



# Daily Compliance Activity Report

Trade Date: 03/17/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	AEO	B	120,000	10.63	n/a	4-May	4,800.00	4.0
EPOCH INV MGMT	030	AET	S	2,230	23.39	n/a	n/a	89.20	4.0
EPOCH INV MGMT	030	AMP	S	1,550	18.07	n/a	n/a	62.00	4.0
B BUCK CAPITAL MGMT		ANF	C	50,000	21.50	n/a	4-May	non-brg	4.0
NEWLAND CAPITAL MGT	067	AOS	S	136,400	22.63	12-Feb	17-Apr	5,456.00	4.0
EPOCH INV MGMT	030	ARB	S	2,124	12.92	n/a	n/a	84.96	4.0
EPOCH INV MGMT	030	ATK	S	870	65.71	n/a	n/a	34.80	4.0
DIAMONDBACK CAP MGMT	232	AUO	SS	50,000	8.00	n/a	n/a	2,500.00	5.0
EPOCH INV MGMT	030	BA	S	1,300	34.22	n/a	n/a	52.00	4.0
B BUCK CAPITAL MGMT		BBBY	C	50,000	22.62	n/a	n/a	non-brg	4.0
BAYPOINT CRIT/B COLBURN	033	BBY	B	85,000	31.01	n/a	27-Jul	4,250.00	5.0
B BUCK CAPITAL MGMT		BBY	C	50,000	29.56	n/a	27-Jul	non-brg	4.0
MORRISON/TLB/BAYPOINT	040	BEAV	B	5,000	7.29	n/a	n/a	200.00	4.0
EPOCH INV MGMT	030	BEN	S	950	46.83	10-Mar	7-May	38.00	4.0
B BUCK CAPITAL MGMT		BKC	C	30,000	22.40	6-Feb	29-Apr	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	BK	S	2,540	24.07	21-Jan	24-Apr	101.60	4.0
SCOPUS FUND	041	BLL	S	56,454	40.46	n/a	n/a	2,822.70	5.0
BENCHMARK	028	BRS	B	2,500	22.31	n/a	n/a	125.00	5.0
EPOCH INV MGMT	030	BSX	S	5,260	7.56	n/a	22-Apr	210.40	4.0
EPOCH INV MGMT	030	BTU	S	750	26.22	n/a	n/a	30.00	4.0
METROPOLITAN CAPITAL	044	BWA	SS	1,000	17.91	12-Mar	1-May	40.00	4.0
HOLDEN CAPITAL MGMT	035	CAT	SS	25,000	25.84	n/a	22-Apr	1,250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>CCL</b>	<b>C</b>	<b>50,000</b>	<b>20.62</b>	<b>n/a</b>	<b>26-Jan</b>	<b>non-brg</b>	<b>4.0</b>
BENCHMARK	028	CHK	B	2,500	16.92	n/a	n/a	125.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>CHS</b>	<b>S</b>	<b>50,000</b>	<b>5.00</b>	<b>5-Dec</b>	<b>30-Jan</b>	<b>non-brg</b>	<b>3.0</b>
SACC-SCHWARTZ	044	CLF	B	61,900	12.54	n/a	n/a	2,476.00	4.0
EPOCH INV MGMT	030	CMCSK	S	5,210	12.38	n/a	n/a	208.40	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>COH</b>	<b>B</b>	<b>130,000</b>	<b>14.85</b>	<b>9-Jan</b>	<b>22-Apr</b>	<b>non-brg</b>	<b>4.0</b>
NEWCASTLE FUNDS	033	CONN	B	13,000	13.35	n/a	n/a	520.00	4.0
<b>LISTED ERR</b>	<b>099</b>	<b>CONN</b>	<b>S</b>	<b>90</b>	<b>13.44</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EPOCH INV MGMT	030	COP	S	1,450	37.32	n/a	n/a	58.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MATRIX ASSET ADV.	036	CSCO	S	14,000	15.75	n/a	22-Mar	420.00	3.0
EPOCH INV MGMT	030	DD	S	2,100	20.45	n/a	21-Apr	84.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>DECK</b>	<b>B</b>	<b>10,000</b>	<b>46.87</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DECK</b>	<b>B</b>	<b>10,000</b>	<b>47.12</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
