



# Daily Compliance Activity Report

Trade Date: 01/21/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	AB	S	17,664	29.01	n/a	19-Jan	883.20	5.0
HIGHBRIDGE CAP	041	AEO	B	70,900	16.63	n/a	8-Jan	2,836.00	4.0
BRANDWINE	028	AES	B	10,700	13.48	n/a	n/a	428.00	4.0
BRAZOS	031	AGCO	S	19,000	33.14	n/a	4-Jan	570.00	3.0
<b>f KEVIN MICHAEL O'GORM</b>	<b>FID</b>	<b>AHS</b>	<b>S</b>	<b>1000</b>	<b>9.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BRANDWINE	028	ALL	B	13,200	30.92	n/a	n/a	528.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>S</b>	<b>10,000</b>	<b>30.67</b>	<b>n/a</b>	<b>8-Jan</b>	<b>400.00</b>	<b>4.0</b>
EXIS CAPITAL	044	ASH	S	25,000	40.18	n/a	13-Jan	1,250.00	5.0
APEX CAPITAL MGMT.	091	ATVI	SS	100,000	10.57	n/a	n/a	4,000.00	4.0
ROSEDALE CAPITAL	046	AXL	B	10,000	9.69	n/a	4-Jan	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>BAC</b>	<b>B</b>	<b>25,000</b>	<b>15.54</b>	<b>n/a</b>	<b>21-Jan</b>	<b>non-brg</b>	<b>4.0</b>
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>BBI</b>	<b>B</b>	<b>2000</b>	<b>0.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f ANDREW SINCLAIR</b>	<b>FID</b>	<b>BGZ</b>	<b>S</b>	<b>500</b>	<b>16.62</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
KAILIX INV ADV	048	BHP	B	30,000	74.68	n/a	n/a	1,500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	BRC	S	30,800	30.22	n/a	n/a	1,232.00	4.0
<b>f MAY Y TANG</b>	<b>FID</b>	<b>BRKB</b>	<b>B</b>	<b>23</b>	<b>72.61</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>BWA</b>	<b>S</b>	<b>30,000</b>	<b>37.20</b>	<b>n/a</b>	<b>4-Jan</b>	<b>non-brg</b>	<b>4.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>BWA</b>	<b>S</b>	<b>115</b>	<b>36.95</b>	<b>n/a</b>	<b>4-Jan</b>	<b>0.00</b>	<b>0.0</b>
NEUBERGER BERMAN	036	CAM	S	140,800	40.79	n/a	n/a	5,632.00	4.0
BRANDWINE	028	CA	B	12,800	23.45	n/a	n/a	512.00	4.0
SCOPIA CAPITAL	048	CMCSK	S	175,000	15.28	n/a	n/a	7,000.00	4.0
<b>ß BUCK CAPITAL MGMT</b>		<b>CNK</b>	<b>B</b>	<b>10,000</b>	<b>14.50</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>COG</b>	<b>B</b>	<b>25,000</b>	<b>43.16</b>	<b>n/a</b>	<b>21-Jan</b>	<b>non-brg</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>B</b>	<b>30,000</b>	<b>34.50</b>	<b>n/a</b>	<b>21-Jan</b>	<b>1,200.00</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>CRI</b>	<b>S</b>	<b>40,000</b>	<b>25.99</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CVS</b>	<b>S</b>	<b>20,000</b>	<b>33.25</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
JANA CAPITAL	044	C	S	1,500,000	3.26	n/a	21-Jan	26,250.00	1.8
<b>ß BUCK CAPITAL MGMT</b>		<b>DAL</b>	<b>S</b>	<b>40,000</b>	<b>13.50</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f ANTHONY SUTERA</b>	<b>FID</b>	<b>DAN</b>	<b>B</b>	<b>1000</b>	<b>11.26</b>	<b>n/a</b>	<b>6-Jan</b>	<b>0.00</b>	<b>0.0</b>
BAIRD INVESTMENT	047	EL	B	10,175	53.26	n/a	4-Jan	508.75	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FIRST NEW YORK LEDDY	035	ETFC	B	10,000	1.73	n/a	n/a	600.00	6.0
<b>f MAY Y TANG</b>	<b>FID</b>	<b>FAGIX</b>	<b>S</b>	<b>168</b>	<b>8.74</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MAY Y TANG</b>	<b>FID</b>	<b>FDEGX</b>	<b>S</b>	<b>58</b>	<b>16.34</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>FIG</b>	<b>S</b>	<b>2000</b>	<b>4.97</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WEISS PECK	040	FL	B	3,900	11.91	n/a	19-Jan	195.00	5.0
GRUSS CAPITAL	045	FOR	SS	13,000	20.03	n/a	4-Jan	390.00	3.0
ROTHSCHILD ASSET	040	FUL	B	10,494	22.32	n/a	n/a	419.76	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>FUQI</b>	<b>B</b>	<b>15,000</b>	<b>18.58</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
AVESTA CAP	229	F	B	100,000	11.41	n/a	6-Jan	3,000.00	3.0
SMITH MGMT LLC	029	F	B	200,000	11.44	n/a	6-Jan	8,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>GES</b>	<b>B</b>	<b>10,000</b>	<b>40.90</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BRANDWINE	028	GPS	B	11,000	19.27	n/a	n/a	440.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>GPS</b>	<b>S</b>	<b>7,000</b>	<b>19.18</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GRMN</b>	<b>SS</b>	<b>10,000</b>	<b>34.90</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GS</b>	<b>B</b>	<b>10,000</b>	<b>162.11</b>	<b>n/a</b>	<b>21-Jan</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GYMB</b>	<b>S</b>	<b>50,000</b>	<b>41.17</b>	<b>n/a</b>	<b>8-Jan</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⚡ BUCK CAPITAL MGMT		HBI	B	30,000	23.40	n/a	n/a	non-brg	4.0
NEUBERGER BERMAN	036	HEI	B	19,100	44.26	n/a	n/a	764.00	4.0
