



Daily Compliance Activity Report

Trade Date: 06/02/2009

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	20,000	33.14	n/a	n/a	800.00	4.0
ROTHSCHILD ASSET	040	AAN	S	83,150	33.35	n/a	n/a	3,741.75	4.5
COUGAR TRADING	044	ANF	B	5,000	32.69	3-Jun	1-Jun	250.00	5.0
HARVEST MGMT	039	ANF	B	10,000	32.43	3-Jun	1-Jun	500.00	5.0
B BUCK CAPITAL MGMT		ARO	S	20,000	35.59	n/a	1-Jun	non-brg	4.0
JMP ASSET MGMT	210	ARO	SS	4,400	36.03	n/a	1-Jun	220.00	5.0
f NEIL M STRATTON	FID	ASUR	S	745	0.20	n/a	n/a	0.00	0.0
f NEIL M STRATTON	FID	ASUR	S	745	0.20	n/a	n/a	0.00	0.0
f STRATTON PAR TNERSHI	FID	ASUR	S	745	0.20	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	BAC	B	5000	11.39	11-May	27-May	0.00	0.0
f MANNY I KORMAN	FID	BAC	B	5000	11.27	11-May	27-May	0.00	0.0
MAIRS AND POWER INV	030	BAX	B	12,300	48.50	n/a	22-Apr	615.00	5.0
UBS OCONNOR	031	BEN	S	15,000	72.87	11-May	2-Jun	450.00	3.0
BUCK CAPITAL MGMT	001	BIG	S	20,000	23.89	28-May	2-Jun	800.00	4.0
ROTHSCHILD ASSET	040	BJ	B	6,930	35.57	n/a	27-Jul	311.85	4.5
B BUCK CAPITAL MGMT		BKC	B	100,000	16.43	16-Apr	29-Apr	non-brg	4.0
B BUCK CAPITAL MGMT		BKC	C	25,000	16.36	16-Apr	29-Apr	non-brg	2.0
JETSTREAM GLOBAL FUND LP	065	BKS	B	17,700	26.71	n/a	n/a	708.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CUMBERLAND	038	BRCD	S	50,000	7.43	n/a	n/a	1,500.00	3.0
BNP PARIBAS SEC	040	BWA	SS	25,000	35.12	1-May	1-May	1,250.00	5.0
B BUCK CAPITAL MGMT		BYI	B	50,000	28.97	n/a	n/a	non-brg	4.0
f EDWARD W WHEELER	FID	CAH	B	3000	32.51	n/a	n/a	0.00	0.0
TROUBH PART	067	CAT	B	10,000	37.53	n/a	22-Apr	500.00	5.0
PRINCIPLE CAPITAL	040	CCL	B	67,700	26.70	n/a	26-Jan	2,031.00	3.0
COLUMBIA PARTNERS	028	CLR	B	46,559	32.33	n/a	n/a	1,862.36	4.0
AVESTA CAP	229	CL	B	50,000	69.91	16-Mar	14-May	2,000.00	4.0
ROTHSCHILD ASSET	040	CMP	S	7,790	54.70	n/a	n/a	350.55	4.5
BUCK CAPITAL MGMT	001	COH	S	40,000	27.82	9-Jan	22-Apr	1,600.00	4.0
B BUCK CAPITAL MGMT		COLM	SS	20,000	33.04	n/a	n/a	non-brg	2.5
f JOEL GIFFORD TISS	FID	COP	S	1000	48.22	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	CPNIU	B	140	7.20	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	CPN	S	13000	14.58	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	CVGI	B	40000	1.15	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	JONATHAN RICHARD HAR	FID	CVGI	B	2150	1.18	n/a	n/a	0.00	0.0
f	JOSEPH CIRO AMATURO	FID	CVGI	B	20000	1.16	n/a	n/a	0.00	0.0
f	STEFFANIE CARMELA CA	FID	CVGI	B	1000	1.15	n/a	n/a	0.00	0.0
	KACELA CAPITAL	034	CVS	B	18,000	31.59	n/a	n/a	720.00	4.0
B	BUCK CAPITAL MGMT		DAL	B	125,000	6.83	n/a	n/a	non-brg	3.0
f	JOSEPH CIRO AMATURO	FID	DAL	B	5000	6.58	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		DECK	B	10,000	62.23	n/a	n/a	non-brg	1.0
	BNP PARIBAS SEC	040	DE	S	15,000	46.87	26-Jan	20-May	750.00	5.0
f	JOSEPH CIRO AMATURO	FID	DPTR	B	20000	2.28	n/a	n/a	0.00	0.0
f	MICHAEL THOMAS NOLAN	FID	DPTR	B	5000	2.34	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		DRI	C	13,100	36.83	19-Mar	29-May	non-brg	1.0
	SCHOTTENFELD ASSOC	041	FDO	S	10,000	32.79	5-Mar	2-Jun	300.00	3.0
	LATEFF MGMT	035	FDX	S	1,000	57.40	n/a	n/a	270.00	27.0
	UBS OCONNOR	031	FII	B	75,000	26.43	24-Apr	2-Jun	2,250.00	3.0
	COUGAR TRADING	044	F	S	25,000	6.03	n/a	1-Jun	1,000.00	4.0
	BUCK CAPITAL MGMT	001	GES	B	20,000	28.28	n/a	n/a	800.00	4.0
	SANDLER CAPITAL	038	GNK	B	75,000	27.42	n/a	n/a	4,500.00	6.0
