



Daily Compliance Activity Report

Trade Date: 01/23/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 2

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		AAPL	B	20,000	137.44	n/a	n/a	non-brg	4.0
CASTLE ARK	031	AAPL	B	64,580	130.53	n/a	n/a	3,874.80	6.0
LEDDY	035	AAPL	B	125	134.52	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		AB-S	B	46,500	62.94	n/a	n/a	non-brg	6.3
BUCK CAPITAL MGMT		ABG	B	172,000	13.38	31-Oct	15-Jan	non-brg	4.0
BUCK CAPITAL MGMT		ABG	B	7,900	13.26	31-Oct	15-Jan	non-brg	1.0
BALYASNY ASSET MGMT	044	AB	S	20,000	59.37	11-Jan	23-Jan	1,000.00	5.0
PATTEN & PATTEN	067	ACL	S	100	140.07	26-Oct	23-Jan	5.00	5.0
PATTEN & PATTEN	067	ADSK	B	200	40.73	n/a	n/a	10.00	5.0
PERRY PARTNERS	041	ADS	SS	50,000	64.78	n/a	n/a	1,500.00	3.0
CENTURION GLOBAL MGMT LL	041	AEO	B	51,000	21.43	11-Jan	11-Jan	1,530.00	3.0
CENTURION GLOBAL MGMT LL	041	AEO	S	170,285	21.48	11-Jan	11-Jan	5,108.55	3.0
THE JAY GOLDMAN	034	AEO	B	45,000	21.80	11-Jan	11-Jan	1,800.00	4.0
LISTED ERR	099	AEO	B	3,000	21.30	11-Jan	11-Jan	0.00	0.0
LISTED ERR	099	AEO	S	3,000	21.01	11-Jan	11-Jan	0.00	0.0
COLONIAL FUND LLC	036	AIG	B	25,000	52.83	n/a	n/a	1,250.00	5.0
PAW PARTNERS	041	AKAM	B	6,000	25.91	n/a	n/a	300.00	5.0
LUCHANSKY	036	AMR	S	1,000	14.18	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MCERLEAN	RR2	AMR	S	500	13.36	n/a	n/a	0.00	0.0
SAC TRADING HOWARD	038	AMZN	SS	15,000	70.11	n/a	n/a	750.00	5.0
BUCK CAPITAL MGMT	001	ANF	B	30,000	74.24	10-Jan	22-Jan	1,200.00	4.0
CENTURION GLOBAL MGMT LL	041	ANF	B	2,600	74.12	10-Jan	22-Jan	78.00	3.0
CENTURION GLOBAL MGMT LL	041	ANF	S	3,300	75.72	10-Jan	22-Jan	99.00	3.0
MERRILL ASSET	032	ANF	B	6,500	75.82	10-Jan	22-Jan	292.50	4.5
COUGAR TRADING	044	ANN	SS	5,000	21.32	11-Jan	11-Jan	250.00	5.0
B BUCK CAPITAL MGMT		AN	SS	20,000	13.75	n/a	15-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		APC	B	31,200	53.76	14-Jan	14-Jan	non-brg	4.0
BUCK CAPITAL MGMT	001	APP	B	3,300	10.87	n/a	n/a	132.00	4.0
B BUCK CAPITAL MGMT		APP	B	46,700	10.92	n/a	n/a	non-brg	2.0
COUGAR TRADING	044	ARO	S	5,000	25.78	29-Nov	11-Jan	250.00	5.0
THE JAY GOLDMAN	034	ARO	S	15,000	23.74	29-Nov	11-Jan	600.00	4.0
CENTURION GLOBAL MGMT LL	041	ATVI	S	6,062	26.24	n/a	n/a	181.86	3.0
B BUCK CAPITAL MGMT		AVCI	C	40,000	6.33	n/a	n/a	non-brg	4.0
ZOLIDIS	011	BARE	C	500	20.88	n/a	n/a	0.00	0.0
NATIONAL BK OF CAN	031	BBT	SS	35,000	33.47	n/a	n/a	1,400.00	4.0
