



Daily Compliance Activity Report

Trade Date: 10/13/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
BUCK CAPITAL MGMT		ACC	C	21,000	29.17	n/a	n/a	non-brg 4.0
ADAGE CAPITAL MGMT	030	AEO	B	170,000	11.04	n/a	10-Oct	6,800.00 4.0
BUCK CAPITAL MGMT		AEO	B	20,000	10.91	n/a	10-Oct	non-brg 2.5
CADIAN CAPITAL	067	AEO	B	100,000	11.00	n/a	10-Oct	5,000.00 5.0
COUGAR TRADING	044	AEO	B	5,000	10.70	n/a	10-Oct	250.00 5.0
SAC TRADING HOWARD	038	AEO	S	150,000	11.12	n/a	10-Oct	7,500.00 5.0
VALHALLA CAPITAL LP	041	AKAM	B	30,000	15.02	n/a	n/a	900.00 3.0
BUCK CAPITAL MGMT		AMB	C	17,400	34.24	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT	001	ANN	B	70,000	16.55	n/a	8-Oct	2,800.00 4.0
BMO NESBITT BURNS	041	AN	B	50,000	8.01	25-Jul	13-Oct	2,500.00 5.0
SINCLAIR	031	APCAH	S	10	3.20	n/a	n/a	0.00 0.0
BUCK CAPITAL MGMT		APP	B	20,000	6.54	n/a	n/a	non-brg 1.0
COUGAR TRADING	044	ARG	B	15,000	36.64	13-Oct	13-Oct	750.00 5.0
BUCK CAPITAL MGMT		ARO+KF	SS	1,000	1.75	n/a	n/a	non-brg 300.0
BUCK CAPITAL MGMT		AVB	C	1,500	81.80	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		AVB	C	7,800	79.18	n/a	n/a	non-brg 4.0
PRINCIPLE CAPITAL	040	AVP	SS	70,200	32.55	10-Oct	10-Oct	2,106.00 3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SOROS	036	BA	B	93,500	43.22	n/a	n/a	3,740.00	4.0
ß BUCK CAPITAL MGMT		BBBY	C	50,000	26.85	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BBBY	C	50,000	27.52	n/a	n/a	non-brg	4.0
AVESTA CAP	229	BBY	SS	20,000	26.49	n/a	27-Jul	1,000.00	5.0
ß BUCK CAPITAL MGMT		BIG	C	30,000	24.78	29-May	9-Oct	non-brg	4.0
LEDDY	035	BIG	C	1,500	24.07	29-May	9-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	BKE	B	20,000	48.69	n/a	n/a	800.00	4.0
ß BUCK CAPITAL MGMT		BK	S	9,700	28.29	9-Oct	9-Oct	non-brg	4.0
VALHALLA CAPITAL LP	041	BMC	B	15,000	26.44	n/a	n/a	450.00	3.0
WHITE PINE CAPITAL	030	BONT	S	75,410	2.31	n/a	10-Oct	1,508.20	2.0
ß BUCK CAPITAL MGMT		BRE	C	12,700	37.70	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BRE	C	3,300	37.82	n/a	n/a	non-brg	4.0
BUCK	015	BUD	B	1,000	63.30	n/a	n/a	0.00	0.0
KORMAN	003	BWF	B	1,000	22.60	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		BXP	C	1,300	78.06	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BXP	C	1,520	76.97	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	BYI	B	20,000	19.52	n/a	n/a	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLE	077	BZ	B	1,900	0.57	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CBL	C	50,200	11.57	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		CBL	C	7,500	11.64	n/a	n/a	non-brg	4.0
IRIDIAN ASSET MGMT.	036	CHK	B	63,000	19.28	n/a	n/a	3,150.00	5.0
