

Daily Compliance Activity Report Trade Date: 09/12/2008

POTENTIAL ANALYST TRADE VIOLATIONS: 0

	1 00					FU.	I LIN I IAL F	MALISI	I KADE VIO	LATIONS: U
	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
	TOKIO MARINE ASSET MGMT	045	AEE	В	51,900	40.25	n/a	n/a	2,076.00	4.0
	JMP ASSET MGMT	210	AEO	В	6,500	16.49	n/a	5-Sep	325.00	5.0
	METROPOLITAN CAPITAL	044	AEO	S	24,900	16.55	n/a	5-Sep	1,245.00	5.0
	BUCK	015	AIGJD	S	10	1.73	n/a	n/a	0.00	0.0
	COUGAR TRADING	044	ANF	В	5,000	48.99	7-Aug	5-Sep	250.00	5.0
	COUGAR TRADING	044	ANF	S	5,000	48.48	7-Aug	5-Sep	250.00	5.0
a	BUCK CAPITAL MGMT		ANN+XX	SS	2,000	1.40	n/a	n/a	non-brg	300.0
ß	BUCK CAPITAL MGMT		ARGN	S	100	7.56	3-Sep	3-Sep	non-brg	1.0
	LEDDY	035	ARGN	S	1,000	7.97	3-Sep	3-Sep	0.00	0.0
	COUGAR TRADING	044	ARO	SS	5,000	34.67	28-Apr	5-Sep	250.00	5.0
a	BUCK CAPITAL MGMT		AVB	SS	10,100	98.76	n/a	n/a	non-brg	4.0
	BUCK	015	BAC	В	1,500	34.16	n/a	15-Aug	0.00	0.0
	FARALLON CAP MGMT	040	BIG	В	59,900	32.89	29-May	5-Sep	2,396.00	4.0
	WHEELER	800	BQI	В	700	2.90	n/a	n/a	0.00	0.0
a	BUCK CAPITAL MGMT		BRE	SS	21,300	46.62	n/a	n/a	non-brg	4.0
	ROBX	302	BTU	S	25,000	53.64	n/a	n/a	1,000.00	4.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.	
	WEISS PECK	040	BWS	В	17 , 900	15.89	n/a	n/a	895.00	5.0	
ß	BUCK CAPITAL MGMT		BXP	SS	9,800	101.75	n/a	n/a	non-brg	4.0	
	STRONG/MARK GRONET	030	CBI	В	15,165	25.69	n/a	n/a	606.60	4.0	
	STRONG/WELL HOWARD	038	CBI	В	1,400	25.69	n/a	n/a	56.00	4.0	
ß	BUCK CAPITAL MGMT		CBL	SS	46,200	21.59	n/a	n/a	non-brg	4.0	
	NEUBERGER BERMAN	036	CBL	В	35,700	21.70	n/a	n/a	1,606.50	4.5	
	BALYASNY ASSET MGMT	044	CCK	В	25 , 000	25.63	n/a	n/a	1,250.00	5.0	
	CSFB GLOBAL PROPRIETARY	041	CE	В	10,000	36.85	n/a	n/a	500.00	5.0	
	WHEELER	800	СНР	В	10,000	5.75	n/a	n/a	0.00	0.0	
	MS PRINCIPAL STRATEGIES	041	CLMS	SS	4,700	18.42	13-Aug	12-Sep	235.00	5.0	
	JP MORGAN VENTURES	046	CMCSA	В	25 , 000	21.77	n/a	4-Jan	1,250.00	5.0	
	COUGAR TRADING	044	CMG	В	4,000	57.83	12-Sep	12-Sep	200.00	5.0	
	IRIDIAN ASSET MGMT.	036	CNX	S	7 , 530	57.16	n/a	n/a	376.50	5.0	
ß	BUCK CAPITAL MGMT		COLM	С	1,300	41.74	n/a	n/a	non-brg	1.0	
ß	BUCK CAPITAL MGMT		CPT	SS	20,600	48.50	n/a	n/a	non-brg	4.0	
	BUCK CAPITAL MGMT	001	CRI	В	20,000	19.52	n/a	n/a	800.00	4.0	

