



Daily Compliance Activity Report

Trade Date: 08/11/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	ADM	B	10,000	28.51	1-Jun	4-Aug	400.00	4.0
BUCK CAPITAL MGMT	001	AEO	S	20,000	15.22	25-Jun	7-Aug	800.00	4.0
BUCK CAPITAL MGMT	001	ANF	S	80,000	31.60	3-Jun	7-Aug	3,200.00	4.0
B BUCK CAPITAL MGMT		ANF	S	20,000	31.74	3-Jun	7-Aug	non-brg	4.0
HOLLIS CAPITAL	033	AN	B	5,000	19.12	3-Aug	5-Aug	250.00	5.0
BUCK CAPITAL MGMT	001	ARO	S	10,000	36.10	n/a	7-Aug	400.00	4.0
f KEVIN MICHAEL O'GORM	FID	AUTH	S	2000	2.09	n/a	n/a	0.00	0.0
MORRISON/TLB/BAYPOINT	040	AVP	S	10,000	31.80	3-Aug	3-Aug	300.00	3.0
f FRANCIS MICHAEL MCCA	FID	AXL	B	1000	3.13	n/a	10-Aug	0.00	0.0
f JOHN FRANCIS MCERLEA	FID	AXL	S	2000	3.11	n/a	10-Aug	0.00	0.0
f KAREN F LEDDY	FID	AXL	B	3600	3.15	n/a	10-Aug	0.00	0.0
LAGRANGE CAP ADV	048	AXL	B	60,000	3.45	n/a	10-Aug	1,800.00	3.0
f MARC PAUL LUCHANSKY	FID	AXL	B	1000	3.69	n/a	10-Aug	0.00	0.0
OZ MGMT	040	AXL	B	200,000	3.74	n/a	10-Aug	6,000.00	3.0
SLS CAPITAL LLC	224	AXL	B	25,600	3.19	n/a	10-Aug	640.00	2.5
TRELLUS PARTNERS LP	028	AXL	B	100,000	3.67	n/a	10-Aug	3,000.00	3.0
FINANCIAL STOCK LP	028	BAC	S	64,595	16.20	11-May	20-Jul	2,583.80	4.0
DIAMONDBACK CAP MGMT	232	BA	C	15,000	45.24	n/a	n/a	750.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	BBY	B	10,000	36.77	n/a	27-Jul	400.00	4.0
B BUCK CAPITAL MGMT		BK	B	21,000	28.30	11-May	23-Jul	non-brg	1.0
BRIGADE CAPITAL MGMT	029	BONT	B	9,018	4.08	n/a	6-Feb	270.54	3.0
MISSOURI VALLEY PART	046	BXP	B	23,945	59.45	n/a	n/a	1,197.25	5.0
NEUBERGER BERMAN	036	CBI	S	174,600	14.24	n/a	n/a	7,857.00	4.5
WELLS/STRONG LEDDY	035	CBK	B	4,100	7.92	n/a	30-Jan	123.00	3.0
f JONATHAN RICHARD HAR	FID	CHCG	S	3590	0.82	n/a	n/a	0.00	0.0
JP MORGAN VENTURES	046	CHS	B	20,000	11.83	n/a	30-Jan	1,000.00	5.0
BUCK CAPITAL MGMT	001	COH	S	21,300	29.56	n/a	29-Jul	852.00	4.0
RBC CAPITAL MARKETS	040	COST	SS	10,000	48.97	n/a	27-Jul	400.00	4.0
BENCHMARK	028	CTAS	S	15,000	26.14	n/a	n/a	600.00	4.0
f FRANCIS MICHAEL MCCA	FID	CVGI	S	2500	3.87	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	CVGI	S	2750	3.73	n/a	n/a	0.00	0.0
f STEFFANIE CARMELA CA	FID	CVGI	S	615	3.63	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		DECK	S	10,000	67.99	n/a	n/a	non-brg	2.5
MTB INV ADV	034	DIN	B	14,675	22.67	n/a	n/a	733.75	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GREEN ARROW CAPITAL	040	DKS	SS	400	21.13	27-Apr	3-Aug	20.00	5.0
METROPOLITAN CAPITAL	044	DRI	B	5,300	31.89	19-Mar	15-Jul	265.00	5.0
f KEVIN MICHAEL O'GORM	FID	DXD	B	800	39.32	n/a	n/a	0.00	0.0
CARLSON CAPITAL	203	FITB	SS	208,000	9.61	n/a	n/a	10,400.00	5.0
EATON VANCE MGMT	039	FITB	B	2,000,000	9.56	n/a	n/a	40,000.00	2.0
B BUCK CAPITAL MGMT		FOR	B	24,400	14.09	6-Aug	6-Aug	non-brg	1.0
