



Daily Compliance Activity Report

Trade Date: 12/07/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FRONTPOINT	266	ABD	S	168,162	7.41	n/a	n/a	6,726.48	4.0
B BUCK CAPITAL MGMT		AEO	S	100,000	15.90	n/a	3-Dec	non-brg	4.0
RAINIER INV MGMT	035	APH	S	29,790	53.54	n/a	n/a	1,191.60	4.0
ARMATURE CAPITAL	041	ARM	S	30,000	19.04	n/a	n/a	1,200.00	4.0
f JOSEPH CIRO AMATURO	FID	ARM	B	10000	19.67	n/a	n/a	0.00	0.0
LOCUS WOOD CAPITAL MGMT	044	ASH	S	10,000	51.43	n/a	8-Nov	400.00	4.0
f HARALAMBOS EFSTATHI	FID	ATVI	S	2000	12.16	n/a	n/a	0.00	0.0
f MARGARET M DAVEY	FID	BAC	S	1100	11.67	n/a	18-Nov	0.00	0.0
f MAY Y TANG	FID	BIG	B	30	28.78	n/a	7-Dec	0.00	0.0
TALKOT CAPITAL LLC	084	BIG	B	5,000	28.82	n/a	7-Dec	200.00	4.0
B BUCK CAPITAL MGMT		CHS	S	30,000	12.52	n/a	5-Feb	non-brg	4.0
SAC CAP/ROSEN FOR BOBBY	044	CP	B	91,000	65.21	n/a	n/a	3,185.00	3.5
f HARALAMBOS EFSTATHI	FID	CSCO	B	700	19.56	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		CTP	B	5,000	13.00	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		CTP	B	500	13.00	n/a	n/a	non-brg	0.0
THOMPSON SIEGAL&WALMSLEY	029	C	B	2,502,800	4.61	n/a	6-Dec	100,112.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		DANG	B	5,000	16.00	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		DBRN	S	70,000	25.96	n/a	n/a	non-brg	4.0
AVESTA CAP	229	DIS	S	100,000	37.40	n/a	n/a	3,000.00	3.0
GREEN ARROW DOUG	040	DPZ	B	25,000	15.11	n/a	29-Nov	1,250.00	5.0
MA CAPITAL MGMT/MELLON ADV041		DPZ	B	5,000	15.00	n/a	29-Nov	250.00	5.0
f KAREN F LEDDY	FID	FCH	B	1000	6.57	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FINL	S	20,000	18.51	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		FITB	B	15,000	13.15	n/a	n/a	non-brg	4.0
f KAREN F LEDDY	FID	FRO	S	500	25.78	n/a	n/a	0.00	0.0
f FRANCIS PATRICK GALL	FID	GFF	B	250	11.88	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		HBI	S	60,000	27.31	n/a	28-Oct	non-brg	4.0
f HARALAMBOS EFSTATHI	FID	HOV	B	2000	4.29	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	HOV	B	1000	4.25	n/a	n/a	0.00	0.0
CAMBIAR CAP	046	HSP	B	66,625	54.72	n/a	6-Dec	2,665.00	4.0
SONTERRA CAP	041	HUN	SS	50,000	16.30	n/a	n/a	2,000.00	4.0
MA CAPITAL MGMT/MELLON ADV041		IP	SS	2,000	26.60	n/a	27-Oct	100.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f ALICE BEEBE LONGLEY	FID	IYR	B	300	55.87	n/a	n/a	0.00	0.0
TROUBH PART	067	IYR	SS	25,000	55.53	n/a	n/a	1,250.00	5.0
CADIAN CAPITAL	067	JNY	B	100,000	15.11	n/a	28-Oct	3,000.00	3.0
WAGONHOUND/NIC	289	JOYG	S	1,930	80.70	n/a	1-Dec	77.20	4.0
THOMPSON SIEGAL&WALMSLEY	029	JPM	S	48,300	39.69	n/a	18-Nov	1,932.00	4.0
B BUCK CAPITAL MGMT		KEY	B	35,000	8.19	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		KNX	B	20,000	19.99	n/a	n/a	non-brg	4.0
AVENUE CAPITAL MGMT	070	LEA	S	63,000	94.34	n/a	29-Oct	2,520.00	4.0
f HARALAMBOS EFSTATHI	FID	LPX	B	1000	9.30	n/a	8-Nov	0.00	0.0
B BUCK CAPITAL MGMT		MDC	B	10,000	27.63	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		MSMSRAWW	C	365,000	111.94	n/a	n/a	non-brg	11.2
Õ Nilsa Vazquez		MU	S	500	8.15	n/a	n/a	0.00	0.0
KACELA CAPITAL	034	NAV	S	44,000	57.86	n/a	n/a	1,760.00	4.0
COOPER CREEK PART	028	NDN	B	10,000	16.49	n/a	8-Nov	400.00	4.0
LISTED ERR	099	NDN	B	10,000	16.51	n/a	8-Nov	0.00	0.0
LISTED ERR	099	NDN	S	10,000	16.51	n/a	8-Nov	0.00	0.0
