



Daily Compliance Activity Report

Trade Date: 09/15/2009

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	AAN	S	40,000	26.11	n/a	n/a	1,600.00	4.0
HIGHBRIDGE CAP	041	AAP	B	28,000	39.39	n/a	n/a	1,400.00	5.0
BUCK CAPITAL MGMT	001	AEO	B	90,000	16.24	25-Jun	4-Sep	3,600.00	4.0
ARCHON CAPITAL	035	AMB	B	15,000	23.49	n/a	n/a	450.00	3.0
f HARALAMBOS EFSTATHI	FID	ANF	S	200	31.31	3-Jun	4-Sep	0.00	0.0
f JOSEPH CIRO AMATURO	FID	APC	S	1000	58.90	n/a	15-Sep	0.00	0.0
B BUCK CAPITAL MGMT		APP	S	47,500	3.77	n/a	n/a	non-brg	3.0
f HARALAMBOS EFSTATHI	FID	ARO	S	200	42.74	n/a	4-Sep	0.00	0.0
f JONATHAN RICHARD HAR	FID	AXLIL	S	25	1.60	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	AXLJU	B	32	1.17	n/a	n/a	0.00	0.0
CARLSON CAPITAL	203	BAC	B	50,300	16.87	11-May	15-Sep	2,012.00	4.0
KARSCH CAPITAL	034	BAC	S	300,000	16.89	11-May	15-Sep	9,000.00	3.0
SCOPUS FUND	041	BKI	S	21,374	11.06	n/a	n/a	1,068.70	5.0
B BUCK CAPITAL MGMT		BKS	C	20,000	21.56	n/a	n/a	non-brg	4.0
MATRIX ASSET ADV.	036	BK	B	3,000	29.00	11-May	15-Sep	120.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		BONT	B	15,000	8.70	n/a	6-Feb	non-brg	2.5
B BUCK CAPITAL MGMT		BONT	B	35,000	8.89	n/a	6-Feb	non-brg	2.5
B BUCK CAPITAL MGMT		BONT	B	7,575	8.72	n/a	6-Feb	non-brg	0.7
TRELLUS PARTNERS LP	028	BWA	B	30,000	33.17	3-Aug	24-Aug	1,500.00	5.0
f MANNY I KORMAN	FID	BWF	B	2000	25.00	n/a	n/a	0.00	0.0
ISLE RIDGE PARTNERS	041	BYD	SS	10,000	10.21	n/a	7-Aug	400.00	4.0
B BUCK CAPITAL MGMT		CAL	S	10,000	16.13	n/a	n/a	non-brg	4.0
EPOCH INV MGMT	030	CAM	B	1,000	37.93	n/a	n/a	30.00	3.0
f EDWARD W WHEELER	FID	CBIJB	B	200	7.90	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	CBI	S	11500	17.72	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	CCW	B	2000	24.78	n/a	n/a	0.00	0.0
11:11 CAPITAL CORP	046	CEPH	B	39,500	58.29	21-May	15-Sep	1,975.00	5.0
B BUCK CAPITAL MGMT		CHRS	S	40,000	4.82	n/a	22-Mar	non-brg	3.0
ISLE RIDGE PARTNERS	041	CHRS	B	25,000	4.86	n/a	22-Mar	1,000.00	4.0
EPOCH INV MGMT	030	CLB	B	3,900	100.95	n/a	15-Sep	117.00	3.0
B BUCK CAPITAL MGMT		COLM	C	10,000	41.95	n/a	n/a	non-brg	4.0
EPOCH INV MGMT	030	COL	B	850	48.53	n/a	n/a	25.50	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NOMURA CAPITAL	045	CORE	S	25,043	29.08	n/a	n/a	1,252.15	5.0
B BUCK CAPITAL MGMT		COST	C	20,000	56.57	n/a	27-Jul	non-brg	4.0
f MANNY I KORMAN	FID	CRP	B	3000	25.01	n/a	n/a	0.00	0.0
MATRIX ASSET ADV.	036	CSCO	S	4,000	23.00	n/a	22-Mar	160.00	4.0
EXIS CAPITAL	044	CTXS	B	20,000	36.71	n/a	n/a	1,000.00	5.0
f ANTHONY SUTERA	FID	C	B	2500	4.13	n/a	15-Sep	0.00	0.0
B BUCK CAPITAL MGMT		C	B	100,000	4.23	n/a	15-Sep	non-brg	0.8
f RAGHAV NAYAR	FID	C	B	186	4.29	n/a	15-Sep	0.00	0.0
B BUCK CAPITAL MGMT		DAL	S	110,000	9.15	n/a	n/a	non-brg	3.0
f EDWARD W WHEELER	FID	DANCU	S	400	1.15	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	DAN	B	300	6.68	n/a	n/a	0.00	0.0
f STEFFANIE CARMELA CA	FID	DAN	B	130	6.50	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		DBRN	B	90,000	17.59	n/a	n/a	non-brg	4.0
AAD CAPITAL	048	DIS	B	50,000	28.21	n/a	n/a	2,000.00	4.0
BRAHMAN CAPITAL	028	DKS	SS	100,000	22.57	17-Aug	21-Aug	5,000.00	5.0
f JESSICA PERNO	FID	DPTR	B	125	3.64	n/a	n/a	0.00	0.0
f STEFFANIE CARMELA CA	FID	DPTR	B	200	3.64	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		DPZ	B	50,000	8.70	n/a	24-Apr	non-brg	3.0
