



Daily Compliance Activity Report

Trade Date: 09/24/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f DAVID GEORGE BUCK	FID	ABT	B	1500	51.93	n/a	n/a	0.00	0.0
MATRIX ASSET ADV.	036	ADM	B	4,000	32.72	n/a	20-Sep	160.00	4.0
JP MORGAN VENTURES	046	AEO	B	10,000	14.74	n/a	2-Sep	500.00	5.0
MILLENNIUM PARTNERS ICSUS	041	AEO	B	45,000	14.80	n/a	2-Sep	1,800.00	4.0
WAGONHOUND/NIC	289	ALV	S	1,986	62.78	n/a	15-Sep	79.44	4.0
CASTLE ARK	031	AMZN	B	57,290	159.14	n/a	n/a	2,864.50	5.0
BUCK CAPITAL MGMT	001	ANF	S	20,000	38.70	n/a	2-Sep	800.00	4.0
B BUCK CAPITAL MGMT		ANF	S	35,000	38.56	n/a	2-Sep	non-brg	4.0
JP MORGAN VENTURES	046	ANN	S	20,000	19.69	n/a	n/a	1,000.00	5.0
MILLENNIUM PARTNERS ICSUS	041	ANN	B	35,000	19.92	n/a	n/a	1,400.00	4.0
B BUCK CAPITAL MGMT		ARO	B	140,000	23.49	n/a	2-Sep	non-brg	4.0
B BUCK CAPITAL MGMT		ARO	B	50,000	23.65	n/a	2-Sep	non-brg	4.0
IRIDIAN ASSET MGMT.	036	ATML	S	262,310	7.76	n/a	n/a	13,115.50	5.0
KLEINHEINZ CAP PART	031	AU	SS	75,000	45.21	n/a	n/a	3,750.00	5.0
PZENA INV ADV	044	AVP	S	198,900	32.22	n/a	30-Jul	6,961.61	3.5
f CICYLY S BACKUS	FID	AXL	S	3000	9.12	n/a	4-Aug	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	SNEJANA P GARFUNKEL	FID	AXL	S	1000	9.11	n/a	4-Aug	0.00	0.0
	WAGONHOUND/NIC	289	AXL	B	62,056	9.08	n/a	4-Aug	1,861.68	3.0
	HOLLIS CAPITAL	033	BAC	B	10,000	13.52	n/a	22-Sep	500.00	5.0
	MATRIX ASSET ADV.	036	BAC	B	2,500	13.34	n/a	22-Sep	75.00	3.0
f	JOEL GIFFORD TISS	FID	BRKB	S	2000	84.98	n/a	n/a	0.00	0.0
f	DAVID GEORGE BUCK	FID	BUD	B	1000	58.21	n/a	15-Sep	0.00	0.0
B	BUCK CAPITAL MGMT		BWLD	S	10,000	48.30	n/a	n/a	non-brg	2.0
B	BUCK CAPITAL MGMT		BWLD	S	9,000	48.25	n/a	n/a	non-brg	4.0
f	CHRISTOPHER ROBERT C	FID	BZ	B	500	6.75	n/a	n/a	0.00	0.0
	PIONEER PATH	226	CAKE	S	50,000	26.11	n/a	23-Jul	1,500.00	3.0
f	CHRISTOPHER ROBERT C	FID	CAT	B	75	79.61	n/a	23-Jul	0.00	0.0
	CENTURION PARTNERS	041	COP	S	20,000	55.69	n/a	n/a	800.00	4.0
f	DAVID GEORGE BUCK	FID	COP	B	1500	56.45	n/a	n/a	0.00	0.0
	ENTRUST CAPITAL	040	COV	B	37,800	39.17	n/a	n/a	1,890.00	5.0
f	CICILY S BACKUS	FID	CPN	S	2000	12.49	n/a	n/a	0.00	0.0
f	LBP ENTERPRISES INC	FID	CPN	S	2000	12.49	n/a	n/a	0.00	0.0
f	HARALAMBOS EFSTATHI	FID	C	B	2000	3.90	n/a	22-Sep	0.00	0.0
f	JONATHAN RICHARD HAR	FID	C	B	500	3.88	n/a	22-Sep	0.00	0.0
	ACK ASSET	028	DAN	B	32,000	11.89	n/a	2-Aug	960.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BMO NESBITT BURNS	041	DAN	S	50,000	12.03	n/a	2-Aug	2,500.00	5.0
⚡ BUCK CAPITAL MGMT		DBRN	B	10,000	24.00	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DKS	C	40,000	28.21	n/a	19-Aug	non-brg	4.0
GREEN ARROW DOUG	040	DLM	B	50,000	12.79	n/a	n/a	2,500.00	5.0
DIAMONDBACK CAP MGMT	232	DOW	C	40,000	27.86	n/a	24-Aug	2,000.00	5.0
BENCHMARK	025	EWS	B	6,500	13.21	n/a	n/a	260.00	4.0
⚡ BUCK CAPITAL MGMT		FINL	B	70,000	14.00	n/a	n/a	non-brg	4.0
f HARALAMBOS EFSTATHI	FID	FINL	S	10	1.05	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		FL	S	70,000	14.83	n/a	20-Aug	non-brg	4.0
