



Daily Compliance Activity Report

Trade Date: 01/08/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAIRD INVESTMENT	047	ABB	B	4,760	20.43	n/a	n/a	238.00	5.0
BAIRD INVESTMENT	047	ADBE	B	3,110	36.95	n/a	n/a	155.50	5.0
f DAVID GEORGE BUCK	FID	AET	S	2500	32.74	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		AGCO	S	45,300	35.30	n/a	4-Jan	non-brg	4.0
KAILIX INV ADV	048	AGCO	S	10,000	35.30	n/a	4-Jan	500.00	5.0
BAIRD INVESTMENT	047	AGN	B	2,005	60.39	n/a	8-Jan	100.25	5.0
f ANDREW MARK GRONET	FID	AGTHX	S	35	28.09	n/a	n/a	0.00	0.0
f SARAH ELIZABETH GRON	FID	AGTHX	S	35	28.09	n/a	n/a	0.00	0.0
f TIMOTHY MICHAEL GRON	FID	AGTHX	S	35	28.09	n/a	n/a	0.00	0.0
KAILIX INV ADV	048	AKS	S	10,000	25.27	n/a	n/a	500.00	5.0
f CICILY S BACKUS	FID	ALN	B	3000	3.17	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	ALN	B	1000	3.09	n/a	n/a	0.00	0.0
f LEE F BACKUS	FID	ALN	B	2000	3.14	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	047	ALTR	B	4,115	22.74	n/a	n/a	205.75	5.0
LAGRANGE CAP ADV	048	ALV	SS	5,000	45.10	n/a	4-Jan	250.00	5.0
BAIRD INVESTMENT	047	AMAT	B	2,460	14.18	n/a	n/a	123.00	5.0
BAIRD INVESTMENT	047	AMZN	B	355	131.62	n/a	n/a	17.75	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COBALT	041	ANF	B	20,000	32.26	n/a	8-Jan	1,000.00	5.0
DIAMONDBACK CAP MGMT	232	ANF	B	30,000	33.36	n/a	8-Jan	1,500.00	5.0
RBC CAPITAL MARKETS	040	ANF	B	5,000	33.41	n/a	8-Jan	200.00	4.0
OZ MGMT	040	AN	S	75,000	20.60	n/a	4-Jan	2,250.00	3.0
BAIRD INVESTMENT	047	APC	B	1,085	66.57	n/a	4-Jan	54.25	5.0
B BUCK CAPITAL MGMT		ARO	B	30,000	33.51	n/a	8-Jan	non-brg	4.0
f DAVID GEORGE BUCK	FID	ART	S	287	26.05	n/a	8-Jan	0.00	0.0
BAIRD INVESTMENT	047	A	B	2,425	30.73	n/a	n/a	121.25	5.0
BAIRD INVESTMENT	047	BAX	B	2,885	59.14	n/a	n/a	144.25	5.0
MERRILL ASSET/BLACKROCK	214	BKC	S	42,550	18.75	n/a	4-Jan	1,702.00	4.0
BAIRD INVESTMENT	047	BRCM	B	1,690	30.81	n/a	n/a	84.50	5.0
BAIRD INVESTMENT	047	BSX	B	7,820	9.12	n/a	n/a	391.00	5.0
B BUCK CAPITAL MGMT		BWIN AV	B	10,000	65.51	n/a	n/a	non-brg	9.8
f FRANCIS MICHAEL MCCA	FID	BWS	B	400	10.32	n/a	n/a	0.00	0.0
LEVEL GLOBAL SHARED ACCT	257	CAKE	S	50,000	21.28	n/a	4-Jan	1,500.00	3.0
CATAPULT	040	CAT	SS	10,000	59.70	n/a	21-Oct	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	CAT	B	25,000	59.99	n/a	21-Oct	1,250.00	5.0
NEW JERSEY DIV OF INV.	030	CCI	S	100,000	38.87	n/a	n/a	4,000.00	4.0
BUCK CAPITAL MGMT	001	CHA	B	5,000	44.39	n/a	n/a	200.00	4.0
f KAREN F LEDDY	FID	CHCG	B	6000	0.54	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	047	CHRW	B	2,100	57.37	n/a	n/a	105.00	5.0
RBC CAPITAL MARKETS	040	CHS	B	10,000	14.43	n/a	n/a	400.00	4.0
DIAMONDBACK CAP MGMT	232	CMI	SS	20,000	53.68	n/a	4-Jan	1,000.00	5.0
WEISS PECK	040	CMI	C	4,900	52.83	n/a	4-Jan	245.00	5.0
ß BUCK CAPITAL MGMT		CNK	B	50,000	14.77	n/a	n/a	non-brg	4.0
