



Daily Compliance Activity Report

Trade Date: 12/01/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRUSTCO/SUNTRUST	040	ABB	B	50,000	19.63	n/a	n/a	1,750.01	3.5
BUCK CAPITAL MGMT	001	AEO	S	50,000	16.28	n/a	30-Nov	2,000.00	4.0
US BANCORP	030	AKAM	S	3,114	53.43	n/a	n/a	155.70	5.0
ß BUCK CAPITAL MGMT		ANF	S	20,000	51.02	n/a	30-Nov	non-brg	4.0
BUCK CAPITAL MGMT	001	ANN	S	20,000	27.29	n/a	n/a	800.00	4.0
f CHRISTOPHER ROBERT C	FID	AN	S	100	26.61	n/a	29-Oct	0.00	0.0
f JOSEPH CIRO AMATURO	FID	ARM	S	5000	18.93	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		ARO	S	115,791	27.21	n/a	30-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		ARO	S	30,000	24.78	n/a	30-Nov	non-brg	1.0
f MARGARET M DAVEY	FID	ARO	S	300	27.16	n/a	30-Nov	0.00	0.0
LOMBARDIA CAP MGMT	084	ARP	B	31,140	7.15	n/a	n/a	1,245.60	4.0
f MARC PAUL LUCHANSKY	FID	ATDPF	S	20000	0.15	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	AXL	S	1000	10.66	n/a	1-Nov	0.00	0.0
SCHOTTENFELD ASSOC	041	AXL	SS	25,000	10.86	n/a	1-Nov	750.00	3.0
ß BUCK CAPITAL MGMT		BAC	B	236,800	11.05	n/a	18-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		BAC	B	250,000	11.08	n/a	18-Nov	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	JOSEPH CIRO AMATURO	FID	BAC	B	5000	11.04	n/a	18-Nov	0.00	0.0
	MERRILL ASSET/BLACKROCK	266	BAC	B	24,000	11.15	n/a	18-Nov	960.00	4.0
	LOMBARDIA CAP MGMT	084	BBSI	B	4,000	15.08	n/a	n/a	120.00	3.0
f	SCOTT L BRUNNER	FID	BGZ	B	1500	10.09	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		BHI	S	15,000	54.06	n/a	n/a	non-brg	4.0
	CASTLE ARK	031	BHI	B	212,413	54.15	n/a	n/a	10,620.65	5.0
B	BUCK CAPITAL MGMT		BIG	B	79,300	30.96	n/a	1-Dec	non-brg	2.5
	LEVIN CAPITAL STRATEGIES	012	BIG	B	25,000	30.95	n/a	1-Dec	750.00	3.0
	SURSUM CAPITAL	215	BIG	B	45,000	30.86	n/a	1-Dec	1,350.00	3.0
	ACK ASSET	028	BKI	B	50,000	20.38	n/a	n/a	1,500.00	3.0
B	BUCK CAPITAL MGMT		BLK	B	15,000	167.50	n/a	n/a	non-brg	1.0
B	BUCK CAPITAL MGMT		BODY	B	20,467	12.87	n/a	n/a	non-brg	4.0
	MERRILL ASSET/BLACKROCK	266	BOH	S	9,100	43.74	n/a	n/a	364.00	4.0
	COUGAR TRADING	044	BUD	B	15,000	55.86	n/a	1-Dec	750.00	5.0
	COUGAR TRADING	044	BUD	S	15,000	56.55	n/a	1-Dec	750.00	5.0
	WATERFRONT CAP	028	BYI	B	19,000	40.87	n/a	n/a	760.00	4.0
B	BUCK CAPITAL MGMT		CBK	B	30,000	5.29	n/a	n/a	non-brg	2.5
	SONTERRA CAP	041	CHK	SS	58,439	21.28	n/a	n/a	2,337.56	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	CHS	S	30,000	12.31	n/a	5-Feb	1,200.00	4.0
US BANCORP	030	CNP	S	10,228	15.82	n/a	n/a	511.40	5.0
B BUCK CAPITAL MGMT		COH	S	10,000	57.41	n/a	27-Oct	non-brg	4.0
SURSUM CAPITAL	215	COH	SS	20,000	56.55	n/a	27-Oct	600.00	3.0
MERRILL ASSET/BLACKROCK	266	CRR	S	6,458	101.50	n/a	16-Nov	258.32	4.0
B BUCK CAPITAL MGMT		CSTR	S	10,000	64.84	n/a	n/a	non-brg	2.5
f JONATHAN RICHARD HAR	FID	CVGI	B	100	14.45	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	C	B	1000	4.29	n/a	18-Nov	0.00	0.0
f ANTHONY SUTERA	FID	DAN	B	20	1.90	n/a	29-Oct	0.00	0.0
