



Daily Compliance Activity Report

Trade Date: 07/21/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------------|-------------|----------|---------------|--------------|------------|---------------|-----------------|------------|
| US BANCORP | 030 | ABC | B | 14,480 | 32.22 | n/a | n/a | 724.00 | 5.0 |
| f DAVID GEORGE BUCK | FID | ABT | S | 1000 | 48.89 | n/a | n/a | 0.00 | 0.0 |
| US BANCORP | 030 | ADTN | B | 11,560 | 31.40 | n/a | n/a | 578.00 | 5.0 |
| EXIS CAPITAL | 044 | AEO | B | 40,000 | 12.16 | n/a | 9-Jul | 2,000.00 | 5.0 |
| US BANCORP | 030 | ALB | B | 6,102 | 42.07 | n/a | n/a | 305.10 | 5.0 |
| EXIS CAPITAL | 044 | ANF | SS | 5,000 | 34.17 | n/a | 9-Jul | 250.00 | 5.0 |
| SCOPUS FUND | 041 | ANF | B | 8,202 | 34.78 | n/a | 9-Jul | 410.10 | 5.0 |
| US BANCORP | 030 | ANR | S | 12,018 | 37.20 | n/a | n/a | 600.90 | 5.0 |
| BALYASNY ASSET MGMT | 044 | ARM | B | 15,000 | 14.94 | n/a | n/a | 750.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | ARO | S | 80,000 | 29.23 | n/a | 9-Jul | 3,200.00 | 4.0 |
| B BUCK CAPITAL MGMT | | ARO | S | 20,000 | 29.09 | n/a | 9-Jul | non-brg | 0.8 |
| SCOPUS FUND | 041 | ARO | SS | 25,000 | 29.21 | n/a | 9-Jul | 1,250.00 | 5.0 |
| MILLRACE FUND LP | 028 | ARUN | S | 5,000 | 16.26 | n/a | n/a | 200.00 | 4.0 |
| B BUCK CAPITAL MGMT | | ATVI | B | 20,000 | 11.35 | n/a | n/a | non-brg | 4.0 |
| BUCK CAPITAL MGMT | 001 | AVP | S | 30,000 | 28.07 | n/a | 12-Jul | 1,200.00 | 4.0 |
| B BUCK CAPITAL MGMT | | AVP | S | 3,000 | 28.46 | n/a | 12-Jul | non-brg | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------------------------------|------------|-------------|----------|---------------|--------------|------------|---------------|----------------|------------|
| GREEN ARROW DOUG | 040 | AYI | SS | 10,000 | 39.91 | n/a | n/a | 500.00 | 5.0 |
| f EDWARD W WHEELER | FID | BAX | B | 2000 | 41.59 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | BBBY | B | 20,000 | 37.05 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | BBY | B | 20,000 | 34.39 | n/a | n/a | non-brg | 4.0 |
| CATAPULT | 040 | BEAV | B | 8,910 | 28.19 | n/a | 20-Jul | 445.50 | 5.0 |
| f JOSEPH CIRO AMATURO | FID | BGU | S | 3000 | 45.25 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | BONT | B | 20,000 | 7.56 | n/a | n/a | non-brg | 2.5 |
| f DAVID GEORGE BUCK | FID | BP | B | 1500 | 36.23 | n/a | n/a | 0.00 | 0.0 |
| FIRST NEW YORK LEDDY | 035 | BSX | S | 10,000 | 5.95 | n/a | n/a | 400.00 | 4.0 |
| BAIRD INVESTMENT | 047 | BUCY | B | 7,775 | 56.48 | n/a | 30-Apr | 388.75 | 5.0 |
| CATAPULT | 040 | CACI | B | 8,580 | 44.72 | n/a | n/a | 429.00 | 5.0 |
| CATAPULT | 040 | CBE | B | 27,965 | 46.68 | n/a | 27-May | 1,398.25 | 5.0 |
| SYSTEMATIC FINANCIAL MGT | 035 | CBG | B | 371,500 | 14.32 | n/a | n/a | 11,145.00 | 3.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | CHS | B | 50,000 | 9.65 | n/a | 5-Feb | 1,750.00 | 3.5 |
