



Daily Compliance Activity Report

Trade Date: 11/13/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROXBURY CAPITAL MGMT	035	AEO	S	150,000	15.83	n/a	6-Nov	6,000.00	4.0
NEUBERGER BERMAN	036	ALTR	S	125,940	21.13	n/a	n/a	5,667.31	4.5
WAGONHOUND/NIC	048	ALV	S	1,858	39.35	n/a	21-Oct	74.32	4.0
f MARC PAUL LUCHANSKY	FID	AMR	B	2000	5.96	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	ANF	S	20,000	39.87	n/a	6-Nov	800.00	4.0
RBC CAPITAL MARKETS	040	ANF	B	2,000	39.25	n/a	6-Nov	80.00	4.0
BNP PARIBAS SEC	040	AN	S	50,000	18.30	n/a	30-Oct	2,000.00	4.0
CIRCLE T/SES PART	035	AN	SS	25,000	18.22	n/a	30-Oct	1,000.00	4.0
HUTCHIN HILL CAPITAL LP	233	AN	SS	50,000	18.28	n/a	30-Oct	1,500.00	3.0
MORTAR ROCK	033	AN	SS	20,000	18.19	n/a	30-Oct	800.00	4.0
PHILADELPHIA FINANCIAL	033	AN	SS	77,193	18.46	n/a	30-Oct	3,087.72	4.0
WOOSTER CAPITAL	035	AN	SS	100,000	18.21	n/a	30-Oct	5,000.00	5.0
B BUCK CAPITAL MGMT		APP	S	176,026	2.83	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		APP	S	57,000	2.83	n/a	n/a	non-brg	0.8
PENNANT CAP MGMT	029	ART	B	50,000	24.12	n/a	13-Nov	1,500.00	3.0
WEINTRAUB CAPITAL MGT.	040	ART	B	100,000	24.07	n/a	13-Nov	4,000.00	4.0
MERRILL ASSET/BLACKROCK	214	ATK	S	7,000	86.56	n/a	n/a	315.00	4.5
f CHRISTOPHER ROBERT B	FID	AXL	B	2000	6.80	n/a	2-Nov	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	CICILY S BACKUS	FID	AXL	B	5000	6.81	n/a	2-Nov	0.00	0.0
	CIRCLE T/SES PART	035	AXL	B	14,000	6.54	n/a	2-Nov	560.00	4.0
f	LEE F BACKUS	FID	AXL	B	5000	6.80	n/a	2-Nov	0.00	0.0
f	MELISSA LEE BACKUS	FID	AXL	B	3000	6.78	n/a	2-Nov	0.00	0.0
	MORTAR ROCK	033	AXL	SS	20,000	6.62	n/a	2-Nov	800.00	4.0
	TRELLUS PARTNERS LP	028	AXL	S	200,000	6.66	n/a	2-Nov	6,000.00	3.0
	WAGONHOUND/NIC	048	AXL	S	12,798	6.62	n/a	2-Nov	383.94	3.0
f	MICHAEL MARRANO	FID	BAC	B	400	16.10	n/a	13-Nov	0.00	0.0
	THOMSON HORSTMAN BRYANT	034	BARE	S	31,900	14.00	n/a	n/a	1,595.00	5.0
f	JASON ERIC COHEN	FID	BBI	B	1300	0.78	n/a	n/a	0.00	0.0
f	WILLIAM J GAULT	FID	BGZ	B	10000	18.66	n/a	n/a	0.00	0.0
f	WILLIAM J GAULT	FID	BGZ	S	646	18.70	n/a	n/a	0.00	0.0
f	JOHN MICHAEL ZOLIDIS	FID	BKRS	S	3622	0.75	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		BKS	C	30,000	20.23	n/a	n/a	non-brg	4.0
	WELLS/STRONG LEDDY	035	B	S	2,000	16.81	n/a	n/a	80.00	4.0
	CATAPULT	040	CACI	S	10,000	47.52	n/a	n/a	500.00	5.0
	ROSEDALE CAPITAL	046	CELG	B	10,000	53.46	n/a	n/a	500.00	5.0
f	CICILY S BACKUS	FID	CHCG	S	10000	0.60	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		CHRS	S	120,373	4.88	n/a	n/a	non-brg	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BERMAN CAPITAL MGMT	046	CL	B	10,000	81.08	13-Nov	13-Nov	300.00	3.0
LISTED ERR	099	CL	B	5,000	81.08	13-Nov	13-Nov	0.00	0.0
LISTED ERR	099	CL	S	5,000	81.25	13-Nov	13-Nov	0.00	0.0
TPG-AXON	040	CSX	S	100,000	48.87	n/a	n/a	5,000.00	5.0
MORTAR ROCK	033	DAN	SS	20,000	7.19	n/a	n/a	800.00	4.0
⚡ BUCK CAPITAL MGMT		DECK	S	20,000	95.75	n/a	n/a	non-brg	4.0
JMP ASSET MGMT	210	DE	B	5,000	48.00	n/a	n/a	250.00	5.0
⚡ BUCK CAPITAL MGMT		DG	S	20,000	22.44	n/a	11-Nov	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DHI	B	50,000	12.04	n/a	n/a	non-brg	0.8
