



# Daily Compliance Activity Report

Trade Date: 09/16/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

| Account                       | RR#        | Symbol      | B/S      | Shares        | Price        | MRI        | Research      | Comm. ¢/Shr.   |            |
|-------------------------------|------------|-------------|----------|---------------|--------------|------------|---------------|----------------|------------|
| <b>f MANNY I KORMAN</b>       | <b>FID</b> | <b>ADM</b>  | <b>B</b> | <b>4000</b>   | <b>33.25</b> | <b>n/a</b> | <b>15-Sep</b> | <b>0.00</b>    | <b>0.0</b> |
| PARAMETER CAPITAL MGMT LLC044 |            | AMTD        | SS       | 128,000       | 15.54        | n/a        | n/a           | 4,480.00       | 3.5        |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>ANN</b>  | <b>B</b> | <b>20,000</b> | <b>18.50</b> | <b>n/a</b> | <b>n/a</b>    | <b>non-brg</b> | <b>4.0</b> |
| JP MORGAN VENTURES            | 046        | ANN         | B        | 10,000        | 18.63        | n/a        | n/a           | 500.00         | 5.0        |
| <b>f JONATHAN RICHARD HAR</b> | <b>FID</b> | <b>APC</b>  | <b>B</b> | <b>100</b>    | <b>53.69</b> | <b>n/a</b> | <b>13-Sep</b> | <b>0.00</b>    | <b>0.0</b> |
| CONIFER/ISF                   | 025        | APOL        | B        | 3,750         | 48.48        | n/a        | n/a           | 187.50         | 5.0        |
| <b>f CHRISTOPHER ROBERT C</b> | <b>FID</b> | <b>ARM</b>  | <b>B</b> | <b>250</b>    | <b>13.92</b> | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>    | <b>0.0</b> |
| L.R.BURTSCHY & CO             | 029        | AXL         | B        | 50,000        | 8.62         | n/a        | 4-Aug         | 3,000.00       | 6.0        |
| TROUBH PART                   | 067        | BBY         | B        | 25,000        | 36.98        | n/a        | n/a           | 1,250.00       | 5.0        |
| PIONEER MICHAEL NOLAN         | 067        | BRCD        | S        | 95,000        | 5.75         | n/a        | n/a           | 2,850.00       | 3.0        |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>BWLD</b> | <b>S</b> | <b>10,000</b> | <b>47.85</b> | <b>n/a</b> | <b>n/a</b>    | <b>non-brg</b> | <b>4.0</b> |
| CATAPULT                      | 040        | CCK         | SS       | 5,000         | 28.99        | n/a        | n/a           | 250.00         | 5.0        |
| <b>f DAVID GEORGE BUCK</b>    | <b>FID</b> | <b>CHTP</b> | <b>S</b> | <b>4000</b>   | <b>4.11</b>  | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>    | <b>0.0</b> |
| NEWLAND CAPITAL MGT           | 067        | CLU         | S        | 35,000        | 11.87        | n/a        | n/a           | 1,400.00       | 4.0        |
| BAYPOINT CRIT/B COLBURN       | 033        | CMCSA       | SS       | 40,000        | 17.60        | n/a        | n/a           | 2,000.00       | 5.0        |

