



Daily Compliance Activity Report

Trade Date: 01/12/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SACC-SCHWARTZ	044	AA	B	50,000	15.85	n/a	n/a	2,000.00	4.0
CRAMER ROSENTHAL/SCOTT	012	ACM	B	35,000	29.53	n/a	n/a	1,400.00	4.0
f MANNY I KORMAN	FID	ADI	S	3000	30.45	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	ADPT	B	10000	3.31	n/a	n/a	0.00	0.0
JP MORGAN VENTURES	046	AFCE	B	35,000	8.08	n/a	n/a	1,050.00	3.0
ETON PARK CAPITAL	041	ASBC	S	250,000	11.75	n/a	n/a	10,000.00	4.0
NEUBERGER BERMAN	036	AVP	B	69,600	31.46	12-Jan	12-Jan	2,784.00	4.0
f MARC PAUL LUCHANSKY	FID	AXL	S	1000	9.65	n/a	4-Jan	0.00	0.0
LEVIN CAPITAL STRATEGIES	012	BEN	C	15,000	111.49	n/a	12-Jan	600.00	4.0
GLENHILL CAPITAL	212	BRCD	B	300,000	7.94	n/a	n/a	15,000.00	5.0
RBC CAPITAL MARKETS	040	CHS	B	10,000	13.89	n/a	n/a	400.00	4.0
f FRANCIS MICHAEL MCCA	FID	CIT	B	300	33.38	n/a	2-Nov	0.00	0.0
SENATOR INVESTMENT GROUP	036	CMCSA	S	200,000	16.45	n/a	n/a	6,000.00	3.0
EPOCH INV MGMT	030	CMCSK	S	17,200	15.81	n/a	n/a	516.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MTB INV ADV	034	COH	S	30,699	38.00	n/a	21-Oct	1,534.95	5.0
EPOCH INV MGMT	030	COP	S	1,950	52.44	n/a	n/a	58.50	3.0
JP MORGAN VENTURES	046	CPB	SS	15,000	33.34	n/a	n/a	750.00	5.0
f MARK DEVEREAUX KAICH	FID	CROX	B	1200	6.38	n/a	n/a	0.00	0.0
WAGONHOUND/NIC	048	CVGI	B	21,181	6.12	n/a	n/a	635.43	3.0
B BUCK CAPITAL MGMT		CVS	S	20,000	33.52	n/a	n/a	non-brg	4.0
MARINER/TRICADIA	041	CXW	S	45,000	24.20	n/a	n/a	1,800.00	4.0
f NEIL M STRATTON	FID	C	B	1000	3.50	n/a	11-Jan	0.00	0.0
OZ MGMT	040	C	S	1,000,000	3.52	n/a	11-Jan	30,000.00	3.0
B BUCK CAPITAL MGMT		DAL	S	25,000	12.85	n/a	n/a	non-brg	4.0
METROPOLITAN CAPITAL	044	DAN	B	34,200	11.55	n/a	6-Jan	1,710.00	5.0
TRAFELET & COMP.	028	DAN	B	220,000	11.79	n/a	6-Jan	8,800.00	4.0
RBC CAPITAL MARKETS	040	DBRN	B	5,000	24.13	n/a	n/a	200.00	4.0
AVESTA CAP	229	DD	B	100,000	34.26	n/a	12-Jan	3,000.00	3.0
EPOCH INV MGMT	030	DD	S	6,300	33.90	n/a	12-Jan	189.00	3.0
B BUCK CAPITAL MGMT		DECK	S	9,919	109.42	n/a	n/a	non-brg	4.0
EPOCH INV MGMT	030	DE	S	3,050	57.21	n/a	30-Nov	91.50	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	DHR	S	3,550	76.81	n/a	n/a	106.50	3.0
B BUCK CAPITAL MGMT		DLTR	S	10,000	49.75	n/a	4-Jan	non-brg	4.0
EPOCH INV MGMT	030	DO	S	2,450	103.10	n/a	n/a	73.50	3.0
GREEN ARROW DOUG	040	DPZ	SS	40,000	10.11	n/a	11-Jan	2,000.00	5.0
EXIS CAPITAL	044	DTG	SS	5,000	26.89	n/a	n/a	250.00	5.0
EPOCH INV MGMT	030	DVA	S	6,050	61.15	n/a	n/a	181.50	3.0
EPOCH INV MGMT	030	EBAY	S	4,700	23.13	n/a	n/a	141.00	3.0
FIRST NEW YORK LEDDY	035	ETFC	S	10,000	1.77	n/a	n/a	600.00	6.0
EPOCH INV MGMT	030	ETR	S	1,550	81.69	n/a	n/a	46.50	3.0
CUMBERLAND	239	EXH	B	10,000	22.63	n/a	4-Jan	400.00	4.0
B BUCK CAPITAL MGMT		FINL	S	20,000	11.76	n/a	n/a	non-brg	4.0
EPOCH INV MGMT	030	FISV	S	5,200	48.46	n/a	n/a	156.00	3.0
f MARC PAUL LUCHANSKY	FID	F	S	1000	11.85	n/a	6-Jan	0.00	0.0
SCOPUS FUND	041	F	B	275,000	11.95	n/a	6-Jan	13,750.00	5.0
EXIS CAPITAL	044	GCI	SS	10,000	16.40	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT	001	GCO	S	30,000	26.49	n/a	n/a	1,200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ST OF MICHIAN	047	GME	B	70,000	20.45	n/a	n/a	2,100.00	3.0
SAC TRADING TOM LEDDY	035	GPS	B	40,000	19.85	n/a	n/a	2,000.00	5.0
B BUCK CAPITAL MGMT		GYMB	S	20,000	43.30	n/a	8-Jan	non-brg	4.0
BUCK CAPITAL MGMT	001	HBI	S	20,000	23.75	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	HGG	S	20,000	22.85	n/a	n/a	800.00	4.0
B BUCK CAPITAL MGMT		ICON	S	30,000	13.03	n/a	n/a	non-brg	2.5
BMO NESBITT BURNS	041	IP	SS	38,300	27.28	n/a	7-Jan	1,915.00	5.0
OZ MGMT	040	IP	SS	35,951	26.89	n/a	7-Jan	1,078.53	3.0
SCHOTTENFELD ASSOC	041	IP	B	30,000	26.90	n/a	7-Jan	900.00	3.0
SCOPUS FUND	041	IP	SS	35,000	27.09	n/a	7-Jan	1,750.00	5.0
