



Daily Compliance Activity Report

Trade Date: 09/08/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RAIL-SPLITTER	031	AB	S	7,400	22.79	31-Jul	2-Sep	370.00	5.0
B BUCK CAPITAL MGMT		AEO	B	65,000	15.00	25-Jun	4-Sep	non-brg	4.0
f JOSEPH CIRO AMATURO	FID	AEO	B	3000	14.94	25-Jun	4-Sep	0.00	0.0
DIAMONDBACK CAP MGMT	232	ANR	B	10,000	36.08	n/a	n/a	500.00	5.0
KAILIX INV ADV	048	ANR	S	5,000	36.27	n/a	n/a	250.00	5.0
B BUCK CAPITAL MGMT		AN	B	20,000	18.06	3-Aug	5-Aug	non-brg	0.8
f NEIL M STRATTON	FID	BK	S	200	28.50	11-May	12-Aug	0.00	0.0
B BUCK CAPITAL MGMT		BONT	B	43,677	7.76	n/a	6-Feb	non-brg	2.5
KAILIX INV ADV	048	CAL	S	10,000	13.63	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		CHRS	S	50,000	5.14	n/a	22-Mar	non-brg	3.0
B BUCK CAPITAL MGMT		COST	C	50,000	56.81	n/a	27-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		CRM	C	20,000	53.56	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CTAS	C	20,000	27.91	n/a	n/a	non-brg	4.0
KAILIX INV ADV	048	DAL	S	15,000	7.33	n/a	n/a	750.00	5.0
FIRST NY SEC/CHRIS	041	DAN	B	25,000	5.03	n/a	n/a	1,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		DBRN	B	70,000	16.76	n/a	n/a	non-brg	4.0
RDK CAPITAL MGMT	034	DELL	S	25,000	15.74	n/a	n/a	1,000.00	4.0
f WILLIAM RAYMOND KATZ	FID	DXO	S	1000	4.35	n/a	n/a	0.00	0.0
f FRANCIS MICHAEL MCCA	FID	FL	B	400	10.74	27-Aug	27-Aug	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FSLR	B	100	133.44	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		F	B	25,000	7.47	27-Aug	2-Sep	non-brg	3.0
f CICYLY S BACKUS	FID	F	B	10000	7.37	27-Aug	2-Sep	0.00	0.0
f LEE F BACKUS	FID	F	B	4000	7.37	27-Aug	2-Sep	0.00	0.0
TRELLUS PARTNERS LP	028	F	B	25,000	7.37	27-Aug	2-Sep	750.00	3.0
GREEN ARROW DOUG	040	GE	B	25,000	14.48	n/a	n/a	1,250.00	5.0
B BUCK CAPITAL MGMT		GRMN	C	30,000	33.87	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	HOG	B	40,000	24.54	n/a	n/a	1,600.00	4.0
MFP INVESTORS	032	HOG	B	100,000	24.62	n/a	n/a	5,000.00	5.0
FIRST INV MGMT CO	029	HRB	B	34,300	16.80	n/a	n/a	1,715.00	5.0
MELLON/BANK OF NEW YORK	046	INTC	S	80,080	19.78	n/a	n/a	4,004.00	5.0
SYSTEMATIC FINANCIAL MGT	035	IR	B	110,000	31.76	13-Aug	13-Aug	3,850.01	3.5
BALYASNY ASSET MGMT	044	IVZ	B	50,000	22.35	6-Aug	8-Sep	2,500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f FRANCIS MICHAEL MCCA	FID	JEF	B	200	23.65	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		JOSB	S	40,000	46.14	n/a	n/a	non-brg	0.8
TROUBH PART	067	JPM	B	25,000	42.61	7-Aug	17-Aug	1,250.00	5.0
JP MORGAN VENTURES	046	KR	B	20,000	21.94	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	KSS	B	30,000	55.06	14-Aug	4-Sep	1,200.00	4.0
PRIMECAP MGMT	048	LMNX	B	4,900	15.15	n/a	n/a	245.00	5.0
PARTNER REINSURANCE	033	MCD	S	12,450	56.23	n/a	8-Sep	498.00	4.0
RDK CAPITAL MGMT	034	MCD	B	25,000	56.14	n/a	8-Sep	1,000.00	4.0
RDK CAPITAL MGMT	034	MOT	S	24,350	7.92	n/a	n/a	974.00	4.0
CIRCLE T/SES PART	035	MPEL	S	60,000	6.64	n/a	26-Aug	2,400.00	4.0
IRONBOUND CAPITAL	012	MRO	S	200,000	31.58	n/a	n/a	6,000.00	3.0
PROSPECTOR PARTNERS LLC	036	MWV	S	10,000	21.85	n/a	29-Jul	400.00	4.0
