



Daily Compliance Activity Report

Trade Date: 12/11/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f CHRISTOPHER ROBERT C	FID	AAPL	B	25	194.65	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	ADI	B	3000	30.52	n/a	n/a	0.00	0.0
DENVER INST. ADV	046	AEO	B	17,200	16.27	n/a	4-Dec	688.00	4.0
SCOGGIN CAP	039	AGU	SS	33,000	63.27	n/a	n/a	990.00	3.0
HARBORWATCH/DIAMBACK	232	AKS	SS	20,000	20.43	n/a	n/a	1,000.00	5.0
f DAVID GEORGE BUCK	FID	AMG	B	1000	64.64	n/a	4-Dec	0.00	0.0
f MARC PAUL LUCHANSKY	FID	AMR	S	1000	7.68	n/a	n/a	0.00	0.0
PLATTE RIVER CAPITAL	240	AMR	B	20,000	7.64	n/a	n/a	800.00	4.0
AVESTA CAP	229	AVP	B	50,000	33.70	n/a	7-Dec	2,000.00	4.0
DC CAPITAL	044	AXL	S	20,000	7.12	n/a	2-Nov	1,000.00	5.0
GLOBAL 56 LLC	060	AXL	B	2,500	7.05	n/a	2-Nov	125.00	5.0
HIGHFIELDS CAP MGMT	039	AXP	S	150,000	40.46	n/a	9-Dec	6,000.00	4.0
f ANDREW SINCLAIR	FID	AZWBN	S	40	0.56	n/a	n/a	0.00	0.0
HARBORWATCH/DIAMBACK	232	BA	B	20,000	55.51	n/a	11-Dec	1,000.00	5.0
ST OF MICHIAN	047	BEN	S	75,000	108.22	n/a	10-Dec	2,250.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f ANDREW SINCLAIR	FID	BGZ	B	100	17.91	n/a	n/a	0.00	0.0
f ANDREW SINCLAIR	FID	BGZ	S	100	17.73	n/a	n/a	0.00	0.0
PLATTE RIVER CAPITAL	240	BP	S	13,000	56.39	n/a	n/a	520.00	4.0
f CHRISTOPHER ROBERT C	FID	BUFHX	B	467	10.70	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BWIN AV	B	7,500	57.40	n/a	n/a	non-brg	8.6
B BUCK CAPITAL MGMT		CAL	S	95,580	17.21	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CCM	B	5,000	11.00	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		CCM	S	5,000	9.84	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		CHA	C	10,000	42.85	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	COH	B	10,000	35.94	n/a	21-Oct	400.00	4.0
B BUCK CAPITAL MGMT		CSTR	B	50,000	24.57	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CTAS	C	30,000	29.28	n/a	n/a	non-brg	2.5
JMP ASSET MGMT	210	CY	SS	15,000	10.42	n/a	n/a	750.00	5.0
B BUCK CAPITAL MGMT		DAL	S	100,000	11.16	n/a	n/a	non-brg	4.0
MASTERS CAPITAL MANAGE	091	DAL	B	27,600	10.51	n/a	n/a	1,104.00	4.0
B BUCK CAPITAL MGMT		DBRN	S	40,000	21.04	n/a	n/a	non-brg	4.0
f JASON ERIC COHEN	FID	DHI	B	200	9.91	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		DLTR	B	10,000	48.62	n/a	1-Dec	non-brg	4.0
HARBORWATCH/DIAMBACK	232	DOW	SS	30,000	26.15	n/a	18-Nov	1,500.00	5.0
PERSHING SQUARE	029	EMC	S	332,300	16.67	n/a	n/a	13,292.00	4.0
FIRST NEW YORK LEDDY	035	ETFC	B	20,000	1.65	n/a	n/a	1,200.00	6.0
