



# Daily Compliance Activity Report

Trade Date: 10/09/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f HARALAMBOS EFSTATHI</b>	<b>FID</b>	<b>AIQ</b>	<b>S</b>	<b>1000</b>	<b>6.26</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EXIS CAPITAL	044	AMR	S	20,000	7.60	n/a	n/a	1,000.00	5.0
EXIS CAPITAL	044	ANF	B	2,500	34.75	n/a	9-Oct	125.00	5.0
EXIS CAPITAL	044	ANF	S	25,000	34.31	n/a	9-Oct	1,250.00	5.0
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>AN</b>	<b>B</b>	<b>250</b>	<b>17.99</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LAGRANGE CAP ADV	048	AN	B	10,000	18.00	n/a	n/a	500.00	5.0
THIRD COAST CAPITAL	035	AN	B	15,000	18.02	n/a	n/a	750.00	5.0
ARCHON CAPITAL	035	AONE	SS	45,000	21.27	n/a	n/a	1,350.00	3.0
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>ARGN</b>	<b>S</b>	<b>700</b>	<b>7.84</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f ALEXANDRA ELISE ZOLI</b>	<b>FID</b>	<b>AXP</b>	<b>B</b>	<b>162</b>	<b>35.01</b>	<b>n/a</b>	<b>7-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>f ANDREW SINCLAIR</b>	<b>FID</b>	<b>AZWKO</b>	<b>B</b>	<b>50</b>	<b>1.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>BGU</b>	<b>S</b>	<b>1500</b>	<b>52.76</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BJ</b>	<b>SS</b>	<b>30,000</b>	<b>35.98</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>
EXIS CAPITAL	044	BKE	B	5,000	35.75	n/a	n/a	250.00	5.0
PAW PARTNERS	045	CEPH	B	10,000	54.42	n/a	9-Oct	500.00	5.0
<b>f MATTHEW FRANCIS BUCK</b>	<b>FID</b>	<b>COP</b>	<b>S</b>	<b>500</b>	<b>50.67</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	216	CR	S	2,500	26.62	n/a	n/a	125.00	5.0
<b>f FRANCIS MICHAEL MCCA</b>	<b>FID</b>	<b>CVGI</b>	<b>S</b>	<b>700</b>	<b>7.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JOHN CAREY MAGUIRE</b>	<b>FID</b>	<b>CVGI</b>	<b>S</b>	<b>1000</b>	<b>7.45</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>DHI</b>	<b>S</b>	<b>5000</b>	<b>11.51</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f FRANCIS MICHAEL MCCA</b>	<b>FID</b>	<b>ETN</b>	<b>B</b>	<b>100</b>	<b>57.03</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f SCOTT L BRUNNER</b>	<b>FID</b>	<b>FAZ</b>	<b>B</b>	<b>500</b>	<b>19.69</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>FCVSX</b>	<b>S</b>	<b>192</b>	<b>21.38</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>FLOW</b>	<b>S</b>	<b>1450</b>	<b>2.71</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MTB INV ADV	034	FOSL	B	26,400	29.34	n/a	n/a	1,320.00	5.0
<b>f ALICE BEEBE LONGLEY</b>	<b>FID</b>	<b>F</b>	<b>B</b>	<b>2000</b>	<b>7.11</b>	<b>n/a</b>	<b>1-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>f JOHN CAREY MAGUIRE</b>	<b>FID</b>	<b>F</b>	<b>B</b>	<b>500</b>	<b>7.11</b>	<b>n/a</b>	<b>1-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>F</b>	<b>B</b>	<b>500</b>	<b>7.10</b>	<b>n/a</b>	<b>1-Oct</b>	<b>0.00</b>	<b>0.0</b>
ROYCE TRADING	216	GTI	S	5,000	14.69	n/a	n/a	250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>GYMB</b>	<b>B</b>	<b>25,000</b>	<b>46.78</b>	<b>n/a</b>	<b>9-Oct</b>	<b>non-brg</b>	<b>4.0</b>
ROYCE TRADING	216	HAR	S	6,000	34.84	n/a	n/a	300.00	5.0
ROYCE TRADING	216	HBI	S	5,000	23.31	n/a	n/a	250.00	5.0
NEWLAND CAPITAL MGT	067	HSC	S	10,000	35.92	n/a	n/a	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	216	HZO	S	5,000	8.02	n/a	n/a	250.00	5.0
