



Daily Compliance Activity Report

Trade Date: 01/14/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEW JERSEY DIV OF INV.	030	AAI	B	300,000	5.55	n/a	n/a	12,000.00	4.0
COUGAR TRADING	044	AEO	S	10,000	17.05	n/a	8-Jan	500.00	5.0
NICOLAS APPELGATE	048	AGCO	B	24,000	34.94	n/a	4-Jan	960.00	4.0
CATAPULT	040	AKS	SS	25,000	24.79	n/a	n/a	1,000.00	4.0
BALYASNY ASSET MGMT	044	AMG	S	10,000	69.36	n/a	8-Jan	500.00	5.0
ENTRUST CAPITAL	040	AMP	B	52,100	41.97	n/a	n/a	2,605.00	5.0
B BUCK CAPITAL MGMT		ANF	S	2,000	32.91	n/a	8-Jan	non-brg	4.0
BUCK CAPITAL MGMT	001	ARO	B	100,000	35.37	n/a	8-Jan	4,000.00	4.0
GALT INVESTMENT	041	ARO	S	20,000	35.47	n/a	8-Jan	1,000.00	5.0
LAGRANGE CAP ADV	048	AXL	S	20,845	10.35	n/a	4-Jan	1,042.25	5.0
f DAVID GEORGE BUCK	FID	BAC	B	2000	16.76	n/a	14-Jan	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	BAC	B	600	16.87	n/a	14-Jan	0.00	0.0
f MARK DEVEREAUX KAICH	FID	BBI	B	2000	0.81	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	BEN	B	30,000	111.18	n/a	13-Jan	1,500.00	5.0
B BUCK CAPITAL MGMT		BWA	S	75,000	37.85	n/a	4-Jan	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JP MORGAN VENTURES	046	BWS	B	25,000	11.90	n/a	n/a	1,250.00	5.0
B BUCK CAPITAL MGMT		CAKE	SS	20,000	22.52	n/a	12-Jan	non-brg	4.0
JP MORGAN VENTURES	046	CAKE	SS	15,000	22.59	n/a	12-Jan	750.00	5.0
f MARK DEVEREAUX KAICH	FID	CBI	S	150	22.67	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	CHTP	B	1000	2.90	n/a	n/a	0.00	0.0
FORD FDN.	032	COF	S	50,000	41.58	n/a	14-Jan	2,500.00	5.0
EPOCH INV MGMT	030	COL	B	14,500	56.89	n/a	5-Jan	435.00	3.0
MILLRACE FUND LP	028	CPKI	SS	30,000	13.99	n/a	14-Jan	900.00	3.0
f JONATHAN RICHARD HAR	FID	CRIBF	B	65	0.50	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	CRI	B	300	26.85	n/a	n/a	0.00	0.0
f MARK ANTHONY GRONET	FID	CRI	B	1000	26.74	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		CROX	B	500,000	7.05	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		CROX	B	56,525	6.99	n/a	n/a	non-brg	3.0
CATAPULT	040	CSL	S	14,880	36.77	n/a	n/a	595.20	4.0
f CHRISTOPHER ROBERT B	FID	C	B	10000	3.51	n/a	14-Jan	0.00	0.0
f CICILY S BACKUS	FID	C	B	10000	3.51	n/a	14-Jan	0.00	0.0
f JOHN PATRICK DAVEY	FID	C	B	7500	3.51	n/a	14-Jan	0.00	0.0
f JONATHAN RICHARD HAR	FID	C	B	715	3.52	n/a	14-Jan	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	MELISSA LEE BACKUS	FID	C	B	10000	3.51	n/a	14-Jan	0.00	0.0
	OZ MGMT	040	C	B	500,000	3.51	n/a	14-Jan	15,000.00	3.0
B	BUCK CAPITAL MGMT		DAL	S	50,000	13.22	n/a	n/a	non-brg	4.0
	CATAPULT	040	DD	SS	11,000	33.91	n/a	13-Jan	550.00	5.0
