



# Daily Compliance Activity Report

Trade Date: 01/30/2009

Potential ANALYST TRADE Violations: 0

BCM Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		AAPL	S	80,000	92.35	n/a	n/a	non-brg	1.0
WEISS PECK	040	AA	S	53,100	8.01	n/a	n/a	2,124.00	4.0
BUCK CAPITAL MGMT		AEO	S	50,000	9.01	n/a	30-Jan	non-brg	3.0
BUCK CAPITAL MGMT		AEO	S	50,000	9.22	n/a	30-Jan	non-brg	3.0
BALYASNY ASSET MGMT	044	ALV	B	10,000	18.54	30-Jan	30-Jan	500.00	5.0
COUGAR TRADING	044	ALV	SS	10,000	19.21	30-Jan	30-Jan	500.00	5.0
HARVEST MGMT	039	ALV	B	10,000	19.13	30-Jan	30-Jan	500.00	5.0
HARVEST MGMT	039	ALV	SS	10,000	19.40	30-Jan	30-Jan	500.00	5.0
ADALY INV MGMT	067	AN	SS	6,500	9.73	30-Jan	30-Jan	195.00	3.0
HOLDEN CAPITAL MGMT	035	AN	SS	100,000	9.57	30-Jan	30-Jan	5,000.00	5.0
BUCK CAPITAL MGMT		ARO	S	20,000	21.07	n/a	30-Jan	non-brg	4.0
BUCK CAPITAL MGMT		BBBY	C	20,000	23.24	n/a	n/a	non-brg	1.0
HUNTER GLOBAL INVESTOR	067	BCR	B	10,000	87.18	n/a	22-Apr	500.00	5.0
WEISS PECK	040	BGC	S	7,800	16.25	n/a	n/a	312.00	4.0
JONATHAN RICHARD HAR	FID	BGU	B	71	27.38	n/a	n/a	0.00	0.0
JOSEPH CIRO AMATURO	FID	BGU	B	8000	29.72	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		BRBY LN	SS	100,000	3.64	n/a	n/a	non-brg	0.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAC CAP/ROSEN FOR BOBBY	044	BR	S	100,000	13.52	n/a	30-Jan	5.00	0.0
COUGAR TRADING	044	BWA	SS	5,000	17.08	27-Jan	27-Jan	250.00	5.0
DSG CAPITAL	225	CAL	B	10,000	13.54	n/a	n/a	500.00	5.0
KACELA CAPITAL	034	CLX	B	5,900	49.95	30-Jan	30-Jan	236.00	4.0
MILLENIUM PARTNERS	028	CMCSA	S	50,000	14.92	n/a	4-Jan	2,000.00	4.0
f MANNY I KORMAN	FID	COFNC	S	30	1.00	n/a	n/a	0.00	0.0
LUCHANKSY	036	CPN	S	200	7.36	n/a	n/a	0.00	0.0
f FRANCIS MICHAEL MCCA	FID	CVGI	B	5000	1.01	n/a	n/a	0.00	0.0
FIRST NY SEC/CHRIS	041	DAL	S	45,000	6.93	n/a	n/a	2,250.00	5.0
B BUCK CAPITAL MGMT		DECK	B	20,000	52.71	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DIN	C	31,400	8.79	n/a	n/a	non-brg	1.0
f MANNY I KORMAN	FID	DKSNB	S	40	0.40	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	DNARL	S	25	1.45	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	DWNOO	B	20	1.90	n/a	n/a	0.00	0.0
f ANN M GAULT	FID	DXO	B	5000	2.67	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	WILLIAM J GAULT	FID	DXO	B	10000	2.67	n/a	n/a	0.00	0.0
	CUMBERLAND	038	EXH	B	3,000	22.28	27-Jan	27-Jan	120.00	4.0
f	MANNY I KORMAN	FID	FDONY	S	40	0.90	n/a	n/a	0.00	0.0
	TRELLUS PARTNERS LP	028	FDO	SS	10,000	28.35	7-Jan	7-Jan	500.00	5.0
B	BUCK CAPITAL MGMT		FOSL	B	10,000	11.65	23-Jan	30-Jan	non-brg	4.0
