



Daily Compliance Activity Report

Trade Date: 10/12/2009

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------------|------------|-------------|----------|---------------|--------------|------------|--------------|----------------|------------|
| ROYCE TRADING | 216 | ABK | B | 10,000 | 1.51 | n/a | n/a | 300.00 | 3.0 |
| DSM CAPITAL PARTNERS | 032 | ADBE | B | 2,900 | 34.73 | n/a | n/a | 145.00 | 5.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | AEO | S | 50,000 | 18.78 | n/a | 9-Oct | 2,000.00 | 4.0 |
| B BUCK CAPITAL MGMT | | AGCO | B | 10,000 | 27.54 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | AGCO | B | 15,000 | 27.54 | n/a | n/a | non-brg | 1.0 |
| B BUCK CAPITAL MGMT | | ANF | B | 30,000 | 35.93 | n/a | 9-Oct | non-brg | 4.0 |
| f CHRISTOPHER ROBERT C | FID | AN | B | 200 | 18.39 | n/a | n/a | 0.00 | 0.0 |
| f KAREN F LEDDY | FID | AN | B | 500 | 18.23 | n/a | n/a | 0.00 | 0.0 |
| f KAREN F LEDDY | FID | AN | S | 250 | 18.24 | n/a | n/a | 0.00 | 0.0 |
| ROYCE TRADING | 216 | ARM | S | 5,000 | 8.82 | n/a | n/a | 250.00 | 5.0 |
| EXIS CAPITAL | 044 | ARO | SS | 2,500 | 42.00 | n/a | 9-Oct | 125.00 | 5.0 |
| DISCIPLINED GROWTH INV. | 030 | ARUN | S | 8,200 | 8.97 | n/a | n/a | 410.00 | 5.0 |
| KLEINHEINZ CAP PART | 031 | BAC | B | 150,000 | 17.78 | n/a | 7-Oct | 7,500.00 | 5.0 |
| DSM CAPITAL PARTNERS | 032 | BAX | B | 1,800 | 58.05 | n/a | n/a | 90.00 | 5.0 |
| CR INTRINIC INVESTMENT | 044 | BBBY | S | 50,000 | 36.78 | n/a | n/a | 2,000.00 | 4.0 |
| DSM CAPITAL PARTNERS | 032 | BCR | B | 1,800 | 77.78 | n/a | n/a | 90.00 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------------------------------|------------|-------------|-----------|----------------|---------------|------------|---------------|-----------------|------------|
| f NICOLAS EVAN PAKLER | FID | BEN | B | 37 | 105.89 | n/a | 8-Oct | 0.00 | 0.0 |
| ROYCE TRADING | 216 | BEZ | S | 2,500 | 29.32 | n/a | n/a | 125.00 | 5.0 |
| LISTED ERR | 099 | BEZ | S | 2,500 | 29.32 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | BID | SS | 50,000 | 19.10 | n/a | n/a | 2,000.00 | 4.0 |
| B BUCK CAPITAL MGMT | | BONT | B | 10,000 | 8.36 | n/a | n/a | non-brg | 3.0 |
| NEWLAND CAPITAL MGT | 067 | BWA | B | 20,000 | 30.70 | n/a | n/a | 800.00 | 4.0 |
| ROYCE TRADING | 216 | CAB | S | 5,000 | 13.91 | n/a | n/a | 250.00 | 5.0 |
| B BUCK CAPITAL MGMT | | CAKE | C | 100,000 | 18.71 | n/a | 12-Oct | non-brg | 4.0 |
| DISCIPLINED GROWTH INV. | 030 | CAKE | S | 3,200 | 18.70 | n/a | 12-Oct | 160.00 | 5.0 |
| LEVEL GLOBAL SHARED ACCT | 257 | CAKE | B | 100,000 | 18.75 | n/a | 12-Oct | 3,000.00 | 3.0 |
| f NICOLAS EVAN PAKLER | FID | CAKE | B | 200 | 18.74 | n/a | 12-Oct | 0.00 | 0.0 |
| ROYCE TRADING | 216 | CBM | S | 5,000 | 6.74 | n/a | n/a | 250.00 | 5.0 |
| DSM CAPITAL PARTNERS | 032 | CELG | B | 9,600 | 55.32 | n/a | n/a | 480.00 | 5.0 |
| B BUCK CAPITAL MGMT | | CHRS | S | 20,000 | 5.32 | n/a | n/a | non-brg | 3.0 |
| ROYCE TRADING | 216 | CMC | S | 5,000 | 18.11 | n/a | n/a | 250.00 | 5.0 |
| EXIS CAPITAL | 044 | COST | SS | 2,500 | 58.09 | n/a | n/a | 125.00 | 5.0 |
