



# Daily Compliance Activity Report

Trade Date: 09/17/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>AAN</b>	<b>S</b>	<b>20,000</b>	<b>26.48</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
WINSLOW CAPITAL	030	ACM	B	800	28.79	n/a	n/a	32.00	4.0
WINSLOW CAPITAL	030	ACN	B	1,000	36.27	n/a	n/a	40.00	4.0
COOPER CREEK PART	028	ALV	SS	5,000	35.78	10-Jun	22-Jul	150.00	3.0
WINSLOW CAPITAL	030	AMT	B	800	36.37	n/a	n/a	32.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>B</b>	<b>50,000</b>	<b>34.13</b>	<b>3-Jun</b>	<b>4-Sep</b>	<b>2,000.00</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>AN</b>	<b>B</b>	<b>15,000</b>	<b>17.89</b>	<b>3-Aug</b>	<b>5-Aug</b>	<b>non-brg</b>	<b>0.8</b>
DIAMONDBACK CAP MGMT	232	AN	S	30,000	17.83	3-Aug	5-Aug	1,500.00	5.0
BMO NESBITT BURNS	041	AXL	SS	50,000	7.79	19-Aug	2-Sep	2,500.00	5.0
COOPER CREEK PART	028	AXL	S	25,000	7.71	19-Aug	2-Sep	750.00	3.0
COUGAR TRADING	044	AXL	S	10,000	7.57	19-Aug	2-Sep	400.00	4.0
LAGRANGE CAP ADV	048	AXL	B	20,000	7.60	19-Aug	2-Sep	1,000.00	5.0
OZ MGMT	040	AXL	B	50,000	7.73	19-Aug	2-Sep	1,500.00	3.0
SCHOTTENFELD ASSOC	041	AXL	B	30,000	7.64	19-Aug	2-Sep	900.00	3.0
DIAMONDBACK CAP MGMT	232	BAC	S	50,000	17.34	11-May	15-Sep	2,500.00	5.0
WINSLOW CAPITAL	030	BAX	B	1,000	58.93	n/a	22-Apr	40.00	4.0
WINSLOW CAPITAL	030	BBY	B	700	37.52	n/a	27-Jul	28.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f MARK ANTHONY GRONET</b>	<b>FID</b>	<b>BEE</b>	<b>B</b>	<b>2000</b>	<b>1.86</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FORD FDN.	032	BIIB	S	10,000	50.84	n/a	n/a	500.00	5.0
WINSLOW CAPITAL	030	BLK	B	300	202.55	24-Aug	14-Sep	12.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>BONT</b>	<b>B</b>	<b>12,200</b>	<b>8.78</b>	<b>n/a</b>	<b>6-Feb</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BONT</b>	<b>B</b>	<b>7,800</b>	<b>8.73</b>	<b>n/a</b>	<b>6-Feb</b>	<b>non-brg</b>	<b>2.5</b>
WINSLOW CAPITAL	030	BTU	B	400	39.62	n/a	n/a	16.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>BWA</b>	<b>B</b>	<b>10,000</b>	<b>31.11</b>	<b>3-Aug</b>	<b>24-Aug</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BWA</b>	<b>B</b>	<b>13,900</b>	<b>31.17</b>	<b>3-Aug</b>	<b>24-Aug</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BWA</b>	<b>B</b>	<b>15,000</b>	<b>31.13</b>	<b>3-Aug</b>	<b>24-Aug</b>	<b>non-brg</b>	<b>1.0</b>
TRELLUS PARTNERS LP	028	BWA	B	20,000	31.51	3-Aug	24-Aug	1,000.00	5.0
BMO NESBITT BURNS	041	BZ	S	25,000	5.40	n/a	n/a	1,250.00	5.0
WINSLOW CAPITAL	030	CCL	B	900	32.74	n/a	26-Jan	36.00	4.0
NEUBERGER BERMAN	036	CELG	S	348,221	52.84	n/a	n/a	15,669.99	4.5
<b>B BUCK CAPITAL MGMT</b>		<b>CHRS</b>	<b>S</b>	<b>20,000</b>	<b>4.81</b>	<b>n/a</b>	<b>22-Mar</b>	<b>non-brg</b>	<b>1.0</b>
LEVEL GLOBAL/CHRIS C	041	COH	B	100,000	32.92	n/a	29-Jul	3,000.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>COLM</b>	<b>C</b>	<b>10,000</b>	<b>42.12</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
CAVU CAP ADV	028	COST	B	25,000	58.01	n/a	27-Jul	1,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVEL GLOBAL/CHRIS C	041	CRI	B	78,900	26.26	n/a	n/a	2,367.00	3.0
<b>B</b> BUCK CAPITAL MGMT		<b>CVGI</b>	<b>S</b>	<b>10,000</b>	<b>6.89</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>f</b> MARC PAUL LUCHANSKY	<b>FID</b>	<b>CVGI</b>	<b>B</b>	<b>1000</b>	<b>6.93</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> MARK ANTHONY GRONET	<b>FID</b>	<b>CVGI</b>	<b>B</b>	<b>1000</b>	<b>6.99</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WINSLOW CAPITAL	030	CVS	B	1,300	36.50	n/a	n/a	52.00	4.0
ASCEND PARTNERS	033	C	B	250,000	4.32	17-Sep	17-Sep	5,000.00	2.0
<b>B</b> BUCK CAPITAL MGMT		<b>DBRN</b>	<b>B</b>	<b>10,000</b>	<b>17.21</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>DBRN</b>	<b>B</b>	<b>20,000</b>	<b>17.12</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>B</b> BUCK CAPITAL MGMT		<b>DBRN</b>	<b>B</b>	<b>20,000</b>	<b>17.46</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
SCHOTTENFELD ASSOC	041	DFS	S	50,000	15.63	17-Sep	17-Sep	1,500.00	3.0
DIAMONDBACK CAP MGMT	232	DHI	S	25,000	13.56	n/a	n/a	1,250.00	5.0
WINSLOW CAPITAL	030	DHR	B	1,000	68.37	n/a	n/a	40.00	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>DIA</b>	<b>SS</b>	<b>12,300</b>	<b>98.27</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
HARBORWATCH/DIAMBACK	232	DOW	S	25,000	26.00	n/a	30-Jul	1,250.00	5.0
<b>B</b> BUCK CAPITAL MGMT		<b>DXD</b>	<b>S</b>	<b>3,250</b>	<b>34.52</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
WINSLOW CAPITAL	030	ECL	B	700	47.30	25-Aug	17-Sep	28.00	4.0
DC CAPITAL	044	ELY	S	6,707	7.60	n/a	n/a	201.21	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
<b>B BUCK CAPITAL MGMT</b>		<b>FL</b>	<b>B</b>	<b>50,000</b>	<b>11.39</b>	<b>27-Aug</b>	<b>27-Aug</b>	<b>non-brg 4.0</b>
BMO NESBITT BURNS	041	FOR	S	6,000	15.95	6-Aug	6-Aug	240.00 4.0
ARCHON CAPITAL	035	FST	B	10,000	18.99	n/a	n/a	300.00 3.0
WINSLOW CAPITAL	030	FTI	B	700	54.29	n/a	n/a	28.00 4.0
LAGRANGE CAP ADV	048	F	B	10,000	7.01	27-Aug	2-Sep	500.00 5.0
TRELLUS PARTNERS LP	028	F	B	25,000	6.92	27-Aug	2-Sep	750.00 3.0
<b>B BUCK CAPITAL MGMT</b>		<b>GCO</b>	<b>B</b>	<b>20,000</b>	<b>23.59</b>	<b>n/a</b>	<b>10-Jan</b>	<b>non-brg 4.0</b>
<b>f SETH ETAN SCHLESSEL</b>	<b>FID</b>	<b>GE</b>	<b>B</b>	<b>128</b>	<b>16.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>
FORD FDN.	032	GILD	B	25,000	46.17	n/a	n/a	1,250.00 5.0
<b>B BUCK CAPITAL MGMT</b>		<b>GIL</b>	<b>B</b>	<b>10,000</b>	<b>19.06</b>	<b>14-Aug</b>	<b>14-Aug</b>	<b>non-brg 4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GIL</b>	<b>B</b>	<b>8,300</b>	<b>19.00</b>	<b>14-Aug</b>	<b>14-Aug</b>	<b>non-brg 4.0</b>
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>GLWIC</b>	<b>S</b>	<b>3</b>	<b>0.65</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>
RAINIER INV MGMT	035	GS	B	158,780	182.32	14-Jul	15-Sep	6,351.20 4.0
WINSLOW CAPITAL	030	GS	B	400	181.18	14-Jul	15-Sep	16.00 4.0
<b>B BUCK CAPITAL MGMT</b>		<b>HGG</b>	<b>B</b>	<b>20,000</b>	<b>14.99</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg 4.0</b>
WINSLOW CAPITAL	030	HK	B	800	24.27	n/a	n/a	32.00 4.0
WINSLOW CAPITAL	030	HPQ	B	2,000	45.61	n/a	n/a	80.00 4.0

