



Daily Compliance Activity Report

Trade Date: 12/04/2008

Potential ANALYST TRADE Violations: 0

BCM Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BARCLEYS CAP (OLD LEHM)	041	AAPL	S	25,000	93.74	n/a	n/a	1,000.00	4.0
WINSLOW CAPITAL	030	AAPL	B	1,900	93.66	n/a	n/a	76.00	4.0
SCOPUS FUND	041	AAP	B	5,000	30.01	n/a	n/a	250.00	5.0
PERFORMANCE PART LP #2	041	ACI	B	10,000	13.33	n/a	n/a	300.00	3.0
MATRIX ASSET ADV.	036	ADI	B	10,000	16.05	n/a	n/a	300.00	3.0
CATAPULT	040	ALV	S	10,815	19.29	26-Nov	26-Nov	540.75	5.0
BALYASNY ASSET MGMT	044	AMG	B	10,000	27.41	13-Nov	2-Dec	500.00	5.0
COUGAR TRADING	044	AN	B	5,000	10.09	7-Nov	7-Nov	250.00	5.0
COUGAR TRADING	044	AN	SS	5,000	9.04	7-Nov	7-Nov	200.00	4.0
WINSLOW CAPITAL	030	APOL	B	200	75.36	n/a	n/a	8.00	4.0
B BUCK CAPITAL MGMT		ARO+LW[ARO]	SS	2,000	0.55	n/a	n/a	non-brg	100.0
SYSTEMATIC FINANCIAL MGT	035	ARO	B	14,075	16.79	n/a	4-Dec	526.41	3.7
SANDLER O'NEILL ASSET	031	BAC	B	100,000	14.58	15-Oct	17-Nov	5,000.00	5.0
B BUCK CAPITAL MGMT		BBBY	SS	50,000	22.49	n/a	n/a	non-brg	4.0
CADIAN CAPITAL	067	BBBY	B	42,800	23.16	n/a	n/a	1,712.00	4.0
CADIAN CAPITAL	067	BBBY	S	2,800	23.17	n/a	n/a	112.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		BBY	C	50,000	22.52	n/a	27-Jul	non-brg	4.0
BUCK CAPITAL MGMT		BDK	C	20,000	44.04	n/a	n/a	non-brg	4.0
CADIAN CAPITAL	067	BIG	B	150,000	17.84	n/a	2-Dec	6,000.00	4.0
SCOPUS FUND	041	BIG	SS	39,900	16.97	n/a	2-Dec	1,995.00	5.0
THIRD POINT MGMT	044	BIG	C	345,000	16.63	n/a	2-Dec	13,800.00	4.0
BUCK CAPITAL MGMT		BJ	C	50,000	37.68	n/a	27-Jul	non-brg	4.0
BUCK CAPITAL MGMT	001	BKE	B	25,000	22.36	n/a	n/a	1,000.00	4.0
BUCK CAPITAL MGMT		BKE	B	55,270	23.37	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		BKE	B	68,730	23.93	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		BKE	B	81,000	23.61	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		BKS	C	36,000	16.34	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		BKS	C	64,000	16.57	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		BKS	SS	50,000	16.13	n/a	n/a	non-brg	4.0
AVESTA CAP	229	BTU	SS	20,000	20.85	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT		BWA	SS	20,000	21.83	26-Nov	26-Nov	non-brg	4.0
COUGAR TRADING	044	BWA	SS	5,000	20.78	26-Nov	26-Nov	250.00	5.0
TRELLUS PARTNERS LP	028	BWA	SS	10,000	21.92	26-Nov	26-Nov	500.00	5.0
BUCK CAPITAL MGMT		BYD	B	15,000	4.42	29-Oct	29-Oct	non-brg	3.0
BUCK CAPITAL MGMT		CASY	C	20,000	24.14	n/a	n/a	non-brg	2.0
PORTER-ORLIN-FELDMAN	044	CHKP	S	74,500	18.67	n/a	3-Apr	2,235.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	CMG	B	2,000	51.04	23-Oct	23-Oct	100.00	5.0
