



# Daily Compliance Activity Report

Trade Date: 10/29/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BASCOM HILL PARTNERS LLC	033	AEO	B	20,000	16.16	n/a	29-Oct	600.00	3.0
BMO NESBITT BURNS	041	AMAG	B	9,000	15.91	n/a	n/a	630.00	7.0
PARAMETER CAPITAL MGMT LLC044	AMTD		SS	150,000	16.99	n/a	n/a	6,000.00	4.0
BUCK CAPITAL MGMT	001	ANF	B	30,000	42.89	n/a	29-Oct	1,200.00	4.0
BUCK CAPITAL MGMT		ANN	B	50,000	22.98	n/a	n/a	non-brg	4.0
SYSTEMATIC FINANCIAL MGT	035	ANN	B	35,900	23.61	n/a	n/a	1,077.00	3.0
TRELLUS PARTNERS LP	028	AN	SS	20,000	23.21	29-Oct	29-Oct	1,000.00	5.0
KAREN F LEDDY	FID	ARM	S	1000	16.65	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	ARO	B	40,000	24.35	n/a	29-Oct	1,600.00	4.0
MANNY I KORMAN	FID	AUTC	B	5000	24.75	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		AXL	S	10,700	9.65	n/a	19-Oct	non-brg	0.8
KADE CAPITAL LLC	028	AXL	B	17,500	9.50	n/a	19-Oct	875.00	5.0
SLS CAPITAL LLC	224	AXL	B	118,300	9.52	n/a	19-Oct	3,549.00	3.0
PARAMETER CAPITAL MGMT LLC044	AXS		SS	25,000	33.60	n/a	n/a	1,000.00	4.0
MARGARET M DAVEY	FID	BAC	B	2100	11.42	n/a	20-Oct	0.00	0.0
NCM CAPITAL MGMT	035	BAC	B	91,783	11.41	n/a	20-Oct	3,671.32	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>BID</b>	<b>B</b>	<b>10,000</b>	<b>43.82</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
WAGONHOUND/NIC	289	CMI	B	1,285	89.02	29-Oct	29-Oct	51.40	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>CNW</b>	<b>S</b>	<b>15,000</b>	<b>32.96</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>COH</b>	<b>B</b>	<b>20,000</b>	<b>49.90</b>	<b>n/a</b>	<b>27-Oct</b>	<b>800.00</b>	<b>4.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>CPN</b>	<b>S</b>	<b>1800</b>	<b>12.56</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARK ANTHONY GRONET</b>	<b>FID</b>	<b>CRBC</b>	<b>S</b>	<b>10000</b>	<b>0.70</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f NICOLAS EVAN PAKLER</b>	<b>FID</b>	<b>CRBC</b>	<b>S</b>	<b>2200</b>	<b>0.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
HIGHBRIDGE CAP	041	CSX	B	20,000	61.45	n/a	n/a	600.00	3.0
<b>f MARK ANTHONY GRONET</b>	<b>FID</b>	<b>CVGI</b>	<b>B</b>	<b>2000</b>	<b>13.51</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARGARET M DAVEY</b>	<b>FID</b>	<b>C</b>	<b>S</b>	<b>6000</b>	<b>4.16</b>	<b>n/a</b>	<b>19-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DBRN</b>	<b>B</b>	<b>30,000</b>	<b>22.85</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
JMP ASSET MGMT	210	DBRN	S	10,000	22.96	n/a	n/a	500.00	5.0
ROSEDALE CAPITAL	046	DVN	B	20,000	64.71	n/a	22-Oct	1,000.00	5.0
HIGHBRIDGE CAP	041	EOG	SS	7,500	95.72	n/a	n/a	225.00	3.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>FBR</b>	<b>S</b>	<b>200</b>	<b>17.89</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
JP MORGAN VENTURES	046	FCH	B	20,000	6.10	n/a	n/a	600.00	3.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	KAREN F LEDDY	FID	FCH	B	2000	6.07	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		FINL	B	50,000	15.29	n/a	n/a	non-brg	4.0
	WHALE ROCK CAP	030	FINL	S	33,845	15.43	n/a	n/a	1,353.80	4.0
B	BUCK CAPITAL MGMT		GAGA	S	1,000	9.26	n/a	n/a	non-brg	2.5
f	CHRISTOPHER ROBERT C	FID	GAGA	B	300	10.10	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		GIII	B	10,000	26.37	n/a	n/a	non-brg	2.5
f	STEFFANIE CARMELA CA	FID	GMO	S	575	5.07	n/a	n/a	0.00	0.0
	BUCK CAPITAL MGMT	001	GPS	B	100,000	19.05	n/a	n/a	4,000.00	4.0
f	MANNY I KORMAN	FID	GSI	B	1400	2.90	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		HAL	B	5,000	30.25	n/a	n/a	non-brg	1.0
	LOCUS WOOD CAPITAL MGMT	044	HD	SS	25,000	30.94	n/a	7-Oct	1,000.00	4.0
	SIGMA CAPITAL ASSOCIATES	041	HOT	B	150,000	54.30	n/a	29-Oct	5,250.00	3.5
	HIGHBRIDGE CAP	041	HTZ	B	18,750	11.32	n/a	n/a	562.50	3.0
	UNITED STATES PENSION	085	IBM	S	27,615	141.32	n/a	n/a	1,380.75	5.0
	PLATTE RIVER CAPITAL	240	IGT	B	26,500	15.54	n/a	20-Oct	1,060.00	4.0
B	BUCK CAPITAL MGMT		IMAX	C	100,000	21.48	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		IMAX	C	69,300	21.81	n/a	n/a	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
	SAC CAP/ROSEN FOR BOBBY	044	IWM	B	150,000	69.98	n/a	n/a	5,250.00	3.5	
f	MANNY I KORMAN	FID	JADE	B	15000	5.06	n/a	n/a	0.00	0.0	
f	JASON ERIC COHEN	FID	JBLU	S	244	7.01	n/a	n/a	0.00	0.0	
	BUCK CAPITAL MGMT	001	JCG	SS	50,000	31.82	n/a	n/a	2,000.00	4.0	
	BALYASNY ASSET MGMT	044	JCP	C	25,000	31.57	n/a	29-Oct	1,250.00	5.0	
	BUCK CAPITAL MGMT	001	JCP	SS	20,000	31.40	n/a	29-Oct	800.00	4.0	
B	BUCK CAPITAL MGMT		JOSB	S	10,000	43.44	n/a	n/a	non-brg	2.5	
B	BUCK CAPITAL MGMT		JWN	S	20,000	38.39	n/a	29-Oct	non-brg	4.0	
B	BUCK CAPITAL MGMT		JWN	S	30,000	38.19	n/a	29-Oct	non-brg	4.0	
	TRUSTCO/SUNTRUST	040	KMB	B	9,748	63.00	n/a	27-Oct	341.20	3.5	
	S.A.C. CAP/ORENSTEIN	044	KNX	S	25,000	17.93	n/a	n/a	875.00	3.5	
B	BUCK CAPITAL MGMT		KSS	S	591,919	51.18	n/a	29-Oct	non-brg	4.0	
f	JOHN MICHAEL ZOLIDIS	FID	KSWS	S	700	12.43	n/a	n/a	0.00	0.0	
f	MARC PAUL LUCHANSKY	FID	KSWS	S	1000	12.20	n/a	n/a	0.00	0.0	
	WEDBUSH/PACIFIC GROWTH EQTY LLC084	KSWS		SS	15,000	12.27		n/a	n/a	750.00	5.0
f	MANNY I KORMAN	FID	LNCR	S	100	0.31	n/a	n/a	0.00	0.0	
	ASCEND PARTNERS	033	LOW	S	118,601	21.29	n/a	16-Aug	5,930.05	5.0	

