



# Daily Compliance Activity Report

Trade Date: 11/12/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SENATOR INVESTMENT GROUP	036	AA	SS	200,000	13.56	n/a	n/a	6,000.00	3.0
HARBORWATCH/DIAMBACK	232	ACI	B	25,000	28.90	n/a	n/a	1,250.00	5.0
ß BUCK CAPITAL MGMT		AEO	S	250,000	15.40	n/a	5-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		ANN	S	50,000	22.83	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	ARO	S	487,100	24.16	n/a	5-Nov	19,484.00	4.0
f ANDREW SINCLAIR	FID	ATVI	B	1000	11.55	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		ATVI	S	40,000	11.46	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	BID	B	10,000	43.81	n/a	n/a	400.00	4.0
REINHART & MAHONEY	047	BKI	S	3,250	18.27	n/a	n/a	162.50	5.0
ASCEND PARTNERS	033	BUD	S	50,000	59.18	n/a	4-Nov	2,500.00	5.0
ß BUCK CAPITAL MGMT		CHS	S	150,000	10.19	n/a	5-Feb	non-brg	4.0
ß BUCK CAPITAL MGMT		CHS	S	50,000	10.35	n/a	5-Feb	non-brg	4.0
TRUSTCO/SUNTRUST	040	COF	B	15,950	39.25	n/a	12-Nov	558.25	3.5
BUCK CAPITAL MGMT	001	COH	B	40,000	51.91	n/a	27-Oct	1,600.00	4.0
JP MORGAN VENTURES	046	COST	B	10,000	65.45	n/a	n/a	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		CROX	B	50,000	15.85	n/a	n/a	non-brg	4.0
f KAREN F LEDDY	FID	C	B	3000	4.28	n/a	12-Nov	0.00	0.0
GALT INVESTMENT	041	DBRN	S	25,000	23.82	n/a	n/a	1,250.00	5.0
B BUCK CAPITAL MGMT		DECK	B	80,000	61.00	n/a	n/a	non-brg	4.0
JP MORGAN VENTURES	046	DLTR	SS	5,000	53.17	n/a	26-Oct	250.00	5.0
CATAPULT	040	DNR	B	25,000	19.04	n/a	n/a	1,000.00	4.0
B BUCK CAPITAL MGMT		DRI	C	70,000	48.58	n/a	15-Oct	non-brg	4.0
SASCO	239	DUK	B	60,000	17.76	n/a	n/a	2,400.00	4.0
ROSEDALE CAPITAL	046	DVN	S	15,000	72.03	n/a	4-Nov	750.00	5.0
MERRILL ASSET/BLACKROCK	266	ESS	S	7,700	111.71	n/a	n/a	308.00	4.0
B BUCK CAPITAL MGMT		FDO	SS	20,000	48.24	n/a	7-Oct	non-brg	4.0
O CAPITAL MGMT	029	FFNW	B	3,600	3.31	n/a	n/a	180.00	5.0
BUCK CAPITAL MGMT	001	FL	S	200,000	16.18	n/a	14-Oct	8,000.00	4.0
B BUCK CAPITAL MGMT		FOSL	S	20,000	67.67	n/a	n/a	non-brg	4.0
DIAMONDBACK CAP MGMT	232	FXI	C	10,000	45.93	n/a	n/a	300.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DIAMONDBACK CAP MGMT	232	FXI	SS	11,000	46.53	n/a	n/a	330.00	3.0
