



Daily Compliance Activity Report

Trade Date: 04/22/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		AAPL	S	5,000	121.41	n/a	n/a	non-brg	1.0
NEWCASTLE FUNDS	033	AEO	B	50,000	15.73	20-Apr	20-Apr	2,000.00	4.0
COUGAR TRADING	044	ALV	B	5,000	24.00	12-Mar	22-Apr	250.00	5.0
DSG CAPITAL	225	ALV	SS	20,000	23.36	12-Mar	22-Apr	1,000.00	5.0
SCOPUS FUND	041	ALV	B	25,000	24.29	12-Mar	22-Apr	1,250.00	5.0
HUNTER GLOBAL INVESTOR	067	AME	B	60,000	32.68	n/a	n/a	3,000.00	5.0
B BUCK CAPITAL MGMT		ANF	C	130,000	24.97	16-Apr	16-Apr	non-brg	4.0
HUNTER GLOBAL INVESTOR	067	ARG	B	6,300	39.62	23-Mar	23-Mar	315.00	5.0
HOLDEN CAPITAL MGMT	035	AUO	B	50,000	10.59	n/a	n/a	2,500.00	5.0
HUNTER GLOBAL INVESTOR	067	AVB	B	8,900	56.46	n/a	n/a	445.00	5.0
AVESTA CAP	229	BBY	S	25,000	40.79	n/a	27-Jul	1,000.00	4.0
BALYASNY ASSET MGMT	044	BIG	C	30,000	26.89	4-Mar	6-Apr	1,500.00	5.0
BUCK CAPITAL MGMT	001	BIG	B	20,000	26.44	4-Mar	6-Apr	800.00	4.0
BRENCOURT	028	BWA	SS	50,000	26.09	12-Mar	20-Apr	2,500.00	5.0
COUGAR TRADING	044	BWA	B	5,000	25.59	12-Mar	20-Apr	250.00	5.0
B BUCK CAPITAL MGMT		BYI	B	10,000	25.15	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		BYI	S	10,000	24.75	n/a	n/a	non-brg	4.0
f ALEXANDER PRYLUCKI	FID	CAL	S	350	13.79	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		CAL	S	20,000	15.30	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		CAL	S	95,000	15.02	n/a	n/a	non-brg	4.0
CATAPULT	040	CAT	S	60,698	32.74	n/a	22-Apr	3,034.90	5.0
COLUMBIA PARTNERS	028	CHS	C	50,000	7.86	5-Dec	30-Jan	1,500.00	3.0
⌘ BUCK CAPITAL MGMT		CMG	C	50,000	84.02	17-Apr	21-Apr	non-brg	4.0
TROUBH PART	067	COH	B	600	22.05	9-Jan	22-Apr	30.00	5.0
MIFD	256	COH	B	51,258	21.27	9-Jan	22-Apr	2,050.32	4.0
SIGMA CAPITAL ASSOCIATES	041	COST	B	75,000	46.54	n/a	27-Jul	3,750.00	5.0
BUCK CAPITAL MGMT	001	CRI	B	50,000	22.13	n/a	n/a	2,000.00	4.0
⌘ BUCK CAPITAL MGMT		CTX	S	64,900	11.04	n/a	n/a	non-brg	4.0
STELLIAM INV ADV	040	DAL	S	50,000	7.91	n/a	n/a	2,500.00	5.0
HUNTER GLOBAL INVESTOR	067	DDR	B	100,000	3.05	n/a	n/a	2,000.00	2.0
⌘ BUCK CAPITAL MGMT		DECK	S	20,000	62.92	n/a	n/a	non-brg	4.0
JP MORGAN VENTURES	046	DKS	B	50,000	19.88	24-Mar	24-Mar	2,500.00	5.0
HUNTER GLOBAL INVESTOR	067	DLR	B	6,900	36.06	n/a	n/a	345.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		DPZ	B	10,000	7.64	n/a	24-Apr	non-brg	1.0
