



# Daily Compliance Activity Report

Trade Date: 07/15/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JP MORGAN VENTURES	046	AA	SS	100,000	9.95	n/a	n/a	4,000.00	4.0
CAXTON PART	040	ABT	B	26,475	45.06	n/a	22-Apr	926.65	3.5
CAMBIAR CAP	046	ADM	S	290,160	27.93	1-Jun	1-Jun	11,606.40	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AEO</b>	<b>B</b>	<b>125,000</b>	<b>13.75</b>	<b>25-Jun</b>	<b>10-Jul</b>	<b>5,000.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>		<b>AEO</b>	<b>B</b>	<b>25,000</b>	<b>13.70</b>	<b>25-Jun</b>	<b>10-Jul</b>	<b>non-brg</b>	<b>1.0</b>
LATEFF MGMT	035	ALK	S	300	21.14	n/a	n/a	90.00	30.0
PZENA INV ADV	044	ALL	S	2,175	24.43	n/a	n/a	76.13	3.5
<b>JOHN CAREY MAGUIRE</b>	<b>FID</b>	<b>AMAG</b>	<b>B</b>	<b>100</b>	<b>47.81</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>		<b>ANF</b>	<b>C</b>	<b>10,000</b>	<b>25.06</b>	<b>3-Jun</b>	<b>10-Jul</b>	<b>non-brg</b>	<b>4.0</b>
PZENA INV ADV	044	APA	S	625	73.30	3-Feb	1-Jul	21.88	3.5
PZENA INV ADV	044	AVP	S	2,100	26.35	2-Jun	2-Jun	73.50	3.5
LAGRANGE CAP ADV	048	AXL	B	10,000	1.50	n/a	9-Jul	500.00	5.0
DIAMONDBACK CAP MGMT	232	AXP	SS	10,000	27.44	n/a	15-Jul	500.00	5.0
<b>ANTHONY NG</b>	<b>FID</b>	<b>BAC</b>	<b>S</b>	<b>85</b>	<b>13.46</b>	<b>11-May</b>	<b>10-Jul</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BBY</b>	<b>B</b>	<b>20,000</b>	<b>35.40</b>	<b>n/a</b>	<b>27-Jul</b>	<b>800.00</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		BKC	C	15,000	15.89	16-Apr	10-Jul	non-brg	2.0
ß BUCK CAPITAL MGMT		BKC	C	35,000	15.87	16-Apr	10-Jul	non-brg	4.0
SIGMA CAPITAL ASSOCIATES	041	BKE	SS	20,000	31.64	n/a	n/a	800.00	4.0
EPOCH INV MGMT	030	BK	B	20,650	29.60	11-May	10-Jul	826.00	4.0
PHILADELPHIA FINANCIAL	033	BLK	S	5,128	179.34	12-Jun	15-Jul	205.12	4.0
WAGONHOUND/NIC	048	BLK	S	2,023	174.79	12-Jun	15-Jul	80.92	4.0
ß BUCK CAPITAL MGMT		BWLD	C	30,000	33.96	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BYD	B	25,000	8.64	n/a	7-May	non-brg	1.0
ß BUCK CAPITAL MGMT		BYD	B	50,000	8.76	n/a	7-May	non-brg	3.0
ß BUCK CAPITAL MGMT		BYI	S	1,300	32.93	n/a	n/a	non-brg	1.5
ß BUCK CAPITAL MGMT		BYI	S	10,893	32.96	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		BYI	S	31,929	32.40	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		BYI	S	89,500	32.69	n/a	n/a	non-brg	2.0
DSG CAPITAL	225	CAKE	B	16,000	17.24	29-May	15-Jul	800.00	5.0
f KEVIN MICHAEL O'GORM	FID	CITPRC	B	1000	11.00	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		COLM	C	20,000	32.64	n/a	n/a	non-brg	2.5
f KAREN F LEDDY	FID	CVGI	B	7000	1.38	n/a	n/a	0.00	0.0
STRONG/MARK GRONET	030	DAL	B	78,500	6.02	n/a	n/a	2,355.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f FRANCIS MICHAEL MCCA	FID	DE	B	100	38.33	n/a	17-Jun	0.00	0.0
