



Daily Compliance Activity Report

Trade Date: 03/10/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f MARK DEVEREAUX KAICH	FID	AAI	S	400	5.32	n/a	n/a	0.00	0.0
f JASON ERIC COHEN	FID	AAPL	S	5	224.41	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		AEO	S	100,000	18.21	n/a	5-Mar	non-brg	4.0
B BUCK CAPITAL MGMT		AEO	S	150,000	18.27	n/a	5-Mar	non-brg	4.0
B BUCK CAPITAL MGMT		AEO	S	16,200	18.17	n/a	5-Mar	non-brg	0.8
B BUCK CAPITAL MGMT		AEO	S	18,800	18.19	n/a	5-Mar	non-brg	0.8
B BUCK CAPITAL MGMT		AEO	S	50,000	18.39	n/a	5-Mar	non-brg	0.8
B BUCK CAPITAL MGMT		AEO	S	75,000	18.05	n/a	5-Mar	non-brg	4.0
GALT INVESTMENT	041	AEO	SS	50,000	18.11	n/a	5-Mar	2,500.00	5.0
f JASON ERIC COHEN	FID	AGCO	S	76	35.63	n/a	10-Feb	0.00	0.0
LATEFF MGMT	035	ALK	S	5,250	39.85	n/a	n/a	630.00	12.0
CASTLEROCK	040	AMAT	SS	330,646	12.50	n/a	n/a	13,225.84	4.0
GEORGE WEISS	034	ANN	S	13,000	19.00	n/a	n/a	520.00	4.0
ISLE RIDGE PARTNERS	041	AN	B	14,300	19.02	n/a	12-Feb	572.00	4.0
f NICOLAS EVAN PAKLER	FID	AN	S	150	18.96	n/a	12-Feb	0.00	0.0
f KAREN F LEDDY	FID	ARGN	S	1200	10.85	n/a	11-Feb	0.00	0.0
f FRANCIS MICHAEL MCCA	FID	AXL	S	2000	9.86	n/a	8-Feb	0.00	0.0
f JOHN MICHAEL DEMARTI	FID	AXL	S	2000	10.08	n/a	8-Feb	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MILLENIUUM PARTNERS	028	AXL	SS	10,000	9.97	n/a	8-Feb	400.00	4.0
MILLENIUUM PARTNERS	028	AXL	S	15,000	10.02	n/a	8-Feb	600.00	4.0
f JOSEPH CIRO AMATURO	FID	BAC	S	4000	17.15	n/a	9-Mar	0.00	0.0
f NICOLAS EVAN PAKLER	FID	BEN	S	37	107.67	n/a	2-Mar	0.00	0.0
f JOSEPH CIRO AMATURO	FID	BGZ	B	10000	15.05	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	BGZ	B	4000	14.93	n/a	n/a	0.00	0.0
IRIDIAN ASSET MGMT.	036	BRCD	S	100,000	5.74	n/a	n/a	5,000.00	5.0
ISLE RIDGE PARTNERS	041	BWA	B	12,100	36.94	n/a	12-Feb	484.00	4.0
f JOHN CAREY MAGUIRE	FID	BYD	B	1200	8.70	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BYI	S	50,000	38.41	n/a	n/a	non-brg	4.0
WAGONHOUND/NIC	048	CAKE	S	4,497	25.90	n/a	12-Feb	179.88	4.0
EPOCH INV MGMT	030	CAM	S	2,750	43.52	n/a	n/a	82.50	3.0
OSS CAPITAL/KEVIN DANN	067	CCK	S	50,000	27.24	n/a	n/a	1,500.00	3.0
f CHRISTOPHER ROBERT C	FID	CHRS	B	750	6.56	n/a	n/a	0.00	0.0
MORTAR ROCK	033	CMI	SS	22,500	60.77	n/a	3-Feb	900.00	4.0
B BUCK CAPITAL MGMT		COH	B	50,000	39.06	n/a	21-Jan	non-brg	4.0
EPOCH INV MGMT	030	COL	S	3,250	60.56	n/a	1-Feb	97.50	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MARK DEVEREAUX KAICH	FID	COMV	S	1000	11.03	n/a	n/a	0.00	0.0
ARCHON CAPITAL	035	CPHD	SS	15,000	19.04	n/a	n/a	450.00	3.0
EPOCH INV MGMT	030	CPO	S	3,800	35.15	n/a	n/a	114.00	3.0
f MARK DEVEREAUX KAICH	FID	CROX	S	1200	7.60	n/a	n/a	0.00	0.0
EXIS CAPITAL	044	CSCO	B	25,000	25.99	n/a	n/a	1,250.00	5.0
B BUCK CAPITAL MGMT		CTL	C	100,000	34.22	n/a	n/a	non-brg	4.0
f JOSEPH CIRO AMATURO	FID	CVGI	S	10721	5.44	n/a	n/a	0.00	0.0
f ANDREW MARK GRONET	FID	C	B	200	3.97	n/a	9-Mar	0.00	0.0
f FRANCIS MICHAEL MCCA	FID	C	B	5000	4.02	n/a	9-Mar	0.00	0.0
