



# Daily Compliance Activity Report

Trade Date: 08/19/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		AEO	S	225,000	12.94	n/a	6-Aug	non-brg	4.0
BUCK CAPITAL MGMT		AEO	S	75,000	12.79	n/a	6-Aug	non-brg	0.8
BUCK CAPITAL MGMT		ARO	S	100,000	23.33	n/a	6-Aug	non-brg	4.0
BUCK CAPITAL MGMT		ARO	S	122,074	23.33	n/a	6-Aug	non-brg	0.8
BUCK CAPITAL MGMT		ARO	S	168,926	23.27	n/a	6-Aug	non-brg	0.8
BUCK CAPITAL MGMT		ARO	S	260,000	23.48	n/a	6-Aug	non-brg	4.0
BUCK CAPITAL MGMT		ARO	S	49,000	23.28	n/a	6-Aug	non-brg	0.8
GREEN ARROW DOUG	040	ATVI	SS	9,000	11.02	n/a	n/a	450.00	5.0
GREEN ARROW DOUG	040	ATVI	S	16,000	11.02	n/a	n/a	800.00	5.0
PROSPECTOR PARTNERS LLC	036	AYE	B	9,200	22.32	n/a	n/a	368.00	4.0
&PRO	036	AYE	B	800	22.32	n/a	n/a	32.00	4.0
BUCK CAPITAL MGMT		BBBY	S	40,000	38.56	n/a	n/a	non-brg	4.0
OZ MGMT	040	CAT	SS	25,000	69.31	n/a	23-Jul	750.00	3.0
ROSEDALE CAPITAL	046	CMC	B	10,000	13.62	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT		COF	B	13,500	37.51	n/a	18-Aug	non-brg	0.8
IRIDIAN ASSET MGMT.	036	CSCO	S	16,890	22.11	n/a	n/a	844.50	5.0
GOLD SACHS SPECIAL SIT	030	CVGI	B	30,000	9.44	n/a	n/a	1,500.00	5.0
STERLING JOHNSTON	035	DAN	B	29,150	11.03	n/a	2-Aug	1,166.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEFF MGMT	035	ENR	S	1,000	64.10	n/a	28-Jul	280.00	28.0
EXIS CAPITAL	044	FINL	B	5,000	13.22	n/a	n/a	250.00	5.0
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>FL</b>	<b>B</b>	<b>800</b>	<b>12.92</b>	<b>n/a</b>	<b>19-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>FL</b>	<b>S</b>	<b>700</b>	<b>12.94</b>	<b>n/a</b>	<b>19-Aug</b>	<b>0.00</b>	<b>0.0</b>
TALKOT CAPITAL LLC	084	FL	B	15,000	12.91	n/a	19-Aug	600.00	4.0
CSFB GLOBAL PROPRIETARY	041	FOR	B	10,000	14.00	n/a	5-Aug	500.00	5.0
PROSPECTOR PARTNERS LLC	036	FOR	B	10,000	13.97	n/a	5-Aug	400.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>FOSL</b>	<b>B</b>	<b>10,000</b>	<b>44.19</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
LEVEL GLOBAL SHARED ACCT	257	GES	S	100,000	38.42	n/a	19-Jul	3,000.00	3.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>GLW</b>	<b>B</b>	<b>4000</b>	<b>16.25</b>	<b>n/a</b>	<b>17-Aug</b>	<b>0.00</b>	<b>0.0</b>
BALYASNY ASSET MGMT	044	GPS	C	20,000	17.72	n/a	n/a	1,000.00	5.0
BALYASNY ASSET MGMT	044	GPS	SS	10,000	17.67	n/a	n/a	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>GYMB</b>	<b>S</b>	<b>30,000</b>	<b>39.93</b>	<b>n/a</b>	<b>18-Aug</b>	<b>non-brg</b>	<b>4.0</b>
CONIFER/ISF	025	INTC	S	4,000	18.94	n/a	n/a	200.00	5.0
ADAGE CAPITAL MGMT	030	JCP	B	300,000	20.91	n/a	13-Aug	12,000.00	4.0
THE JAY GOLDMAN	028	JCP	B	50,000	20.78	n/a	13-Aug	2,000.00	4.0
CAXTON PART	040	JPM	B	17,753	37.86	n/a	16-Aug	621.38	3.5
ARCHON CAPITAL	035	KCG	S	20,000	13.06	n/a	n/a	600.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GRUBER MACBAINE	033	LOW	S	100,069	20.46	n/a	16-Aug	4,002.76	4.0
TRUSTCO/SUNTRUST	040	LOW	B	35,439	20.38	n/a	16-Aug	1,382.12	3.9
ARCHON CAPITAL	035	LPX	B	70,000	7.14	n/a	5-Aug	2,100.00	3.0
HARVEST MGMT	029	LTD	S	20,000	26.23	n/a	n/a	1,000.00	5.0
SIGMA CAPITAL ASSOCIATES	041	LTD	SS	25,000	25.97	n/a	n/a	875.00	3.5
<b>f DINA GOLDSTEIN</b>	<b>FID</b>	<b>MBHI</b>	<b>S</b>	<b>7000</b>	<b>0.01</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>MPEL</b>	<b>S</b>	<b>1000</b>	<b>4.19</b>	<b>n/a</b>	<b>29-Jul</b>	<b>0.00</b>	<b>0.0</b>
<b>f FRANCIS MICHAEL MCCA</b>	<b>FID</b>	<b>MPEL</b>	<b>S</b>	<b>2000</b>	<b>4.18</b>	<b>n/a</b>	<b>29-Jul</b>	<b>0.00</b>	<b>0.0</b>
