



Daily Compliance Activity Report

Trade Date: 07/02/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 1

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		AAPL	S	1,000	175.15	n/a	n/a	non-brg	1.0
DSM CAPITAL PARTNERS	032	AAPL	B	650	174.92	n/a	n/a	32.50	5.0
DSM CAPITAL PARTNERS	032	ABB	B	5,250	27.69	n/a	n/a	262.50	5.0
SWISS RE FINANCIAL SER	035	ABG	S	2,400	12.25	10-Jun	10-Jun	96.00	4.0
DSM CAPITAL PARTNERS	032	ADBE	B	3,350	40.98	n/a	n/a	167.50	5.0
DSM CAPITAL PARTNERS	032	ADP	B	2,900	42.70	n/a	n/a	145.00	5.0
DSM CAPITAL PARTNERS	032	ADSK	B	3,000	34.24	n/a	n/a	150.00	5.0
SINCLAIR	031	ADWJJ	B	26	9.10	n/a	n/a	0.00	0.0
SINCLAIR	031	ADWJJ	S	20	11.90	n/a	n/a	0.00	0.0
MCCARTAN	028	AEO	S	400	13.47	6-Mar	2-Jul	0.00	0.0
DAVIS SELECT ADV	040	AES	B	400,000	19.14	n/a	n/a	12,000.00	3.0
DSM CAPITAL PARTNERS	032	AGN	B	1,850	53.27	31-Jan	1-Jul	92.50	5.0
B BUCK CAPITAL MGMT		AIT	SS	20,000	23.22	n/a	n/a	non-brg	4.0
DKR CAPITAL	048	AMLN	SS	50,000	25.47	n/a	n/a	2,500.00	5.0
BUCK CAPITAL MGMT	001	ANF	B	10,000	61.49	10-Apr	2-Jul	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	ANF	S	5,000	64.07	10-Apr	2-Jul	250.00	5.0
J L F ASSET MGMT	039	ANF	B	10,900	64.05	10-Apr	2-Jul	436.00	4.0
CATAPULT	040	ANN	S	62,000	23.43	14-Mar	22-May	2,480.00	4.0
⚡ BUCK CAPITAL MGMT		AN	C	100,000	9.78	2-Jul	2-Jul	non-brg	4.0
⚡ BUCK CAPITAL MGMT		AN	C	100,000	9.99	2-Jul	2-Jul	non-brg	4.0
COUGAR TRADING	044	AN	B	10,000	10.07	2-Jul	2-Jul	500.00	5.0
FIRST NY SEC/CHRIS	041	AN	S	150,000	9.91	2-Jul	2-Jul	6,000.00	4.0
SCOPUS FUND	041	AN	S	125,000	9.94	2-Jul	2-Jul	6,250.00	5.0
LEDDY	035	ARGN	B	2,100	6.49	24-Jun	24-Jun	0.00	0.0
⚡ BUCK CAPITAL MGMT		ARO	B	120,000	32.41	28-Apr	2-Jul	non-brg	4.0
WAGONHOUND/NIC	048	ARO	B	27,283	32.57	28-Apr	2-Jul	1,091.32	4.0
DEMARTINI	065	ASH	B	200	47.82	30-Apr	23-Jun	0.00	0.0
BAYPOINT TRADING/XYLEM	091	AVY	B	20,000	42.59	22-Apr	23-Jun	1,000.00	5.0
MILLER	025	BAC	S	40	23.44	n/a	2-Jul	0.00	0.0
⚡ BUCK CAPITAL MGMT		BBBY	SS	100,000	28.54	n/a	n/a	non-brg	4.0
JP MORGAN VENTURES	046	BBY	C	25,000	40.28	n/a	27-Jul	1,250.00	5.0
ARTX	304	BBY	B	28,400	39.89	n/a	27-Jul	1,420.00	5.0
⚡ BUCK CAPITAL MGMT		BHQ+WX	SS	1,000	0.75	n/a	n/a	non-brg	100.0
HOLDEN CAPITAL MGMT	035	BIG	SS	7,000	32.39	29-May	2-Jul	350.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	BJ	SS	20,000	42.65	n/a	27-Jul	800.00	4.0
