



Daily Compliance Activity Report

Trade Date: 09/22/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	ABG	SS	5,000	13.45	10-Jun	31-Jul	250.00	5.0
BUCK CAPITAL MGMT	001	AEO	S	50,000	16.37	n/a	5-Sep	2,000.00	4.0
JP MORGAN VENTURES	046	AEO	S	60,000	15.95	n/a	5-Sep	3,000.00	5.0
WHALE ROCK CAP	030	AEO	S	130,000	15.99	n/a	5-Sep	5,200.00	4.0
REINHART & MAHONEY	031	AFG	B	400	28.20	n/a	n/a	20.00	5.0
AMATURO	018	AIG	B	3,000	4.65	n/a	n/a	0.00	0.0
AMATURO	018	AIG	S	5,000	4.95	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	035	AMGN	B	2,547	58.88	n/a	26-Jan	114.64	4.5
BUCK CAPITAL MGMT	001	ANF	S	50,000	42.97	7-Aug	17-Sep	2,000.00	4.0
COUGAR TRADING	044	ANF	S	5,000	42.58	7-Aug	17-Sep	250.00	5.0
BUCK CAPITAL MGMT	001	ARO	S	50,000	32.49	28-Apr	5-Sep	2,000.00	4.0
COUGAR TRADING	044	ARO	SS	10,000	32.26	28-Apr	5-Sep	500.00	5.0
BUCK	015	BAC	S	400	34.98	n/a	19-Sep	0.00	0.0
B BUCK CAPITAL MGMT		BARE	C	6,300	12.65	n/a	n/a	non-brg	2.5
MERRILL ASSET	032	BBY	S	10,000	39.59	n/a	27-Jul	450.00	4.5
SANDLER O'NEILL ASSET	031	BLK	B	10,000	202.12	n/a	19-Sep	500.00	5.0
B BUCK CAPITAL MGMT		BWLD	SS	20,000	41.57	n/a	n/a	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		CAKE	SS	20,000	16.30	n/a	5-Sep	non-brg	4.0
MENCKE	055	CBON	S	100	6.71	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CEC	SS	20,000	34.55	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		CHS	S	60,000	7.34	8-Aug	17-Sep	non-brg	4.0
ß BUCK CAPITAL MGMT		CHUX	SS	20,000	10.43	n/a	n/a	non-brg	4.0
WHEELER	008	CITPRA	B	10,000	8.60	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	CNS	B	10,500	28.51	n/a	n/a	525.00	5.0
BUCK CAPITAL MGMT	001	COH	S	70,000	28.52	30-Jul	28-Aug	2,800.00	4.0
ß BUCK CAPITAL MGMT		CPKI	SS	20,000	15.20	10-Jul	8-Aug	non-brg	4.0
ß BUCK CAPITAL MGMT		CRI	S	30,000	20.31	n/a	n/a	non-brg	4.0
MERRILL ASSET	032	CRR	S	14,300	59.89	29-Aug	22-Sep	715.00	5.0
FIRST NY SEC/CHRIS	041	CTX	S	5,000	16.78	n/a	n/a	300.00	6.0
ß BUCK CAPITAL MGMT		CWTR	S	60,000	6.57	n/a	n/a	non-brg	4.0
BUCK	015	C	B	1,100	20.35	15-Sep	19-Sep	0.00	0.0
ROTHSCHILD ASSET	035	DFS	B	2,966	15.50	n/a	19-Sep	133.50	4.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AMATURO	018	DIAVJ	S	20	4.00	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		DIA	C	24,600	109.96	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		DIA	SS	50,600	112.63	n/a	n/a	non-brg	1.0
JMP ASSET MGMT	210	DKS	B	2,500	21.38	22-Aug	22-Aug	125.00	5.0
ß BUCK CAPITAL MGMT		DLTR	S	41,700	36.75	n/a	5-Sep	non-brg	4.0
ß BUCK CAPITAL MGMT		DPZ	SS	20,000	13.12	n/a	24-Apr	non-brg	4.0
GAULT	063	DTO	B	1,000	36.70	n/a	n/a	0.00	0.0
MS PRINCIPAL STRATEGIES	041	DVN	S	34,000	104.29	n/a	21-Aug	1,700.00	5.0
ß BUCK CAPITAL MGMT		EAT	SS	20,000	20.00	n/a	24-Apr	non-brg	4.0
