



# Daily Compliance Activity Report

Trade Date: 11/22/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
OHIO PERS	047	AGN	B	48,000	68.32	n/a	22-Nov	1,440.00	3.0
LAGRANGE CAP ADV	048	ALV	SS	1,719	76.00	n/a	27-Oct	85.95	5.0
REINHART & MAHONEY	047	AMAT	B	2,700	12.58	n/a	n/a	135.00	5.0
PZENA INV ADV	044	APA	S	575	107.69	n/a	16-Nov	20.13	3.5
<b>B BUCK CAPITAL MGMT</b>		<b>ARO</b>	<b>B</b>	<b>30,000</b>	<b>25.98</b>	<b>22-Nov</b>	<b>22-Nov</b>	<b>non-brg</b>	<b>4.0</b>
SURSUM CAPITAL	215	BBY	B	20,000	44.04	n/a	n/a	1,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BID</b>	<b>B</b>	<b>20,000</b>	<b>42.18</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
WATERFRONT CAP	028	BYI	B	41,798	39.38	n/a	n/a	1,671.92	4.0
PZENA INV ADV	044	CA	S	2,950	23.22	n/a	n/a	103.25	3.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CRI</b>	<b>B</b>	<b>50,000</b>	<b>30.11</b>	<b>n/a</b>	<b>n/a</b>	<b>2,000.00</b>	<b>4.0</b>
MERRILL ASSET/BLACKROCK	266	CRR	S	1,100	93.34	n/a	16-Nov	44.00	4.0
OMEGA ADVISORS	041	C	B	100,000	4.20	n/a	18-Nov	3,000.00	3.0
ADALY INV MGMT	031	DELL	B	40,000	13.95	n/a	n/a	1,400.00	3.5
RBC CAPITAL MARKETS	040	DOW	B	25,000	31.15	n/a	15-Nov	1,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	ECA	B	69,000	28.31	n/a	n/a	27.60	0.0
BALYASNY ASSET MGMT	044	EMR	C	35,000	55.47	n/a	n/a	1,750.00	5.0
ROYAL CAPITAL MGMT	070	ERTS	S	424,902	15.40	n/a	n/a	21,245.10	5.0
STRONG/MARK GRONET	030	EXXI	S	10,930	25.77	n/a	n/a	437.20	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>F 2 C18</b>	<b>C</b>	<b>1,250</b>	<b>0.71</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>100.0</b>
<b>f SCOTT L BRUNNER</b>	<b>FID</b>	<b>FAZ</b>	<b>S</b>	<b>5000</b>	<b>12.29</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>FDO</b>	<b>S</b>	<b>400</b>	<b>49.12</b>	<b>n/a</b>	<b>7-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>FRED</b>	<b>S</b>	<b>1200</b>	<b>12.54</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>FSDPX</b>	<b>S</b>	<b>125</b>	<b>63.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MERRILL ASSET/BLACKROCK	266	FTO	B	9,300	15.24	n/a	n/a	372.00	4.0
HOOVER INV. MGMT	033	GCO	B	15,700	36.00	n/a	n/a	628.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>GIII</b>	<b>B</b>	<b>10,000</b>	<b>26.97</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GIII</b>	<b>B</b>	<b>3,507</b>	<b>26.86</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GMCR</b>	<b>B</b>	<b>40,000</b>	<b>34.95</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GMCR</b>	<b>B</b>	<b>60,000</b>	<b>34.28</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
SURSUM CAPITAL	215	GPS	B	20,000	20.72	n/a	n/a	1,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B</b> BUCK CAPITAL MGMT		<b>GS</b>	<b>B</b>	<b>9,500</b>	<b>159.63</b>	<b>n/a</b>	<b>18-Nov</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> KATHERINE L O'GORMAN	<b>FID</b>	<b>GS</b>	<b>S</b>	<b>100</b>	<b>160.39</b>	<b>n/a</b>	<b>18-Nov</b>	<b>0.00</b>	<b>0.0</b>
BERMAN CAPITAL MGMT	046	GYMB	B	5,000	65.37	n/a	5-Nov	150.00	3.0
