



Daily Compliance Activity Report

Trade Date: 11/25/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NWQ INVESTMENT MGMT CO	048	ACGY	B	1,400	14.99	n/a	n/a	42.00	3.0
B BUCK CAPITAL MGMT		AEO	B	40,000	15.25	n/a	25-Nov	non-brg	4.0
f JOHN MICHAEL ZOLIDIS	FID	AEO	B	600	15.41	n/a	25-Nov	0.00	0.0
f ANDREW MARK GRONET	FID	AF	B	100	10.64	n/a	24-Nov	0.00	0.0
NWQ INVESTMENT MGMT CO	048	AHL	B	1,500	26.27	n/a	n/a	45.00	3.0
NWQ INVESTMENT MGMT CO	048	AIN	B	1,700	19.44	n/a	n/a	51.00	3.0
LAGRANGE CAP ADV	048	ALV	SS	5,000	40.50	n/a	21-Oct	250.00	5.0
STRAUSS ASSET MGMT	040	AMZN	B	5,000	133.09	n/a	n/a	200.00	4.0
B BUCK CAPITAL MGMT		ANF	B	150,000	40.30	n/a	16-Nov	non-brg	4.0
B BUCK CAPITAL MGMT		ANF	B	50,000	40.64	n/a	16-Nov	non-brg	4.0
EXIS CAPITAL	044	ANF	B	2,500	40.76	n/a	16-Nov	125.00	5.0
EXIS CAPITAL	044	ANF	S	5,000	40.23	n/a	16-Nov	250.00	5.0
B BUCK CAPITAL MGMT		ARO	B	20,000	30.90	n/a	6-Nov	non-brg	4.0
EXIS CAPITAL	044	ARO	B	7,500	31.74	n/a	6-Nov	375.00	5.0
EXIS CAPITAL	044	ARO	S	9,600	31.10	n/a	6-Nov	480.00	5.0
LEVEL GLOBAL SHARED ACCT	257	ARO	B	250,000	31.31	n/a	6-Nov	7,500.00	3.0
NWQ INVESTMENT MGMT CO	048	BBG	B	900	29.16	n/a	n/a	27.00	3.0
NWQ INVESTMENT MGMT CO	048	BDC	B	1,300	23.45	n/a	n/a	39.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NWQ INVESTMENT MGMT CO	048	BGC	B	200	31.25	n/a	n/a	6.00	3.0
NWQ INVESTMENT MGMT CO	048	BKI	B	1,500	9.81	n/a	n/a	45.00	3.0
NWQ INVESTMENT MGMT CO	048	BOBE	B	1,500	26.10	n/a	n/a	45.00	3.0
B BUCK CAPITAL MGMT		BWIN AV	B	20,000	57.22	n/a	n/a	non-brg	8.6
f CHRISTOPHER ROBERT C	FID	BYI	B	100	42.99	n/a	n/a	0.00	0.0
f MARK ANTHONY GRONET	FID	CALM	S	1000	28.24	n/a	n/a	0.00	0.0
NWQ INVESTMENT MGMT CO	048	CASY	B	1,000	31.36	n/a	n/a	30.00	3.0
f JOHN BARTMAN COLE	FID	CGLD	B	2000	0.92	n/a	n/a	0.00	0.0
ROSEDALE CAPITAL	046	CMC	B	20,700	16.17	n/a	n/a	1,035.00	5.0
NWQ INVESTMENT MGMT CO	048	COHR	B	1,500	26.62	n/a	n/a	45.00	3.0
B BUCK CAPITAL MGMT		COH	B	50,000	35.71	n/a	21-Oct	non-brg	4.0
EXIS CAPITAL	044	COH	SS	5,000	35.61	n/a	21-Oct	250.00	5.0
B BUCK CAPITAL MGMT		CRI	B	20,000	21.70	n/a	n/a	non-brg	4.0
CASTLEROCK	040	CRK	B	140,401	38.05	n/a	n/a	5,616.04	4.0
EXIS CAPITAL	044	CSCO	S	25,000	23.74	n/a	n/a	1,250.00	5.0
