



# Daily Compliance Activity Report

Trade Date: 01/15/2009

Potential ANALYST TRADE Violations: 0

BCM Watch List ACTIVITY ALERT: 0

| Account                      | RR#        | Symbol      | B/S      | Shares         | Price        | MRI        | Research     | Comm.¢/Shr.    |            |
|------------------------------|------------|-------------|----------|----------------|--------------|------------|--------------|----------------|------------|
| <b>B</b> BUCK CAPITAL MGMT   |            | <b>AAPL</b> | <b>B</b> | <b>10,000</b>  | <b>81.21</b> | <b>n/a</b> | <b>n/a</b>   | <b>non-brg</b> | <b>1.0</b> |
| <b>f</b> HARALAMBOS EFSTATHI | <b>FID</b> | <b>AAPL</b> | <b>S</b> | <b>200</b>     | <b>83.14</b> | <b>n/a</b> | <b>n/a</b>   | <b>0.00</b>    | <b>0.0</b> |
| BUCK CAPITAL MGMT            | 001        | AAP         | B        | 10,000         | 30.96        | n/a        | n/a          | 400.00         | 4.0        |
| BALYASNY ASSET MGMT          | 044        | AB          | S        | 25,000         | 18.07        | 10-Sep     | 14-Jan       | 1,250.00       | 5.0        |
| CASTLE ARK                   | 031        | ACE         | B        | 38,129         | 48.53        | n/a        | n/a          | 2,287.74       | 6.0        |
| PIONEER MICHAEL NOLAN        | 067        | AEM         | S        | 20,000         | 45.21        | n/a        | n/a          | 600.00         | 3.0        |
| BUCK CAPITAL MGMT            | 001        | AEO         | B        | 170,000        | 9.44         | n/a        | 9-Jan        | 5,100.00       | 3.0        |
| <b>B</b> BUCK CAPITAL MGMT   |            | <b>AEO</b>  | <b>B</b> | <b>13,000</b>  | <b>9.45</b>  | <b>n/a</b> | <b>9-Jan</b> | <b>non-brg</b> | <b>1.0</b> |
| <b>B</b> BUCK CAPITAL MGMT   |            | <b>AEO</b>  | <b>B</b> | <b>155,144</b> | <b>9.73</b>  | <b>n/a</b> | <b>9-Jan</b> | <b>non-brg</b> | <b>1.5</b> |
| <b>B</b> BUCK CAPITAL MGMT   |            | <b>AEO</b>  | <b>B</b> | <b>161,856</b> | <b>9.70</b>  | <b>n/a</b> | <b>9-Jan</b> | <b>non-brg</b> | <b>3.0</b> |
| <b>B</b> BUCK CAPITAL MGMT   |            | <b>AEO</b>  | <b>B</b> | <b>45,000</b>  | <b>9.79</b>  | <b>n/a</b> | <b>9-Jan</b> | <b>non-brg</b> | <b>1.0</b> |
| <b>B</b> BUCK CAPITAL MGMT   |            | <b>AEO</b>  | <b>B</b> | <b>454,450</b> | <b>9.97</b>  | <b>n/a</b> | <b>9-Jan</b> | <b>non-brg</b> | <b>1.0</b> |
| THIRD COAST CAPITAL          | 035        | AEO         | S        | 10,000         | 10.57        | n/a        | 9-Jan        | 500.00         | 5.0        |
| FIRST NY SEC/CHRIS           | 041        | ANN         | B        | 10,000         | 4.87         | n/a        | 6-Jan        | 600.00         | 6.0        |
| <b>B</b> BUCK CAPITAL MGMT   |            | <b>ARO</b>  | <b>B</b> | <b>20,700</b>  | <b>19.30</b> | <b>n/a</b> | <b>9-Jan</b> | <b>non-brg</b> | <b>4.0</b> |
| <b>f</b> HARALAMBOS EFSTATHI | <b>FID</b> | <b>ATVI</b> | <b>B</b> | <b>1000</b>    | <b>9.24</b>  | <b>n/a</b> | <b>n/a</b>   | <b>0.00</b>    | <b>0.0</b> |
| HUNTER GLOBAL INVESTOR       | 067        | AVP         | SS       | 50,000         | 21.52        | 3-Nov      | 9-Dec        | 2,500.00       | 5.0        |
| MARINER/TRICADIA             | 041        | AYI         | B        | 4,300          | 27.97        | n/a        | n/a          | 215.00         | 5.0        |

