



Daily Compliance Activity Report

Trade Date: 01/07/2009

Potential ANALYST TRADE Violations: 0

BCM Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TOKIO MARINE ASSET MGMT	045	APA	B	4,500	83.03	n/a	20-Nov	180.00	4.0
LAGRANGE CAP ADV	048	ARB	S	20,000	16.40	n/a	n/a	1,000.00	5.0
f HARALAMBOS EFSTATHI	FID	ATVI	B	500	8.40	n/a	n/a	0.00	0.0
AMBER CAPITAL	046	BAC	B	100,000	13.96	23-Dec	23-Dec	4,000.00	4.0
B BUCK CAPITAL MGMT		BARE	B	18,000	5.07	n/a	n/a	non-brg	1.0
ROARING BLUE LION MGMT	012	BBT	B	4,300	23.77	n/a	n/a	172.00	4.0
THE BOSTON COMPANY	401	BEBE	S	133,850	6.75	n/a	n/a	5,354.00	4.0
COUGAR TRADING	044	BIG	B	10,000	15.22	5-Dec	6-Jan	500.00	5.0
f HARALAMBOS EFSTATHI	FID	BJ	B	300	34.39	n/a	27-Jul	0.00	0.0
AVESTA CAP	229	BKC	B	20,000	23.18	27-Oct	3-Nov	1,000.00	5.0
B BUCK CAPITAL MGMT		BKE+BX[BKE]	SS	2,000	1.62	n/a	n/a	non-brg	300.0
B BUCK CAPITAL MGMT		BKE	S	50,000	20.42	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		BKE	S	75,000	19.98	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		BKE	S	75,000	20.50	n/a	n/a	non-brg	4.0
f JOHN MICHAEL ZOLIDIS	FID	CBK	B	1500	4.60	n/a	6-Jan	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEFF MGMT	035	CBL	S	3,000	8.25	n/a	n/a	240.00	8.0
SYSTEMATIC FINANCIAL MGT	035	CCE	B	114,400	12.17	n/a	n/a	4,004.00	3.5
f MANNY I KORMAN	FID	COFMF	S	30	0.91	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	COH	SS	30,000	21.42	18-Dec	18-Dec	1,200.00	4.0
ß BUCK CAPITAL MGMT		COLM	SS	9,834	34.35	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT	001	CRI	B	50,000	19.23	n/a	n/a	2,000.00	4.0
f KEVIN MICHAEL O'GORM	FID	DDM	S	225	32.80	n/a	n/a	0.00	0.0
HOLLIS CAPITAL	033	DE	B	5,000	42.86	8-Dec	8-Dec	250.00	5.0
ß BUCK CAPITAL MGMT		DIA	SS	80,900	87.56	n/a	n/a	non-brg	1.0
f MANNY I KORMAN	FID	DKSMR	S	40	0.21	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	DKS	B	24,500	14.52	7-Oct	12-Dec	980.00	4.0
ß BUCK CAPITAL MGMT		DLTR	C	129,600	41.84	n/a	6-Jan	non-brg	4.0
f MANNY I KORMAN	FID	DVMJ	S	40	0.90	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	DWNCS	S	20	2.25	n/a	n/a	0.00	0.0
f HARALAMBOS EFSTATHI	FID	DXO	S	5000	3.24	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	KEVIN MICHAEL O'GORM	FID	DXO	S	9000	3.33	n/a	n/a	0.00	0.0
	BRIGADE CAPITAL MGMT	029	FCH	B	25,000	1.95	n/a	n/a	750.00	3.0
	TRELLUS PARTNERS LP	028	FDO	SS	40,000	27.56	7-Jan	7-Jan	2,000.00	5.0
ß	BUCK CAPITAL MGMT		GES+BW[GES]	SS	1,000	1.02	n/a	n/a	non-brg	300.0
	BUCK CAPITAL MGMT	001	GES	S	45,000	15.77	n/a	n/a	1,800.00	4.0
ß	BUCK CAPITAL MGMT		GES	S	25,000	16.10	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		GES	S	280,000	15.97	n/a	n/a	non-brg	2.0
