



Daily Compliance Activity Report

Trade Date: 07/30/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LAGRANGE CAP ADV	048	ABG	B	12,500	12.93	n/a	30-Apr	625.00	5.0
LAGRANGE CAP ADV	048	ABG	SS	30,100	13.73	n/a	30-Apr	1,505.00	5.0
f KEVIN MICHAEL O'GORM	FID	AB	B	1000	22.15	31-Jul	30-Jul	0.00	0.0
BUCK CAPITAL MGMT	001	AEO	B	120,100	14.90	25-Jun	10-Jul	4,804.00	4.0
B BUCK CAPITAL MGMT		AEO	B	25,000	14.74	25-Jun	10-Jul	non-brg	4.0
f JOHN BARTMAN COLE	FID	AI	S	1800	0.40	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	AMAG	S	1000	46.05	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	ANF	B	50,000	29.51	3-Jun	10-Jul	2,000.00	4.0
f NICOLAS EVAN PAKLER	FID	AN	B	150	20.30	10-Jun	10-Jun	0.00	0.0
ROYCE TRADING	216	AOS	B	50,000	39.95	17-Jul	17-Jul	2,500.00	5.0
BUCK CAPITAL MGMT	001	ARO	B	49,400	37.28	n/a	10-Jul	1,976.00	4.0
B BUCK CAPITAL MGMT		ATVI	C	200,000	11.58	n/a	n/a	non-brg	4.0
f JOSEPH CIRO AMATURO	FID	AVMHJ	S	20	0.80	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		AVP	C	30,000	31.91	2-Jun	23-Jul	non-brg	4.0
BUCK CAPITAL MGMT	001	AVY	B	25,000	29.34	28-Apr	30-Jul	1,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROCKEFELLER & CO	045	AVY	B	371,708	29.03	28-Apr	30-Jul	11,151.24	3.0
LAGRANGE CAP ADV	048	AXL	B	30,000	1.73	n/a	30-Jul	1,500.00	5.0
TRELLUS PARTNERS LP	028	AXL	B	100,000	1.68	n/a	30-Jul	1,000.00	1.0
f MANNY I KORMAN	FID	BACPRU	B	3000	17.55	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		BBBY	C	91,909	35.54	n/a	n/a	non-brg	4.0
REICH AND TANG	067	BDX	B	3,000	66.86	n/a	22-Apr	150.00	5.0
ß BUCK CAPITAL MGMT		BEBE	B	20,000	6.92	n/a	n/a	non-brg	3.0
f ANDREW SINCLAIR	FID	BGZ	B	500	27.00	n/a	n/a	0.00	0.0
f ANDREW SINCLAIR	FID	BGZ	S	500	27.15	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	BGZ	S	8000	27.03	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		BIG	B	60,000	23.43	28-May	6-Jul	non-brg	4.0
EGS ASSOCIATES LP	091	BIG	SS	100	23.30	28-May	6-Jul	6.00	6.0
ß BUCK CAPITAL MGMT		BKC	C	50,000	17.04	16-Apr	10-Jul	non-brg	4.0
BUCK CAPITAL MGMT	001	BKS	B	50,000	23.62	n/a	n/a	2,000.00	4.0
FRONTPOINT/COPIA-ANDREW	031	BP	B	43,500	49.97	n/a	n/a	1,522.50	3.5
f MANNY I KORMAN	FID	BWF	B	2000	24.98	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CAB	C	30,000	16.05	n/a	n/a	non-brg	2.5
WEISS PECK	040	CAKE	SS	5,800	18.74	24-Jul	24-Jul	290.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f STRATTON PAR TNERSHI	FID	CASH	B	100	21.50	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	CAT	B	20,000	43.45	n/a	22-Jul	800.00	4.0
ß BUCK CAPITAL MGMT		CAT	C	30,000	43.07	n/a	22-Jul	non-brg	1.0
ß BUCK CAPITAL MGMT		CCI	S	10,000	29.35	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		CLX	C	25,000	60.28	15-Jun	15-Jun	non-brg	4.0
ROTHSCHILD ASSET	040	CMP	S	4,919	50.94	n/a	n/a	221.37	4.5
BUCK CAPITAL MGMT	001	COH	S	80,000	29.43	n/a	29-Jul	3,200.00	4.0
ß BUCK CAPITAL MGMT		COLM	C	10,000	36.04	n/a	n/a	non-brg	1.0
