



Daily Compliance Activity Report

Trade Date: 12/13/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		AEO	S	150,000	15.36	n/a	3-Dec	non-brg	4.0
f JOSEPH CIRO AMATURO	FID	BAC	S	5000	12.80	n/a	8-Dec	0.00	0.0
HARVEST MGMT	029	BBY	B	10,000	42.30	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		BEBE	S	30,000	6.19	n/a	n/a	non-brg	3.0
JMP ASSET MGMT	210	BGFV	B	306	14.57	n/a	n/a	15.30	5.0
B BUCK CAPITAL MGMT		BONT	S	17,300	13.52	n/a	n/a	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	BUFHX	B	177	11.33	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	BWA	C	15,000	66.84	n/a	27-Oct	750.00	5.0
STRONG/WELLS CAP ANN F	047	BWA	S	75,235	66.94	n/a	27-Oct	3,009.40	4.0
JETSTREAM GLOBAL FUND LP	065	CAR	S	32,100	15.19	n/a	n/a	1,605.00	5.0
B BUCK CAPITAL MGMT		CHS	S	40,000	12.21	n/a	5-Feb	non-brg	4.0
BAIRD INVESTMENT	047	CRM	S	3,352	147.42	n/a	n/a	167.60	5.0
BALYASNY ASSET MGMT	044	CSX	B	10,000	63.91	n/a	n/a	500.00	5.0
f MARC PAUL LUCHANSKY	FID	CVGI	B	1000	17.89	n/a	n/a	0.00	0.0
JETSTREAM GLOBAL FUND LP	065	C	S	139,500	4.84	n/a	8-Dec	6,975.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER O'NEILL ASSET	031	C	S	30,900	4.83	n/a	8-Dec	618.00	2.0
METROPOLITAN CAPITAL	044	DAN	S	12,600	17.00	n/a	29-Oct	630.00	5.0
B BUCK CAPITAL MGMT		DBRN	S	20,000	25.71	n/a	n/a	non-brg	4.0
BALYASNY ASSET MGMT	044	DF	B	25,000	8.54	n/a	n/a	1,000.00	4.0
f CHRISTOPHER ROBERT C	FID	FBR	S	250	16.95	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FINL	S	40,000	18.78	n/a	n/a	non-brg	4.0
SURVEYOR CAPITAL	041	FITB	SS	46,648	14.44	n/a	n/a	1,399.44	3.0
B BUCK CAPITAL MGMT		FL	S	20,000	19.08	n/a	19-Nov	non-brg	2.0
JET CAPITAL/CHRIS	041	FO	B	10,000	62.87	n/a	n/a	300.00	3.0
f CHRISTOPHER ROBERT C	FID	FRIFX	B	287	10.45	n/a	n/a	0.00	0.0
RAINIER INV MGMT	035	GEF	S	14,440	60.94	n/a	n/a	577.60	4.0
f MANNY I KORMAN	FID	GE	B	5000	17.72	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		GIII	S	10,000	35.14	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GIL	S	20,000	30.30	n/a	3-Dec	non-brg	4.0
COPIA CAPITAL	031	GLBL	C	36,400	7.13	n/a	n/a	1,274.00	3.5
MILLENIUM PARTNERS	028	GM	S	20,000	33.83	n/a	6-Dec	800.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f CHRISTOPHER ROBERT C	FID	GNTX	B	150	29.07	n/a	25-Oct	0.00	0.0
SURSUM CAPITAL	215	GPS	B	30,000	21.17	n/a	n/a	900.00	3.0
B BUCK CAPITAL MGMT		HBI	S	30,000	26.06	n/a	28-Oct	non-brg	2.0
COPIA CAPITAL	031	HERO	C	97,300	2.96	n/a	n/a	3,405.50	3.5
