



Daily Compliance Activity Report

Trade Date: 03/26/2009

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 | S | 25 | 11.83 | n/a | n/a | 0.00 | 0.0 |
| MORGENS WATERFALL | 040 | ADBE | S | 80,000 | 22.39 | n/a | n/a | 2,400.00 | 3.0 |
| ROSEDALE CAPITAL | 046 | AEO | S | 20,000 | 12.57 | n/a | 12-Mar | 1,000.00 | 5.0 |
| BALYASNY ASSET MGMT | 044 | AFL | SS | 10,000 | 20.19 | n/a | n/a | 500.00 | 5.0 |
| NEUBERGER BERMAN | 036 | ALTR | S | 156,200 | 18.22 | n/a | n/a | 7,029.00 | 4.5 |
| NEUBERGER BERMAN | 036 | AMSG | B | 15,800 | 16.43 | n/a | n/a | 711.00 | 4.5 |
| FARALLON CAP MGMT | 040 | AMTD | B | 62,500 | 14.59 | n/a | n/a | 2,500.00 | 4.0 |
| SYSTEMATIC FINANCIAL MGT | 035 | ANF | S | 18,450 | 25.27 | n/a | 6-Feb | 645.75 | 3.5 |
| B BUCK CAPITAL MGMT | | ARO | SS | 70,000 | 25.92 | n/a | 13-Mar | non-brg | 4.0 |
| PERMIAN/BAYPIONT | 028 | AVB | S | 6,000 | 49.77 | n/a | n/a | 240.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | AVP | B | 50,000 | 19.78 | 25-Feb | 20-Mar | 2,000.00 | 4.0 |
| f BARBARA S LEDDY | FID | BAC | B | 500 | 7.52 | 2-Mar | 23-Mar | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | BBBY | C | 100,000 | 26.05 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | BBBY | C | 150,000 | 26.12 | n/a | n/a | non-brg | 4.0 |
| JP MORGAN VENTURES | 046 | BBBY | SS | 30,000 | 26.52 | n/a | n/a | 1,500.00 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|------------------------------|------------|---------------|-----------|----------------|--------------|---------------|---------------|----------------|------------|
| HIGHBRIDGE CAPITAL | 038 | BBY | SS | 80,000 | 37.80 | n/a | 27-Jul | 3,200.00 | 4.0 |
| f JOSEPH CIRO AMATURO | FID | BGZ | B | 1000 | 55.95 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | BKC | C | 48,480 | 23.67 | 6-Feb | 3-Mar | non-brg | 4.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | BKE | SS | 50,000 | 31.73 | n/a | n/a | 2,500.00 | 5.0 |
| LISTED ERR | 099 | BK | S | 25,000 | 28.30 | 21-Jan | 23-Mar | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | BOBE | C | 45,866 | 21.80 | n/a | n/a | non-brg | 2.5 |
| f ROBERT M DANIELS | FID | BQI | B | 1000 | 0.81 | n/a | n/a | 0.00 | 0.0 |
| TRELLUS PARTNERS LP | 028 | BWA | SS | 5,900 | 21.66 | 12-Mar | 19-Mar | 295.00 | 5.0 |
| LISTED ERR | 099 | BWA | B | 5,000 | 21.60 | 12-Mar | 19-Mar | 0.00 | 0.0 |
| LISTED ERR | 099 | BWA | SS | 5,000 | 21.60 | 12-Mar | 19-Mar | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | CCL | S | 30,000 | 23.12 | n/a | 26-Jan | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | CHS | S | 150,000 | 5.32 | 5-Dec | 30-Jan | non-brg | 3.0 |
| f EDWARD W WHEELER | FID | CITPRA | B | 5000 | 5.75 | n/a | n/a | 0.00 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | CIVVX | S | 26 | 7.69 | n/a | n/a | 0.00 | 0.0 |
| STELLIAM INV ADV | 040 | CLW | B | 6,200 | 7.89 | n/a | n/a | 186.00 | 3.0 |