MISSOURI VALLEY PART	046	IFLO	S	45,871	12.64	n/a	n/a	2,293.55	5.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>IWF</b>	<b>S</b>	<b>2500</b>	<b>46.82</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EXIS CAPITAL	044	JCG	SS	5,000	37.33	n/a	n/a	250.00	5.0
MTB INV ADV	034	JCG	B	4,225	36.91	n/a	n/a	211.25	5.0
<b>f HARALAMBOS EFSTATHI</b>	<b>FID</b>	<b>JCIJE</b>	<b>B</b>	<b>20</b>	<b>1.79</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>JCIJE</b>	<b>B</b>	<b>15</b>	<b>1.65</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COLONIAL FUND LLC	036	JCI	B	10,000	26.78	n/a	n/a	500.00	5.0
SIGMA CAPITAL ASSOCIATES	041	JCP	S	25,000	35.06	n/a	9-Oct	1,000.00	4.0
ROYCE TRADING	216	JNY	S	5,000	18.43	n/a	n/a	250.00	5.0
SIGMA CAPITAL ASSOCIATES	041	JWN	S	50,000	33.03	n/a	9-Oct	2,000.00	4.0
JP MORGAN VENTURES	046	KR	S	25,000	22.04	n/a	n/a	1,250.00	5.0
<b>f FRANCIS MICHAEL MCCA</b>	<b>FID</b>	<b>LOW</b>	<b>S</b>	<b>300</b>	<b>20.65</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LTD</b>	<b>S</b>	<b>20,000</b>	<b>18.12</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
ROYCE TRADING	216	LZB	S	5,000	9.18	n/a	n/a	250.00	5.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>MO</b>	<b>B</b>	<b>2500</b>	<b>18.02</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	MATTHEW FRANCIS BUCK	FID	MO	B	800	18.01	n/a	n/a	0.00	0.0
f	DAVID GEORGE BUCK	FID	MSFT	B	1000	25.55	n/a	n/a	0.00	0.0
f	MATTHEW FRANCIS BUCK	FID	MSFT	B	500	25.64	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		MSMSFINB	SS	200,000	100.67	n/a	n/a	non-brg	10.1
ß	BUCK CAPITAL MGMT		MVRX	SS	122,500	168.01	n/a	n/a	non-brg	16.8
ß	BUCK CAPITAL MGMT		MVRX	SS	420,000	167.61	n/a	n/a	non-brg	16.8
	ROYCE TRADING	216	NCS	B	10,000	2.85	n/a	n/a	300.00	3.0
ß	BUCK CAPITAL MGMT		NP	S	300	12.48	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		NP	S	300	12.48	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		NP	S	7,700	12.48	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		NP	S	800	12.48	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		NP	S	900	12.48	n/a	n/a	non-brg	1.0
f	RAGHAV NAYAR	FID	OCNF	B	550	1.27	n/a	n/a	0.00	0.0
	ROYCE TRADING	216	OSG	S	200	41.01	n/a	n/a	10.00	5.0
	THIRD COAST CAPITAL	035	OSIS	S	20,000	17.21	n/a	n/a	1,000.00	5.0
	ACK ASSET	028	PAG	B	13,500	15.95	n/a	n/a	405.00	3.0
ß	BUCK CAPITAL MGMT		PAG	B	50,000	15.96	n/a	n/a	non-brg	2.5
	TRELLUS PARTNERS LP	028	PAG	B	1,800	15.61	n/a	n/a	90.00	5.0
f	JONATHAN RICHARD HAR	FID	PIRKA	B	52	0.25	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		PIR	B	275,000	3.98	n/a	n/a	non-brg	0.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		PIR	B	75,000	3.82	n/a	n/a	non-brg	3.0
⌘ BUCK CAPITAL MGMT		PIR	B	75,000	3.87	n/a	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		PIR	B	75,000	3.88	n/a	n/a	non-brg	3.0
f JOHN MICHAEL ZOLIDIS	FID	PIR	B	2500	3.84	n/a	n/a	0.00	0.0
ROYCE TRADING	216	PKE	S	1,000	24.27	n/a	n/a	50.00	5.0
⌘ BUCK CAPITAL MGMT		PLCE	S	10,000	33.76	n/a	9-Oct	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PLCE	S	20,000	33.16	n/a	9-Oct	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PLCE	S	20,000	33.63	n/a	9-Oct	non-brg	4.0
FIRST NY SEC/CHRIS	041	PLCE	B	10,000	33.71	n/a	9-Oct	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	PM	S	300	49.92	n/a	n/a	0.00	0.0
