



# Daily Compliance Activity Report

Trade Date: 06/18/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f CICILY S BACKUS	FID	AAPL	S	100	273.65	n/a	n/a	0.00	0.0
f LBP ENTERPRISES INC	FID	AAPL	S	100	273.74	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ABG	S	70,000	12.64	n/a	4-May	non-brg	4.0
BALYASNY ASSET MGMT	044	AEO	S	40,000	13.16	n/a	4-Jun	2,000.00	5.0
COBALT	041	AMTD	SS	100,000	17.12	n/a	n/a	5,000.00	5.0
BUCK CAPITAL MGMT	001	ANN	B	30,000	20.48	n/a	n/a	1,200.00	4.0
f CHRISTOPHER ROBERT C	FID	APC	S	300	43.38	n/a	3-Jun	0.00	0.0
B BUCK CAPITAL MGMT		BBBY	C	50,000	42.83	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BEBE	B	70,000	6.62	n/a	n/a	non-brg	2.5
ACK ASSET	028	BYI	SS	8,300	38.02	n/a	n/a	249.00	3.0
CATAPULT	040	CBSH	SS	12,680	37.48	n/a	n/a	507.20	4.0
LOCUS WOOD CAPITAL MGMT	044	CCE	B	25,000	27.03	n/a	n/a	1,000.00	4.0
B BUCK CAPITAL MGMT		CHS	B	50,000	11.15	n/a	5-Feb	non-brg	4.0
BUCK CAPITAL MGMT	001	COH	S	20,000	43.25	n/a	14-May	800.00	4.0
B BUCK CAPITAL MGMT		CROX	S	70,000	11.84	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>CSTR</b>	<b>B</b>	<b>20,000</b>	<b>49.46</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
WAGONHOUND/NIC	048	CVGI	S	20,929	12.00	n/a	n/a	837.16	4.0
CRAMER ROSENTHAL/SCOTT	012	CVS	B	35,800	33.28	n/a	n/a	1,432.00	4.0
<b>f CICILY S BACKUS</b>	<b>FID</b>	<b>C</b>	<b>S</b>	<b>10000</b>	<b>3.98</b>	<b>n/a</b>	<b>15-Jun</b>	<b>0.00</b>	<b>0.0</b>
<b>f CICILY S BACKUS</b>	<b>FID</b>	<b>C</b>	<b>S</b>	<b>5000</b>	<b>3.98</b>	<b>n/a</b>	<b>15-Jun</b>	<b>0.00</b>	<b>0.0</b>
<b>f LEE F BACKUS</b>	<b>FID</b>	<b>C</b>	<b>S</b>	<b>10000</b>	<b>3.98</b>	<b>n/a</b>	<b>15-Jun</b>	<b>0.00</b>	<b>0.0</b>
SANDLER O'NEILL ASSET	031	C	B	50,000	3.98	n/a	15-Jun	1,000.00	2.0
<b>f CICILY S BACKUS</b>	<b>FID</b>	<b>DAL</b>	<b>S</b>	<b>5000</b>	<b>13.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WAGONHOUND/NIC	048	DAN	B	21,541	12.02	n/a	30-Apr	861.64	4.0
CLOVIS CAPITAL	012	DHI	S	100,000	10.77	n/a	n/a	5,000.00	5.0
CONIFER/ISF	025	DOW	S	2,500	26.89	n/a	21-May	100.00	4.0
HARBORWATCH/DIAMBACK	232	DOW	C	15,000	26.75	n/a	21-May	750.00	5.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>EEM</b>	<b>B</b>	<b>2000</b>	<b>39.91</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MATTHEW FRANCIS BUCK</b>	<b>FID</b>	<b>EEM</b>	<b>B</b>	<b>500</b>	<b>39.91</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MATTHEW FRANCIS BUCK</b>	<b>FID</b>	<b>EFA</b>	<b>S</b>	<b>400</b>	<b>50.58</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ERTS</b>	<b>S</b>	<b>296,646</b>	<b>16.07</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
DIAMONDBACK CAP MGMT	232	FCX	SS	8,000	65.78	n/a	n/a	400.00	5.0
SYSTEMATIC FINANCIAL MGT	035	FMER	B	95,800	17.91	n/a	n/a	2,874.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>FNKXX</b>	<b>S</b>	<b>36000</b>	<b>1.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>FOSL</b>	<b>S</b>	<b>20,000</b>	<b>40.48</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BALYASNY ASSET MGMT	044	F	SS	50,000	11.54	n/a	3-Jun	2,500.00	5.0
