



Daily Compliance Activity Report

Trade Date: 11/03/2009

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	AAP	SS	10,000	38.56	n/a	n/a	400.00	4.0
GREEN ARROW DOUG	040	AEO	B	35,000	17.82	n/a	2-Nov	1,750.00	5.0
f MANNY I KORMAN	FID	ALL	S	10000	29.38	n/a	n/a	0.00	0.0
HIGHBRIDGE CAP	041	ALV	B	25,000	33.81	n/a	21-Oct	1,000.00	4.0
ROYCE TRADING	216	ALY	B	10,000	3.31	n/a	n/a	300.00	3.0
BUCK CAPITAL MGMT	001	ANF	B	50,000	32.90	n/a	2-Nov	2,000.00	4.0
EXIS CAPITAL	044	ANR	B	5,000	36.45	n/a	n/a	250.00	5.0
B BUCK CAPITAL MGMT		APP	S	20,000	2.67	n/a	n/a	non-brg	3.0
DIAMONDBACK CAP MGMT	232	ARO	B	10,000	38.15	n/a	2-Nov	500.00	5.0
STRONG/MARK GRONET	030	ART	B	10,770	23.79	n/a	3-Nov	430.80	4.0
NEW JERSEY DIV OF INV.	030	ASEI	B	15,000	68.24	n/a	n/a	450.00	3.0
B BUCK CAPITAL MGMT		AXL	B	100,000	6.17	n/a	2-Nov	non-brg	3.0
COOPER CREEK PART	028	AXL	B	20,000	6.22	n/a	2-Nov	600.00	3.0
f MANNY I KORMAN	FID	AXP	S	5000	34.94	n/a	2-Nov	0.00	0.0
f ROBERT M DANIELS	FID	BAC	B	50	14.80	n/a	26-Oct	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ST OF MICHIAN	047	BBT	S	99,000	24.93	n/a	n/a	2,970.00	3.0
ROYCE TRADING	216	BKD	S	5,000	17.41	n/a	n/a	250.00	5.0
f JOEL GIFFORD TISS	FID	BNI	S	500	97.62	n/a	n/a	0.00	0.0
f JOEL GIFFORD TISS	FID	BRKB	B	30	3302.99	n/a	n/a	0.00	0.0
NEW JERSEY DIV OF INV.	030	BSQR	B	19,400	2.48	n/a	n/a	582.00	3.0
ROYCE TRADING	216	BWS	S	2,500	10.44	n/a	n/a	125.00	5.0
ROYCE TRADING	216	B	S	10,000	16.34	n/a	n/a	500.00	5.0
NEW JERSEY DIV OF INV.	030	CKEC	B	100,000	6.65	n/a	n/a	3,000.00	3.0
ROYCE TRADING	216	CMC	S	13,000	13.45	n/a	n/a	650.00	5.0
CAPITAL GROWTH MGMT.	241	CMI	B	69,500	44.92	n/a	3-Nov	3,475.00	5.0
ROYCE TRADING	216	CR	S	3,000	27.67	n/a	n/a	150.00	5.0
NEUBERGER BERMAN	036	CVC	S	88,300	23.90	n/a	n/a	3,973.50	4.5
B BUCK CAPITAL MGMT		DBD	B	10,000	28.34	n/a	3-Nov	non-brg	0.8
B BUCK CAPITAL MGMT		DBRN	B	30,000	18.36	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DECK	S	20,000	90.21	n/a	n/a	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B	BUCK CAPITAL MGMT		DECK	S	5,000	91.14	n/a	n/a	non-brg	4.0
f	JOHN MICHAEL ZOLIDIS	FID	DECK	S	150	90.00	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		DLTR	B	70,000	46.95	n/a	3-Nov	non-brg	2.5
	LEVIN CAPITAL STRATEGIES	012	DLTR	B	15,000	47.01	n/a	3-Nov	450.00	3.0
	ISLE RIDGE PARTNERS	041	DRI	B	20,000	30.81	n/a	2-Oct	800.00	4.0
f	MARC PAUL LUCHANSKY	FID	DVN	B	500	66.42	n/a	2-Nov	0.00	0.0
	DIAMONDBACK CAP MGMT	232	EAT	B	25,000	12.91	n/a	n/a	1,250.00	5.0
