



Daily Compliance Activity Report

Trade Date: 03/16/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MATRIX ASSET ADV.	036	AA	S	15,000	6.10	n/a	n/a	450.00	3.0
BNP PARIBAS SEC	040	ABB	S	50,000	13.43	n/a	n/a	2,000.00	4.0
B BUCK CAPITAL MGMT		ACC	C	7,456	18.50	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ADM	C	100,000	28.56	5-Jan	5-May	non-brg	4.0
f MANNY I KORMAN	FID	ADM	B	3000	28.64	5-Jan	5-May	0.00	0.0
PATTEN & PATTEN	067	ADM	S	1,400	28.32	5-Jan	5-May	70.00	5.0
BUCK CAPITAL MGMT	001	AEO	B	100,000	10.66	n/a	4-May	4,000.00	4.0
PZENA INV ADV	044	ALL	S	2,375	17.27	n/a	n/a	83.14	3.5
KINGDON ASSET MGMT	041	AMD	B	200,000	2.62	n/a	n/a	6,000.00	3.0
JP MORGAN VENTURES	046	ANF	SS	5,600	22.01	n/a	4-May	280.00	5.0
COUGAR TRADING	044	AN	B	5,000	12.27	30-Jan	24-Apr	250.00	5.0
WAGONHOUND/NIC	048	ARD	B	735	25.63	n/a	n/a	29.40	4.0
PATTEN & PATTEN	067	AXP	S	600	13.55	n/a	7-May	30.00	5.0
PATTEN & PATTEN	067	BAC	S	500	6.58	2-Mar	7-May	25.00	5.0
PZENA INV ADV	044	BA	S	2,325	33.91	n/a	n/a	81.38	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JP MORGAN VENTURES	046	BBBY	B	35,000	22.31	n/a	n/a	1,750.00	5.0
f FRANCIS MICHAEL MCCA	FID	BBY	S	100	30.00	n/a	27-Jul	0.00	0.0
f MANNY I KORMAN	FID	BBY	B	3000	30.14	n/a	27-Jul	0.00	0.0
RBC CAPITAL MARKETS	034	BBY	S	10,000	30.05	n/a	27-Jul	400.00	4.0
B BUCK CAPITAL MGMT		BDK	C	30,000	24.86	n/a	n/a	non-brg	4.0
BALYASNY ASSET MGMT	044	BIG	S	24,983	20.10	4-Mar	7-May	1,249.15	5.0
B BUCK CAPITAL MGMT		BKC	C	50,000	22.31	6-Feb	29-Apr	non-brg	4.0
BALYASNY ASSET MGMT	044	BK	S	50,000	24.15	21-Jan	24-Apr	2,500.00	5.0
B BUCK CAPITAL MGMT		BMR	C	14,560	8.35	n/a	n/a	non-brg	3.0
PATTEN & PATTEN	067	BTU	S	3,500	25.35	n/a	n/a	175.00	5.0
METROPOLITAN CAPITAL	044	BWA	SS	13,600	18.86	12-Mar	1-May	544.00	4.0
SCOPUS FUND	041	BWA	S	44,700	18.42	12-Mar	1-May	2,235.00	5.0
PATTEN & PATTEN	067	CAG	S	1,600	14.99	n/a	n/a	80.00	5.0
B BUCK CAPITAL MGMT	001	CCL	B	50,000	20.89	n/a	26-Jan	2,000.00	4.0
B BUCK CAPITAL MGMT		CECO	SS	50,000	20.91	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CHS	S	100,000	5.06	5-Dec	30-Jan	non-brg	3.0
B BUCK CAPITAL MGMT		COCO	SS	50,000	16.57	n/a	n/a	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	COH	B	120,000	14.71	9-Jan	22-Apr	4,800.00	4.0
CATAPULT	040	COH	SS	50,000	14.63	9-Jan	22-Apr	2,000.00	4.0
SAC TRADING HOWARD	038	COH	S	20,000	14.79	9-Jan	22-Apr	800.00	4.0
f MANNY I KORMAN	FID	CPRE	B	3000	7.85	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		CPT	C	7,376	22.80	n/a	n/a	non-brg	4.0
