



Daily Compliance Activity Report

Trade Date: 03/24/2010

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	13.97	n/a	26-Feb	non-brg	4.0
BNP PARIBAS SEC	040	ACV	SS	5,000	26.60	n/a	3-Mar	200.00	4.0
ADAGE CAPITAL MGMT	030	ADM	B	15,000	28.34	n/a	22-Mar	450.00	3.0
RBC CAPITAL MARKETS	040	ADM	B	25,000	28.66	n/a	22-Mar	1,000.00	4.0
THOMAS WEISEL ASSET MGMT	035	AGP	B	5,373	33.38	n/a	n/a	161.19	3.0
HARBORWATCH/DIAMBACK	232	ASH	B	10,000	53.26	n/a	11-Mar	500.00	5.0
B BUCK CAPITAL MGMT		ATVI	B	160,000	11.91	n/a	n/a	non-brg	4.0
f CICYLY S BACKUS	FID	AXL	S	1000	11.10	n/a	8-Feb	0.00	0.0
f LEE F BACKUS	FID	AXL	S	1000	11.10	n/a	8-Feb	0.00	0.0
ROSEDALE CAPITAL	046	AXL	S	10,000	11.26	n/a	8-Feb	500.00	5.0
CHILTON CAPITAL MGMT.	036	BAC	B	250,000	17.70	n/a	15-Mar	7,500.00	3.0
HOLDEN CAPITAL MGMT	035	BKC	SS	50,000	20.38	n/a	9-Mar	2,500.00	5.0
f JOHN MICHAEL ZOLIDIS	FID	BKRS	B	5000	1.55	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BLK	B	6,400	225.29	n/a	n/a	non-brg	4.0
CHART WELL ADV	028	BMC	S	36,200	38.73	n/a	n/a	1,448.00	4.0
f JONATHAN RICHARD HAR	FID	BONT	B	535	12.30	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RAINIER INV MGMT	035	BCY	B	172,030	68.19	n/a	22-Feb	6,881.20	4.0
f KAREN F LEDDY	FID	BWS	S	500	15.40	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BYD	SS	50,000	9.67	n/a	n/a	non-brg	3.0
f STEFFANIE CARMELA CA	FID	CAAS	B	100	22.28	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	CAG	S	600	26.02	n/a	n/a	30.00	5.0
B BUCK CAPITAL MGMT		CAKE	S	80,000	27.54	n/a	12-Feb	non-brg	4.0
B BUCK CAPITAL MGMT		CALX	B	2,000	13.00	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		CALX	S	2,000	16.70	n/a	n/a	non-brg	4.0
GCORE MANAGEMENT	041	CAT	SS	3,000	61.84	n/a	28-Jan	150.00	5.0
PATTEN & PATTEN	067	COP	S	400	52.56	n/a	n/a	20.00	5.0
f BERNA GABRIELLE BARS	FID	COWN	B	2000	5.27	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	C	B	20000	4.12	n/a	16-Mar	0.00	0.0
SANDLER O'NEILL ASSET	031	C	S	150,000	4.15	n/a	16-Mar	3,000.00	2.0
f MARC PAUL LUCHANSKY	FID	DD	B	500	38.75	n/a	24-Mar	0.00	0.0
B BUCK CAPITAL MGMT		DLTR	S	40,000	59.47	n/a	24-Feb	non-brg	4.0
SAC COHEN	044	EAT	B	250,000	20.49	n/a	n/a	8,750.00	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f SCOTT L BRUNNER	FID	FAZ	S	1000	13.46	n/a	n/a	0.00	0.0
f SCOTT L BRUNNER	FID	FAZ	S	4000	13.48	n/a	n/a	0.00	0.0
VISIUM/BALY BOBBY	044	FL	B	25,000	14.81	n/a	10-Mar	1,250.00	5.0
f KAREN F LEDDY	FID	FPRS	S	400	49.11	n/a	n/a	0.00	0.0
f LEE F BACKUS	FID	F	S	1000	13.92	n/a	3-Mar	0.00	0.0
TROUBH PART	067	F	SS	100,000	13.78	n/a	3-Mar	5,000.00	5.0
