



Daily Compliance Activity Report

Trade Date: 12/03/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EXIS CAPITAL	044	AA	S	25,000	13.55	n/a	n/a	1,250.00	5.0
SCOPUS FUND	041	AEO	B	18,472	15.60	n/a	1-Dec	923.60	5.0
HARVEST MGMT	039	AMD	B	5,000	7.53	n/a	n/a	250.00	5.0
HUNTER GLOBAL INVESTOR	067	AMZN	S	16,000	144.95	n/a	n/a	640.00	4.0
ADAGE CAPITAL MGMT	030	ANF	S	163,000	37.61	n/a	1-Dec	6,520.00	4.0
BUCK CAPITAL MGMT	001	ANF	B	13,478	37.15	n/a	1-Dec	539.12	4.0
B BUCK CAPITAL MGMT		ANF	S	150,000	38.14	n/a	1-Dec	non-brg	4.0
HARVEST MGMT	039	ANF	B	2,000	38.09	n/a	1-Dec	100.00	5.0
BALYASNY ASSET MGMT	044	ANN	B	25,000	14.75	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	ARO	B	75,000	29.38	n/a	3-Dec	3,000.00	4.0
B BUCK CAPITAL MGMT		ARO	B	20,000	29.00	n/a	3-Dec	non-brg	4.0
METROPOLITAN CAPITAL	044	ARO	S	16,400	29.14	n/a	3-Dec	820.00	5.0
TRAFELET & COMP.	028	AXL	B	190,000	6.85	n/a	2-Nov	7,600.00	4.0
HUNTER GLOBAL INVESTOR	067	AXP	B	50,000	39.99	n/a	2-Dec	2,500.00	5.0
SHEFFIELD ASSET MGMT	031	AYE	S	25,000	22.81	n/a	n/a	1,250.00	5.0
AVESTA CAP	229	BAC	B	300,000	15.74	3-Dec	3-Dec	12,000.00	4.0
B BUCK CAPITAL MGMT		BAC	B	185,000	15.95	3-Dec	3-Dec	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
B	BUCK CAPITAL MGMT		BAC	B	75,000	15.77	3-Dec	3-Dec	non-brg 4.0
	EXIS CAPITAL	044	BAC	S	25,000	15.99	3-Dec	3-Dec	1,250.00 5.0
	BARROW HANLEY MEWHINNEY	031	BAX	B	28,400	56.30	n/a	n/a	994.00 3.5
	SEMINOLE CAP	036	BA	B	100,000	54.04	n/a	2-Dec	5,000.00 5.0
	RBC CAPITAL MARKETS	040	BBY	SS	5,000	43.70	n/a	n/a	200.00 4.0
	COLUMBUS CIRCLE	036	BEAV	B	5,874	21.34	n/a	n/a	227.48 3.0
	RBC CAPITAL MARKETS	040	BG	B	15,000	66.10	n/a	n/a	600.00 4.0
B	BUCK CAPITAL MGMT		BIG	S	100,000	23.62	n/a	1-Dec	non-brg 4.0
B	BUCK CAPITAL MGMT		BIG	S	100,000	23.79	n/a	1-Dec	non-brg 4.0
	RBC CAPITAL MARKETS	040	BIG	SS	15,000	23.75	n/a	1-Dec	600.00 4.0
	RBC CAPITAL MARKETS	040	BJ	B	10,000	32.81	n/a	n/a	400.00 4.0
f	JOHN MICHAEL ZOLIDIS	FID	BKRS	S	3700	0.73	n/a	n/a	0.00 0.0
	COUGAR TRADING	044	BLK	S	2,500	226.80	n/a	2-Dec	125.00 5.0
	ARMATURE CAPITAL	041	CAL	B	20,000	15.72	n/a	n/a	800.00 4.0
	AVESTA CAP	229	CAL	B	300,000	15.85	n/a	n/a	12,000.00 4.0
f	EDWARD W WHEELER	FID	CBIAC	B	70	3.27	n/a	n/a	0.00 0.0
f	EDWARD W WHEELER	FID	CHP	S	40000	1.51	n/a	n/a	0.00 0.0
	SANDLER CAPITAL	226	CMP	B	40,000	67.04	n/a	n/a	2,400.00 6.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROSEDALE CAPITAL	046	COG	B	10,000	38.34	n/a	1-Dec	500.00	5.0
ADAGE CAPITAL MGMT	030	COH	B	100,000	35.59	n/a	21-Oct	4,000.00	4.0
RBC CAPITAL MARKETS	040	COH	B	10,000	35.62	n/a	21-Oct	400.00	4.0
