



# Daily Compliance Activity Report

Trade Date: 11/18/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BNP PARIBAS SEC	040	ADM	S	10,000	29.64	n/a	2-Nov	500.00	5.0
MATRIX ASSET ADV.	091	ADM	B	3,000	29.76	n/a	2-Nov	120.00	4.0
MELLON/BANK OF NEW YORK	046	AGG	S	6,675	106.97	n/a	n/a	333.75	5.0
MTB INV ADV	034	AMG	S	2,050	88.68	n/a	2-Mar	102.50	5.0
BUCK CAPITAL MGMT	001	ARO	B	40,000	25.69	n/a	5-Nov	1,600.00	4.0
f MARC PAUL LUCHANSKY	FID	AXE	B	500	56.26	n/a	27-Oct	0.00	0.0
f ABRAM M CHAPPELL	FID	AXL	S	135	10.86	n/a	1-Nov	0.00	0.0
BMO NESBITT BURNS	041	AXL	S	25,000	11.37	n/a	1-Nov	1,250.00	5.0
ß BUCK CAPITAL MGMT		AXL	S	50,000	11.46	n/a	1-Nov	non-brg	1.0
ß BUCK CAPITAL MGMT		BBBY	S	104,800	43.48	n/a	n/a	non-brg	4.0
f JONATHAN RICHARD HAR	FID	BEE	S	1000	4.62	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		BID	B	20,000	42.72	n/a	n/a	non-brg	4.0
f JOHN MICHAEL ZOLIDIS	FID	BODY	B	1000	13.16	n/a	n/a	0.00	0.0
FIRST NEW YORK LEDDY	035	BSX	B	20,000	6.56	n/a	n/a	800.00	4.0
WALL STREET CAPITAL	084	BWA	B	16,100	60.45	n/a	27-Oct	724.50	4.5
DIAMONDBACK CAP MGMT	232	BXP	B	50,000	84.00	n/a	n/a	2,500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ENTRUST CAPITAL	040	CCE	S	29,000	25.49	n/a	n/a	1,450.00	5.0
APEX CAPITAL MGMT.	261	CHS	S	86,500	11.44	n/a	5-Feb	3,460.00	4.0
MTB INV ADV	034	CNS	S	19,650	25.46	n/a	n/a	982.50	5.0
TRUSTCO/SUNTRUST	040	COF	B	42,400	38.19	n/a	17-Nov	1,484.00	3.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>B</b>	<b>25,000</b>	<b>53.56</b>	<b>n/a</b>	<b>27-Oct</b>	<b>1,000.00</b>	<b>4.0</b>
MERRILL ASSET/BLACKROCK	266	CRR	S	2,600	91.00	n/a	16-Nov	104.00	4.0
SONTERRA CAP	041	CTB	SS	20,000	21.21	n/a	n/a	800.00	4.0
MELLON/BANK OF NEW YORK	046	EEM	B	9,000	46.52	n/a	n/a	450.00	5.0
RBC CAPITAL MARKETS	040	EMN	B	20,000	78.78	n/a	n/a	800.00	4.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>ESRX</b>	<b>B</b>	<b>5000</b>	<b>53.12</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>ESRX</b>	<b>S</b>	<b>4500</b>	<b>53.12</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MTB INV ADV	034	EVR	S	5,150	31.24	n/a	n/a	257.50	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>EXPR</b>	<b>S</b>	<b>10,000</b>	<b>15.39</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>f SCOTT L BRUNNER</b>	<b>FID</b>	<b>FAZ</b>	<b>B</b>	<b>1250</b>	<b>11.72</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MTB INV ADV	034	FCFS	S	3,050	28.98	n/a	n/a	152.50	5.0
CAXTON PART	040	FDX	B	10,000	87.48	n/a	n/a	350.01	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WHITE PINE CAPITAL	030	FL	B	24,300	16.69	n/a	15-Nov	1,215.00	5.0
PECONIC PARTNERS	036	FNSR	B	50,000	19.02	n/a	n/a	2,500.00	5.0
O CAPITAL MGMT	029	FOR	B	2,000	17.68	n/a	3-Nov	100.00	5.0
LEVEL GLOBAL SHARED ACCT	257	FOSL	S	50,000	69.09	n/a	n/a	1,500.00	3.0
ROARING BLUE LION MGMT	012	FRED	SS	2,700	12.46	n/a	n/a	108.00	4.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>FSICK</b>	<b>S</b>	<b>1841</b>	<b>11.43</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>F</b>	<b>S</b>	<b>25,000</b>	<b>16.87</b>	<b>18-Nov</b>	<b>18-Nov</b>	<b>non-brg</b>	<b>1.0</b>
CIRCLE T/SES PART	035	F	SS	25,000	16.33	18-Nov	18-Nov	1,000.00	4.0
EGS ASSOCIATES LP	091	F	SS	7,000	16.32	18-Nov	18-Nov	420.00	6.0
OZ MGMT	040	F	SS	150,000	16.40	18-Nov	18-Nov	4,500.00	3.0
TROUBH PART	067	F	B	25,000	16.05	18-Nov	18-Nov	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GCO</b>	<b>S</b>	<b>10,000</b>	<b>34.12</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
DIAMONDBACK CAP MGMT	232	GE	B	32,000	16.09	n/a	n/a	1,600.00	5.0
GREEN ARROW DOUG	040	GE	B	25,000	16.05	n/a	n/a	1,250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>GIII</b>	<b>B</b>	<b>10,000</b>	<b>26.88</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GIII</b>	<b>B</b>	<b>10,000</b>	<b>27.52</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GIII</b>	<b>B</b>	<b>4,347</b>	<b>27.13</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.7</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GIII</b>	<b>B</b>	<b>5,000</b>	<b>27.46</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GIL</b>	<b>B</b>	<b>120,000</b>	<b>27.60</b>	<b>n/a</b>	<b>18-Oct</b>	<b>non-brg</b>	<b>4.0</b>