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LOCUS WOOD CAPITAL MGMT	044	LOW	SS	25,000	21.26	n/a	16-Aug	1,000.00	4.0
HIGHBRIDGE CAP	041	MAR	SS	9,375	37.05	n/a	27-Oct	281.25	3.0
ASCEND PARTNERS	033	MMM	B	6,171	84.45	n/a	28-Oct	308.55	5.0
KLEINHEINZ CAP PART	031	MMM	B	55,000	84.84	n/a	28-Oct	2,750.00	5.0
HIGHBRIDGE CAP	041	MSFT	SS	100,000	26.64	n/a	n/a	3,000.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>M</b>	<b>S</b>	<b>30,000</b>	<b>23.78</b>	<b>n/a</b>	<b>29-Oct</b>	<b>non-brg</b>	<b>4.0</b>
SAC CHICAGO ANDREW	031	M	B	20,000	23.62	n/a	29-Oct	700.00	3.5
SACC-SCHWARTZ	044	M	B	100,000	23.59	n/a	29-Oct	3,500.00	3.5
ROTHSCHILD ASSET	040	NBL	B	2,867	80.61	n/a	n/a	114.68	4.0
FARALLON CAP MGMT	040	NOK	B	175,000	10.86	n/a	n/a	5,250.00	3.0
NOMURA CAPITAL	029	NOR	B	1,741	9.90	n/a	n/a	34.82	2.0
MATRIX ASSET ADV.	091	NVLS	S	3,000	29.15	n/a	n/a	120.00	4.0
RWC PARTNERS LTD	067	OMX	B	112,600	17.23	n/a	n/a	3,378.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>PFCB</b>	<b>C</b>	<b>50,000</b>	<b>45.90</b>	<b>n/a</b>	<b>27-Oct</b>	<b>non-brg</b>	<b>4.0</b>
TRUSTCO/SUNTRUST	040	PG	S	64,528	63.50	n/a	27-Oct	2,258.50	3.5
BENNETT LAWRENCE	028	PII	B	4,725	71.46	n/a	n/a	189.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>PLCE</b>	<b>B</b>	<b>30,000</b>	<b>44.17</b>	<b>n/a</b>	<b>21-Oct</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B</b> BUCK CAPITAL MGMT		<b>PNRA</b>	<b>SS</b>	<b>20,000</b>	<b>89.71</b>	<b>n/a</b>	<b>27-Oct</b>	<b>non-brg</b>	<b>2.5</b>
CR INTRINIC INVESTMENT	044	QCOR	S	25,000	12.36	n/a	n/a	875.00	3.5
FIRST NEW YORK NICK	029	Q	S	10,000	6.56	n/a	n/a	500.00	5.0
SUFFOLK CAPITAL MGMT	040	RCL	B	137,000	39.91	n/a	n/a	5,480.00	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>RGC</b>	<b>B</b>	<b>30,000</b>	<b>13.60</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
PARAMETER CAPITAL MGMT LLC	044	SCHW	B	200,000	15.38	n/a	n/a	8,000.00	4.0
<b>f</b> KAREN F LEDDY	<b>FID</b>	<b>SGI</b>	<b>B</b>	<b>2000</b>	<b>7.77</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
REINHART & MAHONEY	047	SHPGY	B	11,950	70.63	n/a	29-Oct	597.50	5.0
SUN AMERICA ASSET MGMT	030	SKX	B	15,000	19.45	n/a	n/a	600.00	4.0
<b>f</b> MANNY I KORMAN	<b>FID</b>	<b>SLM</b>	<b>S</b>	<b>200</b>	<b>0.33</b>	<b>n/a</b>	<b>20-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>SNE</b>	<b>C</b>	<b>50,000</b>	<b>33.73</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> ANDREW SINCLAIR	<b>FID</b>	<b>SPY</b>	<b>B</b>	<b>100</b>	<b>0.74</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> ANDREW SINCLAIR	<b>FID</b>	<b>SPY</b>	<b>S</b>	<b>100</b>	<b>0.65</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BERMAN CAPITAL MGMT	046	SPY	B	30,000	118.20	n/a	n/a	900.00	3.0
<b>f</b> ROBERT M DANIELS	<b>FID</b>	<b>SWK</b>	<b>B</b>	<b>150</b>	<b>61.77</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>SWN</b>	<b>S</b>	<b>46,857</b>	<b>34.01</b>	<b>n/a</b>	<b>29-Oct</b>	<b>non-brg</b>	<b>4.0</b>

