



# Daily Compliance Activity Report

Trade Date: 09/11/2008

## POTENTIAL ANALYST TRADE VIOLATIONS : 1

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	AB	B	10,000	47.00	10-Sep	10-Sep	500.00	5.0
COUGAR TRADING	044	AB	S	15,000	45.99	10-Sep	10-Sep	750.00	5.0
COUGAR TRADING	044	AEO	B	10,000	15.83	n/a	5-Sep	500.00	5.0
SIGMA CAPITAL ASSOCIATES	237	AEO	B	50,000	16.41	n/a	5-Sep	2,500.00	5.0
BUCK CAPITAL MGMT	001	ALV	S	30,000	37.10	23-Jul	30-Jul	1,200.00	4.0
BUCK CAPITAL MGMT		ALV	S	60,000	37.16	23-Jul	30-Jul	non-brg	1.0
BUCK CAPITAL MGMT	001	ANF	S	10,000	50.12	7-Aug	5-Sep	400.00	4.0
MISSOURI VALLEY PART	046	ANF	B	13,505	49.13	7-Aug	5-Sep	675.25	5.0
BUCK CAPITAL MGMT		ANN+XX	SS	1,000	1.35	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		AN	SS	430,600	12.39	25-Jul	28-Jul	non-brg	4.0
BUCK CAPITAL MGMT		ARGN	S	40,000	7.66	3-Sep	3-Sep	non-brg	2.5
BUCK CAPITAL MGMT		ARGN	S	5,000	7.65	3-Sep	3-Sep	non-brg	1.0
JP MORGAN VENTURES	046	BCR	C	50,000	94.56	n/a	22-Apr	2,500.00	5.0
PHILADELPHIA FINANCIAL	033	BEN	B	28,094	93.75	10-Sep	10-Sep	1,123.76	4.0
BUCK CAPITAL MGMT		BQU+XH	SS	1,000	4.95	n/a	n/a	non-brg	300.0
LEDDY	035	BWA	C	600	37.85	10-Jun	1-Aug	0.00	0.0
BUCK CAPITAL MGMT		BWLD	SS	100,000	40.10	n/a	n/a	non-brg	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	CBL	B	50,000	21.32	n/a	n/a	2,250.00	4.5
<b>N STRATTON</b>	<b>014</b>	<b>CENTA</b>	<b>S</b>	<b>700</b>	<b>6.26</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LEDDY</b>	<b>035</b>	<b>CHK</b>	<b>S</b>	<b>250</b>	<b>39.22</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PALMYRA CAPITAL	048	CHS	B	40,000	7.37	8-Aug	5-Sep	2,000.00	5.0
NEUBERGER BERMAN	036	CMCSK	S	103,000	21.21	n/a	n/a	4,635.00	4.5
<b>B BUCK CAPITAL MGMT</b>		<b>CMG+VL</b>	<b>SS</b>	<b>500</b>	<b>1.60</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>300.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CMG+VM</b>	<b>SS</b>	<b>750</b>	<b>3.00</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>300.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CMG</b>	<b>SS</b>	<b>100,000</b>	<b>68.55</b>	<b>24-Jul</b>	<b>24-Jul</b>	<b>non-brg</b>	<b>2.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CMG</b>	<b>SS</b>	<b>24,300</b>	<b>67.76</b>	<b>24-Jul</b>	<b>24-Jul</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>COLM</b>	<b>C</b>	<b>5,000</b>	<b>42.68</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CPKI</b>	<b>SS</b>	<b>50,000</b>	<b>15.02</b>	<b>10-Jul</b>	<b>8-Aug</b>	<b>non-brg</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CRI</b>	<b>B</b>	<b>100,000</b>	<b>19.49</b>	<b>n/a</b>	<b>n/a</b>	<b>4,000.00</b>	<b>4.0</b>
JP MORGAN VENTURES	046	CRL	C	40,000	64.67	n/a	n/a	2,000.00	5.0
<b>MENCKE</b>	<b>055</b>	<b>CTCM</b>	<b>B</b>	<b>200</b>	<b>16.12</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
REINHART & MAHONEY	031	CVH	B	17,730	35.61	n/a	n/a	886.50	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>DAI</b>	<b>SS</b>	<b>121,900</b>	<b>55.74</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.	
THE JAY GOLDMAN	034	DDS	B	10,000	12.46	n/a	n/a	400.00	4.0
⌘ BUCK CAPITAL MGMT		DECK	B	5,000	113.08	n/a	n/a	non-brg	4.0
JP MORGAN VENTURES	046	DIN	B	25,000	17.23	n/a	n/a	1,250.00	5.0
JP MORGAN VENTURES	046	EAT	SS	30,000	18.78	n/a	24-Apr	1,500.00	5.0
⌘ BUCK CAPITAL MGMT		EBHI	B	100,000	8.48	n/a	n/a	non-brg	2.5
KLEINHEINZ CAP PART	031	EEM	SS	150,000	34.77	n/a	n/a	7,500.00	5.0
FARALLON CAP MGMT	040	EMC	S	727,500	13.84	n/a	n/a	21,825.00	3.0
COLE	N24	ETFC	S	300	3.06	n/a	n/a	0.00	0.0
COUGAR TRADING	044	FOSL	B	5,000	29.14	n/a	13-Aug	250.00	5.0
⌘ BUCK CAPITAL MGMT		FUA+LG	SS	3,000	1.36	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		FUQI	S	60,000	10.21	n/a	n/a	non-brg	4.0
