



Daily Compliance Activity Report

Trade Date: 11/06/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f ANTHONY SUTERA	FID	AEO	B	1000	15.75	n/a	6-Nov	0.00	0.0
B BUCK CAPITAL MGMT		AEO	B	20,000	15.75	n/a	6-Nov	non-brg	4.0
f KEVIN MICHAEL O'GORM	FID	AHS	B	1000	8.50	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	ANF	S	120,000	34.83	n/a	6-Nov	4,800.00	4.0
B BUCK CAPITAL MGMT		APP	S	40,000	2.59	n/a	n/a	non-brg	3.0
APEX CAPITAL MGMT.	091	ARO	B	45,000	33.38	n/a	6-Nov	1,800.00	4.0
B BUCK CAPITAL MGMT		ARO	B	130,000	33.65	n/a	6-Nov	non-brg	4.0
EXIS CAPITAL	044	ARO	B	25,000	33.60	n/a	6-Nov	1,250.00	5.0
f HARALAMBOS EFSTATHI	FID	ATVI	B	800	11.25	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	ATVI	B	220	11.24	n/a	n/a	0.00	0.0
DAVIDSON KEMPNER ADVISOR	040	AXL	B	100,000	6.69	n/a	2-Nov	5,000.00	5.0
NEWCASTLE FUNDS	255	AXL	S	25,000	6.82	n/a	2-Nov	1,000.00	4.0
DIAMONDBACK CAP MGMT	232	BAC	S	100,000	14.92	n/a	26-Oct	5,000.00	5.0
JP MORGAN VENTURES	046	BAC	S	200,000	14.94	n/a	26-Oct	6,000.00	3.0
B BUCK CAPITAL MGMT		BARC LN	SS	200,000	5.65	n/a	n/a	non-brg	0.8
f JOSEPH CIRO AMATURO	FID	BGU	B	2500	51.17	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	BGU	S	2500	52.05	n/a	n/a	0.00	0.0
f WILLIAM J GAULT	FID	BGZ	B	10000	20.37	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MARC PAUL LUCHANSKY	FID	BSX	B	1000	8.16	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	040	BWA	B	20,000	31.58	n/a	6-Nov	800.00	4.0
RWC PARTNERS LTD	067	BWA	B	15,100	31.85	n/a	6-Nov	453.00	3.0
HOLLIS CAPITAL	033	CBS	B	10,000	12.54	n/a	n/a	500.00	5.0
CUMBERLAND	239	CHK	B	5,000	24.93	n/a	n/a	200.00	4.0
B BUCK CAPITAL MGMT		CHRS	S	20,000	4.65	n/a	n/a	non-brg	3.0
CADIAN CAPITAL	067	CHS	SS	50,000	12.20	n/a	n/a	2,000.00	4.0
ROSEDALE CAPITAL	046	COG	B	10,000	40.02	n/a	2-Nov	500.00	5.0
B BUCK CAPITAL MGMT		CRI	B	30,000	23.64	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DECK	S	10,000	91.61	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DLTR	B	40,000	48.40	n/a	6-Nov	non-brg	4.0
BASIX	033	FL	S	23,000	10.49	n/a	n/a	690.00	3.0
f HARALAMBOS EFSTATHI	FID	FOR	B	400	16.58	n/a	5-Nov	0.00	0.0
f IAN L MILLER	FID	FOR	B	150	16.43	n/a	5-Nov	0.00	0.0
f JOSEPH CIRO AMATURO	FID	FOR	B	5000	16.34	n/a	5-Nov	0.00	0.0
RBC CAPITAL MARKETS	040	FOR	B	10,000	16.59	n/a	5-Nov	400.00	4.0
ROSEDALE CAPITAL	046	F	B	20,000	7.37	n/a	4-Nov	800.00	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f	HARALAMBOS EFSTATHI	FID	GME	B	200	24.36	n/a	n/a	0.00	0.0
	BUCK CAPITAL MGMT	001	GPS	S	25,000	22.85	n/a	n/a	1,000.00	4.0
B	BUCK CAPITAL MGMT		GPS	S	25,000	23.00	n/a	n/a	non-brg	4.0
	SIGMA CAPITAL ASSOCIATES	041	GPS	B	25,000	23.00	n/a	n/a	1,000.00	4.0
	BUCK CAPITAL MGMT	001	HBI	S	20,000	24.76	n/a	n/a	800.00	4.0
	BUCK CAPITAL MGMT	001	HD	SS	10,000	25.93	n/a	n/a	400.00	4.0
f	JOHN MICHAEL ZOLIDIS	FID	HH	S	10000	0.99	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		HOT	SS	10,000	30.73	n/a	n/a	non-brg	4.0
	RWC PARTNERS LTD	067	HUBG	B	90,300	26.64	n/a	n/a	2,709.00	3.0
	EXIS CAPITAL	044	INTC	B	25,000	19.03	n/a	n/a	1,250.00	5.0
	SENATOR INVESTMENT GROUP	036	IYR	SS	20,000	40.66	n/a	n/a	800.00	4.0
	NEUBERGER BERMAN	036	JNS	S	145,400	13.10	n/a	3-Nov	6,543.00	4.5
	DIAMONDBACK CAP MGMT	232	JPM	B	25,000	43.12	n/a	15-Oct	1,250.00	5.0
B	BUCK CAPITAL MGMT		JWN	B	20,000	33.87	n/a	6-Nov	non-brg	4.0
	THE BOSTON COMPANY	039	KCP	S	11,900	9.90	n/a	n/a	476.00	4.0
