



Daily Compliance Activity Report

Trade Date: 10/29/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f CICILY S BACKUS	FID	AAPL	S	100	195.38	n/a	n/a	0.00	0.0
STADIA CAPITAL	035	AAPL	S	3,600	193.41	n/a	n/a	144.00	4.0
BUCK CAPITAL MGMT	001	AEO	B	20,000	17.92	n/a	9-Oct	800.00	4.0
f JONATHAN RICHARD HAR	FID	ALN	B	1000	2.50	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		AMR	B	50,000	5.66	n/a	n/a	non-brg	3.0
BNP PARIBAS SEC	040	AN	B	25,000	17.68	n/a	19-Oct	1,000.00	4.0
B BUCK CAPITAL MGMT		AN	S	30,000	17.69	n/a	19-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		AN	S	40,000	17.72	n/a	19-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		APP	S	55,000	2.75	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT	001	ARO	B	60,000	39.11	n/a	9-Oct	2,400.00	4.0
JP MORGAN VENTURES	046	ARO	B	8,000	39.29	n/a	9-Oct	320.00	4.0
STRONG/MARK GRONET	030	ART	B	9,184	23.66	29-Oct	29-Oct	367.36	4.0
HOLLIS CAPITAL	033	AVP	S	5,000	32.46	n/a	1-Oct	250.00	5.0
STADIA CAPITAL	035	AVP	S	20,800	31.10	n/a	1-Oct	832.00	4.0
SACC-SCHWARTZ	044	AXE	B	40,000	42.69	n/a	27-Oct	1,600.00	4.0
NEWCASTLE FUNDS	255	AXL	B	25,000	6.02	n/a	28-Oct	1,000.00	4.0
DIAMONDBACK CAP MGMT	232	BEN	B	5,000	106.29	n/a	28-Oct	250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAIRD INVESTMENT	047	BKC	S	17,275	17.11	n/a	29-Oct	863.75	5.0
ENTRUST CAPITAL	040	BKC	B	46,700	17.05	n/a	29-Oct	2,335.00	5.0
NORTHPOINT	030	BPZ	B	49,225	6.74	n/a	n/a	1,476.75	3.0
f MARC PAUL LUCHANSKY	FID	BCY	B	500	47.69	n/a	26-Oct	0.00	0.0
JP MORGAN VENTURES	046	BWS	B	20,000	10.75	n/a	n/a	1,000.00	5.0
B BUCK CAPITAL MGMT		BYI	B	30,000	39.37	n/a	n/a	non-brg	4.0
SMITH MGMT LLC	029	BZ	S	190,000	5.20	n/a	n/a	9,500.00	5.0
BALYASNY ASSET MGMT	044	CAL	S	25,000	12.06	n/a	n/a	1,250.00	5.0
ROARING BLUE LION MGMT	012	CGA	SS	7,400	11.14	n/a	n/a	296.00	4.0
f CICYLY S BACKUS	FID	CHCG	S	10000	0.62	n/a	n/a	0.00	0.0
WHALE ROCK CAP	030	CHKP	B	101,200	31.07	n/a	n/a	4,048.00	4.0
ROARING BLUE LION MGMT	012	CHNG	SS	10,000	12.00	n/a	n/a	400.00	4.0
f MANNY I KORMAN	FID	CLUB	S	25400	3.05	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		COST	C	40,000	57.13	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	CRI	B	75,000	24.19	n/a	n/a	3,000.00	4.0
B BUCK CAPITAL MGMT		CRI	B	25,000	24.17	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JP MORGAN VENTURES	046	CRI	S	30,000	24.16	n/a	n/a	1,500.00	5.0
NEW JERSEY DIV OF INV.	030	CSCO	B	100,000	23.32	n/a	n/a	3,000.00	3.0
f EDWARD W WHEELER	FID	CVGI	B	15000	5.52	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		DBRN	B	20,000	18.43	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DECK	S	10,000	92.95	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DHI	B	25,000	11.49	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DIA	SS	395,000	99.66	n/a	n/a	non-brg	2.0
IRIDIAN ASSET MGMT.	036	DIS	S	54,850	27.84	n/a	n/a	2,742.50	5.0
SUTTONBROOK CAPITAL	067	DTG	S	100,000	19.77	n/a	n/a	4,000.00	4.0
PRENTICE	063	EK	S	200,000	3.49	n/a	n/a	8,000.00	4.0
CUMBERLAND	239	EXH	B	10,000	21.87	n/a	9-Oct	400.00	4.0
ROARING BLUE LION MGMT	012	FL	B	10,000	10.50	n/a	n/a	400.00	4.0
LISTED ERR	099	FL	B	10,000	10.72	n/a	n/a	0.00	0.0
LISTED ERR	099	FL	SS	10,000	10.50	n/a	n/a	0.00	0.0
