



Daily Compliance Activity Report

Trade Date: 01/15/2010

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	AB	S	25,548	29.12	n/a	13-Jan	1,277.40	5.0
THIRD COAST CAPITAL	035	AEO	S	15,000	17.35	n/a	8-Jan	750.00	5.0
SCOPUS FUND	041	ALV	B	5,000	44.09	n/a	4-Jan	250.00	5.0
DB ALTERNATIVE DBAG LDN	034	AMG	S	6,000	68.19	n/a	8-Jan	300.00	5.0
RBC CAPITAL MARKETS	040	ANF	B	5,000	32.78	n/a	8-Jan	200.00	4.0
HIGHBRIDGE CAP	041	ANR	B	1,035	48.40	n/a	n/a	41.40	4.0
f KAREN F LEDDY	FID	ARGN	S	500	8.60	n/a	29-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	ARO	B	10,000	34.81	n/a	8-Jan	400.00	4.0
BALYASNY ASSET MGMT	044	BEN	B	20,000	109.56	n/a	13-Jan	1,000.00	5.0
f ANDREW SINCLAIR	FID	BGZ	S	500	16.10	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	BGZ	B	7000	16.09	n/a	n/a	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	BKRS	B	5000	1.56	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	BKS	SS	20,000	17.94	n/a	n/a	800.00	4.0
PRINCIPLE CAPITAL	040	BRCM	SS	100,000	29.70	n/a	n/a	3,000.00	3.0
B BUCK CAPITAL MGMT		BWA	S	25,000	37.40	n/a	4-Jan	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEVEL GLOBAL SHARED ACCT	257	CAKE	S	50,000	22.23	n/a	12-Jan	1,500.00	3.0
EXIS CAPITAL	044	CAT	SS	10,000	60.12	n/a	21-Oct	500.00	5.0
RBC CAPITAL MARKETS	040	CHS	B	5,000	13.71	n/a	n/a	200.00	4.0
BUCK CAPITAL MGMT	001	CNK	B	10,000	14.96	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	COH	S	371,915	36.90	n/a	14-Jan	14,876.60	4.0
ß BUCK CAPITAL MGMT		COH	S	150,000	36.86	n/a	14-Jan	non-brg	0.8
ß BUCK CAPITAL MGMT		CRI	S	20,000	26.11	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		CRI	S	30,000	26.04	n/a	n/a	non-brg	0.8
f MARK ANTHONY GRONET	FID	CRI	S	1000	27.05	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CROX	B	80,000	7.14	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		CSTR	B	10,000	26.96	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		CSTR	B	10,000	27.19	n/a	n/a	non-brg	4.0
JMP ASSET MGMT	210	DDRX	SS	9,500	34.60	n/a	n/a	475.00	5.0
ß BUCK CAPITAL MGMT		DIA	SS	35,000	105.71	n/a	n/a	non-brg	0.8
JP MORGAN VENTURES	046	DIN	B	20,000	23.39	n/a	n/a	1,000.00	5.0
RBC CAPITAL MARKETS	040	EAT	SS	5,000	15.21	n/a	n/a	200.00	4.0
HUNTER GLOBAL INVESTOR	067	ESV	B	300,000	44.49	n/a	n/a	15,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FIRST NEW YORK LEDDY	035	ETFC	S	10,000	1.71	n/a	n/a	600.00	6.0
f MANNY I KORMAN	FID	FAZ	B	7000	17.42	n/a	n/a	0.00	0.0
THIRD COAST CAPITAL	035	FL	B	15,000	12.49	n/a	8-Jan	750.00	5.0
f MITCHELL JAMES SPEIS	FID	FSNXX	S	10000	1.00	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FUQI	B	10,000	20.78	n/a	n/a	non-brg	2.5
EXIS CAPITAL	044	F	SS	50,000	11.59	n/a	6-Jan	2,500.00	5.0
JMP ASSET MGMT	210	GCO	S	6,976	24.97	n/a	n/a	348.80	5.0
