



# Daily Compliance Activity Report

Trade Date: 03/14/2007

## POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>ABG</b>	<b>S</b>	<b>20,000</b>	<b>27.38</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
BALYASNY ASSET MGMT	044	AB	B	26,300	82.96	5-Mar	9-Mar	1,315.00	5.0
MILLENIUM PARTNERS	028	ADCT	B	20,000	16.28	n/a	n/a	800.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>AEO</b>	<b>S</b>	<b>10,000</b>	<b>29.80</b>	<b>4-Jan</b>	<b>9-Mar</b>	<b>non-brg</b>	<b>5.0</b>
GRUBER MACBAINE	033	AEO	SS	25,000	29.71	4-Jan	9-Mar	1,000.00	4.0
J L F ASSET MGMT	039	AEO	B	40,348	30.48	4-Jan	9-Mar	1,613.92	4.0
OPPENHEIMER MGMT.	036	AGN	B	40,000	106.99	14-Mar	14-Mar	1,600.00	4.0
PRIME CAPITAL	048	AMGN	B	5,400	60.10	n/a	26-Jan	270.00	5.0
SUNOVA CAPITAL	031	AMG	B	20,000	106.00	5-Mar	5-Mar	1,000.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>ANF</b>	<b>B</b>	<b>10,000</b>	<b>73.80</b>	<b>2-Feb</b>	<b>9-Mar</b>	<b>non-brg</b>	<b>5.0</b>
BEAR STEARNS ASSET MGMT.	033	ANN	SS	20,000	35.24	5-Jan	13-Mar	800.00	4.0
J L F ASSET MGMT	039	ANN	S	32,899	35.02	5-Jan	13-Mar	1,315.96	4.0
<b>LUCHANSKY1</b>	<b>036</b>	<b>APC</b>	<b>S</b>	<b>100</b>	<b>39.79</b>	<b>27-Feb</b>	<b>12-Mar</b>	<b>0.00</b>	<b>0.0</b>
THE JAY GOLDMAN	034	ARO	B	74,200	37.30	23-Oct	12-Mar	2,968.00	4.0
BALYASNY ASSET MGMT	044	AVZ	B	30,000	22.36	5-Mar	9-Mar	1,500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>AVZ</b>	<b>B</b>	<b>30,000</b>	<b>22.47</b>	<b>5-Mar</b>	<b>9-Mar</b>	<b>non-brg</b>	<b>5.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROARING BLUE LION MGMT	012	AVZ	B	8,600	22.13	5-Mar	9-Mar	430.00	5.0
BUCK CAPITAL MGMT	001	BBW	S	50,000	26.12	8-Jan	21-Feb	2,000.00	4.0
⌘ BUCK CAPITAL MGMT		BBY	S	130,000	47.46	13-Dec	21-Feb	non-brg	5.0
BUCK CAPITAL MGMT	001	BDK	SS	20,000	82.46	n/a	n/a	800.00	4.0
BALYASNY ASSET MGMT	044	BEN	B	25,000	116.94	9-Nov	9-Mar	1,250.00	5.0
⌘ BUCK CAPITAL MGMT		BHI	B	10,000	63.61	n/a	n/a	non-brg	5.0
BRIGHTPOINT CAP	067	BIG	B	13,500	29.35	9-Mar	12-Mar	675.00	5.0
BUCK CAPITAL MGMT	001	BIG	SS	10,000	29.45	9-Mar	12-Mar	400.00	4.0
GOLDMAN SACHS ASSET MGMT	044	BIG	S	110,000	30.16	9-Mar	12-Mar	4,400.00	4.0
GALLEON MGMT LP	033	BJS	SS	10,000	27.46	n/a	n/a	500.00	5.0
THE JAY GOLDMAN	034	BKE	B	20,000	34.92	n/a	n/a	800.00	4.0
MERRILL LYNCH STRATEGICI	034	BMR	S	14,000	26.94	n/a	n/a	560.00	4.0
⌘ BUCK CAPITAL MGMT		BONT	S	32,000	51.94	9-Mar	9-Mar	non-brg	5.0
WOOSTER CAPITAL	035	BONT	B	10,000	52.54	9-Mar	9-Mar	500.00	5.0
⌘ BUCK CAPITAL MGMT		BSC	B	2,000	143.33	15-Dec	13-Mar	non-brg	5.0
SSI INVESTORS	048	BSC	B	25,492	143.04	15-Dec	13-Mar	1,019.68	4.0
LEDDY	035	BSC	B	250	141.92	15-Dec	13-Mar	0.00	0.0
BUCK	015	CBM	S	2,900	23.60	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SSI INVESTORS	048	CC	B	68,742	17.46	20-Dec	23-Feb	2,749.68	4.0
<b>GAULT</b>	<b>063</b>	<b>CDJ</b>	<b>B</b>	<b>20</b>	<b>1.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
STRONG/MARK GRONET	030	CHB	B	200,000	9.02	n/a	n/a	6,000.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>CHCG</b>	<b>B</b>	<b>110,000</b>	<b>5.94</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
PRIME CAPITAL	048	CHS	B	19,900	21.65	5-Jan	9-Mar	995.00	5.0
SYSTEMATIC FINANCIAL MGT	035	CKR	S	202,488	18.78	n/a	n/a	7,593.31	3.8
<b>B BUCK CAPITAL MGMT</b>		<b>CLE</b>	<b>B</b>	<b>36,600</b>	<b>30.44</b>	<b>3-Nov</b>	<b>9-Mar</b>	<b>non-brg</b>	<b>5.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CMRG</b>	<b>B</b>	<b>25,000</b>	<b>11.81</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>S</b>	<b>20,000</b>	<b>47.85</b>	<b>23-Feb</b>	<b>23-Feb</b>	<b>800.00</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>COH</b>	<b>S</b>	<b>10,000</b>	<b>48.09</b>	<b>23-Feb</b>	<b>23-Feb</b>	<b>non-brg</b>	<b>5.0</b>
J L F ASSET MGMT	039	COH	B	64,000	48.95	23-Feb	23-Feb	2,560.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>CPKI</b>	<b>S</b>	<b>15,000</b>	<b>31.85</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CROX</b>	<b>B</b>	<b>20,000</b>	<b>44.27</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CTRN</b>	<b>S</b>	<b>10,000</b>	<b>41.98</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CTRN</b>	<b>S</b>	<b>10,000</b>	<b>42.00</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CWTR</b>	<b>B</b>	<b>15,000</b>	<b>17.02</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DBRN</b>	<b>B</b>	<b>10,000</b>	<b>19.51</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		DECK	S	5,000	68.75	n/a	n/a	non-brg	5.0
MAGUIRE	090	DGX	S	7,500	48.75	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	DKS	B	15,000	54.28	n/a	n/a	600.00	4.0