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
ß	BUCK CAPITAL MGMT		CUZ	SS	41,400	24.01	n/a	n/a	non-brg	4.0
	GOLDMAN SACHS ASSET MGMT	044	CVC	S	350,000	29.82	n/a	4-Jan	7,000.00	2.0
ß	BUCK CAPITAL MGMT		DDR	SS	28,000	34.86	n/a	n/a	non-brg	4.0
	JP MORGAN VENTURES	046	DIN	В	25,000	18.03	n/a	n/a	1,250.00	5.0
ß	BUCK CAPITAL MGMT		DLTR	С	50,000	39.79	n/a	5-Sep	non-brg	4.0
	HOOVER INV. MGMT	033	DLTR	S	64,200	39.75	n/a	5-Sep	3,210.00	5.0
ß	BUCK CAPITAL MGMT		DRE	SS	40,000	24.54	n/a	n/a	non-brg	4.0
	SOLARIS INV MGMT	029	EL	В	12,000	52.93	15-Aug	4-Sep	600.00	5.0
	GAULT	063	EXLP	В	1,200	20.19	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		FCE/A	SS	25,000	31.22	n/a	n/a	non-brg	4.0
	LEDDY	035	FIG	S	4,500	9.55	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		FRT	SS	13,000	78.68	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		FUQI	S	30,000	10.06	n/a	n/a	non-brg	2.5
ß	BUCK CAPITAL MGMT		FUQI	S	53,684	9.51	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		FUQI	S	800	9.62	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		GIL	В	10,000	24.37	8-Sep	8-Sep	non-brg	4.0
	WEISS PECK	040	GIL	S	29,800	24.32	8-Sep	8-Sep	1,490.00	5.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
	HEALY CIRCLE	044	GM	В	25 , 000	12.06	4-Aug	4-Sep	1,250.00	5.0
ß	BUCK CAPITAL MGMT		GPS+XW	SS	1,000	0.92	n/a	n/a	non-brg	100.0
ß	BUCK CAPITAL MGMT		GPS+XW	SS	1,500	0.90	n/a	n/a	non-brg	100.0
ß	BUCK CAPITAL MGMT		GRT	SS	45,000	10.61	n/a	n/a	non-brg	4.0
	PAULSON & CO INC	041	GS	SS	225,000	157.42	12-Aug	12-Sep	6,750.00	3.0
	COUGAR TRADING	044	GYMB	В	10,000	40.42	11-Jul	5-Sep	500.00	5.0
	COUGAR TRADING	044	GYMB	S	5,000	41.17	11-Jul	5-Sep	250.00	5.0
	ROTHSCHILD ASSET	040	HCN	В	18,908	48.68	n/a	n/a	850.89	4.5
	BUCK CAPITAL MGMT	001	нот	SS	20,000	37.84	n/a	n/a	800.00	4.0
	FARALLON CAP MGMT	040	HSP	S	500	39.56	n/a	22-Apr	20.00	4.0
	MAGNETAR FINANCIAL	031	HUN	S	80,000	13.08	n/a	n/a	2,400.00	3.0
ß	BUCK CAPITAL MGMT		ICON	В	10,000	12.11	n/a	n/a	non-brg	4.0
	CSFB GLOBAL PROPRIETARY	041	IP	S	10,000	30.39	11-Sep	11-Sep	500.00	5.0
	MILLENIUM KOZLOW	028	IP	S	20,000	30.29	11-Sep	11-Sep	1,000.00	5.0
	LEDDY	035	IVZ	S	1,700	25.02	4-Aug	10-Sep	0.00	0.0
ß	BUCK CAPITAL MGMT		IYR	SS	20,000	64.66	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		IYR	SS	32,000	64.13	n/a	n/a	non-brg	2.0

Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.
BUCK CAPITAL MGMT	001	JCG	В		30.31	n/a	27-Aug		4.0
JMP ASSET MGMT	210	JCG	SS	400	30.37	n/a	27-Aug	20.00	5.0
BUCK CADITAL MCMT	001	TCD	B	10 000	41 38	n/a	5-Sen	400 00	4.0
BOOK CAPITAL MONT	001	001	-	10,000	41.50	11/ 4	3 bep	400.00	4.0
BUCK CAPITAL MGMT		JNY+WC	SS	1,000	0.50	n/a	n/a	non-brg 1	100.0
BUCK CAPITAL MGMT		JNY+WW	SS	1,000	1.15	n/a	n/a	non-brg 3	300.0
BUCK CAPITAL MGMT	001	JNY	SS	40,000	19.75	n/a	30-Jul	1,600.00	4.0
			_	10 500	00.00	,	,		4.0
BUCK CAPITAL MGMT		JOSB	S	12,500	29.82	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		KIM	SS	26,000	38.24	n/a	n/a	non-bra	4.0
				,,		, -	,		
GAULT	063	КОУАН	В	20	2.15	n/a	n/a	0.00	0.0
COUGAR TRADING	044	KSS	SS	5,000	51.06	n/a	5-Sep	250.00	5.0
GALT INVESTMENT	041	KSS	В	20,000	50.85	n/a	5-Sep	1,000.00	5.0
SOLARIS INV MGMT	029	K	В	11,400	56.13	n/a	n/a	570.00	5.0
	015		_	1 000	11 45	,	,	0.00	
BUCK	015	LEHPKL	В	1,800	11.45	n/a	n/a	0.00	0.0
WHEELER	008	LEH	В	15.000	3 80	11-Sep	11-Sep	0.00	0.0
			_	13,000	3.00	11 50p	11 5CP	0.00	0.0
FARALLON CAP MGMT	040	LEN	В	215,000	14.56	n/a	n/a	6,450.00	3.0
LAGRANGE CAP ADV	048	LF	SS	10,000	9.24	n/a	n/a	500.00	5.0
	BUCK CAPITAL MGMT JMP ASSET MGMT BUCK CAPITAL MGMT CAPITAL MGMT COUGAR TRADING GALT INVESTMENT SOLARIS INV MGMT BUCK WHEELER FARALLON CAP MGMT	BUCK CAPITAL MGMT 210 BUCK CAPITAL MGMT 001 CAULT 063 COUGAR TRADING 044 GALT INVESTMENT 041 SOLARIS INV MGMT 029 BUCK 015 WHEELER 008 FARALLON CAP MGMT 040	BUCK CAPITAL MGMT 210 JCG JMP ASSET MGMT 210 JCG BUCK CAPITAL MGMT 001 JCP BUCK CAPITAL MGMT JNY+WC BUCK CAPITAL MGMT 001 JNY BUCK CAPITAL MGMT JOSB BUCK CAPITAL MGMT KIM GAULT 063 KOYAH COUGAR TRADING 044 KSS GALT INVESTMENT 041 KSS SOLARIS INV MGMT 029 K BUCK 015 LEHPRL WHEELER 008 LEH FARALLON CAP MGMT 040 LEN	BUCK CAPITAL MGMT 210 JCG SS BUCK CAPITAL MGMT 001 JCP B BUCK CAPITAL MGMT JNY+WC SS BUCK CAPITAL MGMT JNY+WW SS BUCK CAPITAL MGMT JNY SS BUCK CAPITAL MGMT JOSB S BUCK CAPITAL MGMT JOSB S BUCK CAPITAL MGMT KIM SS BUCK CAPITAL MGMT KIM SS GAULT 063 KOYAH B COUGAR TRADING 044 KSS SS GALT INVESTMENT 041 KSS B SOLARIS INV MGMT 029 K B BUCK 015 LEHPRL B WHEELER 008 LEH B FARALLON CAP MGMT 040 LEN B	BUCK CAPITAL MGMT 210 JCG B 220,000 BUCK CAPITAL MGMT 001 JCP B 10,000 BUCK CAPITAL MGMT JNY+WC SS 1,000 BUCK CAPITAL MGMT JNY+WW SS 1,000 BUCK CAPITAL MGMT JNY SS 40,000 BUCK CAPITAL MGMT JOSB S 12,500 BUCK CAPITAL MGMT KIM SS 26,000 GAULT 063 KOYAH B 20 COUGAR TRADING 044 KSS SS 5,000 GALT INVESTMENT 041 KSS B 20,000 SOLARIS INV MGMT 029 K B 11,400 BUCK 015 LEHPRL B 1,800 WHEELER 008 LEH B 15,000	BUCK CAPITAL MGMT 210 JCG B 220,000 30.31 JMP ASSET MGMT 210 JCG SS 400 30.37 BUCK CAPITAL MGMT 001 JCP B 10,000 41.38 BUCK CAPITAL MGMT JNY+WC SS 1,000 0.50 BUCK CAPITAL MGMT JNY+WW SS 1,000 1.15 BUCK CAPITAL MGMT JNY SS 40,000 19.75 BUCK CAPITAL MGMT JOSB S 12,500 29.82 BUCK CAPITAL MGMT JOSB S 12,500 29.82 BUCK CAPITAL MGMT KIM SS 26,000 38.24 GAULT 063 KOYAH B 20 2.15 COUGAR TRADING 044 KSS SS 5,000 51.06 GALT INVESTMENT 041 KSS B 20,000 50.85 SOLARIS INV MGMT 029 K B 11,400 56.13 BUCK 015 LEHPRL B 1,800 11.45 WHEELER 008 LEH B 15,000 3.80 FARALLON CAP MGMT 040 LEN B 215,000 14.56	BUCK CAPITAL MGMT 210 JCG B 320,000 30.31 n/a JMP ASSET MGMT 210 JCF B 10,000 41.38 n/a BUCK CAPITAL MGMT 001 JCP B 10,000 41.38 n/a BUCK CAPITAL MGMT JNY+WC SS 1,000 0.50 n/a BUCK CAPITAL MGMT JNY+WW SS 1,000 1.15 n/a BUCK CAPITAL MGMT 001 JNY SS 40,000 19.75 n/a BUCK CAPITAL MGMT JOSB S 12,500 29.82 n/a BUCK CAPITAL MGMT KIM SS 26,000 38.24 n/a BUCK CAPITAL MGMT 8 20,000 50.85 n/a COUGAR TRADING 044 KSS SS 5,000 51.06 n/a GALT INVESTMENT 041 KSS B 20,000 50.85 n/a SOLARIS INV MGMT 029 K B 11,400 56.13 n/a BUCK 015 LEHPRL B 1,800 11.45 n/a WHEELER 008 LEH B 15,000 3.80 11-Sep FARALLON CAP MGMT 040 LEN B 215,000 14.56 n/a	BUCK CAPITAL MGMT 210 JCG B 220,000 30.31 n/a 27-Aug JMP ASSET MGMT 210 JCG SS 400 30.37 n/a 27-Aug BUCK CAPITAL MGMT 001 JCP B 10,000 41.38 n/a 5-Sep BUCK CAPITAL MGMT JNY+WC SS 1,000 0.50 n/a n/a BUCK CAPITAL MGMT JNY+WW SS 1,000 1.15 n/a n/a BUCK CAPITAL MGMT 001 JNY SS 40,000 19.75 n/a 30-Jul BUCK CAPITAL MGMT JOSB S 12,500 29.82 n/a n/a BUCK CAPITAL MGMT SS 26,000 38.24 n/a n/a BUCK CAPITAL MGMT SS 5,000 51.06 n/a 5-Sep GAULT 063 KOYAH B 20 2.15 n/a n/a COUGAR TRADING 044 KSS SS 5,000 51.06 n/a 5-Sep GALT INVESTMENT 041 KSS B 20,000 50.85 n/a 5-Sep SOLARIS INV MGMT 029 K B 11,400 56.13 n/a n/a BUCK 015 LEHPRL B 1,800 11.45 n/a n/a WHEELER 008 LEH B 15,000 3.80 11-Sep 11-Sep FARALLON CAP MGMT 040 LEN B 215,000 14.56 n/a n/a	BUCK CAPITAL MGMT 210 JCG B 220,000 30.31 n/a 27-Aug 8,800.00 JMP ASSET MGMT 210 JCG SS 400 30.37 n/a 27-Aug 20.00 BUCK CAPITAL MGMT 001 JCP B 10,000 41.38 n/a 5-Sep 400.00 BUCK CAPITAL MGMT JNY+WC SS 1,000 0.50 n/a n/a non-brg 3 BUCK CAPITAL MGMT JNY+WW SS 1,000 1.15 n/a n/a non-brg 3 BUCK CAPITAL MGMT 001 JNY SS 40,000 19.75 n/a 30-Jul 1,600.00 BUCK CAPITAL MGMT JOSB S 12,500 29.82 n/a n/a non-brg 3 BUCK CAPITAL MGMT WIM SS 26,000 38.24 n/a n/a non-brg 3 GAULT 063 KOYAH B 20 2.15 n/a n/a non-brg 3 COUGAR TRADING 044 KSS SS 5,000 51.06 n/a 5-Sep 250.00 GALT INVESTMENT 041 KSS B 20,000 50.85 n/a 5-Sep 1,000.00 SOLARIS INV MGMT 029 K B 11,400 56.13 n/a n/a 5-Sep 1,000.00 BUCK CAPITAL MGMT 029 K B 11,400 56.13 n/a n/a 5-Sep 1,000.00 BUCK 015 LEHPRL B 1,800 11.45 n/a n/a 0.00 WHEELER 088 LEH B 15,000 3.80 11-Sep 11-Sep 0.00 FARALLON CAP MGMT 040 LEN B 215,000 14.56 n/a 6,450.00