FRONTPOINT/COPIA-ANDREW	031	COP	B	33,700	43.32	n/a	n/a	1,179.50	3.5
ß BUCK CAPITAL MGMT		COST	C	50,000	49.42	n/a	27-Jul	non-brg	4.0
BUCK CAPITAL MGMT	001	CRI	S	90,000	28.33	n/a	n/a	3,600.00	4.0
ß BUCK CAPITAL MGMT		CRM	C	30,000	44.35	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT	001	DAI	B	30,000	45.13	n/a	n/a	1,200.00	4.0
ß BUCK CAPITAL MGMT		DECK	B	10,000	69.76	n/a	n/a	non-brg	4.0
EGS ASSOCIATES LP	091	DSW	SS	3,500	13.69	28-Jul	28-Jul	210.00	6.0
f MANNY I KORMAN	FID	DUA	B	800	19.73	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DIAMONDBACK CAP MGMT	232	DYN	B	50,000	2.01	n/a	n/a	2,500.00	5.0
BUCK CAPITAL MGMT	001	EL	SS	20,000	36.81	5-May	5-May	800.00	4.0
FIRST NEW YORK LEDDY	035	ETFC	B	40,000	1.48	n/a	n/a	2,000.00	5.0
CUMBERLAND	038	EXH	B	2,383	17.25	27-May	29-Jul	95.32	4.0
PAULSON & CO INC	041	FHN	B	250,000	12.63	n/a	n/a	7,500.00	3.0
ß BUCK CAPITAL MGMT		FII	B	41,200	26.28	24-Apr	30-Jul	non-brg	1.0
f JOHN BARTMAN COLE	FID	FLEX	S	300	4.79	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	FL	B	50,000	11.46	27-Apr	26-Jun	2,000.00	4.0
ß BUCK CAPITAL MGMT		FOSL	S	10,800	26.75	n/a	30-Jan	non-brg	2.0
ß BUCK CAPITAL MGMT		FOSL	S	25,200	26.48	n/a	30-Jan	non-brg	4.0
f MANNY I KORMAN	FID	FSIXX	S	375000	1.00	n/a	n/a	0.00	0.0
MOORE CAPITAL	036	FXI	SS	100,000	42.16	n/a	n/a	4,000.00	4.0
BUCK CAPITAL MGMT	001	GE	B	290,894	13.19	n/a	n/a	11,635.76	4.0
f JOHN BARTMAN COLE	FID	GGWPQ	S	500	2.14	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		GIL	B	13,500	16.99	25-Jun	25-Jun	non-brg	4.0
ß BUCK CAPITAL MGMT		GIL	B	36,500	16.83	25-Jun	25-Jun	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		GIL	B	50,000	17.05	25-Jun	25-Jun	non-brg	2.5
ß BUCK CAPITAL MGMT		GRMN	C	43,000	28.27	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	067	GS	B	200	163.74	14-Jul	14-Jul	10.00	5.0
ROSEDALE CAPITAL	046	HAS	B	20,000	26.25	n/a	n/a	1,000.00	5.0
ß BUCK CAPITAL MGMT		HBI	B	20,000	17.89	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		HBI	B	50,000	18.35	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		HBI	B	55,000	18.73	n/a	n/a	non-brg	2.5
f JONATHAN RICHARD HAR	FID	HBI	B	225	17.64	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	HEK	B	20000	3.61	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		HLF	B	20,000	33.60	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	HOG	SS	10,000	22.36	n/a	n/a	400.00	4.0
ß BUCK CAPITAL MGMT		HOTT	C	50,000	7.87	n/a	30-Jan	non-brg	3.0
ß BUCK CAPITAL MGMT		HOTT	C	52,665	7.95	n/a	30-Jan	non-brg	2.5
BUCK CAPITAL MGMT	001	HOT	B	50,000	23.04	n/a	n/a	2,000.00	4.0
ß BUCK CAPITAL MGMT		ICON	S	10,000	17.84	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		IDXX	C	50,000	50.33	n/a	22-Apr	non-brg	4.0
ß BUCK CAPITAL MGMT		IP	S	20,000	18.94	30-Jul	30-Jul	non-brg	1.0
COBALT	041	IP	B	200,000	19.23	30-Jul	30-Jul	10,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	IP	S	60,000	19.40	30-Jul	30-Jul	3,000.00	5.0
