



# Daily Compliance Activity Report

Trade Date: 11/18/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	AGCO	B	40,000	30.10	n/a	28-Oct	2,000.00	5.0
ROTHSCHILD ASSET	040	AIR	B	5,970	19.82	n/a	n/a	268.65	4.5
<b>B</b> BUCK CAPITAL MGMT		<b>ANF</b>	<b>B</b>	<b>194,900</b>	<b>40.70</b>	<b>n/a</b>	<b>16-Nov</b>	<b>non-brg</b>	<b>1.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>ANF</b>	<b>S</b>	<b>194,900</b>	<b>40.70</b>	<b>n/a</b>	<b>16-Nov</b>	<b>non-brg</b>	<b>1.0</b>
HOLLIS CAPITAL	033	AN	S	5,000	18.52	n/a	30-Oct	250.00	5.0
<b>f</b> CHRISTOPHER ROBERT C	<b>FID</b>	<b>AONE</b>	<b>S</b>	<b>300</b>	<b>16.22</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DAVIDSON KEMPNER ADVISOR	040	APC	B	7,900	63.37	n/a	18-Nov	395.00	5.0
1798 CAPITAL MGMT	040	ARO	SS	10,000	32.47	n/a	6-Nov	500.00	5.0
STANDARD PACIFIC CAPITAL	040	ARO	B	172,500	32.50	n/a	6-Nov	8,625.00	5.0
WEINTRAUB CAPITAL MGT.	040	AXE	S	1,100	45.50	n/a	11-Nov	44.00	4.0
ROSEDALE CAPITAL	046	AXL	B	20,000	6.99	n/a	2-Nov	800.00	4.0
AVESTA CAP	229	BA	SS	100,000	52.14	n/a	30-Oct	4,000.00	4.0
BALYASNY ASSET MGMT	044	BBT	C	75,000	25.11	n/a	n/a	3,750.00	5.0
ASCEND PARTNERS	033	BCRX	C	16,763	10.80	n/a	n/a	838.15	5.0
<b>B</b> BUCK CAPITAL MGMT		<b>BIG</b>	<b>S</b>	<b>40,000</b>	<b>25.23</b>	<b>n/a</b>	<b>6-Nov</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f JOHN MICHAEL ZOLIDIS</b>	<b>FID</b>	<b>BKRS</b>	<b>S</b>	<b>5300</b>	<b>0.72</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
1798 CAPITAL MGMT	040	CASY	SS	25,000	31.11	n/a	n/a	1,250.00	5.0
ELM RIDGE ADVISORS	044	CBG	S	1,000	11.67	n/a	n/a	40.00	4.0
KENNEDY CAPITAL	046	CBK	B	300	6.25	n/a	n/a	9.00	3.0
<b>ß BUCK CAPITAL MGMT</b>		<b>CHS</b>	<b>S</b>	<b>20,000</b>	<b>15.23</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
ADAGE CAPITAL MGMT	030	COH	B	111,200	34.24	n/a	21-Oct	4,448.00	4.0
<b>f STRATTON PAR TNERSHI</b>	<b>FID</b>	<b>CXWOD</b>	<b>S</b>	<b>4</b>	<b>0.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MELLON/BANK OF NEW YORK	046	C	B	1,549,720	4.28	n/a	18-Nov	46,491.60	3.0
<b>ß BUCK CAPITAL MGMT</b>		<b>DBRN</b>	<b>B</b>	<b>832,900</b>	<b>21.10</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>DBRN</b>	<b>S</b>	<b>30,000</b>	<b>20.98</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>DBRN</b>	<b>S</b>	<b>832,900</b>	<b>21.10</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>DECK</b>	<b>SS</b>	<b>20,000</b>	<b>99.27</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
CHILTON CAPITAL MGMT.	036	DELL	SS	150,000	15.84	n/a	n/a	4,500.00	3.0
EXIS CAPITAL	044	DE	S	25,000	51.45	n/a	n/a	1,250.00	5.0
