



Daily Compliance Activity Report

Trade Date: 09/22/2010

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		AAPL	S	10,000	285.12	n/a	n/a	non-brg	4.0
HARBORWATCH/DIAMBACK	232	AA	SS	25,000	11.56	n/a	n/a	1,250.00	5.0
TRUSTCO/SUNTRUST	040	ACV	S	15,300	31.29	n/a	27-Jul	535.56	3.5
GRUSS CAPITAL	025	ADBE	B	20,000	26.39	n/a	n/a	600.00	3.0
PIONEER PATH	226	ANF	B	13,700	36.32	n/a	2-Sep	411.00	3.0
PIONEER PATH	226	ANN	B	25,000	18.80	n/a	n/a	750.00	3.0
f JONATHAN RICHARD HAR	FID	APC	B	25	55.38	n/a	13-Sep	0.00	0.0
B BUCK CAPITAL MGMT		ARO	B	50,000	22.54	n/a	2-Sep	non-brg	4.0
MUTUAL OF AMERICA CAPITAL	029	AVP	S	12,116	31.79	n/a	30-Jul	484.64	4.0
SF SENTRY	085	AXE	B	7,500	49.66	n/a	22-Sep	375.00	5.0
CATAPULT	040	BAC	B	25,000	13.53	n/a	22-Sep	1,250.00	5.0
B BUCK CAPITAL MGMT		BBBY	S	3,200	42.04	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BBBY	S	50,000	42.16	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BC	C	20,000	14.64	n/a	n/a	non-brg	4.0
LAGRANGE CAP ADV	048	BONT	B	10,000	8.05	n/a	n/a	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MILLENIUM SUB A/C NEW VERNON	085	BZ	B	50,000	6.65	n/a	n/a	2,500.00	5.0
Õ Michael DiMattia		CE	B	75	31.60	n/a	n/a	0.00	0.0
SENATOR INVESTMENT GROUP	036	CHRW	SS	40,000	68.08	n/a	n/a	1,200.00	3.0
LISTED ERR	099	CLS	B	100	8.14	n/a	n/a	0.00	0.0
LISTED ERR	099	CLS	S	100	8.13	n/a	n/a	0.00	0.0
MUTUAL OF AMERICA CAPITAL	029	CLX	S	5,345	66.51	n/a	23-Aug	213.80	4.0
ß BUCK CAPITAL MGMT		COH	S	30,000	41.57	n/a	4-Aug	non-brg	4.0
f MARK ANTHONY GRONET	FID	CPN	S	1000	12.52	n/a	n/a	0.00	0.0
DIAMONDBACK CAP MGMT	232	CPT	S	35,000	48.71	n/a	n/a	1,750.00	5.0
ß BUCK CAPITAL MGMT		CROX	S	50,000	11.63	n/a	n/a	non-brg	4.0
f JONATHAN RICHARD HAR	FID	C	B	500	3.90	n/a	22-Sep	0.00	0.0
ß BUCK CAPITAL MGMT		DEER	B	25,000	8.97	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		DEER	S	125,000	8.90	n/a	n/a	non-brg	2.5
BAIRD INVESTMENT	047	DRC	B	14,300	37.25	n/a	n/a	715.00	5.0
PIONEER PATH	226	DRI	B	50,000	43.25	n/a	22-Sep	1,500.00	3.0
DIAMONDBACK CAP MGMT	232	EMR	SS	10,000	51.64	n/a	n/a	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f DAVID GEORGE BUCK	FID	EPP	S	2000	43.80	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	EPP	S	200	43.80	n/a	n/a	0.00	0.0
SONTERRA CAP	041	EXC	SS	10,000	43.09	n/a	n/a	400.00	4.0
SCHOTTENFELD ASSOC	041	FBR	B	25,000	16.79	n/a	n/a	750.00	3.0
f MARC PAUL LUCHANSKY	FID	FCSAX	B	26	10.10	n/a	n/a	0.00	0.0
SONTERRA CAP	041	FLR	SS	10,000	49.38	n/a	n/a	400.00	4.0
f MANNY I KORMAN	FID	FNKXX	S	275000	1.00	n/a	n/a	0.00	0.0
f MARK ANTHONY GRONET	FID	FOR	S	500	15.86	n/a	26-Aug	0.00	0.0
Õ Michael DiMattia		GDX	B	50	56.39	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		GES	S	150,000	37.83	n/a	26-Aug	non-brg	4.0
