



Daily Compliance Activity Report

Trade Date: 10/07/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 1

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	ACC	S	30,000	30.76	n/a	n/a	1,200.00	4.0
BUCK CAPITAL MGMT	001	AEO	B	90,000	13.10	n/a	3-Oct	3,600.00	4.0
COUGAR TRADING	044	AEO	B	5,000	13.69	n/a	3-Oct	250.00	5.0
COUGAR TRADING	044	AEO	S	25,000	12.54	n/a	3-Oct	1,250.00	5.0
SIGMA CAPITAL ASSOCIATES	237	AEO	S	47,600	13.11	n/a	3-Oct	2,380.00	5.0
REINHART & MAHONEY	031	AFG	B	10,750	23.43	n/a	n/a	537.50	5.0
⌘ BUCK CAPITAL MGMT		AMB	SS	30,000	31.59	n/a	n/a	non-brg	4.0
PRINCIPLE CAPITAL	040	AMZN	B	35,100	61.67	n/a	n/a	1,404.00	4.0
⌘ BUCK CAPITAL MGMT		ANF+JG	SS	1,000	1.82	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		ANF+KG	SS	1,000	3.30	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		ANF+KH	SS	1,000	1.60	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	ANF	B	80,000	34.97	7-Aug	3-Oct	3,200.00	4.0
⌘ BUCK CAPITAL MGMT		ANF	B	200,000	34.30	7-Aug	3-Oct	non-brg	2.0
COUGAR TRADING	044	ANF	S	10,000	34.71	7-Aug	3-Oct	500.00	5.0
⌘ BUCK CAPITAL MGMT		ANN	SS	70,000	18.19	n/a	17-Sep	non-brg	4.0
CATAPULT	040	ANR	S	4,000	35.90	n/a	n/a	200.00	5.0
⌘ BUCK CAPITAL MGMT		APP	B	40,000	7.16	n/a	n/a	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		ARO	B	150,000	28.14	28-Apr	3-Oct	non-brg	4.0
COUGAR TRADING	044	ARO	B	5,000	28.25	28-Apr	3-Oct	250.00	5.0
COUGAR TRADING	044	ARO	S	5,000	26.73	28-Apr	3-Oct	250.00	5.0
BUCK CAPITAL MGMT	001	AVB	S	10,000	80.76	n/a	n/a	400.00	4.0
⌘ BUCK CAPITAL MGMT		AVB	C	4,000	85.09	n/a	n/a	non-brg	4.0
WILLOW CREEK	033	AVP	SS	3,000	37.26	31-Jul	31-Jul	120.00	4.0
WHEELER	008	AVY	B	3,000	38.18	9-Sep	15-Sep	0.00	0.0
⌘ BUCK CAPITAL MGMT		BARE	S	67,427	9.43	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		BBBY	C	20,000	28.77	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		BBBY	SS	100,000	28.20	n/a	n/a	non-brg	4.0
BUCK	015	BBBY	C	1,500	28.75	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		BDK	SS	20,000	53.76	n/a	n/a	non-brg	4.0
DURANGO INVESTMENTS	031	BHI	B	25,000	45.60	n/a	n/a	1,000.00	4.0
LEDDY	035	BIG	C	500	25.40	29-May	6-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	BRE	B	11,000	43.35	n/a	n/a	440.00	4.0
BUCK	015	BUD	B	800	63.59	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	BWS	SS	50,000	13.17	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	BXP	B	1,200	81.40	n/a	n/a	48.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COLE	077	BZ	B	300	0.99	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CASY	SS	90,150	27.37	n/a	n/a	non-brg	2.5
BUCK	015	CAT	SS	1,000	49.84	19-Sep	19-Sep	0.00	0.0
BUCK CAPITAL MGMT	001	CBL	S	30,000	12.66	n/a	n/a	1,200.00	4.0
ß BUCK CAPITAL MGMT		CCI	B	5,000	22.70	n/a	n/a	non-brg	4.0
CASTLE ARK	031	CHK	S	192,834	25.15	n/a	n/a	11,570.04	6.0
FRONTPOINT CHRIS C	041	CHK	B	5,400	27.79	n/a	n/a	216.00	4.0
