



Daily Compliance Activity Report

Trade Date: 01/18/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 2

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		AAPL	B	10,000	163.35	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	067	AAPL	B	200	163.97	n/a	n/a	10.00	5.0
B BUCK CAPITAL MGMT		ABG	S	9,000	12.63	31-Oct	15-Jan	non-brg	4.0
PATTEN & PATTEN	067	ABX	B	1,000	47.44	n/a	n/a	50.00	5.0
BALYASNY ASSET MGMT	044	AB	B	25,000	59.47	11-Jan	15-Jan	1,250.00	5.0
CENTURION GLOBAL MGMT LL	041	ADBE	B	24,800	35.22	n/a	n/a	744.00	3.0
PATTEN & PATTEN	067	ADBE	B	700	35.35	n/a	n/a	35.00	5.0
GALLEON MGMT LP	033	ADM	B	10,000	40.02	2-Jan	2-Jan	500.00	5.0
B BUCK CAPITAL MGMT		AEO	S	12,050	20.13	11-Jan	11-Jan	non-brg	4.0
CENTURION GLOBAL MGMT LL	041	AEO	B	62,400	19.64	11-Jan	11-Jan	1,872.00	3.0
CENTURION GLOBAL MGMT LL	041	AEO	S	63,600	19.72	11-Jan	11-Jan	1,908.00	3.0
SARAS CAPITAL	038	AEO	B	55,000	19.61	11-Jan	11-Jan	2,750.00	5.0
LUCHANSKY2	036	AIZ	S	200	63.71	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		AMG	S	3,725	89.04	9-Jan	17-Jan	non-brg	4.0
DALTON GREINER	012	AMG	B	19,400	89.44	9-Jan	17-Jan	970.00	5.0
B BUCK CAPITAL MGMT		AMT	S	7,868	38.60	n/a	n/a	non-brg	4.0
ARIENCE CAPITAL	036	ANF	SS	9,000	71.37	10-Jan	11-Jan	450.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		ANF	S	7,200	72.39	10-Jan	11-Jan	non-brg	4.0
CENTURION GLOBAL MGMT LL	041	ANF	B	7,200	72.48	10-Jan	11-Jan	216.00	3.0
CENTURION GLOBAL MGMT LL	041	ANF	S	7,200	71.51	10-Jan	11-Jan	216.00	3.0
COUGAR TRADING	044	ANF	B	10,000	70.99	10-Jan	11-Jan	500.00	5.0
COUGAR TRADING	044	ANF	SS	10,000	71.96	10-Jan	11-Jan	500.00	5.0
BUCK CAPITAL MGMT		APC	S	4,700	56.38	14-Jan	14-Jan	non-brg	4.0
BUCK CAPITAL MGMT		ARO	B	10,000	22.30	29-Nov	11-Jan	non-brg	4.0
CENTURION GLOBAL MGMT LL	041	ATVI	B	12,800	27.21	n/a	n/a	384.00	3.0
CENTURION GLOBAL MGMT LL	041	ATVI	S	21,000	26.66	n/a	n/a	630.00	3.0
PATTEN & PATTEN	067	AU	S	1,000	43.99	n/a	n/a	50.00	5.0
BUCK CAPITAL MGMT		AVCI	C	15,000	6.50	n/a	n/a	non-brg	4.0
CENTURION GLOBAL MGMT LL	041	AXP	B	15,700	43.00	n/a	n/a	471.00	3.0
BALYASNY ASSET MGMT	044	BEN	B	10,000	89.31	25-Sep	15-Jan	500.00	5.0
BUCK CAPITAL MGMT		BHI	S	1,200	69.62	n/a	n/a	non-brg	4.0
KERN	050	BHI	S	250	69.41	n/a	n/a	0.00	0.0
CENTURION GLOBAL MGMT LL	041	BIDU	B	1,800	263.40	n/a	n/a	54.00	3.0
BUCK CAPITAL MGMT		BIG	C	30,000	14.83	7-Jan	11-Jan	non-brg	4.0
JP MORGAN VENTURES	046	BLK	SS	40,000	202.01	21-Nov	17-Jan	2,000.00	5.0
BUCK CAPITAL MGMT		BONT	S	12,600	5.46	4-Jan	11-Jan	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KAICHER	064	BONT	S	1,000	5.40	4-Jan	11-Jan	0.00	0.0
PATTEN & PATTEN	067	BRKB	B	54,419.95		n/a	n/a	0.25	5.0
B BUCK CAPITAL MGMT		BRL	S	5,450	55.64	8-Aug	17-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		BRNC	S	21,150	13.21	n/a	n/a	non-brg	4.0
