



# Daily Compliance Activity Report

Trade Date: 10/08/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		AAP+VH	C	38	12.01	n/a	n/a	non-brg 300.0	
BUCK CAPITAL MGMT		AAPL	S	3,300	93.37	n/a	n/a	non-brg 2.0	
PRINCIPLE CAPITAL	040	AAPL	B	47,000	92.79	n/a	n/a	1,880.00	4.0
WHALE ROCK CAP	030	AAPL	B	89,700	94.11	n/a	n/a	3,588.00	4.0
BUCK CAPITAL MGMT		AAP	C	2,900	28.77	n/a	n/a	non-brg 2.0	
WHALE ROCK CAP	030	AATI	S	173,300	3.43	n/a	n/a	6,932.00	4.0
BUCK CAPITAL MGMT		AAWW	C	1,300	26.02	n/a	n/a	non-brg 2.0	
CENTURION GLOBAL MGMT LL	041	ABT	B	7,500	55.96	n/a	22-Apr	225.00	3.0
BUCK CAPITAL MGMT		ACC	SS	20,000	28.91	n/a	n/a	non-brg 4.0	
BUCK CAPITAL MGMT		AEO+JC	C	32	0.08	n/a	n/a	non-brg 100.0	
BUCK CAPITAL MGMT		AEO+JV	SS	2,000	0.40	n/a	n/a	non-brg 100.0	
BUCK CAPITAL MGMT		AEO+KC	C	64	0.57	n/a	n/a	non-brg 100.0	
BUCK CAPITAL MGMT		AEO+KD	C	54	0.15	n/a	n/a	non-brg 100.0	
BUCK CAPITAL MGMT		AEO+KW	C	97	0.28	n/a	n/a	non-brg 100.0	
BUCK CAPITAL MGMT	001	AEO	B	110,000	11.91	n/a	3-Oct	4,400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		AEO	B	200,000	11.52	n/a	3-Oct	non-brg	2.0
⌘ BUCK CAPITAL MGMT		AEO	S	33,100	11.63	n/a	3-Oct	non-brg	2.0
COUGAR TRADING	044	AEO	B	10,000	11.63	n/a	3-Oct	500.00	5.0
SIGMA CAPITAL ASSOCIATES	237	AEO	S	25,000	12.00	n/a	3-Oct	1,250.00	5.0
THOMAS WEISEL ASSET MGMT	035	AEO	B	81,600	11.83	n/a	3-Oct	3,264.00	4.0
BUCK	015	AET	S	2,000	30.60	n/a	n/a	0.00	0.0
NOMURA CAPITAL	045	AKS	B	15,010	14.68	n/a	n/a	750.50	5.0
NOMURA CAPITAL	045	AKS	S	10,010	14.76	n/a	n/a	500.50	5.0
STG INVESTORS	041	AMAT	S	40,000	12.42	n/a	n/a	1,200.00	3.0
⌘ BUCK CAPITAL MGMT		AMB	SS	20,000	30.61	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		AMD	C	2,800	4.50	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		AMG	B	10,400	71.76	6-Oct	8-Oct	non-brg	1.0
⌘ BUCK CAPITAL MGMT		AMT	B	13,000	31.08	n/a	n/a	non-brg	4.0
WHALE ROCK CAP	030	AMZN	B	60,700	60.54	n/a	n/a	2,428.00	4.0
⌘ BUCK CAPITAL MGMT		AN+WB	C	139	1.54	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		ANF+JG	SS	1,000	1.50	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		ANF+KL	C	93	0.23	n/a	n/a	non-brg	100.0
⌘ BUCK CAPITAL MGMT		ANF+KQ	C	31	0.09	n/a	n/a	non-brg	100.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVIN CAPITAL STRATEGIES	012	ANF	S	50,000	33.04	7-Aug	3-Oct	2,000.00	4.0
MERRILL ASSET	032	ANF	B	22,500	33.82	7-Aug	3-Oct	1,012.50	4.5
SYSTEMATIC FINANCIAL MGT	035	ANF	B	8,700	32.87	7-Aug	3-Oct	326.25	3.8
ß BUCK CAPITAL MGMT		ANN+XD	C	63	3.95	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		ANN+XX	C	49	5.65	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	ANN	SS	20,000	18.03	n/a	8-Oct	800.00	4.0
ß BUCK CAPITAL MGMT		ANN	C	1,900	18.19	n/a	8-Oct	non-brg	2.0
ß BUCK CAPITAL MGMT		AN	C	21,100	10.40	25-Jul	28-Jul	non-brg	2.0
ß BUCK CAPITAL MGMT		AOS	C	20,000	31.16	17-Jul	3-Oct	non-brg	4.0
WHALE ROCK CAP	030	APH	B	56,100	33.31	n/a	n/a	2,244.00	4.0
ß BUCK CAPITAL MGMT		APP	B	90,000	6.73	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		APP	S	29,600	6.55	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		APV+JO	S	31	0.01	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		APV+JP	C	31	0.02	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		ARO+JG	C	44	0.09	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		ARO+JH	C	120	0.08	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		ARO	B	120,000	27.71	28-Apr	3-Oct	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		ARO	B	70,000	27.41	28-Apr	3-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		ARO	S	12,800	27.07	28-Apr	3-Oct	non-brg	2.0
J ROSE LTD	034	ASCMA	S	5	23.96	n/a	n/a	0.00	0.0
PRINCIPLE CAPITAL	040	AVP	B	33,300	33.29	31-Jul	31-Jul	999.00	3.0
LITESPEED	028	AXL	S	26,818	4.10	n/a	n/a	804.54	3.0
ß BUCK CAPITAL MGMT		AZO	C	900	110.42	n/a	n/a	non-brg	2.0
WASHINGTON ASSET	048	BAC	S	20,000	22.36	n/a	7-Oct	1,000.00	5.0
ß BUCK CAPITAL MGMT		BBBY	C	115,000	27.94	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BBBY	C	15,000	28.05	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		BBY+XS	C	31	2.55	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		BBY+XU	C	31	8.70	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		BBY	C	600	30.31	n/a	27-Jul	non-brg	2.0
ß BUCK CAPITAL MGMT		BBY	SS	40,000	30.11	n/a	27-Jul	non-brg	4.0
BUCK CAPITAL MGMT	001	BDK	SS	20,000	53.24	n/a	n/a	800.00	4.0
EPOCH INV MGMT	030	BEN	B	80,000	67.15	9-Oct	8-Oct	3,200.00	4.0
ß BUCK CAPITAL MGMT		BHI	B	2,000	41.82	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		BHQ+WE	C	189	1.17	n/a	n/a	non-brg	300.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
