



Daily Compliance Activity Report

Trade Date: 11/30/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f MATTHEW FRANCIS BUCK	FID	ABT	B	200	54.45	n/a	n/a	0.00	0.0
EXIS CAPITAL	044	AEO	S	10,000	15.30	n/a	25-Nov	500.00	5.0
MACKLOWE ASSET MGMT	041	AEO	S	55,000	15.33	n/a	25-Nov	2,200.00	4.0
BAIRD INVESTMENT	047	AGN	B	1,200	58.01	n/a	30-Nov	60.00	5.0
BAIRD INVESTMENT	047	AKAM	S	367	23.58	n/a	n/a	18.35	5.0
BAIRD INVESTMENT	047	ALTR	S	464	20.79	n/a	n/a	23.20	5.0
SANDLER O'NEILL ASSET	031	AMG	B	10,000	64.65	n/a	24-Nov	500.00	5.0
RBC CAPITAL MARKETS	040	AMR	B	50,000	5.87	n/a	n/a	2,000.00	4.0
CADIAN CAPITAL	067	ANF	B	75,000	40.11	n/a	16-Nov	3,000.00	4.0
LEVIN CAPITAL STRATEGIES	012	ANN	C	25,000	14.26	n/a	n/a	1,000.00	4.0
JP MORGAN VENTURES	046	ANR	S	50,000	37.02	n/a	n/a	2,500.00	5.0
BAIRD INVESTMENT	047	ARG	S	182	46.20	n/a	29-Oct	9.10	5.0
BAIRD INVESTMENT	047	ATR	S	398	35.55	n/a	n/a	19.90	5.0
f ANDREW SINCLAIR	FID	AZWAO	B	100	0.24	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	047	BAX	B	1,700	54.74	n/a	n/a	85.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		BEBE	S	10,000	5.35	n/a	n/a	non-brg	3.0
WELLS/STRONG LEDDY	035	BEBE	S	5,500	5.42	n/a	n/a	165.00	3.0
PAW PARTNERS	045	BECN	SS	10,000	15.33	n/a	n/a	500.00	5.0
f JOSEPH CIRO AMATURO	FID	BGU	B	5000	48.38	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	BGU	S	10000	49.10	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BIG	S	130,000	23.62	n/a	6-Nov	non-brg	4.0
SIGMA CAPITAL ASSOCIATES	041	BKE	SS	25,000	27.24	n/a	n/a	1,000.00	4.0
JP MORGAN VENTURES	046	BMJ	S	6,600	25.41	n/a	n/a	330.00	5.0
BAIRD INVESTMENT	047	BSX	B	11,025	8.31	n/a	n/a	551.25	5.0
TRELLUS PARTNERS LP	028	BWA	B	29,000	29.99	n/a	9-Nov	1,450.00	5.0
BAIRD INVESTMENT	047	BWLD	S	207	39.70	n/a	n/a	10.35	5.0
B BUCK CAPITAL MGMT		BYI	S	20,000	41.27	n/a	n/a	non-brg	4.0
AVESTA CAP	229	CAL	B	200,000	14.23	n/a	n/a	8,000.00	4.0
BAIRD INVESTMENT	047	CAM	S	267	37.44	n/a	n/a	13.35	5.0
f RAGHAV NAYAR	FID	CGYV	S	1000	1.10	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	047	CHD	S	157	59.00	n/a	4-Nov	7.85	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WELLS/STRONG LEDDY	035	CHRS	S	16,800	4.75	n/a	n/a	504.00	3.0
B BUCK CAPITAL MGMT		COCO	C	77,445	14.79	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		COCO	C	90,000	14.73	n/a	n/a	non-brg	0.8
BUCK CAPITAL MGMT	001	COH	B	10,000	34.79	n/a	21-Oct	400.00	4.0
WELLS/STRONG LEDDY	035	COLB	S	1,000	14.31	n/a	n/a	40.00	4.0
MORTAR ROCK	033	COV	S	5,000	46.71	n/a	n/a	200.00	4.0
CASTLEROCK	040	CRK	B	51,394	38.07	n/a	n/a	2,055.76	4.0
BAIRD INVESTMENT	047	CRM	S	142	62.08	n/a	n/a	7.10	5.0
WELLS/STRONG LEDDY	035	CTRN	S	2,200	27.00	n/a	n/a	88.00	4.0
WAGONHOUND/NIC	048	CVGI	B	990	5.28	n/a	n/a	29.70	3.0
BUCK CAPITAL MGMT	001	CVS	S	50,000	31.00	n/a	n/a	2,000.00	4.0
WELLS/STRONG LEDDY	035	CWTR	S	9,300	4.31	n/a	n/a	279.00	3.0
f ALANA J A MADIGAN-SI	FID	C	B	500	4.08	n/a	24-Nov	0.00	0.0
B BUCK CAPITAL MGMT		DBRN	S	70,000	21.21	n/a	n/a	non-brg	4.0
LEVIN CAPITAL STRATEGIES	012	DCP	B	25,000	14.20	n/a	n/a	1,000.00	4.0
AVESTA CAP	229	DD	B	100,000	34.41	n/a	5-Nov	4,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JP MORGAN VENTURES	046	DELL	S	2,700	14.19	n/a	n/a	135.00	5.0
BAIRD INVESTMENT	047	DLB	S	210	44.34	n/a	n/a	10.50	5.0
OVERLAND PARK CAP	041	EAT	S	32,100	13.73	n/a	n/a	1,284.00	4.0
BAIRD INVESTMENT	047	ECL	S	203	44.48	n/a	27-Oct	10.15	5.0
f MATTHEW FRANCIS BUCK	FID	EFA	B	200	55.19	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	047	ESRX	B	1,025	85.41	n/a	n/a	51.25	5.0
BAIRD INVESTMENT	047	EV	S	285	29.32	n/a	24-Nov	14.25	5.0
CUMBERLAND	239	EXH	B	2,000	21.00	n/a	2-Nov	80.00	4.0
BAIRD INVESTMENT	047	FFIV	S	248	47.04	n/a	n/a	12.40	5.0
f JOSEPH CIRO AMATURO	FID	FOR	B	5000	18.26	n/a	5-Nov	0.00	0.0
JP MORGAN VENTURES	046	FRX	S	6,400	30.56	n/a	30-Nov	320.00	5.0
NEUBERGER BERMAN	036	FR	S	97,300	4.37	n/a	n/a	1,946.00	2.0
B BUCK CAPITAL MGMT		FUQI	B	20,000	21.40	n/a	n/a	non-brg	4.0
TRELLUS PARTNERS LP	028	F	B	50,000	8.77	n/a	30-Nov	2,500.00	5.0
BUCK CAPITAL MGMT	001	GCO	S	9,200	26.16	n/a	n/a	368.00	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
B	BUCK CAPITAL MGMT		GCO	S	40,800	26.15	n/a	n/a	non-brg 0.8
	BAIRD INVESTMENT	047	GDP	S	367	22.37	n/a	n/a	18.35 5.0
	BAIRD INVESTMENT	047	GILD	B	2,250	46.07	n/a	n/a	112.50 5.0
	BUCK CAPITAL MGMT	001	GME	S	30,000	24.30	n/a	n/a	1,200.00 4.0
	BAIRD INVESTMENT	047	GPX	S	169	50.88	n/a	n/a	8.45 5.0
	LEVEL GLOBAL SHARED ACCT	257	GPS	S	100,000	21.72	n/a	n/a	3,000.00 3.0
B	BUCK CAPITAL MGMT		GYMB	S	40,000	39.47	n/a	19-Nov	non-brg 4.0
B	BUCK CAPITAL MGMT		HBI	S	30,000	23.82	n/a	n/a	non-brg 4.0
	FARALLON CAP MGMT	040	HD	B	185,000	26.99	n/a	18-Nov	7,400.00 4.0
	WELLS/STRONG LEDDY	035	HELE	S	1,400	20.21	n/a	n/a	56.00 4.0
	MORTAR ROCK	033	HOLX	B	25,000	14.45	n/a	n/a	1,000.00 4.0
	BAIRD INVESTMENT	047	HSC	S	365	30.77	n/a	23-Nov	18.25 5.0
	BAIRD INVESTMENT	047	ICLR	S	449	22.50	n/a	n/a	22.45 5.0
