



Daily Compliance Activity Report

Trade Date: 11/20/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f DAVID GEORGE BUCK	FID	ABT	B	1000	53.31	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		AEO	B	30,000	14.75	n/a	6-Nov	non-brg	4.0
f KAREN F LEDDY	FID	ALN	B	1700	3.00	n/a	n/a	0.00	0.0
M&I FUNDS	047	AMP	B	11,600	37.53	n/a	n/a	464.00	4.0
B BUCK CAPITAL MGMT		ANF	S	20,000	39.92	n/a	16-Nov	non-brg	4.0
HOLLIS CAPITAL	033	AN	S	5,000	17.73	n/a	30-Oct	250.00	5.0
HUTCHIN HILL CAPITAL LP	233	AN	B	65,000	17.74	n/a	30-Oct	1,950.00	3.0
WOOSTER CAPITAL	035	AN	B	100,000	17.78	n/a	30-Oct	5,000.00	5.0
f JONATHAN RICHARD HAR	FID	BAC	B	62	16.06	n/a	18-Nov	0.00	0.0
f KEVIN MICHAEL O'GORM	FID	BCOKX	S	30	0.75	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	BGU	B	5000	48.26	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	BGZ	S	20000	19.00	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BIG	S	20,000	24.08	n/a	6-Nov	non-brg	4.0
OVERLAND PARK CAP	041	BKC	SS	15,000	17.50	n/a	29-Oct	600.00	4.0
B BUCK CAPITAL MGMT		BK	B	22,000	26.60	n/a	18-Nov	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GEORGE WEISS	034	BNE	S	25,000	6.02	n/a	n/a	750.00	3.0
JP MORGAN VENTURES	046	CAT	B	10,000	57.29	n/a	21-Oct	500.00	5.0
WELLS/STRONG LEDDY	035	CHRD	B	15,000	2.99	n/a	n/a	450.00	3.0
CAMBIAR CAP	046	CL	S	74,975	84.69	n/a	13-Nov	2,999.00	4.0
CAMP	046	CL	S	25	84.69	n/a	13-Nov	1.00	4.0
BUCK CAPITAL MGMT	001	COH	B	30,000	33.63	n/a	21-Oct	1,200.00	4.0
B BUCK CAPITAL MGMT		CRI	B	40,000	21.86	n/a	n/a	non-brg	4.0
WAGONHOUND/NIC	048	CVGI	B	8,767	5.21	n/a	n/a	263.01	3.0
SONTERRA CAP	041	CVS	B	15,000	31.41	n/a	n/a	600.00	4.0
B BUCK CAPITAL MGMT		CWTR	B	10,000	5.20	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		CWTR	B	20,000	5.14	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		DBRN	S	50,000	21.66	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DDS	C	50,000	15.40	n/a	n/a	non-brg	4.0
CHILTON CAPITAL MGMT.	036	DELL	C	100,000	14.59	n/a	n/a	3,000.00	3.0
B BUCK CAPITAL MGMT		DHI	B	90,000	10.79	n/a	n/a	non-brg	0.8
OVERLAND PARK CAP	041	DRI	SS	45,000	31.33	n/a	2-Oct	1,800.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROSEDALE CAPITAL	046	DVN	B	20,000	67.95	n/a	16-Nov	1,000.00	5.0
COLUMBIA PARTNERS	028	DW	C	31,381	19.82	n/a	n/a	941.43	3.0
CUMBERLAND	239	EXH	B	7,000	21.04	n/a	2-Nov	280.00	4.0
⚡ BUCK CAPITAL MGMT		FINL	B	20,000	9.53	n/a	n/a	non-brg	3.0
⚡ BUCK CAPITAL MGMT		FL	B	20,000	10.37	n/a	19-Nov	non-brg	4.0
⚡ BUCK CAPITAL MGMT		FL	B	50,000	10.68	n/a	19-Nov	non-brg	4.0
CONIFER/ISF	025	FL	B	10,000	10.34	n/a	19-Nov	500.00	5.0