| Account                       | RR#        | Symbol      | B/S      | Shares        | Price        | MRI        | Research      | Comm. ¢/Shr.   |            |
|-------------------------------|------------|-------------|----------|---------------|--------------|------------|---------------|----------------|------------|
| ROSEDALE CAPITAL              | 046        | CMCSA       | B        | 25,000        | 17.73        | n/a        | n/a           | 1,250.00       | 5.0        |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>COH</b>  | <b>S</b> | <b>50,000</b> | <b>41.14</b> | <b>n/a</b> | <b>4-Aug</b>  | <b>non-brg</b> | <b>4.0</b> |
| KACELA CAPITAL                | 034        | COH         | S        | 18,000        | 41.08        | n/a        | 4-Aug         | 720.00         | 4.0        |
| TPG-AXON                      | 040        | CSCO        | C        | 133,000       | 21.80        | n/a        | n/a           | 6,650.00       | 5.0        |
| SIGMA CAP BOBBY               | 044        | CX          | B        | 50,000        | 8.30         | n/a        | n/a           | 1,750.00       | 3.5        |
| <b>f JONATHAN RICHARD HAR</b> | <b>FID</b> | <b>C</b>    | <b>B</b> | <b>250</b>    | <b>3.93</b>  | <b>n/a</b> | <b>15-Sep</b> | <b>0.00</b>    | <b>0.0</b> |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>DBRN</b> | <b>B</b> | <b>20,000</b> | <b>23.70</b> | <b>n/a</b> | <b>n/a</b>    | <b>non-brg</b> | <b>4.0</b> |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>DBRN</b> | <b>B</b> | <b>4,000</b>  | <b>23.91</b> | <b>n/a</b> | <b>n/a</b>    | <b>non-brg</b> | <b>2.5</b> |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>DBRN</b> | <b>B</b> | <b>6,000</b>  | <b>23.47</b> | <b>n/a</b> | <b>n/a</b>    | <b>non-brg</b> | <b>2.0</b> |
| <b>f KEVIN MICHAEL O'GORM</b> | <b>FID</b> | <b>DE</b>   | <b>S</b> | <b>300</b>    | <b>69.78</b> | <b>n/a</b> | <b>19-Aug</b> | <b>0.00</b>    | <b>0.0</b> |
| MISSION POINT                 | 048        | DOV         | S        | 4,000         | 49.69        | n/a        | n/a           | 200.00         | 5.0        |
| LOMBARDIA CAP MGMT            | 084        | ECL         | S        | 21,188        | 49.91        | n/a        | 27-Jul        | 1,059.40       | 5.0        |
| CATAPULT                      | 040        | EMN         | B        | 10,000        | 69.28        | n/a        | n/a           | 500.00         | 5.0        |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>EXPE</b> | <b>C</b> | <b>50,000</b> | <b>27.09</b> | <b>n/a</b> | <b>n/a</b>    | <b>non-brg</b> | <b>4.0</b> |
| DAVIDSON KEMPNER ADVISOR      | 040        | FCX         | B        | 50,000        | 82.16        | n/a        | n/a           | 2,500.00       | 5.0        |
| SCOPUS FUND                   | 041        | FINL        | B        | 16,800        | 15.41        | n/a        | n/a           | 840.00         | 5.0        |
| JP MORGAN VENTURES            | 046        | FL          | B        | 10,000        | 13.93        | n/a        | 20-Aug        | 500.00         | 5.0        |

| Account                       | RR#        | Symbol       | B/S      | Shares        | Price        | MRI        | Research   | Comm.¢/Shr.    |            |
|-------------------------------|------------|--------------|----------|---------------|--------------|------------|------------|----------------|------------|
| <b>f DOUGLAS ROGERS</b>       | <b>FID</b> | <b>FSLXX</b> | <b>S</b> | <b>26</b>     | <b>1.00</b>  | <b>n/a</b> | <b>n/a</b> | <b>0.00</b>    | <b>0.0</b> |
| <b>f MITCHELL JAMES SPEIS</b> | <b>FID</b> | <b>FSNXX</b> | <b>S</b> | <b>4000</b>   | <b>1.00</b>  | <b>n/a</b> | <b>n/a</b> | <b>0.00</b>    | <b>0.0</b> |
| SONTERRA CAP                  | 041        | FTO          | B        | 38,600        | 13.15        | n/a        | n/a        | 1,544.00       | 4.0        |
| BALYASNY ASSET MGMT           | 044        | F            | SS       | 100,000       | 12.45        | n/a        | 2-Sep      | 5,000.00       | 5.0        |
| FIRST NY SEC/CHRIS            | 041        | F            | SS       | 50,000        | 12.43        | n/a        | 2-Sep      | 1,500.00       | 3.0        |
| TRELLUS PARTNERS LP           | 028        | F            | SS       | 25,000        | 12.09        | n/a        | 2-Sep      | 1,250.00       | 5.0        |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>GIII</b>  | <b>S</b> | <b>2,900</b>  | <b>31.93</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>S</b> | <b>24,000</b> | <b>32.01</b> | <b>n/a</b> | <b>n/a</b> | <b>non-brg</b> | <b>4.0</b> |
| KACELA CAPITAL                | 034        | GIS          | S        | 16,000        | 36.71        | n/a        | n/a        | 640.00         | 4.0        |
| PARAMETER CAPITAL MGMT LLC    | 044        | GS           | SS       | 13,000        | 151.88       | n/a        | 15-Sep     | 455.00         | 3.5        |
| ROXBURY CAPITAL MGMT          | 035        | HEK          | S        | 47,600        | 3.89         | n/a        | n/a        | 952.00         | 2.0        |
| <b>f DAVID GEORGE BUCK</b>    | <b>FID</b> | <b>HGSI</b>  | <b>B</b> | <b>1000</b>   | <b>29.52</b> | <b>n/a</b> | <b>n/a</b> | <b>0.00</b>    | <b>0.0</b> |
| CATAPULT                      | 040        | HON          | B        | 10,000        | 43.72        | n/a        | 18-Aug     | 500.00         | 5.0        |
| SAC ENERGY GS-BOB             | 044        | IGT          | B        | 75,000        | 15.21        | n/a        | 28-Jul     | 2,625.00       | 3.5        |
| AVESTA CAP                    | 229        | INTC         | SS       | 100,000       | 18.70        | n/a        | n/a        | 3,000.00       | 3.0        |
| RBC CAPITAL MARKETS           | 040        | IP           | B        | 25,000        | 22.91        | n/a        | 26-Aug     | 1,000.00       | 4.0        |
| WEINTRAUB CAPITAL MGT.        | 040        | IP           | S        | 200,000       | 22.78        | n/a        | 26-Aug     | 8,000.00       | 4.0        |

