



Daily Compliance Activity Report

Trade Date: 08/27/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LISTED ERR	099	AHL	S	15	24.91	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	AIG	B	1000	48.00	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	AIG	S	1000	48.44	n/a	n/a	0.00	0.0
TYEE/TYGH	035	AMG	B	17,800	65.10	3-Aug	26-Aug	712.00	4.0
B BUCK CAPITAL MGMT		AN	B	100,000	19.78	3-Aug	5-Aug	non-brg	4.0
BUCK CAPITAL MGMT	001	ARO	S	60,000	39.70	n/a	27-Aug	2,400.00	4.0
B BUCK CAPITAL MGMT		AXL	B	150,000	6.35	19-Aug	19-Aug	non-brg	3.0
COOPER CREEK PART	028	AXL	B	10,000	6.29	19-Aug	19-Aug	300.00	3.0
MILLRACE FUND LP	028	AXL	S	11,100	6.36	19-Aug	19-Aug	333.00	3.0
FORD FDN.	032	BA	B	20,200	51.41	n/a	26-Aug	1,010.00	5.0
B BUCK CAPITAL MGMT		BEBE	S	10,000	7.69	n/a	n/a	non-brg	3.0
f JOSEPH CIRO AMATURO	FID	BGU	B	10000	46.15	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	BGU	S	10000	47.40	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	BGZ	S	20000	24.22	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	BGZ	S	3500	24.50	n/a	n/a	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	BKRS	B	4000	0.75	n/a	n/a	0.00	0.0
ACK ASSET	028	BWA	B	10,000	29.37	3-Aug	24-Aug	300.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	BWA	S	9,735	30.21	3-Aug	24-Aug	486.75	5.0
MILLENNIUM-ANDEW	031	CAT	SS	20,000	46.13	n/a	5-Aug	1,200.00	6.0
B BUCK CAPITAL MGMT		CHRS	S	40,000	5.25	n/a	22-Mar	non-brg	3.0
B BUCK CAPITAL MGMT		CMG	C	10,000	84.34	23-Jul	23-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		COH	S	20,000	29.37	n/a	29-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		COLM	C	25,000	39.38	n/a	n/a	non-brg	4.0
DIAMONDBACK CAP MGMT	232	CWTR	SS	25,000	7.65	n/a	n/a	1,250.00	5.0
f ANTHONY SUTERA	FID	C	B	5000	4.97	n/a	17-Aug	0.00	0.0
f DAVID GEORGE BUCK	FID	C	B	3500	5.04	n/a	17-Aug	0.00	0.0
f JOSEPH CIRO AMATURO	FID	EQIUV	S	20	1.10	n/a	n/a	0.00	0.0
CRAMER ROSENTHAL/SCOTT	012	ERTS	B	3,900	19.09	n/a	n/a	156.00	4.0
HOLLIS CAPITAL	033	ERTS	B	10,000	18.87	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	FL	B	150,000	10.67	27-Aug	27-Aug	6,000.00	4.0
TRUSTCO/SUNTRUST	040	FL	B	31,975	10.52	27-Aug	27-Aug	1,247.02	3.9
f JASON ERIC COHEN	FID	FOR	B	80	14.37	6-Aug	6-Aug	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	FRED	S	500	13.49	n/a	27-Mar	0.00	0.0
BALYASNY ASSET MGMT	044	F	B	50,000	7.69	27-Aug	27-Aug	2,000.00	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
ß	BUCK CAPITAL MGMT		F	B	250,000	7.70	27-Aug	27-Aug	non-brg 3.0
	CENTURION PARTNERS	041	F	B	100,000	7.70	27-Aug	27-Aug	4,000.00 4.0
	COLONIAL FUND LLC	036	F	B	50,000	7.51	27-Aug	27-Aug	1,500.00 3.0
	LOCUS WOOD CAPITAL MGMT	044	F	B	100,000	7.54	27-Aug	27-Aug	3,000.00 3.0
	PHILADELPHIA FINANCIAL	033	F	B	134,930	7.66	27-Aug	27-Aug	5,397.20 4.0
	WEINTRAUB CAPITAL MGT.	040	F	B	450,000	7.62	27-Aug	27-Aug	13,500.00 3.0
	BUCK CAPITAL MGMT	001	GCO	S	40,000	23.07	n/a	10-Jan	1,600.00 4.0
