



Daily Compliance Activity Report

Trade Date: 02/20/2009

Potential ANALYST TRADE Violations: 0

BCM Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AMBER CAPITAL	046	AA	B	167,000	6.04	n/a	n/a	6,680.00	4.0
THE BOSTON COMPANY	401	ACV	S	19,403	21.71	n/a	n/a	776.12	4.0
SAC CAP/ROSEN FOR BOBBY	044	ADBE	B	25,000	18.17	n/a	n/a	1,250.00	5.0
MATRIX ASSET ADV.	036	ADI	S	8,000	19.31	n/a	n/a	240.00	3.0
B BUCK CAPITAL MGMT		AEO+CB[??]	SS	2,000	0.62	n/a	n/a	non-brg	100.0
BALYASNY ASSET MGMT	044	ALV	C	25,700	16.35	30-Jan	4-Feb	1,285.00	5.0
TRUSTCO/SUNTRUST	040	ALV	S	48,807	16.55	30-Jan	4-Feb	1,561.81	3.2
BALYASNY ASSET MGMT	044	AMG	B	15,000	38.13	13-Nov	20-Feb	750.00	5.0
WAGONHOUND/NIC	048	AMG	S	12,611	38.15	13-Nov	20-Feb	504.44	4.0
B BUCK CAPITAL MGMT		AN	SS	30,000	9.71	30-Jan	30-Jan	non-brg	3.0
COUGAR TRADING	044	AN	SS	10,000	9.64	30-Jan	30-Jan	400.00	4.0
f MARC PAUL LUCHANSKY	FID	AOC	S	500	39.23	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		APC	B	27,400	35.95	3-Feb	11-Feb	non-brg	4.0
ROYCE TRADING	216	ARM	B	10,000	0.56	n/a	n/a	300.00	3.0
BUCK CAPITAL MGMT	001	ARO	B	30,000	21.83	n/a	6-Feb	1,200.00	4.0
f MARC PAUL LUCHANSKY	FID	AXE	S	500	30.35	22-Dec	3-Feb	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MARINER/TRICADIA	041	AYI	B	25,000	23.66	n/a	n/a	1,000.00	4.0
f KEVIN MICHAEL O'GORM	FID	BACPRU	S	1500	7.03	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	BGU	B	5000	22.11	n/a	n/a	0.00	0.0
f FRANCIS MICHAEL MCCA	FID	BGZ	S	200	84.01	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	BGZ	S	52	84.52	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	BGZ	S	5000	85.50	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BHQ+QW[???	SS	2,000	0.96	n/a	n/a	non-brg	100.0
f MARC PAUL LUCHANSKY	FID	BIIB	S	500	50.12	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BK	B	34,600	22.77	21-Jan	17-Feb	non-brg	4.0
ACK ASSET	028	BWA	SS	8,800	17.78	27-Jan	13-Feb	264.00	3.0
B BUCK CAPITAL MGMT		BWA	SS	120,000	17.90	27-Jan	13-Feb	non-brg	4.0
ROYCE TRADING	216	CAB	S	5,000	6.85	n/a	n/a	250.00	5.0
AVESTA CAP	229	CBE	SS	25,000	23.48	n/a	28-Jan	1,250.00	5.0
ROYCE TRADING	216	CBM	B	10,000	3.20	n/a	n/a	300.00	3.0
f EDWARD W WHEELER	FID	CCCGC	S	70	2.25	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	CCC	B	7000	14.00	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	CHS	B	50,000	4.46	5-Dec	30-Jan	1,000.00	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	CIT	B	180,000	1.74	22-Jan	18-Feb	3,600.00	2.0
AVESTA CAP	229	CI	SS	50,000	18.69	n/a	n/a	2,500.00	5.0
f KEVIN MICHAEL O'GORM	FID	CPRE	S	500	4.21	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	CTX	B	248,900	6.58	n/a	n/a	7,467.00	3.0
CRAMER ROSENTHAL/SCOTT	012	CVS	B	3,500	27.85	n/a	n/a	140.00	4.0
