



Daily Compliance Activity Report

Trade Date: 08/28/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	214	AEIS	B	10,000	10.83	n/a	n/a	450.00	4.5
BUCK CAPITAL MGMT	001	AEO	B	40,000	13.87	25-Jun	27-Aug	1,600.00	4.0
LAGRANGE CAP ADV	048	AER	S	10,000	8.95	n/a	n/a	500.00	5.0
TYEE/TYGH	035	AMG	B	48,665	65.80	3-Aug	26-Aug	1,946.60	4.0
MERRILL ASSET/BLACKROCK	214	ANDE	S	42,400	32.67	n/a	n/a	1,908.00	4.5
BUCK CAPITAL MGMT	001	ANF	S	20,000	33.53	3-Jun	27-Aug	800.00	4.0
B BUCK CAPITAL MGMT		ARO	S	120,000	39.43	n/a	27-Aug	non-brg	4.0
MERRILL ASSET/BLACKROCK	214	ATO	S	2,600	27.38	n/a	n/a	117.00	4.5
LAGRANGE CAP ADV	048	AXL	S	21,600	6.60	19-Aug	19-Aug	1,080.00	5.0
MILLRACE FUND LP	028	AXL	S	22,000	6.56	19-Aug	19-Aug	660.00	3.0
SCHOTTENFELD ASSOC	041	AXL	B	30,000	6.38	19-Aug	19-Aug	900.00	3.0
f JOSEPH CIRO AMATURO	FID	BGU	B	1000	46.49	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	BGU	B	15000	47.27	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	BGU	S	15000	46.75	n/a	n/a	0.00	0.0
ASCEND PARTNERS	033	BJ	B	16,259	32.82	n/a	27-Jul	812.95	5.0
f ALEXANDRA ELISE ZOLI	FID	BKRS	B	6000	0.82	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	KEVIN MICHAEL O'GORM	FID	BKRS	B	4000	0.80	n/a	n/a	0.00	0.0
	PATTEN & PATTEN	067	BP	B	500	52.27	n/a	n/a	25.00	5.0
	BUCK CAPITAL MGMT	001	BWA	B	15,000	28.53	3-Aug	24-Aug	600.00	4.0
	LEVIN CAPITAL STRATEGIES	012	BWA	S	65,586	28.72	3-Aug	24-Aug	2,623.44	4.0
B	BUCK CAPITAL MGMT		CHRS	S	20,096	5.21	n/a	22-Mar	non-brg	2.5
B	BUCK CAPITAL MGMT		CHRS	S	79,904	5.22	n/a	22-Mar	non-brg	1.0
	BUCK CAPITAL MGMT	001	COH	S	30,000	29.40	n/a	29-Jul	1,200.00	4.0
B	BUCK CAPITAL MGMT		COLM	C	10,000	40.29	n/a	n/a	non-brg	4.0
	PILOT ADV	038	CQB	S	61,600	15.39	n/a	n/a	2,464.00	4.0
	LAGRANGE CAP ADV	048	CTCM	SS	10,000	13.99	n/a	n/a	500.00	5.0
	LAGRANGE CAP ADV	048	CVC	SS	10,000	22.28	n/a	4-Jan	500.00	5.0
f	JOSEPH CIRO AMATURO	FID	CVGI	B	10000	4.75	n/a	n/a	0.00	0.0
	MERRILL ASSET/BLACKROCK	214	CVG	S	20,000	11.18	n/a	n/a	900.00	4.5
	PRINCIPLE CAPITAL	040	CVLT	S	95,576	18.32	n/a	n/a	2,867.28	3.0
	ARCHON CAPITAL	035	DAR	S	5,000	7.21	n/a	n/a	150.00	3.0
B	BUCK CAPITAL MGMT		DVN	B	30,000	62.41	5-Aug	28-Aug	non-brg	4.0
f	CHRISTOPHER ROBERT B	FID	DVN	B	500	62.48	5-Aug	28-Aug	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	CICILY S BACKUS	FID	DVN	B	1000	62.51	5-Aug	28-Aug	0.00	0.0
f	MELISSA LEE BACKUS	FID	DVN	B	500	62.48	5-Aug	28-Aug	0.00	0.0
f	ALANA J A MADIGAN-SI	FID	DXO	S	300	4.73	n/a	n/a	0.00	0.0
	PATTEN & PATTEN	067	D	B	300	33.11	n/a	n/a	15.00	5.0
	MERRILL ASSET/BLACKROCK	214	EPAY	S	2,000	11.84	n/a	n/a	90.00	4.5