BUCK CAPITAL MGMT		DRI	B	50,000	34.96	13-Aug	13-Aug	non-brg	4.0
BUCK CAPITAL MGMT		DSW	C	20,000	15.40	26-Aug	26-Aug	non-brg	4.0
MANNY I KORMAN	FID	DUA	B	2000	20.94	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		EAT	B	50,000	15.89	n/a	24-Apr	non-brg	4.0
BMO NESBITT BURNS	041	FOR	B	10,000	15.09	6-Aug	6-Aug	500.00	5.0
ALICE BEEBE LONGLEY	FID	FR	B	2000	5.68	n/a	n/a	0.00	0.0
MANNY I KORMAN	FID	FSIXX	S	267100	1.00	n/a	n/a	0.00	0.0
MITCHELL JAMES SPEIS	FID	FSNXX	B	10600	1.00	n/a	n/a	0.00	0.0
DIAMONDBACK CAP MGMT	232	FWLT	S	20,000	32.13	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT		F	B	200,000	7.33	27-Aug	2-Sep	non-brg	3.0
TRELLUS PARTNERS LP	028	F	B	25,000	7.34	27-Aug	2-Sep	750.00	3.0
&LAG	048	F	B	20,000	7.30	27-Aug	2-Sep	1,000.00	5.0
BUCK CAPITAL MGMT	001	GCO	B	77,500	22.57	n/a	10-Jan	3,100.00	4.0
BUCK CAPITAL MGMT		GCO	B	17,500	22.55	n/a	10-Jan	non-brg	4.0
BUCK CAPITAL MGMT		GCO	B	5,000	22.94	n/a	10-Jan	non-brg	0.8
CHRISTOPHER ARTHUR K	FID	GE	B	1000	15.77	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	GIL	B	50,000	19.97	14-Aug	14-Aug	2,000.00	4.0
DIAMONDBACK CAP MGMT	232	GPS	B	25,000	21.49	n/a	30-Jan	1,250.00	5.0
ISLE RIDGE PARTNERS	041	GT	B	15,000	17.51	n/a	n/a	600.00	4.0
ß BUCK CAPITAL MGMT		HGG	B	50,000	15.88	n/a	n/a	non-brg	4.0
11:11 CAPITAL CORP	046	HOLX	S	50,000	17.57	n/a	n/a	2,500.00	5.0
ß BUCK CAPITAL MGMT		IVZ	B	25,000	22.52	6-Aug	15-Sep	non-brg	0.8
ß BUCK CAPITAL MGMT		IWM	SS	500,000	60.20	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		JBLU	S	146,500	6.57	n/a	n/a	non-brg	3.0
DSG CAPITAL	225	JCI	B	20,000	27.08	15-Sep	15-Sep	1,000.00	5.0
f JOSEPH CIRO AMATURO	FID	JCI	B	2500	27.17	15-Sep	15-Sep	0.00	0.0
ß BUCK CAPITAL MGMT		JNS	B	50,000	13.85	16-Sep	14-Sep	non-brg	4.0
ß BUCK CAPITAL MGMT		JOSB	S	30,000	46.31	n/a	n/a	non-brg	0.8
BUCK CAPITAL MGMT	001	KMX	B	62,147	18.78	n/a	10-Jan	2,485.88	4.0
ß BUCK CAPITAL MGMT		KMX	B	37,800	18.84	n/a	10-Jan	non-brg	1.0
ß BUCK CAPITAL MGMT		KMX	B	53	18.00	n/a	10-Jan	non-brg	0.8
GREEN ARROW DOUG	040	KSS	S	10,000	54.49	14-Aug	4-Sep	300.00	3.0
HARVEST MGMT	039	KSS	S	17,000	54.78	14-Aug	4-Sep	850.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f DAVID GEORGE BUCK	FID	LJJVM	B	40	0.19	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	LJJVR	S	40	1.34	n/a	n/a	0.00	0.0
SOROS	036	LOW	B	100,000	21.16	2-Sep	2-Sep	4,000.00	4.0
B BUCK CAPITAL MGMT		LPX	S	50,000	7.33	n/a	5-Aug	non-brg	3.0
B BUCK CAPITAL MGMT		LPX	S	50,000	7.55	n/a	5-Aug	non-brg	2.5
CSFB GLOBAL PROPRIETARY	041	LPX	SS	25,000	7.43	n/a	5-Aug	1,250.00	5.0
f JOSEPH CIRO AMATURO	FID	LVS	B	5000	18.87	14-Sep	14-Sep	0.00	0.0
f NICOLAS EVAN PAKLER	FID	LVS	B	200	18.89	14-Sep	14-Sep	0.00	0.0
AAD CAPITAL	048	MAC	S	20,000	31.46	n/a	n/a	800.00	4.0
B BUCK CAPITAL MGMT		MAR	C	40,000	25.29	n/a	n/a	non-brg	4.0
OZ MGMT	040	MOS	C	62,513	53.35	n/a	n/a	1,875.39	3.0
CIRCLE T/SES PART	035	MPEL	S	25,000	7.50	n/a	26-Aug	1,000.00	4.0
ISLE RIDGE PARTNERS	041	MTN	B	10,000	33.75	n/a	n/a	400.00	4.0
f MANNY I KORMAN	FID	MWO	B	3000	19.38	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	M	S	25,000	17.33	n/a	4-Sep	1,250.00	5.0
B BUCK CAPITAL MGMT		M	B	100,000	17.80	n/a	4-Sep	non-brg	4.0
