



Daily Compliance Activity Report

Trade Date: 07/29/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f JOHN BARTMAN COLE	FID	AA	S	200	10.95	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	ACL	B	4,000	128.80	16-Jul	27-Jul	200.00	5.0
SIGMA CAPITAL ASSOCIATES	041	AEO	S	25,000	14.40	25-Jun	10-Jul	1,000.00	4.0
f FRANCIS MICHAEL MCCA	FID	ALV	S	300	32.77	10-Jun	22-Jul	0.00	0.0
BUCK CAPITAL MGMT	001	ANF	B	20,000	28.40	3-Jun	10-Jul	800.00	4.0
ROYCE TRADING	216	AOS	B	32,000	39.13	17-Jul	17-Jul	1,600.00	5.0
f KEVIN MICHAEL O'GORM	FID	AUTH	B	2000	2.38	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	AVMHJ	B	10	2.05	n/a	n/a	0.00	0.0
ROCKEFELLER & CO.	045	AVY	B	350,000	29.61	28-Apr	9-Jul	10,500.00	3.0
MILLENNIUM-ANDEW	031	AXE	S	15,000	33.21	28-Jul	28-Jul	900.00	6.0
FIRST NY SEC/CHRIS	041	AXL	B	25,000	1.53	n/a	9-Jul	1,000.00	4.0
LAGRANGE CAP ADV	048	AXL	S	30,000	1.96	n/a	9-Jul	900.00	3.0
SCHOTTENFELD ASSOC	041	AXL	B	50,000	1.69	n/a	9-Jul	1,500.00	3.0
BUCK CAPITAL MGMT	001	BBY	SS	50,000	37.17	n/a	27-Jul	2,000.00	4.0
PATTEN & PATTEN	067	BBY	B	150	36.95	n/a	27-Jul	7.50	5.0
PATTEN & PATTEN	067	BDX	B	12,350	73.73	n/a	22-Apr	617.50	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Ⓕ BUCK CAPITAL MGMT		BEBE	B	20,000	6.68	n/a	n/a	non-brg	1.0
Ⓕ EDWARD W WHEELER	FID	BQI	S	5000	0.85	n/a	n/a	0.00	0.0
CAVU CAP ADV	028	BWA	B	2,100	34.64	10-Jun	16-Jul	105.00	5.0
HUNTER GLOBAL INVESTOR	067	BWA	S	75,000	32.81	10-Jun	16-Jul	3,750.00	5.0
SCOPUS FUND	041	BWA	B	10,000	34.80	10-Jun	16-Jul	500.00	5.0
PATTEN & PATTEN	067	CGW	B	29,200	16.19	n/a	n/a	1,460.00	5.0
PATTEN & PATTEN	067	CL	S	4,200	75.49	8-Jun	8-Jun	210.00	5.0
Ⓕ BUCK CAPITAL MGMT		CMG	C	9,900	96.80	23-Jul	23-Jul	non-brg	4.0
BUCK CAPITAL MGMT	001	COH	S	160,000	28.75	n/a	29-Jul	6,400.00	4.0
Ⓕ BUCK CAPITAL MGMT		COH	S	30,000	28.91	n/a	29-Jul	non-brg	2.0
Ⓕ BUCK CAPITAL MGMT		COLM	SS	5,000	37.59	n/a	n/a	non-brg	2.0
Ⓕ BUCK CAPITAL MGMT		COLM	SS	5,000	37.84	n/a	n/a	non-brg	1.0
Ⓕ ALEXANDRA ELISE ZOLI	FID	CRI	S	170	27.97	n/a	n/a	0.00	0.0
Ⓕ BUCK CAPITAL MGMT		CRI	S	10,000	27.75	n/a	n/a	non-brg	4.0
Ⓕ BUCK CAPITAL MGMT		CRI	S	10,000	27.94	n/a	n/a	non-brg	1.0
Ⓕ BUCK CAPITAL MGMT		CRI	S	15,000	27.91	n/a	n/a	non-brg	1.0
Ⓕ BUCK CAPITAL MGMT		CRI	S	55,000	27.62	n/a	n/a	non-brg	2.0
PATTEN & PATTEN	067	CTXS	S	2,000	35.77	n/a	n/a	100.00	5.0
MARINER/TRICADIA	041	CXW	B	100,000	17.29	n/a	n/a	5,000.00	5.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B	BUCK CAPITAL MGMT		DAI	C	37,900	44.26	n/a	n/a	non-brg	4.0
	STRONG/MARK GRONET	030	DAL	B	25,000	6.69	n/a	n/a	750.00	3.0
