



Daily Compliance Activity Report

Trade Date: 10/18/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|------------------------------|------------|-------------|----------|---------------|---------------|------------|---------------|----------------|------------|
| B BUCK CAPITAL MGMT | | AAPL | S | 20,000 | 317.08 | n/a | n/a | non-brg | 4.0 |
| f COLE THOMAS KAICHER | FID | AAPL | S | 11 | 318.02 | n/a | n/a | 0.00 | 0.0 |
| BALYASNY ASSET MGMT | 044 | AEO | B | 10,000 | 16.71 | n/a | 11-Oct | 500.00 | 5.0 |
| B BUCK CAPITAL MGMT | | ANN | B | 30,000 | 21.89 | n/a | n/a | non-brg | 4.0 |
| PATTEN & PATTEN | 067 | APC | B | 150 | 57.44 | n/a | 30-Sep | 7.50 | 5.0 |
| PATTEN & PATTEN | 067 | APD | S | 100 | 82.52 | n/a | 8-Oct | 5.00 | 5.0 |
| f JOEL GIFFORD TISS | FID | ARM | S | 5000 | 16.72 | n/a | n/a | 0.00 | 0.0 |
| f JASON ERIC COHEN | FID | AVY | S | 50 | 38.29 | n/a | 23-Aug | 0.00 | 0.0 |
| WAGONHOUND/NIC | 289 | AXL | S | 62,056 | 9.13 | n/a | 11-Oct | 1,861.68 | 3.0 |
| DELTEC ASSET MGMT. | 040 | BEAV | S | 10,000 | 32.21 | n/a | 12-Oct | 500.00 | 5.0 |
| B BUCK CAPITAL MGMT | | CAKE | C | 40,000 | 27.66 | n/a | 18-Oct | non-brg | 4.0 |
| BMO NESBITT BURNS | 041 | CEPH | B | 4,000 | 64.52 | 18-Oct | 18-Oct | 200.00 | 5.0 |
| B BUCK CAPITAL MGMT | | CHS | S | 30,000 | 10.61 | n/a | 5-Feb | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | COF | B | 27,500 | 36.49 | n/a | 15-Oct | non-brg | 4.0 |
| f JOSEPH CIRO AMATURO | FID | CVGI | S | 3000 | 11.81 | n/a | n/a | 0.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------------|------------|--------------|----------|---------------|--------------|------------|---------------|----------------|------------|
| THIRD COAST CAPITAL | 035 | CVGI | B | 10,000 | 11.90 | n/a | n/a | 500.00 | 5.0 |
| B BUCK CAPITAL MGMT | | DBRN | B | 30,000 | 25.10 | n/a | n/a | non-brg | 4.0 |
| PLATTE RIVER CAPITAL | 240 | DELL | S | 10,000 | 14.47 | n/a | n/a | 400.00 | 4.0 |
| PATTEN & PATTEN | 067 | DOW | B | 250 | 29.90 | n/a | 13-Oct | 12.50 | 5.0 |
| PATTEN & PATTEN | 067 | DVN | S | 120 | 68.23 | n/a | 30-Sep | 6.00 | 5.0 |
| GREEN ARROW DOUG | 040 | EAT | SS | 50,000 | 20.08 | n/a | n/a | 2,500.00 | 5.0 |
| HOPLITE MGMT | 025 | EMC | S | 851,720 | 20.67 | n/a | n/a | 34,068.80 | 4.0 |
| M&I FUNDS | 047 | ETN | S | 14,144 | 84.19 | n/a | 4-Oct | 565.76 | 4.0 |
| PATTEN & PATTEN | 067 | ETN | B | 75 | 83.97 | n/a | 4-Oct | 3.75 | 5.0 |