BUCK CAPITAL MGMT		BHQ+WX	C	125	0.67	n/a	n/a	non-brg 100.0
BUCK CAPITAL MGMT		BHQ+WY	C	91	2.27	n/a	n/a	non-brg 300.0
BUCK CAPITAL MGMT		BIG	SS	40,000	24.26	29-May	6-Oct	non-brg 4.0
BUCK CAPITAL MGMT		BJ+XF	C	19	2.30	n/a	n/a	non-brg 300.0
BUCK CAPITAL MGMT		BJ+XH	C	62	7.75	n/a	n/a	non-brg 300.0
BUCK CAPITAL MGMT		BJ	C	6,700	33.83	n/a	27-Jul	non-brg 2.0
BUCK CAPITAL MGMT		BJ	SS	40,000	33.42	n/a	27-Jul	non-brg 4.0
GRUBER MACBAINE	033	BJ	B	10,000	33.63	n/a	27-Jul	400.00 4.0
BUCK CAPITAL MGMT		BKC	B	55,000	22.31	1-May	22-Aug	non-brg 1.0
BUCK CAPITAL MGMT		BK	B	20,000	24.44	n/a	19-Sep	non-brg 1.0
FRONTPOINT CHRIS C	041	BK	S	14,300	24.30	n/a	19-Sep	572.00 4.0
BUCK CAPITAL MGMT		BOBE	C	2,500	25.39	n/a	n/a	non-brg 2.0
BUCK CAPITAL MGMT		BOBE	SS	20,000	25.28	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		BPOP	C	5,300	7.13	n/a	n/a	non-brg 2.0
BUCK CAPITAL MGMT		BQU+XG	C	111	6.79	n/a	n/a	non-brg 300.0
BUCK CAPITAL MGMT		BRE	C	700	38.77	n/a	n/a	non-brg 2.0
BUCK CAPITAL MGMT		BWLD	C	11,700	34.78	n/a	n/a	non-brg 2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		BWS+WV	C	16	1.60	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		BYI	B	20,000	20.75	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		CAM	B	1,500	27.35	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		CASY	C	1,400	27.30	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		CASY	SS	20,000	27.11	n/a	n/a	non-brg	2.5
BUCK	015	CAT	C	1,000	46.32	19-Sep	19-Sep	0.00	0.0
KORMAN	003	CBI	S	2,000	12.28	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		CBL+XW	C	27	9.30	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		CBL	C	2,300	10.61	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		CBRL	C	1,100	22.03	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		CCI	B	14,000	21.63	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		CEC	C	4,000	30.13	n/a	n/a	non-brg	2.0
KORMAN	003	CHCG	S	5,000	1.05	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		CHIC	C	800	9.54	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		CHIC	SS	30,000	9.59	n/a	n/a	non-brg	4.0
ROSEDALE CAPITAL	046	CHK	B	40,000	21.44	n/a	n/a	2,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		CHS+KA	C	505	0.42	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT		CHS	S	50,500	4.25	8-Aug	3-Oct	non-brg	2.0
BUCK CAPITAL MGMT		CHUX	C	1,500	7.82	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		CLP	SS	20,000	14.79	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		CLX+MK	C	16	3.40	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		CLX	C	1,600	57.97	4-Aug	4-Aug	non-brg	2.0
DSM CAPITAL PARTNERS	048	CL	B	65,030	68.99	29-Jul	29-Jul	3,251.50	5.0
GRISANTI BROWN & PARTNER	048	CMCSA	S	18,150	17.50	n/a	4-Jan	907.50	5.0
BUCK CAPITAL MGMT		CMG	C	800	50.06	12-Sep	12-Sep	non-brg	2.0
BUCK CAPITAL MGMT		CMG	SS	50,000	50.61	12-Sep	12-Sep	non-brg	1.0
COUGAR TRADING	044	CMG	SS	2,000	51.61	12-Sep	12-Sep	100.00	5.0
FORD FDN.	032	COF	S	36,000	38.80	n/a	8-Oct	1,800.00	5.0
BUCK CAPITAL MGMT		COH	C	800	18.94	8-Oct	8-Oct	non-brg	2.0
BUCK CAPITAL MGMT		COLM	C	6,300	35.70	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		COST	C	2,500	56.58	n/a	27-Jul	non-brg	2.0
BUCK CAPITAL MGMT		COST	C	20,000	57.04	n/a	27-Jul	non-brg	4.0
BUCK CAPITAL MGMT		CPKI	C	3,800	11.01	8-Oct	8-Oct	non-brg	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		CPN	B	10,000	9.03	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		CPN	B	15,000	9.64	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		CSTR	C	1,400	27.69	n/a	n/a	non-brg	2.0
THE BOSTON COMPANY	401	CTRN	B	45,330	12.98	n/a	n/a	1,813.20	4.0
ß BUCK CAPITAL MGMT		CUZ	C	200	19.91	n/a	n/a	non-brg	2.0
THOMAS WEISEL ASSET MGMT	035	CVLT	B	3,320	8.93	n/a	n/a	99.60	3.0
ZOLIDIS	011	CWTR	C	2,000	4.73	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		DDR+VE	C	27	3.23	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		DDR	C	1,725	22.97	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		DECK	B	35,000	79.74	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DECK	S	9,800	77.20	n/a	n/a	non-brg	2.0
ZOLIDIS	011	DECK	S	200	74.93	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		DIA	C	1,900	93.15	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		DIN	C	1,400	12.93	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		DIS	SS	60,000	25.88	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DOU GR	SS	20,000	42.27	n/a	n/a	non-brg	8.5
ß BUCK CAPITAL MGMT		DPZ+XV	C	92	3.18	n/a	n/a	non-brg	300.0