| Account                | RR# | Symbol | B/S | Shares  | Price | MRI    | Research | Comm.¢/Shr. |     |
|------------------------|-----|--------|-----|---------|-------|--------|----------|-------------|-----|
| MARINER/TRICADIA       | 041 | AYI    | S   | 4,300   | 29.56 | n/a    | n/a      | 215.00      | 5.0 |
| BULL PATH CAPITAL      | 044 | BAC    | B   | 27,500  | 8.15  | 23-Dec | 14-Jan   | 1,375.00    | 5.0 |
| ⚡ BUCK CAPITAL MGMT    |     | BARE   | S   | 100,000 | 4.73  | n/a    | n/a      | non-brg     | 3.0 |
| ⚡ BUCK CAPITAL MGMT    |     | BARE   | S   | 52,000  | 4.84  | n/a    | n/a      | non-brg     | 1.0 |
| WEINTRAUB CAPITAL MGT. | 040 | BEN    | B   | 25,000  | 54.15 | 13-Nov | 12-Jan   | 1,000.00    | 4.0 |
| f HARALAMBOS EFSTATHI  | FID | BFRM   | B   | 2000    | 1.05  | n/a    | n/a      | 0.00        | 0.0 |
| RAIL-SPLITTER          | 031 | BIG    | B   | 5,800   | 13.29 | 5-Dec  | 6-Jan    | 290.00      | 5.0 |
| HUNTER GLOBAL INVESTOR | 067 | BNI    | SS  | 7,800   | 63.48 | n/a    | n/a      | 390.00      | 5.0 |
| MILLRACE FUND LP       | 028 | BWA    | B   | 5,000   | 18.57 | 16-Dec | 12-Jan   | 200.00      | 4.0 |
| f MANNY I KORMAN       | FID | BWF    | S   | 1000    | 23.16 | n/a    | n/a      | 0.00        | 0.0 |
| ⚡ BUCK CAPITAL MGMT    |     | BWLD   | C   | 15,496  | 23.12 | n/a    | n/a      | non-brg     | 4.0 |
| NWQ INVESTMENT MGMT CO | 048 | CASY   | B   | 24,025  | 21.76 | n/a    | n/a      | 720.75      | 3.0 |
| ROSEDALE CAPITAL       | 046 | CMI    | S   | 10,000  | 25.60 | 14-Nov | 11-Dec   | 500.00      | 5.0 |
| AVESTA CAP             | 229 | COH    | B   | 25,000  | 16.13 | 9-Jan  | 9-Jan    | 1,250.00    | 5.0 |
| f MANNY I KORMAN       | FID | COH    | S   | 3000    | 16.14 | 9-Jan  | 9-Jan    | 0.00        | 0.0 |
| ⚡ BUCK CAPITAL MGMT    |     | COST   | C   | 100,000 | 48.69 | n/a    | 27-Jul   | non-brg     | 4.0 |
| ⚡ BUCK CAPITAL MGMT    |     | COST   | C   | 306,700 | 48.26 | n/a    | 27-Jul   | non-brg     | 4.0 |