ß BUCK CAPITAL MGMT		CLP	SS	30,000	16.11	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		COST	C	50,000	61.08	n/a	27-Jul	non-brg	4.0
THIRD POINT MGMT	044	COST	C	85,000	59.91	n/a	27-Jul	3,400.00	4.0
Õ Doug Rogers		CPN	S	10000	9.36	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CPT	C	7,000	42.52	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		CPT	SS	10,000	41.21	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		CRI	S	30,000	16.59	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		CRI	S	32,500	17.06	n/a	n/a	non-brg	4.0
REICH AND TANG	067	CR	B	2,000	25.51	n/a	n/a	100.00	5.0
CASTLE ARK	031	CTXS	C	2,070	20.57	n/a	n/a	124.20	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⌘ BUCK CAPITAL MGMT		CUZ	C	9,000	20.89	n/a	n/a	non-brg	4.0
SANDLER O'NEILL ASSET	031	C	S	34,500	17.55	15-Sep	3-Oct	1,725.00	5.0
BUCK	015	C	S	9,100	16.66	15-Sep	3-Oct	0.00	0.0
AMATURO	018	DAVWU	B	30	5.00	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		DECK	B	10,000	88.18	n/a	n/a	non-brg	2.5
EATON VANCE MGMT	039	DE	S	155,600	36.37	14-Aug	14-Aug	4,668.00	3.0
⌘ BUCK CAPITAL MGMT		DIS	SS	25,000	28.00	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		DIS	SS	25,000	28.06	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	DRE	S	30,000	18.06	n/a	n/a	1,200.00	4.0
HOLDEN CAPITAL MGMT	035	DRYS	B	20,000	23.58	n/a	n/a	1,000.00	5.0
GRANITE CAPITAL	045	DTV	SS	20,000	23.64	n/a	4-Jan	1,000.00	5.0
J ROSEIND	034	DUG	S	100	53.26	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		EAT+WC	SS	1,000	1.70	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		EAT+WV	SS	1,000	0.70	n/a	n/a	non-brg	100.0
⌘ BUCK CAPITAL MGMT		EAT	SS	100,000	15.00	n/a	24-Apr	non-brg	2.0
BUCK CAPITAL MGMT	001	EDR	S	30,000	9.22	n/a	n/a	1,200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LUCHANSKY1	036	EEM	B	300	28.94	n/a	n/a	0.00	0.0
LUCHANSKY1	036	EEM	S	200	28.39	n/a	n/a	0.00	0.0
BUCK	015	EFA	B	200	50.14	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		EL	SS	50,000	44.13	15-Aug	4-Sep	non-brg	4.0
SIGMA CAPITAL ASSOCIATES	237	EL	S	7,400	44.77	15-Aug	4-Sep	370.00	5.0
MAGNETAR FINANCIAL	031	EMC	B	150,000	10.63	n/a	n/a	4,500.00	3.0
VENTANA CAPITAL	060	EMC	S	7,500	10.65	n/a	n/a	225.00	3.0
NEUBERGER BERMAN	036	ENR	S	22,800	79.13	24-Jul	31-Jul	1,026.00	4.5
⚡ BUCK CAPITAL MGMT		ETH+WX	SS	1,000	1.60	n/a	n/a	non-brg	300.0
⚡ BUCK CAPITAL MGMT		ETH	SS	100,000	25.55	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		FCE/A	C	7,000	20.82	n/a	n/a	non-brg	4.0
ZOLIDIS	011	FINL	C	1,000	7.74	n/a	28-Mar	0.00	0.0
ROTHSCHILD ASSET	040	FLO	S	17,960	29.76	n/a	n/a	808.20	4.5
BUCK CAPITAL MGMT	001	FL	S	156,300	13.90	7-Oct	7-Oct	6,252.00	4.0
⚡ BUCK CAPITAL MGMT		FOSL	B	10,000	25.69	n/a	1-Oct	non-brg	4.0
⚡ BUCK CAPITAL MGMT		FRT	C	16,500	71.43	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		FRT	C	3,500	71.76	n/a	n/a	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	FR	S	30,000	17.93	n/a	n/a	1,200.00	4.0
