



Daily Compliance Activity Report

Trade Date: 08/23/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		AAPL	B	5,000	245.71	n/a	n/a	non-brg	0.8
BALYASNY ASSET MGMT	044	ANN	C	10,000	16.07	n/a	n/a	500.00	5.0
EXIS CAPITAL	044	ARO	SS	5,000	22.81	n/a	20-Aug	250.00	5.0
ISLE RIDGE PARTNERS	041	BBY	SS	17,500	32.46	n/a	n/a	700.00	4.0
BENNETT LAWRENCE	028	BEAV	S	24,350	27.14	n/a	28-Jul	974.00	4.0
f JOSEPH CIRO AMATURO	FID	BGU	B	2500	43.87	n/a	n/a	0.00	0.0
WATERFRONT CAP	028	CAKE	SS	29,500	22.28	n/a	23-Jul	1,180.00	4.0
WATERFRONT CAP	028	CAKE	S	77,500	22.59	n/a	23-Jul	3,100.00	4.0
1798 CAP/LOMBARD ASSET	040	CLF	S	20,000	61.17	n/a	n/a	1,000.00	5.0
GOLD SACHS SPECIAL SIT	030	CVGI	B	80,000	9.24	n/a	n/a	4,000.00	5.0
1798 CAP/LOMBARD ASSET	040	CYT	S	10,000	47.14	n/a	n/a	500.00	5.0
OZ MGMT	040	DAN	B	200,000	10.85	n/a	2-Aug	6,000.00	3.0
BUCK CAPITAL MGMT	001	DKS	SS	10,000	25.86	n/a	19-Aug	400.00	4.0
B BUCK CAPITAL MGMT		DKS	SS	40,000	26.06	n/a	19-Aug	non-brg	4.0
f MANNY I KORMAN	FID	FAZ	B	200	1.04	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		FDO	SS	30,000	42.97	n/a	29-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		FINL	B	20,000	13.80	n/a	n/a	non-brg	4.0
EXIS CAPITAL	044	FINL	B	10,000	13.35	n/a	n/a	500.00	5.0
STRONG/MARK GRONET	030	FL	B	15,000	12.18	n/a	20-Aug	600.00	4.0
PROSPECTOR PARTNERS LLC	036	FOR	B	10,000	14.01	n/a	23-Aug	400.00	4.0
TRELLUS PARTNERS LP	028	FOR	B	5,000	14.00	n/a	23-Aug	250.00	5.0
BUCK CAPITAL MGMT	001	GCO	B	10,000	25.63	n/a	n/a	400.00	4.0
ISLE RIDGE PARTNERS	041	GET	B	15,000	27.15	n/a	n/a	600.00	4.0
LATEFF MGMT	035	GLW	B	7,500	16.06	n/a	23-Aug	525.00	7.0
PATTEN & PATTEN	067	IAU	B	2,000	12.01	n/a	n/a	100.00	5.0
DSG CAPITAL	225	INTC	B	7,000	18.96	n/a	n/a	210.00	3.0
PATTEN & PATTEN	067	ITT	S	1,570	44.10	n/a	30-Apr	78.50	5.0
DIAMONDBACK CAP MGMT	232	ITW	B	10,000	42.47	n/a	30-Jul	500.00	5.0
B BUCK CAPITAL MGMT		IWM	C	70,000	60.40	n/a	n/a	non-brg	0.8
ISLE RIDGE PARTNERS	041	JCI	S	15,000	28.06	n/a	23-Jul	600.00	4.0
f IAN L MILLER	FID	JNJ	S	100	59.11	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LAGRANGE CAP ADV	048	JNS	B	20,000	10.03	n/a	n/a	1,000.00	5.0
GEOSPHERE CAPITAL MGMT	084	JOYG	B	75,000	58.58	n/a	4-Jun	2,250.00	3.0
SENATOR INVESTMENT GROUP	036	KSS	B	166,538	46.59	n/a	13-Aug	4,996.14	3.0
B BUCK CAPITAL MGMT		MSMSRAW2	SS	45,000	101.53	n/a	n/a	non-brg	10.2
BENNETT LAWRENCE	028	MWW	SS	20,650	10.65	n/a	n/a	826.00	4.0
EXIS CAPITAL	044	M	B	5,000	20.40	n/a	12-Aug	250.00	5.0
LEVIN CAPITAL STRATEGIES	012	NOV	B	15,000	38.72	n/a	n/a	450.00	3.0
f BRIAN FRANCIS KEALOH	FID	NWY	B	4460	2.07	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		PERY	B	29,765	22.31	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		PIR	B	25,000	6.06	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		PIR	B	25,000	6.09	n/a	n/a	non-brg	0.8
WATERFRONT CAP	028	PNRA	B	31,500	79.62	n/a	28-Jul	1,260.00	4.0
f JOSEPH CIRO AMATURO	FID	PZA	S	15000	24.47	n/a	n/a	0.00	0.0
MFP INVESTORS	085	RUTH	B	5,000	3.35	n/a	n/a	150.00	3.0
B BUCK CAPITAL MGMT		RVI	S	30,000	9.17	n/a	n/a	non-brg	3.0
SAXON WOODS ADVISORS	242	SAFM	B	10,000	45.00	n/a	n/a	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
M&I FUNDS	047	SHPGY	B	3,220	66.72	n/a	18-Aug	128.80	4.0
EXIS CAPITAL	044	SKS	B	10,000	7.58	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		SKX	B	10,000	27.40	n/a	n/a	non-brg	0.8
ISLE RIDGE PARTNERS	041	SONC	B	25,000	8.17	n/a	n/a	1,000.00	4.0
HIGHBRIDGE CAP	041	S	B	400,000	4.09	n/a	n/a	8,000.00	2.0
COOPER CREEK PART	028	TIN	B	15,000	17.11	n/a	27-Jul	600.00	4.0
f MANNY I KORMAN	FID	TWM	B	200	1.80	n/a	n/a	0.00	0.0
ISLE RIDGE PARTNERS	041	UPS	B	9,000	65.68	n/a	n/a	360.00	4.0
B BUCK CAPITAL MGMT		URBN	B	10,000	32.68	n/a	n/a	non-brg	4.0
MACKLOWE ASSET MGMT	041	URBN	B	25,000	32.69	n/a	n/a	1,000.00	4.0
LEVIN CAPITAL STRATEGIES	012	USO	C	62,500	32.50	n/a	n/a	1,875.00	3.0
MACKLOWE ASSET MGMT	041	WAG	B	65,000	28.68	n/a	n/a	2,600.00	4.0
B BUCK CAPITAL MGMT		WFMI	SS	20,000	36.40	n/a	n/a	non-brg	4.0
SCHOTTENFELD ASSOC	041	WY	B	30,000	16.39	n/a	5-Aug	900.00	3.0
f IAN L MILLER	FID	XOM	S	15	59.40	n/a	n/a	0.00	0.0

