



Daily Compliance Activity Report

Trade Date: 08/20/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Michael DiMattia		AKS	B	50	13.21	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		ANF	B	10,000	35.43	n/a	18-Aug	non-brg	4.0
BUCK CAPITAL MGMT		ARO	S	20,000	22.66	n/a	20-Aug	non-brg	0.8
BUCK CAPITAL MGMT		ARO	S	79,271	23.06	n/a	20-Aug	non-brg	4.0
SIGMA CAPITAL ASSOCIATES	041	ARO	B	50,000	23.39	n/a	20-Aug	1,750.00	3.5
BUCK CAPITAL MGMT		ATVI	S	20,000	10.97	n/a	n/a	non-brg	4.0
DAVID GEORGE BUCK	FID	AVB	S	500	103.67	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	AVP	S	20,000	28.92	n/a	30-Jul	800.00	4.0
SLS CAPITAL LLC	224	AXL	B	74,800	8.79	n/a	4-Aug	2,244.00	3.0
BUCK CAPITAL MGMT		BBBY	S	20,000	38.17	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		BEBE	B	30,000	5.94	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT	001	BWS	B	50,000	12.74	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	BYD	B	50,000	7.56	n/a	n/a	1,500.00	3.0
NEUBERGER BERMAN	036	CAM	B	70,020	36.66	n/a	n/a	2,800.80	4.0
OZ MGMT	040	CAT	SS	10,000	69.00	n/a	23-Jul	300.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		COH	B	80,000	36.72	n/a	4-Aug	non-brg	4.0
GOLD SACHS SPECIAL SIT	030	CVGI	B	20,000	9.09	n/a	n/a	1,000.00	5.0
f DAVID GEORGE BUCK	FID	CVX	S	1200	74.61	n/a	n/a	0.00	0.0
DAVIDSON KEMPNER ADVISOR	040	CX	S	150,000	8.42	n/a	n/a	7,500.00	5.0
MILLENIUM PARTNERS	028	DAN	B	25,000	10.79	n/a	2-Aug	1,000.00	4.0
B BUCK CAPITAL MGMT		DBRN	B	50,000	21.89	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DIA	SS	45,000	101.52	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		DKS	SS	20,000	26.33	n/a	19-Aug	non-brg	4.0
HARVEST MGMT	029	DKS	SS	10,000	26.37	n/a	19-Aug	500.00	5.0
SAC CRIB	044	DOV	S	25,000	45.73	n/a	n/a	875.00	3.5
B BUCK CAPITAL MGMT		EXPR	B	20,000	14.45	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		FINL	B	40,000	13.24	n/a	n/a	non-brg	4.0
BALYASNY ASSET MGMT	044	FL	B	30,000	12.90	n/a	20-Aug	1,500.00	5.0
BASIX	033	FL	B	40,000	12.46	n/a	20-Aug	1,200.00	3.0
B BUCK CAPITAL MGMT		FL	B	250,000	12.43	n/a	20-Aug	non-brg	4.0
B BUCK CAPITAL MGMT		FL	B	66,000	12.37	n/a	20-Aug	non-brg	4.0
CONIFER/ISF	025	FL	B	5,000	12.46	n/a	20-Aug	250.00	5.0
PARTNER REINSURANCE	033	FL	B	20,000	12.50	n/a	20-Aug	800.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WEINTRAUB CAPITAL MGT.	040	FL	B	50,000	12.45	n/a	20-Aug	2,000.00	4.0
PROSPECTOR PARTNERS LLC	036	FOR	B	10,000	13.53	n/a	5-Aug	400.00	4.0
