



# Daily Compliance Activity Report

Trade Date: 09/01/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	AEO	B	50,000	13.77	25-Jun	27-Aug	2,000.00	4.0
TYEE/TYGH	035	AMG	B	64,067	62.97	3-Aug	31-Aug	2,562.68	4.0
1798 CAPITAL MGMT	040	ANF	B	15,000	31.83	3-Jun	27-Aug	750.00	5.0
SIGMA CAPITAL ASSOCIATES	041	ANF	B	50,000	31.97	3-Jun	27-Aug	2,000.00	4.0
JP MORGAN VENTURES	046	ARO	SS	35,000	39.09	n/a	27-Aug	1,750.00	5.0
B BUCK CAPITAL MGMT		AXL	B	100,000	5.68	19-Aug	1-Sep	non-brg	0.8
B BUCK CAPITAL MGMT		AXL	B	50,000	5.76	19-Aug	1-Sep	non-brg	2.5
COUGAR TRADING	044	AXL	S	10,000	5.67	19-Aug	1-Sep	400.00	4.0
DIAMONDBACK CAP MGMT	232	AXL	S	50,000	5.65	19-Aug	1-Sep	2,500.00	5.0
DSG CAPITAL	225	AXL	B	15,000	5.77	19-Aug	1-Sep	450.00	3.0
f JESSICA PERNO	FID	AXL	S	72	5.61	19-Aug	1-Sep	0.00	0.0
L.R.BURTSCHY & CO	045	AXL	B	50,000	5.88	19-Aug	1-Sep	3,000.00	6.0
LAGRANGE CAP ADV	048	AXL	B	20,000	5.65	19-Aug	1-Sep	1,000.00	5.0
SCOPUS FUND	041	AXL	S	82,044	5.75	19-Aug	1-Sep	4,102.20	5.0
UBS OCONNOR	031	BAC	B	100,000	16.87	11-May	1-Sep	3,000.00	3.0
B BUCK CAPITAL MGMT		BHI	B	15,000	35.26	n/a	n/a	non-brg	4.0
RAMIUS CAP	040	BIG	SS	9,500	25.03	25-Aug	25-Aug	380.00	4.0
THE JAY GOLDMAN	034	BJ	S	15,000	32.73	n/a	27-Jul	600.00	4.0
EPOCH INV MGMT	030	BK	B	45,400	28.61	11-May	12-Aug	1,362.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		BONT	B	80,548	6.69	n/a	6-Feb	non-brg	2.5
B BUCK CAPITAL MGMT		BYD	B	20,000	9.79	n/a	7-Aug	non-brg	3.0
BAIRD INVESTMENT	047	CAM	S	3,189	35.01	n/a	n/a	159.45	5.0
RAMIUS CAP	040	CHTT	SS	11,100	61.90	23-Jun	27-Jul	444.00	4.0
BUCK CAPITAL MGMT	001	COH	S	30,000	29.46	n/a	29-Jul	1,200.00	4.0
f JOHN MICHAEL ZOLIDIS	FID	COH	S	300	29.81	n/a	29-Jul	0.00	0.0
B BUCK CAPITAL MGMT		COLM	C	10,000	39.17	n/a	n/a	non-brg	4.0
THE JAY GOLDMAN	034	COST	B	10,000	50.34	n/a	27-Jul	400.00	4.0
CLOVIS CAPITAL	012	CTXS	SS	50,000	34.94	n/a	n/a	2,500.00	5.0
f STEFFANIE CARMELA CA	FID	CVGI	S	1200	4.38	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		C	B	108,000	4.67	n/a	17-Aug	non-brg	3.0
CONIFER/ISF	025	C	S	25,000	4.66	n/a	17-Aug	1,250.00	5.0
B BUCK CAPITAL MGMT		DECK	S	40,000	66.48	n/a	n/a	non-brg	4.0
f NEIL M STRATTON	FID	DKR	B	100	18.00	n/a	n/a	0.00	0.0
f NEIL M STRATTON	FID	DKR	B	500	18.00	n/a	n/a	0.00	0.0
1798 CAPITAL MGMT	040	ERTS	SS	10,000	17.89	n/a	n/a	500.00	5.0
f ABRAM M CHAPPELL	FID	ESLR	B	850	1.73	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f JOHN MICHAEL ZOLIDIS</b>	<b>FID</b>	<b>FINL</b>	<b>B</b>	<b>500</b>	<b>8.25</b>	<b>n/a</b>	<b>28-Mar</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>FL</b>	<b>B</b>	<b>50,000</b>	<b>10.74</b>	<b>27-Aug</b>	<b>27-Aug</b>	<b>2,000.00</b>	<b>4.0</b>
TRUSTCO/SUNTRUST	040	FL	B	28,500	10.75	27-Aug	27-Aug	1,111.52	3.9
BTIG/KDI ADV	039	FOR	B	50,000	14.41	6-Aug	6-Aug	2,000.00	4.0
IRONBOUND CAPITAL	012	FOR	S	13,200	14.46	6-Aug	6-Aug	660.00	5.0
