



Daily Compliance Activity Report

Trade Date: 01/09/2009

Potential ANALYST TRADE Violations: 0

BCM Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
INDEPENDENCE INV	039	AGN	S	11,700	40.11	5-Jan	9-Jan	468.00	4.0
f DAVID GEORGE BUCK	FID	ALV	S	1500	22.91	26-Nov	16-Dec	0.00	0.0
f KAREN F LEDDY	FID	ALV	S	800	22.97	26-Nov	16-Dec	0.00	0.0
JENNISON	032	AMAT	B	732,100	10.46	n/a	n/a	27,087.70	3.7
B BUCK CAPITAL MGMT		ARO	S	50,000	20.11	n/a	9-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		BBY+OD[BBY]	SS	1,000	0.63	n/a	n/a	non-brg	100.0
THE BOSTON COMPANY	401	BEBE	S	169,531	6.30	n/a	n/a	6,781.24	4.0
f STEFFANIE CARMELA CA	FID	BGZ	S	30	58.40	n/a	n/a	0.00	0.0
SCOPUS FUND	041	BIG	B	10,000	14.11	5-Dec	6-Jan	500.00	5.0
f HARALAMBOS EFSTATHI	FID	BJ	S	300	32.35	n/a	27-Jul	0.00	0.0
f EDWARD W WHEELER	FID	BQI	S	10000	1.21	n/a	n/a	0.00	0.0
HEALY CIRCLE	044	BWA	SS	25,000	22.86	16-Dec	16-Dec	1,000.00	4.0
f KAREN F LEDDY	FID	BWA	S	500	23.05	16-Dec	16-Dec	0.00	0.0
MILLENIUM KOZLOW	028	BWA	SS	10,000	22.90	16-Dec	16-Dec	500.00	5.0
FORD FDN.	032	CB	S	35,000	46.33	n/a	n/a	1,750.00	5.0
BUCK CAPITAL MGMT	001	CCL	SS	100,000	23.49	n/a	26-Jan	4,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		COH+NA[COH]	SS	1,000	1.57	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		COH	SS	50,000	18.20	9-Jan	9-Jan	non-brg	4.0
BUCK CAPITAL MGMT	001	CVS	B	90,000	25.71	n/a	n/a	3,600.00	4.0
WILLIAM BLAIR	031	CYBS	B	71,300	11.15	n/a	n/a	2,852.00	4.0
INDEPENDENCE INV	039	DE	S	11,300	45.72	8-Dec	8-Dec	452.00	4.0
BUCK CAPITAL MGMT		DLTR	B	50,000	41.20	n/a	6-Jan	non-brg	4.0
DAVID GEORGE BUCK	FID	DNA	S	2000	86.32	n/a	n/a	0.00	0.0
DAVID GEORGE BUCK	FID	DWNCS	B	20	1.60	n/a	n/a	0.00	0.0
DAVID GEORGE BUCK	FID	DWNOO	S	20	2.36	n/a	n/a	0.00	0.0
CUMBERLAND	038	EXH	B	20,000	23.92	n/a	16-Dec	800.00	4.0
BRIGADE CAPITAL MGMT	029	FCH	B	50,000	2.12	n/a	n/a	1,500.00	3.0
BUCK CAPITAL MGMT		FDO+NY[FDO]	SS	2,000	1.58	n/a	n/a	non-brg	300.0
INDEPENDENCE INV	039	FLS	S	11,800	56.18	n/a	n/a	472.00	4.0
BUCK CAPITAL MGMT	001	FL	SS	157,600	8.12	7-Oct	12-Dec	4,728.00	3.0
BUCK CAPITAL MGMT		FL	SS	214,900	8.03	7-Oct	12-Dec	non-brg	3.0
BUCK CAPITAL MGMT		FL	SS	27,500	8.03	7-Oct	12-Dec	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PENNANT CAP MGMT	029	FNF	S	200,000	16.65	n/a	n/a	6,000.00	3.0
ROARING BLUE LION MGMT	012	FNF	B	15,000	16.44	n/a	n/a	600.00	4.0
⌘ BUCK CAPITAL MGMT		FOSL	S	28,992	15.15	10-Nov	12-Dec	non-brg	1.0
⌘ BUCK CAPITAL MGMT		FOSL	S	3,951	15.15	10-Nov	12-Dec	non-brg	1.5
⌘ BUCK CAPITAL MGMT		FOSL	S	9,131	15.15	10-Nov	12-Dec	non-brg	1.0
⌘ BUCK CAPITAL MGMT		FRT	SS	50,000	58.03	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GES	S	100,000	15.70	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GM+OH [GM]	SS	2,991	1.60	n/a	n/a	non-brg	300.0
