



Daily Compliance Activity Report

Trade Date: 08/05/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EXIS CAPITAL	044	AEO	B	135,000	12.66	n/a	29-Jul	6,750.00	5.0
METROPOLITAN CAPITAL	044	AEO	S	23,800	12.76	n/a	29-Jul	1,190.00	5.0
B BUCK CAPITAL MGMT		ANF	B	10,000	38.83	n/a	29-Jul	non-brg	4.0
EXIS CAPITAL	044	ANF	SS	17,500	39.43	n/a	29-Jul	875.00	5.0
BUCK CAPITAL MGMT	001	ARO	B	50,000	25.45	n/a	29-Jul	2,000.00	4.0
B BUCK CAPITAL MGMT		ARO	B	50,000	24.86	n/a	29-Jul	non-brg	0.8
B BUCK CAPITAL MGMT		ARO	B	50,000	25.51	n/a	29-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		ARO	B	70,000	25.89	n/a	29-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		ARO	B	70,000	26.11	n/a	29-Jul	non-brg	4.0
NEUBERGER BERMAN	036	ASTE	S	6,900	30.89	n/a	n/a	276.00	4.0
f BRIAN FRANCIS KEALOH	FID	AXL	S	921	10.02	n/a	4-Aug	0.00	0.0
f WILLIAM WEINBERG	FID	BDE	B	5000	6.79	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BEBE	B	20,000	6.00	n/a	n/a	non-brg	2.5
LEVIN CAPITAL STRATEGIES	012	BIG	C	49,627	32.26	n/a	5-Aug	1,488.81	3.0
B BUCK CAPITAL MGMT		BWS	B	20,700	14.67	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		BWS	B	50,000	14.66	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		BX	B	1,200	11.55	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BX	B	2,600	11.55	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		BX	B	3,800	11.55	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		BX	B	34,500	11.55	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		BX	B	900	11.55	n/a	n/a	non-brg	4.0
COOPER CREEK PART	028	BZ	B	10,000	6.10	n/a	n/a	300.00	3.0
LISTED ERR	099	BZ	B	52,100	6.10	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		CAR	B	30,000	11.05	n/a	n/a	non-brg	4.0
1798 CAP/LOMBARD ASSET	040	CLF	B	16,000	61.75	n/a	n/a	800.00	5.0
BNP PARIBAS SEC	040	CMI	S	10,000	81.58	n/a	28-Jul	400.00	4.0
RAINIER INV MGMT	035	CNK	B	32,360	15.97	n/a	n/a	1,294.40	4.0
⌘ BUCK CAPITAL MGMT		CNW	B	15,000	29.54	n/a	n/a	non-brg	0.8
⌘ BUCK CAPITAL MGMT		CNW	B	5,000	29.83	n/a	n/a	non-brg	4.0
CASTLEROCK	040	COH	B	76,947	38.71	n/a	4-Aug	3,077.88	4.0
f KAREN F LEDDY	FID	CPN	S	1000	13.45	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		CROX	S	30,000	12.80	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		CROX	S	50,000	13.82	n/a	n/a	non-brg	0.8
BNP PARIBAS SEC	040	CSX	S	10,000	54.26	n/a	n/a	400.00	4.0
f DAVID GEORGE BUCK	FID	CS	S	1000	47.91	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	CVGI	B	150	10.84	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER O'NEILL ASSET	031	C	B	50,000	4.09	n/a	19-Jul	1,500.00	3.0
B BUCK CAPITAL MGMT		DBRN	B	10,000	23.38	n/a	n/a	non-brg	4.0
BNP PARIBAS SEC	040	DHR	S	15,000	39.44	n/a	n/a	600.00	4.0
B BUCK CAPITAL MGMT		DIN	C	10,000	33.84	n/a	n/a	non-brg	4.0
BNP PARIBAS SEC	040	DOV	S	10,000	49.14	n/a	n/a	400.00	4.0
