



Daily Compliance Activity Report

Trade Date: 10/07/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		AAI	B	40,000	5.04	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT	001	AAP	SS	30,000	37.99	n/a	n/a	1,200.00	4.0
WEISS PECK	040	AEO	B	6,500	16.64	n/a	5-Oct	325.00	5.0
IMPALA ASSET MMT	012	AKS	SS	100,000	18.86	n/a	n/a	3,000.00	3.0
SANDLER O'NEILL ASSET	031	AMG	B	10,000	65.00	n/a	6-Oct	500.00	5.0
EPOCH INV MGMT	030	AMP	S	6,265	36.48	n/a	n/a	187.95	3.0
f HARALAMBOS EFSTATHI	FID	ANF	B	200	32.51	n/a	5-Oct	0.00	0.0
STRAUSS ASSET MGMT	040	AONE	B	10,000	23.38	n/a	n/a	400.00	4.0
f CHRISTOPHER ARTHUR K	FID	APP	S	5000	2.99	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	ARGN	S	100	7.92	n/a	n/a	0.00	0.0
f HARALAMBOS EFSTATHI	FID	ARO	B	400	43.33	n/a	5-Oct	0.00	0.0
SIGMA CAPITAL ASSOCIATES	041	ARO	B	25,000	42.78	n/a	5-Oct	1,000.00	4.0
f DAVID GEORGE BUCK	FID	AVB	B	700	70.70	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	214	AVGO	B	3,400	16.12	n/a	n/a	153.00	4.5
CIRCLE T/SES PART	035	AXL	S	20,000	6.84	n/a	n/a	800.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MARC PAUL LUCHANSKY	FID	BAC	B	500	17.28	7-Oct	7-Oct	0.00	0.0
f ROBERT M DANIELS	FID	BAC	B	200	17.29	7-Oct	7-Oct	0.00	0.0
SANDLER O'NEILL ASSET	031	BEN	S	24,900	102.37	n/a	6-Oct	1,245.00	5.0
BUCK CAPITAL MGMT	001	BJ	SS	50,000	36.93	n/a	n/a	2,000.00	4.0
RBC CAPITAL MARKETS	040	BJ	SS	20,000	36.98	n/a	n/a	800.00	4.0
SCOPUS FUND	041	BJ	SS	20,000	36.86	n/a	n/a	1,000.00	5.0
f ALEXANDRA ELISE ZOLI	FID	BKF	B	165	42.63	n/a	n/a	0.00	0.0
f NEIL M STRATTON	FID	BKOD	S	3	0.65	n/a	n/a	0.00	0.0
f STRATTON PAR TNERSHI	FID	BKOD	S	3	0.65	n/a	n/a	0.00	0.0
S.A.C.HABER/BOBBY	044	BK	B	305,000	28.43	n/a	6-Oct	12,200.00	4.0
B BUCK CAPITAL MGMT		BONT	B	15,843	7.69	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT	001	BYD	SS	20,000	10.63	n/a	n/a	800.00	4.0
IMPALA ASSET MMT	012	CAL	B	178,000	15.96	n/a	n/a	5,340.00	3.0
STERLING JOHNSTON	035	CENT	B	75,000	11.68	n/a	n/a	3,000.00	4.0
KLEINHEINZ CAP PART	031	CHK	B	75,000	27.93	n/a	n/a	3,750.00	5.0
B BUCK CAPITAL MGMT		CHRS	S	20,000	5.22	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		COH	S	10,000	33.37	n/a	n/a	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B	BUCK CAPITAL MGMT		COH	S	30,000	32.68	n/a	n/a	non-brg	4.0
	TROUBH PART	067	COH	B	20,000	33.43	n/a	n/a	1,000.00	5.0
	US BANCORP	030	COH	B	35,244	33.29	n/a	n/a	1,762.20	5.0
B	BUCK CAPITAL MGMT		COST	SS	50,000	59.71	n/a	n/a	non-brg	4.0
	MILLENIU PARTNERS	028	COST	SS	58,000	59.21	n/a	n/a	2,320.00	4.0
	IMPALA ASSET MMT	012	CSX	B	23,600	42.66	n/a	n/a	944.00	4.0
	IMPALA ASSET MMT	012	CSX	S	100,000	42.37	n/a	n/a	4,000.00	4.0
f	JONATHAN RICHARD HAR	FID	CUHJC	B	20	0.15	n/a	n/a	0.00	0.0
	BALYASNY ASSET MGMT	044	CVS	S	25,000	35.39	n/a	n/a	1,250.00	5.0
	IMPALA ASSET MMT	012	DAL	S	325,000	8.37	n/a	n/a	6,500.00	2.0
	ROYCE TRADING	216	DDS	S	12,500	14.67	n/a	n/a	625.00	5.0
	EXIS CAPITAL	044	DECK	SS	5,000	81.40	n/a	n/a	250.00	5.0
	SUN AMERICA ASSET MGMT	030	DELL	S	85,000	15.38	n/a	n/a	3,400.00	4.0
B	BUCK CAPITAL MGMT		DIA	SS	85,000	97.19	n/a	n/a	non-brg	0.8
f	ALEXANDRA ELISE ZOLI	FID	DIS	B	180	28.31	n/a	n/a	0.00	0.0
	SIGMA CAPITAL ASSOCIATES	041	DKS	B	25,000	23.20	n/a	n/a	1,000.00	4.0
