



Daily Compliance Activity Report

Trade Date: 09/04/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f DAVID GEORGE BUCK	FID	ABII	B	1200	25.75	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		AEO	B	375,000	14.77	25-Jun	4-Sep	non-brg	4.0
STELLIAM INV ADV	034	AMAT	B	25,000	13.30	n/a	n/a	1,250.00	5.0
B BUCK CAPITAL MGMT		AMWD	B	2,500	19.31	n/a	n/a	non-brg	2.5
GREEN ARROW DOUG	040	AVP	S	15,000	30.35	3-Aug	3-Aug	750.00	5.0
LAGRANGE CAP ADV	048	AXL	B	10,000	5.73	19-Aug	2-Sep	500.00	5.0
STADIA CAPITAL	035	BEN	B	14,900	92.81	4-Sep	4-Sep	596.00	4.0
B BUCK CAPITAL MGMT		BONT	B	84,626	7.79	n/a	6-Feb	non-brg	2.5
GREEN ARROW DOUG	040	BYD	SS	25,000	9.60	n/a	7-Aug	1,250.00	5.0
B BUCK CAPITAL MGMT		CHRS	S	20,000	4.94	n/a	22-Mar	non-brg	0.8
f DAVID GEORGE BUCK	FID	CL	B	600	70.82	3-Aug	3-Aug	0.00	0.0
B BUCK CAPITAL MGMT		COLM	C	5,000	39.17	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		COST	C	50,000	54.97	n/a	27-Jul	non-brg	0.8
f HARALAMBOS EFSTATHI	FID	CROX	B	700	6.44	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f HARALAMBOS EFSTATHI	FID	CYPB	B	700	7.26	n/a	n/a	0.00	0.0
GREEN ARROW DOUG	040	DECK	S	5,000	63.14	n/a	n/a	250.00	5.0
f JOHN MICHAEL ZOLIDIS	FID	DIS	B	150	25.95	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	DPZ	B	20,000	8.03	n/a	24-Apr	600.00	3.0
LAGRANGE CAP ADV	048	DTG	SS	20,000	21.13	n/a	n/a	1,000.00	5.0
f HARALAMBOS EFSTATHI	FID	DXO	S	3000	3.97	n/a	n/a	0.00	0.0
UBS OCONNOR	031	FII	B	40,000	25.19	3-Aug	2-Sep	1,200.00	3.0
PILOT ADV	038	FL	B	50,000	10.73	27-Aug	27-Aug	2,000.00	4.0
EMERSON CAPITAL MGMT	048	GE	SS	7,000	13.83	n/a	n/a	280.00	4.0
SCOPUS FUND	041	GE	B	100,000	13.44	n/a	n/a	5,000.00	5.0
f HARALAMBOS EFSTATHI	FID	GME	B	200	23.71	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		GRMN	C	30,000	32.61	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	IFLO	B	3000	8.81	n/a	n/a	0.00	0.0
ARMATURE CAPITAL	041	IP	S	1,000	22.47	14-Aug	14-Aug	40.00	4.0
BAIRD INVESTMENT	047	IVZ	B	28,050	21.12	6-Aug	4-Sep	1,402.50	5.0
TROUBH PART	067	IVZ	B	25,000	21.49	6-Aug	4-Sep	1,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GREEN ARROW DOUG	040	JAH	S	10,000	23.99	n/a	n/a	500.00	5.0
f NEIL M STRATTON	FID	JAVA	S	1000	9.14	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		JOSB	S	60,000	46.91	n/a	n/a	non-brg	0.8
GREEN ARROW DOUG	040	LVS	S	25,000	14.61	14-Aug	26-Aug	1,250.00	5.0
f JOHN MICHAEL ZOLIDIS	FID	LVS	B	800	14.70	14-Aug	26-Aug	0.00	0.0
CATAPULT	040	MMM	SS	25,000	71.15	7-Aug	7-Aug	1,250.00	5.0
TRUSTCO/SUNTRUST	040	MTW	B	167,592	6.82	n/a	7-Aug	6,536.07	3.9
B BUCK CAPITAL MGMT		NTY	S	10,000	37.36	n/a	n/a	non-brg	0.8
T. ROWE PRICE	033	NWL	S	123,400	13.97	n/a	n/a	4,936.00	4.0
