



Daily Compliance Activity Report

Trade Date: 09/14/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f MARC PAUL LUCHANSKY	FID	AEGFX	S	50	38.42	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	AEO	B	250,000	14.71	n/a	2-Sep	10,000.00	4.0
THIRD COAST CAPITAL	035	ANF	B	5,000	37.03	n/a	2-Sep	250.00	5.0
GRANITE CAPITAL	028	AN	S	10,000	23.83	n/a	4-Aug	500.00	5.0
f MARK ANTHONY GRONET	FID	ART	S	1000	15.19	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	AXP	B	3000	40.88	n/a	14-Sep	0.00	0.0
f MARK ANTHONY GRONET	FID	AXP	B	500	40.38	n/a	14-Sep	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	BBY	S	200	37.13	n/a	n/a	0.00	0.0
f MARK ANTHONY GRONET	FID	BEE	S	2000	3.99	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BLK	S	24,800	159.42	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		BLK	S	5,200	160.05	n/a	n/a	non-brg	2.0
TRUSTCO/SUNTRUST	040	CERN	S	17,030	80.14	n/a	n/a	596.05	3.5
KLEINHEINZ CAP PART	031	CIEN	B	75,000	15.17	n/a	n/a	3,750.00	5.0
f MARC PAUL LUCHANSKY	FID	CIVVX	S	83	11.53	n/a	n/a	0.00	0.0
IRIDIAN ASSET MGMT.	036	CNX	S	5,120	34.60	n/a	n/a	256.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	COST	S	25,000	61.15	n/a	n/a	875.00	3.5
GRUSS CAPITAL	025	CPO	S	5,000	36.64	n/a	n/a	150.00	3.0
f CHRISTOPHER ROBERT C	FID	CROX	B	200	11.28	n/a	n/a	0.00	0.0
CASTLE ARK	031	CSCO	B	296,900	21.75	n/a	n/a	14,845.00	5.0
f JOSEPH CIRO AMATURO	FID	CVGI	S	7998	10.42	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	C	B	120	3.95	n/a	13-Sep	0.00	0.0
f MARK ANTHONY GRONET	FID	C	B	3000	3.95	n/a	13-Sep	0.00	0.0
B BUCK CAPITAL MGMT		DAL	S	30,000	11.30	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DAN	B	40,000	10.54	n/a	2-Aug	non-brg	4.0
L.R.BURTSCHY & CO	029	DAN	S	20,000	10.61	n/a	2-Aug	1,200.00	6.0
B BUCK CAPITAL MGMT		DBRN	B	25,000	24.45	n/a	n/a	non-brg	2.0
WEINTRAUB CAPITAL MGT.	040	DG	SS	25,000	27.43	n/a	1-Sep	1,000.00	4.0
PARTNER REINSURANCE	033	DHR	B	33,483	40.29	n/a	n/a	1,339.32	4.0
SONTERRA CAP	041	EXC	SS	10,000	42.37	n/a	n/a	400.00	4.0
f MARC PAUL LUCHANSKY	FID	EXWAX	S	122	8.06	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FAGIX	S	45	8.91	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MARC PAUL LUCHANSKY	FID	FCSAX	B	601	9.99	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FDGRX	S	21	72.05	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FDIVX	S	34	27.68	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FIGRX	S	31	30.10	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FILEX	B	822	8.26	n/a	n/a	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	FINL	S	1000	15.26	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FINSX	S	175	17.90	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FLPSX	S	74	33.68	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FPIOX	B	95	9.51	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FSGFX	B	597	10.22	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FUSOX	B	46	8.74	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FVSAX	B	302	12.26	n/a	n/a	0.00	0.0
OZ MGMT	040	F	SS	75,000	11.93	n/a	2-Sep	2,250.00	3.0
RWC PARTNERS LTD	067	F	S	407,900	11.99	n/a	2-Sep	12,237.00	3.0
B BUCK CAPITAL MGMT		GCO	B	40,000	28.20	n/a	n/a	non-brg	4.0
f MANNY I KORMAN	FID	GE	B	5000	16.20	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		GIII	S	10,000	30.50	n/a	n/a	non-brg	0.8
f JASON ERIC COHEN	FID	GLW	B	5	0.40	n/a	14-Sep	0.00	0.0