SCOPUS FUND	041	F	SS	400,000	11.50	n/a	3-Jun	20,000.00	5.0
LEVEL GLOBAL SHARED ACCT	257	GES	S	50,000	34.16	n/a	28-May	1,500.00	3.0
BANK OF AMERICA/MERRILL	259	GE	B	23,750	15.96	n/a	n/a	950.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GIL</b>	<b>S</b>	<b>20,000</b>	<b>31.99</b>	<b>n/a</b>	<b>14-May</b>	<b>800.00</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>HAS</b>	<b>SS</b>	<b>20,000</b>	<b>43.09</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>HD</b>	<b>SS</b>	<b>20,000</b>	<b>32.06</b>	<b>n/a</b>	<b>19-May</b>	<b>non-brg</b>	<b>4.0</b>
NWQ INVESTMENT MGMT CO	048	HSC	B	4,500	25.95	n/a	27-May	180.00	4.0
GRYPHON CAPITAL MGMT	084	INTC	B	100,000	21.21	n/a	n/a	3,000.00	3.0
NWQ INVESTMENT MGMT CO	048	IPI	B	4,900	22.36	n/a	n/a	196.00	4.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>JCI</b>	<b>B</b>	<b>2000</b>	<b>28.98</b>	<b>n/a</b>	<b>16-Jun</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JOSB</b>	<b>B</b>	<b>10,000</b>	<b>60.03</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
NCM CAPITAL MGMT	035	JWA	B	22,600	39.78	n/a	n/a	904.00	4.0
<b>f CICILY S BACKUS</b>	<b>FID</b>	<b>KG</b>	<b>S</b>	<b>5000</b>	<b>8.07</b>	<b>n/a</b>	<b>17-Jun</b>	<b>0.00</b>	<b>0.0</b>

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	LBP ENTERPRISES INC	FID	KG	S	2000	8.06	n/a	17-Jun	0.00	0.0
f	SNEJANA P GARFUNKEL	FID	KG	S	1000	8.08	n/a	17-Jun	0.00	0.0
	OHIO PERS	047	KO	S	89,000	52.52	n/a	23-Apr	2,670.00	3.0
	CSFB GLOBAL PROPRIETARY	041	LPX	B	40,000	7.72	n/a	11-May	2,000.00	5.0
	FIRST NEW YORK LEDDY	035	LPX	B	25,000	7.72	n/a	11-May	750.00	3.0
	BANK OF AMERICA/MERRILL	259	MFA	S	10,400	7.60	n/a	n/a	312.00	3.0
	TROUBH PART	067	MF	B	50,000	6.60	n/a	n/a	2,500.00	5.0
	BALYASNY ASSET MGMT	044	MW	B	20,000	20.88	n/a	n/a	1,000.00	5.0
B	BUCK CAPITAL MGMT		PAG	S	150,000	12.65	n/a	3-May	non-brg	4.0
f	DAVID GEORGE BUCK	FID	PBR	S	2500	38.50	n/a	n/a	0.00	0.0
	HARBORWATCH/DIAMBACK	232	PCP	B	10,000	114.12	n/a	15-Jun	500.00	5.0
	ROYCE TRADING	012	PHH	B	7,500	20.12	n/a	n/a	375.00	5.0
B	BUCK CAPITAL MGMT		PNK	SS	50,000	11.69	n/a	n/a	non-brg	4.0
	ROYCE TRADING	012	POL	S	11,000	9.68	n/a	n/a	550.00	5.0
B	BUCK CAPITAL MGMT		QKLS	S	22,000	5.20	n/a	n/a	non-brg	3.0
	ROYCE TRADING	012	RAS	B	2,500	2.08	n/a	n/a	75.00	3.0
	NWQ INVESTMENT MGMT CO	048	RDEN	B	6,600	17.04	n/a	17-May	264.00	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f</b>	<b>DAVID GEORGE BUCK</b>	<b>FID</b>	<b>RIG</b>	<b>B</b>	<b>2500</b>	<b>52.32</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
	CASTLEROCK	040	RL	SS	17,465	80.90	n/a	20-May	698.60	4.0
	ROYCE TRADING	012	RTI	B	5,000	26.61	n/a	n/a	250.00	5.0
<b>f</b>	<b>CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>SEE</b>	<b>S</b>	<b>300</b>	<b>21.44</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
	ROYCE TRADING	012	SEH	S	5,000	11.78	n/a	n/a	250.00	5.0
	JP MORGAN VENTURES	046	SFE	B	15,000	11.63	n/a	n/a	750.00	5.0
