



# Daily Compliance Activity Report

Trade Date: 01/27/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SURSUM CAPITAL	215	ANF	B	5,000	49.74	n/a	10-Jan	150.00	3.0
BENCHMARK	025	ARGN	B	5,000	11.29	n/a	27-Oct	250.00	5.0
B BUCK CAPITAL MGMT		ASNA	S	20,000	27.35	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		AXL	S	25,000	15.45	n/a	26-Jan	non-brg	1.0
B BUCK CAPITAL MGMT		AXL	S	75,000	15.56	n/a	26-Jan	non-brg	4.0
f CICILY S BACKUS	FID	BDE	S	3000	6.98	n/a	n/a	0.00	0.0
f LEE F BACKUS	FID	BDE	S	2000	6.99	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	BEE	S	3000	5.70	n/a	n/a	0.00	0.0
f ALEXANDER A SACCO	FID	BGZ	B	275	7.91	n/a	n/a	0.00	0.0
f FRANCIS MICHAEL MCCA	FID	BKI	S	300	26.17	n/a	n/a	0.00	0.0
LISTED ERR	099	BLL	B	540	71.82	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	BWA	B	60	70.76	n/a	26-Jan	0.00	0.0
B BUCK CAPITAL MGMT		CACH	S	15,509	4.03	n/a	n/a	non-brg	2.5
NOMURA CAPITAL	029	CHMT	S	3,000	16.64	n/a	n/a	90.00	3.0
B BUCK CAPITAL MGMT		CHS	S	80,000	11.30	n/a	5-Feb	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SURSUM CAPITAL	215	DECK	S	10,000	76.76	n/a	n/a	300.00	3.0
MAIRS AND POWER INV	030	DIS	B	30,000	39.48	n/a	n/a	1,500.00	5.0
SURSUM CAPITAL	215	DPZ	S	15,000	16.94	n/a	7-Jan	450.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>EAT</b>	<b>SS</b>	<b>20,000</b>	<b>23.60</b>	<b>n/a</b>	<b>26-Jan</b>	<b>non-brg</b>	<b>4.0</b>
SURSUM CAPITAL	215	ECL	S	5,000	50.02	n/a	5-Jan	150.00	3.0
NEUBERGER BERMAN	036	EXPO	B	3,400	37.69	n/a	n/a	136.00	4.0
SF SENTRY	085	FDO	SS	7,500	42.77	n/a	26-Jan	375.00	5.0
SURSUM CAPITAL	215	FDX	S	10,000	94.52	n/a	n/a	300.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>FL</b>	<b>B</b>	<b>130,000</b>	<b>17.90</b>	<b>n/a</b>	<b>22-Dec</b>	<b>non-brg</b>	<b>4.0</b>
SIGMA CAP BOBBY	944	FL	SS	75,000	17.89	n/a	22-Dec	2,625.00	3.5
<b>B BUCK CAPITAL MGMT</b>		<b>FOR</b>	<b>S</b>	<b>20,000</b>	<b>19.87</b>	<b>n/a</b>	<b>3-Nov</b>	<b>non-brg</b>	<b>2.5</b>
CATAPULT	040	FTI	SS	11,000	93.64	n/a	n/a	440.00	4.0
SONTERRA CAP	041	FTO	SS	50,000	19.25	n/a	n/a	2,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>F</b>	<b>S</b>	<b>100,000</b>	<b>18.61</b>	<b>n/a</b>	<b>26-Jan</b>	<b>non-brg</b>	<b>4.0</b>
SURSUM CAPITAL	215	GCO	SS	5,000	36.52	n/a	n/a	150.00	3.0
ASCEND PARTNERS	033	GES	B	7,394	42.87	n/a	20-Jan	369.70	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALLAST CAP	040	GPS	SS	9,400	19.54	n/a	n/a	470.00	5.0
⌘ BUCK CAPITAL MGMT		HBI	B	80,000	22.53	n/a	20-Jan	non-brg	4.0
FRONTIER	048	IDTI	S	190,150	6.52	n/a	n/a	5,704.50	3.0
FRPN	048	IDTI	S	4,100	6.52	n/a	n/a	123.00	3.0
⌘ BUCK CAPITAL MGMT		IGT	B	25,000	17.48	n/a	27-Jan	non-brg	4.0
⌘ BUCK CAPITAL MGMT		IGT	S	1,300	17.50	n/a	27-Jan	non-brg	4.0
CSFB GLOBAL PROPRIETARY	041	IP	B	50,000	29.31	n/a	7-Jan	2,500.00	5.0
⌘ BUCK CAPITAL MGMT		IVZ	S	150,000	24.69	n/a	2-Mar	non-brg	4.0
SURSUM CAPITAL	215	JAH	S	5,000	34.50	n/a	n/a	150.00	3.0
CAERUS GLOBAL	041	JNY	S	20,000	13.37	n/a	21-Jan	800.00	4.0
SURSUM CAPITAL	215	JNY	S	20,000	13.37	n/a	21-Jan	600.00	3.0
