



# Daily Compliance Activity Report

Trade Date: 04/21/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CATAPULT	040	AA	S	50,000	8.18	n/a	n/a	2,000.00	4.0
LISTED ERR	099	AA	B	50,000	8.18	n/a	n/a	0.00	0.0
LISTED ERR	099	AA	SS	50,000	8.18	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		ALV	C	40,000	23.11	12-Mar	20-Apr	non-brg	4.0
COUGAR TRADING	044	ALV	SS	5,000	21.26	12-Mar	20-Apr	250.00	5.0
⚡ BUCK CAPITAL MGMT		AN	C	20,000	14.90	30-Jan	20-Apr	non-brg	1.0
⚡ BUCK CAPITAL MGMT		AN	C	40,000	14.73	30-Jan	20-Apr	non-brg	4.0
JAT CAPITAL MANAGEMENT	041	ATVI	SS	111,000	10.15	n/a	n/a	4,440.00	4.0
⚡ FRANCIS MICHAEL MCCA	FID	BBY	S	100	38.45	n/a	27-Jul	0.00	0.0
RBC CAPITAL MARKETS	034	BJ	B	10,000	31.02	n/a	27-Jul	400.00	4.0
⚡ BUCK CAPITAL MGMT		BWA	C	40,000	24.16	12-Mar	20-Apr	non-brg	4.0
COUGAR TRADING	044	BWA	SS	5,000	23.55	12-Mar	20-Apr	250.00	5.0
NEWCASTLE FUNDS	033	BWA	B	25,000	24.30	12-Mar	20-Apr	1,000.00	4.0
MILLENIUM PARTNERS	028	BYD	S	120,000	5.57	28-Jan	28-Feb	4,800.00	4.0
⚡ BUCK CAPITAL MGMT		CACH	B	13,200	2.70	n/a	n/a	non-brg	1.0
SANDLER CAPITAL	038	CAT	SS	80,000	29.21	n/a	13-Apr	4,800.00	6.0
JP MORGAN VENTURES	046	CHIC	S	75,000	12.30	n/a	n/a	3,750.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
ß BUCK CAPITAL MGMT		CHS	B	100,000	6.93	5-Dec	30-Jan	non-brg 3.0
ß BUCK CAPITAL MGMT		CMG	C	1,000	78.39	17-Apr	21-Apr	non-brg 1.0
ß BUCK CAPITAL MGMT		CMG	C	32,000	79.32	17-Apr	21-Apr	non-brg 1.0
ß BUCK CAPITAL MGMT		CMG	C	40,000	79.37	17-Apr	21-Apr	non-brg 4.0
ß BUCK CAPITAL MGMT		COH+FW[COH]	SS	1,000	0.95	n/a	n/a	non-brg 100.0
BUCK CAPITAL MGMT	001	COH	S	50,000	20.88	9-Jan	3-Apr	2,000.00 4.0
ß BUCK CAPITAL MGMT		COH	S	100,000	21.08	9-Jan	3-Apr	non-brg 4.0
ENTRUST CAPITAL	040	COH	B	34,000	20.72	9-Jan	3-Apr	1,700.00 5.0
S.A.C. CAP/ORENSTEIN	044	DD	SS	50,000	27.23	n/a	21-Apr	2,000.00 4.0
AVESTA CAP	229	DIS	SS	50,000	19.41	n/a	n/a	2,000.00 4.0
CARDINAL CAPITAL	044	DM	B	1,600	10.35	n/a	n/a	80.00 5.0
S.A.C. CAP/ORENSTEIN	044	DOW	B	132,037	11.60	n/a	2-Apr	5,281.48 4.0
ß BUCK CAPITAL MGMT		DPZ	B	20,000	7.05	n/a	24-Apr	non-brg 3.0
f DAVID GEORGE BUCK	FID	DRE	S	2500	9.06	n/a	n/a	0.00 0.0
ß BUCK CAPITAL MGMT		DV+QI [DV]	C	996	4.35	n/a	n/a	non-brg 300.0
ß BUCK CAPITAL MGMT		DV	C	99,962	43.00	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		EAT	C	16,000	18.04	n/a	24-Apr	non-brg 1.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß	BUCK CAPITAL MGMT		EAT	C	60,000	17.79	n/a	24-Apr	non-brg	4.0
	CATAPULT	040	EXPD	S	29,100	31.63	n/a	n/a	1,455.00	5.0
