



Daily Compliance Activity Report

Trade Date: 09/01/2010

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	50,000	4.62	n/a	n/a	non-brg	0.8
BUCK CAPITAL MGMT		AAPL	S	1,000	251.02	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		AEO	B	24,400	13.02	n/a	27-Aug	non-brg	2.0
BUCK CAPITAL MGMT		AEO	B	50,000	12.96	n/a	27-Aug	non-brg	4.0
BUCK CAPITAL MGMT		AEO	B	75,600	13.03	n/a	27-Aug	non-brg	4.0
CHRISTOPHER ROBERT C	FID	AMG	B	50	66.81	n/a	2-Mar	0.00	0.0
BUCK CAPITAL MGMT		ANN	B	20,000	16.08	n/a	n/a	non-brg	4.0
ADAGE CAPITAL MGMT	030	ARO	SS	300,000	21.83	n/a	27-Aug	9,000.00	3.0
PZENA INV ADV	044	BA	S	130,700	62.26	n/a	1-Sep	4,574.79	3.5
BUCK CAPITAL MGMT		BBBY	S	3,000	37.18	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		BKC	SS	30,000	18.97	n/a	25-Aug	non-brg	4.0
FIRST NEW YORK LEDDY	035	BSX	B	10,000	5.20	n/a	n/a	400.00	4.0
CASTLE ARK	031	BWA	B	128,770	45.61	n/a	2-Aug	6,438.50	5.0
BUCK CAPITAL MGMT		BYD	C	8,678	7.05	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT	001	CAB	B	20,000	16.10	n/a	n/a	800.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BAIRD INVESTMENT	047	CLB	B	5,075	80.48	n/a	22-Jul	253.75	5.0
LAGRANGE CAP ADV	048	CMG	SS	6,000	155.29	n/a	23-Jul	300.00	5.0
BROADARCH CAP/OLD NEWC	070	CNX	B	4,200	33.44	n/a	n/a	168.00	4.0
⚡ BUCK CAPITAL MGMT		COH	B	10,000	37.00	n/a	4-Aug	non-brg	4.0
⚡ BUCK CAPITAL MGMT		CROX	S	5,000	12.78	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		CSTR	B	10,000	42.21	n/a	n/a	non-brg	4.0
f JONATHAN RICHARD HAR	FID	CVGI	B	50	9.41	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	C	B	130	3.79	n/a	20-Aug	0.00	0.0
BROADARCH CAP/OLD NEWC	070	DAN	B	6,700	10.59	n/a	2-Aug	268.00	4.0
COLONIAL FUND LLC	036	DAN	B	25,000	10.55	n/a	2-Aug	750.00	3.0
L.R.BURTSCHY & CO	029	DAN	B	20,000	10.44	n/a	2-Aug	1,200.00	6.0
TRELLUS PARTNERS LP	028	DAN	B	36,400	10.54	n/a	2-Aug	1,820.00	5.0
⚡ BUCK CAPITAL MGMT		DIA	SS	20,000	102.78	n/a	n/a	non-brg	1.0
MILLENNIUM PARTNERS ICSUS	041	EP	B	100,000	11.85	n/a	n/a	5,000.00	5.0
⚡ BUCK CAPITAL MGMT		EXPR	S	20,000	13.90	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		EXPR	S	79,783	13.47	n/a	n/a	non-brg	4.0
f SCOTT L BRUNNER	FID	FAZ	B	1000	15.45	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		FL	B	20,000	12.14	n/a	20-Aug	non-brg	4.0
OZ MGMT	040	F	SS	178,000	11.75	n/a	31-Aug	5,340.00	3.0
SCOPUS FUND	041	F	B	50,000	11.66	n/a	31-Aug	2,500.00	5.0
ß BUCK CAPITAL MGMT		GES	B	10,000	33.65	n/a	26-Aug	non-brg	4.0
ß BUCK CAPITAL MGMT		GIII	S	10,000	28.69	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		GIII	S	10,000	28.69	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		GIII	S	20,000	28.51	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		GIII	S	21,500	28.29	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		GIII	S	3,000	28.75	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GIII	S	8,500	28.26	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		GIII	S	8,500	28.26	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		GIL	B	20,000	27.32	n/a	13-Aug	non-brg	0.8
