



Daily Compliance Activity Report

Trade Date: 01/07/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f ALEXANDER PRYLUCKI	FID	ABFS	B	60	27.73	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		AEO	B	10,000	17.50	n/a	5-Jan	non-brg	0.8
B BUCK CAPITAL MGMT		AEO	B	40,000	17.15	n/a	5-Jan	non-brg	0.8
WEISS PECK	040	AEO	S	7,240	17.00	n/a	5-Jan	362.00	5.0
BNP PARIBAS SEC	040	AGCO	B	25,000	33.41	n/a	4-Jan	1,000.00	4.0
f CICILY S BACKUS	FID	ALN	B	10000	2.78	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	ANF	B	60,700	33.48	n/a	5-Jan	2,428.00	4.0
COBALT	041	ANF	B	20,000	33.63	n/a	5-Jan	1,000.00	5.0
f RAGHAV NAYAR	FID	ANF	B	60	33.51	n/a	5-Jan	0.00	0.0
RBC CAPITAL MARKETS	040	ANF	B	10,000	33.54	n/a	5-Jan	400.00	4.0
JP MORGAN VENTURES	046	ANN	B	20,000	13.13	n/a	n/a	1,000.00	5.0
f JOSEPH CIRO AMATURO	FID	APC	S	2000	66.70	n/a	4-Jan	0.00	0.0
BUCK CAPITAL MGMT	001	ARO	S	20,000	35.16	n/a	5-Jan	800.00	4.0
RBC CAPITAL MARKETS	040	ARO	S	5,000	34.44	n/a	5-Jan	200.00	4.0
CONIFER/ISF	025	ATI	S	10,000	49.29	n/a	n/a	500.00	5.0
f BRIAN W CRAGO	FID	ATVI	S	400	11.16	n/a	n/a	0.00	0.0
HOLLIS CAPITAL	033	AVAV	S	10,000	28.52	n/a	n/a	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRELLUS PARTNERS LP	028	AXL	S	100,000	9.48	n/a	4-Jan	3,000.00	3.0
f ALEXANDER PRYLUCKI	FID	BAC	B	125	16.72	n/a	7-Jan	0.00	0.0
B BUCK CAPITAL MGMT		BAC	B	10,000	17.05	n/a	7-Jan	non-brg	4.0
f MICHAEL THOMAS NOLAN	FID	BA	S	100	59.90	n/a	4-Jan	0.00	0.0
f ABRAM M CHAPPELL	FID	BBI	B	2000	0.74	n/a	n/a	0.00	0.0
EXIS CAPITAL	044	BBT	S	25,000	27.30	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	BJ	SS	20,000	33.54	n/a	n/a	800.00	4.0
B BUCK CAPITAL MGMT		CCI	S	7,500	39.10	n/a	n/a	non-brg	4.0
NEW JERSEY DIV OF INV.	030	CCI	S	150,000	38.90	n/a	n/a	6,000.00	4.0
RBC CAPITAL MARKETS	040	CHS	S	10,000	14.40	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		CNK	B	50,000	14.65	n/a	n/a	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	CNK	S	300	14.58	n/a	n/a	0.00	0.0
f ALEXANDER PRYLUCKI	FID	CNW	B	50	32.84	n/a	n/a	0.00	0.0
KEEFE BRUYETTE WOODS A	045	COF	B	21,000	41.53	n/a	6-Jan	1,050.00	5.0
f ALEXANDER PRYLUCKI	FID	C	B	550	3.65	n/a	7-Jan	0.00	0.0
B BUCK CAPITAL MGMT		C	B	30,000	3.67	n/a	7-Jan	non-brg	2.5
f CICILY S BACKUS	FID	C	B	15000	3.68	n/a	7-Jan	0.00	0.0
f CICILY S BACKUS	FID	C	B	5000	3.68	n/a	7-Jan	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	JESSICA PERNO	FID	C	B	90	3.66	n/a	7-Jan	0.00	0.0
f	JONATHAN RICHARD HAR	FID	C	B	685	3.65	n/a	7-Jan	0.00	0.0
f	KAREN F LEDDY	FID	C	B	1000	3.66	n/a	7-Jan	0.00	0.0
f	VICTORIA FINNEGAN DA	FID	C	B	300	3.66	n/a	7-Jan	0.00	0.0
ß	BUCK CAPITAL MGMT		DAL	S	70,000	12.53	n/a	n/a	non-brg	4.0
	BMO NESBITT BURNS	041	DAN	B	50,000	11.59	n/a	6-Jan	2,500.00	5.0
