



Daily Compliance Activity Report

Trade Date: 10/03/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		AAPL	B	5,000	102.11	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		AAPL	S	5,000	98.55	n/a	n/a	non-brg	1.0
KARP	023	AAPL	B	100	103.81	n/a	n/a	0.00	0.0
KORMAN	003	ACI	B	1,000	29.99	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	ACL	S	450	162.09	29-Apr	30-Sep	22.50	5.0
BUCK CAPITAL MGMT		AEO+JC	SS	2,000	0.45	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT		AEO	B	90,000	13.93	n/a	3-Oct	non-brg	4.0
SAC TRADING HOWARD	038	AEO	B	17,400	13.78	n/a	3-Oct	870.00	5.0
RAINIER INV MGMT	035	AGN	B	134,890	48.22	n/a	30-Sep	5,395.60	4.0
BUCK CAPITAL MGMT		AIT	SS	45,000	24.92	n/a	n/a	non-brg	4.0
GRANAHAN INV	039	ALV	S	5,400	30.73	23-Jul	30-Jul	216.00	4.0
TRUSTCO/SUNTRUST	040	ALV	B	75,100	30.97	23-Jul	30-Jul	2,403.20	3.2
BUCK CAPITAL MGMT		ANN	SS	50,000	18.94	n/a	17-Sep	non-brg	4.0
BUCK CAPITAL MGMT		APP	B	60,000	8.02	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		ARO	B	90,000	29.38	28-Apr	3-Oct	non-brg	4.0
COUGAR TRADING	044	ARO	B	15,000	28.95	28-Apr	3-Oct	750.00	5.0
BUCK CAPITAL MGMT		BBBY	SS	30,000	30.06	n/a	n/a	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK	015	BBBY	SS	1,500	29.51	n/a	n/a	0.00	0.0
WHEELER	008	BEAV	B	10,000	12.55	n/a	n/a	0.00	0.0
BUCK	015	BUD	B	1,200	65.61	n/a	n/a	0.00	0.0
ZOLIDIS	011	BX	S	200	15.82	n/a	n/a	0.00	0.0
ROYCE TRADING	216	CAB	B	10,000	9.99	n/a	n/a	500.00	5.0
ARIENCE CAPITAL	036	CAT	SS	39,560	52.84	19-Sep	19-Sep	1,978.00	5.0
KORMAN	003	CBI	B	2,000	17.89	n/a	n/a	0.00	0.0
Ⓐ BUCK CAPITAL MGMT		CBRL	SS	20,000	24.58	n/a	n/a	non-brg	4.0
SEASONS CAPITAL	040	CHK	S	100,000	30.24	n/a	n/a	5,000.00	5.0
LUCHANSKY1	036	CHL	B	100	50.22	n/a	n/a	0.00	0.0
HEALY CIRCLE	044	CLF	SS	30,000	40.59	n/a	n/a	1,500.00	5.0
PATTEN & PATTEN	067	CL	S	540	76.28	29-Jul	29-Jul	27.00	5.0
REICH AND TANG	067	CMC	B	5,000	14.09	n/a	n/a	250.00	5.0
ZOLIDIS	011	CMG	S	50	53.59	12-Sep	12-Sep	0.00	0.0
Ⓐ BUCK CAPITAL MGMT		COST	SS	60,000	63.90	n/a	27-Jul	non-brg	4.0
REICH AND TANG	067	CR	B	6,000	26.97	n/a	n/a	300.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Õ Alice Longley		CS	S	503	49.94	n/a	n/a	0.00	0.0
REICH AND TANG	067	CYT	B	5,000	37.38	n/a	n/a	250.00	5.0
IVORY CAPITAL	034	C	B	150,000	18.15	15-Sep	3-Oct	7,500.00	5.0
NATIONAL BK OF CAN	031	C	B	85,000	19.67	15-Sep	3-Oct	3,400.00	4.0
NATIONAL BK OF CAN	031	C	S	50,000	19.27	15-Sep	3-Oct	2,000.00	4.0
