

## **Daily Compliance Activity Report** Trade Date: 07/22/2008

## **POTENTIAL ANALYST TRADE VIOLATIONS: 1**

| _ |                        |      |        |     |         | 10.   | LEIVITZKE Z | MALLIOI  | TICIDE VIO | LITTONS: |
|---|------------------------|------|--------|-----|---------|-------|-------------|----------|------------|----------|
|   | Account                | RR # | Symbol | B/S | Shares  | Price | MRI         | Research | Comm.      | ¢/Shr.   |
|   | APEX CAPITAL MGMT.     | 091  | AEO    | S   | 500,000 | 14.16 | 6-Mar       | 16-Jul   | 25,000.00  | 5.0      |
|   | BUCK CAPITAL MGMT      | 001  | AEO    | В   | 120,000 | 14.38 | 6-Mar       | 16-Jul   | 4,800.00   | 4.0      |
|   | OGORMAN                | 046  | AEO    | S   | 1,000   | 14.00 | 6-Mar       | 16-Jul   | 0.00       | 0.0      |
|   | CHARTER OAK            | 033  | AFFY   | S   | 9,171   | 19.82 | n/a         | n/a      | 458.55     | 5.0      |
|   | COLUMBIA PARTNERS      | 028  | AGN    | S   | 77,000  | 51.84 | n/a         | 22-Jul   | 3,080.00   | 4.0      |
|   | ASCEND PARTNERS        | 033  | AG     | В   | 50,000  | 52.82 | n/a         | 23-May   | 2,500.00   | 5.0      |
|   | BALYASNY ASSET MGMT    | 044  | ALV    | В   | 20,000  | 40.57 | 17-Apr      | 17-Jul   | 1,000.00   | 5.0      |
| ß | BUCK CAPITAL MGMT      |      | ALV    | В   | 5,000   | 39.43 | 17-Apr      | 17-Jul   | non-brg    | 4.0      |
| ß | BUCK CAPITAL MGMT      |      | ALV    | В   | 90,000  | 40.04 | 17-Apr      | 17-Jul   | non-brg    | 4.0      |
|   | IRIDIAN ASSET MGMT.    | 036  | AMGN   | В   | 16,830  | 54.41 | n/a         | 26-Jan   | 841.50     | 5.0      |
| ß | BUCK CAPITAL MGMT      |      | AMG    | s   | 10,000  | 78.85 | 15-Jul      | 22-Jul   | non-brg    | 4.0      |
|   | PRIMECAP MGMT          | 048  | AMV    | S   | 70,000  | 9.25  | n/a         | n/a      | 3,500.00   | 5.0      |
|   | COUGAR TRADING         | 044  | ANF    | В   | 5,000   | 59.65 | 10-Jul      | 11-Jul   | 250.00     | 5.0      |
|   | BUCK CAPITAL MGMT      | 001  | ANN    | SS  | 30,000  | 22.57 | 14-Mar      | 11-Jul   | 1,200.00   | 4.0      |
|   | SWISS RE FINANCIAL SER | 035  | AN     | SS  | 65,000  | 8.85  | 2-Jul       | 17-Jul   | 2,600.00   | 4.0      |
| ß | BUCK CAPITAL MGMT      |      | APP    | S   | 10,000  | 6.61  | n/a         | n/a      | non-brg    | 1.0      |