f MANNY I KORMAN	FID	FSYS	B	120	7.00	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	FSYS	S	120	1.49	n/a	n/a	0.00	0.0
ROYAL CAPITAL MGMT	070	FTR	B	100,000	7.90	n/a	n/a	4,000.00	4.0
f CICILY S BACKUS	FID	F	S	4000	12.53	n/a	2-Sep	0.00	0.0
f LBP ENTERPRI SES INC	FID	F	S	2000	12.53	n/a	2-Sep	0.00	0.0
f LEE F BACKUS	FID	F	S	2000	12.53	n/a	2-Sep	0.00	0.0
OZ MGMT	040	F	C	103,434	12.55	n/a	2-Sep	3,103.02	3.0
f SNEJANA P GARFUNKEL	FID	F	S	1000	12.53	n/a	2-Sep	0.00	0.0
BUCK CAPITAL MGMT	001	GES	S	10,000	39.19	n/a	26-Aug	400.00	4.0
⚡ BUCK CAPITAL MGMT		GES	S	30,000	39.16	n/a	26-Aug	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NOMURA CAPITAL	029	GGC	S	20,000	16.21	n/a	n/a	600.00	3.0
⚡ BUCK CAPITAL MGMT		GIII	S	15,900	29.65	n/a	n/a	non-brg	1.5
f CHRISTOPHER ROBERT C	FID	GIL	B	200	27.19	n/a	13-Aug	0.00	0.0
TOCQUEVILLE	067	GPN	S	49,225	41.01	n/a	n/a	2,461.25	5.0
⚡ BUCK CAPITAL MGMT		GRMN	SS	30,000	31.33	n/a	n/a	non-brg	4.0
ROARING BLUE LION MGMT	012	GYMB	S	600	43.82	n/a	2-Sep	24.00	4.0
⚡ BUCK CAPITAL MGMT		HBI	B	20,000	23.95	n/a	11-Aug	non-brg	4.0
MILLENNIUM PARTNERS ICSUS	041	HGG	B	10,000	24.79	n/a	n/a	400.00	4.0
CONIFER/ISF	025	IBM	B	2,500	133.74	n/a	n/a	125.00	5.0
CRAMER ROSENTHAL/SCOTT	012	IPG	S	350,800	9.87	n/a	n/a	10,524.00	3.0
CSFB GLOBAL PROPRIETARY	041	IP	B	50,000	21.78	n/a	20-Sep	2,500.00	5.0
DIAMONDBACK CAP MGMT	232	IR	S	7,000	35.45	n/a	26-Jul	350.00	5.0
⚡ BUCK CAPITAL MGMT		JNY	S	20,000	19.47	n/a	29-Jul	non-brg	4.0
⚡ BUCK CAPITAL MGMT		JOSB	S	100	42.78	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		JOSB	S	20,000	42.62	n/a	n/a	non-brg	2.5
⚡ BUCK CAPITAL MGMT		JWN	S	30,000	36.50	n/a	2-Sep	non-brg	0.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER PATH	226	KMB	B	75,000	66.26	n/a	26-Jul	2,250.00	3.0
OZ MGMT	040	KMT	S	35,568	31.10	n/a	30-Jul	1,067.04	3.0
WAGONHOUND/NIC	289	LEA	B	1,631	73.78	n/a	4-Aug	65.24	4.0
ENTRUST CAPITAL	040	LOPE	SS	32,135	21.29	n/a	n/a	1,606.75	5.0
BROADARCH CAP/OLD NEWC	070	MGM	S	12,300	10.51	n/a	10-Sep	492.00	4.0
B BUCK CAPITAL MGMT		MGM	C	92,490	10.75	n/a	10-Sep	non-brg	4.0
CATAPULT	040	MS	SS	30,000	25.16	n/a	22-Sep	1,200.00	4.0
f DAVID GEORGE BUCK	FID	MS	B	3000	25.11	n/a	22-Sep	0.00	0.0
f LBP ENTERPRISES INC	FID	MS	S	1000	25.02	n/a	22-Sep	0.00	0.0
f LEE F BACKUS	FID	MS	S	1000	24.99	n/a	22-Sep	0.00	0.0
f MANNY I KORMAN	FID	MYL	B	7000	18.91	n/a	20-Sep	0.00	0.0
MILLENNIUM PARTNERS ICSUS	041	M	B	10,000	22.77	n/a	2-Sep	400.00	4.0
SYSTEMATIC FINANCIAL MGT	035	M	B	288,650	22.71	n/a	2-Sep	8,659.50	3.0
BAIRD INVESTMENT	047	NBL	B	8,325	75.55	n/a	n/a	416.25	5.0
B BUCK CAPITAL MGMT		NFLX	C	15,000	161.64	n/a	n/a	non-brg	4.0
FEDERATED INV/KAUFMAN	029	PBR	S	100,000	35.50	n/a	n/a	5,500.01	5.5
TYEE/TYGH	035	PDCO	S	228,569	27.87	n/a	n/a	9,142.76	4.0
B BUCK CAPITAL MGMT		PLCE	S	10,000	48.87	n/a	19-Aug	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROARING BLUE LION MGMT	012	PLCE	S	1,800	48.91	n/a	19-Aug	72.00	4.0
