



# Daily Compliance Activity Report

Trade Date: 09/21/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRUSTCO/SUNTRUST	040	ACV	S	35,135	31.41	n/a	27-Jul	1,229.79	3.5
DSM CAPITAL PARTNERS	085	ADTN	B	27,575	34.62	n/a	n/a	1,378.75	5.0
BALYASNY ASSET MGMT	044	AEO	B	30,000	14.72	n/a	2-Sep	1,500.00	5.0
SAC CHICAGO ANDREW	031	AEO	B	10,000	14.76	n/a	2-Sep	350.00	3.5
ZIMMER LUCAS PARTNERS 10/14/03085	085	AGL	S	21,293	37.97	n/a	n/a	638.79	3.0
ENTRUST CAPITAL	040	ALC	S	10,000	29.63	n/a	n/a	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ARO</b>	<b>B</b>	<b>50,000</b>	<b>23.48</b>	<b>n/a</b>	<b>2-Sep</b>	<b>2,000.00</b>	<b>4.0</b>
SCOPUS FUND	041	ASH	B	10,000	45.32	n/a	17-Sep	500.00	5.0
CATAPULT	040	BAC	SS	25,000	13.97	n/a	15-Sep	1,250.00	5.0
GEORGE WEISS	034	BBBY	S	17,800	42.11	n/a	n/a	534.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>BC</b>	<b>C</b>	<b>20,000</b>	<b>14.82</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>BMLPRI</b>	<b>B</b>	<b>2500</b>	<b>23.34</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>BWA</b>	<b>S</b>	<b>100</b>	<b>1.10</b>	<b>n/a</b>	<b>2-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BWLD</b>	<b>S</b>	<b>20,000</b>	<b>47.86</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
MILLENIU SUB A/C NEW VERNON085	BZ		B	50,000	6.69	n/a	n/a	2,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	CAM	S	2,000	40.48	n/a	n/a	60.00	3.0
<b>f MICHAEL THOMAS NOLAN</b>	<b>FID</b>	<b>CMCSA</b>	<b>S</b>	<b>500</b>	<b>18.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PZENA INV ADV	044	CNW	B	63,989	29.69	n/a	n/a	2,239.68	3.5
EPOCH INV MGMT	030	COL	S	1,500	58.21	n/a	21-Jul	45.00	3.0
TRUSTCO/SUNTRUST	040	CSCO	S	17,310	21.52	n/a	n/a	605.89	3.5
NEWLAND CAPITAL MGT	067	CTV	B	10,000	22.71	n/a	n/a	400.00	4.0
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>CVGI</b>	<b>S</b>	<b>3230</b>	<b>10.58</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>C</b>	<b>B</b>	<b>10000</b>	<b>4.00</b>	<b>n/a</b>	<b>15-Sep</b>	<b>0.00</b>	<b>0.0</b>
SOROS	036	DAL	B	100,000	11.90	n/a	n/a	4,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>DEER</b>	<b>B</b>	<b>50,000</b>	<b>8.93</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
GRUSS CAPITAL	025	DEI	S	10,000	17.46	n/a	n/a	300.00	3.0
DAWSON SANBERG & CO	041	DRI	SS	7,400	44.02	n/a	21-Sep	370.00	5.0
ROSEDALE CAPITAL	046	EEP	S	7,262	53.54	n/a	n/a	363.10	5.0
GRUSS CAPITAL	025	EWA	B	2,000	23.37	n/a	n/a	60.00	3.0
GRUSS CAPITAL	025	EWH	B	4,000	17.55	n/a	n/a	120.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GRUSS CAPITAL	025	EWJ	B	20,000	9.82	n/a	n/a	600.00	3.0
GRUSS CAPITAL	025	EWT	B	5,000	13.24	n/a	n/a	150.00	3.0
DSM CAPITAL PARTNERS	085	FFIV	S	9,100	103.11	n/a	n/a	455.00	5.0
EPOCH INV MGMT	030	FIS	S	1,300	27.55	n/a	n/a	39.00	3.0
FOVEA CAPITAL MGMT	040	FL	SS	25,000	14.41	n/a	20-Aug	1,250.00	5.0
PARTNER REINSURANCE	033	FL	S	75,000	14.27	n/a	20-Aug	3,000.00	4.0
KACELA CAPITAL	034	FMCN	B	45,000	21.76	n/a	n/a	1,800.00	4.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>FOR</b>	<b>S</b>	<b>300</b>	<b>16.08</b>	<b>n/a</b>	<b>26-Aug</b>	<b>0.00</b>	<b>0.0</b>
EVERCORE WEALTH MGMT	012	FOR	B	33,450	15.98	n/a	26-Aug	1,338.00	4.0
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>FOR</b>	<b>S</b>	<b>2700</b>	<b>16.02</b>	<b>n/a</b>	<b>26-Aug</b>	<b>0.00</b>	<b>0.0</b>
GRUSS CAPITAL	025	FXI	B	2,000	42.24	n/a	n/a	60.00	3.0
OZ MGMT	040	F	C	75,000	12.74	n/a	2-Sep	2,250.00	3.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>GLW</b>	<b>B</b>	<b>10000</b>	<b>17.83</b>	<b>n/a</b>	<b>14-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>GLW</b>	<b>S</b>	<b>100</b>	<b>0.66</b>	<b>n/a</b>	<b>14-Sep</b>	<b>0.00</b>	<b>0.0</b>
EPOCH INV MGMT	030	GPC	S	1,450	44.15	n/a	n/a	43.50	3.0
BALYASNY ASSET MGMT	044	GPS	SS	15,000	18.76	n/a	n/a	750.00	5.0
M&I FUNDS	047	IGT	B	30,000	15.13	n/a	28-Jul	1,200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MILLRACE FUND LP	028	IN	SS	5,000	12.01	n/a	n/a	200.00	4.0
WHITE PINE CAPITAL	030	IWO	SS	3,000	73.56	n/a	n/a	150.00	5.0
WHITE PINE CAPITAL	030	IWV	SS	4,500	67.50	n/a	n/a	225.00	5.0
GRUSS CAPITAL	025	IYR	B	7,000	54.66	n/a	n/a	210.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCG</b>	<b>S</b>	<b>70,000</b>	<b>33.16</b>	<b>n/a</b>	<b>n/a</b>	<b>2,800.00</b>	<b>4.0</b>
WHITE PINE CAPITAL	030	JCP	B	1,050	24.60	n/a	2-Sep	52.50	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>KCP</b>	<b>S</b>	<b>40,000</b>	<b>15.90</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
PZENA INV ADV	044	KEY	B	122,400	8.25	n/a	n/a	4,284.02	3.5
GEORGE WEISS	034	KSS	B	14,500	51.66	n/a	2-Sep	580.00	4.0
<b>f MAY Y TANG</b>	<b>FID</b>	<b>KSS</b>	<b>S</b>	<b>100</b>	<b>51.40</b>	<b>n/a</b>	<b>2-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>LEN</b>	<b>S</b>	<b>34,000</b>	<b>15.15</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>LEN</b>	<b>B</b>	<b>6</b>	<b>0.54</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>LEN</b>	<b>S</b>	<b>2</b>	<b>1.61</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>LNCR</b>	<b>S</b>	<b>2000</b>	<b>24.45</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PIONEER PATH	226	LOW	SS	20,000	21.66	n/a	16-Aug	600.00	3.0