ß BUCK CAPITAL MGMT		DPZ	B	105,000	7.92	n/a	24-Apr	non-brg	3.0
ß BUCK CAPITAL MGMT		DPZ	B	15,000	7.90	n/a	24-Apr	non-brg	1.0
ß BUCK CAPITAL MGMT		DPZ	B	20,000	7.57	n/a	24-Apr	non-brg	3.0
ß BUCK CAPITAL MGMT		DPZ	B	20,000	7.68	n/a	24-Apr	non-brg	3.0
ß BUCK CAPITAL MGMT		DRI	C	20,000	40.11	19-Mar	19-Mar	non-brg	4.0
ß BUCK CAPITAL MGMT		EAT	C	100,000	19.30	n/a	24-Apr	non-brg	4.0
f ANTHONY NG	FID	ETFC	B	1000	2.61	n/a	n/a	0.00	0.0
f ALEXANDRA ELISE ZOLI	FID	ETH	B	450	11.66	n/a	n/a	0.00	0.0
PHILADELPHIA FINANCIAL	033	EVR	S	6,300	16.52	n/a	n/a	252.00	4.0
f SCOTT L BRUNNER	FID	FAZ	B	10000	9.28	n/a	n/a	0.00	0.0
f SCOTT L BRUNNER	FID	FAZ	S	17000	8.79	n/a	n/a	0.00	0.0
f WILLIAM J GAULT	FID	FAZ	S	20000	8.80	n/a	n/a	0.00	0.0
HUNTER GLOBAL INVESTOR	067	FDO	B	125,000	33.89	5-Mar	8-Apr	6,250.00	5.0
SCOPUS FUND	041	FDO	SS	30,000	34.11	5-Mar	8-Apr	1,500.00	5.0
VENTANA CAPITAL	060	FDO	S	7,500	33.40	5-Mar	8-Apr	225.00	3.0
&LBACENTRP	AC*	FDRXX	S	10,323	1.00	n/a	n/a	0.00	0.0
HUNTER GLOBAL INVESTOR	067	FDS	B	5,100	49.40	n/a	n/a	255.00	5.0
BALYASNY ASSET MGMT	044	FOSL	S	20,000	19.08	23-Jan	30-Jan	1,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NOMURA CAPITAL	045	F	B	1	4.32	n/a	20-Apr	0.00	0.0
1798 CAPITAL MGMT	040	GES	B	10,000	25.19	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		GIL	B	100,000	12.77	11-Dec	14-Apr	non-brg	4.0
COUGAR TRADING	044	GNTX	B	10,000	12.56	30-Jan	20-Apr	500.00	5.0
f RAGHAV NAYAR	FID	GWGI	B	1000	0.27	n/a	n/a	0.00	0.0
HUNTER GLOBAL INVESTOR	067	GWW	B	25,200	79.94	n/a	14-Apr	1,260.00	5.0
THOMSON HORSTMAN BRYANT	040	GYMB	S	15,000	32.91	9-Apr	13-Apr	750.00	5.0
B BUCK CAPITAL MGMT		HBI	B	50,000	13.62	n/a	n/a	non-brg	4.0
WAGONHOUND/NIC	048	HSC	B	11,325	27.01	29-Jan	16-Apr	453.00	4.0
MILLENIUUM PARTNERS	028	IP	B	20,000	9.00	n/a	20-Apr	1,000.00	5.0
HUNTER GLOBAL INVESTOR	067	IR	S	243,500	19.55	n/a	n/a	9,740.00	4.0
MILLENIUUM PARTNERS	028	IR	S	25,000	18.04	n/a	n/a	1,250.00	5.0
TROUBH PART	067	IR	SS	30,000	19.81	n/a	n/a	1,500.00	5.0
WAGONHOUND/NIC	048	JCI	B	5,655	17.90	22-Apr	22-Apr	226.20	4.0
BUCK CAPITAL MGMT	001	JCP	B	50,000	27.99	13-Apr	13-Apr	2,000.00	4.0
f ROBERT M DANIELS	FID	KEG	B	200	4.69	14-Jan	3-Apr	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HUNTER GLOBAL INVESTOR	067	LHO	B	28,100	9.11	n/a	n/a	983.50	3.5
HUNTER GLOBAL INVESTOR	067	LMT	B	13,200	75.88	n/a	n/a	660.00	5.0
