



Daily Compliance Activity Report

Trade Date: 05/28/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		ABG	S	33,200	9.13	n/a	30-Apr	non-brg	1.0
HEALTHCOR MGMT	038	AGN	B	100,000	43.39	24-Mar	27-May	5,000.00	5.0
JOHN CAREY MAGUIRE	FID	ALV	S	200	25.16	12-Mar	22-Apr	0.00	0.0
WEISS PECK	040	ANF	SS	8,900	28.02	16-Apr	18-May	445.00	5.0
BUCK CAPITAL MGMT		AVP	SS	150,000	25.64	25-Feb	6-May	non-brg	4.0
BUCK CAPITAL MGMT		BBBY	C	20,000	27.54	n/a	n/a	non-brg	4.0
COLUMBIA PARTNERS	028	BDN	B	84,596	6.92	n/a	n/a	2,537.88	3.0
BUCK CAPITAL MGMT		BIG	S	20,000	23.14	28-May	28-May	non-brg	4.0
CIRCLE T/SES PART	035	BKC	SS	25,000	16.31	16-Apr	29-Apr	1,250.00	5.0
JOHN CAREY MAGUIRE	FID	BWA	S	200	30.20	1-May	1-May	0.00	0.0
PLATTE RIVER CAPITAL	240	CHS	S	23,000	9.33	n/a	30-Jan	920.00	4.0
BUCK CAPITAL MGMT		CMG	C	5,000	79.06	14-May	14-May	non-brg	1.0
ROTHSCHILD ASSET	040	CMP	S	7,000	52.16	n/a	n/a	315.00	4.5
BUCK CAPITAL MGMT		CRI	S	20,000	21.51	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STELLIAM INV ADV	034	CTX	B	25,000	8.25	n/a	n/a	750.00	3.0
⚡ BUCK CAPITAL MGMT		DBD	B	15,000	25.23	n/a	5-May	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DHI	B	20,000	8.73	n/a	n/a	non-brg	3.0
DALTON GREINER	012	DLTR	S	12,300	44.65	8-May	27-May	615.00	5.0
THIRD COAST CAPITAL	035	DSW	B	10,000	11.66	28-May	28-May	500.00	5.0
BUCK CAPITAL MGMT	001	FDO	B	20,000	30.37	5-Mar	18-May	800.00	4.0
⚡ BUCK CAPITAL MGMT		FOR	B	13,054	11.65	12-Feb	8-May	non-brg	1.0
LISTED ERR	099	FRX	B	11,600	22.92	22-Apr	26-May	0.00	0.0
LISTED ERR	099	FRX	S	11,600	22.93	22-Apr	26-May	0.00	0.0
BMO NESBITT BURNS	041	F	B	50,000	5.43	n/a	12-May	2,500.00	5.0
SCOPUS FUND	041	F	B	50,000	5.44	n/a	12-May	2,500.00	5.0
BUCK CAPITAL MGMT	001	GES	B	30,000	24.47	n/a	n/a	1,200.00	4.0
f ROBERT M DANIELS	FID	GE	B	200	13.12	n/a	n/a	0.00	0.0
f MARK MEGALLI	FID	GGWPQ	B	8000	1.62	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		GLW	B	60,000	14.15	28-May	28-May	non-brg	4.0
⚡ BUCK CAPITAL MGMT		GMCR	C	10,000	81.97	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		HOG	SS	150,000	16.37	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		HOT	C	70,000	23.02	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		IGT	B	100,000	16.24	n/a	27-Apr	non-brg	4.0
ß BUCK CAPITAL MGMT		JAS	S	150,000	21.49	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		JAS	S	5,000	21.53	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		JAS	S	58,000	21.39	n/a	n/a	non-brg	1.0
PRIMECAP MGMT	048	JBLU	B	16,200	4.36	n/a	n/a	486.00	3.0
BENCHMARK	028	JCG	SS	10,000	20.44	n/a	30-Jan	400.00	4.0
ß BUCK CAPITAL MGMT		JCG	C	148,739	23.46	n/a	30-Jan	non-brg	1.0
BASIX	033	JWN	SS	18,000	19.72	20-Feb	15-May	540.00	3.0
BUCK CAPITAL MGMT	001	JWN	B	20,000	20.04	20-Feb	15-May	800.00	4.0
f JOHN MICHAEL ZOLIDIS	FID	KMX	B	1000	11.17	n/a	10-Jan	0.00	0.0
BNP PARIBAS SEC	040	KR	S	25,000	22.01	n/a	n/a	1,000.00	4.0
THE JAY GOLDMAN	034	KSS	B	15,000	42.87	8-May	15-May	600.00	4.0
ß BUCK CAPITAL MGMT		LEN	B	20,000	8.87	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		LVS	B	100,000	9.60	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		LVS	B	100,000	9.72	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		LVS	B	125,000	9.78	n/a	n/a	non-brg	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CASTLE ARK	031	MET	B	120,150	30.91	n/a	n/a	7,209.00	6.0
⚡ BUCK CAPITAL MGMT		MNRO	B	10,000	26.00	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		MPEL	S	75,000	6.10	n/a	n/a	non-brg	3.0
⚡ BUCK CAPITAL MGMT		MVRX	SS	30,000	120.30	n/a	n/a	non-brg	12.0
BARCLEYS CAP (OLD LEHM)	041	M	SS	25,000	11.16	n/a	14-May	1,000.00	4.0
THE JAY GOLDMAN	034	M	S	50,000	11.42	n/a	14-May	2,000.00	4.0