| Account                | RR# | Symbol      | B/S | Shares  | Price | MRI    | Research | Comm. ¢/Shr. |       |
|------------------------|-----|-------------|-----|---------|-------|--------|----------|--------------|-------|
| GREENLIGHT CAPITAL     | 041 | CPN         | B   | 153,100 | 7.46  | n/a    | n/a      | 6,124.00     | 4.0   |
| ⚡ BUCK CAPITAL MGMT    |     | CRI         | C   | 30,000  | 16.96 | n/a    | n/a      | non-brg      | 4.0   |
| ⚡ BUCK CAPITAL MGMT    |     | CSTR        | C   | 48,297  | 19.15 | n/a    | n/a      | non-brg      | 2.5   |
| HUNTER GLOBAL INVESTOR | 067 | CSX         | SS  | 8,200   | 30.08 | n/a    | n/a      | 410.00       | 5.0   |
| WASHINGTON ASSET       | 048 | CSX         | B   | 15,000  | 30.42 | n/a    | n/a      | 750.00       | 5.0   |
| PRINCIPLE CAPITAL      | 040 | CVS         | B   | 35,300  | 25.92 | n/a    | n/a      | 1,059.00     | 3.0   |
| ⚡ BUCK CAPITAL MGMT    |     | CWTR        | B   | 100,000 | 2.90  | n/a    | n/a      | non-brg      | 2.0   |
| ⚡ BUCK CAPITAL MGMT    |     | CWTR        | B   | 50,000  | 3.03  | n/a    | n/a      | non-brg      | 2.5   |
| ⚡ RAGHAV NAYAR         | FID | C           | B   | 100     | 3.90  | 15-Sep | 14-Jan   | 0.00         | 0.0   |
| NOMURA CAPITAL         | 045 | DAL         | S   | 9,500   | 11.40 | n/a    | n/a      | 475.00       | 5.0   |
| ⚡ BUCK CAPITAL MGMT    |     | DBRN        | B   | 100,000 | 9.07  | n/a    | n/a      | non-brg      | 3.0   |
| ⚡ MANNY I KORMAN       | FID | DIS         | S   | 3000    | 20.34 | n/a    | n/a      | 0.00         | 0.0   |
| ⚡ BUCK CAPITAL MGMT    |     | EDU+NJ[EDU] | SS  | 500     | 4.90  | n/a    | n/a      | non-brg      | 300.0 |
| ⚡ BUCK CAPITAL MGMT    |     | EDU         | C   | 40,000  | 51.82 | n/a    | n/a      | non-brg      | 4.0   |
| ⚡ BUCK CAPITAL MGMT    |     | EDU         | SS  | 2,500   | 50.55 | n/a    | n/a      | non-brg      | 1.0   |
| MILLENIUM KOZLOW       | 028 | ETN         | B   | 10,000  | 47.76 | 7-Jan  | 7-Jan    | 500.00       | 5.0   |
| NATIONAL BK OF CAN     | 031 | EWBC        | SS  | 25,000  | 9.75  | n/a    | n/a      | 1,000.00     | 4.0   |

| Account             | RR# | Symbol | B/S | Shares  | Price | MRI    | Research | Comm. ¢/Shr. |     |
|---------------------|-----|--------|-----|---------|-------|--------|----------|--------------|-----|
| CUMBERLAND          | 038 | EXH    | B   | 8,100   | 21.38 | n/a    | 16-Dec   | 324.00       | 4.0 |
| BASIX               | 033 | FDO    | B   | 27,600  | 28.41 | 7-Jan  | 7-Jan    | 828.00       | 3.0 |
| BMO NESBITT BURNS   | 041 | FDO    | B   | 25,000  | 28.67 | 7-Jan  | 7-Jan    | 1,250.00     | 5.0 |
| ⚡ BUCK CAPITAL MGMT |     | FDO    | C   | 50,000  | 28.56 | 7-Jan  | 7-Jan    | non-brg      | 4.0 |
| ⚡ BUCK CAPITAL MGMT |     | GES    | B   | 127,264 | 16.39 | n/a    | n/a      | non-brg      | 4.0 |
| ⚡ BUCK CAPITAL MGMT |     | GES    | B   | 190,000 | 15.49 | n/a    | n/a      | non-brg      | 4.0 |
| ⚡ BUCK CAPITAL MGMT |     | GES    | B   | 22,736  | 15.22 | n/a    | n/a      | non-brg      | 1.0 |
| BUCK CAPITAL MGMT   | 001 | GIL    | B   | 70,100  | 11.00 | 11-Dec | 12-Dec   | 2,804.00     | 4.0 |
| ⚡ BUCK CAPITAL MGMT |     | GIL    | B   | 100,000 | 11.82 | 11-Dec | 12-Dec   | non-brg      | 4.0 |
| ⚡ BUCK CAPITAL MGMT |     | GIL    | B   | 250,000 | 11.04 | 11-Dec | 12-Dec   | non-brg      | 4.0 |
| ⚡ BUCK CAPITAL MGMT |     | GIL    | B   | 9,900   | 10.79 | 11-Dec | 12-Dec   | non-brg      | 1.0 |
| f DAVID GEORGE BUCK | FID | GIS    | S   | 1500    | 57.99 | n/a    | n/a      | 0.00         | 0.0 |
| f DAVID GEORGE BUCK | FID | GS     | S   | 1400    | 71.19 | 15-Sep | 14-Jan   | 0.00         | 0.0 |
| MILLENIU M KOZLOW   | 028 | GYMB   | B   | 20,000  | 24.62 | 7-Nov  | 14-Jan   | 1,000.00     | 5.0 |
| SCOPUS FUND         | 041 | HD     | B   | 10,000  | 21.95 | n/a    | 27-Jul   | 500.00       | 5.0 |
| KLEINHEINZ CAP PART | 031 | HRB    | B   | 400,000 | 20.77 | n/a    | n/a      | 20,000.00    | 5.0 |
| ⚡ BUCK CAPITAL MGMT |     | IP     | SS  | 165,000 | 10.11 | 22-Sep | 5-Dec    | non-brg      | 4.0 |
| f DAVID GEORGE BUCK | FID | IWF    | S   | 2000    | 34.64 | n/a    | n/a      | 0.00         | 0.0 |
| BUCK CAPITAL MGMT   | 001 | JCG    | B   | 250,000 | 9.08  | n/a    | 9-Jan    | 7,500.00     | 3.0 |

