



Daily Compliance Activity Report

Trade Date: 02/05/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	033	AAPL	B	90	458.30	n/a	n/a	90.00	0.0
SCOPUS FUND	041	ABG	B	1,400	36.50	n/a	10-Jan	56.00	4.0
WOODWAY FINANCIAL	031	ABX	S	74,555	32.41	n/a	n/a	4,473.30	6.0
MILLENNIUM PARTNERS ICSUS	041	ACI	SS	160,000	6.36	n/a	n/a	6,400.00	0.0
⚡ BUCK CAPITAL MGMT		AEO	B	30,000	20.44	n/a	2-Dec	non-brg	4.0
f HARALAMBOS EFSTATHI	FID	AGCO	S	600	53.54	n/a	n/a	0.00	0.0
ELM RIDGE ADVISORS	044	AIG	S	25,000	38.28	n/a	n/a	1,000.00	0.0
⚡ BUCK CAPITAL MGMT		ANF	S	260	50.93	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		ANN	S	150,000	32.14	n/a	n/a	non-brg	4.0
RIDGECREST INV MGMT LLC	028	ANN	SS	5,000	32.12	n/a	n/a	200.00	4.0
MILLENNIUM PARTNERS ICSUS	041	ANR	S	80,000	8.52	n/a	n/a	3,200.00	0.0
⚡ BUCK CAPITAL MGMT		APC	S	977	82.06	5-Feb	5-Feb	non-brg	2.0
⚡ BUCK CAPITAL MGMT		AXL	S	11,033	11.96	n/a	4-Feb	non-brg	2.0
GEORGE WEISS	278	AXL	S	5,000	12.00	n/a	4-Feb	200.00	0.0
⚡ BUCK CAPITAL MGMT		AXP	S	1,241	60.21	n/a	4-Feb	non-brg	2.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
B	BUCK CAPITAL MGMT		BAC	S	7,543	11.81	n/a	4-Feb	non-brg	2.0	
	BNP PARIBAS SEC	040	BA	B	10,000	75.80	n/a	4-Feb	300.00	3.0	
B	BUCK CAPITAL MGMT		BA	S	733	76.23	n/a	4-Feb	non-brg	2.0	
	DC CAPITAL	044	BA	S	75,000	76.61	n/a	4-Feb	3,000.00	4.0	
	OZ MGMT	040	BA	S	85,487	76.75	n/a	4-Feb	2,564.61	0.0	
	CONIFER	030	BBRY	B	69,700	15.85	n/a	n/a	2,788.00	0.0	
B	BUCK CAPITAL MGMT		BHI	S	590	44.57	n/a	n/a	non-brg	2.0	
B	BUCK CAPITAL MGMT		BID	C	1,120	35.79	n/a	n/a	non-brg	2.0	
	DENVER INST. ADV	046	BWS	B	40,000	17.60	n/a	n/a	1,600.00	0.0	
B	BUCK CAPITAL MGMT		CAR	B	80,000	22.74	n/a	n/a	non-brg	4.0	
B	BUCK CAPITAL MGMT		CAR	B	89,500	22.46	n/a	n/a	non-brg	4.0	
B	BUCK CAPITAL MGMT		CAR	S	5,600	22.21	n/a	n/a	non-brg	2.0	
B	BUCK CAPITAL MGMT		CERN	C	650	84.31	n/a	n/a	non-brg	2.0	
	CASTLEROCK	040	CMG	B	3,000	310.67	n/a	4-Feb	120.00	0.0	
	NOMURA/ANGEL LANE PRINCIPAL	040	CMG	SS	5,000	308.51	n/a	4-Feb	150.00	3.0	
B	BUCK CAPITAL MGMT		CNC	B	10,000	44.00	n/a	n/a	non-brg	4.0	
B	BUCK CAPITAL MGMT		CNC	S	1,643	44.17	n/a	n/a	non-brg	2.0	
	GUGGENHEIM GLOBAL TRADING (GGT)	251	CNX	B	32,500	30.79		n/a	n/a	975.00	3.0
	MILLENNIUM PARTNERS ICSUS	041	CNX	B	15,500	31.11	n/a	n/a	620.00	0.0	

