



# Daily Compliance Activity Report

Trade Date: 02/03/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PERRY PARTNERS	085	AES	B	53,100	12.39	n/a	n/a	2,655.00	5.0
CASTLEROCK	040	ANN	SS	69,266	23.03	n/a	n/a	2,770.64	4.0
SURSUM CAPITAL	215	ANN	SS	10,000	22.63	n/a	n/a	300.00	3.0
CIRCLE T/SES PART	035	AN	SS	10,000	29.87	n/a	31-Jan	400.00	4.0
HOLLIS CAPITAL	033	AN	SS	5,000	30.99	n/a	31-Jan	250.00	5.0
SURSUM CAPITAL	215	ARO	S	10,000	24.65	n/a	28-Jan	300.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>ASNA</b>	<b>S</b>	<b>105,000</b>	<b>29.06</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ASNA</b>	<b>S</b>	<b>20,000</b>	<b>28.50</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SURSUM CAPITAL	215	ASNA	SS	10,000	28.19	n/a	n/a	300.00	3.0
HUNTER GLOBAL INVESTOR	028	AXL	B	116,000	14.33	n/a	31-Jan	4,060.00	3.5
<b>B BUCK CAPITAL MGMT</b>		<b>BONT</b>	<b>S</b>	<b>13,500</b>	<b>12.50</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>BP</b>	<b>B</b>	<b>500</b>	<b>46.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MERRILL ASSET/BLACKROCK	266	BRS	B	2,371	46.76	n/a	n/a	94.84	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>CACH</b>	<b>S</b>	<b>13,982</b>	<b>3.70</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
RAINIER INV MGMT	035	CELG	S	66,260	49.97	n/a	n/a	2,650.40	4.0
CASTLEROCK	040	CHS	SS	114,750	11.15	n/a	5-Feb	4,590.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SONTERRA CAP	041	CNX	B	10,000	48.35	n/a	n/a	400.00	4.0
MERRILL ASSET/BLACKROCK	266	CRR	S	300	117.50	n/a	11-Jan	12.00	4.0
<b>f BARBARA S LEDDY</b>	<b>FID</b>	<b>CVGI</b>	<b>B</b>	<b>600</b>	<b>16.07</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>CVGI</b>	<b>B</b>	<b>600</b>	<b>16.19</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f SEAN F LEDDY</b>	<b>FID</b>	<b>CVGI</b>	<b>B</b>	<b>200</b>	<b>16.01</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f THOMAS JOHN LEDDY</b>	<b>FID</b>	<b>CVGI</b>	<b>B</b>	<b>250</b>	<b>16.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f THOMAS MACTAGGART LE</b>	<b>FID</b>	<b>CVGI</b>	<b>B</b>	<b>350</b>	<b>16.07</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SOROS	036	CVS	B	302,300	33.15	n/a	n/a	12,092.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DDS</b>	<b>S</b>	<b>20,000</b>	<b>40.99</b>	<b>n/a</b>	<b>n/a</b>	<b>600.00</b>	<b>3.0</b>
HILLTOP PARK ASSOC	086	DIS	S	100,000	40.41	n/a	n/a	5,000.00	5.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>DJP</b>	<b>B</b>	<b>1000</b>	<b>49.76</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
HILLIARD LYONS CAP MGMT	047	DOV	S	907	64.86	n/a	n/a	27.21	3.0
COOPER CREEK PART	028	DPZ	SS	15,000	16.20	n/a	7-Jan	600.00	4.0
KENNEDY CAPITAL	046	DPZ	S	31,300	16.12	n/a	7-Jan	1,252.00	4.0
MA CAPITAL MGMT/MELLON ADV041	DPZ	B		4,000	16.55	n/a	7-Jan	200.00	5.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>ESRX</b>	<b>B</b>	<b>500</b>	<b>57.09</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f SCOTT L BRUNNER</b>	<b>FID</b>	<b>FAZ</b>	<b>S</b>	<b>7500</b>	<b>8.32</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>FE</b>	<b>B</b>	<b>10000</b>	<b>39.92</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f</b>	<b>JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>FE</b>	<b>S</b>	<b>10000</b>	<b>40.04</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
	RAINIER INV MGMT	035	FLS	S	43,140	127.63	n/a	n/a	1,725.60	4.0
	FORWARD MGMT	033	FL	S	125,200	17.69	n/a	22-Dec	5,008.00	4.0
<b>B</b>	<b>BUCK CAPITAL MGMT</b>		<b>FOSL</b>	<b>S</b>	<b>10,000</b>	<b>74.05</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
	MILLENIUM PARTNERS	028	F	B	40,000	15.58	n/a	2-Feb	1,600.00	4.0
	THOMAS WEISEL ASSET MGMT	035	GES	B	12,240	43.95	n/a	20-Jan	367.20	3.0
	SURSUM CAPITAL	215	GET	S	10,000	34.84	n/a	n/a	300.00	3.0
<b>B</b>	<b>BUCK CAPITAL MGMT</b>		<b>GIII</b>	<b>B</b>	<b>1,000</b>	<b>36.54</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>B</b>	<b>BUCK CAPITAL MGMT</b>		<b>GIII</b>	<b>S</b>	<b>10,000</b>	<b>37.06</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>B</b>	<b>BUCK CAPITAL MGMT</b>		<b>GIII</b>	<b>S</b>	<b>11,050</b>	<b>37.16</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b>	<b>BUCK CAPITAL MGMT</b>		<b>GMCR</b>	<b>S</b>	<b>50,000</b>	<b>39.01</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>f</b>	<b>MANNY I KORMAN</b>	<b>FID</b>	<b>GMCR</b>	<b>S</b>	<b>50</b>	<b>1.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
	JANA CAPITAL	044	GM	S	253,000	35.32	n/a	2-Feb	10,120.00	4.0
	SANDLER CAPITAL	028	HAR	S	50,000	49.88	3-Feb	3-Feb	3,000.00	6.0
	BMO NESBITT BURNS	041	IP	B	25,000	28.69	3-Feb	3-Feb	1,250.00	5.0
	CSFB GLOBAL PROPRIETARY	041	IP	B	65,000	29.69	3-Feb	3-Feb	3,250.00	5.0
	DC CAPITAL	044	IP	B	100,000	28.99	3-Feb	3-Feb	4,000.00	4.0
	TRELLUS PARTNERS LP	028	IP	B	13,000	29.06	3-Feb	3-Feb	650.00	5.0