ROTHSCHILD ASSET	035	EMR	S	2,469	43.14	n/a	n/a	111.11	4.5
Õ Alice Longley		FCX	S	150	74.69	n/a	n/a	0.00	0.0
KAICHER	064	FEIC	B	1,000	25.32	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	FL	S	30,000	16.51	11-Aug	22-Aug	1,200.00	4.0
ß BUCK CAPITAL MGMT		FUQI	S	40,000	9.01	n/a	n/a	non-brg	2.5
GAULT	063	FXP	S	1,000	84.03	n/a	n/a	0.00	0.0
KORMAN	003	F	SS	10,000	4.96	25-Jul	18-Sep	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⚡ BUCK CAPITAL MGMT		GCO	S	20,000	36.78	n/a	10-Jan	non-brg	4.0
⚡ BUCK CAPITAL MGMT		GES	S	30,000	40.88	n/a	n/a	non-brg	4.0
⌚ Alice Longley		GE	S	500	26.53	n/a	n/a	0.00	0.0
KLEINHEINZ CAP PART	031	GLD	B	50,000	89.29	n/a	n/a	2,500.00	5.0
COUGAR TRADING	044	GPS	B	5,000	19.14	n/a	17-Sep	250.00	5.0
NATIONAL BK OF CAN	031	GS	S	15,000	131.41	15-Sep	19-Sep	600.00	4.0
BUCK	015	GS	S	100	129.10	15-Sep	19-Sep	0.00	0.0
⚡ BUCK CAPITAL MGMT		GYMB	S	20,000	37.19	11-Jul	5-Sep	non-brg	4.0
⌚ Alice Longley		HBC	S	211	82.00	n/a	n/a	0.00	0.0
N STRATTON	014	HEMGF	B	1,300	2.64	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		HOTT	S	20,000	6.84	n/a	17-Sep	non-brg	4.0
⚡ BUCK CAPITAL MGMT		HOT	SS	30,000	35.76	n/a	n/a	non-brg	4.0
LEDDY	035	ICON	S	1,500	13.97	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		IJR	C	35,000	63.15	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		IJS	C	24,000	68.65	n/a	n/a	non-brg	2.0
FIRST NY SEC/CHRIS	041	IP	B	10,000	27.43	22-Sep	22-Sep	600.00	6.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	IP	SS	15,000	27.85	22-Sep	22-Sep	750.00	5.0
BMO NESBITT BURNS	041	IVZ	B	25,000	23.94	4-Aug	19-Sep	1,250.00	5.0
DSG CAPITAL	225	IVZ	B	15,000	23.13	4-Aug	19-Sep	750.00	5.0
ENDEAVOUR CAPITAL	035	IVZ	SS	225,000	24.28	4-Aug	19-Sep	11,250.00	5.0
FIRST NY SEC/CHRIS	041	IVZ	S	25,000	24.26	4-Aug	19-Sep	1,300.00	5.5
⌘ BUCK CAPITAL MGMT		IWM	C	32,000	72.47	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		IWM	SS	76,600	74.20	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		IWO	C	34,300	75.95	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		JCG+KG	SS	2,000	1.16	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		JCG	S	70,000	31.13	n/a	17-Sep	non-brg	4.0
PILOT ROCK	028	JCP	SS	100,000	36.62	n/a	5-Sep	4,000.00	4.0
BUCK CAPITAL MGMT	001	JNY	SS	20,000	19.05	n/a	30-Jul	800.00	4.0
KORMAN	003	JNY	SS	1,000	19.04	n/a	30-Jul	0.00	0.0
⌘ BUCK CAPITAL MGMT		JOSB	S	200,000	35.33	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		JOSB	S	40,000	37.38	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		JOSB	S	60,000	38.35	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		JOSB	S	90,000	38.21	n/a	n/a	non-brg	1.0
GRUBER MACBAINE	033	JPM	B	15,000	42.20	15-Sep	19-Sep	600.00	4.0