f ANTHONY SUTERA	FID	DAN	S	2000	15.71	n/a	29-Oct	0.00	0.0
B BUCK CAPITAL MGMT		DBRN	S	30,000	24.69	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DECK	S	20,000	78.92	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DLTR	S	20,000	55.55	n/a	18-Nov	non-brg	2.5
LOMBARDIA CAP MGMT	084	DLX	B	26,123	22.17	n/a	n/a	1,044.92	4.0
SURSUM CAPITAL	215	DPZ	B	25,000	14.90	n/a	29-Nov	750.00	3.0
LOMBARDIA CAP MGMT	084	ENS	B	12,373	30.92	n/a	n/a	494.92	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LOMBARDIA CAP MGMT	084	FCN	B	10,450	36.14	n/a	n/a	418.00	4.0
LOMBARDIA CAP MGMT	084	FELE	B	6,825	40.51	n/a	n/a	204.75	3.0
US BANCORP	030	FFIV	S	1,172	139.20	n/a	n/a	58.60	5.0
⌘ BUCK CAPITAL MGMT		FINL	S	20,000	18.35	n/a	n/a	non-brg	4.0
US BANCORP	030	FITB	B	9,003	12.20	n/a	n/a	450.15	5.0
COOKBIELER	028	FLO	B	70,400	26.02	n/a	n/a	2,816.00	4.0
⌘ BUCK CAPITAL MGMT		FL	S	30,000	19.26	n/a	19-Nov	non-brg	4.0
⌘ BUCK CAPITAL MGMT		FOSL	S	10,000	68.55	n/a	n/a	non-brg	4.0
SURSUM CAPITAL	215	FOSL	B	20,000	68.45	n/a	n/a	600.00	3.0
PATTEN & PATTEN	067	F	B	1,000	16.46	n/a	30-Nov	50.00	5.0
BUCK CAPITAL MGMT	001	GCO	S	40,000	39.36	n/a	n/a	1,600.00	4.0
⌘ BUCK CAPITAL MGMT		GES	S	20,000	47.54	n/a	24-Nov	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GIL	S	20,000	30.81	n/a	18-Oct	non-brg	4.0
COUGAR TRADING	044	GIL	B	10,000	30.79	n/a	18-Oct	500.00	5.0
COUGAR TRADING	044	GIL	S	10,000	30.95	n/a	18-Oct	500.00	5.0
PATTEN & PATTEN	067	GLW	S	500	18.04	n/a	1-Nov	25.00	5.0
⌘ BUCK CAPITAL MGMT		GMCR	S	20,000	37.40	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT CAP/DEFRANCO	040	GMCR	S	12,256	36.77	n/a	n/a	490.24	4.0
B BUCK CAPITAL MGMT		HAL	S	25,000	39.20	n/a	n/a	non-brg	4.0
CAPITAL GROWTH MGMT.	241	HAL	B	400,000	39.32	n/a	n/a	20,000.00	5.0
B BUCK CAPITAL MGMT		HBI	S	20,000	27.69	n/a	28-Oct	non-brg	4.0
SONTERRA CAP	041	HLF	B	21,561	69.27	n/a	n/a	862.44	4.0
CARDINAL CAPITAL	044	HTS	S	43,300	31.02	n/a	n/a	2,165.00	5.0
WATERFRONT CAP	028	IGT	S	50,000	15.68	n/a	17-Nov	2,000.00	4.0
LAKEVIEW INV GROUP LLC	031	IM	B	30,000	18.02	n/a	n/a	900.00	3.0
PATTEN & PATTEN	067	IYT	S	600	89.96	n/a	n/a	30.00	5.0
B BUCK CAPITAL MGMT		JCP	C	200,000	33.77	n/a	30-Nov	non-brg	4.0
f DAVID GEORGE BUCK	FID	JCP	S	1500	33.75	n/a	30-Nov	0.00	0.0
MERRILL ASSET/BLACKROCK	266	JLL	S	3,400	81.18	n/a	n/a	136.00	4.0
B BUCK CAPITAL MGMT		JNY	B	150,000	13.98	n/a	28-Oct	non-brg	0.8
B BUCK CAPITAL MGMT		JNY	B	50,000	13.95	n/a	28-Oct	non-brg	4.0
CAERUS GLOBAL	041	JNY	B	110,385	13.98	n/a	28-Oct	4,415.40	4.0
DELTEC ASSET MGMT.	040	JNY	B	10,000	13.94	n/a	28-Oct	500.00	5.0
NICOLAS APPLGATE	084	JOSB	S	27,400	42.25	n/a	n/a	1,096.00	4.0
PATTEN & PATTEN	067	JPM	B	1,000	38.14	n/a	18-Nov	50.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		JWN	S	20,000	43.46	n/a	30-Nov	non-brg	4.0
LOMBARDIA CAP MGMT	099	KFY	B	20,684	17.55	n/a	n/a	827.36	4.0
LISTED ERR	099	KFY	B	15,391	17.55	n/a	n/a	0.00	0.0