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	\$/Shr.
ß	BUCK CAPITAL MGMT		LL	В	4,600	14.27	n/a	n/a	non-brg	1.0
	CSFB GLOBAL PROPRIETARY	041	LPX	В	10,000	11.20	n/a	11-Sep	500.00	5.0
ß	BUCK CAPITAL MGMT		MAC	SS	15,000	65.14	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		MBFG IM	S	50,000	21.22	n/a	n/a	non-brg	4.2
	BALYASNY ASSET MGMT	044	MCD	SS	25 , 000	64.78	9-Sep	9-Sep	1,250.00	5.0
	SOLARIS INV MGMT	029	MCK	В	11,100	57.40	n/a	n/a	555.00	5.0
	KAICHER	064	MDR	S	1,000	31.62	n/a	n/a	0.00	0.0
	SANDLER O'NEILL ASSET	031	MER	SS	50,000	18.51	24-Jun	15-Aug	2,500.00	5.0
	BUCK CAPITAL MGMT	001	MFB	В	20,000	14.96	n/a	n/a	800.00	4.0
	MAGNETAR FINANCIAL	031	MGG	В	23,000	19.50	n/a	n/a	690.00	3.0
	SOLARIS INV MGMT	029	MHP	В	14,400	43.61	n/a	n/a	720.00	5.0
	HIGHBRIDGE CAPITAL	038	МОН	В	16,000	32.18	n/a	n/a	800.00	5.0
	BRIGHTPOINT CAP	067	MOS	С	50,000	91.03	n/a	n/a	2,000.00	4.0
	HIGHBRIDGE/MS OLDS	041	MOS	В	20,000	91.21	n/a	n/a	800.00	4.0
	TRUST CO/COWEN/CALF.	040	МОТ	В	656,360	8.25	n/a	n/a	26,254.40	4.0
	BUCK CAPITAL MGMT	001	MSM	S	36,000	49.91	n/a	n/a	1,440.00	4.0