NEUBERGER BERMAN	036	HUBG	S	16,500	28.03	n/a	n/a	660.00	4.0
TRELLUS PARTNERS LP	028	ITW	B	20,000	46.02	n/a	4-Jan	1,000.00	5.0
DENVER INST. ADV	046	IVZ	S	100,000	21.64	n/a	19-Jan	4,000.00	4.0
⚡ BUCK CAPITAL MGMT		JACK	B	10,000	20.78	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	JCG	B	10,000	40.25	n/a	n/a	400.00	4.0
f DAVID GEORGE BUCK	FID	JCP	S	2000	25.41	n/a	8-Jan	0.00	0.0
⚡ BUCK CAPITAL MGMT		JNY	B	30,000	16.47	n/a	4-Jan	non-brg	4.0
⚡ BUCK CAPITAL MGMT		JOSB	S	10,000	42.72	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		JPM	B	50,000	41.36	n/a	21-Jan	non-brg	0.8
GRANITE CAPITAL	045	JPM	S	23,000	42.79	n/a	21-Jan	1,150.00	5.0
M&I FUNDS	047	JPM	B	12,500	42.08	n/a	21-Jan	500.00	4.0
NEUBERGER BERMAN	036	JPM	B	39,900	41.13	n/a	21-Jan	1,596.00	4.0
PILOT ROCK	028	JWN	SS	25,000	35.30	n/a	8-Jan	1,000.00	4.0
f JOHN CAREY MAGUIRE	FID	KEG	B	800	11.05	n/a	19-Jan	0.00	0.0
f MARC PAUL LUCHANSKY	FID	KEY	B	1000	7.51	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	KSS	B	10,000	51.34	n/a	8-Jan	400.00	4.0
ENTRUST CAPITAL	040	LMT	B	39,800	77.72	n/a	11-Jan	1,990.00	5.0
GRUSS CAPITAL	045	LULU	SS	1,250	31.61	n/a	n/a	37.50	3.0
RBC CAPITAL MARKETS	040	LVS	B	20,000	17.43	n/a	4-Jan	800.00	4.0
BRANDWINE	028	L	B	11,800	37.12	n/a	n/a	472.00	4.0
f DAVID GEORGE BUCK	FID	MCD	B	1000	62.93	n/a	19-Jan	0.00	0.0
BRANDWINE	028	MDT	B	13,000	44.63	n/a	n/a	520.00	4.0
f DAVID GEORGE BUCK	FID	MHS	B	500	62.74	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		MS	B	50,000	29.54	n/a	21-Jan	non-brg	4.0
BASIX	033	MTW	B	18,000	12.35	n/a	12-Jan	540.00	3.0
BRANDWINE	028	M	B	13,400	16.06	n/a	8-Jan	536.00	4.0
EXIS CAPITAL	044	M	B	10,000	16.20	n/a	8-Jan	500.00	5.0
SANDLER O'NEILL ASSET	031	NTRS	B	75,000	54.13	n/a	20-Jan	3,750.00	5.0
f DAVID GEORGE BUCK	FID	NYB	B	1000	14.94	n/a	14-Jan	0.00	0.0
BALYASNY ASSET MGMT	044	PAG	S	20,000	16.37	n/a	4-Jan	1,000.00	5.0
FRIESS MGMT	033	PAG	B	237,300	16.39	n/a	4-Jan	9,492.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>PFE</b>	<b>B</b>	<b>1000</b>	<b>19.22</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CSFB GLOBAL PROPRIETARY	041	PKG	SS	30,000	22.36	n/a	7-Jan	1,500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>PNRA</b>	<b>S</b>	<b>10,000</b>	<b>73.71</b>	<b>21-Jan</b>	<b>21-Jan</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PNRA</b>	<b>S</b>	<b>20,000</b>	<b>72.92</b>	<b>21-Jan</b>	<b>21-Jan</b>	<b>non-brg</b>	<b>0.8</b>
MISSOURI VALLEY PART	046	PRU	B	8,435	51.89	n/a	n/a	421.75	5.0
CRAMER ROSENTHAL/SCOTT	012	RDK	C	7,000	27.08	n/a	n/a	280.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>RRC</b>	<b>SS</b>	<b>10,000</b>	<b>51.07</b>	<b>n/a</b>	<b>19-Jan</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>RTH</b>	<b>SS</b>	<b>9,600</b>	<b>92.56</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>SCSC</b>	<b>B</b>	<b>2367</b>	<b>28.13</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKX</b>	<b>S</b>	<b>40,000</b>	<b>29.82</b>	<b>n/a</b>	<b>n/a</b>	<b>1,600.00</b>	<b>4.0</b>
<b>f KEVIN MICHAEL O'GORM</b>	<b>FID</b>	<b>SKX</b>	<b>B</b>	<b>1000</b>	<b>29.61</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SLE</b>	<b>SS</b>	<b>30,000</b>	<b>11.88</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
NEUBERGER BERMAN	036	SLH	B	63,950	36.06	n/a	n/a	2,558.00	4.0
MISSOURI VALLEY PART	046	STT	B	9,710	46.23	n/a	20-Jan	485.50	5.0
RAINIER INV MGMT	035	TIF	B	206,720	42.50	n/a	n/a	8,268.80	4.0
SCOPUS FUND	041	TIN	B	10,000	18.89	n/a	7-Jan	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	TJX	S	80,000	37.08	n/a	8-Jan	3,200.00	4.0
EXIS CAPITAL	044	TJX	SS	20,000	37.45	n/a	8-Jan	1,000.00	5.0
f NEIL M STRATTON	FID	TNSGF	B	2500	0.82	n/a	n/a	0.00	0.0
f STRATTON PAR TNERSHI	FID	TNSGF	B	1000	0.82	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	TROW	B	20,000	52.02	n/a	19-Jan	1,000.00	5.0
Ⓕ BUCK CAPITAL MGMT		UAUA	S	40,000	13.83	n/a	n/a	non-brg	0.8
BUCK CAPITAL MGMT	001	UA	SS	10,000	27.40	n/a	14-Jan	400.00	4.0
Ⓕ BUCK CAPITAL MGMT		URBN	B	20,000	31.73	n/a	n/a	non-brg	4.0
HARBORWATCH/DIAMBACK	232	UTX	S	25,000	70.29	n/a	n/a	1,250.00	5.0
f DAVID GEORGE BUCK	FID	VNO	B	1000	67.07	n/a	n/a	0.00	0.0
f BERNA GABRIELLE BARS	FID	VRMLQ	B	200	24.65	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	WFC	S	3000	27.35	n/a	21-Jan	0.00	0.0
TROUBH PART	067	WFC	S	25,000	27.81	n/a	21-Jan	1,250.00	5.0
Ⓕ BUCK CAPITAL MGMT		WFT	B	25,000	18.74	n/a	n/a	non-brg	4.0
BRANDWINE	028	WIN	B	10,700	10.64	n/a	n/a	428.00	4.0
Ⓕ BUCK CAPITAL MGMT		WSO	B	10,000	51.16	n/a	n/a	non-brg	4.0
CRAMER ROSENTHAL/SCOTT	012	WSO	C	6,000	51.42	n/a	n/a	240.00	4.0