AVESTA CAP	229	CSCO	S	100,000	23.98	n/a	n/a	4,000.00	4.0
B BUCK CAPITAL MGMT		DBRN	S	80,000	21.23	n/a	n/a	non-brg	4.0
SAC CAP/ROSEN FOR BOBBY	044	DCP	B	7,100	14.15	n/a	n/a	284.00	4.0
B BUCK CAPITAL MGMT		DLTR	B	11,000	47.24	n/a	1-Dec	non-brg	4.0
B BUCK CAPITAL MGMT		DLTR	B	20,000	47.25	n/a	1-Dec	non-brg	4.0
MILLENNIUM-ANDEW	031	EWT	B	36,000	12.43	n/a	n/a	1,800.00	5.0
CUMBERLAND	239	EXH	B	10,000	20.89	n/a	1-Dec	400.00	4.0
THE JAY GOLDMAN	028	FDO	SS	20,000	28.62	n/a	3-Dec	800.00	4.0
B BUCK CAPITAL MGMT		FL	B	335,000	9.80	n/a	23-Nov	non-brg	0.8
CONIFER/ISF	025	FL	B	3,000	9.94	n/a	23-Nov	150.00	5.0
B BUCK CAPITAL MGMT		FSLR	SS	5,000	128.55	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		FUQI	B	30,000	20.46	n/a	n/a	non-brg	4.0
TRELLUS PARTNERS LP	028	F	B	50,000	8.97	n/a	2-Dec	1,500.00	3.0
B BUCK CAPITAL MGMT		GES	S	20,000	42.70	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⌘ BUCK CAPITAL MGMT		GIII	S	23,200	19.93	n/a	n/a	non-brg	0.8
⌘ BUCK CAPITAL MGMT		GIII	S	25,000	19.20	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		GIII	S	41,891	19.21	n/a	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		GIII	S	59,909	19.44	n/a	n/a	non-brg	0.8
RBC CAPITAL MARKETS	040	GPS	SS	15,000	21.78	n/a	n/a	600.00	4.0
FEDERATED INV/KAUFMAN	029	GT	S	125,000	13.76	n/a	n/a	6,875.01	5.5
BNP PARIBAS SEC	040	GYMB	B	2,500	40.44	n/a	1-Dec	100.00	4.0
⌘ BUCK CAPITAL MGMT		HBI	S	20,000	24.21	n/a	n/a	non-brg	4.0
AVESTA CAP	229	HD	B	50,000	28.12	n/a	18-Nov	2,000.00	4.0
SOROS	036	HES	B	67,597	59.21	n/a	n/a	2,703.88	4.0
⌘ BUCK CAPITAL MGMT		HGG	S	20,000	20.73	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	HOT	SS	20,000	31.66	n/a	n/a	800.00	4.0
MFP INVESTORS	032	ICOC	S	150,000	6.60	n/a	n/a	6,000.00	4.0
MILTON PARTNERS	060	ICOC	B	26,000	6.60	n/a	n/a	780.00	3.0
AVESTA CAP	229	INTC	S	100,000	19.93	n/a	n/a	4,000.00	4.0
TRELLUS PARTNERS LP	028	ITW	B	35,000	48.92	n/a	18-Nov	1,750.00	5.0
ROTHSCHILD ASSET	040	JNY	B	29,890	16.32	n/a	29-Oct	1,345.05	4.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		JOSB	S	42,500	42.12	n/a	n/a	non-brg	4.0
HUNTER GLOBAL INVESTOR	067	JPM	S	50,000	42.90	n/a	24-Nov	2,500.00	5.0
RBC CAPITAL MARKETS	040	JWN	B	10,000	34.86	n/a	1-Dec	400.00	4.0
THE BOSTON COMPANY	039	KCP	S	6,400	9.01	n/a	n/a	256.00	4.0
HUNTER GLOBAL INVESTOR	067	KMT	SS	43,033	24.50	n/a	18-Nov	2,151.65	5.0
HIGHBRIDGE CAP	041	KR	SS	200,000	22.33	n/a	n/a	8,000.00	4.0
KACELA CAPITAL	034	KSS	B	25,000	55.00	n/a	1-Dec	1,000.00	4.0
RBC CAPITAL MARKETS	040	KSS	B	5,000	54.06	n/a	1-Dec	200.00	4.0
B BUCK CAPITAL MGMT	001	LL	S	10,000	25.81	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		LL	S	20,000	26.21	n/a	n/a	non-brg	2.5
