



Daily Compliance Activity Report

Trade Date: 11/29/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CASTLE ARK	031	ADI	S	317,890	35.53	n/a	n/a	15,894.50	5.0
BMO NESBITT BURNS	041	AMAG	S	4,000	16.06	n/a	n/a	280.00	7.0
BERMAN CAPITAL MGMT	046	AMR	S	20,000	8.45	n/a	n/a	600.00	3.0
BNP PARIBAS SEC	040	ASH	SS	10,000	50.52	n/a	8-Nov	500.00	5.0
⌘ BUCK CAPITAL MGMT		ATVI	B	8,600	11.63	n/a	n/a	non-brg	4.0
ARMATURE CAPITAL	041	AXL	SS	45,000	10.76	n/a	1-Nov	1,800.00	4.0
CATAPULT	040	AXP	S	3,000	42.30	n/a	24-Nov	120.00	4.0
BUCK CAPITAL MGMT	001	BID	B	10,000	41.09	n/a	n/a	400.00	4.0
M&I FUNDS	047	BIG	B	44,061	30.57	n/a	23-Nov	1,762.44	4.0
⌘ BUCK CAPITAL MGMT		BODY	B	20,000	12.75	n/a	n/a	non-brg	4.0
NEUBERGER BERMAN	036	BRKL	B	16,324	9.98	n/a	n/a	652.96	4.0
⌘ BUCK CAPITAL MGMT		CBK	B	12,500	5.22	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		CBK	B	12,500	5.22	n/a	n/a	non-brg	3.0
⌘ BUCK CAPITAL MGMT		CBK	B	75,000	5.25	n/a	n/a	non-brg	2.0
NOMURA CAPITAL	029	CHMT	S	14,091	14.33	n/a	n/a	422.73	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BERMAN CAPITAL MGMT	046	CHS	B	3,000	12.09	n/a	5-Feb	90.00	3.0
CATAPULT CAP/DEFranco	040	COT	B	49,500	8.20	n/a	n/a	1,980.00	4.0
ROSEDALE CAPITAL	046	COT	S	20,000	8.26	n/a	n/a	800.00	4.0
AVESTA CAP	229	CREE	S	50,000	64.90	n/a	n/a	1,500.00	3.0
MERRILL ASSET/BLACKROCK	266	CRR	S	2,900	96.01	n/a	16-Nov	116.00	4.0
f DAVID GEORGE BUCK	FID	CS	S	2000	37.91	n/a	n/a	0.00	0.0
BNP PARIBAS SEC	040	CYT	S	10,000	48.72	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		DBRN	B	20,000	24.16	n/a	n/a	non-brg	0.8
f DAVID GEORGE BUCK	FID	DB	S	2500	48.82	n/a	n/a	0.00	0.0
COLUMBIA PARTNERS	028	DCI	B	52,221	54.28	n/a	n/a	2,088.84	4.0
GREEN ARROW DOUG	040	DF	B	25,000	7.35	n/a	n/a	1,250.00	5.0
STRONG/MARK GRONET	030	DLM	S	28,800	18.84	n/a	n/a	1,152.00	4.0
ARMATURE CAPITAL	041	DUK	SS	70,000	17.50	n/a	n/a	2,800.00	4.0
LEVEL GLOBAL SHARED ACCT	257	EAT	C	200,000	20.10	n/a	n/a	6,000.00	3.0
IRIDIAN ASSET MGMT.	036	EXH	B	67,070	22.95	n/a	22-Oct	3,353.50	5.0
f SCOTT L BRUNNER	FID	FAZ	B	5000	12.57	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	FFIN	B	3,900	48.54	n/a	n/a	156.00	4.0
B BUCK CAPITAL MGMT		FITB	B	30,000	12.01	n/a	n/a	non-brg	4.0
COOKBIELER	028	FLO	B	85,494	25.95	n/a	n/a	3,419.76	4.0
BUTTE CAPITAL MGMT LLC	084	FL	B	10,000	19.00	n/a	19-Nov	500.00	5.0
WEDBUSH/PACIFIC GROWTH EQTY LLC	084	FL	B	12,500	19.06		n/a 19-Nov	625.00	5.0
BERMAN CAPITAL MGMT	046	GES	B	8,000	48.51	n/a	24-Nov	240.00	3.0
LEVEL GLOBAL SHARED ACCT	257	GES	S	150,000	48.81	n/a	24-Nov	4,500.00	3.0
B BUCK CAPITAL MGMT		GIII	B	20,000	27.73	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		HIBB	C	30,000	34.33	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	HTZ	S	2000	12.11	n/a	n/a	0.00	0.0