| B BUCK CAPITAL MGMT | | COH | B | 20,000 | 17.66 | 9-Jan | 22-Jan | non-brg | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|------------------------------|------------|--------------|----------|---------------|--------------|---------------|---------------|-----------------|------------|
| JP MORGAN VENTURES | 046 | COST | B | 27,300 | 48.49 | n/a | 27-Jul | 1,365.00 | 5.0 |
| B BUCK CAPITAL MGMT | | CPKI | C | 49,594 | 14.54 | 30-Oct | 13-Feb | non-brg | 4.0 |
| MORGENS WATERFALL | 040 | CRR | SS | 7,000 | 30.04 | 5-Feb | 17-Mar | 210.00 | 3.0 |
| PAW PARTNERS | 041 | CTXS | SS | 5,000 | 23.31 | n/a | n/a | 250.00 | 5.0 |
| f DAVID GEORGE BUCK | FID | CVX | S | 600 | 70.10 | n/a | n/a | 0.00 | 0.0 |
| f ALEXANDER PRYLUCKI | FID | DDM | S | 75 | 24.67 | n/a | n/a | 0.00 | 0.0 |
| FORD FDN. | 032 | DE | S | 75,000 | 35.85 | 26-Jan | 19-Feb | 3,750.00 | 5.0 |
| NEUBERGER BERMAN | 036 | DGIT | B | 70,500 | 19.42 | n/a | n/a | 3,172.50 | 4.5 |
| f ALEXANDER PRYLUCKI | FID | DIA | B | 50 | 78.07 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | DLTR | S | 68,897 | 43.40 | 10-Feb | 6-Mar | non-brg | 4.0 |
| BUCK CAPITAL MGMT | 001 | DSW | B | 40,000 | 9.17 | 24-Mar | 25-Mar | 1,200.00 | 3.0 |
| COUGAR TRADING | 044 | DSW | B | 5,000 | 9.13 | 24-Mar | 25-Mar | 250.00 | 5.0 |
| WAGONHOUND/NIC | 048 | EDC | B | 10,000 | 48.51 | n/a | n/a | 300.00 | 3.0 |
| B BUCK CAPITAL MGMT | | EL | C | 29,594 | 25.58 | 20-Jan | 9-Feb | non-brg | 4.0 |
| f MARC PAUL LUCHANSKY | FID | FDGRX | S | 4 | 49.93 | n/a | n/a | 0.00 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | FKRCX | B | 58 | 29.32 | n/a | n/a | 0.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------------------------------|------------|---------------|----------|---------------|--------------|---------------|---------------|-----------------|------------|
| f MARC PAUL LUCHANSKY | FID | FLPSX | S | 14 | 22.14 | n/a | n/a | 0.00 | 0.0 |
| ADALY INV MGMT | 067 | FOR | S | 25,000 | 8.61 | 12-Feb | 12-Feb | 750.00 | 3.0 |
| B BUCK CAPITAL MGMT | | FOR | S | 1,000 | 8.72 | 12-Feb | 12-Feb | non-brg | 3.0 |
| B BUCK CAPITAL MGMT | | FOR | S | 14,160 | 8.58 | 12-Feb | 12-Feb | non-brg | 1.0 |
| B BUCK CAPITAL MGMT | | FOR | S | 6,240 | 8.72 | 12-Feb | 12-Feb | non-brg | 1.5 |
| B BUCK CAPITAL MGMT | | FOR | S | 66,400 | 8.65 | 12-Feb | 12-Feb | non-brg | 2.0 |
| GRUSS CAPITAL | 045 | FOR | S | 1,000 | 8.58 | 12-Feb | 12-Feb | 40.00 | 4.0 |
| f MARC PAUL LUCHANSKY | FID | FRESX | S | 29 | 10.43 | n/a | n/a | 0.00 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | FSCFX | S | 31 | 6.35 | n/a | n/a | 0.00 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | FSHBX | B | 88 | 7.93 | n/a | n/a | 0.00 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | FSMAX | S | 2 | 57.70 | n/a | n/a | 0.00 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | FTBFX | B | 140 | 9.28 | n/a | n/a | 0.00 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | FVSAX | S | 21 | 9.55 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | GCO | B | 30,000 | 18.66 | n/a | 10-Jan | 1,200.00 | 4.0 |