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		COF	S	1,576	56.89	n/a	4-Feb	non-brg	2.0
PROSPECTOR PARTNERS LLC	036	COP	S	10,000	57.83	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT		CROX	S	809	14.98	n/a	n/a	non-brg	2.0
PROVIDENCE EQUITY CAPITAL MARKETS LLC	040	CVC	B	200,000	14.41	n/a	n/a	6,000.00	3.0
TRUST CO OF THE WEST/NY	040	CVD	S	3,500	68.30	n/a	n/a	175.00	0.0
TRUST CO/COWEN/CALF.	040	CVD	S	1,105	68.30	n/a	n/a	55.25	0.0
BUCK CAPITAL MGMT		C	S	837	42.85	n/a	4-Feb	non-brg	2.0
BUCK CAPITAL MGMT		DAL	S	7,484	13.91	n/a	4-Feb	non-brg	2.0
FIRST NY SEC/CHRIS	041	DAL	B	10,000	13.87	n/a	4-Feb	500.00	5.0
BUCK CAPITAL MGMT		DECK	B	70,000	40.44	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		DECK	S	194	40.43	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		DFS	S	2,252	39.08	n/a	4-Feb	non-brg	2.0
BUCK CAPITAL MGMT		DG	S	2,452	45.22	n/a	12-Dec	non-brg	2.0
BUCK CAPITAL MGMT		DHI	S	2,784	23.46	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		DIA	C	2,825	139.56	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		DKS	S	1,264	47.50	n/a	30-Jan	non-brg	2.0
BUCK CAPITAL MGMT		DLTR	S	2,317	39.61	n/a	20-Nov	non-brg	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEEF MGMT	033	DOW	B	500	32.41	n/a	18-Jan	50.00	10.0
B BUCK CAPITAL MGMT		DVN	S	1,087	57.67	n/a	31-Jan	non-brg	2.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	DVN	B	5,500	57.53		n/a 31-Jan	220.00	4.0
LAKEWOOD CAPITAL MGMT	085	EGHT	SS	35,000	7.12	n/a	n/a	1,050.00	0.0
NOMURA INTERNATIONAL PLC	085	EL	S	5,000	64.88	n/a	5-Feb	324.39	0.0
MAIRS AND POWER INV	030	EMR	B	10,000	56.95	n/a	n/a	500.00	5.0
f KEVIN MICHAEL O'GORM	FID	ENDP	B	1000	31.29	n/a	5-Feb	0.00	0.0
DC CAPITAL	044	ETN	S	50,000	58.34	n/a	11-Jan	2,000.00	4.0
ROARING BLUE LION MGMT	031	EXPR	B	47,940	18.20	n/a	n/a	1,917.60	4.0
f DAVID S HOCHSTIM	FID	FBC	B	3000	15.74	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	FBC	B	200	15.86	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FDO	S	1,875	56.28	n/a	4-Jan	non-brg	2.0
B BUCK CAPITAL MGMT		FINL	S	5,996	18.36	n/a	30-Jan	non-brg	2.0
DSG CAPITAL	030	FINL	B	5,800	18.31	n/a	30-Jan	174.00	3.0
B BUCK CAPITAL MGMT		FL	S	2,814	33.96	n/a	30-Jan	non-brg	2.0
ROARING BLUE LION MGMT	031	FL	B	26,460	34.28	n/a	30-Jan	1,058.40	4.0
B BUCK CAPITAL MGMT		FOR	S	4,068	18.72	n/a	8-Nov	non-brg	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NWQ INVESTMENT MGMT CO	084	FOR	S	13,558	18.75	n/a	8-Nov	474.54	0.0
PROSPECTOR PARTNERS LLC	036	FOR	S	5,000	18.74	n/a	8-Nov	200.00	4.0
SCOPUS FUND	041	FOSL	SS	25,000	102.78	n/a	n/a	1,000.00	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	F	SS	100,000	13.17	n/a	4-Feb	3,000.00	3.0
OZ MGMT	040	F	S	89,652	13.09	n/a	4-Feb	2,689.56	0.0
PHILADELPHIA FINANCIAL	033	F	SS	50,000	13.10	n/a	4-Feb	2,000.00	0.0
VISIUM/BALY BOBBY	044	GE	B	20,000	22.57	n/a	n/a	1,000.00	0.0
B BUCK CAPITAL MGMT		GIII	S	1,563	35.48	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		GIL	S	890	36.69	n/a	4-Feb	non-brg	2.0
CAERUS GLOBAL	041	GIL	S	11,225	36.80	n/a	4-Feb	449.00	4.0
B BUCK CAPITAL MGMT		GM	S	4,451	28.47	n/a	4-Feb	non-brg	2.0
CAERUS GLOBAL	041	GM	B	15,000	28.57	n/a	4-Feb	600.00	4.0
f CICYLY S BACKUS	FID	GM	B	3000	28.49	n/a	4-Feb	0.00	0.0
f LBP ENTERPRISES INC	FID	GM	B	2000	28.49	n/a	4-Feb	0.00	0.0
f LEE F BACKUS	FID	GM	B	2000	28.48	n/a	4-Feb	0.00	0.0
OZ MGMT	040	GM	S	28,219	28.55	n/a	4-Feb	846.57	0.0
f SNEJANA P GARFUNKEL	FID	GM	B	1000	28.48	n/a	4-Feb	0.00	0.0
