



Daily Compliance Activity Report

Trade Date: 06/19/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		AAPL	B	5,000	138.60	n/a	n/a	non-brg	1.0
HIGHBRIDGE CAPITAL	038	ADP	B	12,000	35.60	n/a	n/a	480.00	4.0
BUCK CAPITAL MGMT	001	AEO	S	100,000	13.96	20-Apr	5-Jun	4,000.00	4.0
COUGAR TRADING	044	AEO	B	5,000	14.00	20-Apr	5-Jun	250.00	5.0
OVERLAND PARK CAP	041	AEO	B	21,500	13.95	20-Apr	5-Jun	1,075.00	5.0
f DAVID GEORGE BUCK	FID	AETGE	S	15	2.00	n/a	n/a	0.00	0.0
WAGONHOUND/NIC	048	ALV	S	11,900	27.38	10-Jun	10-Jun	476.00	4.0
NEWCASTLE FUNDS	255	ANN	SS	20,000	7.48	n/a	30-Jan	800.00	4.0
TRELLUS PARTNERS LP	028	AN	B	100,000	17.03	10-Jun	10-Jun	5,000.00	5.0
BUCK CAPITAL MGMT	001	ARO	B	70,000	35.17	n/a	5-Jun	2,800.00	4.0
NEUBERGER BERMAN	036	AXE	B	11,910	39.24	27-May	27-May	535.96	4.5
B BUCK CAPITAL MGMT		AXL	B	100,000	3.30	10-Jun	10-Jun	non-brg	1.0
B BUCK CAPITAL MGMT		AXL	B	100,000	3.39	10-Jun	10-Jun	non-brg	2.0
CIRCLE T/SES PART	035	AXL	B	50,000	3.34	10-Jun	10-Jun	1,500.00	3.0
TRELLUS PARTNERS LP	028	AXL	B	100,000	3.33	10-Jun	10-Jun	3,000.00	3.0
WAGONHOUND/NIC	048	AXL	B	19,455	3.38	10-Jun	10-Jun	583.65	3.0
f LEE F BACKUS	FID	BAC	B	2000	13.07	11-May	17-Jun	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BANK OF NEW YORK	046	BA	S	30,522	49.15	n/a	n/a	1,526.10	5.0
REINHART & MAHONEY	031	BBBB	B	2,800	29.03	n/a	n/a	140.00	5.0
ß BUCK CAPITAL MGMT		BBBY	C	125,000	28.42	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BBBY	C	70,000	28.41	n/a	n/a	non-brg	1.0
HARVEST MGMT	039	BJ	SS	20,000	32.36	n/a	27-Jul	1,000.00	5.0
LEVIN CAPITAL STRATEGIES	012	BWA	S	45,000	32.35	10-Jun	10-Jun	1,800.00	4.0
ß BUCK CAPITAL MGMT		BYD	B	125,000	8.67	n/a	7-May	non-brg	3.0
ß BUCK CAPITAL MGMT		BYD	B	75,000	8.73	n/a	7-May	non-brg	1.5
BANK OF NEW YORK	046	CAH	B	9,940	31.79	n/a	n/a	497.00	5.0
ß BUCK CAPITAL MGMT		CCL	SS	100,000	26.42	n/a	26-Jan	non-brg	4.0
ß BUCK CAPITAL MGMT		CHS	S	50,000	10.16	n/a	30-Jan	non-brg	1.0
f ANTHONY SUTERA	FID	CIT	B	5000	2.60	23-Apr	17-Jun	0.00	0.0
ß BUCK CAPITAL MGMT		CIT	B	100,000	2.61	23-Apr	17-Jun	non-brg	1.0
Õ David Keidan		CIT	B	100000	2.61	23-Apr	17-Jun	0.00	0.0
ß BUCK CAPITAL MGMT		COF	B	30,000	22.10	15-May	17-Jun	non-brg	4.0
ß BUCK CAPITAL MGMT		COH+FW[???	C	1,000	3.07	n/a	n/a	non-brg	300.0
MISSION GLOBAL LLC	041	COP	B	15,000	43.46	n/a	n/a	600.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AVESTA CAP	229	CVS	B	50,000	31.78	n/a	n/a	2,000.00	4.0
B BUCK CAPITAL MGMT		DECK	S	15,000	68.93	n/a	n/a	non-brg	2.0
PRINCIPLE CAPITAL	040	DIS	B	94,500	23.69	n/a	n/a	2,835.00	3.0
HIGHBRIDGE CAPITAL	038	DY	B	3,437	11.06	n/a	n/a	137.48	4.0
f DAVID GEORGE BUCK	FID	FHUJD	B	45	1.15	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FL	SS	20,000	10.87	27-Apr	22-May	non-brg	4.0
