



Daily Compliance Activity Report

Trade Date: 12/16/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
REINHART & MAHONEY	031	AAPL	B	90	195.30	n/a	n/a	4.50	5.0
f BERNA GABRIELLE BARS	FID	AGO	B	500	21.84	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	AMG	S	1000	65.80	n/a	15-Dec	0.00	0.0
LAGRANGE CAP ADV	048	AOL	B	10,000	24.39	n/a	n/a	500.00	5.0
f DAVID GEORGE BUCK	FID	ART	B	2000	25.44	n/a	15-Dec	0.00	0.0
REINHART & MAHONEY	031	AVB	B	2,200	78.77	n/a	n/a	110.00	5.0
f JOHN CAREY MAGUIRE	FID	AXL	S	600	7.67	n/a	14-Dec	0.00	0.0
SOROS	036	BA	SS	25,000	54.67	n/a	11-Dec	1,000.00	4.0
APEX CAPITAL MGMT.	091	BBY	S	100,000	41.28	n/a	n/a	4,000.00	4.0
PHILADELPHIA FINANCIAL	033	BEN	SS	11,231	103.07	n/a	15-Dec	449.24	4.0
f NEIL M STRATTON	FID	BGCP	B	1000	4.10	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BJ	SS	30,000	33.05	n/a	n/a	non-brg	4.0
KENNEDY CAPITAL	046	CENX	S	58,025	14.24	n/a	n/a	2,321.00	4.0
CR INTRINIC INVESTMENT	044	CEPH	SS	17,280	59.50	n/a	16-Dec	691.20	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
REINHART & MAHONEY	031	CFR	B	4,600	49.30	n/a	n/a	230.00	5.0
f CHRISTOPHER ROBERT B	FID	CHCG	S	10000	0.45	n/a	n/a	0.00	0.0
f MELISSA LEE BACKUS	FID	CHCG	S	10000	0.46	n/a	n/a	0.00	0.0
f JOHN CAREY MAGUIRE	FID	CHK	B	200	25.04	n/a	n/a	0.00	0.0
HUTCHIN HILL CAPITAL LP	233	CL	SS	14,000	84.70	n/a	7-Dec	420.00	3.0
B BUCK CAPITAL MGMT		CSTR	B	20,000	27.25	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		CSTR	B	5,000	27.50	n/a	n/a	non-brg	4.0
SOROS	036	CVS	B	324,000	30.91	n/a	n/a	12,960.00	4.0
f JOHN CAREY MAGUIRE	FID	DAL	S	300	11.41	n/a	n/a	0.00	0.0
RWC PARTNERS LTD	067	DAN	B	180,900	9.40	n/a	n/a	5,427.00	3.0
f DAVID GEORGE BUCK	FID	DB	S	1000	75.53	n/a	n/a	0.00	0.0
JMP ASSET MGMT	210	DKS	SS	2,400	22.73	n/a	19-Nov	120.00	5.0
AVESTA CAP	229	DRI	SS	50,000	33.17	16-Dec	16-Dec	2,000.00	4.0
REINHART & MAHONEY	031	DVN	B	4,090	67.16	n/a	1-Dec	204.50	5.0
REINHART & MAHONEY	031	EQT	B	4,100	43.45	n/a	n/a	205.00	5.0
SOROS	036	ESRX	B	118,000	84.10	n/a	n/a	4,720.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FIRST NEW YORK LEDDY	035	ETFC	B	10,000	1.68	n/a	n/a	600.00	6.0
⚡ BUCK CAPITAL MGMT		FSLR	SS	7,000	136.67	n/a	n/a	non-brg	4.0
f MITCHELL JAMES SPEIS	FID	FSNXX	B	28000	1.00	n/a	n/a	0.00	0.0
DAVIDSON INV ADV	035	GENZ	S	27,550	49.20	n/a	n/a	1,102.00	4.0
WHITE PINE CAPITAL	030	GGG	S	6,590	29.47	n/a	n/a	329.50	5.0
⚡ BUCK CAPITAL MGMT		GIL	B	10,000	23.49	n/a	11-Dec	non-brg	4.0
⚡ BUCK CAPITAL MGMT		GSIC	S	10,000	24.66	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	HD	B	30,000	29.31	n/a	18-Nov	1,200.00	4.0
