



Daily Compliance Activity Report

Trade Date: 03/24/2009

Potential ANALYST TRADE Violations: 0

BCM Watch List ACTIVITY ALERT: 0

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|------------------------------|------------|-------------------|----------|--------------|---------------|---------------|---------------|----------------|--------------|
| f MARC PAUL LUCHANSKY | FID | AAGPX | B | 140 | 11.45 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | AAPL | S | 1,060 | 107.63 | n/a | n/a | non-brg | 4.0 |
| WASHINGTON ASSET | 048 | AAPL | S | 10,000 | 108.49 | n/a | n/a | 500.00 | 5.0 |
| B BUCK CAPITAL MGMT | | ABI BB | C | 1,320 | 27.14 | n/a | n/a | non-brg | 1.4 |
| B BUCK CAPITAL MGMT | | ADS GR | C | 1,680 | 33.76 | n/a | n/a | non-brg | 1.7 |
| B BUCK CAPITAL MGMT | | AEO+QU[??? | C | 5 | 0.15 | n/a | n/a | non-brg | 100.0 |
| BUCK CAPITAL MGMT | 001 | AEO | B | 80,000 | 11.95 | n/a | 12-Mar | 3,200.00 | 4.0 |
| B BUCK CAPITAL MGMT | | AEO | S | 5,806 | 11.90 | n/a | 12-Mar | non-brg | 4.0 |
| CATAPULT | 040 | AEO | B | 25,000 | 11.70 | n/a | 12-Mar | 1,000.00 | 4.0 |
| DENVER INST. ADV | 046 | AEO | B | 185,700 | 11.76 | n/a | 12-Mar | 7,428.00 | 4.0 |
| CASTLEROCK | 040 | AKS | B | 275,070 | 8.01 | n/a | n/a | 11,002.80 | 4.0 |
| B BUCK CAPITAL MGMT | | ALV+RV[??? | C | 10 | 0.60 | n/a | n/a | non-brg | 100.0 |
| B BUCK CAPITAL MGMT | | ALV | C | 3,044 | 18.41 | 12-Mar | 12-Mar | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | AMB | C | 103 | 14.27 | n/a | n/a | non-brg | 4.0 |
| BALYASNY ASSET MGMT | 044 | AMG | B | 5,000 | 45.16 | 13-Nov | 24-Mar | 250.00 | 5.0 |
| B BUCK CAPITAL MGMT | | AN+PU[??? | C | 10 | 0.05 | n/a | n/a | non-brg | 100.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|-----|------------|-----|---------|-------|--------|----------|-------------|-------|
| BUCK CAPITAL MGMT | 001 | ANF | SS | 20,000 | 23.12 | n/a | 6-Feb | 800.00 | 4.0 |
| ß BUCK CAPITAL MGMT | | ANF | C | 1,242 | 24.16 | n/a | 6-Feb | non-brg | 4.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | ANF | S | 25,000 | 23.23 | n/a | 6-Feb | 1,250.00 | 5.0 |
| ß BUCK CAPITAL MGMT | | AN | C | 2,035 | 13.18 | 30-Jan | 30-Jan | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | ARE | C | 137 | 36.95 | n/a | n/a | non-brg | 4.0 |
| f KAREN F LEDDY | FID | ARGN | S | 300 | 4.06 | 22-Dec | 11-Feb | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | ARO | C | 513 | 26.22 | n/a | 13-Mar | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | AVB | C | 68 | 50.13 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | AVP+PD[??? | C | 5 | 1.25 | n/a | n/a | non-brg | 300.0 |
| ß BUCK CAPITAL MGMT | | AVP+PW[??? | C | 5 | 0.35 | n/a | n/a | non-brg | 100.0 |
| ß BUCK CAPITAL MGMT | | AVP+SC[??? | C | 6 | 0.80 | n/a | n/a | non-brg | 100.0 |
| ß BUCK CAPITAL MGMT | | AVP | C | 2,242 | 19.76 | 25-Feb | 20-Mar | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | AVP | C | 50,000 | 19.38 | 25-Feb | 20-Mar | non-brg | 4.0 |
| f ALEXANDER PRYLUCKI | FID | BAC | B | 400 | 7.86 | 2-Mar | 23-Mar | 0.00 | 0.0 |
| KLEINHEINZ CAP PART | 031 | BAC | S | 200,000 | 7.24 | 2-Mar | 23-Mar | 10,000.00 | 5.0 |
| ß BUCK CAPITAL MGMT | | BBBY | C | 3,830 | 24.53 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | BBY+RT[??? | C | 10 | 0.45 | n/a | n/a | non-brg | 100.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|---------------------|-----|------------|-----|--------|-------|-------|----------|---------------|
| ß BUCK CAPITAL MGMT | | BDK | C | 445 | 28.68 | n/a | n/a | non-brg 4.0 |
| ß BUCK CAPITAL MGMT | | BHQ+PW[??? | C | 5 | 0.13 | n/a | n/a | non-brg 100.0 |
| ß BUCK CAPITAL MGMT | | BHQ+QD[??? | C | 10 | 0.60 | n/a | n/a | non-brg 100.0 |
| ß BUCK CAPITAL MGMT | | BHQ+QW[??? | C | 25 | 0.27 | n/a | n/a | non-brg 100.0 |
| ß BUCK CAPITAL MGMT | | BIG | C | 1,026 | 20.92 | 4-Mar | 6-Mar | non-brg 4.0 |
| ß BUCK CAPITAL MGMT | | BJ | C | 769 | 31.17 | n/a | 27-Jul | non-brg 4.0 |
| ß BUCK CAPITAL MGMT | | BKC | C | 770 | 23.32 | 6-Feb | 3-Mar | non-brg 4.0 |
| ß BUCK CAPITAL MGMT | | BKS+PB[??? | C | 6 | 0.05 | n/a | n/a | non-brg 100.0 |
| ß BUCK CAPITAL MGMT | | BKS+PC[??? | C | 5 | 0.05 | n/a | n/a | non-brg 100.0 |
| ß BUCK CAPITAL MGMT | | BKS+PV[??? | C | 10 | 0.05 | n/a | n/a | non-brg 100.0 |
| ß BUCK CAPITAL MGMT | | BKS+SV[??? | C | 5 | 0.30 | n/a | n/a | non-brg 100.0 |
| ß BUCK CAPITAL MGMT | | BKS | C | 3,591 | 23.50 | n/a | n/a | non-brg 4.0 |
| ß BUCK CAPITAL MGMT | | BOBE | C | 40,000 | 22.07 | n/a | n/a | non-brg 2.5 |
| ß BUCK CAPITAL MGMT | | BRBY LN | C | 3,540 | 3.96 | n/a | n/a | non-brg 0.2 |
| ß BUCK CAPITAL MGMT | | BWA+SR[??? | C | 10 | 0.85 | n/a | n/a | non-brg 100.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------|-----|------------|-----|---------|-------|--------|----------|-------------|-------|
| BRENCOURT | 028 | BWA | SS | 25,000 | 20.58 | 12-Mar | 19-Mar | 1,250.00 | 5.0 |
| ß BUCK CAPITAL MGMT | | BWA | C | 4,896 | 21.46 | 12-Mar | 19-Mar | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | BXP | C | 205 | 39.05 | n/a | n/a | non-brg | 4.0 |
| BALYASNY ASSET MGMT | 044 | BX | B | 15,000 | 8.68 | n/a | n/a | 600.00 | 4.0 |