BUCK CAPITAL MGMT	001	JWN	SS	185,100	32.68	10-Jul	17-Sep	7,404.00	4.0
⌘ BUCK CAPITAL MGMT		KSS	S	20,000	48.79	n/a	5-Sep	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	KSS	B	5,000	47.81	n/a	5-Sep	250.00	5.0
BUCK	015	KSS	C	1,200	47.66	n/a	5-Sep	0.00	0.0
MS PRINCIPAL STRATEGIES	041	KWK	S	14,600	24.49	n/a	n/a	730.00	5.0
ß BUCK CAPITAL MGMT		LEG+XD	SS	1,000	0.70	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		LIZ+KD	SS	2,000	0.65	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		LIZ	S	20,000	17.97	n/a	18-Sep	non-brg	4.0
ß BUCK CAPITAL MGMT		LL	S	21,800	14.20	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		LL	S	8,200	13.92	n/a	n/a	non-brg	4.0
KEEFE BRUYETTE WOODS A	031	LM	S	21,600	38.13	1-Jul	19-Sep	1,080.00	5.0
BMO NESBITT BURNS	041	LPX	SS	50,000	10.35	n/a	11-Sep	2,500.00	5.0
ß BUCK CAPITAL MGMT		M+JD	SS	2,000	0.83	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		MAR	SS	20,000	27.57	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		MBFG IM	S	6,601	21.78	n/a	n/a	non-brg	4.4
ß BUCK CAPITAL MGMT		MDY	C	8,600	139.70	n/a	n/a	non-brg	1.0
BUCK	015	MHS	B	100	48.02	n/a	n/a	0.00	0.0
BUCK	015	MOJMX	S	15	2.07	n/a	n/a	0.00	0.0
BUCK	015	MOJVD	B	15	0.55	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK	015	MO	B	500	20.48	n/a	n/a	0.00	0.0
N STRATTON	014	MSFT	S	200	26.00	n/a	3-Apr	0.00	0.0
NATIONAL BK OF CAN	031	MS	S	45,000	31.20	15-Sep	22-Sep	1,800.00	4.0
ß BUCK CAPITAL MGMT		M	S	100,000	19.13	12-Aug	29-Aug	non-brg	4.0
COUGAR TRADING	044	M	B	5,000	18.62	12-Aug	29-Aug	250.00	5.0
MS PRINCIPAL STRATEGIES	041	NOV	B	1,141	59.46	n/a	n/a	57.05	5.0
JP MORGAN VENTURES	046	NTY	S	39,000	28.84	n/a	n/a	1,950.00	5.0
FRONTPOINT/COPIA-ANDREW	031	NWL	S	141,900	18.24	n/a	n/a	4,966.50	3.5
HOLDEN CAPITAL MGMT	035	NWY	SS	20,000	10.41	n/a	17-Sep	1,000.00	5.0
COUGAR TRADING	044	PAG	SS	5,000	11.75	10-Jun	1-Aug	250.00	5.0
LEDDY	035	PCL	B	700	50.05	n/a	11-Sep	0.00	0.0
BUCK	015	PEPWU	S	10	1.30	n/a	n/a	0.00	0.0
BUCK	015	PEP	S	700	71.96	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		PFCB	SS	10,000	24.97	n/a	6-Aug	non-brg	4.0
ß BUCK CAPITAL MGMT		PLCE	S	50,000	36.12	21-Aug	5-Sep	non-brg	4.0
BUCK CAPITAL MGMT	001	PSS	S	40,000	19.66	n/a	n/a	1,600.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	PSUN	SS	10,000	7.62	n/a	5-Sep	400.00	4.0
BUCK CAPITAL MGMT	001	PVH	S	20,000	40.56	5-May	28-Aug	800.00	4.0
COUGAR TRADING	044	PVH	S	5,000	39.80	5-May	28-Aug	250.00	5.0
EGS ASSOCIATES LP	091	PVH	B	6,500	39.87	5-May	28-Aug	390.00	6.0
B BUCK CAPITAL MGMT		PZZA	SS	20,000	29.62	n/a	24-Apr	non-brg	4.0
B BUCK CAPITAL MGMT		QZS+AH	C	600	4.50	n/a	n/a	non-brg	300.0
FIRST NEW YORK NICK	029	Q	S	30,000	3.48	n/a	n/a	1,500.00	5.0
B BUCK CAPITAL MGMT		ROST	SS	100,000	36.73	n/a	n/a	non-brg	4.0
