



# Daily Compliance Activity Report

Trade Date: 07/20/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	AAN	B	70,000	31.73	n/a	n/a	2,800.00	4.0
LAGRANGE CAP ADV	048	ABG	SS	10,000	11.99	n/a	30-Apr	500.00	5.0
BUCK CAPITAL MGMT	001	AEO	B	10,000	14.39	25-Jun	10-Jul	400.00	4.0
COUGAR TRADING	044	AEO	S	10,000	14.32	25-Jun	10-Jul	500.00	5.0
JP MORGAN VENTURES	046	AEO	S	25,000	14.58	25-Jun	10-Jul	1,250.00	5.0
SOLARIS INV MGMT	029	AEO	B	78,100	14.47	25-Jun	10-Jul	3,905.00	5.0
f MICHAEL THOMAS NOLAN	FID	AEP	S	100	29.71	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		AGCO	S	25,000	29.86	29-Jun	29-Jun	non-brg	4.0
f JOSEPH CIRO AMATURO	FID	AMAG	S	1500	50.67	n/a	n/a	0.00	0.0
f ROBERT M DANIELS	FID	AMD	B	1000	4.15	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	ANF	B	50,255	25.56	3-Jun	10-Jul	2,010.20	4.0
f JOHN CAREY MAGUIRE	FID	ATN	B	400	21.24	n/a	n/a	0.00	0.0
NEW JERSEY DIV OF INV.	030	AWK	B	50,000	18.73	n/a	n/a	2,000.00	4.0
B BUCK CAPITAL MGMT		AXL	S	100,000	1.44	n/a	9-Jul	non-brg	1.0
COUGAR TRADING	044	AXL	B	25,000	1.45	n/a	9-Jul	500.00	2.0
f JOHN CAREY MAGUIRE	FID	AXL	B	2500	1.45	n/a	9-Jul	0.00	0.0
f JOHN FRANCIS MCERLEA	FID	AXL	S	4000	1.49	n/a	9-Jul	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MADISON ST PARTNERS LLC	046	BAC	B	25,000	12.25	11-May	20-Jul	1,250.00	5.0
<b>B</b> BUCK CAPITAL MGMT		BBBY	C	100,000	33.26	n/a	n/a	non-brg	4.0
GRUBER MACBAINE	033	BBBY	S	10,000	33.11	n/a	n/a	400.00	4.0
<b>f</b> JOSEPH CIRO AMATURO	<b>FID</b>	<b>BGZ</b>	<b>B</b>	<b>2000</b>	<b>31.78</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BUCK CAPITAL MGMT	001	BIG	B	100,000	21.91	28-May	6-Jul	4,000.00	4.0
CADIAN CAPITAL	067	BIG	B	120,000	21.80	28-May	6-Jul	4,800.00	4.0
<b>B</b> BUCK CAPITAL MGMT		BJ	SS	70,000	33.37	n/a	27-Jul	non-brg	4.0
<b>f</b> JOSEPH CIRO AMATURO	<b>FID</b>	<b>BMJ</b>	<b>B</b>	<b>3000</b>	<b>19.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CONIFER/ISF	025	CA	B	5,700	17.98	n/a	n/a	285.00	5.0
BUCK CAPITAL MGMT	001	CCL	B	97,502	27.58	n/a	26-Jan	3,900.08	4.0
<b>B</b> BUCK CAPITAL MGMT		CCL	C	200,000	26.99	n/a	26-Jan	non-brg	2.0
KLEINHEINZ CAP PART	031	COG	B	60,000	34.62	20-Jul [i]	20-Jul	3,000.00	5.0
PRIMECAP MGMT	048	COG	B	10,000	34.68	20-Jul [i]	20-Jul	500.00	5.0
HUNTER GLOBAL INVESTOR	067	CSC	B	43,700	45.88	n/a	n/a	2,185.00	5.0
<b>B</b> BUCK CAPITAL MGMT		CSTR	C	77,627	27.94	n/a	n/a	non-brg	4.0
<b>f</b> EDWARD W WHEELER	<b>FID</b>	<b>CVGI</b>	<b>B</b>	<b>10000</b>	<b>1.42</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> JOEL GIFFORD TISS	<b>FID</b>	<b>CVGI</b>	<b>B</b>	<b>20100</b>	<b>1.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
REICH AND TANG	067	CYT	S	12,000	23.13	n/a	n/a	600.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DIAMONDBACK CAP MGMT	232	DD	SS	30,000	28.24	n/a	19-Jun	1,500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>DECK</b>	<b>B</b>	<b>10,000</b>	<b>71.03</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
THOMSON HORSTMAN BRYANT	034	DKS	S	6,300	19.01	27-Apr	20-May	315.00	5.0
MILLENIUM PARTNERS	028	DRI	S	25,000	34.01	19-Mar	15-Jul	1,000.00	4.0
LAGRANGE CAP ADV	048	DTG	SS	5,000	16.40	n/a	n/a	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>EAT</b>	<b>B</b>	<b>50,000</b>	<b>17.42</b>	<b>n/a</b>	<b>24-Apr</b>	<b>2,000.00</b>	<b>4.0</b>
