



Daily Compliance Activity Report

Trade Date: 12/04/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	216	AAI	B	25,000	5.06	n/a	n/a	770.00	3.7
PARTNER REINSURANCE	033	AAP	B	15,600	40.98	n/a	n/a	624.00	4.0
STRAUSS ASSET MGMT	040	ADY	B	5,000	24.28	n/a	n/a	200.00	4.0
BUCK CAPITAL MGMT	001	AEO	B	10,000	16.15	n/a	4-Dec	400.00	4.0
f MARC PAUL LUCHANSKY	FID	AMR	B	1000	7.14	n/a	n/a	0.00	0.0
GLENHILL CAPITAL	212	AMTD	B	140,000	19.04	n/a	n/a	5,600.00	4.0
BUCK CAPITAL MGMT	001	ANF	S	20,000	36.23	n/a	4-Dec	800.00	4.0
f DAVID GEORGE BUCK	FID	ANF	S	1500	35.96	n/a	4-Dec	0.00	0.0
B BUCK CAPITAL MGMT		ANN	SS	50,000	15.15	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	AN	B	50,000	18.23	n/a	30-Oct	2,000.00	4.0
HOLLIS CAPITAL	033	APC	B	7,000	61.42	n/a	1-Dec	350.00	5.0
BUCK CAPITAL MGMT	001	ARO	B	10,000	28.90	n/a	4-Dec	400.00	4.0
DIAMONDBACK CAP MGMT	232	ARO	C	50,000	28.82	n/a	4-Dec	2,500.00	5.0
MILLENIUM PARTNERS	028	ARO	S	7,500	28.81	n/a	4-Dec	300.00	4.0
WEINTRAUB CAPITAL MGT.	040	AXE	S	2,800	44.72	n/a	23-Nov	112.00	4.0
B BUCK CAPITAL MGMT		AXL	S	103,430	7.15	n/a	2-Nov	non-brg	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EXIS CAPITAL	044	BAC	B	25,000	15.93	n/a	4-Dec	1,250.00	5.0
LEVEL GLOBAL SHARED ACCT	257	BBBY	C	50,000	39.81	n/a	n/a	1,500.00	3.0
BALYASNY ASSET MGMT	044	BEN	C	25,000	109.89	n/a	4-Dec	1,250.00	5.0
BUCK CAPITAL MGMT	001	BIG	S	177,141	27.39	4-Dec	4-Dec	7,085.64	4.0
RBC CAPITAL MARKETS	040	BWA	B	10,000	31.55	n/a	9-Nov	400.00	4.0
ß BUCK CAPITAL MGMT		CAKE	B	10,000	19.42	n/a	23-Oct	non-brg	2.5
ß BUCK CAPITAL MGMT		CAKE	B	40,000	19.70	n/a	23-Oct	non-brg	4.0
FORD FDN.	032	CAT	B	31,600	58.27	n/a	21-Oct	1,264.00	4.0
f JASON ERIC COHEN	FID	CCI	S	28	36.63	n/a	n/a	0.00	0.0
f CICYLY S BACKUS	FID	CHCG	S	10000	0.44	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CHS	S	50,000	13.97	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		CHS	S	80,000	14.03	n/a	n/a	non-brg	4.0
AVESTA CAP	229	CMCSA	SS	200,000	15.83	n/a	n/a	8,000.00	4.0
STADIA CAPITAL	035	CMI	S	18,600	43.53	n/a	18-Nov	744.00	4.0
JP MORGAN VENTURES	046	CNA	B	25,000	22.55	n/a	n/a	1,250.00	5.0
JMP ASSET MGMT	210	CREE	B	1,000	52.43	n/a	n/a	50.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MANNY I KORMAN	FID	CVGI	B	8496	5.90	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		DBRN	S	10,000	21.35	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DBRN	S	100,000	21.27	n/a	n/a	non-brg	4.0
MILLENIUM PARTNERS	028	DBRN	B	15,000	21.13	n/a	n/a	600.00	4.0
B BUCK CAPITAL MGMT		DHI	B	45,000	10.21	n/a	n/a	non-brg	4.0
ASCEND PARTNERS	033	DLTR	B	50,000	46.85	n/a	1-Dec	2,500.00	5.0
B BUCK CAPITAL MGMT		DLTR	B	40,000	47.62	n/a	1-Dec	non-brg	4.0
LEVEL GLOBAL SHARED ACCT	257	DRI	SS	50,000	32.09	n/a	25-Nov	1,500.00	3.0
