



Daily Compliance Activity Report

Trade Date: 08/12/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EVERCORE WEALTH MGMT	012	AAPL	B	250	165.98	n/a	n/a	12.50	5.0
DELTEC ASSET MGMT.	040	AEO	B	30,000	15.26	25-Jun	7-Aug	1,500.00	5.0
B BUCK CAPITAL MGMT		AGCO	S	33,967	32.21	29-Jun	29-Jul	non-brg	1.0
B BUCK CAPITAL MGMT		AGCO	S	4,500	32.28	29-Jun	29-Jul	non-brg	4.0
f MANNY I KORMAN	FID	ALL	B	3000	28.60	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		AMT	S	15,000	32.55	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT	001	ANF	S	20,000	31.83	3-Jun	7-Aug	800.00	4.0
WELLS/STRONG LEDDY	035	ANN	S	1,600	12.28	n/a	30-Jan	64.00	4.0
WEISS PECK	040	ANW	S	24,050	19.25	n/a	n/a	1,202.50	5.0
B BUCK CAPITAL MGMT		AVP	C	30,000	32.40	3-Aug	3-Aug	non-brg	4.0
CIRCLE T/SES PART	035	AXL	S	50,000	3.30	n/a	12-Aug	2,000.00	4.0
f FRANCIS MICHAEL MCCA	FID	AXL	S	1000	3.26	n/a	12-Aug	0.00	0.0
f KAREN F LEDDY	FID	AXL	B	2500	3.21	n/a	12-Aug	0.00	0.0
MILLRACE FUND LP	028	AXL	B	20,000	3.35	n/a	12-Aug	400.00	2.0
MORTAR ROCK	033	AXL	B	10,000	3.49	n/a	12-Aug	400.00	4.0
EVERCORE WEALTH MGMT	012	BCO	S	500	26.72	n/a	n/a	25.00	5.0
f NEIL M STRATTON	FID	BKXX	S	2	1.30	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BRIGADE CAPITAL MGMT	029	BONT	B	7,099	4.15	n/a	6-Feb	212.97	3.0
WELLS/STRONG LEDDY	035	CBK	S	2,000	7.94	n/a	30-Jan	60.00	3.0
⚡ BUCK CAPITAL MGMT		CCI	S	19,200	27.37	n/a	n/a	non-brg	1.0
EVERCORE WEALTH MGMT	012	CFL	S	500	29.27	n/a	n/a	25.00	5.0
WELLS/STRONG LEDDY	035	CHRS	S	8,400	5.13	n/a	22-Mar	252.00	3.0
BUCK CAPITAL MGMT	001	CMG	B	5,000	91.46	23-Jul	23-Jul	200.00	4.0
⚡ BUCK CAPITAL MGMT		COLM	B	5,000	36.63	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		CRM	C	50,000	47.17	n/a	n/a	non-brg	1.0
EVERCORE WEALTH MGMT	012	CSCO	B	1,900	21.49	n/a	22-Mar	95.00	5.0
f ABRAM M CHAPPELL	FID	CVGI	S	500	4.62	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		CVGI	S	20,000	4.55	n/a	n/a	non-brg	2.5
f FRANCIS MICHAEL MCCA	FID	CVGI	S	1000	4.52	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	CVGI	B	1500	4.50	n/a	n/a	0.00	0.0
f STEFFANIE CARMELA CA	FID	CVGI	B	450	4.83	n/a	n/a	0.00	0.0
NOMURA CAPITAL	045	C	S	550,000	3.98	n/a	20-Jul	11,000.00	2.0
CUMBERLAND	038	DE	SS	15,000	45.66	n/a	17-Jun	600.00	4.0
⚡ BUCK CAPITAL MGMT		DHI	S	15,000	13.59	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		DHI	S	20,000	13.54	n/a	n/a	non-brg	4.0
GREEN ARROW CAPITAL	040	DIN	SS	12,500	22.34	n/a	n/a	625.00	5.0
GREEN ARROW CAPITAL	040	DIN	S	10,000	22.52	n/a	n/a	500.00	5.0
⚡ BUCK CAPITAL MGMT		DKS	SS	20,000	20.50	27-Apr	3-Aug	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DRYS	S	7,500	6.38	n/a	n/a	non-brg	1.0
f KEVIN MICHAEL O'GORM	FID	DXD	S	800	38.50	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		EGLE	S	15,000	5.15	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		EM	S	10,000	17.47	n/a	n/a	non-brg	2.5
f FRANCIS MICHAEL MCCA	FID	ETN	B	150	54.96	20-Jul	20-Jul	0.00	0.0
f KAREN F LEDDY	FID	FIG	S	700	5.10	n/a	n/a	0.00	0.0
CASTLEROCK	040	FL	SS	120,295	11.33	27-Apr	3-Aug	4,811.80	4.0
f NEIL M STRATTON	FID	FMI	S	5	0.55	n/a	n/a	0.00	0.0
f STRATTON PAR TNERSHI	FID	FMI	S	5	0.55	n/a	n/a	0.00	0.0
MTB INV ADV	034	FWLT	S	11,100	29.90	n/a	n/a	555.00	5.0
BNP PARIBAS SEC	040	F	B	25,000	7.93	3-Aug	10-Aug	1,000.00	4.0
⚡ BUCK CAPITAL MGMT		F	B	100,000	7.86	3-Aug	10-Aug	non-brg	1.0
f KAREN F LEDDY	FID	F	B	700	7.70	3-Aug	10-Aug	0.00	0.0
⚡ BUCK CAPITAL MGMT		GG	S	5,000	35.79	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BRIGADE CAPITAL MGMT	029	GPX	B	200,000	2.32	n/a	n/a	4,000.00	2.0
⚡ BUCK CAPITAL MGMT		GQU+HF [GYMB]	C	1,948	12.69	n/a	n/a	non-brg	300.0
HOLDEN CAPITAL MGMT	035	GRMN	SS	50,000	31.48	n/a	n/a	2,000.00	4.0
⚡ BUCK CAPITAL MGMT		GYMB	S	20,000	42.74	6-Aug	7-Aug	non-brg	1.0
BUCK CAPITAL MGMT	001	HOG	B	100,000	22.79	n/a	n/a	4,000.00	4.0
GREEN ARROW CAPITAL	040	HPT	S	30,000	17.09	n/a	n/a	1,500.00	5.0
EVERCORE WEALTH MGMT	012	HSTX	S	496	6.55	n/a	n/a	24.80	5.0
⚡ BUCK CAPITAL MGMT		IDXX	C	30,000	51.00	n/a	22-Apr	non-brg	4.0
⚡ BUCK CAPITAL MGMT		IMAX	S	20,000	9.16	n/a	n/a	non-brg	3.0
⚡ BUCK CAPITAL MGMT		IP	S	10,000	20.07	30-Jul	30-Jul	non-brg	1.0
