



# Daily Compliance Activity Report

Trade Date: 02/09/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f HARALAMBOS EFSTATHI</b>	<b>FID</b>	<b>ACW</b>	<b>S</b>	<b>500</b>	<b>15.59</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
GREEN ARROW DOUG	040	AEO	S	22,000	14.68	n/a	4-Feb	880.00	4.0
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>AEP</b>	<b>S</b>	<b>10000</b>	<b>35.65</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
OSKIE CAPITAL MGMT	224	AMD	B	8,000	8.19	n/a	n/a	400.00	5.0
OSKIE CAPITAL MGMT	224	AMR	B	10,000	7.16	n/a	n/a	500.00	5.0
GREEN ARROW DOUG	040	ANN	S	20,000	23.81	n/a	n/a	800.00	4.0
SENATOR INVESTMENT GROUP	036	AOS	B	45,000	41.66	n/a	7-Feb	1,350.00	3.0
COLUMBIA PARTNERS	028	APA	B	55,445	116.77	n/a	11-Jan	2,217.80	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ARO</b>	<b>B</b>	<b>20,000</b>	<b>25.67</b>	<b>n/a</b>	<b>4-Feb</b>	<b>600.00</b>	<b>3.0</b>
COOKBIELER	028	AVP	B	38,400	29.16	n/a	8-Feb	1,536.00	4.0
ROTHSCHILD ASSET	040	AWI	S	23,904	43.31	n/a	n/a	956.16	4.0
BASSWOOD PARTNERS	267	BANR	B	70,300	2.43	n/a	n/a	1,406.00	2.0
ROTHSCHILD ASSET	040	BBG	S	21,800	39.07	n/a	n/a	872.00	4.0
TRUSTCO/SUNTRUST	040	BBT	S	800	29.46	n/a	n/a	28.00	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>BIDU</b>	<b>S</b>	<b>400</b>	<b>122.92</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BID</b>	<b>B</b>	<b>20,000</b>	<b>42.22</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BMO NESBITT BURNS	041	BIG	S	1,000	38.97	n/a	8-Feb	70.00	7.0
<b>f MAY Y TANG</b>	<b>FID</b>	<b>BIG</b>	<b>S</b>	<b>30</b>	<b>38.83</b>	<b>n/a</b>	<b>8-Feb</b>	<b>0.00</b>	<b>0.0</b>
TRUSTCO/SUNTRUST	040	BRCM	S	2,000	43.97	n/a	n/a	70.01	3.5
BNP PARIBAS SEC	040	CBRL	SS	7,500	52.73	n/a	n/a	375.00	5.0
THOMPSON SIEGAL&WALMSLEY	029	CEPH	B	66,728	60.84	n/a	7-Feb	2,655.48	4.0
BALLAST CAP	040	CNK	B	6,600	17.84	n/a	n/a	330.00	5.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>CS</b>	<b>B</b>	<b>2000</b>	<b>46.57</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
AVESTA CAP	229	CTSH	SS	50,000	74.43	n/a	n/a	1,500.00	3.0
<b>f HARALAMBOS EFSTATHI</b>	<b>FID</b>	<b>CVGI</b>	<b>B</b>	<b>700</b>	<b>16.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TRUSTCO/SUNTRUST	040	DD	B	18,900	53.48	n/a	25-Jan	661.56	3.5
ROTHSCHILD ASSET	040	DST	S	2,440	49.53	n/a	n/a	97.60	4.0
<b>f CLIFFORD A LONGLEY</b>	<b>FID</b>	<b>EEB</b>	<b>B</b>	<b>5</b>	<b>44.48</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NORTHWESTERN MUTUAL LIFE	047	EFA	B	1,431,500	61.15	n/a	n/a	28,630.00	2.0
<b>f SCOTT L BRUNNER</b>	<b>FID</b>	<b>FAS</b>	<b>B</b>	<b>1000</b>	<b>32.04</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

