



Daily Compliance Activity Report

Trade Date: 01/29/2010

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		210 HK	B	500,000	0.77	n/a	n/a	non-brg	0.2
EPOCH INV MGMT	030	AAPL	S	88,867	193.18	n/a	n/a	2,666.01	3.0
f JOSEPH CIRO AMATURO	FID	AAPL	B	100	194.88	n/a	n/a	0.00	0.0
CLOVIS CAPITAL	012	AAP	B	30,000	39.70	n/a	n/a	1,500.00	5.0
TPG-AXON	040	ADSK	B	500,000	23.88	n/a	n/a	25,000.00	5.0
SAC CAP/ROSEN FOR BOBBY	044	AKS	SS	50,000	20.63	n/a	n/a	1,750.00	3.5
B BUCK CAPITAL MGMT		AMG	B	7,000	62.21	n/a	29-Jan	non-brg	2.0
B BUCK CAPITAL MGMT		AMG	B	9,000	62.51	n/a	29-Jan	non-brg	2.5
EXIS CAPITAL	044	ANF	B	18,151	31.85	n/a	29-Jan	907.55	5.0
EXIS CAPITAL	044	ANF	SS	18,151	31.86	n/a	29-Jan	907.55	5.0
EXIS CAPITAL	044	ANF	S	18,151	31.83	n/a	29-Jan	907.55	5.0
CIRCLE T/SES PART	035	ANN	S	20,000	12.77	n/a	n/a	800.00	4.0
BAIRD INVESTMENT	047	APC	B	5,525	65.92	n/a	21-Jan	276.25	5.0
B BUCK CAPITAL MGMT		ARG	B	22,000	44.63	n/a	29-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		ARG	B	23,000	43.62	n/a	29-Jan	non-brg	0.8
f JOSEPH CIRO AMATURO	FID	ARM	B	10000	9.84	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	ARO	B	10,000	33.86	n/a	29-Jan	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		AVY	B	60,000	34.22	n/a	29-Jan	non-brg	4.0
f EDWARD W WHEELER	FID	AVY	B	5000	32.70	n/a	29-Jan	0.00	0.0
OZ MGMT	040	AXL	B	75,000	9.81	n/a	4-Jan	2,250.00	3.0
TRELLUS PARTNERS LP	028	AXL	S	50,000	9.75	n/a	4-Jan	1,500.00	3.0
f KAREN F LEDDY	FID	BEE	S	145	2.31	n/a	n/a	0.00	0.0
ASCEND PARTNERS	033	BEN	B	29,500	99.69	n/a	29-Jan	1,475.00	5.0
B BUCK CAPITAL MGMT		BEN	B	10,000	100.58	n/a	29-Jan	non-brg	4.0
f NEIL M STRATTON	FID	BGCP	B	1000	4.08	n/a	n/a	0.00	0.0
1798 CAPITAL MGMT	040	BKC	C	2,500	17.49	n/a	19-Jan	125.00	5.0
DIAMONDBACK CAP MGMT	232	BLK	C	5,900	217.02	n/a	29-Jan	295.00	5.0
SANDLER O'NEILL ASSET	031	BLK	B	4,800	216.84	n/a	29-Jan	240.00	5.0
B BUCK CAPITAL MGMT		BONT	B	20,000	8.81	n/a	n/a	non-brg	3.0
CUMBERLAND	239	BRCD	S	50,000	6.97	n/a	n/a	2,000.00	4.0
f JOEL GIFFORD TISS	FID	BRKB	S	1500	75.79	n/a	n/a	0.00	0.0
NEWLAND CAPITAL MGT	067	BWA	SS	15,000	35.05	n/a	4-Jan	600.00	4.0
1798 CAPITAL MGMT	040	BYI	B	15,000	40.43	n/a	n/a	750.00	5.0
SMITH MGMT LLC	029	BZ	S	58,000	5.29	n/a	n/a	2,320.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STANDARD PACIFIC CAPITAL	040	CE	B	60,000	29.86	n/a	n/a	3,000.00	5.0
STANDARD PACIFIC CAPITAL	040	CE	S	10,000	30.15	n/a	n/a	500.00	5.0
CIRCLE T/SES PART	035	CHS	S	10,000	12.79	n/a	n/a	400.00	4.0
