



# Daily Compliance Activity Report

Trade Date: 10/08/2007

**POTENTIAL ANALYST TRADE VIOLATIONS : 0**

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WOOSTER CAPITAL	035	ABG	B	50,000	20.50	18-Jun	8-Oct	2,500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>AEO</b>	<b>S</b>	<b>10,000</b>	<b>24.75</b>	<b>10-Jul</b>	<b>5-Oct</b>	<b>non-brg</b>	<b>4.0</b>
COUGAR TRADING	044	AEO	B	10,000	24.70	10-Jul	5-Oct	500.00	5.0
GALLEON MGMT LP	033	AEO	C	10,000	25.04	10-Jul	5-Oct	500.00	5.0
SAC TRADING HOWARD	038	AEO	SS	25,000	25.04	10-Jul	5-Oct	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>S</b>	<b>5,000</b>	<b>82.62</b>	<b>2-Oct</b>	<b>5-Oct</b>	<b>200.00</b>	<b>4.0</b>
COUGAR TRADING	044	ANF	B	5,000	83.46	2-Oct	5-Oct	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANN</b>	<b>SS</b>	<b>60,000</b>	<b>33.72</b>	<b>6-Aug</b>	<b>5-Oct</b>	<b>2,400.00</b>	<b>4.0</b>
COUGAR TRADING	044	ANN	B	5,000	33.82	6-Aug	5-Oct	250.00	5.0
<b>CATTANI</b>	<b>041</b>	<b>ARBA</b>	<b>S</b>	<b>500</b>	<b>11.35</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	ARO	B	5,000	20.10	n/a	5-Oct	250.00	5.0
COUGAR TRADING	044	ARO	S	45,000	19.85	n/a	5-Oct	2,250.00	5.0
THE JAY GOLDMAN	034	ARO	B	100,000	20.56	n/a	5-Oct	4,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>BHI</b>	<b>S</b>	<b>20,000</b>	<b>91.61</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BONT</b>	<b>S</b>	<b>10,000</b>	<b>22.77</b>	<b>3-Aug</b>	<b>5-Oct</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BONT</b>	<b>S</b>	<b>10,000</b>	<b>23.12</b>	<b>3-Aug</b>	<b>5-Oct</b>	<b>non-brg</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BWS</b>	<b>S</b>	<b>25,000</b>	<b>21.76</b>	<b>n/a</b>	<b>n/a</b>	<b>1,000.00</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CACH</b>	<b>S</b>	<b>5,000</b>	<b>17.08</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.	
WHEELER	008	CCCJU	B	8	8.00	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		CHIC	SS	30,000	15.40	n/a	n/a	non-brg	4.0
KENNEDY CAPITAL	046	CHRS	S	7,900	8.50	n/a	22-Mar	237.00	3.0
BUCK CAPITAL MGMT	001	CHS	S	289,600	14.73	30-Aug	5-Oct	11,584.00	4.0
⌘ BUCK CAPITAL MGMT		CHS	S	98,441	14.52	30-Aug	5-Oct	non-brg	1.0
COUGAR TRADING	044	CHS	B	5,000	14.61	30-Aug	5-Oct	250.00	5.0
TRELLUS PARTNERS LP	028	CHS	B	20,000	14.58	30-Aug	5-Oct	1,000.00	5.0
SINCLAIR	031	CNMMV	B	2	18.00	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	COH	S	5,000	46.60	n/a	10-Sep	200.00	4.0
COUGAR TRADING	044	COH	S	5,000	46.18	n/a	10-Sep	250.00	5.0
⌘ BUCK CAPITAL MGMT		CROX	S	5,000	67.95	n/a	n/a	non-brg	4.0
MERRILL ASSET	032	CRR	B	8,600	50.00	n/a	1-Oct	387.00	4.5
HOOVER INV. MGMT	033	CSTR	S	6,300	33.10	n/a	n/a	315.00	5.0
⌘ BUCK CAPITAL MGMT		CTRN	B	5,000	19.16	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		CWTR	S	10,000	10.66	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		CWTR	S	20,000	10.56	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		DBRN	S	10,000	16.63	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		DBRN	S	10,000	16.74	n/a	n/a	non-brg	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MADIGAN	031	DEEP	B	300	11.68	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		DIA	SS	100,000	140.51	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT	001	DKS	SS	10,000	68.17	n/a	n/a	400.00	4.0
OPTIMUM INV ADV	030	DNR	B	4,000	46.26	n/a	n/a	160.00	4.0
