



# Daily Compliance Activity Report

Trade Date: 05/28/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	AA	S	200	11.63	n/a	n/a	10.00	5.0
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>AB</b>	<b>B</b>	<b>400</b>	<b>28.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>AEO</b>	<b>S</b>	<b>100,000</b>	<b>13.10</b>	<b>n/a</b>	<b>28-May</b>	<b>non-brg</b>	<b>4.0</b>
DAVIDSON KEMPNER ADVISOR	040	AGN	C	50,000	60.42	n/a	24-May	2,500.00	5.0
PATTEN & PATTEN	067	AGN	S	250	60.65	n/a	24-May	12.50	5.0
SUN AMERICA ASSET MGMT	030	ANR	B	22,200	38.56	n/a	n/a	888.00	4.0
PATTEN & PATTEN	067	APD	B	350	69.34	n/a	10-May	17.50	5.0
COLUMBUS CIRCLE	036	ATI	S	7,000	55.28	n/a	n/a	280.00	4.0
NEUBERGER BERMAN	036	ATU	B	30,800	20.44	n/a	n/a	1,232.00	4.0
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>BAC</b>	<b>B</b>	<b>400</b>	<b>16.16</b>	<b>n/a</b>	<b>21-May</b>	<b>0.00</b>	<b>0.0</b>
<b>f BERNA GABRIELLE BARS</b>	<b>FID</b>	<b>BAGL</b>	<b>S</b>	<b>500</b>	<b>13.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>BEE</b>	<b>B</b>	<b>1000</b>	<b>4.91</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BHI</b>	<b>B</b>	<b>40,000</b>	<b>38.32</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
ROYCE TRADING	216	BIIB	B	500	47.59	n/a	n/a	25.00	5.0
LEVEL GLOBAL SHARED ACCT	257	BKC	C	36,200	19.19	n/a	29-Apr	1,086.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CHILTON CAPITAL MGMT.	036	BKD	SS	100,000	17.80	n/a	n/a	3,000.00	3.0
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>BKRS</b>	<b>S</b>	<b>2966</b>	<b>1.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BKS</b>	<b>SS</b>	<b>10,000</b>	<b>20.31</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BRIGADE CAPITAL MGMT	029	BONT	S	53,900	13.11	n/a	n/a	1,617.00	3.0
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>BP</b>	<b>B</b>	<b>300</b>	<b>43.38</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BWS</b>	<b>S</b>	<b>30,000</b>	<b>16.56</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
PATTEN & PATTEN	067	CAG	S	300	24.28	n/a	n/a	15.00	5.0
<b>f BERNA GABRIELLE BARS</b>	<b>FID</b>	<b>COWN</b>	<b>S</b>	<b>2000</b>	<b>4.83</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LEVEL GLOBAL SHARED ACCT	257	CRI	S	200,000	30.93	n/a	n/a	6,000.00	3.0
COLUMBUS CIRCLE	036	CRM	S	5,000	86.42	n/a	n/a	200.00	4.0
PATTEN & PATTEN	067	CVA	S	1,000	15.49	n/a	n/a	50.00	5.0
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>CVGI</b>	<b>B</b>	<b>1000</b>	<b>11.99</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>C</b>	<b>B</b>	<b>1000</b>	<b>4.04</b>	<b>n/a</b>	<b>21-May</b>	<b>0.00</b>	<b>0.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>DAN</b>	<b>B</b>	<b>450</b>	<b>10.92</b>	<b>n/a</b>	<b>30-Apr</b>	<b>0.00</b>	<b>0.0</b>
<b>f BERNA GABRIELLE BARS</b>	<b>FID</b>	<b>DWA</b>	<b>B</b>	<b>25</b>	<b>1.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f CHRISTINE MARIE NORM</b>	<b>FID</b>	<b>EFT</b>	<b>S</b>	<b>43</b>	<b>14.29</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CR INTRINIC INVESTMENT	044	ENDP	SS	30,000	21.04	n/a	24-May	1,050.00	3.5