⌘ BUCK CAPITAL MGMT		JOSB	S	14,000	43.02	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		JOSB	S	6,000	42.90	n/a	n/a	non-brg	2.0
SANDLER O'NEILL ASSET	031	LAZ	B	10,000	41.49	n/a	14-Jan	500.00	5.0
LEVIN CAPITAL STRATEGIES	012	LEA	S	7,500	109.55	n/a	26-Jan	225.00	3.0
SIGMA CAP BOBBY	044	LOW	B	50,000	26.08	n/a	13-Dec	1,750.00	3.5
NEUBERGER BERMAN	036	MAC	B	3,000	48.75	n/a	n/a	120.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f LBP ENTERPRISES INC	FID	MRK	S	1000	33.29	n/a	n/a	0.00	0.0
f LEE F BACKUS	FID	MRK	S	1000	33.32	n/a	n/a	0.00	0.0
f CICILY S BACKUS	FID	MTW	B	5000	13.85	n/a	1-Nov	0.00	0.0
f JONATHAN RICHARD HAR	FID	MTW	S	1190	13.73	n/a	1-Nov	0.00	0.0
f LBP ENTERPRISES INC	FID	MTW	B	3000	13.85	n/a	1-Nov	0.00	0.0
f SNEJANA P GARFUNKEL	FID	MTW	B	1000	13.85	n/a	1-Nov	0.00	0.0
B BUCK CAPITAL MGMT		MVRX	C	85,000	209.38	n/a	n/a	non-brg	20.9
f CICILY S BACKUS	FID	MWA	B	15000	4.20	n/a	n/a	0.00	0.0
f LBP ENTERPRISES INC	FID	MWA	B	10000	4.20	n/a	n/a	0.00	0.0
f SNEJANA P GARFUNKEL	FID	MWA	B	3000	4.20	n/a	n/a	0.00	0.0
f HARALAMBOS EFSTATHI	FID	NFLX	S	100	207.19	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	NHP	B	4,100	37.57	n/a	n/a	164.00	4.0
BALYASNY ASSET MGMT	044	OI	B	20,000	30.16	n/a	n/a	1,000.00	5.0
B BUCK CAPITAL MGMT		OXM	B	10,361	24.39	n/a	n/a	non-brg	2.5
LAGRANGE CAP ADV	048	PAG	S	9,234	17.80	n/a	26-Jan	461.70	5.0
f CICILY S BACKUS	FID	PBCT	S	1000	13.38	n/a	21-Jan	0.00	0.0
f LEE F BACKUS	FID	PBCT	S	2000	13.37	n/a	21-Jan	0.00	0.0
f SNEJANA P GARFUNKEL	FID	PBCT	S	2000	13.37	n/a	21-Jan	0.00	0.0
B BUCK CAPITAL MGMT		PIR	S	50,000	9.90	n/a	n/a	non-brg	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FEDERATED INV/KAUFMAN	029	PM	S	100,000	57.10	n/a	n/a	5,500.00	5.5
<b>B BUCK CAPITAL MGMT</b>		<b>PNRA</b>	<b>SS</b>	<b>5,000</b>	<b>97.52</b>	<b>n/a</b>	<b>7-Jan</b>	<b>non-brg</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PSS</b>	<b>B</b>	<b>50,000</b>	<b>21.11</b>	<b>n/a</b>	<b>n/a</b>	<b>1,500.00</b>	<b>3.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PVH</b>	<b>B</b>	<b>20,000</b>	<b>59.65</b>	<b>n/a</b>	<b>20-Jan</b>	<b>non-brg</b>	<b>2.0</b>
BAIRD INVESTMENT	047	PX	B	2,800	91.81	n/a	26-Jan	140.00	5.0
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>RRR</b>	<b>B</b>	<b>245</b>	<b>12.23</b>	<b>n/a</b>	<b>12-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>RRR</b>	<b>B</b>	<b>800</b>	<b>12.11</b>	<b>n/a</b>	<b>12-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SODA</b>	<b>S</b>	<b>7,800</b>	<b>39.60</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
LITESPEED	028	SSCC	S	232,500	38.19	n/a	7-Jan	9,300.00	4.0
TOCQUEVILLE	035	TER	S	75,000	16.27	n/a	n/a	3,750.00	5.0
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>TEX</b>	<b>B</b>	<b>300</b>	<b>32.25</b>	<b>n/a</b>	<b>22-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>TEX</b>	<b>B</b>	<b>550</b>	<b>32.59</b>	<b>n/a</b>	<b>22-Oct</b>	<b>0.00</b>	<b>0.0</b>
HALCYON LLC	041	TIN	S	125,000	24.30	n/a	7-Jan	3,750.00	3.0
