



Daily Compliance Activity Report

Trade Date: 09/03/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		AEO	B	100,000	13.85	n/a	2-Sep	non-brg	0.8
BUCK CAPITAL MGMT		AEO	B	125,000	13.96	n/a	2-Sep	non-brg	4.0
BUCK CAPITAL MGMT		AEO	B	175,000	13.88	n/a	2-Sep	non-brg	4.0
BUCK CAPITAL MGMT		AEO	B	200,000	13.98	n/a	2-Sep	non-brg	1.5
BUCK CAPITAL MGMT		AEO	B	50,000	13.99	n/a	2-Sep	non-brg	2.5
DAVID GEORGE BUCK	FID	AMAG	B	2000	25.64	n/a	n/a	0.00	0.0
CHRISTOPHER ROBERT C	FID	AMG	S	50	71.06	n/a	2-Mar	0.00	0.0
BUCK CAPITAL MGMT		AMWD	S	7,500	15.50	n/a	n/a	non-brg	4.0
RBC CAPITAL MARKETS	040	ANF	B	15,000	35.78	n/a	2-Sep	600.00	4.0
JOSEPH CIRO AMATURO	FID	ARM	S	15000	15.09	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		ARO	S	100,000	22.15	n/a	2-Sep	non-brg	0.8
BUCK CAPITAL MGMT		ARO	S	107,500	22.19	n/a	2-Sep	non-brg	4.0
BUCK CAPITAL MGMT		ARO	S	25,000	22.29	n/a	2-Sep	non-brg	4.0
BUCK CAPITAL MGMT		ARO	S	82,000	22.16	n/a	2-Sep	non-brg	4.0
NEWLAND CAPITAL MGT	067	AXE	S	10,000	49.07	n/a	27-Jul	400.00	4.0
Alice Longley		AXP	S	25	41.71	n/a	1-Sep	0.00	0.0
HOLLIS CAPITAL	033	BAC	B	8,000	13.45	n/a	20-Aug	400.00	5.0
PZENA INV ADV	044	BA	S	5,200	65.07	n/a	2-Sep	182.16	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f DAVID GEORGE BUCK	FID	BEN	S	500	102.26	n/a	2-Mar	0.00	0.0
f JOSEPH CIRO AMATURO	FID	BGU	S	7500	47.32	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	BGZ	B	20000	14.22	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	BKC	B	3000	23.53	n/a	25-Aug	0.00	0.0
BRIGADE CAPITAL MGMT	029	BZ	S	250,000	7.40	n/a	n/a	7,500.00	3.0
SAC CAP/ROSEN FOR BOBBY	044	CEPH	SS	50,000	60.50	n/a	30-Aug	1,750.00	3.5
RBC CAPITAL MARKETS	040	CLF	SS	10,000	67.77	n/a	n/a	400.00	4.0
NEUBERGER BERMAN	036	CRK	S	19,000	22.21	n/a	n/a	760.00	4.0
B BUCK CAPITAL MGMT		CROX	S	23,200	13.32	n/a	n/a	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	CSTR	B	100	44.56	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	CVGI	S	3984	10.54	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		DAL	S	10,000	11.10	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DAL	S	10,000	11.12	n/a	n/a	non-brg	0.8
STRONG/MARK GRONET	030	DAL	S	600	11.10	n/a	n/a	24.00	4.0
OZ MGMT	040	DAN	S	28,200	11.58	n/a	2-Aug	846.00	3.0
f DAVID GEORGE BUCK	FID	DE	B	1200	68.58	n/a	19-Aug	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	DRI	SS	20,000	44.85	n/a	8-Jul	800.00	4.0
f DAVID GEORGE BUCK	FID	EEM	S	1500	41.89	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	EPP	B	1,000	41.37	n/a	n/a	50.00	5.0
Õ Michael DiMattia		FCX	??	100	77.90	n/a	n/a	0.00	0.0
FIRST NY SEC/CHRIS	041	FDO	SS	10,000	42.87	n/a	2-Sep	500.00	5.0
FORWARD MGMT	033	FDO	SS	10,000	43.12	n/a	2-Sep	400.00	4.0
GCORE MANAGEMENT	041	FDO	SS	10,000	43.17	n/a	2-Sep	500.00	5.0
