



Daily Compliance Activity Report

Trade Date: 09/15/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------------|---------------|-----------|---------------|--------------|---------------|---------------|----------------|--------------|
| GRONET | 030 | ABG | S | 100 | 13.03 | 10-Jun | 31-Jul | 0.00 | 0.0 |
| CSFB GLOBAL PROPRIETARY | 041 | ABH | B | 50,000 | 5.33 | n/a | 11-Sep | 2,500.00 | 5.0 |
| PATTEN & PATTEN | 067 | AB | B | 200 | 43.60 | 10-Sep | 15-Sep | 10.00 | 5.0 |
| AVESTA CAP | 229 | ADBE | B | 25,000 | 40.04 | n/a | n/a | 1,250.00 | 5.0 |
| PATTEN & PATTEN | 067 | ADM | B | 200 | 23.41 | 18-Aug | 15-Sep | 10.00 | 5.0 |
| PATTEN & PATTEN | 067 | ADSK | S | 200 | 33.82 | n/a | n/a | 10.00 | 5.0 |
| COUGAR TRADING | 044 | AEO | S | 5,000 | 16.03 | n/a | 5-Sep | 250.00 | 5.0 |
| JMP ASSET MGMT | 210 | AEO | B | 5,500 | 16.48 | n/a | 5-Sep | 275.00 | 5.0 |
| BUCK | 015 | AIGJD | B | 10 | 0.12 | n/a | n/a | 0.00 | 0.0 |
| BUCK | 015 | AILJN | S | 30 | 0.76 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | ANF | S | 10,000 | 48.30 | 7-Aug | 5-Sep | non-brg | 4.0 |
| COUGAR TRADING | 044 | ANF | S | 5,000 | 48.92 | 7-Aug | 5-Sep | 250.00 | 5.0 |
| B BUCK CAPITAL MGMT | | ANN+XD | SS | 1,000 | 0.85 | n/a | n/a | non-brg | 100.0 |
| BULL PATH CAPITAL | 044 | ANN | B | 38,500 | 24.84 | n/a | 22-Aug | 1,925.00 | 5.0 |
| BRENCOURT | 028 | AN | SS | 25,000 | 12.45 | 25-Jul | 28-Jul | 1,250.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|---------------|-----------|---------------|--------------|------------|---------------|----------------|--------------|
| PATTEN & PATTEN | 067 | APOL | S | 400 | 66.30 | n/a | n/a | 20.00 | 5.0 |
| B BUCK CAPITAL MGMT | | APP | B | 20,000 | 8.92 | n/a | n/a | non-brg | 1.0 |
| JPMSI/TOM LEDDY | 035 | ARO | S | 10,000 | 34.95 | 28-Apr | 5-Sep | 500.00 | 5.0 |
| GAULT | 063 | ASTI | S | 1,500 | 6.41 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | BAC | C | 20,000 | 29.96 | n/a | 15-Sep | non-brg | 4.0 |
| FORD FDN. | 032 | BAC | S | 55,000 | 27.65 | n/a | 15-Sep | 2,750.00 | 5.0 |
| SUTTONBROOK CAPITAL | 067 | BAC | S | 250,000 | 28.97 | n/a | 15-Sep | 10,000.00 | 4.0 |
| B BUCK CAPITAL MGMT | | BARE | S | 50,000 | 10.99 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | BHQ+WF | SS | 1,000 | 1.36 | n/a | n/a | non-brg | 300.0 |
| BUCK CAPITAL MGMT | 001 | BKE | S | 10,000 | 56.46 | n/a | n/a | 400.00 | 4.0 |
| RAINIER INV MGMT | 035 | BLK | S | 38,680 | 204.55 | n/a | 15-Sep | 1,934.00 | 5.0 |
| SANDLER O'NEILL ASSET | 031 | BLK | B | 2,100 | 203.21 | n/a | 15-Sep | 105.00 | 5.0 |
| LEDDY | 035 | BONT | S | 3,000 | 3.45 | n/a | 5-Sep | 0.00 | 0.0 |
| WHEELER | 008 | BQI | B | 9,300 | 2.85 | n/a | n/a | 0.00 | 0.0 |
| PERRY PARTNERS | 041 | BUD | B | 117,300 | 67.55 | n/a | n/a | 3,519.00 | 3.0 |
| BRENCOURT | 028 | BWA | SS | 25,000 | 39.06 | 10-Jun | 1-Aug | 1,250.00 | 5.0 |
| PATTEN & PATTEN | 067 | CAG | S | 4,900 | 19.87 | n/a | n/a | 245.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------------|---------------|-----------|---------------|---------------|---------------|---------------|----------------|--------------|