f CAROL ANNE LACHENAU	FID	FDRXX	S	7934	1.00	n/a	n/a	0.00	0.0
f DOUGLAS ROGERS	FID	FOR	B	445	20.77	n/a	8-Dec	0.00	0.0
RAINIER INV MGMT	035	FST	S	24,180	20.03	n/a	n/a	1,209.00	5.0
⚡ BUCK CAPITAL MGMT		FUQI	B	20,000	18.86	n/a	n/a	non-brg	2.5
f CHRISTOPHER ROBERT C	FID	F	B	500	9.01	n/a	2-Dec	0.00	0.0
BUCK CAPITAL MGMT	001	GCO	B	20,000	24.62	n/a	n/a	800.00	4.0
⚡ BUCK CAPITAL MGMT		GIII	S	10,000	21.13	n/a	n/a	non-brg	0.8
⚡ BUCK CAPITAL MGMT		GIII	S	10,000	21.13	n/a	n/a	non-brg	0.8
⚡ BUCK CAPITAL MGMT		GIII	S	5,000	20.52	n/a	n/a	non-brg	0.8
⚡ BUCK CAPITAL MGMT		GIII	S	5,000	20.52	n/a	n/a	non-brg	0.8
ST OF MICHIAN	047	GS	B	30,000	166.58	n/a	18-Nov	900.00	3.0
⚡ BUCK CAPITAL MGMT		GYMB	S	10,000	41.42	n/a	4-Dec	non-brg	4.0
⚡ BUCK CAPITAL MGMT		HD	S	143,600	28.26	n/a	18-Nov	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	216	IPI	B	3,500	30.39	n/a	n/a	175.00	5.0
ST OF MICHIAN	047	IVZ	B	105,000	21.48	n/a	10-Dec	3,150.00	3.0
WAGONHOUND/NIC	048	IVZ	S	59,810	21.30	n/a	10-Dec	2,392.40	4.0
EXIS CAPITAL	044	JNJ	S	20,000	64.81	n/a	n/a	1,000.00	5.0
DENVER INST. ADV	046	JOSB	B	2,000	39.70	n/a	n/a	80.00	4.0
KARSCH CAPITAL	034	JPM	B	126,800	41.16	n/a	4-Dec	3,804.00	3.0
PARTNER REINSURANCE	033	KEY	S	152,100	6.07	n/a	n/a	6,084.00	4.0
ROYCE TRADING	216	KMT	B	4,500	24.35	n/a	18-Nov	225.00	5.0
f DAVID GEORGE BUCK	FID	LLYAL	B	30	0.15	n/a	n/a	0.00	0.0
f NICOLAS EVAN PAKLER	FID	LNJ	B	170	20.94	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	MA	S	50,000	244.48	11-Dec	11-Dec	2,500.00	5.0
B BUCK CAPITAL MGMT		MFB	S	10,000	16.08	n/a	n/a	non-brg	4.0
SANDLER CAPITAL	226	MMM	B	70,000	80.83	11-Dec	11-Dec	4,200.00	6.0
f CHRISTOPHER ROBERT C	FID	MON	B	50	82.87	n/a	9-Dec	0.00	0.0
CAERUS GLOBAL	041	MPEL	S	25,000	3.83	n/a	18-Nov	1,000.00	4.0
B BUCK CAPITAL MGMT		MVRX	C	100,000	167.60	n/a	n/a	non-brg	16.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	M	B	80,000	16.47	n/a	4-Dec	3,200.00	4.0
Ⓐ BUCK CAPITAL MGMT		M	B	70,000	16.52	n/a	4-Dec	non-brg	4.0
COUGAR TRADING	044	M	B	15,000	16.30	n/a	4-Dec	750.00	5.0
EGS ASSOCIATES LP	091	M	B	4,000	16.35	n/a	4-Dec	240.00	6.0
FIRST NY SEC/CHRIS	041	M	B	15,000	16.76	n/a	4-Dec	750.00	5.0
PHILADELPHIA FINANCIAL	033	OZM	B	40,353	13.41	n/a	10-Dec	1,614.12	4.0
TRELLUS PARTNERS LP	028	PAG	B	40,000	16.01	n/a	2-Nov	2,000.00	5.0
GEORGE WEISS	034	PFE	S	125,000	18.36	n/a	n/a	5,000.00	4.0
RBC CAPITAL MARKETS	040	PKG	S	25,000	21.80	n/a	22-Oct	1,000.00	4.0
