



Daily Compliance Activity Report

Trade Date: 06/28/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		ABG	S	50,000	11.15	n/a	4-May	non-brg	4.0
B BUCK CAPITAL MGMT		ANN	B	20,000	17.67	n/a	n/a	non-brg	4.0
EXIS CAPITAL	044	ARO	SS	37,500	30.18	n/a	4-Jun	1,875.00	5.0
f DAVID GEORGE BUCK	FID	BAC	B	1000	15.30	n/a	25-Jun	0.00	0.0
THOMAS WEISEL ASSET MGMT	035	BEAV	B	1,150	27.39	n/a	n/a	34.50	3.0
B BUCK CAPITAL MGMT		BEBE	B	20,000	6.69	n/a	n/a	non-brg	3.0
THOMAS WEISEL ASSET MGMT	035	BJRI	B	624	24.47	n/a	n/a	18.72	3.0
B BUCK CAPITAL MGMT		BJ	SS	40,000	37.52	n/a	n/a	non-brg	4.0
LEVEL GLOBAL SHARED ACCT	257	BJ	SS	50,000	37.37	n/a	n/a	1,500.00	3.0
THOMAS WEISEL ASSET MGMT	035	BMRN	B	879	19.66	n/a	n/a	26.37	3.0
THOMAS WEISEL ASSET MGMT	035	BPZ	B	2,538	4.67	n/a	n/a	76.14	3.0
HARBORWATCH/DIAMBACK	232	CAT	S	20,000	65.09	n/a	12-May	1,000.00	5.0
BNP PARIBAS SEC	040	CBE	S	15,000	46.49	n/a	27-May	600.00	4.0
ROSEDALE CAPITAL	046	COG	S	5,000	34.63	n/a	3-Jun	250.00	5.0
B BUCK CAPITAL MGMT		COH	S	40,000	39.21	n/a	14-May	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RAINIER INV MGMT	035	CXO	S	83,310	59.15	n/a	n/a	3,332.40	4.0
B BUCK CAPITAL MGMT		DDS	C	30,000	23.96	n/a	n/a	non-brg	4.0
SAC CAP/ROSEN FOR BOBBY	044	DKS	B	75,000	26.34	n/a	11-Jun	2,625.00	3.5
LEVEL GLOBAL SHARED ACCT	257	DLTR	S	50,000	41.97	n/a	3-Jun	1,500.00	3.0
SENATOR INVESTMENT GROUP	036	EEM	B	40,000	39.09	n/a	n/a	1,200.00	3.0
f DAVID GEORGE BUCK	FID	FDX	S	1000	75.69	n/a	n/a	0.00	0.0
BNP PARIBAS SEC	040	FINL	B	5,000	14.99	n/a	n/a	200.00	4.0
BNP PARIBAS SEC	040	FINL	S	6,998	15.35	n/a	n/a	279.92	4.0
RAINIER INV MGMT	035	FST	S	115,300	29.15	n/a	n/a	4,612.00	4.0
MERCHANTS GATE CAP LP	036	F	B	50,000	10.64	n/a	3-Jun	2,000.00	4.0
OZ MGMT	040	F	B	200,000	10.66	n/a	3-Jun	6,000.00	3.0
SCOPUS FUND	041	F	B	50,000	10.64	n/a	3-Jun	2,500.00	5.0
LEVEL GLOBAL SHARED ACCT	257	GES	S	50,000	32.55	n/a	28-May	1,500.00	3.0
SCOPUS FUND	041	GES	S	10,000	32.56	n/a	28-May	500.00	5.0
THOMAS WEISEL ASSET MGMT	035	GES	B	752	32.54	n/a	28-May	22.56	3.0
TRUSTCO/SUNTRUST	040	GES	B	39,100	32.59	n/a	28-May	1,524.89	3.9
B BUCK CAPITAL MGMT		GIII	B	4,300	24.15	n/a	n/a	non-brg	4.0
NCM CAPITAL MGMT	035	GILD	S	34,600	36.06	n/a	n/a	1,384.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⌘ BUCK CAPITAL MGMT		GIL	S	37,805	30.91	n/a	14-May	non-brg	4.0
BUCK CAPITAL MGMT	001	HBI	B	30,000	25.14	n/a	14-May	1,200.00	4.0
⌘ BUCK CAPITAL MGMT		HBI	B	20,000	25.04	n/a	14-May	non-brg	4.0
WADDELL AND REED	047	HOLX	S	52,300	14.17	n/a	n/a	2,092.00	4.0
NCM CAPITAL MGMT	035	HSP	S	26,300	57.66	n/a	n/a	1,052.00	4.0
WHITE PINE CAPITAL	030	IFF	S	3,200	43.98	n/a	10-May	160.00	5.0
BNP PARIBAS SEC	040	ITW	SS	25,000	43.22	n/a	30-Apr	1,000.00	4.0
⌘ BUCK CAPITAL MGMT		JAH	B	20,000	28.79	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	JCG	S	30,000	38.19	n/a	n/a	1,200.00	4.0
THE JAY GOLDMAN	028	JCP	SS	50,000	23.03	n/a	4-Jun	2,000.00	4.0
MERRILL ASSET/BLACKROCK	266	JLL	S	18,541	70.62	n/a	n/a	741.64	4.0
NCM CAPITAL MGMT	035	JNJ	S	51,700	59.52	n/a	n/a	2,068.00	4.0
