



Daily Compliance Activity Report

Trade Date: 02/16/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f JOSEPH CIRO AMATURO	FID	AAPL	S	800	203.00	n/a	n/a	0.00	0.0
EXIS CAPITAL	044	AEO	SS	10,000	16.21	n/a	5-Feb	500.00	5.0
f JOSEPH CIRO AMATURO	FID	AEO	S	1760	16.17	n/a	5-Feb	0.00	0.0
SIGMA CAPITAL ASSOCIATES	041	ANF	S	25,000	34.93	n/a	12-Feb	875.00	3.5
f JOHN PATRICK DAVEY	FID	AN	S	1500	18.09	n/a	12-Feb	0.00	0.0
GCORE MANAGEMENT	041	BAC	S	20,000	14.90	n/a	16-Feb	1,000.00	5.0
f KAREN F LEDDY	FID	BAC	B	500	14.92	n/a	16-Feb	0.00	0.0
B BUCK CAPITAL MGMT		BEBE	B	30,000	8.10	n/a	n/a	non-brg	3.0
SANDLER O'NEILL ASSET	031	BK	B	50,000	27.62	n/a	13-Feb	2,500.00	5.0
BROADARCH CAP/OLD NEWC	070	BWA	B	1,500	37.09	n/a	12-Feb	60.00	4.0
ROYCE TRADING	216	BZ	B	20,000	4.79	n/a	n/a	600.00	3.0
SMITH MGMT LLC	029	BZ	B	69,400	4.76	n/a	n/a	2,082.00	3.0
f CHRISTOPHER ARTHUR K	FID	CMI	S	500	56.26	n/a	3-Feb	0.00	0.0
LEVEL GLOBAL SHARED ACCT	257	COH	SS	50,000	35.47	n/a	21-Jan	1,500.00	3.0
HARBORWATCH/DIAMBACK	232	DHR	S	20,000	73.50	n/a	n/a	1,000.00	5.0
KENNEDY CAPITAL	046	DPZ	S	10,000	11.83	n/a	19-Jan	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FIRST NEW YORK LEDDY	035	ETFC	B	10,000	1.52	n/a	n/a	600.00	6.0
MERRILL ASSET/BLACKROCK	214	FBN	S	10,500	5.05	n/a	n/a	420.00	4.0
f KAREN F LEDDY	FID	FIG	B	1200	4.09	n/a	n/a	0.00	0.0
f CHRISTOPHER ARTHUR K	FID	FOR	B	1000	18.14	n/a	5-Feb	0.00	0.0
f MITCHELL JAMES SPEIS	FID	FSNXX	B	9300	1.00	n/a	n/a	0.00	0.0
SAB CAPITAL	034	GGWPQ	B	121,500	12.01	n/a	n/a	6,075.00	5.0
B BUCK CAPITAL MGMT		GIL	S	20,000	24.91	n/a	10-Feb	non-brg	4.0
B BUCK CAPITAL MGMT		GYMB	B	20,000	41.83	n/a	8-Feb	non-brg	4.0
f MANNY I KORMAN	FID	HCBK	B	10000	13.27	n/a	26-Jan	0.00	0.0
GCORE MANAGEMENT	041	HOT	B	20,000	37.29	n/a	n/a	1,000.00	5.0
COBALT	041	IP	B	100,000	23.60	n/a	3-Feb	5,000.00	5.0
NWQ INVESTMENT MGMT CO	048	IR	B	10,000	31.28	n/a	16-Feb	400.00	4.0
EPOCH INV MGMT	030	IWM	S	31,200	61.58	n/a	n/a	936.00	3.0
B BUCK CAPITAL MGMT		JCG	B	20,000	38.94	n/a	n/a	non-brg	4.0
GCORE MANAGEMENT	041	JPM	S	25,000	39.06	n/a	13-Feb	1,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MACKLOWE ASSET MGMT	041	LVS	SS	60,872	17.51	n/a	16-Feb	2,434.88	4.0
MACKLOWE ASSET MGMT	041	LVS	S	124,128	17.36	n/a	16-Feb	4,965.12	4.0
TRUST CO/COWEN/CALF.	040	MAT	S	148,385	21.19	n/a	n/a	5,935.40	4.0
BROADARCH CAP/OLD NEWC	070	MGM	S	3,500	11.43	n/a	12-Feb	140.00	4.0
ARCHON CAPITAL	035	MIDD	B	5,000	43.85	n/a	4-Jan	150.00	3.0
f KAREN F LEDDY	FID	MS	B	500	27.64	n/a	13-Feb	0.00	0.0
B BUCK CAPITAL MGMT		MVRX	C	350,000	172.76	n/a	n/a	non-brg	12.1
