



# Daily Compliance Activity Report

Trade Date: 10/30/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>KARP</b>	<b>023</b>	<b>AAPL</b>	<b>S</b>	<b>100</b>	<b>111.77</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TRUSTCO/SUNTRUST	040	ABG	S	25,350	3.00	n/a	31-Oct	811.18	3.2
APEX CAPITAL MGMT.	091	ADBE	B	40,000	27.38	n/a	n/a	1,600.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>ADS GR</b>	<b>SS</b>	<b>20,000</b>	<b>36.24</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>7.2</b>
COUGAR TRADING	044	AEO	B	5,000	11.75	n/a	10-Oct	250.00	5.0
WHITE PINE CAPITAL	030	AG	B	8,675	29.38	31-Oct	31-Oct	433.75	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>AIT</b>	<b>C</b>	<b>10,000</b>	<b>19.62</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
COUGAR TRADING	044	AN	B	5,000	6.31	15-Oct	20-Oct	250.00	5.0
<b>LUCHANSKY1</b>	<b>036</b>	<b>AOC</b>	<b>B</b>	<b>300</b>	<b>40.06</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>APP</b>	<b>B</b>	<b>10,000</b>	<b>5.40</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>AVP+XD [AVP]</b>	<b>SS</b>	<b>1,000</b>	<b>1.45</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>300.0</b>
BAIRD INVESTMENT	031	AVP	S	18,400	22.28	10-Oct	10-Oct	920.00	5.0
PRINCIPLE CAPITAL	040	AVP	B	116,000	21.91	10-Oct	10-Oct	3,480.00	3.0
<b>KORMAN</b>	<b>003</b>	<b>AVP</b>	<b>C</b>	<b>2,000</b>	<b>20.76</b>	<b>10-Oct</b>	<b>10-Oct</b>	<b>0.00</b>	<b>0.0</b>
BEAR STEARNS ASSET MGMT.	033	BBBY	SS	21,700	25.27	n/a	n/a	868.00	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
ß	BUCK CAPITAL MGMT		BBBY	SS	40,000	25.11	n/a	n/a	non-brg 4.0
	BUCK CAPITAL MGMT	001	BBY	SS	20,000	24.61	n/a	27-Jul	800.00 4.0
	BUCK CAPITAL MGMT	001	BIG	B	20,000	23.36	n/a	9-Oct	800.00 4.0
	BUCK CAPITAL MGMT	001	BJ	B	20,000	34.94	n/a	27-Jul	800.00 4.0
ß	BUCK CAPITAL MGMT		CAL	B	2,500	15.85	n/a	n/a	non-brg 1.0
Õ	Steven Maguire		CAL	B	2500	16.94	n/a	n/a	0.00 0.0
	BAIRD INVESTMENT	031	CAM	B	6,100	23.83	n/a	n/a	305.00 5.0
ß	BUCK CAPITAL MGMT		CHUX	C	55,292	6.52	n/a	n/a	non-brg 2.5
ß	BUCK CAPITAL MGMT		CJY+WI [CMG]	C	250	1.46	n/a	n/a	non-brg 300.0
ß	BUCK CAPITAL MGMT		CJY+XH [CMG]	C	150	1.71	n/a	n/a	non-brg 300.0
	BUCK CAPITAL MGMT	001	CMG	SS	10,000	56.87	23-Oct	23-Oct	400.00 4.0
	SCOPUS FUND	041	COST	B	5,000	56.26	n/a	27-Jul	250.00 5.0
	SCOPUS FUND	041	CRI	B	10,000	19.82	n/a	n/a	500.00 5.0
	JENNISON	032	CSCO	S	2,100,000	17.77	n/a	22-Mar	77,700.00 3.7
	NORTHPOINT	030	CYNO	S	15,700	8.82	n/a	n/a	471.00 3.0
	SERENGETI MGMT	030	C	B	225,000	13.19	15-Sep	21-Oct	11,250.00 5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⚡ BUCK CAPITAL MGMT		DAL	B	10,000	9.03	n/a	n/a	non-brg	1.0
