



Daily Compliance Activity Report

Trade Date: 11/09/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SONTERRA CAP	041	ACI	SS	10,000	23.06	n/a	n/a	400.00	4.0
CASTLE ARK	031	AEO	S	293,672	16.06	n/a	6-Nov	17,620.32	6.0
EGS ASSOCIATES LP	091	AEO	B	3,000	16.10	n/a	6-Nov	180.00	6.0
f JOSEPH CIRO AMATURO	FID	AEO	B	1700	15.95	n/a	6-Nov	0.00	0.0
B BUCK CAPITAL MGMT		ANF	S	30,000	37.47	n/a	6-Nov	non-brg	4.0
THIRD COAST CAPITAL	035	ANF	S	8,000	37.64	n/a	6-Nov	400.00	5.0
M&I FUNDS	047	ARGN	B	46,734	7.01	n/a	29-Oct	1,402.02	3.0
APEX CAPITAL MGMT.	091	ARO	B	100,000	33.76	n/a	6-Nov	4,000.00	4.0
HOLLIS CAPITAL	033	AVAV	B	3,000	28.65	n/a	n/a	150.00	5.0
COOPER CREEK PART	028	AXL	S	47,900	7.24	n/a	2-Nov	1,437.00	3.0
GLOBAL 56 LLC	060	AXL	S	3,000	7.39	n/a	2-Nov	150.00	5.0
LAGRANGE CAP ADV	048	AXL	S	20,627	7.30	n/a	2-Nov	1,031.35	5.0
B BUCK CAPITAL MGMT		BARC LN	SS	50,000	5.74	n/a	n/a	non-brg	0.9
f CHRISTOPHER ROBERT C	FID	BJBHX	B	290	10.33	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT	001	BKS	B	200,000	17.98	n/a	n/a	8,000.00	4.0
B BUCK CAPITAL MGMT		CAKE	C	50,000	18.80	n/a	23-Oct	non-brg	4.0
f KEVIN MICHAEL O'GORM	FID	CAMP	S	3000	3.00	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DAVIDSON INV ADV	035	CAT	S	64,260	59.90	n/a	21-Oct	2,570.40	4.0
STERLING JOHNSTON	035	CENT	B	54,500	10.24	n/a	n/a	2,180.00	4.0
B BUCK CAPITAL MGMT		CHRS	S	50,000	5.24	n/a	n/a	non-brg	3.0
COLUMBIA PARTNERS	028	CHS	B	27,657	12.98	n/a	n/a	1,106.28	4.0
f EDWARD W WHEELER	FID	CITBQ	S	16700	0.35	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	040	CPRT	B	20,000	33.11	n/a	n/a	800.00	4.0
B BUCK CAPITAL MGMT		CRI	B	50,000	23.90	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CRI	B	50,000	23.97	n/a	n/a	non-brg	2.5
MARINER/TRICADIA	041	CXW	S	10,000	26.06	n/a	n/a	400.00	4.0
EXIS CAPITAL	044	CX	B	10,000	11.78	n/a	n/a	500.00	5.0
f EDWARD W WHEELER	FID	DAN	S	10000	6.93	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		DECK	S	20,000	95.92	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DIA	C	45,000	101.07	n/a	n/a	non-brg	0.8
PARTNER REINSURANCE	033	DISH	S	14,800	19.92	n/a	n/a	592.00	4.0
ROTHSCHILD ASSET	040	DTE	B	9,314	38.71	n/a	n/a	419.15	4.5
