



Daily Compliance Activity Report

Trade Date: 10/16/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MATRIX ASSET ADV.	036	AA	B	20,000	14.07	n/a	n/a	600.00	3.0
SIGMA CAPITAL ASSOCIATES	041	AEO	S	50,000	19.58	n/a	9-Oct	2,000.00	4.0
BUCK CAPITAL MGMT	001	AM	S	20,000	22.68	n/a	n/a	800.00	4.0
NEWLAND CAPITAL MGT	067	AOS	B	10,000	41.89	n/a	16-Oct	400.00	4.0
CASTLEROCK	040	APC	B	115,262	66.17	n/a	9-Oct	4,610.48	4.0
EXIS CAPITAL	044	ARO	B	5,000	41.50	n/a	9-Oct	250.00	5.0
f HARALAMBOS EFSTATHI	FID	ATLS	B	200	29.32	n/a	n/a	0.00	0.0
f MICHAEL THOMAS NOLAN	FID	ATLS	B	200	28.95	n/a	n/a	0.00	0.0
LAGRANGE CAP ADV	048	AXL	B	15,000	6.35	n/a	n/a	750.00	5.0
TROUBH PART	067	AXL	B	25,000	6.24	n/a	n/a	1,250.00	5.0
PROSPECTOR PARTNERS LLC	036	AYE	B	10,000	26.24	n/a	n/a	400.00	4.0
PORTER-ORLIN-FELDMAN	044	BAC	SS	300,000	17.31	n/a	15-Oct	9,000.00	3.0
TROUBH PART	067	BAC	S	75,000	17.22	n/a	15-Oct	3,750.00	5.0
B BUCK CAPITAL MGMT		BONT	B	16,500	8.42	n/a	n/a	non-brg	2.5
f MANNY I KORMAN	FID	CLUB	B	5000	3.38	n/a	n/a	0.00	0.0
ROYCE TRADING	216	CMC	S	10,000	18.30	n/a	n/a	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		CMG	C	5,000	90.11	n/a	15-Oct	non-brg	0.8
f ANN M GAULT	FID	CMZ	B	5000	1.15	n/a	n/a	0.00	0.0
f HARALAMBOS EFSTATHI	FID	CMZ	B	5000	1.16	n/a	n/a	0.00	0.0
f JOHN MICHAEL DEMARTI	FID	CMZ	B	20000	1.15	n/a	n/a	0.00	0.0
f MICHAEL THOMAS NOLAN	FID	CMZ	B	6000	1.18	n/a	n/a	0.00	0.0
f WILLIAM J GAULT	FID	CMZ	B	15000	1.15	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		COCO	SS	20,000	17.43	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	COF	S	2000	37.01	n/a	15-Oct	0.00	0.0
ROYCE TRADING	216	CR	S	3,000	27.20	n/a	n/a	150.00	5.0
f JONATHAN RICHARD HAR	FID	CSR	B	1070	6.52	n/a	n/a	0.00	0.0
ROYCE TRADING	216	CTB	S	10,000	16.93	n/a	n/a	500.00	5.0
HOOVER INV. MGMT	033	CY	S	238,500	9.46	n/a	n/a	9,540.00	4.0
COLONIAL FUND LLC	036	C	B	25,000	4.64	n/a	16-Oct	750.00	3.0
TROUBH PART	067	C	S	100,000	4.59	n/a	16-Oct	5,000.00	5.0
B BUCK CAPITAL MGMT		DECK	S	5,000	87.07	n/a	n/a	non-brg	4.0
SANDLER O'NEILL ASSET	031	DFS	B	25,000	15.48	n/a	15-Oct	1,250.00	5.0
HUNTER GLOBAL INVESTOR	067	DHR	S	72,000	68.98	n/a	n/a	3,600.00	5.0
B BUCK CAPITAL MGMT		DIA	SS	45,000	99.76	n/a	n/a	non-brg	0.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MANNY I KORMAN	FID	DLTR	B	5000	48.70	n/a	6-Oct	0.00	0.0
ß BUCK CAPITAL MGMT		DRI	S	10,000	33.22	n/a	2-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		DRI	S	10,000	33.38	n/a	2-Oct	non-brg	1.0
ß BUCK CAPITAL MGMT		DRI	S	15,122	33.26	n/a	2-Oct	non-brg	0.8
ß BUCK CAPITAL MGMT		DRI	S	44,878	33.38	n/a	2-Oct	non-brg	1.0
ROYCE TRADING	216	EVR	S	2,500	32.50	n/a	n/a	125.00	5.0
SACC-SCHWARTZ	044	FCX	B	20,400	75.81	n/a	n/a	816.00	4.0
f FRANCIS MICHAEL MCCA	FID	FLOW	S	1500	2.73	n/a	n/a	0.00	0.0
JP MORGAN VENTURES	046	FL	B	30,000	11.81	n/a	n/a	1,500.00	5.0
OZ MGMT	040	FL	B	125,000	12.08	n/a	n/a	3,750.00	3.0
PILOT ADV	038	FL	B	100,000	12.03	n/a	n/a	3,000.00	3.0
ROYCE TRADING	216	FOE	S	5,000	8.43	n/a	n/a	250.00	5.0
ROYCE TRADING	216	FOH	S	5,000	1.87	n/a	n/a	150.00	3.0
f MITCHELL JAMES SPEIS	FID	FSNXX	S	4000	1.00	n/a	n/a	0.00	0.0
