



Daily Compliance Activity Report

Trade Date: 05/26/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		AAPL	B	5,000	129.00	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		ABG	S	100,000	9.71	n/a	30-Apr	non-brg	1.0
BUCK CAPITAL MGMT		ABG	S	20,000	9.84	n/a	30-Apr	non-brg	1.0
BUCK CAPITAL MGMT		ABG	S	60,000	9.72	n/a	30-Apr	non-brg	3.0
PATTEN & PATTEN	067	ADRU	S	2,000	17.71	n/a	n/a	100.00	5.0
PATTEN & PATTEN	067	APC	B	1,800	43.89	3-Feb	7-May	90.00	5.0
BUCK CAPITAL MGMT		APP	S	20,000	3.71	n/a	n/a	non-brg	2.0
MICHAEL THOMAS NOLAN	FID	AXL	S	1500	2.23	n/a	n/a	0.00	0.0
ANTHONY NG	FID	BAC	B	85	10.99	11-May	26-May	0.00	0.0
TROUBH PART	067	BAC	B	50,000	10.98	11-May	26-May	2,500.00	5.0
BALYASNY ASSET MGMT	044	BEN	S	15,000	63.94	11-May	19-May	750.00	5.0
JOSEPH CIRO AMATURO	FID	BGZ	B	2000	38.49	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	034	BKC	S	20,000	17.13	16-Apr	29-Apr	800.00	4.0
MARK MEGALLI	FID	BPI	B	2000	12.30	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		BYI	B	30,000	26.65	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	067	CAG	S	1,850	18.61	n/a	n/a	92.50	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO NESBITT BURNS	041	CAT	SS	25,000	35.19	n/a	22-Apr	1,250.00	5.0
f EDWARD W WHEELER	FID	CCCGC	B	70	0.45	n/a	n/a	0.00	0.0
MTB INV ADV	034	CHS	B	83,100	8.77	n/a	30-Jan	3,324.00	4.0
WEISS PECK	040	CHS	C	6,200	8.81	n/a	30-Jan	248.00	4.0
RDK CAPITAL MGMT	034	CLX	S	10,000	51.84	19-May	19-May	400.00	4.0
BUCK CAPITAL MGMT	001	CMG	B	22,800	78.94	14-May	14-May	912.00	4.0
ß BUCK CAPITAL MGMT		CMG	C	7,200	79.53	14-May	14-May	non-brg	2.0
KEEFE BRUYETTE WOODS A	045	COF	B	12,000	22.79	15-May	26-May	600.00	5.0
ß BUCK CAPITAL MGMT		CPKI	C	18,737	13.38	n/a	8-May	non-brg	4.0
ß BUCK CAPITAL MGMT		CRM	SS	100,000	36.75	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	067	DOW	B	3,437	16.99	n/a	6-May	171.85	5.0
f STEFFANIE CARMELA CA	FID	DPTR	B	200	1.66	n/a	n/a	0.00	0.0
f JOHN CAREY MAGUIRE	FID	DPZ	S	400	8.88	n/a	24-Apr	0.00	0.0
JP MORGAN VENTURES	046	DSW	S	20,000	12.76	24-Mar	26-May	1,000.00	5.0
MISSION GLOBAL LLC	041	EP	B	48,700	8.74	n/a	n/a	1,461.00	3.0
&MIS	041	EP	B	1,300	8.74	n/a	n/a	39.00	3.0
SCOPUS FUND	041	ETN	B	5,000	45.90	21-Apr	19-May	250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PHILADELPHIA FINANCIAL	033	EVR	S	15,000	16.55	n/a	n/a	600.00	4.0
PATTEN & PATTEN	067	EWC	B	5,100	22.16	n/a	n/a	255.00	5.0
BUCK CAPITAL MGMT	001	FDO	B	10,000	31.25	5-Mar	18-May	400.00	4.0
RBC CAPITAL MARKETS	034	FDO	S	15,000	30.99	5-Mar	18-May	600.00	4.0
TRELLUS PARTNERS LP	028	FDO	SS	10,000	31.07	5-Mar	18-May	500.00	5.0
PHILADELPHIA FINANCIAL	033	FII	S	50,000	22.56	24-Apr	19-May	2,000.00	4.0
⌘ BUCK CAPITAL MGMT		FINL	B	125,000	6.90	n/a	28-Mar	non-brg	2.5
