



# Daily Compliance Activity Report

Trade Date: 06/03/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>ABT</b>	<b>S</b>	<b>4000</b>	<b>47.74</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EXIS CAPITAL	044	AEO	B	30,000	12.93	n/a	28-May	1,500.00	5.0
TOKIO MARINE ASSET MGMT	045	AGN	B	26,400	60.66	n/a	1-Jun	1,056.00	4.0
EATON VANCE MGMT	048	AMGN	B	3,918	55.53	n/a	n/a	117.54	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>ANF</b>	<b>B</b>	<b>35,000</b>	<b>37.07</b>	<b>n/a</b>	<b>28-May</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>AN</b>	<b>S</b>	<b>100,000</b>	<b>21.40</b>	<b>n/a</b>	<b>23-Apr</b>	<b>non-brg</b>	<b>4.0</b>
JETSTREAM GLOBAL FUND LP	065	AN	B	222,700	21.64	n/a	23-Apr	11,135.00	5.0
ADAGE CAPITAL MGMT	030	AOS	B	25,798	46.55	n/a	20-Apr	773.94	3.0
<b>f ANDREW SINCLAIR</b>	<b>FID</b>	<b>APC</b>	<b>B</b>	<b>26</b>	<b>5.65</b>	<b>n/a</b>	<b>3-Jun</b>	<b>0.00</b>	<b>0.0</b>
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>APC</b>	<b>B</b>	<b>2000</b>	<b>45.68</b>	<b>n/a</b>	<b>3-Jun</b>	<b>0.00</b>	<b>0.0</b>
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>APC</b>	<b>B</b>	<b>3000</b>	<b>44.45</b>	<b>n/a</b>	<b>3-Jun</b>	<b>0.00</b>	<b>0.0</b>
ADAGE CAPITAL MGMT	030	ARO	B	72,400	29.84	n/a	28-May	2,172.00	3.0
EATON VANCE MGMT	048	ATVI	B	267,688	10.92	n/a	n/a	8,030.64	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>BBY</b>	<b>SS</b>	<b>20,000</b>	<b>40.36</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>BHI</b>	<b>B</b>	<b>2000</b>	<b>39.11</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EXIS CAPITAL	044	BONT	B	15,000	12.04	n/a	n/a	750.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEFF MGMT	035	BP	S	4,250	38.20	n/a	n/a	817.50	21.5
BROADARCH CAP/OLD NEWC	070	BYD	SS	6,800	12.81	n/a	n/a	272.00	4.0
PZENA INV ADV	044	CLGX	S	6,525	19.90	n/a	n/a	228.39	3.5
ROSEDALE CAPITAL	046	COG	S	10,000	36.84	n/a	3-Jun	500.00	5.0
ADAGE CAPITAL MGMT	030	COST	S	345,900	57.85	n/a	n/a	10,377.00	3.0
CR INTRINIC INVESTMENT	044	COST	SS	50,000	57.94	n/a	n/a	1,750.00	3.5
TPG-AXON	040	CPB	SS	15,000	36.57	n/a	n/a	750.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>CRI</b>	<b>B</b>	<b>50,000</b>	<b>31.03</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
CAVU CAP ADV	028	CROX	B	25,000	10.60	n/a	n/a	1,250.00	5.0
<b>f ANDREW SINCLAIR</b>	<b>FID</b>	<b>C</b>	<b>B</b>	<b>30</b>	<b>0.29</b>	<b>n/a</b>	<b>21-May</b>	<b>0.00</b>	<b>0.0</b>
SANDLER O'NEILL ASSET	031	C	B	50,000	3.99	n/a	21-May	1,000.00	2.0
<b>B BUCK CAPITAL MGMT</b>		<b>DAN</b>	<b>S</b>	<b>120,700</b>	<b>11.73</b>	<b>n/a</b>	<b>30-Apr</b>	<b>non-brg</b>	<b>2.0</b>
AVESTA CAP	229	DD	SS	200,000	35.34	n/a	22-May	6,000.00	3.0
EXIS CAPITAL	044	DELL	S	25,000	13.67	n/a	n/a	1,250.00	5.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>DPZ</b>	<b>S</b>	<b>500</b>	<b>13.22</b>	<b>n/a</b>	<b>5-May</b>	<b>0.00</b>	<b>0.0</b>
PZENA INV ADV	044	FAF	S	6,525	14.39	n/a	n/a	228.39	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f SCOTT L BRUNNER</b>	<b>FID</b>	<b>FAZ</b>	<b>B</b>	<b>2000</b>	<b>14.56</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ADAGE CAPITAL MGMT	030	FDO	B	64,502	38.57	n/a	3-Jun	1,935.06	3.0
MERCHANTS GATE CAP LP	036	FDX	S	60,000	83.89	n/a	n/a	2,400.00	4.0
EATON VANCE MGMT	048	FITB	B	9,632	13.00	n/a	n/a	288.96	3.0
VISIUM/BALY BOBBY	044	FL	S	25,000	14.92	n/a	21-May	1,250.00	5.0
CR INTRINIC INVESTMENT	044	FRX	S	46,540	25.90	n/a	1-Jun	1,628.90	3.5
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>F</b>	<b>B</b>	<b>630</b>	<b>11.89</b>	<b>n/a</b>	<b>3-Jun</b>	<b>0.00</b>	<b>0.0</b>