f MARK ANTHONY GRONET	FID	C	B	3000	3.98	n/a	9-Mar	0.00	0.0
f NICOLAS EVAN PAKLER	FID	C	B	2075	3.96	n/a	9-Mar	0.00	0.0
f SARAH ELIZABETH GRON	FID	C	B	200	3.97	n/a	9-Mar	0.00	0.0
f TIMOTHY MICHAEL GRON	FID	C	B	200	3.97	n/a	9-Mar	0.00	0.0
CAPITAL GROWTH MGMT.	241	DAL	B	100,000	13.37	n/a	n/a	4,000.00	4.0
MILLENIUM PARTNERS	028	DAN	B	25,000	11.95	n/a	25-Feb	1,000.00	4.0
HARBORWATCH/DIAMBACK	232	DD	B	10,000	34.98	n/a	26-Feb	500.00	5.0
EPOCH INV MGMT	030	DRC	S	1,929	31.69	n/a	n/a	57.87	3.0
COUGAR TRADING	044	DVN	B	10,000	72.10	n/a	19-Jan	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHITE PINE CAPITAL	030	EPIQ	S	5,700	12.12	n/a	n/a	285.00	5.0
CUMBERLAND	239	EXH	S	20,000	25.65	n/a	10-Mar	800.00	4.0
IRIDIAN ASSET MGMT.	036	EXH	B	180,000	25.55	n/a	10-Mar	9,000.00	5.0
f CHRISTOPHER ROBERT C	FID	FBR	S	300	20.58	n/a	n/a	0.00	0.0
ARMATURE CAPITAL	041	FLS	B	15,000	105.03	n/a	n/a	600.00	4.0
EXIS CAPITAL	044	FL	SS	15,000	13.55	n/a	10-Mar	750.00	5.0
WEISS PECK	040	FL	S	94,710	13.56	n/a	10-Mar	4,735.50	5.0
B BUCK CAPITAL MGMT		FSLR	SS	10,000	110.17	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		FTR	C	100,000	7.55	n/a	n/a	non-brg	3.0
f FRANCIS MICHAEL MCCA	FID	F	S	1000	12.83	n/a	3-Mar	0.00	0.0
ROARING BLUE LION MGMT	012	GCO	S	10,000	28.81	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		GME	SS	100,000	18.13	n/a	n/a	non-brg	4.0
EPOCH INV MGMT	030	GPC	S	5,250	40.54	n/a	n/a	157.50	3.0
f CHRISTOPHER ROBERT C	FID	GS	S	25	170.11	n/a	9-Mar	0.00	0.0
BALYASNY ASSET MGMT	044	GYMB	B	25,000	46.00	n/a	5-Mar	1,250.00	5.0
B BUCK CAPITAL MGMT		GYMB	B	10,000	45.42	n/a	5-Mar	non-brg	4.0
COOPER CREEK PART	028	GYMB	B	7,500	46.04	n/a	5-Mar	300.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	GYMB	B	10,000	47.30	n/a	5-Mar	500.00	5.0
RBC CAPITAL MARKETS	040	IP	B	25,000	25.08	n/a	3-Feb	1,000.00	4.0
B BUCK CAPITAL MGMT		JACK	B	20,000	23.09	n/a	n/a	non-brg	4.0
EXIS CAPITAL	044	JAH	SS	20,000	34.88	n/a	n/a	1,000.00	5.0
f FRANCIS MICHAEL MCCA	FID	JBHT	S	250	35.88	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	JNY	B	50,000	18.63	n/a	10-Feb	2,000.00	4.0
EMERSON CAPITAL MGMT	048	JNY	B	27,000	18.58	n/a	10-Feb	1,080.00	4.0
HOTCHKIS & WILEY	035	JNY	S	103,200	18.48	n/a	10-Feb	5,160.00	5.0
RBC CAPITAL MARKETS	040	JWN	SS	5,000	39.13	n/a	5-Mar	200.00	4.0
ISLE RIDGE PARTNERS	041	LEA	S	13,300	74.21	n/a	8-Feb	532.00	4.0
f CHRISTOPHER ROBERT C	FID	LIZ	B	500	7.47	n/a	7-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	LL	B	20,000	23.82	n/a	n/a	800.00	4.0
DAVIDSON KEMPNER ADVISOR	040	LPX	B	25,000	8.26	n/a	23-Feb	1,250.00	5.0
MILLENIUM PARTNERS	028	LPX	SS	35,000	8.30	n/a	23-Feb	1,400.00	4.0
THE JAY GOLDMAN	028	LVS	S	15,000	19.30	n/a	10-Mar	600.00	4.0
OSS CAPITAL/KEVIN DANN	067	LYV	B	50,000	14.00	n/a	n/a	1,500.00	3.0
EPOCH INV MGMT	030	MAS	S	4,100	14.66	n/a	n/a	123.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JOHN MICHAEL DEMARTI	FID	MGI	S	3000	3.15	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		MGM	SS	20,000	11.78	n/a	10-Mar	non-brg	4.0
