



Daily Compliance Activity Report

Trade Date: 02/02/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		7974 JP	B	5,000	281.94	n/a	n/a	non-brg	42.3
BALYASNY ASSET MGMT	044	ASNA	SS	50,000	27.15	n/a	n/a	2,500.00	5.0
BUCK CAPITAL MGMT		AVY	SS	30,000	42.16	n/a	2-Feb	non-brg	4.0
BUCK CAPITAL MGMT		AVY	S	5,000	42.16	n/a	2-Feb	non-brg	4.0
SOROS	036	BBY	S	100,000	34.75	n/a	n/a	4,000.00	4.0
ANDREW MARK GRONET	FID	BHL	B	200	14.27	n/a	n/a	0.00	0.0
MARK ANTHONY GRONET	FID	BHL	B	3000	14.29	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		CACH	S	10,000	3.73	n/a	n/a	non-brg	2.5
GREEN ARROW DOUG	040	CAR	B	122,000	14.21	n/a	n/a	4,880.00	4.0
HILLTOP PARK ASSOC	086	CF	B	10,000	142.12	n/a	n/a	500.00	5.0
NEW JERSEY DIV OF INV.	030	CF	B	100,000	140.96	n/a	n/a	4,000.00	4.0
BNP PARIBAS SEC	040	CMI	SS	10,000	106.68	n/a	2-Feb	500.00	5.0
ABRAM M CHAPPELL	FID	CNW	B	100	33.71	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		CNW	B	10,000	33.51	n/a	n/a	non-brg	4.0
MANNY I KORMAN	FID	C	B	2500	4.86	n/a	18-Jan	0.00	0.0
BUCK CAPITAL MGMT		DAL	B	50,000	11.44	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MA CAPITAL MGMT/MELLON ADV041	DAN		B	4,000	17.45	n/a	31-Jan	200.00	5.0
1798 CAP/LOMBARD ASSET	040	DG	SS	10,000	27.61	n/a	21-Jan	500.00	5.0
f REUBEN D DVORETSKY	FID	DIG	S	100	54.66	n/a	n/a	0.00	0.0
CASTLEROCK	040	DLR	B	136,880	54.82	n/a	n/a	5,475.20	4.0
COUGAR TRADING	044	DLTR	SS	5,000	49.41	n/a	21-Jan	250.00	5.0
B BUCK CAPITAL MGMT		EPOC	S	4,000	20.70	n/a	n/a	non-brg	2.5
f SCOTT L BRUNNER	FID	FAZ	B	7500	8.19	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FINL	B	20,000	15.20	n/a	n/a	non-brg	2.0
NOKOMIS PARTNERS	031	FINL	B	77,000	15.23	n/a	n/a	1,137.62	1.0
1798 CAP/LOMBARD ASSET	040	FOE	B	5,000	15.47	n/a	n/a	250.00	5.0
f ANDREW MARK GRONET	FID	F	S	200	15.53	n/a	2-Feb	0.00	0.0
f MARK ANTHONY GRONET	FID	F	S	1500	15.55	n/a	2-Feb	0.00	0.0
THOMPSON SIEGAL&WALMSLEY	029	F	S	65,500	15.39	n/a	2-Feb	2,620.00	4.0
WALL STREET CAPITAL	084	F	S	15,000	15.45	n/a	2-Feb	675.00	4.5
B BUCK CAPITAL MGMT		GIII	B	400	36.82	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		GIII	B	600	36.82	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		GMCR	S	43,400	33.04	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GMCR	S	65,000	32.99	n/a	n/a	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BNP PARIBAS SEC	040	GM	S	40,000	36.06	n/a	2-Feb	2,000.00	5.0
FRIESS MGMT	033	GM	S	538,500	36.08	n/a	2-Feb	21,540.00	4.0
PHILADELPHIA FINANCIAL	033	GM	SS	81,829	36.37	n/a	2-Feb	3,273.16	4.0
PIONEER PATH	028	GM	S	25,000	36.19	n/a	2-Feb	750.00	3.0
SOROS	036	GTE	S	30,825	9.00	n/a	n/a	924.75	3.0
f CICILY S BACKUS	FID	HAL	S	1000	45.71	n/a	n/a	0.00	0.0
f CICILY S BACKUS	FID	HAL	S	1000	45.73	n/a	n/a	0.00	0.0
f LEE F BACKUS	FID	HAL	S	1000	45.63	n/a	n/a	0.00	0.0
f SNEJANA P GARFUNKEL	FID	HAL	S	500	45.78	n/a	n/a	0.00	0.0
ROSEDALE CAPITAL	046	HCBK	B	40,000	10.94	n/a	19-Jan	1,600.00	4.0
f JOHN MICHAEL ZOLIDIS	FID	HOTT	B	1000	5.54	n/a	n/a	0.00	0.0
f MARK ANTHONY GRONET	FID	HOVNP	B	1000	8.25	n/a	n/a	0.00	0.0
PERRY PARTNERS	085	HPQ	B	100,000	46.98	n/a	n/a	5,000.00	5.0
f CICILY S BACKUS	FID	HRBN	S	5000	19.23	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ICON	B	10,000	19.67	n/a	n/a	non-brg	4.0
TALKOT CAPITAL LLC	084	IP	B	10,000	29.48	n/a	7-Jan	300.00	3.0
ENTRUST CAPITAL	040	IR	S	38,500	48.21	n/a	5-Jan	1,925.00	5.0