ROYCE TRADING	216	FUL	S	5,000	22.44	n/a	n/a	250.00	5.0
SMITH MGMT LLC	029	F	B	500,000	7.45	n/a	1-Oct	15,000.00	3.0
f JOSEPH CIRO AMATURO	FID	GAZ	B	10000	15.78	n/a	n/a	0.00	0.0
ROYCE TRADING	216	GCO	S	5,000	26.20	n/a	n/a	250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	216	GDP	S	5,000	29.68	n/a	n/a	250.00	5.0
KLEINHEINZ CAP PART	031	GLD	SS	100,000	103.53	n/a	n/a	5,000.00	5.0
B BUCK CAPITAL MGMT		GME	S	80,000	27.64	n/a	n/a	non-brg	4.0
PRINCIPLE CAPITAL	040	GME	S	75,000	27.72	n/a	n/a	2,250.00	3.0
B BUCK CAPITAL MGMT		GPS	S	20,000	22.69	n/a	n/a	non-brg	4.0
ROYCE TRADING	216	GRB	S	5,000	5.69	n/a	n/a	250.00	5.0
f ROBERT M DANIELS	FID	GSI	S	700	4.28	n/a	n/a	0.00	0.0
ROYCE TRADING	216	GTI	S	10,000	14.75	n/a	n/a	500.00	5.0
ROYCE TRADING	216	GY	S	5,000	7.05	n/a	n/a	250.00	5.0
HARVEST MGMT	039	HOTT	B	25,000	8.83	n/a	n/a	750.00	3.0
BUCK CAPITAL MGMT	001	HOT	B	30,000	34.55	n/a	n/a	1,200.00	4.0
f HARALAMBOS EFSTATHI	FID	HSTX	S	74	7.16	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		IWM	SS	70,000	61.86	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		JCG	S	20,000	37.99	n/a	n/a	non-brg	4.0
f ROBERT M DANIELS	FID	JNS	S	300	15.23	n/a	7-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	JWN	B	100,000	34.34	n/a	9-Oct	4,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MILLENIUM PARTNERS	028	KR	B	56,000	24.09	n/a	n/a	2,240.00	4.0
ENDEAVOUR CAPITAL	035	LNC	B	85,700	26.33	n/a	n/a	4,285.00	5.0
f JOHN MICHAEL DEMARTI	FID	MGI	B	3000	3.21	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		MVRX	SS	37,500	169.85	n/a	n/a	non-brg	17.0
BMO NESBITT BURNS	041	M	SS	25,000	19.94	n/a	9-Oct	1,250.00	5.0
B BUCK CAPITAL MGMT		M	S	50,000	19.79	n/a	9-Oct	non-brg	4.0
ROYCE TRADING	216	NPO	S	7,000	23.10	n/a	n/a	350.00	5.0
B BUCK CAPITAL MGMT		NTY	S	10,000	41.22	n/a	n/a	non-brg	4.0
SYSTEMATIC FINANCIAL MGT	035	NUS	B	42,300	21.44	n/a	n/a	1,480.50	3.5
LISTED ERR	035	NUS	B	37	21.44	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ORLY	SS	20,000	37.12	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ORLY	SS	50,000	36.98	n/a	n/a	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	PAG	B	300	17.16	n/a	n/a	0.00	0.0
KLEINHEINZ CAP PART	031	PBR	B	50,000	49.91	n/a	n/a	2,500.00	5.0
f DAVID GEORGE BUCK	FID	PFE	B	1000	17.69	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		PIR	B	20,000	4.70	n/a	n/a	non-brg	3.0
BACKBAY	041	PKG	SS	50,000	21.99	n/a	12-Oct	2,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WEINTRAUB CAPITAL MGT.	040	PKG	SS	100,000	22.00	n/a	12-Oct	4,000.00	4.0
B BUCK CAPITAL MGMT		PLCE	S	20,000	35.25	n/a	12-Oct	non-brg	4.0
BUCK CAPITAL MGMT	001	PVH	S	30,000	43.24	n/a	n/a	1,200.00	4.0
f DAVID GEORGE BUCK	FID	RIG	B	500	90.88	n/a	n/a	0.00	0.0
CAXTON PART	040	RTN	S	15,191	46.54	n/a	n/a	531.69	3.5
B BUCK CAPITAL MGMT		RVI	B	40,000	6.98	n/a	n/a	non-brg	2.5
f JOHN CAREY MAGUIRE	FID	SDS	S	200	38.04	n/a	n/a	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	SEUKH	B	9	1.50	n/a	n/a	0.00	0.0
EXIS CAPITAL	044	SKS	B	10,000	6.28	n/a	n/a	500.00	5.0
EXIS CAPITAL	044	SKS	S	25,000	6.40	n/a	n/a	1,250.00	5.0
