



Daily Compliance Activity Report

Trade Date: 11/03/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COLUMBUS CIRCLE	036	ALGT	B	1,528	48.30	n/a	n/a	61.12	4.0
AAD CAPITAL	084	ALV	B	20,000	72.80	n/a	27-Oct	800.00	4.0
B BUCK CAPITAL MGMT		AMR	S	200,000	8.30	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT	001	ANF	B	42,000	42.98	n/a	29-Oct	1,680.00	4.0
SIGMA CAPITAL ASSOCIATES	041	ANF	SS	46,695	42.42	n/a	29-Oct	1,634.33	3.5
SENATOR INVESTMENT GROUP	036	ANR	B	30,000	43.13	n/a	n/a	900.00	3.0
ADAGE CAPITAL MGMT	030	AN	SS	25,000	24.07	n/a	29-Oct	750.00	3.0
TRELLUS PARTNERS LP	028	AN	SS	20,000	24.21	n/a	29-Oct	1,000.00	5.0
B BUCK CAPITAL MGMT		ARO	S	250,000	24.01	n/a	29-Oct	non-brg	4.0
NOKOMIS PARTNERS	031	ARO	B	44,500	23.83	n/a	29-Oct	1,335.00	3.0
BALYASNY ASSET MGMT	044	AXL	S	75,000	9.62	n/a	1-Nov	3,000.00	4.0
B BUCK CAPITAL MGMT		AXL	S	50,000	9.62	n/a	1-Nov	non-brg	3.0
OZ MGMT	040	AXL	C	150,418	9.60	n/a	1-Nov	4,512.54	3.0
SLS CAPITAL LLC	224	AXL	B	68,500	9.23	n/a	1-Nov	2,055.00	3.0
BUCK CAPITAL MGMT	001	BID	B	10,000	43.41	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		BLK	B	6,300	166.06	n/a	n/a	non-brg	4.0
f HARALAMBOS EFSTATHI	FID	BONT	S	2000	12.21	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KENNEDY CAPITAL	046	BZ	B	100,000	7.62	n/a	n/a	3,000.00	3.0
TRAFELET & COMP.	028	BZ	SS	50,000	7.65	n/a	n/a	1,500.00	3.0
HARBORWATCH/DIAMBACK	232	CBI	B	10,000	26.13	n/a	n/a	500.00	5.0
BACKBAY	041	CIM	B	100,000	3.90	n/a	n/a	5,000.00	5.0
⚡ BUCK CAPITAL MGMT		CNW	S	65,000	35.12	n/a	n/a	non-brg	2.5
⚡ BUCK CAPITAL MGMT		CNW	S	94,750	35.11	n/a	n/a	non-brg	4.0
⚡ JOEL GIFFORD TISS	FID	CNW	S	3010	34.62	n/a	n/a	0.00	0.0
COUGAR TRADING	044	COG	B	25,000	31.02	n/a	27-Oct	1,250.00	5.0
COUGAR TRADING	044	COG	S	25,000	30.58	n/a	27-Oct	1,250.00	5.0
DSG CAPITAL	225	COG	B	5,000	30.56	n/a	27-Oct	250.00	5.0
HOTCHKIS & WILEY	035	COP	B	15,300	58.56	n/a	n/a	765.00	5.0
⚡ BUCK CAPITAL MGMT		CSTR	S	20,000	62.02	n/a	n/a	non-brg	4.0
Õ Ravi Sadarangani		CVGI	B	100	13.84	n/a	n/a	0.00	0.0
Õ Ravi Sadarangani		CVGI	B	300	13.88	n/a	n/a	0.00	0.0
Õ Ravi Sadarangani		CVGI	B	350	13.95	n/a	n/a	0.00	0.0
Õ Ravi Sadarangani		CVGI	B	500	13.94	n/a	n/a	0.00	0.0
Õ Ravi Sadarangani		CVGI	B	600	13.94	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		DAL	S	100,000	14.31	n/a	n/a	non-brg	4.0
OHIO PERS	047	DD	S	313,274	46.89	n/a	26-Oct	9,398.22	3.0
OHIO PERS	047	DOW	B	467,000	31.29	n/a	3-Nov	14,010.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAC CRIB	044	DOW	B	25,000	31.52	n/a	3-Nov	875.00	3.5
DSG CAPITAL	225	DVN	B	2,500	68.07	n/a	22-Oct	125.00	5.0
B BUCK CAPITAL MGMT		ERTS	S	106,100	15.79	n/a	n/a	non-brg	1.0
CATAPULT	040	EV	B	5,000	30.11	n/a	n/a	200.00	4.0
B BUCK CAPITAL MGMT		EXPR	B	25,000	13.99	n/a	n/a	non-brg	4.0
f KAREN F LEDDY	FID	FDO	S	400	47.13	n/a	7-Oct	0.00	0.0
O CAPITAL MGMT	029	FFNW	B	5,000	3.78	n/a	n/a	250.00	5.0
B BUCK CAPITAL MGMT		FITB	B	77,000	13.03	n/a	n/a	non-brg	4.0
f KAREN F LEDDY	FID	FL	S	1300	16.21	n/a	14-Oct	0.00	0.0