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<b>f SCOTT L BRUNNER</b>	<b>FID</b>	<b>FAZ</b>	<b>S</b>	<b>10000</b>	<b>7.97</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ASCEND PARTNERS	033	FDO	SS	65,500	43.99	n/a	2-Feb	3,275.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>FINL</b>	<b>B</b>	<b>20,000</b>	<b>16.64</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
COOKBIELER	028	FLO	B	44,900	24.51	n/a	n/a	1,796.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>FL</b>	<b>B</b>	<b>10,500</b>	<b>18.42</b>	<b>n/a</b>	<b>22-Dec</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>FOSL</b>	<b>S</b>	<b>20,000</b>	<b>79.47</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GEVO</b>	<b>B</b>	<b>1,000</b>	<b>15.00</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GEVO</b>	<b>S</b>	<b>1,000</b>	<b>15.90</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
MERRILL ASSET/BLACKROCK	266	GHL	S	4,600	75.00	n/a	n/a	184.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>GIII</b>	<b>S</b>	<b>14,300</b>	<b>37.16</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
TRUSTCO/SUNTRUST	040	GOL	B	5,000	13.78	n/a	n/a	175.00	3.5
PATTEN & PATTEN	025	HCF	B	5,000	7.53	n/a	n/a	250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>IWM</b>	<b>C</b>	<b>678,200</b>	<b>81.04</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
SOUTH POINT CAP	044	IWM	B	20,000	80.79	n/a	n/a	1,000.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>IWO</b>	<b>SS</b>	<b>697,000</b>	<b>90.90</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>IWS</b>	<b>C</b>	<b>175,000</b>	<b>47.24</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>IYC</b>	<b>C</b>	<b>471,200</b>	<b>70.69</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JNY</b>	<b>C</b>	<b>50,000</b>	<b>13.30</b>	<b>n/a</b>	<b>21-Jan</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JNY</b>	<b>C</b>	<b>50,000</b>	<b>13.31</b>	<b>n/a</b>	<b>21-Jan</b>	<b>non-brg</b>	<b>4.0</b>
GREEN ARROW DOUG	040	JOSB	S	16,000	44.95	n/a	n/a	640.00	4.0
THOMPSON SIEGAL&WALMSLEY	029	JOYG	S	46,995	92.33	n/a	16-Dec	1,845.33	4.0
GREEN ARROW DOUG	040	KMX	S	18,000	34.69	n/a	n/a	720.00	4.0
WALL STREET CAPITAL	084	KMX	B	114,300	34.60	n/a	n/a	5,143.50	4.5
<b>B BUCK CAPITAL MGMT</b>		<b>LEN</b>	<b>S</b>	<b>25,000</b>	<b>20.94</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
CATAPULT	040	LOW	S	65,000	24.51	n/a	13-Dec	2,600.00	4.0
SIGMA CAPITAL ASSOCIATES	041	LOW	S	150,000	24.42	n/a	13-Dec	5,250.00	3.5
TROUBH PART	070	LVS	B	10,000	46.29	n/a	9-Feb	500.00	5.0
TRUSTCO/SUNTRUST	040	MAS	S	133,771	14.78	n/a	n/a	4,681.99	3.5
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>MERC</b>	<b>B</b>	<b>500</b>	<b>10.18</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
KLEINHEINZ CAP PART	031	MMM	B	10,000	90.46	n/a	25-Jan	500.00	5.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>MON</b>	<b>B</b>	<b>1000</b>	<b>74.82</b>	<b>n/a</b>	<b>7-Feb</b>	<b>0.00</b>	<b>0.0</b>
1798 CAP/LOMBARD ASSET	040	MRO	B	5,000	46.39	n/a	n/a	250.00	5.0
BMO NESBITT BURNS	041	MWV	B	7,000	29.24	n/a	26-Jan	350.00	5.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
	BNP PARIBAS SEC	040	MWV	B	10,000	29.08	n/a	26-Jan	500.00	5.0	
	SOROS	036	NCS	S	46,919	13.54	n/a	n/a	1,876.76	4.0	
	BMO NESBITT BURNS	041	NDN	B	3,000	16.18	n/a	3-Feb	210.00	7.0	
	BNP PARIBAS SEC	040	NDN	S	25,000	16.18	n/a	3-Feb	1,250.00	5.0	
	SCOPUS FUND	041	NDN	B	5,000	16.15	n/a	3-Feb	200.00	4.0	
	TRUSTCO/SUNTRUST	040	PFJ	S	600	32.52	n/a	n/a	21.00	3.5	
B	BUCK CAPITAL MGMT		PLCE	B	20,000	43.43	n/a	13-Jan	non-brg	4.0	
B	BUCK CAPITAL MGMT		PNRA	SS	10,000	98.00	n/a	7-Feb	non-brg	2.5	
	TRUSTCO/SUNTRUST	040	PRU	S	25,950	63.02	n/a	n/a	908.27	3.5	
	LEVIN CAPITAL STRATEGIES	012	PVH	S	25,000	64.08	n/a	1-Feb	750.00	3.0	
	RBC CAPITAL MARKETS	040	PVH	B	23,500	63.95	n/a	1-Feb	940.00	4.0	
	SYSTEMATIC FINANCIAL MGT	035	PVH	S	161,900	63.63	n/a	1-Feb	4,857.00	3.0	
	MFP INVESTORS	085	RURL	B	40,800	14.81	n/a	n/a	2,040.00	5.0	
B	BUCK CAPITAL MGMT		SHOO	B	20,000	42.24	n/a	n/a	non-brg	2.5	
	WEDBUSH/PACIFIC GROWTH EQTY LLC	084	SKX		SS	12,500	23.26	n/a	n/a	625.00	5.0
	BASSWOOD PARTNERS	267	SNV	S	56,900	2.85	n/a	n/a	1,138.00	2.0	
	DAVIDSON KEMPNER ADVISOR	040	SPY	SS	23,500	132.29	n/a	n/a	1,175.00	5.0	
	SOUTH POINT CAP	044	SPY	B	20,000	132.10	n/a	n/a	1,000.00	5.0	

