



Daily Compliance Activity Report

Trade Date: 05/13/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		ABG	S	7,000	14.96	n/a	4-May	non-brg	4.0
JONATHAN RICHARD HAR	FID	ACUZ	B	4500	1.50	n/a	n/a	0.00	0.0
JOSEPH CIRO AMATURO	FID	ACUZ	B	20000	1.46	n/a	n/a	0.00	0.0
MICHAEL C PERILLO	FID	ACUZ	B	70	1.49	n/a	n/a	0.00	0.0
EXIS CAPITAL	044	AEO	B	10,000	16.13	n/a	10-May	500.00	5.0
BUCK CAPITAL MGMT		ANN	B	20,000	23.99	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		ARO	B	10,000	28.78	n/a	10-May	non-brg	4.0
BUCK CAPITAL MGMT		ATVI	S	15,000	11.06	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		AVP	B	100,000	28.96	n/a	3-May	non-brg	4.0
ABRAM M CHAPPELL	FID	BBI	S	1000	0.53	n/a	n/a	0.00	0.0
CAERUS GLOBAL	041	BBY	S	10,000	44.54	n/a	n/a	400.00	4.0
CHRISTOPHER ROBERT C	FID	BEE	S	1000	5.22	n/a	n/a	0.00	0.0
JOSEPH CIRO AMATURO	FID	BGZ	B	10000	13.20	n/a	n/a	0.00	0.0
EXIS CAPITAL	044	BONT	B	10,000	16.10	n/a	n/a	500.00	5.0
Joel Tiss		BP	B	10000	5.47	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		BYI	S	3,000	45.34	n/a	n/a	non-brg	4.0
GREEN ARROW DOUG	040	CAG	SS	10,000	24.66	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		CAM	S	12,100	39.41	n/a	n/a	non-brg	4.0
HARBORWATCH/DIAMBACK	232	CBE	S	15,000	50.19	n/a	22-Apr	750.00	5.0
CASTLEROCK	040	CBI	SS	83,065	21.75	n/a	n/a	3,322.60	4.0
GREEN ARROW DOUG	040	CBI	S	10,000	21.78	n/a	n/a	500.00	5.0
RBC CAPITAL MARKETS	040	CDE	S	55,000	18.65	n/a	n/a	2,200.00	4.0
CATAPULT	040	CHK	SS	25,000	23.48	n/a	n/a	1,250.00	5.0
COUGAR TRADING	044	CHS	B	5,000	15.42	n/a	5-Feb	250.00	5.0
B BUCK CAPITAL MGMT		CNW	B	15,000	35.20	n/a	n/a	non-brg	4.0
SONTERRA CAP	041	CTB	B	20,000	21.59	n/a	n/a	800.00	4.0
f MARK DEVEREAUX KAICH	FID	CVGI	B	1000	13.25	n/a	n/a	0.00	0.0
GREEN ARROW DOUG	040	CVO	B	10,000	7.90	n/a	n/a	500.00	5.0
MARINER/TRICADIA	041	CXW	S	40,000	20.79	n/a	n/a	2,000.00	5.0
f BRIAN W CRAGO	FID	C	B	200	4.13	n/a	11-May	0.00	0.0
f MARGARET M DAVEY	FID	C	B	7000	4.12	n/a	11-May	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DIAMONDBACK CAP MGMT	232	DHI	S	35,000	13.57	n/a	n/a	1,750.00	5.0
GREEN ARROW DOUG	040	DLM	SS	10,000	15.05	n/a	n/a	500.00	5.0
f ALEXANDRA ELISE ZOLI	FID	DVN	B	85	67.62	n/a	5-May	0.00	0.0
GREEN ARROW DOUG	040	EEM	SS	20,000	40.70	n/a	n/a	1,000.00	5.0
NEUBERGER BERMAN	036	EQR	S	71,100	47.41	n/a	n/a	2,844.00	4.0
LISTED ERR	099	EQR	B	10,000	47.80	n/a	n/a	0.00	0.0
LISTED ERR	099	EQR	S	10,000	47.64	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		ERTS	S	4,500	18.06	n/a	n/a	non-brg	4.0
GREEN ARROW DOUG	040	EWZ	SS	10,000	68.36	n/a	n/a	500.00	5.0
f CHRISTOPHER ROBERT C	FID	FBR	S	300	18.73	n/a	n/a	0.00	0.0