| PHILADELPHIA FINANCIAL | 033 | BX | B | 188,000 | 8.38 | n/a | n/a | 7,520.00 | 4.0 |
| WILLIAMS/5 POINTS BOBBY | 044 | BYI | S | 26,000 | 18.15 | n/a | n/a | 780.00 | 3.0 |
| ß BUCK CAPITAL MGMT | | CAB | C | 1,146 | 8.63 | n/a | n/a | non-brg | 3.0 |
| f ALEXANDER PRYLUCKI | FID | CAL | B | 350 | 8.71 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | CBRL | C | 359 | 27.89 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | CCL+PC[??? | C | 10 | 0.05 | n/a | n/a | non-brg | 100.0 |
| ß BUCK CAPITAL MGMT | | CCL+PR[??? | C | 5 | 0.05 | n/a | n/a | non-brg | 100.0 |
| ß BUCK CAPITAL MGMT | | CCL+SR[??? | C | 5 | 0.40 | n/a | n/a | non-brg | 100.0 |
| ß BUCK CAPITAL MGMT | | CCL | C | 727 | 22.99 | n/a | 26-Jan | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | CCL | C | 80,000 | 24.02 | n/a | 26-Jan | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | CCL | S | 40,000 | 24.50 | n/a | 26-Jan | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | CECO | C | 718 | 22.69 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | CHRS | S | 7,165 | 1.57 | n/a | 22-Mar | non-brg | 2.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---------------------|-----|------------|-----|--------|-------|--------|----------|-------------|-------|
| BUCK CAPITAL MGMT | | CHS | S | 1,317 | 5.40 | 5-Dec | 30-Jan | non-brg | 3.0 |
| MARC PAUL LUCHANSKY | FID | CIVVX | B | 119 | 7.58 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | | CJY+RH[??? | C | 20 | 1.24 | n/a | n/a | non-brg | 300.0 |
| STELLIAM INV ADV | 040 | CLW | B | 6,800 | 7.71 | n/a | n/a | 204.00 | 3.0 |
| BUCK CAPITAL MGMT | | CMG | C | 2,223 | 65.40 | 23-Oct | 12-Feb | non-brg | 4.0 |
| BUCK CAPITAL MGMT | | COCO | C | 718 | 19.69 | n/a | n/a | non-brg | 4.0 |
| BUCK CAPITAL MGMT | 001 | COH | B | 80,000 | 16.88 | 9-Jan | 22-Jan | 3,200.00 | 4.0 |
| BUCK CAPITAL MGMT | | COH | S | 12,408 | 17.14 | 9-Jan | 22-Jan | non-brg | 4.0 |
| BUCK CAPITAL MGMT | | COLM | C | 1,043 | 30.53 | n/a | n/a | non-brg | 4.0 |
| BUCK CAPITAL MGMT | | COST | C | 1,026 | 46.96 | n/a | 27-Jul | non-brg | 4.0 |
| BUCK CAPITAL MGMT | | CPKI | C | 256 | 13.14 | 30-Oct | 13-Feb | non-brg | 4.0 |
| CATAPULT | 040 | CTRN | S | 12,823 | 15.20 | n/a | n/a | 512.92 | 4.0 |
| HOLDEN CAPITAL MGMT | 035 | CTXS | B | 25,000 | 22.67 | n/a | n/a | 1,250.00 | 5.0 |
| BUCK CAPITAL MGMT | | CVS+EY[??? | C | 5 | 2.60 | n/a | n/a | non-brg | 300.0 |
| BUCK CAPITAL MGMT | | CVS | S | 1,539 | 28.93 | n/a | n/a | non-brg | 4.0 |
| BUCK CAPITAL MGMT | | CWTR | B | 50,000 | 2.47 | n/a | n/a | non-brg | 1.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---------------------|-----|------------|-----|--------|-------|--------|----------|-------------|-------|
| ß BUCK CAPITAL MGMT | | CWTR | S | 1,653 | 2.48 | n/a | n/a | non-brg | 2.0 |
| ß BUCK CAPITAL MGMT | | DAI | C | 1,727 | 28.35 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | DAL | B | 75,000 | 5.56 | n/a | n/a | non-brg | 3.0 |
| f JASON ERIC COHEN | FID | DAL | B | 150 | 5.39 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | DECK | S | 3,964 | 50.80 | n/a | n/a | non-brg | 4.0 |
| PRINCIPLE CAPITAL | 040 | DIS | B | 51,100 | 18.45 | n/a | n/a | 1,533.00 | 3.0 |
| ß BUCK CAPITAL MGMT | | DLTR | S | 25,000 | 41.16 | 10-Feb | 6-Mar | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | DLTR | S | 25,000 | 41.25 | 10-Feb | 6-Mar | non-brg | 2.0 |
| ß BUCK CAPITAL MGMT | | DLTR | S | 603 | 40.75 | 10-Feb | 6-Mar | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | DQO+EW[??? | C | 5 | 0.50 | n/a | n/a | non-brg | 100.0 |
| ß BUCK CAPITAL MGMT | | DRI | C | 256 | 34.97 | 19-Mar | 19-Mar | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | DSW | C | 428 | 10.16 | 24-Mar | 24-Mar | non-brg | 4.0 |
| SCOPUS FUND | 041 | DSW | B | 15,000 | 10.03 | 24-Mar | 24-Mar | 750.00 | 5.0 |
| ß BUCK CAPITAL MGMT | | DV+QI[??? | C | 5 | 3.20 | n/a | n/a | non-brg | 300.0 |
| ß BUCK CAPITAL MGMT | | DV | C | 616 | 48.12 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | EAT | C | 2,548 | 14.09 | n/a | 24-Apr | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | EDU+PG[??? | C | 4 | 0.20 | n/a | n/a | non-brg | 100.0 |
| ß BUCK CAPITAL MGMT | | EDU | C | 393 | 52.30 | n/a | n/a | non-brg | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------------------------|-----|------------|-----|--------|-------|--------|----------|-------------|-------|
| ⚡ BUCK CAPITAL MGMT | | EGP | C | 86 | 27.06 | n/a | n/a | non-brg | 4.0 |
| f MARC PAUL LUCHANSKY | FID | EHSTX | B | 64 | 12.52 | n/a | n/a | 0.00 | 0.0 |
| ⚡ BUCK CAPITAL MGMT | | ELS | C | 68 | 40.32 | n/a | n/a | non-brg | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | EL | C | 256 | 25.31 | 20-Jan | 9-Feb | non-brg | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | EQR | C | 103 | 19.73 | n/a | n/a | non-brg | 4.0 |
| CRAMER ROSENTHAL/SCOTT | 012 | ERTS | S | 10,500 | 19.51 | n/a | n/a | 420.00 | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | ESS | C | 34 | 63.75 | n/a | n/a | non-brg | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | ETH+QB[??? | C | 5 | 1.15 | n/a | n/a | non-brg | 300.0 |