GASNER	025	BEARX	S	178	6.67	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DIAMONDBACK CAP MGMT	232	BGP	C	50,000	10.30	n/a	n/a	2,500.00	5.0
⚡ BUCK CAPITAL MGMT		BSC	B	26,600	81.32	21-Dec	14-Jan	non-brg	4.0
CATTANI	041	CAL	S	1,000	26.77	n/a	n/a	0.00	0.0
BARR	096	CAMD	S	7,000	3.65	n/a	n/a	0.00	0.0
GASNER	025	CAT	S	50	62.80	n/a	n/a	0.00	0.0
RAINIER INV MGMT	035	CBE	S	195,495	43.69	n/a	23-Oct	8,574.95	4.5
MERRILL ASSET	032	CFR	S	14,500	50.06	n/a	n/a	725.00	5.0
KORMAN	003	CFSG	B	5,000	10.05	n/a	n/a	0.00	0.0
HART	056	CHCG	B	280	3.21	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		CHIC	B	100,000	15.86	n/a	n/a	non-brg	4.0
OGORMAN	046	CHS	SS	2,000	8.80	10-Jan	11-Jan	0.00	0.0
PATTEN & PATTEN	067	CIU	B	750	103.08	n/a	n/a	37.50	5.0
COLONIAL FUND LLC	036	CLMS	SS	10,000	21.09	15-Jan	23-Jan	500.00	5.0
COUGAR TRADING	044	CLMS	B	7,500	21.41	15-Jan	23-Jan	375.00	5.0
KORMAN	003	CNE	S	50	1.60	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	CNI	B	200	46.49	n/a	n/a	10.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		COH	S	100,000	28.88	24-Oct	14-Jan	non-brg	4.0
BUCK CAPITAL MGMT		COLM	SS	10,000	41.57	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	CRI	B	20,000	17.37	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT		CROX	B	20,000	29.26	n/a	n/a	non-brg	4.0
PAW PARTNERS	041	CSCO	B	30,000	22.97	n/a	22-Mar	1,500.00	5.0
LEDDY	035	CSR	B	500	16.95	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	CVA	B	400	24.39	n/a	n/a	20.00	5.0
PATTEN & PATTEN	067	CVS	B	300	37.48	n/a	n/a	15.00	5.0
WHALE ROCK CAP	030	CWTR	B	144,511	4.28	n/a	n/a	5,780.44	4.0
BUCK CAPITAL MGMT		C	B	78,000	25.02	16-Jan	22-Jan	non-brg	4.0
TRELLUS PARTNERS LP	028	C	C	10,000	25.05	16-Jan	22-Jan	500.00	5.0
BUCK	015	C	S	1,500	24.39	16-Jan	22-Jan	0.00	0.0
BUCK CAPITAL MGMT		DAI	C	50,000	71.00	n/a	n/a	non-brg	4.0
CAXTON PART	040	DAL	B	100,000	14.97	n/a	n/a	3,500.01	3.5
BUCK CAPITAL MGMT		DBRN	S	10,000	11.80	n/a	n/a	non-brg	4.0
ZOLIDIS	011	DECK	B	100	122.36	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HEALY CIRCLE	044	DFS	B	25,000	12.84	n/a	n/a	1,250.00	5.0
⌘ BUCK CAPITAL MGMT		DIA	C	35,000	117.55	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		DIA	C	46,500	117.57	n/a	n/a	non-brg	2.0
PRINCIPLE CAPITAL	040	DKS	SS	33,900	29.35	n/a	27-Nov	1,017.00	3.0
WHALE ROCK CAP	030	DPZ	B	30,000	12.98	n/a	24-Apr	1,200.00	4.0