CATAPULT	040	DOW	SS	4,380	28.49	n/a	13-Nov	175.20	4.0
f KAREN F LEDDY	FID	DVN	B	150	66.90	n/a	2-Nov	0.00	0.0
OSS CAPITAL/KEVIN DANN	067	DVN	B	75,000	67.28	n/a	2-Nov	3,750.00	5.0
THOMSON HORSTMAN BRYANT	034	ETH	B	12,500	11.93	n/a	n/a	625.00	5.0
NUMERIC	060	ETN	B	45,700	64.66	n/a	20-Oct	1,371.00	3.0
CUMBERLAND	239	EXH	B	10,000	22.31	n/a	2-Nov	400.00	4.0
f WILLIAM J GAULT	FID	FAZ	B	10000	19.76	n/a	n/a	0.00	0.0
f WILLIAM J GAULT	FID	FAZ	S	10000	20.00	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BASIX	033	FL	S	37,000	10.84	n/a	n/a	1,110.00	3.0
TRELLUS PARTNERS LP	028	FL	B	50,000	10.81	n/a	n/a	2,500.00	5.0
CATAPULT	040	FOE	S	13,160	7.00	n/a	n/a	526.40	4.0
BMO NESBITT BURNS	041	F	SS	50,000	8.34	n/a	4-Nov	2,500.00	5.0
B BUCK CAPITAL MGMT		F	S	100,000	8.44	n/a	4-Nov	non-brg	3.0
B BUCK CAPITAL MGMT		F	S	150,000	8.44	n/a	4-Nov	non-brg	3.0
CASTLEROCK	040	F	SS	302,625	8.30	n/a	4-Nov	12,105.00	4.0
DIAMONDBACK CAP MGMT	232	F	S	100,000	8.35	n/a	4-Nov	5,000.00	5.0
LAGRANGE CAP ADV	048	F	S	20,000	8.35	n/a	4-Nov	1,000.00	5.0
MORTAR ROCK	033	F	SS	25,000	8.35	n/a	4-Nov	1,000.00	4.0
OZ MGMT	040	F	SS	210,979	8.39	n/a	4-Nov	6,329.37	3.0
TRELLUS PARTNERS LP	028	F	S	300,000	8.41	n/a	4-Nov	9,000.00	3.0
WAGONHOUND/NIC	048	F	S	100,000	8.29	n/a	4-Nov	3,000.00	3.0
f JOHN MICHAEL ZOLIDIS	FID	GCO	S	500	26.43	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GME	B	10,000	23.63	n/a	n/a	400.00	4.0
JMP ASSET MGMT	210	GME	S	11,700	23.61	n/a	n/a	585.00	5.0
BUCK CAPITAL MGMT	001	GPS	S	10,000	22.18	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		GSIC	S	20,000	19.23	n/a	n/a	non-brg	4.0
TRELLUS PARTNERS LP	028	GYMB	C	15,000	41.63	n/a	6-Nov	750.00	5.0
BUCK CAPITAL MGMT	001	HBI	S	20,000	25.88	n/a	n/a	800.00	4.0
AVESTA CAP	229	HD	B	50,000	27.37	n/a	13-Nov	2,000.00	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	JOHN BARTMAN COLE	FID	HEMGF	S	600	0.83	n/a	n/a	0.00	0.0
	BUCK CAPITAL MGMT	001	HOG	B	20,000	26.92	n/a	n/a	800.00	4.0
	PROSPECTOR PARTNERS LLC	036	HPQ	S	10,000	49.80	n/a	n/a	400.00	4.0
	SCOGGIN CAP	039	HRC	B	66,000	22.94	n/a	n/a	2,640.00	4.0
	CATAPULT	040	IPI	S	6,696	25.90	n/a	n/a	267.84	4.0
	FARALLON CAP MGMT	040	JAVA	B	100,000	8.55	n/a	n/a	4,000.00	4.0
	BUCK CAPITAL MGMT	001	JCG	B	10,000	43.00	n/a	n/a	400.00	4.0
	CADIAN CAPITAL	067	JCP	B	25,000	31.26	n/a	6-Nov	1,000.00	4.0
f	ROBERT M DANIELS	FID	JNS	B	300	13.60	n/a	9-Nov	0.00	0.0
	BUCK CAPITAL MGMT	001	JWN	B	10,000	33.79	n/a	13-Nov	400.00	4.0
	COLONIAL FUND LLC	036	JWN	B	25,000	33.51	n/a	13-Nov	1,250.00	5.0
	COUGAR TRADING	044	JWN	B	15,000	33.17	n/a	13-Nov	750.00	5.0
	BUCK CAPITAL MGMT	001	KSS	B	10,000	55.54	n/a	13-Nov	400.00	4.0
f	DAVID GEORGE BUCK	FID	LNCR	S	1500	34.51	n/a	n/a	0.00	0.0
	AVESTA CAP	229	LOW	B	100,000	21.87	n/a	13-Nov	4,000.00	4.0
	HARVEST MGMT	039	LOW	B	10,000	21.67	n/a	13-Nov	500.00	5.0
	ADAGE CAPITAL MGMT	030	LTD	B	200,000	17.88	n/a	n/a	8,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FIRST NEW YORK LEDDY	035	LVL	S	10,000	1.22	n/a	n/a	600.00	6.0
f DAVID GEORGE BUCK	FID	LVS	B	2000	17.28	n/a	11-Nov	0.00	0.0
