



Daily Compliance Activity Report

Trade Date: 10/02/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 1

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EXIS CAPITAL	044	AA	B	20,000	12.70	n/a	n/a	1,000.00	5.0
SANDLER CAPITAL	038	ACN	B	70,000	37.94	n/a	n/a	4,200.00	6.0
NORTHPOINT	030	ADCT	S	5,446	7.58	n/a	n/a	163.38	3.0
f JOSEPH CIRO AMATURO	FID	AEO	B	5000	16.22	n/a	n/a	0.00	0.0
SIGMA CAPITAL ASSOCIATES	041	AEO	B	75,000	16.20	n/a	n/a	3,000.00	4.0
DIAMONDBACK CAP MGMT	232	AMG	SS	10,000	61.48	n/a	2-Oct	500.00	5.0
SOUTH POINT CAP	067	AMSC	B	25,000	31.67	n/a	n/a	1,250.00	5.0
RBC CAPITAL MARKETS	040	ANF	B	5,000	31.16	n/a	n/a	200.00	4.0
JMP ASSET MGMT	210	ANN	SS	14,000	14.56	n/a	n/a	700.00	5.0
WELLS/STRONG LEDDY	035	ANN	S	95,000	14.59	n/a	n/a	3,800.00	4.0
LAGRANGE CAP ADV	048	AN	B	3,454	16.95	n/a	n/a	172.70	5.0
B BUCK CAPITAL MGMT		APP	S	10,000	3.29	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		ARO	S	3,000	41.65	n/a	n/a	non-brg	4.0
f HARALAMBOS EFSTATHI	FID	ATVI	B	500	11.90	n/a	n/a	0.00	0.0
f ABRAM M CHAPPELL	FID	AURD	S	1500	0.28	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PROSPECTOR PARTNERS LLC	036	AU	S	10,000	39.42	n/a	n/a	400.00	4.0
⚡ BUCK CAPITAL MGMT		AXL	B	50,000	6.25	n/a	n/a	non-brg	3.0
DIAMONDBACK CAP MGMT	232	BAC	B	40,000	16.44	n/a	n/a	2,000.00	5.0
⚡ BUCK CAPITAL MGMT		BEBE	S	8,300	7.00	n/a	n/a	non-brg	3.0
⚡ WILLIAM J GAULT	FID	BGZ	S	1000	23.47	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		BONT	B	10,000	6.44	n/a	n/a	non-brg	3.0
⚡ BUCK CAPITAL MGMT		BWA	B	20,000	27.88	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		BYD	SS	50,000	9.95	n/a	n/a	non-brg	0.8
GCORE MANAGEMENT	041	CAR	SS	25,000	12.23	n/a	n/a	1,250.00	5.0
⚡ BUCK CAPITAL MGMT		CHRS	S	20,000	4.69	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		CHRS	S	21,708	4.72	n/a	n/a	non-brg	3.0
ARCHON CAPITAL	035	CLNE	SS	22,400	13.40	n/a	n/a	896.00	4.0
S.A.C.HABER/BOBBY	044	COF	B	100,000	33.43	n/a	n/a	4,000.00	4.0
⚡ BUCK CAPITAL MGMT		CTRN	B	10,175	28.47	n/a	n/a	non-brg	0.7
⚡ BUCK CAPITAL MGMT		CTRN	B	14,825	28.07	n/a	n/a	non-brg	0.8
⚡ BUCK CAPITAL MGMT		CTRN	B	15,000	28.61	n/a	n/a	non-brg	2.5
⚡ EDWARD W WHEELER	FID	CVGI	B	10000	6.15	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	DDS	SS	20,000	13.07	n/a	n/a	800.00	4.0
Ⓕ BUCK CAPITAL MGMT		DECK	S	2,000	78.20	n/a	n/a	non-brg	4.0
f ALEXANDER PRYLUCKI	FID	DHI	B	275	10.67	n/a	n/a	0.00	0.0
Ⓕ BUCK CAPITAL MGMT		DHI	B	50,000	10.63	n/a	n/a	non-brg	4.0
f JOSEPH CIRO AMATURO	FID	DHI	B	5000	10.73	n/a	n/a	0.00	0.0
Ⓕ BUCK CAPITAL MGMT		DIA	SS	90,000	94.18	n/a	n/a	non-brg	0.8
DIAMONDBACK CAP MGMT	232	DOW	B	15,000	23.89	n/a	n/a	750.00	5.0
JP MORGAN VENTURES	046	DPZ	S	75,000	8.51	n/a	n/a	2,250.00	3.0
DSG CAPITAL	225	EWZ	B	2,000	67.01	n/a	n/a	100.00	5.0
f WILLIAM J GAULT	FID	FAZ	S	1000	23.93	n/a	n/a	0.00	0.0
Ⓕ BUCK CAPITAL MGMT		FINL	S	10,000	9.80	n/a	n/a	non-brg	3.0
