



Daily Compliance Activity Report

Trade Date: 06/05/2009

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		AAN	S	30,000	33.11	n/a	n/a	non-brg	4.0
HIGHBRIDGE/MS OLDS	041	ADBE	B	12,608	29.46	n/a	n/a	504.32	4.0
HOLDEN CAPITAL MGMT	035	ALV	B	10,000	29.65	12-Mar	22-Apr	500.00	5.0
BUCK CAPITAL MGMT	001	ANF	B	5,000	27.18	3-Jun	5-Jun	200.00	4.0
GALT INVESTMENT	041	ANF	S	20,733	28.05	3-Jun	5-Jun	1,036.65	5.0
WASHINGTON ASSET	048	APC	S	5,000	48.96	3-Feb	1-Jun	250.00	5.0
f FRANCIS MICHAEL MCCA	FID	AXL	B	2000	2.71	n/a	n/a	0.00	0.0
RAINIER INV MGMT	035	AYE	S	33,750	25.90	n/a	n/a	1,687.50	5.0
LISTED ERR	099	AYE	B	400	25.87	n/a	n/a	0.00	0.0
f ALEXANDER PRYLUCKI	FID	BAC	B	300	12.02	11-May	27-May	0.00	0.0
f FRANCIS MICHAEL MCCA	FID	BAC	B	500	12.12	11-May	27-May	0.00	0.0
f JOSEPH CIRO AMATURO	FID	BAC	B	10000	11.95	11-May	27-May	0.00	0.0
f JOSEPH CIRO AMATURO	FID	BAC	S	10000	12.05	11-May	27-May	0.00	0.0
f MARK MEGALLI	FID	BBI	S	3000	0.97	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	BDN	S	35,400	7.27	n/a	n/a	1,062.00	3.0
f FRANCIS MICHAEL MCCA	FID	BGZ	S	100	32.35	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	BGZ	B	5000	33.34	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	JOSEPH CIRO AMATURO	FID	BGZ	S	5000	33.64	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		BKC	C	112,100	16.71	16-Apr	29-Apr	non-brg	4.0
	STERLING JOHNSTON	035	BONT	B	25,000	4.70	6-Feb	6-Feb	1,000.00	4.0
f	MARK MEGALLI	FID	BPI	S	1000	14.16	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		BWA	C	10,000	34.63	1-May	1-May	non-brg	4.0
	HOLDEN CAPITAL MGMT	035	BWA	B	10,000	35.50	1-May	1-May	500.00	5.0
	STERLING JOHNSTON	035	CAKE	B	10,000	17.67	29-May	29-May	400.00	4.0
B	BUCK CAPITAL MGMT		CCI	B	10,000	23.02	n/a	n/a	non-brg	4.0
f	ALEXANDER PRYLUCKI	FID	CIT	B	450	3.27	23-Apr	3-Jun	0.00	0.0
	GRANAHAN INV	039	CMGB	S	14,150	74.73	n/a	n/a	566.00	4.0
B	BUCK CAPITAL MGMT		CMG	C	10,000	86.21	14-May	14-May	non-brg	1.0
B	BUCK CAPITAL MGMT		CMG	C	80,000	86.74	14-May	14-May	non-brg	4.0
	MADISON ST PARTNERS LLC	046	COV	B	15,000	36.00	n/a	n/a	750.00	5.0
	HIGHBRIDGE/MS OLDS	041	CSCO	B	12,094	19.85	n/a	22-Mar	483.76	4.0
f	ANTHONY NG	FID	CTIC	S	250	1.67	n/a	n/a	0.00	0.0
	DAVIDSON KEMPNER ADVISOR	040	C	B	500,000	3.57	n/a	26-May	15,000.00	3.0
B	BUCK CAPITAL MGMT		DBD	B	20,000	26.25	n/a	5-May	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MARK MEGALLI	FID	DDRX	S	500	18.08	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		DHI	B	20,000	9.51	n/a	n/a	non-brg	3.0
NEUBERGER BERMAN	036	DRE	S	26,300	9.98	n/a	n/a	789.00	3.0
B BUCK CAPITAL MGMT		FOR	B	25,000	12.68	12-Feb	8-May	non-brg	1.0
BUCK CAPITAL MGMT	001	GES	B	20,000	28.63	n/a	n/a	800.00	4.0
f JOHN MICHAEL ZOLIDIS	FID	GES	S	600	29.00	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	GES	S	145	29.00	n/a	n/a	0.00	0.0
STANDARD PACIFIC CAPITAL	040	GIL	SS	75,000	15.67	n/a	14-May	3,750.00	5.0
BRENCOURT	028	GMGMQ	B	125,000	0.97	n/a	n/a	2,500.00	2.0
SIGMA CAPITAL ASSOCIATES	041	GPS	B	50,000	16.53	n/a	30-Jan	2,000.00	4.0
B BUCK CAPITAL MGMT		HGG	B	30,000	15.51	n/a	n/a	non-brg	4.0
NEUBERGER BERMAN	036	HIW	S	28,500	23.75	n/a	n/a	1,282.50	4.5
f MARC PAUL LUCHANSKY	FID	HRS	S	600	31.01	6-May	1-Jun	0.00	0.0