	DIAMONDBACK CAP MGMT	232	KEY	S	150,000	5.75	n/a	n/a	7,500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
⌘ BUCK CAPITAL MGMT		KSS	B	20,000	56.43	n/a	6-Nov	non-brg 4.0
PRINCIPLE CAPITAL	040	LAMR	SS	50,000	29.08	n/a	n/a	1,500.00 3.0
SUN AMERICA ASSET MGMT	030	LMT	B	61,300	72.80	n/a	22-Oct	2,452.00 4.0
BUCK CAPITAL MGMT	001	LOW	SS	10,000	20.54	n/a	n/a	400.00 4.0
SUN AMERICA ASSET MGMT	030	MCD	B	71,600	61.38	n/a	5-Nov	2,864.00 4.0
⌘ BUCK CAPITAL MGMT		MFB	B	50,000	15.25	n/a	n/a	non-brg 4.0
ROSEDALE CAPITAL	046	MRK	B	10,000	32.48	n/a	n/a	500.00 5.0
⌘ BUCK CAPITAL MGMT		MVRX	SS	50,000	162.12	n/a	n/a	non-brg 16.2
COHE & STEERS	091	PCL	S	174,594	32.72	n/a	30-Oct	6,983.76 4.0
DARUMA ASSET MGMT INC	034	PFS	B	63,200	10.53	n/a	n/a	3,160.00 5.0
ROTHSCHILD ASSET	040	PFS	S	24,725	10.50	n/a	n/a	1,112.66 4.5
⌘ BUCK CAPITAL MGMT		PHM	B	25,000	9.76	n/a	n/a	non-brg 0.8
⌘ BUCK CAPITAL MGMT		PHM	B	25,000	9.78	n/a	n/a	non-brg 3.0
⌘ BUCK CAPITAL MGMT		PLCE	S	10,000	35.21	n/a	6-Nov	non-brg 4.0
THE BOSTON COMPANY	039	PLCE	B	110,350	35.23	n/a	6-Nov	4,414.00 4.0
PZENA INV ADV	044	POR	B	19,475	19.01	n/a	n/a	681.64 3.5
BUCK CAPITAL MGMT	001	PSS	B	50,000	19.83	n/a	n/a	2,000.00 4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHALE ROCK CAP	030	QID	S	560,172	22.40	n/a	n/a	22,406.88	4.0
PIONEER MICHAEL NOLAN	067	SAPE	B	14,939	7.51	n/a	n/a	448.17	3.0
RBC CAPITAL MARKETS	040	SBUX	S	5,000	20.47	n/a	6-Nov	200.00	4.0
FARALLON CAP MGMT	040	SCHW	B	190,000	17.05	n/a	n/a	5,700.00	3.0
WHALE ROCK CAP	030	SDS	S	162,986	38.88	n/a	n/a	6,519.44	4.0
BUCK CAPITAL MGMT	001	SKX	S	20,000	22.51	n/a	n/a	800.00	4.0
f MARC PAUL LUCHANSKY	FID	SPY	B	1000	106.47	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SSI	C	11,982	11.89	n/a	6-Nov	non-brg	2.5
ß BUCK CAPITAL MGMT		SSI	C	8,018	11.69	n/a	6-Nov	non-brg	0.8
BALYASNY ASSET MGMT	044	SUP	B	23,171	13.93	n/a	n/a	1,158.55	5.0
ß BUCK CAPITAL MGMT		SUP	B	500	13.25	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		SUP	B	9,500	13.74	n/a	n/a	non-brg	4.0
ENTRUST CAPITAL	040	SUP	B	18,754	13.88	n/a	n/a	937.70	5.0
TRELLUS PARTNERS LP	028	SUP	B	6,670	13.52	n/a	n/a	333.50	5.0
WAGONHOUND/NIC	048	TGT	B	10,301	49.54	n/a	5-Nov	412.04	4.0
BUCK CAPITAL MGMT	001	TJX	S	10,000	38.27	n/a	6-Nov	400.00	4.0
EXIS CAPITAL	044	TJX	B	40,000	38.24	n/a	6-Nov	2,000.00	5.0
f ABRAM M CHAPPELL	FID	TOL	B	80	18.12	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MATRIX ASSET ADV.	036	VLO	B	5,000	17.33	n/a	n/a	150.00	3.0
ß BUCK CAPITAL MGMT		WFMI	C	60,000	27.63	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		WSM	SS	10,000	19.10	n/a	n/a	non-brg	4.0
f IAN L MILLER	FID	WY	B	25	37.18	n/a	2-Nov	0.00	0.0
ß BUCK CAPITAL MGMT		XRT	SS	12,500	34.49	n/a	n/a	non-brg	0.8
f HARALAMBOS EFSTATHI	FID	ZQK	B	1000	1.88	n/a	n/a	0.00	0.0
TOTAL (Trade Date):							122,455.34		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CRT	11/05	JP MORGAN VENTURES	046	PVH	S	10,000	41.40	n/a 2-Nov	400.00 4.0
AO,CXL	11/05	JP MORGAN VENTURES	046	PVH	S	10,000	41.40	n/a 2-Nov	0.00 0.0

TOTAL (AO, CXL, CRT) :	400.00
-------------------------------	---------------

TOTAL (Trade Date) :	122,455.34
TOTAL (AO, CXL, CRT) :	400.00

TOTAL (RUN DATE) / NFS:	122,855.34
--------------------------------	-------------------

MRI Securities with Trade Activity on 6-Nov. NONE
--

MRI Securities without Trade Activity on 6-Nov. CPKI

BRG comm. as a % of BCM Total Comm. paid. T-Date = 26% YTD = 19%
--

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)