



Daily Compliance Activity Report

Trade Date: 10/22/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------|-----|-----------|-----|------------|--------|-----|----------|--------------|-----|
| BUCK CAPITAL MGMT | | 6046759B6 | S | 3,100,000 | 0.21 | n/a | n/a | non-brg | 5.0 |
| BUCK CAPITAL MGMT | | 6046759C4 | S | 21,181,000 | 0.21 | n/a | n/a | non-brg | 5.0 |
| DISCIPLINED GROWTH INV. | 030 | AAPL | S | 37,275 | 204.57 | n/a | n/a | 1,863.75 | 5.0 |
| f JASON ERIC COHEN | FID | AAPL | S | 4 | 205.21 | n/a | n/a | 0.00 | 0.0 |
| KLEINHEINZ CAP PART | 031 | ACE | S | 25,000 | 54.92 | n/a | n/a | 1,250.00 | 5.0 |
| f JOSEPH CIRO AMATURO | FID | AEO | S | 10000 | 19.49 | n/a | 9-Oct | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | | AMR | B | 126,600 | 6.80 | n/a | n/a | non-brg | 3.0 |
| BNP PARIBAS SEC | 040 | AN | B | 17,500 | 20.98 | n/a | 19-Oct | 700.00 | 4.0 |
| LONG OAR GLOBAL INV | 040 | AN | B | 32,000 | 21.16 | n/a | 19-Oct | 1,280.00 | 4.0 |
| MILLENIUM PARTNERS | 028 | AN | B | 25,000 | 21.23 | n/a | 19-Oct | 1,000.00 | 4.0 |
| f JOSEPH CIRO AMATURO | FID | APC | B | 1000 | 65.41 | n/a | 9-Oct | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | | APP | S | 20,000 | 2.92 | n/a | n/a | non-brg | 3.0 |
| AVESTA CAP | 229 | ARO | B | 50,000 | 42.68 | n/a | 9-Oct | 2,000.00 | 4.0 |
| f DAVID GEORGE BUCK | FID | AVBWM | B | 10 | 0.90 | n/a | n/a | 0.00 | 0.0 |
| f BARBARA S LEDDY | FID | BAC | B | 200 | 16.45 | n/a | 19-Oct | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | | BAC | B | 1,300 | 16.45 | n/a | 19-Oct | non-brg | 0.8 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------------------------|-----|--------|-----|---------|---------|-----|----------|-------------|-----|
| B BUCK CAPITAL MGMT | | BAC | B | 1,800 | 16.45 | n/a | 19-Oct | non-brg | 0.8 |
| B BUCK CAPITAL MGMT | | BAC | B | 15,800 | 16.45 | n/a | 19-Oct | non-brg | 0.8 |
| B BUCK CAPITAL MGMT | | BAC | B | 500 | 16.45 | n/a | 19-Oct | non-brg | 0.8 |
| B BUCK CAPITAL MGMT | | BAC | B | 600 | 16.45 | n/a | 19-Oct | non-brg | 0.8 |
| f KAREN F LEDDY | FID | BAC | B | 700 | 16.48 | n/a | 19-Oct | 0.00 | 0.0 |
| f WILLIAM J GAULT | FID | BGZ | B | 3000 | 19.24 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | BID | C | 110,000 | 17.96 | n/a | n/a | non-brg | 4.0 |
| ENTRUST CAPITAL | 040 | BIG | SS | 30,000 | 26.56 | n/a | 6-Oct | 1,500.00 | 5.0 |
| NEUBERGER BERMAN | 036 | BMI | B | 4,100 | 38.27 | n/a | n/a | 184.50 | 4.5 |
| BRIGADE CAPITAL MGMT | 029 | BONT | B | 21,830 | 8.65 | n/a | n/a | 654.90 | 3.0 |
| B BUCK CAPITAL MGMT | | BONT | B | 20,000 | 8.65 | n/a | n/a | non-brg | 2.5 |
| f JOEL GIFFORD TISS | FID | BRKB | S | 25 | 3325.42 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | BYI | B | 29,800 | 43.94 | n/a | n/a | non-brg | 4.0 |
