



Daily Compliance Activity Report

Trade Date: 06/18/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SUN AMERICA ASSET MGMT	030	ABC	B	12,300	18.34	n/a	n/a	492.00	4.0
STADIA CAPITAL	035	ABT	S	5,600	47.41	n/a	22-Apr	224.00	4.0
COUGAR TRADING	044	AEO	B	5,000	13.68	20-Apr	5-Jun	250.00	5.0
f DAVID GEORGE BUCK	FID	AET	B	1000	25.09	n/a	n/a	0.00	0.0
JMP ASSET MGMT	210	AGCO	B	3,000	27.60	n/a	20-May	150.00	5.0
SUN AMERICA ASSET MGMT	030	ALTR	B	10,200	16.17	n/a	n/a	408.00	4.0
WAGONHOUND/NIC	048	ALV	S	608	26.82	10-Jun	10-Jun	24.32	4.0
BASIX	033	AOS	B	24,000	31.77	16-Jun	16-Jun	720.00	3.0
CIRCLE T/SES PART	035	AXL	B	25,000	3.49	10-Jun	10-Jun	750.00	3.0
FIRST NEW YORK LEDDY	035	AXL	B	10,000	3.49	10-Jun	10-Jun	600.00	6.0
SCOPUS FUND	041	AXL	B	35,000	3.47	10-Jun	10-Jun	1,750.00	5.0
TRELLUS PARTNERS LP	028	AXL	B	17,500	3.24	10-Jun	10-Jun	525.00	3.0
WAGONHOUND/NIC	048	AXL	B	100,210	3.41	10-Jun	10-Jun	3,006.30	3.0
B BUCK CAPITAL MGMT		BBY	B	10,000	34.05	n/a	27-Jul	non-brg	1.0
B BUCK CAPITAL MGMT		BBY	B	10,000	34.28	n/a	27-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		BBY	B	30,000	34.50	n/a	27-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		BIG	B	50,000	20.92	28-May	9-Jun	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE/MS OLDS	041	CCI	S	12,331	22.49	n/a	n/a	493.24	4.0
MORGAN BANK /JPM	070	CELG	B	23,622	46.06	n/a	n/a	708.66	3.0
f DAVID GEORGE BUCK	FID	CMA	B	2000	20.99	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		COH	S	150,000	25.29	n/a	22-Apr	non-brg	4.0
B BUCK CAPITAL MGMT		COH	S	50,000	25.22	n/a	22-Apr	non-brg	2.0
COUGAR TRADING	044	COH	B	5,000	25.28	n/a	22-Apr	250.00	5.0
SUN AMERICA ASSET MGMT	030	CRAY	B	19,700	6.30	n/a	n/a	788.00	4.0
HIGHBRIDGE/MS OLDS	041	CTV	B	11,440	24.12	n/a	n/a	457.60	4.0
GRANITE CAPITAL	045	DECK	B	10,000	68.31	n/a	n/a	500.00	5.0
SANDLER O'NEILL ASSET	031	DFS	S	58,361	9.53	n/a	18-Jun	1,750.83	3.0
NEUBERGER BERMAN	036	DFT	B	24,600	9.34	n/a	n/a	738.00	3.0
M&I FUNDS	256	DLTR	S	6,240	41.84	8-May	9-Jun	249.60	4.0
MORGAN BANK /JPM	070	DRI	S	15,882	33.56	19-Mar	17-Jun	476.46	3.0
SUN AMERICA ASSET MGMT	030	DV	S	11,400	48.76	n/a	n/a	456.00	4.0
f NEIL M STRATTON	FID	GHQWS	B	1000	0.60	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		HBI	B	20,000	15.70	n/a	n/a	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	HGG	B	10,000	15.56	n/a	n/a	400.00	4.0
f NEIL M STRATTON	FID	HTZXA	S	3	1.10	n/a	n/a	0.00	0.0
SUN AMERICA ASSET MGMT	030	IACI	S	16,900	16.23	n/a	n/a	676.00	4.0
BMO NESBITT BURNS	041	IP	B	25,000	14.20	n/a	1-May	1,250.00	5.0
COLONIAL FUND LLC	036	IP	B	72,500	14.25	n/a	1-May	3,625.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	B	68,000	14.22	n/a	1-May	3,400.00	5.0
NEWLAND CAPITAL MGT	067	IP	B	20,000	14.25	n/a	1-May	800.00	4.0
SCOPUS FUND	041	IP	B	48,000	14.22	n/a	1-May	2,400.00	5.0
NEUBERGER BERMAN	036	ISLE	B	7,600	11.71	n/a	26-Jan	342.00	4.5
DEFIANCE ASSET	028	JAKK	S	20,000	12.01	n/a	n/a	800.00	4.0
B BUCK CAPITAL MGMT		JCG	B	20,000	24.61	n/a	30-Jan	non-brg	4.0
THE JAY GOLDMAN	034	JCP	B	30,000	26.02	13-Apr	5-Jun	1,200.00	4.0
B BUCK CAPITAL MGMT		JOSE	B	10,000	32.32	n/a	n/a	non-brg	4.0
f JOHN MICHAEL ZOLIDIS	FID	KMX	B	1000	12.90	n/a	10-Jan	0.00	0.0
B BUCK CAPITAL MGMT		KSS	B	10,000	43.30	8-May	5-Jun	non-brg	4.0
