



# Daily Compliance Activity Report

Trade Date: 05/18/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PZENA INV ADV	044	ACS	S	500	45.48	n/a	n/a	17.50	3.5
PZENA INV ADV	044	ALL	S	4,600	24.78	n/a	n/a	161.00	3.5
MILLRACE FUND LP	028	ALV	SS	3,826	25.01	12-Mar	22-Apr	153.04	4.0
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>AMZN</b>	<b>B</b>	<b>30</b>	<b>75.29</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	ANF	SS	5,000	26.38	16-Apr	18-May	250.00	5.0
JP MORGAN VENTURES	046	ANF	SS	10,000	26.01	16-Apr	18-May	500.00	5.0
PZENA INV ADV	044	APA	S	1,050	79.11	3-Feb	7-May	36.75	3.5
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>BAC</b>	<b>B</b>	<b>500</b>	<b>11.71</b>	<b>11-May</b>	<b>11-May</b>	<b>0.00</b>	<b>0.0</b>
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>BGZ</b>	<b>B</b>	<b>2000</b>	<b>40.44</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MILLENIUM PARTNERS	028	BIG	B	23,630	24.33	4-Mar	7-May	945.20	4.0
DIAMONDBACK CAP MGMT	232	BLL	B	9,600	39.47	n/a	n/a	480.00	5.0
<b>f ROBERT M DANIELS</b>	<b>FID</b>	<b>BQI</b>	<b>S</b>	<b>500</b>	<b>0.93</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CHART WELL ADV	028	BWA	B	95,280	28.78	1-May	1-May	3,811.20	4.0
ROTHSCHILD ASSET	040	CEC	S	18,110	32.18	n/a	n/a	814.95	4.5
SIGMA CAPITAL ASSOCIATES	041	COST	B	25,000	45.68	n/a	27-Jul	1,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	COV	B	35,675	36.24	n/a	n/a	1,605.41	4.5
TROUBH PART	067	CPRM	B	25,000	21.54	n/a	n/a	1,250.00	5.0
<b>B</b> BUCK CAPITAL MGMT		<b>DECK</b>	<b>B</b>	<b>30,000</b>	<b>49.94</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>DLTR</b>	<b>B</b>	<b>10,000</b>	<b>41.40</b>	<b>8-May</b>	<b>8-May</b>	<b>non-brg</b>	<b>4.0</b>
FIRST NEW YORK LEDDY	035	ETFC	S	10,000	1.57	n/a	n/a	600.00	6.0
<b>B</b> BUCK CAPITAL MGMT		<b>ETH</b>	<b>S</b>	<b>20,000</b>	<b>10.77</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>ETH</b>	<b>S</b>	<b>60,000</b>	<b>10.69</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
PHILADELPHIA FINANCIAL	033	EVR	S	15,000	17.01	n/a	n/a	750.00	5.0
<b>f</b> MARC PAUL LUCHANSKY	<b>FID</b>	<b>FAGIX</b>	<b>S</b>	<b>10</b>	<b>6.41</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BUCK CAPITAL MGMT	<b>001</b>	<b>FDO</b>	<b>B</b>	<b>30,000</b>	<b>29.73</b>	<b>5-Mar</b>	<b>18-May</b>	<b>1,200.00</b>	<b>4.0</b>
BUCK CAPITAL MGMT	<b>001</b>	<b>GES</b>	<b>B</b>	<b>40,000</b>	<b>23.05</b>	<b>n/a</b>	<b>n/a</b>	<b>1,600.00</b>	<b>4.0</b>
S.A.C. CAP/ORENSTEIN	044	GE	B	100,000	13.22	n/a	n/a	4,000.00	4.0
S.A.C. CAP/ORENSTEIN	044	GE	S	100,000	13.37	n/a	n/a	4,000.00	4.0
M&I FUNDS	256	GPS	B	10,270	15.80	n/a	30-Jan	410.80	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>GSIC</b>	<b>S</b>	<b>20,000</b>	<b>13.66</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
TRUST CO/COWEN/CALF.	040	HRB	B	250,100	14.25	n/a	n/a	10,004.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		ICON	B	30,000	14.94	n/a	n/a	non-brg	1.0
COBALT	041	IP	B	100,000	13.33	n/a	1-May	5,000.00	5.0
BUCK CAPITAL MGMT		JAS	B	20,000	21.52	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT	001	JCG	SS	20,000	20.02	n/a	30-Jan	800.00	4.0
SIGMA CAPITAL ASSOCIATES	041	JCP	B	25,000	27.13	13-Apr	18-May	1,000.00	4.0
BUCK CAPITAL MGMT		JOSB	B	10,000	38.38	n/a	n/a	non-brg	4.0
CLOVIS CAPITAL	012	KMB	B	100,000	51.15	23-Apr	27-Apr	5,000.00	5.0
BUCK CAPITAL MGMT		KSS	B	20,000	42.77	8-May	15-May	non-brg	1.0
TROUBH PART	067	LOW	SS	30,000	20.11	12-May	18-May	1,500.00	5.0
HIGHBRIDGE CAPITAL	038	MGM	S	250,000	8.22	n/a	6-May	7,500.00	3.0
BUCK CAPITAL MGMT	001	MHK	B	50,000	41.31	n/a	n/a	2,000.00	4.0
MATRIX ASSET ADV.	036	MSFT	S	3,000	20.43	n/a	3-Apr	120.00	4.0
BUCK CAPITAL MGMT		NTRS	B	9,300	53.36	22-Apr	14-May	non-brg	1.0
MATRIX ASSET ADV.	036	NVLS	S	3,000	17.67	n/a	n/a	90.00	3.0
WHITE PINE CAPITAL	030	NWY	S	39,400	4.45	n/a	30-Jan	1,576.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COOPER CREEK PART	028	PAG	SS	10,000	11.81	n/a	6-May	400.00	4.0
⚡ BUCK CAPITAL MGMT		PETM	C	30,000	22.67	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		PSS	B	20,000	14.67	n/a	n/a	non-brg	1.0
f JASON ERIC COHEN	FID	SDS	S	60	58.70	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	SDS	S	2000	59.21	n/a	n/a	0.00	0.0
f MARK MEGALLI	FID	SIGM	B	2000	14.02	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKX	S	30,000	9.23	n/a	13-Mar	900.00	3.0
f JOSEPH CIRO AMATURO	FID	SPHX	S	14368	6.96	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	SPY	B	500	90.80	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		TGT	B	20,000	41.64	25-Feb	8-May	non-brg	4.0
BUCK CAPITAL MGMT	001	TJX	B	20,000	27.91	4-May	8-May	800.00	4.0
TROUBH PART	067	UNP	B	25,000	47.59	n/a	n/a	1,250.00	5.0
f JOHN CAREY MAGUIRE	FID	UQM	S	2000	1.83	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		URBN	B	40,000	19.16	n/a	30-Jan	non-brg	4.0
MILLENIUM PARTNERS	028	WMT	SS	25,780	49.46	11-May	14-May	1,031.20	4.0
BUCK CAPITAL MGMT	001	WRC	B	20,000	27.13	13-May	13-May	800.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
⌘ BUCK CAPITAL MGMT		WRC	B	18,500	27.20	13-May	13-May	non-brg 4.0
⌘ BUCK CAPITAL MGMT		WYNN	C	20,000	41.28	n/a	n/a	non-brg 1.0
⌘ BUCK CAPITAL MGMT		XRT	C	450,000	26.57	n/a	n/a	non-brg 1.0
TOTAL (Trade Date):								63,357.05

