



Daily Compliance Activity Report

Trade Date: 09/18/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|---------------------|------|--------|-----|---------|-------|--------|----------|--------------|-----|
| LITESPEED | 028 | AA | S | 250,000 | 24.50 | n/a | n/a | 7,500.00 | 3.0 |
| PZENA INV ADV | 044 | ABC | S | 27,775 | 37.50 | n/a | n/a | 972.13 | 3.5 |
| COUGAR TRADING | 044 | AB | B | 15,000 | 36.39 | 10-Sep | 18-Sep | 750.00 | 5.0 |
| COUGAR TRADING | 044 | AEO | S | 5,000 | 15.90 | n/a | 5-Sep | 250.00 | 5.0 |
| ⚡ BUCK CAPITAL MGMT | | ALV | S | 96,000 | 36.34 | 23-Jul | 30-Jul | non-brg | 4.0 |
| KORMAN | 003 | ANN | C | 3,000 | 22.70 | n/a | 17-Sep | 0.00 | 0.0 |
| GAULT | 063 | APC | S | 1,000 | 53.12 | n/a | 26-Aug | 0.00 | 0.0 |
| ⚡ BUCK CAPITAL MGMT | | ARGN | S | 114,900 | 8.90 | 3-Sep | 3-Sep | non-brg | 1.0 |
| LEDDY | 035 | ARGN | S | 1,700 | 8.86 | 3-Sep | 3-Sep | 0.00 | 0.0 |
| PRYLUCKI | 092 | ARGN | S | 360 | 9.17 | 3-Sep | 3-Sep | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | ARO | S | 25,000 | 32.79 | 28-Apr | 5-Sep | 1,000.00 | 4.0 |
| COUGAR TRADING | 044 | ARO | B | 5,000 | 32.34 | 28-Apr | 5-Sep | 250.00 | 5.0 |
| HOLDEN CAPITAL MGMT | 035 | ARO | SS | 15,000 | 32.75 | 28-Apr | 5-Sep | 750.00 | 5.0 |
| PRINCIPLE CAPITAL | 040 | AVP | SS | 29,800 | 39.88 | 31-Jul | 31-Jul | 894.00 | 3.0 |
| BUCK | 015 | BACAV | B | 20 | 0.72 | n/a | n/a | 0.00 | 0.0 |
| ⚡ BUCK CAPITAL MGMT | | BBBY | C | 2,600 | 31.73 | n/a | n/a | non-brg | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------|------|--------|-----|--------|-------|--------|----------|-------------|-----|
| BUCK CAPITAL MGMT | | BBBY | C | 21,800 | 31.71 | n/a | n/a | non-brg | 1.0 |
| BUCK CAPITAL MGMT | | BBBY | C | 25,600 | 31.78 | n/a | n/a | non-brg | 4.0 |
| JP MORGAN VENTURES | 046 | BBY | SS | 75,000 | 41.07 | n/a | 27-Jul | 3,750.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | BIG | SS | 20,000 | 32.93 | 29-May | 5-Sep | 800.00 | 4.0 |
| MTB INV ADV | 034 | BIG | S | 31,900 | 30.33 | 29-May | 5-Sep | 1,595.00 | 5.0 |
| LEDDY | 035 | BIG | SS | 500 | 31.97 | 29-May | 5-Sep | 0.00 | 0.0 |
| FRONTPOINT/COPIA-ANDREW | 031 | BKE | SS | 20,000 | 58.90 | n/a | n/a | 800.00 | 4.0 |
| PZENA INV ADV | 044 | BMV | S | 55,075 | 20.27 | n/a | n/a | 1,927.63 | 3.5 |
| WHEELER | 008 | BTN | B | 20,000 | 1.90 | n/a | n/a | 0.00 | 0.0 |
| WAGONHOUND/NIC | 048 | BWA | C | 7,024 | 37.04 | 10-Jun | 1-Aug | 280.96 | 4.0 |
| MCCARTAN | 028 | BWA | C | 200 | 37.05 | 10-Jun | 1-Aug | 0.00 | 0.0 |