B BUCK CAPITAL MGMT		DHI	B	25,000	9.42	n/a	n/a	non-brg	3.0
f IAN L MILLER	FID	DIG	S	25	25.79	n/a	n/a	0.00	0.0
1798 CAPITAL MGMT	040	EBAY	B	25,000	17.89	n/a	n/a	1,250.00	5.0
f STRATTON PAR TNERSHI	FID	ENPT	B	1000	2.34	n/a	n/a	0.00	0.0
LATEFF MGMT	035	ENR	S	200	54.51	8-Jul	8-Jul	100.00	50.0
f ROBERT M DANIELS	FID	GSI	S	500	4.12	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	GSVD	S	12	2.50	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		HBI	B	20,000	14.45	n/a	n/a	non-brg	2.5
f STRATTON PAR TNERSHI	FID	HE	S	100	18.00	n/a	n/a	0.00	0.0
f NEIL M STRATTON	FID	HTZXA	S	7	0.60	n/a	n/a	0.00	0.0
f STRATTON PAR TNERSHI	FID	HTZXA	S	5	0.60	n/a	n/a	0.00	0.0
HIGHBRIDGE CAPITAL	038	HUM	B	33,000	28.20	n/a	n/a	1,320.00	4.0
B BUCK CAPITAL MGMT		IGT	B	10,000	16.30	n/a	27-Apr	non-brg	4.0
CASTLE ARK	031	INTC	B	141,300	17.85	n/a	n/a	8,478.00	6.0
BMO NESBITT BURNS	041	IR	S	50,000	21.29	n/a	1-Jul	2,500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MILLENIUM PARTNERS	028	IWM	SS	10,000	51.27	n/a	n/a	400.00	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>JBHT</b>	<b>B</b>	<b>3,500</b>	<b>27.40</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>Õ</b> Steven Maguire		<b>JBHT</b>	<b>B</b>	<b>1000</b>	<b>27.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ</b> Steven Maguire		<b>JBHT</b>	<b>B</b>	<b>2500</b>	<b>27.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
HOOVER INV. MGMT	033	JCG	B	25,800	27.08	30-Jan	30-Jan	1,032.00	4.0
LATEFF MGMT	035	JNJ	S	200	58.80	n/a	22-Apr	100.00	50.0
<b>f</b> HARALAMBOS EFSTATHI	<b>FID</b>	<b>JNS</b>	<b>B</b>	<b>600</b>	<b>10.61</b>	<b>5-May</b>	<b>15-Jul</b>	<b>0.00</b>	<b>0.0</b>
WAGONHOUND/NIC	048	JNS	B	27,166	10.47	5-May	15-Jul	1,086.64	4.0
THIRD COAST CAPITAL	035	KMX	B	20,000	14.87	n/a	10-Jan	1,000.00	5.0
COBALT	041	KR	B	50,000	21.78	n/a	n/a	2,500.00	5.0
<b>B</b> BUCK CAPITAL MGMT		<b>LEN</b>	<b>B</b>	<b>40,000</b>	<b>9.19</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
COUGAR TRADING	044	LVS	B	10,000	8.00	n/a	14-Jul	400.00	4.0
HOLDEN CAPITAL MGMT	035	LVS	B	25,000	8.12	n/a	14-Jul	1,250.00	5.0
THIRD COAST CAPITAL	035	LVS	B	50,000	8.03	n/a	14-Jul	2,500.00	5.0
WAGONHOUND/NIC	048	LVS	B	50,000	7.83	n/a	14-Jul	1,500.00	3.0
ARCHON PARTNERS	032	MAR	B	30,213	21.54	n/a	n/a	906.39	3.0
HOTCHKIS & WILEY	035	MET	S	49,700	30.05	n/a	n/a	2,485.00	5.0
<b>f</b> CHRISTOPHER ARTHUR K	<b>FID</b>	<b>MHGC</b>	<b>B</b>	<b>1000</b>	<b>3.49</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MILLENIUM PARTNERS	028	MHK	B	10,000	36.72	n/a	n/a	400.00	4.0
⚡ BUCK CAPITAL MGMT		MNRO	B	130,000	27.68	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		MNRO	B	20,000	27.77	n/a	n/a	non-brg	1.0