| Account                | RR# | Symbol | B/S | Shares | Price | MRI    | Research | Comm.¢/Shr. |     |
|------------------------|-----|--------|-----|--------|-------|--------|----------|-------------|-----|
| COUGAR TRADING         | 044 | JCI    | SS  | 15,000 | 16.76 | 9-Jan  | 9-Jan    | 750.00      | 5.0 |
| BMO NESBITT BURNS      | 041 | JCP    | B   | 25,000 | 19.15 | 9-Jan  | 9-Jan    | 1,250.00    | 5.0 |
| KACELA CAPITAL         | 034 | JCP    | B   | 25,000 | 18.67 | 9-Jan  | 9-Jan    | 1,000.00    | 4.0 |
| ⌘ BUCK CAPITAL MGMT    |     | JOSB   | B   | 25,000 | 27.91 | n/a    | n/a      | non-brg     | 4.0 |
| ⌘ BUCK CAPITAL MGMT    |     | JOSB   | B   | 25,000 | 28.29 | n/a    | n/a      | non-brg     | 2.0 |
| ⌘ BUCK CAPITAL MGMT    |     | JOSB   | B   | 30,000 | 29.26 | n/a    | n/a      | non-brg     | 1.0 |
| MATRIX ASSET ADV.      | 036 | JPM    | B   | 10,000 | 24.29 | 23-Dec | 14-Jan   | 400.00      | 4.0 |
| NATIONAL BK OF CAN     | 031 | JPM    | S   | 12,000 | 26.39 | 23-Dec | 14-Jan   | 480.00      | 4.0 |
| NUMERIC                | 060 | JWN    | C   | 79,700 | 12.26 | 9-Jan  | 9-Jan    | 2,391.00    | 3.0 |
| ⌘ BUCK CAPITAL MGMT    |     | KCP    | B   | 10,000 | 6.06  | n/a    | 28-Sep   | non-brg     | 2.5 |
| ⌘ BUCK CAPITAL MGMT    |     | KCP    | B   | 2,800  | 5.80  | n/a    | 28-Sep   | non-brg     | 1.0 |
| ⌘ BUCK CAPITAL MGMT    |     | KCP    | B   | 37,800 | 6.05  | n/a    | 28-Sep   | non-brg     | 2.0 |
| HUNTER GLOBAL INVESTOR | 067 | KSU    | SS  | 13,700 | 18.01 | n/a    | n/a      | 548.00      | 4.0 |
| f MANNY I KORMAN       | FID | LMI    | S   | 2000   | 21.52 | n/a    | n/a      | 0.00        | 0.0 |
| BALYASNY ASSET MGMT    | 044 | LM     | S   | 30,000 | 20.86 | 29-Oct | 12-Jan   | 1,500.00    | 5.0 |
| f HARALAMBOS EFSTATHI  | FID | LPS    | B   | 200    | 28.32 | n/a    | n/a      | 0.00        | 0.0 |
| f MANNY I KORMAN       | FID | MAR    | S   | 3000   | 16.57 | n/a    | n/a      | 0.00        | 0.0 |
| f MANNY I KORMAN       | FID | MERPRK | S   | 9000   | 14.24 | n/a    | n/a      | 0.00        | 0.0 |