| METROPOLITAN CAPITAL | 044 | BWS | S | 46,625 | 16.41 | n/a | n/a | 2,331.25 | 5.0 |
| JMP ASSET MGMT | 210 | BWTR | B | 10,000 | 2.19 | n/a | n/a | 200.00 | 2.0 |
| MCCARTAN | 028 | BX | B | 300 | 15.05 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | BYI | B | 75,000 | 28.81 | n/a | n/a | 3,000.00 | 4.0 |
| M WEINTRAU | 024 | BZ | B | 1,500 | 1.93 | n/a | n/a | 0.00 | 0.0 |
| JMP ASSET MGMT | 210 | CHIC | SS | 2,000 | 11.01 | n/a | n/a | 100.00 | 5.0 |
| ROTHSCHILD ASSET | 040 | CHK | S | 42,670 | 38.96 | n/a | n/a | 1,920.15 | 4.5 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------------------------|------|--------|-----|---------|--------|--------|----------|-------------|-------|
| WHEELER | 008 | CHP | S | 3,800 | 6.45 | n/a | n/a | 0.00 | 0.0 |
| BUCK | 015 | CJD | B | 60 | 0.35 | n/a | n/a | 0.00 | 0.0 |
| BUCK | 015 | CJR | S | 40 | 0.60 | n/a | n/a | 0.00 | 0.0 |
| ROTHSCHILD ASSET | 040 | CKP | S | 26,100 | 19.30 | n/a | n/a | 1,174.50 | 4.5 |
| MATLIN PATTERSON | 046 | CLNE | SS | 13,700 | 16.25 | n/a | n/a | 411.00 | 3.0 |
| PZENA INV ADV | 044 | CMA | S | 6,000 | 33.88 | n/a | n/a | 210.00 | 3.5 |
| BUCK | 015 | CMA | C | 1,961 | 29.92 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | COH | S | 60,000 | 27.79 | 30-Jul | 28-Aug | 2,400.00 | 4.0 |
| MERRILL ASSET | 032 | CRR | S | 47,200 | 54.82 | 29-Aug | 5-Sep | 2,124.00 | 4.5 |
| KAICHER | 064 | C | B | 2,000 | 14.20 | 15-Sep | 15-Sep | 0.00 | 0.0 |
| KAICHER | 064 | C | S | 2,000 | 16.80 | 15-Sep | 15-Sep | 0.00 | 0.0 |
| ⌘ BUCK CAPITAL MGMT | | DAI+VK | C | 1,000 | 3.40 | n/a | n/a | non-brg | 300.0 |
| ⌘ BUCK CAPITAL MGMT | | DAI | C | 170,000 | 53.54 | n/a | n/a | non-brg | 2.0 |
| CRAMER ROSENTHAL/SCOTT | 012 | DBRN | B | 3,300 | 14.66 | n/a | n/a | 132.00 | 4.0 |
| LUCHANSKY | 036 | DCTH | S | 1,000 | 1.61 | n/a | n/a | 0.00 | 0.0 |
| ⌘ BUCK CAPITAL MGMT | | DECK | B | 10,000 | 106.21 | n/a | n/a | non-brg | 1.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------------|---------------|-----------|--------------|--------------|--------------|---------------|----------------|--------------|
| MERRILL ASSET | 032 | DEI | B | 11,200 | 20.32 | n/a | n/a | 504.00 | 4.5 |
| OGORMAN | 046 | DIG | B | 200 | 68.50 | n/a | n/a | 0.00 | 0.0 |
| JMP ASSET MGMT | 210 | DKS | B | 4,500 | 21.84 | 22-Aug | 22-Aug | 225.00 | 5.0 |
| CRAMER ROSENTHAL/SCOTT | 012 | DLTR | B | 1,700 | 37.28 | n/a | 5-Sep | 68.00 | 4.0 |
| MCCARTAN | 028 | DPZ | C | 300 | 12.64 | n/a | 24-Apr | 0.00 | 0.0 |