CR INTRINIC INVESTMENT	044	COH	B	3,300	18.30	8-Oct	22-Oct	165.00	5.0
LISTED ERR	099	COH	B	300	18.57	8-Oct	22-Oct	0.00	0.0
LISTED ERR	099	COH	S	300	18.60	8-Oct	22-Oct	0.00	0.0
ARTX	304	CRZO	B	36,100	14.84	n/a	n/a	1,805.00	5.0
WINSLOW CAPITAL	030	CSCO	B	13,400	15.97	n/a	22-Mar	536.00	4.0
WINSLOW CAPITAL	030	CTSH	B	10,200	17.85	n/a	n/a	408.00	4.0
SANDLER O'NEILL ASSET	031	C	SS	25,000	8.08	15-Sep	24-Nov	750.00	3.0
⌘ BUCK CAPITAL MGMT		DECK	S	110,000	63.16	n/a	n/a	non-brg	1.0
CENTURION GLOBAL MGMT LL	041	DELL	B	18,300	10.31	n/a	n/a	549.00	3.0
PILOT ADV	038	DGX	SS	6,000	45.41	n/a	n/a	240.00	4.0
BUCK CAPITAL MGMT	001	DIN	SS	10,000	12.05	n/a	n/a	400.00	4.0
⌘ BUCK CAPITAL MGMT		DIN	C	16,300	13.21	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		DIN	C	62,000	13.30	n/a	n/a	non-brg	2.5
BENNETT LAWRENCE	045	DNR	S	53,950	8.72	n/a	n/a	2,427.75	4.5
COUGAR TRADING	044	DRI	S	3,000	18.35	2-Dec	2-Dec	150.00	5.0
VISIUM/BALY HOWARD	038	DSW	SS	20,000	10.09	14-Nov	25-Nov	1,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⌘ BUCK CAPITAL MGMT		EBHI	S	8,200	0.91	n/a	n/a	non-brg	1.5
CATAPULT	040	EXP	B	3,900	19.74	n/a	n/a	195.00	5.0
WINSLOW CAPITAL	030	FAST	B	600	33.07	n/a	n/a	24.00	4.0
⌘ BUCK CAPITAL MGMT		FDO+MX[FDO]	SS	2,000	1.42	n/a	n/a	non-brg	300.0
SCOPUS FUND	041	FDO	SS	35,000	23.86	5-Dec	2-Dec	1,750.00	5.0
TRELLUS PARTNERS LP	028	FDO	C	19,000	24.07	5-Dec	2-Dec	950.00	5.0
SYSTEMATIC FINANCIAL MGT	035	FDP	B	30,000	22.96	n/a	n/a	1,125.00	3.8
GRISANTI BROWN & PARTNER	048	FDX	B	36,690	71.11	n/a	n/a	1,834.50	5.0
⌘ BUCK CAPITAL MGMT		FL+LU[FL]	SS	2,000	0.31	n/a	n/a	non-brg	100.0
⌘ BUCK CAPITAL MGMT		FL+LU[FL]	SS	3,000	0.41	n/a	n/a	non-brg	100.0
⌘ BUCK CAPITAL MGMT		FL	S	100,000	7.07	7-Oct	21-Nov	non-brg	1.0
BUCK CAPITAL MGMT	001	GCO	S	100,000	14.65	n/a	10-Jan	4,000.00	4.0
⌘ BUCK CAPITAL MGMT		GCO	S	2,980	14.53	n/a	10-Jan	non-brg	1.0
⌘ BUCK CAPITAL MGMT		GCO	S	37,000	14.51	n/a	10-Jan	non-brg	2.5
WINSLOW CAPITAL	030	GENZ	B	800	62.45	n/a	n/a	32.00	4.0
SIGMA CAPITAL ASSOCIATES	237	GES	S	25,000	13.82	n/a	n/a	1,250.00	5.0
⌘ BUCK CAPITAL MGMT		GIII	S	5,000	7.41	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	GILD	B	1,200	46.65	n/a	n/a	48.00	4.0
ß BUCK CAPITAL MGMT		GIL	S	200,000	14.68	25-Nov	25-Nov	non-brg	1.0
ß BUCK CAPITAL MGMT		GIL	S	359,000	14.55	25-Nov	25-Nov	non-brg	4.0
WINSLOW CAPITAL	030	GOOG	B	200	280.47	n/a	n/a	8.00	4.0
BUCK CAPITAL MGMT	001	GPS	B	150,000	13.25	n/a	2-Dec	6,000.00	4.0
ß BUCK CAPITAL MGMT		GPS	B	100,000	13.19	n/a	2-Dec	non-brg	1.0
CR INTRINIC INVESTMENT	044	GPS	S	50,000	13.73	n/a	2-Dec	2,500.00	5.0