B	BUCK CAPITAL MGMT		ICON	S	40,000	11.14	n/a	n/a	non-brg 4.0
f	STRATTON PAR TNERSHI	FID	IRDM	B	400	8.15	n/a	n/a	0.00 0.0
f	MATTHEW FRANCIS BUCK	FID	IWP	B	500	42.61	n/a	n/a	0.00 0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
THE JAY GOLDMAN	028	JCP	B	20,000	28.88	n/a	16-Nov	800.00	4.0
B BUCK CAPITAL MGMT		JOSB	B	10,000	40.94	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		JWN	S	50,000	33.19	n/a	13-Nov	non-brg	4.0
BAIRD INVESTMENT	047	LAMR	S	470	27.35	n/a	n/a	23.50	5.0
BAIRD INVESTMENT	047	LIFE	S	156	49.57	n/a	n/a	7.80	5.0
BAIRD INVESTMENT	047	LKQX	S	556	17.08	n/a	n/a	27.80	5.0
B BUCK CAPITAL MGMT		LL	S	10,000	23.47	n/a	n/a	non-brg	4.0
PHILADELPHIA FINANCIAL	033	LM	C	15,000	28.07	n/a	17-Nov	600.00	4.0
MACKLOWE ASSET MGMT	041	LOW	S	75,000	21.72	n/a	16-Nov	3,000.00	4.0
BALYASNY ASSET MGMT	044	LTD	B	50,000	16.52	n/a	n/a	2,500.00	5.0
BAIRD INVESTMENT	047	MDAS	S	724	22.70	n/a	n/a	36.20	5.0
f MATTHEW FRANCIS BUCK	FID	MDY	S	400	123.73	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		MFB	S	30,000	14.27	n/a	n/a	non-brg	4.0
PZENA INV ADV	044	MSFT	S	102,175	29.26	n/a	n/a	3,576.18	3.5
f NEIL M STRATTON	FID	MXM	B	50	9.50	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	STRATTON PAR TNERSHI	FID	MXM	B	249	9.36	n/a	n/a	0.00	0.0
	COLUMBUS CIRCLE	036	MYGN	S	4,673	23.36	n/a	n/a	186.92	4.0
	BUCK CAPITAL MGMT	001	M	S	500,000	16.38	n/a	12-Nov	20,000.00	4.0
	EXIS CAPITAL	044	M	S	15,000	16.35	n/a	12-Nov	750.00	5.0
	KACELA CAPITAL	034	M	SS	50,000	16.01	n/a	12-Nov	2,000.00	4.0
	LEVIN CAPITAL STRATEGIES	012	M	C	20,000	16.77	n/a	12-Nov	800.00	4.0
	MILLENIUM PARTNERS	028	M	S	100,000	16.03	n/a	12-Nov	4,000.00	4.0
B	BUCK CAPITAL MGMT		NTY	S	10,000	39.69	n/a	n/a	non-brg	4.0
f	DAVID GEORGE BUCK	FID	NVN	B	1500	13.12	n/a	n/a	0.00	0.0
	BUCK CAPITAL MGMT	001	NWY	S	10,000	3.86	n/a	n/a	300.00	3.0
	WELLS/STRONG LEDDY	035	NWY	S	19,200	3.79	n/a	n/a	576.00	3.0
	BAIRD INVESTMENT	047	OII	S	202	54.06	n/a	n/a	10.10	5.0
	BAIRD INVESTMENT	047	PAYX	S	1,138	31.13	n/a	n/a	56.90	5.0
B	BUCK CAPITAL MGMT		PLCE	S	10,000	31.38	n/a	19-Nov	non-brg	4.0
B	BUCK CAPITAL MGMT		PNRA	S	20,000	63.02	n/a	18-Nov	non-brg	4.0
	BUCK CAPITAL MGMT	001	PVH	S	20,000	40.30	n/a	20-Nov	800.00	4.0
	BUCK CAPITAL MGMT	001	RL	S	10,000	76.40	n/a	4-Nov	400.00	4.0
	BAIRD INVESTMENT	047	ROP	S	200	51.47	n/a	n/a	10.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		RYF	SS	125,000	22.30	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT	001	SKX	S	20,000	22.30	n/a	n/a	800.00	4.0
