



Daily Compliance Activity Report

Trade Date: 10/13/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	AAPL	B	300	301.00	n/a	n/a	9.00	3.0
B BUCK CAPITAL MGMT		ABFS	S	25,000	25.14	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	ABT	S	1500	53.24	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	ABT	S	600	53.20	n/a	n/a	0.00	0.0
HOPLITE MGMT	025	ADTN	SS	168,000	33.00	n/a	n/a	8,400.00	5.0
SYSTEMATIC FINANCIAL MGT	035	AEO	B	24,600	17.21	n/a	11-Oct	738.00	3.0
B BUCK CAPITAL MGMT		AMR	B	50,000	6.39	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		ANN	B	10,000	22.01	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ANN	B	40,000	22.00	n/a	n/a	non-brg	4.0
SENATOR INVESTMENT GROUP	036	ANR	B	100,000	47.08	n/a	n/a	3,000.00	3.0
f JASON ERIC COHEN	FID	AONE	S	200	9.38	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	APC	B	1,300	58.48	n/a	30-Sep	39.00	3.0
PLATTE RIVER CAPITAL	240	ARM	B	20,000	17.23	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	ARO	B	50,000	27.13	n/a	11-Oct	2,000.00	4.0
f MARC PAUL LUCHANSKY	FID	ATVI	B	500	11.42	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f BARBARA S LEDDY	FID	AXL	S	500	9.11	n/a	11-Oct	0.00	0.0
f KAREN F LEDDY	FID	AXL	S	2140	9.14	n/a	11-Oct	0.00	0.0
f MARC PAUL LUCHANSKY	FID	AXL	S	1000	9.11	n/a	11-Oct	0.00	0.0
DIAMONDBACK CAP MGMT	232	BAC	C	25,000	13.28	n/a	8-Oct	1,250.00	5.0
B BUCK CAPITAL MGMT		BHI	S	10,000	45.38	n/a	n/a	non-brg	4.0
f JOEL GIFFORD TISS	FID	BRKB	B	2500	83.66	n/a	n/a	0.00	0.0
CAVU CAP ADV	028	BYD	B	25,000	8.43	n/a	n/a	1,250.00	5.0
THE JAY GOLDMAN	028	BYD	B	25,000	8.39	n/a	n/a	1,000.00	4.0
B BUCK CAPITAL MGMT		CAKE	C	20,000	27.51	n/a	29-Sep	non-brg	4.0
MERRILL ASSET/BLACKROCK	266	CFR	B	9,400	54.34	n/a	n/a	376.00	4.0
BUCK CAPITAL MGMT	001	CHS	S	120,000	11.26	n/a	5-Feb	4,800.00	4.0
SIGMA CAPITAL ASSOCIATES	041	CHS	SS	50,000	11.15	n/a	5-Feb	1,750.00	3.5
f DAVID GEORGE BUCK	FID	CL	B	700	75.78	n/a	30-Sep	0.00	0.0
B BUCK CAPITAL MGMT		CNW	S	35,000	32.04	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		COH	B	10,000	44.58	n/a	4-Aug	non-brg	4.0
PARAMETER CAPITAL MGMT LLC044		CYN	B	18,300	54.96	n/a	n/a	732.00	4.0
ROTHSCHILD ASSET	040	CYT	S	7,400	60.56	n/a	n/a	296.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f ANDREW SINCLAIR	FID	C	S	290	0.10	n/a	8-Oct	0.00	0.0
f DAVID GEORGE BUCK	FID	C	B	7000	4.28	n/a	8-Oct	0.00	0.0
f MANNY I KORMAN	FID	C	B	25000	4.28	n/a	8-Oct	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	C	B	1000	4.29	n/a	8-Oct	0.00	0.0
WALL STREET CAPITAL	084	C	B	40,000	4.29	n/a	8-Oct	1,400.00	3.5
