



Daily Compliance Activity Report

Trade Date: 09/18/2009

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	32,400	27.22	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	ABII	S	1800	29.40	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	AEO	B	60,000	16.85	25-Jun	4-Sep	2,400.00	4.0
EXIS CAPITAL	044	AEO	S	5,000	16.90	25-Jun	4-Sep	250.00	5.0
f JOSEPH CIRO AMATURO	FID	AEO	S	3000	16.61	25-Jun	4-Sep	0.00	0.0
MUHLENKAMP FUND	046	AMED	S	100,000	43.09	n/a	n/a	5,000.00	5.0
PENNANT CAP MGMT	029	AMGN	S	2,694	60.98	n/a	26-Jan	80.82	3.0
B BUCK CAPITAL MGMT		AMT	S	50,000	37.02	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ANF	B	20,000	33.49	3-Jun	4-Sep	non-brg	2.5
EXIS CAPITAL	044	ANF	SS	5,000	33.42	3-Jun	4-Sep	250.00	5.0
SIGMA CAPITAL ASSOCIATES	041	ANF	B	25,000	33.70	3-Jun	4-Sep	1,000.00	4.0
HOLLIS CAPITAL	033	AN	B	10,000	17.89	3-Aug	5-Aug	500.00	5.0
B BUCK CAPITAL MGMT		APP	S	40,000	3.81	n/a	n/a	non-brg	3.0
f NICOLAS EVAN PAKLER	FID	AXLIL	S	20	1.70	n/a	n/a	0.00	0.0
LAGRANGE CAP ADV	048	AXL	B	10,000	7.55	18-Sep	18-Sep	500.00	5.0
EVERCORE WEALTH MGMT	012	AXP	S	15,600	34.77	n/a	16-Sep	780.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	BBY	B	5,000	37.95	n/a	27-Jul	250.00	5.0
f IAN L MILLER	FID	BEE	B	500	2.02	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	BGU	S	1000	52.79	n/a	n/a	0.00	0.0
EXIS CAPITAL	044	BKE	B	273	29.10	n/a	n/a	13.65	5.0
JP MORGAN VENTURES	046	BKE	S	20,000	29.45	n/a	n/a	1,000.00	5.0
f ROBERT M DANIELS	FID	BQI	B	1000	1.29	n/a	n/a	0.00	0.0
PENNANT CAP MGMT	029	BRCM	S	30,000	30.05	n/a	n/a	900.00	3.0
RBC CAPITAL MARKETS	040	BWLD	B	5,000	43.03	n/a	n/a	200.00	4.0
B BUCK CAPITAL MGMT		BYD	S	170,000	12.38	n/a	7-Aug	non-brg	4.0
MILLENIUM PARTNERS	028	BYD	SS	50,000	12.69	n/a	7-Aug	2,000.00	4.0
JP MORGAN VENTURES	046	CEPH	B	10,000	58.69	21-May	16-Sep	500.00	5.0
HOLLIS CAPITAL	033	CHK	S	5,000	27.70	n/a	n/a	250.00	5.0
B BUCK CAPITAL MGMT		CHRS	S	50,000	4.79	n/a	22-Mar	non-brg	3.0
f MARC PAUL LUCHANSKY	FID	CTL	S	16	31.82	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		CVGI	S	10,000	7.20	n/a	n/a	non-brg	2.5
f CICILY S BACKUS	FID	CVGI	S	5000	7.21	n/a	n/a	0.00	0.0
f JESSICA PERNO	FID	CVGI	S	75	7.28	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	JOSEPH CIRO AMATURO	FID	CVGI	S	10000	7.24	n/a	n/a	0.00	0.0
f	JOSEPH CIRO AMATURO	FID	CVGI	S	30100	7.23	n/a	n/a	0.00	0.0
f	LEE F BACKUS	FID	CVGI	S	5000	7.19	n/a	n/a	0.00	0.0
f	STEFFANIE CARMELA CA	FID	CVGI	S	375	7.23	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		CWTR	B	50,000	8.98	n/a	n/a	non-brg	1.0
	ASCEND PARTNERS	033	C	B	500,000	4.28	17-Sep	17-Sep	10,000.00	2.0
	SCHOTTENFELD ASSOC	041	C	S	100,000	4.44	17-Sep	17-Sep	3,000.00	3.0