ß BUCK CAPITAL MGMT		GRMN	C	40,000	17.22	n/a	n/a	non-brg	4.0
AELTUS/ING INVESTMENT MGT	215	GR	B	27,840	33.04	23-Oct	18-Nov	974.40	3.5
PORTER-ORLIN-FELDMAN	044	GS	B	30,000	69.95	15-Sep	3-Dec	900.00	3.0
ß BUCK CAPITAL MGMT		GYMB	B	150,000	25.94	7-Nov	2-Dec	non-brg	4.0
ß BUCK CAPITAL MGMT		GYMB	B	43,300	27.09	7-Nov	2-Dec	non-brg	1.0
ß BUCK CAPITAL MGMT		GYMB	B	6,700	27.18	7-Nov	2-Dec	non-brg	2.0
BUCK CAPITAL MGMT	001	HBI	B	100,000	12.75	n/a	n/a	4,000.00	4.0
ß BUCK CAPITAL MGMT		HD	C	180,000	23.90	n/a	27-Jul	non-brg	4.0
ß BUCK CAPITAL MGMT		HOTT	S	45,600	8.24	n/a	4-Dec	non-brg	1.0
ß BUCK CAPITAL MGMT		HOTT	S	7,039	7.72	n/a	4-Dec	non-brg	1.0
ß BUCK CAPITAL MGMT		HOTT	S	741,072	7.86	n/a	4-Dec	non-brg	3.0
ß BUCK CAPITAL MGMT		HOTT	S	86,700	7.67	n/a	4-Dec	non-brg	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KLEINHEINZ CAP PART	031	HRB	B	200,000	20.62	n/a	n/a	10,000.00	5.0
SIGMA CAPITAL ASSOCIATES	237	ICON	SS	25,000	8.84	n/a	n/a	1,250.00	5.0
CUMBERLAND	038	JBHT	SS	15,000	26.77	n/a	n/a	600.00	4.0
BUCK CAPITAL MGMT	001	JCG	B	100,000	11.77	n/a	2-Dec	4,000.00	4.0
B BUCK CAPITAL MGMT		JCG	B	50,000	11.98	n/a	2-Dec	non-brg	4.0
SLS CAPITAL LLC	224	JCG	B	128,289	11.86	n/a	2-Dec	5,131.56	4.0
BUCK CAPITAL MGMT	001	JCP	SS	80,000	20.10	17-Nov	2-Dec	3,200.00	4.0
COUGAR TRADING	044	JCP	SS	15,000	20.51	17-Nov	2-Dec	750.00	5.0
B BUCK CAPITAL MGMT		JOSB	C	55,900	24.22	n/a	n/a	non-brg	1.0
COBALT	041	JPM	B	200,000	31.90	26-Sep	20-Nov	10,000.00	5.0
BUCK CAPITAL MGMT	001	JWN	B	100,000	12.47	14-Nov	2-Dec	4,000.00	4.0
WHITE PINE CAPITAL	030	KEG	B	575	3.89	n/a	20-Nov	17.25	3.0
AVESTA CAP	229	KIM	B	25,000	15.95	n/a	n/a	1,250.00	5.0
CASTLE ARK	031	KSS	B	131,630	34.57	n/a	2-Dec	7,897.80	6.0
B BUCK CAPITAL MGMT		LEG	C	100,000	14.89	n/a	n/a	non-brg	4.0
COUGAR TRADING	044	LM	S	5,000	16.84	29-Oct	3-Dec	250.00	5.0
B BUCK CAPITAL MGMT		LOW	C	150,000	22.73	n/a	27-Jul	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		LPX	B	25,000	1.70	5-Nov	5-Nov	non-brg	2.0
GRANAHAH INV	039	LTD	S	29,400	9.19	18-Nov	2-Dec	882.00	3.0
B BUCK CAPITAL MGMT		MAS	C	20,000	10.43	n/a	n/a	non-brg	4.0
SAXON WOODS ADVISORS	038	MCK	S	200,000	32.98	n/a	n/a	8,000.00	4.0
B BUCK CAPITAL MGMT		MFB	S	10,000	9.43	n/a	n/a	non-brg	3.0
PRINCIPLE CAPITAL	040	MSFT	S	68,500	19.47	n/a	3-Apr	2,055.00	3.0
WINSLOW CAPITAL	030	MSFT	B	8,900	19.78	n/a	3-Apr	356.00	4.0
CR INTRINIC INVESTMENT	044	MYL	SS	25,000	9.55	n/a	2-Dec	1,250.00	5.0
BARCLEYS CAP (OLD LEHM)	041	M	B	25,000	8.23	12-Aug	2-Dec	1,000.00	4.0
B BUCK CAPITAL MGMT		M	B	100,000	8.54	12-Aug	2-Dec	non-brg	3.0
