



# Daily Compliance Activity Report

Trade Date: 03/09/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ISLE RIDGE PARTNERS	041	AEO	B	32,500	16.95	n/a	5-Mar	1,300.00	4.0
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>ALN</b>	<b>B</b>	<b>400</b>	<b>3.52</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
IMPALA ASSET MMT	012	AMR	B	20,000	9.08	n/a	n/a	400.00	2.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ANF</b>	<b>S</b>	<b>10,000</b>	<b>43.30</b>	<b>n/a</b>	<b>5-Mar</b>	<b>400.00</b>	<b>4.0</b>
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>AN</b>	<b>S</b>	<b>300</b>	<b>18.97</b>	<b>n/a</b>	<b>12-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>AN</b>	<b>S</b>	<b>800</b>	<b>18.99</b>	<b>n/a</b>	<b>12-Feb</b>	<b>0.00</b>	<b>0.0</b>
GLOBAL 56 LLC	060	ARM	S	2,500	12.51	n/a	n/a	125.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>ARO</b>	<b>B</b>	<b>10,000</b>	<b>25.77</b>	<b>n/a</b>	<b>5-Mar</b>	<b>non-brg</b>	<b>4.0</b>
<b>f CICYLY S BACKUS</b>	<b>FID</b>	<b>AXL</b>	<b>S</b>	<b>1000</b>	<b>10.34</b>	<b>n/a</b>	<b>8-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>f FRANCIS MICHAEL MCCA</b>	<b>FID</b>	<b>AXL</b>	<b>S</b>	<b>2000</b>	<b>10.02</b>	<b>n/a</b>	<b>8-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>f LEE F BACKUS</b>	<b>FID</b>	<b>AXL</b>	<b>S</b>	<b>1000</b>	<b>10.34</b>	<b>n/a</b>	<b>8-Feb</b>	<b>0.00</b>	<b>0.0</b>
HIGHBRIDGE CAP	041	BHI	B	100,000	50.07	n/a	n/a	4,000.00	4.0
<b>f CICYLY S BACKUS</b>	<b>FID</b>	<b>CGI</b>	<b>B</b>	<b>1000</b>	<b>13.04</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f LEE F BACKUS</b>	<b>FID</b>	<b>CGI</b>	<b>B</b>	<b>3000</b>	<b>13.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>B</b>	<b>20,000</b>	<b>38.68</b>	<b>n/a</b>	<b>21-Jan</b>	<b>800.00</b>	<b>4.0</b>
ARCHON CAPITAL	035	CROX	SS	60,000	7.47	n/a	n/a	1,800.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HOTCHKIS & WILEY	035	CRS	S	32,000	33.20	n/a	n/a	1,600.00	5.0
EXIS CAPITAL	044	CSCO	B	25,000	26.08	n/a	n/a	1,250.00	5.0
⚡ BUCK CAPITAL MGMT		CWTR	S	25,000	6.97	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		CWTR	S	75,000	7.02	n/a	n/a	non-brg	3.0
f CHRISTOPHER ROBERT C	FID	C	B	1000	3.69	n/a	9-Mar	0.00	0.0
f CHRISTOPHER ROBERT C	FID	C	S	1000	3.80	n/a	9-Mar	0.00	0.0
f JONATHAN RICHARD HAR	FID	C	B	500	3.84	n/a	9-Mar	0.00	0.0
⚡ BUCK CAPITAL MGMT		DECK	SS	5,000	132.07	n/a	n/a	non-brg	2.5
SIGMA CAPITAL ASSOCIATES	041	DKS	B	25,000	26.04	n/a	9-Mar	875.00	3.5
AVESTA CAP	229	DOW	B	100,000	29.50	n/a	2-Feb	3,000.00	3.0
RBC CAPITAL MARKETS	040	DOW	S	20,000	29.19	n/a	2-Feb	800.00	4.0
BALYASNY ASSET MGMT	044	EAT	C	30,000	19.42	n/a	n/a	1,500.00	5.0