| f MARC PAUL LUCHANSKY | FID | CAT | B | 1000 | 57.15 | n/a | 21-Oct | 0.00 | 0.0 |
| RBC CAPITAL MARKETS | 040 | CAT | SS | 10,000 | 56.81 | n/a | 21-Oct | 400.00 | 4.0 |
| KENNEDY CAPITAL | 046 | CBK | B | 100,000 | 6.57 | n/a | n/a | 3,000.00 | 3.0 |
| f STRATTON PAR TNERSHI | FID | CGLD | B | 3000 | 0.75 | n/a | n/a | 0.00 | 0.0 |
| NORTHPOINT | 030 | CHD | B | 4,790 | 55.62 | n/a | n/a | 191.60 | 4.0 |
| CARDINAL CAPITAL | 044 | CHKP | S | 28,100 | 31.04 | n/a | n/a | 1,405.00 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------------|-------------|----------|----------------|--------------|------------|---------------|----------------|------------|
| KENNEDY CAPITAL | 046 | CHRS | B | 40,000 | 5.74 | n/a | n/a | 1,200.00 | 3.0 |
| STRONG/MARK GRONET | 030 | CIM | B | 6,285 | 3.78 | n/a | n/a | 188.55 | 3.0 |
| BALYASNY ASSET MGMT | 044 | CMI | C | 10,000 | 49.55 | n/a | n/a | 500.00 | 5.0 |
| ROSEDALE CAPITAL | 046 | COG | B | 15,000 | 39.87 | n/a | 21-Oct | 750.00 | 5.0 |
| EXIS CAPITAL | 044 | COH | B | 20,000 | 33.88 | n/a | 21-Oct | 1,000.00 | 5.0 |
| DAVIS SELECT ADV | 040 | COP | S | 148,200 | 52.71 | n/a | n/a | 4,446.00 | 3.0 |
| LEVEL GLOBAL SHARED ACCT | 257 | CROX | B | 300,000 | 7.56 | n/a | n/a | 9,000.00 | 3.0 |
| STADIA CAPITAL | 035 | CTSH | B | 12,184 | 40.97 | n/a | n/a | 487.36 | 4.0 |
| f JOEL GIFFORD TISS | FID | CVX | S | 550 | 77.49 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | C | B | 1,200 | 4.46 | n/a | 16-Oct | non-brg | 0.8 |
| ß BUCK CAPITAL MGMT | | C | B | 1,500 | 4.46 | n/a | 16-Oct | non-brg | 0.8 |
| ß BUCK CAPITAL MGMT | | C | B | 3,200 | 4.46 | n/a | 16-Oct | non-brg | 0.8 |
| ß BUCK CAPITAL MGMT | | C | B | 39,600 | 4.46 | n/a | 16-Oct | non-brg | 0.8 |
| ß BUCK CAPITAL MGMT | | C | B | 4,500 | 4.46 | n/a | 16-Oct | non-brg | 0.8 |
| ß BUCK CAPITAL MGMT | | DAL | B | 100,000 | 8.32 | n/a | n/a | non-brg | 3.0 |
| ROTHSCHILD ASSET | 040 | DAN | B | 11,290 | 7.21 | n/a | n/a | 508.05 | 4.5 |
| ß BUCK CAPITAL MGMT | | DECK | B | 1,000 | 87.00 | n/a | n/a | non-brg | 0.8 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|-------------|----------|---------------|--------------|------------|---------------|----------------|------------|
| B BUCK CAPITAL MGMT | | DECK | B | 15,000 | 88.77 | n/a | n/a | non-brg | 4.0 |
| f JOEL GIFFORD TISS | FID | DEO | S | 500 | 64.66 | n/a | n/a | 0.00 | 0.0 |
| f EDWARD W WHEELER | FID | DGII | B | 1464 | 8.77 | n/a | n/a | 0.00 | 0.0 |
| f JOEL GIFFORD TISS | FID | DNB | S | 300 | 78.61 | n/a | n/a | 0.00 | 0.0 |
| ENTRUST CAPITAL | 040 | DSW | SS | 1,300 | 21.23 | n/a | 15-Oct | 65.00 | 5.0 |
| f MATTHEW FRANCIS BUCK | FID | DUK | B | 600 | 16.08 | n/a | n/a | 0.00 | 0.0 |