NATIONAL BK OF CAN	031	BK	S	12,000	38.12	n/a	2-Jul	480.00	4.0
B BUCK CAPITAL MGMT		BUCY	SS	15,000	67.73	4-Jun	4-Jun	non-brg	4.0
B BUCK CAPITAL MGMT		BWA	C	39,800	43.96	10-Jun	10-Jun	non-brg	2.0
B BUCK CAPITAL MGMT		BWA	C	60,200	44.26	10-Jun	10-Jun	non-brg	4.0
B BUCK CAPITAL MGMT		BYI+JI	C	200	0.77	n/a	n/a	non-brg	100.0
ROYCE TRADING	216	CAB	B	10,000	11.15	n/a	n/a	500.00	5.0
DSM CAPITAL PARTNERS	032	CAM	B	2,650	57.51	n/a	n/a	132.50	5.0
OSS CAPITAL/KEVIN DANN	067	CAR	S	400,000	5.93	n/a	n/a	12,000.00	3.0
B BUCK CAPITAL MGMT		CAT	SS	15,000	70.91	n/a	23-May	non-brg	4.0
MUHLENKAMP FUND	046	CAT	S	100,000	72.01	n/a	23-May	5,000.00	5.0
MFP INVESTORS	032	CBT	B	5,100	23.46	n/a	23-Jun	255.00	5.0
JP MORGAN VENTURES	046	CCE	S	25,000	17.13	n/a	n/a	1,250.00	5.0
DSM CAPITAL PARTNERS	032	CELG	B	5,400	67.99	n/a	n/a	270.00	5.0
PIVOT CAP	034	CENT	S	10,056	4.51	11-Jun	24-Jun	502.80	5.0
DE SHAW	040	CEPH	B	75,000	67.68	24-Jun	1-Jul	3,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CASTLE ARK	031	CHK	B	111,330	71.96	n/a	n/a	6,679.80	6.0
MARK ASSETMGMT (SR)	040	CHK	B	2,000	70.59	n/a	n/a	80.00	4.0
EPOCH INV MGMT	030	CHL	B	3,150	64.93	n/a	n/a	126.00	4.0
DSM CAPITAL PARTNERS	032	CHRW	B	1,600	53.35	n/a	n/a	80.00	5.0
COUGAR TRADING	044	CPKI	B	5,000	10.85	2-Jul	2-Jul	250.00	5.0
B BUCK CAPITAL MGMT		CPNCW	C	10,000	0.42	n/a	n/a	non-brg	1.0
ARTX	304	CROX	S	121,600	7.76	n/a	n/a	4,864.00	4.0
MERRILL ASSET	032	CRR	S	17,100	57.33	5-Jun	18-Jun	855.00	5.0
DSM CAPITAL PARTNERS	032	CSCO	B	5,250	23.01	n/a	22-Mar	262.50	5.0
ROYCE TRADING	216	CSH	B	5,000	32.62	n/a	n/a	250.00	5.0
FRONTPOINT CHRIS C	041	CSL	B	6,900	27.20	n/a	n/a	276.00	4.0
DSM CAPITAL PARTNERS	032	CTSH	B	3,050	32.13	n/a	n/a	152.50	5.0
DSM CAPITAL PARTNERS	032	CVD	B	1,150	84.15	n/a	n/a	57.50	5.0
STRAUSS ASSET MGMT	040	CVLT	S	7,500	16.24	n/a	n/a	300.00	4.0
DSM CAPITAL PARTNERS	032	CVS	B	2,950	38.80	n/a	n/a	147.50	5.0
LUCHANSKY1	036	CVX	S	100	99.70	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLE	N24	CX	B	200	22.95	n/a	n/a	0.00	0.0
Ⓕ BUCK CAPITAL MGMT		DAI	SS	2,500	60.24	n/a	n/a	non-brg	1.0
CRAMER ROSENTHAL/SCOTT	012	DBRN	B	10,000	13.70	n/a	n/a	400.00	4.0
Ⓕ BUCK CAPITAL MGMT		DECK	S	1,000	134.15	n/a	n/a	non-brg	1.0
ZOLIDIS	011	DECK	B	200	138.50	n/a	n/a	0.00	0.0
