



Daily Compliance Activity Report

Trade Date: 10/20/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|---------------------------------|------------|--------------|----------|---------------|--------------|------------|---------------|----------------|------------|
| f MARC PAUL LUCHANSKY | FID | AEGFX | B | 281 | 35.59 | n/a | n/a | 0.00 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | AEMGX | B | 291 | 16.48 | n/a | n/a | 0.00 | 0.0 |
| f MICHAEL MARRANO | FID | AEMGX | B | 79 | 16.48 | n/a | n/a | 0.00 | 0.0 |
| SANDLER O'NEILL ASSET | 031 | AF | B | 52,000 | 7.95 | n/a | 20-Oct | 1,560.00 | 3.0 |
| ROTHSCHILD ASSET | 040 | AIT | S | 10,000 | 30.57 | n/a | n/a | 400.00 | 4.0 |
| CATAPULT | 040 | ALB | B | 5,000 | 45.56 | n/a | n/a | 200.00 | 4.0 |
| LATEFF MGMT | 035 | ALL | B | 875 | 26.24 | n/a | n/a | 87.50 | 10.0 |
| B BUCK CAPITAL MGMT | | ANF | S | 50,000 | 68.37 | n/a | 18-Aug | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | ANN | S | 50,000 | 25.14 | n/a | n/a | non-brg | 4.0 |
| DEVENNY CAP LLC | 044 | AN | B | 10,000 | 37.64 | n/a | 19-Oct | 300.00 | 3.0 |
| SENATOR INVESTMENT GROUP | 036 | AOS | B | 12,500 | 32.83 | n/a | 18-Aug | 375.00 | 3.0 |
| FARBER/WEISS PECK | 085 | ARCO | B | 55,000 | 22.07 | n/a | 17-Oct | 2,200.00 | 4.0 |
| UNICOM CAPITAL | 033 | ARCO | B | 12,500 | 22.00 | n/a | 17-Oct | 625.00 | 5.0 |
| WEDBUSH/PACIFIC GROWTH EQTY LLC | 084 | ARCO | B | 10,000 | 21.94 | | n/a 17-Oct | 500.00 | 5.0 |
| ROTHSCHILD ASSET | 040 | ARE | B | 1,183 | 64.80 | n/a | n/a | 47.32 | 4.0 |
| B BUCK CAPITAL MGMT | | ASNA | S | 50,000 | 27.61 | n/a | n/a | non-brg | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|------------------------------|------------|--------------------|-----------|----------------|--------------|------------|---------------|----------------|--------------|
| B BUCK CAPITAL MGMT | | AVP | SS | 100,000 | 22.42 | n/a | 29-Jul | non-brg | 4.0 |
| FORTRESS INVESTMENT (US) | 036 | AXP | B | 25,000 | 45.39 | n/a | 19-Oct | 1,000.00 | 4.0 |
| LATEFF MGMT | 035 | BBT | B | 200 | 22.54 | n/a | n/a | 40.00 | 20.0 |
| B BUCK CAPITAL MGMT | | BID | S | 30,000 | 30.41 | n/a | n/a | non-brg | 2.0 |
| B BUCK CAPITAL MGMT | | BID | S | 30,000 | 30.41 | n/a | n/a | non-brg | 2.0 |
| B BUCK CAPITAL MGMT | | BID | S | 70,000 | 30.24 | n/a | n/a | non-brg | 2.5 |
| B BUCK CAPITAL MGMT | | BID | S | 70,000 | 30.24 | n/a | n/a | non-brg | 2.5 |
| MACQUARIE INVESTMENT MGMT. | 040 | BIG | B | 5,000 | 36.67 | n/a | 25-Aug | 0.00 | 0.0 |
| BRANDWINE | 028 | BK | B | 594,600 | 20.12 | n/a | 19-Oct | 23,784.00 | 4.0 |
| BARON ASSET MGMT* | 085 | CAKE | B | 95,000 | 25.94 | n/a | 20-Oct | 3,800.00 | 4.0 |
| CRAMER ROSENTHAL/SCOTT | 070 | CBE | S | 43,300 | 50.99 | n/a | 16-Sep | 1,732.00 | 4.0 |
| MERRILL ASSET/BLACKROCK | 297 | CBG | B | 25,000 | 14.33 | n/a | n/a | 1,000.00 | 4.0 |
| WEINTRAUB CAPITAL MGT. | 040 | CHS | B | 50,000 | 12.01 | n/a | 5-Feb | 2,000.00 | 4.0 |
| f MARC PAUL LUCHANSKY | FID | CIVVX | S | 339 | 11.08 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | CMG 10 P295 | SS | 300 | 4.90 | n/a | n/a | non-brg | 300.0 |
| f MARC PAUL LUCHANSKY | FID | CRSOX | B | 1102 | 8.35 | n/a | n/a | 0.00 | 0.0 |
