



# Daily Compliance Activity Report

Trade Date: 08/04/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	AAP	SS	20,000	41.61	n/a	n/a	800.00	4.0
BUCK	015	ABT	B	300	57.49	n/a	22-Apr	0.00	0.0
COUGAR TRADING	044	AEO	B	20,000	13.58	6-Mar	4-Aug	1,000.00	5.0
COUGAR TRADING	044	AEO	S	20,000	13.70	6-Mar	4-Aug	1,000.00	5.0
JP MORGAN VENTURES	046	AEO	B	25,000	13.54	6-Mar	4-Aug	1,250.00	5.0
BALYASNY ASSET MGMT	044	AET	B	10,000	41.17	n/a	n/a	500.00	5.0
BUCK	015	AET	B	700	41.92	n/a	n/a	0.00	0.0
TYEE/TYGH	035	AMG	B	28,740	87.53	23-Jul	30-Jul	1,149.60	4.0
BUCK CAPITAL MGMT	001	ANF	S	260,000	53.97	10-Jul	4-Aug	10,400.00	4.0
BUCK CAPITAL MGMT		ARO	B	55,000	31.09	28-Apr	4-Aug	non-brg	4.0
COUGAR TRADING	044	ARO	B	5,000	31.70	28-Apr	4-Aug	250.00	5.0
BMO NESBITT BURNS	041	AVP	S	25,000	43.41	31-Jul	31-Jul	1,250.00	5.0
BUCK CAPITAL MGMT		AZO	SS	20,000	130.54	n/a	n/a	non-brg	4.0
BUCK	015	BAC	B	200	32.97	n/a	29-Jul	0.00	0.0
CAVU CAP ADV	028	BBBY	B	22,400	27.58	n/a	n/a	1,120.00	5.0
BUCK CAPITAL MGMT		BBY	SS	20,000	39.81	n/a	27-Jul	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SATELITE/BOBBY	044	BBY	SS	10,000	39.65	n/a	27-Jul	500.00	5.0
HEARTLAND FUNDS	031	BGG	S	106,500	13.58	n/a	n/a	5,325.00	5.0
LEDDY	035	BWA	C	500	40.01	10-Jun	1-Aug	0.00	0.0
⚡ BUCK CAPITAL MGMT		BWLD	SS	10,000	32.55	n/a	n/a	non-brg	4.0
MCCARTAN	028	CAT	C	100	67.76	n/a	23-May	0.00	0.0
MCCARTAN	028	CLHB	S	100	78.24	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		CMG	SS	20,000	67.60	24-Jul	24-Jul	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DECK	B	5,000	103.70	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DLTR	SS	10,000	37.71	n/a	4-Aug	non-brg	4.0
J L F ASSET MGMT	039	DLTR	B	25,000	37.49	n/a	4-Aug	1,000.00	4.0
SIGMA CAPITAL ASSOCIATES	237	EAT	B	25,000	17.78	n/a	24-Apr	1,250.00	5.0
PRINCIPLE CAPITAL	040	EBAY	B	100,000	24.95	n/a	n/a	3,000.00	3.0
APEX CAPITAL MGMT.	091	EL	SS	95,000	44.62	7-May	24-Jun	4,750.00	5.0
GARDNER LEWIS ASSET MGMT	028	EMR	S	440,100	48.08	n/a	n/a	22,005.00	5.0
FRONTPOINT	044	EOG	B	105,100	98.37	n/a	n/a	3,678.50	3.5
NOMURA CAPITAL	045	EYE	B	12,000	16.29	n/a	n/a	600.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JP MORGAN VENTURES	012	FCX	B	5,110	79.63	n/a	n/a	153.30	3.0
MORGAN BANK /JPM	012	FCX	B	117,630	79.63	n/a	n/a	3,528.90	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>FL+IW</b>	<b>SS</b>	<b>2,000</b>	<b>0.50</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>100.0</b>
BMO NESBITT BURNS	041	F	B	50,000	4.77	25-Jul	28-Jul	2,500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>GMCR</b>	<b>SS</b>	<b>21,900</b>	<b>34.23</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GMCR</b>	<b>SS</b>	<b>8,100</b>	<b>35.11</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>PAKLER</b>	<b>029</b>	<b>GMTS</b>	<b>S</b>	<b>10</b>	<b>2.59</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>HART</b>	<b>056</b>	<b>GMTS</b>	<b>S</b>	<b>10</b>	<b>2.57</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SATELITE/BOBBY	044	GPI	SS	24,500	20.66	10-Jun	30-Jul	1,225.00	5.0
