



# Daily Compliance Activity Report

Trade Date: 08/13/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>AB</b>	<b>B</b>	<b>850</b>	<b>26.07</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MELLON/BANK OF NEW YORK	046	AMGN	B	45,740	54.85	n/a	n/a	2,287.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>ANN</b>	<b>S</b>	<b>250,000</b>	<b>15.41</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>ANN</b>	<b>B</b>	<b>600</b>	<b>15.67</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SCOPUS FUND	041	AN	SS	20,000	22.74	n/a	4-Aug	1,000.00	5.0
MTB INV ADV	034	ARM	S	23,850	14.48	n/a	n/a	1,192.50	5.0
MTB INV ADV	034	ARO	S	5,200	23.38	n/a	6-Aug	260.00	5.0
MTB INV ADV	034	AXL	S	42,025	9.08	n/a	4-Aug	1,260.75	3.0
<b>f DOUGLAS ROGERS</b>	<b>FID</b>	<b>BACPRC</b>	<b>B</b>	<b>800</b>	<b>24.37</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TROUBH PART	067	BAC	B	15,000	13.29	n/a	10-Aug	750.00	5.0
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>BKRS</b>	<b>S</b>	<b>2450</b>	<b>0.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EXIS CAPITAL	044	BONT	B	5,000	7.83	n/a	n/a	250.00	5.0
<b>f MARGARET M DAVEY</b>	<b>FID</b>	<b>BP</b>	<b>S</b>	<b>400</b>	<b>39.12</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JOHN BARTMAN COLE</b>	<b>FID</b>	<b>BXC</b>	<b>S</b>	<b>1200</b>	<b>3.39</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BYD</b>	<b>B</b>	<b>25,000</b>	<b>7.66</b>	<b>n/a</b>	<b>n/a</b>	<b>750.00</b>	<b>3.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
<b>B BUCK CAPITAL MGMT</b>		<b>BYD</b>	<b>C</b>	<b>25,000</b>	<b>7.61</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg 2.0</b>
PATTEN & PATTEN	067	CIU	S	1,000	107.12	n/a	n/a	50.00 5.0
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>CPN</b>	<b>S</b>	<b>2000</b>	<b>13.34</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CROX</b>	<b>S</b>	<b>100,000</b>	<b>12.88</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg 4.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>C</b>	<b>B</b>	<b>3000</b>	<b>3.93</b>	<b>n/a</b>	<b>10-Aug</b>	<b>0.00 0.0</b>
MTB INV ADV	034	DAN	S	41,500	11.20	n/a	2-Aug	2,075.00 5.0
PATTEN & PATTEN	067	EXC	B	600	41.61	n/a	n/a	30.00 5.0
<b>B BUCK CAPITAL MGMT</b>		<b>EXPR</b>	<b>B</b>	<b>10,000</b>	<b>14.51</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg 0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>EXPR</b>	<b>B</b>	<b>11,411</b>	<b>14.50</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg 4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>EXPR</b>	<b>B</b>	<b>8,372</b>	<b>14.52</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg 0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>EXPR</b>	<b>C</b>	<b>2,946</b>	<b>14.97</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg 0.8</b>
EXIS CAPITAL	044	FINL	B	10,000	13.02	n/a	n/a	500.00 5.0
DSG CAPITAL	225	FL	B	20,000	12.68	n/a	13-Aug	600.00 3.0
FIRST NY SEC/CHRIS	041	FL	B	15,000	12.57	n/a	13-Aug	750.00 5.0
VISIUM/BALY BOBBY	044	FL	C	25,000	12.60	n/a	13-Aug	1,250.00 5.0
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>FOR</b>	<b>B</b>	<b>1800</b>	<b>13.98</b>	<b>n/a</b>	<b>5-Aug</b>	<b>0.00 0.0</b>
<b>f MITCHELL JAMES SPEIS</b>	<b>FID</b>	<b>FSNXX</b>	<b>B</b>	<b>9300</b>	<b>1.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>
