



Daily Compliance Activity Report

Trade Date: 07/09/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f MARC PAUL LUCHANSKY	FID	AAGPX	B	47	12.90	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	AAPL	S	80	137.28	n/a	n/a	1.60	2.0
KAYNE ANDERSON ADV	048	ABAX	B	7,800	18.99	n/a	n/a	312.00	4.0
CR INTRINIC INVESTMENT	044	ABT	B	40,000	45.72	n/a	22-Apr	1,600.00	4.0
PIONEER OAKRIDGE	031	ABT	S	210	45.70	n/a	22-Apr	4.20	2.0
PIONEER OAKRIDGE	031	ADBE	S	260	27.41	n/a	n/a	5.20	2.0
PIONEER OAKRIDGE	031	ADS	S	150	37.48	n/a	n/a	3.00	2.0
f MARC PAUL LUCHANSKY	FID	AEGFX	B	46	30.52	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	AGN	S	190	45.64	24-Mar	7-Jul	3.80	2.0
PIONEER OAKRIDGE	031	AMG	S	75	53.29	5-Jun	9-Jul	1.50	2.0
B BUCK CAPITAL MGMT		ANF	C	100,000	23.37	3-Jun	6-Jul	non-brg	4.0
PIONEER OAKRIDGE	031	ANSS	S	275	29.27	n/a	n/a	5.50	2.0
HOLLIS CAPITAL	033	AN	B	7,000	16.66	10-Jun	10-Jun	350.00	5.0
PIONEER OAKRIDGE	031	ARG	S	205	38.10	23-Mar	9-Jul	4.10	2.0
BUCK CAPITAL MGMT	001	ARO	B	30,000	33.15	n/a	6-Jul	1,200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		ARO	B	30,000	32.82	n/a	6-Jul	non-brg	4.0
⚡ BUCK CAPITAL MGMT		ATVI	SS	300,000	11.53	n/a	n/a	non-brg	4.0
f ALEXANDER PRYLUCKI	FID	AXL	B	1400	2.08	n/a	9-Jul	0.00	0.0
⚡ BUCK CAPITAL MGMT		AXL	B	200,000	2.06	n/a	9-Jul	non-brg	2.0
DIAMONDBACK CAP MGMT	232	AXL	B	100,000	2.12	n/a	9-Jul	3,000.00	3.0
SYSTEMATIC FINANCIAL MGT	035	AXP	B	592,800	22.94	n/a	8-Jul	20,748.00	3.5
⚡ BUCK CAPITAL MGMT		BBY	B	20,000	32.72	n/a	27-Jul	non-brg	4.0
SYSTEMATIC FINANCIAL MGT	035	BBY	B	196,250	32.54	n/a	27-Jul	6,868.75	3.5
BALYASNY ASSET MGMT	044	BEN	C	33,000	66.08	5-Jun	9-Jul	1,650.00	5.0
⚡ BUCK CAPITAL MGMT		BJ	SS	100,000	31.95	n/a	27-Jul	non-brg	4.0
⚡ BUCK CAPITAL MGMT		BKE	B	50,000	29.33	n/a	n/a	non-brg	4.0
BNP PARIBAS SEC	040	BWA	B	22,500	30.17	10-Jun	10-Jun	900.00	4.0
PRINCIPLE CAPITAL	040	CCL	B	38,100	25.27	n/a	26-Jan	1,143.00	3.0
PIIONEER OAKRIDGE	031	CELG	S	155	46.56	n/a	n/a	3.10	2.0
PIIONEER OAKRIDGE	031	CHD	S	210	53.18	27-Apr	14-May	4.20	2.0
PIIONEER OAKRIDGE	031	CHSI	S	215	24.00	n/a	n/a	4.30	2.0
BUCK CAPITAL MGMT	001	COH	B	10,000	23.80	n/a	22-Apr	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIIONEER OAKRIDGE	031	CSCO	S	620	18.24	n/a	22-Mar	12.40	2.0
f ALEXANDER PRYLUCKI	FID	CVGI	B	2400	1.28	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	CVGI	B	3500	1.31	n/a	n/a	0.00	0.0
OZ MGMT	040	C	SS	125,000	2.64	n/a	30-Jun	3,750.00	3.0
f EDWARD W WHEELER	FID	DAN	B	30000	1.25	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		DECK	B	5,000	65.00	n/a	n/a	non-brg	4.0
PIIONEER OAKRIDGE	031	DHR	S	165	58.19	n/a	n/a	3.30	2.0
PIIONEER OAKRIDGE	031	DNR	S	255	13.25	n/a	n/a	5.10	2.0
B BUCK CAPITAL MGMT		DPZ	B	20,000	7.35	n/a	24-Apr	non-brg	3.0
PIIONEER OAKRIDGE	031	ECL	S	180	37.36	28-Apr	2-Jul	3.60	2.0
f MARC PAUL LUCHANSKY	FID	EHSTX	S	75	13.30	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		EL	SS	20,000	30.51	5-May	5-May	non-brg	4.0
