



Daily Compliance Activity Report

Trade Date: 07/08/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		AAPL	B	21,250	135.60	n/a	n/a	non-brg	0.5
BUCK CAPITAL MGMT		AAPL	S	21,250	135.60	n/a	n/a	non-brg	0.5
KAYNE ANDERSON ADV	048	ABAX	B	6,265	19.20	n/a	n/a	250.60	4.0
JOHN GRASSANO	FID	AB	B	100	18.29	5-Jun	8-Jul	0.00	0.0
AVESTA CAP	229	ADM	SS	100,000	26.40	1-Jun	1-Jun	4,000.00	4.0
BUCK CAPITAL MGMT		ADM	B	1,200	26.46	1-Jun	1-Jun	non-brg	4.0
BUCK CAPITAL MGMT		AEO	B	28,950	12.94	25-Jun	6-Jul	non-brg	0.5
BUCK CAPITAL MGMT		AEO	S	28,950	12.94	25-Jun	6-Jul	non-brg	0.5
BUCK CAPITAL MGMT		AGCO	B	1,000	25.16	29-Jun	29-Jun	non-brg	4.0
JOSEPH CIRO AMATURO	FID	AMAG	S	2000	48.58	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		AMT	B	1,000	30.05	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		AMT	B	31,783	30.10	n/a	n/a	non-brg	0.5
BUCK CAPITAL MGMT		AMT	S	31,783	30.10	n/a	n/a	non-brg	0.5
BUCK CAPITAL MGMT		ANF	C	50,000	23.96	3-Jun	6-Jul	non-brg	4.0
SYSTEMATIC FINANCIAL MGT	035	AN	B	43,475	16.45	10-Jun	10-Jun	1,521.63	3.5
BUCK CAPITAL MGMT		APC	B	700	40.51	n/a	1-Jul	non-brg	4.0
BUCK CAPITAL MGMT		ARG	B	700	37.26	23-Mar	7-Jul	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROTHSCHILD ASSET	040	ARO	S	8,148	33.10	n/a	6-Jul	366.68	4.5
COUGAR TRADING	044	AXL	S	25,000	2.09	n/a	7-Jul	750.00	3.0
f JOHN BARTMAN COLE	FID	AXL	B	1000	1.92	n/a	7-Jul	0.00	0.0
f JOHN PATRICK DAVEY	FID	AXL	B	6000	2.01	n/a	7-Jul	0.00	0.0
LAGRANGE CAP ADV	048	AXL	B	40,000	1.91	n/a	7-Jul	2,000.00	5.0
Õ Ted Wheeler		AXL	B	100	787.50	n/a	7-Jul	0.00	0.0
ß BUCK CAPITAL MGMT		BAC	B	86,872	11.59	11-May	30-Jun	non-brg	4.0
f HARALAMBOS EFSTATHI	FID	BAC	B	700	11.60	11-May	30-Jun	0.00	0.0
f JOSEPH CIRO AMATURO	FID	BAC	S	10000	11.45	11-May	30-Jun	0.00	0.0
ROTHSCHILD ASSET	040	BCO	S	9,450	27.85	n/a	n/a	425.25	4.5
ß BUCK CAPITAL MGMT		BHI	B	600	33.32	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	BIG	B	20,000	20.43	28-May	6-Jul	800.00	4.0
ß BUCK CAPITAL MGMT		BK	B	900	27.05	11-May	30-Jun	non-brg	4.0
FORD FDN.	032	BMY	B	45,000	19.69	n/a	n/a	2,250.00	5.0
f JONATHAN RICHARD HAR	FID	BONT	B	400	2.50	6-Feb	6-Feb	0.00	0.0
f DAVID GEORGE BUCK	FID	CAH	S	2000	29.76	n/a	n/a	0.00	0.0
RAMIUS CAP	040	CBT	B	50,000	12.43	n/a	22-Jun	2,000.00	4.0
ß BUCK CAPITAL MGMT		CCL	SS	40,000	24.28	n/a	26-Jan	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JOHN BARTMAN COLE	FID	CKGT	S	1000	0.75	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	CMCO	B	5000	11.46	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		COH	B	50,000	24.13	n/a	22-Apr	non-brg	4.0
B BUCK CAPITAL MGMT		COLM	C	4,700	29.98	n/a	n/a	non-brg	1.0
RBC CAPITAL MARKETS	040	COST	B	30,000	45.30	n/a	27-Jul	1,200.00	4.0
f MANNY I KORMAN	FID	CPRE	S	1000	14.57	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	CRM	B	3000	36.56	n/a	n/a	0.00	0.0
KAYNE ANDERSON ADV	048	CRR	B	17,200	32.17	1-May	1-Jul	688.00	4.0
f JONATHAN RICHARD HAR	FID	CVGI	S	3150	1.26	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		CWTR	B	5,300	5.56	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		C	B	386,101	2.60	n/a	30-Jun	non-brg	1.0
NEWCASTLE FUNDS	255	DAI	C	29,400	33.17	n/a	n/a	1,176.00	4.0
JMP ASSET MGMT	210	DAR	SS	10,000	6.30	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		DDS	SS	50,000	8.01	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		DFS	B	25,000	9.47	n/a	8-Jul	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROTHSCHILD ASSET	040	DLM	B	16,770	9.27	n/a	n/a	754.65	4.5
Ⓕ BUCK CAPITAL MGMT		DOW	B	1,700	14.56	n/a	19-Jun	non-brg	4.0