B	BUCK CAPITAL MGMT		DPZ	S	10,000	8.24	n/a	n/a	non-brg	1.0
B	BUCK CAPITAL MGMT		DPZ	S	40,000	8.25	n/a	n/a	non-brg	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		DRI	S	30,000	32.84	n/a	2-Oct	non-brg	4.0
IMPALA ASSET MMT	012	DSX	B	143,000	13.96	n/a	n/a	4,290.00	3.0
BUCK CAPITAL MGMT	001	EAT	S	30,000	14.80	n/a	n/a	1,200.00	4.0
IMPALA ASSET MMT	012	ECHO	SS	42,000	13.65	n/a	n/a	1,260.00	3.0
SCOPUS FUND	041	EL	B	2,500	37.87	n/a	n/a	125.00	5.0
FIRST NEW YORK LEDDY	035	ETFC	B	20,000	1.72	n/a	n/a	1,200.00	6.0
B BUCK CAPITAL MGMT		FINL	S	20,000	10.08	n/a	n/a	non-brg	1.0
ASCEND PARTNERS	033	FL	B	30,000	11.75	n/a	n/a	1,500.00	5.0
BASIX	033	FL	B	17,000	11.76	n/a	n/a	510.00	3.0
B BUCK CAPITAL MGMT		FL	S	100,000	11.82	n/a	n/a	non-brg	4.0
ROARING BLUE LION MGMT	012	FL	B	19,900	11.70	n/a	n/a	796.00	4.0
WEISS PECK	040	FL	B	50,160	11.88	n/a	n/a	2,508.00	5.0
ROYCE TRADING	216	FOE	S	5,000	8.51	n/a	n/a	250.00	5.0
ROYCE TRADING	216	FOH	B	1,000	1.83	n/a	n/a	30.00	3.0
f DAVID GEORGE BUCK	FID	FOLD	S	400	5.00	n/a	n/a	0.00	0.0
ROYCE TRADING	216	GPI	B	500	26.30	n/a	n/a	25.00	5.0
B BUCK CAPITAL MGMT		GSIC	S	20,000	19.73	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	216	HAR	S	3,000	34.01	n/a	n/a	150.00	5.0
ROYCE TRADING	216	HBI	S	5,000	23.17	n/a	n/a	250.00	5.0
B BUCK CAPITAL MGMT		HGG	S	20,000	18.72	n/a	n/a	non-brg	4.0
PRINCIPLE CAPITAL	040	HGSI	S	25,000	19.03	n/a	n/a	750.00	3.0
ROYCE TRADING	216	HRZ	S	10,000	5.77	n/a	n/a	500.00	5.0
IMPALA ASSET MMT	012	HST	B	88,000	11.47	n/a	n/a	2,640.00	3.0
f EDWARD W WHEELER	FID	HWCC	B	5000	11.10	n/a	n/a	0.00	0.0
ROYCE TRADING	216	HXL	S	5,200	10.95	n/a	n/a	260.00	5.0
B BUCK CAPITAL MGMT		IWM	SS	140,000	60.15	n/a	n/a	non-brg	0.8
IMPALA ASSET MMT	012	JBHT	S	46,608	32.71	n/a	n/a	1,864.32	4.0
BUCK CAPITAL MGMT	001	JCG	S	30,000	36.13	n/a	n/a	1,200.00	4.0
JP MORGAN VENTURES	046	JCP	S	25,000	34.89	n/a	5-Oct	1,250.00	5.0
THE JAY GOLDMAN	034	JCP	B	15,000	34.67	n/a	5-Oct	600.00	4.0
THE JAY GOLDMAN	034	JCP	S	25,000	35.13	n/a	5-Oct	1,000.00	4.0
DIAMONDBACK CAP MGMT	232	JNS	SS	20,000	13.98	n/a	7-Oct	1,000.00	5.0
B BUCK CAPITAL MGMT		JOSB	S	20,000	44.59	n/a	n/a	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
THE JAY GOLDMAN	034	JWN	B	10,000	31.98	n/a	5-Oct	400.00	4.0
THE JAY GOLDMAN	034	KSS	S	15,000	57.94	n/a	5-Oct	600.00	4.0
f DAVID GEORGE BUCK	FID	K	B	1000	49.26	n/a	n/a	0.00	0.0
STADIA CAPITAL	035	LTD	B	18,000	17.78	n/a	n/a	720.00	4.0
IMPALA ASSET MMT	012	LUV	B	180,000	9.21	n/a	n/a	3,600.00	2.0
IMPALA ASSET MMT	012	LZ	S	20,000	70.22	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	MGM	SS	25,000	12.15	n/a	n/a	1,000.00	4.0
f DAVID GEORGE BUCK	FID	MSFT	B	1000	25.04	n/a	n/a	0.00	0.0
SENATOR INVESTMENT GROUP	036	MTW	B	75,000	9.65	n/a	n/a	2,250.00	3.0
ROTHSCHILD ASSET	040	MW	B	31,350	24.98	n/a	n/a	1,410.75	4.5
f DAVID GEORGE BUCK	FID	MYRX	B	1809	5.61	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	M	B	150,000	18.61	n/a	5-Oct	6,000.00	4.0
WEISS PECK	040	M	SS	6,180	18.35	n/a	5-Oct	309.00	5.0
ROYCE TRADING	216	NEWP	B	3,000	9.03	n/a	n/a	150.00	5.0
B BUCK CAPITAL MGMT		NP	S	200	12.28	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		NP	S	300	12.28	n/a	n/a	non-brg	0.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		NP	S	600	12.28	n/a	n/a	non-brg	0.8
