



Daily Compliance Activity Report

Trade Date: 12/15/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f MARC PAUL LUCHANSKY	FID	AAGPX	S	24	16.59	n/a	n/a	0.00	0.0
REINHART & MAHONEY	031	AAPL	B	1,300	197.04	n/a	n/a	65.00	5.0
LONG OAR GLOBAL INV	040	ADI	S	25,000	30.46	n/a	n/a	1,000.00	4.0
GLOBAL 56 LLC	060	AEO	B	2,000	16.08	n/a	4-Dec	100.00	5.0
GLOBAL 56 LLC	060	AEO	S	2,000	16.37	n/a	4-Dec	100.00	5.0
REINHART & MAHONEY	031	AGL	B	5,000	36.77	n/a	n/a	250.00	5.0
PROSPECTOR PARTNERS LLC	036	AJG	B	7,500	22.43	n/a	n/a	300.00	4.0
&PRO	036	AJG	B	2,500	22.43	n/a	n/a	100.00	4.0
LAGRANGE CAP ADV	048	ALV	SS	4,000	44.01	n/a	14-Dec	200.00	5.0
CONIFER/ISF	025	AMED	S	2,500	47.25	n/a	n/a	125.00	5.0
NORTHPOINT	030	AMG	B	14,540	64.63	n/a	15-Dec	581.60	4.0
BUCK CAPITAL MGMT	001	ANF	S	10,000	35.47	n/a	4-Dec	400.00	4.0
TRELLUS PARTNERS LP	028	AN	B	20,000	18.05	n/a	30-Oct	1,000.00	5.0
f CHRISTOPHER ROBERT C	FID	ART	S	300	24.85	n/a	15-Dec	0.00	0.0
REINHART & MAHONEY	031	ATK	S	8,245	88.84	n/a	n/a	412.25	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f HARALAMBOS EFSTATHI	FID	ATLS	B	200	28.10	n/a	n/a	0.00	0.0
REINHART & MAHONEY	031	AXE	S	7,100	48.07	n/a	23-Nov	355.00	5.0
SOROS	036	AXL	B	100,000	7.26	n/a	14-Dec	3,000.00	3.0
PROSPECTOR PARTNERS LLC	036	AYE	B	10,000	23.27	n/a	n/a	400.00	4.0
f JONATHAN RICHARD HAR	FID	BAC	B	120	15.34	n/a	15-Dec	0.00	0.0
f JOSEPH CIRO AMATURO	FID	BBY	B	2000	41.83	n/a	n/a	0.00	0.0
SOROS	036	BBY	B	486,000	41.28	n/a	n/a	19,440.00	4.0
LISTED ERR	099	BBY	S	40	41.17	n/a	n/a	0.00	0.0
f ANDREW SINCLAIR	FID	BGZ	B	200	17.42	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	BONT	B	88	11.30	n/a	n/a	0.00	0.0
WEISS PECK	040	BONT	C	20,650	11.21	n/a	n/a	1,032.50	5.0
RBC CAPITAL MARKETS	040	BCY	B	10,000	53.40	n/a	26-Oct	400.00	4.0
B BUCK CAPITAL MGMT		BWIN AV	B	7,500	59.09	n/a	n/a	non-brg	8.9
BRANDWINE	028	CCK	B	48,500	25.58	n/a	n/a	1,940.00	4.0
SAC CAPITAL/JOHN MAGUIE	039	CCL	B	3,633	33.89	n/a	n/a	145.32	4.0
f MARC PAUL LUCHANSKY	FID	CIVVX	S	27	11.16	n/a	n/a	0.00	0.0
f ANDREW SINCLAIR	FID	COGLH	S	20	1.65	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAC CAPITAL/JOHN MAGUIE	039	COH	SS	3,332	36.64	n/a	21-Oct	133.28	4.0
ß BUCK CAPITAL MGMT		CSTR	B	25,000	27.29	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		CSTR	B	50,000	26.88	n/a	n/a	non-brg	2.5
f EDWARD W WHEELER	FID	C	B	25000	3.54	n/a	14-Dec	0.00	0.0
f MICHAEL THOMAS NOLAN	FID	C	B	500	3.65	n/a	14-Dec	0.00	0.0
ß BUCK CAPITAL MGMT		DBRN	S	10,000	21.66	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DBRN	S	10,000	21.70	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		DECK	C	20,000	94.93	n/a	n/a	non-brg	4.0
RDK CAPITAL MGMT	034	DELL	B	50,000	13.63	n/a	n/a	2,000.00	4.0