| PATTEN & PATTEN | 067 | EWL | B | 550 | 24.08 | n/a | n/a | 27.50 | 5.0 |
| SONTERRA CAP | 041 | EXC | SS | 20,000 | 43.71 | n/a | n/a | 800.00 | 4.0 |
| f DAVID S HOCHSTIM | FID | FDLXX | S | 80000 | 1.00 | n/a | n/a | 0.00 | 0.0 |
| f CHRISTOPHER ROBERT C | FID | FFIV | B | 75 | 92.82 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | FINL | B | 50,000 | 16.30 | n/a | n/a | non-brg | 4.0 |
| f JOSEPH CIRO AMATURO | FID | FOR | S | 600 | 17.91 | n/a | 18-Oct | 0.00 | 0.0 |
| f MITCHELL JAMES SPEIS | FID | FSNXX | B | 540 | 1.00 | n/a | n/a | 0.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|-------------------|----------|----------------|--------------|------------|---------------|----------------|--------------|
| f KAREN F LEDDY | FID | F | S | 900 | 13.80 | n/a | 4-Oct | 0.00 | 0.0 |
| WADDELL AND REED | 047 | GE | S | 1,000,000 | 16.12 | n/a | n/a | 30,000.00 | 3.0 |
| NOMURA CAPITAL | 029 | GGC | S | 12,154 | 19.89 | n/a | n/a | 364.62 | 3.0 |
| f JASON ERIC COHEN | FID | GLW | S | 100 | 18.57 | n/a | 14-Sep | 0.00 | 0.0 |
| GREEN ARROW DOUG | 040 | GPS | S | 10,000 | 19.84 | n/a | n/a | 500.00 | 5.0 |
| B BUCK CAPITAL MGMT | | GYMB | S | 156,500 | 65.00 | n/a | 8-Oct | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | HAL 11 C36 | C | 1,500 | 0.56 | n/a | n/a | non-brg | 100.0 |
| f DAVID GEORGE BUCK | FID | HOT | B | 1500 | 55.29 | n/a | 8-Sep | 0.00 | 0.0 |
| PATTEN & PATTEN | 067 | HYG | S | 200 | 89.93 | n/a | n/a | 10.00 | 5.0 |
| PATTEN & PATTEN | 067 | IJH | B | 200 | 81.95 | n/a | n/a | 10.00 | 5.0 |
| LATEFF MGMT | 035 | IP | B | 17,500 | 23.66 | n/a | 18-Oct | 1,050.00 | 6.0 |
| PATTEN & PATTEN | 067 | KBE | S | 400 | 22.86 | n/a | n/a | 20.00 | 5.0 |
| BENNETT LAWRENCE | 028 | KFRC | B | 24,450 | 14.97 | n/a | n/a | 978.00 | 4.0 |
| SYSTEMATIC FINANCIAL MGT | 035 | KSS | S | 92,275 | 52.86 | n/a | 11-Oct | 2,768.25 | 3.0 |
| f MANNY I KORMAN | FID | LNCR | S | 170 | 0.95 | n/a | n/a | 0.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|------------|----------|-------------|--------------|------------|---------------|-------------|------------|
| DC CAPITAL | 044 | LNC | S | 50,000 | 25.56 | n/a | n/a | 2,500.00 | 5.0 |
| JP MORGAN VENTURES | 046 | LOW | B | 10,000 | 21.05 | n/a | 16-Aug | 500.00 | 5.0 |
| MESIROW | 031 | LPS | S | 5,612 | 26.68 | n/a | n/a | 224.48 | 4.0 |
| PATTEN & PATTEN | 067 | LQD | S | 125 | 112.04 | n/a | n/a | 6.25 | 5.0 |