VISIUM/BALY BOBBY	044	FL	B	10,000	15.95	n/a	14-Oct	500.00	5.0
f HARALAMBOS EFSTATHI	FID	FOR	S	400	17.87	n/a	3-Nov	0.00	0.0
LOCUS WOOD CAPITAL MGMT	044	FXI	B	25,000	46.76	n/a	n/a	1,000.00	4.0
B BUCK CAPITAL MGMT		F	S	75,000	15.10	n/a	2-Nov	non-brg	4.0
CAVU CAP ADV	028	F	B	25,000	14.76	n/a	2-Nov	1,250.00	5.0
MORTAR ROCK	033	F	B	25,000	14.73	n/a	2-Nov	1,000.00	4.0
BUCK CAPITAL MGMT	001	GES	B	12,700	39.48	n/a	18-Oct	508.00	4.0
B BUCK CAPITAL MGMT		GIII	B	1,000	27.49	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ARCHON CAPITAL	035	GIL	B	20,000	27.30	n/a	18-Oct	600.00	3.0
⚡ BUCK CAPITAL MGMT		GIL	B	18,400	27.29	n/a	18-Oct	non-brg	4.0
⚡ BUCK CAPITAL MGMT		GIL	B	5,000	27.76	n/a	18-Oct	non-brg	0.8
⚡ BUCK CAPITAL MGMT		GIL	B	65,000	27.64	n/a	18-Oct	non-brg	4.0
COUGAR TRADING	044	GIL	SS	10,000	27.34	n/a	18-Oct	500.00	5.0
O CAPITAL MGMT	029	GLPW	S	1,000	17.00	n/a	n/a	50.00	5.0
⚡ BUCK CAPITAL MGMT		GMCR	B	30,000	34.57	n/a	n/a	non-brg	4.0
ADAGE CAPITAL MGMT	030	GME	B	50,000	19.50	n/a	n/a	1,500.00	3.0
⚡ BUCK CAPITAL MGMT		HAL	B	74,500	31.49	n/a	n/a	non-brg	4.0
SHEFFIELD ASSET MGMT	031	HAR	B	73,600	36.97	n/a	3-Nov	3,680.00	5.0
⚡ BUCK CAPITAL MGMT		HBI	B	10,000	24.42	n/a	28-Oct	non-brg	4.0
⚡ BUCK CAPITAL MGMT		HBI	B	20,600	24.27	n/a	28-Oct	non-brg	4.0
⚡ BUCK CAPITAL MGMT		ICON	S	34,506	17.78	n/a	n/a	non-brg	4.0
f MELISSA LEE BACKUS	FID	ICON	S	1000	18.07	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		JBLU	S	25,000	7.31	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		JCG	SS	20,000	32.06	n/a	n/a	non-brg	4.0
CAVU CAP ADV	028	JCI	B	17,690	35.80	n/a	27-Oct	884.50	5.0
f JOHN MICHAEL ZOLIDIS	FID	JCP	B	300	31.08	n/a	29-Oct	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		JNY	B	34,500	14.45	n/a	28-Oct	non-brg	4.0
f JONATHAN RICHARD HAR	FID	KCP	S	250	13.52	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		KEY	B	120,000	8.50	n/a	n/a	non-brg	3.0
RBC CAPITAL MARKETS	040	KSS	SS	10,000	50.72	n/a	29-Oct	400.00	4.0
SIGMA CAPITAL ASSOCIATES	041	KSS	B	50,000	50.60	n/a	29-Oct	1,750.00	3.5
SAGE ASSET MGMT	012	KS	B	25,000	13.23	n/a	n/a	1,250.00	5.0
f ABRAM M CHAPPELL	FID	KTEC	B	100	14.73	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		LEN	B	40,000	15.31	n/a	n/a	non-brg	4.0
ENTRUST CAPITAL	040	LMT	S	44,200	71.64	n/a	20-Oct	2,210.00	5.0
REINHART & MAHONEY	047	LTM	B	24,340	37.65	n/a	n/a	1,217.00	5.0
f JOSEPH CIRO AMATURO	FID	LVS	B	4000	49.62	n/a	28-Oct	0.00	0.0
B BUCK CAPITAL MGMT		MDC	B	25,000	26.99	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		MI	B	175,000	5.75	n/a	n/a	non-brg	3.0
f KAREN F LEDDY	FID	MS	S	700	24.89	n/a	21-Oct	0.00	0.0
f EDWARD W WHEELER	FID	MWA	B	25000	3.08	n/a	n/a	0.00	0.0
ADAGE CAPITAL MGMT	030	M	B	369,700	23.88	n/a	29-Oct	11,091.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HOOVER INV. MGMT	033	NDN	S	53,300	15.50	n/a	1-Nov	2,132.00	4.0
f MELISSA LEE BACKUS	FID	OCR	S	1000	24.77	n/a	n/a	0.00	0.0
f FRANCIS MICHAEL MCCA	FID	OEH	B	500	11.40	n/a	n/a	0.00	0.0
THOMPSON SIEGAL&WALMSLEY	029	OI	S	61,009	27.80	n/a	n/a	2,440.36	4.0
