



Daily Compliance Activity Report

Trade Date: 01/06/2009

Potential ANALYST TRADE Violations: 0

BCM Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		AAPL	B	20,000	95.99	n/a	n/a	non-brg	1.0
PRINCIPLE CAPITAL	040	AVP	B	172,700	24.78	3-Nov	9-Dec	5,181.00	3.0
MARINER/TRICADIA	041	AYI	SS	70,000	33.04	n/a	n/a	3,500.00	5.0
B BUCK CAPITAL MGMT		BARE	B	50,000	5.15	n/a	n/a	non-brg	3.0
ROARING BLUE LION MGMT	012	BBT	B	2,200	25.59	n/a	n/a	88.00	4.0
BUCK CAPITAL MGMT	001	BBY	SS	10,000	31.27	n/a	27-Jul	400.00	4.0
THE BOSTON COMPANY	401	BEBE	S	49,980	7.03	n/a	n/a	1,999.20	4.0
f DAVID GEORGE BUCK	FID	BFRM	B	7500	1.10	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	BGZ	B	20	51.90	n/a	n/a	0.00	0.0
f STEFFANIE CARMELA CA	FID	BGZ	B	30	52.28	n/a	n/a	0.00	0.0
TRELLUS PARTNERS LP	028	BWA	SS	15,000	24.87	16-Dec	16-Dec	750.00	5.0
f JOHN BARTMAN COLE	FID	BZ	S	1000	0.68	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		CEC	C	40,000	25.62	n/a	n/a	non-brg	4.0
f MARK ANTHONY GRONET	FID	CIT	B	1000	4.87	17-Dec	24-Dec	0.00	0.0
BUCK CAPITAL MGMT	001	COH	SS	20,000	21.92	18-Dec	18-Dec	800.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		COLM	SS	20,166	35.64	n/a	n/a	non-brg	2.5
UBS OCONNOR	031	COST	C	50,000	51.26	n/a	27-Jul	1,500.00	3.0
B BUCK CAPITAL MGMT		CRI+NW[CRI]	SS	1,500	1.08	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	CRI	B	20,000	19.38	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	DKS	B	10,000	15.03	7-Oct	12-Dec	400.00	4.0
FORD FDN.	032	DOW	B	50,000	16.26	n/a	6-Jan	2,500.00	5.0
f ROBERT F CROWLEY JR	FID	DUK	B	1000	15.37	n/a	n/a	0.00	0.0
LAGRANGE CAP ADV	048	DXO	S	5,000	3.53	n/a	n/a	250.00	5.0
SANDLER O'NEILL ASSET	031	EV	SS	21,400	22.03	26-Nov	5-Jan	1,070.00	5.0
WAGONHOUND/NIC	048	FDO	SS	17,241	24.35	5-Dec	6-Jan	689.64	4.0
SCOPUS FUND	041	FL	SS	15,000	8.36	7-Oct	12-Dec	750.00	5.0
B BUCK CAPITAL MGMT		FOSL	B	10,000	17.23	10-Nov	12-Dec	non-brg	4.0
B BUCK CAPITAL MGMT		FOSL	B	20,000	17.69	10-Nov	12-Dec	non-brg	4.0
B BUCK CAPITAL MGMT		GES+BW[GES]	SS	2,000	1.01	n/a	n/a	non-brg	300.0
SCOPUS FUND	041	GES	S	20,000	16.36	n/a	n/a	1,000.00	5.0
MAIRS AND POWER INV	030	GE	B	20,000	16.58	n/a	n/a	1,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SIGMA CAPITAL ASSOCIATES	237	GYMB	SS	25,000	25.29	7-Nov	6-Jan	1,250.00	5.0
BUCK CAPITAL MGMT	001	HOT	B	100,000	23.04	n/a	n/a	4,000.00	4.0
CHARTER OAK	033	ILMN	B	25,000	26.92	n/a	n/a	1,250.00	5.0
JMP ASSET MGMT	210	IPI	B	1,100	21.88	n/a	n/a	55.00	5.0
BUCK CAPITAL MGMT	001	JCG	S	30,000	12.73	n/a	6-Jan	1,200.00	4.0
B BUCK CAPITAL MGMT		JCG	C	55,200	13.04	n/a	6-Jan	non-brg	4.0
BUCK CAPITAL MGMT	001	JCP	B	400,000	22.42	17-Nov	6-Jan	16,000.00	4.0
RBC CAPITAL MARKETS	034	JCP	B	25,000	22.65	17-Nov	6-Jan	1,000.00	4.0
MISSOURI VALLEY PART	046	JPM	S	20,600	30.22	23-Dec	23-Dec	1,030.00	5.0
APEX CAPITAL MGMT.	091	JWN	S	150,000	15.91	14-Nov	6-Jan	6,000.00	4.0
B BUCK CAPITAL MGMT		JWN	C	100,100	15.42	14-Nov	6-Jan	non-brg	4.0
f FRANCIS MICHAEL MCCA	FID	JWN	S	200	15.45	14-Nov	6-Jan	0.00	0.0
WHALE ROCK CAP	030	JWN	B	463,000	15.89	14-Nov	6-Jan	18,520.00	4.0
BUCK CAPITAL MGMT	001	KCP	B	1,100	7.98	n/a	28-Sep	0.00	0.0
BUCK CAPITAL MGMT	001	KCP	S	1,100	7.91	n/a	28-Sep	0.00	0.0
ASCEND PARTNERS	033	KR	B	40,000	25.73	n/a	n/a	2,000.00	5.0
BUCK CAPITAL MGMT	001	KSS	B	100,000	37.79	n/a	6-Jan	4,000.00	4.0
BARROW HANLEY MEWHINNEY	031	LM	B	516,100	24.99	29-Oct	5-Jan	20,644.00	4.0

