



Daily Compliance Activity Report

Trade Date: 11/23/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JP MORGAN VENTURES	046	AEO	S	15,000	16.80	n/a	19-Nov	750.00	5.0
LATEFF MGMT	035	BA	B	250	63.89	n/a	22-Nov	105.00	42.0
B BUCK CAPITAL MGMT		BID	B	10,000	41.02	n/a	n/a	non-brg	4.0
BNP PARIBAS SEC	040	BIG	SS	50,000	30.93	23-Nov	23-Nov	2,500.00	5.0
COUGAR TRADING	044	BIG	B	5,000	30.59	23-Nov	23-Nov	250.00	5.0
EGS ASSOCIATES LP	091	BIG	B	3,500	30.77	23-Nov	23-Nov	210.00	6.0
TALKOT CAPITAL LLC	084	BIG	B	5,000	31.08	23-Nov	23-Nov	200.00	4.0
B BUCK CAPITAL MGMT		BLK	B	6,100	164.34	n/a	n/a	non-brg	4.0
FIRST NEW YORK LEDDY	035	BSX	B	20,000	6.54	n/a	n/a	800.00	4.0
MTB INV ADV	034	BWLD	S	2,975	48.19	n/a	n/a	148.75	5.0
WEISS PECK	040	BWS	B	49,060	14.37	n/a	n/a	2,453.00	5.0
BUCK CAPITAL MGMT	001	COH	B	10,000	54.55	n/a	27-Oct	400.00	4.0
f JOSEPH CIRO AMATURO	FID	CVGI	B	4800	13.77	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	CVGI	B	5000	13.65	n/a	n/a	0.00	0.0
f MARGARET M DAVEY	FID	CVGI	B	1400	13.79	n/a	n/a	0.00	0.0
f THOMAS JOHN LEDDY	FID	CVGI	B	500	13.69	n/a	n/a	0.00	0.0
LATEFF MGMT	035	CVS	B	1,000	30.71	n/a	n/a	220.00	22.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MARGARET M DAVEY	FID	C	S	4000	4.10	n/a	18-Nov	0.00	0.0
MELLON/BANK OF NEW YORK	046	EEM	B	11,000	44.93	n/a	n/a	220.00	2.0
f SCOTT L BRUNNER	FID	FAZ	S	4250	12.68	n/a	n/a	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	FRED	B	300	12.58	n/a	n/a	0.00	0.0
f DAVID S HOCHSTIM	FID	FSIXX	S	50000	1.00	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FSLXX	S	59650	1.00	n/a	n/a	0.00	0.0
f JOEL GIFFORD TISS	FID	FSS	B	20000	6.19	n/a	n/a	0.00	0.0
CIRCLE T/SES PART	035	F	B	20,000	15.94	n/a	18-Nov	800.00	4.0
B BUCK CAPITAL MGMT		GCO	S	20,000	38.66	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GCO	S	30,000	38.76	n/a	n/a	non-brg	4.0
HOOVER INV. MGMT	033	GCO	B	30,200	38.73	n/a	n/a	1,208.00	4.0
LEVEL GLOBAL SHARED ACCT	257	GES	S	150,000	45.11	n/a	18-Oct	4,500.00	3.0
B BUCK CAPITAL MGMT		GIII	B	2,900	26.86	n/a	n/a	non-brg	2.5
COUGAR TRADING	044	GIL	B	5,000	29.54	n/a	18-Oct	250.00	5.0
COUGAR TRADING	044	GIL	SS	5,000	28.86	n/a	18-Oct	250.00	5.0
HARVEST MGMT	029	GIL	B	21,000	29.06	n/a	18-Oct	1,050.00	5.0
LATEFF MGMT	035	GIS	B	3,400	35.18	n/a	n/a	560.00	24.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SURSUM CAPITAL	215	HBI	B	25,000	27.11	n/a	28-Oct	750.00	3.0
FARALLON CAP MGMT	040	HGG	SS	3,908	24.25	n/a	n/a	156.32	4.0
SURSUM CAPITAL	215	HGG	B	20,000	24.23	n/a	n/a	600.00	3.0
CAXTON PART	040	HPQ	B	24,362	44.03	n/a	n/a	852.70	3.5
OHIO PERS	047	HPQ	B	38,074	43.81	n/a	n/a	1,142.22	3.0
MERRILL ASSET/BLACKROCK	266	IPCC	S	2,100	56.91	n/a	n/a	84.00	4.0
BALYASNY ASSET MGMT	044	ITW	C	10,000	46.36	n/a	20-Oct	500.00	5.0
