



# Daily Compliance Activity Report

Trade Date: 11/30/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	070	AAPL	B	200	313.41	n/a	n/a	8.00	4.0
<b>Õ Nilsa Vazquez</b>		<b>ABVT</b>	<b>B</b>	<b>100</b>	<b>58.09</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BROADARCH CAP/OLD NEWC	070	ADBE	S	4,000	27.84	n/a	n/a	160.00	4.0
BROADARCH CAP/OLD NEWC	070	AME	S	2,000	59.41	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	AOS	B	3,500	38.23	n/a	19-Oct	140.00	4.0
BROADARCH CAP/OLD NEWC	070	ARJ	S	1,500	34.65	n/a	26-Nov	60.00	4.0
BROADARCH CAP/OLD NEWC	070	AVGO	S	1,500	26.88	n/a	n/a	60.00	4.0
PZENA INV ADV	044	AVT	S	1,150	30.70	n/a	n/a	40.25	3.5
<b>Õ Nilsa Vazquez</b>		<b>AWI</b>	<b>B</b>	<b>100</b>	<b>48.72</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NEUBERGER BERMAN	036	AWR	B	6,683	36.57	n/a	n/a	267.32	4.0
ARMATURE CAPITAL	041	AXL	SS	20,000	10.68	n/a	1-Nov	800.00	4.0
PZENA INV ADV	044	AXS	B	67,000	35.36	n/a	n/a	2,345.00	3.5
BROADARCH CAP/OLD NEWC	070	BAC	SS	5,000	10.95	n/a	18-Nov	200.00	4.0
LAGRANGE CAP ADV	048	BAC	B	30,000	11.10	n/a	18-Nov	1,500.00	5.0
<b>Õ Nilsa Vazquez</b>		<b>BAC</b>	<b>B</b>	<b>500</b>	<b>10.97</b>	<b>n/a</b>	<b>18-Nov</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BROADARCH CAP/OLD NEWC	070	BHI	S	3,000	52.11	n/a	n/a	120.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>BID</b>	<b>B</b>	<b>30,000</b>	<b>40.85</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BODY</b>	<b>B</b>	<b>20,000</b>	<b>12.27</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
NEUBERGER BERMAN	036	BRKL	B	33,000	9.85	n/a	n/a	660.00	2.0
FIRST NEW YORK LEDDY	035	BSX	B	20,000	6.47	n/a	n/a	800.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>CBK</b>	<b>B</b>	<b>10,000</b>	<b>5.28</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CBK</b>	<b>B</b>	<b>15,000</b>	<b>5.30</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CBK</b>	<b>B</b>	<b>50,000</b>	<b>5.28</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
LEVEL GLOBAL SHARED ACCT	257	COH	C	100,000	56.70	n/a	27-Oct	3,000.00	3.0
SURSUM CAPITAL	215	COH	SS	25,000	56.73	n/a	27-Oct	750.00	3.0
MERRILL ASSET/BLACKROCK	266	CRR	S	3,400	97.40	n/a	16-Nov	136.00	4.0
WADDELL AND REED	047	CTRP	S	250,000	44.19	n/a	n/a	10,000.00	4.0
NEWLAND CAPITAL MGT	067	DAN	S	15,000	14.76	n/a	29-Oct	600.00	4.0
NOMURA CAPITAL	029	DHI	B	20,000	10.02	n/a	n/a	600.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>DIA</b>	<b>C</b>	<b>42,800</b>	<b>110.07</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
BROADARCH CAP/OLD NEWC	070	EMC	B	1,500	21.63	n/a	n/a	60.00	4.0
