



# Daily Compliance Activity Report

Trade Date: 07/24/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROBX	033	ABT	S	53,900	44.69	n/a	22-Apr	2,156.00	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>AEO</b>	<b>B</b>	<b>17,716</b>	<b>14.83</b>	<b>25-Jun</b>	<b>10-Jul</b>	<b>non-brg</b>	<b>1.0</b>
<b>f</b> CICY S BACKUS	<b>FID</b>	<b>AEO</b>	<b>B</b>	<b>5000</b>	<b>14.51</b>	<b>25-Jun</b>	<b>10-Jul</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	AEO	SS	20,000	14.70	25-Jun	10-Jul	1,000.00	5.0
<b>B</b> BUCK CAPITAL MGMT		<b>AGCO</b>	<b>S</b>	<b>10,000</b>	<b>31.16</b>	<b>29-Jun</b>	<b>29-Jun</b>	<b>non-brg</b>	<b>4.0</b>
BALYASNY ASSET MGMT	044	AMG	S	15,000	62.68	5-Jun	21-Jul	750.00	5.0
BUCK CAPITAL MGMT	001	ANF	B	30,000	27.88	3-Jun	10-Jul	1,200.00	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>AXL</b>	<b>S</b>	<b>250,000</b>	<b>1.20</b>	<b>n/a</b>	<b>9-Jul</b>	<b>non-brg</b>	<b>1.0</b>
HARVEST MGMT	039	BBBY	S	10,000	34.83	n/a	n/a	500.00	5.0
<b>f</b> CICY S BACKUS	<b>FID</b>	<b>BHI</b>	<b>B</b>	<b>1000</b>	<b>40.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BUCK CAPITAL MGMT	001	BIG	B	30,000	22.71	28-May	6-Jul	1,200.00	4.0
ARMATURE CAPITAL	041	BWA	B	25,000	35.91	10-Jun	16-Jul	1,000.00	4.0
EGS ASSOCIATES LP	091	CAKE	B	3,500	17.92	24-Jul	24-Jul	210.00	6.0
NEWCASTLE FUNDS	255	CAKE	SS	30,000	18.55	24-Jul	24-Jul	1,200.00	4.0
EPOCH INV MGMT	030	CMCSK	S	10,100	13.64	n/a	n/a	404.00	4.0
BUCK CAPITAL MGMT	001	COF	S	30,000	30.18	15-May	24-Jul	1,200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	COP	S	2,200	44.00	n/a	n/a	88.00	4.0
<b>f</b> <b>CICILY S BACKUS</b>	<b>FID</b>	<b>CVGI</b>	<b>B</b>	<b>5000</b>	<b>1.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> <b>CICILY S BACKUS</b>	<b>FID</b>	<b>CVGI</b>	<b>B</b>	<b>5000</b>	<b>1.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> <b>LEE F BACKUS</b>	<b>FID</b>	<b>CVGI</b>	<b>B</b>	<b>5000</b>	<b>1.59</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EPOCH INV MGMT	030	DD	S	3,800	30.10	n/a	21-Jul	152.00	4.0
EPOCH INV MGMT	030	DE	S	1,800	41.56	n/a	17-Jun	72.00	4.0
EPOCH INV MGMT	030	DHR	S	2,050	60.91	n/a	n/a	82.00	4.0
EPOCH INV MGMT	030	DO	S	1,450	91.45	n/a	n/a	58.00	4.0
EPOCH INV MGMT	030	DVA	S	4,250	49.27	n/a	n/a	170.00	4.0
<b>f</b> <b>DAVID GEORGE BUCK</b>	<b>FID</b>	<b>EFA</b>	<b>B</b>	<b>1000</b>	<b>48.77</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>EL</b>	<b>SS</b>	<b>20,000</b>	<b>35.08</b>	<b>5-May</b>	<b>5-May</b>	<b>800.00</b>	<b>4.0</b>
EPOCH INV MGMT	030	ERTS	S	4,300	21.33	n/a	n/a	172.00	4.0
EPOCH INV MGMT	030	ETR	S	850	79.46	n/a	n/a	34.00	4.0
EPOCH INV MGMT	030	FISV	S	3,100	49.28	n/a	n/a	124.00	4.0
DIAMONDBACK CAP MGMT	232	FITB	B	25,000	8.32	n/a	n/a	1,250.00	5.0
<b>B</b> <b>BUCK CAPITAL MGMT</b>		<b>FOSL</b>	<b>S</b>	<b>20,000</b>	<b>25.18</b>	<b>30-Jan</b>	<b>30-Jan</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRELLUS PARTNERS LP	028	GNTX	SS	10,000	14.55	10-Jun	23-Jul	500.00	5.0
COUGAR TRADING	044	GYMB	B	5,000	39.10	21-May	10-Jul	250.00	5.0
RK CAPTIAL MGMT	045	HEI	SS	7,800	38.94	n/a	n/a	390.00	5.0
