



Daily Compliance Activity Report

Trade Date: 02/04/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MILLENIUM PARTNERS	028	AA	B	50,000	17.04	n/a	n/a	2,000.00	4.0
OSKIE CAPITAL MGMT	224	AA	B	50,000	17.27	n/a	n/a	2,500.00	5.0
f KAREN F LEDDY	FID	ACW	S	1700	15.03	n/a	n/a	0.00	0.0
EMERSON CAPITAL MGMT	048	AEO	B	34,000	14.84	n/a	4-Feb	1,020.00	3.0
B BUCK CAPITAL MGMT		AVY	B	5,000	38.59	n/a	3-Feb	non-brg	4.0
B BUCK CAPITAL MGMT		AVY	C	15,000	38.59	n/a	3-Feb	non-brg	4.0
Õ James Mitchell		AXE	B	150	67.50	n/a	1-Feb	0.00	0.0
f ANDREW SINCLAIR	FID	BGZ	B	800	7.73	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	BIDU	B	400	117.75	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	BP	B	200	46.05	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		CACH	S	7,774	3.70	n/a	n/a	non-brg	2.5
WEISS PECK	040	CAKE	C	9,800	30.41	n/a	11-Jan	490.00	5.0
NEW JERSEY DIV OF INV.	030	CL	B	60,000	76.06	n/a	14-Jan	2,400.00	4.0
SCOPUS FUND	041	COH	B	25,000	54.45	n/a	26-Jan	1,000.00	4.0
f MATTHEW FRANCIS BUCK	FID	COP	S	150	71.39	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		CSTR	B	50,000	39.23	n/a	n/a	non-brg	1.0
1798 CAP/LOMBARD ASSET	040	CSX	B	13,000	69.93	n/a	n/a	650.00	5.0
ISLE RIDGE PARTNERS	041	CTB	SS	35,000	22.10	n/a	n/a	1,400.00	4.0
NEW JERSEY DIV OF INV.	030	CYH	B	50,000	36.66	n/a	n/a	2,000.00	4.0
SCHOTTENFELD ASSOC	041	C	B	25,000	4.80	n/a	18-Jan	1,250.00	5.0
M&I FUNDS	047	DRI	B	7,316	49.12	n/a	2-Feb	292.64	4.0
NEW JERSEY DIV OF INV.	030	ECL	B	50,000	50.23	n/a	5-Jan	2,000.00	4.0
f DAVID GEORGE BUCK	FID	EEM	S	1500	46.42	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	EEM	S	300	46.39	n/a	n/a	0.00	0.0
NEW JERSEY DIV OF INV.	030	EPR	B	20,000	45.61	n/a	n/a	800.00	4.0
Õ James Mitchell		FAS	B	800	30.90	n/a	n/a	0.00	0.0
f SCOTT L BRUNNER	FID	FAZ	B	10000	8.35	n/a	n/a	0.00	0.0
f SCOTT L BRUNNER	FID	FAZ	S	5000	8.22	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	FCEA	S	147,913	17.36	n/a	n/a	5,916.52	4.0
NEW JERSEY DIV OF INV.	030	FDX	B	10,000	91.23	n/a	n/a	400.00	4.0
Õ James Mitchell		FITB	S	900	15.33	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RAINIER INV MGMT	035	FLS	S	9,230	127.81	n/a	n/a	369.20	4.0
BMO NESBITT BURNS	041	FOR	B	10,000	18.05	n/a	3-Nov	400.00	4.0
f CHRISTOPHER ROBERT C	FID	FSENX	B	87	57.22	n/a	n/a	0.00	0.0
f MITCHELL JAMES SPEIS	FID	FSNXX	S	3100	1.00	n/a	n/a	0.00	0.0
TROUBH PART	070	FXI	SS	25,000	42.63	n/a	n/a	1,250.00	5.0
AVESTA CAP	229	F	SS	300,000	15.78	n/a	2-Feb	9,000.00	3.0
GRANITE CAPITAL	028	GES	B	30,000	45.41	n/a	20-Jan	1,500.00	5.0
B BUCK CAPITAL MGMT		GIII	S	1,000	37.11	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		GMCR	S	20,000	39.15	n/a	n/a	non-brg	4.0
f MANNY I KORMAN	FID	GM	S	400	0.44	n/a	2-Feb	0.00	0.0