| ⚡ BUCK CAPITAL MGMT | | ETH | C | 376 | 10.39 | n/a | n/a | non-brg | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | EXBD | C | 68 | 14.47 | n/a | n/a | non-brg | 4.0 |
| f MARC PAUL LUCHANSKY | FID | FAGIX | B | 293 | 5.46 | n/a | n/a | 0.00 | 0.0 |
| ⚡ BUCK CAPITAL MGMT | | FBN | C | 889 | 0.80 | n/a | n/a | non-brg | 2.0 |
| f MARC PAUL LUCHANSKY | FID | FDGRX | B | 42 | 47.95 | n/a | n/a | 0.00 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | FDIVX | B | 62 | 19.32 | n/a | n/a | 0.00 | 0.0 |
| ⚡ BUCK CAPITAL MGMT | | FDO+PD[??? | C | 10 | 0.10 | n/a | n/a | non-brg | 100.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---------------------|-----|------------|-----|--------|-------|--------|----------|-------------|-------|
| BUCK CAPITAL MGMT | | FDO+PE[??? | C | 19 | 0.25 | n/a | n/a | non-brg | 100.0 |
| BUCK CAPITAL MGMT | | FDO+PW[??? | C | 8 | 0.10 | n/a | n/a | non-brg | 100.0 |
| BUCK CAPITAL MGMT | | FDO+PY[??? | C | 10 | 0.50 | n/a | n/a | non-brg | 100.0 |
| BUCK CAPITAL MGMT | | FDO | C | 2,291 | 31.55 | 5-Mar | 6-Mar | non-brg | 4.0 |
| MARC PAUL LUCHANSKY | FID | FDVIX | B | 48 | 10.39 | n/a | n/a | 0.00 | 0.0 |
| MARC PAUL LUCHANSKY | FID | FILEFX | B | 106 | 5.65 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | | FINL | S | 2,035 | 6.03 | n/a | 28-Mar | non-brg | 3.0 |
| MARC PAUL LUCHANSKY | FID | FINSX | B | 174 | 12.67 | n/a | n/a | 0.00 | 0.0 |
| MARC PAUL LUCHANSKY | FID | FLPSX | B | 94 | 21.23 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | | FMQ+QV[??? | C | 10 | 0.09 | n/a | n/a | non-brg | 100.0 |
| BUCK CAPITAL MGMT | | FMQ+QW[??? | C | 4 | 0.11 | n/a | n/a | non-brg | 100.0 |
| BUCK CAPITAL MGMT | | FMQ+TY[??? | C | 5 | 0.49 | n/a | n/a | non-brg | 100.0 |
| COBALT | 041 | FNB | B | 47,100 | 8.01 | n/a | n/a | 2,355.00 | 5.0 |
| BUCK CAPITAL MGMT | | FOSL | B | 50,000 | 16.54 | 23-Jan | 30-Jan | non-brg | 4.0 |
| BUCK CAPITAL MGMT | | FOSL | S | 10,897 | 16.49 | 23-Jan | 30-Jan | non-brg | 4.0 |
| BUCK CAPITAL MGMT | | FO | C | 923 | 25.32 | n/a | n/a | non-brg | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-----------------------|-----|------------|-----|--------|-------|-----|----------|-------------|-------|
| f MARC PAUL LUCHANSKY | FID | FRESX | B | 20 | 9.97 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | FRT | C | 325 | 46.26 | n/a | n/a | non-brg | 4.0 |
| f MARC PAUL LUCHANSKY | FID | FSCFX | B | 200 | 5.99 | n/a | n/a | 0.00 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | FSHBX | B | 290 | 7.92 | n/a | n/a | 0.00 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | FSMAX | B | 23 | 55.85 | n/a | n/a | 0.00 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | FTBFX | B | 314 | 9.24 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | FUA+FC[??? | C | 10 | 2.95 | n/a | n/a | non-brg | 300.0 |
| f MARC PAUL LUCHANSKY | FID | FVSAX | B | 260 | 9.23 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | GCO | B | 60,000 | 16.89 | n/a | 10-Jan | 2,400.00 | 4.0 |
| ß BUCK CAPITAL MGMT | | GCO | S | 3,687 | 17.12 | n/a | 10-Jan | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | GEO IM | C | 780 | 6.48 | n/a | n/a | non-brg | 0.3 |
| ß BUCK CAPITAL MGMT | | GES+DD[??? | C | 10 | 0.70 | n/a | n/a | non-brg | 100.0 |
| ß BUCK CAPITAL MGMT | | GES | B | 70,000 | 18.91 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | GES | S | 5,510 | 19.00 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | GIII | S | 15,783 | 5.57 | n/a | n/a | non-brg | 3.0 |
| ß BUCK CAPITAL MGMT | | GIL+DU[??? | C | 10 | 1.00 | n/a | n/a | non-brg | 300.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---------------------|-----|------------|-----|---------|-------|--------|----------|-------------|-------|
| ß BUCK CAPITAL MGMT | | GIL+FB[??? | C | 15 | 0.50 | n/a | n/a | non-brg | 100.0 |
| ß BUCK CAPITAL MGMT | | GIL | B | 50,000 | 8.34 | 11-Dec | 12-Feb | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | GIL | S | 10,372 | 8.13 | 11-Dec | 12-Feb | non-brg | 3.0 |
| ß BUCK CAPITAL MGMT | | GMCR | C | 1,094 | 49.89 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | GM | C | 205 | 3.21 | 19-Feb | 12-Mar | non-brg | 2.0 |
| ß BUCK CAPITAL MGMT | | GNTX | C | 359 | 10.10 | 30-Jan | 12-Mar | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | GPS | S | 6,310 | 12.88 | n/a | 30-Jan | non-brg | 4.0 |
| RDK CAPITAL MGMT | 034 | GPS | B | 100,000 | 12.82 | n/a | 30-Jan | 4,000.00 | 4.0 |
| ß BUCK CAPITAL MGMT | | GQU+DD[??? | C | 5 | 1.50 | n/a | n/a | non-brg | 300.0 |
| ß BUCK CAPITAL MGMT | | GQU+EW[??? | C | 5 | 3.80 | n/a | n/a | non-brg | 300.0 |
| ß BUCK CAPITAL MGMT | | GQU+EX[??? | C | 5 | 1.00 | n/a | n/a | non-brg | 300.0 |
| ß BUCK CAPITAL MGMT | | GRMN | C | 650 | 21.76 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | GSIC | S | 4,395 | 12.59 | n/a | n/a | non-brg | 4.0 |
| f DAVID GEORGE BUCK | FID | GSSP | S | 20 | 6.62 | n/a | n/a | 0.00 | 0.0 |
| f DAVID GEORGE BUCK | FID | GSSY | B | 20 | 1.47 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | GYMB | S | 10,619 | 20.30 | 5-Mar | 5-Mar | non-brg | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---------------------|-----|------------|-----|---------|-------|--------|----------|-------------|-------|