NATIONAL BK OF CAN	031	BSC	S	10,000	74.17	21-Dec	14-Jan	400.00	4.0
BARR	096	CAMD	S	3,000	3.89	n/a	n/a	0.00	0.0
OPTIMUM INV ADV	030	CBI	S	7,400	46.34	n/a	n/a	296.00	4.0
WHEELER	008	CCC	S	4,000	15.03	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		CCI	S	9,150	35.73	n/a	n/a	non-brg	4.0
SIGMA CAPITAL ASSOCIATES	237	CEC	B	10,000	20.45	n/a	n/a	500.00	5.0
WHEELER	008	CHP	S	10,000	5.43	n/a	n/a	0.00	0.0
CENTURION GLOBAL MGMT LL	041	CIEN	B	19,419	26.71	n/a	22-Mar	582.57	3.0
COUGAR TRADING	044	CLMS	B	2,500	21.75	15-Jan	15-Jan	125.00	5.0
B BUCK CAPITAL MGMT		CMG	C	10,000	121.32	n/a	24-Apr	non-brg	4.0
BULL PATH CAPITAL	044	CNC	SS	12,500	27.00	n/a	n/a	625.00	5.0
BARR	096	COF	SS	1,000	41.32	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OPTIMUM INV ADV	030	COGN	S	10,000	57.56	n/a	n/a	400.00	4.0
PATTEN & PATTEN	067	CSD	S	550	23.13	n/a	n/a	27.50	5.0
SCOPUS FUND	041	CTB	S	40,142	15.17	n/a	n/a	2,007.10	5.0
CENTURION GLOBAL MGMT LL	041	CTRP	B	17,900	48.24	n/a	n/a	537.00	3.0
CENTURION GLOBAL MGMT LL	041	CTRP	S	8,000	47.74	n/a	n/a	240.00	3.0
CENTURION GLOBAL MGMT LL	041	CTXS	B	10,000	34.14	n/a	n/a	300.00	3.0
CIBC ADV.	060	C	SS	50,000	24.65	16-Jan	16-Jan	2,000.00	4.0
BUCK	015	DD	B	1,000	42.95	n/a	9-Jan	0.00	0.0
B BUCK CAPITAL MGMT		DGX	C	10,000	52.07	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DHI	S	5,150	12.11	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DLTR	C	30,000	23.82	9-Nov	11-Jan	non-brg	4.0
CENTURION GLOBAL MGMT LL	041	DRIV	B	5,100	35.16	n/a	n/a	153.00	3.0
ROSENBERG	034	DUG	B	100	45.84	n/a	n/a	0.00	0.0
GAULT	063	DUG	B	200	45.83	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		DVN	S	2,500	81.68	14-Jan	14-Jan	non-brg	4.0
CENTURION GLOBAL MGMT LL	041	ERTS	S	6,800	50.62	n/a	n/a	204.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		ESV	S	2,900	49.86	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	067	EWG	S	1,000	32.89	n/a	n/a	50.00	5.0
PATTEN & PATTEN	067	EWZ	B	500	71.75	n/a	n/a	25.00	5.0
⌘ BUCK CAPITAL MGMT		EXH	S	10,183	68.34	n/a	28-Nov	non-brg	4.0
PILOT ADV	038	FAST	B	7,000	33.81	n/a	n/a	280.00	4.0
⌘ BUCK CAPITAL MGMT		FDO	C	50,000	18.15	8-Jan	11-Jan	non-brg	4.0
LEDDY	035	FIG	B	1,200	11.62	n/a	n/a	0.00	0.0
KEEFE BRUYETTE WOODS A	031	FII	SS	18,000	40.66	n/a	17-Jan	900.00	5.0
CENTURION GLOBAL MGMT LL	041	FMCN	B	10,850	46.91	n/a	n/a	325.50	3.0
LUCHANSKY2	036	FNM	S	100	32.11	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		FOR	S	4,366	20.33	n/a	n/a	non-brg	4.0
IRONBOUND CAPITAL	012	FOR	B	21,533	19.58	n/a	n/a	861.32	4.0
⌘ BUCK CAPITAL MGMT		FOSL	B	120,000	31.39	13-Nov	18-Jan	non-brg	4.0
⌘ BUCK CAPITAL MGMT		FRX	S	7,550	41.00	n/a	17-Jan	non-brg	4.0