LATEFF MGMT	035	ENR	B	1,250	70.34	n/a	3-Nov	350.00	28.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f JOHN MICHAEL ZOLIDIS</b>	<b>FID</b>	<b>EXPR</b>	<b>B</b>	<b>700</b>	<b>15.31</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JOHN BARTMAN COLE</b>	<b>FID</b>	<b>FBC</b>	<b>B</b>	<b>3000</b>	<b>1.24</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BROADARCH CAP/OLD NEWC	070	FCX	B	1,000	101.59	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	FDX	S	1,000	92.13	n/a	n/a	40.00	4.0
NEUBERGER BERMAN	036	FFIN	B	3,600	48.38	n/a	n/a	144.00	4.0
COOKBIELER	028	FLO	B	2,700	25.96	n/a	n/a	108.00	4.0
HARVEST MGMT	029	FL	B	10,000	18.90	n/a	19-Nov	500.00	5.0
<b>f WILLIAM J GAULT</b>	<b>FID</b>	<b>FOR</b>	<b>S</b>	<b>1000</b>	<b>18.11</b>	<b>n/a</b>	<b>3-Nov</b>	<b>0.00</b>	<b>0.0</b>
PZENA INV ADV	044	FO	S	14,150	59.75	n/a	n/a	495.26	3.5
<b>f JOHN MICHAEL ZOLIDIS</b>	<b>FID</b>	<b>FRED</b>	<b>B</b>	<b>1200</b>	<b>12.89</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GES</b>	<b>S</b>	<b>10,000</b>	<b>47.96</b>	<b>n/a</b>	<b>24-Nov</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GIII</b>	<b>B</b>	<b>6,503</b>	<b>27.24</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>f WILLIAM WEINBERG</b>	<b>FID</b>	<b>GLD</b>	<b>B</b>	<b>1000</b>	<b>135.07</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SURSUM CAPITAL	215	GPS	B	20,000	20.80	n/a	n/a	600.00	3.0
SURSUM CAPITAL	215	HBI	B	20,000	27.45	n/a	28-Oct	600.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PZENA INV ADV	044	HHS	B	3,700	12.38	n/a	n/a	129.51	3.5
WEINTRAUB CAPITAL MGT.	040	HRB	B	50,000	12.74	n/a	n/a	2,000.00	4.0
CARDINAL CAPITAL	044	HTS	S	11,400	31.00	n/a	n/a	570.00	5.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>HWCC</b>	<b>S</b>	<b>10000</b>	<b>11.16</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CRAMER ROSENTHAL/SCOTT	012	IN	B	1,700	11.31	n/a	n/a	68.00	4.0
CRAMER ROSENTHAL/SCOTT	012	IPG	B	1,000	10.37	n/a	n/a	40.00	4.0
NEUBERGER BERMAN	036	IPI	B	6,800	30.65	n/a	n/a	272.00	4.0
BROADARCH CAP/OLD NEWC	070	ITW	B	5,000	47.48	n/a	20-Oct	200.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>IWM</b>	<b>C</b>	<b>64,900</b>	<b>72.38</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JCP</b>	<b>C</b>	<b>40,000</b>	<b>33.23</b>	<b>n/a</b>	<b>30-Nov</b>	<b>non-brg</b>	<b>4.0</b>
SURSUM CAPITAL	215	JNY	B	20,000	13.43	n/a	28-Oct	600.00	3.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>JPM</b>	<b>S</b>	<b>260</b>	<b>37.38</b>	<b>n/a</b>	<b>18-Nov</b>	<b>0.00</b>	<b>0.0</b>
CRAMER ROSENTHAL/SCOTT	012	KFT	B	300	30.01	n/a	n/a	12.00	4.0
JP MORGAN VENTURES	046	KMB	B	10,000	61.60	n/a	27-Oct	500.00	5.0
BROADARCH CAP/OLD NEWC	070	KNX	B	7,000	19.29	n/a	n/a	280.00	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Ⓐ	BUCK CAPITAL MGMT		KNX	B	25,000	19.38	n/a	n/a	non-brg	4.0
	BROADARCH CAP/OLD NEWC	070	KR	B	1,500	23.61	n/a	n/a	60.00	4.0
f	ALEXANDRA ELISE ZOLI	FID	KSWs	B	500	12.46	n/a	n/a	0.00	0.0