MERRILL ASSET	032	RSH	S	55,600	17.14	n/a	n/a	2,502.00	4.5
B BUCK CAPITAL MGMT		RTH	SS	50,000	92.88	n/a	n/a	non-brg	1.0
COUGAR TRADING	044	SAH	SS	5,000	11.88	n/a	30-Jul	250.00	5.0
MERRILL ASSET	032	SF	S	4,600	50.51	n/a	n/a	230.00	5.0
GAULT	063	SKF	S	300	97.61	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SKX+KW	SS	2,000	1.35	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	SKX	B	100,000	17.11	n/a	13-Mar	4,000.00	4.0
BUCK CAPITAL MGMT	001	SKX	S	20,000	17.14	n/a	13-Mar	800.00	4.0
LAGRANGE CAP ADV	048	SKX	B	10,000	17.03	n/a	13-Mar	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BASIX	033	SMG	SS	40,000	25.61	22-Sep	22-Sep	1,200.00	3.0
JMP ASSET MGMT	210	SNS	S	5,500	8.21	n/a	n/a	220.00	4.0
ß BUCK CAPITAL MGMT		SPLS	SS	50,000	24.18	n/a	27-Jul	non-brg	4.0
WHEELER	008	SPNC	B	5,000	4.54	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SPY	SS	45,600	123.66	n/a	n/a	non-brg	1.0
ENDEAVOUR CAPITAL	035	SPY	B	22,500	120.87	n/a	n/a	1,125.00	5.0
COUGAR TRADING	044	SSO	B	5,000	55.45	n/a	n/a	250.00	5.0
Õ Jason Cohen		SSO	B	30	53.94	n/a	n/a	0.00	0.0
DEMARTINI	065	SWN	S	500	36.68	n/a	3-Sep	0.00	0.0
GOLD SACHS SPECIAL SIT	030	TEN	B	141,000	14.79	n/a	n/a	7,050.00	5.0
LEDDY	035	TEN	C	800	14.52	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		THI	SS	20,000	30.98	n/a	24-Apr	non-brg	4.0
COUGAR TRADING	044	TIF	B	5,000	36.64	n/a	17-Sep	250.00	5.0
JMP ASSET MGMT	210	TITN	B	500	22.74	n/a	n/a	25.00	5.0
ß BUCK CAPITAL MGMT		TJX	S	20,000	32.26	11-Aug	5-Sep	non-brg	4.0
FRONTPOINT	044	TLT	B	200,000	93.89	n/a	n/a	6,000.00	3.0
ß BUCK CAPITAL MGMT		TPX	S	70,000	13.53	n/a	n/a	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		TRLG	S	20,000	30.20	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		TRLG	S	30,000	30.35	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		TROW	C	25,000	57.19	19-Sep	19-Sep	non-brg	4.0
CASEY CAPITAL	067	TSN	S	5,000	13.18	n/a	n/a	250.00	5.0
ß BUCK CAPITAL MGMT		TUY+KH	SS	1,000	1.90	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		TWB+KB	SS	1,000	0.80	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		TWB	S	40,000	9.35	n/a	20-Aug	non-brg	4.0
ß BUCK CAPITAL MGMT		USTR	SS	20,000	51.52	n/a	27-Jul	non-brg	4.0
KAICHER	064	VMW	B	1,000	29.38	n/a	n/a	0.00	0.0
SANDLER O'NEILL ASSET	031	WDR	B	20,000	22.84	15-Jul	19-Sep	1,000.00	5.0
Õ Alice Longley		WINN	S	1000	14.75	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		WMT+JA	SS	4,850	0.83	n/a	n/a	non-brg	100.0
CASEY CAPITAL	067	WRC	SS	10,000	49.32	8-Aug	28-Aug	500.00	5.0
AVESTA CAP	229	X	B	10,000	104.91	n/a	n/a	500.00	5.0
ß BUCK CAPITAL MGMT		YUM	SS	20,000	38.39	14-Aug	19-Sep	non-brg	4.0
BUCK	015	YUM	S	400	38.50	14-Aug	19-Sep	0.00	0.0

