



Daily Compliance Activity Report

Trade Date: 04/02/2009

Potential ANALYST TRADE Violations: 0

BCM Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MOORE CAPITAL	036	AEP	S	50,000	26.17	n/a	n/a	2,000.00	4.0
EPOCH INV MGMT	030	AET	B	6,500	24.43	n/a	n/a	260.00	4.0
B BUCK CAPITAL MGMT		ALV	SS	30,000	21.72	12-Mar	12-Mar	non-brg	4.0
B BUCK CAPITAL MGMT		ALV	S	6,800	21.57	12-Mar	12-Mar	non-brg	4.0
TRELLUS PARTNERS LP	028	ALV	SS	5,000	21.75	12-Mar	12-Mar	250.00	5.0
EPOCH INV MGMT	030	AMP	S	3,050	21.98	n/a	n/a	122.00	4.0
B BUCK CAPITAL MGMT		AMT	S	10,000	33.20	n/a	n/a	non-brg	4.0
NEWLAND CAPITAL MGT	067	AOS	S	25,000	26.32	25-Mar	25-Mar	1,000.00	4.0
EPOCH INV MGMT	030	ARB	S	20,000	15.75	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	ARO	B	50,000	27.41	n/a	13-Mar	2,000.00	4.0
B BUCK CAPITAL MGMT		ARO	SS	50,000	28.37	n/a	13-Mar	non-brg	4.0
f JOHN CAREY MAGUIRE	FID	ASCA	S	500	14.34	n/a	11-Feb	0.00	0.0
f BRIAN W CRAGO	FID	ATVI	B	150	11.03	n/a	n/a	0.00	0.0
SAXON WOODS ADVISORS	038	AVP	B	244,400	21.22	25-Feb	30-Mar	9,776.00	4.0
f JONATHAN RICHARD HAR	FID	BAC	S	436	7.22	2-Mar	23-Mar	0.00	0.0
B BUCK CAPITAL MGMT		BBBY	SS	200,000	26.76	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
BUCK CAPITAL MGMT		BEBE	B	30,000	7.53	n/a	n/a	non-brg 3.0
WHITE PINE CAPITAL	030	BEBE	B	225	7.37	n/a	n/a	11.25 5.0
FRANCIS MICHAEL MCCA	FID	BGZ	B	100	54.26	n/a	n/a	0.00 0.0
BUCK CAPITAL MGMT	001	BIG	B	198,374	22.30	4-Mar	6-Mar	7,934.96 4.0
COUGAR TRADING	044	BIG	B	10,000	22.09	4-Mar	6-Mar	500.00 5.0
BUCK CAPITAL MGMT		BJ+RF [BJ]	SS	1,000	1.35	n/a	n/a	non-brg 300.0
BRENCOURT	028	BWA	SS	50,000	24.12	12-Mar	19-Mar	2,500.00 5.0
BUCK CAPITAL MGMT		BWA	SS	30,000	23.97	12-Mar	19-Mar	non-brg 4.0
HOLLIS CAPITAL	033	BWA	SS	7,000	24.10	12-Mar	19-Mar	0.00 0.0
TRELLUS PARTNERS LP	028	BWA	SS	20,000	23.50	12-Mar	19-Mar	1,000.00 5.0
BUCK CAPITAL MGMT		CACH	B	200	3.18	n/a	n/a	non-brg 1.0
BUCK CAPITAL MGMT		CACH	B	22,800	3.33	n/a	n/a	non-brg 1.5
BUCK CAPITAL MGMT		CACH	B	23,087	3.32	n/a	n/a	non-brg 1.0
DAVID GEORGE BUCK	FID	CADX	B	1000	9.98	n/a	n/a	0.00 0.0
BUCK CAPITAL MGMT		CAL	B	100,000	10.25	n/a	n/a	non-brg 4.0
WHITE PINE CAPITAL	030	CASY	B	75	27.64	n/a	n/a	3.75 5.0
EDWARD W WHEELER	FID	CBIJB	S	200	1.05	n/a	n/a	0.00 0.0