|   | Account                  | RR # | Symbol | в/: | s  | Shares  | Price  | MRI    | Research | Comm.    | ¢/Shr. |
|---|--------------------------|------|--------|-----|----|---------|--------|--------|----------|----------|--------|
| ß | BUCK CAPITAL MGMT        |      | APP    |     | S  | 17,700  | 6.64   | n/a    | n/a      | non-brg  | 4.0    |
| ß | BUCK CAPITAL MGMT        |      | AXE    |     | S  | 40,000  | 63.90  | 28-Mar | 22-Jul   | non-brg  | 4.0    |
|   | EPOCH INV MGMT           | 030  | AXP    |     | S  | 125,600 | 37.20  | n/a    | 22-Jul   | 5,024.00 | 4.0    |
|   | RHO CAPITAL MGMT         | 041  | BAC    | В   |    | 500     | 30.59  | n/a    | 22-Jul   | 20.00    | 4.0    |
|   | EFSTATHIOU               | 044  | BAC    |     | S  | 600     | 32.27  | n/a    | 22-Jul   | 0.00     | 0.0    |
|   | JP MORGAN VENTURES       | 046  | BBBY   |     | SS | 10,000  | 29.16  | n/a    | n/a      | 500.00   | 5.0    |
|   | PHILADELPHIA FINANCIAL   | 033  | BEN    | В   |    | 22,214  | 89.23  | 15-Jul | 22-Jul   | 888.56   | 4.0    |
|   | COLUMBIA PARTNERS        | 028  | BHI    | С   |    | 11,998  | 86.94  | n/a    | n/a      | 479.92   | 4.0    |
|   | SIGMA CAPITAL ASSOCIATES | 237  | ВЈ     | В   |    | 5,000   | 40.76  | n/a    | 27-Jul   | 250.00   | 5.0    |
| ß | BUCK CAPITAL MGMT        |      | BLK    |     | SS | 10,000  | 209.47 | n/a    | 22-Ju1   | non-brg  | 1.0    |
|   | SANDLER O'NEILL ASSET    | 031  | BLK    |     | SS | 10,000  | 206.28 | n/a    | 22-Jul   | 500.00   | 5.0    |
|   | BAIRD INVESTMENT         | 031  | BUCY   | В   |    | 4,375   | 60.71  | 4-Jun  | 4-Jun    | 218.75   | 5.0    |
|   | BUCK CAPITAL MGMT        | 001  | BWA    |     | SS | 40,000  | 41.21  | 10-Jun | 17-Jul   | 1,600.00 | 4.0    |
| ß | BUCK CAPITAL MGMT        |      | BWA    |     | SS | 50,000  | 41.10  | 10-Jun | 17-Jul   | non-brg  | 1.0    |
|   | BULL PATH CAPITAL        | 044  | BYI    | В   |    | 30,000  | 31.25  | n/a    | n/a      | 1,500.00 | 5.0    |
| ß | BUCK CAPITAL MGMT        |      | CAB    | С   |    | 40,000  | 11.98  | n/a    | n/a      | non-brg  | 4.0    |
| ß | BUCK CAPITAL MGMT        |      | CAT    | С   |    | 10,000  | 75.34  | n/a    | 23-May   | non-brg  | 1.0    |

|   | Account           | RR # | Symbol | B/S | Shares | Price | MRI    | Research | Comm.    | ¢/Shr. |
|---|-------------------|------|--------|-----|--------|-------|--------|----------|----------|--------|
| ß | BUCK CAPITAL MGMT |      | CAT    | SS  | 10,000 | 74.97 | n/a    | 23-May   | non-brg  | 1.0    |
|   | MCCARTAN          | 028  | CAT    | SS  | 100    | 74.76 | n/a    | 23-May   | 0.00     | 0.0    |
|   | BARR              | 096  | СНК    | s   | 200    | 52.30 | n/a    | n/a      | 0.00     | 0.0    |
| ß | BUCK CAPITAL MGMT |      | CHUX   | SS  | 29,000 | 10.45 | n/a    | n/a      | non-brg  | 2.5    |
| ß | BUCK CAPITAL MGMT |      | CHUX   | SS  | 6,000  | 10.47 | n/a    | n/a      | non-brg  | 4.0    |
|   | COUGAR TRADING    | 044  | CLMS   | В   | 10,000 | 17.94 | 18-Jul | 22-Jul   | 500.00   | 5.0    |
|   | COUGAR TRADING    | 044  | CLMS   | SS  | 10,000 | 16.51 | 18-Jul | 22-Jul   | 500.00   | 5.0    |
| ß | BUCK CAPITAL MGMT |      | CMG    | С   | 30,000 | 81.54 | 16-Jul | 16-Jul   | non-brg  | 4.0    |
|   | COUGAR TRADING    | 044  | СОН    | S   | 5,000  | 26.89 | 4-Apr  | 18-Jul   | 250.00   | 5.0    |
| ß | BUCK CAPITAL MGMT |      | COLM   | С   | 10,000 | 40.32 | n/a    | n/a      | non-brg  | 4.0    |
| ß | BUCK CAPITAL MGMT |      | COLM   | SS  | 20,000 | 37.95 | n/a    | n/a      | non-brg  | 4.0    |
|   | PERRY PARTNERS    | 041  | COST   | S   | 84,000 | 71.18 | n/a    | 27-Jul   | 4,200.00 | 5.0    |
|   | 1798 CAPITAL MGMT | 040  | COV    | S   | 10,000 | 50.17 | n/a    | n/a      | 500.00   | 5.0    |
| ß | BUCK CAPITAL MGMT |      | CPKI   | SS  | 35,000 | 12.61 | 10-Jul | 10-Jul   | non-brg  | 4.0    |
| ß | BUCK CAPITAL MGMT |      | CRI    | В   | 25,000 | 14.68 | n/a    | n/a      | non-brg  | 4.0    |
| ß | BUCK CAPITAL MGMT |      | CRI    | В   | 75,000 | 14.37 | n/a    | n/a      | non-brg  | 2.0    |
|   | 1798 CAPITAL MGMT | 040  | CRL    | S   | 10,000 | 65.19 | n/a    | n/a      | 500.00   | 5.0    |
|   | BUCK              | 015  | С      | С   | 2,000  | 20.11 | 19-Jun | 21-Jul   | 0.00     | 0.0    |

