



Daily Compliance Activity Report

Trade Date: 03/11/2010

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		ABG	B	20,000	13.37	n/a	26-Feb	non-brg	4.0
SIGMA CAPITAL ASSOCIATES	041	ADCT	B	100,000	7.30	n/a	n/a	3,500.00	3.5
CAMBIAR CAP	046	ADM	B	53,325	29.40	n/a	8-Mar	2,133.00	4.0
CENTURION PARTNERS	041	AEO	B	30,000	18.45	n/a	11-Mar	1,200.00	4.0
f JOHN CAREY MAGUIRE	FID	ALKS	B	500	12.37	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	AMTD	B	100,000	18.85	n/a	n/a	3,000.00	3.0
BUCK CAPITAL MGMT	001	ANF	S	130,000	43.07	n/a	5-Mar	5,200.00	4.0
FARALLON CAP MGMT	040	ANW	SS	25,000	27.48	n/a	n/a	1,000.00	4.0
ROYCE TRADING	216	ATVI	S	1,000	11.37	n/a	n/a	50.00	5.0
f EDWARD W WHEELER	FID	AVY	B	3000	32.05	n/a	5-Mar	0.00	0.0
f JASON ERIC COHEN	FID	AVY	B	100	32.47	n/a	5-Mar	0.00	0.0
TROUBH PART	067	AXP	B	25,000	39.79	n/a	11-Mar	1,250.00	5.0
BENCHMARK	025	BG	SS	2,500	60.81	n/a	n/a	100.00	4.0
HIGHBRIDGE CAP	041	BJ	SS	3,117	34.46	n/a	n/a	124.68	4.0
SUN AMERICA ASSET MGMT	030	BKS	S	71,300	20.45	n/a	n/a	2,852.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	BONT	B	13,900	12.72	n/a	n/a	695.00	5.0
SMITH MGMT LLC	029	BZ	S	600,000	5.47	n/a	n/a	24,000.00	4.0
TRELLUS PARTNERS LP	028	BZ	B	35,500	5.48	n/a	n/a	1,065.00	3.0
f CHRISTOPHER ROBERT C	FID	CBK	B	1000	8.01	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		COH	B	10,000	38.41	n/a	21-Jan	non-brg	4.0
DIAMONDBACK CAP MGMT	232	COH	C	15,000	38.27	n/a	21-Jan	750.00	5.0
B BUCK CAPITAL MGMT		CWTR	S	30,000	7.07	n/a	n/a	non-brg	2.5
f MANNY I KORMAN	FID	C	B	40000	4.02	n/a	11-Mar	0.00	0.0
f DAVID GEORGE BUCK	FID	DB	S	1000	71.17	n/a	n/a	0.00	0.0
GALT INVESTMENT	041	DKS	SS	25,000	25.38	n/a	9-Mar	1,250.00	5.0
f MARK DEVEREAUX KAICH	FID	DRC	B	500	31.30	n/a	n/a	0.00	0.0
COUGAR TRADING	044	DVN	S	10,000	72.29	n/a	11-Mar	500.00	5.0
CSL CAPITAL MGMT	039	ES	B	10,000	6.28	n/a	n/a	400.00	4.0
FIRST NEW YORK LEDDY	035	ETFC	B	10,000	1.67	n/a	n/a	600.00	6.0
CATAPULT	040	ETN	S	12,000	71.95	n/a	1-Mar	600.00	5.0
CUMBERLAND	239	EXH	S	5,000	26.00	n/a	10-Mar	200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f ANN M GAULT	FID	FOR	S	400	19.30	n/a	5-Feb	0.00	0.0
f WILLIAM J GAULT	FID	FOR	S	1000	19.26	n/a	5-Feb	0.00	0.0
f WILLIAM J GAULT	FID	FOR	S	3000	19.25	n/a	5-Feb	0.00	0.0
ROARING BLUE LION MGMT	012	GCO	S	10,199	29.05	n/a	n/a	407.96	4.0
ROYCE TRADING	216	GCO	S	5,000	29.00	n/a	n/a	250.00	5.0
f MICHAEL MARRANO	FID	GE	S	600	16.38	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	GIS	B	700	72.13	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		GME	SS	50,000	19.24	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GPS	B	50,000	22.52	n/a	n/a	non-brg	4.0
f ROBERT M DANIELS	FID	GSI	B	250	4.46	n/a	n/a	0.00	0.0