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ROTHSCHILD ASSET	040	LNT	S	5,570	28.68	n/a	n/a	250.65	4.5
f JOHN PATRICK DAVEY	FID	LPX	B	5000	1.98	5-Nov	5-Nov	0.00	0.0
f MARC PAUL LUCHANSKY	FID	LPX	B	500	2.26	5-Nov	5-Nov	0.00	0.0
f DAVID GEORGE BUCK	FID	MA	B	400	158.36	23-Dec	5-Jan	0.00	0.0
f MANNY I KORMAN	FID	MERPRK	B	2400	17.57	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	METPRB	B	3000	19.45	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		MSSR	C	10,000	4.95	n/a	n/a	non-brg	2.0
SLS CAPITAL LLC	224	M	S	125,300	11.71	12-Aug	6-Jan	5,012.00	4.0
f FRANCIS MICHAEL MCCA	FID	NCI	B	100	14.84	n/a	n/a	0.00	0.0
THIRD COAST CAPITAL	035	NILE	B	8,000	25.21	n/a	n/a	400.00	5.0
BUCK CAPITAL MGMT	001	NKE	B	50,000	52.43	n/a	n/a	2,000.00	4.0
TRELLUS PARTNERS LP	028	PAG	SS	15,000	9.10	n/a	23-Dec	450.00	3.0
BMO NESBITT BURNS	041	PCH	B	33,000	25.43	n/a	11-Dec	1,650.00	5.0
SCOPUS FUND	041	PCH	B	25,000	25.55	n/a	11-Dec	1,250.00	5.0
BMO NESBITT BURNS	041	PCL	S	25,000	33.72	n/a	18-Dec	1,250.00	5.0
SCOPUS FUND	041	PCL	S	25,000	33.83	n/a	18-Dec	1,250.00	5.0
BENCHMARK	028	PETS	B	7,500	17.94	n/a	n/a	375.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
UBS OCONNOR	031	PG	S	50,000	62.23	10-Oct	12-Dec	1,500.00	3.0
ELM RIDGE ADVISORS	044	PKG	S	45,700	15.03	5-Dec	5-Dec	1,828.00	4.0
WEISS PECK	040	PNRA	SS	4,800	53.58	4-Sep	11-Nov	240.00	5.0
B BUCK CAPITAL MGMT		PRQ+NI [COST]	SS	1,000	0.87	n/a	n/a	non-brg	100.0
SIGMA CAPITAL ASSOCIATES	237	QLGC	B	10,000	13.41	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		RIG	S	53,700	57.06	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	RL	B	20,000	46.68	n/a	6-Nov	800.00	4.0
CATAPULT	040	ROP	B	14,026	45.79	n/a	n/a	701.30	5.0
B BUCK CAPITAL MGMT		ROST	C	90,400	29.80	n/a	n/a	non-brg	4.0
f FRANCIS MICHAEL MCCA	FID	SDS	B	100	66.08	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	SPG	S	1000	49.33	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	SPHIX	B	15748	6.35	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SPTN	C	10,000	20.93	n/a	n/a	non-brg	2.5
MISSOURI VALLEY PART	046	STI	S	24,905	27.95	n/a	n/a	1,245.25	5.0
f NICOLAS EVAN PAKLER	FID	SWN	B	30	34.78	19-Dec	19-Dec	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MARC PAUL LUCHANSKY	FID	TEX	B	100	19.48	23-Oct	23-Oct	0.00	0.0