<b>ß BUCK CAPITAL MGMT</b>		<b>DHI</b>	<b>B</b>	<b>15,000</b>	<b>12.25</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
CUMBERLAND	239	EXH	B	10,000	22.10	n/a	2-Nov	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
G WEISS /SASHA	070	FDX	B	2,500	83.63	n/a	n/a	100.00	4.0
Ⓕ BUCK CAPITAL MGMT		FINL	B	20,000	9.53	n/a	n/a	non-brg	3.0
Ⓕ JOHN MICHAEL ZOLIDIS	FID	FINL	B	1000	9.59	n/a	n/a	0.00	0.0
Ⓕ BUCK CAPITAL MGMT		FTNT	S	1,000	16.81	n/a	n/a	non-brg	2.5
Ⓕ BUCK CAPITAL MGMT		FUQI	B	10,000	20.57	n/a	n/a	non-brg	2.0
Ⓕ BUCK CAPITAL MGMT		FUQI	B	15,000	20.40	n/a	n/a	non-brg	0.8
Ⓕ BUCK CAPITAL MGMT		FUQI	B	25,000	20.62	n/a	n/a	non-brg	4.0
Ⓕ JONATHAN RICHARD HAR	FID	F	S	500	9.00	n/a	4-Nov	0.00	0.0
MILLENIUM PARTNERS	028	F	S	30,000	9.02	n/a	4-Nov	1,200.00	4.0
TRELLUS PARTNERS LP	028	F	S	100,000	8.98	n/a	4-Nov	3,000.00	3.0
Ⓕ BUCK CAPITAL MGMT		GCO	B	288,100	28.67	n/a	n/a	non-brg	1.0
Ⓕ BUCK CAPITAL MGMT		GCO	S	10,000	28.15	n/a	n/a	non-brg	4.0
Ⓕ BUCK CAPITAL MGMT		GCO	S	288,100	28.67	n/a	n/a	non-brg	1.0
Ⓕ BUCK CAPITAL MGMT		GIII	S	5,000	17.94	n/a	n/a	non-brg	0.8
G WEISS /SASHA	070	GLD	C	5,600	112.15	n/a	n/a	224.00	4.0
COOPER CREEK PART	028	GPI	SS	5,000	27.96	n/a	28-Oct	200.00	4.0
Ⓕ BUCK CAPITAL MGMT		GSIC	S	20,000	20.83	n/a	n/a	non-brg	4.0
1798 CAPITAL MGMT	040	GYMB	SS	5,000	40.80	n/a	16-Nov	250.00	5.0
Ⓕ BUCK CAPITAL MGMT		GYMB	S	10,000	40.92	n/a	16-Nov	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DAVIDSON KEMPNER ADVISOR	040	HAL	B	15,000	31.69	n/a	n/a	750.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>HBI</b>	<b>B</b>	<b>240,100</b>	<b>24.77</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>HBI</b>	<b>S</b>	<b>240,100</b>	<b>24.77</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f NEIL M STRATTON</b>	<b>FID</b>	<b>HOLWS</b>	<b>B</b>	<b>300</b>	<b>1.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f STRATTON PAR TNERSHI</b>	<b>FID</b>	<b>HOLWS</b>	<b>B</b>	<b>300</b>	<b>1.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DAVIDSON KEMPNER ADVISOR	040	IEO	SS	6,600	51.36	n/a	n/a	330.00	5.0
ADAGE CAPITAL MGMT	030	IR	S	300,000	36.74	n/a	17-Nov	12,000.00	4.0
1798 CAPITAL MGMT	040	JACK	SS	35,000	20.01	n/a	n/a	1,750.00	5.0
WAGONHOUND/NIC	048	JCI	S	1,956	28.14	n/a	28-Oct	78.24	4.0
SIGMA CAPITAL ASSOCIATES	041	JCP	B	25,000	29.14	n/a	16-Nov	1,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JNY</b>	<b>S</b>	<b>20,000</b>	<b>17.97</b>	<b>n/a</b>	<b>29-Oct</b>	<b>800.00</b>	<b>4.0</b>
CLOVIS CAPITAL	012	JOYG	SS	50,000	56.33	n/a	n/a	2,000.00	4.0
