



# Daily Compliance Activity Report

Trade Date: 01/05/2009

Potential ANALYST TRADE Violations: 0

BCM Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AVESTA CAP	229	ANF	B	20,000	24.65	7-Aug	12-Dec	1,000.00	5.0
COUGAR TRADING	044	ANF	B	5,000	23.89	7-Aug	12-Dec	250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>ARO</b>	<b>B</b>	<b>300,000</b>	<b>18.48</b>	<b>n/a</b>	<b>12-Dec</b>	<b>non-brg</b>	<b>2.0</b>
f MARK MEGALLI	FID	ARO	B	3000	18.37	n/a	12-Dec	0.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>BBY</b>	<b>SS</b>	<b>20,000</b>	<b>30.14</b>	<b>n/a</b>	<b>27-Jul</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BHQ+NX [BBBY]</b>	<b>SS</b>	<b>1,000</b>	<b>1.07</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>300.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BHQ+QW [BBBY]</b>	<b>SS</b>	<b>1,000</b>	<b>0.93</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>100.0</b>
JMP ASSET MGMT	210	BKC	S	4,600	23.45	27-Oct	3-Nov	230.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BKS</b>	<b>SS</b>	<b>40,000</b>	<b>16.99</b>	<b>n/a</b>	<b>n/a</b>	<b>1,600.00</b>	<b>4.0</b>
RBC CAPITAL MARKETS	034	BKS	SS	10,000	16.66	n/a	n/a	400.00	4.0
POST ROAD CAP	045	BWA	SS	16,000	23.74	16-Dec	16-Dec	480.00	3.0
TRELLUS PARTNERS LP	028	BWA	SS	10,000	23.98	16-Dec	16-Dec	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>CEC</b>	<b>C</b>	<b>40,000</b>	<b>25.02</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
THE BOSTON COMPANY	401	CHS	S	117,650	3.82	5-Dec	12-Dec	1,764.75	1.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>SS</b>	<b>20,000</b>	<b>21.50</b>	<b>18-Dec</b>	<b>18-Dec</b>	<b>800.00</b>	<b>4.0</b>
JMP ASSET MGMT	210	DKS	S	7,500	14.87	7-Oct	12-Dec	375.00	5.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	EDWARD W WHEELER	FID	DOW	B	3000	15.13	n/a	30-Dec	0.00	0.0
	JMP ASSET MGMT	210	DPZ	B	12,100	5.12	n/a	24-Apr	484.00	4.0
B	BUCK CAPITAL MGMT		FDO+PD[FDO]	SS	2,000	1.16	n/a	n/a	non-brg	100.0
	BALYASNY ASSET MGMT	044	FII	B	30,000	17.73	13-Nov	5-Jan	1,500.00	5.0
	ROARING BLUE LION MGMT	012	FII	B	19,000	18.17	13-Nov	5-Jan	760.00	4.0
B	BUCK CAPITAL MGMT		FMQ+NW[WFMI]	SS	1,500	0.37	n/a	n/a	non-brg	100.0
B	BUCK CAPITAL MGMT		FOSL	B	40,000	17.32	10-Nov	12-Dec	non-brg	4.0
B	BUCK CAPITAL MGMT		FOSL	B	50,000	17.30	10-Nov	12-Dec	non-brg	1.0
B	BUCK CAPITAL MGMT		FOSL	B	50,000	17.34	10-Nov	12-Dec	non-brg	4.0
	JMP ASSET MGMT	210	GES	B	7,000	16.01	n/a	n/a	350.00	5.0
	JMP ASSET MGMT	210	HE	SS	2,500	22.08	n/a	n/a	125.00	5.0
	LAGRANGE CAP ADV	048	IGT	S	10,000	13.40	n/a	31-Oct	500.00	5.0
	SANDLER O'NEILL ASSET	031	IVZ	B	35,000	14.56	13-Nov	5-Jan	1,750.00	5.0
f	DAVID GEORGE BUCK	FID	IWF	B	2000	38.26	n/a	n/a	0.00	0.0
f	DAVID GEORGE BUCK	FID	IWO	S	2000	51.89	n/a	n/a	0.00	0.0
	BUCK CAPITAL MGMT	001	JCG	S	30,000	12.69	n/a	12-Dec	1,200.00	4.0