| f DAVID GEORGE BUCK | FID | MAR | B | 1000 | 35.55 | n/a | 8-Oct | 0.00 | 0.0 |
| MERRILL ASSET/BLACKROCK | 266 | MCY | B | 10,700 | 42.75 | n/a | n/a | 428.00 | 4.0 |
| WAGONHOUND/NIC | 289 | MON | B | 10,450 | 56.76 | n/a | 11-Oct | 418.00 | 4.0 |
| TRUSTCO/SUNTRUST | 040 | MSFT | S | 150,950 | 25.92 | n/a | n/a | 5,283.25 | 3.5 |
| DIAMONDBACK CAP MGMT | 232 | MS | S | 10,000 | 25.39 | n/a | 15-Oct | 500.00 | 5.0 |
| PATTEN & PATTEN | 067 | NVS | B | 25 | 59.64 | n/a | n/a | 1.25 | 5.0 |
| NEWLAND CAPITAL MGT | 067 | PAG | S | 10,000 | 13.86 | n/a | 11-Oct | 400.00 | 4.0 |
| WEISS PECK | 040 | PAG | B | 29,530 | 13.71 | n/a | 11-Oct | 1,476.50 | 5.0 |
| f DAVID GEORGE BUCK | FID | PCH | B | 1000 | 35.59 | n/a | 18-Oct | 0.00 | 0.0 |
| PATTEN & PATTEN | 067 | PEP | B | 45 | 66.56 | n/a | n/a | 2.25 | 5.0 |
| MELLON/BANK OF NEW YORK | 046 | PFE | B | 4,715 | 17.66 | n/a | n/a | 235.75 | 5.0 |
| PATTEN & PATTEN | 067 | PID | B | 600 | 15.30 | n/a | n/a | 30.00 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------------|------------|-------------|----------|------------|--------------|------------|---------------|--------------|------------|
| MERRILL ASSET/BLACKROCK | 266 | PRE | B | 6,100 | 81.00 | n/a | n/a | 244.00 | 4.0 |
| PATTEN & PATTEN | 067 | PX | B | 100 | 90.66 | n/a | 23-Aug | 5.00 | 5.0 |
| PATTEN & PATTEN | 067 | QCOM | B | 25 | 44.24 | n/a | n/a | 1.25 | 5.0 |
| FIRST NEW YORK NICK | 029 | Q | S | 10,000 | 6.35 | n/a | n/a | 500.00 | 5.0 |
| MERRILL ASSET/BLACKROCK | 266 | RGA | B | 9,400 | 48.66 | n/a | n/a | 376.00 | 4.0 |
| SENATOR INVESTMENT GROUP | 036 | RKT | B | 40,000 | 53.77 | n/a | n/a | 1,200.00 | 3.0 |
| ARCHON CAPITAL | 035 | RNOW | S | 9,000 | 25.05 | n/a | n/a | 270.00 | 3.0 |
| PERRY PARTNERS | 085 | RVBD | B | 75,000 | 46.48 | n/a | n/a | 3,750.00 | 5.0 |
| Õ Nilsa Vazquez | | SBUX | S | 200 | 27.34 | n/a | 15-Oct | 0.00 | 0.0 |
| PATTEN & PATTEN | 067 | SHY | S | 100 | 84.44 | n/a | n/a | 5.00 | 5.0 |
| GRUSS CAPITAL | 025 | SPR | S | 5,000 | 21.36 | n/a | 12-Oct | 150.00 | 3.0 |
| f ANDREW SINCLAIR | FID | SPY | B | 60 | 0.50 | n/a | n/a | 0.00 | 0.0 |
| TALKOT CAPITAL LLC | 084 | SSCC | S | 5,000 | 22.27 | n/a | 18-Oct | 200.00 | 4.0 |
| f JASON ERIC COHEN | FID | TBT | S | 100 | 33.42 | n/a | n/a | 0.00 | 0.0 |
| f KATHERINE L O'GORMAN | FID | TBT | S | 400 | 33.58 | n/a | n/a | 0.00 | 0.0 |
| f KEVIN MICHAEL O'GORM | FID | TBT | S | 800 | 33.57 | n/a | n/a | 0.00 | 0.0 |

