



# Daily Compliance Activity Report

Trade Date: 11/15/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	AMRN	B	31,500	3.58	n/a	n/a	1,575.00	5.0
⚡ BUCK CAPITAL MGMT		ANF	B	20,000	45.91	n/a	5-Nov	non-brg	4.0
⚡ BUCK CAPITAL MGMT		ATVI	S	20,000	11.69	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		AXL	S	100,000	10.97	n/a	1-Nov	non-brg	4.0
CATAPULT	040	BEAT	B	25,000	4.68	n/a	n/a	1,250.00	5.0
KLEINHEINZ CAP PART	031	BEXP	B	50,000	24.86	n/a	n/a	2,500.00	5.0
BUCK CAPITAL MGMT	001	BID	B	20,000	42.31	n/a	n/a	800.00	4.0
⚡ BUCK CAPITAL MGMT		BKS	C	60,000	14.94	n/a	n/a	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	BOX	S	400	12.42	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	BP	B	1500	43.29	n/a	n/a	0.00	0.0
STATE TEACHERS RET SYS	047	BRE	S	10,000	44.01	n/a	n/a	500.00	5.0
FIRST NEW YORK LEDDY	035	BSX	B	20,000	6.75	n/a	n/a	800.00	4.0
⚡ BUCK CAPITAL MGMT		CHS	S	225,000	10.29	n/a	5-Feb	non-brg	4.0
RBC CAPITAL MARKETS	040	CL	SS	15,000	78.86	n/a	8-Nov	600.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	COH	B	40,000	52.67	n/a	27-Oct	1,600.00	4.0
f KEVIN MICHAEL O'GORM	FID	CRBC	S	10000	0.63	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CRI	SS	15,000	29.13	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		CRI	SS	35,000	29.20	n/a	n/a	non-brg	4.0
GALT INVESTMENT	041	CROX	S	25,000	15.76	n/a	n/a	1,000.00	4.0
f JOSEPH CIRO AMATURO	FID	CSCO	B	1000	20.07	n/a	n/a	0.00	0.0
AMBER CAPITAL	046	C	B	500,000	4.35	n/a	12-Nov	10,000.00	2.0
f CHRISTOPHER ROBERT B	FID	DAN	S	2000	14.90	n/a	29-Oct	0.00	0.0
REINHART & MAHONEY	047	DCOM	S	4,950	14.59	n/a	n/a	247.50	5.0
ß BUCK CAPITAL MGMT		DECK	B	30,000	60.79	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	DRI	B	10,000	49.29	n/a	15-Oct	400.00	4.0
ß BUCK CAPITAL MGMT		F 2 C18	SS	1,250	1.09	n/a	n/a	non-brg	300.0
ß BUCK CAPITAL MGMT		F	S	110,000	17.14	n/a	4-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		F	S	25,000	16.82	n/a	4-Nov	non-brg	0.8
FIRST NY SEC/CHRIS	041	F	SS	50,000	17.11	n/a	4-Nov	2,500.00	5.0
OZ MGMT	040	F	C	118,417	17.30	n/a	4-Nov	3,552.51	3.0
ROSEDALE CAPITAL	046	F	S	25,000	17.23	n/a	4-Nov	1,250.00	5.0
ß BUCK CAPITAL MGMT		GAP	C	89,664	4.41	n/a	n/a	non-brg	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Ⓐ BUCK CAPITAL MGMT		GCO	S	5,143	32.91	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	GIL	B	40,000	26.67	n/a	18-Oct	1,600.00	4.0
LEVEL GLOBAL SHARED ACCT	257	GME	SS	100,000	20.82	n/a	n/a	3,000.00	3.0
Ⓐ BUCK CAPITAL MGMT		HAL	S	10,000	36.30	n/a	n/a	non-brg	4.0
STATE TEACHERS RET SYS	047	HCN	S	10,000	47.20	n/a	n/a	500.00	5.0
MERRILL ASSET/BLACKROCK	266	HMN	S	53,600	16.90	n/a	n/a	2,144.00	4.0
GRUSS CAPITAL	025	HOGS	S	5,000	21.63	n/a	n/a	150.00	3.0
Ⓐ BUCK CAPITAL MGMT		HOT	C	30,000	56.86	n/a	2-Nov	non-brg	4.0
MERRILL ASSET/BLACKROCK	266	IPCC	S	10,000	58.88	n/a	n/a	400.00	4.0
STATE TEACHERS RET SYS	047	KO	S	100,000	63.16	n/a	26-Oct	5,000.00	5.0
Ⓐ BUCK CAPITAL MGMT		KR	SS	20,000	22.90	n/a	n/a	non-brg	4.0
Ⓐ BUCK CAPITAL MGMT		KSS	B	20,000	51.19	n/a	12-Nov	non-brg	4.0
OZ MGMT	040	LOW	C	80,000	22.01	n/a	15-Nov	2,400.00	3.0
TRUSTCO/SUNTRUST	040	LOW	B	194,150	21.71	n/a	15-Nov	6,795.32	3.5
Ⓕ DAVID GEORGE BUCK	FID	LVS	S	20	1.90	n/a	11-Nov	0.00	0.0
Ⓐ BUCK CAPITAL MGMT		MAR	C	20,000	38.87	n/a	2-Nov	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MOORE CAPITAL	028	MAT	S	35,000	23.65	n/a	n/a	1,400.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>MDTL</b>	<b>C</b>	<b>46,700</b>	<b>0.03</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.5</b>
DALTON GREINER	012	MLI	S	11,300	30.51	n/a	19-Oct	565.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>MNRO</b>	<b>S</b>	<b>100</b>	<b>49.67</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