f JASON ERIC COHEN	FID	GLW	S	1	1.63	n/a	14-Sep	0.00	0.0
f MANNY I KORMAN	FID	GLW	B	10000	17.67	n/a	14-Sep	0.00	0.0
FARALLON CAP MGMT	040	GMT	SS	3,861	30.01	n/a	n/a	154.44	4.0
f MANNY I KORMAN	FID	GYMB	B	100	6.50	n/a	2-Sep	0.00	0.0
ROXBURY CAPITAL MGMT	035	HEK	S	150,000	4.04	n/a	n/a	3,000.00	2.0
IRIDIAN ASSET MGMT.	036	HPQ	S	27,960	39.28	n/a	n/a	1,398.00	5.0
f MARC PAUL LUCHANSKY	FID	HRINX	S	17	54.59	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ICON	B	100,000	16.63	n/a	n/a	non-brg	4.0
f MARC PAUL LUCHANSKY	FID	JANSX	S	50	26.19	n/a	n/a	0.00	0.0
f MARK ANTHONY GRONET	FID	JCI	B	200	29.04	n/a	8-Sep	0.00	0.0
B BUCK CAPITAL MGMT		JCP	B	100,000	23.98	n/a	2-Sep	non-brg	4.0
B BUCK CAPITAL MGMT		JCP	B	200,000	23.72	n/a	2-Sep	non-brg	4.0
f MARC PAUL LUCHANSKY	FID	JMCVX	S	90	20.23	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		KCP	B	30,000	13.40	n/a	n/a	non-brg	2.5
MACKLOWE ASSET MGMT	041	KFT	B	65,000	31.13	n/a	n/a	2,600.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PZENA INV ADV	044	KFT	S	14,775	30.84	n/a	n/a	517.13	3.5
ß BUCK CAPITAL MGMT		KKR	B	1,400	10.22	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		KKR	B	1,500	10.21	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		KKR	B	2,200	10.21	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		KKR	B	2,200	10.22	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		KKR	B	20,000	10.21	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		KKR	B	20,200	10.22	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		KKR	B	500	10.22	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		KKR	B	600	10.21	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		KKR	B	700	10.21	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		KKR	B	700	10.22	n/a	n/a	non-brg	2.5
SAC CHICAGO ANDREW	031	KR	S	37,100	21.62	n/a	n/a	1,298.50	3.5
f MARK ANTHONY GRONET	FID	LAZ	B	500	34.27	n/a	20-Aug	0.00	0.0
GREEN ARROW DOUG	040	LIZ	B	40,000	4.97	n/a	7-Oct	2,000.00	5.0
NEWLAND CAPITAL MGT	067	LSTR	S	15,000	38.43	n/a	n/a	600.00	4.0
CHILTON CAPITAL MGMT.	036	MDT	B	100,000	33.25	n/a	n/a	3,000.00	3.0
ß BUCK CAPITAL MGMT		MFB	S	5,000	28.47	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		MFB	S	5,000	28.53	n/a	n/a	non-brg	2.5
f MARC PAUL LUCHANSKY	FID	MFOCX	S	45	15.51	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	MIQBX	S	73	12.64	n/a	n/a	0.00	0.0
ROSEDALE CAPITAL	046	MSFT	S	15,000	25.23	n/a	n/a	750.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ARCHON CAPITAL	035	MSPD	B	50,000	7.22	n/a	n/a	1,500.00	3.0
TPG-AXON	040	ORCL	S	420,000	25.16	n/a	n/a	21,000.00	5.0
IRIDIAN ASSET MGMT.	036	OXY	B	2,300	78.70	n/a	n/a	115.00	5.0
GRANITE CAPITAL	028	PAG	B	10,000	11.95	n/a	4-Aug	500.00	5.0
f MARC PAUL LUCHANSKY	FID	PAHIX	S	90	6.63	n/a	n/a	0.00	0.0
SHEFFIELD ASSET MGMT	031	PKG	B	20,000	23.63	n/a	26-Aug	1,000.00	5.0
ROARING BLUE LION MGMT	012	PLCE	S	2,360	49.94	n/a	19-Aug	94.40	4.0
THIRD COAST CAPITAL	035	PLCE	S	5,000	50.47	n/a	19-Aug	250.00	5.0
f DAVID GEORGE BUCK	FID	PNRA	B	1500	88.70	n/a	28-Jul	0.00	0.0
CENTURION PARTNERS	041	PSS	S	30,000	15.30	n/a	n/a	1,200.00	4.0
IRIDIAN ASSET MGMT.	036	PX	S	4,110	88.19	n/a	23-Aug	205.50	5.0
f MARC PAUL LUCHANSKY	FID	PZFBVX	S	74	14.79	n/a	n/a	0.00	0.0
IRIDIAN ASSET MGMT.	036	ROC	B	74,540	29.91	n/a	n/a	3,727.00	5.0
f MARC PAUL LUCHANSKY	FID	SBLGX	S	32	21.60	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	SBUX	S	350	25.84	n/a	22-Jul	0.00	0.0