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CONIFER/ISF	025	HPY	S	5,000	14.56	n/a	n/a	250.00	5.0
SLS CAPITAL LLC	224	HUM	S	57,900	40.18	n/a	n/a	2,316.00	4.0
WINSLOW CAPITAL	030	IBM	B	200	121.92	n/a	n/a	8.00	4.0
WINSLOW CAPITAL	030	ICE	B	300	96.00	n/a	n/a	12.00	4.0
⌘ BUCK CAPITAL MGMT		IJR	SS	22,000	53.71	n/a	n/a	non-brg	0.8
⌘ BUCK CAPITAL MGMT		IJS	SS	15,500	58.45	n/a	n/a	non-brg	0.8
CLOVIS CAPITAL	012	IP	SS	50,000	24.09	16-Sep	16-Sep	2,500.00	5.0
⌘ BUCK CAPITAL MGMT		IWM	SS	20,000	62.17	n/a	n/a	non-brg	0.8
⌘ BUCK CAPITAL MGMT		IWM	SS	8,000	62.06	n/a	n/a	non-brg	0.8
⌘ BUCK CAPITAL MGMT		IWO	SS	20,000	66.80	n/a	n/a	non-brg	0.8
RBC CAPITAL MARKETS	040	JCP	B	20,000	33.91	13-Apr	15-Sep	800.00	4.0
⌘ BUCK CAPITAL MGMT		JOSB	S	15,000	46.76	n/a	n/a	non-brg	0.8
OZ MGMT	040	JPM	S	200,000	44.72	7-Aug	15-Sep	6,000.00	3.0
WINSLOW CAPITAL	030	JPM	B	1,500	44.73	7-Aug	15-Sep	60.00	4.0
EXIS CAPITAL	044	KSS	SS	2,500	55.04	14-Aug	4-Sep	125.00	5.0
WINSLOW CAPITAL	030	KSS	B	700	54.96	14-Aug	4-Sep	28.00	4.0
⌘ BUCK CAPITAL MGMT		LEN	S	17,000	17.47	n/a	n/a	non-brg	0.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	LINC	S	3,500	20.45	n/a	n/a	157.50	4.5
FIRST NEW YORK LEDDY	035	LVLIT	SS	20,000	1.37	n/a	4-Jan	1,200.00	6.0
WINSLOW CAPITAL	030	MA	B	300	218.56	30-Jul	16-Sep	12.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>MDY</b>	<b>SS</b>	<b>5,000</b>	<b>128.56</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MDY</b>	<b>SS</b>	<b>5,000</b>	<b>129.04</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
WINSLOW CAPITAL	030	MFE	B	600	42.53	n/a	3-Apr	24.00	4.0
WINSLOW CAPITAL	030	MHS	B	2,300	55.02	n/a	n/a	92.00	4.0
WINSLOW CAPITAL	030	MON	B	800	79.80	n/a	11-Sep	32.00	4.0
WINSLOW CAPITAL	030	MR	B	900	31.57	n/a	n/a	36.00	4.0
DIAMONDBACK CAP MGMT	232	MS	SS	5,000	30.87	11-May	15-Sep	250.00	5.0
ACK ASSET	028	MTW	S	35,000	9.74	11-Sep	11-Sep	1,050.00	3.0
<b>f STRATTON PAR TNERSHI</b>	<b>FID</b>	<b>MXM</b>	<b>S</b>	<b>25</b>	<b>10.70</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MZZ</b>	<b>S</b>	<b>9,500</b>	<b>24.45</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
BMO NESBITT BURNS	041	M	SS	35,000	17.91	n/a	4-Sep	1,750.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>M</b>	<b>B</b>	<b>30,000</b>	<b>17.49</b>	<b>n/a</b>	<b>4-Sep</b>	<b>1,200.00</b>	<b>4.0</b>
CAERUS GLOBAL	041	M	B	10,000	17.69	n/a	4-Sep	400.00	4.0
BALYASNY ASSET MGMT	044	NTRS	C	25,000	60.63	22-Apr	15-Sep	1,250.00	5.0

