



Daily Compliance Activity Report

Trade Date: 10/26/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|------------------------------|------------|-------------|----------|----------------|---------------|------------|---------------|----------------|------------|
| B BUCK CAPITAL MGMT | | AAPL | B | 5,000 | 308.70 | n/a | n/a | non-brg | 4.0 |
| GRUSS CAPITAL | 025 | ADBE | B | 1,000 | 28.04 | n/a | n/a | 30.00 | 3.0 |
| SYSTEMATIC FINANCIAL MGT | 035 | AEO | B | 23,500 | 17.14 | n/a | 11-Oct | 705.00 | 3.0 |
| f HARALAMBOS EFSTATHI | FID | AF | B | 700 | 12.23 | n/a | 21-Oct | 0.00 | 0.0 |
| BALYASNY ASSET MGMT | 044 | ALV | SS | 15,000 | 69.55 | n/a | 19-Oct | 750.00 | 5.0 |
| BASCOM HILL PARTNERS LLC | 033 | ANF | S | 5,000 | 45.40 | n/a | 11-Oct | 150.00 | 3.0 |
| B BUCK CAPITAL MGMT | | ANN | B | 80,000 | 22.27 | n/a | n/a | non-brg | 4.0 |
| SENATOR INVESTMENT GROUP | 036 | ANR | S | 60,000 | 45.73 | n/a | n/a | 1,800.00 | 3.0 |
| STANDARD PACIFIC CAPITAL | 040 | APOL | S | 138,300 | 36.94 | n/a | n/a | 6,915.00 | 5.0 |
| BROADARCH CAP/OLD NEWC | 070 | ARM | B | 4,700 | 15.90 | n/a | n/a | 188.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | ARO | B | 200,000 | 26.54 | n/a | 11-Oct | 8,000.00 | 4.0 |
| B BUCK CAPITAL MGMT | | ARO | B | 150,000 | 26.76 | n/a | 11-Oct | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | ARO | B | 50,000 | 26.64 | n/a | 11-Oct | non-brg | 0.8 |
| LISTED ERR | 099 | ARO | B | 100 | 26.30 | n/a | 11-Oct | 0.00 | 0.0 |
| LISTED ERR | 099 | ARO | S | 100 | 26.65 | n/a | 11-Oct | 0.00 | 0.0 |
| FRED ALGER MGMT | 035 | AUXL | S | 36,277 | 25.81 | n/a | n/a | 1,378.53 | 3.8 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|-------------|----------|---------------|--------------|------------|---------------|-----------------|------------|
| B BUCK CAPITAL MGMT | | AVY | S | 25,000 | 39.31 | n/a | 23-Aug | non-brg | 4.0 |
| BASIX | 033 | AXE | B | 10,000 | 54.97 | n/a | 25-Oct | 300.00 | 3.0 |
| WEINTRAUB CAPITAL MGT. | 040 | AXE | S | 15,000 | 55.21 | n/a | 25-Oct | 600.00 | 4.0 |
| f KAREN F LEDDY | FID | AXL | S | 1800 | 9.51 | n/a | 19-Oct | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | BEAV | C | 32,500 | 36.44 | n/a | 12-Oct | non-brg | 0.8 |
| THOMAS WEISEL ASSET MGMT | 035 | BEAV | S | 5,351 | 36.26 | n/a | 12-Oct | 160.53 | 3.0 |
| BUCK CAPITAL MGMT | 001 | BID | B | 30,000 | 42.49 | n/a | n/a | 1,200.00 | 4.0 |
| f KAREN F LEDDY | FID | BP | B | 200 | 40.58 | n/a | n/a | 0.00 | 0.0 |
| f DAVID GEORGE BUCK | FID | CAH | B | 2000 | 33.28 | n/a | n/a | 0.00 | 0.0 |
| PLATTE RIVER CAPITAL | 240 | CIT | S | 2,490 | 42.85 | n/a | 26-Oct | 99.60 | 4.0 |
| RBC CAPITAL MARKETS | 040 | CL | B | 8,000 | 76.23 | 26-Oct | 26-Oct | 320.00 | 4.0 |
| CASTLE ARK | 031 | COH | B | 77,260 | 49.57 | n/a | 18-Oct | 3,863.00 | 5.0 |
| M&I FUNDS | 047 | COH | S | 44,000 | 49.07 | n/a | 18-Oct | 1,760.00 | 4.0 |
| SAC TRADING TOM LEDDY | 035 | COH | SS | 15,000 | 49.14 | n/a | 18-Oct | 525.00 | 3.5 |
| MATRIX ASSET ADV. | 091 | COP | S | 1,500 | 61.23 | n/a | n/a | 60.00 | 4.0 |
| TOCQUEVILLE | 067 | CRDN | S | 15,000 | 24.57 | n/a | n/a | 750.00 | 5.0 |
| KACELA CAPITAL | 034 | CTXS | B | 35,000 | 62.16 | n/a | n/a | 1,400.00 | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|-----|--------|-----|---------|-------|--------|----------|-------------|-----|