IRIDIAN ASSET MGMT.	036	CHL	B	1,230	50.95	n/a	n/a	61.50	5.0
ß BUCK CAPITAL MGMT		CHUX	C	25,000	5.81	n/a	n/a	non-brg	4.0
WHEELER	008	CITPRA	B	100	4.79	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CLP	C	15,100	15.33	n/a	n/a	non-brg	4.0
MENCKE	055	CNBC	S	100	8.25	n/a	n/a	0.00	0.0
PRINCIPLE CAPITAL	040	COH	SS	59,900	20.00	8-Oct	8-Oct	1,797.00	3.0
ß BUCK CAPITAL MGMT		COLM	C	10,000	37.35	n/a	n/a	non-brg	1.0
Õ Doug Rogers		CPN	S	10136	9.60	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CPT	C	11,500	39.65	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		CPT	C	15,400	40.16	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		CRL	C	600	47.14	n/a	n/a	non-brg	4.0
IRIDIAN ASSET MGMT.	036	CSCO	B	12,000	18.40	n/a	22-Mar	600.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THE BOSTON COMPANY	401	CTRN	B	6,330	13.68	n/a	n/a	253.20	4.0
ß BUCK CAPITAL MGMT		CUZ	C	10,500	21.93	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		CUZ	C	31,000	22.18	n/a	n/a	non-brg	4.0
AMATURO	018	DAVKI	S	30	7.55	n/a	n/a	0.00	0.0
AMATURO	018	DAVWI	B	40	6.30	n/a	n/a	0.00	0.0
MCCARTAN	028	DAVWI	B	10	6.15	n/a	n/a	0.00	0.0
OGORMAN	046	DDM	S	500	35.08	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		DDR	C	4,100	18.71	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DIN	SS	10,000	11.38	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DIN	SS	25,000	11.75	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		DRE	C	47,600	15.99	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DRE	C	5,900	16.74	n/a	n/a	non-brg	4.0
IRIDIAN ASSET MGMT.	036	DTV	B	30,660	22.36	n/a	4-Jan	1,533.00	5.0
IRIDIAN ASSET MGMT.	036	DVN	B	68,980	69.44	n/a	2-Oct	3,449.00	5.0
MENCKE	055	DXPE	B	100	18.30	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	EAT	B	30,000	12.81	n/a	24-Apr	1,200.00	4.0
ß BUCK CAPITAL MGMT		EDR	C	14,900	7.60	n/a	n/a	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NOKOMIS PARTNERS	031	EMKR	S	3,000	4.01	n/a	n/a	90.00	3.0
NEUBERGER BERMAN	036	EXR	B	2,600	13.31	n/a	n/a	117.00	4.5
ß BUCK CAPITAL MGMT		FCE/A	C	8,200	19.89	n/a	n/a	non-brg	4.0
SINCUTMA	031	FCEL	S	330	4.65	n/a	n/a	0.00	0.0
HEALY CIRCLE	044	FDO	B	25,000	23.93	23-Jul	9-Oct	1,250.00	5.0
LEDDY	035	FIG	B	1,700	4.97	n/a	n/a	0.00	0.0
COLUMBUS CIRCLE	036	FLO	S	60,030	28.03	n/a	n/a	2,401.20	4.0
MENCKE	055	FNM	S	100	1.23	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		FOR	S	1	13.18	n/a	3-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		FOSL	B	181,100	21.10	13-Oct	13-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		FRT	C	2,100	70.29	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		FRT	C	22,200	69.32	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		FR	C	5,700	16.34	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		FUA+LX	SS	4,000	1.59	n/a	n/a	non-brg	300.0