FIRST NEW YORK LEDDY	035	ETFC	B	20,000	1.19	n/a	n/a	1,200.00	6.0
f MARC PAUL LUCHANSKY	FID	EXWAX	B	64	6.29	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FAGIX	S	73	6.84	n/a	n/a	0.00	0.0
f ALEXANDER PRYLUCKI	FID	FAS	B	75	39.12	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MARC PAUL LUCHANSKY	FID	FDGRX	S	25	52.68	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FDVIX	S	83	12.10	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FEMKX	B	60	16.59	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FIGRX	B	79	24.15	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FILEX	B	694	6.64	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FINSX	S	43	13.86	n/a	n/a	0.00	0.0
CUMBERLAND	038	FLEX	B	50,000	4.15	n/a	n/a	1,500.00	3.0
f MARC PAUL LUCHANSKY	FID	FLPSX	S	36	25.18	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FOR	B	10,000	11.00	29-Jun	29-Jun	non-brg	4.0
f JOHN MICHAEL ZOLIDIS	FID	FRED	B	1000	12.57	n/a	27-Mar	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FSHBX	S	258	8.13	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FSMAX	S	34	61.12	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FTBFX	B	40	9.96	n/a	n/a	0.00	0.0
OZ MGMT	040	F	B	175,000	5.48	n/a	2-Jul	5,250.00	3.0
PIONEER OAKRIDGE	031	GILD	S	210	44.79	n/a	n/a	4.20	2.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f	JOHN MICHAEL ZOLIDIS	FID	GLD	B	100	89.69	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		GLW	S	17,500	14.39	30-Jun	30-Jun	non-brg	4.0
	PIONEER OAKRIDGE	031	GME	S	200	20.47	n/a	n/a	4.00	2.0
	BALYASNY ASSET MGMT	044	GNTX	B	25,000	10.29	10-Jun	10-Jun	1,250.00	5.0
	BNP PARIBAS SEC	040	GNTX	B	25,000	10.32	10-Jun	10-Jun	1,000.00	4.0
	PIONEER OAKRIDGE	031	GOOG	S	30	412.07	n/a	n/a	0.60	2.0
	PIONEER OAKRIDGE	031	HITT	S	170	34.61	n/a	n/a	3.40	2.0
	PIONEER OAKRIDGE	031	HK	S	205	19.56	n/a	n/a	4.10	2.0
	PIONEER OAKRIDGE	031	HPQ	S	215	37.24	n/a	n/a	4.30	2.0
f	MARC PAUL LUCHANSKY	FID	HRINX	B	15	41.27	n/a	n/a	0.00	0.0
	PIONEER OAKRIDGE	031	HSIC	S	160	44.23	n/a	n/a	3.20	2.0
	PIONEER OAKRIDGE	031	IBM	S	120	101.42	n/a	n/a	2.40	2.0
	PIONEER OAKRIDGE	031	ICE	S	70	86.89	n/a	n/a	1.40	2.0
	PIONEER OAKRIDGE	031	IEX	S	255	22.71	n/a	n/a	5.10	2.0
	BUCK CAPITAL MGMT	001	IGT	B	40,000	14.19	n/a	27-Apr	1,600.00	4.0
f	MARC PAUL LUCHANSKY	FID	JANSX	S	78	20.52	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	JCG	B	10,000	24.46	30-Jan	30-Jan	400.00	4.0
PIONEER OAKRIDGE	031	JCI	S	290	20.04	2-Jun	2-Jun	5.80	2.0
NEWCASTLE FUNDS	255	JCP	B	25,000	26.81	13-Apr	6-Jul	1,000.00	4.0
f MARC PAUL LUCHANSKY	FID	JLPSX	B	121	14.10	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	JMCVX	S	32	15.75	n/a	n/a	0.00	0.0
COUGAR TRADING	044	JWN	B	5,000	19.72	20-Feb	6-Jul	250.00	5.0
PIONEER OAKRIDGE	031	KR	S	275	21.59	n/a	n/a	5.50	2.0
CAXTON PART	040	KSS	B	5,000	43.16	10-Jul	6-Jul	175.01	3.5
B BUCK CAPITAL MGMT		LVS	B	50,000	7.01	n/a	8-Jul	non-brg	3.0
B BUCK CAPITAL MGMT		LVS	B	75,000	6.74	n/a	8-Jul	non-brg	1.0
