



# Daily Compliance Activity Report

Trade Date: 07/09/2010

Potential ANALYST TRADE Violations: 1

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SONICA CAPITAL LLC	025	AAPL	S	1,340	259.61	n/a	n/a	40.20	3.0
LISTED ERR	099	AAPL	B	500	259.74	n/a	n/a	0.00	0.0
LISTED ERR	099	AAPL	S	500	259.61	n/a	n/a	0.00	0.0
SENATOR INVESTMENT GROUP	036	ACI	B	50,000	21.85	n/a	n/a	1,500.00	3.0
BALYASNY ASSET MGMT	044	AEO	B	40,000	12.09	n/a	9-Jul	2,000.00	5.0
PORTER-ORLIN	044	AMD	B	100,000	7.34	n/a	n/a	5,000.00	5.0
BALYASNY ASSET MGMT	044	ANF	S	15,000	35.93	n/a	9-Jul	750.00	5.0
BERMAN CAPITAL MGMT	046	ANN	S	10,000	17.33	n/a	n/a	300.00	3.0
B BUCK CAPITAL MGMT		ARO	B	10,000	27.95	n/a	9-Jul	non-brg	2.0
EVERCORE WEALTH MGMT	012	AVP	S	23,190	28.32	n/a	28-May	1,159.50	5.0
MELLON/BANK OF NEW YORK	046	AVP	S	21,240	28.19	n/a	28-May	1,062.00	5.0
f KAREN F LEDDY	FID	AXL	B	2000	7.69	n/a	7-Jul	0.00	0.0
OZ MGMT	040	AXL	S	57,267	7.69	n/a	7-Jul	1,718.01	3.0
f JOHN MICHAEL ZOLIDIS	FID	BBY	B	200	33.83	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BC	C	10,000	13.20	n/a	n/a	non-brg	4.0
WHITE PINE CAPITAL	030	BEBE	B	20,825	6.79	n/a	n/a	1,041.25	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ISLE RIDGE PARTNERS	041	BECN	S	23,203	17.65	n/a	n/a	928.12	4.0
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>BFK</b>	<b>B</b>	<b>1000</b>	<b>13.72</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ISLE RIDGE PARTNERS	041	BWA	B	28,000	39.48	n/a	30-Apr	1,120.00	4.0
BASIX	033	CCMP	SS	26,000	35.32	n/a	14-Jun	780.00	3.0
COLUMBIA PARTNERS	028	CFSG	S	12,780	8.59	n/a	n/a	383.40	3.0
MELLON/BANK OF NEW YORK	046	COST	B	31,870	56.06	n/a	n/a	1,593.50	5.0
<b>ß BUCK CAPITAL MGMT</b>		<b>CSTR</b>	<b>B</b>	<b>10,000</b>	<b>46.94</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>CWTR</b>	<b>S</b>	<b>14,700</b>	<b>3.55</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>CWTR</b>	<b>S</b>	<b>5,000</b>	<b>3.54</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
MARINER/TRICADIA	041	CXW	S	20,000	18.56	n/a	n/a	1,000.00	5.0
MARINER/TRICADIA	041	CYBX	S	100	23.60	n/a	n/a	5.00	5.0
<b>ß BUCK CAPITAL MGMT</b>		<b>DECK</b>	<b>C</b>	<b>22,076</b>	<b>47.08</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
SCHOTTENFELD ASSOC	041	DPZ	B	1,500	12.05	n/a	8-Jul	45.00	3.0
SF SENTRY	085	DPZ	B	12,500	12.00	n/a	8-Jul	625.00	5.0
BAIRD INVESTMENT	047	EOG	B	2,714	105.83	n/a	n/a	135.70	5.0
<b>Õ James Mitchell</b>		<b>FAS</b>	<b>B</b>	<b>1230</b>	<b>21.81</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.	
ß BUCK CAPITAL MGMT		FDO	C	30,000	35.99	n/a	7-Jul	non-brg	4.0
ß BUCK CAPITAL MGMT		FINL	B	20,000	14.70	n/a	n/a	non-brg	4.0
f JOHN MICHAEL ZOLIDIS	FID	FINL	S	1000	14.44	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	FSYS	S	50	0.50	n/a	n/a	0.00	0.0
MELLON/BANK OF NEW YORK	046	FTR	S	22,120	7.38	n/a	n/a	1,106.00	5.0
f KAREN F LEDDY	FID	FWS	B	6000	3.54	n/a	n/a	0.00	0.0
Õ James Mitchell		F	B	1850	10.80	n/a	7-Jul	0.00	0.0
f MANNY I KORMAN	FID	F	B	10000	10.87	n/a	7-Jul	0.00	0.0
ß BUCK CAPITAL MGMT		GCO	B	20,000	26.90	n/a	n/a	non-brg	4.0
f JOHN MICHAEL ZOLIDIS	FID	GCO	B	500	26.26	n/a	n/a	0.00	0.0
Õ Michael Ehrlich		GLCH	B	4000	3.00	n/a	n/a	0.00	0.0
ISLE RIDGE PARTNERS	041	GLW	B	21,498	17.50	n/a	22-Jun	859.92	4.0
PRIMECAP MGMT	084	INTC	S	550,000	20.17	n/a	n/a	27,500.00	5.0
MARINER/TRICADIA	041	IWM	B	10,000	62.14	n/a	n/a	500.00	5.0
ß BUCK CAPITAL MGMT		JNY	B	30,000	15.47	n/a	14-May	non-brg	4.0
ß BUCK CAPITAL MGMT		JOSB	B	20,000	55.44	n/a	n/a	non-brg	4.0
EXIS CAPITAL	044	KSS	SS	7,500	47.81	n/a	9-Jul	375.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL ASSET/BLACKROCK	266	LAZ	B	41,900	29.17	n/a	11-Jun	1,676.00	4.0
GRUBER MACBAINE	033	LOW	B	24,000	20.13	n/a	17-May	960.00	4.0
