



Daily Compliance Activity Report

Trade Date: 11/04/2008

Potential ANALYST TRADE Violations: 0

BCM Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		AAP	SS	30,000	31.19	n/a	n/a	non-brg	4.0
TRUSTCO/SUNTRUST	040	ABG	S	50,000	3.60	n/a	31-Oct	1,000.00	2.0
WHITE PINE CAPITAL	030	ABT	S	500	55.79	n/a	22-Apr	25.00	5.0
BUCK CAPITAL MGMT		ADS GR	SS	10,000	39.35	n/a	n/a	non-brg	7.9
BAYPOINT CRIT/B COLBURN	033	ADSK	B	60,000	22.40	n/a	n/a	3,000.00	5.0
BUCK CAPITAL MGMT	001	AEO	S	380,000	10.62	n/a	3-Nov	15,200.00	4.0
BUCK CAPITAL MGMT		AEO	S	265,682	10.54	n/a	3-Nov	non-brg	4.0
BUCK CAPITAL MGMT		AEO	S	400,000	10.59	n/a	3-Nov	non-brg	4.0
BUCK CAPITAL MGMT		AEO	S	48,300	10.57	n/a	3-Nov	non-brg	2.0
COUGAR TRADING	044	AEO	S	10,000	10.44	n/a	3-Nov	500.00	5.0
ROSEDALE CAPITAL	046	AEO	B	10,000	10.31	n/a	3-Nov	500.00	5.0
HUNTER GLOBAL INVESTOR	067	AG	B	89,000	31.93	31-Oct	31-Oct	4,450.00	5.0
BUCK CAPITAL MGMT		AIT	C	10,000	19.92	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		ALV	B	3,400	22.93	22-Oct	22-Oct	non-brg	1.0
PILOT ROCK	028	AMR	B	200,000	11.11	n/a	n/a	8,000.00	4.0
LUCHANSKY1	036	APC	B	200	34.56	n/a	4-Nov	0.00	0.0
BUCK CAPITAL MGMT		APNS	S	60,000	0.04	n/a	n/a	non-brg	0.4