BUCK CAPITAL MGMT		CCI	S	7,400	23.24	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		CCL	S	31,600	24.67	n/a	26-Jan	non-brg 4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WHITE PINE CAPITAL	030	CERN	B	50	43.34	n/a	n/a	2.50	5.0
NEWCASTLE FUNDS	033	CHD	S	150,000	54.02	n/a	20-Mar	6,000.00	4.0
WHITE PINE CAPITAL	030	CHS	B	150	5.96	5-Dec	30-Jan	7.50	5.0
EPOCH INV MGMT	030	CMCSK	B	11,450	13.50	n/a	n/a	458.00	4.0
ß BUCK CAPITAL MGMT		CMG	SS	10,000	70.29	23-Oct	12-Feb	non-brg	2.5
BUCK CAPITAL MGMT	001	COH	S	30,000	18.11	9-Jan	22-Jan	1,200.00	4.0
MORGENS WATERFALL	040	CRR	SS	16,200	29.35	5-Feb	17-Mar	486.00	3.0
ß BUCK CAPITAL MGMT		CWTR	B	20,000	2.98	n/a	n/a	non-brg	2.0
f BRIAN W CRAGO	FID	C	B	1000	2.87	n/a	23-Mar	0.00	0.0
ß BUCK CAPITAL MGMT		DAI	SS	30,000	29.70	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DECK	B	10,000	57.00	n/a	n/a	non-brg	2.5
TROUBH PART	067	DELL	S	50,000	9.74	n/a	n/a	2,500.00	5.0
PRINCIPLE CAPITAL	040	DIS	B	80,158	19.95	n/a	n/a	2,404.74	3.0
SENVEST PART	045	DSW	SS	20,000	10.49	24-Mar	25-Mar	1,000.00	5.0
f CHRISTOPHER ARTHUR K	FID	DXO	S	10000	3.01	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	FRANCIS MICHAEL MCCA	FID	DXO	S	2000	3.13	n/a	n/a	0.00	0.0
f	JAMES H HLAVACEK II	FID	DXO	S	250	3.09	n/a	n/a	0.00	0.0
f	JONATHAN RICHARD HAR	FID	DXO	S	1175	3.04	n/a	n/a	0.00	0.0
f	ANN M GAULT	FID	FAZ	B	1000	16.94	n/a	n/a	0.00	0.0
f	JOHN MICHAEL DEMARTI	FID	FAZ	B	1000	17.34	n/a	n/a	0.00	0.0
f	MANNY I KORMAN	FID	FAZ	B	2000	17.88	n/a	n/a	0.00	0.0
f	SCOTT L BRUNNER	FID	FAZ	B	1000	17.28	n/a	n/a	0.00	0.0
f	WILLIAM J GAULT	FID	FAZ	B	1500	16.97	n/a	n/a	0.00	0.0
	SIGMA CAPITAL ASSOCIATES	041	FDO	S	50,000	32.42	5-Mar	6-Mar	2,500.00	5.0
	EPOCH INV MGMT	030	FISV	B	25,000	36.37	n/a	n/a	1,000.00	4.0
	COUGAR TRADING	044	FL	B	10,000	11.22	24-Mar	24-Mar	500.00	5.0
f	DAVID GEORGE BUCK	FID	FOLD	B	1750	9.25	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		FUA+FD[FOSL]	SS	2,000	0.95	n/a	n/a	non-brg	100.0
	BUCK CAPITAL MGMT	001	GES	B	10,000	22.21	n/a	n/a	400.00	4.0
B	BUCK CAPITAL MGMT		GIII	S	8,800	6.47	n/a	n/a	non-brg	1.5
B	BUCK CAPITAL MGMT		GIII	S	9,700	6.60	n/a	n/a	non-brg	1.0
B	BUCK CAPITAL MGMT		GIL	S	100,000	8.75	11-Dec	12-Feb	non-brg	3.0
B	BUCK CAPITAL MGMT		GIL	S	100,000	8.78	11-Dec	12-Feb	non-brg	1.0
f	DAVID GEORGE BUCK	FID	GIS	S	2200	51.62	n/a	n/a	0.00	0.0
	TRUSTCO/SUNTRUST	040	GPI	B	26,005	16.22	n/a	20-Feb	832.16	3.2