| CROWLEY | 061 | DUK | S | 2,000 | 17.90 | n/a | n/a | 0.00 | 0.0 |
| OGORMAN | 046 | DXD | B | 400 | 69.09 | n/a | n/a | 0.00 | 0.0 |
| OGORMAN | 046 | DXD | S | 150 | 68.11 | n/a | n/a | 0.00 | 0.0 |
| MKT MAKER | 097 | ENDP | B | 100 | 20.00 | 1-Aug | 18-Sep | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | ETH+WE | SS | 1,500 | 1.50 | n/a | n/a | non-brg | 300.0 |
| B BUCK CAPITAL MGMT | | ETN+JO | C | 1,110 | 0.69 | n/a | n/a | non-brg | 100.0 |
| B BUCK CAPITAL MGMT | | FDO+VX | SS | 1,000 | 0.70 | n/a | n/a | non-brg | 100.0 |
| MERRILL ASSET | 032 | FHN | S | 60,900 | 10.76 | n/a | n/a | 2,740.50 | 4.5 |
| PHILADELPHIA FINANCIAL | 033 | FII | B | 78,868 | 24.15 | 14-Apr | 18-Sep | 3,154.72 | 4.0 |
| RAINIER INV MGMT | 035 | FMCN | S | 143,875 | 26.04 | n/a | n/a | 5,755.00 | 4.0 |
| LBACIND | 005 | FOR | S | 333 | 13.59 | n/a | n/a | 0.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|------|--------|-----|---------|--------|--------|----------|-------------|-------|
| ß BUCK CAPITAL MGMT | | FUQI | S | 40,000 | 8.59 | n/a | n/a | non-brg | 2.5 |
| BUCK CAPITAL MGMT | 001 | GES | S | 35,000 | 38.26 | n/a | n/a | 1,400.00 | 4.0 |
| LEDDY | 035 | GFG | S | 466 | 5.05 | n/a | n/a | 0.00 | 0.0 |
| COLE | N24 | GFG | S | 400 | 5.18 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | GGP | C | 30,000 | 14.30 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | GIII | S | 15,000 | 19.39 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | GIII | S | 5,000 | 19.17 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | GIII | S | 5,000 | 19.27 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | GM+JM | C | 4,500 | 1.39 | n/a | n/a | non-brg | 300.0 |
| ß BUCK CAPITAL MGMT | | GM+VM | S | 4,500 | 1.77 | n/a | n/a | non-brg | 300.0 |
| JMP ASSET MGMT | 210 | GME | S | 800 | 37.30 | n/a | n/a | 40.00 | 5.0 |
| ß BUCK CAPITAL MGMT | | GM | B | 50,210 | 10.39 | 4-Aug | 4-Sep | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | GM | S | 50,210 | 10.51 | 4-Aug | 4-Sep | non-brg | 4.0 |
| STANDARD PACIFIC CAPITAL | 040 | GM | SS | 275,000 | 10.66 | 4-Aug | 4-Sep | 13,750.00 | 5.0 |
| MCCARTAN | 028 | GR | C | 100 | 46.56 | 5-Jun | 24-Jul | 0.00 | 0.0 |
| BAIRD INVESTMENT | 031 | GS | S | 4,431 | 101.83 | 15-Sep | 18-Sep | 221.55 | 5.0 |
| FORD FDN. | 032 | GS | B | 5,000 | 103.01 | 15-Sep | 18-Sep | 250.00 | 5.0 |
| COUGAR TRADING | 044 | GYMB | S | 5,000 | 39.30 | 11-Jul | 5-Sep | 250.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|--------------|-----------|----------------|--------------|---------------|---------------|----------------|------------|