⚡ BUCK CAPITAL MGMT		PERY	S	10,000	8.10	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		PERY	S	13,135	8.43	n/a	n/a	non-brg	0.8
⚡ BUCK CAPITAL MGMT		PERY	S	13,400	8.06	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		PERY	S	19,500	8.31	n/a	n/a	non-brg	1.5
⚡ BUCK CAPITAL MGMT		PERY	S	50,000	8.19	n/a	n/a	non-brg	2.5
CR INTRINIC INVESTMENT	044	PFE	S	39,000	14.63	n/a	31-Mar	1,950.00	5.0
⚡ BUCK CAPITAL MGMT		PG	C	60,000	51.80	12-Mar	4-May	non-brg	4.0
MILLRACE FUND LP	028	PRX	S	27,000	13.17	6-May	26-May	810.00	3.0
f NICOLAS EVAN PAKLER	FID	RAD	B	2700	1.14	n/a	n/a	0.00	0.0
BASIX	033	RL	SS	8,000	52.75	n/a	28-May	240.00	3.0
BUCK CAPITAL MGMT	001	RL	B	30,000	52.75	n/a	28-May	1,200.00	4.0
⚡ BUCK CAPITAL MGMT		RYL	B	10,000	17.10	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f KEVIN MICHAEL O'GORM	FID	SBUX	B	1000	13.50	20-Apr	30-Apr	0.00	0.0
B BUCK CAPITAL MGMT		SUP	C	6,000	11.78	27-Feb	11-May	non-brg	1.0
f ANDREW SINCLAIR	FID	SZCUW	B	25	1.72	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	TBT	B	1000	56.00	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		TEX	B	100,000	13.54	13-Feb	28-Apr	non-brg	4.0
B BUCK CAPITAL MGMT		TEX	B	25,000	13.46	13-Feb	28-Apr	non-brg	4.0
B BUCK CAPITAL MGMT		TEX	B	25,000	13.49	13-Feb	28-Apr	non-brg	4.0
COUGAR TRADING	044	TJX	B	5,000	28.69	4-May	20-May	250.00	5.0
SIGMA CAPITAL ASSOCIATES	041	TJX	S	50,000	28.94	4-May	20-May	2,000.00	4.0
COUGAR TRADING	044	UA	B	5,000	24.44	29-Apr	29-Apr	250.00	5.0
RAIL-SPLITTER	031	UA	B	19,100	23.72	29-Apr	29-Apr	955.00	5.0
f ANDREW SINCLAIR	FID	UNEVO	S	20	2.60	n/a	n/a	0.00	0.0
f JASON ERIC COHEN	FID	UPYRB	B	6	0.44	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		URBN	B	10,000	19.72	n/a	30-Jan	non-brg	4.0
AVESTA CAP	229	WMT	SS	100,000	49.42	11-May	14-May	4,000.00	4.0
B BUCK CAPITAL MGMT		WRC+FF [WRC]	SS	1,000	1.35	n/a	n/a	non-brg	300.0
B BUCK CAPITAL MGMT		WRC	S	25,000	30.22	13-May	13-May	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		WRC	S	6,514	30.76	13-May	13-May	non-brg	4.0
⌘ BUCK CAPITAL MGMT		WRC	S	8,486	29.99	13-May	13-May	non-brg	1.0
COUGAR TRADING	044	WRC	S	5,000	30.54	13-May	13-May	250.00	5.0
⌘ BUCK CAPITAL MGMT		XRT	SS	150,000	26.43	n/a	n/a	non-brg	2.0
TOTAL (Trade Date) :								45,272.88	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	05/27	PEQUOT CAPITAL MGMT	070	BWA	B	26,900	31.68	1-May	1-May	1076.00 4.0
AO,CXL	05/27	GLENHILL CAPITAL	212	DDUP	B	300,000	24.91	n/a	n/a	15000.00 5.0
AO,	05/27	GLENHILL CAPITAL	212	DDUP	B	100,000	24.91	n/a	n/a	5000.00 5.0
AO,CRT	05/27	GLENHILL CAPITAL	212	DDUP	B	200,000	24.91	n/a	n/a	10000.00 5.0
AO,CXL	05/27	MORGAN BANK /JPM	070	EMC	B	1,645	12.29	n/a	n/a	49.35 3.0
AO,CRT	05/27	MORGAN BANK /JPM	070	EMC	B	1,645	12.29	n/a	n/a	49.35 3.0
AO,CXL	05/27	HEALTHCOR MGMT	038	FRX	B	75,000	23.06	22-Apr	26-May	3750.00 5.0
AO,CRT	05/27	HEALTHCOR MGMT	038	FRX	B	75,000	23.06	22-Apr	26-May	3750.00 5.0
AO,	05/27	PEQUOT CAPITAL MGMT	070	HAR	B	44,400	18.90	12-Mar	1-May	1776.00 4.0
AO,CRT	05/27	GLENHILL CAPITAL	212	NTAP	B	70,354	19.45	n/a	n/a	3517.70 5.0
AO,CXL	05/27	GLENHILL CAPITAL	212	NTAP	B	210,000	19.45	n/a	n/a	10500.00 5.0
AO,CRT	05/27	GLENHILL CAPITAL	212	NTAP	B	139,646	19.45	n/a	n/a	6982.30 5.0
AO,CRT	05/27	CR INTRINIC INVESTMENT	044	PRX	B	50,000	13.14	6-May	26-May	2000.00 4.0
AO,CXL	05/27	CR INTRINIC INVESTMENT	044	PRX	B	50,000	13.14	6-May	26-May	2500.00 5.0
TOTAL (AO, CXL, CRT) :										2,352.00

TOTAL (Trade Date):	45,272.88
TOTAL (AO, CXL, CRT):	2,352.00

TOTAL (RUN DATE) / NFS:

47,624.88

MRI Securities with Trade Activity on 28-May.

BIG, DSW, GLW

MRI Securities without Trade Activity on 28-May.

NONE

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

T-Date = 6%

YTD = 21%

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)