	DSG CAPITAL	225	DE	S	2,000	58.03	n/a	30-Nov	100.00	5.0
	PLATTE RIVER CAPITAL	240	DE	S	11,000	58.54	n/a	30-Nov	440.00	4.0
	CATAPULT	040	DOW	SS	6,000	30.42	n/a	13-Jan	300.00	5.0
	WAGONHOUND/NIC	048	DPZ	S	10,272	11.17	14-Jan	14-Jan	410.88	4.0
	VISIUM/BALY BOBBY	044	EAT	C	15,000	15.17	n/a	n/a	750.00	5.0
B	BUCK CAPITAL MGMT		FINL	S	36,496	11.72	n/a	n/a	non-brg	4.0
f	CICILY S BACKUS	FID	FOR	S	500	21.37	n/a	4-Jan	0.00	0.0
B	BUCK CAPITAL MGMT		FSLR	SS	5,000	125.56	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		FUQI	B	20,000	21.25	n/a	n/a	non-brg	4.0
f	CICILY S BACKUS	FID	F	S	1000	11.57	n/a	6-Jan	0.00	0.0
f	LEE F BACKUS	FID	F	S	3000	11.56	n/a	6-Jan	0.00	0.0
	MILLENIUM PARTNERS	028	F	B	25,000	11.58	n/a	6-Jan	1,000.00	4.0
	AVESTA CAP	229	GE	SS	500,000	16.75	n/a	n/a	15,000.00	3.0
	EPOCH INV MGMT	030	GPC	B	23,600	38.79	n/a	n/a	708.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		GPS	S	3,000	19.67	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GRMN	SS	20,000	35.07	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GSIC	S	31,900	24.80	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		GSIC	S	96	24.73	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		HGG	S	20,000	21.18	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		HGG	S	59,910	21.29	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		ICON	S	100,000	12.99	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		ICON	S	11,535	12.91	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		ICON	S	62,838	12.91	n/a	n/a	non-brg	4.0
JETSTREAM GLOBAL FUND LP	065	INTC	S	100,000	21.22	n/a	n/a	5,000.00	5.0
SCOPUS FUND	041	IP	SS	10,000	26.42	n/a	7-Jan	500.00	5.0
ß BUCK CAPITAL MGMT		JACK	B	20,000	20.74	n/a	n/a	non-brg	4.0
f LEE F BACKUS	FID	JBLU	S	2000	5.74	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	JNY	B	100,000	16.60	n/a	4-Jan	4,000.00	4.0
ß BUCK CAPITAL MGMT		JNY	B	30,300	16.54	n/a	4-Jan	non-brg	4.0
ß BUCK CAPITAL MGMT		JOSB	S	2,000	44.20	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	JPMNW	S	25	1.03	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	JPM	S	2500	44.58	n/a	14-Jan	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	MATTHEW FRANCIS BUCK	FID	JPM	S	300	44.52	n/a	14-Jan	0.00	0.0
	COUGAR TRADING	044	KSS	S	5,000	51.62	n/a	8-Jan	250.00	5.0
	RAIL-SPLITTER	031	LM	SS	38,000	30.57	n/a	8-Jan	1,900.00	5.0
B	BUCK CAPITAL MGMT		LTD	S	3,000	19.80	n/a	n/a	non-brg	4.0
	CUMBERLAND	239	LVL	SS	250,000	1.43	n/a	n/a	5,000.00	2.0
	BASIX	033	MTW	B	25,000	12.93	n/a	12-Jan	750.00	3.0
B	BUCK CAPITAL MGMT		M	S	3,000	16.44	n/a	8-Jan	non-brg	4.0
