

## **Daily Compliance Activity Report** Trade Date: 09/10/2010

**Potential ANALYST TRADE Violations: 0** Watch List ACTIVITY ALERT: 0

_										
	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	:/Shr.
ß	BUCK CAPITAL MGMT		AEO	В	30,000	14.39	n/a	2-Sep	non-brg	4.0
	RBC CAPITAL MARKETS	040	ANF	S	10,000	34.76	n/a	2-Sep	400.00	4.0
ß	BUCK CAPITAL MGMT		ANN	В	20,000	16.91	n/a	n/a	non-brg	4.0
f	MANNY I KORMAN	FID	APC	В	4000	52.74	n/a	4-Aug	0.00	0.0
	TROUBH PART	067	APC	В	10,000	53.03	n/a	4-Aug	500.00	5.0
	RBC CAPITAL MARKETS	040	ARO	В	40,000	22.55	n/a	2-Sep	1,600.00	4.0
	PZENA INV ADV	044	AVT	В	45,116	24.85	n/a	n/a	1,579.20	3.5
f	DOUGLAS ROGERS	FID	BACPRC	s	600	25.06	n/a	n/a	0.00	0.0
f	DAVID GEORGE BUCK	FID	BAC	s	7000	13.56	n/a	20-Aug	0.00	0.0
f	JOSEPH CIRO AMATURO	FID	BGZ	В	20000	13.81	n/a	n/a	0.00	0.0
õ	Michael Ehrlich		СМ	s	300	71.85	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		СОН	В	20,000	38.95	n/a	4-Aug	non-brg	4.0
	PROSPECTOR PARTNERS LLC	036	CPN	S	10,000	12.87	n/a	n/a	400.00	4.0
f	KAREN F LEDDY	FID	CVGI	В	3900	9.67	n/a	n/a	0.00	0.0
	BROOKSIDE CAPITAL PART	067	С	В	550,000	3.93	n/a	2-Sep	16,500.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
MANNY I KORMAN		_	В	100000	3.93	n/a	2-Sep		0.0
						, -			
RBC CAPITAL MARKETS	040	DRT	SS	5 - 000	44 88	n/a	8-,711	200 00	4.0
NEO ON TIME THRUETO	010	DICE		3,000	11.00	117 G	0 041	200.00	1.0
GRUSS CAPITAL	025	DVN	В	15.000	63 09	n/a	11-Aug	450 00	3.0
	020	DVIV	ב	10,000	00.00	117 G	11 1109	100.00	3.0
MANNY I KORMAN	מדת	F 2 7.	S	200	0 03	n/a	n/a	0.00	0.0
THE TOTAL	110		J	200	0.05	11, 4	, a	0.00	0.0
VISTUM/RALY BORRY	044	FDO	99	10 000	42 84	n/a	2-Sen	500 00	5.0
VIOION, BREE BOBBI	011	100	55	10,000	12.01	11/ G	2 000	300.00	3 <b>.</b> 0
O CAPITAL MGMT	029	FOR	B	3 000	15 15	n/a	26-Aug	150 00	5.0
	023	1 010	ב	3,000	10.10	117 G	20 1149	100.00	3.0
RBC CAPITAL MARKETS	040	FO	SS	5,000	47.74	n/a	n/a	200.00	4.0
				7,777		,	,		
NEUBERGER BERMAN	036	GGP	S	5,000	14.65	n/a	n/a	200.00	4.0
				,					
BUCK CAPITAL MGMT		GYMB	В	15,000	38.07	n/a	2-Sep	non-brg	4.0
SPARTA ASSET MGMT	035	GYMB	В		38.02	n/a	_	300.00	3.0
							-		
CAMBIAR CAP	046	HAR	В	38,860	32.09	n/a	6-Aug	1,554.40	4.0
PARTNER REINSURANCE	033	HD	В	23,150	29.68	n/a	17-Aug	926.00	4.0
CARDINAL CAPITAL	044	HEW	S	15,660	49.23	n/a	n/a	783.00	5.0
ARMATURE CAPITAL	041	JCI	В	25,000	28.61	n/a	8-Sep	1,000.00	4.0
DAVID GEORGE BUCK	FID	JPM	В	1500	39.98	n/a	20-Aug	0.00	0.0
WATERFRONT CAP	028	KR	В	140,000	21.29	n/a	n/a	5,600.00	4.0
	MANNY I KORMAN  RBC CAPITAL MARKETS  GRUSS CAPITAL  MANNY I KORMAN  VISIUM/BALY BOBBY  O CAPITAL MGMT  RBC CAPITAL MARKETS  NEUBERGER BERMAN  BUCK CAPITAL MGMT  SPARTA ASSET MGMT  CAMBIAR CAP  PARTNER REINSURANCE  CARDINAL CAPITAL  ARMATURE CAPITAL  DAVID GEORGE BUCK	MANNY I KORMAN FID  RBC CAPITAL MARKETS 040  GRUSS CAPITAL 025  MANNY I KORMAN FID  VISIUM/BALY BOBBY 044  O CAPITAL MGMT 029  RBC CAPITAL MARKETS 040  NEUBERGER BERMAN 036  BUCK CAPITAL MGMT 035  CAMBIAR CAP 046  PARTNER REINSURANCE 033  CARDINAL CAPITAL 044  ARMATURE CAPITAL 041  DAVID GEORGE BUCK FID	RBC CAPITAL MARKETS 040 DRI GRUSS CAPITAL 025 DVN  MANNY I KORMAN FID FAZ  VISIUM/BALY BOBBY 044 FDO  O CAPITAL MGMT 029 FOR  RBC CAPITAL MARKETS 040 FO  NEUBERGER BERMAN 036 GGP  BUCK CAPITAL MGMT GYMB  SPARTA ASSET MGMT 035 GYMB  CAMBIAR CAP 046 HAR  PARTNER REINSURANCE 033 HD  CARDINAL CAPITAL 044 HEW  ARMATURE CAPITAL 041 JCI  DAVID GEORGE BUCK FID JPM	REC CAPITAL MARKETS O40 DRI SS GRUSS CAPITAL O25 DVN B MANNY I KORMAN FID FAZ S VISIUM/BALY BOBBY O44 FDO SS O CAPITAL MGMT O29 FOR B REC CAPITAL MARKETS O40 FO SS NEUBERGER BERMAN O36 GGP S BUCK CAPITAL MGMT GYMB B CAMBIAR CAP O46 HAR B PARTNER REINSURANCE O33 HD B CARDINAL CAPITAL O44 HEW S ARMATURE CAPITAL O41 JCI B DAVID GEORGE BUCK FID JPM B	MANNY I KORMAN         FID C         B         100000           REC CAPITAL MARKETS         040 DRI         SS         5,000           GRUSS CAPITAL         025 DVN         B         15,000           MANNY I KORMAN         FID FAZ         S         200           VISIUM/BALY BOBBY         044 FDO         SS         10,000           O CAPITAL MGMT         029 FOR         B         3,000           REC CAPITAL MARKETS         040 FO         SS         5,000           NEUBERGER BERMAN         036 GGP         S         5,000           BUCK CAPITAL MGMT         GYMB         B         15,000           SPARTA ASSET MGMT         035 GYMB         B         10,000           CAMBIAR CAP         046 HAR         B         38,860           PARTNER REINSURANCE         033 HD         B         23,150           CARDINAL CAPITAL         044 HEW         S         15,660           ARMATURE CAPITAL         041 JCI         B         25,000           DAVID GEORGE BUCK         FID JPM         B         1500	MANNY I KORMAN         FID C         B         100000         3.93           RBC CAPITAL MARKETS         040 DRI         SS         5,000         44.88           GRUSS CAPITAL         025 DVN         B         15,000         63.09           MANNY I KORMAN         FID FAZ         S         200         0.03           VISIUM/BALY BOBBY         044 FDO         SS         10,000         42.84           O CAPITAL MGMT         029 FOR         B         3,000         15.15           RBC CAPITAL MARKETS         040 FO         SS         5,000         47.74           NEUBERGER BERMAN         036 GGP         S         5,000         14.65           BUCK CAPITAL MGMT         GYMB         B         15,000         38.07           