



Daily Compliance Activity Report

Trade Date: 07/22/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		AAN	B	100,000	27.55	n/a	n/a	non-brg	4.0
CATAPULT	040	AAN	B	75,000	27.93	n/a	n/a	3,000.00	4.0
EPOCH INV MGMT	030	AAPL	S	2,800	157.44	n/a	n/a	112.00	4.0
CATAPULT	040	AIPC	B	10,000	29.46	n/a	n/a	400.00	4.0
GREEN ARROW CAPITAL	034	AKS	SS	25,000	18.57	n/a	n/a	1,250.00	5.0
ROTHSCHILD ASSET	040	AKS	B	27,689	18.87	n/a	n/a	1,246.01	4.5
f JOSEPH CIRO AMATURO	FID	AMAG	B	1000	50.26	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		AMT	B	10,000	32.73	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	ANF	B	50,000	26.77	3-Jun	10-Jul	2,000.00	4.0
BUCK CAPITAL MGMT	001	ARO	S	10,000	38.34	n/a	10-Jul	400.00	4.0
f MARK ANTHONY GRONET	FID	AVY	B	1000	26.57	28-Apr	9-Jul	0.00	0.0
SCOPIA CAPITAL	048	AWK	B	30,000	18.86	n/a	n/a	1,200.00	4.0
B BUCK CAPITAL MGMT		AXL	S	500,000	1.32	n/a	9-Jul	non-brg	1.0
f HARALAMBOS EFSTATHI	FID	AXL	B	1000	1.32	n/a	9-Jul	0.00	0.0
LAGRANGE CAP ADV	048	AXL	B	30,000	1.32	n/a	9-Jul	900.00	3.0
B BUCK CAPITAL MGMT		BBY	S	334,772	36.05	n/a	27-Jul	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⚡ BUCK CAPITAL MGMT		BHI	B	10,000	39.51	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	BIG	B	20,000	21.84	28-May	6-Jul	800.00	4.0
ACK ASSET	028	CAKE	S	21,000	18.67	29-May	21-Jul	630.00	3.0
NEWCASTLE FUNDS	255	CAKE	SS	50,000	18.14	29-May	21-Jul	2,000.00	4.0
ARAGON GLOBAL	041	CAT	B	2,400	38.56	n/a	22-Jul	36.00	1.5
SONTERRA CAP	041	CAT	B	10,000	38.63	n/a	22-Jul	400.00	4.0
f JOSEPH CIRO AMATURO	FID	CHU	S	2000	14.27	n/a	n/a	0.00	0.0
f HARALAMBOS EFSTATHI	FID	CIT	S	1000	0.89	20-Jul	22-Jul	0.00	0.0
⚡ BUCK CAPITAL MGMT		CMG	SS	25,000	90.16	23-Jul	21-Jul	non-brg	4.0
⚡ BUCK CAPITAL MGMT		COH	S	20,000	28.61	n/a	16-Jul	non-brg	4.0
COUGAR TRADING	044	COH	S	2,500	28.55	n/a	16-Jul	125.00	5.0
M&I FUNDS	256	COH	S	6,954	28.57	n/a	16-Jul	278.16	4.0
EPOCH INV MGMT	030	COL	S	4,200	41.98	n/a	n/a	168.00	4.0
CHART WELL ADV	028	CRR	B	31,275	38.87	1-May	1-Jul	1,251.00	4.0
f JOEL GIFFORD TISS	FID	CVGI	B	24308	1.44	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	CVGI	B	100	1.41	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		CWTR	B	20,000	5.62	n/a	n/a	non-brg	2.5
⚡ BUCK CAPITAL MGMT		DPZ	S	20,000	8.09	n/a	24-Apr	non-brg	3.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß	BUCK CAPITAL MGMT		DPZ	S	315,000	8.06	n/a	24-Apr	non-brg	3.0
ß	BUCK CAPITAL MGMT		DPZ	S	5,000	8.06	n/a	24-Apr	non-brg	1.0
ß	BUCK CAPITAL MGMT		DPZ	S	55,602	7.78	n/a	24-Apr	non-brg	2.0
ß	BUCK CAPITAL MGMT		DPZ	S	67,200	8.53	n/a	24-Apr	non-brg	2.0
	GREEN ARROW CAPITAL	034	EAT	S	25,000	16.98	n/a	24-Apr	1,250.00	5.0
f	JOEL GIFFORD TISS	FID	FDIVX	S	2343	24.36	n/a	n/a	0.00	0.0
	BUCK CAPITAL MGMT	001	FDO	B	77,501	30.79	n/a	8-Jul	3,100.04	4.0
ß	BUCK CAPITAL MGMT		FOSL	S	20,000	24.93	30-Jan	30-Jan	non-brg	4.0
	ARMATURE CAPITAL	041	F	B	50,000	6.41	n/a	16-Jul	2,000.00	4.0
	BRENCOURT	028	F	B	50,000	6.31	n/a	16-Jul	1,500.00	3.0
