

## **Daily Compliance Activity Report** Trade Date: 02/11/2010

**Potential ANALYST TRADE Violations: 0** Watch List ACTIVITY ALERT: 0

| RR#    | Symbol  | B/S  | Shares  | Price  | MRI   | Research   | Comm.  | \$/Shr.   |
|--------|---|--|---|--|---|--|--|---|
|        | ABG   | В  | 10,000  | 10.90  | n/a   | 4-Jan  | non-brg  | 4.0   |
| 048    | ABG   | В  | 10,000  | 11.00  | n/a   | 4-Jan  | 500.00   | 5.0   |
| 046    | AEO   | S  | 20,000  | 16.02  | n/a   | 5-Feb  | 1,000.00   | 5.0   |
| 035    | ANF   | S  | 10,000  | 32.89  | n/a   | 5-Feb  | 500.00   | 5.0   |
|        | AN  | В  | 10,000  | 17.73  | n/a   | 4-Jan  | non-brg  | 1.0   |
|        | AN  | В  | 47,000  | 17.74  | n/a   | 4-Jan  | non-brg  | 0.8   |
| MT 030 | ARRS  | В  | 50,000  | 9.74   | n/a   | n/a  | 2,000.00   | 4.0   |
| 040    | ATI   | В  | 10,000  | 41.84  | n/a   | n/a  | 500.00   | 5.0   |
| 048    | AXL   | В  | 10,000  | 8.55   | n/a   | 8-Feb  | 500.00   | 5.0   |
| FID    | BRKB  | В  | 2000  | 74.44  | n/a   | n/a  | 0.00   | 0.0   |
| FID    | BUCY  | s  | 100   | 56.80  | n/a   | 6-Jan  | 0.00   | 0.0   |
| WC 070 | BWA   | В  | 2,400   | 35.86  | n/a   | 4-Jan  | 96.00  | 4.0   |
| 044    | BWA   | В  | 22,400  | 35.95  | n/a   | 4-Jan  | 1,120.00   | 5.0   |
| 216    | BZ  | В  | 12,000  | 4.72   | n/a   | n/a  | 360.00   | 3.0   |
| 029    | BZ  | В  | 55,000  | 4.77   | n/a   | n/a  | 1,650.00   | 3.0   |
| 041    | CAKE  | SS   | 14,250  | 22.47  | n/a   | 8-Feb  | 570.00   | 4.0   |
| C      | 048 046 035 037 040 048 FID C FID EWC 070 L 044 216 029 | ABG 048 ABG 046 AEO 035 ANF AN AN AN  GMT 030 ARRS 040 ATI 048 AXL FID BRKB  C FID BUCY EWC 070 BWA L 044 BWA 216 BZ | ABG B 048 ABG B 046 AEO S 035 ANF S AN B AN B AN B O40 ATI B 048 AXL B FID BRKB B EWC 070 BWA B L 044 BWA B 216 BZ B 029 BZ B | ABG B 10,000 048 ABG B 10,000 046 AEO S 20,000  AN B 10,000 AN B 10,000 AN B 47,000  GMT 030 ARRS B 50,000  048 AXL B 10,000 FID BRKB B 2000  C FID BUCY S 100  EWC 070 BWA B 2,400 L 044 BWA B 22,400 216 BZ B 12,000 029 BZ B 55,000 | ABG B 10,000 10.90 048 ABG B 10,000 11.00 046 AEO S 20,000 16.02 035 ANF S 10,000 32.89  AN B 10,000 17.73 AN B 47,000 17.74  IGMT 030 ARRS B 50,000 9.74  040 ATI B 10,000 41.84  048 AXL B 10,000 8.55  FID BRKB B 2000 74.44  C FID BUCY S 100 56.80  IEWC 070 BWA B 2,400 35.86 L 044 BWA B 22,400 35.95  216 BZ B 12,000 4.72 029 BZ B 55,000 4.77 | ABG B 10,000 10.90 n/a 048 ABG B 10,000 11.00 n/a 046 AEO S 20,000 16.02 n/a  AN B 10,000 32.89 n/a  AN B 47,000 17.73 n/a AN B 47,000 17.74 n/a  GGMT 030 ARRS B 50,000 9.74 n/a  048 AXL B 10,000 41.84 n/a  048 AXL B 10,000 8.55 n/a  FID BRKB B 2000 74.44 n/a  C FID BUCY S 100 56.80 n/a  L 044 BWA B 2,400 35.86 n/a L 044 BWA B 22,400 35.95 n/a  216 BZ B 12,000 4.72 n/a 029 BZ B 55,000 4.77 n/a | ABG B 10,000 10.90 n/a 4-Jan 048 ABG B 10,000 11.00 n/a 4-Jan 046 AEO S 20,000 16.02 n/a 5-Feb 0.035 ANF S 10,000 32.89 n/a 5-Feb 0.035 ANF S 10,000 17.73 n/a 4-Jan 0.00 ARRS B 47,000 17.74 n/a 4-Jan 0.00 ATI B 10,000 41.84 n/a n/a n/a 048 AXL B 10,000 8.55 n/a 8-Feb 0.048 AXL B 10,000 8.55 n/a 8-Feb 0.048 AXL B 2000 74.44 n/a n/a n/a 048 AXL B 2000 35.95 n/a 4-Jan n/a 048 AXL B 2000 4.77 n/a n/a n/a n/a 029 BZ B 55,000 4.77 n/a n/a n/a | ABG B 10,000 10.90 n/a 4-Jan non-brg 048 ABG B 10,000 11.00 n/a 4-Jan 500.00 046 AEO S 20,000 16.02 n/a 5-Feb 1,000.00 05 ANF S 10,000 32.89 n/a 5-Feb 500.00 06 AR B 10,000 17.73 n/a 4-Jan non-brg AN B 47,000 17.74 n/a 4-Jan non-brg AN B 10,000 41.84 n/a n/a 2,000.00 048 AXL B 10,000 41.84 n/a n/a 8-Feb 500.00 048 AXL B 10,000 8.55 n/a 8-Feb 500.00 05 AR B 2000 74.44 n/a n/a n/a 0.00 05 AR B 2,400 35.86 n/a 4-Jan 0.00 05 AR B 2,400 35.86 n/a 4-Jan 96.00 n/a 6-Jan 0.00 05 AR B 2,400 35.86 n/a 4-Jan 1,120.00 05 AR B 2,400 35.95 n/a 4-Jan 1,120.00 05 AR B 2,400 4.77 n/a n/a 1,650.00 |

