



Daily Compliance Activity Report

Trade Date: 08/14/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CONIFER/ISF	025	AAPL	S	5,000	166.12	n/a	n/a	250.00	5.0
GREEN ARROW CAPITAL	040	AEM	B	2,500	55.00	n/a	n/a	125.00	5.0
f FRANCIS MICHAEL MCCA	FID	AIQ	S	1000	5.16	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ANF	S	10,000	33.85	3-Jun	14-Aug	non-brg	1.0
TRELLUS PARTNERS LP	028	AN	B	16,900	18.51	3-Aug	5-Aug	845.00	5.0
METROPOLITAN CAPITAL	044	ARO	B	5,400	35.69	n/a	7-Aug	270.00	5.0
PRINCIPLE CAPITAL	040	AUXL	B	35,000	28.61	n/a	n/a	1,050.00	3.0
B BUCK CAPITAL MGMT		AXL	B	20,000	2.89	n/a	12-Aug	non-brg	3.0
LAGRANGE CAP ADV	048	AXL	B	3,800	2.89	n/a	12-Aug	114.00	3.0
f FRANCIS MICHAEL MCCA	FID	BAC	S	500	16.76	11-May	14-Aug	0.00	0.0
f JOHN PATRICK DAVEY	FID	BAC	S	3000	16.85	11-May	14-Aug	0.00	0.0
B BUCK CAPITAL MGMT		BHI	B	7,500	36.83	n/a	n/a	non-brg	4.0
EGS ASSOCIATES LP	091	BIG	SS	3,000	23.18	28-May	6-Aug	180.00	6.0
B BUCK CAPITAL MGMT		BJRI	SS	50,000	17.00	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		BKS	C	40,000	20.62	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SLS CAPITAL LLC	224	BKS	S	37,504	21.11	n/a	n/a	1,500.16	4.0
BRIGADE CAPITAL MGMT	029	BONT	B	36,966	3.85	n/a	6-Feb	739.32	2.0
COUGAR TRADING	044	BWA	S	7,500	30.26	3-Aug	5-Aug	375.00	5.0
TRELLUS PARTNERS LP	028	BWA	B	29,300	30.31	3-Aug	5-Aug	1,465.00	5.0
B BUCK CAPITAL MGMT		CAKE	SS	60,000	18.50	24-Jul	24-Jul	non-brg	4.0
f ROBERT M DANIELS	FID	CBI	B	200	14.41	n/a	n/a	0.00	0.0
GREEN ARROW CAPITAL	040	CCK	B	12,500	25.42	n/a	n/a	625.00	5.0
B BUCK CAPITAL MGMT		CHRS	S	20,000	5.48	n/a	22-Mar	non-brg	2.5
B BUCK CAPITAL MGMT		CMG	C	5,000	87.57	23-Jul	23-Jul	non-brg	4.0
WEISS PECK	040	CMI	SS	11,500	46.43	7-Aug	7-Aug	575.00	5.0
B BUCK CAPITAL MGMT	001	COH	S	10,000	28.53	n/a	29-Jul	400.00	4.0
f JOHN MICHAEL ZOLIDIS	FID	COH	S	300	28.93	n/a	29-Jul	0.00	0.0
B BUCK CAPITAL MGMT		COLM	C	30,000	39.99	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		COLM	C	50,000	37.21	n/a	n/a	non-brg	1.0
SIGMA CAPITAL ASSOCIATES	041	COST	S	50,000	48.39	n/a	27-Jul	2,000.00	4.0
MILLRACE FUND LP	028	CPKI	B	7,200	14.10	7-Aug	7-Aug	288.00	4.0
GREEN ARROW CAPITAL	040	DAN	B	10,000	4.33	n/a	n/a	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⚡ BUCK CAPITAL MGMT		DECK	S	5,000	71.47	n/a	n/a	non-brg	4.0
TROUBH PART	067	DELL	S	25,000	14.20	n/a	n/a	1,250.00	5.0
⚡ BUCK CAPITAL MGMT		EL	C	20,000	36.13	14-Aug	14-Aug	non-brg	4.0
CUMBERLAND	038	FCX	B	7,000	62.97	n/a	n/a	280.00	4.0
⚡ BUCK CAPITAL MGMT		FOSL	S	20,000	25.24	n/a	30-Jan	non-brg	4.0
f JOHN MICHAEL ZOLIDIS	FID	GCO	S	600	22.85	n/a	10-Jan	0.00	0.0
⚡ BUCK CAPITAL MGMT		GES	S	10,000	28.85	n/a	n/a	non-brg	1.0
MILLENIUM PARTNERS	028	GE	SS	50,000	13.80	n/a	n/a	2,000.00	4.0
⚡ BUCK CAPITAL MGMT		GIL	S	11,400	19.38	14-Aug	14-Aug	non-brg	4.0