LEVEL GLOBAL SHARED ACCT	257	GES	S	100,000	41.04	n/a	18-Oct	3,000.00	3.0
BUCK CAPITAL MGMT	001	GIL	B	20,000	26.61	n/a	18-Oct	800.00	4.0
Ⓐ BUCK CAPITAL MGMT		GMCR	S	100,000	31.58	n/a	n/a	non-brg	2.5
JP MORGAN VENTURES	046	GPS	B	10,000	20.43	n/a	n/a	500.00	5.0
RBC CAPITAL MARKETS	040	GPS	B	25,000	20.43	n/a	n/a	1,000.00	4.0
EGS ASSOCIATES LP	091	HBI	B	3,500	24.71	n/a	28-Oct	210.00	6.0
BMO NESBITT BURNS	041	HD	B	3,000	31.47	n/a	12-Nov	150.00	5.0
Ⓐ BUCK CAPITAL MGMT		HD	SS	250,000	31.42	n/a	12-Nov	non-brg	4.0
MERRILL ASSET/BLACKROCK	266	HMN	S	10,000	17.04	n/a	n/a	400.00	4.0
REINHART & MAHONEY	047	HPQ	S	18,683	42.84	n/a	n/a	934.15	5.0
GRANITE CAPITAL	028	INTC	B	75,000	21.50	n/a	n/a	3,750.00	5.0
MERRILL ASSET/BLACKROCK	266	IPCC	S	5,000	59.53	n/a	n/a	200.00	4.0
Ⓐ BUCK CAPITAL MGMT		JCP	SS	170,000	31.59	n/a	5-Nov	non-brg	4.0
RBC CAPITAL MARKETS	040	JCP	SS	25,000	31.78	n/a	5-Nov	1,000.00	4.0
MERRILL ASSET/BLACKROCK	266	JLL	S	5,800	83.21	n/a	n/a	232.00	4.0
PILOT ADV	242	JNY	S	38,027	13.60	n/a	28-Oct	1,521.08	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		JOSB	S	20,000	41.43	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		JWN	S	50,000	41.39	n/a	5-Nov	non-brg	4.0
SAC CAP/ROSEN FOR BOBBY	044	KR	B	5,460	22.73	n/a	n/a	191.10	3.5
B BUCK CAPITAL MGMT		LL	S	20,000	21.89	n/a	n/a	non-brg	4.0
BMO NESBITT BURNS	041	LOW	SS	7,000	21.63	n/a	12-Nov	350.00	5.0
OZ MGMT	040	LOW	SS	80,000	21.98	n/a	12-Nov	2,400.00	3.0
ROTHSCHILD ASSET	040	MAA	S	4,810	61.65	n/a	n/a	192.40	4.0
SENATOR INVESTMENT GROUP	036	MRK	B	50,000	34.75	n/a	n/a	1,500.00	3.0
B BUCK CAPITAL MGMT		MSMSRAW3	SS	65,000	126.72	n/a	n/a	non-brg	12.7
BUCK CAPITAL MGMT	001	MW	SS	50,000	26.80	n/a	n/a	2,000.00	4.0
BALYASNY ASSET MGMT	044	M	B	50,000	25.02	n/a	11-Nov	2,500.00	5.0
KADE CAPITAL LLC	028	M	B	15,000	25.01	n/a	11-Nov	750.00	5.0
SAXON WOODS ADVISORS	242	NSC	S	15,000	60.78	n/a	n/a	600.00	4.0
MERRILL ASSET/BLACKROCK	266	OI	B	7,600	28.00	n/a	n/a	304.00	4.0
COHE & STEERS	041	PCL	S	209,909	37.51	n/a	26-Oct	8,396.36	4.0
B BUCK CAPITAL MGMT		PERY	S	3,710	21.83	n/a	n/a	non-brg	0.8