B BUCK CAPITAL MGMT		GES	B	10,000	42.42	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GIL	S	7,500	22.75	n/a	4-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		HGG	S	34,000	20.59	n/a	n/a	non-brg	4.0
CRAMER ROSENTHAL/SCOTT	012	H	B	70,100	31.80	n/a	n/a	2,804.00	4.0
B BUCK CAPITAL MGMT		ICON	S	130,000	12.50	n/a	n/a	non-brg	4.0
RBC CAPITAL MARKETS	040	IGT	SS	25,000	20.31	n/a	13-Jan	1,000.00	4.0
RBC CAPITAL MARKETS	040	IGT	S	10,000	20.68	n/a	13-Jan	400.00	4.0
HUNTER GLOBAL INVESTOR	067	INTC	B	100,000	20.86	n/a	n/a	4,000.00	4.0
OZ MGMT	040	IP	C	173,177	25.99	n/a	7-Jan	5,195.31	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OZ MGMT	040	IP	SS	20,000	26.14	n/a	7-Jan	600.00	3.0
MILLENIUM PARTNERS	028	ITW	B	20,000	48.47	n/a	4-Jan	800.00	4.0
⌘ BUCK CAPITAL MGMT		IWO	SS	115,900	69.05	n/a	n/a	non-brg	2.0
EXIS CAPITAL	044	IYT	SS	15,000	74.78	n/a	n/a	750.00	5.0
⌘ BUCK CAPITAL MGMT		JACK	B	40,000	20.66	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT	001	JNY	B	40,000	16.43	n/a	4-Jan	1,600.00	4.0
⌘ BUCK CAPITAL MGMT		JOSB	S	10,000	44.33	n/a	n/a	non-brg	4.0
HUTCHIN HILL CAPITAL LP	233	JOSB	SS	25,000	44.12	n/a	n/a	750.00	3.0
⌘ BUCK CAPITAL MGMT		KSS	B	10,000	51.99	n/a	8-Jan	non-brg	4.0
COUGAR TRADING	044	KSS	S	5,000	51.58	n/a	8-Jan	250.00	5.0
RBC CAPITAL MARKETS	040	KSS	B	10,000	51.82	n/a	8-Jan	400.00	4.0
STERLING JOHNSTON	035	LIZ	S	110,000	5.23	n/a	7-Oct	4,400.00	4.0
⌘ BUCK CAPITAL MGMT		LL	S	2,000	25.04	n/a	n/a	non-brg	4.0
SANDLER O'NEILL ASSET	031	LM	B	10,000	30.32	n/a	8-Jan	500.00	5.0
SIGMA CAPITAL ASSOCIATES	041	LTM	SS	100,000	24.87	n/a	n/a	3,500.00	3.5
COBALT	041	MAN	S	50,000	57.40	n/a	n/a	2,500.00	5.0
HIGHBRIDGE CAP	041	MEE	B	3,152	47.64	n/a	n/a	126.08	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ Manny Korman		MER.K	B	700	20.21	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	MGA	B	200	57.87	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		MVRX	SS	50,000	170.90	n/a	n/a	non-brg	17.1
ARMATURE CAPITAL	041	NFX	B	20,000	52.65	n/a	n/a	800.00	4.0
JMP ASSET MGMT	210	NTRI	S	20,200	25.69	n/a	n/a	1,010.00	5.0
HUNTER GLOBAL INVESTOR	067	NUAN	B	200,000	16.54	n/a	n/a	8,000.00	4.0
COUGAR TRADING	044	PAG	S	15,000	16.05	n/a	4-Jan	750.00	5.0
SUFFOLK CAPITAL MGMT	040	PG	S	348,097	60.99	n/a	4-Jan	13,923.88	4.0
BMO NESBITT BURNS	041	PKG	B	24,000	23.24	n/a	7-Jan	1,200.00	5.0
ß BUCK CAPITAL MGMT		PLCE	S	5,000	33.71	n/a	8-Jan	non-brg	4.0
ß BUCK CAPITAL MGMT		PSS	S	50,000	21.32	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		RTH	SS	100,000	93.24	n/a	n/a	non-brg	2.0
f EDWARD W WHEELER	FID	RUSHA	B	8991	10.95	n/a	n/a	0.00	0.0
JP MORGAN VENTURES	046	SD	B	8,600	9.79	n/a	n/a	258.00	3.0
f JOHN MICHAEL ZOLIDIS	FID	SIG	B	400	28.19	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		SKX	S	30,000	31.40	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		SPLS	SS	10,000	25.60	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SPY	SS	35,000	113.38	n/a	n/a	non-brg	0.8