WAGONHOUND/NIC	048	CVGI	B	1,400	5.33	n/a	n/a	42.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JOHN BARTMAN COLE	FID	CX	S	208	11.24	n/a	n/a	0.00	0.0
EXIS CAPITAL	044	DBRN	B	5,000	22.40	n/a	n/a	250.00	5.0
B BUCK CAPITAL MGMT		DECK	C	15,000	94.68	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DIA	C	80,000	104.42	n/a	n/a	non-brg	2.0
LEVEL GLOBAL SHARED ACCT	257	EAT	S	50,000	13.83	n/a	n/a	1,500.00	3.0
TROOB CAPITAL	067	ETFC	B	150,000	1.62	n/a	n/a	4,500.00	3.0
LISTED ERR	099	ETFC	B	34,600	1.63	n/a	n/a	0.00	0.0
LISTED ERR	099	ETFC	S	34,600	1.62	n/a	n/a	0.00	0.0
CUMBERLAND	239	EXH	B	5,000	21.60	n/a	2-Nov	200.00	4.0
B BUCK CAPITAL MGMT		FINL	B	50,000	9.51	n/a	n/a	non-brg	3.0
NWQ INVESTMENT MGMT CO	048	FMR	B	1,600	13.35	n/a	n/a	48.00	3.0
EXIS CAPITAL	044	FOSL	SS	2,500	32.20	n/a	n/a	125.00	5.0
SCOPUS FUND	041	FO	S	10,000	39.49	n/a	n/a	500.00	5.0
f JOHN MICHAEL ZOLIDIS	FID	FRED	B	3500	10.20	n/a	n/a	0.00	0.0
f ANDREW MARK GRONET	FID	F	B	200	8.83	n/a	4-Nov	0.00	0.0
BERMAN CAPITAL MGMT	046	F	B	25,000	8.79	n/a	4-Nov	750.00	3.0
BUCK CAPITAL MGMT	001	GCO	B	50,000	26.54	n/a	n/a	2,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	GCO	SS	2,500	26.56	n/a	n/a	125.00	5.0
EXIS CAPITAL	044	GES	B	7,500	37.13	n/a	n/a	375.00	5.0
⌘ BUCK CAPITAL MGMT		GPS	B	100,000	22.39	n/a	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		GPS	B	50,000	22.19	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GPS	B	50,000	22.27	n/a	n/a	non-brg	4.0
COOPER CREEK PART	028	GYMB	B	13,400	41.04	n/a	19-Nov	670.00	5.0
EXIS CAPITAL	044	GYMB	B	2,500	41.08	n/a	19-Nov	125.00	5.0
f EDWARD W WHEELER	FID	ISIL	B	5000	13.00	n/a	n/a	0.00	0.0
EXIS CAPITAL	044	JCG	S	11,397	43.57	n/a	n/a	569.85	5.0
THE JAY GOLDMAN	028	JCP	B	15,000	30.00	n/a	16-Nov	600.00	4.0
⌘ BUCK CAPITAL MGMT		JOSB	B	20,000	42.21	n/a	n/a	non-brg	4.0
SANDLER O'NEILL ASSET	031	JPM	B	50,000	42.27	n/a	24-Nov	2,500.00	5.0
EXIS CAPITAL	044	JWN	B	2,500	33.95	n/a	13-Nov	125.00	5.0
MILLENNIUM-ANDEW	031	KNX	SS	35,000	17.12	n/a	n/a	2,100.00	6.0
⌘ BUCK CAPITAL MGMT		KSS	B	50,000	54.14	n/a	13-Nov	non-brg	4.0
EXIS CAPITAL	044	KSS	B	5,000	54.09	n/a	13-Nov	250.00	5.0
LEVEL GLOBAL SHARED ACCT	257	KSS	B	125,000	55.10	n/a	13-Nov	3,750.00	3.0
THE JAY GOLDMAN	028	KSS	B	15,000	54.00	n/a	13-Nov	600.00	4.0
