



Daily Compliance Activity Report

Trade Date: 05/13/2009

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 | 60,000 | 14.02 | 20-Apr | 8-May | 2,400.00 | 4.0 |
| BUCK CAPITAL MGMT | | AEO | B | 10,000 | 14.09 | 20-Apr | 8-May | non-brg | 1.0 |
| LOCUS WOOD CAPITAL MGMT | 044 | ALV | SS | 20,000 | 22.36 | 12-Mar | 22-Apr | 800.00 | 4.0 |
| FIRST NEW YORK LEDDY | 035 | AMD | B | 10,000 | 4.43 | n/a | n/a | 600.00 | 6.0 |
| ROBERT M DANIELS | FID | AMD | B | 250 | 4.66 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | | AN | C | 6,000 | 15.15 | 24-Apr | 24-Apr | non-brg | 1.0 |
| BUCK CAPITAL MGMT | | APP | B | 20,000 | 4.98 | n/a | n/a | non-brg | 2.5 |
| PILOT ROCK | 028 | ARO | SS | 50,000 | 32.30 | n/a | 8-May | 2,000.00 | 4.0 |
| BUCK CAPITAL MGMT | | AVP | SS | 30,000 | 22.22 | 25-Feb | 6-May | non-brg | 4.0 |
| KEEFE BRUYETTE WOODS A | 045 | AXP | SS | 9,000 | 24.50 | n/a | 12-May | 450.00 | 5.0 |
| SAB CAPITAL | 034 | AXS | S | 45,000 | 24.10 | n/a | n/a | 1,800.00 | 4.0 |
| BUCK CAPITAL MGMT | | BAC | B | 30,000 | 11.66 | 11-May | 11-May | non-brg | 1.0 |
| BUCK CAPITAL MGMT | | BEBE | S | 20,000 | 8.42 | n/a | n/a | non-brg | 3.0 |
| BUCK CAPITAL MGMT | | BEBE | S | 20,000 | 8.64 | n/a | n/a | non-brg | 3.0 |
| JMP ASSET MGMT | 210 | BEBE | SS | 3,000 | 8.46 | n/a | n/a | 120.00 | 4.0 |
| UBS OCONNOR | 031 | BEN | S | 30,000 | 61.93 | 11-May | 12-May | 900.00 | 3.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|-------------|-----------|----------------|--------------|---------------|---------------|-----------------|------------|
| B BUCK CAPITAL MGMT | | BWA | C | 7,000 | 26.98 | 1-May | 1-May | non-brg | 1.0 |
| THOMAS WEISEL ASSET MGMT | 035 | BWLD | B | 1,195 | 34.51 | n/a | n/a | 35.85 | 3.0 |
| IRONBOUND CAPITAL | 012 | CBE | S | 3,100 | 33.51 | n/a | 27-Apr | 62.00 | 2.0 |
| COUGAR TRADING | 044 | CHUX | B | 10,000 | 8.56 | n/a | n/a | 400.00 | 4.0 |
| CUMBERLAND | 038 | CIT | S | 20,000 | 3.00 | 23-Apr | 6-May | 600.00 | 3.0 |
| B BUCK CAPITAL MGMT | | CMG | C | 14,000 | 72.42 | 23-Apr | 23-Apr | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | CMG | C | 6,000 | 72.63 | 23-Apr | 23-Apr | non-brg | 1.0 |
| B BUCK CAPITAL MGMT | | CMG | C | 6,000 | 72.63 | 23-Apr | 23-Apr | non-brg | 1.0 |
| B BUCK CAPITAL MGMT | | COF | B | 10,000 | 23.47 | n/a | 12-May | non-brg | 1.0 |
| KEEFE BRUYETTE WOODS A | 045 | COF | SS | 9,000 | 24.17 | n/a | 12-May | 450.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | COH | S | 100,000 | 22.63 | 9-Jan | 22-Apr | 4,000.00 | 4.0 |