TRELLUS PARTNERS LP	028	IP	SS	34,010	26.91	n/a	7-Jan	1,700.50	5.0
LISTED ERR	099	IP	B	34,010	26.91	n/a	7-Jan	0.00	0.0
LISTED ERR	099	IP	S	34,010	26.91	n/a	7-Jan	0.00	0.0
f JASON ERIC COHEN	FID	JBHT	B	60	33.66	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	040	JCP	B	10,000	25.33	n/a	8-Jan	400.00	4.0
B BUCK CAPITAL MGMT		JNY	B	40,000	16.44	n/a	4-Jan	non-brg	0.8
B BUCK CAPITAL MGMT		JNY	B	40,000	16.73	n/a	4-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		JOSB	S	30,000	44.02	n/a	n/a	non-brg	2.5
CHARTER OAK	033	JPM	S	76,531	44.03	n/a	11-Jan	3,826.55	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	JWN	B	5,000	37.06	n/a	8-Jan	200.00	4.0
f ABRAM M CHAPPELL	FID	KBH	B	165	15.24	n/a	n/a	0.00	0.0
COUGAR TRADING	044	KSS	S	5,000	51.57	n/a	8-Jan	250.00	5.0
TRAFELET & COMP.	028	LEA	B	35,000	71.43	n/a	8-Jan	1,400.00	4.0
B BUCK CAPITAL MGMT		LL	S	10,000	25.44	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		LL	S	10,000	25.89	n/a	n/a	non-brg	4.0
CIRCLE T/SES PART	035	LVS	S	25,000	18.71	n/a	4-Jan	1,000.00	4.0
SAC TRADIN/BINDER	044	LVS	SS	25,000	18.70	n/a	4-Jan	1,000.00	4.0
JP MORGAN VENTURES	046	MOS	B	50,000	62.32	n/a	n/a	2,500.00	5.0
JP MORGAN VENTURES	046	MRT	B	30,000	3.81	n/a	n/a	900.00	3.0
BUCK CAPITAL MGMT	001	NTY	S	20,000	45.64	n/a	n/a	800.00	4.0
f CHRISTOPHER ARTHUR K	FID	NVLT	B	2000	1.95	n/a	n/a	0.00	0.0
JP MORGAN VENTURES	046	NWL	B	25,000	15.45	n/a	n/a	1,250.00	5.0
PRINCIPLE CAPITAL	040	ORA	SS	50,000	36.52	n/a	n/a	2,000.00	4.0
BASIX	033	PAG	B	25,000	17.17	n/a	4-Jan	750.00	3.0
FRIESS MGMT	033	PAG	B	359,200	17.19	n/a	4-Jan	14,368.00	4.0
MERRILL ASSET/BLACKROCK	214	PCLN	S	1,200	211.04	n/a	n/a	48.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DIAMONDBACK CAP MGMT	232	PEP	S	20,000	61.61	n/a	n/a	1,000.00	5.0
MACKLOWE ASSET MGMT	041	PG	B	30,000	61.06	n/a	4-Jan	1,200.00	4.0
BUCK CAPITAL MGMT	001	PIR	S	20,000	5.53	n/a	n/a	600.00	3.0
OZ MGMT	040	PKG	C	30,200	23.76	n/a	7-Jan	906.00	3.0
Ⓐ BUCK CAPITAL MGMT		PSS	S	30,000	21.62	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	PVH	S	10,000	43.22	n/a	12-Jan	400.00	4.0
ROSEDALE CAPITAL	046	PXP	B	20,000	31.96	n/a	n/a	1,000.00	5.0
PORTER-ORLIN-FELDMAN	044	QQQQ	SS	200,000	45.66	n/a	n/a	10,000.00	5.0
BUCK CAPITAL MGMT	001	SKX	S	40,000	28.65	n/a	n/a	1,600.00	4.0
f JOHN MICHAEL ZOLIDIS	FID	SKX	S	100	29.69	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	SPGMO	B	10	0.99	n/a	n/a	0.00	0.0
Ⓐ BUCK CAPITAL MGMT		SVU	C	70,000	13.88	n/a	n/a	non-brg	2.5
RBC CAPITAL MARKETS	040	TIF	SS	10,000	45.89	n/a	n/a	400.00	4.0
MILLENIUM PARTNERS	028	TIN	B	20,000	20.62	n/a	7-Jan	800.00	4.0
Ⓐ BUCK CAPITAL MGMT		TJX	S	60,000	38.02	n/a	8-Jan	non-brg	4.0
SANDLER O'NEILL ASSET	031	TROW	B	2,700	54.15	n/a	8-Jan	135.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SOROS	036	TXN	C	33,466	24.80	n/a	n/a	1,338.64	4.0
B BUCK CAPITAL MGMT		UAUA	S	25,000	13.01	n/a	n/a	non-brg	4.0
f EDWARD W WHEELER	FID	VHC	B	10000	3.54	n/a	n/a	0.00	0.0
f HARALAMBOS EFSTATHI	FID	VIXBD	B	10	3.40	n/a	n/a	0.00	0.0
f NEIL M STRATTON	FID	VJPMG	S	2	2.65	n/a	n/a	0.00	0.0
f STRATTON PAR TNERSHI	FID	VJPMG	S	1	2.65	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	VNOMM	B	15	0.20	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	VNONM	B	10	1.75	n/a	n/a	0.00	0.0
f NEIL M STRATTON	FID	VWFMD	S	2	1.25	n/a	n/a	0.00	0.0
SANDLER O'NEILL ASSET	031	WDR	B	25,000	32.09	n/a	8-Jan	1,250.00	5.0
PRINCIPLE CAPITAL	040	WMT	S	50,000	54.42	n/a	4-Jan	2,000.00	4.0
f COLE THOMAS KAICHER	FID	WNC	B	390	3.08	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		WRC	S	20,000	45.12	n/a	4-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		WSO	B	5,000	48.58	n/a	n/a	non-brg	4.0
THIRD COAST CAPITAL	035	WYNN	B	10,000	68.51	n/a	4-Jan	500.00	5.0
f MARK DEVEREAUX KAICH	FID	YRCW	S	10000	0.97	n/a	n/a	0.00	0.0