	BUCK CAPITAL MGMT	001	GME	B	40,000	23.33	n/a	n/a	1,600.00	4.0
	BALYASNY ASSET MGMT	044	GNTX	S	20,000	14.42	10-Jun	16-Jul	1,000.00	5.0
	BUCK CAPITAL MGMT	001	IGT	SS	100,000	17.15	n/a	27-Apr	4,000.00	4.0
ß	BUCK CAPITAL MGMT		IGT	SS	60,000	17.19	n/a	27-Apr	non-brg	4.0
ß	BUCK CAPITAL MGMT		IGT	S	481,154	17.23	n/a	27-Apr	non-brg	4.0
ß	BUCK CAPITAL MGMT		IGT	S	75,600	17.19	n/a	27-Apr	non-brg	1.0
	CSFB GLOBAL PROPRIETARY	041	IP	B	135,000	17.67	21-Jul	21-Jul	6,750.00	5.0
f	NICOLAS EVAN PAKLER	FID	IR	B	100	23.35	n/a	1-Jul	0.00	0.0
ß	BUCK CAPITAL MGMT		JCG	B	10,000	27.16	30-Jan	30-Jan	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		JCG	B	2,584	27.08	30-Jan	30-Jan	non-brg	1.0
MATLIN PATTERSON	046	JWN	B	100,000	24.08	20-Feb	10-Jul	3,000.00	3.0
PILOT ROCK	028	JWN	B	50,000	24.27	20-Feb	10-Jul	2,000.00	4.0
STELLIAM INV ADV	034	KEY	S	25,000	4.48	n/a	n/a	750.00	3.0
BUCK CAPITAL MGMT	001	LVS	S	60,000	10.02	n/a	14-Jul	2,400.00	4.0
CIRCLE T/SES PART	035	LVS	S	25,000	10.37	n/a	14-Jul	1,000.00	4.0
⚡ BUCK CAPITAL MGMT		MCD	C	140,000	59.09	n/a	21-Jul	non-brg	4.0
⚡ BUCK CAPITAL MGMT		MDR	B	20,000	19.00	n/a	n/a	non-brg	4.0
STADIA CAPITAL	035	MEE	S	60,100	21.51	n/a	n/a	2,404.00	4.0
STRONG/MARK GRONET	030	MNI	S	50,000	1.04	n/a	n/a	500.00	1.0
⚡ BUCK CAPITAL MGMT		MPEL	S	100,000	5.25	n/a	14-Jul	non-brg	3.0
⚡ BUCK CAPITAL MGMT		NTY	B	10,000	30.68	n/a	n/a	non-brg	1.0
APEX CAPITAL MGMT.	091	NVDA	B	30,000	12.00	n/a	n/a	1,200.00	4.0
SIGMA CAPITAL ASSOCIATES	041	OI	S	15,000	30.63	n/a	n/a	600.00	4.0
EPOCH INV MGMT	030	PCAR	S	4,350	33.27	25-Mar	26-Jun	174.00	4.0
PROSPECTOR PARTNERS LLC	036	PCZ	S	30,000	41.93	n/a	n/a	1,200.00	4.0
⚡ BUCK CAPITAL MGMT		PENN	SS	30,000	31.34	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
BUCK CAPITAL MGMT		PERY	S	18,546	8.06	n/a	n/a	non-brg 1.0
BUCK CAPITAL MGMT		PERY	S	4,400	7.94	n/a	n/a	non-brg 2.0
CATAPULT	040	PFE	B	50,000	16.00	n/a	31-Mar	2,500.00 5.0
EPOCH INV MGMT	030	PM	S	3,750	44.00	n/a	n/a	150.00 4.0
BUCK CAPITAL MGMT		PNK	SS	30,000	9.39	n/a	n/a	non-brg 3.0
BUCK CAPITAL MGMT		PSS	S	50,000	14.94	n/a	n/a	non-brg 4.0
BALYASNY ASSET MGMT	044	PTV	S	25,000	24.69	n/a	n/a	1,250.00 5.0
BUCK CAPITAL MGMT	001	PVH	S	20,000	33.07	20-Apr	21-May	800.00 4.0
BUCK CAPITAL MGMT		SBUX	SS	20,000	17.09	20-Apr	21-Jul	non-brg 4.0
SIGMA CAPITAL ASSOCIATES	041	SBUX	S	25,000	17.30	20-Apr	21-Jul	1,000.00 4.0
CATAPULT	040	SCHL	B	10,000	19.50	n/a	n/a	400.00 4.0
REICH AND TANG	067	SEH	S	15,000	11.21	n/a	n/a	750.00 5.0
BUCK CAPITAL MGMT		SKX	S	20,000	11.78	n/a	13-Mar	non-brg 4.0
BUCK CAPITAL MGMT		SKX	S	25,000	11.65	n/a	13-Mar	non-brg 4.0
BUCK CAPITAL MGMT		SKX	S	25,000	11.66	n/a	13-Mar	non-brg 1.5
BUCK CAPITAL MGMT		SLB	B	10,000	56.34	n/a	n/a	non-brg 4.0
CAXTON PART	040	SMG	S	6,683	39.70	10-Jun	9-Jul	233.92 3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GCORE MANAGEMENT	252	SMH	B	50,000	24.30	n/a	n/a	2,500.00	5.0
STADIA CAPITAL	035	SNDK	B	13,400	18.99	n/a	n/a	536.00	4.0
EPOCH INV MGMT	030	SUG	S	2,300	19.05	n/a	n/a	92.00	4.0
