



Daily Compliance Activity Report

Trade Date: 06/10/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f JASON ERIC COHEN	FID	AAPL	S	7	140.31	n/a	n/a	0.00	0.0
f MICHAEL MARRANO	FID	AAPL	S	100	138.53	n/a	n/a	0.00	0.0
f DAVID S HOCHSTIM	FID	AB	B	1000	21.50	5-Jun	10-Jun	0.00	0.0
f IAN L MILLER	FID	ADMIQ	S	5	1.20	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	ADVS	S	22,900	30.57	n/a	n/a	1,030.50	4.5
B BUCK CAPITAL MGMT		AEO	S	100,000	14.54	20-Apr	5-Jun	non-brg	4.0
B BUCK CAPITAL MGMT		AEO	S	100,000	14.58	20-Apr	5-Jun	non-brg	4.0
f ROBERT M DANIELS	FID	ALU	B	750	2.87	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ALV	C	170,000	31.55	10-Jun	10-Jun	non-brg	4.0
HIGHBRIDGE CAPITAL	038	ALV	SS	7,140	31.60	10-Jun	10-Jun	357.00	5.0
HIGHBRIDGE CAPITAL	038	ALV	S	22,860	31.52	10-Jun	10-Jun	1,143.00	5.0
BUCK CAPITAL MGMT	001	AN	B	47,000	18.09	10-Jun	10-Jun	1,880.00	4.0
B BUCK CAPITAL MGMT		AN	C	20,800	18.14	10-Jun	10-Jun	non-brg	4.0
B BUCK CAPITAL MGMT		AN	C	78,100	18.52	10-Jun	10-Jun	non-brg	4.0
SCOPUS FUND	041	AN	S	80,000	18.17	10-Jun	10-Jun	4,000.00	5.0
NEUBERGER BERMAN	036	ARD	S	23,900	35.15	n/a	n/a	1,075.50	4.5
B BUCK CAPITAL MGMT		AXL	B	50,000	4.03	10-Jun [i]	10-Jun	non-brg	3.0
B BUCK CAPITAL MGMT		AXL	B	50,000	4.09	10-Jun [i]	10-Jun	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DSG CAPITAL	225	AXL	B	5,300	3.85	10-Jun[i]	10-Jun	265.00	5.0
DSG CAPITAL	225	AXL	S	5,300	4.20	10-Jun[i]	10-Jun	265.00	5.0
TRELLUS PARTNERS LP	028	AXL	B	69,000	3.99	10-Jun[i]	10-Jun	690.00	1.0
TRELLUS PARTNERS LP	028	AXL	S	69,000	4.56	10-Jun[i]	10-Jun	2,070.00	3.0
f ANDREW SINCLAIR	FID	AZWHK	B	100	1.80	n/a	n/a	0.00	0.0
JP MORGAN VENTURES	046	BKC	B	6,600	16.56	16-Apr	29-Apr	330.00	5.0
BUCK CAPITAL MGMT	001	BWA	B	112,500	35.33	10-Jun	10-Jun	4,500.00	4.0
B BUCK CAPITAL MGMT		BWA	C	100,000	35.79	10-Jun	10-Jun	non-brg	4.0
B BUCK CAPITAL MGMT		BWA	C	25,000	34.85	10-Jun	10-Jun	non-brg	4.0
COOPER CREEK PART	028	CBL	S	75,000	6.32	n/a	n/a	2,250.00	3.0
DC CAPITAL	044	CBS	B	200,000	8.33	n/a	n/a	10,000.00	5.0
B BUCK CAPITAL MGMT		CCI	B	25,000	22.79	n/a	n/a	non-brg	4.0
f NEIL M STRATTON	FID	CLCT	B	499	4.85	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		CMG	C	6,205	81.62	14-May	14-May	non-brg	1.0
JP MORGAN VENTURES	046	COH	SS	20,000	27.69	9-Jan	22-Apr	1,000.00	5.0
f EDWARD W WHEELER	FID	CVGI	B	40000	1.23	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	DAL	S	5000	6.57	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		DIN	S	20,000	32.87	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Ⓐ BUCK CAPITAL MGMT		DLTR	B	10,000	44.22	8-May	9-Jun	non-brg	4.0
AELTUS/ING INVESTMENT MGT	215	DOV	B	122,856	35.48	n/a	n/a	4,299.97	3.5
MORGAN BANK /JPM	070	EBAY	B	116,000	17.43	n/a	n/a	3,480.00	3.0
FIRST NEW YORK LEDDY	035	ETFC	B	20,000	1.60	n/a	n/a	800.00	4.0
Ⓐ BUCK CAPITAL MGMT		FOR	B	10,000	11.92	12-Feb	8-May	non-brg	1.0
Ⓐ BUCK CAPITAL MGMT		FOSL	B	20,000	24.28	n/a	30-Jan	non-brg	4.0
Ⓐ BUCK CAPITAL MGMT		FRED	SS	10,000	13.24	n/a	27-Mar	non-brg	2.5