PATTEN & PATTEN	067	EPP	S	810	37.25	n/a	n/a	40.50	5.0
PATTEN & PATTEN	067	ETN	B	350	70.09	n/a	27-May	17.50	5.0
PATTEN & PATTEN	067	EWG	B	1,850	19.25	n/a	n/a	92.50	5.0
<b>f JOHN BARTMAN COLE</b>	<b>FID</b>	<b>FBC</b>	<b>B</b>	<b>2000</b>	<b>4.47</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>FL</b>	<b>B</b>	<b>500</b>	<b>14.97</b>	<b>n/a</b>	<b>21-May</b>	<b>0.00</b>	<b>0.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>FL</b>	<b>S</b>	<b>500</b>	<b>14.87</b>	<b>n/a</b>	<b>21-May</b>	<b>0.00</b>	<b>0.0</b>
CHILTON CAPITAL MGMT.	036	GDX	SS	50,000	49.61	n/a	n/a	1,500.00	3.0
BMO NESBITT BURNS	041	GES	S	5,000	38.30	28-May	28-May	250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>GES</b>	<b>S</b>	<b>20,000</b>	<b>38.22</b>	<b>28-May</b>	<b>28-May</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GES</b>	<b>S</b>	<b>30,000</b>	<b>38.25</b>	<b>28-May</b>	<b>28-May</b>	<b>non-brg</b>	<b>0.8</b>
EXIS CAPITAL	044	GES	SS	10,000	38.28	28-May	28-May	500.00	5.0
WHITE PINE CAPITAL	030	GGG	S	9,200	31.59	n/a	n/a	460.00	5.0
BMO NESBITT BURNS	041	GIL	S	5,500	28.94	n/a	14-May	275.00	5.0
STATE TEACHERS RET SYS	047	GT	B	25,000	11.91	n/a	n/a	1,250.00	5.0
EXIS CAPITAL	044	GYMB	B	5,000	44.80	n/a	28-May	250.00	5.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
<b>B</b>	<b>BUCK CAPITAL MGMT</b>		<b>HAL</b>	<b>B</b>	<b>60,000</b>	<b>25.09</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg 4.0</b>
	CHILTON CAPITAL MGMT.	036	HOT	SS	100,000	46.64	n/a	n/a	3,000.00 3.0
	EXIS CAPITAL	044	HWD	B	10,000	12.40	n/a	n/a	500.00 5.0
	PATTEN & PATTEN	067	ITT	S	500	48.45	n/a	30-Apr	25.00 5.0
	EXIS CAPITAL	044	JNY	B	20,000	20.07	n/a	14-May	1,000.00 5.0
	BMO NESBITT BURNS	041	JWN	B	10,000	40.01	n/a	28-May	500.00 5.0
	EXIS CAPITAL	044	JWN	B	20,000	40.00	n/a	28-May	1,000.00 5.0
	SCOPUS FUND	041	KSS	B	25,000	51.26	n/a	28-May	1,250.00 5.0
	COLUMBUS CIRCLE	036	KSU	S	10,600	38.42	n/a	n/a	424.00 4.0
<b>Õ</b>	<b>Ravi Sadarangani</b>		<b>KSWs</b>	<b>S</b>	<b>100</b>	<b>12.48</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>
<b>Õ</b>	<b>Ravi Sadarangani</b>		<b>KSWs</b>	<b>S</b>	<b>100</b>	<b>12.48</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>
<b>Õ</b>	<b>Ravi Sadarangani</b>		<b>KSWs</b>	<b>S</b>	<b>500</b>	<b>12.48</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>
	NEUBERGER BERMAN	036	LANC	B	8,100	54.81	n/a	n/a	324.00 4.0
	FIRST NEW YORK LEDDY	035	LVLt	S	20,000	1.32	n/a	n/a	800.00 4.0
	DIAMONDBACK CAP MGMT	232	LVS	S	65,000	23.29	n/a	13-May	3,250.00 5.0
	CHILTON CAPITAL MGMT.	036	MAR	SS	100,000	33.66	n/a	n/a	3,000.00 3.0
<b>f</b>	<b>KAREN F LEDDY</b>	<b>FID</b>	<b>MS</b>	<b>B</b>	<b>400</b>	<b>27.05</b>	<b>n/a</b>	<b>21-May</b>	<b>0.00 0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	MW	SS	10,000	21.80	n/a	n/a	400.00	4.0
EXIS CAPITAL	044	M	B	15,000	22.16	n/a	28-May	750.00	5.0
FARBER/WEISS PECK	070	NUAN	S	23,000	17.14	n/a	n/a	920.00	4.0
PATTEN & PATTEN	067	PID	B	800	13.06	n/a	n/a	40.00	5.0
HARVEST MGMT	029	PLCE	B	10,000	47.37	n/a	21-May	500.00	5.0
ROARING BLUE LION MGMT	012	PLCE	S	6,000	47.30	n/a	21-May	240.00	4.0
STERLING JOHNSTON	035	PLCE	B	50,000	47.14	n/a	21-May	2,000.00	4.0