GAULT	063	DUG	B	300	50.21	n/a	n/a	0.00	0.0
GAULT	063	DUG	S	200	51.40	n/a	n/a	0.00	0.0
SERENGETI MGMT	030	DUK	B	150,000	18.62	n/a	n/a	7,500.00	5.0
WILLIAM BLAIR	031	DV	S	47,850	49.61	n/a	n/a	1,914.00	4.0
PAW PARTNERS	041	EBAY	S	30,000	28.79	n/a	n/a	1,500.00	5.0
⌘ BUCK CAPITAL MGMT		EL	SS	40,000	38.37	4-Jan	4-Jan	non-brg	4.0
TRELLUS PARTNERS LP	028	EL	C	50,000	38.58	4-Jan	4-Jan	2,500.00	5.0
MCCARTAN	028	EL	C	100	41.09	4-Jan	4-Jan	0.00	0.0
SINCLAIR	031	ETH	C	500	27.75	n/a	n/a	0.00	0.0
ENTRUST CAPITAL	040	ETN	B	20,000	79.41	22-Jan	22-Jan	1,000.00	5.0
GAULT	063	ETN	B	200	76.32	22-Jan	22-Jan	0.00	0.0
PATTEN & PATTEN	067	EWG	S	1,000	29.53	n/a	n/a	50.00	5.0
PATTEN & PATTEN	067	EWJ	S	2,000	12.04	n/a	n/a	100.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KACELA CAPITAL	034	FDO	S	20,000	18.95	8-Jan	11-Jan	800.00	4.0
LEDDY	035	FIG	S	1,200	11.87	n/a	n/a	0.00	0.0
JACOB	068	FMX	S	171	32.49	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	FNF	B	600,000	15.58	n/a	n/a	24,000.00	4.0
SAC TRADING/BILLY	063	FNF	SS	100,000	15.50	n/a	n/a	5,000.00	5.0
B BUCK CAPITAL MGMT		FOR	B	25,000	21.20	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		FOSL	B	160,000	31.96	13-Nov	18-Jan	non-brg	4.0
NEW JERSEY DIV OF INV.	220	FPL	S	75,000	60.90	n/a	n/a	3,000.00	4.0
B BUCK CAPITAL MGMT		F	C	128,800	5.91	n/a	17-Jan	non-brg	4.0
BUCK	015	GAADQ	B	8	2.15	n/a	n/a	0.00	0.0
GASNER	025	GDX	S	100	47.84	n/a	n/a	0.00	0.0
BUCK	015	GENZ	S	1,300	75.61	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GIL	B	40,000	32.29	22-Jan	22-Jan	1,600.00	4.0
B BUCK CAPITAL MGMT		GIL	B	42,400	31.92	22-Jan	22-Jan	non-brg	4.0
DELTEC ASSET MGMT.	040	GLW	B	25,000	21.04	n/a	26-Dec	1,250.00	5.0
PATTEN & PATTEN	067	GLW	B	300	21.24	n/a	26-Dec	15.00	5.0
SINCLAIR	031	GMOF	S	15	6.35	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SINCLAIR	031	GMRX	B	70	2.75	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		GM	SS	10,000	26.04	3-Jan	18-Jan	non-brg	1.0
MCCARTAN	028	GM	SS	200	25.86	3-Jan	18-Jan	0.00	0.0
LEDDY	035	GM	SS	600	25.30	3-Jan	18-Jan	0.00	0.0
OGORMAN	046	GM	SS	1,000	26.07	3-Jan	18-Jan	0.00	0.0
WAGONHOUND	048	GNTX	SS	12,100	14.47	n/a	17-Jan	484.00	4.0
⌘ BUCK CAPITAL MGMT		GS	B	12,163	192.67	21-Sep	22-Jan	non-brg	4.0
NATIONAL BK OF CAN	031	GS	S	5,500	193.05	21-Sep	22-Jan	220.00	4.0
SANDLER O'NEILL ASSET	031	GS	B	25,000	193.16	21-Sep	22-Jan	1,250.00	5.0
BLUE HARBOR	036	GYMB	S	7,500	35.07	10-Aug	11-Jan	300.00	4.0
