



# Daily Compliance Activity Report

Trade Date: 09/10/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B</b> BUCK CAPITAL MGMT		<b>AEO</b>	<b>B</b>	<b>30,000</b>	<b>14.39</b>	<b>n/a</b>	<b>2-Sep</b>	<b>non-brg</b>	<b>4.0</b>
RBC CAPITAL MARKETS	040	ANF	S	10,000	34.76	n/a	2-Sep	400.00	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>ANN</b>	<b>B</b>	<b>20,000</b>	<b>16.91</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> MANNY I KORMAN	<b>FID</b>	<b>APC</b>	<b>B</b>	<b>4000</b>	<b>52.74</b>	<b>n/a</b>	<b>4-Aug</b>	<b>0.00</b>	<b>0.0</b>
TROUBH PART	067	APC	B	10,000	53.03	n/a	4-Aug	500.00	5.0
RBC CAPITAL MARKETS	040	ARO	B	40,000	22.55	n/a	2-Sep	1,600.00	4.0
PZENA INV ADV	044	AVT	B	45,116	24.85	n/a	n/a	1,579.20	3.5
<b>f</b> DOUGLAS ROGERS	<b>FID</b>	<b>BACPRC</b>	<b>S</b>	<b>600</b>	<b>25.06</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>BAC</b>	<b>S</b>	<b>7000</b>	<b>13.56</b>	<b>n/a</b>	<b>20-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> JOSEPH CIRO AMATURO	<b>FID</b>	<b>BGZ</b>	<b>B</b>	<b>20000</b>	<b>13.81</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>Ö</b> Michael Ehrlich		<b>CM</b>	<b>S</b>	<b>300</b>	<b>71.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>COH</b>	<b>B</b>	<b>20,000</b>	<b>38.95</b>	<b>n/a</b>	<b>4-Aug</b>	<b>non-brg</b>	<b>4.0</b>
PROSPECTOR PARTNERS LLC	036	CPN	S	10,000	12.87	n/a	n/a	400.00	4.0
<b>f</b> KAREN F LEDDY	<b>FID</b>	<b>CVGI</b>	<b>B</b>	<b>3900</b>	<b>9.67</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BROOKSIDE CAPITAL PART	067	C	B	550,000	3.93	n/a	2-Sep	16,500.00	3.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f</b>	<b>MANNY I KORMAN</b>	<b>FID</b>	<b>C</b>	<b>B</b>	<b>100000</b>	<b>3.93</b>	<b>n/a</b>	<b>2-Sep</b>	<b>0.00</b>	<b>0.0</b>
	RBC CAPITAL MARKETS	040	DRI	SS	5,000	44.88	n/a	8-Jul	200.00	4.0
	GRUSS CAPITAL	025	DVN	B	15,000	63.09	n/a	11-Aug	450.00	3.0
<b>f</b>	<b>MANNY I KORMAN</b>	<b>FID</b>	<b>FAZ</b>	<b>S</b>	<b>200</b>	<b>0.03</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
	VISIUM/BALY BOBBY	044	FDO	SS	10,000	42.84	n/a	2-Sep	500.00	5.0
	O CAPITAL MGMT	029	FOR	B	3,000	15.15	n/a	26-Aug	150.00	5.0
	RBC CAPITAL MARKETS	040	FO	SS	5,000	47.74	n/a	n/a	200.00	4.0
	NEUBERGER BERMAN	036	GGP	S	5,000	14.65	n/a	n/a	200.00	4.0
<b>B</b>	<b>BUCK CAPITAL MGMT</b>		<b>GYMB</b>	<b>B</b>	<b>15,000</b>	<b>38.07</b>	<b>n/a</b>	<b>2-Sep</b>	<b>non-brg</b>	<b>4.0</b>
	SPARTA ASSET MGMT	035	GYMB	B	10,000	38.02	n/a	2-Sep	300.00	3.0
	CAMBIAR CAP	046	HAR	B	38,860	32.09	n/a	6-Aug	1,554.40	4.0
	PARTNER REINSURANCE	033	HD	B	23,150	29.68	n/a	17-Aug	926.00	4.0
	CARDINAL CAPITAL	044	HEW	S	15,660	49.23	n/a	n/a	783.00	5.0
	ARMATURE CAPITAL	041	JCI	B	25,000	28.61	n/a	8-Sep	1,000.00	4.0
<b>f</b>	<b>DAVID GEORGE BUCK</b>	<b>FID</b>	<b>JPM</b>	<b>B</b>	<b>1500</b>	<b>39.98</b>	<b>n/a</b>	<b>20-Aug</b>	<b>0.00</b>	<b>0.0</b>
	WATERFRONT CAP	028	KR	B	140,000	21.29	n/a	n/a	5,600.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>KSS</b>	<b>B</b>	<b>3000</b>	<b>48.56</b>	<b>n/a</b>	<b>2-Sep</b>	<b>0.00</b>	<b>0.0</b>
LATEFF MGMT	035	LOW	B	4,000	21.63	n/a	16-Aug	440.00	11.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MFB</b>	<b>S</b>	<b>5,000</b>	<b>28.32</b>	<b>n/a</b>	<b>n/a</b>	<b>200.00</b>	<b>4.0</b>
RBC CAPITAL MARKETS	040	MGM	B	10,000	10.32	n/a	10-Sep	400.00	4.0
TROUBH PART	067	MGM	B	25,000	10.52	n/a	10-Sep	1,250.00	5.0
PROSPECTOR PARTNERS LLC	036	NVE	S	10,000	13.08	n/a	n/a	400.00	4.0
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>PBR</b>	<b>B</b>	<b>400</b>	<b>36.03</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CSFB GLOBAL PROPRIETARY	041	PKG	SS	20,000	23.84	n/a	26-Aug	1,000.00	5.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>PM</b>	<b>B</b>	<b>1500</b>	<b>54.63</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SAC CAPITAL/M GRONET	030	PTEN	S	200,000	16.29	n/a	n/a	0.00	0.0
COHE & STEERS	041	RYN	S	2,623	48.13	n/a	26-Aug	104.92	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>RYN</b>	<b>S</b>	<b>2500</b>	<b>48.19</b>	<b>n/a</b>	<b>26-Aug</b>	<b>0.00</b>	<b>0.0</b>
GREEN ARROW DOUG	040	SJM	B	40,000	61.20	n/a	n/a	2,000.00	5.0
PROSPECTOR PARTNERS LLC	036	SJT	S	25,000	22.58	n/a	n/a	1,000.00	4.0
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>SLB</b>	<b>B</b>	<b>200</b>	<b>59.53</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f ANDREW SINCLAIR</b>	<b>FID</b>	<b>SPY</b>	<b>B</b>	<b>100</b>	<b>0.19</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.	
f	ANDREW SINCLAIR	FID	SPY	S	100	0.04	n/a	n/a	0.00	0.0
	TALKOT CAPITAL LLC	084	SSCC	B	5,000	18.49	n/a	26-Aug	200.00	4.0
	WEINTRAUB CAPITAL MGT.	040	SSCC	B	30,000	18.46	n/a	26-Aug	1,200.00	4.0
	JP MORGAN VENTURES	046	TGT	SS	10,000	52.89	n/a	2-Sep	500.00	5.0
	RBC CAPITAL MARKETS	040	TIF	SS	5,000	42.30	n/a	n/a	200.00	4.0
	SIGMA CAPITAL ASSOCIATES	041	TJX	B	25,000	41.46	n/a	2-Sep	875.00	3.5
	SIGMA CAPITAL ASSOCIATES	041	TLB	SS	25,000	10.47	n/a	n/a	875.00	3.5
f	MANNY I KORMAN	FID	TWM	S	200	0.05	n/a	n/a	0.00	0.0
	GREEN ARROW DOUG	040	TYC	SS	11,800	39.99	n/a	18-Aug	590.00	5.0
	GREEN ARROW DOUG	040	TYC	S	8,200	39.99	n/a	18-Aug	410.00	5.0
f	KEVIN MICHAEL O'GORM	FID	WFR	B	2500	10.70	n/a	n/a	0.00	0.0
f	JOSEPH CIRO AMATURO	FID	WNC	S	35000	6.90	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		WRC	S	20,000	47.96	n/a	6-Aug	non-brg	4.0
	ROSEDALE CAPITAL	046	XOM	B	20,000	61.07	n/a	n/a	1,000.00	5.0
B	BUCK CAPITAL MGMT		XRT	C	240,000	38.87	n/a	n/a	non-brg	2.0
B	BUCK CAPITAL MGMT		ZUMZ	C	40,000	16.83	n/a	n/a	non-brg	4.0