f	STRATTON PAR TNERSHI	FID	DDE	S	300	5.75	n/a	n/a	0.00	0.0
	PATTEN & PATTEN	067	DNN	S	1,000	1.64	n/a	n/a	50.00	5.0
	PATTEN & PATTEN	067	DOV	S	6,500	33.26	n/a	n/a	325.00	5.0
	PATTEN & PATTEN	067	DOW	B	500	20.21	n/a	19-Jun	25.00	5.0
	NEUBERGER BERMAN	036	DWA	B	78,000	30.36	n/a	n/a	3,510.00	4.5
f	NICOLAS EVAN PAKLER	FID	DXO	S	650	4.20	n/a	n/a	0.00	0.0
	PATTEN & PATTEN	067	D	B	200	33.75	n/a	n/a	10.00	5.0
	PATTEN & PATTEN	067	ECL	B	100	40.94	28-Jul	28-Jul	5.00	5.0
	CASTLE ARK	031	EMR	S	73,100	36.03	n/a	n/a	4,386.00	6.0
f	NEIL M STRATTON	FID	ENPT	B	4000	2.44	n/a	n/a	0.00	0.0
	PATTEN & PATTEN	067	EPP	S	900	34.15	n/a	n/a	45.00	5.0
	HIGHBRIDGE CAPITAL	038	EQIX	SS	3,000	78.35	n/a	n/a	120.00	4.0
	FIRST NEW YORK LEDDY	035	ETFC	S	10,000	1.45	n/a	n/a	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	EWC	B	1,375	23.11	n/a	n/a	68.75	5.0
PATTEN & PATTEN	067	EWG	S	2,500	19.57	n/a	n/a	125.00	5.0
f ALICE BEEBE LONGLEY	FID	FCX	B	200	55.65	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	FHN	B	2,000	12.53	n/a	n/a	100.00	5.0
HIGHFIELDS CAP MGMT	039	FITB	S	200,000	8.94	n/a	n/a	6,000.00	3.0
SASCO	038	FL	S	98,450	11.27	27-Apr	26-Jun	3,938.00	4.0
SADC	038	FL	S	1,550	11.27	27-Apr	26-Jun	62.00	4.0
f EDWARD W WHEELER	FID	FOR	S	5000	12.89	29-Jun	20-Jul	0.00	0.0
B BUCK CAPITAL MGMT		FOSL	S	10,000	25.60	n/a	30-Jan	non-brg	2.5
B BUCK CAPITAL MGMT		FOSL	S	20,000	25.82	n/a	30-Jan	non-brg	2.5
f MANNY I KORMAN	FID	FSIXX	S	52109	1.00	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	F	SS	50,000	7.31	n/a	29-Jul	2,500.00	5.0
HARVEST MGMT	039	F	B	103,000	7.25	n/a	29-Jul	3,090.00	3.0
B BUCK CAPITAL MGMT	001	GCO	S	43,800	20.23	n/a	10-Jan	1,752.00	4.0
B BUCK CAPITAL MGMT		GCO	S	25,000	20.25	n/a	10-Jan	non-brg	1.0
B BUCK CAPITAL MGMT		GCO	S	25,000	20.34	n/a	10-Jan	non-brg	2.0
B BUCK CAPITAL MGMT		GCO	S	3,300	20.37	n/a	10-Jan	non-brg	1.0
B BUCK CAPITAL MGMT	001	GES	S	20,000	28.65	n/a	n/a	800.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COOPER CREEK PART	028	GPI	SS	5,000	27.39	n/a	29-Jul	200.00	4.0
f JOHN BARTMAN COLE	FID	GPX	B	6042	1.90	n/a	n/a	0.00	0.0
f ALICE BEEBE LONGLEY	FID	HAP	B	350	28.68	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	HAR	S	400	23.10	10-Jun	16-Jun	0.00	0.0
NUMERIC	060	HAS	B	133,200	26.18	n/a	n/a	3,996.00	3.0
PATTEN & PATTEN	067	HD	S	250	25.39	12-May	20-May	12.50	5.0
B BUCK CAPITAL MGMT		HLF	B	40,000	32.09	n/a	n/a	non-brg	4.0
CAVU CAP ADV	028	HPQ	B	20,000	41.91	n/a	n/a	1,000.00	5.0
BASIX	033	HSC	SS	19,000	29.58	29-Jul	29-Jul	570.00	3.0
PATTEN & PATTEN	067	IAT	S	1,000	18.34	n/a	n/a	50.00	5.0