SPARTA ASSET MGMT         035 GYMB         B         10,000         38.02           CAMBIAR CAP         046 HAR         B         38,860         32.09           PARTNER REINSURANCE         033 HD         B         23,150         29.68           CARDINAL CAPITAL         044 HEW         S         15,660         49.23           ARMATURE CAPITAL         041 JCI         B         25,000         28.61           DAVID GEORGE BUCK <td>MANNY I KORMAN         FID         C         B         100000         3.93         n/a           RBC CAPITAL MARKETS         040         DRI         SS         5,000         44.88         n/a           GRUSS CAPITAL         025         DVN         B         15,000         63.09         n/a           MANNY I KORMAN         FID         FAZ         S         200         0.03         n/a           VISIUM/BALY BOBBY         044         FDO         SS         10,000         42.84         n/a           O CAPITAL MGMT         029         FOR         B         3,000         15.15         n/a           REC CAPITAL MGMT         036         GGP         S         5,000         47.74         n/a           BUCK CAPITAL MGMT         GYMB         B         15,000         38.07         n/a           SPARTA ASSET MGMT         035         GYMB         B         10,000         38.02         n/a           CAMBIAR CAP         046         HAR         B         38,860         32.09         n/a           PARTNER REINSURANCE         033         HD         B         23,150         29.68         n/a           CARDINAL CAPITAL         044         <td< td=""><td>MANNY I KORMAN         FID C         B         100000         3.93         n/a         2-Sep           REC CAPITAL MARKETS         040 DRI         SS         5,000         44.88         n/a         8-Jul           GRUSS CAPITAL         025 DVN         B         15,000         63.09         n/a         11-Aug           MANNY I KORMAN         FID FAZ         S         200         0.03         n/a         n/a           VISIUM/BALY BOBBY         044 FDO         SS         10,000         42.84         n/a         2-Sep           O CAPITAL MGMT         029 FOR         B         3,000         15.15         n/a         26-Aug           REC CAPITAL MARKETS         040 FO         SS         5,000         47.74         n/a         n/a           NEUBERGER BERMAN         036 CGP         S         5,000         14.65         n/a         n/a           BUCK CAPITAL MGMT         GYMB         B         15,000         38.07         n/a         2-Sep           SPARTA ASSET MGMT         035 GYME         B         10,000         38.02         n/a         2-Sep           CAMBIAR CAP         046 HAR         B         38,860         32.09         n/a         6-Aug     <!--</td--><td>MANNY I KORMAN         FID C         B         10000         3.93         n/a         2-Sep         0.00           RBC CAPITAL MARKETS         040         DRI         SS         5,000         44.88         n/a         B-Jul         200.00           GRUSS CAPITAL         025         DVN         B         15,000         63.09         n/a         11-Aug         450.00           MANNY I KORMAN         FID         FAZ         S         200         0.03         n/a         n/a         0.00           VISIUM/BALY BORRY         044         FDO         SS         10,000         42.84         n/a         2-Sep         500.00           0 CAPITAL MGMT         029         FOR         B         3,000         15.15         n/a         26-Aug         150.00           REC CAPITAL MARKETS         040         FO         SS         5,000         47.74         n/a         n/a         200.00           NEUBERGER BERMAN         036         GGP         S         5,000         14.65         n/a         n/a         2-Sep         non-brg           SPARTA ASSET MGMT         035         GYMB         B         15,000         38.07         n/a         2-Sep         300.00</td></td></td<></td>	MANNY I KORMAN         FID         C         B         100000         3.93         n/a           RBC CAPITAL MARKETS         040         DRI         SS         5,000         44.88         n/a           GRUSS CAPITAL         025         DVN         B         15,000         63.09         n/a           MANNY I KORMAN         FID         FAZ         S         200         0.03         n/a           VISIUM/BALY BOBBY         044         FDO         SS         10,000         42.84         n/a           O CAPITAL MGMT         029         FOR         B         3,000         15.15         n/a           REC CAPITAL MGMT         036         GGP         S         5,000         47.74         n/a           BUCK CAPITAL MGMT         GYMB         B         15,000         38.07         n/a           SPARTA ASSET MGMT         035         GYMB         B         10,000         38.02         n/a           CAMBIAR CAP         046         HAR         B         38,860         32.09         n/a           PARTNER REINSURANCE         033         HD         B         23,150         29.68         n/a           CARDINAL CAPITAL         044 <td< td=""><td>MANNY I KORMAN         FID C         B         100000         3.93         n/a         2-Sep           REC CAPITAL MARKETS         040 DRI         SS         5,000         44.88         n/a         8-Jul           GRUSS CAPITAL         025 DVN         B         15,000         63.09         n/a         11-Aug           MANNY I KORMAN         FID FAZ         S         200         0.03         n/a         n/a           VISIUM/BALY BOBBY         044 FDO         SS         10,000         42.84         n/a         2-Sep           O CAPITAL MGMT         029 FOR         B         3,000         15.15         n/a         26-Aug           REC CAPITAL MARKETS         040 FO         SS         5,000         47.74         n/a         n/a           NEUBERGER BERMAN         036 CGP         S         5,000         14.65         n/a         n/a           BUCK CAPITAL MGMT         GYMB         B         15,000         38.07         n/a         2-Sep           SPARTA ASSET MGMT         035 GYME         B         10,000         38.02         n/a         2-Sep           CAMBIAR CAP         046 HAR         B         38,860         32.09         n/a         6-Aug     <!