JMP ASSET MGMT	210	FL	S	15,000	11.40	n/a	n/a	750.00	5.0
CUMBERLAND	038	FSLR	SS	10,000	151.37	n/a	n/a	400.00	4.0
f MITCHELL JAMES SPEIS	FID	FSNXX	B	2547	1.00	n/a	n/a	0.00	0.0
TRAFELET & COMP.	028	F	B	750,000	6.85	n/a	1-Oct	30,000.00	4.0
TRELLUS PARTNERS LP	028	F	B	50,000	6.65	n/a	1-Oct	1,500.00	3.0
f ANTHONY SUTERA	FID	GE	B	1000	15.48	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	GPS	S	20,000	20.85	n/a	n/a	800.00	4.0
CASTLEROCK	040	GPS	B	58,240	21.00	n/a	n/a	2,329.60	4.0
⚡ BUCK CAPITAL MGMT		GSIC	S	15,000	18.62	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		GSIC	S	5,000	18.60	n/a	n/a	non-brg	0.8
UBS OCONNOR	031	GS	B	45,000	177.06	n/a	n/a	1,350.00	3.0
EXIS CAPITAL	044	GYMB	S	22,500	46.90	n/a	n/a	1,125.00	5.0
KACELA CAPITAL	034	HOG	B	37,600	21.12	n/a	n/a	1,504.00	4.0
GCORE MANAGEMENT	041	HTZ	B	25,000	9.93	n/a	n/a	1,250.00	5.0
FIRST NY SEC/CHRIS	041	IP	S	10,000	21.40	2-Oct	2-Oct	500.00	5.0
SCHOTTENFELD ASSOC	041	IP	S	35,000	21.62	2-Oct	2-Oct	1,050.00	3.0
f DAVID GEORGE BUCK	FID	IWF	B	2500	45.33	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		IWM	SS	375,000	57.91	n/a	n/a	non-brg	0.8
f ALEXANDER PRYLUCKI	FID	JBLU	B	375	5.50	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		JBLU	B	100,000	5.66	n/a	n/a	non-brg	0.8
BUCK CAPITAL MGMT	001	JCG	S	10,000	33.12	n/a	n/a	400.00	4.0
⚡ BUCK CAPITAL MGMT		JCG	S	10,000	33.22	n/a	n/a	non-brg	2.0
EXIS CAPITAL	044	JCG	B	10,000	34.31	n/a	n/a	500.00	5.0
f JOHN MICHAEL ZOLIDIS	FID	JCG	B	300	33.35	n/a	n/a	0.00	0.0
f ROBERT M DANIELS	FID	JNS	B	50	13.21	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	JWN	B	5,000	29.00	n/a	n/a	200.00	4.0
ß BUCK CAPITAL MGMT		KCP	S	400	9.24	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		KCP	S	49,817	9.28	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		KCP	S	5,600	9.38	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		KMT	B	20,000	21.79	n/a	n/a	non-brg	0.8
PROSPECTOR PARTNERS LLC	036	KO	S	10,000	53.72	n/a	n/a	400.00	4.0
ß BUCK CAPITAL MGMT		LEN	B	40,000	12.81	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	LTD	S	20,000	16.15	n/a	n/a	800.00	4.0
FIRST NEW YORK LEDDY	035	LVL	B	20,000	1.33	n/a	n/a	1,200.00	6.0
f JOSEPH CIRO AMATURO	FID	LVS	B	2500	15.03	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	LVS	B	1000	15.83	n/a	n/a	0.00	0.0
TRELLUS PARTNERS LP	028	LVS	B	50,000	14.90	n/a	n/a	2,500.00	5.0
LEVEL GLOBAL SHARED ACCT	257	MAR	SS	150,000	25.63	n/a	n/a	4,500.00	3.0
CASTLE ARK	031	MET	S	200,260	35.77	n/a	n/a	12,015.60	6.0
BUCK CAPITAL MGMT	001	MGM	SS	75,000	10.80	n/a	n/a	3,000.00	4.0
NEWCASTLE FUNDS	255	MHK	SS	31,800	43.77	n/a	n/a	1,272.00	4.0
CATAPULT	040	MON	B	30,000	75.26	n/a	n/a	1,500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FORD FDN.	032	MON	S	13,000	75.08	n/a	n/a	650.00	5.0
f MARY CATHERI MADIGA	FID	MO	B	115	17.40	n/a	n/a	0.00	0.0
