



Daily Compliance Activity Report

Trade Date: 05/15/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAXTON PART	040	AAPL	B	5,903	124.40	n/a	n/a	206.62	3.5
EPOCH INV MGMT	030	AAPL	B	1,100	124.36	n/a	n/a	44.00	4.0
f JOHN BARTMAN COLE	FID	AA	B	200	9.10	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ABG	S	6,300	8.53	n/a	30-Apr	non-brg	1.5
EPOCH INV MGMT	030	ADP	B	2,800	36.34	n/a	n/a	112.00	4.0
EPOCH INV MGMT	030	AET	B	4,800	26.79	n/a	n/a	192.00	4.0
MILLRACE FUND LP	028	ALV	SS	10,000	23.46	12-Mar	22-Apr	400.00	4.0
ROXBURY CAPITAL MGMT	035	AMD	B	1,178,000	4.17	n/a	n/a	35,340.00	3.0
EPOCH INV MGMT	030	AMP	B	4,900	25.45	n/a	n/a	196.00	4.0
BUCK CAPITAL MGMT	001	ANF	B	70,000	26.35	16-Apr	8-May	2,800.00	4.0
SAXON WOODS ADVISORS	038	ANF	S	76,100	26.00	16-Apr	8-May	3,044.00	4.0
B BUCK CAPITAL MGMT		ARO	B	30,000	31.41	n/a	8-May	non-brg	4.0
KACELA CAPITAL	034	ARO	B	24,000	32.02	n/a	8-May	960.00	4.0
EPOCH INV MGMT	030	ATK	B	1,850	83.96	n/a	n/a	74.00	4.0
f MICHAEL THOMAS NOLAN	FID	AXL	B	500	2.30	n/a	n/a	0.00	0.0
f NICOLAS EVAN PAKLER	FID	AXL	B	1000	2.29	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAXTON PART	040	BAC	B	28,970	11.25	11-May	11-May	1,013.97	3.5
EPOCH INV MGMT	030	BA	B	3,400	43.88	n/a	n/a	136.00	4.0
B BUCK CAPITAL MGMT		BEBE	S	20,000	8.20	n/a	n/a	non-brg	3.0
EPOCH INV MGMT	030	BEN	B	2,150	60.83	11-May	12-May	86.00	4.0
EPOCH INV MGMT	030	BK	B	5,550	27.91	11-May	12-May	222.00	4.0
SAC CAP/ROSEN FOR BOBBY	044	BOKF	SS	4,000	38.29	n/a	n/a	160.00	4.0
EPOCH INV MGMT	030	BSX	B	10,600	8.89	n/a	22-Apr	424.00	4.0
EPOCH INV MGMT	030	BTU	B	1,400	29.58	n/a	n/a	56.00	4.0
B BUCK CAPITAL MGMT		CAB	SS	2,400	12.47	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		CAB	SS	57,600	12.58	n/a	n/a	non-brg	1.5
f DAVID GEORGE BUCK	FID	CAH	B	1000	34.79	n/a	n/a	0.00	0.0
TRUST CO/COWEN/CALF.	040	CBS	B	86,900	6.96	n/a	n/a	3,476.00	4.0
SAC CAP/ROSEN FOR BOBBY	044	CFR	SS	2,700	48.31	n/a	n/a	108.00	4.0
PENNANT CAP MGMT	029	CF	S	206,491	79.47	n/a	n/a	6,194.73	3.0
f EDWARD W WHEELER	FID	CHP	B	10000	1.85	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	CL	B	1,200	63.87	16-Mar	14-May	48.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	CMCSK	B	10,450	13.90	n/a	n/a	418.00	4.0
⚡ BUCK CAPITAL MGMT		COF	B	20,000	25.36	15-May	15-May	non-brg	1.0
⚡ BUCK CAPITAL MGMT		COH+EC[???	C	3,882	8.66	n/a	n/a	non-brg	300.0
⚡ BUCK CAPITAL MGMT		COH+ED[???	C	728	3.82	n/a	n/a	non-brg	300.0
⚡ BUCK CAPITAL MGMT		COH	S	70,000	23.38	9-Jan	22-Apr	non-brg	4.0
EPOCH INV MGMT	030	COP	B	2,250	44.60	n/a	n/a	90.00	4.0
NEUBERGER BERMAN	036	COV	B	400,415	36.35	n/a	n/a	18,018.68	4.5
f KEVIN MICHAEL O'GORM	FID	CVGI	B	1000	1.20	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		CVS+EY[???	C	995	3.76	n/a	n/a	non-brg	200.0
SONTERRA CAP	041	CVX	SS	30,000	66.35	n/a	n/a	1,200.00	4.0
M&I FUNDS	256	CYH	B	35,346	24.01	13-May	13-May	1,413.84	4.0
⚡ BUCK CAPITAL MGMT		DAI	SS	20,000	33.36	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DECK	S	5,000	49.23	n/a	n/a	non-brg	4.0
LEVIN CAPITAL STRATEGIES	012	EMC	B	200,000	12.00	n/a	n/a	8,000.00	4.0
