



Daily Compliance Activity Report

Trade Date: 09/10/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f DAVID GEORGE BUCK	FID	ABII	B	600	25.97	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		AEO	B	20,000	15.34	25-Jun	4-Sep	non-brg	0.8
COOPER CREEK PART	028	ALV	SS	10,000	34.34	10-Jun	22-Jul	400.00	4.0
CIRCLE T/SES PART	035	AN	B	20,000	18.39	3-Aug	5-Aug	800.00	4.0
DIAMONDBACK CAP MGMT	232	AN	B	30,000	18.56	3-Aug	5-Aug	1,500.00	5.0
HOLLIS CAPITAL	033	AN	B	15,000	18.38	3-Aug	5-Aug	750.00	5.0
TRELLUS PARTNERS LP	028	AN	B	20,000	18.46	3-Aug	5-Aug	1,000.00	5.0
M&I FUNDS	047	ASH	B	5,000	39.74	n/a	24-Jul	200.00	4.0
B BUCK CAPITAL MGMT		AXL	B	100,000	6.32	19-Aug	2-Sep	non-brg	3.0
LAGRANGE CAP ADV	048	AXL	S	965	6.35	19-Aug	2-Sep	48.25	5.0
OZ MGMT	040	AXL	B	100,000	6.33	19-Aug	2-Sep	3,000.00	3.0
RBC CAPITAL MARKETS	040	AXL	B	100,000	6.39	19-Aug	2-Sep	4,000.00	4.0
RBC CAPITAL MARKETS	040	BG	B	25,000	65.77	n/a	n/a	1,000.00	4.0
SCOPUS FUND	041	BKI	S	20,000	10.67	n/a	n/a	1,000.00	5.0
f JOHN MICHAEL ZOLIDIS	FID	BKRS	B	10000	0.81	n/a	n/a	0.00	0.0
f KEVIN MICHAEL O'GORM	FID	BKRS	B	2000	0.79	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BONT	B	300	8.30	n/a	6-Feb	non-brg	0.8
B BUCK CAPITAL MGMT		BONT	B	33,686	8.25	n/a	6-Feb	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	BRCM	B	20,000	29.95	n/a	n/a	1,000.00	5.0
COUGAR TRADING	044	BWA	S	7,500	33.67	3-Aug	24-Aug	375.00	5.0
MILLENNIUM-ANDEW	031	CAF	B	43,000	32.87	n/a	n/a	2,580.00	6.0
B BUCK CAPITAL MGMT		CHRS	S	20,000	5.23	n/a	22-Mar	non-brg	3.0
f DAVID GEORGE BUCK	FID	CL	S	600	72.97	3-Aug	3-Aug	0.00	0.0
B BUCK CAPITAL MGMT		COLM	C	5,000	40.67	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		DBRN	B	60,000	17.61	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DECK	B	25,000	67.67	n/a	n/a	non-brg	4.0
AAD CAPITAL	048	DIS	SS	50,000	27.78	n/a	n/a	2,000.00	4.0
GREEN ARROW DOUG	040	DIS	SS	25,000	27.83	n/a	n/a	1,250.00	5.0
f ANDREW SINCLAIR	FID	DVAX	B	4000	2.90	n/a	n/a	0.00	0.0
L.R.BURTSCHY & CO	045	ECL	B	500	43.40	25-Aug	25-Aug	30.00	6.0
MROW	031	ELOS	S	143,977	9.59	n/a	n/a	5,759.08	4.0
CONIFER/ISF	025	EMC	S	10,000	16.96	n/a	n/a	500.00	5.0
RBC CAPITAL MARKETS	040	FCX	B	15,000	66.72	n/a	n/a	600.00	4.0
AVESTA CAP	229	FDO	SS	25,000	27.72	4-Sep	4-Sep	1,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BNP PARIBAS SEC	040	FL	B	10,000	10.79	27-Aug	27-Aug	400.00	4.0
B BUCK CAPITAL MGMT		FL	B	50,000	10.88	27-Aug	27-Aug	non-brg	4.0
CATAPULT	040	FL	B	50,000	10.89	27-Aug	27-Aug	2,000.00	4.0
f JOSEPH CIRO AMATURO	FID	GAZ	B	2000	13.80	n/a	n/a	0.00	0.0
Õ Alice Longley		GE	B	2000	14.69	n/a	n/a	0.00	0.0
MILLENIUM PARTNERS	028	GE	B	50,000	14.84	n/a	n/a	2,000.00	4.0
CAXTON PART	040	GIS	B	11,948	60.75	n/a	n/a	418.20	3.5
f JASON ERIC COHEN	FID	GLW	S	100	16.18	27-Jul	28-Aug	0.00	0.0