| WHEELER | 008 | CHP | B | 10,000 | 5.76 | n/a | n/a | 0.00 | 0.0 |
| MS PRINCIPAL STRATEGIES | 041 | CLMS | B | 19,000 | 16.85 | 13-Aug | 15-Sep | 950.00 | 5.0 |
| NOMURA CAPITAL | 045 | CLUB | SS | 8,100 | 9.75 | n/a | n/a | 324.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | CLX | SS | 20,000 | 63.43 | 4-Aug | 4-Aug | 800.00 | 4.0 |
| WYCKOFF | 013 | CMG | B | 300 | 56.91 | 12-Sep | 12-Sep | 0.00 | 0.0 |
| BMO NESBITT BURNS | 041 | COF | S | 25,000 | 45.94 | n/a | 15-Sep | 1,250.00 | 5.0 |
| BEAR STEARNS ASSET MGMT. | 033 | COH | SS | 43,600 | 29.89 | 30-Jul | 28-Aug | 1,744.00 | 4.0 |
| B BUCK CAPITAL MGMT | | COLM | C | 10,000 | 42.87 | n/a | n/a | non-brg | 2.5 |
| MATRIX ASSET ADV. | 036 | COV | S | 8,000 | 56.44 | n/a | n/a | 320.00 | 4.0 |
| AMBER CAPITAL | 046 | CPF | B | 150,000 | 14.04 | n/a | n/a | 6,000.00 | 4.0 |
| UBS OCONNOR | 031 | C | C | 185,000 | 16.25 | 15-Sep | 15-Sep | 5,550.00 | 3.0 |
| THE JAY GOLDMAN | 034 | DDS | B | 30,000 | 11.65 | n/a | n/a | 1,200.00 | 4.0 |
| B BUCK CAPITAL MGMT | | DIA | C | 75,000 | 112.01 | n/a | n/a | non-brg | 2.0 |
| B BUCK CAPITAL MGMT | | DLTR | C | 20,000 | 39.45 | n/a | 5-Sep | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | DSW+JC | SS | 2,000 | 0.61 | n/a | n/a | non-brg | 100.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|-------------|-----------|---------------|--------------|------------|---------------|----------------|------------|
| WASHINGTON ASSET | 048 | DVN | B | 15,000 | 90.95 | 7-May | 21-Aug | 750.00 | 5.0 |
| B BUCK CAPITAL MGMT | | EAT | SS | 25,000 | 18.00 | n/a | 24-Apr | non-brg | 4.0 |
| SOLARIS INV MGMT | 029 | EBAY | S | 30,000 | 22.47 | n/a | n/a | 1,500.00 | 5.0 |
| GRONET | 030 | EBS | S | 1,000 | 13.78 | n/a | n/a | 0.00 | 0.0 |
| SUTERA | 160 | EFT | B | 2,500 | 13.10 | n/a | n/a | 0.00 | 0.0 |
| PATTEN & PATTEN | 067 | ERTS | S | 500 | 44.21 | n/a | n/a | 25.00 | 5.0 |
| PATTEN & PATTEN | 067 | EWG | S | 2,200 | 24.82 | n/a | n/a | 110.00 | 5.0 |
| PATTEN & PATTEN | 067 | EWZ | B | 400 | 59.71 | n/a | n/a | 20.00 | 5.0 |
| PATTEN & PATTEN | 067 | EXH | B | 50 | 38.75 | 28-Aug | 3-Sep | 2.50 | 5.0 |
| GAULT | 063 | EXLP | S | 3,200 | 18.21 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | FOSL | S | 10,000 | 28.42 | n/a | 12-Sep | non-brg | 4.0 |
| PATTEN & PATTEN | 067 | FRP | S | 25 | 8.51 | n/a | n/a | 1.25 | 5.0 |
| N STRATTON | 014 | FTAR | S | 200 | 3.53 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | FUQI | S | 10,000 | 8.95 | n/a | n/a | non-brg | 2.5 |
| TRELLUS PARTNERS LP | 028 | F | SS | 100,000 | 4.89 | 25-Jul | 4-Sep | 3,000.00 | 3.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---------------------|------|--------|-----|--------|-------|-------|----------|-------------|-------|
| SUTERA | 160 | GBVS | S | 10,000 | 0.00 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | GES+LK | SS | 1,000 | 0.70 | n/a | n/a | non-brg | 100.0 |
| BUCK CAPITAL MGMT | 001 | GES | S | 62,500 | 41.27 | n/a | n/a | 2,500.00 | 4.0 |
