



Daily Compliance Activity Report

Trade Date: 08/03/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MTB INV ADV	034	AAWW	S	23,350	49.38	n/a	n/a	1,167.50	5.0
CAXTON PART	040	ABT	B	35,660	50.45	n/a	n/a	1,248.12	3.5
f DAVID GEORGE BUCK	FID	ABT	S	1000	50.25	n/a	n/a	0.00	0.0
Õ Chris Cattani		AGF-BOND	B	15000	84.32	n/a	n/a	0.00	0.0
1798 CAP/LOMBARD ASSET	040	AKS	C	63,000	14.99	n/a	n/a	3,150.00	5.0
OHIO PERS	047	ALL	S	58,000	28.60	n/a	n/a	1,740.00	3.0
LEVIN CAPITAL STRATEGIES	012	ALV	B	10,000	57.80	n/a	2-Aug	300.00	3.0
LISTED ERR	099	ALV	B	10,000	57.85	n/a	2-Aug	0.00	0.0
LISTED ERR	099	ALV	S	10,000	57.94	n/a	2-Aug	0.00	0.0
BUCK CAPITAL MGMT	001	ANF	B	10,000	38.05	n/a	29-Jul	400.00	4.0
f HARALAMBOS EFSTATHI	FID	ARM	S	1000	16.15	n/a	n/a	0.00	0.0
HARBORWATCH/DIAMBACK	232	ARM	S	5,000	16.06	n/a	n/a	250.00	5.0
ST OF MICHIAN	047	ARO	B	130,000	27.20	n/a	29-Jul	3,900.00	3.0
NEUBERGER BERMAN	036	ASTE	S	13,510	31.78	n/a	n/a	540.40	4.0
B BUCK CAPITAL MGMT		BHI	B	10,000	43.58	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BHI	B	10,000	45.28	n/a	n/a	non-brg	0.8
CAMBIAR CAP	046	BK	B	34,925	25.69	n/a	21-Jul	1,397.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
1798 CAP/LOMBARD ASSET	040	CLF	S	10,000	59.46	n/a	n/a	500.00	5.0
HARBORWATCH/DIAMBACK	232	CLF	B	10,000	60.35	n/a	n/a	500.00	5.0
MTB INV ADV	034	CLF	B	5,200	59.80	n/a	n/a	260.00	5.0
HIGHFIELDS CAP MGMT	030	CMCSK	S	117,356	18.09	n/a	n/a	4,694.24	4.0
BALYASNY ASSET MGMT	044	COH	C	25,000	36.28	n/a	19-Jul	1,250.00	5.0
BUCK CAPITAL MGMT	001	COH	B	50,000	37.03	n/a	19-Jul	2,000.00	4.0
Ⓑ BUCK CAPITAL MGMT		CRI	S	30,000	24.55	n/a	n/a	non-brg	4.0
Ⓑ BUCK CAPITAL MGMT		CROX	S	50,000	12.38	n/a	n/a	non-brg	4.0
HARBORWATCH/DIAMBACK	232	CSX	B	10,000	54.02	n/a	n/a	500.00	5.0
f JOSEPH CIRO AMATURO	FID	CVGI	B	5954	11.39	n/a	n/a	0.00	0.0
TRELLUS PARTNERS LP	028	DAN	S	30,000	12.29	n/a	2-Aug	1,500.00	5.0
f DAVID GEORGE BUCK	FID	DDR	B	2500	11.82	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	DO	S	20	1.10	n/a	n/a	0.00	0.0
KENNEDY CAPITAL	046	DPZ	B	20,000	12.50	n/a	27-Jul	800.00	4.0
Ⓑ BUCK CAPITAL MGMT		FINL	B	15,000	14.29	n/a	n/a	non-brg	1.0
Ⓑ BUCK CAPITAL MGMT		FINL	B	15,000	14.34	n/a	n/a	non-brg	4.0
Ⓑ BUCK CAPITAL MGMT		FL	B	35,000	13.65	n/a	29-Jul	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CROWN CAP MGMT	084	FL	B	30,000	13.77	n/a	29-Jul	1,500.00	5.0
f JOSEPH CIRO AMATURO	FID	FOR	B	1014	15.93	n/a	19-Jul	0.00	0.0
BMO NESBITT BURNS	041	FRX	B	3,000	28.39	n/a	2-Aug	300.00	10.0
Õ Chris Cattani		FTR	S	33	7.66	n/a	n/a	0.00	0.0
DSG CAPITAL	225	F	B	10,000	13.17	n/a	2-Aug	500.00	5.0
SIGMA CAP BOBBY	044	F	B	100,000	12.95	n/a	2-Aug	3,500.00	3.5
STANDARD PACIFIC CAPITAL	040	F	B	170,000	12.95	n/a	2-Aug	8,500.00	5.0
LATEFF MGMT	035	GE	B	2,000	16.41	n/a	n/a	240.00	12.0