| STANDARD PACIFIC CAPITAL | 084 | CVS | S | 100,000 | 34.60 | n/a | n/a | 5,000.00 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------------------------------|------------|--------------|----------|----------------|--------------|------------|------------|----------------|------------|
| NEUBERGER BERMAN | 036 | CYMI | S | 27,600 | 42.41 | n/a | n/a | 1,104.00 | 4.0 |
| B BUCK CAPITAL MGMT | | DDS | S | 100,000 | 49.88 | n/a | n/a | non-brg | 4.0 |
| SASCO | 033 | EP | S | 37,300 | 24.82 | n/a | n/a | 1,492.00 | 4.0 |
| B BUCK CAPITAL MGMT | | EXPR | S | 20,000 | 21.75 | n/a | n/a | non-brg | 4.0 |
| f MARC PAUL LUCHANSKY | FID | EXWAX | B | 1342 | 7.45 | n/a | n/a | 0.00 | 0.0 |
| SASCO | 033 | FBHS | B | 11,200 | 15.04 | n/a | n/a | 448.00 | 4.0 |
| f MARC PAUL LUCHANSKY | FID | FDGFX | S | 155 | 25.24 | n/a | n/a | 0.00 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | FHEIX | B | 256 | 15.63 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | FITB | S | 50,000 | 11.44 | n/a | n/a | non-brg | 4.0 |
| f MARC PAUL LUCHANSKY | FID | FIVFX | S | 746 | 11.19 | n/a | n/a | 0.00 | 0.0 |
| LATEFF MGMT | 035 | FMER | B | 1,000 | 12.69 | n/a | n/a | 100.00 | 10.0 |
| f MARC PAUL LUCHANSKY | FID | FRESX | S | 150 | 25.24 | n/a | n/a | 0.00 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | FXI | S | 120 | 32.78 | n/a | n/a | 0.00 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | GIESX | S | 381 | 9.71 | n/a | n/a | 0.00 | 0.0 |
| LATEFF MGMT | 035 | GLW | B | 750 | 13.21 | n/a | 23-Sep | 75.00 | 10.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---------------------------------|------------|---------------------------|-----------|---------------|--------------|------------|----------------|----------------|------------|
| f KAREN F LEDDY | FID | GMCR | B | 100 | 67.00 | n/a | n/a | 0.00 | 0.0 |
| DEVENNY CAP LLC | 044 | GNTX | B | 16,100 | 27.54 | n/a | 19-Oct | 483.00 | 3.0 |
| WEDBUSH/PACIFIC GROWTH EQTY LLC | 084 | HAR | SS | 10,000 | 34.96 | | n/a 3-Feb | 500.00 | 5.0 |
| B BUCK CAPITAL MGMT | | HBI | S | 60,000 | 25.69 | n/a | 21-Jul | non-brg | 4.0 |
| &HOFFMAN | 014 | HELM CAPITAL GROUP | S | 35,700 | 0.00 | | n/a n/a | 0.00 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | HRINX | B | 113 | 53.09 | n/a | n/a | 0.00 | 0.0 |
| M&I FUNDS | 047 | HRS | S | 53,852 | 36.21 | n/a | 17-Oct | 2,154.08 | 4.0 |
| f MARC PAUL LUCHANSKY | FID | IGLAX | S | 356 | 14.82 | n/a | n/a | 0.00 | 0.0 |
| LATEFF MGMT | 035 | INTC | S | 300 | 23.74 | n/a | n/a | 45.00 | 15.0 |
| ELM RIDGE ADVISORS | 044 | IP | S | 471,000 | 25.60 | n/a | 17-Oct | 18,840.00 | 4.0 |
| HOPLITE MGMT | 025 | ITUB | C | 100,000 | 17.68 | n/a | n/a | 4,000.00 | 4.0 |
| B BUCK CAPITAL MGMT | | JCP | SS | 50,000 | 30.79 | n/a | 13-Oct | non-brg | 4.0 |
| OHIO PERS | 047 | JNPR | B | 110,000 | 20.55 | n/a | n/a | 3,300.00 | 3.0 |
| f KAREN F LEDDY | FID | KBH | B | 1500 | 7.10 | n/a | n/a | 0.00 | 0.0 |
| LATEFF MGMT | 035 | KFT | S | 450 | 35.12 | n/a | n/a | 90.00 | 20.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------------------------------|------------|----------------|-----------|----------------|---------------|------------|--------------|----------------|-------------|
| LATEFF MGMT | 035 | KMB | S | 200 | 71.88 | n/a | 25-Jul | 50.00 | 25.0 |
| B BUCK CAPITAL MGMT | | KSS | SS | 100,000 | 52.03 | n/a | 7-Oct | non-brg | 4.0 |
| BALLAST CAP | 040 | LKQX | S | 20,000 | 26.92 | n/a | n/a | 1,000.00 | 5.0 |
