



Daily Compliance Activity Report

Trade Date: 09/29/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 1

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
BUCK CAPITAL MGMT		AAPL	S	5,000	109.63	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT	001	AEO	B	35,000	14.77	n/a	5-Sep	1,400.00 4.0
COUGAR TRADING	044	AEO	S	5,000	14.23	n/a	5-Sep	250.00 5.0
REINHART & MAHONEY	031	AFG	B	19,200	28.38	n/a	n/a	960.00 5.0
PRINCIPLE CAPITAL	040	AMZN	B	26,200	64.40	n/a	n/a	1,048.00 4.0
BUCK CAPITAL MGMT		AN+WB	SS	1,000	0.60	n/a	n/a	non-brg 100.0
BUCK CAPITAL MGMT		AN+WB	SS	3,000	0.46	n/a	n/a	non-brg 100.0
BUCK CAPITAL MGMT	001	ARO	B	50,000	31.55	28-Apr	5-Sep	2,000.00 4.0
COUGAR TRADING	044	ARO	B	5,000	31.70	28-Apr	5-Sep	250.00 5.0
MTB INV ADV	034	ARO	B	11,700	30.61	28-Apr	5-Sep	585.00 5.0
PALMYRA CAPITAL	048	ARO	B	7,800	31.55	28-Apr	5-Sep	312.00 4.0
ROTHSCHILD ASSET	040	AWI	B	24,160	30.04	n/a	n/a	1,087.20 4.5
BUCK CAPITAL MGMT		BBY	SS	100,000	36.82	n/a	27-Jul	non-brg 4.0
PHILADELPHIA FINANCIAL	033	BEN	S	2,210	99.22	10-Sep	19-Sep	88.40 4.0
IRIDIAN ASSET MGMT.	036	BIIB	S	169,470	51.06	n/a	n/a	8,473.50 5.0
FRONTPOINT/COPIA-ANDREW	031	BK	B	8,800	27.30	n/a	19-Sep	352.00 4.0
BUCK	015	CAT	C	1,000	60.74	19-Sep	19-Sep	0.00 0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PROSPECTOR PARTNERS LLC	036	CCE	B	25,000	16.89	n/a	n/a	1,000.00	4.0
B BUCK CAPITAL MGMT		CCI	B	10,000	28.12	n/a	n/a	non-brg	4.0
WYCKOFF	013	CHCG	S	2,000	1.20	n/a	n/a	0.00	0.0
CENTURION GLOBAL MGMT LL	041	CHK	B	16,000	32.41	n/a	n/a	480.00	3.0
BUCK CAPITAL MGMT	001	CHS	S	200,000	5.10	8-Aug	24-Sep	8,000.00	4.0
PALMYRA CAPITAL	048	CHS	S	254,500	5.07	8-Aug	24-Sep	5,090.00	2.0
NWQ INVESTMENT MGMT CO	046	CLR	B	8,800	33.26	n/a	n/a	352.00	4.0
NWQ INVESTMENT MGMT CO	046	CNQ	B	3,200	65.74	n/a	n/a	128.00	4.0
BUCK CAPITAL MGMT	001	COH	S	20,000	24.69	30-Jul	28-Aug	800.00	4.0
B BUCK CAPITAL MGMT		COH	S	20,000	24.76	30-Jul	28-Aug	non-brg	4.0
ENTRUST CAPITAL	040	COH	B	92,400	23.96	30-Jul	28-Aug	4,620.00	5.0
B BUCK CAPITAL MGMT		CPN	B	35,000	12.60	n/a	n/a	non-brg	4.0
Õ Doug Rogers		CPN	S	10318	12.53	n/a	n/a	0.00	0.0
FRONTPOINT CHRIS C	041	CTL	SS	12,700	37.67	n/a	n/a	508.00	4.0
J.W. SELIGMAN	041	CVS	B	99,700	32.50	n/a	n/a	3,988.00	4.0
ZOLIDIS	011	CWTR	C	2,000	5.55	n/a	n/a	0.00	0.0
KLEINHEINZ CAP PART	031	C	B	100,000	20.26	15-Sep	19-Sep	5,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		DAI+WI	SS	2,000	1.10	n/a	n/a	non-brg	300.0
OGORMAN	046	DDM	S	250	52.96	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		DECK	B	5,000	103.04	n/a	n/a	non-brg	4.0
