



# Daily Compliance Activity Report

Trade Date: 09/23/2008

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROTHSCHILD ASSET	040	ABM	S	34,800	22.25	n/a	n/a	1,566.00	4.5
BUCK CAPITAL MGMT	001	AEO	B	20,000	15.65	n/a	5-Sep	800.00	4.0
BUCK	015	AET	B	500	37.44	n/a	n/a	0.00	0.0
REINHART & MAHONEY	031	AFG	B	26,300	28.71	n/a	n/a	1,315.00	5.0
AMATURO	018	AIG	B	2,000	5.17	n/a	n/a	0.00	0.0
AMATURO	018	AIG	S	2,000	4.97	n/a	n/a	0.00	0.0
BUCK	015	AILJN	B	30	0.15	n/a	n/a	0.00	0.0
TRUSTCO/SUNTRUST	040	ALV	B	22,800	35.66	23-Jul	30-Jul	729.60	3.2
B BUCK CAPITAL MGMT		ANF+JW	SS	1,000	0.68	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT	001	ANF	S	10,000	41.94	7-Aug	17-Sep	400.00	4.0
EPOCH INV MGMT	030	ARB	S	3,900	47.73	n/a	n/a	156.00	4.0
HOLDEN CAPITAL MGMT	035	ARO	SS	10,000	30.95	28-Apr	5-Sep	500.00	5.0
EPOCH INV MGMT	030	ATK	S	1,300	100.13	n/a	n/a	52.00	4.0
EPOCH INV MGMT	030	AWI	S	950	32.97	n/a	n/a	38.00	4.0
CAXTON PART	040	BDK	SS	15,000	61.80	n/a	n/a	525.00	3.5