INDEPENDENCE INV	039	GS	S	12,600	84.70	15-Sep	16-Dec	504.00	4.0
COUGAR TRADING	044	HAR	SS	15,000	20.34	n/a	26-Nov	750.00	5.0
f KAREN F LEDDY	FID	HAR	S	700	20.67	n/a	26-Nov	0.00	0.0
KLEINHEINZ CAP PART	031	HRB	B	25,000	21.50	n/a	n/a	1,250.00	5.0
⌘ BUCK CAPITAL MGMT		IYR	SS	200,000	35.19	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		JCG+BB [JCG]	SS	3,000	1.26	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		JCG+CB [JCG]	SS	1,000	1.68	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	JCG	S	45,000	10.04	n/a	9-Jan	1,800.00	4.0
⌘ BUCK CAPITAL MGMT		JCG	S	100,000	9.96	n/a	9-Jan	non-brg	3.0
⌘ BUCK CAPITAL MGMT		JCG	S	25,000	10.13	n/a	9-Jan	non-brg	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	JCP	SS	50,000	21.17	9-Jan	9-Jan	2,000.00	4.0
⚡ BUCK CAPITAL MGMT		JNY	S	50,000	5.29	n/a	30-Oct	non-brg	3.0
⚡ BUCK CAPITAL MGMT		KSS+BH[KSS]	SS	1,000	2.28	n/a	n/a	non-brg	300.0
⚡ BUCK CAPITAL MGMT		KSS+BI[KSS]	SS	1,000	0.72	n/a	n/a	non-brg	100.0
BUCK CAPITAL MGMT	001	KSS	S	100,000	37.47	n/a	9-Jan	4,000.00	4.0
f JOHN MICHAEL ZOLIDIS	FID	KSWS	B	1000	11.02	n/a	13-Mar	0.00	0.0
f NEIL M STRATTON	FID	LRGIF	B	1000	10.93	n/a	n/a	0.00	0.0
f NEIL M STRATTON	FID	LRGIF	B	1000	10.94	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		MAR	SS	100,000	19.83	n/a	n/a	non-brg	4.0
HUNTER GLOBAL INVESTOR	067	MA	S	3,400	148.72	23-Dec	9-Jan	170.00	5.0
COUGAR TRADING	044	MCD	B	2,000	60.37	13-Oct	8-Jan	100.00	5.0
f EDWARD W WHEELER	FID	METPRA	S	10000	15.51	n/a	n/a	0.00	0.0
DALTON GREINER	012	MLI	S	9,200	23.34	n/a	18-Nov	460.00	5.0
SANDLER O'NEILL ASSET	031	MS	S	75,000	19.82	18-Dec	18-Dec	3,000.00	4.0
⚡ BUCK CAPITAL MGMT		MW+NV[MW]	SS	1,000	1.05	n/a	n/a	non-brg	300.0
⚡ BUCK CAPITAL MGMT		MW	SS	100,000	13.20	n/a	n/a	non-brg	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	M	SS	30,000	10.63	12-Aug	9-Jan	1,500.00	5.0
BUCK CAPITAL MGMT	001	M	S	200,000	10.33	12-Aug	9-Jan	8,000.00	4.0
f FRANCIS MICHAEL MCCA	FID	NCI	B	100	14.03	n/a	n/a	0.00	0.0
8 BUCK CAPITAL MGMT		NKE+BK[NKE]	SS	1,000	1.33	n/a	n/a	non-brg	300.0
BALYASNY ASSET MGMT	044	PAG	SS	15,000	8.76	n/a	23-Dec	750.00	5.0
TRELLUS PARTNERS LP	028	PAG	SS	400	9.30	n/a	23-Dec	12.00	3.0
HUNTER GLOBAL INVESTOR	067	PJC	B	15,000	32.94	n/a	n/a	750.00	5.0
BUCK CAPITAL MGMT	001	PVH	S	20,000	18.91	18-Dec	18-Dec	800.00	4.0
COUGAR TRADING	044	PVH	B	7,500	18.51	18-Dec	18-Dec	375.00	5.0
8 BUCK CAPITAL MGMT		QPT+PC[PETM]	SS	1,000	1.05	n/a	n/a	non-brg	300.0
8 BUCK CAPITAL MGMT		QUK+BO[DECK]	SS	300	5.95	n/a	n/a	non-brg	300.0
HUNTER GLOBAL INVESTOR	067	RJF	B	28,000	17.91	n/a	n/a	1,120.00	4.0
8 BUCK CAPITAL MGMT		RL+PG[RL]	SS	1,000	2.52	n/a	n/a	non-brg	300.0
COUGAR TRADING	044	RL	B	5,000	41.81	n/a	6-Nov	250.00	5.0
