



Daily Compliance Activity Report

Trade Date: 09/02/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FIRST INV MGMT CORP	029	AEP	B	11,000	30.85	n/a	n/a	550.00	5.0
CATAPULT	040	AGCO	B	25,000	28.63	29-Jun	29-Jul	1,250.00	5.0
STANDARD PACIFIC CAPITAL	040	AKS	S	105,000	19.34	n/a	n/a	5,250.00	5.0
B BUCK CAPITAL MGMT		AN	B	50,000	17.57	3-Aug	5-Aug	non-brg	4.0
STANDARD PACIFIC CAPITAL	040	APOL	B	20,000	64.45	n/a	n/a	1,000.00	5.0
SCOPUS FUND	041	ARM	B	30,000	6.99	n/a	n/a	1,500.00	5.0
f JONATHAN RICHARD HAR	FID	AXLIL	B	5	0.40	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		AXL	B	25,000	5.29	19-Aug	2-Sep	non-brg	0.8
LAGRANGE CAP ADV	048	AXL	B	10,000	5.30	19-Aug	2-Sep	500.00	5.0
B BUCK CAPITAL MGMT		BAC	B	15,000	16.28	11-May	1-Sep	non-brg	0.8
CLOVIS CAPITAL	012	BBBY	SS	50,000	35.47	n/a	n/a	2,500.00	5.0
BALYASNY ASSET MGMT	044	BDN	S	40,000	9.63	n/a	n/a	1,600.00	4.0
BALYASNY ASSET MGMT	044	BEN	C	30,000	91.00	30-Jul	2-Sep	1,500.00	5.0
f ALANA J A MADIGAN-SI	FID	BGZ	S	35	25.98	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BONT	B	53,886	6.78	n/a	6-Feb	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		CHRS	S	200,000	4.63	n/a	22-Mar	non-brg	3.0
BUCK CAPITAL MGMT		CHRS	S	50,000	4.68	n/a	22-Mar	non-brg	3.0
KEVIN MICHAEL O'GORM	FID	CITPRC	S	1000	6.45	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		COF	B	8,000	35.06	10-Aug	2-Sep	non-brg	0.8
BUCK CAPITAL MGMT		COLM	C	5,000	38.18	n/a	n/a	non-brg	4.0
KEVIN MICHAEL O'GORM	FID	COSI	B	10000	0.68	n/a	n/a	0.00	0.0
EGS ASSOCIATES LP	091	CPKI	B	5,000	13.55	7-Aug	7-Aug	300.00	6.0
JONATHAN RICHARD HAR	FID	CVO	B	540	5.72	n/a	n/a	0.00	0.0
NEIL M STRATTON	FID	DDE	B	300	5.50	n/a	n/a	0.00	0.0
STRATTON PAR TNERSHI	FID	DDE	B	300	5.50	n/a	n/a	0.00	0.0
JP MORGAN VENTURES	046	DELL	S	18,200	15.40	n/a	n/a	910.00	5.0
BUCK CAPITAL MGMT		DIA	SS	45,000	93.04	n/a	n/a	non-brg	0.8
DSG CAPITAL	225	DVN	B	1,000	61.68	5-Aug	28-Aug	50.00	5.0
DIAMONDBACK CAP MGMT	232	FDX	B	10,000	68.51	n/a	n/a	500.00	5.0
FRANCIS MICHAEL MCCA	FID	FLOW	B	10000	2.42	n/a	n/a	0.00	0.0
JOSEPH CIRO AMATURO	FID	FLOW	B	10000	2.38	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	FL	B	30,000	10.58	27-Aug	27-Aug	1,200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		F	B	50,000	6.95	27-Aug	2-Sep	non-brg	0.8
LEVEL GLOBAL/CHRIS C	041	GCI	SS	100,000	7.92	n/a	n/a	3,000.00	3.0
f ROBERT M DANIELS	FID	GSI	B	500	3.55	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	HBI	B	40,000	19.60	n/a	n/a	1,600.00	4.0
HEALTHCOR MGMT	038	HMA	SS	100,000	6.40	n/a	31-Aug	5,000.00	5.0
BUCK CAPITAL MGMT	001	HOT	SS	70,000	27.85	n/a	n/a	2,800.00	4.0
f ROBERT M DANIELS	FID	HOV	B	300	4.54	n/a	n/a	0.00	0.0
LONG OAR GLOBAL INV	040	IPI	B	6,300	23.89	n/a	n/a	252.00	4.0
BUCK CAPITAL MGMT	001	JCG	S	20,000	31.99	n/a	30-Jan	800.00	4.0
SCOPUS FUND	041	JCP	S	50,000	29.53	13-Apr	2-Sep	2,500.00	5.0
f MICHAEL THOMAS NOLAN	FID	JEF	B	300	22.79	n/a	n/a	0.00	0.0
