



# Daily Compliance Activity Report

Trade Date: 02/08/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		AAI	B	25,000	4.59	n/a	n/a	non-brg	3.0
CUMBERLAND	239	AAP	B	96,600	41.34	n/a	n/a	3,864.00	4.0
VISIUM/BALY BOBBY	044	ACN	B	15,000	40.08	n/a	n/a	750.00	5.0
BUCK CAPITAL MGMT	001	AEO	B	20,000	15.89	n/a	5-Feb	800.00	4.0
HARVEST MGMT	039	AEO	B	40,000	15.91	n/a	5-Feb	2,000.00	5.0
BUCK CAPITAL MGMT		AMG	B	15,000	62.59	n/a	8-Feb	non-brg	2.5
BASIX	033	AOS	B	10,000	42.28	8-Feb	8-Feb	300.00	3.0
HARVEST MGMT	039	ARO	SS	19,000	33.68	n/a	5-Feb	950.00	5.0
KAREN F LEDDY	FID	AXL	B	775	8.82	n/a	8-Feb	0.00	0.0
THOMAS MACTAGGART LE	FID	AXL	B	150	8.75	n/a	8-Feb	0.00	0.0
BUCK CAPITAL MGMT		AXP	B	27,200	36.85	n/a	5-Feb	non-brg	4.0
DIAMONDBACK CAP MGMT	232	AYI	SS	10,000	35.36	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT		BAC	B	69,000	14.49	n/a	21-Jan	non-brg	4.0
BUCK CAPITAL MGMT		BARC LN	C	450,000	4.08	n/a	n/a	non-brg	0.2
BUCK CAPITAL MGMT		BEN	B	10,000	96.46	n/a	8-Feb	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER O'NEILL ASSET	031	BEN	B	5,000	97.98	n/a	8-Feb	250.00	5.0
⚡ BUCK CAPITAL MGMT		BK	B	37,200	26.91	n/a	2-Feb	non-brg	4.0
⚡ BUCK CAPITAL MGMT		BONT	B	10,000	8.75	n/a	n/a	non-brg	2.5
SANDLER CAPITAL	226	BRKB	S	80,000	73.90	n/a	n/a	4,800.00	6.0
f EDWARD W WHEELER	FID	BTN	S	5875	3.76	n/a	n/a	0.00	0.0
ROYCE TRADING	216	BZ	B	25,000	4.68	n/a	n/a	750.00	3.0
SAC CAPITAL/JOHN MAGUIE	039	CAKE	S	11,900	21.44	8-Feb	8-Feb	416.50	3.5
WEISS PECK	040	CAKE	C	17,360	21.50	8-Feb	8-Feb	868.00	5.0
⚡ BUCK CAPITAL MGMT		CBRL	SS	11,100	37.02	n/a	n/a	non-brg	4.0
f STRATTON PAR TNERSHI	FID	CGC	S	1250	3.50	n/a	n/a	0.00	0.0
HUNTER GLOBAL INVESTOR	067	CHK	B	40,700	24.59	n/a	n/a	2,035.00	5.0
⚡ BUCK CAPITAL MGMT		CNW	B	20,000	28.80	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	COH	B	10,000	34.51	n/a	21-Jan	400.00	4.0
HIGHFIELDS CAP MGMT	039	CVS	S	100,000	32.88	n/a	n/a	5,000.00	5.0
KLEINHEINZ CAP PART	031	CXO	B	25,000	45.21	n/a	n/a	1,250.00	5.0
⚡ BUCK CAPITAL MGMT		DFS	B	78,400	12.76	n/a	5-Feb	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>DLTR</b>	<b>B</b>	<b>10,000</b>	<b>47.49</b>	<b>n/a</b>	<b>4-Feb</b>	<b>non-brg</b>	<b>4.0</b>
KLEINHEINZ CAP PART	031	DNR	B	25,000	14.18	n/a	n/a	1,250.00	5.0
SAC CAPITAL/JOHN MAGUIE	039	DRI	B	5,486	37.85	n/a	19-Jan	192.01	3.5
TOKIO MARINE ASSET MGMT	045	ESRX	S	3,900	84.72	n/a	n/a	156.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>FOR</b>	<b>B</b>	<b>10,000</b>	<b>17.54</b>	<b>n/a</b>	<b>5-Feb</b>	<b>non-brg</b>	<b>0.8</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>FOR</b>	<b>B</b>	<b>1000</b>	<b>17.73</b>	<b>n/a</b>	<b>5-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>f THOMAS MACTAGGART LE</b>	<b>FID</b>	<b>FOR</b>	<b>B</b>	<b>75</b>	<b>17.73</b>	<b>n/a</b>	<b>5-Feb</b>	<b>0.00</b>	<b>0.0</b>
SIGMA CAPITAL ASSOCIATES	041	F	B	50,000	11.15	n/a	3-Feb	1,750.00	3.5
<b>B BUCK CAPITAL MGMT</b>		<b>GYMB</b>	<b>B</b>	<b>30,000</b>	<b>41.26</b>	<b>n/a</b>	<b>8-Feb</b>	<b>non-brg</b>	<b>4.0</b>
ROTHSCHILD ASSET	040	HAS	S	11,627	34.90	n/a	n/a	465.08	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>HBI</b>	<b>B</b>	<b>20,000</b>	<b>22.03</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
SCOPUS FUND	041	HBI	B	5,000	21.91	n/a	n/a	250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>HD</b>	<b>SS</b>	<b>50,000</b>	<b>28.78</b>	<b>n/a</b>	<b>14-Jan</b>	<b>2,000.00</b>	<b>4.0</b>
SAC CAPITAL/JOHN MAGUIE	039	HD	S	14,000	28.71	n/a	14-Jan	490.00	3.5
CATAPULT	040	HUN	B	30,000	11.53	n/a	n/a	1,500.00	5.0
KENNEDY CAPITAL	046	HWKN	B	4,421	19.92	n/a	n/a	176.84	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>IMAX</b>	<b>SS</b>	<b>20,000</b>	<b>12.00</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SOUTH POINT CAP	067	IMAX	SS	50,000	12.06	n/a	n/a	2,500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>IP</b>	<b>B</b>	<b>20,000</b>	<b>22.68</b>	<b>n/a</b>	<b>3-Feb</b>	<b>non-brg</b>	<b>4.0</b>
