



# Daily Compliance Activity Report

Trade Date: 01/27/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>AAPL</b>	<b>B</b>	<b>500</b>	<b>205.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
JP MORGAN VENTURES	046	AAP	SS	10,000	40.57	n/a	n/a	500.00	5.0
RBC CAPITAL MARKETS	040	AGCO	SS	20,000	31.80	n/a	4-Jan	800.00	4.0
<b>f KEVIN MICHAEL O'GORM</b>	<b>FID</b>	<b>AIGPRA</b>	<b>S</b>	<b>1000</b>	<b>9.06</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NWQ INVESTMENT MGMT CO	048	AIN	S	22,800	19.91	n/a	n/a	912.00	4.0
ENTRUST CAPITAL	040	ALGN	B	46,800	16.36	n/a	n/a	2,340.00	5.0
SANDLER O'NEILL ASSET	031	AMG	B	15,000	63.48	n/a	27-Jan	750.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>ANF</b>	<b>S</b>	<b>10,000</b>	<b>30.48</b>	<b>n/a</b>	<b>8-Jan</b>	<b>non-brg</b>	<b>4.0</b>
FORD FDN.	032	BA	S	14,000	59.82	n/a	4-Jan	560.00	4.0
SAC CAPITAL/JOHN MAGUIE	039	BIG	B	6,900	28.96	n/a	12-Jan	241.50	3.5
DALTON GREINER	012	BRC	S	25,359	29.04	n/a	n/a	1,267.95	5.0
AVESTA CAP	229	BTU	S	50,000	45.67	n/a	n/a	1,500.00	3.0
BROADARCH CAP/OLD NEWC	070	BTU	B	1,700	45.54	n/a	n/a	68.00	4.0
RBC CAPITAL MARKETS	040	BWA	B	15,000	35.09	n/a	4-Jan	600.00	4.0
NORTHPOINT	030	BZ	S	37,200	5.35	n/a	n/a	1,116.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SMITH MGMT LLC	029	BZ	S	425,000	5.44	n/a	n/a	17,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>CAR</b>	<b>B</b>	<b>100,000</b>	<b>11.54</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
FORD FDN.	032	CAT	B	17,000	53.53	n/a	21-Oct	680.00	4.0
RBC CAPITAL MARKETS	040	CAT	SS	10,000	53.69	n/a	21-Oct	400.00	4.0
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>CCI</b>	<b>B</b>	<b>80</b>	<b>37.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ISLE RIDGE PARTNERS	041	CCL	S	25,000	33.60	n/a	n/a	1,000.00	4.0
BROADARCH CAP/OLD NEWC	070	CE	B	1,000	32.32	n/a	n/a	40.00	4.0
<b>f CHRISTOPHER ARTHUR K</b>	<b>FID</b>	<b>CMI</b>	<b>B</b>	<b>500</b>	<b>46.19</b>	<b>n/a</b>	<b>12-Jan</b>	<b>0.00</b>	<b>0.0</b>
BROADARCH CAP/OLD NEWC	070	CNW	B	3,500	28.98	n/a	n/a	140.00	4.0
M&I FUNDS	047	COF	B	22,232	35.77	n/a	26-Jan	889.28	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>COG</b>	<b>S</b>	<b>25,000</b>	<b>39.46</b>	<b>n/a</b>	<b>21-Jan</b>	<b>non-brg</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>B</b>	<b>60,000</b>	<b>34.87</b>	<b>n/a</b>	<b>21-Jan</b>	<b>2,400.00</b>	<b>4.0</b>
STRONG/MARK GRONET	030	COMS	S	800,000	7.48	n/a	n/a	24,000.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>CRI</b>	<b>S</b>	<b>20,000</b>	<b>26.05</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
JMP ASSET MGMT	210	CTRN	B	4,547	30.78	n/a	n/a	180.85	2.5
<b>f JOEL GIFFORD TISS</b>	<b>FID</b>	<b>CVX</b>	<b>B</b>	<b>700</b>	<b>73.69</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.	
BROADARCH CAP/OLD NEWC	070	DOV	B	1,700	42.89	n/a	n/a	68.00	4.0
JP MORGAN VENTURES	046	DRI	B	15,000	36.66	n/a	19-Jan	750.00	5.0
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>FAZ</b>	<b>B</b>	<b>50</b>	<b>20.18</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>FCSAX</b>	<b>B</b>	<b>113</b>	<b>9.70</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SAC CAPITAL/JOHN MAGUIE	039	FDO	SS	9,440	30.46	n/a	6-Jan	330.40	3.5
<b>f ABRAM M CHAPPELL</b>	<b>FID</b>	<b>FOR</b>	<b>B</b>	<b>50</b>	<b>19.37</b>	<b>n/a</b>	<b>25-Jan</b>	<b>0.00</b>	<b>0.0</b>
MASTERS CAPITAL MANAGE	091	F	S	50,000	11.54	n/a	27-Jan	2,000.00	4.0