⚡ Steven Maguire		DAL	B	10000	9.55	n/a	n/a	0.00	0.0
LUCHANSKY1	036	DE	B	300	37.46	14-Aug	14-Aug	0.00	0.0
⚡ BUCK CAPITAL MGMT		DIN	SS	25,000	17.42	n/a	n/a	non-brg	2.5
APEX CAPITAL MGMT.	091	DLB	SS	50,000	30.50	n/a	n/a	2,000.00	4.0
APEX CAPITAL MGMT.	091	DLR	B	114,000	31.89	n/a	n/a	4,560.00	4.0
JMP ASSET MGMT	210	DM	S	3,500	3.94	n/a	n/a	175.00	5.0
EGS ASSOCIATES LP	091	DRI	B	3,500	20.49	13-Oct	13-Oct	210.00	6.0
⚡ BUCK CAPITAL MGMT		EBHI	B	30,000	3.17	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT	001	EL	B	50,000	35.13	15-Aug	29-Oct	2,000.00	4.0
CENTURION GLOBAL MGMT LL	041	EMC	B	124,000	11.30	n/a	n/a	3,720.00	3.0
BASIX	033	ENR	B	13,000	51.64	21-Oct	21-Oct	390.00	3.0
BUCK CAPITAL MGMT	001	ETN	S	42,400	46.88	21-Oct	21-Oct	1,696.00	4.0
MUHLENKAMP FUND	046	ETN	B	103,000	45.76	21-Oct	21-Oct	5,150.00	5.0
TRELLUS PARTNERS LP	028	EV	SS	11,000	21.22	21-Aug	27-Oct	550.00	5.0
AVESTA CAP	229	FAST	SS	15,000	39.05	n/a	n/a	750.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEDDY	035	FIG	B	2,000	3.54	n/a	n/a	0.00	0.0
HOOVER INV. MGMT	033	FST	B	143,300	26.82	n/a	n/a	5,732.00	4.0
BUCK CAPITAL MGMT	001	GCO	B	10,000	24.06	n/a	10-Jan	400.00	4.0
BUCK CAPITAL MGMT	001	GES	S	134,600	21.50	n/a	n/a	5,384.00	4.0
ß BUCK CAPITAL MGMT		GES	S	11,900	21.27	n/a	n/a	non-brg	2.0
Õ Jason Cohen		GLW	B	100	9.99	29-Oct	29-Oct	0.00	0.0
MAIRS AND POWER INV	030	GLW	B	20,000	10.57	29-Oct	29-Oct	1,000.00	5.0
ß BUCK CAPITAL MGMT		GM+CI [GM]	C	5,500	2.81	n/a	n/a	non-brg	200.0
ß BUCK CAPITAL MGMT		GM+XA [GM]	S	5,500	1.26	n/a	n/a	non-brg	200.0
COUGAR TRADING	044	GPS	S	10,000	12.44	n/a	17-Oct	500.00	5.0
SINCLAIR	031	GSDT	S	20	16.20	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		GSIC	B	20,000	9.21	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		GSIC	B	20,050	9.50	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		GSIC	B	79,950	9.31	n/a	n/a	non-brg	3.0
EPOCH INV MGMT	030	HCBK	S	50,000	18.30	n/a	n/a	2,000.00	4.0
KACELA CAPITAL	034	HOG	S	20,000	24.14	n/a	n/a	800.00	4.0
BAIRD INVESTMENT	031	HON	S	13,093	30.26	3-Oct	17-Oct	654.65	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⌘ BUCK CAPITAL MGMT		HOTT	B	100,000	6.50	n/a	10-Oct	non-brg	3.0
AVESTA CAP	229	HPQ	SS	10,000	36.78	n/a	n/a	500.00	5.0
⌘ BUCK CAPITAL MGMT		HPY	C	14,300	16.90	n/a	n/a	non-brg	4.0
TROUBH PART	067	HRS	B	25,000	35.79	30-Oct	30-Oct	1,250.00	5.0
BALYASNY ASSET MGMT	044	IP	B	15,000	16.33	22-Sep	31-Oct	750.00	5.0
BMO NESBITT BURNS	041	IP	B	25,000	16.74	22-Sep	31-Oct	1,250.00	5.0
⌘ BUCK CAPITAL MGMT		IP	C	117,000	16.76	22-Sep	31-Oct	non-brg	1.0
