



Daily Compliance Activity Report

Trade Date: 08/02/2010

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	14.07	n/a	2-Aug	non-brg	2.5
BALYASNY ASSET MGMT	044	AEO	B	25,000	12.43	n/a	29-Jul	1,250.00	5.0
EXIS CAPITAL	044	AEO	SS	5,000	12.46	n/a	29-Jul	250.00	5.0
PORTER-ORLIN	044	AGO	S	40,000	16.36	n/a	n/a	2,000.00	5.0
LAGRANGE CAP ADV	048	ALV	SS	1,437	59.50	n/a	2-Aug	71.85	5.0
LEVIN CAPITAL STRATEGIES	012	ALV	S	20,000	59.30	n/a	2-Aug	600.00	3.0
B BUCK CAPITAL MGMT		ANF	B	50,000	38.19	n/a	29-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		ANN	B	30,000	18.07	n/a	n/a	non-brg	2.0
F CHRISTOPHER ROBERT C	FID	ARM	B	200	16.75	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	ARO	S	150,000	28.52	n/a	29-Jul	6,000.00	4.0
B BUCK CAPITAL MGMT		ARO	S	100,000	28.63	n/a	29-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		ARO	S	100,000	28.64	n/a	29-Jul	non-brg	0.8
EXIS CAPITAL	044	ARO	SS	10,000	28.55	n/a	29-Jul	500.00	5.0
NEUBERGER BERMAN	036	ASTE	S	13,390	31.87	n/a	n/a	535.60	4.0
SONTERRA CAP	041	ATI	SS	5,000	49.50	n/a	n/a	200.00	4.0
DAVIDSON KEMPNER ADVISOR	040	AVY	SS	10,000	36.73	n/a	29-Jul	500.00	5.0
B BUCK CAPITAL MGMT		AXL	S	50,000	9.99	n/a	2-Aug	non-brg	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FULLER & THALER ASSET	033	AXL	B	100,000	9.99	n/a	2-Aug	3,000.00	3.0
CAPITAL GROWTH MGMT.	241	BBD	B	100,000	18.74	n/a	n/a	4,000.00	4.0
f KAREN F LEDDY	FID	BEE	B	2000	4.74	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BLK	S	15,400	162.90	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BUCY	SS	5,000	63.88	n/a	26-Jul	non-brg	4.0
BACKBAY	041	BZ	B	50,000	6.19	n/a	n/a	2,500.00	5.0
BMO NESBITT BURNS	041	BZ	B	10,000	6.19	n/a	n/a	400.00	4.0
PORTER-ORLIN	044	CAM	S	35,000	40.86	n/a	n/a	1,750.00	5.0
f ABRAM M CHAPPELL	FID	CGI	S	100	15.18	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	CHS	B	950	9.68	n/a	5-Feb	0.00	0.0
1798 CAP/LOMBARD ASSET	040	CLF	B	18,000	59.94	n/a	n/a	900.00	5.0
HARBORWATCH/DIAMBACK	232	CLF	S	5,000	60.80	n/a	n/a	250.00	5.0
CAVU CAP ADV	028	COH	B	64,100	38.15	n/a	19-Jul	3,205.00	5.0
B BUCK CAPITAL MGMT		COLM	SS	10,000	49.85	n/a	n/a	non-brg	2.5
JP MORGAN VENTURES	046	CPB	SS	10,000	35.95	n/a	n/a	500.00	5.0
COLUMBUS CIRCLE	036	CPX	B	225,929	19.58	n/a	n/a	9,037.16	4.0
JP MORGAN VENTURES	046	CRI	B	15,000	24.64	n/a	n/a	750.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		CROX	S	100,000	12.56	n/a	n/a	non-brg	4.0
MERRILL ASSET/BLACKROCK	266	CRR	S	2,900	81.59	n/a	19-Jul	116.00	4.0
f JONATHAN RICHARD HAR	FID	CVGI	B	200	11.46	n/a	n/a	0.00	0.0
OZ MGMT	040	DAN	S	229,069	12.34	n/a	2-Aug	6,872.07	3.0
SAC CAPITAL/M GRONET	030	DE	SS	25,000	67.13	n/a	20-May	875.00	3.5
B BUCK CAPITAL MGMT		DIA	SS	37,500	106.80	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		DKS	C	20,000	27.34	n/a	11-Jun	non-brg	4.0
JP MORGAN VENTURES	046	DKS	B	15,000	27.12	n/a	11-Jun	750.00	5.0
EXIS CAPITAL	044	DPZ	B	5,000	12.70	n/a	27-Jul	250.00	5.0
JP MORGAN VENTURES	046	DPZ	B	25,000	12.97	n/a	27-Jul	1,250.00	5.0
LISTED ERR	099	DPZ	B	15,000	12.90	n/a	27-Jul	0.00	0.0
LISTED ERR	099	DPZ	S	15,000	12.90	n/a	27-Jul	0.00	0.0
SONTERRA CAP	041	DTG	B	25,000	50.56	n/a	n/a	1,000.00	4.0
HARBORWATCH/DIAMBACK	232	EMR	SS	25,000	50.89	n/a	n/a	1,250.00	5.0