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
ß BUCK CAPITAL MGMT		DPZ	C	9,200	10.01	n/a	24-Apr	non-brg 2.0
ß BUCK CAPITAL MGMT		DRE+XD	C	30	5.40	n/a	n/a	non-brg 300.0
ß BUCK CAPITAL MGMT		DRE	C	2,100	16.37	n/a	n/a	non-brg 2.0
ß BUCK CAPITAL MGMT		DSW+AW	C	33	0.50	n/a	n/a	non-brg 100.0
ß BUCK CAPITAL MGMT		DSW	S	33,300	11.84	7-Oct	7-Oct	non-brg 2.0
GRANITE CAPITAL	045	DTV	SS	20,000	22.89	n/a	4-Jan	1,000.00 5.0
ß BUCK CAPITAL MGMT		DV	C	3,000	44.73	n/a	n/a	non-brg 2.0
OGORMAN	046	DXD	S	200	79.44	n/a	n/a	0.00 0.0
ß BUCK CAPITAL MGMT		EAT+VC	C	31	1.50	n/a	n/a	non-brg 300.0
ß BUCK CAPITAL MGMT		EAT+VW	C	61	3.65	n/a	n/a	non-brg 300.0
ß BUCK CAPITAL MGMT		EAT	C	10,800	14.31	n/a	24-Apr	non-brg 2.0
ß BUCK CAPITAL MGMT		EBHI	B	20,000	4.41	n/a	n/a	non-brg 3.0
ß BUCK CAPITAL MGMT		EBHI	S	5,700	4.42	n/a	n/a	non-brg 2.0
ß BUCK CAPITAL MGMT		EDR	SS	20,000	8.53	n/a	n/a	non-brg 4.0
ß BUCK CAPITAL MGMT		EDU	C	1,600	55.88	n/a	n/a	non-brg 2.0
ß BUCK CAPITAL MGMT		EL+WH	C	15	2.90	n/a	n/a	non-brg 300.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		EL+WH	SS	600	2.60	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		EL+WI	C	65	5.60	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		EL	C	8,000	41.08	15-Aug	4-Sep	non-brg	2.0
BUCK CAPITAL MGMT		EL	SS	45,000	41.76	15-Aug	4-Sep	non-brg	4.0
HIGHBRIDGE CAPITAL	038	EMN	B	5,000	46.30	n/a	n/a	250.00	5.0
MERRILL ASSET	032	ES	B	72,000	9.15	n/a	n/a	3,240.00	4.5
BUCK CAPITAL MGMT		ETH	C	5,300	23.49	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		F+XI	C	55	3.90	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		FBN	C	7,800	9.60	n/a	n/a	non-brg	2.0
NOLAN	067	FCX	B	60	41.91	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		FDO+VD	C	94	0.30	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT		FDO+VW	C	94	0.20	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT		FDO+VX	C	16	0.80	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT		FDO+WX	C	65	1.95	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		FDO	C	17,200	24.54	23-Jul	6-Oct	non-brg	2.0
MERRILL ASSET	032	FHN	S	79,400	8.73	n/a	n/a	3,176.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		FL+JW	C	32	0.10	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		FL+KC	C	62	1.17	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		FL+KW	C	93	0.39	n/a	n/a	non-brg	100.0
KORMAN	003	FLR	S	1,000	39.61	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	FL	S	20,000	13.97	7-Oct	7-Oct	800.00	4.0
ß BUCK CAPITAL MGMT		FL	S	170,000	13.80	7-Oct	7-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		FL	S	9,500	13.88	7-Oct	7-Oct	non-brg	2.0
ß BUCK CAPITAL MGMT		FMQ+VF	C	32	1.33	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		FMQ+WA	C	47	3.05	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		FMQ+WB	C	31	1.55	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		FMQ+WE	C	113	8.95	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		FMQ+WF	C	62	2.48	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		FMQ+WL	C	31	3.60	n/a	n/a	non-brg	300.0
CSFB GLOBAL PROPRIETARY	041	FOR	B	10,000	11.55	n/a	3-Oct	500.00	5.0
ß BUCK CAPITAL MGMT		FOSL	S	37,300	23.37	n/a	1-Oct	non-brg	2.0
THE BOSTON COMPANY	401	FRED	SS	61,170	10.89	n/a	27-Mar	2,446.80	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		FRT	C	1,300	67.50	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		FUA+KF	C	16	0.50	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		FUA+LG	C	157	0.33	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		FUA+LH	C	95	0.18	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		FUA+LI	C	92	0.12	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		F	C	8,700	2.85	8-Oct	8-Oct	non-brg	2.0
ß BUCK CAPITAL MGMT		GCO+JG	C	32	0.25	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		GCO+LH	C	63	0.40	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT	001	GCO	B	20,000	26.66	n/a	10-Jan	800.00	4.0
ß BUCK CAPITAL MGMT		GCO	S	19,200	25.50	n/a	10-Jan	non-brg	2.0
ß BUCK CAPITAL MGMT		GEO IM	C	3,000	7.72	n/a	n/a	non-brg	1.5
ß BUCK CAPITAL MGMT		GES+JG	C	16	0.35	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		GES+LI	C	31	0.42	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		GES+LJ	C	32	0.15	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		GES+LK	C	32	0.10	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT	001	GES	B	20,000	29.36	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		GES	S	11,840	28.57	n/a	n/a	non-brg	2.0
LITESPEED	028	GE	S	75,000	20.29	n/a	n/a	2,250.00	3.0
ß BUCK CAPITAL MGMT		GGP+VD	C	24	16.00	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		GGP	C	1,100	4.24	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		GIGM	S	6,400	6.43	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		GIII	S	13,171	15.11	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		GIII	S	13,900	15.09	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		GIL+KE	C	32	0.75	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		GIL	S	66,200	20.63	8-Sep	8-Oct	non-brg	2.0
SINCLAIR	031	GLDAB	S	10	14.00	n/a	n/a	0.00	0.0
M WEINTRAU	024	GLW	B	300	11.97	n/a	23-Sep	0.00	0.0
J ROSEALEX	034	GLW	B	100	12.30	n/a	23-Sep	0.00	0.0
J ROSEIND	034	GLW	B	100	12.30	n/a	23-Sep	0.00	0.0
J ROSEVIC	034	GLW	B	100	12.30	n/a	23-Sep	0.00	0.0
ß BUCK CAPITAL MGMT		GMCR	C	1,900	33.02	n/a	n/a	non-brg	2.0
STRAUSS ASSET MGMT	040	GMCR	S	7,500	32.96	n/a	n/a	300.00	4.0
ß BUCK CAPITAL MGMT		GPI	C	600	16.30	10-Jun	30-Jul	non-brg	2.0
ß BUCK CAPITAL MGMT		GPS+WC	C	29	1.50	n/a	n/a	non-brg	300.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
BUCK CAPITAL MGMT		GPS+WW	C	33	3.00	n/a	n/a	non-brg 300.0
BUCK CAPITAL MGMT		GPS+XW	C	154	3.15	n/a	n/a	non-brg 300.0
BUCK CAPITAL MGMT		GPS	C	21,600	15.64	n/a	3-Oct	non-brg 2.0
COUGAR TRADING	044	GPS	B	5,000	15.57	n/a	3-Oct	250.00 5.0
BUCK CAPITAL MGMT		GQR+VF	C	32	5.21	n/a	n/a	non-brg 300.0
BUCK CAPITAL MGMT		GQR+WE	C	25	3.90	n/a	n/a	non-brg 300.0
BUCK CAPITAL MGMT		GQU+KI	C	78	0.20	n/a	n/a	non-brg 100.0
BUCK CAPITAL MGMT		GQU+KK	C	107	0.13	n/a	n/a	non-brg 100.0
BUCK CAPITAL MGMT		GRMN	C	5,700	25.87	n/a	n/a	non-brg 2.0
BUCK CAPITAL MGMT		GRT	C	1,500	5.59	n/a	n/a	non-brg 2.0
BUCK CAPITAL MGMT		GS	B	18,000	114.46	15-Sep	24-Sep	non-brg 4.0
BUCK CAPITAL MGMT		GVK+LT	C	9	0.20	n/a	n/a	non-brg 100.0
BUCK CAPITAL MGMT		GYMB	S	12,900	29.17	11-Jul	3-Oct	non-brg 2.0
BUCK CAPITAL MGMT		HAS+VG	C	63	3.30	n/a	n/a	non-brg 300.0
BUCK CAPITAL MGMT		HAS+VZ	C	47	1.95	n/a	n/a	non-brg 300.0
BUCK CAPITAL MGMT		HAS	C	7,600	32.43	n/a	n/a	non-brg 2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAXTON PART	040	HAS	C	10,000	31.13	n/a	n/a	350.00	3.5
JP MORGAN VENTURES	046	HAS	C	15,000	33.30	n/a	n/a	750.00	5.0
ß BUCK CAPITAL MGMT		HELE	SS	7,880	18.03	n/a	n/a	non-brg	1.0
MISSOURI VALLEY PART	046	HIG	B	6,910	26.96	n/a	n/a	345.50	5.0
ß BUCK CAPITAL MGMT		HIW	SS	20,000	27.01	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		HOT+WD	C	16	2.20	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		HOT+WX	C	81	3.60	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		HOTT	S	20,000	5.07	n/a	3-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		HOT	C	12,900	21.90	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		HOT	C	30,000	22.68	n/a	n/a	non-brg	4.0
GRISANTI BROWN & PARTNER	048	HPQ	S	10,900	41.59	n/a	n/a	545.00	5.0
TROUBH PART	067	HPQ	S	10,000	41.21	n/a	n/a	500.00	5.0
ß BUCK CAPITAL MGMT		HUO+VX	C	12	2.60	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		HVT	C	3,800	10.67	n/a	n/a	non-brg	2.0
KORMAN	003	HXL	S	10,000	9.00	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		ICON	B	20,000	10.66	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		ICON	S	44,100	10.17	n/a	n/a	non-brg	2.0
KORMAN	003	ICON	S	10,000	10.50	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PAULSON & CO INC	041	IMCL	B	100,000	66.78	n/a	n/a	3,000.00	3.0
BMO NESBITT BURNS	041	IP	B	25,000	21.42	22-Sep	22-Sep	1,250.00	5.0
MCCARTAN	028	IP	C	200	21.78	22-Sep	22-Sep	0.00	0.0
OGORMAN	046	IP	C	400	21.85	22-Sep	22-Sep	0.00	0.0
ß BUCK CAPITAL MGMT		IVZ	B	50,000	17.28	6-Oct	8-Oct	non-brg	4.0
OGORMAN	046	IVZ	B	500	17.55	6-Oct	8-Oct	0.00	0.0
ß BUCK CAPITAL MGMT		IWM	C	2,700	55.08	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		IYR	C	600	47.74	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		JCG+WE	C	8	3.90	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		JCG+WX	C	16	2.45	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	JCG	B	50,000	23.60	n/a	17-Sep	2,000.00	4.0
ß BUCK CAPITAL MGMT		JCG	C	5,600	25.00	n/a	17-Sep	non-brg	2.0
ß BUCK CAPITAL MGMT		JCP+VY	C	32	2.45	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		JCP+WD	C	94	7.28	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		JCP+WY	C	16	4.00	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		JCP	C	8,700	26.98	n/a	3-Oct	non-brg	2.0
ß BUCK CAPITAL MGMT		JCP	SS	50,000	28.22	n/a	3-Oct	non-brg	4.0
THE JAY GOLDMAN	034	JCP	S	57,300	27.67	n/a	3-Oct	2,292.00	4.0



