



# Daily Compliance Activity Report

Trade Date: 11/27/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		AEO	B	30,000	15.10	n/a	25-Nov	non-brg	4.0
BUCK CAPITAL MGMT	001	ANF	B	37,000	40.53	n/a	16-Nov	1,480.00	4.0
BUCK CAPITAL MGMT		ANF	B	100,000	40.45	n/a	16-Nov	non-brg	4.0
BUCK CAPITAL MGMT	001	ARO	B	30,000	31.64	n/a	6-Nov	1,200.00	4.0
JOSEPH CIRO AMATURO	FID	BGU	B	5000	48.65	n/a	n/a	0.00	0.0
JOSEPH CIRO AMATURO	FID	BGZ	S	10000	18.72	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		BWIN AV	B	5,000	55.28	n/a	n/a	non-brg	8.3
BUCK CAPITAL MGMT	001	BYI	B	10,000	42.55	n/a	n/a	400.00	4.0
LIEBAU ASSET	048	CAT	S	1,000	57.60	n/a	21-Oct	50.00	5.0
LIER	048	CAT	S	10,000	57.60	n/a	21-Oct	500.00	5.0
JASON ERIC COHEN	FID	CLWR	B	525	5.69	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	COH	B	10,000	35.15	n/a	21-Oct	400.00	4.0
BUCK CAPITAL MGMT	001	CRI	B	10,000	22.01	n/a	n/a	400.00	4.0
CASTLEROCK	040	CRK	B	83,538	37.87	n/a	n/a	3,341.52	4.0
BERMAN CAPITAL MGMT	046	CWTR	B	5,000	4.49	n/a	n/a	150.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		FINL	B	30,000	9.23	n/a	n/a	non-brg	3.0
f CHRISTOPHER ROBERT C	FID	FSAGX	S	108	46.90	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		FUQI	B	20,000	20.77	n/a	n/a	non-brg	2.5
f JOSEPH CIRO AMATURO	FID	GAZ	B	5000	13.38	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GCO	B	10,000	26.46	n/a	n/a	400.00	4.0
ß BUCK CAPITAL MGMT		GCO	B	58,000	26.88	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	GPS	B	68,000	22.09	n/a	n/a	2,720.00	4.0
ß BUCK CAPITAL MGMT		GPS	B	80,000	22.08	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GS	B	5,000	165.18	n/a	18-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		GYMB	B	37,000	41.00	n/a	19-Nov	non-brg	4.0
DAVIDSON KEMPNER ADVISOR	040	HES	B	5,000	57.93	n/a	n/a	250.00	5.0
WEINTRAUB CAPITAL MGT.	040	JNJ	B	75,000	62.99	n/a	n/a	3,000.00	4.0
ß BUCK CAPITAL MGMT		KSS	B	20,000	54.22	n/a	13-Nov	non-brg	4.0
WEINTRAUB CAPITAL MGT.	040	KSS	B	98,000	54.53	n/a	13-Nov	3,920.00	4.0
BUCK CAPITAL MGMT	001	LTD	B	90,000	17.11	n/a	n/a	3,600.00	4.0
ß BUCK CAPITAL MGMT		LTD	B	150,000	17.11	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		MS	B	20,000	30.48	n/a	18-Nov	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		MVRX	C	50,000	166.10	n/a	n/a	non-brg	16.6
f NEIL M STRATTON	FID	MXM	B	199	9.75	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	M	B	20,000	17.19	n/a	12-Nov	800.00	4.0
B BUCK CAPITAL MGMT		M	B	50,000	17.12	n/a	12-Nov	non-brg	4.0
BUCK CAPITAL MGMT	001	PIR	B	20,000	4.08	n/a	n/a	400.00	2.0
B BUCK CAPITAL MGMT		PSS	B	30,000	20.31	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		QKLS	B	10,000	6.08	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT	001	RL	B	5,000	77.93	n/a	4-Nov	200.00	4.0
BERMAN CAPITAL MGMT	046	SPY	S	20,000	109.84	n/a	n/a	600.00	3.0
BUCK CAPITAL MGMT	001	TGT	B	10,000	47.25	n/a	18-Nov	400.00	4.0
ROTHSCHILD ASSET	040	TKR	B	48,044	24.94	n/a	n/a	2,162.04	4.5
BUCK CAPITAL MGMT	001	TLB	B	50,000	7.02	n/a	n/a	1,500.00	3.0
B BUCK CAPITAL MGMT		XRT	C	12,100	35.09	n/a	n/a	non-brg	0.8
TOTAL (Trade Date):								27,873.56	

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):	27,873.56
TOTAL (AO, CXL, CRT):	0.00

TOTAL (RUN DATE) / NFS:	27,873.56
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MRI Securities with Trade Activity on 27-Nov.  
NONE

MRI Securities without Trade Activity on 27-Nov.  
NONE

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 30%  
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)**