



Daily Compliance Activity Report

Trade Date: 10/27/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAXTON PART	040	AA	S	250,000	13.06	n/a	n/a	8,750.01	3.5
f KEVIN MICHAEL O'GORM	FID	ABII	S	400	34.72	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		AEO	B	13,500	18.28	n/a	9-Oct	non-brg	4.0
SOROS	036	AEO	S	102,500	18.27	n/a	9-Oct	4,100.00	4.0
f JOSEPH CIRO AMATURO	FID	AIG	S	2000	34.93	n/a	n/a	0.00	0.0
PAW PARTNERS	045	AKAM	S	50,000	20.95	n/a	n/a	2,500.00	5.0
BALYASNY ASSET MGMT	044	AMG	B	31,000	65.21	n/a	26-Oct	1,550.00	5.0
SANDLER O'NEILL ASSET	031	AMG	B	5,000	64.96	n/a	26-Oct	250.00	5.0
UBS OCONNOR	031	AMG	B	75,000	64.68	n/a	26-Oct	2,250.00	3.0
B BUCK CAPITAL MGMT	001	AN	B	20,000	19.12	n/a	19-Oct	800.00	4.0
B BUCK CAPITAL MGMT		AN	B	48,100	19.01	n/a	19-Oct	non-brg	4.0
TRELLUS PARTNERS LP	028	AN	B	30,000	19.33	n/a	19-Oct	1,500.00	5.0
B BUCK CAPITAL MGMT		ARO	B	26,000	40.52	n/a	9-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		ARO	B	30,000	40.91	n/a	9-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		ARO	B	4,600	40.43	n/a	9-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		AXL	B	23,400	6.49	n/a	19-Oct	non-brg	3.0
B BUCK CAPITAL MGMT		AXL	B	70,000	6.50	n/a	19-Oct	non-brg	2.0
B BUCK CAPITAL MGMT		AXL	B	70,000	6.50	n/a	19-Oct	non-brg	2.0
B BUCK CAPITAL MGMT		AXL	B	70,700	6.47	n/a	19-Oct	non-brg	2.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß	BUCK CAPITAL MGMT		AXL	B	70,700	6.47	n/a	19-Oct	non-brg	2.0
	FIRST NY SEC/CHRIS	041	AXL	B	25,000	6.53	n/a	19-Oct	1,000.00	4.0
	NEWCASTLE FUNDS	255	AXL	B	50,000	6.58	n/a	19-Oct	2,000.00	4.0
	DIAMONDBACK CAP MGMT	232	AXP	S	25,000	36.00	n/a	27-Oct	1,250.00	5.0
	BUCK CAPITAL MGMT	001	BAC	B	3,000	15.18	n/a	26-Oct	120.00	4.0
ß	BUCK CAPITAL MGMT		BAC	B	60,200	15.09	n/a	26-Oct	non-brg	4.0
	KLEINHEINZ CAP PART	031	BAC	S	200,000	15.11	n/a	26-Oct	10,000.00	5.0
f	ROBERT M DANIELS	FID	BAC	B	200	15.35	n/a	26-Oct	0.00	0.0
f	KEVIN MICHAEL O'GORM	FID	BEE	S	4500	1.75	n/a	n/a	0.00	0.0
	SANDLER O'NEILL ASSET	031	BEN	B	5,000	106.32	27-Oct	27-Oct	250.00	5.0
	BUCK CAPITAL MGMT	001	BJS	SS	30,000	19.95	n/a	n/a	1,200.00	4.0
ß	BUCK CAPITAL MGMT		BK	B	37,900	27.77	n/a	21-Oct	non-brg	4.0
	BUCK CAPITAL MGMT	001	BYD	B	20,000	9.04	n/a	n/a	600.00	3.0
	BUCK CAPITAL MGMT	001	BYI	B	80,000	40.65	n/a	n/a	3,200.00	4.0
ß	BUCK CAPITAL MGMT		CAKE	SS	20,000	19.48	n/a	23-Oct	non-brg	4.0
	PILOT ADV	038	CHS	SS	20,000	12.95	n/a	n/a	800.00	4.0
f	EDWARD W WHEELER	FID	CMCO	S	5000	16.92	n/a	n/a	0.00	0.0