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	DAVID GEORGE BUCK	FID	SYK	S	1000	49.52	n/a	n/a	0.00	0.0
	FIRST NEW YORK LEDDY	035	S	S	20,000	4.17	n/a	n/a	800.00	4.0
f	JONATHAN RICHARD HAR	FID	TEX	B	125	22.38	n/a	22-Oct	0.00	0.0
f	KAREN F LEDDY	FID	TEX	B	500	22.44	n/a	22-Oct	0.00	0.0
	PARAMETER CAPITAL MGMT LLC044	TROW		SS	35,000	55.25	n/a	n/a	1,400.00	4.0
	PARAMETER CAPITAL MGMT LLC044	TYC		SS	40,000	38.23	n/a	18-Aug	1,600.00	4.0
f	KEVIN MICHAEL O'GORM	FID	USG	B	2000	12.72	n/a	22-Oct	0.00	0.0
	SEVEN LOCKS CAPITAL	067	VRSN	S	10,000	34.72	n/a	n/a	300.00	3.0
f	MARC PAUL LUCHANSKY	FID	VXX	B	1000	13.20	n/a	n/a	0.00	0.0
f	PEARL LUCHANSKY	FID	VXX	B	2000	13.19	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		WBC	SS	17,000	46.62	29-Oct	29-Oct	non-brg	4.0
B	BUCK CAPITAL MGMT		WBC	S	3,000	45.62	29-Oct	29-Oct	non-brg	4.0
	COUGAR TRADING	044	WBC	B	10,000	45.12	29-Oct	29-Oct	500.00	5.0
	COUGAR TRADING	044	WBC	S	5,000	46.20	29-Oct	29-Oct	250.00	5.0
	TROUBH PART	067	WFC	B	25,000	26.03	n/a	21-Oct	1,250.00	5.0
f	JOHN MICHAEL ZOLIDIS	FID	WHR	B	100	76.99	n/a	n/a	0.00	0.0
	SIGMA CAPITAL ASSOCIATES	041	WMT	SS	50,000	53.82	n/a	14-Oct	1,750.00	3.5
	BMO NESBITT BURNS	041	WPI	S	5,000	46.62	n/a	25-Oct	350.00	7.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TYEE/TYGH	035	WRC	S	30,000	53.02	n/a	18-Oct	1,200.00	4.0
SCOPUS FUND	041	WY	S	40,000	16.15	n/a	29-Oct	2,000.00	5.0
WEINTRAUB CAPITAL MGT.	040	WY	S	50,000	16.20	n/a	29-Oct	2,000.00	4.0
JETSTREAM GLOBAL FUND LP	065	X	B	64,700	41.26	n/a	n/a	3,235.00	5.0
<b>TOTAL (Trade Date):</b>							<b>113,254.32</b>		