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEDDY	035	ARGN	B	2,500	4.33	29-Oct	29-Oct	0.00	0.0
STADIA CAPITAL	035	ARO	SS	17,500	23.59	n/a	3-Nov	700.00	4.0
B BUCK CAPITAL MGMT		AXP	C	239,500	29.29	n/a	30-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		BAC	B	7,500	24.35	15-Oct	21-Oct	non-brg	1.0
DAWSON SANBERG & CO	041	BAC	B	205,400	24.27	15-Oct	21-Oct	10,270.00	5.0
BECK MACK & OLIVER LLC	045	BAM	S	4,000	19.56	n/a	n/a	200.00	5.0
B BUCK CAPITAL MGMT		BBBY	SS	50,000	25.04	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BBY	C	100,000	27.50	n/a	27-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		BHI	S	80,100	35.74	n/a	n/a	non-brg	4.0
RAIL-SPLITTER	031	BIG	B	29,500	24.18	n/a	3-Nov	1,475.00	5.0
RBC CAPITAL MARKETS	034	BJ	B	7,000	34.97	n/a	27-Jul	280.00	4.0
STADIA CAPITAL	035	BJ	SS	25,000	35.22	n/a	27-Jul	1,000.00	4.0
BULL PATH CAPITAL	044	BKC	S	27,500	22.38	27-Oct	3-Nov	1,375.00	5.0
STADIA CAPITAL	035	BKE	SS	6,600	25.71	n/a	n/a	264.00	4.0
APEX CAPITAL MGMT.	091	BRCM	B	30,000	17.49	n/a	n/a	1,200.00	4.0
COLE	077	BZ	B	700	0.93	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DAWSON SANBERG & CO	041	CAL	B	73,700	17.59	n/a	n/a	3,685.00	5.0
⌘ BUCK CAPITAL MGMT		CAM	S	119,700	25.56	n/a	n/a	non-brg	4.0
TRELLUS PARTNERS LP	028	CHD	SS	12,500	60.65	4-Sep	4-Nov	625.00	5.0
LISTED ERR	099	CHD	B	9,000	60.60	4-Sep	4-Nov	0.00	0.0
LISTED ERR	099	CHD	S	9,000	60.60	4-Sep	4-Nov	0.00	0.0
⌘ BUCK CAPITAL MGMT		CHUX	C	6,533	7.63	n/a	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		CIT	B	10,000	6.05	n/a	16-Oct	non-brg	1.0
LEDDY	035	CIT	B	1,500	5.94	n/a	16-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	CLX	B	150,000	62.70	3-Nov	3-Nov	6,000.00	4.0
⌘ BUCK CAPITAL MGMT		CLX	C	50,000	62.29	3-Nov	3-Nov	non-brg	2.0
JP MORGAN VENTURES	046	CLZR	S	60,000	0.45	n/a	n/a	1,200.00	2.0
WHITE PINE CAPITAL	030	CL	S	200	66.29	14-Oct	14-Oct	10.00	5.0
⌘ BUCK CAPITAL MGMT		CMG	SS	20,000	53.02	23-Oct	23-Oct	non-brg	2.0
⌘ BUCK CAPITAL MGMT		CMG	SS	30,000	51.49	23-Oct	23-Oct	non-brg	1.0
ADALY INV MGMT	067	CMI	B	44,900	28.88	4-Nov	4-Nov	2,245.00	5.0
WHITE PINE CAPITAL	030	CMO	S	2,000	10.23	n/a	n/a	100.00	5.0
ROBX	033	COO	B	40,000	16.93	n/a	n/a	1,600.00	4.0
⌘ BUCK CAPITAL MGMT		COST	SS	50,000	54.80	n/a	27-Jul	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WHITE PINE CAPITAL	030	CPB	S	500	38.91	n/a	n/a	25.00	5.0
⌘ BUCK CAPITAL MGMT		CPKI	C	10,000	10.55	30-Oct	30-Oct	non-brg	4.0
⌘ BUCK CAPITAL MGMT		CPKI	C	40,000	10.63	30-Oct	30-Oct	non-brg	4.0
ROBX	033	CRI	S	75,896	21.79	n/a	n/a	3,035.84	4.0
MCCARTAN	028	DE	B	100	41.94	3-Nov	3-Nov	0.00	0.0
⌘ BUCK CAPITAL MGMT		DHI	B	10,000	6.90	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT	001	DIS	SS	20,000	25.74	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	DKS	SS	60,000	16.16	7-Oct	7-Oct	2,400.00	4.0
