



# Daily Compliance Activity Report

Trade Date: 08/26/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		AAI	B	75,000	4.52	n/a	n/a	non-brg	2.0
f MATTHEW FRANCIS BUCK	FID	ABT	B	200	49.56	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	AEO	B	30,000	13.41	n/a	26-Aug	1,200.00	4.0
EXIS CAPITAL	044	AEO	B	5,000	13.20	n/a	26-Aug	250.00	5.0
B BUCK CAPITAL MGMT		ANF	B	10,000	35.25	n/a	18-Aug	non-brg	4.0
BUCK CAPITAL MGMT	001	ANN	B	2,000	15.64	n/a	n/a	80.00	4.0
B BUCK CAPITAL MGMT		ANN	B	8,000	15.58	n/a	n/a	non-brg	4.0
f KAREN F LEDDY	FID	APC	S	250	46.87	n/a	4-Aug	0.00	0.0
CASTLEROCK	040	AUO	SS	125,755	8.64	n/a	n/a	5,030.20	4.0
1798 CAP/LOMBARD ASSET	040	AVY	SS	3,000	32.61	n/a	23-Aug	150.00	5.0
B BUCK CAPITAL MGMT		BONT	S	10,000	6.71	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		BWS	S	175,000	11.20	n/a	n/a	non-brg	4.0
BASIX	033	CCMP	B	13,800	30.62	n/a	n/a	414.00	3.0
WEDBUSH/PACIFIC GROWTH EQTY LLC084	CIT		S	4,700	37.03	n/a	25-Aug	235.00	5.0
1798 CAP/LOMBARD ASSET	040	CLF	SS	17,500	57.95	n/a	n/a	875.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AELTUS/ING INVESTMENT MGT	215	COP	B	15,000	52.52	n/a	n/a	525.00	3.5
SAXON WOODS ADVISORS	242	CVA	S	24,300	14.56	n/a	n/a	972.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>DAL</b>	<b>B</b>	<b>20,000</b>	<b>10.10</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DAN</b>	<b>B</b>	<b>30,000</b>	<b>10.71</b>	<b>n/a</b>	<b>2-Aug</b>	<b>non-brg</b>	<b>4.0</b>
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>DAN</b>	<b>S</b>	<b>300</b>	<b>10.77</b>	<b>n/a</b>	<b>2-Aug</b>	<b>0.00</b>	<b>0.0</b>
OZ MGMT	040	DAN	B	75,000	10.78	n/a	2-Aug	2,250.00	3.0
<b>f THOMAS JOHN LEDDY</b>	<b>FID</b>	<b>DAN</b>	<b>B</b>	<b>700</b>	<b>10.73</b>	<b>n/a</b>	<b>2-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DKS</b>	<b>SS</b>	<b>60,000</b>	<b>25.12</b>	<b>n/a</b>	<b>19-Aug</b>	<b>2,400.00</b>	<b>4.0</b>
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>DLTR</b>	<b>S</b>	<b>150</b>	<b>6.73</b>	<b>n/a</b>	<b>19-Aug</b>	<b>0.00</b>	<b>0.0</b>
BALYASNY ASSET MGMT	044	DRI	B	25,000	41.32	n/a	8-Jul	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DRI</b>	<b>SS</b>	<b>30,000</b>	<b>41.55</b>	<b>n/a</b>	<b>8-Jul</b>	<b>1,200.00</b>	<b>4.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>ESRX</b>	<b>S</b>	<b>1000</b>	<b>45.03</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MATTHEW FRANCIS BUCK</b>	<b>FID</b>	<b>ESRX</b>	<b>S</b>	<b>300</b>	<b>45.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PLATTE RIVER CAPITAL	240	FE	S	14,000	35.76	n/a	n/a	560.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>FINL</b>	<b>B</b>	<b>20,000</b>	<b>13.60</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
EXIS CAPITAL	044	FINL	B	25,000	13.37	n/a	n/a	1,250.00	5.0
SOUTH POINT CAP	067	FISV	S	105,230	50.43	n/a	n/a	5,261.50	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>FL</b>	<b>B</b>	<b>50,000</b>	<b>12.33</b>	<b>n/a</b>	<b>20-Aug</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KENNEDY CAPITAL	046	FL	B	20,000	12.00	n/a	20-Aug	800.00	4.0
<b>f</b> NICOLAS EVAN PAKLER	<b>FID</b>	<b>FOR</b>	<b>B</b>	<b>360</b>	<b>14.95</b>	<b>n/a</b>	<b>26-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>ß</b> BUCK CAPITAL MGMT		<b>GES</b>	<b>B</b>	<b>10,000</b>	<b>33.89</b>	<b>26-Aug</b>	<b>26-Aug</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß</b> BUCK CAPITAL MGMT		<b>GES</b>	<b>B</b>	<b>15,000</b>	<b>33.71</b>	<b>26-Aug</b>	<b>26-Aug</b>	<b>non-brg</b>	<b>4.0</b>
EXIS CAPITAL	044	GES	SS	10,000	34.10	26-Aug	26-Aug	500.00	5.0
LEVEL GLOBAL SHARED ACCT	257	GIL	C	100,000	27.80	n/a	13-Aug	3,000.00	3.0
<b>f</b> JASON ERIC COHEN	<b>FID</b>	<b>GLW</b>	<b>B</b>	<b>5</b>	<b>0.87</b>	<b>n/a</b>	<b>23-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> JASON ERIC COHEN	<b>FID</b>	<b>GLW</b>	<b>S</b>	<b>5</b>	<b>0.91</b>	<b>n/a</b>	<b>23-Aug</b>	<b>0.00</b>	<b>0.0</b>
1798 CAP/LOMBARD ASSET	040	GVA	SS	8,500	21.94	n/a	n/a	425.00	5.0
AELTUS/ING INVESTMENT MGT	215	HK	B	65,000	14.82	n/a	n/a	2,275.00	3.5
<b>ß</b> BUCK CAPITAL MGMT		<b>IR</b>	<b>B</b>	<b>10,000</b>	<b>33.82</b>	<b>n/a</b>	<b>26-Jul</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß</b> BUCK CAPITAL MGMT		<b>IVZ</b>	<b>S</b>	<b>34,100</b>	<b>17.84</b>	<b>n/a</b>	<b>2-Mar</b>	<b>non-brg</b>	<b>4.0</b>
