



# Daily Compliance Activity Report

Trade Date: 12/21/2009

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	B	36,756	199.13	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		AAPL	S	36,756	199.13	n/a	n/a	non-brg	2.0
f DAVID GEORGE BUCK	FID	ABT	S	1000	53.93	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	AEO	B	20,000	16.43	n/a	4-Dec	800.00	4.0
COUGAR TRADING	044	AEO	B	10,000	16.39	n/a	4-Dec	500.00	5.0
EXIS CAPITAL	044	AEO	S	20,000	16.39	n/a	4-Dec	1,000.00	5.0
FIRST NY SEC/CHRIS	041	AEO	B	1,800	16.61	n/a	4-Dec	72.00	4.0
EXIS CAPITAL	044	ANF	B	10,000	35.25	n/a	4-Dec	500.00	5.0
f BERNA GABRIELLE BARS	FID	ANN	B	500	15.40	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	APC	B	31,300	62.22	n/a	17-Dec	939.00	3.0
BUCK CAPITAL MGMT	001	ARO	B	30,000	33.09	n/a	4-Dec	1,200.00	4.0
EXIS CAPITAL	044	ARO	B	10,000	33.10	n/a	4-Dec	500.00	5.0
EXIS CAPITAL	044	ARO	S	15,000	32.83	n/a	4-Dec	750.00	5.0
f MARK ANTHONY GRONET	FID	ART	B	1000	25.03	n/a	18-Dec	0.00	0.0
FRONTIER	039	ATI	B	45,500	42.45	n/a	n/a	1,820.00	4.0
METROPOLITAN CAPITAL	044	AXL	B	25,800	7.98	n/a	14-Dec	1,290.00	5.0
HARVEST MGMT	039	BARE	B	25,000	12.46	n/a	n/a	1,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BENCHMARK	025	BBEP	B	14,979	10.99	n/a	n/a	599.16	4.0
RAMIUS CAP	040	BBY	B	53,000	40.17	n/a	n/a	2,120.00	4.0
US BANCORP	098	BDN	S	51,462	11.04	n/a	n/a	2,573.10	5.0
SANDLER O'NEILL ASSET	031	BEN	B	10,000	106.03	21-Dec	21-Dec	500.00	5.0
CAERUS GLOBAL	041	BJRI	B	15,000	18.98	n/a	n/a	600.00	4.0
WAGONHOUND/NIC	048	CAKE	B	10,331	21.78	21-Dec	21-Dec	413.24	4.0
WEISS PECK	040	CAKE	C	7,680	21.94	21-Dec	21-Dec	384.00	5.0
PIONEER MICHAEL NOLAN	067	CDNS	S	329,880	5.84	n/a	n/a	9,896.40	3.0
<b>f BERNA GABRIELLE BARS</b>	<b>FID</b>	<b>CKEC</b>	<b>S</b>	<b>1000</b>	<b>7.16</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DSG CAPITAL	225	CNK	B	27,900	13.65	n/a	n/a	1,116.00	4.0
US BANCORP	098	CUZ	S	54,638	7.77	n/a	n/a	2,731.90	5.0
MILLRACE FUND LP	028	CYBX	B	5,200	20.85	n/a	n/a	208.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>DECK</b>	<b>B</b>	<b>20,000</b>	<b>94.01</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>f MATTHEW FRANCIS BUCK</b>	<b>FID</b>	<b>DIS</b>	<b>S</b>	<b>500</b>	<b>32.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SIGMA CAPITAL ASSOCIATES	041	DOW	B	50,000	26.86	n/a	18-Nov	2,000.00	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>DVN</b>	<b>B</b>	<b>500</b>	<b>71.06</b>	<b>n/a</b>	<b>17-Dec</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO NESBITT BURNS	041	ENDP	SS	6,000	19.79	n/a	21-Dec	240.00	4.0
ROYCE TRADING	216	FCN	B	4,300	46.68	n/a	n/a	215.00	5.0
<b>f JENNIFER CORWIN GLIC</b>	<b>FID</b>	<b>FL</b>	<b>B</b>	<b>1300</b>	<b>10.25</b>	<b>n/a</b>	<b>17-Dec</b>	<b>0.00</b>	<b>0.0</b>
BMO NESBITT BURNS	041	FRX	SS	5,000	32.06	n/a	21-Dec	200.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GCO</b>	<b>B</b>	<b>10,000</b>	<b>25.95</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
ROYCE TRADING	216	GEF	B	1,200	52.77	n/a	n/a	60.00	5.0
HOOVER INV. MGMT	033	GES	B	6,900	43.49	n/a	n/a	276.00	4.0
US BANCORP	030	GET	S	32,493	19.10	n/a	n/a	1,624.65	5.0
SONTERRA CAP	041	GNA	SS	20,000	7.93	n/a	n/a	600.00	3.0
TRUST CO/COWEN/CALF.	040	GPS	S	149,500	20.97	n/a	n/a	5,980.00	4.0