f JOEL GIFFORD TISS	FID	CNW	B	2000	32.85	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	047	COST	B	965	59.30	n/a	n/a	48.25	5.0
NEUBERGER BERMAN	036	COV	B	127,365	48.83	n/a	n/a	5,094.60	4.0
ß BUCK CAPITAL MGMT		CSTR	B	10,000	28.79	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		CVS	S	20,000	33.92	n/a	n/a	non-brg	4.0
COBALT	041	CVS	S	50,000	34.25	n/a	n/a	2,500.00	5.0
DEFIANCE ASSET	028	CXO	B	8,500	47.02	n/a	n/a	340.00	4.0
f CICYLY S BACKUS	FID	C	B	5000	3.55	n/a	7-Jan	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	JONATHAN RICHARD HAR	FID	C	B	685	3.66	n/a	7-Jan	0.00	0.0
f	LEE F BACKUS	FID	C	B	10000	3.56	n/a	7-Jan	0.00	0.0
B	BUCK CAPITAL MGMT		DAL	S	25,000	12.78	n/a	n/a	non-brg	4.0
	BENCHMARK	025	DAN	B	25,000	11.91	n/a	6-Jan	1,000.00	4.0
	GLOBAL 56 LLC	060	DAN	B	2,500	11.82	n/a	6-Jan	125.00	5.0
	MILLENIUUM PARTNERS	028	DAN	B	50,000	11.81	n/a	6-Jan	2,000.00	4.0
	THIRD COAST CAPITAL	035	DAN	B	15,000	11.80	n/a	6-Jan	750.00	5.0
B	BUCK CAPITAL MGMT		DBD	S	1,200	30.50	n/a	23-Nov	non-brg	4.0
B	BUCK CAPITAL MGMT		DBD	S	1,200	30.50	n/a	23-Nov	non-brg	4.0
B	BUCK CAPITAL MGMT		DBD	S	18,800	30.52	n/a	23-Nov	non-brg	2.0
B	BUCK CAPITAL MGMT		DBD	S	80,000	30.80	n/a	23-Nov	non-brg	4.0
B	BUCK CAPITAL MGMT		DBD	S	80,000	30.80	n/a	23-Nov	non-brg	4.0
B	BUCK CAPITAL MGMT		DBRN	S	20,000	24.98	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		DECK	S	10,000	109.89	n/a	n/a	non-brg	4.0
f	CHRISTOPHER ROBERT C	FID	DFS	S	300	15.07	n/a	8-Jan	0.00	0.0
	BAIRD INVESTMENT	047	DHR	B	1,885	76.61	n/a	n/a	94.25	5.0
	BAIRD INVESTMENT	047	DIS	B	2,290	31.71	n/a	n/a	114.50	5.0
f	COLE THOMAS KAICHER	FID	DIS	S	12	31.70	n/a	n/a	0.00	0.0
f	DAVID GEORGE BUCK	FID	DRNYX	B	1711	14.61	n/a	n/a	0.00	0.0
f	JASON ERIC COHEN	FID	DRWI	S	150	13.54	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BAIRD INVESTMENT	047	ECL	B	4,940	45.04	n/a	7-Jan	247.00	5.0
CATAPULT	040	ECL	SS	36,648	44.97	n/a	7-Jan	1,465.92	4.0
BAIRD INVESTMENT	047	EL	B	1,905	48.85	n/a	4-Jan	95.25	5.0
BAIRD INVESTMENT	047	EMC	B	7,060	17.67	n/a	n/a	353.00	5.0
BMO NESBITT BURNS	041	ENDP	B	7,000	20.42	n/a	8-Jan	350.00	5.0
f DAVID GEORGE BUCK	FID	EPP	B	1500	43.14	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	EPP	B	400	43.16	n/a	n/a	0.00	0.0
FIRST NEW YORK LEDDY	035	ETFC	B	10,000	1.80	n/a	n/a	600.00	6.0
CATAPULT	040	ETN	B	30,000	65.76	n/a	4-Jan	1,200.00	4.0
BAIRD INVESTMENT	047	FAST	B	4,310	46.66	n/a	n/a	215.50	5.0
B BUCK CAPITAL MGMT		FINL	S	34,700	11.98	n/a	n/a	non-brg	4.0
f CICILY S BACKUS	FID	FOR	S	2000	22.53	n/a	4-Jan	0.00	0.0
f FRANCIS MICHAEL MCCA	FID	FOR	S	500	22.40	n/a	4-Jan	0.00	0.0
f LEE F BACKUS	FID	F	S	2000	11.67	n/a	6-Jan	0.00	0.0
BUCK CAPITAL MGMT	001	GCO	S	20,000	29.21	n/a	n/a	800.00	4.0
f CICILY S BACKUS	FID	GE	B	2000	16.54	n/a	n/a	0.00	0.0
CATAPULT	040	GGC	B	12,500	18.11	n/a	n/a	500.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f DAVID GEORGE BUCK	FID	GILD	B	1000	44.71	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		GRMN	SS	20,000	34.00	n/a	n/a	non-brg	4.0
