



Daily Compliance Activity Report

Trade Date: 10/01/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LUCHANSKY	036	ADM	S	100	21.33	18-Aug	18-Sep	0.00	0.0
BUCK CAPITAL MGMT	001	AEO	B	85,000	15.32	n/a	5-Sep	3,400.00	4.0
COUGAR TRADING	044	AEO	S	5,000	15.19	n/a	5-Sep	250.00	5.0
METROPOLITAN CAPITAL	044	AEO	S	39,825	15.37	n/a	5-Sep	1,991.25	5.0
ROSEDALE CAPITAL	046	AEO	S	20,000	15.30	n/a	5-Sep	1,000.00	5.0
MCCARTAN	028	AIN	SS	200	26.72	n/a	n/a	0.00	0.0
BRIGHTPOINT CAP	067	ALV	S	21,700	32.55	23-Jul	30-Jul	868.00	4.0
COUGAR TRADING	044	ANF	S	5,000	39.22	7-Aug	30-Sep	250.00	5.0
BUCK CAPITAL MGMT	001	ARO	B	50,000	31.24	28-Apr	5-Sep	2,000.00	4.0
PRINCIPLE CAPITAL	040	AVP	B	28,900	41.02	31-Jul	31-Jul	1,156.00	4.0
MERRILL ASSET	032	AW	S	19,600	10.74	n/a	n/a	882.00	4.5
SANDLER O'NEILL ASSET	031	BEN	S	3,200	88.82	10-Sep	19-Sep	160.00	5.0
B BUCK CAPITAL MGMT		BHI	B	20,000	56.02	n/a	n/a	non-brg	4.0
ENTRUST CAPITAL	040	BIG	B	35,000	27.93	29-May	1-Oct	1,750.00	5.0
CROWLEY	061	BKT	B	2,500	5.53	n/a	n/a	0.00	0.0
PZENA INV ADV	044	BP	B	7,050	49.16	n/a	n/a	246.75	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		BTU	B	2,000	40.40	n/a	n/a	non-brg	4.0
BUCK	015	BUCY	SS	800	41.82	5-Sep	5-Sep	0.00	0.0
N STRATTON	014	BUD	B	100	64.47	n/a	n/a	0.00	0.0
COLE	077	BZ	B	400	1.43	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CAM	B	20,000	36.67	n/a	n/a	non-brg	4.0
SCOPUS FUND	041	COH	B	25,000	24.06	30-Jul	1-Oct	1,250.00	5.0
ß BUCK CAPITAL MGMT		COLM	C	20,000	40.48	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		COST	SS	10,000	64.52	n/a	27-Jul	non-brg	4.0
ß BUCK CAPITAL MGMT		DAI	C	125,900	46.00	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DAI	C	200,000	46.45	n/a	n/a	non-brg	4.0
LUCHANSKY	036	DCTH	S	2,000	1.39	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		DECK	B	15,000	101.19	n/a	n/a	non-brg	4.0
AMATURO	018	DIAWB	B	30	4.70	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		DIN+XC	SS	250	3.20	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		DIW+JO	B	200	2.48	n/a	n/a	non-brg	300.0
PRYLUCKI	092	DIWJO	B	5	2.39	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
IRIDIAN ASSET MGMT.	036	DRC	B	47,290	30.26	n/a	n/a	2,364.50	5.0
BULL PATH CAPITAL	044	DRI	S	33,500	28.91	26-Aug	18-Sep	1,675.00	5.0
B BUCK CAPITAL MGMT		EDU	SS	25,000	63.52	n/a	n/a	non-brg	4.0
BUCK	015	EFAVB	S	5	1.10	n/a	n/a	0.00	0.0
BUCK	015	EFA	B	500	55.56	n/a	n/a	0.00	0.0
FRONTPOINT/COPIA-ANDREW	031	EQIX	SS	3,200	68.39	n/a	n/a	128.00	4.0
MS PRINCIPAL STRATEGIES	041	ERJ	B	4,800	26.49	n/a	n/a	240.00	5.0
FRONTPOINT/COPIA-ANDREW	031	ETN	SS	8,500	55.66	15-Jul	16-Jul	340.00	4.0
BUCK	015	ETN	SS	500	55.45	15-Jul	16-Jul	0.00	0.0
LUCHANSKY1	036	FCN	S	200	71.61	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		GCO+LH	SS	1,000	0.80	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT	001	GES	B	50,000	34.62	n/a	n/a	2,000.00	4.0