| Account                  | RR # | Symbol | B/S | Shares  | Price | MRI    | Research | Comm.    | ¢/Shr. |
|--------------------------|------|--------|-----|---------|-------|--------|----------|----------|--------|
| KAICHER                  | 064  | С      | S   | 2,000   | 20.20 | 19-Jun | 21-Jul   | 0.00     | 0.0    |
| CATAPULT                 | 040  | DDS    | В   | 75,000  | 10.50 | n/a    | n/a      | 3,000.00 | 4.0    |
| MERRILL ASSET            | 032  | DFT    | S   | 25,400  | 17.50 | n/a    | n/a      | 1,143.00 | 4.5    |
| BUCK CAPITAL MGMT        | 001  | DKS    | В   | 20,000  | 17.14 | 7-Jul  | 9-Jul    | 800.00   | 4.0    |
| BUCK CAPITAL MGMT        | 001  | DPZ    | SS  | 30,000  | 11.84 | n/a    | 24-Apr   | 1,200.00 | 4.0    |
| IRIDIAN ASSET MGMT.      | 036  | DRC    | В   | 23,340  | 35.97 | n/a    | n/a      | 1,167.00 | 5.0    |
| BUCK                     | 015  | EFA    | S   | 1,400   | 67.01 | n/a    | n/a      | 0.00     | 0.0    |
| KORMAN                   | 003  | EL     | С   | 2,000   | 43.51 | 7-May  | 24-Jun   | 0.00     | 0.0    |
| BENCHMARK                | 028  | EV     | SS  | 10,000  | 33.64 | 15-Jul | 22-Jul   | 500.00   | 5.0    |
| BUCK CAPITAL MGMT        |      | EV     | SS  | 20,000  | 33.23 | 15-Jul | 22-Jul   | non-brg  | 1.0    |
| COUGAR TRADING           | 044  | EV     | В   | 10,000  | 34.51 | 15-Jul | 22-Jul   | 500.00   | 5.0    |
| COUGAR TRADING           | 044  | EV     | SS  | 10,000  | 33.74 | 15-Jul | 22-Jul   | 500.00   | 5.0    |
| HUNTER GLOBAL INVESTOR   | 067  | EV     | В   | 124,600 | 34.13 | 15-Jul | 22-Jul   | 6,230.00 | 5.0    |
| CENTURION GLOBAL MGMT LL | 041  | EWG    | В   | 25,000  | 29.76 | n/a    | n/a      | 750.00   | 3.0    |
| J L F ASSET MGMT         | 039  | FDO    | В   | 71,200  | 23.56 | 30-Jun | 11-Jul   | 2,848.00 | 4.0    |
| BALYASNY ASSET MGMT      | 044  | FL     | В   | 50,000  | 13.87 | 2-Apr  | 9-Jul    | 2,500.00 | 5.0    |
| BUCK CAPITAL MGMT        |      | FL     | S   | 30,000  | 14.05 | 2-Apr  | 9-Jul    | non-brg  | 4.0    |
| COUGAR TRADING           | 044  | FOSL   | S   | 20,000  | 27.63 | n/a    | 9-Jul    | 1,000.00 | 5.0    |