	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
	GALLEON MGMT LP	033	MTB	SS	S 10,000	75.94	n/a	n/a	500.00	5.0
ß	BUCK CAPITAL MGMT		MVRX	С	80,000	149.95	n/a	n/a	non-brg	15.0
	COUGAR TRADING	044	М	В	20,000	20.82	12-Aug	29-Aug	1,000.00	5.0
	COUGAR TRADING	044	М	S	20,000	20.62	12-Aug	29-Aug	1,000.00	5.0
	EATON VANCE MGMT	039	NOV	В	252,232	57.86	n/a	n/a	7,566.96	3.0
	IRIDIAN ASSET MGMT.	036	NOV	S	7,490	57.53	n/a	n/a	374.50	5.0
	JP MORGAN VENTURES	046	NWL	S	20,000	20.10	n/a	n/a	1,000.00	5.0
	NOMURA CAPITAL	045	NYT	SS	4,000	15.75	n/a	n/a	200.00	5.0
a	BUCK CAPITAL MGMT		OIH	SS	20,000	163.36	n/a	n/a	non-brg	1.0
	MAGNETAR FINANCIAL	031	PAA	В	30,000	44.56	n/a	n/a	900.00	3.0
	JMP ASSET MGMT	210	PBG	В	1,400	32.40	n/a	n/a	70.00	5.0
ß	BUCK CAPITAL MGMT		PEI	SS	25,000	20.90	n/a	n/a	non-brg	4.0
	S.A.C. CAPITAL MGMT.	044	PFE	В	100,000	18.44	n/a	31-Mar	5,000.00	5.0
	MILLENIUM KOZLOW	028	PKG	В	10,000	25.80	11-Sep	11-Sep	500.00	5.0
	JP MORGAN VENTURES	046	PNRA	С	25,000	48.39	4-Sep	4-Sep	1,250.00	5.0
	BASIX	033	PSS	В	40,000	16.92	n/a	n/a	1,600.00	4.0