MELLON/BANK OF NEW YORK	046	PVX	B	14,000	7.02	n/a	n/a	700.00	5.0
GLENHILL CAPITAL	212	QQQQ	B	500,000	45.64	n/a	n/a	25,000.00	5.0
f KAREN F LEDDY	FID	RIG	B	250	56.92	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SIG	B	30,000	31.31	n/a	n/a	non-brg	4.0
f HARALAMBOS EFSTATHI	FID	SPWRA	B	1000	13.27	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	SPWRA	B	1500	13.09	n/a	n/a	0.00	0.0
COUGAR TRADING	044	TAST	S	2,500	6.25	n/a	n/a	100.00	4.0
PATTEN & PATTEN	067	TEVA	B	950	55.08	n/a	27-May	47.50	5.0
EXIS CAPITAL	044	TJX	SS	5,000	45.74	n/a	28-May	250.00	5.0
f JONATHAN RICHARD HAR	FID	TLB	B	800	15.33	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>TLB</b>	<b>B</b>	<b>600</b>	<b>15.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>TLB</b>	<b>S</b>	<b>100</b>	<b>15.12</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	TM	SS	5,000	72.47	n/a	n/a	250.00	5.0
LEVEL GLOBAL SHARED ACCT	257	TPX	B	50,000	33.58	n/a	n/a	1,500.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>TRLG</b>	<b>SS</b>	<b>20,000</b>	<b>27.29</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
EXIS CAPITAL	044	UA	B	30,003	34.25	n/a	28-Apr	1,500.15	5.0
STATE TEACHERS RET SYS	047	VZ	S	45,000	27.61	n/a	n/a	2,250.00	5.0
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>WBC</b>	<b>B</b>	<b>500</b>	<b>30.22</b>	<b>n/a</b>	<b>27-May</b>	<b>0.00</b>	<b>0.0</b>
HARVEST MGMT	029	XRT	SS	11,500	40.75	n/a	n/a	345.00	3.0
<b>TOTAL (Trade Date):</b>								<b>74,484.15</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	05/27	MADISON ST PARTNERS LLC	046	BRCM	B	306	33.94	n/a	n/a	15.30	5.0
AO,CRT	05/27	MADISON ST PARTNERS LLC	046	BRCM	B	24,694	33.94	n/a	n/a	1234.70	5.0
AO,CXL	05/27	MADISON ST PARTNERS LLC	046	BRCM	B	25,000	33.94	n/a	n/a	1250.00	5.0
AO,	05/27	COLUMBUS CIRCLE	036	PAY	B	43,443	18.91	n/a	n/a	1737.72	4.0
AO,CRT	05/27	POINT BLANK CAPITAL	028	PCL	B	4,000	34.89	n/a	27-Apr	80.00	2.0
AO,CXL	05/27	POINT BLANK CAPITAL	028	PCL	B	4,000	34.89	n/a	27-Apr	200.00	5.0
AO,CRT	05/27	STANDARD PACIFIC CAPITAL	040	ROST	SS	35,000	52.82	n/a	n/a	1750.00	5.0
AO,CXL	05/27	STANDARD PACIFIC CAPITAL	040	ROST	SS	35,000	52.82	n/a	n/a	1750.00	5.0
AO,	05/27	WHITE PINE CAPITAL	030	TBT	S	1,000	40.21	n/a	n/a	50.00	5.0
AO,	05/27	WHITE PINE CAPITAL	030	TLT	B	300	96.52	n/a	n/a	15.00	5.0
AO,CRT	05/27	POINT BLANK CAPITAL	028	UFS	B	3,000	61.12	n/a	n/a	60.00	2.0
AO,CXL	05/27	POINT BLANK CAPITAL	028	UFS	B	3,000	61.12	n/a	n/a	150.00	5.0
AO,CXL	05/27	POINT BLANK CAPITAL	028	WPP	B	6,000	8.68	n/a	n/a	300.00	5.0
AO,CRT	05/27	POINT BLANK CAPITAL	028	WPP	B	6,000	8.68	n/a	n/a	120.00	2.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>1,412.72</b>	

TOTAL (Trade Date) :

74,484.15

TOTAL (AO, CXL, CRT):

1,412.72

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TOTAL (RUN DATE) / NFS:

75,896.87

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MRI Securities with Trade Activity on 28-May.

GES

MRI Securities without Trade Activity on 28-May.

MON

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

T-Date = 3%

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)