OZ MGMT	040	F	SS	360,291	12.05	n/a	3-Jun	10,808.73	3.0
TPG-AXON	040	GIS	SS	7,000	74.89	n/a	n/a	350.00	5.0
<b>f KEVIN MICHAEL O'GORM</b>	<b>FID</b>	<b>GLW</b>	<b>B</b>	<b>2000</b>	<b>16.88</b>	<b>n/a</b>	<b>2-Jun</b>	<b>0.00</b>	<b>0.0</b>
DAVIDSON INV ADV	035	GNA	S	189,620	11.01	n/a	n/a	7,584.80	4.0
SAGE ASSET MGMT	012	GNA	B	10,500	11.00	n/a	n/a	525.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>GPS</b>	<b>B</b>	<b>20,000</b>	<b>22.21</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
EATON VANCE MGMT	048	GS	S	300	143.27	n/a	21-May	9.00	3.0
BANK OF AMERICA/MERRILL	259	GT	B	5,750	11.97	n/a	n/a	230.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>GYMB</b>	<b>B</b>	<b>10,000</b>	<b>45.64</b>	<b>n/a</b>	<b>28-May</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SAGE ASSET MGMT	012	HAL	B	64,800	23.34	n/a	n/a	3,240.00	5.0
CASTLEROCK	040	HD	SS	42,730	33.26	n/a	19-May	1,709.20	4.0
TPG-AXON	040	HNZ	SS	15,000	45.05	n/a	n/a	750.00	5.0
HOTCHKIS & WILEY	035	HOC	B	208,900	25.77	n/a	n/a	10,445.00	5.0
BROADARCH CAP/OLD NEWC	070	HPQ	B	2,000	47.39	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	IGT	S	5,100	19.76	n/a	23-Apr	204.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>IMAX</b>	<b>SS</b>	<b>10,000</b>	<b>16.41</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BNP PARIBAS SEC	040	IP	S	7,500	23.41	n/a	29-Apr	300.00	4.0
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>IVN</b>	<b>B</b>	<b>3000</b>	<b>14.32</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JBLU</b>	<b>S</b>	<b>30,000</b>	<b>6.52</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
EXIS CAPITAL	044	JNY	B	13,200	19.07	n/a	14-May	660.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>JOSE</b>	<b>B</b>	<b>15,000</b>	<b>61.60</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
MILLENNIUM-ANDEW	031	JOYG	S	15,000	56.34	n/a	18-May	900.00	6.0
<b>B BUCK CAPITAL MGMT</b>		<b>JWN</b>	<b>B</b>	<b>150,000</b>	<b>38.68</b>	<b>n/a</b>	<b>28-May</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JWN</b>	<b>B</b>	<b>26,100</b>	<b>38.61</b>	<b>n/a</b>	<b>28-May</b>	<b>non-brg</b>	<b>4.0</b>
EXIS CAPITAL	044	JWN	B	5,000	39.04	n/a	28-May	250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BROADARCH CAP/OLD NEWC	070	KLAC	B	4,600	31.36	n/a	n/a	184.00	4.0
TPG-AXON	040	K	SS	12,000	55.00	n/a	n/a	600.00	5.0
NEUBERGER BERMAN	036	LANC	B	8,500	54.88	n/a	n/a	340.00	4.0
ENTRUST CAPITAL	040	LEA	B	19,000	69.41	n/a	7-May	950.00	5.0
TRELLUS PARTNERS LP	028	LEA	B	400	69.25	n/a	7-May	20.00	5.0
EMERSON CAPITAL MGMT	048	LINE	B	11,000	25.79	n/a	n/a	550.00	5.0
BMO NESBITT BURNS	041	LPX	SS	25,000	8.14	n/a	11-May	1,250.00	5.0
BROADARCH CAP/OLD NEWC	070	LVS	S	9,400	24.55	n/a	1-Jun	376.00	4.0
EATON VANCE MGMT	048	MET	B	3,469	41.58	n/a	n/a	104.07	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MFB</b>	<b>B</b>	<b>17,500</b>	<b>23.01</b>	<b>n/a</b>	<b>n/a</b>	<b>700.00</b>	<b>4.0</b>
CAVU CAP ADV	028	MMM	B	39,320	78.02	n/a	10-May	1,966.00	5.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>MON</b>	<b>B</b>	<b>4000</b>	<b>50.76</b>	<b>n/a</b>	<b>28-May</b>	<b>0.00</b>	<b>0.0</b>
BANK OF AMERICA/MERRILL	259	MO	S	20,000	20.43	n/a	n/a	800.00	4.0
CIRCLE T/SES PART	035	MPXL	S	25,000	4.42	n/a	1-Jun	750.00	3.0
DELTEC ASSET MGMT.	040	MTW	B	110,000	11.94	n/a	30-Apr	4,400.00	4.0
SAXON WOODS ADVISORS	242	MWJ	B	10,000	33.67	n/a	n/a	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FEDERATED INV/KAUFMAN	029	MWW	S	44,798	15.00	n/a	n/a	2,463.90	5.5