| BUCK CAPITAL MGMT | | GYMB | S | 50,000 | 20.22 | 5-Mar | 5-Mar | non-brg | 4.0 |
| BUCK CAPITAL MGMT | 001 | HBI | B | 150,000 | 9.75 | n/a | n/a | 4,500.00 | 3.0 |
| BUCK CAPITAL MGMT | | HBI | B | 50,000 | 9.80 | n/a | n/a | non-brg | 1.0 |
| BUCK CAPITAL MGMT | | HBI | S | 1,701 | 9.83 | n/a | n/a | non-brg | 3.0 |
| BUCK CAPITAL MGMT | | HD+QC[??? | C | 5 | 0.16 | n/a | n/a | non-brg | 100.0 |
| BUCK CAPITAL MGMT | | HD+QW[??? | C | 5 | 0.34 | n/a | n/a | non-brg | 100.0 |
| ASCEND PARTNERS | 033 | HD | C | 125,000 | 23.20 | n/a | 25-Feb | 6,250.00 | 5.0 |
| BUCK CAPITAL MGMT | | HD | C | 2,018 | 23.30 | n/a | 25-Feb | non-brg | 4.0 |
| BUCK CAPITAL MGMT | | HEW | C | 34 | 28.67 | n/a | n/a | non-brg | 4.0 |
| BUCK CAPITAL MGMT | | HME | C | 34 | 33.46 | n/a | n/a | non-brg | 4.0 |
| BUCK CAPITAL MGMT | | HOT+QB[??? | C | 5 | 0.55 | n/a | n/a | non-brg | 100.0 |
| BUCK CAPITAL MGMT | | HOTT | C | 3,591 | 9.56 | n/a | 30-Jan | non-brg | 3.0 |
| BUCK CAPITAL MGMT | | HOT | C | 50,380 | 13.22 | n/a | n/a | non-brg | 4.0 |
| MFP INVESTORS | 032 | HOT | S | 8,100 | 14.02 | n/a | n/a | 324.00 | 4.0 |
| MARC PAUL LUCHANSKY | FID | HRINX | B | 20 | 34.67 | n/a | n/a | 0.00 | 0.0 |
| NEUBERGER BERMAN | 036 | HRS | B | 3,200 | 28.17 | 24-Mar | 24-Mar | 128.00 | 4.0 |
| BUCK CAPITAL MGMT | | HSII | C | 34 | 16.09 | n/a | n/a | non-brg | 4.0 |
| LAGRANGE CAP ADV | 048 | HUN | B | 10,000 | 3.14 | n/a | n/a | 500.00 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|-----|------------|-----|---------|-------|--------|----------|-------------|-------|
| B BUCK CAPITAL MGMT | | HUO+PC[??? | C | 9 | 0.10 | n/a | n/a | non-brg | 100.0 |
| B BUCK CAPITAL MGMT | | HUO+PV[??? | C | 5 | 0.10 | n/a | n/a | non-brg | 100.0 |
| B BUCK CAPITAL MGMT | | HUO+SV[??? | C | 5 | 0.35 | n/a | n/a | non-brg | 100.0 |
| B BUCK CAPITAL MGMT | | HVT | C | 171 | 10.82 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | ICON | S | 4,395 | 8.52 | n/a | n/a | non-brg | 3.0 |
| STELLIAM INV ADV | 040 | IP | S | 50,000 | 9.15 | n/a | 20-Mar | 1,500.00 | 3.0 |
| KINGDON ASSET MGMT | 041 | ISIL | S | 100,000 | 11.91 | n/a | n/a | 4,000.00 | 4.0 |
| f MARC PAUL LUCHANSKY | FID | ITHAX | B | 133 | 20.33 | n/a | n/a | 0.00 | 0.0 |
| PRINCIPLE CAPITAL | 040 | ITT | S | 22,800 | 39.53 | n/a | 5-Feb | 684.00 | 3.0 |
| B BUCK CAPITAL MGMT | | ITX SM | C | 630 | 35.65 | n/a | n/a | non-brg | 1.8 |
| SYSTEMATIC FINANCIAL MGT | 035 | IVZ | B | 50,000 | 13.78 | 24-Mar | 24-Mar | 1,750.00 | 3.5 |
| B BUCK CAPITAL MGMT | | IYR | C | 718 | 27.40 | n/a | n/a | non-brg | 2.0 |
| LAGRANGE CAP ADV | 048 | JAKK | B | 10,000 | 12.10 | n/a | n/a | 500.00 | 5.0 |
| f MARC PAUL LUCHANSKY | FID | JANSX | B | 167 | 18.55 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | JCG+RR[??? | C | 15 | 0.35 | n/a | n/a | non-brg | 100.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-----------------------|-----|------------|-----|---------|-------|--------|----------|-------------|-------|
| ß BUCK CAPITAL MGMT | | JCG | C | 1,086 | 13.38 | n/a | 30-Jan | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | JCG | SS | 50,000 | 13.39 | n/a | 30-Jan | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | JCP+QB[??? | C | 12 | 0.15 | n/a | n/a | non-brg | 100.0 |
| ß BUCK CAPITAL MGMT | | JCP+QX[??? | C | 25 | 0.23 | n/a | n/a | non-brg | 100.0 |
| CADIAN CAPITAL | 067 | JCP | B | 100,000 | 19.35 | 6-Feb | 6-Mar | 4,000.00 | 4.0 |
| JP MORGAN VENTURES | 046 | JCP | B | 25,000 | 18.94 | 6-Feb | 6-Mar | 1,250.00 | 5.0 |
| f MARC PAUL LUCHANSKY | FID | JMCVX | B | 98 | 14.27 | n/a | n/a | 0.00 | 0.0 |
| NEUBERGER BERMAN | 036 | JNS | B | 300,000 | 6.89 | 2-Mar | 24-Mar | 9,000.00 | 3.0 |
| MADI | 046 | JNS | SS | 20,000 | 7.03 | 2-Mar | 24-Mar | 600.00 | 3.0 |
| ß BUCK CAPITAL MGMT | | JNY+EA[??? | C | 40 | 0.70 | n/a | n/a | non-brg | 100.0 |
| ß BUCK CAPITAL MGMT | | JNY | S | 10,568 | 4.85 | n/a | 11-Feb | non-brg | 2.0 |
| ß BUCK CAPITAL MGMT | | JOSB | B | 40,000 | 28.11 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | JOSB | S | 3,140 | 27.78 | n/a | n/a | non-brg | 4.0 |
| f ALEXANDER PRYLUCKI | FID | JPM | B | 100 | 28.70 | 16-Jan | 23-Mar | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | JWN | C | 2,943 | 16.82 | 20-Feb | 6-Mar | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | JWN | C | 50,000 | 16.66 | 20-Feb | 6-Mar | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | KCP | S | 2,000 | 7.14 | n/a | 28-Sep | non-brg | 1.5 |
| ß BUCK CAPITAL MGMT | | KCP | S | 23,500 | 7.09 | n/a | 28-Sep | non-brg | 1.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------|-----|------------|-----|---------|-------|--------|----------|-------------|-------|
| ß BUCK CAPITAL MGMT | | KFY | C | 68 | 8.47 | n/a | n/a | non-brg | 3.0 |
| ß BUCK CAPITAL MGMT | | KMT | C | 513 | 17.83 | n/a | 30-Jan | non-brg | 4.0 |
| SCOPUS FUND | 041 | KMT | SS | 25,000 | 17.37 | n/a | 30-Jan | 1,250.00 | 5.0 |
| ß BUCK CAPITAL MGMT | | KSS+DH[??? | C | 10 | 4.00 | n/a | n/a | non-brg | 300.0 |
| ß BUCK CAPITAL MGMT | | KSS+GI[??? | C | 5 | 3.98 | n/a | n/a | non-brg | 300.0 |
