



Daily Compliance Activity Report

Trade Date: 09/09/2008

POTENTIAL ANALYST TRADE VIOLATIONS : 0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NOMURA CAPITAL	045	ACW	B	75,000	1.34	n/a	n/a	2,250.00	3.0
COUGAR TRADING	044	AEO	B	5,000	16.04	n/a	5-Sep	250.00	5.0
COUGAR TRADING	044	AEO	S	10,000	16.68	n/a	5-Sep	500.00	5.0
GRISANTTI BROWN & PARTNER	048	AEO	S	14,200	16.51	n/a	5-Sep	710.00	5.0
LEDDY	035	AER	S	1,000	15.33	n/a	n/a	0.00	0.0
GRISANTTI BROWN & PARTNER	048	AES	C	15,000	13.20	n/a	n/a	750.00	5.0
PROSPECTOR PARTNERS LLC	036	AIZ	B	29,000	56.80	n/a	n/a	1,160.00	4.0
COLUMBIA PARTNERS	028	AMB	B	2,779	49.79	n/a	n/a	111.16	4.0
STRONG/MARK GRONET	030	AMED	B	15,000	49.25	n/a	n/a	600.00	4.0
COBALT	041	AMG	SS	50,000	91.56	3-Sep	8-Sep	2,500.00	5.0
BUCK CAPITAL MGMT	001	ANF	S	10,000	50.01	7-Aug	5-Sep	400.00	4.0
COUGAR TRADING	044	ANF	B	5,000	50.10	7-Aug	5-Sep	250.00	5.0
COUGAR TRADING	044	ANF	S	5,000	50.49	7-Aug	5-Sep	250.00	5.0
B BUCK CAPITAL MGMT		AN	SS	30,000	13.65	25-Jul	28-Jul	non-brg	4.0
EFSTATHIOU	044	APVIM	B	10	1.86	n/a	n/a	0.00	0.0
COUGAR TRADING	044	ARO	S	25,000	35.15	28-Apr	5-Sep	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	ARRS	S	17,050	9.04	n/a	n/a	682.00	4.0
DAVIDSON KEMPNER ADVISOR	040	ATN	S	100,000	28.00	n/a	n/a	5,000.00	5.0
BUCK CAPITAL MGMT	001	BAC	SS	20,000	33.55	n/a	15-Aug	800.00	4.0
ß BUCK CAPITAL MGMT		BBBY	C	110,000	32.61	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BBY	C	80,000	46.09	n/a	27-Jul	non-brg	4.0
PRINCIPLE CAPITAL	040	BC	B	32,900	13.86	n/a	n/a	987.00	3.0
DAVIDSON KEMPNER ADVISOR	040	BGG	C	50,000	16.57	n/a	n/a	2,500.00	5.0
DAVIDSON KEMPNER ADVISOR	040	BG	SS	47,270	75.62	n/a	n/a	2,363.50	5.0
SANDLER CAPITAL	038	BHP	SS	150,000	55.78	n/a	n/a	9,000.00	6.0
GRUSS CAPITAL	045	BNI	S	25,000	98.02	n/a	n/a	750.00	3.0
LEDDY	035	BWA	C	400	37.97	10-Jun	1-Aug	0.00	0.0
BUCK CAPITAL MGMT	001	BWS	B	49,400	17.08	n/a	n/a	1,976.00	4.0
ROYCE TRADING	216	CAB	B	15,000	12.99	n/a	n/a	750.00	5.0
KENNEDY CAPITAL	046	CASY	S	15,000	30.31	n/a	n/a	600.00	4.0
LEDDY	035	CAT	C	300	63.88	n/a	18-Aug	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHEELER	008	CBI	B	1,000	24.65	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	CHRS	S	19,900	5.71	n/a	22-Mar	796.00	4.0
KENNEDY CAPITAL	046	CHS	S	100,000	6.97	8-Aug	5-Sep	3,000.00	3.0
NEUBERGER BERMAN	036	CHTT	S	7,725	72.63	2-Jun	21-Aug	347.63	4.5
NOMURA CAPITAL	045	CKH	S	1,500	82.13	n/a	n/a	75.00	5.0
ß BUCK CAPITAL MGMT		COLM	C	20,000	41.58	n/a	n/a	non-brg	4.0