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LITESPEED	028	SSCC	S	25,000	39.57	n/a	7-Jan	750.00	3.0
MERRILL ASSET/BLACKROCK	266	TESO	B	19,100	15.55	n/a	n/a	764.00	4.0
GREEN ARROW DOUG	040	TIF	SS	16,000	62.79	n/a	n/a	640.00	4.0
Õ May Tang		TSLA	B	200	23.23	n/a	n/a	0.00	0.0
DAVIDSON KEMPNER ADVISOR	040	TYC	B	86,200	46.34	n/a	28-Jan	4,310.00	5.0
f CHRISTOPHER ROBERT C	FID	VFC	S	75	88.53	n/a	20-Jan	0.00	0.0
f DAVID GEORGE BUCK	FID	VNO	B	1000	87.46	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	V	S	2000	73.17	n/a	3-Feb	0.00	0.0
THIRD COAST CAPITAL	035	WBC	B	5,000	59.42	n/a	3-Feb	250.00	5.0
ß BUCK CAPITAL MGMT		WNC	S	50,000	12.68	n/a	n/a	non-brg	4.0
f EDWARD W WHEELER	FID	WNC	S	400	1.50	n/a	n/a	0.00	0.0
TRELLUS PARTNERS LP	028	WY	SS	35,000	24.24	n/a	4-Feb	1,750.00	5.0
f DAVID GEORGE BUCK	FID	XLF	S	5000	16.78	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		XRT	SS	675,000	49.12	n/a	n/a	non-brg	1.0
TOTAL (Trade Date):								101,051.46	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									101,051.46
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									101,051.46
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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 9-Feb.  
NONE

MRI Securities without Trade Activity on 9-Feb.  
AN, TEVA

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 2%  
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)**