⌘ BUCK CAPITAL MGMT		GYMB	S	20,000	32.66	10-Aug	11-Jan	non-brg	4.0
THIRD COAST CAPITAL	035	GYMB	B	25,000	34.90	10-Aug	11-Jan	1,250.00	5.0
BUCK CAPITAL MGMT	001	HBI	B	20,000	23.10	n/a	n/a	800.00	4.0
MATTHES CAPITAL MGMT	033	HBI	B	84,000	22.91	n/a	n/a	3,360.00	4.0
LEDDY	035	HCGI	B	2,500	0.66	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	HOG	SS	10,000	40.32	n/a	n/a	400.00	4.0
RAINIER INV MGMT	035	HOS	S	30,000	38.33	n/a	n/a	1,500.00	5.0
PATTEN & PATTEN	067	IGM	B	300	50.45	n/a	n/a	15.00	5.0
⌘ BUCK CAPITAL MGMT		IJR	C	46,000	56.96	n/a	n/a	non-brg	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		IJS	C	28,000	61.08	n/a	n/a	non-brg	2.0
CROWLEY	061	ILA	B	5,000	3.29	n/a	n/a	0.00	0.0
MKT MAKER	099	INTC	S	200	18.31	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		IVZ	B	80,000	24.56	20-Dec	23-Jan	non-brg	4.0
ß BUCK CAPITAL MGMT		IWM	C	63,000	65.44	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		IWM	C	82,600	66.11	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		IWO	C	44,000	71.38	n/a	n/a	non-brg	1.0
GASNER	025	IYTOR	S	1	15.30	n/a	n/a	0.00	0.0
BRIGHTPOINT CAP	067	JCG	SS	25,000	38.75	28-Nov	18-Jan	1,000.00	4.0
BUCK CAPITAL MGMT	001	JCG	S	20,000	38.79	28-Nov	18-Jan	800.00	4.0
COUGAR TRADING	044	JCG	B	5,000	38.90	28-Nov	18-Jan	250.00	5.0
MATTHES CAPITAL MGMT	033	JCG	B	75,000	39.23	28-Nov	18-Jan	3,000.00	4.0
GALLEON MGMT LP	033	JCI	S	10,000	29.59	23-Jan	23-Jan	500.00	5.0
PATTEN & PATTEN	067	JNJ	S	200	63.89	n/a	22-Apr	10.00	5.0
BALYASNY ASSET MGMT	044	JNS	B	40,000	25.24	9-Jan	23-Jan	2,000.00	5.0
BUCK CAPITAL MGMT	001	JNY	B	50,000	14.37	n/a	1-Nov	2,000.00	4.0
MERRILL ASSET	032	JNY	B	15,000	14.20	n/a	1-Nov	675.00	4.5
NATIONAL BK OF CAN	031	JPM	S	20,000	42.41	17-Jan	22-Jan	800.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
CENTURION GLOBAL MGMT LL	041	JWN	B	41,200	34.05	20-Nov	11-Jan	1,236.00 3.0
CENTURION GLOBAL MGMT LL	041	JWN	S	104,800	34.52	20-Nov	11-Jan	3,144.00 3.0
COUGAR TRADING	044	JWN	S	5,000	36.29	20-Nov	11-Jan	250.00 5.0
JP MORGAN VENTURES	046	JWN	SS	15,000	34.35	20-Nov	11-Jan	750.00 5.0
THE JAY GOLDMAN	034	JWN	S	20,000	35.24	20-Nov	11-Jan	800.00 4.0
NATIONAL BK OF CAN	031	KEY	B	33,500	23.47	n/a	n/a	1,340.00 4.0
BENCHMARK	028	KMX	B	10,000	19.21	n/a	10-Jan	500.00 5.0
MS PRINCIPAL STRATEGIES	041	KND	S	48,344	26.94	n/a	n/a	2,417.20 5.0