⌘ BUCK CAPITAL MGMT		IP	C	200,000	16.87	22-Sep	31-Oct	non-brg	4.0
⌘ BUCK CAPITAL MGMT		IP	SS	27,000	18.54	22-Sep	31-Oct	non-brg	4.0
COUGAR TRADING	044	IP	B	5,000	18.64	22-Sep	31-Oct	250.00	5.0
⌘ BUCK CAPITAL MGMT		JCG	SS	20,000	18.61	n/a	17-Sep	non-brg	4.0
BUCK CAPITAL MGMT	001	JCP	SS	100,000	21.57	n/a	10-Oct	4,000.00	4.0
MS PRINCIPAL STRATEGIES	041	KOG	S	38,800	0.75	n/a	n/a	1,940.00	5.0
⌘ BUCK CAPITAL MGMT		KSS+LH[KSS]	SS	1,000	1.45	n/a	n/a	non-brg	300.0
THE JAY GOLDMAN	034	KSS	S	10,000	33.18	n/a	10-Oct	400.00	4.0
⌘ BUCK CAPITAL MGMT		LL	S	5,000	8.87	n/a	n/a	non-brg	3.0
LEVIN CAPITAL STRATEGIES	012	LM	B	10,000	18.97	29-Oct	31-Oct	400.00	4.0
SERENGETI MGMT	030	LM	B	100,000	20.40	29-Oct	31-Oct	5,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		LULU	B	40,000	13.84	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		LULU	B	500	13.77	n/a	n/a	non-brg	1.0
Õ Mark Megalli		LVS	B	5000	10.81	n/a	n/a	0.00	0.0
KAICHER	064	LVS	B	2,000	10.90	n/a	n/a	0.00	0.0
APEX CAPITAL MGMT.	091	LWSN	S	142,000	5.20	n/a	n/a	2,840.00	2.0
ß BUCK CAPITAL MGMT		MFB	B	10,000	9.55	n/a	n/a	non-brg	3.0
CR INTRINIC INVESTMENT	044	MRK	B	27,708	30.07	n/a	n/a	1,385.40	5.0
ß BUCK CAPITAL MGMT		NAV	SS	20,000	27.83	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		NKE+WJ[NKE]	SS	1,000	1.80	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		NKE	SS	10,000	55.76	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		NKE	SS	70,000	54.50	n/a	n/a	non-brg	4.0
SENATOR INVESTMENT GROUP	036	NUE	B	25,000	37.44	n/a	n/a	1,250.00	5.0
ß BUCK CAPITAL MGMT		OIH	SS	10,000	93.41	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		OIH	SS	10,000	93.47	n/a	n/a	non-brg	2.0
TRUSTCO/SUNTRUST	040	PAG	B	50,000	7.01	n/a	31-Oct	1,600.00	3.2
APEX CAPITAL MGMT.	091	PBRA	S	156,500	21.51	n/a	n/a	6,260.00	4.0
LUCHANSKY1	036	PCAR	B	300	27.98	3-Oct	22-Oct	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AMBER CAPITAL	046	PETM	B	75,000	19.49	n/a	n/a	3,000.00	4.0
FRONTPOINT CHRIS C	041	PFE	S	26,500	17.57	n/a	31-Mar	1,060.00	4.0
PRINCIPLE CAPITAL	040	PG	SS	37,000	62.49	10-Oct	30-Oct	1,480.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>PLCE</b>	<b>B</b>	<b>100,000</b>	<b>29.93</b>	<b>21-Aug</b>	<b>10-Oct</b>	<b>non-brg</b>	<b>2.0</b>
PRENTICE	038	PSUN	B	45,100	3.37	n/a	10-Oct	1,353.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>PVH+KX[???</b>	<b>SS</b>	<b>1,000</b>	<b>1.73</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>300.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PVH</b>	<b>B</b>	<b>100,000</b>	<b>22.33</b>	<b>24-Oct</b>	<b>24-Oct</b>	<b>non-brg</b>	<b>2.0</b>