| NORTHPOINT | 030 | ECL | B | 2,420 | 46.14 | n/a | n/a | 96.80 | 4.0 |
| f MATTHEW FRANCIS BUCK | FID | EFA | B | 200 | 56.52 | n/a | n/a | 0.00 | 0.0 |
| FIRST NEW YORK LEDDY | 035 | ETFC | S | 10,000 | 1.63 | n/a | n/a | 600.00 | 6.0 |
| CUMBERLAND | 038 | EXH | B | 2,000 | 23.84 | n/a | 9-Oct | 80.00 | 4.0 |
| f SCOTT L BRUNNER | FID | FAZ | B | 500 | 20.07 | n/a | n/a | 0.00 | 0.0 |
| f WILLIAM J GAULT | FID | FAZ | B | 3000 | 19.00 | n/a | n/a | 0.00 | 0.0 |
| BALYASNY ASSET MGMT | 044 | FII | C | 99,500 | 26.78 | n/a | 22-Oct | 4,975.00 | 5.0 |
| BASIX | 033 | FL | B | 25,000 | 11.86 | n/a | n/a | 750.00 | 3.0 |
| B BUCK CAPITAL MGMT | | FL | B | 20,000 | 11.69 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | FL | B | 38,340 | 11.67 | n/a | n/a | non-brg | 4.0 |
| f BARBARA S LEDDY | FID | F | B | 700 | 7.78 | n/a | 19-Oct | 0.00 | 0.0 |

| | Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---|--------------------------|-----|--------|-----|---------|-------|--------|----------|-------------|-----|
| f | KAREN F LEDDY | FID | F | B | 900 | 7.82 | n/a | 19-Oct | 0.00 | 0.0 |
| | SCHOTTENFELD ASSOC | 041 | F | B | 100,000 | 7.67 | n/a | 19-Oct | 3,000.00 | 3.0 |
| | TRELLUS PARTNERS LP | 028 | F | B | 50,000 | 7.70 | n/a | 19-Oct | 1,500.00 | 3.0 |
| ß | BUCK CAPITAL MGMT | | GES | S | 10,000 | 40.22 | n/a | n/a | non-brg | 4.0 |
| | LEVEL GLOBAL SHARED ACCT | 257 | GES | B | 50,000 | 39.18 | n/a | n/a | 1,500.00 | 3.0 |
| ß | BUCK CAPITAL MGMT | | GME | B | 10,000 | 25.40 | n/a | n/a | non-brg | 4.0 |
| ß | BUCK CAPITAL MGMT | | GME | B | 60,000 | 25.36 | n/a | n/a | non-brg | 4.0 |
| | RBC CAPITAL MARKETS | 040 | GNK | S | 10,000 | 22.75 | n/a | n/a | 400.00 | 4.0 |
| f | DAVID GEORGE BUCK | FID | GPYWM | B | 12 | 0.87 | n/a | n/a | 0.00 | 0.0 |
| ß | BUCK CAPITAL MGMT | | GRMN | C | 77,544 | 38.93 | n/a | n/a | non-brg | 4.0 |
| | BALYASNY ASSET MGMT | 044 | GR | SS | 20,000 | 58.25 | 22-Oct | 22-Oct | 1,000.00 | 5.0 |
| | BALYASNY ASSET MGMT | 044 | IR | S | 20,000 | 35.22 | n/a | 20-Oct | 1,000.00 | 5.0 |
| | STELLIAM INV ADV | 034 | IR | B | 20,000 | 34.42 | n/a | 20-Oct | 1,000.00 | 5.0 |
| ß | BUCK CAPITAL MGMT | | JCG | S | 10,000 | 42.83 | n/a | n/a | non-brg | 4.0 |
| ß | BUCK CAPITAL MGMT | | JCG | S | 60,000 | 42.02 | n/a | n/a | non-brg | 4.0 |
| | HIGHBRIDGE CAP | 041 | JCP | B | 25,000 | 36.68 | n/a | 9-Oct | 0.00 | 0.0 |
| | RBC CAPITAL MARKETS | 040 | JCP | S | 5,000 | 35.58 | n/a | 9-Oct | 200.00 | 4.0 |
| ß | BUCK CAPITAL MGMT | | JNS | B | 1,200 | 14.25 | n/a | 22-Oct | non-brg | 0.8 |
| ß | BUCK CAPITAL MGMT | | JNS | B | 10,100 | 14.25 | n/a | 22-Oct | non-brg | 0.8 |