Ⓕ DAVID S HOCHSTIM	FID	FSIXX	S	10000	1.00	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	F	SS	50,000	6.25	n/a	3-Jun	2,000.00	4.0
NEUBERGER BERMAN	036	GCA	B	150,300	7.02	n/a	n/a	4,509.00	3.0
Ⓐ BUCK CAPITAL MGMT		GES	B	10,000	27.41	n/a	n/a	non-brg	4.0
STANDARD PACIFIC CAPITAL	040	GIL	SS	70,000	16.69	n/a	14-May	3,500.00	5.0
DSG CAPITAL	225	GLW	B	10,000	16.20	28-May	28-May	500.00	5.0
Ⓐ BUCK CAPITAL MGMT		GNTX	C	11,000	13.72	10-Jun	10-Jun	non-brg	1.0
Ⓐ BUCK CAPITAL MGMT		GNTX	C	110,853	13.59	10-Jun	10-Jun	non-brg	4.0
Ⓐ BUCK CAPITAL MGMT		GNTX	C	3,900	13.48	10-Jun	10-Jun	non-brg	1.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		GNTX	C	70,000	13.53	10-Jun	10-Jun	non-brg	2.0
⌘ BUCK CAPITAL MGMT		GNTX	C	8,400	13.56	10-Jun	10-Jun	non-brg	1.0
SCOPUS FUND	041	GNTX	S	40,900	13.59	10-Jun	10-Jun	2,045.00	5.0
JP MORGAN VENTURES	046	GPS	SS	40,000	16.67	n/a	30-Jan	2,000.00	5.0
⌘ BUCK CAPITAL MGMT		GYMB	B	10,000	35.55	21-May	5-Jun	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GYMB	B	20,000	35.76	21-May	5-Jun	non-brg	4.0
DSG CAPITAL	225	HAR	B	2,500	21.03	10-Jun	10-Jun	125.00	5.0
DSG CAPITAL	225	HAR	S	2,500	21.82	10-Jun	10-Jun	125.00	5.0
LAGRANGE CAP ADV	048	HAR	SS	5,000	22.00	10-Jun	10-Jun	250.00	5.0
BUCK CAPITAL MGMT	001	HAS	SS	10,000	26.17	n/a	n/a	400.00	4.0
⌘ BUCK CAPITAL MGMT		HBI	S	30,000	17.61	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		HOG	SS	20,000	16.75	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		IGT	B	35,000	16.18	n/a	27-Apr	non-brg	4.0
⌘ BUCK CAPITAL MGMT		IMAX	S	50,000	7.18	n/a	n/a	non-brg	2.5
CSFB GLOBAL PROPRIETARY	041	IP	B	56,600	15.63	n/a	1-May	2,830.00	5.0
TYEE/TYGH	035	IVZ	B	25,000	17.90	5-Jun	9-Jun	1,000.00	4.0
JP MORGAN VENTURES	046	IWM	B	2,000	51.86	n/a	n/a	100.00	5.0
JP MORGAN VENTURES	046	IYR	B	4,000	33.82	n/a	n/a	200.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	JCG	B	20,000	26.25	n/a	30-Jan	800.00	4.0
Ⓐ BUCK CAPITAL MGMT		JOSB	B	10,000	37.16	n/a	n/a	non-brg	4.0
f FRANCIS MICHAEL MCCA	FID	KMX	S	400	13.20	n/a	10-Jan	0.00	0.0
Ⓐ BUCK CAPITAL MGMT		LEN	B	25,000	8.97	n/a	n/a	non-brg	3.0
NEWCASTLE FUNDS	255	LTM	S	3,600	20.83	n/a	n/a	144.00	4.0
f ANTHONY NG	FID	LVLTT	S	1000	1.22	n/a	4-Jan	0.00	0.0
NEUBERGER BERMAN	036	MDAS	B	125,000	16.77	n/a	n/a	5,625.00	4.5
ROTHSCHILD ASSET	040	MKC	S	5,900	31.13	n/a	n/a	265.50	4.5
AELTUS/ING INVESTMENT MGT	215	MON	B	10,000	84.46	n/a	27-May	350.00	3.5
HOLLIS CAPITAL	033	MOS	B	5,000	55.55	n/a	n/a	250.00	5.0
Ⓐ BUCK CAPITAL MGMT		MS	B	25,000	29.68	11-May	2-Jun	non-brg	1.0
BUCK CAPITAL MGMT	001	MVL	SS	10,000	36.87	n/a	n/a	400.00	4.0
ROTHSCHILD ASSET	040	MWV	S	14,033	16.53	28-Jan	30-Apr	631.50	4.5
BUCK CAPITAL MGMT	001	MW	SS	10,000	19.99	n/a	n/a	400.00	4.0
AELTUS/ING INVESTMENT MGT	215	ORI	S	135,200	9.89	n/a	n/a	4,732.00	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
M&I FUNDS	256	PBY	S	28,629	9.60	n/a	n/a	858.87	3.0
B BUCK CAPITAL MGMT		PERY	S	10,000	9.66	n/a	n/a	non-brg	2.5
JP MORGAN VENTURES	046	PHM	B	15,000	9.30	n/a	n/a	450.00	3.0
B BUCK CAPITAL MGMT		PKG	B	42,600	16.73	8-Apr	21-Apr	non-brg	4.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	10,000	17.08	8-Apr	21-Apr	500.00	5.0