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**TOTAL (Trade Date):**

**124,564.26**

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**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	01/20	STELLIAM INV ADV	034	DAL	S	20,000	13.13	n/a	n/a	1000.00 5.0
AO,CRT	01/20	STELLIAM INV ADV	034	DAL	S	20,000	13.13	n/a	n/a	1000.00 5.0
AO,CXL	01/19	ADAGE CAPITAL MGMT	030	JCP	B	80,400	26.20	n/a	8-Jan	3216.00 4.0
AO,CRT	01/19	ADAGE CAPITAL MGMT	030	JCP	B	80,400	26.20	n/a	8-Jan	3216.00 4.0
AO,CRT	01/19	CR INTRINIC INVESTMENT	044	JCP	SS	250,000	26.18	n/a	8-Jan	8750.00 3.5
AO,CXL	01/19	CR INTRINIC INVESTMENT	044	JCP	SS	250,000	26.18	n/a	8-Jan	10000.00 4.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-1,250.00</b>
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TOTAL (Trade Date) :	124,564.26
TOTAL (AO, CXL, CRT) :	-1,250.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>123,314.26</b>
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MRI Securities with Trade Activity on 21-Jan. <b>PNRA</b>
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MRI Securities without Trade Activity on 21-Jan. <b>NP, JCI, APC</b>
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BRG comm. as a % of BCM Total Comm. paid.
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**T-Date = 29%**

**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)**