BUCK CAPITAL MGMT	001	GPS	B	20,000	18.81	n/a	30-Jan	800.00	4.0
FIRST NY SEC/CHRIS	041	GPS	B	15,000	18.77	n/a	30-Jan	750.00	5.0
f JOHN MICHAEL ZOLIDIS	FID	HH	B	5700	0.80	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		HOG	C	100,000	22.71	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		IMAX	S	20,000	9.11	n/a	n/a	non-brg	3.0
BMO NESBITT BURNS	041	IP	SS	25,000	20.44	14-Aug	14-Aug	1,250.00	5.0
SCHOTTENFELD ASSOC	041	IP	B	22,500	19.87	14-Aug	14-Aug	675.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCHOTTENFELD ASSOC	041	IP	SS	25,000	20.65	14-Aug	14-Aug	750.00	3.0
⚡ BUCK CAPITAL MGMT		JBHT	B	20,000	29.47	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	JCP	S	40,000	31.64	13-Apr	14-Aug	1,600.00	4.0
f FRANCIS MICHAEL MCCA	FID	JEF	S	200	22.30	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		JNS	B	27,000	13.69	16-Jul	13-Aug	non-brg	4.0
f ROBERT M DANIELS	FID	JNS	B	100	13.76	16-Jul	13-Aug	0.00	0.0
⚡ BUCK CAPITAL MGMT		JOSB	B	18,044	37.75	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		JOSB	B	50,000	37.86	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		JOSB	B	9,456	37.76	n/a	n/a	non-brg	1.0
JP MORGAN VENTURES	046	JOYG	B	15,000	40.67	14-Aug	14-Aug	750.00	5.0
MILLENIUUM PARTNERS	028	JWN	SS	22,150	28.39	n/a	14-Aug	886.00	4.0
ARAGON GLOBAL	041	KR	SS	19,000	20.96	n/a	n/a	950.00	5.0
⚡ BUCK CAPITAL MGMT		LL	S	10,000	20.09	n/a	n/a	non-brg	4.0
JP MORGAN VENTURES	046	LOW	S	20,000	22.68	10-Aug	10-Aug	1,000.00	5.0
MILLENIUUM PARTNERS	028	LOW	B	28,131	22.77	10-Aug	10-Aug	1,125.24	4.0
FIRST NEW YORK LEDDY	035	LVLTT	S	10,000	1.19	n/a	4-Jan	600.00	6.0
ARAGON GLOBAL	041	MCD	SS	7,100	55.03	n/a	10-Aug	355.00	5.0
f FRANCIS MICHAEL MCCA	FID	MS	S	300	29.44	11-May	23-Jul	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MICHAEL THOMAS NOLAN	FID	MS	S	250	29.43	11-May	23-Jul	0.00	0.0
SONTERRA CAP	041	MTW	B	55,000	6.71	n/a	7-Aug	1,650.00	3.0
BUCK CAPITAL MGMT	001	MW	B	80,000	23.45	n/a	n/a	3,200.00	4.0
B BUCK CAPITAL MGMT		M	C	20,000	15.33	n/a	13-Aug	non-brg	4.0
BUCK CAPITAL MGMT	001	NTY	B	10,000	36.40	n/a	n/a	400.00	4.0
SCOPUS FUND	041	PKG	B	6,355	18.75	21-Jul	21-Jul	317.75	5.0
B BUCK CAPITAL MGMT		PLCE	S	10,000	32.01	n/a	7-Aug	non-brg	4.0
&ACK	028	PNK	S	11,994	10.12	n/a	n/a	359.82	3.0
f JASON ERIC COHEN	FID	RIMM	B	17	72.13	n/a	n/a	0.00	0.0
SCHOTTENFELD ASSOC	041	RKT	SS	10,000	45.17	n/a	n/a	300.00	3.0
B BUCK CAPITAL MGMT		RVI	B	64,600	3.90	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		SII	B	10,000	26.42	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	SKX	S	30,000	14.80	n/a	13-Mar	1,200.00	4.0
B BUCK CAPITAL MGMT		SLB	B	5,000	53.09	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SLM	B	50,000	8.59	12-Aug	12-Aug	non-brg	1.0
GREEN ARROW CAPITAL	040	SPY	SS	5,000	101.02	n/a	n/a	250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER O'NEILL ASSET	031	STT	B	25,000	50.79	n/a	n/a	1,250.00	5.0
