



# Daily Compliance Activity Report

Trade Date: 02/11/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>ABG</b>	<b>B</b>	<b>10,000</b>	<b>10.90</b>	<b>n/a</b>	<b>4-Jan</b>	<b>non-brg</b>	<b>4.0</b>
LAGRANGE CAP ADV	048	ABG	B	10,000	11.00	n/a	4-Jan	500.00	5.0
ROSEDALE CAPITAL	046	AEO	S	20,000	16.02	n/a	5-Feb	1,000.00	5.0
THIRD COAST CAPITAL	035	ANF	S	10,000	32.89	n/a	5-Feb	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>AN</b>	<b>B</b>	<b>10,000</b>	<b>17.73</b>	<b>n/a</b>	<b>4-Jan</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>AN</b>	<b>B</b>	<b>47,000</b>	<b>17.74</b>	<b>n/a</b>	<b>4-Jan</b>	<b>non-brg</b>	<b>0.8</b>
SUN AMERICA ASSET MGMT	030	ARRS	B	50,000	9.74	n/a	n/a	2,000.00	4.0
CATAPULT	040	ATI	B	10,000	41.84	n/a	n/a	500.00	5.0
LAGRANGE CAP ADV	048	AXL	B	10,000	8.55	n/a	8-Feb	500.00	5.0
<b>f JOEL GIFFORD TISS</b>	<b>FID</b>	<b>BRKB</b>	<b>B</b>	<b>2000</b>	<b>74.44</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>BUCY</b>	<b>S</b>	<b>100</b>	<b>56.80</b>	<b>n/a</b>	<b>6-Jan</b>	<b>0.00</b>	<b>0.0</b>
BROADARCH CAP/OLD NEWC	070	BWA	B	2,400	35.86	n/a	4-Jan	96.00	4.0
METROPOLITAN CAPITAL	044	BWA	B	22,400	35.95	n/a	4-Jan	1,120.00	5.0
ROYCE TRADING	216	BZ	B	12,000	4.72	n/a	n/a	360.00	3.0
SMITH MGMT LLC	029	BZ	B	55,000	4.77	n/a	n/a	1,650.00	3.0
OVERLAND PARK CAP	041	CAKE	SS	14,250	22.47	n/a	8-Feb	570.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PZENA INV ADV	044	CA	B	72,175	21.74	n/a	n/a	2,526.13	3.5
CATAPULT	040	CBE	B	16,000	43.20	n/a	23-Nov	800.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>CGI</b>	<b>B</b>	<b>5,000</b>	<b>10.55</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
GALT INVESTMENT	041	CROX	S	75,000	7.68	n/a	n/a	2,250.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>CSTR</b>	<b>B</b>	<b>10,000</b>	<b>27.84</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DAN</b>	<b>B</b>	<b>60,000</b>	<b>10.16</b>	<b>n/a</b>	<b>6-Jan</b>	<b>non-brg</b>	<b>2.5</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DAN</b>	<b>B</b>	<b>85,000</b>	<b>10.35</b>	<b>n/a</b>	<b>6-Jan</b>	<b>non-brg</b>	<b>0.8</b>
<b>f ABRAM M CHAPPELL</b>	<b>FID</b>	<b>FOR</b>	<b>B</b>	<b>57</b>	<b>17.70</b>	<b>n/a</b>	<b>5-Feb</b>	<b>0.00</b>	<b>0.0</b>
RBC CAPITAL MARKETS	040	FOR	S	15,000	17.61	n/a	5-Feb	600.00	4.0
<b>f MITCHELL JAMES SPEIS</b>	<b>FID</b>	<b>FSNXX</b>	<b>S</b>	<b>10000</b>	<b>1.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TROUBH PART	067	F	B	25,000	10.97	n/a	3-Feb	1,250.00	5.0
LEVEL GLOBAL SHARED ACCT	257	GES	B	100,000	39.92	n/a	5-Feb	3,000.00	3.0
AVESTA CAP	229	GE	SS	500,000	15.65	n/a	n/a	15,000.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>GIL</b>	<b>S</b>	<b>30,000</b>	<b>24.25</b>	<b>n/a</b>	<b>10-Feb</b>	<b>non-brg</b>	<b>4.0</b>
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>GLD</b>	<b>B</b>	<b>50</b>	<b>107.08</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NEWLAND CAPITAL MGT	067	GNRC	S	25,000	13.01	n/a	n/a	1,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		GYMB	B	10,000	40.90	n/a	8-Feb	non-brg	0.8
f DAVID GEORGE BUCK	FID	HD	B	2000	28.93	n/a	11-Feb	0.00	0.0
B BUCK CAPITAL MGMT		IMAX	SS	40,000	12.32	n/a	n/a	non-brg	2.0
CATAPULT	040	IR	S	10,720	34.00	n/a	4-Jan	536.00	5.0
HARBORWATCH/DIAMBACK	232	ITW	B	10,000	43.87	n/a	28-Jan	500.00	5.0
EXIS CAPITAL	044	JNY	B	10,000	15.50	n/a	10-Feb	500.00	5.0
BUCK CAPITAL MGMT	001	JWN	B	20,000	33.71	n/a	5-Feb	800.00	4.0
BROADARCH CAP/OLD NEWC	070	KSS	SS	400	49.42	n/a	5-Feb	16.00	4.0
THE JAY GOLDMAN	028	KSS	B	10,000	49.36	n/a	5-Feb	400.00	4.0
f MANNY I KORMAN	FID	LMI	S	1915	29.72	n/a	n/a	0.00	0.0
FIRST NEW YORK LEDDY	035	LVLIT	S	10,000	1.26	n/a	n/a	600.00	6.0
BUCK CAPITAL MGMT	001	MFB	B	10,000	14.80	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	MGM	SS	20,000	11.34	n/a	6-Nov	800.00	4.0
KADE CAPITAL LLC	036	MGM	S	25,000	10.78	n/a	6-Nov	1,250.00	5.0
CASTLEROCK	040	MON	SS	34,359	75.05	n/a	19-Jan	1,374.36	4.0
