



Daily Compliance Activity Report

Trade Date: 11/02/2010

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		ABFS	S	5,000	26.49	n/a	n/a	non-brg	1.0
f MANNY I KORMAN	FID	ADM	S	100	1.34	n/a	2-Nov	0.00	0.0
SIGMA CAPITAL ASSOCIATES	041	AEO	B	75,000	15.87	n/a	29-Oct	2,625.00	3.5
CR INTRINIC INVESTMENT	044	AGN	SS	40,000	74.71	n/a	1-Nov	1,400.00	3.5
COLUMBUS CIRCLE	036	ALGT	B	1,532	47.50	n/a	n/a	52.10	3.0
B BUCK CAPITAL MGMT		ANF	B	10,000	41.58	n/a	29-Oct	non-brg	4.0
TRELLUS PARTNERS LP	028	AN	SS	10,000	23.91	n/a	29-Oct	500.00	5.0
f KAREN F LEDDY	FID	ARM	S	900	16.97	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	ARO	S	100,000	23.98	n/a	29-Oct	4,000.00	4.0
f ALEXANDER PRYLUCKI	FID	AXL	S	1950	9.10	n/a	1-Nov	0.00	0.0
f CICIY S BACKUS	FID	AXL	S	3000	9.04	n/a	1-Nov	0.00	0.0
f LBP ENTERPRISES INC	FID	AXL	S	2000	9.04	n/a	1-Nov	0.00	0.0
OZ MGMT	040	AXL	SS	150,000	8.95	n/a	1-Nov	4,500.00	3.0
f JOSEPH CIRO AMATURO	FID	BALT	S	3600	11.70	n/a	n/a	0.00	0.0
ADAGE CAPITAL MGMT	030	BBBY	B	200,000	44.29	n/a	n/a	6,000.00	3.0
HIGHBRIDGE CAP	041	BG	SS	20,000	59.93	n/a	n/a	600.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	BID	B	40,000	44.72	n/a	n/a	1,600.00	4.0
f MARC PAUL LUCHANSKY	FID	CAR	B	1000	11.95	n/a	n/a	0.00	0.0
HARBORWATCH/DIAMBACK	232	CAT	S	30,000	79.64	n/a	22-Oct	1,500.00	5.0
FARALLON CAP MGMT	040	CHKP	S	65,000	42.94	n/a	n/a	1,950.00	3.0
CATAPULT	040	CLB	SS	25,000	78.25	n/a	22-Oct	1,000.00	4.0
COUGAR TRADING	044	CMI	B	10,000	91.40	n/a	29-Oct	500.00	5.0
COUGAR TRADING	044	CMI	S	10,000	91.48	n/a	29-Oct	500.00	5.0
B BUCK CAPITAL MGMT		CNW	S	5,000	33.17	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		COH	B	30,000	50.13	n/a	27-Oct	non-brg	4.0
NWQ INVESTMENT MGMT CO	084	CPKI	B	38,175	16.92	n/a	15-Oct	1,527.00	4.0
SAC TRADIN/BINDER	044	CSE	B	60,200	6.09	n/a	n/a	2,107.00	3.5
B BUCK CAPITAL MGMT		DECK	B	10,000	56.89	n/a	n/a	non-brg	4.0
DIAMONDBACK CAP MGMT	232	DHI	SS	23,000	11.04	n/a	n/a	1,150.00	5.0
HARBORWATCH/DIAMBACK	232	DHI	C	50,000	10.88	n/a	n/a	2,500.00	5.0
NEUBERGER BERMAN	036	EAT	S	25,000	18.78	n/a	n/a	1,000.00	4.0
NCM CAPITAL MGMT	035	ENDP	B	78,400	35.61	n/a	2-Nov	3,136.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		EXPR	B	25,000	14.05	n/a	n/a	non-brg	4.0
HARBORWATCH/DIAMBACK	232	FCX	S	20,000	97.90	n/a	n/a	1,000.00	5.0
NEUBERGER BERMAN	036	FCX	B	173,017	97.59	n/a	n/a	6,920.68	4.0
⚡ BUCK CAPITAL MGMT		FINL	B	20,000	15.06	n/a	n/a	non-brg	4.0
f MITCHELL JAMES SPEIS	FID	FSNXX	B	16849	1.00	n/a	n/a	0.00	0.0
f CICYLY S BACKUS	FID	F	S	4000	14.35	n/a	2-Nov	0.00	0.0
BUCK CAPITAL MGMT	001	GES	B	50,000	39.57	n/a	18-Oct	1,500.00	3.0
⚡ BUCK CAPITAL MGMT		GIII	B	7,500	27.82	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	GIL	B	50,000	27.64	n/a	18-Oct	2,000.00	4.0
ASCEND PARTNERS	033	GRMN	C	40,000	33.17	n/a	n/a	2,000.00	5.0
LISTED ERR	099	GYMB	S	15,000	65.09	n/a	29-Oct	0.00	0.0
f CICYLY S BACKUS	FID	HAL	B	1000	31.57	n/a	n/a	0.00	0.0
f LBP ENTERPRISES INC	FID	HAL	B	1000	31.55	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		HBI	B	20,000	24.91	n/a	28-Oct	non-brg	4.0
⚡ BUCK CAPITAL MGMT		HBI	B	20,200	24.89	n/a	28-Oct	non-brg	4.0