BRENCOURT	028	F	B	50,000	7.63	27-Aug	31-Aug	2,500.00	5.0
CAVU CAP ADV	028	F	B	50,000	7.42	27-Aug	31-Aug	2,500.00	5.0
CENTURION PARTNERS	041	F	B	50,000	7.69	27-Aug	31-Aug	2,000.00	4.0
SCOPUS FUND	041	F	S	50,000	7.26	27-Aug	31-Aug	2,500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>GIL</b>	<b>B</b>	<b>10,000</b>	<b>19.88</b>	<b>14-Aug</b>	<b>14-Aug</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GIL</b>	<b>B</b>	<b>40,000</b>	<b>19.88</b>	<b>14-Aug</b>	<b>14-Aug</b>	<b>non-brg</b>	<b>2.5</b>
<b>f JOHN BARTMAN COLE</b>	<b>FID</b>	<b>GPX</b>	<b>S</b>	<b>1000</b>	<b>2.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LONG OAR GLOBAL INV	040	GTI	SS	24,500	13.73	n/a	n/a	1,225.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>HBI</b>	<b>B</b>	<b>30,000</b>	<b>20.84</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
SASCO	038	HD	B	18,300	26.83	10-Aug	19-Aug	732.00	4.0
<b>f KEVIN MICHAEL O'GORM</b>	<b>FID</b>	<b>HIBB</b>	<b>S</b>	<b>1000</b>	<b>17.58</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>HOG</b>	<b>C</b>	<b>15,000</b>	<b>24.70</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>HOG</b>	<b>C</b>	<b>85,000</b>	<b>24.51</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
ARMATURE CAPITAL	041	IP	S	10,000	22.02	14-Aug	14-Aug	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SANDLER O'NEILL ASSET	031	IVZ	B	30,500	20.19	6-Aug	1-Sep	1,525.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>JBHT</b>	<b>B</b>	<b>20,000</b>	<b>28.24</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>f ABRAM M CHAPPELL</b>	<b>FID</b>	<b>JBLU</b>	<b>S</b>	<b>250</b>	<b>5.97</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f FRANCIS MICHAEL MCCA</b>	<b>FID</b>	<b>JBLU</b>	<b>S</b>	<b>700</b>	<b>5.89</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
1798 CAPITAL MGMT	040	JCP	B	25,000	29.87	13-Apr	27-Aug	1,250.00	5.0
SASCO	038	JCP	B	16,600	29.67	13-Apr	27-Aug	664.00	4.0
SIGMA CAPITAL ASSOCIATES	041	JCP	B	50,000	29.80	13-Apr	27-Aug	2,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>JNS</b>	<b>B</b>	<b>80,000</b>	<b>11.98</b>	<b>16-Jul</b>	<b>19-Aug</b>	<b>non-brg</b>	<b>4.0</b>
<b>f ROBERT M DANIELS</b>	<b>FID</b>	<b>JST</b>	<b>B</b>	<b>150</b>	<b>24.98</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TRUST CO/COWEN/CALF.	040	KLAC	S	206,112	31.54	n/a	n/a	10,305.60	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>KMT</b>	<b>B</b>	<b>30,000</b>	<b>22.35</b>	<b>30-Jul</b>	<b>30-Jul</b>	<b>non-brg</b>	<b>4.0</b>
CLOVIS CAPITAL	012	KSS	SS	50,000	51.23	14-Aug	27-Aug	2,500.00	5.0
JP MORGAN VENTURES	046	KSS	B	10,000	52.19	14-Aug	27-Aug	500.00	5.0
COBALT	041	KWK	SS	50,000	10.46	n/a	n/a	2,000.00	4.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>LNCR</b>	<b>B</b>	<b>1600</b>	<b>26.12</b>	<b>n/a</b>	<b>31-Aug</b>	<b>0.00</b>	<b>0.0</b>
SONTERRA CAP	041	LPX	B	30,000	6.98	n/a	5-Aug	900.00	3.0
