



# Daily Compliance Activity Report

Trade Date: 04/16/2009

Potential ANALYST TRADE Violations: 0

BCM Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		ABG	B	50,000	6.47	n/a	17-Mar	non-brg	3.0
BUCK CAPITAL MGMT		AEO	B	50,000	13.98	8-Apr	13-Apr	non-brg	4.0
ROSEDALE CAPITAL	046	AEO	S	30,000	13.88	8-Apr	13-Apr	1,500.00	5.0
BUCK CAPITAL MGMT		AMB	C	17,658	18.00	n/a	n/a	non-brg	4.0
NEWCASTLE FUNDS	033	ANN	SS	18,200	7.00	n/a	30-Jan	728.00	4.0
BUCK CAPITAL MGMT		APP	B	50,000	4.26	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		ARE	C	22,826	38.47	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		AVB	C	11,890	53.65	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	BBY	B	10,000	37.71	n/a	27-Jul	400.00	4.0
BUCK CAPITAL MGMT		BIG	B	30,000	25.04	4-Mar	6-Apr	non-brg	4.0
BUCK CAPITAL MGMT		BKC	B	47,000	18.92	16-Apr	16-Apr	non-brg	4.0
WINSLOW CAPITAL	030	BLK	B	8,300	133.58	4-Mar	7-Apr	332.00	4.0
BUCK CAPITAL MGMT		BXP	C	34,000	41.62	n/a	n/a	non-brg	4.0
RAINIER INV MGMT	035	BYI	S	126,600	23.09	n/a	n/a	5,064.00	4.0
BUCK CAPITAL MGMT		CACH	B	20,000	2.90	n/a	n/a	non-brg	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEWCASTLE FUNDS	033	CAKE	SS	50,000	14.76	n/a	13-Apr	2,000.00	4.0
<b>f</b> JOEL GIFFORD TISS	<b>FID</b>	<b>CCK</b>	<b>S</b>	<b>5000</b>	<b>24.32</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BUCK CAPITAL MGMT	001	COH	B	50,000	18.67	9-Jan	3-Apr	2,000.00	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>COST</b>	<b>C</b>	<b>50,000</b>	<b>46.49</b>	<b>n/a</b>	<b>27-Jul</b>	<b>non-brg</b>	<b>4.0</b>
REICH AND TANG	067	CRR	B	5,000	31.37	5-Feb	15-Apr	250.00	5.0
<b>B</b> BUCK CAPITAL MGMT		<b>CWTR</b>	<b>B</b>	<b>50,000</b>	<b>2.99</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>f</b> BRIAN W CRAGO	<b>FID</b>	<b>C</b>	<b>B</b>	<b>500</b>	<b>4.03</b>	<b>n/a</b>	<b>13-Apr</b>	<b>0.00</b>	<b>0.0</b>
TROUBH PART	067	DELL	S	50,000	10.76	n/a	n/a	2,500.00	5.0
DIAMONDBACK CAP MGMT	232	DKS	S	50,000	17.76	24-Mar	24-Mar	2,500.00	5.0
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>DRE</b>	<b>B</b>	<b>2500</b>	<b>8.89</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>EGP</b>	<b>C</b>	<b>15,177</b>	<b>32.40</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>ELS</b>	<b>C</b>	<b>12,182</b>	<b>41.69</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>EQR</b>	<b>C</b>	<b>18,268</b>	<b>21.22</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
TOKIO MARINE ASSET MGMT	045	ESRX	S	10,500	59.28	n/a	n/a	420.00	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>ESS</b>	<b>C</b>	<b>9,534</b>	<b>64.75</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
⌘ BUCK CAPITAL MGMT		EXLP	S	1,399	13.67	n/a	n/a	non-brg 1.0
SYSTEMATIC FINANCIAL MGT	035	FDP	S	64,000	18.13	n/a	n/a	2,240.00 3.5
TRUST CO OF THE WEST/NY	040	FITB	S	76,025	4.52	n/a	n/a	3,041.00 4.0
TRUST CO/COWEN/CALF.	040	FITB	S	50,470	4.52	n/a	n/a	2,018.80 4.0
⌘ BUCK CAPITAL MGMT		FRT	C	10,000	54.25	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT	001	GCO	B	50,000	21.09	n/a	10-Jan	2,000.00 4.0
TOKIO MARINE ASSET MGMT	045	GENZ	S	11,200	55.50	n/a	n/a	448.00 4.0
