



Daily Compliance Activity Report

Trade Date: 10/22/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	ANN	B	140,000	21.59	n/a	n/a	5,600.00	4.0
BUCK CAPITAL MGMT		ANN	B	20,000	21.46	n/a	n/a	non-brg	4.0
SNYDER CAPITAL	033	ANN	S	3,200	21.65	n/a	n/a	128.00	4.0
SNYDER CAPITAL	033	ANR	S	2,100	44.86	n/a	n/a	84.00	4.0
JONATHAN RICHARD HAR	FID	APC	B	75	61.65	n/a	22-Oct	0.00	0.0
KAREN F LEDDY	FID	AXL	S	700	9.29	n/a	19-Oct	0.00	0.0
BUCK CAPITAL MGMT		AXP	B	25,700	38.99	n/a	22-Oct	non-brg	4.0
CAXTON PART	040	AXP	C	50,000	39.76	n/a	22-Oct	1,750.00	3.5
SCHOTTENFELD ASSOC	041	BAC	S	25,000	11.42	n/a	20-Oct	750.00	3.0
NEUBERGER BERMAN	036	BCR	B	36,886	83.17	n/a	n/a	1,475.44	4.0
BUCK CAPITAL MGMT		BID	B	25,000	38.67	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		COLM	C	24,572	53.35	n/a	n/a	non-brg	4.0
KACELA CAPITAL	034	COST	B	32,000	64.04	n/a	n/a	1,280.00	4.0
MINDSHARE CAPITAL MGMT	046	CVGI	B	48,470	12.56	n/a	n/a	2,423.50	5.0
MARC PAUL LUCHANSKY	FID	DAL	S	1000	13.30	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		DBRN	B	122,400	22.67	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		DBRN	B	20,000	23.06	n/a	n/a	non-brg	2.5
⚡ BUCK CAPITAL MGMT		DBRN	B	61,200	22.99	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DBRN	B	72,300	22.46	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DBRN	B	8,480	23.12	n/a	n/a	non-brg	2.5
f CHRISTOPHER ROBERT C	FID	DBRN	S	200	22.99	n/a	n/a	0.00	0.0
SNYDER CAPITAL	033	DBRN	S	1,300	22.78	n/a	n/a	52.00	4.0
HARBORWATCH/DIAMBACK	232	DD	S	25,000	46.71	n/a	23-Sep	1,250.00	5.0
GRUSS CAPITAL	025	DEI	S	10,000	18.21	n/a	n/a	300.00	3.0
DAVIDSON KEMPNER ADVISOR	040	DF	C	25,000	9.99	n/a	n/a	1,250.00	5.0
IRIDIAN ASSET MGMT.	036	DRC	S	5,040	37.64	n/a	n/a	252.00	5.0
⚡ BUCK CAPITAL MGMT		DRI	SS	30,000	46.88	n/a	15-Oct	non-brg	4.0
LATEFF MGMT	035	DVN	S	2,000	66.34	n/a	22-Oct	480.00	24.0
NEW JERSEY DIV OF INV.	030	DWA	S	30,000	32.51	n/a	n/a	1,200.00	4.0
NEW JERSEY DIV OF INV.	030	EMC	S	200,000	21.39	n/a	n/a	8,000.00	4.0
THOMPSON SIEGAL&WALMSLEY	029	ENDP	S	5,100	35.88	n/a	22-Oct	102.00	2.0
KLEINHEINZ CAP PART	031	EOG	SS	80,000	97.67	n/a	n/a	4,000.00	5.0
HARBORWATCH/DIAMBACK	232	FCX	C	30,000	93.34	n/a	n/a	1,500.00	5.0
⚡ BUCK CAPITAL MGMT		FINL	B	70,000	15.74	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f KAREN F LEDDY	FID	FWS	S	2000	5.55	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		GIII	S	2,004	28.19	n/a	n/a	non-brg	0.8
M&I FUNDS	047	GLW	B	33,757	18.52	n/a	21-Oct	1,350.28	4.0
B BUCK CAPITAL MGMT		GYMB	S	12,386	64.93	n/a	8-Oct	non-brg	4.0
SPARTA ASSET MGMT	035	GYMB	S	10,000	64.92	n/a	8-Oct	300.00	3.0
f EDWARD W WHEELER	FID	HWCC	B	5800	11.23	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		IGT	B	50,000	14.57	n/a	20-Oct	non-brg	4.0
SNYDER CAPITAL	033	IPI	S	2,500	29.47	n/a	n/a	100.00	4.0
KENNEDY CAPITAL	046	JAS	B	16,500	40.67	n/a	n/a	660.00	4.0
B BUCK CAPITAL MGMT		JCG	S	31,900	31.60	n/a	n/a	non-brg	4.0