SAC CHICAGO ANDREW	031	LOW	SS	10,000	21.66	n/a	16-Aug	350.00	3.5
BALYASNY ASSET MGMT	044	LTD	S	10,000	26.42	n/a	n/a	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		MDC	S	19,000	29.84	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	MFB	S	10,000	29.44	n/a	n/a	400.00	4.0
TRUSTCO/SUNTRUST	040	MSFT	B	82,650	25.23	n/a	n/a	2,892.75	3.5
WHITE PINE CAPITAL	030	MSFT	B	4,675	25.25	n/a	n/a	233.75	5.0
CATAPULT	040	MS	B	10,000	26.65	n/a	15-Sep	500.00	5.0
WHITE PINE CAPITAL	030	MS	B	2,225	26.53	n/a	15-Sep	111.25	5.0
WHITE PINE CAPITAL	030	MYGN	B	2,100	16.48	n/a	n/a	105.00	5.0
SIGMA CAPITAL ASSOCIATES	041	M	SS	50,000	21.92	n/a	2-Sep	1,750.00	3.5
SOROS	036	M	S	125,000	21.78	n/a	2-Sep	5,000.00	4.0
WHITE PINE CAPITAL	030	NOK	B	4,800	9.83	n/a	n/a	240.00	5.0
JP MORGAN VENTURES	046	NWL	B	20,000	17.53	n/a	n/a	1,000.00	5.0
EPOCH INV MGMT	030	NYX	S	3,450	29.30	n/a	n/a	103.50	3.0
WHITE PINE CAPITAL	030	OMX	B	1,975	12.74	n/a	n/a	98.75	5.0
TRELLUS PARTNERS LP	028	PAG	B	10,000	12.34	n/a	4-Aug	500.00	5.0
ZIMMER LUCAS PARTNERS	10/14/03085	PCG	S	6,945	45.22	n/a	n/a	208.35	3.0
B BUCK CAPITAL MGMT		PHM	S	75,000	8.61	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		PLCE	S	50,000	48.88	n/a	19-Aug	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	PRU	S	2,300	55.97	n/a	n/a	69.00	3.0
BALYASNY ASSET MGMT	044	PVH	S	10,000	58.85	n/a	9-Sep	500.00	5.0
WHITE PINE CAPITAL	030	RFMD	B	5,500	5.72	n/a	n/a	275.00	5.0
GEORGE WEISS	034	ROST	SS	500	53.65	n/a	n/a	15.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>RUE</b>	<b>C</b>	<b>20,000</b>	<b>26.69</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>B BUCK CAPITAL MGMT</b>		<b>RUE</b>	<b>C</b>	<b>20,000</b>	<b>26.93</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>S</b>	<b>51,000</b>	<b>17.55</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
GREEN ARROW DOUG	040	SBUX	SS	50,000	26.16	n/a	22-Jul	2,500.00	5.0
WEISS PECK	040	SCVL	S	9,722	19.28	n/a	n/a	486.10	5.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>SDRL</b>	<b>B</b>	<b>300</b>	<b>26.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
JP MORGAN VENTURES	046	SFE	S	20,000	12.20	n/a	n/a	1,000.00	5.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>SFI</b>	<b>S</b>	<b>750</b>	<b>3.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FARALLON CAP MGMT	040	SFUN	S	7,995	70.26	n/a	n/a	319.80	4.0
WHITE PINE CAPITAL	030	SGMS	B	4,100	10.35	n/a	n/a	205.00	5.0
NEWLAND CAPITAL MGT	067	SHW	B	5,000	75.03	n/a	1-Sep	200.00	4.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>SKS</b>	<b>S</b>	<b>750</b>	<b>8.79</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.	
COOPER CREEK PART	028	SKX	B	15,000	23.32	n/a	n/a	600.00	4.0
COBALT	041	SLM	B	100,000	12.12	n/a	17-Sep	5,000.00	5.0
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>SOLR</b>	<b>S</b>	<b>10000</b>	<b>7.91</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TALKOT CAPITAL LLC	084	SSCC	S	10,000	19.30	n/a	20-Sep	400.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>SUP</b>	<b>S</b>	<b>4,602</b>	<b>17.23</b>	<b>n/a</b>	<b>16-Aug</b>	<b>non-brg</b>	<b>4.0</b>
ARMATURE CAPITAL	041	TEN	B	20,000	28.57	n/a	n/a	800.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>TRLG</b>	<b>C</b>	<b>30,000</b>	<b>20.89</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
EPOCH INV MGMT	030	TRV	S	1,100	53.12	n/a	n/a	33.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>TSCO</b>	<b>C</b>	<b>20,000</b>	<b>38.90</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
GEORGE WEISS	034	TSCO	S	7,600	38.96	n/a	n/a	228.00	3.0
DIAMONDBACK CAP MGMT	232	T	S	100,000	28.98	n/a	n/a	5,000.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>UAUA</b>	<b>S</b>	<b>15,400</b>	<b>23.21</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>UNG</b>	<b>B</b>	<b>2500</b>	<b>6.59</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>USG</b>	<b>B</b>	<b>150</b>	<b>13.95</b>	<b>n/a</b>	<b>26-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>V</b>	<b>B</b>	<b>2000</b>	<b>70.29</b>	<b>n/a</b>	<b>14-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>WERN</b>	<b>S</b>	<b>200</b>	<b>21.05</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.	
FARALLON CAP MGMT	040	WHR	B	120,700	79.95	n/a	n/a	4,828.00	4.0
NEUSTRADA CAP LLC	085	WHR	B	25,000	79.66	n/a	n/a	1,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WSM</b>	<b>B</b>	<b>40,000</b>	<b>30.95</b>	<b>n/a</b>	<b>n/a</b>	<b>1,600.00</b>	<b>4.0</b>
SYSTEMATIC FINANCIAL MGT	035	WSM	S	20,000	30.69	n/a	n/a	600.00	3.0
DIAMONDBACK CAP MGMT	232	XLF	C	200,000	14.95	n/a	n/a	6,000.00	3.0
DIAMONDBACK CAP MGMT	232	XLF	SS	200,000	14.90	n/a	n/a	6,000.00	3.0
EPOCH INV MGMT	030	YHOO	S	5,150	14.06	n/a	n/a	154.50	3.0
<b>TOTAL (Trade Date):</b>								<b>94,288.77</b>	



