



Daily Compliance Activity Report

Trade Date: 02/09/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	AB	S	20,000	25.05	n/a	9-Feb	1,000.00	5.0
B BUCK CAPITAL MGMT		AEO	B	20,000	16.08	n/a	5-Feb	non-brg	4.0
LEVIN CAPITAL STRATEGIES	012	ALV	B	20,000	44.03	n/a	1-Feb	800.00	4.0
WAGONHOUND/NIC	048	ALV	B	1,557	44.17	n/a	1-Feb	62.28	4.0
KAILIX INV ADV	048	ANR	S	35,000	42.70	n/a	n/a	1,750.00	5.0
ARCHON CAPITAL	035	ARRAY	SS	10,000	7.25	n/a	n/a	300.00	3.0
ROSEDALE CAPITAL	046	AXL	B	7,525	8.73	n/a	8-Feb	301.00	4.0
ROSEDALE CAPITAL	046	AXL	S	200	8.94	n/a	8-Feb	8.00	4.0
SANDLER O'NEILL ASSET	031	BEN	S	2,600	98.12	n/a	9-Feb	130.00	5.0
UBS OCONNOR	031	BEN	S	25,000	97.27	n/a	9-Feb	750.00	3.0
GREEN ARROW DOUG	040	BGC	SS	5,000	27.79	n/a	n/a	250.00	5.0
RBC CAPITAL MARKETS	040	BHP	SS	10,000	69.77	n/a	n/a	400.00	4.0
LISTED ERR	099	BLL	B	300	50.84	n/a	n/a	0.00	0.0
ROYCE TRADING	216	BMRN	B	5,400	19.23	n/a	n/a	270.00	5.0
B BUCK CAPITAL MGMT		BONT	B	15,226	8.76	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		BPW	B	100,000	10.05	n/a	n/a	non-brg	0.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GREEN ARROW DOUG	040	BWY	B	35,400	15.94	n/a	n/a	1,770.00	5.0
B BUCK CAPITAL MGMT		BYI	B	10,000	38.74	n/a	n/a	non-brg	4.0
ROYCE TRADING	216	BZ	B	12,500	4.72	n/a	n/a	375.00	3.0
WEISS PECK	040	CAKE	C	5,320	21.73	n/a	8-Feb	266.00	5.0
B BUCK CAPITAL MGMT		CAR	B	35,000	11.03	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CBRL	SS	8,900	37.02	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	CMA	S	2000	33.56	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		CNW	B	30,000	28.78	n/a	n/a	non-brg	4.0
JP MORGAN VENTURES	046	COCO	B	700	13.05	n/a	n/a	35.00	5.0
B BUCK CAPITAL MGMT		COH	B	20,000	34.67	n/a	21-Jan	non-brg	4.0
f MANNY I KORMAN	FID	CPRE	B	4047	17.66	n/a	n/a	0.00	0.0
WAGONHOUND/NIC	048	DECK	B	5,313	97.28	n/a	n/a	212.52	4.0
WAGONHOUND/NIC	048	DPZ	B	9,288	10.86	n/a	19-Jan	371.52	4.0
WEINTRAUB CAPITAL MGT.	040	DSW	B	50,000	26.32	n/a	3-Feb	2,000.00	4.0
FIRST NEW YORK LEDDY	035	ETFC	B	10,000	1.50	n/a	n/a	600.00	6.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVIN CAPITAL STRATEGIES	012	FDO	SS	40,000	31.45	n/a	1-Feb	1,600.00	4.0
B BUCK CAPITAL MGMT		FOR	B	6,000	17.25	n/a	5-Feb	non-brg	0.8
ARCHON CAPITAL	035	FSLR	B	15,000	112.98	n/a	n/a	450.00	3.0
B BUCK CAPITAL MGMT		FUQI	B	10,000	16.34	n/a	n/a	non-brg	2.5
BMO NESBITT BURNS	041	F	SS	50,000	11.16	n/a	3-Feb	2,500.00	5.0
ROARING BLUE LION MGMT	012	GCO	B	6,500	21.77	n/a	n/a	325.00	5.0
B BUCK CAPITAL MGMT		GES	B	20,000	38.97	n/a	5-Feb	non-brg	4.0
LEVEL GLOBAL SHARED ACCT	257	GES	B	50,000	39.09	n/a	5-Feb	1,500.00	3.0
AVESTA CAP	229	GE	SS	500,000	15.57	n/a	n/a	15,000.00	3.0
SAC ADV/LEE	044	GPN	B	46,600	45.51	n/a	n/a	1,631.00	3.5
GCORE MANAGEMENT	041	HRB	SS	20,000	21.07	n/a	n/a	1,000.00	5.0
BALYASNY ASSET MGMT	044	HSIC	SS	25,000	54.22	n/a	n/a	1,250.00	5.0
B BUCK CAPITAL MGMT		HTZ	B	35,000	10.16	n/a	n/a	non-brg	4.0