OZ MGMT	040	F	SS	230,902	11.41	n/a	27-Jan	6,927.06	3.0
THOMAS WEISEL ASSET MGMT	035	GDP	B	4,940	22.73	n/a	n/a	148.20	3.0
<b>f CHRISTOPHER ARTHUR K</b>	<b>FID</b>	<b>GE</b>	<b>S</b>	<b>1000</b>	<b>16.19</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GIL</b>	<b>B</b>	<b>20,000</b>	<b>21.74</b>	<b>n/a</b>	<b>4-Jan</b>	<b>non-brg</b>	<b>4.0</b>
LEVEL GLOBAL SHARED ACCT	257	GIL	S	12,400	21.59	n/a	4-Jan	372.00	3.0
<b>f ABRAM M CHAPPELL</b>	<b>FID</b>	<b>GLW</b>	<b>B</b>	<b>50</b>	<b>19.04</b>	<b>n/a</b>	<b>26-Jan</b>	<b>0.00</b>	<b>0.0</b>
MORTAR ROCK	033	GPI	SS	17,500	29.18	n/a	4-Jan	700.00	4.0
BROADARCH CAP/OLD NEWC	070	GWW	SS	800	99.13	n/a	26-Jan	32.00	4.0
SPARTA ASSET MGMT	035	GYMB	B	15,000	39.47	n/a	8-Jan	450.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BROADARCH CAP/OLD NEWC	070	HON	S	500	40.30	n/a	16-Dec	20.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>HTZ</b>	<b>B</b>	<b>100,000</b>	<b>10.92</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
ROSEDALE CAPITAL	046	INTC	S	20,000	20.15	n/a	n/a	1,000.00	5.0
ARMATURE CAPITAL	041	IP	S	30,000	23.70	n/a	25-Jan	1,200.00	4.0
TRELLUS PARTNERS LP	028	IP	B	50,000	23.68	n/a	25-Jan	2,500.00	5.0
BROADARCH CAP/OLD NEWC	070	IR	B	2,200	33.75	n/a	4-Jan	88.00	4.0
HUNTER GLOBAL INVESTOR	067	IR	SS	100,000	33.79	n/a	4-Jan	5,000.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>ITW</b>	<b>B</b>	<b>50,000</b>	<b>43.86</b>	<b>n/a</b>	<b>4-Jan</b>	<b>non-brg</b>	<b>0.8</b>
DB ALTERNATIVE DBAG LDN	034	IVZ	S	10,000	20.47	n/a	26-Jan	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>JACK</b>	<b>B</b>	<b>30,000</b>	<b>19.80</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BROADARCH CAP/OLD NEWC	070	JCI	SS	2,500	29.31	n/a	22-Jan	100.00	4.0
BROADARCH CAP/OLD NEWC	070	JEC	SS	2,000	39.17	n/a	n/a	80.00	4.0
SANDLER O'NEILL ASSET	031	JNS	S	40,000	12.59	27-Jan	27-Jan	2,000.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>JOSB</b>	<b>S</b>	<b>10,000</b>	<b>42.95</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SANDLER O'NEILL ASSET	031	JPM	S	200,000	39.33	n/a	21-Jan	10,000.00	5.0
DIAMONDBACK CAP MGMT	232	K	C	50,000	55.08	n/a	n/a	2,500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	LUFK	B	7,700	66.21	n/a	n/a	308.00	4.0
LEVEL GLOBAL SHARED ACCT	257	LULU	C	20,000	29.09	n/a	n/a	600.00	3.0
FIRST NEW YORK LEDDY	035	LVLTT	B	10,000	1.40	n/a	n/a	600.00	6.0
BROADARCH CAP/OLD NEWC	070	MCK	B	1,000	60.39	n/a	n/a	40.00	4.0
MAIRS AND POWER INV	030	MMM	S	10,000	82.38	n/a	25-Jan	500.00	5.0
<b>f ABRAM M CHAPPELL</b>	<b>FID</b>	<b>MS</b>	<b>B</b>	<b>40</b>	<b>27.55</b>	<b>n/a</b>	<b>21-Jan</b>	<b>0.00</b>	<b>0.0</b>
BASIX	033	MTW	B	40,000	11.36	n/a	12-Jan	1,200.00	3.0
SCOPUS FUND	041	MWV	B	29,551	25.29	n/a	25-Jan	1,477.55	5.0
T. ROWE PRICE	033	MWV	B	185,200	24.96	n/a	25-Jan	7,408.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>M</b>	<b>B</b>	<b>20,000</b>	<b>15.68</b>	<b>n/a</b>	<b>8-Jan</b>	<b>non-brg</b>	<b>4.0</b>
BROADARCH CAP/OLD NEWC	070	NVLS	B	1,000	22.44	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	ODFL	S	5,800	27.07	n/a	n/a	232.00	4.0
LAGRANGE CAP ADV	048	PAG	B	10,000	14.10	n/a	22-Jan	500.00	5.0
HUNTER GLOBAL INVESTOR	067	PEP	B	86,814	59.96	n/a	n/a	4,340.70	5.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	36,000	22.16	n/a	26-Jan	1,800.00	5.0