	ADALY INV MGMT	031	COG	B	8,000	42.29	n/a	27-Oct	400.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROSEDALE CAPITAL	046	COG	S	10,000	42.14	n/a	27-Oct	500.00	5.0
BUCK CAPITAL MGMT	001	COH	S	10,000	33.51	n/a	21-Oct	400.00	4.0
LEVEL GLOBAL SHARED ACCT	257	COH	S	100,000	33.72	n/a	21-Oct	3,000.00	3.0
⚡ BUCK CAPITAL MGMT		COST	C	30,000	57.40	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		CRI	B	545	21.60	n/a	n/a	non-brg	0.8
f ABRAM M CHAPPELL	FID	CVGI	S	500	7.18	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	CVGI	S	10000	7.24	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		DBRN	B	10,000	18.97	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DECK	S	10,000	95.78	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DIA	SS	90,000	98.60	n/a	n/a	non-brg	0.8
KLEINHEINZ CAP PART	031	DIA	SS	150,000	99.29	n/a	n/a	7,500.00	5.0
DAVIDSON KEMPNER ADVISOR	040	DTV	C	60,000	25.82	n/a	n/a	3,000.00	5.0
KLEINHEINZ CAP PART	031	EGO	S	150,000	11.35	n/a	n/a	7,500.00	5.0
f DAVID GEORGE BUCK	FID	FDX	S	1000	75.95	n/a	n/a	0.00	0.0
ROARING BLUE LION MGMT	012	FINL	B	10,000	10.89	n/a	n/a	400.00	4.0
BASIX	033	FL	B	18,000	10.93	n/a	n/a	540.00	3.0
⚡ BUCK CAPITAL MGMT		FL	B	20,000	10.97	n/a	n/a	non-brg	4.0
f MARC PAUL LUCHANSKY	FID	FSLR	S	100	148.56	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MITCHELL JAMES SPEIS	FID	FSNXX	S	35000	1.00	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	FXE	B	500	147.97	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		GES	B	27,700	38.20	n/a	n/a	non-brg	4.0
MUHLENKAMP FUND	046	GE	S	100,000	15.00	n/a	n/a	5,000.00	5.0
ß BUCK CAPITAL MGMT		GIII	B	10,000	16.35	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		GIL	B	10,000	17.92	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GIL	B	10,000	18.16	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		GIL	B	59,100	17.83	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GLW	B	70,200	14.99	n/a	26-Oct	non-brg	4.0
ROYCE TRADING	216	GTI	S	5,000	14.09	n/a	n/a	250.00	5.0
ß BUCK CAPITAL MGMT		GYMB	B	23,300	45.57	n/a	9-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		GYMB	B	5,000	45.77	n/a	9-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		ICON	S	180,000	12.40	n/a	n/a	non-brg	4.0
f MANNY I KORMAN	FID	ICON	B	5000	12.26	n/a	n/a	0.00	0.0
OZ MGMT	040	IP	B	75,000	22.80	n/a	22-Oct	2,250.00	3.0
TRELLUS PARTNERS LP	028	IP	B	60,000	22.81	n/a	22-Oct	3,000.00	5.0
f KEVIN MICHAEL O'GORM	FID	IRE	S	1000	13.29	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		IR	B	500	32.80	n/a	26-Oct	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f DAVID GEORGE BUCK	FID	IWF	B	1500	47.14	n/a	n/a	0.00	0.0