| Account                       | RR#        | Symbol     | B/S      | Shares         | Price        | MRI        | Research      | Comm. ¢/Shr.   |            |
|-------------------------------|------------|------------|----------|----------------|--------------|------------|---------------|----------------|------------|
| <b>f DAVID GEORGE BUCK</b>    | <b>FID</b> | <b>IWF</b> | <b>S</b> | <b>3000</b>    | <b>50.07</b> | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>    | <b>0.0</b> |
| BALYASNY ASSET MGMT           | 044        | JCP        | S        | 25,000         | 23.93        | n/a        | 2-Sep         | 1,250.00       | 5.0        |
| EGS ASSOCIATES LP             | 091        | JNY        | B        | 4,000          | 18.52        | n/a        | 29-Jul        | 240.00         | 6.0        |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>KCP</b> | <b>B</b> | <b>29,904</b>  | <b>14.29</b> | <b>n/a</b> | <b>n/a</b>    | <b>non-brg</b> | <b>2.5</b> |
| BALYASNY ASSET MGMT           | 044        | KO         | C        | 25,000         | 57.33        | n/a        | 22-Jul        | 1,250.00       | 5.0        |
| LONG OAR GLOBAL INV           | 040        | LALLF      | B        | 36,600         | 21.99        | n/a        | n/a           | 1,464.00       | 4.0        |
| <b>f CHRISTOPHER ROBERT C</b> | <b>FID</b> | <b>LIZ</b> | <b>S</b> | <b>1000</b>    | <b>5.35</b>  | <b>n/a</b> | <b>7-Oct</b>  | <b>0.00</b>    | <b>0.0</b> |
| SIGMA CAPITAL ASSOCIATES      | 041        | LOW        | S        | 100,000        | 21.25        | n/a        | 16-Aug        | 3,500.00       | 3.5        |
| WHALE ROCK CAP                | 030        | LULU       | S        | 55,465         | 43.33        | n/a        | n/a           | 2,218.60       | 4.0        |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>LVS</b> | <b>C</b> | <b>50,000</b>  | <b>32.43</b> | <b>n/a</b> | <b>10-Sep</b> | <b>non-brg</b> | <b>4.0</b> |
| MISSION POINT                 | 048        | MSM        | B        | 12,600         | 51.63        | n/a        | n/a           | 630.00         | 5.0        |
| CATAPULT                      | 040        | OMG        | B        | 10,000         | 29.37        | n/a        | n/a           | 500.00         | 5.0        |
| ADALY INV MGMT                | 031        | PAG        | B        | 361            | 11.95        | n/a        | 4-Aug         | 14.44          | 4.0        |
| TRELLUS PARTNERS LP           | 028        | PAG        | B        | 3,000          | 11.90        | n/a        | 4-Aug         | 150.00         | 5.0        |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>PIR</b> | <b>S</b> | <b>175,000</b> | <b>8.48</b>  | <b>n/a</b> | <b>n/a</b>    | <b>non-brg</b> | <b>3.0</b> |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>PIR</b> | <b>S</b> | <b>25,000</b>  | <b>8.29</b>  | <b>n/a</b> | <b>n/a</b>    | <b>non-brg</b> | <b>3.0</b> |