B BUCK CAPITAL MGMT		HAL	S	1,528	40.74	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		HBC CN	S	1,683	16.60	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		HBI	S	1,773	37.85	n/a	4-Feb	non-brg	2.0
CAERUS GLOBAL	041	HBI	B	10,741	38.27	n/a	4-Feb	429.64	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		HCA	B	25,000	37.65	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		HCA	S	2,035	37.40	n/a	n/a	non-brg	2.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	HES	B	1,500	66.95		n/a	n/a	60.00 4.0
PROSPECTOR PARTNERS LLC	036	HES	S	5,000	66.61	n/a	n/a	200.00	4.0
LATEEF MGMT	033	HPQ	B	250	16.72	n/a	n/a	27.50	11.0
⚡ BUCK CAPITAL MGMT		HTZ	B	100,000	18.48	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		HTZ	S	7,479	18.39	n/a	n/a	non-brg	2.0
ARSENAL ASSET MANAGEMENT	028	HUBB	B	1,339	92.62	n/a	n/a	53.56	0.0
⚡ HARALAMBOS EFSTATHI	FID	HWD	B	1000	14.71	n/a	n/a	0.00	0.0
CONIFER	030	IACI	B	26,758	42.11	n/a	n/a	1,070.32	0.0
⚡ BUCK CAPITAL MGMT		IJH	C	1,776	109.58	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		IP	S	1,745	42.70	n/a	5-Feb	non-brg	2.0
⚡ BUCK CAPITAL MGMT		IWO	C	8,337	102.38	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		JBLU	S	4,943	5.77	n/a	4-Feb	non-brg	2.0
⚡ BUCK CAPITAL MGMT		JCI	S	1,799	31.07	n/a	22-Jan	non-brg	2.0
MACELLUM CAPITAL	086	JCP	B	75,000	19.19	n/a	14-Jan	2,250.00	3.0
⚡ BUCK CAPITAL MGMT		JIVE	S	5,297	14.73	n/a	n/a	non-brg	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		JOY	S	584	62.91	n/a	11-Jul	non-brg	2.0
⚡ BUCK CAPITAL MGMT		JPM	S	1,541	48.29	n/a	4-Feb	non-brg	2.0
SCOPUS FUND	041	JWN	S	77,587	55.15	n/a	1-Feb	3,103.48	4.0
⚡ BUCK CAPITAL MGMT		KMT	S	1,313	40.70	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		KNX	S	5,239	15.85	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		KORS	S	1,060	53.98	n/a	4-Feb	non-brg	2.0
⚡ BUCK CAPITAL MGMT		KORS	S	50,000	53.88	n/a	4-Feb	non-brg	4.0
IRIDIAN ASSET MGMT.	036	KSS	S	9,650	45.37	n/a	1-Feb	482.50	0.0
LATEEF MGMT	033	K	S	500	58.67	n/a	n/a	50.00	10.0
BASSWOOD PARTNERS	267	LEA	B	26,400	50.20	n/a	4-Feb	1,056.00	0.0
⚡ BUCK CAPITAL MGMT		LEA	S	1,207	50.09	n/a	4-Feb	non-brg	2.0
⚡ BUCK CAPITAL MGMT		LEN	S	1,951	40.72	n/a	n/a	non-brg	2.0
f HARALAMBOS EFSTATHI	FID	LNKD	S	200	124.55	n/a	n/a	0.00	0.0
IRIDIAN ASSET MGMT.	036	LOW	B	14,720	38.40	n/a	n/a	736.00	0.0
⚡ BUCK CAPITAL MGMT		LPNT	S	1,817	43.28	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		LTD	SS	50,000	48.17	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER O'NEILL ASSET	031	MA	B	6,700	518.31	n/a	5-Feb	335.00	5.0
⚡ BUCK CAPITAL MGMT		MCD	C	443	95.22	n/a	4-Feb	non-brg	2.0
⚡ BUCK CAPITAL MGMT		MDC	C	1,235	39.04	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		MDT	S	840	46.92	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		MDY	C	716	199.70	n/a	n/a	non-brg	2.0
ROXBURY CAPITAL MGMT	033	MLI	B	51,835	55.00	n/a	5-Feb	2,073.40	0.0
f DAEIL CHA	FID	MPC	B	4	76.70	n/a	n/a	0.00	0.0
LATEEF MGMT	033	MSFT	B	150	27.58	n/a	n/a	30.00	20.0
⚡ BUCK CAPITAL MGMT		MS	S	3,327	23.29	n/a	4-Feb	non-brg	2.0
SAGE ASSET MGMT	025	MS	B	11,700	23.23	n/a	4-Feb	585.00	5.0
⚡ BUCK CAPITAL MGMT		MTOR	S	17,090	4.38	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		MW	S	49,900	29.21	n/a	n/a	non-brg	4.0
BALYASNY ASSET MGMT	044	M	S	25,000	40.16	n/a	1-Feb	1,250.00	0.0
⚡ BUCK CAPITAL MGMT		M	S	2,067	40.09	n/a	1-Feb	non-brg	2.0
f JOHN MICHAEL ZOLIDIS	FID	NFLX	B	50	177.45	n/a	n/a	0.00	0.0