**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/20	FARALLON CAP MGMT	040	DTV	S	170,000	41.65	n/a	n/a	6800.00 4.0
AO,	09/20	ENTRUST CAPITAL	040	IR	B	56,600	35.71	n/a	26-Jul	2830.00 5.0
AO,CRT	09/20	ONE EAST CAP ADV LP	048	KKR	S	10,000	10.11	n/a	n/a	400.00 4.0
AO,CXL	09/20	ONE EAST CAP ADV LP	048	KKR	S	10,000	10.11	n/a	n/a	500.00 5.0
AO,CRT	09/20	M&I FUNDS	047	LTD	S	21,022	26.83	n/a	n/a	840.88 4.0
AO,CXL	09/20	M&I FUNDS	047	LTD	S	21,022	26.83	n/a	n/a	840.88 4.0
AO,	09/20	COLUMBUS CIRCLE	036	STRI	S	24,023	20.96	n/a	n/a	960.92 4.0

---

<b>TOTAL (AO, CXL, CRT) :</b>	<b>10,490.92</b>
-------------------------------	------------------

---

---

TOTAL (Trade Date) :	94,288.77
----------------------	-----------

TOTAL (AO, CXL, CRT) :	10,490.92
------------------------	-----------

---

<b>TOTAL (RUN DATE) / NFS:</b>	<b>104,779.69</b>
--------------------------------	-------------------

---

MRI Securities with Trade Activity on 21-Sep. NONE
---

  

--

MRI Securities without Trade Activity on 21-Sep.  
NONE

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 29%  
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)**