B	BUCK CAPITAL MGMT		DBRN	B	30,000	17.89	n/a	n/a	non-brg	4.0
	DAVIDSON INV ADV	035	DFS	S	80,360	15.95	17-Sep	17-Sep	3,214.40	4.0
f	JONATHAN RICHARD HAR	FID	DPTR	S	3250	4.05	n/a	n/a	0.00	0.0
f	JOSEPH CIRO AMATURO	FID	DPTR	S	20000	4.06	n/a	n/a	0.00	0.0
f	NEIL M STRATTON	FID	DSPWS	B	1000	0.25	n/a	n/a	0.00	0.0
f	NEIL M STRATTON	FID	DSPWS	B	1000	0.25	n/a	n/a	0.00	0.0
f	STRATTON PAR TNERSHI	FID	DSPWS	B	1000	0.25	n/a	n/a	0.00	0.0
	BUCK CAPITAL MGMT	001	DSW	B	20,000	16.42	26-Aug	26-Aug	800.00	4.0
f	JONATHAN RICHARD HAR	FID	DTQIW	S	32	0.05	n/a	n/a	0.00	0.0
f	KEVIN MICHAEL O'GORM	FID	DTQIW	S	40	0.10	n/a	n/a	0.00	0.0
	RBC CAPITAL MARKETS	040	EAT	B	50,000	16.46	n/a	24-Apr	2,000.00	4.0
	DC CAPITAL	044	ELY	S	18,293	8.07	n/a	n/a	548.79	3.0
f	JOHN MICHAEL ZOLIDIS	FID	FINL	B	2000	9.47	n/a	28-Mar	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		FITB	B	41,800	10.19	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT		FUA+IE[???	C	970	4.61	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		F	B	200,000	6.97	27-Aug	2-Sep	non-brg	0.8
JOSEPH CIRO AMATURO	FID	GAZ	S	4000	16.20	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		GCO	B	20,000	23.99	n/a	10-Jan	non-brg	4.0
CATAPULT	040	GE	B	50,000	16.88	n/a	n/a	2,500.00	5.0
IAN L MILLER	FID	GHQ	B	50	10.03	n/a	n/a	0.00	0.0
NEIL M STRATTON	FID	GHQ	B	300	10.03	n/a	n/a	0.00	0.0
NEIL M STRATTON	FID	GHQ	B	700	10.02	n/a	n/a	0.00	0.0
STRATTON PAR TNERSHI	FID	GHQ	B	400	10.03	n/a	n/a	0.00	0.0
ASCEND PARTNERS	033	GIL	B	39,700	19.28	14-Aug	14-Aug	1,985.00	5.0
BUCK CAPITAL MGMT		GIL	B	15,700	18.89	14-Aug	14-Aug	non-brg	4.0
BUCK CAPITAL MGMT		GIL	B	31,700	18.85	14-Aug	14-Aug	non-brg	4.0
BUCK CAPITAL MGMT		GLW	B	50,000	15.50	27-Jul	17-Sep	non-brg	0.8
PRINCIPLE CAPITAL	040	GME	S	100,000	26.63	n/a	n/a	3,000.00	3.0
BNP PARIBAS SEC	040	GR	B	25,000	55.56	5-Jun	23-Jul	1,000.00	4.0
EXIS CAPITAL	044	GYMB	S	5,000	49.40	26-Aug	4-Sep	250.00	5.0
PENNANT CAP MGMT	029	HAL	S	50,000	28.01	n/a	n/a	1,500.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE CAP	041	HBAN	S	130,000	4.33	n/a	n/a	5,200.00	4.0
f EDWARD W WHEELER	FID	HEK	S	20000	4.42	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		HGG	B	10,000	15.82	n/a	n/a	non-brg	4.0
BNP PARIBAS SEC	040	HON	SS	35,000	40.26	n/a	27-Jul	1,400.00	4.0
B BUCK CAPITAL MGMT		HOT	SS	20,000	33.91	n/a	n/a	non-brg	4.0
PILOT ADV	038	HSC	B	12,000	35.09	29-Jul	29-Jul	480.00	4.0
f JOSEPH CIRO AMATURO	FID	HYG	S	200	85.10	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		IMAX	S	87,619	9.03	n/a	n/a	non-brg	3.0
CLOVIS CAPITAL	012	IP	SS	200,000	23.75	16-Sep	16-Sep	10,000.00	5.0
SCHOTTENFELD ASSOC	041	IP	B	25,000	23.41	16-Sep	16-Sep	750.00	3.0
