



Daily Compliance Activity Report

Trade Date: 02/01/2010

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		210 HK	B	8,000	0.73	n/a	n/a	non-brg	0.1
HOLDEN CAPITAL MGMT	035	ABM	SS	5,400	19.55	n/a	n/a	270.00	5.0
WEISS PECK	040	AEO	S	5,750	15.92	n/a	29-Jan	287.50	5.0
BALYASNY ASSET MGMT	044	AMG	B	20,000	63.97	1-Feb	1-Feb	1,000.00	5.0
DIAMONDBACK CAP MGMT	232	AMG	SS	10,000	64.39	1-Feb	1-Feb	500.00	5.0
DIAMONDBACK CAP MGMT	232	AMG	S	50,000	64.22	1-Feb	1-Feb	2,500.00	5.0
M&I FUNDS	047	AMG	B	6,540	64.50	1-Feb	1-Feb	261.60	4.0
SANDLER O'NEILL ASSET	031	AMG	S	2,500	63.92	1-Feb	1-Feb	125.00	5.0
UBS OCONNOR	031	AMG	S	50,000	64.08	1-Feb	1-Feb	1,500.00	3.0
CHART WELL ADV	028	AMTD	S	58,646	17.80	n/a	n/a	2,345.84	4.0
f ALICE BEEBE LONGLEY	FID	AMZN	B	100	115.61	n/a	n/a	0.00	0.0
CIRCLE T/SES PART	035	AN	B	30,000	18.15	n/a	4-Jan	1,200.00	4.0
LAGRANGE CAP ADV	048	AN	B	10,000	18.15	n/a	4-Jan	500.00	5.0
WOOSTER CAPITAL	035	AN	B	100,000	18.19	n/a	4-Jan	5,000.00	5.0
B BUCK CAPITAL MGMT		ARO	B	10,000	33.49	n/a	29-Jan	non-brg	4.0
STRONG/MARK GRONET	030	ART	B	2,135	23.94	n/a	27-Jan	85.40	4.0
TRELLUS PARTNERS LP	028	AXL	S	25,000	9.86	n/a	4-Jan	750.00	3.0
JP MORGAN VENTURES	046	BBBY	SS	10,000	39.30	n/a	n/a	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ASCEND PARTNERS	033	BEN	B	7,800	101.03	n/a	29-Jan	390.00	5.0
RBC CAPITAL MARKETS	040	BJ	B	15,000	34.54	n/a	n/a	600.00	4.0
EXIS CAPITAL	044	BKC	B	10,000	17.61	n/a	1-Feb	500.00	5.0
SANDLER O'NEILL ASSET	031	BLK	B	5,600	217.42	n/a	1-Feb	280.00	5.0
B BUCK CAPITAL MGMT		BONT	B	20,000	8.83	n/a	n/a	non-brg	2.5
SAXON WOODS ADVISORS	242	BPW	B	8,000	10.34	n/a	n/a	320.00	4.0
COOPER CREEK PART	028	BZ	B	10,200	5.11	n/a	n/a	306.00	3.0
SMITH MGMT LLC	029	BZ	S	380,492	5.16	n/a	n/a	15,219.68	4.0
CATAPULT	040	CMA	SS	5,000	35.23	n/a	n/a	250.00	5.0
B BUCK CAPITAL MGMT		COH	B	10,000	35.30	n/a	21-Jan	non-brg	4.0
f MANNY I KORMAN	FID	CPRE	B	953	18.08	n/a	n/a	0.00	0.0
GOLD SACHS SPECIAL SIT	030	CRDN	B	56,200	19.46	n/a	n/a	2,810.00	5.0
NEUBERGER BERMAN	036	CVC	S	33,400	26.01	n/a	n/a	1,336.00	4.0
PARTNER REINSURANCE	033	DLTR	B	6,200	49.62	n/a	1-Feb	248.00	4.0
CIRCLE T/SES PART	035	DRI	B	10,000	37.27	n/a	19-Jan	400.00	4.0
IRIDIAN ASSET MGMT.	036	ERTS	B	65,000	16.60	n/a	n/a	3,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HOLDEN CAPITAL MGMT	035	EV	SS	3,500	29.06	n/a	25-Jan	175.00	5.0
STRONG/MARK GRONET	030	FCX	B	3,000	71.29	n/a	n/a	120.00	4.0
NEUBERGER BERMAN	036	FMCN	S	268,000	13.15	n/a	n/a	10,720.00	4.0
MORTAR ROCK	033	GPI	SS	5,000	30.29	n/a	4-Jan	200.00	4.0
BALYASNY ASSET MGMT	044	GPS	S	50,000	19.12	n/a	n/a	2,500.00	5.0
⌘ BUCK CAPITAL MGMT		GYMB	S	10,000	39.53	n/a	29-Jan	non-brg	4.0
⌘ BUCK CAPITAL MGMT		HBI	B	30,000	23.14	n/a	n/a	non-brg	4.0
CLOVIS CAPITAL	012	HEW	B	34,200	38.52	n/a	n/a	1,710.00	5.0
HARBORWATCH/DIAMBACK	232	IR	C	15,000	32.98	n/a	4-Jan	750.00	5.0
WEINTRAUB CAPITAL MGT.	040	IVZ	B	200,000	19.92	n/a	29-Jan	8,000.00	4.0