B BUCK CAPITAL MGMT		DKS	B	30,000	55.00	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT	001	DSW	S	10,000	40.45	n/a	9-Feb	400.00	4.0
BUCK CAPITAL MGMT	001	EAT	SS	20,000	31.94	n/a	8-Mar	800.00	4.0
LEDDY	035	EFT	B	450	18.49	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	FDO	SS	20,000	29.00	3-Nov	12-Mar	800.00	4.0
COUGAR TRADING	044	FDO	B	5,000	28.51	3-Nov	12-Mar	250.00	5.0
BUCK CAPITAL MGMT	001	FD	B	10,000	44.22	26-Jan	9-Mar	400.00	4.0
B BUCK CAPITAL MGMT		FD	S	50,000	43.16	26-Jan	9-Mar	non-brg	5.0
SOROS	036	FD	S	449,300	43.14	26-Jan	9-Mar	17,972.00	4.0
THE JAY GOLDMAN	034	FD	B	15,000	42.60	26-Jan	9-Mar	600.00	4.0
WOOSTER CAPITAL	035	FD	B	100,000	43.82	26-Jan	9-Mar	5,000.00	5.0
BUCK CAPITAL MGMT	001	FL	S	10,000	21.73	n/a	14-Mar	400.00	4.0
J L F ASSET MGMT	039	FNM	B	54,000	53.46	n/a	n/a	2,160.00	4.0
J L F ASSET MGMT	039	FRE	B	30,200	60.58	n/a	n/a	1,208.00	4.0
J L F ASSET MGMT	039	FXI	B	10,000	97.16	n/a	n/a	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CARDINAL CAPITAL	044	GCA	B	42,900	14.66	n/a	n/a	2,145.00	5.0
BUCK CAPITAL MGMT	001	GCO	B	10,000	38.03	n/a	10-Jan	400.00	4.0
⌘ BUCK CAPITAL MGMT		GES	S	5,000	40.14	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		GIII	B	5,000	19.11	n/a	n/a	non-brg	1.0
MILLENIUM PARTNERS	028	GLBC	S	20,000	26.15	n/a	n/a	1,000.00	5.0
TROUBH PART	067	GLBC	B	10,000	26.24	n/a	n/a	500.00	5.0
RAINIER INV MGMT	035	GMT	S	50,000	45.48	n/a	n/a	2,500.00	5.0
⌘ BUCK CAPITAL MGMT		GTRC	S	10,000	43.81	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		GTRC	S	25,000	44.24	n/a	n/a	non-brg	5.0
DAVIDSON TRUST CO	033	HD	S	1,100	37.32	n/a	1-Mar	99.00	9.0
J L F ASSET MGMT	039	HOTT	S	17,500	10.75	n/a	15-Mar	700.00	4.0
⌘ BUCK CAPITAL MGMT		HP	B	10,000	27.93	n/a	n/a	non-brg	5.0
⌘ BUCK CAPITAL MGMT		ICON	S	50,000	19.02	n/a	n/a	non-brg	5.0
MERRILL ASSET	032	IFC	S	38,500	18.77	n/a	n/a	1,925.00	5.0
STADIA CAPITAL	035	IGT	B	55,000	38.44	n/a	2-Feb	2,200.00	4.0
MAGUIRE	090	ISE	B	5,000	44.25	26-Oct	13-Mar	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
BUCK CAPITAL MGMT		JADE	B	10,000	8.95	n/a	n/a	non-brg 5.0
BUCK CAPITAL MGMT		JADE	B	90,000	8.98	n/a	n/a	non-brg 2.0
BUCK CAPITAL MGMT	001	JCG	B	20,000	37.17	14-Mar	14-Mar	800.00 4.0
BUCK CAPITAL MGMT	001	JCP	B	30,000	78.37	23-Feb	5-Mar	1,200.00 4.0
PIVOT CAP	034	JCP	B	9,000	78.50	23-Feb	5-Mar	360.00 4.0
KEEFE BRUYETTE WOODS A	031	JNS	B	25,300	19.40	5-Mar	9-Mar	1,265.00 5.0
BUCK CAPITAL MGMT		JOSB	B	25,000	31.43	n/a	n/a	non-brg 5.0
BUCK CAPITAL MGMT	001	JWN	S	49,000	50.70	27-Feb	9-Mar	1,960.00 4.0
BUCK CAPITAL MGMT		KCP	S	2,700	25.01	n/a	28-Feb	non-brg 5.0
BUCK CAPITAL MGMT		KCP	S	5,000	24.87	n/a	28-Feb	non-brg 5.0
TRUST CO/COWEN/CALF.	040	KFT	B	339,855	30.38	n/a	n/a	16,992.75 5.0
BUCK CAPITAL MGMT	001	KMX	S	50,000	49.94	n/a	10-Jan	2,000.00 4.0
PRIME CAPITAL	048	KSS	B	16,500	70.08	27-Dec	8-Mar	825.00 5.0
BUCK CAPITAL MGMT	001	KWD	B	15,000	30.81	n/a	n/a	600.00 4.0
BUCK CAPITAL MGMT		LEH	B	5,000	69.32	n/a	14-Mar	non-brg 5.0
GAULT	063	LESCO	B	100	0.05	n/a	n/a	0.00 0.0
SCHEINER	037	LIZ	S	1,000	42.06	n/a	28-Feb	0.00 0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>LUCHANSKY1</b>	<b>036</b>	<b>LMC</b>	<b>S</b>	<b>1,500</b>	<b>9.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BALYASNY ASSET MGMT	044	LM	B	10,000	95.40	n/a	6-Mar	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LTM</b>	<b>S</b>	<b>5,000</b>	<b>48.82</b>	<b>n/a</b>	<b>n/a</b>	<b>200.00</b>	<b>4.0</b>
CHARTER OAK	037	LTM	B	25,000	49.05	n/a	n/a	1,250.00	5.0
PRIME CAPITAL	048	LUV	B	20,000	14.80	n/a	n/a	1,000.00	5.0
IRON HORSE CAPITAL MGMT	038	LVLTT	B	40,000	6.21	12-Mar	15-Mar	1,200.00	3.0
<b>BUCK</b>	<b>015</b>	<b>LVS</b>	<b>B</b>	<b>500</b>	<b>83.28</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MERRILL LYNCH STRATEGICI	034	MAR	SS	16,000	47.51	n/a	n/a	800.00	5.0
US BANCORP	030	MAT	S	93,355	27.32	n/a	n/a	4,667.75	5.0
HAYGROUND COE	039	MCD	SS	17,650	43.40	n/a	6-Feb	55.00	3.3
<b>LUCHANSKY1</b>	<b>036</b>	<b>MDT</b>	<b>S</b>	<b>100</b>	<b>49.40</b>	<b>n/a</b>	<b>22-Apr</b>	<b>0.00</b>	<b>0.0</b>
<b>GAULT</b>	<b>063</b>	<b>MERDQ</b>	<b>B</b>	<b>20</b>	<b>1.39</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MER</b>	<b>B</b>	<b>3,000</b>	<b>79.16</b>	<b>19-Jan</b>	<b>13-Mar</b>	<b>non-brg</b>	<b>5.0</b>
ENTRUST CAPITAL	040	MGM	SS	77,900	66.73	n/a	16-Feb	3,895.00	5.0
BEAR STEARNS ASSET MGMT.	033	MHK	SS	20,000	82.93	n/a	n/a	800.00	4.0
<b>BUCK</b>	<b>015</b>	<b>MPEL</b>	<b>S</b>	<b>2,000</b>	<b>14.28</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