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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	10/28	REINHART & MAHONEY	047	BKI	B	1,200	16.34	n/a	n/a	60.00	5.0
AO,CXL	10/28	REINHART & MAHONEY	047	BKI	B	1,200	16.34	n/a	n/a	60.00	5.0
AO,CRT	10/28	SCHOTTENFELD ASSOC	041	C	B	20,000	4.18	n/a	19-Oct	1000.00	5.0
AO,CXL	10/28	SCHOTTENFELD ASSOC	041	C	B	20,000	4.18	n/a	19-Oct	600.00	3.0
AO,CXL	10/28	REINHART & MAHONEY	047	CMCO	B	850	16.71	n/a	n/a	42.50	5.0
AO,CRT	10/28	REINHART & MAHONEY	047	CMCO	B	850	16.71	n/a	n/a	42.50	5.0
AO,CXL	10/28	REINHART & MAHONEY	047	DCOM	B	1,200	14.59	n/a	n/a	60.00	5.0
AO,CRT	10/28	REINHART & MAHONEY	047	DCOM	B	1,200	14.59	n/a	n/a	60.00	5.0
AO,CXL	10/28	REINHART & MAHONEY	047	GB	B	600	23.70	n/a	n/a	30.00	5.0
AO,CRT	10/28	REINHART & MAHONEY	047	GB	B	600	23.70	n/a	n/a	30.00	5.0
AO,CXL	10/28	EMERSON CAPITAL MGMT	048	HBI	B	18,256	25.44	n/a	28-Oct	547.68	3.0
AO,CRT	10/28	EMERSON CAPITAL MGMT	048	HBI	B	18,256	25.44	n/a	28-Oct	547.68	3.0
AO,CXL	10/28	REINHART & MAHONEY	047	NWE	B	900	29.87	n/a	n/a	45.00	5.0
AO,CRT	10/28	REINHART & MAHONEY	047	NWE	B	900	29.87	n/a	n/a	45.00	5.0
AO,CXL	10/28	REINHART & MAHONEY	047	PLXS	B	500	32.41	n/a	n/a	25.00	5.0
AO,CRT	10/28	REINHART & MAHONEY	047	PLXS	B	500	32.41	n/a	n/a	25.00	5.0
AO,CXL	10/28	REINHART & MAHONEY	047	QSFT	B	600	26.55	n/a	n/a	30.00	5.0
AO,CRT	10/28	REINHART & MAHONEY	047	QSFT	B	600	26.55	n/a	n/a	30.00	5.0
AO,CRT	10/28	REINHART & MAHONEY	047	SNX	B	800	29.46	n/a	n/a	40.00	5.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CXL	10/28	REINHART & MAHONEY	047	SNX	B	800	29.46	n/a n/a	40.00 5.0
AO,CXL	10/28	REINHART & MAHONEY	047	VITA	B	4,900	2.21	n/a n/a	245.00 5.0
AO,CRT	10/28	REINHART & MAHONEY	047	VITA	B	4,900	2.21	n/a n/a	245.00 5.0
<b>TOTAL (AO, CXL, CRT) :</b>									<b>400.00</b>

TOTAL (Trade Date):	113,254.32
TOTAL (AO, CXL, CRT):	400.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>113,654.32</b>
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MRI Securities with Trade Activity on 29-Oct.  
AN, CMI, WBC

MRI Securities without Trade Activity on 29-Oct.  
RTN, AVP, GD, CEPH, V

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)