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		JNY+WC	C	59	2.42	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		JNY+WW	C	79	4.18	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		JNY	C	17,900	14.48	n/a	8-Oct	non-brg	2.0
ß BUCK CAPITAL MGMT		JOSB	S	20,000	31.69	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		JOSB	S	9,900	31.50	n/a	n/a	non-brg	2.0
NOMURA CAPITAL	045	JPM	B	10,000	41.77	26-Sep	26-Sep	500.00	5.0
ß BUCK CAPITAL MGMT		JWN+VX	C	16	2.05	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		JWN+WE	C	24	5.10	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	JWN	SS	60,000	21.44	8-Oct	8-Oct	2,400.00	4.0
ß BUCK CAPITAL MGMT		JWN	C	5,600	21.87	8-Oct	8-Oct	non-brg	2.0
ß BUCK CAPITAL MGMT		JWN	C	60,000	22.02	8-Oct	8-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		KEG	B	10,000	6.27	n/a	2-Oct	non-brg	1.0
ß BUCK CAPITAL MGMT		KEG	B	100,000	6.37	n/a	2-Oct	non-brg	2.5
ß BUCK CAPITAL MGMT		KIM+VF	C	18	3.90	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		KIM	C	1,100	27.69	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		KMT	C	30,000	21.74	18-Sep	18-Sep	non-brg	4.0
BUCK CAPITAL MGMT	001	KSS	S	20,000	38.70	n/a	3-Oct	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THE JAY GOLDMAN	034	KSS	B	10,000	39.34	n/a	3-Oct	400.00	4.0
BUCK	015	KSS	C	800	38.16	n/a	3-Oct	0.00	0.0
ß BUCK CAPITAL MGMT		KSWs	C	3,500	14.71	n/a	13-Mar	non-brg	2.0
ß BUCK CAPITAL MGMT		KTQ+XN	C	32	10.50	n/a	n/a	non-brg	300.0
NOKO	031	LACO	B	5,000	5.05	n/a	n/a	150.00	3.0
ß BUCK CAPITAL MGMT		LEG+XC	C	124	0.92	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		LEG+XD	C	63	3.20	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		LEG+XV	C	31	0.41	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		LEG+XW	C	95	1.93	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	LEG	SS	30,000	18.59	n/a	n/a	1,200.00	4.0
ß BUCK CAPITAL MGMT		LEG	C	25,800	18.60	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		LEG	SS	20,000	19.20	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		LIZ+JW	C	32	0.15	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		LIZ+KC	C	32	0.95	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		LIZ+KC	SS	2,000	0.85	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		LIZ	S	50,000	13.21	n/a	8-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		LIZ	S	8,300	13.50	n/a	8-Oct	non-brg	2.0
ß BUCK CAPITAL MGMT		LL	S	10,800	10.13	n/a	n/a	non-brg	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GRANITE CAPITAL	045	LM DIA	B	10,000	19.59	n/a	n/a	500.00	5.0
⌘ BUCK CAPITAL MGMT		LOW	C	1,800	19.91	n/a	27-Jul	non-brg	2.0
BMO NESBITT BURNS	041	LPX	B	50,000	6.48	n/a	11-Sep	2,500.00	5.0
⌘ BUCK CAPITAL MGMT		LPX	B	100,000	6.34	n/a	11-Sep	non-brg	1.0
⌘ BUCK CAPITAL MGMT		LPX	B	50,000	6.38	n/a	11-Sep	non-brg	4.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	235,000	6.44	n/a	11-Sep	11,750.00	5.0
⌘ BUCK CAPITAL MGMT		LRY	SS	20,000	28.81	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		LTD+WW	C	62	3.70	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		LTM	C	400	23.96	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		M+KD	C	123	0.32	n/a	n/a	non-brg	100.0
⌘ BUCK CAPITAL MGMT		M+KE	C	31	0.10	n/a	n/a	non-brg	100.0
⌘ BUCK CAPITAL MGMT		M+KF	C	27	0.15	n/a	n/a	non-brg	100.0
⌘ BUCK CAPITAL MGMT		MAC	C	200	40.50	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		MAR	C	3,500	19.38	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		MAR	C	50,000	19.84	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		MAS+MC	C	63	2.20	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		MAS	C	6,300	15.56	n/a	n/a	non-brg	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		MBFG IM	S	3,351	18.31	n/a	n/a	non-brg	3.7
ß BUCK CAPITAL MGMT		MC FP	SS	80,000	73.22	n/a	n/a	non-brg	14.6
BUCK	015	MCD	B	700	54.60	9-Sep	25-Sep	0.00	0.0
ß BUCK CAPITAL MGMT		MDTL	C	700	1.14	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		MER	B	5,000	16.83	24-Jun	19-Sep	non-brg	1.0
ß BUCK CAPITAL MGMT		MER	B	60,000	16.80	24-Jun	19-Sep	non-brg	4.0
MISSOURI VALLEY PART	046	MET	B	11,680	32.53	n/a	n/a	584.00	5.0
Õ Michael Marrano		MET	S	200	30.98	n/a	n/a	0.00	0.0
Õ Ted Wheeler		MET	B	1000	5.50	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		MFB	S	4,100	10.68	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		MHK	C	1,600	53.95	n/a	n/a	non-brg	2.0
FRONTPOINT CHRIS C	041	MIDD	SS	5,100	44.95	11-Aug	11-Aug	204.00	4.0
ß BUCK CAPITAL MGMT		MIR	B	15,000	13.84	n/a	n/a	non-brg	4.0
