



# Daily Compliance Activity Report

Trade Date: 10/12/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	ABT	S	1,200	53.56	n/a	n/a	36.00	3.0
<b>f KEVIN MICHAEL O'GORM</b>	<b>FID</b>	<b>ACCP</b>	<b>B</b>	<b>10000</b>	<b>2.70</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EPOCH INV MGMT	030	AET	S	1,850	31.09	n/a	n/a	55.50	3.0
HARBORWATCH/DIAMBACK	232	AKS	B	25,000	14.41	n/a	n/a	1,250.00	5.0
BMO NESBITT BURNS	041	AMAG	SS	6,000	20.12	n/a	n/a	240.00	4.0
GCORE MANAGEMENT	041	AMD	B	50,000	7.35	n/a	n/a	2,500.00	5.0
EPOCH INV MGMT	030	AMP	S	1,900	49.97	n/a	n/a	57.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>AMR</b>	<b>B</b>	<b>100,000</b>	<b>6.37</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>AMR</b>	<b>B</b>	<b>150,000</b>	<b>6.32</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>AMR</b>	<b>B</b>	<b>200,000</b>	<b>6.34</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
EPOCH INV MGMT	030	AMTD	S	4,250	16.30	n/a	n/a	127.50	3.0
WATERFRONT CAP	028	AMT	SS	50,000	50.12	n/a	n/a	2,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>ANN</b>	<b>B</b>	<b>30,000</b>	<b>22.08</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ARO</b>	<b>B</b>	<b>100,000</b>	<b>26.21</b>	<b>n/a</b>	<b>11-Oct</b>	<b>non-brg</b>	<b>4.0</b>
CATAPULT	040	ASH	SS	5,000	52.80	n/a	8-Oct	200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f</b> CICILY S BACKUS	<b>FID</b>	<b>AXL</b>	<b>S</b>	<b>4000</b>	<b>9.02</b>	<b>n/a</b>	<b>11-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> LBP ENTERPRISES INC	<b>FID</b>	<b>AXL</b>	<b>S</b>	<b>2000</b>	<b>9.02</b>	<b>n/a</b>	<b>11-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> LEE F BACKUS	<b>FID</b>	<b>AXL</b>	<b>S</b>	<b>1000</b>	<b>9.02</b>	<b>n/a</b>	<b>11-Oct</b>	<b>0.00</b>	<b>0.0</b>
THIRD COAST CAPITAL	035	AXL	S	25,000	8.86	n/a	11-Oct	1,250.00	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>AXL</b>	<b>B</b>	<b>5,000</b>	<b>8.87</b>	<b>n/a</b>	<b>11-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>AXL</b>	<b>S</b>	<b>5,000</b>	<b>8.87</b>	<b>n/a</b>	<b>11-Oct</b>	<b>0.00</b>	<b>0.0</b>
EPOCH INV MGMT	030	AXP	S	1,400	38.65	n/a	7-Oct	42.00	3.0
EPOCH INV MGMT	030	BA	S	1,300	70.44	n/a	12-Oct	39.00	3.0
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>BBD</b>	<b>S</b>	<b>3000</b>	<b>21.65</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EPOCH INV MGMT	030	BEN	S	950	115.65	n/a	2-Mar	28.50	3.0
SAC ADV/LEE	044	BHI	B	43,300	44.61	n/a	n/a	1,515.50	3.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BJ</b>	<b>B</b>	<b>10,000</b>	<b>43.60</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
MATRIX ASSET ADV.	091	BMY	B	2,000	27.16	n/a	n/a	80.00	4.0