| ROYCE TRADING | 216 | CRS | S | 10,000 | 23.32 | n/a | n/a | 500.00 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|--------------|----------|--------------|---------------|------------|--------------|----------------|------------|
| ROYCE TRADING | 216 | CTB | S | 5,000 | 18.00 | n/a | n/a | 250.00 | 5.0 |
| ROYCE TRADING | 216 | DDS | S | 3,000 | 14.91 | n/a | n/a | 150.00 | 5.0 |
| B BUCK CAPITAL MGMT | | DECK | S | 5,000 | 85.12 | n/a | n/a | non-brg | 2.5 |
| f JOSEPH CIRO AMATURO | FID | DPTR | B | 10000 | 1.72 | n/a | n/a | 0.00 | 0.0 |
| f JOSEPH CIRO AMATURO | FID | DPTR | B | 10000 | 1.72 | n/a | n/a | 0.00 | 0.0 |
| f IAN L MILLER | FID | ENR | S | 20 | 65.86 | n/a | n/a | 0.00 | 0.0 |
| ROTHSCHILD ASSET | 040 | ENS | B | 68,141 | 23.11 | n/a | n/a | 3,066.43 | 4.5 |
| DISIPLINED GROWTH INV. | 030 | ETH | S | 2,600 | 16.35 | n/a | n/a | 130.00 | 5.0 |
| CATAPULT | 040 | FLR | B | 25,000 | 48.76 | n/a | n/a | 1,250.00 | 5.0 |
| ROYCE TRADING | 216 | FOH | S | 5,000 | 1.81 | n/a | n/a | 150.00 | 3.0 |
| f MANNY I KORMAN | FID | FSIXX | S | 3800 | 1.00 | n/a | n/a | 0.00 | 0.0 |
| f CHRISTOPHER ROBERT C | FID | F | S | 750 | 7.56 | n/a | 1-Oct | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | GIII | S | 5,000 | 17.34 | n/a | n/a | non-brg | 0.8 |
| f IAN L MILLER | FID | GLD | B | 10 | 103.69 | n/a | n/a | 0.00 | 0.0 |
| CR INTRINIC INVESTMENT | 044 | GME | B | 25,000 | 26.85 | n/a | n/a | 1,000.00 | 4.0 |
| EXIS CAPITAL | 044 | GPS | B | 5,000 | 22.37 | n/a | n/a | 250.00 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------------|-------------|----------|----------------|---------------|------------|--------------|-----------------|------------|
| SIGMA CAPITAL ASSOCIATES | 041 | GYMB | SS | 25,000 | 46.11 | n/a | 9-Oct | 1,000.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | HOG | B | 123,805 | 24.02 | n/a | n/a | 4,952.20 | 4.0 |
| CR INTRINIC INVESTMENT | 044 | HOG | B | 50,000 | 24.18 | n/a | n/a | 2,000.00 | 4.0 |
| DISCIPLINED GROWTH INV. | 030 | HSTX | S | 4,400 | 7.23 | n/a | n/a | 220.00 | 5.0 |
| f IAN L MILLER | FID | IBM | B | 5 | 126.36 | n/a | n/a | 0.00 | 0.0 |
| DISCIPLINED GROWTH INV. | 030 | ITG | S | 1,900 | 27.90 | n/a | n/a | 95.00 | 5.0 |
| B BUCK CAPITAL MGMT | | JCG | S | 10,000 | 37.65 | n/a | n/a | non-brg | 0.8 |
| TRELLUS PARTNERS LP | 028 | JCI | B | 100,000 | 27.12 | n/a | n/a | 5,000.00 | 5.0 |
| B BUCK CAPITAL MGMT | | JOSB | B | 20,000 | 45.29 | n/a | n/a | non-brg | 1.0 |
| EXIS CAPITAL | 044 | JWN | B | 5,000 | 33.80 | n/a | 9-Oct | 250.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | KSS | B | 10,000 | 59.47 | n/a | 9-Oct | 400.00 | 4.0 |
| EXIS CAPITAL | 044 | KSS | B | 5,000 | 60.05 | n/a | 9-Oct | 250.00 | 5.0 |
| DISCIPLINED GROWTH INV. | 030 | LF | S | 4,100 | 3.95 | n/a | n/a | 123.00 | 3.0 |
| CR INTRINIC INVESTMENT | 044 | MAT | B | 50,000 | 18.83 | n/a | n/a | 2,000.00 | 4.0 |
| DISCIPLINED GROWTH INV. | 030 | MRCY | S | 1,900 | 10.11 | n/a | n/a | 95.00 | 5.0 |
| EXIS CAPITAL | 044 | MRVL | S | 40,000 | 15.93 | n/a | n/a | 2,000.00 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------------|------------|-------------|-----------|----------------|---------------|------------|------------|----------------|-------------|