	ISLE RIDGE PARTNERS	041	EAT	B	30,000	12.95	n/a	n/a	1,200.00	4.0
	APEX CAPITAL MGMT.	091	EBAY	B	23,800	22.27	n/a	n/a	952.00	4.0
	RBC CAPITAL MARKETS	040	ETN	B	5,000	63.47	n/a	20-Oct	200.00	4.0
	PHILADELPHIA FINANCIAL	033	EV	SS	15,000	27.80	n/a	3-Nov	600.00	4.0
	CUMBERLAND	239	EXH	B	16,000	20.85	n/a	2-Nov	640.00	4.0
f	MARC PAUL LUCHANSKY	FID	FDIVX	S	19	26.89	n/a	n/a	0.00	0.0
f	MARC PAUL LUCHANSKY	FID	FEMKX	B	48	20.77	n/a	n/a	0.00	0.0
	BULL PATH CAPITAL	044	FIG	B	30,000	4.24	n/a	n/a	1,150.00	3.8
f	MARC PAUL LUCHANSKY	FID	FILEX	B	215	7.91	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		FINL	S	20,000	10.06	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BASIX	033	FL	B	12,000	10.20	n/a	n/a	360.00	3.0
BUCK CAPITAL MGMT	001	FL	B	20,000	10.07	n/a	n/a	600.00	3.0
SCHOTTENFELD ASSOC	041	FOR	B	5,900	14.74	n/a	12-Oct	177.00	3.0
S.A.C. HEALTHCARE BOBBY	044	FRX	B	15,000	27.96	n/a	3-Nov	600.00	4.0
f MARC PAUL LUCHANSKY	FID	FTBFX	S	67	10.49	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	F	B	1000	7.54	3-Nov	3-Nov	0.00	0.0
BUCK CAPITAL MGMT	001	GAP	SS	10,000	11.17	n/a	n/a	400.00	4.0
SYSTEMATIC FINANCIAL MGT	035	GES	B	30,000	36.85	n/a	n/a	1,050.00	3.5
f JOHN BARTMAN COLE	FID	GGC	S	450	14.88	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	GLW	S	20000	14.36	n/a	26-Oct	0.00	0.0
ß BUCK CAPITAL MGMT		GYMB	B	10,000	42.70	n/a	2-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		HOG	SS	30,000	24.12	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		HOTT	SS	30,000	7.50	n/a	n/a	non-brg	3.0
f MARC PAUL LUCHANSKY	FID	HRINX	S	13	51.96	n/a	n/a	0.00	0.0
CASTLE ARK	031	ICE	B	61,140	101.18	n/a	n/a	3,668.40	6.0
SENATOR INVESTMENT GROUP	036	IWM	SS	30,000	56.30	n/a	n/a	1,200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	JCP	S	10,000	32.54	n/a	2-Nov	400.00	4.0
NEW JERSEY DIV OF INV.	030	JJSF	B	5,500	39.52	n/a	n/a	165.00	3.0
B BUCK CAPITAL MGMT		JWN	B	20,000	32.35	n/a	2-Nov	non-brg	4.0
BUCK CAPITAL MGMT	001	KSS	S	80,000	57.11	n/a	2-Nov	3,200.00	4.0
SASCO	239	LTD	S	2,000	17.74	n/a	n/a	80.00	4.0
FIRST NEW YORK LEDDY	035	LVLIT	B	10,000	1.22	n/a	n/a	600.00	6.0
f MANNY I KORMAN	FID	MET	S	2000	33.05	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		MFB	B	1,100	14.40	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		MFB	B	10,000	14.38	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		MFB	B	100	14.13	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		MFB	B	200	14.17	n/a	n/a	non-brg	1.5
