



# Daily Compliance Activity Report

Trade Date: 02/17/2009

Potential ANALYST TRADE Violations: 0

BCM Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LOCUS WOOD CAPITAL MGMT	044	ALV	SS	15,000	18.56	30-Jan	4-Feb	600.00	4.0
WAGONHOUND/NIC	048	AMG	S	4,596	41.82	13-Nov	10-Feb	183.84	4.0
RBC CAPITAL MARKETS	034	AMZN	SS	5,000	61.37	n/a	n/a	200.00	4.0
<b>f ANDREW SINCLAIR</b>	<b>FID</b>	<b>APCEI</b>	<b>B</b>	<b>350</b>	<b>1.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
RBC CAPITAL MARKETS	034	ARO	B	10,000	21.85	n/a	6-Feb	400.00	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>AXP</b>	<b>S</b>	<b>2500</b>	<b>14.78</b>	<b>n/a</b>	<b>17-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BBBY</b>	<b>SS</b>	<b>100,000</b>	<b>21.33</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
RBC CAPITAL MARKETS	034	BBY	B	5,000	28.89	n/a	27-Jul	200.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>BKC</b>	<b>SS</b>	<b>50,000</b>	<b>20.24</b>	<b>6-Feb</b>	<b>6-Feb</b>	<b>non-brg</b>	<b>4.0</b>
NEUBERGER BERMAN	036	BPO	S	142,000	5.66	n/a	n/a	4,260.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>BWA</b>	<b>SS</b>	<b>40,000</b>	<b>20.31</b>	<b>27-Jan</b>	<b>13-Feb</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BWA</b>	<b>SS</b>	<b>80,000</b>	<b>20.26</b>	<b>27-Jan</b>	<b>13-Feb</b>	<b>non-brg</b>	<b>1.5</b>
COUGAR TRADING	044	BWA	SS	5,000	20.47	27-Jan	13-Feb	250.00	5.0
MARINER/TRICADIA	041	BWA	SS	50,000	20.16	27-Jan	13-Feb	2,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>BWLD</b>	<b>C</b>	<b>10,000</b>	<b>29.87</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BWLD</b>	<b>C</b>	<b>30,000</b>	<b>29.44</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		COST	SS	50,000	42.18	n/a	27-Jul	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DECK	B	10,000	51.55	n/a	n/a	non-brg	4.0
f JONATHAN RICHARD HAR	FID	DGP	B	45	22.03	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		DIN	C	2,800	6.82	n/a	n/a	non-brg	1.5
⚡ BUCK CAPITAL MGMT		DIN	C	27,200	6.82	n/a	n/a	non-brg	2.5
MATRIX ASSET ADV.	036	DIS	B	12,900	17.89	n/a	n/a	387.00	3.0
PRINCIPLE CAPITAL	040	DIS	SS	54,100	17.89	n/a	n/a	1,623.00	3.0
CRAMER ROSENTHAL/SCOTT	012	DLTR	B	84,300	34.20	10-Feb	10-Feb	2,529.00	3.0
SCOPUS FUND	041	DLTR	B	17,500	34.44	10-Feb	10-Feb	875.00	5.0
CATAPULT	040	DNR	SS	25,000	12.57	n/a	n/a	1,250.00	5.0
LISTED ERR	099	DNR	SS	25,000	12.57	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	DRE	S	48,150	7.78	n/a	n/a	1,444.50	3.0
⚡ BUCK CAPITAL MGMT		FDO	SS	100,000	26.20	7-Jan	4-Feb	non-brg	4.0
⚡ BUCK CAPITAL MGMT		FOSL	B	100,000	12.44	23-Jan	30-Jan	non-brg	4.0
⚡ BUCK CAPITAL MGMT		FOSL	B	50,000	12.35	23-Jan	30-Jan	non-brg	1.5
⚡ BUCK CAPITAL MGMT		GES	S	40,000	16.45	n/a	n/a	non-brg	4.0
SCOPUS FUND	041	GPC	SS	5,000	31.69	n/a	n/a	250.00	5.0
COOPER CREEK PART	028	GT	B	20,000	6.10	n/a	n/a	1,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		GYMB	B	15,000	25.26	n/a	6-Feb	non-brg	2.0
⚡ BUCK CAPITAL MGMT		GYMB	B	35,000	24.92	n/a	6-Feb	non-brg	2.5
HIGHBRIDGE/MS OLDS	041	HAS	B	30,000	23.50	n/a	n/a	1,500.00	5.0
RAINIER INV MGMT	035	IMA	B	102,100	25.73	n/a	n/a	4,084.00	4.0
⚡ BUCK CAPITAL MGMT		JCG	S	60,900	11.07	n/a	30-Jan	non-brg	4.0
⚡ BUCK CAPITAL MGMT		JCG	S	89,100	11.14	n/a	30-Jan	non-brg	4.0
FRIESS MGMT	033	JOSB	B	92,200	25.97	n/a	n/a	3,688.00	4.0
f NEIL M STRATTON	FID	KATY	B	490	1.20	n/a	n/a	0.00	0.0