EXIS CAPITAL	044	M	B	10,000	17.60	n/a	5-Feb	500.00	5.0
f CHRISTOPHER ROBERT C	FID	NTAP	B	200	31.98	n/a	n/a	0.00	0.0
COLUMBUS CIRCLE	036	NTAP	B	16,559	32.09	n/a	n/a	662.36	4.0
LAGRANGE CAP ADV	048	PAG	B	500	15.35	n/a	22-Jan	25.00	5.0
f CHRISTOPHER ROBERT C	FID	PCAR	S	100	36.08	n/a	1-Feb	0.00	0.0
SCOPUS FUND	041	PKG	B	50,000	21.92	n/a	26-Jan	2,500.00	5.0
B BUCK CAPITAL MGMT		PLCE	B	20,000	34.99	n/a	5-Feb	non-brg	4.0
B BUCK CAPITAL MGMT		PLCE	B	35,000	35.07	n/a	5-Feb	non-brg	4.0
B BUCK CAPITAL MGMT		PNRA	S	10,000	73.70	n/a	12-Feb	non-brg	4.0
B BUCK CAPITAL MGMT	001	PSS	B	150,000	21.43	n/a	n/a	6,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KLEINHEINZ CAP PART	031	QCOM	B	50,000	38.99	n/a	n/a	2,500.00	5.0
JP MORGAN VENTURES	046	RL	SS	10,000	78.41	n/a	4-Feb	500.00	5.0
RBC CAPITAL MARKETS	040	RSH	S	15,000	20.54	n/a	n/a	600.00	4.0
f MARC PAUL LUCHANSKY	FID	SPRXX	S	559	1.00	n/a	n/a	0.00	0.0
f JOHN PATRICK DAVEY	FID	TIN	B	1500	17.82	n/a	9-Feb	0.00	0.0
f VICTORIA FINNEGAN DA	FID	TIN	B	60	17.81	n/a	9-Feb	0.00	0.0
WAGONHOUND/NIC	048	TIN	B	29,494	17.95	n/a	9-Feb	1,179.76	4.0
COUGAR TRADING	044	TM	SS	5,000	75.96	n/a	n/a	250.00	5.0
B BUCK CAPITAL MGMT		UBI FP	B	20,000	12.87	n/a	n/a	non-brg	0.6
B BUCK CAPITAL MGMT		URBN	B	30,000	31.08	n/a	n/a	non-brg	4.0
f KAREN F LEDDY	FID	WIN	B	400	10.24	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	XLE	B	100	56.66	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		XRT	SS	1,685,000	35.76	n/a	n/a	non-brg	1.0
TOTAL (Trade Date):								54,540.52	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	02/11	LAGRANGE CAP ADV	048	AXL	B	10,000	8.55	n/a	8-Feb	500.00 5.0
AO,CRT	02/11	LAGRANGE CAP ADV	048	AXL	B	10,000	8.55	n/a	8-Feb	500.00 5.0
AO,CRT	02/12	HIGHBRIDGE CAP	041	MOT	S	50,000	7.07	n/a	n/a	1500.00 3.0
AO,CXL	02/12	HIGHBRIDGE CAP	041	MOT	S	50,000	7.07	n/a	n/a	2000.00 4.0
AO,CXL	02/09	ROARING BLUE LION MGMT	012	PLCE	B	5,000	35.08	n/a	5-Feb	250.00 5.0
AO,CRT	02/09	ROARING BLUE LION MGMT	012	PLCE	B	5,000	35.08	n/a	5-Feb	200.00 4.0
AO,CXL	02/11	LAGRANGE CAP ADV	048	URI	B	11,400	7.05	n/a	n/a	570.00 5.0
AO,CRT	02/11	LAGRANGE CAP ADV	048	URI	B	11,400	7.05	n/a	n/a	570.00 5.0

TOTAL (AO, CXL, CRT) :**-550.00**

TOTAL (Trade Date) :

54,540.52

TOTAL (AO, CXL, CRT) :

-550.00

TOTAL (RUN DATE) / NFS:**53,990.52****MRI Securities with Trade Activity on 16-Feb.
NONE**

MRI Securities without Trade Activity on 16-Feb.

APC

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

T-Date = 8%

YTD = 16%

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)