SMITH MGMT LLC	029	FWS	S	100,000	4.41	n/a	n/a	3,000.00 3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	GCO	B	20,000	25.14	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT		GIL	B	20,000	29.26	13-Aug	13-Aug	non-brg	4.0
KAREN F LEDDY	FID	GIL	S	800	29.60	13-Aug	13-Aug	0.00	0.0
MELLON/BANK OF NEW YORK	046	GLW	S	22,900	16.87	n/a	28-Jul	1,145.00	5.0
BUCK CAPITAL MGMT		GYMB	B	10,000	40.85	n/a	6-Aug	non-brg	0.8
MTB INV ADV	034	GYMB	S	5,175	40.63	n/a	6-Aug	258.75	5.0
CAMBIAR CAP	046	HAR	B	73,150	29.90	n/a	6-Aug	2,926.00	4.0
BUCK CAPITAL MGMT		HBI	B	30,000	26.45	n/a	11-Aug	non-brg	4.0
BUCK CAPITAL MGMT		HOT	C	50,000	47.04	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	067	IEF	S	2,200	97.92	n/a	n/a	110.00	5.0
GEORGE WEISS	034	IP	SS	70,000	22.01	n/a	28-Jul	2,800.00	4.0
EPOCH INV MGMT	030	IRIS	B	5,650	8.40	n/a	n/a	169.50	3.0
CASTLEROCK	040	ITT	SS	24,888	44.71	n/a	30-Apr	995.52	4.0
PATTEN & PATTEN	067	ITT	S	400	44.88	n/a	30-Apr	20.00	5.0
BUCK CAPITAL MGMT	001	JAH	S	60,300	26.95	n/a	n/a	2,412.00	4.0
EPOCH INV MGMT	030	JBL	B	6,100	11.78	n/a	n/a	183.00	3.0
EXIS CAPITAL	044	JCP	B	5,000	20.61	n/a	13-Aug	250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TROUBH PART	067	JNPR	B	25,000	25.76	n/a	n/a	1,250.00	5.0
⌘ BUCK CAPITAL MGMT		JNS	S	100,000	9.74	n/a	n/a	non-brg	3.0
⌘ BUCK CAPITAL MGMT		JNS	S	11,655	9.77	n/a	n/a	non-brg	3.0
TROUBH PART	067	JPM	B	25,000	38.02	n/a	10-Aug	1,250.00	5.0
TROUBH PART	067	JPM	S	15,000	37.87	n/a	10-Aug	750.00	5.0
⌘ BUCK CAPITAL MGMT		JWN	B	40,000	31.66	n/a	13-Aug	non-brg	0.8
EPOCH INV MGMT	030	KBH	B	5,000	10.47	n/a	n/a	150.00	3.0
PATTEN & PATTEN	067	KMB	B	200	64.91	n/a	26-Jul	10.00	5.0
EPOCH INV MGMT	030	KMT	B	1,150	26.37	n/a	30-Jul	34.50	3.0
BUCK CAPITAL MGMT	001	KMX	B	30,000	21.03	n/a	n/a	1,200.00	4.0
SLS CAPITAL LLC	224	KSS	SS	22,800	45.90	n/a	13-Aug	912.00	4.0
f JOHN BARTMAN COLE	FID	LBY	S	350	10.40	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	LDR	B	1,300	57.26	n/a	n/a	39.00	3.0
⌘ BUCK CAPITAL MGMT		LL	B	20,000	20.92	n/a	n/a	non-brg	4.0
DAVIDSON KEMPNER ADVISOR	040	LPX	B	25,000	6.77	n/a	5-Aug	1,250.00	5.0
T. ROWE PRICE	033	LPX	B	203,913	6.74	n/a	5-Aug	4,078.26	2.0
BROADARCH CAP/OLD NEWC	070	LVS	S	6,000	28.69	n/a	12-Aug	240.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRELLUS PARTNERS LP	028	LVS	SS	10,000	28.70	n/a	12-Aug	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>MAR</b>	<b>C</b>	<b>50,000</b>	<b>33.74</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
EPOCH INV MGMT	030	MEOH	B	2,900	21.40	n/a	n/a	87.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>MSMSRAW2</b>	<b>SS</b>	<b>23,377</b>	<b>102.16</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>10.2</b>
PATTEN & PATTEN	067	MS	S	480	26.01	n/a	10-Aug	24.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MW</b>	<b>B</b>	<b>20,000</b>	<b>19.38</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
EPOCH INV MGMT	030	NLC	B	3,000	23.41	n/a	n/a	90.00	3.0
EPOCH INV MGMT	030	NST	B	2,150	37.97	n/a	n/a	64.50	3.0
EPOCH INV MGMT	030	OKE	B	1,200	44.93	n/a	n/a	36.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>PAG</b>	<b>S</b>	<b>20,000</b>	<b>12.68</b>	<b>n/a</b>	<b>4-Aug</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PAG</b>	<b>S</b>	<b>30,000</b>	<b>12.62</b>	<b>n/a</b>	<b>4-Aug</b>	<b>non-brg</b>	<b>4.0</b>
PATTEN & PATTEN	067	PG	S	150	59.86	n/a	4-Aug	7.50	5.0
MTB INV ADV	034	PII	S	2,075	55.32	n/a	n/a	103.75	5.0
HUTCHIN HILL CAPITAL LP	233	PLCE	B	15,000	41.33	n/a	29-Jul	450.00	3.0