BARR	096	FXP	B	1,600	88.75	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GES	B	10,000	34.03	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		GES	S	9,600	33.74	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GFG	S	1,716	12.05	n/a	n/a	non-brg	4.0
N STRATTON	014	GF	S	99	14.87	n/a	n/a	0.00	0.0
WHEELER	008	GHM	S	1,750	38.04	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		GIL	B	20,000	33.98	5-Nov	11-Dec	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GIL	S	12,600	34.21	5-Nov	11-Dec	non-brg	4.0
SARAS CAPITAL	038	GIL	B	25,000	33.89	5-Nov	11-Dec	1,250.00	5.0
⌘ BUCK CAPITAL MGMT		GLW	S	18,800	22.52	n/a	26-Dec	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GM	SS	50,000	23.24	3-Jan	18-Jan	non-brg	4.0
LEVIN CAPITAL STRATEGIES	012	GM	C	7,700	23.03	3-Jan	18-Jan	308.00	4.0
TRELLUS PARTNERS LP	028	GM	SS	50,000	23.51	3-Jan	18-Jan	2,500.00	5.0
BALYASNY ASSET MGMT	044	GNTX	B	20,000	15.01	n/a	17-Jan	1,000.00	5.0
NATIONAL BK OF CAN	031	GS	S	5,000	191.79	21-Sep	14-Jan	200.00	4.0
⌘ BUCK CAPITAL MGMT		GYMB	S	1,550	32.75	10-Aug	11-Jan	non-brg	4.0
BUCK CAPITAL MGMT	001	HBI	B	30,000	22.63	n/a	n/a	1,200.00	4.0
MERRILL LYNCH STRATEGICI	034	HD	SS	25,000	27.15	27-Jul	27-Jul	1,000.00	4.0
CENTURION GLOBAL MGMT LL	041	HPQ	B	19,900	43.97	n/a	n/a	597.00	3.0
CENTURION GLOBAL MGMT LL	041	HPQ	S	19,800	43.88	n/a	n/a	594.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CASTLE ARK	031	ICE	B	43,090	136.73	n/a	n/a	2,585.40	6.0
OPTIMUM INV ADV	030	IDC	S	10,000	29.11	n/a	n/a	400.00	4.0
LUCHANSKY1	036	IGT	S	1,000	38.15	n/a	18-Jan	0.00	0.0
⌘ BUCK CAPITAL MGMT		IJR	C	11,350	57.50	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		IJS	C	11,150	61.29	n/a	n/a	non-brg	2.0
MKT MAKER	099	INTC	B	100	19.00	n/a	n/a	0.00	0.0
BARR	096	IOM	S	5,000	2.54	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	ITT	B	300	57.20	n/a	13-Nov	15.00	5.0
BALYASNY ASSET MGMT	044	IVZ	B	25,000	24.49	20-Dec	17-Jan	1,250.00	5.0
⌘ BUCK CAPITAL MGMT		IVZ	S	37,300	24.82	20-Dec	17-Jan	non-brg	4.0
⌘ BUCK CAPITAL MGMT		IWM	C	10,950	66.50	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		IWO	C	10,300	72.85	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		JAH	B	10,000	20.91	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	JCG	B	10,000	39.94	28-Nov	18-Jan	400.00	4.0
SUFFOLK CAPITAL MGMT	040	JCP	B	100,000	40.40	4-Jan	11-Jan	4,000.00	4.0
APEX CAPITAL MGMT.	091	JNY	B	228,000	13.33	n/a	1-Nov	11,400.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		KEG	S	27,950	12.30	29-Oct	14-Jan	non-brg	4.0
BALYASNY ASSET MGMT	044	KSS	SS	50,000	40.01	4-Jan	11-Jan	2,500.00	5.0
COUGAR TRADING	044	KSS	SS	5,000	39.44	4-Jan	11-Jan	250.00	5.0
⌘ BUCK CAPITAL MGMT		KV/A	S	3,700	27.51	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		LAMR	S	6,750	43.61	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		LBTYA	S	4,532	39.90	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		LBTYK	S	5,916	36.59	n/a	n/a	non-brg	4.0