DECADE CAPITAL PARTNERS	040	DPS	S	44,800	22.25	n/a	n/a	2,240.00	5.0
Ⓕ BUCK CAPITAL MGMT		DPZ	B	3,100	7.50	n/a	24-Apr	non-brg	3.0
Ⓕ JOHN PATRICK DAVEY	FID	DXO	S	3000	3.51	n/a	n/a	0.00	0.0
Ⓕ BUCK CAPITAL MGMT		EAT	SS	30,000	16.04	n/a	24-Apr	non-brg	4.0
FIRST NEW YORK LEDDY	035	ETFC	B	20,000	1.17	n/a	n/a	1,200.00	6.0
RBC CAPITAL MARKETS	040	FDO	S	30,000	30.91	n/a	8-Jul	1,200.00	4.0
Ⓕ BUCK CAPITAL MGMT		FINL	S	20,000	7.06	n/a	28-Mar	non-brg	3.0
MERRILL ASSET/BLACKROCK	214	FL	B	17,400	9.64	27-Apr	26-Jun	783.00	4.5
Ⓕ BUCK CAPITAL MGMT		FOSL	S	30,000	21.24	n/a	30-Jan	non-brg	4.0
COUGAR TRADING	044	FOSL	S	15,000	21.56	n/a	30-Jan	750.00	5.0
Ⓕ JOHN MICHAEL ZOLIDIS	FID	FOSL	B	500	21.62	n/a	30-Jan	0.00	0.0
Ⓕ BUCK CAPITAL MGMT		GIII	B	282,489	10.40	n/a	n/a	non-brg	0.5
Ⓕ BUCK CAPITAL MGMT		GIII	S	282,489	10.40	n/a	n/a	non-brg	0.5
FORD FDN.	032	GILD	B	55,000	45.18	n/a	n/a	2,750.00	5.0
Ⓕ BUCK CAPITAL MGMT		GLW	B	71,900	14.03	30-Jun	30-Jun	non-brg	0.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		GLW	S	71,900	14.03	30-Jun	30-Jun	non-brg	0.5
ß BUCK CAPITAL MGMT		GRMN	SS	30,000	22.49	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GS	B	14,700	135.87	11-May	19-Jun	non-brg	1.0
ß BUCK CAPITAL MGMT		GS	B	7,338	136.49	11-May	19-Jun	non-brg	4.0
BUCK CAPITAL MGMT	001	HBI	B	20,000	13.84	n/a	n/a	800.00	4.0
JP MORGAN VENTURES	046	HD	B	50,000	22.49	12-May	20-May	2,500.00	5.0
ß BUCK CAPITAL MGMT		HGG	B	20,000	15.50	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		HOG	SS	40,000	15.22	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		ICON	B	41,700	14.69	n/a	n/a	non-brg	0.5
ß BUCK CAPITAL MGMT		ICON	S	41,700	14.70	n/a	n/a	non-brg	0.5
ß BUCK CAPITAL MGMT		IFF	B	300	31.24	21-Jan	2-Jul	non-brg	4.0
ß BUCK CAPITAL MGMT		IJR	C	26,100	41.86	n/a	n/a	non-brg	0.5
ß BUCK CAPITAL MGMT		IJR	SS	26,100	41.86	n/a	n/a	non-brg	0.5
ß BUCK CAPITAL MGMT		IJS	C	25,000	44.52	n/a	n/a	non-brg	0.5
ß BUCK CAPITAL MGMT		IJS	SS	25,000	44.52	n/a	n/a	non-brg	0.5
ß BUCK CAPITAL MGMT		INFO	C	3,610	0.08	n/a	n/a	non-brg	0.5
MILLENIUUM PARTNERS	028	IP	B	50,000	14.18	23-Jun	23-Jun	2,000.00	4.0
ß BUCK CAPITAL MGMT		IVZ	B	102,300	15.80	5-Jun	8-Jul	non-brg	0.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		IVZ	S	102,300	15.80	5-Jun	8-Jul	non-brg	0.5
UBS OCONNOR	031	IVZ	S	87,100	16.27	5-Jun	8-Jul	2,613.00	3.0
⌘ BUCK CAPITAL MGMT		IWM	C	27,100	47.59	n/a	n/a	non-brg	0.5
⌘ BUCK CAPITAL MGMT		IWM	SS	27,100	47.59	n/a	n/a	non-brg	0.5
⌘ BUCK CAPITAL MGMT		IWO	C	1,800	52.95	n/a	n/a	non-brg	0.5
⌘ BUCK CAPITAL MGMT		IWO	SS	1,800	52.95	n/a	n/a	non-brg	0.5
BUCK CAPITAL MGMT	001	JCG	B	30,000	24.37	n/a	30-Jan	1,200.00	4.0
BUCK CAPITAL MGMT	001	JCP	B	30,000	27.52	13-Apr	6-Jul	1,200.00	4.0
BALYASNY ASSET MGMT	044	JNS	B	50,000	9.87	5-May	8-Jul	2,000.00	4.0
BUCK CAPITAL MGMT	001	JNY	S	20,000	9.55	n/a	30-Apr	600.00	3.0
⌘ BUCK CAPITAL MGMT		JOSB	B	20,000	32.12	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		KEG	B	5,100	4.84	n/a	1-Jul	non-brg	3.0
BUCK CAPITAL MGMT	001	KSS	B	40,000	43.10	8-May	6-Jul	1,600.00	4.0
COUGAR TRADING	044	KSS	S	5,000	42.72	8-May	6-Jul	250.00	5.0
PHILADELPHIA FINANCIAL	033	LAZ	SS	31,430	26.19	n/a	17-Jun	1,257.20	4.0
⌘ BUCK CAPITAL MGMT		LVS	B	100,000	6.53	n/a	8-Jul	non-brg	3.0
⌘ BUCK CAPITAL MGMT		LVS	B	25,000	6.51	n/a	8-Jul	non-brg	3.0
EPOCH INV MGMT	030	MA	B	1,700	163.11	n/a	8-Jul	68.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		MCD	B	400	56.76	n/a	11-Jun	non-brg	4.0
DAVID GEORGE BUCK	FID	MCKWB	B	15	0.57	n/a	n/a	0.00	0.0
