



Daily Compliance Activity Report

Trade Date: 12/09/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
PATTEN & PATTEN	067	ADBE	S	500	28.90	n/a	n/a	25.00 5.0
B BUCK CAPITAL MGMT		AEO	S	100,000	15.33	n/a	3-Dec	non-brg 4.0
SAC COHEN	044	AEO	S	50,000	15.39	n/a	3-Dec	1,750.00 3.5
BALYASNY ASSET MGMT	044	ALV	SS	10,000	78.07	n/a	27-Oct	500.00 5.0
TPG-AXON	040	BAC	B	500,000	12.37	n/a	8-Dec	25,000.00 5.0
f CHRISTOPHER ROBERT C	FID	BAL	S	100	69.34	n/a	n/a	0.00 0.0
B BUCK CAPITAL MGMT		BEBE	S	137,700	6.24	n/a	n/a	non-brg 3.0
RAINIER INV MGMT	035	BEN	S	29,710	117.85	n/a	2-Mar	1,188.40 4.0
M&I FUNDS	047	BIG	S	41,677	28.52	n/a	7-Dec	1,667.08 4.0
JP MORGAN VENTURES	046	BKS	S	20,000	14.95	n/a	n/a	1,000.00 5.0
B BUCK CAPITAL MGMT		BONA	S	1,000	6.60	n/a	n/a	non-brg 2.5
f CHRISTOPHER ROBERT C	FID	BOX	B	200	13.25	n/a	n/a	0.00 0.0
B BUCK CAPITAL MGMT		CACH	S	20,000	4.36	n/a	n/a	non-brg 2.5
CAMBIAR CAP	046	CBE	S	64,970	56.53	n/a	22-Jul	2,598.80 4.0
MADISON ST PARTNERS LLC	046	CFN	B	30,000	24.34	n/a	n/a	1,500.00 5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		CHS	S	25,000	12.14	n/a	5-Feb	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	CMRE	B	500	12.06	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	CMZPF	S	12000	0.41	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	CPN	S	800	12.62	n/a	n/a	0.00	0.0
f MICHAEL MARRANO	FID	CRSOX	S	70	9.51	n/a	n/a	0.00	0.0
f MICHAEL MARRANO	FID	CSCO	S	200	19.47	n/a	n/a	0.00	0.0
SURVEYOR CAPITAL	041	CSCO	B	255,363	19.60	n/a	n/a	7,660.89	3.0
BALYASNY ASSET MGMT	044	CTB	SS	15,000	24.80	n/a	n/a	750.00	5.0
f EDWARD W WHEELER	FID	CVGI	S	10000	17.06	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	CVGI	S	1001	17.20	n/a	n/a	0.00	0.0
JMP ASSET MGMT	210	CYS	SS	20,000	13.08	n/a	n/a	1,000.00	5.0
f ANDREW SINCLAIR	FID	C	B	100	0.46	n/a	8-Dec	0.00	0.0
f MARC PAUL LUCHANSKY	FID	C	B	1000	4.69	n/a	8-Dec	0.00	0.0
PATTEN & PATTEN	067	DBC	S	1,400	26.29	n/a	n/a	70.00	5.0
B BUCK CAPITAL MGMT		DBRN	S	20,000	25.68	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DDS	B	100,000	36.28	n/a	n/a	non-brg	4.0
COOPER CREEK PART	028	DPZ	SS	13,440	15.53	n/a	29-Nov	537.60	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f CHRISTOPHER ROBERT C	FID	DRYS	B	300	6.03	n/a	n/a	0.00	0.0
f MICHAEL MARRANO	FID	EAEMX	B	359	15.62	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	EFG	S	1,200	59.67	n/a	n/a	60.00	5.0
f MARC PAUL LUCHANSKY	FID	EXPR	B	1000	15.66	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FINL	S	20,000	18.63	n/a	n/a	non-brg	4.0
f MICHAEL MARRANO	FID	FLTMX	B	1718	10.13	n/a	n/a	0.00	0.0
f MICHAEL MARRANO	FID	FNVTX	S	2061	11.30	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FSCFX	B	93	11.15	n/a	n/a	0.00	0.0