ZOLIDIS	011	DECK	B	200	104.00	n/a	n/a	0.00	0.0
SINCLAIR	031	DIAWA	S	20	6.50	n/a	n/a	0.00	0.0
AMATURO	018	DIAWB	S	60	5.31	n/a	n/a	0.00	0.0
HART	056	DIAWB	S	8	5.50	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		DIA	C	20,000	108.44	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		DIA	SS	50,000	109.01	n/a	n/a	non-brg	2.0
OGORMAN	046	DIG	S	200	65.21	n/a	n/a	0.00	0.0
MKT MAKER	099	DISH	B	100	20.00	n/a	4-Jan	0.00	0.0
NWQ INVESTMENT MGMT CO	046	DNR	B	10,500	17.54	n/a	n/a	420.00	4.0
THIRD POINT MGMT	044	DRI	C	250,000	27.42	26-Aug	18-Sep	10,000.00	4.0
OGORMAN	046	DXD	B	200	65.93	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		EBHI	S	50,000	5.35	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		EDU	SS	25,000	61.66	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	EL	SS	100,000	50.02	15-Aug	4-Sep	4,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVIN CAPITAL STRATEGIES	012	EMR	C	15,000	39.55	n/a	n/a	600.00	4.0
ß BUCK CAPITAL MGMT		EV	C	17,000	29.63	21-Aug	19-Sep	non-brg	4.0
BENCHMARK	028	EXPO	S	8,000	32.81	n/a	n/a	400.00	5.0
ZOLIDIS	011	FINL	C	1,000	10.25	n/a	28-Mar	0.00	0.0
BUCK CAPITAL MGMT	001	FL	S	150,000	16.22	11-Aug	29-Sep	6,000.00	4.0
ß BUCK CAPITAL MGMT		FOSL	S	20,000	27.01	n/a	17-Sep	non-brg	2.0
ß BUCK CAPITAL MGMT		FOSL	S	67,400	26.42	n/a	17-Sep	non-brg	4.0
ß BUCK CAPITAL MGMT		FOSL	S	80,000	27.01	n/a	17-Sep	non-brg	4.0
BUCK	015	FTQKW	S	12	1.15	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		FUA+KF	SS	1,000	0.95	n/a	n/a	non-brg	100.0
LEVIN CAPITAL STRATEGIES	012	GD	SS	10,000	72.88	n/a	n/a	400.00	4.0
ß BUCK CAPITAL MGMT		GES+KH	SS	2,000	1.26	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	GES	S	55,000	35.02	n/a	n/a	2,200.00	4.0
ß BUCK CAPITAL MGMT		GES	S	30,000	35.32	n/a	n/a	non-brg	2.0
COUGAR TRADING	044	GIL	S	10,000	22.51	8-Sep	8-Sep	500.00	5.0
WILLIAM BLAIR	031	GIL	B	80,300	22.27	8-Sep	8-Sep	3,212.00	4.0
S CAST	016	GMO	B	200	4.47	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AMATURO	018	GMO	B	4,000	4.37	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		GPS+WW	SS	2,000	1.12	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		GPS	SS	200,000	18.08	n/a	23-Sep	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GPS	SS	40,000	17.83	n/a	23-Sep	non-brg	4.0
CENTURION GLOBAL MGMT LL	041	GPS	B	18,900	18.20	n/a	23-Sep	567.00	3.0
COUGAR TRADING	044	GPS	SS	10,000	18.08	n/a	23-Sep	500.00	5.0
COUGAR TRADING	044	GPS	S	15,000	18.09	n/a	23-Sep	750.00	5.0
⌘ BUCK CAPITAL MGMT		GS	B	26,500	123.12	15-Sep	24-Sep	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GYMB	S	110,000	35.82	11-Jul	5-Sep	non-brg	4.0