BUCK CAPITAL MGMT	001	HOG	SS	20,000	21.69	n/a	n/a	800.00	4.0
CSFB GLOBAL PROPRIETARY	041	IP	B	60,000	18.44	21-Jul	21-Jul	3,000.00	5.0
f MARC PAUL LUCHANSKY	FID	IRHF	S	3	0.25	n/a	n/a	0.00	0.0
CHARTER OAK	033	IR	S	100,000	26.71	27-Jul	1-Jul	5,000.00	5.0
f NICOLAS EVAN PAKLER	FID	IR	S	100	27.11	27-Jul	1-Jul	0.00	0.0
B BUCK CAPITAL MGMT		ISLE	C	30,000	13.11	n/a	26-Jan	non-brg	4.0
f DAVID GEORGE BUCK	FID	ISTA	S	2500	5.07	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	JCG	B	20,000	28.82	30-Jan	30-Jan	800.00	4.0
NEWCASTLE FUNDS	255	JCP	B	40,000	29.55	13-Apr	10-Jul	1,600.00	4.0
COUGAR TRADING	044	JWN	B	5,000	25.57	20-Feb	10-Jul	250.00	5.0
JP MORGAN VENTURES	046	LTD	B	25,000	12.56	30-Jan	30-Jan	1,250.00	5.0
B BUCK CAPITAL MGMT		LVS	S	60,000	10.78	n/a	14-Jul	non-brg	4.0
BUCK CAPITAL MGMT	001	MGM	B	68,248	7.32	n/a	8-Jul	2,047.44	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>MHS</b>	<b>S</b>	<b>1000</b>	<b>49.66</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> MATTHEW FRANCIS BUCK	<b>FID</b>	<b>MHS</b>	<b>S</b>	<b>400</b>	<b>49.64</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>MNE</b>	<b>B</b>	<b>1</b>	<b>11.21</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>MPEL</b>	<b>S</b>	<b>150,000</b>	<b>5.25</b>	<b>n/a</b>	<b>14-Jul</b>	<b>non-brg</b>	<b>1.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>MPEL</b>	<b>S</b>	<b>300,000</b>	<b>5.27</b>	<b>n/a</b>	<b>14-Jul</b>	<b>non-brg</b>	<b>3.0</b>
CIRCLE T/SES PART	035	MPEL	B	25,000	5.28	n/a	14-Jul	750.00	3.0
CONIFER/ISF	025	MSFT	B	14,900	23.30	n/a	3-Apr	745.00	5.0
<b>f</b> IAN L MILLER	<b>FID</b>	<b>MSFT</b>	<b>B</b>	<b>25</b>	<b>23.20</b>	<b>n/a</b>	<b>3-Apr</b>	<b>0.00</b>	<b>0.0</b>
SIGMA CAPITAL ASSOCIATES	041	MSFT	B	60,000	23.32	n/a	3-Apr	2,400.00	4.0
DIAMONDBACK CAP MGMT	232	MS	B	25,000	28.20	11-May	23-Jul	1,250.00	5.0
SANDLER O'NEILL ASSET	031	MS	B	50,000	27.80	11-May	23-Jul	2,500.00	5.0
ROSEDALE CAPITAL	046	PFE	S	30,000	16.15	n/a	31-Mar	1,500.00	5.0
<b>B</b> BUCK CAPITAL MGMT		<b>PLCE</b>	<b>B</b>	<b>30,000</b>	<b>30.95</b>	<b>19-Mar</b>	<b>10-Jul</b>	<b>non-brg</b>	<b>4.0</b>
HOOVER INV. MGMT	033	PLCM	S	35,500	23.82	n/a	22-Mar	1,420.00	4.0
BUCK CAPITAL MGMT	<b>001</b>	<b>PSS</b>	<b>S</b>	<b>60,000</b>	<b>15.86</b>	<b>n/a</b>	<b>n/a</b>	<b>2,400.00</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>PSS</b>	<b>S</b>	<b>10,000</b>	<b>15.74</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>PSS</b>	<b>S</b>	<b>40,000</b>	<b>15.98</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>PSS</b>	<b>S</b>	<b>75,000</b>	<b>15.95</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
COUGAR TRADING	044	PVH	B	5,000	33.64	20-Apr	21-May	250.00	5.0
<b>f</b> JOSEPH CIRO AMATURO	<b>FID</b>	<b>QCLUD</b>	<b>B</b>	<b>10</b>	<b>0.85</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.	
COUGAR TRADING	044	RL	B	5,000	61.25	25-Jun	25-Jun	250.00	5.0
NEUBERGER BERMAN	036	SCHW	B	214,470	16.62	n/a	n/a	9,651.15	4.5
f DAVID GEORGE BUCK	FID	SGP	S	2000	26.75	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SII	B	20,000	25.24	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	SKX	S	20,000	13.49	n/a	13-Mar	800.00	4.0