GREEN ARROW DOUG	040	DPZ	SS	35,000	12.80	n/a	27-Jul	1,750.00	5.0
MELLON/BANK OF NEW YORK	046	EMC	S	38,000	20.70	n/a	n/a	1,900.00	5.0
B BUCK CAPITAL MGMT		FINL	B	50,000	13.78	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		FOR	B	14,013	15.13	n/a	5-Aug	non-brg	2.5
B BUCK CAPITAL MGMT		FOR	B	14,013	15.13	n/a	5-Aug	non-brg	2.5
B BUCK CAPITAL MGMT		FOR	B	987	14.98	n/a	5-Aug	non-brg	2.5
B BUCK CAPITAL MGMT		FOR	B	987	14.98	n/a	5-Aug	non-brg	2.5
f CHRISTOPHER ROBERT C	FID	FOR	B	300	15.23	n/a	5-Aug	0.00	0.0
OZ MGMT	040	F	S	97,722	12.95	n/a	4-Aug	2,931.66	3.0
SCOPUS FUND	041	F	B	50,000	12.96	n/a	4-Aug	2,500.00	5.0
GOLD SACHS SPECIAL SIT	030	GCA	B	100,000	3.92	n/a	n/a	3,000.00	3.0
FARALLON CAP MGMT	040	GENZ	B	59,000	69.35	n/a	n/a	2,360.00	4.0
f CHRISTOPHER ROBERT C	FID	GIL	B	150	31.24	n/a	19-Jul	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		GMAN	B	65,000	11.00	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		GMAN	S	65,000	11.13	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		GPS	SS	20,000	18.45	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GYMB	B	10,000	42.37	n/a	5-Aug	non-brg	4.0
METROPOLITAN CAPITAL	044	GYMB	B	7,200	43.06	n/a	5-Aug	360.00	5.0
GREEN ARROW DOUG	040	HD	SS	15,000	28.51	n/a	20-Jul	750.00	5.0
f HARALAMBOS EFSTATHI	FID	HGG	S	500	23.93	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		HOTT	S	130,000	5.01	n/a	n/a	non-brg	3.0
KLEINHEINZ CAP PART	031	HOTT	B	50,000	5.02	n/a	n/a	2,500.00	5.0
WATERFRONT CAP	028	HTZ	S	100,000	10.57	n/a	n/a	4,000.00	4.0
f KAREN F LEDDY	FID	ICON	S	700	17.13	n/a	n/a	0.00	0.0
f THOMAS JOHN LEDDY	FID	ICON	S	1400	17.13	n/a	n/a	0.00	0.0
f MICHAEL THOMAS NOLAN	FID	IR	S	100	38.15	n/a	26-Jul	0.00	0.0
BNP PARIBAS SEC	040	ITW	S	15,000	45.69	n/a	30-Jul	600.00	4.0
MELLON/BANK OF NEW YORK	046	JNJ	S	10,900	59.72	n/a	n/a	545.00	5.0
BASIX	033	JOYG	B	17,000	60.89	n/a	4-Jun	510.00	3.0
BUTTE CAPITAL MGMT LLC	084	JOYG	B	10,000	61.01	n/a	4-Jun	500.00	5.0
Õ Nilsa Vazquez		KLIC	S	400	7.72	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	LAYN	S	6,300	25.77	n/a	n/a	252.00	4.0
GREEN ARROW DOUG	040	LOW	S	10,000	20.62	n/a	17-May	500.00	5.0
B BUCK CAPITAL MGMT		LTD	B	20,000	25.78	n/a	n/a	non-brg	4.0
TRELLUS PARTNERS LP	028	LVS	SS	20,000	29.19	n/a	2-Aug	1,000.00	5.0
CATAPULT	040	MAS	B	7,000	10.72	n/a	n/a	350.00	5.0
KACELA CAPITAL	034	MCD	B	25,000	70.14	n/a	5-Aug	1,000.00	4.0
f ABRAM M CHAPPELL	FID	MEAS	B	120	16.99	n/a	n/a	0.00	0.0
DISCIPLINED GROWTH INV.	030	MIDD	B	10,500	60.40	n/a	14-May	525.00	5.0
MELLON/BANK OF NEW YORK	046	MNTA	B	12,000	17.99	n/a	n/a	600.00	5.0
B BUCK CAPITAL MGMT		MON	S	60,900	61.88	n/a	1-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		NILE	C	13,200	41.50	n/a	n/a	non-brg	0.8
NUMERIC	060	NOC	S	105,500	59.36	n/a	30-Jul	3,165.00	3.0