f JOHN CAREY MAGUIRE	FID	HFFC	S	100	9.65	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		HGG	S	20,000	22.00	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		ICON	S	30,000	12.22	n/a	n/a	non-brg	4.0
SCHOTTENFELD ASSOC	041	IP	SS	30,000	26.65	n/a	28-Oct	900.00	3.0
GREEN ARROW DOUG	040	ISLE	SS	5,472	7.71	n/a	n/a	273.60	5.0
GREEN ARROW DOUG	040	ISLE	S	15,872	7.70	n/a	n/a	793.60	5.0
SOROS	036	JNJ	SS	100,000	65.00	n/a	n/a	4,000.00	4.0
TROUBH PART	067	KO	SS	25,000	58.56	n/a	n/a	1,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		KSS	B	40,000	54.68	n/a	4-Dec	non-brg	4.0
SOROS	036	KSS	B	184,000	54.44	n/a	4-Dec	7,360.00	4.0
TYEE/TYGH	035	LAZ	S	107,871	37.16	n/a	14-Dec	4,314.84	4.0
B BUCK CAPITAL MGMT	001	LL	S	20,000	28.23	n/a	n/a	800.00	4.0
B BUCK CAPITAL MGMT		LL	S	1,137	28.18	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		LL	S	18,200	28.20	n/a	n/a	non-brg	2.0
CUMBERLAND	239	LOW	S	25,000	23.71	n/a	16-Nov	1,000.00	4.0
JP MORGAN VENTURES	046	LOW	S	70,000	23.82	n/a	16-Nov	3,500.00	5.0
DAVIDSON INV ADV	035	MASI	B	45,385	28.00	n/a	n/a	1,815.40	4.0
JP MORGAN VENTURES	046	MET	B	15,300	36.98	n/a	n/a	765.00	5.0
WHITE PINE CAPITAL	030	MIDD	B	5,025	44.76	n/a	11-Nov	251.25	5.0
f CHRISTOPHER ARTHUR K	FID	NVLT	B	2500	1.14	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT B	FID	OCR	B	1000	24.28	n/a	n/a	0.00	0.0
f CICILY S BACKUS	FID	OCR	B	2000	24.28	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	OCR	B	10000	24.29	n/a	n/a	0.00	0.0
f MELISSA LEE BACKUS	FID	OCR	B	1000	24.28	n/a	n/a	0.00	0.0
SOLARIS INV MGMT	029	PCAR	S	40,000	35.17	n/a	18-Nov	2,000.00	5.0
B BUCK CAPITAL MGMT		PLCE	S	20,000	30.59	n/a	11-Dec	non-brg	4.0
SHAREVEST CAPITAL MGMT.	091	PWR	B	20,000	20.88	n/a	n/a	1,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FIRST NEW YORK NICK	029	Q	B	20,000	4.26	n/a	n/a	1,000.00	5.0
f JOHN CAREY MAGUIRE	FID	RIMM	B	100	65.49	n/a	n/a	0.00	0.0
f FRANCIS MICHAEL MCCA	FID	RRR	S	1000	7.16	n/a	30-Oct	0.00	0.0
f MICHAEL THOMAS NOLAN	FID	RRR	S	1000	7.15	n/a	30-Oct	0.00	0.0
B BUCK CAPITAL MGMT		RTH	SS	90,000	94.36	n/a	n/a	non-brg	2.0
REINHART & MAHONEY	031	RYN	B	4,100	42.42	n/a	30-Oct	205.00	5.0
REINHART & MAHONEY	031	SCG	B	4,600	37.70	n/a	n/a	230.00	5.0
RBC CAPITAL MARKETS	040	SKS	B	5,000	6.56	n/a	n/a	200.00	4.0
f JOHN MICHAEL ZOLIDIS	FID	SKX	S	100	27.89	n/a	n/a	0.00	0.0
S.A.C. HEALTHCARE BOBBY	044	SNY	SS	10,000	39.62	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		SPLS	SS	30,000	24.45	n/a	n/a	non-brg	4.0
TRELLUS PARTNERS LP	028	SUP	S	7,800	16.29	n/a	9-Nov	390.00	5.0
BUCK CAPITAL MGMT	001	SVU	SS	20,000	12.90	n/a	n/a	800.00	4.0