FIRST NEW YORK LEDDY	035	KSS	B	10,000	43.57	8-May	5-Jun	600.00	6.0
GREEN ARROW CAPITAL	040	KSS	B	25,000	43.57	8-May	5-Jun	1,250.00	5.0
LEVIN CAPITAL STRATEGIES	012	KSS	C	20,000	43.39	8-May	5-Jun	800.00	4.0
COLUMBIA PARTNERS	028	LHO	S	30,000	11.86	n/a	n/a	1,200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BARCLEYS CAP (OLD LEHM)	041	M	SS	100,000	10.66	n/a	5-Jun	4,000.00	4.0
f JOHN MICHAEL ZOLIDIS	FID	M	B	500	10.91	n/a	5-Jun	0.00	0.0
MKT MAKER	099	NCX	S	8	5.92	n/a	n/a	0.00	0.0
CENTURION GLOBAL MGMT LL	041	OVTI	S	20,000	11.05	n/a	n/a	600.00	3.0
BUCK CAPITAL MGMT	001	OXM	SS	30,000	11.44	n/a	n/a	1,200.00	4.0
RAMIUS CAP	040	PCL	B	57,800	29.38	n/a	29-Apr	2,312.00	4.0
MOORE CAPITAL	036	PFE	SS	50,000	15.07	n/a	31-Mar	2,000.00	4.0
SCOPUS FUND	041	PKG	B	40,100	14.69	8-Apr	21-Apr	2,005.00	5.0
B BUCK CAPITAL MGMT		PLCE	B	10,000	28.32	19-Mar	5-Jun	non-brg	4.0
MORGAN BANK /JPM	070	PNRA	S	10,451	51.22	n/a	11-Jun	313.53	3.0
JP MORGAN VENTURES	046	PSUN	S	50,000	30.08	6-Feb	6-Feb	1,500.00	3.0
B BUCK CAPITAL MGMT		QUK+FL[DECK]	C	250	7.55	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	RL	B	20,000	50.86	n/a	28-May	800.00	4.0
FIRST NEW YORK LEDDY	035	RSH	B	20,000	13.58	n/a	n/a	800.00	4.0
f RAGHAV NAYAR	FID	SLM	S	76	8.16	23-Apr	18-Jun	0.00	0.0
&SEN	028	TIN	B	31,100	12.12	5-Jun	5-Jun	1,244.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		TLB	B	25,000	6.02	n/a	30-Jan	non-brg	2.5
ß BUCK CAPITAL MGMT		TLB	B	25,000	6.16	n/a	30-Jan	non-brg	1.5
ß BUCK CAPITAL MGMT		TLB	B	50,000	6.37	n/a	30-Jan	non-brg	3.0
ARCHON CAPITAL	035	TRMB	B	25,000	20.01	n/a	n/a	750.00	3.0
SACC-SCHWARTZ	044	VALE	B	50,000	18.74	n/a	n/a	2,000.00	4.0
SUFFOLK CAPITAL MGMT	040	WAG	B	297,500	31.54	n/a	n/a	11,900.00	4.0
f ROBERT M DANIELS	FID	WEN	B	1000	4.10	n/a	24-Apr	0.00	0.0
ROTHSCHILD ASSET	040	WGL	S	25,040	32.23	n/a	n/a	1,126.80	4.5
STADIA CAPITAL	035	WLP	S	4,500	50.00	n/a	n/a	180.00	4.0
JMP ASSET MGMT	210	ZZRT	B	16,800	2.09	n/a	n/a	336.00	2.0
TOTAL (Trade Date) :								67,578.34	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	06/17	US BANCORP	030	CL	B	1,588	69.67	8-Jun	8-Jun	79.40	5.0
AO,CRT	06/17	US BANCORP	030	CL	B	1,588	69.67	8-Jun	8-Jun	79.40	5.0
AO,	06/17	ROTHSCHILD ASSET	040	HRL	S	39,920	34.00	n/a	n/a	1796.40	4.5
AO,CRT	06/17	JMP ASSET MGMT	210	SKS	B	20,000	3.96	n/a	n/a	600.00	3.0
AO,CXL	06/17	JMP ASSET MGMT	210	SKS	B	20,000	3.96	n/a	n/a	800.00	4.0
AO,CXL	06/17	US BANCORP	030	SLB	S	1,856	56.04	n/a	n/a	92.80	5.0
AO,CRT	06/17	US BANCORP	030	SLB	S	1,856	56.04	n/a	n/a	92.80	5.0
AO,CRT	06/01	LISTED ERR	099	STI	B	1,500	13.25	n/a	n/a	0.00	0.0
AO,CXL	06/01	LISTED ERR	099	STI	B	1,500	13.25	n/a	n/a	0.00	0.0
AO,CRT	06/01	LISTED ERR	099	STI	S	1,500	13.85	n/a	n/a	0.00	0.0
AO,CXL	06/01	LISTED ERR	099	STI	S	1,500	13.85	n/a	n/a	0.00	0.0

TOTAL (AO, CXL, CRT) :	1,596.40
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TOTAL (Trade Date) :	67,578.34
TOTAL (AO, CXL, CRT) :	1,596.40

TOTAL (RUN DATE) / NFS:	69,174.74
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MRI Securities with Trade Activity on 18-Jun.
NONE

MRI Securities without Trade Activity on 18-Jun.
NONE

BRG comm. as a % of BCM Total Comm. paid.
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)