



# Daily Compliance Activity Report

Trade Date: 09/09/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LONG OAR GLOBAL INV	040	AA	S	13,500	12.85	n/a	n/a	540.00	4.0
<b>f KEVIN MICHAEL O'GORM</b>	<b>FID</b>	<b>ABII</b>	<b>B</b>	<b>400</b>	<b>26.06</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AEO</b>	<b>B</b>	<b>20,000</b>	<b>15.17</b>	<b>25-Jun</b>	<b>4-Sep</b>	<b>800.00</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>AEO</b>	<b>B</b>	<b>50,000</b>	<b>15.02</b>	<b>25-Jun</b>	<b>4-Sep</b>	<b>non-brg</b>	<b>4.0</b>
<b>f ROBERT M DANIELS</b>	<b>FID</b>	<b>AMD</b>	<b>S</b>	<b>250</b>	<b>5.08</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f ROBERT M DANIELS</b>	<b>FID</b>	<b>AMD</b>	<b>S</b>	<b>800</b>	<b>5.11</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
KAILIX INV ADV	048	ANR	B	10,000	36.75	n/a	n/a	500.00	5.0
NEWLAND CAPITAL MGT	067	ANW	S	10,000	22.72	n/a	n/a	400.00	4.0
<b>f NEIL M STRATTON</b>	<b>FID</b>	<b>APL</b>	<b>S</b>	<b>500</b>	<b>6.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CIRCLE T/SES PART	035	AXL	B	25,000	6.15	19-Aug	2-Sep	1,000.00	4.0
RBC CAPITAL MARKETS	040	AXL	B	25,000	6.05	19-Aug	2-Sep	1,000.00	4.0
RBC CAPITAL MARKETS	040	BG	SS	10,000	67.05	n/a	n/a	400.00	4.0
RBC CAPITAL MARKETS	040	BHP	SS	15,000	64.51	n/a	n/a	600.00	4.0
VISIUM/BALY HOWARD	038	BIG	SS	20,000	25.51	25-Aug	25-Aug	1,000.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>BONT</b>	<b>B</b>	<b>30,000</b>	<b>7.93</b>	<b>n/a</b>	<b>6-Feb</b>	<b>non-brg</b>	<b>2.5</b>
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>BONT</b>	<b>B</b>	<b>500</b>	<b>7.90</b>	<b>n/a</b>	<b>6-Feb</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAXTON PART	040	CCE	S	15,267	19.89	n/a	n/a	534.35	3.5
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>CCW</b>	<b>B</b>	<b>3000</b>	<b>24.97</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JOHN MICHAEL ZOLIDIS</b>	<b>FID</b>	<b>COH</b>	<b>B</b>	<b>300</b>	<b>30.74</b>	<b>n/a</b>	<b>29-Jul</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>COLM</b>	<b>C</b>	<b>10,000</b>	<b>41.21</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
ARCHON CAPITAL	035	CPHD	SS	50,000	13.62	n/a	n/a	1,500.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>CRI</b>	<b>B</b>	<b>20,000</b>	<b>25.98</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CRI</b>	<b>B</b>	<b>30,000</b>	<b>25.91</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
GALT INVESTMENT	041	CROX	S	27,000	7.00	n/a	n/a	1,350.00	5.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>CRP</b>	<b>B</b>	<b>4000</b>	<b>24.89</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DECK</b>	<b>B</b>	<b>20,000</b>	<b>66.87</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DECK</b>	<b>B</b>	<b>5,000</b>	<b>65.60</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>DPTR</b>	<b>B</b>	<b>2000</b>	<b>3.03</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>DPTR</b>	<b>B</b>	<b>10000</b>	<b>2.59</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MICHAEL THOMAS NOLAN</b>	<b>FID</b>	<b>DPTR</b>	<b>S</b>	<b>5000</b>	<b>3.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