FIRST NY SEC/CHRIS	041	KSS	B	10,000	49.55	n/a	4-Jun	500.00	5.0
SCOPUS FUND	041	KSS	B	5,000	49.68	n/a	4-Jun	250.00	5.0
THE JAY GOLDMAN	028	KSS	S	10,000	49.56	n/a	4-Jun	400.00	4.0
FIRST NEW YORK LEDDY	035	LVL	S	20,000	1.14	n/a	n/a	800.00	4.0
FIRST NY SEC/CHRIS	041	M	B	10,000	18.89	n/a	4-Jun	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVEL GLOBAL SHARED ACCT	257	M	S	50,000	18.81	n/a	4-Jun	1,500.00	3.0
SCOPUS FUND	041	M	B	10,000	19.05	n/a	4-Jun	500.00	5.0
THE JAY GOLDMAN	028	M	B	25,000	18.76	n/a	4-Jun	1,000.00	4.0
SYSTEMATIC FINANCIAL MGT	035	NUS	B	23,425	25.83	n/a	n/a	702.75	3.0
BUCK CAPITAL MGMT	001	NWY	B	20,000	2.40	n/a	n/a	600.00	3.0
CAERUS GLOBAL	041	PG	B	40,000	60.38	n/a	28-Jun	1,600.00	4.0
WEINTRAUB CAPITAL MGT.	040	PH	B	25,000	58.52	n/a	30-Apr	1,000.00	4.0
WEDBUSH/PACIFIC GROWTH EQTY LLC084	PKG		B	10,000	22.13		n/a 28-Jun	500.00	5.0
ROTHSCHILD ASSET	040	POL	B	26,578	8.99	n/a	n/a	1,063.12	4.0
BUCK CAPITAL MGMT	001	PVH	B	10,000	49.47	n/a	26-May	400.00	4.0
B BUCK CAPITAL MGMT		RCL	C	30,000	25.60	n/a	n/a	non-brg	4.0
EXIS CAPITAL	044	RL	SS	5,000	77.42	n/a	20-May	250.00	5.0
COHE & STEERS	041	RYN	S	86,862	45.65	n/a	28-Jun	3,474.48	4.0
EGS ASSOCIATES LP	091	SAH	SS	4,000	8.81	n/a	n/a	240.00	6.0
RBC CAPITAL MARKETS	040	SKS	SS	50,000	8.28	n/a	n/a	2,000.00	4.0
TYEE/TYGH	035	SMG	B	40,000	44.80	n/a	17-Jun	1,600.00	4.0
f DAVID GEORGE BUCK	FID	SPG	S	1000	85.31	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEVEL GLOBAL SHARED ACCT	257	TIF	SS	50,000	40.62	n/a	n/a	1,500.00	3.0
BUCK CAPITAL MGMT	001	TLB	B	20,000	10.90	n/a	n/a	800.00	4.0
PAW PARTNERS	025	UA	S	20,000	36.16	n/a	28-Apr	1,000.00	5.0
ß BUCK CAPITAL MGMT		USTR	C	20,000	57.90	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		VFC	C	20,000	75.04	n/a	14-May	non-brg	4.0
THOMAS WEISEL ASSET MGMT	035	VRGY	S	19,611	9.12	n/a	n/a	588.33	3.0
MADISON ST PARTNERS LLC	046	WMT	S	20,000	49.28	n/a	19-May	1,000.00	5.0
NCM CAPITAL MGMT	035	WPI	S	29,000	42.12	n/a	28-Jun	1,160.00	4.0
T. ROWE PRICE	033	WY	B	164,900	36.89	28-Jun	28-Jun	6,596.00	4.0
TOTAL (Trade Date) :								77,599.82	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	06/25	WADDELL AND REED	047	BWEN	S	120,300	2.37	n/a	n/a	3609.00 3.0
AO,CXL	06/25	BANK OF AMERICA/MERRILL	259	SLE	B	10,000	14.69	n/a	n/a	400.00 4.0
AO,CRT	06/25	BANK OF AMERICA/MERRILL	259	SLE	B	10,000	14.69	n/a	n/a	300.00 3.0
AO,CXL	06/24	TYEE/TYGH	035	SMG	B	715	43.84	n/a	17-Jun	28.60 4.0
AO,CRT	06/24	TYEE/TYGH	035	SMG	B	715	43.84	n/a	17-Jun	28.60 4.0

TOTAL (AO, CXL, CRT) :	3,509.00
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TOTAL (Trade Date) :	77,599.82
TOTAL (AO, CXL, CRT) :	3,509.00

TOTAL (RUN DATE) / NFS:	81,108.82
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MRI Securities with Trade Activity on 28-Jun.

WY

MRI Securities without Trade Activity on 28-Jun.
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TIN

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

T-Date = 23%

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)