THOMAS WEISEL ASSET MGMT	035	ETH	B	10,600	12.73	n/a	n/a	318.00	3.0
f JOSEPH CIRO AMATURO	FID	FAS	B	1000	75.61	n/a	n/a	0.00	0.0
ROYCE TRADING	216	FCS	S	10,300	9.78	n/a	n/a	515.00	5.0
THE JAY GOLDMAN	028	FDO	B	10,000	27.91	n/a	3-Dec	400.00	4.0
B BUCK CAPITAL MGMT		FL	S	10,000	10.10	n/a	23-Nov	non-brg	4.0
BMO NESBITT BURNS	041	FOR	B	10,000	18.89	n/a	5-Nov	400.00	4.0
f DOUGLAS ROGERS	FID	FSLXX	B	4964	1.00	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FUQI	B	20,000	19.92	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT	001	GCO	B	10,000	24.79	n/a	n/a	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	GES	S	10,000	43.49	n/a	n/a	400.00	4.0
AVESTA CAP	229	GE	B	300,000	16.41	n/a	n/a	12,000.00	4.0
⌘ BUCK CAPITAL MGMT		GIII	S	25,000	20.92	n/a	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		GIII	S	75,000	21.01	n/a	n/a	non-brg	2.0
ASCEND PARTNERS	033	GIL	S	50,000	20.28	n/a	n/a	2,500.00	5.0
⌘ BUCK CAPITAL MGMT		GIL	S	70,000	20.34	n/a	n/a	non-brg	4.0
SEMINOLE CAP	036	GLD	S	550,000	114.47	n/a	n/a	27,500.00	5.0
BUCK CAPITAL MGMT	001	GME	S	60,000	21.34	n/a	n/a	2,400.00	4.0
⌘ BUCK CAPITAL MGMT		GME	S	4,100	21.51	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GPS	S	50,000	21.67	n/a	n/a	non-brg	4.0
CASTLE ARK	031	GS	B	40,770	165.66	n/a	18-Nov	2,446.20	6.0
⌘ BUCK CAPITAL MGMT		GYMB	S	10,000	41.23	n/a	4-Dec	non-brg	4.0
THOMAS WEISEL ASSET MGMT	035	HAE	B	8,844	54.15	n/a	n/a	265.32	3.0
BUCK CAPITAL MGMT	001	HBI	S	50,000	23.98	n/a	n/a	2,000.00	4.0
⌘ BUCK CAPITAL MGMT		HGG	S	20,000	20.83	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	HOT	SS	20,000	33.70	n/a	n/a	800.00	4.0
⌘ BUCK CAPITAL MGMT		HTZ	B	125,000	10.92	n/a	n/a	non-brg	0.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		ICON	S	40,000	11.69	n/a	n/a	non-brg	4.0
BMO NESBITT BURNS	041	IP	SS	50,000	26.28	n/a	28-Oct	2,500.00	5.0
BALYASNY ASSET MGMT	044	JNS	B	50,000	13.09	n/a	4-Dec	2,500.00	5.0
B BUCK CAPITAL MGMT		JOSB	S	50,000	42.39	n/a	n/a	non-brg	4.0
f NEIL M STRATTON	FID	JPMRD	S	2	1.10	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	JWN	S	20,000	35.08	n/a	4-Dec	800.00	4.0
RBC CAPITAL MARKETS	040	JWN	B	5,000	35.90	n/a	4-Dec	200.00	4.0
THE BOSTON COMPANY	039	KCP	S	13,800	9.03	n/a	n/a	552.00	4.0
HUNTER GLOBAL INVESTOR	067	KMT	SS	56,967	24.74	n/a	18-Nov	2,848.35	5.0
TROUBH PART	067	LEA	B	25,000	63.13	n/a	n/a	1,250.00	5.0
B BUCK CAPITAL MGMT		LEN	B	30,000	12.50	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		LL	S	10,000	27.02	n/a	n/a	non-brg	2.5
METROPOLITAN CAPITAL	044	LMT	S	4,100	79.50	n/a	23-Nov	205.00	5.0
BMO NESBITT BURNS	041	LPX	SS	10,000	6.48	n/a	4-Nov	400.00	4.0
BUCK CAPITAL MGMT	001	LTD	B	50,000	18.44	n/a	n/a	2,000.00	4.0