	WEINTRAUB CAPITAL MGT.	040	IP	B	125,000	29.23	3-Feb	3-Feb	5,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>JCI</b>	<b>B</b>	<b>150</b>	<b>37.40</b>	<b>n/a</b>	<b>20-Jan</b>	<b>0.00</b>	<b>0.0</b>
SURSUM CAPITAL	215	JNY	S	50,000	12.65	n/a	21-Jan	1,500.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>JOSB</b>	<b>S</b>	<b>20,000</b>	<b>43.29</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JWN</b>	<b>S</b>	<b>20,000</b>	<b>42.30</b>	<b>n/a</b>	<b>28-Jan</b>	<b>600.00</b>	<b>3.0</b>
GREEN ARROW DOUG	040	JWN	SS	40,000	41.96	n/a	28-Jan	1,600.00	4.0
SOROS	036	KGC	B	250,000	17.28	n/a	n/a	10,000.00	4.0
SAC CHICAGO ANDREW	031	KR	SS	75,000	21.90	n/a	n/a	2,625.00	3.5
CAERUS GLOBAL	041	KSS	B	20,000	50.99	n/a	28-Jan	800.00	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>K</b>	<b>S</b>	<b>1500</b>	<b>52.47</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SOROS	036	K	C	79,800	52.53	n/a	n/a	3,192.00	4.0
<b>f HARALAMBOS EFSTATHI</b>	<b>FID</b>	<b>LAZ</b>	<b>S</b>	<b>200</b>	<b>44.70</b>	<b>3-Feb</b>	<b>3-Feb</b>	<b>0.00</b>	<b>0.0</b>
IRIDIAN ASSET MGMT.	036	LSI	B	35,270	6.33	n/a	n/a	1,763.50	5.0
<b>f BERNA GABRIELLE BARS</b>	<b>FID</b>	<b>LSTZA</b>	<b>B</b>	<b>10</b>	<b>6.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SURSUM CAPITAL	215	LTD	SS	10,000	30.89	n/a	n/a	300.00	3.0
SURSUM CAPITAL	215	MCD	B	5,000	74.10	n/a	24-Jan	150.00	3.0
SERENGETI MGMT	030	MCO	SS	150,000	29.71	n/a	n/a	7,500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f</b> CHRISTOPHER ROBERT C	<b>FID</b>	<b>MMR</b>	<b>S</b>	<b>300</b>	<b>16.79</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> JOSEPH CIRO AMATURO	<b>FID</b>	<b>MMR</b>	<b>B</b>	<b>5000</b>	<b>16.64</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> MARK ANTHONY GRONET	<b>FID</b>	<b>MMR</b>	<b>S</b>	<b>3000</b>	<b>16.83</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FORWARD MGMT	033	MOD	B	96,700	16.69	n/a	n/a	3,868.00	4.0
BNP PARIBAS SEC	040	MW	B	20,000	27.46	n/a	n/a	1,000.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>M</b>	<b>B</b>	<b>40,000</b>	<b>22.10</b>	<b>n/a</b>	<b>28-Jan</b>	<b>1,200.00</b>	<b>3.0</b>
KLEINHEINZ CAP PART	031	M	B	30,000	22.50	n/a	28-Jan	1,500.00	5.0
BAIRD INVESTMENT	047	NDN	S	117,948	15.07	n/a	3-Feb	5,897.40	5.0
MA CAPITAL MGMT/MELLON ADV	041	NDN	B	2,200	15.33	n/a	3-Feb	110.00	5.0
FORWARD MGMT	033	NETL	S	95,700	39.23	n/a	n/a	3,828.00	4.0
FORWARD MGMT	033	NTCT	B	9,200	23.96	n/a	n/a	368.00	4.0
GREEN ARROW DOUG	040	ODP	S	12,500	5.48	n/a	n/a	625.00	5.0
HILLTOP PARK ASSOC	086	ODP	B	100,000	5.46	n/a	n/a	4,000.00	4.0
CHART WELL ADV	098	ORCL	B	14,220	33.06	n/a	n/a	568.80	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>OXM</b>	<b>B</b>	<b>10,000</b>	<b>24.05</b>	<b>n/a</b>	<b>n/a</b>	<b>300.00</b>	<b>3.0</b>
LAGRANGE CAP ADV	048	PAG	S	166,700	17.06	n/a	31-Jan	8,335.00	5.0
<b>B</b> <b>BUCK CAPITAL MGMT</b>		<b>PCAR</b>	<b>B</b>	<b>20,000</b>	<b>50.05</b>	<b>n/a</b>	<b>2-Feb</b>	<b>non-brg</b>	<b>4.0</b>
HILLIARD LYONS CAP MGMT	047	PCAR	B	1,154	50.48	n/a	2-Feb	34.62	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>PFE</b>	<b>B</b>	<b>1000</b>	<b>19.09</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>PFE</b>	<b>S</b>	<b>20000</b>	<b>18.86</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SURSUM CAPITAL	215	PSS	SS	10,000	20.76	n/a	n/a	300.00	3.0
FORWARD MGMT	033	RADS	S	76,600	18.67	n/a	n/a	3,064.00	4.0
RBC CAPITAL MARKETS	040	ROST	S	4,500	68.69	n/a	n/a	180.00	4.0
<b>f BARBARA S LEDDY</b>	<b>FID</b>	<b>RRR</b>	<b>B</b>	<b>800</b>	<b>12.52</b>	<b>n/a</b>	<b>12-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>RRR</b>	<b>B</b>	<b>175</b>	<b>12.41</b>	<b>n/a</b>	<b>12-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>RRR</b>	<b>B</b>	<b>1700</b>	<b>12.51</b>	<b>n/a</b>	<b>12-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>f RAVI SADARANGANI</b>	<b>FID</b>	<b>RRR</b>	<b>B</b>	<b>2000</b>	<b>12.76</b>	<b>n/a</b>	<b>12-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>R</b>	<b>S</b>	<b>100</b>	<b>2.18</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FORWARD MGMT	033	SBNY	S	46,500	52.12	n/a	n/a	1,860.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>SHLD</b>	<b>SS</b>	<b>20,000</b>	<b>81.77</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
FORWARD MGMT	033	SLGN	B	23,800	37.50	n/a	n/a	952.00	4.0
FORWARD MGMT	033	SONO	S	10,700	33.78	n/a	n/a	428.00	4.0
<b>f ANDREW SINCLAIR</b>	<b>FID</b>	<b>SPY</b>	<b>B</b>	<b>35</b>	<b>1.52</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f ANDREW SINCLAIR</b>	<b>FID</b>	<b>SPY</b>	<b>S</b>	<b>35</b>	<b>1.65</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>SRI</b>	<b>S</b>	<b>800</b>	<b>14.53</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LITESPEED	028	SSCC	S	115,000	38.31	n/a	7-Jan	3,450.00	3.0