NEUBERGER BERMAN	036	CPLA	S	500	47.10	n/a	n/a	5.00	1.0
ß BUCK CAPITAL MGMT		CRI	B	100,000	19.64	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		CRI	B	27,400	19.57	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		CRI	B	37,600	19.54	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		CRI	B	59,600	19.59	n/a	n/a	non-brg	4.0
MATLIN PATTERSON	046	DAI	SS	20,000	57.58	n/a	n/a	1,000.00	5.0
THE JAY GOLDMAN	034	DDS	B	40,000	13.97	n/a	n/a	1,600.00	4.0
ß BUCK CAPITAL MGMT		DECK	B	5,000	112.95	n/a	n/a	non-brg	1.0
TROUBH PART	067	DELL	S	80,000	19.33	n/a	n/a	4,000.00	5.0
ß BUCK CAPITAL MGMT		DKS+ID	C	63	3.95	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		DKS+LE	C	62	2.15	n/a	n/a	non-brg	300.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		DKS+LT	C	31	3.50	n/a	n/a	non-brg	300.0
MAGUIRE	039	DUG	S	200	46.00	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		EBHI	B	442,662	7.13	n/a	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		EBHI	B	60,900	7.15	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		EBHI	B	65,000	7.10	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT	001	EL	B	48,700	53.14	15-Aug	4-Sep	1,948.00	4.0
HART	056	EPG	B	500	1.75	n/a	n/a	0.00	0.0
MILLER	025	EWZ	S	150	61.12	n/a	n/a	0.00	0.0
SIGMA CAPITAL ASSOCIATES	237	FL	SS	20,000	17.81	11-Aug	22-Aug	1,000.00	5.0
PNCM	028	FPL	S	100,869	54.97	n/a	n/a	5,043.45	5.0
⌘ BUCK CAPITAL MGMT		FUQI	S	30,000	10.95	n/a	n/a	non-brg	2.0
NOLAN	067	F	B	500	4.53	25-Jul	4-Sep	0.00	0.0
⌘ BUCK CAPITAL MGMT		GCO+LI	SS	1,000	0.65	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT	001	GES	S	25,000	42.29	n/a	n/a	1,000.00	4.0
BUCK CAPITAL MGMT	001	GIL	B	70,000	24.99	8-Sep	8-Sep	2,800.00	4.0
COUGAR TRADING	044	GIL	S	10,000	24.83	8-Sep	8-Sep	500.00	5.0
RBC CAPITAL MARKETS	034	GIL	B	42,700	24.84	8-Sep	8-Sep	1,708.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MAIRS AND POWER INV	030	GLW	B	20,000	16.32	n/a	4-Sep	1,000.00	5.0
⌘ BUCK CAPITAL MGMT		GM+IB	SS	5,000	1.17	n/a	n/a	non-brg	100.0
⌘ BUCK CAPITAL MGMT		GM+UB	B	5,000	0.36	n/a	n/a	non-brg	100.0
TRELLUS PARTNERS LP	028	GNTX	SS	1,500	16.82	24-Jun	28-Jul	75.00	5.0
TRELLUS PARTNERS LP	028	GPI	SS	8,200	24.82	10-Jun	30-Jul	410.00	5.0
LEDDY	035	GPI	C	1,100	24.05	10-Jun	30-Jul	0.00	0.0
⌘ BUCK CAPITAL MGMT		GPS	C	100,000	19.97	n/a	5-Sep	non-brg	4.0
COUGAR TRADING	044	GPS	B	5,000	19.54	n/a	5-Sep	250.00	5.0
COUGAR TRADING	044	GPS	S	5,000	19.59	n/a	5-Sep	250.00	5.0
