



Daily Compliance Activity Report

Trade Date: 06/23/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f KEVIN MICHAEL O'GORM	FID	ACCP	S	5000	2.18	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	AEO	S	30,000	12.73	n/a	4-Jun	1,500.00	5.0
BROADARCH CAP/OLD NEWC	070	ALTR	SS	2,400	25.53	n/a	n/a	96.00	4.0
BROADARCH CAP/OLD NEWC	070	AMAT	SS	5,700	13.04	n/a	n/a	228.00	4.0
BUCK CAPITAL MGMT	001	ANF	B	20,000	32.62	n/a	4-Jun	800.00	4.0
BUCK CAPITAL MGMT	001	ANN	B	10,000	18.44	n/a	n/a	400.00	4.0
f KEVIN MICHAEL O'GORM	FID	ATPG	S	1000	10.84	n/a	n/a	0.00	0.0
ISLE RIDGE PARTNERS	041	BBY	B	15,000	36.41	n/a	n/a	600.00	4.0
BUCK CAPITAL MGMT	001	BC	B	30,000	15.17	n/a	n/a	1,200.00	4.0
B BUCK CAPITAL MGMT		BEBE	B	70,000	6.60	n/a	n/a	non-brg	3.0
STANDARD PACIFIC CAPITAL	040	BGG	S	100,000	19.09	n/a	n/a	5,000.00	5.0
B BUCK CAPITAL MGMT		BJ	SS	10,000	38.85	n/a	n/a	non-brg	4.0
STANDARD PACIFIC CAPITAL	040	BYI	SS	15,000	36.07	n/a	n/a	750.00	5.0
TRUSTCO/SUNTRUST	040	CBT	B	27,935	26.24	n/a	28-May	1,089.46	3.9