BUCK CAPITAL MGMT		NP	S	7,278	12.28	n/a	n/a	non-brg	0.8
BUCK CAPITAL MGMT		NP	S	800	12.28	n/a	n/a	non-brg	0.8
IMPALA ASSET MMT	012	NSC	SS	45,000	44.42	n/a	n/a	1,800.00	4.0
BUCK CAPITAL MGMT		NTY	S	20,000	40.38	n/a	n/a	non-brg	4.0
PECONIC PARTNERS	036	NVDA	S	500,000	13.94	n/a	n/a	25,000.00	5.0
JAT CAPITAL MANAGEMENT	041	NWSA	S	135,723	11.67	n/a	n/a	5,428.92	4.0
NEIL M STRATTON	FID	OLJMF	S	2	1.55	n/a	n/a	0.00	0.0
STRATTON PAR TNERSHI	FID	OLJMF	S	2	1.55	n/a	n/a	0.00	0.0
NEIL M STRATTON	FID	OUYAD	B	2	10.50	n/a	n/a	0.00	0.0
GRANITE CAPITAL	045	PAG	B	10,000	15.57	n/a	n/a	500.00	5.0
PHILADELPHIA FINANCIAL	033	PAG	SS	18,377	15.21	n/a	n/a	735.08	4.0
ROBERT M DANIELS	FID	PFE	B	200	16.71	n/a	n/a	0.00	0.0
IMPALA ASSET MMT	012	PHM	S	240,000	10.06	n/a	n/a	7,200.00	3.0
BUCK CAPITAL MGMT		PKG	S	30,000	20.15	n/a	2-Oct	non-brg	2.5
SCOPUS FUND	041	PKG	S	25,000	20.11	n/a	2-Oct	1,250.00	5.0
BUCK CAPITAL MGMT		PLCE	B	38,400	31.79	n/a	5-Oct	non-brg	4.0
BUCK CAPITAL MGMT		PLCE	B	61,600	31.61	n/a	5-Oct	non-brg	4.0
BUCK CAPITAL MGMT		PNRA	B	8,190	54.34	n/a	2-Oct	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	PVH	S	50,000	42.14	n/a	n/a	2,000.00	4.0
OZ MGMT	040	RIMM	C	49,870	67.41	n/a	n/a	1,496.10	3.0
EXIS CAPITAL	044	ROST	B	17,500	48.06	n/a	n/a	875.00	5.0
⌘ BUCK CAPITAL MGMT		RTH	SS	90,000	88.71	n/a	n/a	non-brg	0.8
IMPALA ASSET MMT	012	RYL	B	150,000	19.47	n/a	n/a	4,500.00	3.0
ROYCE TRADING	216	SEH	S	3,000	11.11	n/a	n/a	150.00	5.0
ROYCE TRADING	216	SGY	S	5,000	15.92	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	SKX	S	50,000	18.10	n/a	n/a	2,000.00	4.0
ROYCE TRADING	216	SM	S	5,000	34.02	n/a	n/a	250.00	5.0
⌘ BUCK CAPITAL MGMT		SPLS	SS	20,000	22.86	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SPY	SS	80,000	105.47	n/a	n/a	non-brg	0.8
SACC-FISHER	044	SPY	B	15,000	105.61	n/a	n/a	600.00	4.0
BUCK CAPITAL MGMT	001	TJX	S	100,000	38.22	n/a	5-Oct	4,000.00	4.0
EXIS CAPITAL	044	TJX	B	5,000	38.19	n/a	5-Oct	250.00	5.0
BUCK CAPITAL MGMT	001	TLB	B	30,000	10.19	n/a	n/a	900.00	3.0
IMPALA ASSET MMT	012	UAUA	S	266,300	7.09	n/a	n/a	5,326.00	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
T. ROWE PRICE	033	UFS	S	84,400	39.12	n/a	n/a	3,376.00	4.0
ß BUCK CAPITAL MGMT		ULTA	S	11,900	16.94	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		ULTA	S	14,900	16.76	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		ULTA	S	33,671	16.53	n/a	n/a	non-brg	0.7
f NEIL M STRATTON	FID	VRAM	S	2	2.10	n/a	n/a	0.00	0.0
f STRATTON PAR TNERSHI	FID	VRAM	S	2	2.10	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		VRSK	S	15,000	27.00	n/a	n/a	non-brg	4.0
EXIS CAPITAL	044	VZ	S	20,000	29.26	n/a	n/a	1,000.00	5.0
KLEINHEINZ CAP PART	031	V	B	50,000	69.33	n/a	7-Oct	2,500.00	5.0
f KAREN F LEDDY	FID	WBC	B	250	22.21	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	WFC	S	3000	29.06	n/a	n/a	0.00	0.0
EXIS CAPITAL	044	WMT	B	10,000	49.52	n/a	6-Oct	500.00	5.0
BUCK CAPITAL MGMT	001	WRC	S	20,000	44.02	n/a	2-Oct	800.00	4.0
SCOPUS FUND	041	WY	S	38,910	34.82	n/a	n/a	1,945.50	5.0
STRAUSS ASSET MGMT	040	WY	B	10,000	35.37	n/a	n/a	400.00	4.0
OZ MGMT	040	XLNX	C	37,394	22.99	n/a	n/a	1,121.82	3.0
RBC CAPITAL MARKETS	040	YUM	SS	10,000	34.28	n/a	7-Oct	400.00	4.0

