



Daily Compliance Activity Report

Trade Date: 10/05/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f KAREN F LEDDY	FID	ACUZ	B	7500	1.16	n/a	n/a	0.00	0.0
PZENA INV ADV	044	AET	S	2,575	30.93	n/a	n/a	90.13	3.5
APEX CAPITAL MGMT.	261	ANF	B	100,000	38.78	n/a	1-Oct	4,000.00	4.0
BUCK CAPITAL MGMT	001	ANF	B	40,000	38.85	n/a	1-Oct	1,600.00	4.0
CADIAN CAPITAL	067	ANF	B	50,000	38.64	n/a	1-Oct	2,000.00	4.0
ISLE RIDGE PARTNERS	041	AN	B	22,100	23.83	n/a	4-Aug	884.00	4.0
f JASON ERIC COHEN	FID	AVY	S	100	37.78	n/a	23-Aug	0.00	0.0
f KAREN F LEDDY	FID	AXL	S	775	8.86	n/a	4-Aug	0.00	0.0
B BUCK CAPITAL MGMT		AXP	B	26,500	37.64	n/a	5-Oct	non-brg	4.0
CAXTON PART	040	AXP	C	50,000	38.00	n/a	5-Oct	1,750.00	3.5
CAVU CAP ADV	028	BA	S	30,000	67.35	n/a	17-Sep	1,500.00	5.0
f CHRISTOPHER ROBERT C	FID	BEE	S	1000	4.34	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	BKC	S	3000	23.93	n/a	29-Sep	0.00	0.0
FARALLON CAP MGMT	040	BMC	S	13,400	40.43	n/a	n/a	536.00	4.0
GLOBAL 56 LLC	060	BONT	S	2,500	10.50	n/a	n/a	125.00	5.0
f KAREN F LEDDY	FID	BP	B	250	41.32	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MAY Y TANG	FID	BRKB	S	23	83.59	n/a	n/a	0.00	0.0
FIRST NEW YORK LEDDY	035	BSX	S	20,000	6.12	n/a	n/a	800.00	4.0
f CHRISTOPHER ROBERT C	FID	BUD	B	100	59.16	n/a	15-Sep	0.00	0.0
CONIFER/ISF	025	CA	S	1,800	21.62	n/a	n/a	90.00	5.0
IMPALA ASSET MMT	012	CENX	B	100,000	13.27	n/a	n/a	3,000.00	3.0
IMPALA ASSET MMT	012	CHRW	B	27,700	71.44	n/a	n/a	1,385.00	5.0
f MARC PAUL LUCHANSKY	FID	CHTP	S	2000	5.46	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		CNW	S	20,000	31.28	n/a	n/a	non-brg	1.0
f CHRISTOPHER ROBERT C	FID	COF	B	100	40.44	n/a	29-Sep	0.00	0.0
BIXBY LLC	070	COG	B	1,000	31.02	5-Oct	5-Oct	40.00	4.0
f DAVID GEORGE BUCK	FID	COP	S	1500	58.81	n/a	n/a	0.00	0.0
MATRIX ASSET ADV.	091	COP	S	1,300	58.30	n/a	n/a	52.00	4.0
f JOSEPH CIRO AMATURO	FID	CVGI	S	3800	10.20	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	CVGI	B	1000	10.05	n/a	n/a	0.00	0.0
Õ Ravi Sadarangani		CVGI	B	2000	9.97	n/a	n/a	0.00	0.0
RAINIER INV MGMT	035	CXO	B	85,580	68.19	n/a	n/a	3,423.20	4.0
BALYASNY ASSET MGMT	044	DAN	S	20,000	12.75	n/a	2-Aug	1,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RWC PARTNERS LTD	067	DAN	B	68,754	12.90	n/a	2-Aug	2,062.62	3.0
f DAVID GEORGE BUCK	FID	DDR	S	2500	12.06	n/a	n/a	0.00	0.0
8 BUCK CAPITAL MGMT		DECK	B	10,000	51.99	n/a	n/a	non-brg	4.0
FARALLON CAP MGMT	040	EFA	B	40,000	56.20	n/a	n/a	1,600.00	4.0
FRIESS MGMT	033	EMC	S	485,500	20.36	n/a	n/a	19,420.00	4.0
TALPION LLC	040	EMC	S	30,000	20.37	n/a	n/a	900.00	3.0
DIAMONDBACK CAP MGMT	232	EV	B	10,000	29.61	n/a	n/a	500.00	5.0
8 BUCK CAPITAL MGMT		FINL	B	50,000	14.59	n/a	n/a	non-brg	4.0
EVERCORE WEALTH MGMT	012	FOR	B	20,500	17.11	n/a	26-Aug	820.00	4.0
GRYPHON CAPITAL MGMT	084	F	SS	100,000	12.99	n/a	4-Oct	3,000.00	3.0
ISLE RIDGE PARTNERS	041	GES	S	32,600	39.98	n/a	26-Aug	1,304.00	4.0
JET CAPITAL/CHRIS	041	GGP	S	100,000	16.17	n/a	n/a	3,000.00	3.0
8 BUCK CAPITAL MGMT		GIII	S	35,000	32.06	n/a	n/a	non-brg	1.5
f STEFFANIE CARMELA CA	FID	GMO	B	150	3.55	n/a	n/a	0.00	0.0
f STEFFANIE CARMELA CA	FID	GOL	S	75	16.55	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	GPI	S	14,260	31.16	n/a	4-Aug	570.40	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		GPS	SS	50,000	18.77	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	GS	S	15	2.07	n/a	5-Oct	0.00	0.0
TROUBH PART	067	GT	B	10,000	10.82	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		GYMB	S	42,500	51.62	n/a	1-Oct	non-brg	4.0
f FRANCIS MICHAEL MCCA	FID	GYMB	B	200	50.93	n/a	1-Oct	0.00	0.0
CONIFER/ISF	025	HAS	S	1,500	45.89	n/a	n/a	75.00	5.0
SAC CHICAGO ANDREW	031	HD	B	161,000	31.76	n/a	17-Aug	5,635.00	3.5
B BUCK CAPITAL MGMT		HTZ	B	50,000	10.19	n/a	n/a	non-brg	4.0
