



# Daily Compliance Activity Report

Trade Date: 11/23/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EXIS CAPITAL	044	AEO	B	60,000	14.49	n/a	6-Nov	3,000.00	5.0
EXIS CAPITAL	044	AEO	SS	10,000	14.54	n/a	6-Nov	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>S</b>	<b>20,000</b>	<b>39.45</b>	<b>n/a</b>	<b>16-Nov</b>	<b>800.00</b>	<b>4.0</b>
EXIS CAPITAL	044	ANF	B	5,000	39.28	n/a	16-Nov	250.00	5.0
EXIS CAPITAL	044	ANF	S	2,500	39.90	n/a	16-Nov	125.00	5.0
<b>f MICHAEL THOMAS NOLAN</b>	<b>FID</b>	<b>ANF</b>	<b>B</b>	<b>500</b>	<b>40.22</b>	<b>n/a</b>	<b>16-Nov</b>	<b>0.00</b>	<b>0.0</b>
JMP ASSET MGMT	210	ANN	SS	1,000	14.42	n/a	n/a	50.00	5.0
EXIS CAPITAL	044	ARO	B	7,500	31.27	n/a	6-Nov	375.00	5.0
EXIS CAPITAL	044	ARO	S	30,000	31.71	n/a	6-Nov	1,500.00	5.0
GCORE MANAGEMENT	041	AWK	S	5,000	21.41	n/a	n/a	250.00	5.0
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>BGU</b>	<b>S</b>	<b>5000</b>	<b>51.24</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>BGZ</b>	<b>B</b>	<b>10000</b>	<b>17.77</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>BKRS</b>	<b>S</b>	<b>5000</b>	<b>0.73</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
KENNEDY CAPITAL	046	CBK	B	75,000	6.25	n/a	n/a	2,250.00	3.0
WELLS/STRONG LEDDY	035	CHRS	S	5,900	4.97	n/a	n/a	177.00	3.0
CAMBIAR CAP	046	CL	S	84,835	84.85	n/a	13-Nov	3,393.40	4.0
CONIFER/ISF	025	CL	B	5,000	84.71	n/a	13-Nov	250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	COH	SS	15,000	34.66	n/a	21-Oct	750.00	5.0
EXIS CAPITAL	044	COH	S	35,000	34.75	n/a	21-Oct	1,750.00	5.0
WAGONHOUND/NIC	048	CVGI	B	17,600	5.26	n/a	n/a	528.00	3.0
MARINER/TRICADIA	041	CXW	S	15,000	24.71	n/a	n/a	600.00	4.0
⚡ BUCK CAPITAL MGMT		DBRN	S	20,000	21.99	n/a	n/a	non-brg	4.0
⚡ EDWARD W WHEELER	FID	DGII	S	16464	7.85	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		DIA	C	82,500	104.50	n/a	n/a	non-brg	0.8
⚡ BUCK CAPITAL MGMT		DIA	C	85,000	104.88	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		DLTR	B	20,000	48.96	n/a	23-Nov	non-brg	4.0
TROOB CAPITAL	067	ETFC	B	250,000	1.65	n/a	n/a	7,500.00	3.0
BALYASNY ASSET MGMT	044	EV	C	25,000	30.33	n/a	17-Nov	1,250.00	5.0
⚡ BUCK CAPITAL MGMT		FINL	B	70,000	9.32	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT	001	FL	B	100,000	10.26	n/a	23-Nov	4,000.00	4.0
TRELLUS PARTNERS LP	028	FL	B	8,610	10.07	n/a	23-Nov	430.50	5.0
⚡ BUCK CAPITAL MGMT		FUQI	B	50,000	21.63	n/a	n/a	non-brg	2.5
EXIS CAPITAL	044	GES	SS	5,000	36.13	n/a	n/a	250.00	5.0
⚡ BUCK CAPITAL MGMT		GIII	S	8,020	17.86	n/a	n/a	non-brg	0.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	GPS	B	5,000	21.79	n/a	n/a	250.00	5.0
BAIRD INVESTMENT	047	GS	B	2,256	173.32	n/a	18-Nov	112.80	5.0
EXIS CAPITAL	044	GYMB	S	2,500	41.74	n/a	19-Nov	125.00	5.0