EPOCH INV MGMT	030	NYX	B	2,350	28.77	n/a	n/a	70.50	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BMO NESBITT BURNS	041	PCL	S	2,000	30.80	n/a	28-Jul	100.00	5.0
B BUCK CAPITAL MGMT		PLCE	B	40,000	28.22	n/a	4-Sep	non-brg	4.0
EPOCH INV MGMT	030	PM	B	800	46.95	n/a	n/a	24.00	3.0
B BUCK CAPITAL MGMT		PNRA	B	20,000	55.68	30-Jul	30-Jul	non-brg	4.0
EPOCH INV MGMT	030	PRU	B	1,050	50.48	n/a	n/a	31.50	3.0
CATAPULT	040	PXP	SS	25,000	28.65	n/a	n/a	1,250.00	5.0
f KEVIN MICHAEL O'GORM	FID	RFIA	S	40	0.85	n/a	n/a	0.00	0.0
f FRANCIS MICHAEL MCCA	FID	ROC	B	600	22.27	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	ROC	B	2000	22.26	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		RRR	B	25,000	7.85	n/a	11-Aug	non-brg	3.0
B BUCK CAPITAL MGMT		RRR	B	50,000	8.01	n/a	11-Aug	non-brg	2.5
FIRST NY SEC/CHRIS	041	RRR	S	30,000	7.99	n/a	11-Aug	1,500.00	5.0
BMO NESBITT BURNS	041	RYN	S	2,000	42.54	n/a	3-Aug	100.00	5.0
PZENA INV ADV	044	SKX	B	41,391	18.49	n/a	13-Mar	1,448.69	3.5
PLATTE RIVER CAPITAL	240	SLB	B	4,000	59.87	n/a	n/a	160.00	4.0
f JASON ERIC COHEN	FID	SNCR	B	120	10.38	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	SPY	B	1000	105.69	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		SUP	B	7,500	14.92	10-Aug	10-Aug	non-brg	0.8
f ANDREW SINCLAIR	FID	SWGUV	B	100	0.88	n/a	n/a	0.00	0.0
f ANTHONY NG	FID	S	S	375	4.09	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	TGT	B	30,000	47.43	3-Sep	3-Sep	1,200.00	4.0
LATEFF MGMT	035	TIN	S	7,750	18.65	14-Aug	14-Aug	865.00	13.0
SCOPUS FUND	041	TJX	B	10,000	37.08	28-Jul	4-Sep	500.00	5.0
BUCK CAPITAL MGMT	001	TWB	B	20,000	8.30	n/a	30-Jan	600.00	3.0
B BUCK CAPITAL MGMT		UAUA	S	60,000	8.71	n/a	n/a	non-brg	3.0
AAD CAPITAL	048	UFS	SS	30,000	37.95	n/a	n/a	1,200.00	4.0
HOLLIS CAPITAL	033	UFS	B	4,000	36.95	n/a	n/a	200.00	5.0
f STEFFANIE CARMELA CA	FID	UQM	S	300	5.30	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		URBN	B	30,000	30.81	n/a	30-Jan	non-brg	0.8
EPOCH INV MGMT	030	V	B	2,350	72.57	n/a	14-Sep	70.50	3.0
B BUCK CAPITAL MGMT		WBC	B	10,000	19.30	5-Aug	5-Aug	non-brg	0.8
TRELLUS PARTNERS LP	028	WBC	B	10,000	19.28	5-Aug	5-Aug	500.00	5.0
EPOCH INV MGMT	030	WFT	B	1,500	21.51	n/a	n/a	45.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WILLOW CREEK	033	WGO	SS	5,000	12.50	n/a	n/a	200.00	4.0
EPOCH INV MGMT	030	WM	B	2,950	30.49	n/a	n/a	88.50	3.0
NEWLAND CAPITAL MGT	067	WOR	S	5,000	15.00	n/a	n/a	200.00	4.0
BALYASNY ASSET MGMT	044	WRC	B	25,000	42.46	15-Sep	15-Sep	1,250.00	5.0
BUCK CAPITAL MGMT	001	WRC	S	35,900	43.02	15-Sep	15-Sep	1,436.00	4.0
f MANNY I KORMAN	FID	WSM	B	3000	19.76	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	WU	B	4,600	18.79	n/a	n/a	138.00	3.0
f DAVID GEORGE BUCK	FID	WYVG	B	20	0.53	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	WYVZ	S	20	1.73	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	WY	SS	50,000	39.85	n/a	3-Aug	2,500.00	5.0
SCHOTTENFELD ASSOC	041	WY	B	40,000	39.09	n/a	3-Aug	1,200.00	3.0
SCOPUS FUND	041	WY	S	39,500	39.56	n/a	3-Aug	1,975.00	5.0
EPOCH INV MGMT	030	XOM	B	2,100	69.75	n/a	n/a	63.00	3.0
B BUCK CAPITAL MGMT		XRT	C	875,000	33.51	n/a	n/a	non-brg	0.8
f ROBERT M DANIELS	FID	XTEX	B	500	4.30	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		YUM	C	120,000	33.65	n/a	15-Jul	non-brg	4.0
f HARALAMBOS EFSTATHI	FID	ZQK	B	2500	2.79	n/a	4-Sep	0.00	0.0

