



Daily Compliance Activity Report

Trade Date: 03/03/2009

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		AEO	B	20,000	9.46	n/a	2-Mar	non-brg	3.0
B BUCK CAPITAL MGMT		AEO	B	50,000	9.60	n/a	2-Mar	non-brg	3.0
HUNTER GLOBAL INVESTOR	067	ALV	SS	50,000	13.85	30-Jan	4-Feb	2,000.00	4.0
TRELLUS PARTNERS LP	028	ALV	C	21,600	13.65	30-Jan	4-Feb	1,080.00	5.0
CATAPULT	040	ARO	S	15,000	23.02	n/a	2-Mar	600.00	4.0
SCOPUS FUND	041	ASH	S	3,600	5.58	n/a	27-Jan	180.00	5.0
B BUCK CAPITAL MGMT		ATVI	B	20,000	9.92	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		AVP	SS	40,000	16.36	25-Feb	25-Feb	non-brg	4.0
NEWLAND CAPITAL MGT	067	AXE	B	10,000	28.12	22-Dec	3-Mar	400.00	4.0
WAGONHOUND/NIC	048	AXE	B	2,332	27.77	22-Dec	3-Mar	93.28	4.0
DIAMONDBACK CAP MGMT	232	AXP	C	50,000	11.82	n/a	27-Feb	2,500.00	5.0
B BUCK CAPITAL MGMT		BBBY	SS	40,000	20.35	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	BBY	SS	60,000	26.92	n/a	27-Jul	2,400.00	4.0
f JONATHAN RICHARD HAR	FID	BGU	S	284	15.85	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BIG	B	100,000	14.62	5-Dec	3-Mar	non-brg	4.0
COUGAR TRADING	044	BIG	B	25,000	14.55	5-Dec	3-Mar	1,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	BIG	S	15,000	14.58	5-Dec	3-Mar	750.00	5.0
ENTRUST CAPITAL	040	BIG	B	97,800	14.63	5-Dec	3-Mar	4,890.00	5.0
FIRST NY SEC/CHRIS	041	BIG	S	10,000	14.64	5-Dec	3-Mar	600.00	6.0
SCHOTTENFELD ASSOC	041	BIG	B	6,500	14.22	5-Dec	3-Mar	195.00	3.0
LISTED ERR	099	BIG	B	1,300	14.32	5-Dec	3-Mar	0.00	0.0
LISTED ERR	099	BIG	S	1,300	14.39	5-Dec	3-Mar	0.00	0.0
⌘ BUCK CAPITAL MGMT		BKC	SS	50,000	22.26	6-Feb	3-Mar	non-brg	4.0
⌘ BUCK CAPITAL MGMT		BKC	SS	50,000	22.49	6-Feb	3-Mar	non-brg	4.0
ROARING BLUE LION MGMT	012	BLK	SS	2,850	93.35	4-Mar	3-Mar	114.00	4.0
JAT CAPITAL MANAGEMENT	041	BRCM	S	105,700	15.82	n/a	n/a	4,228.00	4.0
⌘ BUCK CAPITAL MGMT		BWA+SR[???	SS	1,000	1.35	n/a	n/a	non-brg	300.0
ACK ASSET	028	BWA	B	8,800	16.38	27-Jan	13-Feb	264.00	3.0
HUNTER GLOBAL INVESTOR	067	BWA	SS	23,173	16.50	27-Jan	13-Feb	926.92	4.0
TRELLUS PARTNERS LP	028	BWA	C	38,500	16.37	27-Jan	13-Feb	1,925.00	5.0
⌘ BUCK CAPITAL MGMT		CAB	SS	40,000	8.08	n/a	n/a	non-brg	3.0
CAMBIAR CAP	046	CHTT	B	5,090	59.19	16-Oct	23-Feb	203.60	4.0
ROARING BLUE LION MGMT	012	CKR	B	10,000	6.11	n/a	n/a	400.00	4.0
OMEGA ADVISORS	041	COF	B	322,800	10.58	n/a	27-Feb	9,684.00	3.0
⌘ BUCK CAPITAL MGMT		COH	B	30,000	13.16	9-Jan	22-Jan	non-brg	4.0
⌘ BUCK CAPITAL MGMT		COST	SS	40,000	41.01	n/a	27-Jul	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DC CAPITAL	044	COST	B	15,000	40.87	n/a	27-Jul	750.00	5.0
BULL PATH CAPITAL	044	CPKI	SS	9,000	9.78	30-Oct	13-Feb	450.00	5.0
PRINCIPLE CAPITAL	040	CVS	B	43,679	25.05	n/a	n/a	1,310.37	3.0
MATRIX ASSET ADV.	036	DE	B	5,000	25.01	26-Jan	19-Feb	200.00	4.0
WAGONHOUND/NIC	048	DRI	B	394	26.23	19-Dec	26-Jan	15.76	4.0
