



Daily Compliance Activity Report

Trade Date: 10/23/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	AAP	SS	30,000	37.20	n/a	n/a	1,200.00	4.0
f DAVID S HOCHSTIM	FID	AB	B	1000	27.75	n/a	21-Oct	0.00	0.0
JP MORGAN VENTURES	046	AEO	S	30,000	19.26	n/a	9-Oct	1,500.00	5.0
B BUCK CAPITAL MGMT		AGCO	B	300	29.48	n/a	n/a	non-brg	4.0
f JOSEPH CIRO AMATURO	FID	AIG	B	2000	40.55	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		AMR	B	5,000	6.39	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		AN	B	3,000	20.81	n/a	19-Oct	non-brg	0.8
B BUCK CAPITAL MGMT		AN	B	50,000	21.10	n/a	19-Oct	non-brg	4.0
TRAFELET & COMP.	028	AN	B	125,000	20.68	n/a	19-Oct	5,000.00	4.0
B BUCK CAPITAL MGMT		AXL	B	15,000	6.93	n/a	19-Oct	non-brg	0.8
COOPER CREEK PART	028	AXL	B	25,000	6.81	n/a	19-Oct	1,000.00	4.0
L.R.BURTSCHY & CO	045	AXL	B	50,000	7.08	n/a	19-Oct	3,000.00	6.0
f ANDREW SINCLAIR	FID	AZWKO	B	100	0.45	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BAC	B	1,500	16.33	n/a	19-Oct	non-brg	4.0
f JOSEPH CIRO AMATURO	FID	BAC	B	5000	16.23	n/a	19-Oct	0.00	0.0
KLEINHEINZ CAP PART	031	BAC	S	150,000	16.22	n/a	19-Oct	7,500.00	5.0
f WILLIAM J GAULT	FID	BGZ	S	3000	19.71	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TROUBH PART	067	BK	SS	25,000	29.70	n/a	21-Oct	1,250.00	5.0
BRIGADE CAPITAL MGMT	029	BONT	B	25,000	8.69	n/a	n/a	750.00	3.0
⌘ BUCK CAPITAL MGMT		BONT	B	30,000	8.80	n/a	n/a	non-brg	2.5
CUMBERLAND	038	BRCD	S	50,000	8.93	n/a	n/a	2,000.00	4.0
⌘ BUCK CAPITAL MGMT		BYI	B	10,000	44.88	n/a	n/a	non-brg	0.8
⌘ BUCK CAPITAL MGMT		BYI	B	130,000	44.80	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		CAKE	SS	15,000	18.99	n/a	23-Oct	non-brg	2.0
⌘ BUCK CAPITAL MGMT		CAKE	SS	55,000	19.02	n/a	23-Oct	non-brg	3.0
f NICOLAS EVAN PAKLER	FID	CAKE	S	200	19.01	n/a	23-Oct	0.00	0.0
⌘ BUCK CAPITAL MGMT		CAL	B	700	12.76	n/a	n/a	non-brg	4.0
KENNEDY CAPITAL	046	CBK	B	93,050	6.54	n/a	n/a	2,791.50	3.0
PIONEER MICHAEL NOLAN	067	CBST	B	60,000	17.82	n/a	n/a	1,800.00	3.0
CARDINAL CAPITAL	044	CHKP	S	31,500	31.94	n/a	n/a	1,575.00	5.0
SAXON WOODS ADVISORS	038	CL	S	214,800	77.95	n/a	14-Oct	8,592.00	4.0
GRUBER MACBAINE	033	COLM	S	5,000	45.11	n/a	n/a	200.00	4.0
EPOCH INV MGMT	030	COMS	B	21,650	5.75	n/a	n/a	649.50	3.0
PROSPECTOR PARTNERS LLC	036	CPB	B	10,000	32.07	n/a	n/a	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AVESTA CAP	229	CVS	B	100,000	37.30	n/a	n/a	4,000.00	4.0
B BUCK CAPITAL MGMT		C	B	10,000	4.52	n/a	16-Oct	non-brg	3.0
PATTEN & PATTEN	067	DBC	B	1,400	24.95	n/a	n/a	70.00	5.0