PHILADELPHIA FINANCIAL	033	GM	SS	36,597	36.01	n/a	2-Feb	1,463.88	4.0
SOROS	036	GTE	S	44,175	9.00	n/a	n/a	1,767.00	4.0
KLEINHEINZ CAP PART	031	HBI	B	50,000	25.56	n/a	28-Jan	2,500.00	5.0
LANE GATE PARTNERS LLC	012	HD	B	2,000	36.70	n/a	13-Dec	60.00	3.0
B BUCK CAPITAL MGMT		HTZ	S	50,000	14.90	n/a	n/a	non-brg	4.0
f EDWARD W WHEELER	FID	HWCC	B	3272	13.96	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEW JERSEY DIV OF INV.	030	IBM	B	10,000	163.60	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		ICON	B	20,000	19.59	n/a	n/a	non-brg	4.0
SOROS	036	INTC	C	350,000	21.67	n/a	n/a	14,000.00	4.0
CHARTER OAK	033	ITRI	S	50,000	63.03	n/a	n/a	2,500.00	5.0
Õ James Mitchell		IWM	B	450	79.76	n/a	n/a	0.00	0.0
LANE GATE PARTNERS LLC	012	JCI	B	1,000	37.88	n/a	20-Jan	30.00	3.0
LANE GATE PARTNERS LLC	012	JOE	B	2,500	27.37	n/a	n/a	75.00	3.0
PZENA INV ADV	044	JPM	S	600	44.40	n/a	14-Jan	21.00	3.5
Õ James Mitchell		KEY	S	1800	9.48	n/a	n/a	0.00	0.0
CATAPULT	040	KNL	B	3,200	18.97	n/a	n/a	128.00	4.0
OSKIE CAPITAL MGMT	224	K	S	4,000	53.40	n/a	n/a	200.00	5.0
PZENA INV ADV	044	LLL	S	175	78.51	n/a	n/a	6.13	3.5
WEISS PECK	040	LULU	C	4,000	76.76	n/a	n/a	200.00	5.0
NEUBERGER BERMAN	036	MAC	B	44,100	48.40	n/a	n/a	1,764.00	4.0
PZENA INV ADV	044	MAS	S	4,525	13.87	n/a	n/a	158.38	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JOSEPH CIRO AMATURO	FID	MMR	S	5000	17.18	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	MON	B	1000	74.25	n/a	6-Jan	0.00	0.0
f IAN L MILLER	FID	MSFT	B	30	27.70	n/a	n/a	0.00	0.0
PZENA INV ADV	044	MS	S	650	29.67	n/a	20-Jan	22.75	3.5
B BUCK CAPITAL MGMT		MVRX	C	15,000	210.14	n/a	n/a	non-brg	21.0
f KAREN F LEDDY	FID	MWA	B	4000	3.87	n/a	n/a	0.00	0.0
MATRIX ASSET ADV.	091	MWW	B	4,500	15.85	n/a	n/a	135.00	3.0
BUCK CAPITAL MGMT	001	M	B	40,000	22.71	n/a	4-Feb	1,200.00	3.0
f MARC PAUL LUCHANSKY	FID	M	B	500	22.87	n/a	4-Feb	0.00	0.0
SOROS	036	NCS	S	2,187	13.50	n/a	n/a	87.48	4.0
WEINTRAUB CAPITAL MGT.	040	NDN	B	100,000	15.97	n/a	3-Feb	4,000.00	4.0
f DAVID GEORGE BUCK	FID	NNP	B	3000	14.06	n/a	n/a	0.00	0.0
PZENA INV ADV	044	NOC	S	400	69.37	n/a	14-Jan	14.00	3.5
CATAPULT	040	NX	S	5,000	19.40	n/a	n/a	200.00	4.0
B BUCK CAPITAL MGMT		OXM	B	4,421	24.24	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		OXM	B	900	24.13	n/a	n/a	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		PAG	S	25,000	18.00	n/a	31-Jan	non-brg	1.0
B BUCK CAPITAL MGMT		PCAR	B	35,600	50.28	n/a	2-Feb	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	PCH	B	250	36.35	n/a	21-Jan	0.00	0.0
WATERFRONT CAP	028	PETM	B	50,000	41.42	n/a	n/a	2,000.00	4.0
SURSUM CAPITAL	215	PG	S	10,000	63.67	n/a	28-Jan	300.00	3.0
f MARC PAUL LUCHANSKY	FID	PHM	S	500	7.49	n/a	n/a	0.00	0.0
PZENA INV ADV	044	PNC	S	125	61.94	n/a	n/a	4.38	3.5