GRANITE CAPITAL	045	HAS	SS	25,000	31.51	n/a	n/a	1,250.00	5.0
B BUCK CAPITAL MGMT		HGG	S	31,600	23.89	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		HGG	S	8,400	23.55	n/a	n/a	non-brg	0.8
NEUBERGER BERMAN	036	HMSY	S	26,600	49.52	n/a	n/a	1,064.00	4.0
KAILIX INV ADV	048	HON	B	10,000	41.95	n/a	16-Dec	500.00	5.0
B BUCK CAPITAL MGMT		ICON	S	20,000	13.23	n/a	n/a	non-brg	4.0
HIGHBRIDGE CAP	041	IP	SS	30,000	27.00	n/a	7-Jan	1,200.00	4.0
BAIRD INVESTMENT	047	IRM	B	5,080	24.04	n/a	n/a	254.00	5.0
KAILIX INV ADV	048	IR	B	10,000	36.40	n/a	4-Jan	500.00	5.0
f DAVID GEORGE BUCK	FID	ISTA	B	5000	4.33	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	IWM	S	1000	64.15	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	IWM	S	300	64.15	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		JACK	B	30,000	20.21	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		JOSB	S	10,000	44.30	n/a	n/a	non-brg	0.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	JWN	B	26,300	37.99	n/a	8-Jan	1,052.00	4.0
BMO NESBITT BURNS	041	KG	S	12,000	12.61	n/a	8-Jan	600.00	5.0
⌘ BUCK CAPITAL MGMT		KMT	S	5,000	28.54	n/a	18-Nov	non-brg	2.0
⌘ BUCK CAPITAL MGMT		KMT	S	55,000	28.53	n/a	18-Nov	non-brg	4.0
BNP PARIBAS SEC	040	LEA	B	5,000	73.01	n/a	8-Jan	200.00	4.0
CHARTER OAK	033	LEA	B	50,000	72.88	n/a	8-Jan	2,500.00	5.0
ISLE RIDGE PARTNERS	041	LEA	B	10,000	72.79	n/a	8-Jan	400.00	4.0
PORTER-ORLIN-FELDMAN	044	LEA	B	20,000	72.99	n/a	8-Jan	1,000.00	5.0
BUCK CAPITAL MGMT	001	LL	S	10,000	26.85	n/a	n/a	400.00	4.0
⌘ BUCK CAPITAL MGMT		LL	S	20,000	27.41	n/a	n/a	non-brg	0.8
GRUBER MACBAINE	033	LOW	B	25,000	23.50	n/a	16-Nov	1,000.00	4.0
SASCO	239	LTD	S	93,050	19.50	n/a	n/a	3,722.00	4.0
RBC CAPITAL MARKETS	040	MCD	B	5,000	61.84	n/a	4-Jan	200.00	4.0
WEINTRAUB CAPITAL MGT.	040	MDR	B	50,000	26.01	n/a	n/a	2,000.00	4.0
BUCK CAPITAL MGMT	001	MGM	SS	20,000	10.62	n/a	6-Nov	800.00	4.0
MAIRS AND POWER INV	030	MMM	S	10,000	83.81	n/a	7-Jan	500.00	5.0
KINGDON ASSET MGMT	041	MOT	B	200,000	7.77	n/a	n/a	6,000.00	3.0
BUCK CAPITAL MGMT	001	MW	SS	10,000	21.82	n/a	n/a	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		M	B	29,400	17.04	n/a	8-Jan	non-brg	4.0
KLEINHEINZ CAP PART	031	NVLS	B	50,000	23.60	n/a	n/a	2,500.00	5.0
f ANDREW MARK GRONET	FID	NYB	B	100	14.92	8-Jan	8-Jan	0.00	0.0
f DAVID GEORGE BUCK	FID	NYB	B	3000	14.89	8-Jan	8-Jan	0.00	0.0
f MARK ANTHONY GRONET	FID	NYB	B	1000	14.92	8-Jan	8-Jan	0.00	0.0
f SARAH ELIZABETH GRON	FID	NYB	B	100	14.92	8-Jan	8-Jan	0.00	0.0
BAIRD INVESTMENT	047	ORLY	B	5,985	38.28	n/a	n/a	299.25	5.0
HOLDEN CAPITAL MGMT	035	OZM	B	20,000	14.79	n/a	8-Jan	1,000.00	5.0
FRIESS MGMT	033	PAG	B	240,100	16.61	n/a	4-Jan	9,604.00	4.0
BMO NESBITT BURNS	041	PKG	SS	25,000	24.55	n/a	7-Jan	1,250.00	5.0