MORRISON/TLB/BAYPOINT	040	DE	S	4,500	71.09	n/a	23-May	225.00	5.0
COLUMBIA PARTNERS	028	DFS	B	20,106	13.92	n/a	n/a	804.24	4.0
CLOVIS CAPITAL	012	DHR	SS	100,000	75.38	n/a	n/a	5,000.00	5.0
MCCARTAN	028	DHR	SS	100	75.09	n/a	n/a	0.00	0.0
HOLDEN CAPITAL MGMT	035	DISH	SS	10,000	28.27	4-Jan	4-Jan	500.00	5.0
DSG CAPITAL	225	DKS	SS	7,000	16.93	n/a	25-Jun	350.00	5.0
GALT INVESTMENT	041	DKS	B	25,000	17.25	n/a	25-Jun	1,250.00	5.0
RAINIER INV MGMT	035	DLR	S	40,550	41.61	n/a	n/a	2,027.50	5.0
Ⓕ BUCK CAPITAL MGMT		DLTR	SS	80,000	34.83	n/a	2-Jul	non-brg	4.0
CRAMER ROSENTHAL/SCOTT	012	DLTR	B	6,600	34.58	n/a	2-Jul	264.00	4.0
J L F ASSET MGMT	039	DLTR	B	18,400	34.99	n/a	2-Jul	736.00	4.0
NOMURA CAPITAL	045	DTG	B	6,000	4.42	n/a	n/a	180.00	3.0
EPOCH INV MGMT	030	DVA	S	15,000	53.42	n/a	n/a	600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MARK ASSETMGMT (SR)	040	EBAY	S	20,000	27.13	n/a	n/a	800.00	4.0
OGORMAN	046	EL	C	500	45.65	7-May	24-Jun	0.00	0.0
DSM CAPITAL PARTNERS	032	EXPD	B	1,250	41.54	n/a	n/a	62.50	5.0
MS PRINCIPAL STRATEGIES	041	FBC	B	1,600	2.80	n/a	n/a	80.00	5.0
BUCK CAPITAL MGMT	001	FDO	SS	100,000	22.43	30-Jun	2-Jul	4,000.00	4.0
EPOCH INV MGMT	030	FISV	B	31,700	47.91	n/a	n/a	1,268.00	4.0
B BUCK CAPITAL MGMT		FL	B	50,000	13.11	2-Apr	23-May	non-brg	4.0
SANDLER CAPITAL	038	FNF	B	152,300	13.77	n/a	n/a	9,138.00	6.0
GRUSS CAPITAL	045	FOR	B	5,000	18.02	n/a	n/a	200.00	4.0
LUCHANSKY1	036	FRO	S	100	66.19	n/a	n/a	0.00	0.0
DSM CAPITAL PARTNERS	032	FTI	B	1,250	79.50	n/a	n/a	62.50	5.0
B BUCK CAPITAL MGMT		FTO	S	40,400	23.14	n/a	n/a	non-brg	4.0
DSM CAPITAL PARTNERS	032	GENZ	B	3,000	72.38	n/a	n/a	150.00	5.0
B BUCK CAPITAL MGMT		GES	S	2,000	38.07	n/a	n/a	non-brg	4.0
MILLER	025	GLD	C	75	92.88	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
VISIUM/BALY HOWARD	038	GME	B	20,000	41.00	n/a	n/a	1,000.00	5.0
AMBER CAPITAL	046	GM	B	200,000	10.91	24-Jun	2-Jul	8,000.00	4.0
BRENCOURT	028	GM	SS	100,000	10.44	24-Jun	2-Jul	5,000.00	5.0
WAGONHOUND/NIC	048	GM	C	59,056	10.99	24-Jun	2-Jul	2,362.24	4.0
DSM CAPITAL PARTNERS	032	GOOG	B	400	534.92	n/a	n/a	20.00	5.0
BMO NESBITT BURNS	041	GPI	SS	25,000	18.90	10-Jun	10-Jun	1,250.00	5.0
BUCK	015	GPM	S	625	12.38	n/a	n/a	0.00	0.0
DSM CAPITAL PARTNERS	032	GPRO	B	2,100	49.06	n/a	n/a	105.00	5.0
DEMARTINI	065	GR	B	500	47.16	5-Jun	5-Jun	0.00	0.0