|   | Account                  | RR# | Symbol | B/S | Shares          | Price  | MRI | Research | Comm.     | ;/Shr. |  |
|---|--------------------------|-----|--------|-----|-----------------|--------|-----|----------|-----------|--------|--|
|   | PZENA INV ADV            | 044 | CA     | В   | 72 <b>,</b> 175 | 21.74  | n/a | n/a      | 2,526.13  | 3.5    |  |
|   | CATAPULT                 | 040 | CBE    | В   | 16,000          | 43.20  | n/a | 23-Nov   | 800.00    | 5.0    |  |
| В | BUCK CAPITAL MGMT        |     | CGI    | В   | 5,000           | 10.55  | n/a | n/a      | non-brg   | 0.8    |  |
|   | GALT INVESTMENT          | 041 | CROX   | S   | 75 <b>,</b> 000 | 7.68   | n/a | n/a      | 2,250.00  | 3.0    |  |
| ß | BUCK CAPITAL MGMT        |     | CSTR   | В   | 10,000          | 27.84  | n/a | n/a      | non-brg   | 4.0    |  |
| В | BUCK CAPITAL MGMT        |     | DAN    | В   | 60,000          | 10.16  | n/a | 6-Jan    | non-brg   | 2.5    |  |
| ß | BUCK CAPITAL MGMT        |     | DAN    | В   | 85,000          | 10.35  | n/a | 6-Jan    | non-brg   | 0.8    |  |
| f | ABRAM M CHAPPELL         | FID | FOR    | В   | 57              | 17.70  | n/a | 5-Feb    | 0.00      | 0.0    |  |
|   | RBC CAPITAL MARKETS      | 040 | FOR    | S   | 15,000          | 17.61  | n/a | 5-Feb    | 600.00    | 4.0    |  |
| f | MITCHELL JAMES SPEIS     | FID | FSNXX  | s   | 10000           | 1.00   | n/a | n/a      | 0.00      | 0.0    |  |
|   | TROUBH PART              | 067 | F      | В   | 25 <b>,</b> 000 | 10.97  | n/a | 3-Feb    | 1,250.00  | 5.0    |  |
|   | LEVEL GLOBAL SHARED ACCT | 257 | GES    | В   | 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    |  |
| ß | BUCK CAPITAL MGMT        |     | GIL    | S   | 30,000          | 24.25  | n/a | 10-Feb   | non-brg   | 4.0    |  |
| f | CHRISTOPHER ROBERT C     | FID | GLD    | В   | 50              | 107.08 | n/a | n/a      | 0.00      | 0.0    |  |
|   | 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.      |
|---|------------------------|-----|--------|-----|--------|-------|-----|------------------|----------|--------------|
| ß | BUCK CAPITAL MGMT      |     | GYMB   | В   | 10,000 | 40.90 | n/a | 8-Feb            | non-brg  | 0.8          |
| f | DAVID GEORGE BUCK      | FID | HD     | В   | 2000   | 28.93 | n/a | 11-Feb           | 0.00     | 0.0          |
| ß | 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    | В   | 10,000 | 43.87 | n/a | 28-Jan           | 500.00   | 5.0          |
|   | EXIS CAPITAL           | 044 | JNY    | В   | 10,000 | 15.50 | n/a | 10-Feb           | 500.00   | 5.0          |
|   | BUCK CAPITAL MGMT      | 001 | JWN    | В   | 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    | В   | 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 | LVLT   | S   | 10,000 | 1.26  | n/a | n/a              | 600.00   | 6.0          |
|   | BUCK CAPITAL MGMT      | 001 | MFB    | В   | 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<br>19-Jan | 500.00   | 5.0          |
|   | -                      |     | -      |     | .,     |       | ,   | - 2              |          | <del>-</del> |
|   | PLATTE RIVER CAPITAL   | 240 | MPEL   | В   | 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    | В   | 21,350  | 58.91 | n/a    | 5-Feb    | 747.25   | 3.5    |
| f | DAVID GEORGE BUCK      | FID | NYB    | S   | 3000    | 15.28 | n/a    | 27-Jan   | 0.00     | 0.0    |
| f | MATTHEW FRANCIS BUCK   | FID | NYB    | S   | 1000    | 15.27 | n/a    | 27-Jan   | 0.00     | 0.0    |
|   | PARTNER REINSURANCE    | 033 | OMX    | В   | 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    |
| f | CHRISTOPHER ROBERT C   | FID | PCAR   | В   | 100     | 35.50 | n/a    | 1-Feb    | 0.00     | 0.0    |
|   | RBC CAPITAL MARKETS    | 040 | PCL    | В   | 40,000  | 35.54 | n/a    | 2-Feb    | 1,600.00 | 4.0    |
| ß | BUCK CAPITAL MGMT      |     | PETM   | SS  | 30,000  | 26.01 | n/a    | n/a      | non-brg  | 4.0    |
|   | 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    |
| f | DAVID GEORGE BUCK      | FID | PFE    | s   | 3000    | 17.84 | n/a    | n/a      | 0.00     | 0.0    |
| В | BUCK CAPITAL MGMT      |     | PLCE   | В   | 20,000  | 35.08 | n/a    | 5-Feb    | non-brg  | 2.5    |
|   | 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    |
| f | DAVID GEORGE BUCK      | FID | SEP    | В   | 1000    | 27.83 | n/a    | n/a      | 0.00     | 0.0    |