|   | Account             | RR # | Symbol | B/S | Shares | Price | MRI    | Research | Comm.    | ¢/Shr. |
|---|---------------------|------|--------|-----|--------|-------|--------|----------|----------|--------|
| В | BUCK CAPITAL MGMT   |      | FRED   | С   | 10,000 | 12.67 | 27-Mar | 27-Mar   | non-brg  | 1.0    |
|   | KENNEDY CAPITAL     | 046  | FSS    | В   | 2,000  | 12.00 | n/a    | n/a      | 80.00    | 4.0    |
|   | BUCK CAPITAL MGMT   | 001  | GAP    | В   | 70,000 | 17.66 | n/a    | n/a      | 2,800.00 | 4.0    |
|   | BARR                | 096  | GDX    | s   | 1,400  | 47.05 | n/a    | n/a      | 0.00     | 0.0    |
|   | BUCK CAPITAL MGMT   | 001  | GES    | В   | 90,000 | 32.67 | n/a    | n/a      | 3,600.00 | 4.0    |
| ß | BUCK CAPITAL MGMT   |      | GIL    | В   | 30,000 | 25.47 | 30-Apr | 18-Jul   | non-brg  | 4.0    |
| ß | BUCK CAPITAL MGMT   |      | GM+XB  | С   | 2,000  | 1.86  | n/a    | n/a      | non-brg  | 150.0  |
|   | KERN                | 050  | GMTS   | В   | 25     | 1.03  | n/a    | n/a      | 0.00     | 0.0    |
|   | KERN                | 050  | GMTS   | S   | 25     | 0.75  | n/a    | n/a      | 0.00     | 0.0    |
|   | TRELLUS PARTNERS LP | 028  | GPI    | SS  | 30,000 | 17.83 | 10-Jun | 17-Jul   | 1,500.00 | 5.0    |
|   | COUGAR TRADING      | 044  | GPS    | S   | 30,000 | 16.31 | n/a    | 11-Jul   | 1,500.00 | 5.0    |
| ß | BUCK CAPITAL MGMT   |      | GYMB   | S   | 20,000 | 38.77 | 11-Jul | 11-Jul   | non-brg  | 4.0    |
|   | COUGAR TRADING      | 044  | GYMB   | S   | 10,000 | 38.85 | 11-Jul | 11-Jul   | 500.00   | 5.0    |
|   | BUCK CAPITAL MGMT   | 001  | HAS    | SS  | 50,000 | 37.04 | n/a    | n/a      | 2,000.00 | 4.0    |
| ß | BUCK CAPITAL MGMT   |      | нві    | В   | 20,000 | 26.41 | n/a    | n/a      | non-brg  | 4.0    |
| ß | BUCK CAPITAL MGMT   |      | HSC    | С   | 24,700 | 53.61 | 23-Apr | 21-Jul   | non-brg  | 4.0    |

|   | Account                | RR # | Symbol | B/S | Shares  | Price | MRI    | Research       | Comm     | .¢/Shr. |
|---|------------------------|------|--------|-----|---------|-------|--------|----------------|----------|---------|
| ß | BUCK CAPITAL MGMT      |      | ICON   | В   | 40,000  | 12.07 | n/a    | n/a            | non-brg  | 4.0     |
|   | RHO CAPITAL MGMT       | 041  | INP    | В   | 900     | 58.75 | n/a    | n/a            | 36.00    | 4.0     |
|   | BMO NESBITT BURNS      | 041  | IP     | В   | 25,000  | 23.50 | 16-Jul | 16-Jul         | 1,250.00 | 5.0     |
|   | SCOPUS FUND            | 041  | IP     | В   | 50,000  | 23.44 | 16-Jul | 16-Jul         | 2,500.00 | 5.0     |
|   | STELLIAM INV ADV       | 040  | IP     | В   | 50,000  | 23.42 | 16-Jul | 16-Jul         | 2,500.00 | 5.0     |
|   | WASHINGTON ASSET       | 048  | IP     | В   | 12,000  | 23.42 | 16-Jul | 16-Jul         | 600.00   | 5.0     |
| a | BUCK CAPITAL MGMT      |      | IVZ    | S   | 55,000  | 23.38 | 15-Jul | 22-Jul         | non-brg  | 4.0     |
| a | BUCK CAPITAL MGMT      |      | JCG+IF | С   | 624     | 4.35  | n/a    | n/a            | non-brg  | 300.0   |
| a | BUCK CAPITAL MGMT      |      | JCG+IZ | С   | 624     | 3.00  | n/a    | n/a            | non-brg  | 300.0   |
|   | BUCK CAPITAL MGMT      | 001  | JCG    | s   | 27,100  | 31.20 | n/a    | 30-May         | 1,084.00 | 4.0     |
| ß | BUCK CAPITAL MGMT      |      | JCG    | S   | 170,000 | 30.86 | n/a    | 30- <b>May</b> | non-brg  | 4.0     |
|   | COUGAR TRADING         | 044  | JCG    | В   | 5,000   | 32.02 | n/a    | 30-May         | 250.00   | 5.0     |
|   | COUGAR TRADING         | 044  | JCG    | SS  | 5,000   | 30.01 | n/a    | 30-May         | 250.00   | 5.0     |
|   | LEDDY                  | 035  | JCG    | S   | 400     | 30.47 | n/a    | 30-May         | 0.00     | 0.0     |
|   | CRAMER ROSENTHAL/SCOTT | 012  | JCP    | В   | 130,300 | 30.99 | n/a    | 11-Jul         | 5,212.00 | 4.0     |
| ß | BUCK CAPITAL MGMT      |      | JNS    | s   | 56,000  | 24.99 | 15-Jul | 22-Jul         | non-brg  | 4.0     |
| ß | BUCK CAPITAL MGMT      |      | JOSB   | В   | 30,000  | 23.51 | n/a    | n/a            | non-brg  | 4.0     |
| ß | BUCK CAPITAL MGMT      |      | JPM    | С   | 49,300  | 38.98 | 8-May  | 21-Jul         | non-brg  | 4.0     |
|   | BUCK CAPITAL MGMT      | 001  | JWN    | SS  | 60,000  | 28.84 | 10-Jul | 11-Jul         | 2,400.00 | 4.0     |