f MARC PAUL LUCHANSKY	FID	DCTH	S	1000	1.51	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		DECK	B	10,000	56.05	n/a	n/a	non-brg	4.0
f MARC PAUL LUCHANSKY	FID	DE	S	300	29.15	26-Jan	19-Feb	0.00	0.0
ß BUCK CAPITAL MGMT		DHI	B	10,000	7.63	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		DIA	C	25,000	72.89	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		DIN	C	30,000	6.18	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		DLTR	B	30,000	35.20	10-Feb	10-Feb	non-brg	2.0
ß BUCK CAPITAL MGMT		DQO+CH[???	SS	1,000	0.50	n/a	n/a	non-brg	100.0
f MARC PAUL LUCHANSKY	FID	DXO	S	1000	1.99	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	EEM	S	200	21.75	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		ETN	SS	39,500	40.45	26-Jan	26-Jan	non-brg	4.0
MARC PAUL LUCHANSKY	FID	ETN	S	100	40.31	26-Jan	26-Jan	0.00	0.0
KAREN F LEDDY	FID	EV	S	800	17.09	9-Jan	20-Feb	0.00	0.0
BUCK CAPITAL MGMT		FDO+NY[???	C	3,000	0.67	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT		FDO+PE[???	SS	3,000	1.57	n/a	n/a	non-brg	300.0
UBS OCONNOR	031	FII	S	50,000	20.02	13-Nov	20-Feb	1,500.00	3.0
VIKING GLOBAL	030	FII	SS	206,700	19.64	13-Nov	20-Feb	10,335.00	5.0
BUCK CAPITAL MGMT		FINL	B	150,000	4.32	n/a	28-Mar	non-brg	3.0
BUCK CAPITAL MGMT		FOR	B	75,000	8.75	12-Feb	12-Feb	non-brg	3.0
BUCK CAPITAL MGMT	001	FRT	B	8,300	42.26	n/a	n/a	332.00	4.0
HUNTER GLOBAL INVESTOR	067	F	S	1,000,000	1.52	10-Nov	4-Feb	10,000.00	1.0
BUCK CAPITAL MGMT		GIII	B	25,000	3.61	n/a	n/a	non-brg	1.0
MARC PAUL LUCHANSKY	FID	GLW	S	100	9.79	9-Feb	18-Feb	0.00	0.0
TRELLUS PARTNERS LP	028	GPI	S	50,000	8.70	n/a	20-Feb	1,500.00	3.0
COOPER CREEK PART	028	GT	B	25,000	5.79	n/a	n/a	750.00	3.0
BUCK CAPITAL MGMT		GYMB	B	20,000	25.48	n/a	6-Feb	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	216	HXL	B	10,000	7.01	n/a	n/a	500.00	5.0
NEUBERGER BERMAN	036	ICLR	S	80,000	23.06	n/a	n/a	3,600.00	4.5
⚡ BUCK CAPITAL MGMT		IJR	C	16,200	35.30	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		IJS	C	11,300	37.46	n/a	n/a	non-brg	2.0
MILLENIUM PARTNERS	028	IP	SS	30,000	6.00	22-Sep	29-Jan	1,500.00	5.0
⚡ BUCK CAPITAL MGMT		IWM	C	15,400	40.34	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		IWO	C	15,700	44.27	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT	001	IYR	B	16,900	25.45	n/a	n/a	338.00	2.0
f RAGHAV NAYAR	FID	JBLU	B	100	4.10	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		JCG+CB[???	SS	1,000	1.00	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	JCG	S	20,000	10.01	n/a	30-Jan	800.00	4.0
⚡ BUCK CAPITAL MGMT		JCP+NV[???	C	1,000	2.45	n/a	n/a	non-brg	300.0
⚡ BUCK CAPITAL MGMT		JCP+NV[???	C	1,000	2.64	n/a	n/a	non-brg	300.0
⚡ BUCK CAPITAL MGMT		JCP+NV[???	C	1,000	2.73	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	JCP	SS	38,672	14.82	6-Feb	6-Feb	1,546.88	4.0