MERRILL ASSET	032	DRQ	B	23,000	51.59	n/a	n/a	1,150.00	5.0
BUCK CAPITAL MGMT	001	DSW	S	10,000	25.62	5-Sep	2-Oct	400.00	4.0
LEDDY	035	DXD	B	700	45.65	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		ESV	S	15,000	54.29	n/a	n/a	non-brg	4.0
COLUMBIA PARTNERS	028	ETM	B	12,000	21.48	n/a	n/a	480.00	4.0
FORCE CAPITAL MGMT	030	FAST	B	30,000	48.33	n/a	n/a	1,500.00	5.0
⌘ BUCK CAPITAL MGMT		FLDR	SS	30,000	5.02	n/a	n/a	non-brg	4.0
ARTISAN PARTNERS LP	031	FLEX	B	357,600	11.44	n/a	n/a	17,880.00	5.0
FORD FDN.	032	FLR	S	15,000	152.01	n/a	n/a	750.00	5.0
⌘ BUCK CAPITAL MGMT		FOSL	S	20,000	38.71	12-Sep	12-Sep	non-brg	4.0
⌘ BUCK CAPITAL MGMT		FOSL	S	5,300	38.68	12-Sep	12-Sep	non-brg	4.0
BUCK CAPITAL MGMT	001	GES	S	35,000	52.58	n/a	n/a	1,400.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		GIII	S	10,000	19.48	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		GIL	S	15,000	39.28	19-Sep	19-Sep	non-brg	4.0
LEDDY	035	GM	SS	1,700	38.07	n/a	3-Oct	0.00	0.0
BUCK CAPITAL MGMT		GSF	S	25,000	74.78	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		GTRC	S	39,729	62.79	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		GYMB	S	10,000	38.09	10-Aug	7-Sep	non-brg	4.0
MAGUIRE	090	HGG	B	1,000	12.65	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		HP	S	25,000	32.49	n/a	n/a	non-brg	4.0
WAGONHOUND	048	HSC	B	1,290	59.05	26-Jul	26-Sep	51.60	4.0
PRIME LOGIC ADV	039	HVT	B	50,000	8.82	n/a	n/a	2,500.00	5.0
BUCK CAPITAL MGMT		ICON	S	10,000	23.53	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		ICON	S	5,000	23.26	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		ICON	S	5,000	23.50	n/a	n/a	non-brg	4.0
BARR	096	IOM	B	1,550	5.32	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	JCG	S	10,000	43.51	22-Jun	6-Sep	400.00	4.0
COUGAR TRADING	044	JCG	SS	10,000	43.34	22-Jun	6-Sep	500.00	5.0
BALYASNY ASSET MGMT	044	JCP	B	10,000	67.69	21-Jun	5-Oct	500.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	JCP	B	5,000	67.36	21-Jun	5-Oct	250.00	5.0
JP MORGAN VENTURES	046	JCP	S	25,000	67.44	21-Jun	5-Oct	1,250.00	5.0
FORD FDN.	032	JEC	S	30,000	82.30	n/a	n/a	1,500.00	5.0
BUCK CAPITAL MGMT	001	JWN	S	25,000	49.26	12-Jul	5-Oct	1,000.00	4.0
BUCK	015	KSSWK	S	5	1.23	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	KSS	S	30,000	60.58	27-Sep	5-Oct	1,200.00	4.0
⌘ BUCK CAPITAL MGMT		LAMR	B	15,000	55.48	n/a	n/a	non-brg	4.0
TOCQUEVILLE ASSET MGMT	048	LEE	B	11,500	17.22	n/a	n/a	690.00	6.0
CATAPULT	040	LEH	B	2,500	63.28	12-Jun	20-Sep	125.00	5.0
GLG PARTNERS	034	LIZ	SS	50,000	35.19	n/a	14-Sep	2,500.00	5.0
OPTIMUM INV ADV	030	LNCR	B	8,000	35.80	17-Sep	5-Oct	40,000.00	500.0
⌘ BUCK CAPITAL MGMT		LTD	SS	60,000	22.16	16-May	5-Oct	non-brg	4.0
BARR	096	MAG	S	2,000	5.22	n/a	n/a	0.00	0.0
MS PRINCIPAL STRATEGIES	041	MAR	B	28,900	42.70	n/a	n/a	1,445.00	5.0
⌘ BUCK CAPITAL MGMT		MVRX	SS	90,000	177.58	n/a	n/a	non-brg	17.8
HOOVER INV. MGMT	033	MW	S	18,800	48.77	n/a	n/a	940.00	5.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	M	S	10,000	34.21	24-Sep	5-Oct	400.00	4.0
COUGAR TRADING	044	M	S	15,000	34.22	24-Sep	5-Oct	750.00	5.0
BUCK	015	NMXWF	S	8	4.70	n/a	n/a	0.00	0.0
BUCK	015	NMX	S	700	134.98	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		OIH	SS	20,000	190.03	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		PERY	S	10,500	26.39	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PERY	S	15,000	26.24	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	PSS	S	30,000	22.72	n/a	n/a	1,200.00	4.0
