



Daily Compliance Activity Report

Trade Date: 07/16/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAMBIAR CAP	046	ABT	B	80,730	44.83	n/a	22-Apr	3,229.20	4.0
B BUCK CAPITAL MGMT		AEO	B	150,000	13.98	25-Jun	10-Jul	non-brg	4.0
THIRD COAST CAPITAL	035	AEO	B	17,000	13.82	25-Jun	10-Jul	850.00	5.0
f JOSEPH CIRO AMATURO	FID	AMAG	B	1000	47.80	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ARG	B	22,000	39.85	23-Mar	9-Jul	non-brg	1.0
ARMATURE CAPITAL	041	ATI	S	39,900	33.31	n/a	n/a	1,596.00	4.0
B BUCK CAPITAL MGMT		AVY	B	22,000	26.34	28-Apr	9-Jul	non-brg	1.0
B BUCK CAPITAL MGMT		AXL	S	258,318	1.44	n/a	9-Jul	non-brg	1.0
LAGRANGE CAP ADV	048	AXL	B	10,000	1.42	n/a	9-Jul	500.00	5.0
f JOSEPH CIRO AMATURO	FID	BAC	B	5000	13.17	11-May	10-Jul	0.00	0.0
KARSCH CAPITAL	034	BAC	S	110,000	13.30	11-May	10-Jul	3,300.00	3.0
f JOSEPH CIRO AMATURO	FID	BGU	B	1000	34.80	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BIG	B	20,000	21.13	28-May	6-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		BK	S	27,000	29.41	11-May	10-Jul	non-brg	1.0
THIRD COAST CAPITAL	035	BWA	B	10,000	32.12	10-Jun	16-Jul	500.00	5.0
B BUCK CAPITAL MGMT		BWLD	C	40,000	33.69	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		BYD	B	25,000	8.59	n/a	7-May	non-brg	3.0
BUCK CAPITAL MGMT		BYI	S	86,378	32.37	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		CIT	S	1,800,000	0.47	16-Jul	16-Jul	non-brg	0.5
MARC PAUL LUCHANSKY	FID	CIT	S	1500	0.44	16-Jul	16-Jul	0.00	0.0
RAGHAV NAYAR	FID	CIT	S	633	0.50	16-Jul	16-Jul	0.00	0.0
CHILTON CAPITAL MGMT.	036	CLF	B	450,000	24.84	n/a	n/a	13,500.00	3.0
BUCK CAPITAL MGMT		CMG	SS	10,000	83.85	14-May	14-Jul	non-brg	2.5
IAN L MILLER	FID	CMI	S	25	36.00	6-May	6-May	0.00	0.0
BUCK CAPITAL MGMT		COF	S	84,000	26.00	15-May	15-Jul	non-brg	1.0
JASON ERIC COHEN	FID	CVGI	B	709	1.41	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	214	CVG	S	5,000	9.09	n/a	n/a	225.00	4.5
CATAPULT	040	DCP	SS	35,000	19.67	n/a	n/a	1,750.00	5.0
BUCK CAPITAL MGMT	001	DDS	SS	50,000	8.60	n/a	n/a	1,500.00	3.0
BUCK CAPITAL MGMT		DECK	S	10,000	70.06	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		DFS	S	26,000	11.00	n/a	15-Jul	non-brg	4.0
BUCK CAPITAL MGMT		DFS	S	62,500	11.00	n/a	15-Jul	non-brg	1.0
RAMIUS CAP	040	DIN	C	29,700	31.16	n/a	n/a	1,188.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		DOW	S	236,700	16.44	n/a	19-Jun	non-brg	4.0
f HARALAMBOS EFSTATHI	FID	DXO	S	2000	3.82	n/a	n/a	0.00	0.0
1798 CAPITAL MGMT	040	EBAY	B	40,000	18.72	n/a	n/a	2,000.00	5.0
B BUCK CAPITAL MGMT		ECL	B	15,000	37.96	28-Apr	2-Jul	non-brg	1.0
CAVU CAP ADV	028	ETN	B	35,000	44.83	27-May	19-Jun	1,750.00	5.0
SACC-SCHWARTZ	044	FLR	SS	100,000	49.27	n/a	n/a	4,000.00	4.0
NEUBERGER BERMAN	036	FRT	B	2,000	51.80	n/a	n/a	90.00	4.5
OZ MGMT	040	F	S	188,480	6.05	n/a	16-Jul	5,654.40	3.0
B BUCK CAPITAL MGMT		GS	S	10,000	154.64	14-Jul	14-Jul	non-brg	1.0
1798 CAPITAL MGMT	040	HLF	S	15,000	32.51	n/a	n/a	750.00	5.0
SIGMA CAPITAL ASSOCIATES	041	HLF	S	25,000	32.56	n/a	n/a	1,000.00	4.0