B BUCK CAPITAL MGMT		FOSL	B	20,000	43.82	n/a	n/a	non-brg	4.0
AVESTA CAP	229	F	C	500,000	11.73	n/a	4-Aug	15,000.00	3.0
B BUCK CAPITAL MGMT		GCO	B	20,000	25.86	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	GES	S	10,000	38.78	n/a	19-Jul	400.00	4.0
WAGONHOUND/NIC	289	GLW	B	16,359	16.00	n/a	20-Aug	654.36	4.0
EXIS CAPITAL	044	GPS	B	5,000	17.54	n/a	n/a	250.00	5.0
Õ Michael DiMattia		GT	B	50	9.88	n/a	n/a	0.00	0.0
GRANITE CAPITAL	028	HOG	B	15,000	25.07	n/a	n/a	750.00	5.0
SOUTH POINT CAP	067	HOG	B	25,000	25.02	n/a	n/a	1,250.00	5.0
BENNETT LAWRENCE	028	IMAX	B	9,000	13.97	n/a	n/a	360.00	4.0
BMO NESBITT BURNS	041	IP	B	25,000	21.05	n/a	28-Jul	1,250.00	5.0
SIGMA CAP BOBBY	044	IP	B	25,000	21.05	n/a	28-Jul	875.00	3.5
HARRIER HAWK MGMT	028	KFT	SS	27,000	29.11	n/a	n/a	1,080.00	4.0
f JOHN MICHAEL ZOLIDIS	FID	KWS	B	142	11.28	n/a	n/a	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	KWS	B	500	11.28	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⌘ BUCK CAPITAL MGMT		LL	B	10,000	20.24	n/a	n/a	non-brg	4.0
DAVIDSON KEMPNER ADVISOR	040	LPX	B	185,300	6.77	n/a	5-Aug	9,265.00	5.0
T. ROWE PRICE	033	LPX	B	314,900	6.74	n/a	5-Aug	6,298.00	2.0
BENNETT LAWRENCE	028	MDT	SS	1,350	34.46	n/a	n/a	54.00	4.0
⌘ BUCK CAPITAL MGMT		MGM	C	50,000	9.72	n/a	12-Aug	non-brg	3.0
BUCK CAPITAL MGMT	001	MW	B	50,000	18.75	n/a	n/a	2,000.00	4.0
⌘ BUCK CAPITAL MGMT		M	S	80,000	20.49	n/a	12-Aug	non-brg	4.0
⌘ BUCK CAPITAL MGMT		M	S	85,000	20.57	n/a	12-Aug	non-brg	4.0
EXIS CAPITAL	044	M	B	5,000	20.51	n/a	12-Aug	250.00	5.0
CASTLE ARK	031	NTAP	B	120,130	40.38	n/a	n/a	6,006.50	5.0
JP MORGAN VENTURES	046	NWL	B	10,000	15.25	n/a	n/a	500.00	5.0
⌘ BUCK CAPITAL MGMT		PERY	B	10,000	21.78	n/a	n/a	non-brg	2.5
SCOPUS FUND	041	PKG	B	25,000	22.93	n/a	20-Jul	1,250.00	5.0
WHITE PINE CAPITAL	030	Q	S	81,600	5.64	n/a	n/a	4,080.00	5.0
⌘ BUCK CAPITAL MGMT		RL	S	20,000	81.47	n/a	5-Aug	non-brg	4.0
⌘ BUCK CAPITAL MGMT		RVI	S	10,000	9.06	n/a	n/a	non-brg	0.8
⌘ BUCK CAPITAL MGMT		RVI	S	40,000	9.04	n/a	n/a	non-brg	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	SKX	B	10,000	28.11	n/a	n/a	400.00	4.0
Ⓐ BUCK CAPITAL MGMT		SKX	B	20,000	28.09	n/a	n/a	non-brg	4.0
SYSTEMATIC FINANCIAL MGT	035	SKX	B	45,825	28.13	n/a	n/a	1,374.75	3.0
Ⓐ BUCK CAPITAL MGMT		SPY	SS	45,000	106.85	n/a	n/a	non-brg	0.8
CASTLEROCK	040	SSCC	S	75,000	17.85	n/a	3-Aug	3,000.00	4.0
ELM RIDGE ADVISORS	044	SSCC	B	75,000	17.85	n/a	3-Aug	3,000.00	4.0
PAULSON & CO INC	041	SYMC	B	500,000	13.64	n/a	n/a	15,000.00	3.0