	L.R.BURTSCHY & CO	045	DAN	B	25,000	11.49	n/a	6-Jan	1,500.00	6.0
	TRAFELET & COMP.	028	DAN	B	225,000	11.57	n/a	6-Jan	9,000.00	4.0
	TRELLUS PARTNERS LP	028	DAN	B	16,900	11.46	n/a	6-Jan	845.00	5.0
	TOCQUEVILLE	067	DBD	S	25,000	30.58	n/a	23-Nov	1,250.00	5.0
ß	BUCK CAPITAL MGMT		DBRN	S	10,000	25.02	n/a	n/a	non-brg	2.0
ß	BUCK CAPITAL MGMT		DBRN	S	10,000	25.20	n/a	n/a	non-brg	4.0
	PROSPECTOR PARTNERS LLC	036	DD	S	10,000	34.29	n/a	7-Jan	400.00	4.0
ß	BUCK CAPITAL MGMT		DIA	SS	16,500	105.76	n/a	n/a	non-brg	1.0
	RBC CAPITAL MARKETS	040	DLTR	B	5,000	49.83	n/a	4-Jan	200.00	4.0
	KENNEDY CAPITAL	046	DPZ	B	400	9.10	n/a	4-Jan	12.00	3.0
	GRISANTI BROWN & PARTNER	048	EMR	S	4,600	43.66	n/a	n/a	230.00	5.0
	FIRST NEW YORK LEDDY	035	ETFC	B	20,000	1.78	n/a	n/a	1,200.00	6.0
	WEISS PECK	040	FL	S	23,010	12.02	n/a	4-Jan	1,150.50	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MITCHELL JAMES SPEIS	FID	FSNXX	B	69712	1.00	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	F	C	25,000	11.60	n/a	6-Jan	1,250.00	5.0
LEVIN CAPITAL STRATEGIES	012	F	S	50,930	11.43	n/a	6-Jan	2,037.20	4.0
OZ MGMT	040	F	SS	150,000	11.67	n/a	6-Jan	4,500.00	3.0
TRAFELET & COMP.	028	F	B	225,000	11.57	n/a	6-Jan	9,000.00	4.0
DIAMONDBACK CAP MGMT	232	GE	B	250,000	16.13	n/a	n/a	5,000.00	2.0
B BUCK CAPITAL MGMT		GIL	B	10,000	23.68	n/a	4-Jan	non-brg	4.0
SAXON WOODS ADVISORS	242	GME	S	20,000	20.27	n/a	n/a	800.00	4.0
SHEFFIELD ASSET MGMT	031	GME	S	46,000	20.43	n/a	n/a	2,300.00	5.0
RBC CAPITAL MARKETS	040	GPS	B	25,000	20.55	n/a	n/a	1,000.00	4.0
B BUCK CAPITAL MGMT		GRMN	SS	30,000	31.10	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GYMB	B	10,000	42.97	n/a	7-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		GYMB	B	23,327	43.03	n/a	7-Jan	non-brg	4.0
SPARTA ASSET MGMT	035	GYMB	B	25,000	43.01	n/a	7-Jan	750.00	3.0
B BUCK CAPITAL MGMT		IJS	SS	2,100	59.52	n/a	n/a	non-brg	1.0
HIGHBRIDGE CAP	041	IP	SS	44,714	26.76	7-Jan	7-Jan	1,788.56	4.0
B BUCK CAPITAL MGMT		IWM	SS	4,000	63.80	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		IWO	SS	1,800	69.56	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
BUCK CAPITAL MGMT		JACK	B	10,000	20.21	n/a	n/a	non-brg 2.0
BUCK CAPITAL MGMT		JACK	B	40,000	20.18	n/a	n/a	non-brg 2.5
BUCK CAPITAL MGMT		JACK	B	50,000	19.95	n/a	n/a	non-brg 4.0
LEVEL GLOBAL SHARED ACCT	257	JCP	C	150,000	26.64	n/a	5-Jan	4,500.00 3.0
BUCK CAPITAL MGMT		JNY	B	20,000	17.45	n/a	4-Jan	non-brg 4.0
BUCK CAPITAL MGMT		JNY	B	35,000	17.38	n/a	4-Jan	non-brg 4.0
BUCK CAPITAL MGMT		JNY	B	5,000	17.20	n/a	4-Jan	non-brg 0.8
EGS ASSOCIATES LP	091	JNY	B	1,800	16.99	n/a	4-Jan	108.00 6.0
BUCK CAPITAL MGMT		JOSB	S	10,000	44.63	n/a	n/a	non-brg 4.0
ALEXANDER PRYLUCKI	FID	JPM	B	50	43.98	n/a	7-Jan	0.00 0.0