f DAVID GEORGE BUCK	FID	DUK	B	1500	16.28	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BRAZOS	031	DYP	S	54,900	8.00	n/a	n/a	1,647.00	3.0
THIRD COAST CAPITAL	035	DYP	S	25,000	8.00	n/a	n/a	1,250.00	5.0
MTB INV ADV	034	FOSL	S	13,200	28.82	n/a	n/a	660.00	5.0
f ALICE BEEBE LONGLEY	FID	F	B	1000	8.11	n/a	4-Nov	0.00	0.0
BUCK CAPITAL MGMT	001	GAP	SS	50,000	12.33	n/a	n/a	2,000.00	4.0
f DAVID GEORGE BUCK	FID	GDQAT	S	15	2.55	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		GIL	B	40,000	19.19	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GME	S	20,000	25.54	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GME	S	50,000	25.33	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GPS	S	50,000	22.89	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GSIC	S	40,000	19.15	n/a	n/a	non-brg	4.0
S.A.C. CAP/ORENSTEIN	044	HON	B	50,000	38.48	n/a	26-Oct	2,000.00	4.0
KLEINHEINZ CAP PART	031	HPQ	B	30,000	49.79	n/a	n/a	1,500.00	5.0
f KAREN F LEDDY	FID	IVZ	S	500	23.42	n/a	9-Nov	0.00	0.0
ROSEDALE CAPITAL	046	JCI	B	10,000	26.70	n/a	28-Oct	500.00	5.0
ß BUCK CAPITAL MGMT		JWN	B	50,000	35.12	n/a	6-Nov	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⚡ BUCK CAPITAL MGMT		KSS	B	20,000	56.64	n/a	6-Nov	non-brg	4.0
KAILIX INV ADV	048	KSU	S	25,000	28.83	n/a	n/a	1,250.00	5.0
f DAVID GEORGE BUCK	FID	LLYLT	S	30	0.45	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	LZFP	S	20	5.20	n/a	n/a	0.00	0.0
LISTED ERR	099	MDU	B	159	21.93	n/a	n/a	0.00	0.0
LISTED ERR	099	MDU	S	159	21.96	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		MFB	B	16,200	15.72	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		MGM	SS	20,000	10.24	n/a	6-Nov	non-brg	4.0
⚡ BUCK CAPITAL MGMT		MGM	SS	20,000	10.45	n/a	6-Nov	non-brg	4.0
CAERUS GLOBAL	041	MPEL	S	50,000	5.15	n/a	n/a	2,000.00	4.0
f DAVID GEORGE BUCK	FID	MSFT	B	1000	28.79	n/a	n/a	0.00	0.0
BRANDWINE	028	MS	B	77,530	33.82	n/a	22-Oct	3,101.20	4.0
⚡ BUCK CAPITAL MGMT		M	B	50,000	19.49	n/a	6-Nov	non-brg	4.0
EXIS CAPITAL	044	M	S	20,000	19.38	n/a	6-Nov	1,000.00	5.0
THOMAS WEISEL ASSET MGMT	035	NGS	B	5,499	18.47	n/a	n/a	164.97	3.0
⚡ BUCK CAPITAL MGMT		NP	S	200	12.24	n/a	12-Oct	non-brg	2.5
⚡ BUCK CAPITAL MGMT		NP	S	200	12.24	n/a	12-Oct	non-brg	2.5