| THOMSON HORSTMAN BRYANT | 040 | GYMB | B | 32,700 | 37.99 | 11-Jul | 5-Sep | 1,635.00 | 5.0 |
| WHEELER | 008 | HAYN | S | 2,000 | 54.44 | n/a | n/a | 0.00 | 0.0 |
| KAICHER | 064 | HERO | B | 4,000 | 18.18 | n/a | n/a | 0.00 | 0.0 |
| AVESTA CAP | 229 | HNZ | S | 50,000 | 49.96 | n/a | n/a | 2,500.00 | 5.0 |
| WHEELER | 008 | HQRLN | B | 20 | 1.30 | n/a | n/a | 0.00 | 0.0 |
| PILOT ADV | 038 | HSC | B | 5,000 | 40.24 | 23-Apr | 29-Jul | 200.00 | 4.0 |
| PILOT ADV | 038 | HSC | SS | 15,000 | 39.44 | 23-Apr | 29-Jul | 600.00 | 4.0 |
| LISTED ERR | 099 | HSC | B | 700 | 40.29 | 23-Apr | 29-Jul | 0.00 | 0.0 |
| LISTED ERR | 099 | HSC | SS | 700 | 39.81 | 23-Apr | 29-Jul | 0.00 | 0.0 |
| LED DY | 035 | ICON | S | 1,700 | 11.90 | n/a | n/a | 0.00 | 0.0 |
| THIRD AVE MGMT | 030 | INTC | S | 350,000 | 18.29 | n/a | n/a | 14,000.00 | 4.0 |
| BMO NESBITT BURNS | 041 | IP | B | 50,000 | 26.89 | 11-Sep | 11-Sep | 2,500.00 | 5.0 |
| SANDLER O'NEILL ASSET | 031 | IVZ | B | 21,700 | 21.59 | 4-Aug | 18-Sep | 1,085.00 | 5.0 |
| SCUDDER HEDGE | 034 | IVZ | S | 4,200 | 23.16 | 4-Aug | 18-Sep | 210.00 | 5.0 |
| WAGONHOUND/NIC | 048 | IVZ | B | 384 | 23.00 | 4-Aug | 18-Sep | 15.36 | 4.0 |
| GRISANTI BROWN & PARTNER | 048 | IWM | B | 17,700 | 69.08 | n/a | n/a | 885.00 | 5.0 |
| B BUCK CAPITAL MGMT | | JCG | S | 100,000 | 29.05 | n/a | 17-Sep | non-brg | 1.0 |
| B BUCK CAPITAL MGMT | | JCG | S | 100,000 | 31.30 | n/a | 17-Sep | non-brg | 4.0 |
| COUGAR TRADING | 044 | JCG | S | 5,000 | 29.20 | n/a | 17-Sep | 250.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|---------------|-----------|----------------|--------------|---------------|---------------|-----------------|--------------|
| JMP ASSET MGMT | 210 | JCG | SS | 500 | 29.15 | n/a | 17-Sep | 25.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | JCP | SS | 100,000 | 37.44 | n/a | 5-Sep | 4,000.00 | 4.0 |
| THIRD COAST CAPITAL | 035 | JCP | S | 12,000 | 36.55 | n/a | 5-Sep | 600.00 | 5.0 |
| COBALT | 041 | JNS | SS | 25,000 | 21.85 | 25-Jul | 18-Sep | 1,250.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | JNY | SS | 20,000 | 19.13 | n/a | 30-Jul | 800.00 | 4.0 |
| B BUCK CAPITAL MGMT | | JOSB | S | 231,000 | 34.53 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | JOSB | S | 291,000 | 34.75 | n/a | n/a | non-brg | 4.0 |
| MTB INV ADV | 034 | JOSB | S | 16,500 | 34.93 | n/a | n/a | 825.00 | 5.0 |