f DAVID GEORGE BUCK	FID	PM	S	2000	55.92	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		PSS	S	30,800	15.90	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	RGS	B	30,000	19.14	n/a	n/a	1,200.00	4.0
BUCK CAPITAL MGMT	001	RL	SS	80,000	88.50	n/a	5-Aug	3,200.00	4.0
BENNETT LAWRENCE	028	ROST	S	3,900	56.44	n/a	n/a	156.00	4.0
MILLENNIUM PARTNERS ICSUS	041	RSH	B	10,000	21.35	n/a	n/a	400.00	4.0
f JOHN MICHAEL ZOLIDIS	FID	SDS	B	350	29.38	n/a	n/a	0.00	0.0
ARCHON CAPITAL	035	SKX	S	72,700	21.92	n/a	n/a	2,181.00	3.0
BUCK CAPITAL MGMT	001	SKX	S	30,000	22.02	n/a	n/a	1,200.00	4.0
B BUCK CAPITAL MGMT		SNE	SS	20,000	30.94	n/a	n/a	non-brg	4.0
GREEN ARROW DOUG	040	SONC	B	31,400	7.64	n/a	n/a	1,570.00	5.0
f ANDREW SINCLAIR	FID	SPY	B	30	0.50	n/a	n/a	0.00	0.0
f ANDREW SINCLAIR	FID	SPY	S	20	1.27	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	SPY	S	1000	114.80	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SUP	S	7,053	17.10	n/a	16-Aug	non-brg	4.0
ENTRUST CAPITAL	040	TEL	S	35,900	28.95	n/a	n/a	1,795.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MILLENNIUM PARTNERS	ICSUS 041	TGT	SS	431	54.71	n/a	2-Sep	17.24	4.0
MILLENNIUM PARTNERS	ICSUS 041	TGT	S	4,369	54.68	n/a	2-Sep	174.76	4.0
⚡ BUCK CAPITAL MGMT		TLB	S	20,000	11.94	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		TLB	S	47,000	11.97	n/a	n/a	non-brg	4.0
CENTURION PARTNERS	041	TLB	B	20,000	11.20	n/a	n/a	800.00	4.0
PIONEER PATH	226	TLB	S	60,000	11.75	n/a	n/a	1,800.00	3.0
⚡ BUCK CAPITAL MGMT		TSCO	C	19,200	38.72	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		VFC	SS	30,000	78.66	n/a	23-Jul	non-brg	4.0
DAWSON CAPITAL MGMT.	085	VRSN	B	33,660	31.86	n/a	n/a	1,683.00	5.0
CAERUS GLOBAL	041	WAG	S	15,000	30.40	n/a	n/a	600.00	4.0
f JONATHAN RICHARD HAR	FID	WBC	B	50	41.38	n/a	9-Sep	0.00	0.0
SNYDER CAPITAL	033	WCN	S	3,300	39.58	n/a	n/a	132.00	4.0
BMO NESBITT BURNS	041	WCRX	B	7,000	23.06	n/a	24-Sep	280.00	4.0
⚡ BUCK CAPITAL MGMT		WFMI	SS	20,000	36.89	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	WRC	S	30,000	49.63	n/a	6-Aug	1,200.00	4.0
⚡ BUCK CAPITAL MGMT		WRC	S	20,000	50.09	n/a	6-Aug	non-brg	0.8
⚡ BUCK CAPITAL MGMT		WSO	S	3,000	56.75	n/a	n/a	non-brg	0.8
⚡ BUCK CAPITAL MGMT		WYNN	C	5,000	87.29	n/a	10-Sep	non-brg	0.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MILLENIUM PARTNERS	028	WY	S	25,000	16.30	n/a	26-Aug	1,000.00	4.0
DIAMONDBACK CAP MGMT	232	XME	C	10,000	53.10	n/a	n/a	300.00	3.0
B BUCK CAPITAL MGMT		XRT	C	18,500	41.77	n/a	n/a	non-brg	1.0
f ALEXANDRA ELISE ZOLI	FID	ZLC	S	1000	2.14	n/a	n/a	0.00	0.0
TOTAL (Trade Date):							122,325.55		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/23	NOMURA CAPITAL	029	GGC	S	200	16.10	n/a	n/a	6.00 3.0
TOTAL (AO, CXL, CRT) :										6.00

TOTAL (Trade Date):	122,325.55
TOTAL (AO, CXL, CRT):	6.00

TOTAL (RUN DATE) / NFS:	122,331.55
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MRI Securities with Trade Activity on 24-Sep.
NONE

MRI Securities without Trade Activity on 24-Sep.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 19%
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)