B BUCK CAPITAL MGMT		FOR	B	600	14.16	6-Aug	6-Aug	non-brg	2.5
B BUCK CAPITAL MGMT		FOSL	S	20,000	24.68	n/a	30-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		FOSL	S	30,000	25.18	n/a	30-Jan	non-brg	1.0
TROUBH PART	067	F	B	25,000	7.81	3-Aug	10-Aug	1,250.00	5.0
B BUCK CAPITAL MGMT	001	GES	S	30,000	28.57	n/a	n/a	1,200.00	4.0
B BUCK CAPITAL MGMT	001	GIL	B	20,000	17.36	25-Jun	25-Jun	800.00	4.0
B BUCK CAPITAL MGMT		GLW	B	38,900	15.92	27-Jul	27-Jul	non-brg	4.0
BRIGADE CAPITAL MGMT	029	GPX	B	200,000	2.33	n/a	n/a	6,000.00	3.0
f ROBERT M DANIELS	FID	GSI	B	400	4.81	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	GSVD	B	12	1.17	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		GYMB	S	10,000	42.07	6-Aug	7-Aug	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MAIRS AND POWER INV	030	HRL	S	10,000	38.00	n/a	n/a	500.00	5.0
SANDLER O'NEILL ASSET	031	IVZ	B	23,000	20.40	6-Aug	10-Aug	1,150.00	5.0
MTB INV ADV	034	JBHT	B	26,425	30.13	n/a	n/a	1,321.25	5.0
BUCK CAPITAL MGMT	001	JCP	S	40,000	32.82	13-Apr	7-Aug	1,600.00	4.0
f DAVID GEORGE BUCK	FID	JCP	S	1500	32.71	13-Apr	7-Aug	0.00	0.0
THE JAY GOLDMAN	034	JCP	B	35,000	33.06	13-Apr	7-Aug	1,400.00	4.0
EATON VANCE MGMT	039	JNJ	S	101,091	60.57	n/a	22-Apr	3,032.73	3.0
B BUCK CAPITAL MGMT		JNS	B	25,000	13.71	16-Jul	7-Aug	non-brg	4.0
B BUCK CAPITAL MGMT		JOSB	B	60,000	37.97	n/a	n/a	non-brg	1.0
EIDELMAN, FINGER & CO	045	JSM	S	1,609	15.02	n/a	n/a	80.45	5.0
RBC CAPITAL MARKETS	040	KSS	S	20,000	52.50	7-Aug	7-Aug	800.00	4.0
RBC CAPITAL MARKETS	040	LOW	B	50,000	23.26	10-Aug	10-Aug	2,000.00	4.0
TRELLUS PARTNERS LP	028	LVS	B	50,000	11.55	6-Aug	6-Aug	2,500.00	5.0
FRONTPOINT/COPIA-ANDREW	035	LZ	B	12,000	60.63	n/a	n/a	420.00	3.5
DIAMONDBACK CAP MGMT	232	MCD	B	40,000	56.08	n/a	10-Aug	2,000.00	5.0
B BUCK CAPITAL MGMT		MDR	S	10,000	22.00	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	MDR	B	111,600	22.17	n/a	n/a	5,022.00	4.5
NEUBERGER BERMAN	036	MHP	B	30,800	29.50	n/a	n/a	1,386.00	4.5
f JOHN MICHAEL ZOLIDIS	FID	M	S	300	15.76	n/a	7-Aug	0.00	0.0
THE JAY GOLDMAN	034	M	SS	100,000	15.62	n/a	7-Aug	4,000.00	4.0
Õ David Keidan		NP	S	3894	11.02	11-Aug	11-Aug	0.00	0.0
ß BUCK CAPITAL MGMT		NTRS	S	10,000	60.80	22-Apr	23-Jul	non-brg	1.0
BUCK CAPITAL MGMT	001	NTY	B	20,000	36.49	n/a	n/a	800.00	4.0
FRONTPOINT/COPIA-ANDREW	035	OSK	B	30,800	25.78	n/a	n/a	1,078.00	3.5
f ROBERT M DANIELS	FID	PBG	B	100	35.64	n/a	n/a	0.00	0.0
HIGHBRIDGE CAPITAL	038	PCH	B	19,000	29.70	n/a	29-Jul	760.00	4.0
ß BUCK CAPITAL MGMT		PLCE	S	10,000	32.73	n/a	7-Aug	non-brg	4.0
f DAVID GEORGE BUCK	FID	PM	B	1200	47.59	n/a	n/a	0.00	0.0
MTB INV ADV	034	PNRA	B	4,225	53.32	30-Jul	30-Jul	211.25	5.0
BUCK CAPITAL MGMT	001	PVH	B	10,000	34.05	28-Jul	28-Jul	400.00	4.0