| THE BOSTON COMPANY | 401 | KCP | C | 46,580 | 17.90 | n/a | 28-Sep | 1,863.20 | 4.0 |
| BASIX | 033 | KMT | SS | 47,000 | 32.17 | 18-Sep | 18-Sep | 1,410.00 | 3.0 |
| MCCARTAN | 028 | KMT | C | 100 | 28.86 | 18-Sep | 18-Sep | 0.00 | 0.0 |
| ROYCE TRADING | 216 | KVA | B | 58,000 | 22.82 | n/a | n/a | 2,900.00 | 5.0 |
| WAGONHOUND/NIC | 048 | LAZ | B | 1,141 | 39.87 | n/a | n/a | 45.64 | 4.0 |
| B BUCK CAPITAL MGMT | | LIZ+AD | SS | 1,000 | 1.38 | n/a | n/a | non-brg | 300.0 |
| B BUCK CAPITAL MGMT | | LIZ+JW | SS | 1,000 | 1.23 | n/a | n/a | non-brg | 300.0 |
| EGS ASSOCIATES LP | 091 | LIZ | SS | 3,500 | 17.63 | n/a | 18-Sep | 210.00 | 6.0 |
| COBALT | 041 | LM | SS | 25,000 | 33.07 | 1-Jul | 18-Sep | 1,250.00 | 5.0 |
| CADIAN CAPITAL | 067 | MAT | B | 50,000 | 18.74 | n/a | n/a | 2,500.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------|------|---------|-----|-----------|-------|--------|----------|--------------|-----|
| BUCK CAPITAL MGMT | | MBFG IM | S | 10,000 | 21.14 | n/a | n/a | non-brg | 4.2 |
| KAICHER | 064 | MER | S | 2,000 | 22.25 | 24-Jun | 16-Sep | 0.00 | 0.0 |
| WHEELER | 008 | MMMAO | B | 60 | 2.40 | n/a | n/a | 0.00 | 0.0 |
| WHEELER | 008 | MMM | S | 3,000 | 71.05 | n/a | 16-Sep | 0.00 | 0.0 |
| TRUST CO/COWEN/CALF. | 040 | MOT | B | 77,500 | 6.73 | n/a | n/a | 3,100.00 | 4.0 |
| MERRILL ASSET | 032 | MS | S | 1,000,000 | 20.25 | 15-Sep | 18-Sep | 45,000.00 | 4.5 |
| NATIONAL BK OF CAN | 031 | MS | B | 75,000 | 21.79 | 15-Sep | 18-Sep | 2,000.00 | 2.0 |
| NATIONAL BK OF CAN | 031 | MS | SS | 75,000 | 19.96 | 15-Sep | 18-Sep | 3,000.00 | 4.0 |
| WHEELER | 008 | MWG | B | 10,050 | 8.03 | n/a | n/a | 0.00 | 0.0 |
| KORMAN | 003 | MWO | B | 4,000 | 9.00 | n/a | n/a | 0.00 | 0.0 |
| ZOLIDIS | 011 | MWO | S | 1,000 | 10.50 | n/a | n/a | 0.00 | 0.0 |
| LEDDY | 035 | MWO | B | 1,000 | 7.95 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | M | S | 77,500 | 18.31 | 12-Aug | 29-Aug | 3,100.00 | 4.0 |
| ZOLIDIS | 011 | NKE | S | 200 | 65.88 | n/a | n/a | 0.00 | 0.0 |
| J ROSEALEX | 034 | NKE | S | 200 | 65.17 | n/a | n/a | 0.00 | 0.0 |
| J ROSEVIC | 034 | NKE | S | 200 | 65.29 | n/a | n/a | 0.00 | 0.0 |
| WHEELER | 008 | NLCAE | B | 50 | 0.75 | n/a | n/a | 0.00 | 0.0 |
| WHEELER | 008 | NLC | S | 20,000 | 20.05 | n/a | n/a | 0.00 | 0.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------------|---------------|-----------|--------------|--------------|---------------|---------------|----------------|--------------|
