



Daily Compliance Activity Report

Trade Date: 07/28/2010

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	ADM	C	30,000	27.90	n/a	22-Jun	1,500.00	5.0
CAMBIAR CAP	046	ADM	S	50,000	27.76	n/a	22-Jun	2,000.00	4.0
B BUCK CAPITAL MGMT		ANN	B	10,000	16.47	n/a	n/a	non-brg	4.0
CAMBIAR CAP	046	APA	S	20,000	94.54	n/a	21-Jul	800.00	4.0
B BUCK CAPITAL MGMT		ARO	S	100,000	28.88	n/a	9-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		ARO	S	100,000	28.88	n/a	9-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		ARO	S	100,000	29.25	n/a	9-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		ARO	S	150,000	29.45	n/a	9-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		ARO	S	50,000	29.47	n/a	9-Jul	non-brg	0.8
EXIS CAPITAL	044	ARO	SS	2,500	29.80	n/a	9-Jul	125.00	5.0
SIGMA CAPITAL ASSOCIATES	041	ARO	SS	25,000	28.80	n/a	9-Jul	875.00	3.5
NEUBERGER BERMAN	036	ASTE	S	11,600	30.65	n/a	n/a	464.00	4.0
B BUCK CAPITAL MGMT		AVY	S	20,000	36.94	n/a	28-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		AVY	S	30,000	37.06	n/a	28-Jul	non-brg	4.0
1798 CAP/LOMBARD ASSET	040	AWI	S	17,000	35.51	n/a	n/a	850.00	5.0
MERRILL ASSET/BLACKROCK	266	BEC	B	5,000	46.00	n/a	n/a	200.00	4.0
B BUCK CAPITAL MGMT		BONT	S	15,000	9.20	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		BONT	S	5,300	9.18	n/a	n/a	non-brg	0.8
SONTERRA CAP	041	BP	S	20,000	37.75	n/a	n/a	800.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FIRST NEW YORK LEDDY	035	BSX	S	20,000	5.82	n/a	n/a	800.00	4.0
B BUCK CAPITAL MGMT		BUCY	SS	10,000	59.67	n/a	26-Jul	non-brg	4.0
BASIX	033	BWA	S	22,000	42.05	n/a	23-Jul	660.00	3.0
Õ Nilsa Vazquez		BWLD	S	125	44.00	n/a	n/a	0.00	0.0
MATRIX ASSET ADV.	036	CCL	S	2,000	34.70	n/a	n/a	80.00	4.0
B BUCK CAPITAL MGMT		CHS	B	50,000	9.34	n/a	5-Feb	non-brg	3.0
NOMURA CAPITAL	029	CMCSK	S	9,443	18.53	n/a	n/a	283.29	3.0
B BUCK CAPITAL MGMT		CRI	S	142,089	26.28	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CRI	S	50,000	26.40	n/a	n/a	non-brg	0.8
EXIS CAPITAL	044	CRI	B	10,000	26.93	n/a	n/a	500.00	5.0
MTB INV ADV	034	CTCT	S	10,375	22.32	n/a	n/a	518.75	5.0
f JOSEPH CIRO AMATURO	FID	CVGI	B	5000	10.17	n/a	n/a	0.00	0.0
f JOEL GIFFORD TISS	FID	CVX	S	2000	75.08	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	C	B	5000	4.15	n/a	19-Jul	0.00	0.0
f MANNY I KORMAN	FID	C	B	5000	4.15	n/a	19-Jul	0.00	0.0
MTB INV ADV	034	DGIT	S	4,150	39.75	n/a	n/a	207.50	5.0
CHILTON CAPITAL MGMT.	036	DHI	SS	100,000	10.71	n/a	n/a	3,000.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	DIN	SS	10,000	38.21	n/a	n/a	400.00	4.0
MERRILL ASSET/BLACKROCK	266	DVA	B	23,600	59.16	n/a	n/a	944.00	4.0
SF SENTRY	085	ENR	SS	7,500	59.71	n/a	28-Jul	375.00	5.0
1798 CAP/LOMBARD ASSET	040	EP	S	55,000	12.64	n/a	n/a	2,750.00	5.0
NCM CAPITAL MGMT	035	ESL	S	12,891	51.41	n/a	n/a	515.64	4.0
ß BUCK CAPITAL MGMT		ETH	SS	10,000	15.78	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	FDO	B	160,000	41.90	n/a	7-Jul	6,400.00	4.0
ß BUCK CAPITAL MGMT		FINL	B	50,000	14.44	n/a	n/a	non-brg	4.0
MILLENIUM PARTNERS	028	F	SS	30,000	12.98	n/a	26-Jul	1,200.00	4.0
ß BUCK CAPITAL MGMT		GCO	B	10,000	27.88	n/a	n/a	non-brg	2.5
Õ Nilsa Vazquez		GWR	B	200	39.38	n/a	n/a	0.00	0.0
OZ MGMT	040	IP	S	75,000	24.40	n/a	28-Jul	2,250.00	3.0
BALYASNY ASSET MGMT	044	JNY	B	25,000	17.06	n/a	19-Jul	1,250.00	5.0
ß BUCK CAPITAL MGMT		JNY	S	125,000	16.92	n/a	19-Jul	non-brg	4.0