ß BUCK CAPITAL MGMT		FL	B	50,000	13.07	n/a	20-Aug	non-brg	2.0
SCOPUS FUND	041	F	B	90,000	11.88	n/a	2-Sep	4,500.00	5.0
ß BUCK CAPITAL MGMT		GES	B	30,000	34.82	n/a	26-Aug	non-brg	4.0
ß BUCK CAPITAL MGMT		GIII	S	5,000	29.90	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		GIL	S	21,400	28.82	n/a	13-Aug	non-brg	4.0
NEUBERGER BERMAN	036	GTLS	S	14,400	16.82	n/a	n/a	576.00	4.0
BUCK CAPITAL MGMT	001	HBI	B	20,000	25.91	n/a	11-Aug	800.00	4.0
HOPLITE MGMT	025	HON	C	140,000	42.67	n/a	18-Aug	7,000.00	5.0
WAGONHOUND/NIC	289	HOT	B	3,037	50.95	n/a	31-Aug	121.48	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SACC-SCHWARTZ	044	HXL	SS	50,000	18.01	n/a	n/a	1,750.00	3.5
f JOSEPH CIRO AMATURO	FID	IGD	B	2000	10.97	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	INTC	B	1000	18.28	n/a	n/a	0.00	0.0
IRIDIAN ASSET MGMT.	036	IP	B	14,300	22.29	n/a	26-Aug	715.00	5.0
B BUCK CAPITAL MGMT		IR	B	10,000	34.85	n/a	26-Jul	non-brg	0.8
SOUTH POINT CAP	067	IWM	B	25,000	64.08	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	JCG	B	30,000	34.45	n/a	n/a	1,200.00	4.0
B BUCK CAPITAL MGMT		JCG	S	30,000	34.46	n/a	n/a	non-brg	4.0
ADAGE CAPITAL MGMT	030	JCP	B	487,600	21.72	n/a	2-Sep	14,628.00	3.0
B BUCK CAPITAL MGMT		JNS	S	60,500	9.88	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		JNY	S	50,000	17.31	n/a	29-Jul	non-brg	4.0
CAXTON PART	040	JPM	B	16,973	38.94	n/a	20-Aug	594.07	3.5
CAXTON PART	040	KSS	B	12,730	49.59	n/a	2-Sep	445.56	3.5
RBC CAPITAL MARKETS	040	KSS	SS	5,000	49.44	n/a	2-Sep	200.00	4.0
f JOHN MICHAEL ZOLIDIS	FID	KWS	S	642	12.25	n/a	n/a	0.00	0.0
Ö Ravi Sadarangani		KWS	S	100	12.41	n/a	n/a	0.00	0.0
MACKLOWE ASSET MGMT	041	LOW	S	65,000	21.89	n/a	16-Aug	2,600.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
L.R.BURTSCHY & CO	029	LPX	S	3,300	7.56	n/a	26-Aug	198.00	6.0
f JOSEPH CIRO AMATURO	FID	LVS	S	2000	30.88	n/a	1-Sep	0.00	0.0
CAXTON PART	040	MCD	S	50,000	74.50	n/a	9-Aug	1,750.01	3.5
B BUCK CAPITAL MGMT		M	S	125,000	21.05	n/a	2-Sep	non-brg	4.0
B BUCK CAPITAL MGMT		M	S	25,000	21.07	n/a	2-Sep	non-brg	2.0
SAC CAP/ROSEN FOR BOBBY	044	NCR	S	100,000	13.70	n/a	n/a	3,500.00	3.5
CAERUS GLOBAL	041	NDN	S	15,000	17.25	n/a	5-Aug	600.00	4.0
TRUSTCO/SUNTRUST	040	NDN	S	28,315	17.15	n/a	5-Aug	991.04	3.5
RBC CAPITAL MARKETS	040	NWL	B	10,000	16.05	n/a	n/a	400.00	4.0
SMITH MGMT LLC	029	NYT	B	200,000	8.01	n/a	n/a	6,000.00	3.0
f FRANCIS MICHAEL MCCA	FID	OEH	B	500	9.99	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	040	OMX	B	5,000	12.15	n/a	n/a	200.00	4.0
B BUCK CAPITAL MGMT		PFCB	SS	30,000	47.07	n/a	28-Jul	non-brg	4.0
CSFB GLOBAL PROPRIETARY	041	PKG	S	30,000	23.99	n/a	26-Aug	1,500.00	5.0
TRELLUS PARTNERS LP	028	PKG	SS	10,000	24.06	n/a	26-Aug	500.00	5.0
ROARING BLUE LION MGMT	012	PLCE	S	2,700	47.54	n/a	19-Aug	108.00	4.0