Ⓕ DAVID GEORGE BUCK	FID	TGT	S	1000	52.06	n/a	18-Aug	0.00	0.0
SIGMA CAPITAL ASSOCIATES	041	TIF	SS	25,000	42.76	n/a	n/a	875.00	3.5
SIGMA CAP BOBBY	044	TIN	B	30,000	17.03	n/a	27-Jul	1,050.00	3.5
Ⓐ BUCK CAPITAL MGMT		TLB	B	67,000	9.86	n/a	n/a	non-brg	3.0
Ⓐ BUCK CAPITAL MGMT		TRLG	C	20,000	20.40	n/a	n/a	non-brg	2.5
SIGMA CAP BOBBY	044	TYC	SS	67,253	38.44	n/a	18-Aug	2,353.86	3.5
BANK OF AMERICA/MERRILL	259	UPS	SS	5,000	64.71	n/a	n/a	300.00	6.0
Ⓐ BUCK CAPITAL MGMT		URBN	B	10,000	32.96	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	VFC	B	10,000	75.45	n/a	23-Jul	400.00	4.0
Ⓐ BUCK CAPITAL MGMT		V	B	7,500	70.11	n/a	2-Aug	non-brg	0.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		WNC	B	50,000	6.37	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT		XLFX	C	265,000	13.86	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		XRT	SS	240,000	37.18	n/a	n/a	non-brg	2.0
EXIS CAPITAL	044	ZQK	B	100	3.75	n/a	10-May	5.00	5.0
TOTAL (Trade Date):							107,751.27		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/19	&PRO	036	AYE	B	800	22.32	n/a	n/a	32.00 4.0
AO,CRT	08/19	PROSPECTOR PARTNERS LLC	036	AYE	B	800	22.32	n/a	n/a	32.00 4.0
AO,	08/19	LEVEL GLOBAL SHARED ACCT	257	GES	S	100,000	38.74	n/a	19-Jul	3000.00 3.0
AO,CXL	08/18	WEDBUSH/PACIFIC GROWTH EQTY LLC	084	TIN	S	10,000	18.03	n/a	27-Jul	500.00 5.0
AO,	08/18	WEDBUSH/PACIFIC GROWTH EQTY LLC	084	TIN	S	8,899	18.03	n/a	27-Jul	444.95 5.0
AO,CRT	08/18	WEDBUSH/PACIFIC GROWTH EQTY LLC	084	TIN	S	1,101	18.03	n/a	27-Jul	55.05 5.0
AO,CRT	08/19	SIGMA CAP BOBBY	044	TYC	B	20,000	36.98	n/a	18-Aug	700.00 3.5
AO,CXL	08/19	SIGMA CAP BOBBY	044	TYC	B	20,000	36.98	n/a	18-Aug	7000.00 35.0
AO,CXL	08/19	SIGMA CAP BOBBY	044	UTX	SS	10,000	68.65	n/a	n/a	350.00 3.5
AO,CRT	08/19	SIGMA CAP BOBBY	044	UTX	SS	10,000	68.65	n/a	n/a	350.00 3.5
AO,CXL	08/19	SIGMA CAP BOBBY	044	VIAB	B	15,000	32.06	n/a	n/a	525.00 3.5
AO,CRT	08/19	SIGMA CAP BOBBY	044	VIAB	B	15,000	32.06	n/a	n/a	525.00 3.5
AO,CXL	08/19	SIGMA CAP BOBBY	044	VMED	B	25,000	20.37	n/a	n/a	875.00 3.5
AO,CRT	08/19	SIGMA CAP BOBBY	044	VMED	B	25,000	20.37	n/a	n/a	875.00 3.5
TOTAL (AO, CXL, CRT) :										-3,300.00

TOTAL (Trade Date):	107,751.27
TOTAL (AO, CXL, CRT):	-3,300.00

TOTAL (RUN DATE) / NFS:

104,451.27

MRI Securities with Trade Activity on 20-Aug.
NONE

MRI Securities without Trade Activity on 20-Aug.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 12%
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)