|   | Account                  | RR # | Symbol | B/S | Shares | Price  | MRI    | Research | Comm.    | Shr. |
|---|--------------------------|------|--------|-----|--------|--------|--------|----------|----------|------|
| ß | BUCK CAPITAL MGMT        |      | KMT    | С   | 25,000 | 33.21  | n/a    | 3-Jun    | non-brg  | 4.0  |
|   | SIGMA CAPITAL ASSOCIATES | 237  | KO     | В   | 5,000  | 51.25  | n/a    | n/a      | 250.00   | 5.0  |
|   | BARR                     | 096  | KRE    | С   | 2,500  | 28.45  | n/a    | n/a      | 0.00     | 0.0  |
|   | COUGAR TRADING           | 044  | KSS    | В   | 10,000 | 41.73  | n/a    | 17-Jul   | 500.00   | 5.0  |
|   | COUGAR TRADING           | 044  | KSS    | S   | 15,000 | 41.61  | n/a    | 17-Jul   | 750.00   | 5.0  |
|   | SIGMA CAPITAL ASSOCIATES | 237  | KSS    | В   | 30,000 | 42.06  | n/a    | 17-Jul   | 1,500.00 | 5.0  |
|   | LEDDY                    | 035  | LEH    | В   | 400    | 20.30  | 9-Jun  | 14-Jul   | 0.00     | 0.0  |
|   | BARR                     | 096  | LEN    | С   | 1,500  | 12.30  | n/a    | n/a      | 0.00     | 0.0  |
|   | BUCK CAPITAL MGMT        | 001  | LM     | S   | 20,000 | 31.95  | 1-Jul  | 22-Jul   | 800.00   | 4.0  |
|   | COUGAR TRADING           | 044  | MA     | В   | 5,000  | 266.03 | 16-Jul | 16-Jul   | 250.00   | 5.0  |
| ß | BUCK CAPITAL MGMT        |      | MCD    | s   | 20,000 | 59.62  | 9–Jun  | 14-Jul   | non-brg  | 4.0  |
|   | TRIVIUM CAP MGMT         | 251  | MKSI   | SS  | 25,000 | 24.73  | n/a    | n/a      | 1,000.00 | 4.0  |
|   | CHARTER OAK              | 033  | MRT    | S   | 21,388 | 5.77   | n/a    | n/a      | 1,069.40 | 5.0  |
|   | BARR                     | 096  | MSCS   | С   | 2,000  | 12.23  | n/a    | n/a      | 0.00     | 0.0  |
|   | COUGAR TRADING           | 044  | М      | S   | 35,000 | 18.12  | 14-Jul | 14-Jul   | 1,750.00 | 5.0  |
|   | BARR                     | 096  | NVTL   | S   | 1,600  | 10.48  | n/a    | n/a      | 0.00     | 0.0  |

