



# Daily Compliance Activity Report

Trade Date: 08/06/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EXIS CAPITAL	044	AEO	B	30,000	12.47	n/a	6-Aug	1,500.00	5.0
⚡ BUCK CAPITAL MGMT		ANF	S	10,000	38.73	n/a	6-Aug	non-brg	0.8
⚡ BUCK CAPITAL MGMT		ANF	S	70,000	38.24	n/a	6-Aug	non-brg	4.0
⚡ BUCK CAPITAL MGMT		ANN	B	20,000	16.56	n/a	n/a	non-brg	0.8
f ANDREW SINCLAIR	FID	APC	S	26	9.41	n/a	4-Aug	0.00	0.0
f JOSEPH CIRO AMATURO	FID	ARM	B	10000	15.45	n/a	n/a	0.00	0.0
S.A.C. CAP/ORENSTEIN	044	ARNA	SS	100,000	7.11	n/a	n/a	3,500.00	3.5
⚡ BUCK CAPITAL MGMT		ARO	B	10,000	24.85	6-Aug	6-Aug	non-brg	4.0
⚡ BUCK CAPITAL MGMT		ARO	B	30,000	24.98	6-Aug	6-Aug	non-brg	4.0
⚡ BUCK CAPITAL MGMT		ARO	B	50,000	25.16	6-Aug	6-Aug	non-brg	4.0
NEUBERGER BERMAN	036	ASTE	S	15,400	29.96	n/a	n/a	616.00	4.0
NICOLAS APPEGATE	084	ATEC	S	96,500	2.53	n/a	n/a	2,895.00	3.0
SONTERRA CAP	041	ATI	SS	10,000	48.25	n/a	n/a	400.00	4.0
f KAREN F LEDDY	FID	ATLS	S	300	31.95	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		ATVI	B	50,000	10.95	n/a	n/a	non-brg	4.0
GREEN ARROW DOUG	040	ATVI	B	25,000	10.95	n/a	n/a	1,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
1798 CAP/LOMBARD ASSET	040	AWI	B	20,000	37.14	n/a	n/a	1,000.00	5.0
⌘ BUCK CAPITAL MGMT		BBBY	S	10,000	38.18	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		BEBE	B	20,000	6.03	n/a	n/a	non-brg	3.0
EGS ASSOCIATES LP	091	BIG	SS	3,000	31.76	n/a	6-Aug	180.00	6.0
⌘ BUCK CAPITAL MGMT		BONT	B	20,000	8.63	n/a	n/a	non-brg	3.0
⌘ BUCK CAPITAL MGMT		BONT	B	30,000	8.63	n/a	n/a	non-brg	0.8
CAPITAL GROWTH MGMT.	241	BPO	S	250,000	14.39	n/a	n/a	10,000.00	4.0
BANK OF AMERICA/MERRILL	259	BUD	B	5,000	52.34	n/a	n/a	250.00	5.0
⌘ BUCK CAPITAL MGMT		BWS	B	36,608	14.34	n/a	n/a	non-brg	4.0
LISTED ERR	099	BZ	S	52,100	6.10	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	CAM	B	900	39.48	n/a	n/a	27.00	3.0
NEUBERGER BERMAN	036	CAM	B	67,900	39.01	n/a	n/a	2,716.00	4.0
⌘ BUCK CAPITAL MGMT		CHS	B	50,000	8.96	n/a	5-Feb	non-brg	3.0
⌘ BUCK CAPITAL MGMT		CMN	B	200	14.93	n/a	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		CMN	B	300	14.93	n/a	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		CMN	B	600	14.93	n/a	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		CMN	B	8,000	14.93	n/a	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		CMN	B	900	14.93	n/a	n/a	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RAINIER INV MGMT	035	CNK	B	50,000	16.52	n/a	n/a	2,000.00	4.0
⚡ BUCK CAPITAL MGMT		CNW	B	10,000	30.43	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		COH	S	50,200	38.08	n/a	4-Aug	non-brg	4.0
EPOCH INV MGMT	030	COL	B	700	58.44	n/a	21-Jul	21.00	3.0
NEUBERGER BERMAN	036	COV	B	52,300	38.21	n/a	n/a	2,092.00	4.0
⚡ BUCK CAPITAL MGMT		CPLA	C	20,092	80.37	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		CPLA	C	40,200	80.29	n/a	n/a	non-brg	0.8
⚡ BUCK CAPITAL MGMT		CROX	S	120,000	13.44	n/a	n/a	non-brg	4.0
1798 CAP/LOMBARD ASSET	040	CYT	B	2,000	50.11	n/a	n/a	100.00	5.0
f ANDREW SINCLAIR	FID	C	B	173	0.15	n/a	19-Jul	0.00	0.0
f ANDREW SINCLAIR	FID	C	B	90	0.15	n/a	19-Jul	0.00	0.0
⚡ BUCK CAPITAL MGMT		DBRN	B	33,337	23.72	n/a	n/a	non-brg	4.0
FARALLON CAP MGMT	040	DDS	SS	50,000	21.96	n/a	n/a	2,000.00	4.0
S.A.C. HEALTHCARE BOBBY	044	ENDP	B	10,000	24.72	n/a	2-Aug	350.00	3.5
f SCOTT L BRUNNER	FID	FAZ	S	2000	13.73	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	FCH	B	1800	5.40	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f KAREN F LEDDY	FID	FIG	S	1200	4.21	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FINL	B	50,000	13.39	n/a	n/a	non-brg	4.0