RAINIER INV MGMT	035	ENS	B	37,500	24.72	n/a	n/a	1,500.00	4.0
B BUCK CAPITAL MGMT		FL	S	100,000	14.06	n/a	29-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		FL	S	50,000	14.01	n/a	29-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		FL	S	50,000	14.08	n/a	29-Jul	non-brg	0.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CROWN CAP MGMT	084	FL	B	70,000	14.04	n/a	29-Jul	3,500.00	5.0
LISTED ERR	099	FL	B	16,300	14.10	n/a	29-Jul	0.00	0.0
LISTED ERR	099	FL	S	16,300	14.10	n/a	29-Jul	0.00	0.0
f DANIEL R SCHWARZWALD	FID	FNKXX	S	1500000	1.00	n/a	n/a	0.00	0.0
NWQ INVESTMENT MGMT CO	084	FOR	S	8,800	16.36	n/a	19-Jul	352.00	4.0
CATAPULT	040	FTO	B	25,000	12.63	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	GCO	B	20,000	28.06	n/a	n/a	800.00	4.0
B BUCK CAPITAL MGMT		GPS	SS	20,000	18.35	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GYMB	B	20,000	43.60	n/a	29-Jul	non-brg	0.8
B BUCK CAPITAL MGMT		GYMB	B	25,000	43.60	n/a	29-Jul	non-brg	2.5
B BUCK CAPITAL MGMT		GYMB	B	40,000	43.44	n/a	29-Jul	non-brg	2.5
f CHRISTOPHER ROBERT C	FID	HAR	B	125	31.99	n/a	2-Aug	0.00	0.0
HUNTER GLOBAL INVESTOR	067	HON	SS	249,800	43.65	n/a	31-Mar	12,490.00	5.0
B BUCK CAPITAL MGMT		HOTT	B	60,000	5.47	n/a	n/a	non-brg	3.0
f KAREN F LEDDY	FID	ICON	S	2200	16.74	n/a	n/a	0.00	0.0
HARBORWATCH/DIAMBACK	232	ITW	B	25,000	44.78	n/a	30-Jul	1,250.00	5.0
B BUCK CAPITAL MGMT		IWM	SS	138,000	66.16	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		IWM	SS	60,000	66.19	n/a	n/a	non-brg	0.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FIRST NY SEC/CHRIS	041	JCP	B	10,000	25.57	n/a	29-Jul	500.00	5.0
DELTEC ASSET MGMT.	040	JNY	S	14,000	17.92	n/a	29-Jul	700.00	5.0
EXIS CAPITAL	044	JNY	B	10,000	17.90	n/a	29-Jul	500.00	5.0
B BUCK CAPITAL MGMT		JWN	B	70,000	35.21	n/a	29-Jul	non-brg	4.0
NEUBERGER BERMAN	036	LAYN	S	6,673	26.04	n/a	n/a	266.92	4.0
LEVIN CAPITAL STRATEGIES	012	LEA	S	10,000	78.61	n/a	2-Aug	300.00	3.0
PNC CAPITAL ADV	028	LINE	S	10,524	31.18	n/a	n/a	420.96	4.0
B BUCK CAPITAL MGMT		LTD	B	120,000	26.16	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		MA	B	8,000	203.59	n/a	2-Aug	non-brg	4.0
B BUCK CAPITAL MGMT		MDY	SS	28,000	140.64	n/a	n/a	non-brg	0.8
1798 CAP/LOMBARD ASSET	040	MHK	B	5,000	50.97	n/a	n/a	250.00	5.0
CAVU CAP ADV	028	MOS	S	15,000	47.02	n/a	n/a	750.00	5.0
ST OF MICHIAN	047	MRK	B	110,000	35.01	n/a	n/a	3,300.00	3.0
f MARK ANTHONY GRONET	FID	MSFT	S	1000	26.21	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		M	B	20,000	19.04	n/a	29-Jul	non-brg	4.0
SAC CAPITAL/M GRONET	030	M	B	12,500	19.35	n/a	29-Jul	437.50	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THE JAY GOLDMAN	028	OEH	S	10,000	9.34	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		PAG	B	50,000	14.41	n/a	2-Aug	non-brg	4.0
SHEFFIELD ASSET MGMT	031	PKG	B	900	24.37	n/a	20-Jul	45.00	5.0
f KAREN F LEDDY	FID	PLCE	B	250	41.80	n/a	29-Jul	0.00	0.0
B BUCK CAPITAL MGMT		PRTY LN	B	300,000	4.88	n/a	n/a	non-brg	0.7
KENNEDY CAPITAL	046	PSUN	S	14,500	4.16	n/a	n/a	290.00	2.0
SAC CAPITAL/M GRONET	030	PVH	B	7,500	53.16	n/a	19-Jul	262.50	3.5
NEUBERGER BERMAN	036	RBN	S	18,333	23.93	n/a	n/a	733.32	4.0
SONTERRA CAP	041	RIG	B	8,000	48.99	n/a	n/a	320.00	4.0
T. ROWE PRICE	033	RL	B	15,700	81.41	n/a	19-Jul	628.00	4.0
