



Daily Compliance Activity Report

Trade Date: 05/11/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOPUS FUND	041	AAP	B	5,000	40.79	n/a	n/a	250.00	5.0
1798 CAPITAL MGMT	040	AEO	B	10,000	14.64	20-Apr	8-May	500.00	5.0
NEWCASTLE FUNDS	255	AEO	S	20,000	14.93	20-Apr	8-May	800.00	4.0
B BUCK CAPITAL MGMT		AMT	B	20,500	29.05	n/a	n/a	non-brg	4.0
CADIAN CAPITAL	067	ANF	S	50,000	25.48	16-Apr	8-May	2,000.00	4.0
FIRST NEW YORK LEDDY	035	ATML	B	20,000	3.53	n/a	n/a	1,200.00	6.0
BUCK CAPITAL MGMT	001	AVP	SS	50,000	22.88	25-Feb	6-May	2,000.00	4.0
SAB CAPITAL	034	AXS	S	100,000	24.81	n/a	n/a	5,000.00	5.0
B BUCK CAPITAL MGMT		BAC	B	20,000	13.15	11-May	11-May	non-brg	1.0
B BUCK CAPITAL MGMT		BBBY	C	9,000	27.91	n/a	n/a	non-brg	4.0
RDK CAPITAL MGMT	034	BBBY	B	10,000	27.74	n/a	n/a	400.00	4.0
HIGHBRIDGE/MS OLDS	041	BBT	B	40,300	24.34	n/a	n/a	2,015.00	5.0
1798 CAPITAL MGMT	040	BBY	C	10,000	37.94	n/a	27-Jul	500.00	5.0
JP MORGAN VENTURES	046	BBY	SS	20,000	36.98	n/a	27-Jul	1,000.00	5.0
WILLOW CREEK	033	BEAT	SS	5,000	17.06	n/a	n/a	200.00	4.0
BALYASNY ASSET MGMT	044	BEN	B	35,000	63.60	11-May	11-May	1,750.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		BWA	C	9,000	29.77	1-May	1-May	non-brg	1.0
f KEVIN MICHAEL O'GORM	FID	BZ	S	10000	2.25	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	CLX	SS	80,000	51.84	10-Feb	20-Mar	3,200.00	4.0
B BUCK CAPITAL MGMT		COF	B	20,000	27.86	n/a	7-May	non-brg	1.0
B BUCK CAPITAL MGMT		COH	S	50,000	25.28	9-Jan	22-Apr	non-brg	4.0
B BUCK CAPITAL MGMT		COST	SS	140,000	46.05	n/a	27-Jul	non-brg	4.0
JP MORGAN VENTURES	046	COST	SS	10,000	45.46	n/a	27-Jul	500.00	5.0
B BUCK CAPITAL MGMT		CPKI	C	5,000	14.91	n/a	8-May	non-brg	4.0
B BUCK CAPITAL MGMT		DFS	B	25,000	10.00	n/a	7-May	non-brg	1.0
HIGHBRIDGE/MS OLDS	041	DISH	S	50,000	17.92	n/a	4-Jan	2,500.00	5.0
f CHRISTOPHER ARTHUR K	FID	DXO	B	8000	3.45	n/a	n/a	0.00	0.0
1798 CAPITAL MGMT	040	ERTS	B	5,000	20.53	n/a	n/a	250.00	5.0
B BUCK CAPITAL MGMT		ESI	C	30,000	96.41	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		FBN	C	87,742	4.39	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		FOSL	S	30,000	19.55	n/a	30-Jan	non-brg	4.0
BUCK CAPITAL MGMT	001	GCO	S	20,000	23.76	n/a	10-Jan	800.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
1798 CAPITAL MGMT	040	GES	S	5,000	24.71	n/a	n/a	250.00	5.0
PATTEN & PATTEN	067	GE	B	10,600	14.20	n/a	n/a	530.00	5.0
⚡ BUCK CAPITAL MGMT		GIL	S	110,000	12.07	11-Dec	14-Apr	non-brg	4.0
⚡ BUCK CAPITAL MGMT		GIL	S	190,000	11.98	11-Dec	14-Apr	non-brg	1.0
