



Daily Compliance Activity Report

Trade Date: 02/11/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------------|------------|-------------|----------|----------------|--------------|------------|---------------|----------------|------------|
| BNP PARIBAS SEC | 040 | AKS | B | 20,000 | 15.92 | n/a | n/a | 1,000.00 | 5.0 |
| CASTLEROCK | 040 | AKS | SS | 59,404 | 15.42 | n/a | n/a | 2,376.16 | 4.0 |
| f CICILY S BACKUS | FID | ALN | S | 7000 | 2.81 | n/a | n/a | 0.00 | 0.0 |
| f ROBERT M DANIELS | FID | ALU | S | 3014 | 4.43 | n/a | n/a | 0.00 | 0.0 |
| RIDGECREST INV MGMT LLC | 028 | ARM | B | 5,000 | 19.60 | n/a | n/a | 250.00 | 5.0 |
| B BUCK CAPITAL MGMT | | ARO | B | 20,000 | 25.76 | n/a | 4-Feb | non-brg | 4.0 |
| f CHRISTOPHER ROBERT C | FID | AVP | B | 200 | 29.25 | n/a | 8-Feb | 0.00 | 0.0 |
| f KEVIN MICHAEL O'GORM | FID | AXL | B | 2000 | 14.72 | n/a | 9-Feb | 0.00 | 0.0 |
| f KAREN F LEDDY | FID | AXP | B | 300 | 46.45 | n/a | 10-Feb | 0.00 | 0.0 |
| f MANNY I KORMAN | FID | AXP | B | 2000 | 46.37 | n/a | 10-Feb | 0.00 | 0.0 |
| MERRILL ASSET/BLACKROCK | 266 | BAC | B | 259,800 | 14.76 | n/a | 11-Feb | 10,392.00 | 4.0 |
| B BUCK CAPITAL MGMT | | BODY | B | 175,000 | 16.50 | n/a | n/a | non-brg | 0.0 |
| GLOBAL 56 LLC | 060 | BONT | S | 2,000 | 14.45 | n/a | n/a | 100.00 | 5.0 |
| f DAVID GEORGE BUCK | FID | CAH | B | 1500 | 41.49 | n/a | n/a | 0.00 | 0.0 |
| EPOCH INV MGMT | 030 | CAM | S | 350 | 56.55 | n/a | n/a | 10.50 | 3.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---------------------------------|------------|-------------|-----------|---------------|--------------|------------|---------------|----------------|------------|
| CROWN CAP MGMT | 084 | CBEH | SS | 20,000 | 5.82 | n/a | n/a | 1,000.00 | 5.0 |
| SCOPIA CAPITAL | 048 | CHK | B | 41,943 | 30.72 | n/a | n/a | 1,677.72 | 4.0 |
| EPOCH INV MGMT | 030 | CNW | S | 450 | 32.29 | n/a | n/a | 13.50 | 3.0 |
| EPOCH INV MGMT | 030 | COL | S | 250 | 66.97 | n/a | 21-Jan | 7.50 | 3.0 |
| EPOCH INV MGMT | 030 | CPO | S | 450 | 47.93 | n/a | n/a | 13.50 | 3.0 |
| WEDBUSH/PACIFIC GROWTH EQTY LLC | 084 | CVGI | B | 10,000 | 16.68 | | n/a n/a | 400.00 | 4.0 |
| BMO NESBITT BURNS | 041 | DAN | B | 10,000 | 18.22 | n/a | 31-Jan | 800.00 | 8.0 |
| EPOCH INV MGMT | 030 | DAN | S | 1,300 | 18.43 | n/a | 31-Jan | 39.00 | 3.0 |
| MTB INV ADV | 034 | DAN | S | 10,400 | 18.44 | n/a | 31-Jan | 520.00 | 5.0 |
| RIDGECREST INV MGMT LLC | 028 | DAN | B | 15,000 | 18.54 | n/a | 31-Jan | 750.00 | 5.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | DDS | B | 25,000 | 42.40 | n/a | n/a | 875.00 | 3.5 |
| B BUCK CAPITAL MGMT | | DLTR | SS | 20,000 | 50.47 | n/a | 21-Jan | non-brg | 4.0 |
| EPOCH INV MGMT | 030 | DRQ | S | 100 | 77.47 | n/a | n/a | 3.00 | 3.0 |
| BASIX | 033 | EAT | B | 23,000 | 24.53 | n/a | 26-Jan | 690.00 | 3.0 |
| f CICILY S BACKUS | FID | EFT | S | 2000 | 16.93 | n/a | n/a | 0.00 | 0.0 |
| f LBP ENTERPRISES INC | FID | EFT | S | 2000 | 16.96 | n/a | n/a | 0.00 | 0.0 |
| f LEE F BACKUS | FID | EFT | S | 1000 | 16.98 | n/a | n/a | 0.00 | 0.0 |
| f LEE F BACKUS | FID | EFT | S | 2000 | 16.98 | n/a | n/a | 0.00 | 0.0 |

| | Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---|---------------------|-----|--------|-----|---------|-------|-----|----------|-------------|-----|
| f | SNEJANA P GARFUNKEL | FID | EFT | S | 1000 | 16.93 | n/a | n/a | 0.00 | 0.0 |
| f | RAVI SADARANGANI | FID | EGPT | B | 500 | 19.10 | n/a | n/a | 0.00 | 0.0 |
| f | DAVID GEORGE BUCK | FID | ESRX | S | 1500 | 58.14 | n/a | n/a | 0.00 | 0.0 |
| Õ | Nilsa Vazquez | | FALC | S | 3000 | 40.80 | n/a | n/a | 0.00 | 0.0 |
| f | JOHN BARTMAN COLE | FID | FBR | S | 500 | 15.01 | n/a | n/a | 0.00 | 0.0 |
| ß | BUCK CAPITAL MGMT | | FINL | B | 17,951 | 16.74 | n/a | n/a | non-brg | 1.0 |
| ß | BUCK CAPITAL MGMT | | FINL | B | 30,000 | 16.59 | n/a | n/a | non-brg | 0.8 |
| ß | BUCK CAPITAL MGMT | | FINL | B | 30,000 | 16.59 | n/a | n/a | non-brg | 0.8 |
| ß | BUCK CAPITAL MGMT | | FINL | B | 7,049 | 16.75 | n/a | n/a | non-brg | 0.8 |
| ß | BUCK CAPITAL MGMT | | FINL | B | 7,049 | 16.75 | n/a | n/a | non-brg | 0.8 |
| ß | BUCK CAPITAL MGMT | | FL | B | 55,000 | 18.25 | n/a | 22-Dec | non-brg | 4.0 |
| ß | BUCK CAPITAL MGMT | | FOSL | S | 30,000 | 81.36 | n/a | n/a | non-brg | 4.0 |
| | BMO NESBITT BURNS | 041 | FRED | SS | 7,000 | 13.00 | n/a | n/a | 210.00 | 3.0 |
| | BALYASNY ASSET MGMT | 044 | F | SS | 100,000 | 16.09 | n/a | 2-Feb | 5,000.00 | 5.0 |
| | FIRST NY SEC/CHRIS | 041 | F | S | 50,000 | 16.13 | n/a | 2-Feb | 2,500.00 | 5.0 |
| ß | BUCK CAPITAL MGMT | | GIL | S | 10,000 | 30.76 | n/a | 9-Feb | non-brg | 2.0 |
| | MTB INV ADV | 034 | GMAN | B | 5,175 | 16.28 | n/a | n/a | 258.75 | 5.0 |
| ß | BUCK CAPITAL MGMT | | GMCR | S | 20,000 | 43.59 | n/a | n/a | non-brg | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|-------------|----------|---------------|--------------|------------|---------------|----------------|------------|
| f KAREN F LEDDY | FID | GMCR | B | 300 | 43.37 | n/a | n/a | 0.00 | 0.0 |
| f CHRISTOPHER ROBERT C | FID | GNTX | B | 150 | 32.56 | n/a | 31-Jan | 0.00 | 0.0 |
| EPOCH INV MGMT | 030 | GPC | S | 500 | 54.05 | n/a | n/a | 15.00 | 3.0 |
| GEORGE WEISS | 034 | GPS | SS | 46,000 | 21.36 | n/a | n/a | 1,840.00 | 4.0 |
| ARMATURE CAPITAL | 041 | GR | SS | 25,000 | 92.81 | n/a | 4-Feb | 1,000.00 | 4.0 |
| IMPALA ASSET MMT | 012 | HAL | S | 38,600 | 44.20 | n/a | n/a | 1,930.00 | 5.0 |
| f DAVID GEORGE BUCK | FID | HBC | B | 1000 | 57.32 | n/a | n/a | 0.00 | 0.0 |
| ACK ASSET | 028 | HBI | S | 1,500 | 25.84 | n/a | 28-Jan | 45.00 | 3.0 |
| B BUCK CAPITAL MGMT | | HBI | S | 10,000 | 25.59 | n/a | 28-Jan | non-brg | 2.0 |
| KLEINHEINZ CAP PART | 031 | HBI | S | 25,000 | 25.57 | n/a | 28-Jan | 1,250.00 | 5.0 |
| SCOPIA CAPITAL | 048 | HK | B | 25,684 | 19.98 | n/a | n/a | 1,027.36 | 4.0 |
| f KAREN F LEDDY | FID | HOV | B | 3000 | 4.47 | n/a | n/a | 0.00 | 0.0 |
| f EDWARD W WHEELER | FID | HWCC | B | 5000 | 13.80 | n/a | n/a | 0.00 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | IFF | B | 200 | 56.67 | n/a | 10-Feb | 0.00 | 0.0 |
| CSFB GLOBAL PROPRIETARY | 041 | IP | B | 65,000 | 29.31 | n/a | 3-Feb | 3,250.00 | 5.0 |
| SOUTH POINT CAP | 044 | IR | B | 200,000 | 47.22 | n/a | 10-Feb | 10,000.00 | 5.0 |
| B BUCK CAPITAL MGMT | | IVZ | S | 38,000 | 25.74 | n/a | 2-Mar | non-brg | 4.0 |

| | Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------|-----------------------------|------------|--------------|----------|--------------|--------------|------------|--------------|----------------|------------|
| f | DAVID GEORGE BUCK | FID | IVZ | S | 1500 | 25.92 | n/a | 2-Mar | 0.00 | 0.0 |
| | SAC CHICAGO ANDREW | 031 | JNY | B | 62,500 | 13.81 | n/a | 10-Feb | 2,187.50 | 3.5 |
| | TRUSTCO/SUNTRUST | 040 | JNY | S | 118,200 | 13.81 | n/a | 10-Feb | 4,137.09 | 3.5 |
| f | JOHN MICHAEL ZOLIDIS | FID | JWN | S | 300 | 45.36 | n/a | 7-Feb | 0.00 | 0.0 |
| ß | BUCK CAPITAL MGMT | | KMI | B | 1,000 | 30.00 | n/a | n/a | non-brg | 0.0 |
| ß | BUCK CAPITAL MGMT | | KMI | B | 3,000 | 30.00 | n/a | n/a | non-brg | 0.0 |
| ß | BUCK CAPITAL MGMT | | KMI | S | 4,000 | 31.70 | n/a | n/a | non-brg | 2.5 |
| | CROWN CAP MGMT | 084 | LAVA | S | 35,000 | 6.06 | n/a | n/a | 1,750.00 | 5.0 |
| | BMO NESBITT BURNS | 041 | LEA | B | 2,000 | 107.71 | n/a | 2-Feb | 160.00 | 8.0 |
| | DISCIPLINED GROWTH INV. | 030 | LTD | S | 5,400 | 32.91 | n/a | n/a | 270.00 | 5.0 |
| | KACELA CAPITAL | 034 | LTD | S | 110,000 | 32.94 | n/a | n/a | 4,400.00 | 4.0 |
| | EPOCH INV MGMT | 030 | MAS | S | 1,300 | 14.22 | n/a | n/a | 39.00 | 3.0 |
| | SURVEYOR CAPITAL | 041 | MSFT | S | 100,000 | 27.34 | n/a | n/a | 3,000.00 | 3.0 |
| | CSFB GLOBAL PROPRIETARY | 041 | MWV | B | 25,000 | 29.49 | n/a | 26-Jan | 1,250.00 | 5.0 |
| | PERRY PARTNERS | 085 | MWV | B | 67,573 | 29.94 | n/a | 26-Jan | 3,378.65 | 5.0 |
| | SCOPUS FUND | 041 | MWV | B | 25,000 | 29.90 | n/a | 26-Jan | 1,000.00 | 4.0 |
| f | JOHN BARTMAN COLE | FID | NBRXF | S | 500 | 16.71 | n/a | n/a | 0.00 | 0.0 |
| | BMO NESBITT BURNS | 041 | NDN | B | 4,000 | 16.57 | n/a | 3-Feb | 120.00 | 3.0 |
| | GREEN ARROW DOUG | 040 | NDN | B | 25,000 | 16.54 | n/a | 3-Feb | 1,000.00 | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|-------------|-----------|----------------|---------------|---------------|---------------|----------------|------------|
| EPOCH INV MGMT | 030 | NYX | S | 750 | 37.74 | n/a | n/a | 22.50 | 3.0 |
| f KAREN F LEDDY | FID | OEH | S | 1000 | 13.70 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | PLCE | B | 23,700 | 42.37 | n/a | 13-Jan | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | PLCE | B | 40,000 | 42.73 | n/a | 13-Jan | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | PNRA | SS | 10,000 | 113.70 | 11-Feb | 11-Feb | non-brg | 4.0 |