CAXTON PART	040	MO	S	129,992	18.45	n/a	n/a	4,549.73	3.5
EPOCH INV MGMT	030	MSFT	B	30,000	22.85	n/a	3-Apr	1,200.00	4.0
WHALE ROCK CAP	030	MSFT	B	165,000	24.08	n/a	3-Apr	6,600.00	4.0
ß BUCK CAPITAL MGMT		MS	B	52,000	18.70	15-Sep	22-Sep	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KORMAN	003	MTRX	S	6,000	11.14	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		MW+WD	C	64	3.76	n/a	n/a	non-brg	300.0
⚡ BUCK CAPITAL MGMT		MWA	C	1,600	6.80	8-Aug	11-Aug	non-brg	2.0
LEDDY	035	MWO	B	1,000	8.55	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		MW	C	8,400	18.14	n/a	n/a	non-brg	2.0
BRIGHTPOINT CAP	067	MYL	S	383,000	8.15	30-May	7-Oct	11,490.00	3.0
BUCK CAPITAL MGMT	001	M	S	60,000	13.31	12-Aug	3-Oct	2,400.00	4.0
⚡ BUCK CAPITAL MGMT		M	S	2,700	13.37	12-Aug	3-Oct	non-brg	2.0
COUGAR TRADING	044	M	B	5,000	13.92	12-Aug	3-Oct	250.00	5.0
JP MORGAN VENTURES	046	M	C	10,000	13.67	12-Aug	3-Oct	500.00	5.0
NOMURA CAPITAL	045	NCS	B	5,000	23.67	n/a	n/a	250.00	5.0
⚡ BUCK CAPITAL MGMT		NEXC	S	21,050	0.22	n/a	n/a	non-brg	2.0
J ROSEALEX	034	NKE	B	100	56.27	n/a	n/a	0.00	0.0
J ROSEVIC	034	NKE	B	100	56.31	n/a	n/a	0.00	0.0
J ROSEIND	034	NKE	B	100	56.33	n/a	n/a	0.00	0.0
GRISANTTI BROWN & PARTNER	048	NLY	S	12,200	13.93	n/a	n/a	610.00	5.0
⚡ BUCK CAPITAL MGMT		NRG	B	3,000	18.53	n/a	n/a	non-brg	1.0
NOMURA CAPITAL	045	NRG	B	10,000	17.57	n/a	n/a	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	NWY	B	20,000	7.88	n/a	17-Sep	800.00	4.0
BUCK CAPITAL MGMT		NWY	C	11,000	7.77	n/a	17-Sep	non-brg	2.0
PERRY PARTNERS	041	NYB	B	100,000	15.00	n/a	n/a	5,000.00	5.0
BUCK	015	NYF	S	1,000	98.92	n/a	n/a	0.00	0.0
WHALE ROCK CAP	030	ORCL	B	175,000	17.13	n/a	n/a	7,000.00	4.0
BUCK CAPITAL MGMT		O	SS	20,000	21.88	n/a	n/a	non-brg	4.0
PRINCIPLE CAPITAL	040	PCLN	B	28,800	62.27	n/a	n/a	1,152.00	4.0
BUCK CAPITAL MGMT		PEI+VW	C	18	7.04	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		PEI	C	1,100	11.11	n/a	n/a	non-brg	2.0
DSM CAPITAL PARTNERS	048	PEP	B	28,100	64.69	n/a	n/a	1,405.00	5.0
BUCK CAPITAL MGMT		PETM	C	9,700	21.13	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		PETM	SS	20,000	21.04	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		PFCB	C	1,200	21.01	n/a	6-Aug	non-brg	2.0
CENTURION GLOBAL MGMT LL	041	PG	S	11,300	65.30	18-Aug	25-Sep	339.00	3.0
DSM CAPITAL PARTNERS	048	PG	B	82,220	67.62	18-Aug	25-Sep	4,111.00	5.0
BUCK CAPITAL MGMT		PKY	C	400	28.74	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		PLCE	B	10,000	31.57	21-Aug	8-Oct	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
BUCK CAPITAL MGMT		PLCE	S	7,500	31.51	21-Aug	8-Oct	non-brg 2.0
BUCK CAPITAL MGMT		PLD	SS	20,000	27.38	n/a	n/a	non-brg 4.0
FRONTPOINT CHRIS C	041	PLD	B	8,600	27.22	n/a	n/a	344.00 4.0
BUCK CAPITAL MGMT		PLQ+WW	C	16	1.40	n/a	n/a	non-brg 300.0
BUCK CAPITAL MGMT		PLQ+XD	C	16	3.40	n/a	n/a	non-brg 300.0
BUCK CAPITAL MGMT		PLQ+XW	C	16	2.05	n/a	n/a	non-brg 300.0
BUCK CAPITAL MGMT		POOL	SS	25,000	19.05	n/a	n/a	non-brg 3.0
HIGHBRIDGE CAPITAL	038	PPG	B	24,000	51.63	n/a	25-Sep	1,200.00 5.0
BUCK CAPITAL MGMT		PRQ+VL	C	12	4.60	n/a	n/a	non-brg 300.0
BUCK CAPITAL MGMT		PRQ+WJ	C	16	2.40	n/a	n/a	non-brg 300.0
BUCK CAPITAL MGMT		PSB	SS	20,000	47.87	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		PSS+KD	C	48	0.60	n/a	n/a	non-brg 100.0
BUCK CAPITAL MGMT		PSS+KW	SS	1,000	1.00	n/a	n/a	non-brg 300.0
BUCK CAPITAL MGMT		PSS+LX	C	32	0.60	n/a	n/a	non-brg 100.0
BUCK CAPITAL MGMT		PSS	B	100,000	15.45	n/a	n/a	non-brg 2.0
BUCK CAPITAL MGMT		PSS	S	6,100	15.67	n/a	n/a	non-brg 2.0
BUCK CAPITAL MGMT		PVH+LK	C	93	0.23	n/a	n/a	non-brg 100.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
BUCK CAPITAL MGMT		PVH+LL	C	95	0.18	n/a	n/a	non-brg 100.0
BUCK CAPITAL MGMT		PVH	S	12,500	32.09	8-Oct	8-Oct	non-brg 2.0
COUGAR TRADING	044	PVH	S	5,000	31.77	8-Oct	8-Oct	250.00 5.0
BUCK CAPITAL MGMT		PZZA	C	5,400	23.57	n/a	24-Apr	non-brg 2.0
CAXTON PART	040	QCOM	B	48,478	42.14	n/a	n/a	1,696.73 3.5
CUMBERLAND	038	QLGC	B	32,851	13.64	n/a	n/a	1,314.04 4.0
BUCK CAPITAL MGMT		QPT+VD	C	61	0.77	n/a	n/a	non-brg 100.0
BUCK CAPITAL MGMT		QUK+JF	C	6	0.30	n/a	n/a	non-brg 100.0
BUCK CAPITAL MGMT		QUK+JP	SS	300	2.70	n/a	n/a	non-brg 300.0
BUCK CAPITAL MGMT		QUK+JT	C	4	0.80	n/a	n/a	non-brg 100.0
BUCK CAPITAL MGMT		QUK+KQ	SS	100	8.50	n/a	n/a	non-brg 300.0
BUCK CAPITAL MGMT		QUK+LH	S	28	0.75	n/a	n/a	non-brg 100.0
BUCK CAPITAL MGMT		QUK+LY	C	38	0.75	n/a	n/a	non-brg 100.0
BUCK CAPITAL MGMT		QUK+LZ	C	6	0.60	n/a	n/a	non-brg 100.0
BUCK CAPITAL MGMT		QUK+VS	C	8	18.40	n/a	n/a	non-brg 300.0
BUCK CAPITAL MGMT		QUK+WN	SS	300	7.30	n/a	n/a	non-brg 300.0