<b>f ROBERT M DANIELS</b>	<b>FID</b>	<b>JST</b>	<b>S</b>	<b>100</b>	<b>37.57</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>LEN</b>	<b>B</b>	<b>15,000</b>	<b>14.61</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>LL</b>	<b>S</b>	<b>10,000</b>	<b>24.95</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
PRINCIPLE CAPITAL	040	LMDIA	S	50,000	35.84	n/a	n/a	1,500.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FIRST NEW YORK LEDDY	035	LVL	B	10,000	1.23	n/a	n/a	600.00	6.0
FIRST NEW YORK NICK	029	LVL	B	20,000	1.23	n/a	n/a	1,000.00	5.0
TROUBH PART	067	LVS	S	25,000	17.95	n/a	11-Nov	1,250.00	5.0
S.A.C.HABER/BOBBY	044	MA	SS	4,300	229.12	n/a	3-Nov	172.00	4.0
<b>f ROBERT M DANIELS</b>	<b>FID</b>	<b>MCD</b>	<b>B</b>	<b>150</b>	<b>63.36</b>	<b>n/a</b>	<b>13-Nov</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MDC</b>	<b>B</b>	<b>10,000</b>	<b>31.81</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MDC</b>	<b>B</b>	<b>10,000</b>	<b>31.90</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MGM</b>	<b>SS</b>	<b>20,000</b>	<b>11.84</b>	<b>n/a</b>	<b>6-Nov</b>	<b>non-brg</b>	<b>4.0</b>
TROUBH PART	067	MGM	S	25,000	11.99	n/a	6-Nov	1,250.00	5.0
DAVIDSON KEMPNER ADVISOR	040	MJN	B	22,700	44.07	n/a	n/a	1,135.00	5.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>MON</b>	<b>B</b>	<b>200</b>	<b>78.93</b>	<b>n/a</b>	<b>11-Nov</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>MON</b>	<b>B</b>	<b>500</b>	<b>79.79</b>	<b>n/a</b>	<b>11-Nov</b>	<b>0.00</b>	<b>0.0</b>
UBS OCONNOR	031	MPEL	S	100,000	4.27	n/a	18-Nov	3,000.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>MVRX</b>	<b>SS</b>	<b>50,000</b>	<b>167.39</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>16.7</b>
<b>f JOHN MICHAEL ZOLIDIS</b>	<b>FID</b>	<b>MWO</b>	<b>S</b>	<b>700</b>	<b>18.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DIAMONDBACK CAP MGMT	232	M	B	50,000	17.74	n/a	12-Nov	2,500.00	5.0
SIGMA CAPITAL ASSOCIATES	041	NTY	S	50,000	43.26	n/a	n/a	2,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CLOVIS CAPITAL	012	NYB	B	100,000	11.65	n/a	28-Oct	4,000.00	4.0
JMP ASSET MGMT	210	PETS	SS	8,000	16.66	n/a	n/a	400.00	5.0
Ⓕ BUCK CAPITAL MGMT		PHM	B	20,000	9.90	n/a	n/a	non-brg	0.8
Ⓕ BUCK CAPITAL MGMT		PLCE	B	433,255	34.69	n/a	6-Nov	non-brg	1.0
Ⓕ BUCK CAPITAL MGMT		PLCE	S	20,000	34.54	n/a	6-Nov	non-brg	4.0
Ⓕ BUCK CAPITAL MGMT		PLCE	S	433,255	34.69	n/a	6-Nov	non-brg	1.0
Ⓕ BUCK CAPITAL MGMT		PNRA	B	260,990	64.24	18-Nov	18-Nov	non-brg	1.0
Ⓕ BUCK CAPITAL MGMT		PNRA	S	260,990	64.24	18-Nov	18-Nov	non-brg	1.0
Ⓕ BUCK CAPITAL MGMT		PNRA	S	40,000	63.68	18-Nov	18-Nov	non-brg	4.0
NEWLAND CAPITAL MGT	067	PPO	B	5,000	11.69	n/a	n/a	200.00	4.0