⚡ BUCK CAPITAL MGMT		GCO+KF	SS	1,000	0.75	n/a	n/a	non-brg	100.0
⚡ BUCK CAPITAL MGMT		GCO	B	30,000	27.83	n/a	10-Jan	non-brg	4.0
BUCK CAPITAL MGMT	001	GES	B	20,000	30.09	n/a	n/a	800.00	4.0
GRANITE CAPITAL	045	GGP	B	12,400	3.99	n/a	n/a	620.00	5.0
COUGAR TRADING	044	GIL	B	5,000	21.82	8-Sep	1-Oct	250.00	5.0
COUGAR TRADING	044	GIL	S	5,000	20.45	8-Sep	1-Oct	250.00	5.0
JP MORGAN VENTURES	046	GIL	S	15,000	20.62	8-Sep	1-Oct	750.00	5.0
LUCHANSKY2	036	GLW	S	100	13.04	n/a	23-Sep	0.00	0.0
BUCK CAPITAL MGMT	001	GRT	S	20,000	6.39	n/a	n/a	800.00	4.0
⚡ BUCK CAPITAL MGMT		GRT	C	23,000	7.68	n/a	n/a	non-brg	4.0
CATAPULT	040	GR	S	9,300	35.05	3-Oct	3-Oct	465.00	5.0
BUCK	015	GSK	B	300	42.35	n/a	n/a	0.00	0.0
KEEFE BRUYETTE WOODS A	031	GS	S	2,900	118.07	15-Sep	24-Sep	145.00	5.0
LUCHANSKY1	036	GS	S	100	116.07	15-Sep	24-Sep	0.00	0.0
⚡ BUCK CAPITAL MGMT		HIW	SS	30,000	28.39	n/a	n/a	non-brg	3.0
WILLOW CREEK	033	HOG	SS	6,000	31.78	n/a	n/a	240.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
STRONG/MARK GRONET	030	HOLX	B	25,000	15.62	n/a	n/a	1,000.00	4.0
⌘ BUCK CAPITAL MGMT		HOT	SS	100,000	22.26	n/a	n/a	non-brg	4.0
NOMURA CAPITAL	045	IPHS	B	15,000	18.80	n/a	n/a	750.00	5.0
FRONTPOINT CHRIS C	041	ITW	B	12,300	36.57	12-Aug	12-Aug	492.00	4.0
SANDELL ADV	040	ITW	B	67,100	38.18	12-Aug	12-Aug	4,026.00	6.0
⌘ BUCK CAPITAL MGMT		IWM	C	85,000	59.89	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		IWM	SS	85,000	57.01	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		IYR	C	20,500	52.14	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		IYR	SS	30,000	49.01	n/a	n/a	non-brg	1.0
WILLOW CREEK	033	IYR	SS	2,000	51.54	n/a	n/a	80.00	4.0
⌘ BUCK CAPITAL MGMT		JCG	C	50,000	26.03	n/a	17-Sep	non-brg	4.0
COUGAR TRADING	044	JCG	B	5,000	25.56	n/a	17-Sep	250.00	5.0
COUGAR TRADING	044	JCG	S	5,000	24.05	n/a	17-Sep	250.00	5.0
⌘ BUCK CAPITAL MGMT		JNY+WV	SS	2,000	0.62	n/a	n/a	non-brg	100.0
⌘ BUCK CAPITAL MGMT		JNY	SS	50,000	15.20	n/a	30-Jul	non-brg	2.0
CASEY CAPITAL	067	JNY	B	10,500	15.32	n/a	30-Jul	525.00	5.0
BUCK CAPITAL MGMT	001	JWN	B	50,000	24.51	2-Oct	3-Oct	2,000.00	4.0
⌘ BUCK CAPITAL MGMT		KIM	C	19,000	30.16	n/a	n/a	non-brg	4.0
REICH AND TANG	067	KMT	B	2,000	23.36	18-Sep	18-Sep	100.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MS PRINCIPAL STRATEGIES	041	KOG	S	8,300	1.04	n/a	n/a	166.00	2.0
BUCK CAPITAL MGMT	001	KSS	S	15,000	38.55	n/a	3-Oct	600.00	4.0
ZOLIDIS	011	KSS	C	500	41.05	n/a	3-Oct	0.00	0.0
BUCK	015	KSS	SS	800	39.22	n/a	3-Oct	0.00	0.0
ß BUCK CAPITAL MGMT		LEG	SS	40,000	18.62	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	LIZ	S	20,000	13.95	n/a	18-Sep	800.00	4.0
GRANITE CAPITAL	045	LMEDIA	B	15,000	21.74	n/a	n/a	750.00	5.0
LUCHANSKY1	036	LPX	S	500	7.07	n/a	11-Sep	0.00	0.0
N STRATTON	014	LRN	C	150	22.50	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	LRY	S	30,000	29.59	n/a	n/a	1,200.00	4.0