	<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SHW</b>	<b>B</b>	<b>30,000</b>	<b>76.44</b>	<b>n/a</b>	<b>24-May</b>	<b>1,200.00</b>	<b>4.0</b>
	T. ROWE PRICE	033	SIAL	B	8,500	53.17	n/a	27-May	340.00	4.0
	ROYCE TRADING	012	SKS	S	8,000	9.26	n/a	n/a	400.00	5.0
	ROYCE TRADING	012	SOA	S	5,000	15.31	n/a	n/a	250.00	5.0
	BNP PARIBAS SEC	040	SWN	S	10,000	44.02	n/a	17-Jun	400.00	4.0
<b>f</b>	<b>CICILY S BACKUS</b>	<b>FID</b>	<b>SWN</b>	<b>S</b>	<b>1000</b>	<b>43.69</b>	<b>n/a</b>	<b>17-Jun</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b>	<b>LBP ENTERPRISES INC</b>	<b>FID</b>	<b>SWN</b>	<b>S</b>	<b>1000</b>	<b>43.71</b>	<b>n/a</b>	<b>17-Jun</b>	<b>0.00</b>	<b>0.0</b>
	ROYCE TRADING	012	TIN	S	500	23.18	n/a	21-Apr	25.00	5.0
	<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TLB</b>	<b>B</b>	<b>100,000</b>	<b>12.54</b>	<b>n/a</b>	<b>n/a</b>	<b>4,000.00</b>	<b>4.0</b>
	ROYCE TRADING	012	TOL	B	1,000	17.77	n/a	n/a	50.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DAVIDSON KEMPNER ADVISOR	040	TXI	B	8,064	31.45	n/a	n/a	403.20	5.0
ROYCE TRADING	012	TXI	B	500	31.90	n/a	n/a	25.00	5.0
BENNETT LAWRENCE	028	UAUA	B	6,550	23.92	n/a	n/a	262.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>UBI FP</b>	<b>S</b>	<b>125,000</b>	<b>9.53</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.4</b>
SIGMA CAPITAL ASSOCIATES	041	URBN	SS	25,000	36.65	n/a	n/a	875.00	3.5
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>UXG</b>	<b>B</b>	<b>500</b>	<b>4.78</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BALYASNY ASSET MGMT	044	WBC	B	4,000	33.07	n/a	27-May	200.00	5.0
TRELLUS PARTNERS LP	028	WBC	B	1,900	33.34	n/a	27-May	95.00	5.0
ACK ASSET	028	WMS	SS	7,800	44.63	n/a	n/a	234.00	3.0
LEVEL GLOBAL SHARED ACCT	257	WRC	S	50,000	41.40	n/a	14-May	1,500.00	3.0
DIAMONDBACK CAP MGMT	232	XME	B	10,000	51.67	n/a	n/a	300.00	3.0
ROYCE TRADING	012	ZQK	S	10,000	4.95	n/a	10-May	300.00	3.0
<b>TOTAL (Trade Date) :</b>								<b>77,844.80</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	06/17	ROYCE TRADING	012	HYC	S	25,000	4.78	n/a	n/a	750.00 3.0
AO,CRT	06/17	BUCK CAPITAL MGMT	001	SKS	SS	50,000	9.01	n/a	n/a	1500.00 3.0
AO,CXL	06/17	BUCK CAPITAL MGMT	001	SKS	SS	50,000	9.01	n/a	n/a	2000.00 4.0
AO,CXL	06/15	STANDARD PACIFIC CAPITAL	040	WMS	B	40,000	45.70	n/a	n/a	1600.00 4.0
AO,CRT	06/15	STANDARD PACIFIC CAPITAL	040	WMS	B	40,000	45.70	n/a	n/a	2000.00 5.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>650.00</b>
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TOTAL (Trade Date) :	77,844.80
TOTAL (AO, CXL, CRT) :	650.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>78,494.80</b>
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MRI Securities with Trade Activity on 18-Jun. NONE
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MRI Securities without Trade Activity on 18-Jun. NONE
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BRG comm. as a % of BCM Total Comm. paid.
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**T-Date = 18%**

**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)**