



# Daily Compliance Activity Report

Trade Date: 09/28/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DEFIANCE ASSET	028	AAWW	S	10,000	32.47	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	AEO	B	50,000	17.12	21-Sep	21-Sep	2,000.00	4.0
B BUCK CAPITAL MGMT		AM	B	50,000	21.73	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	ANF	B	100,000	32.63	3-Jun	21-Sep	4,000.00	4.0
B BUCK CAPITAL MGMT		ANF	B	20,000	32.64	3-Jun	21-Sep	non-brg	0.8
TRUSTCO/SUNTRUST	040	ARG	S	12,600	48.49	24-Sep	24-Sep	491.40	3.9
f JOHN CAREY MAGUIRE	FID	ATN	S	200	29.35	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	214	AWH	B	64,800	47.70	n/a	n/a	2,916.00	4.5
f JOHN CAREY MAGUIRE	FID	AXL	S	700	7.28	18-Sep	18-Sep	0.00	0.0
CATAPULT	040	CAR	S	25,000	13.29	n/a	n/a	1,000.00	4.0
MERRILL ASSET/BLACKROCK	214	CBY	S	60,926	50.95	n/a	n/a	2,741.67	4.5
f CICILY S BACKUS	FID	CHCG	S	20000	0.58	n/a	n/a	0.00	0.0
f MICHAEL THOMAS NOLAN	FID	CLSN	S	1000	3.70	n/a	n/a	0.00	0.0
TROUBH PART	067	CMCSA	B	50,000	17.00	n/a	4-Jan	2,500.00	5.0
B BUCK CAPITAL MGMT		COLM	C	10,000	41.35	n/a	n/a	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f KAREN F LEDDY	FID	CRK	S	300	40.17	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	C	B	4000	4.46	17-Sep	21-Sep	0.00	0.0
B BUCK CAPITAL MGMT		DBRN	B	50,000	17.92	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DECK	S	10,000	82.99	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		DECK	S	20,000	82.91	n/a	n/a	non-brg	0.8
MERRILL ASSET/BLACKROCK	214	DLR	B	80,600	44.94	n/a	n/a	3,627.00	4.5
B BUCK CAPITAL MGMT	001	DRI	B	20,000	35.94	17-Sep	24-Sep	800.00	4.0
B BUCK CAPITAL MGMT		DRI	S	20,000	36.08	17-Sep	24-Sep	non-brg	4.0
B BUCK CAPITAL MGMT		EL	C	50,000	36.73	14-Aug	14-Aug	non-brg	4.0
B BUCK CAPITAL MGMT		FL	B	40,000	11.83	21-Sep	25-Sep	non-brg	4.0
OSS CAPITAL/KEVIN DANN	067	FNF	S	100,000	15.06	n/a	n/a	3,000.00	3.0
f MANNY I KORMAN	FID	FSIXX	S	107000	1.00	n/a	n/a	0.00	0.0
f ALEXANDER PRYLUCKI	FID	F	B	400	7.43	27-Aug	2-Sep	0.00	0.0
f JOHN CAREY MAGUIRE	FID	F	B	700	7.48	27-Aug	2-Sep	0.00	0.0
OZ MGMT	040	F	B	130,000	7.44	27-Aug	2-Sep	3,900.00	3.0
B BUCK CAPITAL MGMT		GCO	B	30,000	24.18	n/a	10-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		GIII	B	10,000	13.97	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FORD FDN.	032	GILD	B	25,000	46.95	n/a	n/a	1,250.00	5.0
STRAUSS ASSET MGMT	040	GYMB	B	7,500	49.54	21-Sep	21-Sep	300.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>HGG</b>	<b>B</b>	<b>20,000</b>	<b>16.38</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
MERRILL ASSET/BLACKROCK	214	HHS	S	14,900	13.50	n/a	n/a	670.50	4.5
MATRIX ASSET ADV.	036	INTC	S	21,000	19.60	n/a	n/a	630.00	3.0
DIAMONDBACK CAP MGMT	232	JNS	SS	10,000	14.52	16-Sep	23-Sep	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>JOSB</b>	<b>S</b>	<b>20,000</b>	<b>44.51</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>JPM</b>	<b>B</b>	<b>1500</b>	<b>44.10</b>	<b>7-Aug</b>	<b>21-Sep</b>	<b>0.00</b>	<b>0.0</b>
ADAGE CAPITAL MGMT	030	JWN	B	300,000	30.61	n/a	23-Sep	12,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>KCP</b>	<b>S</b>	<b>10,000</b>	<b>10.61</b>	<b>n/a</b>	<b>28-Sep</b>	<b>non-brg</b>	<b>0.8</b>
SAXON WOODS ADVISORS	038	KFT	S	175,100	26.30	n/a	n/a	7,004.00	4.0
