



Daily Compliance Activity Report

Trade Date: 02/27/2009

Potential ANALYST TRADE Violations: 0

BCM Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f KAREN F LEDDY	FID	AB	B	200	12.10	20-Feb	25-Feb	0.00	0.0
WEINTRAUB CAPITAL MGT.	040	ANN	SS	100,000	6.47	n/a	30-Jan	3,000.00	3.0
PECONIC PARTNERS	036	AN	S	300,000	10.19	30-Jan	30-Jan	15,000.00	5.0
f ANDREW SINCLAIR	FID	APCEI	B	200	0.90	n/a	n/a	0.00	0.0
CASTLE ARK	031	APC	B	115,000	35.41	3-Feb	11-Feb	6,900.00	6.0
B BUCK CAPITAL MGMT		ARE	SS	30,000	39.97	n/a	n/a	non-brg	4.0
RBC CAPITAL MARKETS	034	ARO	S	20,000	23.31	n/a	6-Feb	800.00	4.0
B BUCK CAPITAL MGMT		ATVI	B	50,000	10.06	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		ATVI	B	50,000	10.10	n/a	n/a	non-brg	4.0
f FRANCIS MICHAEL MCCA	FID	BGZ	S	200	90.04	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	BGZ	S	63	91.01	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	BGZ	S	5000	88.88	n/a	n/a	0.00	0.0
MERRILL ASSET	032	BKC	B	14,200	21.55	6-Feb	27-Feb	639.00	4.5
B BUCK CAPITAL MGMT		BKE	B	50,000	23.77	n/a	n/a	non-brg	4.0
PRINCIPLE CAPITAL	040	BLK	SS	29,400	98.17	11-Feb	26-Feb	1,176.00	4.0
RAIL-SPLITTER	031	BLK	SS	13,400	99.32	11-Feb	26-Feb	670.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MARINER/TRICADIA	041	BWA	B	10,000	17.10	27-Jan	13-Feb	400.00	4.0
ß BUCK CAPITAL MGMT		COH	B	100,000	14.16	9-Jan	22-Jan	non-brg	4.0
WASHINGTON ASSET	048	COST	B	4,000	42.90	n/a	27-Jul	200.00	5.0
Õ Doug Rogers		CPN	S	4593	5.86	n/a	n/a	0.00	0.0
Õ Doug Rogers		CPN	S	843	5.86	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CTX	B	49,000	6.30	n/a	n/a	non-brg	3.0
AMBER CAPITAL	046	C	B	25,000	1.53	n/a	27-Feb	375.00	1.5
ß BUCK CAPITAL MGMT		DECK	B	10,000	42.00	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		DECK	B	10,000	42.34	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		DECK	B	5,000	41.89	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		DECK	B	90,000	42.50	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		EGP	SS	30,000	25.25	n/a	n/a	non-brg	4.0
AVESTA CAP	229	EIX	SS	100,000	26.82	n/a	29-Jun	5,000.00	5.0
ß BUCK CAPITAL MGMT		ETN	C	39,500	37.06	26-Jan	26-Jan	non-brg	4.0
CUMBERLAND	038	EXH	B	5,000	17.76	27-Jan	26-Feb	200.00	4.0
BUCK CAPITAL MGMT	001	FDO	SS	20,000	27.19	7-Jan	4-Feb	800.00	4.0
ß BUCK CAPITAL MGMT		FO	SS	30,000	24.31	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	GES	S	180,000	16.03	n/a	n/a	7,200.00	4.0
⌘ BUCK CAPITAL MGMT		GES	S	120,000	15.96	n/a	n/a	non-brg	2.0
f EDWARD W WHEELER	FID	GEWIA	B	120	0.96	n/a	n/a	0.00	0.0
f BARBARA S LEDDY	FID	GE	B	250	8.52	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		GIII	B	10,000	3.45	n/a	n/a	non-brg	2.5
US BANCORP	030	GOOG	B	19,353	339.99	n/a	n/a	967.65	5.0