<b>f</b> CHRISTOPHER ROBERT C	<b>FID</b>	<b>HBI</b>	<b>S</b>	<b>200</b>	<b>26.94</b>	<b>n/a</b>	<b>28-Oct</b>	<b>0.00</b>	<b>0.0</b>
KLEINHEINZ CAP PART	031	HBI	B	25,000	26.82	n/a	28-Oct	1,250.00	5.0
EPOCH INV MGMT	030	HCBK	B	500	11.48	n/a	9-Nov	15.00	3.0
SURSUM CAPITAL	215	HGG	B	25,000	23.31	n/a	n/a	1,250.00	5.0
GRUSS CAPITAL	025	HOGS	S	17,000	18.75	n/a	n/a	510.00	3.0
EPOCH INV MGMT	030	IGT	B	550	15.91	n/a	17-Nov	16.50	3.0
US BANCORP	030	IGT	B	6,369	15.94	n/a	17-Nov	318.45	5.0
WATERFRONT CAP	028	IGT	S	91,500	15.89	n/a	17-Nov	3,660.00	4.0
REINHART & MAHONEY	047	INTC	S	1,600	21.17	n/a	n/a	80.00	5.0
MERRILL ASSET/BLACKROCK	266	IPCC	S	9,000	57.71	n/a	n/a	360.00	4.0
SCOPUS FUND	041	IP	B	25,000	25.36	n/a	27-Oct	1,250.00	5.0
ROTHSCHILD ASSET	040	IWN	S	8,570	65.87	n/a	n/a	342.80	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>JCG</b>	<b>C</b>	<b>80,000</b>	<b>37.06</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> KEVIN MICHAEL O'GORM	<b>FID</b>	<b>JCG</b>	<b>S</b>	<b>1200</b>	<b>37.65</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>JNY</b>	<b>B</b>	<b>20,000</b>	<b>13.90</b>	<b>n/a</b>	<b>28-Oct</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAERUS GLOBAL	041	JNY	B	50,000	13.95	n/a	28-Oct	2,000.00	4.0
SURSUM CAPITAL	215	JNY	B	9,530	13.80	n/a	28-Oct	476.50	5.0
TRELLUS PARTNERS LP	028	JNY	B	50,000	13.86	n/a	28-Oct	2,500.00	5.0
EPOCH INV MGMT	030	KBH	B	650	11.10	n/a	n/a	19.50	3.0
EPOCH INV MGMT	030	LH	B	250	82.64	n/a	n/a	7.50	3.0
FRIESS MGMT	033	LTD	S	581,900	33.17	n/a	n/a	23,276.00	4.0
REINHART & MAHONEY	047	MCD	S	150	79.40	n/a	8-Nov	7.50	5.0
SUFFOLK CAPITAL MGMT	040	MCD	S	95,000	79.33	n/a	8-Nov	3,800.00	4.0
EPOCH INV MGMT	030	MET	B	450	38.49	n/a	n/a	13.50	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>MNRO</b>	<b>S</b>	<b>28,198</b>	<b>49.28</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
US BANCORP	030	MRVL	B	3,745	19.98	n/a	n/a	187.25	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>MSMSRAW2</b>	<b>C</b>	<b>725,000</b>	<b>129.40</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>6.5</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MVRX</b>	<b>C</b>	<b>40,000</b>	<b>205.22</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>20.5</b>
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>MWV</b>	<b>B</b>	<b>200</b>	<b>25.87</b>	<b>n/a</b>	<b>28-Oct</b>	<b>0.00</b>	<b>0.0</b>
REINHART & MAHONEY	047	NTRS	S	700	50.84	n/a	18-Nov	35.00	5.0
SANDLER CAPITAL	226	NXTM	S	65,000	21.05	n/a	n/a	3,250.00	5.0
PZENA INV ADV	044	OMC	S	2,650	45.62	n/a	n/a	92.75	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROTHSCHILD ASSET	040	OMG	B	20,198	37.99	n/a	n/a	807.92	4.0
<b>f JOHN MICHAEL ZOLIDIS</b>	<b>FID</b>	<b>PIR</b>	<b>B</b>	<b>1000</b>	<b>9.35</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PLCE</b>	<b>B</b>	<b>20,000</b>	<b>48.78</b>	<b>n/a</b>	<b>18-Nov</b>	<b>non-brg</b>	<b>4.0</b>
PZENA INV ADV	044	PNC	S	450	55.69	n/a	n/a	15.75	3.5
BASIX	033	PVH	B	8,500	65.25	n/a	18-Oct	255.00	3.0
<b>f JOHN MICHAEL ZOLIDIS</b>	<b>FID</b>	<b>RGS</b>	<b>S</b>	<b>400</b>	<b>18.39</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