| ß | BUCK CAPITAL MGMT | | JNS | B | 400 | 14.25 | n/a | 22-Oct | non-brg | 0.8 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|-----|--------|-----|---------|-------|--------|----------|-------------|-----|
| BUCK CAPITAL MGMT | | JNS | B | 400 | 14.25 | n/a | 22-Oct | non-brg | 0.8 |
| BUCK CAPITAL MGMT | | JNS | B | 400 | 14.25 | n/a | 22-Oct | non-brg | 0.8 |
| SANDLER O'NEILL ASSET | 031 | JNS | B | 10,000 | 14.29 | n/a | 22-Oct | 500.00 | 5.0 |
| BRIGADE CAPITAL MGMT | 029 | JNY | B | 29,604 | 19.14 | n/a | 21-Oct | 888.12 | 3.0 |
| BUCK CAPITAL MGMT | | JOSE | B | 10,000 | 45.39 | n/a | n/a | non-brg | 2.5 |
| BUCK CAPITAL MGMT | 001 | JWN | B | 80,000 | 34.38 | n/a | 9-Oct | 3,200.00 | 4.0 |
| BUCK CAPITAL MGMT | | JWN | B | 20,000 | 34.43 | n/a | 9-Oct | non-brg | 1.0 |
| RBC CAPITAL MARKETS | 040 | JWN | S | 5,000 | 34.31 | n/a | 9-Oct | 200.00 | 4.0 |
| EDWARD W WHEELER | FID | KEME | B | 50000 | 1.46 | n/a | n/a | 0.00 | 0.0 |
| PRINCIPLE CAPITAL | 040 | KMX | S | 50,000 | 22.39 | n/a | n/a | 1,500.00 | 3.0 |
| ROYCE TRADING | 216 | KND | S | 3,000 | 15.55 | n/a | n/a | 150.00 | 5.0 |
| JOEL GIFFORD TISS | FID | KO | S | 500 | 54.08 | n/a | n/a | 0.00 | 0.0 |
| MICHAEL THOMAS NOLAN | FID | KR | S | 500 | 23.44 | n/a | n/a | 0.00 | 0.0 |
| LEVEL GLOBAL SHARED ACCT | 257 | KSS | B | 100,000 | 58.52 | n/a | 9-Oct | 3,000.00 | 3.0 |
| MATTHEW FRANCIS BUCK | FID | LLY | B | 300 | 33.83 | n/a | n/a | 0.00 | 0.0 |
| EPOCH INV MGMT | 030 | LMT | B | 35,975 | 71.62 | 22-Oct | 22-Oct | 1,079.25 | 3.0 |
| UBS OCONNOR | 031 | LM | SS | 65,000 | 30.32 | n/a | 22-Oct | 1,950.00 | 3.0 |
| DISIPLINED GROWTH INV. | 030 | LNC | S | 60,000 | 25.18 | n/a | n/a | 3,000.00 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|-------------|----------|---------------|--------------|------------|------------|---------------|------------|
| APEX CAPITAL MGMT. | 091 | LOGI | SS | 100,000 | 19.08 | n/a | n/a | 4,000.00 | 4.0 |
| NEUBERGER BERMAN | 036 | LXU | B | 11,029 | 13.96 | n/a | n/a | 496.31 | 4.5 |
| MERRILL ASSET/BLACKROCK | 214 | MDR | B | 90,201 | 25.62 | n/a | n/a | 4,059.05 | 4.5 |
| DIAMONDBACK CAP MGMT | 232 | MGM | SS | 25,000 | 11.45 | n/a | n/a | 1,250.00 | 5.0 |
| ST OF MICHIAN | 047 | MON | B | 30,000 | 74.54 | n/a | 20-Oct | 600.00 | 2.0 |
| PLATTE RIVER CAPITAL | 240 | MPEL | S | 23,050 | 5.80 | n/a | n/a | 691.50 | 3.0 |
| f DAVID GEORGE BUCK | FID | MSFT | S | 2000 | 26.57 | n/a | n/a | 0.00 | 0.0 |
| DAVIS SELECT ADV | 040 | MSFT | S | 77,500 | 26.55 | n/a | n/a | 2,325.00 | 3.0 |
| f MATTHEW FRANCIS BUCK | FID | MSFT | S | 500 | 26.32 | n/a | n/a | 0.00 | 0.0 |
| COUGAR TRADING | 044 | M | B | 25,000 | 19.52 | n/a | 9-Oct | 1,250.00 | 5.0 |
| WALKER SMITH | 031 | NCR | B | 100,000 | 10.37 | n/a | n/a | 5,000.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | NTY | S | 10,000 | 41.29 | n/a | n/a | 400.00 | 4.0 |