| PATTEN & PATTEN | 067 | GE | S | 400 | 24.96 | n/a | n/a | 20.00 | 5.0 |
| ß BUCK CAPITAL MGMT | | GIII | S | 5,000 | 19.10 | n/a | n/a | non-brg | 2.5 |
| BUCK CAPITAL MGMT | 001 | GIL | B | 10,000 | 24.21 | 8-Sep | 8-Sep | 400.00 | 4.0 |
| GAULT | 063 | GLW | S | 1,000 | 15.65 | n/a | 15-Sep | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | GM+IB | C | 1,000 | 2.07 | n/a | n/a | non-brg | 300.0 |
| ß BUCK CAPITAL MGMT | | GM+IB | C | 2,000 | 2.38 | n/a | n/a | non-brg | 300.0 |
| ß BUCK CAPITAL MGMT | | GM+IB | C | 4,000 | 2.84 | n/a | n/a | non-brg | 300.0 |
| ß BUCK CAPITAL MGMT | | GM+JW | SS | 1,000 | 1.61 | n/a | n/a | non-brg | 300.0 |
| ß BUCK CAPITAL MGMT | | GM+JW | SS | 2,000 | 1.78 | n/a | n/a | non-brg | 300.0 |
| ß BUCK CAPITAL MGMT | | GM+JW | SS | 4,000 | 2.02 | n/a | n/a | non-brg | 300.0 |
| ß BUCK CAPITAL MGMT | | GM+UB | S | 1,000 | 0.15 | n/a | n/a | non-brg | 100.0 |
| ß BUCK CAPITAL MGMT | | GM+UB | S | 2,000 | 0.11 | n/a | n/a | non-brg | 100.0 |
| ß BUCK CAPITAL MGMT | | GM+UB | S | 4,000 | 0.12 | n/a | n/a | non-brg | 100.0 |
| ß BUCK CAPITAL MGMT | | GM+VW | B | 1,000 | 1.91 | n/a | n/a | non-brg | 300.0 |
| ß BUCK CAPITAL MGMT | | GM+VW | B | 2,000 | 1.71 | n/a | n/a | non-brg | 300.0 |
| ß BUCK CAPITAL MGMT | | GM+VW | B | 4,000 | 1.52 | n/a | n/a | non-brg | 300.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------------|-------------|-----------|----------------|--------------|---------------|---------------|-----------------|------------|
| GAULT | 063 | GMO | S | 8,000 | 5.35 | n/a | n/a | 0.00 | 0.0 |
| COUGAR TRADING | 044 | GPS | S | 10,000 | 19.39 | n/a | 5-Sep | 500.00 | 5.0 |
| B BUCK CAPITAL MGMT | | GYMB | S | 40,000 | 40.36 | 11-Jul | 5-Sep | non-brg | 4.0 |
| COUGAR TRADING | 044 | GYMB | B | 5,000 | 40.81 | 11-Jul | 5-Sep | 250.00 | 5.0 |
| COUGAR TRADING | 044 | GYMB | S | 5,000 | 40.02 | 11-Jul | 5-Sep | 250.00 | 5.0 |
| B BUCK CAPITAL MGMT | | HOT | SS | 20,000 | 36.47 | n/a | n/a | non-brg | 4.0 |
| FARALLON CAP MGMT | 040 | HSP | S | 62,110 | 39.56 | n/a | 22-Apr | 2,484.40 | 4.0 |
| WANGER FUNDS/GREENWICH | 031 | ICE | S | 9,750 | 82.67 | n/a | n/a | 390.00 | 4.0 |
| PATTEN & PATTEN | 067 | IDXX | S | 500 | 56.37 | n/a | 22-Apr | 25.00 | 5.0 |
| PATTEN & PATTEN | 067 | INTC | S | 300 | 19.77 | n/a | n/a | 15.00 | 5.0 |
| PATTEN & PATTEN | 067 | ITT | B | 800 | 59.31 | 25-Jul | 25-Jul | 40.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | IVZ | S | 75,000 | 24.54 | 4-Aug | 15-Sep | 3,000.00 | 4.0 |
| B BUCK CAPITAL MGMT | | IVZ | S | 25,000 | 24.73 | 4-Aug | 15-Sep | non-brg | 2.0 |
| WANGER FUNDS/GREENWICH | 031 | IVZ | S | 11,000 | 24.28 | 4-Aug | 15-Sep | 440.00 | 4.0 |
| B BUCK CAPITAL MGMT | | IWM | C | 100,000 | 71.32 | n/a | n/a | non-brg | 2.0 |
| JP MORGAN VENTURES | 046 | IYT | C | 50,000 | 90.62 | n/a | n/a | 1,500.00 | 3.0 |
| PATTEN & PATTEN | 067 | IYT | S | 200 | 90.64 | n/a | n/a | 10.00 | 5.0 |
| PATTEN & PATTEN | 067 | JAVA | S | 250 | 9.10 | n/a | n/a | 12.50 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-----------------------|------|--------|-----|---------|-------|--------|----------|-------------|-----|