ß BUCK CAPITAL MGMT		JNY	S	125,000	17.22	n/a	19-Jul	non-brg	4.0
ß BUCK CAPITAL MGMT		JNY	S	25,000	16.93	n/a	19-Jul	non-brg	4.0
ß BUCK CAPITAL MGMT		JNY	S	25,000	17.11	n/a	19-Jul	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B	BUCK CAPITAL MGMT		JNY	S	50,000	17.29	n/a	19-Jul	non-brg	4.0
B	BUCK CAPITAL MGMT		JNY	S	50,000	17.33	n/a	19-Jul	non-brg	4.0
	EXIS CAPITAL	044	JNY	B	15,000	17.04	n/a	19-Jul	750.00	5.0
	JP MORGAN VENTURES	046	JNY	B	20,000	16.92	n/a	19-Jul	1,000.00	5.0
	BUCK CAPITAL MGMT	001	JWN	B	20,000	33.60	n/a	9-Jul	800.00	4.0
f	MANNY I KORMAN	FID	KO	B	3000	55.10	n/a	22-Jul	0.00	0.0
	NEUBERGER BERMAN	036	LAYN	S	8,800	25.81	n/a	n/a	352.00	4.0
B	BUCK CAPITAL MGMT		LTD	B	20,000	25.57	n/a	n/a	non-brg	4.0
	KLEINHEINZ CAP PART	031	LULU	SS	30,000	40.23	n/a	n/a	1,500.00	5.0
B	BUCK CAPITAL MGMT		LVS	SS	50,000	26.42	n/a	26-Jul	non-brg	4.0
	ROYCE TRADING	012	LVS	B	36,700	26.71	n/a	26-Jul	1,835.00	5.0
Õ	Ravi Sadarangani		LVS	S	100	26.76	n/a	26-Jul	0.00	0.0
	TRELLUS PARTNERS LP	028	LVS	SS	20,000	26.08	n/a	26-Jul	1,000.00	5.0
B	BUCK CAPITAL MGMT		MAC	C	15,000	41.11	n/a	n/a	non-brg	4.0
	CASTLEROCK	040	MGM	B	540,126	11.22	n/a	7-Jul	21,605.04	4.0
	EVERCORE WEALTH MGMT	012	MHS	S	18,550	47.17	n/a	n/a	927.50	5.0
f	KAREN F LEDDY	FID	NEXC	S	9025	0.11	n/a	n/a	0.00	0.0
	WAGONHOUND/NIC	289	PAG	B	12,643	13.70	n/a	23-Jul	505.72	4.0
	COUGAR TRADING	044	PFCB	SS	5,000	43.06	n/a	28-Jul	250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
1798 CAP/LOMBARD ASSET	040	PKG	S	14,000	24.36	n/a	20-Jul	700.00	5.0
B BUCK CAPITAL MGMT		PLCE	S	10,000	45.58	n/a	3-Jun	non-brg	4.0
MERRILL ASSET/BLACKROCK	266	PMC	B	25,000	13.44	n/a	n/a	1,000.00	4.0
CAMBIAR CAP	046	PM	S	50,000	51.27	n/a	n/a	2,000.00	4.0
f MANNY I KORMAN	FID	PM	B	3000	51.09	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	PSS	S	50,000	16.45	n/a	n/a	2,000.00	4.0
KENNEDY CAPITAL	046	PSUN	S	38,764	4.06	n/a	n/a	775.28	2.0
CAMBIAR CAP	046	PTV	S	27,000	31.00	n/a	n/a	1,080.00	4.0
RBC CAPITAL MARKETS	040	PTV	S	2,500	30.98	n/a	n/a	100.00	4.0
EXIS CAPITAL	044	PVH	B	5,000	50.80	n/a	19-Jul	250.00	5.0
LEVIN CAPITAL STRATEGIES	012	PVH	S	15,000	50.60	n/a	19-Jul	450.00	3.0
SYSTEMATIC FINANCIAL MGT	035	PVH	B	5,800	50.57	n/a	19-Jul	174.00	3.0
NEUBERGER BERMAN	036	RBN	S	34,000	23.63	n/a	n/a	1,360.00	4.0
f KAREN F LEDDY	FID	RF	S	2000	7.33	n/a	n/a	0.00	0.0
CAVU CAP ADV	028	RSH	S	20,000	20.21	n/a	n/a	1,000.00	5.0
B BUCK CAPITAL MGMT		SIG	S	20,000	29.95	n/a	n/a	non-brg	4.0
COBALT	041	SJM	S	50,000	62.38	n/a	n/a	2,500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		SKS	SS	50,000	8.21	n/a	n/a	non-brg	3.0
EXIS CAPITAL	044	SKX	B	40,000	35.66	n/a	n/a	2,000.00	5.0
B BUCK CAPITAL MGMT		SPG	C	15,000	89.56	n/a	n/a	non-brg	4.0
f JOSEPH CIRO AMATURO	FID	SRI	S	5761	9.78	n/a	n/a	0.00	0.0
1798 CAP/LOMBARD ASSET	040	SWC	S	50,000	13.13	n/a	n/a	2,500.00	5.0
Õ Nilsa Vazquez		SYMC	B	500	14.70	n/a	n/a	0.00	0.0
S.A.C. HEALTHCARE BOBBY	044	TEVA	S	45,000	48.30	n/a	27-Jul	1,575.00	3.5
f CHRISTOPHER ROBERT C	FID	TLAB	S	500	7.43	n/a	n/a	0.00	0.0
MACKLOWE ASSET MGMT	041	TLB	B	25,000	11.48	n/a	n/a	1,000.00	4.0
B BUCK CAPITAL MGMT		UAUA	S	10,000	24.20	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		WBC	S	10,000	38.63	n/a	28-Jul	non-brg	4.0
WHITE PINE CAPITAL	030	WDR	S	6,400	24.50	n/a	2-Mar	320.00	5.0
PEREGRINE	030	WRC	B	25,000	42.51	n/a	19-Jul	1,000.00	4.0
JP MORGAN VENTURES	046	XRT	SS	10,000	38.28	n/a	n/a	300.00	3.0