| Account                       | RR#        | Symbol      | B/S      | Shares         | Price        | MRI        | Research      | Comm.¢/Shr.    |            |
|-------------------------------|------------|-------------|----------|----------------|--------------|------------|---------------|----------------|------------|
| MERRILL ASSET/BLACKROCK       | 266        | PJC         | B        | 15,300         | 29.89        | n/a        | n/a           | 612.00         | 4.0        |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>PLCE</b> | <b>S</b> | <b>100,000</b> | <b>48.64</b> | <b>n/a</b> | <b>19-Aug</b> | <b>non-brg</b> | <b>4.0</b> |
| <b>f DAVID GEORGE BUCK</b>    | <b>FID</b> | <b>PVH</b>  | <b>S</b> | <b>10</b>      | <b>3.25</b>  | <b>n/a</b> | <b>9-Sep</b>  | <b>0.00</b>    | <b>0.0</b> |
| HOPLITE MGMT                  | 025        | PXD         | C        | 63,903         | 64.92        | n/a        | 29-Jul        | 3,195.15       | 5.0        |
| DENVER INST. ADV              | 046        | QCOR        | B        | 45,000         | 10.26        | n/a        | n/a           | 1,800.00       | 4.0        |
| CATAPULT                      | 040        | ROC         | B        | 10,000         | 30.11        | n/a        | n/a           | 500.00         | 5.0        |
| JP MORGAN VENTURES            | 046        | SAI         | B        | 20,000         | 15.54        | n/a        | n/a           | 1,000.00       | 5.0        |
| SCOPUS FUND                   | 041        | SKS         | B        | 7,408          | 8.58         | n/a        | n/a           | 370.40         | 5.0        |
| MACKLOWE ASSET MGMT           | 041        | SPLS        | SS       | 25,000         | 19.42        | n/a        | n/a           | 1,000.00       | 4.0        |
| MACKLOWE ASSET MGMT           | 041        | SPLS        | S        | 60,000         | 19.45        | n/a        | n/a           | 2,400.00       | 4.0        |
| <b>f MARK DEVEREAUX KAICH</b> | <b>FID</b> | <b>TA</b>   | <b>S</b> | <b>721</b>     | <b>3.15</b>  | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>    | <b>0.0</b> |
| PZENA INV ADV                 | 044        | TEL         | B        | 6,725          | 27.23        | n/a        | n/a           | 235.38         | 3.5        |
| RBC CAPITAL MARKETS           | 040        | TIN         | B        | 25,000         | 19.62        | n/a        | 26-Aug        | 1,000.00       | 4.0        |
| <b>f CHRISTOPHER ROBERT C</b> | <b>FID</b> | <b>TLB</b>  | <b>S</b> | <b>200</b>     | <b>11.71</b> | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>    | <b>0.0</b> |
| TROUBH PART                   | 067        | TLB         | B        | 25,000         | 11.77        | n/a        | n/a           | 1,250.00       | 5.0        |
| BAYPOINT CRIT/B COLBURN       | 033        | TWC         | SS       | 30,000         | 51.38        | n/a        | n/a           | 1,500.00       | 5.0        |

