



Daily Compliance Activity Report

Trade Date: 11/19/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f DAVID GEORGE BUCK	FID	ADM	S	2000	29.66	n/a	2-Nov	0.00	0.0
f MANNY I KORMAN	FID	ADM	B	100	2.31	n/a	2-Nov	0.00	0.0
B BUCK CAPITAL MGMT		ANN	S	20,000	25.42	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ANN	S	20,000	26.02	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		ANN	S	30,000	25.81	n/a	n/a	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	AN	B	100	26.11	n/a	29-Oct	0.00	0.0
HIGHBRIDGE CAP	041	BBBY	B	3,515	42.65	n/a	n/a	105.45	3.0
RBC CAPITAL MARKETS	040	BHP	SS	40,000	86.41	n/a	n/a	1,600.00	4.0
B BUCK CAPITAL MGMT		BID	B	10,000	41.84	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	BUD	S	1000	60.82	n/a	4-Nov	0.00	0.0
TRELLUS PARTNERS LP	028	BZ	SS	35,000	7.24	n/a	n/a	1,050.00	3.0
BALYASNY ASSET MGMT	044	CHS	B	50,000	11.24	n/a	5-Feb	2,500.00	5.0
EPOCH INV MGMT	030	CMS	B	300	17.91	n/a	n/a	9.00	3.0
EPOCH INV MGMT	030	CNW	B	150	32.89	n/a	n/a	4.50	3.0
EPOCH INV MGMT	030	CPO	B	150	44.93	n/a	n/a	4.50	3.0
MERRILL ASSET/BLACKROCK	266	CRR	S	1,200	93.10	n/a	16-Nov	48.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	CTBI	B	100	28.42	n/a	n/a	3.00	3.0
HARVEST MGMT	029	DBRN	S	7,500	24.01	n/a	n/a	375.00	5.0
EPOCH INV MGMT	030	DRIV	B	100	36.55	n/a	n/a	3.00	3.0
EPOCH INV MGMT	030	DRQ	B	50	77.55	n/a	n/a	1.50	3.0
f BRIAN FRANCIS KEALOH	FID	DVNTF	B	10939	0.48	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	FDML	B	150	18.86	n/a	n/a	4.50	3.0
B BUCK CAPITAL MGMT		FINL	S	30,000	17.97	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		FINL	S	40,000	17.98	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		FINL	S	80,000	17.96	n/a	n/a	non-brg	4.0
f JOHN MICHAEL ZOLIDIS	FID	FINL	S	1000	17.69	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FL	S	110,000	17.95	19-Nov	19-Nov	non-brg	4.0
B BUCK CAPITAL MGMT		FL	S	150,000	17.89	19-Nov	19-Nov	non-brg	4.0
EPOCH INV MGMT	030	FORR	B	50	35.17	n/a	n/a	1.50	3.0
f IAN L MILLER	FID	FOR	S	100	17.93	n/a	3-Nov	0.00	0.0
f JOEL GIFFORD TISS	FID	FSS	B	10000	6.29	n/a	n/a	0.00	0.0
DAVIDSON INV ADV	035	F	S	75,485	16.29	n/a	18-Nov	3,019.40	4.0