B BUCK CAPITAL MGMT		HOTT	C	30,000	7.38	30-Jan	30-Jan	non-brg	3.0
GCORE MANAGEMENT	252	HPQ	S	25,000	39.09	n/a	n/a	1,250.00	5.0
f DAVID GEORGE BUCK	FID	IDKMI	B	15	3.91	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		IGT	S	200,000	17.06	n/a	27-Apr	non-brg	4.0
1798 CAPITAL MGMT	040	JCP	B	5,000	28.53	13-Apr	10-Jul	250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
1798 CAPITAL MGMT	040	JCP	S	20,000	27.72	13-Apr	10-Jul	1,000.00	5.0
NEWCASTLE FUNDS	255	JCP	B	68,400	28.17	13-Apr	10-Jul	2,736.00	4.0
HUNTER GLOBAL INVESTOR	067	JKHY	SS	100,000	20.84	n/a	n/a	4,000.00	4.0
SCHOTTENFELD ASSOC	041	JNS	S	40,000	11.80	16-Jul	16-Jul	1,200.00	3.0
ß BUCK CAPITAL MGMT		JOSB	S	40,000	34.85	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		JOSB	S	56,200	35.00	n/a	n/a	non-brg	1.0
AVESTA CAP	229	MAR	B	50,000	20.41	n/a	n/a	2,000.00	4.0
ß BUCK CAPITAL MGMT		MA	S	3,000	175.44	n/a	14-Jul	non-brg	4.0
ß BUCK CAPITAL MGMT		MNRO	B	50,000	27.72	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		MPEL	S	20,000	4.97	n/a	14-Jul	non-brg	1.0
ß BUCK CAPITAL MGMT		MPEL	S	26,200	5.06	n/a	14-Jul	non-brg	2.0
ß BUCK CAPITAL MGMT		MPEL	S	28,800	4.99	n/a	14-Jul	non-brg	1.0
ß BUCK CAPITAL MGMT		MPEL	S	50,000	5.00	n/a	14-Jul	non-brg	2.0
ß BUCK CAPITAL MGMT		MPEL	S	75,000	5.04	n/a	14-Jul	non-brg	1.5
JENNISON	032	MSFT	B	25,000	23.94	n/a	3-Apr	925.00	3.7
M&I FUNDS	256	MYL	B	13,093	12.45	n/a	16-Jul	523.72	4.0
ß BUCK CAPITAL MGMT		NKE	SS	20,000	52.32	n/a	n/a	non-brg	2.5
CAPITAL GROWTH MGMT.	241	NKE	S	100,000	52.70	n/a	n/a	5,000.00	5.0
ß BUCK CAPITAL MGMT		NTRS	S	15,000	58.10	22-Apr	10-Jul	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		NTY	B	10,000	31.45	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		NTY	B	90,000	30.98	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		NWY	B	100,000	3.07	30-Jan	30-Jan	non-brg	2.0
ROTHSCHILD ASSET	040	OMI	S	19,510	43.55	n/a	n/a	877.95	4.5
f DAVID GEORGE BUCK	FID	PBR	B	1000	39.54	n/a	n/a	0.00	0.0
CLOVIS CAPITAL	012	PCAR	B	25,000	31.65	25-Mar	26-Jun	1,250.00	5.0
B BUCK CAPITAL MGMT		PERY	S	25,112	7.53	n/a	n/a	non-brg	1.0
OZ MGMT	040	PKG	S	100,000	17.17	8-Apr	23-Jun	3,000.00	3.0
f DAVID GEORGE BUCK	FID	PM	B	1000	43.21	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	POT	S	100	91.32	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		PSS	S	50,000	13.87	n/a	n/a	non-brg	4.0
f FRANCIS MICHAEL MCCA	FID	PWR	S	200	21.42	n/a	n/a	0.00	0.0
f HARALAMBOS EFSTATHI	FID	PWR	S	700	21.58	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		QZS+GF[JOSB]	C	962	5.10	n/a	n/a	non-brg	300.0
SONTERRA CAP	041	RCL	B	30,000	13.54	22-Apr	24-Apr	1,200.00	4.0
CASEY CAPITAL	067	RHI	B	7,000	22.16	n/a	n/a	350.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PRINCIPLE CAPITAL	040	RHI	SS	53,100	22.05	n/a	n/a	1,593.00	3.0
BUCK CAPITAL MGMT	001	RL	S	15,000	53.55	25-Jun	25-Jun	600.00	4.0
⚡ BUCK CAPITAL MGMT		RRGB	SS	10,000	20.24	n/a	n/a	non-brg	4.0
CARDINAL CAPITAL	044	RX	S	7,500	13.16	n/a	n/a	375.00	5.0