FORD FDN.	032	MYL	S	50,000	14.59	n/a	8-Sep	2,500.00	5.0
BUCK CAPITAL MGMT	001	M	B	40,000	15.50	n/a	4-Sep	1,600.00	4.0
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	11.36	11-Aug	11-Aug	400.00	4.0
B BUCK CAPITAL MGMT		NTY	S	10,000	37.32	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DIAMONDBACK CAP MGMT	232	OI	B	25,000	36.00	n/a	n/a	1,250.00	5.0
LATEFF MGMT	035	PRGO	S	2,000	30.26	18-Aug	8-Sep	320.00	16.0
ASCEND PARTNERS	033	PVH	B	28,900	40.29	8-Sep	8-Sep	1,445.00	5.0
COUGAR TRADING	044	PVH	B	10,000	40.34	8-Sep	8-Sep	500.00	5.0
f JOSEPH CIRO AMATURO	FID	PZA	B	1000	23.56	n/a	n/a	0.00	0.0
MELLON/BANK OF NEW YORK	046	QCOM	S	118,654	45.87	n/a	n/a	5,932.70	5.0
MELLON/BANK OF NEW YORK	046	RIMM	B	89,370	79.11	n/a	n/a	4,468.50	5.0
THE BOSTON COMPANY	039	RL	S	29,420	67.97	6-Aug	6-Aug	1,176.80	4.0
B BUCK CAPITAL MGMT		S6RETL	C	50,000	183.19	n/a	n/a	non-brg	18.3
f MARC PAUL LUCHANSKY	FID	SDS	S	500	43.42	n/a	n/a	0.00	0.0
ARMATURE CAPITAL	041	SOA	B	5,000	11.32	n/a	n/a	200.00	4.0
ARCHON CAPITAL	035	SOLF	SS	50,000	6.17	n/a	n/a	1,500.00	3.0
DALTON GREINER	012	SSI	S	10,600	12.32	n/a	4-Sep	530.00	5.0
B BUCK CAPITAL MGMT		SUP	B	10,000	14.45	10-Aug	10-Aug	non-brg	0.8
f ANDREW SINCLAIR	FID	SWGID	S	55	0.11	n/a	n/a	0.00	0.0
GREEN ARROW DOUG	040	SWY	S	25,000	19.73	n/a	n/a	1,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	TGT	B	70,000	47.42	3-Sep	3-Sep	2,800.00	4.0
ß BUCK CAPITAL MGMT		TLB	C	70,000	7.15	n/a	30-Jan	non-brg	3.0
FIRST INV MGMT CO	029	UNH	B	8,000	28.10	n/a	n/a	400.00	5.0
LISTED ERR	099	UNH	B	2,000	28.10	n/a	n/a	0.00	0.0
LISTED ERR	099	UNH	S	2,000	27.97	n/a	n/a	0.00	0.0
f JENNIFER CORWIN GLIC	FID	WMT	S	200	51.62	11-May	13-Aug	0.00	0.0
SCHOTTENFELD ASSOC	041	WY	S	13,300	36.79	n/a	3-Aug	399.00	3.0
HIGHFIELDS CAP MGMT	039	XOM	B	150,000	70.59	n/a	n/a	6,000.00	4.0
ß BUCK CAPITAL MGMT		XRT	C	250,000	32.52	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		XRT	C	57,500	32.39	n/a	n/a	non-brg	0.8
f STEFFANIE CARMELA CA	FID	XSEL	B	500	1.57	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								72,928.01	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	09/04	HIGHBRIDGE CAPITAL	038	RAI	SS	4,346	45.91	n/a	n/a	173.84 4.0
AO,CXL	09/04	HIGHBRIDGE CAPITAL	038	RAI	SS	4,346	45.91	n/a	n/a	217.30 5.0
AO,	09/03	EVERCORE WEALTH MGMT	012	TBT	B	500	46.08	n/a	n/a	25.00 5.0
AO,CXL	09/04	MILLENIUM PARTNERS	028	XHB	SS	26,000	15.03	n/a	n/a	1040.00 4.0
AO,CRT	09/04	MILLENIUM PARTNERS	028	XHB	SS	26,000	15.03	n/a	n/a	1040.00 4.0
AO,CRT	09/04	MILLENIUM PARTNERS	028	XLP	SS	13,000	24.82	n/a	n/a	520.00 4.0
AO,CXL	09/04	MILLENIUM PARTNERS	028	XLP	SS	13,000	24.82	n/a	n/a	520.00 4.0
TOTAL (AO, CXL, CRT) :										-18.46

TOTAL (Trade Date):	72,928.01
TOTAL (AO, CXL, CRT):	-18.46

TOTAL (RUN DATE) / NFS:	72,909.55
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MRI Securities with Trade Activity on 8-Sep.

PVH

MRI Securities without Trade Activity on 8-Sep.

NONE

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

T-Date = 20%

YTD = 21%

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)