



# Daily Compliance Activity Report

Trade Date: 08/28/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COOKBIELER	028	ALV	B	10,000	37.74	23-Jul	30-Jul	400.00	4.0
DALTON GREINER	012	AMG	S	34,700	93.02	23-Jul	18-Aug	1,735.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>APP</b>	<b>B</b>	<b>40,000</b>	<b>9.46</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
COUGAR TRADING	044	ARO	B	10,000	34.48	28-Apr	22-Aug	500.00	5.0
COUGAR TRADING	044	ARO	S	10,000	34.24	28-Apr	22-Aug	500.00	5.0
CR INTRINIC INVESTMENT	044	AVP	SS	100,000	43.33	31-Jul	31-Jul	5,000.00	5.0
BALYASNY ASSET MGMT	044	AXP	B	25,000	39.94	n/a	18-Aug	1,250.00	5.0
HIGHBRIDGE CAPITAL	038	BNI	B	5,500	106.07	n/a	n/a	275.00	5.0
<b>LEDDY</b>	<b>035</b>	<b>BWA</b>	<b>SS</b>	<b>300</b>	<b>41.55</b>	<b>10-Jun</b>	<b>1-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>LEDDY</b>	<b>035</b>	<b>CAT</b>	<b>SS</b>	<b>300</b>	<b>71.75</b>	<b>n/a</b>	<b>18-Aug</b>	<b>0.00</b>	<b>0.0</b>
NEUBERGER BERMAN	036	CLF	B	5,300	99.37	n/a	n/a	238.50	4.5
<b>B BUCK CAPITAL MGMT</b>		<b>CLX</b>	<b>C</b>	<b>120,000</b>	<b>59.48</b>	<b>4-Aug</b>	<b>4-Aug</b>	<b>non-brg</b>	<b>4.0</b>
HIGHBRIDGE CAPITAL	038	CNI	B	27,000	52.30	n/a	n/a	1,350.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>COLM</b>	<b>C</b>	<b>20,000</b>	<b>40.47</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DAI</b>	<b>SS</b>	<b>20,000</b>	<b>59.56</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		DECK	B	5,000	112.62	n/a	n/a	non-brg	4.0
PAKLER	029	DIG	B	30	89.65	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	DPL	B	13,200	24.91	n/a	n/a	594.00	4.5
BUCK CAPITAL MGMT		DSW	B	10,000	14.34	8-May	8-Aug	non-brg	2.0
BUCK CAPITAL MGMT		DSW	B	50,000	14.33	8-May	8-Aug	non-brg	4.0
PAKLER	029	DUG	S	83	33.05	n/a	n/a	0.00	0.0
HUNTER GLOBAL INVESTOR	067	ETH	SS	431	26.97	n/a	n/a	21.55	5.0
BALYASNY ASSET MGMT	044	EV	B	30,000	35.70	21-Aug	21-Aug	1,500.00	5.0
WHEELER	008	EXH	B	2,000	47.47	28-Aug	28-Aug	0.00	0.0
BALYASNY ASSET MGMT	044	FII	B	75,000	33.97	14-Apr	19-Aug	3,750.00	5.0
BUCK CAPITAL MGMT		GCO+LH	SS	2,000	1.51	n/a	n/a	non-brg	300.0
J L F ASSET MGMT	039	GCO	B	59,600	35.76	n/a	10-Jan	2,384.00	4.0
BUCK CAPITAL MGMT	001	GES	B	60,000	37.00	n/a	n/a	2,400.00	4.0
RAMIUS CAP	040	GNTX	SS	326,000	15.97	24-Jun	28-Jul	16,300.00	5.0
TRELLUS PARTNERS LP	028	GNTX	SS	10,000	15.89	24-Jun	28-Jul	500.00	5.0
BUCK CAPITAL MGMT		GQU+KI	SS	1,000	1.53	n/a	n/a	non-brg	300.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WYCKOFF	013	HSNI	S	100	14.65	n/a	n/a	0.00	0.0
BEAR STEARNS ASSET MGMT.	033	JCP	B	80,000	38.55	n/a	28-Aug	3,200.00	4.0
J L F ASSET MGMT	039	JCP	B	50,000	38.92	n/a	28-Aug	2,000.00	4.0
CATTANI	041	JPM	S	300	38.80	8-May	15-Aug	0.00	0.0
BUCK CAPITAL MGMT	001	KMB	B	50,000	61.92	28-Aug	28-Aug	2,000.00	4.0
ß BUCK CAPITAL MGMT		KMB	C	90,300	62.17	28-Aug	28-Aug	non-brg	4.0
COUGAR TRADING	044	KMB	B	15,000	61.78	28-Aug	28-Aug	750.00	5.0
BULL PATH CAPITAL	044	KSS	B	20,000	49.86	n/a	28-Aug	1,000.00	5.0
COUGAR TRADING	044	KSS	SS	5,000	48.91	n/a	28-Aug	250.00	5.0
N STRATTON	014	LBY	B	200	9.45	n/a	n/a	0.00	0.0
COLE	N24	LBY	B	500	9.47	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	LLL	B	3,200	104.74	n/a	n/a	144.00	4.5
ß BUCK CAPITAL MGMT		LL	B	70,000	12.50	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		MER	S	59,900	26.51	24-Jun	15-Aug	non-brg	4.0
CATTANI	041	MER	S	500	26.94	24-Jun	15-Aug	0.00	0.0
ß BUCK CAPITAL MGMT		MFB	B	10,000	15.07	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		MFB	B	5,200	15.16	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		MFB	B	54,800	15.17	n/a	n/a	non-brg	1.0