f ROBERT M DANIELS	FID	JNS	B	200	12.23	16-Jul	2-Sep	0.00	0.0
B BUCK CAPITAL MGMT		JOSB	S	102,300	44.92	n/a	n/a	non-brg	0.8
KLEINHEINZ CAP PART	031	JOSB	B	40,000	44.58	n/a	n/a	2,000.00	5.0
WESTERN RESERVE	031	JPM	S	1,000	41.44	7-Aug	17-Aug	50.00	5.0
f MANNY I KORMAN	FID	LNCR	B	1400	25.85	n/a	31-Aug	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FIRST INV MGMT CORP	029	LZ	S	6,000	63.16	n/a	n/a	300.00	5.0
EATON VANCE MGMT	039	MA	B	83,406	200.82	30-Jul	2-Sep	2,502.18	3.0
MILLENIUM PARTNERS	028	MGM	S	50,000	7.71	n/a	4-Aug	2,000.00	4.0
HOLDEN CAPITAL MGMT	035	MPEL	SS	50,000	5.84	n/a	26-Aug	2,500.00	5.0
HOLDEN CAPITAL MGMT	035	MPEL	S	6,000	5.84	n/a	26-Aug	300.00	5.0
HILLTOP PARK ASSOC	041	MSFT	S	100,000	23.84	n/a	3-Apr	5,000.00	5.0
PROSPECTOR PARTNERS LLC	036	MXGL	B	10,000	20.20	n/a	n/a	400.00	4.0
f NEIL M STRATTON	FID	MXM	B	245	9.75	n/a	n/a	0.00	0.0
f STRATTON PAR TNERSHI	FID	MXM	B	245	9.75	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	M	B	50,000	14.82	n/a	2-Sep	2,000.00	4.0
SUFFOLK CAPITAL MGMT	040	NKE	S	25,200	53.63	n/a	n/a	1,008.00	4.0
FIRST INV MGMT CORP	029	NOK	B	24,400	13.25	n/a	n/a	1,220.00	5.0
B BUCK CAPITAL MGMT		NTY	S	50,000	36.61	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		NXXI	S	100,000	0.14	n/a	n/a	non-brg	0.5
DIAMONDBACK CAP MGMT	232	OI	B	25,000	32.64	n/a	n/a	1,250.00	5.0
BENCHMARK	028	OLN	S	5,000	16.01	n/a	20-Jun	250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	OXM	B	20,000	14.01	n/a	n/a	800.00	4.0
IVORY CAPITAL	034	PCS	S	100,000	7.87	n/a	n/a	5,000.00	5.0
Ⓕ BUCK CAPITAL MGMT		PLCE	B	12,500	28.61	n/a	27-Aug	non-brg	0.8
STANDARD PACIFIC CAPITAL	040	POT	SS	13,000	87.62	n/a	n/a	650.00	5.0
Ⓕ BUCK CAPITAL MGMT		PSS	B	12,190	14.63	n/a	n/a	non-brg	0.8
BUCK CAPITAL MGMT	001	PVH	B	10,000	37.65	21-Aug	2-Sep	400.00	4.0
LEVEL GLOBAL/CHRIS C	041	PVH	B	50,000	37.87	21-Aug	2-Sep	1,500.00	3.0
HIGHBRIDGE CAPITAL	038	RF	SS	125,000	5.28	n/a	n/a	3,750.00	3.0
RBC CAPITAL MARKETS	040	RGR	SS	25,000	12.54	n/a	n/a	1,000.00	4.0
Ⓕ BUCK CAPITAL MGMT		SII	B	10,000	25.56	n/a	n/a	non-brg	4.0
JP MORGAN VENTURES	046	SKX	S	32,200	17.40	n/a	13-Mar	1,610.00	5.0
Ⓕ JOSEPH CIRO AMATURO	FID	SPHIX	S	11563	7.76	n/a	n/a	0.00	0.0
Ⓕ BUCK CAPITAL MGMT		SPY	SS	45,000	99.95	n/a	n/a	non-brg	0.8
RBC CAPITAL MARKETS	040	SPY	B	30,000	100.04	n/a	n/a	1,200.00	4.0
DIAMONDBACK CAP MGMT	232	STLD	B	25,000	15.97	n/a	n/a	1,250.00	5.0
Ⓕ ANDREW SINCLAIR	FID	SWGIB	B	50	0.24	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f ANDREW SINCLAIR	FID	SWGIE	B	100	0.07	n/a	n/a	0.00	0.0
WESTERN RESERVE	031	SWHC	B	2,000	5.26	n/a	n/a	100.00	5.0
f JONATHAN RICHARD HAR	FID	TBT	B	44	45.36	n/a	n/a	0.00	0.0
LONG OAR GLOBAL INV	040	TEN	SS	35,600	13.95	n/a	n/a	1,424.00	4.0
BUCK CAPITAL MGMT	001	TGT	B	50,000	46.41	19-Aug	2-Sep	2,000.00	4.0
BALYASNY ASSET MGMT	044	TROW	C	30,000	43.03	n/a	2-Sep	1,500.00	5.0
HARBORWATCH/DIAMBACK	232	TYC	C	20,000	31.25	30-Jul	30-Jul	1,000.00	5.0