FARALLON CAP MGMT	040	MSFT	B	500,000	26.26	n/a	n/a	15,000.00	3.0
UNITED STATES PENSION	085	MSFT	S	155,000	26.33	n/a	n/a	7,750.00	5.0
ROTHSCHILD ASSET	040	NAL	S	44,344	13.42	n/a	n/a	1,773.76	4.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>NDN</b>	<b>B</b>	<b>1000</b>	<b>15.66</b>	<b>n/a</b>	<b>8-Nov</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PAG</b>	<b>B</b>	<b>20,000</b>	<b>15.15</b>	<b>n/a</b>	<b>25-Oct</b>	<b>non-brg</b>	<b>4.0</b>
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>PAYD</b>	<b>B</b>	<b>15000</b>	<b>0.34</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COHE & STEERS	041	PCL	S	216,681	37.78	n/a	26-Oct	8,667.24	4.0
COLUMBUS CIRCLE	036	PCS	B	165,007	11.77	n/a	n/a	6,600.28	4.0
STATE TEACHERS RET SYS	047	PEP	B	130,000	64.83	n/a	n/a	6,500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>PERY</b>	<b>S</b>	<b>25,370</b>	<b>22.06</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
BMO NESBITT BURNS	041	PKG	B	3,000	25.08	n/a	19-Oct	300.00	10.0
<b>B BUCK CAPITAL MGMT</b>		<b>PVH</b>	<b>B</b>	<b>3,600</b>	<b>60.00</b>	<b>n/a</b>	<b>18-Oct</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f ANDREW SINCLAIR	FID	QQQQ	B	200	0.29	n/a	n/a	0.00	0.0
f ANDREW SINCLAIR	FID	QQQQ	S	200	0.24	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT B	FID	RVI	S	1000	15.01	n/a	n/a	0.00	0.0
COHE & STEERS	041	RYN	S	143,281	52.60	n/a	27-Oct	5,731.24	4.0
VISIUM/BALY BOBBY	044	SBUX	S	25,000	30.30	n/a	5-Nov	1,250.00	5.0
LATEFF MGMT	035	SFG	B	500	43.41	n/a	n/a	140.00	28.0
f ANDREW SINCLAIR	FID	SPY	B	100	0.15	n/a	n/a	0.00	0.0
f ANDREW SINCLAIR	FID	SPY	S	200	0.14	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	SSCC	S	2,000	22.56	n/a	2-Nov	200.00	10.0
KLEINHEINZ CAP PART	031	SWN	B	25,000	38.00	n/a	29-Oct	1,250.00	5.0
B BUCK CAPITAL MGMT		SWY	SS	20,000	23.15	n/a	n/a	non-brg	4.0
f MANNY I KORMAN	FID	TBT	S	400	4.68	n/a	n/a	0.00	0.0
f ALICE BEEBE LONGLEY	FID	TLH	S	300	116.84	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		TOL	B	30,000	18.64	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		URBN	B	100,000	32.62	n/a	n/a	non-brg	0.8
f CHRISTOPHER ROBERT B	FID	V	B	500	77.64	n/a	29-Oct	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	DAVID GEORGE BUCK	FID	V	S	1000	77.20	n/a	29-Oct	0.00	0.0
f	LBP ENTERPRISES INC	FID	V	B	500	77.60	n/a	29-Oct	0.00	0.0
f	CHRISTOPHER ROBERT B	FID	WBC	S	1000	48.21	n/a	29-Oct	0.00	0.0
f	LBP ENTERPRISES INC	FID	WBC	S	1000	48.18	n/a	29-Oct	0.00	0.0
	S.A.C.HABER/BOBBY	044	WFC	B	100,000	28.13	n/a	12-Nov	3,500.00	3.5
	DELTEC ASSET MGMT.	040	WFT	S	14,000	19.33	n/a	n/a	700.00	5.0
B	BUCK CAPITAL MGMT		WNC	S	25,000	9.04	n/a	n/a	non-brg	3.0
f	JOSEPH CIRO AMATURO	FID	WNC	S	10000	9.26	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		WSO	S	10,000	58.91	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		WYNN	C	22,150	114.38	n/a	10-Nov	non-brg	4.0
TOTAL (Trade Date):									111,891.85	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/28	EMERSON CAPITAL MGMT	048	HBI	B	18,256	25.44	n/a	28-Oct	730.24 4.0
AO,CRT	10/28	EMERSON CAPITAL MGMT	048	HBI	B	18,256	25.44	n/a	28-Oct	547.68 3.0
AO,CXL	11/12	SAC CAP/ROSEN FOR BOBBY	044	KR	B	5,460	22.73	n/a	n/a	191.10 3.5
AO,CRT	11/12	SAC TRADING TOM LEDDY	035	KR	B	5,460	22.73	n/a	n/a	191.10 3.5
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-182.56</b>

TOTAL (Trade Date) :	111,891.85
TOTAL (AO, CXL, CRT) :	-182.56

<b>TOTAL (RUN DATE) / NFS:</b>	<b>111,709.29</b>
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MRI Securities with Trade Activity on 15-Nov.  
NONE

MRI Securities without Trade Activity on 15-Nov.  
SIAL, ETN, DFS

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 10%  
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)**