|   | Account                 | RR # | Symbol | B/S | Shares          | Price  | MRI    | Research | Comm.    | \$/Shr. |
|---|-------------------------|------|--------|-----|-----------------|--------|--------|----------|----------|---------|
| ß | BUCK CAPITAL MGMT       |      | OIH    | SS  | 35,000          | 209.23 | n/a    | n/a      | non-brg  | 2.0     |
|   | BUCK CAPITAL MGMT       | 001  | ОХМ    | В   | 10,000          | 22.42  | n/a    | n/a      | 400.00   | 4.0     |
|   | BARR                    | 096  | PDFS   | S   | 600             | 5.07   | n/a    | n/a      | 0.00     | 0.0     |
| ß | BUCK CAPITAL MGMT       |      | PERY   | S   | 5,000           | 21.14  | n/a    | n/a      | non-brg  | 2.5     |
|   | MS PRINCIPAL STRATEGIES | 041  | PFS    | S   | 15 <b>,</b> 999 | 14.81  | n/a    | n/a      | 799.95   | 5.0     |
|   | BACKBAY                 | 041  | PKG    | S   | 25,000          | 25.68  | 22-Jul | 22-Jul   | 1,250.00 | 5.0     |
|   | BMO NESBITT BURNS       | 041  | PKG    | S   | 50,000          | 25.63  | 22-Jul | 22-Jul   | 2,500.00 | 5.0     |
|   | CARLYLE BLUE WAVE PR MG | 224  | PKG    | S   | 12,800          | 25.76  | 22-Jul | 22-Jul   | 640.00   | 5.0     |
|   | COUGAR TRADING          | 044  | PKG    | S   | 15,000          | 25.59  | 22-Jul | 22-Jul   | 750.00   | 5.0     |
|   | CSFB GLOBAL PROPRIETARY | 041  | PKG    | S   | 95 <b>,</b> 226 | 25.61  | 22-Jul | 22-Jul   | 4,761.30 | 5.0     |
|   | TRELLUS PARTNERS LP     | 028  | PKG    | S   | 10,000          | 25.66  | 22-Jul | 22-Jul   | 500.00   | 5.0     |
|   | AAD CAPITAL             | 048  | PLCE   | SS  | 60,000          | 40.32  | 23-Jun | 17-Jul   | 2,400.00 | 4.0     |
| ß | BUCK CAPITAL MGMT       |      | PLCE   | S   | 20,000          | 38.40  | 23-Jun | 17-Jul   | non-brg  | 4.0     |
|   | HUNTER GLOBAL INVESTOR  | 067  | PNC    | SS  | 93,000          | 68.11  | n/a    | n/a      | 4,650.00 | 5.0     |
|   | COUGAR TRADING          | 044  | PSUN   | S   | 10,000          | 7.98   | n/a    | 11-Jul   | 500.00   | 5.0     |
|   | BUCK CAPITAL MGMT       | 001  | PVH    | S   | 25,000          | 34.93  | 5-May  | 18-Jul   | 1,000.00 | 4.0     |
|   | AVESTA CAP              | 229  | PX     | В   | 25 <b>,</b> 000 | 91.92  | n/a    | 23-Jun   | 1,250.00 | 5.0     |
| ß | BUCK CAPITAL MGMT       |      | RCL    | В   | 5,000           | 22.80  | 25-Apr | 25-Apr   | non-brg  | 2.5     |

| Account                | RR #    | Symbol | B/S | Shares  | Price  | MRI    | Research | Comm.     | ¢/Shr. |
|------------------------|---------|--------|-----|---------|--------|--------|----------|-----------|--------|
| BUCK CAPITAL MGMT      |         | RCL    | S   | 5,000   | 26.05  | 25-Apr | 25-Apr   | non-brg   | 1.0    |
| BARR                   | 096     | RIMM   | С   | 400     | 111.72 | n/a    | n/a      | 0.00      | 0.0    |
| COUGAR TRADING         | 044     | RL     | В   | 5,000   | 63.05  | 7-Feb  | 29-May   | 250.00    | 5.0    |
| COUGAR TRADING         | 044     | RL     | S   | 6,000   | 62.80  | 7-Feb  | 29-May   | 300.00    | 5.0    |
| SIGMA CAPITAL ASSOCIAT | TES 237 | RL     | S   | 5,000   | 63.36  | 7-Feb  | 29-May   | 250.00    | 5.0    |
| BUCK                   | 015     | RYN    | S   | 1,000   | 46.07  | 23-Apr | 11-Jul   | 0.00      | 0.0    |
| ARIENCE CAPITAL        | 036     | SGP    | В   | 329,000 | 19.58  | n/a    | n/a      | 16,450.00 | 5.0    |
| VENTANA CAPITAL        | 060     | SGP    | S   | 10,000  | 19.57  | n/a    | n/a      | 300.00    | 3.0    |
| BUCK CAPITAL MGMT      |         | SKF    | В   | 33,700  | 122.21 | n/a    | n/a      | non-brg   | 2.0    |
| BUCK CAPITAL MGMT      |         | SKF    | S   | 31,200  | 144.86 | n/a    | n/a      | non-brg   | 2.0    |
| ZOLIDIS                | 011     | SKX    | SS  | 1,000   | 23.07  | n/a    | 13-Mar   | 0.00      | 0.0    |
| виск                   | 015     | SPY    | В   | 200     | 125.89 | n/a    | n/a      | 0.00      | 0.0    |
| COUGAR TRADING         | 044     | SSO    | В   | 5,000   | 58.84  | n/a    | n/a      | 250.00    | 5.0    |
| RHO CAPITAL MGMT       | 041     | STP    | SS  | 500     | 35.25  | n/a    | n/a      | 20.00     | 4.0    |
| MS PRINCIPAL STRATEGIE | ES 041  | STT    | S   | 12,500  | 70.60  | n/a    | n/a      | 625.00    | 5.0    |
| PRINCIPLE CAPITAL      | 040     | STZ    | S   | 54,400  | 22.00  | n/a    | n/a      | 1,632.00  | 3.0    |
| BUCK CAPITAL MGMT      |         | SUMR   | В   | 23,200  | 4.14   | n/a    | n/a      | non-brg   | 2.5    |
| KAICHER                | 064     | SWN    | В   | 1,000   | 38.53  | 20-Mar | 17-Jul   | 0.00      | 0.0    |