COUGAR TRADING	044	GYMB	S	10,000	36.29	11-Jul	4-Aug	500.00	5.0
TRIVIUM CAP MGMT	251	GYMB	B	50,000	35.96	11-Jul	4-Aug	2,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>HD</b>	<b>SS</b>	<b>20,000</b>	<b>23.98</b>	<b>n/a</b>	<b>27-Jul</b>	<b>non-brg</b>	<b>4.0</b>
TRIVIUM CAP MGMT	251	HIBB	C	25,000	20.90	n/a	n/a	1,000.00	4.0
JP MORGAN VENTURES	046	HK	B	25,000	29.98	n/a	n/a	1,250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>ICON</b>	<b>B</b>	<b>20,000</b>	<b>12.30</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
RAINIER INV MGMT	035	ITC	B	10,000	50.04	n/a	n/a	500.00	5.0
BRENCOURT	028	IYR	SS	50,000	61.44	n/a	n/a	1,500.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		JCG+HF	SS	1,000	1.00	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		JCG	S	110,000	29.26	n/a	30-May	non-brg	4.0
JP MORGAN VENTURES	046	JNY	S	30,000	16.69	n/a	30-Jul	1,500.00	5.0
BUCK CAPITAL MGMT		JOSB	B	20,000	21.58	n/a	n/a	non-brg	4.0
MCCARTAN	028	JOYG	C	100	66.43	n/a	30-May	0.00	0.0
BUCK CAPITAL MGMT		KSS	S	100,000	41.53	n/a	4-Aug	non-brg	4.0
BUCK CAPITAL MGMT		KSS	S	110,000	40.93	n/a	4-Aug	non-brg	4.0
COUGAR TRADING	044	KSS	B	10,000	41.38	n/a	4-Aug	500.00	5.0
COUGAR TRADING	044	KSS	SS	5,000	41.67	n/a	4-Aug	250.00	5.0
N STRATTON	014	LEG	SS	200	20.05	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	LIZ	SS	60,000	13.25	n/a	25-Jul	2,400.00	4.0
BUCK CAPITAL MGMT		LOW	SS	20,000	20.56	n/a	27-Jul	non-brg	4.0
BMO NESBITT BURNS	041	LPX	B	50,000	8.73	n/a	4-Aug	2,500.00	5.0
BUCK CAPITAL MGMT		MAS	SS	50,000	16.40	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		MSMSBOIH	C	7,000	98.77	n/a	n/a	non-brg	9.9
COUGAR TRADING	044	M	B	25,000	17.79	14-Jul	4-Aug	1,250.00	5.0
BUCK CAPITAL MGMT		NP	S	3,773	18.98	n/a	11-Jul	non-brg	1.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JP MORGAN VENTURES	046	NWL	B	10,000	16.58	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	NWY	SS	40,000	9.58	n/a	22-May	1,600.00	4.0
Ⓐ BUCK CAPITAL MGMT		OIH	C	12,000	184.70	n/a	n/a	non-brg	1.0
VISIUM/BALY HOWARD	038	OXM	B	6,000	20.65	n/a	n/a	300.00	5.0
PROVIDENT INV COUNSEL	048	PAET	S	120,420	2.73	n/a	n/a	3,612.60	3.0
SATELITE/BOBBY	044	PENN	S	45,000	29.01	n/a	n/a	2,250.00	5.0
Ⓐ BUCK CAPITAL MGMT		PERY	S	5,000	22.30	n/a	n/a	non-brg	1.0
TRIVIUM CAP MGMT	251	PFCB	S	25,000	25.98	n/a	23-Jul	1,000.00	4.0
BMO NESBITT BURNS	041	PG	S	25,000	66.33	24-Jun	18-Jul	1,250.00	5.0
GALLEON MGMT LP	033	PG	SS	20,000	66.19	24-Jun	18-Jul	1,000.00	5.0
TRIVIUM CAP MGMT	251	PG	SS	75,000	66.42	24-Jun	18-Jul	3,000.00	4.0
LISTED ERR	099	PG	B	25,000	66.33	24-Jun	18-Jul	0.00	0.0
