



Daily Compliance Activity Report

Trade Date: 09/17/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CATAPULT	040	AA	SS	150,000	11.19	n/a	n/a	7,500.00	5.0
HARBORWATCH/DIAMBACK	232	AGU	B	15,000	74.73	n/a	n/a	750.00	5.0
f CHRISTOPHER ROBERT C	FID	APC	S	100	54.49	n/a	13-Sep	0.00	0.0
f CHRISTOPHER ROBERT C	FID	ARM	S	250	14.13	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	ARM	B	1500	14.10	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ARO	B	175,000	22.98	n/a	2-Sep	non-brg	4.0
B BUCK CAPITAL MGMT		ARO	B	25,000	22.86	n/a	2-Sep	non-brg	0.8
PIONEER PATH	226	BJ	B	15,000	43.09	n/a	n/a	450.00	3.0
B BUCK CAPITAL MGMT		BWLD	S	20,000	47.27	n/a	n/a	non-brg	4.0
CATAPULT	040	CCK	SS	5,000	28.65	n/a	n/a	250.00	5.0
PZENA INV ADV	044	CNW	B	22,375	29.04	n/a	n/a	783.20	3.5
PDY1	044	CNW	B	25	29.04	n/a	n/a	0.88	3.5
B BUCK CAPITAL MGMT		COLM	C	20,000	56.59	n/a	n/a	non-brg	4.0
SOROS	036	CPN	C	75,000	12.67	n/a	n/a	3,000.00	4.0
f EDWARD W WHEELER	FID	CTV	B	1373	22.00	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	CVGI	B	50	9.99	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f	JONATHAN RICHARD HAR	FID	C	B	250	3.99	n/a	15-Sep	0.00	0.0
	SOROS	036	DAL	B	50,000	11.36	n/a	n/a	2,000.00	4.0
	ACK ASSET	028	DAN	B	32,000	11.11	n/a	2-Aug	960.00	3.0
f	KAREN F LEDDY	FID	DAN	B	1000	11.00	n/a	2-Aug	0.00	0.0
	CATAPULT	040	DD	SS	10,000	44.09	n/a	24-Aug	500.00	5.0
	GREEN ARROW DOUG	040	DKS	SS	20,000	27.33	n/a	19-Aug	1,000.00	5.0
	CATAPULT	040	DOW	SS	5,000	26.68	n/a	24-Aug	250.00	5.0
	JET CAPITAL/CHRIS	041	DYN	S	25,000	4.79	n/a	n/a	750.00	3.0
	BENCHMARK	025	ECOL	B	10,000	14.51	n/a	n/a	400.00	4.0
B	BUCK CAPITAL MGMT		EXPE	C	20,000	28.60	n/a	n/a	non-brg	4.0
	VISIUM/BALY BOBBY	044	FDO	SS	10,000	43.36	n/a	17-Sep	500.00	5.0
	KACELA CAPITAL	034	FMCN	B	21,500	21.76	n/a	n/a	860.00	4.0
f	CHRISTOPHER ROBERT C	FID	FOR	B	300	15.58	n/a	26-Aug	0.00	0.0
B	BUCK CAPITAL MGMT		GES	S	30,000	37.81	n/a	26-Aug	non-brg	4.0
	METROPOLITAN CAPITAL	044	GSM	S	14,500	13.09	n/a	n/a	725.00	5.0
	PZENA INV ADV	044	GS	B	2,125	151.95	n/a	15-Sep	74.40	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SOROS	036	HAL	S	50,000	30.68	n/a	n/a	2,000.00	4.0
B BUCK CAPITAL MGMT		HBI	B	40,000	25.80	n/a	11-Aug	non-brg	4.0
SCOPUS FUND	041	HBI	SS	25,000	25.77	n/a	11-Aug	1,250.00	5.0
CATAPULT	040	HON	B	25,000	43.86	n/a	18-Aug	1,250.00	5.0
SUFFOLK CAPITAL MGMT	040	HPQ	S	189,100	40.05	n/a	n/a	7,564.00	4.0
f JOSEPH CIRO AMATURO	FID	INTC	S	2000	18.90	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	IP	SS	50,000	23.40	n/a	26-Aug	2,500.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	S	25,000	23.46	n/a	26-Aug	1,250.00	5.0
KARSCH CAPITAL	034	IWM	SS	219,900	65.17	n/a	n/a	4,398.00	2.0
KACELA CAPITAL	034	JCG	SS	20,000	33.84	n/a	n/a	800.00	4.0
f CHRISTOPHER ROBERT C	FID	JCP	S	300	24.40	n/a	2-Sep	0.00	0.0
B BUCK CAPITAL MGMT		KCP	B	19,770	14.56	n/a	n/a	non-brg	2.5
JP MORGAN VENTURES	046	KR	B	10,000	21.64	n/a	n/a	500.00	5.0
GREEN ARROW DOUG	040	LIZ	S	25,000	5.44	n/a	7-Oct	1,250.00	5.0
f MANNY I KORMAN	FID	LNCR	S	150	0.85	n/a	n/a	0.00	0.0
