



Daily Compliance Activity Report

Trade Date: 04/06/2009

Potential ANALYST TRADE Violations: 0

BCM Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	216	AAI	S	10,000	5.07	n/a	n/a	500.00	5.0
f BARBARA S LEDDY	FID	AB	S	200	16.52	20-Feb	2-Apr	0.00	0.0
f KAREN F LEDDY	FID	AB	S	200	16.25	20-Feb	2-Apr	0.00	0.0
RDK CAPITAL MGMT	034	AMZN	B	15,000	77.47	n/a	n/a	600.00	4.0
WOOSTER CAPITAL	035	AN	SS	40,000	15.38	30-Jan	30-Jan	2,000.00	5.0
WEISS PECK	040	ARO	SS	4,200	27.69	n/a	3-Apr	210.00	5.0
NUMERIC	060	ASH	S	55,800	13.09	n/a	11-Mar	1,674.00	3.0
DIAMONDBACK CAP MGMT	232	AXP	C	50,000	14.89	n/a	1-Apr	2,500.00	5.0
MILLENIUM PARTNERS	028	BBY	B	6,030	38.99	n/a	27-Jul	241.20	4.0
ROYCE TRADING	216	BCO	S	6,300	29.31	n/a	n/a	315.00	5.0
DC CAPITAL	044	BC	B	50,000	3.96	n/a	n/a	1,000.00	2.0
B BUCK CAPITAL MGMT		BEBE	B	10,000	7.21	n/a	n/a	non-brg	1.0
ROYCE TRADING	216	BHE	S	5,000	12.28	n/a	n/a	250.00	5.0
MILLENIUM PARTNERS	028	BIG	B	14,260	21.75	4-Mar	6-Apr	570.40	4.0
MILLENIUM PARTNERS	028	BKC	B	7,780	23.91	6-Feb	3-Apr	311.20	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
S.A.C. HEALTHCARE BOBBY	044	BMY	SS	25,000	20.56	n/a	n/a	1,000.00	4.0
ROYCE TRADING	216	BNE	B	10,000	3.39	n/a	n/a	300.00	3.0
f ROBERT M DANIELS	FID	BQI	S	1000	0.95	n/a	n/a	0.00	0.0
MTB INV ADV	034	BWLD	B	6,625	37.16	n/a	n/a	331.25	5.0
B BUCK CAPITAL MGMT		BXP	SS	30,000	39.21	n/a	n/a	non-brg	4.0
MTB INV ADV	034	BYI	B	10,700	22.28	n/a	n/a	535.00	5.0
ROYCE TRADING	216	CAB	S	5,000	10.22	n/a	n/a	250.00	5.0
MTB INV ADV	034	CAKE	B	8,575	12.61	n/a	3-Apr	428.75	5.0
f EDWARD W WHEELER	FID	CBI	S	3000	7.02	n/a	n/a	0.00	0.0
MILLENIUM PARTNERS	028	CCE	B	20,600	13.99	n/a	n/a	824.00	4.0
f IAN L MILLER	FID	CMI	B	25	28.80	14-Nov	4-Feb	0.00	0.0
BUCK CAPITAL MGMT	001	COH	S	86,600	17.70	9-Jan	3-Apr	3,464.00	4.0
B BUCK CAPITAL MGMT		COLM	SS	20,000	31.63	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CTAS	SS	20,000	25.54	n/a	n/a	non-brg	4.0
ROYCE TRADING	216	CTS	B	5,000	4.15	n/a	n/a	150.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	CVS	S	30,000	28.29	n/a	n/a	1,200.00	4.0
PRINCIPLE CAPITAL	040	CVS	B	35,000	28.90	n/a	n/a	1,050.00	3.0
B BUCK CAPITAL MGMT		DECK	S	20,000	57.05	n/a	n/a	non-brg	4.0
f FRANCIS MICHAEL MCCA	FID	ETN	S	200	40.91	30-Mar	30-Mar	0.00	0.0
MERRILL ASSET	032	FDO	B	12,000	33.46	5-Mar	6-Apr	540.00	4.5
MTB INV ADV	034	FINL	B	15,775	7.40	n/a	28-Mar	788.75	5.0
f JOEL GIFFORD TISS	FID	FLPSX	S	3327	22.48	n/a	n/a	0.00	0.0
ROYCE TRADING	216	FNF	S	5,000	19.77	n/a	n/a	250.00	5.0
f DANIEL R SCHWARZWALD	FID	FNKXX	B	503800	1.00	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FO	SS	30,000	32.12	n/a	n/a	non-brg	2.5
f JOHN CAREY MAGUIRE	FID	F	S	1000	3.75	10-Nov	2-Apr	0.00	0.0
TROUBH PART	067	GD	S	25,000	44.95	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	GES	S	100,000	21.44	n/a	n/a	4,000.00	4.0
ROYCE TRADING	216	GFF	S	10,000	8.48	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		GIII	S	10,000	6.70	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		GIII	S	10,000	6.72	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		GIL+FB[GIL]	SS	2,000	0.55	n/a	n/a	non-brg	100.0