| ß BUCK CAPITAL MGMT | | KSS | S | 2,512 | 42.78 | 17-Mar | 17-Mar | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | LL | S | 5,455 | 10.99 | n/a | n/a | non-brg | 4.0 |
| BALYASNY ASSET MGMT | 044 | LM | C | 15,000 | 15.90 | 29-Jan | 24-Mar | 750.00 | 5.0 |
| MADI | 046 | LM | B | 10,000 | 16.24 | 29-Jan | 24-Mar | 500.00 | 5.0 |
| ß BUCK CAPITAL MGMT | | LNCE | C | 308 | 19.54 | n/a | n/a | non-brg | 4.0 |
| ASCEND PARTNERS | 033 | LOW | S | 90,000 | 18.16 | 23-Feb | 23-Feb | 4,500.00 | 5.0 |
| ß BUCK CAPITAL MGMT | | LRY | C | 34 | 20.11 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | LTD | S | 1,642 | 9.31 | 8-Jan | 30-Jan | non-brg | 3.0 |
| LAGRANGE CAP ADV | 048 | LULU | B | 19,322 | 6.50 | n/a | n/a | 966.10 | 5.0 |
| f ALEXANDER PRYLUCKI | FID | LVS | B | 900 | 3.18 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | LVS | B | 200,000 | 2.78 | n/a | n/a | non-brg | 2.0 |
| ß BUCK CAPITAL MGMT | | LVS | B | 50,000 | 3.15 | n/a | n/a | non-brg | 2.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-----------------------|-----|------------|-----|--------|-------|--------|----------|-------------|-------|
| B BUCK CAPITAL MGMT | | LVS | S | 4,231 | 3.09 | n/a | n/a | non-brg | 2.0 |
| B BUCK CAPITAL MGMT | | M+EB[??? | C | 15 | 1.05 | n/a | n/a | non-brg | 300.0 |
| B BUCK CAPITAL MGMT | | MAN | C | 86 | 30.34 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | MAR+PS[??? | C | 5 | 0.15 | n/a | n/a | non-brg | 100.0 |
| B BUCK CAPITAL MGMT | | MAR | C | 49,650 | 17.16 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | MC FP | C | 1,800 | 66.08 | n/a | n/a | non-brg | 3.3 |
| B BUCK CAPITAL MGMT | | MCD | C | 752 | 53.79 | 13-Oct | 9-Mar | non-brg | 4.0 |
| f MARC PAUL LUCHANSKY | FID | MFOCX | B | 168 | 10.69 | n/a | n/a | 0.00 | 0.0 |
| BRENCOURT | 028 | MGA | SS | 50,000 | 27.72 | n/a | n/a | 2,500.00 | 5.0 |
| B BUCK CAPITAL MGMT | | MHK+QX[??? | C | 5 | 1.21 | n/a | n/a | non-brg | 300.0 |
| B BUCK CAPITAL MGMT | | MHK | C | 1,026 | 27.52 | n/a | n/a | non-brg | 4.0 |
| PRINCIPLE CAPITAL | 040 | MHK | SS | 35,900 | 26.87 | n/a | n/a | 1,077.00 | 3.0 |
| f MARC PAUL LUCHANSKY | FID | MIQBX | B | 103 | 9.69 | n/a | n/a | 0.00 | 0.0 |
| f MANNY I KORMAN | FID | MMM | B | 1000 | 49.00 | 8-Dec | 17-Mar | 0.00 | 0.0 |
| f IAN L MILLER | FID | MSFT | B | 50 | 18.01 | n/a | 3-Apr | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | MVL+PX[??? | C | 6 | 0.50 | n/a | n/a | non-brg | 100.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------|-----|------------|-----|--------|-------|--------|----------|-------------|-------|
| ß BUCK CAPITAL MGMT | | MVL | C | 616 | 24.46 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | MW+QB[??? | C | 5 | 0.30 | n/a | n/a | non-brg | 100.0 |
| ß BUCK CAPITAL MGMT | | MW+QU[??? | C | 10 | 0.10 | n/a | n/a | non-brg | 100.0 |
| f BARBARA S LEDDY | FID | MWO | S | 1000 | 14.10 | n/a | n/a | 0.00 | 0.0 |
| f KAREN F LEDDY | FID | MWO | S | 700 | 14.45 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | MWV | S | 25,000 | 12.31 | 28-Jan | 28-Jan | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | MWV | S | 42,000 | 12.44 | 28-Jan | 28-Jan | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | MWW | C | 68 | 8.22 | n/a | n/a | non-brg | 3.0 |
| ß BUCK CAPITAL MGMT | | MW | C | 2,377 | 15.55 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | M | S | 9,183 | 9.23 | n/a | 6-Mar | non-brg | 3.0 |
| ß BUCK CAPITAL MGMT | | NKE+DJ[??? | C | 10 | 0.75 | n/a | n/a | non-brg | 100.0 |
| ß BUCK CAPITAL MGMT | | NKE+GK[??? | C | 6 | 1.65 | n/a | n/a | non-brg | 300.0 |
| ß BUCK CAPITAL MGMT | | NKE | S | 2,548 | 46.20 | n/a | n/a | non-brg | 4.0 |
| PROSPECTOR PARTNERS LLC | 036 | NP | B | 10,000 | 4.00 | 13-Mar | 13-Mar | 400.00 | 4.0 |
| SANDLER O'NEILL ASSET | 031 | NTRS | S | 25,000 | 64.19 | 14-Jan | 23-Mar | 1,250.00 | 5.0 |
| ß BUCK CAPITAL MGMT | | NWY | S | 2,257 | 3.08 | n/a | 30-Jan | non-brg | 2.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-----------------------|-----|--------|-----|--------|-------|--------|----------|-------------|-----|
| f MARC PAUL LUCHANSKY | FID | OAKMX | B | 48 | 23.14 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | OFC | C | 86 | 25.92 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | ORI SS | C | 210 | 28.35 | n/a | n/a | non-brg | 1.4 |
| ß BUCK CAPITAL MGMT | | OSTK | C | 137 | 9.92 | n/a | n/a | non-brg | 3.0 |
| ß BUCK CAPITAL MGMT | | O | C | 51 | 18.42 | n/a | n/a | non-brg | 4.0 |
| f MARC PAUL LUCHANSKY | FID | PAHIX | B | 253 | 4.74 | n/a | n/a | 0.00 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | PAVLX | B | 126 | 13.50 | n/a | n/a | 0.00 | 0.0 |
| f KAREN F LEDDY | FID | PBR | S | 200 | 34.04 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | PCAR | S | 20,000 | 27.34 | 25-Mar | 17-Mar | non-brg | 4.0 |
| f MARC PAUL LUCHANSKY | FID | PCRRX | B | 220 | 6.37 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | PERY | S | 5,780 | 3.91 | n/a | n/a | non-brg | 2.0 |
| ß BUCK CAPITAL MGMT | | PFCB | C | 1,146 | 23.90 | 8-Jan | 12-Feb | non-brg | 4.0 |
| LAGRANGE CAP ADV | 048 | PFE | B | 10,000 | 14.04 | n/a | 31-Mar | 500.00 | 5.0 |