f HARALAMBOS EFSTATHI	FID	NYCB	S	2000	13.58	n/a	4-Feb	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f KATHERINE L O'GORMAN	FID	NYCB	B	2000	13.44	n/a	4-Feb	0.00	0.0
TRUSTCO/SUNTRUST (CEREDEX)	273	O	S	13,300	43.39	n/a	n/a	425.57	0.0
ROSEDALE CAPITAL	046	PBCT	B	30,000	12.54	n/a	4-Feb	1,200.00	4.0
ß BUCK CAPITAL MGMT		PCAR	S	249	47.41	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		PCLN	C	201	690.85	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		PETM	C	709	65.02	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		PFE	S	5,512	27.49	n/a	n/a	non-brg	2.0
ROARING BLUE LION MGMT	031	PLCE	B	19,340	50.79	n/a	10-Jan	773.60	4.0
ß BUCK CAPITAL MGMT		PVH	B	10,000	116.16	n/a	4-Feb	non-brg	4.0
ß BUCK CAPITAL MGMT		PVH	S	731	116.08	n/a	4-Feb	non-brg	2.0
CATAPULT	040	PX	B	14,625	111.56	n/a	18-Jan	585.00	0.0
ß BUCK CAPITAL MGMT		RDN	B	75,000	6.89	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		RDN	B	75,000	6.95	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		RDN	S	3,912	6.95	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		RH	S	30,000	37.46	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		RH	S	959	37.41	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		RLGY	S	90,000	44.54	n/a	n/a	non-brg	4.0
DECADE CAPITAL CHRIS C	041	ROC	B	4,657	54.79	n/a	n/a	186.28	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		RUSHA	S	1,201	23.60	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		R	S	1,809	58.51	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		SCSS	S	1,739	22.57	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		SLB	S	829	79.75	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		SLM	S	6,956	17.07	n/a	5-Feb	non-brg	2.0
BUCK CAPITAL MGMT		SLXP	C	1,404	48.92	n/a	28-Jan	non-brg	2.0
BUCK CAPITAL MGMT		SPY	C	387	150.87	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		STT	S	2,124	56.28	n/a	4-Feb	non-brg	2.0
LAKEWOOD CAPITAL MGMT	085	SVM	C	25,000	4.37	n/a	n/a	750.00	0.0
BUCK CAPITAL MGMT		SWFT	S	8,454	13.45	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		SWN	S	3,880	33.83	n/a	31-Jan	non-brg	2.0
BUCK CAPITAL MGMT		TDG	C	627	140.03	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		TEVA	S	2,957	37.88	n/a	28-Jan	non-brg	2.0
LATEEF MGMT	033	TEVA	B	750	37.87	n/a	28-Jan	80.00	11.0
BUCK CAPITAL MGMT		TGT	C	50,000	61.81	n/a	3-Jan	non-brg	4.0
BUCK CAPITAL MGMT		TITN	S	4,062	28.39	n/a	n/a	non-brg	2.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.		
B	BUCK CAPITAL MGMT		TJX	S	560	45.57	n/a	1-Feb	non-brg	2.0	
	ROARING BLUE LION MGMT	031	TRLG	B	28,100	23.46	n/a	n/a	1,124.00	4.0	
	PROSPECTOR PARTNERS LLC	036	TR	S	5,000	27.27	n/a	n/a	200.00	4.0	
F	WILLIAM J GRACE	FID	TWC	B	285	88.14	n/a	n/a	0.00	0.0	
	CENTURION PARTNERS	041	T	S	20,000	35.48	n/a	n/a	800.00	4.0	
B	BUCK CAPITAL MGMT		UAL	S	2,578	24.39	n/a	4-Feb	non-brg	2.0	
	FIRST NY SEC/CHRIS	041	UAL	SS	10,000	24.25	n/a	4-Feb	500.00	5.0	
B	BUCK CAPITAL MGMT		UA	S	550	50.91	n/a	31-Jan	non-brg	2.0	
B	BUCK CAPITAL MGMT		URI	S	1,920	51.54	n/a	17-Apr	non-brg	2.0	
	SENATOR INVESTMENT GROUP	036	VIAB	S	175,000	59.46	n/a	n/a	5,250.00	0.0	
	TRUST CO/COWEN/CALF.	040	VLO	S	48,341	45.99	n/a	n/a	2,417.05	0.0	
	LEVIN CAPITAL STRATEGIES	041	VMED	B	9,403	45.29	n/a	n/a	282.09	0.0	
	GUGGENHEIM GLOBAL TRADING (GGT)	251	VNQ	B	7,250	68.40		n/a	n/a	290.00	4.0
B	BUCK CAPITAL MGMT		V	S	491	158.34	n/a	16-Jan	non-brg	2.0	
B	BUCK CAPITAL MGMT		WERN	S	3,530	23.54	n/a	n/a	non-brg	2.0	
B	BUCK CAPITAL MGMT		WNC	S	13,495	10.61	n/a	n/a	non-brg	2.0	

