



Daily Compliance Activity Report

Trade Date: 07/13/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ARAGON GLOBAL	041	AAPL	B	5,000	141.62	n/a	n/a	200.00	4.0
CAMBIAR CAP	046	ADM	S	146,800	27.03	1-Jun	1-Jun	5,872.00	4.0
B BUCK CAPITAL MGMT		AEO	B	70,000	13.08	25-Jun	10-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		ARB	SS	30,000	16.30	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		ATVI	SS	100,000	11.02	n/a	n/a	non-brg	4.0
GRUBER MACBAIN	033	BBBY	B	20,000	30.17	n/a	n/a	800.00	4.0
f EDWARD W WHEELER	FID	BELM	B	10000	1.35	n/a	n/a	0.00	0.0
f FRANCIS MICHAEL MCCA	FID	BWA	B	200	30.48	10-Jun	10-Jun	0.00	0.0
DECADE CAPITAL PARTNERS	040	BWLD	S	10,500	33.76	n/a	n/a	420.00	4.0
DECADE CAPITAL PARTNERS	040	CAKE	B	21,200	16.71	29-May	10-Jul	848.00	4.0
B BUCK CAPITAL MGMT		CCL	SS	40,000	24.51	n/a	26-Jan	non-brg	4.0
f RAGHAV NAYAR	FID	CIT	B	200	1.25	13-Jul	13-Jul	0.00	0.0
B BUCK CAPITAL MGMT		COH	B	20,000	23.59	n/a	22-Apr	non-brg	4.0
B BUCK CAPITAL MGMT		CRM	SS	30,000	37.55	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KAYNE ANDERSON ADV	048	CRR	B	10,600	34.47	1-May	1-Jul	424.00	4.0
MERRILL ASSET/BLACKROCK	214	CVG	S	20,000	8.42	n/a	n/a	900.00	4.5
B BUCK CAPITAL MGMT		CWTR	B	20,000	5.26	n/a	n/a	non-brg	3.0
f MICHAEL MARRANO	FID	C	B	1000	2.72	n/a	10-Jul	0.00	0.0
B BUCK CAPITAL MGMT		DECK	S	20,000	64.33	n/a	n/a	non-brg	4.0
KACELA CAPITAL	034	FCX	B	15,000	47.34	n/a	n/a	600.00	4.0
BMO NESBITT BURNS	041	FOR	B	5,000	11.03	29-Jun	29-Jun	500.00	10.0
STRONG/MARK GRONET	030	GDX	B	20,000	34.31	n/a	n/a	800.00	4.0
KLEINHEINZ CAP PART	031	GIL	B	50,000	13.98	25-Jun	25-Jun	2,500.00	5.0
B BUCK CAPITAL MGMT		GRMN	SS	40,000	22.59	n/a	n/a	non-brg	4.0
JP MORGAN VENTURES	046	HAR	S	13,500	21.16	10-Jun	16-Jun	675.00	5.0
BUCK CAPITAL MGMT	001	HOG	SS	40,000	16.03	n/a	n/a	1,600.00	4.0
B BUCK CAPITAL MGMT		HOTT	C	50,000	7.24	30-Jan	30-Jan	non-brg	3.0
f DAVID GEORGE BUCK	FID	IDKMI	S	15	4.59	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	IDKSJ	B	15	4.14	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		IDXX	SS	20,000	43.70	n/a	22-Apr	non-brg	4.0
ß BUCK CAPITAL MGMT		IMAX	S	20,000	7.74	n/a	n/a	non-brg	3.0
MAIRS AND POWER INV	030	INTC	S	20,000	16.40	n/a	n/a	1,000.00	5.0
DECADE CAPITAL PARTNERS	040	JACK	B	13,400	22.17	n/a	n/a	536.00	4.0
ß BUCK CAPITAL MGMT		JCG	B	20,000	24.88	30-Jan	30-Jan	non-brg	4.0
f DAVID GEORGE BUCK	FID	JPMIH	B	15	0.76	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	JPMLR	S	15	1.58	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		LVS	B	50,000	6.93	n/a	8-Jul	non-brg	3.0
ß BUCK CAPITAL MGMT		MAR	SS	40,000	20.12	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		MCD	SS	70,000	56.91	n/a	10-Jul	non-brg	4.0
CATAPULT	040	MOS	B	50,000	40.28	n/a	n/a	2,500.00	5.0
BARCLEYS CAP (OLD LEHM)	041	M	SS	50,000	10.57	n/a	10-Jul	2,000.00	4.0
SIGMA CAPITAL ASSOCIATES	041	NTY	B	25,000	28.69	n/a	n/a	1,000.00	4.0
ß BUCK CAPITAL MGMT		NWY	B	200,000	2.74	30-Jan	30-Jan	non-brg	2.0