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
THIRD COAST CAPITAL	035	BIG	B	15,000	29.78	29-May	5-Sep	750.00	5.0
PHILADELPHIA FINANCIAL	033	BLK	B	10,026	189.71	n/a	19-Sep	401.04	4.0
PAW PARTNERS	041	BMC	B	8,400	31.29	n/a	n/a	420.00	5.0
JENNISON	032	BRCM	B	142,200	19.27	n/a	n/a	5,261.40	3.7
IRIDIAN ASSET MGMT.	036	CCK	B	14,560	23.16	n/a	n/a	728.00	5.0
BAIRD INVESTMENT	031	CHRW	B	12,000	53.01	n/a	n/a	600.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CHS</b>	<b>S</b>	<b>400,000</b>	<b>5.96</b>	<b>8-Aug</b>	<b>17-Sep</b>	<b>16,000.00</b>	<b>4.0</b>
NOMURA CAPITAL	045	CLUB	B	8,100	7.47	n/a	n/a	324.00	4.0
<b>ZOLIDIS</b>	<b>011</b>	<b>CMG</b>	<b>S</b>	<b>300</b>	<b>58.38</b>	<b>12-Sep</b>	<b>12-Sep</b>	<b>0.00</b>	<b>0.0</b>
AVESTA CAP	229	COH	SS	25,000	27.00	30-Jul	28-Aug	1,250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>CRI</b>	<b>S</b>	<b>20,000</b>	<b>19.74</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
LATEFF MGMT	035	CVS	B	3,500	33.95	n/a	n/a	490.00	14.0
<b>B BUCK CAPITAL MGMT</b>		<b>CWTR</b>	<b>S</b>	<b>10,000</b>	<b>6.19</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CWTR</b>	<b>S</b>	<b>90,000</b>	<b>6.15</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>AMATURO</b>	<b>018</b>	<b>DIAWF</b>	<b>B</b>	<b>30</b>	<b>4.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>AMATURO</b>	<b>018</b>	<b>DIAWF</b>	<b>S</b>	<b>30</b>	<b>6.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CRAMER ROSENTHAL/SCOTT	012	DLTR	S	500	36.31	n/a	5-Sep	20.00	4.0
JENNISON	032	DRIV	B	140,900	39.62	n/a	n/a	5,213.30	3.7
<b>GAULT</b>	<b>063</b>	<b>DTO</b>	<b>S</b>	<b>1,000</b>	<b>36.68</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SIGMA CAPITAL ASSOCIATES	237	EAT	S	23,667	18.01	n/a	24-Apr	1,183.35	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>EBHI</b>	<b>S</b>	<b>50,000</b>	<b>6.76</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
EPOCH INV MGMT	030	ECOL	S	2,650	27.63	n/a	n/a	106.00	4.0
PRIMECAP MGMT	048	EMC	B	20,100	12.17	n/a	n/a	1,005.00	5.0
MS PRINCIPAL STRATEGIES	041	ERJ	B	27,300	29.53	n/a	n/a	1,365.00	5.0
HUNTER GLOBAL INVESTOR	067	FDO	SS	300	27.25	23-Jul	5-Sep	15.00	5.0
PILOT ADV	038	FDO	SS	25,000	26.70	23-Jul	5-Sep	980.00	2.0
EATON VANCE MGMT	039	FE	B	247,033	66.62	n/a	n/a	7,410.99	3.0
ETON PARK CAPITAL	039	FE	B	512	66.62	n/a	n/a	15.36	3.0
JENNISON	032	FSLR	S	183,900	214.54	n/a	n/a	6,804.30	3.7
<b>B BUCK CAPITAL MGMT</b>		<b>FUA+KF</b>	<b>SS</b>	<b>1,000</b>	<b>1.10</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>300.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>FUA+KF</b>	<b>SS</b>	<b>1,000</b>	<b>1.10</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>300.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>FUQI</b>	<b>S</b>	<b>77,500</b>	<b>8.78</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GCO</b>	<b>B</b>	<b>10,000</b>	<b>33.62</b>	<b>n/a</b>	<b>10-Jan</b>	<b>400.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		GES+JH	SS	1,000	1.20	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		GES+LJ	SS	1,000	0.65	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT		GES	S	25,000	37.35	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		GES	S	75,000	37.57	n/a	n/a	non-brg	4.0
BUCK	015	GSMN	S	10	6.10	n/a	n/a	0.00	0.0
BUCK	015	GSVP	B	8	2.45	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		GWV	SS	23,000	87.93	14-Apr	16-Jul	non-brg	4.0
CAXTON PART	040	HANS	S	91,172	30.61	n/a	n/a	3,191.02	3.5
BUCK	015	HD	SS	1,000	25.89	n/a	27-Jul	0.00	0.0
MS PRINCIPAL STRATEGIES	041	HLX	S	13,800	27.87	n/a	n/a	690.00	5.0
BUCK CAPITAL MGMT		HOTT	S	20,000	6.41	n/a	17-Sep	non-brg	4.0
BUCK CAPITAL MGMT	001	HOT	SS	20,000	33.54	n/a	n/a	800.00	4.0
FRONTPOINT/COPIA-ANDREW	031	IWM	B	200,000	71.99	n/a	n/a	6,000.00	3.0
SINCLAIR	031	IZUCF	B	4	2.20	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	JCG	S	250,000	29.72	n/a	17-Sep	10,000.00	4.0
BUCK CAPITAL MGMT		JCG	S	20,800	30.41	n/a	17-Sep	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		JCI	SS	16,500	30.77	3-Sep	3-Sep	non-brg	2.0
BUCK CAPITAL MGMT		JCI	SS	48,700	30.75	3-Sep	3-Sep	non-brg	4.0
BUCK CAPITAL MGMT		JOSB	S	50,000	39.62	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		JWN+WE	SS	2,000	0.70	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT	001	JWN	SS	145,000	31.66	10-Jul	17-Sep	5,800.00	4.0
SINCLAIR	031	KGCBW	B	10	3.00	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	KMT	S	49,300	31.64	18-Sep	18-Sep	2,218.53	4.5
BUCK CAPITAL MGMT		LIZ+KD	SS	3,000	0.66	n/a	n/a	non-brg	100.0
BUCK	015	LIZ	SS	1,500	17.66	n/a	18-Sep	0.00	0.0
BUCK CAPITAL MGMT		LOW	SS	20,000	24.00	n/a	27-Jul	non-brg	4.0
HUNTER GLOBAL INVESTOR	067	LO	B	80,000	69.57	n/a	n/a	4,000.00	5.0
CAXTON PART	040	LVS	SS	10,000	33.89	n/a	n/a	350.00	3.5
BUCK CAPITAL MGMT		MBFG IM	S	30,000	21.49	n/a	n/a	non-brg	4.3
AMATURO	018	MPEL	B	2,000	4.19	n/a	n/a	0.00	0.0
THE JAY GOLDMAN	034	MSFT	S	25,000	26.06	n/a	3-Apr	1,000.00	4.0
BUCK CAPITAL MGMT		MSM	S	20,000	47.46	n/a	n/a	non-brg	1.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DAWSON SANBERG & CO	041	MU	S	500,000	4.17	n/a	n/a	15,000.00	3.0
PAW PARTNERS	041	NOK	S	20,000	20.04	n/a	n/a	1,000.00	5.0
<b>LUCHANSKY1</b>	<b>036</b>	<b>NTRZ</b>	<b>S</b>	<b>1,000</b>	<b>0.44</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
JP MORGAN VENTURES	046	NTY	S	67,000	29.16	n/a	n/a	3,350.00	5.0
<b>ß BUCK CAPITAL MGMT</b>		<b>OIH</b>	<b>C</b>	<b>10,000</b>	<b>163.20</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
JENNISON	032	PAYX	B	60,800	31.90	n/a	n/a	2,249.60	3.7
<b>N STRATTON</b>	<b>014</b>	<b>PNWIF</b>	<b>B</b>	<b>500</b>	<b>2.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>PSS+JD</b>	<b>SS</b>	<b>1,000</b>	<b>0.95</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>100.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>PSS+KX</b>	<b>SS</b>	<b>1,000</b>	<b>0.90</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>100.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>PSS+KX</b>	<b>SS</b>	<b>2,000</b>	<b>0.90</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>100.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>PSS+LE</b>	<b>SS</b>	<b>1,000</b>	<b>0.72</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>100.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>PSS</b>	<b>B</b>	<b>50,000</b>	<b>19.97</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>QZS+JH</b>	<b>C</b>	<b>2,500</b>	<b>4.16</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>300.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>QZS+MF</b>	<b>SS</b>	<b>1,000</b>	<b>4.80</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>300.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>QZS+MX</b>	<b>SS</b>	<b>3,000</b>	<b>2.24</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>300.0</b>
THE JAY GOLDMAN	034	RFMD	S	25,000	3.32	n/a	n/a	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MAGNETAR FINANCIAL	031	RYL	S	92,000	24.49	n/a	n/a	2,760.00	3.0
<b>ZOLIDIS</b>	<b>011</b>	<b>SDS</b>	<b>B</b>	<b>500</b>	<b>70.82</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MERRILL ASSET	032	SF	S	500	49.00	n/a	n/a	25.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>SHPGY</b>	<b>S</b>	<b>31,000</b>	<b>49.81</b>	<b>21-May</b>	<b>23-Sep</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SKX+KW</b>	<b>SS</b>	<b>3,000</b>	<b>1.35</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>300.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SKX</b>	<b>B</b>	<b>300,000</b>	<b>17.14</b>	<b>n/a</b>	<b>13-Mar</b>	<b>non-brg</b>	<b>2.0</b>
TRUST CO/COWEN/CALF.	040	SLE	B	114,820	13.07	n/a	n/a	4,592.80	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>SPLS</b>	<b>SS</b>	<b>50,000</b>	<b>22.68</b>	<b>n/a</b>	<b>27-Jul</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SSCC</b>	<b>S</b>	<b>100,000</b>	<b>5.87</b>	<b>30-Jul</b>	<b>22-Sep</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SSCC</b>	<b>S</b>	<b>56,300</b>	<b>5.89</b>	<b>30-Jul</b>	<b>22-Sep</b>	<b>non-brg</b>	<b>2.0</b>
PAW PARTNERS	041	SYMC	S	25,000	19.76	n/a	3-Apr	1,250.00	5.0
<b>MAGUIRE</b>	<b>039</b>	<b>TAST</b>	<b>S</b>	<b>600</b>	<b>4.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>TEN</b>	<b>SS</b>	<b>50,000</b>	<b>14.69</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
MS PRINCIPAL STRATEGIES	041	TEO	B	8,400	12.22	n/a	n/a	420.00	5.0
BAIRD INVESTMENT	031	TGT	B	6,950	50.23	n/a	22-Sep	347.50	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TGT</b>	<b>SS</b>	<b>80,000</b>	<b>49.53</b>	<b>n/a</b>	<b>22-Sep</b>	<b>3,200.00</b>	<b>4.0</b>