| B BUCK CAPITAL MGMT | | MVRX | SS | 500,000 | 169.24 | n/a | n/a | non-brg | 16.9 |
| DISCIPLINED GROWTH INV. | 030 | NLS | S | 6,300 | 1.99 | n/a | n/a | 189.00 | 3.0 |
| DISCIPLINED GROWTH INV. | 030 | OTEX | S | 3,000 | 38.82 | n/a | n/a | 150.00 | 5.0 |
| B BUCK CAPITAL MGMT | | PAG | B | 25,000 | 16.08 | n/a | n/a | non-brg | 4.0 |
| DISCIPLINED GROWTH INV. | 030 | PCTI | S | 6,400 | 6.33 | n/a | n/a | 320.00 | 5.0 |
| PILOT ROCK | 028 | PFE | B | 377,000 | 16.90 | n/a | n/a | 15,080.00 | 4.0 |
| B BUCK CAPITAL MGMT | | PIR | B | 100,000 | 4.29 | n/a | n/a | non-brg | 2.5 |
| B BUCK CAPITAL MGMT | | PIR | B | 100,000 | 4.36 | n/a | n/a | non-brg | 0.8 |
| B BUCK CAPITAL MGMT | | PIR | B | 100,000 | 4.40 | n/a | n/a | non-brg | 1.0 |
| B BUCK CAPITAL MGMT | | PIR | B | 200,000 | 4.37 | n/a | n/a | non-brg | 3.0 |
| MORTAR ROCK | 033 | PLCE | B | 30,000 | 34.31 | n/a | 12-Oct | 1,200.00 | 4.0 |
| DISCIPLINED GROWTH INV. | 030 | PLXS | S | 3,800 | 27.69 | n/a | n/a | 190.00 | 5.0 |
| DISCIPLINED GROWTH INV. | 030 | PMTI | S | 2,000 | 15.28 | n/a | n/a | 100.00 | 5.0 |
| f JOSEPH CIRO AMATURO | FID | PQ | B | 2000 | 7.87 | n/a | n/a | 0.00 | 0.0 |
| f JOSEPH CIRO AMATURO | FID | PQ | B | 5000 | 7.89 | n/a | n/a | 0.00 | 0.0 |
| f CHRISTOPHER ROBERT C | FID | QQQQ | B | 100 | 42.83 | n/a | n/a | 0.00 | 0.0 |
| f EDWARD W WHEELER | FID | RLOG | B | 10000 | 3.20 | n/a | n/a | 0.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|--------------|-----------|----------------|---------------|------------|------------|----------------|------------|
| B BUCK CAPITAL MGMT | | RSH | SS | 100,000 | 16.24 | n/a | n/a | non-brg | 4.0 |
| f IAN L MILLER | FID | SDS | B | 40 | 38.50 | n/a | n/a | 0.00 | 0.0 |
| BULL PATH CAPITAL | 044 | SEE | B | 14,500 | 19.98 | n/a | n/a | 725.00 | 5.0 |
| B BUCK CAPITAL MGMT | | SKX | S | 30,000 | 19.98 | n/a | n/a | non-brg | 4.0 |
| f JONATHAN RICHARD HAR | FID | SOKE | B | 425 | 2.85 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | SPLS | SS | 20,000 | 23.21 | n/a | n/a | non-brg | 4.0 |
| KARSCH CAPITAL | 034 | SPY | C | 140,000 | 107.61 | n/a | n/a | 2,800.00 | 2.0 |
| f ANDREW SINCLAIR | FID | SWGUV | S | 100 | 0.06 | n/a | n/a | 0.00 | 0.0 |
| DISCIPLINED GROWTH INV. | 030 | SY | S | 2,700 | 40.85 | n/a | n/a | 135.00 | 5.0 |
| SUN AMERICA ASSET MGMT | 030 | TEVA | B | 27,500 | 51.58 | n/a | 12-Oct | 1,100.00 | 4.0 |
| SACC-FISHER | 044 | TEX | B | 10,000 | 21.65 | n/a | n/a | 400.00 | 4.0 |
| f IAN L MILLER | FID | TIP | B | 10 | 102.87 | n/a | n/a | 0.00 | 0.0 |
| CR INTRINIC INVESTMENT | 044 | TJX | S | 25,000 | 37.90 | n/a | 9-Oct | 1,000.00 | 4.0 |
| DISCIPLINED GROWTH INV. | 030 | TWTC | S | 6,200 | 14.13 | n/a | n/a | 310.00 | 5.0 |
| DSG CAPITAL | 225 | TYC | B | 20,000 | 35.27 | 12-Oct | 12-Oct | 1,000.00 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|-------------|-----------|------------------|--------------|------------|---------------|----------------|------------|
| T. ROWE PRICE | 033 | UFS | S | 60,000 | 40.40 | n/a | n/a | 2,400.00 | 4.0 |
