



Daily Compliance Activity Report

Trade Date: 12/14/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f DAVID GEORGE BUCK	FID	ABII	S	1500	38.60	n/a	n/a	0.00	0.0
LATEFF MGMT	035	ALK	S	750	34.56	n/a	n/a	165.00	22.0
LAGRANGE CAP ADV	048	ALV	SS	5,000	43.03	14-Dec	14-Dec	250.00	5.0
f MARC PAUL LUCHANSKY	FID	AOL	B	1000	25.61	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	APA	SS	2,000	98.31	n/a	1-Dec	120.00	6.0
BMO NESBITT BURNS	041	APC	B	5,000	60.27	n/a	1-Dec	300.00	6.0
SCHOTTENFELD ASSOC	041	APC	S	10,000	60.26	n/a	1-Dec	300.00	3.0
SOROS	036	APC	S	30,000	60.03	n/a	1-Dec	1,200.00	4.0
THOMPSON SIEGAL	029	ARG	S	10,800	47.76	n/a	14-Dec	364.00	3.3
COOPER CREEK PART	028	AXL	S	20,000	7.12	n/a	14-Dec	600.00	3.0
DSG CAPITAL	225	AXL	B	4,000	7.08	n/a	14-Dec	200.00	5.0
PORTER-ORLIN-FELDMAN	044	BAC	B	100,000	15.68	n/a	14-Dec	5,000.00	5.0
MTB INV ADV	034	BBY	S	10,559	44.81	n/a	n/a	527.95	5.0
f MANNY I KORMAN	FID	BWA	B	10000	31.74	n/a	9-Nov	0.00	0.0
f MARC PAUL LUCHANSKY	FID	CAT	B	1000	58.21	n/a	21-Oct	0.00	0.0
ROSEDALE CAPITAL	046	COG	S	20,000	40.79	n/a	1-Dec	1,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		CSTR	B	75,000	25.87	n/a	n/a	non-brg	2.5
⚡ BUCK CAPITAL MGMT		CSTR	B	75,000	26.24	n/a	n/a	non-brg	0.8
f ANTHONY SUTERA	FID	C	B	2500	3.69	n/a	14-Dec	0.00	0.0
f JOSEPH CIRO AMATURO	FID	C	B	20000	3.69	n/a	14-Dec	0.00	0.0
KOYOTE TRADING LLC	041	C	S	25,000	3.74	n/a	14-Dec	750.00	3.0
f MATTHEW EDWARD KATZ	FID	C	B	100	3.69	n/a	14-Dec	0.00	0.0
KAILIX INV ADV	048	DAN	S	45,000	9.24	n/a	n/a	2,250.00	5.0
f DAVID GEORGE BUCK	FID	DB	S	500	72.50	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		DHI	B	20,000	9.98	n/a	n/a	non-brg	3.0
MTB INV ADV	034	DIS	B	11,603	31.95	n/a	n/a	580.15	5.0
⚡ BUCK CAPITAL MGMT		DPZ	S	100,000	7.64	n/a	n/a	non-brg	2.5
PERSHING SQUARE	029	EMC	S	267,700	16.61	n/a	n/a	13,385.00	5.0
FIRST NEW YORK LEDDY	035	ETFC	B	20,000	1.65	n/a	n/a	1,200.00	6.0
BALYASNY ASSET MGMT	044	FII	S	25,000	25.19	n/a	14-Dec	1,250.00	5.0
BASIX	033	FL	S	81,400	9.71	n/a	23-Nov	2,442.00	3.0
DSG CAPITAL	225	FOR	B	4,500	21.85	n/a	8-Dec	225.00	5.0
⚡ BUCK CAPITAL MGMT		GIII	S	10,750	21.66	n/a	n/a	non-brg	0.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		GIL	B	10,000	22.26	n/a	11-Dec	non-brg	4.0
CHART WELL ADV	028	GPI	B	45,100	27.96	n/a	28-Oct	1,804.00	4.0
⌘ BUCK CAPITAL MGMT		HGG	S	10,000	21.87	n/a	n/a	non-brg	4.0
BARON ASSET MGMT*	012	H	B	30,200	29.43	n/a	n/a	1,510.00	5.0
UBS OCONNOR	031	ICE	S	65,880	109.78	n/a	n/a	1,976.40	3.0
BASIX	033	IR	B	12,000	36.47	n/a	7-Dec	360.00	3.0
PORTER-ORLIN-FELDMAN	044	IWM	B	100,000	60.82	n/a	n/a	5,000.00	5.0
⌘ BUCK CAPITAL MGMT		JACK	B	25,000	19.14	n/a	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		JACK	B	75,000	19.29	n/a	n/a	non-brg	2.5
TYEE/TYGH	035	LAZ	S	37,932	36.96	n/a	14-Dec	1,517.28	4.0