FIRST INV MGMT CO	029	LEG	S	21,800	19.35	n/a	n/a	1,090.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MAR</b>	<b>B</b>	<b>20,000</b>	<b>26.76</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
<b>f ALEXANDER PRYLUCKI</b>	<b>FID</b>	<b>MS</b>	<b>B</b>	<b>100</b>	<b>31.10</b>	<b>11-May</b>	<b>22-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>M</b>	<b>B</b>	<b>70,000</b>	<b>18.08</b>	<b>21-Sep</b>	<b>21-Sep</b>	<b>2,800.00</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LAGRANGE CAP ADV	048	NILE	SS	2,542	62.30	n/a	n/a	127.10	5.0
SYSTEMATIC FINANCIAL MGT	035	NWL	B	151,000	15.45	n/a	n/a	5,285.00	3.5
MESIROW	031	OVTI	S	10,134	16.51	n/a	n/a	405.36	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>PERY</b>	<b>S</b>	<b>14,460</b>	<b>16.24</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>PFE</b>	<b>B</b>	<b>1000</b>	<b>16.68</b>	<b>n/a</b>	<b>31-Mar</b>	<b>0.00</b>	<b>0.0</b>
CSFB GLOBAL PROPRIETARY	041	PKG	B	45,000	19.86	21-Jul	21-Jul	2,250.00	5.0
MERRILL ASSET/BLACKROCK	214	PRA	B	23,900	52.15	n/a	n/a	1,075.50	4.5
MERRILL ASSET/BLACKROCK	214	PTEN	B	80,300	14.63	n/a	n/a	3,613.50	4.5
<b>f CHRISTOPHER ROBERT B</b>	<b>FID</b>	<b>RRC</b>	<b>S</b>	<b>1000</b>	<b>49.88</b>	<b>21-Sep</b>	<b>21-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>f MELISSA LEE BACKUS</b>	<b>FID</b>	<b>RRC</b>	<b>S</b>	<b>1000</b>	<b>49.89</b>	<b>21-Sep</b>	<b>21-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>f ALEXANDER PRYLUCKI</b>	<b>FID</b>	<b>RRR</b>	<b>B</b>	<b>400</b>	<b>7.30</b>	<b>17-Sep</b>	<b>17-Sep</b>	<b>0.00</b>	<b>0.0</b>
CUMBERLAND	038	RTH	SS	30,000	87.63	n/a	n/a	1,200.00	4.0
HUNTER GLOBAL INVESTOR	067	SAH	S	111,000	10.23	6-Apr	6-Apr	3,330.00	3.0
MESIROW	031	SF	S	4,718	53.91	n/a	n/a	188.72	4.0
MESIROW	031	SIGM	S	11,329	14.41	n/a	n/a	453.16	4.0
<b>f JOHN CAREY MAGUIRE</b>	<b>FID</b>	<b>SVU</b>	<b>S</b>	<b>500</b>	<b>15.09</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>TBT</b>	<b>B</b>	<b>35</b>	<b>43.97</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DIAMONDBACK CAP MGMT	232	TROW	B	10,000	45.62	n/a	23-Sep	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>TWB</b>	<b>B</b>	<b>30,000</b>	<b>8.36</b>	<b>n/a</b>	<b>30-Jan</b>	<b>non-brg</b>	<b>3.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ULTA</b>	<b>S</b>	<b>30,000</b>	<b>16.06</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>B BUCK CAPITAL MGMT</b>		<b>URBN</b>	<b>B</b>	<b>10,000</b>	<b>30.48</b>	<b>n/a</b>	<b>30-Jan</b>	<b>non-brg</b>	<b>4.0</b>
LAGRANGE CAP ADV	048	VIP	SS	10,000	18.15	n/a	n/a	500.00	5.0
<b>f ALEXANDER PRYLUCKI</b>	<b>FID</b>	<b>VTG</b>	<b>B</b>	<b>1700</b>	<b>1.83</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>WBC</b>	<b>S</b>	<b>2000</b>	<b>20.66</b>	<b>5-Aug</b>	<b>5-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>WFC</b>	<b>B</b>	<b>1500</b>	<b>28.32</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MERRILL ASSET/BLACKROCK	214	WLL	S	15,800	56.81	n/a	n/a	711.00	4.5
MATLIN PATTERSON	046	WNR	S	50,000	6.80	n/a	n/a	1,500.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WRC</b>	<b>B</b>	<b>20,000</b>	<b>42.57</b>	<b>21-Sep</b>	<b>21-Sep</b>	<b>800.00</b>	<b>4.0</b>
<b>f ALEXANDER PRYLUCKI</b>	<b>FID</b>	<b>WY</b>	<b>B</b>	<b>80</b>	<b>37.17</b>	<b>n/a</b>	<b>3-Aug</b>	<b>0.00</b>	<b>0.0</b>
STRAUSS ASSET MGMT	040	WY	B	25,000	37.54	n/a	3-Aug	1,000.00	4.0
MERRILL ASSET/BLACKROCK	214	XRX	S	250,000	7.31	n/a	n/a	11,250.00	4.5