PRINCIPLE CAPITAL	040	SWKS	SS	45,000	11.08	n/a	n/a	1,350.00	3.0
f JOHN MICHAEL ZOLIDIS	FID	TIF	B	500	31.00	n/a	30-Jan	0.00	0.0
AVESTA CAP	229	TIN	B	100,000	15.56	14-Aug	14-Aug	4,000.00	4.0
BASIX	033	TIN	S	32,000	15.57	14-Aug	14-Aug	960.00	3.0
JETSTREAM GLOBAL FUND LP	065	TIN	B	42,600	15.79	14-Aug	14-Aug	2,130.00	5.0
SCOPUS FUND	041	TIN	SS	5,000	15.86	14-Aug	14-Aug	250.00	5.0
JP MORGAN VENTURES	046	TJX	SS	30,000	35.18	28-Jul	7-Aug	1,500.00	5.0
f JOHN MICHAEL ZOLIDIS	FID	TOL	S	500	22.30	n/a	n/a	0.00	0.0
TYEE/TYGH	035	WDR	B	35,800	26.91	29-Jul	13-Aug	1,432.00	4.0
BAIRD INVESTMENT	047	WFT	S	17,850	19.19	n/a	n/a	892.50	5.0
f NEIL M STRATTON	FID	WHRTK	S	1	0.60	n/a	n/a	0.00	0.0
GREEN ARROW CAPITAL	040	WMT	B	5,000	51.77	11-May	13-Aug	250.00	5.0
f FRANCIS MICHAEL MCCA	FID	WNC	S	1000	1.52	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	WRC	S	20,000	38.99	28-Jul	12-Aug	800.00	4.0
f JOHN MICHAEL ZOLIDIS	FID	XHB	S	600	14.83	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		XLF	C	134,800	14.02	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GREEN ARROW CAPITAL	040	XLP	SS	15,000	24.46	n/a	n/a	750.00	5.0
BUCK CAPITAL MGMT		XRT	C	55,000	31.14	n/a	n/a	non-brg	1.0
TOTAL (Trade Date):								49,564.79	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	08/13	LAGRANGE CAP ADV	048	AXL	B	20,000	3.14	n/a	12-Aug	600.00	3.0
AO,CXL	08/13	LAGRANGE CAP ADV	048	AXL	B	20,000	3.14	n/a	12-Aug	1000.00	5.0
AO,CRT	08/13	WINSLOW CAPITAL	030	CHRW	B	200	55.55	n/a	n/a	8.00	4.0
AO,CXL	08/13	WINSLOW CAPITAL	030	CHRW	B	200	55.55	n/a	n/a	8.00	4.0
AO,CRT	08/13	WINSLOW CAPITAL	030	EXPD	B	200	33.14	n/a	n/a	8.00	4.0
AO,CXL	08/13	WINSLOW CAPITAL	030	EXPD	B	200	33.14	n/a	n/a	8.00	4.0
AO,CRT	08/13	BUCK CAPITAL MGMT	001	HOG	B	30,000	23.21	n/a	n/a	1200.00	4.0
AO,CXL	08/13	BUCK CAPITAL MGMT	001	HOG	B	30,000	23.21	n/a	n/a	1200.00	4.0
AO,CRT	08/13	HIGHBRIDGE/MS OLDS	041	PALM	S	46,600	13.51	n/a	n/a	1864.00	4.0
AO,CXL	08/13	HIGHBRIDGE/MS OLDS	041	PALM	S	46,600	13.51	n/a	n/a	2330.00	5.0
AO,CXL	08/13	HOTCHKIS & WILEY	035	TEL	B	7,800	23.17	n/a	n/a	390.00	5.0
AO,CRT	08/13	HOTCHKIS & WILEY	035	TEL	B	7,800	23.17	n/a	n/a	390.00	5.0
AO,CXL	08/13	PATTEN & PATTEN	067	VXX	B	7,610	59.28	n/a	n/a	380.50	5.0
AO,	08/13	PATTEN & PATTEN	067	VXX	B	2,365	59.28	n/a	n/a	118.25	5.0
AO,CRT	08/13	PATTEN & PATTEN	067	VXX	B	5,245	59.28	n/a	n/a	262.25	5.0
TOTAL (AO, CXL, CRT) :										-866.00	

TOTAL (Trade Date) :

49,564.79

TOTAL (AO, CXL, CRT):

-866.00

TOTAL (RUN DATE) / NFS:

48,698.79

MRI Securities with Trade Activity on 14-Aug.

EL, GIL, IP, JOYG, TIN

MRI Securities without Trade Activity on 14-Aug.

KG, KSS, LVS

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

T-Date = 24%

YTD = 21%

<u>Legend:</u>
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)