HIGHBRIDGE/MS OLDS	041	EBAY	B	25,823	22.33	n/a	n/a	1,291.15	5.0
STADIA CAPITAL	035	EXPD	SS	6,300	33.68	n/a	n/a	252.00	4.0
<b>B BUCK CAPITAL MGMT</b>	<b>001</b>	<b>FL</b>	<b>B</b>	<b>50,000</b>	<b>10.90</b>	<b>27-Aug</b>	<b>27-Aug</b>	<b>2,000.00</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		FL	B	70,000	11.07	27-Aug	27-Aug	non-brg	4.0
f MANNY I KORMAN	FID	FSIXX	S	280000	1.00	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FSLR	B	100	143.62	n/a	n/a	0.00	0.0
f DOUGLAS ROGERS	FID	FSLXX	B	9669	1.00	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		F	B	50,000	7.47	27-Aug	2-Sep	non-brg	3.0
LONG OAR GLOBAL INV	040	F	S	21,500	7.49	27-Aug	2-Sep	645.00	3.0
f JOSEPH CIRO AMATURO	FID	GAZ	B	2000	14.09	n/a	n/a	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	GCO	B	400	21.25	n/a	10-Jan	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	GCO	B	400	21.29	n/a	10-Jan	0.00	0.0
CATAPULT	040	GDX	B	25,000	45.03	n/a	n/a	1,000.00	4.0
FIRST NY SEC/CHRIS	041	GE	S	50,000	14.93	n/a	n/a	2,500.00	5.0
NEWLAND CAPITAL MGT	067	GNK	S	25,000	21.42	n/a	n/a	1,000.00	4.0
RBC CAPITAL MARKETS	040	GVA	B	29,000	32.75	n/a	n/a	1,160.00	4.0
B BUCK CAPITAL MGMT		HBI	B	50,000	19.94	n/a	n/a	non-brg	4.0
FRONTPOINT/COPIA-ANDREW	031	HERO	B	290,000	5.05	n/a	n/a	8,700.00	3.0
f NEIL M STRATTON	FID	HE	B	200	17.00	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		IBM	B	5,000	117.00	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ELM RIDGE ADVISORS	044	IP	S	169,636	23.41	14-Aug	14-Aug	6,785.44	4.0
RBC CAPITAL MARKETS	040	ITT	SS	20,000	51.28	n/a	31-Jul	800.00	4.0
TROUBH PART	067	IVZ	S	25,000	22.71	6-Aug	9-Sep	1,250.00	5.0
KARSCH CAPITAL	034	IWM	C	95,900	58.47	n/a	n/a	1,918.00	2.0
<b>B BUCK CAPITAL MGMT</b>		<b>JBHT</b>	<b>B</b>	<b>25,000</b>	<b>29.81</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JNS</b>	<b>B</b>	<b>80,000</b>	<b>12.91</b>	<b>16-Jul</b>	<b>9-Sep</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JOSB</b>	<b>S</b>	<b>20,000</b>	<b>46.97</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
DIAMONDBACK CAP MGMT	232	KBR	B	25,000	23.41	n/a	n/a	1,250.00	5.0
DIAMONDBACK CAP MGMT	232	KBR	S	25,000	23.36	n/a	n/a	1,250.00	5.0
NEWLAND CAPITAL MGT	067	KDN	S	6,300	33.80	n/a	n/a	252.00	4.0
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>KEG</b>	<b>B</b>	<b>4000</b>	<b>8.38</b>	<b>26-Aug</b>	<b>28-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>KSS</b>	<b>B</b>	<b>50,000</b>	<b>55.89</b>	<b>14-Aug</b>	<b>4-Sep</b>	<b>non-brg</b>	<b>4.0</b>
CHART WELL ADV	028	KSS	B	43,910	56.45	14-Aug	4-Sep	1,756.40	4.0
SCHOTTENFELD ASSOC	041	KSS	B	20,000	55.80	14-Aug	4-Sep	600.00	3.0
THIRD COAST CAPITAL	035	KSS	B	10,000	55.79	14-Aug	4-Sep	500.00	5.0
<b>f FRANCIS MICHAEL MCCA</b>	<b>FID</b>	<b>LUV</b>	<b>B</b>	<b>400</b>	<b>8.71</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