| SYSTEMATIC FINANCIAL MGT | 035 | NUS | B | 33,680 | 23.87 | n/a | n/a | 1,178.81 | 3.5 |
| SYSTEMATIC FINANCIAL MGT | 035 | NWL | B | 28,600 | 15.47 | n/a | n/a | 1,001.00 | 3.5 |
| NEWLAND CAPITAL MGT | 067 | OSK | S | 10,000 | 34.58 | n/a | n/a | 400.00 | 4.0 |
| ROYCE TRADING | 216 | PAG | S | 2,400 | 18.15 | n/a | 19-Oct | 120.00 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|-----|--------|-----|---------|-------|--------|----------|--------------|-----|
| f MATTHEW FRANCIS BUCK | FID | PFE | S | 1000 | 17.47 | n/a | n/a | 0.00 | 0.0 |
| f JOEL GIFFORD TISS | FID | PG | S | 800 | 58.13 | n/a | n/a | 0.00 | 0.0 |
| IRIDIAN ASSET MGMT. | 036 | PKG | B | 40,300 | 20.43 | 22-Oct | 22-Oct | 2,015.00 | 5.0 |
| B BUCK CAPITAL MGMT | | PNRA | B | 10,000 | 55.60 | n/a | 20-Oct | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | PNRA | B | 39,700 | 55.38 | n/a | 20-Oct | non-brg | 4.0 |
| f JOSEPH CIRO AMATURO | FID | PQ | B | 5000 | 7.10 | n/a | n/a | 0.00 | 0.0 |
| f CHRISTOPHER ROBERT C | FID | PTTDX | B | 458 | 10.92 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | PVH | S | 30,000 | 43.95 | n/a | n/a | non-brg | 4.0 |
| LEVEL GLOBAL SHARED ACCT | 257 | PVH | S | 50,000 | 43.93 | n/a | n/a | 1,500.00 | 3.0 |
| B BUCK CAPITAL MGMT | | QKLS | B | 190,987 | 7.05 | n/a | n/a | non-brg | 2.5 |
| B BUCK CAPITAL MGMT | | QKLS | B | 200,000 | 7.05 | n/a | n/a | non-brg | 3.0 |
| LEVEL GLOBAL SHARED ACCT | 257 | RCL | S | 100,000 | 22.99 | n/a | n/a | 3,000.00 | 3.0 |
| BUCK CAPITAL MGMT | 001 | RL | S | 10,000 | 79.04 | n/a | n/a | 400.00 | 4.0 |
| LONG OAR GLOBAL INV | 040 | RS | SS | 8,500 | 39.94 | n/a | n/a | 340.00 | 4.0 |
| EXIS CAPITAL | 044 | RTH | SS | 25,000 | 90.38 | n/a | n/a | 1,250.00 | 5.0 |
| ROYCE TRADING | 216 | RTI | S | 10,000 | 22.19 | n/a | n/a | 500.00 | 5.0 |
| B BUCK CAPITAL MGMT | | RVI | B | 30,000 | 6.81 | n/a | n/a | non-brg | 2.5 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-----------------------------|------------|-------------|----------|----------------|--------------|------------|---------------|----------------|------------|
| LONG OAR GLOBAL INV | 040 | R | B | 7,900 | 44.89 | n/a | n/a | 316.00 | 4.0 |
| B BUCK CAPITAL MGMT | | SKX | S | 20,000 | 24.71 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | SKX | S | 50,000 | 24.29 | n/a | n/a | non-brg | 0.8 |
| PIONEER MICHAEL NOLAN | 067 | SKX | S | 28,483 | 24.56 | n/a | n/a | 854.49 | 3.0 |
| f SCOTT L BRUNNER | FID | SMN | B | 1000 | 9.75 | n/a | n/a | 0.00 | 0.0 |
| f JILL ROSENBERG | FID | SSO | S | 200 | 36.70 | n/a | n/a | 0.00 | 0.0 |
| ROTHSCHILD ASSET | 040 | STAR | S | 88,830 | 33.67 | n/a | n/a | 3,997.35 | 4.5 |