| f DAVID GEORGE BUCK | FID | CL | B | 500 | 83.76 | n/a | 18-May | 0.00 | 0.0 |

| | Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---|--------------------------|-----|--------|-----|--------|-------|-----|----------|-------------|-----|
| f | MATTHEW FRANCIS BUCK | FID | CL | B | 200 | 83.78 | n/a | 18-May | 0.00 | 0.0 |
| | BAIRD INVESTMENT | 047 | COG | B | 14,700 | 33.58 | n/a | 19-Jul | 735.00 | 5.0 |
| B | BUCK CAPITAL MGMT | | COLM | C | 8,500 | 46.99 | n/a | n/a | non-brg | 2.5 |
| B | BUCK CAPITAL MGMT | | CTRN | SS | 20,000 | 31.83 | n/a | n/a | non-brg | 0.8 |
| | US BANCORP | 030 | CTRP | S | 11,114 | 38.06 | n/a | n/a | 555.70 | 5.0 |
| f | JOSEPH CIRO AMATURO | FID | CVGI | B | 10000 | 9.86 | n/a | n/a | 0.00 | 0.0 |
| | GREEN ARROW DOUG | 040 | CVO | S | 20,000 | 5.32 | n/a | n/a | 1,000.00 | 5.0 |
| B | BUCK CAPITAL MGMT | | CWTR | S | 16,376 | 3.52 | n/a | n/a | non-brg | 3.0 |
| f | EDWARD W WHEELER | FID | DAN | B | 5000 | 10.67 | n/a | 15-Jul | 0.00 | 0.0 |
| B | BUCK CAPITAL MGMT | | DECK | B | 30,000 | 46.35 | n/a | n/a | non-brg | 2.5 |
| | GRANAHAN INV | 048 | DGI | S | 52,500 | 25.56 | n/a | n/a | 2,100.00 | 4.0 |
| | SIGMA CAPITAL ASSOCIATES | 041 | DLTR | SS | 25,000 | 42.10 | n/a | 6-Jul | 875.00 | 3.5 |
| f | DAVID GEORGE BUCK | FID | EEM | S | 2000 | 39.95 | n/a | n/a | 0.00 | 0.0 |
| f | MATTHEW FRANCIS BUCK | FID | EEM | S | 500 | 39.95 | n/a | n/a | 0.00 | 0.0 |
| | GREEN ARROW DOUG | 040 | EL | SS | 10,000 | 62.04 | n/a | 7-Jun | 500.00 | 5.0 |
| B | BUCK CAPITAL MGMT | | ETH | SS | 20,000 | 15.01 | n/a | n/a | non-brg | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|-------------|-----------|----------------|--------------|------------|---------------|-----------------|------------|
| BIXBY LLC | 070 | FBR | B | 3,000 | 14.97 | n/a | n/a | 120.00 | 4.0 |
| f CHRISTOPHER ROBERT C | FID | FBR | S | 300 | 14.93 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | FDO | SS | 20,000 | 38.65 | n/a | 7-Jul | non-brg | 4.0 |
| US BANCORP | 030 | FFIV | S | 2,625 | 75.13 | n/a | n/a | 131.25 | 5.0 |
| B BUCK CAPITAL MGMT | | FINL | B | 100,000 | 14.17 | n/a | n/a | non-brg | 4.0 |
| EXIS CAPITAL | 044 | FINL | B | 20,000 | 14.06 | n/a | n/a | 1,000.00 | 5.0 |
| OZ MGMT | 040 | F | B | 50,000 | 11.80 | n/a | 15-Jul | 1,500.00 | 3.0 |
| ROSEDALE CAPITAL | 046 | F | B | 60,000 | 11.81 | n/a | 15-Jul | 3,000.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | GCO | B | 10,000 | 26.74 | n/a | n/a | 400.00 | 4.0 |
| B BUCK CAPITAL MGMT | | GES | B | 15,000 | 33.94 | n/a | 19-Jul | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | GIL | S | 5,000 | 29.03 | n/a | 19-Jul | non-brg | 4.0 |
| BUCK CAPITAL MGMT | 001 | GPS | S | 100,000 | 18.07 | n/a | n/a | 4,000.00 | 4.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | GPS | SS | 25,000 | 18.09 | n/a | n/a | 875.00 | 3.5 |
| DIAMONDBACK CAP MGMT | 232 | GTI | S | 25,000 | 15.51 | n/a | n/a | 1,250.00 | 5.0 |