⌘ BUCK CAPITAL MGMT		LEN	B	20,000	12.05	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		LL	S	10,000	27.36	n/a	n/a	non-brg	4.0
JP MORGAN VENTURES	046	LTM	SS	15,000	24.41	n/a	n/a	750.00	5.0
EMERSON CAPITAL MGMT	048	MBI	B	7,800	3.37	n/a	n/a	312.00	4.0
⌘ BUCK CAPITAL MGMT		MFB	S	20,000	16.14	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	MGM	SS	20,000	10.51	n/a	6-Nov	800.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f DAVID GEORGE BUCK	FID	MO	S	2000	19.64	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		MVRX	C	50,000	169.28	n/a	n/a	non-brg	16.9
BUCK CAPITAL MGMT	001	M	B	100,000	17.32	n/a	4-Dec	4,000.00	4.0
COOPER CREEK PART	028	M	B	25,000	17.46	n/a	4-Dec	1,000.00	4.0
COUGAR TRADING	044	M	S	15,000	17.08	n/a	4-Dec	750.00	5.0
SCOPUS FUND	041	M	B	50,000	17.41	n/a	4-Dec	2,500.00	5.0
KAILIX INV ADV	048	NOC	B	12,500	56.44	n/a	23-Oct	625.00	5.0
BUCK CAPITAL MGMT	001	NTY	S	10,000	44.10	n/a	n/a	400.00	4.0
f MANNY I KORMAN	FID	OCR	B	5000	24.01	n/a	n/a	0.00	0.0
FORD FDN.	032	OSK	B	35,000	35.10	n/a	n/a	1,750.00	5.0
PORTER-ORLIN-FELDMAN	044	PBI	B	75,000	23.55	n/a	n/a	3,750.00	5.0
SOROS	036	PDC	S	100,000	6.90	n/a	n/a	3,000.00	3.0
JP MORGAN VENTURES	046	PG	S	10,000	62.91	n/a	20-Nov	500.00	5.0
B BUCK CAPITAL MGMT		PLCE	S	80,000	29.62	n/a	11-Dec	non-brg	4.0
WAGONHOUND/NIC	048	PLCE	B	6,646	29.40	n/a	11-Dec	265.84	4.0
B BUCK CAPITAL MGMT		PRTY LN	B	100,000	4.20	n/a	n/a	non-brg	0.6
BUCK CAPITAL MGMT	001	PVH	S	42,000	40.60	n/a	20-Nov	1,680.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FIRST NEW YORK NICK	029	Q	S	10,000	4.08	n/a	n/a	500.00	5.0
JMP ASSET MGMT	210	RF	S	5,000	5.58	n/a	n/a	200.00	4.0
RBC CAPITAL MARKETS	040	RTI	B	10,000	22.00	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		RT	B	10,000	6.78	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		RT	B	50,000	6.81	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		SHOO	B	6,700	40.13	n/a	n/a	non-brg	4.0
LAGRANGE CAP ADV	048	SKS	B	10,000	6.20	n/a	n/a	500.00	5.0
f DAVID GEORGE BUCK	FID	SPGMO	S	10	2.45	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	SYX	SS	50,000	28.65	n/a	n/a	2,500.00	5.0
COBALT	041	TEN	B	65,000	16.10	n/a	n/a	3,250.00	5.0
STERLING JOHNSTON	035	THC	B	25,000	4.90	n/a	n/a	1,000.00	4.0
MILLENIUM PARTNERS	028	TIN	SS	30,000	21.03	n/a	22-Oct	1,200.00	4.0
B BUCK CAPITAL MGMT		TLB	B	100,000	8.54	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		TOL	B	10,000	17.94	n/a	n/a	non-brg	4.0
BALYASNY ASSET MGMT	044	TRW	C	8,800	23.97	n/a	n/a	440.00	5.0
KAILIX INV ADV	048	TRW	S	20,000	24.06	n/a	n/a	1,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f EDWARD W WHEELER	FID	TWI	B	20000	8.53	n/a	n/a	0.00	0.0
f FRANCIS MICHAEL MCCA	FID	TWI	B	300	8.61	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	TWI	B	10000	8.57	n/a	n/a	0.00	0.0
f ABRAM M CHAPPELL	FID	TZA	S	85	11.10	n/a	n/a	0.00	0.0
JMP ASSET MGMT	210	ULTA	B	1,171	18.60	n/a	n/a	58.55	5.0
