



Daily Compliance Activity Report

Trade Date: 09/30/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WYCKOFF	013	AAPL	B	100	108.50	n/a	n/a	0.00	0.0
SECOND CURVE	045	ABK	S	139,730	2.29	n/a	n/a	6,986.50	5.0
⌘ BUCK CAPITAL MGMT		AEO	B	145,000	15.11	n/a	5-Sep	non-brg	4.0
⌘ BUCK CAPITAL MGMT		AEO	B	35,000	14.96	n/a	5-Sep	non-brg	4.0
COUGAR TRADING	044	AEO	S	15,000	15.07	n/a	5-Sep	750.00	5.0
⌘ BUCK CAPITAL MGMT		AN+WB	SS	2,500	0.70	n/a	n/a	non-brg	100.0
NORTHPOINT	030	ANDE	S	40,250	35.07	n/a	n/a	1,610.00	4.0
⌘ BUCK CAPITAL MGMT		ANF+KH	SS	1,000	3.00	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		ANF	B	100,000	38.70	7-Aug	30-Sep	non-brg	2.0
COUGAR TRADING	044	ANF	B	10,000	38.37	7-Aug	30-Sep	500.00	5.0
MILLRACE FUND LP	028	APOG	B	100	14.49	n/a	n/a	4.00	4.0
⌘ BUCK CAPITAL MGMT		APP	B	150,000	8.28	n/a	n/a	non-brg	4.0
LEDDY	035	ARGN	B	2,400	6.69	3-Sep	3-Sep	0.00	0.0
⌘ BUCK CAPITAL MGMT		ARO	B	250,000	31.75	28-Apr	5-Sep	non-brg	4.0
CADIAN CAPITAL	067	ARO	B	31,100	31.95	28-Apr	5-Sep	1,555.00	5.0
⌘ Alice Longley		BAC	S	800	34.33	n/a	19-Sep	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PNC/MERCANTILE	028	BAC	S	21,460	33.86	n/a	19-Sep	1,073.00	5.0
PHILADELPHIA FINANCIAL	033	BEN	B	100	85.50	10-Sep	19-Sep	4.00	4.0
PHILADELPHIA FINANCIAL	033	BEN	S	35,384	92.11	10-Sep	19-Sep	1,415.36	4.0
CADIAN CAPITAL	067	BIG	B	25,000	29.17	29-May	5-Sep	1,250.00	5.0
IRIDIAN ASSET MGMT.	036	BIIB	S	94,740	49.43	n/a	n/a	4,737.00	5.0
SANDLER O'NEILL ASSET	031	BLK	S	800	193.54	n/a	30-Sep	40.00	5.0
MS PRINCIPAL STRATEGIES	041	BMA	B	15,100	18.50	n/a	n/a	755.00	5.0
NORTHPOINT	030	BRKR	B	33,221	12.83	n/a	n/a	1,328.84	4.0
POST ROAD CAP	045	BR	S	1,800	15.43	n/a	30-Jan	54.00	3.0
⚡ BUCK CAPITAL MGMT		BYI	B	30,000	27.80	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		CCI	B	25,000	28.00	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		CHS	B	7,800	5.26	8-Aug	24-Sep	non-brg	1.0
TRUSTCO/SUNTRUST	040	CLB	B	19,300	98.36	n/a	24-Sep	617.60	3.2
⚡ BUCK CAPITAL MGMT		COH	S	108,380	24.79	30-Jul	28-Aug	non-brg	4.0
ENTRUST CAPITAL	040	COH	B	54,200	24.58	30-Jul	28-Aug	2,710.00	5.0
⚡ BUCK CAPITAL MGMT		COLM	C	10,000	41.87	n/a	n/a	non-brg	4.0
DIAMONDBACK CAP MGMT	232	COST	SS	15,000	64.72	n/a	27-Jul	750.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ Doug Rogers		CPN	B	1156	13.10	n/a	n/a	0.00	0.0
Õ Doug Rogers		CPN	S	4000	12.96	n/a	n/a	0.00	0.0
Õ Doug Rogers		CPN	S	6000	12.96	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CRI+KD	SS	1,000	1.12	n/a	n/a	non-brg	300.0
Õ Alice Longley		CSCO	S	1630	22.12	n/a	22-Mar	0.00	0.0
ß BUCK CAPITAL MGMT		DLTR	C	18,600	36.68	n/a	5-Sep	non-brg	2.0
ß BUCK CAPITAL MGMT		DLTR	C	80,000	36.62	n/a	5-Sep	non-brg	4.0
Õ Alice Longley		DNP	S	1000	9.43	n/a	n/a	0.00	0.0