FRIESS MGMT	033	SYMC	B	606,800	16.84	n/a	3-Apr	24,272.00	4.0
BASIX	033	TIN	B	25,000	15.02	21-Jul	21-Jul	750.00	3.0
MILLENIUM PARTNERS	028	TIN	B	20,000	14.92	21-Jul	21-Jul	1,000.00	5.0
RBC CAPITAL MARKETS	040	TIN	B	15,000	14.94	21-Jul	21-Jul	600.00	4.0
SENATOR INVESTMENT GROUP	036	TIN	S	20,000	14.97	21-Jul	21-Jul	600.00	3.0
STADIA CAPITAL	035	TIN	B	71,900	15.02	21-Jul	21-Jul	2,876.00	4.0
f MARK MEGALLI	FID	TUP	S	2000	30.82	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		URBN	S	10,000	22.09	30-Jan	30-Jan	non-brg	4.0
RBC CAPITAL MARKETS	040	VMC	B	5,000	43.14	n/a	n/a	200.00	4.0
STRONG/MARK GRONET	030	VSH	S	20,000	7.18	n/a	n/a	600.00	3.0
EPOCH INV MGMT	030	VTR	S	1,500	31.81	n/a	n/a	60.00	4.0
f JOEL GIFFORD TISS	FID	WFC	B	2000	23.85	n/a	n/a	0.00	0.0
SCHOTTENFELD ASSOC	041	WFC	B	25,000	23.75	n/a	n/a	750.00	3.0
EPOCH INV MGMT	030	WFR	S	1,600	20.54	n/a	n/a	64.00	4.0
ß BUCK CAPITAL MGMT		WFT	B	20,000	18.77	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	WHR	B	51,600	53.60	n/a	n/a	1,600.00	2.7
BUCK CAPITAL MGMT	001	WHR	SS	11,600	53.63	n/a	n/a	0.00	0.0
f NEIL M STRATTON	FID	WHR	B	100	50.63	n/a	n/a	0.00	0.0
f STRATTON PAR TNERSHI	FID	WHR	B	50	50.75	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	WRC	S	10,000	35.83	13-May	13-May	400.00	4.0
SCOPIA CAPITAL	048	WTR	SS	25,000	17.52	n/a	n/a	1,000.00	4.0
f IAN L MILLER	FID	XLFX	B	75	12.19	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	YHOO	B	2000	16.42	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	YHOO	S	2000	16.50	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								97,608.13	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	07/21	BUCK CAPITAL MGMT	001	ANF	B	300	26.27	3-Jun	10-Jul	12.00 4.0
AO,CXL	07/21	BUCK CAPITAL MGMT	001	ANF	B	300	26.27	3-Jun	10-Jul	12.00 4.0
AO,	07/21	STRONG/MARK GRONET	030	ANH	S	31,270	7.63	n/a	n/a	938.10 3.0
AO,CXL	07/21	LISTED ERR	099	ESL	S	200	28.08	n/a	n/a	0.00 0.0
AO,	07/21	OZ MGMT	040	GE	SS	700,000	11.40	n/a	n/a	21000.00 3.0
AO,CRT	07/21	BNP PARIBAS SEC	040	IP	B	25,000	17.62	21-Jul	21-Jul	1250.00 5.0
AO,CXL	07/21	BNP PARIBAS SEC	040	IP	B	25,000	17.62	21-Jul	21-Jul	1000.00 4.0
AO,CXL	07/21	MILLENIUM PARTNERS	028	IP	S	15,000	17.53	21-Jul	21-Jul	750.00 5.0
AO,CRT	07/21	MILLENIUM PARTNERS	028	IP	S	15,000	17.53	21-Jul	21-Jul	750.00 5.0
AO,CRT	07/21	KARSCH CAPITAL	034	SGP	B	110,875	26.51	n/a	n/a	3326.25 3.0
AO,CXL	07/21	KARSCH CAPITAL	034	SGP	B	110,875	26.51	n/a	n/a	3326.25 3.0
AO,CXL	07/21	BUCK CAPITAL MGMT	001	WWW	SS	9,100	22.83	n/a	13-Mar	364.00 4.0
AO,CRT	07/21	BUCK CAPITAL MGMT	001	WWW	SS	9,100	22.83	n/a	13-Mar	364.00 4.0

TOTAL (AO, CXL, CRT) :**22,188.10**

TOTAL (Trade Date) :

97,608.13

TOTAL (AO, CXL, CRT) :

22,188.10

TOTAL (RUN DATE) / NFS:

119,796.23

MRI Securities with Trade Activity on 22-Jul.
NONE

MRI Securities without Trade Activity on 22-Jul.
PFCB

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 17%
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)