B BUCK CAPITAL MGMT		IWM	SS	140,000	61.72	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		IWM	SS	7,000	61.52	n/a	n/a	non-brg	0.8
f FRANCIS MICHAEL MCCA	FID	JBLU	S	700	6.12	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	JCI	S	2500	27.69	15-Sep	15-Sep	0.00	0.0
f JOSEPH CIRO AMATURO	FID	JNK	S	9000	38.05	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		JOSB	S	17,500	47.64	n/a	n/a	non-brg	0.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	JWN	B	688	31.30	n/a	4-Sep	34.40	5.0
MILLENIUM PARTNERS	028	JWN	B	33,000	31.93	n/a	4-Sep	1,320.00	4.0
BUCK CAPITAL MGMT	001	KCP	S	10,000	11.21	n/a	28-Sep	400.00	4.0
CATAPULT	040	KDN	S	35,000	34.88	n/a	n/a	1,750.00	5.0
f JOSEPH CIRO AMATURO	FID	KEG	S	4000	9.07	26-Aug	15-Sep	0.00	0.0
B BUCK CAPITAL MGMT		KEY	B	63,900	6.68	n/a	n/a	non-brg	3.0
f FRANCIS MICHAEL MCCA	FID	LIZ	S	500	5.93	n/a	13-Aug	0.00	0.0
f JOSEPH CIRO AMATURO	FID	LVS	S	5000	18.57	14-Sep	14-Sep	0.00	0.0
KACELA CAPITAL	034	LVS	B	35,000	18.81	14-Sep	14-Sep	1,400.00	4.0
GREEN ARROW DOUG	040	MAR	B	25,000	26.81	n/a	n/a	1,250.00	5.0
B BUCK CAPITAL MGMT		MDY	SS	5,000	127.12	n/a	n/a	non-brg	0.8
DIAMONDBACK CAP MGMT	232	MS	SS	100,000	31.01	11-May	15-Sep	5,000.00	5.0
f JOSEPH CIRO AMATURO	FID	MTW	S	5000	10.04	11-Sep	11-Sep	0.00	0.0
f NEIL M STRATTON	FID	MXM	S	245	10.55	n/a	n/a	0.00	0.0
f STRATTON PAR TNERSHI	FID	MXM	S	220	10.55	n/a	n/a	0.00	0.0
f ROBERT M DANIELS	FID	MYL	S	190	16.11	n/a	16-Sep	0.00	0.0
BUCK CAPITAL MGMT	001	M	B	40,000	17.76	n/a	4-Sep	1,600.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COOPER CREEK PART	028	NAV	B	8,800	40.38	n/a	n/a	264.00	3.0
B BUCK CAPITAL MGMT		NP	S	5,732	12.02	11-Aug	11-Aug	non-brg	2.5
PENNANT CAP MGMT	029	NSR	SS	6,400	23.10	n/a	n/a	192.00	3.0
B BUCK CAPITAL MGMT		OIH	SS	70,000	117.34	n/a	n/a	non-brg	0.8
DAVIDSON INV ADV	035	OXPS	B	80,590	17.58	n/a	n/a	3,223.60	4.0
CATAPULT	040	PPG	S	35,000	59.54	n/a	16-Jul	1,750.00	5.0
B BUCK CAPITAL MGMT		PSS+IC[???	C	1,946	3.47	n/a	n/a	non-brg	300.0
EXIS CAPITAL	044	PSUN	B	3,600	5.50	n/a	6-Feb	180.00	5.0
B BUCK CAPITAL MGMT		QUK+IP[???	C	972	0.30	n/a	n/a	non-brg	100.0
f JESSICA PERNO	FID	RAD	B	200	2.21	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	RAD	B	6000	2.22	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	RAD	B	20000	2.13	n/a	n/a	0.00	0.0
f STEFFANIE CARMELA CA	FID	RAD	B	550	2.23	n/a	n/a	0.00	0.0
MILLENIUM PARTNERS	028	REG	B	50,000	41.08	n/a	n/a	2,000.00	4.0
B BUCK CAPITAL MGMT		RF	B	69,200	6.15	n/a	n/a	non-brg	3.0
f DAVID GEORGE BUCK	FID	RF	B	2000	6.10	n/a	n/a	0.00	0.0
f STEFFANIE CARMELA CA	FID	RF	B	200	6.07	n/a	n/a	0.00	0.0
