



# Daily Compliance Activity Report

Trade Date: 07/30/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
<b>B BUCK CAPITAL MGMT</b>		<b>ABG</b>	<b>B</b>	<b>20,000</b>	<b>13.40</b>	<b>n/a</b>	<b>28-Jul</b>	<b>non-brg 4.0</b>
IRIDIAN ASSET MGMT.	036	ACN	S	5,850	39.37	n/a	n/a	292.50 5.0
METROPOLITAN CAPITAL	044	AEO	S	34,400	12.12	n/a	29-Jul	1,720.00 5.0
1798 CAP/LOMBARD ASSET	040	AKS	SS	123,000	13.93	n/a	n/a	6,150.00 5.0
LEVIN CAPITAL STRATEGIES	012	AN	S	40,000	24.23	n/a	23-Jul	1,200.00 3.0
<b>B BUCK CAPITAL MGMT</b>		<b>ARO</b>	<b>S</b>	<b>120,000</b>	<b>28.14</b>	<b>n/a</b>	<b>29-Jul</b>	<b>non-brg 4.0</b>
NEUBERGER BERMAN	036	ASTE	S	10,300	30.99	n/a	n/a	412.00 4.0
<b>B BUCK CAPITAL MGMT</b>		<b>AXL</b>	<b>S</b>	<b>100,000</b>	<b>9.70</b>	<b>n/a</b>	<b>23-Jul</b>	<b>non-brg 3.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BC</b>	<b>SS</b>	<b>20,000</b>	<b>16.93</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg 4.0</b>
MERRILL ASSET/BLACKROCK	266	BEC	B	2,500	45.11	n/a	n/a	100.00 4.0
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>BEE</b>	<b>B</b>	<b>500</b>	<b>4.61</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>
PORTER-ORLIN	044	BMRN	S	25,000	21.86	n/a	n/a	1,250.00 5.0
<b>B BUCK CAPITAL MGMT</b>		<b>BONT</b>	<b>S</b>	<b>2,544</b>	<b>9.38</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg 2.5</b>
CASTLE ARK	031	BWA	B	157,878	43.83	n/a	23-Jul	7,893.90 5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRELLUS PARTNERS LP	028	BWA	S	20,000	44.22	n/a	23-Jul	1,000.00	5.0
ARCHON CAPITAL	035	CAKE	SS	65,000	23.09	n/a	23-Jul	1,950.00	3.0
HUNTER GLOBAL INVESTOR	067	CAT	B	76,000	69.74	n/a	23-Jul	3,800.00	5.0
IMPALA ASSET MMT	012	CCL	S	8,671	34.32	n/a	n/a	346.84	4.0
⚡ BUCK CAPITAL MGMT		COLM	SS	4,572	49.05	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		CRI	S	45,000	24.00	n/a	n/a	non-brg	4.0
MERU CAP PART LLC	036	CRI	B	8,000	23.91	n/a	n/a	320.00	4.0
⚡ BUCK CAPITAL MGMT		CROX	S	20,000	12.71	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		CSTR	B	46,850	43.81	n/a	n/a	non-brg	0.8
MTB INV ADV	034	CTCT	S	20,750	19.78	n/a	n/a	1,037.50	5.0
⚡ JONATHAN RICHARD HAR	FID	C	B	250	4.11	n/a	19-Jul	0.00	0.0
OZ MGMT	040	DAN	S	67,267	11.95	30-Jul	30-Jul	2,018.01	3.0
⚡ BUCK CAPITAL MGMT		DIN	C	20,000	35.37	n/a	n/a	non-brg	4.0
SENATOR INVESTMENT GROUP	036	DOW	SS	15,000	27.13	n/a	21-May	450.00	3.0
TRUSTCO/SUNTRUST	040	EMC	B	86,403	19.79	n/a	n/a	3,369.75	3.9
MELLON/BANK OF NEW YORK	046	ENR	B	47,650	61.48	n/a	28-Jul	2,382.50	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RAINIER INV MGMT	035	ENS	B	62,500	24.07	n/a	n/a	2,500.00	4.0
IMPALA ASSET MMT	012	EXPD	S	96,177	42.32	n/a	n/a	4,808.85	5.0
⚡ BUCK CAPITAL MGMT		EXPE	SS	10,000	22.13	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		FINL	B	15,000	14.21	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		FINL	B	15,000	14.34	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		FO	SS	20,000	43.37	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		GCO	B	40,000	27.33	n/a	n/a	non-brg	4.0