INDEPENDENCE INV	039	RL	S	10,800	43.04	n/a	6-Nov	432.00	4.0
f HARALAMBOS EFSTATHI	FID	SDS	B	100	71.34	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	SDS	B	2200	71.09	n/a	n/a	0.00	0.0
ENTRUST CAPITAL	040	SHW	S	64,000	60.37	n/a	27-Oct	3,200.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
BUCK CAPITAL MGMT		SKF	S	26,600	116.43	n/a	n/a	non-brg 1.0
BUCK CAPITAL MGMT		SKX+BV[SKX]	SS	2,000	0.50	n/a	n/a	non-brg 100.0
BUCK CAPITAL MGMT		SLM	S	125,000	10.68	n/a	9-Jan	non-brg 4.0
BUCK CAPITAL MGMT		SPG	SS	100,000	48.89	n/a	n/a	non-brg 4.0
DAVID GEORGE BUCK	FID	SPG	B	1000	48.49	n/a	n/a	0.00 0.0
CENTURION GLOBAL MGMT LL	041	SQNM	S	20,000	22.96	n/a	n/a	600.00 3.0
CHARTER OAK	033	STJ	B	50,000	32.63	n/a	n/a	2,500.00 5.0
BUCK CAPITAL MGMT		TCO	SS	50,000	23.50	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		TGT+NS[TGT]	SS	3,000	2.00	n/a	n/a	non-brg 300.0
BUCK CAPITAL MGMT		TGT	SS	100,000	36.15	17-Nov	9-Jan	non-brg 4.0
BUCK CAPITAL MGMT		TGT	SS	100,000	36.55	17-Nov	9-Jan	non-brg 2.0
BUCK CAPITAL MGMT		TIF+QC[TIF]	SS	1,000	1.10	n/a	n/a	non-brg 300.0
BUCK CAPITAL MGMT		TIF	SS	100,000	22.75	n/a	12-Dec	non-brg 2.0
PRINCIPLE CAPITAL	040	TIF	SS	35,200	22.94	n/a	12-Dec	1,056.00 3.0
BUCK CAPITAL MGMT	001	VFC	SS	30,000	52.21	n/a	n/a	1,200.00 4.0
BUCK CAPITAL MGMT		WMS	SS	50,000	26.39	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		WMT+BK[WMT]	SS	1,000	1.26	n/a	n/a	non-brg 300.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		WMT	B	70,000	51.93	10-Oct	8-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		WRC+BD[WRC]	SS	1,000	1.28	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT	001	WRC	S	20,000	18.81	7-Nov	7-Nov	800.00	4.0
EGS ASSOCIATES LP	091	WRC	B	3,000	18.16	7-Nov	7-Nov	180.00	6.0
BUCK CAPITAL MGMT	001	WRI	S	50,000	18.84	n/a	n/a	2,000.00	4.0
B BUCK CAPITAL MGMT		WYNN	SS	100,000	44.71	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		XRT	SS	650,000	21.01	n/a	n/a	non-brg	1.0
TOTAL (Trade Date):							102,649.94		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	01/08	MILLENIUUM PARTNERS	028	PKG	B	30,000	13.73	5-Dec	5-Dec	1500.00 5.0
AO,CRT	01/08	MILLENIUUM PARTNERS	028	PKG	B	30,000	13.73	5-Dec	5-Dec	1500.00 5.0
AO,CRT	01/06	JMP ASSET MGMT	210	WSM	B	10,000	8.90	n/a	n/a	400.00 4.0
AO,CXL	01/06	JMP ASSET MGMT	210	WSM	B	10,000	8.90	n/a	n/a	300.00 3.0
TOTAL (AO, CXL, CRT) :										100.00

TOTAL (Trade Date) :	102,649.94
TOTAL (AO, CXL, CRT) :	100.00

TOTAL (RUN DATE) / NFS:	102,749.94
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MRI Securities with Trade Activity on 9-Jan.
COH, JCP

MRI Securities without Trade Activity on 9-Jan.
ARG, EV, IVZ, JCI, JWN

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 19%
YTD = 27%

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)