



# Daily Compliance Activity Report

Trade Date: 09/29/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B</b> BUCK CAPITAL MGMT		<b>ADS GR</b>	<b>C</b>	<b>80,000</b>	<b>52.31</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.6</b>
BALYASNY ASSET MGMT	044	AMG	B	30,000	64.07	3-Aug	23-Sep	1,500.00	5.0
<b>B</b> BUCK CAPITAL MGMT		<b>AMR</b>	<b>B</b>	<b>75,000</b>	<b>8.13</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>B</b> BUCK CAPITAL MGMT		<b>ANF</b>	<b>B</b>	<b>200,000</b>	<b>33.08</b>	<b>3-Jun</b>	<b>21-Sep</b>	<b>non-brg</b>	<b>4.0</b>
EXIS CAPITAL	044	ARO	B	5,000	43.92	n/a	4-Sep	250.00	5.0
HARVEST MGMT	039	BBBY	S	20,000	37.67	n/a	n/a	1,000.00	5.0
<b>f</b> KAREN F LEDDY	<b>FID</b>	<b>BEE</b>	<b>B</b>	<b>2500</b>	<b>2.45</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EXIS CAPITAL	044	BKE	B	5,000	33.49	n/a	n/a	250.00	5.0
SCOPUS FUND	041	BUCY	B	25,000	35.63	n/a	27-Jul	1,250.00	5.0
EPOCH INV MGMT	030	CAM	S	700	37.90	n/a	n/a	21.00	3.0
<b>B</b> BUCK CAPITAL MGMT		<b>CHRS</b>	<b>S</b>	<b>20,000</b>	<b>4.96</b>	<b>n/a</b>	<b>22-Mar</b>	<b>non-brg</b>	<b>3.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>COLM</b>	<b>C</b>	<b>15,742</b>	<b>41.15</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
EPOCH INV MGMT	030	COL	S	800	50.66	n/a	n/a	24.00	3.0
JP MORGAN VENTURES	046	COP	S	50,000	45.37	n/a	n/a	2,500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	CPO	S	950	28.34	n/a	n/a	28.50	3.0
⚡ BUCK CAPITAL MGMT		CTRN	C	58,508	27.27	n/a	n/a	non-brg	2.5
⚡ BUCK CAPITAL MGMT		CWTR	B	70,000	8.43	n/a	n/a	non-brg	3.0
⚡ BUCK CAPITAL MGMT		DBRN	B	25,000	18.18	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DBRN	B	25,000	18.35	n/a	n/a	non-brg	2.5
SANDLER O'NEILL ASSET	031	DFS	SS	100,000	16.22	17-Sep	29-Sep	5,000.00	5.0
RDK CAPITAL MGMT	034	DIS	B	40,000	28.38	n/a	n/a	1,600.00	4.0
⚡ BUCK CAPITAL MGMT		DRI	S	30,000	36.22	17-Sep	29-Sep	non-brg	4.0
f NEIL M STRATTON	FID	DSPWS	S	1000	0.15	n/a	n/a	0.00	0.0
f NEIL M STRATTON	FID	DSPWS	S	1000	0.15	n/a	n/a	0.00	0.0
f STRATTON PAR TNERSHI	FID	DSPWS	S	1000	0.15	n/a	n/a	0.00	0.0
VENTANA CAPITAL	060	DVN	B	2,000	67.60	5-Aug	29-Sep	100.00	5.0
BUCK CAPITAL MGMT	001	EL	B	77,005	36.88	14-Aug	14-Aug	3,080.20	4.0
IRIDIAN ASSET MGMT.	036	EMN	S	7,410	55.20	n/a	n/a	370.50	5.0
BASIX	033	FL	B	32,000	11.96	21-Sep	25-Sep	960.00	3.0
⚡ BUCK CAPITAL MGMT		FL	B	50,000	12.08	21-Sep	25-Sep	non-brg	4.0