f MICHAEL MARRANO	FID	FSTFX	B	103	10.66	n/a	n/a	0.00	0.0
f MICHAEL MARRANO	FID	FTFMX	S	265	12.72	n/a	n/a	0.00	0.0
RAINIER INV MGMT	035	GEF	S	23,020	60.34	n/a	n/a	920.80	4.0
MILLENIUM PARTNERS	028	GE	SS	40,000	17.07	n/a	n/a	1,600.00	4.0
f MICHAEL MARRANO	FID	GIESX	S	460	11.30	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		GIII	S	90,000	33.17	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	GIL	S	20,000	29.35	n/a	3-Dec	800.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LEVIN CAPITAL STRATEGIES	012	GIL	C	25,000	29.18	n/a	3-Dec	750.00	3.0
WEISS PECK	040	GIL	SS	5,500	29.17	n/a	3-Dec	275.00	5.0
LISTED ERR	099	GIL	SS	500	29.17	n/a	3-Dec	0.00	0.0
BALYASNY ASSET MGMT	044	GM	B	25,000	33.96	n/a	6-Dec	1,250.00	5.0
MORTAR ROCK	033	GNTX	SS	10,000	28.94	n/a	25-Oct	400.00	4.0
f ALEXANDRA ELISE ZOLI	FID	GS	B	30	166.31	n/a	8-Dec	0.00	0.0
B BUCK CAPITAL MGMT		HBI	S	50,000	27.13	n/a	28-Oct	non-brg	4.0
SURSUM CAPITAL	215	HBI	B	20,000	27.08	n/a	28-Oct	600.00	3.0
PATTEN & PATTEN	067	HCF	B	8,000	7.60	n/a	n/a	400.00	5.0
SURSUM CAPITAL	215	HGG	S	40,000	24.78	n/a	n/a	1,200.00	3.0
LEVIN CAPITAL STRATEGIES	012	HPQ	S	25,000	42.59	n/a	n/a	750.00	3.0
LEVIN CAPITAL STRATEGIES	012	IBM	S	10,000	143.94	n/a	n/a	300.00	3.0
PATTEN & PATTEN	067	IEF	S	545	93.99	n/a	n/a	27.25	5.0
PATTEN & PATTEN	067	IGM	S	1,000	60.40	n/a	n/a	50.00	5.0
ADALY INV MGMT	031	JNY	B	5,000	15.34	n/a	28-Oct	200.00	4.0
f KAREN F LEDDY	FID	JNY	B	1000	15.15	n/a	28-Oct	0.00	0.0
B BUCK CAPITAL MGMT		JOSB	B	10,000	40.76	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	067	JWN	S	500	42.15	n/a	30-Nov	25.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	KMB	B	500	62.03	n/a	27-Oct	25.00	5.0
f KAREN F LEDDY	FID	LEA	B	100	94.17	n/a	29-Oct	0.00	0.0
ASCEND PARTNERS	033	LOW	C	42,729	25.04	n/a	1-Dec	2,136.45	5.0
TRUSTCO/SUNTRUST	040	LOW	S	100,000	25.42	n/a	1-Dec	3,500.01	3.5
f CHRISTOPHER ROBERT C	FID	LULU	B	50	65.64	n/a	n/a	0.00	0.0
KLEINHEINZ CAP PART	031	LULU	B	10,000	63.95	n/a	n/a	500.00	5.0
MUTUAL OF AMERICA CAPITAL	029	MET	B	37,217	43.48	n/a	n/a	1,488.68	4.0
f MICHAEL MARRANO	FID	MIQBX	S	100	13.36	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	MMM	B	1000	84.00	n/a	8-Dec	0.00	0.0
PATTEN & PATTEN	067	MS	S	1,500	26.29	n/a	8-Dec	75.00	5.0
BALYASNY ASSET MGMT	044	NAV	S	5,400	58.30	n/a	n/a	270.00	5.0
f MICHAEL MARRANO	FID	NNYAX	B	1521	10.52	n/a	n/a	0.00	0.0
f MICHAEL MARRANO	FID	PATAX	B	1760	9.66	n/a	n/a	0.00	0.0
ASCEND PARTNERS	033	PG	S	50,198	62.86	n/a	1-Dec	2,509.90	5.0
LEVIN CAPITAL STRATEGIES	012	PKI	S	18,000	24.73	n/a	n/a	540.00	3.0
SENVEST PART	085	PNRA	B	200	104.72	n/a	2-Dec	10.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FIRST NEW YORK NICK	029	Q	S	30,000	7.23	n/a	n/a	1,500.00	5.0