B BUCK CAPITAL MGMT		GCO	S	10,000	34.05	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DIAMONDBACK CAP MGMT	232	GE	B	31,000	16.20	n/a	n/a	1,550.00	5.0
B BUCK CAPITAL MGMT		GIII	B	5,000	27.40	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		GIII	B	900	27.38	n/a	n/a	non-brg	0.8
WEINTRAUB CAPITAL MGT.	040	GIII	B	25,000	27.41	n/a	n/a	1,000.00	4.0
B BUCK CAPITAL MGMT		GIL	B	150,264	28.12	n/a	18-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		GIL	B	49,736	28.23	n/a	18-Oct	non-brg	0.8
Ö Fritz Gallagher		GLD	S	6	132.01	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		GMCR	S	100,000	29.87	n/a	n/a	non-brg	4.0
BALYASNY ASSET MGMT	044	GM	B	10,000	33.88	n/a	1-Feb	500.00	5.0
B BUCK CAPITAL MGMT		HAL	S	20,000	37.88	n/a	n/a	non-brg	4.0
EPOCH INV MGMT	030	HAYN	B	100	37.30	n/a	n/a	3.00	3.0
f CHRISTOPHER ROBERT C	FID	HBI	B	200	26.48	n/a	28-Oct	0.00	0.0
KLEINHEINZ CAP PART	031	IBN	B	50,000	51.07	n/a	n/a	2,500.00	5.0
EPOCH INV MGMT	030	ICON	B	200	17.75	n/a	n/a	6.00	3.0
ARMATURE CAPITAL	041	IP	B	15,000	24.82	n/a	27-Oct	600.00	4.0
BMO NESBITT BURNS	041	IP	SS	58,000	24.81	n/a	27-Oct	2,820.00	4.5
M&I FUNDS	047	IP	S	51,098	24.91	n/a	27-Oct	2,043.92	4.0
SCOPUS FUND	041	IP	SS	40,000	24.71	n/a	27-Oct	2,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SURVEYOR CAPITAL	041	IP	SS	100,000	24.68	n/a	27-Oct	3,000.00	3.0
TRELLUS PARTNERS LP	028	IP	SS	15,000	24.84	n/a	27-Oct	750.00	5.0
EPOCH INV MGMT	030	ISBC	B	300	12.21	n/a	n/a	9.00	3.0
B BUCK CAPITAL MGMT		JCG	C	30,000	36.55	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	JCP	B	1500	32.13	n/a	15-Nov	0.00	0.0
f MARC PAUL LUCHANSKY	FID	JKS	S	500	23.25	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	266	JLL	S	6,400	80.06	n/a	n/a	256.00	4.0
BUCK CAPITAL MGMT	001	JNY	B	200,000	13.94	n/a	28-Oct	8,000.00	4.0
EPOCH INV MGMT	030	JOSB	B	100	42.81	n/a	n/a	3.00	3.0
LATEFF MGMT	035	JPM	B	4,000	39.44	n/a	18-Nov	520.00	13.0
f DAVID GEORGE BUCK	FID	KSS	B	1000	55.01	n/a	18-Nov	0.00	0.0
THE JAY GOLDMAN	028	LTD	B	50,000	32.34	n/a	n/a	2,000.00	4.0
KLEINHEINZ CAP PART	031	MF	B	300,000	8.24	n/a	n/a	15,000.00	5.0
EPOCH INV MGMT	030	MLI	B	150	30.30	n/a	19-Oct	4.50	3.0
B BUCK CAPITAL MGMT		MNRO	S	10,741	49.09	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		MSMSRAWW	C	85,000	105.71	n/a	n/a	non-brg	10.6