	COUGAR TRADING	044	JCP	B	10,000	21.31	17-Nov	12-Dec	500.00	5.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
	RBC CAPITAL MARKETS	034	JCP	B	10,000	21.50	17-Nov	12-Dec	400.00	4.0
	BALYASNY ASSET MGMT	044	JWN	S	25,000	15.21	14-Nov	12-Dec	1,250.00	5.0
	<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JWN</b>	<b>B</b>	<b>70,000</b>	<b>15.04</b>	<b>14-Nov</b>	<b>12-Dec</b>	<b>2,800.00</b>	<b>4.0</b>
	RBC CAPITAL MARKETS	034	JWN	B	10,000	15.21	14-Nov	12-Dec	400.00	4.0
	<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KSS</b>	<b>B</b>	<b>40,000</b>	<b>37.67</b>	<b>n/a</b>	<b>12-Dec</b>	<b>1,600.00</b>	<b>4.0</b>
	RBC CAPITAL MARKETS	034	KSS	B	5,000	37.46	n/a	12-Dec	200.00	4.0
	BARROW HANLEY MEWHINNEY	031	LM	B	33,300	23.53	29-Oct	5-Jan	1,332.00	4.0
	BRENCOURT	028	MGA	SS	25,000	31.57	n/a	n/a	1,250.00	5.0
f	DAVID GEORGE BUCK	FID	MONPM	S	10	5.53	n/a	n/a	0.00	0.0
f	JONATHAN RICHARD HAR	FID	NFJ	B	175	13.95	n/a	n/a	0.00	0.0
	TRELLUS PARTNERS LP	028	PAG	SS	10,000	8.79	n/a	23-Dec	300.00	3.0
f	MARK ANTHONY GRONET	FID	PWE	B	1000	12.86	n/a	n/a	0.00	0.0
	PRINCIPLE CAPITAL	040	RBA	B	40,600	21.46	n/a	n/a	1,218.00	3.0
	<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>B</b>	<b>65,000</b>	<b>46.78</b>	<b>n/a</b>	<b>6-Nov</b>	<b>2,600.00</b>	<b>4.0</b>
	JMP ASSET MGMT	210	SBUX	B	5,500	9.92	5-Jan[i]	5-Jan	220.00	4.0
f	JONATHAN RICHARD HAR	FID	SLV	B	220	11.10	n/a	n/a	0.00	0.0
f	DAVID GEORGE BUCK	FID	SZCND	S	10	1.56	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f	EDWARD W WHEELER	FID	TBT	S	5000	41.57	n/a	n/a	0.00	0.0
	TRELLUS PARTNERS LP	028	TGT	SS	15,000	36.11	17-Nov	22-Dec	750.00	5.0
	BALYASNY ASSET MGMT	044	WDR	S	30,000	17.01	15-Jul	5-Jan	1,500.00	5.0
B	BUCK CAPITAL MGMT		WMT+BL[WMT]	SS	3,000	1.27	n/a	n/a	non-brg	300.0
	SIGMA CAPITAL ASSOCIATES	237	ZLC	SS	25,000	4.70	n/a	n/a	1,250.00	5.0
B	BUCK CAPITAL MGMT		ZVZZT	S	104	77.00	n/a	n/a	non-brg	4.0
<b>TOTAL (Trade Date):</b>									<b>31,638.75</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/02	WAGONHOUND/NIC	048	AMG	S	1,986	43.52	13-Nov	5-Jan	79.44 4.0
AO,	01/02	BARON ASSET MGMT*	012	JCG	B	80,045	13.16	n/a	12-Dec	3201.80 4.0
AO,CRT	12/30	SAXON WOODS ADVISORS	038	SJM	S	36,700	42.99	n/a	n/a	1468.00 4.0
AO,CXL	12/30	SAXON WOODS ADVISORS	038	SJM	S	36,700	42.99	n/a	n/a	1468.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>3,281.24</b>

TOTAL (Trade Date) :	31,638.75
TOTAL (AO, CXL, CRT) :	3,281.24

<b>TOTAL (RUN DATE) / NFS:</b>	<b>34,919.99</b>
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MRI Securities with Trade Activity on 5-Jan.  
**SBUX**

MRI Securities without Trade Activity on 5-Jan.  
**ADM, AGN, ENDP**

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 39%  
YTD = 19%



**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)**