f FRANCIS MICHAEL MCCA	FID	GR	B	200	33.38	4-Feb	4-Feb	0.00	0.0
CASTLE ARK	031	GS	B	40,560	91.44	15-Sep	26-Feb	2,433.60	6.0
⌘ BUCK CAPITAL MGMT		GYMB	B	10,000	25.82	n/a	6-Feb	non-brg	1.0
⌘ BUCK CAPITAL MGMT		GYMB	B	25,000	25.96	n/a	6-Feb	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GYMB	B	25,000	26.04	n/a	6-Feb	non-brg	1.5
f JONATHAN RICHARD HAR	FID	HYG	B	74	67.10	n/a	n/a	0.00	0.0
US BANCORP	030	IBM	B	49,095	92.02	n/a	n/a	2,454.75	5.0
f JOHN MICHAEL ZOLIDIS	FID	JCG	B	1000	10.77	n/a	30-Jan	0.00	0.0
BUCK CAPITAL MGMT	001	JNY	B	100,000	2.78	n/a	11-Feb	3,000.00	3.0
HIGHBRIDGE CAPITAL	038	JOYG	S	65,000	17.60	26-Jan	26-Jan	3,250.00	5.0
COUGAR TRADING	044	KSS	S	5,000	34.55	n/a	27-Feb	250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		LEN	B	56,000	6.79	n/a	n/a	non-brg	3.0
⚡ BUCK CAPITAL MGMT		MDC	B	12,500	25.64	n/a	n/a	non-brg	4.0
HIGHFIELDS CAP MGMT	039	MOT	B	150,000	3.55	n/a	n/a	3,000.00	2.0
BUCK CAPITAL MGMT	001	MVL	SS	20,000	25.48	n/a	n/a	800.00	4.0
PROSPECTOR PARTNERS LLC	036	NP	B	10,000	5.32	16-Dec	20-Jan	400.00	4.0
MATRIX ASSET ADV.	036	OMC	S	10,000	24.42	n/a	n/a	400.00	4.0
OZ MGMT	040	PDE	S	250,000	17.33	n/a	n/a	7,500.00	3.0
⚡ BUCK CAPITAL MGMT		PFCB	C	5,800	18.95	8-Jan	12-Feb	non-brg	1.0
⚡ BUCK CAPITAL MGMT		PLCE	S	179,000	18.38	6-Jan	6-Feb	non-brg	4.0
JP MORGAN VENTURES	046	PLCE	B	30,000	18.19	6-Jan	6-Feb	1,500.00	5.0
⚡ BUCK CAPITAL MGMT		PNRA	B	50,000	44.10	n/a	13-Feb	non-brg	4.0
⚡ BUCK CAPITAL MGMT		PSUN	B	11,600	1.41	6-Feb	6-Feb	non-brg	1.0
US BANCORP	030	QCOM	B	47,080	33.96	n/a	n/a	2,354.00	5.0
⚡ BUCK CAPITAL MGMT		RYL	B	21,000	14.34	n/a	n/a	non-brg	4.0
EPOCH INV MGMT	030	SCG	B	4,450	30.25	n/a	n/a	178.00	4.0
f MARC PAUL LUCHANSKY	FID	SDS	B	1000	98.28	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JOHN MICHAEL ZOLIDIS	FID	SEF	S	100	105.00	n/a	n/a	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	SEF	S	200	104.00	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	SIMG	B	14,950	2.39	n/a	n/a	598.00	4.0
BABSON/OFI/TRINITY	039	SKX	B	2,100	6.53	n/a	13-Mar	84.00	4.0
BUCK CAPITAL MGMT	001	SKX	B	40,000	6.48	n/a	13-Mar	1,200.00	3.0
B BUCK CAPITAL MGMT		SKX	B	10,000	6.42	n/a	13-Mar	non-brg	1.0
EPOCH INV MGMT	030	SLGN	B	3,200	49.19	n/a	n/a	128.00	4.0
OZ MGMT	040	SLM	B	350,000	5.16	27-Feb	27-Feb	7,000.00	2.0
EPOCH INV MGMT	030	SPY	B	10,850	74.17	n/a	n/a	434.00	4.0
EPOCH INV MGMT	030	SUG	B	7,200	13.48	n/a	n/a	288.00	4.0
B BUCK CAPITAL MGMT		SUP	SS	20,000	10.56	27-Feb	27-Feb	non-brg	4.0
COUGAR TRADING	044	SUP	SS	15,000	10.18	27-Feb	27-Feb	750.00	5.0
MILLRACE FUND LP	028	SUP	SS	700	10.27	27-Feb	27-Feb	28.00	4.0
f CHRISTOPHER ARTHUR K	FID	SWNCG	S	100	0.31	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	SWY	B	1,000	18.60	n/a	n/a	40.00	4.0
f ANDREW SINCLAIR	FID	TBTCW	S	200	1.60	n/a	n/a	0.00	0.0
