



# Daily Compliance Activity Report

Trade Date: 01/18/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ADAGE CAPITAL MGMT	030	ANF	S	162,400	50.71	n/a	10-Jan	4,872.00	3.0
TRELLUS PARTNERS LP	028	AXL	SS	10,100	16.14	n/a	7-Jan	505.00	5.0
OSKIE CAPITAL MGMT	224	BAC	B	10,000	15.11	n/a	14-Jan	500.00	5.0
CATAPULT	040	BAH	SS	4,753	18.25	n/a	n/a	190.12	4.0
CATAPULT	040	BEN	B	5,000	120.33	n/a	2-Mar	200.00	4.0
KACELA CAPITAL	034	BHI	S	35,000	59.21	n/a	n/a	1,400.00	4.0
EPOCH INV MGMT	030	BRKL	B	3,200	11.16	n/a	n/a	96.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>CACH</b>	<b>S</b>	<b>8,400</b>	<b>4.31</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>CAH</b>	<b>S</b>	<b>2000</b>	<b>41.36</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EPOCH INV MGMT	030	CBOE	B	1,200	23.76	n/a	n/a	36.00	3.0
JETSTREAM GLOBAL FUND LP	065	COH	S	15,800	55.17	n/a	11-Jan	790.00	5.0
<b>f MATTHEW FRANCIS BUCK</b>	<b>FID</b>	<b>COP</b>	<b>B</b>	<b>150</b>	<b>68.16</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MERRILL ASSET/BLACKROCK	266	CRR	S	1,400	103.68	n/a	11-Jan	56.00	4.0
<b>f ANDREW SINCLAIR</b>	<b>FID</b>	<b>C</b>	<b>B</b>	<b>120</b>	<b>0.46</b>	<b>n/a</b>	<b>18-Jan</b>	<b>0.00</b>	<b>0.0</b>