f BRIAN W CRAGO	FID	F	B	100	12.62	n/a	4-May	0.00	0.0
OZ MGMT	040	F	C	100,000	12.47	n/a	4-May	3,000.00	3.0
OZ MGMT	040	F	SS	283,773	12.82	n/a	4-May	8,513.19	3.0
f JOSEPH CIRO AMATURO	FID	GAZ	S	5500	10.46	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		GIL	S	30,000	31.05	n/a	27-Apr	non-brg	4.0
ß BUCK CAPITAL MGMT		GIL	S	7,000	30.95	n/a	27-Apr	non-brg	4.0
EXIS CAPITAL	044	GIL	SS	5,000	30.77	n/a	27-Apr	250.00	5.0
GREEN ARROW DOUG	040	HEW	S	10,000	39.40	n/a	n/a	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HARBORWATCH/DIAMBACK	232	HON	C	25,000	46.69	n/a	31-Mar	1,250.00	5.0
THE JAY GOLDMAN	028	HPT	S	5,000	26.03	n/a	n/a	200.00	4.0
f FRANCIS PATRICK GALL	FID	HTS	S	2	26.67	n/a	n/a	0.00	0.0
LEVEL GLOBAL SHARED ACCT	257	ICON	S	200,000	17.74	n/a	n/a	6,000.00	3.0
B BUCK CAPITAL MGMT		JACK	S	26,174	22.88	n/a	n/a	non-brg	4.0
CASEY CAPITAL	067	JCG	B	23,117	46.39	n/a	n/a	924.68	4.0
BUCK CAPITAL MGMT	001	JCP	B	10,000	28.90	n/a	10-May	400.00	4.0
EXIS CAPITAL	044	JCP	B	10,000	29.09	n/a	10-May	500.00	5.0
B BUCK CAPITAL MGMT		JWN	S	5,000	41.99	n/a	10-May	non-brg	4.0
B BUCK CAPITAL MGMT		JWN	S	50,000	42.85	n/a	10-May	non-brg	4.0
f JOHN GRASSANO	FID	JWN	B	35	41.42	n/a	10-May	0.00	0.0
f JOSEPH CIRO AMATURO	FID	JWN	S	2000	42.94	n/a	10-May	0.00	0.0
B BUCK CAPITAL MGMT		KNX	B	10,000	21.71	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		KSS	B	40,000	54.96	n/a	10-May	non-brg	4.0
THE JAY GOLDMAN	028	KSS	B	6,000	56.08	n/a	10-May	240.00	4.0
DELTEC ASSET MGMT.	040	LEN	B	31,500	19.15	n/a	n/a	1,575.00	5.0
COOPER CREEK PART	028	LPX	SS	10,000	10.09	n/a	11-May	400.00	4.0
EXIS CAPITAL	044	LTD	S	30,000	26.68	n/a	n/a	1,500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	LULU	B	5,000	42.62	n/a	n/a	250.00	5.0
BROADARCH CAP/OLD NEWC	070	LVS	B	7,000	24.72	n/a	13-May	280.00	4.0
f CHRISTOPHER ROBERT C	FID	MAR	S	100	37.00	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		MON	B	20,000	55.31	n/a	13-May	non-brg	4.0
f JOHN BARTMAN COLE	FID	MON	B	10	12.40	n/a	13-May	0.00	0.0
TRELLUS PARTNERS LP	028	MOT	SS	25,000	6.92	n/a	n/a	750.00	3.0
WADDELL AND REED	047	MSFT	S	120,000	29.53	n/a	n/a	1,800.00	1.5
B BUCK CAPITAL MGMT		MSMSRAWW	SS	200,000	99.24	n/a	n/a	non-brg	9.9
f JONATHAN RICHARD HAR	FID	MTW	S	435	13.99	n/a	30-Apr	0.00	0.0
EXIS CAPITAL	044	M	B	40,000	24.03	n/a	13-May	2,000.00	5.0
THE JAY GOLDMAN	028	M	SS	12,300	24.30	n/a	13-May	492.00	4.0
WEINTRAUB CAPITAL MGT.	040	NDN	B	27,500	15.39	n/a	9-Apr	1,100.00	4.0
f JOHN MICHAEL ZOLIDIS	FID	NFLX	B	5	2.75	n/a	n/a	0.00	0.0