DISCIPLINED GROWTH INV.	030	ELON	S	40,000	8.51	n/a	n/a	2,000.00	5.0
⌘ BUCK CAPITAL MGMT		EL	C	50,000	36.53	15-Aug	29-Oct	non-brg	4.0
COUGAR TRADING	044	EL	B	10,000	36.39	15-Aug	29-Oct	500.00	5.0
⌘ BUCK CAPITAL MGMT		ETN	S	5,600	45.14	21-Oct	21-Oct	non-brg	4.0
BUCK	015	FHUKK	S	10	0.90	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		FOR	S	100,500	9.00	n/a	3-Oct	non-brg	3.0
GAULT	063	FXP	B	300	76.28	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	F	B	500,000	2.19	8-Oct	4-Nov	10,000.00	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	GES	S	20,000	21.05	n/a	n/a	800.00	4.0
SUTERA	160	GE	S	1,000	20.88	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		GIL+KD[GIL]	C	1,000	5.40	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		GIL+KX[GIL]	C	1,000	3.05	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		GIL+KX[GIL]	C	1,000	3.18	n/a	n/a	non-brg	300.0
RBC CAPITAL MARKETS	034	GILD	B	5,000	47.12	n/a	n/a	200.00	4.0
RBC CAPITAL MARKETS	034	GILD	SS	5,000	47.16	n/a	n/a	200.00	4.0
RBC CAPITAL MARKETS	034	GIL	SS	5,000	25.02	8-Sep	16-Oct	200.00	4.0
BUCK	015	GISKN	B	10	1.10	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	GIS	S	150	67.95	n/a	n/a	7.50	5.0
MAIRS AND POWER INV	030	GLW	B	20,000	11.23	29-Oct	29-Oct	1,000.00	5.0
AMATURO	018	GMO	S	12,000	1.80	n/a	n/a	0.00	0.0
MCCARTAN	028	GR	B	100	39.94	23-Oct	23-Oct	0.00	0.0
STADIA CAPITAL	035	GYMB	SS	17,200	24.31	11-Jul	3-Nov	688.00	4.0
ZOLIDIS	011	HALLD	S	10	2.30	n/a	n/a	0.00	0.0
N STRATTON	014	HEMGF	B	1,000	1.61	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	HME	S	49,400	40.82	n/a	n/a	2,223.00	4.5
⌘ BUCK CAPITAL MGMT		HOTT	B	20,000	6.20	n/a	3-Nov	non-brg	2.5
⌘ BUCK CAPITAL MGMT		HRS	S	44,000	37.11	30-Oct	30-Oct	non-brg	4.0
STELLIAM INV ADV	040	INCY	S	40,000	4.22	n/a	n/a	1,200.00	3.0
HUNTER GLOBAL INVESTOR	067	IR	B	46,900	18.50	n/a	n/a	2,345.00	5.0
BALYASNY ASSET MGMT	044	IVZ	SS	20,000	15.49	27-Oct	4-Nov	1,000.00	5.0
BUCK	015	IZPWZ	S	10	1.20	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	JCP	SS	100,000	23.24	n/a	3-Nov	4,000.00	4.0
⌘ BUCK CAPITAL MGMT		KOG	S	36,100	0.80	n/a	n/a	non-brg	1.0
MS PRINCIPAL STRATEGIES	041	KOG	S	70,450	0.82	n/a	n/a	1,409.00	2.0
J.W. SELIGMAN	041	KSS	S	117,000	34.92	n/a	3-Nov	4,680.00	4.0
WHITE PINE CAPITAL	030	KSS	S	500	34.88	n/a	3-Nov	25.00	5.0
⌘ BUCK CAPITAL MGMT		LL	S	112,209	8.01	n/a	n/a	non-brg	3.0
⌘ BUCK CAPITAL MGMT		LL	S	25,000	7.92	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		LL	S	50,000	8.01	n/a	n/a	non-brg	3.0
LEVIN CAPITAL STRATEGIES	012	LM	S	25,000	20.88	29-Oct	4-Nov	1,000.00	4.0
CATTANI	041	LM	B	100	21.20	29-Oct	4-Nov	0.00	0.0
WHITE PINE CAPITAL	030	LNCE	S	200	20.82	n/a	n/a	10.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	LTD	SS	50,000	12.08	9-Oct	3-Nov	2,000.00	4.0