CSFB GLOBAL PROPRIETARY	041	IP	B	25,000	22.66	n/a	3-Feb	1,250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>IR</b>	<b>B</b>	<b>10,000</b>	<b>33.01</b>	<b>n/a</b>	<b>4-Jan</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JBHT</b>	<b>B</b>	<b>20,000</b>	<b>30.42</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
EXIS CAPITAL	044	JCI	SS	20,000	27.74	n/a	22-Jan	1,000.00	5.0
PZENA INV ADV	044	JCP	B	6,357	24.50	n/a	5-Feb	222.51	3.5
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>JNK</b>	<b>B</b>	<b>2000</b>	<b>37.77</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SANDLER O'NEILL ASSET	031	JNS	B	20,000	11.99	n/a	8-Feb	1,000.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>JNY</b>	<b>B</b>	<b>30,000</b>	<b>14.81</b>	<b>n/a</b>	<b>29-Jan</b>	<b>non-brg</b>	<b>4.0</b>
EXIS CAPITAL	044	JNY	B	20,000	14.80	n/a	29-Jan	1,000.00	5.0
MERRILL ASSET/BLACKROCK	214	JNY	B	2,500	14.50	n/a	29-Jan	100.00	4.0
PHILADELPHIA FINANCIAL	033	JOE	S	15,600	27.83	n/a	n/a	624.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>KNX</b>	<b>B</b>	<b>15,000</b>	<b>18.14</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
TOKIO MARINE ASSET MGMT	045	LEA	B	12,000	69.66	n/a	8-Feb	480.00	4.0
SAXON WOODS ADVISORS	242	LLY	B	200,000	35.02	n/a	n/a	6,000.00	3.0
SAC CAPITAL/JOHN MAGUIE	039	LOW	B	15,000	21.86	n/a	16-Nov	525.00	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FIRST NEW YORK LEDDY	035	LVL	B	10,000	1.39	n/a	n/a	600.00	6.0
CATAPULT	040	MAS	S	25,000	14.08	n/a	n/a	1,250.00	5.0
MADISON ST PARTNERS LLC	046	MCD	B	20,000	63.48	n/a	8-Feb	1,000.00	5.0
TOKIO MARINE ASSET MGMT	045	MET	S	19,300	34.25	n/a	n/a	772.00	4.0
ISLE RIDGE PARTNERS	041	M	B	30,000	16.42	n/a	5-Feb	1,200.00	4.0
PILOT ADV	242	M	B	18,000	16.60	n/a	5-Feb	720.00	4.0
<b>f NEIL M STRATTON</b>	<b>FID</b>	<b>OLJ</b>	<b>B</b>	<b>2</b>	<b>0.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f STRATTON PAR TNERSHI</b>	<b>FID</b>	<b>OLJ</b>	<b>B</b>	<b>2</b>	<b>0.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TYEE/TYGH	035	OMX	B	50,000	13.51	n/a	n/a	2,000.00	4.0
GRANITE CAPITAL	045	PAG	B	15,000	15.13	n/a	22-Jan	750.00	5.0
HARBORWATCH/DIAMBACK	232	PHM	S	50,000	11.33	n/a	n/a	2,500.00	5.0
OVERLAND PARK CAP	041	PIR	S	50,000	4.99	n/a	n/a	2,000.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>B</b>	<b>20,000</b>	<b>39.16</b>	<b>n/a</b>	<b>12-Jan</b>	<b>800.00</b>	<b>4.0</b>
CATAPULT	040	R	SS	31,120	32.68	n/a	n/a	1,556.00	5.0
ENTRUST CAPITAL	040	SUP	B	62,400	14.00	n/a	4-Jan	3,120.00	5.0
ROSEDALE CAPITAL	046	TBT	B	10,000	46.95	n/a	n/a	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		TJX	B	50,000	38.00	n/a	5-Feb	non-brg	4.0
LEVEL GLOBAL SHARED ACCT	257	TJX	S	100,000	37.95	n/a	5-Feb	3,000.00	3.0
COUGAR TRADING	044	TM	SS	15,000	73.03	n/a	n/a	750.00	5.0
SIGMA CAPITAL ASSOCIATES	041	TRW	B	20,000	22.44	n/a	n/a	700.00	3.5
⚡ BUCK CAPITAL MGMT		UBI FP	B	130,000	13.46	n/a	n/a	non-brg	0.7
⚡ BUCK CAPITAL MGMT		URBN	B	10,000	31.11	n/a	n/a	non-brg	4.0
HIGHFIELDS CAP MGMT	039	WAG	B	100,000	33.61	n/a	n/a	5,000.00	5.0
⚡ BUCK CAPITAL MGMT		WDR	B	15,000	29.94	n/a	8-Feb	non-brg	2.5
⚡ BUCK CAPITAL MGMT		WERN	B	25,000	19.66	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		WRC	B	30,000	38.63	n/a	28-Jan	non-brg	4.0
GREEN ARROW DOUG	040	WRC	B	25,000	38.79	n/a	28-Jan	1,250.00	5.0
f KAREN F LEDDY	FID	WY	B	400	39.86	n/a	5-Feb	0.00	0.0
⚡ BUCK CAPITAL MGMT		XLF	SS	219,700	13.65	n/a	n/a	non-brg	0.8
⚡ BUCK CAPITAL MGMT		XLF	SS	439,000	13.65	n/a	n/a	non-brg	1.0
PZENA INV ADV	044	XOM	B	19,500	64.56	n/a	n/a	682.57	3.5
⚡ BUCK CAPITAL MGMT		XRT	SS	100,000	34.88	n/a	n/a	non-brg	0.8