CSFB GLOBAL PROPRIETARY	041	LPX	SS	26,659	7.42	n/a	26-Aug	667.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	LPX	S	13,341	7.48	n/a	26-Aug	1,335.00	0.0
GALT INVESTMENT	041	LULU	S	15,000	44.01	n/a	n/a	750.00	5.0
B BUCK CAPITAL MGMT		LVS	C	50,000	32.24	n/a	10-Sep	non-brg	4.0
B BUCK CAPITAL MGMT		MFB	S	10,000	28.83	n/a	n/a	non-brg	4.0
CATAPULT	040	MHK	B	5,000	49.23	n/a	n/a	250.00	5.0
HIGHFIELDS CAP MGMT	030	NG	B	100,000	8.72	n/a	n/a	5,000.00	5.0
f JOHN MICHAEL ZOLIDIS	FID	NKE	S	70	77.28	n/a	n/a	0.00	0.0
CATAPULT	040	NUE	SS	10,000	38.84	n/a	n/a	500.00	5.0
f ANTHONY SUTERA	FID	NWY	S	5000	2.30	n/a	n/a	0.00	0.0
CATAPULT	040	OMG	B	5,000	30.01	n/a	n/a	250.00	5.0
NICOLAS APPELEGATE	084	ORCL	B	201,400	26.91	n/a	n/a	4,028.00	2.0
ADALY INV MGMT	031	PAG	B	10,100	12.00	n/a	4-Aug	404.00	4.0
B BUCK CAPITAL MGMT		PIR	S	50,000	8.13	n/a	n/a	non-brg	3.0
MERRILL ASSET/BLACKROCK	266	PJC	B	9,600	30.00	n/a	n/a	384.00	4.0
B BUCK CAPITAL MGMT		PLCE	S	10,000	48.50	n/a	19-Aug	non-brg	4.0
B BUCK CAPITAL MGMT		PLCE	S	10,000	48.54	n/a	19-Aug	non-brg	0.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		PLCE	S	110,000	48.54	n/a	19-Aug	non-brg	2.5
f DAVID GEORGE BUCK	FID	PM	B	500	55.38	n/a	n/a	0.00	0.0
KACELA CAPITAL	034	PVH	B	17,000	58.16	n/a	9-Sep	680.00	4.0
PIONEER MICHAEL NOLAN	067	PWER	S	1,100	8.30	n/a	n/a	33.00	3.0
WADDELL AND REED	047	QCOM	B	636,950	42.62	n/a	n/a	25,478.00	4.0
GREEN ARROW DOUG	040	RL	SS	10,000	87.23	n/a	5-Aug	500.00	5.0
T. ROWE PRICE	033	RL	B	29,100	87.44	n/a	5-Aug	1,164.00	4.0
B BUCK CAPITAL MGMT		RUE	C	20,000	25.59	n/a	n/a	non-brg	2.5
COHE & STEERS	041	RYN	S	31,000	49.65	n/a	26-Aug	1,240.00	4.0
CATAPULT	040	SHLM	B	6,000	19.54	n/a	n/a	300.00	5.0
CATAPULT	040	SHW	SS	5,000	72.17	n/a	1-Sep	250.00	5.0
f CHRISTOPHER ROBERT C	FID	SKS	B	750	8.69	n/a	n/a	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	SKX	S	300	23.70	n/a	n/a	0.00	0.0
WAGONHOUND/NIC	289	SLM	S	11,050	11.74	n/a	17-Sep	442.00	4.0
f ANDREW SINCLAIR	FID	SPY	B	10	0.89	n/a	n/a	0.00	0.0
f ANDREW SINCLAIR	FID	SPY	S	60	0.30	n/a	n/a	0.00	0.0
GEORGE WEISS	034	SSCC	B	5,000	20.18	n/a	26-Aug	200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		SUP	S	6,300	16.99	n/a	16-Aug	non-brg	4.0
AVESTA CAP	229	TGT	S	50,000	53.82	n/a	2-Sep	1,500.00	3.0
SAGE ASSET MGMT	012	TIN	B	27,900	19.75	n/a	26-Aug	1,395.00	5.0
SIGMA CAPITAL ASSOCIATES	041	TLB	SS	50,000	11.56	n/a	n/a	1,750.00	3.5
SCOPUS FUND	041	TRW	B	6,500	36.13	n/a	n/a	325.00	5.0
B BUCK CAPITAL MGMT		TSCO	C	12,200	37.71	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		TSCO	C	7,800	37.68	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		UA	C	20,000	43.89	n/a	28-Jul	non-brg	4.0
NOMURA CAPITAL	029	WINN	S	5,156	6.96	n/a	n/a	154.68	3.0
SANDLER CAPITAL	226	WLT	B	25,000	80.21	n/a	n/a	1,500.00	6.0
f EDWARD W WHEELER	FID	WNC	B	5000	6.50	n/a	n/a	0.00	0.0
SOROS	036	WNR	C	75,000	5.02	n/a	n/a	2,250.00	3.0
ASCEND PARTNERS	033	WYNN	S	10,000	90.70	n/a	10-Sep	500.00	5.0
B BUCK CAPITAL MGMT		WYNN	SS	30,000	91.05	n/a	10-Sep	non-brg	4.0
KARSCH CAPITAL	034	XRT	C	150,000	40.38	n/a	n/a	3,000.00	2.0

