



# Daily Compliance Activity Report

Trade Date: 12/02/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>ABC</b>	<b>B</b>	<b>8000</b>	<b>31.81</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MILLRACE FUND LP	028	ANF	S	5,000	54.84	n/a	30-Nov	200.00	4.0
SNYDER CAPITAL	033	ANR	S	121,595	53.07	n/a	n/a	4,863.80	4.0
LAGRANGE CAP ADV	048	AN	SS	15,000	27.00	n/a	29-Oct	750.00	5.0
PATTEN & PATTEN	067	APD	S	100	88.59	n/a	26-Nov	5.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ARO</b>	<b>S</b>	<b>426,209</b>	<b>23.68</b>	<b>n/a</b>	<b>2-Dec</b>	<b>17,048.36</b>	<b>4.0</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>ATD LN</b>	<b>S</b>	<b>10000</b>	<b>0.18</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SIGMA CAP BOBBY	044	AVY	SS	20,000	39.67	n/a	27-Oct	700.00	3.5
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>AXL</b>	<b>S</b>	<b>1000</b>	<b>10.95</b>	<b>n/a</b>	<b>1-Nov</b>	<b>0.00</b>	<b>0.0</b>
BAIRD INVESTMENT	047	A	B	15,325	36.80	n/a	n/a	766.25	5.0
LEVIN CAPITAL STRATEGIES	012	BEC	B	10,000	56.16	n/a	n/a	300.00	3.0
MILLRACE FUND LP	028	BIG	B	7,000	30.92	n/a	1-Dec	280.00	4.0
TALKOT CAPITAL LLC	084	BIG	S	15,000	30.96	n/a	1-Dec	450.00	3.0
<b>f FRANCIS MICHAEL MCCA</b>	<b>FID</b>	<b>BKI</b>	<b>B</b>	<b>500</b>	<b>20.27</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>BLDR</b>	<b>B</b>	<b>1000</b>	<b>1.61</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.	
<b>f JOHN MICHAEL ZOLIDIS</b>	<b>FID</b>	<b>BODY</b>	<b>S</b>	<b>1000</b>	<b>13.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FIRST NEW YORK LEDDY	035	BSX	B	20,000	6.61	n/a	n/a	800.00	4.0
<b>Õ Nilsa Vazquez</b>		<b>BZH</b>	<b>B</b>	<b>2000</b>	<b>4.67</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WEINTRAUB CAPITAL MGT.	040	CB	SS	60,000	58.26	n/a	n/a	2,400.00	4.0
MERRILL ASSET/BLACKROCK	266	CRR	S	4,700	100.01	n/a	2-Dec	188.00	4.0
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>CSCO</b>	<b>B</b>	<b>2000</b>	<b>19.34</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>CS</b>	<b>B</b>	<b>2000</b>	<b>39.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TALKOT CAPITAL LLC	084	CVGI	B	12,500	15.30	n/a	n/a	375.00	3.0
IVORY CAPITAL	034	C	S	250,000	4.36	n/a	18-Nov	5,000.00	2.0
<b>f ABRAM M CHAPPELL</b>	<b>FID</b>	<b>DAL</b>	<b>S</b>	<b>175</b>	<b>13.63</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
METROPOLITAN CAPITAL	044	DAN	S	33,900	16.01	n/a	29-Oct	1,695.00	5.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>DECK</b>	<b>B</b>	<b>50</b>	<b>78.79</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>DPZ</b>	<b>B</b>	<b>5000</b>	<b>14.90</b>	<b>n/a</b>	<b>29-Nov</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARY CATHERI MADIGA</b>	<b>FID</b>	<b>DPZ</b>	<b>S</b>	<b>430</b>	<b>14.90</b>	<b>n/a</b>	<b>29-Nov</b>	<b>0.00</b>	<b>0.0</b>
SURSUM CAPITAL	215	DPZ	B	25,000	14.95	n/a	29-Nov	750.00	3.0
M&I FUNDS	047	DTV	B	25,000	41.07	n/a	n/a	1,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	ETN	S	100	99.64	n/a	15-Nov	5.00	5.0
<b>f JOHN MICHAEL ZOLIDIS</b>	<b>FID</b>	<b>EXPR</b>	<b>B</b>	<b>700</b>	<b>15.72</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CENTURION PARTNERS	041	FL	S	15,000	19.04	n/a	19-Nov	600.00	4.0
<b>f MARY CATHERI MADIGA</b>	<b>FID</b>	<b>F</b>	<b>S</b>	<b>500</b>	<b>16.81</b>	<b>n/a</b>	<b>2-Dec</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GCO</b>	<b>S</b>	<b>10,000</b>	<b>39.29</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
PATTEN & PATTEN	067	GD	S	100	67.95	n/a	29-Oct	5.00	5.0
KADE CAPITAL LLC	028	GIL	S	17,500	29.14	n/a	18-Oct	875.00	5.0
SURSUM CAPITAL	215	GIL	B	25,000	29.08	n/a	18-Oct	750.00	3.0