GAULT	063	FXP	B	1,000	86.92	n/a	n/a	0.00	0.0
MAGNETAR FINANCIAL	031	F	B	275,000	2.68	8-Oct	13-Oct	8,250.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRELLUS PARTNERS LP	028	F	S	14,470	2.48	8-Oct	13-Oct	434.10	3.0
BUCK CAPITAL MGMT	001	GCO	B	30,000	28.47	n/a	10-Jan	1,200.00	4.0
⌘ BUCK CAPITAL MGMT		GES+KF	SS	1,000	2.35	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	GES	B	70,000	28.53	n/a	n/a	2,800.00	4.0
⌘ BUCK CAPITAL MGMT		GES	B	30,000	28.63	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GES	B	32,700	28.33	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GES	B	50,000	28.73	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GES	B	70,000	28.51	n/a	n/a	non-brg	4.0
WHITE PINE CAPITAL	030	GIL	B	10,125	20.83	8-Sep	8-Oct	506.25	5.0
KORMAN	003	GIL	B	3,000	21.22	8-Sep	8-Oct	0.00	0.0
VALHALLA CAPITAL LP	041	GLBC	B	10,000	11.26	n/a	n/a	300.00	3.0
⌘ BUCK CAPITAL MGMT		GM+JM	C	663	0.07	n/a	n/a	non-brg	100.0
⌘ BUCK CAPITAL MGMT		GM+JW	C	3,114	0.05	n/a	n/a	non-brg	100.0
⌘ BUCK CAPITAL MGMT		GM	SS	100,000	6.39	10-Oct	13-Oct	non-brg	4.0
BUCK CAPITAL MGMT	001	GPI	B	27,200	13.50	10-Jun	13-Oct	1,088.00	4.0
ROBX	033	GPN	B	3,100	41.90	n/a	n/a	124.00	4.0
HARVEST MGMT	039	GPS	B	50,000	14.60	n/a	13-Oct	2,500.00	5.0
⌘ BUCK CAPITAL MGMT		GRT	C	31,200	5.66	n/a	n/a	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DSG CAPITAL	225	GR	B	5,000	33.23	13-Oct	13-Oct	250.00	5.0
NATIONAL BK OF CAN	031	GS	S	5,000	97.02	15-Sep	24-Sep	200.00	4.0
COUGAR TRADING	044	GYMB	B	10,000	29.21	11-Jul	10-Oct	500.00	5.0
B BUCK CAPITAL MGMT		HIW	C	14,900	25.21	n/a	n/a	non-brg	4.0
IRIDIAN ASSET MGMT.	036	HOT	S	30,290	23.58	n/a	n/a	1,514.50	5.0
VALHALLA CAPITAL LP	041	HPQ	B	15,000	39.89	n/a	n/a	450.00	3.0
B BUCK CAPITAL MGMT		HPY	C	700	23.81	n/a	n/a	non-brg	4.0
WAGONHOUND/NIC	048	IBKR	B	5,000	22.26	n/a	n/a	200.00	4.0
NEUBERGER BERMAN	036	IM	S	75,200	13.28	n/a	n/a	3,384.00	4.5
VALHALLA CAPITAL LP	041	INTC	B	30,000	16.17	n/a	n/a	900.00	3.0
BMO NESBITT BURNS	041	IP	B	20,000	20.95	22-Sep	22-Sep	1,000.00	5.0
B BUCK CAPITAL MGMT		IVZ	B	100,000	14.68	6-Oct	9-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		IYR	C	34,100	48.06	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		IYR	C	4,300	48.77	n/a	n/a	non-brg	4.0
COUGAR TRADING	044	JCG	B	5,000	22.00	n/a	17-Sep	250.00	5.0
SYSTEMATIC FINANCIAL MGT	035	JCG	B	6,800	19.98	n/a	17-Sep	255.00	3.8

