



Daily Compliance Activity Report

Trade Date: 12/30/2008

Potential ANALYST TRADE Violations: 0

BCM Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AMBER CAPITAL	046	AA	SS	300,000	10.22	n/a	n/a	12,000.00	4.0
B BUCK CAPITAL MGMT		AEO	B	40,000	9.02	n/a	12-Dec	non-brg	3.0
SCOPUS FUND	041	AG	B	12,500	23.30	15-Dec	19-Dec	625.00	5.0
COUGAR TRADING	044	AN	B	5,000	9.22	7-Nov	23-Dec	200.00	4.0
B BUCK CAPITAL MGMT	001	BKS	SS	20,000	13.97	n/a	n/a	800.00	4.0
B BUCK CAPITAL MGMT		CACH	S	24,499	1.86	n/a	n/a	non-brg	2.0
f JOHN MICHAEL ZOLIDIS	FID	CBK	S	1500	4.81	n/a	12-Dec	0.00	0.0
STRONG/MARK GRONET	030	CNST	S	445,000	0.05	n/a	n/a	4,450.00	1.0
B BUCK CAPITAL MGMT		COH	SS	20,000	20.28	18-Dec	18-Dec	non-brg	4.0
f JOHN MICHAEL ZOLIDIS	FID	COH	B	20	115.80	18-Dec	18-Dec	0.00	0.0
B BUCK CAPITAL MGMT		COST	SS	10,000	51.10	n/a	27-Jul	non-brg	1.0
f MITCHELL JAMES SPEIS	FID	C	S	150	6.64	15-Sep	23-Dec	0.00	0.0
ASCEND PARTNERS	033	DKS	SS	20,000	12.87	7-Oct	12-Dec	1,000.00	5.0
B BUCK CAPITAL MGMT		DXD	S	1,000	56.44	n/a	n/a	non-brg	1.0
f JOHN MICHAEL ZOLIDIS	FID	DXD	B	250	55.59	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	DANIEL R SCHWARZWALD	FID	FBGRX	B	1550	25.98	n/a	n/a	0.00	0.0
f	SARA J SCHWARZWALDER	FID	FBGRX	B	441	25.98	n/a	n/a	0.00	0.0
f	SARA J SCHWARZWALDER	FID	FDGFX	B	777	15.45	n/a	n/a	0.00	0.0
	ASCEND PARTNERS	033	FDO	SS	15,000	25.11	5-Dec	19-Dec	750.00	5.0
f	DANIEL R SCHWARZWALD	FID	FDVLX	S	1039	38.75	n/a	n/a	0.00	0.0
f	SARA J SCHWARZWALDER	FID	FGRIX	S	886	12.94	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		FOSL	B	10,000	16.05	10-Nov	12-Dec	non-brg	1.0
B	BUCK CAPITAL MGMT		FOSL	B	75,000	16.04	10-Nov	12-Dec	non-brg	4.0
	BUCK CAPITAL MGMT	001	GCO	S	7,900	16.18	n/a	10-Jan	316.00	4.0
	BUCK CAPITAL MGMT	001	GES	B	20,000	14.99	n/a	n/a	800.00	4.0
B	BUCK CAPITAL MGMT		GIL	B	10,000	10.45	11-Dec	12-Dec	non-brg	4.0
	CENTURION GLOBAL MGMT LL	041	GRMN	B	25,000	19.54	n/a	n/a	750.00	3.0
B	BUCK CAPITAL MGMT		HOTT	SS	10,000	9.04	n/a	12-Dec	non-brg	1.0
	SERENGETI MGMT	030	HRC	B	86,800	16.14	n/a	n/a	4,340.00	5.0
f	ROBERT F CROWLEY JR	FID	ICENX	B	1420	14.08	n/a	n/a	0.00	0.0
f	KAREN F LEDDY	FID	ICON	S	400	8.77	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
US BANCORP	030	ISIL	B	149,186	8.99	n/a	n/a	7,459.30	5.0
COUGAR TRADING	044	JCP	B	5,000	18.35	17-Nov	12-Dec	250.00	5.0
FORD FDN.	032	JEC	S	10,000	44.56	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		KSS	B	30,000	33.55	n/a	12-Dec	non-brg	4.0
TRUST CO/COWEN/CALF.	040	LEN	B	279,315	8.41	n/a	n/a	11,172.60	4.0
f EDWARD W WHEELER	FID	LZCG	B	20	4.00	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	LZ	S	200	34.29	n/a	n/a	0.00	0.0
DALTON GREINER	012	MLI	S	23,780	22.81	n/a	18-Nov	1,189.00	5.0
UBS OCONNOR	031	MS	C	240,000	14.80	18-Dec	18-Dec	7,200.00	3.0