EPOCH INV MGMT	030	DE	S	950	30.47	26-Jan	19-Feb	38.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>DOU GR</b>	<b>C</b>	<b>16,800</b>	<b>40.43</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>6.1</b>
EPOCH INV MGMT	030	DVA	S	2,270	45.61	n/a	n/a	90.80	4.0
MATRIX ASSET ADV.	036	DVN	B	6,000	45.73	5-Feb	6-May	240.00	4.0
<b>f CHRISTOPHER ARTHUR K</b>	<b>FID</b>	<b>DXO</b>	<b>B</b>	<b>10000</b>	<b>2.66</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EPOCH INV MGMT	030	ENDP	S	3,131	17.35	5-Jan	4-May	125.24	4.0
MORRISON/TLB/BAYPOINT	040	EQIX	B	5,000	51.63	n/a	n/a	200.00	4.0
NEWCASTLE FUNDS	033	ETH	B	30,000	8.33	n/a	n/a	1,200.00	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>FACT</b>	<b>S</b>	<b>1570</b>	<b>7.18</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f WILLIAM RAYMOND KATZ</b>	<b>FID</b>	<b>F</b>	<b>B</b>	<b>500</b>	<b>2.12</b>	<b>10-Nov</b>	<b>4-May</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GCO</b>	<b>B</b>	<b>30,000</b>	<b>15.49</b>	<b>n/a</b>	<b>10-Jan</b>	<b>1,200.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>B</b>	<b>30,000</b>	<b>15.60</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MORRISON/TLB/BAYPOINT	040	GLNG	B	5,000	3.14	n/a	n/a	200.00	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>GPS</b>	<b>B</b>	<b>120,000</b>	<b>12.09</b>	<b>n/a</b>	<b>30-Jan</b>	<b>non-brg</b>	<b>4.0</b>
CADIAN CAPITAL	067	GPS	B	150,000	11.85	n/a	30-Jan	6,000.00	4.0
<b>f</b> ROBERT M DANIELS	<b>FID</b>	<b>GSI</b>	<b>B</b>	<b>350</b>	<b>2.38</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
JMP ASSET MGMT	210	GYMB	S	3,300	18.21	5-Mar	7-May	165.00	5.0
ASCEND PARTNERS	033	HAR	SS	50,000	11.34	12-Mar	1-May	2,500.00	5.0
<b>B</b> BUCK CAPITAL MGMT		<b>HD</b>	<b>C</b>	<b>50,000</b>	<b>21.45</b>	<b>n/a</b>	<b>5-May</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> JOSEPH CIRO AMATURO	<b>FID</b>	<b>HYG</b>	<b>B</b>	<b>200</b>	<b>66.84</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
AMBER CAPITAL	046	IBKC	SS	40,000	46.23	n/a	n/a	1,600.00	4.0
JAT CAPITAL MANAGEMENT	041	INTC	SS	137,000	14.63	n/a	n/a	5,480.00	4.0
SONTERRA CAP	041	IP	B	50,000	7.18	n/a	1-May	1,500.00	3.0
SACC-SCHWARTZ	044	ITW	SS	15,000	27.03	30-Jan	17-Apr	600.00	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>IVZ</b>	<b>S</b>	<b>2,500</b>	<b>11.89</b>	<b>10-Mar</b>	<b>7-May</b>	<b>non-brg</b>	<b>1.0</b>
<b>Õ</b> Steven Maguire		<b>IVZ</b>	<b>S</b>	<b>2500</b>	<b>11.97</b>	<b>10-Mar</b>	<b>7-May</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>JCP</b>	<b>C</b>	<b>50,000</b>	<b>16.66</b>	<b>6-Feb</b>	<b>4-May</b>	<b>non-brg</b>	<b>4.0</b>
