



Daily Compliance Activity Report

Trade Date: 06/11/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	ADVS	S	31,900	31.00	n/a	n/a	1,435.50	4.5
BUCK CAPITAL MGMT	001	AEO	S	20,000	14.59	20-Apr	5-Jun	800.00	4.0
f JONATHAN RICHARD HAR	FID	ALRC	B	1000	2.60	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ALV	C	50,000	30.44	10-Jun	10-Jun	non-brg	4.0
M&I FUNDS	256	AMG	B	4,531	57.50	5-Jun	11-Jun	181.24	4.0
B BUCK CAPITAL MGMT		ANF	B	5,000	26.98	3-Jun	5-Jun	non-brg	1.0
BUCK CAPITAL MGMT	001	AN	B	50,000	18.10	10-Jun	10-Jun	2,000.00	4.0
CHARTER OAK	033	APC	S	100,000	49.69	3-Feb	1-Jun	5,000.00	5.0
BUCK CAPITAL MGMT	001	ARO	B	10,000	35.23	n/a	5-Jun	400.00	4.0
B BUCK CAPITAL MGMT		ARO	B	5,000	35.81	n/a	5-Jun	non-brg	1.0
ACK ASSET	028	ATAC	B	55,000	14.96	n/a	n/a	1,650.00	3.0
f KEVIN MICHAEL O'GORM	FID	ATSI	B	5000	2.88	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		AXL	B	50,000	4.41	10-Jun	10-Jun	non-brg	3.0
NEWCASTLE FUNDS	255	AXL	B	35,000	4.41	10-Jun	10-Jun	1,400.00	4.0
TRELLUS PARTNERS LP	028	AXL	B	102,500	4.34	10-Jun	10-Jun	3,075.00	3.0
f ANDREW SINCLAIR	FID	AZWHK	S	100	2.50	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	KEVIN MICHAEL O'GORM	FID	BAC	B	1000	12.62	11-May	27-May	0.00	0.0
	BUCK CAPITAL MGMT	001	BWA	B	50,000	35.59	10-Jun	10-Jun	2,000.00	4.0
	SCOPUS FUND	041	BWA	S	38,000	35.08	10-Jun	10-Jun	1,900.00	5.0
	DIAMONDBACK CAP MGMT	232	CAT	C	15,000	38.04	n/a	10-Jun	750.00	5.0
	PRINCIPLE CAPITAL	040	CCL	SS	71,600	23.92	n/a	26-Jan	2,148.00	3.0
	GLOBAL 56 LLC	060	CHK	B	4,000	24.48	n/a	n/a	160.00	4.0
	STRONG/MARK GRONET	030	CIM	B	26,870	3.27	n/a	n/a	806.10	3.0
B	BUCK CAPITAL MGMT		CMG	C	20,605	81.19	14-May	11-Jun	non-brg	4.0
B	BUCK CAPITAL MGMT		CMG	C	3,795	83.13	14-May	11-Jun	non-brg	1.0
	JMP ASSET MGMT	210	CNH	SS	4,618	17.31	n/a	n/a	230.90	5.0
	NEWCASTLE FUNDS	255	CSX	B	25,000	35.10	n/a	n/a	1,000.00	4.0
B	BUCK CAPITAL MGMT		CTRN	SS	10,100	23.02	n/a	n/a	non-brg	1.0
B	BUCK CAPITAL MGMT		CTRN	SS	19,000	23.67	n/a	n/a	non-brg	1.5
B	BUCK CAPITAL MGMT		CTRN	SS	900	23.99	n/a	n/a	non-brg	1.0
f	ANTHONY NG	FID	CVGI	S	525	1.19	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		DAI	C	50,000	39.28	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		DECK	S	50,000	71.99	n/a	n/a	non-brg	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	DLLR	B	45,500	14.24	n/a	n/a	2,047.50	4.5
AELTUS/ING INVESTMENT MGT	215	DOV	B	57,200	36.45	n/a	n/a	2,002.00	3.5
COOPER CREEK PART	028	DSW	SS	10,000	10.59	28-May	28-May	400.00	4.0