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GLENHILL CAPITAL	212	CCE	B	225,000	26.67	n/a	n/a	11,250.00	5.0
BUCK CAPITAL MGMT	001	CHS	B	270,000	10.76	n/a	5-Feb	10,800.00	4.0
BENNETT LAWRENCE	028	CLH	B	3,100	68.14	n/a	n/a	124.00	4.0
f DAVID GEORGE BUCK	FID	CMA	B	2000	37.80	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	COH	S	40,000	40.41	n/a	14-May	1,600.00	4.0
ß BUCK CAPITAL MGMT		CSTR	B	40,000	47.37	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DBRN	B	10,000	25.18	n/a	n/a	non-brg	0.8
f FRANCIS MICHAEL MCCA	FID	DFS	B	600	14.02	n/a	23-Jun	0.00	0.0
BUCK CAPITAL MGMT	001	DG	SS	10,000	28.99	n/a	8-Jun	400.00	4.0
BUCK CAPITAL MGMT	001	EL	SS	10,000	56.58	n/a	7-Jun	400.00	4.0
CHARTER OAK	033	EOG	S	51,137	106.37	n/a	n/a	2,556.85	5.0
ß BUCK CAPITAL MGMT		FDO	SS	50,000	38.97	n/a	3-Jun	non-brg	4.0
TRELLUS PARTNERS LP	028	F	B	50,000	11.03	n/a	3-Jun	2,500.00	5.0
SAC TRADING TOM LEDDY	035	GES	B	16,300	32.03	n/a	28-May	570.50	3.5
ß BUCK CAPITAL MGMT		GIII	B	20,000	24.46	n/a	n/a	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	GIL	S	40,000	30.66	n/a	14-May	1,600.00	4.0
ISLE RIDGE PARTNERS	041	GLW	B	40,000	18.04	n/a	22-Jun	1,600.00	4.0
ß BUCK CAPITAL MGMT		GYMB	B	10,000	42.61	n/a	10-Jun	non-brg	2.5
BUCK CAPITAL MGMT	001	HAS	SS	10,000	40.98	n/a	n/a	400.00	4.0
ß BUCK CAPITAL MGMT		HBI	S	10,000	26.00	n/a	14-May	non-brg	4.0
ß BUCK CAPITAL MGMT		HD	SS	20,000	30.47	n/a	19-May	non-brg	4.0
NPIN	030	HD	B	3,000	30.65	n/a	19-May	120.00	4.0
CASTLE ARK	031	HSP	B	54,510	56.15	n/a	n/a	3,270.60	6.0
AVESTA CAP	229	IP	C	200,000	25.16	n/a	29-Apr	6,000.00	3.0
BMO NESBITT BURNS	041	IP	B	4,000	25.03	n/a	29-Apr	400.00	10.0
MILLENIUM PARTNERS	028	IP	B	20,000	24.19	n/a	29-Apr	800.00	4.0
SF SENTRY	085	IR	SS	10,000	38.34	n/a	27-May	500.00	5.0
ß BUCK CAPITAL MGMT		JAH	B	103,600	29.67	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		JAH	B	7,680	29.67	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		JAH	B	7,900	29.75	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		JOSB	B	30,000	57.20	n/a	n/a	non-brg	2.5
f CHRISTOPHER ROBERT C	FID	JWN	B	200	36.93	n/a	4-Jun	0.00	0.0
SHEFFIELD ASSET MGMT	031	KR	B	25,000	20.00	n/a	n/a	1,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	KSS	B	10,000	51.16	n/a	4-Jun	400.00	4.0
BROADARCH CAP/OLD NEWC	070	LEA	B	2,100	70.85	n/a	7-May	84.00	4.0
BROADARCH CAP/OLD NEWC	070	LOW	SS	3,400	21.57	n/a	17-May	136.00	4.0
ß BUCK CAPITAL MGMT		LOW	SS	20,000	21.71	n/a	17-May	non-brg	4.0
BUCK CAPITAL MGMT	001	LTD	B	20,000	23.61	n/a	n/a	800.00	4.0
ß BUCK CAPITAL MGMT		LTD	B	10,000	23.43	n/a	n/a	non-brg	0.8
FIRST NEW YORK LEDDY	035	LVLIT	B	20,000	1.20	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	LZB	B	20,000	8.58	n/a	n/a	600.00	3.0
FEDERATED INV/KAUFMAN	029	MA	B	71,900	219.14	n/a	21-Jun	3,954.50	5.5
ß BUCK CAPITAL MGMT		MDY	C	31,300	135.79	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT	001	MFB	B	20,000	21.42	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	MGM	SS	20,000	12.02	n/a	15-Jun	800.00	4.0
NPIN	030	MICC	S	480	86.50	n/a	n/a	19.20	4.0
f DAVID GEORGE BUCK	FID	MSFT	B	2000	25.43	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		MTN	SS	20,000	38.71	n/a	n/a	non-brg	4.0
BMO NESBITT BURNS	041	M	B	3,000	20.19	n/a	4-Jun	120.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	M	B	10,000	20.09	n/a	4-Jun	400.00	4.0
EXIS CAPITAL	044	M	B	10,000	19.74	n/a	4-Jun	500.00	5.0
SIGMA CAPITAL ASSOCIATES	041	NOK	B	25,000	8.57	n/a	n/a	875.00	3.5
BUCK CAPITAL MGMT	001	NTY	B	20,000	35.69	n/a	n/a	800.00	4.0
THE JAY GOLDMAN	028	OEH	B	10,000	8.69	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	PIR	B	100,000	6.96	n/a	n/a	3,000.00	3.0
Ⓐ BUCK CAPITAL MGMT		PLCE	B	20,000	45.94	n/a	3-Jun	non-brg	2.5
SENATOR INVESTMENT GROUP	036	PMC	B	3,207	14.99	n/a	n/a	96.21	3.0
ISLE RIDGE PARTNERS	041	POOL	B	30,000	22.46	n/a	n/a	1,200.00	4.0