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		GPS	S	50,000	14.32	n/a	30-Jan	non-brg	4.0
SIGMA CAPITAL ASSOCIATES	041	GPS	S	75,000	14.27	n/a	30-Jan	3,750.00	5.0
⚡ BUCK CAPITAL MGMT		GQU+HF [GYMB]	SS	1,000	0.90	n/a	n/a	non-brg	100.0
ARAGON GLOBAL	041	GYMB	S	60,509	22.45	5-Mar	5-Mar	3,025.45	5.0
⚡ BUCK CAPITAL MGMT		GYMB	S	40,000	22.33	5-Mar	5-Mar	non-brg	4.0
WAGONHOUND/NIC	048	GYMB	B	1,827	22.00	5-Mar	5-Mar	73.08	4.0
WHITE PINE CAPITAL	030	HALL	B	600	6.65	n/a	n/a	30.00	5.0
⚡ BUCK CAPITAL MGMT		HK	B	50,000	21.45	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		IVZ	S	75,000	15.14	24-Mar	2-Apr	non-brg	4.0
SANDLER O'NEILL ASSET	031	IVZ	B	1,900	14.95	24-Mar	2-Apr	95.00	5.0
⚡ BUCK CAPITAL MGMT		IYR	SS	135,000	26.66	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT	001	JCG	SS	50,000	14.39	n/a	30-Jan	2,000.00	4.0
CASTLE ARK	031	JCI	B	697,900	15.10	13-Mar	27-Mar	41,874.00	6.0
BUCK CAPITAL MGMT	001	JCP	S	50,000	21.95	30-Mar	30-Mar	2,000.00	4.0
⚡ BUCK CAPITAL MGMT		JNY+HU [JNY]	SS	5,000	0.50	n/a	n/a	non-brg	100.0
⚡ BUCK CAPITAL MGMT		JOSB	S	20,000	29.75	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	JPM	B	500	27.94	16-Jan	27-Mar	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	JWN	SS	20,000	18.38	20-Feb	6-Mar	800.00	4.0
PILOT ROCK	028	JWN	B	150,475	18.69	20-Feb	6-Mar	6,019.00	4.0
Ⓕ BUCK CAPITAL MGMT		KCP	S	20,455	7.10	n/a	28-Sep	non-brg	1.0
MFP INVESTORS	032	KIM	S	52,700	7.56	n/a	n/a	2,108.00	4.0
CASTLEROCK	040	KSS	S	47,186	45.43	30-Mar	30-Mar	1,887.44	4.0
BMO NESBITT BURNS	041	LM	S	33,000	18.25	29-Jan	2-Apr	1,650.00	5.0
Ⓕ BUCK CAPITAL MGMT		LM	S	40,000	18.11	29-Jan	2-Apr	non-brg	4.0
SENVEST PART	045	LM	B	10,000	18.22	29-Jan	2-Apr	500.00	5.0
Ⓕ DAVID GEORGE BUCK	FID	MAC	S	2000	8.24	n/a	n/a	0.00	0.0
Ⓕ BUCK CAPITAL MGMT		MGM	S	10,000	3.24	n/a	2-Apr	non-brg	2.0
PZENA INV ADV	044	MSFT	B	28,225	19.32	n/a	3-Apr	987.88	3.5
COLUMBIA PARTNERS	028	MS	B	66,138	23.32	18-Dec	23-Mar	2,645.52	4.0
NATIONAL BK OF CAN	031	MS	S	35,000	24.37	18-Dec	23-Mar	1,400.00	4.0
NICOLAS APPELEGATE	048	MYGN	S	12,200	45.04	n/a	n/a	488.00	4.0
SUFFOLK CAPITAL MGMT	040	MYL	S	97,600	13.84	n/a	31-Mar	3,904.00	4.0
BUCK CAPITAL MGMT	001	M	S	50,000	10.23	n/a	6-Mar	2,000.00	4.0
SCOPUS FUND	041	M	SS	75,000	10.10	n/a	6-Mar	3,750.00	5.0
Ⓕ FRANCIS MICHAEL MCCA	FID	NAV	B	200	29.79	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	NKE	S	30,000	50.74	n/a	n/a	1,200.00	4.0
DARUMA ASSET MGMT INC	034	NP	S	50,000	3.55	13-Mar	13-Mar	2,500.00	5.0
