



# Daily Compliance Activity Report

Trade Date: 01/13/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f</b> ABRAM M CHAPPELL	FID	AAI	B	400	5.47	n/a	n/a	0.00	0.0
<b>f</b> JASON ERIC COHEN	FID	AAI	B	366	5.48	n/a	n/a	0.00	0.0
<b>f</b> MARK DEVEREAUX KAICH	FID	AAI	B	400	5.46	n/a	n/a	0.00	0.0
TOKIO MARINE ASSET MGMT	045	AAPL	S	2,800	206.37	n/a	n/a	112.00	4.0
CAVU CAP ADV	028	ABFS	B	25,000	28.17	n/a	n/a	1,250.00	5.0
RAINIER INV MGMT	035	ACL	S	57,340	153.44	n/a	13-Jan	2,867.00	5.0
BALYASNY ASSET MGMT	044	AGCO	SS	50,000	34.46	n/a	4-Jan	2,500.00	5.0
TOKIO MARINE ASSET MGMT	045	APA	S	5,700	105.58	n/a	29-Dec	228.00	4.0
HAHA	028	APOL	B	12,000	59.42	n/a	n/a	480.00	4.0
JMP ASSET MGMT	210	AVP	B	2,136	32.18	n/a	12-Jan	106.80	5.0
<b>f</b> BRIAN W CRAGO	FID	AXL	S	300	9.97	n/a	4-Jan	0.00	0.0
TRELLUS PARTNERS LP	028	AXL	S	100,000	9.62	n/a	4-Jan	3,000.00	3.0
UBS OCONNOR	031	BEN	S	30,000	111.68	n/a	13-Jan	900.00	3.0
<b>f</b> ANDREW SINCLAIR	FID	BGZ	B	1000	15.85	n/a	n/a	0.00	0.0
<b>f</b> ANDREW SINCLAIR	FID	BGZ	S	500	15.81	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	040	BJ	B	10,000	32.83	n/a	n/a	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>BOBE</b>	<b>SS</b>	<b>30,000</b>	<b>28.43</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
GLENHILL CAPITAL	212	BRCD	B	200,000	7.92	n/a	n/a	10,000.00	5.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>BYI</b>	<b>S</b>	<b>100</b>	<b>43.79</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CAKE</b>	<b>SS</b>	<b>30,000</b>	<b>22.20</b>	<b>n/a</b>	<b>12-Jan</b>	<b>non-brg</b>	<b>4.0</b>
TOKIO MARINE ASSET MGMT	045	CERN	S	2,500	87.05	n/a	n/a	100.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>COH</b>	<b>S</b>	<b>50,000</b>	<b>38.05</b>	<b>n/a</b>	<b>21-Oct</b>	<b>non-brg</b>	<b>4.0</b>
LEVEL GLOBAL SHARED ACCT	257	CRI	B	100,000	26.52	n/a	n/a	3,000.00	3.0
CASTLE ARK	031	CTXS	C	1,100	42.47	n/a	n/a	66.00	6.0
TRELLUS PARTNERS LP	028	DAN	B	30,000	11.42	n/a	6-Jan	1,500.00	5.0
CATAPULT	040	DD	SS	25,000	34.30	n/a	13-Jan	1,250.00	5.0
GEORGE WEISS	034	DOW	SS	40,000	30.73	n/a	13-Jan	1,600.00	4.0
BMO NESBITT BURNS	041	ENDP	SS	5,000	20.39	n/a	13-Jan	250.00	5.0
TOKIO MARINE ASSET MGMT	045	EOG	S	7,100	95.89	n/a	n/a	284.00	4.0
TOKIO MARINE ASSET MGMT	045	ESRX	S	3,100	89.87	n/a	n/a	124.00	4.0
FIRST NEW YORK LEDDY	035	ETFC	S	10,000	1.72	n/a	n/a	600.00	6.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TOKIO MARINE ASSET MGMT	045	ETR	S	3,200	82.15	n/a	n/a	128.00	4.0
<b>f</b> STRATTON PAR TNERSHI	<b>FID</b>	<b>FC</b>	<b>B</b>	<b>500</b>	<b>6.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>FINL</b>	<b>S</b>	<b>57,000</b>	<b>11.82</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
EXIS CAPITAL	044	F	B	20,000	11.69	n/a	6-Jan	1,000.00	5.0
<b>f</b> NICOLAS EVAN PAKLER	<b>FID</b>	<b>F</b>	<b>B</b>	<b>450</b>	<b>11.65</b>	<b>n/a</b>	<b>6-Jan</b>	<b>0.00</b>	<b>0.0</b>
BUCK CAPITAL MGMT	<b>001</b>	<b>GCO</b>	<b>S</b>	<b>50,000</b>	<b>25.21</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
JMP ASSET MGMT	210	GCO	S	5,000	25.43	n/a	n/a	250.00	5.0
<b>f</b> NICOLAS EVAN PAKLER	<b>FID</b>	<b>GEOI</b>	<b>S</b>	<b>210</b>	<b>13.54</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
KLEINHEINZ CAP PART	031	GE	B	50,000	16.82	n/a	n/a	2,500.00	5.0