| B BUCK CAPITAL MGMT | | COLM | SS | 20,000 | 30.25 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | COST | SS | 20,000 | 45.45 | n/a | 27-Jul | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | CPKI | C | 3,000 | 13.63 | n/a | 8-May | non-brg | 1.0 |
| f KEVIN MICHAEL O'GORM | FID | CVGI | B | 600 | 1.27 | n/a | n/a | 0.00 | 0.0 |
| BALYASNY ASSET MGMT | 044 | CVS | S | 50,000 | 31.94 | n/a | n/a | 2,500.00 | 5.0 |
| JMP ASSET MGMT | 210 | DAR | S | 12,000 | 6.40 | n/a | n/a | 600.00 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|-------------|----------|----------------|--------------|---------------|---------------|----------------|------------|
| B BUCK CAPITAL MGMT | | DECK | S | 20,000 | 50.83 | n/a | n/a | non-brg | 4.0 |
| FORD FDN. | 032 | DE | S | 30,000 | 41.24 | 26-Jan | 19-Feb | 1,500.00 | 5.0 |
| ARTX | 304 | DFS | S | 277,290 | 8.77 | n/a | 12-May | 8,318.70 | 3.0 |
| f MICHAEL THOMAS NOLAN | FID | DGP | B | 65 | 20.05 | n/a | n/a | 0.00 | 0.0 |
| CRAMER ROSENTHAL/SCOTT | 012 | DNR | B | 353,900 | 16.23 | n/a | n/a | 14,156.00 | 4.0 |
| B BUCK CAPITAL MGMT | | DRI | C | 3,000 | 33.68 | 19-Mar | 19-Mar | non-brg | 1.0 |
| TRELLUS PARTNERS LP | 028 | FDO | SS | 15,000 | 30.87 | 5-Mar | 5-May | 750.00 | 5.0 |
| B BUCK CAPITAL MGMT | | FINL | S | 20,000 | 7.22 | n/a | 28-Mar | non-brg | 3.0 |
| DSG CAPITAL | 225 | FL | B | 7,000 | 10.05 | 27-Apr | 5-May | 350.00 | 5.0 |
| B BUCK CAPITAL MGMT | | FOR | B | 10,000 | 12.48 | 12-Feb | 8-May | non-brg | 1.0 |
| B BUCK CAPITAL MGMT | | FOSL | S | 40,000 | 20.52 | n/a | 30-Jan | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | 001 | GCO | S | 20,000 | 22.69 | n/a | 10-Jan | 800.00 | 4.0 |
| B BUCK CAPITAL MGMT | | GCO | S | 19,600 | 22.68 | n/a | 10-Jan | non-brg | 1.0 |
| B BUCK CAPITAL MGMT | | GCO | S | 400 | 22.97 | n/a | 10-Jan | non-brg | 1.0 |
| WAGONHOUND/NIC | 048 | GES | S | 1,462 | 22.80 | n/a | n/a | 58.48 | 4.0 |
| B BUCK CAPITAL MGMT | | GIL | S | 150,000 | 11.09 | 11-Dec | 14-Apr | non-brg | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------|-----|--------|-----|---------|--------|--------|----------|-------------|-----|
| WILLOW CREEK | 033 | GIL | SS | 5,000 | 11.31 | 11-Dec | 14-Apr | 200.00 | 4.0 |
| WILLOW CREEK | 033 | GMT | SS | 5,000 | 25.61 | n/a | n/a | 200.00 | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | GNTX | C | 8,000 | 10.86 | 30-Jan | 23-Apr | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | GPS | S | 40,000 | 15.42 | n/a | 30-Jan | non-brg | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | GSIC | S | 20,000 | 13.01 | n/a | n/a | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | GS | B | 3,000 | 130.27 | 11-May | 11-May | non-brg | 1.0 |
