



Daily Compliance Activity Report

Trade Date: 12/27/2010

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		AEO	S	100,000	14.37	n/a	3-Dec	non-brg	4.0
B BUCK CAPITAL MGMT		ANF	S	40,000	57.34	n/a	3-Dec	non-brg	4.0
BUCK CAPITAL MGMT	001	AN	B	20,000	28.05	n/a	29-Oct	600.00	3.0
f JONATHAN RICHARD HAR	FID	BAC	B	550	13.20	n/a	17-Dec	0.00	0.0
BUCK CAPITAL MGMT	001	BIG	B	20,000	29.94	n/a	7-Dec	600.00	3.0
f JASON ERIC COHEN	FID	BLDR	B	1000	1.79	n/a	n/a	0.00	0.0
CHARTER OAK	033	BUD	B	10,000	57.49	n/a	15-Dec	500.00	5.0
ARMATURE CAPITAL	041	BWA	SS	20,000	72.39	n/a	27-Oct	800.00	4.0
EGS ASSOCIATES LP	091	BYI	B	4,100	42.55	n/a	23-Dec	246.00	6.0
f COLE THOMAS KAICHER	FID	CGI	S	150	14.57	n/a	n/a	0.00	0.0
STRONG/MARK GRONET	030	CMO	S	8,000	13.00	n/a	n/a	320.00	4.0
BAIRD INVESTMENT	047	CTSH	S	4,575	73.07	n/a	n/a	228.75	5.0
TRAFELET & COMP.	028	C	S	200,000	4.77	n/a	17-Dec	6,000.00	3.0
B BUCK CAPITAL MGMT		DECK	S	25,000	83.67	n/a	n/a	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	CHRISTOPHER ROBERT C	FID	DECK	B	50	84.30	n/a	n/a	0.00	0.0
	TYEE/TYGH	035	EXPE	S	100,000	25.58	n/a	n/a	4,000.00	4.0
	BUCK CAPITAL MGMT	001	FL	S	30,000	19.23	n/a	22-Dec	900.00	3.0
	EGS ASSOCIATES LP	091	FL	B	5,000	19.39	n/a	22-Dec	300.00	6.0
f	MARC PAUL LUCHANSKY	FID	FNSXX	S	482	1.00	n/a	n/a	0.00	0.0
	ACK ASSET	028	FOE	S	86,801	14.99	n/a	n/a	2,604.03	3.0
B	BUCK CAPITAL MGMT		FOSL	S	15,000	71.09	n/a	n/a	non-brg	4.0
f	CHRISTOPHER ROBERT C	FID	FSENX	B	58	51.47	n/a	n/a	0.00	0.0
	BUCK CAPITAL MGMT	001	GES	B	30,000	47.74	n/a	24-Nov	900.00	3.0
B	BUCK CAPITAL MGMT		GES	S	20,000	47.39	n/a	24-Nov	non-brg	4.0
B	BUCK CAPITAL MGMT		GIII	S	10,000	35.76	n/a	n/a	non-brg	1.0
B	BUCK CAPITAL MGMT		GIL	S	25,000	28.21	n/a	3-Dec	non-brg	4.0
	LAGRANGE CAP ADV	048	GNTX	SS	10,000	29.11	n/a	25-Oct	500.00	5.0
B	BUCK CAPITAL MGMT		HBI	S	20,000	25.07	n/a	28-Oct	non-brg	0.8
B	BUCK CAPITAL MGMT		HBI	S	30,000	25.19	n/a	28-Oct	non-brg	4.0
	KACELA CAPITAL	034	HD	B	15,000	35.37	n/a	13-Dec	600.00	4.0
	SANDLER CAPITAL	226	HRB	SS	190,000	11.75	n/a	n/a	11,400.00	6.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PAULSON & CO INC	041	IP	B	300,000	27.05	n/a	15-Dec	12,000.00	4.0
MILLENNIUM-ANDEW	031	ITRI	S	11,500	54.72	n/a	n/a	575.00	5.0
BUCK CAPITAL MGMT	001	JNY	S	20,000	15.49	n/a	28-Oct	600.00	3.0
ß BUCK CAPITAL MGMT		JOSB	S	30,000	40.15	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		KSS	S	10,000	53.38	n/a	30-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		KSS	S	50,000	53.11	n/a	30-Nov	non-brg	4.0
BUCK CAPITAL MGMT	001	LIZ	S	50,000	7.43	n/a	7-Oct	1,000.00	2.0
BUCK CAPITAL MGMT	001	LTD	S	10,000	31.02	n/a	n/a	300.00	3.0
ß BUCK CAPITAL MGMT		LTD	S	20,000	30.72	n/a	n/a	non-brg	4.0
TRAFELET & COMP.	028	MHR	B	150,000	7.19	n/a	n/a	4,500.00	3.0
BUCK CAPITAL MGMT	001	M	S	30,000	25.19	n/a	30-Nov	900.00	3.0