| B BUCK CAPITAL MGMT | | GEO IM | C | 85,320 | 6.50 | n/a | n/a | non-brg | 1.0 |
| BUCK CAPITAL MGMT | 001 | GES | B | 30,000 | 20.08 | n/a | n/a | 1,200.00 | 4.0 |
| WASHINGTON ASSET | 048 | GHL | SS | 4,000 | 74.30 | n/a | n/a | 200.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | GIL | B | 69,000 | 8.62 | 11-Dec | 12-Feb | 2,070.00 | 3.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|-------------|-----------|----------------|--------------|--------------|---------------|-----------------|------------|
| STADIA CAPITAL | 035 | GME | S | 39,800 | 26.53 | n/a | n/a | 1,592.00 | 4.0 |
| B BUCK CAPITAL MGMT | | GRMN | C | 127,970 | 22.91 | n/a | n/a | non-brg | 4.0 |
| f JONATHAN RICHARD HAR | FID | GYMB | B | 150 | 21.97 | 5-Mar | 5-Mar | 0.00 | 0.0 |
| STRAUSS ASSET MGMT | 040 | GYMB | B | 15,000 | 21.95 | 5-Mar | 5-Mar | 600.00 | 4.0 |
| COUGAR TRADING | 044 | HAR | B | 5,000 | 14.15 | 12-Mar | 12-Mar | 250.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | HBI | B | 71,100 | 10.51 | n/a | n/a | 2,133.00 | 3.0 |
| f JONATHAN RICHARD HAR | FID | HBI | B | 200 | 10.74 | n/a | n/a | 0.00 | 0.0 |
| AELTUS/ING INVESTMENT MGT | 215 | HNZ | S | 74,764 | 34.48 | n/a | n/a | 2,616.74 | 3.5 |
| B BUCK CAPITAL MGMT | | HOTT | SS | 2,400 | 10.59 | n/a | 30-Jan | non-brg | 1.0 |
| B BUCK CAPITAL MGMT | | HOTT | SS | 20,000 | 10.59 | n/a | 30-Jan | non-brg | 4.0 |
| MFP INVESTORS | 032 | HOT | S | 23,800 | 14.44 | n/a | n/a | 1,190.00 | 5.0 |
| SACC-SCHWARTZ | 044 | IR | S | 38,900 | 15.38 | n/a | n/a | 1,556.00 | 4.0 |
| SANDLER O'NEILL ASSET | 031 | IVZ | S | 15,000 | 14.59 | 24-Mar | 24-Mar | 750.00 | 5.0 |
| f ALEXANDER PRYLUCKI | FID | IYF | B | 60 | 34.07 | n/a | n/a | 0.00 | 0.0 |
| SOUTH POINT CAP | 067 | IYT | B | 25,000 | 50.05 | n/a | n/a | 1,250.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | JCP | B | 75,000 | 19.94 | 6-Feb | 6-Mar | 3,000.00 | 4.0 |
| B BUCK CAPITAL MGMT | | JCP | B | 25,000 | 19.81 | 6-Feb | 6-Mar | non-brg | 1.5 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|--------------|----------|----------------|--------------|---------------|---------------|----------------|------------|
| CADIAN CAPITAL | 067 | JCP | B | 100,000 | 20.30 | 6-Feb | 6-Mar | 4,000.00 | 4.0 |
| US BANCORP | 030 | JCP | B | 164,569 | 20.25 | 6-Feb | 6-Mar | 8,228.45 | 5.0 |
| f DAVID GEORGE BUCK | FID | JPMEB | S | 10 | 1.28 | n/a | n/a | 0.00 | 0.0 |
| f DAVID GEORGE BUCK | FID | JPM | B | 1000 | 28.85 | 16-Jan | 23-Mar | 0.00 | 0.0 |
| f DAVID GEORGE BUCK | FID | JSARD | B | 20 | 1.74 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | KCP | S | 34,200 | 7.17 | n/a | 28-Sep | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | KSS | S | 50,000 | 42.79 | 17-Mar | 17-Mar | non-brg | 4.0 |