f	WILLIAM J GAULT	FID	FXP	B	2000	41.53	n/a	n/a	0.00	0.0
	SCHOTTENFELD ASSOC	041	F	S	50,000	1.96	10-Nov	28-Jan	1,500.00	3.0
	WHALE ROCK CAP	030	GES	S	84,800	16.07	n/a	n/a	3,392.00	4.0
	PHILADELPHIA FINANCIAL	033	GHL	B	10,008	66.73	n/a	n/a	400.32	4.0
B	BUCK CAPITAL MGMT		GIL	B	10,000	10.71	11-Dec	12-Dec	non-brg	4.0
B	BUCK CAPITAL MGMT		GIL	B	35,000	10.63	11-Dec	12-Dec	non-brg	1.5
B	BUCK CAPITAL MGMT		GIL	B	35,000	10.66	11-Dec	12-Dec	non-brg	4.0
	COUGAR TRADING	044	GIL	S	700	10.80	11-Dec	12-Dec	35.00	5.0
	WEISS PECK	040	GIL	S	13,700	10.45	11-Dec	12-Dec	548.00	4.0
	HOLDEN CAPITAL MGMT	035	GNTX	SS	30,000	8.53	30-Jan	30-Jan	1,500.00	5.0
	ADALY INV MGMT	067	GPI	B	6,500	9.73	n/a	23-Dec	195.00	3.0
	WAGONHOUND/NIC	048	GS	S	5,000	83.55	15-Sep	14-Jan	200.00	4.0
	MILLRACE FUND LP	028	GYMB	B	6,000	24.60	7-Nov	30-Jan	240.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	HAR	B	10,000	16.57	n/a	26-Nov	500.00	5.0
<b>B</b> BUCK CAPITAL MGMT		<b>HOTT</b>	<b>SS</b>	<b>20,000</b>	<b>8.54</b>	<b>n/a</b>	<b>30-Jan</b>	<b>non-brg</b>	<b>3.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>HOTT</b>	<b>SS</b>	<b>20,000</b>	<b>8.59</b>	<b>n/a</b>	<b>30-Jan</b>	<b>non-brg</b>	<b>3.0</b>
BMO NESBITT BURNS	041	IP	B	50,000	9.55	22-Sep	29-Jan	2,500.00	5.0
<b>B</b> BUCK CAPITAL MGMT		<b>IP</b>	<b>C</b>	<b>41,400</b>	<b>9.54</b>	<b>22-Sep</b>	<b>29-Jan</b>	<b>non-brg</b>	<b>3.0</b>
<b>f</b> JOHN CAREY MAGUIRE	<b>FID</b>	<b>IQYBX</b>	<b>B</b>	<b>8</b>	<b>1.45</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SCOPUS FUND	041	ITW	B	20,000	32.91	30-Jan	30-Jan	1,000.00	5.0
BUCK CAPITAL MGMT	<b>001</b>	<b>JCG</b>	<b>S</b>	<b>50,000</b>	<b>10.21</b>	<b>n/a</b>	<b>30-Jan</b>	<b>2,000.00</b>	<b>4.0</b>
SIGMA CAPITAL ASSOCIATES	237	JCG	B	25,000	10.38	n/a	30-Jan	1,250.00	5.0
<b>B</b> BUCK CAPITAL MGMT		<b>JOSB</b>	<b>B</b>	<b>10,000</b>	<b>27.49</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
WAGONHOUND/NIC	048	JPM	B	15,000	26.59	16-Jan	16-Jan	600.00	4.0
NATIONAL BK OF CAN	031	KCE	SS	22,000	22.72	n/a	n/a	660.00	3.0
MILLENIUM PARTNERS	028	KFT	B	36,430	28.00	n/a	n/a	1,457.20	4.0
MILLENIUM PARTNERS	028	KMB	B	17,340	51.41	27-Jan	27-Jan	693.60	4.0
1798 CAPITAL MGMT	040	KR	SS	10,000	22.91	n/a	n/a	500.00	5.0
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>KSS</b>	<b>S</b>	<b>1000</b>	<b>37.09</b>	<b>n/a</b>	<b>30-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> FRANCIS MICHAEL MCCA	<b>FID</b>	<b>KSS</b>	<b>S</b>	<b>200</b>	<b>37.06</b>	<b>n/a</b>	<b>30-Jan</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
