



Daily Compliance Activity Report

Trade Date: 05/07/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⚡ BUCK CAPITAL MGMT		AAN	S	39,200	31.69	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		AAN	S	5,800	31.90	n/a	n/a	non-brg	1.0
ADAGE CAPITAL MGMT	030	AEO	B	150,000	14.24	20-Apr	4-May	6,000.00	4.0
BUCK CAPITAL MGMT	001	AEO	B	180,000	14.34	20-Apr	4-May	7,200.00	4.0
MTB INV ADV	034	AEO	B	38,252	13.77	20-Apr	4-May	1,912.60	5.0
⚡ BUCK CAPITAL MGMT		ALV	C	50,000	25.40	12-Mar	22-Apr	non-brg	4.0
CADIAN CAPITAL	067	ANF	B	25,000	26.50	16-Apr	4-May	1,000.00	4.0
⚡ BUCK CAPITAL MGMT		AN	C	10,000	16.83	24-Apr	24-Apr	non-brg	1.0
⚡ BUCK CAPITAL MGMT		AN	C	100,000	17.41	24-Apr	24-Apr	non-brg	4.0
BALYASNY ASSET MGMT	044	ARG	C	5,000	41.63	23-Mar	6-May	250.00	5.0
PILOT ROCK	028	ARO	SS	100,000	34.95	n/a	4-May	4,000.00	4.0
SYSTEMATIC FINANCIAL MGT	035	ARO	S	57,400	34.75	n/a	4-May	2,009.00	3.5
MAIRS AND POWER INV	030	BAX	B	7,700	48.78	n/a	22-Apr	385.00	5.0
⚡ BUCK CAPITAL MGMT		BBBY	C	10,000	29.94	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		BBBY	C	20,000	28.45	n/a	n/a	non-brg	4.0
THIRD COAST CAPITAL	035	BBY	S	4,000	39.71	n/a	27-Jul	200.00	5.0
f FRANCIS MICHAEL MCCA	FID	BGZ	B	100	38.83	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	FRANCIS MICHAEL MCCA	FID	BGZ	B	100	39.01	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		BIG	B	20,000	26.04	4-Mar	7-May	non-brg	4.0
	DSG CAPITAL	225	BIG	SS	3,200	25.42	4-Mar	7-May	160.00	5.0
	S.A.C. HEALTHCARE BOBBY	044	BMY	B	50,000	19.92	n/a	n/a	2,000.00	4.0
	FIRST NEW YORK LEDDY	035	BRCD	B	20,000	5.68	n/a	n/a	1,200.00	6.0
	NORTHPOINT	030	BUCY	S	6,300	24.92	n/a	24-Feb	252.00	4.0
B	BUCK CAPITAL MGMT		BWA	C	70,000	31.05	1-May	1-May	non-brg	4.0
	MARINER/TRICADIA	041	BWA	B	40,000	31.19	1-May	1-May	2,000.00	5.0
	TROUBH PART	067	CAT	B	10,000	37.38	n/a	22-Apr	500.00	5.0
	SUN AMERICA ASSET MGMT	030	CB	B	50,000	40.86	n/a	n/a	2,000.00	4.0
	LISTED ERR	099	CB	B	25,000	40.79	n/a	n/a	0.00	0.0
	LISTED ERR	099	CB	S	25,000	40.51	n/a	n/a	0.00	0.0
	CRAMER ROSENTHAL/SCOTT	012	CFL	S	25,500	28.54	n/a	n/a	1,020.00	4.0
f	CICILY S BACKUS	FID	CHCG	B	5000	1.73	n/a	n/a	0.00	0.0
f	LEE F BACKUS	FID	CHCG	B	5000	1.73	n/a	n/a	0.00	0.0
f	MARK MEGALLI	FID	CKEC	S	2500	7.25	n/a	n/a	0.00	0.0
	SIGMA CAPITAL ASSOCIATES	041	CMCSA	S	25,000	15.81	n/a	4-Jan	1,250.00	5.0
B	BUCK CAPITAL MGMT		CMG	C	17,220	77.98	23-Apr	23-Apr	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		CMG	C	20,000	77.14	23-Apr	23-Apr	non-brg	4.0
TROUBH PART	067	COF	B	25,000	26.64	n/a	7-May	1,250.00	5.0
BUCK CAPITAL MGMT	001	COH	S	80,000	25.77	9-Jan	22-Apr	3,200.00	4.0