⌘ BUCK CAPITAL MGMT		IWM	SS	13,600	60.36	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		JACK	B	30,000	19.70	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		JNY	B	20,000	14.65	n/a	29-Jan	non-brg	4.0
⌘ BUCK CAPITAL MGMT		LL	S	70,000	23.82	n/a	n/a	non-brg	4.0
NEUBERGER BERMAN	036	LUFK	B	16,000	65.35	n/a	n/a	640.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JP MORGAN VENTURES	046	LVS	S	6,500	16.78	n/a	4-Jan	325.00	5.0
f KAREN F LEDDY	FID	MGA	B	250	55.47	n/a	n/a	0.00	0.0
CENTURION PARTNERS	041	MGM	B	10,000	11.56	n/a	6-Nov	400.00	4.0
DALTON GREINER	012	MLI	B	20,889	24.68	n/a	23-Nov	1,044.45	5.0
HIGHBRIDGE CAP	041	MOT	B	200,000	6.29	n/a	n/a	6,000.00	3.0
AVESTA CAP	229	MSFT	S	500,000	28.03	n/a	n/a	15,000.00	3.0
f MANNY I KORMAN	FID	MS	B	3000	27.78	n/a	21-Jan	0.00	0.0
B BUCK CAPITAL MGMT		MVRX	C	562,770	166.73	n/a	n/a	non-brg	11.7
EXIS CAPITAL	044	M	B	20,000	15.51	n/a	29-Jan	1,000.00	5.0
PILOT ADV	242	M	B	25,000	15.62	n/a	29-Jan	1,000.00	4.0
HOLDEN CAPITAL MGMT	035	OXM	SS	5,600	18.15	n/a	n/a	280.00	5.0
BALYASNY ASSET MGMT	044	PAG	B	25,000	14.04	n/a	22-Jan	1,250.00	5.0
CIRCLE T/SES PART	035	PAG	B	10,000	14.07	n/a	22-Jan	400.00	4.0
LAGRANGE CAP ADV	048	PAG	B	10,000	14.07	n/a	22-Jan	500.00	5.0
RBC CAPITAL MARKETS	040	PCAR	B	10,000	35.86	n/a	1-Feb	400.00	4.0
BACKBAY	041	PCL	S	50,000	36.68	n/a	25-Jan	2,500.00	5.0
SCHOTTENFELD ASSOC	041	PCL	S	13,500	36.82	n/a	25-Jan	405.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EATON VANCE MGMT	039	PFE	B	175,000	18.75	n/a	n/a	5,250.00	3.0
BMO NESBITT BURNS	041	PKG	B	25,000	22.21	n/a	26-Jan	1,250.00	5.0
SCOPUS FUND	041	PKG	B	46,300	22.22	n/a	26-Jan	2,315.00	5.0
B BUCK CAPITAL MGMT		PLCE	B	20,000	32.79	n/a	29-Jan	non-brg	4.0
US BANCORP	030	PNRA	S	3,183	71.90	n/a	21-Jan	159.15	5.0
CATAPULT	040	RPM	B	15,000	19.01	n/a	n/a	750.00	5.0
B BUCK CAPITAL MGMT		RTH	C	117,700	91.79	n/a	n/a	non-brg	1.0
SAXON WOODS ADVISORS	242	RX	B	10,000	21.72	n/a	n/a	400.00	4.0
EXIS CAPITAL	044	SKS	S	25,000	6.60	n/a	n/a	1,250.00	5.0
JP MORGAN VENTURES	046	SVU	B	11,400	14.82	n/a	n/a	570.00	5.0
CATAPULT	040	SXE	SS	5,222	25.61	n/a	n/a	261.10	5.0
f JONATHAN RICHARD HAR	FID	TBT	B	40	47.37	n/a	n/a	0.00	0.0
f KEVIN MICHAEL O'GORM	FID	TBT	B	600	47.36	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	TGT	B	10,000	51.11	n/a	1-Feb	400.00	4.0
MTB INV ADV	034	THS	S	10,350	38.83	n/a	n/a	517.50	5.0
SCOPUS FUND	041	TIN	B	39,600	17.79	n/a	25-Jan	1,980.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
COUGAR TRADING	044	TM	B	10,000	79.95	n/a	n/a	500.00 5.0
MILLENIUUM PARTNERS	028	TYC	B	15,000	35.29	n/a	29-Jan	600.00 4.0
HARBORWATCH/DIAMBACK	232	UTX	S	15,000	67.41	n/a	n/a	750.00 5.0
RBC CAPITAL MARKETS	040	VALE	B	25,000	26.83	n/a	n/a	1,000.00 4.0
HOLDEN CAPITAL MGMT	035	VZ	SS	2,500	29.52	n/a	n/a	125.00 5.0
⌘ BUCK CAPITAL MGMT		XLY	SS	33,300	29.10	n/a	n/a	non-brg 1.0
⌘ BUCK CAPITAL MGMT		XRT	SS	2,350,000	34.98	n/a	n/a	non-brg 1.0
⌘ BUCK CAPITAL MGMT		XRT	SS	231,400	34.85	n/a	n/a	non-brg 1.0
JP MORGAN VENTURES	046	XRT	B	15,000	35.08	n/a	n/a	750.00 5.0
TOTAL (Trade Date) :								116,882.22

