



Daily Compliance Activity Report

Trade Date: 08/21/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KENNEDY CAPITAL	046	ALB	S	12,485	39.10	n/a	n/a	499.40	4.0
BUCK CAPITAL MGMT	001	ANF	S	50,000	50.36	7-Aug	15-Aug	2,000.00	4.0
AMBER CAPITAL	046	ARM	B	50,000	15.27	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT		ARO	B	50,000	34.00	28-Apr	8-Aug	non-brg	1.0
SIGMA CAPITAL ASSOCIATES	237	ARO	B	25,000	34.12	28-Apr	8-Aug	1,250.00	5.0
CHARTER OAK	033	ATO	B	25,888	27.20	n/a	n/a	1,294.40	5.0
BUCK CAPITAL MGMT		BARE	S	34,000	12.80	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT		BBT+XB	SS	1,000	2.05	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		BBT	SS	30,000	27.75	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		BKC	B	25,000	26.18	1-May	21-Aug	non-brg	1.0
BUCK CAPITAL MGMT		BKC	S	7,000	27.45	1-May	21-Aug	non-brg	1.0
COUGAR TRADING	044	BKC	S	5,000	25.49	1-May	21-Aug	250.00	5.0
MS PRINCIPAL STRATEGIES	041	BK	B	13,200	34.71	n/a	15-Aug	660.00	5.0
BUCK CAPITAL MGMT		BQU+XG	SS	1,000	4.30	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		BQU+XG	SS	2,000	4.40	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		BQU+XG	SS	500	4.60	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		BUCY	C	10,000	69.88	4-Jun	4-Jun	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		BCY	C	20,000	67.82	4-Jun	4-Jun	non-brg	1.0
⌘ BUCK CAPITAL MGMT		BWLD	SS	125,000	36.36	n/a	n/a	non-brg	2.0
WASHINGTON ASSET	048	CAL	S	25,000	14.21	n/a	n/a	1,250.00	5.0
OGORMAN	046	CAT	SS	300	67.80	n/a	18-Aug	0.00	0.0
KENNEDY CAPITAL	046	CERN	S	6,130	46.65	n/a	n/a	245.20	4.0
KENNEDY CAPITAL	046	CHKP	S	10,260	25.12	n/a	3-Apr	410.40	4.0
⌘ BUCK CAPITAL MGMT		CMG+UM	SS	1,000	2.00	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		CMG	SS	2,000	70.03	24-Jul	24-Jul	non-brg	1.0
⌘ BUCK CAPITAL MGMT		CMG	SS	98,000	69.74	24-Jul	24-Jul	non-brg	2.0
COUGAR TRADING	044	CMG	SS	2,500	70.99	24-Jul	24-Jul	125.00	5.0
CRAMER ROSENTHAL/SCOTT	012	DLTR	B	6,100	38.94	n/a	8-Aug	244.00	4.0
CR INTRINIC INVESTMENT	044	DNA	B	25,000	97.45	n/a	n/a	1,250.00	5.0
⌘ BUCK CAPITAL MGMT		DPZ+XV	SS	2,500	1.01	n/a	n/a	non-brg	300.0
N STRATTON	014	DSNY	B	1,500	0.38	n/a	n/a	0.00	0.0
SIGMA CAPITAL ASSOCIATES	237	EAT	S	16,812	18.80	n/a	24-Apr	840.60	5.0
KORMAN	003	EL	SS	1,000	49.97	15-Aug	15-Aug	0.00	0.0
CASTLE ARK	031	EOG	C	580	107.06	n/a	n/a	34.80	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		EV	C	48,000	33.93	21-Aug	21-Aug	non-brg	4.0
WAGONHOUND/NIC	048	EV	C	18,095	33.74	21-Aug	21-Aug	723.80	4.0
LEDDY	035	FIG	S	1,500	9.96	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		FL	B	200,000	15.32	11-Aug	11-Aug	non-brg	4.0