<b>f</b> BARBARA S LEDDY	<b>FID</b>	<b>BP</b>	<b>B</b>	<b>150</b>	<b>41.33</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> KAREN F LEDDY	<b>FID</b>	<b>BP</b>	<b>B</b>	<b>200</b>	<b>41.42</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FIRST NEW YORK LEDDY	035	BSX	S	20,000	6.13	n/a	n/a	800.00	4.0
SCHOTTENFELD ASSOC	041	BWA	B	7,025	51.46	12-Oct	12-Oct	210.75	3.0
SCHOTTENFELD ASSOC	041	CHS	B	3,496	11.12	n/a	5-Feb	104.88	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCHOTTENFELD ASSOC	041	CHS	S	3,496	11.20	n/a	5-Feb	104.88	3.0
EPOCH INV MGMT	030	CL	S	500	75.16	n/a	30-Sep	15.00	3.0
EPOCH INV MGMT	030	CMCSK	S	4,700	17.04	n/a	n/a	141.00	3.0
EPOCH INV MGMT	030	COP	S	600	59.73	n/a	n/a	18.00	3.0
ROTHSCHILD ASSET	040	CPX	B	53,310	23.32	n/a	n/a	2,132.40	4.0
<b>f</b> CICYLY S BACKUS	<b>FID</b>	<b>DAN</b>	<b>S</b>	<b>3000</b>	<b>13.18</b>	<b>n/a</b>	<b>2-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> LBP ENTERPRISES INC	<b>FID</b>	<b>DAN</b>	<b>S</b>	<b>2000</b>	<b>13.18</b>	<b>n/a</b>	<b>2-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> LEE F BACKUS	<b>FID</b>	<b>DAN</b>	<b>S</b>	<b>1000</b>	<b>13.18</b>	<b>n/a</b>	<b>2-Aug</b>	<b>0.00</b>	<b>0.0</b>
METROPOLITAN CAPITAL	044	DAN	S	14,900	13.24	n/a	2-Aug	745.00	5.0
<b>f</b> SNEJANA P GARFUNKEL	<b>FID</b>	<b>DAN</b>	<b>S</b>	<b>1000</b>	<b>13.18</b>	<b>n/a</b>	<b>2-Aug</b>	<b>0.00</b>	<b>0.0</b>
GRUSS CAPITAL	025	DBA	B	10,000	28.51	n/a	n/a	300.00	3.0
EPOCH INV MGMT	030	DD	S	1,500	46.38	n/a	23-Sep	45.00	3.0
EPOCH INV MGMT	030	DELL	S	3,700	13.97	n/a	n/a	111.00	3.0
EPOCH INV MGMT	030	DHR	S	1,700	41.49	n/a	n/a	51.00	3.0
<b>B</b> BUCK CAPITAL MGMT		<b>DKS</b>	<b>C</b>	<b>20,000</b>	<b>28.98</b>	<b>n/a</b>	<b>19-Aug</b>	<b>non-brg</b>	<b>4.0</b>
KADE CAPITAL LLC	028	DLTR	B	7,500	49.88	n/a	19-Aug	375.00	5.0
<b>f</b> JASON ERIC COHEN	<b>FID</b>	<b>DTG</b>	<b>S</b>	<b>4</b>	<b>0.90</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EPOCH INV MGMT	030	DVA	S	1,300	70.91	n/a	n/a	39.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	DVN	S	750	66.95	n/a	30-Sep	22.50	3.0
GRUSS CAPITAL	025	DVN	B	10,000	66.40	n/a	30-Sep	300.00	3.0
TRUST CO/COWEN/CALF.	040	DVN	B	59,685	66.44	n/a	30-Sep	2,984.25	5.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>ESRX</b>	<b>B</b>	<b>1000</b>	<b>47.70</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>FCX</b>	<b>S</b>	<b>25</b>	<b>2.90</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>FFIV</b>	<b>B</b>	<b>50</b>	<b>92.33</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>FNF</b>	<b>B</b>	<b>35</b>	<b>0.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ Doug Rogers</b>		<b>FOR</b>	<b>S</b>	<b>250</b>	<b>17.59</b>	<b>n/a</b>	<b>26-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>FPRS</b>	<b>S</b>	<b>400</b>	<b>49.35</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>FWS</b>	<b>S</b>	<b>2500</b>	<b>5.44</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BALYASNY ASSET MGMT	044	F	C	50,000	13.72	n/a	4-Oct	2,500.00	5.0
