



# Daily Compliance Activity Report

Trade Date: 05/22/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		ABG	S	1,100	9.82	n/a	30-Apr	non-brg	1.0
B BUCK CAPITAL MGMT		ABG	S	39,400	9.47	n/a	30-Apr	non-brg	3.0
THOMSON HORSTMAN BRYANT	040	AEO	S	50,000	13.61	20-Apr	8-May	2,500.00	5.0
LISTED ERR	099	AEO	B	200	13.63	20-Apr	8-May	0.00	0.0
B BUCK CAPITAL MGMT		APP	S	200,000	3.69	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		ARO	B	20,000	34.00	n/a	22-May	non-brg	4.0
BUCK CAPITAL MGMT	001	AVP	B	100,000	25.76	25-Feb	6-May	4,000.00	4.0
B BUCK CAPITAL MGMT		BAC	B	50,000	10.88	11-May	19-May	non-brg	4.0
SENATOR INVESTMENT GROUP	036	BAC	B	15,000	10.89	11-May	19-May	600.00	4.0
f JASON ERIC COHEN	FID	BBI	B	700	0.67	n/a	n/a	0.00	0.0
f MARK MEGALLI	FID	BBI	B	10000	0.68	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BIG	S	50,000	24.14	4-Mar	7-May	non-brg	4.0
PILOT ADV	038	BKC	B	60,000	16.88	16-Apr	29-Apr	2,400.00	4.0
f JONATHAN RICHARD HAR	FID	BONT	S	370	3.97	6-Feb	6-Feb	0.00	0.0
BUCK CAPITAL MGMT	001	CAB	SS	10,000	12.14	n/a	n/a	400.00	4.0
f DAVID GEORGE BUCK	FID	CAH	B	500	34.49	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PAULSON & CO INC	041	CAT	SS	500,000	35.18	n/a	22-Apr	15,000.00	3.0
LISTED ERR	099	CAT	SS	1,213	34.71	n/a	22-Apr	0.00	0.0
f JONATHAN RICHARD HAR	FID	CHCG	B	450	1.10	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	CHK	B	500	20.50	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		COF	B	10,000	22.20	15-May	20-May	non-brg	4.0
f KAREN F LEDDY	FID	CRK	B	300	35.77	n/a	n/a	0.00	0.0
f MARK MEGALLI	FID	DDRX	B	1000	14.74	n/a	n/a	0.00	0.0
SANDLER O'NEILL ASSET	031	DFS	S	50,000	8.51	n/a	20-May	1,500.00	3.0
f JONATHAN RICHARD HAR	FID	DPTR	B	1500	1.73	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	DVN	B	30,728	60.20	6-May	6-May	1,382.77	4.5
KARSCH CAPITAL	034	EAT	B	25,000	16.71	n/a	24-Apr	750.00	3.0
BUCK CAPITAL MGMT	001	EDU	SS	20,000	54.50	n/a	n/a	800.00	4.0
BALYASNY ASSET MGMT	044	ETN	SS	5,000	44.33	21-Apr	19-May	250.00	5.0
f STRATTON PAR TNERSHI	FID	EUBKC	S	10	0.50	n/a	n/a	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	FINL	B	2000	6.72	n/a	28-Mar	0.00	0.0
COUGAR TRADING	044	FL	SS	5,000	9.73	27-Apr	22-May	150.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		FOSL	B	20,000	21.58	n/a	30-Jan	non-brg	4.0
BUCK CAPITAL MGMT		GES	B	150,000	22.47	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		GES	B	50,000	23.11	n/a	n/a	non-brg	1.5
BUCK CAPITAL MGMT		GES	B	50,000	23.16	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		GE	SS	100,000	13.15	n/a	n/a	non-brg	1.0
M&I FUNDS	256	GME	B	20,000	22.83	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT		GRMN	SS	30,000	19.78	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		GYMB	S	10,000	36.32	21-May	21-May	non-brg	1.0
BUCK CAPITAL MGMT		HD	SS	50,000	23.00	12-May	20-May	non-brg	1.0
BUCK CAPITAL MGMT		HOTT	C	20,000	7.08	n/a	30-Jan	non-brg	3.0
DIAMONDBACK CAP MGMT	232	HOTT	C	30,200	7.10	n/a	30-Jan	1,510.00	5.0
EPOCH INV MGMT	030	IFF	S	45,000	30.65	21-Jan	30-Apr	1,800.00	4.0
BUCK CAPITAL MGMT		IMAX	S	21,400	7.74	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		IMAX	S	25,000	7.72	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		IMAX	S	3,600	7.74	n/a	n/a	non-brg	2.0
LAGRANGE CAP ADV	048	JAKK	B	5,600	12.32	n/a	n/a	280.00	5.0
BUCK CAPITAL MGMT		JBLU	B	100,000	4.55	n/a	n/a	non-brg	2.0
MERRILL ASSET	032	JCP	B	5,000	24.84	13-Apr	18-May	225.00	4.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		JNY	S	70,000	8.43	n/a	30-Apr	non-brg	3.0
f DAVID GEORGE BUCK	FID	JPMLJ	B	10	1.26	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	JPM	S	1000	35.04	16-Jan	20-May	0.00	0.0
SYSTEMATIC FINANCIAL MGT	035	KSS	B	227,500	41.24	8-May	15-May	7,962.51	3.5
ß BUCK CAPITAL MGMT		MHK	C	50,000	37.63	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		MVRX	C	60,000	121.49	n/a	n/a	non-brg	12.1
AELTUS/ING INVESTMENT MGT	215	NOK	B	20,000	14.85	n/a	n/a	700.00	3.5
ß BUCK CAPITAL MGMT		NWY	S	237,408	3.27	n/a	30-Jan	non-brg	3.0
ß BUCK CAPITAL MGMT		NWY	S	38,600	3.24	n/a	30-Jan	non-brg	2.0
BALYASNY ASSET MGMT	044	OI	S	5,000	26.21	n/a	n/a	250.00	5.0
ß BUCK CAPITAL MGMT		PAG	S	10,000	11.42	n/a	6-May	non-brg	1.0
ß BUCK CAPITAL MGMT		PAG	S	100,000	11.27	n/a	6-May	non-brg	4.0
f MARC PAUL LUCHANSKY	FID	PFUUX	S	225	8.84	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		PLCE	B	20,000	33.71	19-Mar	21-May	non-brg	4.0
ß BUCK CAPITAL MGMT		PSUN	S	134,800	3.87	6-Feb	6-Feb	non-brg	2.0
ß BUCK CAPITAL MGMT		PSUN	S	34,660	3.81	6-Feb	6-Feb	non-brg	1.0
f JONATHAN RICHARD HAR	FID	PSUN	S	850	4.12	6-Feb	6-Feb	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KENNEDY CAPITAL	046	PSUN	B	55,512	3.79	6-Feb	6-Feb	1,110.24	2.0
BUCK CAPITAL MGMT	001	RL	B	100,000	49.42	n/a	16-Apr	4,000.00	4.0
ß BUCK CAPITAL MGMT		RL	C	85,392	50.26	n/a	16-Apr	non-brg	1.0
ß BUCK CAPITAL MGMT		SPLS	C	100,000	19.29	n/a	27-Jul	non-brg	4.0
M&I FUNDS	256	SPLS	S	24,497	19.45	n/a	27-Jul	979.88	4.0
SYSTEMATIC FINANCIAL MGT	035	TAP	B	80,000	43.69	n/a	n/a	2,800.00	3.5
AVESTA CAP	229	TGT	S	50,000	41.13	25-Feb	20-May	2,000.00	4.0
BUCK CAPITAL MGMT	001	TIF	B	112,474	26.62	n/a	30-Jan	4,498.96	4.0
BALYASNY ASSET MGMT	044	TROW	C	20,000	38.49	n/a	19-May	1,000.00	5.0
f KAREN F LEDDY	FID	TROW	S	300	38.54	n/a	19-May	0.00	0.0
ß BUCK CAPITAL MGMT		URBN	B	10,000	19.75	n/a	30-Jan	non-brg	4.0
MERRILL ASSET	032	WMT	B	821,300	49.56	11-May	14-May	36,958.50	4.5
BUCK CAPITAL MGMT	001	WRC	B	40,000	27.66	13-May	13-May	1,600.00	4.0
EGS ASSOCIATES LP	091	WRC	B	8,000	27.94	13-May	13-May	480.00	6.0
ß BUCK CAPITAL MGMT		WSM	SS	100,000	11.61	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		WSM	SS	50,000	11.59	n/a	n/a	non-brg	1.5
ß BUCK CAPITAL MGMT		XRT	C	150,000	26.28	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		XRT	C	150,000	26.41	n/a	n/a	non-brg	1.0
METROPOLITAN CAPITAL	044	XRT	SS	10,100	26.42	n/a	n/a	404.00	4.0