WAGONHOUND/NIC	048	GLW	S	48,874	16.19	27-Jul	28-Aug	1,954.96	4.0
B BUCK CAPITAL MGMT		GME	SS	30,000	24.88	n/a	n/a	non-brg	4.0
CENTURION PARTNERS	041	GME	S	40,000	24.73	n/a	n/a	2,000.00	5.0
HARBORWATCH/DIAMBACK	232	HAL	SS	20,000	25.61	n/a	n/a	1,000.00	5.0
f DAVID GEORGE BUCK	FID	HOLX	S	1000	17.10	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		IBM	B	5,000	113.00	n/a	n/a	non-brg	4.0
f JOSEPH CIRO AMATURO	FID	JCI	S	4000	26.24	4-Aug	2-Sep	0.00	0.0
f MARK ANTHONY GRONET	FID	JCI	B	300	26.71	4-Aug	2-Sep	0.00	0.0
BALYASNY ASSET MGMT	044	JNS	S	75,000	13.01	16-Jul	9-Sep	3,750.00	5.0
B BUCK CAPITAL MGMT		JNY	B	50,000	17.20	n/a	30-Jul	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		JOSB	S	20,000	46.66	n/a	n/a	non-brg	0.8
11:11 CAPITAL CORP	046	KG	S	25,000	10.70	14-Aug	8-Sep	1,250.00	5.0
SYSTEMATIC FINANCIAL MGT	035	KR	S	103,400	21.83	n/a	n/a	3,619.02	3.5
LISTED ERR	099	KR	B	33	21.83	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	040	K	B	25,000	48.04	n/a	n/a	1,000.00	4.0
WAGONHOUND/NIC	048	LLL	S	363	77.49	n/a	n/a	14.52	4.0
PRIMECAP MGMT	048	LMNX	B	5,000	15.64	n/a	n/a	250.00	5.0
FIRST NEW YORK LEDDY	035	LVLTT	B	10,000	1.16	n/a	4-Jan	600.00	6.0
EXIS CAPITAL	044	MET	S	15,000	37.59	n/a	n/a	750.00	5.0
f DAVID GEORGE BUCK	FID	MHS	B	500	54.99	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	040	MON	SS	10,000	79.05	n/a	10-Sep	400.00	4.0
ACK ASSET	028	MTW	B	35,000	8.28	11-Sep	7-Aug	1,050.00	3.0
BUCK CAPITAL MGMT	001	M	B	50,000	16.15	n/a	4-Sep	2,000.00	4.0
SLS CAPITAL LLC	224	M	B	101,000	16.20	n/a	4-Sep	4,040.00	4.0
f DAVID GEORGE BUCK	FID	PFE	B	2000	16.34	n/a	31-Mar	0.00	0.0
BASIX	033	PKG	S	42,100	21.52	21-Jul	21-Jul	1,263.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		PLCE	B	20,000	27.20	n/a	4-Sep	non-brg	4.0
⚡ BUCK CAPITAL MGMT		PLCE	B	70,000	27.16	n/a	4-Sep	non-brg	4.0
CAXTON PART	040	POT	SS	4,001	89.26	n/a	n/a	140.04	3.5
CATAPULT	040	PPG	B	25,000	56.73	n/a	16-Jul	1,250.00	5.0
MILLRACE FUND LP	028	PRX	B	4,800	21.52	19-Aug	10-Sep	192.00	4.0
⚡ BUCK CAPITAL MGMT		RCL	B	20,000	20.91	31-Jul	8-Sep	non-brg	4.0
⚡ BUCK CAPITAL MGMT		RRR	B	150,000	7.41	n/a	11-Aug	non-brg	3.0
CIRCLE T/SES PART	035	SBUX	SS	50,000	19.87	n/a	21-Jul	2,000.00	4.0
KLEINHEINZ CAP PART	031	SFD	B	75,000	14.17	n/a	n/a	3,750.00	5.0
⚡ BUCK CAPITAL MGMT		SLM	S	100,000	9.56	12-Aug	9-Sep	non-brg	3.0
⚡ BUCK CAPITAL MGMT		SLM	S	150,000	9.58	12-Aug	9-Sep	non-brg	0.8
⚡ BUCK CAPITAL MGMT		SLM	S	50,000	9.46	12-Aug	9-Sep	non-brg	3.0
f JONATHAN RICHARD HAR	FID	SOKE	B	175	2.85	n/a	n/a	0.00	0.0
f SCOTT L BRUNNER	FID	SRS	B	1500	11.14	n/a	n/a	0.00	0.0
DIAMONDBACK CAP MGMT	232	STLD	S	40,000	17.10	n/a	n/a	2,000.00	5.0
⚡ BUCK CAPITAL MGMT		SUP	B	7,500	14.66	10-Aug	10-Aug	non-brg	0.8