ADAGE CAPITAL MGMT	030	HGG	B	25,000	22.07	n/a	n/a	750.00	3.0
ADAGE CAPITAL MGMT	030	HSC	SS	24,500	23.25	n/a	3-Aug	735.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NCM CAPITAL MGMT	035	HSP	S	18,800	60.09	n/a	1-Nov	752.00	4.0
B BUCK CAPITAL MGMT		ICON	S	20,000	18.13	n/a	n/a	non-brg	4.0
SCOPUS FUND	041	IGT	B	30,000	15.99	n/a	20-Oct	1,500.00	5.0
RBC CAPITAL MARKETS	040	IP	SS	35,000	25.06	n/a	27-Oct	1,400.00	4.0
SAC TRADING TOM LEDDY	035	JCG	B	4,500	30.97	n/a	n/a	157.50	3.5
ASCEND PARTNERS	033	JCP	C	12,839	31.31	n/a	29-Oct	641.95	5.0
f DAVID GEORGE BUCK	FID	JCP	B	1000	31.67	n/a	29-Oct	0.00	0.0
f JASON ERIC COHEN	FID	JNY	B	175	14.50	n/a	28-Oct	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	JNY	B	900	14.76	n/a	28-Oct	0.00	0.0
B BUCK CAPITAL MGMT		JPM	B	27,100	37.03	n/a	19-Oct	non-brg	4.0
CAXTON PART	040	JPM	B	74,908	37.30	n/a	19-Oct	2,621.82	3.5
ADAGE CAPITAL MGMT	030	KMX	B	125,000	30.87	n/a	n/a	3,750.00	3.0
B BUCK CAPITAL MGMT		KSS	SS	50,000	51.23	n/a	29-Oct	non-brg	4.0
SIGMA CAPITAL ASSOCIATES	041	KSS	SS	100,000	51.35	n/a	29-Oct	3,500.00	3.5
f CICILY S BACKUS	FID	LEA	S	1000	89.23	n/a	29-Oct	0.00	0.0
f LBP ENTERPRISES INC	FID	LEA	S	500	89.23	n/a	29-Oct	0.00	0.0
B BUCK CAPITAL MGMT		LEN	B	25,000	14.93	n/a	n/a	non-brg	4.0
MERRILL ASSET/BLACKROCK	266	LF	S	100,000	6.32	n/a	n/a	4,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JP MORGAN VENTURES	046	LOW	S	15,000	21.82	n/a	16-Aug	750.00	5.0
FRONTPOINT	266	LPX	S	35,143	7.90	n/a	18-Oct	1,054.29	3.0
LATEFF MGMT	035	LUV	S	2,500	14.08	n/a	n/a	225.00	9.0
f JOSEPH CIRO AMATURO	FID	LVS	S	4000	47.92	n/a	28-Oct	0.00	0.0
f CHRISTOPHER ROBERT C	FID	MAT	S	150	24.16	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		MDC	B	10,000	26.15	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		MDC	B	5,000	26.15	n/a	n/a	non-brg	0.8
CHILTON CAPITAL MGMT.	036	MS	S	120,000	24.61	n/a	21-Oct	3,600.00	3.0
JP MORGAN VENTURES	046	MT	SS	10,000	33.79	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		MVRX	C	7,800	195.64	n/a	n/a	non-brg	19.6
SAC CAPITAL/M GRONET	030	M	B	12,500	24.01	n/a	29-Oct	437.50	3.5
COUGAR TRADING	044	NAV	B	10,000	51.05	n/a	n/a	500.00	5.0
COUGAR TRADING	044	NAV	S	10,000	50.50	n/a	n/a	500.00	5.0
NCM CAPITAL MGMT	035	NUAN	B	18,604	15.73	n/a	n/a	744.16	4.0
ADAGE CAPITAL MGMT	030	NWL	B	70,000	17.84	n/a	n/a	2,100.00	3.0
JP MORGAN VENTURES	046	NWL	B	15,000	17.78	n/a	n/a	750.00	5.0
B BUCK CAPITAL MGMT		PAG	B	20,000	13.92	n/a	25-Oct	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	PCAR	B	10,000	53.10	n/a	29-Oct	400.00	4.0
COUGAR TRADING	044	PCAR	B	10,000	53.07	n/a	29-Oct	500.00	5.0
COUGAR TRADING	044	PCAR	S	10,000	52.86	n/a	29-Oct	500.00	5.0
CAXTON PART	040	PFCB	S	32,814	46.15	n/a	27-Oct	1,148.51	3.5
CLOVIS CAPITAL	012	PFE	S	200,000	17.33	n/a	n/a	10,000.00	5.0
f CHRISTOPHER ROBERT C	FID	PLCE	B	100	44.18	n/a	21-Oct	0.00	0.0
JMP ASSET MGMT	210	PLOW	S	15,000	13.50	n/a	n/a	750.00	5.0
B BUCK CAPITAL MGMT		PRGO	C	10,000	67.78	n/a	1-Nov	non-brg	4.0
WAGONHOUND/NIC	289	PVH	B	3,831	61.85	n/a	18-Oct	153.24	4.0
NOMURA CAPITAL	029	QLTY	S	6,402	7.10	n/a	n/a	192.06	3.0
EMERSON CAPITAL MGMT	048	RDEN	SS	13,664	21.24	n/a	26-Oct	409.92	3.0