| BUCK CAPITAL MGMT | 001 | JCG | B | 60,000 | 29.59 | n/a | 27-Aug | 2,400.00 | 4.0 |
| COUGAR TRADING | 044 | JCG | B | 35,000 | 30.05 | n/a | 27-Aug | 1,750.00 | 5.0 |
| COUGAR TRADING | 044 | JCG | SS | 5,000 | 29.22 | n/a | 27-Aug | 250.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | JCP | B | 20,000 | 40.96 | n/a | 5-Sep | 800.00 | 4.0 |
| JP MORGAN VENTURES | 046 | JNJ | C | 50,000 | 69.99 | n/a | 22-Apr | 2,500.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | JNY | SS | 40,000 | 19.72 | n/a | 30-Jul | 1,600.00 | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | JNY | SS | 20,000 | 19.49 | n/a | 30-Jul | non-brg | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | JOSB | S | 66,000 | 30.38 | n/a | n/a | non-brg | 4.0 |
| KLEINHEINZ CAP PART | 031 | JPM | S | 75,000 | 37.99 | 15-Sep | 15-Sep | 3,750.00 | 5.0 |
| PATTEN & PATTEN | 067 | JPM | S | 600 | 38.88 | 15-Sep | 15-Sep | 30.00 | 5.0 |
| SANDLER O'NEILL ASSET | 031 | JPM | B | 50,000 | 37.65 | 15-Sep | 15-Sep | 2,500.00 | 5.0 |
| COUGAR TRADING | 044 | JWN | S | 5,000 | 33.82 | 10-Jul | 5-Sep | 250.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | KMX | SS | 50,000 | 15.14 | n/a | 10-Jan | 2,000.00 | 4.0 |
| WEISS PECK | 040 | KMX | SS | 12,200 | 14.96 | n/a | 10-Jan | 610.00 | 5.0 |
| COUGAR TRADING | 044 | KSS | B | 10,000 | 50.90 | n/a | 5-Sep | 500.00 | 5.0 |
| JP MORGAN VENTURES | 046 | KSS | SS | 10,000 | 50.46 | n/a | 5-Sep | 500.00 | 5.0 |
| BUCK | 015 | LEHPRL | S | 1,700 | 0.22 | n/a | n/a | 0.00 | 0.0 |
| ⌘ BUCK CAPITAL MGMT | | LEH | S | 152,500 | 0.21 | 11-Sep | 15-Sep | non-brg | 1.0 |
| WHEELER | 008 | LEH | S | 15,000 | 0.19 | 11-Sep | 15-Sep | 0.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------|------|--------|-----|--------|--------|--------|----------|--------------|-----|
| LEDDY | 035 | LEH | S | 6,000 | 0.30 | 11-Sep | 15-Sep | 0.00 | 0.0 |
| SUTERA | 160 | LEH | S | 2,500 | 0.19 | 11-Sep | 15-Sep | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | LL | B | 10,000 | 14.02 | n/a | n/a | 400.00 | 4.0 |
| N STRATTON | 014 | LNETH | S | 700 | 3.25 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | LOW | B | 20,000 | 25.00 | n/a | 27-Jul | 800.00 | 4.0 |
| PATTEN & PATTEN | 067 | LOW | S | 400 | 25.18 | n/a | 27-Jul | 20.00 | 5.0 |
| BMO NESBITT BURNS | 041 | LPX | B | 50,000 | 10.58 | n/a | 11-Sep | 2,500.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | MAR | SS | 20,000 | 27.60 | n/a | n/a | 800.00 | 4.0 |
| MAGNETAR FINANCIAL | 031 | MCHP | SS | 75,000 | 29.22 | n/a | n/a | 2,250.00 | 3.0 |
| KAICHER | 064 | MDR | B | 1,000 | 29.00 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | | MDY | C | 27,000 | 140.76 | n/a | n/a | non-brg | 1.0 |
| BUCK CAPITAL MGMT | | MER | S | 50,000 | 20.22 | 24-Jun | 15-Sep | non-brg | 4.0 |
| BUCK | 015 | MER | C | 1,500 | 21.55 | 24-Jun | 15-Sep | 0.00 | 0.0 |
| MERRILL ASSET | 032 | MFC | B | 23,100 | 34.39 | n/a | n/a | 1,039.50 | 4.5 |
| BUCK | 015 | MHS | S | 1,200 | 50.17 | n/a | n/a | 0.00 | 0.0 |