ß	BUCK CAPITAL MGMT		GCO	B	2,800	22.94	n/a	10-Jan	non-brg 4.0
ß	BUCK CAPITAL MGMT		GCO	S	10,000	22.77	n/a	10-Jan	non-brg 0.8
	BUCK CAPITAL MGMT	001	GES	S	40,000	35.04	n/a	n/a	1,600.00 4.0
ß	BUCK CAPITAL MGMT		GES	S	11,000	35.64	n/a	n/a	non-brg 0.8
f	JOHN MICHAEL ZOLIDIS	FID	GES	S	500	34.00	n/a	n/a	0.00 0.0
f	JOHN BARTMAN COLE	FID	GPX	S	2000	2.27	n/a	n/a	0.00 0.0
ß	BUCK CAPITAL MGMT		HBI	B	20,000	21.18	n/a	n/a	non-brg 2.0
	HOLLIS CAPITAL	033	HK	SS	4,000	21.28	n/a	n/a	200.00 5.0
ß	BUCK CAPITAL MGMT		IMAX	S	10,000	9.22	n/a	n/a	non-brg 3.0
	CSFB GLOBAL PROPRIETARY	041	IP	B	72,000	21.77	14-Aug	14-Aug	3,600.00 5.0
ß	BUCK CAPITAL MGMT		JNS	B	50,000	12.70	16-Jul	19-Aug	non-brg 1.0
ß	BUCK CAPITAL MGMT		JNS	B	50,000	12.71	16-Jul	19-Aug	non-brg 4.0
f	ROBERT M DANIELS	FID	JNS	B	200	12.73	16-Jul	19-Aug	0.00 0.0
	KLEINHEINZ CAP PART	031	JOSB	B	30,000	43.69	n/a	n/a	1,500.00 5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		KMT	B	20,000	22.52	30-Jul	30-Jul	non-brg	0.8
BUCK CAPITAL MGMT	001	KMX	B	50,000	17.12	n/a	10-Jan	2,000.00	4.0
FIRST NEW YORK LEDDY	035	LVL	S	10,000	1.21	n/a	4-Jan	600.00	6.0
B BUCK CAPITAL MGMT		MNRO	B	10,000	26.18	n/a	n/a	non-brg	4.0
BRANDWINE	028	MS	B	173,380	29.57	11-May	23-Jul	6,935.20	4.0
BUCK CAPITAL MGMT	001	MW	B	100,000	25.62	n/a	n/a	4,000.00	4.0
B BUCK CAPITAL MGMT		MW	C	50,000	25.68	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT	001	NKE	B	100,000	57.00	n/a	n/a	4,000.00	4.0
B BUCK CAPITAL MGMT		NP	S	5,000	12.00	11-Aug	11-Aug	non-brg	0.8
LEVIN CAPITAL STRATEGIES	012	PBRA	B	15,000	34.74	n/a	n/a	600.00	4.0
LEVIN CAPITAL STRATEGIES	012	PBR	SS	10,000	41.42	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		PDCO	C	20,000	27.30	n/a	n/a	non-brg	4.0
DIAMONDBACK CAP MGMT	232	PEP	S	15,000	57.56	n/a	n/a	750.00	5.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	141,000	19.91	21-Jul	21-Jul	7,050.00	5.0
TRELLUS PARTNERS LP	028	PKG	B	14,880	19.72	21-Jul	21-Jul	744.00	5.0
f JOHN MICHAEL ZOLIDIS	FID	PSS	B	500	15.24	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		RCL	S	65,000	19.48	31-Jul	31-Jul	non-brg	4.0
BUCK CAPITAL MGMT	001	RL	S	25,000	67.88	6-Aug	6-Aug	1,000.00	4.0
BUCK CAPITAL MGMT		RMS FP	C	46,800	148.35	n/a	n/a	non-brg	4.0
JONATHAN RICHARD HAR	FID	RYIJ	S	30	2.30	n/a	n/a	0.00	0.0
FORD FDN.	032	SCHW	S	7,500	17.75	n/a	n/a	375.00	5.0
ROBERT M DANIELS	FID	SJR	B	150	16.76	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SKX	S	30,000	16.30	n/a	13-Mar	1,200.00	4.0
JASON ERIC COHEN	FID	SPF	B	280	4.39	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		SUP	B	7,829	15.04	10-Aug	10-Aug	non-brg	0.8
VISIUM/BALY HOWARD	038	TIF	B	25,000	33.64	n/a	30-Jan	1,250.00	5.0
JASON ERIC COHEN	FID	TIN	S	170	16.80	14-Aug	14-Aug	0.00	0.0
BUCK CAPITAL MGMT		TSCO LN	C	329,600	6.08	n/a	n/a	non-brg	0.9
BUCK CAPITAL MGMT		ULTA	B	4,582	11.65	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT		ULTA	B	41,901	11.44	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		ULTA	B	53,988	11.82	n/a	n/a	non-brg	0.8