BUCK	015	HD	C	1,000	25.81	n/a	27-Jul	0.00	0.0
⌘ BUCK CAPITAL MGMT		HOT+WX	SS	1,000	1.10	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	HOT	SS	10,000	27.17	n/a	n/a	400.00	4.0
MOORE CAPITAL	036	HPQ	B	100,000	45.36	n/a	n/a	4,000.00	4.0
LEVIN CAPITAL STRATEGIES	012	HRS	B	10,000	45.38	2-Jun	22-Sep	400.00	4.0
LEVIN CAPITAL STRATEGIES	012	HRS	S	15,000	45.41	2-Jun	22-Sep	600.00	4.0
FRONTPOINT CHRIS C	041	HSP	S	8,100	38.49	n/a	22-Apr	324.00	4.0
⌘ BUCK CAPITAL MGMT		IJR	C	28,000	59.97	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		IJS	C	19,800	65.17	n/a	n/a	non-brg	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MCCARTAN	028	IP	SS	200	27.90	22-Sep	22-Sep	0.00	0.0
ß BUCK CAPITAL MGMT		IWM	C	26,600	68.45	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		IWM	SS	75,000	68.91	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		IWO	C	27,600	71.33	n/a	n/a	non-brg	2.0
SINCLAIR	031	IZUCF	S	4	1.40	n/a	n/a	0.00	0.0
WYCKOFF	013	JADE	S	800	1.02	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		JCG	S	30,000	27.94	n/a	17-Sep	non-brg	4.0
COUGAR TRADING	044	JCG	S	10,000	27.02	n/a	17-Sep	500.00	5.0
BUCK CAPITAL MGMT	001	JCP	SS	200,000	33.44	n/a	5-Sep	8,000.00	4.0
HUNTER GLOBAL INVESTOR	067	JNJ	B	50,000	67.54	n/a	22-Apr	2,500.00	5.0
MAIRS AND POWER INV	030	JNJ	S	10,000	69.46	n/a	22-Apr	500.00	5.0
ß BUCK CAPITAL MGMT		JOSB	S	20,000	33.37	n/a	n/a	non-brg	4.0
MAGUIRE	039	JPMLJ	S	10	3.35	n/a	n/a	0.00	0.0
SECOND CURVE	031	JPM	S	75,000	46.39	26-Sep	26-Sep	3,750.00	5.0
BUCK CAPITAL MGMT	001	JWN	SS	50,000	27.71	10-Jul	17-Sep	2,000.00	4.0
SINCLAIR	031	KGCBW	S	10	2.60	n/a	n/a	0.00	0.0
MCCARTAN	028	KMT	C	100	26.89	18-Sep	18-Sep	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
STRONG/MARK GRONET	030	KRE	B	100,000	34.66	n/a	n/a	4,000.00	4.0
BUCK CAPITAL MGMT	001	KSS	B	20,000	47.07	n/a	5-Sep	800.00	4.0
ß BUCK CAPITAL MGMT		KSS	S	50,000	45.05	n/a	5-Sep	non-brg	4.0
CASEY CAPITAL	067	KSS	B	5,000	47.33	n/a	5-Sep	250.00	5.0
BUCK CAPITAL MGMT	001	LIZ	S	10,000	16.56	n/a	18-Sep	400.00	4.0
EGS ASSOCIATES LP	091	LTD	B	4,000	17.91	19-Aug	17-Sep	240.00	6.0
HUNTER GLOBAL INVESTOR	067	MCD	B	50,000	60.25	9-Sep	25-Sep	2,500.00	5.0
N STRATTON	014	MCF	S	150	52.82	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		MDY	C	7,000	131.67	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		MER	B	80,400	25.14	24-Jun	19-Sep	non-brg	4.0
FRONTPOINT CHRIS C	041	MIDD	SS	4,200	53.90	11-Aug	11-Aug	168.00	4.0
ß BUCK CAPITAL MGMT		MIR	B	69,400	18.51	n/a	n/a	non-brg	4.0
Õ Doug Rogers		MIR	S	995	17.65	n/a	n/a	0.00	0.0