f	SCOTT L BRUNNER	FID	FAZ	B	6000	11.90	n/a	n/a	0.00	0.0
f	WILLIAM J GAULT	FID	FAZ	B	20000	10.22	n/a	n/a	0.00	0.0
	BALYASNY ASSET MGMT	044	FDO	SS	20,000	33.26	5-Mar	8-Apr	1,000.00	5.0
	NEWCASTLE FUNDS	033	FDX	B	25,000	51.80	n/a	n/a	1,000.00	4.0
	BALYASNY ASSET MGMT	044	FII	S	25,000	21.72	30-Mar	21-Apr	1,250.00	5.0
	MERRILL ASSET	032	FLO	S	18,300	24.28	n/a	n/a	823.50	4.5
f	MARC PAUL LUCHANSKY	FID	FSMKX	S	57	58.98	n/a	n/a	0.00	0.0
	NOMURA CAPITAL	045	F	S	75,000	3.74	n/a	20-Apr	1,500.00	2.0
	SIGMA CAPITAL ASSOCIATES	041	GES	S	25,000	23.40	n/a	n/a	1,250.00	5.0
ß	BUCK CAPITAL MGMT		GIL	B	25,000	11.89	11-Dec	14-Apr	non-brg	4.0
ß	BUCK CAPITAL MGMT		GIL	B	25,000	11.90	11-Dec	14-Apr	non-brg	2.0
ß	BUCK CAPITAL MGMT		GIL	B	50,000	12.40	11-Dec	14-Apr	non-brg	4.0
	COUGAR TRADING	044	GNTX	SS	5,000	11.10	30-Jan	20-Apr	250.00	5.0
	SIGMA CAPITAL ASSOCIATES	041	GPS	S	65,000	14.65	n/a	30-Jan	3,250.00	5.0
ß	BUCK CAPITAL MGMT		GYMB	S	11,000	30.20	9-Apr	13-Apr	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B</b> BUCK CAPITAL MGMT		<b>GYMB</b>	<b>S</b>	<b>15,000</b>	<b>30.26</b>	<b>9-Apr</b>	<b>13-Apr</b>	<b>non-brg</b>	<b>1.0</b>
WAGONHOUND/NIC	048	GYMB	S	4,510	30.51	9-Apr	13-Apr	180.40	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>HBI</b>	<b>B</b>	<b>100,000</b>	<b>12.83</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>IGT</b>	<b>SS</b>	<b>50,000</b>	<b>10.67</b>	<b>n/a</b>	<b>4-Mar</b>	<b>non-brg</b>	<b>4.0</b>
BMO NESBITT BURNS	041	IP	B	100,000	8.46	n/a	20-Apr	5,000.00	5.0
STELLIAM INV ADV	040	JAVA	S	50,000	9.20	n/a	n/a	1,500.00	3.0
THE JAY GOLDMAN	034	JCP	B	20,000	25.81	13-Apr	13-Apr	800.00	4.0
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>JPMEB</b>	<b>B</b>	<b>10</b>	<b>1.11</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
KLEINHEINZ CAP PART	031	JWN	SS	100,000	20.69	20-Feb	13-Apr	5,000.00	5.0
<b>f</b> ANTHONY SUTERA	<b>FID</b>	<b>KG</b>	<b>B</b>	<b>1000</b>	<b>8.23</b>	<b>n/a</b>	<b>17-Apr</b>	<b>0.00</b>	<b>0.0</b>
NEUBERGER BERMAN	036	KIM	S	112,900	10.10	n/a	n/a	5,080.50	4.5
BUCK CAPITAL MGMT	<b>001</b>	<b>LOW</b>	<b>B</b>	<b>30,000</b>	<b>20.02</b>	<b>31-Mar</b>	<b>31-Mar</b>	<b>1,200.00</b>	<b>4.0</b>
BUCK CAPITAL MGMT	<b>001</b>	<b>LTD</b>	<b>B</b>	<b>50,000</b>	<b>10.44</b>	<b>8-Jan</b>	<b>30-Jan</b>	<b>2,000.00</b>	<b>4.0</b>
AVESTA CAP	229	MAC	B	100,000	14.10	n/a	n/a	4,000.00	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>MCD</b>	<b>S</b>	<b>115,000</b>	<b>55.27</b>	<b>n/a</b>	<b>21-Apr</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>MDTL</b>	<b>C</b>	<b>14,026</b>	<b>0.37</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRELLUS PARTNERS LP	028	MGA	SS	10,000	33.95	n/a	n/a	500.00	5.0