⚡ BUCK CAPITAL MGMT		EAT	C	99,900	19.33	n/a	n/a	non-brg	4.0
OSS CAPITAL	067	ECA	SS	50,000	34.25	n/a	n/a	1,500.00	3.0
KLEINHEINZ CAP PART	031	EMC	B	150,000	18.66	n/a	n/a	7,500.00	5.0
HIGHBRIDGE CAP	041	EOG	SS	22,106	98.01	n/a	n/a	884.24	4.0
FIRST NEW YORK LEDDY	035	ETFC	B	10,000	1.69	n/a	n/a	600.00	6.0
1798 CAPITAL MGMT	040	FLR	B	33,000	45.19	n/a	n/a	1,650.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>FRIFX</b>	<b>B</b>	<b>523</b>	<b>9.56</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>FSRFX</b>	<b>B</b>	<b>56</b>	<b>44.42</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f CICYLY S BACKUS</b>	<b>FID</b>	<b>F</b>	<b>S</b>	<b>1000</b>	<b>12.96</b>	<b>n/a</b>	<b>3-Mar</b>	<b>0.00</b>	<b>0.0</b>
<b>f LEE F BACKUS</b>	<b>FID</b>	<b>F</b>	<b>S</b>	<b>1000</b>	<b>12.96</b>	<b>n/a</b>	<b>3-Mar</b>	<b>0.00</b>	<b>0.0</b>
<b>f NICOLAS EVAN PAKLER</b>	<b>FID</b>	<b>F</b>	<b>S</b>	<b>325</b>	<b>12.85</b>	<b>n/a</b>	<b>3-Mar</b>	<b>0.00</b>	<b>0.0</b>
ROARING BLUE LION MGMT	012	GCO	S	10,000	28.49	n/a	n/a	400.00	4.0
JP MORGAN VENTURES	046	GDP	B	15,000	19.17	n/a	n/a	750.00	5.0
MILLENIUM PARTNERS	028	GE	B	50,000	16.37	n/a	n/a	2,000.00	4.0
SACC-SCHWARTZ	044	GWV	B	50,000	107.43	n/a	26-Jan	1,750.00	3.5
<b>B BUCK CAPITAL MGMT</b>		<b>GYMB</b>	<b>B</b>	<b>10,000</b>	<b>45.62</b>	<b>n/a</b>	<b>5-Mar</b>	<b>non-brg</b>	<b>4.0</b>
STERLING JOHNSTON	035	GYMB	B	23,000	45.60	n/a	5-Mar	920.00	4.0
AVESTA CAP	229	IP	B	100,000	25.37	n/a	3-Feb	3,000.00	3.0
EXIS CAPITAL	044	JEF	B	5,000	25.30	n/a	n/a	250.00	5.0
<b>f NICOLAS EVAN PAKLER</b>	<b>FID</b>	<b>JNK</b>	<b>B</b>	<b>125</b>	<b>39.29</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EXIS CAPITAL	044	JNY	B	30,000	18.64	n/a	10-Feb	1,500.00	5.0
EPOCH INV MGMT	030	KBH	S	1,900	17.74	n/a	n/a	57.00	3.0
EPOCH INV MGMT	030	KMT	S	750	28.28	n/a	26-Feb	22.50	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HUNTER GLOBAL INVESTOR	067	KO	SS	100,000	54.36	n/a	n/a	5,000.00	5.0
KARSCH CAPITAL	034	KR	S	297,780	22.40	n/a	n/a	8,933.40	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>LL</b>	<b>B</b>	<b>40,000</b>	<b>24.24</b>	<b>n/a</b>	<b>n/a</b>	<b>1,600.00</b>	<b>4.0</b>
OSS CAPITAL	067	LYV	B	125,000	14.21	n/a	n/a	3,750.00	3.0
SIGMA CAPITAL ASSOCIATES	041	MAT	S	50,000	22.55	n/a	n/a	1,750.00	3.5
EPOCH INV MGMT	030	MEOH	S	1,200	26.49	n/a	n/a	36.00	3.0
EPOCH INV MGMT	030	MGAM	S	3,350	4.46	n/a	n/a	100.50	3.0
HUNTER GLOBAL INVESTOR	067	MHS	B	75,000	63.21	n/a	n/a	3,750.00	5.0
DAVIDSON KEMPNER ADVISOR	040	MJN	S	10,000	50.12	n/a	n/a	500.00	5.0
THE JAY GOLDMAN	028	MXIM	SS	50,000	18.77	n/a	n/a	2,000.00	4.0
EXIS CAPITAL	044	M	B	10,000	20.84	n/a	5-Mar	500.00	5.0
EPOCH INV MGMT	030	NLC	S	1,000	23.89	n/a	n/a	30.00	3.0