BUCK	015	DHR	C	1,000	66.32	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		DIA	C	18,000	103.56	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		DIA	C	95,000	106.52	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		DIN	SS	25,000	14.54	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DIN	SS	25,000	15.31	n/a	n/a	non-brg	4.0
Õ Alice Longley		DIS	S	1200	30.19	n/a	n/a	0.00	0.0
Õ Alice Longley		DIS	S	300	30.24	n/a	n/a	0.00	0.0
IRIDIAN ASSET MGMT.	036	DRC	B	39,800	29.44	n/a	n/a	1,990.00	5.0
IRIDIAN ASSET MGMT.	036	DVN	S	19,180	87.35	n/a	2-Oct	959.00	5.0
OGORMAN	046	DXD	B	300	64.39	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		EBHI	S	30,000	5.46	n/a	n/a	non-brg	4.0
LUCHANSKY1	036	EEM	B	100	32.61	n/a	n/a	0.00	0.0
REICH AND TANG	067	EMN	B	6,000	51.16	n/a	n/a	300.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ZOLIDIS	011	EWZ	S	32	51.95	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		EXH	B	3,300	27.84	28-Aug	2-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		FDO+WX	SS	1,000	1.20	n/a	n/a	non-brg	300.0
AVESTA CAP	229	FDO	SS	25,000	25.28	23-Jul	3-Oct	1,250.00	5.0
BUCK CAPITAL MGMT	001	FDO	SS	40,000	24.03	23-Jul	3-Oct	1,600.00	4.0
ß BUCK CAPITAL MGMT		FDO	SS	60,000	24.93	23-Jul	3-Oct	non-brg	4.0
KAICHER	064	FEIC	S	1,000	22.50	n/a	n/a	0.00	0.0
KORMAN	003	FLR	B	1,000	50.25	n/a	n/a	0.00	0.0
BAYPOINT TRADING/XYLEM	091	FOR	S	10,000	13.71	n/a	3-Oct	500.00	5.0
BUCK CAPITAL MGMT	001	GES	B	60,000	31.15	n/a	n/a	2,400.00	4.0
KORMAN	003	GE	B	2,000	22.36	n/a	n/a	0.00	0.0
RAMIUS CAP	040	GGG	SS	133,386	32.63	n/a	n/a	6,669.30	5.0
KERN	050	GLW	S	250	14.87	n/a	23-Sep	0.00	0.0
LEDDY	035	GNTX	C	1,800	12.10	2-Oct	2-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	GPS	SS	30,000	17.44	n/a	3-Oct	1,200.00	4.0
ß BUCK CAPITAL MGMT		GQR+WE	SS	1,000	1.45	n/a	n/a	non-brg	300.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		GQR+WE	SS	1,000	1.55	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		GRMN	SS	130,000	29.79	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT		GRMN	SS	20,000	30.25	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		GWW	SS	10,000	80.50	3-Oct	3-Oct	non-brg	4.0
BUCK CAPITAL MGMT		GYMB	S	140,000	32.31	11-Jul	3-Oct	non-brg	4.0
N STRATTON	014	HEMGF	B	1,000	2.30	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		HOT+WX	SS	1,000	1.70	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		HOT	SS	100,000	25.06	n/a	n/a	non-brg	4.0
IRIDIAN ASSET MGMT.	036	HPQ	S	35,290	44.83	n/a	n/a	1,764.50	5.0
REICH AND TANG	067	HUBB	B	3,100	32.76	n/a	n/a	155.00	5.0
KORMAN	003	HXL	B	10,000	11.86	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		IJS	C	18,000	60.36	n/a	n/a	non-brg	1.0
PHILADELPHIA FINANCIAL	033	IVZ	S	56,600	21.64	6-Oct	2-Oct	2,264.00	4.0