BACKBAY	041	FOR	B	18,900	15.16	n/a	12-Oct	945.00	5.0
BMO NESBITT BURNS	041	FOR	B	5,000	15.16	n/a	12-Oct	250.00	5.0
f MARC PAUL LUCHANSKY	FID	FSLR	S	100	127.01	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ASCEND PARTNERS	033	GIL	B	25,000	17.50	n/a	n/a	1,250.00	5.0
⌘ BUCK CAPITAL MGMT		GIL	B	40,000	17.27	n/a	n/a	non-brg	4.0
PIONEER MICHAEL NOLAN	067	HK	S	120,900	25.18	n/a	n/a	3,627.00	3.0
⌘ BUCK CAPITAL MGMT		IJR	C	168,400	51.01	n/a	n/a	non-brg	0.8
⌘ BUCK CAPITAL MGMT		IJS	C	35,377	54.40	n/a	n/a	non-brg	0.8
⌘ BUCK CAPITAL MGMT		IJS	C	83,573	54.48	n/a	n/a	non-brg	0.8
CSFB GLOBAL PROPRIETARY	041	IP	B	155,000	23.11	n/a	28-Oct	7,750.00	5.0
⌘ BUCK CAPITAL MGMT		IR	B	20,000	32.44	n/a	26-Oct	non-brg	4.0
⌘ BUCK CAPITAL MGMT		IWM	C	155,800	58.08	n/a	n/a	non-brg	0.8
⌘ BUCK CAPITAL MGMT		IWO	C	161,400	62.81	n/a	n/a	non-brg	2.0
MATLIN PATTERSON	046	IYR	B	150,000	40.30	n/a	n/a	4,500.00	3.0
⌘ BUCK CAPITAL MGMT		JCG	B	10,000	41.78	n/a	n/a	non-brg	0.8
DC CAPITAL	044	JCP	S	25,000	34.31	n/a	9-Oct	1,000.00	4.0
BRIGADE CAPITAL MGMT	029	JNY	B	25,000	17.45	n/a	29-Oct	1,250.00	5.0
⌘ BUCK CAPITAL MGMT		JOSB	B	20,000	42.94	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	JWN	B	150,000	31.73	n/a	9-Oct	6,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JP MORGAN VENTURES	046	KR	S	40,000	23.45	n/a	n/a	2,000.00	5.0
f NEIL M STRATTON	FID	KVHI	B	490	10.50	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		LEN	B	25,000	12.85	n/a	n/a	non-brg	4.0
METROPOLITAN CAPITAL	044	LMT	B	10,100	68.34	n/a	22-Oct	505.00	5.0
BALYASNY ASSET MGMT	044	LNC	SS	25,000	24.24	n/a	n/a	1,250.00	5.0
JP MORGAN VENTURES	046	LOW	B	30,000	19.64	n/a	n/a	1,500.00	5.0
BMO NESBITT BURNS	041	LPX	SS	10,000	5.37	n/a	12-Oct	500.00	5.0
BALYASNY ASSET MGMT	044	LUV	C	25,000	8.57	n/a	n/a	1,000.00	4.0
FIRST NEW YORK LEDDY	035	LVL	B	10,000	1.20	n/a	n/a	600.00	6.0
TRELLUS PARTNERS LP	028	LVS	SS	30,000	14.67	n/a	29-Oct	1,500.00	5.0
ROTHSCHILD ASSET	040	LZB	B	12,000	7.41	n/a	n/a	540.00	4.5
ARAGON GLOBAL	041	MCD	B	39,071	59.02	n/a	23-Oct	1,953.55	5.0
B BUCK CAPITAL MGMT		MDY	C	41,200	123.26	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		MGM	SS	40,000	9.48	n/a	n/a	non-brg	3.0
HUNTER GLOBAL INVESTOR	067	MHK	B	60,000	45.47	n/a	n/a	3,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DIAMONDBACK CAP MGMT	232	MTW	S	25,000	10.23	n/a	n/a	1,250.00	5.0
B BUCK CAPITAL MGMT		M	B	10,000	18.23	n/a	9-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		M	B	30,000	17.99	n/a	9-Oct	non-brg	4.0
HARVEST MGMT	039	NTRI	S	5,000	21.55	n/a	n/a	250.00	5.0
SYSTEMATIC FINANCIAL MGT	035	NUS	B	35,000	23.56	n/a	n/a	1,225.00	3.5
BRIGADE CAPITAL MGMT	029	OMX	B	100,000	10.81	n/a	n/a	5,000.00	5.0
B BUCK CAPITAL MGMT		ORLY	C	90,000	37.42	n/a	n/a	non-brg	4.0
RAMIUS CAP	040	ORLY	SS	25,000	37.63	n/a	n/a	1,000.00	4.0
HUNTER GLOBAL INVESTOR	067	PAG	B	100,000	16.71	n/a	19-Oct	4,000.00	4.0
BUCK CAPITAL MGMT	001	PCH	S	10,000	28.20	n/a	12-Oct	0.00	0.0
LISTED ERR	099	PKG	B	285	18.83	n/a	22-Oct	0.00	0.0
f NEIL M STRATTON	FID	PKK	S	200	21.01	n/a	n/a	0.00	0.0
DENVER INST. ADV	046	PRGO	B	25,000	36.78	n/a	26-Oct	1,000.00	4.0
BUCK CAPITAL MGMT	001	PVH	B	30,000	40.43	n/a	n/a	1,200.00	4.0
JP MORGAN VENTURES	046	PVH	S	5,000	41.01	n/a	n/a	200.00	4.0