B BUCK CAPITAL MGMT		DAN	S	10,000	13.40	n/a	2-Aug	non-brg	0.8
B BUCK CAPITAL MGMT		DAN	S	15,000	13.40	n/a	2-Aug	non-brg	0.8
B BUCK CAPITAL MGMT		DAN	S	65,000	13.43	n/a	2-Aug	non-brg	4.0
f EDWARD W WHEELER	FID	DAN	S	100	1.30	n/a	2-Aug	0.00	0.0
B BUCK CAPITAL MGMT		DBRN	B	10,000	25.38	n/a	n/a	non-brg	4.0
f MANNY I KORMAN	FID	DLTR	B	150	11.30	n/a	19-Aug	0.00	0.0
f MANNY I KORMAN	FID	DLTR	S	150	3.51	n/a	19-Aug	0.00	0.0
f KAREN F LEDDY	FID	FDO	S	300	46.05	n/a	7-Oct	0.00	0.0
f CHRISTOPHER ROBERT C	FID	FFIV	S	50	97.39	n/a	n/a	0.00	0.0
TALKOT CAPITAL LLC	084	FINL	S	20,000	15.57	n/a	n/a	800.00	4.0
EPOCH INV MGMT	030	FIS	B	16,700	27.79	n/a	n/a	501.00	3.0
BASIX	033	FL	S	42,000	15.67	n/a	20-Aug	1,260.00	3.0
f JOSEPH CIRO AMATURO	FID	FRO	S	5000	28.94	n/a	n/a	0.00	0.0
f DOUGLAS ROGERS	FID	FSLXX	S	51	1.00	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	MARC PAUL LUCHANSKY	FID	FSLXX	S	6000	1.00	n/a	n/a	0.00	0.0
	WEDBUSH/PACIFIC GROWTH EQTY LLC084	F			SS	12,500	13.66	n/a	4-Oct	625.00 5.0
ß	BUCK CAPITAL MGMT		GIII	S	7,900	31.34	n/a	n/a	non-brg	1.5
ß	BUCK CAPITAL MGMT		GMCR	B	40,000	29.54	n/a	n/a	non-brg	2.5
	HOPLITE MGMT	025	GMCR	B	167,209	29.52	n/a	n/a	8,360.45	5.0
f	STEFFANIE CARMELA CA	FID	GOL	S	425	18.25	n/a	n/a	0.00	0.0
	RWC PARTNERS LTD	067	GOOG	S	46,262	545.03	n/a	n/a	1,387.86	3.0
Õ	Ravi Sadarangani		GOOG	S	100	544.40	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		GYMB	S	72,500	65.01	n/a	8-Oct	non-brg	4.0
ß	BUCK CAPITAL MGMT		HAL	S	25,000	35.70	n/a	n/a	non-brg	4.0
	GCORE MANAGEMENT	041	HRB	SS	20,000	14.09	n/a	n/a	1,000.00	5.0
ß	BUCK CAPITAL MGMT		HTZ	B	20,000	10.59	n/a	n/a	non-brg	4.0
	BARROW HANLEY MEWHINNEY	031	INTC	S	250,000	19.23	n/a	n/a	8,750.00	3.5
	BMO NESBITT BURNS	041	IP	SS	30,000	23.04	n/a	7-Oct	1,500.00	5.0
ß	BUCK CAPITAL MGMT		JACK	B	30,000	22.33	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		JBHT	S	15,000	36.29	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		JCG	S	20,000	35.48	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		JCI	B	70,000	32.32	13-Oct	13-Oct	non-brg	0.8
M&I FUNDS	047	JCI	B	15,337	31.93	13-Oct	13-Oct	613.48	4.0
RBC CAPITAL MARKETS	040	JCI	B	20,000	32.67	13-Oct	13-Oct	800.00	4.0
B BUCK CAPITAL MGMT		JOSB	S	13,500	46.94	n/a	n/a	non-brg	4.0
PARAMETER CAPITAL MGMT LLC	044	JPM	S	50,000	40.11	n/a	8-Oct	2,000.00	4.0
BUCK CAPITAL MGMT	001	LIZ	B	100,000	6.86	n/a	7-Oct	3,000.00	3.0
PIONEER PATH	226	LIZ	B	61,500	6.79	n/a	7-Oct	1,845.00	3.0
DC CAPITAL	044	LNC	S	75,000	25.65	n/a	n/a	3,750.00	5.0