f JONATHAN RICHARD HAR	FID	CMFO	B	160	6.24	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	COF	B	100	37.68	n/a	28-Jan	0.00	0.0
1798 CAPITAL MGMT	040	COH	C	25,000	35.22	n/a	21-Jan	1,250.00	5.0
GOLD SACHS SPECIAL SIT	030	CRDN	B	80,000	19.59	n/a	n/a	4,000.00	5.0
B BUCK CAPITAL MGMT		CROX	B	50,000	7.50	n/a	n/a	non-brg	3.0
f EDWARD W WHEELER	FID	CVGI	B	10000	4.82	n/a	n/a	0.00	0.0
HEALTHCOR MGMT	219	CVS	S	200,000	32.49	n/a	n/a	10,000.00	5.0
f KAREN F LEDDY	FID	DAN	B	250	10.48	n/a	6-Jan	0.00	0.0
OZ MGMT	040	DAN	B	50,000	10.68	n/a	6-Jan	1,500.00	3.0
JMP ASSET MGMT	210	DE	S	7,000	50.20	n/a	30-Nov	350.00	5.0
1798 CAPITAL MGMT	040	DKS	S	25,000	22.79	n/a	27-Jan	1,250.00	5.0
FIRST NEW YORK LEDDY	035	ETFC	S	10,000	1.60	n/a	n/a	600.00	6.0
DIAMONDBACK CAP MGMT	232	FII	SS	50,000	25.40	n/a	29-Jan	2,500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JOHN MICHAEL ZOLIDIS	FID	F	S	1000	10.74	29-Jan	29-Jan	0.00	0.0
f NICOLAS EVAN PAKLER	FID	F	B	325	10.76	29-Jan	29-Jan	0.00	0.0
TRELLUS PARTNERS LP	028	F	B	100,000	10.86	29-Jan	29-Jan	5,000.00	5.0
f ANDREW SINCLAIR	FID	GPY	B	5	6.50	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	HD	S	2000	27.99	n/a	14-Jan	0.00	0.0
1798 CAPITAL MGMT	040	HOG	S	40,000	23.32	n/a	n/a	2,000.00	5.0
CHART WELL ADV	028	HPQ	B	20,000	47.58	n/a	n/a	800.00	4.0
SAC CAP/ROSEN FOR BOBBY	044	HP	SS	35,200	42.28	n/a	n/a	1,232.00	3.5
1798 CAPITAL MGMT	040	IGT	SS	25,000	18.95	n/a	22-Jan	1,250.00	5.0
RBC CAPITAL MARKETS	040	IGT	B	10,000	18.39	n/a	22-Jan	400.00	4.0
TRELLUS PARTNERS LP	028	IP	B	30,000	23.18	n/a	25-Jan	1,500.00	5.0
BUCK CAPITAL MGMT	001	JNY	B	20,000	14.65	n/a	29-Jan	800.00	4.0
B BUCK CAPITAL MGMT		JNY	B	35,000	14.65	n/a	29-Jan	non-brg	2.5
CATAPULT	040	JRCC	S	25,000	15.54	n/a	n/a	1,000.00	4.0
DECADE CAPITAL PARTNERS	040	KO	SS	36,500	54.64	n/a	n/a	1,460.00	4.0
BUCK CAPITAL MGMT	001	KSS	B	10,000	51.20	n/a	29-Jan	400.00	4.0
B BUCK CAPITAL MGMT		LL	S	17,300	23.76	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
1798 CAPITAL MGMT	040	LOW	S	25,000	22.05	n/a	16-Nov	1,250.00	5.0
NEUBERGER BERMAN	036	LUFK	B	5,400	65.17	n/a	n/a	216.00	4.0
BALYASNY ASSET MGMT	044	LULU	SS	25,000	28.80	n/a	n/a	1,250.00	5.0
LEVEL GLOBAL SHARED ACCT	257	LULU	C	50,000	28.65	n/a	n/a	1,500.00	3.0
1798 CAPITAL MGMT	040	MAT	S	25,000	19.81	n/a	n/a	1,250.00	5.0
HUTCHIN HILL CAPITAL LP	233	MAT	S	20,000	19.85	n/a	n/a	600.00	3.0
MAIRS AND POWER INV	030	MMM	S	10,000	81.57	n/a	28-Jan	500.00	5.0