MILLRACE FUND LP	028	GRC	B	2,079	28.56	n/a	n/a	83.16	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>GS</b>	<b>B</b>	<b>600</b>	<b>166.44</b>	<b>n/a</b>	<b>21-Dec</b>	<b>0.00</b>	<b>0.0</b>
CARDINAL CAPITAL	044	HEW	S	45,500	43.06	n/a	n/a	2,275.00	5.0
JMP ASSET MGMT	210	HTGC	S	14,850	10.10	n/a	n/a	742.50	5.0
ROSEDALE CAPITAL	046	INTC	S	20,000	20.25	n/a	n/a	1,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RAIL-SPLITTER	031	ISRG	SS	5,000	290.14	n/a	n/a	250.00	5.0
<b>f MATTHEW FRANCIS BUCK</b>	<b>FID</b>	<b>IWP</b>	<b>S</b>	<b>500</b>	<b>45.08</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCG</b>	<b>B</b>	<b>50,000</b>	<b>44.03</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
EXIS CAPITAL	044	JCG	B	10,000	44.54	n/a	n/a	500.00	5.0
EXIS CAPITAL	044	JCG	SS	30,000	43.98	n/a	n/a	1,500.00	5.0
EXIS CAPITAL	044	JCG	S	24,948	44.09	n/a	n/a	1,247.40	5.0
<b>f IAN L MILLER</b>	<b>FID</b>	<b>JNJ</b>	<b>S</b>	<b>60</b>	<b>64.53</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MATTHEW FRANCIS BUCK</b>	<b>FID</b>	<b>JPM</b>	<b>B</b>	<b>300</b>	<b>41.91</b>	<b>n/a</b>	<b>14-Dec</b>	<b>0.00</b>	<b>0.0</b>
EXIS CAPITAL	044	JWN	S	10,000	36.56	n/a	4-Dec	500.00	5.0
THIRD AVE MGMT	030	KEY	B	75,000	5.64	n/a	n/a	2,625.00	3.5
BMO NESBITT BURNS	041	KG	B	15,000	12.18	n/a	21-Dec	600.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KSS</b>	<b>B</b>	<b>10,000</b>	<b>54.39</b>	<b>n/a</b>	<b>4-Dec</b>	<b>400.00</b>	<b>4.0</b>
COUGAR TRADING	044	KSS	B	15,000	54.21	n/a	4-Dec	750.00	5.0
EXIS CAPITAL	044	KSS	B	40,000	54.53	n/a	4-Dec	2,000.00	5.0
TROUBH PART	067	LEAP	S	6,500	18.00	n/a	n/a	325.00	5.0
<b>f BERNA GABRIELLE BARS</b>	<b>FID</b>	<b>LGF</b>	<b>S</b>	<b>1500</b>	<b>5.84</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BMO NESBITT BURNS	041	MRX	SS	4,000	26.40	n/a	n/a	160.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>MVRX</b>	<b>C</b>	<b>75,000</b>	<b>170.26</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>17.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f ROBERT M DANIELS</b>	<b>FID</b>	<b>MWE</b>	<b>S</b>	<b>200</b>	<b>28.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>M</b>	<b>B</b>	<b>50,000</b>	<b>17.20</b>	<b>n/a</b>	<b>4-Dec</b>	<b>2,000.00</b>	<b>4.0</b>
COOPER CREEK PART	028	M	B	10,000	17.38	n/a	4-Dec	400.00	4.0
COUGAR TRADING	044	M	B	25,000	17.21	n/a	4-Dec	1,250.00	5.0
EXIS CAPITAL	044	M	B	20,000	17.47	n/a	4-Dec	1,000.00	5.0
EXIS CAPITAL	044	M	S	40,000	17.13	n/a	4-Dec	2,000.00	5.0
<b>f BERNA GABRIELLE BARS</b>	<b>FID</b>	<b>NWSA</b>	<b>S</b>	<b>400</b>	<b>13.70</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARK ANTHONY GRONET</b>	<b>FID</b>	<b>OZM</b>	<b>B</b>	<b>1000</b>	<b>13.94</b>	<b>n/a</b>	<b>18-Dec</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>PBR</b>	<b>S</b>	<b>1500</b>	<b>46.88</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EXIS CAPITAL	044	PLCE	B	10,000	32.19	n/a	11-Dec	500.00	5.0
JMP ASSET MGMT	210	PLCE	B	7,600	32.12	n/a	11-Dec	380.00	5.0
CHART WELL ADV	028	PLXS	S	21,975	28.45	n/a	n/a	879.00	4.0
STRONG/MARK GRONET	030	PPBI	B	8,000	3.36	n/a	n/a	240.00	3.0
BMO NESBITT BURNS	041	PRGO	B	6,000	38.75	n/a	21-Dec	240.00	4.0
EXIS CAPITAL	044	PVH	B	5,000	40.20	n/a	20-Nov	250.00	5.0