THE BOSTON COMPANY	401	CTRN	S	59,530	13.95	n/a	n/a	2,381.20	4.0
B BUCK CAPITAL MGMT		CUZ	C	10,656	7.24	n/a	n/a	non-brg	3.0
ASCEND PARTNERS	033	CVS	B	75,000	27.08	n/a	n/a	3,750.00	5.0
f JOSEPH CIRO AMATURO	FID	DELL	B	3000	9.03	n/a	n/a	0.00	0.0
SANDLER O'NEILL ASSET	031	DFS	B	150,000	6.50	n/a	7-May	4,500.00	3.0
f MANNY I KORMAN	FID	DIS	B	3000	17.32	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		DOU GR	C	20,000	40.34	n/a	n/a	non-brg	6.1
PATTEN & PATTEN	067	DOW	B	1,525	7.99	n/a	6-May	76.25	5.0
NEUBERGER BERMAN	036	DOX	S	20,000	17.01	n/a	n/a	900.00	4.5
B BUCK CAPITAL MGMT		DRE	C	9,920	5.72	n/a	n/a	non-brg	3.0
BALYASNY ASSET MGMT	044	DRI	B	25,000	29.75	19-Dec	19-Mar	1,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	DRI	B	94,400	29.54	19-Dec	19-Mar	3,776.00	4.0
RBC CAPITAL MARKETS	034	DRI	B	10,000	29.60	19-Dec	19-Mar	400.00	4.0
f MANNY I KORMAN	FID	DUA	B	3000	10.09	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	DXO	B	1560	2.33	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	EXH	S	200	15.76	27-Jan	3-Apr	10.00	5.0
B BUCK CAPITAL MGMT		EXR	C	11,840	5.40	n/a	n/a	non-brg	3.0
f DAVID GEORGE BUCK	FID	FACT	B	3000	6.48	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	FAS	S	3000	5.34	n/a	n/a	0.00	0.0
f NICOLAS EVAN PAKLER	FID	FAS	B	725	5.50	n/a	n/a	0.00	0.0
JP MORGAN VENTURES	046	FINL	B	50,000	5.31	n/a	28-Mar	1,500.00	3.0
f MANNY I KORMAN	FID	FO	B	5000	22.06	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GCO	B	40,000	15.95	n/a	10-Jan	1,600.00	4.0
B BUCK CAPITAL MGMT		GEO IM	C	50,000	6.14	n/a	n/a	non-brg	0.9
BALYASNY ASSET MGMT	044	GES	B	30,000	15.47	n/a	n/a	1,500.00	5.0
BUCK CAPITAL MGMT	001	GES	B	20,000	15.67	n/a	n/a	800.00	4.0
FINANCIAL STOCK LP	028	GE	SS	100,000	10.05	n/a	n/a	4,000.00	4.0
PATTEN & PATTEN	067	GE	B	200	10.08	n/a	n/a	10.00	5.0
f DAVID GEORGE BUCK	FID	GIS	B	1000	53.70	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	GLD	S	100	90.55	n/a	n/a	5.00	5.0
B BUCK CAPITAL MGMT		GPS	B	26,800	12.05	n/a	30-Jan	non-brg	1.0
B BUCK CAPITAL MGMT		GPS	B	93,200	12.10	n/a	30-Jan	non-brg	4.0
STRONG/MARK GRONET	030	GTI	B	20,000	6.51	n/a	n/a	600.00	3.0
COUGAR TRADING	044	GYMB	B	5,000	18.40	5-Mar	7-May	250.00	5.0
B BUCK CAPITAL MGMT		HIW	C	8,640	20.33	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	HOG	B	30,000	11.56	n/a	n/a	1,200.00	4.0
B BUCK CAPITAL MGMT		HOME LN	C	190,100	2.88	n/a	n/a	non-brg	0.1
SAXON WOODS ADVISORS	038	ITC	B	51,100	36.60	n/a	n/a	2,044.00	4.0
B BUCK CAPITAL MGMT		ITX SM	C	50,000	33.86	n/a	n/a	non-brg	5.1