f JOHN MICHAEL ZOLIDIS	FID	FINL	B	500	13.23	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	FIS	B	1,500	27.56	n/a	n/a	45.00	3.0
B BUCK CAPITAL MGMT		FL	B	10,000	13.15	n/a	29-Jul	non-brg	4.0
f KAREN F LEDDY	FID	FOR	B	2200	15.25	n/a	5-Aug	0.00	0.0
B BUCK CAPITAL MGMT		FOSL	B	10,000	41.01	n/a	n/a	non-brg	4.0
S.A.C. HEALTHCARE BOBBY	044	FRX	B	40,000	27.38	n/a	2-Aug	1,400.00	3.5
AVESTA CAP	229	F	C	300,000	12.89	n/a	4-Aug	9,000.00	3.0
B BUCK CAPITAL MGMT		GCO	B	10,000	26.58	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GCO	B	10,000	26.66	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		GIL	S	40,000	30.65	n/a	19-Jul	non-brg	4.0
AVESTA CAP	229	GLW	SS	200,000	18.52	n/a	28-Jul	6,000.00	3.0
f ANDREW SINCLAIR	FID	GS	S	1	8.26	n/a	21-Jul	0.00	0.0
B BUCK CAPITAL MGMT		IBOC	C	30,000	17.00	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		JNY	B	20,000	17.86	n/a	29-Jul	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>JOSB</b>	<b>B</b>	<b>10,000</b>	<b>57.42</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
CAXTON PART	040	JPM	S	35,634	40.14	n/a	19-Jul	1,247.21	3.5
<b>Õ Nilsa Vazquez</b>		<b>KLIC</b>	<b>S</b>	<b>300</b>	<b>7.18</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BAIRD INVESTMENT	047	KSS	S	9,425	48.40	6-Aug	6-Aug	471.25	5.0
NEUBERGER BERMAN	036	LAYN	S	5,900	24.91	n/a	n/a	236.00	4.0
LEVIN CAPITAL STRATEGIES	012	LEA	S	10,000	81.10	n/a	4-Aug	300.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>LOW</b>	<b>C</b>	<b>20,000</b>	<b>20.30</b>	<b>n/a</b>	<b>17-May</b>	<b>non-brg</b>	<b>4.0</b>
BENCHMARK	025	MIDD	B	2,500	58.85	n/a	14-May	100.00	4.0
DISCIPLINED GROWTH INV.	030	MIDD	B	52,900	58.93	n/a	14-May	2,645.00	5.0
<b>Õ Michael DiMattia</b>		<b>MOS</b>	<b>B</b>	<b>50</b>	<b>50.90</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
S.A.C. HEALTHCARE BOBBY	044	MRX	SS	15,000	27.61	n/a	n/a	525.00	3.5
EXIS CAPITAL	044	M	B	5,000	19.50	n/a	6-Aug	250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>NFLX</b>	<b>SS</b>	<b>15,000</b>	<b>115.73</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BANK OF AMERICA/MERRILL	259	OC	B	5,000	27.84	n/a	n/a	250.00	5.0
GALT INVESTMENT	041	ORLY	B	25,000	46.89	n/a	n/a	1,250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>PLCE</b>	<b>B</b>	<b>44,300</b>	<b>41.42</b>	<b>n/a</b>	<b>29-Jul</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAC CAPITAL/M GRONET	030	PVH	B	20,000	52.65	n/a	19-Jul	700.00	3.5
NEUBERGER BERMAN	036	RBN	S	31,500	24.35	n/a	n/a	1,260.00	4.0
<b>f BERNA GABRIELLE BARS</b>	<b>FID</b>	<b>RIMM</b>	<b>B</b>	<b>5</b>	<b>12.93</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>RL</b>	<b>SS</b>	<b>10,000</b>	<b>84.31</b>	<b>n/a</b>	<b>5-Aug</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>RL</b>	<b>SS</b>	<b>10,000</b>	<b>85.66</b>	<b>n/a</b>	<b>5-Aug</b>	<b>non-brg</b>	<b>0.8</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>RL</b>	<b>S</b>	<b>10,000</b>	<b>83.49</b>	<b>n/a</b>	<b>5-Aug</b>	<b>non-brg</b>	<b>4.0</b>
LAGRANGE CAP ADV	048	SAH	B	5,000	9.39	n/a	n/a	250.00	5.0
<b>ß BUCK CAPITAL MGMT</b>		<b>SHLD</b>	<b>SS</b>	<b>10,000</b>	<b>71.42</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>SHOO</b>	<b>S</b>	<b>100,000</b>	<b>39.23</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>SIG</b>	<b>S</b>	<b>50,000</b>	<b>29.52</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
S.A.C. CAP/ORENSTEIN	044	SMH	B	75,000	27.60	n/a	n/a	2,625.00	3.5