⚡ BUCK CAPITAL MGMT		FOSL	B	20,000	28.96	n/a	30-Jan	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f MITCHELL JAMES SPEIS</b>	<b>FID</b>	<b>FSNXX</b>	<b>S</b>	<b>35000</b>	<b>1.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LAGRANGE CAP ADV	048	F	B	10,000	7.40	27-Aug	29-Sep	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>GCO</b>	<b>B</b>	<b>30,000</b>	<b>24.60</b>	<b>n/a</b>	<b>10-Jan</b>	<b>non-brg</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>B</b>	<b>5,000</b>	<b>37.48</b>	<b>n/a</b>	<b>n/a</b>	<b>200.00</b>	<b>4.0</b>
GREEN ARROW DOUG	040	GET	S	20,000	21.05	n/a	n/a	1,000.00	5.0
MILLENIUM PARTNERS	028	GE	B	75,000	16.84	n/a	n/a	3,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>GIL</b>	<b>B</b>	<b>10,000</b>	<b>19.21</b>	<b>21-Sep</b>	<b>21-Sep</b>	<b>non-brg</b>	<b>4.0</b>
SCOPUS FUND	041	GIL	S	54,436	19.31	21-Sep	21-Sep	2,721.80	5.0
EPOCH INV MGMT	030	GPC	S	1,300	37.53	n/a	n/a	39.00	3.0
EXIS CAPITAL	044	GPS	S	15,880	21.47	n/a	30-Jan	794.00	5.0
<b>f STEFFANIE CARMELA CA</b>	<b>FID</b>	<b>GSI</b>	<b>S</b>	<b>70</b>	<b>4.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>HOG</b>	<b>B</b>	<b>30,000</b>	<b>23.14</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
BMO NESBITT BURNS	041	IP	B	1,000	22.20	16-Sep	16-Sep	50.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	B	45,000	22.71	16-Sep	16-Sep	2,250.00	5.0
OZ MGMT	040	IP	C	135,000	22.72	16-Sep	16-Sep	4,050.00	3.0
<b>f IAN L MILLER</b>	<b>FID</b>	<b>IRDM</b>	<b>S</b>	<b>50</b>	<b>11.36</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f IAN L MILLER</b>	<b>FID</b>	<b>JNJ</b>	<b>B</b>	<b>25</b>	<b>61.02</b>	<b>n/a</b>	<b>22-Apr</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	JWN	B	5,000	30.18	n/a	23-Sep	250.00	5.0
HARVEST MGMT	039	JWN	B	25,000	30.84	n/a	23-Sep	1,250.00	5.0
SCOPUS FUND	041	JWN	B	10,000	30.63	n/a	23-Sep	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KCP</b>	<b>S</b>	<b>20,000</b>	<b>10.24</b>	<b>n/a</b>	<b>28-Sep</b>	<b>800.00</b>	<b>4.0</b>
S.A.C.HABER/BOBBY	044	KEY	SS	150,000	6.64	n/a	n/a	6,000.00	4.0
FIRST INV MGMT CO	029	KMB	B	3,400	57.70	27-Jul	27-Jul	170.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KSS</b>	<b>B</b>	<b>20,000</b>	<b>55.73</b>	<b>21-Sep</b>	<b>21-Sep</b>	<b>800.00</b>	<b>4.0</b>
JP MORGAN VENTURES	046	KSS	B	15,000	56.26	21-Sep	21-Sep	750.00	5.0
GREEN ARROW DOUG	040	LIZ	S	35,000	5.30	n/a	13-Aug	1,750.00	5.0
FIRST NEW YORK LEDDY	035	LVL	B	10,000	1.42	n/a	4-Jan	600.00	6.0
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>LVS</b>	<b>B</b>	<b>5000</b>	<b>17.71</b>	<b>14-Sep</b>	<b>29-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MAR</b>	<b>B</b>	<b>156,139</b>	<b>27.36</b>	<b>n/a</b>	<b>n/a</b>	<b>6,245.56</b>	<b>4.0</b>