B BUCK CAPITAL MGMT		PKG	S	114,980	24.49	n/a	7-Jan	non-brg	4.0
SCOPUS FUND	041	PKG	SS	62,500	24.31	n/a	7-Jan	3,125.00	5.0
THOMPSON SIEGAL&WALMSLEY	029	PKG	S	19,600	24.19	n/a	7-Jan	392.00	2.0
METROPOLITAN CAPITAL	044	PLCE	B	5,500	33.69	n/a	8-Jan	275.00	5.0
B BUCK CAPITAL MGMT		PRTY LN	B	50,000	4.46	n/a	n/a	non-brg	0.7
B BUCK CAPITAL MGMT		PSS	S	20,000	22.59	n/a	n/a	non-brg	4.0
f PEARL LUCHANSKY	FID	RF	B	1000	6.22	n/a	n/a	0.00	0.0
SONTERRA CAP	041	SAI	SS	25,000	19.05	n/a	n/a	1,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RAINIER INV MGMT	035	SF	B	11,000	56.29	n/a	n/a	550.00	5.0
BUCK CAPITAL MGMT	001	SIG	B	100,000	27.61	n/a	n/a	4,000.00	4.0
⌘ BUCK CAPITAL MGMT		SKX	S	10,000	29.58	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SPLS	SS	20,000	25.19	n/a	n/a	non-brg	4.0
f FRANCIS MICHAEL MCCA	FID	SRI	B	500	8.97	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	TIN	B	50,000	20.93	n/a	7-Jan	2,500.00	5.0
GALT INVESTMENT	041	TITN	B	25,000	12.99	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	TJX	B	13,100	38.20	n/a	8-Jan	524.00	4.0
⌘ BUCK CAPITAL MGMT		UAUA	S	25,000	13.68	n/a	n/a	non-brg	4.0
CATAPULT	040	UTX	SS	40,000	70.61	n/a	n/a	1,600.00	4.0
⌘ BUCK CAPITAL MGMT		VLCM	C	30,064	17.02	n/a	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		VLCM	C	8,500	16.98	n/a	n/a	non-brg	0.8
ROSEDALE CAPITAL	046	VOD	B	10,000	21.93	n/a	n/a	500.00	5.0
f DAVID GEORGE BUCK	FID	VRTX	B	1000	40.49	n/a	n/a	0.00	0.0
f ABRAM M CHAPPELL	FID	VTNC	B	110	9.71	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	WCRX	SS	6,000	28.46	n/a	8-Jan	300.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KAILIX INV ADV	048	WLT	S	10,000	80.98	n/a	n/a	500.00	5.0
f CHRISTOPHER ROBERT C	FID	WMG	S	750	5.85	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		WRC	S	20,000	46.28	n/a	4-Jan	non-brg	4.0
TOTAL (Trade Date):								93,242.02	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	01/06	DSG CAPITAL	225	DAN	B	25,000	11.96	n/a	6-Jan	750.00 3.0
AO,CXL	01/06	DSG CAPITAL	225	DAN	B	25,000	11.96	n/a	6-Jan	1250.00 5.0
AO,CXL	01/07	HIGHBRIDGE CAP	041	IP	SS	44,714	26.76	n/a	7-Jan	1788.56 4.0
AO,CRT	01/07	HIGHBRIDGE CAP	041	IP	SS	44,714	26.76	n/a	7-Jan	1788.56 4.0
AO,	01/07	OZ MGMT	040	MTW	S	150,000	12.44	n/a	4-Jan	4500.00 3.0
AO,CXL	01/07	FRIESS MGMT	033	PAG	B	7,200	16.47	n/a	4-Jan	288.00 4.0
AO,CRT	01/07	FRIESS MGMT	033	PAG	B	7,200	16.47	n/a	4-Jan	288.00 4.0
TOTAL (AO, CXL, CRT) :										4,000.00

TOTAL (Trade Date):	93,242.02
TOTAL (AO, CXL, CRT):	4,000.00

TOTAL (RUN DATE) / NFS:	97,242.02
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MRI Securities with Trade Activity on 8-Jan.

NYB

MRI Securities without Trade Activity on 8-Jan.

MYL, AF

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

T-Date = 19%

YTD = 13%

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)