



Daily Compliance Activity Report

Trade Date: 08/17/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		ABG	S	40,000	13.06	n/a	4-Aug	non-brg	4.0
LIEBAU ASSET	048	ADSK	S	5,000	27.85	n/a	n/a	250.00	5.0
BUCK CAPITAL MGMT		ANF	B	28,000	34.66	n/a	6-Aug	non-brg	4.0
BUCK CAPITAL MGMT		ANF	B	30,000	35.62	n/a	6-Aug	non-brg	0.8
BUCK CAPITAL MGMT		ANF	B	80,000	34.48	n/a	6-Aug	non-brg	4.0
CASTLEROCK	040	ANF	SS	77,920	35.82	n/a	6-Aug	3,116.80	4.0
GREEN ARROW DOUG	040	ANF	B	5,000	36.33	n/a	6-Aug	250.00	5.0
DENVER INST. ADV	046	ANN	B	2,100	15.10	n/a	n/a	84.00	4.0
JASON ERIC COHEN	FID	AONE	B	200	7.47	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		ARO	B	20,000	22.87	n/a	6-Aug	non-brg	4.0
BUCK CAPITAL MGMT		ARO	B	22,000	23.24	n/a	6-Aug	non-brg	0.8
BUCK CAPITAL MGMT		BAC	B	40,000	13.37	n/a	16-Aug	non-brg	4.0
WATERFRONT CAP	028	BBBY	B	18,000	38.16	n/a	n/a	720.00	4.0
BUCK CAPITAL MGMT		BHI	B	12,000	40.70	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		BK	B	20,000	24.91	n/a	10-Aug	non-brg	4.0
KLEINHEINZ CAP PART	031	BRCM	B	150,000	32.69	n/a	n/a	7,500.00	5.0
FRANCIS MICHAEL MCCA	FID	BWA	B	300	46.36	n/a	2-Aug	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MTB INV ADV	034	CGI	B	5,175	12.80	n/a	n/a	258.75	5.0
SIGMA CAPITAL ASSOCIATES	041	CHS	SS	25,000	8.73	n/a	5-Feb	875.00	3.5
B BUCK CAPITAL MGMT		COF	B	13,000	39.30	n/a	17-Aug	non-brg	4.0
SIGMA CAPITAL ASSOCIATES	041	COST	S	50,000	56.02	n/a	n/a	1,750.00	3.5
B BUCK CAPITAL MGMT		CROX	S	50,000	13.20	n/a	n/a	non-brg	4.0
APEX CAPITAL MGMT.	261	CY	SS	100,000	10.50	n/a	n/a	4,000.00	4.0
B BUCK CAPITAL MGMT		EXH	B	22,500	22.22	n/a	6-Aug	non-brg	4.0
DENVER INST. ADV	046	FINL	B	4,000	13.31	n/a	n/a	160.00	4.0
BENCHMARK	025	FL	B	20,000	13.10	n/a	13-Aug	800.00	4.0
f KAREN F LEDDY	FID	FL	B	700	12.97	n/a	13-Aug	0.00	0.0
B BUCK CAPITAL MGMT		FOSL	B	10,000	45.01	n/a	n/a	non-brg	4.0
BIXBY LLC	070	FTR	S	8,000	7.65	n/a	n/a	240.00	3.0
B BUCK CAPITAL MGMT		GCO	B	20,000	25.36	n/a	n/a	non-brg	4.0
CASTLE ARK	031	GES	S	88,760	37.95	n/a	19-Jul	4,438.00	5.0
f KAREN F LEDDY	FID	GIL	S	600	30.02	n/a	13-Aug	0.00	0.0
B BUCK CAPITAL MGMT		GYMB	B	12,000	41.13	n/a	16-Aug	non-brg	0.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GREEN ARROW DOUG	040	HD	SS	9,150	27.87	n/a	17-Aug	457.50	5.0
KLEINHEINZ CAP PART	031	HD	B	75,000	28.15	n/a	17-Aug	3,750.00	5.0
f KAREN F LEDDY	FID	ICON	S	1500	16.11	n/a	n/a	0.00	0.0
BIXBY LLC	070	INTC	S	2,000	19.74	n/a	n/a	60.00	3.0
WEDBUSH/PACIFIC GROWTH EQTY LLC084	IP		S	7,500	22.14		n/a 28-Jul	375.00	5.0
LISTED ERR	099	IP	B	2,500	22.14	n/a	28-Jul	0.00	0.0
LISTED ERR	099	IP	S	2,500	22.14	n/a	28-Jul	0.00	0.0
B BUCK CAPITAL MGMT		JNS	S	21,900	10.03	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		JNS	S	53,136	10.06	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		JWN	B	10,000	30.69	n/a	13-Aug	non-brg	4.0
B BUCK CAPITAL MGMT		JWN	B	16,000	30.49	n/a	13-Aug	non-brg	0.8
EXIS CAPITAL	044	JWN	SS	15,000	30.96	n/a	13-Aug	750.00	5.0
SIGMA CAP BOBBY	044	KBH	SS	8,500	10.37	n/a	n/a	297.50	3.5
DENVER INST. ADV	046	KCP	B	2,600	12.55	n/a	n/a	104.00	4.0
f EDWARD W WHEELER	FID	KEM	S	8357	3.27	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		KSS	B	11,000	44.76	n/a	13-Aug	non-brg	0.8