⚡ BUCK CAPITAL MGMT		COLM	SS	20,000	31.25	n/a	n/a	non-brg	2.5
⚡ BUCK CAPITAL MGMT		COST	SS	60,000	46.57	n/a	27-Jul	non-brg	4.0
⚡ BUCK CAPITAL MGMT		CPKI	C	10,000	15.34	n/a	5-May	non-brg	4.0
f JONATHAN RICHARD HAR	FID	CRI	S	190	23.11	n/a	n/a	0.00	0.0
f BRIAN W CRAGO	FID	CSCO	B	105	18.81	n/a	22-Mar	0.00	0.0
f PEARL LUCHANSKY	FID	CVX	B	500	68.55	n/a	n/a	0.00	0.0
RAINIER INV MGMT	035	CXO	B	43,140	29.99	n/a	n/a	2,157.00	5.0
⚡ BUCK CAPITAL MGMT		DAI	C	30,000	38.22	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DAL	B	25,000	7.43	n/a	n/a	non-brg	3.0
BRANDWINE	028	DDS	B	81,317	8.02	n/a	n/a	3,252.68	4.0
DSG CAPITAL	225	DKS	SS	4,000	19.09	27-Apr	5-May	200.00	5.0
f ABRAM M CHAPPELL	FID	DRYS	S	250	10.83	n/a	n/a	0.00	0.0
SUN AMERICA ASSET MGMT	030	EBS	S	65,300	9.62	n/a	n/a	2,612.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f ABRAM M CHAPPELL	FID	EGLE	S	350	8.34	n/a	n/a	0.00	0.0
PHILADELPHIA FINANCIAL	033	EVR	S	12,300	19.00	n/a	n/a	492.00	4.0
f SCOTT L BRUNNER	FID	FAZ	B	1000	5.20	n/a	n/a	0.00	0.0
BARROW HANLEY MEWHINNEY	031	FDO	S	109,800	31.97	5-Mar	5-May	4,392.00	4.0
TRELLUS PARTNERS LP	028	FDO	SS	20,000	31.97	5-Mar	5-May	1,000.00	5.0
SUN AMERICA ASSET MGMT	030	FHN	S	128,100	12.42	n/a	n/a	5,124.00	4.0
B BUCK CAPITAL MGMT		FINL	S	50,000	8.27	n/a	28-Mar	non-brg	3.0
ADAGE CAPITAL MGMT	030	FL	SS	250,000	11.53	27-Apr	5-May	10,000.00	4.0
DSG CAPITAL	225	FL	SS	7,000	11.49	27-Apr	5-May	350.00	5.0
B BUCK CAPITAL MGMT		FOSL	S	20,000	19.11	23-Jan	30-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		FOSL	S	25,000	19.07	23-Jan	30-Jan	non-brg	2.0
B BUCK CAPITAL MGMT		FOSL	S	25,000	19.28	23-Jan	30-Jan	non-brg	1.0
f CICILY S BACKUS	FID	FSIN	B	5000	6.23	n/a	n/a	0.00	0.0
f LEE F BACKUS	FID	FSIN	B	5000	6.20	n/a	n/a	0.00	0.0
BARROW HANLEY MEWHINNEY	031	GE	B	617,500	14.20	n/a	n/a	24,700.00	4.0
B BUCK CAPITAL MGMT	001	GIL	S	50,000	12.05	11-Dec	14-Apr	2,000.00	4.0
B BUCK CAPITAL MGMT		GIL	S	50,000	11.95	11-Dec	14-Apr	non-brg	4.0
B BUCK CAPITAL MGMT		GM	C	299,211	1.67	19-Feb	4-May	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	GPS	S	50,000	16.94	n/a	30-Jan	2,000.00	4.0
⚡ BUCK CAPITAL MGMT		GSIC	S	13,000	13.42	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		GSIC	S	37,000	13.41	n/a	n/a	non-brg	1.5
⚡ ANTHONY NG	FID	GSI	B	50	6.12	n/a	n/a	0.00	0.0
NATIONAL BK OF CAN	031	GS	B	7,500	135.50	n/a	24-Apr	300.00	4.0
⚡ ROBERT M DANIELS	FID	GTSIX	S	7	18.77	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		GYMB	S	20,000	34.90	7-May	7-May	non-brg	4.0
COUGAR TRADING	044	GYMB	S	5,000	34.86	7-May	7-May	250.00	5.0