--</td--><td>MANNY I KORMAN         FID C         B         10000         3.93         n/a         2-Sep         0.00           RBC CAPITAL MARKETS         040         DRI         SS         5,000         44.88         n/a         B-Jul         200.00           GRUSS CAPITAL         025         DVN         B         15,000         63.09         n/a         11-Aug         450.00           MANNY I KORMAN         FID         FAZ         S         200         0.03         n/a         n/a         0.00           VISIUM/BALY BORRY         044         FDO         SS         10,000         42.84         n/a         2-Sep         500.00           0 CAPITAL MGMT         029         FOR         B         3,000         15.15         n/a         26-Aug         150.00           REC CAPITAL MARKETS         040         FO         SS         5,000         47.74         n/a         n/a         200.00           NEUBERGER BERMAN         036         GGP         S         5,000         14.65         n/a         n/a         2-Sep         non-brg           SPARTA ASSET MGMT         035         GYMB         B         15,000         38.07         n/a         2-Sep         300.00</td></td></td<>	MANNY I KORMAN         FID C         B         100000         3.93         n/a         2-Sep           REC CAPITAL MARKETS         040 DRI         SS         5,000         44.88         n/a         8-Jul           GRUSS CAPITAL         025 DVN         B         15,000         63.09         n/a         11-Aug           MANNY I KORMAN         FID FAZ         S         200         0.03         n/a         n/a           VISIUM/BALY BOBBY         044 FDO         SS         10,000         42.84         n/a         2-Sep           O CAPITAL MGMT         029 FOR         B         3,000         15.15         n/a         26-Aug           REC CAPITAL MARKETS         040 FO         SS         5,000         47.74         n/a         n/a           NEUBERGER BERMAN         036 CGP         S         5,000         14.65         n/a         n/a           BUCK CAPITAL MGMT         GYMB         B         15,000         38.07         n/a         2-Sep           SPARTA ASSET MGMT         035 GYME         B         10,000         38.02         n/a         2-Sep           CAMBIAR CAP         046 HAR         B         38,860         32.09         n/a         6-Aug </td <td>MANNY I KORMAN         FID C         B         10000         3.93         n/a         2-Sep         0.00           RBC CAPITAL MARKETS         040         DRI         SS         5,000         44.88         n/a         B-Jul         200.00           GRUSS CAPITAL         025         DVN         B         15,000         63.09         n/a         11-Aug         450.00           MANNY I KORMAN         FID         FAZ         S         200         0.03         n/a         n/a         0.00           VISIUM/BALY BORRY         044         FDO         SS         10,000         42.84         n/a         2-Sep         500.00           0 CAPITAL MGMT         029         FOR         B         3,000         15.15         n/a         26-Aug         150.00           REC CAPITAL MARKETS         040         FO         SS         5,000         47.74         n/a         n/a         200.00           NEUBERGER BERMAN         036         GGP         S         5,000         14.65         n/a         n/a         2-Sep         non-brg           SPARTA ASSET MGMT         035         GYMB         B         15,000         38.07         n/a         2-Sep         300.00</td>	MANNY I KORMAN         FID C         B         10000         3.93         n/a         2-Sep         0.00           RBC CAPITAL MARKETS         040         DRI         SS         5,000         44.88         n/a         B-Jul         200.00           GRUSS CAPITAL         025         DVN         B         15,000         63.09         n/a         11-Aug         450.00           MANNY I KORMAN         FID         FAZ         S         200         0.03         n/a         n/a         0.00           VISIUM/BALY BORRY         044         FDO         SS         10,000         42.84         n/a         2-Sep         500.00           0 CAPITAL MGMT         029         FOR         B         3,000         15.15         n/a         26-Aug         150.00           REC CAPITAL MARKETS         040         FO         SS         5,000         47.74         n/a         n/a         200.00           NEUBERGER BERMAN         036         GGP         S         5,000         14.65         n/a         n/a         2-Sep         non-brg           SPARTA ASSET MGMT         035         GYMB         B         15,000         38.07         n/a         2-Sep         300.00

