



Daily Compliance Activity Report

Trade Date: 08/24/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		AEO	B	30,000	14.26	25-Jun	7-Aug	non-brg	4.0
BUCK CAPITAL MGMT		AEO	B	60,000	14.36	25-Jun	7-Aug	non-brg	1.0
BUCK CAPITAL MGMT		AEO	S	20,000	14.25	25-Jun	7-Aug	non-brg	1.0
GREEN ARROW DOUG	040	AEO	S	50,000	14.49	25-Jun	7-Aug	2,500.00	5.0
MORTAR ROCK	033	AHL	B	5,000	24.37	n/a	n/a	200.00	4.0
JOSEPH CIRO AMATURO	FID	AIG	S	2000	34.90	n/a	n/a	0.00	0.0
DIAMONDBACK CAP MGMT	232	AKS	S	20,000	21.08	n/a	n/a	1,000.00	5.0
ROARING BLUE LION MGMT	012	AMG	B	5,500	62.65	3-Aug	19-Aug	220.00	4.0
BUCK CAPITAL MGMT	001	ARO	S	60,000	39.90	n/a	21-Aug	2,400.00	4.0
BUCK CAPITAL MGMT		ARO	S	32,000	40.08	n/a	21-Aug	non-brg	1.0
DSG CAPITAL	225	AXL	S	20,000	6.02	19-Aug	19-Aug	700.00	3.5
FRANCIS MICHAEL MCCA	FID	AXL	S	1500	6.18	19-Aug	19-Aug	0.00	0.0
JOHN BARTMAN COLE	FID	AXL	S	700	5.88	19-Aug	19-Aug	0.00	0.0
NICOLAS EVAN PAKLER	FID	AXL	S	800	6.23	19-Aug	19-Aug	0.00	0.0
OZ MGMT	040	AXL	B	100,000	5.90	19-Aug	19-Aug	3,000.00	3.0
THIRD COAST CAPITAL	035	AXL	B	25,000	6.00	19-Aug	19-Aug	1,250.00	5.0
BUCK CAPITAL MGMT		BAC	S	30,000	17.88	11-May	17-Aug	non-brg	1.0
LOCUS WOOD CAPITAL MGMT	044	BBT	S	37,500	27.61	n/a	n/a	1,500.00	4.0
JOSEPH CIRO AMATURO	FID	BGZ	B	3500	23.66	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JOSEPH CIRO AMATURO	FID	BGZ	B	5000	23.63	n/a	n/a	0.00	0.0
f FRANCIS MICHAEL MCCA	FID	BIG	B	300	24.05	28-May	24-Aug	0.00	0.0
f NICOLAS EVAN PAKLER	FID	BIG	B	100	24.05	28-May	24-Aug	0.00	0.0
SANDLER O'NEILL ASSET	031	BLK	SS	2,500	206.71	24-Aug	24-Aug	125.00	5.0
LOCUS WOOD CAPITAL MGMT	044	BPO	S	10,000	11.30	n/a	n/a	400.00	4.0
SCHOTTENFELD ASSOC	041	BWA	B	35,000	30.44	3-Aug	24-Aug	1,050.00	3.0
SCOPUS FUND	041	BZ	S	25,000	4.91	n/a	n/a	1,250.00	5.0
CAVU CAP ADV	028	CAL	S	25,000	13.54	n/a	n/a	1,250.00	5.0
f ROBERT M DANIELS	FID	CBI	S	200	16.04	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	CHCG	S	13000	0.58	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		CHRS	S	40,000	5.60	n/a	22-Mar	non-brg	3.0
B BUCK CAPITAL MGMT		COF	S	16,000	37.39	10-Aug	20-Aug	non-brg	1.0
B BUCK CAPITAL MGMT		COLM	C	10,000	36.82	n/a	n/a	non-brg	4.0
ARMATURE CAPITAL	041	COL	SS	10,000	44.87	n/a	n/a	400.00	4.0
JMP ASSET MGMT	210	CRI	S	5,000	25.62	n/a	n/a	250.00	5.0
B BUCK CAPITAL MGMT	001	CRM	B	10,000	52.77	n/a	n/a	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		C	S	120,000	4.90	n/a	17-Aug	non-brg	1.0
BUCK CAPITAL MGMT		DECK	S	25,000	69.05	n/a	n/a	non-brg	4.0
KSA CAPITAL MGMT	048	DENN	S	100,000	2.61	n/a	n/a	3,000.00	3.0
BUCK CAPITAL MGMT	001	DKS	SS	20,000	22.33	17-Aug	21-Aug	800.00	4.0