BALYASNY ASSET MGMT	044	KSS	SS	10,000	43.28	4-Jan	11-Jan	500.00 5.0
B BUCK CAPITAL MGMT		KSS	SS	60,000	42.61	4-Jan	11-Jan	non-brg 4.0
CENTURION GLOBAL MGMT LL	041	KSS	B	8,700	43.32	4-Jan	11-Jan	261.00 3.0
COUGAR TRADING	044	KSS	B	5,000	42.62	4-Jan	11-Jan	250.00 5.0
SIGMA CAPITAL ASSOCIATES	237	KSS	B	50,000	43.23	4-Jan	11-Jan	2,500.00 5.0
KACELA CAPITAL	034	K	B	15,000	46.71	n/a	n/a	600.00 4.0
B BUCK CAPITAL MGMT		LEH	B	45,000	55.43	n/a	22-Jan	non-brg 1.0
NATIONAL BK OF CAN	031	LEH	B	20,000	55.53	n/a	22-Jan	800.00 4.0
NATIONAL BK OF CAN	031	LEH	S	20,000	55.31	n/a	22-Jan	800.00 4.0
APEX CAPITAL MGMT.	091	LIZ	SS	200,000	20.47	n/a	31-Oct	10,000.00 5.0
STADIA CAPITAL	035	LIZ	B	60,000	20.69	n/a	31-Oct	2,400.00 4.0
THIRD COAST CAPITAL	035	LIZ	B	25,000	19.90	n/a	31-Oct	1,250.00 5.0
FORD FDN.	032	LLY	S	37,000	51.31	n/a	n/a	1,850.00 5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
ß BUCK CAPITAL MGMT		LM	B	30,000	72.01	17-Dec	23-Jan	non-brg 4.0
KACELA CAPITAL	034	LOW	B	18,000	24.06	27-Jul	27-Jul	720.00 4.0
KACELA CAPITAL	034	MAR	B	15,000	34.17	n/a	n/a	600.00 4.0
PATTEN & PATTEN	067	MBI	S	100	16.36	n/a	n/a	5.00 5.0
ß BUCK CAPITAL MGMT		MCD	C	100,000	52.27	n/a	24-Apr	non-brg 4.0
BUCK CAPITAL MGMT	001	MDC	S	1,400	42.02	n/a	n/a	56.00 4.0
JACOB	068	MDR	S	270	37.56	n/a	n/a	0.00 0.0
ß BUCK CAPITAL MGMT		MDY	C	21,000	133.97	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		MER	B	45,000	56.22	18-Jan	22-Jan	non-brg 1.0
BUCK CAPITAL MGMT	001	MHK	SS	20,000	69.73	n/a	n/a	800.00 4.0
TRUST CO/COWEN/CALF.	040	MOT	B	473,790	9.98	n/a	n/a	18,951.60 4.0
PERRY PARTNERS	041	MPG	SS	25,000	25.63	n/a	n/a	750.00 3.0
ß BUCK CAPITAL MGMT		MSMSBMV2	C	60,000	90.50	n/a	n/a	non-brg 9.0
ß BUCK CAPITAL MGMT		MSMSBOIH	C	14,000	86.03	n/a	n/a	non-brg 8.6
ß BUCK CAPITAL MGMT		MS	B	48,000	48.87	20-Dec	22-Jan	non-brg 4.0

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NATIONAL BK OF CAN	031	MS	B	21,000	48.49	20-Dec	22-Jan	840.00	4.0
NATIONAL BK OF CAN	031	MS	SS	25,000	48.78	20-Dec	22-Jan	1,000.00	4.0
UBS OCONNOR	031	MS	B	50,000	49.03	20-Dec	22-Jan	1,500.00	3.0
WHEELER	008	MTRX	B	400	16.55	n/a	n/a	0.00	0.0
WILLIAM BLAIR	031	MXIM	S	40,000	18.69	n/a	n/a	1,600.00	4.0
BALYASNY ASSET MGMT	044	M	B	30,000	23.75	4-Jan	11-Jan	1,500.00	5.0
BEAR STEARNS ASSET MGMT.	033	M	B	50,000	24.24	4-Jan	11-Jan	2,000.00	4.0
BUCK CAPITAL MGMT	001	M	S	20,000	23.75	4-Jan	11-Jan	800.00	4.0