| f FRANCIS MICHAEL MCCA | FID | KSS | S | 100 | 42.05 | 17-Mar | 17-Mar | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | LM | S | 50,000 | 16.77 | 29-Jan | 24-Mar | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | LNCE | C | 28,912 | 20.36 | n/a | n/a | non-brg | 2.5 |
| NEWCASTLE FUNDS | 033 | LOW | B | 250,000 | 19.00 | 23-Feb | 23-Feb | 10,000.00 | 4.0 |
| ß BUCK CAPITAL MGMT | | LVS | B | 300,000 | 3.13 | n/a | n/a | non-brg | 2.0 |
| ß BUCK CAPITAL MGMT | | LVS | B | 50,000 | 3.11 | n/a | n/a | non-brg | 1.0 |
| PROSPECTOR PARTNERS LLC | 036 | L | B | 10,000 | 23.27 | n/a | n/a | 400.00 | 4.0 |
| PAW PARTNERS | 041 | MFE | B | 5,000 | 33.62 | n/a | 3-Apr | 250.00 | 5.0 |
| TRELLUS PARTNERS LP | 028 | MGA | SS | 5,000 | 29.12 | n/a | n/a | 250.00 | 5.0 |
| f JOSEPH CIRO AMATURO | FID | MGM | S | 5000 | 2.98 | n/a | 18-Mar | 0.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------------------------------|------------|--------------|----------|---------------|---------------|---------------|---------------|----------------|-------------|
| PRINCIPLE CAPITAL | 040 | MHK | SS | 56,800 | 33.51 | n/a | n/a | 1,704.00 | 3.0 |
| f DAVID GEORGE BUCK | FID | MONSL | B | 20 | 1.90 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | MVRX | C | 35,000 | 103.04 | n/a | n/a | non-brg | 10.3 |
| PROSPECTOR PARTNERS LLC | 036 | NP | B | 10,000 | 4.00 | 13-Mar | 13-Mar | 400.00 | 4.0 |
| BMO NESBITT BURNS | 041 | NTRS | B | 10,000 | 62.16 | 14-Jan | 23-Mar | 500.00 | 5.0 |
| SANDLER O'NEILL ASSET | 031 | NTRS | SS | 50,000 | 63.28 | 14-Jan | 23-Mar | 2,500.00 | 5.0 |
| COUGAR TRADING | 044 | NWY | S | 10,000 | 3.25 | n/a | 30-Jan | 300.00 | 3.0 |
| f MARC PAUL LUCHANSKY | FID | OAKMX | S | 4 | 24.27 | n/a | n/a | 0.00 | 0.0 |
| PAW PARTNERS | 041 | ORCL | B | 5,000 | 18.50 | n/a | n/a | 250.00 | 5.0 |
| TRELLUS PARTNERS LP | 028 | PAG | SS | 4,400 | 10.31 | n/a | 18-Feb | 220.00 | 5.0 |
| f JASON ERIC COHEN | FID | PALM | B | 100 | 8.52 | n/a | n/a | 0.00 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | PAVLX | S | 14 | 14.00 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | PCAR | S | 20,000 | 27.28 | 25-Mar | 25-Mar | non-brg | 4.0 |
| MANNING & NAPIER | 034 | PCAR | S | 750,000 | 27.19 | 25-Mar | 25-Mar | 22,500.00 | 3.0 |
| RAIL-SPLITTER | 031 | PCAR | SS | 10,000 | 27.13 | 25-Mar | 25-Mar | 500.00 | 5.0 |
| f MARC PAUL LUCHANSKY | FID | PCRRX | S | 31 | 6.39 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | PENN | B | 20,000 | 24.69 | n/a | n/a | non-brg | 1.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---------------------------|-----|--------|-----|---------|-------|--------|----------|-------------|-----|
| ⚡ BUCK CAPITAL MGMT | | PENN | B | 50,000 | 24.51 | n/a | n/a | non-brg | 2.0 |
| ⚡ BUCK CAPITAL MGMT | | PENN | B | 50,000 | 24.65 | n/a | n/a | non-brg | 4.0 |
| AELTUS/ING INVESTMENT MGT | 215 | PFE | B | 253,250 | 14.39 | n/a | 31-Mar | 8,863.75 | 3.5 |