TOTAL (Trade Date):

51,913.44

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/20	CONIFER/ISF	025	FL	B	5,000	12.46	n/a	20-Aug	250.00 5.0
AO,CRT	08/20	CONIFER/ISF	025	FL	B	5,000	12.46	n/a	20-Aug	200.00 4.0
AO,	08/12	MANNING & NAPIER	034	SCHW	B	830	14.71	n/a	n/a	24.90 3.0
AO,CXL	08/12	MANNING & NAPIER	034	SCHW	B	830	14.71	n/a	n/a	24.90 3.0
AO,	08/20	PAULSON & CO INC	041	SYMC	B	500,000	13.64	n/a	n/a	15000.00 3.0
AO,CXL	08/20	PAULSON & CO INC	041	SYMC	B	500,000	13.64	n/a	n/a	15000.00 3.0
AO,CRT	08/18	CATAPULT	040	XLI	SS	60,000	29.95	n/a	n/a	3000.00 5.0
AO,CXL	08/18	CATAPULT	040	XLI	SS	60,000	29.95	n/a	n/a	2400.00 4.0

TOTAL (AO, CXL, CRT) :	550.00
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TOTAL (Trade Date) :	51,913.44
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TOTAL (AO, CXL, CRT) :	550.00
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TOTAL (RUN DATE) / NFS:	52,463.44
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MRI Securities with Trade Activity on 23-Aug. NONE

MRI Securities without Trade Activity on 23-Aug.

WCRX

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

T-Date = 6%

YTD = 10%

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)