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|-------------------------------|------------|-------------|----------|---------------|--------------|---------------|---------------|----------------|------------|
| PATTEN & PATTEN | 067 | TEVA | B | 100 | 54.42 | n/a | 18-Oct | 5.00 | 5.0 |
| f JONATHAN RICHARD HAR | FID | TEX | B | 200 | 24.61 | 18-Oct | 18-Oct | 0.00 | 0.0 |
| f KAREN F LEDDY | FID | TEX | B | 400 | 24.59 | 18-Oct | 18-Oct | 0.00 | 0.0 |
| PATTEN & PATTEN | 067 | TSCO | B | 275 | 39.03 | n/a | n/a | 13.75 | 5.0 |
| MELLON/BANK OF NEW YORK | 046 | TSM | B | 78,595 | 10.28 | n/a | n/a | 3,143.80 | 4.0 |
| MELLON/BANK OF NEW YORK | 046 | TXN | S | 36,800 | 28.21 | n/a | n/a | 1,840.00 | 5.0 |
| PATTEN & PATTEN | 067 | T | B | 35 | 28.51 | n/a | n/a | 1.75 | 5.0 |
| B BUCK CAPITAL MGMT | | URBN | B | 20,000 | 30.90 | n/a | n/a | non-brg | 4.0 |
| f DAVID GEORGE BUCK | FID | VNO | B | 500 | 88.40 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | VSTO | S | 9,311 | 63.00 | n/a | n/a | non-brg | 4.0 |
| f JOSEPH CIRO AMATURO | FID | VXX | B | 5000 | 14.38 | n/a | n/a | 0.00 | 0.0 |
| BROADARCH CAP/OLD NEWC | 070 | WERN | C | 10,700 | 21.05 | n/a | n/a | 428.00 | 4.0 |
| B BUCK CAPITAL MGMT | | WFMI | C | 30,000 | 38.49 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | WFMI | C | 40,000 | 38.46 | n/a | n/a | non-brg | 4.0 |
| SAC ENERGY GS-BOB | 044 | WFT | S | 100,000 | 18.47 | n/a | n/a | 3,500.00 | 3.5 |
| BMO NESBITT BURNS | 041 | WPI | S | 4,000 | 47.32 | 18-Oct | 18-Oct | 200.00 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|-----|--------|-----|--------|-------|-----|----------|-------------------|-----|
| EGS ASSOCIATES LP | 091 | WRC | B | 4,000 | 57.10 | n/a | 18-Oct | 240.00 | 6.0 |
| EGS ASSOCIATES LP | 091 | WRC | SS | 100 | 57.21 | n/a | 18-Oct | 6.00 | 6.0 |
| PATTEN & PATTEN | 067 | XLK | B | 350 | 24.08 | n/a | n/a | 17.50 | 5.0 |
| PATTEN & PATTEN | 067 | XLU | B | 300 | 32.07 | n/a | n/a | 15.00 | 5.0 |
| TOTAL (Trade Date): | | | | | | | | 105,777.14 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------------------------------|-------|-------------------|------|--------|-----|--------|--------|-----|----------|-------------------|
| AO, | 10/15 | ACK ASSET | 028 | BEAV | S | 12,018 | 32.23 | n/a | 12-Oct | 360.54 3.0 |
| AO,CRT | 10/15 | ACK ASSET | 028 | BEAV | SS | 12,982 | 32.23 | n/a | 12-Oct | 389.46 3.0 |
| AO,CXL | 10/15 | ACK ASSET | 028 | BEAV | SS | 25,000 | 32.23 | n/a | 12-Oct | 750.00 3.0 |
| AO,CXL | 10/15 | COOPER CREEK PART | 028 | BEAV | SS | 10,000 | 32.06 | n/a | 12-Oct | 500.00 5.0 |
| AO,CRT | 10/15 | COOPER CREEK PART | 028 | BEAV | SS | 10,000 | 32.06 | n/a | 12-Oct | 400.00 4.0 |
| AO, | 10/15 | COLUMBUS CIRCLE | 036 | GOOG | B | 2,600 | 597.46 | n/a | n/a | 104.00 4.0 |
| AO,CRT | 10/15 | PILOT ADV | 242 | HD | SS | 16,000 | 30.48 | n/a | 7-Oct | 480.00 3.0 |
| AO,CXL | 10/15 | PILOT ADV | 242 | HD | SS | 1,000 | 30.48 | n/a | 7-Oct | 40.00 4.0 |
| AO,CRT | 10/15 | PILOT ADV | 242 | LOW | SS | 26,000 | 21.48 | n/a | 16-Aug | 780.00 3.0 |
| AO,CXL | 10/15 | PILOT ADV | 242 | LOW | SS | 1,600 | 21.48 | n/a | 16-Aug | 64.00 4.0 |
| AO,CRT | 10/15 | COOPER CREEK PART | 028 | NDN | B | 20,000 | 15.97 | n/a | 8-Oct | 800.00 4.0 |
| AO,CXL | 10/15 | COOPER CREEK PART | 028 | NDN | B | 20,000 | 15.97 | n/a | 8-Oct | 1000.00 5.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | 960.00 |
| TOTAL (Trade Date): | | | | | | | | | | 105,777.14 |
| TOTAL (AO, CXL, CRT): | | | | | | | | | | 960.00 |
| TOTAL (RUN DATE) / NFS: | | | | | | | | | | 106,737.14 |

MRI Securities with Trade Activity on 18-Oct.

CEPH, TEX, WPI

MRI Securities without Trade Activity on 18-Oct.

SIAL

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

T-Date = 0%

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)