BNP PARIBAS SEC	040	PCP	S	5,000	125.12	n/a	23-Jul	200.00	4.0
MELLON/BANK OF NEW YORK	046	PFE	B	13,000	16.11	n/a	n/a	650.00	5.0
B BUCK CAPITAL MGMT		PLCE	B	30,000	41.54	n/a	29-Jul	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WEINTRAUB CAPITAL MGT.	040	PLCE	B	4,000	41.25	n/a	29-Jul	160.00	4.0
CASTLEROCK	040	PVH	B	27,578	53.10	n/a	19-Jul	1,103.12	4.0
EXIS CAPITAL	044	PVH	B	3,830	53.00	n/a	19-Jul	191.50	5.0
f DAVID GEORGE BUCK	FID	RAH	S	1000	56.41	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	RBN	S	26,100	24.27	n/a	n/a	1,044.00	4.0
f HARALAMBOS EFSTATHI	FID	RIMM	S	200	52.30	n/a	n/a	0.00	0.0
BNP PARIBAS SEC	040	ROK	S	10,000	56.19	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		ROST	B	20,000	50.67	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	RYN	B	1200	48.95	n/a	19-Jul	0.00	0.0
RESERVOIR CAPITAL GROUP LLC	212	SAH	B	10,100	9.70	n/a	n/a	303.00	3.0
f EDWARD W WHEELER	FID	SHS	S	4300	16.63	n/a	n/a	0.00	0.0
GREEN ARROW DOUG	040	SKS	SS	35,000	8.64	n/a	n/a	1,750.00	5.0
EXIS CAPITAL	044	SKX	B	10,000	33.50	n/a	n/a	500.00	5.0
KACELA CAPITAL	034	SLB	B	28,000	63.09	n/a	n/a	1,120.00	4.0
f DAVID GEORGE BUCK	FID	SPG	B	500	93.41	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	SRI	S	2900	11.30	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ELM RIDGE ADVISORS	044	TIN	B	86,200	20.00	n/a	27-Jul	3,448.00	4.0
EXIS CAPITAL	044	TJX	SS	5,000	42.10	n/a	29-Jul	250.00	5.0
FARALLON CAP MGMT	040	VIAB	B	50,000	33.88	n/a	n/a	2,000.00	4.0
f ABRAM M CHAPPELL	FID	VTNC	B	105	9.53	n/a	n/a	0.00	0.0
EXIS CAPITAL	044	WRC	B	15,000	43.22	n/a	19-Jul	750.00	5.0
LEVEL GLOBAL SHARED ACCT	257	WRC	S	50,000	43.32	n/a	19-Jul	1,500.00	3.0
SCOUT/UMB	047	WRC	B	23,700	43.48	n/a	19-Jul	1,185.00	5.0
ROSEDALE CAPITAL	046	XOM	S	15,000	62.40	n/a	n/a	750.00	5.0
1798 CAP/LOMBARD ASSET	040	XRX	S	45,000	9.56	n/a	n/a	1,800.00	4.0
TOTAL (Trade Date) :								72,055.37	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	08/04	RESERVOIR CAPITAL GROUP LLC	038	SAH	B	30,300	9.76	n/a	n/a	909.00 3.0
AO,CXL	08/04	RESERVOIR CAPITAL GROUP LLC	038	SAH	B	30,300	9.76	n/a	n/a	1212.00 4.0
AO,	08/04	FARALLON CAP MGMT	040	VRSK	S	600	29.50	n/a	n/a	18.00 3.0
AO,CRT	08/04	FARALLON CAP MGMT	040	VRSK	S	6,635	29.50	n/a	n/a	199.05 3.0
AO,CXL	08/04	FARALLON CAP MGMT	040	VRSK	S	7,235	29.50	n/a	n/a	217.05 3.0
AO,CRT	08/04	JMP ASSET MGMT	210	WTW	SS	6,400	27.79	n/a	n/a	320.00 5.0
AO,CXL	08/04	JMP ASSET MGMT	210	WTW	SS	6,400	27.79	n/a	n/a	0.00 0.0
TOTAL (AO, CXL, CRT) :										17.00

TOTAL (Trade Date) :	72,055.37
TOTAL (AO, CXL, CRT) :	17.00

TOTAL (RUN DATE) / NFS :	72,072.37
---------------------------------	------------------

MRI Securities with Trade Activity on 5-Aug. NONE
--

MRI Securities without Trade Activity on 5-Aug. NONE

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)