LEVEL GLOBAL SHARED ACCT	257	GIL	C	50,000	31.49	n/a	19-Jul	1,500.00	3.0
PILOT ADV	242	GLW	S	50,100	18.82	n/a	28-Jul	2,004.00	4.0
B BUCK CAPITAL MGMT		GYMB	B	23,000	42.70	n/a	29-Jul	non-brg	2.5
ROARING BLUE LION MGMT	012	GYMB	B	1,500	42.49	n/a	29-Jul	60.00	4.0
B BUCK CAPITAL MGMT		HBI	B	40,000	25.04	n/a	22-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		HOTT	B	40,000	5.41	n/a	n/a	non-brg	3.0
f EDWARD W WHEELER	FID	ISIL	S	15000	11.37	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		JCG	B	20,000	35.15	n/a	n/a	non-brg	4.0
EXIS CAPITAL	044	JNY	B	5,000	17.60	n/a	29-Jul	250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	JWN	B	10,000	34.00	n/a	29-Jul	400.00	4.0
Ⓐ BUCK CAPITAL MGMT		JWN	B	30,000	34.40	n/a	29-Jul	non-brg	4.0
Ⓐ BUCK CAPITAL MGMT		KSS	B	20,000	47.06	n/a	29-Jul	non-brg	4.0
NEUBERGER BERMAN	036	LAYN	S	6,900	25.87	n/a	n/a	276.00	4.0
SANDLER O'NEILL ASSET	031	LAZ	S	50,000	31.55	n/a	28-Jul	2,500.00	5.0
CAVU CAP ADV	028	LEA	S	20,000	81.45	n/a	2-Aug	1,000.00	5.0
METROPOLITAN CAPITAL	044	LEA	S	5,300	79.00	n/a	2-Aug	265.00	5.0
TRELLUS PARTNERS LP	028	LEA	S	17,000	81.07	n/a	2-Aug	850.00	5.0
f DAVID GEORGE BUCK	FID	LLY	B	1500	36.48	n/a	n/a	0.00	0.0
f MICHAEL MARRANO	FID	LSI	S	108	4.26	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	LTD	B	30,000	25.56	n/a	n/a	1,200.00	4.0
Ⓐ BUCK CAPITAL MGMT		MAC	C	35,000	42.99	n/a	n/a	non-brg	4.0
Ⓐ BUCK CAPITAL MGMT		MA	B	3,000	198.75	n/a	3-Aug	non-brg	0.8
THE JAY GOLDMAN	028	MGM	S	20,000	11.41	n/a	2-Aug	800.00	4.0
HIGHBRIDGE CAP	041	MON	B	12,500	58.86	n/a	1-Jul	500.00	4.0
TRUST CO OF THE WEST/NY	040	MXL	B	61,696	11.84	n/a	n/a	2,467.84	4.0
EXIS CAPITAL	044	M	B	10,000	18.82	n/a	29-Jul	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE CAP	041	M	B	50,000	18.87	n/a	29-Jul	2,000.00	4.0
ARMATURE CAPITAL	041	NLC	SS	20,000	24.49	n/a	n/a	800.00	4.0
f MARC PAUL LUCHANSKY	FID	NYB	B	1000	17.70	n/a	28-Jul	0.00	0.0
f MICHAEL MARRANO	FID	NYX	S	400	30.39	n/a	n/a	0.00	0.0
PARTNER REINSURANCE	033	ODP	B	105,050	4.66	n/a	n/a	3,151.50	3.0
COUGAR TRADING	044	PFCB	B	5,000	42.05	n/a	28-Jul	250.00	5.0
CAVU CAP ADV	028	PH	S	4,600	63.93	n/a	30-Jul	230.00	5.0
B BUCK CAPITAL MGMT		PIR	S	50,000	7.09	n/a	n/a	non-brg	3.0
1798 CAP/LOMBARD ASSET	040	PKG	S	6,000	24.44	n/a	20-Jul	300.00	5.0
SHEFFIELD ASSET MGMT	031	PKG	B	16,500	24.39	n/a	20-Jul	825.00	5.0
CAXTON PART	040	PM	B	17,830	52.23	n/a	n/a	624.06	3.5
f DAVID GEORGE BUCK	FID	PM	S	1500	52.03	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	PRGO	B	1,000	57.47	n/a	2-Aug	100.00	10.0
BUCK CAPITAL MGMT	001	PSS	S	75,000	15.63	n/a	n/a	3,000.00	4.0
EXIS CAPITAL	044	PVH	B	5,000	52.05	n/a	19-Jul	250.00	5.0
NEUBERGER BERMAN	036	RBN	S	16,167	23.60	n/a	n/a	646.68	4.0