NEUBERGER BERMAN	036	LRY	S	185,049	29.66	n/a	n/a	8,327.21	4.5
NEUBERGER BERMAN	036	MAA	B	13,500	43.37	n/a	n/a	607.50	4.5
ß BUCK CAPITAL MGMT		MAC	C	11,000	46.22	n/a	n/a	non-brg	4.0
BENCHMARK	028	MA	B	5,000	170.93	n/a	19-Sep	250.00	5.0
ß BUCK CAPITAL MGMT		MER	B	40,000	21.26	24-Jun	19-Sep	non-brg	4.0
KEEFE BRUYETTE WOODS A	031	MER	B	46,300	18.01	24-Jun	19-Sep	2,315.00	5.0
BUCK	015	MER	B	1,250	21.08	24-Jun	19-Sep	0.00	0.0
LUCHANSKY1	036	MMAB	S	900	0.62	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		MS	B	53,000	21.61	15-Sep	22-Sep	non-brg	4.0
SANDLER O'NEILL ASSET	031	MS	S	50,000	18.02	15-Sep	22-Sep	2,500.00	5.0
LEDDY	035	MWO	B	900	9.20	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	M	S	80,000	14.06	12-Aug	3-Oct	3,200.00	4.0
⌘ BUCK CAPITAL MGMT		M	S	100,000	13.93	12-Aug	3-Oct	non-brg	4.0
SLS CAPITAL LLC	224	M	S	118,300	14.10	12-Aug	3-Oct	4,732.00	4.0
⌘ BUCK CAPITAL MGMT		NWY+WU	SS	2,000	0.30	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT	001	O	S	30,000	22.99	n/a	n/a	1,200.00	4.0
CATAPULT	040	PCP	B	5,000	68.86	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	PEI	B	17,500	13.64	n/a	n/a	700.00	4.0
JENNISON	032	PEP	B	83,400	66.40	n/a	n/a	3,085.80	3.7
⌘ BUCK CAPITAL MGMT		PERY	B	21,800	10.68	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		PERY	B	28,200	10.70	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT	001	PKY	B	6,000	31.65	n/a	n/a	240.00	4.0
⌘ BUCK CAPITAL MGMT		PKY	SS	10,000	30.58	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PLCE	B	60,000	32.20	21-Aug	3-Oct	non-brg	4.0
COUGAR TRADING	044	PLCE	B	5,000	33.47	21-Aug	3-Oct	250.00	5.0
COUGAR TRADING	044	PLCE	S	5,000	31.32	21-Aug	3-Oct	250.00	5.0
⌘ BUCK CAPITAL MGMT		PLD	SS	30,000	28.37	n/a	n/a	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
N STRATTON	014	PNWIF	B	1,000	1.50	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	PPS	S	30,000	22.80	n/a	n/a	1,200.00	4.0
ß BUCK CAPITAL MGMT		PSB	SS	20,000	49.54	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		PSS	B	40,000	16.69	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		PVH+JG	SS	1,000	0.68	n/a	n/a	non-brg	100.0
COUGAR TRADING	044	PVH	B	5,000	33.38	8-Oct	1-Oct	250.00	5.0
ß BUCK CAPITAL MGMT		QTF+VG	SS	1,400	0.60	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		QZS+MW	C	100	0.90	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		REG	C	8,400	52.91	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	RL	SS	50,000	55.64	n/a	28-Aug	2,000.00	4.0
SIGMA CAPITAL ASSOCIATES	237	RL	S	25,000	55.81	n/a	28-Aug	1,250.00	5.0
REICH AND TANG	067	ROK	B	2,000	32.40	n/a	n/a	100.00	5.0
ß BUCK CAPITAL MGMT		ROST	C	30,000	32.82	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		RSH	C	50,000	15.93	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		RTH	C	50,000	83.08	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		SBAC	B	5,000	17.58	n/a	n/a	non-brg	4.0