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		QUY+WV	C	60	1.22	n/a	n/a	non-brg 300.0	
ß BUCK CAPITAL MGMT		QXF+LV	C	32	2.20	n/a	n/a	non-brg 100.0	
ß BUCK CAPITAL MGMT		QZS+AF	C	62	4.95	n/a	n/a	non-brg 300.0	
ß BUCK CAPITAL MGMT		QZS+AH	C	193	1.65	n/a	n/a	non-brg 300.0	
ß BUCK CAPITAL MGMT		QZS+AI	C	32	1.05	n/a	n/a	non-brg 300.0	
ß BUCK CAPITAL MGMT		QZS+JG	C	15	0.95	n/a	n/a	non-brg 100.0	
ß BUCK CAPITAL MGMT		QZS+JH	C	24	0.20	n/a	n/a	non-brg 100.0	
ß BUCK CAPITAL MGMT		QZS+MW	C	158	1.40	n/a	n/a	non-brg 300.0	
ß BUCK CAPITAL MGMT		QZS+VX	C	49	0.50	n/a	n/a	non-brg 100.0	
ß BUCK CAPITAL MGMT		QZS+WD	C	32	0.75	n/a	n/a	non-brg 100.0	
ß BUCK CAPITAL MGMT		QZS+WX	C	49	1.25	n/a	n/a	non-brg 300.0	
PRINCIPLE CAPITAL	040	RCL	SS	10,800	16.17	23-Jul	23-Jul	324.00	3.0
ß BUCK CAPITAL MGMT		REQ+WZ	C	19	3.47	n/a	n/a	non-brg 300.0	
NEUBERGER BERMAN	036	RGAA	S	37,750	44.14	n/a	n/a	1,698.75	4.5
ß BUCK CAPITAL MGMT		RIG	B	1,000	79.01	n/a	n/a	non-brg 4.0	