f	JOHN MICHAEL ZOLIDIS	FID	KSWs	B	500	12.39	n/a	n/a	0.00	0.0
	BROADARCH CAP/OLD NEWC	070	LII	S	2,000	44.05	n/a	n/a	80.00	4.0
	HARVEST MGMT	029	LOW	SS	10,000	22.80	n/a	15-Nov	500.00	5.0
	CRAMER ROSENTHAL/SCOTT	012	LSI	B	2,500	5.66	n/a	n/a	100.00	4.0
	BROADARCH CAP/OLD NEWC	070	LVS	SS	1,000	50.11	n/a	11-Nov	40.00	4.0
	NOMURA CAPITAL	029	LYBB	S	25,000	29.22	n/a	n/a	750.00	3.0
Ⓐ	BUCK CAPITAL MGMT		MDY	C	30,300	154.76	n/a	n/a	non-brg	2.0
Ⓐ	BUCK CAPITAL MGMT		MNRO	S	25,000	49.24	n/a	n/a	non-brg	2.5
	CRAMER ROSENTHAL/SCOTT	012	MOGA	B	2,670	36.09	n/a	n/a	106.80	4.0
	CRAMER ROSENTHAL/SCOTT	012	MWW	B	700	21.96	n/a	n/a	28.00	4.0
	BMO NESBITT BURNS	041	NDN	B	3,000	15.79	n/a	8-Nov	150.00	5.0
	PZENA INV ADV	044	NOC	S	275	61.79	n/a	28-Oct	9.63	3.5
	APEX CAPITAL MGMT.	261	NOK	C	135,800	9.24	n/a	n/a	4,074.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>NWY</b>	<b>B</b>	<b>2,100</b>	<b>3.34</b>	<b>n/a</b>	<b>n/a</b>	<b>63.00</b>	<b>3.0</b>
BROADARCH CAP/OLD NEWC	070	ODFL	B	3,000	28.87	n/a	n/a	120.00	4.0
WADDELL AND REED	047	ORCL	B	240,400	27.01	n/a	n/a	9,616.00	4.0
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>PAYD</b>	<b>B</b>	<b>15000</b>	<b>0.32</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BROADARCH CAP/OLD NEWC	070	PCP	S	1,200	138.60	n/a	22-Oct	48.00	4.0
CRAMER ROSENTHAL/SCOTT	012	PEP	B	200	64.09	n/a	n/a	8.00	4.0
METROPOLITAN CAPITAL	044	PLCE	S	7,500	51.98	n/a	18-Nov	375.00	5.0
LEVEL GLOBAL SHARED ACCT	257	PNRA	S	50,000	99.54	n/a	27-Oct	1,500.00	3.0
PZENA INV ADV	044	PPG	B	16,000	77.09	n/a	22-Oct	560.00	3.5
<b>f SCOTT L BRUNNER</b>	<b>FID</b>	<b>QID</b>	<b>B</b>	<b>3000</b>	<b>12.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CRAMER ROSENTHAL/SCOTT	012	RAH	B	200	62.56	n/a	n/a	8.00	4.0
SAXON WOODS ADVISORS	242	RBC	B	14,000	61.42	n/a	n/a	560.00	4.0
NEUBERGER BERMAN	036	RBN	B	14,144	31.00	n/a	n/a	565.76	4.0
BROADARCH CAP/OLD NEWC	070	RKT	SS	2,000	54.42	n/a	n/a	80.00	4.0
CRAMER ROSENTHAL/SCOTT	012	RSG	B	500	28.13	n/a	n/a	20.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B</b> BUCK CAPITAL MGMT		<b>RTH</b>	<b>C</b>	<b>40,000</b>	<b>102.69</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
COOKBIELER	028	RTN	B	84,000	46.23	n/a	9-Nov	3,360.00	4.0
<b>f</b> ALICE BEEBE LONGLEY	<b>FID</b>	<b>SDY</b>	<b>B</b>	<b>400</b>	<b>50.67</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MERRILL ASSET/BLACKROCK	266	SKT	S	16,700	47.63	n/a	n/a	668.00	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>SKX</b>	<b>S</b>	<b>20,000</b>	<b>23.25</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
NEUBERGER BERMAN	036	SLGN	B	11,532	34.26	n/a	n/a	461.28	4.0
<b>f</b> JONATHAN RICHARD HAR	<b>FID</b>	<b>SLV</b>	<b>B</b>	<b>350</b>	<b>27.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NEUBERGER BERMAN	036	SM	B	11,600	49.91	n/a	n/a	464.00	4.0