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAMBIAR CAP	046	TGT	B	33,310	49.80	n/a	22-Sep	1,332.40	4.0
COUGAR TRADING	044	TJX	SS	5,000	32.17	11-Aug	5-Sep	250.00	5.0
⌘ BUCK CAPITAL MGMT		TRLG	S	20,000	28.81	n/a	n/a	non-brg	4.0
THIRD COAST CAPITAL	035	TRN	B	10,000	31.18	n/a	n/a	500.00	5.0
⌘ BUCK CAPITAL MGMT		TSCO	C	15,000	43.66	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		TSCO	SS	25,000	43.66	n/a	n/a	non-brg	4.0
PERRY PARTNERS	041	TTWO	S	177,082	16.29	n/a	n/a	5,312.46	3.0
EPOCH INV MGMT	030	TUP	B	1,500	28.57	n/a	n/a	60.00	4.0
⌘ BUCK CAPITAL MGMT		TWB+KB	SS	2,000	0.70	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT	001	TWB	S	10,000	9.11	n/a	20-Aug	400.00	4.0
LEDDY	035	VC	B	4,500	2.97	n/a	31-Jul	0.00	0.0
EPOCH INV MGMT	030	VVC	B	2,950	27.70	n/a	n/a	118.00	4.0
EPOCH INV MGMT	030	WBC	B	1,850	37.95	30-Apr	30-Jul	74.00	4.0
SANDLER O'NEILL ASSET	031	WDR	S	20,000	25.15	15-Jul	19-Sep	600.00	3.0
CAXTON PART	040	WFC	S	46,548	35.85	n/a	n/a	1,629.20	3.5
⌘ BUCK CAPITAL MGMT		WRC+KJ	SS	2,000	2.70	n/a	n/a	non-brg	300.0



Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	WRC	S	20,000	46.59	8-Aug	28-Aug	800.00	4.0
EPOCH INV MGMT	030	WRES	B	2,900	10.41	n/a	n/a	116.00	4.0
EPOCH INV MGMT	030	WR	B	3,350	23.55	n/a	n/a	134.00	4.0
BUCK CAPITAL MGMT		WSM	SS	25,000	17.24	n/a	n/a	non-brg	4.0
NATIONAL BK OF CAN	031	XLF	B	75,000	20.51	n/a	n/a	3,000.00	4.0
ROSEDALE CAPITAL	046	YHOO	S	30,000	18.86	n/a	n/a	1,500.00	5.0
BUCK	015	YUM	B	500	36.37	14-Aug	19-Sep	0.00	0.0
TOTAL (Trade Date):								141,894.85	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/22	NOMURA CAPITAL	045	ACW	B	5,200	1.34	n/a	n/a	104.00 2.0
AO,	09/22	RAMIUS CAP	040	ALV	B	46,800	37.38	23-Jul	30-Jul	2340.00 5.0
AO,	09/22	RAMIUS CAP	040	BWA	B	48,300	36.37	10-Jun	1-Aug	2415.00 5.0
AO,	09/22	US BANCORP	030	CBK	S	36,067	10.66	n/a	17-Sep	1803.35 5.0
AO,	09/22	CAXTON PART	040	CCL	S	112,588	37.34	n/a	26-Jan	3940.59 3.5
AO,	09/22	CAXTON PART	040	GIS	S	60,974	68.87	n/a	n/a	2134.10 3.5
AO,	09/22	CAXTON PART	040	KO	S	87,457	51.63	n/a	n/a	3061.00 3.5
AO,	09/22	CAXTON PART	040	MCO	S	145,973	35.01	n/a	n/a	5109.08 3.5
AO,	09/22	RAMIUS CAP	040	MGA	B	30,700	57.07	n/a	n/a	1535.00 5.0
AO,CXL	09/17	ZOLIDIS	011	UYG	B	1,000	16.78	n/a	n/a	0.00 0.0
AO,CRT	09/17	ZOLIDIS	011	UYG	B	1,000	16.78	n/a	n/a	0.00 0.0
AO,CRT	09/18	ZOLIDIS	011	UYG	S	1,000	17.80	n/a	n/a	0.00 0.0
AO,CXL	09/18	ZOLIDIS	011	UYG	S	1,000	17.80	n/a	n/a	0.00 0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>22,442.12</b>

TOTAL (Trade Date):	141,894.85
TOTAL (AO, CXL, CRT):	22,442.12

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TOTAL (RUN DATE) / NFS:	164,336.97
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MRI Securities with Trade Activity on 23-Sep. NONE
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MRI Securities without Trade Activity on 23-Sep. NONE
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BRG comm. as a % of BCM Total Comm. paid. T-Date = 28% 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