f ANDREW SINCLAIR	FID	UNEAP	B	20	0.35	n/a	n/a	0.00	0.0
f ALANA J A MADIGAN-SI	FID	UNG	B	90	9.93	n/a	n/a	0.00	0.0
WESTERN RESERVE	031	USB	S	1,000	21.11	n/a	n/a	50.00	5.0
STANDARD PACIFIC CAPITAL	040	WFC	SS	50,000	26.21	n/a	n/a	2,500.00	5.0
B BUCK CAPITAL MGMT		WFMI	SS	50,400	27.22	n/a	n/a	non-brg	0.8
BALYASNY ASSET MGMT	044	WL	B	45,000	13.13	n/a	n/a	2,250.00	5.0
EPOCH INV MGMT	030	WRC	B	78,700	36.90	28-Jul	2-Sep	2,361.00	3.0
HOLDEN CAPITAL MGMT	035	WYNN	SS	20,000	52.25	n/a	26-Aug	1,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
STANDARD PACIFIC CAPITAL	040	X	S	53,000	41.45	n/a	n/a	2,650.00	5.0
f KEVIN MICHAEL O'GORM	FID	ZLC	S	2000	5.60	n/a	n/a	0.00	0.0
HOLDEN CAPITAL MGMT	035	ZUMZ	SS	50,000	12.03	n/a	n/a	2,500.00	5.0
TOTAL (Trade Date):								91,837.18	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/01	1798 CAPITAL MGMT	040	ANF	B	15,000	31.83	3-Jun	27-Aug	750.00 5.0
AO,CRT	09/01	1798 CAPITAL MGMT	040	ANF	B	15,000	31.83	3-Jun	27-Aug	750.00 5.0
AO,CRT	09/01	CONIFER/ISF	025	C	S	25,000	4.66	n/a	17-Aug	750.00 3.0
AO,CXL	09/01	CONIFER/ISF	025	C	S	25,000	4.66	n/a	17-Aug	1250.00 5.0
AO,CRT	09/01	BRENCOURT	028	F	B	50,000	7.63	27-Aug	2-Sep	1500.00 3.0
AO,CXL	09/01	BRENCOURT	028	F	B	50,000	7.63	27-Aug	2-Sep	2500.00 5.0
AO,CXL	09/01	IRONBOUND CAPITAL	012	FOR	S	13,200	14.46	6-Aug	6-Aug	660.00 5.0
AO,CRT	09/01	IRONBOUND CAPITAL	012	FOR	S	13,200	14.46	6-Aug	6-Aug	396.00 3.0
AO,CRT	09/01	LONG OAR GLOBAL INV	040	GTI	SS	24,500	13.73	n/a	n/a	980.00 4.0
AO,CXL	09/01	LONG OAR GLOBAL INV	040	GTI	SS	24,500	13.73	n/a	n/a	1225.00 5.0
AO,CXL	09/01	1798 CAPITAL MGMT	040	JCP	B	25,000	29.80	13-Apr	2-Sep	1250.00 5.0
AO,CRT	09/01	1798 CAPITAL MGMT	040	JCP	B	25,000	29.80	13-Apr	2-Sep	1250.00 5.0
AO,CRT	09/01	COBALT	041	KWK	SS	50,000	10.46	n/a	n/a	2500.00 5.0
AO,CXL	09/01	COBALT	041	KWK	SS	50,000	10.46	n/a	n/a	2000.00 4.0
AO,CRT	08/25	EMERSON CAPITAL MGMT	048	SPLS	B	8,000	21.80	n/a	27-Jul	320.00 4.0
AO,CXL	08/25	EMERSON CAPITAL MGMT	048	SPLS	B	8,000	21.80	n/a	27-Jul	240.00 3.0
AO,CXL	09/01	1798 CAPITAL MGMT	040	TGT	B	25,000	46.49	19-Aug	2-Sep	1250.00 5.0
AO,CRT	09/01	1798 CAPITAL MGMT	040	TGT	B	25,000	46.49	19-Aug	2-Sep	1250.00 5.0
AO,CXL	09/01	1798 CAPITAL MGMT	040	WTW	SS	5,000	26.40	n/a	n/a	250.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CRT	09/01	1798 CAPITAL MGMT	040	WTW	SS	5,000	26.40	n/a n/a	250.00 5.0
AO,CXL	09/01	1798 CAPITAL MGMT	040	YUM	SS	20,000	33.70	n/a 15-Jul	1000.00 5.0
AO,CRT	09/01	1798 CAPITAL MGMT	040	YUM	SS	20,000	33.70	n/a 15-Jul	1000.00 5.0

TOTAL (AO, CXL, CRT) : -1,429.00

TOTAL (Trade Date): 91,837.18
TOTAL (AO, CXL, CRT): -1,429.00

TOTAL (RUN DATE) / NFS: 90,408.18

MRI Securities with Trade Activity on 2-Sep.
NONE

MRI Securities without Trade Activity on 2-Sep.
LOW

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 42%
YTD = 21%

<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)