MELLON/BANK OF NEW YORK	046	LOW	S	16,510	20.10	n/a	17-May	825.50	5.0
MELLON/BANK OF NEW YORK	046	MDT	S	18,110	37.00	n/a	n/a	905.50	5.0
ROYCE TRADING	012	MEI	S	5,000	10.34	n/a	n/a	250.00	5.0
CASTLEROCK	040	MGM	SS	272,002	9.88	n/a	7-Jul	10,880.08	4.0
ROYCE TRADING	012	MIG	S	6,000	8.85	n/a	n/a	300.00	5.0
CASTLEROCK	040	MOS	B	33,521	46.02	n/a	n/a	1,340.84	4.0
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>MS</b>	<b>B</b>	<b>300</b>	<b>24.60</b>	<b>n/a</b>	<b>6-Jul</b>	<b>0.00</b>	<b>0.0</b>
ROYCE TRADING	012	MWA	B	10,000	3.94	n/a	n/a	300.00	3.0
<b>Õ Ravi Sadarangani</b>		<b>MWW</b>	<b>B</b>	<b>40</b>	<b>12.32</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ Ravi Sadarangani</b>		<b>MWW</b>	<b>B</b>	<b>50</b>	<b>12.31</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
KLEINHEINZ CAP PART	031	M	B	100,000	18.33	n/a	9-Jul	5,000.00	5.0
SONTERRA CAP	041	NOVL	B	50,000	5.95	n/a	n/a	1,500.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>NWY</b>	<b>S</b>	<b>65,000</b>	<b>2.34</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
ROYCE TRADING	012	OMG	B	5,000	23.65	n/a	n/a	250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	012	PHH	B	5,500	18.58	n/a	n/a	275.00	5.0
CASTLE ARK	031	PH	B	83,800	57.08	n/a	30-Apr	5,028.00	6.0
SYSTEMATIC FINANCIAL MGT	035	PVH	B	52,735	47.32	n/a	26-May	1,582.05	3.0
SONICA CAPITAL LLC	025	RIMM	B	5,200	52.42	n/a	n/a	260.00	5.0
EVERCORE WEALTH MGMT	012	RTN	B	12,125	49.09	n/a	23-Apr	606.25	5.0
<b>B</b> BUCK CAPITAL MGMT		<b>SKX</b>	<b>B</b>	<b>20,000</b>	<b>37.83</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BERMAN CAPITAL MGMT	046	SPY	B	15,000	107.45	n/a	n/a	450.00	3.0
<b>f</b> HARALAMBOS EFSTATHI	<b>FID</b>	<b>TEN</b>	<b>S</b>	<b>500</b>	<b>21.57</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>UAUA</b>	<b>S</b>	<b>10,000</b>	<b>21.27</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SIGMA CAPITAL ASSOCIATES	041	URBN	B	25,000	34.38	n/a	n/a	875.00	3.5
<b>f</b> CHRISTOPHER ROBERT C	<b>FID</b>	<b>UXG</b>	<b>S</b>	<b>500</b>	<b>4.89</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ</b> James Mitchell		<b>V</b>	<b>B</b>	<b>130</b>	<b>76.99</b>	<b>n/a</b>	<b>28-Jun</b>	<b>0.00</b>	<b>0.0</b>
MELLON/BANK OF NEW YORK	046	WMT	S	42,460	49.32	n/a	19-May	2,123.00	5.0
SONICA CAPITAL LLC	025	WRC	S	7,100	37.79	n/a	14-May	213.00	3.0
SONICA CAPITAL LLC	025	ZQK	B	20,000	4.15	n/a	10-May	600.00	3.0

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**TOTAL (Trade Date):**

**87,727.82**

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	07/08	SF SENTRY	085	SSCC	B	15,000	19.37	n/a	8-Jul	750.00 5.0
AO,CRT	07/08	WEDBUSH/PACIFIC GROWTH EQTY LLC	084	TXIC	B	20,000	4.61	n/a	n/a	600.00 3.0
AO,CXL	07/08	WEDBUSH/PACIFIC GROWTH EQTY LLC	084	TXIC	B	20,000	4.61	n/a	n/a	1000.00 5.0
AO,CRT	07/08	MILLENIUM PARTNERS	028	WMT	B	45,000	48.91	n/a	19-May	1800.00 4.0
AO,CXL	07/08	MILLENIUM PARTNERS	028	WMT	B	45,000	48.91	n/a	19-May	1800.00 4.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>350.00</b>
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TOTAL (Trade Date) :	87,727.82
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TOTAL (AO, CXL, CRT) :	350.00
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<b>TOTAL (RUN DATE) / NFS:</b>	<b>88,077.82</b>
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MRI Securities with Trade Activity on 9-Jul. NONE
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MRI Securities without Trade Activity on 9-Jul. NONE
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BRG comm. as a % of BCM Total Comm. paid.
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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)**