SCOPUS FUND	041	IP	S	20,000	19.24	30-Jul	30-Jul	1,000.00	5.0
SCOPUS FUND	041	ITT	SS	25,000	48.40	n/a	24-Jul	1,250.00	5.0
BUCK CAPITAL MGMT	001	JCG	B	20,000	28.44	n/a	30-Jan	800.00	4.0
f MICHAEL THOMAS NOLAN	FID	JEF	S	300	23.09	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		JNS	B	82,100	13.62	16-Jul	30-Jul	non-brg	1.0
B BUCK CAPITAL MGMT		JNY+HU[JNY]	C	3,000	5.71	n/a	n/a	non-brg	300.0
f MANNY I KORMAN	FID	JPMPRW	B	2000	24.09	n/a	n/a	0.00	0.0
KENNEDY CAPITAL	046	KCP	B	28,972	7.47	n/a	28-Sep	869.16	3.0
MILLENNIUM-ANDEW	031	KMT	SS	20,000	22.20	30-Jul	30-Jul	1,200.00	6.0
SCHOTTENFELD ASSOC	041	KMT	B	20,000	21.65	30-Jul	30-Jul	600.00	3.0
KENNEDY CAPITAL	046	KPPC	B	25,000	5.19	n/a	n/a	750.00	3.0
AVESTA CAP	229	KSS	S	50,000	50.20	28-Jul	28-Jul	2,000.00	4.0
f MANNY I KORMAN	FID	LNCR	B	3000	26.75	n/a	21-Jul	0.00	0.0
BUCK CAPITAL MGMT	001	MAR	B	50,000	21.23	n/a	n/a	2,000.00	4.0
DIAMONDBACK CAP MGMT	232	MCD	B	25,000	55.88	n/a	23-Jul	1,250.00	5.0
f MANNY I KORMAN	FID	MERPRK	B	3000	17.90	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f MANNY I KORMAN	FID	METPRB	B	3000	22.69	n/a	n/a	0.00	0.0
CIRCLE T/SES PART	035	MPXL	S	25,000	5.21	n/a	14-Jul	750.00	3.0
TROUBH PART	067	MSFT	S	50,000	24.08	n/a	3-Apr	2,500.00	5.0
f FRANCIS MICHAEL MCCA	FID	MS	B	300	28.26	11-May	23-Jul	0.00	0.0
f MICHAEL THOMAS NOLAN	FID	MS	B	250	28.30	11-May	23-Jul	0.00	0.0
B BUCK CAPITAL MGMT		MVRX	C	350,000	145.07	n/a	n/a	non-brg	14.5
SCHOTTENFELD ASSOC	041	MWV	B	25,000	19.35	n/a	29-Jul	750.00	3.0
PROSPECTOR PARTNERS LLC	036	MXGL	B	10,000	19.88	n/a	n/a	400.00	4.0
JMP ASSET MGMT	210	NTRI	B	1,000	14.48	n/a	n/a	40.00	4.0
B BUCK CAPITAL MGMT		NTY	B	30,000	35.67	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		OC	C	30,000	18.17	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	067	OXY	B	1,000	71.20	n/a	n/a	50.00	5.0
f DAVID GEORGE BUCK	FID	PBCT	S	5000	16.49	n/a	28-Jul	0.00	0.0
B BUCK CAPITAL MGMT		PII	C	20,000	38.13	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		PKG	S	20,000	19.67	21-Jul	21-Jul	non-brg	1.0
CR INTRINIC INVESTMENT	044	PKI	S	50,000	19.25	n/a	n/a	2,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		PLCE	B	30,000	31.33	19-Mar	30-Jul	non-brg	4.0
METROPOLITAN CAPITAL	044	PLCE	S	36,200	31.33	19-Mar	30-Jul	1,810.00	5.0
f JOHN BARTMAN COLE	FID	PNDMF	S	3300	1.38	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	PSS	S	10,000	16.12	n/a	n/a	400.00	4.0
FIRST NEW YORK NICK	029	Q	S	20,000	4.04	n/a	n/a	1,000.00	5.0
NEUBERGER BERMAN	036	RCL	B	125,000	14.61	22-Apr	24-Apr	5,625.00	4.5
ROTHSCHILD ASSET	040	RGA	S	9,339	41.39	n/a	n/a	420.28	4.5
BUCK CAPITAL MGMT	001	RL	B	10,000	63.20	28-Jul	28-Jul	400.00	4.0
SOROS	036	RTH	C	248,500	83.19	n/a	n/a	7,455.00	3.0
B BUCK CAPITAL MGMT		RYL	B	10,000	18.78	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		SBUX	C	25,000	17.38	20-Apr	21-Jul	non-brg	1.0
B BUCK CAPITAL MGMT		SBUX	C	25,000	17.49	20-Apr	21-Jul	non-brg	1.0