| B BUCK CAPITAL MGMT | | GYMB | B | 12,000 | 41.80 | n/a | 9-Jul | non-brg | 4.0 |
| BUCK CAPITAL MGMT | 001 | HBI | B | 10,000 | 24.98 | n/a | 19-Jul | 400.00 | 4.0 |
| GRANITE CAPITAL | 028 | HOG | SS | 30,000 | 26.76 | n/a | n/a | 1,500.00 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------------|------------|-----------|---------------|--------------|------------|--------------|----------------|------------|
| CATAPULT | 040 | HRS | B | 7,194 | 44.70 | n/a | 29-Apr | 359.70 | 5.0 |
| DAVIDSON KEMPNER ADVISOR | 040 | IEO | SS | 20,000 | 50.24 | n/a | n/a | 1,000.00 | 5.0 |
| DIAMONDBACK CAP MGMT | 232 | IWM | C | 24,000 | 62.87 | n/a | n/a | 720.00 | 3.0 |
| BUCK CAPITAL MGMT | 001 | JCP | SS | 10,000 | 24.04 | n/a | 9-Jul | 400.00 | 4.0 |
| B BUCK CAPITAL MGMT | | JCP | SS | 42,000 | 24.11 | n/a | 9-Jul | non-brg | 4.0 |
| MELLON/BANK OF NEW YORK | 046 | JNJ | S | 52,768 | 57.92 | n/a | n/a | 2,638.40 | 5.0 |
| EXIS CAPITAL | 044 | JNY | B | 5,000 | 14.75 | n/a | 19-Jul | 250.00 | 5.0 |
| B BUCK CAPITAL MGMT | | JWN | B | 15,000 | 32.46 | n/a | 9-Jul | non-brg | 4.0 |
| WATERFRONT CAP | 028 | KIM | B | 100,000 | 13.77 | n/a | n/a | 4,000.00 | 4.0 |
| B BUCK CAPITAL MGMT | | KNX | S | 15,000 | 21.18 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | KNX | S | 5,000 | 21.36 | n/a | n/a | non-brg | 0.8 |
| B BUCK CAPITAL MGMT | | KSS | B | 10,000 | 46.87 | n/a | 9-Jul | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | LEG | C | 20,000 | 20.53 | n/a | n/a | non-brg | 4.0 |
| T. ROWE PRICE | 033 | LPX | B | 146,791 | 6.75 | n/a | 19-Jul | 2,935.82 | 2.0 |
| US BANCORP | 030 | MD | S | 6,681 | 49.74 | n/a | n/a | 334.05 | 5.0 |
| 1798 CAP/LOMBARD ASSET | 040 | MHK | S | 2,590 | 45.69 | n/a | n/a | 129.50 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------------|-------------|-----------|----------------|--------------|------------|---------------|-----------------|------------|
| B BUCK CAPITAL MGMT | | MS | S | 40,000 | 27.56 | n/a | 19-Jul | non-brg | 4.0 |
| HARBORWATCH/DIAMBACK | 232 | MTW | S | 50,000 | 9.48 | n/a | 30-Apr | 1,500.00 | 3.0 |
| SONTERRA CAP | 041 | MT | B | 25,000 | 30.83 | n/a | n/a | 1,000.00 | 4.0 |
| BALYASNY ASSET MGMT | 044 | M | B | 30,000 | 18.37 | n/a | 9-Jul | 1,500.00 | 5.0 |
| EXIS CAPITAL | 044 | M | B | 35,000 | 18.29 | n/a | 9-Jul | 1,750.00 | 5.0 |
| SAC CAPITAL/M GRONET | 030 | M | B | 10,000 | 18.55 | n/a | 9-Jul | 350.00 | 3.5 |
| B BUCK CAPITAL MGMT | | NILE | SS | 4,800 | 48.13 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | NILE | SS | 5,200 | 47.97 | n/a | n/a | non-brg | 0.8 |
| CATAPULT | 040 | NOC | B | 6,765 | 56.68 | n/a | 20-Jul | 338.25 | 5.0 |
| GLENHILL CAPITAL | 212 | NOK | SS | 235,000 | 8.96 | n/a | n/a | 11,750.00 | 5.0 |
| US BANCORP | 030 | NTAP | B | 8,813 | 40.23 | n/a | n/a | 440.65 | 5.0 |
| CAERUS GLOBAL | 041 | PEP | S | 17,500 | 64.85 | n/a | n/a | 700.00 | 4.0 |