f ROBERT M DANIELS	FID	GSI	B	250	4.46	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		GYMB	S	10,000	51.39	11-Mar	11-Mar	non-brg	4.0
ß BUCK CAPITAL MGMT		GYMB	S	10,900	51.32	11-Mar	11-Mar	non-brg	0.8
ß BUCK CAPITAL MGMT		GYMB	S	20,000	49.59	11-Mar	11-Mar	non-brg	4.0
ß BUCK CAPITAL MGMT		GYMB	S	25,000	51.10	11-Mar	11-Mar	non-brg	0.8
ß BUCK CAPITAL MGMT		GYMB	S	30,000	50.18	11-Mar	11-Mar	non-brg	0.8
GALT INVESTMENT	041	GYMB	S	35,000	49.52	11-Mar	11-Mar	1,750.00	5.0
METROPOLITAN CAPITAL	044	GYMB	S	15,000	50.91	11-Mar	11-Mar	750.00	5.0
EATON VANCE MGMT	039	HAL	B	566,428	30.63	n/a	n/a	16,992.84	3.0
f ABRAM M CHAPPELL	FID	HK	B	100	21.70	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THOMAS WEISEL ASSET MGMT	035	HNT	B	4,105	24.98	n/a	n/a	123.15	3.0
B BUCK CAPITAL MGMT		IMAX	SS	20,000	16.59	n/a	n/a	non-brg	2.5
f JOHN MICHAEL ZOLIDIS	FID	IMQ	B	10	2.25	n/a	n/a	0.00	0.0
CAXTON PART	040	IP	B	465,799	25.05	n/a	3-Feb	16,302.98	3.5
CATAPULT	040	IR	B	25,000	34.42	n/a	16-Feb	1,250.00	5.0
f JASON ERIC COHEN	FID	IVV	S	40	115.19	n/a	n/a	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	JMBA	B	2000	2.04	n/a	n/a	0.00	0.0
HOTCHKIS & WILEY	035	JNY	S	193,900	18.46	n/a	10-Feb	9,695.00	5.0
f ROBERT M DANIELS	FID	JST	B	200	23.95	n/a	n/a	0.00	0.0
f ABRAM M CHAPPELL	FID	KBH	S	165	17.21	n/a	n/a	0.00	0.0
COOPER CREEK PART	028	KMB	SS	5,000	59.51	n/a	3-Mar	200.00	4.0
GCORE MANAGEMENT	041	KMB	SS	10,000	59.43	n/a	3-Mar	500.00	5.0
f JASON ERIC COHEN	FID	KMT	S	70	29.37	n/a	26-Feb	0.00	0.0
HIGHBRIDGE CAP	041	KR	S	25,000	21.75	n/a	n/a	1,000.00	4.0
FIRST NY SEC/CHRIS	041	KSS	B	10,000	52.91	n/a	5-Mar	500.00	5.0
HIGHBRIDGE CAP	041	KSS	B	9,448	52.96	n/a	5-Mar	377.92	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f DAVID GEORGE BUCK	FID	LLY	S	4000	35.35	n/a	n/a	0.00	0.0
MISSION POINT	048	LMT	S	10,000	81.50	n/a	2-Mar	500.00	5.0
f DAVID GEORGE BUCK	FID	LNCR	S	2000	42.08	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	LQN	S	20	1.05	n/a	n/a	0.00	0.0
f ROBERT M DANIELS	FID	LSI	B	500	5.57	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	MAR	B	1500	28.07	n/a	n/a	0.00	0.0
TRUST CO/COWEN/CALF.	040	MAT	S	247,940	22.74	n/a	n/a	9,917.60	4.0
f DAVID GEORGE BUCK	FID	MCK	B	1500	59.72	n/a	n/a	0.00	0.0
f CHRISTOPHER ARTHUR K	FID	MHGC	S	2500	4.97	n/a	n/a	0.00	0.0
f MARK ANTHONY GRONET	FID	MS	B	1000	29.74	n/a	10-Mar	0.00	0.0
f NICOLAS EVAN PAKLER	FID	MS	B	225	29.76	n/a	10-Mar	0.00	0.0
f JOHN BARTMAN COLE	FID	NBRXF	S	750	15.88	n/a	n/a	0.00	0.0
COOPER CREEK PART	028	NP	SS	5,000	17.18	n/a	3-Mar	200.00	4.0
CSL CAPITAL MGMT	039	OIH	B	3,000	125.83	n/a	n/a	150.00	5.0
B BUCK CAPITAL MGMT		PAG	B	20,000	15.47	n/a	22-Feb	non-brg	4.0