ASCEND PARTNERS	033	GIL	B	30,000	8.77	11-Dec	12-Feb	900.00	3.0
B BUCK CAPITAL MGMT		GIL	S	175,000	8.76	11-Dec	12-Feb	non-brg	1.0
B BUCK CAPITAL MGMT		GIL	S	75,000	8.88	11-Dec	12-Feb	non-brg	3.0
WEISS PECK	040	GIL	S	59,920	8.86	11-Dec	12-Feb	2,396.80	4.0
BUCK CAPITAL MGMT	001	GPS	S	150,000	14.45	n/a	30-Jan	6,000.00	4.0
f JONATHAN RICHARD HAR	FID	GYMB	S	150	22.22	5-Mar	3-Apr	0.00	0.0
MTB INV ADV	034	GYMB	B	5,000	22.38	5-Mar	3-Apr	250.00	5.0
ROYCE TRADING	216	GY	S	10,000	2.47	n/a	n/a	300.00	3.0
f JONATHAN RICHARD HAR	FID	HBI	S	250	11.14	n/a	n/a	0.00	0.0
PZENA INV ADV	044	HD	S	9,425	24.75	n/a	25-Feb	329.89	3.5
STG INVESTORS	041	HD	SS	55,000	24.77	n/a	25-Feb	2,200.00	4.0
MTB INV ADV	034	HIBB	B	12,800	19.42	n/a	n/a	640.00	5.0
KLEINHEINZ CAP PART	031	HPQ	SS	200,000	33.21	n/a	n/a	10,000.00	5.0
BROOKSIDE CAPITAL PART	067	INTC	B	200,000	15.56	n/a	n/a	8,000.00	4.0
f KAREN F LEDDY	FID	IVZ	S	800	15.62	24-Mar	2-Apr	0.00	0.0
BALYASNY ASSET MGMT	044	JCP	B	20,000	21.85	30-Mar	3-Apr	1,000.00	5.0
B BUCK CAPITAL MGMT		JCP	S	150,000	21.74	30-Mar	3-Apr	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		JCP	S	200,000	22.40	30-Mar	3-Apr	non-brg	4.0
BUCK CAPITAL MGMT		JOSB	S	40,000	29.72	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		JWN+SV[JWN]	SS	4,000	0.83	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT	001	JWN	SS	50,000	18.60	20-Feb	3-Apr	2,000.00	4.0
PZENA INV ADV	044	KFT	B	61,350	22.84	n/a	n/a	2,147.29	3.5
BUCK CAPITAL MGMT	001	KMX	SS	20,000	11.76	n/a	10-Jan	800.00	4.0
BUCK CAPITAL MGMT	001	KRC	S	50,000	17.87	n/a	n/a	2,000.00	4.0
COUGAR TRADING	044	KSS	B	5,000	44.99	30-Mar	3-Apr	250.00	5.0
S.A.C. HEALTHCARE BOBBY	044	LLY	B	50,000	32.63	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT		LL	S	50,000	12.79	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		LTD+EB[LTD]	SS	2,000	0.85	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT		LTD	B	220,000	9.79	8-Jan	30-Jan	non-brg	2.0
BUCK CAPITAL MGMT		LVS	S	175,000	4.96	n/a	n/a	non-brg	2.0
MILLRACE FUND LP	028	MHP	S	4,123	24.05	n/a	n/a	123.69	3.0
AVESTA CAP	229	MSFT	B	100,000	18.45	n/a	3-Apr	4,000.00	4.0
BUCK CAPITAL MGMT	001	M	S	150,000	9.93	n/a	3-Apr	4,500.00	3.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	JOHN MICHAEL ZOLIDIS	FID	M	S	500	9.96	n/a	3-Apr	0.00	0.0
B	BUCK CAPITAL MGMT		NKE	S	50,000	50.86	n/a	n/a	non-brg	4.0
	MTB INV ADV	034	PBY	B	90,675	5.10	n/a	n/a	4,533.75	5.0
f	FRANCIS MICHAEL MCCA	FID	PCAR	S	200	28.76	25-Mar	25-Mar	0.00	0.0
B	BUCK CAPITAL MGMT		PDCO	SS	20,000	18.74	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		PENN	B	30,000	26.25	n/a	n/a	non-brg	4.0
	S.A.C. HEALTHCARE BOBBY	044	PFE	B	25,000	13.61	n/a	31-Mar	1,000.00	4.0
	MERRILL ASSET	032	PLCE	B	17,500	22.70	19-Mar	3-Apr	787.50	4.5
	WEISS PECK	040	PLCE	SS	5,000	23.14	19-Mar	3-Apr	250.00	5.0
B	BUCK CAPITAL MGMT		QUK+IP [DECK]	SS	1,000	3.31	n/a	n/a	non-brg	300.0
