



# Daily Compliance Activity Report

Trade Date: 11/11/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PLATTE RIVER CAPITAL	240	AA	B	11,000	13.80	n/a	n/a	440.00	4.0
TPG-AXON	040	ABT	SS	9,000	49.78	n/a	n/a	450.00	5.0
BNP PARIBAS SEC	040	ADM	B	10,000	30.70	n/a	2-Nov	500.00	5.0
STATE TEACHERS RET SYS	047	AHT	B	10,000	9.75	n/a	n/a	500.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ARO</b>	<b>S</b>	<b>170,000</b>	<b>24.40</b>	<b>n/a</b>	<b>5-Nov</b>	<b>6,800.00</b>	<b>4.0</b>
ROTHSCHILD ASSET	040	AVA	B	75,407	21.80	n/a	n/a	3,016.28	4.0
MERRILL ASSET/BLACKROCK	266	AVP	B	39,410	29.24	n/a	29-Oct	1,576.40	4.0
ROTHSCHILD ASSET	040	AWH	B	5,515	60.36	n/a	n/a	220.60	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>AXL</b>	<b>S</b>	<b>25,000</b>	<b>10.84</b>	<b>n/a</b>	<b>1-Nov</b>	<b>non-brg</b>	<b>4.0</b>
<b>f MARGARET M DAVEY</b>	<b>FID</b>	<b>BAC</b>	<b>S</b>	<b>1000</b>	<b>12.40</b>	<b>n/a</b>	<b>4-Nov</b>	<b>0.00</b>	<b>0.0</b>
CATAPULT	040	BEAT	B	20,206	5.10	n/a	n/a	1,010.30	5.0
TRELLUS PARTNERS LP	028	BIG	B	30,000	30.10	n/a	5-Nov	1,500.00	5.0
TPG-AXON	040	BMV	SS	15,000	26.25	n/a	n/a	750.00	5.0
STATE TEACHERS RET SYS	047	BRE	S	5,000	44.52	n/a	n/a	250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FIRST NEW YORK LEDDY	035	BSX	B	20,000	6.75	n/a	n/a	800.00	4.0
f MARC PAUL LUCHANSKY	FID	BUD	B	200	59.09	n/a	4-Nov	0.00	0.0
HARVEST MGMT	029	CAKE	S	20,000	29.90	n/a	22-Oct	1,000.00	5.0
f ALEXANDRA ELISE ZOLI	FID	CMG	S	100	235.04	n/a	22-Oct	0.00	0.0
BUCK CAPITAL MGMT	001	COH	B	40,000	52.56	n/a	27-Oct	1,600.00	4.0
f JOSEPH CIRO AMATURO	FID	CSCO	B	2500	20.45	n/a	n/a	0.00	0.0
f MARGARET M DAVEY	FID	CSCO	B	1000	20.60	n/a	n/a	0.00	0.0
Õ May Tang		CSCO	B	200	20.56	n/a	n/a	0.00	0.0
TRUST CO/COWEN/CALF.	040	CVX	S	26,135	85.76	n/a	n/a	1,306.75	5.0
f MARGARET M DAVEY	FID	C	S	2000	4.38	n/a	10-Nov	0.00	0.0
f MARC PAUL LUCHANSKY	FID	DAL	B	1000	13.45	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	DB	B	1000	55.49	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		DECK	B	40,000	61.85	n/a	n/a	non-brg	4.0
f JASON ERIC COHEN	FID	DHI	S	200	11.98	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	DRI	B	100,000	48.93	n/a	15-Oct	4,000.00	4.0
ROSEDALE CAPITAL	046	DVN	S	5,000	72.79	n/a	4-Nov	250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		EBAY	S	100,000	30.37	n/a	n/a	non-brg	4.0
f MARC PAUL LUCHANSKY	FID	EL	B	100	71.51	n/a	2-Nov	0.00	0.0
BUCK CAPITAL MGMT	001	FDO	SS	20,000	48.10	n/a	7-Oct	800.00	4.0
O CAPITAL MGMT	029	FFNW	B	5,000	3.47	n/a	n/a	250.00	5.0
LATEFF MGMT	035	FL	S	3,000	16.20	n/a	14-Oct	330.00	11.0
B BUCK CAPITAL MGMT		FOSL	S	30,000	68.94	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	GGP	B	1000	15.68	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	GIL	B	20,000	27.18	n/a	18-Oct	800.00	4.0
MAIRS AND POWER INV	030	GLW	B	20,000	18.52	n/a	1-Nov	1,000.00	5.0
B BUCK CAPITAL MGMT		HAL	S	10,000	35.95	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	HHC	B	405	36.94	n/a	n/a	0.00	0.0
HOLLIS CAPITAL	033	HK	B	5,000	19.00	n/a	n/a	250.00	5.0
HARVEST MGMT	029	HLYS	B	25,000	3.33	n/a	n/a	750.00	3.0
