



# Daily Compliance Activity Report

Trade Date: 10/05/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PILOT ROCK	028	ABX	B	100,000	37.10	n/a	n/a	4,000.00	4.0
EXIS CAPITAL	044	AEO	S	5,000	16.40	n/a	5-Oct	250.00	5.0
WEISS PECK	040	AEO	B	7,040	16.46	n/a	5-Oct	352.00	5.0
STRONG/MARK GRONET	030	AHPI	S	25,000	4.91	n/a	n/a	750.00	3.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>AMG</b>	<b>S</b>	<b>100</b>	<b>63.90</b>	<b>1-Oct</b>	<b>2-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>S</b>	<b>300,000</b>	<b>30.45</b>	<b>n/a</b>	<b>5-Oct</b>	<b>12,000.00</b>	<b>4.0</b>
EXIS CAPITAL	044	ANF	B	5,000	30.42	n/a	5-Oct	250.00	5.0
<b>f CHRISTOPHER ARTHUR K</b>	<b>FID</b>	<b>APP</b>	<b>B</b>	<b>1000</b>	<b>3.21</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
HOLLIS CAPITAL	033	AVAV	B	6,000	27.15	n/a	n/a	300.00	5.0
MERRILL ASSET/BLACKROCK	214	AVGO	B	19,300	16.26	n/a	n/a	868.50	4.5
CIRCLE T/SES PART	035	AXL	S	25,000	6.50	n/a	n/a	1,000.00	4.0
RBC CAPITAL MARKETS	040	AXL	S	25,000	6.64	n/a	n/a	1,000.00	4.0
EXIS CAPITAL	044	BBY	B	10,000	37.10	n/a	n/a	500.00	5.0
EXIS CAPITAL	044	BKE	B	2,500	33.20	n/a	n/a	125.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>BONT</b>	<b>B</b>	<b>60,000</b>	<b>6.83</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>BONT</b>	<b>B</b>	<b>200</b>	<b>6.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COOPER CREEK PART	028	BWS	B	1,700	8.04	n/a	n/a	51.00	3.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>CAH</b>	<b>S</b>	<b>5000</b>	<b>26.19</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WELLS/STRONG LEDDY	035	CBK	S	13,500	6.45	n/a	n/a	405.00	3.0
BARCLEYS CAP (OLD LEHM)	041	CBL	B	90,000	9.16	n/a	n/a	3,600.00	4.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>CHK</b>	<b>B</b>	<b>500</b>	<b>27.58</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WELLS/STRONG LEDDY	035	CHRS	S	2,600	4.95	n/a	n/a	78.00	3.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>COP</b>	<b>S</b>	<b>600</b>	<b>47.97</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WELLS/STRONG LEDDY	035	CTRN	S	10,200	28.35	n/a	n/a	408.00	4.0
WELLS/STRONG LEDDY	035	CWTR	S	24,700	8.35	n/a	n/a	741.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>DBRN</b>	<b>B</b>	<b>20,000</b>	<b>17.79</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DDS</b>	<b>SS</b>	<b>40,000</b>	<b>13.82</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DECK</b>	<b>B</b>	<b>35,000</b>	<b>79.71</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
PARTNER REINSURANCE	033	DISH	S	18,100	19.20	n/a	n/a	724.00	4.0
MATRIX ASSET ADV.	036	DNB	B	5,300	73.43	n/a	n/a	212.00	4.0
GREEN ARROW DOUG	040	DRI	SS	25,000	33.76	n/a	2-Oct	1,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		EAT	B	50,000	15.18	n/a	n/a	non-brg	4.0
NEUBERGER BERMAN	036	ECHO	S	75,000	14.00	n/a	n/a	3,375.00	4.5
SCOPUS FUND	041	EL	B	25,000	36.62	n/a	n/a	1,250.00	5.0
FIRST NEW YORK LEDDY	035	ETFC	B	20,000	1.74	n/a	n/a	1,200.00	6.0
f KAREN F LEDDY	FID	EV	B	500	28.05	n/a	2-Oct	0.00	0.0
f CHRISTOPHER ROBERT C	FID	FCPGX	S	94	11.56	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	FFEX	B	20000	2.89	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	FIG	S	1400	5.00	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	FII	B	199,400	25.84	n/a	2-Oct	5,982.00	3.0
HIGHBRIDGE CAP	041	FNF	B	35,972	15.71	n/a	n/a	1,438.88	4.0
f DAVID GEORGE BUCK	FID	FOLD	S	2600	5.72	n/a	n/a	0.00	0.0
f DOUGLAS ROGERS	FID	FSLXX	B	5938	1.00	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	F	B	1000	7.01	1-Oct	1-Oct	0.00	0.0
B BUCK CAPITAL MGMT		GIL	B	10,000	18.68	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	GME	B	20,000	25.69	n/a	n/a	800.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	GPS	B	30,000	21.15	n/a	n/a	1,500.00	5.0
HIGHBRIDGE CAP	041	GS	B	5,234	185.43	n/a	n/a	209.36	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>HOT</b>	<b>B</b>	<b>40,000</b>	<b>30.36</b>	<b>n/a</b>	<b>n/a</b>	<b>1,600.00</b>	<b>4.0</b>
BMO NESBITT BURNS	041	IP	B	25,000	21.64	2-Oct	2-Oct	1,250.00	5.0
STRONG/MARK GRONET	030	ITP	B	25,000	2.27	n/a	n/a	500.00	2.0
SANDLER O'NEILL ASSET	031	IVZ	B	24,900	22.81	n/a	2-Oct	1,245.00	5.0
<b>f JOHN MICHAEL ZOLIDIS</b>	<b>FID</b>	<b>JCG</b>	<b>S</b>	<b>300</b>	<b>34.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JWN</b>	<b>B</b>	<b>100,000</b>	<b>30.59</b>	<b>5-Oct</b>	<b>5-Oct</b>	<b>non-brg</b>	<b>4.0</b>
EXIS CAPITAL	044	JWN	S	5,000	30.84	5-Oct	5-Oct	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KCP</b>	<b>S</b>	<b>52,755</b>	<b>9.00</b>	<b>n/a</b>	<b>n/a</b>	<b>1,582.65</b>	<b>3.0</b>