COUGAR TRADING	044	PVH	B	10,000	22.45	24-Oct	24-Oct	500.00	5.0
EGS ASSOCIATES LP	091	PVH	B	3,500	22.22	24-Oct	24-Oct	210.00	6.0
MERRILL ASSET	032	PVH	B	13,500	22.33	24-Oct	24-Oct	607.50	4.5
APEX CAPITAL MGMT.	091	QCOM	S	30,000	38.21	n/a	n/a	1,200.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>QUK+LO[DECK]</b>	<b>SS</b>	<b>300</b>	<b>7.51</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>300.0</b>
FIRST NEW YORK LEDDY	035	Q	B	20,000	2.53	n/a	n/a	1,200.00	6.0
<b>B BUCK CAPITAL MGMT</b>		<b>RL+WH[RL]</b>	<b>SS</b>	<b>1,000</b>	<b>1.78</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>300.0</b>
<b>B BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>SS</b>	<b>60,000</b>	<b>43.77</b>	<b>n/a</b>	<b>24-Oct</b>	<b>2,400.00</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>RL</b>	<b>SS</b>	<b>34,000</b>	<b>43.54</b>	<b>n/a</b>	<b>24-Oct</b>	<b>non-brg</b>	<b>4.0</b>
COUGAR TRADING	044	RL	B	6,400	43.37	n/a	24-Oct	320.00	5.0
<b>KAICHER</b>	<b>064</b>	<b>SBAC</b>	<b>S</b>	<b>1,000</b>	<b>20.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ZOLIDIS	6TM	SHOEQ	C	600	0.02	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		SIG LN	SS	100,000	10.65	n/a	n/a	non-brg	1.6
SAXON WOODS ADVISORS	038	SJM	S	50,000	43.12	n/a	n/a	2,000.00	4.0
DSG CAPITAL	225	SSO	B	5,000	31.58	n/a	n/a	250.00	5.0
⌘ BUCK CAPITAL MGMT		SUP	C	20,000	12.23	17-Oct	20-Oct	non-brg	4.0
SINCLAIR	031	SWGOL	B	20	8.75	n/a	n/a	0.00	0.0
FRONTPOINT/COPIA-ANDREW	031	SWN	B	76,000	33.10	n/a	31-Oct	2,660.00	3.5
JP MORGAN VENTURES	046	TGT	C	41,500	38.88	n/a	22-Oct	2,075.00	5.0
⌘ BUCK CAPITAL MGMT		TIN	B	100,000	5.16	29-Oct	29-Oct	non-brg	3.0
BUCK CAPITAL MGMT	001	TJX	B	70,000	27.22	11-Aug	10-Oct	2,800.00	4.0
⌘ BUCK CAPITAL MGMT		TLB+KB [TLB]	SS	1,000	0.80	n/a	n/a	non-brg	100.0
⌘ BUCK CAPITAL MGMT		TLB+KB [TLB]	SS	1,000	0.91	n/a	n/a	non-brg	100.0
⌘ BUCK CAPITAL MGMT		TLB	B	43,000	9.85	7-Aug	30-Sep	non-brg	2.0
⌘ BUCK CAPITAL MGMT		TLB	B	57,000	9.90	7-Aug	30-Sep	non-brg	2.0
CASTLEROCK	040	TLB	B	188,400	10.00	7-Aug	30-Sep	7,536.00	4.0
⌘ BUCK CAPITAL MGMT		TUY+KF [PLCE]	SS	1,500	2.60	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	TWB	B	30,000	8.24	n/a	31-Oct	1,200.00	4.0



Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
BUCK CAPITAL MGMT		UAUA	B	5,000	11.77	n/a	n/a	non-brg 1.0
Steven Maguire		UAUA	B	5000	13.18	n/a	n/a	0.00 0.0
ROTHSCHILD ASSET	040	UHS	S	8,293	39.62	28-Oct	28-Oct	373.20 4.5
BUCK CAPITAL MGMT		URBN	B	20,000	20.52	14-Aug	1-Oct	non-brg 4.0
COUGAR TRADING	044	URBN	B	5,000	21.08	14-Aug	1-Oct	250.00 5.0
BUCK CAPITAL MGMT		VC	S	697,967	0.73	30-Oct	30-Oct	non-brg 1.0