MCCARTAN	028	F	B	1,000	4.71	25-Jul	4-Sep	0.00	0.0
⌘ BUCK CAPITAL MGMT		GES+LJ	SS	1,000	1.53	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	GES	S	110,000	40.54	n/a	n/a	4,400.00	4.0
⌘ BUCK CAPITAL MGMT		GIL	B	70,000	24.18	8-Sep	8-Sep	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	GIL	B	5,000	24.57	8-Sep	8-Sep	250.00	5.0
JP MORGAN VENTURES	046	GIL	B	25,000	23.82	8-Sep	8-Sep	1,250.00	5.0
⚡ BUCK CAPITAL MGMT		GM+IB	SS	4,000	1.32	n/a	n/a	non-brg	150.0
⚡ BUCK CAPITAL MGMT		GM+UB	B	4,000	0.28	n/a	n/a	non-brg	100.0
⚡ BUCK CAPITAL MGMT		GMCR	SS	20,000	32.39	n/a	n/a	non-brg	4.0
CAVU CAP ADV	028	GM	B	26,280	12.19	4-Aug	4-Sep	1,314.00	5.0
⚡ BUCK CAPITAL MGMT		GPS+XW	SS	1,000	0.85	n/a	n/a	non-brg	100.0
⚡ BUCK CAPITAL MGMT		GPS+XW	SS	2,000	0.87	n/a	n/a	non-brg	100.0
COUGAR TRADING	044	GPS	S	5,000	19.49	n/a	5-Sep	250.00	5.0
⚡ BUCK CAPITAL MGMT		GQU+KJ	SS	1,000	0.85	n/a	n/a	non-brg	100.0
COUGAR TRADING	044	GYMB	B	5,000	39.12	11-Jul	5-Sep	250.00	5.0
COUGAR TRADING	044	GYMB	S	10,000	40.56	11-Jul	5-Sep	500.00	5.0
LEHMAN PROPRIETARY TRAD	041	GYMB	B	25,000	40.54	11-Jul	5-Sep	1,000.00	4.0
⚡ BUCK CAPITAL MGMT		HAS	C	50,000	38.15	n/a	n/a	non-brg	4.0
N STRATTON	014	HEMGF	B	100	2.35	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	HOT	SS	70,000	37.75	n/a	n/a	2,800.00	4.0
LEDDY	035	ICON	S	1,200	12.27	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	IP	B	25,000	29.13	11-Sep	11-Sep	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BMO NESBITT BURNS	041	IP	SS	25,000	29.99	11-Sep	11-Sep	1,250.00	5.0
CASTLE ARK	031	IP	B	97,815	29.15	11-Sep	11-Sep	5,868.90	6.0
BALYASNY ASSET MGMT	044	IVZ	B	35,000	23.55	4-Aug	10-Sep	1,750.00	5.0
JP MORGAN VENTURES	046	IWM	SS	80,000	71.15	n/a	n/a	2,400.00	3.0
⚡ BUCK CAPITAL MGMT		IYR	SS	30,000	62.62	n/a	n/a	non-brg	1.0
COUGAR TRADING	044	JCG	B	20,000	29.93	n/a	27-Aug	1,000.00	5.0
BUCK CAPITAL MGMT	001	JCP	B	50,000	42.90	n/a	5-Sep	2,000.00	4.0
BUCK CAPITAL MGMT	001	JNY	SS	70,000	20.17	n/a	30-Jul	2,800.00	4.0
⚡ BUCK CAPITAL MGMT		JOSB	S	12,000	31.06	n/a	n/a	non-brg	4.0
COUGAR TRADING	044	KSS	SS	10,000	51.47	n/a	5-Sep	500.00	5.0
⚡ BUCK CAPITAL MGMT		LEG+XD	SS	2,000	0.75	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT	001	LEG	SS	50,000	22.70	n/a	n/a	2,000.00	4.0
⚡ BUCK CAPITAL MGMT		LEG	SS	100,000	22.98	n/a	n/a	non-brg	4.0
NATIONAL BK OF CAN	031	LEH	S	125,000	4.24	11-Sep	11-Sep	5,000.00	4.0
N STRATTON	014	LEH	B	150	3.99	11-Sep	11-Sep	0.00	0.0
SUTERA	160	LEH	B	2,500	4.41	11-Sep	11-Sep	0.00	0.0
COLE	N24	LEH	B	200	4.60	11-Sep	11-Sep	0.00	0.0
⚡ BUCK CAPITAL MGMT		LIZ	B	30,000	18.48	n/a	28-Aug	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	LL	B	10,000	15.04	n/a	n/a	400.00	4.0
BUCK	015	LYHJJ	B	30	0.22	n/a	n/a	0.00	0.0
REINHART & MAHONEY	031	MANT	S	6,810	56.30	n/a	n/a	340.50	5.0
BUCK CAPITAL MGMT	001	MAR	SS	20,000	28.67	n/a	n/a	800.00	4.0
⌘ BUCK CAPITAL MGMT		MBFG IM	S	20,000	21.35	n/a	n/a	non-brg	4.3
JP MORGAN VENTURES	046	MCD	SS	20,000	63.95	9-Sep	9-Sep	1,000.00	5.0
⌘ BUCK CAPITAL MGMT		MER	B	85,000	20.19	24-Jun	15-Aug	non-brg	4.0
⌘ BUCK CAPITAL MGMT		MER	S	85,000	18.72	24-Jun	15-Aug	non-brg	4.0
SANDLER O'NEILL ASSET	031	MER	B	50,000	19.55	24-Jun	15-Aug	2,500.00	5.0
KAICHER	064	MER	B	2,000	20.28	24-Jun	15-Aug	0.00	0.0
BUCK CAPITAL MGMT	001	MFB	B	22,200	14.83	n/a	n/a	888.00	4.0
JP MORGAN VENTURES	046	MNT	S	75,000	24.99	n/a	n/a	3,750.00	5.0
HIGHBRIDGE CAPITAL	038	MOH	B	18,000	31.95	n/a	n/a	900.00	5.0
BUCK	015	MO	B	1,000	20.48	n/a	n/a	0.00	0.0
BUCK	015	MSVG	S	15	2.75	n/a	n/a	0.00	0.0
BUCK	015	MS	SS	1,500	37.38	15-Aug	15-Aug	0.00	0.0
⌘ BUCK CAPITAL MGMT		MVRX	SS	200,000	148.42	n/a	n/a	non-brg	14.8