STG INVESTORS	041	TGT	B	25,000	28.56	25-Feb	25-Feb	1,000.00	4.0
PRINCIPLE CAPITAL	040	TIF	SS	97,600	19.23	n/a	30-Jan	2,928.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		TIN	S	112,000	4.79	5-Dec	28-Jan	non-brg	1.0
EPOCH INV MGMT	030	TMO	B	2,150	36.54	n/a	n/a	86.00	4.0
⚡ BUCK CAPITAL MGMT		TRLG	S	25,000	10.62	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		TRLG	S	75,000	10.56	n/a	n/a	non-brg	2.5
f JONATHAN RICHARD HAR	FID	TZA	S	64	81.00	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		VNO	SS	30,000	33.94	n/a	n/a	non-brg	4.0
EPOCH INV MGMT	030	VTR	B	800	21.49	n/a	n/a	32.00	4.0
f JASON ERIC COHEN	FID	WFC	S	60	12.98	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	WFR	B	900	14.96	n/a	n/a	36.00	4.0
EPOCH INV MGMT	030	WFT	B	900	10.69	n/a	n/a	36.00	4.0
EPOCH INV MGMT	030	WMI	B	3,700	27.05	n/a	n/a	148.00	4.0
MATRIX ASSET ADV.	036	WMT	S	5,000	49.88	10-Oct	18-Feb	200.00	4.0
⚡ BUCK CAPITAL MGMT		WRC+GE[???	SS	1,000	2.30	n/a	n/a	non-brg	300.0
⚡ BUCK CAPITAL MGMT		WRC	S	50,000	21.32	27-Feb	27-Feb	non-brg	1.0
⚡ BUCK CAPITAL MGMT		WRC	S	88,000	21.46	27-Feb	27-Feb	non-brg	2.0
COUGAR TRADING	044	WRC	S	7,800	21.96	27-Feb	27-Feb	390.00	5.0
⚡ BUCK CAPITAL MGMT		WSM	SS	50,000	8.53	n/a	n/a	non-brg	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	WYN	B	50,000	3.81	n/a	n/a	1,000.00	2.0
BUCK CAPITAL MGMT		XRT	SS	400,000	19.59	n/a	n/a	non-brg	1.0
MERRILL ASSET	032	XRX	S	400,000	5.17	n/a	n/a	18,000.00	4.5
LISTED ERR	099	XRX	B	200	5.17	n/a	n/a	0.00	0.0
MILLENIUM PARTNERS	028	YHOO	B	51,350	13.00	n/a	n/a	2,054.00	4.0
BUCK CAPITAL MGMT	001	ZQK	S	50,000	1.32	19-Dec	27-Jan	500.00	1.0
TOTAL (Trade Date):								107,808.00	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	02/26	HIGHBRIDGE CAPITAL	038	DTV	SS	6,000	21.16	n/a	4-Jan	240.00 4.0
AO,CXL	02/26	HIGHBRIDGE CAPITAL	038	DTV	SS	6,000	21.16	n/a	4-Jan	300.00 5.0
AO,	02/26	COLUMBUS CIRCLE	036	KR	S	215,943	20.44	n/a	n/a	8637.72 4.0
AO,CRT	02/26	JP MORGAN VENTURES	046	SD	S	200,000	6.61	n/a	n/a	6000.00 3.0
AO,CXL	02/26	JP MORGAN VENTURES	046	SD	S	200,000	6.61	n/a	n/a	10000.00 5.0

TOTAL (AO, CXL, CRT) :	4,577.72
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TOTAL (Trade Date) :	107,808.00
TOTAL (AO, CXL, CRT) :	4,577.72

TOTAL (RUN DATE) / NFS:	112,385.72
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MRI Securities with Trade Activity on 27-Feb. SLM, SUP, WRC
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MRI Securities without Trade Activity on 27-Feb. OCR, SWN
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BRG comm. as a % of BCM Total Comm. paid.

T-Date = 22%

YTD = 25%

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

BCM Watch List Trades

f: Employee Trades (Fidelity)