DAWSON SANBERG & CO	041	LOW	B	322,400	21.44	31-Mar	31-Mar	16,120.00	5.0
HUNTER GLOBAL INVESTOR	067	LRY	B	10,700	23.62	n/a	n/a	535.00	5.0
B BUCK CAPITAL MGMT		LTD	B	50,000	10.98	8-Jan	30-Jan	non-brg	4.0
GLOBAL 56 LLC	060	LYV	B	2,500	4.12	n/a	n/a	100.00	4.0
SUFFOLK CAPITAL MGMT	040	MCD	B	107,000	54.95	n/a	22-Apr	4,280.00	4.0
B BUCK CAPITAL MGMT		MDTL	C	5,726	0.37	n/a	n/a	non-brg	1.0
BRENCOURT	028	MGA	SS	50,000	36.08	n/a	n/a	2,500.00	5.0
TRELLUS PARTNERS LP	028	MGA	SS	5,000	36.06	n/a	n/a	250.00	5.0
SYSTEMATIC FINANCIAL MGT	035	MHP	B	44,700	28.23	n/a	n/a	1,564.50	3.5
DALTON GREINER	012	MLI	S	15,485	22.98	n/a	22-Apr	774.25	5.0
NEWCASTLE FUNDS	033	MMM	C	28,200	53.86	n/a	17-Mar	1,128.00	4.0
f DAVID GEORGE BUCK	FID	MO	S	7000	17.00	n/a	n/a	0.00	0.0
HUNTER GLOBAL INVESTOR	067	MT	B	35,000	27.04	n/a	n/a	1,750.00	5.0
B BUCK CAPITAL MGMT		MW+TC [MW]	SS	2,000	1.33	n/a	n/a	non-brg	300.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f	EDWARD W WHEELER	FID	MWA	B	10000	3.76	n/a	4-Feb	0.00	0.0
	CATAPULT	040	MWV	B	25,000	14.45	28-Jan	20-Apr	1,250.00	5.0
	BUCK CAPITAL MGMT	001	M	S	9,523	12.96	n/a	13-Apr	380.92	4.0
	STADIA CAPITAL	035	M	B	25,000	12.96	n/a	13-Apr	1,000.00	4.0
	JMP ASSET MGMT	210	NFLX	S	3,200	48.80	n/a	n/a	160.00	5.0
	CUMBERLAND	038	NSC	SS	50,000	36.07	n/a	n/a	2,000.00	4.0
	DIAMONDBACK CAP MGMT	232	NVLS	B	150,000	18.24	n/a	n/a	7,500.00	5.0
	HUNTER GLOBAL INVESTOR	067	OFC	B	8,600	28.60	n/a	n/a	430.00	5.0
	BUCK CAPITAL MGMT	001	OMX	B	100,000	6.18	n/a	15-Apr	3,000.00	3.0
	BUCK CAPITAL MGMT	001	PAG	B	50,000	11.75	n/a	20-Apr	2,000.00	4.0
	SCOPUS FUND	041	PAG	B	10,000	11.71	n/a	20-Apr	500.00	5.0
	TRELLUS PARTNERS LP	028	PCAR	SS	5,000	33.82	25-Mar	25-Mar	250.00	5.0
	HUNTER GLOBAL INVESTOR	067	PCP	B	3,700	67.39	n/a	n/a	185.00	5.0
	COOPER CREEK PART	028	PDS	B	15,000	4.49	n/a	n/a	300.00	2.0
B	BUCK CAPITAL MGMT		PFCB	C	50,000	32.63	17-Apr	22-Apr	non-brg	1.0
	MILLRACE FUND LP	028	PFCB	SS	10,000	33.54	17-Apr	22-Apr	400.00	4.0
	RAMIUS CAP	040	PFCB	S	37,500	32.31	17-Apr	22-Apr	1,500.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO NESBITT BURNS	041	PKG	SS	25,000	16.00	8-Apr	21-Apr	1,250.00	5.0
GALT INVESTMENT	041	PLCE	S	10,000	27.87	19-Mar	13-Apr	500.00	5.0
NEUBERGER BERMAN	036	PLD	S	69,000	7.43	n/a	n/a	2,070.00	3.0
CANTILLON CAPITAL	040	PM	S	90,000	36.78	n/a	n/a	3,600.00	4.0