COOPER CREEK PART	028	NP	SS	5,000	16.85	n/a	3-Mar	200.00	4.0
EPOCH INV MGMT	030	NST	S	750	34.98	n/a	n/a	22.50	3.0
KACELA CAPITAL	034	NWL	B	65,000	15.05	n/a	n/a	2,600.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	OKE	S	850	46.40	n/a	n/a	25.50	3.0
<b>f</b> <b>CICILY S BACKUS</b>	<b>FID</b>	<b>PBCT</b>	<b>B</b>	<b>1000</b>	<b>15.59</b>	<b>n/a</b>	<b>5-Mar</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> <b>LEE F BACKUS</b>	<b>FID</b>	<b>PBCT</b>	<b>B</b>	<b>2000</b>	<b>15.59</b>	<b>n/a</b>	<b>5-Mar</b>	<b>0.00</b>	<b>0.0</b>
CAXTON PART	040	PCAR	B	213,984	39.56	n/a	1-Feb	7,489.46	3.5
BASIX	033	PKG	S	5,000	24.36	n/a	26-Jan	150.00	3.0
EPOCH INV MGMT	030	PTP	S	950	37.26	n/a	n/a	28.50	3.0
ARMATURE CAPITAL	041	PTV	SS	25,000	24.68	n/a	n/a	1,000.00	4.0
1798 CAPITAL MGMT	040	PVA	B	20,000	25.06	n/a	n/a	1,000.00	5.0
1798 CAPITAL MGMT	040	PXP	B	25,000	32.94	n/a	n/a	1,250.00	5.0
<b>f</b> <b>LEE F BACKUS</b>	<b>FID</b>	<b>RF</b>	<b>S</b>	<b>5000</b>	<b>6.92</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
OSS CAPITAL	067	RGC	S	25,000	16.68	n/a	n/a	750.00	3.0
EPOCH INV MGMT	030	ROVI	S	700	35.92	n/a	n/a	21.00	3.0
EPOCH INV MGMT	030	SCI	S	2,950	8.56	n/a	n/a	88.50	3.0
<b>f</b> <b>WILLIAM WEINBERG</b>	<b>FID</b>	<b>SD</b>	<b>B</b>	<b>5000</b>	<b>7.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> <b>KAREN F LEDDY</b>	<b>FID</b>	<b>SEED</b>	<b>B</b>	<b>1000</b>	<b>11.41</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EPOCH INV MGMT	030	SHFL	S	2,400	8.65	n/a	n/a	72.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>SHOO</b>	<b>S</b>	<b>30,000</b>	<b>44.93</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
PROSPECTOR PARTNERS LLC	036	SJT	S	10,000	22.09	n/a	n/a	400.00	4.0
EXIS CAPITAL	044	SKS	B	25,000	7.62	n/a	n/a	1,250.00	5.0
COBALT	041	SLM	S	66,816	12.33	n/a	8-Mar	3,340.80	5.0
SCOPIA CAPITAL	048	SLM	B	100,000	12.22	n/a	8-Mar	4,000.00	4.0
SACC-SCHWARTZ	044	SPY	B	100,000	114.33	n/a	n/a	3,500.00	3.5
MILLENIUUM PARTNERS	028	STI	S	10,000	26.19	n/a	n/a	400.00	4.0
CAPITAL GROWTH MGMT.	241	STX	S	100,000	19.54	n/a	n/a	4,000.00	4.0
<b>f NICOLAS EVAN PAKLER</b>	<b>FID</b>	<b>SWN</b>	<b>B</b>	<b>75</b>	<b>43.77</b>	<b>n/a</b>	<b>8-Mar</b>	<b>0.00</b>	<b>0.0</b>
SIGMA CAPITAL ASSOCIATES	041	SWY	SS	75,000	24.70	n/a	n/a	2,625.00	3.5
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>TBT</b>	<b>S</b>	<b>40</b>	<b>48.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>TJX</b>	<b>S</b>	<b>10,000</b>	<b>41.80</b>	<b>n/a</b>	<b>5-Mar</b>	<b>non-brg</b>	<b>4.0</b>
MILLENIUUM PARTNERS	028	TKR	S	10,000	27.41	n/a	n/a	400.00	4.0