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>F</b>	<b>S</b>	<b>3300</b>	<b>13.80</b>	<b>n/a</b>	<b>4-Oct</b>	<b>0.00</b>	<b>0.0</b>
ROSEDALE CAPITAL	046	F	S	60,000	13.80	n/a	4-Oct	3,000.00	5.0
LEVEL GLOBAL SHARED ACCT	257	GES	S	150,000	41.45	n/a	26-Aug	4,500.00	3.0
CRAMER ROSENTHAL/SCOTT	012	GE	B	20,140	17.20	n/a	n/a	805.60	4.0
SAC CAP/ROSEN FOR BOBBY	044	GE	S	500,000	17.19	n/a	n/a	17,500.00	3.5
<b>ß BUCK CAPITAL MGMT</b>		<b>GIII</b>	<b>S</b>	<b>15,000</b>	<b>31.01</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>GIII</b>	<b>S</b>	<b>5,000</b>	<b>31.63</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		GMCR	B	100,000	29.04	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		GMCR	B	175,000	28.47	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GMCR	B	200,000	28.13	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GMCR	B	75,000	29.11	n/a	n/a	non-brg	2.0
RBC CAPITAL MARKETS	040	GPS	B	25,000	18.43	n/a	n/a	1,000.00	4.0
OZ MGMT	040	HD	SS	118,466	31.36	n/a	7-Oct	3,553.98	3.0
SAC CAPITAL/M GRONET	030	HD	SS	10,000	31.31	n/a	7-Oct	350.00	3.5
f JAMES H HLAVACEK II	FID	HWD	S	150	12.55	n/a	n/a	0.00	0.0
HARRIER HAWK MGMT	028	IP	B	42,500	22.73	n/a	7-Oct	1,700.00	4.0
SCHOTTENFELD ASSOC	041	IP	B	10,000	22.36	n/a	7-Oct	300.00	3.0
TRELLUS PARTNERS LP	028	IP	B	20,000	22.28	n/a	7-Oct	1,000.00	5.0
ß BUCK CAPITAL MGMT		JACK	B	65,000	22.29	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		JOSB	S	30,000	46.13	n/a	n/a	non-brg	2.5
CAMBIAR CAP	046	KG	S	145,320	14.15	n/a	12-Oct	5,812.80	4.0
CATAPULT	040	KRA	S	10,000	30.41	n/a	n/a	400.00	4.0
SAC CAPITAL/M GRONET	030	KSS	SS	35,000	53.07	n/a	11-Oct	1,225.00	3.5
BUCK CAPITAL MGMT	001	LIZ	B	50,000	6.81	n/a	7-Oct	1,500.00	3.0
AVESTA CAP	229	LOW	SS	200,000	22.11	n/a	16-Aug	6,000.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	LVS	SS	25,000	39.08	n/a	8-Oct	1,250.00	5.0
RBC CAPITAL MARKETS	040	MGM	S	25,000	13.65	n/a	8-Oct	1,000.00	4.0
MERRILL ASSET/BLACKROCK	266	MSCI	B	26,200	34.81	n/a	n/a	1,048.00	4.0
⚡ BUCK CAPITAL MGMT		MSMSRAW2	SS	725,000	119.13	n/a	n/a	non-brg	6.0
⚡ BUCK CAPITAL MGMT		MSMSRAW3	SS	70,000	119.28	n/a	n/a	non-brg	11.9
f MANNY I KORMAN	FID	MTLQQ	B	200	0.34	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	MTW	S	700	12.06	n/a	3-Aug	0.00	0.0
⚡ BUCK CAPITAL MGMT		MVRX	SS	325,000	196.17	n/a	n/a	non-brg	9.8
SAC ADV/LEE	044	NOV	S	100,000	46.79	n/a	n/a	3,500.00	3.5
NEW JERSEY DIV OF INV.	030	ODP	B	25,000	4.95	n/a	n/a	1,000.00	4.0
f DAVID GEORGE BUCK	FID	PBR	B	1500	34.45	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	PBR	B	200	34.44	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	PCH	B	1000	35.11	n/a	26-Aug	0.00	0.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	75,000	23.16	n/a	7-Oct	3,750.00	5.0