f CHRISTOPHER ARTHUR K	FID	MTW	B	1000	8.17	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		MVRX	SS	12,500	156.62	n/a	n/a	non-brg	15.7
RBC CAPITAL MARKETS	040	M	B	10,000	17.26	n/a	n/a	400.00	4.0
f ROBERT M DANIELS	FID	NE	B	100	36.17	n/a	n/a	0.00	0.0
LEVEL GLOBAL SHARED ACCT	257	NKE	C	50,000	62.10	n/a	n/a	1,500.00	3.0
NEWCASTLE FUNDS	255	OI	B	20,000	35.87	n/a	n/a	800.00	4.0
THIRD POINT MGMT	044	ORCL	S	200,000	20.27	n/a	n/a	8,000.00	4.0
B BUCK CAPITAL MGMT		PETM	S	100,000	20.98	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		PKG	B	25,000	19.03	2-Oct	2-Oct	non-brg	2.5
MILLENIUUM PARTNERS	028	PKG	B	25,000	18.79	2-Oct	2-Oct	1,000.00	4.0
SCOPUS FUND	041	PKG	B	28,674	19.13	2-Oct	2-Oct	1,433.70	5.0
SCOPUS FUND	041	PKG	B	6,726	19.13	2-Oct	2-Oct	336.30	5.0
B BUCK CAPITAL MGMT		PLCE	B	10,000	28.88	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		PLCE	B	60,000	28.88	n/a	n/a	non-brg	4.0
EXIS CAPITAL	044	PLCE	S	10,000	28.37	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		PNRA	B	20,000	53.43	n/a	2-Oct	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		PVH	S	3,000	41.07	n/a	n/a	non-brg	4.0
COUGAR TRADING	044	PVH	S	5,000	40.68	n/a	n/a	250.00	5.0
FORD FDN.	032	PX	B	13,000	79.49	n/a	n/a	650.00	5.0
B BUCK CAPITAL MGMT		RCL	S	2,900	22.53	n/a	n/a	non-brg	4.0
f JASON ERIC COHEN	FID	RHWI	S	13	0.01	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	RL	B	10,000	73.14	n/a	n/a	400.00	4.0
RBC CAPITAL MARKETS	040	ROST	B	10,000	46.54	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		RRR	B	50,000	6.99	n/a	n/a	non-brg	2.5
PZENA INV ADV	044	SKX	B	20,600	16.83	n/a	n/a	721.00	3.5
B BUCK CAPITAL MGMT		SPY	SS	120,000	102.07	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		SUMR	B	1,145	4.80	n/a	n/a	non-brg	0.8
PZENA INV ADV	044	TBL	B	31,600	13.33	n/a	n/a	1,106.00	3.5
BALYASNY ASSET MGMT	044	TEX	C	50,000	18.42	n/a	n/a	2,500.00	5.0
BUCK CAPITAL MGMT	001	TGT	S	10,000	46.28	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		TGT	S	3,000	46.25	n/a	n/a	non-brg	4.0
RBC CAPITAL MARKETS	040	TGT	B	5,000	46.09	n/a	n/a	200.00	4.0
SCHOTTENFELD ASSOC	041	TIN	S	10,000	16.13	2-Oct	2-Oct	300.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		TJX	S	6,000	36.46	n/a	n/a	non-brg	4.0
RBC CAPITAL MARKETS	040	TJX	B	10,000	36.56	n/a	n/a	400.00	4.0
ß BUCK CAPITAL MGMT		TOL	B	50,000	18.35	n/a	n/a	non-brg	0.8
PZENA INV ADV	044	TWP	B	14,300	17.19	n/a	n/a	500.50	3.5
f ALEXANDER PRYLUCKI	FID	UAUA	B	275	7.15	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		UAUA	B	50,000	7.23	n/a	n/a	non-brg	3.0
f ANDREW SINCLAIR	FID	UNEAP	B	35	0.25	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		URBN	B	20,000	29.33	n/a	n/a	non-brg	4.0
f JASON ERIC COHEN	FID	VSTCQ	S	100	0.00	n/a	n/a	0.00	0.0
PZENA INV ADV	044	WBS	B	12,600	11.85	n/a	n/a	441.00	3.5
RBC CAPITAL MARKETS	040	WEN	SS	25,000	4.73	n/a	2-Oct	1,000.00	4.0
ß BUCK CAPITAL MGMT		WFT	B	20,000	19.44	n/a	n/a	non-brg	4.0