|   | Account                | RR# | Symbol | B/S | Shares  | Price | MRI | Research | Comm.     | ¢/Shr. |
|---|------------------------|-----|--------|-----|---------|-------|-----|----------|-----------|--------|
| ß | BUCK CAPITAL MGMT      |     | SIG    | В   | 10,000  | 27.37 | n/a | n/a      | non-brg   | 4.0    |
|   | ROYCE TRADING          | 216 | SJM    | В   | 500     | 59.53 | n/a | n/a      | 25.00     | 5.0    |
| f | ABRAM M CHAPPELL       | FID | SRI    | В   | 150     | 6.69  | n/a | n/a      | 0.00      | 0.0    |
|   | BROADARCH CAP/OLD NEWC | 070 | TGT    | В   | 900     | 49.18 | n/a | 4-Feb    | 36.00     | 4.0    |
|   | BROADARCH CAP/OLD NEWC | 070 | TIN    | В   | 5,100   | 16.92 | n/a | 9-Feb    | 204.00    | 4.0    |
|   | ELM RIDGE ADVISORS     | 044 | TIN    | В   | 368,288 | 16.90 | n/a | 9-Feb    | 14,731.52 | 4.0    |
| ß | BUCK CAPITAL MGMT      |     | тJX    | В   | 30,000  | 37.53 | n/a | 5-Feb    | non-brg   | 4.0    |
|   | CASTLEROCK             | 040 | UA     | SS  | 42,057  | 24.96 | n/a | 29-Jan   | 1,682.28  | 4.0    |
|   | SCOPUS FUND            | 041 | UA     | В   | 49,800  | 24.97 | n/a | 29-Jan   | 2,490.00  | 5.0    |
| ß | BUCK CAPITAL MGMT      |     | UBI FP | В   | 70,000  | 13.05 | n/a | n/a      | non-brg   | 0.7    |
|   | WAGONHOUND/NIC         | 048 | UHS    | В   | 50,000  | 31.11 | n/a | n/a      | 2,000.00  | 4.0    |
|   | WAGONHOUND/NIC         | 048 | UPL    | В   | 10,000  | 45.78 | n/a | 19-Jan   | 400.00    | 4.0    |
| ß | BUCK CAPITAL MGMT      |     | URBN   | В   | 10,000  | 30.99 | n/a | n/a      | non-brg   | 4.0    |
|   | LAGRANGE CAP ADV       | 048 | URI    | В   | 11,400  | 7.05  | n/a | n/a      | 570.00    | 5.0    |
| f | JOHN BARTMAN COLE      | FID | VXX    | S   | 230     | 32.28 | n/a | n/a      | 0.00      | 0.0    |
|   | 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 |
| OTAL (Trade Date):    |     |        |     |         |       |     |          | 92,579.54     |

## