



Daily Compliance Activity Report

Trade Date: 01/14/2009

Potential ANALYST TRADE Violations: 0

BCM Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f JASON ERIC COHEN	FID	AAPL	B	15	85.69	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	AET	B	60,000	25.79	n/a	n/a	2,400.00	4.0
TRUSTCO/SUNTRUST	040	ALV	B	18,200	19.82	26-Nov	16-Dec	637.00	3.5
f JOHN CAREY MAGUIRE	FID	ASCA	B	1000	7.46	n/a	11-Nov	0.00	0.0
SCOPUS FUND	041	AVY	SS	9,000	29.72	6-Jan	6-Jan	450.00	5.0
CATAPULT	040	AXYS	B	9,000	44.30	n/a	n/a	450.00	5.0
TRELLUS PARTNERS LP	028	AYI	SS	26,100	29.30	n/a	n/a	1,305.00	5.0
f JOHN CAREY MAGUIRE	FID	BAC	B	800	10.29	23-Dec	14-Jan	0.00	0.0
B BUCK CAPITAL MGMT		BARE	S	25,000	4.81	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		BARE	S	25,000	4.88	n/a	n/a	non-brg	2.0
SERENGETI MGMT	030	BBT	B	100,000	21.46	n/a	n/a	5,000.00	5.0
B BUCK CAPITAL MGMT		BBY	C	318,900	26.06	n/a	27-Jul	non-brg	4.0
f JONATHAN RICHARD HAR	FID	BGZ	B	10	69.35	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT	001	BJ	SS	150,000	30.72	n/a	27-Jul	6,000.00	4.0
B BUCK CAPITAL MGMT	001	BKE	S	50,000	21.12	n/a	n/a	2,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	BLL	SS	34,684	38.76	n/a	n/a	1,734.20	5.0
B BUCK CAPITAL MGMT		BWA	SS	25,000	19.34	16-Dec	12-Jan	non-brg	4.0
COUGAR TRADING	044	BWA	SS	5,000	19.47	16-Dec	12-Jan	250.00	5.0
HOLDEN CAPITAL MGMT	035	BWA	SS	12,800	20.01	16-Dec	12-Jan	640.00	5.0
LOCUS WOOD CAPITAL MGMT	044	BWA	SS	20,000	19.79	16-Dec	12-Jan	800.00	4.0
NWQ INVESTMENT MGMT CO	048	CASY	B	39,400	21.82	n/a	n/a	1,182.00	3.0
ENDEAVOUR CAPITAL	035	CB	B	30,300	43.03	n/a	n/a	1,515.00	5.0
B BUCK CAPITAL MGMT		CCL	SS	100,000	21.53	n/a	26-Jan	non-brg	4.0
ROSEDALE CAPITAL	046	CMI	B	10,000	24.64	14-Nov	11-Dec	500.00	5.0
CATAPULT	040	CMTL	B	7,535	41.06	n/a	n/a	376.75	5.0
PNC/MERCANTILE	028	CMTL	B	18,000	41.05	n/a	n/a	900.00	5.0
B BUCK CAPITAL MGMT		COH	SS	100,000	16.24	9-Jan	9-Jan	non-brg	4.0
f JOEL GIFFORD TISS	FID	CVGI	B	20000	1.25	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	C	B	20000	4.63	15-Sep	14-Jan	0.00	0.0
B BUCK CAPITAL MGMT		DAI	SS	50,000	32.76	n/a	n/a	non-brg	4.0
POST ROAD CAP	045	DCP	S	3,800	15.40	n/a	n/a	114.00	3.0
B BUCK CAPITAL MGMT		DECK	S	50,000	60.28	n/a	n/a	non-brg	1.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		DECK	S	500	60.71	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		DECK	S	56,900	60.26	n/a	n/a	non-brg	4.0
WEISS PECK	040	DHI	S	49,800	6.55	n/a	n/a	1,992.00	4.0
BUCK CAPITAL MGMT	001	DIS	SS	100,000	20.73	n/a	n/a	4,000.00	4.0
BASIX	033	DRI	B	10,000	24.46	19-Dec	8-Jan	300.00	3.0
