



Daily Compliance Activity Report

Trade Date: 11/26/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		\$\$EURUSD	SS	7,200,000	1.32	n/a	n/a	non-brg	5.0
PROSPECTOR PARTNERS LLC	036	ABT	B	10,000	46.89	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	BID	B	10,000	42.84	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT		BID	B	10,000	43.00	n/a	n/a	non-brg	4.0
M&I FUNDS	047	BIG	B	15,939	30.85	n/a	23-Nov	637.56	4.0
BUCK CAPITAL MGMT		BODY	B	10,000	12.88	n/a	n/a	non-brg	4.0
NEUBERGER BERMAN	036	BRKL	B	7,976	10.04	n/a	n/a	319.04	4.0
ABRAM M CHAPPELL	FID	CGI	B	150	13.64	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	FFIN	B	900	48.77	n/a	n/a	36.00	4.0
BUCK CAPITAL MGMT		GCO	S	17,762	39.79	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT	001	GES	S	11,800	50.90	n/a	24-Nov	472.00	4.0
WILLIAM WEINBERG	FID	GLD	B	1000	132.53	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		JNY	B	40,000	13.49	n/a	28-Oct	non-brg	4.0
JOHN MICHAEL DEMARTI	FID	LF	B	4000	5.61	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		MNRO	S	15,600	49.06	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f JOHN BARTMAN COLE	FID	MTW	B	1000	11.34	n/a	1-Nov	0.00	0.0
f REUBEN D DVORETSKY	FID	NOOF	B	700	1.97	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		NWY	B	30,000	3.49	n/a	n/a	non-brg	1.0
PROSPECTOR PARTNERS LLC	036	PEG	B	10,000	30.74	n/a	n/a	400.00	4.0
JMP ASSET MGMT	210	RDN	B	10,000	7.16	n/a	n/a	500.00	5.0
f ANDREW SINCLAIR	FID	SPY	B	50	0.56	n/a	n/a	0.00	0.0
f ANDREW SINCLAIR	FID	SPY	S	100	0.09	n/a	n/a	0.00	0.0
ROSEDALE CAPITAL	046	UNM	S	20,000	21.80	n/a	n/a	1,000.00	5.0
f JOHN BARTMAN COLE	FID	VRS	S	3000	3.60	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								4,164.60	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CXL	11/24	CAVU CAP ADV	028	PH	S	5,000	82.01	n/a 20-Oct	250.00 5.0
AO,CRT	11/24	CAVU CAP ADV	028	PH	S	5,000	82.01	n/a 20-Oct	250.00 5.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	4,164.60
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	4,164.60
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MRI Securities with Trade Activity on 26-Nov. NONE

MRI Securities without Trade Activity on 26-Nov. DE, PX

BRG comm. as a % of BCM Total Comm. paid. T-Date = 0% 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)