SURSUM CAPITAL	215	JAH	B	10,000	34.17	n/a	n/a	300.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WAGONHOUND/NIC	289	JCI	B	10,530	37.79	n/a	20-Jan	421.20	4.0
RBC CAPITAL MARKETS	040	JWN	B	30,000	40.35	n/a	28-Jan	1,200.00	4.0
CAERUS GLOBAL	041	KSS	S	24,000	50.82	n/a	28-Jan	960.00	4.0
SANDLER O'NEILL ASSET	031	LAZ	S	20,000	44.50	n/a	28-Jan	1,000.00	5.0
f JOHN MICHAEL DEMARTI	FID	LF	S	4000	4.02	n/a	n/a	0.00	0.0
Õ Nilsa Vazquez		MGM	B	500	14.98	n/a	31-Jan	0.00	0.0
f CHRISTOPHER ROBERT C	FID	MMR	B	300	15.91	n/a	n/a	0.00	0.0
f MARK ANTHONY GRONET	FID	MMR	B	3000	15.31	n/a	n/a	0.00	0.0
f BARRY JONAS	FID	MTW	B	500	17.87	2-Feb	2-Feb	0.00	0.0
f JAMES H HLAVACEK II	FID	MTW	S	200	17.77	2-Feb	2-Feb	0.00	0.0
f ANN M GAULT	FID	MWA	B	1000	3.91	n/a	n/a	0.00	0.0
f ANTHONY SUTERA	FID	MWA	B	5000	3.92	n/a	n/a	0.00	0.0
f CALEF CAMPBELL DAVIS	FID	MWA	B	150	3.93	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	MWA	B	10000	3.98	n/a	n/a	0.00	0.0
f JOEL GIFFORD TISS	FID	MWA	B	20000	3.80	n/a	n/a	0.00	0.0
f JOHN MICHAEL DEMARTI	FID	MWA	B	10000	3.93	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	MWA	B	1000	3.86	n/a	n/a	0.00	0.0
f MARY CATHERI MADIGA	FID	MWA	B	1000	3.85	n/a	n/a	0.00	0.0
f WILLIAM J GAULT	FID	MWA	B	20000	3.94	n/a	n/a	0.00	0.0
f WILLIAM J GAULT	FID	MWA	B	4000	3.91	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	M	B	20,000	22.13	n/a	28-Jan	600.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THE JAY GOLDMAN	028	M	B	25,000	22.07	n/a	28-Jan	1,000.00	4.0
SOROS	036	NCS	S	2,814	13.90	n/a	n/a	112.56	4.0
B BUCK CAPITAL MGMT		NPTN	S	500	13.95	n/a	n/a	non-brg	2.5
f JOHN MICHAEL ZOLIDIS	FID	NWY	S	1000	5.92	n/a	n/a	0.00	0.0
BRANDWINE	028	PCAR	B	31,100	51.64	n/a	2-Feb	1,244.00	4.0
CATAPULT	040	PCX	B	25,000	28.97	n/a	n/a	1,000.00	4.0
f JOSEPH CIRO AMATURO	FID	PFE	B	20000	19.15	n/a	n/a	0.00	0.0
TALKOT CAPITAL LLC	084	PKG	B	10,000	28.41	n/a	25-Jan	400.00	4.0
SURSUM CAPITAL	215	PVH	B	10,000	57.72	n/a	1-Feb	300.00	3.0
RBC CAPITAL MARKETS	040	RCL	S	300	44.60	n/a	n/a	12.00	4.0
BASIX	033	RRR	B	85,000	12.77	n/a	12-Jan	2,550.00	3.0
f JONATHAN RICHARD HAR	FID	RRR	B	190	12.91	n/a	12-Jan	0.00	0.0
SURSUM CAPITAL	215	SHOO	B	10,000	39.63	n/a	n/a	300.00	3.0
f JOSEPH CIRO AMATURO	FID	SLW	S	2000	32.41	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SODA	S	1,892	43.01	n/a	n/a	non-brg	2.5
SENATOR INVESTMENT GROUP	036	SPY	B	200,000	130.55	n/a	n/a	6,000.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JONATHAN RICHARD HAR	FID	SRI	S	1200	15.13	n/a	n/a	0.00	0.0
f MICHAEL C PERILLO	FID	SRI	S	100	14.98	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	STVI	S	2000	2.60	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	266	TESO	B	25,383	15.75	n/a	n/a	1,015.32	4.0
CAERUS GLOBAL	041	TGT	S	13,000	53.61	n/a	28-Jan	520.00	4.0
SAC CAPITAL/M GRONET	030	TGT	S	55,000	53.57	n/a	28-Jan	1,925.00	3.5
MERRILL ASSET/BLACKROCK	266	THFF	S	1,661	31.31	n/a	n/a	66.44	4.0
LEVEL GLOBAL SHARED ACCT	257	TIF	C	75,000	58.50	n/a	n/a	2,250.00	3.0
MERRILL ASSET/BLACKROCK	266	TTI	B	20,900	11.72	n/a	n/a	836.00	4.0
f JAMES H HLAVACEK II	FID	TUWLF	S	45	22.65	n/a	n/a	0.00	0.0
f CALEF CAMPBELL DAVIS	FID	URRE	S	200	3.07	n/a	n/a	0.00	0.0
TROUBH PART	070	VALE	B	20,000	35.79	n/a	n/a	1,000.00	5.0
BALLAST CAP	040	WGO	SS	10,100	14.43	n/a	n/a	505.00	5.0
SURSUM CAPITAL	215	WMT	B	10,000	56.03	n/a	27-Jan	300.00	3.0
SCOPUS FUND	041	WY	SS	50,000	23.77	n/a	21-Jan	2,000.00	4.0
TRELLUS PARTNERS LP	028	WY	SS	30,000	23.71	n/a	21-Jan	1,500.00	5.0

