



Daily Compliance Activity Report

Trade Date: 11/17/2008

Potential ANALYST TRADE Violations: 0

BCM Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	AEO	S	10,000	8.77	n/a	10-Nov	400.00	4.0
CHIARMONTE	N10	ARTX	S	3	0.51	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		AVP	SS	30,000	22.15	3-Nov	3-Nov	non-brg	4.0
IMPALA ASSET MMT	012	AXB	B	100,000	28.03	n/a	n/a	3,000.00	3.0
B BUCK CAPITAL MGMT		AXP	SS	20,000	19.57	n/a	17-Nov	non-brg	4.0
BUCK CAPITAL MGMT	001	AZO	B	10,000	107.92	n/a	n/a	400.00	4.0
BUCK	015	BAC	SS	3,000	15.44	15-Oct	17-Nov	0.00	0.0
CLOVIS CAPITAL	012	BBBY	B	50,000	20.68	n/a	n/a	2,500.00	5.0
ROTHSCHILD ASSET	040	BDX	S	35,085	66.18	n/a	22-Apr	1,578.83	4.5
B BUCK CAPITAL MGMT		BIG	C	20,000	15.64	n/a	7-Nov	non-brg	4.0
BUCK CAPITAL MGMT	001	BKE	S	50,000	17.90	n/a	n/a	2,000.00	4.0
NEUBERGER BERMAN	036	BRY	S	54,500	13.22	n/a	n/a	2,452.50	4.5
COUGAR TRADING	044	CEM	B	25,000	1.53	n/a	n/a	500.00	2.0
WHEELER	008	CITPRA	S	2,900	9.81	n/a	n/a	0.00	0.0