| f MARC PAUL LUCHANSKY | FID | PFUUX | B | 137 | 8.03 | n/a | n/a | 0.00 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | PHYAX | B | 199 | 6.52 | n/a | n/a | 0.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------------------------|-----|------------|-----|--------|-------|--------|----------|-------------|-------|
| ß BUCK CAPITAL MGMT | | PII | C | 308 | 22.30 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | PLCE | S | 4,187 | 21.84 | 19-Mar | 19-Mar | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | POOL | C | 188 | 13.85 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | PP FP | C | 810 | 65.55 | n/a | n/a | non-brg | 3.3 |
| f STEFFANIE CARMELA CA | FID | PQ | S | 70 | 3.11 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | PRQ+PI[??? | C | 6 | 1.00 | n/a | n/a | non-brg | 300.0 |
| ß BUCK CAPITAL MGMT | | PRQ+SA[??? | C | 5 | 0.60 | n/a | n/a | non-brg | 100.0 |
| BALYASNY ASSET MGMT | 044 | PRU | C | 10,000 | 21.62 | n/a | n/a | 500.00 | 5.0 |
| ß BUCK CAPITAL MGMT | | PSB | C | 86 | 36.38 | n/a | n/a | non-brg | 4.0 |
| f MARC PAUL LUCHANSKY | FID | PSFAX | B | 171 | 9.34 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | PSS+FB[??? | C | 10 | 1.60 | n/a | n/a | non-brg | 300.0 |
| ß BUCK CAPITAL MGMT | | PSS | S | 5,833 | 9.93 | n/a | n/a | non-brg | 3.0 |
| ß BUCK CAPITAL MGMT | | PSUN | S | 3,283 | 1.66 | 6-Feb | 6-Feb | non-brg | 2.0 |
| f MARC PAUL LUCHANSKY | FID | PTRAX | B | 288 | 10.07 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | PVH+DC[??? | C | 10 | 6.60 | n/a | n/a | non-brg | 300.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------|-----|------------|-----|--------|-------|--------|----------|---------------|-----|
| BUCK CAPITAL MGMT | | PVH+DW[??? | C | 25 | 4.30 | n/a | n/a | non-brg 300.0 | |
| BUCK CAPITAL MGMT | | PVH+FD[??? | C | 5 | 3.60 | n/a | n/a | non-brg 300.0 | |
| BUCK CAPITAL MGMT | | PVH+FE[??? | C | 10 | 1.30 | n/a | n/a | non-brg 300.0 | |
| BUCK CAPITAL MGMT | | PVH+FW[??? | C | 10 | 5.10 | n/a | n/a | non-brg 300.0 | |
| BUCK CAPITAL MGMT | | PVH | S | 5,865 | 21.66 | 22-Jan | 22-Jan | non-brg | 4.0 |
| COUGAR TRADING | 044 | PVH | B | 5,000 | 19.48 | 22-Jan | 22-Jan | 250.00 | 5.0 |
| SHAREVEST CAPITAL MGMT. | 038 | PWR | S | 7,300 | 21.75 | n/a | n/a | 365.00 | 5.0 |
| BUCK CAPITAL MGMT | | QAA+GT[??? | C | 2 | 16.00 | n/a | n/a | non-brg 300.0 | |
| BUCK CAPITAL MGMT | | QIA+DU[??? | C | 10 | 1.45 | n/a | n/a | non-brg 300.0 | |
| BUCK CAPITAL MGMT | | QIA+EB[??? | C | 5 | 0.50 | n/a | n/a | non-brg 100.0 | |
| BUCK CAPITAL MGMT | | QIA+EU[??? | C | 5 | 1.60 | n/a | n/a | non-brg 300.0 | |
| JASON ERIC COHEN | FID | QNQIV | B | 1 | 6.76 | n/a | n/a | 0.00 | 0.0 |
| JASON ERIC COHEN | FID | QNQUZ | S | 1 | 4.76 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | | QPT+PC[??? | C | 5 | 0.10 | n/a | n/a | non-brg 100.0 | |
| BUCK CAPITAL MGMT | | QUK+FJ[??? | C | 9 | 7.60 | n/a | n/a | non-brg 300.0 | |
| BUCK CAPITAL MGMT | | QUK+FM[??? | C | 2 | 2.16 | n/a | n/a | non-brg 300.0 | |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---------------------|-----|------------|-----|--------|-------|--------|----------|---------------|-----|
| ß BUCK CAPITAL MGMT | | QUK+FO[??? | C | 1 | 0.74 | n/a | n/a | non-brg 100.0 | |
| f ROBERT M DANIELS | FID | QXM | S | 500 | 2.29 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | QZS+DF[??? | C | 2 | 1.35 | n/a | n/a | non-brg 100.0 | |
| ß BUCK CAPITAL MGMT | | QZS+DG[??? | C | 5 | 0.40 | n/a | n/a | non-brg 100.0 | |
| ß BUCK CAPITAL MGMT | | QZS+DH[??? | C | 5 | 0.10 | n/a | n/a | non-brg 100.0 | |
| ß BUCK CAPITAL MGMT | | QZS+GF[??? | C | 5 | 3.20 | n/a | n/a | non-brg 300.0 | |
| ß BUCK CAPITAL MGMT | | QZS+GG[??? | C | 5 | 1.65 | n/a | n/a | non-brg 300.0 | |
| ß BUCK CAPITAL MGMT | | RCL | S | 1,163 | 8.64 | 30-Jan | 30-Jan | non-brg | 3.0 |
| ß BUCK CAPITAL MGMT | | RCL | S | 5,000 | 9.06 | 30-Jan | 30-Jan | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | RCL | S | 75,000 | 9.10 | 30-Jan | 30-Jan | non-brg | 3.0 |
| ß BUCK CAPITAL MGMT | | RCL | S | 95,000 | 9.02 | 30-Jan | 30-Jan | non-brg | 2.0 |
| ß BUCK CAPITAL MGMT | | REG | C | 137 | 28.34 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | REQ+QE[??? | C | 5 | 0.25 | n/a | n/a | non-brg 100.0 | |
| ß BUCK CAPITAL MGMT | | REQ+QX[??? | C | 5 | 0.15 | n/a | n/a | non-brg 100.0 | |
| ß BUCK CAPITAL MGMT | | RHI | C | 51 | 17.73 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | RL+PE[??? | C | 4 | 0.08 | n/a | n/a | non-brg 100.0 | |
| ß BUCK CAPITAL MGMT | | RL+PF[??? | C | 20 | 0.12 | n/a | n/a | non-brg 100.0 | |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------|-----|------------|-----|---------|-------|-----|----------|-------------|-------|
| ß BUCK CAPITAL MGMT | | RL+PG[??? | C | 20 | 0.50 | n/a | n/a | non-brg | 100.0 |
| ß BUCK CAPITAL MGMT | | RL | C | 100 | 42.01 | n/a | 5-Feb | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | RL | C | 16,600 | 41.72 | n/a | 5-Feb | non-brg | 1.5 |
| ß BUCK CAPITAL MGMT | | RL | C | 300 | 41.70 | n/a | 5-Feb | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | RL | C | 40,000 | 41.94 | n/a | 5-Feb | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | RL | C | 56,237 | 41.74 | n/a | 5-Feb | non-brg | 2.5 |