B BUCK CAPITAL MGMT		GS	S	31,193	179.83	19-Mar	17-Jun	non-brg	4.0
B BUCK CAPITAL MGMT		GYMB	S	2,000	40.42	3-Jun	2-Jul	non-brg	4.0
JP MORGAN VENTURES	046	HAS	SS	20,000	35.40	n/a	n/a	1,000.00	5.0
WHEELER	008	HAYN	B	1,000	51.90	n/a	n/a	0.00	0.0
CROWLEY	061	HCGI	S	1,000	0.80	n/a	n/a	0.00	0.0
AVESTA CAP	229	HNZ	B	25,000	47.42	n/a	n/a	1,250.00	5.0
DSM CAPITAL PARTNERS	032	HOLX	B	4,750	22.37	n/a	n/a	237.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FRONTPOINT	044	HON	SS	2,500	50.49	18-Apr	18-Apr	100.00	4.0
FRONTPOINT CHRIS C	041	HON	SS	2,600	50.06	18-Apr	18-Apr	104.00	4.0
⌘ BUCK CAPITAL MGMT		ICON	B	13,500	12.18	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		ICON	B	6,500	12.20	n/a	n/a	non-brg	2.0
LEDDY	035	ICON	B	800	12.11	n/a	n/a	0.00	0.0
CAMBIAR CAP	046	IGT	S	26,500	24.02	n/a	18-Apr	1,060.00	4.0
CAXTON PART	040	INTC	B	150,000	21.79	n/a	n/a	5,250.00	3.5
ROYCE TRADING	216	IN	B	5,000	20.49	n/a	n/a	250.00	5.0
CATAPULT	040	IP	B	81,315	23.40	8-Feb	26-Jun	4,065.75	5.0
DSM CAPITAL PARTNERS	032	IVZ	B	3,250	23.40	10-Apr	2-Jul	162.50	5.0
BUCK CAPITAL MGMT	001	JAH	B	10,000	17.91	n/a	n/a	400.00	4.0
WAGONHOUND/NIC	048	JAS	B	1,808	22.51	n/a	n/a	72.32	4.0
LEDDY	035	JCG	B	400	32.97	n/a	30-May	0.00	0.0
THE JAY GOLDMAN	034	JCP	B	15,000	36.90	n/a	2-Jul	600.00	4.0
JP MORGAN VENTURES	046	JNY	B	20,000	13.65	n/a	1-May	1,000.00	5.0
⌘ BUCK CAPITAL MGMT		JOSB	B	10,000	27.06	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		JOYG	SS	15,000	71.83	n/a	30-May	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MCCARTAN	028	JOYG	SS	100	73.32	n/a	30-May	0.00	0.0
CAXTON PART	040	JPM	S	50,000	34.99	8-May	2-Jul	1,750.00	3.5
BUCK	015	JPM	SS	1,000	34.95	8-May	2-Jul	0.00	0.0
COUGAR TRADING	044	JWN	B	30,000	31.05	16-May	2-Jul	1,500.00	5.0
HOLDEN CAPITAL MGMT	035	JWN	SS	5,000	30.87	16-May	2-Jul	250.00	5.0
B BUCK CAPITAL MGMT		KMT	SS	50,000	31.04	n/a	3-Jun	non-brg	4.0
FRONTPOINT CHRIS C	041	KMT	B	3,100	30.67	n/a	3-Jun	124.00	4.0
AVESTA CAP	229	KR	B	50,000	29.28	n/a	n/a	2,500.00	5.0
LATEFF MGMT	035	KR	S	1,500	29.29	n/a	n/a	285.00	19.0
BUCK CAPITAL MGMT	001	KSS	B	80,000	42.11	n/a	2-Jul	3,200.00	4.0
THE JAY GOLDMAN	034	KSS	S	15,000	42.78	n/a	2-Jul	600.00	4.0
RAINIER INV MGMT	035	KSU	S	21,300	40.76	n/a	n/a	1,065.00	5.0
B BUCK CAPITAL MGMT		LEH	S	100,000	22.44	9-Jun	17-Jun	non-brg	4.0