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WILLOW CREEK	033	SHW	SS	2,000	53.51	n/a	17-Jul	80.00	4.0
⚡ BUCK CAPITAL MGMT		SKS	SS	25,000	7.16	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	SKX	B	20,000	13.58	n/a	13-Mar	800.00	4.0
⚡ BUCK CAPITAL MGMT		SKX	B	30,000	14.51	n/a	13-Mar	non-brg	4.0
THE BOSTON COMPANY	401	SKX	S	18,380	15.06	n/a	13-Mar	735.20	4.0
NEUBERGER BERMAN	036	SPG	S	114,500	74.86	n/a	n/a	5,152.50	4.5
⚡ BUCK CAPITAL MGMT		SPLS	C	50,000	19.73	n/a	27-Jul	non-brg	4.0
⚡ BUCK CAPITAL MGMT		SPY	C	50,000	106.95	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		SPY	SS	50,000	101.71	n/a	n/a	non-brg	1.0
FRONTPOINT CHRIS C	041	SPY	B	9,000	103.74	n/a	n/a	360.00	4.0
FRONTPOINT CHRIS C	041	SPY	SS	9,000	105.23	n/a	n/a	360.00	4.0
KNOTT PARTNERS	044	SSI	B	45,000	10.65	n/a	3-Oct	1,800.00	4.0
⚡ BUCK CAPITAL MGMT		SSS	SS	20,000	36.51	n/a	n/a	non-brg	4.0
HEALY CIRCLE	044	STT	B	10,000	46.31	n/a	n/a	500.00	5.0
⚡ BUCK CAPITAL MGMT		SUI	SS	30,000	16.14	n/a	n/a	non-brg	4.0
MORTAR ROCK	033	SUP	SS	15,000	16.67	25-Jul	8-Aug	750.00	5.0
⚡ BUCK CAPITAL MGMT		TCO	C	17,500	39.16	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		TCO	SS	20,000	36.31	n/a	n/a	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MS PRINCIPAL STRATEGIES	041	TEO	B	61,800	12.04	n/a	n/a	3,090.00	5.0
CATAPULT	040	TEX	S	7,000	21.10	9-Sep	9-Sep	350.00	5.0
⌘ BUCK CAPITAL MGMT		THI	C	40,500	26.07	n/a	24-Apr	non-brg	4.0
PILOT ROCK	028	TIF	B	100,000	29.19	n/a	17-Sep	4,000.00	4.0
SIGMA CAPITAL ASSOCIATES	237	TIF	S	58,500	29.05	n/a	17-Sep	2,925.00	5.0
BUCK CAPITAL MGMT	001	TJX	S	220,000	28.07	11-Aug	3-Oct	8,800.00	4.0
COUGAR TRADING	044	TJX	B	6,300	29.70	11-Aug	3-Oct	315.00	5.0
⌘ BUCK CAPITAL MGMT		TRLG	B	20,000	24.20	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		TROW	C	15,631	50.89	19-Sep	6-Oct	non-brg	1.0
KEEFE BRUYETTE WOODS A	031	TROW	B	3,100	47.28	19-Sep	6-Oct	155.00	5.0
⌘ BUCK CAPITAL MGMT		TSCO	SS	30,000	38.68	n/a	n/a	non-brg	4.0
WILLOW CREEK	033	TTC	SS	6,000	37.01	n/a	n/a	240.00	4.0
BUCK CAPITAL MGMT	001	TWB	B	100,000	8.47	n/a	1-Oct	4,000.00	4.0
⌘ BUCK CAPITAL MGMT		TWTC	B	5,000	8.29	n/a	4-Jan	non-brg	4.0
⌘ BUCK CAPITAL MGMT		UDR	C	7,000	21.15	n/a	n/a	non-brg	4.0
NWQ INVESTMENT MGMT CO	048	UFS	S	35,100	3.24	n/a	n/a	702.00	2.0
⌘ BUCK CAPITAL MGMT		URBN	B	30,000	25.34	14-Aug	1-Oct	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL ASSET	032	VQ	B	27,900	9.27	n/a	n/a	1,116.00	4.0
AVESTA CAP	229	WMT	S	25,000	54.59	8-Aug	6-Oct	1,250.00	5.0
⌘ BUCK CAPITAL MGMT		WMT	B	30,000	58.17	8-Aug	6-Oct	non-brg	4.0
NWQ INVESTMENT MGMT CO	048	WPP	S	13,000	8.78	n/a	n/a	390.00	3.0
BUCK CAPITAL MGMT	001	WRC	B	20,000	38.11	8-Oct	1-Oct	800.00	4.0
BUCK CAPITAL MGMT	001	WRI	S	50,000	27.13	n/a	n/a	2,000.00	4.0
⌘ BUCK CAPITAL MGMT		WRI	C	37,500	27.98	n/a	n/a	non-brg	4.0