| f JOHN PATRICK DAVEY | FID | SUP | B | 2000 | 14.54 | n/a | n/a | 0.00 | 0.0 |
| THIRD COAST CAPITAL | 035 | SUP | B | 10,000 | 14.49 | n/a | n/a | 500.00 | 5.0 |
| BAIRD INVESTMENT | 047 | TGT | B | 10,450 | 49.37 | n/a | 21-Oct | 522.50 | 5.0 |
| RBC CAPITAL MARKETS | 040 | TGT | S | 10,000 | 49.12 | n/a | 21-Oct | 400.00 | 4.0 |
| BACKBAY | 041 | TIN | S | 50,000 | 17.16 | 22-Oct | 22-Oct | 2,500.00 | 5.0 |
| BASIX | 033 | TIN | B | 50,000 | 17.38 | 22-Oct | 22-Oct | 1,500.00 | 3.0 |
| BMO NESBITT BURNS | 041 | TIN | SS | 50,000 | 17.89 | 22-Oct | 22-Oct | 2,500.00 | 5.0 |
| NEWLAND CAPITAL MGT | 067 | TIN | B | 10,000 | 17.24 | 22-Oct | 22-Oct | 400.00 | 4.0 |
| NEWLAND CAPITAL MGT | 067 | TIN | S | 10,000 | 17.91 | 22-Oct | 22-Oct | 400.00 | 4.0 |
| OZ MGMT | 040 | TIN | S | 65,000 | 17.90 | 22-Oct | 22-Oct | 1,950.00 | 3.0 |
| SCHOTTENFELD ASSOC | 041 | TIN | S | 40,000 | 17.61 | 22-Oct | 22-Oct | 1,200.00 | 3.0 |
| CSFB | 041 | TIN | B | 75,000 | 17.00 | 22-Oct | 22-Oct | 3,750.00 | 5.0 |
| B BUCK CAPITAL MGMT | | TJX | S | 30,000 | 40.10 | n/a | 21-Oct | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | TSCO | C | 100,000 | 47.49 | n/a | n/a | non-brg | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------------------------------|------------|-------------|----------|----------------|--------------|------------|--------------|----------------|------------|
| CRAMER ROSENTHAL/SCOTT | 012 | TYC | B | 2,600 | 35.51 | n/a | 12-Oct | 104.00 | 4.0 |
| f JOSEPH CIRO AMATURO | FID | T | S | 10000 | 26.45 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | UAUA | B | 100,000 | 7.21 | n/a | n/a | non-brg | 3.0 |
| COBALT | 041 | UFS | B | 7,999 | 41.33 | n/a | n/a | 399.95 | 5.0 |
| ROTHSCHILD ASSET | 040 | UIS | B | 427,748 | 2.66 | n/a | n/a | 19,248.71 | 4.5 |
| JP MORGAN VENTURES | 046 | UNH | S | 25,000 | 25.24 | n/a | n/a | 1,250.00 | 5.0 |
| B BUCK CAPITAL MGMT | | URBN | B | 10,000 | 33.07 | n/a | n/a | non-brg | 0.8 |
| B BUCK CAPITAL MGMT | | URBN | B | 15,000 | 33.29 | n/a | n/a | non-brg | 4.0 |
| SAC CAPITAL/JOHN MAGUIE | 039 | VFC | S | 5,000 | 77.64 | n/a | 21-Oct | 200.00 | 4.0 |
| EXIS CAPITAL | 044 | VZ | S | 20,000 | 29.02 | n/a | n/a | 1,000.00 | 5.0 |
| f JOEL GIFFORD TISS | FID | WBC | S | 1000 | 23.65 | n/a | n/a | 0.00 | 0.0 |
| LATEFF MGMT | 035 | WCRX | B | 2,500 | 23.26 | n/a | 19-Oct | 250.00 | 10.0 |
| f JOEL GIFFORD TISS | FID | WFC | S | 2000 | 30.13 | n/a | n/a | 0.00 | 0.0 |
| TROUBH PART | 067 | WMT | S | 40,000 | 50.34 | n/a | 21-Oct | 2,000.00 | 5.0 |
| B BUCK CAPITAL MGMT | | WRC | S | 20,000 | 44.11 | n/a | 2-Oct | non-brg | 4.0 |
| CAXTON PART | 040 | WU | S | 60,813 | 18.75 | n/a | n/a | 2,128.47 | 3.5 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. |