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EXIS CAPITAL	044	NWY	B	5,000	5.15	n/a	30-Jan	250.00	5.0
CUMBERLAND	038	ODFL	S	25,000	34.46	n/a	n/a	1,000.00	4.0
NEUBERGER BERMAN	036	ODFL	S	74,200	34.30	n/a	n/a	3,339.00	4.5
SENATOR INVESTMENT GROUP	036	OLN	S	15,000	17.66	n/a	20-Jun	600.00	4.0
WINSLOW CAPITAL	030	PBR	B	700	45.17	n/a	n/a	28.00	4.0
BMO NESBITT BURNS	041	PCL	B	1,500	32.74	n/a	28-Jul	60.00	4.0
<b>B</b> BUCK CAPITAL MGMT		PLCE	B	20,000	28.84	n/a	4-Sep	non-brg	4.0
MILLRACE FUND LP	028	PLCE	SS	12,000	28.78	n/a	4-Sep	480.00	4.0
SYSTEMATIC FINANCIAL MGT	035	PNC	S	196,250	45.44	n/a	n/a	6,868.75	3.5
RAMIUS CAP	040	PTEN	B	90,000	15.54	n/a	n/a	3,600.00	4.0
FIRST NEW YORK NICK	029	Q	S	20,000	3.46	n/a	n/a	1,000.00	5.0
<b>f</b> STEFFANIE CARMELA CA	FID	RAD	B	600	2.20	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	RL	B	5,000	75.18	6-Aug	6-Aug	200.00	4.0
BALYASNY ASSET MGMT	044	RRR	B	35,000	8.20	17-Sep	17-Sep	1,750.00	5.0
<b>B</b> BUCK CAPITAL MGMT		RRR	B	10,000	8.08	17-Sep	17-Sep	non-brg	3.0
BMO NESBITT BURNS	041	RYN	B	1,000	44.38	n/a	3-Aug	40.00	4.0
<b>B</b> BUCK CAPITAL MGMT		SDS	B	7,000	39.47	n/a	n/a	non-brg	0.8