<b>f FRANCIS MICHAEL MCCA</b>	<b>FID</b>	<b>MPEL</b>	<b>S</b>	<b>2000</b>	<b>4.19</b>	<b>n/a</b>	<b>29-Jul</b>	<b>0.00</b>	<b>0.0</b>
MELLON/BANK OF NEW YORK	046	MSFT	S	10,800	24.47	n/a	n/a	540.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>MSMSRAW2</b>	<b>SS</b>	<b>80,000</b>	<b>102.67</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>10.3</b>
<b>B BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MW</b>	<b>B</b>	<b>20,000</b>	<b>18.87</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MW</b>	<b>C</b>	<b>30,000</b>	<b>18.96</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
CDPC	031	NAL	B	102,950	12.80	n/a	n/a	5,147.50	5.0
TRUSTCO/SUNTRUST	040	NTRS	S	24,400	48.44	n/a	10-Aug	951.60	3.9
JP MORGAN VENTURES	046	NWL	B	10,000	15.53	n/a	n/a	500.00	5.0
COHE & STEERS	041	PCL	S	20,261	34.33	n/a	27-Jul	810.44	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>PERY</b>	<b>B</b>	<b>20,000</b>	<b>22.06</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	PKG	B	50,000	22.92	n/a	20-Jul	2,500.00	5.0
BALYASNY ASSET MGMT	044	PLCE	B	25,000	45.55	n/a	19-Aug	1,250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>PLCE</b>	<b>S</b>	<b>24,000</b>	<b>44.97</b>	<b>n/a</b>	<b>19-Aug</b>	<b>non-brg</b>	<b>2.0</b>
METROPOLITAN CAPITAL	044	PLCE	S	15,800	45.08	n/a	19-Aug	790.00	5.0
SCOPUS FUND	041	PLCE	B	10,000	44.98	n/a	19-Aug	500.00	5.0
S.A.C. CAP/ORENSTEIN	044	PX	SS	10,000	87.72	n/a	28-Jul	350.00	3.5
<b>B BUCK CAPITAL MGMT</b>		<b>RDEN</b>	<b>C</b>	<b>20,491</b>	<b>16.97</b>	<b>n/a</b>	<b>19-Aug</b>	<b>non-brg</b>	<b>4.0</b>
SCHOTTENFELD ASSOC	041	RKT	B	7,500	49.44	n/a	n/a	225.00	3.0
MFP INVESTORS	085	RUTH	B	10,000	3.48	n/a	n/a	300.00	3.0
COHE & STEERS	041	RYN	S	35,220	46.88	n/a	9-Aug	1,408.80	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>SHLD</b>	<b>C</b>	<b>30,368</b>	<b>63.49</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SKX</b>	<b>B</b>	<b>100,000</b>	<b>28.42</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SHEFFIELD ASSET MGMT	031	SPLS	B	25,000	18.93	n/a	n/a	1,250.00	5.0
CASTLEROCK	040	SSCC	S	93,000	17.95	n/a	3-Aug	3,720.00	4.0
CSFB GLOBAL PROPRIETARY	041	SSCC	B	15,000	18.13	n/a	3-Aug	750.00	5.0
BRIGADE CAPITAL MGMT	029	SVU	C	91,100	10.46	n/a	n/a	2,733.00	3.0
<b>f CHRISTOPHER ARTHUR K</b>	<b>FID</b>	<b>SWN</b>	<b>B</b>	<b>50</b>	<b>0.57</b>	<b>n/a</b>	<b>6-Aug</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MELLON/BANK OF NEW YORK	046	TDC	B	9,400	30.52	n/a	n/a	470.00	5.0
THE JAY GOLDMAN	028	TGT	S	20,000	51.95	n/a	18-Aug	800.00	4.0
CAMBIAR CAP	046	TIN	B	38,860	17.43	n/a	27-Jul	1,554.40	4.0
COOPER CREEK PART	028	TIN	B	20,000	17.47	n/a	27-Jul	800.00	4.0
SIGMA CAP BOBBY	044	TYC	B	20,000	36.98	n/a	18-Aug	7,000.00	35.0
HOLLIS CAPITAL	033	UA	SS	5,000	37.00	n/a	28-Jul	250.00	5.0
SIGMA CAP BOBBY	044	UTX	SS	10,000	68.65	n/a	n/a	350.00	3.5
SIGMA CAP BOBBY	044	VIAB	B	15,000	32.06	n/a	n/a	525.00	3.5
SIGMA CAP BOBBY	044	VMED	B	25,000	20.37	n/a	n/a	875.00	3.5
LEVEL GLOBAL SHARED ACCT	257	WRC	S	50,000	41.26	n/a	6-Aug	1,500.00	3.0
JMP ASSET MGMT	210	WSM	B	15,000	27.75	n/a	n/a	750.00	5.0
CLOVIS CAPITAL	012	WY	SS	150,000	16.35	n/a	5-Aug	7,500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>XRT</b>	<b>SS</b>	<b>240,000</b>	<b>37.51</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>ZLC</b>	<b>S</b>	<b>2500</b>	<b>1.78</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EXIS CAPITAL	044	ZQK	B	25,000	3.87	n/a	10-May	1,250.00	5.0