PZENA INV ADV	044	GFF	S	10,525	11.53	n/a	n/a	368.38	3.5
PIONEER PATH	226	GIL	B	55,000	27.64	n/a	13-Aug	1,650.00	3.0
Õ Michael DiMattia		GLD	B	25	126.39	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		GYMB	S	50,000	41.86	n/a	2-Sep	non-brg	4.0
ß BUCK CAPITAL MGMT		HBI	B	20,000	24.59	n/a	11-Aug	non-brg	0.8
f ABRAM M CHAPPELL	FID	HK	S	100	14.85	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WATERFRONT CAP	028	IMAX	B	50,000	16.83	n/a	n/a	2,000.00	4.0
BMO NESBITT BURNS	041	IP	SS	25,000	21.40	n/a	20-Sep	1,250.00	5.0
CATAPULT	040	IP	SS	10,000	21.86	n/a	20-Sep	500.00	5.0
US BANCORP	030	IP	S	185,965	21.59	n/a	20-Sep	9,298.25	5.0
f DAVID GEORGE BUCK	FID	IVZ	B	2000	21.59	n/a	2-Mar	0.00	0.0
WHITE PINE CAPITAL	030	IWO	SS	3,000	73.33	n/a	n/a	150.00	5.0
WHITE PINE CAPITAL	030	IWV	SS	4,500	67.53	n/a	n/a	225.00	5.0
BUCK CAPITAL MGMT	001	JCG	S	50,000	32.57	n/a	n/a	2,000.00	4.0
B BUCK CAPITAL MGMT		JNY	S	50,000	18.64	n/a	29-Jul	non-brg	2.0
CATAPULT	040	JPM	S	5,000	40.11	n/a	22-Sep	250.00	5.0
BUCK CAPITAL MGMT	001	KCP	S	10,174	15.42	n/a	n/a	406.96	4.0
B BUCK CAPITAL MGMT		KCP	S	30,000	15.61	n/a	n/a	non-brg	0.8
KADE CAPITAL LLC	028	KMT	B	5,000	30.36	n/a	30-Jul	250.00	5.0
PZENA INV ADV	044	LH	B	2,100	76.33	n/a	n/a	73.50	3.5
ENTRUST CAPITAL	040	LOPE	B	32,135	20.78	n/a	n/a	1,606.75	5.0
CHILTON CAPITAL MGMT.	036	MDT	B	50,000	33.57	n/a	n/a	1,500.00	3.0
BUCK CAPITAL MGMT	001	MFB	S	20,000	29.11	n/a	n/a	800.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER PATH	226	MHK	B	15,000	49.24	n/a	n/a	450.00	3.0
Õ Michael DiMattia		MOS	S	50	60.48	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	MS	S	3000	25.20	22-Sep	22-Sep	0.00	0.0
f MARK ANTHONY GRONET	FID	MS	S	1000	25.12	22-Sep	22-Sep	0.00	0.0
f MARK ANTHONY GRONET	FID	MWA	S	1000	2.76	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		M	S	50,000	22.00	n/a	2-Sep	non-brg	4.0
SAC TRADIN/BINDER	044	NCR	S	22,340	14.03	n/a	n/a	781.90	3.5
ß BUCK CAPITAL MGMT		NKE	S	30,000	77.40	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		NTY	S	276,400	54.85	n/a	n/a	non-brg	4.0
BAIRD INVESTMENT	047	OII	B	10,400	53.19	n/a	n/a	520.00	5.0
f DAVID GEORGE BUCK	FID	PBCT	B	2000	12.90	n/a	31-Aug	0.00	0.0
ß BUCK CAPITAL MGMT		PIR	S	50,000	8.05	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		PIR	S	50,000	8.17	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		PLCE	S	50,000	47.71	n/a	19-Aug	non-brg	4.0
DARUMA ASSET MGMT INC	046	PMCS	B	200,000	7.20	n/a	n/a	8,000.00	4.0
PZENA INV ADV	044	PNC	B	225	52.25	n/a	n/a	7.88	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PZENA INV ADV	044	PNM	B	3,900	11.15	n/a	n/a	136.50	3.5
