



Daily Compliance Activity Report

Trade Date: 12/28/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
STRONG/WELLS CAP ANN F	047	ALTR	S	183,000	22.79	n/a	n/a	7,320.00	4.0
MERRILL ASSET/BLACKROCK	214	AME	B	6,500	39.00	n/a	n/a	292.50	4.5
f PEARL LUCHANSKY	FID	BK	S	500	27.64	n/a	14-Dec	0.00	0.0
PZENA INV ADV	044	CAH	S	10,900	32.68	n/a	n/a	381.65	3.5
GREEN ARROW DOUG	040	CBI	B	10,000	20.67	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		CSTR	B	10,000	27.06	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CSTR	B	5,000	27.10	n/a	n/a	non-brg	4.0
f HARALAMBOS EFSTATHI	FID	CYPB	B	500	5.81	n/a	n/a	0.00	0.0
Õ Sasha Murray		C	S	700	3.33	n/a	17-Dec	0.00	0.0
EXIS CAPITAL	044	DBA	B	20,000	26.39	n/a	n/a	1,000.00	5.0
B BUCK CAPITAL MGMT		DBRN	S	10,000	23.17	n/a	n/a	non-brg	4.0
DAVIDSON INV ADV	035	DHI	B	25,140	10.97	n/a	n/a	1,005.60	4.0
f EDWARD W WHEELER	FID	DUK	S	8000	17.31	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		DXD	B	20,000	28.98	n/a	n/a	non-brg	1.0
Õ Sasha Murray		ESLR	S	1000	1.64	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		EXC	S	2,000	49.53	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		EXH	S	3,300	21.12	n/a	28-Dec	non-brg	2.5
f DANIEL R SCHWARZWALD	FID	FASM	S	7232	13.89	n/a	n/a	0.00	0.0
f SUSAN D SCHWARZWALDE	FID	FASM	S	10405	13.89	n/a	n/a	0.00	0.0
f JOEL GIFFORD TISS	FID	FAZ	S	400	18.93	n/a	n/a	0.00	0.0
f SUSAN D SCHWARZWALDE	FID	FBGR	S	224	38.36	n/a	n/a	0.00	0.0
f SUSAN D SCHWARZWALDE	FID	FDGF	S	1789	23.96	n/a	n/a	0.00	0.0
f DANIEL R SCHWARZWALD	FID	FDSC	S	690	14.13	n/a	n/a	0.00	0.0
f SARA J SCHWARZWALDER	FID	FDSS	S	1622	21.98	n/a	n/a	0.00	0.0
f DANIEL R SCHWARZWALD	FID	FEQT	S	3936	16.49	n/a	n/a	0.00	0.0
f SUSAN D SCHWARZWALDE	FID	FMCS	S	2429	23.73	n/a	n/a	0.00	0.0
f DANIEL R SCHWARZWALD	FID	FNKX	B	1000000	1.00	n/a	n/a	0.00	0.0
f SARA J SCHWARZWALDER	FID	FSEAX	S	1201	25.12	n/a	n/a	0.00	0.0
f DANIEL R SCHWARZWALD	FID	FSMK	B	2252	77.77	n/a	n/a	0.00	0.0
f DANIEL R SCHWARZWALD	FID	FSMK	B	271	77.77	n/a	n/a	0.00	0.0
f SARA J SCHWARZWALDER	FID	FSMK	B	1505	77.77	n/a	n/a	0.00	0.0
f SUSAN D SCHWARZWALDE	FID	FSMK	B	3261	77.77	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f DANIEL R SCHWARZWALD	FID	FSMVX	S	1620	13.01	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		FUQI	B	10,000	18.55	n/a	n/a	non-brg	4.0
ROYCE TRADING	216	GME	B	6,500	22.31	n/a	n/a	325.00	5.0
PROSPECTOR PARTNERS LLC	036	GPX	S	25,000	3.55	n/a	n/a	1,000.00	4.0
ß BUCK CAPITAL MGMT		HGG	S	10,000	21.95	n/a	n/a	non-brg	4.0
PZENA INV ADV	044	HHS	B	2,600	10.85	n/a	n/a	91.05	3.5
STRONG/MARK GRONET	030	ITPOF	B	46,975	2.55	n/a	n/a	939.50	2.0
ß BUCK CAPITAL MGMT		IWM	C	15,000	63.22	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		IWM	C	6,200	63.23	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		IWM	C	6,300	63.23	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		IWO	SS	15,000	68.68	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		IWR	SS	15,000	83.50	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		JOSE	S	10,000	42.37	n/a	n/a	non-brg	4.0
PZENA INV ADV	044	KFT	B	208,400	27.40	n/a	n/a	7,294.10	3.5
MORGAN BANK /JPM	070	KSS	B	81,754	55.22	n/a	4-Dec	2,452.62	3.0
ß BUCK CAPITAL MGMT		LCAPA	S	104	24.19	n/a	n/a	non-brg	0.8