BABSON/OFI/TRINITY	039	DXPE	B	9,800	10.32	n/a	n/a	392.00	4.0
SIGMA CAPITAL ASSOCIATES	237	EAT	B	25,000	10.65	n/a	24-Apr	1,250.00	5.0
BABSON/OFI/TRINITY	039	EPAX	B	9,001	7.28	n/a	n/a	360.04	4.0
BUCK CAPITAL MGMT	001	FDO	SS	20,000	26.30	7-Jan	2-Mar	800.00	4.0
SIGMA CAPITAL ASSOCIATES	237	FDO	B	25,000	26.42	7-Jan	2-Mar	1,250.00	5.0
UBS OCONNOR	031	FII	C	50,000	17.58	13-Nov	3-Mar	1,500.00	3.0
STANDARD PACIFIC CAPITAL	040	FL	B	200,000	8.19	7-Oct	13-Feb	10,000.00	5.0
PROSPECTOR PARTNERS LLC	036	FOR	B	10,000	6.50	12-Feb	12-Feb	400.00	4.0
B BUCK CAPITAL MGMT		FOSL	B	20,000	12.23	23-Jan	30-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		FO	SS	40,000	22.37	n/a	n/a	non-brg	4.0
SUN AMERICA ASSET MGMT	030	FO	B	107,300	22.42	n/a	n/a	4,292.00	4.0
B BUCK CAPITAL MGMT		FUA+FC[???	SS	2,000	0.73	n/a	n/a	non-brg	100.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	GES	S	10,000	13.96	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	GIL	S	20,000	6.71	11-Dec	12-Feb	600.00	3.0
⚡ BUCK CAPITAL MGMT		GOOG	C	10,000	332.66	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	GS	B	600	82.31	15-Sep	26-Feb	0.00	0.0
SIGMA CAPITAL ASSOCIATES	237	HANS	SS	50,000	33.46	n/a	n/a	2,500.00	5.0
CRAMER ROSENTHAL/SCOTT	012	HAR	B	33,400	10.01	5-Feb	5-Feb	1,336.00	4.0
BABSON/OFI/TRINITY	039	HIBB	B	1,500	12.91	n/a	n/a	60.00	4.0
⚡ BUCK CAPITAL MGMT		HOG	SS	40,000	9.34	n/a	n/a	non-brg	2.5
KLEINHEINZ CAP PART	031	HRB	S	40,000	18.26	n/a	n/a	2,000.00	5.0
⚡ BUCK CAPITAL MGMT		IYR	SS	50,000	23.06	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT	001	JCG	S	40,000	10.74	n/a	30-Jan	1,600.00	4.0
EATON VANCE MGMT	039	JNJ	S	150,000	47.49	n/a	22-Apr	4,500.00	3.0
FORD FDN.	032	JNJ	S	25,000	48.11	n/a	22-Apr	1,250.00	5.0
f JOSEPH CIRO AMATURO	FID	JNK	B	2000	27.08	n/a	n/a	0.00	0.0
BELLMAN WALTERSS CAP	091	JNS	B	25,000	4.14	2-Mar	3-Mar	1,250.00	5.0
⚡ BUCK CAPITAL MGMT		JNY	B	50,000	2.87	n/a	11-Feb	non-brg	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		JOSB	B	20,000	20.64	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		KSS+DH[???	SS	1,000	0.90	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT	001	KSS	B	20,000	34.64	n/a	2-Mar	800.00	4.0
DECADE CAPITAL PARTNERS	040	LIZ	S	33,500	2.49	n/a	14-Jan	1,005.00	3.0
FORD FDN.	032	LLY	S	20,000	28.39	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT		LPX	S	100,000	1.31	3-Mar	3-Mar	non-brg	1.0
SIGMA CAPITAL ASSOCIATES	237	MAT	B	150,000	10.72	n/a	n/a	7,500.00	5.0
EDWARD W WHEELER	FID	METIC	S	50	4.70	n/a	n/a	0.00	0.0
EDWARD W WHEELER	FID	METPRB	B	10000	10.89	n/a	n/a	0.00	0.0
MANNY I KORMAN	FID	METPRB	B	2000	10.85	n/a	n/a	0.00	0.0
EDWARD W WHEELER	FID	MET	B	10000	14.18	n/a	n/a	0.00	0.0
BRENCOURT	028	MGA	B	25,000	23.65	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	MHK	SS	40,000	20.72	n/a	n/a	1,600.00	4.0
