



# Daily Compliance Activity Report

Trade Date: 11/17/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		494 HK	S	250,000	5.61	n/a	n/a	non-brg	1.1
MAY Y TANG	FID	AAPL	B	30	301.30	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	AMAG	B	5,000	13.98	n/a	n/a	200.00	4.0
HUNTER GLOBAL INVESTOR	067	AME	B	50,000	54.71	n/a	n/a	2,500.00	5.0
LEVEL GLOBAL SHARED ACCT	257	ANF	B	100,000	46.84	n/a	17-Nov	3,000.00	3.0
BUCK CAPITAL MGMT	001	ANN	S	30,000	23.97	n/a	n/a	1,200.00	4.0
BUCK CAPITAL MGMT		ATVI	S	20,000	11.68	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		AXL	S	50,000	11.07	n/a	1-Nov	non-brg	1.0
BUCK CAPITAL MGMT		AXL	S	50,000	11.18	n/a	1-Nov	non-brg	4.0
DIAMONDBACK CAP MGMT	232	BAC	B	100,000	11.68	n/a	15-Nov	5,000.00	5.0
BUCK CAPITAL MGMT		BAH	S	5,000	18.57	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT		BBBY	S	20,000	43.49	n/a	n/a	non-brg	4.0
HARALAMBOS EFSTATHI	FID	BJ	B	200	47.13	n/a	n/a	0.00	0.0
JET CAPITAL/CHRIS	041	BJ	B	20,000	47.57	n/a	n/a	600.00	3.0
BUCK CAPITAL MGMT		BLC	B	10,000	5.70	n/a	n/a	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HUNTER GLOBAL INVESTOR	067	CBE	B	50,000	51.97	n/a	22-Jul	2,500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>CHS</b>	<b>S</b>	<b>100,000</b>	<b>11.06</b>	<b>n/a</b>	<b>5-Feb</b>	<b>non-brg</b>	<b>4.0</b>
KLEINHEINZ CAP PART	031	CMED	S	14,900	14.22	n/a	n/a	745.00	5.0
LEVEL GLOBAL SHARED ACCT	257	COH	C	67,700	52.83	n/a	27-Oct	2,031.00	3.0
MERRILL ASSET/BLACKROCK	266	CRR	S	900	89.00	n/a	16-Nov	36.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>CSTR</b>	<b>B</b>	<b>30,000</b>	<b>60.37</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>CS</b>	<b>B</b>	<b>2000</b>	<b>41.37</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ARMATURE CAPITAL	041	CTB	SS	60,000	20.09	n/a	n/a	2,400.00	4.0
LEVEL GLOBAL SHARED ACCT	257	CVC	S	200,000	28.94	n/a	n/a	6,000.00	3.0
HIGHBRIDGE CAP	041	DISCA	SS	17,416	41.01	n/a	n/a	522.48	3.0
HIGHBRIDGE CAP	041	DKS	S	4,500	33.50	n/a	16-Nov	135.00	3.0
MERRILL ASSET/BLACKROCK	266	ESS	S	14,500	107.01	n/a	n/a	580.00	4.0
HUNTER GLOBAL INVESTOR	067	ETN	B	31,000	92.83	n/a	15-Nov	1,550.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>EXPR</b>	<b>S</b>	<b>10,000</b>	<b>15.34</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f CHRISTINA G ROGERS T</b>	<b>FID</b>	<b>FDRXX</b>	<b>S</b>	<b>10976</b>	<b>1.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
O CAPITAL MGMT	029	FFNW	B	5,000	3.58	n/a	n/a	250.00	5.0
TROUBH PART	067	F	SS	50,000	16.72	n/a	4-Nov	2,500.00	5.0
BUCK CAPITAL MGMT	001	GCO	S	40,000	33.06	n/a	n/a	1,600.00	4.0
BUCK CAPITAL MGMT	001	GES	S	10,000	42.43	n/a	18-Oct	400.00	4.0
MILLENIUM PARTNERS	028	GE	B	50,000	15.83	n/a	n/a	2,000.00	4.0
ß BUCK CAPITAL MGMT		GIII	B	1,000	24.74	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GIII	B	14,000	25.53	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GIII	B	15,000	25.09	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		GIII	B	5,000	25.14	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		GIII	B	5,000	25.85	n/a	n/a	non-brg	0.8