SAC ADV/LEE	044	IACI	B	100,000	21.48	n/a	n/a	3,500.00	3.5
CIRCLE T/SES PART	035	IGT	S	15,000	17.72	n/a	9-Feb	600.00	4.0
SAC TRADIN/BINDER	044	IGT	B	70,000	17.99	n/a	9-Feb	2,450.00	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WAGONHOUND/NIC	048	IMA	S	2,100	41.09	n/a	n/a	84.00	4.0
f JOSEPH CIRO AMATURO	FID	INTC	S	5000	19.78	n/a	n/a	0.00	0.0
COOPER CREEK PART	028	IP	B	10,000	23.00	n/a	3-Feb	400.00	4.0
SANDLER O'NEILL ASSET	031	IVZ	S	50,000	18.90	n/a	9-Feb	2,500.00	5.0
B BUCK CAPITAL MGMT		JACK	B	30,000	21.21	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		JBHT	B	10,000	30.87	n/a	n/a	non-brg	4.0
THE JAY GOLDMAN	028	JCP	S	20,000	24.47	n/a	5-Feb	800.00	4.0
SANDLER O'NEILL ASSET	031	JNS	B	10,000	11.75	n/a	9-Feb	500.00	5.0
BUCK CAPITAL MGMT	001	JNY	B	20,000	14.88	n/a	29-Jan	800.00	4.0
TRUSTCO/SUNTRUST	040	JNY	B	36,600	15.08	n/a	29-Jan	1,427.40	3.9
B BUCK CAPITAL MGMT		JWN	B	10,000	34.24	n/a	5-Feb	non-brg	4.0
RBC CAPITAL MARKETS	040	KFT	S	50,000	28.91	n/a	n/a	2,000.00	4.0
B BUCK CAPITAL MGMT		KNX	B	40,000	18.22	n/a	n/a	non-brg	4.0
MADISON ST PARTNERS LLC	046	LAZ	B	10,010	36.78	n/a	4-Feb	500.50	5.0
SANDLER O'NEILL ASSET	031	LAZ	B	25,000	36.65	n/a	4-Feb	1,250.00	5.0
f DAVID GEORGE BUCK	FID	LLY	B	1000	35.04	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f DAVID GEORGE BUCK	FID	LNCR	B	1000	39.62	n/a	n/a	0.00	0.0
SIGMA CAPITAL ASSOCIATES	041	LSI	SS	25,000	5.29	n/a	n/a	875.00	3.5
WHITE PINE CAPITAL	030	MIDD	S	700	42.01	n/a	4-Jan	35.00	5.0
f JOHN BARTMAN COLE	FID	MSHL	B	5400	0.55	n/a	n/a	0.00	0.0
GREEN ARROW DOUG	040	MXI	SS	5,000	56.80	n/a	n/a	250.00	5.0
SIGMA CAPITAL ASSOCIATES	041	M	B	50,000	16.55	n/a	5-Feb	1,750.00	3.5
SANDLER O'NEILL ASSET	099	NTRS	B	1,500	49.99	n/a	9-Feb	75.00	5.0
MKT MAKER	099	NTRS	S	56	49.99	n/a	9-Feb	0.00	0.0
TYEE/TYGH	035	OMX	B	29,100	13.30	n/a	n/a	1,164.00	4.0
B BUCK CAPITAL MGMT		PETM	SS	20,000	26.20	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		PFCB	B	50,000	40.90	n/a	19-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		PFCB	C	50,000	40.41	n/a	19-Jan	non-brg	4.0
PARTNER REINSURANCE	033	PHM	B	20,000	10.75	n/a	n/a	800.00	4.0
HIGHBRIDGE CAP	041	PKG	SS	40,198	21.61	n/a	26-Jan	1,607.92	4.0
ROARING BLUE LION MGMT	012	PLCE	B	5,000	35.08	n/a	5-Feb	250.00	5.0
CAPITAL GROWTH MGMT.	241	PNC	S	200,000	50.88	n/a	n/a	10,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		PNRA	S	2,700	72.48	9-Feb	9-Feb	non-brg	4.0
ß BUCK CAPITAL MGMT		PRTY LN	B	200,000	4.36	n/a	n/a	non-brg	5.0
BUCK CAPITAL MGMT	001	PVH	B	40,000	39.32	n/a	12-Jan	1,600.00	4.0
HARBORWATCH/DIAMBACK	232	ROC	SS	25,000	20.92	n/a	n/a	1,250.00	5.0
SIGMA CAPITAL ASSOCIATES	041	SAP	SS	10,000	43.60	n/a	n/a	350.00	3.5
f EDWARD W WHEELER	FID	SCSC	B	2000	25.40	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SIG	B	20,000	26.90	n/a	n/a	non-brg	4.0
f SCOTT L BRUNNER	FID	SMN	B	1000	9.33	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SONC	C	40,000	8.32	n/a	n/a	non-brg	3.0