Ⓐ BUCK CAPITAL MGMT		PLCE	S	48,540	29.25	11-Dec	11-Dec	non-brg	4.0
Ⓐ BUCK CAPITAL MGMT		PLCE	S	60,000	29.10	11-Dec	11-Dec	non-brg	4.0
Ⓐ BUCK CAPITAL MGMT		PLCE	S	80,000	29.52	11-Dec	11-Dec	non-brg	0.8
WAGONHOUND/NIC	048	PLCE	B	4,995	29.07	11-Dec	11-Dec	199.80	4.0
Ⓐ BUCK CAPITAL MGMT		PRTY LN	B	100,000	4.13	n/a	n/a	non-brg	0.6
Ⓕ CHRISTOPHER ROBERT C	FID	PTTDX	B	276	10.86	n/a	n/a	0.00	0.0
FIRST NEW YORK NICK	029	Q	S	30,000	4.09	n/a	n/a	1,500.00	5.0
CHART WELL ADV	028	RA	B	53,397	13.50	n/a	n/a	2,135.88	4.0
Ⓕ DAVID GEORGE BUCK	FID	RXQW	S	20	0.95	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	RX	B	5,000	19.94	n/a	n/a	350.00	7.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	DAVID GEORGE BUCK	FID	RX	B	700	20.08	n/a	n/a	0.00	0.0
	APEX CAPITAL MGMT.	091	SBUX	C	250,000	22.38	n/a	6-Nov	10,000.00	4.0
B	BUCK CAPITAL MGMT		SBUX	C	70,000	22.41	n/a	6-Nov	non-brg	4.0
f	EDWARD W WHEELER	FID	SCSC	B	500	23.54	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		SHOO	B	30,000	40.12	n/a	n/a	non-brg	2.5
	T. ROWE PRICE	033	SHW	B	48,700	62.70	n/a	9-Nov	1,948.00	4.0
	ARCHON PARTNERS	032	SIG	SS	10,000	25.02	n/a	n/a	300.00	3.0
f	DAVID GEORGE BUCK	FID	SPG	S	1000	75.79	n/a	n/a	0.00	0.0
f	NICOLAS EVAN PAKLER	FID	SPLS	S	150	24.32	n/a	n/a	0.00	0.0
	JP MORGAN VENTURES	046	SPY	SS	15,000	110.89	n/a	n/a	750.00	5.0
	CASTLE ARK	031	SWN	B	203,230	41.78	n/a	4-Dec	12,193.80	6.0
	ROYCE TRADING	216	TBI	B	4,000	13.76	n/a	n/a	200.00	5.0
	BUCK CAPITAL MGMT	001	TGT	B	100,000	46.52	n/a	3-Dec	4,000.00	4.0
	ARMATURE CAPITAL	041	TIN	SS	25,000	20.10	n/a	22-Oct	1,000.00	4.0
	BUCK CAPITAL MGMT	001	TLB	B	200,000	8.26	n/a	n/a	6,000.00	3.0
B	BUCK CAPITAL MGMT		TLB	B	100,000	8.36	n/a	n/a	non-brg	2.5
B	BUCK CAPITAL MGMT		TLB	B	75,000	8.37	n/a	n/a	non-brg	0.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		TSCO	C	30,000	49.76	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT		UAUA	S	100,000	11.02	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		URBN	B	10,000	33.48	n/a	n/a	non-brg	4.0
PARTNER REINSURANCE	033	VTR	B	2,450	43.69	n/a	n/a	98.00	4.0
DAVID GEORGE BUCK	FID	WFC	S	2000	25.06	n/a	9-Dec	0.00	0.0
PARTNER REINSURANCE	033	WFC	B	71,950	25.33	n/a	9-Dec	2,878.00	4.0
PARTNER REINSURANCE	033	WFT	S	36,850	15.84	n/a	n/a	1,474.00	4.0
PARTNER REINSURANCE	033	WMB	B	9,000	19.61	n/a	n/a	360.00	4.0
PARTNER REINSURANCE	033	WM	B	6,300	33.22	n/a	n/a	252.00	4.0
ROYCE TRADING	216	WRC	B	3,000	42.68	n/a	5-Nov	150.00	5.0