B BUCK CAPITAL MGMT		MDC	B	20,000	32.27	n/a	n/a	non-brg	0.8
JMP ASSET MGMT	210	MOS	B	4,000	48.97	n/a	n/a	200.00	5.0
TOCQUEVILLE	067	MPS	S	7,780	13.61	n/a	n/a	389.00	5.0
PAW PARTNERS	045	MSFT	S	10,000	29.70	n/a	n/a	500.00	5.0
f KAREN F LEDDY	FID	MTW	B	500	10.81	n/a	3-Nov	0.00	0.0
f JOHN BARTMAN COLE	FID	NBRXF	B	250	11.69	n/a	n/a	0.00	0.0
MILLENNIUM-ANDEW	031	NS	S	20,000	52.78	n/a	n/a	1,200.00	6.0
BUCK CAPITAL MGMT	001	NTY	S	10,000	41.27	n/a	n/a	400.00	4.0
SIGMA CAPITAL ASSOCIATES	041	NTY	S	20,000	41.32	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	NWY	S	30,000	3.77	n/a	n/a	600.00	2.0
PHILADELPHIA FINANCIAL	033	PAG	SS	53,223	16.36	n/a	2-Nov	2,128.92	4.0
MORTAR ROCK	033	PII	SS	2,500	45.05	n/a	n/a	100.00	4.0
B BUCK CAPITAL MGMT		PIR	B	50,000	3.80	n/a	n/a	non-brg	2.0
TRELLUS PARTNERS LP	028	PKG	B	2,500	19.09	n/a	22-Oct	125.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f STRATTON PAR TNERSHI	FID	PKK	S	50	21.75	n/a	n/a	0.00	0.0
f JOHN BARTMAN COLE	FID	PNDMF	S	1000	1.62	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	040	POT	SS	11,500	102.32	n/a	n/a	460.00	4.0
B BUCK CAPITAL MGMT		PSS	B	20,000	20.33	n/a	n/a	non-brg	4.0
SIGMA CAPITAL ASSOCIATES	041	PVH	B	30,000	41.83	n/a	2-Nov	1,200.00	4.0
BUCK CAPITAL MGMT	001	RL	B	10,000	80.01	n/a	4-Nov	400.00	4.0
B BUCK CAPITAL MGMT		RUE	S	7,000	23.77	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	SKX	S	30,000	23.74	n/a	n/a	1,200.00	4.0
PORTER-ORLIN-FELDMAN	044	STJ	S	100,000	34.40	n/a	n/a	5,000.00	5.0
B BUCK CAPITAL MGMT		SUMR	B	12,000	4.50	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT	001	TJX	S	20,000	38.93	n/a	6-Nov	800.00	4.0
PORTER-ORLIN-FELDMAN	044	TOL	B	55,400	21.00	n/a	n/a	2,770.00	5.0
EXIS CAPITAL	044	TRW	B	20,000	23.03	n/a	n/a	1,000.00	5.0
B BUCK CAPITAL MGMT		UA	C	20,000	27.75	n/a	28-Oct	non-brg	4.0
AAD CAPITAL	048	UFS	SS	100	52.85	n/a	n/a	4.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		URBN	B	15,000	33.98	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		VSI	S	54,300	20.06	n/a	n/a	non-brg	0.8
FARALLON CAP MGMT	040	V	S	65,000	80.01	n/a	28-Oct	2,600.00	4.0
JMP ASSET MGMT	210	WAG	S	2,000	39.46	n/a	n/a	100.00	5.0
LATEFF MGMT	035	WCRX	B	9,000	22.55	n/a	13-Nov	540.00	6.0
JMP ASSET MGMT	210	WSM	B	15,000	19.72	n/a	n/a	750.00	5.0
TOTAL (Trade Date) :							152,595.02		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/12	AVESTA CAP	229	DD	SS	200,000	33.87	n/a	5-Nov	8000.00 4.0
AO,CRT	11/12	AVESTA CAP	229	DD	SS	200,000	33.87	n/a	5-Nov	8000.00 4.0
AO,CRT	11/10	MILLENIUUM PARTNERS	028	DF	B	20,000	16.89	n/a	n/a	800.00 4.0
AO,CXL	11/10	MILLENIUUM PARTNERS	028	DF	B	20,000	16.89	n/a	n/a	800.00 4.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date) :	152,595.02
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	152,595.02
--------------------------------	-------------------

MRI Securities with Trade Activity on 13-Nov.
CL

MRI Securities without Trade Activity on 13-Nov.
PG, EL, AVP

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 25%
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)