TOTAL (Trade Date):

174,790.60

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	01/11	1798 CAPITAL MGMT	040	BKC	SS	10,000	18.48	n/a	11-Jan	500.00 5.0
AO,CRT	01/11	1798 CAPITAL MGMT	040	BKC	SS	10,000	18.48	n/a	11-Jan	500.00 5.0
AO,CRT	01/11	FIRST NY SEC/CHRIS	041	INTC	B	25,000	20.97	n/a	n/a	750.00 3.0
AO,CXL	01/11	FIRST NY SEC/CHRIS	041	INTC	B	25,000	20.97	n/a	n/a	1000.00 4.0
AO,	01/11	DB ALTERNATIVE DBAG LDN	034	IR	S	5,000	37.79	n/a	4-Jan	250.00 5.0
AO,CXL	01/11	SCOPUS FUND	041	PAG	B	10,000	17.32	n/a	4-Jan	500.00 5.0
AO,CRT	01/11	SCOPUS FUND	041	PAG	B	10,000	17.32	n/a	4-Jan	500.00 5.0
AO,CRT	01/11	PRINCIPLE CAPITAL	040	WMT	S	40,000	53.84	n/a	4-Jan	1600.00 4.0
AO,CXL	01/11	PRINCIPLE CAPITAL	040	WMT	S	40,000	53.84	n/a	4-Jan	0.00 0.0
TOTAL (AO, CXL, CRT) :										1,600.00

TOTAL (Trade Date) :	174,790.60
TOTAL (AO, CXL, CRT) :	1,600.00

TOTAL (RUN DATE) / NFS:	176,390.60
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MRI Securities with Trade Activity on 12-Jan.

AVP

MRI Securities without Trade Activity on 12-Jan.

MTW, CMI, CL, BIG

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

T-Date = 28%

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)