PATTEN & PATTEN	067	GE	S	25,421	25.09	n/a	n/a	1,271.05	5.0
LUCHANSKY1	036	GIL	S	300	22.54	8-Sep	1-Oct	0.00	0.0
TRELLUS PARTNERS LP	028	GNTX	C	76,500	13.18	24-Jun	30-Sep	3,825.00	5.0
LEDDY	035	GNTX	C	2,000	12.80	24-Jun	30-Sep	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⚡ BUCK CAPITAL MGMT		GPS+WW	SS	2,000	1.31	n/a	n/a	non-brg	300.0
⚡ BUCK CAPITAL MGMT		GPS	SS	200,000	17.56	n/a	23-Sep	non-brg	4.0
COUGAR TRADING	044	GPS	B	5,000	17.49	n/a	23-Sep	250.00	5.0
BUCK	015	GSK	B	1,900	43.49	n/a	n/a	0.00	0.0
LUCHANSKY1	036	GS	B	100	134.95	15-Sep	24-Sep	0.00	0.0
COUGAR TRADING	044	GYMB	S	5,000	35.04	11-Jul	1-Oct	250.00	5.0
N STRATTON	014	HEMGF	B	400	2.59	n/a	n/a	0.00	0.0
RAINIER INV MGMT	035	HOS	S	27,700	36.85	n/a	n/a	1,385.00	5.0
⚡ BUCK CAPITAL MGMT		HP	SS	50,000	42.09	n/a	n/a	non-brg	4.0
LEVIN CAPITAL STRATEGIES	012	HRS	S	20,888	45.33	2-Jun	22-Sep	835.52	4.0
SCOPUS FUND	041	IP	SS	25,000	26.04	22-Sep	22-Sep	1,250.00	5.0
LEVIN CAPITAL STRATEGIES	012	ITT	C	18,000	55.55	25-Jul	25-Jul	720.00	4.0
⚡ BUCK CAPITAL MGMT		IVZ	B	50,000	20.33	4-Aug	30-Sep	non-brg	4.0
PHILADELPHIA FINANCIAL	033	IVZ	B	52,677	19.43	4-Aug	30-Sep	2,107.08	4.0
OGORMAN	046	IVZ	B	500	20.30	4-Aug	30-Sep	0.00	0.0
⚡ BUCK CAPITAL MGMT		JCG	S	3,500	27.51	n/a	17-Sep	non-brg	1.0
⚡ BUCK CAPITAL MGMT		JCG	S	95,000	27.85	n/a	17-Sep	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		JCP	SS	20,000	32.65	n/a	1-Oct	non-brg	4.0
BUCK CAPITAL MGMT		JOSB	B	126,400	34.58	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		JOSB	B	18,400	33.94	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		JOSB	B	200	34.00	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		JOSB	B	45,000	34.08	n/a	n/a	non-brg	4.0
BAIRD INVESTMENT	031	JPM	B	5,425	48.82	26-Sep	26-Sep	271.25	5.0
BUCK CAPITAL MGMT		JWN+WE	SS	1,000	1.67	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	JWN	SS	50,000	27.43	2-Oct	1-Oct	2,000.00	4.0
THE JAY GOLDMAN	034	JWN	B	10,000	27.29	2-Oct	1-Oct	400.00	4.0
COUGAR TRADING	044	KSS	S	5,000	45.37	n/a	1-Oct	250.00	5.0
BUCK	015	KSS	SS	1,000	44.77	n/a	1-Oct	0.00	0.0
LUCHANSKY1	036	LLL	S	200	96.94	n/a	n/a	0.00	0.0
LUCHANSKY1	036	LOW	S	200	23.15	n/a	27-Jul	0.00	0.0
BRIGHTPOINT CAP	067	MDRX	B	36,500	12.14	n/a	n/a	1,460.00	4.0
COLUMBIA PARTNERS	028	MRK	S	17,321	32.03	n/a	n/a	692.84	4.0
BUCK	015	MRK	S	3,100	31.98	n/a	n/a	0.00	0.0
GRANITE CAPITAL	045	MXIM	B	10,000	16.60	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT		M	S	95,000	17.34	12-Aug	1-Oct	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	M	B	10,000	17.27	12-Aug	1-Oct	500.00	5.0
LAGRANGE CAP ADV	048	M	S	40,000	17.28	12-Aug	1-Oct	2,000.00	5.0
NORTHPOINT	030	PDX	S	8,700	46.82	n/a	n/a	348.00	4.0
FRONTPOINT/COPIA-ANDREW	031	PH	SS	9,300	51.19	28-Sep	28-Sep	372.00	4.0
THOMSON HORSTMAN BRYANT	040	PNRA	S	10,000	51.85	4-Sep	4-Sep	500.00	5.0
COUGAR TRADING	044	PVH	S	5,000	37.31	n/a	1-Oct	250.00	5.0