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BUCK CAPITAL MGMT		MS	B	3,000	72.85	20-Dec	13-Mar	non-brg	5.0
BUCK CAPITAL MGMT		MVRX	SS	250,000	190.87	n/a	n/a	non-brg	19.1
CSFB GLOBAL PROPRIETARY	035	MWV	B	40,000	28.86	8-Jan	1-Feb	2,000.00	5.0
BUCK CAPITAL MGMT		MW	SS	20,000	46.30	n/a	n/a	non-brg	5.0
KORMAN	003	NDEOE	S	25	0.40	n/a	n/a	0.00	0.0
KORMAN	003	NDEPD	S	25	1.40	n/a	n/a	0.00	0.0
KORMAN	003	NDEPX	S	25	1.80	n/a	n/a	0.00	0.0
BARR	096	NDE	SS	800	26.51	n/a	n/a	0.00	0.0
SOMERSET ADV	044	NDN	B	25,000	13.60	16-Jan	12-Mar	1,000.00	4.0
BUCK CAPITAL MGMT		NEXC	B	10,000	9.44	n/a	n/a	non-brg	5.0
J L F ASSET MGMT	039	NLS	S	50,685	16.20	n/a	n/a	2,027.40	4.0
BUCK CAPITAL MGMT		NTRI	S	49,500	45.20	n/a	n/a	non-brg	5.0
LUCHANSKY1	036	NT	S	500	27.03	n/a	22-Mar	0.00	0.0
MATRIX ASSET ADV.	036	NVLS	S	25,000	32.75	n/a	n/a	1,000.00	4.0
BUCK CAPITAL MGMT	001	NWY	S	30,000	14.68	1-Dec	9-Mar	1,200.00	4.0