	FIRST NEW YORK LEDDY	035	Q	S	10,000	3.84	n/a	n/a	600.00	6.0
B	BUCK CAPITAL MGMT		RCL	S	40,000	9.65	26-Mar	26-Mar	non-brg	3.0
B	BUCK CAPITAL MGMT		RL	C	30,000	45.56	n/a	5-Feb	non-brg	4.0
B	BUCK CAPITAL MGMT		RNT	S	40,000	27.26	n/a	n/a	non-brg	4.0
f	IAN L MILLER	FID	SDS	B	2	72.47	n/a	n/a	0.00	0.0
f	WILLIAM J GAULT	FID	SKF	S	1000	85.91	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		SLG	SS	30,000	11.75	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		SLM	S	175,000	5.61	27-Feb	6-Apr	non-brg	3.0
f FRANCIS MICHAEL MCCA	FID	SPLS	S	200	19.18	n/a	27-Jul	0.00	0.0
MTB INV ADV	034	SSI	B	42,625	10.61	n/a	3-Apr	2,131.25	5.0
⚡ BUCK CAPITAL MGMT		SUMR	B	5,000	1.74	n/a	n/a	non-brg	1.0
SIGMA CAPITAL ASSOCIATES	041	TIF	S	14,600	22.85	n/a	30-Jan	730.00	5.0
CAXTON PART	040	TIN	S	25,000	5.61	5-Dec	20-Mar	875.01	3.5
ROYCE TRADING	216	TRN	S	5,000	10.77	n/a	n/a	250.00	5.0
f FRANCIS MICHAEL MCCA	FID	USTR	S	200	28.92	n/a	27-Jul	0.00	0.0
f RAGHAV NAYAR	FID	UTRM	B	870	0.56	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		VNO	SS	30,000	38.04	n/a	n/a	non-brg	4.0
f FRANCIS MICHAEL MCCA	FID	WBC	S	400	13.57	5-Feb	18-Mar	0.00	0.0
BUCK CAPITAL MGMT	001	WMT	S	20,000	53.51	10-Oct	6-Apr	800.00	4.0
BUCK CAPITAL MGMT	001	WRC	S	120,000	25.56	27-Mar	27-Mar	4,800.00	4.0
⚡ BUCK CAPITAL MGMT		XRT	C	600,000	24.28	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f IAN L MILLER	FID	X	B	10	24.51	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		ZQK	S	153,348	1.25	12-Mar	12-Mar	non-brg	1.0
ß BUCK CAPITAL MGMT		ZQK	S	60,000	1.26	12-Mar	12-Mar	non-brg	2.0
TOTAL (Trade Date):							93,628.73		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/03	BUCK CAPITAL MGMT	001	CHS	B	19,100	6.41	5-Dec	30-Jan	573.00 3.0
AO,CXL	04/03	BUCK CAPITAL MGMT	001	CHS	B	200,000	6.41	5-Dec	30-Jan	8000.00 4.0
AO,CRT	04/03	BUCK CAPITAL MGMT	001	CHS	B	180,900	6.41	5-Dec	30-Jan	5427.00 3.0
AO,CXL	04/03	BUCK CAPITAL MGMT	001	DRI	B	9,300	35.93	19-Mar	19-Mar	372.00 4.0
AO,CRT	04/03	BUCK CAPITAL MGMT	001	DRI	B	9,300	35.93	19-Mar	19-Mar	372.00 4.0
AO,CRT	04/03	SENVEST PART	045	DSW	SS	15,000	10.82	24-Mar	25-Mar	750.00 5.0
AO,CXL	04/03	SENVEST PART	045	DSW	SS	15,000	10.82	24-Mar	25-Mar	750.00 5.0
AO,CRT	04/03	PHILADELPHIA FINANCIAL	033	EVR	S	20,000	16.60	n/a	n/a	800.00 4.0
AO,CXL	03/30	NATIONAL BK OF CAN	031	JNS	SS	70,000	6.26	2-Mar	2-Apr	2800.00 4.0
AO,CRT	03/30	NATIONAL BK OF CAN	031	JNS	SS	70,000	6.26	2-Mar	2-Apr	2100.00 3.0
AO,	04/03	GOLDMAN SACHS ASSET MGMT	098	ORCL	B	629,447	19.27	n/a	n/a	25177.88 4.0
AO,CRT	04/03	SACC-SCHWARTZ	044	PKG	S	150,000	13.70	5-Dec	20-Mar	6000.00 4.0
AO,CXL	04/03	SACC-SCHWARTZ	044	PKG	S	150,000	13.70	5-Dec	20-Mar	7500.00 5.0

TOTAL (AO, CXL, CRT) :**21,777.88**

TOTAL (Trade Date) :

93,628.73

TOTAL (AO, CXL, CRT) :

21,777.88

TOTAL (RUN DATE) / NFS:

115,406.61

MRI Securities with Trade Activity on 6-Apr.
NONE

MRI Securities without Trade Activity on 6-Apr.
SAH

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 30%
YTD = 24%

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)