BASIX	033	PTV	S	16,000	28.58	n/a	n/a	480.00	3.0
BUCK CAPITAL MGMT	001	PVH	B	10,000	51.21	n/a	26-May	400.00	4.0
Ⓐ BUCK CAPITAL MGMT		QKLS	S	25,000	4.97	n/a	n/a	non-brg	3.0
f CHRISTOPHER ROBERT C	FID	RKT	B	100	52.07	n/a	n/a	0.00	0.0
GALT INVESTMENT	041	RL	SS	20,000	78.16	n/a	20-May	1,000.00	5.0
COHE & STEERS	041	RYN	B	11,777	46.36	n/a	13-May	471.08	4.0
BROADARCH CAP/OLD NEWC	070	SCHN	B	3,500	42.28	n/a	n/a	140.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WEISS PECK	040	SCVL	B	36,127	21.38	n/a	n/a	1,806.35	5.0
B BUCK CAPITAL MGMT		SHOO	B	20,000	32.79	n/a	n/a	non-brg	2.5
CRAMER ROSENTHAL/SCOTT	012	SRE	B	18,770	47.89	n/a	n/a	750.80	4.0
BROADARCH CAP/OLD NEWC	070	TGT	S	1,400	52.46	n/a	4-Jun	56.00	4.0
f DAVID GEORGE BUCK	FID	TGT	S	2000	52.79	n/a	4-Jun	0.00	0.0
APEX CAPITAL MGMT.	261	THC	B	200,000	4.79	n/a	n/a	6,000.00	3.0
BALYASNY ASSET MGMT	044	TIF	SS	15,000	42.04	n/a	n/a	750.00	5.0
B BUCK CAPITAL MGMT		TIF	SS	30,000	41.98	n/a	n/a	non-brg	4.0
BMO NESBITT BURNS	041	TIN	B	4,000	22.12	n/a	21-Apr	400.00	10.0
CAERUS GLOBAL	041	TJX	B	24,000	44.82	n/a	4-Jun	960.00	4.0
B BUCK CAPITAL MGMT	001	TLB	B	50,000	11.26	n/a	n/a	2,000.00	4.0
B BUCK CAPITAL MGMT		TLB	B	11,900	10.90	n/a	n/a	non-brg	2.0
BANK OF AMERICA/MERRILL	259	TPX	SS	6,675	34.18	n/a	n/a	267.00	4.0
CAVU CAP ADV	028	TRW	B	25,000	31.04	n/a	n/a	1,250.00	5.0
ROTHSCHILD ASSET	040	TSN	B	295,425	17.67	n/a	n/a	11,817.00	4.0
f JONATHAN RICHARD HAR	FID	TZA	B	2000	7.18	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	UA	B	3,000	36.86	n/a	28-Apr	120.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		UBI FP	S	258,700	8.38	n/a	n/a	non-brg	1.3
f DAVID GEORGE BUCK	FID	UPS	B	1000	60.68	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	USG	SS	3,000	14.40	n/a	22-Apr	300.00	10.0
f CHRISTOPHER ROBERT C	FID	USG	B	200	14.36	n/a	22-Apr	0.00	0.0
f CHRISTOPHER ROBERT C	FID	USG	S	200	14.43	n/a	22-Apr	0.00	0.0
BROADARCH CAP/OLD NEWC	070	VAL	SS	4,600	31.64	n/a	n/a	184.00	4.0
STANDARD PACIFIC CAPITAL	040	VNO	S	25,000	77.32	n/a	n/a	1,250.00	5.0
EMERSON CAPITAL MGMT	048	WEN	B	20,000	4.08	n/a	11-Jun	1,000.00	5.0
NPIN	030	WFR	B	12,000	11.15	n/a	n/a	480.00	4.0
BROADARCH CAP/OLD NEWC	070	WLK	SS	3,500	19.42	n/a	n/a	140.00	4.0
ARCHON CAPITAL	035	WMS	SS	10,000	43.75	n/a	n/a	300.00	3.0
BUCK CAPITAL MGMT	001	WMS	S	30,000	43.09	n/a	n/a	1,200.00	4.0
BUCK CAPITAL MGMT	001	WRC	B	10,000	39.15	n/a	14-May	400.00	4.0
f CHRISTOPHER ROBERT C	FID	WRC	B	150	38.46	n/a	14-May	0.00	0.0
BUCK CAPITAL MGMT	001	WSM	SS	20,000	25.93	n/a	n/a	800.00	4.0
ARMATURE CAPITAL	041	WY	B	20,000	38.35	n/a	27-May	800.00	4.0
BROADARCH CAP/OLD NEWC	070	WY	SS	1,900	37.62	n/a	27-May	76.00	4.0
CAXTON PART	040	WY	S	150,245	37.80	n/a	27-May	5,258.60	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	XLB	B	40,000	30.47	n/a	n/a	1,600.00	4.0
⌘ BUCK CAPITAL MGMT		XRT	C	113,500	37.81	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		XRT	C	225,000	38.22	n/a	n/a	non-brg	2.0
TOTAL (Trade Date) :							116,047.15		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	06/22	GREEN ARROW DOUG	040	HOG	B	15,000	25.84	n/a	n/a	750.00 5.0
AO,CXL	06/22	GREEN ARROW DOUG	040	HOG	B	15,000	25.84	n/a	n/a	600.00 4.0
AO,CRT	06/18	CSFB GLOBAL PROPRIETARY	041	LPX	B	40,000	7.72	n/a	11-May	1200.00 3.0
AO,CXL	06/18	CSFB GLOBAL PROPRIETARY	041	LPX	B	40,000	7.72	n/a	11-May	2000.00 5.0
AO,CXL	06/22	FIRST NY SEC/CHRIS	041	M	B	10,000	20.14	n/a	4-Jun	0.00 0.0
AO,CRT	06/22	FIRST NY SEC/CHRIS	041	M	B	10,000	20.14	n/a	4-Jun	500.00 5.0

TOTAL (AO, CXL, CRT) :**-150.00**

TOTAL (Trade Date):

116,047.15

TOTAL (AO, CXL, CRT):

-150.00

TOTAL (RUN DATE) / NFS:**115,897.15****MRI Securities with Trade Activity on 23-Jun.**
NONE**MRI Securities without Trade Activity on 23-Jun.**
WBC

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

T-Date = 51%

YTD = 9%

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)