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**TOTAL (Trade Date):**

**78,815.51**

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	02/05	PNC CAPITAL ADV	028	CMI	B	13,675	49.71	n/a	3-Feb	547.00 4.0
AO,CRT	02/05	CATAPULT	040	DD	B	15,000	32.80	n/a	26-Jan	750.00 5.0
AO,CXL	02/05	CATAPULT	040	DD	B	15,000	32.80	n/a	26-Jan	0.00 0.0
AO,	02/05	PNC CAPITAL ADV	028	INTC	B	35,850	19.28	n/a	n/a	1434.00 4.0
AO,CRT	02/05	SANDLER O'NEILL ASSET	031	IVZ	S	25,000	18.50	8-Feb	8-Feb	1250.00 5.0
AO,CXL	02/05	SANDLER O'NEILL ASSET	031	IVZ	S	25,000	18.50	8-Feb	8-Feb	1250.00 5.0
AO,CRT	02/02	RAINIER INV MGMT	035	MDRX	B	410	17.49	n/a	n/a	16.40 4.0
AO,CXL	02/02	RAINIER INV MGMT	035	MDRX	B	410	17.49	n/a	n/a	16.40 4.0
AO,	02/05	CASTLEROCK	040	PBI	B	108,737	22.50	n/a	n/a	4349.48 4.0
AO,CXL	02/05	CASTLEROCK	040	PBI	B	108,737	22.50	n/a	n/a	4.00 0.0
AO,CXL	02/04	ISLE RIDGE PARTNERS	041	WMT	B	28,642	53.33	n/a	1-Feb	1145.68 4.0
AO,CRT	02/04	MILLENIUUM PARTNERS	041	WMT	B	28,642	53.33	n/a	1-Feb	1145.68 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>7,076.48</b>

TOTAL (Trade Date):	78,815.51
TOTAL (AO, CXL, CRT):	7,076.48



TOTAL (RUN DATE) / NFS:

85,891.99

MRI Securities with Trade Activity on 8-Feb.

AOS, CAKE

MRI Securities without Trade Activity on 8-Feb.

IVZ

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

T-Date = 13%

YTD = 18%

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)