



Daily Compliance Activity Report

Trade Date: 06/15/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		AAI	S	30,000	5.94	n/a	n/a	non-brg	3.0
PIONEER OAKRIDGE	031	AAPL	S	560	259.14	n/a	n/a	11.20	2.0
f DAVID GEORGE BUCK	FID	ABT	B	500	47.92	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	ABT	S	1,765	47.99	n/a	n/a	35.30	2.0
PIONEER OAKRIDGE	031	ADBE	S	1,840	32.46	n/a	n/a	36.80	2.0
B BUCK CAPITAL MGMT		AEO	S	100,000	13.45	n/a	4-Jun	non-brg	4.0
EXIS CAPITAL	044	AEO	B	5,000	13.39	n/a	4-Jun	250.00	5.0
PIONEER OAKRIDGE	031	AGN	S	1,105	61.47	n/a	14-Jun	22.10	2.0
ROYCE TRADING	012	AIN	B	500	18.60	n/a	n/a	25.00	5.0
PIONEER OAKRIDGE	031	ALTR	S	1,370	25.36	n/a	n/a	27.40	2.0
f ABRAM M CHAPPELL	FID	AMR	S	350	8.82	n/a	n/a	0.00	0.0
BERMAN CAPITAL MGMT	046	ANN	B	5,000	21.96	n/a	n/a	150.00	3.0
PIONEER OAKRIDGE	031	APH	S	855	42.89	n/a	n/a	17.10	2.0
BERMAN CAPITAL MGMT	046	APP	B	2,000	1.95	n/a	n/a	60.00	3.0
EXIS CAPITAL	044	ARO	B	5,000	30.25	n/a	4-Jun	250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f JONATHAN RICHARD HAR	FID	BAC	B	150	15.61	n/a	15-Jun	0.00	0.0
ROYCE TRADING	012	BAS	B	11,000	8.62	n/a	n/a	550.00	5.0
PIONEER OAKRIDGE	031	BAX	S	1,140	42.19	n/a	n/a	22.80	2.0
B BUCK CAPITAL MGMT		BBY	B	300,000	38.41	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BBY	C	130,000	38.81	n/a	n/a	non-brg	0.8
PIONEER OAKRIDGE	031	BBY	S	1,705	38.39	n/a	n/a	34.10	2.0
PIONEER OAKRIDGE	031	BDX	S	825	70.62	n/a	n/a	16.50	2.0
B BUCK CAPITAL MGMT		BEBE	B	20,000	6.76	n/a	n/a	non-brg	3.0
CATAPULT	040	BEN	B	2,500	93.74	n/a	2-Mar	125.00	5.0
BUCK CAPITAL MGMT	001	BJ	SS	20,000	38.87	n/a	n/a	800.00	4.0
f KAREN F LEDDY	FID	BKRS	S	3550	1.34	n/a	n/a	0.00	0.0
CATAPULT	040	BLK	S	2,500	162.78	n/a	n/a	125.00	5.0
f DAVID GEORGE BUCK	FID	BP	B	2030	15.31	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	BP	S	30	0.91	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	BRKB	B	50,000	76.59	n/a	n/a	2,500.00	5.0
ROYCE TRADING	012	BWS	S	10,000	17.25	n/a	n/a	500.00	5.0
STANDARD PACIFIC CAPITAL	040	BYI	SS	20,000	40.66	n/a	n/a	800.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	012	BZ	B	2,000	5.82	n/a	n/a	100.00	5.0
TRELLUS PARTNERS LP	028	BZ	S	25,000	6.01	n/a	n/a	750.00	3.0
WEDBUSH/PACIFIC GROWTH EQTY LLC084	BZ		S	10,000	5.90		n/a n/a	400.00	4.0
ROYCE TRADING	012	B	B	5,500	18.33	n/a	n/a	275.00	5.0
JP MORGAN VENTURES	046	CAT	SS	5,000	62.22	n/a	12-May	250.00	5.0
BNP PARIBAS SEC	040	CBE	B	15,000	48.37	n/a	27-May	600.00	4.0