EXIS CAPITAL	044	M	B	20,000	22.47	n/a	28-May	1,000.00	5.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>NFX</b>	<b>S</b>	<b>150</b>	<b>51.34</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BANK OF AMERICA/MERRILL	259	NSC	B	1,500	57.29	n/a	n/a	60.00	4.0
SIGMA CAPITAL ASSOCIATES	041	ODP	B	57,000	5.60	n/a	n/a	1,995.00	3.5
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>OII</b>	<b>B</b>	<b>2000</b>	<b>43.82</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CIRCLE T/SES PART	035	PAG	B	20,000	13.20	n/a	3-May	800.00	4.0
<b>f KEVIN MICHAEL O'GORM</b>	<b>FID</b>	<b>PBCT</b>	<b>B</b>	<b>3000</b>	<b>13.94</b>	<b>n/a</b>	<b>25-May</b>	<b>0.00</b>	<b>0.0</b>
ROSEDALE CAPITAL	046	PBCT	B	20,000	13.95	n/a	25-May	800.00	4.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>PCAR</b>	<b>B</b>	<b>200</b>	<b>42.49</b>	<b>n/a</b>	<b>30-Apr</b>	<b>0.00</b>	<b>0.0</b>
GOLD SACHS SPECIAL SIT	030	PLCE	S	37,200	49.04	n/a	3-Jun	1,860.00	5.0
EATON VANCE MGMT	048	PRU	S	500	59.94	n/a	n/a	15.00	3.0
SYSTEMATIC FINANCIAL MGT	035	PRXL	S	100,000	21.93	n/a	n/a	3,000.00	3.0
BROADARCH CAP/OLD NEWC	070	QCOM	B	2,800	36.44	n/a	n/a	112.00	4.0
TRUST CO/COWEN/CALF.	040	Q	S	1,176,940	5.28	n/a	n/a	47,077.60	4.0
BROADARCH CAP/OLD NEWC	070	RCL	S	2,500	30.49	n/a	n/a	100.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAVU CAP ADV	028	RDC	B	11,617	23.33	n/a	n/a	580.85	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>SAH</b>	<b>S</b>	<b>50,000</b>	<b>9.68</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>SLM</b>	<b>B</b>	<b>30000</b>	<b>11.47</b>	<b>n/a</b>	<b>2-Jun</b>	<b>0.00</b>	<b>0.0</b>
BROADARCH CAP/OLD NEWC	070	S	B	24,600	5.05	n/a	n/a	984.00	4.0
BANK OF AMERICA/MERRILL	259	TEX	S	2,250	22.71	n/a	30-Apr	90.00	4.0
EXIS CAPITAL	044	TGT	SS	5,000	54.25	n/a	3-Jun	250.00	5.0
SENATOR INVESTMENT GROUP	036	TIN	B	20,000	20.02	n/a	21-Apr	600.00	3.0
EXIS CAPITAL	044	TJX	B	5,000	46.99	n/a	28-May	250.00	5.0
EXIS CAPITAL	044	TJX	SS	5,000	46.42	n/a	28-May	250.00	5.0
COUGAR TRADING	044	TM	B	5,000	73.10	n/a	n/a	250.00	5.0
TOKIO MARINE ASSET MGMT	045	TRGT	B	14,400	22.32	n/a	n/a	576.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>TRLG</b>	<b>SS</b>	<b>20,000</b>	<b>26.76</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>TSCO</b>	<b>SS</b>	<b>10,000</b>	<b>68.62</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>f JODY YEN</b>	<b>FID</b>	<b>TWC</b>	<b>S</b>	<b>16</b>	<b>55.46</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>UAUA</b>	<b>S</b>	<b>20,000</b>	<b>22.22</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
EXIS CAPITAL	044	UA	B	15,000	34.13	n/a	28-Apr	750.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>UNG</b>	<b>B</b>	<b>2000</b>	<b>8.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MERCHANTS GATE CAP LP	036	UPS	B	80,000	62.86	n/a	n/a	3,200.00	4.0
EATON VANCE MGMT	048	WFC	S	800	28.90	n/a	21-May	24.00	3.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>WNC</b>	<b>S</b>	<b>1000</b>	<b>7.31</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EXIS CAPITAL	044	WRC	B	5,000	40.39	n/a	14-May	250.00	5.0
BROADARCH CAP/OLD NEWC	070	WYNN	B	1,800	84.08	n/a	1-Jun	72.00	4.0
RBC CAPITAL MARKETS	040	WY	SS	15,000	41.86	n/a	27-May	600.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>XRT</b>	<b>C</b>	<b>240,000</b>	<b>40.63</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
KLEINHEINZ CAP PART	031	YUM	B	75,000	42.03	n/a	15-Apr	3,750.00	5.0
<b>f HARALAMBOS EFSTATHI</b>	<b>FID</b>	<b>ZQK</b>	<b>S</b>	<b>3000</b>	<b>4.60</b>	<b>n/a</b>	<b>10-May</b>	<b>0.00</b>	<b>0.0</b>
<b>TOTAL (Trade Date) :</b>							<b>180,657.47</b>		