B BUCK CAPITAL MGMT		MFB	B	7,100	14.00	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		MGM	SS	10,000	9.61	n/a	n/a	non-brg	3.0
f MARC PAUL LUCHANSKY	FID	MIQBX	S	39	12.66	n/a	n/a	0.00	0.0
COLUMBIA PARTNERS	028	MLM	C	5,725	80.09	n/a	n/a	229.00	4.0
RBC CAPITAL MARKETS	040	MOS	B	5,000	48.36	n/a	n/a	200.00	4.0
NEW JERSEY DIV OF INV.	030	MSFT	S	100,000	27.56	n/a	n/a	3,000.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLUMBIA PARTNERS	028	MTD	SS	17,535	96.77	n/a	n/a	701.40	4.0
f JOEL GIFFORD TISS	FID	MTU	S	5425	5.38	n/a	n/a	0.00	0.0
MACKLOWE ASSET MGMT	041	M	B	50,000	17.59	n/a	2-Nov	2,000.00	4.0
ENTRUST CAPITAL	040	NFLX	SS	40,800	53.00	n/a	n/a	2,040.00	5.0
ST OF MICHIAN	047	NOV	S	135,000	41.55	n/a	n/a	4,050.00	3.0
SASCO	239	OKE	S	7,400	36.35	n/a	n/a	296.00	4.0
HIGHBRIDGE CAP	041	PCLN	B	4,000	164.50	n/a	n/a	160.00	4.0
WEISS PECK	040	PFCB	C	6,930	30.58	n/a	22-Oct	346.50	5.0
B BUCK CAPITAL MGMT		PIR	B	40,000	3.31	n/a	n/a	non-brg	3.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	128,000	18.75	n/a	22-Oct	6,400.00	5.0
ISLE RIDGE PARTNERS	041	PNK	SS	15,000	8.65	n/a	n/a	600.00	4.0
DIAMONDBACK CAP MGMT	232	PNRA	SS	10,000	60.85	n/a	29-Oct	500.00	5.0
EXIS CAPITAL	044	POT	B	5,000	93.74	n/a	n/a	250.00	5.0
RBC CAPITAL MARKETS	040	POT	B	5,000	92.58	n/a	n/a	200.00	4.0
ROYCE TRADING	216	PSS	S	5,000	18.71	n/a	n/a	250.00	5.0
f MARC PAUL LUCHANSKY	FID	PTRAX	S	64	10.91	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
⚡ BUCK CAPITAL MGMT		QKLS	B	8,246	6.40	n/a	n/a	non-brg 2.5
⚡ BUCK CAPITAL MGMT		RCL	B	15,000	19.72	n/a	n/a	non-brg 0.8
⚡ BUCK CAPITAL MGMT		RCL	B	5,000	19.79	n/a	n/a	non-brg 4.0
NEW JERSEY DIV OF INV.	030	RGC	S	10,000	12.65	n/a	n/a	300.00 3.0
BUCK CAPITAL MGMT	001	RL	S	40,000	79.06	n/a	2-Nov	1,600.00 4.0
NEW JERSEY DIV OF INV.	030	ROVI	B	50,000	27.67	n/a	n/a	1,500.00 3.0
⚡ BUCK CAPITAL MGMT		RRGB	SS	10,000	17.06	n/a	n/a	non-brg 2.5
⚡ BUCK CAPITAL MGMT		RRR	B	20,200	6.70	n/a	30-Oct	non-brg 0.8
⚡ BUCK CAPITAL MGMT		RRR	B	60,000	6.75	n/a	30-Oct	non-brg 2.5
RBC CAPITAL MARKETS	040	RSG	S	25,000	25.90	n/a	n/a	1,000.00 4.0
NEW JERSEY DIV OF INV.	030	SHAW	B	20,000	25.05	n/a	n/a	600.00 3.0
⚡ BUCK CAPITAL MGMT		SKX	S	30,000	22.60	n/a	n/a	non-brg 4.0
f MARC PAUL LUCHANSKY	FID	SPRXX	B	900	1.00	n/a	n/a	0.00 0.0
FORD FDN.	032	S	B	85,000	2.89	n/a	n/a	2,550.00 3.0
⚡ BUCK CAPITAL MGMT		TGT	S	10,000	48.99	n/a	3-Nov	non-brg 4.0
