



# Daily Compliance Activity Report

Trade Date: 08/04/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	AAN	S	102,956	28.32	n/a	n/a	4,118.24	4.0
f CICYLY S BACKUS	FID	AAPL	S	200	165.17	n/a	n/a	0.00	0.0
SOROS	036	AA	S	500,000	12.50	n/a	n/a	20,000.00	4.0
BUCK CAPITAL MGMT	001	AEO	S	180,000	14.26	25-Jun	3-Aug	7,200.00	4.0
JP MORGAN VENTURES	046	AEO	S	38,100	14.14	25-Jun	3-Aug	1,905.00	5.0
NEW JERSEY DIV OF INV.	030	AIV	S	10,000	10.20	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	ANF	B	50,000	29.38	3-Jun	3-Aug	2,000.00	4.0
SIGMA CAPITAL ASSOCIATES	041	ANF	S	50,000	29.75	3-Jun	3-Aug	2,000.00	4.0
TRELLUS PARTNERS LP	028	AN	B	20,000	19.94	3-Aug	3-Aug	1,000.00	5.0
BUCK CAPITAL MGMT	001	ARO	S	10,000	37.78	n/a	3-Aug	400.00	4.0
B BUCK CAPITAL MGMT		ARO	B	10,000	35.81	n/a	3-Aug	non-brg	4.0
B BUCK CAPITAL MGMT		ARO	B	60,753	36.15	n/a	3-Aug	non-brg	1.0
f BRIAN W CRAGO	FID	AXL	B	300	2.79	n/a	30-Jul	0.00	0.0
f JESSICA PERNO	FID	AXL	B	140	2.84	n/a	30-Jul	0.00	0.0
f MARC PAUL LUCHANSKY	FID	AXL	B	1000	2.95	n/a	30-Jul	0.00	0.0
B BUCK CAPITAL MGMT		BAC	S	40,000	15.93	11-May	20-Jul	non-brg	1.0
f JOSEPH CIRO AMATURO	FID	BAC	S	5000	15.89	11-May	20-Jul	0.00	0.0
BUCK CAPITAL MGMT	001	BBY	SS	20,000	38.67	n/a	27-Jul	800.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f</b> JOSEPH CIRO AMATURO	<b>FID</b>	<b>BGZ</b>	<b>B</b>	<b>5000</b>	<b>25.98</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROARING BLUE LION MGMT	012	BK	B	5,900	27.97	11-May	23-Jul	236.00	4.0
<b>f</b> JONATHAN RICHARD HAR	<b>FID</b>	<b>BONT</b>	<b>S</b>	<b>1300</b>	<b>3.74</b>	<b>6-Feb</b>	<b>6-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>BYD</b>	<b>S</b>	<b>48,361</b>	<b>10.03</b>	<b>n/a</b>	<b>7-May</b>	<b>non-brg</b>	<b>1.0</b>
BUCK CAPITAL MGMT	001	CAB	SS	20,000	16.13	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	CAT	B	60,000	47.35	n/a	22-Jul	2,400.00	4.0
CUMBERLAND	038	CENX	SS	5,000	10.28	n/a	n/a	200.00	4.0
NEUBERGER BERMAN	036	CMA	B	33,400	25.72	n/a	n/a	1,503.00	4.5
<b>f</b> ELLIOT LUCHANSKY	<b>FID</b>	<b>CNO</b>	<b>B</b>	<b>200</b>	<b>3.73</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> MARC PAUL LUCHANSKY	<b>FID</b>	<b>CNO</b>	<b>B</b>	<b>800</b>	<b>3.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DSG CAPITAL	225	COG	B	1,800	36.65	n/a	3-Aug	90.00	5.0
BUCK CAPITAL MGMT	001	COH	S	100,000	29.25	n/a	29-Jul	4,000.00	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>COLM</b>	<b>C</b>	<b>5,000</b>	<b>36.14</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
EPOCH INV MGMT	030	COP	B	1,500	44.79	n/a	n/a	45.00	3.0
EGS ASSOCIATES LP	091	CPKI	SS	3,000	16.19	4-Aug	4-Aug	180.00	6.0
STRONG/MARK GRONET	030	CRS	B	15,000	19.38	n/a	n/a	600.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TROUBH PART	067	CSX	SS	25,000	41.44	n/a	n/a	1,250.00	5.0
<b>f</b> ABRAM M CHAPPELL	<b>FID</b>	<b>CVGI</b>	<b>S</b>	<b>1000</b>	<b>3.21</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> EDWARD W WHEELER	<b>FID</b>	<b>CVGI</b>	<b>B</b>	<b>9880</b>	<b>3.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> JESSICA PERNO	<b>FID</b>	<b>CVGI</b>	<b>B</b>	<b>150</b>	<b>3.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> JOSEPH CIRO AMATURO	<b>FID</b>	<b>CVGI</b>	<b>B</b>	<b>10000</b>	<b>3.90</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> KAREN F LEDDY	<b>FID</b>	<b>CVGI</b>	<b>B</b>	<b>2500</b>	<b>3.37</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> STEFFANIE CARMELA CA	<b>FID</b>	<b>CVGI</b>	<b>B</b>	<b>580</b>	<b>3.99</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROTHSCHILD ASSET	040	CW	S	8,500	33.96	n/a	n/a	382.54	4.5