LEVEL GLOBAL SHARED ACCT	257	GIL	C	100,000	30.64	n/a	19-Jul	3,000.00	3.0
⚡ BUCK CAPITAL MGMT		GPS	SS	50,000	18.09	n/a	n/a	non-brg	4.0
NOMURA CAPITAL	029	GRA	S	9,621	25.70	n/a	n/a	288.63	3.0
1798 CAP/LOMBARD ASSET	040	GVA	SS	21,500	23.11	n/a	n/a	1,075.00	5.0
HUNTER GLOBAL INVESTOR	067	HON	SS	200	43.05	n/a	31-Mar	10.00	5.0
CENTURION PARTNERS	041	IMAX	S	50,000	15.53	n/a	n/a	2,000.00	4.0
f CHRISTOPHER ROBERT C	FID	JCP	B	300	24.49	n/a	29-Jul	0.00	0.0
KACELA CAPITAL	034	JNPR	B	65,000	27.53	n/a	n/a	2,600.00	4.0
⚡ BUCK CAPITAL MGMT		JNS	S	1,100	10.49	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		JNS	S	1,400	10.49	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		JNS	S	3,000	10.49	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		JNS	S	39,200	10.49	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		JNS	S	4,300	10.49	n/a	n/a	non-brg	4.0
BASIX	033	JNY	B	55,000	17.39	n/a	29-Jul	1,650.00	3.0
BUCK CAPITAL MGMT	001	JWN	B	20,000	33.67	n/a	29-Jul	800.00	4.0
ß BUCK CAPITAL MGMT		KKR	B	2,000	9.24	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		KKR	B	27,100	9.24	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		KKR	B	3,000	9.24	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		KKR	B	700	9.24	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		KKR	B	900	9.24	n/a	n/a	non-brg	3.0
NEUBERGER BERMAN	036	LAYN	S	12,500	25.61	n/a	n/a	500.00	4.0
HUNTER GLOBAL INVESTOR	067	LEA	B	20,000	76.68	n/a	23-Jul	1,000.00	5.0
LEVIN CAPITAL STRATEGIES	012	LEA	S	10,000	76.81	n/a	23-Jul	300.00	3.0
STRONG/MARK GRONET	030	LFL	S	66,300	23.60	n/a	n/a	2,652.00	4.0
WEDBUSH/PACIFIC GROWTH EQTY LLC	084	LPX	B	15,000	7.44		n/a 19-Jul	600.00	4.0
BUCK CAPITAL MGMT	001	LTD	B	30,000	25.26	n/a	n/a	1,200.00	4.0
ROYCE TRADING	012	LVS	B	5,400	26.50	n/a	29-Jul	270.00	5.0
HUNTER GLOBAL INVESTOR	067	MLM	B	57,400	84.87	n/a	n/a	2,870.00	5.0
ROSEDALE CAPITAL	046	MRK	S	10,000	34.36	n/a	n/a	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PORTER-ORLIN	044	MSFT	B	50,000	25.70	n/a	n/a	2,500.00	5.0
<b>f ANTHONY SUTERA</b>	<b>FID</b>	<b>MU</b>	<b>B</b>	<b>2000</b>	<b>7.35</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CAERUS GLOBAL	041	NDN	S	28,200	16.55	n/a	29-Jul	1,128.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>NFLX</b>	<b>SS</b>	<b>10,000</b>	<b>101.28</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
IMPALA ASSET MMT	012	NSC	S	29,948	55.97	n/a	n/a	1,497.40	5.0
CATAPULT	040	NYX	B	3,200	28.74	n/a	n/a	160.00	5.0
1798 CAP/LOMBARD ASSET	040	OC	C	12,550	31.97	n/a	n/a	627.50	5.0
IRIDIAN ASSET MGMT.	036	ORCL	S	19,500	23.64	n/a	n/a	975.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>PAG</b>	<b>B</b>	<b>20,000</b>	<b>13.90</b>	<b>n/a</b>	<b>30-Jul</b>	<b>non-brg</b>	<b>4.0</b>
BAIRD INVESTMENT	047	PCAR	B	9,625	45.76	n/a	28-Jul	481.25	5.0
ARCHON CAPITAL	035	PFCB	SS	15,000	41.39	n/a	28-Jul	450.00	3.0
SAXON WOODS ADVISORS	242	PFE	S	314,968	14.91	n/a	n/a	9,449.04	3.0
METROPOLITAN CAPITAL	044	PLCE	B	9,900	41.89	n/a	29-Jul	495.00	5.0
KENNEDY CAPITAL	046	PSUN	S	17,136	4.05	n/a	n/a	342.72	2.0