JP MORGAN VENTURES	046	TIF	B	15,000	40.37	n/a	n/a	750.00 5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SASCO	239	TNB	S	1,200	34.49	n/a	n/a	48.00	4.0
f JOHN MICHAEL ZOLIDIS	FID	TOL	S	600	17.60	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	040	TOL	B	10,000	17.42	n/a	n/a	400.00	4.0
DENVER INST. ADV	046	TROW	B	89,920	48.50	n/a	3-Nov	3,596.80	4.0
B BUCK CAPITAL MGMT		TSRA	C	10,000	20.56	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		TWB	B	20,000	8.50	n/a	n/a	non-brg	3.0
ROTHSCHILD ASSET	040	UBA	B	10,420	14.73	n/a	n/a	468.90	4.5
COOKBIELER	028	UMPQ	B	100,000	9.72	n/a	n/a	4,000.00	4.0
f IAN L MILLER	FID	UUP	B	75	22.73	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		VIA/B	C	47,149	28.84	n/a	n/a	non-brg	4.0
f MANNY I KORMAN	FID	WBC	S	5000	23.70	n/a	29-Oct	0.00	0.0
f MARC PAUL LUCHANSKY	FID	WBIGX	S	28	17.56	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		WFMI	SS	10,000	31.68	n/a	n/a	non-brg	4.0
f JOHN BARTMAN COLE	FID	WFR	B	500	12.43	n/a	n/a	0.00	0.0
f JOHN BARTMAN COLE	FID	WFR	S	300	12.58	n/a	n/a	0.00	0.0
HUNTER GLOBAL INVESTOR	067	WHR	SS	25,000	71.85	n/a	n/a	750.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BRANDWINE	028	WMT	B	24,410	49.80	n/a	3-Nov	976.40	4.0
B BUCK CAPITAL MGMT		WSM	SS	40,000	18.99	n/a	n/a	non-brg	4.0
EXIS CAPITAL	044	XLE	B	5,000	56.32	n/a	n/a	250.00	5.0
EXIS CAPITAL	044	X	B	20,000	35.37	n/a	n/a	1,000.00	5.0
f JOEL GIFFORD TISS	FID	ZMH	S	1000	52.45	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								84,111.70	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/02	NEW JERSEY DIV OF INV.	030	BSQR	B	600	2.40	n/a	n/a	18.00 3.0
AO,CXL	11/02	RAINIER INV MGMT	035	ITC	B	400	44.65	n/a	n/a	20.00 5.0
AO,CRT	11/02	RAINIER INV MGMT	035	ITC	B	400	44.65	n/a	n/a	20.00 5.0
AO,	11/02	NEW JERSEY DIV OF INV.	030	JJSF	B	4,500	39.28	n/a	n/a	135.00 3.0
AO,	11/02	NEW JERSEY DIV OF INV.	030	ROVI	B	14,000	27.72	n/a	n/a	420.00 3.0
AO,CRT	10/30	STANDARD PACIFIC CAPITAL	040	SON	B	10,407	26.50	n/a	n/a	520.35 5.0
AO,CXL	10/30	STANDARD PACIFIC CAPITAL	040	SON	B	10,407	26.50	n/a	n/a	520.35 5.0

TOTAL (AO, CXL, CRT) :**573.00**

TOTAL (Trade Date) :

84,111.70

TOTAL (AO, CXL, CRT) :

573.00

TOTAL (RUN DATE) / NFS:**84,684.70****MRI Securities with Trade Activity on 3-Nov.****F**

MRI Securities without Trade Activity on 3-Nov.

PRGO, ADM

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

T-Date = 27%

YTD = 19%

<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
Watch List Trades
f: Employee Trades (Fidelity)