SIGMA CAPITAL ASSOCIATES	237	GPS	S	50,000	19.69	n/a	5-Sep	2,500.00	5.0
COUGAR TRADING	044	GYMB	B	10,000	40.51	11-Jul	5-Sep	500.00	5.0
STERLING JOHNSTON	035	GYMB	B	50,000	40.77	11-Jul	5-Sep	2,000.00	4.0
BENCHMARK	028	HD	S	5,000	29.70	n/a	27-Jul	250.00	5.0
⌘ BUCK CAPITAL MGMT		HD	C	40,000	30.18	n/a	27-Jul	non-brg	4.0
ROTHSCHILD ASSET	040	HRL	S	5,630	36.84	n/a	n/a	253.35	4.5
⌘ BUCK CAPITAL MGMT		ICON	B	30,000	12.95	n/a	n/a	non-brg	4.0
SCOPUS FUND	041	IP	S	200,000	29.09	1-Aug	1-Aug	10,000.00	5.0
SSI INVESTORS	048	IP	B	36,020	28.88	1-Aug	1-Aug	1,440.80	4.0
⌘ BUCK CAPITAL MGMT		JCP	C	140,000	43.00	n/a	5-Sep	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	JNY	SS	40,000	21.79	n/a	30-Jul	1,600.00	4.0
REINHART & MAHONEY	031	JPM	S	16,100	39.77	8-May	15-Aug	805.00	5.0
COUGAR TRADING	044	JWN	B	5,000	34.76	10-Jul	5-Sep	250.00	5.0
COUGAR TRADING	044	JWN	S	20,000	34.44	10-Jul	5-Sep	1,000.00	5.0
ß BUCK CAPITAL MGMT		KMB	C	63,700	65.80	28-Aug	28-Aug	non-brg	4.0
BMO NESBITT BURNS	041	KMT	SS	4,800	32.21	n/a	2-Sep	240.00	5.0
ß BUCK CAPITAL MGMT		LIZ+IC	C	1,000	3.90	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		LIZ+IC	C	1,000	3.90	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		LIZ+IC	C	2,000	4.19	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	LIZ	B	380,000	18.88	n/a	28-Aug	15,200.00	4.0
ß BUCK CAPITAL MGMT		LIZ	B	20,000	18.95	n/a	28-Aug	non-brg	1.0
BUCK CAPITAL MGMT	001	LOW	B	50,000	26.74	n/a	27-Jul	2,000.00	4.0
WAGONHOUND/NIC	048	LPX	B	57,133	10.97	n/a	8-Sep	2,285.32	4.0
COUGAR TRADING	044	LTD	B	5,000	21.22	19-Aug	5-Sep	250.00	5.0
LUCID PARTNERS	067	LTD	S	7,500	22.04	19-Aug	5-Sep	375.00	5.0
GAULT	063	LYHAV	B	50	2.86	n/a	n/a	0.00	0.0
GAULT	063	LYHAV	S	50	1.89	n/a	n/a	0.00	0.0
SINCLAIR	031	LYHIG	B	3	0.94	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
OGORMAN	046	LYHIU	B	10	3.20	n/a	n/a	0.00	0.0
BUCK	015	LYHJJ	S	30	0.91	n/a	n/a	0.00	0.0
BUCK	015	LYHVB	B	30	2.70	n/a	n/a	0.00	0.0
REINHART & MAHONEY	031	MAN	S	11,255	47.88	n/a	n/a	562.75	5.0
BUCK CAPITAL MGMT	001	MAR	SS	20,000	29.03	n/a	n/a	800.00	4.0
⌘ BUCK CAPITAL MGMT		MCD	S	151,600	63.65	9-Sep	9-Sep	non-brg	4.0
BUCK CAPITAL MGMT	001	MFB	B	31,700	14.97	n/a	n/a	1,268.00	4.0
GRUSS CAPITAL	045	MON	S	2,500	99.18	n/a	14-Aug	75.00	3.0
WHEELER	008	MTRX	S	1,400	21.35	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		MVRX	C	8,900	156.90	n/a	n/a	non-brg	15.7
⌘ BUCK CAPITAL MGMT		MW+WD	SS	1,000	0.80	n/a	n/a	non-brg	100.0