MATLIN PATTERSON	046	IYR	S	250,000	42.03	n/a	n/a	7,500.00	3.0
B BUCK CAPITAL MGMT		JCG	S	20,000	42.15	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		JOSB	B	20,000	43.36	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	JWN	B	60,000	32.35	n/a	9-Oct	2,400.00	4.0
B BUCK CAPITAL MGMT		JWN	B	32,500	32.30	n/a	9-Oct	non-brg	4.0
f STRATTON PAR TNERSHI	FID	KVHI	B	300	10.50	n/a	n/a	0.00	0.0
LONG OAR GLOBAL INV	040	LAD	S	1,700	11.29	n/a	n/a	68.00	4.0
FORD FDN.	032	LMT	B	25,000	70.87	n/a	22-Oct	1,000.00	4.0
METROPOLITAN CAPITAL	044	LMT	B	5,450	70.45	n/a	22-Oct	272.50	5.0
f DAVID GEORGE BUCK	FID	LNCR	S	1500	31.90	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		LTD	B	10,000	17.92	n/a	n/a	non-brg	4.0
EPOCH INV MGMT	030	MA	S	1,800	220.53	n/a	27-Oct	54.00	3.0
ROTHSCHILD ASSET	040	MCD	B	12,340	59.12	n/a	23-Oct	555.30	4.5
ROYCE TRADING	216	MEG	S	5,000	10.01	n/a	n/a	250.00	5.0
EXIS CAPITAL	044	MET	B	20,000	35.45	n/a	n/a	1,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLUMBIA PARTNERS	028	MFE	S	29,873	43.36	n/a	n/a	1,194.92	4.0
NEWCASTLE FUNDS	255	MS	B	93,500	34.60	n/a	22-Oct	3,740.00	4.0
B BUCK CAPITAL MGMT		MVRX	SS	60,000	164.98	n/a	n/a	non-brg	16.5
B BUCK CAPITAL MGMT		M	B	20,000	18.41	n/a	9-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		M	B	57,800	18.16	n/a	9-Oct	non-brg	4.0
SOROS	036	M	B	100,000	18.38	n/a	9-Oct	4,000.00	4.0
ROYCE TRADING	216	NPO	S	5,000	22.35	n/a	n/a	250.00	5.0
B BUCK CAPITAL MGMT		PAG	B	63,300	16.74	n/a	19-Oct	non-brg	4.0
COUGAR TRADING	044	PAG	S	10,000	16.75	n/a	19-Oct	500.00	5.0
ROYCE TRADING	216	PBY	S	5,000	9.39	n/a	n/a	250.00	5.0
B BUCK CAPITAL MGMT		PIR	B	30,000	3.60	n/a	n/a	non-brg	1.0
f EDWARD W WHEELER	FID	PRCP	B	7900	3.59	n/a	n/a	0.00	0.0
DENVER INST. ADV	046	PRGO	B	55,900	36.98	n/a	26-Oct	2,236.00	4.0
MTB INV ADV	034	PVH	B	6,200	41.77	n/a	n/a	310.00	5.0
f ALEXANDER A SACCO	FID	PVTB	B	135	9.94	n/a	n/a	0.00	0.0
PAW PARTNERS	045	REG	S	5,000	35.39	n/a	n/a	250.00	5.0
f STRATTON PAR TNERSHI	FID	REG	S	75	35.25	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
B BUCK CAPITAL MGMT		RF	B	2,000	5.07	n/a	n/a	non-brg 3.0
BUCK CAPITAL MGMT	001	RL	B	15,000	75.74	n/a	n/a	600.00 4.0
HUNTER GLOBAL INVESTOR	067	RL	B	35,000	75.91	n/a	n/a	1,750.00 5.0
B BUCK CAPITAL MGMT		SBUX	C	30,000	19.19	n/a	2-Oct	non-brg 4.0
MANNING & NAPIER	034	SEIC	S	20,800	18.05	n/a	n/a	624.00 3.0
MILLENIUM PARTNERS	028	SHAW	B	10,000	28.09	n/a	n/a	600.00 6.0