SYSTEMATIC FINANCIAL MGT	035	PVH	S	29,300	62.59	n/a	9-Sep	879.00	3.0
⚡ BUCK CAPITAL MGMT		RGC	B	10,000	13.94	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	RL	B	20,000	93.40	n/a	5-Aug	800.00	4.0
f CHRISTOPHER ROBERT C	FID	SDRL	B	200	29.49	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SKX	B	20,000	25.58	n/a	n/a	non-brg	4.0
GRUSS CAPITAL	025	SLB	B	10,000	62.61	n/a	n/a	300.00	3.0
f ANDREW SINCLAIR	FID	SPY	B	40	0.21	n/a	n/a	0.00	0.0
f ABRAM M CHAPPELL	FID	SRI	S	100	10.72	n/a	n/a	0.00	0.0
BIXBY LLC	070	SSCC	S	1,800	20.35	n/a	7-Oct	72.00	4.0
f CHRISTOPHER ROBERT C	FID	TIVO	B	50	10.14	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	TIVO	S	50	10.15	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		TRLG	B	10,000	22.25	n/a	n/a	non-brg	4.0
IVORY CAPITAL	034	TXN	SS	93,800	28.69	n/a	n/a	4,690.00	5.0
BUCK CAPITAL MGMT	001	UA	B	20,000	46.38	n/a	28-Jul	800.00	4.0
CAVU CAP ADV	028	UNP	B	11,200	83.44	n/a	n/a	560.00	5.0
B BUCK CAPITAL MGMT		URBN	B	40,000	30.52	n/a	n/a	non-brg	4.0
S.A.C. CAP/ORENSTEIN	044	URS	B	50,000	38.81	n/a	n/a	1,750.00	3.5
RBC CAPITAL MARKETS	040	VALE	S	25,000	32.02	n/a	n/a	1,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GRUSS CAPITAL	025	VOD	B	10,000	25.72	n/a	n/a	300.00	3.0
f KAREN F LEDDY	FID	VSTO	B	300	58.10	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	VXX	B	200	15.26	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	VXX	S	200	14.54	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	VXX	B	1000	15.46	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	VXX	S	500	14.62	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	WYNN	SS	10,000	102.56	n/a	12-Oct	500.00	5.0
B BUCK CAPITAL MGMT		XRT	C	1,439,046	43.82	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		XRT	C	1,984,600	43.55	n/a	n/a	non-brg	1.0
f CHRISTOPHER ROBERT C	FID	ZQK	S	1000	4.31	n/a	10-May	0.00	0.0
TOTAL (Trade Date):								92,667.04	



**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/08	ADAGE CAPITAL MGMT	030	ANF	B	200,000	42.68	n/a	11-Oct	6000.00 3.0
AO,CRT	10/08	ADAGE CAPITAL MGMT	030	ANF	B	200,000	42.68	n/a	11-Oct	6000.00 3.0
AO,CXL	10/11	&PRO	036	CPB	B	600	35.86	n/a	n/a	24.00 4.0
AO,CRT	10/11	PROSPECTOR PARTNERS LLC	036	CPB	B	600	35.86	n/a	n/a	24.00 4.0
AO,	10/11	ROTHSCHILD ASSET	040	NOV	B	2,050	46.75	n/a	n/a	82.00 4.0

**TOTAL (AO, CXL, CRT) :****82.00**

TOTAL (Trade Date) :

92,667.04

TOTAL (AO, CXL, CRT) :

82.00

**TOTAL (RUN DATE) / NFS:****92,749.04**

MRI Securities with Trade Activity on 12-Oct.

**BWA**

MRI Securities without Trade Activity on 12-Oct.

**AN**

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

T-Date = 2%
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)**