



# Daily Compliance Activity Report

Trade Date: 02/11/2009

Potential ANALYST TRADE Violations: 0

BCM Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WAGONHOUND/NIC	048	AMG	S	879	46.11	13-Nov	10-Feb	35.16	4.0
MTB INV ADV	034	ANF	B	5,400	20.25	n/a	6-Feb	270.00	5.0
PECONIC PARTNERS	036	ANF	SS	50,000	19.94	n/a	6-Feb	2,500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ARO</b>	<b>S</b>	<b>50,000</b>	<b>22.37</b>	<b>n/a</b>	<b>6-Feb</b>	<b>2,000.00</b>	<b>4.0</b>
MTB INV ADV	034	ARO	B	5,275	21.98	n/a	6-Feb	263.75	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>AZO</b>	<b>S</b>	<b>66</b>	<b>138.67</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BAC</b>	<b>S</b>	<b>135,000</b>	<b>5.88</b>	<b>16-Jan</b>	<b>10-Feb</b>	<b>non-brg</b>	<b>3.0</b>
NATIONAL BK OF CAN	031	BAC	B	165,000	5.96	16-Jan	10-Feb	4,950.00	3.0
MTB INV ADV	034	BKE	B	5,300	23.55	n/a	n/a	265.00	5.0
SANDLER O'NEILL ASSET	031	BK	B	25,000	26.57	21-Jan	10-Feb	1,250.00	5.0
GREEN ARROW CAPITAL	034	BLK	S	15,000	112.35	11-Feb	11-Feb	750.00	5.0
HIGHBRIDGE CAPITAL	038	BNI	B	7,000	68.24	n/a	n/a	350.00	5.0
BALYASNY ASSET MGMT	044	BWA	SS	50,000	19.37	27-Jan	27-Jan	2,500.00	5.0
COUGAR TRADING	044	BWA	SS	10,000	18.86	27-Jan	27-Jan	500.00	5.0
MILLRACE FUND LP	028	BWA	SS	5,000	18.89	27-Jan	27-Jan	200.00	4.0
RESURGENCE ASSET MGMT	070	BWA	SS	50,000	18.73	27-Jan	27-Jan	2,500.00	5.0
T. ROWE PRICE	033	CI	S	126,900	20.63	n/a	n/a	5,076.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⚡ BUCK CAPITAL MGMT		CTX	S	5,000	9.51	n/a	n/a	non-brg	1.0
NATIONAL BK OF CAN	031	C	SS	285,000	3.44	n/a	10-Feb	5,700.00	2.0
⚡ BUCK CAPITAL MGMT		DECK	B	10,000	53.35	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DHI	S	7,500	8.44	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		DIN	C	10,000	8.14	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		DIN	C	20,000	8.23	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		DIN	C	30,000	8.21	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		DIN	C	40,000	7.99	n/a	n/a	non-brg	1.0
BALYASNY ASSET MGMT	044	ETN	SS	5,000	44.42	26-Jan	26-Jan	250.00	5.0
f KAREN F LEDDY	FID	EV	S	800	19.69	9-Jan	10-Feb	0.00	0.0
DSG CAPITAL	225	FOR	B	10,000	9.00	12-Feb	5-Feb	500.00	5.0
BUCK CAPITAL MGMT	001	GCO	S	100,000	14.50	n/a	10-Jan	4,000.00	4.0
BUCK CAPITAL MGMT	001	GES	S	10,000	16.81	n/a	n/a	400.00	4.0
MATRIX ASSET ADV.	036	GE	S	35,000	11.96	n/a	n/a	1,050.00	3.0
⚡ BUCK CAPITAL MGMT		GIL	B	10,000	10.24	11-Dec	12-Dec	non-brg	4.0
CAXTON PART	040	GS	S	12,028	92.04	15-Sep	10-Feb	420.98	3.5
⚡ BUCK CAPITAL MGMT		GYMB	B	30,000	25.79	7-Nov	6-Feb	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		HD+OD[???	SS	1,000	0.87	n/a	n/a	non-brg	100.0