1798 CAP/LOMBARD ASSET	040	SWC	S	5,000	13.77	n/a	n/a	250.00	5.0
S.A.C. HEALTHCARE BOBBY	044	TEVA	S	10,000	49.86	n/a	3-Aug	350.00	3.5
COOPER CREEK PART	028	TIN	B	10,000	19.14	n/a	27-Jul	400.00	4.0
ELM RIDGE ADVISORS	044	TIN	B	201,100	19.54	n/a	27-Jul	8,044.00	4.0
IRIDIAN ASSET MGMT.	036	TIN	S	112,290	19.20	n/a	27-Jul	5,614.50	5.0
EPOCH INV MGMT	030	TJX	B	1,250	41.45	6-Aug	6-Aug	37.50	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
1798 CAP/LOMBARD ASSET	040	TKR	S	5,000	35.06	n/a	n/a	250.00	5.0
EPOCH INV MGMT	030	TMO	B	1,250	45.19	n/a	n/a	37.50	3.0
EPOCH INV MGMT	030	TRV	B	450	50.38	n/a	n/a	13.50	3.0
SOROS	036	TSO	C	61,357	12.63	n/a	n/a	2,454.28	4.0
EPOCH INV MGMT	030	TXN	B	2,050	25.55	n/a	n/a	61.50	3.0
EXIS CAPITAL	044	UA	B	5,000	37.20	n/a	28-Jul	250.00	5.0
GALT INVESTMENT	041	ULTA	S	20,000	23.70	n/a	n/a	1,000.00	5.0
EPOCH INV MGMT	030	UNH	B	1,150	33.49	n/a	n/a	34.50	3.0
SENATOR INVESTMENT GROUP	036	UNH	S	100,000	33.34	n/a	n/a	3,000.00	3.0
<b>f BERNA GABRIELLE BARS</b>	<b>FID</b>	<b>UNTD</b>	<b>B</b>	<b>1000</b>	<b>5.48</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LEVIN CAPITAL STRATEGIES	012	USO	SS	30,000	36.63	n/a	n/a	900.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>VFC</b>	<b>SS</b>	<b>10,000</b>	<b>80.69</b>	<b>n/a</b>	<b>23-Jul</b>	<b>non-brg</b>	<b>4.0</b>
EPOCH INV MGMT	030	VTR	B	1,250	51.36	n/a	n/a	37.50	3.0
EPOCH INV MGMT	030	V	B	650	71.67	n/a	2-Aug	19.50	3.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>WDR</b>	<b>S</b>	<b>200</b>	<b>24.86</b>	<b>n/a</b>	<b>2-Mar</b>	<b>0.00</b>	<b>0.0</b>
EPOCH INV MGMT	030	WEC	B	1,000	55.51	n/a	n/a	30.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAXTON PART	040	WFC	S	35,642	27.61	n/a	22-Jul	1,247.50	3.5
EPOCH INV MGMT	030	WFR	B	1,550	9.73	n/a	n/a	46.50	3.0
EPOCH INV MGMT	030	WFT	B	1,450	16.55	n/a	n/a	43.50	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>WRC</b>	<b>S</b>	<b>20,000</b>	<b>44.06</b>	<b>n/a</b>	<b>6-Aug</b>	<b>non-brg</b>	<b>0.8</b>
EPOCH INV MGMT	030	XOM	B	1,200	61.94	n/a	n/a	36.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>XRT</b>	<b>SS</b>	<b>243,400</b>	<b>37.65</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
EPOCH INV MGMT	030	YHOO	B	2,350	14.12	n/a	n/a	70.50	3.0
<b>TOTAL (Trade Date) :</b>								<b>83,679.74</b>	



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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	08/05	FARALLON CAP MGMT	040	GENZ	B	49,300	69.35	n/a	n/a	1479.00 3.0
AO,CXL	08/05	FARALLON CAP MGMT	040	GENZ	B	59,000	69.35	n/a	n/a	2360.00 4.0
AO,	08/05	FARALLON CAP MGMT	040	GENZ	B	9,700	69.35	n/a	n/a	388.00 4.0
AO,CXL	08/05	FARALLON CAP MGMT	040	VIAB	B	50,000	33.88	n/a	n/a	2000.00 4.0
AO,	08/05	FARALLON CAP MGMT	040	VIAB	B	8,200	33.88	n/a	n/a	328.00 4.0
AO,CRT	08/05	FARALLON CAP MGMT	040	VIAB	B	41,800	33.88	n/a	n/a	1672.00 4.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-493.00</b>
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TOTAL (Trade Date) :	83,679.74
TOTAL (AO, CXL, CRT) :	-493.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>83,186.74</b>
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MRI Securities with Trade Activity on 6-Aug. ARO, KSS, TJX
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MRI Securities without Trade Activity on 6-Aug. EXH, CHD, JWN
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BRG comm. as a % of BCM Total Comm. paid.
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T-Date = 0%
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)**