



# Daily Compliance Activity Report

Trade Date: 05/01/2009

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	200,000	14.48	20-Apr	20-Apr	non-brg	4.0
BUCK CAPITAL MGMT		AEO	B	50,000	14.48	20-Apr	20-Apr	non-brg	1.0
BUCK CAPITAL MGMT		AEO	B	50,000	14.66	20-Apr	20-Apr	non-brg	0.8
BUCK CAPITAL MGMT		AG	B	37,800	25.62	n/a	29-Apr	non-brg	4.0
BUCK CAPITAL MGMT		ALV+UW[ALV]	SS	1,000	1.12	n/a	n/a	non-brg	300.0
JOHN CAREY MAGUIRE	FID	AMAG	B	200	51.92	n/a	n/a	0.00	0.0
NWQ INVESTMENT MGMT CO	048	AOC	B	10,200	36.97	n/a	n/a	408.00	4.0
COUGAR TRADING	044	ARO	B	5,000	33.70	n/a	13-Apr	250.00	5.0
TROUBH PART	067	BAC	B	25,000	8.96	2-Mar	24-Apr	1,250.00	5.0
BUCK CAPITAL MGMT		BBBY	C	10,000	30.10	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		BBBY	C	15,000	29.60	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		BEBE	S	20,000	9.01	n/a	n/a	non-brg	3.0
WHITE PINE CAPITAL	030	BEBE	B	100	9.22	n/a	n/a	5.00	5.0
MILLENNIUM-ANDEW	031	BGC	S	20,000	33.15	n/a	n/a	1,600.00	8.0
FIRST NY SEC/CHRIS	041	BKC	B	10,000	16.81	16-Apr	29-Apr	500.00	5.0
ROBERT M DANIELS	FID	BQI	B	500	0.80	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>BWA+ST[BWA]</b>	<b>SS</b>	<b>1,000</b>	<b>1.15</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>300.0</b>
BRENCOURT	028	BWA	SS	50,000	28.73	1-May	1-May	2,500.00	5.0
TRUST CO/COWEN/CALF.	040	BX	S	88,120	11.02	n/a	n/a	3,524.80	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CAT</b>	<b>B</b>	<b>70,000</b>	<b>36.61</b>	<b>n/a</b>	<b>22-Apr</b>	<b>2,800.00</b>	<b>4.0</b>
NEWCASTLE FUNDS	033	CHD	S	10,000	53.71	27-Apr	27-Apr	400.00	4.0
GLOBAL 56 LLC	060	CHK	B	3,500	20.84	n/a	n/a	140.00	4.0
WELLS/STRONG LEDDY	035	CHRS	B	4,700	3.57	n/a	22-Mar	141.00	3.0
WHITE PINE CAPITAL	030	CHS	B	200	7.61	5-Dec	30-Jan	10.00	5.0
<b>f MARK MEGALLI</b>	<b>FID</b>	<b>CKEC</b>	<b>B</b>	<b>5000</b>	<b>4.24</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
KACELA CAPITAL	034	CLX	B	13,000	55.69	10-Feb	20-Mar	520.00	4.0
CAMBIAR CAP	046	CL	B	71,300	59.57	16-Mar	1-May	2,852.00	4.0
NEWCASTLE FUNDS	033	CL	SS	58,500	60.29	16-Mar	1-May	2,340.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>CMG</b>	<b>C</b>	<b>20,000</b>	<b>80.25</b>	<b>23-Apr</b>	<b>23-Apr</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>COH+EC[COH]</b>	<b>C</b>	<b>2,000</b>	<b>9.82</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>300.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>COH</b>	<b>S</b>	<b>10,000</b>	<b>24.74</b>	<b>9-Jan</b>	<b>22-Apr</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>COLM</b>	<b>SS</b>	<b>10,000</b>	<b>30.27</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		CPKI	C	6,000	15.13	n/a	13-Apr	non-brg	4.0
JP MORGAN VENTURES	046	DKS	B	20,000	18.90	27-Apr	27-Apr	1,000.00	5.0
S.A.C. CAP/ORENSTEIN	044	DOV	B	200,000	30.80	n/a	n/a	8,000.00	4.0
ß BUCK CAPITAL MGMT		DRI	C	10,000	36.44	19-Mar	19-Mar	non-brg	1.0
f ABRAM M CHAPPELL	FID	DRYS	B	250	8.79	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		DRYS	B	7,500	8.56	n/a	n/a	non-brg	1.0
