



Daily Compliance Activity Report

Trade Date: 09/22/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f JOHN CAREY MAGUIRE	FID	ADM	B	300	28.91	18-Sep	22-Sep	0.00	0.0
M&I FUNDS	047	AMG	B	19,054	67.65	3-Aug	18-Sep	762.16	4.0
BUCK CAPITAL MGMT	001	ANF	B	20,000	33.69	3-Jun	21-Sep	800.00	4.0
CIRCLE T/SES PART	035	AN	S	5,000	18.38	3-Aug	5-Aug	200.00	4.0
TRELLUS PARTNERS LP	028	AN	B	20,000	18.38	3-Aug	5-Aug	1,000.00	5.0
f KAREN F LEDDY	FID	ARGN	S	3800	8.05	n/a	6-Aug	0.00	0.0
KLEINHEINZ CAP PART	031	AUY	B	150,000	11.16	n/a	n/a	7,500.00	5.0
DSG CAPITAL	225	AXL	S	10,000	7.75	18-Sep	18-Sep	500.00	5.0
STELLIAM INV ADV	034	BAC	B	25,000	17.63	11-May	21-Sep	1,250.00	5.0
f IAN L MILLER	FID	BEE	S	500	2.37	n/a	n/a	0.00	0.0
UBS OCONNOR	031	BEN	SS	125,000	102.43	4-Sep	18-Sep	3,750.00	3.0
SANDLER O'NEILL ASSET	031	BK	S	25,300	29.78	11-May	21-Sep	1,265.00	5.0
B BUCK CAPITAL MGMT		BONT	B	400	8.80	n/a	6-Feb	non-brg	1.0
B BUCK CAPITAL MGMT		BONT	B	5,800	8.85	n/a	6-Feb	non-brg	0.8
MILLENIUM PARTNERS	028	BYD	SS	30,000	12.19	n/a	7-Aug	1,200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRUSTCO/SUNTRUST	040	CKR	S	32,800	10.89	n/a	n/a	1,279.21	3.9
MACKLOWE ASSET MGMT	041	CLX	B	65,000	60.00	13-Aug	22-Sep	2,600.00	4.0
EXIS CAPITAL	044	COH	SS	5,000	32.84	n/a	29-Jul	250.00	5.0
PARTNER REINSURANCE	033	C	B	50,000	4.65	17-Sep	21-Sep	1,500.00	3.0
SCHOTTENFELD ASSOC	041	C	S	50,000	4.65	17-Sep	21-Sep	1,500.00	3.0
f JONATHAN RICHARD HAR	FID	DAN	S	300	6.97	n/a	n/a	0.00	0.0
f STEFFANIE CARMELA CA	FID	DAN	S	130	6.90	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		DBRN	B	20,000	18.00	n/a	n/a	non-brg	4.0
EXIS CAPITAL	044	DECK	B	2,500	82.03	n/a	n/a	125.00	5.0
EXIS CAPITAL	044	DECK	SS	6,000	80.51	n/a	n/a	300.00	5.0
ASCEND PARTNERS	033	FL	B	50,000	11.64	21-Sep	21-Sep	2,500.00	5.0
B BUCK CAPITAL MGMT		FL	B	10,000	11.42	21-Sep	21-Sep	non-brg	2.5
B BUCK CAPITAL MGMT		FL	B	20,000	11.42	21-Sep	21-Sep	non-brg	4.0
MILLRACE FUND LP	028	FL	B	10,000	11.33	21-Sep	21-Sep	400.00	4.0
PILOT ADV	038	FL	B	200,000	11.56	21-Sep	21-Sep	8,000.00	4.0
f MANNY I KORMAN	FID	FSIXX	S	299000	1.00	n/a	n/a	0.00	0.0
ARCHON CAPITAL	035	FST	B	40,000	19.22	n/a	n/a	1,200.00	3.0
COBALT	041	F	SS	200,000	7.05	27-Aug	2-Sep	6,000.00	3.0
f JOHN CAREY MAGUIRE	FID	F	B	1000	7.06	27-Aug	2-Sep	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MILLENIUM PARTNERS	028	F	B	50,000	6.99	27-Aug	2-Sep	2,000.00	4.0
f JOHN GRASSANO	FID	GHQ	B	150	9.96	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		GIL	B	20,000	19.55	21-Sep	21-Sep	non-brg	0.8
ROYCE TRADING	216	GIL	B	47,200	19.50	21-Sep	21-Sep	2,360.00	5.0
EXIS CAPITAL	044	GPS	B	5,000	22.57	n/a	30-Jan	250.00	5.0
TRELLUS PARTNERS LP	028	IP	C	15,000	23.00	16-Sep	16-Sep	750.00	5.0
CASTLEROCK	040	ISRG	B	13,043	246.96	n/a	n/a	521.72	4.0