**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	06/02	SHUMWAY CAPITAL	029	AEO	B	26,500	12.55	n/a	28-May	1060.00 4.0
AO,CXL	06/02	CAVU CAP ADV	028	F	S	50,000	11.75	n/a	3-Jun	2500.00 5.0
AO,CRT	06/02	CAVU CAP ADV	028	F	S	50,000	11.75	n/a	3-Jun	2500.00 5.0
AO,CRT	06/02	CONIFER/ISF	025	IBM	S	2,200	127.02	n/a	n/a	88.00 4.0
AO,CXL	06/02	CONIFER/ISF	025	IBM	S	2,200	127.02	n/a	n/a	110.00 5.0
AO,CRT	06/02	CIRCLE T/SES PART	035	MPEL	S	35,000	4.31	n/a	1-Jun	1050.00 3.0
AO,CXL	06/02	CIRCLE T/SES PART	035	MPEL	S	35,000	4.31	n/a	1-Jun	1400.00 4.0
AO,CRT	06/02	SCOPUS FUND	041	RL	B	20,000	84.48	n/a	20-May	1000.00 5.0
AO,CXL	06/02	SCOPUS FUND	041	RL	B	20,000	84.48	n/a	20-May	1000.00 5.0
AO,CXL	06/02	SCOPUS FUND	041	WMT	B	40,000	51.35	n/a	19-May	2000.00 5.0
AO,CRT	06/02	SCOPUS FUND	041	WMT	B	40,000	51.35	n/a	19-May	2000.00 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>688.00</b>
TOTAL (Trade Date):										180,657.47
TOTAL (AO, CXL, CRT):										688.00
<b>TOTAL (RUN DATE) / NFS:</b>										<b>181,345.47</b>

MRI Securities with Trade Activity on 3-Jun.

NONE

MRI Securities without Trade Activity on 3-Jun.

NONE

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

T-Date = 2%

YTD = 8%

**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)**