f EDWARD W WHEELER	FID	CCC	S	7000	14.48	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	CELG	S	1,050	54.82	n/a	n/a	21.00	2.0
f EDWARD W WHEELER	FID	CHP	S	10000	1.03	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	266	CLX	S	53,500	64.62	n/a	6-May	2,140.00	4.0
B BUCK CAPITAL MGMT		COH	S	30,000	44.00	n/a	14-May	non-brg	4.0
B BUCK CAPITAL MGMT		COST	SS	50,000	58.77	n/a	n/a	non-brg	4.0
ENTRUST CAPITAL	040	CPLA	SS	25,900	84.07	n/a	n/a	1,295.00	5.0
B BUCK CAPITAL MGMT		CROX	S	120,000	11.65	n/a	n/a	non-brg	4.0
PIONEER OAKRIDGE	031	CSCO	S	2,830	23.40	n/a	n/a	56.60	2.0
PIONEER OAKRIDGE	031	CTSH	S	1,465	53.42	n/a	n/a	29.30	2.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
	ROYCE TRADING	012	CTS	S	500	10.53	n/a	n/a	25.00	5.0	
f	JONATHAN RICHARD HAR	FID	CVGI	B	100	11.94	n/a	n/a	0.00	0.0	
	MARINER/TRICADIA	041	CXW	S	30,000	21.05	n/a	n/a	1,500.00	5.0	
	FIRST NY SEC/CHRIS	041	C	B	25,000	3.97	n/a	15-Jun	0.00	0.0	
f	JONATHAN RICHARD HAR	FID	C	B	500	3.94	n/a	15-Jun	0.00	0.0	
B	BUCK CAPITAL MGMT		DBRN	B	20,000	26.83	n/a	n/a	non-brg	4.0	
B	BUCK CAPITAL MGMT		DDS	SS	10,000	27.36	n/a	n/a	non-brg	2.5	
	PIIONEER OAKRIDGE	031	DHR	S	2,035	40.45	n/a	n/a	61.05	3.0	
	WEDBUSH/PACIFIC GROWTH EQTY LLC084	DKS			SS	10,000	28.11	n/a	11-Jun	500.00	5.0
	BERMAN CAPITAL MGMT	046	DSW	B	3,000	27.25	n/a	11-Jun	90.00	3.0	
	PIIONEER OAKRIDGE	031	ECL	S	1,365	47.07	n/a	26-May	27.30	2.0	
B	BUCK CAPITAL MGMT		ELY	C	50,000	7.00	n/a	n/a	non-brg	3.0	
	ROTHSCHILD ASSET	040	EMS	S	15,520	55.80	n/a	n/a	620.80	4.0	
	PIIONEER OAKRIDGE	031	ESRX	S	1,560	53.21	n/a	n/a	46.80	3.0	
	BNP PARIBAS SEC	040	ETN	SS	10,000	74.46	n/a	27-May	400.00	4.0	
	BERMAN CAPITAL MGMT	046	FINL	B	2,000	16.60	n/a	n/a	60.00	3.0	

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	JOHN MICHAEL ZOLIDIS	FID	FINL	S	500	16.65	n/a	n/a	0.00	0.0
	LEVIN CAPITAL STRATEGIES	012	FL	B	50,000	14.80	n/a	11-Jun	1,500.00	3.0
	ROYCE TRADING	012	FRM	B	12,500	4.51	n/a	n/a	375.00	3.0
f	MITCHELL JAMES SPEIS	FID	FSNXX	B	8900	1.00	n/a	n/a	0.00	0.0
f	MITCHELL JAMES SPEIS	FID	FSNXX	S	10000	1.00	n/a	n/a	0.00	0.0
	ROYCE TRADING	012	FSS	S	500	6.61	n/a	n/a	25.00	5.0
	MUHLENKAMP FUND	046	F	B	1,150,000	11.66	n/a	3-Jun	57,500.00	5.0
	OZ MGMT	040	F	SS	220,843	11.58	n/a	3-Jun	6,625.29	3.0
	OZ MGMT	040	F	S	34,157	11.55	n/a	3-Jun	1,024.71	3.0
	TROUBH PART	067	F	B	50,000	11.74	n/a	3-Jun	2,500.00	5.0
	LEVEL GLOBAL SHARED ACCT	257	GES	B	100,000	36.17	n/a	28-May	3,000.00	3.0
	CHART WELL ADV	028	GET	B	26,821	26.02	n/a	n/a	1,072.84	4.0
	PIONEER OAKRIDGE	031	GILD	S	1,930	35.18	n/a	n/a	38.60	2.0