f FRANCIS MICHAEL MCCA	FID	PCAR	B	200	29.83	25-Mar	26-Jun	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Ⓕ BUCK CAPITAL MGMT		PDCO	SS	20,000	20.88	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	PII	SS	30,000	31.25	n/a	n/a	1,200.00	4.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	10,000	16.00	8-Apr	23-Jun	500.00	5.0
Ⓕ BUCK CAPITAL MGMT		RRGB	SS	20,000	18.23	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	SAI	SS	20,000	17.16	n/a	n/a	800.00	4.0
DIAMONDBACK CAP MGMT	232	SGR	S	25,000	24.40	n/a	n/a	1,250.00	5.0
Ⓕ BUCK CAPITAL MGMT		SKX	S	50,000	10.29	n/a	13-Mar	non-brg	2.5
NEWCASTLE FUNDS	255	SMG	S	60,000	36.23	10-Jun	9-Jul	2,400.00	4.0
BMO NESBITT BURNS	041	TIN	S	25,000	12.99	9-Jul	9-Jul	1,250.00	5.0
SCOPUS FUND	041	TIN	S	30,000	12.73	9-Jul	9-Jul	1,500.00	5.0
MERRILL ASSET/BLACKROCK	214	TKR	B	5,300	16.24	n/a	n/a	238.50	4.5
f JONATHAN RICHARD HAR	FID	TZA	B	200	27.30	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	TZA	S	200	26.57	n/a	n/a	0.00	0.0
Ⓕ BUCK CAPITAL MGMT		URBN	B	100,000	19.84	30-Jan	30-Jan	non-brg	4.0
Ⓕ BUCK CAPITAL MGMT		URBN	B	120,000	20.07	30-Jan	30-Jan	non-brg	4.0
MERRILL ASSET/BLACKROCK	214	URBN	B	3,300	18.98	30-Jan	30-Jan	148.50	4.5
JP MORGAN VENTURES	046	USO	B	6,600	31.66	n/a	n/a	330.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		WFMI	C	100,000	19.66	n/a	n/a	non-brg	4.0
DIAMONDBACK CAP MGMT	232	WHR	B	15,000	45.14	n/a	n/a	750.00	5.0
AVESTA CAP	229	WMT	SS	50,000	47.75	11-May	6-Jul	2,000.00	4.0
JP MORGAN VENTURES	046	WRC	B	20,000	31.53	13-May	13-May	1,000.00	5.0
JP MORGAN VENTURES	046	WSM	SS	10,000	11.16	n/a	n/a	500.00	5.0
⌘ BUCK CAPITAL MGMT		XLY	SS	350,000	22.09	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		XRAY	SS	10,000	27.90	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		XRT	SS	220,000	26.34	n/a	n/a	non-brg	1.0
DECADE CAPITAL PARTNERS	040	YUM	S	8,400	35.48	n/a	13-Jul	336.00	4.0
TOTAL (Trade Date) :								37,378.00	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	07/10	ROTHSCHILD ASSET	040	BIO	S	5,810	70.07	n/a	n/a	261.45	4.5
AO,CXL	07/10	&SEN	028	CAR	S	83,000	5.75	n/a	n/a	3320.00	4.0
AO,CRT	07/10	SENATOR INVESTMENT GROUP	036	CAR	S	83,000	5.75	n/a	n/a	3320.00	4.0
AO,CRT	07/08	DECADE CAPITAL PARTNERS	040	DPS	S	44,800	22.25	n/a	n/a	1792.00	4.0
AO,CXL	07/08	DECADE CAPITAL PARTNERS	040	DPS	S	44,800	22.25	n/a	n/a	2240.00	5.0
AO,CRT	07/08	DECADE CAPITAL PARTNERS	040	TAP	B	23,400	42.61	n/a	n/a	936.00	4.0
AO,CXL	07/08	DECADE CAPITAL PARTNERS	040	TAP	B	23,400	42.61	n/a	n/a	1170.00	5.0
TOTAL (AO, CXL, CRT) :										-420.55	

TOTAL (Trade Date):	37,378.00
TOTAL (AO, CXL, CRT):	-420.55

TOTAL (RUN DATE) / NFS:	36,957.45
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MRI Securities with Trade Activity on 13-Jul.

CIT

MRI Securities without Trade Activity on 13-Jul.

NONE

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

T-Date = 7%

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)