| ⚡ BUCK CAPITAL MGMT | | PII | C | 20,000 | 24.59 | n/a | n/a | non-brg | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | PKG | S | 30,000 | 13.69 | 5-Dec | 20-Mar | non-brg | 4.0 |
| COUGAR TRADING | 044 | PLCE | B | 5,000 | 23.48 | 19-Mar | 19-Mar | 250.00 | 5.0 |
| PAW PARTNERS | 041 | POWI | B | 15,000 | 18.49 | n/a | n/a | 750.00 | 5.0 |
| f MARC PAUL LUCHANSKY | FID | PSFAX | S | 139 | 9.38 | n/a | n/a | 0.00 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | PTRAX | B | 69 | 10.10 | n/a | n/a | 0.00 | 0.0 |
| f EDWARD W WHEELER | FID | QXWKB | S | 150 | 1.67 | n/a | n/a | 0.00 | 0.0 |
| ⚡ BUCK CAPITAL MGMT | | RCL | S | 40,000 | 9.24 | 26-Mar | 26-Mar | non-brg | 3.0 |
| ⚡ BUCK CAPITAL MGMT | | RCL | S | 60,000 | 9.18 | 26-Mar | 26-Mar | non-brg | 3.0 |
| NWQ INVESTMENT MGMT CO | 048 | RDEN | B | 5,900 | 6.19 | 12-Feb | 12-Feb | 177.00 | 3.0 |
| BUCK CAPITAL MGMT | 001 | RL | B | 50,764 | 43.83 | n/a | 5-Feb | 2,030.56 | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | RL | C | 12,454 | 44.14 | n/a | 5-Feb | non-brg | 1.0 |
| SENVEST PART | 045 | RVI | S | 22,500 | 1.95 | n/a | n/a | 675.00 | 3.0 |
| PAW PARTNERS | 041 | SAP | B | 5,000 | 37.77 | n/a | n/a | 250.00 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|-----|--------|-----|---------|-------|--------|----------|-------------|-----|
| f JOHN MICHAEL ZOLIDIS | FID | SBUX | S | 500 | 12.00 | n/a | 17-Feb | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | SKF | S | 2,000 | 90.04 | n/a | n/a | non-brg | 1.0 |
| f WILLIAM J GAULT | FID | SKF | B | 6000 | 92.39 | n/a | n/a | 0.00 | 0.0 |
| f WILLIAM J GAULT | FID | SKF | S | 5000 | 93.88 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | SKX | B | 40,000 | 6.53 | n/a | 13-Mar | non-brg | 3.0 |
| f MARC PAUL LUCHANSKY | FID | SLASX | S | 15 | 26.19 | n/a | n/a | 0.00 | 0.0 |
| DAVIDSON KEMPNER ADVISOR | 040 | SLM | S | 1,200 | 4.40 | 27-Feb | 25-Mar | 36.00 | 3.0 |
| SLS CAPITAL LLC | 224 | SLM | B | 125,000 | 3.75 | 27-Feb | 25-Mar | 3,750.00 | 3.0 |
| WOOSTER CAPITAL | 035 | SLM | S | 75,000 | 4.26 | 27-Feb | 25-Mar | 2,250.00 | 3.0 |
| LISTED ERR | 099 | SLM | B | 20,000 | 4.28 | 27-Feb | 25-Mar | 0.00 | 0.0 |
| LISTED ERR | 099 | SLM | S | 20,000 | 4.26 | 27-Feb | 25-Mar | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | SUMR | B | 20,000 | 1.74 | n/a | n/a | non-brg | 1.0 |
| f ANDREW SINCLAIR | FID | SWVUL | B | 10 | 2.50 | n/a | n/a | 0.00 | 0.0 |
| SCOPUS FUND | 041 | TIN | S | 132,000 | 5.38 | 5-Dec | 20-Mar | 6,600.00 | 5.0 |
| CASTLE ARK | 031 | TJX | S | 175,410 | 26.73 | n/a | 6-Mar | 10,524.60 | 6.0 |
| B BUCK CAPITAL MGMT | | TLB | B | 20,000 | 3.63 | n/a | 30-Jan | non-brg | 1.0 |
| B BUCK CAPITAL MGMT | | TLB | B | 30,000 | 3.59 | n/a | 30-Jan | non-brg | 2.0 |
| f ALEXANDER A SACCO | FID | TNA | S | 20 | 19.75 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | TRLG | S | 15,000 | 12.68 | n/a | n/a | non-brg | 2.0 |

| | Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---|--------------------------|-----|--------|-----|---------|-------|--------|----------|-------------|-----|
| B | BUCK CAPITAL MGMT | | TRLG | S | 5,000 | 12.57 | n/a | n/a | non-brg | 4.0 |
| | SYSTEMATIC FINANCIAL MGT | 035 | TRV | S | 150,000 | 39.81 | n/a | n/a | 5,250.00 | 3.5 |
| B | BUCK CAPITAL MGMT | | TSCO | C | 49,594 | 36.70 | n/a | n/a | non-brg | 4.0 |
| | TROUBH PART | 067 | TYC | S | 25,000 | 20.78 | 12-Nov | 3-Feb | 1,250.00 | 5.0 |
| | SOUTH POINT CAP | 067 | UNP | S | 25,000 | 44.09 | n/a | n/a | 1,250.00 | 5.0 |
| f | ANDREW SINCLAIR | FID | UPLPZ | S | 100 | 0.55 | n/a | n/a | 0.00 | 0.0 |
| f | ANDREW SINCLAIR | FID | UPLQV | B | 100 | 0.60 | n/a | n/a | 0.00 | 0.0 |
| f | ALEXANDER PRYLUCKI | FID | UYG | S | 250 | 2.81 | n/a | n/a | 0.00 | 0.0 |
| | NEUBERGER BERMAN | 036 | VIVO | B | 9,350 | 17.12 | n/a | n/a | 420.75 | 4.5 |
| | FARALLON CAP MGMT | 040 | V | S | 110,000 | 54.15 | n/a | 13-Feb | 4,400.00 | 4.0 |
| B | BUCK CAPITAL MGMT | | WBC | S | 40,000 | 13.25 | 5-Feb | 18-Mar | non-brg | 4.0 |
| | PZENA INV ADV | 044 | WHR | S | 10,325 | 32.21 | n/a | n/a | 361.38 | 3.5 |
| B | BUCK CAPITAL MGMT | | WMT | S | 50,000 | 52.49 | 10-Oct | 6-Mar | non-brg | 4.0 |
| | BUCK CAPITAL MGMT | 001 | WRC | B | 60,000 | 24.43 | 27-Feb | 27-Feb | 2,400.00 | 4.0 |
| | COUGAR TRADING | 044 | WRC | S | 4,790 | 25.09 | 27-Feb | 27-Feb | 239.50 | 5.0 |
| B | BUCK CAPITAL MGMT | | XRT | C | 300,000 | 23.60 | n/a | n/a | non-brg | 1.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---------------------|-----|--------|-----|---------|-------|--------|------------|-------------|-----|
| f ANDREW SINCLAIR | FID | YPCAO | B | 100 | 1.10 | n/a | n/a | 0.00 | 0.0 |
| f RAGHAV NAYAR | FID | ZLC | S | 200 | 2.09 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | ZQK | B | 150,000 | 1.38 | 12-Mar | 12-Mar | 3,000.00 | 2.0 |
| TOTAL (Trade Date): | | | | | | | 162,332.98 | | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------|-------|---------------------------|------|--------|-----|--------|-------|--------|----------|-------------|
| AO,CRT | 03/24 | MFP INVESTORS | 032 | HOT | S | 8,100 | 14.02 | n/a | n/a | 405.00 5.0 |
| AO,CXL | 03/24 | MFP INVESTORS | 032 | HOT | S | 8,100 | 14.02 | n/a | n/a | 324.00 4.0 |
| AO,CRT | 03/25 | MFP INVESTORS | 032 | HOT | S | 30,000 | 14.24 | n/a | n/a | 1500.00 5.0 |
| AO,CXL | 03/25 | MFP INVESTORS | 032 | HOT | S | 30,000 | 14.24 | n/a | n/a | 1200.00 4.0 |
| AO,CRT | 03/25 | DC CAPITAL | 044 | IP | S | 50,000 | 9.04 | n/a | 20-Mar | 1500.00 3.0 |
| AO,CXL | 03/25 | DC CAPITAL | 044 | IP | S | 50,000 | 9.04 | n/a | 20-Mar | 2500.00 5.0 |
| AO, | 03/25 | AELTUS/ING INVESTMENT MGT | 215 | JNJ | B | 41,070 | 53.08 | n/a | 22-Apr | 1437.45 3.5 |
| AO,CRT | 03/25 | WOOSTER CAPITAL | 035 | SLM | B | 75,000 | 3.58 | 27-Feb | 25-Mar | 2250.00 3.0 |
| AO,CXL | 03/25 | WOOSTER CAPITAL | 035 | SLM | B | 75,000 | 3.58 | 27-Feb | 25-Mar | 3750.00 5.0 |

TOTAL (AO, CXL, CRT) :**-681.55**

TOTAL (Trade Date):

162,332.98

TOTAL (AO, CXL, CRT):

-681.55

TOTAL (RUN DATE) / NFS:**161,651.43****MRI Securities with Trade Activity on 26-Mar.****RCL**

MRI Securities without Trade Activity on 26-Mar.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 22%
YTD = 24%

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

BCM Watch List Trades

f: Employee Trades (Fidelity)