NATIONAL BK OF CAN	031	LEH	B	40,000	21.49	9-Jun	17-Jun	1,600.00	4.0
LUCHANSKY1	036	LLL	SS	200	88.56	n/a	n/a	0.00	0.0
OGORMAN	046	LM	S	300	40.32	1-Jul	2-Jul	0.00	0.0
OGORMAN	046	MGM	C	500	32.70	n/a	7-May	0.00	0.0
WHEELER	008	MMM	B	1,000	69.01	n/a	1-Jul	0.00	0.0
DSM CAPITAL PARTNERS	032	MON	B	1,200	123.20	n/a	26-Jun	60.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DSM CAPITAL PARTNERS	032	MSFT	B	3,250	26.80	n/a	3-Apr	162.50	5.0
B BUCK CAPITAL MGMT		MSM+SI	S	350	1.70	n/a	n/a	non-brg	300.0
FRONTPOINT CHRIS C	041	MSM	SS	9,000	43.92	n/a	n/a	360.00	4.0
LUCHANSKY1	036	MTWHG	S	5	0.70	n/a	n/a	0.00	0.0
MCCARTAN	028	MTW	S	200	29.74	n/a	23-May	0.00	0.0
B BUCK CAPITAL MGMT		MVRX	SS	90,000	131.45	n/a	n/a	non-brg	13.1
SINCLAIR	031	MWATB	S	60	2.35	n/a	n/a	0.00	0.0
SINCLAIR	031	NBRLI	S	10	8.80	n/a	n/a	0.00	0.0
CLOVIS CAPITAL	012	NLC	SS	50,000	19.92	n/a	n/a	2,500.00	5.0
NATIONAL BK OF CAN	031	NTRS	S	7,000	69.32	16-Apr	2-Jul	280.00	4.0
DSM CAPITAL PARTNERS	032	NWSA	B	6,550	14.87	n/a	n/a	327.50	5.0
LATEFF MGMT	035	OLN	S	1,500	27.28	20-Jun	20-Jun	270.00	18.0
DE SHAW	040	OSUR	B	100,000	3.90	n/a	n/a	3,000.00	3.0
TRELLUS PARTNERS LP	028	PAG	C	25,900	14.67	10-Jun	10-Jun	1,295.00	5.0
EPOCH INV MGMT	030	PBR	S	4,600	69.54	n/a	n/a	184.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MILLER	025	PBR	B	100	68.01	n/a	n/a	0.00	0.0
RAINIER INV MGMT	035	PCP	S	41,170	95.12	n/a	n/a	2,058.50	5.0
⌘ BUCK CAPITAL MGMT		PERY	S	10,000	21.22	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT	001	PH	SS	20,000	70.74	n/a	23-May	800.00	4.0
STADIA CAPITAL	035	PII	SS	25,000	39.97	n/a	n/a	1,000.00	4.0
LUCHANSKY1	036	PNK	S	300	9.91	n/a	n/a	0.00	0.0
RAINIER INV MGMT	035	PRXL	S	21,550	25.28	n/a	n/a	1,077.50	5.0
⌘ BUCK CAPITAL MGMT		PVH+II	SS	1,000	0.95	n/a	n/a	non-brg	100.0
⌘ BUCK CAPITAL MGMT		PVH+II	SS	2,000	0.95	n/a	n/a	non-brg	100.0
⌘ BUCK CAPITAL MGMT		PVH	S	3,000	37.64	5-May	22-May	non-brg	4.0
THOMSON HORSTMAN BRYANT	040	PVH	B	4,200	37.16	5-May	22-May	210.00	5.0
LEDY	035	PVH	B	400	36.97	5-May	22-May	0.00	0.0
⌘ BUCK CAPITAL MGMT		PZZA	SS	20,000	26.30	n/a	24-Apr	non-brg	4.0
⌘ BUCK CAPITAL MGMT		QUY+WV	SS	1,000	1.10	n/a	n/a	non-brg	300.0
COUGAR TRADING	044	RL	S	5,000	65.47	7-Feb	29-May	250.00	5.0
WHEELER	008	RUSHA	B	5,000	11.55	n/a	n/a	0.00	0.0