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	M	B	33,400	21.43	12-Aug	29-Aug	1,670.00	5.0
NEUBERGER BERMAN	036	NHP	S	87,000	34.51	n/a	n/a	3,915.00	4.5
NOMURA CAPITAL	045	NYT	S	20,000	14.82	n/a	n/a	1,000.00	5.0
⚡ BUCK CAPITAL MGMT		OIH	C	10,100	152.89	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		OIH	C	50	158.29	n/a	n/a	non-brg	2.0
LED DY	035	PBR	S	250	40.64	n/a	n/a	0.00	0.0
STRAUSS ASSET MGMT	040	PDE	B	10,000	33.93	n/a	n/a	500.00	5.0
⚡ BUCK CAPITAL MGMT		PFCB	SS	80,000	25.20	n/a	6-Aug	non-brg	4.0
MILLENIUM KOZLOW	028	PKG	B	10,000	25.37	11-Sep	11-Sep	500.00	5.0
⚡ BUCK CAPITAL MGMT		PLCE	S	10,000	40.36	21-Aug	5-Sep	non-brg	4.0
⚡ BUCK CAPITAL MGMT		PSS	B	20,000	17.41	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		PSUN	S	125,000	6.77	n/a	5-Sep	non-brg	4.0
BENNETT LAWRENCE	045	ROST	B	4,200	40.23	n/a	n/a	189.00	4.5
ZOLIDIS	011	SEUIE	B	15	3.00	n/a	n/a	0.00	0.0
ZOLIDIS	011	SKX	S	900	18.49	n/a	13-Mar	0.00	0.0
THE JAY GOLDMAN	034	SSI	SS	10,000	15.06	n/a	5-Sep	400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	SSO	B	10,000	58.10	n/a	n/a	500.00	5.0
BENNETT LAWRENCE	045	SVNT	S	38,750	18.83	n/a	n/a	1,743.75	4.5
<b>GAULT</b>	<b>063</b>	<b>SWN</b>	<b>B</b>	<b>1,800</b>	<b>30.86</b>	<b>20-Mar</b>	<b>3-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SYX</b>	<b>B</b>	<b>194,800</b>	<b>34.33</b>	<b>n/a</b>	<b>24-Apr</b>	<b>7,792.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TGT</b>	<b>B</b>	<b>40,000</b>	<b>56.67</b>	<b>n/a</b>	<b>5-Sep</b>	<b>1,600.00</b>	<b>4.0</b>
COUGAR TRADING	044	TIF	SS	5,000	42.60	n/a	28-Aug	250.00	5.0
<b>B</b> <b>BUCK CAPITAL MGMT</b>		<b>TIN</b>	<b>S</b>	<b>101,400</b>	<b>18.41</b>	<b>11-Sep</b>	<b>11-Sep</b>	<b>non-brg</b>	<b>4.0</b>
CSFB GLOBAL PROPRIETARY	041	TIN	B	20,000	18.11	11-Sep	11-Sep	1,000.00	5.0
CADIAN CAPITAL	067	TJX	SS	50,000	33.98	11-Aug	5-Sep	2,500.00	5.0
PRINCIPLE CAPITAL	040	TPX	S	106,200	11.85	n/a	n/a	3,186.00	3.0
<b>B</b> <b>BUCK CAPITAL MGMT</b>		<b>TRLG</b>	<b>B</b>	<b>10,000</b>	<b>27.56</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
OSS CAPITAL/KEVIN DANN	067	TWX	B	200,000	14.47	n/a	n/a	6,000.00	3.0
COUGAR TRADING	044	UA	S	7,600	34.31	n/a	n/a	380.00	5.0
HIGHBRIDGE CAPITAL	038	UNH	B	11,000	29.68	n/a	n/a	550.00	5.0
<b>N STRATTON</b>	<b>014</b>	<b>UNH</b>	<b>S</b>	<b>75</b>	<b>29.13</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> <b>BUCK CAPITAL MGMT</b>		<b>URBN</b>	<b>S</b>	<b>35,000</b>	<b>35.59</b>	<b>14-Aug</b>	<b>14-Aug</b>	<b>non-brg</b>	<b>4.0</b>