	Account	RR #	Symbol	B/	s	Shares	Price	MRI	Research	Comm	.¢/Shr.
	BUCK CAPITAL MGMT	001	PSS	В		20,000	17.13	n/a	n/a	800.00	4.0
ß	BUCK CAPITAL MGMT		PSUN		s	312,200	6.73	n/a	5-Sep	non-brg	4.0
	COUGAR TRADING	044	PSUN	В		5,000	6.70	n/a	5-Sep	200.00	4.0
ß	BUCK CAPITAL MGMT		QIA+KV		SS	1,000	0.96	n/a	n/a	non-brg	300.0
ß	BUCK CAPITAL MGMT		REG		SS	16,000	63.98	n/a	n/a	non-brg	4.0
	BUCK CAPITAL MGMT	001	RL	В		20,000	73.03	n/a	28-Aug	800.00	4.0
	IRIDIAN ASSET MGMT.	036	ROC	В		31,670	32.97	n/a	n/a	1,583.50	5.0
	ZOLIDIS	011	SHOEQ	С		200	0.07	n/a	n/a	0.00	0.0
	MAGNETAR FINANCIAL	031	SPY	В		160,000	124.66	n/a	n/a	4,800.00	3.0
	BUCK	015	SPY	В		300	124.62	n/a	n/a	0.00	0.0
	TOKIO MARINE ASSET MGMT	045	SRE		S	35 , 700	58.55	n/a	n/a	1,428.00	4.0
	CSFB GLOBAL PROPRIETARY	041	SSCC	В		10,000	6.80	30-Jul	11-Sep	500.00	5.0
	CSFB GLOBAL PROPRIETARY	041	SSCC		S	50,000	6.59	30-Jul	11-Sep	2,500.00	5.0
	THE JAY GOLDMAN	034	SSI	В		50,000	14.92	n/a	5-Sep	2,000.00	4.0
	COUGAR TRADING	044	SSO	В		5,000	57.59	n/a	n/a	250.00	5.0
	JP MORGAN VENTURES	046	STE	С		20,000	37.14	n/a	22-Apr	1,000.00	5.0
ß	BUCK CAPITAL MGMT		SUMR	В		7,800	4.78	n/a	n/a	non-brg	2.5

