



# Daily Compliance Activity Report

Trade Date: 02/12/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f</b> CHRISTOPHER ROBERT C	<b>FID</b>	<b>AAPL</b>	<b>S</b>	<b>25</b>	<b>201.07</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>AAP</b>	<b>SS</b>	<b>40,000</b>	<b>42.36</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> MANNY I KORMAN	<b>FID</b>	<b>ALL</b>	<b>B</b>	<b>3000</b>	<b>29.31</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> KAREN F LEDDY	<b>FID</b>	<b>ALN</b>	<b>B</b>	<b>1100</b>	<b>2.97</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BROADARCH CAP/OLD NEWC	070	ANF	B	3,300	33.10	12-Feb	12-Feb	132.00	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>ANN</b>	<b>C</b>	<b>30,000</b>	<b>15.05</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
JP MORGAN VENTURES	046	AOL	B	10,000	23.89	n/a	n/a	500.00	5.0
<b>f</b> KAREN F LEDDY	<b>FID</b>	<b>ARGN</b>	<b>S</b>	<b>400</b>	<b>9.55</b>	<b>n/a</b>	<b>11-Feb</b>	<b>0.00</b>	<b>0.0</b>
PROSPECTOR PARTNERS LLC	036	AYE	S	3,000	23.02	n/a	n/a	120.00	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>BEBE</b>	<b>B</b>	<b>100,000</b>	<b>7.73</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
EATON VANCE MGMT	039	BMY	S	10,651	23.68	n/a	n/a	319.53	3.0
<b>B</b> BUCK CAPITAL MGMT		<b>BONT</b>	<b>B</b>	<b>10,000</b>	<b>8.61</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>B</b> BUCK CAPITAL MGMT		<b>BWA</b>	<b>S</b>	<b>15,000</b>	<b>36.18</b>	<b>n/a</b>	<b>12-Feb</b>	<b>non-brg</b>	<b>0.8</b>
<b>B</b> BUCK CAPITAL MGMT		<b>BWA</b>	<b>S</b>	<b>30,000</b>	<b>36.09</b>	<b>n/a</b>	<b>12-Feb</b>	<b>non-brg</b>	<b>2.5</b>
<b>B</b> BUCK CAPITAL MGMT		<b>BWA</b>	<b>S</b>	<b>67,620</b>	<b>36.31</b>	<b>n/a</b>	<b>12-Feb</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CIRCLE T/SES PART	035	BYD	B	15,000	7.90	n/a	n/a	600.00	4.0
ROYCE TRADING	216	BZ	B	10,000	4.74	n/a	n/a	300.00	3.0
SMITH MGMT LLC	029	BZ	B	25,000	4.72	n/a	n/a	750.00	3.0
WEISS PECK	040	CAKE	SS	9,480	22.25	12-Feb	12-Feb	474.00	5.0
PROSPECTOR PARTNERS LLC	036	CCE	S	3,000	19.32	n/a	n/a	120.00	4.0
ß BUCK CAPITAL MGMT		COF	B	25,000	34.94	n/a	10-Feb	non-brg	4.0
ß BUCK CAPITAL MGMT		COH	B	20,000	34.88	n/a	21-Jan	non-brg	2.5
AVESTA CAP	229	CSCO	B	100,000	23.62	n/a	n/a	3,000.00	3.0
ß BUCK CAPITAL MGMT		CSTR	B	40,000	26.57	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DAN	B	60,000	10.30	n/a	6-Jan	non-brg	0.8
ß BUCK CAPITAL MGMT		DAN	B	70,000	10.21	n/a	6-Jan	non-brg	4.0
L.R.BURTSCHY & CO	045	DAN	B	10,000	10.06	n/a	6-Jan	600.00	6.0
CATAPULT	040	EP	B	25,000	10.01	n/a	n/a	1,250.00	5.0
FIRST NEW YORK LEDDY	035	ETFC	B	10,000	1.49	n/a	n/a	600.00	6.0
MERRILL ASSET/BLACKROCK	214	FBN	S	49,500	4.98	n/a	n/a	1,980.00	4.0
f JOHN BARTMAN COLE	FID	FCH	B	700	3.85	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	FCH	B	826	3.97	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f ANN M GAULT	FID	FOR	B	400	17.97	n/a	5-Feb	0.00	0.0
f JONATHAN RICHARD HAR	FID	FOR	B	280	17.75	n/a	5-Feb	0.00	0.0
f WILLIAM WEINBERG	FID	FOR	B	3000	17.63	n/a	5-Feb	0.00	0.0
f WILLIAM J GAULT	FID	FOR	B	1000	17.98	n/a	5-Feb	0.00	0.0
f WILLIAM J GAULT	FID	FOR	B	3000	17.99	n/a	5-Feb	0.00	0.0
BUCK CAPITAL MGMT	001	GES	B	10,000	39.70	n/a	5-Feb	400.00	4.0
B BUCK CAPITAL MGMT		GIL	S	14,000	24.38	n/a	10-Feb	non-brg	4.0
B BUCK CAPITAL MGMT		GIL	S	30,000	24.35	n/a	10-Feb	non-brg	4.0
B BUCK CAPITAL MGMT		GYMB	B	20,000	41.58	n/a	8-Feb	non-brg	4.0
EATON VANCE MGMT	039	HAL	S	19,509	29.72	n/a	n/a	585.27	3.0
SONTERRA CAP	041	HBAN	SS	60,000	4.69	n/a	n/a	1,200.00	2.0