COLUMBUS CIRCLE	036	MSFT	S	472,573	27.84	n/a	3-Apr	18,902.92	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		MW	SS	40,000	21.48	n/a	n/a	non-brg	4.0
HIGHBRIDGE CAPITAL	038	NSC	B	4,500	73.27	n/a	n/a	225.00	5.0
OTC ERROR	099	NVDA	S	4,300	13.15	n/a	n/a	0.00	0.0
NOMURA CAPITAL	045	NYT	B	10,000	12.69	n/a	n/a	500.00	5.0
HUNTER GLOBAL INVESTOR	067	OIS	SS	23,000	55.38	n/a	n/a	1,150.00	5.0
⌘ BUCK CAPITAL MGMT		OXM	C	20,000	22.94	n/a	n/a	non-brg	4.0
SCOPUS FUND	041	PCL	S	25,000	50.70	n/a	11-Jul	1,250.00	5.0
⌘ BUCK CAPITAL MGMT		PERY	S	30,000	17.08	n/a	n/a	non-brg	1.0
COUGAR TRADING	044	PSUN	B	10,000	6.33	n/a	22-Aug	400.00	4.0
⌘ BUCK CAPITAL MGMT		PVH	S	12,000	37.23	5-May	28-Aug	non-brg	4.0
STG INVESTORS	041	QQQQ	S	100,000	47.01	n/a	n/a	4,000.00	4.0
⌘ BUCK CAPITAL MGMT		QZS+AH	SS	1,000	1.21	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	RL	SS	15,000	75.14	n/a	28-Aug	600.00	4.0
J L F ASSET MGMT	039	RSH	B	75,000	18.87	n/a	n/a	3,000.00	4.0
⌘ BUCK CAPITAL MGMT		SKX+JD	SS	3,000	0.90	n/a	n/a	non-brg	100.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	SSO	S	10,000	62.19	n/a	n/a	500.00	5.0
CR INTRINIC INVESTMENT	044	STJ	SS	100,000	45.97	n/a	n/a	5,000.00	5.0
⌘ BUCK CAPITAL MGMT		SUMR	B	10,000	4.44	n/a	n/a	non-brg	3.0
NEUBERGER BERMAN	036	SWN	B	6,700	39.45	20-Mar	20-Aug	301.50	4.5
LEDDY	035	TEN	SS	800	15.03	n/a	n/a	0.00	0.0
LUCHANSKY1	036	TEXJJ	B	1	3.67	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		TGT	C	10,000	53.31	n/a	20-Aug	non-brg	4.0
KLEINHEINZ CAP PART	031	TGT	B	50,000	53.67	n/a	20-Aug	2,500.00	5.0
⌘ BUCK CAPITAL MGMT		TIF	SS	30,000	43.67	n/a	28-Aug	non-brg	4.0
LEDDY	035	TIN	S	1,400	16.75	29-Apr	30-Jul	0.00	0.0
⌘ BUCK CAPITAL MGMT		TPX+LV	SS	1,000	1.35	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		TPX	B	100,000	10.72	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		TRLG	B	50,000	26.94	n/a	n/a	non-brg	4.0
COUGAR TRADING	044	TWB	B	10,000	10.83	n/a	20-Aug	500.00	5.0
⌘ BUCK CAPITAL MGMT		UHO+KU	SS	2,200	0.38	n/a	n/a	non-brg	100.0
⌘ BUCK CAPITAL MGMT		URBN	S	12,000	34.62	14-Aug	14-Aug	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	WDR	B	35,000	31.84	15-Jul	18-Aug	1,750.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>WRC</b>	<b>S</b>	<b>11,000</b>	<b>50.96</b>	<b>8-Aug</b>	<b>28-Aug</b>	<b>non-brg</b>	<b>4.0</b>
STG INVESTORS	041	WY	S	5,000	56.68	n/a	6-Aug	200.00	4.0
<b>KAICHER</b>	<b>064</b>	<b>XCO</b>	<b>B</b>	<b>1,000</b>	<b>26.70</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	ZQK	S	20,000	8.20	27-Aug	27-Aug	800.00	4.0
<b>TOTAL (Trade Date):</b>								<b>89,621.47</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	08/27	MKT MAKER	099	AEO	B	1	14.55	6-Mar	27-Aug	0.00	0.0
AO,	08/27	NUMERIC	060	AG	S	59,400	61.36	n/a	30-Jul	1782.00	3.0
AO,	08/27	SAXON WOODS ADVISORS	038	FNM	B	10,000	6.32	n/a	n/a	400.00	4.0
AO,	08/27	OTC ERROR	099	NVDA	B	100	13.24	n/a	n/a	0.00	0.0
AO,	08/27	OTC ERROR	098	NVDA	B	4,200	13.23	n/a	n/a	0.00	0.0
AO,CXL	08/26	1798 CAPITAL MGMT	040	RL	S	10,000	72.45	n/a	28-Aug	500.00	5.0
AO,CRT	08/26	1798 CAPITAL MGMT	040	RL	S	10,000	72.45	n/a	28-Aug	500.00	5.0

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**TOTAL (AO, CXL, CRT) :** **2,182.00**

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**TOTAL (Trade Date) :** **89,621.47****TOTAL (AO, CXL, CRT) :** **2,182.00**

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**TOTAL (RUN DATE) / NFS:** **91,803.47**

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**MRI Securities with Trade Activity on 28-Aug.**  
**EXH, KMB**

MRI Securities without Trade Activity on 28-Aug.  
NONE

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 9%  
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**