BUCK CAPITAL MGMT		IWM	C	24,000	62.13	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		IWM	C	300,000	65.11	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		IWO	C	25,000	63.90	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		JCG+WE	SS	500	2.80	n/a	n/a	non-brg	300.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
B BUCK CAPITAL MGMT		JCG	SS	50,000	25.07	n/a	17-Sep	non-brg 2.0
COUGAR TRADING	044	JCG	B	15,000	25.64	n/a	17-Sep	750.00 5.0
COUGAR TRADING	044	JCG	SS	5,000	25.43	n/a	17-Sep	250.00 5.0
HOLLIS CAPITAL	033	JNPR	B	5,000	19.53	n/a	22-Mar	250.00 5.0
B BUCK CAPITAL MGMT		JNY	SS	50,000	16.13	n/a	30-Jul	non-brg 4.0
CAXTON PART	040	JPM	B	72,739	50.00	26-Sep	26-Sep	2,545.88 3.5
AVESTA CAP	229	JWN	B	10,000	23.84	2-Oct	3-Oct	500.00 5.0
BUCK CAPITAL MGMT	001	JWN	SS	30,000	24.59	2-Oct	3-Oct	1,200.00 4.0
EGS ASSOCIATES LP	091	JWN	B	10,000	24.70	2-Oct	3-Oct	600.00 6.0
HUNTER GLOBAL INVESTOR	067	JWN	SS	50,000	24.21	2-Oct	3-Oct	2,500.00 5.0
PATTEN & PATTEN	067	JWN	S	975	23.86	2-Oct	3-Oct	48.75 5.0
ZOLIDIS	011	KMX	S	200	12.33	n/a	10-Jan	0.00 0.0
BUCK CAPITAL MGMT	001	KSS	S	20,000	41.47	n/a	3-Oct	800.00 4.0
BUCK	015	KSS	C	1,000	41.88	n/a	3-Oct	0.00 0.0
CAXTON PART	040	LEN	S	96,131	12.79	n/a	n/a	3,364.60 3.5
BUCK CAPITAL MGMT	001	LIZ	S	20,000	14.31	n/a	18-Sep	800.00 4.0
IRIDIAN ASSET MGMT.	036	LMT	S	7,140	105.28	n/a	n/a	357.00 5.0
PAKLER	029	LULU	S	35	20.71	n/a	n/a	0.00 0.0
B BUCK CAPITAL MGMT		MAC	SS	20,000	51.54	n/a	n/a	non-brg 4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		MAR	SS	100,000	23.70	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		MAS	SS	50,000	17.19	n/a	n/a	non-brg	4.0
PROSPECTOR PARTNERS LLC	036	MDP	S	10,000	25.92	n/a	n/a	400.00	4.0
KORMAN	003	MEE	B	1,000	30.79	n/a	n/a	0.00	0.0
KORMAN	003	MERPRK	B	2,000	14.85	n/a	n/a	0.00	0.0
FORD FDN.	032	MER	B	100,000	28.76	24-Jun	19-Sep	5,000.00	5.0
BUCK	015	MER	B	1,500	26.19	24-Jun	19-Sep	0.00	0.0
BUCK	015	MER	S	1,000	28.98	24-Jun	19-Sep	0.00	0.0
IRIDIAN ASSET MGMT.	036	MMR	S	57,060	21.16	n/a	n/a	2,853.00	5.0
BUCK	015	MSJK	B	15	0.19	n/a	n/a	0.00	0.0
LEDDY	035	MS	S	400	24.15	15-Sep	22-Sep	0.00	0.0
KORMAN	003	MTRX	B	6,000	15.00	n/a	n/a	0.00	0.0
ZOLIDIS	011	MWO	B	1,000	11.60	n/a	n/a	0.00	0.0
COUGAR TRADING	044	M	SS	5,000	16.42	12-Aug	3-Oct	250.00	5.0
EGS ASSOCIATES LP	091	M	B	7,000	16.30	12-Aug	3-Oct	420.00	6.0
KAICHER	064	NCC	S	5,000	3.41	n/a	n/a	0.00	0.0
RAINIER INV MGMT	035	NKE	S	62,910	65.12	n/a	n/a	3,145.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PROSPECTOR PARTNERS LLC	036	NP	S	8,000	17.82	n/a	11-Sep	320.00	4.0
MAIRS AND POWER INV	030	PFG	B	20,000	31.86	n/a	n/a	1,000.00	5.0