PATTEN & PATTEN	067	IJH	B	800	61.86	n/a	n/a	40.00	5.0
PATTEN & PATTEN	067	IJR	B	400	48.09	n/a	n/a	20.00	5.0
PATTEN & PATTEN	067	ILF	B	200	36.53	n/a	n/a	10.00	5.0
HOLLIS CAPITAL	033	IRM	B	4,000	31.73	n/a	n/a	200.00	5.0
PATTEN & PATTEN	067	IXP	S	775	49.84	n/a	n/a	38.75	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	IYW	B	400	48.13	n/a	n/a	20.00	5.0
PATTEN & PATTEN	067	JAVA	S	15,000	9.14	n/a	n/a	750.00	5.0
f KEVIN MICHAEL O'GORM	FID	JJC	S	400	34.30	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	JWN	S	56,000	25.37	20-Feb	10-Jul	2,800.00	5.0
PATTEN & PATTEN	067	KMB	B	1,175	58.34	27-Jul	27-Jul	58.75	5.0
MACKLOWE ASSET MGMT	041	KR	B	125,000	21.10	n/a	n/a	5,000.00	4.0
PATTEN & PATTEN	067	LAZ	S	3,500	34.99	n/a	21-Jul	175.00	5.0
f KEVIN MICHAEL O'GORM	FID	LMI	S	1000	30.48	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	LMI	S	2000	30.40	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	LNCR	B	5000	26.27	n/a	21-Jul	0.00	0.0
f JOHN BARTMAN COLE	FID	LNET	S	1000	4.36	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	LQD	B	200	102.12	n/a	n/a	10.00	5.0
PATTEN & PATTEN	067	MBI	S	1,000	4.14	n/a	n/a	50.00	5.0
f KAREN F LEDDY	FID	MGA	S	500	47.79	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	214	MIC	S	50,000	3.55	n/a	n/a	2,250.00	4.5
B BUCK CAPITAL MGMT		MNRO	B	10,000	26.02	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	MOO	S	500	36.87	n/a	n/a	25.00	5.0
f JOHN BARTMAN COLE	FID	MOVE	S	1000	2.63	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	MS	B	3,400	26.69	11-May	23-Jul	170.00	5.0
B BUCK CAPITAL MGMT		MVRX	C	500,000	140.69	n/a	n/a	non-brg	14.1
CRAMER ROSENTHAL/SCOTT	012	MWV	B	178,700	19.74	n/a	29-Jul	7,148.00	4.0
NEW JERSEY DIV OF INV.	030	MWV	S	250,000	19.75	n/a	29-Jul	10,000.00	4.0
WASHINGTON ASSET	048	MWV	B	8,000	19.72	n/a	29-Jul	400.00	5.0
BARCLEYS CAP (OLD LEHM)	041	M	B	50,000	13.31	n/a	10-Jul	2,000.00	4.0
B BUCK CAPITAL MGMT		NTY	B	10,000	35.21	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		NTY	B	30,000	35.07	n/a	n/a	non-brg	4.0
APEX CAPITAL MGMT.	091	NVDA	S	184,000	12.77	n/a	n/a	7,360.00	4.0
PATTEN & PATTEN	067	NVS	S	1,960	43.50	n/a	n/a	98.00	5.0
B BUCK CAPITAL MGMT		NWY	B	20,000	3.35	30-Jan	30-Jan	non-brg	3.0
TRUST CO OF THE WEST/NY	040	ONNN	B	100,190	7.32	n/a	n/a	4,007.60	4.0
TRUST CO/COWEN/CALF.	040	ONNN	B	44,700	7.32	n/a	n/a	1,788.00	4.0
PATTEN & PATTEN	067	ORCL	B	500	21.93	n/a	n/a	25.00	5.0
PATTEN & PATTEN	067	OXY	S	4,700	69.16	n/a	n/a	235.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COOPER CREEK PART	028	PAG	SS	10,000	19.21	n/a	16-Jul	400.00	4.0