MERCHANTS GATE CAP LP	036	LOW	B	65,900	22.00	n/a	16-Aug	2,636.00	4.0
THE JAY GOLDMAN	028	MGM	B	25,000	12.36	n/a	13-Oct	1,000.00	4.0
f KAREN F LEDDY	FID	MON	B	150	53.39	n/a	11-Oct	0.00	0.0
RBC CAPITAL MARKETS	040	MON	S	15,000	54.40	n/a	11-Oct	600.00	4.0
EPOCH INV MGMT	030	MOS	S	2,650	67.88	n/a	n/a	79.50	3.0
f DAVID GEORGE BUCK	FID	MRK	B	500	37.30	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	MRK	B	500	37.25	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	MTW	S	700	11.60	n/a	3-Aug	0.00	0.0
B BUCK CAPITAL MGMT		MVRX	SS	500,000	196.59	n/a	n/a	non-brg	9.8
B BUCK CAPITAL MGMT		M	S	20,000	24.31	n/a	11-Oct	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f BERNA GABRIELLE BARS	FID	NOK	S	500	11.29	n/a	n/a	0.00	0.0
WEISS PECK	040	PAG	B	100,000	13.66	n/a	11-Oct	5,000.00	5.0
f MATTHEW FRANCIS BUCK	FID	PCH	B	500	35.92	n/a	26-Aug	0.00	0.0
f DAVID GEORGE BUCK	FID	PEP	S	2000	66.63	n/a	n/a	0.00	0.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	50,000	23.37	n/a	7-Oct	2,500.00	5.0
RBC CAPITAL MARKETS	040	PKG	B	40,000	23.87	n/a	7-Oct	1,600.00	4.0
SCHOTTENFELD ASSOC	041	PKG	S	25,000	23.50	n/a	7-Oct	750.00	3.0
f MATTHEW FRANCIS BUCK	FID	PM	S	200	57.19	n/a	n/a	0.00	0.0
PZENA INV ADV	044	PNC	B	35,825	53.56	n/a	n/a	1,253.92	3.5
SONTERRA CAP	041	PTEN	SS	30,000	18.15	n/a	n/a	1,200.00	4.0
EPOCH INV MGMT	030	RE	S	3,000	83.15	n/a	n/a	90.00	3.0
B BUCK CAPITAL MGMT		RGC	B	20,000	14.16	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	RL	B	20,000	94.66	n/a	5-Aug	800.00	4.0
B BUCK CAPITAL MGMT		ROST	SS	10,000	55.89	n/a	n/a	non-brg	4.0
BMO NESBITT BURNS	041	RYN	B	6,000	49.63	n/a	26-Aug	360.00	6.0
COHE & STEERS	041	RYN	S	1,300	49.20	n/a	26-Aug	52.00	4.0
CSFB GLOBAL PROPRIETARY	041	RYN	B	35,000	50.19	n/a	26-Aug	1,750.00	5.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
f	DAVID GEORGE BUCK	FID	RYN	B	1000	49.29	n/a	26-Aug	0.00	0.0	
f	JONATHAN RICHARD HAR	FID	SDS	S	300	27.52	n/a	n/a	0.00	0.0	
f	KEVIN MICHAEL O'GORM	FID	SDS	S	700	27.47	n/a	n/a	0.00	0.0	
f	MARC PAUL LUCHANSKY	FID	SIAL	S	500	60.60	n/a	22-Jul	0.00	0.0	
B	BUCK CAPITAL MGMT		SLB	S	15,000	64.81	n/a	n/a	non-brg	4.0	
	TRUST CO/COWEN/CALF.	040	SLE	S	486,735	14.77	n/a	n/a	19,469.40	4.0	
B	BUCK CAPITAL MGMT		SONC	B	50,000	9.20	n/a	n/a	non-brg	2.0	
	COHE & STEERS	041	SPG	S	22,600	97.47	n/a	n/a	904.00	4.0	
f	ANDREW SINCLAIR	FID	SPY	B	30	0.72	n/a	n/a	0.00	0.0	
f	ANDREW SINCLAIR	FID	SPY	S	160	0.06	n/a	n/a	0.00	0.0	
	WEDBUSH/PACIFIC GROWTH EQTY LLC	084	SSCC	B	5,000	21.62		n/a	7-Oct	250.00	5.0
B	BUCK CAPITAL MGMT		SUP	S	22,000	18.49	n/a	16-Aug	non-brg	2.5	