IRIDIAN ASSET MGMT.	036	INTC	C	100,390	21.29	n/a	n/a	3,011.70	3.0
BUCK CAPITAL MGMT	001	JNY	B	101,800	13.50	n/a	28-Oct	4,072.00	4.0
f JOHN MICHAEL ZOLIDIS	FID	JNY	S	500	13.37	n/a	28-Oct	0.00	0.0
SURSUM CAPITAL	215	JNY	B	25,000	13.50	n/a	28-Oct	750.00	3.0
BERMAN CAPITAL MGMT	046	JPM	S	5,000	37.68	n/a	18-Nov	150.00	3.0
f CICILY S BACKUS	FID	JPM	S	1500	37.72	n/a	18-Nov	0.00	0.0
f DAVID GEORGE BUCK	FID	JPM	S	2500	37.72	n/a	18-Nov	0.00	0.0
f LBP ENTERPRISES INC	FID	JPM	S	1000	37.72	n/a	18-Nov	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	JPM	S	600	37.92	n/a	18-Nov	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		KEY	B	50,000	7.69	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		KKR	B	1,000	12.75	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		KKR	B	1,700	12.75	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		KKR	B	3,400	12.75	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		KKR	B	47,600	12.75	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		KKR	B	5,300	12.75	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		KNX	B	10,000	19.17	n/a	n/a	non-brg	4.0
PLATTE RIVER CAPITAL	240	KR	B	42,800	22.89	n/a	n/a	1,712.00	4.0
f JOHN MICHAEL ZOLIDIS	FID	KWS	B	500	12.26	n/a	n/a	0.00	0.0
SENVEST PART	085	LVS	S	10,000	50.31	n/a	11-Nov	500.00	5.0
BNP PARIBAS SEC	040	LYB	S	10,000	29.28	n/a	n/a	500.00	5.0
f DAVID GEORGE BUCK	FID	MCD	B	1000	77.72	n/a	8-Nov	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	MCD	B	200	78.46	n/a	8-Nov	0.00	0.0
MATRIX ASSET ADV.	091	MET	B	3,500	37.56	n/a	n/a	140.00	4.0
f EDWARD W WHEELER	FID	MMM	B	2000	83.22	n/a	28-Oct	0.00	0.0
ß BUCK CAPITAL MGMT		MNRO	S	6,000	48.55	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT	001	MW	B	30,000	28.20	n/a	n/a	1,200.00	4.0
ß BUCK CAPITAL MGMT		MW	C	30,000	28.51	n/a	n/a	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AVESTA CAP	229	M	S	100,000	25.42	n/a	11-Nov	3,000.00	3.0
BUCK CAPITAL MGMT	001	M	B	30,000	25.41	n/a	11-Nov	1,200.00	4.0
ARMATURE CAPITAL	041	NU	B	30,000	31.15	n/a	n/a	1,200.00	4.0
ß BUCK CAPITAL MGMT		OZM	B	1,600	14.02	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		OZM	B	2,900	14.02	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		OZM	B	4,800	14.02	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		OZM	B	43,900	14.02	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		OZM	B	800	14.02	n/a	n/a	non-brg	4.0
f LBP ENTERPRISES INC	FID	PBCT	S	2000	12.29	n/a	9-Nov	0.00	0.0
BARROW HANLEY MEWHINNEY	031	PFE	B	218,900	16.37	n/a	n/a	7,661.50	3.5
LEVEL GLOBAL SHARED ACCT	257	PNRA	S	20,000	98.77	n/a	27-Oct	600.00	3.0
FIRST NEW YORK NICK	029	Q	S	20,000	6.97	n/a	n/a	1,000.00	5.0
SURSUM CAPITAL	215	RL	B	20,000	107.67	n/a	11-Nov	600.00	3.0