	BUCK CAPITAL MGMT	001	FL	B	500,000	11.06	27-Aug	27-Aug	20,000.00	4.0
B	BUCK CAPITAL MGMT		FL	B	100,000	11.16	27-Aug	27-Aug	non-brg	1.0
	THIRD COAST CAPITAL	035	FL	B	15,000	10.93	27-Aug	27-Aug	750.00	5.0
	BTIG/KDI ADV	039	FOR	B	2,789	14.10	6-Aug	6-Aug	139.45	5.0
f	CHRISTOPHER ARTHUR K	FID	F	B	5000	7.73	27-Aug	27-Aug	0.00	0.0
	COLONIAL FUND LLC	036	F	B	50,000	7.74	27-Aug	27-Aug	1,500.00	3.0
	TRELLUS PARTNERS LP	028	F	B	50,000	7.76	27-Aug	27-Aug	1,500.00	3.0
	LAGRANGE CAP ADV	048	GE	B	10,000	14.15	n/a	n/a	500.00	5.0
B	BUCK CAPITAL MGMT		GIII	S	20,000	15.25	n/a	n/a	non-brg	4.0
	LAGRANGE CAP ADV	048	GMR	B	5,000	8.10	n/a	n/a	250.00	5.0
B	BUCK CAPITAL MGMT		HBI	B	60,000	21.48	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		HOG	C	100,000	22.98	n/a	n/a	non-brg	4.0
	LAGRANGE CAP ADV	048	HUN	SS	30,000	8.20	n/a	n/a	1,500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL ASSET/BLACKROCK	214	INFA	S	10,000	18.06	n/a	n/a	450.00	4.5
f ALICE BEEBE LONGLEY	FID	IYG	B	200	55.34	n/a	n/a	0.00	0.0
f CICYLY S BACKUS	FID	JBLU	B	5000	5.82	n/a	n/a	0.00	0.0
f LEE F BACKUS	FID	JBLU	B	4000	5.80	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	JBT	B	28,328	17.38	n/a	n/a	1,274.77	4.5
f JOHN MICHAEL ZOLIDIS	FID	JCGIE	B	10	10.30	n/a	n/a	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	JCGIF	B	15	5.30	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	JCG	S	10,000	35.02	n/a	30-Jan	400.00	4.0
B BUCK CAPITAL MGMT		KMX	B	50,000	17.39	n/a	10-Jan	non-brg	4.0
f ALICE BEEBE LONGLEY	FID	KXI	B	200	51.57	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	LAZ	S	325	38.30	n/a	30-Jul	16.25	5.0
JMP ASSET MGMT	210	LULU	S	650	20.50	n/a	n/a	32.50	5.0
FIRST NEW YORK LEDDY	035	LVLTT	B	10,000	1.20	n/a	4-Jan	600.00	6.0
APEX CAPITAL MGMT.	091	LVS	SS	100,000	14.67	14-Aug	26-Aug	4,000.00	4.0
PATTEN & PATTEN	067	MA	B	150	206.15	30-Jul	26-Aug	7.50	5.0
PATTEN & PATTEN	067	MS	B	250	29.75	11-May	23-Jul	12.50	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LAGRANGE CAP ADV	048	MVG	S	2,550	4.65	n/a	n/a	127.50	5.0
BUCK CAPITAL MGMT	001	MW	B	122,015	26.22	n/a	n/a	4,880.60	4.0
BUCK CAPITAL MGMT	001	M	B	50,000	15.66	n/a	27-Aug	2,000.00	4.0
MERRILL ASSET/BLACKROCK	214	NOVL	S	52,000	4.42	n/a	n/a	2,340.00	4.5
B BUCK CAPITAL MGMT		NP	S	2,007	12.12	11-Aug	11-Aug	non-brg	0.7
CSFB GLOBAL PROPRIETARY	041	PKG	B	30,000	20.61	21-Jul	21-Jul	1,500.00	5.0
B BUCK CAPITAL MGMT		PLCE	S	20,000	30.85	n/a	27-Aug	non-brg	4.0
LAGRANGE CAP ADV	048	POOL	SS	100	24.99	n/a	n/a	5.00	5.0
LAGRANGE CAP ADV	048	QQQQ	B	20,000	40.20	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT	001	RL	S	10,000	69.14	6-Aug	6-Aug	400.00	4.0