SCHOTTENFELD ASSOC	041	LVS	B	50,000	15.88	n/a	11-Nov	1,500.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCHOTTENFELD ASSOC	041	LVS	SS	50,000	16.36	n/a	11-Nov	1,500.00	3.0
⚡ BUCK CAPITAL MGMT		MDC	B	20,000	29.36	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		MFB	S	20,000	14.83	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	MON	B	500	83.17	n/a	24-Nov	0.00	0.0
PAW PARTNERS	045	MSFT	S	10,000	30.09	n/a	n/a	500.00	5.0
f MANNY I KORMAN	FID	MS	B	5000	30.80	n/a	18-Nov	0.00	0.0
⚡ BUCK CAPITAL MGMT		MVRX	SS	25,000	168.04	n/a	n/a	non-brg	16.8
T. ROWE PRICE	033	MWV	S	97,600	27.89	n/a	16-Nov	3,904.00	4.0
BUCK CAPITAL MGMT	001	MW	SS	20,000	21.57	n/a	n/a	800.00	4.0
FARALLON CAP MGMT	040	MXB	B	100,400	31.98	n/a	n/a	4,016.00	4.0
BUCK CAPITAL MGMT	001	M	B	270,000	16.37	n/a	4-Dec	10,800.00	4.0
THOMAS WEISEL ASSET MGMT	035	NAV	B	5,417	32.85	n/a	n/a	162.51	3.0
DIAMONDBACK CAP MGMT	232	NKE	C	10,000	64.43	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	NTY	S	20,000	42.75	n/a	n/a	800.00	4.0
PATTEN & PATTEN	067	NUE	B	1,200	43.16	n/a	n/a	60.00	5.0
⚡ BUCK CAPITAL MGMT		NWY	S	40,000	4.37	n/a	n/a	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MANNY I KORMAN	FID	NYB	B	10000	11.91	n/a	24-Nov	0.00	0.0
BUCK CAPITAL MGMT	001	PAG	B	50,000	15.71	n/a	2-Nov	2,000.00	4.0
B BUCK CAPITAL MGMT		PIR	S	40,000	4.85	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		PLCE	S	60,000	27.15	n/a	4-Dec	non-brg	4.0
METROPOLITAN CAPITAL	044	PLCE	B	13,600	27.18	n/a	4-Dec	680.00	5.0
B BUCK CAPITAL MGMT		PNRA	S	20,000	64.00	n/a	18-Nov	non-brg	4.0
B BUCK CAPITAL MGMT		PRTY LN	B	100,000	4.28	n/a	n/a	non-brg	0.6
BUCK CAPITAL MGMT	001	PSS	S	10,000	22.25	n/a	n/a	400.00	4.0
MILLENIUM PARTNERS	028	PSS	S	5,000	22.31	n/a	n/a	200.00	4.0
THOMAS WEISEL ASSET MGMT	035	PWER	B	35,604	3.87	n/a	n/a	1,068.12	3.0
PATTEN & PATTEN	067	PWR	S	2,000	18.25	n/a	n/a	100.00	5.0
AMBER CAPITAL	046	RF	SS	125,000	5.65	n/a	n/a	5,000.00	4.0
PRINCIPLE CAPITAL	040	RHI	B	100,000	25.46	n/a	n/a	3,000.00	3.0
ARMATURE CAPITAL	041	RTI	B	10,000	20.69	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		RYL	B	20,000	18.46	n/a	n/a	non-brg	4.0
BROOKSIDE CAPITAL PART	067	SBUX	S	200,000	21.74	n/a	6-Nov	8,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STRAUSS ASSET MGMT	040	SFSF	B	10,000	15.85	n/a	n/a	400.00	4.0
APEX CAPITAL MGMT.	091	SIRO	C	50,000	32.48	n/a	n/a	2,000.00	4.0
LAGRANGE CAP ADV	048	SKS	B	10,000	5.85	n/a	n/a	500.00	5.0
f DAVID GEORGE BUCK	FID	SPG	B	1000	75.10	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	SPWRA	S	500	22.24	n/a	n/a	25.00	5.0
EGS ASSOCIATES LP	091	SSI	SS	4,475	11.94	n/a	4-Dec	268.50	6.0
f EDWARD W WHEELER	FID	STE	B	5000	25.83	n/a	n/a	0.00	0.0
SAB CAPITAL	034	STI	B	260,000	22.77	n/a	n/a	13,000.00	5.0