KORMAN	003	F	C	5,000	4.45	25-Jul	28-Jul	0.00	0.0
BUCK CAPITAL MGMT		GCO+JG	SS	1,000	1.65	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		GCO	B	100,000	32.15	n/a	10-Jan	non-brg	2.0
BUCK CAPITAL MGMT	001	GES	B	10,000	35.00	n/a	n/a	400.00	4.0
WHITE PINE CAPITAL	030	GLBL	S	69,900	9.17	n/a	n/a	3,495.00	5.0
AMATURO	018	GMOIU	S	80	0.40	n/a	n/a	0.00	0.0
SOROS	036	GM	SS	308,000	9.73	4-Aug	4-Aug	12,320.00	4.0
BUCK CAPITAL MGMT		GYMB	B	10,000	37.46	11-Jul	21-Aug	non-brg	4.0
CASTLE ARK	031	HSP	SS	1,510	38.40	n/a	22-Apr	90.60	6.0
LISTED ERR	099	HSY	S	28,191	37.32	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		HUO+VX	SS	1,800	0.90	n/a	n/a	non-brg	100.0
OGORMAN	046	IP	SS	400	27.51	1-Aug	1-Aug	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WEINTRAUB CAPITAL MGT.	040	IVZ	S	600,000	25.00	4-Aug	18-Aug	24,000.00	4.0
KORMAN	003	JNY	SS	1,000	18.66	n/a	30-Jul	0.00	0.0
LEDDY	035	LEH	B	1,100	13.05	20-Aug	20-Aug	0.00	0.0
CHARTER OAK	033	LG	B	24,927	47.10	n/a	n/a	1,246.35	5.0
B BUCK CAPITAL MGMT		LIZ+IC	SS	3,000	0.80	n/a	n/a	non-brg	100.0
B BUCK CAPITAL MGMT		LIZ	B	20,000	14.87	n/a	14-Aug	non-brg	4.0
FORD FDN.	032	LLY	B	46,478	46.80	n/a	n/a	2,323.90	5.0
B BUCK CAPITAL MGMT		LL	B	31,000	11.91	n/a	n/a	non-brg	4.0
COUGAR TRADING	044	LTD	B	15,000	19.04	19-Aug	21-Aug	750.00	5.0
COUGAR TRADING	044	LTD	S	15,000	20.36	19-Aug	21-Aug	750.00	5.0
DIAMONDBACK CAP MGMT	232	LTD	S	25,000	20.63	19-Aug	21-Aug	1,250.00	5.0
OGORMAN	046	LYHIB	B	5	4.44	n/a	n/a	0.00	0.0
MERRILL ASSET	032	MLI	B	36,500	27.49	n/a	22-Jul	1,642.50	4.5
LEDDY	035	MS	B	400	36.82	15-Aug	15-Aug	0.00	0.0
STERLING JOHNSTON	035	MYL	B	60,700	12.96	30-May	19-Aug	2,428.00	4.0
AMATURO	018	NBQIU	S	40	0.20	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SEMINOLE CAP	036	NBR	S	150,000	35.46	n/a	n/a	7,500.00	5.0
PERRY PARTNERS	041	NCR	B	15,000	26.38	n/a	n/a	450.00	3.0
KORMAN	003	NWY	SS	2,000	11.33	n/a	15-Aug	0.00	0.0
REINHART & MAHONEY	031	PL	S	17,310	34.72	n/a	n/a	749.74	4.8
COUGAR TRADING	044	PSUN	B	10,000	7.83	n/a	8-Aug	500.00	5.0
B BUCK CAPITAL MGMT		PVH	B	70,000	34.88	5-May	18-Jul	non-brg	4.0
EGS ASSOCIATES LP	091	PVH	B	5,000	34.74	5-May	18-Jul	300.00	6.0
FIRST NEW YORK NICK	029	Q	S	30,000	3.70	n/a	n/a	1,500.00	5.0
KINGDON ASSET MGMT	041	RIMM	C	25,000	133.28	n/a	n/a	1,000.00	4.0
IRIDIAN ASSET MGMT.	036	ROC	B	66,230	38.48	n/a	n/a	3,311.50	5.0
WAGONHOUND/NIC	048	ROST	S	3,294	38.55	n/a	n/a	131.76	4.0
AVESTA CAP	229	SBAC	B	25,000	34.01	n/a	n/a	1,250.00	5.0
B BUCK CAPITAL MGMT		SKX	B	110,000	19.04	n/a	13-Mar	non-brg	1.0
B BUCK CAPITAL MGMT		SKX	B	25,000	19.05	n/a	13-Mar	non-brg	2.0
MERRILL ASSET	032	STC	S	20,000	17.51	n/a	n/a	900.00	4.5