TOTAL (Trade Date):

82,357.72

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	07/27	MADISON ST PARTNERS LLC	046	DPZ	B	98,526	13.71	n/a	27-Jul	4926.30 5.0
AO,CXL	07/27	MADISON ST PARTNERS LLC	046	DPZ	B	100,000	13.71	n/a	27-Jul	4000.00 4.0
AO,	07/27	MADISON ST PARTNERS LLC	046	DPZ	B	1,474	13.71	n/a	27-Jul	73.70 5.0
AO,CRT	07/27	TRELLUS PARTNERS LP	028	TIN	B	20,000	22.21	n/a	27-Jul	600.00 3.0
AO,CXL	07/27	TRELLUS PARTNERS LP	028	TIN	B	20,000	22.21	n/a	27-Jul	1000.00 5.0
AO,CRT	07/26	TRELLUS PARTNERS LP	028	TIN	SS	10,000	22.62	n/a	27-Jul	500.00 5.0
AO,CXL	07/26	TRELLUS PARTNERS LP	028	TIN	SS	10,000	22.62	n/a	27-Jul	0.00 0.0

TOTAL (AO, CXL, CRT) :**1,100.00**

TOTAL (Trade Date):

82,357.72

TOTAL (AO, CXL, CRT):

1,100.00

TOTAL (RUN DATE) / NFS:**83,457.72**

MRI Securities with Trade Activity on 28-Jul.

NONE

MRI Securities without Trade Activity on 28-Jul.

LMT, CMI, GLW

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

T-Date = 15%

YTD = 10%

<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)