OHIO PERS	047	HCBK	S	286,300	13.32	n/a	27-Oct	8,589.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCG</b>	<b>B</b>	<b>10,000</b>	<b>40.53</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
EXIS CAPITAL	044	JCG	S	8,400	40.68	n/a	n/a	420.00	5.0
HUNTER GLOBAL INVESTOR	067	JCG	B	50,000	40.77	n/a	n/a	2,500.00	5.0
SIGMA CAPITAL ASSOCIATES	041	JCG	SS	10,000	40.46	n/a	n/a	400.00	4.0
EXIS CAPITAL	044	JCP	SS	15,000	29.12	n/a	16-Nov	750.00	5.0
SIGMA CAPITAL ASSOCIATES	041	JCP	S	50,000	29.70	n/a	16-Nov	2,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JWN</b>	<b>S</b>	<b>20,000</b>	<b>33.76</b>	<b>n/a</b>	<b>13-Nov</b>	<b>800.00</b>	<b>4.0</b>
EXIS CAPITAL	044	JWN	B	1,250	33.65	n/a	13-Nov	62.50	5.0
EXIS CAPITAL	044	JWN	S	10,000	34.20	n/a	13-Nov	500.00	5.0
EXIS CAPITAL	044	KSS	B	5,000	53.89	n/a	13-Nov	250.00	5.0
EXIS CAPITAL	044	KSS	S	5,000	54.50	n/a	13-Nov	250.00	5.0
MUHLENKAMP FUND	046	LM	S	200,000	29.13	n/a	17-Nov	10,000.00	5.0
SAXON WOODS ADVISORS	242	MAT	B	310,000	20.47	n/a	n/a	9,300.00	3.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>MON</b>	<b>S</b>	<b>50</b>	<b>79.65</b>	<b>n/a</b>	<b>11-Nov</b>	<b>0.00</b>	<b>0.0</b>
IVORY CAPITAL	034	MSFT	S	260,000	29.93	n/a	n/a	5,200.00	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BASIX	033	MTW	S	35,000	10.58	n/a	3-Nov	1,050.00	3.0
EXIS CAPITAL	044	M	B	20,000	16.76	n/a	12-Nov	1,000.00	5.0
EXIS CAPITAL	044	M	S	20,000	17.34	n/a	12-Nov	1,000.00	5.0
EXIS CAPITAL	044	NKE	B	2,500	64.28	n/a	n/a	125.00	5.0
EXIS CAPITAL	044	NKE	SS	2,500	64.97	n/a	n/a	125.00	5.0
SUFFOLK CAPITAL MGMT	040	NKE	S	100,266	64.27	n/a	n/a	4,010.64	4.0
<b>B</b>	<b>BUCK CAPITAL MGMT</b>	<b>NTY</b>	<b>S</b>	<b>10,000</b>	<b>42.24</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
RBC CAPITAL MARKETS	040	ORB	B	10,000	13.09	n/a	n/a	400.00	4.0
RBC CAPITAL MARKETS	040	OSK	SS	5,000	37.70	n/a	n/a	200.00	4.0
PRINCIPLE CAPITAL	040	PALM	SS	50,000	11.63	n/a	n/a	1,500.00	3.0
CR INTRINIC INVESTMENT	044	PFE	S	50,000	18.84	n/a	n/a	2,000.00	4.0
<b>f</b>	<b>CHRISTOPHER ROBERT C</b>	<b>FID PG</b>	<b>S</b>	<b>100</b>	<b>62.84</b>	<b>n/a</b>	<b>20-Nov</b>	<b>0.00</b>	<b>0.0</b>
COLUMBIA PARTNERS	028	PKG	S	16,673	19.93	n/a	22-Oct	666.92	4.0
TRELLUS PARTNERS LP	028	PKG	S	30,000	20.01	n/a	22-Oct	1,500.00	5.0
<b>B</b>	<b>BUCK CAPITAL MGMT</b>	<b>PLCE</b>	<b>S</b>	<b>10,000</b>	<b>33.22</b>	<b>n/a</b>	<b>19-Nov</b>	<b>non-brg</b>	<b>4.0</b>
EXIS CAPITAL	044	PLCE	SS	15,000	33.24	n/a	19-Nov	750.00	5.0
COLUMBIA PARTNERS	028	PRU	B	20,183	49.15	n/a	n/a	807.32	4.0
CR INTRINIC INVESTMENT	044	PRX	S	13,603	23.89	n/a	18-Nov	544.12	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	PSS	B	20,000	19.94	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT		PVH	S	20,000	42.46	n/a	20-Nov	non-brg	4.0