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CARDINAL CAPITAL	044	SSI	B	9,200	16.12	n/a	n/a	460.00	5.0
MERRILL ASSET/BLACKROCK	266	TESO	B	13,492	15.72	n/a	n/a	539.68	4.0
SURSUM CAPITAL	215	TGT	SS	10,000	53.57	n/a	3-Feb	300.00	3.0
SURSUM CAPITAL	215	TIF	S	5,000	60.32	n/a	n/a	150.00	3.0
<b>f MARK DEVEREAUX KAICH</b>	<b>FID</b>	<b>TIVO</b>	<b>B</b>	<b>1000</b>	<b>10.51</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>TRNX</b>	<b>S</b>	<b>20,000</b>	<b>18.60</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>TWI</b>	<b>S</b>	<b>200</b>	<b>1.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
GREEN ARROW DOUG	040	UNM	B	50,000	25.25	n/a	n/a	2,500.00	5.0
SURSUM CAPITAL	215	URBN	SS	10,000	34.20	n/a	n/a	300.00	3.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>WCG</b>	<b>S</b>	<b>1500</b>	<b>31.49</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>WLK</b>	<b>B</b>	<b>60</b>	<b>40.24</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SOROS	036	WMT	C	100,000	55.62	n/a	27-Jan	4,000.00	4.0
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>WNC</b>	<b>S</b>	<b>1000</b>	<b>11.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CARDINAL CAPITAL	044	WST	B	7,500	40.72	n/a	n/a	375.00	5.0
BMO NESBITT BURNS	041	WY	S	50,000	23.32	n/a	21-Jan	2,500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAXTON PART	040	WY	S	441,000	23.36	n/a	21-Jan	15,435.04	3.5
<b>f</b> MARK DEVEREAUX KAICH	<b>FID</b>	<b>XATA</b>	<b>S</b>	<b>2000</b>	<b>2.77</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
AVESTA CAP	229	YUM	S	100,000	49.29	n/a	3-Feb	3,000.00	3.0
<b>TOTAL (Trade Date) :</b>								<b>176,283.93</b>	