MAIRS AND POWER INV	030	MMM	S	10,000	74.76	7-Aug	22-Sep	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>MOV</b>	<b>C</b>	<b>29,134</b>	<b>14.50</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>f JOHN BARTMAN COLE</b>	<b>FID</b>	<b>MSHL</b>	<b>B</b>	<b>1500</b>	<b>1.21</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MVRX</b>	<b>SS</b>	<b>300,000</b>	<b>163.81</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>16.4</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>M</b>	<b>B</b>	<b>50,000</b>	<b>18.26</b>	<b>21-Sep</b>	<b>21-Sep</b>	<b>2,000.00</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	M	S	5,000	18.15	21-Sep	21-Sep	250.00	5.0
SCOPUS FUND	041	M	B	30,000	18.23	21-Sep	21-Sep	1,500.00	5.0
EPOCH INV MGMT	030	NYX	S	750	28.88	n/a	n/a	22.50	3.0
<b>f NEIL M STRATTON</b>	<b>FID</b>	<b>OYIMC</b>	<b>S</b>	<b>4</b>	<b>0.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f STRATTON PAR TNERSHI</b>	<b>FID</b>	<b>OYIMC</b>	<b>S</b>	<b>4</b>	<b>0.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EPOCH INV MGMT	030	PER	S	2,850	29.72	n/a	n/a	85.50	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>PETM</b>	<b>B</b>	<b>30,000</b>	<b>21.88</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
CSFB GLOBAL PROPRIETARY	041	PKG	B	75,000	20.77	21-Jul	21-Jul	3,750.00	5.0
THE BOSTON COMPANY	039	PLCE	B	135,286	30.21	n/a	4-Sep	5,411.44	4.0
EPOCH INV MGMT	030	PM	S	500	48.68	n/a	n/a	15.00	3.0
TRELLUS PARTNERS LP	028	PRGO	S	25,000	33.46	30-Sep	28-Sep	1,250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>PVH</b>	<b>B</b>	<b>40,000</b>	<b>43.35</b>	<b>21-Sep</b>	<b>21-Sep</b>	<b>non-brg</b>	<b>4.0</b>
FIRST NEW YORK NICK	029	Q	S	20,000	3.74	n/a	n/a	1,000.00	5.0
<b>f KEVIN MICHAEL O'GORM</b>	<b>FID</b>	<b>RBSPL</b>	<b>S</b>	<b>500</b>	<b>10.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f STEFFANIE CARMELA CA</b>	<b>FID</b>	<b>RF</b>	<b>S</b>	<b>200</b>	<b>6.67</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PRINCIPLE CAPITAL	040	RHI	SS	100,000	25.60	n/a	n/a	3,000.00	3.0
<b>f IAN L MILLER</b>	<b>FID</b>	<b>RIMM</b>	<b>B</b>	<b>15</b>	<b>68.12</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	RL	B	5,000	77.56	21-Sep	21-Sep	200.00	4.0
ARMATURE CAPITAL	041	SOA	S	62,500	11.88	n/a	n/a	2,500.00	4.0
MERRILL ASSET/BLACKROCK	214	SOA	S	15,000	12.01	n/a	n/a	675.00	4.5
Ⓐ BUCK CAPITAL MGMT		SPY	SS	80,000	106.02	n/a	n/a	non-brg	0.8
BUCK CAPITAL MGMT	001	TGT	B	70,000	47.76	3-Sep	22-Sep	2,800.00	4.0
BUCK CAPITAL MGMT	001	TLB	B	90,000	9.57	n/a	30-Jan	2,700.00	3.0
MAIRS AND POWER INV	030	TRV	S	10,000	48.96	n/a	n/a	500.00	5.0
EPOCH INV MGMT	030	TUP	S	8,800	40.58	n/a	n/a	264.00	3.0
BUCK CAPITAL MGMT	001	TWB	B	50,000	8.54	n/a	30-Jan	1,500.00	3.0