US BANCORP	030	ROC	B	1,699	37.21	n/a	n/a	84.95	5.0
<b>f JOHN MICHAEL ZOLIDIS</b>	<b>FID</b>	<b>SKF</b>	<b>S</b>	<b>400</b>	<b>18.76</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SNE</b>	<b>C</b>	<b>70,000</b>	<b>35.20</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f ANDREW SINCLAIR</b>	<b>FID</b>	<b>SPY</b>	<b>B</b>	<b>50</b>	<b>0.52</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f ANDREW SINCLAIR</b>	<b>FID</b>	<b>SPY</b>	<b>S</b>	<b>50</b>	<b>0.64</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BERMAN CAPITAL MGMT	046	SPY	S	10,000	119.60	n/a	n/a	300.00	3.0
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>SPY</b>	<b>B</b>	<b>4</b>	<b>1.72</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PORTER-ORLIN	044	STD	SS	150,000	11.08	n/a	n/a	0.00	0.0
PZENA INV ADV	044	TEL	S	4,700	31.60	n/a	n/a	164.50	3.5
US BANCORP	030	THOR	S	12,853	25.83	n/a	n/a	642.65	5.0
NICOLAS APPELGATE	084	THQI	B	50,900	5.11	n/a	n/a	1,527.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SURSUM CAPITAL	215	TLB	B	20,000	11.25	n/a	n/a	1,000.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>TRLG</b>	<b>B</b>	<b>10,000</b>	<b>21.30</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
MERRILL ASSET/BLACKROCK	266	TTES	S	5,000	34.14	n/a	n/a	200.00	4.0
TRUST CO/COWEN/CALF.	040	TWX	S	103,300	30.53	n/a	n/a	5,165.00	5.0
LEVIN CAPITAL STRATEGIES	012	UAL	S	25,000	28.65	n/a	n/a	750.00	3.0
US BANCORP	030	UAL	B	3,191	28.54	n/a	n/a	159.55	5.0
COOPER CREEK PART	028	UFS	SS	15,000	78.85	n/a	n/a	600.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>URBN</b>	<b>B</b>	<b>10,000</b>	<b>37.34</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>USG</b>	<b>B</b>	<b>150</b>	<b>12.76</b>	<b>n/a</b>	<b>22-Oct</b>	<b>0.00</b>	<b>0.0</b>
REINHART & MAHONEY	047	WFC	B	1,200	27.12	n/a	18-Nov	60.00	5.0
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>WLP</b>	<b>S</b>	<b>80</b>	<b>60.77</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PZENA INV ADV	044	WSH	S	950	32.62	n/a	n/a	33.25	3.5
REINHART & MAHONEY	047	WY	B	918	17.33	n/a	29-Oct	45.90	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>XLFX</b>	<b>C</b>	<b>145,000</b>	<b>14.61</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
KLEINHEINZ CAP PART	031	XOM	SS	575,000	69.35	n/a	n/a	28,750.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>XRT</b>	<b>SS</b>	<b>2,030,000</b>	<b>46.23</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PZENA INV ADV	044	ZMH	S	600	50.15	n/a	n/a	21.00	3.5
<b>TOTAL (Trade Date):</b>							<b>123,610.87</b>		

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/19	NOMURA CAPITAL	029	QLTY	S	20,000	6.66	n/a	n/a	600.00 3.0
TOTAL (AO, CXL, CRT) :										600.00

TOTAL (Trade Date):	123,610.87
TOTAL (AO, CXL, CRT):	600.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>124,210.87</b>
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MRI Securities with Trade Activity on 22-Nov.

**ARO**

MRI Securities without Trade Activity on 22-Nov.

**BA**

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

T-Date = 3%

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)**