B BUCK CAPITAL MGMT		ROST	B	20,000	52.44	n/a	n/a	non-brg	4.0
f KAREN F LEDDY	FID	SBUX	B	400	24.65	n/a	22-Jul	0.00	0.0
B BUCK CAPITAL MGMT		SHOO	S	10,000	39.05	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SIG	S	20,000	31.18	n/a	n/a	non-brg	4.0
1798 CAP/LOMBARD ASSET	040	SPY	C	17,700	112.80	n/a	n/a	885.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		SPY	SS	35,500	112.78	n/a	n/a	non-brg	2.0
HUNTER GLOBAL INVESTOR	067	SPY	B	81,200	112.21	n/a	n/a	2,436.00	3.0
f ABRAM M CHAPPELL	FID	SRI	S	205	11.20	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	SSI	B	21,850	11.13	n/a	n/a	655.50	3.0
1798 CAP/LOMBARD ASSET	040	SWC	B	10,000	14.26	n/a	n/a	500.00	5.0
f DAVID GEORGE BUCK	FID	TGT	B	1000	51.69	n/a	29-Jul	0.00	0.0
NWQ INVESTMENT MGMT CO	084	TIN	S	4,600	20.58	n/a	27-Jul	184.00	4.0
EXIS CAPITAL	044	TJX	SS	5,000	42.09	n/a	29-Jul	250.00	5.0
CAMBIAR CAP	046	TLB	S	42,100	11.92	n/a	n/a	1,684.00	4.0
B BUCK CAPITAL MGMT		TSCO	C	20,000	70.62	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		UAUA	S	10,000	24.11	n/a	n/a	non-brg	4.0
EXIS CAPITAL	044	UA	B	5,000	38.09	n/a	28-Jul	250.00	5.0
B BUCK CAPITAL MGMT		URBN	B	30,000	32.32	n/a	n/a	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	USG	S	400	12.39	n/a	26-Jul	0.00	0.0
B BUCK CAPITAL MGMT		VFC	C	20,000	80.89	n/a	23-Jul	non-brg	4.0
1798 CAP/LOMBARD ASSET	040	VXX	B	27,000	21.33	n/a	n/a	1,350.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		V	B	25,000	71.09	n/a	2-Aug	non-brg	4.0
ß BUCK CAPITAL MGMT		WBC	S	20,000	38.98	n/a	28-Jul	non-brg	2.0
PORTER-ORLIN	044	WCG	S	37,000	26.67	n/a	n/a	1,850.00	5.0
f CHRISTOPHER ROBERT C	FID	WDR	B	200	24.56	n/a	2-Mar	0.00	0.0
CAPITAL GROWTH MGMT.	241	WHR	B	20,000	84.99	n/a	n/a	1,000.00	5.0
f DAVID GEORGE BUCK	FID	WY	S	2000	16.76	n/a	21-Jul	0.00	0.0
ß BUCK CAPITAL MGMT		XLFX	SS	265,800	15.06	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		XRT	C	240,000	39.01	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		XRT	SS	102,600	38.96	n/a	n/a	non-brg	2.0
TOTAL (Trade Date):								92,853.38	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/30	WEDBUSH/PACIFIC GROWTH EQTY LLC	084	LPX	B	1,652	7.44	n/a	19-Jul	66.08 4.0
AO,CRT	07/30	WEDBUSH/PACIFIC GROWTH EQTY LLC	084	LPX	B	1,652	7.44	n/a	19-Jul	66.08 4.0
AO,	07/30	ROYCE TRADING	012	LVS	B	5,400	26.50	n/a	2-Aug	270.00 5.0
AO,CXL	07/30	ROYCE TRADING	012	LVS	B	5,400	26.50	n/a	2-Aug	270.00 5.0
AO,CRT	07/30	SAC CHICAGO ANDREW	031	ROST	SS	100,000	52.21	n/a	n/a	30.00 0.0
AO,CXL	07/30	SAC CHICAGO ANDREW	031	ROST	SS	100,000	52.21	n/a	n/a	30.00 0.0
AO,CRT	07/30	SAC CHICAGO ANDREW	031	URBN	SS	50,000	32.04	n/a	n/a	15.00 0.0
AO,CXL	07/30	SAC CHICAGO ANDREW	031	URBN	SS	50,000	32.04	n/a	n/a	15.00 0.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	92,853.38
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TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (RUN DATE) / NFS:	92,853.38
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MRI Securities with Trade Activity on 2-Aug. NONE
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MRI Securities without Trade Activity on 2-Aug.

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

T-Date = 10%

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)