WAGONHOUND/NIC	048	GYMB	S	3,764	35.01	7-May	7-May	150.56	4.0
⚡ BUCK CAPITAL MGMT		HBI	S	50,000	15.96	n/a	n/a	non-brg	2.5
MACKLOWE ASSET MGMT	041	HD	B	55,000	25.87	n/a	5-May	2,750.00	5.0
EVERCORE WEALTH MGMT	012	HES	B	2,000	60.95	n/a	n/a	100.00	5.0
⚡ BUCK CAPITAL MGMT		HOTT	C	100,000	9.42	n/a	30-Jan	non-brg	3.0
⚡ JOHN MICHAEL ZOLIDIS	FID	HOTT	S	1000	10.00	n/a	30-Jan	0.00	0.0
⚡ CHRISTOPHER ARTHUR K	FID	HUOQF	S	40	0.55	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		ICON	S	20,000	15.61	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		IMAX	B	27,200	6.76	n/a	n/a	non-brg	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRUST CO/COWEN/CALF.	040	IRF	B	39,790	16.17	n/a	n/a	1,591.60	4.0
⌘ BUCK CAPITAL MGMT		JBLU	B	25,000	6.15	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT	001	JCP	SS	100,000	29.99	13-Apr	4-May	4,000.00	4.0
⌘ BUCK CAPITAL MGMT		JNY	S	50,000	9.55	n/a	30-Apr	non-brg	3.0
TPG-AXON	040	JPM	B	1,350,000	37.26	16-Jan	24-Apr	67,500.00	5.0
⌘ BUCK CAPITAL MGMT		JWN	S	50,000	23.48	20-Feb	4-May	non-brg	4.0
M&I FUNDS	256	KFT	B	37,385	25.21	n/a	n/a	1,495.40	4.0
BALYASNY ASSET MGMT	044	KMT	C	12,600	20.28	n/a	27-Apr	630.00	5.0
BUCK CAPITAL MGMT	001	KSS	B	70,000	44.32	30-Mar	4-May	2,800.00	4.0
BALYASNY ASSET MGMT	044	LECO	C	5,000	43.99	n/a	n/a	250.00	5.0
⌘ BUCK CAPITAL MGMT		LJJ+FB[LVS]	SS	1,709	1.85	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		LL	S	20,000	15.40	n/a	n/a	non-brg	4.0
DIAMONDBACK CAP MGMT	232	LM	SS	5,000	19.89	5-May	7-May	250.00	5.0
SENVEST PART	045	LM	S	25,000	19.44	5-May	7-May	1,250.00	5.0
⌘ BUCK CAPITAL MGMT		LPX	S	3,400	4.74	3-Mar	6-May	non-brg	1.0
⌘ BUCK CAPITAL MGMT		LPX	S	5,800	4.75	3-Mar	6-May	non-brg	2.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß	BUCK CAPITAL MGMT		LPX	S	8,200	4.69	3-Mar	6-May	non-brg	1.0
	BUCK CAPITAL MGMT	001	LTD	S	500,000	12.25	8-Jan	30-Jan	20,000.00	4.0
ß	BUCK CAPITAL MGMT		LTD	S	100,000	12.03	8-Jan	30-Jan	non-brg	4.0
ß	BUCK CAPITAL MGMT		LVS	S	1,900	10.49	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		LVS	S	100,000	9.96	n/a	n/a	non-brg	3.0
	BALYASNY ASSET MGMT	044	LZ	C	5,000	44.00	n/a	n/a	250.00	5.0
	COUGAR TRADING	044	MCD	B	5,000	53.35	n/a	6-May	250.00	5.0
	STADIA CAPITAL	035	MF	B	11,300	5.80	n/a	n/a	452.00	4.0
	TRELLUS PARTNERS LP	028	MGA	SS	10,000	40.01	n/a	n/a	500.00	5.0
f	DAVID GEORGE BUCK	FID	MHS	S	1200	45.97	n/a	n/a	0.00	0.0
	NORTHPOINT	030	MRVL	S	12,920	10.87	n/a	n/a	516.80	4.0
	NATIONAL BK OF CAN	031	MS	SS	40,000	26.69	18-Dec	24-Apr	1,600.00	4.0
ß	BUCK CAPITAL MGMT		MVRX	C	30,000	131.01	n/a	n/a	non-brg	13.1
f	EDWARD W WHEELER	FID	MWA	S	30000	4.71	n/a	6-May	0.00	0.0