⚡ BUCK CAPITAL MGMT		JNY	B	50,000	2.86	n/a	11-Feb	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f DAVID GEORGE BUCK	FID	JPM	S	1000	19.03	16-Jan	17-Feb	0.00	0.0
NEUBERGER BERMAN	036	JPM	B	158,500	19.82	16-Jan	17-Feb	7,132.50	4.5
ROYCE TRADING	216	KND	S	10,000	15.84	n/a	n/a	500.00	5.0
MILLENIUUM PARTNERS	028	KO	SS	64,450	43.09	n/a	n/a	2,578.00	4.0
B BUCK CAPITAL MGMT		KSS+CH[???	SS	1,000	0.71	n/a	n/a	non-brg	100.0
B BUCK CAPITAL MGMT		KSS	B	50,000	34.78	n/a	6-Feb	non-brg	2.0
JP MORGAN VENTURES	046	KSS	B	20,000	34.60	n/a	6-Feb	1,000.00	5.0
MILLENIUUM PARTNERS	028	K	SS	38,310	39.86	n/a	n/a	1,532.40	4.0
BUCK CAPITAL MGMT	001	LEN	B	280,500	5.85	n/a	n/a	8,415.00	3.0
BUCK CAPITAL MGMT	001	LIZ	B	50,000	2.35	n/a	14-Jan	1,500.00	3.0
B BUCK CAPITAL MGMT		MDC	B	63,000	25.91	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		MDY	C	3,900	83.05	n/a	n/a	non-brg	2.0
f EDWARD W WHEELER	FID	METCG	B	50	0.13	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	METFX	S	50	4.10	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	MS	B	25,000	18.98	18-Dec	17-Feb	1,000.00	4.0
f KEVIN MICHAEL O'GORM	FID	MWO	B	800	10.98	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		M	B	50,000	7.61	n/a	6-Feb	non-brg	3.0
f MANNY I KORMAN	FID	NDNNU	B	25	0.05	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	NLY	S	153,500	13.75	n/a	n/a	6,907.50	4.5
MATRIX ASSET ADV.	036	OMC	S	10,000	25.01	n/a	n/a	400.00	4.0
COUGAR TRADING	044	PAG	B	15,000	5.18	n/a	18-Feb	600.00	4.0
TRELLUS PARTNERS LP	028	PAG	C	30,000	5.12	n/a	18-Feb	900.00	3.0
B BUCK CAPITAL MGMT		PCAR	B	60,000	26.97	20-Nov	2-Feb	non-brg	4.0
TRELLUS PARTNERS LP	028	PCAR	SS	20,000	26.50	20-Nov	2-Feb	1,000.00	5.0
B BUCK CAPITAL MGMT		PERY	B	50,000	4.88	n/a	n/a	non-brg	2.5
f MARC PAUL LUCHANSKY	FID	PHM	S	100	8.60	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		QUK+FO[???	SS	200	3.05	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	REG	B	9,800	27.04	n/a	n/a	392.00	4.0
B BUCK CAPITAL MGMT		RIG	B	27,200	59.23	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		RL+PF[???	SS	1,000	1.25	n/a	n/a	non-brg	300.0
B BUCK CAPITAL MGMT		RL	SS	10,000	35.42	n/a	5-Feb	non-brg	4.0
COUGAR TRADING	044	RL	B	2,500	35.15	n/a	5-Feb	125.00	5.0
JP MORGAN VENTURES	046	RL	B	20,000	35.50	n/a	5-Feb	1,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	034	ROST	B	20,000	30.63	n/a	n/a	800.00	4.0
⚡ BUCK CAPITAL MGMT		RYL	B	106,700	15.04	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	SKX	B	42,379	6.97	n/a	13-Mar	1,271.37	3.0
⚡ BUCK CAPITAL MGMT		SKX	B	57,621	7.03	n/a	13-Mar	non-brg	1.0
⚡ BUCK CAPITAL MGMT		SLB	B	31,700	36.83	n/a	n/a	non-brg	4.0
f MARC PAUL LUCHANSKY	FID	SLB	S	200	36.79	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SLM	B	100,000	7.41	22-Jan	19-Feb	3,000.00	3.0