ß BUCK CAPITAL MGMT		JACK	B	25,000	20.24	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		JACK	B	30,000	20.36	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		JACK	B	75,000	20.20	n/a	n/a	non-brg	2.5
MTB INV ADV	034	JAS	S	2,075	45.19	n/a	n/a	103.75	5.0
f JONATHAN RICHARD HAR	FID	JCG	B	550	43.81	n/a	n/a	0.00	0.0
APEX CAPITAL MGMT.	261	JCP	SS	49,400	32.42	n/a	15-Nov	1,976.00	4.0
BUCK CAPITAL MGMT	001	JNY	B	110,000	13.77	n/a	28-Oct	4,400.00	4.0
CAERUS GLOBAL	041	JNY	B	50,000	13.75	n/a	28-Oct	2,000.00	4.0
GLOBAL 56 LLC	060	JNY	B	2,500	13.69	n/a	28-Oct	125.00	5.0
JP MORGAN VENTURES	046	JOYG	S	5,300	75.83	n/a	2-Sep	265.00	5.0
AVESTA CAP	229	JPM	SS	200,000	37.77	n/a	18-Nov	6,000.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f CHRISTOPHER ROBERT C	FID	JWN	S	250	43.03	n/a	16-Nov	0.00	0.0
BRASADA	031	KEG	B	4,000	10.06	n/a	28-Oct	120.00	3.0
ENTRUST CAPITAL	040	KFT	B	34,800	30.19	n/a	n/a	1,740.00	5.0
PIONEER PATH	226	KO	B	15,000	63.48	n/a	26-Oct	450.00	3.0
BUCK CAPITAL MGMT	001	KR	SS	20,000	22.99	n/a	n/a	800.00	4.0
FRIESS MGMT	033	LTD	S	486,800	33.07	n/a	n/a	19,472.00	4.0
f JOSEPH CIRO AMATURO	FID	LVS	B	1000	49.35	n/a	11-Nov	0.00	0.0
SUFFOLK CAPITAL MGMT	040	MCD	S	222,700	78.80	n/a	8-Nov	8,908.00	4.0
B BUCK CAPITAL MGMT		MNRO	S	21,802	48.21	n/a	n/a	non-brg	2.5
MTB INV ADV	034	MNRO	S	3,100	48.11	n/a	n/a	155.00	5.0
ROSEDALE CAPITAL	046	MRK	B	30,000	34.93	n/a	n/a	1,500.00	5.0
SONTERRA CAP	041	MSFT	S	94,547	25.21	n/a	n/a	3,781.88	4.0
B BUCK CAPITAL MGMT		MSMSRAW3	C	35,000	128.48	n/a	n/a	non-brg	12.8
f EDWARD W WHEELER	FID	MTRX	S	6196	9.56	n/a	n/a	0.00	0.0
STATE TEACHERS RET SYS	047	MWW	S	40,500	20.03	n/a	n/a	2,025.00	5.0
BALYASNY ASSET MGMT	044	NAV	B	10,000	52.17	n/a	n/a	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f EDWARD W WHEELER	FID	NJ	B	10000	24.89	n/a	n/a	0.00	0.0
MTB INV ADV	034	NKTR	S	63,350	13.27	n/a	n/a	3,167.50	5.0
IVORY CAPITAL	034	NOK	B	130,000	9.65	n/a	n/a	3,900.00	3.0
BALYASNY ASSET MGMT	044	OSK	S	26,200	28.53	n/a	n/a	1,310.00	5.0
MTB INV ADV	034	PII	S	8,275	71.51	n/a	n/a	413.75	5.0
TALKOT CAPITAL LLC	084	PKG	B	2,000	25.74	n/a	19-Oct	80.00	4.0
FIRST NEW YORK NICK	029	Q	B	30,000	6.78	n/a	n/a	1,500.00	5.0
SURSUM CAPITAL	215	RSH	B	20,000	18.86	n/a	n/a	600.00	3.0
THIRD COAST CAPITAL	035	RUSHA	B	10,000	17.49	n/a	n/a	500.00	5.0
f JOHN MICHAEL ZOLIDIS	FID	SDS	S	200	27.07	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	SPR	B	33,400	18.74	n/a	5-Nov	1,336.00	4.0
f ANDREW SINCLAIR	FID	SPY	B	50	1.20	n/a	n/a	0.00	0.0
f ANDREW SINCLAIR	FID	SPY	S	50	0.84	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	STS	S	1500	2.71	n/a	n/a	0.00	0.0
SYSTEMATIC FINANCIAL MGT	035	SWK	S	241,000	58.72	n/a	n/a	7,230.00	3.0