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**TOTAL (Trade Date):**

**99,091.86**

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	05/21	LISTED ERR	099	DKS	S	11,800	17.82	27-Apr	20-May	0.00 0.0
AO,CRT	05/21	REINHART & MAHONEY	031	DRI	S	430	33.36	19-Mar	19-Mar	21.50 5.0
AO,CXL	05/21	REINHART & MAHONEY	031	DRI	S	430	33.36	19-Mar	19-Mar	21.50 5.0
AO,	05/20	EPOCH INV MGMT	030	IFF	S	85	31.05	21-Jan	30-Apr	3.40 4.0
AO,CXL	05/20	EPOCH INV MGMT	030	IFF	S	85	31.05	21-Jan	30-Apr	3.40 4.0
AO,CXL	05/21	EPOCH INV MGMT	030	IFF	S	75	30.50	21-Jan	30-Apr	3.00 4.0
AO,	05/21	EPOCH INV MGMT	030	IFF	S	75	30.50	21-Jan	30-Apr	3.00 4.0
AO,CRT	05/21	CROSS CAPITAL	028	IVZ	B	77,200	14.59	11-May	22-May	3088.00 4.0
AO,CXL	05/21	CROSS CAPITAL	028	IVZ	B	83,100	14.59	11-May	22-May	4155.00 5.0
AO,CRT	05/21	CROSS CAPITAL	028	IVZ	B	5,900	14.59	11-May	22-May	236.00 4.0
AO,CRT	05/21	BAIRD INVESTMENT	256	SWN	S	9,013	39.80	27-Feb	28-Apr	450.65 5.0
AO,CXL	05/21	BAIRD INVESTMENT	256	SWN	S	11,500	39.80	27-Feb	28-Apr	575.00 5.0
TOTAL (AO, CXL, CRT) :									-955.35	
TOTAL (Trade Date) :									99,091.86	
TOTAL (AO, CXL, CRT) :									-955.35	
TOTAL (RUN DATE) / NFS:									98,136.51	

MRI Securities with Trade Activity on 22-May.

NONE

MRI Securities without Trade Activity on 22-May.

NONE

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

T-Date = 18%

YTD = 22%



**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)**