JMP ASSET MGMT	210	MOS	S	6,400	53.82	n/a	n/a	320.00	5.0
IVORY CAPITAL	034	MSFT	S	8,200	28.95	n/a	n/a	410.00	5.0
B BUCK CAPITAL MGMT		MVRX	C	45,000	167.01	n/a	n/a	non-brg	16.7
MILLENIUUM PARTNERS	028	M	S	30,000	16.09	n/a	29-Jan	1,200.00	4.0
1798 CAPITAL MGMT	040	NTY	SS	10,000	44.93	n/a	n/a	500.00	5.0
BALYASNY ASSET MGMT	044	PAG	B	50,000	14.12	n/a	22-Jan	2,500.00	5.0
GRANITE CAPITAL	045	PAG	B	50,000	14.16	n/a	22-Jan	2,500.00	5.0
LAGRANGE CAP ADV	048	PAG	B	20,000	14.17	n/a	22-Jan	1,000.00	5.0
ROSEDALE CAPITAL	046	PAG	B	30,000	14.18	n/a	22-Jan	1,500.00	5.0
PNC CAPITAL ADV	028	PG	B	55,596	61.83	n/a	29-Jan	2,223.84	4.0
US BANCORP	030	PNRA	S	56,342	71.82	n/a	21-Jan	2,817.10	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		PVH	B	15,000	39.38	n/a	12-Jan	non-brg	4.0
1798 CAPITAL MGMT	040	RCL	SS	25,000	26.32	n/a	n/a	1,250.00	5.0
CRAMER ROSENTHAL/SCOTT	012	RCL	C	16,500	26.67	n/a	n/a	660.00	4.0
f JONATHAN RICHARD HAR	FID	RF	B	230	6.52	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	RKT	B	200	42.82	n/a	n/a	0.00	0.0
HUNTER GLOBAL INVESTOR	067	RL	B	25,000	82.87	n/a	28-Jan	1,250.00	5.0
HARVEST MGMT	039	SAPE	B	50,000	7.98	n/a	n/a	1,500.00	3.0
f SCOTT L BRUNNER	FID	SMN	B	2000	9.18	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	SPG	B	1000	71.65	n/a	n/a	0.00	0.0
IVORY CAPITAL	034	SPLS	B	114,500	23.77	n/a	n/a	5,725.00	5.0
BALYASNY ASSET MGMT	044	SUP	B	10,000	14.92	n/a	4-Jan	500.00	5.0
1798 CAPITAL MGMT	040	SY Y	C	25,000	28.07	n/a	n/a	1,250.00	5.0
DECADE CAPITAL PARTNERS	040	TAP	B	47,100	42.10	n/a	n/a	1,884.00	4.0
CHART WELL ADV	028	TGT	S	11,000	52.09	n/a	27-Jan	440.00	4.0
SIGMA CAPITAL ASSOCIATES	041	TGT	SS	50,000	51.56	n/a	27-Jan	1,750.00	3.5
f JOSEPH CIRO AMATURO	FID	TIN	B	5000	17.64	n/a	25-Jan	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MARK DEVEREAUX KAICH	FID	TIVO	B	700	9.24	n/a	n/a	0.00	0.0
f JOHN BARTMAN COLE	FID	TMBCF	B	800	1.03	n/a	n/a	0.00	0.0
COUGAR TRADING	044	TM	SS	2,500	76.67	n/a	n/a	125.00	5.0
BALYASNY ASSET MGMT	044	TROW	SS	15,000	50.27	n/a	29-Jan	750.00	5.0
DIAMONDBACK CAP MGMT	232	TROW	SS	25,000	50.28	n/a	29-Jan	1,250.00	5.0
HARBORWATCH/DIAMBACK	232	TXT	B	25,000	19.62	n/a	n/a	1,250.00	5.0
CONIFER/ISF	025	T	S	5,000	25.50	n/a	n/a	250.00	5.0
LISTED ERR	099	T	B	5,000	25.48	n/a	n/a	0.00	0.0
LISTED ERR	099	T	S	5,000	25.48	n/a	n/a	0.00	0.0
DIAMONDBACK CAP MGMT	232	UBS	C	20,000	13.16	n/a	n/a	1,000.00	5.0
f NEIL M STRATTON	FID	VYH	S	4	0.87	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	WFC	B	2000	28.80	n/a	21-Jan	0.00	0.0