JP MORGAN VENTURES	046	MJN	S	40,000	26.48	n/a	n/a	2,000.00	5.0
DALTON GREINER	012	MLI	S	9,800	22.87	n/a	16-Apr	490.00	5.0
STADIA CAPITAL	035	MSFT	S	46,200	18.90	n/a	3-Apr	1,848.00	4.0
<b>f FRANCIS MICHAEL MCCA</b>	<b>FID</b>	<b>MWA</b>	<b>B</b>	<b>1500</b>	<b>3.54</b>	<b>n/a</b>	<b>4-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>MWA</b>	<b>B</b>	<b>5000</b>	<b>3.64</b>	<b>n/a</b>	<b>4-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>M</b>	<b>S</b>	<b>240,000</b>	<b>11.87</b>	<b>n/a</b>	<b>13-Apr</b>	<b>9,600.00</b>	<b>4.0</b>
RDK CAPITAL MGMT	034	M	SS	25,000	11.62	n/a	13-Apr	1,000.00	4.0
THE JAY GOLDMAN	034	M	SS	40,000	12.31	n/a	13-Apr	1,600.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>OMX</b>	<b>B</b>	<b>50,000</b>	<b>5.24</b>	<b>n/a</b>	<b>15-Apr</b>	<b>non-brg</b>	<b>3.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>OMX</b>	<b>B</b>	<b>50,000</b>	<b>5.34</b>	<b>n/a</b>	<b>15-Apr</b>	<b>non-brg</b>	<b>3.0</b>
CHARTER OAK	033	PAG	B	40,000	10.95	n/a	20-Apr	2,000.00	5.0
BASIX	033	PKG	B	32,100	14.92	8-Apr	21-Apr	963.00	3.0
MILLENIUM PARTNERS	028	PKG	S	15,000	14.52	8-Apr	21-Apr	750.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>PLCE</b>	<b>S</b>	<b>40,000</b>	<b>26.01</b>	<b>19-Mar</b>	<b>13-Apr</b>	<b>non-brg</b>	<b>2.0</b>
CATAPULT	040	PNR	B	32,000	22.97	n/a	n/a	1,600.00	5.0
JP MORGAN VENTURES	046	PSUN	B	25,000	2.92	6-Feb	6-Feb	750.00	3.0
BAIRD INVESTMENT	031	PVH	B	8,875	27.56	20-Apr	20-Apr	443.75	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JP MORGAN VENTURES	046	RL	B	10,000	49.14	n/a	16-Apr	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>RMS FP</b>	<b>SS</b>	<b>10,000</b>	<b>116.99</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>17.5</b>
RBC CAPITAL MARKETS	034	ROST	S	15,000	39.09	n/a	n/a	600.00	4.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>SDS</b>	<b>S</b>	<b>1000</b>	<b>70.03</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SGMS</b>	<b>SS</b>	<b>70,000</b>	<b>14.60</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
JP MORGAN VENTURES	046	SKX	B	30,000	8.17	n/a	13-Mar	900.00	3.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>SLBTH</b>	<b>S</b>	<b>15</b>	<b>2.90</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