SCOPUS FUND	041	PKG	B	10,000	16.89	8-Apr	21-Apr	500.00	5.0
B BUCK CAPITAL MGMT		PLCE	B	15,000	30.46	19-Mar	5-Jun	non-brg	4.0
B BUCK CAPITAL MGMT		PLCE	B	20,000	30.96	19-Mar	5-Jun	non-brg	4.0
BUCK CAPITAL MGMT	001	PSS	B	20,000	14.23	n/a	n/a	800.00	4.0
B BUCK CAPITAL MGMT		SBAC	B	25,000	23.67	n/a	n/a	non-brg	4.0
f JASON ERIC COHEN	FID	SDS	B	30	52.92	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SGMS	SS	10,000	18.54	n/a	n/a	non-brg	2.5
NEUBERGER BERMAN	036	SLAB	B	52,500	38.23	n/a	n/a	2,362.50	4.5
f MARC PAUL LUCHANSKY	FID	SLM	B	500	7.93	23-Apr	10-Jun	0.00	0.0
DIAMONDBACK CAP MGMT	232	SMG	S	10,000	36.51	10-Jun	10-Jun	500.00	5.0
ROTHSCHILD ASSET	040	SOHU	S	3,124	68.15	n/a	n/a	140.61	4.5
f ANDREW SINCLAIR	FID	SZCSG	S	230	0.83	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COOPER CREEK PART	028	TEN	S	10,000	9.79	n/a	n/a	300.00	3.0
B BUCK CAPITAL MGMT		TGT	S	30,000	40.02	25-Feb	9-Jun	non-brg	4.0
B BUCK CAPITAL MGMT		TIN	S	50,000	14.23	5-Jun	5-Jun	non-brg	4.0
ASCEND PARTNERS	033	TJX	B	99,500	30.45	4-May	5-Jun	4,975.00	5.0
AVESTA CAP	229	TJX	B	25,000	30.25	4-May	5-Jun	1,000.00	4.0
SCHOTTENFELD ASSOC	041	TLB	S	50,000	4.90	n/a	30-Jan	2,500.00	5.0
JP MORGAN VENTURES	046	TLT	B	3,000	88.38	n/a	n/a	150.00	5.0
f FRANCIS MICHAEL MCCA	FID	TWI	B	400	10.37	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	UAUA	S	5000	4.52	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		URBN	B	10,000	22.34	n/a	30-Jan	non-brg	4.0
SIGMA CAPITAL ASSOCIATES	041	URBN	B	23,798	22.36	n/a	30-Jan	951.92	4.0
B BUCK CAPITAL MGMT		VLO	B	60,000	18.34	n/a	n/a	non-brg	4.0
ROTHSCHILD ASSET	040	WDR	B	11,342	27.18	5-Jun	10-Jun	510.40	4.5
B BUCK CAPITAL MGMT		WFMI	C	30,000	20.77	n/a	n/a	non-brg	4.0
f MANNY I KORMAN	FID	WFMI	S	5000	20.95	n/a	n/a	0.00	0.0
NEWCASTLE FUNDS	255	WFMI	SS	20,000	21.45	n/a	n/a	800.00	4.0
TROUBH PART	067	WMT	B	25,000	50.32	11-May	9-Jun	1,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		WYNN	SS	30,000	37.91	n/a	n/a	non-brg	1.0
ASCEND PARTNERS	033	XRT	C	61,800	28.28	n/a	n/a	3,090.00	5.0
f JASON ERIC COHEN	FID	XRT	S	45	28.56	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	YUM	B	25,000	35.16	n/a	22-Apr	1,250.00	5.0
TOTAL (Trade Date):								95,507.27	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/09	STELLIAM INV ADV	034	BEAV	B	22,000	16.48	n/a	n/a	1100.00 5.0
AO,CRT	06/09	STELLIAM INV ADV	034	BEAV	B	22,000	16.48	n/a	n/a	1100.00 5.0
AO,	06/09	AELTUS/ING IVESTMENT MGT	215	WDR	B	57,800	27.73	5-Jun	10-Jun	2023.00 3.5
AO,	06/09	RK CAPITAL MGMT LLC	045	ZOLT	B	30,000	12.47	n/a	n/a	1500.00 5.0
TOTAL (AO, CXL, CRT) :										3,523.00

TOTAL (Trade Date) :	95,507.27
TOTAL (AO, CXL, CRT) :	3,523.00

TOTAL (RUN DATE) / NFS:	99,030.27
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MRI Securities with Trade Activity on 10-Jun.
ALV, AN, AXL, BWA, GNTX, HAR, SMG

MRI Securities without Trade Activity on 10-Jun.
SUP

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 14%
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)