SOMERSET ADV	044	LCRD	B	40,000	12.27	n/a	n/a	1,600.00	4.0
⌘ BUCK CAPITAL MGMT		LEH	S	3,350	54.84	n/a	14-Jan	non-brg	4.0
BUCK	015	LEH	C	1,000	54.93	n/a	14-Jan	0.00	0.0
⌘ BUCK CAPITAL MGMT		LM	S	6,000	69.51	17-Dec	15-Jan	non-brg	4.0
CENTURION GLOBAL MGMT LL	041	LM	B	2,500	69.28	17-Dec	15-Jan	75.00	3.0
COBALT	041	LM	SS	50,000	69.04	17-Dec	15-Jan	2,500.00	5.0
WILLIAM BLAIR	031	LNC	S	30,000	48.61	n/a	n/a	1,200.00	4.0
PATTEN & PATTEN	067	LOW	S	400	21.98	27-Jul	27-Jul	20.00	5.0
BARR	096	MAG	S	5,000	3.46	n/a	n/a	0.00	0.0
OPTIMUM INV ADV	030	MAN	B	11,000	49.22	n/a	n/a	440.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		MCO	SS	30,000	33.52	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		MDC	S	50	35.91	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		MDTL	SS	25,000	9.32	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		MDY	C	3,050	136.39	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		MER	S	5,050	50.85	18-Jan	18-Jan	non-brg	4.0
LOCUS WOOD CAPITAL MGMT	044	MER	S	25,000	50.03	18-Jan	18-Jan	1,000.00	4.0
STRONG/WELL HOWARD	038	MER	B	50,000	50.00	18-Jan	18-Jan	0.00	0.0
GAULT	063	MER	S	500	50.37	18-Jan	18-Jan	0.00	0.0
LISTED ERR	099	MER	S	50,000	50.01	18-Jan	18-Jan	0.00	0.0
KERN	050	MHGC	S	750	13.29	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	MIC	S	1,500	33.31	n/a	n/a	75.00	5.0
ß BUCK CAPITAL MGMT		MIPS	S	20,050	3.62	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		MIR	S	11,988	34.88	n/a	n/a	non-brg	4.0
Õ Ted Wheeler		MLI	B	100	90.75	9-Oct	23-Oct	0.00	0.0
BUCK	015	MON	SS	500	104.47	n/a	14-Jan	0.00	0.0
ß BUCK CAPITAL MGMT		MSM	S	5,250	36.06	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		MS	S	3,200	46.06	20-Dec	14-Jan	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
UBS OCONNOR	031	MS	B	120,000	44.78	20-Dec	14-Jan	3,600.00	3.0
WHEELER	008	MTRX	S	3,000	19.38	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		M	S	22,300	23.23	4-Jan	11-Jan	non-brg	4.0
PILOT ADV	038	NLC	B	19,000	19.89	n/a	n/a	760.00	4.0
CENTURION GLOBAL MGMT LL	041	NSM	B	25,100	19.29	n/a	n/a	753.00	3.0
PATTEN & PATTEN	067	NUAN	S	400	14.78	n/a	n/a	20.00	5.0
⚡ BUCK CAPITAL MGMT		OIH	C	3,400	159.39	n/a	n/a	non-brg	2.0
CAXTON PART	040	OMC	B	59,983	42.71	n/a	n/a	2,099.42	3.5
BUCK	015	ONXX	B	700	50.53	n/a	n/a	0.00	0.0
CENTURION GLOBAL MGMT LL	041	OSK	B	4,000	40.50	n/a	n/a	120.00	3.0
PATTEN & PATTEN	067	OXY	S	500	69.33	n/a	n/a	25.00	5.0
⚡ BUCK CAPITAL MGMT		PAG	S	6,400	14.69	n/a	17-Jan	non-brg	4.0
MCCARTAN	028	PAG	B	300	14.71	n/a	17-Jan	0.00	0.0
⚡ BUCK CAPITAL MGMT		PDE	S	2,700	31.16	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		PERY	B	10,000	14.62	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	067	PHO	S	825	18.44	n/a	n/a	41.25	5.0