⌘ BUCK CAPITAL MGMT		MW	SS	30,000	23.88	n/a	n/a	non-brg	4.0
COUGAR TRADING	044	M	SS	10,000	22.36	12-Aug	29-Aug	500.00	5.0
WOOSTER CAPITAL	035	M	SS	50,000	22.34	12-Aug	29-Aug	2,500.00	5.0
SINCLAIR	031	NBRLJ	S	30	0.10	n/a	n/a	0.00	0.0
CADIAN CAPITAL	067	NDN	B	42,816	9.51	11-Jul	9-Sep	2,140.80	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DENVER INST. ADV	046	NFX	S	225,300	36.95	n/a	n/a	9,012.00	4.0
JP MORGAN VENTURES	046	NTY	S	25,000	30.69	n/a	n/a	1,250.00	5.0
B BUCK CAPITAL MGMT		OIH	C	5,000	154.75	n/a	n/a	non-brg	1.0
KERN	050	PBR	S	200	39.99	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		PCAR	S	85,000	43.11	n/a	23-Jul	non-brg	4.0
LEDDY	035	PCL	B	300	49.74	n/a	11-Jul	0.00	0.0
MILLENIUIM KOZLOW	028	PKG	B	20,000	25.13	22-Jul	22-Jul	1,000.00	5.0
NEWLAND CAPITAL MGT	067	PKG	B	15,000	25.56	22-Jul	22-Jul	600.00	4.0
SCOPUS FUND	041	PKG	S	94,200	25.33	22-Jul	22-Jul	4,710.00	5.0
BUCK CAPITAL MGMT	001	PSS	B	80,000	17.77	n/a	n/a	3,200.00	4.0
GRUSS CAPITAL	045	PSS	S	2,500	18.45	n/a	n/a	75.00	3.0
HEALY CIRCLE	044	PSS	B	25,000	17.80	n/a	n/a	1,250.00	5.0
COUGAR TRADING	044	PSUN	S	20,000	6.85	n/a	5-Sep	800.00	4.0
B BUCK CAPITAL MGMT		PVQ+UB	C	1,545	3.20	n/a	n/a	non-brg	300.0
COUGAR TRADING	044	QLD	B	5,000	66.27	n/a	n/a	250.00	5.0
B BUCK CAPITAL MGMT		QZS+AI	SS	1,000	1.10	n/a	n/a	non-brg	300.0
MENCKE	055	RJA	S	95	9.78	n/a	n/a	0.00	0.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	RSH	B	90,000	19.37	n/a	n/a	3,600.00	4.0
⌘ BUCK CAPITAL MGMT		S4RETL	C	1,800	373.67	n/a	n/a	non-brg	37.4
⌘ BUCK CAPITAL MGMT		S6RETL	C	2,900	200.02	n/a	n/a	non-brg	20.0
WHEELER	008	SPNC	B	5,000	4.74	n/a	n/a	0.00	0.0
BACKBAY	041	SSCC	S	7,500	7.05	30-Jul	30-Jul	375.00	5.0
⌘ BUCK CAPITAL MGMT		SSCC	S	350,000	6.76	30-Jul	30-Jul	non-brg	4.0
SCOPUS FUND	041	SSCC	S	300,000	6.75	30-Jul	30-Jul	15,000.00	5.0
THE JAY GOLDMAN	034	SSI	SS	40,000	15.76	n/a	5-Sep	1,600.00	4.0
COUGAR TRADING	044	SSO	B	5,000	59.52	n/a	n/a	250.00	5.0
⌘ BUCK CAPITAL MGMT		SUP	SS	20,000	18.78	25-Jul	8-Aug	non-brg	1.0
TRELLUS PARTNERS LP	028	SUP	SS	10,000	19.06	25-Jul	8-Aug	500.00	5.0
SINCLAIR	031	SWNLF	B	4	4.30	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		TGT	C	250,000	57.95	n/a	5-Sep	non-brg	4.0
⌘ BUCK CAPITAL MGMT		TIN	S	150,000	18.31	29-Apr	30-Jul	non-brg	4.0
SCOPUS FUND	041	TIN	S	125,000	18.74	29-Apr	30-Jul	6,250.00	5.0
⌘ BUCK CAPITAL MGMT		TWB	B	20,000	11.14	n/a	20-Aug	non-brg	4.0