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THE JAY GOLDMAN	028	M	S	55,000	24.85	n/a	11-Nov	2,200.00	4.0
HIGHBRIDGE CAP	041	NKE	B	1,190	84.06	n/a	n/a	35.70	3.0
COLUMBIA PARTNERS	028	NOG	S	42,000	20.46	n/a	n/a	1,680.00	4.0
B BUCK CAPITAL MGMT		NWY	B	30,000	3.32	n/a	n/a	non-brg	1.0
CHART WELL ADV	028	PAY	B	40,275	33.58	n/a	n/a	1,611.00	4.0
B BUCK CAPITAL MGMT		PIR	S	50,000	9.05	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		PLCE	B	50,000	48.24	n/a	18-Nov	non-brg	4.0
EPOCH INV MGMT	030	PLOW	B	250	14.45	n/a	n/a	7.50	3.0
f DAVID GEORGE BUCK	FID	PM	B	1000	59.77	n/a	n/a	0.00	0.0
STRONG/MARK GRONET	030	PWER	B	150,000	9.07	n/a	n/a	4,500.00	3.0
EPOCH INV MGMT	030	RAIL	B	150	24.47	n/a	n/a	4.50	3.0
f JOHN MICHAEL ZOLIDIS	FID	RGS	S	300	18.50	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	ROCK	B	200	10.11	n/a	n/a	6.00	3.0
EPOCH INV MGMT	030	RYL	B	250	14.92	n/a	n/a	7.50	3.0
f JASON ERIC COHEN	FID	RYL	B	10	0.58	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	RYN	B	100	51.43	n/a	27-Oct	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GALT INVESTMENT	041	SAH	S	20,000	12.65	n/a	n/a	800.00	4.0
Õ Fritz Gallagher		SBS	S	20	48.35	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	SFNC	B	100	28.05	n/a	n/a	3.00	3.0
f MANNY I KORMAN	FID	SLM	B	20000	12.00	n/a	17-Nov	0.00	0.0
ß BUCK CAPITAL MGMT		SNE	C	30,000	35.13	n/a	n/a	non-brg	4.0
f ANDREW SINCLAIR	FID	SPY	B	50	0.59	n/a	n/a	0.00	0.0
Õ Fritz Gallagher		SRS	S	2	20.62	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	SSI	B	350	14.27	n/a	n/a	10.50	3.0
f JOSEPH CIRO AMATURO	FID	TAN	B	5000	7.40	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	TCBI	B	300	18.68	n/a	n/a	9.00	3.0
RBC CAPITAL MARKETS	040	TCK	S	30,000	49.40	n/a	n/a	1,200.00	4.0
ß BUCK CAPITAL MGMT		TRLG	B	10,000	20.85	n/a	n/a	non-brg	4.0
MERRILL ASSET/BLACKROCK	266	TTES	S	11,000	34.39	n/a	n/a	440.00	4.0
ß BUCK CAPITAL MGMT		URBN	B	10,000	37.31	n/a	n/a	non-brg	4.0
f JONATHAN RICHARD HAR	FID	URRE	B	300	2.47	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	URS	SS	25,000	40.59	n/a	n/a	1,000.00	4.0
EPOCH INV MGMT	030	VPFG	B	300	10.40	n/a	n/a	9.00	3.0
EPOCH INV MGMT	030	VR	B	150	29.32	n/a	n/a	4.50	3.0
MELLON/BANK OF NEW YORK	046	VSI	S	14,000	30.22	n/a	n/a	700.00	5.0
EPOCH INV MGMT	030	WAB	B	50	47.09	n/a	n/a	1.50	3.0
B BUCK CAPITAL MGMT		XRT	C	10,000	45.78	n/a	n/a	non-brg	1.0
KLEINHEINZ CAP PART	031	X	B	75,000	47.76	n/a	n/a	3,750.00	5.0
TOTAL (Trade Date) :								69,274.47	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/18	NICOLAS APPEGATE	084	NOV	S	27,700	62.75	n/a	n/a	554.00 2.0
AO,CRT	11/18	NICOLAS APPEGATE	084	NOV	S	27,700	62.75	n/a	n/a	554.00 2.0
AO,CXL	11/16	FARALLON CAP MGMT	040	NVS	B	251,400	55.78	n/a	n/a	7542.00 3.0
AO,CRT	11/16	FARALLON CAP MGMT	040	NVS	B	251,400	55.78	n/a	n/a	10056.00 4.0
AO,CXL	11/15	COLUMBUS CIRCLE	036	PCS	B	33	11.77	n/a	n/a	1.32 4.0
AO,CRT	11/15	COLUMBUS CIRCLE	036	PCS	B	33	11.77	n/a	n/a	1.32 4.0
AO,CRT	11/18	FIRST NEW YORK NICK	029	Q	S	10,000	6.88	n/a	n/a	500.00 5.0
AO,CXL	11/18	FIRST NEW YORK NICK	029	Q	S	10,000	6.88	n/a	n/a	400.00 4.0
AO,	11/18	NOMURA CAPITAL	029	QLTY	S	938	6.67	n/a	n/a	28.14 3.0
TOTAL (AO, CXL, CRT) :										2,642.14

TOTAL (Trade Date) :	69,274.47
TOTAL (AO, CXL, CRT) :	2,642.14

TOTAL (RUN DATE) / NFS:	71,916.61
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MRI Securities with Trade Activity on 19-Nov.

FL

MRI Securities without Trade Activity on 19-Nov.

NONE

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

T-Date = 15%

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)