| DISCIPLINED GROWTH INV. | 030 | RCL | S | 3,900 | 48.17 | n/a | n/a | 195.00 | 5.0 |
| f JOHN BARTMAN COLE | FID | RRR | B | 1250 | 12.53 | n/a | 12-Jan | 0.00 | 0.0 |
| f DAVID GEORGE BUCK | FID | SBUX | B | 1500 | 33.26 | n/a | 27-Jan | 0.00 | 0.0 |
| GEORGE WEISS | 034 | SBUX | B | 30,000 | 33.33 | n/a | 27-Jan | 900.00 | 3.0 |
| ß BUCK CAPITAL MGMT | | SCS | B | 50,000 | 10.33 | n/a | n/a | non-brg | 4.0 |
| f KAREN F LEDDY | FID | SGI | S | 800 | 15.49 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | SHOO | B | 10,000 | 42.22 | n/a | n/a | non-brg | 2.5 |
| ß BUCK CAPITAL MGMT | | SKX | S | 105,000 | 22.46 | n/a | n/a | non-brg | 4.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | SKX | SS | 25,000 | 22.46 | n/a | n/a | 875.00 | 3.5 |
| f JASON ERIC COHEN | FID | SNCR | S | 50 | 34.58 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | SODA | S | 17,490 | 45.14 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | SODA | S | 300 | 45.00 | n/a | n/a | non-brg | 2.5 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------|-----|--------|-----|---------|--------|--------|----------|-------------|-----|
| ⚡ BUCK CAPITAL MGMT | | SODA | S | 32,210 | 44.94 | n/a | n/a | non-brg | 4.0 |
| SOUTH POINT CAP | 044 | SPY | B | 25,000 | 133.19 | n/a | n/a | 1,250.00 | 5.0 |
| LITESPEED | 028 | SSCC | S | 30,000 | 39.28 | n/a | 7-Jan | 900.00 | 3.0 |
| ⚡ BUCK CAPITAL MGMT | | STRA | C | 10,000 | 125.46 | n/a | n/a | non-brg | 2.5 |
| ⚡ BUCK CAPITAL MGMT | | SUMR | B | 105,911 | 7.09 | n/a | n/a | non-brg | 2.5 |
| ⚡ BUCK CAPITAL MGMT | | SUMR | B | 12,300 | 7.04 | n/a | n/a | non-brg | 1.0 |
| ⚡ BUCK CAPITAL MGMT | | SUMR | B | 26,789 | 7.17 | n/a | n/a | non-brg | 1.0 |
| BMO NESBITT BURNS | 041 | SVU | S | 10,000 | 8.17 | n/a | n/a | 300.00 | 3.0 |
| MTB INV ADV | 034 | SXCI | B | 4,150 | 51.06 | n/a | n/a | 207.50 | 5.0 |
| FIRST NEW YORK LEDDY | 035 | S | B | 20,000 | 4.54 | n/a | n/a | 800.00 | 4.0 |
| LISTED ERR | 099 | S | B | 20,000 | 4.60 | n/a | n/a | 0.00 | 0.0 |
| LISTED ERR | 099 | S | S | 20,000 | 4.54 | n/a | n/a | 0.00 | 0.0 |