MISSION GLOBAL LLC	041	EP	B	24,350	8.60	n/a	n/a	974.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
&MIS	041	EP	B	650	8.60	n/a	n/a	26.00	4.0
B BUCK CAPITAL MGMT		FOSL	S	10,000	21.33	n/a	30-Jan	non-brg	4.0
ROSEDALE CAPITAL	046	FRX	B	10,000	23.13	22-Apr	14-May	500.00	5.0
B BUCK CAPITAL MGMT		GCO	S	50,000	22.29	n/a	10-Jan	non-brg	4.0
f NEIL M STRATTON	FID	GHQWS	B	1000	0.45	n/a	n/a	0.00	0.0
f NEIL M STRATTON	FID	GHQWS	B	1000	0.45	n/a	n/a	0.00	0.0
f STRATTON PAR TNERSHI	FID	GHQWS	B	500	0.45	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GPS	S	40,000	15.33	n/a	30-Jan	1,600.00	4.0
B BUCK CAPITAL MGMT		GQU+EW[???	C	895	16.77	n/a	n/a	non-brg	300.0
B BUCK CAPITAL MGMT		GQU+EX[???	C	980	11.78	n/a	n/a	non-brg	300.0
LEVIN CAPITAL STRATEGIES	012	HLF	S	20,000	25.82	n/a	n/a	800.00	4.0
WASHINGTON ASSET	048	HRS	B	5,000	29.60	6-May	12-May	250.00	5.0
CAXTON PART	040	IBM	B	5,903	102.86	n/a	n/a	206.62	3.5
B BUCK CAPITAL MGMT		IFF	C	50,107	30.26	21-Jan	30-Apr	non-brg	4.0
THE JAY GOLDMAN	034	IP	S	10,000	12.90	n/a	1-May	400.00	4.0
B BUCK CAPITAL MGMT		JAS	B	25,000	20.67	n/a	n/a	non-brg	2.5
CASEY CAPITAL	067	JCP	B	5,000	26.55	13-Apr	8-May	250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THE JAY GOLDMAN	034	JCP	SS	20,000	26.67	13-Apr	8-May	800.00	4.0
⚡ BUCK CAPITAL MGMT		JNY+EA[???	C	631	3.61	n/a	n/a	non-brg	200.0
⚡ BUCK CAPITAL MGMT		JOZ+TC[HOG]	SS	1,000	1.50	n/a	n/a	non-brg	300.0
f DAVID GEORGE BUCK	FID	JPMFV	B	15	0.55	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	JPM	S	1500	35.43	16-Jan	11-May	0.00	0.0
⚡ BUCK CAPITAL MGMT		JWN	SS	100,000	22.13	20-Feb	15-May	non-brg	4.0
⚡ BUCK CAPITAL MGMT		JWN	SS	50,000	22.38	20-Feb	15-May	non-brg	1.0
f JOHN MICHAEL ZOLIDIS	FID	KMX	B	1000	10.57	n/a	10-Jan	0.00	0.0
BUCK CAPITAL MGMT	001	KSS	B	20,000	41.86	8-May	15-May	800.00	4.0
CADIAN CAPITAL	067	KSS	SS	50,000	41.41	8-May	15-May	2,000.00	4.0
SANDLER O'NEILL ASSET	031	LAZ	B	25,000	27.07	n/a	28-Apr	1,250.00	5.0
DIAMONDBACK CAP MGMT	232	LM	SS	5,000	18.52	5-May	11-May	250.00	5.0
⚡ BUCK CAPITAL MGMT		LVS	S	50,000	10.06	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		M+EB[???	C	2,985	1.85	n/a	n/a	non-brg	200.0
⚡ BUCK CAPITAL MGMT		MDTL	C	67,614	0.34	n/a	n/a	non-brg	1.0
ROTHSCHILD ASSET	040	MLI	B	63,630	22.03	n/a	22-Apr	2,863.35	4.5
⚡ BUCK CAPITAL MGMT		MNRO	B	10,000	25.98	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		MNRO	B	18,600	25.49	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		MNRO	B	38,200	25.69	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		MNRO	B	4,000	26.06	n/a	n/a	non-brg	1.0
JOHN BARTMAN COLE	FID	MOVE	B	1000	1.95	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		MVRX	SS	60,000	116.06	n/a	n/a	non-brg	11.6
THE JAY GOLDMAN	034	M	B	50,000	11.55	n/a	14-May	2,000.00	4.0
ROTHSCHILD ASSET	040	NEU	S	5,600	66.58	n/a	n/a	252.00	4.5
BUCK CAPITAL MGMT		NKE	S	20,000	51.06	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		NKE	S	20,000	51.29	n/a	n/a	non-brg	4.0
WHITE PINE CAPITAL	030	NWY	S	25,000	4.37	n/a	30-Jan	1,000.00	4.0