B BUCK CAPITAL MGMT		GCO	S	20,000	30.39	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GES	S	10,000	47.66	n/a	18-Mar	non-brg	4.0
SAC COHEN	044	GME	B	50,000	21.87	n/a	n/a	1,750.00	3.5
B BUCK CAPITAL MGMT		GYMB	S	20,000	52.98	n/a	17-Mar	non-brg	4.0
ADAGE CAPITAL MGMT	030	HAIN	SS	10,000	17.71	n/a	n/a	300.00	3.0
SAC COHEN	044	HD	SS	200,000	32.31	n/a	23-Feb	7,000.00	3.5
SAC COHEN	044	HOG	S	250,000	27.86	n/a	n/a	8,750.00	3.5
THOMPSON SIEGAL&WALMSLEY	029	IP	B	27,200	26.19	n/a	3-Feb	1,088.00	4.0
T. ROWE PRICE	033	JCG	S	65,600	45.09	n/a	n/a	2,624.00	4.0
ADAGE CAPITAL MGMT	030	JCP	B	165,898	33.13	n/a	5-Mar	4,976.94	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	JCP	B	5,000	33.02	n/a	5-Mar	250.00	5.0
B BUCK CAPITAL MGMT		JOSB	S	20,000	51.10	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	067	JWN	S	400	40.69	n/a	5-Mar	20.00	5.0
EXIS CAPITAL	044	KSS	B	10,000	56.48	n/a	5-Mar	500.00	5.0
BASIX	033	LEA	B	17,000	80.26	n/a	8-Feb	510.00	3.0
ISLE RIDGE PARTNERS	041	LEA	B	2,800	80.54	n/a	8-Feb	112.00	4.0
OZ MGMT	040	LEA	B	48,500	80.28	n/a	8-Feb	1,455.00	3.0
B BUCK CAPITAL MGMT		LTD	B	40,000	24.99	n/a	n/a	non-brg	4.0
SENVEST PART	045	LVS	S	20,000	22.08	n/a	23-Mar	1,000.00	5.0
HARBORWATCH/DIAMBACK	232	MEE	S	25,000	52.20	n/a	n/a	1,250.00	5.0
JAT CAPITAL MANAGEMENT	041	MGM	SS	41,700	12.60	n/a	12-Mar	1,668.00	4.0
HOLLIS CAPITAL	033	MS	B	10,000	29.55	n/a	10-Mar	500.00	5.0
BNP PARIBAS SEC	040	MW	SS	5,000	24.72	n/a	n/a	200.00	4.0
B BUCK CAPITAL MGMT		MXL	S	5,000	18.12	n/a	n/a	non-brg	4.0
SAC COHEN	044	M	B	100,000	21.80	n/a	5-Mar	3,500.00	3.5
PATTEN & PATTEN	067	OXY	S	200	82.80	n/a	n/a	10.00	5.0
DSG CAPITAL	225	OZM	S	10,000	14.52	n/a	n/a	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AVESTA CAP	229	PG	S	100,000	63.72	n/a	18-Mar	3,000.00	3.0
SCOPUS FUND	041	PIR	S	20,000	6.70	n/a	n/a	1,000.00	5.0
GEORGE WEISS	034	PM	SS	25,000	51.93	n/a	n/a	1,000.00	4.0
B BUCK CAPITAL MGMT		PNRA	S	18,830	79.01	n/a	12-Feb	non-brg	4.0
B BUCK CAPITAL MGMT		PSS	B	30,000	22.47	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		PSS	B	80,000	22.29	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		PSS	B	80,400	22.49	n/a	n/a	non-brg	4.0
f JASON ERIC COHEN	FID	PST	B	10	0.40	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		PVH	B	20,000	56.40	n/a	23-Mar	non-brg	4.0
f JONATHAN RICHARD HAR	FID	RF	B	258	7.74	n/a	n/a	0.00	0.0
ADAGE CAPITAL MGMT	030	RL	B	73,759	84.75	n/a	23-Mar	2,212.77	3.0
B BUCK CAPITAL MGMT		SAH	B	20,000	12.18	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SIG	B	40,000	28.11	n/a	n/a	non-brg	4.0
EXIS CAPITAL	044	SKS	S	40,000	9.16	n/a	n/a	2,000.00	5.0
f KAREN F LEDDY	FID	SMN	B	1500	7.00	n/a	n/a	0.00	0.0