| MTB INV ADV | 034 | TEN | S | 5,150 | 43.34 | n/a | n/a | 257.50 | 5.0 |
| f KAREN F LEDDY | FID | TEX | S | 550 | 36.35 | 11-Feb | 11-Feb | 0.00 | 0.0 |
| ⚡ BUCK CAPITAL MGMT | | TGT | B | 18,500 | 54.32 | n/a | 4-Feb | non-brg | 4.0 |
| DISIPLINED GROWTH INV. | 030 | TJX | S | 6,200 | 50.90 | n/a | 7-Feb | 310.00 | 5.0 |
| MERRILL ASSET/BLACKROCK | 266 | TMO | B | 28,100 | 57.16 | n/a | n/a | 1,124.00 | 4.0 |
| MERRILL ASSET/BLACKROCK | 266 | TTI | B | 19,700 | 12.18 | n/a | n/a | 788.00 | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|------------|-----------|---------------|--------------|---------------|---------------|----------------|------------|
| LISTED ERR | 099 | TTI | SS | 278 | 12.20 | n/a | n/a | 0.00 | 0.0 |
| SCOPUS FUND | 041 | UFS | B | 400 | 90.20 | n/a | n/a | 16.00 | 4.0 |
| RBC CAPITAL MARKETS | 040 | VALE | S | 30,000 | 34.40 | n/a | n/a | 1,200.00 | 4.0 |
| EPOCH INV MGMT | 030 | V | S | 250 | 74.97 | n/a | 3-Feb | 7.50 | 3.0 |
| EPOCH INV MGMT | 030 | WAB | S | 350 | 57.02 | n/a | n/a | 10.50 | 3.0 |
| B BUCK CAPITAL MGMT | | WBC | SS | 3,300 | 60.54 | 11-Feb | 11-Feb | non-brg | 2.5 |
| B BUCK CAPITAL MGMT | | WBC | SS | 45,000 | 61.68 | 11-Feb | 11-Feb | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | WBC | S | 11,700 | 61.68 | 11-Feb | 11-Feb | non-brg | 4.0 |
| MERRILL ASSET/BLACKROCK | 266 | WLL | S | 7,000 | 122.05 | n/a | n/a | 280.00 | 4.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | WMT | SS | 400,000 | 55.70 | n/a | 27-Jan | 14,000.00 | 3.5 |
| EPOCH INV MGMT | 030 | WM | S | 600 | 38.14 | n/a | n/a | 18.00 | 3.0 |
| BUCK CAPITAL MGMT | 001 | WRC | S | 10,000 | 55.66 | n/a | 20-Jan | 300.00 | 3.0 |
| EPOCH INV MGMT | 030 | WRC | S | 300 | 56.08 | n/a | 20-Jan | 9.00 | 3.0 |
| IMPALA ASSET MMT | 012 | WYN | S | 16,400 | 29.42 | n/a | n/a | 656.00 | 4.0 |
| EPOCH INV MGMT | 030 | XOM | S | 450 | 82.86 | n/a | n/a | 13.50 | 3.0 |
| f ANTHONY SUTERA | FID | XPO | B | 3000 | 2.56 | n/a | n/a | 0.00 | 0.0 |
| f MANNY I KORMAN | FID | XRX | S | 450 | 0.68 | n/a | n/a | 0.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|-----|--------|-----|--------|-------|-----|----------|------------------|-----|
| EPOCH INV MGMT | 030 | YHOO | S | 900 | 16.81 | n/a | n/a | 27.00 | 3.0 |
| TOTAL (Trade Date): | | | | | | | | 96,403.23 | |