NWQ INVESTMENT MGMT CO	048	PKG	S	6,600	22.20	n/a	26-Jan	264.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DIAMONDBACK CAP MGMT	232	PNK	B	25,000	8.45	n/a	n/a	1,250.00	5.0
BROADARCH CAP/OLD NEWC	070	PTV	B	9,600	23.64	n/a	n/a	384.00	4.0
BROADARCH CAP/OLD NEWC	070	PXD	B	400	45.43	n/a	19-Jan	16.00	4.0
ISLE RIDGE PARTNERS	041	RCL	B	22,500	25.00	n/a	n/a	900.00	4.0
BROADARCH CAP/OLD NEWC	070	RFMD	B	1,600	4.10	n/a	n/a	64.00	4.0
DIAMONDBACK CAP MGMT	232	RJET	B	25,000	5.15	n/a	n/a	1,250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>RRC</b>	<b>C</b>	<b>10,000</b>	<b>47.36</b>	<b>n/a</b>	<b>19-Jan</b>	<b>non-brg</b>	<b>4.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>SEP</b>	<b>B</b>	<b>1000</b>	<b>30.53</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f ABRAM M CHAPPELL</b>	<b>FID</b>	<b>SNCR</b>	<b>B</b>	<b>60</b>	<b>17.13</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>SNCR</b>	<b>B</b>	<b>90</b>	<b>17.19</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>SPG</b>	<b>B</b>	<b>1000</b>	<b>71.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f ABRAM M CHAPPELL</b>	<b>FID</b>	<b>SPXU</b>	<b>B</b>	<b>43</b>	<b>38.73</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>SPY</b>	<b>B</b>	<b>30</b>	<b>109.41</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f ABRAM M CHAPPELL</b>	<b>FID</b>	<b>SRI</b>	<b>B</b>	<b>135</b>	<b>7.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EXIS CAPITAL	044	SSO	SS	10,000	36.80	n/a	n/a	500.00	5.0
EXIS CAPITAL	044	STI	B	20,000	24.33	n/a	n/a	1,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	TGT	SS	25,000	51.86	n/a	27-Jan	875.00	3.5
COOPER CREEK PART	028	TIN	B	10,000	18.13	n/a	25-Jan	400.00	4.0
RBC CAPITAL MARKETS	040	TIN	B	25,000	17.90	n/a	25-Jan	1,000.00	4.0
SLS CAPITAL LLC	224	TIN	B	14,300	18.27	n/a	25-Jan	572.00	4.0
COUGAR TRADING	044	TM	SS	10,000	80.22	n/a	n/a	500.00	5.0
MORTAR ROCK	033	TM	SS	12,500	81.64	n/a	n/a	500.00	4.0
TRELLUS PARTNERS LP	028	TM	SS	5,600	82.51	n/a	n/a	280.00	5.0
DB ALTERNATIVE DBAG LDN	034	TROW	B	3,000	52.00	n/a	27-Jan	150.00	5.0
<b>f JAMES H HLAVACEK II</b>	<b>FID</b>	<b>TUWLF</b>	<b>B</b>	<b>45</b>	<b>18.90</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BROADARCH CAP/OLD NEWC	070	UTX	B	2,200	67.61	n/a	n/a	88.00	4.0
HUNTER GLOBAL INVESTOR	067	UTX	SS	50,000	67.52	n/a	n/a	2,500.00	5.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>VNO</b>	<b>S</b>	<b>2000</b>	<b>63.62</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>VRTX</b>	<b>B</b>	<b>1000</b>	<b>39.22</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f CHRISTOPHER ARTHUR K</b>	<b>FID</b>	<b>VTG</b>	<b>S</b>	<b>5000</b>	<b>1.49</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>WFC</b>	<b>S</b>	<b>2000</b>	<b>27.30</b>	<b>n/a</b>	<b>21-Jan</b>	<b>0.00</b>	<b>0.0</b>
SUFFOLK CAPITAL MGMT	040	WFC	S	250,000	27.45	n/a	21-Jan	10,000.00	4.0
<b>f ABRAM M CHAPPELL</b>	<b>FID</b>	<b>WFT</b>	<b>B</b>	<b>60</b>	<b>16.31</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>WMS</b>	<b>B</b>	<b>10,000</b>	<b>38.71</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		WMS	B	20,000	39.88	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	WRC	B	10,000	40.15	n/a	4-Jan	400.00	4.0
RBC CAPITAL MARKETS	040	WSM	B	5,000	20.19	n/a	n/a	200.00	4.0
⌘ BUCK CAPITAL MGMT		WSO	B	5,000	50.08	n/a	n/a	non-brg	0.8
JP MORGAN VENTURES	046	XRT	B	20,000	35.00	n/a	n/a	1,000.00	5.0
<b>TOTAL (Trade Date):</b>							<b>137,290.49</b>		



