



Daily Compliance Activity Report

Trade Date: 08/10/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	AEO	B	40,000	15.14	25-Jun	7-Aug	2,000.00	5.0
B BUCK CAPITAL MGMT		ANF	S	20,000	32.24	3-Jun	7-Aug	non-brg	1.0
BUCK CAPITAL MGMT	001	ARO	S	40,000	36.66	n/a	7-Aug	1,600.00	4.0
L.R.BURTSCHY & CO	045	AXL	B	50,000	3.15	n/a	10-Aug	3,000.00	6.0
OZ MGMT	040	AXL	B	375,000	3.48	n/a	10-Aug	11,250.00	3.0
SLS CAPITAL LLC	224	AXL	B	70,000	3.17	n/a	10-Aug	1,750.00	2.5
CARLSON CAPITAL	203	BAC	S	119,800	16.68	11-May	20-Jul	4,792.00	4.0
RBC CAPITAL MARKETS	040	BBY	B	10,000	37.58	n/a	27-Jul	400.00	4.0
f KAREN F LEDDY	FID	BWA	B	250	31.89	3-Aug	5-Aug	0.00	0.0
SCOPUS FUND	041	BWY	B	1,000	15.70	n/a	n/a	50.00	5.0
B BUCK CAPITAL MGMT		COH	S	40,000	29.89	n/a	29-Jul	non-brg	1.0
TROUBH PART	067	DELL	S	25,000	13.55	n/a	n/a	1,250.00	5.0
f JOHN CAREY MAGUIRE	FID	DYN	B	1500	2.23	n/a	n/a	0.00	0.0
CUMBERLAND	038	EXH	B	10,000	17.32	27-May	3-Aug	400.00	4.0
B BUCK CAPITAL MGMT		FOSL	S	30,000	27.32	n/a	30-Jan	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MANNY I KORMAN	FID	FSIXX	S	114100	1.00	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		F	B	100,000	7.73	3-Aug	10-Aug	non-brg	1.0
DSG CAPITAL	225	F	B	2,000	7.90	3-Aug	10-Aug	60.00	3.0
f KAREN F LEDDY	FID	F	B	1800	7.73	3-Aug	10-Aug	0.00	0.0
TRELLUS PARTNERS LP	028	F	B	150,000	7.82	3-Aug	10-Aug	4,500.00	3.0
LISTED ERR	099	F	S	500	7.72	3-Aug	10-Aug	0.00	0.0
BUCK CAPITAL MGMT	001	GCO	S	30,000	23.03	n/a	10-Jan	1,200.00	4.0
BUCK CAPITAL MGMT	001	GES	S	27,000	29.22	n/a	n/a	1,080.00	4.0
EATON VANCE MGMT	039	GE	B	900,000	14.75	n/a	n/a	27,000.00	3.0
TROUBH PART	067	GE	SS	25,000	14.43	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	GIL	B	20,000	18.03	25-Jun	25-Jun	800.00	4.0
RBC CAPITAL MARKETS	040	GVA	B	10,000	34.06	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		HBI	B	10,000	20.91	n/a	n/a	non-brg	1.0
CUMBERLAND	038	HCP	B	5,000	27.61	n/a	n/a	200.00	4.0
MILLENIUM PARTNERS	028	HRP	B	150,000	5.74	n/a	n/a	6,000.00	4.0
B BUCK CAPITAL MGMT		ICON	S	10,000	17.19	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		IMAX	S	20,000	9.17	n/a	n/a	non-brg	3.0
f ANTHONY NG	FID	JBLU	B	250	5.05	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	JCG	B	10,000	31.45	n/a	30-Jan	400.00	4.0
B BUCK CAPITAL MGMT		JCP	S	30,000	33.88	13-Apr	7-Aug	non-brg	4.0
RBC CAPITAL MARKETS	040	JCP	B	15,000	33.75	13-Apr	7-Aug	600.00	4.0
B BUCK CAPITAL MGMT		JOSE	B	110,000	38.63	n/a	n/a	non-brg	1.0
SANDLER O'NEILL ASSET	031	JPM	S	25,000	43.02	7-Aug	7-Aug	1,250.00	5.0
EIDELMAN, FINGER & CO	045	JSM	S	5,800	15.04	n/a	n/a	290.00	5.0
WHITE PINE CAPITAL	030	KMT	B	32,050	22.15	30-Jul	30-Jul	1,602.50	5.0
f MARK MEGALLI	FID	KPPC	S	6000	5.09	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		KSS	S	25,000	52.70	7-Aug	7-Aug	non-brg	4.0
M&I FUNDS	047	MCD	S	50,000	56.17	n/a	10-Aug	2,000.00	4.0
RBC CAPITAL MARKETS	040	MCD	B	10,000	56.04	n/a	10-Aug	400.00	4.0
RBC CAPITAL MARKETS	040	MGM	B	20,000	9.48	n/a	4-Aug	800.00	4.0
f CHRISTOPHER ARTHUR K	FID	MHGC	S	3000	5.33	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	MTW	B	700	6.79	n/a	7-Aug	0.00	0.0
RBC CAPITAL MARKETS	040	MWV	SS	20,000	20.99	n/a	29-Jul	800.00	4.0