LOOMIS SALES/BOSTON	036	DRI	S	208,874	27.55	26-Aug	18-Sep	8,354.96	4.0
CIRCLE T PART	035	EAT	SS	10,000	17.81	n/a	24-Apr	500.00	5.0
ß BUCK CAPITAL MGMT		EDU	SS	50,000	64.35	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		EL+WI	SS	1,000	1.40	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		EL+WI	SS	1,000	1.45	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		EL	SS	100,000	49.05	15-Aug	4-Sep	non-brg	2.0
ß BUCK CAPITAL MGMT		FDO+WX	SS	3,000	1.00	n/a	n/a	non-brg	200.0
GRUSS CAPITAL	045	FOR	B	6,800	13.07	n/a	n/a	204.00	3.0
ß BUCK CAPITAL MGMT		FUA+KF	SS	1,000	1.35	n/a	n/a	non-brg	300.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
IRIDIAN ASSET MGMT.	036	GD	B	29,530	73.18	n/a	n/a	1,476.50	5.0
⌘ BUCK CAPITAL MGMT		GES+KG	SS	1,000	2.20	n/a	n/a	non-brg	300.0
MS PRINCIPAL STRATEGIES	041	GGAL	B	3,400	4.50	n/a	n/a	170.00	5.0
WILLIAM BLAIR	031	GIL	B	70,736	22.39	8-Sep	8-Sep	2,829.44	4.0
TRELLUS PARTNERS LP	028	GNTX	C	60,000	14.39	24-Jun	30-Sep	3,000.00	5.0
LEDDY	035	GNTX	C	700	14.82	24-Jun	30-Sep	0.00	0.0
MAGUIRE	039	GR	B	200	39.82	5-Jun	24-Jul	0.00	0.0
⌘ BUCK CAPITAL MGMT		GYMB	S	20,000	34.35	11-Jul	5-Sep	non-brg	4.0
COUGAR TRADING	044	GYMB	S	5,000	34.30	11-Jul	5-Sep	250.00	5.0
CAXTON PART	040	HD	S	184,622	25.62	n/a	27-Jul	6,461.78	3.5
N STRATTON	014	HEMGF	B	450	2.42	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		HOT+WX	SS	1,000	1.10	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		HOT	SS	100,000	27.80	n/a	n/a	non-brg	2.0
IRIDIAN ASSET MGMT.	036	HPQ	S	17,290	45.93	n/a	n/a	864.50	5.0
Õ Alice Longley		IAPLF	S	1100	6.20	n/a	n/a	0.00	0.0
STRAUSS ASSET MGMT	040	IOC	S	4,500	27.00	n/a	n/a	180.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PILOT ROCK	028	IP	SS	200,000	26.04	22-Sep	22-Sep	8,000.00	4.0
UBS OCONNOR	031	IR	SS	70,000	30.04	n/a	n/a	2,100.00	3.0
DEER HILL POND/BAYPOINT	031	IVZ	B	5,000	21.20	4-Aug	30-Sep	200.00	4.0
SANDLER O'NEILL ASSET	031	IVZ	S	7,400	21.09	4-Aug	30-Sep	370.00	5.0
BUCK CAPITAL MGMT	001	JCG	S	50,000	27.44	n/a	17-Sep	2,000.00	4.0
COUGAR TRADING	044	JCG	S	10,300	27.43	n/a	17-Sep	515.00	5.0
B BUCK CAPITAL MGMT		JCP	SS	20,000	33.06	n/a	5-Sep	non-brg	4.0
WYCKOFF	013	JCP	B	200	32.94	n/a	5-Sep	0.00	0.0
HBK FUNDS	031	JNJ	B	100,000	68.69	n/a	22-Apr	5,000.00	5.0
B BUCK CAPITAL MGMT		JOSB	S	20,000	30.45	n/a	n/a	non-brg	4.0
HOLDEN CAPITAL MGMT	035	JOYG	S	10,000	40.03	4-Sep	4-Sep	500.00	5.0
B BUCK CAPITAL MGMT		JWN+WE	SS	1,000	1.24	n/a	n/a	non-brg	300.0
B BUCK CAPITAL MGMT		JWN	SS	100,000	28.59	10-Jul	17-Sep	non-brg	4.0
B BUCK CAPITAL MGMT		KSS	S	25,000	45.52	n/a	5-Sep	non-brg	4.0
WYCKOFF	013	KSS	B	100	45.33	n/a	5-Sep	0.00	0.0
B BUCK CAPITAL MGMT		LIZ+KW	SS	2,000	0.85	n/a	n/a	non-brg	100.0