STRONG/MARK GRONET	030	PWER	S	4,000	4.63	n/a	n/a	120.00	3.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>RF</b>	<b>S</b>	<b>8000</b>	<b>5.48</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BERMAN CAPITAL MGMT	046	RSH	B	10,000	20.19	n/a	n/a	300.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	216	RTN	S	4,500	52.85	n/a	22-Oct	225.00	5.0
ROYCE TRADING	216	SCHW	S	9,000	18.15	n/a	n/a	450.00	5.0
<b>f</b> <b>BERNA GABRIELLE BARS</b>	<b>FID</b>	<b>SKS</b>	<b>B</b>	<b>500</b>	<b>6.78</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EXIS CAPITAL	044	SKS	S	26,900	6.68	n/a	n/a	1,345.00	5.0
EXIS CAPITAL	044	SSO	B	10,000	38.17	n/a	n/a	500.00	5.0
BMO NESBITT BURNS	041	TEVA	B	4,000	54.56	n/a	21-Dec	160.00	4.0
<b>f</b> <b>CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>TGT</b>	<b>S</b>	<b>100</b>	<b>49.00</b>	<b>n/a</b>	<b>3-Dec</b>	<b>0.00</b>	<b>0.0</b>
CHART WELL ADV	028	THS	S	17,230	39.51	n/a	n/a	689.20	4.0
EXIS CAPITAL	044	TIF	B	10,000	43.27	n/a	n/a	500.00	5.0
EXIS CAPITAL	044	TIF	S	15,000	42.96	n/a	n/a	750.00	5.0
SCOPUS FUND	041	TIN	S	43,100	22.28	n/a	22-Oct	2,155.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TLB</b>	<b>B</b>	<b>40,000</b>	<b>8.08</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>3.0</b>
<b>f</b> <b>MATTHEW FRANCIS BUCK</b>	<b>FID</b>	<b>T</b>	<b>B</b>	<b>500</b>	<b>27.58</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> <b>BUCK CAPITAL MGMT</b>		<b>URBN</b>	<b>B</b>	<b>10,000</b>	<b>33.56</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
EXIS CAPITAL	044	URBN	B	5,000	33.82	n/a	n/a	250.00	5.0
JMP ASSET MGMT	210	VMI	SS	2,500	82.30	n/a	n/a	125.00	5.0
BMO NESBITT BURNS	041	WCRX	B	4,000	27.62	n/a	21-Dec	160.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO NESBITT BURNS	041	WPI	SS	4,000	38.62	n/a	21-Dec	160.00	4.0
EXIS CAPITAL	044	WRC	SS	15,000	42.75	n/a	5-Nov	750.00	5.0
MILLENIUM PARTNERS	028	WY	S	20,000	43.12	n/a	15-Dec	800.00	4.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>XLE</b>	<b>S</b>	<b>150</b>	<b>56.99</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EXIS CAPITAL	044	XRT	B	10,000	35.79	n/a	n/a	500.00	5.0
EPOCH INV MGMT	030	XTO	S	58,100	46.90	n/a	n/a	1,743.00	3.0
CATAPULT	040	YHOO	B	25,000	15.91	n/a	n/a	1,000.00	4.0
IVORY CAPITAL	034	YHOO	S	125,000	15.91	n/a	n/a	6,250.00	5.0
ARCHON CAPITAL	035	ZIXI	B	35,000	1.68	n/a	n/a	1,050.00	3.0
<b>TOTAL (Trade Date):</b>								<b>90,637.71</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/18	AELTUS/ING INVESTMENT MGT	215	AMGN	B	300,000	55.74	n/a	n/a	10500.02 3.5
AO,	12/18	ROTHSCHILD ASSET	040	BEN	S	7,379	103.80	21-Dec	21-Dec	332.06 4.5
AO,	12/18	CARDINAL CAPITAL	044	HEW	S	36,600	43.02	n/a	n/a	1830.00 5.0
AO,	12/18	THOMPSON SIEGAL&WALMSLEY	029	HSP	S	15,168	47.56	n/a	n/a	455.04 3.0
AO,CRT	12/18	COLONIAL FUND LLC	036	WFC	S	50,000	26.91	n/a	15-Dec	2500.00 5.0
AO,CXL	12/18	COLONIAL FUND LLC	036	WFC	S	50,000	26.91	n/a	15-Dec	2000.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>13,617.12</b>

TOTAL (Trade Date):	90,637.71
TOTAL (AO, CXL, CRT):	13,617.12

<b>TOTAL (RUN DATE) / NFS:</b>	<b>104,254.83</b>
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MRI Securities with Trade Activity on 21-Dec.  
**BEN, CAKE**

MRI Securities without Trade Activity on 21-Dec.  
**PFCB, NYB**



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

T-Date = 35%

YTD = 19%

**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)**