



Daily Compliance Activity Report

Trade Date: 11/10/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HARBORWATCH/DIAMBACK	232	AA	S	25,000	13.69	n/a	n/a	1,250.00	5.0
PLATTE RIVER CAPITAL	240	AA	B	54,040	13.76	n/a	n/a	2,161.60	4.0
CHART WELL ADV	028	ABC	B	37,325	30.96	n/a	n/a	1,493.00	4.0
PORTER-ORLIN	044	AEO	B	100,000	15.76	n/a	5-Nov	5,000.00	5.0
B BUCK CAPITAL MGMT		ANN	S	50,000	23.60	n/a	n/a	non-brg	4.0
f JOSEPH CIRO AMATURO	FID	ARM	B	5000	17.88	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ATVI	S	20,000	11.76	n/a	n/a	non-brg	4.0
ROTHSCHILD ASSET	040	AVA	B	52,926	21.72	n/a	n/a	2,117.04	4.0
BASIX	033	AXL	B	51,000	10.71	n/a	1-Nov	1,530.00	3.0
B BUCK CAPITAL MGMT		AXL	S	20,000	10.75	n/a	1-Nov	non-brg	4.0
CATAPULT	040	BEAT	B	193,902	5.19	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BIG	S	50,000	30.14	n/a	5-Nov	non-brg	4.0
HARVEST MGMT	029	BIG	SS	20,000	29.72	n/a	5-Nov	1,000.00	5.0
f JASON ERIC COHEN	FID	BLOAQ	S	1000	0.04	n/a	n/a	0.00	0.0
FIRST NEW YORK LEDDY	035	BSX	B	20,000	6.79	n/a	n/a	800.00	4.0
f DAVID GEORGE BUCK	FID	BUD	B	1000	60.43	n/a	4-Nov	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HUNTER GLOBAL INVESTOR	067	CF	B	25,000	124.94	n/a	n/a	1,250.00	5.0
B BUCK CAPITAL MGMT		COH	B	40,000	52.42	n/a	27-Oct	non-brg	4.0
HARBORWATCH/DIAMBACK	232	CPB	C	25,300	34.55	n/a	n/a	1,265.00	5.0
B BUCK CAPITAL MGMT		CROX	S	100,000	15.18	n/a	n/a	non-brg	4.0
MERRILL ASSET/BLACKROCK	266	CRR	S	2,400	89.57	n/a	22-Oct	96.00	4.0
B BUCK CAPITAL MGMT		CSTR	S	10,000	61.35	n/a	n/a	non-brg	2.5
f DAVID GEORGE BUCK	FID	CS	S	2000	42.90	n/a	n/a	0.00	0.0
HUNTER GLOBAL INVESTOR	067	CTSH	B	10,000	63.65	n/a	n/a	400.00	4.0
JET CAPITAL/CHRIS	041	CTV	B	100,000	32.02	n/a	n/a	3,000.00	3.0
CROWN CAP MGMT	084	CVGI	B	10,000	15.16	n/a	n/a	500.00	5.0
f VICTORIA FINNEGAN DA	FID	CVGI	S	200	15.67	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	C	B	2500	4.38	n/a	10-Nov	0.00	0.0
BENNETT LAWRENCE	028	DECK	S	12,200	61.20	n/a	n/a	488.00	4.0
B BUCK CAPITAL MGMT		DECK	B	20,000	61.12	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DLTR	S	10,000	53.40	n/a	26-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		FDO	SS	50,000	48.46	n/a	7-Oct	non-brg	4.0