Õ Steven Maguire		DRYS	B	5000	8.53	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	EAT	B	58,000	17.89	n/a	24-Apr	2,320.00	4.0
ß BUCK CAPITAL MGMT		EAT	C	15,350	17.14	n/a	24-Apr	non-brg	1.0
ß BUCK CAPITAL MGMT		EAT	C	25,000	17.12	n/a	24-Apr	non-brg	4.0
f ABRAM M CHAPPELL	FID	EGLE	B	350	7.47	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		EGLE	B	12,500	7.19	n/a	n/a	non-brg	1.0
Õ Steven Maguire		EGLE	B	10000	7.20	n/a	n/a	0.00	0.0
PHILADELPHIA FINANCIAL	033	EVR	S	8,420	19.30	n/a	n/a	336.80	4.0
COOKBIELER	028	FDO	S	75,000	32.13	5-Mar	8-Apr	3,000.00	4.0
ß BUCK CAPITAL MGMT		FINL	S	30,000	8.21	n/a	28-Mar	non-brg	3.0
f JOHN MICHAEL ZOLIDIS	FID	FOSL	B	400	19.39	23-Jan	30-Jan	0.00	0.0
BRANDWINE	028	FO	S	41,000	42.09	n/a	n/a	1,640.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	GES	B	30,000	26.07	n/a	n/a	1,200.00	4.0
TROUBH PART	067	GE	B	75,000	12.68	n/a	n/a	3,750.00	5.0
M&I FUNDS	031	GME	B	20,000	29.34	n/a	n/a	800.00	4.0
f MANNY I KORMAN	FID	GMQW	B	170	0.52	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		GPS	S	150,000	15.50	n/a	30-Jan	non-brg	4.0
f JOHN MICHAEL DEMARTI	FID	GR	S	500	45.18	30-Mar	29-Apr	0.00	0.0
ß BUCK CAPITAL MGMT		GSIC	S	13,400	13.26	n/a	n/a	non-brg	4.0
f MARC PAUL LUCHANSKY	FID	GS	B	100	129.93	n/a	24-Apr	0.00	0.0
ß BUCK CAPITAL MGMT		GYMB	S	10,000	33.89	27-Apr	27-Apr	non-brg	4.0
BALYASNY ASSET MGMT	044	HAR	SS	10,000	19.53	12-Mar	1-May	500.00	5.0
BASIX	033	HAR	B	18,000	19.63	12-Mar	1-May	540.00	3.0
PEQUOT CAPITAL MGMT	070	HAR	SS	11,000	18.86	12-Mar	1-May	440.00	4.0
ß BUCK CAPITAL MGMT		HOG	C	25,000	22.26	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		HOG	C	45,000	22.04	n/a	n/a	non-brg	4.0
JETSTREAM GLOBAL FUND LP	065	HPQ	S	9,800	36.52	n/a	n/a	490.00	5.0
REICH AND TANG	067	HSC	S	115,000	27.25	29-Jan	24-Apr	5,750.00	5.0
ß BUCK CAPITAL MGMT		IFF	B	33,000	29.74	21-Jan	30-Apr	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		IMAX	B	11,269	6.71	n/a	n/a	non-brg	1.5
BUCK CAPITAL MGMT		IMAX	B	65,000	6.75	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT		IMAX	B	88,731	6.81	n/a	n/a	non-brg	2.5
ELM RIDGE ADVISORS	044	IP	B	41,000	12.96	n/a	1-May	1,640.00	4.0
BUCK CAPITAL MGMT		JWN+VV[JWN]	SS	2,000	1.00	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	JWN	SS	10,000	22.27	20-Feb	13-Apr	400.00	4.0
BUCK CAPITAL MGMT		KCP	S	23,646	7.00	n/a	28-Sep	non-brg	3.0
CUMBERLAND	038	LINTA	B	25,000	5.70	n/a	n/a	750.00	3.0
MILLENIUM PARTNERS	028	LOW	B	118,580	21.12	31-Mar	31-Mar	4,743.20	4.0
ANTHONY NG	FID	LVLTT	S	1000	1.14	n/a	4-Jan	0.00	0.0
AVESTA CAP	229	MCD	B	25,000	52.07	n/a	22-Apr	1,000.00	4.0
SUFFOLK CAPITAL MGMT	040	MCD	B	100,000	52.43	n/a	22-Apr	4,000.00	4.0
RAINIER INV MGMT	035	ME	B	71,760	12.05	n/a	n/a	3,588.00	5.0
DAVID GEORGE BUCK	FID	MHS	S	1300	44.19	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		MW+QW[MW]	SS	1,000	0.80	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT		MW+TC[MW]	SS	1,000	1.55	n/a	n/a	non-brg	300.0