NEWLAND CAPITAL MGT	067	PPO	S	10,000	13.54	n/a	n/a	400.00	4.0
ROYCE TRADING	216	PSS	B	3,500	19.13	n/a	n/a	175.00	5.0
EXIS CAPITAL	044	PSUN	B	10,000	6.05	n/a	n/a	500.00	5.0
SYSTEMATIC FINANCIAL MGT	035	PVH	B	50,000	42.90	n/a	n/a	1,750.03	3.5
f KAREN F LEDDY	FID	RF	B	1300	5.94	n/a	n/a	0.00	0.0
EXIS CAPITAL	044	ROST	SS	10,000	46.31	n/a	n/a	500.00	5.0
EXIS CAPITAL	044	SKS	B	10,000	6.30	n/a	n/a	500.00	5.0
f ALEXANDER A SACCO	FID	SWWC	B	200	5.41	n/a	n/a	0.00	0.0
MAIRS AND POWER INV	030	TGT	S	20,000	49.60	9-Oct	9-Oct	1,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	TIN	B	144,000	16.13	n/a	2-Oct	7,200.00	5.0
<b>f ALEXANDRA ELISE ZOLI</b>	<b>FID</b>	<b>TIP</b>	<b>B</b>	<b>100</b>	<b>102.93</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
M&I FUNDS	047	TJX	B	15,803	37.25	9-Oct	9-Oct	632.12	4.0
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>T</b>	<b>B</b>	<b>2000</b>	<b>25.74</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>T</b>	<b>B</b>	<b>5000</b>	<b>25.84</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>UNG</b>	<b>S</b>	<b>150</b>	<b>11.91</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>URBN</b>	<b>B</b>	<b>20,000</b>	<b>30.92</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
JP MORGAN VENTURES	046	VFC	S	15,000	74.63	n/a	7-Oct	750.00	5.0
<b>f MATTHEW FRANCIS BUCK</b>	<b>FID</b>	<b>VNO</b>	<b>B</b>	<b>299</b>	<b>62.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>XLFX</b>	<b>C</b>	<b>1,322,998</b>	<b>15.15</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>XRT</b>	<b>C</b>	<b>2,000,000</b>	<b>35.13</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>XRT</b>	<b>C</b>	<b>2,800</b>	<b>35.08</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>XRT</b>	<b>C</b>	<b>586,800</b>	<b>35.11</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
EXIS CAPITAL	044	YRCW	S	25,000	4.12	n/a	n/a	1,250.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>35,136.95</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/08	G WEISS /SASHA	070	CP	SS	15,000	47.71	n/a	n/a	600.00 4.0
AO,CXL	10/07	ROYCE TRADING	216	DDS	S	12,500	14.61	n/a	n/a	625.00 5.0
AO,	10/07	ROYCE TRADING	216	DDS	S	12,500	14.58	n/a	n/a	625.00 5.0
AO,CRT	10/08	G WEISS /SASHA	070	FDX	B	20,000	78.20	n/a	n/a	800.00 4.0
AO,CRT	10/08	G WEISS /SASHA	070	INFY	C	10,000	48.86	n/a	n/a	300.00 3.0
AO,CRT	10/08	G WEISS /SASHA	070	NSC	SS	10,000	45.88	n/a	n/a	400.00 4.0
AO,CRT	10/07	SCOPUS FUND	041	PKG	S	25,000	20.11	n/a	2-Oct	1250.00 5.0
AO,CXL	10/07	SCOPUS FUND	041	PKG	S	25,000	20.11	n/a	2-Oct	1250.00 5.0
AO,CXL	10/08	GREEN ARROW DOUG	040	PVH	SS	7,000	42.87	n/a	n/a	350.00 5.0
AO,CRT	10/08	MACKLOWE ASSET MGMT	041	PVH	SS	7,000	42.87	n/a	n/a	350.00 5.0
AO,CRT	10/07	SCOPUS FUND	041	WY	S	38,910	34.82	n/a	n/a	1945.50 5.0
AO,CXL	10/07	SCOPUS FUND	041	WY	S	38,910	34.82	n/a	n/a	1945.50 5.0

**TOTAL (AO, CXL, CRT) :****2,100.00**

TOTAL (Trade Date) :

35,136.95

TOTAL (AO, CXL, CRT) :

2,100.00

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TOTAL (RUN DATE) / NFS:

37,236.95

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MRI Securities with Trade Activity on 9-Oct.

TGT, TJX

MRI Securities without Trade Activity on 9-Oct.

MYL, MA

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

T-Date = 1%

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)**