	KLEINHEINZ CAP PART	031	NFX	B	92,000	53.30	n/a	n/a	4,600.00	5.0
	JP MORGAN VENTURES	046	NTRI	SS	10,000	26.93	n/a	n/a	500.00	5.0
	RAINIER INV MGMT	035	OSK	B	76,220	38.32	n/a	n/a	3,811.00	5.0
	ROSEDALE CAPITAL	046	PAG	B	25,000	16.53	n/a	4-Jan	1,250.00	5.0
B	BUCK CAPITAL MGMT		PFCB	SS	20,000	38.28	n/a	11-Jan	non-brg	4.0
f	DAVID GEORGE BUCK	FID	PFE	B	2000	19.32	n/a	n/a	0.00	0.0
	BRIGADE CAPITAL MGMT	029	PLCE	B	25,000	33.98	n/a	8-Jan	750.00	3.0
	METROPOLITAN CAPITAL	044	PLCE	B	11,000	33.98	n/a	8-Jan	550.00	5.0
	THE BOSTON COMPANY	039	PLCE	B	40,930	34.32	n/a	8-Jan	1,637.20	4.0
	CATAPULT	040	PPG	B	33,000	62.86	n/a	13-Jan	1,320.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		PSS	S	20,000	21.49	n/a	n/a	non-brg	4.0
NWQ INVESTMENT MGMT CO	048	RDEN	S	18,600	15.73	n/a	17-Dec	558.00	3.0
SAXON WOODS ADVISORS	242	RHB	B	15,000	33.99	n/a	n/a	600.00	4.0
BUCK CAPITAL MGMT	001	SKX	S	20,000	31.04	n/a	n/a	800.00	4.0
f KEVIN MICHAEL O'GORM	FID	SKX	S	1000	31.00	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SPY	C	4,450	114.94	n/a	n/a	non-brg	0.8
f MARC PAUL LUCHANSKY	FID	SPY	S	500	114.96	n/a	n/a	0.00	0.0
SCOPUS FUND	041	TIN	SS	10,000	19.73	n/a	7-Jan	500.00	5.0
f NEIL M STRATTON	FID	VJNMJ	B	1	0.90	n/a	n/a	0.00	0.0
f STRATTON PAR TNERSHI	FID	VJNMJ	B	1	0.90	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	V	B	25,800	87.18	n/a	5-Jan	774.00	3.0
THOMPSON SIEGAL&WALMSLEY	029	WCRX	S	29,700	28.60	n/a	13-Jan	594.00	2.0
BUCK CAPITAL MGMT	001	WRC	B	86,400	46.13	n/a	4-Jan	3,456.00	4.0
B BUCK CAPITAL MGMT		WRC	B	11,300	44.30	n/a	4-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		WRC	B	25,000	46.95	n/a	4-Jan	non-brg	0.8
B BUCK CAPITAL MGMT		WRC	B	8,600	46.84	n/a	4-Jan	non-brg	0.8
B BUCK CAPITAL MGMT		WRC	S	1,500	44.59	n/a	4-Jan	non-brg	4.0
KENNEDY CAPITAL	046	WRC	S	24,785	45.00	n/a	4-Jan	991.40	4.0

TOTAL (Trade Date):

105,887.93

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/13	DAVENPORT CAPITAL	070	F	B	10,000	11.92	n/a	6-Jan	600.00 6.0
AO,CXL	01/13	MKT MAKER	099	PBR	S	25,000	46.35	n/a	n/a	0.00 0.0
AO,CRT	01/13	RBC CAPITAL MARKETS	040	PBR	S	25,000	46.35	n/a	n/a	1000.00 4.0
TOTAL (AO, CXL, CRT) :										1,600.00

TOTAL (Trade Date) :	105,887.93
TOTAL (AO, CXL, CRT) :	1,600.00

TOTAL (RUN DATE) / NFS:	107,487.93
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MRI Securities with Trade Activity on 14-Jan.

DPZ

MRI Securities without Trade Activity on 14-Jan.

NONE

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

T-Date = 24%

YTD = 18%

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)