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>GILD</b>	<b>S</b>	<b>1000</b>	<b>45.64</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>GISNN</b>	<b>S</b>	<b>10</b>	<b>0.72</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>GIS</b>	<b>B</b>	<b>500</b>	<b>71.61</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
JMP ASSET MGMT	210	GME	B	5,000	20.77	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT	<b>001</b>	<b>GPS</b>	<b>S</b>	<b>100,000</b>	<b>19.92</b>	<b>n/a</b>	<b>n/a</b>	<b>4,000.00</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>GSIC</b>	<b>S</b>	<b>75,000</b>	<b>24.94</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>f</b> CHRISTOPHER ROBERT C	<b>FID</b>	<b>GS</b>	<b>B</b>	<b>50</b>	<b>168.28</b>	<b>n/a</b>	<b>13-Jan</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TOKIO MARINE ASSET MGMT	045	GS	S	2,800	167.49	n/a	13-Jan	112.00	4.0
BALYASNY ASSET MGMT	044	HBAN	SS	50,000	4.13	n/a	n/a	1,500.00	3.0
⌘ BUCK CAPITAL MGMT		HGG	S	25,000	21.75	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		HGG	S	50,000	21.83	n/a	n/a	non-brg	4.0
BMO NESBITT BURNS	041	HSP	S	5,000	51.89	n/a	n/a	250.00	5.0
TOKIO MARINE ASSET MGMT	045	IBM	S	7,900	130.12	n/a	n/a	316.00	4.0
⌘ BUCK CAPITAL MGMT		ICON	S	50,000	13.25	n/a	n/a	non-brg	2.5
SCOPUS FUND	041	IP	SS	50,000	26.61	n/a	7-Jan	2,500.00	5.0
RBC CAPITAL MARKETS	040	JCP	SS	10,000	25.35	n/a	8-Jan	400.00	4.0
LAGRANGE CAP ADV	048	JNS	SS	10,000	14.70	n/a	8-Jan	500.00	5.0
BUCK CAPITAL MGMT	001	JNY	B	50,000	16.62	n/a	4-Jan	2,000.00	4.0
⌘ BUCK CAPITAL MGMT		JOSE	S	20,000	44.19	n/a	n/a	non-brg	4.0
BMO NESBITT BURNS	041	KG	B	10,000	12.67	n/a	13-Jan	500.00	5.0
BAIRD INVESTMENT	047	KSS	S	6,300	51.95	n/a	8-Jan	315.00	5.0
⌘ BUCK CAPITAL MGMT		KSS	B	10,000	52.16	n/a	8-Jan	non-brg	4.0
GRANITE CAPITAL	045	LEAP	S	39,100	14.39	n/a	n/a	1,955.00	5.0
BUCK CAPITAL MGMT	001	LL	S	33,482	24.85	n/a	n/a	1,339.28	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MILLENIUUM PARTNERS	028	MCD	SS	16,000	62.74	n/a	11-Jan	640.00	4.0
CAVU CAP ADV	028	MGA	B	3,380	57.88	n/a	n/a	169.00	5.0
WAGONHOUND/NIC	048	MGM	B	50,000	12.31	n/a	6-Nov	2,000.00	4.0
TOKIO MARINE ASSET MGMT	045	MMM	S	8,000	83.53	n/a	13-Jan	320.00	4.0
ST OF MICHIAN	047	MRK	B	120,000	38.91	n/a	n/a	3,600.00	3.0
BMO NESBITT BURNS	041	MRX	SS	5,000	24.14	n/a	n/a	250.00	5.0
FIRST NY SEC/CHRIS	041	MSFT	B	25,000	30.32	n/a	n/a	1,250.00	5.0
CAPITAL GROWTH MGMT.	241	MU	B	250,000	10.48	n/a	n/a	7,500.00	3.0
BMO NESBITT BURNS	041	MYL	B	15,000	17.59	n/a	13-Jan	750.00	5.0
BRIGADE CAPITAL MGMT	029	M	B	125,000	16.50	n/a	8-Jan	3,750.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>NFLX</b>	<b>SS</b>	<b>30,000</b>	<b>53.13</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>NTY</b>	<b>S</b>	<b>50,379</b>	<b>45.05</b>	<b>n/a</b>	<b>n/a</b>	<b>2,015.16</b>	<b>4.0</b>
SYSTEMATIC FINANCIAL MGT	035	NUS	S	22,600	26.09	n/a	n/a	678.00	3.0
<b>f BARBARA S LEDDY</b>	<b>FID</b>	<b>NYB</b>	<b>B</b>	<b>400</b>	<b>14.66</b>	<b>n/a</b>	<b>8-Jan</b>	<b>0.00</b>	<b>0.0</b>
TOKIO MARINE ASSET MGMT	045	OXY	S	1,900	79.70	n/a	n/a	76.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>OZM</b>	<b>B</b>	<b>150</b>	<b>14.72</b>	<b>n/a</b>	<b>13-Jan</b>	<b>0.00</b>	<b>0.0</b>
FRIESS MGMT	033	PAG	B	101,500	16.96	n/a	4-Jan	4,060.00	4.0
SCOPUS FUND	041	PAG	B	5,000	16.52	n/a	4-Jan	250.00	5.0
