



# Daily Compliance Activity Report

Trade Date: 03/23/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CENTURION PARTNERS	041	AA	B	20,000	16.73	n/a	n/a	800.00	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>ABT</b>	<b>B</b>	<b>1000</b>	<b>47.76</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TROUBH PART	070	ADM	B	15,000	36.03	n/a	14-Mar	750.00	5.0
<b>f CAROL ANNE LACHENAU</b>	<b>FID</b>	<b>APC</b>	<b>B</b>	<b>113</b>	<b>82.30</b>	<b>n/a</b>	<b>25-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>f DOUGLAS ROGERS</b>	<b>FID</b>	<b>APC</b>	<b>B</b>	<b>128</b>	<b>82.32</b>	<b>n/a</b>	<b>25-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>f TR U/W OF CH RISTINA</b>	<b>FID</b>	<b>APC</b>	<b>B</b>	<b>114</b>	<b>82.25</b>	<b>n/a</b>	<b>25-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ASNA</b>	<b>S</b>	<b>10,000</b>	<b>30.87</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ASNA</b>	<b>S</b>	<b>8,700</b>	<b>30.24</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>AVY</b>	<b>S</b>	<b>11,600</b>	<b>40.93</b>	<b>n/a</b>	<b>10-Mar</b>	<b>non-brg</b>	<b>2.0</b>
SURVEYOR CAPITAL	041	AXL	B	20,000	12.71	n/a	9-Feb	600.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>AXP</b>	<b>B</b>	<b>11,200</b>	<b>44.87</b>	<b>n/a</b>	<b>22-Mar</b>	<b>non-brg</b>	<b>4.0</b>
<b>f AMY O'BANNON</b>	<b>FID</b>	<b>BACPRC</b>	<b>B</b>	<b>600</b>	<b>24.84</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f CHRISTINA G ROGERS T</b>	<b>FID</b>	<b>BACPRC</b>	<b>B</b>	<b>90</b>	<b>24.84</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BAC</b>	<b>B</b>	<b>37,000</b>	<b>13.53</b>	<b>n/a</b>	<b>21-Mar</b>	<b>non-brg</b>	<b>4.0</b>
WAGONHOUND/NIC	048	BAC	S	75,000	13.51	n/a	21-Mar	3,000.00	4.0
IMPALA ASSET MMT	012	BKE	SS	5,000	35.60	n/a	n/a	200.00	4.0
TALPION LLC	040	BYI	S	15,000	35.07	n/a	21-Mar	450.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALLAST CAP	040	CAG	B	10,000	23.01	n/a	n/a	500.00	5.0
Ⓕ BUCK CAPITAL MGMT		CAR	S	50,000	16.95	n/a	n/a	non-brg	4.0
EATON VANCE MGMT	048	CAT	S	385,918	106.62	n/a	28-Jan	11,577.54	3.0
Ⓕ BUCK CAPITAL MGMT		CBK	S	50,000	6.11	n/a	n/a	non-brg	2.5
Ⓕ BUCK CAPITAL MGMT		COF	S	16,120	50.88	n/a	22-Mar	non-brg	2.0
PILOT ADV	048	COF	SS	11,000	50.45	n/a	22-Mar	220.00	2.0
Ⓕ BUCK CAPITAL MGMT		COH	S	600	51.54	n/a	26-Jan	non-brg	2.0
MERRILL ASSET/BLACKROCK	266	CYN	S	7,900	55.54	n/a	n/a	316.00	4.0
Ⓕ BUCK CAPITAL MGMT		C	B	115,000	4.40	n/a	21-Mar	non-brg	2.0
f JONATHAN RICHARD HAR	FID	C	S	5000	4.40	n/a	21-Mar	0.00	0.0
BUCK CAPITAL MGMT	001	DDS	B	40,000	39.16	n/a	n/a	1,200.00	3.0
Ⓕ BUCK CAPITAL MGMT		DFS	S	40,000	22.93	n/a	22-Mar	non-brg	4.0
Ⓕ BUCK CAPITAL MGMT		DFS	S	42,300	22.75	n/a	22-Mar	non-brg	4.0
Ⓕ BUCK CAPITAL MGMT		DIA	C	7,000	119.59	n/a	n/a	non-brg	2.0