BUCK CAPITAL MGMT	001	GME	B	100,000	25.74	n/a	n/a	4,000.00	4.0
1798 CAPITAL MGMT	040	GPS	B	15,000	16.60	n/a	30-Jan	750.00	5.0
AVESTA CAP	229	HD	B	50,000	24.73	n/a	5-May	2,000.00	4.0
⚡ CHRISTOPHER ARTHUR K	FID	HUOQF	S	40	0.70	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		ICON	S	50,000	15.00	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		IMAX	B	47,564	7.14	n/a	n/a	non-brg	2.5
CATAPULT	040	IP	SS	25,000	14.13	n/a	1-May	1,250.00	5.0
⚡ BUCK CAPITAL MGMT		JAS	B	50,000	20.79	n/a	n/a	non-brg	4.0
1798 CAPITAL MGMT	040	JCP	S	15,000	29.00	13-Apr	8-May	750.00	5.0
CADIAN CAPITAL	067	JCP	B	15,000	29.15	13-Apr	8-May	600.00	4.0
CADIAN CAPITAL	067	JCP	S	30,000	29.22	13-Apr	8-May	1,200.00	4.0
⚡ NICOLAS EVAN PAKLER	FID	JNK	B	100	34.20	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		JNY	S	50,000	9.28	n/a	30-Apr	non-brg	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEWLAND CAPITAL MGT	067	LECO	B	5,000	44.14	n/a	n/a	200.00	4.0
MILLENIUM PARTNERS	028	LOW	B	30,400	19.11	31-Mar	5-May	1,216.00	4.0
WILLOW CREEK	033	LRN	SS	5,000	15.80	n/a	n/a	200.00	4.0
SIGMA CAPITAL ASSOCIATES	041	LTD	S	100,000	11.62	8-Jan	30-Jan	4,000.00	4.0
B BUCK CAPITAL MGMT		LVS	S	100,000	9.92	n/a	n/a	non-brg	3.0
CASTLE ARK	031	MS	B	244,730	26.72	11-May	11-May	14,683.80	6.0
UBS OCONNOR	031	MS	SS	75,000	26.76	11-May	11-May	2,250.00	3.0
B BUCK CAPITAL MGMT		MVRX	SS	60,000	121.71	n/a	n/a	non-brg	12.2
B BUCK CAPITAL MGMT		NILE	SS	30,000	45.64	n/a	n/a	non-brg	1.0
SCOPUS FUND	041	NP	B	27,500	7.98	13-Mar	20-Apr	1,375.00	5.0
TRELLUS PARTNERS LP	028	PCL	S	10,000	34.96	n/a	29-Apr	500.00	5.0
B BUCK CAPITAL MGMT		PETM	SS	40,000	21.25	n/a	n/a	non-brg	4.0
CR INTRINIC INVESTMENT	044	PFE	S	125,000	14.16	n/a	31-Mar	5,000.00	4.0
B BUCK CAPITAL MGMT		PLCE	S	50,000	33.49	19-Mar	8-May	non-brg	4.0
SAC CAP/ROSEN FOR BOBBY	044	PPG	B	50,600	43.65	n/a	17-Apr	2,530.00	5.0
JETSTREAM GLOBAL FUND LP	065	QCOR	S	88,000	4.63	n/a	n/a	3,520.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
1798 CAPITAL MGMT	040	RCL	S	30,000	15.77	22-Apr	24-Apr	1,500.00	5.0
HIGHBRIDGE/MS OLDS	041	ROST	SS	100,000	35.45	n/a	n/a	5,000.00	5.0
CIRCLE T/SES PART	035	SBUX	B	25,000	13.23	20-Apr	30-Apr	1,250.00	5.0
f JOHN MICHAEL ZOLIDIS	FID	SKF	B	300	41.07	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKX	S	6,600	10.53	n/a	13-Mar	264.00	4.0
B BUCK CAPITAL MGMT		SKX	S	15,400	10.39	n/a	13-Mar	non-brg	4.0
B BUCK CAPITAL MGMT		SKX	S	8,000	10.53	n/a	13-Mar	non-brg	4.0