JET CAPITAL/CHRIS	041	HNR	B	10,000	12.31	n/a	n/a	300.00	3.0
f JOSEPH CIRO AMATURO	FID	HOV	S	10000	4.36	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	HRBN	B	300	17.60	n/a	n/a	0.00	0.0
SENATOR INVESTMENT GROUP	036	HUN	S	95,200	15.74	n/a	n/a	2,856.00	3.0
RAINIER INV MGMT	035	ICE	S	25,810	118.93	n/a	n/a	1,032.40	4.0
COPIA CAPITAL	031	IO	C	37,700	8.36	n/a	n/a	1,319.50	3.5
TROUBH PART	067	IYR	B	15,000	55.04	n/a	n/a	750.00	5.0
SHAREVEST CAPITAL MGMT.	091	JBHT	B	100,000	39.93	n/a	n/a	4,000.00	4.0
B BUCK CAPITAL MGMT		JNY	S	30,000	15.62	n/a	28-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		JOSB	S	30,000	40.42	n/a	n/a	non-brg	4.0
APEX CAPITAL MGMT.	261	JPM	B	75,000	41.67	n/a	8-Dec	3,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEFF MGMT	035	KO	S	1,500	64.83	n/a	26-Oct	345.00	23.0
BUCK CAPITAL MGMT	001	LL	S	10,000	23.14	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		LTD	S	20,000	31.21	n/a	n/a	non-brg	2.0
f CHRISTOPHER ROBERT C	FID	LULU	S	50	72.80	n/a	n/a	0.00	0.0
f COLE THOMAS KAICHER	FID	MOBI	B	630	5.59	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	MRK	B	20	0.20	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	MRK	B	5000	36.17	n/a	n/a	0.00	0.0
ROSEDALE CAPITAL	046	MSFT	S	20,000	27.35	n/a	n/a	1,000.00	5.0
B BUCK CAPITAL MGMT		MVRX	C	105,000	213.30	n/a	n/a	non-brg	21.3
f ANDREW MARK GRONET	FID	MWA	B	100	4.02	n/a	n/a	0.00	0.0
f SARAH ELIZABETH GRON	FID	MWA	B	100	4.02	n/a	n/a	0.00	0.0
BASIX	033	M	S	40,000	25.07	n/a	30-Nov	1,200.00	3.0
BUCK CAPITAL MGMT	001	M	S	20,000	25.35	n/a	30-Nov	800.00	4.0
FEDERATED INV/KAUFMAN	029	NKTR	B	125,000	12.88	n/a	n/a	6,875.02	5.5
JET CAPITAL/CHRIS	041	NVDA	B	35,000	14.67	n/a	n/a	1,050.00	3.0
NEWLAND CAPITAL MGT	067	OSK	S	10,000	35.68	n/a	n/a	400.00	4.0
f CHRISTOPHER ROBERT C	FID	OXM	S	300	23.87	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER PATH	226	PAG	S	35,100	16.46	n/a	25-Oct	1,053.00	3.0
BALYASNY ASSET MGMT	044	PCAR	SS	10,000	56.27	n/a	23-Nov	500.00	5.0
BMO NESBITT BURNS	041	PCH	B	5,000	32.14	n/a	29-Oct	250.00	5.0
KACELA CAPITAL	034	PDE	B	29,400	32.77	n/a	n/a	1,176.00	4.0
B BUCK CAPITAL MGMT		PIR	S	40,000	10.67	n/a	n/a	non-brg	4.0
f JOSEPH CIRO AMATURO	FID	PQ	S	2000	7.64	n/a	n/a	0.00	0.0
SURSUM CAPITAL	215	PSS	B	40,000	20.88	n/a	n/a	1,200.00	3.0
NOMURA CAPITAL	029	QLTY	S	2,700	8.82	n/a	n/a	81.00	3.0
f ANDREW MARK GRONET	FID	RRR	B	100	9.80	n/a	25-Oct	0.00	0.0