Ⓕ BUCK CAPITAL MGMT		DPZ	S	3,800	17.88	n/a	1-Mar	non-brg	2.0
IMPALA ASSET MMT	012	FBN	S	20,000	4.29	n/a	n/a	400.00	2.0
ROYCE TRADING	012	FINL	B	103,382	17.47	n/a	18-Mar	5,169.10	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f CAROL ANNE LACHENAU</b>	<b>FID</b>	<b>FOR</b>	<b>S</b>	<b>497</b>	<b>18.85</b>	<b>n/a</b>	<b>7-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>f CHRISTINA G ROGERS T</b>	<b>FID</b>	<b>FOR</b>	<b>S</b>	<b>121</b>	<b>18.83</b>	<b>n/a</b>	<b>7-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>f DOUGLAS ROGERS</b>	<b>FID</b>	<b>FOR</b>	<b>S</b>	<b>560</b>	<b>18.86</b>	<b>n/a</b>	<b>7-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>f TR U/W OF CH RISTINA</b>	<b>FID</b>	<b>FOR</b>	<b>S</b>	<b>500</b>	<b>18.84</b>	<b>n/a</b>	<b>7-Feb</b>	<b>0.00</b>	<b>0.0</b>
OZ MGMT	040	F	S	495,549	14.37	n/a	2-Mar	14,866.47	3.0
DENVER INST. ADV	046	GES	B	140,000	37.93	n/a	17-Mar	5,600.00	4.0
AMBER CAPITAL	046	GIS	B	111,000	36.07	n/a	n/a	4,440.00	4.0
<b>f HARALAMBOS EFSTATHI</b>	<b>FID</b>	<b>GME</b>	<b>B</b>	<b>30</b>	<b>0.54</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TROUBH PART	070	GM	B	25,000	30.75	n/a	2-Mar	1,250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>GS</b>	<b>B</b>	<b>3,000</b>	<b>159.29</b>	<b>n/a</b>	<b>21-Mar</b>	<b>non-brg</b>	<b>1.0</b>
IMPALA ASSET MMT	012	GT	SS	5,000	14.54	n/a	n/a	250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>HAL</b>	<b>S</b>	<b>14,000</b>	<b>45.67</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
WAGONHOUND/NIC	048	HIIWI	S	14,776	0.00	n/a	n/a	591.04	4.0
BALYASNY ASSET MGMT	044	HOT	S	20,000	56.62	n/a	23-Feb	1,000.00	5.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>HUM</b>	<b>S</b>	<b>1000</b>	<b>65.64</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>IBN</b>	<b>S</b>	<b>1000</b>	<b>46.79</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>IJH</b>	<b>C</b>	<b>6,900</b>	<b>94.72</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CATAPULT	040	IP	B	10,000	26.83	n/a	17-Mar	400.00	4.0
⌘ BUCK CAPITAL MGMT		IR	S	3,700	47.51	n/a	4-Mar	non-brg	2.0
IMPALA ASSET MMT	012	JBLU	S	20,000	5.76	n/a	n/a	400.00	2.0
⌘ BUCK CAPITAL MGMT		JPM	S	13,895	45.60	n/a	21-Mar	non-brg	2.0
⌘ BUCK CAPITAL MGMT		KSS	S	16,100	52.64	n/a	3-Mar	non-brg	2.0
⌘ BUCK CAPITAL MGMT		LEA	S	1,382	49.26	n/a	21-Mar	non-brg	2.0
OSKIE CAPITAL MGMT	224	LEA	S	5,000	48.01	n/a	21-Mar	250.00	5.0
⌘ BUCK CAPITAL MGMT		LEN	S	35,900	19.75	n/a	n/a	non-brg	2.0
OSKIE CAPITAL MGMT	224	LO	S	10,000	94.35	n/a	n/a	500.00	5.0
OSKIE CAPITAL MGMT	224	LYB	S	5,000	38.76	n/a	n/a	250.00	5.0
DENVER INST. ADV	046	MFB	B	30,000	27.15	n/a	n/a	1,200.00	4.0
M&I FUNDS	047	MMR	S	78,790	16.71	n/a	n/a	3,151.60	4.0
⌘ BUCK CAPITAL MGMT		MS	B	18,000	27.32	n/a	21-Mar	non-brg	1.0
⌘ BUCK CAPITAL MGMT		MTG	S	12,000	8.77	n/a	n/a	non-brg	2.0