TOTAL (Trade Date):

179,704.64

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/02	ARCHON CAPITAL	035	CLNE	SS	22,400	13.40	n/a	n/a	896.00 4.0
AO,CRT	10/02	ARCHON CAPITAL	035	CLNE	SS	22,400	13.40	n/a	n/a	672.00 3.0
AO,CRT	10/06	CONIFER/ISF	030	FL	B	5,000	11.80	n/a	n/a	200.00 4.0
AO,CXL	10/06	WHALE ROCK CAP	030	FL	B	5,000	11.80	n/a	n/a	200.00 4.0
AO,CRT	10/06	SANDLER O'NEILL ASSET	031	IVZ	B	24,000	23.00	n/a	6-Oct	1200.00 5.0
AO,CXL	10/06	SANDLER O'NEILL ASSET	031	IVZ	B	24,000	23.00	n/a	6-Oct	1200.00 5.0
AO,	10/06	LISTED ERR	099	VCI	S	5,200	18.75	n/a	n/a	0.00 0.0
TOTAL (AO, CXL, CRT) :										-224.00

TOTAL (Trade Date):	179,704.64
TOTAL (AO, CXL, CRT):	-224.00

TOTAL (RUN DATE) / NFS:	179,480.64
-------------------------	------------

MRI Securities with Trade Activity on 7-Oct.
BAC

MRI Securities without Trade Activity on 7-Oct.
PRGO, JPM

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

T-Date = 48%

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)