



Daily Compliance Activity Report

Trade Date: 10/19/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		AAPL	B	5,000	305.02	n/a	n/a	non-brg	0.8
BUCK CAPITAL MGMT		AMR	B	100,000	6.45	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT		ANF	B	20,000	43.15	n/a	11-Oct	non-brg	4.0
LEVIN CAPITAL STRATEGIES	012	ANF	SS	15,000	43.39	n/a	11-Oct	450.00	3.0
RBC CAPITAL MARKETS	040	ANF	B	30,000	43.84	n/a	11-Oct	1,200.00	4.0
BUCK CAPITAL MGMT		ANN	B	47,000	21.36	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		ANN	B	50,000	21.48	n/a	n/a	non-brg	4.0
CATAPULT	040	ARM	B	25,000	16.11	n/a	n/a	1,000.00	4.0
BUCK CAPITAL MGMT	001	ARO	S	277,100	26.67	n/a	11-Oct	11,084.00	4.0
BUCK CAPITAL MGMT		ARO	S	22,900	26.73	n/a	11-Oct	non-brg	0.8
MARK ANTHONY GRONET	FID	AXL	S	2000	9.00	n/a	19-Oct	0.00	0.0
MARK ANTHONY GRONET	FID	AXP	B	200	39.44	n/a	15-Oct	0.00	0.0
Nilsa Vazquez		BAC	B	500	12.02	n/a	19-Oct	0.00	0.0
APEX CAPITAL MGMT.	261	BBY	SS	147,000	42.12	n/a	n/a	5,880.00	4.0
BUCK CAPITAL MGMT		CAKE	C	30,000	27.61	n/a	18-Oct	non-brg	4.0
EPOCH INV MGMT	030	CAM	S	350	41.94	n/a	n/a	10.50	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FEDERATED INV/KAUFMAN	029	CBST	B	100,000	23.69	n/a	n/a	5,500.00	5.5
EPOCH INV MGMT	030	COL	S	250	59.51	n/a	12-Oct	7.50	3.0
RBC CAPITAL MARKETS	040	COST	SS	15,000	62.26	n/a	n/a	600.00	4.0
EPOCH INV MGMT	030	CPO	S	450	39.18	n/a	n/a	13.50	3.0
ROSEDALE CAPITAL	046	CSCO	S	10,000	23.05	n/a	n/a	500.00	5.0
f ABRAM M CHAPPELL	FID	CVGW	S	110	22.20	n/a	n/a	0.00	0.0
ACK ASSET	028	DAN	S	95,000	12.96	n/a	19-Oct	2,850.00	3.0
B BUCK CAPITAL MGMT		DBRN	B	40,000	24.34	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DBRN	B	41,700	24.02	n/a	n/a	non-brg	2.5
CONIFER/ISF	025	DCTH	S	5,000	8.55	n/a	n/a	250.00	5.0
GRUSS CAPITAL	025	DEI	S	5,000	18.40	n/a	n/a	150.00	3.0
MATRIX ASSET ADV.	091	DELL	S	4,000	14.58	n/a	n/a	120.00	3.0
f MARC PAUL LUCHANSKY	FID	DGP	S	300	37.89	n/a	n/a	0.00	0.0
CATAPULT	040	DHR	SS	10,000	41.35	n/a	n/a	400.00	4.0
COOPER CREEK PART	028	DPZ	SS	15,000	15.33	n/a	19-Oct	600.00	4.0
EGS ASSOCIATES LP	091	DPZ	SS	4,500	15.39	n/a	19-Oct	270.00	6.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	DRC	S	300	38.01	n/a	n/a	9.00	3.0
EPOCH INV MGMT	030	DRQ	S	200	65.70	n/a	n/a	6.00	3.0
BALYASNY ASSET MGMT	044	EAT	C	20,000	19.36	n/a	n/a	1,000.00	5.0
NWQ INVESTMENT MGMT CO	084	ENTG	B	129,500	5.02	n/a	n/a	3,885.00	3.0
KACELA CAPITAL	034	EXPE	S	15,500	26.70	n/a	n/a	620.00	4.0
MELLON/BANK OF NEW YORK	046	FFIV	S	27,690	90.29	n/a	n/a	1,384.50	5.0
NORTHWESTERN MUTUAL LIFE	047	FFIV	B	16,150	91.14	n/a	n/a	646.00	4.0
B BUCK CAPITAL MGMT		FINL	B	30,000	16.04	n/a	n/a	non-brg	4.0
CONIFER/ISF	025	FINL	B	15,000	15.92	n/a	n/a	750.00	5.0
GRANITE CAPITAL	028	F	SS	30,000	13.45	19-Oct	19-Oct	1,500.00	5.0
MILLENIUM PARTNERS	028	F	B	50,000	13.40	19-Oct	19-Oct	2,000.00	4.0
OZ MGMT	040	F	SS	100,000	13.45	19-Oct	19-Oct	3,000.00	3.0