TOTAL (Trade Date):

99,745.16

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	09/16	PARAMETER CAPITAL MGMT LLC	044	AMTD	SS	128,000	15.54	n/a	n/a	5120.00 4.0
AO,CXL	09/16	PARAMETER CAPITAL MGMT LLC	044	AMTD	SS	128,000	15.54	n/a	n/a	4480.00 3.5
AO,CRT	09/16	DAVIDSON KEMPNER ADVISOR	040	FCX	B	50,000	82.16	n/a	n/a	2500.00 5.0
AO,CXL	09/16	DAVIDSON KEMPNER ADVISOR	040	FCX	B	50,000	82.16	n/a	n/a	2500.00 5.0
AO,CXL	09/16	SCOPUS FUND	041	FINL	B	16,800	15.41	n/a	n/a	840.00 5.0
AO,CRT	09/16	SCOPUS FUND	041	FINL	B	16,800	15.41	n/a	n/a	840.00 5.0
AO,CXL	09/16	PARAMETER CAPITAL MGMT LLC	044	GS	SS	13,000	151.88	n/a	15-Sep	455.00 3.5
AO,CRT	09/16	PARAMETER CAPITAL MGMT LLC	044	GS	SS	13,000	151.88	n/a	15-Sep	520.00 4.0
AO,CRT	09/16	SCOPUS FUND	041	SKS	B	7,408	8.58	n/a	n/a	370.40 5.0
AO,CXL	09/16	SCOPUS FUND	041	SKS	B	7,408	8.58	n/a	n/a	370.40 5.0
AO,CXL	09/16	PARAMETER CAPITAL MGMT LLC	044	USB	SS	178,000	22.51	n/a	n/a	6230.00 3.5
AO,CRT	09/16	PARAMETER CAPITAL MGMT LLC	044	USB	SS	178,000	22.51	n/a	n/a	7120.00 4.0
AO,CRT	09/16	ONE EAST CAP ADV LP	048	YHOO	S	15,000	14.12	n/a	n/a	600.00 4.0
AO,CXL	09/16	ONE EAST CAP ADV LP	048	YHOO	S	15,000	14.12	n/a	n/a	0.00 0.0
TOTAL (AO, CXL, CRT) :										2,195.00

TOTAL (Trade Date):	99,745.16
TOTAL (AO, CXL, CRT):	2,195.00

TOTAL (RUN DATE) / NFS:

101,940.16

MRI Securities with Trade Activity on 17-Sep.
NONE

MRI Securities without Trade Activity on 17-Sep.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 0%
YTD = 11%

<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)