| Account                    | RR#        | Symbol        | B/S      | Shares         | Price        | MRI           | Research      | Comm.¢/Shr.     |            |
|----------------------------|------------|---------------|----------|----------------|--------------|---------------|---------------|-----------------|------------|
| <b>f MANNY I KORMAN</b>    | <b>FID</b> | <b>METPRB</b> | <b>S</b> | <b>5000</b>    | <b>16.90</b> | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>     | <b>0.0</b> |
| <b>f DAVID GEORGE BUCK</b> | <b>FID</b> | <b>MHS</b>    | <b>B</b> | <b>1500</b>    | <b>41.45</b> | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>     | <b>0.0</b> |
| MORGAN BANK /JPM           | 070        | MO            | B        | 6,000          | 16.40        | n/a           | n/a           | 180.00          | 3.0        |
| <b>f MANNY I KORMAN</b>    | <b>FID</b> | <b>MWO</b>    | <b>S</b> | <b>9000</b>    | <b>13.68</b> | <b>n/a</b>    | <b>n/a</b>    | <b>0.00</b>     | <b>0.0</b> |
| SIGMA CAPITAL ASSOCIATES   | 237        | MW            | B        | 25,000         | 13.15        | n/a           | n/a           | 1,250.00        | 5.0        |
| <b>f MANNY I KORMAN</b>    | <b>FID</b> | <b>M</b>      | <b>S</b> | <b>5000</b>    | <b>9.06</b>  | <b>12-Aug</b> | <b>9-Jan</b>  | <b>0.00</b>     | <b>0.0</b> |
| MARINER/TRICADIA           | 041        | M             | B        | 25,000         | 9.00         | 12-Aug        | 9-Jan         | 1,250.00        | 5.0        |
| MARINER/TRICADIA           | 041        | M             | S        | 25,000         | 9.78         | 12-Aug        | 9-Jan         | 1,250.00        | 5.0        |
| MARINER/TRICADIA           | 041        | NCX           | SS       | 25,000         | 5.28         | n/a           | n/a           | 1,250.00        | 5.0        |
| <b>BUCK CAPITAL MGMT</b>   | <b>001</b> | <b>NDN</b>    | <b>B</b> | <b>50,000</b>  | <b>9.44</b>  | <b>31-Oct</b> | <b>9-Jan</b>  | <b>1,500.00</b> | <b>3.0</b> |
| NOMURA CAPITAL             | 045        | OC            | S        | 8,100          | 16.32        | n/a           | n/a           | 405.00          | 5.0        |
| BMO NESBITT BURNS          | 041        | PAG           | B        | 25,000         | 7.39         | n/a           | 23-Dec        | 1,250.00        | 5.0        |
| RAMIUS CAP                 | 040        | PCH           | B        | 39,700         | 23.13        | n/a           | 11-Dec        | 1,985.00        | 5.0        |
| COLUMBIA PARTNERS          | 028        | PCL           | S        | 9,799          | 30.43        | n/a           | 18-Dec        | 391.96          | 4.0        |
| <b>BUCK CAPITAL MGMT</b>   | <b>001</b> | <b>RL</b>     | <b>B</b> | <b>80,000</b>  | <b>39.89</b> | <b>n/a</b>    | <b>6-Nov</b>  | <b>3,200.00</b> | <b>4.0</b> |
| <b>BUCK CAPITAL MGMT</b>   | <b>001</b> | <b>SKX</b>    | <b>S</b> | <b>100,000</b> | <b>9.66</b>  | <b>n/a</b>    | <b>13-Mar</b> | <b>3,000.00</b> | <b>3.0</b> |