B BUCK CAPITAL MGMT		MDR	B	10,000	17.39	n/a	n/a	non-brg	4.0
f MARC PAUL LUCHANSKY	FID	MFOCX	S	59	11.85	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	MON	S	50	72.55	n/a	26-Jun	1.00	2.0
PIONEER OAKRIDGE	031	MSFT	S	365	22.55	n/a	3-Apr	7.30	2.0
B BUCK CAPITAL MGMT		NILE	C	77,643	38.00	n/a	n/a	non-brg	4.0
f EDWARD W WHEELER	FID	NPO	B	5000	15.98	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		NP	B	30,000	6.78	12-May	12-May	non-brg	2.5
f MARC PAUL LUCHANSKY	FID	OAKMX	S	43	27.68	n/a	n/a	0.00	0.0
BNP PARIBAS SEC	040	OIH	B	10,000	91.62	n/a	n/a	400.00	4.0
PIONEER OAKRIDGE	031	ORLY	S	210	39.74	n/a	n/a	4.20	2.0
f MARC PAUL LUCHANSKY	FID	PAVLX	S	51	15.83	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	PCP	S	75	70.48	n/a	n/a	1.50	2.0
PIONEER OAKRIDGE	031	PEP	S	170	54.63	n/a	n/a	3.40	2.0
⚡ BUCK CAPITAL MGMT		PERY	S	17,000	6.88	n/a	n/a	non-brg	1.5
⚡ BUCK CAPITAL MGMT		PERY	S	42,637	6.92	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		PERY	S	5,792	6.72	n/a	n/a	non-brg	1.0
PIONEER OAKRIDGE	031	PG	S	215	52.41	5-Jun	5-Jun	4.30	2.0
f MARC PAUL LUCHANSKY	FID	PHYAX	S	159	7.53	n/a	n/a	0.00	0.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	40,000	15.43	8-Apr	23-Jun	2,000.00	5.0
⚡ BUCK CAPITAL MGMT		PNRA	B	40,000	49.15	n/a	11-Jun	non-brg	4.0
⚡ BUCK CAPITAL MGMT		PNRA	B	700	48.59	n/a	11-Jun	non-brg	1.0
⚡ BUCK CAPITAL MGMT		PNRA	B	9,300	49.36	n/a	11-Jun	non-brg	1.0
f MARC PAUL LUCHANSKY	FID	POT	S	100	93.71	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	PSS	S	20,000	13.37	n/a	n/a	800.00	4.0
PIONEER OAKRIDGE	031	PWR	S	320	20.21	n/a	n/a	6.40	2.0
f MARC PAUL LUCHANSKY	FID	PZFBX	B	63	11.04	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	QCOM	S	340	43.45	n/a	n/a	6.80	2.0
FIRST NEW YORK NICK	029	Q	B	10,000	3.82	n/a	n/a	500.00	5.0
CASEY CAPITAL	067	RKT	B	10,000	36.75	n/a	n/a	500.00	5.0
PIONEER OAKRIDGE	031	RMD	S	185	39.45	n/a	n/a	3.70	2.0
ß BUCK CAPITAL MGMT		RRGB	SS	25,000	17.89	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		RRGB	SS	45,000	17.90	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		RRGB	SS	5,000	18.07	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		RRGB	SS	5,000	18.09	n/a	n/a	non-brg	2.0
PIONEER OAKRIDGE	031	RTN	S	150	42.09	n/a	n/a	3.00	2.0
f MARC PAUL LUCHANSKY	FID	RYFBX	B	210	7.13	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	SAP	S	200	40.39	n/a	n/a	4.00	2.0
ß BUCK CAPITAL MGMT		SBUX	SS	30,000	13.69	20-Apr	30-Apr	non-brg	4.0
MILLENIUUM PARTNERS	028	SBUX	SS	71,750	13.76	20-Apr	30-Apr	2,870.00	4.0
PIONEER OAKRIDGE	031	SCHW	S	455	16.57	n/a	n/a	9.10	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⚡ BUCK CAPITAL MGMT		SGMS	C	20,000	13.71	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		SKS	S	228,963	4.29	n/a	n/a	non-brg	3.0
⚡ BUCK CAPITAL MGMT		SKS	S	320,000	4.49	n/a	n/a	non-brg	3.0
⚡ BUCK CAPITAL MGMT		SKS	S	71,037	4.58	n/a	n/a	non-brg	1.0
Ⓜ MARC PAUL LUCHANSKY	FID	SLASX	S	17	28.98	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	SLB	S	190	50.75	n/a	n/a	3.80	2.0