REICH AND TANG	067	EMN	S	5,000	41.03	n/a	n/a	250.00	5.0
IRONBOUND CAPITAL	012	EXH	B	150,000	16.73	27-May	1-Jul	6,000.00	4.0
JP MORGAN VENTURES	046	EXPE	S	25,000	17.12	n/a	n/a	1,250.00	5.0
<b>f ALEXANDER PRYLUCKI</b>	<b>FID</b>	<b>FAS</b>	<b>S</b>	<b>75</b>	<b>49.07</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MICHAEL THOMAS NOLAN</b>	<b>FID</b>	<b>FINL</b>	<b>S</b>	<b>1000</b>	<b>8.12</b>	<b>n/a</b>	<b>28-Mar</b>	<b>0.00</b>	<b>0.0</b>
TRELLUS PARTNERS LP	028	F	B	110,000	6.23	n/a	16-Jul	3,300.00	3.0
L.R.BURTSCHY & CO	045	HAR	B	20,000	28.85	10-Jun	16-Jun	1,200.00	6.0
CONIFER/ISF	025	HAS	B	4,000	26.39	n/a	n/a	200.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>HBI</b>	<b>B</b>	<b>100,000</b>	<b>15.11</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.	
CONIFER/ISF	025	HPY	B	2,500	9.47	n/a	n/a	125.00	5.0
<b>f NEIL M STRATTON</b>	<b>FID</b>	<b>HVT</b>	<b>S</b>	<b>300</b>	<b>9.86</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
RAINIER INV MGMT	035	ICE	B	98,230	92.89	n/a	n/a	4,911.50	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>IGT</b>	<b>S</b>	<b>20,000</b>	<b>18.08</b>	<b>n/a</b>	<b>27-Apr</b>	<b>non-brg</b>	<b>4.0</b>
THIRD COAST CAPITAL	035	INFY	B	4,000	40.16	n/a	n/a	200.00	5.0
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>INTC</b>	<b>S</b>	<b>2000</b>	<b>18.69</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JCG</b>	<b>B</b>	<b>10,000</b>	<b>28.01</b>	<b>30-Jan</b>	<b>30-Jan</b>	<b>non-brg</b>	<b>2.0</b>
<b>f JILL ROSENBERG</b>	<b>FID</b>	<b>JCI</b>	<b>S</b>	<b>100</b>	<b>22.76</b>	<b>2-Jun</b>	<b>2-Jun</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>JCP</b>	<b>S</b>	<b>2000</b>	<b>29.89</b>	<b>13-Apr</b>	<b>10-Jul</b>	<b>0.00</b>	<b>0.0</b>
HUNTER GLOBAL INVESTOR	067	JKHY	SS	95,600	20.86	n/a	n/a	3,824.00	4.0
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>JNK</b>	<b>S</b>	<b>6000</b>	<b>35.02</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JOSB</b>	<b>S</b>	<b>16,700</b>	<b>35.88</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JOSB</b>	<b>S</b>	<b>53,300</b>	<b>35.66</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JWN</b>	<b>B</b>	<b>110,000</b>	<b>22.54</b>	<b>20-Feb</b>	<b>10-Jul</b>	<b>4,400.00</b>	<b>4.0</b>
COBALT	041	JWN	SS	50,000	23.36	20-Feb	10-Jul	2,500.00	5.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>KSS</b>	<b>B</b>	<b>1200</b>	<b>48.31</b>	<b>10-Jul</b>	<b>10-Jul</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FIRST NEW YORK LEDDY	035	LVL	B	20,000	1.64	n/a	4-Jan	1,000.00	5.0
<b>f ALEXANDER PRYLUCKI</b>	<b>FID</b>	<b>LVS</b>	<b>S</b>	<b>450</b>	<b>9.82</b>	<b>n/a</b>	<b>14-Jul</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>LVS</b>	<b>S</b>	<b>50,000</b>	<b>9.89</b>	<b>n/a</b>	<b>14-Jul</b>	<b>non-brg</b>	<b>3.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>LVS</b>	<b>S</b>	<b>70,000</b>	<b>9.75</b>	<b>n/a</b>	<b>14-Jul</b>	<b>non-brg</b>	<b>3.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>LVS</b>	<b>S</b>	<b>90,000</b>	<b>9.66</b>	<b>n/a</b>	<b>14-Jul</b>	<b>non-brg</b>	<b>1.0</b>
COUGAR TRADING	044	LVS	S	10,000	9.76	n/a	14-Jul	400.00	4.0
WAGONHOUND/NIC	048	LVS	B	25,000	9.96	n/a	14-Jul	750.00	3.0