B BUCK CAPITAL MGMT		SKX	S	20,000	23.92	n/a	n/a	non-brg 4.0
DAVIDSON KEMPNER ADVISOR	040	SPY	SS	14,500	106.75	n/a	n/a	725.00 5.0
f DAVID GEORGE BUCK	FID	STI	B	2000	19.22	n/a	n/a	0.00 0.0
f DAVID GEORGE BUCK	FID	STI	S	2000	19.56	n/a	n/a	0.00 0.0
B BUCK CAPITAL MGMT		STT	B	24,000	43.57	n/a	23-Oct	non-brg 4.0
BUCK CAPITAL MGMT	001	TGT	S	20,000	48.78	n/a	21-Oct	800.00 4.0
B BUCK CAPITAL MGMT		THI	C	60,000	29.48	n/a	n/a	non-brg 4.0
EPOCH INV MGMT	030	TJX	B	100,000	39.75	n/a	21-Oct	3,000.00 3.0
LEVEL GLOBAL SHARED ACCT	257	TJX	S	50,000	39.80	n/a	21-Oct	1,500.00 3.0
BUCK CAPITAL MGMT	001	TLB	B	30,000	10.27	n/a	n/a	1,200.00 4.0
B BUCK CAPITAL MGMT		TWB	B	20,000	8.80	n/a	n/a	non-brg 3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HUNTER GLOBAL INVESTOR	067	T	B	477,507	25.55	n/a	n/a	23,875.35	5.0
B BUCK CAPITAL MGMT		URBN	B	20,000	32.00	n/a	n/a	non-brg	4.0
ROSEDALE CAPITAL	046	VLO	B	20,000	19.68	n/a	n/a	1,000.00	5.0
f DAVID GEORGE BUCK	FID	VRSK	S	2000	28.30	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	V	S	4,800	73.09	n/a	27-Oct	144.00	3.0
KLEINHEINZ CAP PART	031	WMT	S	25,000	49.83	n/a	23-Oct	1,250.00	5.0
EPOCH INV MGMT	030	WRC	B	100,000	42.53	n/a	2-Oct	3,000.00	3.0
SCOPUS FUND	041	WRC	B	2,800	42.02	n/a	2-Oct	140.00	5.0
COLONIAL FUND LLC	036	WYNN	S	20,000	58.85	n/a	26-Oct	1,000.00	5.0
EXIS CAPITAL	044	WYNN	S	15,000	57.02	n/a	26-Oct	750.00	5.0
TRELLUS PARTNERS LP	028	WYNN	B	10,000	56.98	n/a	26-Oct	500.00	5.0
B BUCK CAPITAL MGMT		XRT	SS	12,500	35.64	n/a	n/a	non-brg	0.8
TOTAL (Trade Date):								144,149.08	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/26	VISIUM/BALY HOWARD	038	BKC	B	40,000	17.89	n/a	27-Oct	2000.00 5.0
AO,CRT	10/26	VISIUM/BALY HOWARD	038	BKC	B	40,000	17.89	n/a	27-Oct	2000.00 5.0
AO,CRT	10/22	EPOCH INV MGMT	030	LMT	B	10	71.62	n/a	22-Oct	0.30 3.0
AO,CXL	10/22	EPOCH INV MGMT	030	LMT	B	10	71.62	n/a	22-Oct	0.30 3.0
AO,CRT	10/26	PATTEN & PATTEN	067	PFE	S	2,772	17.12	n/a	n/a	138.60 5.0
AO,CXL	10/26	PATTEN & PATTEN	067	PFE	S	2,772	17.12	n/a	n/a	138.60 5.0
AO,	10/26	MANNING & NAPIER	034	SEIC	S	219,882	18.12	n/a	n/a	6596.46 3.0
TOTAL (AO, CXL, CRT) :										6,596.46

TOTAL (Trade Date):	144,149.08
TOTAL (AO, CXL, CRT):	6,596.46

TOTAL (RUN DATE) / NFS:	150,745.54
--------------------------------	-------------------

MRI Securities with Trade Activity on 27-Oct.

BEN

MRI Securities without Trade Activity on 27-Oct.

WDR, AVY

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

T-Date = 14%

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)