



# 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>B</b> BUCK CAPITAL MGMT		<b>AEO</b>	<b>S</b>	<b>100,000</b>	<b>15.90</b>	<b>n/a</b>	<b>3-Dec</b>	<b>non-brg</b>	<b>4.0</b>
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
<b>f</b> JOSEPH CIRO AMATURO	<b>FID</b>	<b>ARM</b>	<b>B</b>	<b>10000</b>	<b>19.67</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LOCUS WOOD CAPITAL MGMT	044	ASH	S	10,000	51.43	n/a	8-Nov	400.00	4.0
<b>f</b> HARALAMBOS EFSTATHI	<b>FID</b>	<b>ATVI</b>	<b>S</b>	<b>2000</b>	<b>12.16</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> MARGARET M DAVEY	<b>FID</b>	<b>BAC</b>	<b>S</b>	<b>1100</b>	<b>11.67</b>	<b>n/a</b>	<b>18-Nov</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> MAY Y TANG	<b>FID</b>	<b>BIG</b>	<b>B</b>	<b>30</b>	<b>28.78</b>	<b>n/a</b>	<b>7-Dec</b>	<b>0.00</b>	<b>0.0</b>
TALKOT CAPITAL LLC	084	BIG	B	5,000	28.82	n/a	7-Dec	200.00	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>CHS</b>	<b>S</b>	<b>30,000</b>	<b>12.52</b>	<b>n/a</b>	<b>5-Feb</b>	<b>non-brg</b>	<b>4.0</b>
SAC CAP/ROSEN FOR BOBBY	044	CP	B	91,000	65.21	n/a	n/a	3,185.00	3.5
<b>f</b> HARALAMBOS EFSTATHI	<b>FID</b>	<b>CSCO</b>	<b>B</b>	<b>700</b>	<b>19.56</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
THOMPSON SIEGAL&WALMSLEY	029	C	B	2,502,800	4.61	n/a	6-Dec	100,112.00	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>DBRN</b>	<b>S</b>	<b>70,000</b>	<b>25.96</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
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
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>FCH</b>	<b>B</b>	<b>1000</b>	<b>6.57</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>FINL</b>	<b>S</b>	<b>20,000</b>	<b>18.51</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>FITB</b>	<b>B</b>	<b>15,000</b>	<b>13.15</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>FRO</b>	<b>S</b>	<b>500</b>	<b>25.78</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f FRANCIS PATRICK GALL</b>	<b>FID</b>	<b>GFF</b>	<b>B</b>	<b>250</b>	<b>11.88</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>HBI</b>	<b>S</b>	<b>60,000</b>	<b>27.31</b>	<b>n/a</b>	<b>28-Oct</b>	<b>non-brg</b>	<b>4.0</b>
<b>f HARALAMBOS EFSTATHI</b>	<b>FID</b>	<b>HOV</b>	<b>B</b>	<b>2000</b>	<b>4.29</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>HOV</b>	<b>B</b>	<b>1000</b>	<b>4.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
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
<b>f ALICE BEEBE LONGLEY</b>	<b>FID</b>	<b>IYR</b>	<b>B</b>	<b>300</b>	<b>55.87</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
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

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
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
ß BUCK CAPITAL MGMT		KEY	B	35,000	8.19	n/a	n/a	non-brg	3.0
ß 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
ß BUCK CAPITAL MGMT		MDC	B	10,000	27.63	n/a	n/a	non-brg	4.0
ß 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
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

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⚡ 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
⚡ 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
⚡ 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
⚡ BUCK CAPITAL MGMT		SIG	B	50,000	41.62	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		SKX	S	100,000	21.59	n/a	n/a	non-brg	4.0
⚡ 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
⚡ BUCK CAPITAL MGMT		STI	B	15,000	25.99	n/a	n/a	non-brg	4.0
f HARALAMBOS EFSTATHI	FID	S	B	3000	4.19	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>TAN</b>	<b>B</b>	<b>5000</b>	<b>7.54</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
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
<b>B BUCK CAPITAL MGMT</b>		<b>TLB</b>	<b>B</b>	<b>100,000</b>	<b>8.91</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>TLB</b>	<b>B</b>	<b>2000</b>	<b>8.90</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>TOL</b>	<b>B</b>	<b>3000</b>	<b>19.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WATERFRONT CAP	028	TOL	SS	52,000	19.03	n/a	n/a	2,080.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>TRLG</b>	<b>S</b>	<b>1,100</b>	<b>22.40</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>TRLG</b>	<b>S</b>	<b>43,900</b>	<b>22.09</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>UA</b>	<b>SS</b>	<b>20,000</b>	<b>58.92</b>	<b>n/a</b>	<b>27-Oct</b>	<b>non-brg</b>	<b>4.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>URZ</b>	<b>B</b>	<b>2400</b>	<b>3.62</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
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
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>WNC</b>	<b>S</b>	<b>15199</b>	<b>12.32</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
S.A.C. HEALTHCARE BOBBY	044	WPI	B	10,000	49.82	n/a	6-Dec	350.00	3.5
WEINTRAUB CAPITAL MGT.	040	WRC	B	50,000	55.96	n/a	9-Nov	2,000.00	4.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>ZINC</b>	<b>S</b>	<b>10000</b>	<b>12.64</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

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**TOTAL (Trade Date):**

**150,474.43**

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**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
<b>TOTAL (AO, CXL, CRT) :</b>									<b>4,000.00</b>

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

<b>TOTAL (RUN DATE) / NFS:</b>	<b>154,474.43</b>
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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 = 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)**