⌘ BUCK CAPITAL MGMT		LL	B	15,000	8.54	n/a	n/a	non-brg 2.0
⌘ BUCK CAPITAL MGMT		LL	B	23,809	8.62	n/a	n/a	non-brg 1.0
⌘ BUCK CAPITAL MGMT		LL	B	3,000	8.53	n/a	n/a	non-brg 1.5
WHITE PINE CAPITAL	030	MIND	S	3,000	3.62	n/a	n/a	90.00 3.0
MKT MAKER	099	MSFT	B	1	17.66	n/a	3-Apr	0.00 0.0
NATIONAL BK OF CAN	031	MS	B	25,000	20.28	18-Dec	14-Jan	1,000.00 4.0
WAGONHOUND/NIC	048	MS	S	25,000	21.18	18-Dec	14-Jan	1,000.00 4.0
BUCK CAPITAL MGMT	001	M	B	140,000	9.11	12-Aug	30-Jan	4,200.00 3.0
⌘ BUCK CAPITAL MGMT		NKE+CJ[NKE]	SS	1,000	1.48	n/a	n/a	non-brg 300.0
WHITE PINE CAPITAL	030	OME	S	2,600	3.83	n/a	n/a	78.00 3.0
SCHOTTENFELD ASSOC	041	PCAR	B	20,000	26.03	20-Nov	30-Dec	800.00 4.0
SCOPUS FUND	041	PCAR	SS	20,000	26.13	20-Nov	30-Dec	1,000.00 5.0
⌘ BUCK CAPITAL MGMT		PLCE	S	25,000	19.00	6-Jan	30-Jan	non-brg 2.0
⌘ BUCK CAPITAL MGMT		PLCE	S	50,000	18.90	6-Jan	30-Jan	non-brg 4.0
COUGAR TRADING	044	PLCE	SS	3,800	19.26	6-Jan	30-Jan	190.00 5.0
⌘ BUCK CAPITAL MGMT		PP FP	SS	10,000	51.87	n/a	n/a	non-brg 2.6
⌘ BUCK CAPITAL MGMT		PP FP	SS	20,000	50.81	n/a	n/a	non-brg 2.5
COLUMBIA PARTNERS	028	QDEL	B	11,949	12.31	n/a	n/a	477.96 4.0
FIRST NEW YORK NICK	029	Q	S	40,000	3.24	n/a	n/a	2,000.00 5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HUNTER GLOBAL INVESTOR	067	RJF	SS	25,000	19.07	n/a	n/a	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>B</b>	<b>80,000</b>	<b>40.79</b>	<b>n/a</b>	<b>20-Jan</b>	<b>3,200.00</b>	<b>4.0</b>
COUGAR TRADING	044	RL	B	10,000	40.36	n/a	20-Jan	500.00	5.0
JP MORGAN VENTURES	046	RL	SS	12,400	40.74	n/a	20-Jan	620.00	5.0
SENVEST PART	045	RVI	B	25,000	2.35	n/a	n/a	750.00	3.0
PERMIAN/BAYPIONT	028	SFD	B	12,600	11.90	n/a	n/a	504.00	4.0
<b>f JOHN MICHAEL ZOLIDIS</b>	<b>FID</b>	<b>SHOO</b>	<b>B</b>	<b>1000</b>	<b>18.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SKX+BB[SKX]</b>	<b>SS</b>	<b>1,000</b>	<b>0.70</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>100.0</b>
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>SPHIX</b>	<b>B</b>	<b>15773</b>	<b>6.34</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CARDINAL CAPITAL	044	SSI	B	14,000	7.19	n/a	30-Jan	420.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>TGT</b>	<b>SS</b>	<b>50,000</b>	<b>32.22</b>	<b>17-Nov</b>	<b>28-Jan</b>	<b>non-brg</b>	<b>4.0</b>
PRINCIPLE CAPITAL	040	TIF	SS	85,300	21.12	n/a	30-Jan	2,559.00	3.0
SCOPUS FUND	041	TIN	S	75,000	5.64	5-Dec	28-Jan	3,750.00	5.0