B	BUCK CAPITAL MGMT		GIL	S	60,000	31.40	n/a	14-May	non-brg	4.0
f	CHRISTOPHER ROBERT C	FID	GLW	S	200	18.13	n/a	9-Jun	0.00	0.0
B	BUCK CAPITAL MGMT		GME	C	50,000	20.30	n/a	n/a	non-brg	4.0
	PIONEER OAKRIDGE	031	GOOG	S	240	498.95	n/a	n/a	4.80	2.0
	BERMAN CAPITAL MGMT	046	GPS	B	5,000	22.20	n/a	n/a	150.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CHART WELL ADV	028	GYMB	S	36,875	45.44	n/a	10-Jun	1,475.00	4.0
B BUCK CAPITAL MGMT		HAL	B	153,000	24.62	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		HBI	S	20,000	29.07	n/a	14-May	non-brg	4.0
B BUCK CAPITAL MGMT		HOT	SS	30,000	48.62	n/a	n/a	non-brg	2.5
PIONEER OAKRIDGE	031	HPQ	S	2,170	47.72	n/a	n/a	43.40	2.0
PILOT ROCK	028	HTZ	B	100,000	10.87	n/a	n/a	4,000.00	4.0
PIONEER OAKRIDGE	031	IBM	S	790	129.60	n/a	n/a	15.80	2.0
ROSEDALE CAPITAL	046	IBM	B	10,000	129.27	n/a	n/a	500.00	5.0
PIONEER OAKRIDGE	031	ICE	S	490	123.70	n/a	n/a	9.80	2.0
PIONEER OAKRIDGE	031	INTC	S	4,050	21.51	n/a	n/a	81.00	2.0
ROYCE TRADING	012	IN	B	5,000	10.91	n/a	n/a	250.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	B	40,000	25.26	n/a	29-Apr	2,000.00	5.0
PIONEER OAKRIDGE	031	ITW	S	1,460	46.48	n/a	30-Apr	29.20	2.0
PIONEER OAKRIDGE	031	IVZ	S	2,900	19.36	n/a	2-Mar	58.00	2.0
MARINER/TRICADIA	041	IWM	B	10,000	66.32	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		JBLU	S	20,000	6.71	n/a	n/a	non-brg	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIIONEER OAKRIDGE	031	JCI	S	1,955	29.36	n/a	27-May	39.10	2.0
EXIS CAPITAL	044	JNY	B	5,000	19.38	n/a	14-May	250.00	5.0
BERMAN CAPITAL MGMT	046	JPM	B	5,000	37.55	n/a	15-Jun	150.00	3.0
EXIS CAPITAL	044	JPM	B	20,000	38.25	n/a	15-Jun	1,000.00	5.0
PIIONEER OAKRIDGE	031	JWN	S	1,705	39.98	n/a	4-Jun	34.10	2.0
B BUCK CAPITAL MGMT		KMX	SS	10,000	21.21	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		KSS	B	19,500	51.79	n/a	4-Jun	non-brg	4.0
EXIS CAPITAL	044	KSS	B	5,000	51.80	n/a	4-Jun	250.00	5.0
GALT INVESTMENT	041	KSS	S	30,000	52.70	n/a	4-Jun	1,500.00	5.0
PIIONEER OAKRIDGE	031	K	S	1,250	54.53	n/a	n/a	25.00	2.0
B BUCK CAPITAL MGMT		LEG	SS	10,000	23.16	n/a	n/a	non-brg	2.5
THOMPSON SIEGAL&WALMSLEY	029	LHO	B	5,700	23.90	n/a	n/a	171.00	3.0
FIRST NEW YORK LEDDY	035	LVL	S	20,000	1.23	n/a	n/a	800.00	4.0
f EDWARD W WHEELER	FID	LZ	B	20	10.50	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	MON	B	3000	50.96	n/a	28-May	0.00	0.0
PIIONEER OAKRIDGE	031	MSFT	S	4,030	26.51	n/a	n/a	80.60	2.0