SOROS	036	LOW	B	80,155	22.39	n/a	16-Nov	3,206.20	4.0
TRUST CO/COWEN/CALF.	040	MBI	B	217,545	3.72	n/a	n/a	6,526.35	3.0
BALYASNY ASSET MGMT	044	MCD	B	25,000	62.34	n/a	13-Nov	1,250.00	5.0
UBS OCONNOR	031	MMM	B	31,419	77.89	n/a	22-Oct	942.57	3.0
SAC CAP/ROSEN FOR BOBBY	044	MOT	SS	100,000	8.14	n/a	n/a	4,000.00	4.0
B BUCK CAPITAL MGMT		MVRX	SS	125,000	164.73	n/a	n/a	non-brg	16.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AVESTA CAP	097	M	B	50,000	15.84	n/a	1-Dec	2,000.00	4.0
⌘ BUCK CAPITAL MGMT		M	B	150,000	15.88	n/a	1-Dec	non-brg	4.0
⌘ BUCK CAPITAL MGMT		M	B	50,000	15.81	n/a	1-Dec	non-brg	4.0
SCOPUS FUND	041	M	B	25,000	15.84	n/a	1-Dec	1,250.00	5.0
TROUBH PART	067	M	S	10,000	15.90	n/a	1-Dec	500.00	5.0
⌘ BUCK CAPITAL MGMT		NTY	S	30,000	42.14	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		NWY	S	40,000	4.30	n/a	n/a	non-brg	2.0
UBS OCONNOR	031	OSK	SS	29,240	39.21	n/a	n/a	877.20	3.0
COLONIAL FUND LLC	036	PAG	B	12,500	15.68	n/a	2-Nov	625.00	5.0
SCOPUS FUND	041	PAG	B	15,000	15.53	n/a	2-Nov	750.00	5.0
⌘ BUCK CAPITAL MGMT		PIR	S	80,000	4.74	n/a	n/a	non-brg	3.0
BNP PARIBAS SEC	040	PLCE	S	5,000	28.21	n/a	3-Dec	200.00	4.0
⌘ BUCK CAPITAL MGMT		PLCE	S	50,000	28.19	n/a	3-Dec	non-brg	4.0
METROPOLITAN CAPITAL	044	PLCE	B	16,400	28.25	n/a	3-Dec	820.00	5.0
HUNTER GLOBAL INVESTOR	067	PNC	B	100,000	53.77	n/a	n/a	5,000.00	5.0
BUCK CAPITAL MGMT	001	PSS	S	70,970	21.92	n/a	n/a	2,838.80	4.0
⌘ BUCK CAPITAL MGMT		PSS	S	80,000	21.88	n/a	n/a	non-brg	2.0
FIRST NEW YORK NICK	029	Q	B	20,000	3.93	n/a	n/a	1,000.00	5.0
EXIS CAPITAL	044	ROST	SS	10,000	44.29	n/a	n/a	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f EDWARD W WHEELER	FID	RUSHA	S	5000	10.91	n/a	n/a	0.00	0.0
BROOKSIDE CAPITAL PART	067	SBUX	S	221,300	21.33	n/a	6-Nov	8,852.00	4.0
RBC CAPITAL MARKETS	040	SBUX	S	10,000	21.66	n/a	6-Nov	400.00	4.0
f EDWARD W WHEELER	FID	SCSC	B	5000	24.24	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SKX	B	17,051	24.34	n/a	n/a	non-brg	0.7
B BUCK CAPITAL MGMT		SKX	B	63,000	24.17	n/a	n/a	non-brg	4.0
RBC CAPITAL MARKETS	040	SQM	B	10,000	38.60	n/a	n/a	400.00	4.0
AVESTA CAP	229	STX	S	100,000	16.24	n/a	n/a	4,000.00	4.0
SCHOTTENFELD ASSOC	041	TGT	B	30,000	46.37	n/a	3-Dec	900.00	3.0
BUCK CAPITAL MGMT	001	THI	SS	20,000	28.70	n/a	n/a	800.00	4.0
RBC CAPITAL MARKETS	040	TIN	S	17,000	19.50	n/a	22-Oct	680.00	4.0
B BUCK CAPITAL MGMT		TJX	B	14,000	36.97	n/a	1-Dec	non-brg	4.0
EXIS CAPITAL	044	TJX	B	20,000	37.26	n/a	1-Dec	1,000.00	5.0
B BUCK CAPITAL MGMT		TOL	B	20,000	18.60	n/a	n/a	non-brg	4.0
BALYASNY ASSET MGMT	044	URBN	B	25,000	32.99	n/a	n/a	1,250.00	5.0