KEVIN MICHAEL O'GORM	FID	MWA	B	2000	4.38	n/a	4-Feb	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f KEVIN MICHAEL O'GORM	FID	MWA	B	2000	4.38	n/a	4-Feb	0.00	0.0
f MICHAEL THOMAS NOLAN	FID	MWA	B	500	4.40	n/a	4-Feb	0.00	0.0
STADIA CAPITAL	035	M	B	62,300	13.80	n/a	13-Apr	2,492.00	4.0
B BUCK CAPITAL MGMT		NKE	S	40,000	53.09	n/a	n/a	non-brg	4.0
f MARC PAUL LUCHANSKY	FID	NS	B	400	51.85	n/a	n/a	0.00	0.0
f RAGHAV NAYAR	FID	OCNF	B	145	1.36	n/a	n/a	0.00	0.0
SCOPUS FUND	041	PAG	B	100	13.30	n/a	23-Apr	5.00	5.0
ACK ASSET	028	PCAR	SS	11,300	34.43	25-Mar	25-Mar	339.00	3.0
B BUCK CAPITAL MGMT		PETM	SS	50,000	21.98	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	PFE	S	985	13.47	n/a	31-Mar	0.00	0.0
B BUCK CAPITAL MGMT		PKG	C	8,000	15.69	8-Apr	21-Apr	non-brg	4.0
B BUCK CAPITAL MGMT		PLCE	S	10,000	28.76	19-Mar	13-Apr	non-brg	4.0
f DAVID GEORGE BUCK	FID	PM	B	500	36.71	n/a	n/a	0.00	0.0
JETSTREAM GLOBAL FUND LP	065	QCOR	S	43,000	4.49	n/a	n/a	2,150.00	5.0
WOOSTER CAPITAL	035	RL	SS	35,000	54.39	n/a	16-Apr	1,750.00	5.0
B BUCK CAPITAL MGMT		SGMS	SS	20,000	16.96	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>SHS</b>	<b>B</b>	<b>10000</b>	<b>4.24</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROTHSCHILD ASSET	040	SJM	S	5,340	39.43	n/a	n/a	240.30	4.5
PZENA INV ADV	044	SLE	B	59,907	8.27	n/a	n/a	2,096.77	3.5
BENCHMARK	028	SLM	B	20,000	5.23	23-Apr	29-Apr	800.00	4.0
ROYCE TRADING	216	SM	B	10,000	18.10	n/a	n/a	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>TGT</b>	<b>B</b>	<b>100,000</b>	<b>40.39</b>	<b>25-Feb</b>	<b>22-Apr</b>	<b>non-brg</b>	<b>4.0</b>
JP MORGAN VENTURES	046	TGT	B	20,000	40.54	25-Feb	22-Apr	1,000.00	5.0
<b>f JOHN MICHAEL ZOLIDIS</b>	<b>FID</b>	<b>TIF</b>	<b>B</b>	<b>500</b>	<b>28.65</b>	<b>n/a</b>	<b>30-Jan</b>	<b>0.00</b>	<b>0.0</b>
ROYCE TRADING	216	TIN	S	10,000	11.84	n/a	22-Apr	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>TJX</b>	<b>B</b>	<b>50,000</b>	<b>27.87</b>	<b>n/a</b>	<b>13-Apr</b>	<b>non-brg</b>	<b>4.0</b>
COUGAR TRADING	044	TJX	B	10,000	27.99	n/a	13-Apr	500.00	5.0
ROYCE TRADING	216	TRN	S	5,000	14.43	n/a	n/a	250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>UHO+TB[HOTT]</b>	<b>SS</b>	<b>1,000</b>	<b>1.32</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>300.0</b>
FORD FDN.	032	UHS	S	15,000	49.23	28-Apr	28-Apr	750.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>URBN</b>	<b>S</b>	<b>50,000</b>	<b>19.01</b>	<b>n/a</b>	<b>30-Jan</b>	<b>non-brg</b>	<b>4.0</b>
JP MORGAN VENTURES	046	URBN	B	25,000	19.16	n/a	30-Jan	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WMT</b>	<b>S</b>	<b>50,000</b>	<b>49.91</b>	<b>n/a</b>	<b>9-Apr</b>	<b>2,000.00</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	034	WMT	S	20,000	49.42	n/a	9-Apr	800.00	4.0
B BUCK CAPITAL MGMT		WRC	B	50,000	28.92	20-Apr	20-Apr	non-brg	4.0
f DAVID GEORGE BUCK	FID	WYE	B	1000	42.54	n/a	31-Mar	0.00	0.0
B BUCK CAPITAL MGMT		XRT	SS	300,000	27.22	n/a	n/a	non-brg	2.0
TOTAL (Trade Date):								82,551.87	