NWQ INVESTMENT MGMT CO	048	LECO	B	700	51.88	n/a	n/a	21.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		LTD	B	200,000	17.26	n/a	n/a	non-brg	4.0
LEVEL GLOBAL SHARED ACCT	257	LVS	B	35,400	15.94	n/a	11-Nov	1,062.00	3.0
NWQ INVESTMENT MGMT CO	048	MIDD	B	400	45.85	n/a	11-Nov	12.00	3.0
WELLS/STRONG LEDDY	035	MI	B	17,000	5.64	n/a	n/a	510.00	3.0
MAIRS AND POWER INV	030	MMM	S	10,000	77.58	n/a	22-Oct	500.00	5.0
B BUCK CAPITAL MGMT		MVRX	C	100,000	167.04	n/a	n/a	non-brg	16.7
f ANDREW MARK GRONET	FID	MWO	B	100	18.75	n/a	n/a	0.00	0.0
T. ROWE PRICE	033	MWV	S	80,200	27.18	n/a	16-Nov	3,208.00	4.0
BUCK CAPITAL MGMT	001	M	B	20,000	17.57	n/a	12-Nov	800.00	4.0
B BUCK CAPITAL MGMT		M	B	75,000	17.29	n/a	12-Nov	non-brg	4.0
B BUCK CAPITAL MGMT		M	B	75,000	17.41	n/a	12-Nov	non-brg	4.0
EXIS CAPITAL	044	M	S	5,000	17.40	n/a	12-Nov	250.00	5.0
f KEVIN MICHAEL O'GORM	FID	NEYF	B	20000	0.81	n/a	n/a	0.00	0.0
EXIS CAPITAL	044	NKE	B	5,000	65.20	n/a	n/a	250.00	5.0
EXIS CAPITAL	044	NKE	SS	7,500	65.72	n/a	n/a	375.00	5.0
B BUCK CAPITAL MGMT		NTY	S	20,000	42.13	n/a	n/a	non-brg	4.0
NWQ INVESTMENT MGMT CO	048	PACW	B	1,100	18.39	n/a	n/a	33.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MAIRS AND POWER INV	030	PFE	S	20,000	18.28	n/a	n/a	1,000.00	5.0
NWQ INVESTMENT MGMT CO	048	PKG	B	600	20.00	n/a	22-Oct	18.00	3.0
B BUCK CAPITAL MGMT		PSS	B	50,000	20.54	n/a	n/a	non-brg	4.0
LAGRANGE CAP ADV	048	PSS	SS	100	20.90	n/a	n/a	5.00	5.0
EXIS CAPITAL	044	PVH	SS	20,000	41.87	n/a	20-Nov	1,000.00	5.0
SYSTEMATIC FINANCIAL MGT	035	PVH	B	44,400	41.75	n/a	20-Nov	1,554.01	3.5
NWQ INVESTMENT MGMT CO	048	PVTB	B	700	10.18	n/a	n/a	21.00	3.0
CASTLEROCK	040	PXD	B	181,159	42.75	n/a	4-Nov	7,246.36	4.0
NWQ INVESTMENT MGMT CO	048	RGLD	B	800	54.68	n/a	n/a	24.00	3.0
NWQ INVESTMENT MGMT CO	048	ROCK	B	400	14.91	n/a	n/a	12.00	3.0
B BUCK CAPITAL MGMT		RTH	C	38,700	95.17	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		RTH	C	57,500	95.27	n/a	n/a	non-brg	2.0
NWQ INVESTMENT MGMT CO	048	SFG	B	700	37.98	n/a	n/a	21.00	3.0
NWQ INVESTMENT MGMT CO	048	SM	B	1,400	31.95	n/a	n/a	42.00	3.0
B BUCK CAPITAL MGMT		SPLS	C	30,000	23.45	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SPLS	C	90,000	23.57	n/a	n/a	non-brg	4.0
f STRATTON PAR TNERSHI	FID	SRCH	B	400	1.50	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EXIS CAPITAL	044	SSO	B	5,000	37.78	n/a	n/a	250.00	5.0