SCOPUS FUND	041	IP	S	20,000	20.24	30-Jul	30-Jul	1,000.00	5.0
M&I FUNDS	047	IVZ	B	30,200	20.40	6-Aug	12-Aug	1,208.00	4.0
⚡ BUCK CAPITAL MGMT		JOSB	B	25,000	38.72	n/a	n/a	non-brg	2.5
⚡ BUCK CAPITAL MGMT		JOSB	B	26,821	39.36	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		JOSB	B	42,400	39.39	n/a	n/a	non-brg	1.5
EIDELMAN, FINGER & CO	045	JSM	S	2,491	14.97	n/a	n/a	124.55	5.0
f EDWARD W WHEELER	FID	KEME	B	27000	1.35	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BARROW HANLEY MEWHINNEY	031	KFT	S	218,933	28.61	n/a	n/a	8,757.32	4.0
f NEIL M STRATTON	FID	KOMV	S	2	1.15	n/a	n/a	0.00	0.0
f STRATTON PAR TNERSHI	FID	KOMV	S	2	1.15	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		LEN	S	15,000	13.59	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		LEN	S	30,000	13.76	n/a	n/a	non-brg	4.0
f FRANCIS MICHAEL MCCA	FID	LIZ	B	500	3.91	n/a	22-Jun	0.00	0.0
GREEN ARROW CAPITAL	040	LIZ	S	50,000	4.05	n/a	22-Jun	2,500.00	5.0
JP MORGAN VENTURES	046	LIZ	B	13,500	3.70	n/a	22-Jun	405.00	3.0
PRIMECAP MGMT	048	LLY	B	3,000	33.41	n/a	n/a	150.00	5.0
B BUCK CAPITAL MGMT		LPX	S	20,000	6.14	n/a	5-Aug	non-brg	1.0
B BUCK CAPITAL MGMT		LTD+HB[LTD]	C	2,916	4.74	n/a	n/a	non-brg	300.0
B BUCK CAPITAL MGMT		LTD+HB[LTD]	SS	200	4.80	n/a	n/a	non-brg	300.0
HARVEST MGMT	039	LULU	S	5,000	20.00	n/a	n/a	250.00	5.0
FIRST NEW YORK LEDDY	035	LVL	S	10,000	1.20	n/a	4-Jan	600.00	6.0
CIRCLE T/SES PART	035	LVS	S	20,000	12.26	6-Aug	6-Aug	800.00	4.0
MARINER/TRICADIA	041	LVS	S	100,000	12.45	6-Aug	6-Aug	5,000.00	5.0
f ROBERT M DANIELS	FID	MO	B	200	17.72	n/a	n/a	0.00	0.0
EVERCORE WEALTH MGMT	012	MSFT	S	200	23.60	n/a	3-Apr	10.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WEISS PECK	040	MSFT	B	17,200	23.79	n/a	3-Apr	860.00	5.0
⌘ BUCK CAPITAL MGMT		M	C	60,000	16.58	n/a	7-Aug	non-brg	4.0
⌘ BUCK CAPITAL MGMT		NEM	S	3,000	40.41	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		NX	S	5,000	13.34	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		OXM	C	10,000	14.32	n/a	n/a	non-brg	4.0
SIGMA CAP BOBBY	044	PFE	B	25,000	15.80	n/a	31-Mar	1,000.00	4.0
BMO NESBITT BURNS	041	PKG	B	25,000	19.76	21-Jul	21-Jul	1,250.00	5.0
⌘ BUCK CAPITAL MGMT		PKG	S	10,000	19.72	21-Jul	21-Jul	non-brg	1.0
SCHOTTENFELD ASSOC	041	PKG	B	5,491	19.25	21-Jul	21-Jul	164.73	3.0
f JOHN BARTMAN COLE	FID	PNDMF	B	1000	1.35	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	PVH	B	20,000	34.47	28-Jul	28-Jul	800.00	4.0
f FRANCIS MICHAEL MCCA	FID	PWR	B	200	23.13	n/a	n/a	0.00	0.0
EVERCORE WEALTH MGMT	012	QCOM	B	900	46.52	n/a	n/a	45.00	5.0
⌘ BUCK CAPITAL MGMT		RVI	B	2,200	3.50	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		RVI	B	20,000	3.68	n/a	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		RYL	S	10,000	23.27	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		RYL	S	25,000	23.14	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SBAC	S	17,500	25.11	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f KEVIN MICHAEL O'GORM	FID	SDS	S	800	45.39	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	SDS	S	1000	45.43	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	SHS	S	10000	6.08	n/a	n/a	0.00	0.0
EVERCORE WEALTH MGMT	012	SHW	S	300	61.72	17-Apr	7-Aug	15.00	5.0
f JONATHAN RICHARD HAR	FID	SOKE	B	140	2.50	n/a	n/a	0.00	0.0
ARAGON GLOBAL	041	SYX	B	14,101	24.93	n/a	24-Apr	705.05	5.0
EVERCORE WEALTH MGMT	012	TJX	S	300	35.69	28-Jul	7-Aug	15.00	5.0
f JOHN MICHAEL ZOLIDIS	FID	TOL	B	500	22.70	n/a	n/a	0.00	0.0
SCHOTTENFELD ASSOC	041	TTWO	S	25,000	9.91	n/a	n/a	750.00	3.0
CASTLE ARK	031	UA	S	66,600	24.22	29-Jul	29-Jul	3,996.00	6.0
B BUCK CAPITAL MGMT		VIA/B	C	50,000	24.83	n/a	n/a	non-brg	4.0
f FRANCIS MICHAEL MCCA	FID	WBC	B	350	19.53	5-Aug	5-Aug	0.00	0.0
TYEE/TYGH	035	WDR	B	15,108	27.50	29-Jul	12-Aug	604.32	4.0
BUCK CAPITAL MGMT	001	WRC	S	20,000	38.41	28-Jul	12-Aug	800.00	4.0
f JOHN MICHAEL ZOLIDIS	FID	XHB	B	600	15.39	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		XRAY	C	40,000	33.04	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
GOLD SACHS SPECIAL SIT	030	XRT	SS	200,000	31.85	n/a	n/a	10,000.00 5.0
TOTAL (Trade Date):								79,675.54