| PZENA INV ADV | 044 | NOC | S | 24,550 | 62.20 | n/a | n/a | 859.25 | 3.5 |
| JP MORGAN VENTURES | 046 | NTY | S | 64,000 | 27.71 | n/a | n/a | 3,200.00 | 5.0 |
| LBACIND | 005 | OXM | S | 500 | 25.63 | n/a | n/a | 0.00 | 0.0 |
| PRYLUCKI | 092 | PAAS | S | 100 | 21.70 | n/a | n/a | 0.00 | 0.0 |
| GRONET | 030 | PCH | S | 40 | 50.15 | 28-Apr | 11-Sep | 0.00 | 0.0 |
| LEDDY | 035 | PCL | S | 1,300 | 52.19 | n/a | 11-Sep | 0.00 | 0.0 |
| LBACIND | 005 | PCX | S | 200 | 28.52 | n/a | n/a | 0.00 | 0.0 |
| WHEELER | 008 | PENX | S | 8,000 | 18.14 | n/a | n/a | 0.00 | 0.0 |
| STG INVESTORS | 041 | PKG | B | 50,000 | 21.78 | 11-Sep | 11-Sep | 2,000.00 | 4.0 |
| CROWLEY | 061 | PNM | S | 1,000 | 10.83 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | PSS+LX | SS | 2,000 | 1.10 | n/a | n/a | non-brg | 300.0 |
| SCUDDER HEDGE | 034 | PZN | S | 15,000 | 7.00 | 30-Jul | 18-Sep | 750.00 | 5.0 |
| GRISANTI BROWN & PARTNER | 048 | QQQQ | C | 10,000 | 40.11 | n/a | n/a | 500.00 | 5.0 |
| ROTHSCHILD ASSET | 040 | RGC | S | 55,650 | 15.46 | n/a | n/a | 2,504.25 | 4.5 |
| VALHALLA CAPITAL LP | 041 | RIMM | S | 10,000 | 93.22 | n/a | n/a | 500.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---------------------|------|--------|-----|---------|-------|--------|----------|-------------|-------|
| BUCK CAPITAL MGMT | 001 | RL | B | 61,700 | 68.97 | n/a | 28-Aug | 2,468.00 | 4.0 |
| BRIGHTPOINT CAP | 067 | ROST | SS | 150,000 | 36.47 | n/a | n/a | 6,000.00 | 4.0 |
| ß BUCK CAPITAL MGMT | | RTH | SS | 250,000 | 92.10 | n/a | n/a | non-brg | 1.0 |
| WHEELER | 008 | RUSHA | S | 13,000 | 14.26 | n/a | n/a | 0.00 | 0.0 |
| ZOLIDIS | 011 | SDS | B | 500 | 72.95 | n/a | n/a | 0.00 | 0.0 |
| BUCK | 015 | SDS | S | 500 | 78.59 | n/a | n/a | 0.00 | 0.0 |
| OGORMAN | 046 | SDS | B | 300 | 76.10 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | SKS+WB | SS | 1,000 | 0.76 | n/a | n/a | non-brg | 100.0 |
| BUCK CAPITAL MGMT | 001 | SKS | SS | 100,000 | 10.78 | n/a | n/a | 4,000.00 | 4.0 |
| ß BUCK CAPITAL MGMT | | SKX+AD | SS | 1,000 | 1.11 | n/a | n/a | non-brg | 300.0 |
| KAICHER | 064 | SNCR | S | 6,000 | 11.10 | n/a | n/a | 0.00 | 0.0 |
| JMP ASSET MGMT | 210 | SNIC | S | 7,800 | 4.81 | n/a | n/a | 390.00 | 5.0 |
| JMP ASSET MGMT | 210 | SNS | S | 7,000 | 8.49 | n/a | n/a | 280.00 | 4.0 |
| ß BUCK CAPITAL MGMT | | SSCC | S | 50,000 | 5.28 | 30-Jul | 11-Sep | non-brg | 4.0 |
| GAULT | 063 | SSO | S | 1,000 | 49.02 | n/a | n/a | 0.00 | 0.0 |
| GAULT | 063 | SWN | S | 3,500 | 33.18 | n/a | 3-Sep | 0.00 | 0.0 |