⚡ BUCK CAPITAL MGMT		HD+QW[???	SS	1,000	0.83	n/a	n/a	non-brg	100.0
⚡ BUCK CAPITAL MGMT		HD	SS	100,000	21.97	n/a	11-Feb	non-brg	4.0
HOLDEN CAPITAL MGMT	035	HD	SS	50,000	22.01	n/a	11-Feb	2,500.00	5.0
RBC CAPITAL MARKETS	034	HD	SS	10,000	22.11	n/a	11-Feb	400.00	4.0
⚡ BUCK CAPITAL MGMT		HOT	C	100,000	14.22	n/a	n/a	non-brg	4.0
CAXTON PART	040	HPQ	S	12,039	34.76	n/a	n/a	421.37	3.5
NORTHPOINT	030	ICON	S	24,919	8.98	n/a	n/a	747.57	3.0
NORTHPOINT	030	INTU	S	22,400	23.22	n/a	n/a	896.00	4.0
POST ROAD CAP	045	IR	S	5,000	17.26	n/a	n/a	150.00	3.0
⚡ BUCK CAPITAL MGMT		JCG	S	20,000	11.27	n/a	30-Jan	non-brg	4.0
⚡ BUCK CAPITAL MGMT		JNY+EA[???	SS	3,000	0.20	n/a	n/a	non-brg	100.0
FRIESS MGMT	033	JOSB	B	100,000	26.19	n/a	n/a	4,000.00	4.0
f CHRISTOPHER ARTHUR K	FID	KBE	S	2000	14.01	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	KSS	S	50,000	37.45	n/a	6-Feb	2,000.00	4.0
RBC CAPITAL MARKETS	034	KSS	B	10,000	37.55	n/a	6-Feb	400.00	4.0
⚡ BUCK CAPITAL MGMT		LEN	S	5,000	7.63	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
B BUCK CAPITAL MGMT		LM	S	37,500	14.45	29-Jan	10-Feb	non-brg 4.0
BUCK CAPITAL MGMT	001	MAR	B	100,000	15.40	n/a	n/a	4,000.00 4.0
WESS	070	MCO	C	25,000	24.39	n/a	n/a	1,000.00 4.0
B BUCK CAPITAL MGMT		MJN	S	3,000	26.25	n/a	n/a	non-brg 2.5
CAXTON PART	040	MON	B	14,000	80.00	n/a	22-Jan	490.01 3.5
B BUCK CAPITAL MGMT		MS	S	50,000	21.85	18-Dec	10-Feb	non-brg 4.0
AMBER CAPITAL	046	MTB	SS	25,000	38.45	n/a	n/a	1,000.00 4.0
BUCK CAPITAL MGMT	001	NDN	B	48,004	7.52	31-Oct	5-Feb	1,440.12 3.0
PAULSON & CO INC	041	NRG	S	100,000	23.81	n/a	n/a	3,000.00 3.0
SANDLER O'NEILL ASSET	031	NTRS	SS	25,000	60.05	14-Jan	10-Feb	1,250.00 5.0
EATON VANCE MGMT	039	OXY	B	50,000	56.83	n/a	n/a	1,500.00 3.0
MTB INV ADV	034	PETM	B	8,525	19.43	n/a	n/a	426.25 5.0
MILLRACE FUND LP	028	PFCB	SS	8,500	18.34	8-Jan	11-Feb	340.00 4.0
B BUCK CAPITAL MGMT		PLCE	B	20,000	19.62	6-Jan	6-Feb	non-brg 4.0
B BUCK CAPITAL MGMT		PNRA	C	50,000	46.30	n/a	4-Feb	non-brg 2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		PSS	B	20,000	10.97	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		PSUN	B	100,000	1.29	6-Feb	6-Feb	non-brg	2.5
BUCK CAPITAL MGMT		PSUN	B	200,000	1.30	6-Feb	6-Feb	non-brg	2.0
CAXTON PART	040	QCOM	S	12,046	34.81	n/a	n/a	421.61	3.5
COLUMBIA PARTNERS	028	QDEL	B	29,633	12.93	n/a	n/a	1,185.32	4.0
FIRST NEW YORK LEDDY	035	Q	S	10,000	3.25	n/a	n/a	600.00	6.0
BUCK CAPITAL MGMT	001	RCL	B	50,000	7.15	30-Jan	30-Jan	1,500.00	3.0
BUCK CAPITAL MGMT		RYL	S	3,000	17.98	n/a	n/a	non-brg	1.0
MARC PAUL LUCHANSKY	FID	SDS	B	1000	79.17	n/a	n/a	0.00	0.0
1798 CAPITAL MGMT	040	SHW	S	10,000	47.11	n/a	22-Jan	500.00	5.0
BUCK CAPITAL MGMT		SKX	B	20,000	7.07	n/a	13-Mar	non-brg	3.0