B BUCK CAPITAL MGMT		DBRN	B	30,000	19.44	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DECK	S	20,000	96.73	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DECK	S	20,000	98.23	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		DECK	S	25,712	97.41	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DECK	S	54,288	96.81	n/a	n/a	non-brg	0.8
EPOCH INV MGMT	030	DHR	B	1,800	70.41	n/a	n/a	54.00	3.0
EPOCH INV MGMT	030	DPS	S	48,500	27.48	n/a	n/a	1,455.00	3.0
SIGMA CAPITAL ASSOCIATES	041	DPZ	SS	25,000	7.99	n/a	n/a	1,000.00	4.0
ROTHSCHILD ASSET	040	DST	S	4,010	43.77	n/a	n/a	180.45	4.5
EPOCH INV MGMT	030	DVA	B	4,350	54.52	n/a	n/a	130.50	3.0
f MARC PAUL LUCHANSKY	FID	EEM	B	1000	41.28	n/a	n/a	0.00	0.0
FIRST NEW YORK LEDDY	035	ETFC	B	10,000	1.66	n/a	n/a	600.00	6.0
STADIA CAPITAL	035	EWZ	B	24,500	75.45	n/a	n/a	980.00	4.0
f DAVID S HOCHSTIM	FID	FAS	B	500	85.37	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f WILLIAM J GAULT	FID	FAZ	S	3000	18.67	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		FL	B	1,157	11.67	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		FL	B	5,700	11.64	n/a	n/a	non-brg	4.0
BMO NESBITT BURNS	041	FOR	B	10,000	17.27	n/a	12-Oct	500.00	5.0
ß BUCK CAPITAL MGMT		FO	C	75,470	45.43	n/a	n/a	non-brg	4.0
f DAVID S HOCHSTIM	FID	FSIXX	S	150000	1.00	n/a	n/a	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	FXE	S	10	150.17	n/a	n/a	0.00	0.0
AVESTA CAP	229	F	B	100,000	7.62	n/a	19-Oct	4,000.00	4.0
ß BUCK CAPITAL MGMT		F	B	18,000	7.68	n/a	19-Oct	non-brg	3.0
OZ MGMT	040	F	B	200,000	7.70	n/a	19-Oct	6,000.00	3.0
ROSEDALE CAPITAL	046	F	B	40,000	7.62	n/a	19-Oct	1,600.00	4.0
f JOHN MICHAEL ZOLIDIS	FID	GCO	B	200	28.03	n/a	n/a	0.00	0.0
MATRIX ASSET ADV.	036	GENZ	B	15,700	52.59	n/a	n/a	628.00	4.0
ß BUCK CAPITAL MGMT		GIL	B	20,000	19.40	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GIL	B	3,000	19.53	n/a	n/a	non-brg	0.8
KLEINHEINZ CAP PART	031	GLD	B	100,000	104.45	n/a	n/a	5,000.00	5.0
EPOCH INV MGMT	030	GLW	B	11,650	15.59	n/a	n/a	349.50	3.0
ß BUCK CAPITAL MGMT		GME	B	10,000	25.03	n/a	n/a	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		GME	B	20,000	24.85	n/a	n/a	non-brg	4.0
CSFB GLOBAL PROPRIETARY	041	IP	B	365,000	23.77	n/a	22-Oct	18,250.00	5.0
SCOPUS FUND	041	IP	S	16,800	24.12	n/a	22-Oct	840.00	5.0
BUCK CAPITAL MGMT		ITW	B	400	47.66	n/a	21-Oct	non-brg	4.0
BUCK CAPITAL MGMT		IVZ	B	148,000	22.53	n/a	22-Oct	non-brg	4.0
BUCK CAPITAL MGMT		IVZ	B	4,000	22.62	n/a	22-Oct	non-brg	0.8
BUCK CAPITAL MGMT		JBLU	B	11,400	5.50	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT		JCG	S	20,000	43.38	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		JNS	B	9,000	14.90	n/a	23-Oct	non-brg	0.8
BRIGADE CAPITAL MGMT	029	JNY	B	40,396	19.00	n/a	21-Oct	1,211.88	3.0
BUCK CAPITAL MGMT		JOSB	B	15,000	45.28	n/a	n/a	non-brg	4.0