GRISANTI BROWN & PARTNER	048	JRCC	B	8,900	21.47	n/a	n/a	445.00 5.0
JP MORGAN VENTURES	046	JWN	S	25,000	37.88	n/a	5-Jan	1,250.00 5.0
MACKLOWE ASSET MGMT	041	JWN	SS	25,000	38.56	n/a	5-Jan	1,000.00 4.0
RBC CAPITAL MARKETS	040	JWN	B	5,000	38.33	n/a	5-Jan	200.00 4.0
RBC CAPITAL MARKETS	040	JWN	S	15,000	38.35	n/a	5-Jan	600.00 4.0
BUCK CAPITAL MGMT		KMT	S	15,000	27.82	n/a	18-Nov	non-brg 0.8
BUCK CAPITAL MGMT		KMT	S	15,000	28.21	n/a	18-Nov	non-brg 4.0
BUCK CAPITAL MGMT	001	KSS	B	18,900	53.14	n/a	5-Jan	756.00 4.0
BUCK CAPITAL MGMT		KSS	B	10,000	53.47	n/a	5-Jan	non-brg 4.0
RBC CAPITAL MARKETS	040	KSS	B	5,000	53.38	n/a	5-Jan	200.00 4.0
UBS OCONNOR	031	LM	SS	100,000	30.81	n/a	5-Jan	3,000.00 3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GRUBER MACBAINE	033	LOW	B	75,000	23.47	n/a	16-Nov	3,000.00	4.0
HUTCHIN HILL CAPITAL LP	233	LTD	S	15,000	18.89	n/a	n/a	450.00	3.0
LEVEL GLOBAL SHARED ACCT	257	MCD	B	50,000	61.93	n/a	4-Jan	1,500.00	3.0
B BUCK CAPITAL MGMT		MDY	SS	1,800	135.38	n/a	n/a	non-brg	1.0
f KAREN F LEDDY	FID	MGA	B	300	58.99	n/a	n/a	0.00	0.0
NWQ INVESTMENT MGMT CO	048	MIDD	B	1,800	51.60	n/a	4-Jan	72.00	4.0
PROSPECTOR PARTNERS LLC	036	MIR	S	10,000	16.62	n/a	n/a	400.00	4.0
RBC CAPITAL MARKETS	040	MLM	SS	10,000	92.31	n/a	n/a	400.00	4.0
PROSPECTOR PARTNERS LLC	036	MMR	S	10,000	8.91	n/a	n/a	400.00	4.0
KLEINHEINZ CAP PART	031	MSFT	S	75,000	30.25	n/a	n/a	3,750.00	5.0
B BUCK CAPITAL MGMT		MS	B	5,000	33.07	n/a	7-Jan	non-brg	4.0
MTB INV ADV	034	MTW	B	79,275	12.42	n/a	4-Jan	3,171.00	4.0
B BUCK CAPITAL MGMT		MVRX	C	75,000	175.46	n/a	n/a	non-brg	17.5
f JOHN MICHAEL ZOLIDIS	FID	MWO	S	1700	20.00	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	MW	SS	20,000	22.32	n/a	n/a	800.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	M	B	20,000	17.25	n/a	5-Jan	800.00	4.0
f MANNY I KORMAN	FID	OCR	B	5000	25.20	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		PAG	B	10,000	16.42	n/a	4-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		PAG	B	150,000	16.25	n/a	4-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		PAG	B	25,000	16.45	n/a	4-Jan	non-brg	1.0
COLONIAL FUND LLC	036	PAG	B	10,000	16.35	n/a	4-Jan	500.00	5.0
COLONIAL FUND LLC	036	PAG	S	45,000	16.50	n/a	4-Jan	2,250.00	5.0
FRIESS MGMT	033	PAG	B	295,900	16.47	n/a	4-Jan	11,836.00	4.0
FRIESS MGMT	033	PAG	B	7,200	16.47	n/a	4-Jan	288.00	4.0
JP MORGAN VENTURES	046	PG	B	10,000	60.43	n/a	4-Jan	500.00	5.0
BUCK CAPITAL MGMT	001	PIR	S	20,000	6.01	n/a	n/a	600.00	3.0
BRIGADE CAPITAL MGMT	029	PLCE	B	50,000	33.75	7-Jan	7-Jan	1,500.00	3.0
METROPOLITAN CAPITAL	044	PLCE	S	49,600	34.78	7-Jan	7-Jan	2,480.00	5.0
f MANNY I KORMAN	FID	PRGO	S	7000	37.87	n/a	4-Jan	0.00	0.0
B BUCK CAPITAL MGMT		PRTY LN	B	50,000	4.31	n/a	n/a	non-brg	0.6