f JOHN MICHAEL ZOLIDIS	FID	PSS	S	500	16.00	n/a	n/a	0.00	0.0
HIGHBRIDGE CAPITAL	038	RAI	SS	4,346	45.91	n/a	n/a	217.30	5.0
LAGRANGE CAP ADV	048	SFI	B	35,800	2.02	n/a	n/a	1,074.00	3.0
LAGRANGE CAP ADV	048	SHLD	B	2,000	62.40	n/a	n/a	100.00	5.0
ARMATURE CAPITAL	041	SOA	S	5,000	11.73	n/a	n/a	200.00	4.0
SIGMA CAPITAL ASSOCIATES	041	SPLS	B	25,000	21.32	n/a	27-Jul	1,000.00	4.0
DALTON GREINER	012	SSI	S	23,500	12.55	n/a	4-Sep	1,175.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRUSTCO/SUNTRUST	040	SSI	S	31,700	12.49	n/a	4-Sep	1,236.31	3.9
B BUCK CAPITAL MGMT		SUP	B	8,800	14.14	10-Aug	10-Aug	non-brg	0.8
f NEIL M STRATTON	FID	SUQJA	S	10	0.24	n/a	n/a	0.00	0.0
f STRATTON PAR TNERSHI	FID	SUQJA	S	10	0.24	n/a	n/a	0.00	0.0
PRINCIPLE CAPITAL	040	SVNT	B	30,000	14.64	n/a	n/a	900.00	3.0
B BUCK CAPITAL MGMT		TGT	B	100,000	47.10	3-Sep	3-Sep	non-brg	4.0
TROUBH PART	067	TGT	SS	25,000	46.99	3-Sep	3-Sep	1,250.00	5.0
BMO NESBITT BURNS	041	UFS	B	25,000	35.15	n/a	n/a	1,250.00	5.0
LAGRANGE CAP ADV	048	UFS	SS	5,000	35.18	n/a	n/a	250.00	5.0
MAIRS AND POWER INV	030	VAL	S	20,000	26.20	n/a	n/a	1,000.00	5.0
f JOHN MICHAEL ZOLIDIS	FID	WYNN	B	200	55.47	n/a	26-Aug	0.00	0.0
SCHOTTENFELD ASSOC	041	WY	S	1,700	37.15	n/a	3-Aug	51.00	3.0
LISTED ERR	099	WY	S	2	36.64	n/a	3-Aug	0.00	0.0
MILLENIUUM PARTNERS	028	XHB	SS	26,000	15.03	n/a	n/a	1,040.00	4.0
MILLENIUUM PARTNERS	028	XLP	SS	13,000	24.82	n/a	n/a	520.00	4.0
TOTAL (Trade Date):								43,104.18	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/03	PENN CAPITAL	243	AMG	B	2,265	62.93	3-Aug	2-Sep	139.56 13.4
AO,CRT	09/03	PENN CAPITAL	243	AMG	B	2,135	62.93	3-Aug	2-Sep	85.40 4.0
AO,CRT	09/03	SOUTH POINT CAP	067	DTV	B	250,000	24.52	n/a	4-Jan	12500.00 5.0
AO,CXL	09/03	SOUTH POINT CAP	067	DTV	B	250,000	24.52	n/a	4-Jan	7500.00 3.0
AO,CRT	09/03	FARALLON CAP MGMT	040	JAVA	S	585,900	9.13	n/a	n/a	11718.00 2.0
AO,CXL	09/03	FARALLON CAP MGMT	040	JAVA	S	585,900	9.13	n/a	n/a	23436.00 4.0
AO,CRT	09/03	BUCK CAPITAL MGMT	001	TLB	SS	20,000	6.41	n/a	30-Jan	600.00 3.0
AO,CXL	09/03	BUCK CAPITAL MGMT	001	TLB	SS	20,000	6.41	n/a	30-Jan	800.00 4.0
AO,	09/03	LISTED ERR	099	WY	B	2	36.49	n/a	3-Aug	0.00 0.0
AO,CRT	09/03	WEINTRAUB CAPITAL MGT.	040	WY	B	173,800	36.49	n/a	3-Aug	6952.00 4.0
AO,CXL	09/03	WEINTRAUB CAPITAL MGT.	040	WY	B	173,802	36.49	n/a	3-Aug	6952.08 4.0
TOTAL (AO, CXL, CRT) :										-6,972.24
TOTAL (Trade Date) :										43,104.18
TOTAL (AO, CXL, CRT) :										-6,972.24
TOTAL (RUN DATE) / NFS :										36,131.94

MRI Securities with Trade Activity on 4-Sep.

BEN

MRI Securities without Trade Activity on 4-Sep.

FDO, JOYG

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

T-Date = 2%

YTD = 21%

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)