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
<b>B</b>	<b>BUCK CAPITAL MGMT</b>		<b>GIL</b>	<b>B</b>	<b>20,000</b>	<b>27.60</b>	<b>n/a</b>	<b>18-Oct</b>	<b>non-brg 0.8</b>
	GRYPHON CAPITAL MGMT	084	GLD	B	75,000	132.28	n/a	n/a	2,250.00 3.0
	SAC COHEN	044	GMCR	B	150,000	31.06	n/a	n/a	5,250.00 3.5
<b>f</b>	<b>STEFFANIE CARMELA CA</b>	<b>FID</b>	<b>GMO</b>	<b>S</b>	<b>500</b>	<b>5.44</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>
	NICOLAS APPEGATE	084	GM	S	37,500	35.26	n/a	1-Feb	1,500.00 4.0
	PERSHING SQUARE	029	GM	B	2,000,000	35.62	n/a	1-Feb	80,000.00 4.0
<b>B</b>	<b>BUCK CAPITAL MGMT</b>		<b>HAL</b>	<b>S</b>	<b>45,000</b>	<b>37.15</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg 4.0</b>
	CAERUS GLOBAL	041	HBI	S	25,000	26.26	n/a	28-Oct	1,000.00 4.0
	KLEINHEINZ CAP PART	031	HBI	B	25,000	26.30	n/a	28-Oct	1,250.00 5.0
	OZ MGMT	040	HD	C	50,000	30.80	n/a	16-Nov	1,500.00 3.0
	SONTERRA CAP	041	HUN	S	50,000	13.49	n/a	n/a	2,000.00 4.0
	THOMAS WEISEL ASSET MGMT	035	HXL	B	12,399	17.05	n/a	n/a	371.97 3.0
	PECONIC PARTNERS	036	INTC	B	100,000	21.22	n/a	n/a	5,000.00 5.0
	MELLON/BANK OF NEW YORK	046	IWF	S	3,600	54.80	n/a	n/a	180.00 5.0
	<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCG</b>	<b>B</b>	<b>140,000</b>	<b>36.95</b>	<b>n/a</b>	<b>n/a</b>	<b>5,600.00 4.0</b>
<b>f</b>	<b>MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>JKS</b>	<b>B</b>	<b>1000</b>	<b>26.70</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>
<b>B</b>	<b>BUCK CAPITAL MGMT</b>		<b>JNY</b>	<b>B</b>	<b>60,000</b>	<b>13.84</b>	<b>n/a</b>	<b>28-Oct</b>	<b>non-brg 4.0</b>