TOTAL (Trade Date):

94,118.25

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	02/01	S.A.C. CAP/ORENSTEIN	044	LUV	S	100,000	11.86	n/a	n/a	3500.00 3.5
AO,CRT	02/01	S.A.C. CAP/ORENSTEIN	044	LUV	S	100,000	11.86	n/a	n/a	3500.00 3.5
AO,	02/01	COLUMBUS CIRCLE	036	NATI	B	6,806	44.44	n/a	n/a	272.24 4.0
AO,CXL	02/01	SCHOTTENFELD ASSOC	041	PCL	B	11,300	39.90	n/a	1-Feb	339.00 3.0
AO,CRT	02/01	SCHOTTENFELD ASSOC	041	PCL	B	11,300	39.90	n/a	1-Feb	339.00 3.0
AO,	02/01	COLUMBUS CIRCLE	036	UTEK	B	6,238	23.70	n/a	n/a	222.40 3.0
TOTAL (AO, CXL, CRT) :										494.64

TOTAL (Trade Date) :	94,118.25
TOTAL (AO, CXL, CRT) :	494.64

TOTAL (RUN DATE) / NFS :	94,612.89
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CXL	02/01	BUCK CAPITAL MGMT.	CVGI	S	7,500	16.75	n/a	n/a	300.00	
CRT	02/01	BUCK CAPITAL MGMT	CVGI	S	7,500	16.49	n/a	n/a	300.00	4.0
AO	02/01	BUCK CAPITAL MGMT	EPOC	B	4,000	16.00	n/a	n/a	0.00	0.0
AO	02/01	BUCK CAPITAL MGMT	NPTN	B	500	11.00	n/a	n/a	0.00	0.0

MRI Securities with Trade Activity on 2-Feb.

MTW

MRI Securities without Trade Activity on 2-Feb.

HSP, ALV, LEA

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

T-Date = 5%

YTD = 4%

<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)