MERRILL ASSET/BLACKROCK	214	JACK	B	4,000	21.00	n/a	n/a	180.00	4.5
f KAREN F LEDDY	FID	JADE	B	3000	2.33	n/a	n/a	0.00	0.0
f FRANCIS MICHAEL MCCA	FID	JBHT	B	300	32.72	n/a	n/a	0.00	0.0
EXIS CAPITAL	044	JCG	S	2,500	37.17	n/a	30-Jan	125.00	5.0
EXIS CAPITAL	044	JWN	B	5,000	32.29	n/a	21-Sep	250.00	5.0
B BUCK CAPITAL MGMT		KCP	S	19,700	11.32	n/a	28-Sep	non-brg	1.0
f ALEX JOSEPH DEFILIPP	FID	KEY	B	250	6.81	n/a	n/a	0.00	0.0
EXIS CAPITAL	044	KEY	S	25,000	6.59	n/a	n/a	1,250.00	5.0
f MARC PAUL LUCHANSKY	FID	KEY	B	1000	6.71	n/a	n/a	0.00	0.0
f VICTORIA JEAN DEFILI	FID	KEY	B	250	6.81	n/a	n/a	0.00	0.0
M&I FUNDS	047	LAZ	B	5,741	38.53	n/a	15-Sep	229.64	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DIAMONDBACK CAP MGMT	232	LOW	S	25,000	21.65	2-Sep	2-Sep	1,250.00	5.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	10,970	7.31	23-Sep	5-Aug	548.50	5.0
DAVIDSON KEMPNER ADVISOR	040	LPX	S	30,000	7.59	23-Sep	5-Aug	1,500.00	5.0
FIRST NEW YORK LEDDY	035	LVLTT	B	20,000	1.45	n/a	4-Jan	1,200.00	6.0
BUCK CAPITAL MGMT	001	MAR	B	40,000	27.57	n/a	n/a	1,600.00	4.0
SACL	044	MAR	SS	55,000	27.56	n/a	n/a	2,200.00	4.0
EXIS CAPITAL	044	MCD	SS	5,000	55.95	n/a	9-Sep	250.00	5.0
CAERUS GLOBAL	041	MPEL	S	12,000	7.75	21-Sep	21-Sep	480.00	4.0
CIRCLE T/SES PART	035	MPEL	S	40,000	7.83	21-Sep	21-Sep	1,600.00	4.0
f IAN L MILLER	FID	MSFT	S	100	25.72	n/a	3-Apr	0.00	0.0
BASIX	033	MTW	B	75,000	10.33	11-Sep	11-Sep	2,250.00	3.0
f STRATTON PAR TNERSHI	FID	MXM	B	188	10.00	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	M	B	60,000	18.84	21-Sep	21-Sep	2,400.00	4.0
EGS ASSOCIATES LP	091	M	B	4,500	18.87	21-Sep	21-Sep	270.00	6.0
EXIS CAPITAL	044	M	S	5,000	18.62	21-Sep	21-Sep	250.00	5.0
WEISS PECK	040	M	C	15,300	18.87	21-Sep	21-Sep	765.00	5.0
B BUCK CAPITAL MGMT		NKE	C	10,000	59.24	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		NKE	C	60,000	58.89	n/a	n/a	non-brg	4.0
REICH AND TANG	067	OMG	S	9,000	30.80	n/a	n/a	450.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		PETM	B	70,000	21.61	n/a	n/a	non-brg	4.0
SOUTH POINT CAP	067	PETM	S	150,000	21.67	n/a	n/a	7,500.00	5.0
EXIS CAPITAL	044	PLCE	B	5,000	29.69	n/a	4-Sep	250.00	5.0
B BUCK CAPITAL MGMT		PNRA	B	20,000	56.14	30-Jul	30-Jul	non-brg	4.0
SYSTEMATIC FINANCIAL MGT	035	PVH	B	39,800	43.09	21-Sep	21-Sep	1,393.07	3.5
WILLOW CREEK	033	QCOR	B	10,000	5.45	n/a	n/a	300.00	3.0
FIRST NEW YORK NICK	029	Q	B	50,000	3.53	n/a	n/a	2,500.00	5.0
f JONATHAN RICHARD HAR	FID	RAD	S	6000	2.01	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	RF	B	1500	6.75	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	RL	C	30,000	78.05	21-Sep	21-Sep	1,500.00	5.0
JMP ASSET MGMT	210	RRR	B	9,800	7.98	17-Sep	17-Sep	392.00	4.0
B BUCK CAPITAL MGMT		SLM	B	50,000	8.69	12-Aug	16-Sep	non-brg	0.8