| PATTEN & PATTEN | 067 | MIC | S | 1,750 | 18.21 | n/a | n/a | 87.50 | 5.0 |
| PATTEN & PATTEN | 067 | MOO | B | 5,350 | 42.78 | n/a | n/a | 267.50 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|-------------|-----------|---------------|--------------|---------------|---------------|-----------------|------------|
| EPOCH INV MGMT | 030 | MO | S | 58,200 | 20.93 | n/a | n/a | 2,328.00 | 4.0 |
| PATTEN & PATTEN | 067 | MSFT | S | 400 | 27.22 | n/a | 3-Apr | 20.00 | 5.0 |
| OGORMAN | 046 | MSIE | B | 5 | 9.50 | n/a | n/a | 0.00 | 0.0 |
| GRUBER MACBAINE | 033 | MS | B | 25,000 | 33.43 | 15-Sep | 15-Sep | 1,000.00 | 4.0 |
| PATTEN & PATTEN | 067 | MS | S | 1,400 | 32.95 | 15-Sep | 15-Sep | 70.00 | 5.0 |
| EMP ERROR | 099 | MS | B | 1,500 | 31.32 | 15-Sep | 15-Sep | 0.00 | 0.0 |
| EMP ERROR | 099 | MS | C | 1,500 | 34.39 | 15-Sep | 15-Sep | 0.00 | 0.0 |
| OGORMAN | 046 | MWO | B | 1,000 | 10.89 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | MW | SS | 30,000 | 22.60 | n/a | n/a | 1,200.00 | 4.0 |
| THIRD AVE MGMT | 030 | NAL | S | 84,100 | 14.46 | n/a | n/a | 3,364.00 | 4.0 |
| KAICHER | 064 | NOG | S | 3,000 | 6.38 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | NP | S | 5,637 | 20.00 | n/a | 11-Sep | non-brg | 4.0 |
| SANDLER O'NEILL ASSET | 031 | NTRS | B | 50,000 | 84.38 | 3-Sep | 15-Sep | 2,500.00 | 5.0 |
| PATTEN & PATTEN | 067 | NT | S | 62 | 5.23 | n/a | 22-Mar | 3.10 | 5.0 |
| GOLDMAN SACHS ASSET MGMT | 044 | OI | S | 150,000 | 36.11 | n/a | n/a | 3,000.00 | 2.0 |
| PATTEN & PATTEN | 067 | OSK | S | 650 | 12.35 | n/a | n/a | 32.50 | 5.0 |
| PATTEN & PATTEN | 067 | PCL | S | 900 | 49.34 | n/a | 11-Sep | 45.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------|------|--------|-----|---------|-------|--------|----------|--------------|-------|
| ⚡ BUCK CAPITAL MGMT | | PETM | SS | 20,000 | 26.55 | n/a | n/a | non-brg | 4.0 |
| CR INTRINIC INVESTMENT | 044 | PFE | S | 50,000 | 18.26 | n/a | 31-Mar | 2,500.00 | 5.0 |
| TRELLUS PARTNERS LP | 028 | PH | C | 12,500 | 58.73 | 1-Aug | 1-Aug | 625.00 | 5.0 |
| ⚡ BUCK CAPITAL MGMT | | PLCE | S | 10,000 | 39.01 | 21-Aug | 5-Sep | non-brg | 4.0 |
| THOMSON HORSTMAN BRYANT | 040 | PNRA | S | 35,000 | 49.72 | 4-Sep | 4-Sep | 1,750.00 | 5.0 |
| PATTEN & PATTEN | 067 | PRU | S | 150 | 77.40 | n/a | n/a | 7.50 | 5.0 |
| BASIX | 033 | PSS | B | 45,000 | 17.06 | n/a | n/a | 1,350.00 | 3.0 |
| BUCK CAPITAL MGMT | 001 | PSS | B | 35,000 | 17.51 | n/a | n/a | 1,400.00 | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | PSS | B | 206,200 | 17.41 | n/a | n/a | non-brg | 1.0 |
| ⚡ BUCK CAPITAL MGMT | | PSS | B | 528,800 | 17.70 | n/a | n/a | non-brg | 2.0 |
| ⚡ BUCK CAPITAL MGMT | | QZS+AI | SS | 1,000 | 0.85 | n/a | n/a | non-brg | 100.0 |
| ⚡ BUCK CAPITAL MGMT | | QZS+JG | SS | 1,000 | 1.10 | n/a | n/a | non-brg | 300.0 |
| PATTEN & PATTEN | 067 | RF | S | 158 | 11.66 | n/a | n/a | 7.90 | 5.0 |
| BUCK CAPITAL MGMT | 001 | RL | B | 10,000 | 72.14 | n/a | 28-Aug | 400.00 | 4.0 |
| COUGAR TRADING | 044 | RL | SS | 2,500 | 71.23 | n/a | 28-Aug | 125.00 | 5.0 |
| MERRILL ASSET | 032 | RNR | S | 19,400 | 52.69 | n/a | n/a | 953.00 | 4.6 |