f EDWARD W WHEELER	FID	POWL	S	100	3.03	n/a	n/a	0.00	0.0
SURSUM CAPITAL	215	PVH	SS	10,000	61.77	n/a	1-Feb	300.00	3.0
MA CAPITAL MGMT/MELLON ADV041		RICK	B	3,500	9.05	n/a	n/a	175.00	5.0
PZENA INV ADV	044	RNR	S	200	66.63	n/a	n/a	7.00	3.5
f KAREN F LEDDY	FID	RRR	B	1500	12.66	n/a	12-Jan	0.00	0.0
f DAVID GEORGE BUCK	FID	SBUX	S	3030	22.07	n/a	27-Jan	0.00	0.0
B BUCK CAPITAL MGMT		SHOO	B	10,000	41.62	n/a	n/a	non-brg	2.0
SURSUM CAPITAL	215	SHOO	B	20,000	41.40	n/a	n/a	600.00	3.0
f MANNY I KORMAN	FID	SIJ	S	10000	11.60	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CADIAN CAPITAL	041	SKX	B	125,000	22.84	n/a	n/a	3,750.00	3.0
f MARC PAUL LUCHANSKY	FID	SLB	B	200	89.28	n/a	n/a	0.00	0.0
Õ James Mitchell		SLM	S	500	14.44	n/a	2-Feb	0.00	0.0
f JOSEPH CIRO AMATURO	FID	SLW	B	5000	34.59	n/a	n/a	0.00	0.0
f DANIEL JORDAN COHEN	FID	SNCR	S	33	31.00	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SODA	S	8,108	42.93	n/a	n/a	non-brg	2.5
HUNTER GLOBAL INVESTOR	028	SPW	B	93,700	82.83	n/a	n/a	4,685.00	5.0
Õ James Mitchell		SPY	B	380	130.93	n/a	n/a	0.00	0.0
TROUBH PART	070	SPY	B	50,000	131.00	n/a	n/a	2,500.00	5.0
TROUBH PART	070	SPY	SS	25,000	130.92	n/a	n/a	1,250.00	5.0
LITESPEED	028	SSCC	S	135,000	38.37	n/a	7-Jan	4,050.00	3.0
Õ James Mitchell		STI	S	400	31.29	n/a	n/a	0.00	0.0
PZENA INV ADV	044	STT	S	200	46.24	n/a	20-Jan	7.00	3.5
f RAVI SADARANGANI	FID	SU	S	500	41.63	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	TBT	B	500	40.94	n/a	n/a	0.00	0.0
PZENA INV ADV	044	TEL	S	900	36.64	n/a	n/a	31.50	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRELLUS PARTNERS LP	028	TEN	SS	20,000	39.68	n/a	n/a	1,000.00	5.0
MERRILL ASSET/BLACKROCK	266	TESO	B	14,716	15.75	n/a	n/a	588.64	4.0
B BUCK CAPITAL MGMT		TEX	S	46,600	36.85	n/a	22-Oct	non-brg	4.0
PZENA INV ADV	044	TMK	S	425	63.59	n/a	n/a	14.88	3.5
f MANNY I KORMAN	FID	TWM	S	20000	11.93	n/a	n/a	0.00	0.0
OSKIE CAPITAL MGMT	224	UAL	S	10,000	25.37	n/a	n/a	500.00	5.0
PZENA INV ADV	044	UBS	S	1,600	18.36	n/a	n/a	56.00	3.5
ISLE RIDGE PARTNERS	041	UNP	B	30,000	94.05	n/a	n/a	1,200.00	4.0
CAERUS GLOBAL	041	VFC	B	5,000	86.51	n/a	20-Jan	200.00	4.0
MATRIX ASSET ADV.	091	VLO	S	2,500	26.51	n/a	n/a	100.00	4.0
PZENA INV ADV	044	VLO	S	650	26.48	n/a	n/a	22.75	3.5
Õ James Mitchell		VMC	B	250	42.90	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	V	B	20	0.52	n/a	3-Feb	0.00	0.0
f MARC PAUL LUCHANSKY	FID	V	B	60	72.88	n/a	3-Feb	0.00	0.0
SAC CHICAGO ANDREW	031	WAG	B	38,732	42.22	n/a	n/a	1,355.62	3.5
CATAPULT	040	WRC	B	25,000	54.28	n/a	20-Jan	1,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PZENA INV ADV	044	WSH	S	500	37.49	n/a	n/a	17.50	3.5
LEVEL GLOBAL SHARED ACCT	257	WSM	S	50,000	33.93	n/a	n/a	1,500.00	3.0
PZENA INV ADV	044	XOM	S	425	83.13	n/a	n/a	14.88	3.5