LISTED ERR	099	PG	SS	25,000	66.33	24-Jun	18-Jul	0.00	0.0
HARVEST MGMT	039	PLCE	B	20,000	36.41	23-Jun	4-Aug	1,000.00	5.0
SATELITE/BOBBY	044	PLCE	B	50,000	36.22	23-Jun	4-Aug	2,500.00	5.0
POST ROAD CAP	045	PM	S	25,000	53.86	n/a	n/a	750.00	3.0
CATAPULT	040	PPG	B	23,407	58.56	n/a	17-Jul	1,170.35	5.0
BUCK CAPITAL MGMT	001	RSH	SS	50,000	16.44	n/a	n/a	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SATELITE/BOBBY	044	SBUX	SS	25,000	14.09	n/a	24-Apr	1,250.00	5.0
NOMURA CAPITAL	045	SGLP	B	16,800	9.72	n/a	n/a	672.00	4.0
<b>BUCK</b>	<b>015</b>	<b>SGPPRB</b>	<b>S</b>	<b>500</b>	<b>196.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CAVU CAP ADV	028	SHW	SS	15,000	52.50	n/a	17-Jul	750.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>SKT</b>	<b>C</b>	<b>50,000</b>	<b>37.70</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKX</b>	<b>B</b>	<b>60,000</b>	<b>18.56</b>	<b>n/a</b>	<b>13-Mar</b>	<b>2,400.00</b>	<b>4.0</b>
SATELITE/BOBBY	044	SPY	B	16,500	125.24	n/a	n/a	825.00	5.0
COUGAR TRADING	044	SSO	B	5,000	58.56	n/a	n/a	250.00	5.0
TRELLUS PARTNERS LP	028	SUP	SS	10,000	16.75	25-Jul	28-Jul	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>TIN</b>	<b>S</b>	<b>50,000</b>	<b>16.20</b>	<b>29-Apr</b>	<b>30-Jul</b>	<b>non-brg</b>	<b>4.0</b>
HIGHBRIDGE CAPITAL	038	TIN	SS	100,400	16.10	29-Apr	30-Jul	5,020.00	5.0
IRONBOUND CAPITAL	012	TIN	S	17,900	16.02	29-Apr	30-Jul	716.00	4.0
COUGAR TRADING	044	TJX	B	5,000	33.49	n/a	4-Aug	250.00	5.0
COUGAR TRADING	044	TJX	SS	10,000	33.76	n/a	4-Aug	500.00	5.0
IRIDIAN ASSET MGMT.	036	TK	B	35,510	39.95	n/a	n/a	1,775.50	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TLB</b>	<b>S</b>	<b>10,000</b>	<b>13.49</b>	<b>17-Apr</b>	<b>4-Aug</b>	<b>400.00</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>TRLG</b>	<b>S</b>	<b>10,000</b>	<b>24.97</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HART	056	TUYHH	B	10	0.45	n/a	n/a	0.00	0.0
BUCK	015	UBS	S	500	19.01	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		URBN	S	33,000	32.30	15-May	4-Aug	non-brg	4.0
CAVU CAP ADV	028	VC	B	50,000	2.80	n/a	31-Jul	2,500.00	5.0
JP MORGAN VENTURES	046	VC	B	100,000	2.86	n/a	31-Jul	2,000.00	2.0
BUCK	015	VTIV	B	1,000	23.52	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		WFMI	SS	50,000	21.32	n/a	n/a	non-brg	4.0
BALYASNY ASSET MGMT	044	WLP	B	10,000	53.08	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	WRC	B	50,000	40.65	13-May	18-Jul	2,000.00	4.0
BUCK CAPITAL MGMT	001	WSM	SS	30,000	17.14	n/a	n/a	1,200.00	4.0
JP MORGAN VENTURES	046	WSM	C	25,000	17.27	n/a	n/a	1,250.00	5.0
SATELITE/BOBBY	044	WYNN	SS	10,000	94.44	n/a	n/a	500.00	5.0
SCOPUS FUND	041	WY	B	40,000	55.25	7-Apr	11-Jul	2,000.00	5.0
SATELITE/BOBBY	044	XRT	SS	25,000	29.37	n/a	n/a	1,250.00	5.0
⚡ BUCK CAPITAL MGMT		ZUMZ	SS	10,000	13.84	n/a	n/a	non-brg	4.0