NATIONAL BK OF CAN	031	NTRS	B	25,000	60.70	14-Jan	23-Mar	1,000.00	4.0
SANDLER O'NEILL ASSET	031	NTRS	B	50,000	59.98	14-Jan	23-Mar	2,500.00	5.0
TRELLUS PARTNERS LP	028	PAG	SS	10,000	10.41	n/a	18-Feb	300.00	3.0
WAGONHOUND/NIC	048	PCLN	B	563	82.39	n/a	n/a	22.52	4.0
ß BUCK CAPITAL MGMT		PENN	B	2,500	25.18	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		PENN	B	50,000	26.54	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		PLCE	S	40,000	24.36	19-Mar	19-Mar	non-brg	4.0
ß BUCK CAPITAL MGMT		PSS+IC[PSS]	SS	1,000	1.02	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		PVH	B	50,000	24.00	27-Mar	27-Mar	non-brg	4.0
COUGAR TRADING	044	PVH	S	2,500	24.65	27-Mar	27-Mar	125.00	5.0
ß BUCK CAPITAL MGMT		QZS+GG[JOSB]	SS	1,000	1.87	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		QZS+GH[JOSB]	SS	1,000	0.87	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		RCL	S	75,000	9.30	26-Mar	26-Mar	non-brg	3.0
NWQ INVESTMENT MGMT CO	048	RDEN	B	1,800	6.42	12-Feb	12-Feb	54.00	3.0
BUCK CAPITAL MGMT	001	RL	SS	40,000	46.36	n/a	5-Feb	1,600.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MILLENIUM PARTNERS	028	ROST	S	40,000	37.63	n/a	n/a	1,600.00	4.0
SIGMA CAPITAL ASSOCIATES	041	ROST	S	100,000	37.06	n/a	n/a	5,000.00	5.0
B BUCK CAPITAL MGMT		SBAC	S	11,700	26.85	n/a	n/a	non-brg	4.0
KLEINHEINZ CAP PART	031	SCHW	B	200,000	16.05	n/a	n/a	10,000.00	5.0
CADIAN CAPITAL	067	SHW	B	15,000	53.00	31-Mar	31-Mar	750.00	5.0
NEWCASTLE FUNDS	033	SHW	B	70,000	53.17	31-Mar	31-Mar	2,800.00	4.0
B BUCK CAPITAL MGMT		SKF	B	4,000	86.29	n/a	n/a	non-brg	1.0
f WILLIAM J GAULT	FID	SKF	B	7000	86.75	n/a	n/a	0.00	0.0
f WILLIAM J GAULT	FID	SKF	S	7000	87.61	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SKX	B	20,000	7.77	n/a	13-Mar	non-brg	3.0
MISG	041	SLB	B	10,000	43.99	n/a	n/a	300.00	3.0
f JOHN MICHAEL DEMARTI	FID	SPNG	S	500000	0.02	n/a	n/a	0.00	0.0
f ANDREW SINCLAIR	FID	SZCRF	B	20	6.50	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT	001	TGT	B	100,000	35.52	25-Feb	20-Mar	4,000.00	4.0
B BUCK CAPITAL MGMT		TRLG	S	798	12.99	n/a	n/a	non-brg	1.0
f EDWARD W WHEELER	FID	TRMA	B	4000	2.47	n/a	n/a	0.00	0.0
MOORE CAPITAL	036	TYC	S	25,000	20.73	n/a	3-Feb	1,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JONATHAN RICHARD HAR	FID	TZA	B	72	41.95	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		UAUA	B	100,000	5.32	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		UHO+QU[HOTT]	C	190	0.15	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		UHO+QU[HOTT]	SS	190	0.15	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		UHO+TU[HOTT]	C	48	0.65	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		UHO+TU[HOTT]	SS	48	0.65	n/a	n/a	non-brg	0.0