	Account	RR #	Symbol	в/	s	Shares	Price	MRI	Research	Comm.	¢/Shr.
ß	BUCK CAPITAL MGMT		TCO		SS	20,000	49.75	n/a	n/a	non-brg	4.0
	MAGNETAR FINANCIAL	031	TEVA	В		50,000	46.68	n/a	9-Sep	1,500.00	3.0
	BALYASNY ASSET MGMT	044	TGT		S	25,000	57.20	n/a	5-Sep	1,250.00	5.0
	COUGAR TRADING	044	TGT	В		5,000	56.80	n/a	5-Sep	250.00	5.0
	CSFB GLOBAL PROPRIETARY	041	TIN	В		10,000	18.81	11-Sep	11-Sep	500.00	5.0
	LEDDY	035	TIN		S	1,700	18.55	11-Sep	11-Sep	0.00	0.0
a	BUCK CAPITAL MGMT		UDR		SS	42,500	23.48	n/a	n/a	non-brg	4.0
	CSFB GLOBAL PROPRIETARY	041	UFS	В		50,000	5.40	n/a	n/a	2,500.00	5.0
	HIGHBRIDGE CAPITAL	038	UNH	В		6,000	29.37	n/a	n/a	300.00	5.0
ß	BUCK CAPITAL MGMT		vc		s	400	3.14	n/a	31-Jul	non-brg	1.0
	TRELLUS PARTNERS LP	028	VC		S	22,000	3.37	n/a	31-Jul	660.00	3.0
	FINANCIAL STOCK LP	028	WB	В		100,000	14.27	n/a	n/a	4,000.00	4.0
	GALLEON MGMT LP	033	WB		SS	60,000	14.02	n/a	n/a	3,000.00	5.0
	AVESTA CAP	229	WMT		S	25 , 000	62.04	8-Aug	5-Sep	1,250.00	5.0
	COUGAR TRADING	044	WRC		SS	5,000	51.02	8-Aug	28-Aug	250.00	5.0
ß	BUCK CAPITAL MGMT		WRI		SS	30,000	33.10	n/a	n/a	non-brg	4.0
	НАҮМ	031	XRT		SS	100,000	33.01	n/a	n/a	3,000.00	3.0

Account	RR #	Symbol	B/S	Shares	Shares Price		Research	Comm.¢/Shr.
KORMAN	003	YTEC	S	10,000	10.56	n/a	n/a	0.00 0.0
COUGAR TRADING	044	YUM	В	5,000	38.20	14-Aug	14-Aug	250.00 5.0
JMP ASSET MGMT	210	ZQK	В	500	7.05	27-Aug	5-Sep	20.00 4.0

TOTAL (Trade Date): 156,890.85

Cancel/Corrects and As-Of Trades

Туре	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,	09/11	ROTHSCHILD ASSET	040	HRL	S	29,500	36.37	n/a	n/a	1327.50	4.5
AO, CRT	09/11	NATIONAL BK OF CAN	031	LEH	S	125,000	4.24	11-Sep	11-Sep	3750.00	3.0
AO,CXL	09/11	NATIONAL BK OF CAN	031	LEH	S	125,000	4.24	11-Sep	11-Sep	5000.00	4.0
AO,CXL	09/11	HIGHBRIDGE CAPITAL	038	МОН	В	18,000	31.95	n/a	n/a	900.00	5.0
AO,CRT	09/11	HIGHBRIDGE CAPITAL	038	MOH	В	18,000	31.95	n/a	n/a	900.00	5.0
AO, CRT	09/11	STRAUSS ASSET MGMT	040	PDE	В	10,000	33.93	n/a	n/a	400.00	4.0
AO,CXL	09/11	STRAUSS ASSET MGMT	040	PDE	В	10,000	33.93	n/a	n/a	500.00	5.0
AO,CXL	09/11	HIGHBRIDGE CAPITAL	038	UNH	В	11,000	29.68	n/a	n/a	550.00	5.0
AO,CRT	09/11	HIGHBRIDGE CAPITAL	038	UNH	В	11,000	29.68	n/a	n/a	550.00	5.0
TOTAL	(AO,	CXL, CRT):								-22.50	

TOTAL (RUN DATE) / NFS:	156,868.35
TOTAL (AO, CXL, CRT):	-22.50
TOTAL (Trade Date):	156,890.85

MRI Securities with Trade Activity on 12-Sep.

MRI Securities without Trade Activity on 12-Sep. NONE

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

T-Date = 20%

YTD = 18%

Legend:

O: 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