LISTED ERR	099	KFY	S	5	17.68	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		KNX	B	50,000	19.06	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	KSS	B	20,000	56.00	n/a	30-Nov	800.00	4.0
B BUCK CAPITAL MGMT		KSS	S	20,000	56.83	n/a	30-Nov	non-brg	4.0
f DAVID GEORGE BUCK	FID	KSS	S	1020	37.66	n/a	30-Nov	0.00	0.0
GLG PARTNERS	034	KSS	S	50,000	56.83	n/a	30-Nov	1,500.00	3.0
LEVIN CAPITAL STRATEGIES	012	KSS	C	15,000	56.60	n/a	30-Nov	450.00	3.0
PATTEN & PATTEN	067	LAZ	S	1,500	36.53	n/a	12-Nov	75.00	5.0
BUCK CAPITAL MGMT	001	LL	S	20,000	23.92	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	LTD	S	20,000	34.62	n/a	n/a	800.00	4.0
MILLENNIUM-ANDEW	031	LULU	B	22,500	54.75	n/a	n/a	1,125.00	5.0
f JOSEPH CIRO AMATURO	FID	LVS	S	1000	51.54	n/a	11-Nov	0.00	0.0
CATAPULT CAP/DEFRANCO	040	MAS	B	10,000	11.18	n/a	n/a	400.00	4.0
GREEN ARROW DOUG	040	MGM	B	25,000	12.45	n/a	10-Nov	1,250.00	5.0
TRAFELET & COMP.	028	MHR	B	100,000	6.41	n/a	n/a	3,000.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f DAVID GEORGE BUCK	FID	MI	S	3000	4.80	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		MNRO	S	30,000	49.70	n/a	n/a	non-brg	2.5
BASIX	033	MTW	B	130,000	11.37	n/a	1-Nov	3,900.00	3.0
SYSTEMATIC FINANCIAL MGT	035	MW	S	75,000	28.15	n/a	n/a	2,250.00	3.0
AVESTA CAP	229	M	S	100,000	25.72	n/a	30-Nov	3,000.00	3.0
B BUCK CAPITAL MGMT		NDN	B	7,167	15.80	n/a	8-Nov	non-brg	2.5
PATTEN & PATTEN	067	NEE	B	300	50.90	n/a	n/a	15.00	5.0
B BUCK CAPITAL MGMT		NILE	C	45,000	51.44	n/a	n/a	non-brg	4.0
OMEGA ADVISORS	041	OSK	B	14,400	28.98	n/a	n/a	576.00	4.0
f DAVID GEORGE BUCK	FID	PCH	S	2000	32.49	n/a	29-Oct	0.00	0.0
CSFB GLOBAL PROPRIETARY	041	PCL	S	30,000	36.68	n/a	26-Oct	1,500.00	5.0
B BUCK CAPITAL MGMT		PERY	S	10,000	28.09	n/a	n/a	non-brg	4.0
AVESTA CAP	229	PG	SS	50,000	62.16	n/a	1-Dec	1,500.00	3.0
B BUCK CAPITAL MGMT		PIR	S	40,000	10.07	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		PLCE	B	5,000	51.66	n/a	18-Nov	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		PLCE	S	10,000	51.93	n/a	18-Nov	non-brg	4.0
f DAVID GEORGE BUCK	FID	PM	B	500	57.90	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	PVH	S	10,000	70.03	n/a	18-Oct	400.00	4.0
IRIDIAN ASSET MGMT.	036	QCOM	S	29,810	48.04	n/a	n/a	1,490.50	5.0
AVESTA CAP	229	RIG	SS	50,000	67.75	n/a	n/a	1,500.00	3.0
COOKBIELER	028	RTN	B	82,100	47.19	n/a	9-Nov	3,284.00	4.0
CSFB GLOBAL PROPRIETARY	041	RYN	B	20,000	50.82	n/a	27-Oct	1,000.00	5.0
B BUCK CAPITAL MGMT		SKX	S	20,000	23.46	n/a	n/a	non-brg	4.0
LOMBARDIA CAP MGMT	084	SKYW	B	22,475	16.62	n/a	n/a	674.25	3.0
MILLENNIUM-ANDEW	031	SLT	S	125,000	14.63	n/a	n/a	6,250.00	5.0
f JONATHAN RICHARD HAR	FID	SLV	S	700	27.68	n/a	n/a	0.00	0.0
LOMBARDIA CAP MGMT	084	SNA	B	6,930	54.26	n/a	n/a	277.20	4.0
PATTEN & PATTEN	067	SNY	S	500	31.50	n/a	n/a	25.00	5.0
f DAVID GEORGE BUCK	FID	SPG	S	1010	75.15	n/a	n/a	0.00	0.0
f ANDREW SINCLAIR	FID	SPY	B	20	1.45	n/a	n/a	0.00	0.0
f ANDREW SINCLAIR	FID	SPY	S	150	0.51	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	SSCC	B	35,000	24.50	n/a	2-Nov	1,750.00	5.0