f MANNY I KORMAN	FID	ICON	B	3000	15.33	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		IMAX	S	20,000	7.51	n/a	n/a	non-brg	2.5
f JOSEPH CIRO AMATURO	FID	INTC	S	2000	16.24	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	JCI	B	10,000	22.15	2-Jun	2-Jun	500.00	5.0
SCOPUS FUND	041	JNY	B	25,000	10.40	n/a	30-Apr	1,250.00	5.0
f ANTHONY NG	FID	KEY	B	100	5.43	n/a	n/a	0.00	0.0
f ANTHONY NG	FID	KEY	S	125	5.37	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	KG	B	10000	9.77	n/a	5-Jun	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	KMXJC	S	20	0.90	n/a	n/a	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	KMX	B	500	12.30	n/a	10-Jan	0.00	0.0
THOMAS WEISEL ASSET MGMT	035	KNXA	B	11,485	13.76	n/a	n/a	344.55	3.0
BMO NESBITT BURNS	041	KSS	SS	3,600	46.33	8-May	5-Jun	180.00	5.0
B BUCK CAPITAL MGMT		LEN	B	20,000	8.94	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT	001	LL	B	20,000	15.38	n/a	n/a	800.00	4.0
BMO NESBITT BURNS	041	LPX	S	98,894	4.38	3-Mar	6-May	4,944.70	5.0
B BUCK CAPITAL MGMT		LVS	S	20,000	10.14	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		LVS	S	25,000	10.02	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		MCD	B	100,000	60.04	n/a	4-Jun	non-brg	4.0
B BUCK CAPITAL MGMT		MCD	B	31,100	60.03	n/a	4-Jun	non-brg	4.0
BMO NESBITT BURNS	041	MMM	B	25,000	61.15	4-Jun	4-Jun	1,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	MMM	B	75,000	61.18	4-Jun	4-Jun	3,750.00	5.0
M&I FUNDS	256	MYL	S	49,503	13.61	n/a	5-Jun	1,980.12	4.0
f MANNY I KORMAN	FID	MYL	B	5000	13.59	n/a	5-Jun	0.00	0.0
BARCLEYS CAP (OLD LEHM)	041	M	SS	50,000	12.87	n/a	5-Jun	2,000.00	4.0
AELTUS/ING INVESTMENT MGT	215	NOK	B	20,000	15.37	n/a	n/a	700.00	3.5
B BUCK CAPITAL MGMT		NP	B	13,193	9.32	12-May	12-May	non-brg	2.5
SCOPUS FUND	041	NP	S	10,000	9.21	12-May	12-May	500.00	5.0
SANDLER O'NEILL ASSET	031	NTRS	S	5,249	57.32	22-Apr	19-May	262.45	5.0
MKT MAKER	099	NTRS	B	49	56.51	22-Apr	19-May	0.00	0.0
MKT MAKER	099	NTRS	S	49	57.75	22-Apr	19-May	0.00	0.0
COOPER CREEK PART	028	PAG	SS	10,000	14.77	n/a	6-May	400.00	4.0
EIDELMAN, FINGER & CO	045	PALM	SS	10,000	13.24	n/a	n/a	500.00	5.0
f FRANCIS MICHAEL MCCA	FID	PCAR	S	200	34.47	25-Mar	4-May	0.00	0.0
B BUCK CAPITAL MGMT		PERY	S	10,000	8.72	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		PFCB	C	50,000	33.88	29-May	29-May	non-brg	4.0
B BUCK CAPITAL MGMT		PKG	B	66,500	16.90	8-Apr	21-Apr	non-brg	4.0
B BUCK CAPITAL MGMT		PLCE	B	10,000	30.58	19-Mar	5-Jun	non-brg	4.0
GALT INVESTMENT	041	PLCE	S	15,000	31.09	19-Mar	5-Jun	750.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	PLD	S	28,800	9.31	n/a	n/a	864.00	3.0
CAPITAL GROWTH MGMT.	241	PNC	S	150,000	42.14	n/a	n/a	7,500.00	5.0
f FRANCIS MICHAEL MCCA	FID	PRU	S	200	41.46	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	PSS	B	40,000	14.72	n/a	n/a	1,600.00	4.0
FIRST NEW YORK NICK	029	Q	S	40,000	4.17	n/a	n/a	2,000.00	5.0
ROTHSCHILD ASSET	040	RAH	S	18,270	60.69	n/a	n/a	822.15	4.5
B BUCK CAPITAL MGMT		RYL	B	10,000	17.32	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	SKX	S	25,000	9.84	n/a	13-Mar	750.00	3.0
B BUCK CAPITAL MGMT		SKX	S	10,000	9.82	n/a	13-Mar	non-brg	1.0
B BUCK CAPITAL MGMT		SKX	S	15,000	9.71	n/a	13-Mar	non-brg	1.0