B BUCK CAPITAL MGMT		TJX	S	20,000	37.31	n/a	4-Dec	non-brg	4.0
B BUCK CAPITAL MGMT		TLB	B	40,000	8.60	n/a	n/a	non-brg	3.0
f EDWARD W WHEELER	FID	TWI	B	10000	7.76	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		TWTC	S	20,000	16.64	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		TWTC	S	45,000	16.82	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		TWTC	S	60,000	16.94	n/a	n/a	non-brg	4.0
JMP ASSET MGMT	210	ULTA	B	10,932	18.59	n/a	n/a	546.60	5.0
ß BUCK CAPITAL MGMT		URBN	B	10,000	33.55	n/a	n/a	non-brg	4.0
FRIESS MGMT	033	USB	B	11,300	22.14	n/a	n/a	452.00	4.0
FRIESS MGMT	033	UTX	B	21,400	70.52	n/a	n/a	856.00	4.0
f DAVID GEORGE BUCK	FID	VNO	B	1000	69.85	n/a	n/a	0.00	0.0
FRIESS MGMT	033	VZ	B	39,900	32.96	n/a	n/a	1,596.00	4.0
FRIESS MGMT	033	WFC	B	61,500	25.88	n/a	15-Dec	2,460.00	4.0
FRIESS MGMT	033	WLP	B	13,500	59.73	n/a	n/a	540.00	4.0
REINHART & MAHONEY	031	WL	B	19,850	12.02	n/a	n/a	992.50	5.0
FRIESS MGMT	033	WMB	B	26,100	20.75	n/a	n/a	1,044.00	4.0
DENVER INST. ADV	046	WRC	B	2,600	43.64	n/a	5-Nov	104.00	4.0
FORWARD MGMT	033	WRE	S	20,073	26.90	n/a	n/a	1,003.65	5.0
HIGHBRIDGE CAP	041	WY	B	14,950	43.96	n/a	15-Dec	598.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	WY	B	25,000	44.13	n/a	15-Dec	1,250.00	5.0
B BUCK CAPITAL MGMT		XRT	C	234,794	35.78	n/a	n/a	non-brg	2.0
JP MORGAN VENTURES	046	XRT	B	45,000	35.74	n/a	n/a	2,250.00	5.0
f DAVID GEORGE BUCK	FID	XTQAR	S	15	1.16	n/a	n/a	0.00	0.0
CATAPULT	040	YHOO	B	50,000	15.67	n/a	n/a	2,000.00	4.0
JMP ASSET MGMT	210	ZAGG	B	6,415	4.20	n/a	n/a	192.45	3.0
TOTAL (Trade Date):								87,727.83	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/15	&PRO	036	AJG	B	2,500	22.43	n/a	n/a	100.00 4.0
AO,CRT	12/15	PROSPECTOR PARTNERS LLC	036	AJG	B	2,500	22.43	n/a	n/a	100.00 4.0
AO,CXL	12/10	REINHART & MAHONEY	031	DBTK	B	2,300	9.76	n/a	n/a	115.00 5.0
AO,CXL	12/15	MILLENIUUM PARTNERS	028	F	S	50,000	9.42	n/a	2-Dec	2000.00 4.0
AO,CRT	12/15	MILLENIUUM PARTNERS	028	F	S	50,000	9.42	n/a	2-Dec	1500.00 3.0
AO,CRT	12/15	MILLENIUUM PARTNERS	028	GE	B	100,000	15.84	n/a	n/a	3000.00 3.0
AO,CXL	12/15	MILLENIUUM PARTNERS	028	GE	B	100,000	15.84	n/a	n/a	4000.00 4.0
TOTAL (AO, CXL, CRT) :										-1,615.00

TOTAL (Trade Date):	87,727.83
TOTAL (AO, CXL, CRT):	-1,615.00

TOTAL (RUN DATE) / NFS:	86,112.83
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MRI Securities with Trade Activity on 16-Dec.

DRI

MRI Securities without Trade Activity on 16-Dec.

TEVA

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

T-Date = 11%

YTD = 19%

<u>Legend:</u>
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)