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		RIG	B	2,000	79.69	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		RL+MK	C	9	9.60	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		RL+ML	C	32	12.47	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	RL	SS	10,000	50.37	n/a	8-Oct	400.00	4.0
ß BUCK CAPITAL MGMT		RL	C	3,200	52.08	n/a	8-Oct	non-brg	2.0
LEVIN CAPITAL STRATEGIES	012	RL	S	25,000	52.96	n/a	8-Oct	1,000.00	4.0
ß BUCK CAPITAL MGMT		RMS FP	C	1,000	139.05	n/a	n/a	non-brg	27.8
ß BUCK CAPITAL MGMT		ROST	C	1,700	30.87	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		RRGB	C	500	20.92	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		RSH+MC	C	126	2.43	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		RSH	C	100,000	15.95	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		RSH	C	14,900	15.63	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		RTH	C	3,100	77.96	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		RTH	C	320,000	79.44	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		RVI	S	17,200	2.86	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		SBAC	B	14,000	15.80	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SBAC	B	3,000	15.40	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		SBUX	C	800	12.28	n/a	24-Apr	non-brg	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MCCARTAN	028	SDS	B	100	93.16	n/a	n/a	0.00	0.0
LUCHANSKY1	036	SDS	B	100	97.34	n/a	n/a	0.00	0.0
LUCHANSKY1	036	SDS	S	100	93.12	n/a	n/a	0.00	0.0
OGORMAN	046	SDS	S	300	93.13	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SHLD	C	1,600	77.02	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		SKS+WB	C	84	4.09	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		SKS+WU	C	13	1.72	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		SKS	C	8,000	6.49	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		SKX+AD	C	16	0.50	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		SKX+AE	C	95	0.28	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		SKX+JD	C	95	0.09	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		SKX+JX	C	63	0.08	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		SKX+KC	C	16	0.80	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		SKX+KC	SS	1,000	0.75	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		SKX+KW	C	113	0.22	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT	001	SKX	B	100,000	13.18	n/a	13-Mar	4,000.00	4.0
ß BUCK CAPITAL MGMT		SKX	S	41,100	12.85	n/a	13-Mar	non-brg	2.0
FRONTPOINT CHRIS C	041	SNI	B	5,000	32.72	n/a	n/a	200.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		SONC	C	1,600	12.98	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		SPLS	C	4,500	18.50	n/a	27-Jul	non-brg	2.0
BUCK CAPITAL MGMT		SPY	C	1,500	98.48	n/a	n/a	non-brg	2.0
LUCHANSKY1	036	SPY	B	100	101.21	n/a	n/a	0.00	0.0
KNOTT PARTNERS	044	SSI	B	35,000	10.62	n/a	3-Oct	1,050.00	3.0
BUCK CAPITAL MGMT		SSS	SS	20,000	34.59	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		SUI	SS	20,000	15.10	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		SUMRW	S	4,900	0.20	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		SUMR	S	54,700	3.92	n/a	n/a	non-brg	2.0
SINCLAIR	031	SWGKA	B	20	3.98	n/a	n/a	0.00	0.0
SINCLAIR	031	SWNLF	B	18	2.80	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		SWSI	C	10,000	17.78	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT		SWU+VC	C	21	1.10	n/a	n/a	non-brg	300.0
RAIL	031	SYNT	SS	30,000	20.67	n/a	n/a	1,500.00	5.0
BUCK CAPITAL MGMT		SYW+WF	C	16	3.57	n/a	n/a	non-brg	300.0
LEDDY	035	SZK	S	125	93.75	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		TCO	C	1,100	35.80	n/a	n/a	non-brg	2.0
MS PRINCIPAL STRATEGIES	041	TEO	B	64,200	11.45	n/a	n/a	3,210.00	5.0
BUCK CAPITAL MGMT		TGT+VA	C	31	4.55	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		TGT+VG	C	62	1.04	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		TGT+VH	C	62	2.71	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		TGT	C	7,800	40.14	n/a	8-Oct	non-brg	2.0
GRISANTTI BROWN & PARTNER	048	TGT	S	10,400	42.07	n/a	8-Oct	520.00	5.0
BUCK CAPITAL MGMT		THI	C	14,800	25.89	n/a	24-Apr	non-brg	2.0
BUCK CAPITAL MGMT		TIF+WF	C	31	4.08	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		TIF+WG	C	32	7.38	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		TIF	C	6,300	28.70	n/a	17-Sep	non-brg	2.0
BUCK CAPITAL MGMT		TJX+KF	C	65	1.50	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		TJX+KG	C	16	0.50	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT	001	TJX	S	50,000	28.67	11-Aug	3-Oct	2,000.00	4.0
BUCK CAPITAL MGMT		TJX	S	6,000	28.40	11-Aug	3-Oct	non-brg	2.0
BUCK CAPITAL MGMT		TLB+KW	C	63	0.35	n/a	n/a	non-brg	100.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHALE ROCK CAP	030	TLEO	S	38,427	13.07	n/a	n/a	1,537.08	4.0
ß BUCK CAPITAL MGMT		TPX+LC	C	31	0.28	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		TPX+LV	C	104	0.68	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		TPX+VB	C	16	1.77	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		TQQ+VF	C	31	1.05	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		TRLG	B	20,000	20.46	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		TRLG	S	7,500	20.80	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		TSCO LN	SS	100,000	6.54	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		TSCO	C	2,242	38.33	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		TSCO	SS	50,000	38.02	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		TUY+LI	C	63	0.85	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		TUY+LJ	C	55	0.45	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		TWB+KB	C	64	0.55	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		TWB	S	11,000	8.19	n/a	1-Oct	non-brg	2.0
ß BUCK CAPITAL MGMT		TWM	S	2,000	109.91	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		TWTC	B	14,000	7.66	n/a	4-Jan	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		TWTC	B	6,000	7.75	n/a	4-Jan	non-brg	1.0
ß BUCK CAPITAL MGMT		UCJ+JU	C	70	0.13	n/a	n/a	non-brg	100.0
BEAR STEARNS ASSET MGMT.	033	URBN	B	30,000	24.55	14-Aug	1-Oct	1,200.00	4.0
ß BUCK CAPITAL MGMT		URBN	B	30,000	24.25	14-Aug	1-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		URBN	S	33,800	24.34	14-Aug	1-Oct	non-brg	2.0
ß BUCK CAPITAL MGMT		URQ+LH	C	184	0.37	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		URQ+LI	C	313	0.10	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		URY+LC	C	73	0.20	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		USTR	C	300	39.50	n/a	27-Jul	non-brg	2.0
ZOLIDIS	011	UYG	S	2,000	11.12	n/a	n/a	0.00	0.0
MCCARTAN	028	UYG	B	100	12.03	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		VFC+KO	S	31	1.30	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		VFC+KP	C	31	0.95	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		VFC	C	1,100	65.16	n/a	n/a	non-brg	2.0
EATON VANCE MGMT	039	VLO	S	128,039	22.01	n/a	n/a	3,841.17	3.0
ß BUCK CAPITAL MGMT		VOW GR	C	1,127	396.91	n/a	n/a	non-brg	79.4
MAIRS AND POWER INV	030	WFC	S	20,000	32.90	n/a	n/a	1,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WASHINGTON ASSET	048	WFC	B	20,000	30.96	n/a	n/a	1,000.00	5.0
WASHINGTON ASSET	048	WFC	S	20,000	32.90	n/a	n/a	1,000.00	5.0
⚡ BUCK CAPITAL MGMT		WFMI	C	27,600	17.10	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		WMT+JA	C	7	0.18	n/a	n/a	non-brg	100.0
⚡ BUCK CAPITAL MGMT		WMT+JK	SS	1,000	1.91	n/a	n/a	non-brg	300.0
⚡ BUCK CAPITAL MGMT		WMT+LA	C	63	1.42	n/a	n/a	non-brg	300.0
⚡ BUCK CAPITAL MGMT		WMT+LL	S	31	2.00	n/a	n/a	non-brg	300.0
⚡ BUCK CAPITAL MGMT		WMT+LM	C	31	0.93	n/a	n/a	non-brg	100.0
⚡ BUCK CAPITAL MGMT		WMT	B	100,000	55.66	8-Aug	8-Oct	non-brg	4.0
⚡ BUCK CAPITAL MGMT		WMT	S	6,000	54.72	8-Aug	8-Oct	non-brg	2.0
SLS CAPITAL LLC	224	WMT	B	127,100	56.14	8-Aug	8-Oct	5,084.00	4.0
TROUBH PART	067	WMT	S	25,000	56.50	8-Aug	8-Oct	1,250.00	5.0
⚡ BUCK CAPITAL MGMT		WRC+AL	C	31	0.60	n/a	n/a	non-brg	100.0
⚡ BUCK CAPITAL MGMT		WRC+AM	C	63	0.47	n/a	n/a	non-brg	100.0
⚡ BUCK CAPITAL MGMT		WRC+JK	C	19	0.15	n/a	n/a	non-brg	100.0
⚡ BUCK CAPITAL MGMT		WRC+JL	C	92	0.12	n/a	n/a	non-brg	100.0
⚡ BUCK CAPITAL MGMT		WRC+JM	C	61	0.07	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT	001	WRC	B	10,000	33.68	8-Oct	8-Oct	400.00	4.0