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GAULT	063	OFTAA	B	100	1.45	n/a	n/a	0.00	0.0
STADIA CAPITAL	035	OMX	SS	33,000	49.82	n/a	15-Apr	1,320.00	4.0
BARR	096	OPY	S	600	33.25	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		PFCB	SS	10,000	41.61	n/a	20-Feb	non-brg	5.0
LEDDY	035	PFE	B	600	24.75	n/a	31-Mar	0.00	0.0
AVESTA CAP	229	PG	S	25,000	61.29	15-Dec	13-Mar	1,250.00	5.0
ß BUCK CAPITAL MGMT		PLCE	B	10,000	54.98	n/a	9-Mar	non-brg	5.0
BRUNNER	012	PNCL	B	1,600	17.12	n/a	n/a	0.00	0.0
BRUN	012	PNCL	B	200	17.12	n/a	n/a	0.00	0.0
BEAR STEARNS ASSET MGMT.	033	PNRA	SS	20,000	59.15	n/a	n/a	800.00	4.0
KNOTT PARTNERS	044	PRX	B	5,000	23.96	30-Jan	14-Mar	250.00	5.0
ß BUCK CAPITAL MGMT		PSS	S	10,200	32.44	n/a	n/a	non-brg	5.0
LEDDY	035	QID	S	1,000	56.07	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		RI	SS	40,000	28.69	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT	001	RL	SS	25,000	82.75	2-Feb	16-Feb	1,000.00	4.0
BUCK CAPITAL MGMT	001	RL	S	5,000	83.13	2-Feb	16-Feb	200.00	4.0