f DAVID GEORGE BUCK	FID	SLB	B	700	68.62	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	SLE	B	20,000	11.08	n/a	n/a	800.00	4.0
FRONTIER	039	SMTC	B	100,000	16.41	n/a	n/a	4,000.00	4.0
PORTER-ORLIN-FELDMAN	044	SPF	SS	50,000	3.51	n/a	n/a	1,500.00	3.0
B BUCK CAPITAL MGMT		SPLS	SS	10,000	23.18	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SPY	SS	40,000	108.86	n/a	n/a	non-brg	0.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEWCASTLE FUNDS	255	TIN	S	200,000	17.61	n/a	12-Oct	9,000.00	4.1
f FRANCIS MICHAEL MCCA	FID	TITN	B	200	12.37	n/a	n/a	0.00	0.0
EXIS CAPITAL	044	TJX	B	5,000	37.84	n/a	9-Oct	250.00	5.0
B BUCK CAPITAL MGMT		TSCO	SS	10,000	52.78	n/a	n/a	non-brg	4.0
f FRANCIS MICHAEL MCCA	FID	TWI	S	400	8.71	n/a	n/a	0.00	0.0
f JOHN CAREY MAGUIRE	FID	TWM	B	300	27.42	n/a	n/a	0.00	0.0
ST OF MICHIAN	047	T	B	200,000	25.69	n/a	n/a	6,000.00	3.0
BUCK CAPITAL MGMT	001	UA	SS	20,000	29.85	n/a	n/a	800.00	4.0
f JONATHAN RICHARD HAR	FID	UNG	S	450	11.33	n/a	n/a	0.00	0.0
HUNTER GLOBAL INVESTOR	067	UPS	B	35,000	56.97	n/a	n/a	1,750.00	5.0
G WEISS /SASHA	070	WFC	C	50,000	30.10	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	WRC	S	1,500	42.70	n/a	2-Oct	60.00	4.0
ROTHSCHILD ASSET	040	WRC	B	24,460	42.73	n/a	2-Oct	1,100.70	4.5
EXIS CAPITAL	044	XRT	SS	15,000	36.35	n/a	n/a	750.00	5.0
TOTAL (Trade Date) :								134,239.37	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/15	FRIESS MGMT	033	AEO	B	192,600	19.06	n/a	9-Oct	7704.00 4.0
AO,CXL	10/15	FRIESS MGMT	033	AEO	B	192,600	19.06	n/a	9-Oct	7704.00 4.0
AO,CRT	10/13	PAULSON & CO INC	041	AGU	SS	37,100	51.83	n/a	n/a	1113.00 3.0
AO,CXL	10/13	PAULSON & CO INC	041	AGU	SS	37,100	51.83	n/a	n/a	1113.00 3.0
AO,CRT	10/14	FORD FDN.	032	CEPH	B	45,000	54.28	n/a	15-Oct	1800.00 4.0
AO,CXL	10/14	FORD FDN.	032	CEPH	B	45,000	54.28	n/a	15-Oct	2250.00 5.0
AO,CRT	10/13	PAULSON & CO INC	041	CF	B	20,000	89.06	n/a	n/a	600.00 3.0
AO,CXL	10/13	PAULSON & CO INC	041	CF	B	20,000	89.06	n/a	n/a	600.00 3.0
AO,CXL	10/15	COOPER CREEK PART	028	DKS	B	15,000	25.44	n/a	15-Oct	750.00 5.0
AO,CRT	10/15	COOPER CREEK PART	028	DKS	B	15,000	25.44	n/a	15-Oct	600.00 4.0
AO,CRT	10/15	HARVEST MGMT	039	HOTT	B	20,000	8.83	n/a	n/a	600.00 3.0
AO,CXL	10/15	HARVEST MGMT	039	HOTT	B	20,000	8.83	n/a	n/a	1000.00 5.0
AO,CRT	10/14	HUNTER GLOBAL INVESTOR	067	MMM	B	131,500	76.51	n/a	n/a	6575.00 5.0
AO,CXL	10/14	HUNTER GLOBAL INVESTOR	067	MMM	B	131,500	76.51	n/a	n/a	5260.00 4.0
AO,CRT	10/15	SOUTH POINT CAP	067	UYG	SS	55,000	6.34	n/a	n/a	2200.00 4.0
AO,CXL	10/15	SOUTH POINT CAP	067	UYG	SS	55,000	6.34	n/a	n/a	2750.00 5.0
TOTAL (AO, CXL, CRT) :										-235.00

TOTAL (Trade Date):	134,239.37
TOTAL (AO, CXL, CRT):	-235.00

TOTAL (RUN DATE) / NFS:	134,004.37
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MRI Securities with Trade Activity on 16-Oct. NONE

MRI Securities without Trade Activity on 16-Oct. PRX, KEG, GS
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BRG comm. as a % of BCM Total Comm. paid. T-Date = 26% YTD = 21%
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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)