|   | Account                | RR # | Symbol | B/S | Shares  | Price | MRI    | Research | Comm.¢    | :/Shr. |
|---|------------------------|------|--------|-----|---------|-------|--------|----------|-----------|--------|
|   | GOLD SACHS SPECIAL SIT | 030  | TEN    | SS  | 115,000 | 14.23 | n/a    | n/a      | 5,750.00  | 5.0    |
|   | MCCARTAN               | 028  | TEX    | В   | 100     | 48.59 | n/a    | 10-Jul   | 0.00      | 0.0    |
| ß | BUCK CAPITAL MGMT      |      | TGT    | SS  | 20,000  | 44.93 | n/a    | 16-Jul   | non-brg   | 4.0    |
|   | PERRY PARTNERS         | 041  | TGT    | В   | 100,500 | 45.46 | n/a    | 16-Jul   | 5,025.00  | 5.0    |
|   | VIKING GLOBAL          | 030  | TGT    | SS  | 446,000 | 44.66 | n/a    | 16-Jul   | 22,300.00 | 5.0    |
|   | JP MORGAN VENTURES     | 046  | TIF    | SS  | 10,000  | 39.60 | n/a    | 2-Jun    | 500.00    | 5.0    |
|   | EGS ASSOCIATES LP      | 091  | TJX    | В   | 3,500   | 34.50 | n/a    | 11-Jul   | 210.00    | 6.0    |
|   | BUCK CAPITAL MGMT      | 001  | TLB    | SS  | 20,000  | 10.75 | 17-Apr | 9-Ju1    | 800.00    | 4.0    |
|   | CHARTER OAK            | 033  | TLP    | S   | 6,140   | 23.57 | n/a    | n/a      | 307.00    | 5.0    |
| В | BUCK CAPITAL MGMT      |      | TPX    | S   | 51,079  | 9.85  | n/a    | n/a      | non-brg   | 4.0    |
| В | BUCK CAPITAL MGMT      |      | TQQ+VG | SS  | 1,000   | 2.08  | n/a    | n/a      | non-brg 3 | 300.0  |
|   | HEALY CIRCLE           | 044  | TRK    | SS  | 18,400  | 19.02 | n/a    | n/a      | 920.00    | 5.0    |
| ß | BUCK CAPITAL MGMT      |      | TRLG   | S   | 10,000  | 27.49 | n/a    | n/a      | non-brg   | 4.0    |
| ß | BUCK CAPITAL MGMT      |      | TRLG   | S   | 20,000  | 26.84 | n/a    | n/a      | non-brg   | 4.0    |
| ß | BUCK CAPITAL MGMT      |      | TROW   | SS  | 20,000  | 52.14 | 15-Jul | 22-Jul   | non-brg   | 1.0    |
|   | TALA MANAGEMENT        | 041  | TROW   | SS  | 5,744   | 51.42 | 15-Jul | 22-Jul   | 287.20    | 5.0    |
|   | ZOLIDIS                | 011  | TWM    | В   | 200     | 76.87 | n/a    | n/a      | 0.00      | 0.0    |