B BUCK CAPITAL MGMT		TGT+NF [TGT]	SS	1,000	1.32	n/a	n/a	non-brg	300.0
B BUCK CAPITAL MGMT		TGT+NU [TGT]	SS	1,000	0.85	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT	001	TGT	B	200,000	37.37	17-Nov	6-Jan	8,000.00	4.0
KLEINHEINZ CAP PART	031	TGT	B	100,000	37.68	17-Nov	6-Jan	5,000.00	5.0
f MARC PAUL LUCHANSKY	FID	TGT	S	1500	38.05	17-Nov	6-Jan	0.00	0.0
TRELLUS PARTNERS LP	028	TGT	SS	20,000	37.74	17-Nov	6-Jan	1,000.00	5.0
SCOPUS FUND	041	TIN	B	90,000	5.47	5-Dec	5-Dec	4,500.00	5.0
NOMURA CAPITAL	045	TOL	B	5,000	22.21	n/a	n/a	250.00	5.0
B BUCK CAPITAL MGMT		TQQ+PF [COLM]	SS	1,000	2.65	n/a	n/a	non-brg	300.0
B BUCK CAPITAL MGMT		TSCO	C	17,800	34.95	n/a	n/a	non-brg	4.0
f JONATHAN RICHARD HAR	FID	TZA	B	22	43.40	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	UNT	B	3,650	30.61	n/a	20-Nov	182.50	5.0
B BUCK CAPITAL MGMT		URBN	B	20,000	14.63	5-Nov	6-Jan	non-brg	4.0
f JOHN FRANCIS MCERLEA	FID	USO	S	1000	37.26	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		UWY+NI [WYNN]	SS	1,000	3.53	n/a	n/a	non-brg	300.0
B BUCK CAPITAL MGMT		WRC+BX [WRC]	SS	3,050	1.20	n/a	n/a	non-brg	300.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JMP ASSET MGMT	210	WSM	B	10,000	8.90	n/a	n/a	400.00	4.0
⌘ BUCK CAPITAL MGMT		WYNN	SS	45,740	51.76	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		XRT	C	320,800	21.73	n/a	n/a	non-brg	1.0
AVESTA CAP	229	YUM	SS	25,000	33.21	14-Aug	10-Dec	1,250.00	5.0
⌘ BUCK CAPITAL MGMT		ZVZZT	S	100	0.50	n/a	n/a	non-brg	3.0
TOTAL (Trade Date):							140,911.54		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/05	BUCK CAPITAL MGMT	001	ARO	B	200,000	18.32	n/a	6-Jan	8000.00 4.0
AO,	01/05	COLUMBUS CIRCLE	036	BKE	B	32,380	22.64	n/a	n/a	1295.20 4.0
AO,CRT	01/05	SIGMA CAPITAL ASSOCIATES	237	ZLC	SS	25,000	4.70	n/a	n/a	750.00 3.0
AO,CXL	01/05	SIGMA CAPITAL ASSOCIATES	237	ZLC	SS	25,000	4.70	n/a	n/a	1250.00 5.0
TOTAL (AO, CXL, CRT) :										8,795.20

TOTAL (Trade Date) :	140,911.54
TOTAL (AO, CXL, CRT) :	8,795.20

TOTAL (RUN DATE) / NFS:	149,706.74
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MRI Securities with Trade Activity on 6-Jan.
NONE

MRI Securities without Trade Activity on 6-Jan.
AVY, PLCE, WPL

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 42%
YTD = 29%

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

BCM Watch List Trades

f: Employee Trades (Fidelity)