| US BANCORP | 030 | PH | B | 9,443 | 58.75 | n/a | 30-Apr | 472.15 | 5.0 |
| BUCK CAPITAL MGMT | 001 | PIR | S | 120,447 | 6.73 | n/a | n/a | 3,613.41 | 3.0 |
| CATAPULT | 040 | PNC | B | 2,500 | 58.84 | n/a | n/a | 125.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | PSS | S | 20,000 | 15.34 | n/a | n/a | 800.00 | 4.0 |
| EXIS CAPITAL | 044 | PVH | B | 7,500 | 47.26 | n/a | 19-Jul | 375.00 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------|-----|--------|-----|---------|--------|-----|----------|-------------|-----|
| S.A.C. CAP/ORENSTEIN | 044 | QQQQ | B | 200,000 | 45.07 | n/a | n/a | 7,000.00 | 3.5 |
| SASCO | 239 | SE | S | 285,000 | 20.94 | n/a | n/a | 11,400.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | SIG | S | 3,000 | 29.07 | n/a | n/a | 120.00 | 4.0 |
| BALYASNY ASSET MGMT | 044 | SKX | B | 20,000 | 35.00 | n/a | n/a | 1,000.00 | 5.0 |
| f CHRISTOPHER ROBERT C | FID | SLM | B | 500 | 10.56 | n/a | 21-Jul | 0.00 | 0.0 |
| KACELA CAPITAL | 034 | SMH | SS | 64,000 | 27.67 | n/a | n/a | 2,560.00 | 4.0 |
| BERMAN CAPITAL MGMT | 046 | SPY | B | 30,000 | 108.57 | n/a | n/a | 900.00 | 3.0 |
| ROTHSCHILD ASSET | 040 | STE | B | 18,770 | 30.20 | n/a | n/a | 750.80 | 4.0 |
| f CHRISTOPHER ARTHUR K | FID | SWN | B | 25 | 0.52 | n/a | 19-Jul | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | 001 | SWY | SS | 20,000 | 20.22 | n/a | n/a | 800.00 | 4.0 |
| US BANCORP | 030 | THOR | B | 4,277 | 41.43 | n/a | n/a | 213.85 | 5.0 |
| CSFB GLOBAL PROPRIETARY | 041 | TIN | S | 15,000 | 21.47 | n/a | 19-Jul | 750.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | TJX | B | 20,000 | 41.88 | n/a | 9-Jul | 800.00 | 4.0 |
| EXIS CAPITAL | 044 | TJX | SS | 5,000 | 42.24 | n/a | 9-Jul | 250.00 | 5.0 |
| US BANCORP | 030 | TKR | S | 6,343 | 29.57 | n/a | n/a | 317.15 | 5.0 |
| CAMBIAR CAP | 046 | TLB | B | 94,230 | 10.41 | n/a | n/a | 2,826.90 | 3.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-----------------------|-----|--------|-----|--------|-------|--------|----------|-------------|-----|
| EXIS CAPITAL | 044 | TLB | B | 10,000 | 10.55 | n/a | n/a | 500.00 | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | TSCO | C | 47,200 | 67.18 | n/a | n/a | non-brg | 4.0 |
| CAVU CAP ADV | 028 | TXT | S | 20,000 | 19.36 | n/a | n/a | 1,000.00 | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | UAUA | S | 10,000 | 22.15 | n/a | n/a | non-brg | 4.0 |
| BUCK CAPITAL MGMT | 001 | UA | SS | 10,000 | 34.34 | n/a | 19-Jul | 400.00 | 4.0 |
| EVERCORE WEALTH MGMT | 012 | UNH | B | 19,225 | 30.90 | n/a | n/a | 961.25 | 5.0 |
| CAVU CAP ADV | 028 | UPS | S | 14,500 | 60.41 | n/a | n/a | 725.00 | 5.0 |
| MISSION POINT | 048 | UTX | SS | 1,000 | 67.90 | n/a | n/a | 50.00 | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | VFC | C | 20,000 | 74.10 | n/a | 19-Jul | non-brg | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | VFC | C | 60,000 | 75.05 | n/a | 19-Jul | non-brg | 0.8 |