LAGRANGE CAP ADV	048	PAG	S	10,000	16.30	n/a	25-Oct	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
UNITED STATES PENSION	085	PCH	S	56,133	32.76	n/a	29-Oct	2,245.32	4.0
f CHRISTOPHER ROBERT C	FID	PFCB	S	100	52.18	n/a	2-Dec	0.00	0.0
B BUCK CAPITAL MGMT		PIR	S	30,000	10.72	n/a	n/a	non-brg	4.0
TALKOT CAPITAL LLC	084	PKG	B	5,000	26.51	n/a	19-Oct	200.00	4.0
TRAFELET & COMP.	028	PRIS	S	50,000	7.60	n/a	n/a	1,500.00	3.0
B BUCK CAPITAL MGMT		RGC	S	50,000	14.48	n/a	n/a	non-brg	4.0
ENTRUST CAPITAL	040	RHI	B	41,031	29.91	n/a	n/a	2,051.55	5.0
f CHRISTOPHER ROBERT C	FID	RRR	S	500	8.74	n/a	25-Oct	0.00	0.0
B BUCK CAPITAL MGMT		RYL	B	20,000	16.44	n/a	n/a	non-brg	4.0
MFP INVESTORS	085	SEE	B	27,500	24.23	n/a	n/a	1,375.00	5.0
B BUCK CAPITAL MGMT		SIG	B	50,000	41.62	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SKX	S	100,000	21.59	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SKX	S	50,000	21.59	n/a	n/a	non-brg	4.0
RAINIER INV MGMT	035	SNA	B	23,240	55.76	n/a	n/a	929.60	4.0
f ANDREW SINCLAIR	FID	SPY	B	25	0.33	n/a	n/a	0.00	0.0
ROSEDALE CAPITAL	046	SRI	S	11,500	15.50	n/a	n/a	575.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		STI	B	15,000	25.99	n/a	n/a	non-brg	4.0
HARALAMBOS EFSTATHI	FID	S	B	3000	4.19	n/a	n/a	0.00	0.0
JOSEPH CIRO AMATURO	FID	TAN	B	5000	7.54	n/a	n/a	0.00	0.0
WAGONHOUND/NIC	289	TEX	B	8,467	27.89	n/a	22-Oct	338.68	4.0
DECADE CAPITAL PARTNERS	040	TGT	S	13,500	59.88	n/a	2-Dec	675.00	5.0
BUCK CAPITAL MGMT		TLB	B	100,000	8.91	n/a	n/a	non-brg	3.0
KAREN F LEDDY	FID	TLB	B	2000	8.90	n/a	n/a	0.00	0.0
JOSEPH CIRO AMATURO	FID	TOL	B	3000	19.20	n/a	n/a	0.00	0.0
WATERFRONT CAP	028	TOL	SS	52,000	19.03	n/a	n/a	2,080.00	4.0
BUCK CAPITAL MGMT		TRLG	S	1,100	22.40	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		TRLG	S	43,900	22.09	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		UA	SS	20,000	58.92	n/a	27-Oct	non-brg	4.0
KAREN F LEDDY	FID	URZ	B	2400	3.62	n/a	n/a	0.00	0.0
CR INTRINIC INVESTMENT	044	VRX	B	50,000	28.07	n/a	n/a	1,750.00	3.5
DECADE CAPITAL PARTNERS	040	WMT	B	13,700	54.99	n/a	17-Nov	685.00	5.0
JOSEPH CIRO AMATURO	FID	WNC	S	15199	12.32	n/a	n/a	0.00	0.0
S.A.C. HEALTHCARE BOBBY	044	WPI	B	10,000	49.82	n/a	6-Dec	350.00	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WEINTRAUB CAPITAL MGT.	040	WRC	B	50,000	55.96	n/a	9-Nov	2,000.00	4.0
f EDWARD W WHEELER	FID	ZINC	S	10000	12.64	n/a	n/a	0.00	0.0
TOTAL (Trade Date):							150,474.43		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	12/06	SCOPUS FUND	041	F	B	50,000	16.71	n/a	2-Dec	2000.00 4.0
AO,CXL	12/06	SCOPUS FUND	041	F	B	50,000	16.71	n/a	2-Dec	2000.00 4.0
AO,	12/06	JANA CAPITAL	044	IP	B	100,000	26.27	n/a	27-Oct	4000.00 4.0

TOTAL (AO, CXL, CRT) :	4,000.00
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TOTAL (Trade Date) :	150,474.43
TOTAL (AO, CXL, CRT) :	4,000.00

TOTAL (RUN DATE) / NFS:	154,474.43
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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MRI Securities with Trade Activity on 7-Dec.
NONE

MRI Securities without Trade Activity on 7-Dec.
SMG, EL, MAR

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 0%
YTD = 12%

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)