f KAREN F LEDDY	FID	RUSHA	B	500	17.97	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SHOO	S	98,700	46.08	n/a	n/a	non-brg	2.5
MERRILL ASSET/BLACKROCK	266	SKT	S	20,300	48.00	n/a	n/a	812.00	4.0
ROTHSCHILD ASSET	040	SMG	B	11,150	50.31	n/a	5-Nov	446.00	4.0
f DAVID GEORGE BUCK	FID	SPG	B	1000	97.69	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	MATTHEW FRANCIS BUCK	FID	SPG	B	150	98.55	n/a	n/a	0.00	0.0
f	ANDREW SINCLAIR	FID	SPY	B	100	0.30	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		STI	B	25,000	23.87	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		TEX	B	20,000	24.73	n/a	22-Oct	non-brg	4.0
	SURSUM CAPITAL	215	TLB	B	25,000	11.07	n/a	n/a	750.00	3.0
B	BUCK CAPITAL MGMT		TOL	B	10,000	17.86	n/a	n/a	non-brg	4.0
	STRONG/WELLS CAP ANN F	047	TRW	S	90,700	47.09	n/a	n/a	3,628.00	4.0
	MERRILL ASSET/BLACKROCK	266	TTES	S	4,800	35.34	n/a	n/a	192.00	4.0
B	BUCK CAPITAL MGMT		ULTA	C	30,000	35.21	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		URBN	B	20,000	38.07	n/a	n/a	non-brg	4.0
f	EDWARD W WHEELER	FID	VE	B	3000	27.03	n/a	n/a	0.00	0.0
	SURSUM CAPITAL	215	VFC	SS	10,000	82.04	n/a	22-Oct	300.00	3.0
B	BUCK CAPITAL MGMT		V	B	1,774	73.43	n/a	29-Oct	non-brg	4.0
f	CICILY S BACKUS	FID	WBC	S	1000	50.29	n/a	29-Oct	0.00	0.0
B	BUCK CAPITAL MGMT		WFC	S	171,500	27.05	n/a	18-Nov	non-brg	4.0
	TYEE/TYGH	035	WRC	B	47,971	52.61	n/a	9-Nov	1,918.84	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LISTED ERR	099	WRC	S	180	53.00	n/a	9-Nov	0.00	0.0
SURSUM CAPITAL	215	WSM	B	20,000	33.52	n/a	n/a	600.00	3.0
MATRIX ASSET ADV.	091	WU	B	3,000	17.71	n/a	n/a	90.00	3.0
TOTAL (Trade Date) :							89,537.77		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	11/24	CAVU CAP ADV	028	PH	S	5,000	82.01	n/a	20-Oct	250.00 5.0
AO,CXL	11/24	CAVU CAP ADV	028	PH	S	5,000	82.01	n/a	20-Oct	250.00 5.0
AO,CRT	11/26	JMP ASSET MGMT	210	RDN	B	10,000	7.16	n/a	n/a	400.00 4.0
AO,CXL	11/26	JMP ASSET MGMT	210	RDN	B	10,000	7.16	n/a	n/a	500.00 5.0
AO,	11/26	LISTED ERR	035	WRC	B	180	54.01	n/a	9-Nov	0.00 0.0
AO,	11/26	TYEE/TYGH	035	WRC	B	47,028	54.01	n/a	9-Nov	1881.12 4.0

TOTAL (AO, CXL, CRT) :	1,781.12
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TOTAL (Trade Date) :	89,537.77
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TOTAL (AO, CXL, CRT) :	1,781.12
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TOTAL (RUN DATE) / NFS:	91,318.89
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MRI Securities with Trade Activity on 29-Nov. NONE

MRI Securities without Trade Activity on 29-Nov. HON, PRX
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BRG comm. as a % of BCM Total Comm. paid.

T-Date = 20%

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)