SAC CAPITAL/JOHN MAGUIE	039	DKS	B	5,167	22.46	n/a	19-Nov	206.68	4.0
REINHART & MAHONEY	031	DLM	B	22,000	11.30	n/a	n/a	1,100.00	5.0
ß BUCK CAPITAL MGMT		DPZ	S	100,000	7.74	n/a	n/a	non-brg	3.0
CONIFER/ISF	025	ES	S	1,700	9.41	n/a	n/a	85.00	5.0
FIRST NEW YORK LEDDY	035	ETFC	B	10,000	1.63	n/a	n/a	600.00	6.0
f MARC PAUL LUCHANSKY	FID	EXWAX	S	38	7.94	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FAGIX	S	47	8.55	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FDGRX	S	1	67.33	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MARC PAUL LUCHANSKY	FID	FDIVX	S	18	27.67	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FIGRX	S	20	29.98	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FILEX	B	473	8.24	n/a	n/a	0.00	0.0
REINHART & MAHONEY	031	FISV	B	4,500	47.60	n/a	n/a	225.00	5.0
f MARC PAUL LUCHANSKY	FID	FLPSX	B	26	31.37	n/a	n/a	0.00	0.0
f CAROL ANNE LACHENAU	FID	FOR	B	360	22.00	n/a	8-Dec	0.00	0.0
f JOSEPH CIRO AMATURO	FID	FOR	S	5000	21.90	n/a	8-Dec	0.00	0.0
f TR U/W OF CH RISTINA	FID	FOR	B	500	22.03	n/a	8-Dec	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FPCIX	B	646	10.22	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FSCFX	S	34	8.94	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	FSIXX	S	64854	1.00	n/a	n/a	0.00	0.0
CUMBERLAND	239	FSLR	SS	5,000	139.73	n/a	n/a	200.00	4.0
f MARC PAUL LUCHANSKY	FID	FTBFX	S	218	10.57	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FVSAX	B	246	12.18	n/a	n/a	0.00	0.0
ARMATURE CAPITAL	041	FWLT	B	40,000	29.07	n/a	n/a	1,600.00	4.0
FRIESS MGMT	033	F	B	2,551,300	9.28	n/a	2-Dec	76,539.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MILLENIU M PARTNERS	028	F	S	50,000	9.42	n/a	2-Dec	2,000.00	4.0
⚡ BUCK CAPITAL MGMT		GAP	SS	10,000	10.83	n/a	n/a	non-brg	4.0
CATAPULT	040	GAP	S	31,250	11.02	n/a	n/a	1,250.00	4.0
⚡ BUCK CAPITAL MGMT		GES	B	188,700	43.95	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		GES	S	188,700	43.95	n/a	n/a	non-brg	1.0
REINHART & MAHONEY	031	GES	B	4,100	43.70	n/a	n/a	205.00	5.0
MILLENIU M PARTNERS	028	GE	B	100,000	15.84	n/a	n/a	4,000.00	4.0
⚡ BUCK CAPITAL MGMT		GIII	S	995	21.80	n/a	n/a	non-brg	0.7
BUCK CAPITAL MGMT	001	GIL	B	20,000	22.60	n/a	11-Dec	800.00	4.0
RDK CAPITAL MGMT	034	GME	S	23,000	22.18	n/a	n/a	920.00	4.0
SAC CAPITAL/JOHN MAGUIE	039	GPC	SS	3,398	38.30	n/a	n/a	135.92	4.0
CHART WELL ADV	028	GPI	B	60,625	27.60	n/a	28-Oct	2,425.00	4.0
⚡ BUCK CAPITAL MGMT		GPS	S	20,000	21.84	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		GSIC	S	10,000	24.88	n/a	n/a	non-brg	4.0
f ROBERT M DANIELS	FID	GSI	S	1300	5.30	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		GYMB	S	30,000	42.02	n/a	4-Dec	non-brg	4.0
⚡ BUCK CAPITAL MGMT		HBI	S	10,000	25.72	n/a	n/a	non-brg	0.8

