



# Daily Compliance Activity Report

Trade Date: 09/30/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LAGRANGE CAP ADV	048	ABG	B	10,000	12.75	n/a	31-Jul	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>ADS GR</b>	<b>C</b>	<b>100,000</b>	<b>53.06</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.7</b>
<b>B BUCK CAPITAL MGMT</b>		<b>AEO</b>	<b>B</b>	<b>25,000</b>	<b>16.71</b>	<b>21-Sep</b>	<b>21-Sep</b>	<b>non-brg</b>	<b>4.0</b>
GREEN ARROW CAPITAL	034	AMG	B	10,000	64.70	3-Aug	23-Sep	400.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>AMR</b>	<b>B</b>	<b>20,000</b>	<b>7.90</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
EXIS CAPITAL	044	AMR	S	25,000	7.87	n/a	n/a	0.00	0.0
SOUTH POINT CAP	067	AMSC	B	25,000	32.69	n/a	n/a	1,250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>ANF</b>	<b>B</b>	<b>4,000</b>	<b>32.89</b>	<b>3-Jun</b>	<b>21-Sep</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ANF</b>	<b>B</b>	<b>40,000</b>	<b>32.96</b>	<b>3-Jun</b>	<b>21-Sep</b>	<b>non-brg</b>	<b>4.0</b>
NEWLAND CAPITAL MGT	067	ANW	S	3,300	23.25	n/a	n/a	132.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>AN</b>	<b>B</b>	<b>20,000</b>	<b>17.90</b>	<b>3-Aug</b>	<b>5-Aug</b>	<b>non-brg</b>	<b>4.0</b>
LAGRANGE CAP ADV	048	AN	B	2,686	17.60	3-Aug	5-Aug	134.30	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>AVY</b>	<b>B</b>	<b>8,500</b>	<b>35.86</b>	<b>28-Sep</b>	<b>28-Sep</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>AXL</b>	<b>B</b>	<b>30,000</b>	<b>7.09</b>	<b>18-Sep</b>	<b>18-Sep</b>	<b>non-brg</b>	<b>0.8</b>
DIAMONDBACK CAP MGMT	232	AXP	S	25,000	34.61	24-Sep	30-Sep	1,250.00	5.0
EXIS CAPITAL	044	BBY	B	5,000	37.28	n/a	27-Jul	250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	BKE	S	3,345	34.05	n/a	n/a	167.25	5.0
SAXON WOODS ADVISORS	038	BKE	B	10,600	34.08	n/a	n/a	424.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>BK</b>	<b>B</b>	<b>7,000</b>	<b>28.90</b>	<b>11-May</b>	<b>29-Sep</b>	<b>non-brg</b>	<b>4.0</b>
SCOPUS FUND	041	BUCY	B	15,000	35.55	n/a	27-Jul	750.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>BWA</b>	<b>B</b>	<b>9,700</b>	<b>30.13</b>	<b>3-Aug</b>	<b>24-Aug</b>	<b>non-brg</b>	<b>4.0</b>
NEWCASTLE FUNDS	255	CAB	B	20,000	13.36	n/a	n/a	800.00	4.0
CLOVIS CAPITAL	012	CAT	SS	100,000	50.78	n/a	5-Aug	4,000.00	4.0
CATAPULT	040	CE	SS	25,000	24.83	n/a	n/a	1,250.00	5.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>CFN</b>	<b>S</b>	<b>2500</b>	<b>21.76</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f LEE F BACKUS</b>	<b>FID</b>	<b>CHCG</b>	<b>S</b>	<b>10000</b>	<b>0.57</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>COLM</b>	<b>C</b>	<b>27</b>	<b>40.29</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.7</b>
<b>B BUCK CAPITAL MGMT</b>		<b>COLM</b>	<b>C</b>	<b>32</b>	<b>40.29</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CWTR</b>	<b>B</b>	<b>20,000</b>	<b>8.08</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>C</b>	<b>B</b>	<b>76,000</b>	<b>4.63</b>	<b>17-Sep</b>	<b>21-Sep</b>	<b>non-brg</b>	<b>3.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DECK</b>	<b>S</b>	<b>5,000</b>	<b>84.36</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