SCOPUS FUND	041	SSCC	B	22,500	24.42	n/a	2-Nov	900.00	4.0
WEINTRAUB CAPITAL MGT.	040	SSCC	B	50,000	24.37	n/a	2-Nov	2,000.00	4.0
GREEN ARROW DOUG	040	SSO	B	25,000	44.04	n/a	n/a	1,250.00	5.0
IRIDIAN ASSET MGMT.	036	STX	B	85,750	14.01	n/a	n/a	4,287.50	5.0
B BUCK CAPITAL MGMT		SUMR	S	125,000	7.25	n/a	n/a	non-brg	2.5
f JOSEPH CIRO AMATURO	FID	TEX	B	5000	25.33	n/a	22-Oct	0.00	0.0
B BUCK CAPITAL MGMT		TGT	B	50,000	57.55	n/a	30-Nov	non-brg	2.5
MILLENNIUM-ANDEW	031	TIF	B	11,500	62.72	n/a	n/a	575.00	5.0
BUCK CAPITAL MGMT	001	TJX	S	20,000	46.04	n/a	30-Nov	800.00	4.0
BUCK CAPITAL MGMT	001	TLB	S	40,000	11.66	n/a	n/a	1,600.00	4.0
f KAREN F LEDDY	FID	TLB	B	500	11.56	n/a	n/a	0.00	0.0
SURSUM CAPITAL	215	TLB	B	20,000	11.50	n/a	n/a	600.00	3.0
LOMBARDIA CAP MGMT	084	TNB	B	8,940	46.35	n/a	n/a	357.60	4.0
LOMBARDIA CAP MGMT	084	TPC	B	18,350	19.34	n/a	n/a	734.00	4.0
B BUCK CAPITAL MGMT		TRLG	S	20,000	22.67	n/a	n/a	non-brg	4.0
MERRILL ASSET/BLACKROCK	266	TTES	S	26,700	36.28	n/a	n/a	1,068.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MILLENNIUM-ANDEW	031	URBN	B	15,000	38.15	n/a	n/a	750.00	5.0
SURSUM CAPITAL	215	URBN	B	25,000	38.09	n/a	n/a	750.00	3.0
f JONATHAN RICHARD HAR	FID	URRE	B	500	3.89	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	USG	S	100	13.33	n/a	22-Oct	0.00	0.0
BENCHMARK	025	USO	B	5,000	37.03	n/a	n/a	200.00	4.0
PATTEN & PATTEN	067	VMC	S	1,000	41.83	n/a	n/a	50.00	5.0
PATTEN & PATTEN	067	V	B	200	75.13	n/a	29-Oct	10.00	5.0
B BUCK CAPITAL MGMT		WERN	B	10,000	21.99	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		WNC	S	1,700	11.23	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		WNC	S	125,000	11.31	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		WNC	S	23,300	11.14	n/a	n/a	non-brg	0.8
f JOSEPH CIRO AMATURO	FID	WNC	S	15000	11.34	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	WRC	S	10,000	54.83	n/a	9-Nov	400.00	4.0
SURSUM CAPITAL	215	WRC	SS	10,000	54.67	n/a	9-Nov	300.00	3.0
PATTEN & PATTEN	067	WY	B	600	17.06	n/a	29-Oct	30.00	5.0
TOTAL (Trade Date) :							128,772.07		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/30	NOMURA CAPITAL	029	DHI	B	20,000	10.02	n/a	n/a	600.00 3.0
AO,	11/30	NOMURA CAPITAL	029	DHI	B	20,000	10.02	n/a	n/a	600.00 3.0
AO,CRT	11/30	BROADARCH CAP/OLD NEWC	070	KR	B	1,500	23.61	n/a	n/a	60.00 4.0
AO,CXL	11/30	BROADARCH CAP/OLD NEWC	070	KR	B	1,500	23.61	n/a	n/a	60.00 4.0
AO,	11/30	NOMURA CAPITAL	029	LYBB	S	25,000	29.22	n/a	n/a	750.00 3.0
AO,CXL	11/30	NOMURA CAPITAL	029	LYBB	S	25,000	29.22	n/a	n/a	750.00 3.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	128,772.07
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	128,772.07
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MRI Securities with Trade Activity on 1-Dec. NONE
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BRG comm. as a % of BCM Total Comm. paid.

T-Date = 14%

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)