STERLING JOHNSTON	035	PVH	B	4,550	43.70	n/a	20-Nov	182.00	4.0
TROOB CAPITAL	067	RAD	S	250,000	1.32	n/a	n/a	7,500.00	3.0
EXIS CAPITAL	099	RL	S	5,000	79.38	n/a	4-Nov	250.00	5.0
LISTED ERR	099	RL	B	1	79.10	n/a	4-Nov	0.00	0.0
LISTED ERR	099	RL	S	1	79.38	n/a	4-Nov	0.00	0.0
BUCK CAPITAL MGMT		SKX	S	20,000	22.47	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		SPLS	C	100,000	23.17	n/a	n/a	non-brg	4.0
MARC PAUL LUCHANSKY	FID	SPRXX	S	521	1.00	n/a	n/a	0.00	0.0
EXIS CAPITAL	044	SSO	B	10,000	37.49	n/a	n/a	500.00	5.0
EXIS CAPITAL	044	SSO	SS	20,000	37.53	n/a	n/a	1,000.00	5.0
MUHLENKAMP FUND	046	STT	B	200,000	41.76	n/a	18-Nov	10,000.00	5.0
SIGMA CAPITAL ASSOCIATES	041	TGT	S	25,000	47.71	n/a	18-Nov	1,000.00	4.0
BUCK CAPITAL MGMT		THI	SS	50,000	29.55	n/a	n/a	non-brg	4.0
TRELLUS PARTNERS LP	028	TIN	S	40,000	17.90	n/a	22-Oct	2,000.00	5.0
BUCK CAPITAL MGMT	001	TJX	S	20,000	38.56	n/a	18-Nov	800.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⌘ BUCK CAPITAL MGMT		TSCO	SS	10,000	48.25	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		TWB	S	10,000	10.34	n/a	n/a	non-brg	4.0
EXIS CAPITAL	044	URBN	B	25,000	31.56	n/a	n/a	1,250.00	5.0
EXIS CAPITAL	044	URBN	SS	10,000	31.94	n/a	n/a	500.00	5.0
ST OF MICHIAN	047	VOD	S	500,000	22.66	n/a	n/a	15,000.00	3.0
GCORE MANAGEMENT	041	WTR	B	5,000	16.17	n/a	n/a	250.00	5.0
WELLS/STRONG LEDDY	035	WTSLA	S	2,300	3.07	n/a	n/a	69.00	3.0
SUFFOLK CAPITAL MGMT	040	XOM	B	124,000	75.58	n/a	n/a	4,960.00	4.0
⌘ BUCK CAPITAL MGMT		XRT	SS	245,000	35.53	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		XRT	SS	250,500	35.15	n/a	n/a	non-brg	0.8
⌘ BUCK CAPITAL MGMT		XRT	SS	56,000	35.58	n/a	n/a	non-brg	2.0
EXIS CAPITAL	044	XRT	B	95,000	35.11	n/a	n/a	4,750.00	5.0
EXIS CAPITAL	044	XRT	SS	5,000	35.07	n/a	n/a	250.00	5.0
<b>TOTAL (Trade Date) :</b>							<b>138,628.20</b>		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	11/19	STELLIAM INV ADV	034	LSI	SS	15,000	5.50	n/a	n/a	450.00 3.0
AO,CXL	11/19	STELLIAM INV ADV	034	LSI	SS	15,000	5.50	n/a	n/a	750.00 5.0
AO,CXL	11/19	CRAMER ROSENTHAL/SCOTT	012	SJM	S	700	53.19	n/a	n/a	28.00 4.0
AO,CRT	11/19	CRAMER ROSENTHAL/SCOTT	012	SJM	S	700	53.19	n/a	n/a	28.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-300.00</b>

TOTAL (Trade Date) :	138,628.20
TOTAL (AO, CXL, CRT) :	-300.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>138,328.20</b>
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MRI Securities with Trade Activity on 23-Nov. NONE
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MRI Securities without Trade Activity on 23-Nov. NONE
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BRG comm. as a % of BCM Total Comm. paid. T-Date = 24% YTD = 19%
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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)**