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O CAPITAL MGMT	029	FFNW	B	5,000	3.72	n/a	n/a	250.00	5.0
⚡ BUCK CAPITAL MGMT		FL	S	50,000	16.20	n/a	14-Oct	non-brg	4.0
⚡ BUCK CAPITAL MGMT		FOSL	S	20,000	69.67	n/a	n/a	non-brg	4.0
f JOSEPH CIRO AMATURO	FID	FRO	B	2000	27.15	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	FRT	S	6,680	80.18	n/a	n/a	267.20	4.0
f MARC PAUL LUCHANSKY	FID	FSGFX	B	61	11.32	n/a	n/a	0.00	0.0
SONTERRA CAP	041	FTO	S	50,000	14.77	n/a	n/a	2,000.00	4.0
⚡ BUCK CAPITAL MGMT		F	S	20,000	16.50	n/a	4-Nov	non-brg	4.0
OZ MGMT	040	F	C	81,583	16.44	n/a	4-Nov	2,447.49	3.0
TROUBH PART	067	F	B	25,000	16.46	n/a	4-Nov	1,250.00	5.0
f JOSEPH CIRO AMATURO	FID	GAZ	S	10000	9.05	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GCO	S	20,000	32.80	n/a	n/a	800.00	4.0
⚡ BUCK CAPITAL MGMT		GIL	B	20,000	27.38	n/a	18-Oct	non-brg	4.0
⚡ BUCK CAPITAL MGMT		HAL	S	30,000	34.43	n/a	n/a	non-brg	4.0
NOKOMIS PARTNERS	031	IKAN	S	48,240	1.22	n/a	n/a	964.80	2.0
MILLENIUUM PARTNERS	028	IP	B	20,000	25.47	n/a	27-Oct	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		JACK	S	30,000	22.52	n/a	n/a	non-brg	4.0
WEISS PECK	040	JNY	B	17,960	14.11	n/a	28-Oct	898.00	5.0
S.A.C.HABER/BOBBY	044	JPM	B	100,000	40.02	n/a	4-Nov	3,500.00	3.5
SOROS	036	KH	B	12,600	18.00	n/a	n/a	504.00	4.0
B BUCK CAPITAL MGMT		KNX	B	20,000	18.29	n/a	n/a	non-brg	4.0
HARVEST MGMT	029	KSS	B	10,000	52.00	n/a	5-Nov	500.00	5.0
SAGE ASSET MGMT	012	KS	S	39,400	14.86	n/a	n/a	1,970.00	5.0
f KAREN F LEDDY	FID	LEA	B	200	87.82	n/a	29-Oct	0.00	0.0
UNITED STATES PENSION	085	LEG	S	5,000	20.50	n/a	n/a	250.00	5.0
FARALLON CAP MGMT	040	LOGI	B	4,373	20.95	n/a	n/a	131.19	3.0
f DAVID GEORGE BUCK	FID	MON	B	1000	62.15	n/a	5-Nov	0.00	0.0
B BUCK CAPITAL MGMT		MSMSRAW3	C	60,000	127.80	n/a	n/a	non-brg	12.8
B BUCK CAPITAL MGMT		MVRX	C	10,000	202.15	n/a	n/a	non-brg	20.2
B BUCK CAPITAL MGMT		M	B	40,000	24.95	n/a	5-Nov	non-brg	2.5
B BUCK CAPITAL MGMT		NOAH	B	500	12.00	n/a	n/a	non-brg	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		NOAH	S	500	16.80	n/a	n/a	non-brg	2.5
⚡ BUCK CAPITAL MGMT		PERY	S	1,605	22.56	n/a	n/a	non-brg	0.8
⚡ BUCK CAPITAL MGMT		PERY	S	15,600	22.51	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		PERY	S	5,000	22.43	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		PFCB	C	10,000	47.55	n/a	27-Oct	non-brg	4.0
HARBORWATCH/DIAMBACK	232	PHM	S	150,000	7.71	n/a	n/a	4,500.00	3.0
JETSTREAM GLOBAL FUND LP	065	PH	B	14,800	79.77	n/a	20-Oct	740.00	5.0
BUCK CAPITAL MGMT	001	PIR	S	125,000	9.32	n/a	n/a	3,750.00	3.0
⚡ BUCK CAPITAL MGMT		PNRA	C	20,000	93.59	n/a	27-Oct	non-brg	4.0
HUNTER GLOBAL INVESTOR	067	POT	B	30,000	141.76	n/a	n/a	1,500.00	5.0
⚡ BUCK CAPITAL MGMT		PRTY LN	S	450,986	3.55	n/a	n/a	non-brg	0.5
BUCK CAPITAL MGMT	001	PVH	B	20,000	63.65	n/a	18-Oct	800.00	4.0
f JONATHAN RICHARD HAR	FID	SLV	B	100	26.54	n/a	n/a	0.00	0.0
SENATOR INVESTMENT GROUP	036	SOA	S	50,000	19.98	n/a	n/a	1,500.00	3.0
f ANDREW SINCLAIR	FID	SPY	B	100	0.31	n/a	n/a	0.00	0.0
f JASON ERIC COHEN	FID	SPY	B	5	0.57	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		TOL	B	25,000	19.24	n/a	n/a	non-brg	0.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL ASSET/BLACKROCK	266	TTES	S	7,100	34.71	n/a	n/a	284.00	4.0
HARBORWATCH/DIAMBACK	232	TYC	C	25,000	38.92	n/a	9-Nov	1,250.00	5.0
B BUCK CAPITAL MGMT		UAL	SS	47,240	28.17	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		UAL	S	9,700	28.17	n/a	n/a	non-brg	4.0
f JOSEPH CIRO AMATURO	FID	UNG	B	5000	5.88	n/a	n/a	0.00	0.0
SAC CHICAGO ANDREW	031	URBN	B	3,000	32.85	n/a	n/a	105.00	3.5
f JOSEPH CIRO AMATURO	FID	URZ	B	5000	3.35	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	URZ	B	3000	3.30	n/a	n/a	0.00	0.0
CARLSON CAPITAL	290	USB	B	192,300	25.23	n/a	n/a	7,692.00	4.0
STANDARD PACIFIC CAPITAL	040	VALE	SS	165,000	32.98	n/a	n/a	8,250.00	5.0
HARVEST MGMT	029	VFC	SS	5,000	80.81	n/a	22-Oct	250.00	5.0
KLEINHEINZ CAP PART	031	VFC	SS	25,000	80.66	n/a	22-Oct	1,250.00	5.0
f CICYLY S BACKUS	FID	V	B	2000	78.89	n/a	29-Oct	0.00	0.0
METROPOLITAN CAPITAL	044	WBC	B	9,100	49.44	n/a	29-Oct	455.00	5.0
GREEN ARROW DOUG	040	WEN	S	36,800	4.73	n/a	8-Nov	1,840.00	5.0
O CAPITAL MGMT	029	WFSW	B	1,000	5.00	n/a	n/a	50.00	5.0
CATAPULT	040	WMB	S	25,000	22.81	n/a	n/a	1,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
B BUCK CAPITAL MGMT		WRC	B	30,000	53.79	n/a	9-Nov	non-brg 4.0
HARBORWATCH/DIAMBACK	232	XLV	C	30,000	31.19	n/a	n/a	900.00 3.0
TOTAL (Trade Date):							74,199.32	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,	11/09	WILLIAM BLAIR	031	GDP	B	55,679	13.91	n/a	n/a 2227.16 4.0
TOTAL (AO, CXL, CRT) :									2,227.16

TOTAL (Trade Date):	74,199.32
TOTAL (AO, CXL, CRT):	2,227.16

TOTAL (RUN DATE) / NFS:	76,426.48
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MRI Securities with Trade Activity on 10-Nov.
NONE

MRI Securities without Trade Activity on 10-Nov.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 12%
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)