



# Daily Compliance Activity Report

Trade Date: 10/20/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		AEO+LV	SS	3,000	0.70	n/a	n/a	non-brg	100.0
COUGAR TRADING	044	AEO	S	10,000	10.33	n/a	10-Oct	500.00	5.0
BUCK CAPITAL MGMT	001	ANF	B	32,400	29.98	7-Aug	10-Oct	1,296.00	4.0
STRAUSS ASSET MGMT	040	AN	SS	50,000	6.90	15-Oct	20-Oct	2,500.00	5.0
COUGAR TRADING	044	ARG	B	5,000	40.07	13-Oct	13-Oct	250.00	5.0
BUCK CAPITAL MGMT	001	ARO	S	50,000	24.85	n/a	10-Oct	2,000.00	4.0
BUCK CAPITAL MGMT		AXP	SS	40,000	23.22	n/a	15-Oct	non-brg	4.0
BUCK CAPITAL MGMT		BBBY	C	50,000	25.51	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	BBY	B	50,000	25.20	n/a	27-Jul	2,000.00	4.0
BUCK CAPITAL MGMT		BLK	B	1,000	141.71	n/a	20-Oct	non-brg	1.0
PALMYRA CAPITAL	048	CAB	SS	20,000	9.12	n/a	n/a	1,000.00	5.0
PRINCIPLE CAPITAL	040	CCL	SS	52,000	29.61	n/a	26-Jan	1,560.00	3.0
MERRILL ASSET	032	CFR	B	10,700	52.20	n/a	n/a	535.00	5.0
RAINIER INV MGMT	035	CGX	S	16,150	14.13	n/a	n/a	807.50	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		COH	B	200,000	18.82	8-Oct	8-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		COH	C	149,700	19.34	8-Oct	8-Oct	non-brg	4.0
CRAMER ROSENTHAL/SCOTT	012	COH	S	41,000	19.28	8-Oct	8-Oct	1,640.00	4.0
ß BUCK CAPITAL MGMT		COST	C	18,800	57.72	n/a	27-Jul	non-brg	4.0
ß BUCK CAPITAL MGMT		COST	C	40,000	58.75	n/a	27-Jul	non-brg	4.0
ß BUCK CAPITAL MGMT		CRI	B	70,000	15.82	n/a	n/a	non-brg	4.0
CATAPULT	040	DAL	S	7,000	9.07	n/a	n/a	280.00	4.0
AMATURO	018	DAVWI	B	20	4.69	n/a	n/a	0.00	0.0
MCCARTAN	028	DAVWI	B	10	4.34	n/a	n/a	0.00	0.0
LUCHANSKY1	036	DDM	B	200	35.83	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	DIS	S	83,220	25.99	n/a	n/a	3,744.90	4.5
ß BUCK CAPITAL MGMT		DLTR	B	10,000	34.65	n/a	15-Oct	non-brg	1.0
N STRATTON	014	DSNY	B	2,000	0.20	n/a	n/a	0.00	0.0
GAULT	063	DXD	B	1,800	78.12	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		FDO+WX	SS	1,000	1.20	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		FDO+XX	SS	1,000	1.82	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		FDO	C	16,185	24.68	23-Jul	9-Oct	non-brg	1.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>GAULT</b>	<b>063</b>	<b>FXP</b>	<b>B</b>	<b>500</b>	<b>90.84</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GQU+KF</b>	<b>SS</b>	<b>1,000</b>	<b>1.35</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>300.0</b>
SCOPUS FUND	041	GWW	S	10,000	82.80	3-Oct	15-Oct	500.00	5.0
FRONTPOINT CHRIS C	041	HPY	B	7,700	18.89	n/a	n/a	308.00	4.0
EATON VANCE MGMT	039	IBM	B	525,271	90.81	n/a	n/a	15,758.13	3.0
BARROW HANLEY MEWHINNEY	031	INTC	B	80,000	15.82	n/a	n/a	3,200.00	4.0
NEUBERGER BERMAN	036	IWP	S	145,000	34.11	n/a	n/a	6,525.00	4.5
COUGAR TRADING	044	JCG	S	15,000	18.94	n/a	17-Sep	750.00	5.0
WAGONHOUND/NIC	048	JNS	S	2,603	11.75	25-Jul	17-Oct	104.12	4.0