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BUCK CAPITAL MGMT		PLCE	S	7,950	16.59	10-Jan	11-Jan	non-brg	4.0
TRELLUS PARTNERS LP	028	PLCE	S	121,894	15.63	10-Jan	11-Jan	6,094.70	5.0
TURETSKY	038	PNBK	B	3,000	14.64	n/a	n/a	0.00	0.0
MKT MAKER	099	PSUN	B	100	9.00	n/a	11-Jan	0.00	0.0
MKT MAKER	099	PSUN	S	300	9.17	n/a	11-Jan	0.00	0.0
BUCK CAPITAL MGMT		PVH	S	10,850	35.05	16-Jan	16-Jan	non-brg	4.0
LEDY	035	PVH	S	500	35.43	16-Jan	16-Jan	0.00	0.0
SUNOVA CAPITAL	031	PZN	SS	20,000	9.47	11-Jan	15-Jan	1,000.00	5.0
BUCK CAPITAL MGMT		RCL	S	2,300	33.13	23-Oct	23-Oct	non-brg	4.0
BUCK CAPITAL MGMT		RL	S	6,250	53.27	14-Jan	14-Jan	non-brg	4.0
BUCK CAPITAL MGMT		RTH	C	5,800	87.34	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		RYL	S	2,850	25.92	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		SBAC	S	8,000	26.88	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		SDXC	S	8,650	11.32	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	067	SE	S	2,000	24.68	n/a	n/a	100.00	5.0
CENTURION GLOBAL MGMT LL	041	SGP	B	7,800	22.27	n/a	n/a	234.00	3.0
BUCK CAPITAL MGMT		SHPGY	S	7,950	63.30	2-Nov	17-Jan	non-brg	4.0