OMEGA ADVISORS	041	SLM	S	512,100	4.80	27-Feb	16-Apr	15,363.00	3.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>SSO</b>	<b>B</b>	<b>1000</b>	<b>22.06</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TRELLUS PARTNERS LP	028	SUP	SS	25,000	14.15	27-Feb	27-Feb	1,250.00	5.0
BAIRD INVESTMENT	031	SWN	B	14,450	32.43	27-Feb	21-Apr	722.50	5.0
MERRILL ASSET	032	THS	S	31,600	27.04	n/a	n/a	1,422.00	4.5
MILLENIUM PARTNERS	028	TIN	B	25,000	6.82	5-Dec	20-Apr	1,250.00	5.0
WAGONHOUND/NIC	048	TNA	S	100,000	20.49	n/a	n/a	3,000.00	3.0
NEWCASTLE FUNDS	033	TNB	B	50,000	28.69	n/a	n/a	2,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JAT CAPITAL MANAGEMENT	041	TTWO	B	137,000	9.04	n/a	n/a	4,110.00	3.0
ß BUCK CAPITAL MGMT		TUP	B	25,000	20.54	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		TUP	B	25,000	20.79	n/a	n/a	non-brg	4.0
NOMURA CAPITAL	045	TWC	S	1,272	28.05	n/a	4-Jan	50.88	4.0
WASHINGTON ASSET	048	T	S	8,000	25.36	n/a	4-Jan	400.00	5.0
ß BUCK CAPITAL MGMT		WMS	B	25,000	26.00	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		WMS	B	75,000	26.61	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT	001	WRC	B	20,000	27.68	20-Apr	20-Apr	800.00	4.0
ß BUCK CAPITAL MGMT		WRC	B	20,200	28.20	20-Apr	20-Apr	non-brg	1.0
ß BUCK CAPITAL MGMT		WRC	B	9,800	28.35	20-Apr	20-Apr	non-brg	1.5
ß BUCK CAPITAL MGMT		WYNN	SS	45,000	30.01	n/a	n/a	non-brg	1.0
TROUBH PART	067	YHOO	S	25,000	14.54	n/a	n/a	1,250.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>128,454.01</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/20	ROTHSCHILD ASSET	040	BAX	B	550	51.00	n/a	22-Apr	24.75 4.5
AO,	04/20	ROTHSCHILD ASSET	040	DNB	B	350	80.57	n/a	n/a	15.75 4.5
AO,	04/20	ROTHSCHILD ASSET	040	M	B	2,290	12.02	n/a	13-Apr	103.05 4.5
AO,	04/20	ROTHSCHILD ASSET	040	MON	S	26,919	77.98	n/a	2-Apr	1211.37 4.5
AO,	04/20	ROTHSCHILD ASSET	040	PBG	S	3,800	30.38	n/a	n/a	171.00 4.5
AO,	04/20	ROTHSCHILD ASSET	040	UPS	B	830	53.25	n/a	n/a	37.35 4.5
AO,	04/20	ROTHSCHILD ASSET	040	WDC	B	23,481	21.22	n/a	n/a	1056.66 4.5
AO,CRT	04/16	CANTILLON CAPITAL	040	WSH	B	101,000	23.26	n/a	n/a	4040.00 4.0
AO,CXL	04/16	CANTILLON CAPITAL	040	WSH	B	101,000	23.26	n/a	n/a	5050.00 5.0
AO,	04/20	ROTHSCHILD ASSET	040	XOM	S	1,950	65.36	n/a	n/a	87.75 4.5
<b>TOTAL (AO, CXL, CRT) :</b>										<b>1,697.68</b>

TOTAL (Trade Date):	128,454.01
TOTAL (AO, CXL, CRT):	1,697.68



TOTAL (RUN DATE) / NFS:

130,151.69

MRI Securities with Trade Activity on 21-Apr.  
NONE

MRI Securities without Trade Activity on 21-Apr.  
ETN

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 24%  
YTD = 22%

**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)**