DELTEC ASSET MGMT.	040	MTW	S	15,000	20.71	n/a	2-Feb	750.00	5.0
⌘ BUCK CAPITAL MGMT		MWV	S	2,700	28.67	n/a	26-Jan	non-brg	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		NBD CN	S	6,700	14.87	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		NDN	S	1,950	19.51	n/a	11-Mar	non-brg	2.0
SMITH MGMT LLC	029	NDN	B	25,000	19.57	n/a	11-Mar	1,250.00	5.0
f DAVID GEORGE BUCK	FID	NNP	B	1000	14.06	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	PCH	B	300	37.95	n/a	9-Feb	0.00	0.0
⚡ BUCK CAPITAL MGMT		PIR	S	5,300	9.50	n/a	n/a	non-brg	2.0
ROYCE TRADING	012	PLCE	B	33,200	47.47	n/a	9-Mar	1,660.00	5.0
TALPION LLC	040	PLXS	SS	4,000	31.67	n/a	n/a	120.00	3.0
SAC TRADING TOM LEDDY	035	PSS	SS	40,000	20.71	n/a	n/a	1,400.00	3.5
⚡ BUCK CAPITAL MGMT		PVH	S	5,900	57.85	n/a	1-Feb	non-brg	2.0
SONTERRA CAP	041	RGC	SS	75,000	13.47	n/a	n/a	3,000.00	4.0
⚡ BUCK CAPITAL MGMT		RRR	S	15,000	13.99	n/a	12-Jan	non-brg	4.0
SURVEYOR CAPITAL	041	SAI	B	44,500	16.97	n/a	n/a	1,335.00	3.0
f MARC PAUL LUCHANSKY	FID	SBUX	B	100	36.61	n/a	10-Mar	0.00	0.0
f CHRISTINE MARIE NORM	FID	SIRI	S	923	1.63	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		SLB	S	3,942	88.87	n/a	n/a	non-brg	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER CAPITAL	028	SNI	S	50,000	50.15	n/a	n/a	2,500.00	5.0
<b>B</b> BUCK CAPITAL MGMT		<b>SODA</b>	<b>B</b>	<b>20,000</b>	<b>41.18</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>SPY</b>	<b>C</b>	<b>600</b>	<b>128.49</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>f</b> JONATHAN RICHARD HAR	<b>FID</b>	<b>TFM</b>	<b>B</b>	<b>200</b>	<b>37.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MERRILL ASSET/BLACKROCK	266	THG	S	5,800	45.20	n/a	n/a	232.00	4.0
IMPALA ASSET MMT	012	TIF	S	3,000	58.68	n/a	n/a	150.00	5.0
IRIDIAN ASSET MGMT.	036	TYC	B	9,870	44.03	n/a	28-Jan	493.50	5.0
<b>B</b> BUCK CAPITAL MGMT		<b>URBN</b>	<b>S</b>	<b>10,000</b>	<b>30.39</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>f</b> CHRISTOPHER ROBERT C	<b>FID</b>	<b>USG</b>	<b>B</b>	<b>400</b>	<b>16.17</b>	<b>n/a</b>	<b>27-Jan</b>	<b>0.00</b>	<b>0.0</b>
IMPALA ASSET MMT	012	UTIW	S	10,500	18.76	n/a	n/a	420.00	4.0
OSKIE CAPITAL MGMT	224	VC	S	2,000	62.96	n/a	n/a	100.00	5.0
<b>f</b> EDWARD W WHEELER	<b>FID</b>	<b>VMC</b>	<b>S</b>	<b>100</b>	<b>3.90</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>V</b>	<b>B</b>	<b>7,000</b>	<b>72.05</b>	<b>n/a</b>	<b>7-Mar</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>WRC</b>	<b>S</b>	<b>6,300</b>	<b>54.55</b>	<b>n/a</b>	<b>1-Mar</b>	<b>non-brg</b>	<b>2.0</b>
SENATOR INVESTMENT GROUP	036	XLE	B	40,000	77.61	n/a	n/a	1,200.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		XLFX	C	40,000	16.07	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		XRTX	C	14,000	47.80	n/a	n/a	non-brg	2.0