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRELLUS PARTNERS LP	028	JCI	C	30,000	22.92	3-Oct	3-Oct	1,500.00	5.0
HUNTER GLOBAL INVESTOR	067	JCP	SS	100,000	23.10	n/a	10-Oct	5,000.00	5.0
ß BUCK CAPITAL MGMT		JOSB	S	140,000	27.68	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		JOSB	S	20,000	26.77	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		KIM	C	3,700	30.21	n/a	n/a	non-brg	4.0
MS PRINCIPAL STRATEGIES	041	KOG	S	74,700	0.81	n/a	n/a	1,494.00	2.0
ß BUCK CAPITAL MGMT		KSS	B	150,000	33.18	n/a	10-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		KSS	B	20,000	34.06	n/a	10-Oct	non-brg	4.0
ROBX	302	LAZ	B	2,760	36.80	n/a	n/a	110.40	4.0
ß BUCK CAPITAL MGMT		LEG	C	150,000	18.22	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		LEG	C	50,000	18.02	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		LEG	C	78,700	18.22	n/a	n/a	non-brg	1.0
TRUST CO/COWEN/CALF.	040	LEN	B	705,580	9.60	n/a	n/a	28,223.20	4.0
IRIDIAN ASSET MGMT.	036	LMEDIA	B	27,520	17.99	n/a	n/a	1,376.00	5.0
DURANGO INVESTMENTS	031	LRCX	B	15,000	24.69	n/a	n/a	600.00	4.0
ß BUCK CAPITAL MGMT		LRY	C	14,800	28.01	n/a	n/a	non-brg	4.0
CAMBIAR CAP	046	LTD	B	100,970	12.97	9-Oct	10-Oct	4,038.80	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KNOTT PARTNERS	044	LULU	B	100,000	18.34	n/a	n/a	4,000.00	4.0
ß BUCK CAPITAL MGMT		MAC	C	11,900	41.49	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		MAC	C	12,700	40.73	n/a	n/a	non-brg	4.0
KORMAN	003	MERPRK	B	2,000	12.35	n/a	n/a	0.00	0.0
BUCK	015	MER	B	2,000	16.68	24-Jun	10-Oct	0.00	0.0
KORMAN	003	METPRB	B	1,000	15.35	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		MFB	B	30,000	11.90	n/a	n/a	non-brg	4.0
BEAR STEARNS ASSET MGMT.	033	MHK	S	18,300	52.46	n/a	n/a	732.00	4.0
OGORMAN	046	MS	C	2,700	15.40	15-Sep	13-Oct	0.00	0.0
WHITE PINE CAPITAL	030	MTW	B	23,300	14.23	n/a	18-Aug	1,165.00	5.0
LEDDY	035	MWO	B	1,500	8.50	n/a	n/a	0.00	0.0
VALHALLA CAPITAL LP	041	NIHD	B	10,000	24.77	n/a	n/a	300.00	3.0
CATTANI	041	NIHD	S	200	23.71	n/a	n/a	0.00	0.0
VALHALLA CAPITAL LP	041	NVDA	B	25,000	7.93	n/a	n/a	750.00	3.0
ß BUCK CAPITAL MGMT		NWY	C	50,000	4.29	n/a	13-Oct	non-brg	3.0
NEUBERGER BERMAN	036	OFC	B	27,900	31.49	n/a	n/a	1,255.50	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
VALHALLA CAPITAL LP	041	ORCL	B	10,000	17.70	n/a	n/a	300.00	3.0
⌘ BUCK CAPITAL MGMT		O	C	17,900	23.49	n/a	n/a	non-brg	4.0
LEDDY	035	PBR	B	400	29.75	n/a	n/a	0.00	0.0
LEDDY	035	PCL	B	800	43.97	n/a	9-Oct	0.00	0.0
ROBX	302	PCP	B	1,670	60.83	n/a	n/a	66.80	4.0
EATON VANCE MGMT	039	PDE	B	172,000	17.14	n/a	n/a	5,160.00	3.0
IRIDIAN ASSET MGMT.	036	PDLI	B	56,330	8.87	n/a	n/a	2,816.50	5.0
⌘ BUCK CAPITAL MGMT		PKY	C	9,900	26.12	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PLD	C	14,900	27.13	n/a	n/a	non-brg	4.0
BEAR STEARNS ASSET MGMT.	033	POT	S	19,100	105.28	n/a	n/a	764.00	4.0
⌘ BUCK CAPITAL MGMT		PPS	C	9,000	23.86	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PSB	C	8,000	45.72	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PSS	B	20,000	15.13	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PVH	B	118,300	32.02	8-Oct	8-Oct	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PVH	B	20,000	32.07	8-Oct	8-Oct	non-brg	2.5