LISTED ERR	099	MWV	B	20,000	20.99	n/a	29-Jul	0.00	0.0
LISTED ERR	099	MWV	S	20,000	20.99	n/a	29-Jul	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COBALT	041	M	SS	25,000	15.79	n/a	7-Aug	1,250.00	5.0
f FRANCIS MICHAEL MCCA	FID	M	B	100	15.39	n/a	7-Aug	0.00	0.0
f FRANCIS MICHAEL MCCA	FID	M	S	100	15.41	n/a	7-Aug	0.00	0.0
B BUCK CAPITAL MGMT		NP	S	3,849	11.02	12-May	20-Jul	non-brg	2.5
f MANNY I KORMAN	FID	NYB	B	5000	11.52	n/a	30-Jul	0.00	0.0
CAXTON PART	040	ORCL	S	63,020	21.07	n/a	n/a	2,205.72	3.5
FINANCIAL STOCK LP	028	PRU	S	22,869	47.10	n/a	n/a	914.76	4.0
BUCK CAPITAL MGMT	001	PVH	S	21,858	35.43	28-Jul	28-Jul	874.32	4.0
EGS ASSOCIATES LP	091	PVH	B	3,500	34.62	28-Jul	28-Jul	210.00	6.0
HOLDEN CAPITAL MGMT	035	RIMM	S	10,000	73.17	n/a	n/a	400.00	4.0
RBC CAPITAL MARKETS	040	RRD	S	15,000	15.78	n/a	n/a	600.00	4.0
B BUCK CAPITAL MGMT		RVI	B	13,000	3.34	n/a	n/a	non-brg	1.0
COHE & STEERS	091	RYN	S	62,400	41.46	n/a	3-Aug	2,496.00	4.0
WAGONHOUND/NIC	048	SFSF	B	12,311	11.03	n/a	n/a	492.44	4.0
STRAUSS ASSET MGMT	040	SGMS	S	7,500	18.55	n/a	n/a	300.00	4.0
B BUCK CAPITAL MGMT		SKX	S	70,000	15.15	n/a	13-Mar	non-brg	4.0
THOMAS WEISEL ASSET MGMT	035	SONO	S	6,440	22.96	n/a	n/a	193.20	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		SSI	SS	20,000	13.16	n/a	7-Aug	non-brg	4.0
f KAREN F LEDDY	FID	TEX	B	500	16.10	n/a	24-Jul	0.00	0.0
RBC CAPITAL MARKETS	040	TIN	S	55,000	16.30	23-Jul	23-Jul	2,200.00	4.0
B BUCK CAPITAL MGMT		URBN	S	90,000	27.11	n/a	30-Jan	non-brg	4.0
SCOPUS FUND	041	URI	B	10,000	8.14	n/a	29-Oct	500.00	5.0
TYEE/TYGH	035	WDR	B	40,000	27.42	29-Jul	7-Aug	1,600.00	4.0
f JENNIFER CORWIN GLIC	FID	WMT	B	400	49.27	11-May	4-Aug	0.00	0.0
BUCK CAPITAL MGMT	001	WRC	S	32,000	38.94	28-Jul	28-Jul	1,280.00	4.0
NEW JERSEY DIV OF INV.	030	XOM	B	50,000	69.34	n/a	n/a	2,000.00	4.0
B BUCK CAPITAL MGMT		XRT	SS	250,000	32.07	n/a	n/a	non-brg	1.0
TOTAL (Trade Date):								94,640.94	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/05	ADAGE CAPITAL MGMT	030	AOS	SS	50,000	40.06	17-Jul	17-Jul	2000.00 4.0
AO,CRT	08/05	ADAGE CAPITAL MGMT	030	AOS	SS	50,000	40.06	17-Jul	17-Jul	2000.00 4.0
AO,CRT	08/07	WOOSTER CAPITAL	035	AXL	B	100,000	3.33	n/a	10-Aug	3000.00 3.0
AO,CXL	08/07	WOOSTER CAPITAL	035	AXL	B	100,000	3.33	n/a	10-Aug	5000.00 5.0
AO,	08/07	LISTED ERR	099	F	B	500	8.15	3-Aug	10-Aug	0.00 0.0
AO,CRT	08/07	DSG CAPITAL	225	F	B	7,000	8.15	3-Aug	10-Aug	245.00 3.5
AO,CXL	08/07	DSG CAPITAL	225	F	B	7,500	8.15	3-Aug	10-Aug	262.50 3.5
AO,CXL	08/06	M&I FUNDS	047	GPS	B	11,583	17.85	n/a	30-Jan	463.32 4.0
AO,	08/06	M&I FUNDS	047	GPS	B	83	17.85	n/a	30-Jan	3.32 4.0
AO,CRT	08/06	M&I FUNDS	047	GPS	B	11,500	17.85	n/a	30-Jan	460.00 4.0
AO,CRT	08/06	MILLENIUUM PARTNERS	028	LOW	B	91,500	22.74	10-Aug	10-Aug	3660.00 4.0
AO,CXL	08/06	MILLENIUUM PARTNERS	028	LOW	B	91,500	22.74	10-Aug	10-Aug	3660.00 4.0
TOTAL (AO, CXL, CRT) :										-2,017.50
TOTAL (Trade Date):										94,640.94
TOTAL (AO, CXL, CRT):										-2,017.50
TOTAL (RUN DATE) / NFS:										92,623.44

MRI Securities with Trade Activity on 10-Aug.
NONE

MRI Securities without Trade Activity on 10-Aug.
COF, FRX, HD, LOW, SUP

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