EXIS CAPITAL	044	DECK	B	4,439	83.46	n/a	n/a	221.95	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>DHI</b>	<b>B</b>	<b>6,500</b>	<b>11.50</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HUNTER GLOBAL INVESTOR	067	DIS	SS	545,000	27.40	n/a	n/a	27,250.00	5.0
SIGMA CAPITAL ASSOCIATES	041	DLTR	B	25,000	48.59	21-Sep	24-Sep	1,000.00	4.0
IRONBOUND CAPITAL	012	DRI	B	71,000	33.02	17-Sep	30-Sep	2,130.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>DVN</b>	<b>B</b>	<b>1,100</b>	<b>67.10</b>	<b>5-Aug</b>	<b>29-Sep</b>	<b>non-brg</b>	<b>4.0</b>
CONIFER/ISF	025	EMC	S	1,000	17.20	n/a	n/a	50.00	5.0
BMO NESBITT BURNS	041	ENDP	B	3,000	22.31	n/a	30-Sep	90.00	3.0
NEWLAND CAPITAL MGT	067	ENTG	S	25,000	4.93	n/a	n/a	1,000.00	4.0
DIAMONDBACK CAP MGMT	232	EV	C	50,000	28.08	19-May	23-Sep	2,500.00	5.0
BASIX	033	FL	B	32,000	11.99	21-Sep	25-Sep	960.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>FL</b>	<b>B</b>	<b>26,000</b>	<b>11.99</b>	<b>21-Sep</b>	<b>25-Sep</b>	<b>non-brg</b>	<b>4.0</b>
EXIS CAPITAL	044	FL	B	20,000	12.24	21-Sep	25-Sep	1,000.00	5.0
PARTNER REINSURANCE	033	FL	B	32,700	11.91	21-Sep	25-Sep	1,308.00	4.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>FSAGX</b>	<b>B</b>	<b>108</b>	<b>41.61</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>F</b>	<b>B</b>	<b>112,000</b>	<b>7.36</b>	<b>27-Aug</b>	<b>29-Sep</b>	<b>non-brg</b>	<b>3.0</b>
LAGRANGE CAP ADV	048	F	B	20,000	7.26	27-Aug	29-Sep	1,000.00	5.0
OZ MGMT	040	F	S	187,566	7.33	27-Aug	29-Sep	5,626.98	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GCO</b>	<b>B</b>	<b>20,000</b>	<b>24.20</b>	<b>n/a</b>	<b>10-Jan</b>	<b>800.00</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GIL</b>	<b>B</b>	<b>17,000</b>	<b>19.70</b>	<b>21-Sep</b>	<b>21-Sep</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JP MORGAN VENTURES	046	GIS	S	20,000	63.68	n/a	n/a	1,000.00	5.0
⌘ BUCK CAPITAL MGMT		GLW	B	30,000	15.28	27-Jul	22-Sep	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GME	B	10,000	26.43	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GPS	B	9,800	21.29	n/a	30-Jan	non-brg	4.0
EXIS CAPITAL	044	GYMB	S	5,000	48.25	21-Sep	21-Sep	250.00	5.0
⌘ BUCK CAPITAL MGMT		HD	B	7,600	26.45	10-Aug	2-Sep	non-brg	4.0
⌘ BUCK CAPITAL MGMT		HK	B	8,800	24.12	n/a	n/a	non-brg	0.8
⌘ BUCK CAPITAL MGMT		IVZ	B	29,000	22.54	6-Aug	24-Sep	non-brg	4.0
SANDLER O'NEILL ASSET	031	IVZ	B	1,100	22.56	6-Aug	24-Sep	55.00	5.0
⌘ BUCK CAPITAL MGMT		IWM	SS	5,000	60.40	n/a	n/a	non-brg	0.8
CLOVIS CAPITAL	012	IWM	B	250,000	59.85	n/a	n/a	10,000.00	4.0
CUMBERLAND	038	IWM	B	30,000	60.05	n/a	n/a	900.00	3.0
EXIS CAPITAL	044	JCG	S	5,000	35.66	n/a	30-Jan	250.00	5.0
HUNTER GLOBAL INVESTOR	067	JNJ	SS	246,000	60.82	n/a	22-Apr	12,300.00	5.0
⌘ BUCK CAPITAL MGMT		JNS	B	54,700	14.01	16-Sep	23-Sep	non-brg	4.0
EXIS CAPITAL	044	JWN	B	5,000	30.14	n/a	23-Sep	250.00	5.0