<b>MKT MAKER</b>	<b>099</b>	<b>PBR</b>	<b>S</b>	<b>25,000</b>	<b>46.35</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PFCB</b>	<b>SS</b>	<b>30,000</b>	<b>36.62</b>	<b>n/a</b>	<b>11-Jan</b>	<b>non-brg</b>	<b>4.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>PM</b>	<b>S</b>	<b>1000</b>	<b>49.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BMO NESBITT BURNS	041	PRGO	B	5,000	42.04	n/a	13-Jan	250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>PSS</b>	<b>S</b>	<b>30,000</b>	<b>22.24</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
CATAPULT	040	PXP	B	25,000	32.16	n/a	n/a	1,250.00	5.0
TOKIO MARINE ASSET MGMT	045	RIG	S	3,400	90.76	n/a	n/a	136.00	4.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>RUSHA</b>	<b>B</b>	<b>6009</b>	<b>11.72</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SHOO</b>	<b>B</b>	<b>10,000</b>	<b>42.16</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SIG</b>	<b>B</b>	<b>50,000</b>	<b>28.80</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKX</b>	<b>S</b>	<b>20,000</b>	<b>29.92</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
JANA CAPITAL	044	TIN	B	14,630	19.70	n/a	7-Jan	585.20	4.0
SCOPUS FUND	041	TIN	SS	25,000	20.14	n/a	7-Jan	1,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SOROS	036	TXN	C	200,000	24.80	n/a	n/a	8,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>UAUA</b>	<b>S</b>	<b>125,000</b>	<b>13.71</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
CAVU CAP ADV	028	URI	B	25,000	8.87	n/a	n/a	1,250.00	5.0
TOKIO MARINE ASSET MGMT	045	VFC	S	3,000	74.44	n/a	4-Jan	120.00	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>VNO</b>	<b>B</b>	<b>1000</b>	<b>69.71</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BMO NESBITT BURNS	041	WCRX	B	7,000	28.36	n/a	13-Jan	350.00	5.0
SYSTEMATIC FINANCIAL MGT	035	WSM	B	110,000	22.58	n/a	n/a	3,300.00	3.0
JMP ASSET MGMT	210	WTW	B	4,657	29.35	n/a	n/a	232.85	5.0
AVESTA CAP	229	XLNX	B	100,000	24.29	n/a	n/a	3,000.00	3.0
<b>TOTAL (Trade Date) :</b>								<b>100,265.29</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CRT	01/12	SACC-SCHWARTZ	044	AA	B	50,000	15.85	n/a	n/a	1750.00	3.5
AO,CXL	01/12	SACC-SCHWARTZ	044	AA	B	50,000	15.85	n/a	n/a	2000.00	4.0
AO,	01/12	ETON PARK CAPITAL	041	C	S	5,000,000	3.56	n/a	13-Jan	100000.00	2.0
AO,CXL	01/12	SAC TRADING TOM LEDDY	035	GPS	B	40,000	19.85	n/a	n/a	2000.00	5.0
AO,CRT	01/12	SAC TRADING TOM LEDDY	035	GPS	B	40,000	19.85	n/a	n/a	1400.00	3.5
AO,CXL	01/12	SAC TRADIN/BINDER	044	LVS	SS	25,000	18.70	n/a	4-Jan	1000.00	4.0
AO,CRT	01/12	SAC TRADIN/BINDER	044	LVS	SS	25,000	18.70	n/a	4-Jan	875.00	3.5
AO,CRT	01/12	PRINCIPLE CAPITAL	040	ORA	SS	50,000	36.52	n/a	n/a	1500.00	3.0
AO,CXL	01/12	PRINCIPLE CAPITAL	040	ORA	SS	50,000	36.52	n/a	n/a	2000.00	4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>98,525.00</b>	

TOTAL (Trade Date) :	100,265.29
TOTAL (AO, CXL, CRT) :	98,525.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>198,790.29</b>
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MRI Securities with Trade Activity on 13-Jan. NONE
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MRI Securities without Trade Activity on 13-Jan.

ETN

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

T-Date = 34%

YTD = 17%

<b><u>Legend:</u></b>
<b>Õ: Employee Trades in Outside Accounts</b>
<b>ß: Non-BRG BCM Trades</b>
[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)