f HARALAMBOS EFSTATHI	FID	JCG	S	300	33.34	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	JCG	S	75	33.17	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		JCP	SS	75,000	28.91	n/a	1-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		JCP	S	130,000	28.94	n/a	1-Oct	non-brg	4.0
ISLE RIDGE PARTNERS	041	JCP	B	24,500	28.90	n/a	1-Oct	980.00	4.0
THE JAY GOLDMAN	028	JCP	SS	70,000	28.83	n/a	1-Oct	2,800.00	4.0
B BUCK CAPITAL MGMT		JOSB	S	7,800	45.17	n/a	n/a	non-brg	2.5
WAGONHOUND/NIC	289	KKR	B	4,359	10.80	n/a	n/a	174.36	4.0
IMPALA ASSET MMT	012	KNX	B	52,332	19.07	n/a	n/a	2,093.28	4.0
ISLE RIDGE PARTNERS	041	KNX	B	14,996	19.08	n/a	n/a	599.84	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	KSS	SS	50,000	52.43	n/a	1-Oct	1,750.00	3.5
LEVIN CAPITAL STRATEGIES	012	LEA	S	10,000	80.00	n/a	4-Aug	300.00	3.0
LISTED ERR	099	LEA	B	300	80.00	n/a	4-Aug	0.00	0.0
LISTED ERR	099	LEA	SS	300	80.00	n/a	4-Aug	0.00	0.0
BUCK CAPITAL MGMT	001	LIZ	B	50,000	6.55	n/a	7-Oct	1,500.00	3.0
f DAVID GEORGE BUCK	FID	LVS	S	10	1.71	n/a	4-Oct	0.00	0.0
B BUCK CAPITAL MGMT		MFB	S	15,000	28.69	n/a	n/a	non-brg	4.0
Õ Nilsa Vazquez		MON	B	200	48.15	n/a	28-Sep	0.00	0.0
Õ Nilsa Vazquez		MU	B	1000	6.99	n/a	n/a	0.00	0.0
NEW JERSEY DIV OF INV.	030	NC	S	8,093	88.30	n/a	n/a	323.72	4.0
CASTLE ARK	031	ORCL	B	165,900	27.23	n/a	n/a	8,295.00	5.0
B BUCK CAPITAL MGMT		PAG	S	25,000	13.24	n/a	4-Aug	non-brg	0.8
B BUCK CAPITAL MGMT		PAG	S	75,000	13.23	n/a	4-Aug	non-brg	2.5
WEDBUSH/PACIFIC GROWTH EQTY LLC084	PCAR		B	2,000	48.55		n/a 28-Jul	100.00	5.0
WEDBUSH/PACIFIC GROWTH EQTY LLC084	PCAR		S	100	49.62		n/a 28-Jul	5.00	5.0
TYEE/TYGH	035	PDCO	S	95,839	28.48	n/a	n/a	3,833.56	4.0
B BUCK CAPITAL MGMT		PFCB	SS	10,000	49.25	n/a	29-Sep	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO NESBITT BURNS	041	PKG	B	5,500	23.65	n/a	20-Sep	275.00	5.0
ASCEND PARTNERS	033	PLCE	B	15,000	52.20	n/a	19-Aug	750.00	5.0
B BUCK CAPITAL MGMT		PVH	S	1,000	62.41	n/a	9-Sep	non-brg	4.0
B BUCK CAPITAL MGMT		PVH	S	20,000	62.36	n/a	9-Sep	non-brg	4.0
CAPITAL GROWTH MGMT.	241	RJET	B	70,000	8.62	n/a	n/a	2,100.00	3.0
BMO NESBITT BURNS	041	RKT	SS	4,000	50.83	n/a	n/a	200.00	5.0
TROUBH PART	067	RTN	B	20,000	45.21	n/a	17-Aug	1,000.00	5.0
f KAREN F LEDDY	FID	SBUX	S	400	26.15	n/a	29-Sep	0.00	0.0
f JONATHAN RICHARD HAR	FID	SDS	S	80	28.49	n/a	n/a	0.00	0.0
ROYAL CAPITAL MGMT	070	SHW	SS	80,000	74.96	n/a	1-Sep	4,000.00	5.0
WAGONHOUND/NIC	289	SKS	B	2,231	8.78	n/a	n/a	66.93	3.0
B BUCK CAPITAL MGMT		SKX	B	50,000	23.83	n/a	n/a	non-brg	4.0
WAGONHOUND/NIC	289	SLM	S	55,069	11.39	n/a	1-Oct	2,202.76	4.0
BUCK CAPITAL MGMT	001	SNE	SS	10,000	31.41	n/a	n/a	400.00	4.0
BIXBY LLC	070	SSCC	B	1,000	18.87	n/a	20-Sep	30.00	3.0
ROSEDALE CAPITAL	046	SWN	B	9,000	32.93	n/a	30-Sep	450.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MATRIX ASSET ADV.	091	TEL	S	1,500	29.66	n/a	n/a	60.00	4.0
B BUCK CAPITAL MGMT		TRLG	B	50,000	22.73	n/a	n/a	non-brg	4.0
ISLE RIDGE PARTNERS	041	TSCO	B	19,800	39.25	n/a	n/a	792.00	4.0
SIGMA CAPITAL ASSOCIATES	041	URBN	SS	25,000	31.34	n/a	n/a	875.00	3.5
BMO NESBITT BURNS	041	USG	B	7,000	12.91	n/a	26-Aug	350.00	5.0
f EDWARD W WHEELER	FID	VHC	S	100	3.00	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	VSTOV	B	300	0.00	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	VXX	B	5000	17.05	n/a	n/a	0.00	0.0
SANDLER CAPITAL	226	WDC	SS	100,000	28.13	n/a	n/a	6,000.00	6.0
f JONATHAN RICHARD HAR	FID	WNC	B	500	8.27	n/a	n/a	0.00	0.0
TRUST CO/COWEN/CALF.	040	WPI	S	43,715	44.30	n/a	4-Oct	2,185.75	5.0
AAD CAPITAL	084	WRC	SS	20,000	53.83	n/a	6-Aug	800.00	4.0
BUCK CAPITAL MGMT	001	WRC	S	20,000	53.73	n/a	6-Aug	800.00	4.0
LISTED ERR	099	WRC	S	2,000	53.61	n/a	6-Aug	0.00	0.0
BIXBY LLC	070	YHOO	B	1,500	14.63	n/a	n/a	45.00	3.0
SF SENTRY	085	YUM	SS	5,000	46.89	n/a	5-Oct	250.00	5.0