f NEIL M STRATTON	FID	KATY	B	495	1.20	n/a	n/a	0.00	0.0
f STRATTON PAR TNERSHI	FID	KATY	B	490	1.20	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	KSS	S	30,000	35.39	n/a	6-Feb	1,200.00	4.0
AVESTA CAP	229	K	B	75,000	40.40	n/a	n/a	3,750.00	5.0
f DAVID GEORGE BUCK	FID	MAC	B	2000	12.68	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		MCD	SS	50,000	55.88	13-Oct	9-Feb	non-brg	4.0
f EDWARD W WHEELER	FID	MMM	B	3000	47.60	8-Dec	29-Jan	0.00	0.0
f DAVID GEORGE BUCK	FID	MONPK	S	20	1.25	n/a	n/a	0.00	0.0
AVESTA CAP	229	MO	SS	100,000	15.42	n/a	n/a	5,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	NKE	S	50,000	42.16	n/a	n/a	2,000.00	4.0
SANDLER O'NEILL ASSET	031	NTRS	SS	45,000	56.02	14-Jan	17-Feb	2,250.00	5.0
NEUBERGER BERMAN	036	NVE	B	51,100	9.45	n/a	n/a	1,533.00	3.0
MATLIN PATTERSON	046	O	B	50,000	18.45	n/a	n/a	1,500.00	3.0
TRELLUS PARTNERS LP	028	PAG	C	36,400	6.04	n/a	13-Feb	1,092.00	3.0
ß BUCK CAPITAL MGMT		PETM	SS	50,000	19.50	n/a	n/a	non-brg	4.0
f MARK MEGALLI	FID	PNK	B	8000	7.40	n/a	n/a	0.00	0.0
FRIESS MGMT	033	PSUN	B	126,100	1.53	6-Feb	6-Feb	3,783.00	3.0
BUCK CAPITAL MGMT	001	RL	SS	60,000	36.05	n/a	5-Feb	2,400.00	4.0
BUCK CAPITAL MGMT	001	RNT	B	20,000	24.16	n/a	n/a	800.00	4.0
ß BUCK CAPITAL MGMT		ROST	SS	70,000	30.10	n/a	n/a	non-brg	4.0
f NEIL M STRATTON	FID	SFL	B	350	10.30	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKX	B	100,000	7.09	n/a	13-Mar	3,000.00	3.0
ADALY INV MGMT	067	SPY	SS	16,600	79.54	n/a	n/a	830.00	5.0
LATEFF MGMT	035	TEVA	S	1,500	46.44	n/a	17-Feb	315.00	21.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		TGT	SS	30,000	29.12	5-Feb	10-Feb	non-brg	4.0
ß BUCK CAPITAL MGMT		THI	SS	20,000	22.76	n/a	24-Apr	non-brg	4.0
ELM RIDGE ADVISORS	044	TIN	B	176,800	4.48	5-Dec	28-Jan	5,304.00	3.0
f MARC PAUL LUCHANSKY	FID	TPGI	S	1000	1.69	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		TRLG	B	50,000	10.16	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		URBN	S	200,000	15.88	n/a	30-Jan	non-brg	4.0
ß BUCK CAPITAL MGMT		URBN	S	30,000	15.89	n/a	30-Jan	non-brg	4.0
ß BUCK CAPITAL MGMT		WAG	SS	50,000	25.56	n/a	n/a	non-brg	4.0
KEEFE BRUYETTE WOODS A	045	WDR	SS	12,200	15.21	n/a	10-Feb	610.00	5.0
AVESTA CAP	229	WMT	B	25,000	47.99	10-Oct	10-Feb	1,250.00	5.0
BUCK CAPITAL MGMT	001	WMT	S	63,200	47.97	10-Oct	10-Feb	2,528.00	4.0
BUCK CAPITAL MGMT	001	WRC	S	63,800	21.55	7-Nov	27-Jan	2,552.00	4.0
ß BUCK CAPITAL MGMT		WSM	SS	100,000	8.81	n/a	n/a	non-brg	3.0
TOTAL (Trade Date):								68,421.34	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	02/13	BAIRD INVESTMENT	031	CRR	B	1,600	39.03	5-Feb	5-Feb	80.00 5.0
AO,CXL	02/13	BAIRD INVESTMENT	031	CRR	B	1,600	39.03	5-Feb	5-Feb	0.00 0.0
AO,	02/13	MAMM	034	FII	B	820	21.53	13-Nov	10-Feb	24.60 3.0
AO,	02/13	MANNING & NAPIER	034	FII	B	365,298	21.53	13-Nov	10-Feb	10958.94 3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>11,063.54</b>

TOTAL (Trade Date) :	68,421.34
TOTAL (AO, CXL, CRT) :	11,063.54

<b>TOTAL (RUN DATE) / NFS:</b>	<b>79,484.88</b>
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MRI Securities with Trade Activity on 17-Feb. NONE
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MRI Securities without Trade Activity on 17-Feb. NONE
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BRG comm. as a % of BCM Total Comm. paid. T-Date = 21% YTD = 25%
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**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)