⌘ BUCK CAPITAL MGMT		TWTC	B	10,000	11.50	n/a	4-Jan	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		TWTC	B	25,000	12.01	n/a	4-Jan	non-brg	1.0
MKT MAKER	097	TWTC	B	100	11.64	n/a	4-Jan	0.00	0.0
MKT MAKER	099	TWTC	S	100	12.76	n/a	4-Jan	0.00	0.0
COUGAR TRADING	044	UA	S	2,400	36.31	n/a	n/a	120.00	5.0
⌘ BUCK CAPITAL MGMT		ULTA	S	50,000	13.54	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		URBN	S	10,000	36.74	14-Aug	14-Aug	non-brg	4.0
MILLENIUM KOZLOW	028	VC	B	25,000	3.40	n/a	31-Jul	750.00	3.0
TRELLUS PARTNERS LP	028	VC	S	22,600	3.38	n/a	31-Jul	678.00	3.0
⌘ BUCK CAPITAL MGMT		VZ	SS	50,000	35.29	n/a	4-Jan	non-brg	4.0
MENCKE	055	WBD	S	90	63.84	n/a	n/a	0.00	0.0
COLUMBIA PARTNERS	028	WB	SS	16,073	17.12	n/a	n/a	642.92	4.0
PHILADELPHIA FINANCIAL	033	WDR	B	72,500	27.92	15-Jul	8-Sep	2,900.00	4.0
MS PRINCIPAL STRATEGIES	041	WLK	SS	25,800	19.14	n/a	n/a	1,290.00	5.0
BUCK CAPITAL MGMT	001	WRC	S	50,000	51.08	8-Aug	28-Aug	2,000.00	4.0
COUGAR TRADING	044	WRC	B	15,000	50.10	8-Aug	28-Aug	750.00	5.0
BUCK CAPITAL MGMT	001	WWW	B	30,000	26.63	n/a	13-Mar	1,200.00	4.0
GRUSS CAPITAL	045	WY	S	2,500	57.48	n/a	6-Aug	75.00	3.0
TROUBH PART	067	YHOO	S	25,000	17.70	n/a	n/a	1,250.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	ZQK	B	200,000	7.96	27-Aug	5-Sep	8,000.00	4.0
COUGAR TRADING	044	ZQK	S	20,000	7.90	27-Aug	5-Sep	800.00	4.0
TOTAL (Trade Date):								182,171.68	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/08	&CRO	045	AGO	S	2,500	19.15	n/a	n/a	125.00 5.0
AO,CRT	09/08	CROWN ADVISORS	045	AGO	S	2,500	19.15	n/a	n/a	125.00 5.0
AO,CXL	09/08	OGORMAN	046	CMOBV	S	10	1.15	n/a	n/a	0.00 0.0
AO,CRT	09/08	OGORMAN	046	CMOBV	S	10	1.15	n/a	n/a	0.00 0.0
AO,CRT	09/08	REINHART & MAHONEY	031	CVS	B	450	36.43	n/a	n/a	22.50 5.0
AO,CXL	09/08	REINHART & MAHONEY	031	CVS	B	450	36.43	n/a	n/a	1.82 0.0
AO,CXL	09/08	REINHART & MAHONEY	031	MTG	S	7,000	8.91	n/a	n/a	0.45 0.0
AO,CRT	09/08	REINHART & MAHONEY	031	MTG	S	7,000	8.91	n/a	n/a	350.00 5.0
AO,CRT	09/08	NEUBERGER BERMAN	036	NBR	S	45,500	30.96	n/a	n/a	1933.75 4.3
AO,CXL	09/08	NEUBERGER BERMAN	036	NBR	S	45,500	30.96	n/a	n/a	1956.50 4.3
TOTAL (AO, CXL, CRT) :										347.48

TOTAL (Trade Date):	182,171.68
TOTAL (AO, CXL, CRT):	347.48

TOTAL (RUN DATE) / NFS:	182,519.16
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MRI Securities with Trade Activity on 9-Sep.

MCD

MRI Securities without Trade Activity on 9-Sep.

AVY, TEX

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

T-Date = 27%

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