EXIS CAPITAL	044	KSS	B	2,500	55.48	n/a	5-Oct	125.00	5.0
RBC CAPITAL MARKETS	040	KSS	SS	5,000	55.39	n/a	5-Oct	200.00	4.0
SCHOTTENFELD ASSOC	041	LMT	S	20,000	75.09	5-Oct [i]	5-Oct	600.00	3.0
DSM CAPITAL PARTNERS	032	MCD	B	6,700	56.95	n/a	2-Oct	335.00	5.0
SIGMA CAPITAL ASSOCIATES	041	MCD	SS	25,000	56.75	n/a	2-Oct	1,000.00	4.0
DIAMONDBACK CAP MGMT	232	MS	C	10,000	29.73	n/a	2-Oct	500.00	5.0
CHARTER OAK	033	MTW	S	100,000	9.19	n/a	n/a	4,000.00	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	CHRISTOPHER ARTHUR K	FID	MTW	S	1000	9.17	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		MVRX	SS	210,000	160.34	n/a	n/a	non-brg	16.0
	T. ROWE PRICE	033	MWV	S	44,100	22.24	n/a	n/a	1,764.00	4.0
f	DAVID GEORGE BUCK	FID	MYRX	B	2191	5.67	n/a	n/a	0.00	0.0
	BUCK CAPITAL MGMT	001	M	B	120,000	18.19	n/a	5-Oct	4,800.00	4.0
B	BUCK CAPITAL MGMT		M	B	50,000	18.13	n/a	5-Oct	non-brg	4.0
B	BUCK CAPITAL MGMT		M	B	50,000	18.17	n/a	5-Oct	non-brg	4.0
	EXIS CAPITAL	044	M	S	15,000	18.10	n/a	5-Oct	750.00	5.0
	UNITED STATES PENSION	032	NKE	B	50,000	62.69	n/a	n/a	2,500.00	5.0
	KLEINHEINZ CAP PART	031	NOK	B	200,000	14.13	n/a	n/a	10,000.00	5.0
	EXIS CAPITAL	044	NSC	B	30,000	43.92	n/a	n/a	1,500.00	5.0
	SANDLER O'NEILL ASSET	031	NTRS	B	24,900	56.69	n/a	n/a	1,245.00	5.0
	EXIS CAPITAL	044	NWY	S	16,000	4.86	n/a	n/a	800.00	5.0
	CATAPULT	040	NXV	SS	50,000	21.10	n/a	n/a	2,500.00	5.0
	STRONG/MARK GRONET	030	NYNY	S	20,000	2.80	n/a	n/a	400.00	2.0
	STELLIAM INV ADV	034	ORCL	B	25,000	20.21	n/a	n/a	1,250.00	5.0
	NEWLAND CAPITAL MGT	067	OSK	S	25,000	31.18	n/a	n/a	1,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STRONG/MARK GRONET	030	OUTD	S	15,000	6.63	n/a	n/a	450.00	3.0
KARSCH CAPITAL	034	PFE	B	600,000	16.34	n/a	n/a	18,000.00	3.0
JP MORGAN VENTURES	046	PG	B	10,000	56.13	n/a	n/a	500.00	5.0
<b>f JOHN MICHAEL ZOLIDIS</b>	<b>FID</b>	<b>PIR</b>	<b>B</b>	<b>2000</b>	<b>3.70</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
IRIDIAN ASSET MGMT.	036	PKG	B	105,330	19.79	2-Oct	2-Oct	5,266.50	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>PLCE</b>	<b>B</b>	<b>50,000</b>	<b>29.63</b>	<b>n/a</b>	<b>5-Oct</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PLCE</b>	<b>B</b>	<b>64,400</b>	<b>29.38</b>	<b>n/a</b>	<b>5-Oct</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PLCE</b>	<b>B</b>	<b>89,300</b>	<b>29.50</b>	<b>n/a</b>	<b>5-Oct</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PLCE</b>	<b>B</b>	<b>96,300</b>	<b>29.92</b>	<b>n/a</b>	<b>5-Oct</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PNRA</b>	<b>B</b>	<b>20,000</b>	<b>53.69</b>	<b>n/a</b>	<b>2-Oct</b>	<b>non-brg</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>B</b>	<b>10,000</b>	<b>41.57</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
EXIS CAPITAL	044	PVH	SS	2,500	41.85	n/a	n/a	125.00	5.0
<b>f NANCY KARP</b>	<b>FID</b>	<b>REV</b>	<b>S</b>	<b>50</b>	<b>4.94</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
KLEINHEINZ CAP PART	031	RJET	B	30,000	8.58	n/a	n/a	1,500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>SBUX</b>	<b>C</b>	<b>100,000</b>	<b>20.00</b>	<b>n/a</b>	<b>2-Oct</b>	<b>non-brg</b>	<b>4.0</b>
GREEN ARROW DOUG	040	SKS	S	25,000	6.42	n/a	n/a	1,250.00	5.0
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>SLM</b>	<b>S</b>	<b>1500</b>	<b>8.39</b>	<b>n/a</b>	<b>1-Oct</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CUMBERLAND	038	SMH	B	25,000	24.55	n/a	n/a	1,000.00	4.0
HIGHBRIDGE CAP	041	SPG	S	8,327	67.75	n/a	n/a	333.08	4.0
HIGHBRIDGE CAP	041	STLD	B	11,178	15.01	n/a	n/a	447.12	4.0
HIGHBRIDGE CAP	041	STT	B	10,280	52.10	n/a	n/a	411.20	4.0
RBC CAPITAL MARKETS	040	TGT	B	5,000	46.66	n/a	n/a	200.00	4.0
STRONG/MARK GRONET	030	TIER	S	17,000	8.65	n/a	n/a	510.00	3.0
NEWCASTLE FUNDS	255	TIN	B	45,000	16.64	2-Oct	2-Oct	1,800.00	4.0
AVESTA CAP	229	TJX	S	50,000	37.18	n/a	5-Oct	2,000.00	4.0
BUCK CAPITAL MGMT	001	TLB	B	50,000	9.02	n/a	n/a	1,500.00	3.0
B BUCK CAPITAL MGMT		URBN	B	30,000	29.95	n/a	n/a	non-brg	4.0
HIGHBRIDGE CAP	041	USB	B	58,798	21.58	n/a	n/a	2,351.92	4.0
HIGHBRIDGE CAP	041	VNO	S	9,252	62.06	n/a	n/a	370.08	4.0
f DAVID GEORGE BUCK	FID	VQRWF	S	10	0.75	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	WRC	B	10,000	42.17	2-Oct	2-Oct	400.00	4.0
SCHOTTENFELD ASSOC	041	WY	B	25,000	35.34	n/a	n/a	750.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		XRT	C	1,000,000	33.61	n/a	n/a	non-brg	1.0
HIGHBRIDGE CAP	041	X	SS	18,299	42.15	n/a	n/a	731.96	4.0
NEWLAND CAPITAL MGT	067	ZOLT	B	25,000	10.26	n/a	n/a	1,000.00	4.0
<b>TOTAL (Trade Date):</b>							<b>127,613.25</b>		