THIRD COAST CAPITAL	035	LVS	S	25,000	16.61	14-Aug	26-Aug	1,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f JOHN BARTMAN COLE</b>	<b>FID</b>	<b>LYBI</b>	<b>S</b>	<b>800</b>	<b>3.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CATAPULT	040	MAR	SS	49,868	23.59	n/a	n/a	1,994.72	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>MCD</b>	<b>B</b>	<b>22,000</b>	<b>55.20</b>	<b>n/a</b>	<b>9-Sep</b>	<b>non-brg</b>	<b>4.0</b>
CIRCLE T/SES PART	035	MPEL	S	25,000	6.75	n/a	26-Aug	1,000.00	4.0
BMO NESBITT BURNS	041	M	SS	50,000	15.99	n/a	4-Sep	2,500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>M</b>	<b>B</b>	<b>20,000</b>	<b>16.04</b>	<b>n/a</b>	<b>4-Sep</b>	<b>non-brg</b>	<b>0.8</b>
FIRST NY SEC/CHRIS	041	M	B	10,000	15.73	n/a	4-Sep	500.00	5.0
SCHOTTENFELD ASSOC	041	M	B	50,000	15.47	n/a	4-Sep	1,500.00	3.0
SCHOTTENFELD ASSOC	041	M	S	50,000	15.69	n/a	4-Sep	1,500.00	3.0
WEINTRAUB CAPITAL MGT.	040	M	B	100,000	16.00	n/a	4-Sep	4,000.00	4.0
SENATOR INVESTMENT GROUP	036	NTAP	B	25,000	23.64	n/a	n/a	1,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>PLCE</b>	<b>B</b>	<b>10,000</b>	<b>26.89</b>	<b>n/a</b>	<b>4-Sep</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PLCE</b>	<b>B</b>	<b>19,103</b>	<b>26.82</b>	<b>n/a</b>	<b>4-Sep</b>	<b>non-brg</b>	<b>0.7</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PLCE</b>	<b>B</b>	<b>897</b>	<b>26.78</b>	<b>n/a</b>	<b>4-Sep</b>	<b>non-brg</b>	<b>1.0</b>
<b>f STEFFANIE CARMELA CA</b>	<b>FID</b>	<b>PQ</b>	<b>B</b>	<b>500</b>	<b>4.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CENTURION PARTNERS	041	PSS	S	50,000	17.23	n/a	n/a	2,000.00	4.0
<b>f HARALAMBOS EFSTATHI</b>	<b>FID</b>	<b>PSUN</b>	<b>B</b>	<b>1000</b>	<b>5.47</b>	<b>n/a</b>	<b>6-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>PSUN</b>	<b>B</b>	<b>750</b>	<b>4.98</b>	<b>n/a</b>	<b>6-Feb</b>	<b>0.00</b>	<b>0.0</b>
RBC CAPITAL MARKETS	040	RAH	B	16,000	64.44	n/a	n/a	640.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AVESTA CAP	229	RCL	S	50,000	21.05	31-Jul	8-Sep	2,000.00	4.0
LEVIN CAPITAL STRATEGIES	012	RL	S	15,000	68.86	6-Aug	6-Aug	600.00	4.0
THE BOSTON COMPANY	039	RL	S	27,510	68.55	6-Aug	6-Aug	1,100.40	4.0
RBC CAPITAL MARKETS	040	RSG	B	28,000	26.52	n/a	n/a	1,120.00	4.0
LAGRANGE CAP ADV	048	RYAAY	S	10,000	29.50	n/a	n/a	500.00	5.0
RBC CAPITAL MARKETS	040	SID	SS	50,000	27.28	n/a	n/a	2,000.00	4.0
ARCHON CAPITAL	035	SLW	S	70,000	11.81	n/a	n/a	2,100.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>SPLS</b>	<b>C</b>	<b>150,000</b>	<b>22.37</b>	<b>n/a</b>	<b>27-Jul</b>	<b>non-brg</b>	<b>4.0</b>
<b>f ANTHONY NG</b>	<b>FID</b>	<b>SPNG</b>	<b>B</b>	<b>3000</b>	<b>0.13</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PRINCIPLE CAPITAL	040	STX	B	100,000	14.89	n/a	n/a	3,000.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>SUP</b>	<b>B</b>	<b>12,500</b>	<b>14.69</b>	<b>10-Aug</b>	<b>10-Aug</b>	<b>non-brg</b>	<b>0.8</b>