f CICIly S BACKUS	FID	FSIN	S	5000	7.94	n/a	n/a	0.00	0.0
f LEE F BACKUS	FID	FSIN	S	5000	7.95	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FUA+FD[???	C	2,005	3.44	n/a	n/a	non-brg	300.0
UBS OCONNOR	031	GS	SS	50,000	142.99	11-May	19-Jun	1,500.00	3.0
f KAREN F LEDDY	FID	HAR	B	1400	18.53	10-Jun	16-Jun	0.00	0.0
B BUCK CAPITAL MGMT		HBI	S	20,000	16.34	n/a	n/a	non-brg	4.0
SUN AMERICA ASSET MGMT	030	HNZ	B	30,000	37.01	n/a	n/a	1,200.00	4.0
NEWCASTLE FUNDS	255	HON	SS	18,800	32.83	n/a	24-Apr	752.00	4.0
BUCK CAPITAL MGMT	001	HOT	SS	50,000	22.74	n/a	n/a	2,000.00	4.0
B BUCK CAPITAL MGMT		HOT	SS	100,000	23.00	n/a	n/a	non-brg	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GCOR	041	INTC	S	50,000	15.91	n/a	n/a	2,500.00	5.0
NEUBERGER BERMAN	036	ISLE	B	32,000	12.43	n/a	26-Jan	1,440.00	4.5
GREEN ARROW CAPITAL	040	JAVA	B	100	9.22	n/a	n/a	2.00	2.0
B BUCK CAPITAL MGMT		JCG	B	30,000	24.87	n/a	30-Jan	non-brg	4.0
THE JAY GOLDMAN	034	JCP	S	25,000	26.49	13-Apr	19-Jun	1,000.00	4.0
f JOSEPH CIRO AMATURO	FID	JNK	B	2000	34.84	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		JOSB	B	20,000	32.09	n/a	n/a	non-brg	4.0
f JOHN MICHAEL ZOLIDIS	FID	KMX	S	1000	14.62	n/a	10-Jan	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	KMX	S	2000	14.67	n/a	10-Jan	0.00	0.0
B BUCK CAPITAL MGMT	001	KSS	B	10,000	43.93	8-May	5-Jun	400.00	4.0
B BUCK CAPITAL MGMT		KSS	B	5,000	43.76	8-May	5-Jun	non-brg	1.0
LEVIN CAPITAL STRATEGIES	012	KSS	SS	20,000	43.72	8-May	5-Jun	800.00	4.0
THE JAY GOLDMAN	034	KSS	B	15,000	43.85	8-May	5-Jun	600.00	4.0
BANK OF NEW YORK	046	LOW	S	58,600	18.75	12-May	18-May	2,930.00	5.0
CADIAN CAPITAL	067	LULU	SS	25,000	13.83	n/a	n/a	750.00	3.0
B BUCK CAPITAL MGMT		MA	B	3,000	161.06	n/a	17-Jun	non-brg	1.0
BANK OF NEW YORK	046	MHS	B	33,190	47.18	n/a	n/a	1,659.50	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MISSION GLOBAL LLC	041	MRO	S	20,000	31.20	n/a	n/a	800.00	4.0
NICOLAS APPELGATE	048	MSFT	S	200,000	24.12	n/a	3-Apr	8,000.00	4.0
f LEE F BACKUS	FID	MS	B	1000	28.16	11-May	19-Jun	0.00	0.0
B BUCK CAPITAL MGMT		MVRX	SS	60,000	127.97	n/a	n/a	non-brg	12.8
SCOPUS FUND	041	M	B	50,000	11.05	n/a	5-Jun	2,500.00	5.0
SUN AMERICA ASSET MGMT	030	NNI	B	78,900	11.46	n/a	n/a	3,156.00	4.0
BUCK CAPITAL MGMT	001	OXM	SS	20,000	11.73	n/a	n/a	800.00	4.0
HIGHBRIDGE CAPITAL	038	PAYX	B	12,000	26.62	n/a	n/a	480.00	4.0
B BUCK CAPITAL MGMT		PLCE	B	10,000	26.77	19-Mar	5-Jun	non-brg	2.5
HARVEST MGMT	039	PLCE	B	20,000	27.29	19-Mar	5-Jun	1,000.00	5.0
B BUCK CAPITAL MGMT		PP FP	C	69,461	79.09	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		PSS+FB[???	C	1,990	4.05	n/a	n/a	non-brg	300.0
KENNEDY CAPITAL	046	PSUN	B	53,154	3.00	6-Feb	6-Feb	1,063.08	2.0
BUCK CAPITAL MGMT	001	PVH	S	40,000	28.50	20-Apr	21-May	1,600.00	4.0