f FRANCIS PATRICK GALL	FID	NLY	S	42	16.01	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		NTY	B	20,000	32.97	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		PAG	S	7,000	13.96	n/a	3-May	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	PEB	B	300	19.50	n/a	n/a	12.00	4.0
B BUCK CAPITAL MGMT		PETM	C	161,269	34.35	n/a	n/a	non-brg	2.0
METROPOLITAN CAPITAL	044	PLCE	B	12,500	44.13	n/a	27-Apr	625.00	5.0
GREEN ARROW DOUG	040	PPO	B	15,000	22.55	n/a	n/a	750.00	5.0
M&I FUNDS	047	PVH	B	3,624	61.11	n/a	21-Apr	144.96	4.0
B BUCK CAPITAL MGMT		SAH	S	7,000	10.79	n/a	n/a	non-brg	4.0
WEISS PECK	040	SKX	SS	7,200	40.08	n/a	n/a	360.00	5.0
GREEN ARROW DOUG	040	SOA	S	30,000	16.20	n/a	n/a	1,500.00	5.0
B BUCK CAPITAL MGMT		SPY	C	14,605	117.05	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		SPY	SS	3,800	117.09	n/a	n/a	non-brg	2.0
TRELLUS PARTNERS LP	028	STT	B	20,000	42.24	n/a	11-May	1,000.00	5.0
EPOCH INV MGMT	030	TJX	S	38,100	45.83	n/a	10-May	1,143.00	3.0
CAVU CAP ADV	028	TLB	S	38,625	17.39	n/a	n/a	1,931.25	5.0
COUGAR TRADING	044	TM	SS	5,000	76.77	n/a	n/a	250.00	5.0
GREEN ARROW DOUG	040	TXI	SS	10,000	38.99	n/a	n/a	500.00	5.0
EXIS CAPITAL	044	UA	B	10,000	34.00	n/a	28-Apr	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f STEFFANIE CARMELA CA	FID	UQM	B	1000	4.22	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		URBN	B	10,000	37.21	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		WERN	B	10,000	23.26	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		WMS	S	3,500	49.36	n/a	n/a	non-brg	4.0
RBC CAPITAL MARKETS	040	XME	B	25,000	56.16	n/a	n/a	1,000.00	4.0
ß BUCK CAPITAL MGMT		XRT	SS	19,600	42.89	n/a	n/a	non-brg	2.0
TOTAL (Trade Date):								61,707.68	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	05/12	GRUBER MACBAINE	033	HD	S	10,000	35.71	n/a	11-May	400.00 4.0
AO,CXL	05/12	GRUBER MACBAINE	033	HD	S	10,000	35.71	n/a	11-May	0.00 0.0
AO,	05/12	COLUMBUS CIRCLE	036	ICLR	B	3,923	28.98	n/a	n/a	156.92 4.0
AO,CRT	05/12	SCOPUS FUND	041	KSS	B	36,358	57.00	n/a	10-May	1817.90 5.0
AO,CXL	05/12	SCOPUS FUND	041	KSS	B	36,358	57.00	n/a	10-May	1817.90 5.0
AO,CRT	05/12	DSM CAPITAL PARTNERS	032	MXB	B	375	33.81	n/a	n/a	18.75 5.0
AO,CXL	05/12	DSM CAPITAL PARTNERS	032	MXB	B	375	33.81	n/a	n/a	18.75 5.0
TOTAL (AO, CXL, CRT) :										556.92

TOTAL (Trade Date):	61,707.68
TOTAL (AO, CXL, CRT):	556.92

TOTAL (RUN DATE) / NFS:	62,264.60
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MRI Securities with Trade Activity on 13-May. NONE

MRI Securities without Trade Activity on 13-May. NONE
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BRG comm. as a % of BCM Total Comm. paid.

T-Date = 1%

YTD = 9%

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)