ADAGE CAPITAL MGMT	030	OMX	B	275,000	17.20	n/a	n/a	8,250.00	3.0
f JONATHAN RICHARD HAR	FID	OXM	B	430	23.35	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	PBR	S	400	34.57	n/a	n/a	0.00	0.0
CATAPULT	040	PIR	B	50,000	8.79	n/a	n/a	2,000.00	4.0
B BUCK CAPITAL MGMT		PLCE	B	11,500	43.53	n/a	21-Oct	non-brg	4.0
EGS ASSOCIATES LP	091	PSS	B	3,000	15.22	n/a	n/a	180.00	6.0
CLOVIS CAPITAL	012	PVH	S	75,000	61.17	n/a	18-Oct	2,250.00	3.0
HOTCHKIS & WILEY	035	RDSB	S	16,700	65.21	n/a	n/a	835.00	5.0
B BUCK CAPITAL MGMT		RF	B	160,000	6.30	n/a	n/a	non-brg	3.0
CAVU CAP ADV	028	ROST	B	15,000	60.50	n/a	n/a	750.00	5.0
REINHART & MAHONEY	047	RSG	B	21,420	29.95	n/a	n/a	1,071.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MELISSA LEE BACKUS	FID	RVI	S	1000	14.87	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		RYL	B	25,000	15.38	n/a	n/a	non-brg	4.0
NOKOMIS PARTNERS	031	SATS	B	12,000	21.23	n/a	n/a	360.00	3.0
f IAN L MILLER	FID	SDS	B	25	26.93	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SKX	B	25,000	19.68	n/a	n/a	non-brg	4.0
f ABRAM M CHAPPELL	FID	SNCR	S	100	24.66	n/a	n/a	0.00	0.0
f JASON ERIC COHEN	FID	SNCR	S	1	2.45	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SODA	B	1,000	20.00	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		SODA	S	1,000	24.75	n/a	n/a	non-brg	2.5
f JONATHAN RICHARD HAR	FID	SRI	B	500	11.79	n/a	n/a	0.00	0.0
THIRD COAST CAPITAL	035	SRI	B	15,000	11.74	n/a	n/a	750.00	5.0
B BUCK CAPITAL MGMT		STI	B	40,000	25.05	n/a	n/a	non-brg	4.0
OWL CREEK INV	085	STI	S	689,900	25.08	n/a	n/a	20,697.00	3.0
B BUCK CAPITAL MGMT		SUMR	B	20,000	7.15	n/a	n/a	non-brg	2.5
f JONATHAN RICHARD HAR	FID	TBL	B	480	20.98	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		TEX	B	50,000	23.54	n/a	22-Oct	non-brg	4.0
DSG CAPITAL	225	TEX	B	5,000	23.24	n/a	22-Oct	150.00	3.0
B BUCK CAPITAL MGMT		THI	C	20,000	37.92	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		TOL	B	70,000	18.07	n/a	n/a	non-brg	4.0
f JONATHAN RICHARD HAR	FID	TRLG	S	175	20.08	n/a	n/a	0.00	0.0
f JASON ERIC COHEN	FID	UPL	B	70	42.56	n/a	22-Oct	0.00	0.0
B BUCK CAPITAL MGMT		URBN	B	60,000	31.39	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		URBN	C	200,000	30.54	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		URBN	C	262,937	30.94	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		URBN	C	300,000	30.54	n/a	n/a	non-brg	4.0
f KAREN F LEDDY	FID	URZ	B	6000	2.85	n/a	n/a	0.00	0.0
f MARK ANTHONY GRONET	FID	URZ	B	10000	2.66	n/a	n/a	0.00	0.0
f NICOLAS EVAN PAKLER	FID	URZ	B	3000	2.79	n/a	n/a	0.00	0.0
f CICILY S BACKUS	FID	USG	B	3000	13.13	n/a	22-Oct	0.00	0.0
f KAREN F LEDDY	FID	VSTO	S	300	63.00	n/a	n/a	0.00	0.0
CAERUS GLOBAL	041	WAG	B	25,000	35.04	n/a	n/a	1,000.00	4.0
MOORE CAPITAL	028	WFMI	S	20,000	41.02	n/a	n/a	800.00	4.0
B BUCK CAPITAL MGMT		WFT	B	15,000	17.59	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		WFT	B	55,000	17.57	n/a	n/a	non-brg	4.0
SAC CHICAGO ANDREW	031	WMT	SS	75,000	54.60	n/a	14-Oct	2,625.00	3.5
B BUCK CAPITAL MGMT		WNC	S	600	9.02	n/a	n/a	non-brg	0.8