DAVID GEORGE BUCK	FID	MCKWH	S	15	2.17	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		MDY	C	4,700	98.84	n/a	n/a	non-brg	0.5
BUCK CAPITAL MGMT		MDY	SS	4,700	98.84	n/a	n/a	non-brg	0.5
KARSCH CAPITAL	034	MF	S	584,402	4.96	n/a	n/a	17,532.06	3.0
BUCK CAPITAL MGMT		MS	B	39,589	25.31	11-May	1-Jul	non-brg	4.0
MARK MEGALLI	FID	NDN	B	2000	13.57	n/a	6-Jul	0.00	0.0
EDWARD W WHEELER	FID	NLCIW	B	50	0.70	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	PSS	S	30,000	12.91	n/a	n/a	1,200.00	4.0
FRONTPOINT/COPIA-ANDREW	031	PXP	B	34,400	24.07	n/a	n/a	1,376.00	4.0
FIRST NEW YORK NICK	029	Q	B	10,000	3.68	n/a	n/a	500.00	5.0
JONATHAN RICHARD HAR	FID	RAD	S	3300	1.28	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		SBAC	B	1,100	22.30	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		SBAC	B	30,200	22.50	n/a	n/a	non-brg	0.5
BUCK CAPITAL MGMT		SBAC	S	30,200	22.50	n/a	n/a	non-brg	0.5
BUCK CAPITAL MGMT		SBUX	SS	70,000	12.87	20-Apr	30-Apr	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JASON ERIC COHEN	FID	SDS	S	15	60.83	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SIAL	B	500	46.38	2-Jun	2-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		SKS	B	100,000	4.72	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		SLM	B	6,800	8.48	23-Apr	8-Jul	non-brg	3.0
f JOSEPH CIRO AMATURO	FID	SLW	S	2000	7.26	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	STI	S	2500	15.22	n/a	n/a	0.00	0.0
MELLON/BANK OF NEW YORK	046	SWN	S	60,304	34.99	27-Feb	1-Jul	3,015.20	5.0
DECADE CAPITAL PARTNERS	040	TAP	B	23,400	42.61	n/a	n/a	1,170.00	5.0
ROTHSCHILD ASSET	040	TDW	S	8,749	41.26	n/a	n/a	393.72	4.5
f HARALAMBOS EFSTATHI	FID	TGT	B	200	36.82	25-Feb	6-Jul	0.00	0.0
TRUST CO/COWEN/CALF.	040	THC	S	588,670	3.06	n/a	5-May	17,660.10	3.0
B BUCK CAPITAL MGMT		TIN	B	30,000	11.35	5-Jun	5-Jun	non-brg	1.0
CIRCLE T/SES PART	035	TM	B	10,000	73.61	n/a	n/a	400.00	4.0
f MARK MEGALLI	FID	TUP	B	3000	25.58	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		TWTC	B	3,200	8.62	n/a	4-Jan	non-brg	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JONATHAN RICHARD HAR	FID	TZA	B	210	27.58	n/a	n/a	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	UAJE	B	6	0.85	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		URBN	B	23,300	19.64	n/a	30-Jan	non-brg	0.5
ß BUCK CAPITAL MGMT		URBN	S	23,300	19.64	n/a	30-Jan	non-brg	0.5
ß BUCK CAPITAL MGMT		URBN	S	7,939	19.51	n/a	30-Jan	non-brg	1.0
f MANNY I KORMAN	FID	URBN	S	3000	19.56	n/a	30-Jan	0.00	0.0
MERRILL ASSET/BLACKROCK	214	URBN	B	27,000	19.48	n/a	30-Jan	1,215.00	4.5
SIGMA CAPITAL ASSOCIATES	041	URBN	SS	25,000	19.53	n/a	30-Jan	1,000.00	4.0
CONIFER/ISF	025	VMW	B	10,000	26.04	n/a	n/a	500.00	5.0
SAXON WOODS ADVISORS	038	WAG	B	10,000	29.50	n/a	n/a	400.00	4.0
ß BUCK CAPITAL MGMT		WBC	B	4,400	16.43	n/a	27-Apr	non-brg	4.0
PZENA INV ADV	044	WEC	B	4,500	41.49	n/a	n/a	157.50	3.5
ß BUCK CAPITAL MGMT		WRC	B	3,400	30.86	13-May	13-May	non-brg	0.5
ß BUCK CAPITAL MGMT		WRC	S	3,400	30.86	13-May	13-May	non-brg	0.5
ß BUCK CAPITAL MGMT		WSO	SS	20,000	45.42	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		WSO	SS	25,000	45.84	n/a	n/a	non-brg	2.0
MILLENIUM PARTNERS	028	XLE	B	25,000	44.29	n/a	n/a	1,000.00	4.0
ß BUCK CAPITAL MGMT		XLF	SS	368,500	10.86	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		XLF	SS	728,598	10.97	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
8 BUCK CAPITAL MGMT		XRT	SS	100,000	26.17	n/a	n/a	non-brg 1.0
8 BUCK CAPITAL MGMT		XRT	SS	300,000	26.33	n/a	n/a	non-brg 1.0
TOTAL (Trade Date) :								91,113.59