f MARK ANTHONY GRONET	FID	SUP	B	1000	14.71	10-Aug	10-Aug	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	TGT	B	20,000	47.90	3-Sep	3-Sep	800.00	4.0
MILLENIUM PARTNERS	028	TIN	S	20,000	17.71	14-Aug	14-Aug	800.00	4.0
⚡ BUCK CAPITAL MGMT		TLB	SS	50,000	7.83	n/a	30-Jan	non-brg	3.0
MISSOURI VALLEY PART	046	TRV	S	15,000	48.47	n/a	n/a	750.00	5.0
⚡ BUCK CAPITAL MGMT		URBN	B	25,000	30.19	n/a	30-Jan	non-brg	4.0
⚡ BUCK CAPITAL MGMT		WBC	B	30,000	19.64	5-Aug	5-Aug	non-brg	4.0
f JOSEPH CIRO AMATURO	FID	WBC	B	4000	19.68	5-Aug	5-Aug	0.00	0.0
f MARK ANTHONY GRONET	FID	WBC	B	1000	19.67	5-Aug	5-Aug	0.00	0.0
⚡ BUCK CAPITAL MGMT		WFT	B	10,000	21.45	n/a	n/a	non-brg	0.8
ASCEND PARTNERS	033	WMT	B	50,000	50.92	11-May	13-Aug	2,500.00	5.0
BMO NESBITT BURNS	041	WMT	B	25,000	50.91	11-May	13-Aug	1,250.00	5.0
CIRCLE T/SES PART	035	WMT	B	10,000	50.93	11-May	13-Aug	400.00	4.0
WOOSTER CAPITAL	035	WMT	B	100,000	50.92	11-May	13-Aug	5,000.00	5.0
BUCK CAPITAL MGMT	001	WRC	S	10,000	41.37	28-Jul	2-Sep	400.00	4.0
OZ MGMT	040	WY	B	65,000	36.99	n/a	3-Aug	1,950.00	3.0
RBC CAPITAL MARKETS	040	WY	B	20,000	36.98	n/a	3-Aug	800.00	4.0
RBC CAPITAL MARKETS	040	XLB	B	40,000	30.68	n/a	n/a	1,600.00	4.0
⚡ BUCK CAPITAL MGMT		XRT	C	500,000	33.15	n/a	n/a	non-brg	0.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JOHN MICHAEL ZOLIDIS	FID	ZLC	S	3000	6.55	n/a	n/a	0.00	0.0
TOTAL (Trade Date):							84,134.07		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/09	LEVEL GLOBAL/CHRIS C	041	BRCD	B	250,000	8.03	n/a	n/a	5000.00 2.0
AO,	09/09	LEVEL GLOBAL/CHRIS C	041	CSCO	B	250,000	22.20	n/a	22-Mar	5000.00 2.0
AO,CXL	09/09	HIGHBRIDGE CAP	041	EBAY	B	25,823	22.33	n/a	n/a	1291.15 5.0
AO,CRT	09/09	HIGHBRIDGE CAP	041	EBAY	B	25,823	22.33	n/a	n/a	1032.92 4.0
AO,CRT	09/09	ELM RIDGE ADVISORS	044	IP	S	169,636	23.41	14-Aug	14-Aug	6785.44 4.0
AO,CXL	09/09	ELM RIDGE ADVISORS	044	IP	S	169,636	23.41	14-Aug	14-Aug	6785.44 4.0
AO,CRT	09/09	BMO NESBITT BURNS	041	M	SS	75,000	15.99	n/a	4-Sep	3750.00 5.0
AO,CXL	09/09	BMO NESBITT BURNS	041	M	SS	50,000	15.99	n/a	4-Sep	2500.00 5.0
AO,CXL	09/09	SENATOR INVESTMENT GROUP	036	NTAP	B	25,000	23.64	n/a	n/a	1000.00 4.0
AO,	09/09	SENATOR INVESTMENT GROUP	036	NTAP	B	12,000	23.64	n/a	n/a	480.00 4.0
AO,CRT	09/09	SENATOR INVESTMENT GROUP	036	NTAP	B	13,000	23.64	n/a	n/a	520.00 4.0
AO,CXL	09/03	EVERCORE WEALTH MGMT	012	TBT	B	500	46.08	n/a	n/a	25.00 5.0
AO,CRT	09/03	EVERCORE WEALTH MGMT	012	TBT	B	500	46.08	n/a	n/a	25.00 5.0

TOTAL (AO, CXL, CRT) :**10,991.77**

TOTAL (Trade Date) :

84,134.07

TOTAL (AO, CXL, CRT) :

10,991.77

TOTAL (RUN DATE) / NFS:

95,125.84

MRI Securities with Trade Activity on 10-Sep.
NONE

MRI Securities without Trade Activity on 10-Sep.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 8%
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)