JONATHAN RICHARD HAR	FID	DPTR	B	250	1.98	n/a	n/a	0.00	0.0
WEINTRAUB CAPITAL MGT.	040	DRI	B	50,000	33.58	13-Aug	13-Aug	2,000.00	4.0
MERRILL ASSET/BLACKROCK	214	EFII	B	9,200	11.28	n/a	n/a	414.00	4.5
JOHN MICHAEL ZOLIDIS	FID	FINL	B	1000	7.99	n/a	28-Mar	0.00	0.0
CASTLEROCK	040	FL	B	120,515	10.10	27-Apr	21-Aug	4,820.60	4.0
MERRILL ASSET/BLACKROCK	214	FL	B	8,500	9.98	27-Apr	21-Aug	382.50	4.5
BUCK CAPITAL MGMT		FOSL	S	50,000	24.84	n/a	30-Jan	non-brg	4.0
BUCK CAPITAL MGMT	001	GCO	S	20,000	19.98	n/a	10-Jan	800.00	4.0
BUCK CAPITAL MGMT	001	GES	S	26,000	31.21	n/a	n/a	1,040.00	4.0
ROSEDALE CAPITAL	046	GLW	B	20,000	15.97	27-Jul	27-Jul	1,000.00	5.0
BUCK CAPITAL MGMT		GYMB	S	10,000	45.05	6-Aug	20-Aug	non-brg	4.0
BUCK CAPITAL MGMT	001	HD	B	40,000	27.42	10-Aug	19-Aug	1,600.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	214	HHS	S	29,000	13.75	n/a	n/a	1,305.00	4.5
⌘ BUCK CAPITAL MGMT		IMAX	S	20,000	9.70	n/a	n/a	non-brg	2.5
BMO NESBITT BURNS	041	IP	SS	50,000	21.37	14-Aug	14-Aug	2,500.00	5.0
AVESTA CAP	229	JCP	S	50,000	30.96	13-Apr	14-Aug	2,000.00	4.0
⌘ BUCK CAPITAL MGMT		JOSB	B	6,077	39.14	n/a	n/a	non-brg	1.0
JETSTREAM GLOBAL FUND LP	065	JPM	S	20,000	44.05	7-Aug	17-Aug	1,000.00	5.0
⌘ BUCK CAPITAL MGMT		LL	S	10,000	22.00	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		LPX	S	60,000	6.72	n/a	5-Aug	non-brg	3.0
SENATOR INVESTMENT GROUP	036	LPX	B	55,800	6.79	n/a	5-Aug	1,674.00	3.0
⌘ BUCK CAPITAL MGMT		MS	S	22,000	30.38	11-May	23-Jul	non-brg	1.0
RAINIER INV MGMT	035	MS	B	324,250	30.26	11-May	23-Jul	12,970.00	4.0
SIGMA CAPITAL ASSOCIATES	041	MW	S	51,000	24.53	n/a	n/a	2,040.00	4.0
EGS ASSOCIATES LP	091	M	SS	3,000	15.59	n/a	13-Aug	180.00	6.0
⌘ BUCK CAPITAL MGMT		NP	S	10,000	12.14	11-Aug	11-Aug	non-brg	2.5
⌘ BUCK CAPITAL MGMT		NP	S	10,000	12.19	11-Aug	11-Aug	non-brg	1.0
BUCK CAPITAL MGMT	001	OC	B	20,000	22.84	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	OXM	B	10,000	14.23	n/a	n/a	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COHE & STEERS	091	PCL	S	300,000	30.92	n/a	28-Jul	12,000.00	4.0
B BUCK CAPITAL MGMT		PDCO	C	30,000	27.76	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		PERY	S	2,463	11.97	n/a	n/a	non-brg	2.5
CSFB GLOBAL PROPRIETARY	041	PKG	B	150,000	19.16	21-Jul	21-Jul	7,500.00	5.0
PIONEER MICHAEL NOLAN	067	RAX	B	52,500	14.98	n/a	n/a	1,575.00	3.0
BUCK CAPITAL MGMT	001	RL	S	30,000	66.38	6-Aug	6-Aug	1,200.00	4.0
CASTLE ARK	031	SCHW	S	8,100	18.16	n/a	n/a	486.00	6.0
METROPOLITAN CAPITAL	044	SKS	B	5,400	6.14	n/a	n/a	270.00	5.0
BUCK CAPITAL MGMT	001	SKX	S	10,000	15.37	n/a	13-Mar	400.00	4.0