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
f	DAVID GEORGE BUCK	FID	KSS	В	3000	48.56	n/a	2-Sep	0.00	0.0
	LATEFF MGMT	035	LOW	В	4,000	21.63	n/a	16-Aug	440.00	11.0
	BUCK CAPITAL MGMT	001	MFB	s	5,000	28.32	n/a	n/a	200.00	4.0
	RBC CAPITAL MARKETS	040	MGM	В	10,000	10.32	n/a	10-Sep	400.00	4.0
	TROUBH PART	067	MGM	В	25,000	10.52	n/a	10-Sep	1,250.00	5.0
	PROSPECTOR PARTNERS LLC	036	NVE	S	10,000	13.08	n/a	n/a	400.00	4.0
f	KAREN F LEDDY	FID	PBR	В	400	36.03	n/a	n/a	0.00	0.0
	CSFB GLOBAL PROPRIETARY	041	PKG	SS	20,000	23.84	n/a	26-Aug	1,000.00	5.0
f	DAVID GEORGE BUCK	FID	PM	В	1500	54.63	n/a	n/a	0.00	0.0
	SAC CAPITAL/M GRONET	030	PTEN	S	200,000	16.29	n/a	n/a	0.00	0.0
	COHE & STEERS	041	RYN	S	2,623	48.13	n/a	26-Aug	104.92	4.0
f	DAVID GEORGE BUCK	FID	RYN	S	2500	48.19	n/a	26-Aug	0.00	0.0
	GREEN ARROW DOUG	040	SJM	В	40,000	61.20	n/a	n/a	2,000.00	5.0
	PROSPECTOR PARTNERS LLC	036	SJT	S	25 <b>,</b> 000	22.58	n/a	n/a	1,000.00	4.0
f	KAREN F LEDDY	FID	SLB	В	200	59.53	n/a	n/a	0.00	0.0
f	ANDREW SINCLAIR	FID	SPY	В	100	0.19	n/a	n/a	0.00	0.0