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	MATTHEW FRANCIS BUCK	FID	C	B	1000	4.86	n/a	18-Jan	0.00	0.0
	OSKIE CAPITAL MGMT	224	C	B	15,000	4.88	n/a	18-Jan	750.00	5.0
	WHITE PINE CAPITAL	030	C	B	117,800	4.84	n/a	18-Jan	4,712.00	4.0
B	BUCK CAPITAL MGMT		DECK	S	20,000	79.81	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		EAT	SS	40,000	21.46	n/a	3-Jan	non-brg	4.0
	SENATOR INVESTMENT GROUP	036	EEM	SS	75,000	47.83	n/a	n/a	2,250.00	3.0
f	EDWARD W WHEELER	FID	EXH	B	5000	24.46	n/a	11-Jan	0.00	0.0
f	CHRISTOPHER ROBERT C	FID	FAGIX	S	555	9.66	n/a	n/a	0.00	0.0
	CATAPULT	040	FLIR	SS	5,904	29.71	n/a	n/a	236.16	4.0
	EPOCH INV MGMT	030	FNFG	B	3,250	14.44	n/a	n/a	97.50	3.0
	RAINIER INV MGMT	035	FNSR	S	25,000	34.22	n/a	n/a	1,000.00	4.0
f	CHRISTOPHER ROBERT C	FID	FSRBX	S	176	19.17	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		GES	S	60,000	42.23	n/a	24-Nov	non-brg	4.0
f	EDWARD W WHEELER	FID	GE	B	5000	18.66	n/a	n/a	0.00	0.0
f	CHRISTOPHER ROBERT C	FID	HEES	S	500	12.68	n/a	n/a	0.00	0.0
	CATAPULT	040	HON	SS	4,100	54.71	n/a	5-Jan	164.00	4.0
	JETSTREAM GLOBAL FUND LP	065	HTZ	S	20,000	14.10	n/a	n/a	1,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL ASSET/BLACKROCK	266	IPCC	S	1,124	62.25	n/a	n/a	44.96	4.0
BUCK CAPITAL MGMT	001	JNY	S	35,000	14.32	n/a	28-Oct	1,050.00	3.0
ß BUCK CAPITAL MGMT		JNY	S	100,000	13.98	n/a	28-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		JNY	S	230,000	14.14	n/a	28-Oct	non-brg	2.5
ß BUCK CAPITAL MGMT		JNY	S	50,000	14.12	n/a	28-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		JNY	S	60,000	14.09	n/a	28-Oct	non-brg	4.0
SURSUM CAPITAL	215	JNY	S	30,000	13.99	n/a	28-Oct	900.00	3.0
CATAPULT	040	KEYW	SS	3,452	13.75	n/a	n/a	138.08	4.0
EPOCH INV MGMT	030	KMT	B	1,200	43.12	n/a	5-Jan	36.00	3.0
f ABRAM M CHAPPELL	FID	KTEC	S	250	17.05	n/a	n/a	0.00	0.0
SANDLER O'NEILL ASSET	031	LAZ	S	14,977	42.94	n/a	14-Jan	748.85	5.0
ß BUCK CAPITAL MGMT		LIZ	S	200,000	4.97	n/a	7-Oct	non-brg	3.0
ß BUCK CAPITAL MGMT		LIZ	S	300,000	4.99	n/a	7-Oct	non-brg	3.0
CATAPULT	040	LLL	SS	2,850	76.95	n/a	n/a	114.00	4.0
CATAPULT	040	LMT	SS	3,400	76.46	n/a	14-Jan	136.00	4.0
CATAPULT	040	MANT	SS	2,327	39.95	n/a	n/a	93.08	4.0
f DAVID GEORGE BUCK	FID	MCD	B	500	74.89	n/a	7-Jan	0.00	0.0
EPOCH INV MGMT	030	NLC	B	1,700	30.58	n/a	n/a	51.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f MATTHEW FRANCIS BUCK</b>	<b>FID</b>	<b>NNP</b>	<b>B</b>	<b>1000</b>	<b>13.38</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>NVN</b>	<b>S</b>	<b>2000</b>	<b>13.02</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CATAPULT	040	OFC	S	5,868	34.47	n/a	n/a	234.72	4.0
EPOCH INV MGMT	030	OKE	B	700	57.71	n/a	n/a	21.00	3.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>PBR</b>	<b>B</b>	<b>2000</b>	<b>37.43</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CATAPULT	040	PH	S	2,280	90.61	n/a	3-Jan	91.20	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>PLCE</b>	<b>B</b>	<b>10,000</b>	<b>44.20</b>	<b>n/a</b>	<b>13-Jan</b>	<b>non-brg</b>	<b>4.0</b>
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>POWL</b>	<b>B</b>	<b>2000</b>	<b>38.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CAMBIAR CAP	046	PRX	B	3,497	35.99	n/a	18-Jan	139.88	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PSS</b>	<b>B</b>	<b>20,000</b>	<b>19.98</b>	<b>n/a</b>	<b>n/a</b>	<b>600.00</b>	<b>3.0</b>
EPOCH INV MGMT	030	PTP	B	1,200	46.04	n/a	n/a	36.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>PVH</b>	<b>B</b>	<b>10,000</b>	<b>59.36</b>	<b>n/a</b>	<b>10-Jan</b>	<b>non-brg</b>	<b>4.0</b>
SCOPUS FUND	041	PVH	S	93,395	59.31	n/a	10-Jan	3,735.80	4.0
<b>LISTED ERR</b>	<b>099</b>	<b>PVH</b>	<b>S</b>	<b>42,300</b>	<b>58.93</b>	<b>n/a</b>	<b>10-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ROST</b>	<b>C</b>	<b>20,000</b>	<b>63.83</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
CATAPULT	040	RTI	SS	3,928	26.84	n/a	n/a	157.12	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	SAI	S	13,509	16.50	n/a	n/a	540.36	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>SODA</b>	<b>S</b>	<b>20,000</b>	<b>39.18</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f ABRAM M CHAPPELL</b>	<b>FID</b>	<b>SRI</b>	<b>S</b>	<b>100</b>	<b>15.51</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FARALLON CAP MGMT	040	TGT	B	118,000	55.03	n/a	7-Jan	4,720.00	4.0
<b>f JOHN BARTMAN COLE</b>	<b>FID</b>	<b>TMBCF</b>	<b>S</b>	<b>2500</b>	<b>4.34</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CRAMER ROSENTHAL/SCOTT	012	TTWO	B	5,100	12.95	n/a	n/a	204.00	4.0
S.A.C. CAP/ORENSTEIN	044	UAL	B	50,000	25.20	n/a	n/a	1,750.00	3.5
<b>B BUCK CAPITAL MGMT</b>		<b>URBN</b>	<b>S</b>	<b>20,000</b>	<b>35.57</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
EPOCH INV MGMT	030	VSEA	B	1,400	43.59	n/a	n/a	42.00	3.0
OSKIE CAPITAL MGMT	224	WFC	B	5,000	32.57	n/a	14-Jan	250.00	5.0
EPOCH INV MGMT	030	WR	B	1,300	25.65	n/a	n/a	39.00	3.0
<b>TOTAL (Trade Date) :</b>								<b>34,727.83</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/14	SCOUT/UMB	047	BUD	B	35,700	57.81	n/a	14-Jan	1428.00 4.0
AO,CXL	01/14	S.A.C. CAP/ORENSTEIN	044	PWR	SS	25,000	22.11	n/a	n/a	875.00 3.5
AO,CRT	01/14	S.A.C. CAP/ORENSTEIN	044	PWR	SS	25,000	22.11	n/a	n/a	875.00 3.5
AO,CXL	01/11	MANNING & NAPIER	034	SHW	S	270	83.34	n/a	5-Jan	8.10 3.0

**TOTAL (AO, CXL, CRT) :****1,419.90**

TOTAL (Trade Date) :

34,727.83

TOTAL (AO, CXL, CRT) :

1,419.90

**TOTAL (RUN DATE) / NFS:****36,147.73**

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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MRI Securities with Trade Activity on 18-Jan.  
NONE

MRI Securities without Trade Activity on 18-Jan.  
DFS

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 4%  
YTD = 4%

**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)**