BUCK CAPITAL MGMT	001	SWY	SS	20,000	22.62	n/a	n/a	800.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f BARRY JONAS	FID	TACT	B	700	9.14	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	TEN	C	50,000	35.95	n/a	n/a	2,500.00	5.0
f DAVID S HOCHSTIM	FID	TEX	B	2000	24.84	n/a	22-Oct	0.00	0.0
SURSUM CAPITAL	215	TLB	B	51,000	11.17	n/a	n/a	1,530.00	3.0
f JOSEPH CIRO AMATURO	FID	TOL	B	1000	17.51	n/a	n/a	0.00	0.0
LEVEL GLOBAL SHARED ACCT	257	TPX	S	50,000	35.15	n/a	n/a	1,500.00	3.0
PNC CAPITAL ADV	028	TROW	B	88,997	57.28	n/a	n/a	3,559.88	4.0
CRAMER ROSENTHAL/SCOTT	012	VIAB	B	8,900	37.71	n/a	n/a	356.00	4.0
f EDWARD W WHEELER	FID	WNC	S	200	1.00	n/a	n/a	0.00	0.0
TOTAL (Trade Date) :							105,564.75		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
AO,CXL	11/22	LAGRANGE CAP ADV	048	ALV	SS	1,719	76.00	n/a	27-Oct	85.95	5.0
AO,CRT	11/22	LAGRANGE CAP ADV	048	ALV	SS	1,719	76.00	n/a	27-Oct	85.95	5.0
AO,	11/22	MELLON/BANK OF NEW YORK	046	AMLN	S	2,000	13.32	n/a	n/a	100.00	5.0
AO,	11/22	MELLON/BANK OF NEW YORK	046	BAC	S	14,030	11.30	n/a	18-Nov	701.50	5.0
AO,CXL	11/22	SURSUM CAPITAL	215	BBY	B	20,000	44.04	n/a	n/a	1000.00	5.0
AO,CRT	11/22	SURSUM CAPITAL	215	BBY	B	20,000	44.04	n/a	n/a	600.00	3.0
AO,	11/22	MELLON/BANK OF NEW YORK	046	F	B	820,000	16.38	n/a	18-Nov	41000.00	5.0
AO,CRT	11/22	SURSUM CAPITAL	215	GPS	B	20,000	20.72	n/a	n/a	600.00	3.0
AO,CXL	11/22	SURSUM CAPITAL	215	GPS	B	20,000	20.72	n/a	n/a	1000.00	5.0
AO,CXL	11/22	SURSUM CAPITAL	215	HGG	B	25,000	23.31	n/a	n/a	1250.00	5.0
AO,CRT	11/22	SURSUM CAPITAL	215	HGG	B	25,000	23.31	n/a	n/a	750.00	3.0
AO,CXL	11/22	SURSUM CAPITAL	215	JNY	B	9,530	13.80	n/a	28-Oct	476.50	5.0
AO,CRT	11/22	SURSUM CAPITAL	215	JNY	B	9,530	13.80	n/a	28-Oct	285.90	3.0
AO,CXL	11/22	REINHART & MAHONEY	047	NTRS	S	700	50.84	n/a	18-Nov	35.00	5.0
AO,CRT	11/22	REINHART & MAHONEY	047	NTRS	S	700	50.84	n/a	18-Nov	35.00	5.0
AO,CRT	11/22	PORTER-ORLIN	044	STD	SS	150,000	11.08	n/a	n/a	7500.00	5.0
AO,CXL	11/22	PORTER-ORLIN	044	STD	SS	150,000	11.08	n/a	n/a	0.00	0.0
AO,CRT	11/22	SURSUM CAPITAL	215	TLB	B	20,000	11.25	n/a	n/a	600.00	3.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	11/22	SURSUM CAPITAL	215	TLB	B	20,000	11.25	n/a	n/a	1000.00 5.0
AO,	11/22	MELLON/BANK OF NEW YORK	046	VSI	S	7,600	30.41	n/a	n/a	152.00 2.0
AO,CRT	11/22	REINHART & MAHONEY	047	WFC	B	1,200	27.12	n/a	18-Nov	60.00 5.0
AO,CXL	11/22	REINHART & MAHONEY	047	WFC	B	1,200	27.12	n/a	18-Nov	60.00 5.0

TOTAL (AO, CXL, CRT) : **47,562.90**

TOTAL (Trade Date): 105,564.75
TOTAL (AO, CXL, CRT): 47,562.90

TOTAL (RUN DATE) / NFS: **153,127.65**

MRI Securities with Trade Activity on 23-Nov.
BIG

MRI Securities without Trade Activity on 23-Nov.
PCAR, GYMB

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 37%
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)