<b>f WILLIAM WEINBERG</b>	<b>FID</b>	<b>GLD</b>	<b>B</b>	<b>500</b>	<b>135.28</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SIGMA CAP BOBBY	044	GM	B	20,000	34.67	n/a	1-Feb	700.00	3.5
SAC COHEN	044	GPS	B	500,000	21.49	n/a	n/a	17,500.00	3.5
SIGMA CAP BOBBY	044	GPS	B	30,000	21.71	n/a	n/a	1,050.00	3.5
SIGMA CAPITAL ASSOCIATES	041	GPS	B	50,000	21.50	n/a	n/a	1,750.00	3.5
<b>LISTED ERR</b>	<b>099</b>	<b>GVA</b>	<b>B</b>	<b>10</b>	<b>27.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SURSUM CAPITAL	215	HBI	B	20,000	27.27	n/a	28-Oct	600.00	3.0
SURSUM CAPITAL	215	HGG	B	20,000	25.51	n/a	n/a	600.00	3.0
SIGMA CAP BOBBY	044	HTZ	B	25,000	12.94	n/a	n/a	875.00	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	IEF	S	100	95.93	n/a	n/a	5.00	5.0
ELM RIDGE ADVISORS	044	IP	S	182,200	25.87	n/a	27-Oct	7,288.00	4.0
BERMAN CAPITAL MGMT	046	JCP	B	20,000	34.83	n/a	30-Nov	600.00	3.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>JKS</b>	<b>S</b>	<b>500</b>	<b>22.78</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DELTEC ASSET MGMT.	040	JNY	B	10,000	14.00	n/a	28-Oct	500.00	5.0
SURSUM CAPITAL	215	JNY	B	11,500	14.00	n/a	28-Oct	345.00	3.0
DELTEC ASSET MGMT.	040	JWN	B	5,000	42.20	n/a	30-Nov	250.00	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>KFY</b>	<b>S</b>	<b>15,386</b>	<b>17.56</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	067	KMB	B	100	61.64	n/a	27-Oct	5.00	5.0
PATTEN & PATTEN	067	LAZ	S	23,000	37.48	n/a	12-Nov	1,150.00	5.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>LIVE</b>	<b>S</b>	<b>2</b>	<b>7.85</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>LIZ</b>	<b>B</b>	<b>5000</b>	<b>7.71</b>	<b>n/a</b>	<b>7-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>LIZ</b>	<b>B</b>	<b>1100</b>	<b>7.68</b>	<b>n/a</b>	<b>7-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARK ANTHONY GRONET</b>	<b>FID</b>	<b>LIZ</b>	<b>B</b>	<b>2000</b>	<b>7.69</b>	<b>n/a</b>	<b>7-Oct</b>	<b>0.00</b>	<b>0.0</b>
TYEE/TYGH	035	LKQX	S	50,000	22.06	n/a	n/a	2,000.00	4.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>LPX</b>	<b>S</b>	<b>500</b>	<b>8.83</b>	<b>n/a</b>	<b>8-Nov</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>MHS</b>	<b>B</b>	<b>1000</b>	<b>63.54</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.	
SIGMA CAP BOBBY	044	MMM	SS	20,000	86.91	n/a	28-Oct	700.00	3.5
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>MON</b>	<b>S</b>	<b>350</b>	<b>61.99</b>	<b>n/a</b>	<b>23-Nov</b>	<b>0.00</b>	<b>0.0</b>
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>MRK</b>	<b>B</b>	<b>4000</b>	<b>35.26</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BASIX	033	MTW	B	60,000	11.83	n/a	1-Nov	1,800.00	3.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>MWV</b>	<b>S</b>	<b>200</b>	<b>26.40</b>	<b>n/a</b>	<b>28-Oct</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	067	NUE	S	925	40.07	n/a	n/a	46.25	5.0
S.A.C. HEALTHCARE BOBBY	044	OCR	S	15,000	22.96	n/a	n/a	525.00	3.5
UNITED STATES PENSION	085	PCH	S	18,176	32.64	n/a	29-Oct	727.04	4.0
MILLENIUUM PARTNERS	028	PCL	S	10,000	36.90	n/a	26-Oct	400.00	4.0
TRELLUS PARTNERS LP	028	PCL	B	10,000	37.00	n/a	26-Oct	500.00	5.0
LEVIN CAPITAL STRATEGIES	012	PHG	S	25,000	28.77	n/a	n/a	750.00	3.0
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>PHM</b>	<b>B</b>	<b>10000</b>	<b>6.87</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>PM</b>	<b>B</b>	<b>250</b>	<b>57.88</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>PNC</b>	<b>B</b>	<b>1000</b>	<b>56.64</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>S</b>	<b>30,000</b>	<b>69.61</b>	<b>n/a</b>	<b>18-Oct</b>	<b>1,200.00</b>	<b>4.0</b>