EXIS CAPITAL	044	KSS	SS	5,000	45.20	n/a	13-Aug	250.00	5.0
MTB INV ADV	034	KSU	B	4,150	35.06	n/a	n/a	207.50	5.0
SIGMA CAP BOBBY	044	LEN	SS	7,200	13.33	n/a	n/a	252.00	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f EDWARD W WHEELER	FID	LNDC	S	10000	5.68	n/a	n/a	0.00	0.0
SIGMA CAP BOBBY	044	MDC	SS	3,500	26.47	n/a	n/a	122.50	3.5
f DAVID GEORGE BUCK	FID	MON	S	1000	58.94	n/a	12-Aug	0.00	0.0
THIRD COAST CAPITAL	035	MON	B	7,500	59.04	n/a	12-Aug	375.00	5.0
f FRANCIS MICHAEL MCCA	FID	MPEL	B	2000	3.97	n/a	29-Jul	0.00	0.0
f FRANCIS MICHAEL MCCA	FID	MPEL	B	2000	4.03	n/a	29-Jul	0.00	0.0
f DAVID GEORGE BUCK	FID	MRK	B	2000	35.41	n/a	n/a	0.00	0.0
SUN AMERICA ASSET MGMT	030	MSFT	B	5,100	24.79	n/a	n/a	204.00	4.0
MTB INV ADV	034	MSM	B	1,790	49.74	n/a	n/a	89.50	5.0
SIGMA CAP BOBBY	044	MTH	B	5,600	16.70	n/a	n/a	196.00	3.5
MTB INV ADV	034	NDSN	B	2,075	66.55	n/a	n/a	103.75	5.0
SUN AMERICA ASSET MGMT	030	OMX	B	15,000	11.35	n/a	n/a	600.00	4.0
B BUCK CAPITAL MGMT		PAG	S	120,000	12.68	n/a	4-Aug	non-brg	4.0
f DAVID GEORGE BUCK	FID	PEP	S	1000	65.93	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		PERY	B	1,577	21.63	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		PERY	B	6,158	21.62	n/a	n/a	non-brg	0.8
DENVER INST. ADV	046	PERY	B	1,600	21.95	n/a	n/a	64.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIGMA CAP BOBBY	044	PHM	B	13,600	8.18	n/a	n/a	476.00	3.5
B BUCK CAPITAL MGMT		PLCE	B	24,000	41.57	n/a	16-Aug	non-brg	0.8
DENVER INST. ADV	046	PLCE	B	1,800	42.11	n/a	16-Aug	72.00	4.0
PZENA INV ADV	044	POR	S	32,375	19.94	n/a	n/a	1,133.14	3.5
GOLD SACHS SPECIAL SIT	030	PTV	S	150,000	32.61	n/a	n/a	7,500.00	5.0
SUFFOLK CAPITAL MGMT	040	PX	S	100,000	89.53	n/a	28-Jul	4,000.00	4.0
SIGMA CAP BOBBY	044	RYL	B	6,400	16.28	n/a	n/a	224.00	3.5
f KAREN F LEDDY	FID	SEED	S	1000	8.65	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SHLD	C	30,000	66.71	n/a	n/a	non-brg	2.5
DENVER INST. ADV	046	SHOO	B	1,200	36.00	n/a	n/a	48.00	4.0
CHILTON CAPITAL MGMT.	036	SKS	C	50,000	7.85	n/a	n/a	1,500.00	3.0
ISLE RIDGE PARTNERS	041	SLE	B	235,000	14.90	n/a	n/a	11,750.00	5.0
BERMAN CAPITAL MGMT	046	SPY	S	25,000	109.86	n/a	n/a	750.00	3.0
CASTLEROCK	040	SSCC	S	44,477	18.45	n/a	3-Aug	1,779.08	4.0
TALKOT CAPITAL LLC	084	ST	S	10,000	17.50	n/a	n/a	300.00	3.0
THIRD COAST CAPITAL	035	SUP	B	10,000	15.20	n/a	16-Aug	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MTB INV ADV	034	TGI	B	3,125	71.90	n/a	n/a	156.25	5.0
BNP PARIBAS SEC	040	TJX	SS	10,000	41.91	n/a	6-Aug	400.00	4.0
B BUCK CAPITAL MGMT		TLB	B	50,000	10.05	n/a	n/a	non-brg	0.8
ROTHSCHILD ASSET	040	TPX	S	15,360	29.21	n/a	n/a	614.40	4.0
B BUCK CAPITAL MGMT		TRLG	C	40,000	20.90	n/a	n/a	non-brg	4.0
SAXON WOODS ADVISORS	242	TSCO	S	10,000	69.82	n/a	n/a	400.00	4.0
NEUBERGER BERMAN	036	UDR	S	132,300	20.30	n/a	n/a	5,292.00	4.0
f DAVID GEORGE BUCK	FID	V	B	1000	73.33	n/a	2-Aug	0.00	0.0
MAIRS AND POWER INV	030	WFC	B	10,000	25.38	n/a	10-Aug	500.00	5.0
PLATTE RIVER CAPITAL	240	WMT	S	32,050	51.44	n/a	17-Aug	1,282.00	4.0
B BUCK CAPITAL MGMT		WRC	B	20,000	42.08	n/a	6-Aug	non-brg	4.0
WATERFRONT CAP	028	WSM	S	25,000	27.53	n/a	n/a	1,000.00	4.0
DENVER INST. ADV	046	WWW	B	1,900	27.06	n/a	n/a	76.00	4.0
GREEN ARROW DOUG	040	XRT	B	16,400	37.52	n/a	n/a	820.00	5.0

