



Daily Compliance Activity Report

Trade Date: 12/14/2010

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		7974 JP	B	10,000	287.07	n/a	n/a	non-brg	43.1
Õ Nilsa Vazquez		ABVT	S	100	55.58	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		AEO	S	130,000	15.16	n/a	3-Dec	non-brg	4.0
SYSTEMATIC FINANCIAL MGT	035	AEO	B	85,400	15.19	n/a	3-Dec	2,562.00	3.0
Õ Nilsa Vazquez		AWI	S	100	40.87	n/a	n/a	0.00	0.0
CAXTON PART	040	AXP	B	18,140	46.71	n/a	14-Dec	634.92	3.5
SURVEYOR CAPITAL	041	AXP	S	11,848	46.41	n/a	14-Dec	355.44	3.0
f CHRISTOPHER ROBERT C	FID	BAC	B	300	12.65	n/a	8-Dec	0.00	0.0
B BUCK CAPITAL MGMT		BEBE	S	20,000	6.17	n/a	n/a	non-brg	3.0
JMP ASSET MGMT	210	BGFV	B	17,541	14.57	n/a	n/a	360.65	2.5
BUCK CAPITAL MGMT	001	BIG	B	50,000	27.89	n/a	7-Dec	2,000.00	4.0
SURSUM CAPITAL	215	BIG	S	65,000	28.03	n/a	7-Dec	1,950.00	3.0
B BUCK CAPITAL MGMT		BONT	S	10,200	13.35	n/a	n/a	non-brg	0.8
f REUBEN D DVORETSKY	FID	BP	S	92	44.67	n/a	n/a	0.00	0.0
FIRST NEW YORK LEDDY	035	BSX	S	20,000	7.00	n/a	n/a	800.00	4.0
VISIUM/BALY BOBBY	044	CAKE	B	25,000	30.99	n/a	2-Dec	1,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f REUBEN D DVORETSKY	FID	CEL	B	43	33.47	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		CHS	S	50,000	11.84	n/a	5-Feb	non-brg	4.0
BRANDWINE	028	CI	S	41,500	37.21	n/a	n/a	1,660.00	4.0
JET CAPITAL/CHRIS	041	CML	B	50,000	28.01	n/a	n/a	1,500.00	3.0
MATRIX ASSET ADV.	091	CSCO	B	3,900	19.65	n/a	n/a	117.00	3.0
MTB INV ADV	034	CSTR	B	3,150	61.88	n/a	n/a	157.50	5.0
f CHRISTOPHER ROBERT C	FID	DANG	B	200	28.40	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	DE	B	50	82.53	n/a	26-Nov	0.00	0.0
MTB INV ADV	034	DIN	S	1,025	52.98	n/a	n/a	51.25	5.0
MA CAPITAL MGMT/MELLON ADV	041	DPZ	B	3,000	15.03	n/a	10-Dec	150.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	DRI	SS	1,500	48.07	n/a	14-Dec	75.00	5.0
VISIUM/BALY BOBBY	044	DRI	SS	15,000	48.27	n/a	14-Dec	750.00	5.0
SURVEYOR CAPITAL	041	FITB	SS	37,251	14.62	n/a	n/a	1,117.53	3.0
f BARBARA S LEDDY	FID	FL	S	500	19.21	n/a	19-Nov	0.00	0.0
f CICILY S BACKUS	FID	GE	B	4000	17.66	n/a	n/a	0.00	0.0
f LBP ENTERPRISES INC	FID	GE	B	2000	17.66	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f LEE F BACKUS	FID	GE	B	2000	17.66	n/a	n/a	0.00	0.0
f SNEJANA P GARFUNKEL	FID	GE	B	1000	17.66	n/a	n/a	0.00	0.0
IRIDIAN ASSET MGMT.	036	GLW	C	43,180	18.98	n/a	1-Nov	1,295.40	3.0
STANDARD PACIFIC CAPITAL	040	GME	B	130,000	21.61	n/a	n/a	6,500.00	5.0
f LBP ENTERPRISES INC	FID	HAL	S	1000	41.62	n/a	n/a	0.00	0.0
JET CAPITAL/CHRIS	041	HNR	B	15,000	12.26	n/a	n/a	450.00	3.0
f JONATHAN RICHARD HAR	FID	HOV	B	500	4.36	n/a	n/a	0.00	0.0
CAXTON PART	040	HPQ	S	36,240	41.66	n/a	n/a	1,268.44	3.5
B BUCK CAPITAL MGMT		HTZ	S	10,000	13.60	n/a	n/a	non-brg	4.0
MERRILL ASSET/BLACKROCK	266	IPCC	S	522	62.35	n/a	n/a	10.44	2.0
CASTLE ARK	031	ISRG	B	29,900	259.82	n/a	n/a	1,495.00	5.0
f CHRISTOPHER ROBERT C	FID	JACK	S	200	20.29	n/a	n/a	0.00	0.0
SURSUM CAPITAL	215	JNY	B	23,468	15.65	n/a	28-Oct	704.04	3.0
WEISS PECK	040	JNY	S	34,200	15.74	n/a	28-Oct	1,710.00	5.0
B BUCK CAPITAL MGMT		JOSB	S	10,000	39.52	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		JWN	S	20,000	41.67	n/a	30-Nov	non-brg	4.0
B BUCK CAPITAL MGMT		KSS	S	10,000	53.46	n/a	30-Nov	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AVENUE CAPITAL MGMT	070	LEA	S	50,000	95.17	n/a	29-Oct	2,000.00	4.0
f SNEJANA P GARFUNKEL	FID	LEA	S	200	96.32	n/a	29-Oct	0.00	0.0
THE JAY GOLDMAN	028	MGM	S	50,000	13.11	n/a	9-Dec	2,000.00	4.0
MTB INV ADV	034	MNRO	S	18,175	51.47	n/a	n/a	908.75	5.0
f CICILY S BACKUS	FID	MRK	B	2000	36.70	n/a	n/a	0.00	0.0