MATRIX ASSET ADV.	036	DVN	S	2,000	66.21	6-May	1-Jun	80.00	4.0
BREEDEN CAP MGMT	080	EBAY	S	100,000	18.06	n/a	n/a	5,000.00	5.0
ROARING BLUE LION MGMT	012	FDO	B	11,700	29.80	5-Mar	9-Jun	468.00	4.0
CUMBERLAND	038	FDX	B	75,000	56.90	n/a	n/a	3,000.00	4.0
ß BUCK CAPITAL MGMT		FOSL	B	20,000	23.91	n/a	30-Jan	non-brg	4.0
NEUBERGER BERMAN	036	GCA	B	75,000	6.98	n/a	n/a	2,250.00	3.0
ß BUCK CAPITAL MGMT		GCO	B	15,000	23.20	n/a	10-Jan	non-brg	2.0
ß BUCK CAPITAL MGMT		GCO	B	5,000	23.21	n/a	10-Jan	non-brg	2.5
BUCK CAPITAL MGMT	001	GES	B	30,000	26.10	n/a	n/a	1,200.00	4.0
ß BUCK CAPITAL MGMT		GES	B	5,000	26.58	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		GYMB	B	10,000	35.06	21-May	5-Jun	non-brg	4.0
ß BUCK CAPITAL MGMT		GYMB	B	5,000	35.25	21-May	5-Jun	non-brg	1.0
SIGMA CAPITAL ASSOCIATES	041	GYMB	SS	25,000	35.00	21-May	5-Jun	1,000.00	4.0
BUCK CAPITAL MGMT	001	HGG	B	20,000	14.36	n/a	n/a	800.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CASTLEROCK	040	HK	B	87,441	26.34	n/a	n/a	3,497.64	4.0
B BUCK CAPITAL MGMT		IMAX	S	70,000	6.95	n/a	n/a	non-brg	3.0
CSFB GLOBAL PROPRIETARY	041	IP	B	15,000	15.82	n/a	1-May	750.00	5.0
SOLARIS INV MGMT	029	IR	B	100,000	22.93	n/a	n/a	5,000.00	5.0
DIAMONDBACK CAP MGMT	232	IVZ	S	25,000	18.52	5-Jun	9-Jun	1,250.00	5.0
TYEE/TYGH	035	IVZ	B	28,200	18.19	5-Jun	9-Jun	1,128.00	4.0
BUCK CAPITAL MGMT	001	JCG	B	20,000	25.82	n/a	30-Jan	800.00	4.0
MATRIX ASSET ADV.	036	JCI	S	4,000	21.75	2-Jun	2-Jun	160.00	4.0
EVERCORE WEALTH MGMT	012	JJC	B	2,000	34.13	n/a	n/a	100.00	5.0
B BUCK CAPITAL MGMT		JOSB	B	10,000	35.50	n/a	n/a	non-brg	4.0
EGS ASSOCIATES LP	091	JWN	SS	8,500	20.46	20-Feb	5-Jun	510.00	6.0
f JOEL GIFFORD TISS	FID	LEHMQ	S	12	0.05	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		LJJ+FB[LVS]	C	3,262	0.26	n/a	n/a	non-brg	100.0
B BUCK CAPITAL MGMT		MGM	SS	50,000	7.11	n/a	6-May	non-brg	3.0
ROTHSCHILD ASSET	040	MKC	S	20,719	31.12	n/a	n/a	932.38	4.5
f ROBERT M DANIELS	FID	MO	B	95	16.99	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WAGONHOUND/NIC	048	MPEL	S	50,000	5.54	n/a	n/a	1,500.00	3.0
⚡ BUCK CAPITAL MGMT		MS	S	5,000	29.60	11-May	2-Jun	non-brg	1.0
⚡ Steven Maguire		MS	S	5000	29.49	11-May	2-Jun	0.00	0.0
⚡ BUCK CAPITAL MGMT		MVRX	SS	30,000	130.59	n/a	n/a	non-brg	13.1
ROTHSCHILD ASSET	040	MYE	B	16,310	9.77	n/a	n/a	733.95	4.5
ADAGE CAPITAL MGMT	030	M	SS	257,270	12.16	n/a	5-Jun	10,290.80	4.0
RAINIER INV MGMT	035	NTRS	B	55,820	55.80	22-Apr	19-May	2,791.00	5.0