BUCK	015	RYN	B	250	42.52	23-Apr	23-Apr	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FRONTPOINT CHRIS C	041	R	SS	1,800	67.94	n/a	n/a	72.00	4.0
B BUCK CAPITAL MGMT		SDXC	SS	5,000	16.28	n/a	n/a	non-brg	4.0
DSM CAPITAL PARTNERS	032	SEIC	B	6,050	23.95	n/a	n/a	302.50	5.0
DSM CAPITAL PARTNERS	032	SGP	B	7,300	19.78	n/a	n/a	365.00	5.0
JP MORGAN VENTURES	046	SKX	SS	10,000	19.91	n/a	13-Mar	500.00	5.0
ZOLIDIS	011	SKX	C	900	19.80	n/a	13-Mar	0.00	0.0
CAXTON PART	040	SLB	S	13,016	104.60	n/a	n/a	455.57	3.5
DSM CAPITAL PARTNERS	032	SLB	B	3,200	109.77	n/a	n/a	160.00	5.0
DSG CAPITAL	225	SMG	SS	7,000	16.64	6-May	24-Jun	350.00	5.0
DEMARTINI	065	SNCR	B	1,000	8.81	n/a	n/a	0.00	0.0
RAINIER INV MGMT	035	SPW	S	12,075	124.86	n/a	n/a	603.75	5.0
FRONTPOINT CHRIS C	041	SPY	B	7,600	128.79	n/a	n/a	304.00	4.0
BUCK	015	SPY	B	200	126.99	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SWN	S	60,300	50.34	20-Mar	18-Jun	non-brg	4.0
DSM CAPITAL PARTNERS	032	SYK	B	2,350	63.24	n/a	n/a	117.50	5.0
LEDDY	035	TEX	B	300	47.52	n/a	3-Jun	0.00	0.0
B BUCK CAPITAL MGMT		TGT	SS	100,000	46.99	n/a	2-Jul	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MARK ASSETMGMT (SR)	040	TGT	C	80,000	47.65	n/a	2-Jul	3,200.00	4.0
BUCK CAPITAL MGMT	001	THI	SS	30,000	28.70	n/a	24-Apr	1,200.00	4.0
DSG CAPITAL	225	TIF	SS	3,000	41.60	n/a	2-Jun	150.00	5.0
JP MORGAN VENTURES	046	TIF	SS	10,000	41.08	n/a	2-Jun	500.00	5.0
WAGONHOUND/NIC	048	TJX	B	816	31.75	n/a	2-Jul	32.64	4.0
BUCK CAPITAL MGMT		TRLG	S	2,000	26.96	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		TRN	SS	20,000	32.33	n/a	n/a	non-brg	4.0
KAICHER	064	TSO	S	2,000	19.54	n/a	n/a	0.00	0.0
COUGAR TRADING	044	TWB	S	20,000	16.03	17-Mar	22-May	1,000.00	5.0
ZOLIDIS	011	TWM	S	200	78.07	n/a	n/a	0.00	0.0
MILLER	025	T	S	25	33.08	4-Jan	4-Jan	0.00	0.0
ROYCE TRADING	216	UNT	S	74,100	87.84	20-Mar	18-Jun	3,705.00	5.0
BUCK CAPITAL MGMT		URBN	S	5,000	32.25	15-May	15-May	non-brg	4.0
MILLER	025	UUP	S	100	22.34	n/a	n/a	0.00	0.0
DSM CAPITAL PARTNERS	032	VAR	B	2,800	51.07	n/a	n/a	140.00	5.0
BUCK CAPITAL MGMT		VFC+HQ	SS	1,000	0.80	n/a	n/a	non-brg	100.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
VISIUM/BALY HOWARD	038	VFC	SS	15,000	76.78	n/a	n/a	750.00	5.0
SINCLAIR	031	VGNMR	S	100	1.70	n/a	n/a	0.00	0.0