IRIDIAN ASSET MGMT.	036	LMT	S	12,460	109.55	n/a	n/a	623.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HUNTER GLOBAL INVESTOR	067	LO	S	42,400	71.43	n/a	n/a	2,120.00	5.0
Õ Doug Rogers		MIR	S	875	18.05	n/a	n/a	0.00	0.0
HBK FUNDS	031	MRK	B	133,713	31.07	n/a	n/a	6,685.65	5.0
POST ROAD CAP	045	MSFT	S	5,200	26.19	n/a	3-Apr	156.00	3.0
BUCK CAPITAL MGMT	001	MW	SS	50,000	20.44	n/a	n/a	2,000.00	4.0
Õ Alice Longley		NAD	S	500	10.68	n/a	n/a	0.00	0.0
RAINIER INV MGMT	035	NLY	S	45,800	13.75	n/a	n/a	2,290.00	5.0
IRIDIAN ASSET MGMT.	036	NOC	S	12,690	60.30	n/a	n/a	634.50	5.0
MAGUIRE	039	NRG	B	200	23.73	n/a	n/a	0.00	0.0
WAGONHOUND/NIC	048	NTRS	B	353	68.90	3-Sep	19-Sep	14.12	4.0
JP MORGAN VENTURES	046	NWL	S	40,000	16.97	n/a	n/a	2,000.00	5.0
BUCK CAPITAL MGMT	001	NWY	B	30,000	9.34	n/a	17-Sep	1,200.00	4.0
ß BUCK CAPITAL MGMT		NWY	SS	20,000	9.43	n/a	17-Sep	non-brg	4.0
REICH AND TANG	067	OMG	B	5,000	21.69	n/a	n/a	250.00	5.0
CENTURION GLOBAL MGMT LL	041	PFE	B	38,500	18.20	n/a	31-Mar	1,155.00	3.0
ß BUCK CAPITAL MGMT		PLCE	B	107,300	32.64	21-Aug	5-Sep	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		PLCE	B	20,000	33.54	21-Aug	5-Sep	non-brg	4.0
N STRATTON	014	PNWIF	B	1,000	1.95	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		PSS+KD	SS	2,000	0.85	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT	001	PSS	S	20,000	17.75	n/a	n/a	800.00	4.0
COUGAR TRADING	044	PSUN	SS	10,000	6.62	n/a	5-Sep	400.00	4.0
N STRATTON	014	PTSEF	B	1,200	0.55	n/a	n/a	0.00	0.0
AMBER CAPITAL	046	PWR	B	100,000	25.73	n/a	n/a	4,000.00	4.0
IRIDIAN ASSET MGMT.	036	QCOM	B	38,510	41.11	n/a	n/a	1,925.50	5.0
BUCK	015	QGYKU	B	10	1.55	n/a	n/a	0.00	0.0
NOMURA CAPITAL	045	QLTY	SS	12,300	4.39	n/a	n/a	369.00	3.0
⌘ BUCK CAPITAL MGMT		QUK+VS	SS	500	3.30	n/a	n/a	non-brg	300.0
COUGAR TRADING	044	RL	S	5,000	65.25	n/a	28-Aug	250.00	5.0
STRAUSS ASSET MGMT	040	RNIN	S	10,400	2.24	n/a	n/a	312.00	3.0
IRIDIAN ASSET MGMT.	036	RTN	B	40,730	53.19	n/a	n/a	2,036.50	5.0
⌘ BUCK CAPITAL MGMT		SBAC	B	25,000	24.20	n/a	n/a	non-brg	4.0
T. ROWE PRICE	033	SBUX	S	373,600	14.40	n/a	24-Apr	11,208.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ZOLIDIS	011	SDS	B	500	70.31	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		SKX+KW	SS	1,000	0.80	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT	001	SKX	B	50,000	16.90	n/a	13-Mar	2,000.00	4.0
⌘ BUCK CAPITAL MGMT		SKX	B	100,000	16.15	n/a	13-Mar	non-brg	2.0
LEDDY	035	SLB	B	250	75.50	n/a	n/a	0.00	0.0
REICH AND TANG	067	SUG	B	10,000	20.46	n/a	n/a	500.00	5.0
MAGUIRE	039	SWN	B	300	28.74	n/a	24-Sep	0.00	0.0
⌘ BUCK CAPITAL MGMT		SYW+WF	SS	1,000	1.50	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		TEN	C	20,000	10.31	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		TIF	SS	3,000	34.72	n/a	17-Sep	non-brg	1.0
COUGAR TRADING	044	TIF	SS	5,000	35.13	n/a	17-Sep	250.00	5.0