HIGHBRIDGE CAP	041	PXD	SS	5,000	57.84	n/a	29-Jul	200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	RBN	S	16,900	23.82	n/a	n/a	676.00	4.0
MELLON/BANK OF NEW YORK	046	RCL	B	86,690	29.06	n/a	n/a	4,334.50	5.0
HIGHBRIDGE CAP	041	REXX	SS	10,800	10.51	n/a	n/a	432.00	4.0
1798 CAP/LOMBARD ASSET	040	RIG	SS	5,000	46.01	n/a	n/a	250.00	5.0
SCOPIA CAPITAL	048	RIMM	SS	92,141	57.48	n/a	n/a	3,685.64	4.0
SAC CHICAGO ANDREW	031	ROST	SS	100,000	52.21	n/a	n/a	30.00	0.0
NEUBERGER BERMAN	036	ROVI	B	37,250	44.17	n/a	n/a	1,490.00	4.0
HIGHBRIDGE CAP	041	RRC	SS	7,400	37.30	n/a	19-Jul	296.00	4.0
IMPALA ASSET MMT	012	R	S	4,800	43.13	n/a	n/a	240.00	5.0
HIGHBRIDGE CAP	041	SFY	SS	6,900	26.07	n/a	n/a	276.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>SHOO</b>	<b>S</b>	<b>50,000</b>	<b>39.39</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
SIGMA CAPITAL ASSOCIATES	041	SKX	SS	25,000	37.00	n/a	n/a	875.00	3.5
HIGHBRIDGE CAP	041	SM	SS	5,000	41.34	n/a	n/a	200.00	4.0
IMPALA ASSET MMT	012	SPY	SS	136,000	110.24	n/a	n/a	6,800.00	5.0
CATAPULT	040	STT	S	2,004	38.84	n/a	20-Jul	100.20	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
1798 CAP/LOMBARD ASSET	040	SWC	B	30,000	13.97	n/a	n/a	1,500.00	5.0
IMPALA ASSET MMT	012	TAL	S	5,600	26.43	n/a	n/a	224.00	4.0
IMPALA ASSET MMT	012	TGH	S	6,400	26.88	n/a	n/a	256.00	4.0
SIGMA CAPITAL ASSOCIATES	041	TJX	B	50,000	41.46	n/a	29-Jul	1,750.00	3.5
SAC CHICAGO ANDREW	031	URBN	SS	50,000	32.04	n/a	n/a	15.00	0.0
HARBORWATCH/DIAMBACK	232	UTX	B	25,000	70.94	n/a	n/a	1,250.00	5.0
EXIS CAPITAL	044	VLCM	B	20,000	15.85	n/a	n/a	1,000.00	5.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>VXX</b>	<b>S</b>	<b>100</b>	<b>22.97</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LATEFF MGMT	035	WCRX	S	4,000	26.00	n/a	30-Jul	520.00	14.0
<b>f PEARL LUCHANSKY</b>	<b>FID</b>	<b>WEFIX</b>	<b>B</b>	<b>4019</b>	<b>12.44</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
IMPALA ASSET MMT	012	WNC	B	80,000	8.35	n/a	n/a	1,600.00	2.0
SAC CRIB	044	XLI	B	25,000	30.18	n/a	n/a	875.00	3.5
<b>TOTAL (Trade Date):</b>								<b>111,298.73</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/29	SF SENTRY	085	BPI	B	5,000	18.79	n/a	n/a	250.00 5.0
AO,CRT	07/29	WEDBUSH/PACIFIC GROWTH EQTY LLC	084	BPI	B	4,450	18.79	n/a	n/a	222.50 5.0
AO,	07/29	WEDBUSH/PACIFIC GROWTH EQTY LLC	084	BPI	B	550	18.79	n/a	n/a	27.50 5.0
AO,CRT	07/29	SCOPUS FUND	041	DAN	B	10,000	11.63	30-Jul	30-Jul	500.00 5.0
AO,CXL	07/29	SCOPUS FUND	041	DAN	B	10,000	11.63	30-Jul	30-Jul	0.00 0.0
AO,CRT	07/29	COBALT	041	TYC	S	133,807	36.89	n/a	29-Jul	6690.35 5.0
AO,CXL	07/29	COBALT	041	TYC	S	133,807	36.89	n/a	29-Jul	6690.35 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>500.00</b>

TOTAL (Trade Date) :	111,298.73
TOTAL (AO, CXL, CRT) :	500.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>111,798.73</b>
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MRI Securities with Trade Activity on 30-Jul.

DAN

MRI Securities without Trade Activity on 30-Jul.

RTN, GD



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

T-Date = 12%

YTD = 10%

**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)**