Õ Alice Longley		IYG	B	600	32.50	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	IYT	B	200	45.90	n/a	n/a	10.00	5.0
BMO NESBITT BURNS	041	JCI	S	50,000	9.79	13-Mar	22-Apr	2,500.00	5.0
PZENA INV ADV	044	JCP	S	5,900	16.25	6-Feb	4-May	206.51	3.5
PZENA INV ADV	044	JPM	S	2,525	24.28	16-Jan	24-Apr	88.38	3.5
f DAVID GEORGE BUCK	FID	JSARD	S	20	2.57	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		KGF LN	C	347,599	1.87	n/a	n/a	non-brg	0.1
JP MORGAN VENTURES	046	KR	B	20,000	21.27	n/a	n/a	1,000.00	5.0
B BUCK CAPITAL MGMT		KSS	S	30,000	37.36	n/a	4-May	non-brg	4.0
f FRANCIS MICHAEL MCCA	FID	KSS	S	100	38.16	n/a	4-May	0.00	0.0
LEVIN CAPITAL STRATEGIES	012	KSS	B	30,000	38.56	n/a	4-May	1,200.00	4.0
PATTEN & PATTEN	067	LAZ	S	50	28.06	n/a	28-Apr	2.50	5.0
SCOGGIN CAP	039	LF	B	38,000	1.48	n/a	n/a	1,140.00	3.0
BMO NESBITT BURNS	041	LM	S	25,000	14.54	29-Jan	7-May	1,250.00	5.0
LEVIN CAPITAL STRATEGIES	012	LM	B	25,000	14.55	29-Jan	7-May	750.00	3.0
SANDLER O'NEILL ASSET	031	LM	B	20,000	14.32	29-Jan	7-May	1,000.00	5.0
f DAVID GEORGE BUCK	FID	MAC	B	1000	8.09	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		MC FP	C	50,000	63.10	n/a	n/a	non-brg	3.2
B BUCK CAPITAL MGMT		MHK	C	30,000	22.40	n/a	n/a	non-brg	2.5
PATTEN & PATTEN	067	MIC	S	2,225	1.24	n/a	n/a	111.25	5.0
f DAVID GEORGE BUCK	FID	MONPK	B	20	0.30	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	MONSL	S	20	2.82	n/a	n/a	0.00	0.0
CAMBIAR CAP	046	MO	S	418,940	17.08	n/a	n/a	16,757.60	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f MANNY I KORMAN	FID	M	B	5000	8.39	n/a	4-May	0.00	0.0
HOTCHKIS & WILEY	035	NOC	B	350,000	38.40	n/a	n/a	17,500.00	5.0
PATTEN & PATTEN	067	NUE	B	10,400	37.37	n/a	n/a	520.00	5.0
PATTEN & PATTEN	067	OSK	S	500	6.75	n/a	n/a	25.00	5.0
NEWCASTLE FUNDS	033	PFCB	SS	7,300	22.50	8-Jan	23-Apr	292.00	4.0
PROSPECTOR PARTNERS LLC	036	PFE	S	12,800	14.58	n/a	31-Mar	512.00	4.0
PATTEN & PATTEN	067	PL	B	2,000	5.02	n/a	n/a	100.00	5.0
f JOSEPH CIRO AMATURO	FID	PQ	B	10000	2.63	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	PRU	B	500	20.99	n/a	n/a	25.00	5.0
B BUCK CAPITAL MGMT		PVH	S	50,000	16.87	22-Jan	20-Apr	non-brg	4.0
B BUCK CAPITAL MGMT		RCL	B	100,000	7.76	30-Jan	24-Apr	non-brg	3.0
COLUMBIA PARTNERS	028	RCL	B	345,864	7.90	30-Jan	24-Apr	10,375.92	3.0
f MANNY I KORMAN	FID	ROST	B	3000	32.74	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	034	ROST	S	10,000	32.68	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		SAB LN	C	50,000	13.87	n/a	n/a	non-brg	0.7
B BUCK CAPITAL MGMT		SIG LN	C	50,000	9.07	n/a	n/a	non-brg	1.4