JMP ASSET MGMT	210	LULU	S	11,350	20.50	n/a	n/a	567.50	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SASCO	038	MAS	B	34,500	13.78	n/a	n/a	1,380.00	4.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>METID</b>	<b>B</b>	<b>36</b>	<b>15.84</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
RAMIUS CAP	040	MIDD	SS	19,725	46.42	n/a	14-Aug	789.00	4.0
PROSPECTOR PARTNERS LLC	036	MMR	S	10,000	8.44	n/a	n/a	400.00	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>MONVP</b>	<b>B</b>	<b>15</b>	<b>3.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CATAPULT	040	MON	B	20,000	81.58	n/a	17-Aug	1,000.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>MS</b>	<b>B</b>	<b>36,000</b>	<b>27.56</b>	<b>11-May</b>	<b>23-Jul</b>	<b>non-brg</b>	<b>4.0</b>
<b>f ROBERT M DANIELS</b>	<b>FID</b>	<b>MWE</b>	<b>B</b>	<b>200</b>	<b>20.12</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PROSPECTOR PARTNERS LLC	036	MXGL	B	10,000	20.18	n/a	n/a	400.00	4.0
CHART WELL ADV	028	NTRS	S	52,950	58.25	22-Apr	23-Jul	2,118.00	4.0
SYSTEMATIC FINANCIAL MGT	035	NWL	B	16,050	13.70	n/a	n/a	561.75	3.5
<b>f NEIL M STRATTON</b>	<b>FID</b>	<b>OUYMD</b>	<b>S</b>	<b>2</b>	<b>2.35</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f STRATTON PAR TNERSHI</b>	<b>FID</b>	<b>OUYMD</b>	<b>S</b>	<b>2</b>	<b>2.35</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CLOVIS CAPITAL	012	PAYX	SS	50,000	27.70	n/a	n/a	2,500.00	5.0
KEEFE BRUYETTE WOODS A	045	PBCT	B	5,200	15.82	n/a	28-Jul	260.00	5.0
RAMIUS CAP	040	PCL	S	30,200	29.12	n/a	28-Jul	1,208.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DIAMONDBACK CAP MGMT	232	PEP	B	25,000	56.30	n/a	n/a	1,250.00	5.0
RAMIUS CAP	040	PFCB	B	28,050	31.72	22-Jul	22-Jul	1,122.00	4.0
LATEFF MGMT	035	PG	B	500	53.05	3-Aug	24-Aug	160.00	32.0
<b>B BUCK CAPITAL MGMT</b>		<b>PLCE</b>	<b>B</b>	<b>35,000</b>	<b>29.97</b>	<b>n/a</b>	<b>27-Aug</b>	<b>non-brg</b>	<b>0.8</b>
LATEFF MGMT	035	PTV	S	2,500	24.60	n/a	n/a	325.00	13.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>QQQQ</b>	<b>S</b>	<b>500</b>	<b>39.36</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EPOCH INV MGMT	030	RE	B	11,300	84.56	n/a	n/a	339.00	3.0
<b>f WILLIAM RAYMOND KATZ</b>	<b>FID</b>	<b>RF</b>	<b>B</b>	<b>1000</b>	<b>5.63</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>RIG</b>	<b>B</b>	<b>10,000</b>	<b>74.99</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
LATEFF MGMT	035	SBUX	S	3,250	19.18	n/a	21-Jul	390.00	12.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>SDS</b>	<b>B</b>	<b>500</b>	<b>45.06</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BAIRD INVESTMENT	047	SII	S	6,050	27.24	n/a	n/a	302.50	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SII</b>	<b>B</b>	<b>25,000</b>	<b>27.65</b>	<b>n/a</b>	<b>n/a</b>	<b>1,000.00</b>	<b>4.0</b>