PATTEN & PATTEN	067	PG	S	1,085	70.85	18-Aug	25-Sep	54.25	5.0
EGS ASSOCIATES LP	091	PLCE	B	4,500	32.95	21-Aug	3-Oct	270.00	6.0
⌘ BUCK CAPITAL MGMT		PLQ+WW	SS	1,000	0.60	n/a	n/a	non-brg	100.0
⌘ BUCK CAPITAL MGMT		PLQ+XW	SS	1,000	1.04	n/a	n/a	non-brg	100.0
N STRATTON	014	PNWIF	B	1,000	1.85	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	PPS	S	25,000	26.27	n/a	n/a	1,000.00	4.0
⌘ BUCK CAPITAL MGMT		PRQ+VL	SS	740	1.07	n/a	n/a	non-brg	150.0
COUGAR TRADING	044	PSUN	B	20,000	6.16	n/a	3-Oct	800.00	4.0
⌘ BUCK CAPITAL MGMT		PVH+JG	SS	1,000	1.40	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		PVH	B	100,000	34.35	n/a	1-Oct	non-brg	2.0
NOMURA CAPITAL	045	QLTY	SS	800	4.18	n/a	n/a	24.00	3.0
⌘ BUCK CAPITAL MGMT		QUK+VR	SS	100	4.55	n/a	n/a	non-brg	300.0
PAKLER	029	RHD	S	375	1.72	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	RL	SS	125,000	59.90	n/a	28-Aug	5,000.00	4.0
REICH AND TANG	067	ROK	B	7,000	33.79	n/a	n/a	350.00	5.0
REICH AND TANG	067	RRD	B	7,000	22.44	n/a	n/a	350.00	5.0
ß BUCK CAPITAL MGMT		RTH	SS	125,000	85.50	n/a	n/a	non-brg	1.0
KAICHER	064	SBAC	B	2,000	22.45	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SBUX	SS	50,000	14.14	n/a	24-Apr	non-brg	4.0
LEDDY	035	SCC	S	300	105.80	n/a	n/a	0.00	0.0
OGORMAN	046	SDS	B	200	73.74	n/a	n/a	0.00	0.0
KERN	050	SDS	B	200	72.98	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SHPGY	S	24,100	47.22	21-May	30-Sep	non-brg	1.0
ß BUCK CAPITAL MGMT		SHPGY	S	40,000	47.45	21-May	30-Sep	non-brg	4.0
ß BUCK CAPITAL MGMT		SKX+KC	SS	1,000	1.30	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		SKX	B	100,000	14.60	n/a	13-Mar	non-brg	2.0
THE BOSTON COMPANY	401	SKX	S	52,530	14.89	n/a	13-Mar	2,101.20	4.0
ß BUCK CAPITAL MGMT		SPLS	SS	100,000	20.64	n/a	27-Jul	non-brg	4.0
ß BUCK CAPITAL MGMT		SPLS	SS	100,000	20.73	n/a	27-Jul	non-brg	4.0
HART	056	SPYJH	S	5	4.90	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⌘ BUCK CAPITAL MGMT		SPY	C	95,000	113.25	n/a	n/a	non-brg	1.0
BMO NESBITT BURNS	041	SSCC	B	100,000	4.07	30-Jul	22-Sep	5,000.00	5.0
NATIONAL BK OF CAN	031	STT	B	12,000	46.25	n/a	n/a	480.00	4.0
REICH AND TANG	067	SUG	B	7,000	19.17	n/a	n/a	350.00	5.0
SINCLAIR	031	SWGXX	B	20	2.41	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		TGT	SS	30,000	43.98	n/a	22-Sep	non-brg	4.0
BUCK CAPITAL MGMT	001	THI	SS	20,000	27.58	n/a	24-Apr	800.00	4.0
⌘ BUCK CAPITAL MGMT		THI	SS	20,000	27.53	n/a	24-Apr	non-brg	4.0
SIGMA CAPITAL ASSOCIATES	237	TIF	S	25,000	34.24	n/a	17-Sep	1,250.00	5.0
THE BOSTON COMPANY	401	TIF	S	75,000	33.83	n/a	17-Sep	3,000.00	4.0
LISTED ERR	099	TIF	B	2,500	34.00	n/a	17-Sep	0.00	0.0