f MARC PAUL LUCHANSKY	FID	SPY	S	200	77.39	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	SWVOL	S	10	0.89	n/a	n/a	0.00	0.0
DECADE CAPITAL PARTNERS	040	SWY	SS	12,000	20.90	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	SZCND	B	10	5.83	n/a	n/a	0.00	0.0
CAMBIAR CAP	046	TEVA	S	11,045	46.42	18-Feb	18-Feb	441.80	4.0
⚡ BUCK CAPITAL MGMT		THI	C	50,000	24.48	n/a	24-Apr	non-brg	4.0
BMO NESBITT BURNS	041	TIN	B	30,000	3.98	5-Dec	28-Jan	1,500.00	5.0
HUNTER GLOBAL INVESTOR	067	TOL	SS	100,000	15.70	n/a	n/a	4,000.00	4.0
⚡ BUCK CAPITAL MGMT		TPX+FS[???	SS	1,000	1.00	n/a	n/a	non-brg	100.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NOMURA CAPITAL	045	TSO	B	5,000	13.74	n/a	n/a	250.00	5.0
f JONATHAN RICHARD HAR	FID	TZA	S	61	73.50	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	UDR	B	27,665	8.58	n/a	n/a	829.95	3.0
B BUCK CAPITAL MGMT		URBN	S	25,000	15.72	n/a	30-Jan	non-brg	1.0
B BUCK CAPITAL MGMT		URBN	S	50,000	15.80	n/a	30-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		WBC	B	85,000	10.64	5-Feb	5-Feb	non-brg	4.0
f JASON ERIC COHEN	FID	WFC	B	69	9.12	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		WMT+CX[???	SS	2,000	0.86	n/a	n/a	non-brg	100.0
B BUCK CAPITAL MGMT		WRC+DE[???	SS	3,000	1.02	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	WRC	S	50,000	21.12	7-Nov	27-Jan	2,000.00	4.0
B BUCK CAPITAL MGMT		XOM	SS	62,600	71.55	n/a	n/a	non-brg	4.0
ROTHSCHILD ASSET	040	XOM	B	36,370	71.40	n/a	n/a	1,636.65	4.5
B BUCK CAPITAL MGMT		XRT	SS	400,000	19.65	n/a	n/a	non-brg	1.0
TOTAL (Trade Date):							116,132.42		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	02/19	OTC ERROR	099	BRCD	B	10,000	3.45	n/a	n/a	0.00	0.0
AO,CRT	02/19	OTC ERROR	099	BRCD	B	10,000	3.45	n/a	n/a	0.00	0.0
AO,CRT	02/19	OTC ERROR	099	BRCD	S	10,000	3.44	n/a	n/a	0.00	0.0
AO,CXL	02/19	LISTED ERR	099	BRCD	S	10,000	3.44	n/a	n/a	0.00	0.0
AO,CXL	02/19	MILLENIU PARTNERS	028	FOR	B	50,000	8.98	12-Feb	12-Feb	2500.00	5.0
AO,CRT	02/19	MILLENIU PARTNERS	028	FOR	B	50,000	8.98	12-Feb	12-Feb	2500.00	5.0
AO,	02/19	BUCK CAPITAL MGMT	001	LIZ	B	90,335	2.60	n/a	14-Jan	2710.05	3.0
AO,CRT	02/19	BUCK CAPITAL MGMT	001	LIZ	B	5,100	2.60	n/a	14-Jan	153.00	3.0
AO,CXL	02/19	BUCK CAPITAL MGMT	001	LIZ	B	95,435	2.60	n/a	14-Jan	2863.05	3.0
AO,	02/19	TRELLUS PARTNERS LP	028	PAG	C	100,000	5.43	n/a	18-Feb	3000.00	3.0
AO,	02/19	NOMURA CAPITAL	045	SGLP	S	23,000	2.43	n/a	n/a	690.00	3.0

TOTAL (AO, CXL, CRT) :**3,690.00**

TOTAL (Trade Date) :**116,132.42****TOTAL (AO, CXL, CRT) :****3,690.00**

TOTAL (RUN DATE) / NFS:**119,822.42**

MRI Securities with Trade Activity on 20-Feb.
NONE

MRI Securities without Trade Activity on 20-Feb.
AB, JWN, SHPGY

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 26%
YTD = 25%

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

f: Employee Trades (Fidelity)