| ⌘ BUCK CAPITAL MGMT | | HBI | S | 30,000 | 14.01 | n/a | n/a | non-brg | 2.5 |
| ⌘ BUCK CAPITAL MGMT | | HOT | SS | 12,200 | 20.46 | n/a | n/a | non-brg | 2.0 |
| ⌘ BUCK CAPITAL MGMT | | HOT | SS | 187,800 | 20.15 | n/a | n/a | non-brg | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | ICON | B | 100,000 | 14.12 | n/a | n/a | non-brg | 4.0 |
| ROTHSCHILD ASSET | 040 | IDC | S | 16,940 | 22.50 | n/a | n/a | 762.30 | 4.5 |
| CSFB GLOBAL PROPRIETARY | 041 | IP | B | 20,000 | 12.34 | n/a | 1-May | 1,000.00 | 5.0 |
| SCOPUS FUND | 041 | IP | B | 35,000 | 12.45 | n/a | 1-May | 1,750.00 | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | JAS | B | 40,000 | 21.06 | n/a | n/a | non-brg | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | JCG | SS | 40,000 | 17.76 | n/a | 30-Jan | non-brg | 4.0 |
| MATRIX ASSET ADV. | 036 | JCI | S | 3,000 | 17.80 | 22-Apr | 22-Apr | 90.00 | 3.0 |
| ⌘ BUCK CAPITAL MGMT | | JNY | S | 60,000 | 8.10 | n/a | 30-Apr | non-brg | 3.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|-----|--------|-----|---------|--------|--------|----------|-------------|------|
| 11:11 CAPITAL CORP | 046 | KG | S | 154,900 | 9.26 | n/a | 12-May | 6,196.00 | 4.0 |
| f BUCK CAPITAL MGMT | 001 | KSS | B | 20,000 | 42.30 | 8-May | 8-May | 800.00 | 4.0 |
| f FRANCIS MICHAEL MCCA | FID | KSS | S | 100 | 42.41 | 8-May | 8-May | 0.00 | 0.0 |
| SANDLER O'NEILL ASSET | 031 | LAZ | B | 25,000 | 28.41 | n/a | 28-Apr | 1,250.00 | 5.0 |
| B BUCK CAPITAL MGMT | | LIZ | S | 200,318 | 4.62 | n/a | 5-Mar | non-brg | 1.0 |
| SUFFOLK CAPITAL MGMT | 040 | LOW | B | 200,000 | 18.87 | 12-May | 12-May | 8,000.00 | 4.0 |
| B BUCK CAPITAL MGMT | | LTD | S | 170,000 | 11.22 | 8-Jan | 30-Jan | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | LVS | B | 300,000 | 9.45 | n/a | n/a | non-brg | 1.0 |
| B BUCK CAPITAL MGMT | | LVS | B | 50,000 | 8.66 | n/a | n/a | non-brg | 3.0 |
| B BUCK CAPITAL MGMT | | MAR | SS | 120,000 | 21.54 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | MDTL | C | 3,600 | 0.35 | n/a | n/a | non-brg | 1.0 |
| MATRIX ASSET ADV. | 036 | MSFT | S | 2,000 | 19.74 | n/a | 3-Apr | 60.00 | 3.0 |
| B BUCK CAPITAL MGMT | | MVRX | SS | 120,000 | 115.55 | n/a | n/a | non-brg | 11.6 |
| f EDWARD W WHEELER | FID | MWA | B | 10000 | 3.67 | n/a | 6-May | 0.00 | 0.0 |
| BARCLEYS CAP (OLD LEHM) | 041 | M | SS | 50,000 | 11.67 | n/a | 8-May | 2,000.00 | 4.0 |
| f NEIL M STRATTON | FID | NCX | B | 1000 | 5.66 | n/a | n/a | 0.00 | 0.0 |

| | Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---|--------------------------|-----|--------|-----|--------|--------|--------|----------|-------------|-----|
| f | STRATTON PAR TNERSHI | FID | NCX | B | 1000 | 5.66 | n/a | n/a | 0.00 | 0.0 |
| | BUCK CAPITAL MGMT | 001 | NKE | S | 50,000 | 49.13 | n/a | n/a | 2,000.00 | 4.0 |
| B | BUCK CAPITAL MGMT | | NP | S | 32,100 | 7.39 | 12-May | 12-May | non-brg | 2.5 |
| | WILLOW CREEK | 033 | OC | SS | 5,000 | 14.07 | n/a | n/a | 200.00 | 4.0 |
| f | MICHAEL THOMAS NOLAN | FID | PCAR | B | 250 | 29.57 | 25-Mar | 4-May | 0.00 | 0.0 |
| | WAGONHOUND/NIC | 048 | PCLN | S | 953 | 102.31 | n/a | n/a | 38.12 | 4.0 |
| | EPOCH INV MGMT | 030 | PEP | B | 7,304 | 49.50 | n/a | n/a | 292.16 | 4.0 |
| B | BUCK CAPITAL MGMT | | PFCB | SS | 20,000 | 27.66 | 23-Apr | 23-Apr | non-brg | 4.0 |
| | SCOPUS FUND | 041 | PKG | B | 13,000 | 15.99 | 8-Apr | 21-Apr | 650.00 | 5.0 |
| B | BUCK CAPITAL MGMT | | PLCE | S | 10,000 | 32.02 | 19-Mar | 8-May | non-brg | 4.0 |
| B | BUCK CAPITAL MGMT | | PLCE | S | 30,000 | 31.55 | 19-Mar | 8-May | non-brg | 4.0 |
| | ROARING BLUE LION MGMT | 012 | PLCE | S | 1,500 | 32.26 | 19-Mar | 8-May | 60.00 | 4.0 |
| f | JOHN BARTMAN COLE | FID | PNWIF | B | 1700 | 1.46 | n/a | n/a | 0.00 | 0.0 |
| B | BUCK CAPITAL MGMT | | PSUN | S | 50,000 | 3.82 | 6-Feb | 6-Feb | non-brg | 3.0 |
| | BUCK CAPITAL MGMT | 001 | PVH | B | 20,000 | 25.38 | 20-Apr | 20-Apr | 800.00 | 4.0 |
| B | BUCK CAPITAL MGMT | | PVH | B | 20,000 | 25.35 | 20-Apr | 20-Apr | non-brg | 1.0 |
| B | BUCK CAPITAL MGMT | | PVH | B | 20,000 | 25.39 | 20-Apr | 20-Apr | non-brg | 4.0 |
| | JETSTREAM GLOBAL FUND LP | 065 | QCOR | S | 86,500 | 3.87 | n/a | n/a | 4,325.00 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-----------------------|-----|--------|-----|--------|-------|--------|----------|-------------|-----|
| BUCK CAPITAL MGMT | 001 | RL | B | 30,000 | 46.84 | n/a | 16-Apr | 1,200.00 | 4.0 |
| JMP ASSET MGMT | 210 | RSH | S | 10,000 | 11.76 | n/a | n/a | 500.00 | 5.0 |
| f EDWARD W WHEELER | FID | RUSHA | B | 5000 | 11.50 | n/a | n/a | 0.00 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | SDS | B | 2000 | 60.73 | n/a | n/a | 0.00 | 0.0 |
| f EDWARD W WHEELER | FID | SHS | B | 5000 | 4.81 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | SKX | S | 15,000 | 8.85 | n/a | 13-Mar | non-brg | 1.5 |
| B BUCK CAPITAL MGMT | | SKX | S | 20,000 | 9.11 | n/a | 13-Mar | non-brg | 3.0 |
| LAGRANGE CAP ADV | 048 | SLM | B | 10,000 | 5.40 | 23-Apr | 11-May | 500.00 | 5.0 |
| NEWCASTLE FUNDS | 255 | SMG | S | 50,600 | 33.78 | 5-Feb | 29-Apr | 2,024.00 | 4.0 |
| LISTED ERR | 099 | SMG | B | 32 | 33.78 | 5-Feb | 29-Apr | 0.00 | 0.0 |
| f JASON ERIC COHEN | FID | SNCR | B | 95 | 11.25 | n/a | n/a | 0.00 | 0.0 |
| RK CAPITAL MGMT LLC | 045 | SR | B | 27,000 | 4.14 | n/a | n/a | 810.00 | 3.0 |
| G WEISS /SASHA | 070 | STT | SS | 50,000 | 38.23 | n/a | n/a | 2,000.00 | 4.0 |
| B BUCK CAPITAL MGMT | | SUP | C | 3,000 | 13.51 | 27-Feb | 11-May | non-brg | 1.0 |
| WILLOW CREEK | 033 | TEX | SS | 5,000 | 14.41 | 13-Feb | 28-Apr | 200.00 | 4.0 |
| B BUCK CAPITAL MGMT | | TIF | SS | 20,000 | 25.22 | n/a | 30-Jan | non-brg | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------|-----|--------|-----|---------|-------|--------|----------|--------------|-----|