AVESTA CAP	229	NKE	SS	20,000	51.64	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	NKE	SS	50,000	51.99	n/a	n/a	2,000.00	4.0
AELTUS/ING IVESTMENT MGT	215	NOC	B	27,740	40.12	n/a	n/a	970.90	3.5
B BUCK CAPITAL MGMT		NX	B	5,000	7.80	n/a	n/a	non-brg	3.0
WINSLOW CAPITAL	030	ORCL	B	2,000	15.94	n/a	n/a	80.00	4.0
TRELLUS PARTNERS LP	028	PAG	SS	10,000	6.82	n/a	31-Oct	300.00	3.0
PORTER-ORLIN-FELDMAN	044	PCP	S	11,600	53.01	n/a	n/a	348.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SUFFOLK CAPITAL MGMT	040	PG	S	200,000	62.35	10-Oct	25-Nov	8,000.00	4.0
B BUCK CAPITAL MGMT		PLCE	B	60,000	21.63	21-Nov	4-Dec	non-brg	4.0
CRAMER ROSENTHAL/SCOTT	012	PLCE	B	12,500	20.50	21-Nov	4-Dec	500.00	4.0
B BUCK CAPITAL MGMT		PNK	B	10,000	5.87	n/a	n/a	non-brg	3.0
CR INTRINIC INVESTMENT	044	PRGO	SS	4,500	33.30	n/a	n/a	225.00	5.0
WINSLOW CAPITAL	030	QCOM	B	1,700	31.04	n/a	n/a	68.00	4.0
B BUCK CAPITAL MGMT		QZS+AF [JOSB]	C	1,938	1.10	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	RL	B	20,000	46.19	n/a	6-Nov	800.00	4.0
B BUCK CAPITAL MGMT		RNT	B	40,000	24.28	n/a	n/a	non-brg	4.0
WINSLOW CAPITAL	030	SCHW	B	8,200	17.25	n/a	n/a	328.00	4.0
DEMARTINI	065	SDS	S	500	94.96	n/a	n/a	0.00	0.0
NOMURA CAPITAL	045	SGLP	S	43,800	2.95	n/a	n/a	1,314.00	3.0
B BUCK CAPITAL MGMT		SLM	B	25,072	7.09	n/a	10-Nov	non-brg	1.0
PERFORMANCE PART LP #2	041	SLV	B	25,000	9.39	n/a	n/a	750.00	3.0
WHITE PINE CAPITAL	030	SMBL	B	400	5.38	n/a	n/a	20.00	5.0
CATAPULT	040	SON	S	4,381	24.85	n/a	n/a	219.05	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
STRAUSS ASSET MGMT	040	SPN	B	10,000	13.05	n/a	n/a	400.00	4.0
GRANAHAH INV	039	STNR	S	4,500	26.71	n/a	n/a	180.00	4.0
MAGNETAR FINANCIAL	031	STZ	B	25,000	13.11	n/a	n/a	750.00	3.0
PNC/MERCANTILE	028	S	S	18,515	2.58	n/a	n/a	370.30	2.0
WINSLOW CAPITAL	030	TEVA	B	1,200	42.46	20-Oct	2-Dec	48.00	4.0
CATAPULT	040	TFX	S	2,800	46.41	n/a	n/a	140.00	5.0
B BUCK CAPITAL MGMT		TGT	B	100,000	35.33	17-Nov	4-Dec	non-brg	4.0
RBC CAPITAL MARKETS	034	TGT	SS	10,000	33.78	17-Nov	4-Dec	400.00	4.0
SCOPUS FUND	041	TGT	SS	10,000	34.33	17-Nov	4-Dec	500.00	5.0
B BUCK CAPITAL MGMT		THI	C	21,600	24.57	n/a	24-Apr	non-brg	4.0
B BUCK CAPITAL MGMT		TIN	B	20,000	3.22	29-Oct	29-Oct	non-brg	2.0
COUGAR TRADING	044	TJX	SS	10,000	20.01	11-Aug	2-Dec	500.00	5.0
DENVER INST. ADV	046	TJX	S	74,000	19.40	11-Aug	2-Dec	2,960.00	4.0
CATAPULT	040	TRA	B	7,000	12.91	n/a	n/a	350.00	5.0
ROARING BLUE LION MGMT	012	TSCO	SS	7,200	37.89	n/a	n/a	288.00	4.0
COUGAR TRADING	044	TWB	S	7,000	4.20	n/a	2-Dec	280.00	4.0
PNC/MERCANTILE	028	UNH	S	18,255	20.11	n/a	n/a	912.75	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		URQ+LC[URBN]	C	1,000	4.70	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		URQ+LW[URBN]	C	5,000	2.77	n/a	n/a	non-brg	300.0