SINCLAIR	031	VGNMS	S	30	4.35	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		VLO	S	48,000	38.31	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		WAB	SS	10,000	45.22	n/a	n/a	non-brg	1.0
DSM CAPITAL PARTNERS	032	WFT	B	2,700	48.33	n/a	n/a	135.00	5.0
SYSTEMATIC FINANCIAL MGT	035	WLT	S	30,000	100.77	n/a	n/a	1,125.00	3.8
EPOCH INV MGMT	030	WMI	S	11,500	36.63	n/a	n/a	460.00	4.0
BEAR STEARNS ASSET MGMT.	033	WMT	B	18,400	56.59	30-Jun	2-Jul	736.00	4.0
BUCK CAPITAL MGMT	001	WMT	B	100,000	57.00	30-Jun	2-Jul	4,000.00	4.0
SIGMA CAPITAL ASSOCIATES	237	WMT	S	15,000	57.15	30-Jun	2-Jul	750.00	5.0
BUCK CAPITAL MGMT		WRC	S	2,000	43.19	13-May	13-May	non-brg	4.0
WAGONHOUND/NIC	048	WRC	B	1,192	42.98	13-May	13-May	47.68	4.0
BUCK CAPITAL MGMT		WSM+TW	SS	1,000	0.70	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT		WSM	SS	20,000	19.24	n/a	n/a	non-brg	4.0
KAICHER	064	XCO	B	1,000	38.31	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		XRT	SS	9,600	29.26	n/a	n/a	non-brg	1.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DSG CAPITAL	225	XRT	B	10,000	29.86	n/a	n/a	500.00	5.0
FRONTPOINT	044	X	B	2,200	158.44	n/a	n/a	88.00	4.0
FRONTPOINT CHRIS C	041	X	SS	1,600	157.17	n/a	n/a	64.00	4.0
JPMSI/TOM LEDDY	035	ZQK	SS	25,000	9.80	5-Feb	6-Jun	1,250.00	5.0
ROSEDALE CAPITAL	046	ZQK	B	10,000	10.00	5-Feb	6-Jun	500.00	5.0
WEINTRAUB CAPITAL MGT.	040	ZQK	S	100,000	9.67	5-Feb	6-Jun	3,000.00	3.0
B BUCK CAPITAL MGMT		ZUMZ	SS	67,900	15.97	n/a	n/a	non-brg	4.0
ZOLIDIS	011	ZUMZ	C	1,000	17.15	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								190,104.11	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	07/01	NOMURA CAPITAL	045	DTG	B	11,000	5.85	n/a	n/a	440.00 4.0
AO,CRT	07/01	MATLIN PATTERSON	046	GE	SS	100,000	26.51	n/a	n/a	3000.00 3.0
AO,CXL	07/01	MATLIN PATTERSON	046	GE	SS	100,000	26.51	n/a	n/a	5000.00 5.0
AO,	07/01	DAVIDSON KEMPNER ADVISOR	040	INCY	B	20,700	7.50	n/a	n/a	1035.00 5.0
TOTAL (AO, CXL, CRT) :										-525.00

TOTAL (Trade Date) :	190,104.11
TOTAL (AO, CXL, CRT) :	-525.00

TOTAL (RUN DATE) / NFS:	189,579.11
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MRI Securities with Trade Activity on 2-Jul.
AN, CPKI

MRI Securities without Trade Activity on 2-Jul.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 17%
YTD = 16%

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