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**TOTAL (Trade Date):**

**133,826.75**

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### Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	07/28	SYSTEMATIC FINANCIAL MGT	035	BG	B	700	99.66	n/a	n/a	26.25 3.8
AO,CXL	07/28	SYSTEMATIC FINANCIAL MGT	035	BG	B	700	99.66	n/a	n/a	26.25 3.8
AO,CXL	07/28	SYSTEMATIC FINANCIAL MGT	035	CVS	B	2,700	37.72	n/a	n/a	101.25 3.8
AO,CRT	07/28	SYSTEMATIC FINANCIAL MGT	035	CVS	B	2,700	37.72	n/a	n/a	90.99 3.4
AO,	08/01	SYSTEMATIC FINANCIAL MGT	035	FIX	S	6,500	14.45	n/a	n/a	243.75 3.8
AO,	08/01	HOLLIS CAPITAL	033	GDX	B	6,000	31.51	n/a	n/a	300.00 5.0
AO,	07/28	SYSTEMATIC FINANCIAL MGT	035	M	S	6,000	17.76	14-Jul	4-Aug	225.00 3.8
AO,CXL	07/28	SYSTEMATIC FINANCIAL MGT	035	M	S	6,000	17.76	14-Jul	4-Aug	225.00 3.8
AO,CXL	07/29	SYSTEMATIC FINANCIAL MGT	035	M	S	7,100	18.03	14-Jul	4-Aug	266.25 3.8
AO,CRT	07/29	SYSTEMATIC FINANCIAL MGT	035	M	S	7,100	18.03	14-Jul	4-Aug	266.25 3.8
AO,CRT	07/31	BRIGADE CAPITAL MGMT	029	MER	B	75,000	26.18	24-Jun	29-Jul	2250.00 3.0
AO,CXL	07/31	BRIGADE CAPITAL MGMT	029	MER	B	75,000	26.18	24-Jun	29-Jul	3750.00 5.0
AO,	07/31	SYSTEMATIC FINANCIAL MGT	035	NNN	B	300	21.26	n/a	n/a	11.25 3.8
AO,CXL	07/31	SYSTEMATIC FINANCIAL MGT	035	NNN	B	300	21.26	n/a	n/a	11.25 3.8
AO,CXL	08/01	COUGAR TRADING	044	PSUN	B	20,000	8.85	n/a	4-Aug	1000.00 5.0
AO,CRT	08/01	COUGAR TRADING	044	PSUN	B	20,000	8.85	n/a	4-Aug	800.00 4.0
AO,	07/29	COLUMBUS CIRCLE	036	STJ	B	50	46.93	n/a	n/a	2.00 4.0
AO,CXL	07/29	COLUMBUS CIRCLE	036	STJ	B	50	46.93	n/a	n/a	2.00 4.0
AO,	08/01	IRONBOUND CAPITAL	012	TIN	S	257,100	16.32	29-Apr	30-Jul	7713.00 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/01	NWQ INVESTMENT MGMT CO	000	TIN	S	2,300	16.05	29-Apr	30-Jul	92.00 4.0
AO,	08/01	NWQ INVESTMENT MGMT CO	048	TIN	S	111,000	16.05	29-Apr	30-Jul	4440.00 4.0
AO,CXL	07/30	SYSTEMATIC FINANCIAL MGT	035	TIN	B	1,800	15.30	29-Apr	30-Jul	67.50 3.8
AO,	07/30	SYSTEMATIC FINANCIAL MGT	035	TIN	B	1,800	15.30	29-Apr	30-Jul	67.50 3.8
AO,CRT	08/01	ARTX	031	TOMO	S	129,500	5.23	n/a	n/a	5180.00 4.0
AO,CRT	07/30	CAVU CAP ADV	028	VC	B	3,408	2.94	n/a	31-Jul	170.40 5.0
AO,CXL	07/30	CAVU CAP ADV	028	VC	B	3,408	2.94	n/a	31-Jul	170.40 5.0
AO,	07/29	SYSTEMATIC FINANCIAL MGT	035	XOM	S	1,400	80.42	n/a	n/a	52.50 3.8
AO,CXL	07/29	SYSTEMATIC FINANCIAL MGT	035	XOM	S	1,400	80.42	n/a	n/a	52.50 3.8

<b>TOTAL (AO, CXL, CRT) :</b>	<b>16,258.49</b>
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TOTAL (Trade Date) :	133,826.75
TOTAL (AO, CXL, CRT) :	16,258.49

<b>TOTAL (RUN DATE) / NFS:</b>	<b>150,085.24</b>
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MRI Securities with Trade Activity on 4-Aug. NONE
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MRI Securities without Trade Activity on 4-Aug.
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CHD, CLX, GM, IVZ, SMG

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

T-Date = 38%

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