



# Daily Compliance Activity Report

Trade Date: 10/17/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PZENA INV ADV	044	ABC	S	15,150	31.10	n/a	n/a	530.25	3.5
ARIENCE CAPITAL	036	ACN	SS	15,800	31.41	n/a	n/a	790.00	5.0
PZENA INV ADV	044	ACS	S	7,325	43.23	n/a	n/a	256.38	3.5
COUGAR TRADING	044	AEO	B	5,000	9.81	n/a	10-Oct	250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>AG</b>	<b>S</b>	<b>45,000</b>	<b>31.37</b>	<b>n/a</b>	<b>30-Jul</b>	<b>non-brg</b>	<b>4.0</b>
PZENA INV ADV	044	ALL	S	15,350	29.70	n/a	n/a	537.25	3.5
PZENA INV ADV	044	AMGN	S	5,625	51.76	n/a	26-Jan	196.88	3.5
SUN AMERICA ASSET MGMT	030	ANF	S	13,200	30.38	7-Aug	10-Oct	660.00	5.0
BEAR STEARNS ASSET MGMT.	033	ANN	C	17,400	14.45	n/a	8-Oct	696.00	4.0
<b>LUCHANSKY1</b>	<b>036</b>	<b>AOC</b>	<b>B</b>	<b>200</b>	<b>38.70</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>SINCLAIR</b>	<b>031</b>	<b>APCEG</b>	<b>B</b>	<b>25</b>	<b>7.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>SINCLAIR</b>	<b>031</b>	<b>APCEG</b>	<b>S</b>	<b>25</b>	<b>9.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LUCHANSKY1</b>	<b>036</b>	<b>APC</b>	<b>B</b>	<b>100</b>	<b>36.89</b>	<b>n/a</b>	<b>14-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>APP</b>	<b>B</b>	<b>20,000</b>	<b>6.04</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
DECADE CAPITAL PARTNERS	040	BAC	B	75,000	23.97	15-Oct	17-Oct	3,750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
PZENA INV ADV	044	BAC	S	26,550	24.01	15-Oct	17-Oct	929.25 3.5
BEAR STEARNS ASSET MGMT.	033	BBBY	C	17,400	24.88	n/a	n/a	696.00 4.0
⚡ BUCK CAPITAL MGMT		BBY+WY	SS	2,000	1.23	n/a	n/a	non-brg 300.0
BEAR STEARNS ASSET MGMT.	033	BBY	C	8,900	24.48	n/a	27-Jul	356.00 4.0
BUCK CAPITAL MGMT	001	BBY	B	100,000	25.21	n/a	27-Jul	4,000.00 4.0
⚡ BUCK CAPITAL MGMT		BLK	S	1,000	150.07	n/a	17-Oct	non-brg 1.0
PZENA INV ADV	044	BMY	S	22,525	17.12	n/a	n/a	788.38 3.5
PZENA INV ADV	044	BP	S	6,500	42.89	n/a	n/a	227.50 3.5
COUGAR TRADING	044	BWA	SS	5,000	22.08	10-Jun	17-Oct	250.00 5.0
SOROS	036	BWA	SS	95,000	21.14	10-Jun	17-Oct	3,800.00 4.0
ROYCE TRADING	216	CAB	B	5,000	9.63	n/a	n/a	250.00 5.0
⚡ BUCK CAPITAL MGMT		CAL	S	27,500	17.15	n/a	n/a	non-brg 4.0
PZENA INV ADV	044	CA	S	23,700	14.94	n/a	n/a	829.50 3.5
ROYCE TRADING	216	CCC	S	5,000	17.25	n/a	n/a	250.00 5.0
RAINIER INV MGMT	035	CGX	S	29,400	14.68	n/a	n/a	1,470.00 5.0
PZENA INV ADV	044	CMA	S	9,250	30.03	n/a	n/a	323.75 3.5