SCOPUS FUND	041	F	B	75,000	13.43	19-Oct	19-Oct	3,750.00	5.0
LEVEL GLOBAL SHARED ACCT	257	GES	S	100,000	42.08	n/a	18-Oct	3,000.00	3.0
RBC CAPITAL MARKETS	040	GIS	B	20,000	37.10	n/a	n/a	800.00	4.0
GRUSS CAPITAL	025	GLD	B	20,000	130.74	n/a	n/a	600.00	3.0
EPOCH INV MGMT	030	GPC	S	450	47.34	n/a	n/a	13.50	3.0
B BUCK CAPITAL MGMT		GYMB	S	24,500	65.00	n/a	8-Oct	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MARK ANTHONY GRONET	FID	IP	B	300	23.12	n/a	18-Oct	0.00	0.0
GRUSS CAPITAL	025	IYR	SS	4,000	55.49	n/a	n/a	120.00	3.0
f JONATHAN RICHARD HAR	FID	JCG	S	65	34.87	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	JNY	B	20,000	19.53	n/a	18-Oct	1,000.00	5.0
f DAVID GEORGE BUCK	FID	JPM	S	1000	38.35	n/a	19-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	LIZ	B	50,000	6.72	n/a	7-Oct	1,500.00	3.0
ASCEND PARTNERS	033	LMT	C	19,000	69.15	n/a	12-Oct	760.00	4.0
BALYASNY ASSET MGMT	044	LTD	S	40,000	28.52	n/a	n/a	2,000.00	5.0
JMP ASSET MGMT	210	LTM	SS	10,500	39.93	n/a	n/a	525.00	5.0
MTB INV ADV	034	LTM	S	3,100	40.01	n/a	n/a	155.00	5.0
LISTED ERR	099	LTM	B	200	39.87	n/a	n/a	0.00	0.0
LISTED ERR	099	LTM	S	200	39.75	n/a	n/a	0.00	0.0
MTB INV ADV	034	LULU	S	21,800	43.17	n/a	n/a	1,090.00	5.0
LISTED ERR	099	LULU	B	200	43.51	n/a	n/a	0.00	0.0
LISTED ERR	099	LULU	S	200	43.17	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	LVS	B	10	1.11	n/a	8-Oct	0.00	0.0
FEDERATED INV/KAUFMAN	029	LVS	B	51,435	36.59	n/a	8-Oct	2,828.93	5.5
EPOCH INV MGMT	030	MAS	S	1,250	10.87	n/a	n/a	37.50	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	MON	S	15,000	57.56	n/a	11-Oct	600.00	4.0
BALYASNY ASSET MGMT	044	MW	B	30,000	24.17	n/a	n/a	1,500.00	5.0
DELTEC ASSET MGMT.	040	M	B	10,000	23.00	n/a	11-Oct	500.00	5.0
CHART WELL ADV	028	NTSP	S	15,000	12.78	n/a	n/a	600.00	4.0
EPOCH INV MGMT	030	NYX	S	750	29.82	n/a	n/a	22.50	3.0
CATAPULT	040	OCLR	SS	4,973	14.45	n/a	n/a	198.92	4.0
CATAPULT	040	OCLR	S	53,177	14.45	n/a	n/a	2,127.08	4.0
CATAPULT	040	OI	SS	10,000	28.85	n/a	n/a	400.00	4.0
WEISS PECK	040	PAG	B	25,000	13.47	n/a	19-Oct	1,250.00	5.0
f MARC PAUL LUCHANSKY	FID	PCAR	S	300	49.34	n/a	28-Jul	0.00	0.0
LEVIN CAPITAL STRATEGIES	012	PH	SS	20,000	76.63	n/a	4-Aug	600.00	3.0
B BUCK CAPITAL MGMT		PIR	B	100,000	7.50	n/a	n/a	non-brg	3.0
MERRILL ASSET/BLACKROCK	266	PJC	B	24,300	30.40	n/a	n/a	972.00	4.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	50,000	23.67	n/a	19-Oct	2,500.00	5.0
MORTAR ROCK	033	PKG	B	15,000	23.43	n/a	19-Oct	600.00	4.0
TRELLUS PARTNERS LP	028	PKG	B	10,000	23.25	n/a	19-Oct	500.00	5.0
f MARC PAUL LUCHANSKY	FID	PLCE	S	500	51.45	n/a	11-Oct	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KACELA CAPITAL	034	RAX	S	17,264	22.31	n/a	n/a	690.56	4.0
SENATOR INVESTMENT GROUP	036	RKT	B	50,000	53.80	n/a	n/a	1,500.00	3.0
MERRILL ASSET/BLACKROCK	266	RLI	B	20,100	58.89	n/a	n/a	804.00	4.0