CAMBIAR CAP	046	GLW	S	50,000	16.29	n/a	31-Aug	2,000.00	4.0
SAC CAPITAL/M GRONET	030	GPS	SS	30,000	17.22	n/a	n/a	1,050.00	3.5
THE JAY GOLDMAN	028	HTZ	S	25,000	8.83	n/a	n/a	1,000.00	4.0
FEDERATED INV/KAUFMAN	029	IL	S	86,000	13.08	n/a	n/a	4,730.01	5.5
BRIGADE CAPITAL MGMT	029	IWM	SS	100,000	61.96	n/a	n/a	3,000.00	3.0
ß BUCK CAPITAL MGMT		IWM	SS	32,000	62.49	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT	001	JCG	B	40,000	31.73	n/a	n/a	1,600.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		JCG	B	10,000	31.20	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		JNS	S	30,000	9.23	n/a	n/a	non-brg	3.0
⌘ BUCK CAPITAL MGMT		JNS	S	32,618	9.41	n/a	n/a	non-brg	3.0
LAGRANGE CAP ADV	048	JNS	B	10,000	9.26	n/a	n/a	500.00	5.0
⌘ BUCK CAPITAL MGMT		JOSB	S	3,000	40.68	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		JOSB	S	30,000	41.16	n/a	n/a	non-brg	4.0
BROADARCH CAP/OLD NEWC	070	KMT	B	9,900	26.07	n/a	30-Jul	396.00	4.0
⌘ BUCK CAPITAL MGMT		KSS	S	20,000	48.39	n/a	27-Aug	non-brg	4.0
⌘ BUCK CAPITAL MGMT		KSS	S	3,000	48.31	n/a	27-Aug	non-brg	4.0
SAC CAPITAL/M GRONET	030	KSS	B	30,000	48.43	n/a	27-Aug	1,050.00	3.5
f CHRISTOPHER ROBERT C	FID	LEA	B	75	76.54	n/a	4-Aug	0.00	0.0
⌘ BUCK CAPITAL MGMT		LL	B	20,000	21.18	n/a	n/a	non-brg	2.5
BNP PARIBAS SEC	040	LTD	S	34,239	24.37	n/a	n/a	1,369.56	4.0
SIGMA CAPITAL ASSOCIATES	041	LTD	B	50,000	24.25	n/a	n/a	1,750.00	3.5
CIRCLE T/SES PART	035	LVS	SS	25,000	28.46	n/a	1-Sep	1,000.00	4.0
1798 CAP/LOMBARD ASSET	040	MCP	B	10,000	17.27	n/a	n/a	500.00	5.0
⌘ BUCK CAPITAL MGMT		MDY	SS	15,000	135.54	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		MGM	C	5,444	9.26	n/a	12-Aug	non-brg	3.0
THE JAY GOLDMAN	028	MPCL	S	50,000	3.90	n/a	1-Sep	1,500.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		M	S	2,000	20.11	n/a	27-Aug	non-brg	4.0
BAIRD INVESTMENT	047	NDN	S	18,725	17.29	n/a	5-Aug	936.25	5.0
BNP PARIBAS SEC	040	NKE	B	10,000	71.83	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		NTY	S	9,600	54.44	n/a	n/a	non-brg	4.0
CRAMER ROSENTHAL/SCOTT	012	NXV	S	14,700	19.21	n/a	n/a	588.00	4.0
CHILTON CAPITAL MGMT.	036	OC	S	45,500	26.72	n/a	n/a	1,365.00	3.0
THE JAY GOLDMAN	028	OEH	S	10,000	9.49	n/a	n/a	400.00	4.0
CRAMER ROSENTHAL/SCOTT	012	OMC	S	11,000	36.09	n/a	n/a	440.00	4.0
CRAMER ROSENTHAL/SCOTT	012	PCP	S	1,100	119.70	n/a	23-Jul	44.00	4.0
1798 CAP/LOMBARD ASSET	040	PDE	B	5,000	25.22	n/a	n/a	250.00	5.0
PLATTE RIVER CAPITAL	240	PEP	S	10,160	64.92	n/a	n/a	406.40	4.0
B BUCK CAPITAL MGMT		PERY	B	10,000	19.33	n/a	n/a	non-brg	4.0
LAGRANGE CAP ADV	048	PFCB	SS	10,000	43.50	n/a	28-Jul	500.00	5.0
HARVEST MGMT	029	PLCE	B	5,000	44.85	n/a	19-Aug	250.00	5.0
SCOPUS FUND	041	PLCE	B	25,000	44.70	n/a	19-Aug	1,250.00	5.0
f MANNY I KORMAN	FID	PM	S	30	1.53	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	PVH	B	10,000	47.38	n/a	19-Jul	400.00	4.0
BNP PARIBAS SEC	040	RL	B	10,000	79.00	n/a	5-Aug	400.00	4.0