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ß BUCK CAPITAL MGMT		RSH	SS	20,000	24.76	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT	001	RVI	S	10,000	20.31	n/a	n/a	400.00	4.0
ß BUCK CAPITAL MGMT		SDXC	B	20,000	18.23	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		SHOO	B	10,000	29.43	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT	001	SKX	B	20,000	32.99	n/a	13-Mar	800.00	4.0
BUCK CAPITAL MGMT	001	SSI	B	10,000	21.29	26-Feb	14-Mar	400.00	4.0
BUCK CAPITAL MGMT	001	TGT	S	5,000	59.35	n/a	8-Mar	200.00	4.0
PIVOT CAP	034	TJX	B	9,000	26.07	n/a	9-Mar	360.00	4.0
BUCK CAPITAL MGMT	001	TLB	S	10,000	24.14	10-Jan	8-Mar	400.00	4.0
ß BUCK CAPITAL MGMT		TLB	S	30,000	24.76	10-Jan	8-Mar	non-brg	5.0
DELTEC ASSET MGMT.	040	TNB	S	8,000	49.29	n/a	n/a	400.00	5.0
BULL PATH CAPITAL	044	TROW	B	22,500	45.73	n/a	5-Mar	1,125.00	5.0
ß BUCK CAPITAL MGMT		TSCO	S	2,000	51.34	n/a	n/a	non-brg	5.0
ß BUCK CAPITAL MGMT		TSCO	S	20,000	50.74	n/a	n/a	non-brg	5.0
ROBX	033	TWC	B	12,000	36.70	n/a	n/a	480.00	4.0
ß BUCK CAPITAL MGMT		URBN	B	15,000	23.94	7-Dec	9-Mar	non-brg	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LUCHANSKY1	036	URBN	S	100	24.09	7-Dec	9-Mar	0.00	0.0
PILOT ADV	038	USG	SS	25,000	47.78	13-Mar	13-Mar	1,000.00	4.0
⌘ BUCK CAPITAL MGMT		VIRL	B	10,000	7.90	n/a	n/a	non-brg	4.0
MCCARTAN	028	VSL	B	100	16.27	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	WDR	B	15,000	22.64	5-Mar	5-Mar	750.00	5.0
J L F ASSET MGMT	039	WFR	S	34,299	55.08	n/a	n/a	1,371.96	4.0
BUCK CAPITAL MGMT	001	WHR	SS	20,000	84.63	n/a	n/a	800.00	4.0
⌘ BUCK CAPITAL MGMT		WSM	SS	30,000	34.09	n/a	n/a	non-brg	5.0
HAYGROUND COE	039	YUM	SS	23,850	57.38	12-Dec	13-Feb	1,192.50	5.0
BUCK CAPITAL MGMT	001	ZLC	SS	30,000	25.01	n/a	n/a	1,200.00	4.0
BUCK CAPITAL MGMT	001	ZQK	S	30,000	11.20	9-Mar	13-Mar	1,200.00	4.0
⌘ BUCK CAPITAL MGMT		ZQK	S	100,000	10.97	9-Mar	13-Mar	non-brg	5.0
⌘ BUCK CAPITAL MGMT		ZUMZ	S	5,000	34.86	n/a	n/a	non-brg	5.0
TOTAL (Trade Date):							155,171.91		

# Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CXL	02/23	PLATTE RIVER CAPITAL	035	AGIX	B	3,000	11.46	n/a	n/a	120.00	4.0
AO,CRT	02/23	PLATTE RIVER CAPITAL	035	AGIX	B	3,000	11.46	n/a	n/a	120.00	4.0
AO,	03/13	GOLDMAN SACHS ASSET MGMT	044	AMLN	B	101,381	38.05	n/a	n/a	1520.72	1.5
AO,CRT	03/13	MERRILL LYNCH STRATEGICI	034	AVR	B	20,000	14.79	n/a	n/a	600.00	3.0
AO,CXL	03/13	MERRILL LYNCH STRATEGICI	034	AVR	B	20,000	14.79	n/a	n/a	1000.00	5.0
AO,CRT	03/09	SOMERSET ADV	044	DBA	SS	14,000	26.33	n/a	n/a	560.00	4.0
AO,CXL	03/09	SOMERSET ADV	044	DBA	SS	14,000	26.33	n/a	n/a	700.00	5.0
AO,CXL	03/13	MERRILL LYNCH STRATEGICI	034	FL	B	10,000	22.19	n/a	14-Mar	500.00	5.0
AO,CRT	03/13	MERRILL LYNCH STRATEGICI	034	FL	B	10,000	22.19	n/a	14-Mar	400.00	4.0
AO,	03/13	HARVEST MGMT	039	GYMB	B	10,000	35.22	4-Jan	14-Mar	500.00	5.0
AO,CRT	03/13	KNOTT PARTNERS	044	PRX	B	25,000	24.34	30-Jan	14-Mar	1250.00	5.0
AO,CXL	03/13	KNOTT PARTNERS	044	PRX	B	25,000	24.34	30-Jan	14-Mar	1000.00	4.0
AO,	03/13	DURANGO INVESTMENTS	031	QLGC	B	40,000	16.90	n/a	n/a	1600.00	4.0
AO,CXL	03/12	NCM CAPITAL MGMT	035	SBH	S	3,000	9.62	n/a	n/a	0.00	0.0
AO,CRT	03/12	NCM CAPITAL MGMT	035	SBH	S	3,000	9.62	n/a	n/a	150.00	5.0
AO,	03/13	HARVEST MGMT	039	WMT	S	64,300	46.21	n/a	8-Mar	3215.00	5.0
AO,CXL	03/13	HARVEST MGMT	039	WMT	S	64,300	46.21	n/a	8-Mar	3215.00	5.0
AO,CRT	03/13	BUCK CAPITAL MGMT	001	ZQK	S	275,000	11.32	9-Mar	13-Mar	11000.00	4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CXL	03/13	BUCK CAPITAL MGMT	001	ZQK	S	275,000	11.32	9-Mar 13-Mar 11000.00	4.0

TOTAL (AO, CXL, CRT): 3,380.72

TOTAL (Trade Date): 155,171.91

TOTAL (AO, CXL, CRT): 3,380.72

TOTAL (RUN DATE) / NFS: 158,552.63

MRI Securities with Trade Activity on 14-Mar.  
AGN, JCG

MRI Securities without Trade Activity on 14-Mar.  
HC, UCO

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 18%  
YTD = 17%

Legend:

Õ: Employee Trades in Outside Accounts

ß: Non-BRG BCM Trades

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