M&I FUNDS	256	PBY	S	28,729	9.93	n/a	n/a	861.87	3.0
f JOHN CAREY MAGUIRE	FID	PEBK	B	500	6.85	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	PRGO	B	4000	26.04	n/a	10-Jun	0.00	0.0
f MICHAEL THOMAS NOLAN	FID	PRU	S	250	38.35	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	PSS	B	40,000	14.10	n/a	n/a	1,600.00	4.0
⚡ BUCK CAPITAL MGMT		PSS	B	35,000	13.94	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		QUK+FJ[DECK]	C	700	22.28	n/a	n/a	non-brg	300.0
FIRST NY SEC/CHRIS	041	RF	S	70,000	4.26	n/a	n/a	3,500.00	5.0
f JOHN MICHAEL ZOLIDIS	FID	SEF	S	100	55.23	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		SHOO	SS	20,000	28.32	n/a	n/a	non-brg	2.5
⚡ BUCK CAPITAL MGMT		SKX	B	5,700	9.61	n/a	13-Mar	non-brg	2.5
⚡ BUCK CAPITAL MGMT		SKX	S	40,000	9.61	n/a	13-Mar	non-brg	2.5
f EDWARD W WHEELER	FID	STS	B	3800	1.58	n/a	n/a	0.00	0.0
f ANDREW SINCLAIR	FID	SZCSG	B	200	0.63	n/a	n/a	0.00	0.0
ARCHON CAPITAL	035	TCO	B	29,500	26.80	n/a	n/a	885.00	3.0
⚡ BUCK CAPITAL MGMT		TGT	S	10,000	39.72	25-Feb	9-Jun	non-brg	4.0
MILLENIUUM PARTNERS	028	TIN	B	50,000	12.99	5-Jun	5-Jun	2,000.00	4.0
COUGAR TRADING	044	TJX	B	5,000	30.54	4-May	5-Jun	250.00	5.0
OSS CAPITAL/KEVIN DANN	067	TK	B	250,000	22.68	n/a	n/a	7,500.00	3.0
MATRIX ASSET ADV.	036	TYC	S	3,000	27.60	1-May	1-May	120.00	4.0
⚡ BUCK CAPITAL MGMT		URBN	B	10,000	21.26	n/a	30-Jan	non-brg	1.0
f DAVID GEORGE BUCK	FID	VQRJG	B	15	1.98	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	VQRVF	S	15	3.33	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		VSEA	SS	30,000	25.42	n/a	n/a	non-brg	4.0
f ANTHONY NG	FID	WEN	B	100	3.76	n/a	24-Apr	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AVESTA CAP	229	WMT	SS	100,000	49.57	11-May	9-Jun	4,000.00	4.0
PRINCIPLE CAPITAL	040	WYNN	SS	22,700	37.04	n/a	n/a	681.00	3.0
M&I FUNDS	256	YHOO	S	61,500	16.28	n/a	n/a	2,460.00	4.0
TOTAL (Trade Date) :								96,485.88	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/10	HIGHBRIDGE CAPITAL	038	ALV	S	22,860	31.52	10-Jun	10-Jun	1143.00 5.0
AO,CXL	06/10	HIGHBRIDGE CAPITAL	038	ALV	SS	7,140	31.60	10-Jun	10-Jun	357.00 5.0
AO,CRT	06/10	HIGHBRIDGE/MS OLDS	041	ALV	S	22,860	31.52	10-Jun	10-Jun	914.40 4.0
AO,CRT	06/10	HIGHBRIDGE/MS OLDS	041	ALV	SS	7,140	31.60	10-Jun	10-Jun	285.60 4.0
AO,CXL	06/10	DSG CAPITAL	225	AXL	B	5,300	3.85	10-Jun	10-Jun	265.00 5.0
AO,CRT	06/10	DSG CAPITAL	225	AXL	B	5,300	3.85	10-Jun	10-Jun	159.00 3.0
AO,CRT	06/10	DSG CAPITAL	225	AXL	S	5,300	4.20	10-Jun	10-Jun	159.00 3.0
