



# Daily Compliance Activity Report

Trade Date: 08/17/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f</b> JONATHAN RICHARD HAR	<b>FID</b>	<b>ALRC</b>	<b>S</b>	<b>1410</b>	<b>2.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	ANF	SS	10,000	32.31	3-Jun	14-Aug	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ARO</b>	<b>B</b>	<b>37,500</b>	<b>34.54</b>	<b>n/a</b>	<b>7-Aug</b>	<b>1,500.00</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>ARO</b>	<b>B</b>	<b>10,000</b>	<b>34.79</b>	<b>n/a</b>	<b>7-Aug</b>	<b>non-brg</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AVP</b>	<b>B</b>	<b>29,848</b>	<b>31.36</b>	<b>3-Aug</b>	<b>3-Aug</b>	<b>1,193.92</b>	<b>4.0</b>
LAGRANGE CAP ADV	048	AXL	B	2,400	2.60	n/a	12-Aug	72.00	3.0
TROUBH PART	067	AXL	B	25,000	2.66	n/a	12-Aug	1,250.00	5.0
CAXTON PART	040	AZO	S	6,316	142.95	n/a	n/a	221.06	3.5
MATRIX ASSET ADV.	036	BAC	S	1,000	16.70	11-May	17-Aug	30.00	3.0
ROTHSCHILD ASSET	040	BGC	B	20,220	33.59	n/a	n/a	909.90	4.5
SANDLER O'NEILL ASSET	031	BLK	SS	900	192.20	4-Aug	13-Aug	45.00	5.0
<b>B</b> BUCK CAPITAL MGMT		<b>CAKE</b>	<b>SS</b>	<b>20,000</b>	<b>17.81</b>	<b>24-Jul</b>	<b>24-Jul</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>CHRS</b>	<b>S</b>	<b>20,000</b>	<b>5.41</b>	<b>n/a</b>	<b>22-Mar</b>	<b>non-brg</b>	<b>3.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>CMG</b>	<b>C</b>	<b>5,000</b>	<b>84.69</b>	<b>23-Jul</b>	<b>23-Jul</b>	<b>non-brg</b>	<b>1.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>COST</b>	<b>SS</b>	<b>20,000</b>	<b>48.11</b>	<b>n/a</b>	<b>27-Jul</b>	<b>non-brg</b>	<b>1.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	CRM	B	30,000	45.25	n/a	n/a	1,200.00	4.0
f NICOLAS EVAN PAKLER	FID	CVGI	B	400	4.31	n/a	n/a	0.00	0.0
f WILLIAM RAYMOND KATZ	FID	CVGI	B	1000	4.36	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	DDS	SS	10,000	10.25	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		DDS	SS	20,000	9.96	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		DECK	S	5,000	67.32	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		DKS	SS	20,000	19.50	17-Aug	17-Aug	non-brg	1.0
COLUMBIA PARTNERS	028	DKS	S	30,000	19.50	17-Aug	17-Aug	1,200.00	4.0
HIGHFIELDS CAP MGMT	039	FITB	S	250,000	9.84	n/a	n/a	10,000.00	4.0
B BUCK CAPITAL MGMT		FOR	B	20,000	12.87	6-Aug	6-Aug	non-brg	2.5
B BUCK CAPITAL MGMT		FOSL	S	20,000	24.65	n/a	30-Jan	non-brg	4.0
f DOUGLAS ROGERS	FID	FSLXX	B	11198	1.00	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	F	B	135,000	7.45	3-Aug	10-Aug	4,050.00	3.0
TRELLUS PARTNERS LP	028	F	B	50,000	7.39	3-Aug	10-Aug	1,500.00	3.0
BUCK CAPITAL MGMT	001	GCO	S	20,000	21.77	n/a	10-Jan	800.00	4.0
BUCK CAPITAL MGMT	001	GES	S	20,000	27.40	n/a	n/a	800.00	4.0