CATAPULT	040	MON	SS	10,000	75.73	n/a	19-Jan	500.00	5.0
PLATTE RIVER CAPITAL	240	MPEL	B	35,000	3.83	n/a	9-Feb	1,050.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COBALT	041	MU	S	100,000	8.57	n/a	n/a	4,000.00	4.0
PZENA INV ADV	044	NOC	B	21,350	58.91	n/a	5-Feb	747.25	3.5
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>NYB</b>	<b>S</b>	<b>3000</b>	<b>15.28</b>	<b>n/a</b>	<b>27-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>f MATTHEW FRANCIS BUCK</b>	<b>FID</b>	<b>NYB</b>	<b>S</b>	<b>1000</b>	<b>15.27</b>	<b>n/a</b>	<b>27-Jan</b>	<b>0.00</b>	<b>0.0</b>
PARTNER REINSURANCE	033	OMX	B	21,350	14.51	n/a	n/a	854.00	4.0
PHILADELPHIA FINANCIAL	033	OZM	S	48,800	13.86	n/a	11-Feb	1,952.00	4.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>PCAR</b>	<b>B</b>	<b>100</b>	<b>35.50</b>	<b>n/a</b>	<b>1-Feb</b>	<b>0.00</b>	<b>0.0</b>
RBC CAPITAL MARKETS	040	PCL	B	40,000	35.54	n/a	2-Feb	1,600.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>PETM</b>	<b>SS</b>	<b>30,000</b>	<b>26.01</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
OVERLAND PARK CAP	041	PFCB	SS	5,000	41.09	11-Feb	11-Feb	200.00	4.0
VISIUM/BALY BOBBY	044	PFCB	S	20,000	40.76	11-Feb	11-Feb	1,000.00	5.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>PFE</b>	<b>S</b>	<b>3000</b>	<b>17.84</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PLCE</b>	<b>B</b>	<b>20,000</b>	<b>35.08</b>	<b>n/a</b>	<b>5-Feb</b>	<b>non-brg</b>	<b>2.5</b>
SCOPUS FUND	041	RL	SS	20,000	79.03	n/a	4-Feb	1,000.00	5.0
RBC CAPITAL MARKETS	040	ROST	SS	5,000	45.29	n/a	n/a	200.00	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>SEP</b>	<b>B</b>	<b>1000</b>	<b>27.83</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>B BUCK CAPITAL MGMT</b>		<b>SIG</b>	<b>B</b>	<b>10,000</b>	<b>27.37</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
ROYCE TRADING	216	SJM	B	500	59.53	n/a	n/a	25.00	5.0
<b>f ABRAM M CHAPPELL</b>	<b>FID</b>	<b>SRI</b>	<b>B</b>	<b>150</b>	<b>6.69</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BROADARCH CAP/OLD NEWC	070	TGT	B	900	49.18	n/a	4-Feb	36.00	4.0
BROADARCH CAP/OLD NEWC	070	TIN	B	5,100	16.92	n/a	9-Feb	204.00	4.0
ELM RIDGE ADVISORS	044	TIN	B	368,288	16.90	n/a	9-Feb	14,731.52	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>TJX</b>	<b>B</b>	<b>30,000</b>	<b>37.53</b>	<b>n/a</b>	<b>5-Feb</b>	<b>non-brg</b>	<b>4.0</b>
CASTLEROCK	040	UA	SS	42,057	24.96	n/a	29-Jan	1,682.28	4.0
SCOPUS FUND	041	UA	B	49,800	24.97	n/a	29-Jan	2,490.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>UBI FP</b>	<b>B</b>	<b>70,000</b>	<b>13.05</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.7</b>
WAGONHOUND/NIC	048	UHS	B	50,000	31.11	n/a	n/a	2,000.00	4.0
WAGONHOUND/NIC	048	UPL	B	10,000	45.78	n/a	19-Jan	400.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>URBN</b>	<b>B</b>	<b>10,000</b>	<b>30.99</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
LAGRANGE CAP ADV	048	URI	B	11,400	7.05	n/a	n/a	570.00	5.0
<b>f JOHN BARTMAN COLE</b>	<b>FID</b>	<b>VXX</b>	<b>S</b>	<b>230</b>	<b>32.28</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SUN AMERICA ASSET MGMT	030	WTSLA	S	131,300	3.68	n/a	n/a	3,939.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FEDERATED INV/KAUFMAN	029	XRX	S	200,000	8.43	n/a	n/a	11,000.00	5.5
<b>TOTAL (Trade Date):</b>								<b>92,579.54</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,	02/10	THOMPSON SIEGAL&WALMSLEY	029	AGCO	S	2,500	31.58	n/a 10-Feb	50.00 2.0
<b>TOTAL (AO, CXL, CRT) :</b>									<b>50.00</b>

TOTAL (Trade Date):	92,579.54
TOTAL (AO, CXL, CRT):	50.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>92,629.54</b>
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MRI Securities with Trade Activity on 11-Feb.  
**PFCB**

MRI Securities without Trade Activity on 11-Feb.  
**PNRA**

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 17%  
YTD = 18%

**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)**