PERMIAN/BAYPIONT	028	PAG	SS	60,000	19.21	n/a	16-Jul	2,400.00	4.0
PATTEN & PATTEN	067	PBW	S	3,000	10.41	n/a	n/a	150.00	5.0
B BUCK CAPITAL MGMT		PENN	C	30,000	30.68	n/a	n/a	non-brg	1.0
PATTEN & PATTEN	067	PGN	B	100	39.07	n/a	n/a	5.00	5.0
PATTEN & PATTEN	067	PG	S	900	55.78	5-Jun	5-Jun	45.00	5.0
PATTEN & PATTEN	067	PHO	B	30,200	15.43	n/a	n/a	1,510.00	5.0
MERRILL ASSET/BLACKROCK	214	PLCE	B	25,200	28.95	19-Mar	10-Jul	1,134.00	4.5
B BUCK CAPITAL MGMT		PSS	S	13,084	15.89	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	PVH	S	20,000	34.88	28-Jul	28-Jul	800.00	4.0
PATTEN & PATTEN	067	PX	B	200	73.56	5-Jun	29-Jul	10.00	5.0
NEUBERGER BERMAN	036	RCL	S	310,600	14.65	22-Apr	24-Apr	13,977.00	4.5
BUCK CAPITAL MGMT	001	SKX	S	40,000	13.71	n/a	13-Mar	1,600.00	4.0
NEWCASTLE FUNDS	255	SMG	S	18,500	40.66	30-Jul	9-Jul	740.00	4.0
SIGMA CAPITAL ASSOCIATES	041	SPLS	B	25,000	20.98	n/a	27-Jul	1,000.00	4.0
f ANTHONY NG	FID	S	B	100	4.03	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JOHN MICHAEL ZOLIDIS	FID	TBL	B	800	12.75	n/a	13-Mar	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	TBL	S	800	14.27	n/a	13-Mar	0.00	0.0
Õ Ted Wheeler		TENNECO	S	400	850.25	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	214	TEX	B	8,000	14.22	n/a	24-Jul	360.00	4.5
B BUCK CAPITAL MGMT		TXRH	SS	50,000	10.90	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	067	T	S	2,000	25.90	n/a	4-Jan	100.00	5.0
f JONATHAN RICHARD HAR	FID	UNG	B	315	12.60	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	UTX	S	1,000	53.23	n/a	n/a	50.00	5.0
B BUCK CAPITAL MGMT		WBC	S	20,000	18.78	29-Jul	29-Jul	non-brg	4.0
PATTEN & PATTEN	067	WFC	S	597	24.43	n/a	n/a	29.85	5.0
TRELLUS PARTNERS LP	028	WY	SS	30,000	34.62	n/a	20-Jul	1,500.00	5.0
B BUCK CAPITAL MGMT		XRT	SS	2,350,000	29.78	n/a	n/a	non-brg	1.0
PATTEN & PATTEN	067	X	B	100	38.18	n/a	n/a	5.00	5.0
f JOSEPH CIRO AMATURO	FID	YHOO	B	6000	15.34	n/a	n/a	0.00	0.0
JMP ASSET MGMT	210	ZAGG	S	8,000	6.73	n/a	n/a	320.00	4.0

TOTAL (Trade Date):

143,355.20

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,	07/28	KARSCH CAPITAL	034	BMJ	B	150,000	21.16	n/a	n/a 4500.00 3.0
TOTAL (AO, CXL, CRT) :									4,500.00

TOTAL (Trade Date):	143,355.20
TOTAL (AO, CXL, CRT):	4,500.00

TOTAL (RUN DATE) / NFS:	147,855.20
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MRI Securities with Trade Activity on 29-Jul.
HSC, WBC

MRI Securities without Trade Activity on 29-Jul.
ENR, TEVA, UA, WDR

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 12%
YTD = 20%

<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)