RBC CAPITAL MARKETS	040	WMS	B	5,000	37.22	n/a	n/a	200.00	4.0
SANDLER CAPITAL	226	WMS	S	62,000	37.26	n/a	n/a	3,720.00	6.0
f ANDREW SINCLAIR	FID	WNC	B	1000	2.91	n/a	n/a	0.00	0.0
f ANDREW SINCLAIR	FID	WNC	S	1000	3.04	n/a	n/a	0.00	0.0
f MARK DEVEREAUX KAICH	FID	WNC	B	2000	3.08	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	WRC	B	20,000	40.30	n/a	28-Jan	800.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		WRC	B	15,000	38.84	n/a	28-Jan	non-brg	4.0
JMP ASSET MGMT	210	WSM	S	22,687	19.19	n/a	n/a	1,134.35	5.0
CASTLEROCK	040	WYNN	B	24,480	62.91	n/a	4-Jan	979.20	4.0
THIRD COAST CAPITAL	035	WYNN	B	5,000	63.94	n/a	4-Jan	250.00	5.0
1798 CAPITAL MGMT	040	WYN	B	10,000	21.53	n/a	n/a	500.00	5.0
ISLE RIDGE PARTNERS	041	XHB	B	20,000	15.26	n/a	n/a	800.00	4.0
HARBORWATCH/DIAMBACK	232	XME	C	10,000	47.46	n/a	n/a	300.00	3.0
CAXTON PART	040	X	S	167,555	46.62	n/a	n/a	5,864.43	3.5
CAXR	040	X	S	3,358	46.62	n/a	n/a	117.53	3.5
CIRCLE T/SES PART	035	YUM	B	10,000	34.58	n/a	19-Jan	400.00	4.0
TOTAL (Trade Date):								145,298.36	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	01/28	SENATOR INVESTMENT GROUP	036	CLX	B	50,000	59.70	n/a	17-Dec	2000.00 4.0
AO,CXL	01/28	SENATOR INVESTMENT GROUP	036	CLX	B	50,000	59.70	n/a	17-Dec	2000.00 4.0
AO,CRT	01/28	OZ MGMT	040	F	C	230,902	11.50	29-Jan	29-Jan	6927.06 3.0
AO,CXL	01/28	OZ MGMT	040	F	C	230,902	11.50	29-Jan	29-Jan	4618.04 2.0
AO,CXL	01/28	ST OF MICHIAN	047	F	B	900,000	11.45	29-Jan	29-Jan	27000.00 3.0
AO,CRT	01/28	ST OF MICHIAN	047	F	B	900,000	11.45	29-Jan	29-Jan	27000.00 3.0
AO,CRT	01/28	ST OF MICHIAN	047	IWM	S	220,000	60.59	n/a	n/a	6600.00 3.0
AO,CXL	01/28	ST OF MICHIAN	047	IWM	S	220,000	60.59	n/a	n/a	6600.00 3.0
AO,CXL	01/28	SENATOR INVESTMENT GROUP	036	LPX	S	35,000	7.16	n/a	25-Jan	1400.00 4.0
AO,CRT	01/28	SENATOR INVESTMENT GROUP	036	LPX	S	35,000	7.16	n/a	25-Jan	1050.00 3.0
AO,CRT	01/28	CONIFER/ISF	025	OCR	S	5,000	24.77	n/a	n/a	200.00 4.0
AO,CXL	01/28	ISLE RIDGE PARTNERS	041	OCR	S	5,000	24.77	n/a	n/a	200.00 4.0
TOTAL (AO, CXL, CRT) :										1,959.02
TOTAL (Trade Date):										145,298.36
TOTAL (AO, CXL, CRT):										1,959.02
TOTAL (RUN DATE) / NFS:										147,257.38

MRI Securities with Trade Activity on 29-Jan.

F

MRI Securities without Trade Activity on 29-Jan.

GR

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

T-Date = 12%

YTD = 22%

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)