ß	BUCK CAPITAL MGMT		NKE	S	40,000	54.43	n/a	n/a	non-brg	4.0
	PNC/MERCANTILE	028	NOC	S	40,005	48.72	n/a	n/a	1,600.20	4.0
ß	BUCK CAPITAL MGMT		NTDOY	SS	50,000	32.57	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		NTRS	B	20,000	55.94	22-Apr	28-Apr	non-brg	1.0
DC CAPITAL	044	NWL	S	70,150	10.83	n/a	n/a	2,806.00	4.0
MACKLOWE ASSET MGMT	041	OEH	S	75,000	7.04	n/a	n/a	3,750.00	5.0
BUCK CAPITAL MGMT	001	OMX	S	330,000	7.72	n/a	15-Apr	9,900.00	3.0
FIRST NY SEC/CHRIS	041	OMX	B	10,000	7.76	n/a	15-Apr	600.00	6.0
SUN AMERICA ASSET MGMT	030	ONNN	S	300,000	5.55	n/a	n/a	12,000.00	4.0
NORTHPOINT	030	PBI	S	4,100	22.47	n/a	n/a	164.00	4.0
EVERCORE WEALTH MGMT	012	PBR	B	2,000	38.49	n/a	n/a	100.00	5.0
TRELLUS PARTNERS LP	028	PCL	S	15,000	33.31	n/a	29-Apr	750.00	5.0
B BUCK CAPITAL MGMT		PENN	S	20,000	32.16	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		PENN	S	45,248	31.69	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		PETM	C	50,000	22.57	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		PLCE	S	80,000	36.53	19-Mar	5-May	non-brg	4.0
BUCK CAPITAL MGMT	001	PVH	S	20,000	28.09	20-Apr	20-Apr	800.00	4.0
JP MORGAN VENTURES	046	PVH	S	30,000	27.71	20-Apr	20-Apr	1,500.00	5.0
JETSTREAM GLOBAL FUND LP	065	QCOR	S	43,000	4.48	n/a	n/a	1,720.00	4.0
f MARK MEGALLI	FID	ROST	S	2000	37.68	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JASON ERIC COHEN	FID	SDSEG	B	2	1.42	n/a	n/a	0.00	0.0
SUN AMERICA ASSET MGMT	030	SFY	S	29,800	16.00	n/a	n/a	1,192.00	4.0
SUN AMERICA ASSET MGMT	030	SKS	S	200,000	4.39	n/a	n/a	4,000.00	2.0
B BUCK CAPITAL MGMT		SKX	S	15,800	11.02	n/a	13-Mar	non-brg	1.5
B BUCK CAPITAL MGMT		SKX	S	16,800	10.85	n/a	13-Mar	non-brg	1.0
DELTEC ASSET MGMT.	040	SLM	B	20,000	6.15	23-Apr	6-May	800.00	4.0
HARVEST MGMT	039	SNCR	B	2,000	12.22	n/a	n/a	100.00	5.0
f JASON ERIC COHEN	FID	SNCR	B	100	12.58	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SSI	C	50,000	11.52	n/a	4-May	non-brg	4.0
B BUCK CAPITAL MGMT		SSI	C	50,000	11.65	n/a	4-May	non-brg	2.0
f DAVID GEORGE BUCK	FID	STI	S	2500	18.73	n/a	n/a	0.00	0.0
COUGAR TRADING	044	SUP	B	5,000	15.05	27-Feb	27-Feb	250.00	5.0
EVERCORE WEALTH MGMT	012	SU	B	2,000	30.44	n/a	n/a	100.00	5.0
BARROW HANLEY MEWHINNEY	031	SYX	B	75,800	23.58	n/a	24-Apr	3,032.00	4.0
f JOHN MICHAEL ZOLIDIS	FID	TIF	B	1000	29.00	n/a	30-Jan	0.00	0.0
B BUCK CAPITAL MGMT		TIN	S	20,000	12.79	n/a	22-Apr	non-brg	4.0
B BUCK CAPITAL MGMT	001	TJX	B	100,000	28.98	4-May	4-May	4,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f FRANCIS MICHAEL MCCA	FID	TTI	S	1000	8.29	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		UA	SS	20,000	24.15	29-Apr	29-Apr	non-brg	4.0