ß BUCK CAPITAL MGMT		QUK+JT	SS	100	6.30	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		QZS+VX	SS	3,000	0.65	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		QZS+WX	SS	1,000	1.75	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		QZS+WX	SS	1,000	2.05	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		QZS+WX	SS	1,000	2.15	n/a	n/a	non-brg	300.0
COUGAR TRADING	044	RL	S	5,000	65.37	n/a	28-Aug	250.00	5.0
LEVIN CAPITAL STRATEGIES	012	RL	B	15,000	65.05	n/a	28-Aug	600.00	4.0
SIGMA CAPITAL ASSOCIATES	237	RL	S	25,000	64.95	n/a	28-Aug	1,250.00	5.0
LEVIN CAPITAL STRATEGIES	012	ROK	C	60,000	36.50	n/a	n/a	2,400.00	4.0
ZOLIDIS	011	SDS	S	500	71.50	n/a	n/a	0.00	0.0
BUCK	015	SFBKZ	B	14	1.08	n/a	n/a	0.00	0.0
ZOLIDIS	KMH	SHOEQ	C	39,400	0.08	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		SKX	B	20,000	16.18	n/a	13-Mar	non-brg	4.0
LAGRANGE CAP ADV	048	SKX	B	30,000	16.14	n/a	13-Mar	1,500.00	5.0
BUCK	015	SPY	S	1,400	114.83	n/a	n/a	0.00	0.0
LUCHANSKY1	036	SPY	S	100	115.18	n/a	n/a	0.00	0.0
MILLRACE FUND LP	028	SUP	SS	10,000	18.63	25-Jul	8-Aug	400.00	4.0
⚡ BUCK CAPITAL MGMT		SWSI	SS	25,000	23.73	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		TEN	C	36,600	9.92	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		TGT	SS	50,000	47.84	n/a	22-Sep	non-brg	4.0
COUGAR TRADING	044	TIF	B	15,100	35.40	n/a	17-Sep	755.00	5.0
COUGAR TRADING	044	TJX	B	15,000	30.22	11-Aug	1-Oct	750.00	5.0
⚡ BUCK CAPITAL MGMT		TROW	C	1,200	54.12	19-Sep	19-Sep	non-brg	4.0
MERRILL ASSET	032	TRV	B	31,100	41.98	n/a	n/a	1,555.00	5.0
LITESPEED	028	TSN	B	40,913	12.39	n/a	n/a	2,045.65	5.0
COUGAR TRADING	044	TWB	S	5,000	9.53	n/a	1-Oct	200.00	4.0
LUCHANSKY1	036	UBS	S	340	18.83	n/a	n/a	0.00	0.0
S CAST	016	UQM	S	200	2.81	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
8 BUCK CAPITAL MGMT		URBN	B	20,000	31.27	14-Aug	1-Oct	non-brg	4.0
MERRILL ASSET	032	URS	S	13,100	34.05	n/a	n/a	589.50	4.5
PNC/MERCANTILE	028	USB	B	57,006	36.67	n/a	n/a	2,850.30	5.0
ZOLIDIS	011	UYG	B	1,000	18.37	n/a	n/a	0.00	0.0
CAVU CAP ADV	028	VZ	S	20,000	31.57	n/a	4-Jan	1,000.00	5.0
BUCK CAPITAL MGMT	001	WRC	B	30,000	44.11	8-Aug	1-Oct	1,200.00	4.0
8 BUCK CAPITAL MGMT		WWW	C	60,000	26.11	n/a	13-Mar	non-brg	1.0
BUCK CAPITAL MGMT	001	WYN	SS	50,000	15.23	n/a	n/a	2,000.00	4.0
CATTANI	041	WY	S	200	59.82	n/a	11-Sep	0.00	0.0
BUCK	015	XTYVU	S	4	3.10	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								62,734.69	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT):									0.00

TOTAL (Trade Date):	62,734.69
TOTAL (AO, CXL, CRT):	0.00

TOTAL (RUN DATE) / NFS:	62,734.69
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MRI Securities with Trade Activity on 1-Oct.
NONE

MRI Securities without Trade Activity on 1-Oct.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 15%
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