| Account                 | RR# | Symbol | B/S | Shares  | Price | MRI    | Research | Comm. ¢/Shr. |     |
|-------------------------|-----|--------|-----|---------|-------|--------|----------|--------------|-----|
| ⚡ BUCK CAPITAL MGMT     |     | SPTN   | C   | 26,416  | 21.18 | n/a    | n/a      | non-brg      | 4.0 |
| UBS OCONNOR             | 031 | SWY    | C   | 100,000 | 22.38 | n/a    | n/a      | 3,000.00     | 3.0 |
| ⚡ BUCK CAPITAL MGMT     |     | TGT    | C   | 100,000 | 34.98 | 17-Nov | 9-Jan    | non-brg      | 4.0 |
| BMO NESBITT BURNS       | 041 | TIN    | B   | 50,000  | 3.49  | 5-Dec  | 5-Dec    | 2,500.00     | 5.0 |
| ⚡ BUCK CAPITAL MGMT     |     | TIN    | B   | 100,000 | 3.40  | 5-Dec  | 5-Dec    | non-brg      | 2.0 |
| ⚡ BUCK CAPITAL MGMT     |     | TIN    | B   | 302,800 | 3.53  | 5-Dec  | 5-Dec    | non-brg      | 3.0 |
| CSFB GLOBAL PROPRIETARY | 041 | TIN    | B   | 40,000  | 3.45  | 5-Dec  | 5-Dec    | 1,200.00     | 3.0 |
| ⚡ BUCK CAPITAL MGMT     |     | TSCO   | SS  | 20,000  | 31.38 | n/a    | n/a      | non-brg      | 4.0 |
| ⚡ BUCK CAPITAL MGMT     |     | TWB    | S   | 1,500   | 3.31  | n/a    | 6-Jan    | non-brg      | 1.0 |
| ⚡ BUCK CAPITAL MGMT     |     | TWB    | S   | 100,000 | 3.31  | n/a    | 6-Jan    | non-brg      | 2.0 |
| ⚡ BUCK CAPITAL MGMT     |     | TWB    | S   | 100,000 | 3.39  | n/a    | 6-Jan    | non-brg      | 2.0 |
| ⚡ NICOLAS EVAN PAKLER   | FID | TZA    | B   | 17      | 56.31 | n/a    | n/a      | 0.00         | 0.0 |
| CAVU CAP ADV            | 028 | UNP    | S   | 25,000  | 41.23 | n/a    | n/a      | 1,250.00     | 5.0 |
| HUNTER GLOBAL INVESTOR  | 067 | UNP    | SS  | 6,000   | 41.10 | n/a    | n/a      | 300.00       | 5.0 |
| ⚡ BUCK CAPITAL MGMT     |     | URBN   | B   | 100,000 | 15.21 | 5-Nov  | 9-Jan    | non-brg      | 4.0 |
| ⚡ BUCK CAPITAL MGMT     |     | URBN   | B   | 300,000 | 15.73 | 5-Nov  | 9-Jan    | non-brg      | 4.0 |
| HUNTER GLOBAL INVESTOR  | 067 | UTX    | SS  | 100,000 | 49.40 | n/a    | n/a      | 5,000.00     | 5.0 |
| WASHINGTON ASSET        | 048 | UYG    | S   | 50,000  | 3.90  | n/a    | n/a      | 1,500.00     | 3.0 |
| ⚡ MANNY I KORMAN        | FID | WBPRC  | S   | 3000    | 15.67 | n/a    | n/a      | 0.00         | 0.0 |

| Account                       | RR#        | Symbol     | B/S       | Shares         | Price        | MRI           | Research          | Comm. ¢/Shr.    |            |
|-------------------------------|------------|------------|-----------|----------------|--------------|---------------|-------------------|-----------------|------------|
| <b>f MANNY I KORMAN</b>       | <b>FID</b> | <b>WMS</b> | <b>S</b>  | <b>3000</b>    | <b>24.03</b> | <b>n/a</b>    | <b>n/a</b>        | <b>0.00</b>     | <b>0.0</b> |
| MORGAN BANK /JPM              | 070        | WMT        | S         | 81,800         | 50.79        | 10-Oct        | 8-Jan             | 2,454.00        | 3.0        |
| <b>BUCK CAPITAL MGMT</b>      | <b>001</b> | <b>WRC</b> | <b>B</b>  | <b>40,000</b>  | <b>19.44</b> | <b>7-Nov</b>  | <b>7-Nov</b>      | <b>1,600.00</b> | <b>4.0</b> |
| COUGAR TRADING                | 044        | WRC        | B         | 5,300          | 19.04        | 7-Nov         | 7-Nov             | 265.00          | 5.0        |
| NATIONAL BK OF CAN            | 031        | XLF        | B         | 75,000         | 10.36        | n/a           | n/a               | 3,000.00        | 4.0        |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>XRT</b> | <b>C</b>  | <b>175,000</b> | <b>20.50</b> | <b>n/a</b>    | <b>n/a</b>        | <b>non-brg</b>  | <b>2.0</b> |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>XRT</b> | <b>C</b>  | <b>350,000</b> | <b>20.43</b> | <b>n/a</b>    | <b>n/a</b>        | <b>non-brg</b>  | <b>1.0</b> |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>XRT</b> | <b>SS</b> | <b>180,000</b> | <b>19.48</b> | <b>n/a</b>    | <b>n/a</b>        | <b>non-brg</b>  | <b>2.0</b> |
| <b>BUCK CAPITAL MGMT</b>      | <b>001</b> | <b>ZLC</b> | <b>B</b>  | <b>50,000</b>  | <b>2.92</b>  | <b>n/a</b>    | <b>n/a</b>        | <b>1,500.00</b> | <b>3.0</b> |
| <b>f ALANA J A MADIGAN-SI</b> | <b>FID</b> | <b>ZQK</b> | <b>B</b>  | <b>800</b>     | <b>1.57</b>  | <b>19-Dec</b> | <b>19-Dec</b>     | <b>0.00</b>     | <b>0.0</b> |
| <b>TOTAL (Trade Date):</b>    |            |            |           |                |              |               | <b>112,717.45</b> |                 |            |