B BUCK CAPITAL MGMT		SUP	B	8,400	13.96	10-Aug	10-Aug	non-brg	0.8
f MARC PAUL LUCHANSKY	FID	TBT	S	600	46.81	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	214	TEX	B	20,000	19.56	n/a	24-Jul	900.00	4.5
B BUCK CAPITAL MGMT		TGT	B	20,000	48.60	3-Sep	22-Sep	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	TGT	S	15,000	48.40	3-Sep	22-Sep	750.00	5.0
EXIS CAPITAL	044	TJX	SS	5,000	38.36	21-Sep	21-Sep	250.00	5.0
BUCK CAPITAL MGMT	001	TWB	B	20,000	8.48	n/a	30-Jan	600.00	3.0
SAXON WOODS ADVISORS	038	UPS	B	29,800	58.59	n/a	n/a	1,192.00	4.0
f MANNY I KORMAN	FID	WBC	B	5000	21.62	5-Aug	5-Aug	0.00	0.0
f MARC PAUL LUCHANSKY	FID	WBC	B	500	21.47	5-Aug	5-Aug	0.00	0.0
JP MORGAN VENTURES	046	WMT	S	40,000	51.09	11-May	13-Aug	2,000.00	5.0
MATLIN PATTERSON	046	WNR	B	100,000	7.81	n/a	n/a	3,000.00	3.0
SCOPUS FUND	041	WY	B	32,500	39.04	n/a	3-Aug	1,625.00	5.0
TOTAL (Trade Date):								92,963.30	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/21	EXIS CAPITAL	044	CDE	S	10,000	19.51	n/a	n/a	500.00 5.0
AO,	09/21	PERMIAN/BAYPIONT	028	CDE	S	23,000	19.51	n/a	n/a	920.00 4.0
AO,CRT	09/21	EXIS CAPITAL	044	DECK	SS	15,000	79.69	n/a	n/a	750.00 5.0
AO,CXL	09/21	EXIS CAPITAL	044	DECK	SS	15,000	79.69	n/a	n/a	525.00 3.5
AO,CRT	09/21	EXIS CAPITAL	044	KSS	SS	2,500	54.76	21-Sep	21-Sep	125.00 5.0
AO,CXL	09/21	EXIS CAPITAL	044	KSS	SS	2,500	54.76	21-Sep	21-Sep	0.75 0.0
AO,CRT	09/21	SCHOTTENFELD ASSOC	041	M	S	10,000	18.07	21-Sep	21-Sep	300.00 3.0
AO,CXL	09/21	SCHOTTENFELD ASSOC	041	M	S	10,000	18.07	21-Sep	21-Sep	300.00 3.0
AO,CXL	09/21	FIRST NEW YORK NICK	029	Q	B	20,000	3.47	n/a	n/a	1000.00 5.0
AO,CRT	09/21	FIRST NEW YORK NICK	029	Q	B	20,000	3.47	n/a	n/a	1000.00 5.0
AO,CXL	09/21	HARVEST MGMT	039	RRR	B	10,800	8.00	17-Sep	17-Sep	432.00 4.0
AO,CRT	09/21	JMP ASSET MGMT	210	RRR	B	10,800	8.00	17-Sep	17-Sep	432.00 4.0
AO,CRT	09/21	SACL	044	RX	B	50,000	15.51	n/a	n/a	2000.00 4.0
AO,CXL	09/21	SAC TRADIN/BINDER	044	RX	B	50,000	15.51	n/a	n/a	2000.00 4.0
AO,CRT	09/21	SACL	044	SNDK	S	50,000	23.01	n/a	n/a	2000.00 4.0
AO,CXL	09/21	SAC TRADIN/BINDER	044	SNDK	S	50,000	23.01	n/a	n/a	2000.00 4.0
AO,CRT	09/21	WEINTRAUB CAPITAL MGT.	040	WEN	S	100,000	5.15	n/a	6-Aug	3000.00 3.0
AO,CXL	09/21	WEINTRAUB CAPITAL MGT.	040	WEN	S	100,000	5.15	n/a	6-Aug	4000.00 4.0
TOTAL (AO, CXL, CRT) :										-230.75

TOTAL (Trade Date):	92,963.30
TOTAL (AO, CXL, CRT):	-230.75

TOTAL (RUN DATE) / NFS:	92,732.55
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MRI Securities with Trade Activity on 22-Sep. NONE

MRI Securities without Trade Activity on 22-Sep. GS, PX, SMG, WYNN

BRG comm. as a % of BCM Total Comm. paid. T-Date = 36% YTD = 21%
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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)