RWC PARTNERS LTD	067	F	B	1,350,000	8.64	n/a	4-Nov	40,500.00	3.0
⚡ BUCK CAPITAL MGMT		GIII	S	2,432	17.96	n/a	n/a	non-brg	0.8
⚡ BUCK CAPITAL MGMT		GIII	S	50,000	18.10	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		GIL	B	20,000	18.13	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		GS	B	3,000	172.04	n/a	18-Nov	non-brg	4.0
EXIS CAPITAL	044	GYMB	S	20,000	41.37	n/a	19-Nov	1,000.00	5.0
SIGMA CAPITAL ASSOCIATES	041	GYMB	SS	10,000	41.09	n/a	19-Nov	400.00	4.0
BUCK CAPITAL MGMT	001	HBI	S	20,000	24.45	n/a	n/a	800.00	4.0
⚡ BUCK CAPITAL MGMT		HOTT	C	80,000	5.86	n/a	n/a	non-brg	3.0
ELM RIDGE ADVISORS	044	IP	S	313,900	24.73	n/a	28-Oct	12,556.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
M&I FUNDS	047	IVZ	B	19,600	22.26	n/a	19-Nov	784.00	4.0
SYSTEMATIC FINANCIAL MGT	035	IVZ	S	194,100	22.21	n/a	19-Nov	6,793.50	3.5
SIGMA CAPITAL ASSOCIATES	041	JCG	SS	40,000	40.30	n/a	n/a	1,600.00	4.0
GCORE MANAGEMENT	041	JCI	SS	30,000	26.92	n/a	28-Oct	1,500.00	5.0
THE JAY GOLDMAN	028	JCP	B	50,000	29.45	n/a	16-Nov	2,000.00	4.0
ß BUCK CAPITAL MGMT		JNS	B	40,000	13.26	n/a	17-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		JPM	B	10,000	42.53	n/a	19-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		JWN	B	20,000	34.02	n/a	13-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		JWN	S	30,000	33.79	n/a	13-Nov	non-brg	4.0
COUGAR TRADING	044	JWN	S	10,000	33.90	n/a	13-Nov	500.00	5.0
ß BUCK CAPITAL MGMT		LEN	B	50,000	13.67	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		LL	S	30,000	24.42	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		MDC	B	35,000	30.33	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	MSFT	S	2000	29.45	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	MTW	B	150	10.50	n/a	3-Nov	0.00	0.0
BUCK CAPITAL MGMT	001	M	B	30,000	17.26	n/a	12-Nov	1,200.00	4.0
ROTHSCHILD ASSET	040	NJR	B	10,600	35.29	n/a	n/a	477.00	4.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		NTY	S	20,000	41.93	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		NWY	S	30,000	4.30	n/a	n/a	non-brg	3.0
THOMAS WEISEL ASSET MGMT	035	ONNN	S	24,679	7.73	n/a	n/a	740.37	3.0
MELLON/BANK OF NEW YORK	046	PFE	B	8,000	18.25	n/a	n/a	400.00	5.0
⚡ BUCK CAPITAL MGMT		PHM	B	30,000	9.52	n/a	n/a	non-brg	3.0
⚡ BUCK CAPITAL MGMT		PIR	B	20,000	4.02	n/a	n/a	non-brg	3.0
⚡ BUCK CAPITAL MGMT		PLCE	S	10,000	33.97	n/a	19-Nov	non-brg	4.0
⚡ BUCK CAPITAL MGMT		PVH	S	20,000	42.89	n/a	20-Nov	non-brg	4.0
f FRANCIS MICHAEL MCCA	FID	PVH	B	200	42.29	n/a	20-Nov	0.00	0.0
⚡ BUCK CAPITAL MGMT		RYF	SS	183,000	22.37	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		RYL	B	20,000	19.03	n/a	n/a	non-brg	4.0