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⌘ BUCK CAPITAL MGMT		VC	S	200,000	3.18	n/a	31-Jul	non-brg	3.0
⌘ BUCK CAPITAL MGMT		VC	S	74,800	3.22	n/a	31-Jul	non-brg	1.0
LEDDY	035	VC	S	4,223	3.27	n/a	31-Jul	0.00	0.0
JP MORGAN VENTURES	046	VIAB	C	25,000	26.80	n/a	n/a	1,250.00	5.0
⌘ BUCK CAPITAL MGMT		WFMI	C	75,000	18.67	n/a	n/a	non-brg	4.0
NEUBERGER BERMAN	036	WMT	B	84,490	62.45	8-Aug	5-Sep	3,802.08	4.5
⌘ BUCK CAPITAL MGMT		WRC	S	30,000	50.00	8-Aug	28-Aug	non-brg	4.0
COUGAR TRADING	044	WRC	B	5,000	49.93	8-Aug	28-Aug	250.00	5.0
⌘ BUCK CAPITAL MGMT		XRT	SS	17,200	32.93	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		XRT	SS	70,000	33.09	n/a	n/a	non-brg	2.0
KORMAN	003	YTEC	S	10,000	11.08	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		YUM	SS	30,000	38.13	14-Aug	14-Aug	non-brg	4.0
<b>TOTAL (Trade Date) :</b>							<b>146,034.74</b>		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/10	ADAGE CAPITAL MGMT	030	FL	S	142,927	17.49	11-Aug	22-Aug	5717.08 4.0
AO,CRT	09/10	ADAGE CAPITAL MGMT	030	FL	S	142,927	17.49	11-Aug	22-Aug	5717.08 4.0
AO,CRT	09/10	AMBER CAPITAL	046	TGT	B	100,000	56.83	n/a	5-Sep	4000.00 4.0
AO,CXL	09/10	AMBER CAPITAL	046	TGT	B	100,000	56.83	n/a	5-Sep	5000.00 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-1,000.00</b>

TOTAL (Trade Date) :	146,034.74
TOTAL (AO, CXL, CRT) :	-1,000.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>145,034.74</b>
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MRI Securities with Trade Activity on 11-Sep.  
**IP, LEH, PKG, TIN**

MRI Securities without Trade Activity on 11-Sep.  
**NONE**

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 17%  
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**