B BUCK CAPITAL MGMT		SHOO	SS	10,000	33.36	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		SHOO	SS	10,000	33.66	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		SHOO	SS	10,000	33.70	n/a	n/a	non-brg	1.0
LIEBAU ASSET	048	SNE	S	26,750	27.18	n/a	n/a	1,337.50	5.0
f MARC PAUL LUCHANSKY	FID	SPY	B	100	99.69	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TROUBH PART	067	SPY	B	50,000	99.55	n/a	n/a	2,500.00	5.0
TROUBH PART	067	SPY	SS	50,000	99.50	n/a	n/a	2,500.00	5.0
ß BUCK CAPITAL MGMT		SUMR	B	10,000	2.55	n/a	n/a	non-brg	2.5
f ANDREW SINCLAIR	FID	SZCUJ	B	50	0.75	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		TEX	S	10,000	14.86	n/a	24-Jul	non-brg	1.0
ß BUCK CAPITAL MGMT		TIN	S	20,000	16.10	23-Jul	23-Jul	non-brg	1.0
BUCK CAPITAL MGMT	001	TLB	B	55,000	5.55	n/a	30-Jan	1,650.00	3.0
BUCK CAPITAL MGMT	001	UA	SS	20,000	25.31	29-Jul	29-Jul	800.00	4.0
ß BUCK CAPITAL MGMT		URBN	B	20,000	23.73	n/a	30-Jan	non-brg	4.0
f JOSEPH CIRO AMATURO	FID	VZ	S	1000	32.28	n/a	4-Jan	0.00	0.0
ARCHON CAPITAL	035	V	S	57,000	68.52	n/a	30-Jul	1,710.00	3.0
SCOPUS FUND	041	WCC	SS	10,000	24.75	n/a	n/a	500.00	5.0
ß BUCK CAPITAL MGMT		WDR	B	15,000	27.54	29-Jul	29-Jul	non-brg	2.0
ß BUCK CAPITAL MGMT		WDR	B	23,000	27.89	29-Jul	29-Jul	non-brg	1.0
TYEE/TYGH	035	WDR	B	11,714	27.92	29-Jul	29-Jul	468.56	4.0
ß BUCK CAPITAL MGMT		WFMI	C	30,000	24.76	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	WLP	B	500	52.03	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		WYNN	C	10,000	50.47	n/a	14-Jul	non-brg	4.0
SAC TRADIN/BINDER	044	WYNN	SS	20,000	50.10	n/a	14-Jul	800.00	4.0
SYSTEMATIC FINANCIAL MGT	035	XL	S	140,000	13.47	n/a	n/a	4,900.00	3.5
HIGHFIELDS CAP MGMT	039	XOM	B	100,000	71.27	n/a	n/a	5,000.00	5.0
B BUCK CAPITAL MGMT		XRAY	C	50,000	35.12	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		XRT	SS	1,650,000	30.88	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		XRT	SS	125,000	30.51	n/a	n/a	non-brg	1.0
f JOSEPH CIRO AMATURO	FID	YHOO	S	6000	14.49	n/a	n/a	0.00	0.0
NEWCASTLE FUNDS	255	YUM	SS	35,000	35.32	n/a	15-Jul	1,400.00	4.0
CASTLE ARK	031	ZMH	SS	100	46.44	n/a	n/a	6.00	6.0
TOTAL (Trade Date) :							148,273.19		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	07/29	NICOLAS APPEGATE	048	GLBL	S	21,000	6.50	n/a	n/a	630.00 3.0
AO,CRT	07/29	MACKLOWE ASSET MGMT	041	KR	B	125,000	21.10	n/a	n/a	6250.00 5.0
AO,CXL	07/29	MACKLOWE ASSET MGMT	041	KR	B	125,000	21.10	n/a	n/a	5000.00 4.0
TOTAL (AO, CXL, CRT) :										1,880.00

TOTAL (Trade Date) :	148,273.19
TOTAL (AO, CXL, CRT) :	1,880.00

TOTAL (RUN DATE) / NFS:	150,153.19
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MRI Securities with Trade Activity on 30-Jul.
IP, KMT

MRI Securities without Trade Activity on 30-Jul.
AMG, BEN, CRR, MA, OCR, PNRA, SMG, TYC

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 25%
YTD = 20%

<u>Legend:</u>
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)