JOHN BARTMAN COLE	FID	UNG	B	1400	11.47	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		URBN	S	10,000	28.27	n/a	30-Jan	non-brg	4.0
MAIRS AND POWER INV	030	VAL	S	20,000	27.05	n/a	n/a	1,000.00	5.0
B BUCK CAPITAL MGMT		VTG	B	300,000	1.55	n/a	n/a	non-brg	0.0
f NEIL M STRATTON	FID	VUXMC	S	4	1.10	n/a	n/a	0.00	0.0
f STRATTON PAR TNERSHI	FID	VUXMC	S	2	1.10	n/a	n/a	0.00	0.0
f JOHN BARTMAN COLE	FID	WHR	B	150	63.99	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	WRC	S	20,000	39.32	28-Jul	12-Aug	800.00	4.0
f MANNY I KORMAN	FID	WSM	B	8000	18.00	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		WY	B	50,000	37.33	n/a	3-Aug	non-brg	4.0
LEVIN CAPITAL STRATEGIES	012	XOM	C	45,000	70.65	n/a	n/a	1,800.00	4.0
B BUCK CAPITAL MGMT		XRT	SS	250,000	32.31	n/a	n/a	non-brg	0.8
APEX CAPITAL MGMT.	091	YHOO	S	200,000	14.93	n/a	n/a	8,000.00	4.0
TOTAL (Trade Date) :								96,296.17	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	08/26	HIGHBRIDGE/MS OLDS	041	AEO	B	59,100	14.71	25-Jun	27-Aug	2364.00 4.0
AO,CXL	08/26	HIGHBRIDGE/MS OLDS	041	AEO	B	59,100	14.71	25-Jun	27-Aug	2955.00 5.0
AO,CXL	08/26	CHARTER OAK	033	CEPH	B	2,200	56.76	21-May	25-Aug	110.00 5.0
AO,CRT	08/26	CHARTER OAK	033	CEPH	B	2,200	56.76	21-May	25-Aug	110.00 5.0
AO,CXL	08/26	CASEY CAPITAL	067	DRI	B	25,000	33.81	13-Aug	13-Aug	1250.00 5.0
AO,CRT	08/26	KACELA CAPITAL	034	DRI	B	25,000	33.81	13-Aug	13-Aug	1250.00 5.0
AO,CXL	08/26	WILLOW CREEK	033	GS	SS	1,500	165.53	14-Jul	14-Jul	75.00 5.0
AO,CRT	08/26	WILLOW CREEK	033	GS	SS	1,500	165.53	14-Jul	14-Jul	60.00 4.0
AO,CRT	08/26	WILLOW CREEK	033	HZO	SS	7,500	7.65	n/a	n/a	300.00 4.0
AO,CXL	08/26	WILLOW CREEK	033	HZO	SS	7,500	7.65	n/a	n/a	375.00 5.0
AO,CRT	08/24	SENATOR INVESTMENT GROUP	036	LPX	B	55,800	6.79	n/a	5-Aug	1674.00 3.0
AO,CXL	08/24	SENATOR INVESTMENT GROUP	036	LPX	B	55,800	6.79	n/a	5-Aug	1674.00 3.0
AO,CXL	08/26	WILLOW CREEK	033	NKE	SS	2,000	55.43	n/a	n/a	100.00 5.0
AO,CRT	08/26	WILLOW CREEK	033	NKE	SS	2,000	55.43	n/a	n/a	80.00 4.0
AO,CRT	08/26	SENATOR INVESTMENT GROUP	036	SLT	B	11,250	13.87	n/a	n/a	337.50 3.0
AO,CRT	08/26	SENATOR INVESTMENT GROUP	036	SLT	B	13,750	13.87	n/a	n/a	412.50 3.0
AO,CXL	08/26	SENATOR INVESTMENT GROUP	036	SLT	B	25,000	13.87	n/a	n/a	750.00 3.0
AO,	08/26	VISIUM/BALY HOWARD	038	THI	C	10,000	28.98	n/a	24-Apr	500.00 5.0
TOTAL (AO, CXL, CRT) :										-201.00

TOTAL (Trade Date):	96,296.17
TOTAL (AO, CXL, CRT):	-201.00

TOTAL (RUN DATE) / NFS:	96,095.17
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MRI Securities with Trade Activity on 27-Aug. FL, F
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MRI Securities without Trade Activity on 27-Aug. NONE
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BRG comm. as a % of BCM Total Comm. paid. T-Date = 39% YTD = 21%
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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)