EXIS CAPITAL	044	SSO	SS	5,000	37.83	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	001	TGT	B	70,000	47.82	n/a	18-Nov	2,800.00	4.0
NWQ INVESTMENT MGMT CO	048	THG	B	500	42.48	n/a	n/a	15.00	3.0
NWQ INVESTMENT MGMT CO	048	THS	B	300	35.74	n/a	n/a	9.00	3.0
NWQ INVESTMENT MGMT CO	048	TIN	B	600	17.99	n/a	22-Oct	18.00	3.0
TRELLUS PARTNERS LP	028	TIN	S	50,000	18.09	n/a	22-Oct	2,500.00	5.0
ROTHSCHILD ASSET	040	TKR	B	50,000	25.39	n/a	n/a	2,250.00	4.5
BERMAN CAPITAL MGMT	046	TWB	S	15,000	10.48	n/a	n/a	450.00	3.0
EXIS CAPITAL	044	URBN	SS	10,000	32.20	n/a	n/a	500.00	5.0
LEVEL GLOBAL SHARED ACCT	257	VMED	S	191,797	16.51	n/a	n/a	5,753.91	3.0
FIRST INV MGMT CO	029	WDC	S	10,000	38.01	n/a	n/a	500.00	5.0
MILLENNIUM-ANDEW	031	WERN	SS	35,000	18.61	n/a	n/a	2,100.00	6.0
EXIS CAPITAL	044	WRC	SS	2,500	42.35	n/a	5-Nov	125.00	5.0
EXIS CAPITAL	044	XLE	B	30,000	58.03	n/a	n/a	1,500.00	5.0
EXIS CAPITAL	044	XRT	B	10,000	35.64	n/a	n/a	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	XRT	SS	10,000	35.22	n/a	n/a	500.00	5.0
COBALT	041	XTO	B	50,000	42.33	n/a	n/a	2,500.00	5.0
f STRATTON PAR TNERSHI	FID	YNGFF	B	2500	0.21	n/a	n/a	0.00	0.0
EXIS CAPITAL	044	ZQK	B	10,000	1.80	n/a	n/a	500.00	5.0
TOTAL (Trade Date):								80,396.17	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/24	SCOPUS FUND	041	DE	B	42,400	52.32	n/a	n/a	2120.00 5.0
AO,CRT	11/24	SCOPUS FUND	041	DE	B	42,400	52.32	n/a	n/a	2120.00 5.0
AO,CRT	11/24	JP MORGAN VENTURES	046	FL	B	30,000	9.85	n/a	23-Nov	1500.00 5.0
AO,CXL	11/24	JP MORGAN VENTURES	046	FL	B	30,000	9.85	n/a	23-Nov	1200.00 4.0
AO,CRT	11/24	STRAUSS ASSET MGMT	040	SNEN	S	35,000	1.85	n/a	n/a	700.00 2.0
AO,CXL	11/24	STRAUSS ASSET MGMT	040	SNEN	S	35,000	1.85	n/a	n/a	1050.00 3.0
AO,	11/24	PARTNER REINSURANCE	033	XTO	S	17,000	41.63	n/a	n/a	680.00 4.0
TOTAL (AO, CXL, CRT) :										630.00

TOTAL (Trade Date):	80,396.17
TOTAL (AO, CXL, CRT):	630.00

TOTAL (RUN DATE) / NFS:	81,026.17
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MRI Securities with Trade Activity on 25-Nov. NONE

MRI Securities without Trade Activity on 25-Nov. DRI

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

T-Date = 8%

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)