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
B	BUCK CAPITAL MGMT		LINTA	S	520	11.12	n/a	n/a	non-brg 0.8
	BUCK CAPITAL MGMT	001	LL	S	10,000	28.22	n/a	n/a	400.00 4.0
f	EDWARD W WHEELER	FID	LPXHU	S	150	1.25	n/a	n/a	0.00 0.0
B	BUCK CAPITAL MGMT		LSTZA	S	41	46.90	n/a	n/a	non-brg 0.8
	OHIO PERS	047	LXK	B	23,300	25.94	n/a	n/a	699.00 3.0
B	BUCK CAPITAL MGMT		MDY	C	9,000	134.39	n/a	n/a	non-brg 1.0
	DAVIDSON INV ADV	035	MHP	S	17,160	33.70	n/a	n/a	686.40 4.0
	TROUBH PART	067	MOT	S	25,000	7.72	n/a	n/a	1,250.00 5.0
Õ	Sasha Murray		MSFT	S	200	30.94	n/a	n/a	0.00 0.0
	PZENA INV ADV	044	MTSC	B	5,295	28.49	n/a	n/a	185.33 3.5
B	BUCK CAPITAL MGMT		MVRX	C	50,000	172.89	n/a	n/a	non-brg 17.3
	SCOPUS FUND	041	M	S	125,000	17.93	n/a	4-Dec	6,250.00 5.0
B	BUCK CAPITAL MGMT		NRG	S	3,000	24.51	n/a	n/a	non-brg 2.5
B	BUCK CAPITAL MGMT		NTY	S	10,000	43.97	n/a	n/a	non-brg 4.0
f	CHRISTOPHER ARTHUR K	FID	NVLT	S	2500	2.00	n/a	n/a	0.00 0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MAIRS AND POWER INV	030	PFE	S	20,000	18.59	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	PIR	S	20,000	5.42	n/a	n/a	600.00	3.0
ß BUCK CAPITAL MGMT		PLCE	B	20,000	32.72	n/a	11-Dec	non-brg	4.0
ß BUCK CAPITAL MGMT		QID	B	15,000	18.83	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		RL	B	156,682	82.32	n/a	4-Nov	non-brg	1.0
ß BUCK CAPITAL MGMT		RL	S	156,682	82.32	n/a	4-Nov	non-brg	1.0
f HARALAMBOS EFSTATHI	FID	RRR	S	1000	7.26	n/a	30-Oct	0.00	0.0
ß BUCK CAPITAL MGMT		RTH	SS	5,000	95.20	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		RTH	SS	5,000	95.20	n/a	n/a	non-brg	0.8
MILLRACE FUND LP	028	SBUX	SS	8,100	23.84	n/a	6-Nov	324.00	4.0
ß BUCK CAPITAL MGMT		SDS	S	12,500	34.31	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		SKF	S	4,000	23.71	n/a	n/a	non-brg	0.8
BUCK CAPITAL MGMT	001	SKX	S	20,000	28.67	n/a	n/a	800.00	4.0
ß BUCK CAPITAL MGMT		SKX	B	307,483	28.68	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		SKX	S	307,483	28.68	n/a	n/a	non-brg	1.0
GREEN ARROW DOUG	040	SLGN	S	5,000	58.85	n/a	n/a	250.00	5.0
STRONG/MARK GRONET	030	SMMX	B	1,770	4.78	n/a	n/a	53.10	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRUST CO OF THE WEST/NY	040	SNV	B	27,200	2.11	n/a	n/a	816.00	3.0
TRUST CO/COWEN/CALF.	040	SNV	B	72,890	2.11	n/a	n/a	2,186.70	3.0
f EDWARD W WHEELER	FID	SO	S	5000	33.40	n/a	n/a	0.00	0.0
f ABRAM M CHAPPELL	FID	SPXU	B	29	35.37	n/a	n/a	0.00	0.0
f ABRAM M CHAPPELL	FID	SRI	S	170	9.25	n/a	n/a	0.00	0.0
f FRANCIS MICHAEL MCCA	FID	SRI	S	1000	9.27	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SRS	S	6,000	6.97	n/a	n/a	non-brg	0.8
STRONG/MARK GRONET	030	STEC	S	137,500	16.63	n/a	n/a	5,500.00	4.0
ß BUCK CAPITAL MGMT		STT	S	3,500	44.63	n/a	22-Dec	non-brg	0.8
ß BUCK CAPITAL MGMT		SUMR	B	200	4.37	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		TLB	B	20,000	8.10	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		TYC	S	500	35.70	n/a	23-Nov	non-brg	0.8
f ABRAM M CHAPPELL	FID	TZA	S	85	9.42	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	UNS	S	10,000	32.62	n/a	n/a	400.00	4.0
RAINIER INV MGMT	035	VMI	S	11,910	81.52	n/a	n/a	595.50	5.0
Õ Sasha Murray		VSTNQ	S	100	0.02	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Õ	Sasha Murray		VSTNQ	S	1400	0.02	n/a	n/a	0.00	0.0
f	CHRISTOPHER ROBERT C	FID	XLE	S	200	57.85	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		XLY	C	6,300	30.18	n/a	n/a	non-brg	0.8
ß	BUCK CAPITAL MGMT		XLY	C	6,300	30.18	n/a	n/a	non-brg	0.8
f	ROBERT M DANIELS	FID	XTEX	S	500	7.93	n/a	n/a	0.00	0.0
	PROSPECTOR PARTNERS LLC	036	ZINC	S	13,900	12.89	n/a	n/a	556.00	4.0
TOTAL (Trade Date):									45,154.05	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,	12/24	EXIS CAPITAL	044	TJX	SS	5,000	36.95	n/a 4-Dec	250.00 5.0
TOTAL (AO, CXL, CRT) :									250.00

TOTAL (Trade Date):	45,154.05
TOTAL (AO, CXL, CRT):	250.00

TOTAL (RUN DATE) / NFS: 45,404.05

MRI Securities with Trade Activity on 28-Dec.
NONE

MRI Securities without Trade Activity on 28-Dec.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 7%
YTD = 19%

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)