f MARK ANTHONY GRONET	FID	RRR	B	1000	9.80	n/a	25-Oct	0.00	0.0
BMO NESBITT BURNS	041	RYN	S	2,000	52.69	n/a	27-Oct	100.00	5.0
B BUCK CAPITAL MGMT		SIG	B	20,000	42.45	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	SKX	S	40,000	22.19	n/a	n/a	1,600.00	4.0
SAC TRADING TOM LEDDY	035	SYT	SS	50,000	29.50	n/a	n/a	1,750.00	3.5
f MARC PAUL LUCHANSKY	FID	TBT	B	1000	38.47	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		TEX	B	10,000	26.97	n/a	22-Oct	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	JOSEPH CIRO AMATURO	FID	TEX	S	5000	27.01	n/a	22-Oct	0.00	0.0
f	MARK ANTHONY GRONET	FID	TEX	B	500	27.02	n/a	22-Oct	0.00	0.0
B	BUCK CAPITAL MGMT		UAL	C	10,000	25.36	n/a	n/a	non-brg	4.0
	BAIRD INVESTMENT	047	UA	S	8,125	60.01	n/a	27-Oct	406.25	5.0
B	BUCK CAPITAL MGMT		URBN	S	80,000	36.54	n/a	n/a	non-brg	4.0
	HARVEST MGMT	029	VFC	B	5,000	87.75	n/a	22-Oct	250.00	5.0
	1798 CAP/LOMBARD ASSET	040	VMC	C	15,000	44.38	n/a	n/a	750.00	5.0
	BMO NESBITT BURNS	041	WCRX	B	3,000	20.99	n/a	13-Dec	150.00	5.0
f	MANNY I KORMAN	FID	WCRX	B	5000	20.98	n/a	13-Dec	0.00	0.0
B	BUCK CAPITAL MGMT		WSO	S	10,000	64.10	n/a	n/a	non-brg	1.0
	CSFB GLOBAL PROPRIETARY	041	WY	B	100,000	17.94	n/a	29-Oct	5,000.00	5.0
	FORWARD MGMT	033	WY	S	88,100	17.93	n/a	29-Oct	3,524.00	4.0
TOTAL (Trade Date) :									67,545.01	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	12/10	ADALY INV MGMT	031	CCE	B	25,000	25.84	n/a	n/a	1000.00 4.0
AO,CXL	12/10	ADALY INV MGMT	031	CCE	B	25,000	25.84	n/a	n/a	1250.00 5.0
AO,CRT	12/10	COLUMBUS CAP MGMT LLC	084	DRWI	S	50,000	8.97	n/a	n/a	2000.00 4.0
AO,CXL	12/10	COLUMBUS CAP MGMT LLC	084	DRWI	S	50,000	8.97	n/a	n/a	1500.00 3.0
AO,CRT	12/10	MFP INVESTORS	085	ELN	B	162,600	5.76	n/a	n/a	6504.00 4.0
AO,CXL	12/10	MFP INVESTORS	085	ELN	B	162,600	5.76	n/a	n/a	8130.00 5.0
AO,CRT	12/10	JMP ASSET MGMT	210	GES	SS	8,800	48.06	n/a	24-Nov	181.00 2.5
AO,CXL	12/10	JMP ASSET MGMT	210	GES	SS	8,800	48.06	n/a	24-Nov	181.30 2.5
AO,CRT	12/10	ADALY INV MGMT	031	JNY	B	25,000	15.23	n/a	28-Oct	1000.00 4.0
AO,CXL	12/10	ADALY INV MGMT	031	JNY	B	25,000	15.23	n/a	28-Oct	1250.00 5.0

TOTAL (AO, CXL, CRT) :**-1,626.30**

TOTAL (Trade Date):

67,545.01

TOTAL (AO, CXL, CRT):

-1,626.30

TOTAL (RUN DATE) / NFS:**65,918.71**

MRI Securities with Trade Activity on 13-Dec.
NONE

MRI Securities without Trade Activity on 13-Dec.
PCP, HD, AOS

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 6%
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)