| FEDERATED INV/KAUFMAN | 029 | VVUS | B | 10,000 | 5.19 | n/a | n/a | 550.01 | 5.5 |
| ⌘ BUCK CAPITAL MGMT | | WFMI | SS | 60,000 | 36.62 | n/a | n/a | non-brg | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | WSM | SS | 30,000 | 25.30 | n/a | n/a | non-brg | 4.0 |
| SCOPUS FUND | 041 | WSM | B | 25,000 | 25.55 | n/a | n/a | 1,250.00 | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | WSO | S | 20,000 | 60.22 | n/a | n/a | non-brg | 2.5 |
| f DAVID GEORGE BUCK | FID | WY | B | 2000 | 15.71 | 21-Jul | 21-Jul | 0.00 | 0.0 |
| DIAMONDBACK CAP MGMT | 232 | XLE | SS | 10,000 | 53.05 | n/a | n/a | 300.00 | 3.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|-----|--------|-----|--------|-------|-----|-------------------|--------------|-----|
| B BUCK CAPITAL MGMT | | XLNX | C | 40,000 | 27.88 | n/a | n/a | non-brg | 4.0 |
| GREEN ARROW DOUG | 040 | XLY | SS | 25,000 | 30.24 | n/a | n/a | 1,250.00 | 5.0 |
| TOTAL (Trade Date): | | | | | | | 122,023.44 | | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------|-------|--------------------|------|--------|-----|--------|-------|-----|----------|-------------|
| AO, | 07/20 | OHIO PERS | 047 | DIS | S | 60,000 | 33.16 | n/a | n/a | 1800.00 3.0 |
| AO,CRT | 07/20 | CONIFER/ISF | 025 | TEN | B | 3,500 | 22.43 | n/a | n/a | 175.00 5.0 |
| AO,CXL | 07/20 | CONIFER/ISF | 025 | TEN | B | 3,500 | 22.43 | n/a | n/a | 140.00 4.0 |
| AO,CXL | 07/20 | MILLENIUM PARTNERS | 028 | VCI | B | 10,000 | 28.95 | n/a | n/a | 400.00 4.0 |
| AO,CRT | 07/20 | MILLENIUM PARTNERS | 028 | VCI | B | 10,000 | 28.95 | n/a | n/a | 400.00 4.0 |

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|-------------------------------|-----------------|
| TOTAL (AO, CXL, CRT) : | 1,835.00 |
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|----------------------|------------|
| TOTAL (Trade Date) : | 122,023.44 |
|----------------------|------------|

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|------------------------|----------|
| TOTAL (AO, CXL, CRT) : | 1,835.00 |
|------------------------|----------|

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|--------------------------------|-------------------|
| TOTAL (RUN DATE) / NFS: | 123,858.44 |
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| MRI Securities with Trade Activity on 21-Jul. |
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| WY |
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| MRI Securities without Trade Activity on 21-Jul. |
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| ITW, ETN, APA |
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| BRG comm. as a % of BCM Total Comm. paid. |
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| T-Date = 38% |
| YTD = 10% |

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| <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) |