LISTED ERR	099	TIF	S	2,500	34.02	n/a	17-Sep	0.00	0.0
⌘ BUCK CAPITAL MGMT		TJX+KF	SS	1,000	1.85	n/a	n/a	non-brg	300.0
BASIX	033	TJX	SS	30,000	29.97	11-Aug	3-Oct	900.00	3.0
⌘ BUCK CAPITAL MGMT		TJX	S	100,000	29.72	11-Aug	3-Oct	non-brg	4.0
⌘ BUCK CAPITAL MGMT		TJX	S	275,000	29.87	11-Aug	3-Oct	non-brg	4.0
SIGMA CAPITAL ASSOCIATES	237	TJX	B	31,400	29.98	11-Aug	3-Oct	1,570.00	5.0
VICTORIA INVESTORS LP	060	TJX	B	5,000	30.01	11-Aug	3-Oct	250.00	5.0
ROTHSCHILD ASSET	040	TMP	B	5,200	47.16	n/a	n/a	234.03	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	TPX	S	63,000	9.32	n/a	n/a	2,520.00	4.0
BUCK	015	TRA	C	1,500	22.06	n/a	n/a	0.00	0.0
BUCK	015	TRA	SS	1,500	24.18	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		TROW	C	30,000	51.25	19-Sep	2-Oct	non-brg	4.0
PAKLER	029	TWTC	S	75	9.93	n/a	4-Jan	0.00	0.0
BEAR STEARNS ASSET MGMT.	033	URBN	B	50,000	28.64	14-Aug	1-Oct	2,000.00	4.0
ß BUCK CAPITAL MGMT		URBN	B	50,000	28.38	14-Aug	1-Oct	non-brg	2.5
ß BUCK CAPITAL MGMT		URBN	B	70,000	27.81	14-Aug	1-Oct	non-brg	4.0
COUGAR TRADING	044	URBN	B	5,000	27.14	14-Aug	1-Oct	250.00	5.0
KORMAN	003	URBN	C	2,000	27.15	14-Aug	1-Oct	0.00	0.0
ZOLIDIS	011	UYG	B	3,000	18.29	n/a	n/a	0.00	0.0
MCCARTAN	028	UYG	B	100	16.80	n/a	n/a	0.00	0.0
OGORMAN	046	UYG	B	1,000	18.00	n/a	n/a	0.00	0.0
OGORMAN	046	UYG	S	1,000	17.38	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	WFC	S	800	35.74	n/a	n/a	40.00	5.0
BUCK CAPITAL MGMT	001	WRC	B	20,000	41.07	8-Aug	1-Oct	800.00	4.0
ZOLIDIS	011	WYNN	S	20	73.56	n/a	n/a	0.00	0.0
MCCARTAN	028	WY	SS	100	57.61	n/a	11-Sep	0.00	0.0
KORMAN	003	XLF	B	3,000	20.39	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KAICHER	064	YHOO	S	2,000	16.00	n/a	n/a	0.00	0.0
COUGAR TRADING	044	ZUMZ	SS	5,000	14.50	n/a	n/a	250.00	5.0
TOTAL (Trade Date):							110,412.31		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/02	GRANITE CAPITAL	045	EMC	S	25,000	11.85	n/a	n/a	1250.00 5.0
AO,CXL	10/02	GRANITE CAPITAL	045	EMC	S	25,000	11.85	n/a	n/a	0.00 0.0
AO,	10/01	ROTHSCHILD ASSET	040	NR	B	4,500	6.95	n/a	n/a	202.50 4.5
AO,	10/02	NOMURA CAPITAL	045	QLTY	SS	1,710	4.18	n/a	n/a	51.30 3.0
TOTAL (AO, CXL, CRT) :										1,503.80

TOTAL (Trade Date) :	110,412.31
TOTAL (AO, CXL, CRT) :	1,503.80

TOTAL (RUN DATE) / NFS:	111,916.11
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MRI Securities with Trade Activity on 3-Oct.

GWW

MRI Securities without Trade Activity on 3-Oct.

AXE, ETN, GR, HON, HRS, HSC, IFF, ITT, JCI, KMB, PCAR, TYC, WBC

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

T-Date = 12%

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