WHITE PINE CAPITAL	030	KEG	B	57,925	6.69	n/a	14-Oct	2,896.25	5.0
MS PRINCIPAL STRATEGIES	041	KOG	S	10,400	0.90	n/a	n/a	520.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>KO</b>	<b>C</b>	<b>50,000</b>	<b>44.99</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>LUCHANSKY1</b>	<b>036</b>	<b>KO</b>	<b>B</b>	<b>100</b>	<b>45.82</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CATAPULT	040	LCC	S	7,000	7.11	n/a	n/a	280.00	4.0
STADIA CAPITAL	044	LH	SS	35,000	60.92	n/a	n/a	1,400.00	4.0
CAXTON PART	040	LINTA	C	15,000	6.70	n/a	n/a	525.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		LIZ+KB	SS	2,000	1.00	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT	001	LIZ	S	200,000	9.91	n/a	8-Oct	8,000.00	4.0
ß BUCK CAPITAL MGMT		MCD	B	80,000	55.29	13-Oct	16-Oct	non-brg	4.0
MERRILL ASSET	032	MKC	S	19,600	34.26	n/a	n/a	882.00	4.5
ROTHSCHILD ASSET	040	MKC	B	13,460	34.28	n/a	n/a	605.70	4.5
STRAUSS ASSET MGMT	040	MS	S	5,000	20.54	15-Sep	15-Oct	250.00	5.0
STADIA CAPITAL	035	MTH	SS	50,000	15.89	n/a	n/a	2,000.00	4.0
ß BUCK CAPITAL MGMT		NXXI	B	68,589	0.18	n/a	n/a	non-brg	0.5
Õ Larry Leeds		NXXI	B	100000	0.17	n/a	n/a	0.00	0.0
WHEELER	008	PENX	B	5,000	12.00	n/a	n/a	0.00	0.0
CATTANI	041	PEP	S	100	56.15	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		PERY	B	35,000	8.50	n/a	n/a	non-brg	2.5
CATTANI	041	PG	B	100	62.24	10-Oct	10-Oct	0.00	0.0
US BANCORP	030	PX	B	26,523	69.07	n/a	14-Oct	1,326.15	5.0
TALA MANAGEMENT	041	QQQQ	B	7,677	32.31	n/a	n/a	383.85	5.0
ß BUCK CAPITAL MGMT		QUK+KA	SS	150	6.10	n/a	n/a	non-brg	300.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		QUK+KS	SS	200	11.00	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		QUK+KT	SS	150	7.80	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		RICK	S	20,500	7.60	n/a	n/a	non-brg	3.0
LEDDY	035	RIO	B	600	12.90	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	RL	SS	40,000	48.27	n/a	8-Oct	1,600.00	4.0
US BANCORP	030	RL	B	21,248	47.85	n/a	8-Oct	1,062.40	5.0
WAGONHOUND/NIC	048	ROST	S	1,245	29.52	n/a	n/a	49.80	4.0
GRONET	030	SBLK	S	3,000	4.07	n/a	n/a	0.00	0.0
GAULT	063	SDS	B	500	88.49	n/a	n/a	0.00	0.0
THE BOSTON COMPANY	401	SKX	B	34,340	12.98	n/a	13-Mar	1,373.60	4.0
CATTANI	041	SLB	B	50	53.01	n/a	n/a	0.00	0.0
SINCLAIR	031	SWGKU	S	10	4.85	n/a	n/a	0.00	0.0
SINCLAIR	031	SWGWN	B	10	3.59	n/a	n/a	0.00	0.0
MS PRINCIPAL STRATEGIES	041	TEO	B	24,900	11.00	n/a	n/a	1,245.00	5.0
BLACKSTONE KAILIX ASS.	048	TGT	S	300,000	39.50	n/a	9-Oct	15,000.00	5.0
PRINCIPLE CAPITAL	040	TIF	SS	48,000	27.13	n/a	10-Oct	1,440.00	3.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		UHO+KU	C	1,200	0.30	n/a	n/a	non-brg	100.0
WHITE PINE CAPITAL	030	UNT	B	6,600	35.98	n/a	14-Oct	330.00	5.0
LEDDY	035	UYG	S	1,200	10.25	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		VOW GR	C	35,000	426.23	n/a	n/a	non-brg	63.9