BUCK CAPITAL MGMT		SSI	S	28,292	8.01	n/a	6-Feb	non-brg	3.0
HIGHBRIDGE/MS OLDS	041	STT	S	70,000	28.44	n/a	n/a	3,500.00	5.0
WESS	070	STT	S	25,000	28.56	n/a	n/a	1,000.00	4.0
ANDREW SINCLAIR	FID	SZCRF	S	40	8.25	n/a	n/a	0.00	0.0
ANDREW SINCLAIR	FID	TBTCW	B	400	1.48	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AVESTA CAP	229	TGT	B	75,000	31.89	5-Feb	10-Feb	3,750.00	5.0
WASHINGTON ASSET	048	THS	S	8,000	24.69	n/a	n/a	400.00	5.0
⌘ BUCK CAPITAL MGMT		TIF+QC[???	SS	1,000	0.80	n/a	n/a	non-brg	100.0
PECONIC PARTNERS	036	TIF	SS	50,000	20.93	n/a	30-Jan	2,500.00	5.0
CAXTON PART	040	TOT	S	24,068	51.37	n/a	n/a	842.40	3.5
⌘ BUCK CAPITAL MGMT		URBN	S	10,000	16.39	n/a	30-Jan	non-brg	4.0
MTB INV ADV	034	URBN	B	5,300	16.67	n/a	30-Jan	265.00	5.0
SERENGETI MGMT	030	WAB	SS	50,000	31.33	n/a	n/a	2,500.00	5.0
FINANCIAL STOCK LP	028	WFC	B	100,000	16.91	n/a	n/a	4,000.00	4.0
BUCK CAPITAL MGMT	001	WMS	SS	40,000	18.22	n/a	n/a	1,600.00	4.0
⌘ BUCK CAPITAL MGMT		WMS	C	30,000	18.01	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		WMT	S	30,000	48.11	10-Oct	10-Feb	non-brg	4.0
⌘ BUCK CAPITAL MGMT		WYNN	C	30,000	28.14	n/a	n/a	non-brg	4.0
TOTAL (Trade Date):								86,256.54	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	02/10	HIGHBRIDGE CAPITAL	038	BNI	B	8,000	71.00	n/a	n/a	400.00 5.0
AO,CXL	02/10	HIGHBRIDGE/MS OLDS	041	BNI	B	8,000	71.00	n/a	n/a	400.00 5.0
AO,	02/10	PILOT ADV	038	CQB	S	50,000	14.23	n/a	n/a	2000.00 4.0
AO,CXL	02/10	HUNTER GLOBAL INVESTOR	067	DHI	S	400,000	9.06	n/a	n/a	12000.00 3.0
AO,CRT	02/10	HUNTER GLOBAL INVESTOR	067	DHI	S	400,000	9.06	n/a	n/a	12000.00 3.0
AO,CRT	02/10	BUCK CAPITAL MGMT	001	DIN	B	8,400	9.05	n/a	n/a	252.00 3.0
AO,CXL	02/10	BUCK CAPITAL MGMT	001	DIN	B	8,400	9.05	n/a	n/a	336.00 4.0
AO,CRT	02/10	PERMIAN/BAYPIONT	028	NFLX	SS	8,200	36.51	n/a	n/a	328.00 4.0
AO,CXL	02/10	PERMIAN/BAYPIONT	028	NFLX	SS	8,200	36.51	n/a	n/a	410.00 5.0
AO,CRT	02/10	HIGHBRIDGE CAPITAL	038	NSC	B	16,000	39.27	n/a	n/a	800.00 5.0
AO,CXL	02/10	HIGHBRIDGE/MS OLDS	041	NSC	B	16,000	39.27	n/a	n/a	800.00 5.0
AO,CRT	02/10	CENTURION GLOBAL MGMT LL	041	NTAP	S	18,000	15.68	n/a	n/a	540.00 3.0
AO,CXL	02/10	CENTURION GLOBAL MGMT LL	041	NTAP	S	18,000	15.68	n/a	n/a	900.00 5.0

**TOTAL (AO, CXL, CRT) :****1,474.00**

TOTAL (Trade Date) :

86,256.54

TOTAL (AO, CXL, CRT) :

1,474.00

---

TOTAL (RUN DATE) / NFS:

87,730.54

---

MRI Securities with Trade Activity on 11-Feb.

BLK

MRI Securities without Trade Activity on 11-Feb.

SIAL

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

T-Date = 29%

YTD = 25%



**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

BCM Watch List Trades

f: Employee Trades (Fidelity)