B BUCK CAPITAL MGMT		XRT	C	75,000	48.05	n/a	n/a	non-brg	2.0
PZENA INV ADV	044	ZMH	S	400	60.34	n/a	n/a	14.00	3.5
TOTAL (Trade Date):								94,815.13	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	02/02	GREEN ARROW DOUG	040	CAR	B	122,000	14.19	n/a	n/a	4880.00 4.0
AO,CRT	02/02	GREEN ARROW DOUG	040	CAR	B	122,000	14.19	n/a	n/a	4880.00 4.0
AO,CRT	02/03	FORWARD MGMT	033	FL	S	125,200	17.69	n/a	22-Dec	5008.00 4.0
AO,CXL	02/03	FORWARD MGMT	033	FL	S	125,200	17.69	n/a	22-Dec	5008.00 4.0
AO,CXL	02/03	GREEN ARROW DOUG	040	JWN	SS	40,000	41.96	n/a	4-Feb	1600.00 4.0
AO,CRT	02/03	GREEN ARROW DOUG	040	JWN	SS	40,000	41.96	n/a	4-Feb	1600.00 4.0
AO,CXL	02/03	FORWARD MGMT	033	MOD	B	96,700	16.69	n/a	n/a	3868.00 4.0
AO,CRT	02/03	FORWARD MGMT	033	MOD	B	96,700	16.69	n/a	n/a	3868.00 4.0
AO,CXL	02/03	FORWARD MGMT	033	NETL	S	95,700	39.23	n/a	n/a	3828.00 4.0
AO,CRT	02/03	FORWARD MGMT	033	NETL	S	95,700	39.23	n/a	n/a	3828.00 4.0
AO,CRT	02/03	FORWARD MGMT	033	NTCT	B	9,200	23.96	n/a	n/a	368.00 4.0
AO,CXL	02/03	FORWARD MGMT	033	NTCT	B	9,200	23.96	n/a	n/a	368.00 4.0
AO,CRT	02/01	SCOPUS FUND	041	PCL	B	22,800	40.53	n/a	1-Feb	912.00 4.0
AO,CXL	02/01	SCOPUS FUND	041	PCL	B	22,800	40.53	n/a	1-Feb	912.00 4.0
AO,CRT	02/03	FORWARD MGMT	033	RADS	S	76,600	18.67	n/a	n/a	3064.00 4.0
AO,CXL	02/03	FORWARD MGMT	033	RADS	S	76,600	18.67	n/a	n/a	3064.00 4.0
AO,CXL	02/03	FORWARD MGMT	033	SBNY	S	46,500	52.12	n/a	n/a	1860.00 4.0
AO,CRT	02/03	FORWARD MGMT	033	SBNY	S	46,500	52.12	n/a	n/a	1860.00 4.0
AO,CXL	02/03	FORWARD MGMT	033	SLGN	B	23,800	37.50	n/a	n/a	952.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	02/03	FORWARD MGMT	033	SLGN	B	23,800	37.50	n/a	n/a	952.00 4.0
AO,CXL	02/03	FORWARD MGMT	033	SONO	S	10,700	33.78	n/a	n/a	428.00 4.0
AO,CRT	02/03	FORWARD MGMT	033	SONO	S	10,700	33.78	n/a	n/a	428.00 4.0
AO,CXL	02/01	SCOPUS FUND	041	SPLS	S	60,000	22.71	n/a	n/a	2400.00 4.0
AO,CRT	02/01	SCOPUS FUND	041	SPLS	S	60,000	22.71	n/a	n/a	2400.00 4.0
AO,	02/03	WAGONHOUND/NIC	289	WAB	B	5,851	54.99	n/a	n/a	234.04 4.0
AO,CXL	02/03	CAXTON PART	040	WY	S	147,000	23.33	n/a	4-Feb	5145.01 3.5
AO,CRT	02/02	SCOPUS FUND	041	WY	SS	50,000	23.77	n/a	4-Feb	2000.00 4.0
AO,CXL	02/02	SCOPUS FUND	041	WY	SS	50,000	23.77	n/a	4-Feb	2000.00 4.0

TOTAL (AO, CXL, CRT) :	-4,910.97
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TOTAL (Trade Date) :	94,815.13
TOTAL (AO, CXL, CRT) :	-4,910.97

TOTAL (RUN DATE) / NFS :	89,904.16
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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MRI Securities with Trade Activity on 4-Feb.
NONE

MRI Securities without Trade Activity on 4-Feb.
GR, AN, HOT, TJX, EL

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 8%
YTD = 4%

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)