B BUCK CAPITAL MGMT		IR	B	15,000	31.15	n/a	12-Feb	non-brg	0.8
B BUCK CAPITAL MGMT		IR	B	15,000	31.25	n/a	12-Feb	non-brg	4.0
NEWLAND CAPITAL MGT	067	JBHT	S	10,000	31.65	n/a	n/a	400.00	4.0
EXIS CAPITAL	044	JNY	B	10,000	15.47	n/a	10-Feb	500.00	5.0
EXIS CAPITAL	044	KBH	S	20,000	16.52	n/a	n/a	1,000.00	5.0
US BANCORP	030	KO	B	149,519	54.03	n/a	n/a	7,475.95	5.0
DIAMONDBACK CAP MGMT	232	KSS	S	35,000	49.73	n/a	5-Feb	1,750.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BASIX	033	LM	B	10,500	25.63	n/a	12-Feb	315.00	3.0
Ⓕ BUCK CAPITAL MGMT		MFB	B	10,000	14.98	n/a	n/a	non-brg	4.0
HIGHBRIDGE CAP	041	MOT	S	50,000	7.07	n/a	n/a	2,000.00	4.0
EATON VANCE MGMT	039	MRK	S	13,006	36.31	n/a	n/a	390.18	3.0
RBC CAPITAL MARKETS	040	MTL	SS	5,000	22.61	n/a	n/a	200.00	4.0
Ⓕ BUCK CAPITAL MGMT		MVRX	C	284,565	168.69	n/a	n/a	non-brg	11.8
PHILADELPHIA FINANCIAL	033	OZM	S	30,700	13.79	n/a	12-Feb	1,228.00	4.0
ISLE RIDGE PARTNERS	041	PIR	S	35,000	5.64	n/a	n/a	1,400.00	4.0
f JOHN MICHAEL ZOLIDIS	FID	PIR	S	2000	5.95	n/a	n/a	0.00	0.0
Ⓕ BUCK CAPITAL MGMT		PLCE	B	10,000	34.80	n/a	5-Feb	non-brg	2.0
Ⓕ BUCK CAPITAL MGMT		PLCE	B	55,000	34.65	n/a	5-Feb	non-brg	4.0
Ⓕ BUCK CAPITAL MGMT		PNRA	S	10,000	74.06	n/a	12-Feb	non-brg	4.0
PROSPECTOR PARTNERS LLC	036	PPS	S	3,000	17.35	n/a	n/a	120.00	4.0
f CHRISTOPHER ROBERT C	FID	QCOM	B	150	38.73	n/a	n/a	0.00	0.0
CARDINAL CAPITAL	044	RRD	B	109,700	19.25	n/a	n/a	5,485.00	5.0
NEWLAND CAPITAL MGT	067	SOA	S	100	14.15	n/a	n/a	4.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CHARTER OAK	033	SYMC	B	50,000	16.78	n/a	n/a	2,000.00	4.0
JP MORGAN VENTURES	046	TIF	B	15,000	41.31	n/a	n/a	750.00	5.0
BROADARCH CAP/OLD NEWC	070	TIN	B	6,400	16.95	n/a	9-Feb	256.00	4.0
PROSPECTOR PARTNERS LLC	036	TR	S	4,000	26.23	n/a	n/a	160.00	4.0
RBC CAPITAL MARKETS	040	TSN	S	10,000	15.77	n/a	n/a	400.00	4.0
HARBORWATCH/DIAMBACK	232	TXT	SS	25,000	18.31	n/a	n/a	1,250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>UBI FP</b>	<b>B</b>	<b>30,000</b>	<b>12.88</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.9</b>
<b>B BUCK CAPITAL MGMT</b>		<b>URBN</b>	<b>B</b>	<b>20,000</b>	<b>30.94</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>VECO</b>	<b>B</b>	<b>50</b>	<b>35.07</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
RBC CAPITAL MARKETS	040	WYNN	B	5,000	63.06	n/a	9-Feb	200.00	4.0
RBC CAPITAL MARKETS	040	XLB	B	25,000	30.72	n/a	n/a	1,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>XRT</b>	<b>SS</b>	<b>1,369,000</b>	<b>35.14</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>XRT</b>	<b>SS</b>	<b>103,900</b>	<b>35.27</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>XRT</b>	<b>SS</b>	<b>103,900</b>	<b>35.27</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>TOTAL (Trade Date):</b>								<b>41,214.93</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	02/11	DIAMONDBACK CAP MGMT	232	CELG	B	20,000	56.22	n/a	n/a	1000.00 5.0
AO,CRT	02/09	ROARING BLUE LION MGMT	012	GCO	B	6,500	21.77	n/a	n/a	260.00 4.0
AO,CXL	02/09	ROARING BLUE LION MGMT	012	GCO	B	6,500	21.77	n/a	n/a	325.00 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>935.00</b>

TOTAL (Trade Date) :	41,214.93
TOTAL (AO, CXL, CRT) :	935.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>42,149.93</b>
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MRI Securities with Trade Activity on 12-Feb.  
**ANF, CAKE**

MRI Securities without Trade Activity on 12-Feb.  
**CMG**

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 1%  
YTD = 17%

**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)**