<b>B</b> BUCK CAPITAL MGMT		<b>C</b>	<b>S</b>	<b>140,000</b>	<b>3.23</b>	<b>n/a</b>	<b>20-Jul</b>	<b>non-brg</b>	<b>1.0</b>
BUCK CAPITAL MGMT	001	DAI	B	15,000	48.91	n/a	n/a	600.00	4.0
EPOCH INV MGMT	030	DD	B	2,650	31.89	n/a	21-Jul	79.50	3.0
EPOCH INV MGMT	030	DE	B	1,250	45.51	n/a	17-Jun	37.50	3.0
EPOCH INV MGMT	030	DHR	B	1,500	62.29	n/a	n/a	45.00	3.0
BUCK CAPITAL MGMT	001	DKS	SS	50,000	20.04	27-Apr	3-Aug	2,000.00	4.0
EPOCH INV MGMT	030	DO	B	1,000	91.13	n/a	n/a	30.00	3.0
<b>f</b> STEFFANIE CARMELA CA	<b>FID</b>	<b>DPTR</b>	<b>S</b>	<b>1200</b>	<b>1.91</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EPOCH INV MGMT	030	DVA	B	3,100	50.97	n/a	n/a	93.00	3.0
RAINIER INV MGMT	035	DVN	S	17,630	61.00	6-May	3-Aug	881.50	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOPUS FUND	041	EMR	SS	5,000	35.02	n/a	n/a	250.00	5.0
EPOCH INV MGMT	030	ENDP	B	44,550	21.11	n/a	4-Aug	1,336.50	3.0
EPOCH INV MGMT	030	ERTS	B	3,000	22.05	n/a	n/a	90.00	3.0
FRED ALGER MGMT	035	ERTS	S	17,200	22.07	n/a	n/a	688.00	4.0
HUNTER GLOBAL INVESTOR	067	ESRX	B	20,000	68.85	n/a	n/a	800.00	4.0
EPOCH INV MGMT	030	ETR	B	600	78.89	n/a	n/a	18.00	3.0
PHILADELPHIA FINANCIAL	033	EV	B	32,718	29.05	19-May	4-Aug	1,308.72	4.0
CSL CAPITAL MGMT	039	EXH	B	2,000	17.93	27-May	3-Aug	100.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>FII</b>	<b>S</b>	<b>30,000</b>	<b>25.36</b>	<b>3-Aug</b>	<b>4-Aug</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>FINL</b>	<b>S</b>	<b>20,000</b>	<b>8.50</b>	<b>n/a</b>	<b>28-Mar</b>	<b>non-brg</b>	<b>3.0</b>
EPOCH INV MGMT	030	FISV	B	2,200	48.59	n/a	n/a	66.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>FOSL</b>	<b>S</b>	<b>40,000</b>	<b>26.73</b>	<b>n/a</b>	<b>30-Jan</b>	<b>non-brg</b>	<b>4.0</b>
TRELLUS PARTNERS LP	028	F	B	50,000	8.24	3-Aug	3-Aug	1,500.00	3.0
TROUBH PART	067	F	SS	75,000	8.32	3-Aug	3-Aug	3,750.00	5.0
CSL CAPITAL MGMT	039	GDP	B	2,000	27.11	n/a	n/a	100.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>S</b>	<b>30,000</b>	<b>28.87</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MOORE CAPITAL	036	GE	S	500,000	13.47	n/a	n/a	20,000.00	4.0
BUCK CAPITAL MGMT	001	GIL	B	10,000	16.86	25-Jun	25-Jun	400.00	4.0
EPOCH INV MGMT	030	GLW	B	2,950	16.75	27-Jul	27-Jul	88.50	3.0
f ROBERT M DANIELS	FID	GSI	S	800	5.65	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		GS	S	6,000	164.64	14-Jul	14-Jul	non-brg	1.0
BUCK CAPITAL MGMT	001	HGG	S	20,000	19.53	n/a	n/a	800.00	4.0
ß BUCK CAPITAL MGMT		HLF	S	100,000	31.31	n/a	n/a	non-brg	1.0
CSL CAPITAL MGMT	039	HOC	B	2,000	22.35	n/a	n/a	100.00	5.0
NEUBERGER BERMAN	036	IART	S	33,800	32.46	n/a	22-Apr	1,521.00	4.5
ß BUCK CAPITAL MGMT		ICON	S	40,000	17.80	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		IMAX	S	20,000	9.32	n/a	n/a	non-brg	3.0
TROUBH PART	067	INFN	S	25,026	7.31	n/a	n/a	1,251.30	5.0
ß BUCK CAPITAL MGMT		IVZ	S	46,000	20.18	27-Jul	4-Aug	non-brg	1.0
BUCK CAPITAL MGMT	001	JCG	B	10,000	28.53	n/a	30-Jan	400.00	4.0
BUCK CAPITAL MGMT	001	JCP	S	20,000	30.81	13-Apr	3-Aug	800.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		JOSB	B	10,000	35.46	n/a	n/a	non-brg	1.0