ß	BUCK CAPITAL MGMT		GES	S	50,000	16.01	n/a	n/a	non-brg	1.5
	SIGMA CAPITAL ASSOCIATES	237	GPS	S	50,000	13.75	n/a	6-Jan	2,500.00	5.0
	BUCK CAPITAL MGMT	001	HBI	S	50,000	13.31	n/a	n/a	2,000.00	4.0
ß	BUCK CAPITAL MGMT		HBI	S	50,000	13.39	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		HIBB	C	43,247	17.06	n/a	n/a	non-brg	4.0
	BMO NESBITT BURNS	041	IDEV	B	20,000	5.32	n/a	n/a	600.00	3.0
ß	BUCK CAPITAL MGMT		JCG	S	105,000	11.91	n/a	6-Jan	non-brg	4.0
ß	BUCK CAPITAL MGMT		JCG	S	50,400	12.31	n/a	6-Jan	non-brg	1.5
	BUCK CAPITAL MGMT	001	JCP	B	500,000	21.75	17-Nov	6-Jan	20,000.00	4.0
ß	BUCK CAPITAL MGMT		JCP	C	100,000	21.49	17-Nov	6-Jan	non-brg	4.0
	UBS OCONNOR	031	JEF	SS	30,100	14.35	n/a	n/a	903.00	3.0
ß	BUCK CAPITAL MGMT		JNY	S	50,000	6.02	n/a	30-Oct	non-brg	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f FRANCIS MICHAEL MCCA	FID	JWN	S	200	15.26	14-Nov	6-Jan	0.00	0.0
B BUCK CAPITAL MGMT		KSS	B	70,000	37.59	n/a	6-Jan	non-brg	4.0
COUGAR TRADING	044	KSS	S	2,500	37.32	n/a	6-Jan	125.00	5.0
UBS OCONNOR	031	LAZ	B	50,000	27.47	n/a	n/a	1,500.00	3.0
BARROW HANLEY MEWHINNEY	031	LM	B	144,300	24.14	29-Oct	5-Jan	5,772.00	4.0
HUNTER GLOBAL INVESTOR	067	LNN	B	13,800	36.37	n/a	n/a	690.00	5.0
PROSPECTOR PARTNERS LLC	036	LZ	B	10,000	37.32	n/a	n/a	400.00	4.0
TOKIO MARINE ASSET MGMT	045	MCD	B	9,800	61.88	13-Oct	5-Jan	392.00	4.0
ROSEDALE CAPITAL	046	MSFT	B	15,000	19.72	n/a	3-Apr	750.00	5.0
B BUCK CAPITAL MGMT		MSM	S	19,100	35.38	n/a	n/a	non-brg	4.0
PROSPECTOR PARTNERS LLC	036	MWV	B	20,000	12.44	15-Dec	15-Dec	800.00	4.0
COUGAR TRADING	044	M	B	5,000	11.73	12-Aug	6-Jan	250.00	5.0
f MANNY I KORMAN	FID	NDNMB	S	80	0.20	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	NKE	B	30,000	50.67	n/a	n/a	1,200.00	4.0
PILOT ROCK	028	NSC	SS	100,000	47.63	n/a	n/a	4,000.00	4.0
TOKIO MARINE ASSET MGMT	045	OXY	B	16,600	58.85	n/a	n/a	664.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRELLUS PARTNERS LP	028	PAG	SS	15,000	9.08	n/a	23-Dec	450.00	3.0
TRELLUS PARTNERS LP	028	PCAR	SS	20,000	31.80	20-Nov	30-Dec	1,000.00	5.0
Ⓕ BUCK CAPITAL MGMT		PFCB	SS	60,000	21.71	8-Jan	14-Nov	non-brg	4.0
Ⓕ BUCK CAPITAL MGMT		PLCE	S	50,000	22.03	6-Jan	6-Jan	non-brg	2.0
Ⓕ NEIL M STRATTON	FID	PRXI	S	1950	1.10	n/a	n/a	0.00	0.0
Ⓕ BUCK CAPITAL MGMT		PVH+BX[PVH]	SS	2,000	1.21	n/a	n/a	non-brg	300.0
COUGAR TRADING	044	PVH	SS	5,000	21.53	18-Dec	18-Dec	250.00	5.0
HUNTER GLOBAL INVESTOR	067	RJF	B	27,100	18.53	n/a	n/a	1,084.00	4.0
Ⓕ BUCK CAPITAL MGMT		RL+PG[RL]	SS	2,000	2.06	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	RNT	B	50,000	26.70	n/a	n/a	2,000.00	4.0