COUGAR TRADING	044	UA	B	5,000	22.85	29-Apr	29-Apr	250.00	5.0
B BUCK CAPITAL MGMT		URBN	S	40,000	19.38	n/a	30-Jan	non-brg	4.0
SYSTEMATIC FINANCIAL MGT	035	VFC	S	47,000	59.30	n/a	n/a	1,645.00	3.5
f DAVID GEORGE BUCK	FID	VNO	B	1800	51.82	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	VNO	S	5,200	48.02	n/a	n/a	234.00	4.5
NEUBERGER BERMAN	036	VTR	S	19,400	27.80	n/a	n/a	873.00	4.5
f JASON ERIC COHEN	FID	WCG	S	75	19.68	n/a	n/a	0.00	0.0
GRANAHAN INV	039	WDR	B	15,300	23.46	n/a	7-May	612.00	4.0
HARVEST MGMT	039	WEN	B	13,000	4.48	n/a	24-Apr	390.00	3.0
f DAVID GEORGE BUCK	FID	WFC	B	2000	27.41	n/a	n/a	0.00	0.0
THIRD COAST CAPITAL	035	WMT	S	3,000	50.64	n/a	5-May	150.00	5.0
B BUCK CAPITAL MGMT		WRC	B	20,000	27.87	20-Apr	20-Apr	non-brg	1.0
B BUCK CAPITAL MGMT		WRC	B	70,000	28.20	20-Apr	20-Apr	non-brg	4.0
B BUCK CAPITAL MGMT		XRT	C	150,000	28.17	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		XRT	SS	280,000	27.24	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PECONIC PARTNERS	036	YHOO	B	200,000	14.95	n/a	n/a	10,000.00	5.0
DC CAPITAL	044	ZLC	B	5,900	3.59	n/a	n/a	177.00	3.0
TOTAL (Trade Date):								266,449.84	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	05/06	NEWCASTLE FUNDS	255	CONN	S	1,400	14.25	n/a	n/a	56.00 4.0
AO,CXL	05/06	WHALE ROCK CAP	030	HOG	B	4,000	21.16	n/a	n/a	160.00 4.0
AO,CRT	05/06	WILLOW CREEK	033	HOG	B	4,000	21.16	n/a	n/a	160.00 4.0
AO,CRT	05/04	HIGHBRIDGE/MS OLDS	041	OMC	B	88,000	31.94	n/a	n/a	3520.00 4.0
AO,CXL	05/04	HIGHBRIDGE/MS OLDS	041	OMC	B	88,000	31.94	n/a	n/a	4400.00 5.0
AO,CRT	05/06	DELTEC ASSET MGMT.	040	SLM	B	66,000	5.74	23-Apr	6-May	2640.00 4.0
AO,CXL	05/06	DELTEC ASSET MGMT.	040	SLM	B	66,000	5.74	23-Apr	6-May	3300.00 5.0
AO,CXL	05/06	CR INTRINIC INVESTMENT	044	SYK	B	20,000	40.39	n/a	n/a	1000.00 5.0
AO,CRT	05/06	CR INTRINIC INVESTMENT	044	SYK	B	20,000	40.39	n/a	n/a	800.00 4.0
AO,CXL	05/06	WHALE ROCK CAP	030	TLEO	S	5,000	13.83	n/a	n/a	200.00 4.0
AO,CRT	05/06	WILLOW CREEK	033	TLEO	S	5,000	13.83	n/a	n/a	200.00 4.0
AO,CXL	05/06	WHALE ROCK CAP	030	TXT	B	6,838	11.60	n/a	n/a	273.52 4.0
AO,CRT	05/06	WILLOW CREEK	033	TXT	B	6,838	11.60	n/a	n/a	273.52 4.0

TOTAL (AO, CXL, CRT) :**-1,684.00**

TOTAL (Trade Date) :

266,449.84

TOTAL (AO, CXL, CRT) :

-1,684.00

TOTAL (RUN DATE) / NFS:

264,765.84

MRI Securities with Trade Activity on 7-May.

GYMB

MRI Securities without Trade Activity on 7-May.

CENT

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

T-Date = 41%

YTD = 22%

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)