⚡ BUCK CAPITAL MGMT		CMG+VL	C	459	15.26	n/a	n/a	non-brg 300.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>CMG+VM</b>	<b>C</b>	<b>731</b>	<b>20.88</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>300.0</b>
PRINCIPLE CAPITAL	040	COH	SS	59,300	18.18	8-Oct	8-Oct	1,779.00	3.0
SANDLER CAPITAL	038	COH	SS	120,000	18.21	8-Oct	8-Oct	6,000.00	5.0
ROYCE TRADING	216	CR	B	10,000	19.15	n/a	n/a	500.00	5.0
PZENA INV ADV	044	C	S	49,375	16.00	15-Sep	17-Oct	1,728.13	3.5
SANDLER O'NEILL ASSET	031	C	B	40,000	15.11	15-Sep	17-Oct	2,000.00	5.0
<b>KAICHER</b>	<b>064</b>	<b>C</b>	<b>B</b>	<b>2,000</b>	<b>15.14</b>	<b>15-Sep</b>	<b>17-Oct</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	DAI	B	10,000	34.37	n/a	n/a	500.00	5.0
COUGAR TRADING	044	DAI	SS	10,000	33.62	n/a	n/a	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>DAL</b>	<b>S</b>	<b>30,000</b>	<b>9.07</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
TROUBH PART	067	DAL	S	50,000	8.50	n/a	n/a	2,500.00	5.0
<b>AMATURO</b>	<b>018</b>	<b>DAVWI</b>	<b>B</b>	<b>20</b>	<b>5.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>AMATURO</b>	<b>018</b>	<b>DAVWI</b>	<b>S</b>	<b>20</b>	<b>5.45</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CRAMER ROSENTHAL/SCOTT	012	DBRN	S	1,400	8.75	n/a	n/a	56.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>DHI</b>	<b>B</b>	<b>30,000</b>	<b>6.84</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
CRAMER ROSENTHAL/SCOTT	012	DLTR	S	800	35.08	n/a	15-Oct	32.00	4.0
<b>BRUNNER</b>	<b>012</b>	<b>DUG</b>	<b>B</b>	<b>500</b>	<b>47.78</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>EDU+WK</b>	<b>SS</b>	<b>1,784</b>	<b>5.55</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>300.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DECADE CAPITAL PARTNERS	040	FHN	B	30,000	10.98	n/a	n/a	1,500.00	5.0
⚡ BUCK CAPITAL MGMT		FMQ+VF	C	968	2.98	n/a	n/a	non-brg	300.0
⚡ BUCK CAPITAL MGMT		FUA+KD	SS	2,000	0.85	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT	001	GCO	B	10,000	24.09	n/a	10-Jan	400.00	4.0
⚡ BUCK CAPITAL MGMT		GCO	B	902	22.17	n/a	10-Jan	non-brg	1.0
JP MORGAN VENTURES	046	GIL	S	15,000	20.68	8-Sep	16-Oct	750.00	5.0
EFSTATHIOU	044	GTE	S	500	2.37	n/a	n/a	0.00	0.0
NOMURA CAPITAL	045	GT	S	9,900	11.56	n/a	n/a	495.00	5.0
⚡ BUCK CAPITAL MGMT		HAS+VG	C	1,813	4.90	n/a	n/a	non-brg	300.0
⚡ BUCK CAPITAL MGMT		HAS+VZ	C	1,453	2.38	n/a	n/a	non-brg	300.0