BUCK CAPITAL MGMT	001	JCG	S	132,130	33.55	n/a	n/a	5,285.20	4.0
<b>ß</b> BUCK CAPITAL MGMT		<b>JCG</b>	<b>B</b>	<b>70,000</b>	<b>31.46</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>ß</b> BUCK CAPITAL MGMT		<b>JCG</b>	<b>S</b>	<b>100,000</b>	<b>33.28</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>ß</b> BUCK CAPITAL MGMT		<b>JCG</b>	<b>S</b>	<b>125,000</b>	<b>33.34</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß</b> BUCK CAPITAL MGMT		<b>JCG</b>	<b>S</b>	<b>250,000</b>	<b>33.34</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß</b> BUCK CAPITAL MGMT		<b>JCG</b>	<b>S</b>	<b>30,000</b>	<b>33.55</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>ß</b> BUCK CAPITAL MGMT		<b>JCG</b>	<b>S</b>	<b>50,000</b>	<b>33.24</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>ß</b> BUCK CAPITAL MGMT		<b>JNS</b>	<b>S</b>	<b>105,000</b>	<b>9.60</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	JWN	B	10,000	30.74	n/a	13-Aug	400.00	4.0
EXIS CAPITAL	044	JWN	B	5,000	30.25	n/a	13-Aug	250.00	5.0
⌘ BUCK CAPITAL MGMT		LEN	B	10,000	13.12	n/a	n/a	non-brg	4.0
1798 CAP/LOMBARD ASSET	040	MCP	B	15,000	14.93	n/a	n/a	750.00	5.0
BENNETT LAWRENCE	028	MHK	SS	1,000	44.67	n/a	n/a	40.00	4.0
f DAVID GEORGE BUCK	FID	MNE	B	2125	14.01	n/a	n/a	0.00	0.0
EXIS CAPITAL	044	M	B	15,000	19.37	n/a	12-Aug	750.00	5.0
SIGMA CAPITAL ASSOCIATES	041	M	SS	50,000	19.69	n/a	12-Aug	1,750.00	3.5
CASTLEROCK	040	NAV	SS	62,719	42.92	n/a	n/a	2,508.76	4.0
⌘ BUCK CAPITAL MGMT		NFLX	SS	5,000	126.27	n/a	n/a	non-brg	4.0
SUFFOLK CAPITAL MGMT	040	NKE	B	100,000	71.04	n/a	n/a	4,000.00	4.0
f MATTHEW FRANCIS BUCK	FID	NVN	B	1000	15.24	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		NWY	B	10,000	2.00	n/a	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		NWY	B	20,000	2.03	n/a	n/a	non-brg	2.0
f MANNY I KORMAN	FID	OCR	S	15000	19.36	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		PCAR	B	15,000	41.33	n/a	28-Jul	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PERY	B	50,000	19.73	n/a	n/a	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		PFCB	SS	20,000	43.09	n/a	28-Jul	non-brg	4.0
⚡ BUCK CAPITAL MGMT		PHM	B	50,000	7.94	n/a	n/a	non-brg	3.0
SANDLER CAPITAL	226	POOL	C	80,000	18.81	n/a	n/a	4,000.00	5.0
EXIS CAPITAL	044	PVH	B	10,000	46.64	n/a	19-Jul	500.00	5.0
GCORE MANAGEMENT	041	QQQQ	B	25,000	43.86	n/a	n/a	1,250.00	5.0
EXIS CAPITAL	044	RL	B	5,000	80.95	n/a	5-Aug	250.00	5.0
TROUBH PART	067	RRR	B	25,000	6.29	n/a	23-Jul	1,250.00	5.0
⚡ BUCK CAPITAL MGMT		RVI	S	8,600	8.74	n/a	n/a	non-brg	3.0
⚡ BUCK CAPITAL MGMT		RYL	B	10,000	16.65	n/a	n/a	non-brg	4.0
1798 CAP/LOMBARD ASSET	040	SHAW	B	6,300	32.01	n/a	n/a	315.00	5.0
WEISS PECK	040	SKX	B	64,420	27.43	n/a	n/a	3,221.00	5.0
f MANNY I KORMAN	FID	SLM	S	400	1.56	n/a	18-Aug	0.00	0.0
CATAPULT	040	SSCC	B	16,000	16.72	n/a	26-Aug	800.00	5.0
1798 CAP/LOMBARD ASSET	040	SWC	B	18,000	13.71	n/a	n/a	900.00	5.0
SAC CHICAGO ANDREW	031	SYX	B	30,000	27.97	n/a	n/a	1,050.00	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CRAMER ROSENTHAL/SCOTT	012	TAP	S	82,200	44.29	n/a	n/a	3,288.00	4.0
EXIS CAPITAL	044	TGT	B	7,500	51.98	n/a	18-Aug	375.00	5.0
1798 CAP/LOMBARD ASSET	040	TKR	B	14,000	33.13	n/a	n/a	700.00	5.0
HOOVER INV. MGMT	033	TLB	B	10,400	10.44	n/a	n/a	416.00	4.0
JMP ASSET MGMT	210	TWI	B	20,000	10.05	n/a	n/a	1,000.00	5.0
ß BUCK CAPITAL MGMT		URBN	B	20,000	32.01	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		VTG	S	2,300	1.28	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		VTG	S	2,800	1.28	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		VTG	S	50,000	1.28	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		VTG	S	6,800	1.28	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		VTG	S	79,000	1.28	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		VTG	S	9,100	1.28	n/a	n/a	non-brg	1.0
f DAVID GEORGE BUCK	FID	V	B	15	0.60	n/a	2-Aug	0.00	0.0
f DAVID GEORGE BUCK	FID	V	S	10	1.50	n/a	2-Aug	0.00	0.0
1798 CAP/LOMBARD ASSET	040	WAB	SS	9,400	42.49	n/a	n/a	470.00	5.0
ß BUCK CAPITAL MGMT		WNC	B	10,000	6.45	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		XRT	SS	250,000	36.57	n/a	n/a	non-brg	1.0
f MANNY I KORMAN	FID	XRX	S	20000	8.50	n/a	n/a	0.00	0.0