**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/02	ROTHSCHILD ASSET	040	DLX	B	26,723	16.28	n/a	n/a	1202.60 4.5
AO,CRT	10/01	BUCK CAPITAL MGMT	001	NKE	SS	150,000	63.70	n/a	n/a	6000.00 4.0
AO,CXL	10/01	BUCK CAPITAL MGMT	001	NKE	SS	150,000	63.70	n/a	n/a	6000.00 4.0
AO,CXL	10/02	SCHOTTENFELD ASSOC	041	TIN	S	10,000	16.13	2-Oct	2-Oct	300.00 3.0
AO,CRT	10/02	SCHOTTENFELD ASSOC	041	TIN	S	10,000	16.13	2-Oct	2-Oct	400.00 4.0

---

<b>TOTAL (AO, CXL, CRT) :</b>	<b>1,302.60</b>
-------------------------------	-----------------

---

---

TOTAL (Trade Date) :	127,613.25
TOTAL (AO, CXL, CRT) :	1,302.60

---

<b>TOTAL (RUN DATE) / NFS:</b>	<b>128,915.85</b>
--------------------------------	-------------------

---

MRI Securities with Trade Activity on 5-Oct. JWN, LMT
--

MRI Securities without Trade Activity on 5-Oct. AXP, CEPH, CME, CPKI, FDO, NOC, SHPGY
--

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

T-Date = 25%
YTD = 21%

**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)**