_	3 annuals	DD#	Comple e 1	B/S	Shares	Price	MRI	Research	Comm.	A /Gh m
f	Account ANDREW SINCLAIR	RR# FID	Symbol SPY	B/S S	Snares 100	0.04	n/a	n/a	0.00	0.0
-	INDIAN DINCAIN	110	511	J	100	0.04	11, 4	11, 4	0.00	0.0
	TALKOT CAPITAL LLC	084	SSCC	В	5,000	18.49	n/a	26-Aug	200.00	4.0
	WEINTRAUB CAPITAL MGT.	040	SSCC	В	30,000	18.46	n/a	26-Aug	1,200.00	4.0
	JP MORGAN VENTURES	046	TGT	SS	10,000	52.89	n/a	2-Sep	500.00	5.0
	RBC CAPITAL MARKETS	040	TIF	SS	5,000	42.30	n/a	n/a	200.00	4.0
	SIGMA CAPITAL ASSOCIATES	041	TJX	В	25 <b>,</b> 000	41.46	n/a	2-Sep	875.00	3.5
	SIGMA CAPITAL ASSOCIATES	041	TLB	SS	25,000	10.47	n/a	n/a	875.00	3.5
f	MANNY I KORMAN	FID	TWM	S	200	0.05	n/a	n/a	0.00	0.0
							·	·		
	GREEN ARROW DOUG	040	TYC	SS	11,800	39.99	n/a	18-Aug	590.00	5.0
	GREEN ARROW DOUG	040	TYC	S	8,200	39.99	n/a	18-Aug	410.00	5.0
f	KEVIN MICHAEL O'GORM	FID	WFR	В	2500	10.70	n/a	n/a	0.00	0.0
f	JOSEPH CIRO AMATURO	FID	WNC	s	35000	6.90	n/a	n/a	0.00	0.0
1	DOSEFH CIRO AMATORO	FID	WINC	3	33000	0.90	11/ a	11/ a	0.00	0.0
ß	BUCK CAPITAL MGMT		WRC	s	20,000	47.96	n/a	6-Aug	non-brg	4.0
	ROSEDALE CAPITAL	046	XOM	В	20,000	61.07	n/a	n/a	1,000.00	5.0
a	BUCK CAPITAL MGMT		XRT	С	240,000	38.87	n/a	n/a	non-brg	2.0
ß	BUCK CAPITAL MGMT		ZUMZ	С	40,000	16.83	n/a	n/a	non-brg	4.0