| Õ Ravi Sadarangani | | CVGI | B | 1500 | 13.28 | n/a | n/a | 0.00 | 0.0 |
| Õ Ravi Sadarangani | | CVGI | B | 400 | 13.34 | n/a | n/a | 0.00 | 0.0 |
| FRED ALGER MGMT | 035 | CYH | S | 237,160 | 30.35 | n/a | n/a | 9,012.08 | 3.8 |
| OZ MGMT | 040 | CYH | B | 119,000 | 30.40 | n/a | n/a | 3,570.00 | 3.0 |
| ß BUCK CAPITAL MGMT | | DBRN | B | 40,000 | 23.37 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | DECK | S | 10,000 | 55.00 | n/a | n/a | non-brg | 4.0 |
| BALYASNY ASSET MGMT | 044 | DLTR | SS | 20,000 | 51.69 | 26-Oct | 26-Oct | 1,000.00 | 5.0 |
| COUGAR TRADING | 044 | DLTR | B | 10,000 | 51.71 | 26-Oct | 26-Oct | 500.00 | 5.0 |
| COUGAR TRADING | 044 | DLTR | SS | 10,000 | 51.93 | 26-Oct | 26-Oct | 500.00 | 5.0 |
| RBC CAPITAL MARKETS | 040 | DOW | S | 50,000 | 31.41 | n/a | 13-Oct | 2,000.00 | 4.0 |
| ROSEDALE CAPITAL | 046 | DVN | B | 20,000 | 64.59 | n/a | 22-Oct | 1,000.00 | 5.0 |
| BASCOM HILL PARTNERS LLC | 033 | ERTS | B | 26,116 | 15.86 | n/a | n/a | 783.48 | 3.0 |
| ß BUCK CAPITAL MGMT | | EXPR | B | 42,435 | 14.03 | n/a | n/a | non-brg | 4.0 |
| ADAGE CAPITAL MGMT | 030 | FLO | B | 4,867 | 24.49 | n/a | n/a | 146.01 | 3.0 |
| MERRILL ASSET/BLACKROCK | 266 | FTO | B | 55,500 | 13.61 | n/a | n/a | 2,220.00 | 4.0 |
| ß BUCK CAPITAL MGMT | | F | S | 75,000 | 14.32 | n/a | 19-Oct | non-brg | 4.0 |
| OZ MGMT | 040 | F | B | 150,000 | 14.25 | n/a | 19-Oct | 4,500.00 | 3.0 |
| MERRILL ASSET/BLACKROCK | 266 | GCO | S | 26,100 | 33.26 | n/a | n/a | 1,044.00 | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|-----|--------|-----|---------|-------|-----|----------|-------------|-----|
| JET CAPITAL/CHRIS | 041 | GENZ | B | 20,000 | 72.25 | n/a | n/a | 600.00 | 3.0 |
| ⌘ BUCK CAPITAL MGMT | | GIII | S | 20,000 | 28.60 | n/a | n/a | non-brg | 2.5 |
| ⌘ BUCK CAPITAL MGMT | | GIII | S | 4,305 | 28.80 | n/a | n/a | non-brg | 0.8 |
| ⌘ BUCK CAPITAL MGMT | | GIL | B | 20,000 | 28.15 | n/a | 18-Oct | non-brg | 4.0 |
| BASCOM HILL PARTNERS LLC | 033 | GMCR | B | 10,000 | 32.21 | n/a | n/a | 300.00 | 3.0 |
| ⌘ BUCK CAPITAL MGMT | | GMCR | B | 50,000 | 32.07 | n/a | n/a | non-brg | 4.0 |
| BALYASNY ASSET MGMT | 044 | GPI | SS | 10,000 | 35.41 | n/a | 19-Oct | 500.00 | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | GRMN | SS | 20,000 | 33.94 | n/a | n/a | non-brg | 4.0 |
| SOROS | 036 | GT | C | 268,500 | 11.74 | n/a | n/a | 10,740.00 | 4.0 |
| SPARTA ASSET MGMT | 035 | GYMB | S | 40,000 | 65.02 | n/a | 8-Oct | 1,200.00 | 3.0 |
| ⌘ BUCK CAPITAL MGMT | | HD | SS | 50,000 | 31.05 | n/a | 7-Oct | non-brg | 4.0 |
| DIAMONDBACK CAP MGMT | 232 | HD | SS | 25,000 | 31.38 | n/a | 7-Oct | 1,250.00 | 5.0 |
| KLEINHEINZ CAP PART | 031 | HD | SS | 50,000 | 31.05 | n/a | 7-Oct | 2,500.00 | 5.0 |
| PLATTE RIVER CAPITAL | 240 | HD | S | 25,190 | 31.26 | n/a | 7-Oct | 1,007.60 | 4.0 |
| BALYASNY ASSET MGMT | 044 | HIBB | S | 10,000 | 27.73 | n/a | n/a | 500.00 | 5.0 |
| RBC CAPITAL MARKETS | 040 | IP | B | 20,000 | 23.89 | n/a | 18-Oct | 800.00 | 4.0 |
| RBC CAPITAL MARKETS | 040 | IWM | B | 20,000 | 70.46 | n/a | n/a | 800.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | JCG | S | 162,600 | 31.76 | n/a | n/a | 6,504.00 | 4.0 |

| | Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|---|-----------------------|-----|--------|-----|--------|-------|-----|----------|--------------|
| B | BUCK CAPITAL MGMT | | JCG | S | 34,400 | 31.46 | n/a | n/a | non-brg 0.8 |
| B | BUCK CAPITAL MGMT | | JCP | SS | 70,000 | 32.41 | n/a | 11-Oct | non-brg 4.0 |
| | BUCK CAPITAL MGMT | 001 | JNY | B | 50,000 | 19.62 | n/a | 18-Oct | 2,000.00 4.0 |
| | PZENA INV ADV | 044 | JPM | B | 32,250 | 37.10 | n/a | 19-Oct | 1,128.81 3.5 |
| | BUCK CAPITAL MGMT | 001 | KR | SS | 50,000 | 22.01 | n/a | n/a | 2,000.00 4.0 |
| | RBC CAPITAL MARKETS | 040 | KSS | SS | 10,000 | 52.59 | n/a | 11-Oct | 400.00 4.0 |
| | SAC TRADING TOM LEDDY | 035 | KSS | SS | 25,000 | 52.70 | n/a | 11-Oct | 875.00 3.5 |
| | SANDLER CAPITAL | 226 | KSU | B | 85,000 | 44.09 | n/a | n/a | 5,100.00 6.0 |
| B | BUCK CAPITAL MGMT | | LIZ | B | 50,000 | 6.63 | n/a | 7-Oct | non-brg 3.0 |
| f | CHRISTOPHER ROBERT C | FID | LIZ | B | 500 | 6.68 | n/a | 7-Oct | 0.00 0.0 |
| | JP MORGAN VENTURES | 046 | LPS | S | 10,000 | 27.26 | n/a | n/a | 500.00 5.0 |
| | STELLIAM INV ADV | 034 | LRCX | SS | 10,000 | 44.32 | n/a | n/a | 500.00 5.0 |
| B | BUCK CAPITAL MGMT | | MFB | S | 10,000 | 27.91 | n/a | n/a | non-brg 4.0 |
| | MATRIX ASSET ADV. | 091 | MHP | S | 2,000 | 37.30 | n/a | n/a | 80.00 4.0 |
| | SAC CAPITAL/M GRONET | 030 | M | B | 10,000 | 22.92 | n/a | 11-Oct | 350.00 3.5 |
| | ARTX | 047 | NOV | B | 3,300 | 50.33 | n/a | n/a | 165.00 5.0 |
| B | BUCK CAPITAL MGMT | | PAG | B | 25,000 | 13.81 | n/a | 25-Oct | non-brg 4.0 |

| | Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---|------------------------------------|-----|--------|-----|---------|-------|--------|----------|-------------|------------|
| B | BUCK CAPITAL MGMT | | PAG | B | 25,000 | 13.95 | n/a | 25-Oct | non-brg | 4.0 |
| | SCHOTTENFELD ASSOC | 041 | PG | B | 20,000 | 62.72 | 26-Oct | 26-Oct | 600.00 | 3.0 |
| | CSFB GLOBAL PROPRIETARY | 041 | PKG | B | 20,000 | 24.09 | n/a | 19-Oct | 1,000.00 | 5.0 |
| | IRIDIAN ASSET MGMT. | 036 | PKG | B | 173,980 | 24.30 | n/a | 19-Oct | 8,699.00 | 5.0 |
| B | BUCK CAPITAL MGMT | | PLCE | B | 20,000 | 45.71 | n/a | 21-Oct | non-brg | 4.0 |
| f | KEVIN MICHAEL O'GORM | FID | PVCT | B | 10000 | 1.09 | n/a | n/a | 0.00 | 0.0 |
| | NOMURA CAPITAL | 029 | QLTY | S | 3,000 | 7.42 | n/a | n/a | 60.00 | 2.0 |
| | FIRST NEW YORK NICK | 029 | Q | S | 40,000 | 6.54 | n/a | n/a | 2,000.00 | 5.0 |
| | GRUSS CAPITAL | 025 | REP | S | 2,500 | 26.99 | n/a | n/a | 75.00 | 3.0 |
| B | BUCK CAPITAL MGMT | | RL | C | 10,000 | 94.90 | n/a | 18-Oct | non-brg | 4.0 |
| | ARTX | 047 | RL | B | 2,500 | 95.37 | n/a | 18-Oct | 125.00 | 5.0 |
| | WEDBUSH/PACIFIC GROWTH EQTY LLC084 | | SIMG | S | 24,901 | 4.57 | | n/a | n/a | 996.04 4.0 |
| | BUCK CAPITAL MGMT | 001 | SKX | S | 30,000 | 24.01 | n/a | n/a | 1,200.00 | 4.0 |
| | CENTURION PARTNERS | 041 | SKX | S | 50,000 | 24.14 | n/a | n/a | 2,000.00 | 4.0 |
| | SAC TRADING TOM LEDDY | 035 | SKX | SS | 30,000 | 24.08 | n/a | n/a | 1,050.00 | 3.5 |
| | SHIKIAR ASSET | 029 | SLX | S | 16,800 | 63.58 | n/a | n/a | 840.00 | 5.0 |
| f | ANDREW SINCLAIR | FID | SPY | B | 70 | 1.40 | n/a | n/a | 0.00 | 0.0 |
| f | ANDREW SINCLAIR | FID | SPY | S | 200 | 0.21 | n/a | n/a | 0.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------|-----|--------|-----|---------|--------|-----|----------|-------------|-----|
| BUCK CAPITAL MGMT | | SWY | SS | 50,000 | 22.60 | n/a | n/a | non-brg | 4.0 |
| JONATHAN RICHARD HAR | FID | TEX | B | 200 | 22.70 | n/a | 22-Oct | 0.00 | 0.0 |
| GRUSS CAPITAL | 025 | TLT | B | 10,000 | 100.20 | n/a | n/a | 300.00 | 3.0 |
| BUCK CAPITAL MGMT | | TRLG | B | 20,000 | 21.99 | n/a | n/a | non-brg | 4.0 |
| HARALAMBOS EFSTATHI | FID | TRLG | B | 500 | 21.72 | n/a | n/a | 0.00 | 0.0 |
| JONATHAN RICHARD HAR | FID | TRLG | B | 540 | 21.63 | n/a | n/a | 0.00 | 0.0 |
| ARMATURE CAPITAL | 041 | UPS | S | 10,000 | 69.39 | n/a | n/a | 400.00 | 4.0 |
| BALYASNY ASSET MGMT | 044 | URBN | SS | 20,000 | 31.00 | n/a | n/a | 1,000.00 | 5.0 |
| BUCK CAPITAL MGMT | | URBN | SS | 49,994 | 31.17 | n/a | n/a | non-brg | 4.0 |
| BUCK CAPITAL MGMT | | URBN | S | 315,817 | 31.45 | n/a | n/a | non-brg | 4.0 |
| BUCK CAPITAL MGMT | | URBN | S | 50,000 | 31.05 | n/a | n/a | non-brg | 2.0 |
| FIRST NY SEC/CHRIS | 041 | UUP | B | 30,000 | 22.52 | n/a | n/a | 1,200.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | VFC | B | 15,000 | 85.22 | n/a | 22-Oct | 600.00 | 4.0 |
| GRUSS CAPITAL | 025 | VOD | B | 1,500 | 26.65 | n/a | n/a | 45.00 | 3.0 |
| BUCK CAPITAL MGMT | | VSI | C | 24,700 | 28.51 | n/a | n/a | non-brg | 4.0 |
| CARLSON CAPITAL | 290 | WFC | B | 75,000 | 25.55 | n/a | 21-Oct | 3,000.00 | 4.0 |
| ARMATURE CAPITAL | 041 | WLT | S | 20,000 | 86.77 | n/a | n/a | 800.00 | 4.0 |
| SAC CAPITAL/M GRONET | 030 | WRC | B | 10,000 | 56.34 | n/a | 18-Oct | 350.00 | 3.5 |