IMPALA ASSET MMT	012	XRTX	SS	4,000	48.06	n/a	n/a	200.00	5.0
TOTAL (Trade Date):								74,142.25	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	03/15	MERRILL ASSET/BLACKROCK	266	MNKD	B	160,000	3.71	n/a	n/a	4800.00 3.0
AO,CRT	03/15	MERRILL ASSET/BLACKROCK	266	MNKD	B	160,000	3.71	n/a	n/a	6400.00 4.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>1,600.00</b>
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TOTAL (Trade Date) :	74,142.25
TOTAL (AO, CXL, CRT) :	1,600.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>75,742.25</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	03/22	BUCK CAPITAL MGMT.	ASNA	S	20,000	30.58	n/a	n/a	0.00
CRT	03/22	BUCK CAPITAL MGMT	ASNA	S	20,000	30.58	n/a	n/a	800.00 4.0
CXL	03/22	BUCK CAPITAL MGMT.	BODY	S	7,900	17.20	n/a	n/a	0.00
CRT	03/22	BUCK CAPITAL MGMT	BODY	S	7,900	17.20	n/a	n/a	316.00 4.0
CXL	03/22	BUCK CAPITAL MGMT.	CAR	S	50,000	16.92	n/a	n/a	0.00
CRT	03/22	BUCK CAPITAL MGMT	CAR	S	50,000	16.92	n/a	n/a	2000.00 4.0
CXL	03/22	BUCK CAPITAL MGMT.	CVS	B	30,000	33.42	n/a	n/a	0.00
CRT	03/22	BUCK CAPITAL MGMT	CVS	B	30,000	33.42	n/a	n/a	1200.00 4.0
CXL	03/22	BUCK CAPITAL MGMT.	GIL	S	15,000	32.37	n/a	9-Feb	300.00
CRT	03/22	BUCK CAPITAL MGMT	GIL	S	50,000	32.61	n/a	9-Feb	2000.00 4.0
CXL	03/22	BUCK CAPITAL MGMT.	GIL	S	15,000	32.37	n/a	9-Feb	300.00
CRT	03/22	BUCK CAPITAL MGMT	GIL	S	65,000	32.45	n/a	9-Feb	2600.00 4.0
CXL	03/22	BUCK CAPITAL MGMT.	GIL	S	18,800	31.97	n/a	9-Feb	0.00
CRT	03/22	BUCK CAPITAL MGMT	GIL	S	18,800	31.97	n/a	9-Feb	752.00 4.0
CXL	03/22	BUCK CAPITAL MGMT.	GIL	S	15,000	32.37	n/a	9-Feb	300.00
CRT	03/22	BUCK CAPITAL MGMT	GIL	S	15,000	32.37	n/a	9-Feb	300.00 2.0
CXL	03/22	BUCK CAPITAL MGMT.	HTZ	S	27,500	15.87	n/a	n/a	0.00
CRT	03/22	BUCK CAPITAL MGMT	HTZ	S	27,500	15.87	n/a	n/a	1100.00 4.0
CXL	03/22	BUCK CAPITAL MGMT.	JWN	S	11,100	42.88	n/a	3-Mar	0.00
CRT	03/22	BUCK CAPITAL MGMT	JWN	S	11,100	42.88	n/a	3-Mar	444.00 4.0
CXL	03/22	BUCK CAPITAL MGMT.	JWN	B	10,000	42.65	n/a	3-Mar	0.00
CRT	03/22	BUCK CAPITAL MGMT	JWN	B	10,000	42.65	n/a	3-Mar	400.00 4.0
CXL	03/22	BUCK CAPITAL MGMT.	NBD CN	S	3,500	14.91	n/a	n/a	0.00

CRT	03/22	BUCK CAPITAL MGMT	NBD CN	S	3,500	14.91	n/a	n/a	140.00	4.0
CXL	03/22	BUCK CAPITAL MGMT.	R	B	10,000	48.75	n/a	n/a	0.00	
CRT	03/22	BUCK CAPITAL MGMT	R	B	10,000	48.75	n/a	n/a	400.00	4.0
CXL	03/22	BUCK CAPITAL MGMT.	SAH	B	20,000	13.19	n/a	n/a	0.00	
CRT	03/22	BUCK CAPITAL MGMT	SAH	B	20,000	13.19	n/a	n/a	800.00	4.0
CXL	03/22	BUCK CAPITAL MGMT.	SODA	B	30,000	41.57	n/a	n/a	0.00	
CRT	03/22	BUCK CAPITAL MGMT	SODA	B	30,000	41.57	n/a	n/a	1200.00	4.0

MRI Securities with Trade Activity on 23-Mar.  
NONE

MRI Securities without Trade Activity on 23-Mar.  
NONE

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 6%  
YTD = 4%

**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)**