B BUCK CAPITAL MGMT		MNRO	B	5,000	33.74	n/a	n/a	non-brg	2.5
RBC CAPITAL MARKETS	040	MON	S	10,000	71.56	n/a	26-Feb	400.00	4.0
SIGMA CAPITAL ASSOCIATES	041	MOT	S	50,000	7.11	n/a	n/a	1,750.00	3.5
CHARTER OAK	033	MS	B	100,000	30.00	n/a	10-Mar	4,000.00	4.0
MTB INV ADV	034	MTW	S	72,575	12.66	n/a	5-Feb	3,628.75	5.0
B BUCK CAPITAL MGMT		MVRX	C	25,000	188.30	n/a	n/a	non-brg	18.8
BMO NESBITT BURNS	041	M	SS	31,200	20.90	n/a	5-Mar	1,560.00	5.0
EXIS CAPITAL	044	M	B	2,546	21.15	n/a	5-Mar	127.30	5.0
SCOPUS FUND	041	M	B	15,000	21.23	n/a	5-Mar	750.00	5.0
LUCID PARTNERS	067	NP	S	10,000	17.22	n/a	3-Mar	400.00	4.0
f ALEXANDER A SACCO	FID	NXST	S	400	4.73	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	NYX	S	9,100	28.47	n/a	n/a	273.00	3.0
RBC CAPITAL MARKETS	040	PAAS	SS	25,000	22.59	n/a	n/a	1,000.00	4.0
BUCK CAPITAL MGMT	001	PAG	B	30,000	15.74	n/a	22-Feb	1,200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAXTON PART	040	PCAR	B	145,211	39.73	n/a	1-Feb	5,082.40	3.5
EATON VANCE MGMT	039	PFE	S	200,000	17.27	n/a	n/a	6,000.00	3.0
GEORGE WEISS	034	PLCE	B	15,000	42.12	10-Mar	10-Mar	450.00	3.0
HARVEST MGMT	039	PLCE	B	10,000	40.84	10-Mar	10-Mar	500.00	5.0
THIRD COAST CAPITAL	035	PLCE	B	10,000	41.04	10-Mar	10-Mar	500.00	5.0
ISLE RIDGE PARTNERS	041	PNK	B	20,000	8.83	n/a	n/a	800.00	4.0
B BUCK CAPITAL MGMT		PSS	B	50,000	22.33	n/a	n/a	non-brg	4.0
ISLE RIDGE PARTNERS	041	RA	B	10,300	11.28	n/a	n/a	412.00	4.0
EXIS CAPITAL	044	RL	SS	5,000	82.35	n/a	4-Feb	250.00	5.0
L.R.BURTSCHY & CO	045	RSH	B	10,000	22.50	n/a	n/a	600.00	6.0
T. ROWE PRICE	033	SAI	S	159,800	19.45	n/a	n/a	6,392.00	4.0
PZENA INV ADV	044	SHW	B	12,275	64.57	n/a	18-Feb	429.63	3.5
B BUCK CAPITAL MGMT		SONC	C	37,247	9.34	n/a	n/a	non-brg	3.0
f ANDREW SINCLAIR	FID	SPY	B	20	2.12	n/a	n/a	0.00	0.0
CASTLE ARK	031	STJ	S	174,200	37.92	n/a	n/a	10,452.00	6.0
f FRANCIS MICHAEL MCCA	FID	TWI	S	1100	8.69	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f RAGHAV NAYAR	FID	URRE	B	500	0.86	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	UXG	B	500	2.89	n/a	n/a	0.00	0.0
EXIS CAPITAL	044	VFC	SS	5,000	79.83	n/a	12-Feb	250.00	5.0
EPOCH INV MGMT	030	V	S	5,150	89.80	n/a	19-Feb	154.50	3.0
HUNTER GLOBAL INVESTOR	067	V	S	54,600	91.55	n/a	19-Feb	2,730.00	5.0
EPOCH INV MGMT	030	WAB	S	3,950	41.06	n/a	n/a	118.50	3.0
SAC CAP/ROSEN FOR BOBBY	044	WDR	B	75,000	34.34	n/a	2-Mar	2,625.00	3.5
B BUCK CAPITAL MGMT		WIN	C	100,000	10.82	n/a	n/a	non-brg	4.0
FARALLON CAP MGMT	040	WLP	S	7,028	62.00	n/a	n/a	281.12	4.0
B BUCK CAPITAL MGMT		WMS	B	50,000	39.25	n/a	n/a	non-brg	4.0
f COLE THOMAS KAICHER	FID	WNC	S	390	5.56	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	WRC	S	4,150	46.46	n/a	2-Mar	124.50	3.0
SIGMA CAPITAL ASSOCIATES	041	WYN	S	25,000	24.10	n/a	n/a	875.00	3.5
B BUCK CAPITAL MGMT		XRT	C	110,000	39.61	n/a	n/a	non-brg	0.8
f JOHN BARTMAN COLE	FID	ZLC	B	2000	3.15	n/a	n/a	0.00	0.0
THIRD COAST CAPITAL	035	ZLC	B	70,000	3.19	n/a	n/a	3,500.00	5.0