f KAREN F LEDDY	FID	MWO	S	1000	13.35	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		MZZ	S	500	63.94	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		NKE	B	40,000	49.46	n/a	n/a	non-brg	4.0
SIGMA CAPITAL ASSOCIATES	237	ORLY	B	50,000	29.81	n/a	n/a	2,500.00	5.0
LEVIN CAPITAL STRATEGIES	012	PHG	C	20,000	19.35	n/a	n/a	600.00	3.0
COUGAR TRADING	044	PH	B	5,000	41.72	28-Sep	11-Dec	250.00	5.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
	HEALY CIRCLE	044	PWR	B	10,000	18.88	n/a	n/a	400.00	4.0
B	BUCK CAPITAL MGMT		QUK+CR [DECK]	SS	500	5.75	n/a	n/a	non-brg	300.0
	SERENGETI MGMT	030	RBA	B	56,508	20.89	n/a	n/a	2,825.40	5.0
f	KAREN F LEDDY	FID	RVI	S	100	3.11	n/a	n/a	0.00	0.0
	ROYCE TRADING	216	SAH	B	10,000	3.53	n/a	23-Dec	300.00	3.0
	EPOCH INV MGMT	030	SCG	B	22,600	36.31	n/a	n/a	904.00	4.0
B	BUCK CAPITAL MGMT		SHOO	SS	10,000	20.27	n/a	n/a	non-brg	2.5
	SAXON WOODS ADVISORS	038	SJM	S	36,700	42.99	n/a	n/a	1,468.00	4.0
f	WILLIAM J GAULT	FID	SRS	B	1000	58.00	n/a	n/a	0.00	0.0
	HOLLIS CAPITAL	033	TGT	B	5,000	33.25	17-Nov	22-Dec	250.00	5.0
	ROYCE TRADING	216	TIN	B	10,000	4.27	5-Dec	5-Dec	300.00	3.0
	ROYCE TRADING	216	TWB	B	10,000	4.34	n/a	12-Dec	300.00	3.0
f	JOHN MICHAEL ZOLIDIS	FID	TWM	S	200	68.30	n/a	n/a	0.00	0.0
	LEVIN CAPITAL STRATEGIES	012	UN	S	13,200	24.28	n/a	n/a	528.00	4.0
	ROYCE TRADING	216	URI	B	10,000	8.18	29-Oct	29-Oct	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	VTR	B	22,350	31.39	n/a	n/a	894.00	4.0
EPOCH INV MGMT	030	V	B	19,950	50.57	n/a	30-Oct	798.00	4.0
EPOCH INV MGMT	030	WFR	B	21,050	13.51	n/a	n/a	842.00	4.0
EPOCH INV MGMT	030	WFT	B	26,100	10.36	n/a	n/a	1,044.00	4.0
EPOCH INV MGMT	030	XOM	B	18,550	78.51	n/a	n/a	742.00	4.0
Ⓐ BUCK CAPITAL MGMT		ZVZZT	C	102	1.02	n/a	n/a	non-brg	3.0
Ⓐ BUCK CAPITAL MGMT		ZVZZT	C	103	1.30	n/a	n/a	non-brg	3.0
Ⓐ BUCK CAPITAL MGMT		ZVZZT	S	100	1.00	n/a	n/a	non-brg	3.0
Ⓐ BUCK CAPITAL MGMT		ZVZZT	S	101	1.01	n/a	n/a	non-brg	3.0
TOTAL (Trade Date):								69,247.30	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/29	CARDINAL CAPITAL	044	AEO	B	2,400	9.01	n/a	12-Dec	120.00 5.0
AO,CRT	12/29	CARDINAL CAPITAL	044	AEO	B	2,400	9.01	n/a	12-Dec	120.00 5.0
AO,CRT	12/29	CARDINAL CAPITAL	044	AMG	S	26,400	36.82	13-Nov	17-Dec	1320.00 5.0
AO,CXL	12/29	CARDINAL CAPITAL	044	AMG	S	26,400	36.82	13-Nov	17-Dec	1320.00 5.0
AO,	12/29	OTC ERROR	099	PLCE	S	2,205	19.91	21-Nov	12-Dec	0.00 0.0

TOTAL (AO, CXL, CRT) : **0.00**

TOTAL (Trade Date) : 69,247.30

TOTAL (AO, CXL, CRT) : 0.00

TOTAL (RUN DATE) / NFS: 69,247.30

MRI Securities with Trade Activity on 30-Dec.
NONE

MRI Securities without Trade Activity on 30-Dec.
NONE

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

T-Date = 15%
YTD = 20%

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

BCM Watch List Trades

f: Employee Trades (Fidelity)