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
B	BUCK CAPITAL MGMT		HBI	S	30,000	25.68	n/a	n/a	non-brg 4.0
	BUCK CAPITAL MGMT	001	HGG	S	10,000	21.76	n/a	n/a	400.00 4.0
	LOMBARDIA CAP MGMT	048	HLF	S	9,152	42.02	n/a	n/a	444.76 5.0
f	MARC PAUL LUCHANSKY	FID	HRINX	S	13	54.80	n/a	n/a	0.00 0.0
B	BUCK CAPITAL MGMT		HTZ	B	20,000	10.70	n/a	n/a	non-brg 4.0
B	BUCK CAPITAL MGMT		ICON	S	50,000	12.14	n/a	n/a	non-brg 4.0
B	BUCK CAPITAL MGMT		JACK	B	50,000	19.53	n/a	n/a	non-brg 2.5
f	MARC PAUL LUCHANSKY	FID	JANSX	S	12	25.81	n/a	n/a	0.00 0.0
B	BUCK CAPITAL MGMT		JCG	B	331,794	45.87	n/a	n/a	non-brg 1.0
B	BUCK CAPITAL MGMT		JCG	S	331,794	45.87	n/a	n/a	non-brg 1.0
f	MARC PAUL LUCHANSKY	FID	JMCVX	S	26	19.60	n/a	n/a	0.00 0.0
	SAC CAPITAL/JOHN MAGUIE	039	JNY	SS	1,026	16.93	n/a	29-Oct	41.04 4.0
f	DAVID GEORGE BUCK	FID	JPMLR	B	15	0.43	n/a	n/a	0.00 0.0
f	DAVID GEORGE BUCK	FID	JPM	S	1500	40.83	n/a	14-Dec	0.00 0.0
	JP MORGAN VENTURES	046	KR	B	35,000	19.94	n/a	n/a	1,750.00 5.0
B	BUCK CAPITAL MGMT		KSS	B	540,722	55.14	n/a	4-Dec	non-brg 1.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B	BUCK CAPITAL MGMT		KSS	S	540,722	55.14	n/a	4-Dec	non-brg	1.0
	SAC CAPITAL/JOHN MAGUIE	039	KSS	B	4,622	55.17	n/a	4-Dec	184.88	4.0
	TYEE/TYGH	035	LAZ	S	96,991	36.35	n/a	14-Dec	3,879.64	4.0
	CATAPULT	040	LIZ	B	50,000	5.02	n/a	7-Oct	2,000.00	4.0
f	DAVID GEORGE BUCK	FID	LJJOP	S	20	2.16	n/a	n/a	0.00	0.0
f	DAVID GEORGE BUCK	FID	LJJXY	B	20	1.54	n/a	n/a	0.00	0.0
	BUCK CAPITAL MGMT	001	LL	S	20,000	27.54	n/a	n/a	800.00	4.0
	PROSPECTOR PARTNERS LLC	036	L	B	10,000	35.97	n/a	n/a	400.00	4.0
	SAC CAPITAL/JOHN MAGUIE	039	MCD	B	5,397	62.30	n/a	8-Dec	215.88	4.0
B	BUCK CAPITAL MGMT		MGM	SS	10,000	10.60	n/a	6-Nov	non-brg	4.0
f	MARC PAUL LUCHANSKY	FID	MIQBX	S	46	13.11	n/a	n/a	0.00	0.0
	REINHART & MAHONEY	031	MKC	B	5,100	36.05	n/a	n/a	255.00	5.0
f	DAVID GEORGE BUCK	FID	MON	B	500	82.71	n/a	9-Dec	0.00	0.0
	RBC CAPITAL MARKETS	040	MOS	B	25,000	59.06	n/a	n/a	1,000.00	4.0
	THE JAY GOLDMAN	028	MOT	SS	30,000	8.30	n/a	n/a	1,200.00	4.0
	GREEN ARROW DOUG	040	MPXL	B	100,000	4.00	n/a	15-Dec	5,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NORTHPOINT	030	MS	S	29,330	29.85	n/a	14-Dec	1,173.20	4.0
f JONATHAN RICHARD HAR	FID	MTW	B	105	9.46	n/a	3-Nov	0.00	0.0
B BUCK CAPITAL MGMT		MVRX	C	50,000	169.37	n/a	n/a	non-brg	16.9
f ROBERT M DANIELS	FID	MWE	S	300	27.16	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	M	B	20,000	17.12	n/a	4-Dec	800.00	4.0
FIRST NY SEC/CHRIS	041	M	B	18,000	17.19	n/a	4-Dec	720.00	4.0