MORTAR ROCK	033	S	S	50,000	3.70	n/a	n/a	2,000.00	4.0
LEVEL GLOBAL SHARED ACCT	257	TGT	B	100,000	47.04	n/a	18-Nov	3,000.00	3.0
RBC CAPITAL MARKETS	040	TGT	B	125,000	46.54	n/a	18-Nov	5,000.00	4.0
BUCK CAPITAL MGMT	001	TIF	S	50,000	42.12	n/a	n/a	2,000.00	4.0
ELM RIDGE ADVISORS	044	TIN	S	4,900	17.85	n/a	22-Oct	196.00	4.0
TRELLUS PARTNERS LP	044	TIN	S	20,000	17.80	n/a	22-Oct	1,000.00	5.0
BUCK CAPITAL MGMT	001	TJX	S	20,000	38.35	n/a	18-Nov	800.00	4.0
f JOHN BARTMAN COLE	FID	TMBCF	S	10000	0.89	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	047	TMO	B	1,425	47.11	n/a	n/a	71.25	5.0
LISTED ERR	099	TMO	B	25	47.11	n/a	n/a	0.00	0.0
LISTED ERR	099	TMO	S	25	47.15	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	047	TSCO	S	242	46.01	n/a	n/a	12.10	5.0
f ANDREW SINCLAIR	FID	UNEAP	S	50	0.02	n/a	n/a	0.00	0.0
f ANDREW SINCLAIR	FID	UNEAP	S	75	0.02	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	047	URBN	S	251	30.86	n/a	n/a	12.55	5.0
BAIRD INVESTMENT	047	VSEA	S	318	29.22	n/a	n/a	15.90	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BAIRD INVESTMENT	047	WAB	S	236	38.27	n/a	n/a	11.80	5.0
B BUCK CAPITAL MGMT		WRC	S	20,000	40.43	n/a	5-Nov	non-brg	4.0
WELLS/STRONG LEDDY	035	WTSIA	S	6,700	2.89	n/a	n/a	134.00	2.0
COHE & STEERS	091	WY	B	120,295	37.95	n/a	2-Nov	4,811.80	4.0
T. ROWE PRICE	033	WY	B	59,000	38.36	n/a	2-Nov	2,360.00	4.0
B BUCK CAPITAL MGMT		XRT	SS	460,000	34.50	n/a	n/a	non-brg	2.0
TOTAL (Trade Date):							116,801.26		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	11/27	BUCK CAPITAL MGMT	001	BYI	B	15,000	42.37	n/a	n/a	600.00 4.0
AO,CXL	11/27	BUCK CAPITAL MGMT	001	BYI	B	10,000	42.55	n/a	n/a	400.00 4.0
AO,CXL	11/25	COOPER CREEK PART	028	GYMB	B	13,400	41.04	n/a	19-Nov	670.00 5.0
AO,CRT	11/25	COOPER CREEK PART	028	GYMB	B	13,400	41.04	n/a	19-Nov	536.00 4.0
AO,	11/27	DAVIDSON KEMPNER ADVISOR	040	IEO	SS	4,000	50.22	n/a	n/a	200.00 5.0
AO,CXL	11/27	BERMAN CAPITAL MGMT	046	SPY	S	20,000	109.84	n/a	n/a	600.00 3.0
AO,CRT	11/27	BERMAN CAPITAL MGMT	046	SPY	S	30,000	109.84	n/a	n/a	900.00 3.0
TOTAL (AO, CXL, CRT) :										566.00

TOTAL (Trade Date):	116,801.26
TOTAL (AO, CXL, CRT):	566.00

TOTAL (RUN DATE) / NFS:	117,367.26
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MRI Securities with Trade Activity on 30-Nov. NONE

MRI Securities without Trade Activity on 30-Nov. WBC

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

T-Date = 44%

YTD = 19%

<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)