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B</b>	<b>BUCK CAPITAL MGMT</b>		<b>PERY</b>	<b>S</b>	<b>4,738</b>	<b>21.80</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
	<b>LISTED ERR</b>	<b>099</b>	<b>PG</b>	<b>B</b>	<b>5,000</b>	<b>64.23</b>	<b>n/a</b>	<b>27-Oct</b>	<b>0.00</b>	<b>0.0</b>
	<b>LISTED ERR</b>	<b>099</b>	<b>PG</b>	<b>S</b>	<b>5,000</b>	<b>64.25</b>	<b>n/a</b>	<b>27-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b>	<b>BUCK CAPITAL MGMT</b>		<b>PIR</b>	<b>S</b>	<b>50,000</b>	<b>9.50</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
	TALKOT CAPITAL LLC	084	PKG	B	25,000	25.30	n/a	19-Oct	1,000.00	4.0
	METROPOLITAN CAPITAL	044	PLCE	S	7,600	48.09	n/a	21-Oct	380.00	5.0
	SAC TRADING TOM LEDDY	035	PVH	B	25,000	60.23	n/a	18-Oct	875.00	3.5
	COHE & STEERS	041	RYN	S	200,000	52.85	n/a	27-Oct	8,000.00	4.0
	<b>LISTED ERR</b>	<b>099</b>	<b>RYN</b>	<b>S</b>	<b>2,184</b>	<b>53.26</b>	<b>n/a</b>	<b>27-Oct</b>	<b>0.00</b>	<b>0.0</b>
	RBC CAPITAL MARKETS	040	SBUX	B	10,000	30.13	n/a	5-Nov	400.00	4.0
	GALT INVESTMENT	041	SCSS	B	9,065	8.00	n/a	n/a	271.95	3.0
<b>f</b>	<b>ANDREW SINCLAIR</b>	<b>FID</b>	<b>SIL</b>	<b>B</b>	<b>500</b>	<b>23.07</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
	KACELA CAPITAL	034	SPLS	SS	65,000	20.31	n/a	n/a	2,600.00	4.0
<b>f</b>	<b>ANDREW SINCLAIR</b>	<b>FID</b>	<b>SPY</b>	<b>B</b>	<b>500</b>	<b>0.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b>	<b>ANDREW SINCLAIR</b>	<b>FID</b>	<b>SPY</b>	<b>S</b>	<b>100</b>	<b>0.34</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
	RBC CAPITAL MARKETS	040	SWY	B	20,000	22.91	n/a	n/a	800.00	4.0
	LATEFF MGMT	035	TEVA	B	500	50.47	n/a	12-Nov	160.00	32.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	TGT	SS	100,000	54.13	n/a	5-Nov	4,000.00	4.0
SENATOR INVESTMENT GROUP	036	TIN	B	20,131	20.31	n/a	20-Oct	603.93	3.0
B BUCK CAPITAL MGMT		TLB	S	30,000	10.11	n/a	n/a	non-brg	4.0
CATAPULT	040	UNH	B	100,000	36.67	n/a	n/a	5,000.00	5.0
COBALT	041	USG	SS	62,500	14.39	n/a	22-Oct	3,125.00	5.0
f JOEL GIFFORD TISS	FID	USG	B	2000	14.45	n/a	22-Oct	0.00	0.0
f JOEL GIFFORD TISS	FID	USG	S	2000	13.62	n/a	22-Oct	0.00	0.0
TRUST CO/COWEN/CALF.	040	WOR	B	6,640	16.14	n/a	n/a	265.60	4.0
WEINTRAUB CAPITAL MGT.	040	WY	S	50,000	17.46	n/a	29-Oct	2,000.00	4.0
TOTAL (Trade Date):								109,585.32	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/11	CATAPULT	040	BEAT	B	35,892	5.14	n/a	n/a	1794.60 5.0
AO,	11/11	HARBORWATCH/DIAMBACK	232	CPB	C	10,000	34.20	n/a	n/a	500.00 5.0
AO,	11/11	PILOT ADV	242	JNY	S	11,400	13.65	n/a	28-Oct	456.00 4.0
AO,CRT	11/11	BIXBY LLC	070	KEG	B	25,000	10.91	n/a	28-Oct	750.00 3.0
AO,CXL	11/11	BIXBY LLC	070	KEG	B	25,000	10.91	n/a	28-Oct	1000.00 4.0
AO,	11/11	LISTED ERR	099	RYN	B	2,184	53.42	n/a	27-Oct	0.00 0.0
AO,	11/11	COHE & STEERS	041	RYN	S	100,000	53.56	n/a	27-Oct	4000.00 4.0

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**TOTAL (AO, CXL, CRT) :** **6,500.60**

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**TOTAL (Trade Date) :** **109,585.32****TOTAL (AO, CXL, CRT) :** **6,500.60**

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**TOTAL (RUN DATE) / NFS:** **116,085.92**

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MRI Securities with Trade Activity on 12-Nov. NONE
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MRI Securities without Trade Activity on 12-Nov.

HST, H, KSS, MIDD

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

T-Date = 36%

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)**