MTB INV ADV	034	PNRA	S	2,075	74.46	n/a	28-Jul	103.75	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>PRGO</b>	<b>SS</b>	<b>10,000</b>	<b>59.01</b>	<b>n/a</b>	<b>13-Aug</b>	<b>non-brg</b>	<b>2.5</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	PTP	B	2,200	38.96	n/a	n/a	66.00	3.0
SYSTEMATIC FINANCIAL MGT	035	PVH	B	28,050	50.00	n/a	19-Jul	841.50	3.0
TRUST CO/COWEN/CALF.	040	Q	S	200,000	5.69	n/a	n/a	8,000.00	4.0
PATTEN & PATTEN	067	RHHBY	S	800	33.86	n/a	n/a	40.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>B</b>	<b>10,000</b>	<b>80.59</b>	<b>n/a</b>	<b>5-Aug</b>	<b>400.00</b>	<b>4.0</b>
EPOCH INV MGMT	030	ROVI	B	1,500	41.98	n/a	n/a	45.00	3.0
DAVIDSON KEMPNER ADVISOR	040	RS	B	10,000	38.73	n/a	n/a	500.00	5.0
EVERCORE WEALTH MGMT	012	RTN	S	8,950	45.06	n/a	30-Jul	447.50	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RVI</b>	<b>S</b>	<b>22,200</b>	<b>8.46</b>	<b>n/a</b>	<b>n/a</b>	<b>666.00</b>	<b>3.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>SBUX</b>	<b>B</b>	<b>500</b>	<b>24.18</b>	<b>n/a</b>	<b>22-Jul</b>	<b>0.00</b>	<b>0.0</b>
MANNING & NAPIER	034	SCHW	B	1,255,010	14.64	n/a	n/a	37,650.30	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>SHLD</b>	<b>C</b>	<b>20,000</b>	<b>67.14</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>SKX</b>	<b>B</b>	<b>150,000</b>	<b>27.88</b>	<b>n/a</b>	<b>n/a</b>	<b>6,000.00</b>	<b>4.0</b>
MTB INV ADV	034	SKX	S	10,400	27.87	n/a	n/a	520.00	5.0
BENCHMARK	025	SLE	S	7,500	14.32	n/a	n/a	375.00	5.0
CASTLEROCK	040	SSCC	B	284,869	18.35	n/a	3-Aug	11,394.76	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GEORGE WEISS	034	SSCC	B	100,000	18.38	n/a	3-Aug	3,000.00	3.0
⌘ BUCK CAPITAL MGMT		STT	S	1,200	37.57	n/a	10-Aug	non-brg	4.0
⌘ BUCK CAPITAL MGMT		STT	S	10,600	37.57	n/a	10-Aug	non-brg	4.0
⌘ BUCK CAPITAL MGMT		STT	S	300	37.57	n/a	10-Aug	non-brg	4.0
⌘ BUCK CAPITAL MGMT		STT	S	400	37.57	n/a	10-Aug	non-brg	4.0
⌘ BUCK CAPITAL MGMT		STT	S	800	37.57	n/a	10-Aug	non-brg	4.0
IRIDIAN ASSET MGMT.	036	TCB	C	51,130	14.55	n/a	n/a	2,556.50	5.0
MTB INV ADV	034	TEN	S	10,900	26.38	n/a	n/a	545.00	5.0
EXIS CAPITAL	044	TJX	SS	2,500	41.36	n/a	6-Aug	125.00	5.0
Ⓣ KAREN F LEDDY	FID	TLB	B	1000	9.82	n/a	n/a	0.00	0.0
MELLON/BANK OF NEW YORK	046	TMO	S	27,165	44.50	n/a	n/a	1,358.25	5.0
HOPLITE MGMT	025	TSS	B	111,127	14.33	n/a	n/a	4,445.08	4.0
DAVIDSON KEMPNER ADVISOR	040	TXI	S	1,700	31.25	n/a	n/a	85.00	5.0
⌘ BUCK CAPITAL MGMT		URBN	B	10,000	31.00	n/a	n/a	non-brg	4.0
DAVIDSON KEMPNER ADVISOR	040	VALE	SS	10,000	27.81	n/a	n/a	500.00	5.0
STANDARD PACIFIC CAPITAL	040	X	S	150,000	45.56	n/a	n/a	7,500.00	5.0
TOTAL (Trade Date):							128,566.17		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/12	1798 CAP/LOMBARD ASSET	040	CLF	S	10,000	56.33	n/a	n/a	500.00 5.0
AO,	08/12	WILLIAM BLAIR	031	EBAY	B	65,745	21.68	n/a	n/a	2629.80 4.0
AO,	08/12	MANNING & NAPIER	034	SCHW	B	1,250,000	14.71	n/a	n/a	37500.00 3.0
AO,CRT	08/12	CASTLEROCK	040	SSCC	B	75,014	18.42	n/a	3-Aug	3000.56 4.0
AO,CXL	08/12	CASTLEROCK	040	SSCC	B	75,014	18.42	n/a	3-Aug	3000.56 4.0

**TOTAL (AO, CXL, CRT) :****40,629.80**

TOTAL (Trade Date):

128,566.17

TOTAL (AO, CXL, CRT):

40,629.80

**TOTAL (RUN DATE) / NFS:****169,195.97****MRI Securities with Trade Activity on 13-Aug.****GIL****MRI Securities without Trade Activity on 13-Aug.****EL**



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

T-Date = 29%

YTD = 10%

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)