B BUCK CAPITAL MGMT		ROST	B	20,000	51.75	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLUMBIA PARTNERS	028	SBAC	B	44,723	36.15	n/a	n/a	1,788.92	4.0
B BUCK CAPITAL MGMT		SHOO	S	10,000	38.65	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	SKX	B	10,000	33.70	n/a	n/a	400.00	4.0
WEISS PECK	040	SKX	B	9,300	34.17	n/a	n/a	465.00	5.0
BUCK CAPITAL MGMT	001	SPG	B	10,000	93.12	n/a	n/a	400.00	4.0
f DAVID GEORGE BUCK	FID	SPG	B	1000	93.27	n/a	n/a	0.00	0.0
ASCEND PARTNERS	033	SPR	S	2,400	21.63	n/a	21-Jul	96.00	4.0
f JOSEPH CIRO AMATURO	FID	SRI	S	7837	11.24	n/a	n/a	0.00	0.0
ROYAL CAPITAL MGMT	070	STRA	B	7,700	229.46	n/a	n/a	385.00	5.0
PILOT ROCK	028	TIF	SS	39,368	42.18	n/a	n/a	1,574.72	4.0
ELM RIDGE ADVISORS	044	TIN	B	195,800	20.05	n/a	27-Jul	7,832.00	4.0
1798 CAP/LOMBARD ASSET	040	TKR	S	20,000	34.25	n/a	n/a	1,000.00	5.0
B BUCK CAPITAL MGMT		TLB	B	80,000	11.35	n/a	n/a	non-brg	4.0
HOLDEN CAPITAL MGMT	035	TREX	SS	10,000	22.12	n/a	n/a	500.00	5.0
f JONATHAN RICHARD HAR	FID	TZA	B	320	31.57	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	TZA	S	320	31.25	n/a	n/a	0.00	0.0
SENATOR INVESTMENT GROUP	036	UNH	S	70,930	32.13	n/a	n/a	2,127.90	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⌘ BUCK CAPITAL MGMT		URBN	B	22,500	31.25	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		URBN	B	30,000	31.37	n/a	n/a	non-brg	4.0
BAIRD INVESTMENT	047	WBC	B	7,325	38.31	n/a	28-Jul	366.25	5.0
CAERUS GLOBAL	041	WFMI	B	55,000	39.19	n/a	n/a	2,200.00	4.0
EXIS CAPITAL	044	WRC	B	5,000	41.70	n/a	19-Jul	250.00	5.0
⌘ BUCK CAPITAL MGMT		XRT	C	102,600	38.22	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		XRT	C	242,300	38.14	n/a	n/a	non-brg	2.0
GALT INVESTMENT	041	ZUMZ	B	10,000	18.18	n/a	n/a	500.00	5.0
TOTAL (Trade Date) :								87,273.13	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/02	SAC CAPITAL/M GRONET	030	DE	SS	25,000	67.13	n/a	20-May	875.00 3.5
AO,CRT	08/02	SAC CAPITAL/M GRONET	030	DE	SS	25,000	67.13	n/a	20-May	875.00 3.5
AO,CRT	08/02	SAC CAPITAL/M GRONET	030	PVH	B	7,500	53.16	n/a	19-Jul	262.50 3.5
AO,CXL	08/02	SAC CAPITAL/M GRONET	030	PVH	B	7,500	53.16	n/a	19-Jul	262.50 3.5
AO,	07/30	SAC CHICAGO ANDREW	031	ROST	SS	100,000	52.21	n/a	n/a	3500.00 3.5
AO,CXL	07/30	SAC CHICAGO ANDREW	031	ROST	SS	100,000	52.21	n/a	n/a	30.00 0.0
AO,CXL	07/30	SAC CHICAGO ANDREW	031	URBN	SS	50,000	32.04	n/a	n/a	15.00 0.0
AO,	07/30	SAC CHICAGO ANDREW	031	URBN	SS	50,000	32.04	n/a	n/a	1750.00 3.5

TOTAL (AO, CXL, CRT) :**5,205.00**

TOTAL (Trade Date) :

87,273.13

TOTAL (AO, CXL, CRT) :

5,205.00

TOTAL (RUN DATE) / NFS:**92,478.13****MRI Securities with Trade Activity on 3-Aug.**
NONE

MRI Securities without Trade Activity on 3-Aug.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 22%
YTD = 10%

<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)