f LBP ENTERPRISES INC	FID	RVI	S	1000	14.38	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		RYL	B	2,600	14.93	n/a	n/a	non-brg	4.0
f KAREN F LEDDY	FID	SAH	S	700	11.19	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SAI	C	274,324	15.93	n/a	n/a	non-brg	4.0
JP MORGAN VENTURES	046	SAI	B	15,000	15.79	n/a	n/a	750.00	5.0
B BUCK CAPITAL MGMT		SHOO	B	50,000	40.55	n/a	n/a	non-brg	0.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		SHOO	B	50,000	40.64	n/a	n/a	non-brg	1.5
f ANDREW SINCLAIR	FID	SPY	B	300	0.61	n/a	n/a	0.00	0.0
CR INTRINIC INVESTMENT	044	SPY	SS	25,000	119.71	n/a	n/a	875.00	3.5
ß BUCK CAPITAL MGMT		SRI	B	10,000	11.43	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SRI	B	10,000	11.62	n/a	n/a	non-brg	4.0
f JONATHAN RICHARD HAR	FID	SRI	B	500	11.57	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	SRI	B	700	11.34	n/a	n/a	0.00	0.0
CATAPULT	040	SSCC	B	10,000	23.41	2-Nov	2-Nov	400.00	4.0
ß BUCK CAPITAL MGMT		SUMR	B	20,000	6.85	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		TEX	B	30,000	23.36	n/a	22-Oct	non-brg	4.0
DSG CAPITAL	225	TEX	B	10,000	23.42	n/a	22-Oct	300.00	3.0
SCOPUS FUND	041	TIN	B	27,783	20.86	n/a	20-Oct	1,389.15	5.0
CIRCLE T/SES PART	035	TJX	B	10,000	46.28	n/a	29-Oct	400.00	4.0
ADAGE CAPITAL MGMT	030	TLB	S	300,000	9.77	n/a	n/a	9,000.00	3.0
ARCHON CAPITAL	035	TLEO	SS	5,000	29.73	n/a	n/a	150.00	3.0
CRAMER ROSENTHAL/SCOTT	012	TTWO	B	3,000	10.96	n/a	n/a	120.00	4.0
ß BUCK CAPITAL MGMT		TXRH	C	70,000	16.01	n/a	n/a	non-brg	2.5
SAC TRADING TOM LEDDY	035	URBN	SS	20,000	30.47	n/a	n/a	700.00	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SONTERRA CAP	041	URS	SS	7,683	40.67	n/a	n/a	307.32	4.0
CAXTON PART	040	UTX	B	42,100	75.20	n/a	n/a	1,473.52	3.5
RBC CAPITAL MARKETS	040	VALE	B	70,000	32.95	n/a	n/a	2,800.00	4.0
f DAVID GEORGE BUCK	FID	V	B	1000	78.42	n/a	29-Oct	0.00	0.0
CAERUS GLOBAL	041	WAG	S	19,506	34.52	n/a	n/a	780.24	4.0
COUGAR TRADING	044	WBC	B	10,000	48.52	n/a	29-Oct	500.00	5.0
COUGAR TRADING	044	WBC	S	10,000	48.85	n/a	29-Oct	500.00	5.0
f DAVID GEORGE BUCK	FID	WBC	B	1000	48.29	n/a	29-Oct	0.00	0.0
SF SENTRY	085	WEN	B	20,000	4.72	n/a	15-Oct	800.00	4.0
CASTLEROCK	040	WMT	SS	100,490	54.86	n/a	14-Oct	4,019.60	4.0
TYEE/TYGH	035	WRC	S	7,900	52.71	n/a	18-Oct	316.00	4.0
B BUCK CAPITAL MGMT		WSO	S	15,000	57.33	n/a	n/a	non-brg	0.8
SCOPUS FUND	041	WYNN	SS	2,000	110.49	n/a	1-Nov	100.00	5.0
B BUCK CAPITAL MGMT		XUE	B	1,000	9.50	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		XUE	S	1,000	13.01	n/a	n/a	non-brg	2.5
TOTAL (Trade Date) :								122,271.56	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CRT	11/01	LISTED ERR	099	GYMB	B	15,000	65.10	n/a 29-Oct	0.00 0.0
TOTAL (AO, CXL, CRT) :									0.00

TOTAL (Trade Date):	122,271.56
TOTAL (AO, CXL, CRT):	0.00

TOTAL (RUN DATE) / NFS:	122,271.56
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MRI Securities with Trade Activity on 2-Nov.
SSCC

MRI Securities without Trade Activity on 2-Nov.
EL

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 24%
YTD = 11%

<u>Legend:</u>
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)