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⌘ BUCK CAPITAL MGMT		SKX	S	10,000	18.66	n/a	13-Mar	non-brg 2.5
⌘ BUCK CAPITAL MGMT		SLM	B	66,702	8.95	12-Aug	16-Sep	non-brg 0.8
NEUBERGER BERMAN	036	SNI	B	42,600	36.58	n/a	n/a	1,917.00 4.5
WINSLOW CAPITAL	030	STJ	B	800	37.99	n/a	n/a	32.00 4.0
COUGAR TRADING	044	SUP	S	10,000	15.48	10-Aug	10-Aug	500.00 5.0
WINSLOW CAPITAL	030	SU	B	1,500	36.83	n/a	n/a	60.00 4.0
WINSLOW CAPITAL	030	SWN	B	1,000	44.89	n/a	15-Sep	40.00 4.0
WINSLOW CAPITAL	030	TGT	B	600	48.81	3-Sep	3-Sep	24.00 4.0
HOTCHKIS & WILEY	035	TRV	S	75,100	47.85	n/a	n/a	3,755.00 5.0
CAVU CAP ADV	028	TSO	B	53,700	15.50	n/a	n/a	2,685.00 5.0
⌘ BUCK CAPITAL MGMT		TWM	S	7,000	27.35	n/a	n/a	non-brg 0.8
WINSLOW CAPITAL	030	UNP	B	1,200	62.34	n/a	n/a	48.00 4.0
⌘ BUCK CAPITAL MGMT		URBN	B	15,000	30.93	n/a	30-Jan	non-brg 4.0
WINSLOW CAPITAL	030	UTX	B	1,100	62.53	n/a	n/a	44.00 4.0
WINSLOW CAPITAL	030	V	B	1,300	73.50	n/a	16-Sep	52.00 4.0



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<b>B BUCK CAPITAL MGMT</b>		<b>WBC</b>	<b>B</b>	<b>20,000</b>	<b>20.38</b>	<b>5-Aug</b>	<b>5-Aug</b>	<b>non-brg</b>	<b>0.8</b>
WINSLOW CAPITAL	030	WFT	B	2,200	22.13	n/a	n/a	88.00	4.0
HUNTER GLOBAL INVESTOR	067	WMT	SS	50,000	50.00	11-May	13-Aug	2,500.00	5.0
WINSLOW CAPITAL	030	WMT	B	1,000	49.89	11-May	13-Aug	40.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WRC</b>	<b>S</b>	<b>20,000</b>	<b>43.94</b>	<b>15-Sep</b>	<b>15-Sep</b>	<b>800.00</b>	<b>4.0</b>
EMERSON CAPITAL MGMT	048	WSM	S	4,900	19.81	n/a	n/a	196.00	4.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>WY</b>	<b>B</b>	<b>200</b>	<b>40.14</b>	<b>n/a</b>	<b>3-Aug</b>	<b>0.00</b>	<b>0.0</b>
SCOPUS FUND	041	WY	B	1,500	38.84	n/a	3-Aug	75.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>XLF</b>	<b>SS</b>	<b>375,000</b>	<b>15.28</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>XLY</b>	<b>SS</b>	<b>300,000</b>	<b>27.71</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>XRT</b>	<b>SS</b>	<b>145,000</b>	<b>34.13</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
MERRILL ASSET/BLACKROCK	214	XRX	S	490,300	9.53	n/a	n/a	22,063.50	4.5
TROUBH PART	067	X	B	25,000	49.41	n/a	n/a	1,250.00	5.0
<b>TOTAL (Trade Date):</b>								<b>132,279.15</b>	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT):									0.00

TOTAL (Trade Date):	132,279.15
TOTAL (AO, CXL, CRT):	0.00

TOTAL (RUN DATE) / NFS:	132,279.15
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MRI Securities with Trade Activity on 17-Sep.  
C, DFS, RRR

MRI Securities without Trade Activity on 17-Sep.  
APC, DRI

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 19%  
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)**