f FRANCIS MICHAEL MCCA	FID	ROC	S	600	21.85	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JOSEPH CIRO AMATURO	FID	ROC	S	2000	21.72	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SDS	B	5,000	39.69	n/a	n/a	non-brg	0.8
CAPITAL GROWTH MGMT.	241	SLG	B	100,000	43.65	n/a	n/a	5,000.00	5.0
B BUCK CAPITAL MGMT		SLM	B	33,298	8.99	12-Aug	16-Sep	non-brg	3.0
NEUBERGER BERMAN	036	SNI	B	79,900	37.05	n/a	n/a	3,595.50	4.5
HUNTER GLOBAL INVESTOR	067	SNV	S	500,000	3.90	n/a	n/a	12,500.00	2.5
B BUCK CAPITAL MGMT		SPLS	SS	70,000	23.20	n/a	27-Jul	non-brg	4.0
f ANTHONY NG	FID	SPNGE	B	10000	0.09	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		STI	B	17,800	23.80	n/a	n/a	non-brg	2.5
AVESTA CAP	229	STT	B	50,000	54.65	n/a	15-Sep	2,000.00	4.0
B BUCK CAPITAL MGMT		TOL	B	20,000	22.21	n/a	n/a	non-brg	0.8
KAYNE ANDERSON ADV	048	TPX	S	26,900	17.68	n/a	n/a	1,076.00	4.0
B BUCK CAPITAL MGMT		TWB	B	20,000	8.38	n/a	30-Jan	non-brg	0.8
f JOSEPH CIRO AMATURO	FID	UQM	S	10000	4.82	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		URBN	B	30,000	31.12	n/a	30-Jan	non-brg	4.0
IRIDIAN ASSET MGMT.	036	VZ	C	32,060	29.53	n/a	4-Jan	1,603.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f JOSEPH CIRO AMATURO	FID	WBC	S	4000	20.89	5-Aug	5-Aug	0.00	0.0
MATLIN PATTERSON	046	WNR	B	100,000	7.68	n/a	n/a	3,000.00	3.0
B BUCK CAPITAL MGMT		WRC+IH[???]	C	1,000	4.32	n/a	n/a	non-brg	300.0
f EDWARD W WHEELER	FID	WRLS	S	14508	3.42	n/a	n/a	0.00	0.0
f NEIL M STRATTON	FID	WYEAH	S	2	8.50	n/a	n/a	0.00	0.0
f STRATTON PAR TNERSHI	FID	WYEAH	S	2	8.50	n/a	n/a	0.00	0.0
SCOPUS FUND	041	WY	S	4,400	38.99	n/a	3-Aug	220.00	5.0
T. ROWE PRICE	033	WY	B	117,400	39.62	n/a	3-Aug	4,696.00	4.0
TRPA	033	WY	B	600	39.62	n/a	3-Aug	24.00	4.0
B BUCK CAPITAL MGMT		XLY	SS	300,000	27.81	n/a	n/a	non-brg	0.8
TOTAL (Trade Date):								117,581.16	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/17	OZ MGMT	040	AXL	S	50,000	8.10	18-Sep	18-Sep	1500.00 3.0
AO,	09/17	PARTNER REINSURANCE	033	ETH	S	23,900	16.66	n/a	n/a	956.00 4.0
AO,CRT	09/17	CONIFER/ISF	025	HPY	S	5,000	14.56	n/a	n/a	200.00 4.0
AO,CXL	09/17	CONIFER/ISF	025	HPY	S	5,000	14.56	n/a	n/a	250.00 5.0
AO,CXL	09/17	FIRST NEW YORK NICK	029	Q	S	20,000	3.46	n/a	n/a	1000.00 5.0
AO,CRT	09/17	FIRST NEW YORK NICK	029	Q	S	20,000	3.46	n/a	n/a	1000.00 5.0
TOTAL (AO, CXL, CRT) :										2,406.00

TOTAL (Trade Date) :	117,581.16
TOTAL (AO, CXL, CRT) :	2,406.00

TOTAL (RUN DATE) / NFS :	119,987.16
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MRI Securities with Trade Activity on 18-Sep.

AXL

MRI Securities without Trade Activity on 18-Sep.

ACL, ADM, AGN

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

T-Date = 9%

YTD = 21%

<u>Legend:</u>
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)