MERRILL ASSET/BLACKROCK	214	JOYG	S	7,500	58.11	n/a	n/a	337.50	4.5
BUCK CAPITAL MGMT	001	JWN	B	10,000	33.65	n/a	9-Oct	400.00	4.0
BUCK CAPITAL MGMT		JWN	B	300	34.04	n/a	9-Oct	non-brg	4.0
ROTHSCHILD ASSET	040	LEG	S	8,310	20.60	n/a	n/a	373.95	4.5
EPOCH INV MGMT	030	LH	B	2,700	70.88	n/a	n/a	81.00	3.0
OVERLAND PARK CAP	041	LIZ	B	25,000	7.11	n/a	7-Oct	1,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
METROPOLITAN CAPITAL	044	LMT	B	16,500	71.95	n/a	22-Oct	825.00	5.0
B BUCK CAPITAL MGMT		LM	S	103,055	32.51	n/a	22-Oct	non-brg	4.0
SOROS	036	LOW	S	113,500	20.89	n/a	n/a	4,540.00	4.0
BMO NESBITT BURNS	041	LPX	SS	20,000	6.37	n/a	12-Oct	1,000.00	5.0
ENTRUST CAPITAL	040	LTM	SS	66,700	26.31	n/a	n/a	3,335.00	5.0
NEUBERGER BERMAN	036	LXU	B	13,071	14.00	n/a	n/a	588.20	4.5
MERRILL ASSET/BLACKROCK	214	MDR	B	164,900	25.49	n/a	n/a	7,420.50	4.5
EPOCH INV MGMT	030	MET	B	6,000	37.04	n/a	n/a	180.00	3.0
CATAPULT	040	MON	SS	15,000	74.61	n/a	20-Oct	750.00	5.0
ROTHSCHILD ASSET	040	MRX	B	10,080	22.55	n/a	n/a	453.60	4.5
KLEINHEINZ CAP PART	031	MSFT	B	75,000	28.14	n/a	n/a	3,750.00	5.0
TRUSTCO/SUNTRUST	040	MTW	S	15,600	11.70	n/a	n/a	608.40	3.9
B BUCK CAPITAL MGMT		M	B	5,300	19.07	n/a	9-Oct	non-brg	4.0
COUGAR TRADING	044	M	S	25,000	19.01	n/a	9-Oct	1,250.00	5.0
DIAMONDBACK CAP MGMT	232	NOK	B	100,000	13.46	n/a	n/a	5,000.00	5.0
f DAVID S HOCHSTIM	FID	NTRS	B	1000	53.30	n/a	21-Oct	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SYSTEMATIC FINANCIAL MGT	035	NUS	B	20,000	23.66	n/a	n/a	700.00	3.5
KENNEDY CAPITAL	046	NWY	B	118,500	5.25	n/a	n/a	3,555.00	3.0
ROTHSCHILD ASSET	040	OCR	S	7,560	22.70	n/a	n/a	340.20	4.5
ACK ASSET	028	PAG	S	27,400	18.56	n/a	19-Oct	822.00	3.0
Ⓐ BUCK CAPITAL MGMT		PAG	B	1,000	18.61	n/a	19-Oct	non-brg	4.0
MILLENIUM PARTNERS	028	PAG	SS	20,000	18.34	n/a	19-Oct	800.00	4.0
ROTHSCHILD ASSET	040	PAG	B	2,900	18.37	n/a	19-Oct	130.50	4.5
RAMIUS CAP	040	PFCB	B	28,900	30.59	n/a	22-Oct	1,156.00	4.0
PATTEN & PATTEN	067	PFF	B	1,200	35.88	n/a	n/a	60.00	5.0
BUCK CAPITAL MGMT	001	PIR	B	20,000	4.32	n/a	n/a	600.00	3.0
BUCK CAPITAL MGMT	001	PVH	S	30,000	43.96	n/a	n/a	1,200.00	4.0
Ⓕ JOSEPH CIRO AMATURO	FID	RAD	B	20000	1.30	n/a	n/a	0.00	0.0
Ⓕ JOHN MICHAEL ZOLIDIS	FID	RBSPRL	S	450	11.21	n/a	n/a	0.00	0.0
Ⓐ BUCK CAPITAL MGMT		RCL	B	400	22.59	n/a	n/a	non-brg	4.0
EXIS CAPITAL	044	RIMM	S	20,000	66.09	n/a	n/a	1,000.00	5.0
Ⓐ BUCK CAPITAL MGMT		RRR	B	25,000	7.60	n/a	n/a	non-brg	3.0
Ⓐ BUCK CAPITAL MGMT		RRR	B	6,100	7.67	n/a	n/a	non-brg	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GALT INVESTMENT	041	SCSS	S	85,000	6.54	n/a	n/a	4,250.00	5.0
CRAMER ROSENTHAL/SCOTT	012	SJM	S	76,100	52.77	n/a	n/a	3,044.00	4.0
BUCK CAPITAL MGMT	001	SKX	S	30,000	24.97	n/a	n/a	1,200.00	4.0