HUNTER GLOBAL INVESTOR	067	PSA	B	4,000	62.33	n/a	n/a	200.00	5.0
B BUCK CAPITAL MGMT		QUK+EM[DECK]	SS	500	3.95	n/a	n/a	non-brg	300.0
FIRST NEW YORK LEDDY	035	Q	S	20,000	3.55	n/a	n/a	1,200.00	6.0
HUNTER GLOBAL INVESTOR	067	REG	B	6,800	37.31	n/a	n/a	340.00	5.0
NORTHPOINT	030	RFMD	B	14,360	2.81	n/a	n/a	430.80	3.0
BUCK CAPITAL MGMT	001	RL	SS	50,000	53.29	n/a	16-Apr	2,000.00	4.0
JMP ASSET MGMT	210	RSH	S	36,712	10.97	n/a	n/a	1,835.60	5.0
COUGAR TRADING	044	SBUX	B	10,000	12.18	20-Apr	20-Apr	500.00	5.0
SCOGGIN CAP	039	SGP	B	132,000	21.78	n/a	n/a	3,960.00	3.0
BUCK CAPITAL MGMT	001	SKX	B	50,000	8.81	n/a	13-Mar	1,500.00	3.0
B BUCK CAPITAL MGMT		SMG	B	12,500	37.69	5-Feb	15-Apr	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		SMG	B	37,500	37.75	5-Feb	15-Apr	non-brg	4.0
f DAVID GEORGE BUCK	FID	SMG	B	3000	38.28	5-Feb	15-Apr	0.00	0.0
STELLIAM INV ADV	040	SNDK	S	25,000	15.38	n/a	n/a	1,250.00	5.0
f EDWARD W WHEELER	FID	SPNC	B	5200	3.50	n/a	n/a	0.00	0.0
RDK CAPITAL MGMT	034	SPY	SS	20,000	84.18	n/a	n/a	800.00	4.0
B BUCK CAPITAL MGMT		SUMR	B	121,100	1.59	n/a	n/a	non-brg	1.5
B BUCK CAPITAL MGMT		SUMR	B	22,925	1.86	n/a	n/a	non-brg	1.0
TRELLUS PARTNERS LP	028	SUP	SS	5,000	14.92	27-Feb	27-Feb	250.00	5.0
f ALANA J A MADIGAN-SI	FID	SWN	S	90	33.14	27-Feb	21-Apr	0.00	0.0
f ANDREW SINCLAIR	FID	SWN	S	410	33.03	27-Feb	21-Apr	0.00	0.0
ELM RIDGE ADVISORS	044	TIN	S	433,500	9.37	5-Dec	22-Apr	13,005.00	3.0
MILLENIUM PARTNERS	028	TIN	S	25,000	9.32	5-Dec	22-Apr	1,250.00	5.0
NWQ INVESTMENT MGMT CO	048	TIN	S	218,750	8.82	5-Dec	22-Apr	6,562.50	3.0
SLS CAPITAL LLC	224	TIN	B	50,000	9.48	5-Dec	22-Apr	1,500.00	3.0
WASHINGTON ASSET	048	TIN	S	8,000	9.29	5-Dec	22-Apr	400.00	5.0
LISTED ERR	099	TIN	B	75,000	9.18	5-Dec	22-Apr	0.00	0.0
LISTED ERR	099	TIN	S	75,000	8.82	5-Dec	22-Apr	0.00	0.0
CANTILLON CAPITAL	040	TMO	S	100,000	35.40	n/a	n/a	4,000.00	4.0
BALYASNY ASSET MGMT	044	TROW	C	10,000	37.16	n/a	22-Apr	500.00	5.0
GRUBER MACBAINE	033	TROW	SS	40,000	37.52	n/a	22-Apr	1,600.00	4.0
AELTUS/ING IVESTMENT MGT	215	TRV	B	29,900	41.25	n/a	n/a	1,046.50	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		TUP	S	50,000	25.31	n/a	n/a	non-brg	4.0
ALEXANDER PRYLUCKI	FID	UAUA	S	650	6.36	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		UA	B	50,000	20.84	n/a	16-Apr	non-brg	4.0
BUCK CAPITAL MGMT		UA	S	50,000	20.88	n/a	16-Apr	non-brg	4.0