S.A.C. CAPITAL MGMT.	044	WYE	B	20,000	37.11	n/a	31-Mar	1,000.00	5.0
NATIONAL BK OF CAN	031	XLF	B	35,000	16.22	n/a	n/a	1,400.00	4.0
REINHART & MAHONEY	031	XOM	S	7,848	78.63	n/a	n/a	392.40	5.0
⌘ BUCK CAPITAL MGMT		XRT	C	150,000	28.14	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		XRT	SS	200,000	26.21	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		XRT	SS	200,000	26.30	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		XRT	SS	400,000	26.15	n/a	n/a	non-brg	2.0
FRONTPOINT CHRIS C	041	XTO	B	2,700	39.61	n/a	n/a	108.00	4.0
BUCK	015	XTYVU	B	4	11.30	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		YSI	SS	30,000	9.51	n/a	n/a	non-brg	4.0
LUCHANSKY2	036	YTEC	S	100	8.46	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Ⓐ BUCK CAPITAL MGMT		YUM	C	35,000	28.01	14-Aug	7-Oct	non-brg	1.0
BUCK	015	YUM	B	300	28.51	14-Aug	7-Oct	0.00	0.0
Ⓐ BUCK CAPITAL MGMT		ZLC	C	50,000	24.29	n/a	n/a	non-brg	4.0
NOMURA CAPITAL	045	ZZ	B	20,000	4.68	n/a	n/a	600.00	3.0
TOTAL (Trade Date):							155,001.55		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/06	BMO NESBITT BURNS	041	AN	B	50,542	10.55	25-Jul	28-Jul	2527.10 5.0
AO,CRT	10/02	ROTHSCHILD ASSET	040	DD	S	970	38.86	n/a	30-Sep	43.65 4.5
AO,CXL	10/02	ROTHSCHILD ASSET	040	DD	S	970	38.86	n/a	30-Sep	43.65 4.5
AO,CRT	10/01	LUCHANSKY1	036	GS	B	100	134.95	15-Sep	24-Sep	0.00 0.0
AO,CXL	10/01	LUCHANSKY1	036	GS	B	100	134.95	15-Sep	24-Sep	0.00 0.0
AO,	10/06	BMO NESBITT BURNS	041	IP	B	25,000	24.56	22-Sep	22-Sep	1250.00 5.0
AO,	10/06	BMO NESBITT BURNS	041	M	B	25,000	14.57	12-Aug	3-Oct	1250.00 5.0
AO,CXL	10/01	ROTHSCHILD ASSET	040	NR	B	40	6.95	n/a	n/a	1.80 4.5
AO,CRT	10/01	ROTHSCHILD ASSET	040	NR	B	40	6.95	n/a	n/a	1.80 4.5
AO,	10/06	NOMURA CAPITAL	045	NRG	S	4,900	19.73	n/a	n/a	245.00 5.0
AO,	10/06	SISI	030	RCL	B	50	16.55	23-Jul	23-Jul	2.50 5.0
AO,	10/06	DISCIPLINED GROWTH INV.	030	RCL	B	63,125	16.55	23-Jul	23-Jul	3156.25 5.0
AO,CRT	10/06	NOMURA CAPITAL	045	SMG	S	2,300	21.39	22-Sep	22-Sep	115.00 5.0
AO,	10/06	BMO NESBITT BURNS	041	SSCC	B	100,000	3.46	30-Jul	22-Sep	5000.00 5.0
AO,CXL	10/06	S.A.C. CAPITAL MGMT.	044	TJX	B	30,000	29.21	11-Aug	3-Oct	1500.00 5.0
AO,CRT	10/06	SAC TRADING HOWARD	038	TJX	B	30,000	29.21	11-Aug	3-Oct	1500.00 5.0
AO,CRT	10/06	COUGAR TRADING	044	URBN	SS	5,000	25.00	14-Aug	1-Oct	250.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/06	COUGAR TRADING	044	URBN	SS	5,000	25.00	14-Aug	1-Oct	250.00 5.0
AO,	10/06	BMO NESBITT BURNS	041	WY	B	25,000	54.56	n/a	11-Sep	1250.00 5.0

TOTAL (AO, CXL, CRT): 14,795.85

TOTAL (Trade Date): 155,001.55
TOTAL (AO, CXL, CRT): 14,795.85

TOTAL (RUN DATE) / NFS: 169,797.40

MRI Securities with Trade Activity on 7-Oct.

FL

MRI Securities without Trade Activity on 7-Oct.

DKS, DSW

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

T-Date = 28%

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