000	27.68	5-Jan	26-Feb	non-brg	5.0
CHARTER OAK	037	LTM	B	20,000	48.66	n/a	n/a	1,000.00	5.0
ROBX	302	LWSN	B	56,300	7.97	n/a	n/a	1,970.50	3.5
PATTEN & PATTEN	067	MAA	S	200	57.08	n/a	n/a	10.00	5.0
PATTEN & PATTEN	067	MAV	B	500	15.54	n/a	n/a	25.00	5.0
PATTEN & PATTEN	067	MHI	B	500	14.96	n/a	n/a	25.00	5.0
GAULT	063	MLI	S	500	30.00	6-Feb	6-Feb	0.00	0.0
MORGAN LEWIS/MLH	046	MMM	S	14,000	75.67	n/a	13-Feb	700.00	5.0
SONAR CAP MGMT	037	MOT	SS	75,000	18.89	n/a	n/a	3,750.00	5.0
MORGAN LEWIS/MLH	046	MO	S	14,000	85.00	n/a	n/a	700.00	5.0
TROUBH PART	067	MSFT	B	50,000	28.50	n/a	3-Apr	2,500.00	5.0
BARR	096	MTIC	S	8,448	0.83	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT	001	NDN	S	20,000	14.90	16-Jan	23-Feb	800.00	4.0
B BUCK CAPITAL MGMT		NDN	S	1,100	14.81	16-Jan	23-Feb	non-brg	1.0
B BUCK CAPITAL MGMT		NEXC	B	10,000	10.52	n/a	n/a	non-brg	5.0

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BUCK CAPITAL MGMT	001	NLS	B	5,600	17.26	n/a	n/a	224.00	4.0
J L F ASSET MGMT	039	NLS	S	47,100	17.60	n/a	n/a	1,884.00	4.0
KERN	050	NLS	B	500	17.97	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	NSC	S	200	48.83	n/a	n/a	10.00	5.0
⌘ BUCK CAPITAL MGMT		NTRI	S	10,000	44.56	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		NWY	S	30,000	14.96	1-Dec	16-Feb	non-brg	5.0
⌘ BUCK CAPITAL MGMT		OEF	SS	30,000	65.62	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		OIH	SS	1,700	136.22	n/a	n/a	non-brg	2.0
PATTEN & PATTEN	067	OXY	B	400	47.24	n/a	n/a	20.00	5.0
PATTEN & PATTEN	067	PGJ	B	500	20.33	n/a	n/a	25.00	5.0
PATTEN & PATTEN	067	PG	B	200	63.84	15-Dec	31-Jan	10.00	5.0
PATTEN & PATTEN	067	PHO	B	1,000	18.98	n/a	n/a	50.00	5.0
⌘ BUCK CAPITAL MGMT		PLCE	S	25,000	54.60	n/a	9-Feb	non-brg	5.0
PATTEN & PATTEN	067	PLD	S	200	67.40	n/a	n/a	10.00	5.0
BRUNNER	012	PNCL	B	2,000	18.89	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		PSS	C	40,000	32.50	n/a	n/a	non-brg	5.0

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COUGAR TRADING	044	PSUN	B	5,000	18.54	n/a	21-Feb	250.00	5.0
PATTEN & PATTEN	067	RF	S	892	36.36	n/a	n/a	44.60	5.0
TRIBECA/DOUG	040	RF	SS	10,000	36.13	n/a	n/a	400.00	4.0
⌘ BUCK CAPITAL MGMT		RIG	B	5,000	76.65	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		RIG	B	5,000	77.88	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT	001	RL	B	10,000	84.36	2-Feb	16-Feb	400.00	4.0
⌘ BUCK CAPITAL MGMT		RL	C	10,000	84.41	2-Feb	16-Feb	non-brg	5.0
⌘ BUCK CAPITAL MGMT		RL	S	15,000	83.89	2-Feb	16-Feb	non-brg	5.0
⌘ BUCK CAPITAL MGMT		RSH	SS	20,000	25.52	n/a	n/a	non-brg	5.0
WEISS PECK	040	RSH	SS	9,500	25.86	n/a	n/a	475.00	5.0
BINDER	007	RSH	S	450	24.97	n/a	n/a	0.00	0.0
WHALE ROCK CAP	030	RTH	SS	48,000	103.02	n/a	n/a	1,920.00	4.0
DENVER INST. ADV	046	SCRX	B	50,000	22.87	20-Dec	27-Feb	2,500.00	5.0
KENNEDY CAPITAL	046	SCRX	S	3,800	23.38	20-Dec	27-Feb	152.00	4.0
MKT MAKER	099	SCRX	S	71	23.38	20-Dec	27-Feb	2.84	4.0
⌘ BUCK CAPITAL MGMT		SDXC	B	20,000	19.00	n/a	n/a	non-brg	5.0
PLATTE RIVER CAPITAL	035	SE	B	1,200	25.50	n/a	n/a	48.00	4.0
BUCK	015	SFBPI	S	15	1.10	n/a	n/a	0.00	0.0
KAICHER	064	SNCR	B	2,000	17.66	n/a	n/a	0.00	0.0