GALT INVESTMENT	041	PLCE	B	15,000	42.50	n/a	10-Mar	750.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		PNRA	S	10,000	78.80	n/a	12-Feb	non-brg	4.0
FARALLON CAP MGMT	040	PSYS	B	75,000	29.07	n/a	n/a	3,000.00	4.0
f MARC PAUL LUCHANSKY	FID	RF	B	1000	7.39	n/a	n/a	0.00	0.0
CAXTON PART	040	RKT	S	183,770	43.04	n/a	n/a	6,431.96	3.5
GOLD SACHS SPECIAL SIT	030	RKT	B	25,000	43.05	n/a	n/a	1,250.00	5.0
CSL CAPITAL MGMT	039	SHAW	B	10,000	34.90	n/a	n/a	500.00	5.0
f ANDREW SINCLAIR	FID	SPY	S	20	1.91	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	SPY	B	20	2.03	n/a	n/a	0.00	0.0
HIGHBRIDGE CAP	041	SWY	SS	40,800	24.52	n/a	n/a	1,632.00	4.0
CATAPULT	040	TEX	B	25,000	22.43	n/a	22-Feb	1,250.00	5.0
f MARK DEVEREAUX KAICH	FID	TIVO	B	500	16.21	n/a	n/a	0.00	0.0
f JOHN BARTMAN COLE	FID	TMBCF	B	3000	1.39	n/a	n/a	0.00	0.0
f ABRAM M CHAPPELL	FID	TOL	S	80	20.01	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	TUP	S	44,395	47.54	n/a	n/a	1,775.80	4.0
FARALLON CAP MGMT	040	WAB	B	34,630	41.72	n/a	n/a	1,385.20	4.0
NCM CAPITAL MGMT	098	WAG	B	20,922	33.69	n/a	n/a	836.88	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GREEN ARROW DOUG	040	WEN	B	50,000	4.79	n/a	5-Mar	2,500.00	5.0
f DAVID GEORGE BUCK	FID	WLP	B	1500	63.00	n/a	n/a	0.00	0.0
f COLE THOMAS KAICHER	FID	WNC	B	405	5.28	n/a	n/a	0.00	0.0
GALT INVESTMENT	041	WRC	B	10,000	47.04	n/a	2-Mar	500.00	5.0
SCHOTTENFELD ASSOC	041	WY	B	30,000	43.43	n/a	24-Feb	900.00	3.0
CSL CAPITAL MGMT	039	XOM	B	2,000	67.20	n/a	n/a	100.00	5.0
f MICHAEL MARRANO	FID	XOM	S	100	67.30	n/a	n/a	0.00	0.0
f JOHN BARTMAN COLE	FID	ZLC	B	1000	3.04	n/a	n/a	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	ZLC	B	3000	2.98	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	ZLC	B	1500	3.09	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								134,148.97	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	03/10	GALT INVESTMENT	041	AEO	SS	50,000	18.11	n/a	11-Mar	2000.00 4.0
AO,CXL	03/10	GALT INVESTMENT	041	AEO	SS	50,000	18.11	n/a	11-Mar	2500.00 5.0
AO,	03/10	COLUMBUS CIRCLE	036	PLCE	B	20,132	42.68	n/a	10-Mar	805.28 4.0
AO,CXL	03/10	THIRD COAST CAPITAL	035	ZLC	B	70,000	3.19	n/a	n/a	3500.00 5.0
AO,CRT	03/10	THIRD COAST CAPITAL	035	ZLC	B	70,000	3.19	n/a	n/a	2100.00 3.0

TOTAL (AO, CXL, CRT) :	-1,094.72
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TOTAL (Trade Date) :	134,148.97
TOTAL (AO, CXL, CRT) :	-1,094.72

TOTAL (RUN DATE) / NFS:	133,054.25
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MRI Securities with Trade Activity on 11-Mar. GYMB
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MRI Securities without Trade Activity on 11-Mar. CHTT

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

T-Date = 36%

YTD = 17%

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)