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**TOTAL (Trade Date):**

**88,609.91**

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**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/25	FIRST INV MGMT CO	029	BIG	B	16,000	23.50	25-Aug	10-Sep	800.00 5.0
AO,CXL	09/25	MILLENIU M PARTNERS	028	CAKE	B	15,000	19.00	24-Jul	24-Jul	600.00 4.0
AO,CRT	09/25	MILLENIU M PARTNERS	028	CAKE	B	15,000	19.00	24-Jul	24-Jul	600.00 4.0
AO,CRT	09/25	SOLARIS INV MGMT	029	COG	S	900	33.70	25-Sep	25-Sep	45.00 5.0
AO,CXL	09/25	SOLARIS INV MGMT	029	COG	S	900	33.70	25-Sep	25-Sep	45.00 5.0
AO,CRT	09/24	OSS CAPITAL/KEVIN DANN	067	DTV	B	100,000	26.56	n/a	4-Jan	3000.00 3.0
AO,CXL	09/24	OSS CAPITAL/KEVIN DANN	067	DTV	B	100,000	26.56	n/a	4-Jan	2000.00 2.0
AO,CXL	09/25	MILLENIU M PARTNERS	028	EAT	B	20,201	15.63	n/a	24-Apr	808.04 4.0
AO,CRT	09/25	MILLENIU M PARTNERS	028	EAT	B	20,201	15.63	n/a	24-Apr	808.04 4.0
AO,	09/25	TRAFELET & COMP.	028	F	B	300,000	7.42	27-Aug	2-Sep	12000.00 4.0
AO,CXL	09/25	SCOGGIN CAP	039	GAME	S	75,000	11.78	n/a	n/a	3000.00 4.0
AO,CRT	09/25	SCOGGIN CAP	039	GAME	S	75,000	11.78	n/a	n/a	3000.00 4.0
AO,CXL	09/25	BULL PATH CAPITAL	044	HAS	B	8,000	27.19	n/a	n/a	400.00 5.0
AO,	09/25	BULL PATH CAPITAL	044	HAS	B	4,160	27.19	n/a	n/a	208.00 5.0
AO,CRT	09/25	BULL PATH CAPITAL	044	HAS	B	3,840	27.19	n/a	n/a	192.00 5.0
AO,CRT	09/25	MILLENIU M PARTNERS	028	IGT	S	8,944	20.80	n/a	27-Jul	357.76 4.0
AO,CXL	09/25	MILLENIU M PARTNERS	028	IGT	S	8,944	20.80	n/a	27-Jul	357.76 4.0
AO,CRT	09/25	MATRIX ASSET ADV.	036	INTC	S	3,200	19.53	n/a	n/a	96.00 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/25	MATRIX ASSET ADV.	036	INTC	S	6,500	19.53	n/a	n/a	195.00 3.0
AO,CXL	09/25	MATRIX ASSET ADV.	036	INTC	S	3,200	19.53	n/a	n/a	96.00 3.0
AO,CXL	09/25	MILLENIU M PARTNERS	028	M	B	106,000	17.82	21-Sep	21-Sep	4240.00 4.0
AO,CRT	09/25	MILLENIU M PARTNERS	028	M	B	106,000	17.82	21-Sep	21-Sep	4240.00 4.0
AO,CRT	09/25	MILLENIU M PARTNERS	028	MAT	S	3,496	17.97	n/a	n/a	139.84 4.0
AO,CXL	09/25	MILLENIU M PARTNERS	028	MAT	S	3,496	17.97	n/a	n/a	139.84 4.0
AO,CXL	09/25	MILLENIU M PARTNERS	028	PFCB	S	1,836	34.10	22-Jul	22-Jul	73.44 4.0
AO,CRT	09/25	MILLENIU M PARTNERS	028	PFCB	S	1,836	34.10	22-Jul	22-Jul	73.44 4.0
AO,CXL	09/25	JMP ASSET MGMT	210	SKS	SS	27,000	6.71	n/a	n/a	1350.00 5.0
AO,CRT	09/25	JMP ASSET MGMT	210	SKS	SS	27,000	6.71	n/a	n/a	1080.00 4.0

**TOTAL (AO, CXL, CRT) :**

**13,725.00**

TOTAL (Trade Date) :

88,609.91

TOTAL (AO, CXL, CRT) :

13,725.00

**TOTAL (RUN DATE) / NFS:**

**102,334.91**

**MRI Securities with Trade Activity on 28-Sep.**

**NONE**



MRI Securities without Trade Activity on 28-Sep.

AGCO, AVY

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

T-Date = 44%

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)