FARALLON CAP MGMT	040	GE	B	200,000	11.97	n/a	n/a	8,000.00 4.0
⌘ BUCK CAPITAL MGMT		GIL+DU[GIL]	C	1,971	4.80	n/a	n/a	non-brg 300.0
TOKIO MARINE ASSET MGMT	045	GILD	S	14,000	44.85	n/a	n/a	560.00 4.0
⌘ BUCK CAPITAL MGMT		GIL	B	200,000	11.77	11-Dec	14-Apr	non-brg 4.0
⌘ BUCK CAPITAL MGMT		GME	SS	100,000	30.77	n/a	n/a	non-brg 4.0
⌘ BUCK CAPITAL MGMT		GRMN	SS	100,000	22.01	n/a	n/a	non-brg 4.0
CRAMER ROSENTHAL/SCOTT	012	HAR	S	37,800	17.24	12-Mar	12-Mar	1,512.00 4.0
BUCK CAPITAL MGMT	001	HBI	B	118,600	12.62	n/a	n/a	4,744.00 4.0
⌘ BUCK CAPITAL MGMT		HBI	B	150,000	12.68	n/a	n/a	non-brg 2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		HBI	B	6,400	12.59	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		HBI	B	75,000	12.60	n/a	n/a	non-brg	2.0
NEUBERGER BERMAN	036	HCN	S	12,700	33.09	n/a	n/a	571.50	4.5
BUCK CAPITAL MGMT		HME	C	4,374	34.59	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		HOG	C	30,000	19.00	n/a	n/a	non-brg	4.0
CSFB GLOBAL PROPRIETARY	041	IP	SS	50,000	8.44	n/a	8-Apr	2,500.00	5.0
LEVIN CAPITAL STRATEGIES	012	IP	SS	30,000	8.85	n/a	8-Apr	900.00	3.0
MORRISON/TLB/BAYPOINT	040	IP	SS	5,000	8.67	n/a	8-Apr	200.00	4.0
MISSION GLOBAL LLC	041	IR	S	10,000	17.10	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT		IVZ	S	5,000	16.33	7-Apr	14-Apr	non-brg	1.0
SOUTH POINT CAP	067	IYH	SS	16,600	49.55	n/a	n/a	830.00	5.0
BUCK CAPITAL MGMT		JCP	SS	50,000	25.57	13-Apr	13-Apr	non-brg	4.0
BUCK CAPITAL MGMT		JOSB	B	10,000	39.14	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT		JOSB	B	20,000	38.19	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		JOSB	B	7,200	39.16	n/a	n/a	non-brg	1.5
BUCK CAPITAL MGMT		KMT	C	99,512	19.82	n/a	30-Jan	non-brg	4.0
BUCK CAPITAL MGMT		KRC	C	45,286	20.75	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		KSS	B	30,000	44.78	30-Mar	13-Apr	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		LM	S	3,500	19.50	29-Jan	13-Apr	non-brg	1.0
B BUCK CAPITAL MGMT		LRV	C	7,723	23.13	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	MACRB	S	20	1.35	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	MAC	S	2000	14.24	n/a	n/a	0.00	0.0
TRELLUS PARTNERS LP	028	MGA	SS	10,000	35.31	n/a	n/a	500.00	5.0
f MANNY I KORMAN	FID	MHK	B	3000	34.85	n/a	n/a	0.00	0.0
AVESTA CAP	229	MLM	B	10,000	91.69	n/a	n/a	400.00	4.0
STADIA CAPITAL	035	MSFT	S	13,800	19.44	n/a	3-Apr	552.00	4.0
ELM RIDGE ADVISORS	044	MU	S	74,600	5.03	n/a	n/a	2,238.00	3.0
f EDWARD W WHEELER	FID	NLC	S	5000	14.60	n/a	n/a	0.00	0.0
DARUMA ASSET MGMT INC	034	NP	S	10,900	3.85	13-Mar	13-Mar	545.00	5.0
REICH AND TANG	067	NX	S	8,200	10.19	n/a	n/a	410.00	5.0
B BUCK CAPITAL MGMT		OFC	C	15,085	28.82	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	OMX	B	100,000	5.39	n/a	15-Apr	3,000.00	3.0
B BUCK CAPITAL MGMT		OSTK	C	16,000	11.65	n/a	n/a	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
BUCK CAPITAL MGMT		O	C	8,772	21.12	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		PAG	B	50,000	11.46	n/a	18-Feb	non-brg 4.0
TRELLUS PARTNERS LP	028	PCAR	SS	10,000	31.62	25-Mar	25-Mar	500.00 5.0
BUCK CAPITAL MGMT		PETM	SS	50,000	23.56	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		PII	C	10,000	29.19	n/a	n/a	non-brg 4.0