f FRANCIS MICHAEL MCCA	FID	KSS	B	200	52.78	n/a	11-Oct	0.00	0.0
f ABRAM M CHAPPELL	FID	KTEC	B	150	13.47	n/a	n/a	0.00	0.0
CAERUS GLOBAL	041	LOW	B	15,000	21.98	n/a	16-Aug	600.00	4.0
f ROBERT M DANIELS	FID	MCD	S	150	78.44	n/a	21-Oct	0.00	0.0
WEISS PECK	040	PAG	B	40,000	13.29	n/a	19-Oct	2,000.00	5.0
B BUCK CAPITAL MGMT		PFCB	SS	30,000	49.67	n/a	15-Oct	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	PKG	B	15,300	23.78	n/a	19-Oct	765.00	5.0
B BUCK CAPITAL MGMT		PLCE	B	107,000	44.68	n/a	21-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		PLCE	B	5,000	44.70	n/a	21-Oct	non-brg	0.8
FRIESS MGMT	033	POL	B	72,100	12.70	n/a	n/a	2,884.00	4.0
B BUCK CAPITAL MGMT		PSS	S	109,790	16.33	n/a	n/a	non-brg	4.0
SNYDER CAPITAL	033	PTEN	S	5,000	19.80	n/a	n/a	200.00	4.0
UBS OCONNOR	031	ROP	C	100,000	69.25	n/a	n/a	3,000.00	3.0
f KAREN F LEDDY	FID	RRR	B	1500	7.91	n/a	23-Jul	0.00	0.0
SNYDER CAPITAL	033	SD	S	4,800	5.48	n/a	n/a	192.00	4.0
B BUCK CAPITAL MGMT		SLB	S	50,000	67.34	n/a	n/a	non-brg	4.0
f JASON ERIC COHEN	FID	SNCR	S	62	20.45	n/a	n/a	0.00	0.0
f FRANCIS MICHAEL MCCA	FID	SRI	B	750	11.01	n/a	n/a	0.00	0.0
ADAGE CAPITAL MGMT	030	SWY	S	250,000	22.29	n/a	n/a	7,500.00	3.0
NEW JERSEY DIV OF INV.	030	TEL	S	50,000	31.41	n/a	n/a	2,000.00	4.0
f KAREN F LEDDY	FID	TEX	B	600	22.96	n/a	22-Oct	0.00	0.0
B BUCK CAPITAL MGMT		TRLG	B	10,000	21.51	n/a	n/a	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f	JONATHAN RICHARD HAR	FID	TRLG	S	100	21.30	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		URBN	S	100,000	30.04	n/a	n/a	non-brg	0.8
ß	BUCK CAPITAL MGMT		URBN	S	20,000	30.03	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		URBN	S	80,000	30.06	n/a	n/a	non-brg	4.0
	DAVIDSON KEMPNER ADVISOR	040	VALE	SS	40,000	31.93	n/a	n/a	2,000.00	5.0
	NEW JERSEY DIV OF INV.	030	VIAB	S	50,000	37.30	n/a	n/a	2,000.00	4.0
	KACELA CAPITAL	034	VRSN	B	60,000	32.78	n/a	n/a	2,400.00	4.0
ß	BUCK CAPITAL MGMT		WFMI	C	69,000	39.73	n/a	n/a	non-brg	4.0
f	KEVIN MICHAEL O'GORM	FID	WFR	B	25	1.01	n/a	n/a	0.00	0.0
f	MANNY I KORMAN	FID	XRK	S	600	0.51	n/a	n/a	0.00	0.0
TOTAL (Trade Date):									59,828.22	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/21	SNYDER CAPITAL	033	CYT	S	30,490	60.70	n/a	n/a	1219.60 4.0
AO,CRT	10/21	SIGMA CAP BOBBY	044	F	B	50,000	14.13	n/a	19-Oct	1750.00 3.5
AO,CXL	10/21	SIGMA CAP BOBBY	044	F	B	50,000	14.13	n/a	19-Oct	1750.00 3.5
AO,	10/21	ROTHSCHILD ASSET	040	NAL	S	17,830	13.01	n/a	n/a	713.20 4.0
TOTAL (AO, CXL, CRT) :										1,932.80

TOTAL (Trade Date) :	59,828.22
TOTAL (AO, CXL, CRT) :	1,932.80

TOTAL (RUN DATE) / NFS:	61,761.02
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MRI Securities with Trade Activity on 22-Oct.
NONE

MRI Securities without Trade Activity on 22-Oct.
CAKE, BA

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 12%
YTD = 11%

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)