⌘ BUCK CAPITAL MGMT		QUK+KD	SS	100	5.60	n/a	n/a	non-brg	300.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		QUK+KE	SS	200	4.50	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		QUK+WO	SS	400	4.20	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		REG	C	10,300	49.78	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		REG	C	2,500	49.75	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	RL	SS	40,000	52.48	n/a	8-Oct	1,600.00	4.0
ß BUCK CAPITAL MGMT		RTH	C	145,000	73.99	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		RTH	C	65,800	74.33	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		RTH	C	69,700	74.45	n/a	n/a	non-brg	1.0
KAICHER	064	SBAC	S	1,000	18.05	n/a	n/a	0.00	0.0
AMATURO	018	SDS	B	300	100.34	n/a	n/a	0.00	0.0
THE BOSTON COMPANY	401	SHOO	B	19,070	20.27	n/a	n/a	762.80	4.0
ß BUCK CAPITAL MGMT		SKX+KC	SS	2,000	0.91	n/a	n/a	non-brg	100.0
THE BOSTON COMPANY	401	SKX	B	111,520	13.72	n/a	13-Mar	4,460.80	4.0
LEDDY	035	SLB	B	300	60.87	n/a	n/a	0.00	0.0
PAKLER	029	SMN	S	13	70.81	n/a	n/a	0.00	0.0
GAULT	063	SOJJI	S	50	1.00	n/a	n/a	0.00	0.0
VALHALLA CAPITAL LP	041	SPSS	B	10,000	27.12	n/a	n/a	300.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
OGORMAN	046	SSO	S	400	32.10	n/a	n/a	0.00	0.0
KERN	050	SSO	S	1,000	32.00	n/a	n/a	0.00	0.0
GAULT	063	SSO	S	3,000	32.00	n/a	n/a	0.00	0.0
DEMARTINI	065	SSO	S	500	32.04	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SSS	C	12,100	35.28	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SUI	C	14,900	12.45	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SUMRW	S	6,400	0.11	n/a	n/a	non-brg	1.0
HUNTER GLOBAL INVESTOR	067	SVU	SS	70,882	19.01	n/a	n/a	2,835.28	4.0
SINCLAIR	031	SWGXL	B	30	5.80	n/a	n/a	0.00	0.0
SINCLAIR	031	SWNLF	S	30	3.00	n/a	n/a	0.00	0.0
KERN	050	SWNVE	B	20	1.10	n/a	n/a	0.00	0.0
KAICHER	064	SWN	S	500	27.16	n/a	2-Oct	0.00	0.0
SINCLAIR	031	SZCXB	B	15	3.40	n/a	n/a	0.00	0.0
SINCLAIR	031	SZCXB	S	35	3.00	n/a	n/a	0.00	0.0
TANG	058	TCL	S	250	18.90	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		TCO	C	26,800	36.95	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		TCO	C	3,000	36.53	n/a	n/a	non-brg	4.0
PRINCIPLE CAPITAL	040	TIF	SS	97,400	30.72	n/a	10-Oct	2,922.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		TJX	B	20,000	26.85	11-Aug	10-Oct	non-brg	4.0
BUCK CAPITAL MGMT		TRLG	B	30,000	19.23	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		TWB	B	50,000	8.70	n/a	1-Oct	non-brg	4.0
BUCK CAPITAL MGMT		UDR	C	6,400	18.95	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		UDR	C	8,400	18.74	n/a	n/a	non-brg	4.0
BALYASNY ASSET MGMT	044	UNM	S	30,000	18.80	n/a	n/a	1,500.00	5.0
WHITE PINE CAPITAL	030	UNT	B	3,250	34.40	n/a	2-Oct	162.50	5.0
BUCK CAPITAL MGMT		URBN	B	20,000	25.38	14-Aug	1-Oct	non-brg	2.5
BUCK CAPITAL MGMT		URBN	B	69,600	25.45	14-Aug	1-Oct	non-brg	4.0
BUCK CAPITAL MGMT		URBN	B	80,000	25.30	14-Aug	1-Oct	non-brg	4.0
BUCK CAPITAL MGMT		URQ+KY	SS	3,000	1.93	n/a	n/a	non-brg	300.0
OGORMAN	046	UYG	S	3,000	10.23	n/a	n/a	0.00	0.0