f JOHN BARTMAN COLE	FID	UNG	S	300	11.91	n/a	n/a	0.00	0.0
Ⓐ BUCK CAPITAL MGMT		URBN	B	20,000	30.61	n/a	30-Jan	non-brg	4.0
f JOHN BARTMAN COLE	FID	VSTN	S	1500	0.17	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	VSTN	S	6700	0.16	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	VVC	S	1,900	23.09	n/a	n/a	57.00	3.0
EPOCH INV MGMT	030	V	S	1,400	69.43	n/a	29-Sep	42.00	3.0
EPOCH INV MGMT	030	WEC	S	1,250	45.28	n/a	n/a	37.50	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	WFR	S	1,750	16.59	n/a	n/a	52.50	3.0
EPOCH INV MGMT	030	WFT	S	950	20.66	n/a	n/a	28.50	3.0
EPOCH INV MGMT	030	WM	S	1,800	29.96	n/a	n/a	54.00	3.0
⌘ BUCK CAPITAL MGMT		WRC	B	40,000	44.37	21-Sep	21-Sep	non-brg	4.0
EPOCH INV MGMT	030	WRC	S	200	44.36	21-Sep	21-Sep	6.00	3.0
BUCK CAPITAL MGMT	001	WSM	B	50,000	19.98	n/a	n/a	2,000.00	4.0
⌘ BUCK CAPITAL MGMT		WSM	C	25,000	20.34	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		WSM	C	50,000	20.21	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		WSM	C	75,400	20.10	n/a	n/a	non-brg	0.8
EPOCH INV MGMT	030	WU	S	2,150	19.39	n/a	n/a	64.50	3.0
T. ROWE PRICE	033	WY	S	42,500	37.75	n/a	3-Aug	1,700.00	4.0
S.A.C. CAP/ORENSTEIN	044	XLI	B	100,000	26.72	n/a	n/a	4,000.00	4.0
EPOCH INV MGMT	030	XOM	S	1,100	69.20	n/a	n/a	33.00	3.0
⌘ BUCK CAPITAL MGMT		XRT	C	500,000	34.37	n/a	n/a	non-brg	0.8
TOTAL (Trade Date):								90,853.00	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	09/28	CUMBERLAND	038	RTH	SS	30,000	87.63	n/a	n/a	900.00 3.0
AO,CXL	09/28	CUMBERLAND	038	RTH	SS	30,000	87.63	n/a	n/a	1200.00 4.0
AO,	09/24	METROPOLITAN CAPITAL	044	SKS	B	600	6.85	n/a	n/a	30.00 5.0
AO,CRT	09/24	METROPOLITAN CAPITAL	044	SKS	B	500	6.85	n/a	n/a	25.00 5.0
AO,CXL	09/24	METROPOLITAN CAPITAL	044	SKS	B	1,100	6.85	n/a	n/a	55.00 5.0
AO,	09/28	MERRILL ASSET/BLACKROCK	214	XRX	S	250,000	7.31	n/a	n/a	8750.00 3.5
AO,CXL	09/28	MERRILL ASSET/BLACKROCK	214	XRX	S	250,000	7.31	n/a	n/a	11250.00 4.5
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-2,800.00</b>

TOTAL (Trade Date) :	90,853.00
TOTAL (AO, CXL, CRT) :	-2,800.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>88,053.00</b>
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MRI Securities with Trade Activity on 29-Sep. NONE
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MRI Securities without Trade Activity on 29-Sep. NONE
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BRG comm. as a % of BCM Total Comm. paid.

T-Date = 22%

YTD = 21%

<b><u>Legend:</u></b>
<b>Õ: Employee Trades in Outside Accounts</b>
<b>ß: Non-BRG BCM Trades</b>
[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)