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	01/29	1798 CAPITAL MGMT	040	BYI	B	5,000	40.43	n/a	n/a	250.00 5.0
AO,CRT	01/29	1798 CAPITAL MGMT	040	BYI	B	5,000	40.43	n/a	n/a	250.00 5.0
AO,CXL	01/29	STANDARD PACIFIC CAPITAL	040	CE	B	60,000	29.86	n/a	n/a	3000.00 5.0
AO,CRT	01/29	STANDARD PACIFIC CAPITAL	040	CE	B	80,000	29.86	n/a	n/a	4000.00 5.0
AO,	01/29	COLUMBUS CIRCLE	036	EBAY	S	13,358	23.62	n/a	n/a	534.32 4.0
AO,	01/29	COLUMBUS CIRCLE	036	GOOG	B	500	539.16	n/a	n/a	20.00 4.0
AO,CRT	01/29	CATAPULT	040	JRCC	S	25,000	15.54	n/a	n/a	1250.00 5.0
AO,CXL	01/29	CATAPULT	040	JRCC	S	25,000	15.54	n/a	n/a	1000.00 4.0
AO,CXL	01/29	PNC CAPITAL ADV	028	PG	B	35,960	61.83	n/a	29-Jan	1438.40 4.0
AO,	01/29	PNC CAPITAL ADV	028	PG	B	35,960	61.83	n/a	29-Jan	1438.40 4.0

TOTAL (AO, CXL, CRT) :**1,804.32**

TOTAL (Trade Date) :

116,882.22

TOTAL (AO, CXL, CRT) :

1,804.32

TOTAL (RUN DATE) / NFS:**118,686.54**

MRI Securities with Trade Activity on 1-Feb.

AMG

MRI Securities without Trade Activity on 1-Feb.

ACL

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

T-Date = 0%

YTD = 19%

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)