f MARC PAUL LUCHANSKY	FID	SLASX	S	25	37.07	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WEDBUSH/PACIFIC GROWTH EQTY LLC084	SLM		SS	20,000	11.22		n/a 14-Sep	800.00	4.0
GRUSS CAPITAL	025	SNY	S	5,000	31.97	n/a	n/a	150.00	3.0
f JOSEPH CIRO AMATURO	FID	SOLR	B	10000	7.41	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	SPRXX	B	500	1.00	n/a	n/a	0.00	0.0
f ANDREW SINCLAIR	FID	SPY	B	50	0.40	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SUP	S	25,000	16.41	n/a	16-Aug	non-brg	4.0
IRIDIAN ASSET MGMT.	036	TEL	B	13,110	26.92	n/a	n/a	655.50	5.0
f CHRISTOPHER ROBERT C	FID	TEN	B	150	26.26	n/a	n/a	0.00	0.0
CAXTON PART	040	TGT	B	8,760	53.41	n/a	2-Sep	306.61	3.5
TRUSTCO/SUNTRUST	040	TGT	B	26,390	53.72	n/a	2-Sep	923.65	3.5
f CHRISTOPHER ROBERT C	FID	TRLG	B	200	20.14	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		TXRH	SS	20,000	14.55	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		UA	C	20,000	42.35	n/a	28-Jul	non-brg	1.0
B BUCK CAPITAL MGMT		UA	C	55,000	42.31	n/a	28-Jul	non-brg	1.0
B BUCK CAPITAL MGMT		UA	C	75,000	42.27	n/a	28-Jul	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	UA	B	100	41.03	n/a	28-Jul	0.00	0.0
RANGER	031	UA	S	59,490	42.30	n/a	28-Jul	2,974.50	5.0
GALT INVESTMENT	041	ULTA	S	15,000	27.75	n/a	n/a	750.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MARC PAUL LUCHANSKY	FID	USGLX	S	19	25.72	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	VNO	S	1000	86.33	n/a	n/a	0.00	0.0
f MARK ANTHONY GRONET	FID	VZ	B	1000	30.97	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	V	B	4000	67.40	n/a	14-Sep	0.00	0.0
f MARK ANTHONY GRONET	FID	V	B	400	67.42	n/a	14-Sep	0.00	0.0
f MARC PAUL LUCHANSKY	FID	WBIGX	S	48	20.21	n/a	n/a	0.00	0.0
TRUSTCO/SUNTRUST	040	WFC	B	52,970	26.13	n/a	13-Sep	1,853.95	3.5
THIRD COAST CAPITAL	035	WMT	B	10,000	52.83	n/a	7-Sep	500.00	5.0
B BUCK CAPITAL MGMT		WNC	B	100,000	6.75	n/a	n/a	non-brg	3.0
f JOSEPH CIRO AMATURO	FID	WNC	B	15000	7.03	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	WNC	S	15000	7.15	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	WRC	S	20,000	48.49	n/a	6-Aug	800.00	4.0
T. ROWE PRICE	033	WY	S	126,700	16.11	n/a	26-Aug	5,068.00	4.0
SAC ENERGY GS-BOB	044	XOM	SS	50,000	61.24	n/a	n/a	1,750.00	3.5
B BUCK CAPITAL MGMT		XRT	C	120,000	40.56	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		XRT	C	240,000	39.96	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		XRT	SS	220,000	40.15	n/a	n/a	non-brg	2.0

TOTAL (Trade Date):

111,090.55

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/13	NOMURA CAPITAL	029	FCX	S	32,470	81.33	n/a	n/a	974.10 3.0
AO,CRT	09/13	METROPOLITAN CAPITAL	044	LEA	B	5,400	71.40	n/a	4-Aug	270.00 5.0
AO,CXL	09/13	METROPOLITAN CAPITAL	044	LEA	B	5,400	71.40	n/a	4-Aug	216.00 4.0
AO,	09/13	PIONEER PATH	226	SKX	S	2,375	23.00	n/a	n/a	71.25 3.0
TOTAL (AO, CXL, CRT) :										1,099.35

TOTAL (Trade Date) :	111,090.55
TOTAL (AO, CXL, CRT) :	1,099.35

TOTAL (RUN DATE) / NFS:	112,189.90
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MRI Securities with Trade Activity on 14-Sep. NONE

MRI Securities without Trade Activity on 14-Sep. NONE
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BRG comm. as a % of BCM Total Comm. paid. T-Date = 20% YTD = 11%
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<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)