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
ß	BUCK CAPITAL MGMT		NP	S	5,620	12.24	n/a	12-Oct	non-brg 2.5
ß	BUCK CAPITAL MGMT		NP	S	500	12.24	n/a	12-Oct	non-brg 2.5
ß	BUCK CAPITAL MGMT		NP	S	700	12.24	n/a	12-Oct	non-brg 2.5
	BUCK CAPITAL MGMT	001	NTY	S	20,000	40.28	n/a	n/a	800.00 4.0
	ROTHSCHILD ASSET	040	PFS	S	20,900	10.49	n/a	n/a	940.53 4.5
	MILLENIUM PARTNERS	028	PKG	B	30,000	19.63	n/a	22-Oct	1,200.00 4.0
	SCOPUS FUND	041	PKG	B	70,000	19.77	n/a	22-Oct	3,500.00 5.0
ß	BUCK CAPITAL MGMT		PSS	B	100,000	20.23	n/a	n/a	non-brg 4.0
ß	BUCK CAPITAL MGMT		QKLS	B	1,144	6.54	n/a	n/a	non-brg 2.5
	COLUMBUS CIRCLE	036	RIMM	S	7,500	60.97	n/a	n/a	300.00 4.0
	BUCK CAPITAL MGMT	001	RL	S	5,000	81.31	n/a	4-Nov	200.00 4.0
ß	BUCK CAPITAL MGMT		RL	S	5,000	81.38	n/a	4-Nov	non-brg 1.0
	RBC CAPITAL MARKETS	040	RSH	B	5,000	20.39	n/a	n/a	200.00 4.0
	APEX CAPITAL MGMT.	091	SBUX	C	75,000	21.01	n/a	6-Nov	3,000.00 4.0
	ARAGON GLOBAL	041	SBUX	B	22,648	21.04	n/a	6-Nov	1,132.40 5.0
f	MARC PAUL LUCHANSKY	FID	SDS	S	800	37.67	n/a	n/a	0.00 0.0
	ADAGE CAPITAL MGMT	030	SKS	B	100,000	6.38	n/a	n/a	4,000.00 4.0
	BUCK CAPITAL MGMT	001	SKX	S	30,000	23.50	n/a	n/a	1,200.00 4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f CHRISTOPHER ROBERT C	FID	SLV	S	300	17.31	n/a	n/a	0.00	0.0
DAVIDSON KEMPNER ADVISOR	040	SLX	C	2,150	56.66	n/a	n/a	107.50	5.0
B BUCK CAPITAL MGMT		SPY	C	45,000	107.98	n/a	n/a	non-brg	0.8
DAVIDSON KEMPNER ADVISOR	040	SPY	C	1,200	108.48	n/a	n/a	60.00	5.0
f MARC PAUL LUCHANSKY	FID	SPY	B	500	108.55	n/a	n/a	0.00	0.0
f JASON ERIC COHEN	FID	SSHL	B	5	0.80	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SSI	B	20,000	12.05	n/a	6-Nov	800.00	4.0
BAIRD INVESTMENT	047	SWN	B	9,350	46.28	n/a	2-Nov	467.50	5.0
f KAREN F LEDDY	FID	TEX	S	500	21.52	n/a	23-Oct	0.00	0.0
MAIRS AND POWER INV	030	TGT	S	10,000	50.06	n/a	5-Nov	500.00	5.0
f CHRISTOPHER ROBERT C	FID	TROW	S	100	50.31	n/a	9-Nov	0.00	0.0
KAILIX INV ADV	048	TRW	S	40,000	22.61	n/a	n/a	2,000.00	5.0
B BUCK CAPITAL MGMT		TSRA	C	30,000	22.26	n/a	n/a	non-brg	4.0
ROTHSCHILD ASSET	040	UNM	S	21,757	19.85	n/a	n/a	979.09	4.5
DAVIDSON KEMPNER ADVISOR	040	VALE	S	10,000	28.37	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		WWW	B	30,000	27.72	n/a	n/a	non-brg	0.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	WY	B	20,000	38.35	n/a	2-Nov	800.00	4.0
f JOHN MICHAEL ZOLIDIS	FID	XHB	S	600	14.78	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	XLE	S	50	58.09	n/a	n/a	0.00	0.0
TROUBH PART	067	YHOO	B	50,000	16.01	n/a	n/a	2,500.00	5.0
TOTAL (Trade Date):								85,598.71	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	11/06	RWC PARTNERS LTD	067	HUBG	B	90,300	26.64	n/a	n/a	2709.00 3.0
AO,CXL	11/06	RWC PARTNERS LTD	067	HUBG	B	90,300	26.64	n/a	n/a	2709.00 3.0
AO,CRT	11/05	GRUBER MACBAINE	045	WSM	B	20,000	19.13	n/a	n/a	800.00 4.0
AO,CXL	11/05	GRUSS CAPITAL	045	WSM	B	20,000	19.13	n/a	n/a	600.00 3.0
TOTAL (AO, CXL, CRT) :										200.00

TOTAL (Trade Date) :	85,598.71
TOTAL (AO, CXL, CRT) :	200.00

TOTAL (RUN DATE) / NFS:	85,798.71
--------------------------------	------------------

MRI Securities with Trade Activity on 9-Nov.
NONE

MRI Securities without Trade Activity on 9-Nov.
SUP, MON

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 30%
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)