THE JAY GOLDMAN	028	M	B	25,000	17.25	n/a	4-Dec	1,000.00	4.0
MANNING & NAPIER	034	NOK	B	403,840	12.72	n/a	n/a	12,115.20	3.0
LOMBARDIA CAP MGMT	048	NR	S	50,833	4.17	n/a	n/a	2,467.97	4.9
TRUSTCO/SUNTRUST	040	NTRI	S	19,600	32.71	n/a	n/a	764.40	3.9
LOMBARDIA CAP MGMT	048	NUS	S	9,516	27.86	n/a	n/a	462.48	5.0
f MANNY I KORMAN	FID	NYB	B	5000	13.36	n/a	7-Dec	0.00	0.0
f MARC PAUL LUCHANSKY	FID	OAKMX	S	11	37.01	n/a	n/a	0.00	0.0
f NEIL M STRATTON	FID	OLDMF	S	2	2.85	n/a	n/a	0.00	0.0
f STRATTON PAR TNERSHI	FID	OLDMF	S	1	2.82	n/a	n/a	0.00	0.0
REINHART & MAHONEY	031	O	B	8,500	26.22	n/a	n/a	425.00	5.0
f MARC PAUL LUCHANSKY	FID	PAVLX	S	118	20.26	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PILOT ROCK	028	PCS	S	139,804	7.23	n/a	n/a	5,592.16	4.0
SAC CAPITAL/JOHN MAGUIE	039	PETM	B	6,787	26.70	n/a	n/a	271.48	4.0
B BUCK CAPITAL MGMT		PLCE	S	40,000	29.71	n/a	11-Dec	non-brg	4.0
WAGONHOUND/NIC	048	PLCE	B	4,589	29.71	n/a	11-Dec	183.56	4.0
B BUCK CAPITAL MGMT		PSS	S	50,000	22.97	n/a	n/a	non-brg	4.0
SAGE ASSET MGMT	012	PTEN	B	55,000	15.26	n/a	n/a	2,750.00	5.0
f MARC PAUL LUCHANSKY	FID	PTRAX	S	295	10.86	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	PVH	S	20,000	40.32	n/a	20-Nov	800.00	4.0
JP MORGAN VENTURES	046	PVH	S	25,000	40.34	n/a	20-Nov	1,250.00	5.0
f MARC PAUL LUCHANSKY	FID	PZFBVX	S	14	14.35	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		RT	B	35,000	6.68	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		RT	B	50,000	6.78	n/a	n/a	non-brg	3.0
PZENA INV ADV	044	SHW	B	141,725	61.75	n/a	9-Nov	4,960.59	3.5
B BUCK CAPITAL MGMT		SKX	S	30,000	28.11	n/a	n/a	non-brg	4.0
f MARC PAUL LUCHANSKY	FID	SLASX	S	27	36.56	n/a	n/a	0.00	0.0
ARMATURE CAPITAL	041	SOA	B	20,000	11.75	n/a	n/a	800.00	4.0
SAC CAPITAL/JOHN MAGUIE	039	SPIS	S	6,290	24.30	n/a	n/a	251.60	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MARC PAUL LUCHANSKY	FID	SPRXX	B	600	1.00	n/a	n/a	0.00	0.0
SCHOTTENFELD ASSOC	041	SYX	B	30,000	28.33	n/a	n/a	900.00	3.0
SAC CAPITAL/JOHN MAGUIE	039	TGT	B	4,213	47.77	n/a	3-Dec	168.52	4.0
SAC CAPITAL/JOHN MAGUIE	039	THI	SS	11,817	28.89	n/a	n/a	472.68	4.0
APEX CAPITAL MGMT.	091	TIVO	B	50,000	9.55	n/a	n/a	1,500.00	3.0
B BUCK CAPITAL MGMT		TJX	B	465,681	38.18	n/a	4-Dec	non-brg	1.0
B BUCK CAPITAL MGMT		TJX	S	465,681	38.18	n/a	4-Dec	non-brg	1.0
SAC CAPITAL/JOHN MAGUIE	039	TJX	SS	3,678	38.07	n/a	4-Dec	147.12	4.0
B BUCK CAPITAL MGMT		TLB	B	50,000	8.59	n/a	n/a	non-brg	3.0
LOMBARDIA CAP MGMT	048	TPC	B	22,941	17.61	n/a	n/a	1,113.77	4.9
f MARC PAUL LUCHANSKY	FID	TPINX	B	40	12.65	n/a	n/a	0.00	0.0