B BUCK CAPITAL MGMT		IPHI	B	1,000	12.00	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		IPHI	B	1,000	12.00	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		IPHI	S	2,000	15.19	n/a	n/a	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	IP	S	25,000	26.13	n/a	27-Oct	1,250.00	5.0
BMO NESBITT BURNS	041	IP	SS	25,000	26.36	n/a	27-Oct	1,250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>IR</b>	<b>S</b>	<b>20,000</b>	<b>43.04</b>	<b>n/a</b>	<b>22-Oct</b>	<b>non-brg</b>	<b>0.8</b>
MORTAR ROCK	033	JNY	B	25,000	13.96	n/a	28-Oct	1,000.00	4.0
BIXBY LLC	070	KEG	B	25,000	10.91	n/a	28-Oct	1,000.00	4.0
TALPION LLC	040	KEG	B	10,000	10.97	n/a	28-Oct	300.00	3.0
SOROS	036	KH	B	5,900	18.00	n/a	n/a	236.00	4.0
HARVEST MGMT	029	KSS	SS	10,000	52.10	n/a	5-Nov	500.00	5.0
STATE TEACHERS RET SYS	047	LHO	B	3,000	23.00	n/a	n/a	150.00	5.0
SAC TRADING TOM LEDDY	035	LOW	B	100,000	22.26	n/a	16-Aug	3,500.00	3.5
SOROS	036	LPX	B	250,000	8.38	n/a	8-Nov	7,500.00	3.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>MON</b>	<b>S</b>	<b>1000</b>	<b>63.47</b>	<b>n/a</b>	<b>5-Nov</b>	<b>0.00</b>	<b>0.0</b>
TPG-AXON	040	MRK	SS	13,000	35.18	n/a	n/a	650.00	5.0
UNITED STATES PENSION	085	MSFT	S	45,000	26.67	n/a	n/a	2,250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>MSMSRAW3</b>	<b>C</b>	<b>65,000</b>	<b>128.68</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>12.9</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>M</b>	<b>B</b>	<b>20,000</b>	<b>24.77</b>	<b>n/a</b>	<b>11-Nov</b>	<b>800.00</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
IRIDIAN ASSET MGMT.	036	NVDA	S	144,950	12.59	n/a	n/a	4,348.50	3.0
BNP PARIBAS SEC	040	OI	B	20,000	28.26	n/a	n/a	1,000.00	5.0
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>PBCT</b>	<b>B</b>	<b>2000</b>	<b>12.64</b>	<b>n/a</b>	<b>9-Nov</b>	<b>0.00</b>	<b>0.0</b>
COHE & STEERS	041	PCL	S	150,000	38.49	n/a	26-Oct	6,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>PERY</b>	<b>S</b>	<b>17,800</b>	<b>22.52</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PFCB</b>	<b>C</b>	<b>10,000</b>	<b>49.17</b>	<b>n/a</b>	<b>27-Oct</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PFCB</b>	<b>C</b>	<b>90,000</b>	<b>48.54</b>	<b>n/a</b>	<b>27-Oct</b>	<b>non-brg</b>	<b>4.0</b>
LAGRANGE CAP ADV	048	PFCB	SS	10,000	48.50	n/a	27-Oct	500.00	5.0
MERRILL ASSET/BLACKROCK	266	PH	S	9,000	80.83	n/a	20-Oct	360.00	4.0
CSFB GLOBAL PROPRIETARY	041	PKG	S	30,000	25.46	n/a	19-Oct	1,500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>PRTY LN</b>	<b>S</b>	<b>148,528</b>	<b>3.39</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.5</b>
NOKOMIS PARTNERS	033	PTEC	S	20,100	4.19	n/a	n/a	402.00	2.0
SYSTEMATIC FINANCIAL MGT	035	PVH	B	79,900	62.47	n/a	18-Oct	2,397.00	3.0
FIRST NEW YORK NICK	029	Q	S	20,000	6.84	n/a	n/a	1,000.00	5.0
<b>f JOHN MICHAEL ZOLIDIS</b>	<b>FID</b>	<b>RGS</b>	<b>B</b>	<b>400</b>	<b>21.36</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JOHN MICHAEL ZOLIDIS</b>	<b>FID</b>	<b>RGS</b>	<b>B</b>	<b>600</b>	<b>21.38</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f IAN L MILLER</b>	<b>FID</b>	<b>SDS</b>	<b>S</b>	<b>25</b>	<b>26.16</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BNP PARIBAS SEC	040	SOA	S	25,000	21.08	n/a	n/a	1,250.00	5.0