TOTAL (Trade Date):

80,537.31

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	09/14	CATAPULT	040	EMC	B	46,500	16.81	n/a	n/a	2325.00 5.0
AO,CXL	09/14	CATAPULT	040	EMC	B	46,500	16.81	n/a	n/a	0.00 0.0
AO,CRT	09/14	COLONIAL FUND LLC	036	F	B	25,000	7.35	27-Aug	2-Sep	750.00 3.0
AO,CXL	09/14	COLONIAL FUND LLC	036	F	B	25,000	7.35	27-Aug	2-Sep	1250.00 5.0
AO,CRT	09/14	CSFB GLOBAL PROPRIETARY	041	LPX	SS	80,000	7.26	n/a	5-Aug	4000.00 5.0
AO,CXL	09/14	CSFB GLOBAL PROPRIETARY	041	LPX	SS	80,000	7.26	n/a	5-Aug	4000.00 5.0
AO,CRT	09/14	BUCK CAPITAL MGMT	001	RL	S	20,000	68.69	6-Aug	6-Aug	800.00 4.0
AO,CXL	09/14	BUCK CAPITAL MGMT	001	RL	S	20,000	68.69	6-Aug	6-Aug	800.00 4.0
AO,CRT	09/14	COUGAR TRADING	044	SLM	S	10,000	8.82	12-Aug	14-Sep	400.00 4.0
AO,CXL	09/14	COUGAR TRADING	044	SLM	S	10,000	8.82	12-Aug	14-Sep	500.00 5.0

TOTAL (AO, CXL, CRT) :	1,725.00
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TOTAL (Trade Date):	80,537.31
TOTAL (AO, CXL, CRT):	1,725.00

TOTAL (RUN DATE) / NFS:	82,262.31
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MRI Securities with Trade Activity on 15-Sep.

JCI, WRC

MRI Securities without Trade Activity on 15-Sep.

ITW

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

T-Date = 19%

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)