B BUCK CAPITAL MGMT		M	S	20,000	23.75	4-Jan	11-Jan	non-brg	4.0
COUGAR TRADING	044	M	S	5,000	24.99	4-Jan	11-Jan	250.00	5.0
JP MORGAN VENTURES	046	M	B	15,000	24.73	4-Jan	11-Jan	750.00	5.0
MCERLEAN	RR2	M	B	500	24.70	4-Jan	11-Jan	0.00	0.0
MCERLEAN	RR2	M	S	500	24.43	4-Jan	11-Jan	0.00	0.0
SONAR CAP MGMT	039	NOK	B	75,000	31.56	n/a	n/a	3,750.00	5.0
DARUMA ASSET MGMT INC	034	NP	B	23,700	25.16	8-Jan	23-Jan	1,185.00	5.0
WELLS/STRONG LEDDY	035	NWY	B	2,700	4.33	n/a	18-Jan	108.00	4.0
B BUCK CAPITAL MGMT		OIH	C	2,500	152.89	n/a	n/a	non-brg	1.0
JACOB	068	OII	S	375	55.57	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		PAG	B	17,000	15.59	n/a	17-Jan	non-brg	1.0
B BUCK CAPITAL MGMT		PAG	B	85,000	15.72	n/a	17-Jan	non-brg	4.0
CENTURION GLOBAL MGMT LL	041	PAYX	B	13,100	32.25	n/a	n/a	393.00	3.0

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BUCK	015	PEP	S	1,000	68.01	n/a	n/a	0.00	0.0
8 BUCK CAPITAL MGMT		PETM	SS	20,000	23.05	n/a	n/a	non-brg	4.0
FIRST NY SEC/CHRIS	041	PFE	B	20,000	22.44	n/a	31-Mar	1,200.00	6.0
COUGAR TRADING	044	PKG	B	10,000	21.89	23-Jan	23-Jan	500.00	5.0
COUGAR TRADING	044	PKG	S	10,000	21.94	23-Jan	23-Jan	500.00	5.0
HIGHBRIDGE CAPITAL	038	PKG	B	180,000	22.93	23-Jan	23-Jan	9,000.00	5.0
IVORY CAPITAL	034	PNC	B	100,000	59.21	n/a	n/a	5,000.00	5.0
CENTURION GLOBAL MGMT LL	041	PRGO	S	1,300	30.59	n/a	n/a	39.00	3.0
CENTURION GLOBAL MGMT LL	041	PSPT	S	3,000	13.91	n/a	n/a	90.00	3.0
MERRILL ASSET	032	PVH	B	60,000	39.90	16-Jan	16-Jan	2,700.00	4.5
BULL PATH CAPITAL	044	RCL	S	23,200	35.55	23-Oct	23-Oct	1,160.00	5.0
COLONIAL FUND LLC	036	RDN	S	25,000	7.17	n/a	n/a	1,250.00	5.0
MERRILL ASSET	032	RGA	B	34,900	48.97	n/a	n/a	1,570.50	4.5
CENTURION GLOBAL MGMT LL	041	RIMM	B	6,300	82.16	n/a	n/a	189.00	3.0
BUCK CAPITAL MGMT	001	RL	S	30,000	56.07	14-Jan	14-Jan	1,200.00	4.0
DENVER INST. ADV	046	RL	B	5,000	54.78	14-Jan	14-Jan	200.00	4.0
WAGONHOUND	048	RL	SS	5,160	54.79	14-Jan	14-Jan	206.40	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		RRGB	C	20,000	31.96	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		RTH	C	120,000	90.77	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		S4RETL	C	15,000	326.79	n/a	n/a	non-brg	32.7
BUCK CAPITAL MGMT		SDS	S	37,600	69.34	n/a	n/a	non-brg	2.0
GAULT	063	SDS	SS	500	70.50	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKT	S	10,000	35.04	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT		SKT	SS	10,000	35.49	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT	001	SKX	B	100,000	18.59	n/a	13-Mar	4,000.00	4.0