|---------------------|-----|--------|-----|--------|-------|-----|------------|--------------|
| B BUCK CAPITAL MGMT | | WWW | C | 30,000 | 26.73 | n/a | n/a | non-brg 4.0 |
| TOTAL (Trade Date): | | | | | | | 144,292.02 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|-------------------------------|-------|------------------------|------|--------|-----|--------|--------|--------|----------|---------------|
| AO,CXL | 10/21 | CR INTRINIC INVESTMENT | 044 | BEC | B | 10,000 | 69.36 | n/a | n/a | 400.00 4.0 |
| AO,CRT | 10/21 | CR INTRINIC INVESTMENT | 044 | BEC | B | 10,000 | 69.36 | n/a | n/a | 400.00 4.0 |
| AO,CRT | 10/20 | SANDLER O'NEILL ASSET | 031 | BLK | B | 5,000 | 237.50 | n/a | 22-Oct | 250.00 5.0 |
| AO,CXL | 10/20 | SANDLER O'NEILL ASSET | 031 | BLK | B | 5,000 | 237.50 | n/a | 22-Oct | 250.00 5.0 |
| AO,CRT | 10/21 | GREEN ARROW DOUG | 040 | GE | S | 50,000 | 15.86 | n/a | n/a | 2000.00 4.0 |
| AO,CXL | 10/21 | OVERLAND PARK CAP | 041 | GE | S | 50,000 | 15.86 | n/a | n/a | 2000.00 4.0 |
| AO, | 10/21 | NUMERIC | 060 | HRS | S | 700 | 40.32 | n/a | 19-Oct | 21.00 3.0 |
| AO,CXL | 10/21 | NUMERIC | 060 | HRS | S | 700 | 40.32 | n/a | 19-Oct | 21.00 3.0 |
| AO, | 10/21 | LISTED ERR | 099 | JNJ | B | 20,000 | 60.85 | n/a | n/a | 0.00 0.0 |
| AO, | 10/21 | ROSEDALE CAPITAL | 046 | JNJ | S | 20,000 | 60.85 | n/a | n/a | 1000.00 5.0 |
| AO,CXL | 10/21 | MILLENIUUM PARTNERS | 028 | LPX | B | 30,000 | 6.75 | n/a | 12-Oct | 1200.00 4.0 |
| AO,CRT | 10/21 | MILLENIUUM PARTNERS | 028 | LPX | B | 30,000 | 6.75 | n/a | 12-Oct | 1200.00 4.0 |
| AO,CXL | 10/21 | CR INTRINIC INVESTMENT | 044 | TFX | SS | 20,000 | 51.02 | n/a | n/a | 800.00 4.0 |
| AO,CRT | 10/21 | CR INTRINIC INVESTMENT | 044 | TFX | SS | 20,000 | 51.02 | n/a | n/a | 800.00 4.0 |
| AO,CXL | 10/21 | DSG CAPITAL | 225 | TIN | B | 30,000 | 17.37 | 22-Oct | 22-Oct | 1500.00 5.0 |
| AO,CRT | 10/21 | DSG CAPITAL | 225 | TIN | B | 30,000 | 17.37 | 22-Oct | 22-Oct | 1200.00 4.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | 700.00 |

| | |
|-----------------------|------------|
| TOTAL (Trade Date): | 144,292.02 |
| TOTAL (AO, CXL, CRT): | 700.00 |

| | |
|-------------------------|------------|
| TOTAL (RUN DATE) / NFS: | 144,992.02 |
|-------------------------|------------|

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|--|
| MRI Securities with Trade Activity on 22-Oct. GR, LMT, PKG, TIN |
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|---|
| MRI Securities without Trade Activity on 22-Oct. SIAL, PFCB, MS, MMM, IP |
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|---|
| BRG comm. as a % of BCM Total Comm. paid. T-Date = 0% YTD = 19% |
|---|

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)