| ß BUCK CAPITAL MGMT | | RL | C | 94,434 | 41.90 | n/a | 5-Feb | non-brg | 1.0 |
| COUGAR TRADING | 044 | RL | B | 2,500 | 41.68 | n/a | 5-Feb | 125.00 | 5.0 |
| ß BUCK CAPITAL MGMT | | RNT+HF[??? | C | 11 | 1.10 | n/a | n/a | non-brg | 300.0 |
| ß BUCK CAPITAL MGMT | | RNT | S | 3,255 | 23.56 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | ROST | C | 1,163 | 35.45 | n/a | n/a | non-brg | 4.0 |
| SENVEST PART | 045 | RVI | S | 38,792 | 2.50 | n/a | n/a | 1,163.76 | 3.0 |
| ß BUCK CAPITAL MGMT | | SAB LN | C | 900 | 15.28 | n/a | n/a | non-brg | 0.8 |
| f MARC PAUL LUCHANSKY | FID | SBLGX | B | 100 | 16.00 | n/a | n/a | 0.00 | 0.0 |
| DECADE CAPITAL PARTNERS | 040 | SBUX | B | 20,000 | 11.72 | n/a | 17-Feb | 1,000.00 | 5.0 |
| CATAPULT | 040 | SCHL | B | 9,450 | 13.28 | n/a | n/a | 378.00 | 4.0 |
| PAULSON & CO INC | 041 | SGP | B | 300,000 | 24.26 | n/a | n/a | 9,000.00 | 3.0 |
| ß BUCK CAPITAL MGMT | | SIG LN | C | 40,000 | 11.58 | n/a | n/a | non-brg | 1.7 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------------------------|-----|------------|-----|--------|-------|--------|----------|-------------|-------|
| f CHRISTOPHER ARTHUR K | FID | SKF | B | 200 | 93.09 | n/a | n/a | 0.00 | 0.0 |
| f WILLIAM J GAULT | FID | SKF | B | 10000 | 92.09 | n/a | n/a | 0.00 | 0.0 |
| f WILLIAM J GAULT | FID | SKF | S | 10000 | 93.11 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | SKX+DU[??? | C | 5 | 0.15 | n/a | n/a | non-brg | 100.0 |
| ß BUCK CAPITAL MGMT | | SKX+GU[??? | C | 5 | 0.75 | n/a | n/a | non-brg | 100.0 |
| ß BUCK CAPITAL MGMT | | SKX | B | 20,000 | 6.39 | n/a | 13-Mar | non-brg | 3.0 |
| ß BUCK CAPITAL MGMT | | SKX | S | 17,469 | 6.44 | n/a | 13-Mar | non-brg | 3.0 |
| f MARC PAUL LUCHANSKY | FID | SLASX | B | 99 | 25.32 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | SLG | C | 291 | 12.80 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | SPG | C | 221 | 37.37 | n/a | n/a | non-brg | 4.0 |
| f DAVID GEORGE BUCK | FID | SZCPV | S | 10 | 1.04 | n/a | n/a | 0.00 | 0.0 |
| WHITE PINE CAPITAL | 030 | TGT | B | 4,300 | 33.12 | 25-Feb | 20-Mar | 215.00 | 5.0 |
| ß BUCK CAPITAL MGMT | | THI+PD[??? | C | 4 | 0.10 | n/a | n/a | non-brg | 100.0 |
| ß BUCK CAPITAL MGMT | | TIF+QC[??? | C | 10 | 0.30 | n/a | n/a | non-brg | 100.0 |
| ß BUCK CAPITAL MGMT | | TIF+QW[??? | C | 5 | 0.55 | n/a | n/a | non-brg | 100.0 |
| ß BUCK CAPITAL MGMT | | TIF+TB[??? | C | 5 | 0.30 | n/a | n/a | non-brg | 100.0 |
| ß BUCK CAPITAL MGMT | | TIF | C | 1,026 | 23.51 | n/a | 30-Jan | non-brg | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------|-----|------------|-----|--------|-------|-------|----------|-------------|-------|
| ß BUCK CAPITAL MGMT | | TIN | S | 25,000 | 5.39 | 5-Dec | 20-Mar | non-brg | 3.0 |
| DC CAPITAL | 044 | TIN | B | 50,000 | 5.41 | 5-Dec | 20-Mar | 1,500.00 | 3.0 |
| f JASON ERIC COHEN | FID | TIN | S | 150 | 5.36 | 5-Dec | 20-Mar | 0.00 | 0.0 |
| SCOPUS FUND | 041 | TIN | B | 25,000 | 5.40 | 5-Dec | 20-Mar | 1,250.00 | 5.0 |
| LISTED ERR | 099 | TIN | B | 25,000 | 5.40 | 5-Dec | 20-Mar | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | TPX+FS[??? | C | 5 | 1.15 | n/a | n/a | non-brg | 300.0 |
| ß BUCK CAPITAL MGMT | | TQQ+PE[??? | C | 5 | 0.33 | n/a | n/a | non-brg | 100.0 |
| ß BUCK CAPITAL MGMT | | TQQ+PF[??? | C | 5 | 1.60 | n/a | n/a | non-brg | 300.0 |
| ß BUCK CAPITAL MGMT | | TRLG | S | 42,500 | 11.37 | n/a | n/a | non-brg | 2.5 |
| ß BUCK CAPITAL MGMT | | TRLG | S | 685 | 11.51 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | TRLG | S | 7,500 | 11.42 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | TSCO LN | C | 2,700 | 4.93 | n/a | n/a | non-brg | 0.2 |
| ß BUCK CAPITAL MGMT | | TSCO | C | 256 | 36.94 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | TUY+DD[??? | C | 10 | 2.70 | n/a | n/a | non-brg | 300.0 |
| ß BUCK CAPITAL MGMT | | TUY+FG[??? | C | 8 | 0.15 | n/a | n/a | non-brg | 100.0 |
| f ALEXANDER PRYLUCKI | FID | UAUA | B | 650 | 4.70 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | UAUA | B | 50,000 | 4.66 | n/a | n/a | non-brg | 3.0 |
| ß BUCK CAPITAL MGMT | | UAUA | B | 50,000 | 4.70 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | UHO+QU[??? | C | 20 | 0.43 | n/a | n/a | non-brg | 100.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-----------------------|-----|------------|-----|--------|-------|-----|----------|-------------|-------|
| ß BUCK CAPITAL MGMT | | UHO+TU[??? | C | 6 | 1.00 | n/a | n/a | non-brg | 300.0 |
| ß BUCK CAPITAL MGMT | | UNFI | C | 359 | 17.82 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | URBN | S | 2,736 | 17.24 | n/a | 30-Jan | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | URQ+FD[??? | C | 5 | 1.10 | n/a | n/a | non-brg | 300.0 |
| ß BUCK CAPITAL MGMT | | URQ+FW[??? | C | 5 | 2.10 | n/a | n/a | non-brg | 300.0 |
| ß BUCK CAPITAL MGMT | | URQ+FX[??? | C | 10 | 0.55 | n/a | n/a | non-brg | 100.0 |
| ß BUCK CAPITAL MGMT | | VFC | S | 513 | 59.46 | n/a | n/a | non-brg | 4.0 |
| LAGRANGE CAP ADV | 048 | VIP | B | 9,722 | 6.85 | n/a | n/a | 486.10 | 5.0 |