PATTEN & PATTEN	067	SE	S	1,500	18.97	n/a	n/a	75.00	5.0
BUCK CAPITAL MGMT	001	SKX	S	50,000	17.10	n/a	13-Mar	2,000.00	4.0
f FRANCIS MICHAEL MCCA	FID	SLV	S	300	14.55	n/a	n/a	0.00	0.0
f ANTHONY NG	FID	SPNG	S	5500	0.21	n/a	n/a	0.00	0.0
CUMBERLAND	038	SPY	SS	30,000	103.45	n/a	n/a	1,200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	SSI	SS	10,000	14.08	n/a	27-Aug	400.00	4.0
PILOT ADV	038	STLD	B	43,000	17.07	n/a	n/a	1,720.00	4.0
CAVU CAP ADV	028	STX	B	150,000	14.03	n/a	n/a	7,500.00	5.0
Ⓐ BUCK CAPITAL MGMT		SUP	B	20,000	14.90	10-Aug	10-Aug	non-brg	0.8
Ⓐ BUCK CAPITAL MGMT		SWN	B	30,000	38.49	n/a	28-Aug	non-brg	0.8
f CHRISTOPHER ROBERT B	FID	SWN	B	1000	38.36	n/a	28-Aug	0.00	0.0
f MELISSA LEE BACKUS	FID	SWN	B	1000	38.35	n/a	28-Aug	0.00	0.0
PATTEN & PATTEN	067	SWN	S	250	38.57	n/a	28-Aug	12.50	5.0
BUCK CAPITAL MGMT	001	TGT	B	100,000	47.44	19-Aug	19-Aug	2,000.00	2.7
BUCK CAPITAL MGMT	001	TGT	SS	50,000	47.15	19-Aug	19-Aug	0.00	0.0
LAGRANGE CAP ADV	048	TIF	SS	5,000	36.69	n/a	30-Jan	250.00	5.0
SCOPUS FUND	041	TPX	B	63,800	15.00	n/a	n/a	3,190.00	5.0
TRUSTCO/SUNTRUST	040	TPX	B	26,495	15.01	n/a	n/a	1,033.30	3.9
Ⓐ BUCK CAPITAL MGMT		TSCO	SS	10,000	46.85	n/a	n/a	non-brg	4.0
LAGRANGE CAP ADV	048	TXT	SS	10,000	15.71	n/a	n/a	500.00	5.0
HOLLIS CAPITAL	033	UFS	SS	8,000	35.49	n/a	n/a	400.00	5.0
LAGRANGE CAP ADV	048	UFS	SS	10,000	35.49	n/a	n/a	500.00	5.0
Ⓐ BUCK CAPITAL MGMT		ULTA	B	10,000	11.90	n/a	n/a	non-brg	2.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B	BUCK CAPITAL MGMT		ULTA	B	20,000	11.91	n/a	n/a	non-brg	2.5
B	BUCK CAPITAL MGMT		ULTA	B	30,000	11.81	n/a	n/a	non-brg	0.8
B	BUCK CAPITAL MGMT		ULTA	B	40,000	11.90	n/a	n/a	non-brg	1.0
f	ANDREW SINCLAIR	FID	UNEAP	B	50	0.50	n/a	n/a	0.00	0.0
f	ALANA J A MADIGAN-SI	FID	UNG	B	130	11.30	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		URBN	S	10,000	28.53	n/a	30-Jan	non-brg	1.0
f	STRATTON PAR TNERSHI	FID	VKOMH	S	2	2.55	n/a	n/a	0.00	0.0
	PATTEN & PATTEN	067	V	S	600	69.48	n/a	26-Aug	30.00	5.0
f	FRANCIS MICHAEL MCCA	FID	WBC	S	350	19.36	5-Aug	5-Aug	0.00	0.0
	MATLIN PATTERSON	046	WHR	B	50,000	65.41	n/a	n/a	1,500.00	3.0
f	NEIL M STRATTON	FID	WHR	B	200	65.25	n/a	n/a	0.00	0.0
f	NEIL M STRATTON	FID	WHR	S	200	66.00	n/a	n/a	0.00	0.0
f	DAVID GEORGE BUCK	FID	WLPXG	B	10	0.48	n/a	n/a	0.00	0.0
f	DAVID GEORGE BUCK	FID	WLPXI	S	10	2.03	n/a	n/a	0.00	0.0
	JMP ASSET MGMT	210	WSM	S	5,000	19.00	n/a	n/a	250.00	5.0
B	BUCK CAPITAL MGMT		XRT	SS	250,000	32.46	n/a	n/a	non-brg	1.0
	LAGRANGE CAP ADV	048	YHOO	B	20,000	14.91	n/a	n/a	1,000.00	5.0
f	JOHN MICHAEL ZOLIDIS	FID	ZLC	B	2000	6.76	n/a	n/a	0.00	0.0