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|---------------------|------|--------|-----|---------|-------|--------|----------|-------------|-------|
| ⌘ BUCK CAPITAL MGMT | | SYX | C | 20,000 | 32.56 | n/a | 24-Apr | non-brg | 4.0 |
| AVESTA CAP | 229 | TGT | B | 25,000 | 54.78 | n/a | 5-Sep | 1,250.00 | 5.0 |
| BRANDWINE | 028 | TGT | S | 76,000 | 54.05 | n/a | 5-Sep | 3,040.00 | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | TGT | C | 40,000 | 54.97 | n/a | 5-Sep | non-brg | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | TJX | S | 55,000 | 32.34 | 11-Aug | 5-Sep | non-brg | 4.0 |
| COUGAR TRADING | 044 | TJX | B | 5,000 | 32.79 | 11-Aug | 5-Sep | 250.00 | 5.0 |
| MCCARTAN | 028 | TM | C | 100 | 86.64 | n/a | n/a | 0.00 | 0.0 |
| MAGNETAR FINANCIAL | 031 | TOL | S | 56,000 | 25.01 | n/a | n/a | 1,680.00 | 3.0 |
| ⌘ BUCK CAPITAL MGMT | | TPX+VB | SS | 1,000 | 1.55 | n/a | n/a | non-brg | 300.0 |
| PRINCIPLE CAPITAL | 040 | TPX | B | 4,900 | 11.15 | n/a | n/a | 147.00 | 3.0 |
| ⌘ BUCK CAPITAL MGMT | | TRLG | S | 15,000 | 30.00 | n/a | n/a | non-brg | 2.0 |
| ⌘ BUCK CAPITAL MGMT | | TRLG | S | 35,000 | 29.29 | n/a | n/a | non-brg | 4.0 |
| OGORMAN | 046 | TROW | SS | 300 | 58.96 | 25-Jul | 18-Sep | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | TWB | S | 50,000 | 9.61 | n/a | 20-Aug | 2,000.00 | 4.0 |
| CATAPULT | 040 | TWB | S | 53,000 | 9.18 | n/a | 20-Aug | 2,120.00 | 4.0 |
| ZOLIDIS | 011 | TWM | B | 150 | 67.43 | n/a | n/a | 0.00 | 0.0 |
| TRELLUS PARTNERS LP | 028 | TXRH | C | 147,896 | 8.96 | n/a | n/a | 4,436.88 | 3.0 |
| ⌘ BUCK CAPITAL MGMT | | URBN | S | 55,000 | 33.66 | 14-Aug | 17-Sep | non-brg | 4.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|---------------|-----------|---------------|---------------|---------------|---------------|----------------|-------------|
| WEISS PECK | 040 | URBN | C | 6,800 | 35.72 | 14-Aug | 17-Sep | 340.00 | 5.0 |
| ZOLIDIS | 011 | UYG | S | 2,000 | 18.98 | n/a | n/a | 0.00 | 0.0 |
| PRYLUCKI | 092 | UYG | S | 250 | 18.79 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | VOW GR | SS | 3,000 | 396.41 | n/a | n/a | non-brg | 79.3 |
| MERRILL ASSET | 032 | VQ | B | 29,600 | 14.20 | n/a | n/a | 1,332.00 | 4.5 |
| FARALLON CAP MGMT | 040 | WAG | S | 277,500 | 32.45 | n/a | n/a | 11,100.00 | 4.0 |
| MCCARTAN | 028 | WBC | B | 200 | 37.21 | 30-Apr | 30-Jul | 0.00 | 0.0 |
| SYSTEMATIC FINANCIAL MGT | 035 | WB | B | 150,000 | 11.09 | n/a | n/a | 5,625.00 | 3.8 |
| KEEFE BRUYETTE WOODS A | 031 | WDR | B | 28,900 | 23.31 | 15-Jul | 18-Sep | 1,445.00 | 5.0 |
| WAGONHOUND/NIC | 048 | WDR | B | 6,151 | 23.68 | 15-Jul | 18-Sep | 246.04 | 4.0 |
| GLG PARTNERS | 034 | WMT | B | 50,000 | 60.14 | 8-Aug | 5-Sep | 2,500.00 | 5.0 |
| JP MORGAN VENTURES | 046 | WMT | C | 20,000 | 59.41 | 8-Aug | 5-Sep | 1,000.00 | 5.0 |
| COUGAR TRADING | 044 | WRC | B | 5,000 | 45.40 | 8-Aug | 28-Aug | 250.00 | 5.0 |
| THOMSON HORSTMAN BRYANT | 040 | WISLA | B | 40,000 | 4.18 | n/a | n/a | 1,200.00 | 3.0 |
| GALLEON MGMT LP | 033 | WWW | C | 10,000 | 26.40 | n/a | 13-Mar | 500.00 | 5.0 |
| B BUCK CAPITAL MGMT | | WY | S | 82,100 | 56.17 | n/a | 11-Sep | non-brg | 1.0 |
| SCOPUS FUND | 041 | WY | S | 10,000 | 56.03 | n/a | 11-Sep | 500.00 | 5.0 |
| HARVEST MGMT | 039 | ZLC | S | 10,300 | 27.07 | n/a | n/a | 515.00 | 5.0 |

| Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------|------|--------|-----|--------|-------|--------|------------|--------------|-----|
| KORMAN | 003 | ZOLT | S | 3,000 | 17.36 | n/a | n/a | 0.00 | 0.0 |
| COUGAR TRADING | 044 | ZQK | S | 30,000 | 6.47 | 27-Aug | 5-Sep | 1,200.00 | 4.0 |
| JMP ASSET MGMT | 210 | ZQK | B | 17,000 | 6.49 | 27-Aug | 5-Sep | 680.00 | 4.0 |
| TOTAL (Trade Date) : | | | | | | | 228,449.01 | | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------|-------|------------------------|------|--------|-----|---------|-------|-----|----------|--------------|
| AO,CRT | 09/17 | BAYPOINT TRADING/XYLEM | 091 | ABH | B | 10,000 | 4.80 | n/a | 11-Sep | 400.00 4.0 |
| AO,CXL | 09/17 | BAYPOINT TRADING/XYLEM | 091 | ABH | B | 10,000 | 4.80 | n/a | 11-Sep | 500.00 5.0 |
| AO,CRT | 09/17 | SATELITE/BOBBY | 044 | DAL | B | 35,000 | 9.20 | n/a | n/a | 1050.00 3.0 |
| AO,CXL | 09/17 | SATELITE/BOBBY | 044 | DAL | B | 35,000 | 9.20 | n/a | n/a | 1400.00 4.0 |
| AO,CRT | 09/16 | LITESPEED | 028 | HCBK | B | 185,000 | 19.65 | n/a | n/a | 5550.00 3.0 |
| AO,CXL | 09/16 | LITESPEED | 028 | HCBK | B | 185,000 | 19.65 | n/a | n/a | 9250.00 5.0 |
| AO,CRT | 09/17 | ELM RIDGE ADVISORS | 044 | JNJ | S | 468,586 | 70.55 | n/a | 22-Apr | 18743.44 4.0 |
| AO, | 09/17 | BAYPOINT TRADING/XYLEM | 091 | MWV | B | 7,000 | 26.18 | n/a | 11-Sep | 350.00 5.0 |

| | |
|-------------------------------|------------------|
| TOTAL (AO, CXL, CRT) : | 14,943.44 |
|-------------------------------|------------------|

| | |
|---------------------|------------|
| TOTAL (Trade Date): | 228,449.01 |
|---------------------|------------|

| | |
|-----------------------|-----------|
| TOTAL (AO, CXL, CRT): | 14,943.44 |
|-----------------------|-----------|

| | |
|--------------------------------|-------------------|
| TOTAL (RUN DATE) / NFS: | 243,392.45 |
|--------------------------------|-------------------|

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|-----------------------------------------------|
| MRI Securities with Trade Activity on 18-Sep. |
|-----------------------------------------------|

| |
|-----|
| KMT |
|-----|

MRI Securities without Trade Activity on 18-Sep.

NDN, RRR

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

T-Date = 18%

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