TOTAL (Trade Date): 45,487.52

## Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr
AO,CXL	09/08	NOMURA CAPITAL	029	FCN	S	9,900	33.51	n/a	n/a	297.00	3.0
AO,	09/08	NOMURA CAPITAL	029	FCN	S	9,900	33.51	n/a	n/a	297.00	3.0
AO,CXL	09/09	MILLENIUM-DOUG	040	FL	SS	20,000	13.07	n/a	20-Aug	1000.00	5.0
AO, CRT	09/09	MILLENIUM-DOUG	040	FL	SS	20,000	13.07	n/a	20-Aug	800.00	4.0
AO,	09/01	LISTED ERR	099	IL	В	86,000	13.08	n/a	n/a	0.00	0.0
AO, CRT	09/01	LISTED ERR	099	IL	S	86,000	13.08	n/a	n/a	0.00	0.0
AO, CRT	09/01	FEDERATED INV/KAUFMAN	029	IL	S	86,000	13.08	n/a	n/a	4730.01	5.5
	09/01	FEDERATED INV/KAUFMAN	029	IL	S	86,000	13.08	n/a	n/a	4730.01	5.5

TOTAL (RUN DATE) / NFS:	45,287.52
TOTAL (AO, CXL, CRT):	-200.00
TOTAL (Trade Date):	45,487.52

MRI Securities with Trade Activity on 10-Sep.
NONE

MRI Securities without Trade Activity on 10-Sep. NONE

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

T-Date = 2%

YTD = 11%
```

## Legend:

O: 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)