| f JOHN BARTMAN COLE | FID | UNG | S | 400 | 11.91 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | URBN | B | 20,000 | 31.49 | n/a | n/a | non-brg | 4.0 |
| EXIS CAPITAL | 044 | URBN | SS | 5,000 | 31.22 | n/a | n/a | 250.00 | 5.0 |
| HIGHBRIDGE CAP | 041 | VFC | B | 25,000 | 75.26 | n/a | 7-Oct | 1,000.00 | 4.0 |
| DISIPLINED GROWTH INV. | 030 | VSAT | S | 1,300 | 30.08 | n/a | n/a | 65.00 | 5.0 |
| G WEISS /SASHA | 070 | WBC | B | 15,000 | 23.24 | n/a | n/a | 600.00 | 4.0 |
| CR INTRINIC INVESTMENT | 044 | WCRX | SS | 31,422 | 24.00 | n/a | 12-Oct | 1,256.88 | 4.0 |
| KARSCH CAPITAL | 034 | WMT | SS | 465,000 | 49.53 | n/a | 6-Oct | 13,950.00 | 3.0 |
| TRELLUS PARTNERS LP | 028 | WYNN | B | 10,000 | 67.19 | n/a | 8-Oct | 500.00 | 5.0 |
| B BUCK CAPITAL MGMT | | WY | B | 20,000 | 36.99 | n/a | 12-Oct | non-brg | 4.0 |
| COHE & STEERS | 091 | WY | B | 123,402 | 37.02 | n/a | 12-Oct | 4,936.08 | 4.0 |
| f IAN L MILLER | FID | XOM | B | 15 | 70.19 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | XRT | C | 2,228,400 | 35.59 | n/a | n/a | non-brg | 1.0 |
| B BUCK CAPITAL MGMT | | XRT | SS | 40,000 | 35.42 | n/a | n/a | non-brg | 0.8 |
| SONTERRA CAP | 041 | X | SS | 17,553 | 43.27 | n/a | n/a | 702.12 | 4.0 |
| CR INTRINIC INVESTMENT | 044 | YHOO | S | 50,000 | 16.73 | n/a | n/a | 2,000.00 | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------|-----|--------|-----|--------|-------|-----|----------|-------------|-----|
| f JOHN CAREY MAGUIRE | FID | YUM | B | 200 | 35.38 | n/a | 7-Oct | 0.00 | 0.0 |
| TOTAL (Trade Date): | | | | | | | | 97,840.71 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------|-------|--------------------------|------|--------|-----|---------|-------|-----|----------|-------------|
| AO,CXL | 10/06 | RWC PARTNERS LTD | 067 | ITW | B | 154,400 | 43.69 | n/a | n/a | 4632.00 3.0 |
| AO,CRT | 10/06 | RWC PARTNERS LTD | 067 | ITW | B | 154,400 | 43.69 | n/a | n/a | 4632.00 3.0 |
| AO,CRT | 10/09 | FIRST NY SEC/CHRIS | 041 | PLCE | B | 10,000 | 33.71 | n/a | 12-Oct | 500.00 5.0 |
| AO,CXL | 10/09 | FIRST NY SEC/CHRIS | 041 | PLCE | B | 10,000 | 33.71 | n/a | 12-Oct | 0.00 0.0 |
| AO,CXL | 10/08 | MACKLOWE ASSET MGMT | 041 | PVH | SS | 7,000 | 42.87 | n/a | n/a | 350.00 5.0 |
| AO,CRT | 10/08 | MACKLOWE ASSET MGMT | 041 | PVH | SS | 7,000 | 42.87 | n/a | n/a | 280.00 4.0 |
| AO,CXL | 10/09 | SYSTEMATIC FINANCIAL MGT | 035 | PVH | B | 1,450 | 42.90 | n/a | n/a | 50.76 3.5 |
| AO,CRT | 10/09 | SYSTEMATIC FINANCIAL MGT | 035 | PVH | B | 1,450 | 42.90 | n/a | n/a | 50.76 3.5 |
| AO, | 10/09 | G WEISS /SASHA | 070 | WBC | B | 20,000 | 23.61 | n/a | n/a | 800.00 4.0 |
| AO, | 10/09 | COHE & STEERS | 091 | WY | B | 244,744 | 36.38 | n/a | 12-Oct | 9789.76 4.0 |

TOTAL (AO, CXL, CRT) :**11,019.76**

TOTAL (Trade Date) :**97,840.71****TOTAL (AO, CXL, CRT) :****11,019.76**

TOTAL (RUN DATE) / NFS:**108,860.47**

MRI Securities with Trade Activity on 12-Oct.

TYC

MRI Securities without Trade Activity on 12-Oct.

IFF

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

T-Date = 5%

YTD = 21%

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)