B BUCK CAPITAL MGMT		SKX	S	30,000	15.45	n/a	13-Mar	non-brg	2.0
JP MORGAN VENTURES	046	SLB	SS	15,000	57.82	n/a	n/a	750.00	5.0
f JOSEPH CIRO AMATURO	FID	SLV	S	2000	14.20	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	SLW	S	5000	10.24	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	214	TGI	B	8,800	43.25	n/a	n/a	396.00	4.5
f KEVIN MICHAEL O'GORM	FID	TZA	S	2000	13.77	n/a	n/a	0.00	0.0
SCOPUS FUND	041	UFS	S	25,000	30.89	n/a	n/a	1,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
VISIUM/BALY BOBBY	044	WAG	B	25,000	31.37	n/a	n/a	1,250.00	5.0
FEDERATED INV/KAUFMAN	029	WCRX	B	200,000	20.85	24-Aug	24-Aug	11,000.01	5.5
MERRILL ASSET/BLACKROCK	214	WRC	B	3,900	39.46	28-Jul	12-Aug	175.50	4.5
B BUCK CAPITAL MGMT		WYNN	C	20,000	56.87	n/a	31-Jul	non-brg	4.0
JETSTREAM GLOBAL FUND LP	065	X	S	30,000	46.00	n/a	n/a	1,500.00	5.0
TOTAL (Trade Date):								98,373.61	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	08/21	LEVG	031	BRCD	B	1,000,000	7.62	n/a	n/a	10000.00 1.0
AO,CXL	08/20	SENVEST PART	045	DSW	B	3,100	12.88	28-Jul	24-Aug	93.00 3.0
AO,CRT	08/20	SENVEST PART	045	DSW	B	3,100	12.88	28-Jul	24-Aug	155.00 5.0
AO,	08/21	EPOCH INV MGMT	030	FII	B	53,550	26.85	3-Aug	13-Aug	1606.50 3.0
AO,CRT	08/21	CAVU CAP ADV	028	JCI	S	50,000	25.31	4-Aug	20-Aug	2500.00 5.0
AO,CXL	08/21	CAVU CAP ADV	028	JCI	S	50,000	25.31	4-Aug	20-Aug	2500.00 5.0
AO,CRT	08/21	MILLENIU PARTNERS	028	K	B	1,578	47.40	n/a	n/a	63.12 4.0
AO,CXL	08/21	MILLENIU PARTNERS	028	K	B	1,578	47.40	n/a	n/a	63.12 4.0
AO,CRT	08/21	HIGHBRIDGE CAPITAL	038	LPX	SS	50,000	6.39	n/a	5-Aug	1500.00 3.0
AO,CXL	08/21	HIGHBRIDGE CAPITAL	038	LPX	SS	50,000	6.39	n/a	5-Aug	2000.00 4.0
AO,CRT	08/21	COBALT	041	SLM	B	50,000	8.71	12-Aug	12-Aug	1500.00 3.0
AO,CXL	08/21	COBALT	041	SLM	B	50,000	8.71	12-Aug	12-Aug	2500.00 5.0
AO,	08/21	MILLENIU PARTNERS	028	SWY	S	15,626	19.18	n/a	n/a	625.04 4.0
AO,CXL	08/21	MILLENIU PARTNERS	028	SWY	S	15,626	19.18	n/a	n/a	625.04 4.0
AO,CRT	08/21	MILLENIU PARTNERS	028	TAP	B	4,838	46.40	n/a	n/a	193.52 4.0
AO,CXL	08/21	MILLENIU PARTNERS	028	TAP	B	4,838	46.40	n/a	n/a	193.52 4.0
TOTAL (AO, CXL, CRT) :										10,168.50

TOTAL (Trade Date):	98,373.61
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TOTAL (AO, CXL, CRT):	10,168.50
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TOTAL (RUN DATE) / NFS:	108,542.11
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MRI Securities with Trade Activity on 24-Aug.

BLK, WCRX

MRI Securities without Trade Activity on 24-Aug.

AOS

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

T-Date = 40%

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)