CATAPULT	040	RPM	SS	10,000	20.18	n/a	n/a	400.00	4.0
RBC CAPITAL MARKETS	040	RSG	B	25,000	30.24	n/a	n/a	1,000.00	4.0
f MARC PAUL LUCHANSKY	FID	SDS	B	1000	28.47	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SHF	S	5,000	14.64	n/a	n/a	non-brg	2.5
CHART WELL ADV	028	SHF	S	40,000	13.73	n/a	n/a	1,600.00	4.0
f ANDREW SINCLAIR	FID	SPY	S	20	0.36	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	040	TCK	S	10,000	42.15	n/a	n/a	400.00	4.0
ß BUCK CAPITAL MGMT		TLB	B	40,000	10.08	n/a	n/a	non-brg	4.0
SAXON WOODS ADVISORS	242	TNA	S	5,800	52.68	n/a	n/a	232.00	4.0
ß BUCK CAPITAL MGMT		TRLG	B	20,000	22.17	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		URBN	S	100,000	29.40	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		URBN	S	200,000	30.33	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		URBN	S	394,000	30.10	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		URBN	S	50,000	30.29	n/a	n/a	non-brg	0.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CHART WELL ADV	028	URBN	S	10,000	30.20	n/a	n/a	400.00	4.0
WATERFRONT CAP	028	URI	S	6,303	16.27	n/a	n/a	252.12	4.0
BMO NESBITT BURNS	041	USG	B	7,000	11.97	n/a	18-Oct	350.00	5.0
BROADARCH CAP/OLD NEWC	070	UTX	S	5,100	73.22	n/a	n/a	204.00	4.0
f DAVID GEORGE BUCK	FID	VNO	B	1010	44.83	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		VSTO	S	550	63.00	n/a	n/a	non-brg	4.0
EPOCH INV MGMT	030	V	S	250	78.94	n/a	4-Oct	7.50	3.0
EPOCH INV MGMT	030	WAB	S	300	47.55	n/a	n/a	9.00	3.0
B BUCK CAPITAL MGMT		WFMI	C	50,000	37.70	n/a	n/a	non-brg	4.0
EPOCH INV MGMT	030	WFT	S	550	17.35	n/a	n/a	16.50	3.0
EPOCH INV MGMT	030	WM	S	550	36.27	n/a	n/a	16.50	3.0
B BUCK CAPITAL MGMT		WRC	S	10,000	55.04	n/a	18-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		WRC	S	10,000	55.89	n/a	18-Oct	non-brg	4.0
EPOCH INV MGMT	030	WRC	S	350	55.85	n/a	18-Oct	10.50	3.0
BALYASNY ASSET MGMT	044	WSM	C	20,000	32.20	n/a	n/a	1,000.00	5.0
B BUCK CAPITAL MGMT		WYNN	C	10,000	97.49	n/a	12-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		XRT	C	46,800	42.88	n/a	n/a	non-brg	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	YHOO	S	900	15.67	n/a	n/a	27.00	3.0
TOTAL (Trade Date):								85,156.11	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/18	DC CAPITAL	044	LNC	S	50,000	25.56	n/a	n/a	2000.00 4.0
AO,CXL	10/18	DC CAPITAL	044	LNC	S	50,000	25.56	n/a	n/a	2500.00 5.0
AO,CRT	10/18	MESIROW	031	LPS	S	2,216	26.68	n/a	n/a	77.56 3.5
AO,CXL	10/18	MESIROW	031	LPS	S	2,216	26.68	n/a	n/a	88.64 4.0
TOTAL (AO, CXL, CRT) :										-511.08

TOTAL (Trade Date) :	85,156.11
TOTAL (AO, CXL, CRT) :	-511.08

TOTAL (RUN DATE) / NFS:	84,645.03
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MRI Securities with Trade Activity on 19-Oct.

F

MRI Securities without Trade Activity on 19-Oct.

NONE

BRG comm. as a % of BCM Total Comm. paid.

T-Date = 21%

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)