ARMATURE CAPITAL	041	ROK	B	20,000	52.92	n/a	n/a	800.00	4.0
ß BUCK CAPITAL MGMT		ROST	SS	30,000	51.14	n/a	n/a	non-brg	2.5
BANK OF AMERICA/MERRILL	259	RRR	B	1,200	6.19	n/a	23-Jul	36.00	3.0
TRUSTCO/SUNTRUST	040	RRR	B	25,000	6.44	n/a	23-Jul	875.02	3.5
ß BUCK CAPITAL MGMT		RVI	S	5,000	9.03	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		RVI	S	56,400	8.93	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		RVI	S	8,000	9.01	n/a	n/a	non-brg	0.8
GREEN ARROW DOUG	040	SGMS	B	25,000	10.50	n/a	n/a	1,250.00	5.0
f FRANCIS MICHAEL MCCA	FID	SKX	B	200	25.97	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SPY	SS	18,000	108.48	n/a	n/a	non-brg	1.0
SONTERRA CAP	041	SSCC	B	35,000	17.74	n/a	26-Aug	1,400.00	4.0
f CHRISTOPHER ROBERT C	FID	TEN	S	150	26.68	n/a	n/a	0.00	0.0
SCHOTTENFELD ASSOC	041	TGT	B	20,000	52.57	n/a	27-Aug	600.00	3.0
WEINTRAUB CAPITAL MGT.	040	TIN	B	300,000	16.71	n/a	26-Aug	12,000.00	4.0
ß BUCK CAPITAL MGMT		TJX	S	2,000	40.90	n/a	27-Aug	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HOOVER INV. MGMT	033	TLB	B	70,000	10.74	n/a	n/a	2,800.00	4.0
⌘ BUCK CAPITAL MGMT		TSCO	SS	10,000	70.11	n/a	n/a	non-brg	4.0
MORRISON/TLB/BAYPOINT	040	TTC	S	9,752	51.51	n/a	n/a	487.60	5.0
⌘ BUCK CAPITAL MGMT		UAUA	S	20,000	21.85	n/a	n/a	non-brg	0.8
⌘ BUCK CAPITAL MGMT		USTR	B	20,204	47.39	n/a	n/a	non-brg	4.0
BALYASNY ASSET MGMT	044	VFC	SS	15,000	73.07	n/a	23-Jul	750.00	5.0
GREEN ARROW DOUG	040	WEN	S	25,000	4.10	n/a	13-Aug	1,250.00	5.0
⌘ BUCK CAPITAL MGMT		WFT	B	25,000	15.18	n/a	n/a	non-brg	4.0
BALYASNY ASSET MGMT	044	WRC	B	20,000	44.47	n/a	6-Aug	1,000.00	5.0
⌘ BUCK CAPITAL MGMT	001	WRC	S	23,700	44.46	n/a	6-Aug	948.00	4.0
⌘ BUCK CAPITAL MGMT		WRC	S	5,000	44.41	n/a	6-Aug	non-brg	4.0
⌘ BUCK CAPITAL MGMT		WYNN	C	40,000	80.76	n/a	1-Sep	non-brg	2.5
⌘ BUCK CAPITAL MGMT		XLF	SS	150,000	14.09	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		XRT	C	26,200	37.23	n/a	n/a	non-brg	0.8
⌘ BUCK CAPITAL MGMT		XRT	SS	55,000	37.35	n/a	n/a	non-brg	1.0
OMEGA ADVISORS	041	YHOO	S	270,000	13.23	n/a	n/a	10,800.00	4.0

TOTAL (Trade Date):

102,884.88

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/31	NORTHWESTERN MUTUAL LIFE	047	FCX	B	8,000	72.10	n/a	n/a	320.00 4.0
AO,CXL	08/31	NORTHWESTERN MUTUAL LIFE	047	FCX	B	8,000	72.10	n/a	n/a	320.00 4.0
AO,	08/31	NORTHWESTERN MUTUAL LIFE	047	NEM	B	10,000	61.40	n/a	n/a	400.00 4.0
AO,CXL	08/31	NORTHWESTERN MUTUAL LIFE	047	NEM	B	10,000	61.40	n/a	n/a	400.00 4.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date) :	102,884.88
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS :	102,884.88
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MRI Securities with Trade Activity on 1-Sep. NONE
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MRI Securities without Trade Activity on 1-Sep. NONE

BRG comm. as a % of BCM Total Comm. paid. T-Date = 11% YTD = 11%
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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)