Cancel/Corrects and As-Of Trades

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

| | | | | | | | | | |
|-----------------------|--|--|--|--|--|--|--|--|------|
| TOTAL (AO, CXL, CRT): | | | | | | | | | 0.00 |
|-----------------------|--|--|--|--|--|--|--|--|------|

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|---------------------|--|--|--|--|--|--|--|--|-----------|
| TOTAL (Trade Date): | | | | | | | | | 96,403.23 |
|---------------------|--|--|--|--|--|--|--|--|-----------|

| | | | | | | | | | |
|-----------------------|--|--|--|--|--|--|--|--|------|
| TOTAL (AO, CXL, CRT): | | | | | | | | | 0.00 |
|-----------------------|--|--|--|--|--|--|--|--|------|

| | | | | | | | | | |
|-------------------------|--|--|--|--|--|--|--|--|-----------|
| TOTAL (RUN DATE) / NFS: | | | | | | | | | 96,403.23 |
|-------------------------|--|--|--|--|--|--|--|--|-----------|

BCM Cancel/Corrects and As-Of Trades

| Type | Date | Account | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|------|-------|--------------------|--------|-----|---------|-------|--------|----------|-------------|
| CXL | 02/10 | BUCK CAPITAL MGMT. | CAR | S | 25,000 | 15.46 | n/a | n/a | 2000.00 |
| CRT | 02/10 | BUCK CAPITAL MGMT | CAR | S | 25,000 | 15.46 | n/a | n/a | 1000.00 4.0 |
| CXL | 02/10 | BUCK CAPITAL MGMT. | DAN | S | 50,000 | 17.99 | n/a | 31-Jan | 4000.00 |
| CRT | 02/10 | BUCK CAPITAL MGMT | DAN | S | 50,000 | 17.98 | n/a | 31-Jan | 2000.00 4.0 |
| CXL | 02/10 | BUCK CAPITAL MGMT. | DAN | S | 50,000 | 17.99 | n/a | 31-Jan | 4000.00 |
| CRT | 02/10 | BUCK CAPITAL MGMT | DAN | S | 75,000 | 18.02 | n/a | 31-Jan | 3000.00 4.0 |
| CXL | 02/10 | BUCK CAPITAL MGMT. | DAN | S | 50,000 | 17.99 | n/a | 31-Jan | 4000.00 |
| CRT | 02/10 | BUCK CAPITAL MGMT | DAN | S | 50,000 | 17.99 | n/a | 31-Jan | 2000.00 4.0 |
| CXL | 02/10 | BUCK CAPITAL MGMT. | HTZ | S | 50,000 | 16.25 | n/a | n/a | 4000.00 |
| CRT | 02/10 | BUCK CAPITAL MGMT | HTZ | S | 50,000 | 16.25 | n/a | n/a | 2000.00 4.0 |
| CXL | 02/10 | BUCK CAPITAL MGMT. | SLB | S | 5,000 | 89.35 | n/a | n/a | 400.00 |
| CRT | 02/10 | BUCK CAPITAL MGMT | SLB | S | 5,000 | 89.35 | n/a | n/a | 200.00 4.0 |
| CXL | 02/10 | BUCK CAPITAL MGMT. | SLB | SS | 25,000 | 89.35 | n/a | n/a | 2000.00 |
| CRT | 02/10 | BUCK CAPITAL MGMT | SLB | SS | 25,000 | 89.35 | n/a | n/a | 1000.00 4.0 |
| CXL | 02/10 | BUCK CAPITAL MGMT. | TEX | S | 100,600 | 36.08 | 11-Feb | 11-Feb | 8048.00 |
| CRT | 02/10 | BUCK CAPITAL MGMT | TEX | S | 80,000 | 35.97 | 11-Feb | 11-Feb | 3200.00 4.0 |
| CXL | 02/10 | BUCK CAPITAL MGMT. | TEX | S | 100,600 | 36.08 | 11-Feb | 11-Feb | 8048.00 |
| CRT | 02/10 | BUCK CAPITAL MGMT | TEX | S | 20,000 | 36.37 | 11-Feb | 11-Feb | 800.00 4.0 |
| CXL | 02/10 | BUCK CAPITAL MGMT. | TEX | S | 100,600 | 36.08 | 11-Feb | 11-Feb | 8048.00 |
| CRT | 02/10 | BUCK CAPITAL MGMT | TEX | S | 100,600 | 36.08 | 11-Feb | 11-Feb | 4024.00 4.0 |

MRI Securities with Trade Activity on 11-Feb.

PNRA, TEX, WBC

MRI Securities without Trade Activity on 11-Feb.

DSW, BWA

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

T-Date = 1%

YTD = 4%

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)