CSFB GLOBAL PROPRIETARY	041	SSCC	S	20,000	23.81	n/a	2-Nov	1,000.00	5.0
DC CAPITAL	044	SSCC	S	50,000	23.79	n/a	2-Nov	2,000.00	4.0
BNP PARIBAS SEC	040	SVR	B	25,000	30.43	n/a	n/a	1,250.00	5.0
MERRILL ASSET/BLACKROCK	266	SWX	B	5,300	35.39	n/a	n/a	212.00	4.0
RBC CAPITAL MARKETS	040	TCK	S	10,000	48.18	n/a	n/a	400.00	4.0
<b>f KATHERINE L O'GORMAN</b>	<b>FID</b>	<b>TEX</b>	<b>B</b>	<b>1000</b>	<b>24.85</b>	<b>n/a</b>	<b>22-Oct</b>	<b>0.00</b>	<b>0.0</b>
MERRILL ASSET/BLACKROCK	266	THFF	B	1,000	31.68	n/a	n/a	40.00	4.0
SENATOR INVESTMENT GROUP	036	TIN	B	74,869	20.85	n/a	20-Oct	2,246.07	3.0
HARVEST MGMT	029	TPX	B	15,000	35.69	n/a	n/a	750.00	5.0
RAINIER INV MGMT	035	TRW	B	52,180	51.64	n/a	n/a	2,087.20	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>UL</b>	<b>S</b>	<b>1000</b>	<b>30.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>URBN</b>	<b>B</b>	<b>20,000</b>	<b>32.94</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
RBC CAPITAL MARKETS	040	URI	B	15,000	19.88	n/a	n/a	600.00	4.0
US BANCORP	030	URI	S	48,350	20.02	n/a	n/a	2,417.50	5.0
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>URRE</b>	<b>B</b>	<b>200</b>	<b>2.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>VE</b>	<b>B</b>	<b>3000</b>	<b>29.94</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PENNANT CAP MGMT	029	WFC	B	100,000	28.12	n/a	4-Nov	3,000.00	3.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>WRC</b>	<b>B</b>	<b>30,000</b>	<b>51.59</b>	<b>n/a</b>	<b>9-Nov</b>	<b>1,200.00</b>	<b>4.0</b>
BMO NESBITT BURNS	041	WY	S	25,000	17.73	n/a	29-Oct	1,250.00	5.0
FARALLON CAP MGMT	040	XOM	S	80,600	71.34	n/a	n/a	3,224.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>XRT</b>	<b>C</b>	<b>6,300</b>	<b>45.46</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>TOTAL (Trade Date):</b>								<b>90,970.60</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	11/10	CATAPULT	040	BEAT	B	193,902	5.05	n/a	n/a	9695.10 5.0
AO,CXL	11/10	CATAPULT	040	BEAT	B	193,902	5.05	n/a	n/a	0.00 0.0
AO,CXL	11/10	MILLENIUUM PARTNERS	028	IP	B	20,000	25.47	n/a	27-Oct	0.00 0.0
AO,CRT	11/10	MILLENIUUM PARTNERS	028	IP	B	20,000	25.47	n/a	27-Oct	800.00 4.0
AO,	11/10	NOMURA CAPITAL	029	QLTY	S	300	7.00	n/a	n/a	9.00 3.0
AO,	11/10	PENNANT CAP MGMT	029	WFC	B	350,000	28.22	n/a	4-Nov	10500.00 3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>21,004.10</b>

TOTAL (Trade Date) :	90,970.60
TOTAL (AO, CXL, CRT) :	21,004.10

<b>TOTAL (RUN DATE) / NFS :</b>	<b>111,974.70</b>
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MRI Securities with Trade Activity on 11-Nov. NONE
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MRI Securities without Trade Activity on 11-Nov. NONE
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BRG comm. as a % of BCM Total Comm. paid.

T-Date = 41%

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)**