**Cancel/Corrects and As-Of Trades**

| Type                          | Date  | Account              | RR # | Symbol | B/S | Shares | Price | MRI   | Research | Comm.¢/Shr.   |
|-------------------------------|-------|----------------------|------|--------|-----|--------|-------|-------|----------|---------------|
| AO,CRT                        | 01/14 | CAPITAL GROWTH MGMT. | 241  | AET    | B   | 60,000 | 25.79 | n/a   | n/a      | 3000.00 5.0   |
| AO,CXL                        | 01/14 | CAPITAL GROWTH MGMT. | 241  | AET    | B   | 60,000 | 25.79 | n/a   | n/a      | 2400.00 4.0   |
| AO,CRT                        | 01/14 | SCOPUS FUND          | 041  | AVY    | SS  | 9,000  | 29.72 | 6-Jan | 6-Jan    | 450.00 5.0    |
| AO,CXL                        | 01/14 | SCOPUS FUND          | 041  | AVY    | SS  | 9,000  | 29.72 | 6-Jan | 6-Jan    | 450.00 5.0    |
| AO,CRT                        | 01/14 | CATAPULT             | 040  | CMTL   | B   | 18,000 | 41.05 | n/a   | n/a      | 900.00 5.0    |
| AO,CXL                        | 01/14 | PNC/MERCANTILE       | 028  | CMTL   | B   | 18,000 | 41.05 | n/a   | n/a      | 900.00 5.0    |
| AO,CRT                        | 01/14 | FPCC                 | 041  | LNK    | B   | 2,200  | 6.33  | n/a   | n/a      | 88.00 4.0     |
| AO,CXL                        | 01/14 | FRONTPOINT CHRIS C   | 041  | LNK    | B   | 2,200  | 6.33  | n/a   | n/a      | 88.00 4.0     |
| AO,CXL                        | 01/14 | AVESTA CAP           | 229  | MET    | S   | 15,000 | 27.00 | n/a   | n/a      | 750.00 5.0    |
| AO,CRT                        | 01/14 | AVESTA CAP           | 229  | MET    | S   | 15,000 | 27.00 | n/a   | n/a      | 750.00 5.0    |
| AO,CRT                        | 01/14 | SCOPUS FUND          | 041  | PAG    | SS  | 7,500  | 7.87  | n/a   | 23-Dec   | 375.00 5.0    |
| AO,CXL                        | 01/14 | SCOPUS FUND          | 041  | PAG    | SS  | 7,500  | 7.87  | n/a   | 23-Dec   | 375.00 5.0    |
| AO,CXL                        | 01/14 | SCOPUS FUND          | 041  | WSM    | SS  | 12,500 | 7.62  | n/a   | n/a      | 625.00 5.0    |
| AO,CRT                        | 01/14 | SCOPUS FUND          | 041  | WSM    | SS  | 12,500 | 7.62  | n/a   | n/a      | 625.00 5.0    |
| <b>TOTAL (AO, CXL, CRT) :</b> |       |                      |      |        |     |        |       |       |          | <b>600.00</b> |

|                        |            |
|------------------------|------------|
| TOTAL (Trade Date) :   | 112,717.45 |
| TOTAL (AO, CXL, CRT) : | 600.00     |

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TOTAL (RUN DATE) / NFS:

113,317.45

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MRI Securities with Trade Activity on 15-Jan.  
NONE

MRI Securities without Trade Activity on 15-Jan.  
PG

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 17%  
YTD = 23%

**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)**