| f MARC PAUL LUCHANSKY | FID | MDIDX | S | 562 | 12.40 | n/a | n/a | 0.00 | 0.0 |
| OZ MGMT | 040 | MGA | C | 116,380 | 35.79 | n/a | n/a | 3,491.40 | 3.0 |
| f MARC PAUL LUCHANSKY | FID | MNDAX | B | 193 | 21.28 | n/a | n/a | 0.00 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | MRLBX | B | 514 | 7.78 | n/a | n/a | 0.00 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | MRSAX | S | 681 | 13.87 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | MSMSBCM | C | 40,000 | 91.91 | n/a | n/a | non-brg | 7.4 |
| B BUCK CAPITAL MGMT | | MSMSBCM | SS | 220,000 | 91.26 | n/a | n/a | non-brg | 7.3 |
| SANDLER O'NEILL ASSET | 031 | MS | B | 50,000 | 16.59 | n/a | 19-Oct | 2,500.00 | 5.0 |
| B BUCK CAPITAL MGMT | | MVRX | SS | 77,100 | 212.68 | n/a | n/a | non-brg | 17.0 |
| SYSTEMATIC FINANCIAL MGT | 035 | M | S | 325,600 | 29.35 | n/a | 7-Oct | 9,768.00 | 3.0 |
| OSKIE CAPITAL MGMT | 224 | NTRS | SS | 17,000 | 37.61 | n/a | 19-Oct | 850.00 | 5.0 |
| LATEFF MGMT | 035 | NUE | S | 400 | 35.95 | n/a | n/a | 88.00 | 22.0 |
| B BUCK CAPITAL MGMT | | NWY | S | 4,110 | 2.95 | n/a | n/a | non-brg | 0.8 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------------------------------|------------|--------------|-----------|---------------|---------------|------------|---------------|----------------|------------|
| LATEFF MGMT | 035 | NYB | S | 250 | 12.19 | n/a | 19-Oct | 30.00 | 12.0 |
| f MARC PAUL LUCHANSKY | FID | OAKIX | B | 533 | 16.88 | n/a | n/a | 0.00 | 0.0 |
| NEUBERGER BERMAN | 036 | OHI | B | 2,622 | 16.80 | n/a | n/a | 104.88 | 4.0 |
| f MICHAEL MARRANO | FID | PAIBX | B | 39 | 10.17 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | PCAR | S | 10,000 | 40.28 | n/a | 14-Sep | non-brg | 4.0 |
| f MARC PAUL LUCHANSKY | FID | PCRRX | S | 1147 | 7.48 | n/a | n/a | 0.00 | 0.0 |
| NEUBERGER BERMAN | 036 | PENN | S | 35,100 | 36.93 | n/a | n/a | 1,404.00 | 4.0 |
| KACELA CAPITAL | 034 | PG | B | 10,000 | 65.06 | n/a | 10-Oct | 400.00 | 4.0 |
| B BUCK CAPITAL MGMT | | PH | SS | 10,000 | 76.63 | n/a | 19-Oct | non-brg | 1.0 |
| B BUCK CAPITAL MGMT | | PLCE | S | 30,000 | 44.82 | n/a | 18-Aug | non-brg | 4.0 |
| f MARC PAUL LUCHANSKY | FID | PRFSX | S | 281 | 5.61 | n/a | n/a | 0.00 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | PRITX | S | 673 | 12.65 | n/a | n/a | 0.00 | 0.0 |
| LIONEYE CAPITAL | 040 | PSS | B | 8,500 | 14.45 | n/a | n/a | 425.00 | 5.0 |
| MERRILL ASSET/BLACKROCK | 297 | RLI | S | 1,600 | 69.16 | n/a | n/a | 64.00 | 4.0 |
| B BUCK CAPITAL MGMT | | RL | SS | 25,000 | 144.27 | n/a | 11-Aug | non-brg | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|-----|--------|-----|---------|--------|-----|----------|-------------|------|
| ⌘ BUCK CAPITAL MGMT | | RL | SS | 25,000 | 144.27 | n/a | 11-Aug | non-brg | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | RRR | S | 50,000 | 10.20 | n/a | 14-Sep | non-brg | 4.0 |
| LATEFF MGMT | 035 | SFG | S | 250 | 30.35 | n/a | n/a | 50.00 | 20.0 |
| ⌘ BUCK CAPITAL MGMT | | SHOO | B | 10,000 | 32.42 | n/a | n/a | non-brg | 4.0 |
| FORTRESS INVESTMENT (US) | 036 | SLM | S | 60,000 | 13.24 | n/a | 20-Oct | 1,800.00 | 3.0 |
| f MARC PAUL LUCHANSKY | FID | SPHIX | B | 351 | 8.54 | n/a | n/a | 0.00 | 0.0 |
| f JONATHAN RICHARD HAR | FID | SRI | B | 2250 | 6.52 | n/a | n/a | 0.00 | 0.0 |