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	08/11	CARLSON CAPITAL	203	FITB	SS	208,000	9.61	n/a	n/a	8320.00 4.0
AO,CXL	08/11	CARLSON CAPITAL	203	FITB	SS	208,000	9.61	n/a	n/a	10400.00 5.0
AO,CRT	08/11	BRIGADE CAPITAL MGMT	029	GPK	B	200,000	2.33	n/a	n/a	4000.00 2.0
AO,CXL	08/11	BRIGADE CAPITAL MGMT	029	GPK	B	200,000	2.33	n/a	n/a	6000.00 3.0
AO,CXL	08/11	FRONTPOINT/COPIA-ANDREW	035	LZ	B	11,300	60.63	n/a	n/a	395.50 3.5
AO,CRT	08/11	FRONTPOINT/COPIA-ANDREW	031	LZ	B	11,300	60.63	n/a	n/a	395.50 3.5
AO,CXL	08/11	FRONTPOINT/COPIA-ANDREW	035	OSK	B	29,000	25.78	n/a	n/a	1015.00 3.5
AO,CRT	08/11	FRONTPOINT/COPIA-ANDREW	031	OSK	B	29,000	25.78	n/a	n/a	1015.00 3.5

TOTAL (AO, CXL, CRT) :	-4,080.00
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TOTAL (Trade Date) :	79,675.54
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TOTAL (AO, CXL, CRT) :	-4,080.00
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TOTAL (RUN DATE) / NFS:	75,595.54
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MRI Securities with Trade Activity on 12-Aug. NONE

MRI Securities without Trade Activity on 12-Aug.

BA, SLM

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

T-Date = 16%

YTD = 21%

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)