NEWCASTLE FUNDS	255	SMG	S	100,000	35.20	10-Jun	9-Jul	4,000.00	4.0
PIONEER OAKRIDGE	031	SPLS	S	470	19.38	n/a	27-Jul	9.40	2.0
Ⓜ MARC PAUL LUCHANSKY	FID	SPRXX	B	1900	1.00	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	SRCL	S	150	48.79	n/a	n/a	3.00	2.0
PIONEER OAKRIDGE	031	SWN	S	445	37.28	27-Feb	1-Jul	8.90	2.0
⚡ BUCK CAPITAL MGMT		TGT	C	100,000	39.07	10-Jul	6-Jul	non-brg	4.0
⚡ BUCK CAPITAL MGMT		TGT	C	217,937	38.88	10-Jul	6-Jul	non-brg	4.0
PIONEER OAKRIDGE	031	TGT	S	140	38.61	10-Jul	6-Jul	2.80	2.0
⚡ BUCK CAPITAL MGMT		TIN	B	50,000	11.68	9-Jul	9-Jul	non-brg	4.0
COLONIAL FUND LLC	036	TIN	S	10,000	11.94	9-Jul	9-Jul	300.00	3.0
CSFB GLOBAL PROPRIETARY	041	TIN	B	50,000	11.85	9-Jul	9-Jul	2,500.00	5.0
FIRST NY SEC/CHRIS	041	TIN	B	12,900	12.27	9-Jul	9-Jul	774.00	6.0
JETSTREAM GLOBAL FUND LP	065	TIN	B	75,200	11.76	9-Jul	9-Jul	3,760.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OZ MGMT	040	TIN	S	83,000	11.87	9-Jul	9-Jul	2,490.00	3.0
SCHOTTENFELD ASSOC	041	TIN	S	45,000	11.94	9-Jul	9-Jul	1,350.00	3.0
TRELLUS PARTNERS LP	028	TIN	B	30,000	11.66	9-Jul	9-Jul	1,500.00	5.0
PIONEER OAKRIDGE	031	TMO	S	250	37.95	n/a	n/a	5.00	2.0
CAXTON PART	040	TROW	C	39,200	37.89	n/a	9-Jul	1,960.00	5.0
PIONEER OAKRIDGE	031	TXN	S	280	20.55	n/a	n/a	5.60	2.0
f JONATHAN RICHARD HAR	FID	TZA	S	210	25.93	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	V	S	90	60.16	n/a	8-Jul	1.80	2.0
PIONEER OAKRIDGE	031	WCN	S	390	24.61	n/a	n/a	7.80	2.0
TROUBH PART	067	WEN	S	100,000	4.00	n/a	23-Jun	5,000.00	5.0
B BUCK CAPITAL MGMT		WFMI	C	100,000	19.00	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	WWW	SS	50,000	21.32	n/a	13-Mar	2,000.00	4.0
B BUCK CAPITAL MGMT		WYNN	C	30,000	32.64	8-Jul	8-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		XRT	SS	70,000	26.62	n/a	n/a	non-brg	2.0
PIONEER OAKRIDGE	031	XTO	S	245	35.08	n/a	n/a	4.90	2.0
TOTAL (Trade Date):								88,467.36	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	07/08	LAGRANGE CAP ADV	048	AXL	B	40,000	1.91	n/a	9-Jul	2000.00 5.0
AO,CXL	07/08	LAGRANGE CAP ADV	048	AXL	B	40,000	1.91	n/a	9-Jul	2000.00 5.0
AO,	07/08	BALYASNY ASSET MGMT	044	LM	C	25,000	22.41	25-Jun	9-Jul	1250.00 5.0
AO,CRT	07/08	FIRST NEW YORK LEDDY	035	Q	B	10,000	3.68	n/a	n/a	500.00 5.0
AO,CXL	07/08	FIRST NEW YORK NICK	029	Q	B	10,000	3.68	n/a	n/a	500.00 5.0
AO,	07/08	RAINIER INV MGMT	035	SMG	B	76,390	34.26	10-Jun	9-Jul	3819.50 5.0
AO,CXL	07/08	MILLENIU PARTNERS	028	XLE	B	25,000	44.29	n/a	n/a	1000.00 4.0
AO,CRT	07/08	MILLENIU PARTNERS	028	XLE	B	25,000	44.29	n/a	n/a	1000.00 4.0

TOTAL (AO, CXL, CRT) :**5,069.50**

TOTAL (Trade Date):

88,467.36

TOTAL (AO, CXL, CRT):

5,069.50

TOTAL (RUN DATE) / NFS:**93,536.86**

MRI Securities with Trade Activity on 9-Jul.

TIN

MRI Securities without Trade Activity on 9-Jul.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 7%
YTD = 20%

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)