ZOLIDIS	011	SKX	C	500	18.03	n/a	13-Mar	0.00	0.0
ZOLIDIS	011	SKX	SS	500	18.80	n/a	13-Mar	0.00	0.0
EMP ERROR	099	SKX	C	500	18.44	n/a	13-Mar	0.00	0.0
EMP ERROR	099	SKX	SS	500	18.44	n/a	13-Mar	0.00	0.0
BUCK CAPITAL MGMT	001	SPG	S	20,000	82.47	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT		SPY	C	42,600	128.47	n/a	n/a	non-brg	2.0
BUCK	015	STI	C	1,000	56.83	n/a	n/a	0.00	0.0
SINCLAIR	031	SWNFK	B	6	3.70	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		SWN	B	38,500	51.03	14-Jan	14-Jan	non-brg	4.0
SINCUTMA	031	SWN	B	50	49.25	14-Jan	14-Jan	0.00	0.0
LISTED ERR	099	SWN	S	62	49.99	14-Jan	14-Jan	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		SYNP	S	5,000	5.46	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		TBL	B	100,000	16.13	n/a	13-Mar	non-brg	4.0
DELTEC ASSET MGMT.	040	TEX	B	6,000	49.05	n/a	n/a	300.00	5.0
BUCK CAPITAL MGMT		TGT	SS	60,000	53.51	27-Jul	27-Jul	non-brg	4.0
TPG-AXON	040	TGT	SS	72,000	54.38	27-Jul	27-Jul	3,600.00	5.0
US BANCORP	030	TIN	B	132,467	15.71	8-Jan	23-Jan	6,623.35	5.0
CENTURION GLOBAL MGMT LL	041	TJX	B	29,000	30.53	21-Sep	11-Jan	870.00	3.0
CENTURION GLOBAL MGMT LL	041	TJX	S	58,000	30.26	21-Sep	11-Jan	1,740.00	3.0
VICTORIA INVESTORS LP	060	TJX	B	5,000	29.98	21-Sep	11-Jan	250.00	5.0
PALMYRA CAPITAL	048	TLB	SS	52,600	7.99	n/a	7-Jan	1,578.00	3.0
ZOLIDIS	011	TWM	B	800	91.80	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	TWTC	B	500	17.66	9-Nov	4-Jan	25.00	5.0
BUCK CAPITAL MGMT		T	C	36,900	34.60	n/a	4-Jan	non-brg	4.0
GASNER	025	UNWPX	S	57	26.14	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		URBN	B	20,000	24.58	3-Jan	18-Jan	non-brg	4.0
MCCARTAN	028	URBN	B	300	24.31	3-Jan	18-Jan	0.00	0.0
LEHMAN PROPRIETARY TRAD	041	USG	B	50,000	34.06	8-Jan	23-Jan	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SINCLAIR	031	UTXCN	S	25	3.50	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	UTX	S	100	70.30	n/a	n/a	5.00	5.0
B BUCK CAPITAL MGMT		VCGH	S	20,000	9.80	n/a	n/a	non-brg	2.5
LEDDY	035	VC	B	3,000	3.54	n/a	18-Jan	0.00	0.0
BUCK CAPITAL MGMT	001	VNO	S	20,000	82.63	n/a	n/a	800.00	4.0
B BUCK CAPITAL MGMT		VZ	C	31,000	36.27	21-Sep	4-Jan	non-brg	4.0
DC CAPITAL	044	VZ	B	50,000	35.84	21-Sep	4-Jan	2,000.00	4.0
COLONIAL FUND LLC	036	WDR	SS	4,800	29.57	21-Nov	23-Jan	240.00	5.0