OSS CAPITAL	067	TWX	S	70,000	30.55	n/a	n/a	2,100.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>UAUA</b>	<b>S</b>	<b>30,000</b>	<b>18.89</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>UFS</b>	<b>S</b>	<b>150</b>	<b>60.73</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DAVIDSON KEMPNER ADVISOR	040	UFS	B	30,000	61.02	n/a	n/a	1,500.00	5.0
FARALLON CAP MGMT	040	WLP	S	92,672	62.00	n/a	n/a	3,706.88	4.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>WNC</b>	<b>B</b>	<b>2000</b>	<b>4.69</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>WRC</b>	<b>S</b>	<b>10,000</b>	<b>46.79</b>	<b>n/a</b>	<b>2-Mar</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>WRC</b>	<b>S</b>	<b>20,000</b>	<b>46.80</b>	<b>n/a</b>	<b>2-Mar</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>WRC</b>	<b>S</b>	<b>30,000</b>	<b>47.38</b>	<b>n/a</b>	<b>2-Mar</b>	<b>non-brg</b>	<b>0.8</b>
DENVER INST. ADV	046	WRC	B	98,300	46.40	n/a	2-Mar	3,932.00	4.0
LEVEL GLOBAL SHARED ACCT	257	WRC	S	150,000	46.87	n/a	2-Mar	4,500.00	3.0
MERRILL ASSET/BLACKROCK	214	YUM	C	1,500	36.61	n/a	5-Feb	60.00	4.0
<b>f JOHN MICHAEL ZOLIDIS</b>	<b>FID</b>	<b>ZLC</b>	<b>S</b>	<b>4000</b>	<b>2.83</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EXIS CAPITAL	044	ZQK	B	20,000	3.10	n/a	5-Mar	1,000.00	5.0
<b>TOTAL (Trade Date):</b>								<b>119,995.78</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	03/05	TRUSTCO/SUNTRUST	040	AOS	B	84	47.61	n/a	8-Feb	3.28	3.9
AO,CRT	03/05	TRUSTCO/SUNTRUST	040	AOS	B	84	47.61	n/a	8-Feb	3.28	3.9
AO,CRT	03/08	MILLRACE FUND LP	028	ARGN	SS	2,500	11.13	n/a	11-Feb	100.00	4.0
AO,CXL	03/08	MILLRACE FUND LP	028	ARGN	SS	2,500	11.13	n/a	11-Feb	75.00	3.0
AO,	03/08	CAMBIAR CAP	046	CBE	S	72,330	47.53	n/a	1-Mar	2893.20	4.0
AO,	03/08	TRUSTCO/SUNTRUST	046	CBE	S	50	47.53	n/a	1-Mar	2.00	4.0
AO,CXL	03/05	OSS CAPITAL	067	CCK	S	125,000	27.16	n/a	n/a	6250.00	5.0
AO,CRT	03/05	OSS CAPITAL	067	CCK	S	125,000	27.16	n/a	n/a	3750.00	3.0
AO,CXL	03/04	TRUSTCO/SUNTRUST	040	FL	S	1,146	13.85	n/a	4-Mar	44.69	3.9
AO,CRT	03/04	TRUSTCO/SUNTRUST	040	FL	S	1,146	13.85	n/a	4-Mar	44.69	3.9
AO,CXL	03/04	GREEN ARROW DOUG	040	WERN	SS	5,000	22.03	n/a	n/a	200.00	4.0
AO,CRT	03/04	ISLE RIDGE PARTNERS	040	WERN	SS	5,000	22.03	n/a	n/a	200.00	4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>420.20</b>	

TOTAL (Trade Date) :	119,995.78
TOTAL (AO, CXL, CRT) :	420.20

<b>TOTAL (RUN DATE) / NFS:</b>	<b>120,415.98</b>
--------------------------------	-------------------



---

---

MRI Securities with Trade Activity on 9-Mar. NONE
--

MRI Securities without Trade Activity on 9-Mar. NONE
---

BRG comm. as a % of BCM Total Comm. paid. T-Date = 19% YTD = 18%
--

**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)**