BUCK CAPITAL MGMT	001	PAG	S	148,600	10.97	n/a	6-May	5,944.00	4.0
BUCK CAPITAL MGMT		PETM	SS	20,000	22.15	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		PFCB	SS	20,000	29.40	23-Apr	23-Apr	non-brg	4.0
NEIL M STRATTON	FID	PKK	B	500	14.60	n/a	n/a	0.00	0.0
STRATTON PAR TNERSHI	FID	PKK	B	250	14.60	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		QIA+EB[???	C	1,959	4.93	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		QIA+EU[???	C	859	7.43	n/a	n/a	non-brg	300.0
MARINER/TRICADIA	041	RDNT	B	86,500	2.06	n/a	n/a	2,595.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRUST CO/COWEN/CALF.	040	RSG	S	75,557	22.15	n/a	n/a	3,022.28	4.0
B BUCK CAPITAL MGMT		SAH	S	100,000	7.03	6-Apr	6-Apr	non-brg	3.0
f JASON ERIC COHEN	FID	SDSEG	S	1	2.70	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SGMS	SS	30,000	17.39	n/a	n/a	non-brg	4.0
SAC CAP/ROSEN FOR BOBBY	044	SIVB	SS	13,200	25.71	n/a	n/a	528.00	4.0
B BUCK CAPITAL MGMT		SKX	S	5,000	9.41	n/a	13-Mar	non-brg	3.0
WAGONHOUND/NIC	048	SLM	B	4,763	5.72	23-Apr	11-May	142.89	3.0
f JOSEPH CIRO AMATURO	FID	SPHIX	S	28777	6.95	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	STFC	S	10,000	15.16	n/a	n/a	400.00	4.0
MISSION GLOBAL LLC	041	SUG	SS	9,740	15.70	n/a	n/a	389.60	4.0
&MIS	041	SUG	SS	260	15.70	n/a	n/a	10.40	4.0
B BUCK CAPITAL MGMT		SUP	C	3,000	12.44	27-Feb	11-May	non-brg	4.0
BUCK CAPITAL MGMT	001	TIF	SS	20,000	26.08	n/a	30-Jan	800.00	4.0
BMO NESBITT BURNS	041	TIN	SS	50,000	11.07	n/a	22-Apr	2,500.00	5.0
BUCK CAPITAL MGMT	001	UA	SS	40,000	21.80	29-Apr	29-Apr	1,600.00	4.0
f DAVID GEORGE BUCK	FID	UL	B	1000	22.80	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f DAVID GEORGE BUCK	FID	WFC	S	2000	24.98	n/a	n/a	0.00	0.0
OMEGA ADVISORS	041	WFC	S	200,000	24.82	n/a	n/a	8,000.00	4.0
SLS CAPITAL LLC	224	WMT	S	127,400	48.60	11-May	14-May	5,096.00	4.0
B BUCK CAPITAL MGMT		WRC	B	30,000	27.26	13-May	13-May	non-brg	4.0
CUMBERLAND	038	YRCW	SS	18,339	3.09	n/a	n/a	550.17	3.0
TOTAL (Trade Date):								132,234.15	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	05/14	BALYASNY ASSET MGMT	044	PBY	B	40,000	6.11	n/a	n/a	1600.00 4.0
AO,CRT	05/13	AVESTA CAP	229	TYC	B	50,000	25.20	1-May	1-May	2000.00 4.0
AO,CXL	05/13	AVESTA CAP	229	TYC	B	50,000	25.20	1-May	1-May	2000.00 4.0
AO,CRT	05/14	CUMBERLAND	038	YRCW	SS	67,661	3.28	n/a	n/a	2029.83 3.0
AO,CXL	05/14	CUMBERLAND	038	YRCW	SS	67,661	3.28	n/a	n/a	2706.44 4.0

TOTAL (AO, CXL, CRT) :	923.39
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TOTAL (Trade Date) :	132,234.15
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TOTAL (AO, CXL, CRT) :	923.39
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TOTAL (RUN DATE) / NFS:	133,157.54
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MRI Securities with Trade Activity on 15-May.

COF

MRI Securities without Trade Activity on 15-May.
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NONE

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

T-Date = 15%

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)