FIRST NY SEC/CHRIS	041	EV	SS	5,000	18.11	9-Jan	12-Jan	300.00	6.0
HOLDEN CAPITAL MGMT	035	EV	SS	800	18.52	9-Jan	12-Jan	40.00	5.0
⚡ EDWARD W WHEELER	FID	EXHEX	S	40	3.50	n/a	n/a	0.00	0.0
CUMBERLAND	038	EXH	B	2,000	21.86	n/a	16-Dec	80.00	4.0
TRELLUS PARTNERS LP	028	FDO	SS	28,800	27.43	7-Jan	7-Jan	1,440.00	5.0
⚡ BUCK CAPITAL MGMT		FOSL	S	50,000	13.12	10-Nov	12-Dec	non-brg	4.0
⚡ BUCK CAPITAL MGMT		FRT	SS	33,500	52.11	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		FUA+BC[FOSL]	SS	2,000	0.61	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT	001	GES	S	145,000	15.01	n/a	n/a	5,800.00	4.0
⚡ BUCK CAPITAL MGMT		GES	S	55,000	15.02	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		GIL	B	115,200	11.06	11-Dec	12-Dec	non-brg	4.0
⚡ BUCK CAPITAL MGMT		GIL	B	16,400	11.10	11-Dec	12-Dec	non-brg	1.0
⚡ BUCK CAPITAL MGMT		GIL	B	25,000	11.02	11-Dec	12-Dec	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		GIL	B	400	10.98	11-Dec	12-Dec	non-brg	1.0
BUCK CAPITAL MGMT		GIL	B	75,000	11.03	11-Dec	12-Dec	non-brg	4.0
SIGMA CAPITAL ASSOCIATES	237	GMCR	SS	25,000	33.05	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT		GNTX	SS	40,000	8.31	23-Dec	12-Jan	non-brg	3.0
HARALAMBOS EFSTATHI	FID	GR	S	500	38.20	23-Oct	9-Dec	0.00	0.0
BUCK CAPITAL MGMT		HOTT	SS	40,000	8.44	n/a	9-Jan	non-brg	3.0
BUCK CAPITAL MGMT		HOT	SS	100,000	17.08	n/a	n/a	non-brg	4.0
KLEINHEINZ CAP PART	031	HRB	B	50,000	20.65	n/a	n/a	2,500.00	5.0
PIONEER MICHAEL NOLAN	067	IMA	B	25,000	21.63	n/a	n/a	750.00	3.0
KEVIN MICHAEL O'GORM	FID	IVZ	S	1000	12.05	9-Jan	12-Jan	0.00	0.0
BUCK CAPITAL MGMT		JCG	B	120,000	9.19	n/a	9-Jan	non-brg	3.0
BUCK CAPITAL MGMT		JCG	B	50,000	9.39	n/a	9-Jan	non-brg	3.0
BUCK CAPITAL MGMT		JCG	B	50,000	9.49	n/a	9-Jan	non-brg	1.0
BUCK CAPITAL MGMT		JCG	B	92,800	9.34	n/a	9-Jan	non-brg	1.0
MILLENIUM KOZLOW	028	JCI	B	15,000	16.86	9-Jan	9-Jan	750.00	5.0
BUCK CAPITAL MGMT		JOSB	B	30,000	29.20	n/a	n/a	non-brg	4.0
THE BOSTON COMPANY	401	JOSB	S	1,900	29.33	n/a	n/a	76.00	4.0
BUCK CAPITAL MGMT	001	JWN	SS	8,200	12.30	9-Jan	9-Jan	328.00	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	FRANCIS MICHAEL MCCA	FID	JWN	B	100	12.07	9-Jan	9-Jan	0.00	0.0
	BUCK CAPITAL MGMT	001	KCP	B	13,300	6.05	n/a	28-Sep	399.00	3.0
ß	BUCK CAPITAL MGMT		KCP	B	16,200	5.77	n/a	28-Sep	non-brg	1.0
ß	BUCK CAPITAL MGMT		KCP	B	3,600	5.98	n/a	28-Sep	non-brg	1.0
ß	BUCK CAPITAL MGMT		KCP	B	50,000	5.92	n/a	28-Sep	non-brg	2.0
	SIGMA CAPITAL ASSOCIATES	237	LLY	SS	50,000	37.38	n/a	n/a	2,500.00	5.0
	FRONTPOINT CHRIS C	041	LNK	B	2,200	6.33	n/a	n/a	88.00	4.0
	BUCK CAPITAL MGMT	001	MAR	SS	100,000	17.45	n/a	n/a	4,000.00	4.0