f KAREN F LEDDY	FID	MS	B	800	25.42	n/a	11-Jun	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JOHN MICHAEL ZOLIDIS	FID	NFLX	B	5	4.10	n/a	n/a	0.00	0.0
PAW PARTNERS	045	NUAN	S	10,000	17.25	n/a	n/a	500.00	5.0
f MATTHEW FRANCIS BUCK	FID	NVN	B	1000	14.11	n/a	n/a	0.00	0.0
THE JAY GOLDMAN	028	OEH	S	10,000	9.35	n/a	n/a	400.00	4.0
PIONEER OAKRIDGE	031	ORLY	S	1,615	50.99	n/a	n/a	32.30	2.0
f MANNY I KORMAN	FID	PAY	B	5000	20.30	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	PBR	B	500	37.83	n/a	n/a	0.00	0.0
COHE & STEERS	041	PCL	S	21,400	36.79	n/a	27-Apr	856.00	4.0
PIONEER OAKRIDGE	031	PCP	S	515	112.36	n/a	15-Jun	10.30	2.0
BERMAN CAPITAL MGMT	046	PEP	B	4,000	63.88	n/a	n/a	120.00	3.0
PIONEER OAKRIDGE	031	PEP	S	1,265	64.20	n/a	n/a	25.30	2.0
B BUCK CAPITAL MGMT		PETM	SS	20,000	33.05	n/a	n/a	non-brg	2.5
PIONEER OAKRIDGE	031	PG	S	1,510	61.69	n/a	4-Jun	30.20	2.0
ASCEND PARTNERS	033	PLCE	S	93,214	48.82	n/a	3-Jun	4,660.70	5.0
BUCK CAPITAL MGMT	001	PSS	S	150,000	19.45	n/a	n/a	6,000.00	4.0
B BUCK CAPITAL MGMT		PSS	S	25,000	19.69	n/a	n/a	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
B	BUCK CAPITAL MGMT		PSS	S	50,000	19.67	n/a	n/a	non-brg 0.8
	BERMAN CAPITAL MGMT	046	PXP	B	5,000	23.95	n/a	n/a	150.00 3.0
	PIONEER OAKRIDGE	031	PX	S	765	78.72	n/a	10-May	15.30 2.0
	PIONEER OAKRIDGE	031	QCOM	S	1,780	35.46	n/a	n/a	35.60 2.0
B	BUCK CAPITAL MGMT		QKLS	S	27,300	5.17	n/a	n/a	non-brg 3.0
f	EDWARD W WHEELER	FID	RAE	S	30000	0.73	n/a	n/a	0.00 0.0
	SYSTEMATIC FINANCIAL MGT	035	RAI	B	98,600	52.58	n/a	n/a	2,958.00 3.0
f	CHRISTOPHER ROBERT C	FID	RKT	S	100	54.99	n/a	n/a	0.00 0.0
f	EDWARD W WHEELER	FID	RLOG	S	3425	5.31	n/a	n/a	0.00 0.0
B	BUCK CAPITAL MGMT		RL	C	40,000	82.49	n/a	20-May	non-brg 4.0
	BASIX	033	RST	SS	28,000	24.54	n/a	n/a	840.00 3.0
	PIONEER OAKRIDGE	031	RTN	S	1,195	52.75	n/a	23-Apr	23.90 2.0
f	MATTHEW FRANCIS BUCK	FID	RYN	S	300	46.98	n/a	13-May	0.00 0.0
	PIONEER OAKRIDGE	031	SCHW	S	2,210	15.93	n/a	n/a	44.20 2.0
	BUCK CAPITAL MGMT	001	SHW	SS	10,000	77.55	n/a	24-May	400.00 4.0
	BUCK CAPITAL MGMT	001	SIG	S	20,000	32.08	n/a	n/a	800.00 4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f CHRISTOPHER ROBERT C	FID	SLB	S	100	60.05	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	SLB	S	815	60.62	n/a	n/a	16.30	2.0
PIONEER OAKRIDGE	031	SPLS	S	3,225	22.11	n/a	n/a	64.50	2.0
f JOHN MICHAEL DEMARTI	FID	SPWRA	S	1000	14.37	n/a	n/a	0.00	0.0
SENATOR INVESTMENT GROUP	036	ST	S	55,491	17.37	n/a	n/a	1,664.73	3.0
PIONEER OAKRIDGE	031	SWN	S	1,235	44.64	n/a	3-Jun	24.70	2.0
B BUCK CAPITAL MGMT		SWY	SS	10,000	21.26	n/a	n/a	non-brg	2.5