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**TOTAL (Trade Date):**

**66,421.66**

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/25	AELTUS/ING INVESTMENT MGT	215	BHI	S	60,000	38.42	n/a	n/a	2100.00 3.5
AO,	08/25	AELTUS/ING INVESTMENT MGT	215	HK	B	25,000	14.64	n/a	n/a	875.00 3.5
AO,CRT	08/25	M&I FUNDS	047	KO	B	7,637	55.40	n/a	22-Jul	305.48 4.0
AO,CXL	08/25	M&I FUNDS	047	KO	B	7,637	55.40	n/a	22-Jul	305.48 4.0
AO,	08/25	AELTUS/ING INVESTMENT MGT	215	SLB	B	20,000	54.21	n/a	n/a	700.00 3.5
AO,CRT	08/25	BANK OF AMERICA/MERRILL	259	SSCC	B	25,000	17.26	n/a	26-Aug	1000.00 4.0
AO,CXL	08/25	BANK OF AMERICA/MERRILL	259	SSCC	B	25,000	17.26	n/a	26-Aug	0.00 0.0
AO,	08/25	NOMURA CAPITAL	029	WINN	S	2,900	8.06	n/a	n/a	87.00 3.0

**TOTAL (AO, CXL, CRT) :****4,762.00**

TOTAL (Trade Date) :

66,421.66

TOTAL (AO, CXL, CRT) :

4,762.00

**TOTAL (RUN DATE) / NFS:****71,183.66****MRI Securities with Trade Activity on 26-Aug.****GES**



MRI Securities without Trade Activity on 26-Aug.

WY

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

T-Date = 18%

YTD = 11%

**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)**