PRINCIPLE CAPITAL	040	STZ	S	62,830	21.11	n/a	n/a	1,884.90	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		SYU+UF	SS	4,000	0.37	n/a	n/a	non-brg	100.0
KORMAN	003	TEN	SS	2,000	14.64	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		TGT	C	30,000	50.27	n/a	20-Aug	non-brg	4.0
IRONBOUND CAPITAL	012	TIN	S	27,202	16.35	29-Apr	30-Jul	1,088.08	4.0
WHITE PINE CAPITAL	030	TRMA	B	22,025	25.74	n/a	n/a	1,101.25	5.0
⚡ BUCK CAPITAL MGMT		TUY+LJ	SS	1,000	1.27	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	TWB	B	50,000	10.29	n/a	20-Aug	2,000.00	4.0
MERRILL ASSET	032	UTI	S	16,000	16.57	n/a	n/a	720.00	4.5
MERRILL ASSET	032	VQ	S	50,000	17.30	n/a	n/a	2,250.00	4.5
⚡ BUCK CAPITAL MGMT		WAB	C	25,700	56.08	n/a	n/a	non-brg	4.0
MS PRINCIPAL STRATEGIES	041	WFC	B	50,000	28.55	n/a	n/a	2,500.00	5.0
MS PRINCIPAL STRATEGIES	041	WLK	SS	37,000	19.54	n/a	n/a	1,850.00	5.0
DAVIDSON KEMPNER ADVISOR	040	WMI	B	150,000	34.53	n/a	n/a	7,500.00	5.0
COUGAR TRADING	044	WMT	SS	5,000	57.81	8-Aug	14-Aug	250.00	5.0
⚡ BUCK CAPITAL MGMT		WRC	S	65,000	49.61	8-Aug	8-Aug	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	WRC	SS	5,000	48.99	8-Aug	8-Aug	250.00	5.0
KORMAN	003	WSM	SS	2,000	17.92	n/a	n/a	0.00	0.0
8 BUCK CAPITAL MGMT		WYNN	SS	10,000	92.64	n/a	n/a	non-brg	1.0
TOTAL (Trade Date):							102,761.18		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	08/20	MKT MAKER	099	AEO	S	1	14.04	6-Mar	8-Aug	0.00	0.0
AO,CRT	08/20	COUGAR TRADING	044	AEO	S	7,817	14.04	6-Mar	8-Aug	390.85	5.0
AO,CXL	08/20	COUGAR TRADING	044	AEO	S	7,818	14.04	6-Mar	8-Aug	390.90	5.0
AO,	08/20	MARK ASSETMGMT (SR)	040	ATVI	S	36,750	34.02	n/a	n/a	1470.00	4.0
AO,CXL	08/20	MARK/JETCAP	030	ATVI	S	36,750	34.02	n/a	n/a	1837.50	5.0
AO,	08/20	SAXON WOODS ADVISORS	038	HPQ	B	400	46.10	n/a	n/a	12.00	3.0
AO,	08/20	LISTED ERR	099	HSY	B	28,200	37.80	n/a	n/a	0.00	0.0
AO,CXL	08/20	CENTURION GLOBAL MGMT LL	041	HSY	B	14,100	37.80	n/a	n/a	423.00	3.0
AO,CRT	08/20	CENTURION GLOBAL MGMT LL	041	HSY	S	14,100	37.80	n/a	n/a	423.00	3.0
AO,	08/20	MARK ASSETMGMT (SR)	040	MER	S	48,000	23.78	24-Jun	15-Aug	1920.00	4.0
AO,CXL	08/20	MARK/JETCAP	030	MER	S	48,000	23.78	24-Jun	15-Aug	2400.00	5.0
AO,CRT	08/20	IRONBOUND CAPITAL	012	TIN	S	200,000	16.17	29-Apr	30-Jul	8000.00	4.0
AO,CXL	08/20	IRONBOUND CAPITAL	012	TIN	S	200,000	16.17	29-Apr	30-Jul	10000.00	5.0
TOTAL (AO, CXL, CRT) :										-2,835.55	

TOTAL (Trade Date):	102,761.18
TOTAL (AO, CXL, CRT):	-2,835.55

TOTAL (RUN DATE) / NFS:

99,925.63

MRI Securities with Trade Activity on 21-Aug.

EV

MRI Securities without Trade Activity on 21-Aug.

PLCE

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

T-Date = 6%

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