TOTAL (Trade Date):

73,273.67

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/16	SIGMA CAP BOBBY	044	ADM	S	25,000	30.15	n/a	3-Aug	875.00 3.5
AO,CRT	08/16	SIGMA CAP BOBBY	044	ADM	S	25,000	30.15	n/a	3-Aug	875.00 3.5
AO,CXL	08/16	SIGMA CAP BOBBY	044	FCX	S	16,600	71.16	n/a	n/a	581.00 3.5
AO,CRT	08/16	SIGMA CAP BOBBY	044	FCX	S	16,600	71.16	n/a	n/a	581.00 3.5
AO,	08/16	WEINTRAUB CAPITAL MGT.	040	FL	B	50,000	12.66	n/a	13-Aug	2000.00 4.0
AO,CXL	08/16	SIGMA CAP BOBBY	044	GE	B	50,000	15.48	n/a	n/a	1750.00 3.5
AO,CRT	08/16	SIGMA CAP BOBBY	044	GE	B	50,000	15.48	n/a	n/a	1750.00 3.5
AO,CXL	08/16	SIGMA CAP BOBBY	044	IWM	SS	50,000	61.77	n/a	n/a	1750.00 3.5
AO,CRT	08/16	SIGMA CAP BOBBY	044	IWM	SS	50,000	61.77	n/a	n/a	1750.00 3.5
AO,	08/16	WILLIAM BLAIR	031	KSS	S	5,606	44.36	n/a	13-Aug	224.24 4.0
AO,CRT	08/13	DAVIDSON KEMPNER ADVISOR	040	SPY	SS	5,130	108.54	n/a	n/a	256.50 5.0
AO,CXL	08/13	DAVIDSON KEMPNER ADVISOR	040	SPY	SS	5,130	108.59	n/a	n/a	256.50 5.0
AO,CRT	08/12	CASTLEROCK	040	SSCC	B	329,323	18.42	n/a	3-Aug	13172.92 4.0
AO,CXL	08/12	CASTLEROCK	040	SSCC	B	329,323	18.42	n/a	3-Aug	13172.92 4.0
AO,	08/16	ELM RIDGE ADVISORS	044	TIN	B	15,500	18.05	n/a	27-Jul	620.00 4.0
AO,CXL	08/16	SIGMA CAP BOBBY	044	WERN	B	15,000	21.03	n/a	n/a	525.00 3.5
AO,CRT	08/16	SIGMA CAP BOBBY	044	WERN	B	15,000	21.03	n/a	n/a	525.00 3.5
AO,CXL	08/16	SIGMA CAP BOBBY	044	XRT	SS	25,000	36.99	n/a	n/a	875.00 3.5

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CRT	08/16	SIGMA CAP BOBBY	044	XRT	SS	25,000	36.99	n/a	n/a 875.00 3.5

TOTAL (AO, CXL, CRT):	2,844.24
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TOTAL (Trade Date):	73,273.67
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TOTAL (AO, CXL, CRT):	2,844.24
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TOTAL (RUN DATE) / NFS:	76,117.91
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MRI Securities with Trade Activity on 17-Aug.
NONE

MRI Securities without Trade Activity on 17-Aug.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 0%
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)