NEUBERGER BERMAN	036	SRE	B	9,600	49.63	n/a	n/a	384.00	4.0
CRAMER ROSENTHAL/SCOTT	012	STJ	B	500	37.96	n/a	n/a	20.00	4.0
BMO NESBITT BURNS	041	SVU	SS	5,000	9.08	n/a	n/a	250.00	5.0
<b>B</b> BUCK CAPITAL MGMT		<b>SVU</b>	<b>C</b>	<b>169,520</b>	<b>9.08</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
NEUBERGER BERMAN	036	SXT	B	4,700	34.02	n/a	n/a	188.00	4.0
PZENA INV ADV	044	TEL	S	1,375	30.28	n/a	n/a	48.13	3.5
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>TJX</b>	<b>B</b>	<b>107,800</b>	<b>45.65</b>	<b>n/a</b>	<b>30-Nov</b>	<b>4,312.00</b>	<b>4.0</b>
PZENA INV ADV	044	TMK	S	325	57.85	n/a	n/a	11.38	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BROADARCH CAP/OLD NEWC	070	TMO	S	3,000	50.70	n/a	n/a	120.00	4.0
BROADARCH CAP/OLD NEWC	070	TOL	B	4,000	17.84	n/a	n/a	160.00	4.0
Ⓐ BUCK CAPITAL MGMT		TOL	B	40,000	17.91	n/a	n/a	non-brg	4.0
MERRILL ASSET/BLACKROCK	266	TTES	S	18,300	35.42	n/a	n/a	732.00	4.0
BROADARCH CAP/OLD NEWC	070	UNP	B	2,000	90.14	n/a	n/a	80.00	4.0
Ⓐ BUCK CAPITAL MGMT		URBN	B	10,000	37.83	n/a	n/a	non-brg	4.0
Ⓕ JONATHAN RICHARD HAR	FID	URRE	B	445	3.66	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	USTR	B	1,800	63.62	n/a	n/a	72.00	4.0
BROADARCH CAP/OLD NEWC	070	UTX	B	2,000	75.31	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	UTX	S	2,000	75.63	n/a	n/a	80.00	4.0
Ⓐ BUCK CAPITAL MGMT		WNC	S	25,000	10.64	n/a	n/a	non-brg	4.0
BROADARCH CAP/OLD NEWC	070	WYNN	B	1,000	102.18	n/a	10-Nov	40.00	4.0
Ⓐ BUCK CAPITAL MGMT		XLFX	C	324,600	14.47	n/a	n/a	non-brg	2.0
Ⓐ BUCK CAPITAL MGMT		XLY	C	110,000	36.09	n/a	n/a	non-brg	2.0
PZENA INV ADV	044	XOM	S	350	69.56	n/a	n/a	12.25	3.5
Ⓐ BUCK CAPITAL MGMT		XRT	C	170,000	47.06	n/a	n/a	non-brg	2.0



Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PZENA INV ADV	044	ZMH	S	175	49.49	n/a	n/a	6.13	3.5
<b>TOTAL (Trade Date):</b>								<b>60,906.70</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/15	PILOT ADV	242	HD	SS	1,000	30.48	n/a	16-Nov	30.00 3.0
AO,CRT	10/15	PILOT ADV	242	HD	SS	1,000	30.48	n/a	16-Nov	40.00 4.0
AO,	11/29	NOMURA CAPITAL	000	LYBB	S	6,404	29.40	n/a	n/a	192.12 3.0
AO,	11/29	NOMURA CAPITAL	029	LYBB	S	43,596	29.40	n/a	n/a	1307.88 3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>1,510.00</b>

TOTAL (Trade Date) :	60,906.70
TOTAL (AO, CXL, CRT) :	1,510.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>62,416.70</b>
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MRI Securities with Trade Activity on 30-Nov. NONE
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BRG comm. as a % of BCM Total Comm. paid. T-Date = 12% YTD = 11%
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<b><u>Legend:</u></b>
<b>Õ: Employee Trades in Outside Accounts</b>
<b>ß: Non-BRG BCM Trades</b>
[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)