AO,CXL	06/10	DSG CAPITAL	225	AXL	S	5,300	4.20	10-Jun	10-Jun	265.00 5.0
AO,CRT	06/10	TRELLUS PARTNERS LP	028	AXL	B	69,000	3.99	10-Jun	10-Jun	2070.00 3.0
AO,CXL	06/10	TRELLUS PARTNERS LP	028	AXL	B	69,000	3.99	10-Jun	10-Jun	690.00 1.0
AO,CRT	06/10	DC CAPITAL	044	CBS	B	200,000	8.33	n/a	n/a	6000.00 3.0
AO,CXL	06/10	DC CAPITAL	044	CBS	B	200,000	8.33	n/a	n/a	10000.00 5.0
AO,	06/10	MORGAN BANK /JPM	070	EAT	B	11,600	17.34	n/a	24-Apr	348.00 3.0
AO,CXL	06/10	FIRST NEW YORK LEDDY	035	ETFC	B	20,000	1.60	n/a	n/a	800.00 4.0
AO,CRT	06/10	FIRST NEW YORK LEDDY	035	ETFC	B	20,000	1.60	n/a	n/a	1200.00 6.0
AO,CRT	06/10	STANDARD PACIFIC CAPITAL	040	GIL	SS	70,000	16.69	n/a	14-May	3500.00 5.0
AO,CXL	06/10	STANDARD PACIFIC CAPITAL	040	GIL	SS	70,000	16.69	n/a	14-May	3500.00 5.0
AO,CXL	06/10	DSG CAPITAL	225	GLW	B	10,000	16.20	28-May	28-May	500.00 5.0
AO,CRT	06/10	DSG CAPITAL	225	GLW	B	10,000	16.20	28-May	28-May	500.00 5.0
AO,CRT	06/10	DSG CAPITAL	225	HAR	B	2,500	21.03	10-Jun	10-Jun	125.00 5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/10	DSG CAPITAL	225	HAR	B	2,500	21.03	10-Jun	10-Jun	125.00 5.0
AO,CXL	06/10	DSG CAPITAL	225	HAR	S	2,500	21.82	10-Jun	10-Jun	125.00 5.0
AO,CRT	06/10	DSG CAPITAL	225	HAR	S	2,500	21.82	10-Jun	10-Jun	125.00 5.0
AO,CRT	06/10	JP MORGAN VENTURES	046	IWM	B	2,000	51.86	n/a	n/a	60.00 3.0
AO,CXL	06/10	JP MORGAN VENTURES	046	IWM	B	2,000	51.86	n/a	n/a	100.00 5.0
AO,CRT	06/10	JP MORGAN VENTURES	046	IYR	B	4,000	33.82	n/a	n/a	120.00 3.0
AO,CXL	06/10	JP MORGAN VENTURES	046	IYR	B	4,000	33.82	n/a	n/a	200.00 5.0
AO,	06/10	MORGAN BANK /JPM	070	KO	B	28,534	48.89	n/a	n/a	856.02 3.0
AO,CXL	06/10	SCHOTTENFELD ASSOC	041	TLB	S	50,000	4.90	n/a	30-Jan	2500.00 5.0
AO,CRT	06/10	SCHOTTENFELD ASSOC	041	TLB	S	50,000	4.90	n/a	30-Jan	2500.00 5.0
AO,CRT	06/10	JP MORGAN VENTURES	046	TLT	B	3,000	88.38	n/a	n/a	90.00 3.0
AO,CXL	06/10	JP MORGAN VENTURES	046	TLT	B	3,000	88.38	n/a	n/a	150.00 5.0
AO,	06/10	MORGAN BANK /JPM	070	WMT	B	28,180	50.31	11-May	9-Jun	845.40 3.0
TOTAL (AO, CXL, CRT) :										-862.58

TOTAL (Trade Date):	96,485.88
TOTAL (AO, CXL, CRT):	-862.58
TOTAL (RUN DATE) / NFS:	95,623.30

MRI Securities with Trade Activity on 11-Jun. NONE

MRI Securities without Trade Activity on 11-Jun. NONE
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BRG comm. as a % of BCM Total Comm. paid. T-Date = 26% YTD = 20%
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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)