KAICHER	064	LVS	B	2,000	14.04	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	MAC	B	35,550	30.33	n/a	n/a	1,599.75	4.5
⌘ BUCK CAPITAL MGMT		MER	S	394,400	19.23	n/a	21-Oct	non-brg	4.0
AMATURO	018	MPEL	S	6,000	4.38	n/a	n/a	0.00	0.0
CASTLEROCK	040	MS	B	134,925	18.89	15-Sep	21-Oct	5,397.00	4.0
RBC CAPITAL MARKETS	034	M	SS	40,000	11.62	12-Aug	3-Nov	1,600.00	4.0
MCCARTAN	028	NCI	B	200	17.39	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		NDN+XB[NDN]	SS	1,000	0.65	n/a	n/a	non-brg	100.0
⌘ BUCK CAPITAL MGMT		NDN	SS	100,000	11.14	31-Oct	3-Nov	non-brg	2.0
⌘ BUCK CAPITAL MGMT		OIH	SS	15,000	100.22	n/a	n/a	non-brg	2.0
ADALY INV MGMT	067	PCAR	B	15,300	30.85	3-Oct	22-Oct	765.00	5.0
MCCARTAN	028	PCAR	B	100	30.03	3-Oct	22-Oct	0.00	0.0
⌘ BUCK CAPITAL MGMT		PERY	B	20,000	8.35	n/a	n/a	non-brg	3.0
WHITE PINE CAPITAL	030	PG	S	200	66.12	10-Oct	30-Oct	10.00	5.0
⌘ BUCK CAPITAL MGMT		PKG	S	193,500	16.41	11-Sep	21-Oct	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		PKG	S	20,000	16.47	11-Sep	21-Oct	non-brg	1.0
ß BUCK CAPITAL MGMT		PLCE	B	10,000	32.71	21-Aug	3-Nov	non-brg	4.0
BUCK CAPITAL MGMT	001	PVH	S	50,000	23.36	24-Oct	24-Oct	2,000.00	4.0
ß BUCK CAPITAL MGMT		PVH	S	34,500	23.46	24-Oct	24-Oct	non-brg	1.0
ß BUCK CAPITAL MGMT		PVH	S	62,200	23.37	24-Oct	24-Oct	non-brg	1.0
LEDDY	035	PXD	B	400	28.85	24-Oct	31-Oct	0.00	0.0
ß BUCK CAPITAL MGMT		QIA+LV[ICON]	SS	3,000	0.65	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		REQ+XE[ROST]	SS	2,000	0.86	n/a	n/a	non-brg	100.0
KAICHER	064	RIG	S	500	85.90	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	RL	SS	10,000	49.48	n/a	24-Oct	400.00	4.0
WHITE PINE CAPITAL	030	RNST	S	1,000	20.24	n/a	n/a	50.00	5.0
ß BUCK CAPITAL MGMT		RVI	S	250,000	1.99	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		RYL	B	2,000	18.78	n/a	n/a	non-brg	1.0
AMATURO	018	SDS	B	1,000	78.60	n/a	n/a	0.00	0.0
MCCARTAN	028	SDS	S	100	78.40	n/a	n/a	0.00	0.0
GAULT	063	SDS	B	200	78.59	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SIG LN	SS	20,000	11.58	n/a	n/a	non-brg	2.3
STADIA CAPITAL	035	SKT	S	12,100	35.84	n/a	n/a	484.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATTANI	041	SLB	B	200	51.31	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		SPLS	C	30,000	19.61	n/a	27-Jul	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SPLS	C	70,000	19.73	n/a	27-Jul	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SPTN	SS	20,000	27.54	n/a	n/a	non-brg	2.5
LUCHANSKY1	036	SPY	B	100	99.66	n/a	n/a	0.00	0.0
COUGAR TRADING	044	SSO	S	5,000	34.63	n/a	n/a	250.00	5.0
WHITE PINE CAPITAL	030	STJ	S	1,500	38.26	n/a	n/a	75.00	5.0
WHITE PINE CAPITAL	030	STSA	S	1,000	8.99	n/a	n/a	50.00	5.0
COUGAR TRADING	044	SUP	B	5,000	15.53	17-Oct	20-Oct	250.00	5.0
MILLRACE FUND LP	028	SUP	SS	15,000	15.41	17-Oct	20-Oct	600.00	4.0
SINCLAIR	031	SWGOL	B	30	6.10	n/a	n/a	0.00	0.0
KERN	050	SWNWG	B	20	2.60	n/a	n/a	0.00	0.0