FRONTPOINT/COPIA-ANDREW	031	MSM	SS	5,200	46.71	n/a	n/a	208.00	4.0
ß BUCK CAPITAL MGMT		MS	B	107,600	22.92	15-Sep	22-Sep	non-brg	4.0
ß BUCK CAPITAL MGMT		MW+WW	SS	1,000	0.55	n/a	n/a	non-brg	100.0
KORMAN	003	MWO	B	2,000	9.00	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ZOLIDIS	011	MWO	B	1,200	10.50	n/a	n/a	0.00	0.0
LEDDY	035	MWO	B	1,000	8.75	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	MW	SS	30,000	20.83	n/a	n/a	1,200.00	4.0
ß BUCK CAPITAL MGMT		M	S	120,000	17.84	12-Aug	29-Aug	non-brg	4.0
COUGAR TRADING	044	M	B	15,000	17.75	12-Aug	29-Aug	750.00	5.0
ROTHSCHILD ASSET	040	M	S	41,990	18.15	12-Aug	29-Aug	1,889.55	4.5
KAICHER	064	NCC	B	5,000	1.75	n/a	n/a	0.00	0.0
MILLER	025	PBR	B	50	41.45	n/a	n/a	0.00	0.0
TRUSTCO/SUNTRUST	040	PKG	B	23,300	23.00	11-Sep	22-Sep	745.60	3.2
ß BUCK CAPITAL MGMT		PLCE	S	50,000	34.25	21-Aug	5-Sep	non-brg	4.0
ß BUCK CAPITAL MGMT		PLQ+WX	SS	1,000	1.50	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		PLQ+XD	SS	1,000	0.95	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT	001	PSS	S	30,000	18.18	n/a	n/a	1,200.00	4.0
J L F ASSET MGMT	039	PSUN	SS	10,985	6.43	n/a	5-Sep	439.40	4.0
THOMSON HORSTMAN BRYANT	040	PVH	S	85,600	36.68	n/a	28-Aug	4,280.00	5.0
MOORE CAPITAL	036	QCOM	B	100,000	42.17	n/a	n/a	4,000.00	4.0
SOUTH POINT CAP	067	RIO	S	100,000	18.26	n/a	n/a	5,000.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STRAUSS ASSET MGMT	040	RNIN	S	4,600	2.42	n/a	n/a	184.00	4.0
ß BUCK CAPITAL MGMT		RTH	S	10,000	91.30	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		RTH	S	125,000	90.04	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		RTH	S	50,000	89.97	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		RTH	S	65,000	90.85	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		SBAC	B	20,000	25.15	n/a	n/a	non-brg	4.0
ZOLIDIS	011	SDS	S	1,000	74.84	n/a	n/a	0.00	0.0
OGORMAN	046	SDS	B	300	75.00	n/a	n/a	0.00	0.0
Õ Mark Megalli		SHOO	S	2000	25.00	n/a	n/a	0.00	0.0
IRIDIAN ASSET MGMT.	036	SHPGY	B	13,540	48.61	21-May	23-Sep	677.00	5.0
BUCK	015	SLB	S	600	80.97	n/a	n/a	0.00	0.0
LEDDY	035	SLB	B	250	78.05	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SPLS	SS	50,000	22.68	n/a	27-Jul	non-brg	2.0
ß BUCK CAPITAL MGMT		SPY	SS	50,000	116.18	n/a	n/a	non-brg	2.0
LUCHANSKY	036	SPY	S	100	113.32	n/a	n/a	0.00	0.0
LUCHANSKY1	036	SPY	S	100	116.13	n/a	n/a	0.00	0.0
COUGAR TRADING	044	SSO	S	15,000	48.35	n/a	n/a	750.00	5.0
OGORMAN	046	SSO	S	300	49.53	n/a	n/a	0.00	0.0
TRELLUS PARTNERS LP	028	SUP	SS	400	19.55	25-Jul	8-Aug	20.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SINCLAIR	031	SWNLF	B	2	4.00	n/a	n/a	0.00	0.0