THE JAY GOLDMAN	034	JCP	B	30,000	16.22	6-Feb	4-May	1,200.00	4.0
<b>f</b> MANNY I KORMAN	<b>FID</b>	<b>JPMPRW</b>	<b>B</b>	<b>3000</b>	<b>17.70</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		JPM	S	2,500	23.88	16-Jan	24-Apr	non-brg	1.0
CAXTON PART	040	JPM	B	25,055	24.58	16-Jan	24-Apr	876.94	3.5
Õ Steven Maguire		JPM	S	2500	24.95	16-Jan	24-Apr	0.00	0.0
BUCK CAPITAL MGMT	001	JWN	SS	75,000	15.05	20-Feb	4-May	3,000.00	4.0
ß BUCK CAPITAL MGMT		JWN	SS	75,000	15.25	20-Feb	4-May	non-brg	2.0
BUCK CAPITAL MGMT	001	KSS	B	130,000	39.19	17-Mar	4-May	5,200.00	4.0
ß BUCK CAPITAL MGMT		KSS	C	2,400	38.60	17-Mar	4-May	non-brg	0.0
ß BUCK CAPITAL MGMT		KSS	SS	2,400	38.60	17-Mar	4-May	non-brg	0.0
SCOGGIN CAP	039	LF	B	95,000	1.60	n/a	n/a	2,850.00	3.0
SUFFOLK CAPITAL MGMT	040	LOW	B	235,700	16.06	23-Feb	5-May	9,428.00	4.0
ß BUCK CAPITAL MGMT		MC FP	C	30,000	61.83	n/a	n/a	non-brg	9.3
f JOSEPH CIRO AMATURO	FID	MGM	B	5000	3.38	n/a	6-May	0.00	0.0
DAVIDSON KEMPNER ADVISOR	040	MOT	B	225,000	3.66	n/a	n/a	11,250.00	5.0
HIGHBRIDGE/MS OLDS	041	MS	SS	70,000	23.81	18-Dec	24-Apr	2,800.00	4.0
SANDLER O'NEILL ASSET	031	MS	B	25,000	22.41	18-Dec	24-Apr	1,250.00	5.0
SACC-SCHWARTZ	044	MT	B	50,000	17.11	n/a	n/a	2,000.00	4.0
ß BUCK CAPITAL MGMT		MVRX	SS	40,000	87.40	n/a	n/a	non-brg	8.7
COUGAR TRADING	044	M	SS	5,000	7.71	n/a	4-May	200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PERMIAN/BAYPIONT	028	NFLX	SS	7,400	40.50	n/a	n/a	296.00	4.0
HOTCHKIS & WILEY	035	NOC	B	215,400	37.84	n/a	n/a	10,770.00	5.0
DIAMONDBACK CAP MGMT	232	NVLS	S	50,000	13.82	n/a	n/a	2,500.00	5.0
COOPER CREEK PART	028	PAG	SS	20,000	7.24	n/a	6-May	600.00	3.0
ß BUCK CAPITAL MGMT		PFCB	C	25,000	21.18	8-Jan	23-Apr	non-brg	4.0
ß BUCK CAPITAL MGMT		PFCB	C	25,000	21.40	8-Jan	23-Apr	non-brg	2.0
MILLENIUUM PARTNERS	028	PKG	S	20,000	11.91	5-Dec	21-Apr	800.00	4.0
BUCK CAPITAL MGMT	001	PSS	B	60,000	7.67	n/a	n/a	1,800.00	3.0
CADIAN CAPITAL	067	PVH	B	60,000	16.80	22-Jan	20-Apr	2,400.00	4.0
ß BUCK CAPITAL MGMT		RCL	B	50,000	7.79	30-Jan	24-Apr	non-brg	3.0
MILLENIUUM PARTNERS	028	RKT	SS	20,000	25.43	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	RL	SS	10,000	36.20	n/a	16-Apr	400.00	4.0
ß BUCK CAPITAL MGMT		ROST	C	24,500	33.06	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		ROST	C	5,500	32.99	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		S4RETL	SS	13,500	248.31	n/a	n/a	non-brg	24.8
f JOHN MICHAEL ZOLIDIS	FID	SBUX	S	1000	10.97	n/a	30-Apr	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	KEVIN MICHAEL O'GORM	FID	SBUX	S	1000	11.00	n/a	30-Apr	0.00	0.0