LEVEL GLOBAL SHARED ACCT	257	PVH	S	32,900	39.70	n/a	n/a	987.00	3.0
COLUMBIA PARTNERS	028	PVTB	S	10,950	8.94	n/a	n/a	328.50	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KLEINHEINZ CAP PART	031	QCOM	B	50,000	42.27	n/a	n/a	2,500.00	5.0
B BUCK CAPITAL MGMT		QKLS	B	25,000	6.45	n/a	n/a	non-brg	2.5
FIRST NEW YORK NICK	029	Q	S	20,000	3.64	n/a	n/a	1,000.00	5.0
ROTHSCHILD ASSET	040	RGA	S	12,710	47.69	n/a	n/a	571.95	4.5
f FRANCIS MICHAEL MCCA	FID	RRR	B	1000	7.44	n/a	n/a	0.00	0.0
f HARALAMBOS EFSTATHI	FID	RRR	B	1000	7.15	n/a	n/a	0.00	0.0
f MICHAEL THOMAS NOLAN	FID	RRR	B	1000	7.23	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		RSH	C	30,000	17.49	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SBUX	C	50,000	19.08	n/a	2-Oct	non-brg	4.0
NEW JERSEY DIV OF INV.	030	SHAW	B	50,000	27.58	n/a	n/a	1,500.00	3.0
B BUCK CAPITAL MGMT		SHOO	C	20,000	39.96	n/a	n/a	non-brg	2.5
DC CAPITAL	044	SKS	S	50,000	5.90	n/a	n/a	1,500.00	3.0
HIGHBRIDGE CAP	041	SNV	S	200,000	2.35	n/a	n/a	8,000.00	4.0
f MARC PAUL LUCHANSKY	FID	SPY	B	1000	105.81	n/a	n/a	0.00	0.0
HUNTER GLOBAL INVESTOR	067	STZ	B	50,000	16.10	n/a	n/a	2,000.00	4.0
NEW JERSEY DIV OF INV.	030	SYMC	B	100,000	17.30	n/a	n/a	3,000.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f ANTHONY NG	FID	S	S	5	3.06	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		THI	C	40,000	29.46	n/a	n/a	non-brg	4.0
TRELLUS PARTNERS LP	028	TIN	B	20,000	16.19	n/a	22-Oct	1,000.00	5.0
BUCK CAPITAL MGMT	001	TLB	B	35,000	9.74	n/a	n/a	1,050.00	3.0
BALYASNY ASSET MGMT	044	TROW	C	30,000	50.89	n/a	26-Oct	1,500.00	5.0
COBALT	041	TWC	B	100,000	39.92	n/a	n/a	5,000.00	5.0
EXIS CAPITAL	044	TXT	S	50,000	18.65	n/a	n/a	2,500.00	5.0
B BUCK CAPITAL MGMT		UA	C	30,000	27.65	n/a	28-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		UA	C	50,000	26.83	n/a	28-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		URBN	B	70,000	32.46	n/a	n/a	non-brg	4.0
ROSEDALE CAPITAL	046	VLO	S	10,000	19.05	n/a	n/a	500.00	5.0
NEW JERSEY DIV OF INV.	030	VRSN	S	100,000	23.16	n/a	n/a	3,000.00	3.0
f JASON ERIC COHEN	FID	VTG	B	800	1.68	n/a	n/a	0.00	0.0
f ROBERT M DANIELS	FID	WH	B	250	4.41	n/a	n/a	0.00	0.0
ARAGON GLOBAL	041	WMT	B	43,001	50.26	n/a	23-Oct	2,150.05	5.0
FORTRESS CAPITAL	070	WMT	B	120,000	50.40	n/a	23-Oct	3,600.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SUFFOLK CAPITAL MGMT	040	WMT	S	231,700	49.95	n/a	23-Oct	9,268.00	4.0
OZ MGMT	040	WY	S	31,169	37.22	n/a	12-Oct	935.07	3.0
JP MORGAN VENTURES	046	XRT	SS	9,000	34.65	n/a	n/a	360.00	4.0
PORTER-ORLIN-FELDMAN	044	X	SS	100,000	37.90	n/a	n/a	5,000.00	5.0
NEW JERSEY DIV OF INV.	030	YHOO	S	100,000	16.01	n/a	n/a	3,000.00	3.0
TOTAL (Trade Date):							169,471.48		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,	10/28	PARTNER REINSURANCE	033	IGT	S	26,400	18.11	n/a	n/a 1056.00 4.0
TOTAL (AO, CXL, CRT) :									1,056.00

TOTAL (Trade Date):	169,471.48
TOTAL (AO, CXL, CRT):	1,056.00

TOTAL (RUN DATE) / NFS:	170,527.48
--------------------------------	-------------------

MRI Securities with Trade Activity on 29-Oct.
ART

MRI Securities without Trade Activity on 29-Oct.
PNRA, MWV

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 23%
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)