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		SKF	B	25,000	136.36	n/a	n/a	non-brg	1.0
PZENA INV ADV	044	SLE	S	4,950	7.88	n/a	n/a	173.26	3.5
DELTEC ASSET MGMT.	040	SMH	B	8,500	17.96	n/a	n/a	425.00	5.0
B BUCK CAPITAL MGMT		SONC	C	10,000	8.09	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		SONC	C	47,500	8.02	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		SPD LN	C	100,000	0.92	n/a	n/a	non-brg	0.1
f ALEXANDER PRYLUCKI	FID	SPY	B	35	77.49	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	SPY	B	2000	77.21	n/a	n/a	0.00	0.0
f PEARL LUCHANSKY	FID	SPY	B	1000	77.22	n/a	n/a	0.00	0.0
PZENA INV ADV	044	SRE	S	1,925	41.41	n/a	n/a	67.38	3.5
f ALEXANDER PRYLUCKI	FID	SSO	S	75	18.77	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SSS	C	9,920	20.97	n/a	n/a	non-brg	4.0
ROYAL CAPITAL	039	STRA	B	52,300	146.88	n/a	n/a	2,615.00	5.0
MILLENIUM PARTNERS	028	SUP	SS	4,516	11.00	27-Feb	27-Feb	180.64	4.0
f MARC PAUL LUCHANSKY	FID	SWN	B	1000	28.30	27-Feb	28-Apr	0.00	0.0
f ANDREW SINCLAIR	FID	TBTRW	B	100	5.00	n/a	n/a	0.00	0.0
Õ Ted Wheeler		TEN	B	200	8.58	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		THI	C	20,000	25.02	n/a	24-Apr	non-brg	4.0
SCOGGIN CAP	039	THQI	B	100,000	2.73	n/a	n/a	3,000.00	3.0
BUCK CAPITAL MGMT	001	TIF	B	70,000	19.77	n/a	30-Jan	2,800.00	4.0
SIGMA CAPITAL ASSOCIATES	237	TIF	S	25,000	19.73	n/a	30-Jan	1,250.00	5.0
FIRST NY SEC/CHRIS	041	TIN	B	10,000	4.14	5-Dec	22-Apr	500.00	5.0
NEWLAND CAPITAL MGT	067	TIN	B	150,000	4.09	5-Dec	22-Apr	4,500.00	3.0
AVESTA CAP	229	TJX	S	50,000	24.63	n/a	4-May	2,500.00	5.0
B BUCK CAPITAL MGMT		TSCO LN	C	50,000	4.72	n/a	n/a	non-brg	0.2
SCHOTTENFELD ASSOC	041	TYC	B	2,100	19.25	12-Nov	1-May	63.00	3.0
SCHOTTENFELD ASSOC	041	TYC	S	2,100	19.34	12-Nov	1-May	63.00	3.0
PATTEN & PATTEN	067	T	S	800	24.59	n/a	4-Jan	40.00	5.0
B BUCK CAPITAL MGMT		URBN	S	20,000	16.78	n/a	30-Jan	non-brg	4.0
WAGONHOUND/NIC	048	URBN	B	391	17.02	n/a	30-Jan	15.64	4.0
BUCK CAPITAL MGMT	001	URI	B	100,000	3.53	29-Oct	29-Oct	3,000.00	3.0
f MARC PAUL LUCHANSKY	FID	UYG	B	2000	2.50	n/a	n/a	0.00	0.0
CAMBIAR CAP	046	VOD	B	2,440	16.80	n/a	n/a	97.60	4.0
ASCEND PARTNERS	033	WAG	C	80,000	24.01	n/a	n/a	4,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		WEN	C	100,000	4.92	n/a	24-Apr	non-brg	2.0
f ANDREW SINCLAIR	FID	WFCSC	B	100	3.70	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	WMT	S	100,000	48.82	10-Oct	5-May	4,000.00	4.0
⚡ BUCK CAPITAL MGMT		WMT	S	5,100	48.78	10-Oct	5-May	non-brg	1.0
LISTED ERR	099	WMT	SS	10,000	48.93	10-Oct	5-May	0.00	0.0
⚡ BUCK CAPITAL MGMT		WRC+DD[???	SS	1,000	1.15	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	WRC	S	30,600	19.05	27-Feb	20-Apr	1,224.00	4.0
⚡ BUCK CAPITAL MGMT		WRC	S	12,572	19.28	27-Feb	20-Apr	non-brg	1.5
⚡ BUCK CAPITAL MGMT		WRC	S	22,600	19.20	27-Feb	20-Apr	non-brg	1.0
JP MORGAN VENTURES	046	WRC	B	20,000	18.93	27-Feb	20-Apr	1,000.00	5.0
RBC CAPITAL MARKETS	034	WRC	B	15,000	19.29	27-Feb	20-Apr	600.00	4.0
PROSPECTOR PARTNERS LLC	036	WYE	B	12,700	43.21	n/a	31-Mar	508.00	4.0
IVORY CAPITAL	034	XLF	S	1,000,000	8.36	n/a	n/a	5,000.00	0.5
TOTAL (Trade Date) :							155,773.20		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	03/13	PRINCIPLE CAPITAL	040	CVS	B	40,000	26.53	n/a	n/a	1600.00 4.0
AO,CRT	03/13	PRINCIPLE CAPITAL	040	CVS	B	40,000	26.53	n/a	n/a	1200.00 3.0
AO,CXL	03/13	BUCK CAPITAL MGMT	001	LTD	B	30,000	8.07	8-Jan	30-Jan	1200.00 4.0
AO,CRT	03/13	BUCK CAPITAL MGMT	001	LTD	B	30,000	8.07	8-Jan	30-Jan	900.00 3.0
AO,	03/13	SCOGGIN CAP	039	THQI	B	105,400	2.69	n/a	n/a	3162.00 3.0

TOTAL (AO, CXL, CRT) :	2,462.00
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TOTAL (Trade Date) :	155,773.20
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TOTAL (AO, CXL, CRT) :	2,462.00
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TOTAL (RUN DATE) / NFS :	158,235.20
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MRI Securities with Trade Activity on 16-Mar. NONE

MRI Securities without Trade Activity on 16-Mar. AXE, CHTT, CL

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

T-Date = 40%

YTD = 24%

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)