LUCHANSKY1	036	TEX	B	200	17.33	23-Oct	23-Oct	0.00	0.0
⌘ BUCK CAPITAL MGMT		TGT+WG[TGT]	SS	1,500	0.83	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT	001	TGT	SS	50,000	41.90	n/a	3-Nov	2,000.00	4.0
ZOLIDIS	011	TIF	SS	500	25.90	n/a	3-Nov	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	TLB	S	40,120	8.14	7-Aug	4-Nov	1,604.80	4.0
CRAMER ROSENTHAL/SCOTT	012	TMO	B	33,200	42.67	n/a	n/a	1,328.00	4.0
BALYASNY ASSET MGMT	044	TROW	SS	10,000	40.40	19-Sep	4-Nov	500.00	5.0
BEAR STEARNS ASSET MGMT.	033	TWB	SS	17,300	7.89	n/a	3-Nov	692.00	4.0
HUNTER GLOBAL INVESTOR	067	T	S	300,000	29.01	n/a	4-Jan	12,000.00	4.0
Ⓐ BUCK CAPITAL MGMT		URBN	B	30,000	21.66	14-Aug	3-Nov	non-brg	4.0
CUMBERLAND	038	USO	SS	35,000	57.11	n/a	n/a	1,400.00	4.0
Ⓐ BUCK CAPITAL MGMT		UWY+WH[WYNN]	SS	1,000	3.04	n/a	n/a	non-brg	300.0
MCCARTAN	028	UYG	B	200	10.77	n/a	n/a	0.00	0.0
GRISANTI BROWN & PARTNER	048	WAG	B	146,950	25.67	n/a	n/a	7,347.50	5.0
WHITE PINE CAPITAL	030	WAG	S	300	25.64	n/a	n/a	15.00	5.0
Ⓐ BUCK CAPITAL MGMT		WBC	B	5,000	19.11	30-Oct	30-Oct	non-brg	1.0
MCCARTAN	028	WBC	B	100	18.76	30-Oct	30-Oct	0.00	0.0
LUCHANSKY1	036	WBC	B	167	18.76	30-Oct	30-Oct	0.00	0.0
WHITE PINE CAPITAL	030	WDFC	S	600	28.42	n/a	n/a	30.00	5.0
WHITE PINE CAPITAL	030	WDR	S	600	14.89	15-Jul	4-Nov	30.00	5.0
WHITE PINE CAPITAL	030	WINA	S	400	15.27	n/a	n/a	20.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
8 BUCK CAPITAL MGMT		WRC+LG[WRC]	SS	3,000	0.65	n/a	n/a	non-brg	100.0
RBC CAPITAL MARKETS	034	WSM	SS	15,000	9.48	n/a	n/a	600.00	4.0
8 BUCK CAPITAL MGMT		WYNN	SS	100,000	50.45	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT	001	YUM	SS	30,000	30.35	14-Aug	20-Oct	1,200.00	4.0
ZOLIDIS	011	ZQK	B	10,000	2.80	3-Nov	3-Nov	0.00	0.0
TOTAL (Trade Date):							148,950.39		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	11/03	CASEY CAPITAL	067	AN	SS	20,000	6.63	15-Oct	20-Oct	800.00 4.0
AO,CXL	11/03	CASEY CAPITAL	067	AN	SS	20,000	6.63	15-Oct	20-Oct	1000.00 5.0
AO,CRT	11/03	APEX CAPITAL MGMT.	091	ANF	S	60,100	28.16	7-Aug	3-Nov	2404.00 4.0
AO,CXL	11/03	APEX CAPITAL MGMT.	091	ANF	S	60,100	28.16	7-Aug	3-Nov	2404.00 4.0
AO,	11/03	BAIRD INVESTMENT	031	CHRW	B	2,550	53.02	n/a	n/a	127.50 5.0
AO,CRT	10/30	BANK OF NEW YORK	046	WFR	S	315,815	15.56	n/a	n/a	15790.75 5.0
AO,CXL	10/30	BANK OF NEW YORK	046	WFR	S	315,815	15.56	n/a	n/a	15790.75 5.0
TOTAL (AO, CXL, CRT) :										-72.50

TOTAL (Trade Date):	148,950.39
TOTAL (AO, CXL, CRT):	-72.50

TOTAL (RUN DATE) / NFS:	148,877.89
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MRI Securities with Trade Activity on 4-Nov. CMI

MRI Securities without Trade Activity on 4-Nov. ADM, ENR, UHS
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BRG comm. as a % of BCM Total Comm. paid.

T-Date = 22%

YTD = 19%

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