CASTLEROCK	040	SHLD	B	37,904	73.62	n/a	n/a	1,516.16	4.0
⚡ BUCK CAPITAL MGMT		SKX	S	20,000	22.58	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	SPG	B	500	73.12	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	047	SPLS	S	18,175	22.61	n/a	n/a	908.75	5.0
⚡ BUCK CAPITAL MGMT		SPY	SS	52,000	109.40	n/a	n/a	non-brg	0.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		TIF	B	20,000	41.21	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT		TJX	S	20,000	39.12	n/a	18-Nov	non-brg	4.0
JP MORGAN VENTURES	046	TRA	B	30,000	38.78	n/a	n/a	1,500.00	5.0
BUCK CAPITAL MGMT		TWB	S	30,000	10.10	n/a	n/a	non-brg	4.0
STRATTON PAR TNERSHI	FID	VYHMV	S	3	1.15	n/a	n/a	0.00	0.0
DAVID GEORGE BUCK	FID	WFC	S	2000	27.86	n/a	n/a	0.00	0.0
NEIL M STRATTON	FID	WHRWN	B	2	0.60	n/a	n/a	0.00	0.0
NEIL M STRATTON	FID	WHRXM	S	1	1.60	n/a	n/a	0.00	0.0
NEIL M STRATTON	FID	WHRXN	S	1	3.50	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		WHR	C	20,000	70.40	n/a	n/a	non-brg	4.0
DAVID GEORGE BUCK	FID	WLPXG	S	16	0.06	n/a	n/a	0.00	0.0
DAVID GEORGE BUCK	FID	WLPXI	B	16	0.39	n/a	n/a	0.00	0.0
AVESTA CAP	229	WMT	SS	200,000	54.14	n/a	12-Nov	8,000.00	4.0
BUCK CAPITAL MGMT	001	WRC	S	20,000	42.15	n/a	5-Nov	800.00	4.0
BUCK CAPITAL MGMT		WRC	B	10,000	42.13	n/a	5-Nov	non-brg	4.0
BUCK CAPITAL MGMT		WSM	C	10,000	21.98	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
B BUCK CAPITAL MGMT		XRT	SS	174,000	35.15	n/a	n/a	non-brg 2.0
TOTAL (Trade Date):							106,524.22	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	11/19	ROTHSCHILD ASSET	040	APA	S	430	97.40	n/a	2-Nov	19.35	4.5
AO,CRT	11/19	ROTHSCHILD ASSET	040	APA	S	430	97.40	n/a	2-Nov	19.35	4.5
AO,CRT	11/19	TROOB CAPITAL	067	BZ	B	30,000	4.85	n/a	n/a	900.00	3.0
AO,CXL	11/19	TROOB CAPITAL	067	BZ	B	30,000	4.85	n/a	n/a	900.00	3.0
AO,	11/19	WELLS/STRONG LEDDY	035	CHRD	B	15,000	3.23	n/a	n/a	375.01	2.5
AO,CXL	11/19	STELLIAM INV ADV	034	CSCO	S	25,000	23.58	n/a	n/a	1250.00	5.0
AO,CRT	11/19	STELLIAM INV ADV	034	CSCO	S	25,000	23.58	n/a	n/a	1250.00	5.0
AO,CRT	11/19	CRAMER ROSENTHAL/SCOTT	012	SJM	S	200	53.19	n/a	n/a	8.00	4.0
AO,CXL	11/19	CRAMER ROSENTHAL/SCOTT	012	SJM	S	200	53.19	n/a	n/a	8.00	4.0
TOTAL (AO, CXL, CRT) :										375.01	

TOTAL (Trade Date) :	106,524.22
TOTAL (AO, CXL, CRT) :	375.01

TOTAL (RUN DATE) / NFS:	106,899.23
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MRI Securities with Trade Activity on 20-Nov. NONE

MRI Securities without Trade Activity on 20-Nov.

NONE

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

T-Date = 7%

YTD = 19%

<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)