B BUCK CAPITAL MGMT		URBN	B	10,000	33.76	n/a	n/a	non-brg	4.0
JP MORGAN VENTURES	046	URBN	S	30,000	33.77	n/a	n/a	1,200.00	4.0
DIAMONDBACK CAP MGMT	232	WDR	B	15,000	29.76	n/a	14-Dec	750.00	5.0
B BUCK CAPITAL MGMT		WFT	B	30,000	15.76	n/a	n/a	non-brg	4.0
SAC TRADIN/BINDER	044	WMS	SS	15,000	39.48	n/a	n/a	600.00	4.0
DSG CAPITAL	225	WY	B	2,500	42.32	n/a	2-Nov	125.00	5.0
KAILIX INV ADV	048	XCO	S	25,000	20.54	n/a	n/a	1,250.00	5.0
f CHRISTOPHER ROBERT C	FID	XLE	B	150	56.34	n/a	n/a	0.00	0.0
SYSTEMATIC FINANCIAL MGT	035	XTO	S	408,600	47.92	n/a	n/a	14,301.00	3.5
JMP ASSET MGMT	210	ZAGG	B	8,585	4.19	n/a	n/a	257.55	3.0
TOTAL (Trade Date):								95,891.72	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/11	DENVER INST. ADV	046	AEO	B	9,100	16.06	n/a	4-Dec	364.00 4.0
AO,CRT	12/11	DC CAPITAL	044	AXL	S	20,000	7.12	n/a	14-Dec	600.00 3.0
AO,CXL	12/11	DC CAPITAL	044	AXL	S	20,000	7.12	n/a	14-Dec	1000.00 5.0
AO,CRT	12/11	HIGHFIELDS CAP MGMT	039	AXP	S	150,000	40.46	n/a	14-Dec	6000.00 4.0
AO,CXL	12/11	HIGHFIELDS CAP MGMT	039	AXP	S	150,000	40.46	n/a	14-Dec	6000.00 4.0
AO,CXL	12/11	JMP ASSET MGMT	210	CY	SS	15,000	10.42	n/a	n/a	750.00 5.0
AO,CRT	12/11	JMP ASSET MGMT	210	CY	SS	15,000	10.42	n/a	n/a	750.00 5.0
AO,CRT	12/08	COLUMBUS CIRCLE	036	EQIX	B	102	101.48	n/a	n/a	4.08 4.0
AO,CXL	12/09	LAGRANGE CAP ADV	048	EXXI	B	20,000	1.86	n/a	n/a	600.00 3.0
AO,CRT	12/09	LAGRANGE CAP ADV	048	EXXI	B	20,000	1.86	n/a	n/a	400.00 2.0
AO,CRT	12/10	WEISS PECK	040	FL	B	4,400	9.70	n/a	23-Nov	176.00 4.0
AO,CXL	12/10	WEISS PECK	040	FL	B	4,400	9.70	n/a	23-Nov	0.00 0.0
AO,	12/11	DENVER INST. ADV	046	GYMB	B	3,600	41.38	n/a	4-Dec	144.00 4.0
AO,CRT	12/09	LAGRANGE CAP ADV	048	ICON	B	10,000	11.35	n/a	n/a	500.00 5.0
AO,CXL	12/09	LAGRANGE CAP ADV	048	ICON	B	10,000	11.35	n/a	n/a	500.00 5.0
AO,CXL	12/10	SECOND CURVE CAPITAL	045	SNV	B	300,000	2.15	n/a	n/a	9000.00 3.0
AO,CRT	12/10	SECOND CURVE CAPITAL	045	SNV	B	300,000	2.15	n/a	n/a	9000.00 3.0
AO,CXL	12/11	JP MORGAN VENTURES	046	SPY	SS	15,000	110.89	n/a	n/a	750.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	12/11	JP MORGAN VENTURES	046	SPY	SS	15,000	110.89	n/a	n/a	450.00 3.0
AO,	12/11	PARTNER REINSURANCE	033	WM	B	6,300	33.22	n/a	n/a	252.00 4.0
AO,CXL	12/11	PARTNER REINSURANCE	033	WM	B	6,300	33.22	n/a	n/a	252.00 4.0
AO,CRT	12/11	JP MORGAN VENTURES	046	XRT	B	20,000	35.22	n/a	n/a	600.00 3.0
AO,CXL	12/11	JP MORGAN VENTURES	046	XRT	B	20,000	35.22	n/a	n/a	1000.00 5.0

TOTAL (AO, CXL, CRT) : **-611.92**

TOTAL (Trade Date) : 95,891.72

TOTAL (AO, CXL, CRT) : -611.92

TOTAL (RUN DATE) / NFS: **95,279.80**

MRI Securities with Trade Activity on 14-Dec.

ALV

MRI Securities without Trade Activity on 14-Dec.

OZM, JNS

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

T-Date = 19%

YTD = 20%

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)