HIGHBRIDGE CAPITAL	038	MOH	SS	35,000	22.70	n/a	n/a	1,400.00	4.0
LATEFF MGMT	035	MRO	S	300	30.13	n/a	n/a	96.00	32.0
JENNISON	032	MSFT	B	232,000	23.84	n/a	3-Apr	8,584.00	3.7
COUGAR TRADING	044	M	SS	10,000	11.81	n/a	10-Jul	500.00	5.0
CATAPULT	040	NAV	B	26,067	40.93	n/a	n/a	1,303.35	5.0
f ROBERT M DANIELS	FID	NP	S	300	8.24	12-May	12-May	0.00	0.0
⚡ BUCK CAPITAL MGMT		NWY	B	200,000	3.00	30-Jan	30-Jan	non-brg	2.0
f DAVID GEORGE BUCK	FID	NYB	S	2000	11.05	n/a	2-Jul	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	NYB	S	400	11.03	n/a	2-Jul	0.00	0.0
LATEFF MGMT	035	OLN	S	1,000	12.17	n/a	20-Jun	120.00	12.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	5,000	16.84	8-Apr	23-Jun	250.00	5.0
LATEFF MGMT	035	PKG	S	500	17.01	8-Apr	23-Jun	100.00	20.0
⚡ BUCK CAPITAL MGMT		PLCE	S	10,050	29.02	19-Mar	10-Jul	non-brg	1.0
⚡ BUCK CAPITAL MGMT		PLCE	S	10,450	28.95	19-Mar	10-Jul	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		PLCE	S	20,000	28.94	19-Mar	10-Jul	non-brg	1.0
⌘ BUCK CAPITAL MGMT		PSS	S	115,000	14.74	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PSS	S	35,000	14.76	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT	001	PVH	B	20,000	29.45	20-Apr	21-May	800.00	4.0
ROTHSCHILD ASSET	040	RAH	S	26,130	61.43	n/a	n/a	1,175.92	4.5
⌘ BUCK CAPITAL MGMT		RRGB	SS	20,000	19.34	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		RYL	B	30,000	16.67	n/a	n/a	non-brg	4.0
MATLIN PATTERSON	046	SFG	B	30,000	30.79	n/a	n/a	900.00	3.0
GRANITE CAPITAL	045	SHPGY	S	19,400	40.92	20-Feb	14-Jul	970.00	5.0
MILLENIUM PARTNERS	028	SHW	B	20,000	54.75	17-Apr	9-Jul	800.00	4.0
f CHRISTOPHER ARTHUR K	FID	SKF	S	500	38.37	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		SSI	SS	30,000	11.07	n/a	10-Jul	non-brg	1.0
⌘ BUCK CAPITAL MGMT		SSI	SS	70,000	11.14	n/a	10-Jul	non-brg	4.0
f ANDREW SINCLAIR	FID	SWGHN	S	40	2.97	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		SWN	B	20,000	39.42	27-Feb	1-Jul	non-brg	4.0
HUNTER GLOBAL INVESTOR	067	SYI	SS	30,100	22.06	n/a	24-Apr	1,505.00	5.0
f ANDREW SINCLAIR	FID	SZCUJ	B	40	2.36	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>TBT</b>	<b>S</b>	<b>90</b>	<b>51.81</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LATEFF MGMT	035	TEVA	S	150	49.84	18-Feb	14-Jul	75.00	50.0
MTB INV ADV	034	THS	S	3,950	28.57	n/a	n/a	197.50	5.0
BMO NESBITT BURNS	041	TIN	SS	25,000	13.77	9-Jul	9-Jul	1,250.00	5.0
BMO NESBITT BURNS	041	TIN	S	25,800	13.52	9-Jul	9-Jul	1,290.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>TLB</b>	<b>SS</b>	<b>100,000</b>	<b>4.18</b>	<b>30-Jan</b>	<b>30-Jan</b>	<b>non-brg</b>	<b>2.0</b>
THOMAS WEISEL ASSET MGMT	035	TWP	B	4,200	12.79	n/a	n/a	126.00	3.0