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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	01/26	GREEN ARROW DOUG	040	AXP	S	25,000	38.80	n/a	26-Jan	1250.00 5.0
AO,CRT	01/26	GREEN ARROW DOUG	040	AXP	S	25,000	38.80	n/a	26-Jan	1250.00 5.0
AO,CRT	01/25	LONG OAR GLOBAL INV	040	F	B	132,000	10.82	n/a	27-Jan	5280.00 4.0
AO,CXL	01/25	LONG OAR GLOBAL INV	040	F	B	132,000	10.82	n/a	27-Jan	3960.00 3.0
AO,CXL	01/26	GREEN ARROW DOUG	040	LIZ	S	50,000	5.14	n/a	7-Oct	2000.00 4.0
AO,CRT	01/26	GREEN ARROW DOUG	040	LIZ	S	50,000	5.14	n/a	7-Oct	2500.00 5.0
AO,CXL	01/26	GREEN ARROW DOUG	040	WSM	SS	25,000	20.84	n/a	n/a	1250.00 5.0
AO,CRT	01/26	GREEN ARROW DOUG	040	WSM	SS	25,000	20.84	n/a	n/a	1250.00 5.0

**TOTAL (AO, CXL, CRT) :****1,820.00**

TOTAL (Trade Date) :

137,290.49

TOTAL (AO, CXL, CRT) :

1,820.00

**TOTAL (RUN DATE) / NFS :****139,110.49****MRI Securities with Trade Activity on 27-Jan.****JNS**

MRI Securities without Trade Activity on 27-Jan.

CLMS

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

T-Date = 15%

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)**