| BUCK CAPITAL MGMT | 001 | RSH | B | 20,000 | 18.90 | n/a | n/a | 800.00 | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------------|-------------|----------|---------------|---------------|---------------|---------------|----------------|------------|
| CASTLE ARK | 031 | SCHW | B | 381,930 | 23.19 | n/a | n/a | 22,915.80 | 6.0 |
| STRAUSS ASSET MGMT | 040 | SNEN | B | 2,000 | 5.72 | n/a | n/a | 80.00 | 4.0 |
| BUCK | 015 | SPY | B | 200 | 123.66 | n/a | n/a | 0.00 | 0.0 |
| PATTEN & PATTEN | 067 | SRZ | S | 200 | 16.65 | n/a | n/a | 10.00 | 5.0 |
| THE JAY GOLDMAN | 034 | SSI | B | 30,000 | 15.02 | n/a | 5-Sep | 1,200.00 | 4.0 |
| COUGAR TRADING | 044 | SSO | S | 30,000 | 55.53 | n/a | n/a | 1,500.00 | 5.0 |
| SUTERA | 160 | SSO | S | 1,000 | 56.31 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | SYX | C | 50,000 | 34.51 | n/a | 24-Apr | non-brg | 4.0 |
| COUGAR TRADING | 044 | TGT | S | 5,000 | 55.57 | n/a | 5-Sep | 250.00 | 5.0 |
| GRONET | 030 | THOR | S | 500 | 26.85 | n/a | n/a | 0.00 | 0.0 |
| COUGAR TRADING | 044 | TIF | B | 10,000 | 40.10 | n/a | 28-Aug | 500.00 | 5.0 |
| COUGAR TRADING | 044 | TIF | SS | 5,200 | 40.20 | n/a | 28-Aug | 260.00 | 5.0 |
| B BUCK CAPITAL MGMT | | TJX | S | 22,000 | 33.57 | 11-Aug | 5-Sep | non-brg | 4.0 |
| THIRD AVE MGMT | 030 | TLAB | B | 23,050 | 4.41 | n/a | 22-Mar | 922.00 | 4.0 |
| PRINCIPLE CAPITAL | 040 | TPX | S | 574,800 | 10.46 | n/a | n/a | 17,244.00 | 3.0 |
| B BUCK CAPITAL MGMT | | TRLG | S | 20,000 | 28.55 | n/a | n/a | non-brg | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|--------------|----------|---------------|--------------|---------------|---------------|----------------|------------|
| PATTEN & PATTEN | 067 | TWTC | S | 1,000 | 11.16 | n/a | 4-Jan | 50.00 | 5.0 |
| T. ROWE PRICE | 033 | TWX | B | 798,700 | 14.30 | n/a | n/a | 23,961.00 | 3.0 |
| PATTEN & PATTEN | 067 | TXN | B | 500 | 22.11 | n/a | n/a | 25.00 | 5.0 |
| B BUCK CAPITAL MGMT | | URBN | S | 24,000 | 35.51 | 14-Aug | 14-Aug | non-brg | 4.0 |
| JP MORGAN VENTURES | 046 | VRX | C | 19,000 | 18.79 | n/a | n/a | 950.00 | 5.0 |
| FARALLON CAP MGMT | 040 | WAG | S | 97,600 | 34.91 | n/a | n/a | 3,904.00 | 4.0 |
| NATIONAL BK OF CAN | 031 | WB | B | 40,000 | 10.76 | n/a | n/a | 1,600.00 | 4.0 |
| PATTEN & PATTEN | 067 | WB | S | 200 | 11.14 | n/a | n/a | 10.00 | 5.0 |
| LUCHANSKY | 036 | WB | S | 100 | 12.96 | n/a | n/a | 0.00 | 0.0 |
| LEDDY | 035 | WM | S | 2,100 | 2.09 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | WRC | S | 40,000 | 51.32 | 8-Aug | 28-Aug | non-brg | 4.0 |
| COUGAR TRADING | 044 | WRC | B | 15,000 | 50.60 | 8-Aug | 28-Aug | 750.00 | 5.0 |
| N STRATTON | 014 | WUHAH | S | 2 | 2.15 | n/a | n/a | 0.00 | 0.0 |
| PATTEN & PATTEN | 067 | WY | B | 5,800 | 55.43 | n/a | 11-Sep | 290.00 | 5.0 |
| MAGNETAR FINANCIAL | 031 | XLE | SS | 100,000 | 65.66 | n/a | n/a | 3,000.00 | 3.0 |
| MORGAN BANK /JPM | 012 | XLI | S | 633,800 | 33.22 | n/a | n/a | 19,014.00 | 3.0 |
| PATTEN & PATTEN | 067 | XLU | S | 300 | 35.97 | n/a | n/a | 15.00 | 5.0 |