BUCK CAPITAL MGMT	001	GIL	B	40,000	27.21	n/a	18-Oct	1,600.00	4.0
BMO NESBITT BURNS	041	HD	SS	5,000	31.07	n/a	16-Nov	250.00	5.0
ONE EAST CAP ADV LP	048	HRB	B	10,000	12.52	n/a	n/a	500.00	5.0
f DAVID GEORGE BUCK	FID	HTZ	B	2000	11.89	n/a	n/a	0.00	0.0
ARMATURE CAPITAL	041	IP	S	30,000	24.62	n/a	27-Oct	1,200.00	4.0
ß BUCK CAPITAL MGMT		JACK	S	25,000	22.82	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		JACK	S	67,300	22.94	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		JCG	C	100,000	36.29	n/a	n/a	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	HARALAMBOS EFSTATHI	FID	JCG	S	200	36.67	n/a	n/a	0.00	0.0
f	JONATHAN RICHARD HAR	FID	JCG	S	50	36.72	n/a	n/a	0.00	0.0
	LEVEL GLOBAL SHARED ACCT	257	JCP	B	250,000	31.59	n/a	15-Nov	7,500.00	3.0
f	ANTHONY SUTERA	FID	JNY	B	1000	13.36	n/a	28-Oct	0.00	0.0
f	CHRISTOPHER ROBERT C	FID	JNY	B	200	13.35	n/a	28-Oct	0.00	0.0
	KLEINHEINZ CAP PART	031	KSS	B	25,000	52.01	n/a	12-Nov	1,250.00	5.0
	THE JAY GOLDMAN	028	KSS	S	10,000	52.69	n/a	12-Nov	400.00	4.0
	LEVEL GLOBAL SHARED ACCT	257	LOW	C	200,000	21.46	n/a	15-Nov	6,000.00	3.0
	SUFFOLK CAPITAL MGMT	040	MCD	S	124,800	77.74	n/a	8-Nov	4,992.00	4.0
f	ABRAM M CHAPPELL	FID	MDC	B	80	25.69	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		MNRO	S	20,405	48.79	n/a	n/a	non-brg	2.5
	SANDLER CAPITAL	226	MOS	B	40,000	67.59	n/a	n/a	2,400.00	6.0
	BASSWOOD PARTNERS	267	MS	B	40,000	25.51	n/a	12-Nov	1,600.00	4.0
	LEVEL GLOBAL SHARED ACCT	257	MTB	S	100,000	79.64	n/a	n/a	3,000.00	3.0
B	BUCK CAPITAL MGMT		MVRX	C	80,000	200.68	n/a	n/a	non-brg	20.1
	JET CAPITAL/CHRIS	041	MW	S	10,000	27.19	n/a	n/a	300.00	3.0
	BUCK CAPITAL MGMT	001	M	B	20,000	24.67	n/a	11-Nov	800.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>NVN</b>	<b>S</b>	<b>12208</b>	<b>14.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BNP PARIBAS SEC	040	NVS	B	27,600	55.94	n/a	n/a	1,380.00	5.0
CASTLE ARK	031	PAY	B	96,980	32.55	n/a	n/a	4,849.00	5.0
HIGHBRIDGE CAP	041	PCLN	B	1,250	399.28	n/a	n/a	37.50	3.0
<b>f ABRAM M CHAPPELL</b>	<b>FID</b>	<b>PHM</b>	<b>S</b>	<b>300</b>	<b>6.69</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PLCE</b>	<b>B</b>	<b>11,618</b>	<b>47.77</b>	<b>n/a</b>	<b>15-Nov</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PLCE</b>	<b>B</b>	<b>38,812</b>	<b>47.67</b>	<b>n/a</b>	<b>15-Nov</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PLCE</b>	<b>B</b>	<b>40,000</b>	<b>47.60</b>	<b>n/a</b>	<b>15-Nov</b>	<b>non-brg</b>	<b>4.0</b>
LEVEL GLOBAL SHARED ACCT	257	ROST	B	150,000	65.01	n/a	n/a	4,500.00	3.0
SAC TRADING TOM LEDDY	035	ROST	S	40,000	64.63	n/a	n/a	1,400.00	3.5
<b>B BUCK CAPITAL MGMT</b>		<b>RYL</b>	<b>B</b>	<b>15,000</b>	<b>15.08</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>RYL</b>	<b>B</b>	<b>5,000</b>	<b>15.05</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