JP MORGAN VENTURES	046	JWN	S	40,000	30.39	n/a	23-Sep	2,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	KCP	S	20,000	10.19	n/a	28-Sep	800.00	4.0
ß BUCK CAPITAL MGMT		KMT	B	6,000	24.17	30-Jul	30-Jul	non-brg	0.8
ß BUCK CAPITAL MGMT		LEN	B	6,000	14.48	n/a	n/a	non-brg	0.8
CATAPULT	040	LEN	SS	25,000	14.70	n/a	n/a	1,250.00	5.0
SAXON WOODS ADVISORS	038	LOW	S	137,600	21.09	2-Sep	2-Sep	5,504.00	4.0
ARAGON GLOBAL	041	MCD	SS	12,397	56.93	n/a	9-Sep	619.85	5.0
ß BUCK CAPITAL MGMT		MCD	B	8,800	56.55	n/a	9-Sep	non-brg	0.8
ß BUCK CAPITAL MGMT		MDY	SS	2,500	125.56	n/a	n/a	non-brg	0.8
f LEE F BACKUS	FID	MIR	S	1000	16.31	n/a	n/a	0.00	0.0
GREEN ARROW CAPITAL	034	MPEL	B	50,000	6.98	21-Sep	29-Sep	2,500.00	5.0
BMO NESBITT BURNS	041	MRX	B	3,000	20.81	n/a	n/a	90.00	3.0
NEWCASTLE FUNDS	255	MSM	S	30,000	43.62	n/a	n/a	1,200.00	4.0
TRUSTCO/SUNTRUST	040	MTW	S	72,700	9.49	11-Sep	11-Sep	2,835.30	3.9
ß BUCK CAPITAL MGMT		MVRX	SS	200,000	162.39	n/a	n/a	non-brg	16.2
f ROBERT M DANIELS	FID	MWE	S	200	23.06	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		M	B	25,000	17.90	21-Sep	21-Sep	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B	BUCK CAPITAL MGMT		M	B	30,000	18.03	21-Sep	21-Sep	non-brg	4.0
f	JOHN MICHAEL ZOLIDIS	FID	M	B	400	17.75	21-Sep	21-Sep	0.00	0.0
	SIGMA CAPITAL ASSOCIATES	041	NKE	S	75,000	64.35	n/a	n/a	3,000.00	4.0
	FIRST INV MGMT CO	029	NSC	B	9,800	43.28	n/a	n/a	490.00	5.0
	NEWCASTLE FUNDS	255	OC	B	50,000	22.44	n/a	n/a	2,000.00	4.0
	COUGAR TRADING	044	PAG	B	25,000	17.83	n/a	30-Jul	1,250.00	5.0
	CSFB GLOBAL PROPRIETARY	041	PKG	B	30,000	20.43	21-Jul	21-Jul	1,500.00	5.0
	SCHOTTENFELD ASSOC	041	PKG	B	30,000	20.71	21-Jul	21-Jul	900.00	3.0
	TRUSTCO/SUNTRUST	040	PKG	S	23,700	20.36	21-Jul	21-Jul	924.30	3.9
B	BUCK CAPITAL MGMT		PLCE	B	5,200	30.14	n/a	4-Sep	non-brg	4.0
	EXIS CAPITAL	044	PLCE	B	5,000	30.22	n/a	4-Sep	250.00	5.0
	THE BOSTON COMPANY	039	PLCE	B	86,104	30.33	n/a	4-Sep	3,444.16	4.0
B	BUCK CAPITAL MGMT		PNRA	B	20,000	53.96	30-Jul	30-Jul	non-brg	4.0
	TRELLUS PARTNERS LP	028	PRGO	S	25,000	33.92	30-Sep	30-Sep	1,250.00	5.0
	BUCK CAPITAL MGMT	001	PVH	B	10,000	43.00	21-Sep	21-Sep	400.00	4.0
f	JOHN CAREY MAGUIRE	FID	QID	B	300	23.00	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		RCL	B	1,600	24.15	31-Jul	8-Sep	non-brg	0.8
B	BUCK CAPITAL MGMT		RF	B	11,400	6.25	n/a	n/a	non-brg	0.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GREEN ARROW DOUG	040	RGC	S	25,000	12.43	n/a	n/a	1,250.00	5.0
HOTCHKIS & WILEY	035	RPM	S	31,800	18.37	n/a	n/a	1,590.00	5.0
CATAPULT	040	RRC	B	25,000	49.77	21-Sep	29-Sep	1,250.00	5.0
⚡ BUCK CAPITAL MGMT		RRR	B	32,500	7.16	17-Sep	17-Sep	non-brg	3.0
RAMIUS CAP	040	SCHN	SS	56,000	53.66	n/a	n/a	2,240.00	4.0
⚡ BUCK CAPITAL MGMT		SDS	B	7,500	40.34	n/a	n/a	non-brg	0.8
⚡ JASON ERIC COHEN	FID	SDS	B	60	40.35	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		SII	B	9,000	28.94	n/a	n/a	non-brg	0.8
⚡ BUCK CAPITAL MGMT		SLB	B	3,800	60.04	n/a	n/a	non-brg	0.8
⚡ BUCK CAPITAL MGMT		SLM	B	58,000	8.81	12-Aug	30-Sep	non-brg	0.8
COBALT	041	SLM	B	100,000	8.85	12-Aug	30-Sep	3,000.00	3.0