MS PRINCIPAL STRATEGIES	041	TEO	B	31,500	12.64	n/a	n/a	1,575.00	5.0
COUGAR TRADING	044	TJX	B	5,000	30.88	11-Aug	5-Sep	250.00	5.0
PNC/MERCANTILE	028	TPX	S	7,240	11.91	n/a	n/a	362.00	5.0
B BUCK CAPITAL MGMT		TROW	C	33,000	52.01	19-Sep	19-Sep	non-brg	4.0
B BUCK CAPITAL MGMT		TSCO	SS	10,000	43.78	n/a	n/a	non-brg	4.0
ZOLIDIS	011	TWM	S	150	73.00	n/a	n/a	0.00	0.0
MKT MAKER	099	TWTC	B	100	10.00	n/a	4-Jan	0.00	0.0
COUGAR TRADING	044	UA	S	5,000	31.54	22-Sep	22-Sep	250.00	5.0
B BUCK CAPITAL MGMT		URBN	S	70,000	32.92	14-Aug	17-Sep	non-brg	4.0
COUGAR TRADING	044	URBN	B	5,000	32.23	14-Aug	17-Sep	250.00	5.0
COUGAR TRADING	044	URBN	SS	5,000	33.19	14-Aug	17-Sep	250.00	5.0
KORMAN	003	URBN	C	2,000	32.25	14-Aug	17-Sep	0.00	0.0
NOMURA CAPITAL	045	USO	SS	10,000	80.83	n/a	n/a	500.00	5.0
ZOLIDIS	011	UYG	B	2,600	18.80	n/a	n/a	0.00	0.0
MCCARTAN	028	UYG	B	200	16.69	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	WRC	S	50,000	46.03	8-Aug	28-Aug	2,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	WRC	B	5,000	46.38	8-Aug	28-Aug	250.00	5.0
COUGAR TRADING	044	WRC	SS	5,000	45.39	8-Aug	28-Aug	250.00	5.0
Õ Mark Megalli		WTSLA	S	6000	3.64	n/a	n/a	0.00	0.0
MAGNETAR FINANCIAL	031	XLE	SS	100,000	64.86	n/a	n/a	3,000.00	3.0
ß BUCK CAPITAL MGMT		XRT	S	350,000	29.58	n/a	n/a	non-brg	2.0
AMATURO	018	X	B	1,000	72.67	n/a	n/a	0.00	0.0
BUCK	015	YUM	B	500	33.40	14-Aug	25-Sep	0.00	0.0
ß BUCK CAPITAL MGMT		ZLC	C	50,000	24.94	n/a	n/a	non-brg	4.0
TOTAL (Trade Date):							137,933.65		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/26	SOROS	036	INTC	B	3,000,000	19.01	n/a	n/a	90000.00 3.0
AO,CRT	09/26	COLUMBUS CIRCLE	036	MRVL	S	158,157	9.63	n/a	n/a	6326.28 4.0
AO,CXL	09/26	COLUMBUS CIRCLE	036	MRVL	S	158,157	9.63	n/a	n/a	3163.14 2.0
AO,CRT	09/26	COUGAR TRADING	044	TWB	B	25,000	9.11	n/a	20-Aug	1000.00 4.0
AO,CXL	09/26	COUGAR TRADING	044	TWB	B	25,000	9.11	n/a	20-Aug	1250.00 5.0
AO,CXL	09/26	COUGAR TRADING	044	ZQK	B	30,000	6.04	27-Aug	5-Sep	1500.00 5.0
AO,CRT	09/26	COUGAR TRADING	044	ZQK	B	30,000	6.04	27-Aug	5-Sep	1200.00 4.0
TOTAL (AO, CXL, CRT) :										92,613.14

TOTAL (Trade Date):	137,933.65
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TOTAL (RUN DATE) / NFS:	230,546.79
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MRI Securities with Trade Activity on 29-Sep. NONE

MRI Securities without Trade Activity on 29-Sep. NONE
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BRG comm. as a % of BCM Total Comm. paid.

T-Date = 27%

YTD = 19%

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