STADIA CAPITAL	035	QCOM	S	24,400	45.20	n/a	n/a	976.00	4.0
B BUCK CAPITAL MGMT		QUK+FM[???	C	496	4.04	n/a	n/a	non-brg	300.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GREEN ARROW CAPITAL	040	RL	B	5,000	51.46	n/a	28-May	250.00	5.0
THE BOSTON COMPANY	039	RL	B	15,330	52.20	n/a	28-May	613.20	4.0
JMP ASSET MGMT	210	SKS	B	700	3.97	n/a	n/a	21.00	3.0
B BUCK CAPITAL MGMT		SKX	S	36,300	9.82	n/a	13-Mar	non-brg	2.0
B BUCK CAPITAL MGMT		SKX	S	4,000	9.70	n/a	13-Mar	non-brg	1.0
DC CAPITAL	044	SOA	S	50,000	5.83	n/a	n/a	1,500.00	3.0
SUN AMERICA ASSET MGMT	030	SOA	S	10,000	5.58	n/a	n/a	400.00	4.0
f ANTHONY NG	FID	S	B	100	5.00	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	TIN	S	700	12.10	5-Jun	5-Jun	0.00	0.0
BUCK CAPITAL MGMT	001	TJX	S	100,000	30.89	4-May	5-Jun	4,000.00	4.0
B BUCK CAPITAL MGMT		TLB	S	50,000	6.98	n/a	30-Jan	non-brg	3.0
MISSION GLOBAL LLC	041	TLM	B	20,000	14.59	n/a	n/a	800.00	4.0
B BUCK CAPITAL MGMT		TQQ+VE [COLM]	SS	1,000	0.90	n/a	n/a	non-brg	100.0
ARCHON CAPITAL	035	TRMB	B	49,000	20.14	n/a	n/a	1,470.00	3.0
CHARTER OAK	033	UFS	SS	50,000	16.75	n/a	n/a	2,500.00	5.0
M&I FUNDS	256	URBN	S	75,000	21.50	n/a	30-Jan	3,000.00	4.0
B BUCK CAPITAL MGMT		URQ+FD [???	C	992	1.40	n/a	n/a	non-brg	300.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DIAMONDBACK CAP MGMT	232	UTX	SS	30,000	54.21	n/a	n/a	1,500.00	5.0
f DAVID GEORGE BUCK	FID	VQRJG	S	15	2.90	n/a	n/a	0.00	0.0
BANK OF NEW YORK	046	WMB	S	23,950	15.93	n/a	n/a	1,197.50	5.0
B BUCK CAPITAL MGMT		WMS	SS	30,000	30.62	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		WRC+FF[???	C	995	2.85	n/a	n/a	non-brg	300.0
B BUCK CAPITAL MGMT		WRC	S	99,500	32.85	13-May	13-May	non-brg	2.0
PRINCIPLE CAPITAL	040	WYNN	B	25,700	36.61	n/a	n/a	771.00	3.0
MISSION GLOBAL LLC	041	XEC	S	6,800	30.57	n/a	n/a	272.00	4.0
KACELA CAPITAL	034	YUM	B	15,000	34.80	n/a	11-Jun	600.00	4.0
TOTAL (Trade Date) :								87,839.47	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/18	JP MORGAN VENTURES	046	PSUN	S	50,000	30.08	6-Feb	6-Feb	1500.00 3.0
AO,CRT	06/18	JP MORGAN VENTURES	046	PSUN	S	50,000	3.08	6-Feb	6-Feb	1500.00 3.0
AO,CXL	06/18	&SEN	028	TIN	B	31,100	12.12	5-Jun	5-Jun	1244.00 4.0
AO,CRT	06/18	SENATOR INVESTMENT GROUP	036	TIN	B	31,100	12.12	5-Jun	5-Jun	1244.00 4.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date) :	87,839.47
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	87,839.47
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MRI Securities with Trade Activity on 19-Jun. NONE

MRI Securities without Trade Activity on 19-Jun. NONE
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BRG comm. as a % of BCM Total Comm. paid. T-Date = 19% YTD = 20%
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<u>Legend:</u>
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)