	JETSTREAM GLOBAL FUND LP	065	GOOG	S	7,000	428.22	n/a	n/a	280.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f ANTHONY NG	FID	GSI	S	50	6.00	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		HGG	B	50,000	15.11	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		IGT	B	100,000	17.25	n/a	27-Apr	non-brg	4.0
ß BUCK CAPITAL MGMT		IMAX	S	50,000	7.20	n/a	n/a	non-brg	3.0
TYEE/TYGH	035	IVZ	B	174,368	16.97	11-May	2-Jun	6,974.72	4.0
ß BUCK CAPITAL MGMT		JBLU	B	25,000	5.03	n/a	n/a	non-brg	3.0
CASTLE ARK	031	JCI	B	170,820	21.30	2-Jun	2-Jun	10,249.20	6.0
BUCK CAPITAL MGMT	001	JNY	S	20,000	9.74	n/a	30-Apr	600.00	3.0
BASIX	033	JOYG	S	25,000	35.60	2-Jun	2-Jun	750.00	3.0
f MANNY I KORMAN	FID	JPM	B	3000	34.76	16-Jan	2-Jun	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	KMX	S	500	13.20	n/a	10-Jan	0.00	0.0
f JOSEPH CIRO AMATURO	FID	LCC	B	10000	3.13	n/a	n/a	0.00	0.0
AVESTA CAP	229	LOW	B	100,000	20.70	12-May	18-May	4,000.00	4.0
BUCK CAPITAL MGMT	001	LVS	S	65,000	10.49	n/a	n/a	2,600.00	4.0
ß BUCK CAPITAL MGMT		LVS	S	75,000	10.28	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		MS	B	25,000	27.44	11-May	2-Jun	non-brg	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	MANNY I KORMAN	FID	MS	B	3000	28.79	11-May	2-Jun	0.00	0.0
	SCOPUS FUND	041	NP	S	10,000	9.48	12-May	12-May	500.00	5.0
	KAYNE ANDERSON ADV	048	NTG	S	22,500	35.89	n/a	n/a	900.00	4.0
B	BUCK CAPITAL MGMT		OTP HB	C	11,305	18.73	n/a	n/a	non-brg	2.2
B	BUCK CAPITAL MGMT		OTP HB	SS	11,305	18.73	n/a	n/a	non-brg	2.2
	JMP ASSET MGMT	210	PEET	SS	2,400	28.52	n/a	n/a	120.00	5.0
B	BUCK CAPITAL MGMT		PERY	S	1,600	8.91	n/a	n/a	non-brg	1.0
B	BUCK CAPITAL MGMT		PERY	S	12,805	8.88	n/a	n/a	non-brg	1.5
B	BUCK CAPITAL MGMT		PERY	S	24,700	8.74	n/a	n/a	non-brg	1.0
B	BUCK CAPITAL MGMT		PERY	S	25,000	8.87	n/a	n/a	non-brg	2.5
B	BUCK CAPITAL MGMT		PERY	S	28,300	8.79	n/a	n/a	non-brg	1.0
B	BUCK CAPITAL MGMT		PERY	S	31,700	8.72	n/a	n/a	non-brg	2.0
B	BUCK CAPITAL MGMT		PFCB	C	30,000	32.76	29-May	29-May	non-brg	1.0
	BNP PARIBAS SEC	040	PH	B	10,000	47.34	n/a	17-Apr	500.00	5.0
	COUGAR TRADING	044	PLCE	B	5,000	36.13	19-Mar	1-Jun	250.00	5.0
f	FRANCIS MICHAEL MCCA	FID	PRU	B	200	41.28	n/a	n/a	0.00	0.0
f	MICHAEL THOMAS NOLAN	FID	PRU	B	250	40.42	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		PSS	S	50,000	16.23	n/a	n/a	non-brg	4.0
f	JONATHAN RICHARD HAR	FID	RAD	B	500	1.41	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	JOSEPH CIRO AMATURO	FID	RAD	B	10000	1.43	n/a	n/a	0.00	0.0
	BARCLEYS CAP (OLD LEHM)	041	RDC	B	45,000	22.33	n/a	n/a	1,800.00	4.0
f	JOHN MICHAEL ZOLIDIS	FID	SEF	S	150	56.48	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		SUP	C	24,000	12.42	27-Feb	11-May	non-brg	4.0
	ROTHSCHILD ASSET	040	SY	S	11,240	33.41	n/a	n/a	505.80	4.5
	BALYASNY ASSET MGMT	044	TEX	B	25,000	14.11	13-Feb	28-Apr	1,250.00	5.0
	NORTHPOINT	030	TQNT	B	13,200	4.96	n/a	n/a	396.00	3.0
B	BUCK CAPITAL MGMT		UAUA	B	150,000	5.19	n/a	n/a	non-brg	3.0
f	MANNY I KORMAN	FID	UAUA	B	5000	5.25	n/a	n/a	0.00	0.0
f	ANDREW SINCLAIR	FID	UNESO	B	150	1.15	n/a	n/a	0.00	0.0
	BARCLEYS CAP (OLD LEHM)	041	URBN	B	25,000	22.60	n/a	30-Jan	1,000.00	4.0
f	JONATHAN RICHARD HAR	FID	UYG	B	120	4.14	n/a	n/a	0.00	0.0
f	ANTHONY NG	FID	WEN	B	100	4.20	n/a	24-Apr	0.00	0.0
	BALYASNY ASSET MGMT	044	WMT	SS	20,000	49.92	11-May	2-Jun	1,000.00	5.0
	COUGAR TRADING	044	WRC	B	5,000	32.81	13-May	13-May	250.00	5.0
	NORTHPOINT	030	ZINC	B	110	7.89	n/a	n/a	3.30	3.0