JP MORGAN VENTURES	046	WINN	B	20,000	12.13	n/a	n/a	1,000.00	5.0
NEWCASTLE FUNDS	255	WMT	C	45,800	49.20	n/a	n/a	1,832.00	4.0
BUCK CAPITAL MGMT	001	WRC	B	20,000	41.97	n/a	2-Oct	800.00	4.0
ß BUCK CAPITAL MGMT		WRC	B	10,000	42.35	n/a	2-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		WRC	B	40,000	42.26	n/a	2-Oct	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		WRC	S	5,000	42.58	n/a	2-Oct	non-brg	4.0
⚡ BUCK CAPITAL MGMT		WY	B	20,000	34.84	n/a	n/a	non-brg	0.8
f MARC PAUL LUCHANSKY	FID	WY	B	100	35.25	n/a	n/a	0.00	0.0
PZENA INV ADV	044	XOM	B	44,100	66.57	n/a	n/a	1,543.53	3.5
EXIS CAPITAL	044	ZQK	B	11,000	2.40	n/a	n/a	550.00	5.0
PZENA INV ADV	044	ZRAN	B	17,800	10.75	n/a	n/a	623.00	3.5
TOTAL (Trade Date):							128,515.31		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/01	WELLS/STRONG LEDDY	035	BEXP	S	16,400	8.66	n/a	n/a	492.00 3.0
AO,CRT	10/01	EXIS CAPITAL	044	FL	S	5,000	11.63	n/a	n/a	250.00 5.0
AO,CXL	10/01	EXIS CAPITAL	044	FL	S	5,000	11.63	n/a	n/a	250.00 5.0
AO,CRT	10/01	MILLENIU M PARTNERS	028	GCI	B	23,872	11.77	n/a	n/a	954.88 4.0
AO,CXL	10/01	MILLENIU M PARTNERS	028	GCI	B	23,872	11.77	n/a	n/a	954.88 4.0
AO,CRT	10/01	MILLENIU M PARTNERS	028	GPS	B	13,377	21.00	n/a	n/a	535.08 4.0
AO,CXL	10/01	MILLENIU M PARTNERS	028	GPS	B	13,377	21.00	n/a	n/a	535.08 4.0
AO,CXL	10/01	MILLENIU M PARTNERS	028	GT	B	17,337	16.21	n/a	n/a	693.48 4.0
AO,CRT	10/01	MILLENIU M PARTNERS	028	GT	B	17,337	16.21	n/a	n/a	693.48 4.0
AO,CRT	10/01	MILLENIU M PARTNERS	028	HD	S	53,372	26.25	n/a	n/a	2134.88 4.0
AO,CXL	10/01	MILLENIU M PARTNERS	028	HD	S	53,372	26.25	n/a	n/a	2134.88 4.0
AO,CRT	09/30	CLOVIS CAPITAL	012	IWM	B	250,000	59.85	n/a	n/a	7500.00 3.0
AO,CXL	09/30	CLOVIS CAPITAL	012	IWM	B	250,000	59.85	n/a	n/a	10750.00 4.3
AO,	10/01	WELLS/STRONG LEDDY	035	JDAS	S	10,300	21.41	n/a	n/a	309.00 3.0
AO,CXL	10/01	MILLENIU M PARTNERS	028	M	B	15,955	17.60	n/a	n/a	638.20 4.0
AO,CRT	10/01	MILLENIU M PARTNERS	028	M	B	15,955	17.60	n/a	n/a	638.20 4.0
AO,	10/01	WELLS/STRONG LEDDY	035	PSS	S	17,500	16.94	n/a	n/a	525.00 3.0
AO,CXL	10/01	CATAPULT	040	SFD	B	75,000	12.89	n/a	n/a	0.00 0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/01	CATAPULT	040	SFD	B	75,000	12.89	n/a	n/a	3000.00 4.0
AO,CRT	10/01	MILLENIUM PARTNERS	028	TGT	B	6,070	46.19	n/a	n/a	242.80 4.0
AO,CXL	10/01	MILLENIUM PARTNERS	028	TGT	B	6,070	46.19	n/a	n/a	242.80 4.0
AO,	10/01	WELLS/STRONG LEDDY	035	WRES	S	15,700	2.89	n/a	n/a	471.00 3.0
TOTAL (AO, CXL, CRT) :										1,547.00

TOTAL (Trade Date):	128,515.31
TOTAL (AO, CXL, CRT):	1,547.00

TOTAL (RUN DATE) / NFS:	130,062.31
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MRI Securities with Trade Activity on 2-Oct.
IP, PKG, TIN

MRI Securities without Trade Activity on 2-Oct.
KEG, DSW

BRG comm. as a % of BCM Total Comm. paid.
 T-Date = 19%
 YTD = 21%

<u>Legend:</u>
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)