STRONG/WELLS CAP ANN F	038	SNV	B	152,220	2.82	n/a	n/a	4,566.60	3.0
f ANDREW SINCLAIR	FID	SPJLD	B	25	1.85	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	STFC	B	10,000	17.88	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		STT	B	1,000	46.02	n/a	23-Oct	non-brg	4.0
f DAVID S HOCHSTIM	FID	STT	B	1000	45.80	n/a	23-Oct	0.00	0.0
B BUCK CAPITAL MGMT		SUP	B	1,200	14.50	n/a	n/a	non-brg	4.0
f ALEXANDER A SACCO	FID	SWWC	S	200	5.65	n/a	n/a	0.00	0.0
METROPOLITAN CAPITAL	044	TGT	B	5,900	49.05	n/a	21-Oct	295.00	5.0
BASIX	033	TIN	B	40,000	17.81	n/a	22-Oct	1,200.00	3.0
B BUCK CAPITAL MGMT		TJX	B	3,400	40.06	n/a	21-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		TJX	B	691	40.09	n/a	21-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		TOL	B	1,600	19.29	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	TWB	B	10,000	9.04	n/a	n/a	300.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		UAUA	B	8,400	6.98	n/a	n/a	non-brg	3.0
COBALT	041	UFS	B	3,900	41.36	n/a	n/a	195.00	5.0
ROTHSCHILD ASSET	040	UIS	B	201,600	2.67	n/a	n/a	9,072.00	4.5
STADIA CAPITAL	035	UPS	SS	38,000	55.53	n/a	n/a	1,520.00	4.0
f STEFFANIE CARMELA CA	FID	UQM	B	500	4.54	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		URBN	B	3,200	33.24	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		URBN	B	5,000	32.75	n/a	n/a	non-brg	0.8
EXIS CAPITAL	044	VZ	S	20,000	28.97	n/a	n/a	1,000.00	5.0
EPOCH INV MGMT	030	WFR	S	2,000	14.23	n/a	n/a	60.00	3.0
ROTHSCHILD ASSET	040	WRC	B	24,510	43.44	n/a	2-Oct	1,103.01	4.5
GREEN ARROW DOUG	040	WTW	S	25,000	27.70	n/a	n/a	1,250.00	5.0
PILOT ROCK	028	WU	S	100,000	18.80	n/a	n/a	4,000.00	4.0
RAMIUS CAP	040	WU	S	200,000	18.82	n/a	n/a	8,000.00	4.0
TOTAL (Trade Date) :							169,769.79		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/21	IRIDIAN ASSET MGMT.	036	EBAY	S	150	25.71	n/a	n/a	7.50 5.0
AO,CRT	10/21	IRIDIAN ASSET MGMT.	036	EBAY	S	150	25.71	n/a	n/a	0.00 0.0
AO,	10/22	PARTNER REINSURANCE	033	FL	B	20,150	11.59	n/a	n/a	806.00 4.0
AO,CRT	10/22	HIGHBRIDGE CAP	041	JCP	B	25,000	36.68	n/a	9-Oct	1000.00 4.0
AO,CXL	10/22	HIGHBRIDGE CAP	041	JCP	B	25,000	36.68	n/a	9-Oct	0.00 0.0
AO,	10/22	GARDNER LEWIS ASSET MGMT	028	LZ	B	206,785	73.93	n/a	n/a	10339.25 5.0
TOTAL (AO, CXL, CRT) :										12,137.75

TOTAL (Trade Date) :	169,769.79
TOTAL (AO, CXL, CRT) :	12,137.75

TOTAL (RUN DATE) / NFS :	181,907.54
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MRI Securities with Trade Activity on 23-Oct. NONE

MRI Securities without Trade Activity on 23-Oct. MCD

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

T-Date = 13%

YTD = 19%

<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)