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>TZA</b>	<b>B</b>	<b>200</b>	<b>21.86</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ELM RIDGE ADVISORS	044	UFS	B	74,537	14.50	n/a	n/a	2,981.48	4.0
LATEFF MGMT	035	UN	S	250	25.32	n/a	n/a	80.00	32.0
<b>B BUCK CAPITAL MGMT</b>		<b>URBN</b>	<b>B</b>	<b>20,000</b>	<b>21.51</b>	<b>30-Jan</b>	<b>30-Jan</b>	<b>non-brg</b>	<b>4.0</b>
HOLLIS CAPITAL	033	URBN	B	10,000	21.89	30-Jan	30-Jan	500.00	5.0
<b>f CHRISTOPHER ARTHUR K</b>	<b>FID</b>	<b>UYG</b>	<b>S</b>	<b>5000</b>	<b>4.13</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>UYG</b>	<b>S</b>	<b>1165</b>	<b>4.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f CHRISTOPHER ARTHUR K</b>	<b>FID</b>	<b>VIXHE</b>	<b>B</b>	<b>25</b>	<b>5.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	067	VXX	B	3,800	67.15	n/a	n/a	190.00	5.0
<b>f ANTHONY NG</b>	<b>FID</b>	<b>WEN</b>	<b>S</b>	<b>200</b>	<b>4.30</b>	<b>n/a</b>	<b>10-Jul</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HOTCHKIS & WILEY	035	WFC	S	115,000	25.06	n/a	n/a	5,750.00	5.0
⌘ BUCK CAPITAL MGMT		WFMI	C	50,000	20.47	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		WFT	B	30,000	19.45	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		WRC+GE[WRC]	C	2,829	8.70	n/a	n/a	non-brg	300.0
COUGAR TRADING	044	WRC	S	10,000	33.11	13-May	13-May	500.00	5.0
⌘ BUCK CAPITAL MGMT		WSO	C	10,000	47.63	n/a	n/a	non-brg	4.0
<b>TOTAL (Trade Date):</b>								<b>89,313.88</b>	



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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/14	STELLIAM INV ADV	034	NVLS	SS	20,000	19.05	n/a	n/a	1000.00 5.0
AO,CRT	07/14	STELLIAM INV ADV	034	NVLS	SS	10,000	19.00	n/a	n/a	500.00 5.0
AO,	07/14	STELLIAM INV ADV	034	NVLS	SS	10,000	19.10	n/a	n/a	500.00 5.0
AO,	07/14	LISTED ERR	099	YUM	B	40	36.27	n/a	15-Jul	0.00 0.0
AO,CXL	07/14	LISTED ERR	099	YUM	S	40	36.45	n/a	15-Jul	0.00 0.0
AO,CRT	07/14	LISTED ERR	099	YUM	S	40	36.27	n/a	15-Jul	0.00 0.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>0.00</b>
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TOTAL (Trade Date) :	89,313.88
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TOTAL (AO, CXL, CRT) :	0.00
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<b>TOTAL (RUN DATE) / NFS :</b>	<b>89,313.88</b>
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MRI Securities with Trade Activity on 15-Jul. NONE
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MRI Securities without Trade Activity on 15-Jul. NONE
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BRG comm. as a % of BCM Total Comm. paid.
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**T-Date = 13%**

**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)**