TOTAL (Trade Date):

123,370.68

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------|-------|---------------------|------|--------|-----|--------|-------|-----|----------|-------------|
| AO,CXL | 10/25 | IRIDIAN ASSET MGMT. | 036 | DRC | S | 30 | 38.01 | n/a | n/a | 1.50 5.0 |
| AO,CRT | 10/25 | IRIDIAN ASSET MGMT. | 036 | DRC | S | 30 | 38.01 | n/a | n/a | 1.50 5.0 |
| AO,CXL | 10/25 | ADAGE CAPITAL MGMT | 030 | JCP | S | 38,200 | 32.78 | n/a | 11-Oct | 1146.00 3.0 |
| AO,CRT | 10/25 | ADAGE CAPITAL MGMT | 030 | JCP | S | 38,200 | 32.78 | n/a | 11-Oct | 1146.00 3.0 |
| AO,CRT | 10/25 | COBALT | 041 | SLM | B | 56,500 | 11.65 | n/a | 20-Oct | 2825.00 5.0 |
| AO,CXL | 10/25 | COBALT | 041 | SLM | B | 56,500 | 11.65 | n/a | 20-Oct | 2825.00 5.0 |

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|-------------------------------|-------------|
| TOTAL (AO, CXL, CRT) : | 0.00 |
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|------------------------|------------|
| TOTAL (Trade Date) : | 123,370.68 |
| TOTAL (AO, CXL, CRT) : | 0.00 |

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|--------------------------------|-------------------|
| TOTAL (RUN DATE) / NFS: | 123,370.68 |
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| MRI Securities with Trade Activity on 26-Oct. CL, DLTR, PG |
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| MRI Securities without Trade Activity on 26-Oct. HOT, DD, PNRA, ECL |
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BRG comm. as a % of BCM Total Comm. paid.

T-Date = 29%

YTD = 11%

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)