JP MORGAN VENTURES	046	URBN	B	15,000	32.53	n/a	n/a	600.00	4.0
PAW PARTNERS	045	URBN	S	10,000	32.69	n/a	n/a	500.00	5.0
f NEIL M STRATTON	FID	VUXMW	S	2	1.10	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f STRATTON PAR TNERSHI	FID	VUXMW	S	2	1.10	n/a	n/a	0.00	0.0
FARALLON CAP MGMT	040	V	B	60,000	81.93	n/a	30-Nov	2,400.00	4.0
RBC CAPITAL MARKETS	040	WCN	B	15,000	33.38	n/a	n/a	600.00	4.0
ROTHSCHILD ASSET	040	WPP	S	10,330	10.37	n/a	n/a	464.87	4.5
KLEINHEINZ CAP PART	031	WY	B	150,000	42.80	n/a	2-Nov	7,500.00	5.0
SIGMA CAP BOBBY	044	WY	S	12,900	42.50	n/a	2-Nov	516.00	4.0
B BUCK CAPITAL MGMT		XRT	SS	41,300	34.81	n/a	n/a	non-brg	0.8
JP MORGAN VENTURES	046	XRT	SS	28,600	35.02	n/a	n/a	1,130.00	4.0
BALYASNY ASSET MGMT	044	YUM	C	20,000	35.48	n/a	7-Oct	1,000.00	5.0
TOTAL (Trade Date):								184,213.78	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	12/02	SCOPIA CAPITAL	048	ADP	B	100,000	43.95	n/a	n/a	5000.00 5.0
AO,CXL	12/02	SCOPUS FUND	041	ADP	B	100,000	43.95	n/a	n/a	5000.00 5.0
AO,CRT	12/02	MILLRACE FUND LP	028	ALGT	SS	8,500	43.97	n/a	n/a	340.00 4.0
AO,CXL	12/02	MILLRACE FUND LP	028	ALGT	SS	8,500	43.97	n/a	n/a	0.00 0.0
AO,CXL	12/02	CENTURION GLOBAL MGMT LL	041	F	B	25,000	9.03	n/a	2-Dec	750.00 3.0
AO,CRT	12/02	CENTURION PARTNERS	041	F	B	25,000	9.03	n/a	2-Dec	1000.00 4.0
AO,CRT	12/02	HIGHBRIDGE CAP	041	HAS	B	200,000	30.55	n/a	n/a	8000.00 4.0
AO,CXL	12/02	HIGHBRIDGE CAP	041	HAS	B	200,000	30.55	n/a	n/a	0.00 0.0
AO,CRT	12/02	MILLENIUUM PARTNERS	028	INTC	B	100	19.69	n/a	n/a	1.00 1.0
AO,CRT	12/02	MILLENIUUM PARTNERS	028	INTC	S	100	19.68	n/a	n/a	1.00 1.0
AO,CXL	12/02	MILLENNIUM-ANDEW	031	INTC	B	100	19.69	n/a	n/a	1.00 1.0
AO,CXL	12/02	MILLENNIUM-ANDEW	031	INTC	S	100	19.68	n/a	n/a	1.00 1.0
AO,CRT	12/02	HIGHBRIDGE CAP	041	ITW	B	110,758	48.88	n/a	18-Nov	4430.32 4.0
AO,CXL	12/02	HIGHBRIDGE CAP	041	ITW	B	110,758	48.88	n/a	18-Nov	0.00 0.0
AO,CRT	12/02	FULLER & THALER ASSET	033	NDN	B	2,700	12.30	n/a	1-Dec	81.00 3.0
AO,CXL	12/02	FULLER & THALER ASSET	033	NDN	B	2,700	12.30	n/a	1-Dec	81.00 3.0
TOTAL (AO, CXL, CRT) :										13,020.32

TOTAL (Trade Date):	184,213.78
TOTAL (AO, CXL, CRT):	13,020.32

TOTAL (RUN DATE) / NFS:	197,234.10
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MRI Securities with Trade Activity on 3-Dec. BAC
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MRI Securities without Trade Activity on 3-Dec. EL, CHTT
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BRG comm. as a % of BCM Total Comm. paid. T-Date = 9% 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

Watch List Trades

f: Employee Trades (Fidelity)