TOTAL (Trade Date):

108,049.55

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/30	SCOUT/UMB	047	AGCO	S	73,425	38.95	n/a	28-Jul	3671.25 5.0
AO,CRT	09/30	SCOUT/UMB	047	AGCO	S	73,425	38.95	n/a	28-Jul	2202.75 3.0
AO,CRT	09/29	JANA CAPITAL	044	CBS	SS	89,709	15.81	n/a	n/a	3588.36 4.0
AO,CXL	09/29	JANA CAPITAL	044	CBS	SS	89,709	15.81	n/a	n/a	3588.36 4.0
AO,CXL	10/04	EVERCORE WEALTH MGMT	012	FOR	B	18,500	16.74	n/a	26-Aug	925.00 5.0
AO,CRT	10/04	EVERCORE WEALTH MGMT	012	FOR	B	18,500	16.74	n/a	26-Aug	740.00 4.0
AO,CXL	10/01	RWC PARTNERS LTD	067	MRO	B	148,858	33.70	n/a	n/a	4465.74 3.0
AO,CRT	10/01	RWC PARTNERS LTD	067	MRO	B	148,858	33.70	n/a	n/a	4465.74 3.0
AO,	10/04	PIONEER PATH	226	PVH	SS	20,100	60.48	n/a	9-Sep	603.00 3.0
AO,CRT	09/29	JANA CAPITAL	044	S	S	9,368	4.65	n/a	n/a	374.72 4.0
AO,CXL	09/29	JANA CAPITAL	044	S	S	9,368	4.65	n/a	n/a	374.72 4.0
AO,CXL	10/01	JANA CAPITAL	044	SSCC	B	36,983	18.76	n/a	20-Sep	1479.32 4.0
AO,CRT	10/01	JANA CAPITAL	044	SSCC	B	36,983	18.76	n/a	20-Sep	1479.32 4.0

TOTAL (AO, CXL, CRT) :**-1,050.50**

TOTAL (Trade Date) :

108,049.55

TOTAL (AO, CXL, CRT) :

-1,050.50

TOTAL (RUN DATE) / NFS:

106,999.05

MRI Securities with Trade Activity on 5-Oct.

COG

MRI Securities without Trade Activity on 5-Oct.

NONE

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

T-Date = 14%

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)