ß BUCK CAPITAL MGMT		M	S	70,000	24.76	n/a	30-Nov	non-brg	4.0
LAGRANGE CAP ADV	048	PAG	S	40,000	17.15	n/a	25-Oct	2,000.00	5.0
ß BUCK CAPITAL MGMT		PSS	SS	10,000	20.46	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		PSS	SS	20,000	20.46	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	PVH	S	50,000	64.82	n/a	3-Dec	1,500.00	3.0
Õ Nilsa Vazquez		RGC	B	500	11.94	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MILLENNIUM-ANDEW	031	SHAW	S	4,606	34.61	n/a	n/a	230.30	5.0
BUCK CAPITAL MGMT	001	SIG	B	30,000	43.50	n/a	n/a	900.00	3.0
f CHARLES MAXWELL KAIC	FID	SNCR	S	10	27.12	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SODA	B	10,000	32.79	n/a	n/a	non-brg	2.5
f COLE THOMAS KAICHER	FID	STVI	S	2500	1.45	n/a	n/a	0.00	0.0
f CHARLES MAXWELL KAIC	FID	TA	S	400	3.86	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	TBT	S	500	37.80	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	TGT	B	50,000	60.12	n/a	2-Dec	1,500.00	3.0
f CHARLES MAXWELL KAIC	FID	TIVO	S	180	8.62	n/a	n/a	0.00	0.0
SURSUM CAPITAL	215	TLB	S	50,000	8.58	n/a	n/a	1,500.00	3.0
BUCK CAPITAL MGMT	001	TPX	B	30,000	39.93	n/a	n/a	900.00	3.0
KACELA CAPITAL	034	UNP	B	24,000	92.18	n/a	n/a	960.00	4.0
CHART WELL ADV	028	URBN	S	10,000	35.64	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		VFC	SS	200,000	86.58	n/a	22-Oct	non-brg	4.0
MANNING & NAPIER	034	V	B	278,830	70.40	n/a	21-Dec	8,364.90	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		WMT	SS	100,000	53.35	n/a	17-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		WMT	SS	100,000	53.42	n/a	17-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		WRC	S	30,000	55.51	n/a	9-Nov	non-brg	4.0
THOMPSON SIEGAL&WALMSLEY	029	ZQK	B	3,800	5.15	n/a	10-May	76.00	2.0
TOTAL (Trade Date):							68,704.98		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	12/23	FARALLON CAP MGMT	040	CPN	SS	30,000	13.54	n/a	n/a	900.00 3.0
AO,CXL	12/23	FARALLON CAP MGMT	040	CPN	SS	30,000	13.54	n/a	n/a	1200.00 4.0
AO,	12/23	NOMURA CAPITAL	029	FDML	S	10,000	20.74	n/a	n/a	300.00 3.0
AO,	12/23	ARCHON CAPITAL	035	GDOT	SS	10,000	50.60	n/a	n/a	300.00 3.0
AO,	12/23	NOMURA CAPITAL	029	LYB	S	50,000	32.94	n/a	n/a	1500.00 3.0
AO,	12/23	STRONG/MARK GRONET	030	NLY	S	25,000	17.79	n/a	n/a	1000.00 4.0
AO,	12/23	NOMURA CAPITAL	029	QLTY	S	2,520	9.82	n/a	n/a	75.60 3.0
AO,	12/23	CATAPULT	040	RCII	S	14,805	32.61	n/a	n/a	592.20 4.0
AO,	12/23	MANNING & NAPIER	034	V	B	130,000	68.71	n/a	21-Dec	3900.00 3.0

TOTAL (AO, CXL, CRT) :**7,367.80**

TOTAL (Trade Date):**68,704.98****TOTAL (AO, CXL, CRT):****7,367.80**

TOTAL (RUN DATE) / NFS:**76,072.78**

MRI Securities with Trade Activity on 27-Dec.

NONE

MRI Securities without Trade Activity on 27-Dec.

NONE

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

T-Date = 23%

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)