ARMATURE CAPITAL	041	SOA	S	10,100	12.25	n/a	n/a	404.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>SUP</b>	<b>B</b>	<b>20,000</b>	<b>14.00</b>	<b>10-Aug</b>	<b>10-Aug</b>	<b>non-brg</b>	<b>1.0</b>
<b>f ANDREW SINCLAIR</b>	<b>FID</b>	<b>SWGIB</b>	<b>S</b>	<b>50</b>	<b>0.34</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 ANDREW SINCLAIR</b>	<b>FID</b>	<b>SWGIE</b>	<b>B</b>	<b>100</b>	<b>0.11</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
JMP ASSET MGMT	210	SYNA	B	7,000	26.14	n/a	n/a	350.00	5.0
<b>f ANTHONY NG</b>	<b>FID</b>	<b>S</b>	<b>B</b>	<b>250</b>	<b>3.53</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>TBT</b>	<b>B</b>	<b>80</b>	<b>47.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
1798 CAPITAL MGMT	040	TGT	B	35,000	46.56	19-Aug	19-Aug	1,750.00	5.0
AVESTA CAP	229	TWX	S	100,000	27.24	n/a	n/a	4,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>ULTA</b>	<b>B</b>	<b>20,000</b>	<b>12.02</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f JOHN BARTMAN COLE</b>	<b>FID</b>	<b>UNG</b>	<b>B</b>	<b>200</b>	<b>10.33</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
AVESTA CAP	229	UTX	S	50,000	59.92	n/a	n/a	2,000.00	4.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>UYG</b>	<b>S</b>	<b>2000</b>	<b>5.37</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
JP MORGAN VENTURES	046	WMT	B	10,000	51.03	11-May	13-Aug	500.00	5.0
EPOCH INV MGMT	030	WRC	B	4,000	37.00	28-Jul	12-Aug	120.00	3.0
1798 CAPITAL MGMT	040	WTW	SS	5,000	26.40	n/a	n/a	250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>WY</b>	<b>B</b>	<b>50,000</b>	<b>36.82</b>	<b>n/a</b>	<b>3-Aug</b>	<b>non-brg</b>	<b>4.0</b>
HIGHFIELDS CAP MGMT	039	XOM	B	100,000	68.47	n/a	n/a	5,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
1798 CAPITAL MGMT	040	YUM	SS	20,000	33.70	n/a	15-Jul	1,000.00	5.0
<b>TOTAL (Trade Date):</b>							<b>104,230.20</b>		



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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	08/31	CASTLEROCK	040	AIG	SS	36,999	46.89	n/a	n/a	1479.96 4.0
AO,CXL	08/31	CASTLEROCK	040	AIG	SS	36,999	46.89	n/a	n/a	0.00 0.0
AO,CXL	08/31	JP MORGAN VENTURES	046	IWM	SS	17,500	57.07	n/a	n/a	875.00 5.0
AO,CRT	08/31	JP MORGAN VENTURES	046	IWM	SS	17,500	57.07	n/a	n/a	525.00 3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>1,129.96</b>

TOTAL (Trade Date) :	104,230.20
TOTAL (AO, CXL, CRT) :	1,129.96

<b>TOTAL (RUN DATE) / NFS:</b>	<b>105,360.16</b>
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MRI Securities with Trade Activity on 1-Sep. NONE
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MRI Securities without Trade Activity on 1-Sep. NONE
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BRG comm. as a % of BCM Total Comm. paid. T-Date = 23% YTD = 21%
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**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)**