COHE & STEERS	041	RYN	S	53,080	51.18	n/a	27-Oct	2,123.20	4.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>SBUX</b>	<b>B</b>	<b>200</b>	<b>29.99</b>	<b>n/a</b>	<b>5-Nov</b>	<b>0.00</b>	<b>0.0</b>
IRIDIAN ASSET MGMT.	036	SDRL	S	19,400	31.64	n/a	n/a	970.00	5.0
JP MORGAN VENTURES	046	SHLD	B	25,000	65.39	n/a	n/a	1,250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>SKX</b>	<b>S</b>	<b>50,000</b>	<b>20.68</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.	
JP MORGAN VENTURES	046	SONC	S	35,000	8.85	n/a	n/a	1,050.00	3.0
<b>f ANDREW SINCLAIR</b>	<b>FID</b>	<b>SPY</b>	<b>S</b>	<b>400</b>	<b>0.02</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BERMAN CAPITAL MGMT	046	SPY	B	20,000	118.17	n/a	n/a	600.00	3.0
LEVEL GLOBAL SHARED ACCT	257	SPY	SS	64,000	118.35	n/a	n/a	1,920.00	3.0
CHART WELL ADV	028	SRI	B	43,450	12.66	n/a	n/a	1,738.00	4.0
ARMATURE CAPITAL	041	SWK	S	55,000	59.65	n/a	n/a	2,200.00	4.0
CAXTON PART	040	TGT	B	147,904	55.70	n/a	17-Nov	5,176.68	3.5
LEVEL GLOBAL SHARED ACCT	257	TIF	C	85,700	55.83	n/a	n/a	2,571.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TLB</b>	<b>S</b>	<b>100,000</b>	<b>10.19</b>	<b>n/a</b>	<b>n/a</b>	<b>4,000.00</b>	<b>4.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>TM</b>	<b>S</b>	<b>1000</b>	<b>76.06</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>TOL</b>	<b>B</b>	<b>10,000</b>	<b>18.08</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
MILLENIUM PARTNERS	028	TYC	B	20,000	37.39	n/a	9-Nov	800.00	4.0
LAGRANGE CAP ADV	048	UA	SS	5,793	51.41	n/a	27-Oct	289.65	5.0
STATE TEACHERS RET SYS	047	UDR	S	20,000	21.41	n/a	n/a	1,000.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>URBN</b>	<b>B</b>	<b>10,000</b>	<b>36.86</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
HIGHBRIDGE CAP	041	URBN	SS	2,720	36.63	n/a	n/a	81.60	3.0
CHART WELL ADV	028	VIT	S	37,850	34.30	n/a	n/a	1,514.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JOEL GIFFORD TISS	FID	VMC	B	2000	39.09	n/a	n/a	0.00	0.0
f ANTHONY SUTERA	FID	WCRX	B	1000	20.16	n/a	17-Nov	0.00	0.0
f JASON ERIC COHEN	FID	WERN	B	150	21.92	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	WGL	B	43,000	38.99	n/a	n/a	1,720.00	4.0
BMO NESBITT BURNS	041	WMT	B	3,000	53.70	n/a	17-Nov	150.00	5.0
SAC TRADING TOM LEDDY	035	WRC	S	25,000	51.80	n/a	9-Nov	875.00	3.5
JP MORGAN VENTURES	046	WSM	B	15,000	35.37	n/a	n/a	750.00	5.0
LEVEL GLOBAL SHARED ACCT	257	XRT	C	167,000	44.96	n/a	n/a	5,010.00	3.0
<b>TOTAL (Trade Date) :</b>							<b>115,497.11</b>		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT):									0.00

TOTAL (Trade Date):	115,497.11
TOTAL (AO, CXL, CRT):	0.00

TOTAL (RUN DATE) / NFS:	115,497.11
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MRI Securities with Trade Activity on 17-Nov.  
NONE

MRI Securities without Trade Activity on 17-Nov.  
NONE

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 18%  
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)**