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**TOTAL (Trade Date):**

**45,487.52**

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/08	NOMURA CAPITAL	029	FCN	S	9,900	33.51	n/a	n/a	297.00 3.0
AO,	09/08	NOMURA CAPITAL	029	FCN	S	9,900	33.51	n/a	n/a	297.00 3.0
AO,CXL	09/09	MILLENIUUM-DOUG	040	FL	SS	20,000	13.07	n/a	20-Aug	1000.00 5.0
AO,CRT	09/09	MILLENIUUM-DOUG	040	FL	SS	20,000	13.07	n/a	20-Aug	800.00 4.0
AO,	09/01	LISTED ERR	099	IL	B	86,000	13.08	n/a	n/a	0.00 0.0
AO,CRT	09/01	LISTED ERR	099	IL	S	86,000	13.08	n/a	n/a	0.00 0.0
AO,CRT	09/01	FEDERATED INV/KAUFMAN	029	IL	S	86,000	13.08	n/a	n/a	4730.01 5.5
AO,CXL	09/01	FEDERATED INV/KAUFMAN	029	IL	S	86,000	13.08	n/a	n/a	4730.01 5.5
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-200.00</b>

TOTAL (Trade Date):	45,487.52
TOTAL (AO, CXL, CRT):	-200.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>45,287.52</b>
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MRI Securities with Trade Activity on 10-Sep. NONE
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MRI Securities without Trade Activity on 10-Sep. NONE
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BRG comm. as a % of BCM Total Comm. paid.

T-Date = 2%

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)