TOTAL (Trade Date):

213,372.95

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|-------------------------------|-------|----------------------|------|--------|-----|---------|-------|--------|----------|-----------------|
| AO,CRT | 09/11 | PALMYRA CAPITAL | 048 | CHS | B | 40,000 | 7.37 | 8-Aug | 5-Sep | 1200.00 3.0 |
| AO,CXL | 09/11 | PALMYRA CAPITAL | 048 | CHS | B | 40,000 | 7.37 | 8-Aug | 5-Sep | 2000.00 5.0 |
| AO, | 09/12 | STRONG/MARK GRONET | 030 | JBLU | S | 7,000 | 5.97 | n/a | n/a | 210.00 3.0 |
| AO, | 09/12 | DIAMONDBACK CAP MGMT | 232 | LPX | B | 20,000 | 11.41 | n/a | 11-Sep | 1000.00 5.0 |
| AO,CXL | 09/12 | BASIX | 033 | PSS | B | 40,000 | 16.92 | n/a | n/a | 1600.00 4.0 |
| AO,CRT | 09/12 | BASIX | 033 | PSS | B | 40,000 | 16.92 | n/a | n/a | 1200.00 3.0 |
| AO, | 09/12 | DIAMONDBACK CAP MGMT | 232 | SSCC | S | 20,000 | 6.68 | 30-Jul | 11-Sep | 1000.00 5.0 |
| AO,CXL | 09/12 | HAYMAN CAPITAL | 031 | XRT | SS | 100,000 | 33.01 | n/a | n/a | 3000.00 3.0 |
| AO,CRT | 09/12 | HAYMAN CAPITAL | 031 | XRT | SS | 100,000 | 33.01 | n/a | n/a | 3000.00 3.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | 1,010.00 |

| | |
|-----------------------|------------|
| TOTAL (Trade Date): | 213,372.95 |
| TOTAL (AO, CXL, CRT): | 1,010.00 |

| | |
|--------------------------------|-------------------|
| TOTAL (RUN DATE) / NFS: | 214,382.95 |
|--------------------------------|-------------------|

MRI Securities with Trade Activity on 15-Sep.

C, JPM, MS

MRI Securities without Trade Activity on 15-Sep.

GS

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

T-Date = 14%

YTD = 18%

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