⌘ BUCK CAPITAL MGMT		FINL	B	155,000	6.89	n/a	28-Mar	non-brg	3.0
⌘ BUCK CAPITAL MGMT		FINL	B	20,000	6.85	n/a	28-Mar	non-brg	2.0
MERRILL ASSET	032	GIS	S	14,400	52.54	n/a	n/a	648.00	4.5
⌘ BUCK CAPITAL MGMT		GMCR	C	10,000	82.95	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GME	S	75,000	23.38	n/a	n/a	non-brg	4.0
RDK CAPITAL MGMT	034	GME	S	10,000	23.20	n/a	n/a	400.00	4.0
⌘ BUCK CAPITAL MGMT		HAS	SS	50,000	23.40	n/a	n/a	non-brg	4.0
WEISS PECK	040	HOG	C	10,300	17.09	n/a	n/a	515.00	5.0
⌘ BUCK CAPITAL MGMT		HOTT	C	20,000	7.46	n/a	30-Jan	non-brg	3.0
⌘ BUCK CAPITAL MGMT		HOT	C	50,000	23.61	n/a	n/a	non-brg	4.0
EPOCH INV MGMT	030	IFF	S	30,236	31.02	21-Jan	30-Apr	1,209.44	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		IMAX	S	25,000	7.92	n/a	n/a	non-brg	3.0
SCOPUS FUND	041	IP	B	25,000	14.89	n/a	1-May	1,250.00	5.0
MISSION GLOBAL LLC	041	IR	B	24,350	21.53	n/a	n/a	1,217.50	5.0
&MIS	041	IR	B	650	21.53	n/a	n/a	32.50	5.0
TYEE/TYGH	035	IVZ	B	50,000	14.88	11-May	22-May	2,000.00	4.0
f ANTHONY NG	FID	JBLU	B	250	4.62	n/a	n/a	0.00	0.0
AVESTA CAP	229	JCP	S	25,000	26.66	13-Apr	18-May	1,000.00	4.0
AVESTA CAP	229	KSS	B	50,000	42.64	8-May	15-May	2,000.00	4.0
SANDLER O'NEILL ASSET	031	LAZ	B	8,850	27.60	n/a	19-May	442.50	5.0
NEUBERGER BERMAN	036	LHO	S	17,000	13.50	n/a	n/a	765.00	4.5
RBC CAPITAL MARKETS	034	MCD	B	10,000	57.69	n/a	8-May	400.00	4.0
RDK CAPITAL MGMT	034	MCD	SS	3,890	58.60	n/a	8-May	155.60	4.0
RDK CAPITAL MGMT	034	MCD	S	6,110	58.61	n/a	8-May	244.40	4.0
STADIA CAPITAL	035	MCD	S	9,700	58.69	n/a	8-May	388.00	4.0
f EDWARD W WHEELER	FID	METFX	B	50	7.47	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	METIC	B	50	15.54	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	METPRB	S	10000	20.13	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		MHK	C	30,000	39.57	n/a	n/a	non-brg	2.5
MTB INV ADV	034	MON	B	2,100	86.25	n/a	2-Apr	84.00	4.0
BUCK CAPITAL MGMT		PAG	S	72,696	11.59	n/a	6-May	non-brg	1.0
BUCK CAPITAL MGMT		PAG	S	98,704	11.54	n/a	6-May	non-brg	4.0
BUCK CAPITAL MGMT		PERY	S	10,000	6.86	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT		PG	SS	60,000	53.90	12-Mar	4-May	non-brg	4.0
BALYASNY ASSET MGMT	044	PLCE	C	25,000	36.15	19-Mar	21-May	1,250.00	5.0
BUCK CAPITAL MGMT		PLCE	B	20,000	36.22	19-Mar	21-May	non-brg	4.0
CR INTRINIC INVESTMENT	044	PRX	B	17,144	12.54	6-May	26-May	685.76	4.0
MILLRACE FUND LP	028	PRX	S	3,400	13.08	6-May	26-May	136.00	4.0
NEUBERGER BERMAN	036	PSA	B	6,800	67.10	n/a	n/a	306.00	4.5
BUCK CAPITAL MGMT		PSUN	S	314,944	3.86	6-Feb	6-Feb	non-brg	2.0
BUCK CAPITAL MGMT		PSUN	S	60,000	3.83	6-Feb	6-Feb	non-brg	1.0
KENNEDY CAPITAL	046	PSUN	B	44,722	3.79	6-Feb	6-Feb	894.44	2.0
BALYASNY ASSET MGMT	044	PTRY	S	20,000	20.78	n/a	n/a	1,000.00	5.0
ROTHSCHILD ASSET	040	RAH	S	6,460	57.47	n/a	n/a	290.70	4.5