TOTAL (Trade Date):

64,009.53

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	06/01	ROTHSCHILD ASSET	040	AAN	S	12,460	33.08	n/a	n/a	560.70 4.5
AO,CRT	06/01	SCHOTTENFELD ASSOC	041	FDO	B	18,914	31.23	5-Mar	2-Jun	567.42 3.0
AO,CXL	06/01	SCHOTTENFELD ASSOC	041	FDO	B	18,914	31.23	5-Mar	2-Jun	945.70 5.0
AO,CXL	06/01	BUCK CAPITAL MGMT	001	LVS	S	45,200	10.65	n/a	n/a	1808.00 4.0
AO,CRT	06/01	BUCK CAPITAL MGMT	001	LVS	S	45,200	10.65	n/a	n/a	1808.00 4.0
AO,CXL	06/01	EMP ERROR	099	STI	S	1,500	13.85	n/a	n/a	0.00 0.0
AO,CRT	06/01	LISTED ERR	099	STI	S	1,500	13.85	n/a	n/a	0.00 0.0
AO,CRT	05/29	PORTER-ORLIN-FELDMAN	044	TDW	SS	25,000	47.50	n/a	n/a	750.00 3.0
AO,CXL	05/29	PORTER-ORLIN-FELDMAN	044	TDW	SS	25,000	47.50	n/a	n/a	1250.00 5.0
TOTAL (AO, CXL, CRT) :										-317.58

TOTAL (Trade Date) :	64,009.53
TOTAL (AO, CXL, CRT) :	-317.58

TOTAL (RUN DATE) / NFS :	63,691.95
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MRI Securities with Trade Activity on 2-Jun.
JCI, JOYG

MRI Securities without Trade Activity on 2-Jun.

AVP, SIAL

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

T-Date = 18%

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)