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>TNA</b>	<b>B</b>	<b>82</b>	<b>23.57</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WHITE PINE CAPITAL	030	TTEC	S	2,000	8.07	n/a	n/a	100.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>TUY+CD[PLCE]</b>	<b>SS</b>	<b>2,000</b>	<b>1.55</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>300.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	UA	B	10,000	18.00	n/a	30-Jan	500.00	5.0
⚡ BUCK CAPITAL MGMT		URBN	S	40,000	15.66	5-Nov	30-Jan	non-brg	4.0
f EDWARD W WHEELER	FID	UYG	B	20000	3.14	n/a	n/a	0.00	0.0
f WILLIAM J GAULT	FID	UYG	B	300000	3.24	n/a	n/a	0.00	0.0
1798 CAPITAL MGMT	040	WAG	B	5,000	28.10	n/a	n/a	250.00	5.0
f ANDREW SINCLAIR	FID	WBAAP	B	20	3.30	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	WFC	B	1500	19.48	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	WMSNX	S	30	1.75	n/a	n/a	0.00	0.0
KLEINHEINZ CAP PART	031	WMT	S	75,000	47.72	10-Oct	8-Jan	3,750.00	5.0
COUGAR TRADING	044	WRC	B	4,500	23.00	7-Nov	27-Jan	225.00	5.0
⚡ BUCK CAPITAL MGMT		WSM+QA [WSM]	SS	1,000	0.40	n/a	n/a	non-brg	100.0
⚡ BUCK CAPITAL MGMT		WSM+QS [WSM]	SS	1,000	1.27	n/a	n/a	non-brg	300.0
⚡ BUCK CAPITAL MGMT		XRT	C	46,000	19.63	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		ZQK	S	80,700	2.10	19-Dec	27-Jan	non-brg	1.0
TOTAL (Trade Date):								64,377.08	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	01/29	STELLIAM INV ADV	040	BA	B	30,000	41.22	n/a	n/a	1500.00 5.0
AO,CXL	01/29	STELLIAM INV ADV	040	BA	B	30,000	41.22	n/a	n/a	1500.00 5.0
AO,CRT	01/27	MACKLOWE ASSET MGMT	041	HD	B	15,000	22.21	2-Feb	27-Jul	600.00 4.0
AO,CXL	01/27	MACKLOWE ASSET MGMT	041	HD	B	15,000	22.21	2-Feb	27-Jul	750.00 5.0
AO,CXL	01/29	COLUMBIA PARTNERS	028	QDEL	B	203	12.41	n/a	n/a	8.12 4.0
AO,CRT	01/29	COLUMBIA PARTNERS	028	QDEL	B	203	12.41	n/a	n/a	8.12 4.0
AO,CRT	01/29	VISIUM/BALY HOWARD	038	RL	B	10,000	41.48	n/a	20-Jan	500.00 5.0
AO,CXL	01/29	VISIUM/DIV OF BALY BOBBY	044	RL	B	10,000	41.48	n/a	20-Jan	500.00 5.0
AO,CXL	01/29	DENVER INST. ADV	046	SWN	B	5,200	31.74	19-Dec	19-Dec	208.00 4.0
AO,CRT	01/29	DENVER INST. ADV	046	SWN	B	5,200	31.74	19-Dec	19-Dec	208.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-150.00</b>

TOTAL (Trade Date):	64,377.08
TOTAL (AO, CXL, CRT):	-150.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>64,227.08</b>
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MRI Securities with Trade Activity on 30-Jan.

ALV, AN, CLX, GNTX, ITW

MRI Securities without Trade Activity on 30-Jan.

RCL, UHS

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

T-Date = 21%

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)**