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⌘ BUCK CAPITAL MGMT		COF	SS	20,000	30.49	n/a	17-Nov	non-brg	4.0
⌘ BUCK CAPITAL MGMT		COH	S	110,000	15.83	8-Oct	22-Oct	non-brg	4.0
WHEELER	008	COV	S	5,000	36.47	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		CRI	SS	20,000	20.08	n/a	n/a	non-brg	4.0
GRUSS CAPITAL	045	DEI	B	11,000	12.13	n/a	n/a	550.00	5.0
TROUBH PART	067	DE	S	10,000	33.27	3-Nov	3-Nov	500.00	5.0
⌘ BUCK CAPITAL MGMT		DIN	SS	20,000	11.09	n/a	n/a	non-brg	4.0
CHIARMONTE	N10	DIS	S	12	20.01	n/a	n/a	0.00	0.0
US BANCORP	030	DKS	S	52,787	11.41	7-Oct	14-Nov	2,639.35	5.0
BUCK CAPITAL MGMT	001	DV	SS	10,000	54.23	n/a	n/a	400.00	4.0
CHIARMONTE	N10	DWCH	S	46	0.78	n/a	n/a	0.00	0.0
CHIARMONTE	N10	EFT	S	55	8.92	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		EXBD	SS	20,000	24.30	n/a	n/a	non-brg	2.5
IMPALA ASSET MMT	012	FCX	S	68,600	23.01	n/a	n/a	2,058.00	3.0
IMPALA ASSET MMT	012	FDX	B	50,000	63.69	n/a	n/a	1,500.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COLE	077	FLEX	B	300	3.05	n/a	n/a	0.00	0.0
GRUSS CAPITAL	045	FOR	B	11,000	4.14	n/a	3-Oct	330.00	3.0
MFP INVESTORS	032	FOR	B	12,500	3.98	n/a	3-Oct	375.00	3.0
⌘ BUCK CAPITAL MGMT		FOSL	S	50,000	14.67	10-Nov	11-Nov	non-brg	4.0
⌘ BUCK CAPITAL MGMT		FOSL	S	67,028	14.25	10-Nov	11-Nov	non-brg	1.0
⌘ BUCK CAPITAL MGMT		FOSL	S	73,200	14.55	10-Nov	11-Nov	non-brg	1.0
DIAMONDBACK CAP MGMT	232	GPS	C	25,000	10.88	n/a	7-Nov	1,250.00	5.0
STRAUSS ASSET MGMT	040	GRA	B	15,000	4.00	n/a	n/a	600.00	4.0
BARCLEYS CAPITAL	041	GYMB	S	100,000	20.43	7-Nov	7-Nov	4,000.00	4.0
BUCK CAPITAL MGMT	001	HEW	SS	40,000	25.36	n/a	n/a	1,600.00	4.0
N STRATTON	014	HLTH	B	1,000	8.15	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	HME	S	40,000	32.93	n/a	n/a	1,600.00	4.0
⌘ BUCK CAPITAL MGMT		HSII	SS	20,000	20.61	n/a	n/a	non-brg	4.0
STANDARD PACIFIC CAPITAL	040	HTZ	SS	125,000	4.24	n/a	n/a	6,250.00	5.0
AVESTA CAP	229	IBM	S	10,000	77.87	n/a	n/a	500.00	5.0
IMPALA ASSET MMT	012	IP	B	175,000	11.88	22-Sep	31-Oct	5,250.00	3.0
BUCK CAPITAL MGMT	001	JCG	S	30,000	10.79	n/a	13-Nov	1,200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		JOSB	SS	20,000	18.70	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		JOSB	SS	400	18.70	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		JOSB	SS	47,500	18.82	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		JOSB	SS	72,100	18.69	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT	001	KFY	SS	10,000	11.46	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	LOW	SS	60,000	19.57	n/a	27-Jul	2,400.00	4.0
ZOLIDIS	011	LOW	SS	500	19.66	n/a	27-Jul	0.00	0.0
IMPALA ASSET MMT	012	LUK	B	100,000	18.39	n/a	n/a	3,000.00	3.0
ß BUCK CAPITAL MGMT		LVS	B	25,000	7.00	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		LVS	B	75,000	6.92	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		M+AU[M]	SS	500	1.40	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	MAN	SS	30,000	27.79	n/a	n/a	1,200.00	4.0
ß BUCK CAPITAL MGMT		MDTL	C	57,900	0.98	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT	001	MFB	S	5,000	7.79	n/a	n/a	150.00	3.0
IMPALA ASSET MMT	012	MGA	B	130,300	26.61	n/a	n/a	3,909.00	3.0
BUCK	015	MO	B	1,000	16.15	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	MWW	SS	20,000	11.31	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	NHP	S	10,000	21.18	n/a	n/a	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	OFC	S	20,000	25.10	n/a	n/a	800.00	4.0
ELM RIDGE ADVISORS	044	PKG	B	85,000	13.26	11-Sep	21-Oct	3,400.00	4.0
CHART WELL ADV	028	PLCE	B	125,210	22.44	6-Nov	6-Nov	5,008.40	4.0
SAC TRADING HOWARD	038	PLCE	S	10,000	22.29	6-Nov	6-Nov	500.00	5.0
BUCK CAPITAL MGMT	001	PSB	S	10,000	41.79	n/a	n/a	400.00	4.0
ß BUCK CAPITAL MGMT		QUK+LL[DECK]	SS	200	5.90	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		QUK+LL[DECK]	SS	400	5.95	n/a	n/a	non-brg	300.0
HUNTER GLOBAL INVESTOR	067	RDK	SS	32,000	27.00	n/a	n/a	1,600.00	5.0
ß BUCK CAPITAL MGMT		RECN	SS	20,000	14.71	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	RHI	SS	20,000	17.48	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	RL	SS	14,600	42.67	n/a	6-Nov	584.00	4.0