BUCK CAPITAL MGMT	001	PVH	S	46,200	58.64	n/a	9-Sep	1,848.00	4.0
ß BUCK CAPITAL MGMT		PVH	S	3,800	58.85	n/a	9-Sep	non-brg	2.0
f EDWARD W WHEELER	FID	RAE	S	22900	1.58	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	RAE	S	25000	1.58	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	RL	S	30,000	87.98	n/a	5-Aug	1,200.00	4.0
f MARK ANTHONY GRONET	FID	RRR	S	1000	7.12	n/a	23-Jul	0.00	0.0
ß BUCK CAPITAL MGMT		RUE	C	10,000	25.61	n/a	n/a	non-brg	2.5
Õ Michael DiMattia		SDS	S	100	29.76	n/a	n/a	0.00	0.0
FARALLON CAP MGMT	040	SFUN	S	12,005	67.09	n/a	n/a	480.20	4.0
ß BUCK CAPITAL MGMT		SKX	S	10,000	22.83	n/a	n/a	non-brg	4.0
f HARALAMBOS EFSTATHI	FID	SKX	S	400	23.18	n/a	n/a	0.00	0.0
LAGRANGE CAP ADV	048	SKX	B	10,000	21.93	n/a	n/a	500.00	5.0
CENTURION PARTNERS	041	SLF	B	100	25.70	n/a	n/a	5.00	5.0
Õ Michael DiMattia		SMN	S	100	29.26	n/a	n/a	0.00	0.0
f ANDREW SINCLAIR	FID	SPY	B	10	1.03	n/a	n/a	0.00	0.0
f ANDREW SINCLAIR	FID	SPY	S	20	0.32	n/a	n/a	0.00	0.0
TALKOT CAPITAL LLC	084	SSCC	S	10,000	19.08	n/a	20-Sep	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	SSI	B	36,550	12.55	n/a	n/a	1,096.50	3.0
SLS CAPITAL LLC	224	STX	B	43,200	11.21	n/a	n/a	1,728.00	4.0
DAWSON CAPITAL MGMT.	085	SUN	SS	12,300	34.22	n/a	n/a	615.00	5.0
f MARK ANTHONY GRONET	FID	SUP	S	1000	16.78	n/a	16-Aug	0.00	0.0
KACELA CAPITAL	034	TOL	SS	32,000	18.56	n/a	n/a	1,280.00	4.0
ROTHSCHILD ASSET	040	TXT	B	12,920	20.37	n/a	n/a	516.80	4.0
Õ Michael DiMattia		VALE	B	75	29.32	n/a	n/a	0.00	0.0
SAC CHICAGO ANDREW	031	WFMI	B	70,000	36.66	n/a	n/a	2,450.00	3.5
BUCK CAPITAL MGMT	001	WRC	S	50,000	47.86	n/a	6-Aug	2,000.00	4.0
B BUCK CAPITAL MGMT		WSM	C	50,000	30.71	n/a	n/a	non-brg	4.0
JP MORGAN VENTURES	046	XRT	SS	10,000	40.52	n/a	n/a	300.00	3.0
TOTAL (Trade Date) :								62,729.62	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/21	ROYAL CAPITAL MGMT	070	SSCC	B	32,800	19.00	n/a	20-Sep	1640.00 5.0
AO,	09/21	EPOCH INV MGMT	030	V	S	1,400	70.63	n/a	22-Sep	42.00 3.0
AO,CXL	09/21	NEUSTRADA CAP LLC	085	WHR	B	25,000	79.66	n/a	n/a	1000.00 4.0
AO,CRT	09/21	NEUSTRADA CAP LLC	085	WHR	B	25,000	79.66	n/a	n/a	750.00 3.0
AO,CXL	09/17	NOMURA CAPITAL	029	WINN	S	5,156	6.96	n/a	n/a	154.68 3.0
AO,	09/17	NOMURA CAPITAL	029	WINN	SS	5,156	6.96	n/a	n/a	154.68 3.0
AO,	09/21	WEINTRAUB CAPITAL MGT.	040	WY	B	50,000	15.41	n/a	26-Aug	2000.00 4.0

TOTAL (AO, CXL, CRT) : **3,432.00**

TOTAL (Trade Date) : 62,729.62

TOTAL (AO, CXL, CRT) : 3,432.00

TOTAL (RUN DATE) / NFS: **66,161.62**

MRI Securities with Trade Activity on 22-Sep.

MS

MRI Securities without Trade Activity on 22-Sep.

WCRX

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

T-Date = 16%

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)