| ß BUCK CAPITAL MGMT | | VNO | C | 29 | 37.21 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | WAA+MN[??? | C | 10 | 1.22 | n/a | n/a | non-brg | 300.0 |
| f MARC PAUL LUCHANSKY | FID | WBIGX | B | 82 | 12.22 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | WFMI | C | 4,053 | 16.92 | n/a | n/a | non-brg | 4.0 |
| GRANITE CAPITAL | 045 | WFMI | B | 20,000 | 17.21 | n/a | n/a | 1,000.00 | 5.0 |
| ß BUCK CAPITAL MGMT | | WINN | C | 7,800 | 9.78 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | WINN | C | 81,930 | 9.81 | n/a | n/a | non-brg | 2.5 |
| ß BUCK CAPITAL MGMT | | WMS+SV[??? | C | 10 | 0.45 | n/a | n/a | non-brg | 100.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|---------------------|-----|------------|-----|--------|-------|--------|----------|--------------|-------|
| BUCK CAPITAL MGMT | | WMT+DJ[??? | C | 10 | 2.28 | n/a | n/a | non-brg | 300.0 |
| BUCK CAPITAL MGMT | | WMT+DX[??? | C | 5 | 0.98 | n/a | n/a | non-brg | 100.0 |
| BUCK CAPITAL MGMT | | WMT+EK[??? | C | 6 | 0.96 | n/a | n/a | non-brg | 100.0 |
| BUCK CAPITAL MGMT | | WMT+EK[??? | SS | 1,000 | 0.90 | n/a | n/a | non-brg | 100.0 |
| BUCK CAPITAL MGMT | | WMT+FK[??? | C | 6 | 1.55 | n/a | n/a | non-brg | 300.0 |
| BUCK CAPITAL MGMT | 001 | WMT | S | 80,000 | 51.18 | 10-Oct | 6-Mar | 3,200.00 | 4.0 |
| BUCK CAPITAL MGMT | | WMT | S | 4,331 | 51.35 | 10-Oct | 6-Mar | non-brg | 4.0 |
| CATAPULT | 040 | WMT | B | 80,000 | 50.87 | 10-Oct | 6-Mar | 3,200.00 | 4.0 |
| BUCK CAPITAL MGMT | | WRC+DD[??? | C | 5 | 3.90 | n/a | n/a | non-brg | 300.0 |
| BUCK CAPITAL MGMT | | WRC+DE[??? | C | 20 | 0.75 | n/a | n/a | non-brg | 100.0 |
| BALYASNY ASSET MGMT | 044 | WRC | S | 20,000 | 22.43 | 27-Feb | 27-Feb | 1,000.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | WRC | B | 20,000 | 22.47 | 27-Feb | 27-Feb | 800.00 | 4.0 |
| BUCK CAPITAL MGMT | | WRC | S | 12,158 | 23.19 | 27-Feb | 27-Feb | non-brg | 4.0 |
| BUCK CAPITAL MGMT | | WRC | S | 25,000 | 22.54 | 27-Feb | 27-Feb | non-brg | 4.0 |
| CATAPULT | 040 | WRC | B | 22,500 | 23.15 | 27-Feb | 27-Feb | 900.00 | 4.0 |
| HARVEST MGMT | 039 | WRC | B | 50,000 | 23.11 | 27-Feb | 27-Feb | 2,500.00 | 5.0 |
| BUCK CAPITAL MGMT | | WRI | C | 427 | 10.09 | n/a | n/a | non-brg | 4.0 |
| BUCK CAPITAL MGMT | | WSM+QA[??? | C | 15 | 0.10 | n/a | n/a | non-brg | 100.0 |
| BUCK CAPITAL MGMT | | WSM+QS[??? | C | 5 | 0.25 | n/a | n/a | non-brg | 100.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------|-----|------------|-----|---------|-------|--------|------------|-------------|-------|
| ß BUCK CAPITAL MGMT | | WSM+TA[??? | C | 25 | 0.30 | n/a | n/a | non-brg | 100.0 |
| ß BUCK CAPITAL MGMT | | WSM | C | 7,524 | 11.96 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | WYNN | C | 230 | 22.71 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | WYNN | C | 50,000 | 23.15 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | XRT | C | 31,399 | 23.00 | n/a | n/a | non-brg | 2.0 |
| ß BUCK CAPITAL MGMT | | XRT | C | 325,000 | 22.87 | n/a | n/a | non-brg | 1.0 |
| CASTLEROCK | 040 | X | B | 97,427 | 21.71 | n/a | n/a | 3,897.08 | 4.0 |
| TRUST CO/COWEN/CALF. | 040 | X | B | 74,975 | 23.53 | n/a | n/a | 2,999.00 | 4.0 |
| ß BUCK CAPITAL MGMT | | YUM+PX[??? | C | 8 | 0.15 | n/a | n/a | non-brg | 100.0 |
| ß BUCK CAPITAL MGMT | | ZJQ+DB[??? | C | 5 | 2.10 | n/a | n/a | non-brg | 300.0 |
| ß BUCK CAPITAL MGMT | | ZLC | C | 941 | 1.82 | n/a | n/a | non-brg | 2.0 |
| BUCK CAPITAL MGMT | 001 | ZQK | B | 200,000 | 1.17 | 12-Mar | 12-Mar | 4,000.00 | 2.0 |
| ß BUCK CAPITAL MGMT | | ZQK | S | 5,987 | 1.15 | 12-Mar | 12-Mar | non-brg | 2.0 |
| ß BUCK CAPITAL MGMT | | ZWR+PW[??? | C | 13 | 0.20 | n/a | n/a | non-brg | 100.0 |
| TOTAL (Trade Date): | | | | | | | 150,613.76 | | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------|-------|------------------|------|--------|-----|--------|-------|--------|----------|-------------|
| AO, | 03/23 | UBS OCONNOR | 031 | BEN | B | 9,800 | 48.99 | 24-Mar | 24-Mar | 294.00 3.0 |
| AO,CXL | 03/20 | STELLIAM INV ADV | 040 | IP | B | 25,000 | 7.18 | n/a | 20-Mar | 750.00 3.0 |
| AO,CRT | 03/20 | STELLIAM INV ADV | 040 | IP | B | 25,000 | 7.18 | n/a | 20-Mar | 750.00 3.0 |
| AO,CRT | 03/23 | GALT INVESTMENT | 041 | WTSLA | S | 30,000 | 3.18 | n/a | n/a | 750.00 2.5 |
| AO,CXL | 03/23 | GALT INVESTMENT | 041 | WTSLA | S | 30,000 | 3.18 | n/a | n/a | 1500.00 5.0 |

| | |
|-------------------------------|----------------|
| TOTAL (AO, CXL, CRT) : | -456.00 |
|-------------------------------|----------------|

| | |
|------------------------|------------|
| TOTAL (Trade Date) : | 150,613.76 |
| TOTAL (AO, CXL, CRT) : | -456.00 |

| | |
|--------------------------------|-------------------|
| TOTAL (RUN DATE) / NFS: | 150,157.76 |
|--------------------------------|-------------------|

| |
|--|
| MRI Securities with Trade Activity on 24-Mar. DSW, HRS, IVZ |
|--|

| |
|---|
| MRI Securities without Trade Activity on 24-Mar. AGN, BEN, DKS, FL |
|---|

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

T-Date = 23%

YTD = 24%

| |
|--|
| <u>Legend:</u> |
| 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 |
| BCM Watch List Trades |
| f: Employee Trades (Fidelity) |