| Account           | RR # | Symbol | B/S | Shares  | Price | MRI    | Research | Comm.     | ¢/Shr |
|-------------------|------|--------|-----|---------|-------|--------|----------|-----------|-------|
| COUGAR TRADING    | 044  | URBN   | В   | 20,000  | 32.28 | 15-May | 9-Jul    | 1,000.00  | 5.0   |
| BUCK CAPITAL MGMT |      | UWY+TQ | SS  | 1,650   | 3.68  | n/a    | n/a      | non-brg   | 300.0 |
| ZOLIDIS           | 011  | UYG    | S   | 1,000   | 19.50 | n/a    | n/a      | 0.00      | 0.0   |
| RHO CAPITAL MGMT  | 041  | WB     | В   | 1,300   | 15.14 | n/a    | n/a      | 52.00     | 4.0   |
| KARSCH CAPITAL    | 034  | WFC    | В   | 290,000 | 30.04 | n/a    | n/a      | 11,600.00 | 4.0   |
| BUCK CAPITAL MGMT |      | WFMI   | SS  | 100,000 | 21.88 | n/a    | n/a      | non-brg   | 4.0   |
| KORMAN            | 003  | WFMI   | С   | 5,000   | 22.14 | n/a    | n/a      | 0.00      | 0.0   |
| N STRATTON        | 014  | WFSL   | С   | 200     | 16.80 | n/a    | n/a      | 0.00      | 0.0   |
| BARR              | 096  | WIND   | S   | 1,100   | 11.58 | n/a    | n/a      | 0.00      | 0.0   |
| BUCK CAPITAL MGMT |      | WYNN   | SS  | 50,000  | 91.60 | n/a    | n/a      | non-brg   | 4.0   |
| CATTANI           | 041  | WYNN   | s   | 50      | 97.48 | n/a    | n/a      | 0.00      | 0.0   |
| DANIELS           | N25  | WYN    | В   | 100     | 17.82 | n/a    | n/a      | 0.00      | 0.0   |
| SCOPUS FUND       | 041  | WY     | S   | 24,400  | 49.93 | 7-Apr  | 11-Jul   | 1,220.00  | 5.0   |
| BUCK CAPITAL MGMT |      | XRT    | SS  | 104,750 | 29.10 | n/a    | n/a      | non-brg   | 2.0   |
| BUCK CAPITAL MGMT |      | XRT    | SS  | 300,000 | 28.85 | n/a    | n/a      | non-brg   | 1.0   |
| BUCK CAPITAL MGMT |      | XRT    | SS  | 325,000 | 28.91 | n/a    | n/a      | non-brg   | 4.0   |
| CUMBERLAND        | 038  | YUM    | В   | 15,000  | 35.47 | 17-Jul | 22-Jul   | 600.00    | 4.0   |

| Account             | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|---------------------|------|--------|-----|--------|-------|-----|----------|-------------|
| BARR                | 096  | ZION   | С   | 100    | 26.83 | n/a | n/a      | 0.00 0.0    |
| BUCK CAPITAL MGMT   |      | ZUMZ   | SS  | 20,000 | 13.21 | n/a | n/a      | non-brg 4.0 |
| COTAL (Trade Date): |      |        |     |        |       |     | 21       | 12,780.13   |

## Cancel/Corrects and As-Of Trades

| Туре    | Date   | Account                | RR # | Symbol | B/S | Shares | Price | MRI    | Research | Comm.¢/Shr. |     |
|---------|--------|------------------------|------|--------|-----|--------|-------|--------|----------|-------------|-----|
| AO,CXL  | 07/21  | HUNTER GLOBAL INVESTOR | 067  | JEF    | SS  | 28,000 | 17.92 | n/a    | n/a      | 1400.00     | 5.0 |
| AO,CRT  | 07/21  | HUNTER GLOBAL INVESTOR | 067  | JEF    | SS  | 28,000 | 17.92 | n/a    | n/a      | 1120.00     | 4.0 |
| AO,CXL  | 07/21  | BACKBAY                | 041  | PKG    | В   | 25,000 | 24.86 | 22-Jul | 22-Jul   | 1250.00     | 5.0 |
| AO, CRT | 07/21  | BACKBAY                | 041  | PKG    | В   | 25,000 | 24.86 | 22-Jul | 22-Jul   | 1250.00     | 5.0 |
| TOTAL   | (AO, ( | CXL, CRT):             |      |        |     |        |       |        | _        | -280.00     |     |

| TOTAL (Trade Date): TOTAL (AO, CXL, CRT): | 212,780.13<br>-280.00 |
|---|-----------------------|
| TOTAL (RUN DATE) / NFS:                   | 212,500.13            |

MRI Securities with Trade Activity on 22-Jul. PKG

MRI Securities without Trade Activity on 22-Jul. NONE

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

T-Date = 22% YTD = 17%

## Legend:

O: 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