LEDDY	035	VC	B	6,700	1.39	n/a	31-Jul	0.00	0.0
BUCK CAPITAL MGMT		VOW GR	C	237	462.17	n/a	n/a	non-brg	92.4
BUCK CAPITAL MGMT		VZ	C	157,100	27.24	n/a	4-Jan	non-brg	4.0
KORMAN	003	WBPRC	B	300	14.95	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	WDR	B	18,400	17.02	15-Jul	9-Oct	920.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		WMT+JK	SS	1,000	0.76	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		WMT+JX	SS	1,000	1.58	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		WMT+KK	SS	2,000	2.72	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		WMT	B	150,000	52.25	10-Oct	10-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		WMT	B	420,000	52.98	10-Oct	10-Oct	non-brg	4.0
CAXTON PART	040	WMT	B	142,453	52.95	10-Oct	10-Oct	4,985.86	3.5
ß BUCK CAPITAL MGMT		WRC+KG	SS	1,000	2.13	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		WRC+KH	SS	2,000	0.95	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		WRC	B	40,000	32.97	8-Oct	8-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		WRI	C	4,500	26.07	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		WRI	C	44,300	26.37	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		WSM	SS	50,000	12.85	n/a	n/a	non-brg	1.0
POST ROAD CAP	045	WSM	B	3,700	12.87	n/a	n/a	111.00	3.0
BMO NESBITT BURNS	041	WY	B	20,000	47.81	n/a	11-Sep	1,000.00	5.0
BUCK	015	WY	B	1,000	46.95	n/a	11-Sep	0.00	0.0
ß BUCK CAPITAL MGMT		XLF	C	135,000	15.45	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		XRT	C	197,900	24.78	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		XRT	C	421,300	24.70	n/a	n/a	non-brg	1.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		XRT	C	435,000	24.63	n/a	n/a	non-brg	2.0
CATTANI	041	YHOO	S	200	12.89	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		YSI	C	14,900	8.43	n/a	n/a	non-brg	4.0
KORMAN	003	ZOLT	S	410	12.09	n/a	n/a	0.00	0.0
TOTAL (Trade Date):							160,124.39		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/10	BRENCOURT	028	AN	B	113,750	8.12	25-Jul	13-Oct	3412.50 3.0
AO,CXL	10/10	BRENCOURT	028	AN	B	113,750	8.12	25-Jul	13-Oct	5687.50 5.0
AO,CRT	10/09	BUCK CAPITAL MGMT	001	GES	B	50,000	27.23	n/a	n/a	2000.00 4.0
AO,CXL	10/09	BUCK CAPITAL MGMT	001	GES	B	40,000	27.23	n/a	n/a	1600.00 4.0
AO,	10/10	IRIDIAN ASSET MGMT.	036	HOT	S	170,260	20.62	n/a	n/a	6810.40 4.0
AO,CRT	10/10	MS PRINCIPAL STRATEGIES	041	KOG	S	232,300	0.65	n/a	n/a	11615.00 5.0
AO,CXL	10/10	MS PRINCIPAL STRATEGIES	041	KOG	S	232,300	0.65	n/a	n/a	4646.00 2.0
AO,CRT	10/10	SOLARIS INV MGMT	029	MYL	S	130,000	6.77	30-May	10-Oct	5200.00 4.0
AO,CXL	10/10	SOLARIS INV MGMT	029	MYL	S	130,000	6.77	30-May	10-Oct	6500.00 5.0
TOTAL (AO, CXL, CRT) :										10,604.40

TOTAL (Trade Date) :	160,124.39
TOTAL (AO, CXL, CRT) :	10,604.40

TOTAL (RUN DATE) / NFS :	170,728.79
---------------------------------	-------------------

MRI Securities with Trade Activity on 13-Oct. ARG, FOSL, GR
--

MRI Securities without Trade Activity on 13-Oct.

BKC, CMG, DRI, MCD

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

T-Date = 6%

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