BUCK CAPITAL MGMT		WSM	C	100,000	21.83	n/a	n/a	non-brg	4.0
PARTNER REINSURANCE	033	WU	B	10,800	19.12	n/a	n/a	432.00	4.0
PARTNER REINSURANCE	033	WY	B	2,000	41.91	n/a	2-Nov	80.00	4.0
BUCK CAPITAL MGMT		XLY	C	275,000	29.64	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		XRT	C	24,600	35.37	n/a	n/a	non-brg	0.8
JP MORGAN VENTURES	046	XRT	B	20,000	35.22	n/a	n/a	1,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PARTNER REINSURANCE	033	X	B	100	46.89	n/a	n/a	4.00	4.0
TOTAL (Trade Date):							123,998.00		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	12/10	WOOSTER CAPITAL	035	AXL	B	100,000	7.19	n/a	2-Nov	3000.00 3.0
AO,CXL	12/10	WOOSTER CAPITAL	035	AXL	B	100,000	7.19	n/a	2-Nov	5000.00 5.0
AO,	12/10	COLUMBUS CIRCLE	036	EQIX	B	40	101.50	n/a	n/a	1.60 4.0
AO,CXL	12/10	WEISS PECK	040	FL	B	4,400	9.70	n/a	23-Nov	176.00 4.0
AO,	12/10	WEISS PECK	040	FL	B	4,400	9.70	n/a	23-Nov	0.00 0.0
AO,CXL	12/10	EXIS CAPITAL	044	GES	SS	1,900	43.25	n/a	n/a	0.00 0.0
AO,CRT	12/10	EXIS CAPITAL	044	GES	SS	1,900	43.25	n/a	n/a	95.00 5.0
AO,CXL	12/09	ST OF MICHIAN	047	MGA	S	67,900	47.52	n/a	n/a	2037.00 3.0
AO,CRT	12/09	ST OF MICHIAN	047	MGA	S	67,900	47.52	n/a	n/a	2037.00 3.0
AO,CRT	12/10	LISTED ERR	099	NOK	B	25,000	12.68	n/a	n/a	0.00 0.0
AO,	12/10	PHILADELPHIA FINANCIAL	033	OZM	B	21,000	12.73	n/a	10-Dec	840.00 4.0
AO,CXL	12/10	FIRST NEW YORK LEDDY	035	Q	B	10,000	4.13	n/a	n/a	600.00 6.0
AO,CRT	12/10	FIRST NEW YORK NICK	029	Q	B	10,000	4.13	n/a	n/a	500.00 5.0
AO,	12/10	EXIS CAPITAL	044	SSO	SS	3,800	37.41	n/a	n/a	190.00 5.0
AO,CRT	12/10	EXIS CAPITAL	044	SSO	SS	6,200	37.41	n/a	n/a	310.00 5.0
AO,CXL	12/10	EXIS CAPITAL	044	SSO	SS	10,000	37.41	n/a	n/a	500.00 5.0
AO,CXL	12/09	ST OF MICHIAN	047	SWY	S	390,600	20.97	n/a	n/a	11718.00 3.0
AO,CRT	12/09	ST OF MICHIAN	047	SWY	S	390,600	20.97	n/a	n/a	11718.00 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/09	ST OF MICHIAN	047	TD	S	85,000	61.16	n/a	n/a	2550.00 3.0
AO,CRT	12/09	ST OF MICHIAN	047	TD	S	85,000	61.16	n/a	n/a	2550.00 3.0
TOTAL (AO, CXL, CRT) :										-1,339.40

TOTAL (Trade Date):	123,998.00
TOTAL (AO, CXL, CRT):	-1,339.40

TOTAL (RUN DATE) / NFS:	122,658.60
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MRI Securities with Trade Activity on 11-Dec.
MA, MMM, PLCE

MRI Securities without Trade Activity on 11-Dec.
V

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 18%
YTD = 20%

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)