f LBP ENTERPRISES INC	FID	MRK	B	1000	36.70	n/a	n/a	0.00	0.0
f LEE F BACKUS	FID	MRK	B	1000	36.70	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	MRK	B	3000	36.68	n/a	n/a	0.00	0.0
f SNEJANA P GARFUNKEL	FID	MRK	B	500	36.70	n/a	n/a	0.00	0.0
OHIO PERS	047	MTW	S	64,014	13.12	n/a	1-Nov	1,920.42	3.0
f CHRISTOPHER ROBERT C	FID	MW	B	200	24.29	n/a	n/a	0.00	0.0
GLG PARTNERS	034	M	S	50,000	24.97	n/a	30-Nov	1,500.00	3.0
ROTHSCHILD ASSET	040	NJR	S	10,580	43.56	n/a	n/a	423.20	4.0
TRUST CO OF THE WEST/NY	040	NYB	S	25,600	17.77	n/a	30-Nov	1,024.00	4.0
TRUST CO/COWEN/CALF.	040	NYB	S	16,400	17.77	n/a	30-Nov	656.00	4.0
AVESTA CAP	229	PEP	SS	100,000	65.44	n/a	n/a	3,000.00	3.0
B BUCK CAPITAL MGMT		PIR	S	100,000	10.47	n/a	n/a	non-brg	4.0
JP MORGAN VENTURES	046	PLCE	SS	5,000	51.18	n/a	18-Nov	250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GEORGE WEISS	034	PNRA	SS	10,000	103.60	n/a	2-Dec	300.00	3.0
SURVEYOR CAPITAL	041	PRU	S	11,616	56.81	n/a	n/a	348.48	3.0
BUCK CAPITAL MGMT	001	PVH	S	20,000	67.03	n/a	3-Dec	800.00	4.0
f KAREN F LEDDY	FID	SAH	S	1400	13.21	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SIG	B	10,500	42.83	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		SIG	B	109,500	42.80	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SKX	S	20,000	21.99	n/a	n/a	non-brg	4.0
f KAREN F LEDDY	FID	TBT	B	350	39.02	n/a	n/a	0.00	0.0
OHIO PERS	047	TEX	B	30,000	27.66	n/a	22-Oct	900.00	3.0
f THOMAS MACTAGGART LE	FID	TIN	S	400	22.62	n/a	14-Dec	0.00	0.0
JET CAPITAL/CHRIS	041	TLCR	B	25,000	22.42	n/a	n/a	750.00	3.0
f REUBEN D DVORETSKY	FID	TLT	B	33	92.32	n/a	n/a	0.00	0.0
TRUST CO OF THE WEST/NY	040	TMO	S	11,600	55.28	n/a	n/a	580.00	5.0
f JOEL GIFFORD TISS	FID	TRN	S	5035	25.37	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		UAL	C	10,000	25.35	n/a	n/a	non-brg	4.0
LATEFF MGMT	035	UAL	B	7,500	24.81	n/a	n/a	525.00	7.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MTB INV ADV	034	ULTA	S	2,075	33.90	n/a	n/a	103.75	5.0
JP MORGAN VENTURES	046	URBN	SS	10,000	36.49	n/a	n/a	500.00	5.0
f JONATHAN RICHARD HAR	FID	URRE	S	3000	2.97	n/a	n/a	0.00	0.0
RAINIER INV MGMT	035	VAL	S	59,550	34.42	n/a	n/a	2,382.00	4.0
RAINIER INV MGMT	035	VAR	B	46,350	68.80	n/a	n/a	1,854.00	4.0
f JASON ERIC COHEN	FID	VTG	S	500	2.15	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	WCRX	B	5000	21.49	n/a	13-Dec	0.00	0.0
TRUST CO/COWEN/CALF.	040	WM	S	90,930	36.35	n/a	n/a	4,546.50	5.0
B BUCK CAPITAL MGMT		WSO	S	15,000	64.08	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		WSO	S	9,200	64.15	n/a	n/a	non-brg	4.0
Õ Nilsa Vazquez		WYNN	S	100	100.46	n/a	9-Dec	0.00	0.0
FORWARD MGMT	033	WY	S	200,000	17.94	n/a	29-Oct	8,000.00	4.0
TOTAL (Trade Date) :								64,196.71	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	12/13	NOMURA CAPITAL	029	ACUZD	S	3,550	13.27	n/a	n/a	71.00 2.0
AO,CRT	12/13	JMP ASSET MGMT	210	BGFV	B	306	14.57	n/a	n/a	15.30 5.0
AO,CXL	12/13	JMP ASSET MGMT	210	BGFV	B	306	14.57	n/a	n/a	15.30 5.0
AO,CRT	12/10	JMP ASSET MGMT	210	GES	SS	5,180	48.06	n/a	24-Nov	259.00 5.0
AO,CXL	12/10	JMP ASSET MGMT	210	GES	SS	5,180	48.06	n/a	24-Nov	0.00 0.0

TOTAL (AO, CXL, CRT) :	330.00
-------------------------------	---------------

TOTAL (Trade Date) :	64,196.71
----------------------	-----------

TOTAL (AO, CXL, CRT) :	330.00
------------------------	--------

TOTAL (RUN DATE) / NFS:	64,526.71
--------------------------------	------------------

MRI Securities with Trade Activity on 14-Dec. NONE

MRI Securities without Trade Activity on 14-Dec. NONE
--

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)