f DAVID GEORGE BUCK	FID	PNRA	S	1500	85.19	n/a	28-Jul	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		PVH	S	45,000	50.98	n/a	19-Jul	non-brg	4.0
MACKLOWE ASSET MGMT	041	PVH	SS	17,700	50.80	n/a	19-Jul	708.00	4.0
MACKLOWE ASSET MGMT	041	PVH	S	12,300	50.71	n/a	19-Jul	492.00	4.0
RBC CAPITAL MARKETS	040	RSH	B	10,000	19.47	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		SNE	SS	20,000	29.92	n/a	n/a	non-brg	4.0
1798 CAP/LOMBARD ASSET	040	SPY	C	16,300	110.62	n/a	n/a	815.00	5.0
GRUSS CAPITAL	025	SPY	B	60,000	110.71	n/a	n/a	1,800.00	3.0
SOUTH POINT CAP	067	SPY	B	25,000	110.56	n/a	n/a	1,250.00	5.0
f JOSEPH CIRO AMATURO	FID	SRI	S	4920	9.99	n/a	n/a	0.00	0.0
WEINTRAUB CAPITAL MGT.	040	SSCC	B	100,000	18.32	n/a	26-Aug	4,000.00	4.0
IRIDIAN ASSET MGMT.	036	TEL	B	63,530	26.42	n/a	n/a	3,176.50	5.0
BMO NESBITT BURNS	041	TIN	SS	24,900	18.92	n/a	26-Aug	1,245.00	5.0
B BUCK CAPITAL MGMT		TIN	S	125,000	18.81	n/a	26-Aug	non-brg	4.0
SCOPUS FUND	041	TIN	SS	20,900	18.92	n/a	26-Aug	1,045.00	5.0
BUCK CAPITAL MGMT	001	TJX	B	20,000	41.94	n/a	2-Sep	800.00	4.0
HOPLITE MGMT	025	TYC	S	34,662	39.00	n/a	18-Aug	1,733.10	5.0
STRONG/MARK GRONET	030	UAUA	S	20,000	22.48	n/a	n/a	800.00	4.0
B BUCK CAPITAL MGMT		ULTA	SS	10,000	25.88	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	UPL	SS	25,000	41.09	n/a	19-Jul	1,250.00	5.0
f FRANCIS MICHAEL MCCA	FID	VPG	B	400	15.21	n/a	n/a	0.00	0.0
1798 CAP/LOMBARD ASSET	040	VXX	B	34,500	19.18	n/a	n/a	1,725.00	5.0
B BUCK CAPITAL MGMT		WERN	B	10,000	20.69	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		WERN	B	20,000	20.92	n/a	n/a	non-brg	0.8
CAXTON PART	040	WFC	B	16,973	25.77	n/a	20-Aug	594.07	3.5
RAINIER INV MGMT	035	WLL	S	50,000	91.45	n/a	n/a	2,000.00	4.0
f JOSEPH CIRO AMATURO	FID	WNC	S	2221	7.04	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		WRC	S	50,000	46.65	n/a	6-Aug	non-brg	4.0
MACKLOWE ASSET MGMT	041	WRC	B	25,000	46.40	n/a	6-Aug	1,000.00	4.0
MACKLOWE ASSET MGMT	041	WSM	S	30,000	28.54	n/a	n/a	1,200.00	4.0
GALT INVESTMENT	041	WTSLA	S	100,000	3.34	n/a	n/a	2,500.00	2.5
B BUCK CAPITAL MGMT		XRT	C	26,300	38.62	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		XRT	C	480,000	38.94	n/a	n/a	non-brg	4.0
RBC CAPITAL MARKETS	040	X	S	10,000	45.86	n/a	n/a	400.00	4.0
TOTAL (Trade Date):								96,172.99	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,	09/02	LOMBARDIA CAP MGMT	084	COGT	S	85,886	11.10	n/a	n/a 4062.04 4.9
TOTAL (AO, CXL, CRT) :									4,062.04

TOTAL (Trade Date):	96,172.99
TOTAL (AO, CXL, CRT):	4,062.04

TOTAL (RUN DATE) / NFS:	100,235.03
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MRI Securities with Trade Activity on 3-Sep.
NONE

MRI Securities without Trade Activity on 3-Sep.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 5%
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)