LONG OAR GLOBAL INV	040	SVU	B	28,000	14.40	n/a	n/a	1,120.00	4.0
HUNTER GLOBAL INVESTOR	067	SWY	B	75,000	21.29	n/a	n/a	3,000.00	4.0
THIRD COAST CAPITAL	035	TGT	S	7,000	50.01	n/a	14-Jan	350.00	5.0
THIRD COAST CAPITAL	035	TIF	S	17,000	45.30	n/a	n/a	850.00	5.0
SCOPUS FUND	041	TIN	SS	25,000	20.06	n/a	7-Jan	1,250.00	5.0
LISTED ERR	099	TIN	B	6,500	20.02	n/a	7-Jan	0.00	0.0
LISTED ERR	099	TIN	S	6,500	20.02	n/a	7-Jan	0.00	0.0
CASTLE ARK	031	TJX	B	101,080	37.32	n/a	8-Jan	6,064.80	6.0
BUCK CAPITAL MGMT	001	TLB	B	70,000	10.10	n/a	n/a	2,800.00	4.0
B BUCK CAPITAL MGMT		TTWO	C	150,000	10.10	n/a	n/a	non-brg	2.5
f JAMES H HLAVACEK II	FID	UNG	S	50	10.27	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		URBN	B	10,000	32.67	n/a	n/a	non-brg	4.0
f NEIL M STRATTON	FID	VKOMH	B	2	0.70	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	STRATTON PAR TNERSHI	FID	VKOMH	B	2	0.70	n/a	n/a	0.00	0.0
	SANDLER O'NEILL ASSET	031	WDR	B	10,000	32.23	n/a	8-Jan	500.00	5.0
B	BUCK CAPITAL MGMT		WFT	B	10,000	18.74	n/a	n/a	non-brg	4.0
	DIAMONDBACK CAP MGMT	232	WHR	B	10,000	83.14	n/a	n/a	500.00	5.0
	CAXTON PART	040	WMT	B	15,970	53.83	n/a	4-Jan	558.96	3.5
	THIRD COAST CAPITAL	035	WMT	S	10,000	53.77	n/a	4-Jan	500.00	5.0
f	FRANCIS MICHAEL MCCA	FID	WNC	S	1500	3.57	n/a	n/a	0.00	0.0
	KENNEDY CAPITAL	046	WRC	S	23,815	45.16	n/a	4-Jan	952.60	4.0
	JP MORGAN VENTURES	046	WSM	SS	10,000	20.84	n/a	n/a	500.00	5.0
B	BUCK CAPITAL MGMT		XLY	SS	250,000	29.92	n/a	n/a	non-brg	2.0
	HIGHBRIDGE CAP	041	X	SS	4,027	62.22	n/a	n/a	161.08	4.0
	ARCHON CAPITAL	035	ZIXI	B	50,000	2.05	n/a	n/a	1,500.00	3.0
TOTAL (Trade Date) :									122,493.91	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	01/14	CATAPULT	040	AKS	SS	25,000	24.79	n/a	n/a	1250.00 5.0
AO,CXL	01/14	CATAPULT	040	AKS	SS	25,000	24.79	n/a	n/a	1000.00 4.0
AO,CRT	01/14	MILLRACE FUND LP	028	CPKI	SS	30,000	13.99	n/a	14-Jan	1200.00 4.0
AO,CXL	01/14	MILLRACE FUND LP	028	CPKI	SS	30,000	13.99	n/a	14-Jan	900.00 3.0
AO,CRT	01/14	CATAPULT	040	CSL	S	14,880	36.77	n/a	n/a	744.00 5.0
AO,CXL	01/14	CATAPULT	040	CSL	S	14,880	36.77	n/a	n/a	595.20 4.0
AO,CRT	01/14	CATAPULT	040	PPG	B	33,000	62.86	n/a	13-Jan	1650.00 5.0
AO,CXL	01/14	CATAPULT	040	PPG	B	33,000	62.86	n/a	13-Jan	1320.00 4.0
AO,CXL	01/13	JANA CAPITAL	044	TIN	B	13,916	19.70	n/a	7-Jan	556.64 4.0
AO,CRT	01/13	JANA CAPITAL	044	TIN	B	13,916	19.70	n/a	7-Jan	556.64 4.0

TOTAL (AO, CXL, CRT) :**1,028.80**

TOTAL (Trade Date):

122,493.91

TOTAL (AO, CXL, CRT):

1,028.80

TOTAL (RUN DATE) / NFS:**123,522.71**

MRI Securities with Trade Activity on 15-Jan.
NONE

MRI Securities without Trade Activity on 15-Jan.
KG, DD

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 33%
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)