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IRIDIAN ASSET MGMT.	036	SSCC	B	59,200	12.40	26-Oct	25-Jan	2,960.00	5.0
BUCK CAPITAL MGMT	001	SSI	B	600	21.53	26-Feb	26-Feb	24.00	4.0
⌘ BUCK CAPITAL MGMT		SSI	B	19,400	21.67	26-Feb	26-Feb	non-brg	5.0
TRELLUS PARTNERS LP	028	SSI	B	400	21.50	26-Feb	26-Feb	20.00	5.0
ARIENCE CAPITAL	036	STX	B	19,710	27.00	n/a	n/a	985.50	5.0
⌘ BUCK CAPITAL MGMT		SWN	B	10,000	39.09	n/a	22-Jan	non-brg	5.0
⌘ BUCK CAPITAL MGMT		TEVA	B	15,000	35.72	13-Feb	27-Feb	non-brg	1.0
PRIME CAPITAL	048	TGT	B	49,800	60.17	n/a	28-Feb	2,490.00	5.0
⌘ BUCK CAPITAL MGMT		THI	S	251,000	30.38	12-Dec	7-Feb	non-brg	5.0
⌘ BUCK CAPITAL MGMT		THI	S	35,000	30.49	12-Dec	7-Feb	non-brg	2.0
GAULT	063	THLD	B	10,000	1.50	n/a	n/a	0.00	0.0
GAULT	063	THLD	S	10,000	1.52	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		TRID	SS	10,000	22.36	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		TRI	S	198,500	49.18	22-Jan	6-Feb	non-brg	5.0
⌘ BUCK CAPITAL MGMT		TRLG	S	15,000	17.06	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		TWB	S	20,000	36.84	22-Feb	22-Feb	non-brg	5.0
GAULT	063	TWB	S	500	37.11	22-Feb	22-Feb	0.00	0.0
WHITTIER CAP	048	TWTR	B	2,300	1.42	n/a	n/a	69.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MKT MAKER	099	TWTR	B	22	1.42	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	TXN	S	400	31.29	n/a	n/a	20.00	5.0
SAILFISH	037	T	SS	30,000	37.62	26-Jan	12-Feb	1,500.00	5.0
PATTEN & PATTEN	067	UNM	S	1,000	21.40	n/a	n/a	50.00	5.0
B BUCK CAPITAL MGMT		URBN	S	50,000	24.71	7-Dec	9-Feb	non-brg	5.0
ACT II PARTNERS	067	VG	SS	128,800	5.38	15-Feb	15-Feb	5,152.00	4.0
B BUCK CAPITAL MGMT		VLCM	SS	10,000	36.85	n/a	n/a	non-brg	5.0
PATTEN & PATTEN	067	VLO	B	300	58.81	n/a	n/a	15.00	5.0
HASAN	010	VSL	B	2,000	17.14	n/a	n/a	0.00	0.0
MCCARTAN	028	VSL	B	400	16.97	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	VZ	S	300	37.86	22-Dec	28-Feb	15.00	5.0
LUCHANSKY	036	WCI	S	90	21.22	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	WFC	S	600	35.29	n/a	n/a	30.00	5.0
BALYASNY ASSET MGMT	044	WL	B	40,000	43.13	n/a	n/a	2,000.00	5.0
B BUCK CAPITAL MGMT		WMT	C	80,000	49.48	n/a	21-Feb	non-brg	5.0
PZENA INV ADV	044	WMT	B	43,525	48.38	n/a	21-Feb	1,741.00	4.0
B BUCK CAPITAL MGMT		WRNC	S	30,000	25.86	18-Jan	27-Feb	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		WTSLA	B	10,000	6.08	n/a	n/a	non-brg	1.0
XYLEM GLOBAL	091	WY	S	50,000	84.61	15-Dec	9-Feb	2,500.00	5.0
BUCK CAPITAL MGMT		XLF	SS	6,300	35.77	n/a	n/a	non-brg	2.0
WHALE ROCK CAP	030	YHOO	S	75,000	30.92	n/a	n/a	3,000.00	4.0
BUCK CAPITAL MGMT		YUM	C	20,000	58.51	12-Dec	13-Feb	non-brg	5.0
MAGUIRE	039	YUM	SS	100	58.55	12-Dec	13-Feb	0.00	0.0
BUCK CAPITAL MGMT	001	ZQK	S	20,000	13.93	9-Feb	16-Feb	800.00	4.0
TOTAL (Trade Date):							129,644.70		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	02/26	SUN AMERICA ASSET MGMT	030	CB	S	24,200	52.85	n/a	n/a	1210.00 5.0
AO,CXL	02/23	MKT MAKER	099	JNPR	B	92	19.73	n/a	22-Mar	0.00 0.0
AO,CRT	02/23	MKT MAKER	099	JNPR	B	92	19.60	n/a	22-Mar	0.00 0.0
AO,	02/23	MKT MAKER	099	JNPR	S	92	19.73	n/a	22-Mar	0.00 0.0
AO,CXL	02/21	PLATTE RIVER CAPITAL	035	MRK	B	1,500	44.00	n/a	n/a	60.00 4.0
AO,CRT	02/21	PLATTE RIVER CAPITAL	035	MRK	B	1,500	44.00	n/a	n/a	60.00 4.0

TOTAL (AO, CXL, CRT) :	1,210.00
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TOTAL (Trade Date) :	129,644.70
TOTAL (AO, CXL, CRT) :	1,210.00

TOTAL (RUN DATE) / NFS:	130,854.70
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MRI Securities with Trade Activity on 27-Feb. APC, JWN

MRI Securities without Trade Activity on 27-Feb. NONE
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BRG comm. as a % of BCM Total Comm. paid.

T-Date = 5%

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