RAINIER INV MGMT	035	MA	B	40,030	183.98	n/a	20-Jul	2,001.50	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MCD</b>	<b>B</b>	<b>30,000</b>	<b>58.33</b>	<b>n/a</b>	<b>17-Jul</b>	<b>1,200.00</b>	<b>4.0</b>
SAXON WOODS ADVISORS	038	MEE	B	214,500	21.88	n/a	n/a	8,580.00	4.0
EPOCH INV MGMT	030	MET	B	6,700	30.76	n/a	n/a	268.00	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>MHS</b>	<b>B</b>	<b>1000</b>	<b>46.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MNRO</b>	<b>B</b>	<b>10,000</b>	<b>28.50</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>NTY</b>	<b>B</b>	<b>70,000</b>	<b>30.74</b>	<b>n/a</b>	<b>n/a</b>	<b>2,800.00</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>NWY</b>	<b>B</b>	<b>20,000</b>	<b>3.10</b>	<b>30-Jan</b>	<b>30-Jan</b>	<b>400.00</b>	<b>2.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>NWY</b>	<b>B</b>	<b>10,000</b>	<b>3.08</b>	<b>30-Jan</b>	<b>30-Jan</b>	<b>non-brg</b>	<b>2.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>PBCT</b>	<b>B</b>	<b>2000</b>	<b>15.24</b>	<b>n/a</b>	<b>17-Jul</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>PBR</b>	<b>S</b>	<b>1000</b>	<b>41.53</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DECADE CAPITAL PARTNERS	040	PEP	B	17,900	55.91	n/a	n/a	716.00	4.0
⌘ BUCK CAPITAL MGMT		PERY	S	19,611	7.49	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		PERY	S	389	7.54	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		PERY	S	72,000	7.58	n/a	n/a	non-brg	1.0
DECADE CAPITAL PARTNERS	040	PG	SS	18,100	55.36	5-Jun	5-Jun	724.00	4.0
SCOPUS FUND	041	PKG	S	25,600	17.93	21-Jul	20-Jul	1,280.00	5.0
⌘ BUCK CAPITAL MGMT		PLCE	B	10,000	29.94	19-Mar	10-Jul	non-brg	4.0
⌘ BUCK CAPITAL MGMT		POOL	SS	30,000	17.87	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PSS	S	50,000	14.86	n/a	n/a	non-brg	1.0
FIRST NEW YORK NICK	029	Q	B	20,000	4.06	n/a	n/a	1,000.00	5.0
CARDINAL CAPITAL	044	RX	S	110,900	13.13	n/a	n/a	5,545.00	5.0
⌘ BUCK CAPITAL MGMT		S6RETL	C	27,500	165.72	n/a	n/a	non-brg	16.6
MILLENIUM PARTNERS	028	SBUX	SS	12,820	14.89	20-Apr	20-Jul	512.80	4.0
f DAVID GEORGE BUCK	FID	SGP	B	2000	25.50	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		SKX	S	20,000	12.10	n/a	13-Mar	non-brg	4.0
NEWCASTLE FUNDS	255	SMG	S	50,000	38.47	10-Jun	9-Jul	2,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	SSI	SS	20,000	11.76	n/a	10-Jul	800.00	4.0
AVESTA CAP	229	SWY	B	100,000	19.65	n/a	n/a	4,000.00	4.0
⚡ BUCK CAPITAL MGMT		TEX	S	25,000	13.92	n/a	12-Jun	non-brg	1.0
TROUBH PART	067	TGT	S	25,000	39.47	10-Jul	10-Jul	1,250.00	5.0
BMO NESBITT BURNS	041	TIN	SS	25,000	14.14	21-Jul	20-Jul	1,250.00	5.0
GCORE MANAGEMENT	252	TIN	B	20,000	14.18	21-Jul	20-Jul	1,000.00	5.0
⚡ BUCK CAPITAL MGMT		URBN	B	20,000	21.84	30-Jan	30-Jan	non-brg	4.0
JP MORGAN VENTURES	046	WEN	S	40,000	4.47	n/a	10-Jul	1,600.00	4.0
⚡ BUCK CAPITAL MGMT		WFMI	C	70,000	22.44	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		WFT	B	15,000	18.61	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		WFT	B	5,000	18.20	n/a	n/a	non-brg	4.0
f JOHN CAREY MAGUIRE	FID	WMTIJ	B	15	0.95	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	WMT	S	206,032	48.33	11-May	6-Jul	8,241.28	4.0
BUCK CAPITAL MGMT	001	WRC	S	20,000	35.45	13-May	13-May	800.00	4.0
JP MORGAN VENTURES	046	WRC	B	25,000	35.20	13-May	13-May	1,250.00	5.0
CIRCLE T/SES PART	035	YUM	SS	10,000	33.60	n/a	15-Jul	400.00	4.0