BUCK CAPITAL MGMT	001	PVH	S	70,000	42.09	n/a	2-Nov	2,800.00	4.0
f FRANCIS MICHAEL MCCA	FID	PVH	S	200	42.39	n/a	2-Nov	0.00	0.0
Ⓕ BUCK CAPITAL MGMT		RYF	SS	1,025,000	22.92	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT	001	SKX	S	20,000	23.80	n/a	n/a	800.00	4.0
ARCHON CAPITAL	035	SOLF	B	175,000	6.28	n/a	n/a	5,250.00	3.0
DAVIDSON KEMPNER ADVISOR	040	SPY	SS	4,500	110.79	n/a	n/a	225.00	5.0
S.A.C.HABER/BOBBY	044	SPY	SS	9,000	111.11	n/a	n/a	360.00	4.0
f MARK ANTHONY GRONET	FID	SRI	B	2000	7.12	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DIAMONDBACK CAP MGMT	232	STT	S	10,000	42.49	n/a	18-Nov	500.00	5.0
G WEISS /SASHA	070	STT	B	15,000	42.62	n/a	18-Nov	600.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>SUMR</b>	<b>B</b>	<b>1,000</b>	<b>4.26</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>f MICHAEL THOMAS NOLAN</b>	<b>FID</b>	<b>SUP</b>	<b>S</b>	<b>300</b>	<b>15.80</b>	<b>n/a</b>	<b>9-Nov</b>	<b>0.00</b>	<b>0.0</b>
CHILTON CAPITAL MGMT.	036	SWSI	B	100,000	13.41	n/a	n/a	3,000.00	3.0
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>TBT</b>	<b>B</b>	<b>32</b>	<b>45.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
1798 CAPITAL MGMT	040	TGT	S	15,000	47.90	n/a	18-Nov	750.00	5.0
BMO NESBITT BURNS	041	TIN	B	100,000	17.26	n/a	22-Oct	5,000.00	5.0
NWQ INVESTMENT MGMT CO	048	TIN	S	2,100	17.03	n/a	22-Oct	84.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>TOL</b>	<b>B</b>	<b>10,000</b>	<b>20.78</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>TWB</b>	<b>S</b>	<b>20,000</b>	<b>9.91</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
G WEISS /SASHA	070	UPS	SS	5,000	57.22	n/a	n/a	200.00	4.0
SIGMA CAPITAL ASSOCIATES	041	WFMI	B	25,000	26.24	n/a	n/a	1,000.00	4.0
LEVIN CAPITAL STRATEGIES	012	WHR	C	14,971	74.09	n/a	n/a	598.84	4.0
TRUSTCO/SUNTRUST	040	WRC	S	19,720	41.97	n/a	5-Nov	769.08	3.9
<b>B BUCK CAPITAL MGMT</b>		<b>XLFF</b>	<b>C</b>	<b>1,559,900</b>	<b>14.93</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>

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**TOTAL (Trade Date):**

**144,485.56**

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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):	144,485.56
TOTAL (AO, CXL, CRT):	0.00

TOTAL (RUN DATE) / NFS:	144,485.56
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MRI Securities with Trade Activity on 18-Nov.  
PNRA

MRI Securities without Trade Activity on 18-Nov.  
PH, PCAR, KMT, CMI, ART

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 4%  
YTD = 19%

**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)**