ß	BUCK CAPITAL MGMT		MC FP	C	47,000	53.79	n/a	n/a	non-brg	10.8
ß	BUCK CAPITAL MGMT		MCD	S	150,000	57.55	13-Oct	8-Jan	non-brg	4.0
	AVESTA CAP	229	MET	S	15,000	27.00	n/a	n/a	750.00	5.0
	OSS CAPITAL/KEVIN DANN	067	MI	SS	500,000	10.92	n/a	n/a	15,000.00	3.0
	SIGMA CAPITAL ASSOCIATES	237	MW	B	25,000	12.31	n/a	n/a	1,250.00	5.0
	BALYASNY ASSET MGMT	044	M	B	45,000	9.62	12-Aug	9-Jan	1,800.00	4.0
ß	BUCK CAPITAL MGMT		M	S	100,000	9.60	12-Aug	9-Jan	non-brg	3.0
	MARINER/TRICADIA	041	NCX	SS	25,000	5.62	n/a	n/a	1,250.00	5.0
	CATAPULT	040	NOC	S	18,000	46.75	n/a	n/a	900.00	5.0
	BULL PATH CAPITAL	044	NYT	B	23,004	6.24	n/a	n/a	1,150.20	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	OI	B	34,746	23.05	n/a	n/a	1,737.30	5.0
SCOPUS FUND	041	PAG	SS	7,500	7.87	n/a	23-Dec	375.00	5.0
⚡ BUCK CAPITAL MGMT		PFCB	C	15,000	17.75	8-Jan	8-Jan	non-brg	4.0
⚡ BUCK CAPITAL MGMT		PFCB	SS	20,000	18.20	8-Jan	8-Jan	non-brg	4.0
BUCK CAPITAL MGMT	001	PVH	B	40,000	17.37	18-Dec	18-Dec	1,600.00	4.0
⚡ BUCK CAPITAL MGMT		PVH	B	48,900	17.41	18-Dec	18-Dec	non-brg	4.0
LEVIN CAPITAL STRATEGIES	012	PVH	S	25,000	17.47	18-Dec	18-Dec	750.00	3.0
⚡ BUCK CAPITAL MGMT		QUK+BM[DECK]	SS	1,000	4.41	n/a	n/a	non-brg	300.0
NWQ INVESTMENT MGMT CO	048	RDEN	B	34,758	11.38	7-Nov	7-Nov	1,042.74	3.0
⚡ BUCK CAPITAL MGMT		RL+PF[RL]	SS	1,000	1.75	n/a	n/a	non-brg	300.0
⚡ BUCK CAPITAL MGMT		RL+PG[RL]	SS	1,000	3.30	n/a	n/a	non-brg	300.0
⚡ BUCK CAPITAL MGMT		RL	C	50,000	39.32	n/a	6-Nov	non-brg	4.0
KLEINHEINZ CAP PART	031	SBUX	B	75,000	8.92	n/a	8-Jan	3,750.00	5.0
Ⓣ FRANCIS MICHAEL MCCA	FID	SDS	S	100	80.28	n/a	n/a	0.00	0.0
Ⓣ MARC PAUL LUCHANSKY	FID	SDS	B	2000	78.17	n/a	n/a	0.00	0.0
HOLDEN CAPITAL MGMT	035	SFSF	B	23,300	5.70	n/a	n/a	1,165.00	5.0
⚡ BUCK CAPITAL MGMT		SKF	S	24,300	137.04	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
B BUCK CAPITAL MGMT		SKX	S	25,000	9.84	n/a	13-Mar	non-brg 2.0
B BUCK CAPITAL MGMT		SPG	SS	41,100	43.04	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT	001	SSI	S	20,000	7.62	n/a	9-Jan	600.00 3.0
f WILLIAM J GAULT	FID	SSO	S	5000	23.36	n/a	n/a	0.00 0.0
KLEINHEINZ CAP PART	031	SWN	S	50,000	28.08	19-Dec	19-Dec	2,500.00 5.0
B BUCK CAPITAL MGMT		TCO	SS	84,200	20.47	n/a	n/a	non-brg 4.0
f FRANCIS MICHAEL MCCA	FID	TEX	B	100	14.90	23-Oct	23-Oct	0.00 0.0
NOMURA CAPITAL	045	TOL	B	10,000	18.71	n/a	n/a	500.00 5.0
f JONATHAN RICHARD HAR	FID	TZA	B	10	59.59	n/a	n/a	0.00 0.0
f HARALAMBOS EFSTATHI	FID	UFPI	S	500	22.98	n/a	n/a	0.00 0.0
f JONATHAN RICHARD HAR	FID	UQM	S	550	1.74	n/a	n/a	0.00 0.0
B BUCK CAPITAL MGMT		URBN	B	25,000	14.53	5-Nov	9-Jan	non-brg 1.0