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	HARALAMBOS EFSTATHI	FID	WNC	S	2000	10.80	n/a	n/a	0.00	0.0
f	JONATHAN RICHARD HAR	FID	WNC	S	500	10.81	n/a	n/a	0.00	0.0
	GUGGENHEIM GLOBAL TRADING (GGT)	251	XLE		SS	3,000	77.73	n/a	n/a	120.00 4.0
B	BUCK CAPITAL MGMT		XLFX	C	8,722	17.56	n/a	n/a	non-brg	2.0
B	BUCK CAPITAL MGMT		XPO	S	2,096	17.03	n/a	n/a	non-brg	2.0
B	BUCK CAPITAL MGMT		XRT	C	5,322	67.38	n/a	n/a	non-brg	2.0
	WHITE PINE CAPITAL	030	YUM	B	7,900	61.70	n/a	5-Feb	395.00	0.0
	APEX CAPITAL MGMT.	261	ZNGA	S	300,000	2.69	n/a	n/a	6,000.00	0.0
B	BUCK CAPITAL MGMT		ZUMZ	S	1,006	20.99	n/a	n/a	non-brg	2.0
TOTAL (Trade Date):									89,592.21	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	02/04	SIGMA CAPITAL ASSOCIATES	041	ANN	S	50,000	31.14	n/a	n/a	1500.00 3.0
AO,CXL	02/04	SIGMA CAPITAL ASSOCIATES	041	ANN	S	50,000	31.14	n/a	n/a	1750.00 3.5
AO,	02/04	NWQ INVESTMENT MGMT CO	084	FOR	S	12,802	18.66	n/a	8-Nov	448.07 0.0
AO,CRT	01/30	PARKWEST	084	HURN	S	2,074	34.48	n/a	n/a	82.96 4.0
AO,CXL	01/30	PARKWEST	084	HURN	S	2,074	34.48	n/a	n/a	62.22 3.0
AO,CRT	02/01	S.A.C. CAPITAL	044	LPX	SS	25,000	20.05	n/a	1-Feb	750.00 3.0
AO,CXL	02/01	S.A.C. CAPITAL	044	LPX	SS	25,000	20.05	n/a	1-Feb	875.00 3.5
TOTAL (AO, CXL, CRT) :										93.81

TOTAL (Trade Date):	89,592.21
TOTAL (AO, CXL, CRT):	93.81

TOTAL (RUN DATE) / NFS:	89,686.02
--------------------------------	------------------

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CXL	02/04	BUCK CAPITAL MGMT.	RL	C	37,500	163.22	n/a	4-Feb	1500.00
CRT	02/04	BUCK CAPITAL MGMT	RL	C	37,500	163.22	n/a	4-Feb	1500.00 4.0
CXL	02/01	BUCK CAPITAL MGMT.	RL	C	100	163.18	n/a	4-Feb	1.00
CRT	02/01	BUCK CAPITAL MGMT	RL	C	100	163.18	n/a	4-Feb	1.00 1.0
AO	02/04	BUCK CAPITAL MGMT	YUM	SS	20,000	61.11	n/a	5-Feb	200.00 1.0

MRI Securities with Trade Activity on 5-Feb.

APC

MRI Securities without Trade Activity on 5-Feb.

USG, PCP, PNRA

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

T-Date = 0%

YTD = 0%

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

Watch List Trades

f: Employee Trades (Fidelity)