⚡ BUCK CAPITAL MGMT		HAS+WY	SS	2,000	1.50	n/a	n/a	non-brg	300.0
⚡ BUCK CAPITAL MGMT		HAS	C	100,000	30.19	n/a	n/a	non-brg	2.0
ARIENCE CAPITAL	036	HON	SS	49,900	29.46	3-Oct	17-Oct	2,495.00	5.0
ROYCE TRADING	216	HOV	B	10,000	4.97	n/a	n/a	300.00	3.0
DECADE CAPITAL PARTNERS	040	HTH	B	30,000	9.06	n/a	n/a	1,500.00	5.0
⚡ BUCK CAPITAL MGMT		HUO+VX	C	1,788	5.01	n/a	n/a	non-brg	300.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		ICON	B	175,000	9.39	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ICON	B	25,000	9.43	n/a	n/a	non-brg	2.0
PRINCIPLE CAPITAL	040	INTC	B	100,000	15.90	n/a	n/a	3,000.00	3.0
ROYCE TRADING	216	IN	B	5,000	13.84	n/a	n/a	250.00	5.0
TALA MANAGEMENT	041	IWM	B	9,268	53.95	n/a	n/a	463.40	5.0
CASTLE ARK	031	JBHT	B	153,280	30.03	n/a	n/a	9,196.80	6.0
B BUCK CAPITAL MGMT		JCG+VX	C	1,000	3.31	n/a	n/a	non-brg	300.0
COUGAR TRADING	044	JCG	B	5,000	19.35	n/a	17-Sep	250.00	5.0
LUCHANSKY1	036	KO	B	100	45.86	n/a	n/a	0.00	0.0
N STRATTON	014	LBY	B	200	3.15	n/a	n/a	0.00	0.0
N STRATTON	014	LEG	C	850	16.00	n/a	n/a	0.00	0.0
MTB INV ADV	034	LNCE	B	15,975	21.30	n/a	n/a	798.75	5.0
SOROS	036	LOW	SS	437,000	18.02	n/a	27-Jul	17,480.00	4.0
BUCK	015	MER	B	1,000	18.09	n/a	17-Oct	0.00	0.0
BUCK	015	MET	SS	500	32.96	n/a	n/a	0.00	0.0
SOROS	036	MGA	SS	58,000	34.44	n/a	n/a	2,320.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK	015	MO	B	1,000	19.66	n/a	n/a	0.00	0.0
BUCK	015	MWO	S	1,400	13.05	n/a	n/a	0.00	0.0
FORD FDN.	032	MYL	S	118,100	8.20	30-May	16-Oct	5,905.00	5.0
COUGAR TRADING	044	M	B	15,000	10.06	12-Aug	10-Oct	750.00	5.0
NOLAN	067	NCC	B	600	3.00	n/a	n/a	0.00	0.0
Ⓕ BUCK CAPITAL MGMT		NKE+WJ	SS	1,000	1.87	n/a	n/a	non-brg	300.0
Ⓕ BUCK CAPITAL MGMT		NKE	SS	100,000	56.36	n/a	n/a	non-brg	4.0
J ROSEALEX	034	NKE	S	100	57.28	n/a	n/a	0.00	0.0
J ROSEIND	034	NKE	S	100	57.40	n/a	n/a	0.00	0.0
J ROSEVIC	034	NKE	S	100	57.40	n/a	n/a	0.00	0.0
COUGAR TRADING	044	NWY	B	5,000	3.26	n/a	13-Oct	150.00	3.0
SCOPUS FUND	041	PCL	B	7,900	39.30	n/a	15-Oct	395.00	5.0
CATTANI	041	PEP	B	100	54.50	n/a	n/a	0.00	0.0
Ⓕ BUCK CAPITAL MGMT		PERY	B	52,386	9.04	n/a	n/a	non-brg	2.5
CATTANI	041	PG	S	100	62.50	10-Oct	10-Oct	0.00	0.0
S.A.C. CAPITAL MGMT.	044	PHM	B	50,000	10.40	n/a	n/a	2,500.00	5.0
HIGHBRIDGE CAPITAL	038	PPG	B	16,000	49.09	n/a	16-Oct	800.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		PVH+KF	SS	2,000	2.36	n/a	n/a	non-brg 300.0	
BUCK CAPITAL MGMT	001	PVH	B	51,000	28.80	8-Oct	8-Oct	2,040.00	4.0