COOPER CREEK PART	028	ULTA	B	5,800	8.53	n/a	n/a	174.00	3.0
BUCK CAPITAL MGMT		URBN	B	50,000	17.83	n/a	30-Jan	non-brg	4.0
HUNTER GLOBAL INVESTOR	067	VMC	B	9,900	50.14	n/a	n/a	495.00	5.0
CAXTON PART	040	WFC	B	69,699	19.24	n/a	n/a	2,439.51	3.5
NATIONAL BK OF CAN	031	WFC	B	100,000	19.97	n/a	n/a	4,000.00	4.0
NATIONAL BK OF CAN	031	WFC	SS	100,000	20.29	n/a	n/a	4,000.00	4.0
BUCK CAPITAL MGMT		WFMI	C	100,000	18.38	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		WMS	S	25,000	29.93	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		WMS	S	75,000	29.31	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		WMT	S	20,000	48.90	n/a	9-Apr	non-brg	4.0
BUCK CAPITAL MGMT		WSM	C	100,000	13.81	n/a	n/a	non-brg	4.0
CHRISTOPHER ARTHUR K	FID	WWE	B	1000	11.00	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		WYNN	C	10,000	33.39	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		WYNN	C	30,000	33.33	n/a	n/a	non-brg	4.0
OSS CAPITAL/KEVIN DANN	067	WYN	S	250,000	8.54	n/a	n/a	7,500.00	3.0
AVESTA CAP	229	XOM	SS	24,700	65.23	n/a	n/a	988.00	4.0
B BUCK CAPITAL MGMT		XRT	SS	600,000	26.54	n/a	n/a	non-brg	1.0
TROUBH PART	067	XTO	S	25,000	33.20	n/a	n/a	1,250.00	5.0
WAGONHOUND/NIC	048	XTO	S	2,529	32.92	n/a	n/a	101.16	4.0
f IAN L MILLER	FID	X	S	10	28.95	n/a	n/a	0.00	0.0
THIRD POINT MGMT	044	YHOO	B	250,000	15.02	n/a	n/a	10,000.00	4.0
HUNTER GLOBAL INVESTOR	067	YUM	B	100,000	32.37	n/a	22-Apr	5,000.00	5.0
TOTAL (Trade Date) :								204,180.66	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/21	PHILADELPHIA FINANCIAL	033	EVR	B	5,100	14.50	n/a	n/a	255.00 5.0
AO,CXL	04/21	NOMURA CAPITAL	045	TWC	S	995	28.05	n/a	4-Jan	39.80 4.0
AO,CRT	04/21	NOMURA CAPITAL	045	TWC	S	995	28.05	n/a	4-Jan	39.80 4.0
AO,CRT	04/17	CANTILLON CAPITAL	040	WSH	B	88,800	23.78	n/a	n/a	3552.00 4.0
AO,CXL	04/17	CANTILLON CAPITAL	040	WSH	B	88,800	23.78	n/a	n/a	4440.00 5.0

TOTAL (AO, CXL, CRT) :	-633.00
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TOTAL (Trade Date) :	204,180.66
TOTAL (AO, CXL, CRT) :	-633.00

TOTAL (RUN DATE) / NFS:	203,547.66
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MRI Securities with Trade Activity on 22-Apr. JCI

MRI Securities without Trade Activity on 22-Apr. BK, FRX, NTRS, RCL

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

T-Date = 16%
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)