BELLMAN WALTERSS CAP	033	SLM	B	100,000	5.84	23-Apr	11-May	5,000.00	5.0
GRANITE CAPITAL	045	SLM	B	10,000	5.84	23-Apr	11-May	500.00	5.0
LAGRANGE CAP ADV	048	SLM	B	15,000	5.77	23-Apr	11-May	750.00	5.0
B BUCK CAPITAL MGMT		SPLS	SS	50,000	19.53	n/a	27-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		SUMR	B	586	2.68	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		SUP	C	4,000	14.35	27-Feb	11-May	non-brg	2.5
AVESTA CAP	229	TJX	B	50,000	27.46	4-May	8-May	2,000.00	4.0
SAC CAP/ROSEN FOR BOBBY	044	TWX	S	11,000	24.84	n/a	n/a	550.00	5.0
B BUCK CAPITAL MGMT		UA	SS	30,000	22.17	29-Apr	29-Apr	non-brg	4.0
PAULSON & CO INC	041	UCBH	C	303,810	2.55	n/a	n/a	9,114.30	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLUMBIA PARTNERS	028	USB	S	90,667	19.02	n/a	n/a	2,720.01	3.0
f CHRISTOPHER ARTHUR K	FID	UYG	B	5000	4.36	n/a	n/a	0.00	0.0
f ANDREW SINCLAIR	FID	WFCSC	S	100	0.37	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		WYNN	C	80,000	48.41	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		XRT	C	40,000	27.05	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		XRT	SS	150,000	27.26	n/a	n/a	non-brg	1.0
TOTAL (Trade Date):							100,318.11		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	05/05	PHILADELPHIA FINANCIAL	033	EVR	S	23,000	19.29	n/a	n/a	920.00 4.0
AO,CXL	05/05	PHILADELPHIA FINANCIAL	033	EVR	S	23,000	19.29	n/a	n/a	1150.00 5.0
AO,CXL	05/06	PHILADELPHIA FINANCIAL	033	EVR	S	12,800	19.00	n/a	n/a	640.00 5.0
AO,CRT	05/06	PHILADELPHIA FINANCIAL	033	EVR	S	12,800	19.00	n/a	n/a	512.00 4.0
AO,CXL	05/08	ROARING BLUE LION MGMT	012	KEG	S	27,000	6.00	n/a	3-Apr	1080.00 4.0
AO,CRT	05/08	ROARING BLUE LION MGMT	012	KEG	S	27,000	6.00	n/a	3-Apr	810.00 3.0
AO,CRT	05/08	CADIAN CAPITAL	067	PVH	B	50,000	26.91	20-Apr	20-Apr	1500.00 3.0
AO,CXL	05/08	CADIAN CAPITAL	067	PVH	B	50,000	26.91	20-Apr	20-Apr	2000.00 4.0
AO,CRT	05/08	CADIAN CAPITAL	067	WSM	SS	75,000	12.68	n/a	n/a	2250.00 3.0
AO,CXL	05/08	CADIAN CAPITAL	067	WSM	SS	75,000	12.68	n/a	n/a	3000.00 4.0
TOTAL (AO, CXL, CRT) :										-1,878.00

TOTAL (Trade Date) :	100,318.11
TOTAL (AO, CXL, CRT) :	-1,878.00

TOTAL (RUN DATE) / NFS:	98,440.11
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MRI Securities with Trade Activity on 11-May.
BAC, BEN, MS

MRI Securities without Trade Activity on 11-May.

AB, AMG, BK, GS, IVZ, RDEN, WMT

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

T-Date = 17%

YTD = 22%

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)