| Account                      | RR#        | Symbol     | B/S      | Shares        | Price        | MRI        | Research     | Comm.¢/Shr.       |            |
|------------------------------|------------|------------|----------|---------------|--------------|------------|--------------|-------------------|------------|
| PARAMETER CAPITAL MGMT LLC   | 044        | USB        | SS       | 178,000       | 22.51        | n/a        | n/a          | 6,230.00          | 3.5        |
| CATAPULT                     | 040        | UTX        | B        | 10,000        | 68.46        | n/a        | n/a          | 500.00            | 5.0        |
| DAVIDSON KEMPNER ADVISOR     | 040        | VALE       | SS       | 124,400       | 28.05        | n/a        | n/a          | 6,220.00          | 5.0        |
| RBC CAPITAL MARKETS          | 040        | VALE       | SS       | 20,000        | 27.96        | n/a        | n/a          | 800.00            | 4.0        |
| <b>f DAVID GEORGE BUCK</b>   | <b>FID</b> | <b>VNO</b> | <b>B</b> | <b>1000</b>   | <b>85.72</b> | <b>n/a</b> | <b>n/a</b>   | <b>0.00</b>       | <b>0.0</b> |
| <b>B BUCK CAPITAL MGMT</b>   |            | <b>WFT</b> | <b>S</b> | <b>75,000</b> | <b>16.38</b> | <b>n/a</b> | <b>n/a</b>   | <b>non-brg</b>    | <b>4.0</b> |
| SAC ENERGY GS-BOB            | 044        | WMS        | S        | 24,779        | 39.07        | n/a        | n/a          | 867.27            | 3.5        |
| <b>f JOSEPH CIRO AMATURO</b> | <b>FID</b> | <b>WNC</b> | <b>B</b> | <b>10420</b>  | <b>6.84</b>  | <b>n/a</b> | <b>n/a</b>   | <b>0.00</b>       | <b>0.0</b> |
| <b>BUCK CAPITAL MGMT</b>     | <b>001</b> | <b>WRC</b> | <b>S</b> | <b>50,000</b> | <b>47.87</b> | <b>n/a</b> | <b>6-Aug</b> | <b>2,000.00</b>   | <b>4.0</b> |
| MORTAR ROCK                  | 033        | WYNN       | SS       | 10,000        | 89.85        | n/a        | 10-Sep       | 400.00            | 4.0        |
| SIGMA CAP BOBBY              | 044        | XRX        | SS       | 25,000        | 9.95         | n/a        | n/a          | 875.00            | 3.5        |
| BASCOM HILL PARTNERS LLC     | 033        | X          | B        | 5,000         | 46.50        | n/a        | n/a          | 150.00            | 3.0        |
| ONE EAST CAP ADV LP          | 048        | YHOO       | S        | 15,000        | 14.12        | n/a        | n/a          | 0.00              | 0.0        |
| <b>TOTAL (Trade Date) :</b>  |            |            |          |               |              |            |              | <b>102,475.14</b> |            |

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

| Type   | Date  | Account                | RR # | Symbol | B/S | Shares  | Price | MRI | Research | Comm.¢/Shr. |
|--------|-------|------------------------|------|--------|-----|---------|-------|-----|----------|-------------|
| AO,    | 09/15 | ROXBURY CAPITAL MGMT   | 035  | HEK    | S   | 125,000 | 3.95  | n/a | n/a      | 2500.00 2.0 |
| AO,CRT | 09/15 | WINSLOW CAPITAL        | 030  | ORLY   | S   | 300     | 51.14 | n/a | n/a      | 9.00 3.0    |
| AO,CXL | 09/15 | WINSLOW CAPITAL        | 030  | ORLY   | S   | 300     | 51.14 | n/a | n/a      | 12.00 4.0   |
| AO,    | 09/15 | STHT                   | 047  | TRW    | S   | 6,900   | 35.04 | n/a | n/a      | 276.00 4.0  |
| AO,    | 09/15 | STRONG/WELLS CAP ANN F | 047  | TRW    | S   | 93,100  | 35.04 | n/a | n/a      | 3724.00 4.0 |
| AO,CXL | 09/15 | OZ MGMT                | 040  | WMT    | B   | 100,000 | 53.02 | n/a | 7-Sep    | 2000.00 2.0 |
| AO,CRT | 09/15 | OZ MGMT                | 040  | WMT    | B   | 100,000 | 53.02 | n/a | 7-Sep    | 3000.00 3.0 |
| AO,CRT | 09/15 | OZ MGMT                | 040  | WMT    | SS  | 100,000 | 52.80 | n/a | 7-Sep    | 3000.00 3.0 |
| AO,CXL | 09/15 | OZ MGMT                | 040  | WMT    | SS  | 100,000 | 52.80 | n/a | 7-Sep    | 2000.00 2.0 |

**TOTAL (AO, CXL, CRT) :****8,497.00**

TOTAL (Trade Date):

102,475.14

TOTAL (AO, CXL, CRT):

8,497.00

**TOTAL (RUN DATE) / NFS:****110,972.14**

MRI Securities with Trade Activity on 16-Sep.  
NONE

MRI Securities without Trade Activity on 16-Sep.

**SHPGY, GD**

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

T-Date = 8%

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)**