ADAGE CAPITAL MGMT	030	TJX	B	264,558	48.54	n/a	7-Jan	7,936.74	3.0
SURSUM CAPITAL	215	TLB	S	50,000	6.25	n/a	n/a	1,500.00	3.0
TRUSTCO/SUNTRUST	040	T	B	9,750	27.86	n/a	n/a	341.25	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f CHRISTOPHER ROBERT C	FID	UAL	B	100	27.34	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		UA	C	5,000	59.60	n/a	20-Jan	non-brg	2.0
SURSUM CAPITAL	215	UPS	S	10,000	73.11	n/a	n/a	300.00	3.0
f STEFFANIE CARMELA CA	FID	UQM	B	1000	2.88	n/a	n/a	0.00	0.0
BALLAST CAP	040	URBN	SS	5,000	34.31	n/a	n/a	250.00	5.0
B BUCK CAPITAL MGMT		URBN	B	10,000	34.42	n/a	n/a	non-brg	4.0
JP MORGAN VENTURES	046	URBN	SS	10,000	34.43	n/a	n/a	500.00	5.0
SURSUM CAPITAL	215	URBN	SS	5,000	34.40	n/a	n/a	150.00	3.0
SAXON WOODS ADVISORS	048	VAR	S	15,000	68.11	n/a	n/a	600.00	4.0
f ALEXANDER A SACCO	FID	VXX	B	135	29.64	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	VXX	B	2500	29.98	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		WERN	S	35,000	25.12	n/a	n/a	non-brg	4.0
f CICILY S BACKUS	FID	WFCPRJ	B	1000	27.63	n/a	n/a	0.00	0.0
f CICILY S BACKUS	FID	WFCPRJ	B	6000	27.60	n/a	n/a	0.00	0.0
f LBP ENTERPRI SES INC	FID	WFCPRJ	B	3000	27.62	n/a	n/a	0.00	0.0
f LEE F BACKUS	FID	WFCPRJ	B	1000	27.63	n/a	n/a	0.00	0.0
f SNEJANA P GARFUNKEL	FID	WFCPRJ	B	1000	27.63	n/a	n/a	0.00	0.0
f CICILY S BACKUS	FID	WFCPRL	B	110	1041.95	n/a	n/a	0.00	0.0
KLEINHEINZ CAP PART	031	WHR	B	27,874	91.18	n/a	n/a	1,393.70	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SURSUM CAPITAL	215	WMT	B	10,000	57.57	27-Jan	27-Jan	300.00	3.0
Ⓕ BUCK CAPITAL MGMT		WRC	B	20,000	51.85	n/a	20-Jan	non-brg	2.0
KARSCH CAPITAL	034	XLV	C	250,000	32.21	n/a	n/a	7,500.00	3.0
Ⓕ BUCK CAPITAL MGMT		XRT	C	57,800	47.21	n/a	n/a	non-brg	2.0
<b>TOTAL (Trade Date):</b>								<b>68,565.59</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	01/26	LISTED ERR	099	BLL	S	38,602	69.47	n/a	n/a	0.00	0.0
AO,	01/21	CRAMER ROSENTHAL/SCOTT	012	HAS	B	200	44.81	n/a	n/a	8.00	4.0
AO,CXL	01/21	CRAMER ROSENTHAL/SCOTT	012	HAS	B	200	44.81	n/a	n/a	8.00	4.0
AO,CRT	01/26	SIGMA CAP BOBBY	044	SMG	B	53,500	53.60	n/a	14-Jan	1872.50	3.5
AO,CXL	01/26	SIGMA CAP BOBBY	044	SMG	B	53,500	53.60	n/a	14-Jan	0.00	0.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>1,872.50</b>
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TOTAL (Trade Date) :	68,565.59
TOTAL (AO, CXL, CRT) :	1,872.50

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<b>TOTAL (RUN DATE) / NFS :</b>	<b>70,438.09</b>
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
CXL	01/26	BUCK CAPITAL MGMT.	IGT	B	500	17.52	n/a 27-Jan	20.00
CRT	01/26	BUCK CAPITAL MGMT	IGT	B	1,300	17.52	n/a 27-Jan	52.00 4.0

MRI Securities with Trade Activity on 27-Jan.

WMT

MRI Securities without Trade Activity on 27-Jan.

ETN, GNTX

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

T-Date = 3%

YTD = 4%

<b><u>Legend:</u></b>
<b>Õ: Employee Trades in Outside Accounts</b>
<b>ß: Non-BRG BCM Trades</b>
[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)