LEVIN CAPITAL STRATEGIES	012	SLM	B	50,000	6.57	23-Apr	3-Jun	2,000.00	4.0
f JOSEPH CIRO AMATURO	FID	SLV	B	10000	14.98	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	SPY	S	1000	94.31	n/a	n/a	0.00	0.0
FRONTPOINT/COPIA-ANDREW	031	SSW	SS	114,700	6.84	n/a	n/a	3,441.00	3.0
LISTED ERR	099	SSW	SS	300	6.88	n/a	n/a	0.00	0.0
f ANDREW SINCLAIR	FID	SZCSG	B	30	0.91	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	TBT	B	1000	56.08	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO NESBITT BURNS	041	TEN	S	50,000	7.31	n/a	n/a	2,500.00	5.0
f MANNY I KORMAN	FID	TEVA	B	2000	48.47	18-Feb	5-Jun	0.00	0.0
B BUCK CAPITAL MGMT		TIN	S	40,000	14.04	5-Jun	5-Jun	non-brg	1.0
B BUCK CAPITAL MGMT		TIN	S	40,000	14.20	5-Jun	5-Jun	non-brg	4.0
DIAMONDBACK CAP MGMT	232	TIN	C	25,000	13.81	5-Jun	5-Jun	1,250.00	5.0
LATEFF MGMT	035	TIN	S	5,000	14.20	5-Jun	5-Jun	400.00	8.0
HIGHBRIDGE/MS OLDS	041	TS	SS	53,000	30.89	n/a	n/a	2,120.00	4.0
f FRANCIS MICHAEL MCCA	FID	TWI	B	600	10.04	n/a	n/a	0.00	0.0
CUMBERLAND	038	UPS	SS	20,000	51.55	n/a	n/a	800.00	4.0
B BUCK CAPITAL MGMT		URBN	B	30,000	21.89	n/a	30-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		VLCM	SS	10,000	13.38	n/a	n/a	non-brg	4.0
f JOSEPH CIRO AMATURO	FID	VMMXX	S	70000	1.00	n/a	n/a	0.00	0.0
f FRANCIS MICHAEL MCCA	FID	WBC	B	300	16.69	n/a	27-Apr	0.00	0.0
AVESTA CAP	229	WMT	S	100,000	51.12	11-May	2-Jun	4,000.00	4.0
LEVIN CAPITAL STRATEGIES	012	WMT	B	100,000	51.17	11-May	2-Jun	4,000.00	4.0
B BUCK CAPITAL MGMT		WRC	S	10,000	35.39	13-May	13-May	non-brg	1.0
B BUCK CAPITAL MGMT		WRC	S	30,000	34.93	13-May	13-May	non-brg	4.0
SCOPUS FUND	041	WRC	B	7,300	34.84	13-May	13-May	365.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		WSO	S	17,000	53.54	n/a	n/a	non-brg	4.0
MADISON ST PARTNERS LLC	046	XLV	SS	25,000	25.69	n/a	n/a	1,250.00	5.0
f ANTHONY NG	FID	XOMA	B	1000	1.08	n/a	n/a	0.00	0.0
TOTAL (Trade Date):							90,835.70		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/04	MISSION GLOBAL LLC	041	CAT	B	10,000	36.98	n/a	22-Apr	500.00 5.0
AO,CRT	06/04	MISSION GLOBAL LLC	041	CAT	B	10,000	36.98	n/a	22-Apr	400.00 4.0
AO,	06/04	MKT MAKER	99	NTRS	B	49	57.15	22-Apr	19-May	0.00 0.0
AO,CXL	06/04	SANDLER O'NEILL ASSET	031	NTRS	S	19,751	57.15	22-Apr	19-May	987.55 5.0
AO,CRT	06/04	SANDLER O'NEILL ASSET	031	NTRS	S	19,751	57.15	22-Apr	19-May	987.55 5.0
AO,CRT	06/04	MISSION GLOBAL LLC	041	ROK	B	12,000	32.28	n/a	n/a	480.00 4.0
AO,CXL	06/04	MISSION GLOBAL LLC	041	ROK	B	12,000	32.28	n/a	n/a	600.00 5.0
AO,	06/04	ROTHSCHILD ASSET	040	VAL	B	40,420	23.66	n/a	n/a	1818.90 4.5

TOTAL (AO, CXL, CRT) :	1,598.90
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TOTAL (Trade Date) :	90,835.70
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TOTAL (AO, CXL, CRT) :	1,598.90
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TOTAL (RUN DATE) / NFS:	92,434.60
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MRI Securities with Trade Activity on 5-Jun.
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TIN

MRI Securities without Trade Activity on 5-Jun.

AB, AMG, BEN, GR, IVZ, LM, PG, PRX, PX, WCRX, WDR

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

T-Date = 11%

YTD = 20%

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)