RAINIER INV MGMT	035	SF	B	1,900	58.21	n/a	n/a	76.00	4.0
B BUCK CAPITAL MGMT		SIG	B	10,000	41.06	n/a	n/a	non-brg	4.0
f ANDREW SINCLAIR	FID	SIL	S	500	25.78	n/a	n/a	0.00	0.0
f ALEXANDRA ELISE ZOLI	FID	SIRI	B	4000	1.40	n/a	n/a	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	SIRI	B	4000	1.40	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SKX	S	70,000	21.46	n/a	n/a	non-brg	4.0
f MICHAEL MARRANO	FID	SNWYX	S	1708	10.46	n/a	n/a	0.00	0.0
f ANDREW SINCLAIR	FID	SPY	S	100	0.17	n/a	n/a	0.00	0.0
f MICHAEL C PERILLO	FID	SRI	B	100	15.63	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	SRZ	B	1,000	5.19	n/a	n/a	50.00	5.0
FIRST NEW YORK LEDDY	035	S	S	20,000	4.15	n/a	n/a	800.00	4.0
PATTEN & PATTEN	067	TEVA	B	300	52.40	n/a	9-Dec	15.00	5.0
GLOBAL 56 LLC	060	TLB	B	2,500	8.39	n/a	n/a	125.00	5.0
STRONG/MARK GRONET	030	TLB	B	112,800	8.38	n/a	n/a	3,384.00	3.0
f MICHAEL MARRANO	FID	TMDPX	S	80	13.85	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Ⓐ BUCK CAPITAL MGMT		TRLG	S	30,000	22.18	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	067	TXN	S	1,000	33.76	n/a	n/a	50.00	5.0
PATTEN & PATTEN	067	UNM	B	500	23.36	n/a	n/a	25.00	5.0
Ⓐ BUCK CAPITAL MGMT		URBN	B	10,000	37.60	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	067	WPS	B	2,000	33.83	n/a	n/a	100.00	5.0
TOTAL (Trade Date):							72,035.86		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	12/08	SCOPUS FUND	041	CCE	S	72,800	25.35	n/a	n/a	2912.00 4.0
AO,CXL	12/08	SCOPUS FUND	041	CCE	S	72,800	25.35	n/a	n/a	2912.00 4.0
AO,CRT	12/08	SCOPUS FUND	041	GM	S	100,000	34.52	n/a	6-Dec	4000.00 4.0
AO,CXL	12/08	SCOPUS FUND	041	GM	S	100,000	34.52	n/a	6-Dec	4000.00 4.0
AO,CRT	12/08	SCOPUS FUND	041	KSU	S	25,000	48.77	n/a	n/a	1000.00 4.0
AO,CXL	12/08	SCOPUS FUND	041	KSU	S	25,000	48.77	n/a	n/a	1000.00 4.0
AO,CRT	12/08	SCOPUS FUND	041	MW	B	25,000	24.44	n/a	n/a	1000.00 4.0
AO,CXL	12/08	SCOPUS FUND	041	MW	B	25,000	24.44	n/a	n/a	1000.00 4.0
AO,	12/08	HAHN CAPITAL MANAGEMENT	084	PRE	B	8,023	78.50	n/a	n/a	401.15 5.0
AO,CRT	12/08	SCOPUS FUND	041	UFS	B	14,900	82.33	n/a	n/a	596.00 4.0
AO,CXL	12/08	SCOPUS FUND	041	UFS	B	14,900	82.33	n/a	n/a	596.00 4.0
TOTAL (AO, CXL, CRT) :										401.15
TOTAL (Trade Date):										72,035.86
TOTAL (AO, CXL, CRT):										401.15
TOTAL (RUN DATE) / NFS:										72,437.01

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CRT	12/08	BUCK CAPITAL MGMT	BONA	B	1,000	8.50	n/a	n/a	0.00	0.0

MRI Securities with Trade Activity on 9-Dec.
NONE

MRI Securities without Trade Activity on 9-Dec.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 3%
YTD = 12%

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)