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**TOTAL (Trade Date):**

**85,872.50**

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/18	DSG CAPITAL	225	ARO	B	6,000	22.96	n/a	6-Aug	300.00 5.0
AO,CRT	08/18	DSG CAPITAL	225	ARO	B	6,000	22.96	n/a	6-Aug	180.00 3.0
AO,CRT	08/18	CATAPULT	040	AXE	SS	6,000	47.86	n/a	27-Jul	240.00 4.0
AO,CXL	08/18	CATAPULT	040	AXE	SS	6,000	47.86	n/a	27-Jul	300.00 5.0
AO,CRT	08/18	CATAPULT	040	CCK	B	75,000	28.82	n/a	n/a	3000.00 4.0
AO,CXL	08/18	CATAPULT CAP/DEFRANCO	040	CCK	B	75,000	28.82	n/a	n/a	3750.00 5.0
AO,CRT	08/18	CATAPULT	040	DOW	SS	38,500	25.60	n/a	3-Aug	1540.00 4.0
AO,CXL	08/18	CATAPULT CAP/DEFRANCO	040	DOW	SS	38,500	25.60	n/a	3-Aug	1925.00 5.0
AO,CRT	08/18	CATAPULT	040	FMC	B	33,100	62.56	n/a	n/a	1324.00 4.0
AO,CXL	08/18	CATAPULT	040	FMC	B	5,100	62.23	n/a	n/a	255.00 5.0
AO,CXL	08/18	CATAPULT CAP/DEFRANCO	040	FMC	B	28,000	62.89	n/a	n/a	1400.00 5.0
AO,CRT	08/18	CATAPULT	040	OIH	SS	2,200	104.26	n/a	n/a	88.00 4.0
AO,CXL	08/18	CATAPULT	040	OIH	SS	2,200	104.26	n/a	n/a	110.00 5.0
AO,CRT	08/18	CAISSE DEPOT PLACEMENT Q	031	PRA	B	10,000	54.56	n/a	n/a	500.00 5.0
AO,CXL	08/18	CASEY CAPITAL	067	PRA	B	10,000	54.56	n/a	n/a	500.00 5.0
AO,CRT	08/18	CATAPULT	040	ROC	B	6,000	29.30	n/a	n/a	240.00 4.0
AO,CXL	08/18	CATAPULT	040	ROC	B	6,000	29.30	n/a	n/a	300.00 5.0
AO,CXL	08/18	SCHOTTENFELD ASSOC	041	TIN	B	20,000	18.01	n/a	27-Jul	600.00 3.0
AO,CRT	08/18	SCHOTTENFELD ASSOC	041	TIN	B	20,000	18.01	n/a	27-Jul	600.00 3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	08/18	CATAPULT	040	WCC	B	6,900	34.30	n/a	n/a	276.00 4.0
AO,CXL	08/18	CATAPULT	040	WCC	B	6,900	34.30	n/a	n/a	345.00 5.0
AO,	08/18	WADDELL AND REED	047	WFC	S	520,462	25.38	n/a	10-Aug	15613.86 3.0
AO,CRT	08/18	CATAPULT	040	XLI	SS	60,000	29.95	n/a	n/a	2400.00 4.0
AO,CXL	08/18	CATAPULT CAP/DEFRANCO	040	XLI	SS	60,000	29.95	n/a	n/a	3000.00 5.0

**TOTAL (AO, CXL, CRT) :** **13,216.86**

TOTAL (Trade Date): 85,872.50  
TOTAL (AO, CXL, CRT): 13,216.86

**TOTAL (RUN DATE) / NFS:** **99,089.36**

MRI Securities with Trade Activity on 19-Aug.  
NONE

MRI Securities without Trade Activity on 19-Aug.  
DLTR, ENDP

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 2%



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)**