CATAPULT	040	UTIW	B	5,667	10.33	n/a	n/a	283.35	5.0
LISTED ERR	099	UTIW	B	1,500	11.57	n/a	n/a	0.00	0.0
LISTED ERR	099	UTIW	S	1,500	10.01	n/a	n/a	0.00	0.0
PERFORMANCE PART LP #2	041	UYG	B	20,000	5.38	n/a	n/a	600.00	3.0
BUCK CAPITAL MGMT		VLCM	S	140,000	10.74	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		VLCM	S	20,000	10.65	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT	001	VNO	S	30,000	54.05	n/a	n/a	1,200.00	4.0
PNC/MERCANTILE	028	VOD	S	15,648	18.22	n/a	n/a	782.40	5.0
PNC/MERCANTILE	028	WB	S	15,971	5.46	n/a	n/a	798.55	5.0
BUCK CAPITAL MGMT		WFMI	C	30,000	10.50	n/a	n/a	non-brg	4.0
RBC CAPITAL MARKETS	034	WMT	B	5,000	54.54	10-Oct	2-Dec	200.00	4.0
BUCK CAPITAL MGMT	001	WRC	B	50,000	18.21	7-Nov	7-Nov	2,000.00	4.0
1798 CAPITAL MGMT	040	WSM	SS	100,000	8.44	n/a	n/a	3,000.00	3.0
ASCEND PARTNERS	033	XLP	C	70,000	23.18	n/a	n/a	3,500.00	5.0
BUCK CAPITAL MGMT		XRT	C	1,000,000	18.78	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		XRT	SS	250,000	17.99	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT	001	YUM	SS	20,000	27.66	14-Aug	4-Dec	800.00	4.0
COUGAR TRADING	044	YUM	B	2,000	28.10	14-Aug	4-Dec	100.00	5.0
COUGAR TRADING	044	YUM	SS	5,000	27.27	14-Aug	4-Dec	250.00	5.0
COUGAR TRADING	044	ZQK	S	10,000	1.27	3-Nov	3-Nov	200.00	2.0
TOTAL (Trade Date):								172,282.72	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/03	FORWARD MGMT	033	FCS	S	4,700	3.70	n/a	n/a	235.00 5.0
AO,	12/03	NOMURA CAPITAL	045	HAYZ	S	77,649	0.40	n/a	n/a	1552.98 2.0
AO,	12/03	FORWARD MGMT	033	JBT	B	7,500	7.85	n/a	n/a	375.00 5.0
AO,CRT	12/03	1798 CAPITAL MGMT	040	JPM	S	10,000	28.72	26-Sep	20-Nov	500.00 5.0
AO,CXL	12/03	1798 CAPITAL MGMT	040	JPM	S	10,000	28.72	26-Sep	20-Nov	300.00 3.0
AO,CRT	12/03	CADIAN CAPITAL	067	JWN	B	100,000	10.70	14-Nov	2-Dec	3000.00 3.0
AO,CXL	12/03	CADIAN CAPITAL	067	JWN	B	125,000	10.70	14-Nov	2-Dec	3750.00 3.0
AO,	12/03	CADIAN CAPITAL	067	JWN	B	25,000	10.70	14-Nov	2-Dec	750.00 3.0
AO,	12/03	FORWARD MGMT	033	KSS	S	1,300	32.84	n/a	2-Dec	65.00 5.0
AO,	12/03	DIAMONDBACK CAP MGMT	232	WSM	SS	25,000	7.29	n/a	n/a	1250.00 5.0

TOTAL (AO, CXL, CRT) :**3,677.98**

TOTAL (Trade Date):

172,282.72

TOTAL (AO, CXL, CRT):

3,677.98

TOTAL (RUN DATE) / NFS:**175,960.70**

MRI Securities with Trade Activity on 4-Dec.

NONE

MRI Securities without Trade Activity on 4-Dec.

NONE

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

T-Date = 17%

YTD = 20%

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

BCM Watch List Trades