TOTAL (Trade Date):

127,602.29

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	03/09	TRAFELET & COMP.	028	BZ	B	300,000	5.65	n/a	n/a	12000.00 4.0
AO,CRT	03/08	CAMBIAR CAP	046	CBE	S	50	47.53	n/a	1-Mar	2.00 4.0
AO,CXL	03/08	TRUSTCO/SUNTRUST	046	CBE	S	50	47.53	n/a	1-Mar	2.00 4.0
AO,CXL	03/05	OSS CAPITAL/KEVIN DANN	067	PSA	B	3,581	86.49	n/a	n/a	179.05 5.0
AO,CRT	03/05	OSS CAPITAL/KEVIN DANN	067	PSA	B	3,581	86.49	n/a	n/a	107.43 3.0
AO,CRT	03/09	1798 CAPITAL MGMT	040	PXP	B	25,000	32.94	n/a	n/a	1250.00 5.0
AO,CXL	03/09	1798 CAPITAL MGMT	040	PXP	B	25,000	32.94	n/a	n/a	1250.00 5.0
AO,CRT	03/09	CATAPULT	028	STI	S	10,000	26.19	n/a	n/a	500.00 5.0
AO,CXL	03/09	MILLENIUM PARTNERS	028	STI	S	10,000	26.19	n/a	n/a	400.00 4.0
TOTAL (AO, CXL, CRT) :										12,028.38

TOTAL (Trade Date) :	127,602.29
TOTAL (AO, CXL, CRT) :	12,028.38

TOTAL (RUN DATE) / NFS :	139,630.67
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MRI Securities with Trade Activity on 10-Mar. PLCE
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MRI Securities without Trade Activity on 10-Mar.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 8%
YTD = 17%

<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)