BUCK CAPITAL MGMT		QIA+KB	SS	3,000	0.66	n/a	n/a	non-brg 100.0	
MTB INV ADV	034	RAH	B	5,300	65.35	n/a	n/a	265.00	5.0
BUCK CAPITAL MGMT		RL+WH	SS	1,000	2.10	n/a	n/a	non-brg 300.0	
BUCK CAPITAL MGMT	001	RL	SS	50,000	46.37	n/a	8-Oct	2,000.00	4.0
LOCUS WOOD CAPITAL MGMT	044	RL	B	26,900	46.11	n/a	8-Oct	1,076.00	4.0
CATAPULT	040	ROH	SS	4,000	71.35	n/a	11-Sep	200.00	5.0
BUCK CAPITAL MGMT		RYL	B	12,500	19.31	n/a	n/a	non-brg 4.0	
BRUNNER	012	SDS	B	500	95.83	n/a	n/a	0.00	0.0
EFSTATHIOU	044	SDS	B	100	91.93	n/a	n/a	0.00	0.0
PORTER-ORLIN-FELDMAN	044	SGP	B	42,000	14.74	n/a	n/a	2,100.00	5.0
BUCK CAPITAL MGMT		SKX+KC	SS	2,000	0.55	n/a	n/a	non-brg 100.0	
THE BOSTON COMPANY	401	SKX	B	30,980	12.85	n/a	13-Mar	1,239.20	4.0
LEDDY	035	SLB	B	200	49.07	n/a	n/a	0.00	0.0
LUCHANSKY1	036	SLB	B	200	51.06	n/a	n/a	0.00	0.0
CATAPULT	040	SLX	S	8,100	35.00	n/a	n/a	405.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>EFSTATHIOU</b>	<b>044</b>	<b>SMG</b>	<b>SS</b>	<b>500</b>	<b>24.00</b>	<b>22-Sep</b>	<b>22-Sep</b>	<b>0.00</b>	<b>0.0</b>
CUMBERLAND	038	SPY	SS	100,000	96.38	n/a	n/a	4,000.00	4.0
<b>BRUNNER</b>	<b>012</b>	<b>SSO</b>	<b>S</b>	<b>500</b>	<b>31.12</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	SUP	SS	10,000	13.47	17-Oct	17-Oct	500.00	5.0
SOROS	036	SUP	SS	150,000	13.49	17-Oct	17-Oct	6,000.00	4.0
<b>SINCLAIR</b>	<b>031</b>	<b>SWGKU</b>	<b>B</b>	<b>10</b>	<b>5.65</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>SINCLAIR</b>	<b>031</b>	<b>SWGWN</b>	<b>B</b>	<b>30</b>	<b>5.64</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>SINCLAIR</b>	<b>031</b>	<b>SWGXL</b>	<b>S</b>	<b>30</b>	<b>5.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PZENA INV ADV	044	TEL	B	1,250	20.48	n/a	n/a	43.75	3.5
ADAGE CAPITAL MGMT	030	TJX	B	150,000	26.98	11-Aug	10-Oct	6,000.00	4.0
PHILADELPHIA FINANCIAL	033	TROW	SS	68,000	39.27	19-Sep	17-Oct	2,720.00	4.0
PROSPECTOR PARTNERS LLC	036	TR	B	10,000	24.80	n/a	n/a	400.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>TSCO</b>	<b>SS</b>	<b>20,000</b>	<b>34.94</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>TWB</b>	<b>B</b>	<b>20,000</b>	<b>8.26</b>	<b>n/a</b>	<b>1-Oct</b>	<b>non-brg</b>	<b>4.0</b>
COUGAR TRADING	044	TWB	S	10,000	8.17	n/a	1-Oct	400.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>UAUA</b>	<b>S</b>	<b>30,000</b>	<b>12.50</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.	