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/06	HIGHBRIDGE/MS OLDS	041	AEO	B	50,000	13.20	25-Jun	6-Jul	2500.00 5.0
AO,CRT	07/06	HIGHBRIDGE/MS OLDS	041	AEO	B	50,000	13.20	25-Jun	6-Jul	2000.00 4.0
AO,CRT	07/06	HIGHBRIDGE/MS OLDS	041	JCP	B	50,000	26.98	13-Apr	6-Jul	2000.00 4.0
AO,CXL	07/06	HIGHBRIDGE/MS OLDS	041	JCP	B	50,000	26.98	13-Apr	6-Jul	2500.00 5.0
AO,	07/07	KINGDON ASSET MGMT	041	RIMM	SS	50,000	67.91	n/a	n/a	2000.00 4.0
AO,CRT	07/06	HIGHBRIDGE/MS OLDS	041	TGT	B	50,000	37.36	25-Feb	6-Jul	2000.00 4.0
AO,CXL	07/06	HIGHBRIDGE/MS OLDS	041	TGT	B	50,000	37.36	25-Feb	6-Jul	2500.00 5.0
AO,	07/07	PHILADELPHIA FINANCIAL	033	WDR	SS	42,591	24.81	5-Jun	8-Jul	1703.64 4.0

TOTAL (AO, CXL, CRT) :**2,203.64**

TOTAL (Trade Date):

91,113.59

TOTAL (AO, CXL, CRT):

2,203.64

TOTAL (RUN DATE) / NFS:**93,317.23****MRI Securities with Trade Activity on 8-Jul.
NONE**

MRI Securities without Trade Activity on 8-Jul.

ENR, WYNN

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

T-Date = 11%

YTD = 20%

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)