JMP ASSET MGMT	210	ULTA	B	897	18.60	n/a	n/a	44.85	5.0
f JONATHAN RICHARD HAR	FID	UNG	S	415	10.04	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	040	VALE	SS	25,000	29.02	n/a	n/a	1,000.00	4.0
f MARC PAUL LUCHANSKY	FID	WBIGX	S	32	18.47	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	040	WCN	B	10,000	33.50	n/a	n/a	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GREEN ARROW DOUG	040	WEN	S	50,000	4.18	n/a	6-Nov	2,500.00	5.0
RDK CAPITAL MGMT	034	WEN	S	100,000	4.12	n/a	6-Nov	4,000.00	4.0
B BUCK CAPITAL MGMT		WMS	B	20,000	39.62	n/a	n/a	non-brg	4.0
RDK CAPITAL MGMT	034	WMT	SS	25,000	53.84	n/a	1-Dec	1,000.00	4.0
DENVER INST. ADV	046	WRC	B	83,500	42.86	n/a	5-Nov	3,340.00	4.0
FORWARD MGMT	033	WRE	S	50,000	26.79	n/a	n/a	2,500.00	5.0
BMO NESBITT BURNS	041	WY	B	25,000	42.85	15-Dec	15-Dec	1,250.00	5.0
BMO NESBITT BURNS	041	WY	SS	90,825	48.02	15-Dec	15-Dec	4,541.25	5.0
B BUCK CAPITAL MGMT		WY	S	32,900	47.61	15-Dec	15-Dec	non-brg	0.8
CAXTON PART	040	WY	S	84,200	45.46	15-Dec	15-Dec	2,947.01	3.5
COOPER CREEK PART	028	WY	B	10,000	43.00	15-Dec	15-Dec	400.00	4.0
SUN AMERICA ASSET MGMT	030	WY	S	9,500	43.10	15-Dec	15-Dec	380.00	4.0
REINHART & MAHONEY	031	XOM	S	7,580	69.48	n/a	n/a	379.00	5.0
SAC CAPITAL/JOHN MAGUIE	039	XRT	SS	6,730	35.58	n/a	n/a	269.20	4.0
CATAPULT	040	YHOO	B	50,000	15.79	n/a	n/a	2,000.00	4.0
TOTAL (Trade Date) :								211,383.79	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	12/14	LISTED ERR	099	BBY	B	40	44.81	n/a	n/a	0.00	0.0
AO,	12/14	MTB INV ADV	034	BBY	S	1,299	44.81	n/a	n/a	64.95	5.0
AO,CXL	12/14	MTB INV ADV	034	BBY	S	1,259	44.81	n/a	n/a	62.95	5.0
AO,CXL	12/10	REINHART & MAHONEY	031	DBTK	B	2,300	9.76	n/a	n/a	115.00	5.0
AO,	12/10	REINHART & MAHONEY	031	DBTK	B	2,300	9.76	n/a	n/a	115.00	5.0
AO,CRT	12/10	REINHART & MAHONEY	031	DBTK	B	2,300	9.76	n/a	n/a	115.00	5.0
AO,CRT	12/14	PERSHING SQUARE	029	EMC	S	267,700	16.61	n/a	n/a	10708.00	4.0
AO,CXL	12/14	PERSHING SQUARE	029	EMC	S	267,700	16.61	n/a	n/a	13385.00	5.0
AO,CXL	12/14	FORD FDN.	032	OSK	B	35,000	35.10	n/a	n/a	1750.00	5.0
AO,CRT	12/14	FORD FDN.	032	OSK	B	35,000	35.10	n/a	n/a	1400.00	4.0
TOTAL (AO, CXL, CRT) :										-2,910.00	

TOTAL (Trade Date) :	211,383.79
TOTAL (AO, CXL, CRT) :	-2,910.00

TOTAL (RUN DATE) / NFS:	208,473.79
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MRI Securities with Trade Activity on 15-Dec.

WY

MRI Securities without Trade Activity on 15-Dec.

NONE

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

T-Date = 6%

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)