f DAVID GEORGE BUCK	FID	SPG	B	1500	70.60	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	SPG	B	200	70.60	n/a	n/a	0.00	0.0
GREEN ARROW DOUG	040	SPY	SS	5,000	106.98	n/a	n/a	250.00	5.0
MATRIX ASSET ADV.	036	TDW	B	2,300	44.62	n/a	n/a	92.00	4.0
COOPER CREEK PART	028	TIN	B	10,000	17.34	n/a	9-Feb	400.00	4.0
CSFB GLOBAL PROPRIETARY	041	TIN	B	66,200	17.10	n/a	9-Feb	3,310.00	5.0
ELM RIDGE ADVISORS	044	TIN	B	9,200	16.75	n/a	9-Feb	368.00	4.0
IRIDIAN ASSET MGMT.	036	TIN	B	25,850	16.89	n/a	9-Feb	1,292.50	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	TIN	S	20,000	17.37	n/a	9-Feb	800.00	4.0
⚡ BUCK CAPITAL MGMT		TJX	B	20,000	37.90	n/a	5-Feb	non-brg	4.0
COUGAR TRADING	044	TM	B	5,000	75.15	n/a	n/a	250.00	5.0
⚡ BUCK CAPITAL MGMT		TOL	B	20,000	19.00	n/a	n/a	non-brg	4.0
CATAPULT	040	TRA	B	25,000	32.83	n/a	n/a	1,250.00	5.0
SANDLER O'NEILL ASSET	031	TROW	SS	10,000	49.12	n/a	9-Feb	500.00	5.0
⚡ BUCK CAPITAL MGMT		UAUA	S	50,000	14.79	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		UBI FP	B	370,000	13.51	n/a	n/a	non-brg	0.7
GREEN ARROW DOUG	040	UFS	SS	5,000	49.86	n/a	n/a	250.00	5.0
HUNTER GLOBAL INVESTOR	067	UNP	SS	32,300	61.99	n/a	n/a	1,615.00	5.0
SAC ADV/LEE	044	URS	SS	14,500	44.41	n/a	n/a	507.50	3.5
f EDWARD W WHEELER	FID	VMMXX	S	25319	1.00	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	VRTX	S	2000	37.42	n/a	n/a	0.00	0.0
KLEINHEINZ CAP PART	031	VZ	B	150,000	28.85	n/a	n/a	7,500.00	5.0
BUCK CAPITAL MGMT	001	WDR	B	20,000	29.82	n/a	9-Feb	800.00	4.0
⚡ BUCK CAPITAL MGMT		WERN	B	40,000	19.72	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
8 BUCK CAPITAL MGMT		WMS	B	10,000	37.81	n/a	n/a	non-brg	4.0
KLEINHEINZ CAP PART	031	WMT	B	50,000	53.20	n/a	1-Feb	2,500.00	5.0
ROTHSCHILD ASSET	040	WPP	S	10,982	9.14	n/a	n/a	439.28	4.0
BUCK CAPITAL MGMT	001	WRC	B	30,000	38.49	n/a	28-Jan	1,200.00	4.0
8 BUCK CAPITAL MGMT		XRT	C	15,800	35.19	n/a	n/a	non-brg	0.8
SAC ADV/LEE	044	YHOO	S	47,300	15.11	n/a	n/a	1,655.50	3.5
GREEN ARROW DOUG	040	YUM	S	25,000	33.11	n/a	5-Feb	1,250.00	5.0
TOTAL (Trade Date) :								99,955.92	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	02/04	LISTED ERR	098	BLL	S	300	50.70	n/a	n/a	0.00 0.0
AO,CRT	02/08	SIGMA CAP BOBBY	044	F	B	50,000	11.15	n/a	3-Feb	1750.00 3.5
AO,CXL	02/08	SIGMA CAPITAL ASSOCIATES	041	F	B	50,000	11.15	n/a	3-Feb	1750.00 3.5
AO,CRT	02/08	SIGMA CAP BOBBY	044	TRW	B	20,000	22.44	n/a	n/a	700.00 3.5
AO,CXL	02/08	SIGMA CAPITAL ASSOCIATES	041	TRW	B	20,000	22.44	n/a	n/a	700.00 3.5

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	99,955.92
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	99,955.92
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MRI Securities with Trade Activity on 9-Feb. PNRA

MRI Securities without Trade Activity on 9-Feb. NONE
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BRG comm. as a % of BCM Total Comm. paid.

T-Date = 11%

YTD = 18%

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)