GREENLIGHT CAPITAL	041	SHLD	S	38,753	40.47	n/a	n/a	1,937.65	5.0
Ⓕ BUCK CAPITAL MGMT		SHOO	SS	20,000	21.05	n/a	n/a	non-brg	2.5
Ⓕ JOSEPH CIRO AMATURO	FID	SLV	S	2000	10.79	n/a	n/a	0.00	0.0
HUNTER GLOBAL INVESTOR	067	SO	S	46,300	35.75	n/a	n/a	2,315.00	5.0
Ⓕ ROBERT F CROWLEY JR	FID	SPRXX	B	150000	1.00	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		SPY	SS	78,600	90.54	n/a	n/a	non-brg	1.0
COUGAR TRADING	044	SSI	B	5,000	7.89	n/a	7-Jan	200.00	4.0
LATEFF MGMT	035	SYX	S	2,000	24.50	n/a	24-Apr	300.00	15.0
BUCK CAPITAL MGMT	001	TGT	B	190,400	37.98	17-Nov	6-Jan	7,616.00	4.0
HARVEST MGMT	039	TGT	B	15,000	37.84	17-Nov	6-Jan	750.00	5.0
f MARC PAUL LUCHANSKY	FID	TGT	B	500	37.86	17-Nov	6-Jan	0.00	0.0
TRELLUS PARTNERS LP	028	TGT	SS	10,000	38.28	17-Nov	6-Jan	500.00	5.0
COUGAR TRADING	044	TJX	B	10,000	21.85	11-Aug	6-Jan	500.00	5.0
WEINTRAUB CAPITAL MGT.	040	TROW	SS	15,000	35.29	19-Sep	5-Jan	600.00	4.0
B BUCK CAPITAL MGMT		TSCO	C	118,025	32.77	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		TSCO	C	25,000	32.50	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		TSCO	C	6,975	32.43	n/a	n/a	non-brg	1.5
B BUCK CAPITAL MGMT		TUY+CX[PLCE]	SS	2,000	2.93	n/a	n/a	non-brg	300.0
f NICOLAS EVAN PAKLER	FID	TZA	B	21	45.72	n/a	n/a	0.00	0.0
f IAN L MILLER	FID	USOBH	B	5	1.80	n/a	n/a	0.00	0.0
LAGRANGE CAP ADV	048	UYG	B	20,000	5.69	n/a	n/a	1,000.00	5.0
MILLENIUUM PARTNERS	028	WMT	B	19,000	55.64	10-Oct	6-Jan	950.00	5.0
B BUCK CAPITAL MGMT		WRC+BX[WRC]	SS	950	1.07	n/a	n/a	non-brg	300.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TOKIO MARINE ASSET MGMT	045	XOM	B	8,400	78.89	n/a	n/a	336.00	4.0
CHARTER OAK	033	XTO	SS	66,700	38.96	n/a	n/a	3,335.00	5.0
PRINCIPLE CAPITAL	040	YUM	SS	26,200	31.89	14-Aug	10-Dec	786.00	3.0
TOTAL (Trade Date):								93,885.65	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/06	IVORY CAPITAL	034	MU	S	1,912,756	3.47	n/a	n/a	9563.78 0.5
AO,	01/06	RAMIUS CAP	040	TMTA	B	50,000	18.64	n/a	n/a	1500.00 3.0
AO,CXL	01/06	JMP ASSET MGMT	210	WSM	B	10,000	8.90	n/a	n/a	400.00 4.0
AO,CRT	01/06	JMP ASSET MGMT	210	WSM	B	10,000	8.90	n/a	n/a	300.00 3.0
TOTAL (AO, CXL, CRT) :										10,963.78

TOTAL (Trade Date) :	93,885.65
TOTAL (AO, CXL, CRT) :	10,963.78

TOTAL (RUN DATE) / NFS:	104,849.43
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MRI Securities with Trade Activity on 7-Jan.

FDO

MRI Securities without Trade Activity on 7-Jan.

ETN

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

T-Date = 34%

YTD = 31%

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)