BUCK CAPITAL MGMT	001	VFC	B	10,000	54.47	n/a	n/a	400.00 4.0
FRONTPOINT CHRIS C	041	WMI	S	15,900	30.79	n/a	n/a	636.00 4.0
BUCK CAPITAL MGMT		WMT+KY[WMT]	SS	1,000	1.49	n/a	n/a	non-brg 300.0
COUGAR TRADING	044	WMT	S	5,000	54.28	10-Oct	29-Oct	250.00 5.0
CASTLE ARK	031	WRC	B	50,080	26.21	24-Oct	24-Oct	3,004.80 6.0
CAXTON PART	040	WU	B	112,981	15.29	n/a	n/a	3,954.35 3.5
BUCK CAPITAL MGMT		XRT	C	450,000	22.92	n/a	n/a	non-brg 1.0
TOTAL (Trade Date):							209,355.83	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/29	ARAGON GLOBAL	041	ALU	B	68,325	2.24	n/a	n/a	2049.75 3.0
AO,CXL	10/29	ARAGON GLOBAL	041	ALU	B	68,325	2.24	n/a	n/a	2049.75 3.0
AO,CXL	10/29	ARAGON GLOBAL	041	APOL	B	11,300	65.87	n/a	n/a	565.00 5.0
AO,CRT	10/29	ARAGON GLOBAL	041	APOL	B	11,300	65.87	n/a	n/a	565.00 5.0
AO,CRT	10/29	BUCK CAPITAL MGMT	001	DPZ	B	100,000	5.21	n/a	24-Apr	3000.00 3.0
AO,CXL	10/29	BUCK CAPITAL MGMT	001	DPZ	B	100,000	5.21	n/a	24-Apr	4000.00 4.0
AO,CRT	10/29	ARAGON GLOBAL	041	ESI	B	8,900	84.00	n/a	n/a	445.00 5.0
AO,CXL	10/29	ARAGON GLOBAL	041	ESI	B	8,900	84.00	n/a	n/a	445.00 5.0
AO,CXL	10/29	&SUN	030	JPM	B	5,900	37.79	26-Sep	21-Oct	236.00 4.0
AO,CRT	10/29	SUN AMERICA ASSET MGMT	030	JPM	B	5,900	37.79	26-Sep	21-Oct	236.00 4.0
AO,CRT	10/29	BUCK CAPITAL MGMT	001	MFB	B	13,400	9.48	n/a	n/a	402.00 3.0
AO,CXL	10/29	BUCK CAPITAL MGMT	001	MFB	B	13,400	9.48	n/a	n/a	536.00 4.0
AO,CRT	10/29	BUCK CAPITAL MGMT	001	NWY	B	69,000	2.54	n/a	13-Oct	2070.00 3.0
AO,CXL	10/29	BUCK CAPITAL MGMT	001	NWY	B	69,000	2.54	n/a	13-Oct	2760.00 4.0
AO,CXL	10/23	SENATOR INVESTMENT GROUP	036	VMC	SS	10,000	48.50	n/a	n/a	500.00 5.0
AO,CRT	10/23	SENATOR INVESTMENT GROUP	036	VMC	SS	10,000	48.50	n/a	n/a	500.00 5.0
AO,CXL	10/29	&SUN	030	WMT	B	10,700	55.69	10-Oct	29-Oct	428.00 4.0
AO,CRT	10/29	SUN AMERICA ASSET MGMT	030	WMT	B	10,700	55.69	10-Oct	29-Oct	428.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-1,824.00</b>

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TOTAL (Trade Date):	209,355.83
TOTAL (AO, CXL, CRT):	-1,824.00

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TOTAL (RUN DATE) / NFS:	207,531.83
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MRI Securities with Trade Activity on 30-Oct. HRS, VC
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MRI Securities without Trade Activity on 30-Oct. CPKI, CYH, DBD, IFF, MWV, SPC, WBC
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BRG comm. as a % of BCM Total Comm. paid. T-Date = 18% YTD = 19%
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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**

**BCM Watch List Trades**