EATON VANCE MGMT	039	VZ	B	250,000	28.38	n/a	4-Jan	7,500.00	3.0
BUCK CAPITAL MGMT		WMT+KK	SS	2,000	3.00	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		WMT+KY	SS	1,000	1.87	n/a	n/a	non-brg	300.0
COUGAR TRADING	044	WMT	B	10,000	53.74	10-Oct	10-Oct	500.00	5.0
CATTANI	041	WY	B	75	41.87	n/a	15-Oct	0.00	0.0
BUCK CAPITAL MGMT		XRT	SS	250,000	22.36	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		XRY+XP	SS	3,000	0.72	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT		XRY+XQ	SS	2,000	0.90	n/a	n/a	non-brg	100.0
MILLER	025	X	S	20	44.23	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								94,428.40	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	10/16	COUGAR TRADING	044	AEO	B	15,000	9.56	n/a	10-Oct	600.00	4.0
AO,CXL	10/16	COUGAR TRADING	044	AEO	B	15,000	9.56	n/a	10-Oct	750.00	5.0
AO,CRT	10/17	COUGAR TRADING	044	AEO	B	5,000	9.81	n/a	10-Oct	200.00	4.0
AO,CXL	10/17	COUGAR TRADING	044	AEO	B	5,000	9.81	n/a	10-Oct	250.00	5.0
AO,CRT	10/17	SUN AMERICA ASSET MGMT	030	ANF	S	13,200	30.38	7-Aug	10-Oct	528.00	4.0
AO,CXL	10/17	SUN AMERICA ASSET MGMT	030	ANF	S	13,200	30.38	7-Aug	10-Oct	660.00	5.0
AO,	10/17	SUN AMERICA ASSET MGMT	030	ANF	S	9,000	30.38	7-Aug	10-Oct	360.00	4.0
AO,CRT	10/17	SANDLER CAPITAL	038	COH	SS	120,000	18.21	8-Oct	8-Oct	7200.00	6.0
AO,CXL	10/17	SANDLER CAPITAL	038	COH	SS	120,000	18.21	8-Oct	8-Oct	6000.00	5.0
AO,CRT	10/06	BULL PATH CAPITAL	044	CPKI	B	25,000	11.62	8-Oct	13-Oct	1250.00	5.0
AO,CXL	10/06	BULL PATH CAPITAL	044	CPKI	B	25,000	11.62	8-Oct	13-Oct	1250.00	5.0
AO,	10/17	BUCK CAPITAL MGMT	015	EFA	B	300	54.00	n/a	n/a	0.00	0.0
AO,CXL	10/16	PZENA INV ADV	044	JNJ	S	1,675	62.42	n/a	22-Apr	0.00	0.0
AO,CRT	10/16	PZENA INV ADV	044	JNJ	S	1,675	62.42	n/a	22-Apr	58.63	3.5
AO,CXL	10/17	COUGAR TRADING	044	M	B	15,000	10.06	12-Aug	10-Oct	750.00	5.0
AO,CRT	10/17	COUGAR TRADING	044	M	B	15,000	10.06	12-Aug	10-Oct	750.00	5.0
AO,CRT	10/17	CUMBERLAND	038	SPY	SS	100,000	96.38	n/a	n/a	3000.00	3.0
AO,CXL	10/17	CUMBERLAND	038	SPY	SS	100,000	96.38	n/a	n/a	4000.00	4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>286.63</b>	

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TOTAL (Trade Date):	94,428.40
TOTAL (AO, CXL, CRT):	286.63

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>94,715.03</b>
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MRI Securities with Trade Activity on 20-Oct. NONE
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MRI Securities without Trade Activity on 20-Oct. ENDP, FRX, MTW, TEVA
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BRG comm. as a % of BCM Total Comm. paid. T-Date = 14% YTD = 18%
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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**