	PZENA INV ADV	044	SGP	S	74,225	23.18	n/a	n/a	2,597.95	3.5
f	JOHN MICHAEL ZOLIDIS	FID	SHOO	S	1000	15.99	n/a	n/a	0.00	0.0
f	EDWARD W WHEELER	FID	SHS	B	18800	3.17	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		SIG LN	C	68,792	8.87	n/a	n/a	non-brg	1.3
f	CHRISTOPHER ARTHUR K	FID	SWNOF	B	25	0.89	n/a	n/a	0.00	0.0
	AMBER CAPITAL	046	TD	SS	150,000	33.40	n/a	n/a	6,000.00	4.0
	ARAGON GLOBAL	041	TD	SS	1,500	33.40	n/a	n/a	60.00	4.0
	SCOGGIN CAP	039	THQI	B	20,200	2.70	n/a	n/a	606.00	3.0
	BUCK CAPITAL MGMT	001	TIF	B	80,000	19.91	n/a	30-Jan	3,200.00	4.0
	SCOPUS FUND	041	TIN	S	10,800	4.46	5-Dec	22-Apr	540.00	5.0
	SANDLER O'NEILL ASSET	031	TROW	SS	50,000	25.07	n/a	7-May	2,500.00	5.0
	LOCUS WOOD CAPITAL MGMT	044	TWC	SS	5,000	26.20	n/a	4-Jan	200.00	4.0
f	ANDREW SINCLAIR	FID	UPLPZ	B	100	1.75	n/a	n/a	0.00	0.0
	BUCK CAPITAL MGMT	001	URI	B	66,900	3.64	29-Oct	29-Oct	2,007.00	3.0
	CATAPULT	040	WFT	S	50,000	11.38	n/a	n/a	2,500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		WMS	C	50,000	20.67	n/a	n/a	non-brg	4.0
MANNY I KORMAN	FID	WMS	B	3000	20.56	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		WMT	S	60,000	49.33	10-Oct	5-May	non-brg	4.0
BUCK CAPITAL MGMT		WRC	S	130,800	18.76	27-Feb	20-Apr	non-brg	4.0
BUCK CAPITAL MGMT		XRT	SS	195,000	20.69	n/a	n/a	non-brg	1.0
JMP ASSET MGMT	210	ZUMZ	SS	2,186	7.53	n/a	n/a	87.44	4.0
TOTAL (Trade Date):							129,096.43		



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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	03/16	COLUMBIA PARTNERS	028	RCL	B	1,445	7.90	30-Jan	24-Apr	43.35 3.0
AO,CRT	03/16	COLUMBIA PARTNERS	028	RCL	B	1,445	7.90	30-Jan	24-Apr	43.35 3.0
AO,CXL	03/16	MILLENIUM PARTNERS	028	SUP	SS	4,516	11.00	27-Feb	27-Feb	180.64 4.0
AO,CRT	03/16	MILLRACE FUND LP	028	SUP	SS	4,516	11.00	27-Feb	27-Feb	180.64 4.0
AO,	03/16	LISTED ERR	099	WMT	B	10,000	48.93	10-Oct	5-May	0.00 0.0
AO,	03/16	DECADE CAPITAL PARTNERS	040	WMT	S	10,000	48.93	10-Oct	5-May	300.00 3.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>300.00</b>
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TOTAL (Trade Date) :	129,096.43
TOTAL (AO, CXL, CRT) :	300.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>129,396.43</b>
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MRI Securities with Trade Activity on 17-Mar. <b>KSS</b>
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MRI Securities without Trade Activity on 17-Mar. <b>WCRX</b>
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BRG comm. as a % of BCM Total Comm. paid.

T-Date = 30%

YTD = 24%

**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)**