NOMURA CAPITAL	045	MIR	S	10,000	10.50	n/a	n/a	500.00	5.0
FORD FDN.	032	MRK	S	40,000	23.74	n/a	n/a	2,000.00	5.0
DIAMONDBACK CAP MGMT	232	MS	B	25,000	18.22	18-Dec	26-Feb	1,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MANNY I KORMAN	FID	MWO	B	2000	9.90	n/a	n/a	0.00	0.0
f MARK ANTHONY GRONET	FID	MWO	B	1000	10.49	n/a	n/a	0.00	0.0
COUGAR TRADING	044	M	S	5,000	7.23	n/a	2-Mar	200.00	4.0
THE BOSTON COMPANY	401	NKE	C	36,640	40.74	n/a	n/a	1,465.60	4.0
PROSPECTOR PARTNERS LLC	036	NP	B	25,000	5.11	16-Dec	20-Jan	1,000.00	4.0
RAMIUS CAP	040	PCH	B	50,000	20.36	n/a	26-Feb	2,000.00	4.0
B BUCK CAPITAL MGMT		PERY	B	20,000	4.17	n/a	n/a	non-brg	2.5
FORD FDN.	032	PFE	S	35,000	12.02	n/a	31-Mar	1,750.00	5.0
B BUCK CAPITAL MGMT		PLCE	S	100,000	17.76	6-Jan	2-Mar	non-brg	4.0
B BUCK CAPITAL MGMT		PNRA	B	20,000	43.12	n/a	13-Feb	non-brg	4.0
B BUCK CAPITAL MGMT		PSUN	B	20,000	1.43	6-Feb	6-Feb	non-brg	2.0
MILLENIUM PARTNERS	028	PTV	S	25,000	12.30	n/a	n/a	1,000.00	4.0
B BUCK CAPITAL MGMT		PVH+DW[???	SS	1,000	0.90	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT	001	PVH	S	20,000	15.61	22-Jan	22-Jan	800.00	4.0
B BUCK CAPITAL MGMT		QIA+DU[???	SS	2,000	0.70	n/a	n/a	non-brg	100.0
B BUCK CAPITAL MGMT		QUK+DI[???	SS	300	2.50	n/a	n/a	non-brg	300.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		QUK+FJ[???	SS	300	3.30	n/a	n/a	non-brg	300.0
NEUBERGER BERMAN	036	REG	S	21,500	24.11	n/a	n/a	967.50	4.5
BUCK CAPITAL MGMT	001	RL	SS	30,000	32.74	n/a	5-Feb	1,200.00	4.0
SUN AMERICA ASSET MGMT	030	ROK	B	126,800	18.93	n/a	n/a	5,072.00	4.0
SUN AMERICA ASSET MGMT	030	RRD	B	327,200	7.53	n/a	n/a	13,088.00	4.0
f MARC PAUL LUCHANSKY	FID	SDS	S	1000	108.70	n/a	n/a	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	SHOO	B	1000	14.75	n/a	n/a	0.00	0.0
COUGAR TRADING	044	SHW	S	5,000	45.33	24-Feb	27-Feb	250.00	5.0
BUCK CAPITAL MGMT	001	SKX	B	30,000	5.99	n/a	13-Mar	900.00	3.0
B BUCK CAPITAL MGMT		SKX	B	120,000	5.79	n/a	13-Mar	non-brg	3.0
f DAVID GEORGE BUCK	FID	SMG	S	1000	25.30	5-Feb	5-Feb	0.00	0.0
BUCK CAPITAL MGMT	001	SPG	S	32,900	29.27	n/a	n/a	1,316.00	4.0
f PEARL LUCHANSKY	FID	SPY	B	1500	70.28	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	SSS	S	52,400	18.97	n/a	n/a	2,358.00	4.5
PILOT ROCK	028	STJ	B	150,000	32.33	n/a	n/a	6,000.00	4.0
HUNTER GLOBAL INVESTOR	067	SUN	SS	65,259	31.07	n/a	n/a	3,262.95	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
BUCK CAPITAL MGMT		SUP	SS	20,000	10.18	27-Feb	27-Feb	non-brg 4.0
JOHN MICHAEL ZOLIDIS	FID	TIF	B	500	17.25	n/a	30-Jan	0.00 0.0
BUCK CAPITAL MGMT	001	TIN	B	112,000	3.19	5-Dec	28-Jan	3,360.00 3.0
ROBX	302	TLM	B	31,000	8.43	n/a	n/a	1,240.00 4.0
JONATHAN RICHARD HAR	FID	TNA	S	357	12.22	n/a	n/a	0.00 0.0
BUCK CAPITAL MGMT		TUY+CW[???	SS	2,000	1.15	n/a	n/a	non-brg 300.0
BUCK CAPITAL MGMT		UHO+QU[???	SS	1,000	0.70	n/a	n/a	non-brg 100.0