PIONEER OAKRIDGE	031	SYK	S	1,365	51.42	n/a	n/a	27.30	2.0
BERMAN CAPITAL MGMT	046	TGT	S	10,000	54.48	n/a	4-Jun	300.00	3.0
f DAVID GEORGE BUCK	FID	TGT	B	1000	54.53	n/a	4-Jun	0.00	0.0
PIONEER OAKRIDGE	031	TGT	S	1,730	54.55	n/a	4-Jun	34.60	2.0
BMO NESBITT BURNS	041	TIN	SS	25,000	23.09	n/a	21-Apr	1,250.00	5.0
CHART WELL ADV	028	TIVO	S	20,000	8.14	n/a	n/a	800.00	4.0
EXIS CAPITAL	044	TJX	SS	5,000	46.35	n/a	4-Jun	250.00	5.0
B BUCK CAPITAL MGMT		TLB	B	80,000	12.65	n/a	n/a	non-brg	4.0
PIONEER OAKRIDGE	031	TMO	S	1,505	53.09	n/a	n/a	30.10	2.0
COUGAR TRADING	044	TM	B	10,000	72.59	n/a	n/a	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PAW PARTNERS	045	TNS	B	10,000	19.42	n/a	n/a	500.00	5.0
BALYASNY ASSET MGMT	044	TPX	C	35,000	33.62	n/a	n/a	1,750.00	5.0
LEVIN CAPITAL STRATEGIES	012	TPX	C	15,000	33.63	n/a	n/a	450.00	3.0
B BUCK CAPITAL MGMT		UAUA	S	30,000	23.79	n/a	n/a	non-brg	4.0
SCOUT/UMB	047	UNT	B	45,950	46.88	n/a	3-Jun	2,297.50	5.0
BNP PARIBAS SEC	040	URBN	SS	1,100	37.55	n/a	n/a	44.00	4.0
LEVEL GLOBAL SHARED ACCT	257	URBN	SS	100,000	37.59	n/a	n/a	3,000.00	3.0
PIONEER OAKRIDGE	031	UTX	S	1,045	68.36	n/a	n/a	20.90	2.0
RBC CAPITAL MARKETS	040	VALE	SS	50,000	27.32	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	VFC	S	40,000	79.26	n/a	14-May	1,600.00	4.0
JP MORGAN VENTURES	046	VLO	B	50,000	18.14	n/a	n/a	2,500.00	5.0
PIONEER OAKRIDGE	031	V	S	1,060	76.69	n/a	24-May	21.20	2.0
f JONATHAN RICHARD HAR	FID	WBC	B	50	31.54	n/a	27-May	0.00	0.0
B BUCK CAPITAL MGMT		WFMI	SS	20,000	40.08	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		WFT	S	268,000	14.02	n/a	n/a	non-brg	4.0
STANDARD PACIFIC CAPITAL	040	WMS	B	40,000	45.70	n/a	n/a	1,600.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ARMATURE CAPITAL	040	WY	B	30,000	40.67	n/a	27-May	1,200.00	4.0
COHE & STEERS	041	WY	S	298,644	40.66	n/a	27-May	11,945.76	4.0
RBC CAPITAL MARKETS	040	WY	SS	20,000	40.57	n/a	27-May	800.00	4.0
B BUCK CAPITAL MGMT		XRT	SS	117,700	40.04	n/a	n/a	non-brg	2.0
TOTAL (Trade Date):								155,277.78	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT):									0.00

TOTAL (Trade Date):	155,277.78
TOTAL (AO, CXL, CRT):	0.00

TOTAL (RUN DATE) / NFS:	155,277.78
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MRI Securities with Trade Activity on 15-Jun.
NONE

MRI Securities without Trade Activity on 15-Jun.
AXE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 13%
YTD = 8%

<u>Legend:</u>
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)