Account		RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	KEVIN MICHAEL O'GORM	FID	ZLC	B	2000	6.76	n/a	n/a	0.00	0.0
TOTAL (Trade Date):									91,456.14	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	08/26	CAVU CAP ADV	028	DELL	B	25,000	14.65	n/a	n/a	1250.00 5.0
AO,CXL	08/26	CAVU CAP ADV	028	DELL	B	25,000	14.65	n/a	n/a	1250.00 5.0
AO,CRT	08/26	KACELA CAPITAL	034	DRI	B	25,000	33.81	13-Aug	13-Aug	1000.00 4.0
AO,CXL	08/26	KACELA CAPITAL	034	DRI	B	25,000	33.81	13-Aug	13-Aug	1250.00 5.0
AO,CRT	08/26	CAVU CAP ADV	028	FCS	B	35,000	9.81	n/a	n/a	1750.00 5.0
AO,CXL	08/26	CAVU CAP ADV	028	FCS	B	35,000	9.81	n/a	n/a	1750.00 5.0
AO,	08/27	PARTNER REINSURANCE	033	FL	B	60,000	10.60	27-Aug	27-Aug	2400.00 4.0
AO,CRT	08/26	CAVU CAP ADV	028	STX	SS	20,000	12.13	n/a	n/a	1000.00 5.0
AO,CXL	08/26	CAVU CAP ADV	028	STX	SS	20,000	12.13	n/a	n/a	1000.00 5.0
TOTAL (AO, CXL, CRT) :										2,150.00

TOTAL (Trade Date) :	91,456.14
TOTAL (AO, CXL, CRT) :	2,150.00

TOTAL (RUN DATE) / NFS:	93,606.14
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MRI Securities with Trade Activity on 28-Aug. NONE

MRI Securities without Trade Activity on 28-Aug.

BA

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

T-Date = 61%

YTD = 21%

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)