EFSTATHIOU	044	VC	S	3,000	1.22	17-Oct	17-Oct	0.00	0.0
COUGAR TRADING	044	VFC	SS	5,000	55.84	n/a	n/a	250.00	5.0
DECADE CAPITAL PARTNERS	040	VLY	B	9,836	18.21	n/a	n/a	491.80	5.0
DECADE CAPITAL PARTNERS	040	WCBO	B	25,000	12.76	n/a	n/a	1,250.00	5.0
DECADE CAPITAL PARTNERS	040	WFC	SS	52,000	34.13	n/a	n/a	2,600.00	5.0
8 BUCK CAPITAL MGMT		WMT+KK	SS	3,000	3.28	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	WMT	B	50,000	54.72	10-Oct	10-Oct	2,000.00	4.0
THIRD POINT MGMT	044	WMT	C	246,300	54.06	10-Oct	10-Oct	9,852.00	4.0
TOTAL (Trade Date):							134,963.97		

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/16	COUGAR TRADING	044	AEO	B	15,000	9.56	n/a	10-Oct	750.00 5.0
AO,CXL	10/16	COUGAR TRADING	044	AEO	B	15,000	9.56	n/a	10-Oct	750.00 5.0
AO,CXL	10/06	BULL PATH CAPITAL	044	CPKI	B	25,000	11.62	8-Oct	13-Oct	1250.00 5.0
AO,	10/06	BULL PATH CAPITAL	044	CPKI	B	3,302	11.62	8-Oct	13-Oct	165.10 5.0
AO,CRT	10/06	BULL PATH CAPITAL	044	CPKI	B	21,698	11.62	8-Oct	13-Oct	1084.90 5.0
AO,CXL	10/16	BULL PATH CAPITAL	044	DRI	S	33,000	20.25	13-Oct	13-Oct	1650.00 5.0
AO,CRT	10/16	BULL PATH CAPITAL	044	DRI	S	33,000	20.25	13-Oct	13-Oct	1650.00 5.0
AO,CXL	10/16	PZENA INV ADV	044	JNJ	S	1,675	62.42	n/a	22-Apr	58.63 3.5
AO,	10/16	PZENA INV ADV	044	JNJ	S	1,675	62.42	n/a	22-Apr	0.00 0.0
AO,	10/16	ENDEAVOUR CAPITAL	035	JPM	B	83,200	37.45	26-Sep	17-Oct	4160.00 5.0
AO,CRT	10/16	SLS CAPITAL LLC	224	M	S	263,700	8.22	12-Aug	10-Oct	7911.00 3.0
AO,CXL	10/16	SLS CAPITAL LLC	224	M	S	263,700	8.22	12-Aug	10-Oct	10548.00 4.0
AO,CXL	10/16	COUGAR TRADING	044	NWY	B	25,000	3.23	n/a	13-Oct	750.00 3.0
AO,CRT	10/16	COUGAR TRADING	044	NWY	B	25,000	3.23	n/a	13-Oct	750.00 3.0
AO,	10/16	NOMURA CAPITAL	045	PTRY	S	13,400	19.00	n/a	n/a	670.00 5.0
AO,	10/16	PERFORMANCE PART LP #2	041	WY	B	3,000	38.62	n/a	15-Oct	150.00 5.0
AO,CRT	10/16	PERFORMANCE PART LP #2	041	WY	B	12,000	38.62	n/a	15-Oct	600.00 5.0
AO,CXL	10/16	PERFORMANCE PART LP #2	041	WY	B	15,000	38.62	n/a	15-Oct	750.00 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>2,134.37</b>

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TOTAL (Trade Date):	134,963.97
TOTAL (AO, CXL, CRT):	2,134.37

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>137,098.34</b>
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MRI Securities with Trade Activity on 17-Oct. SUP, VC
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MRI Securities without Trade Activity on 17-Oct. ALV, ARGN, ETN, ITW, JWN
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BRG comm. as a % of BCM Total Comm. paid. T-Date = 10% YTD = 18%
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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