f JOHN MICHAEL ZOLIDIS	FID	QLNLD	S	10	2.80	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		RVI	B	25,000	3.39	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f KEVIN MICHAEL O'GORM	FID	SDS	B	800	46.08	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	SDS	B	1000	46.15	n/a	n/a	0.00	0.0
SIGMA CAP BOBBY	044	SHPGY	S	30,000	49.41	n/a	11-Aug	1,200.00	4.0
B BUCK CAPITAL MGMT		SKX	S	40,000	14.69	n/a	13-Mar	non-brg	4.0
B BUCK CAPITAL MGMT		SLM	B	100,000	8.94	23-Apr	6-Aug	non-brg	1.0
WAGONHOUND/NIC	048	SNDA	S	2,622	49.93	n/a	n/a	104.88	4.0
MISSOURI VALLEY PART	046	SPG	S	26,334	62.57	n/a	n/a	1,316.70	5.0
B BUCK CAPITAL MGMT		SPLS	SS	20,000	22.09	n/a	27-Jul	non-brg	1.0
NEUBERGER BERMAN	036	SPLS	S	316,000	22.24	n/a	27-Jul	14,220.00	4.5
f DAVID GEORGE BUCK	FID	SPY	S	1000	99.78	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	STI	B	3500	20.27	n/a	n/a	0.00	0.0
METROPOLITAN CAPITAL	044	SWY	B	5,300	18.93	n/a	n/a	265.00	5.0
B BUCK CAPITAL MGMT		TIN	S	11,900	16.68	23-Jul	23-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		TIN	S	60,000	16.69	23-Jul	23-Jul	non-brg	1.0
f KAREN F LEDDY	FID	TIN	S	1000	16.36	23-Jul	23-Jul	0.00	0.0
MTB INV ADV	034	TUP	B	7,375	32.15	n/a	n/a	368.75	5.0
B BUCK CAPITAL MGMT		TWTC	B	10,000	10.50	n/a	4-Jan	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		TWTC	B	90,000	10.73	n/a	4-Jan	non-brg	1.0
f JONATHAN RICHARD HAR	FID	TZA	B	315	15.95	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		URBN	S	40,000	27.16	n/a	30-Jan	non-brg	4.0
WASHINGTON ASSET	048	WBC	B	25,000	19.50	5-Aug	5-Aug	1,250.00	5.0
TYEE/TYGH	035	WDR	B	25,000	27.00	29-Jul	7-Aug	1,000.00	4.0
MTB INV ADV	034	WMS	B	9,500	40.98	n/a	n/a	475.00	5.0
BUCK CAPITAL MGMT	001	WRC	S	30,000	38.49	28-Jul	28-Jul	1,200.00	4.0
⚡ BUCK CAPITAL MGMT		XLFX	C	130,000	13.94	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		XRT	C	58,100	31.35	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		XRT	SS	250,000	31.50	n/a	n/a	non-brg	1.0
f ABRAM M CHAPPELL	FID	YHOO	B	105	14.49	n/a	n/a	0.00	0.0
METROPOLITAN CAPITAL	044	YUM	B	5,300	34.86	n/a	15-Jul	265.00	5.0
TOTAL (Trade Date):								145,619.35	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	08/10	MILLENIUUM PARTNERS	028	HRP	B	150,000	5.74	n/a	n/a	6000.00 4.0
AO,CXL	08/10	MILLENIUUM PARTNERS	028	HRP	B	150,000	5.74	n/a	n/a	6000.00 4.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	145,619.35
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	145,619.35
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MRI Securities with Trade Activity on 11-Aug.

NP

MRI Securities without Trade Activity on 11-Aug.

NONE

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

T-Date = 39%

YTD = 21%

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

Watch List Trades

f: Employee Trades (Fidelity)