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		WRC	S	22,300	33.91	8-Oct	8-Oct	non-brg	2.0
⌘ BUCK CAPITAL MGMT		WRI	C	2,200	26.93	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		WSM+WC	C	98	2.29	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		WSM+WD	C	139	6.07	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		WSM	C	23,700	14.37	n/a	n/a	non-brg	2.0
SIGMA CAPITAL ASSOCIATES	237	WSM	B	20,000	14.51	n/a	n/a	1,000.00	5.0
ROXBURY CAPITAL MGMT	033	WU	B	2,600	18.97	n/a	n/a	104.00	4.0
ROBX	033	WU	B	102,900	18.97	n/a	n/a	4,116.00	4.0
⌘ BUCK CAPITAL MGMT		WWW+XX	C	32	1.40	n/a	n/a	non-brg	300.0
BMO NESBITT BURNS	041	WY	B	25,000	50.68	n/a	11-Sep	1,250.00	5.0
MCCARTAN	028	WY	C	100	51.52	n/a	11-Sep	0.00	0.0
KAICHER	064	XCO	S	500	8.46	n/a	n/a	0.00	0.0
MISSOURI VALLEY PART	046	XL	S	27,555	9.32	n/a	n/a	1,377.75	5.0
⌘ BUCK CAPITAL MGMT		XRT	C	1,000,000	26.52	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		XRT	C	12,700	25.97	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		XRT	C	162,000	25.81	n/a	n/a	non-brg	1.0
S CAST	016	X	S	13	54.99	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		YSI	SS	20,000	8.95	n/a	n/a	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		YUM	C	1,300	27.74	14-Aug	8-Oct	non-brg	2.0
ß BUCK CAPITAL MGMT		YUM	C	163,700	28.93	14-Aug	8-Oct	non-brg	4.0
BUCK	015	YUM	S	1,300	28.92	14-Aug	8-Oct	0.00	0.0
ß BUCK CAPITAL MGMT		ZJQ+JF	C	89	0.15	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		ZJQ+JG	C	62	0.05	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		ZLC+WC	C	37	0.68	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		ZLC+WD	C	16	2.03	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		ZLC+WW	C	53	1.27	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	ZLC	B	50,000	23.81	n/a	n/a	2,000.00	4.0
ß BUCK CAPITAL MGMT		ZLC	C	9,000	23.95	n/a	n/a	non-brg	2.0
KORMAN	003	ZOLT	S	10,190	11.27	n/a	n/a	0.00	0.0
COUGAR TRADING	044	ZUMZ	B	5,000	13.81	n/a	n/a	250.00	5.0
ß BUCK CAPITAL MGMT		ZZQ+MX	C	32	2.39	n/a	n/a	non-brg	300.0
<b>TOTAL (Trade Date) :</b>							<b>194,155.64</b>		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/07	SANDLER O'NEILL ASSET	031	C	S	34,500	17.55	15-Sep	3-Oct	1725.00 5.0
AO,CRT	10/07	SANDLER O'NEILL ASSET	031	C	S	34,500	17.55	15-Sep	3-Oct	1725.00 5.0
AO,CXL	10/07	SANDELL ADV	040	ITW	B	67,100	38.18	12-Aug	12-Aug	4026.00 6.0
AO,CRT	10/07	SANDLER CAPITAL	038	ITW	B	67,100	38.18	12-Aug	12-Aug	4026.00 6.0
AO,CRT	10/07	COUGAR TRADING	044	JCG	B	5,000	25.56	n/a	17-Sep	250.00 5.0
AO,CXL	10/07	COUGAR TRADING	044	JCG	B	5,000	25.56	n/a	17-Sep	250.00 5.0
AO,	10/07	HIGHFIELDS CAP MGMT	039	KFT	S	200,000	31.57	n/a	n/a	8000.00 4.0
AO,CRT	10/06	DISCIPLINED GROWTH INV.	030	RCL	B	15,675	16.55	23-Jul	23-Jul	783.75 5.0
AO,CXL	10/06	DISCIPLINED GROWTH INV.	030	RCL	B	15,675	16.55	23-Jul	23-Jul	783.75 5.0
AO,CRT	10/07	KNOTT PARTNERS	044	SSI	B	45,000	10.65	n/a	3-Oct	1350.00 3.0
AO,CXL	10/07	KNOTT PARTNERS	044	SSI	B	45,000	10.65	n/a	3-Oct	1800.00 4.0
AO,	10/07	COLUMBUS CIRCLE	036	STT	B	2,900	45.39	n/a	n/a	116.00 4.0
AO,CRT	10/07	MORTAR ROCK	033	SUP	SS	15,000	16.67	25-Jul	8-Aug	600.00 4.0
AO,CXL	10/07	MORTAR ROCK	033	SUP	SS	15,000	16.67	25-Jul	8-Aug	750.00 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>7,516.00</b>

TOTAL (Trade Date) :

194,155.64

TOTAL (AO, CXL, CRT):

7,516.00

---

TOTAL (RUN DATE) / NFS:

201,671.64

---

MRI Securities with Trade Activity on 8-Oct.

COH, CPKI, F, JWN, PVH, WRC

MRI Securities without Trade Activity on 8-Oct.

ZQK

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

T-Date = 11%

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**