BUCK CAPITAL MGMT	001	RL	B	4,608	52.84	n/a	16-Apr	184.32	4.0
MISSION GLOBAL LLC	041	ROK	SS	16,558	31.35	n/a	n/a	827.90	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
&MIS	041	ROK	SS	442	31.35	n/a	n/a	22.10	5.0
NEUBERGER BERMAN	036	SHO	S	39,700	5.75	n/a	n/a	1,191.00	3.0
NEUBERGER BERMAN	036	SKT	B	14,700	31.52	n/a	n/a	661.50	4.5
BENCHMARK	028	SLM	B	5,000	6.34	23-Apr	20-May	250.00	5.0
f JOHN CAREY MAGUIRE	FID	SWN	S	100	41.65	27-Feb	28-Apr	0.00	0.0
f ANTHONY NG	FID	S	B	100	5.24	n/a	n/a	0.00	0.0
SYSTEMATIC FINANCIAL MGT	035	TAP	B	58,000	44.08	n/a	n/a	2,030.00	3.5
f MARC PAUL LUCHANSKY	FID	TBT	B	200	54.60	n/a	n/a	0.00	0.0
HARVEST MGMT	039	TIF	B	10,000	27.60	n/a	30-Jan	500.00	5.0
f MARC PAUL LUCHANSKY	FID	TPINX	B	84	11.84	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	T	S	1,400	24.47	n/a	4-Jan	70.00	5.0
f JOSEPH CIRO AMATURO	FID	UQM	S	10000	1.96	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		URBN	B	50,000	20.35	n/a	30-Jan	non-brg	4.0
NEWCASTLE FUNDS	255	WFMI	SS	15,000	18.96	n/a	n/a	600.00	4.0
DIAMONDBACK CAP MGMT	232	WMT	S	25,000	50.40	11-May	14-May	1,250.00	5.0
CASEY CAPITAL	067	WRC	S	5,000	29.61	13-May	13-May	250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		WYNN	C	50,000	37.70	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		XRT	SS	300,000	27.07	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		ZLC	B	43,760	5.24	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		ZLC	B	50,000	5.06	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT		ZLC	B	6,240	4.92	n/a	n/a	non-brg	1.5
JMP ASSET MGMT	210	ZZ	B	20,000	2.10	n/a	n/a	400.00	2.0
TOTAL (Trade Date):							43,895.01		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	05/22	LISTED ERR	099	AEO	S	200	13.63	20-Apr	8-May	0.00	0.0
AO,CXL	05/20	LISTED ERR	099	BARE	B	7,500	9.55	n/a	n/a	0.00	0.0
AO,CRT	05/20	LISTED ERR	099	BARE	B	7,500	9.55	n/a	n/a	0.00	0.0
AO,CRT	05/22	LISTED ERR	099	CAT	S	1,213	34.69	n/a	22-Apr	0.00	0.0
AO,	05/22	LISTED ERR	099	CAT	SS	1,213	34.69	n/a	22-Apr	0.00	0.0
AO,CXL	05/22	LISTED ERR	099	CAT	SS	1,213	34.71	n/a	22-Apr	0.00	0.0
AO,	05/21	REINHART & MAHONEY	031	DRI	S	430	33.36	19-Mar	19-Mar	21.50	5.0
AO,CXL	05/21	REINHART & MAHONEY	031	DRI	S	430	33.36	19-Mar	19-Mar	21.50	5.0
AO,CRT	05/21	COOPER CREEK PART	028	TIN	SS	15,000	11.64	n/a	22-Apr	600.00	4.0
AO,CXL	05/21	COOPER CREEK PART	028	TIN	SS	15,000	11.64	n/a	22-Apr	750.00	5.0
TOTAL (AO, CXL, CRT) :										-150.00	

TOTAL (Trade Date):	43,895.01
TOTAL (AO, CXL, CRT):	-150.00

TOTAL (RUN DATE) / NFS:	43,745.01
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MRI Securities with Trade Activity on 26-May.
NONE

MRI Securities without Trade Activity on 26-May.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 3%
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)