| f KAREN F LEDDY | FID | SRI | B | 1500 | 6.57 | n/a | n/a | 0.00 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | SSAIX | B | 457 | 8.75 | n/a | n/a | 0.00 | 0.0 |
| ⌘ BUCK CAPITAL MGMT | | SWFT | S | 100,000 | 8.74 | n/a | n/a | non-brg | 3.0 |
| ROTHSCHILD ASSET | 040 | SXCI | B | 853 | 55.30 | n/a | n/a | 34.12 | 4.0 |
| LATEFF MGMT | 035 | SYT | S | 600 | 26.37 | n/a | n/a | 78.00 | 13.0 |
| LATEFF MGMT | 035 | TEVA | B | 200 | 38.60 | n/a | 17-Oct | 60.00 | 30.0 |
| f MARC PAUL LUCHANSKY | FID | TPINX | S | 339 | 12.92 | n/a | n/a | 0.00 | 0.0 |
| f MICHAEL MARRANO | FID | TPINX | S | 65 | 12.92 | n/a | n/a | 0.00 | 0.0 |
| LATEFF MGMT | 035 | TRV | S | 125 | 54.49 | n/a | n/a | 37.50 | 30.0 |
| NEW JERSEY DIV OF INV. | 030 | TXT | S | 150,000 | 18.46 | n/a | n/a | 6,000.00 | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------------------------------|------------|--------------|----------|---------------|---------------|------------|-------------------|----------------|------------|
| f MANNY I KORMAN | FID | TZA | B | 5000 | 40.38 | n/a | n/a | 0.00 | 0.0 |
| BALLAST CAP | 040 | UNP | B | 4,500 | 94.46 | n/a | n/a | 225.00 | 5.0 |
| MERRILL ASSET/BLACKROCK | 297 | UPL | B | 11,900 | 30.09 | n/a | 12-Oct | 476.00 | 4.0 |
| SONTERRA CAP | 041 | VALE | SS | 50,000 | 22.14 | n/a | n/a | 2,000.00 | 4.0 |
| f MARC PAUL LUCHANSKY | FID | WBIGX | B | 313 | 18.85 | n/a | n/a | 0.00 | 0.0 |
| ROTHSCHILD ASSET | 040 | WDC | S | 4,993 | 24.52 | n/a | n/a | 199.72 | 4.0 |
| LATEFF MGMT | 035 | WMT | S | 150 | 56.50 | n/a | 13-Oct | 42.00 | 28.0 |
| BALLAST CAP | 040 | WSO | B | 1,700 | 57.81 | n/a | n/a | 85.00 | 5.0 |
| B BUCK CAPITAL MGMT | | WYNN | C | 30,000 | 121.31 | n/a | 13-Jun | non-brg | 4.0 |
| f BARBARA S LEDDY | FID | XPO | B | 500 | 9.97 | n/a | n/a | 0.00 | 0.0 |
| f KAREN F LEDDY | FID | XPO | B | 707 | 10.08 | n/a | n/a | 0.00 | 0.0 |
| MACQUARIE INVESTMENT MGMT. | 040 | YUM | SS | 5,000 | 51.70 | n/a | 5-Oct | 0.00 | 0.0 |
| TOTAL (Trade Date) : | | | | | | | 108,544.52 | | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI Research | Comm.¢/Shr. |
|------|------|---------|------|--------|-----|--------|-------|--------------|-------------|
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|-----------------------|--|--|--|--|--|--|--|--|------|
| TOTAL (AO, CXL, CRT): | | | | | | | | | 0.00 |
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| TOTAL (Trade Date): | | | | | | | | | 108,544.52 |
|---------------------|--|--|--|--|--|--|--|--|------------|

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|-----------------------|--|--|--|--|--|--|--|--|------|
| TOTAL (AO, CXL, CRT): | | | | | | | | | 0.00 |
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| TOTAL (RUN DATE) / NFS: | | | | | | | | | 108,544.52 |
|-------------------------|--|--|--|--|--|--|--|--|------------|

BCM Cancel/Corrects and As-Of Trades

| Type | Date | Account | Symbol | B/S | Shares | Price | MRI Research | Comm.¢/Shr. |
|------|------|---------|--------|-----|--------|-------|--------------|-------------|
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MRI Securities with Trade Activity on 20-Oct.
NONE

MRI Securities without Trade Activity on 20-Oct.
DPZ

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 0%
YTD = 2%

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)