WAGONHOUND/NIC	048	URBN	B	1,509	15.66	n/a	30-Jan	60.36	4.0
ß BUCK CAPITAL MGMT		VFC	S	109,187	60.99	n/a	n/a	non-brg	4.0
BMO NESBITT BURNS	041	WDR	B	26,800	18.89	n/a	2-Apr	1,340.00	5.0
HIGHBRIDGE/MS OLDS	041	WLT	B	49,200	24.28	n/a	n/a	1,968.00	4.0
ß BUCK CAPITAL MGMT		WMT+EK[WMT]	SS	1,000	1.93	n/a	n/a	non-brg	300.0
RDK CAPITAL MGMT	034	WMT	B	18,000	54.23	10-Oct	6-Mar	720.00	4.0
SIGMA CAPITAL ASSOCIATES	041	WMT	S	25,000	54.24	10-Oct	6-Mar	1,250.00	5.0
ß BUCK CAPITAL MGMT		WRC	S	20,000	26.93	27-Mar	27-Mar	non-brg	4.0
f EDWARD W WHEELER	FID	WRLS	S	20000	1.82	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	WSM	SS	40,000	10.98	n/a	n/a	1,600.00	4.0
ß BUCK CAPITAL MGMT		WYNN	C	49,500	24.18	n/a	n/a	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		XRT	C	515,700	24.53	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		ZLC	C	19,900	2.77	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		ZLC	C	84,800	2.76	n/a	n/a	non-brg	2.0
f RAGHAV NAYAR	FID	ZLC	B	400	2.39	n/a	n/a	0.00	0.0
f RAGHAV NAYAR	FID	ZLC	S	400	2.79	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		ZQK	S	14,837	1.41	12-Mar	12-Mar	non-brg	1.0
ß BUCK CAPITAL MGMT		ZQK	S	209,952	1.34	12-Mar	12-Mar	non-brg	1.0
ß BUCK CAPITAL MGMT		ZQK	S	25,211	1.35	12-Mar	12-Mar	non-brg	1.0
ß BUCK CAPITAL MGMT		ZQK	S	50,000	1.33	12-Mar	12-Mar	non-brg	2.0
TOTAL (Trade Date):							170,126.11		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	04/01	VINIK ASSET MGMT.	030	BJ	S	65,000	31.67	n/a	27-Jul	2600.00 4.0
AO,CXL	04/01	VINIK ASSET MGMT.	030	BJ	S	65,000	31.67	n/a	27-Jul	1950.00 3.0
AO,CRT	04/01	STRAUSS ASSET MGMT	040	CRNT	S	15,000	4.47	n/a	n/a	450.00 3.0
AO,CXL	04/01	STRAUSS ASSET MGMT	040	CRNT	S	15,000	4.47	n/a	n/a	600.00 4.0
AO,CRT	04/01	KEEFE BRUYETTE WOODS A	045	LAZ	SS	15,000	28.68	1-Apr	1-Apr	750.00 5.0
AO,CXL	04/01	KEEFE BRUYETTE WOODS A	045	LAZ	SS	15,000	28.68	1-Apr	1-Apr	600.00 4.0

TOTAL (AO, CXL, CRT) :**650.00**

TOTAL (Trade Date):

170,126.11

TOTAL (AO, CXL, CRT):

650.00

TOTAL (RUN DATE) / NFS:**170,776.11**

MRI Securities with Trade Activity on 2-Apr.
NONE

MRI Securities without Trade Activity on 2-Apr.
CHTT

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

T-Date = 22%

YTD = 24%

<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
BCM Watch List Trades
f: Employee Trades (Fidelity)