| BUCK CAPITAL MGMT | 001 | TJX | B | 50,000 | 27.57 | 4-May | 8-May | 2,000.00 | 4.0 |
| CASTLE ARK | 031 | TJX | B | 163,400 | 27.60 | 4-May | 8-May | 9,804.00 | 6.0 |
| COUGAR TRADING | 044 | TJX | B | 5,000 | 27.69 | 4-May | 8-May | 250.00 | 5.0 |
| ß BUCK CAPITAL MGMT | | TWTC | S | 13,354 | 11.27 | n/a | 4-Jan | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | TWTC | S | 6,646 | 11.46 | n/a | 4-Jan | non-brg | 4.0 |
| AVESTA CAP | 229 | TYC | B | 50,000 | 25.20 | 1-May | 1-May | 2,000.00 | 4.0 |
| ß BUCK CAPITAL MGMT | | UA | SS | 20,000 | 20.54 | 29-Apr | 29-Apr | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | URBN | S | 40,000 | 18.53 | n/a | 30-Jan | non-brg | 4.0 |
| TROUBH PART | 067 | WFC | B | 25,000 | 24.30 | n/a | n/a | 1,250.00 | 5.0 |
| ß BUCK CAPITAL MGMT | | WRC | B | 10,000 | 27.56 | 13-May | 13-May | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | WRC | S | 40,000 | 27.10 | 13-May | 13-May | non-brg | 4.0 |
| BUCK CAPITAL MGMT | 001 | WSM | SS | 100,000 | 11.64 | n/a | n/a | 4,000.00 | 4.0 |
| ß BUCK CAPITAL MGMT | | WSO | B | 15,000 | 45.61 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | WYNN | C | 20,000 | 41.36 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | WYNN | SS | 40,000 | 40.98 | n/a | n/a | non-brg | 4.0 |
| CSFB GLOBAL PROPRIETARY | 041 | XLI | B | 20,000 | 21.79 | n/a | n/a | 1,000.00 | 5.0 |
| ß BUCK CAPITAL MGMT | | XRT | C | 15,000 | 25.68 | n/a | n/a | non-brg | 1.0 |
| ß BUCK CAPITAL MGMT | | XRT | SS | 150,000 | 25.61 | n/a | n/a | non-brg | 1.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------|-----|--------|-----|--------|-------|-----|----------|--------------|-----|
| MARINER/TRICADIA | 041 | XRT | SS | 50,000 | 25.54 | n/a | n/a | 2,500.00 | 5.0 |
| LISTED ERR | 099 | XRT | B | 29,788 | 25.46 | n/a | n/a | 0.00 | 0.0 |
| LISTED ERR | 099 | XRT | S | 262 | 25.51 | n/a | n/a | 0.00 | 0.0 |
| TOTAL (Trade Date) : | | | | | | | | 104,362.61 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|-------------------------------|-------|----------------|------|--------|-----|---------|-------|-----|----------|------------------|
| AO,CXL | 05/12 | SAB CAPITAL | 034 | AXS | S | 166,530 | 24.36 | n/a | n/a | 8326.50 5.0 |
| AO,CRT | 05/12 | SAB CAPITAL | 034 | AXS | S | 166,530 | 24.36 | n/a | n/a | 6661.20 4.0 |
| AO,CRT | 05/12 | COUGAR TRADING | 044 | CHUX | SS | 10,000 | 8.54 | n/a | n/a | 400.00 4.0 |
| AO,CXL | 05/12 | COUGAR TRADING | 044 | CHUX | SS | 10,000 | 8.54 | n/a | n/a | 500.00 5.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | -1,765.30 |

| | |
|------------------------|------------|
| TOTAL (Trade Date) : | 104,362.61 |
| TOTAL (AO, CXL, CRT) : | -1,765.30 |

| | |
|---------------------------------|-------------------|
| TOTAL (RUN DATE) / NFS : | 102,597.31 |
|---------------------------------|-------------------|

MRI Securities with Trade Activity on 13-May.
WRC

MRI Securities without Trade Activity on 13-May.
CYH, LPNT, SIAL, UHS

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 18%
YTD = 22%

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| <u>Legend:</u> |
| 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) |