M&I FUNDS	047	SOA	B	43,309	11.49	n/a	n/a	1,732.36	4.0
⚡ BUCK CAPITAL MGMT		SPLS	SS	40,000	22.96	n/a	27-Jul	non-brg	4.0
⚡ BUCK CAPITAL MGMT		STT	B	3,000	52.29	n/a	29-Sep	non-brg	4.0
⚡ BUCK CAPITAL MGMT		SUP	B	8,600	14.36	10-Aug	10-Aug	non-brg	2.5
⚡ BUCK CAPITAL MGMT		SWN	B	5,800	42.25	n/a	29-Sep	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KARSCH CAPITAL	034	SWN	B	145,000	42.76	n/a	29-Sep	4,350.00	3.0
HOTCHKIS & WILEY	035	SWY	S	31,800	19.66	n/a	n/a	1,590.00	5.0
EXIS CAPITAL	044	TGT	B	5,000	46.34	3-Sep	22-Sep	250.00	5.0
EXIS CAPITAL	044	TGT	S	5,000	46.87	3-Sep	22-Sep	250.00	5.0
ß BUCK CAPITAL MGMT		TOL	B	3,500	19.77	n/a	n/a	non-brg	4.0
NEWLAND CAPITAL MGT	067	TWI	B	15,000	8.98	n/a	n/a	600.00	4.0
AAD CAPITAL	048	UFS	B	5,000	35.20	n/a	n/a	200.00	4.0
ß BUCK CAPITAL MGMT		ULTA	S	20,000	16.42	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		URBN	B	8,700	30.17	n/a	30-Jan	non-brg	4.0
ß BUCK CAPITAL MGMT		WBC	B	14,876	20.96	5-Aug	5-Aug	non-brg	4.0
ß BUCK CAPITAL MGMT		WBC	B	2,500	21.04	5-Aug	5-Aug	non-brg	1.5
ß BUCK CAPITAL MGMT		WBC	B	3,024	21.05	5-Aug	5-Aug	non-brg	0.8
BMO NESBITT BURNS	041	WCRX	SS	10,000	20.93	31-Aug	30-Sep	300.00	3.0
ß BUCK CAPITAL MGMT		WFT	B	15,200	20.82	n/a	n/a	non-brg	4.0
EXIS CAPITAL	044	WMT	B	5,000	49.08	11-May	13-Aug	250.00	5.0
BUCK CAPITAL MGMT	001	WRC	B	10,000	44.12	21-Sep	21-Sep	400.00	4.0
BUCK CAPITAL MGMT	001	WSM	B	200,000	20.16	n/a	n/a	8,000.00	4.0



Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f JOHN PATRICK DAVEY	FID	WYNN	B	200	70.81	22-Sep	29-Sep	0.00	0.0
f JOHN PATRICK DAVEY	FID	WYNN	S	200	70.69	22-Sep	29-Sep	0.00	0.0
WAGONHOUND/NIC	048	WYNN	B	14,478	71.59	22-Sep	29-Sep	579.12	4.0
B BUCK CAPITAL MGMT		WY	B	6,800	36.69	n/a	3-Aug	non-brg	4.0
B BUCK CAPITAL MGMT		YUM	C	140,000	34.06	n/a	29-Sep	non-brg	4.0
TOTAL (Trade Date):							141,288.57		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	09/29	IRIDIAN ASSET MGMT.	036	EMN	S	150	55.20	n/a	n/a	7.50 5.0
AO,CXL	09/29	IRIDIAN ASSET MGMT.	036	EMN	S	150	55.20	n/a	n/a	7.50 5.0
AO,CXL	09/29	FIRST NEW YORK NICK	029	Q	S	20,000	3.74	n/a	n/a	1000.00 5.0
AO,CRT	09/29	FIRST NEW YORK NICK	029	Q	S	20,000	3.74	n/a	n/a	1000.00 5.0
AO,	09/29	PARTNER REINSURANCE	033	SYMC	B	43,300	16.14	n/a	3-Apr	1732.00 4.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>1,732.00</b>
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TOTAL (Trade Date) :	141,288.57
TOTAL (AO, CXL, CRT) :	1,732.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>143,020.57</b>
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MRI Securities with Trade Activity on 30-Sep. PRGO
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MRI Securities without Trade Activity on 30-Sep. NONE
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BRG comm. as a % of BCM Total Comm. paid.
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T-Date = 13%
YTD = 21%

<b><u>Legend:</u></b>
<b>Õ: Employee Trades in Outside Accounts</b>
<b>ß: Non-BRG BCM Trades</b>
[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)