BUCK CAPITAL MGMT	001	TGT	B	30,000	46.51	n/a	3-Dec	1,200.00	4.0
CAMBIAR CAP	046	TGT	B	149,190	45.73	n/a	3-Dec	5,967.60	4.0
FIRST NY SEC/CHRIS	041	TGT	B	1,200	45.51	n/a	3-Dec	60.00	5.0
BUCK CAPITAL MGMT	001	TJX	B	30,000	36.87	n/a	4-Dec	1,200.00	4.0
JP MORGAN VENTURES	046	TLB	B	40,000	7.07	n/a	n/a	2,000.00	5.0
f JOHN BARTMAN COLE	FID	TMBCF	S	10000	0.89	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		TOL	B	30,000	18.29	n/a	n/a	non-brg	4.0
STADIA CAPITAL	035	TUP	S	11,700	49.61	n/a	n/a	468.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		UAUA	S	100,000	9.92	n/a	n/a	non-brg	3.0
THOMAS WEISEL ASSET MGMT	035	UTIW	B	15,436	14.85	n/a	n/a	463.08	3.0
f NEIL M STRATTON	FID	VBAMB	S	4	0.80	n/a	n/a	0.00	0.0
f STRATTON PAR TNERSHI	FID	VBAMB	S	2	0.80	n/a	n/a	0.00	0.0
JMP ASSET MGMT	210	VECO	S	3,400	29.97	n/a	n/a	170.00	5.0
ROARING BLUE LION MGMT	012	WBC	B	13,000	24.64	n/a	30-Nov	520.00	4.0
B BUCK CAPITAL MGMT		WMS	B	50,000	39.74	n/a	n/a	non-brg	0.4
ROTHSCHILD ASSET	040	WPP	S	21,500	10.40	n/a	n/a	967.52	4.5
BUCK CAPITAL MGMT	001	WRC	S	10,000	43.65	n/a	5-Nov	400.00	4.0
f MARC PAUL LUCHANSKY	FID	WY	B	500	43.04	n/a	2-Nov	0.00	0.0
BNP PARIBAS SEC	040	YUM	SS	10,000	34.25	n/a	7-Oct	400.00	4.0
RAMIUS CAP	040	YUM	SS	70,000	34.02	n/a	7-Oct	2,800.00	4.0
TOTAL (Trade Date) :							185,249.84		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	12/02	SCOPIA CAPITAL	048	ADP	B	100,000	43.95	n/a	n/a	4000.00 4.0
AO,CXL	12/02	SCOPIA CAPITAL	048	ADP	B	100,000	43.95	n/a	n/a	5000.00 5.0
AO,CXL	12/03	HARVEST MGMT	039	AMD	B	5,000	7.53	n/a	n/a	250.00 5.0
AO,CRT	12/03	JMP ASSET MGMT	210	AMD	B	5,000	7.53	n/a	n/a	250.00 5.0
AO,CXL	12/03	HARVEST MGMT	039	ANF	B	2,000	38.09	n/a	4-Dec	100.00 5.0
AO,CRT	12/03	JMP ASSET MGMT	210	ANF	B	2,000	38.09	n/a	4-Dec	100.00 5.0
AO,	12/03	SENATOR INVESTMENT GROUP	036	BAC	B	50,000	15.79	n/a	4-Dec	1500.00 3.0
AO,	12/03	BARROW HANLEY MEWHINNEY	031	GE	B	116,600	16.25	n/a	n/a	4081.00 3.5
AO,	12/02	COLUMBUS CIRCLE	036	LVS	B	8,000	16.31	n/a	11-Nov	320.00 4.0
AO,	12/03	LISTED ERR	099	MHK	B	18	42.83	n/a	n/a	0.00 0.0
AO,	12/03	LISTED ERR	097	MHK	S	18	42.83	n/a	n/a	0.00 0.0
AO,	12/03	BARON ASSET MGMT*	012	MHK	S	13,300	42.54	n/a	n/a	665.00 5.0
AO,CXL	12/02	BUCK CAPITAL MGMT	001	NWY	S	20,000	4.40	n/a	n/a	400.00 2.0
AO,CRT	12/02	BUCK CAPITAL MGMT	001	NWY	S	20,000	4.40	n/a	n/a	400.00 2.0
TOTAL (AO, CXL, CRT) :										5,566.00

TOTAL (Trade Date) :

185,249.84

TOTAL (AO, CXL, CRT):

5,566.00

TOTAL (RUN DATE) / NFS:

190,815.84

MRI Securities with Trade Activity on 4-Dec.

BIG

MRI Securities without Trade Activity on 4-Dec.

AGCO

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

T-Date = 53%

YTD = 20%

<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)