MELLON/BANK OF NEW YORK	046	SM	S	33,700	34.67	n/a	n/a	1,685.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	SNY	B	500	37.24	n/a	n/a	25.00	5.0
MILLENIUUM PARTNERS	028	SOA	S	20,000	15.67	n/a	n/a	800.00	4.0
EXIS CAPITAL	044	SONC	B	10,100	10.50	n/a	n/a	505.00	5.0
f SCOTT L BRUNNER	FID	SRS	S	5000	5.95	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		TGT	S	20,000	53.21	n/a	22-Mar	non-brg	4.0
B BUCK CAPITAL MGMT		TJX	S	20,000	43.14	n/a	5-Mar	non-brg	4.0
GCORE MANAGEMENT	041	TYC	B	5,000	37.14	n/a	29-Jan	250.00	5.0
B BUCK CAPITAL MGMT		UA	SS	20,000	29.82	n/a	29-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		UBI FP	B	80,000	13.43	n/a	n/a	non-brg	2.0
SCOPUS FUND	041	UTX	SS	20,000	73.14	n/a	n/a	1,000.00	5.0
EXIS CAPITAL	044	VFC	SS	5,000	80.36	n/a	12-Feb	250.00	5.0
f BERNA GABRIELLE BARS	FID	VRML	S	150	29.00	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	V	S	100	88.67	n/a	12-Mar	5.00	5.0
SAC COHEN	044	WAG	B	100,000	35.57	n/a	n/a	3,500.00	3.5
B BUCK CAPITAL MGMT		WRC	S	40,000	45.94	n/a	2-Mar	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BRAZOS	031	WTSLA	B	40,800	4.57	n/a	n/a	1,224.00	3.0
BRAX	031	WTSLA	B	7,400	4.57	n/a	n/a	222.00	3.0
f SCOTT L BRUNNER	FID	ZINC	B	500	12.17	n/a	n/a	0.00	0.0
f SCOTT L BRUNNER	FID	ZINC	B	500	12.18	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								95,883.10	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	03/23	SOLARIS INV MGMT	029	BTI	S	30,000	67.83	n/a	n/a	1500.00 5.0
AO,CXL	03/23	SOLARIS INV MGMT	029	BTI	S	30,000	67.83	n/a	n/a	1500.00 5.0
AO,	03/23	MKT MAKER	099	DLTR	B	100	60.00	n/a	24-Feb	0.00 0.0
AO,CXL	03/23	SOLARIS INV MGMT	029	IGT	B	50,000	17.91	n/a	9-Feb	2500.00 5.0
AO,	03/23	SOLARIS INV MGMT	029	IGT	B	50,000	17.91	n/a	9-Feb	2500.00 5.0
AO,CRT	03/19	MISSION POINT	048	PH	S	2,000	65.91	n/a	20-Jan	100.00 5.0
AO,CXL	03/19	MISSION POINT	048	PH	S	2,000	65.91	n/a	20-Jan	80.00 4.0
AO,CXL	03/23	FIRST NEW YORK NICK	029	Q	S	10,000	5.36	n/a	n/a	500.00 5.0
AO,CRT	03/23	FIRST NEW YORK NICK	029	Q	S	10,000	5.36	n/a	n/a	500.00 5.0
AO,CRT	03/23	GREEN ARROW DOUG	040	SWY	SS	40,000	24.12	n/a	n/a	2000.00 5.0
AO,CXL	03/23	MILLENIUUM PARTNERS	028	SWY	SS	40,000	24.12	n/a	n/a	1600.00 4.0
TOTAL (AO, CXL, CRT) :										420.00
TOTAL (Trade Date):										95,883.10
TOTAL (AO, CXL, CRT):										420.00
TOTAL (RUN DATE) / NFS:										96,303.10

MRI Securities with Trade Activity on 24-Mar.

NONE

MRI Securities without Trade Activity on 24-Mar.

NONE

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

T-Date = 0%

YTD = 15%

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)