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CENTURION GLOBAL MGMT LL	041	SINA	B	18,500	38.71	n/a	n/a	555.00	3.0
CENTURION GLOBAL MGMT LL	041	SINA	S	18,500	37.97	n/a	n/a	555.00	3.0
STADIA CAPITAL	035	SKS	S	50,000	15.62	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	SKX	B	150,000	17.12	n/a	13-Mar	6,000.00	4.0
LEDDY	035	SLB	B	200	77.39	n/a	n/a	0.00	0.0
LEDDY	035	SNEN	S	4,000	3.80	n/a	n/a	0.00	0.0
BUCK	015	STI	C	1,000	59.31	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SWN	S	6,550	51.11	14-Jan	14-Jan	non-brg	4.0
COLUMBIA PARTNERS	028	SWN	SS	11,585	50.19	14-Jan	14-Jan	463.40	4.0
ß BUCK CAPITAL MGMT		SYNP	S	10,000	5.56	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		SYNP	S	16,800	5.60	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SYNP	S	40,000	5.57	n/a	n/a	non-brg	4.0
GRUSS CAPITAL	045	TAST	B	5,000	7.75	n/a	n/a	200.00	4.0
J.W. SELIGMAN	041	TGT	S	388,500	50.10	27-Jul	27-Jul	15,540.00	4.0
ß BUCK CAPITAL MGMT		TIN	S	7,650	17.42	8-Jan	8-Jan	non-brg	4.0
ß BUCK CAPITAL MGMT		TOL	S	3,050	17.50	n/a	n/a	non-brg	4.0
RAMIUS CAP	040	TROW	SS	46,800	47.02	9-Jan	15-Jan	2,340.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LUCHANSKY1	036	TROW	S	216	47.66	9-Jan	15-Jan	0.00	0.0
⌘ BUCK CAPITAL MGMT		TWB	S	5,400	28.62	9-Jan	9-Jan	non-brg	4.0
⌘ BUCK CAPITAL MGMT		TWTC	S	24,000	18.49	9-Nov	4-Jan	non-brg	4.0
⌘ BUCK CAPITAL MGMT		T	SS	53,200	37.49	21-Sep	4-Jan	non-brg	4.0
BENCHMARK	028	UA	B	7,500	30.09	n/a	n/a	375.00	5.0
BUCK CAPITAL MGMT	001	UA	B	10,000	27.46	n/a	n/a	400.00	4.0
ENTRUST CAPITAL	040	UA	SS	55,000	29.69	n/a	n/a	2,750.00	5.0
⌘ BUCK CAPITAL MGMT		URBN	B	50,000	23.85	3-Jan	18-Jan	non-brg	1.0
⌘ BUCK CAPITAL MGMT		URBN	S	19,000	25.10	3-Jan	18-Jan	non-brg	4.0
CATAPULT	040	USB	SS	5,000	30.75	n/a	n/a	250.00	5.0
⌘ BUCK CAPITAL MGMT		VC	S	23,600	3.56	n/a	18-Jan	non-brg	3.0
CENTURION GLOBAL MGMT LL	041	VMW	B	5,544	79.25	n/a	n/a	166.32	3.0
CENTURION GLOBAL MGMT LL	041	VMW	S	6,300	81.25	n/a	n/a	189.00	3.0
MERRILL ASSET	032	VQ	S	8,900	16.15	n/a	n/a	400.50	4.5
⌘ BUCK CAPITAL MGMT		VZ	SS	30,100	40.44	21-Sep	4-Jan	non-brg	4.0
⌘ BUCK CAPITAL MGMT		WBC	S	4,879	43.53	n/a	12-Dec	non-brg	4.0
CENTURION GLOBAL MGMT LL	041	WDC	B	36,473	23.71	n/a	n/a	1,094.19	3.0
ACK ASSET	028	WDR	SS	5,000	30.42	21-Nov	15-Jan	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRINCIPLE CAPITAL	040	WDR	SS	50,000	29.84	21-Nov	15-Jan	1,500.00	3.0
SCOPUS FUND	041	WDR	SS	45,000	29.75	21-Nov	15-Jan	2,250.00	5.0
TRELLUS PARTNERS LP	028	WDR	SS	30,000	30.29	21-Nov	15-Jan	1,500.00	5.0
EMP ERROR	099	WDR	C	700	30.26	21-Nov	15-Jan	0.00	0.0
EMP ERROR	099	WDR	SS	700	31.22	21-Nov	15-Jan	0.00	0.0
ROTHSCHILD ASSET	040	WGL	B	40,180	32.58	n/a	n/a	1,808.10	4.5
J L F ASSET MGMT	039	WMT	B	15,500	47.58	20-Nov	11-Jan	620.00	4.0
B BUCK CAPITAL MGMT		WRNC	S	5,500	33.06	14-Jan	14-Jan	non-brg	4.0
COUGAR TRADING	044	WRNC	S	10,000	32.42	14-Jan	14-Jan	500.00	5.0
LEDDY	035	WRNC	B	500	32.52	14-Jan	14-Jan	0.00	0.0
B BUCK CAPITAL MGMT		WSO	S	5,450	31.96	n/a	n/a	non-brg	4.0
BUCK	015	WYE	SS	800	44.35	n/a	31-Mar	0.00	0.0
B BUCK CAPITAL MGMT		XLF	C	23,900	25.10	n/a	n/a	non-brg	2.0
HART	056	XOHO	S	500	2.00	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	ZQK	B	200,000	7.38	n/a	16-Jan	8,000.00	4.0
B BUCK CAPITAL MGMT		ZQK	S	8,300	7.39	n/a	16-Jan	non-brg	4.0
TOTAL (Trade Date):							129,962.52		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	01/17	KORMAN	003	ABK	B	1,000	22.50	n/a	n/a	0.00	0.0
AO,CRT	01/11	CHARTER OAK	033	AN	B	75,000	13.13	n/a	15-Jan	3750.00	5.0
AO,CXL	01/11	CHARTER OAK	033	AN	B	75,000	13.13	n/a	15-Jan	3750.00	5.0
AO,	01/17	JENNISON	032	S	B	600,000	11.79	n/a	n/a	24000.00	4.0
AO,CXL	01/17	MATTHES CAPITAL MGMT	033	S	B	51,100	11.79	n/a	n/a	2044.00	4.0

TOTAL (AO, CXL, CRT) :	21,956.00
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TOTAL (Trade Date) :	129,962.52
TOTAL (AO, CXL, CRT) :	21,956.00

TOTAL (RUN DATE) / NFS :	151,918.52
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MRI Securities with Trade Activity on 18-Jan.

MER

MRI Securities without Trade Activity on 18-Jan.
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NONE

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

T-Date = 27%

YTD = 30%

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