TOTAL (Trade Date):

102,373.80

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/19	ROXBURY CAPITAL MGMT	035	AMG	S	75	107.56	3-Sep	19-Sep	3.00 4.0
AO,CRT	09/19	ROXBURY CAPITAL MGMT	035	AMG	S	75	107.56	3-Sep	19-Sep	3.00 4.0
AO,	09/19	PNC/MERCANTILE	028	BSX	S	71,980	13.43	n/a	22-Apr	3599.00 5.0
AO,CRT	09/15	ROARING BLUE LION MGMT	012	IVZ	S	11,000	24.28	4-Aug	19-Sep	440.00 4.0
AO,CXL	09/15	WANGER FUNDS/GREENWICH	031	IVZ	S	11,000	24.28	4-Aug	19-Sep	440.00 4.0
AO,CRT	09/19	LISTED ERR	099	LPX	B	16,800	11.01	n/a	11-Sep	0.00 0.0
AO,CXL	09/19	LISTED ERR	099	LPX	SS	16,800	11.01	n/a	11-Sep	0.00 0.0
AO,	09/19	BMO NESBITT BURNS	041	LPX	S	15,000	11.01	n/a	11-Sep	750.00 5.0
AO,	09/19	T. ROWE PRICE	033	MER	B	60,800	28.57	24-Jun	19-Sep	2432.00 4.0
AO,	09/19	T. ROWE PRICE	033	MFE	B	44,900	37.15	n/a	3-Apr	1796.00 4.0
AO,	09/19	T. ROWE PRICE	033	MHS	B	57,600	48.09	n/a	n/a	2304.00 4.0
AO,	09/19	T. ROWE PRICE	033	PEP	S	70,600	73.19	n/a	n/a	2824.00 4.0
AO,	09/19	T. ROWE PRICE	033	PX	B	37,800	86.89	n/a	23-Jul	1512.00 4.0
AO,CRT	09/19	COUGAR TRADING	044	RL	B	5,000	72.00	n/a	28-Aug	250.00 5.0
AO,CXL	09/19	COUGAR TRADING	044	RL	B	5,000	72.00	n/a	28-Aug	250.00 5.0
AO,	09/19	CAXTON PART	040	WMT	B	109,683	59.93	8-Aug	5-Sep	3838.91 3.5
AO,CRT	09/19	S.A.C. CAPITAL MGMT.	044	WYE	B	20,000	38.45	n/a	31-Mar	1000.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CXL	09/19	SAC TRADING/BILLY	063	WYE	B	20,000	38.45	n/a 31-Mar	1000.00 5.0

TOTAL (AO, CXL, CRT):	19,055.91
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TOTAL (Trade Date):	102,373.80
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TOTAL (AO, CXL, CRT):	19,055.91
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TOTAL (RUN DATE) / NFS:	121,429.71
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MRI Securities with Trade Activity on 22-Sep.

IP, SMG

MRI Securities without Trade Activity on 22-Sep.

UA

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

T-Date = 21%

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