B BUCK CAPITAL MGMT		GIL	S	20,000	18.90	14-Aug	14-Aug	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOGGIN CAP	039	GLW	B	90,000	15.22	27-Jul	27-Jul	2,700.00	3.0
BUCK CAPITAL MGMT	001	GPS	B	20,000	18.29	n/a	30-Jan	800.00	4.0
⌘ BUCK CAPITAL MGMT		GYMB	S	20,000	39.81	6-Aug	7-Aug	non-brg	4.0
⌘ BUCK CAPITAL MGMT		HBI	S	20,000	19.69	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	HOG	B	20,000	21.61	n/a	n/a	800.00	4.0
⌘ BUCK CAPITAL MGMT		HOTT	SS	70,000	7.31	n/a	30-Jan	non-brg	3.0
PRIMECAP MGMT	048	HPQ	B	5,200	43.10	n/a	n/a	260.00	5.0
MILLENNIUM-ANDEW	031	IBN	B	10,000	28.86	n/a	n/a	600.00	6.0
MILLENNIUM-ANDEW	031	IFN	B	10,000	25.82	n/a	n/a	600.00	6.0
MILLENNIUM-ANDEW	031	IIF	B	10,000	18.15	n/a	n/a	600.00	6.0
⌘ BUCK CAPITAL MGMT		IMAX	S	20,000	8.92	n/a	n/a	non-brg	2.5
SCHOTTENFELD ASSOC	041	IP	B	15,000	19.03	14-Aug	14-Aug	450.00	3.0
⌘ BUCK CAPITAL MGMT		JBHT	B	10,000	28.26	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		JCG	B	10,000	28.18	n/a	30-Jan	non-brg	1.0
⌘ BUCK CAPITAL MGMT		JCP	S	20,000	30.27	13-Apr	14-Aug	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	JNS	B	145,000	13.26	16-Jul	13-Aug	5,800.00	4.0
ß BUCK CAPITAL MGMT		JOSB	B	65,100	36.91	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		KMX	S	50,000	16.13	n/a	10-Jan	non-brg	4.0
ß BUCK CAPITAL MGMT		KSS	S	20,000	50.69	14-Aug	14-Aug	non-brg	4.0
f ALICE BEEBE LONGLEY	FID	KXI	B	200	48.98	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		LL	S	20,000	19.50	n/a	n/a	non-brg	4.0
PRIMECAP MGMT	048	MON	B	2,500	79.98	n/a	17-Aug	125.00	5.0
PRIMECAP MGMT	048	MSFT	B	5,000	23.28	n/a	3-Apr	250.00	5.0
BUCK CAPITAL MGMT	001	MW	B	20,000	22.29	n/a	n/a	800.00	4.0
COUGAR TRADING	044	M	SS	10,000	14.70	n/a	13-Aug	500.00	5.0
PILOT ADV	038	M	SS	33,000	14.50	n/a	13-Aug	1,320.00	4.0
SCOPUS FUND	041	M	B	20,000	14.54	n/a	13-Aug	1,000.00	5.0
TROUBH PART	067	M	B	25,000	14.53	n/a	13-Aug	1,250.00	5.0
ß BUCK CAPITAL MGMT		NKE	SS	20,000	55.57	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		NTY	B	40,000	35.80	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		NTY	B	9,046	35.84	n/a	n/a	non-brg	1.0
MATRIX ASSET ADV.	036	OMC	S	400	34.76	n/a	n/a	16.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEFF MGMT	035	PRGO	B	4,000	26.38	n/a	17-Aug	480.00	12.0
BUCK CAPITAL MGMT	001	PSS	S	20,000	14.03	n/a	n/a	800.00	4.0
f MARC PAUL LUCHANSKY	FID	QQQQ	S	500	38.77	n/a	n/a	0.00	0.0
PRINCIPLE CAPITAL	040	RCL	SS	200,000	16.28	31-Jul	31-Jul	6,000.00	3.0
SCHOTTENFELD ASSOC	041	RKT	B	10,000	44.87	n/a	n/a	300.00	3.0
BUCK CAPITAL MGMT	001	RVI	B	18,200	3.84	n/a	n/a	546.00	3.0
B BUCK CAPITAL MGMT		RVI	B	4,000	3.84	n/a	n/a	non-brg	1.0
PILOT ADV	038	SHW	SS	10,000	59.55	17-Apr	7-Aug	400.00	4.0
BUCK CAPITAL MGMT	001	SKX	S	40,000	14.15	n/a	13-Mar	1,600.00	4.0