SUNOVA CAPITAL	031	WDR	SS	10,000	28.01	21-Nov	23-Jan	500.00	5.0
TRELLUS PARTNERS LP	028	WDR	C	30,000	29.44	21-Nov	23-Jan	1,500.00	5.0
NEW JERSEY DIV OF INV.	220	WEC	S	100,000	45.17	n/a	n/a	4,000.00	4.0
CAXTON PART	040	WFC	B	58,448	27.80	n/a	n/a	2,045.69	3.5
COLONIAL FUND LLC	036	WFC	B	25,000	28.98	n/a	n/a	1,250.00	5.0
KACELA CAPITAL	034	WMT	S	14,000	48.52	20-Nov	11-Jan	560.00	4.0
TPG-AXON	040	WMT	SS	95,000	49.47	20-Nov	11-Jan	4,750.00	5.0
COLONIAL FUND LLC	036	WM	S	25,000	15.40	n/a	n/a	1,250.00	5.0
B BUCK CAPITAL MGMT		XLE	C	1,100	65.49	n/a	n/a	non-brg	1.0
NATIONAL BK OF CAN	031	XLF	B	100,000	26.62	n/a	n/a	4,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NATIONAL BK OF CAN	031	XLF	S	100,000	26.65	n/a	n/a	4,000.00	4.0
GAULT	063	XRT	B	1,000	30.68	n/a	n/a	0.00	0.0
DEMARTINI	065	XRT	B	500	31.08	n/a	n/a	0.00	0.0
MCERLEAN	RR2	XRT	S	500	31.82	n/a	n/a	0.00	0.0
GOLDMAN SACHS ASSET MGMT	044	XRX	S	80,000	13.24	n/a	n/a	1,200.00	1.5
COUGAR TRADING	044	ZQK	B	10,000	8.08	23-Jan	23-Jan	500.00	5.0
MCCARTAN	028	ZQK	SS	500	9.04	23-Jan	23-Jan	0.00	0.0
CENTURION GLOBAL MGMT LL	041	ZUMZ	B	6,300	17.23	n/a	n/a	189.00	3.0
TOTAL (Trade Date):								265,747.35	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	01/22	ROYCE TRADING	216	AB	B	15,500	59.43	11-Jan	23-Jan	775.00	5.0
AO,CRT	01/22	DAVIDSON KEMPNER ADVISOR	040	DAL	S	116,881	15.04	n/a	n/a	5844.05	5.0
AO,CXL	01/22	DAVIDSON KEMPNER ADVISOR	040	DAL	S	117,200	15.04	n/a	n/a	5860.00	5.0
AO,	01/22	DAVIDSON KEMPNER ADVISOR	040	DAL	S	319	15.04	n/a	n/a	15.95	5.0
AO,CRT	01/22	APEX CAPITAL MGMT.	091	JCP	S	150,000	42.92	4-Jan	11-Jan	7500.00	5.0
AO,CXL	01/22	APEX CAPITAL MGMT.	091	JCP	S	150,000	42.90	4-Jan	11-Jan	7500.00	5.0
AO,CXL	01/17	N STRATTON	014	MGM	B	198	67.80	n/a	9-Jan	0.00	0.0
AO,CRT	01/17	N STRATTON	014	MGM	B	198	67.80	n/a	9-Jan	0.00	0.0
AO,	01/22	LISTED ERR	097	SWN	B	2,000	50.29	14-Jan	14-Jan	0.00	0.0
TOTAL (AO, CXL, CRT) :										775.00	

TOTAL (Trade Date) :	265,747.35
TOTAL (AO, CXL, CRT) :	775.00

TOTAL (RUN DATE) / NFS :	266,522.35
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MRI Securities with Trade Activity on 23-Jan. JCI, PKG, ZQK
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MRI Securities without Trade Activity on 23-Jan.

AOS, AVP

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

T-Date = 14%

YTD = 27%

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