f EDWARD W WHEELER	FID	KEME	B	73000	0.89	n/a	n/a	0.00	0.0
f CICYLY S BACKUS	FID	LAD	S	3000	12.95	29-Apr	29-Apr	0.00	0.0
B BUCK CAPITAL MGMT		LM	S	21,000	27.64	3-Aug	4-Aug	non-brg	1.0
f CICYLY S BACKUS	FID	LM	S	1000	27.76	3-Aug	4-Aug	0.00	0.0
B BUCK CAPITAL MGMT		LPX	S	85,000	4.96	n/a	20-Jul	non-brg	1.0
f THE BUCKINGH AM RESE	FID	LVS	S	700	10.93	n/a	31-Jul	0.00	0.0
TRELLUS PARTNERS LP	028	LVS	S	100,000	10.69	n/a	31-Jul	5,000.00	5.0
STELLIAM INV ADV	034	MCD	B	20,000	55.09	n/a	23-Jul	1,000.00	5.0
EGS ASSOCIATES LP	091	MGM	SS	3,000	8.18	n/a	4-Aug	180.00	6.0
CIRCLE T/SES PART	035	MPEL	S	25,000	6.02	n/a	4-Aug	1,000.00	4.0
B BUCK CAPITAL MGMT		MS	S	60,000	29.87	11-May	23-Jul	non-brg	1.0
B BUCK CAPITAL MGMT		MZZ	B	7,500	30.30	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT	001	M	SS	300,000	14.06	n/a	3-Aug	12,000.00	4.0
CSL CAPITAL MGMT	039	NGS	B	3,000	14.07	n/a	n/a	150.00	5.0
BUCK CAPITAL MGMT	001	NKE	SS	30,000	56.84	n/a	n/a	1,200.00	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f</b>	<b>ROBERT M DANIELS</b>	<b>FID</b>	<b>PBG</b>	<b>B</b>	<b>200</b>	<b>35.95</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
	HIGHBRIDGE/MS OLDS	041	PCH	S	29,000	30.57	n/a	29-Jul	1,160.00	4.0
	HIGHBRIDGE CAPITAL	038	PCL	S	72,240	32.75	n/a	28-Jul	2,889.60	4.0
	GRANITE CAPITAL	045	PCS	B	10,000	12.18	n/a	n/a	500.00	5.0
	EPOCH INV MGMT	030	PEP	S	93,843	58.84	n/a	n/a	2,815.29	3.0
	BASIX	033	PKG	S	20,000	20.05	21-Jul	21-Jul	600.00	3.0
	SIGMA CAPITAL ASSOCIATES	041	QQQQ	SS	50,000	40.07	n/a	n/a	2,000.00	4.0
	CSL CAPITAL MGMT	039	RIG	B	1,000	80.75	n/a	n/a	50.00	5.0
	DSG CAPITAL	225	RRC	B	1,400	47.75	n/a	3-Aug	70.00	5.0
	HIGHBRIDGE CAPITAL	038	RYN	S	58,100	40.81	n/a	3-Aug	2,324.00	4.0
<b>B</b>	<b>BUCK CAPITAL MGMT</b>		<b>SKF</b>	<b>B</b>	<b>7,000</b>	<b>32.23</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
	<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKX</b>	<b>S</b>	<b>40,000</b>	<b>14.11</b>	<b>n/a</b>	<b>13-Mar</b>	<b>1,600.00</b>	<b>4.0</b>
	HUNTER GLOBAL INVESTOR	067	SPG	B	56,300	59.43	n/a	n/a	2,815.00	5.0
	<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SSI</b>	<b>SS</b>	<b>25,000</b>	<b>12.88</b>	<b>n/a</b>	<b>3-Aug</b>	<b>1,000.00</b>	<b>4.0</b>
	NEUBERGER BERMAN	036	STI	B	39,600	20.59	n/a	n/a	1,782.00	4.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	SUP	B	6,328	15.88	10-Jun	10-Jun	316.40	5.0
DSG CAPITAL	225	SWN	B	1,500	42.99	n/a	3-Aug	75.00	5.0
FRED ALGER MGMT	035	SYNA	S	139,650	24.98	n/a	n/a	5,586.00	4.0
⚡ BUCK CAPITAL MGMT		TIN	S	10,000	16.10	23-Jul	23-Jul	non-brg	1.0
f JOSEPH CIRO AMATURO	FID	TIN	B	1000	15.96	23-Jul	23-Jul	0.00	0.0
BUCK CAPITAL MGMT	001	TJX	S	20,000	36.12	28-Jul	3-Aug	800.00	4.0
⚡ BUCK CAPITAL MGMT		TLB	SS	100,000	6.27	n/a	30-Jan	non-brg	3.0
⚡ BUCK CAPITAL MGMT		TLB	SS	50,000	6.23	n/a	30-Jan	non-brg	1.0
⚡ BUCK CAPITAL MGMT		TSCO	SS	38,000	47.56	n/a	n/a	non-brg	2.5
⚡ BUCK CAPITAL MGMT		TSCO	SS	9,539	47.36	n/a	n/a	non-brg	1.0
f BRIAN W CRAGO	FID	TTWO	S	100	9.45	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		TWM	B	7,000	33.52	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		TXRH	C	50,000	10.98	n/a	n/a	non-brg	4.0
CAXTON PART	040	UNH	S	87,132	26.82	n/a	n/a	3,049.64	3.5
⚡ BUCK CAPITAL MGMT		URBN	S	40,000	24.46	n/a	30-Jan	non-brg	4.0
BUCK CAPITAL MGMT	001	WDR	S	38,000	28.30	29-Jul	4-Aug	1,520.00	4.0
TYEE/TYGH	035	WDR	B	15,000	27.84	29-Jul	4-Aug	600.00	4.0



Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f IAN L MILLER	FID	WHR	S	10	58.17	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	WRC	S	20,000	37.61	28-Jul	28-Jul	800.00	4.0
CATAPULT	040	WTI	S	50,000	11.58	n/a	n/a	2,500.00	5.0
B BUCK CAPITAL MGMT		XLFX	C	235,000	13.59	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		XLFX	C	45,000	13.65	n/a	n/a	non-brg	1.0
EATON VANCE MGMT	039	XOM	B	134,799	70.37	n/a	n/a	4,043.97	3.0
TOTAL (Trade Date):							151,271.20		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	08/03	MATRIX ASSET ADV.	036	CSCO	S	500	22.36	n/a	22-Mar	20.00 4.0
AO,CXL	08/03	MATRIX ASSET ADV.	036	CSCO	S	500	22.36	n/a	22-Mar	0.00 0.0
AO,	08/03	BALYASNY ASSET MGMT	044	F	B	25,000	8.51	3-Aug	3-Aug	1000.00 4.0
AO,CXL	08/03	BALYASNY ASSET MGMT	044	F	C	50,000	8.51	3-Aug	3-Aug	2000.00 4.0
AO,CRT	08/03	BALYASNY ASSET MGMT	044	F	C	25,000	8.48	3-Aug	3-Aug	1000.00 4.0
AO,CRT	07/31	DAVIDSON INV ADV	035	K	B	15,385	47.58	n/a	n/a	615.40 4.0
AO,CXL	07/31	DAVIDSON KEMPNER ADVISOR	243	K	B	15,385	47.58	n/a	n/a	615.40 4.0
AO,CRT	07/30	HIGHFIELDS CAP MGMT	039	XOM	B	100,000	71.27	n/a	n/a	5000.00 5.0
AO,CXL	07/30	HIGHFIELDS CAP MGMT	039	XOM	B	100,000	71.27	n/a	n/a	5000.00 5.0

---

<b>TOTAL (AO, CXL, CRT) :</b>	<b>20.00</b>
-------------------------------	--------------

---

---

TOTAL (Trade Date):	151,271.20
TOTAL (AO, CXL, CRT):	20.00

---

<b>TOTAL (RUN DATE) / NFS:</b>	<b>151,291.20</b>
--------------------------------	-------------------

---

MRI Securities with Trade Activity on 4-Aug. <b>CPKI</b>
---

MRI Securities without Trade Activity on 4-Aug.

BLK, JCI, WCRX

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

T-Date = 67%

YTD = 20%

**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)**