COUGAR TRADING	044	SUP	B	10,000	14.73	10-Aug	10-Aug	500.00	5.0
<b>f JOHN CAREY MAGUIRE</b>	<b>FID</b>	<b>SVU</b>	<b>B</b>	<b>500</b>	<b>15.13</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f ANDREW SINCLAIR</b>	<b>FID</b>	<b>SWGID</b>	<b>B</b>	<b>55</b>	<b>0.09</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f ANDREW SINCLAIR</b>	<b>FID</b>	<b>SWGIE</b>	<b>S</b>	<b>106</b>	<b>0.04</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
KAILIX INV ADV	048	TCK	B	10,000	25.35	n/a	n/a	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
BUCK CAPITAL MGMT		TGT	B	50,000	47.37	3-Sep	3-Sep	non-brg 4.0
JENNIFER CORWIN GLIC	FID	TGT	B	300	47.52	3-Sep	3-Sep	0.00 0.0
FRANCIS MICHAEL MCCA	FID	TITN	S	300	14.25	n/a	n/a	0.00 0.0
SCOPUS FUND	041	TJX	B	10,000	36.08	28-Jul	4-Sep	500.00 5.0
BUCK CAPITAL MGMT		TSCO	C	30,000	47.17	n/a	n/a	non-brg 2.0
BUCK CAPITAL MGMT		TSCO	C	57,539	47.17	n/a	n/a	non-brg 4.0
RBC CAPITAL MARKETS	040	TSN	S	50,000	12.45	n/a	n/a	2,000.00 4.0
JOHN MICHAEL ZOLIDIS	FID	UAJE	S	12	1.50	n/a	n/a	0.00 0.0
JOHN BARTMAN COLE	FID	UNG	B	500	10.40	n/a	n/a	0.00 0.0
JONATHAN RICHARD HAR	FID	UQM	B	620	4.85	n/a	n/a	0.00 0.0
JONATHAN RICHARD HAR	FID	UQM	S	620	4.80	n/a	n/a	0.00 0.0
BUCK CAPITAL MGMT		URBN	B	15,000	29.30	n/a	30-Jan	non-brg 0.8
BUCK CAPITAL MGMT		URBN	B	85,000	29.95	n/a	30-Jan	non-brg 4.0
ANDREW SINCLAIR	FID	VVUS	B	1000	10.76	n/a	n/a	0.00 0.0
ANDREW SINCLAIR	FID	VVUS	S	1000	12.15	n/a	n/a	0.00 0.0
FRANCIS MICHAEL MCCA	FID	WBC	B	400	19.30	5-Aug	5-Aug	0.00 0.0
MANNY I KORMAN	FID	WCRX	B	4000	20.39	31-Aug	8-Sep	0.00 0.0
BALYASNY ASSET MGMT	044	WDR	SS	50,000	26.35	29-Jul	9-Sep	2,500.00 5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KAILIX INV ADV	048	WLT	B	5,000	58.49	n/a	n/a	250.00	5.0
WAGONHOUND/NIC	048	WRC	S	2,733	39.87	28-Jul	2-Sep	109.32	4.0
<b>f JOHN MICHAEL ZOLIDIS</b>	<b>FID</b>	<b>WSM</b>	<b>B</b>	<b>500</b>	<b>19.13</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FIRST INV MGMT CO	029	XLNX	B	5,000	22.95	n/a	n/a	250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>XRT</b>	<b>C</b>	<b>170,000</b>	<b>33.05</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>XRT</b>	<b>C</b>	<b>250,000</b>	<b>33.11</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>XRT</b>	<b>C</b>	<b>710,000</b>	<b>32.75</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>TOTAL (Trade Date):</b>								<b>81,448.78</b>	



Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,	09/08	OZ MGMT	040	AXL	S	250,000	5.78	19-Aug 2-Sep	7500.00 3.0
TOTAL (AO, CXL, CRT) :									7,500.00

TOTAL (Trade Date):	81,448.78
TOTAL (AO, CXL, CRT):	7,500.00

TOTAL (RUN DATE) / NFS: 88,948.78

MRI Securities with Trade Activity on 9-Sep.  
NONE

MRI Securities without Trade Activity on 9-Sep.  
NONE

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 6%  
YTD = 21%

<b><u>Legend:</u></b>
<b>Õ: Employee Trades in Outside Accounts</b>
<b>ß: Non-BRG BCM Trades</b>
[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)