



Daily Compliance Activity Report

Trade Date: 11/28/2008

Potential ANALYST TRADE Violations: 0

BCM Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	CMG	SS	300	49.70	23-Oct	23-Oct	15.00	5.0
ROSEDALE CAPITAL	046	CMI	S	10,000	25.31	14-Nov	14-Nov	300.00	3.0
MATRIX ASSET ADV.	036	CVX	S	14,000	78.74	n/a	n/a	560.00	4.0
⌘ BUCK CAPITAL MGMT		FDO+XE [FDO]	SS	1,000	0.76	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT	001	FDO	SS	100,000	27.71	23-Jul	7-Nov	4,000.00	4.0
BUCK CAPITAL MGMT	001	FL	S	100,000	6.64	7-Oct	21-Nov	4,000.00	4.0
⌘ BUCK CAPITAL MGMT		JCG	B	25,000	10.07	n/a	26-Nov	non-brg	4.0
⌘ BUCK CAPITAL MGMT		JCG	B	50,000	10.02	n/a	26-Nov	non-brg	3.0
FRONTPOINT/COPIA-ANDREW	031	LNT	SS	12,300	31.20	n/a	n/a	430.50	3.5
DISCIPLINED GROWTH INV.	030	LTD	B	14,300	9.05	18-Nov	20-Nov	715.00	5.0
⌘ Alice Longley		SDS	S	500	56.70	n/a	n/a	0.00	0.0
DEMARTINI	065	SDS	B	500	88.37	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		SUMR	B	20,000	2.58	n/a	n/a	non-brg	1.0
FRONTPOINT/COPIA-ANDREW	031	TEG	SS	24,600	44.33	n/a	n/a	861.00	3.5
⌘ BUCK CAPITAL MGMT		VLCM	S	20,000	10.00	n/a	n/a	non-brg	1.0

TOTAL (Trade Date):

10,881.50

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/26	COLUMBIA PARTNERS	028	DF	B	109,472	13.45	n/a	n/a	4378.88 4.0
AO,	11/26	NOMURA CAPITAL	045	SKRRF	S	84,203	0.01	n/a	n/a	92.63 0.1
AO,CRT	11/26	NOMURA CAPITAL	045	SKRUF	S	5,850	0.53	n/a	n/a	0.00 0.0
AO,CRT	11/26	MAGNETAR FINANCIAL	031	SPY	B	62,300	86.66	n/a	n/a	1869.00 3.0
AO,CXL	11/26	MAGNETAR FINANCIAL	031	SPY	B	62,300	86.66	n/a	n/a	2492.00 4.0

TOTAL (AO, CXL, CRT) :	3,848.51
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TOTAL (Trade Date) :	10,881.50
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TOTAL (RUN DATE) / NFS:	14,730.01
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MRI Securities with Trade Activity on 28-Nov. NONE

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

T-Date = 64%

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