	ROSEDALE CAPITAL	046	SWN	S	10,000	34.66	n/a	30-Sep	500.00	5.0	
f	JASON ERIC COHEN	FID	TBT	S	4	0.83	n/a	n/a	0.00	0.0	
f	KAREN F LEDDY	FID	TBT	B	350	32.89	n/a	n/a	0.00	0.0	
	THE JAY GOLDMAN	028	TGT	B	20,000	54.85	n/a	11-Oct	800.00	4.0	
	GEORGE WEISS	034	TIN	C	25,000	19.76	n/a	7-Oct	1,000.00	4.0	

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRAFELET & COMP.	028	TIN	C	175,000	20.01	n/a	7-Oct	7,000.00	4.0
BENNETT LAWRENCE	028	TPX	B	15,900	32.53	n/a	n/a	636.00	4.0
⚡ BUCK CAPITAL MGMT		TRLG	B	10,000	22.62	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		TRLG	B	10,000	23.37	n/a	n/a	non-brg	4.0
f JOSEPH CIRO AMATURO	FID	TTEK	S	1000	21.46	n/a	n/a	0.00	0.0
f KEVIN MICHAEL O'GORM	FID	TZA	S	1000	22.29	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		UA	C	10,000	46.94	n/a	28-Jul	non-brg	4.0
PZENA INV ADV	044	UNF	B	2,975	46.76	n/a	n/a	104.13	3.5
f CHRISTOPHER ROBERT C	FID	VXX	S	200	14.05	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	VXX	B	400	14.06	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	VXX	S	500	14.26	n/a	n/a	0.00	0.0
SANDLER CAPITAL	226	VZ	S	115,000	32.43	n/a	n/a	6,900.00	6.0
⚡ BUCK CAPITAL MGMT		WFMI	C	20,000	36.24	n/a	n/a	non-brg	4.0
KLEINHEINZ CAP PART	031	WHR	B	30,000	87.10	n/a	n/a	1,500.00	5.0
f JOEL GIFFORD TISS	FID	WMT	B	1100	54.04	n/a	29-Sep	0.00	0.0
⚡ BUCK CAPITAL MGMT		WNC	S	25,000	8.44	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT	001	WRC	S	12,100	55.38	13-Oct	13-Oct	484.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		WSO	S	5,000	57.90	n/a	n/a	non-brg	4.0
CATAPULT	040	WY	B	25,000	15.97	n/a	26-Aug	1,000.00	4.0
B BUCK CAPITAL MGMT		XRT	C	2,250,000	44.00	n/a	n/a	non-brg	1.0
TOTAL (Trade Date):							124,251.74		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CRT	10/11	THE JAY GOLDMAN	028	MPEL	B	50,000	5.65	n/a 4-Oct	1500.00 3.0
AO,CXL	10/11	THE JAY GOLDMAN	028	MPEL	B	50,000	5.65	n/a 4-Oct	2000.00 4.0

TOTAL (AO, CXL, CRT) :	-500.00
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TOTAL (Trade Date) :	124,251.74
TOTAL (AO, CXL, CRT) :	-500.00

TOTAL (RUN DATE) / NFS:	123,751.74
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MRI Securities with Trade Activity on 13-Oct. JCI, WRC
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MRI Securities without Trade Activity on 13-Oct. NONE
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BRG comm. as a % of BCM Total Comm. paid. T-Date = 10% YTD = 11%
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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)