B BUCK CAPITAL MGMT		URBN	B	95,000	14.65	5-Nov	9-Jan	non-brg 4.0
f JOHN FRANCIS MCERLEA	FID	USO	B	500	30.32	n/a	n/a	0.00 0.0
SERENGETI MGMT	030	VAL	B	150,000	17.83	n/a	n/a	7,500.00 5.0
B BUCK CAPITAL MGMT		VFC	B	50,000	52.05	n/a	n/a	non-brg 4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		VFC	C	100,000	50.47	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	WMS	SS	35,000	24.24	n/a	n/a	1,400.00	4.0
ß BUCK CAPITAL MGMT		WMS	SS	15,000	24.53	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT	001	WRC	B	20,000	16.71	7-Nov	7-Nov	800.00	4.0
ß BUCK CAPITAL MGMT		WRC	B	20,000	16.43	7-Nov	7-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		WRC	B	20,000	16.43	7-Nov	7-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		WRC	B	8,800	16.87	7-Nov	7-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		WRI	SS	107,700	16.16	n/a	n/a	non-brg	4.0
SCOPUS FUND	041	WSM	SS	12,500	7.62	n/a	n/a	625.00	5.0
ß BUCK CAPITAL MGMT		WYNN	SS	50,000	37.12	n/a	n/a	non-brg	4.0
KLEINHEINZ CAP PART	031	XOM	S	100,000	76.26	n/a	n/a	5,000.00	5.0
TOTAL (Trade Date):								104,292.19	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/13	TRELLUS PARTNERS LP	028	BWA	B	30,000	21.58	16-Dec	12-Jan	1500.00 5.0
AO,CRT	01/13	RAINIER INV MGMT	035	ENR	S	400	50.28	4-Nov	4-Nov	16.00 4.0
AO,CXL	01/13	RAINIER INV MGMT	035	ENR	S	400	50.28	4-Nov	4-Nov	16.00 4.0
AO,CRT	01/13	BUCK CAPITAL MGMT	001	JNY	S	30,000	4.68	n/a	13-Jan	600.00 2.0
AO,CXL	01/13	BUCK CAPITAL MGMT	001	JNY	S	30,000	4.68	n/a	13-Jan	900.00 3.0
AO,CXL	01/13	SCOPUS FUND	041	KMT	B	33,800	19.15	18-Sep	13-Jan	1690.00 5.0
AO,CRT	01/13	SCOPUS FUND	041	KMT	B	33,800	19.15	18-Sep	13-Jan	1690.00 5.0
AO,CXL	01/13	CRAMER ROSENTHAL/SCOTT	098	MAT	B	239,100	15.20	n/a	n/a	9564.00 4.0
AO,CRT	01/13	CRAMER ROSENTHAL/SCOTT	012	MAT	B	239,100	15.20	n/a	n/a	9564.00 4.0
AO,CXL	01/07	PROSPECTOR PARTNERS LLC	036	MWV	B	500	12.44	15-Dec	15-Dec	20.00 4.0
AO,CRT	01/07	PROSPECTOR PARTNERS LLC	036	MWV	B	500	12.44	15-Dec	15-Dec	20.00 4.0
AO,CRT	01/13	MAGNETAR FINANCIAL	031	PGN	S	5,900	38.01	n/a	n/a	177.00 3.0
AO,CXL	01/13	MAGNETAR FINANCIAL	031	PGN	S	5,900	38.01	n/a	n/a	295.00 5.0

TOTAL (AO, CXL, CRT) :**1,082.00**

TOTAL (Trade Date) :

104,292.19

TOTAL (AO, CXL, CRT) :

1,082.00

TOTAL (RUN DATE) / NFS:

105,374.19

MRI Securities with Trade Activity on 14-Jan.
NONE

MRI Securities without Trade Activity on 14-Jan.
BK, KEG, NTRS

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 20%
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

BCM Watch List Trades

f: Employee Trades (Fidelity)