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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	02/02	GREEN ARROW DOUG	040	CAR	B	78,300	14.30	n/a	n/a	3132.00 4.0
AO,CXL	02/02	GREEN ARROW DOUG	040	CAR	B	78,300	14.21	n/a	n/a	3132.00 4.0
AO,CXL	02/02	NOKOMIS PARTNERS	031	FINL	B	20,119	15.23	n/a	n/a	0.00 0.0
AO,CRT	02/02	NOKOMIS PARTNERS	031	FINL	B	20,119	15.23	n/a	n/a	402.38 2.0
AO,CXL	02/02	FRIESS MGMT	033	GM	S	1,400	36.08	n/a	2-Feb	56.00 4.0
AO,CRT	02/02	FRIESS MGMT	033	GM	S	1,400	36.08	n/a	2-Feb	56.00 4.0
AO,	02/02	COLUMBUS CIRCLE	036	NATI	B	2,723	45.95	n/a	n/a	108.92 4.0
AO,	02/02	COLUMBUS CIRCLE	036	UTEK	B	627	24.16	n/a	n/a	25.08 4.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>536.38</b>
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TOTAL (Trade Date):	176,283.93
TOTAL (AO, CXL, CRT):	536.38

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>176,820.31</b>
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CRT	02/02	BUCK CAPITAL MGMT	ANN	B	15,000	22.79	n/a	n/a	150.00	1.0
CRT	02/02	BUCK CAPITAL MGMT	ANN	B	15,000	21.82	n/a	n/a	375.00	2.5
AO	02/02	BUCK CAPITAL MGMT	TRNX	B	20,000	19.00	n/a	n/a	0.00	0.0

MRI Securities with Trade Activity on 3-Feb.

HAR, IP, LAZ

MRI Securities without Trade Activity on 3-Feb.

BYI, HSP, BIG

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

T-Date = 21%

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)**