BAIRD INVESTMENT	047	ROK	B	15,600	68.52	n/a	n/a	780.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>RUSHA</b>	<b>B</b>	<b>1000</b>	<b>18.47</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MILLENIUM PARTNERS	028	RYN	B	20,000	51.89	n/a	27-Oct	800.00	4.0
HARVEST MGMT	029	SBUX	B	15,000	32.66	2-Dec	2-Dec	750.00	5.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>SBUX</b>	<b>B</b>	<b>6000</b>	<b>32.64</b>	<b>2-Dec</b>	<b>2-Dec</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKX</b>	<b>S</b>	<b>100,000</b>	<b>22.49</b>	<b>n/a</b>	<b>n/a</b>	<b>4,000.00</b>	<b>4.0</b>
AVESTA CAP	229	SLB	S	50,000	80.53	n/a	n/a	1,500.00	3.0
<b>f ANDREW SINCLAIR</b>	<b>FID</b>	<b>SPY</b>	<b>B</b>	<b>30</b>	<b>0.99</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BERMAN CAPITAL MGMT	046	SPY	B	10,000	121.61	n/a	n/a	300.00	3.0
BERMAN CAPITAL MGMT	046	SPY	S	10,000	121.92	n/a	n/a	300.00	3.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>SPY</b>	<b>B</b>	<b>500</b>	<b>122.58</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JAMES H HLAVACEK II</b>	<b>FID</b>	<b>STD</b>	<b>B</b>	<b>250</b>	<b>10.44</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FIRST NY SEC/CHRIS	041	TGT	B	15,000	58.66	n/a	2-Dec	750.00	5.0
WEINTRAUB CAPITAL MGT.	040	TIN	B	25,000	22.18	n/a	20-Oct	1,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TLB</b>	<b>S</b>	<b>40,000</b>	<b>11.53</b>	<b>n/a</b>	<b>n/a</b>	<b>1,600.00</b>	<b>4.0</b>
DELTEC ASSET MGMT.	040	TLB	B	40,000	11.43	n/a	n/a	2,000.00	5.0
SIGMA CAPITAL ASSOCIATES	041	TLB	B	25,000	11.44	n/a	n/a	875.00	3.5
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>TM</b>	<b>B</b>	<b>1000</b>	<b>79.38</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LEVEL GLOBAL SHARED ACCT	257	TPX	S	50,000	36.52	n/a	n/a	1,500.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL ASSET/BLACKROCK	266	TTES	S	7,300	36.69	n/a	n/a	292.00	4.0
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>UQM</b>	<b>B</b>	<b>5000</b>	<b>1.93</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>S</b>	<b>50</b>	<b>14.23</b>	<b>n/a</b>	<b>22-Oct</b>	<b>0.00</b>	<b>0.0</b>
SANDLER CAPITAL	226	VMW	C	42,200	84.49	n/a	n/a	2,532.00	6.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>VSTO</b>	<b>B</b>	<b>75</b>	<b>62.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f SCOTT L BRUNNER</b>	<b>FID</b>	<b>VXX</b>	<b>B</b>	<b>500</b>	<b>43.79</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>WNC</b>	<b>B</b>	<b>10000</b>	<b>11.14</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
S.A.C. CAP/ORENSTEIN	044	WY	SS	90,000	17.41	n/a	29-Oct	3,150.00	3.5
SAC CHICAGO ANDREW	031	XRT	B	100,000	47.51	n/a	n/a	3,500.00	3.5
PATTEN & PATTEN	067	X	B	1,680	50.68	n/a	n/a	84.00	5.0
SURSUM CAPITAL	215	ZUMZ	SS	75,000	30.62	n/a	n/a	2,250.00	3.0
<b>TOTAL (Trade Date) :</b>							<b>110,035.70</b>		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/01	SCHOTTENFELD ASSOC	041	AXL	SS	25,000	10.86	n/a	1-Nov	750.00 3.0
AO,CRT	12/01	SCHOTTENFELD ASSOC	041	AXL	SS	25,000	10.86	n/a	1-Nov	750.00 3.0
AO,	12/01	COOPER CREEK PART	028	BIG	B	40,000	30.92	n/a	1-Dec	1600.00 4.0
AO,CRT	12/01	COUGAR TRADING	044	GIL	S	10,000	30.95	n/a	18-Oct	500.00 5.0
AO,CXL	12/01	COUGAR TRADING	044	GIL	S	10,000	30.95	n/a	18-Oct	500.00 5.0
AO,	12/01	LISTED ERR	099	GVA	S	10	26.95	n/a	n/a	0.00 0.0
AO,	12/01	LOMBARDIA CAP MGMT	084	GVA	B	11,210	26.95	n/a	n/a	448.40 4.0
AO,	12/01	NOMURA CAPITAL	029	LYBB	S	70,415	29.96	n/a	n/a	2112.45 3.0

**TOTAL (AO, CXL, CRT) :****4,160.85**

TOTAL (Trade Date):

110,035.70

TOTAL (AO, CXL, CRT):

4,160.85

**TOTAL (RUN DATE) / NFS:****114,196.55****MRI Securities with Trade Activity on 2-Dec.****SBUX**



MRI Securities without Trade Activity on 2-Dec.

CAKE, PNRA, PFCB

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)**