---

**TOTAL (Trade Date):**

**117,779.36**

---



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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/17	BUCK CAPITAL MGMT	001	DAI	SS	20,000	40.79	n/a	n/a	800.00 4.0
AO,CRT	07/17	BUCK CAPITAL MGMT	001	DAI	SS	20,000	40.79	n/a	n/a	800.00 4.0
AO,	07/17	OZ MGMT	040	IPI	SS	121,653	25.11	n/a	n/a	3649.59 3.0
AO,CRT	07/17	HUNTER GLOBAL INVESTOR	067	JKHY	SS	50,000	20.75	n/a	n/a	2000.00 4.0
AO,CXL	07/17	HUNTER GLOBAL INVESTOR	067	JKHY	SS	50,000	20.75	n/a	n/a	2500.00 5.0
AO,CRT	07/15	ARCHON CAPITAL	035	MAR	B	30,213	21.54	n/a	n/a	906.39 3.0
AO,CXL	07/15	ARCHON PARTNERS	032	MAR	B	30,213	21.54	n/a	n/a	906.39 3.0
AO,CRT	07/16	CAVU CAP ADV	028	TIN	B	50,000	13.64	21-Jul	20-Jul	2500.00 5.0
AO,CXL	07/16	CAVU CAP ADV	028	TIN	B	50,000	13.64	21-Jul	20-Jul	2500.00 5.0
AO,CXL	07/17	ISLE RIDGE PARTNERS	041	XHB	B	10,000	12.53	n/a	n/a	500.00 5.0
AO,CRT	07/17	ISLE RIDGE PARTNERS	041	XHB	B	10,000	12.53	n/a	n/a	400.00 4.0
AO,CRT	07/17	NEWCASTLE FUNDS	255	YUM	SS	800	33.81	n/a	15-Jul	32.00 4.0
AO,CXL	07/17	NEWCASTLE FUNDS	255	YUM	SS	800	33.81	n/a	15-Jul	32.00 4.0

**TOTAL (AO, CXL, CRT) :****3,049.59**

TOTAL (Trade Date) :

117,779.36

TOTAL (AO, CXL, CRT) :

3,049.59

---

TOTAL (RUN DATE) / NFS:

120,828.95

---

MRI Securities with Trade Activity on 20-Jul.

COG

MRI Securities without Trade Activity on 20-Jul.

CIT, ETN, RRC

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

T-Date = 46%

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)**