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	05/15	TRUST CO/COWEN/CALF.	040	CBS	B	2,150	6.96	n/a	n/a	86.00 4.0
AO,CXL	05/15	TRUST CO/COWEN/CALF.	040	CBS	B	2,150	6.96	n/a	n/a	86.00 4.0
AO,CRT	05/15	MISSION GLOBAL LLC	041	EP	B	24,350	8.60	n/a	n/a	974.00 4.0
AO,CXL	05/15	MISSION GLOBAL LLC	041	EP	B	24,350	8.60	n/a	n/a	974.00 4.0
AO,CRT	05/14	SCOPUS FUND	041	IR	S	25,000	20.47	n/a	n/a	1250.00 5.0
AO,CXL	05/14	SCOPUS FUND	041	IR	S	25,000	20.47	n/a	n/a	1250.00 5.0
AO,CRT	05/15	MISSION GLOBAL LLC	041	SUG	SS	9,740	15.70	n/a	n/a	389.60 4.0
AO,CXL	05/15	MISSION GLOBAL LLC	041	SUG	SS	9,740	15.70	n/a	n/a	389.60 4.0

**TOTAL (AO, CXL, CRT) :****0.00**

TOTAL (Trade Date) :

63,357.05

TOTAL (AO, CXL, CRT) :

0.00

**TOTAL (RUN DATE) / NFS:****63,357.05****MRI Securities with Trade Activity on 18-May.  
NONE**

MRI Securities without Trade Activity on 18-May.  
NONE

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 36%  
YTD = 22%

**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)**