JP MORGAN VENTURES	046	PVH	S	15,000	43.85	n/a	4-Jan	750.00	5.0
FIRST NEW YORK NICK	029	Q	B	40,000	4.68	n/a	n/a	2,000.00	5.0
f JONATHAN RICHARD HAR	FID	RF	B	400	6.13	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	RGC	S	300	14.38	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		RTH	C	4,500	94.46	n/a	n/a	non-brg	0.8
JP MORGAN VENTURES	046	RUE	S	30,000	30.61	n/a	n/a	1,500.00	5.0
B BUCK CAPITAL MGMT		SBAC	S	10,000	35.72	n/a	n/a	non-brg	4.0
RAINIER INV MGMT	035	SF	B	10,460	56.22	n/a	n/a	523.00	5.0
ARCHON CAPITAL	035	SPWRA	B	120,000	25.75	n/a	n/a	3,600.00	3.0
B BUCK CAPITAL MGMT		SPY	SS	3,400	114.02	n/a	n/a	non-brg	1.0
f JASON ERIC COHEN	FID	SPY	S	60	114.21	n/a	n/a	0.00	0.0
f ABRAM M CHAPPELL	FID	SRI	S	175	8.92	n/a	n/a	0.00	0.0
FORD FDN.	032	S	B	65,000	4.00	n/a	n/a	1,950.00	3.0
PRINCIPLE CAPITAL	040	TIF	B	120,000	46.71	n/a	n/a	4,800.00	4.0
COOPER CREEK PART	028	TIN	B	10,000	20.97	7-Jan	7-Jan	400.00	4.0
ASCEND PARTNERS	033	TJX	S	51,800	39.17	n/a	5-Jan	2,590.00	5.0
f NEIL M STRATTON	FID	TNSGF	B	2500	0.97	n/a	n/a	0.00	0.0
f NEIL M STRATTON	FID	TNSGF	B	2500	0.97	n/a	n/a	0.00	0.0
f STRATTON PAR TNERSHI	FID	TNSGF	B	1250	0.97	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		TTWO	SS	50,000	10.28	n/a	n/a	non-brg	4.0
f MANNY I KORMAN	FID	TWI	S	10000	8.82	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
BUCK CAPITAL MGMT		UAUA	S	50,000	13.58	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		URBN	B	44,235	34.12	n/a	n/a	non-brg 4.0
RBC CAPITAL MARKETS	040	VALE	B	25,000	31.07	n/a	n/a	1,000.00 4.0
BUCK CAPITAL MGMT	001	VFC	B	10,000	75.63	n/a	4-Jan	400.00 4.0
RBC CAPITAL MARKETS	040	WMS	S	10,000	43.21	n/a	n/a	400.00 4.0
BMO NESBITT BURNS	041	WY	SS	30,000	44.48	n/a	4-Jan	1,500.00 5.0
WHITE PINE CAPITAL	030	WY	B	15,800	44.31	n/a	4-Jan	790.00 5.0
BUCK CAPITAL MGMT		XLFX	SS	85,000	15.31	n/a	n/a	non-brg 1.0
BUCK CAPITAL MGMT		XLX	C	20,000	30.35	n/a	n/a	non-brg 0.8
BUCK CAPITAL MGMT		XRT	C	225,000	36.73	n/a	n/a	non-brg 0.8
BUCK CAPITAL MGMT		XRT	SS	50,500	36.46	n/a	n/a	non-brg 1.0
TOTAL (Trade Date):							136,362.26	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/06	NEUBERGER BERMAN	036	LTD	B	50,300	18.52	n/a	n/a	2012.00 4.0
AO,CRT	01/05	FORWARD MGMT	033	OSIP	S	400	31.11	n/a	n/a	20.00 5.0
AO,CXL	01/05	FORWARD MGMT	033	OSIP	S	400	31.11	n/a	n/a	20.00 5.0
TOTAL (AO, CXL, CRT) :										2,012.00

TOTAL (Trade Date) :	136,362.26
TOTAL (AO, CXL, CRT) :	2,012.00

TOTAL (RUN DATE) / NFS:	138,374.26
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MRI Securities with Trade Activity on 7-Jan.
IP, PLCE, TIN

MRI Securities without Trade Activity on 7-Jan.
PKG, AXP

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 14%
YTD = 11%

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)