f DAVID GEORGE BUCK	FID	SNYIZ	B	15	0.85	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	SNY	S	1500	31.65	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	SOKE	B	400	2.50	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SPLS	SS	10,000	21.16	n/a	27-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		SPLS	SS	30,000	21.12	n/a	27-Jul	non-brg	1.0
f MARC PAUL LUCHANSKY	FID	SPRXX	S	516	1.00	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	SPY	B	500	98.51	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	MARC PAUL LUCHANSKY	FID	SPY	S	500	98.39	n/a	n/a	0.00	0.0
	BUCK CAPITAL MGMT	001	SSI	SS	10,000	12.37	n/a	7-Aug	400.00	4.0
	BUCK CAPITAL MGMT	001	TGT	S	10,000	41.32	6-Aug	17-Aug	400.00	4.0
f	JONATHAN RICHARD HAR	FID	TZA	B	145	16.81	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		UHO+TU[HOTT]	C	974	0.47	n/a	n/a	non-brg	100.0
B	BUCK CAPITAL MGMT		URBN	S	10,000	27.42	n/a	30-Jan	non-brg	1.0
	TYEE/TYGH	035	WDR	B	19,439	26.17	29-Jul	13-Aug	777.56	4.0
f	DAVID GEORGE BUCK	FID	WLP	S	1500	53.99	n/a	n/a	0.00	0.0
	TROUBH PART	067	WMT	B	25,000	51.69	11-May	13-Aug	1,250.00	5.0
	BUCK CAPITAL MGMT	001	WRC	S	20,000	36.85	28-Jul	12-Aug	800.00	4.0
	EPOCH INV MGMT	030	WRC	B	50,000	36.78	28-Jul	12-Aug	1,500.00	3.0
B	BUCK CAPITAL MGMT		XLF	C	130,000	13.78	n/a	n/a	non-brg	1.0
B	BUCK CAPITAL MGMT		XRT	C	120,100	30.25	n/a	n/a	non-brg	2.0
B	BUCK CAPITAL MGMT		XRT	SS	250,000	30.19	n/a	n/a	non-brg	1.0
f	JONATHAN RICHARD HAR	FID	YGII	S	685	5.85	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		YUM	SS	30,000	34.39	n/a	15-Jul	non-brg	1.0
B	BUCK CAPITAL MGMT		YUM	SS	40,000	34.39	n/a	15-Jul	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B	BUCK CAPITAL MGMT		YUM	SS	50,000	34.49	n/a	15-Jul	non-brg	4.0
f	DAVID GEORGE BUCK	FID	YUM	B	500	34.48	n/a	15-Jul	0.00	0.0
TOTAL (Trade Date):									58,796.44	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	08/13	ROTHSCHILD ASSET	040	MET	S	1,170	36.03	n/a	n/a	52.65	4.5
AO,CRT	08/13	ROTHSCHILD ASSET	040	MET	S	1,170	36.03	n/a	n/a	52.65	4.5
AO,CXL	08/14	&ACK	028	PNK	S	11,994	10.12	n/a	n/a	359.82	3.0
AO,CRT	08/14	ACK ASSET	028	PNK	S	11,994	10.12	n/a	n/a	359.82	3.0
AO,	08/14	ARAGON GLOBAL	041	RGC	SS	34,000	11.76	n/a	n/a	1700.00	5.0

---

<b>TOTAL (AO, CXL, CRT) :</b>	<b>1,700.00</b>
-------------------------------	-----------------

---

---

TOTAL (Trade Date) :	58,796.44
----------------------	-----------

TOTAL (AO, CXL, CRT) :	1,700.00
------------------------	----------

---

<b>TOTAL (RUN DATE) / NFS:</b>	<b>60,496.44</b>
--------------------------------	------------------

---

MRI Securities with Trade Activity on 17-Aug.
---

DKS
-----

MRI Securities without Trade Activity on 17-Aug.
--

LOW, RDEN
-----------

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



**T-Date = 43%**

**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)**