⚡ BUCK CAPITAL MGMT		RYL	B	10,000	16.63	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		SGMS	C	30,000	14.85	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		SKX+GU[SKX]	C	4,850	4.05	n/a	n/a	non-brg	300.0
⚡ BUCK CAPITAL MGMT		SKX	S	485,000	11.55	n/a	13-Mar	non-brg	1.0
⚡ BUCK CAPITAL MGMT		SLM	S	100,000	9.80	23-Apr	8-Jul	non-brg	3.0
f DAVID GEORGE BUCK	FID	SNYIZ	S	15	1.10	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		SWN	B	10,000	39.04	27-Feb	1-Jul	non-brg	4.0
f ANDREW SINCLAIR	FID	SZCUJ	B	20	1.93	n/a	n/a	0.00	0.0
PRINCIPLE CAPITAL	040	TEL	B	43,200	18.70	n/a	n/a	1,296.00	3.0
LISTED ERR	099	THS	S	1	29.08	n/a	n/a	0.00	0.0
CAVU CAP ADV	028	TIN	B	50,000	13.64	9-Jul	9-Jul	2,500.00	5.0
⚡ BUCK CAPITAL MGMT		TSRA	SS	20,000	27.18	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		TSRA	SS	60,000	28.03	n/a	n/a	non-brg	4.0
JONATHAN RICHARD HAR	FID	TZA	S	200	20.99	n/a	n/a	0.00	0.0
ELM RIDGE ADVISORS	044	UFS	B	44,513	14.86	n/a	n/a	1,780.52	4.0
WHITE PINE CAPITAL	030	UNT	B	10,450	30.00	n/a	1-Jul	522.50	5.0
BUCK CAPITAL MGMT		URBN	B	10,000	21.64	30-Jan	30-Jan	non-brg	4.0
HIGHBRIDGE/MS OLDS	041	WFC	B	100,000	25.01	n/a	n/a	4,000.00	4.0
NEIL M STRATTON	FID	WHR	S	100	54.00	n/a	n/a	0.00	0.0
STRATTON PAR TNERSHI	FID	WHR	S	50	54.00	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		WRC+GE[WRC]	C	1,000	9.63	n/a	n/a	non-brg	300.0
CASEY CAPITAL	067	WRC	S	10,000	34.24	13-May	13-May	500.00	5.0
COUGAR TRADING	044	WRC	S	5,000	34.83	13-May	13-May	250.00	5.0
BUCK CAPITAL MGMT		WWW	SS	20,000	22.72	n/a	13-Mar	non-brg	2.5
BUCK CAPITAL MGMT		XLFX	SS	290,000	12.04	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		XRT	SS	122,700	28.42	n/a	n/a	non-brg	4.0
TOTAL (Trade Date):								82,362.29	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	07/15	DSG CAPITAL	225	CAKE	B	16,000	17.24	29-May	15-Jul	640.00	4.0
AO,CXL	07/15	DSG CAPITAL	225	CAKE	B	16,000	17.24	29-May	15-Jul	800.00	5.0
AO,CRT	07/15	MILLENIU M PARTNERS	028	IWM	SS	10,000	51.27	n/a	n/a	400.00	4.0
AO,CXL	07/15	MILLENIU M PARTNERS	028	IWM	SS	10,000	51.27	n/a	n/a	400.00	4.0
AO,CXL	07/15	MILLENIU M PARTNERS	028	MHK	B	10,000	36.72	n/a	n/a	400.00	4.0
AO,CRT	07/15	MILLENIU M PARTNERS	028	MHK	B	10,000	36.72	n/a	n/a	400.00	4.0
AO,CXL	07/15	MILLENIU M PARTNERS	028	SHW	B	20,000	54.75	17-Apr	9-Jul	800.00	4.0
AO,CRT	07/15	MILLENIU M PARTNERS	028	SHW	B	20,000	54.75	17-Apr	9-Jul	800.00	4.0
AO,CRT	07/15	LISTED ERR	099	THS	B	1	28.57	n/a	n/a	0.00	0.0
AO,CRT	07/15	MTB INV ADV	034	THS	S	151	28.57	n/a	n/a	7.55	5.0
AO,CXL	07/15	MTB INV ADV	034	THS	S	150	28.57	n/a	n/a	7.50	5.0

TOTAL (AO, CXL, CRT) :**-159.95**

TOTAL (Trade Date) :

82,362.29

TOTAL (AO, CXL, CRT) :

-159.95

TOTAL (RUN DATE) / NFS:**82,202.34**

MRI Securities with Trade Activity on 16-Jul.

CIT, JNS

MRI Securities without Trade Activity on 16-Jul.

ACL

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

T-Date = 2%

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)