CSFB GLOBAL PROPRIETARY	041	PKG	SS	10,000	13.32	8-Apr	8-Apr	500.00 5.0
LEVIN CAPITAL STRATEGIES	012	PKI	B	20,000	13.97	n/a	n/a	600.00 3.0
TOKIO MARINE ASSET MGMT	045	PNC	S	42,500	38.39	n/a	n/a	1,700.00 4.0
NEUBERGER BERMAN	036	PSA	S	13,700	61.79	n/a	n/a	616.50 4.5
BUCK CAPITAL MGMT		PSB	C	15,172	42.18	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		PSUN	B	50,000	1.66	6-Feb	6-Feb	non-brg 1.5
JP MORGAN VENTURES	046	PVH	B	15,000	25.55	27-Mar	27-Mar	750.00 5.0
BUCK CAPITAL MGMT		REG	C	23,421	35.58	n/a	n/a	non-brg 4.0
REICH AND TANG	067	ROK	S	15,000	29.28	n/a	n/a	750.00 5.0
BUCK CAPITAL MGMT		RST	S	2,500	25.00	n/a	n/a	non-brg 2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>SDS</b>	<b>S</b>	<b>500</b>	<b>65.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CADIAN CAPITAL	067	SHW	S	120,000	55.86	31-Mar	13-Apr	4,800.00	4.0
<b>f ALEXANDER A SACCO</b>	<b>FID</b>	<b>SIJ</b>	<b>B</b>	<b>20</b>	<b>54.99</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SLG</b>	<b>C</b>	<b>45,699</b>	<b>15.55</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
OMEGA ADVISORS	041	SLM	S	75,300	6.01	27-Feb	16-Apr	2,259.00	3.0
SOUTH POINT CAP	067	SPY	B	9,600	85.83	n/a	n/a	480.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SSI</b>	<b>SS</b>	<b>50,000</b>	<b>11.65</b>	<b>n/a</b>	<b>13-Apr</b>	<b>2,000.00</b>	<b>4.0</b>
WINSLOW CAPITAL	030	SWN	B	20,300	31.15	27-Feb	3-Apr	812.00	4.0
<b>f ANDREW SINCLAIR</b>	<b>FID</b>	<b>SZCUW</b>	<b>B</b>	<b>42</b>	<b>4.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
REICH AND TANG	067	TBI	S	32,900	9.35	n/a	n/a	658.00	2.0
NEWLAND CAPITAL MGT	067	TIN	S	209,773	6.93	5-Dec	8-Apr	6,293.19	3.0
DIAMONDBACK CAP MGMT	232	TJX	C	25,000	27.61	n/a	13-Apr	1,250.00	5.0
MISSION GLOBAL LLC	041	TYC	B	25,000	21.02	n/a	3-Feb	1,000.00	4.0
MISSION GLOBAL LLC	041	TYC	S	20,000	21.30	n/a	3-Feb	800.00	4.0
NEUBERGER BERMAN	036	UDR	S	22,100	9.35	n/a	n/a	994.50	4.5
<b>B BUCK CAPITAL MGMT</b>		<b>VNO</b>	<b>C</b>	<b>27,000</b>	<b>40.09</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f JOEL GIFFORD TISS	FID	VZ	S	4000	31.46	n/a	4-Jan	0.00	0.0
B BUCK CAPITAL MGMT		WRI	C	74,487	14.39	n/a	n/a	non-brg	4.0
CANTILLON CAPITAL	040	WSH	B	101,000	23.26	n/a	n/a	5,050.00	5.0
B BUCK CAPITAL MGMT		XRT	S	2,500	25.93	n/a	n/a	non-brg	1.0
f JOEL GIFFORD TISS	FID	ZMH	S	1000	40.95	n/a	n/a	0.00	0.0
TOTAL (Trade Date):							87,117.49		



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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/15	AELTUS/ING INVESTMENT MGT	215	NDAQ	S	140,757	19.33	n/a	n/a	4926.64 3.5
AO,	04/15	REINHART & MAHONEY	031	NRIM	S	6,098	9.80	n/a	n/a	304.90 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>5,231.54</b>

TOTAL (Trade Date):	87,117.49
TOTAL (AO, CXL, CRT):	5,231.54

<b>TOTAL (RUN DATE) / NFS:</b>	<b>92,349.03</b>
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MRI Securities with Trade Activity on 16-Apr.  
**BKC**

MRI Securities without Trade Activity on 16-Apr.  
**ANF**

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 17%  
YTD = 23%

**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

BCM Watch List Trades

f: Employee Trades (Fidelity)