⌘ BUCK CAPITAL MGMT		PSS	S	15,000	22.51	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	PTT	S	15,000	7.91	n/a	n/a	600.00	4.0
BUCK CAPITAL MGMT	001	PVH	S	10,000	53.48	13-Aug	29-Aug	400.00	4.0
WHITE PINE CAPITAL	030	RCKY	S	13,000	10.21	n/a	n/a	650.00	5.0
⌘ BUCK CAPITAL MGMT		RICK	S	5,000	11.29	n/a	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		RIG	S	15,000	110.66	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	RL	SS	70,000	75.30	9-Aug	29-Aug	2,800.00	4.0
⌘ BUCK CAPITAL MGMT		RL	S	15,000	74.83	9-Aug	29-Aug	non-brg	4.0
GLG PARTNERS	034	RL	B	25,000	76.07	9-Aug	29-Aug	1,250.00	5.0
⌘ BUCK CAPITAL MGMT		RTH	SS	150,000	101.56	n/a	n/a	non-brg	1.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	SKS	S	90,000	17.64	n/a	n/a	3,600.00	4.0
BUCK CAPITAL MGMT	001	SKX	S	30,000	23.45	n/a	13-Mar	1,200.00	4.0
ß BUCK CAPITAL MGMT		SPY	SS	100,000	155.32	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT	001	SSI	S	36,400	18.41	3-Aug	5-Oct	1,456.00	4.0
ß BUCK CAPITAL MGMT		SSI	S	10,000	18.35	3-Aug	5-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		SSI	S	4,300	18.37	3-Aug	5-Oct	non-brg	1.0
ß BUCK CAPITAL MGMT		SSI	S	50,000	18.71	3-Aug	5-Oct	non-brg	2.0
ß BUCK CAPITAL MGMT		SSI	S	51,500	18.61	3-Aug	5-Oct	non-brg	2.0
BAIRD INVESTMENT	031	SWN	S	4,550	43.78	n/a	1-Oct	227.50	5.0
SIGMA CAPITAL ASSOCIATES	237	SYX	SS	100,000	34.66	n/a	24-Apr	5,000.00	5.0
NORTHPOINT	030	TAXI	S	2,400	11.01	n/a	n/a	96.00	4.0
SATELLITE ASSET MGMT	012	TIF	B	20,000	55.94	1-Oct	1-Oct	800.00	4.0
BUCK CAPITAL MGMT	001	TJX	B	10,000	29.44	21-Sep	5-Oct	400.00	4.0
WAGONHOUND	048	TJX	S	10,350	28.87	21-Sep	5-Oct	414.00	4.0
ß BUCK CAPITAL MGMT		TLB	C	30,000	18.26	n/a	23-Aug	non-brg	4.0
SIGMA CAPITAL ASSOCIATES	237	TMO	B	25,000	58.04	n/a	n/a	1,250.00	5.0
ß BUCK CAPITAL MGMT		TRLG	S	10,000	16.71	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	TWB	S	25,000	34.15	2-Oct	2-Oct	1,000.00	4.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MADIGAN	031	UNT	B	14	47.82	n/a	5-Oct	0.00	0.0
ß BUCK CAPITAL MGMT		WRNC	S	10,000	41.17	19-Sep	28-Sep	non-brg	4.0
ß BUCK CAPITAL MGMT		WRNC	S	40,000	41.15	19-Sep	28-Sep	non-brg	4.0
BUCK	015	WYWN	S	10	1.65	n/a	n/a	0.00	0.0
BUCK	015	WY	S	500	74.89	21-Sep	21-Sep	0.00	0.0
BUCK CAPITAL MGMT	001	ZQK	S	80,000	14.78	n/a	7-Sep	3,200.00	4.0
ß BUCK CAPITAL MGMT		ZQK	S	15,000	14.88	n/a	7-Sep	non-brg	4.0
ß BUCK CAPITAL MGMT		ZUMZ	S	10,000	47.23	n/a	n/a	non-brg	4.0
TOTAL (Trade Date):							135,238.10		



Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/05	BUCK CAPITAL MGMT	001	AEO	B	249,900	25.34	10-Jul	5-Oct	9996.00 4.0
AO,CXL	10/05	BUCK CAPITAL MGMT	001	MER	B	41,500	76.06	5-Oct	5-Oct	1660.00 4.0
AO,	10/05	BUCK CAPITAL MGMT	001	MER	B	500	76.06	5-Oct	5-Oct	20.00 4.0
AO,CRT	10/05	BUCK CAPITAL MGMT	001	MER	B	41,000	76.06	5-Oct	5-Oct	1640.00 4.0
TOTAL (AO, CXL, CRT):										9,996.00

TOTAL (Trade Date):	135,238.10
TOTAL (AO, CXL, CRT):	9,996.00

TOTAL (RUN DATE) / NFS:	145,234.10
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MRI Securities with Trade Activity on 8-Oct.  
NONE

MRI Securities without Trade Activity on 8-Oct.  
IVZ

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 44%  
YTD = 16%



Legend:

Õ: Employee Trades in Outside Accounts

ß: Non-BRG BCM Trades

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