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	CHRISTOPHER ROBERT C	FID	JNY	S	200	13.88	n/a	28-Oct	0.00	0.0
	BRASADA	031	KEG	B	5,000	10.07	n/a	28-Oct	150.00	3.0
	RBC CAPITAL MARKETS	040	KSS	B	15,000	53.78	n/a	18-Nov	600.00	4.0
	THE JAY GOLDMAN	028	KSS	B	10,000	53.84	n/a	18-Nov	400.00	4.0
	MELLON/BANK OF NEW YORK	046	LEA	S	40,400	87.77	n/a	29-Oct	2,020.00	5.0
B	BUCK CAPITAL MGMT		LL	S	20,000	22.25	n/a	n/a	non-brg	4.0
	ASCEND PARTNERS	033	LTD	S	9,835	34.05	n/a	n/a	491.75	5.0
	BUCK CAPITAL MGMT	001	MAR	B	60,000	38.77	n/a	2-Nov	2,400.00	4.0
f	JOEL GIFFORD TISS	FID	MMTIF	S	16785	0.25	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		MNRO	S	20,000	49.21	n/a	n/a	non-brg	2.5
B	BUCK CAPITAL MGMT		MVRX	C	120,000	203.92	n/a	n/a	non-brg	20.4
	BUCK CAPITAL MGMT	001	MW	SS	10,000	27.26	n/a	n/a	400.00	4.0
	GALT INVESTMENT	041	MW	B	15,000	27.35	n/a	n/a	750.00	5.0
B	BUCK CAPITAL MGMT		M	B	70,000	25.10	n/a	11-Nov	non-brg	4.0
	NICOLAS APPELEGATE	084	NOV	S	31,600	62.75	n/a	n/a	632.00	2.0
	ROTHSCHILD ASSET	040	OMG	B	26,713	38.13	n/a	n/a	1,068.52	4.0
	LEVEL GLOBAL SHARED ACCT	257	ORCL	B	300,000	28.45	n/a	n/a	9,000.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROARING BLUE LION MGMT	012	OXM	SS	1,500	23.76	n/a	n/a	60.00	4.0
RAINIER INV MGMT	035	PCAR	B	209,720	53.47	n/a	29-Oct	8,388.80	4.0
<b>f JOHN MICHAEL ZOLIDIS</b>	<b>FID</b>	<b>PIR</b>	<b>B</b>	<b>1000</b>	<b>9.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PLCE</b>	<b>B</b>	<b>120,000</b>	<b>49.02</b>	<b>n/a</b>	<b>18-Nov</b>	<b>non-brg</b>	<b>4.0</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>PLDDX</b>	<b>S</b>	<b>2153</b>	<b>10.65</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CATAPULT	040	PNC	SS	7,716	56.46	n/a	n/a	308.64	4.0
KLEINHEINZ CAP PART	031	QQQQ	B	100,000	52.58	n/a	n/a	5,000.00	5.0
FIRST NEW YORK NICK	029	Q	S	10,000	6.88	n/a	n/a	400.00	4.0
MELLON/BANK OF NEW YORK	046	RCL	B	64,800	42.52	n/a	n/a	3,240.00	5.0
LEVEL GLOBAL SHARED ACCT	257	ROST	S	50,000	63.33	n/a	n/a	1,500.00	3.0
MELLON/BANK OF NEW YORK	046	SHY	B	10,625	84.16	n/a	n/a	531.25	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKX</b>	<b>S</b>	<b>20,000</b>	<b>20.64</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SNE</b>	<b>C</b>	<b>40,000</b>	<b>35.48</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
M&I FUNDS	047	SPLS	B	25,674	20.79	n/a	n/a	1,026.96	4.0
<b>f ANDREW SINCLAIR</b>	<b>FID</b>	<b>SPY</b>	<b>S</b>	<b>50</b>	<b>0.63</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
IRIDIAN ASSET MGMT.	036	TCK	S	3,730	49.44	n/a	n/a	186.50	5.0
ß BUCK CAPITAL MGMT		TGT	C	100,000	56.07	n/a	17-Nov	non-brg	4.0
JP MORGAN VENTURES	046	TJX	SS	20,000	45.90	n/a	17-Nov	1,000.00	5.0
ß BUCK CAPITAL MGMT		TLB	S	30,000	10.63	n/a	n/a	non-brg	4.0
LEVEL GLOBAL SHARED ACCT	257	TPX	S	50,000	34.70	n/a	n/a	1,500.00	3.0
ß BUCK CAPITAL MGMT		TRLG	B	40,000	20.10	n/a	n/a	non-brg	4.0
HOLLIS CAPITAL	033	TRMB	B	7,000	37.04	n/a	n/a	350.00	5.0
f STEFFANIE CARMELA CA	FID	UQM	B	1500	2.06	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		URBN	B	30,000	36.82	n/a	n/a	non-brg	4.0
f LBP ENTERPRISES INC	FID	USG	B	5000	12.92	n/a	22-Oct	0.00	0.0
MELLON/BANK OF NEW YORK	046	VSI	S	6,800	30.87	n/a	n/a	340.00	5.0
f JOEL GIFFORD TISS	FID	WBC	S	2000	49.90	n/a	29-Oct	0.00	0.0
Õ Nilsa Vazquez		WYNN	B	100	108.08	n/a	10-Nov	0.00	0.0
f IAN L MILLER	FID	XOM	S	15	70.18	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		XRT	C	22,500	45.76	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVEL GLOBAL SHARED ACCT	257	XRT	C	164,000	45.85	n/a	n/a	4,920.00	3.0
KLEINHEINZ CAP PART	031	YHOO	B	40,000	17.08	n/a	n/a	2,000.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>190,430.65</b>	



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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	11/17	ONE EAST CAP ADV LP	048	HRB	B	10,000	12.52	n/a	n/a	300.00 3.0
AO,CXL	11/17	ONE EAST CAP ADV LP	048	HRB	B	10,000	12.52	n/a	n/a	500.00 5.0
AO,	11/17	COLUMBUS CIRCLE	036	MDR	B	38,961	16.94	n/a	n/a	1558.44 4.0

---

<b>TOTAL (AO, CXL, CRT) :</b>	<b>1,358.44</b>
-------------------------------	-----------------

---

---

TOTAL (Trade Date) :	190,430.65
TOTAL (AO, CXL, CRT) :	1,358.44

---

<b>TOTAL (RUN DATE) / NFS:</b>	<b>191,789.09</b>
--------------------------------	-------------------

---

MRI Securities with Trade Activity on 18-Nov.

**F**

MRI Securities without Trade Activity on 18-Nov.

**DLTR**

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

T-Date = 17%

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)