B BUCK CAPITAL MGMT		SLB	B	20,000	55.93	n/a	n/a	non-brg	4.0
f CICILY S BACKUS	FID	SLB	B	1000	55.97	n/a	n/a	0.00	0.0
f ANDREW SINCLAIR	FID	SZCUJ	B	95	0.93	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		TEX	S	10,000	14.42	n/a	24-Jul	non-brg	4.0
f JOHN CAREY MAGUIRE	FID	TIF	S	300	29.32	30-Jan	30-Jan	0.00	0.0
f JOSEPH CIRO AMATURO	FID	TIN	S	1000	15.45	23-Jul	23-Jul	0.00	0.0
NEWCASTLE FUNDS	255	UTX	S	50,000	52.68	n/a	n/a	2,000.00	4.0
B BUCK CAPITAL MGMT		WFT	B	10,000	19.04	n/a	n/a	non-brg	4.0
f IAN L MILLER	FID	WHR	S	15	55.08	n/a	n/a	0.00	0.0
f NEIL M STRATTON	FID	WHR	S	125	55.00	n/a	n/a	0.00	0.0
CASEY CAPITAL	067	WRC	S	3,000	36.31	13-May	13-May	150.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	WRC	B	5,000	36.20	13-May	13-May	250.00	5.0
<b>B</b> BUCK CAPITAL MGMT		WYNN	C	100,000	46.14	n/a	14-Jul	non-brg	4.0
JMP ASSET MGMT	210	ZAGG	S	6,000	7.31	n/a	n/a	300.00	5.0
<b>TOTAL (Trade Date) :</b>							<b>56,325.59</b>		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CRT	07/23	PATTEN & PATTEN	067	BAC	S	900	12.46	11-May	20-Jul	45.00	5.0
AO,CXL	07/23	PATTEN & PATTEN	067	BAC	S	900	12.46	11-May	20-Jul	45.00	5.0
AO,	07/23	SCOGGIN CAP	039	BMS	S	5,000	27.00	n/a	n/a	250.00	5.0
AO,CXL	07/23	CONIFER/ISF	025	COO	B	3,571	25.90	n/a	n/a	178.55	5.0
AO,CRT	07/23	WILLOW CREEK	033	COO	B	3,571	25.90	n/a	n/a	142.84	4.0
AO,CRT	07/23	DC CAPITAL	044	JPM	S	50,000	37.30	n/a	20-Jul	2000.00	4.0
AO,CXL	07/23	DC CAPITAL	044	JPM	S	50,000	37.30	n/a	20-Jul	2500.00	5.0
AO,CXL	07/23	CONIFER/ISF	025	LRN	B	4,434	19.59	n/a	n/a	221.70	5.0
AO,CRT	07/23	WILLOW CREEK	033	LRN	B	4,434	19.59	n/a	n/a	177.36	4.0
AO,CRT	07/22	BUCK CAPITAL MGMT	001	LVS	S	44,700	10.02	n/a	14-Jul	1341.00	3.0
AO,CXL	07/22	BUCK CAPITAL MGMT	001	LVS	S	44,700	10.02	n/a	14-Jul	1788.00	4.0
AO,CXL	07/23	CONIFER/ISF	025	OC	B	3,730	17.17	n/a	n/a	186.50	5.0
AO,CRT	07/23	WILLOW CREEK	033	OC	B	3,730	17.17	n/a	n/a	149.20	4.0
AO,	07/23	NWQ INVESTMENT MGMT CO	048	TIN	S	50,930	14.54	23-Jul	23-Jul	2037.20	4.0
AO,CXL	07/23	NWQ INVESTMENT MGMT CO	048	TIN	S	50,930	14.54	23-Jul	23-Jul	2037.20	4.0
AO,CRT	07/23	THIRD COAST CAPITAL	035	TLB	B	35,000	4.37	30-Jan	30-Jan	1050.00	3.0
AO,CXL	07/23	THIRD COAST CAPITAL	035	TLB	B	35,000	4.37	30-Jan	30-Jan	1750.00	5.0
AO,CXL	07/23	CONIFER/ISF	025	TXT	B	3,182	11.27	n/a	n/a	159.10	5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	07/23	WILLOW CREEK	033	TXT	B	3,182	11.27	n/a	n/a	127.28 4.0
AO,CRT	07/23	MILLENIUUM PARTNERS	028	WMT	B	43,000	49.19	11-May	6-Jul	1720.00 4.0
AO,CXL	07/23	MILLENIUUM PARTNERS	028	WMT	B	43,000	49.19	11-May	6-Jul	1720.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-1,546.17</b>

TOTAL (Trade Date):	56,325.59
TOTAL (AO, CXL, CRT):	-1,546.17

<b>TOTAL (RUN DATE) / NFS:</b>	<b>54,779.42</b>
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MRI Securities with Trade Activity on 24-Jul.  
**CAKE**

MRI Securities without Trade Activity on 24-Jul.  
**NONE**

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 29%  
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)**