**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	04/30	CARDINAL CAPITAL	044	AMG	S	200	60.49	30-Apr	30-Apr	10.00 5.0
AO,CXL	04/30	CARDINAL CAPITAL	044	AMG	S	200	60.49	30-Apr	30-Apr	10.00 5.0
AO,	04/30	NEUBERGER BERMAN	036	INTU	B	3,540	23.08	n/a	n/a	159.31 4.5
AO,CXL	04/30	NEUBERGER BERMAN	036	INTU	B	19,895	23.08	n/a	n/a	895.28 4.5
AO,CRT	04/30	BUCK CAPITAL MGMT	001	IVZ	B	500	15.24	7-Apr	23-Apr	20.00 4.0
AO,CXL	04/30	BUCK CAPITAL MGMT	001	IVZ	B	500	15.24	7-Apr	23-Apr	20.00 4.0
AO,	04/30	GOLDMAN SACHS ASSET MGMT	044	JCP	B	181,301	30.59	13-Apr	23-Apr	3626.02 2.0
AO,CXL	04/28	HARVEST MGMT	039	PEET	S	3,800	23.76	n/a	n/a	190.00 5.0
AO,CRT	04/28	JMP ASSET MGMT	210	PEET	S	3,800	23.76	n/a	n/a	190.00 5.0
AO,	04/30	COLUMBUS CIRCLE	036	WFMI	B	9,567	20.37	n/a	n/a	382.68 4.0
AO,CXL	04/29	FARALLON CAP MGMT	040	XLY	B	136,921	23.04	n/a	n/a	5476.84 4.0
AO,CRT	04/29	FARALLON CAP MGMT	040	XLY	B	136,921	23.04	n/a	n/a	4107.63 3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>1,903.52</b>

TOTAL (Trade Date):	82,551.87
TOTAL (AO, CXL, CRT):	1,903.52

TOTAL (RUN DATE) / NFS:

84,455.39

MRI Securities with Trade Activity on 1-May.

BWA

MRI Securities without Trade Activity on 1-May.

CRR, LPNT, TYC

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

T-Date = 10%

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)**