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B	BUCK CAPITAL MGMT		WNC	S	99,400	9.06	n/a	n/a	non-brg	3.0
f	JONATHAN RICHARD HAR	FID	WNC	S	680	8.59	n/a	n/a	0.00	0.0
	TYEE/TYGH	035	WRC	S	8,947	52.70	n/a	18-Oct	357.88	4.0
f	JOSEPH CIRO AMATURO	FID	WYNN	B	2000	110.85	n/a	3-Nov	0.00	0.0
	THOMPSON SIEGAL&WALMSLEY	029	ZQK	B	39,000	4.20	n/a	10-May	1,560.00	4.0
TOTAL (Trade Date):									134,099.95	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	11/02	BUCK CAPITAL MGMT	001	GES	B	50,000	39.57	n/a	18-Oct	2000.00 4.0
AO,CXL	11/02	BUCK CAPITAL MGMT	001	GES	B	50,000	39.57	n/a	18-Oct	1500.00 3.0
AO,	11/02	WALL STREET CAPITAL	084	NWY	S	120,600	3.17	n/a	n/a	2412.00 2.0
AO,CRT	11/02	CLOVIS CAPITAL	012	PFE	S	200,000	17.33	n/a	n/a	6000.00 3.0
AO,CXL	11/02	CLOVIS CAPITAL	012	PFE	S	200,000	17.33	n/a	n/a	10000.00 5.0
AO,CRT	11/02	SCOPUS FUND	041	TIN	B	27,783	20.86	n/a	20-Oct	1389.15 5.0
AO,CXL	11/02	SCOPUS FUND	041	TIN	B	27,783	20.86	n/a	20-Oct	1389.15 5.0
TOTAL (AO, CXL, CRT) :										-1,088.00

TOTAL (Trade Date):	134,099.95
TOTAL (AO, CXL, CRT):	-1,088.00

TOTAL (RUN DATE) / NFS:	133,011.95
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MRI Securities with Trade Activity on 3-Nov. NONE
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MRI Securities without Trade Activity on 3-Nov. NONE

BRG comm. as a % of BCM Total Comm. paid.

T-Date = 3%

YTD = 11%

<u>Legend:</u>
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)