BUCK CAPITAL MGMT		URBN	S	20,000	15.29	n/a	30-Jan	non-brg 4.0
BUCK CAPITAL MGMT		VFC	B	20,000	48.97	n/a	n/a	non-brg 4.0
DAVID GEORGE BUCK	FID	VNO	S	800	31.53	n/a	n/a	0.00 0.0
BUCK CAPITAL MGMT		WMS	SS	40,000	17.33	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT	001	WRC	S	30,000	19.24	27-Feb	27-Feb	1,200.00 4.0
BUCK CAPITAL MGMT		WSM+TA[???	SS	3,000	0.65	n/a	n/a	non-brg 100.0
BUCK CAPITAL MGMT	001	WSM	SS	40,000	8.49	n/a	n/a	1,200.00 3.0
BUCK CAPITAL MGMT		XRT	SS	300,000	19.06	n/a	n/a	non-brg 1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
B BUCK CAPITAL MGMT		YUM	C	150,000	24.64	n/a	5-Feb	non-brg 4.0
B BUCK CAPITAL MGMT		YUM	C	150,000	24.90	n/a	5-Feb	non-brg 4.0
TOTAL (Trade Date):							139,685.02	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	03/02	WEINTRAUB CAPITAL MGT.	040	ANN	SS	100,000	6.46	n/a	30-Jan	3000.00 3.0
AO,CXL	03/02	WEINTRAUB CAPITAL MGT.	040	ANN	SS	100,000	6.46	n/a	30-Jan	4000.00 4.0
AO,	03/02	APEX CAPITAL MGMT.	091	COH	S	74,000	13.50	9-Jan	22-Jan	2960.00 4.0
AO,	03/02	GOLDMAN SACHS ASSET MGMT	044	HCP	S	99,559	17.69	n/a	n/a	1991.18 2.0
AO,CRT	03/02	DC CAPITAL	044	IP	B	100,000	5.22	22-Sep	29-Jan	3000.00 3.0
AO,CXL	03/02	DC CAPITAL	044	IP	B	100,000	5.22	22-Sep	29-Jan	5000.00 5.0
AO,CRT	03/02	HIGHBRIDGE CAPITAL	038	LPX	B	92,071	1.30	3-Mar	3-Mar	1841.42 2.0
AO,CXL	03/02	HIGHBRIDGE CAPITAL	038	LPX	B	92,071	1.30	3-Mar	3-Mar	2762.13 3.0
AO,CRT	03/02	HIGHBRIDGE CAPITAL	038	PM	SS	30,000	33.19	n/a	n/a	1200.00 4.0
AO,CXL	03/02	HIGHBRIDGE CAPITAL	038	PM	SS	30,000	33.19	n/a	n/a	1500.00 5.0
AO,CRT	03/02	FORWARD MGMT	033	RHI	B	1,300	14.67	n/a	n/a	65.00 5.0
AO,CXL	03/02	FORWARD MGMT	033	RHI	B	1,300	14.67	n/a	n/a	65.00 5.0
AO,	03/02	SCOGGIN CAP	039	TIF	SS	66,000	18.32	n/a	30-Jan	3300.00 5.0
AO,CXL	03/02	FORWARD MGMT	033	TROW	B	3,800	21.99	n/a	3-Mar	190.00 5.0
AO,CRT	03/02	FORWARD MGMT	033	TROW	B	3,800	21.99	n/a	3-Mar	190.00 5.0
AO,CRT	03/02	KEEFE BRUYETTE WOODS A	045	TROW	SS	4,100	22.78	n/a	3-Mar	205.00 5.0
AO,CXL	03/02	KEEFE BRUYETTE WOODS A	045	TROW	SS	4,100	22.78	n/a	3-Mar	164.00 4.0
AO,CXL	03/02	CASTLEROCK	040	UPS	B	838	38.90	n/a	n/a	0.00 0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	03/02	CASTLEROCK	040	UPS	B	838	38.90	n/a	n/a	33.52 4.0
AO,CRT	03/02	KEEFE BRUYETTE WOODS A	045	WDR	SS	5,100	13.73	n/a	3-Mar	255.00 5.0
AO,CXL	03/02	KEEFE BRUYETTE WOODS A	045	WDR	SS	5,100	13.73	n/a	3-Mar	204.00 4.0
TOTAL (AO, CXL, CRT) :										4,155.99

TOTAL (Trade Date):	139,685.02
TOTAL (AO, CXL, CRT):	4,155.99

TOTAL (RUN DATE) / NFS:	143,841.01
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MRI Securities with Trade Activity on 3-Mar.
LPX

MRI Securities without Trade Activity on 3-Mar.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 20%
YTD = 25%

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)