ß BUCK CAPITAL MGMT		RL	SS	80,000	41.96	n/a	6-Nov	non-brg	4.0
PZENA INV ADV	044	RNR	S	18,100	42.94	n/a	n/a	633.69	3.5
ß BUCK CAPITAL MGMT		ROST	SS	90,000	26.06	n/a	n/a	non-brg	4.0
STRAUSS ASSET MGMT	040	RRC	B	5,000	41.32	n/a	n/a	200.00	4.0
SIGMA CAPITAL ASSOCIATES	237	SBUX	B	50,000	9.00	n/a	24-Apr	2,500.00	5.0
ZOLIDIS	011	SDS	B	50	102.27	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AMATURO	018	SDS	B	2,000	101.98	n/a	n/a	0.00	0.0
GAULT	063	SDS	S	500	100.27	n/a	n/a	0.00	0.0
Ⓕ BUCK CAPITAL MGMT		SKT	SS	20,000	29.78	n/a	n/a	non-brg	4.0
FRONTPOINT/COPIA-ANDREW	031	SLB	S	71,000	49.56	n/a	n/a	2,485.00	3.5
Ⓕ BUCK CAPITAL MGMT		SPG	SS	10,000	51.38	n/a	n/a	non-brg	4.0
AMATURO	018	SSO	S	4,000	24.81	n/a	n/a	0.00	0.0
SINCLAIR	031	SWGCL	S	40	8.10	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	TGT	SS	30,000	33.05	17-Nov	17-Nov	1,200.00	4.0
COLONIAL FUND LLC	036	TGT	B	12,500	32.59	17-Nov	17-Nov	625.00	5.0
HUNTER GLOBAL INVESTOR	067	TGT	SS	9,200	34.75	17-Nov	17-Nov	460.00	5.0
SOROS	036	TGT	SS	73,500	33.88	17-Nov	17-Nov	2,940.00	4.0
COUGAR TRADING	044	TIF	B	5,000	20.50	n/a	3-Nov	250.00	5.0
BUCK CAPITAL MGMT	001	TJX	S	140,000	21.31	11-Aug	12-Nov	5,600.00	4.0
THE BOSTON COMPANY	401	TLB	C	58,351	2.98	7-Aug	7-Nov	875.27	1.5
Ⓕ BUCK CAPITAL MGMT		TMX	SS	20,000	18.10	n/a	n/a	non-brg	4.0
BEAR STEARNS ASSET MGMT.	033	TWB	C	280,200	4.72	n/a	3-Nov	11,208.00	4.0
BUCK CAPITAL MGMT	001	TWB	S	215,748	4.74	n/a	3-Nov	6,472.44	3.0
HIGHBRIDGE/MS OLDS	041	TWC	SS	12,400	19.05	n/a	4-Jan	620.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ZOLIDIS	011	TWM	B	100	125.04	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		TWTC	S	134,497	6.86	n/a	4-Jan	non-brg	1.0
ß BUCK CAPITAL MGMT		TWTC	S	28,900	7.02	n/a	4-Jan	non-brg	3.0
CHIARMONTE	N10	TWX	S	6	8.75	n/a	n/a	0.00	0.0
IMPALA ASSET MMT	012	UAUA	S	391,877	10.67	n/a	n/a	11,756.31	3.0
ß BUCK CAPITAL MGMT		UNFI	SS	20,000	19.50	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		URBN	S	30,100	15.70	5-Nov	13-Nov	non-brg	1.0
ß BUCK CAPITAL MGMT		URBN	S	54,500	15.72	5-Nov	13-Nov	non-brg	2.0
ß BUCK CAPITAL MGMT		URBN	S	545,500	15.64	5-Nov	13-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		URQ+LW[URBN]	SS	3,000	1.15	n/a	n/a	non-brg	300.0
HIGHBRIDGE/MS OLDS	041	UTX	B	42,100	48.77	n/a	n/a	2,105.00	5.0
BAYPOINT TRADING/XYLEM	091	VCP	S	7,000	7.14	n/a	n/a	280.00	4.0
CUMBERLAND	038	WFC	SS	20,000	28.07	n/a	n/a	800.00	4.0
ß BUCK CAPITAL MGMT		WMT	S	100,000	52.27	10-Oct	13-Nov	non-brg	1.0
ß BUCK CAPITAL MGMT		XRT+WW[XRT]	C	2,000	4.79	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		XRT	C	550,000	18.18	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		XRT	SS	300,000	17.99	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	YUM	SS	70,000	25.63	14-Aug	20-Oct	2,800.00	4.0
ZOLIDIS	011	ZQK	S	3,000	1.64	3-Nov	3-Nov	0.00	0.0
TOTAL (Trade Date):							122,595.79		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	11/12	BUCK CAPITAL MGMT	001	MFB	S	5,000	8.23	n/a	n/a	150.00 3.0
AO,CXL	11/12	BUCK CAPITAL MGMT	001	MFB	S	5,000	8.23	n/a	n/a	200.00 4.0
AO,	11/14	ROTHSCHILD ASSET	040	OKE	B	22,740	26.67	n/a	n/a	1023.30 4.5
AO,CXL	11/14	ZOLIDIS	011	UAAD	S	10	3.50	n/a	n/a	0.00 0.0
AO,CRT	11/14	ZOLIDIS	011	UAAD	S	10	3.50	n/a	n/a	0.00 0.0
AO,CRT	11/14	CAVU CAP ADV	028	VSEA	SS	25,100	17.53	n/a	n/a	1255.00 5.0
AO,CXL	11/14	CAVU CAP ADV	028	VSEA	SS	25,100	17.53	n/a	n/a	1255.00 5.0
AO,	11/14	ASCEND PARTNERS	033	XLP	B	90,000	23.97	n/a	n/a	4500.00 5.0
AO,CXL	11/14	ZOLIDIS	011	ZLCAV	S	10	1.90	n/a	n/a	0.00 0.0
AO,CRT	11/14	ZOLIDIS	011	ZLCAV	S	10	1.90	n/a	n/a	0.00 0.0

TOTAL (AO, CXL, CRT) :**5,473.30**

TOTAL (Trade Date) :**122,595.79****TOTAL (AO, CXL, CRT) :****5,473.30**

TOTAL (RUN DATE) / NFS :**128,069.09**

MRI Securities with Trade Activity on 17-Nov.

TGT

MRI Securities without Trade Activity on 17-Nov.

JCP

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

T-Date = 27%

YTD = 20%

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