⌘ BUCK CAPITAL MGMT		TJX+KF	SS	2,000	1.85	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	TJX	B	10,000	30.43	11-Aug	5-Sep	400.00	4.0
ROTHSCHILD ASSET	040	TMP	B	880	47.90	n/a	n/a	39.60	4.5
⌘ BUCK CAPITAL MGMT		TWB+KB	SS	1,000	0.65	n/a	n/a	non-brg	100.0
IRIDIAN ASSET MGMT.	036	T	B	28,200	28.31	n/a	4-Jan	1,410.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		URBN	B	15,000	31.18	14-Aug	17-Sep	non-brg	1.0
BUCK CAPITAL MGMT		URBN	B	30,000	31.75	14-Aug	17-Sep	non-brg	4.0
ZOLIDIS	011	UYG	S	600	17.80	n/a	n/a	0.00	0.0
LEDDY	035	VC	B	1,300	1.97	n/a	31-Jul	0.00	0.0
HART	056	VC	B	450	2.15	n/a	31-Jul	0.00	0.0
BUCK CAPITAL MGMT	001	WRC	B	10,000	45.01	8-Aug	28-Aug	400.00	4.0
SYSTEMATIC FINANCIAL MGT	035	WRC	B	31,300	45.61	8-Aug	28-Aug	1,173.75	3.8
NORTHPOINT	030	WRLD	S	8,200	33.90	n/a	n/a	328.00	4.0
BUCK CAPITAL MGMT		WSM+WC	SS	1,500	1.17	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	WWW	B	40,000	26.23	n/a	13-Mar	1,600.00	4.0
BUCK CAPITAL MGMT		XRT	S	350,000	29.77	n/a	n/a	non-brg	2.5
BULL PATH CAPITAL	044	YUM	B	27,800	32.00	14-Aug	25-Sep	1,390.00	5.0
BUCK CAPITAL MGMT		ZJQ+WE	SS	2,000	2.75	n/a	n/a	non-brg	300.0
TOTAL (Trade Date) :							119,037.10		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/29	NWQ INVESTMENT MGMT CO	046	ABX	S	18,500	38.65	n/a	n/a	740.00 4.0
AO,CRT	09/29	PALMYRA CAPITAL	048	ARO	B	7,800	31.55	28-Apr	5-Sep	390.00 5.0
AO,CXL	09/29	PALMYRA CAPITAL	048	ARO	B	7,800	31.55	28-Apr	5-Sep	312.00 4.0
AO,	09/29	LOOMIS SALES/BOSTON	036	DRI	S	122,400	27.28	26-Aug	18-Sep	4896.00 4.0
AO,CXL	09/29	WILLIAM BLAIR	031	GIL	B	1,700	22.27	8-Sep	8-Sep	68.00 4.0
AO,CRT	09/29	WILLIAM BLAIR	031	GIL	B	1,700	22.27	8-Sep	8-Sep	68.00 4.0
AO,CRT	09/26	SOROS	036	INTC	B	3,000,000	19.01	n/a	n/a	90000.00 3.0
AO,CXL	09/26	SOROS	036	INTC	B	3,000,000	19.01	n/a	n/a	90000.00 3.0
AO,	09/29	DURANGO INVESTMENTS	031	NUE	B	40,000	38.60	n/a	n/a	1600.00 4.0
AO,	09/29	NOMURA CAPITAL	045	QLTY	SS	200	4.43	n/a	n/a	6.00 3.0
AO,CXL	09/29	STRAUSS ASSET MGMT	040	RNIN	S	4,600	2.42	n/a	n/a	184.00 4.0
AO,CRT	09/29	STRAUSS ASSET MGMT	040	RNIN	S	4,600	2.42	n/a	n/a	138.00 3.0
AO,	09/29	CAMBIAR CAP	046	TEVA	B	100,000	44.92	n/a	30-Sep	4000.00 4.0
AO,	09/29	COLUMBIA PARTNERS	028	VTR	S	37,806	47.39	n/a	n/a	1512.24 4.0
AO,	09/29	NOMURA CAPITAL	045	ZZ	SS	20,000	6.83	n/a	n/a	800.00 4.0
TOTAL (AO, CXL, CRT) :										13,586.24

TOTAL (Trade Date):	119,037.10
TOTAL (AO, CXL, CRT):	13,586.24

TOTAL (RUN DATE) / NFS:	132,623.34
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MRI Securities with Trade Activity on 30-Sep. NONE

MRI Securities without Trade Activity on 30-Sep. NONE
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BRG comm. as a % of BCM Total Comm. paid. T-Date = 8% 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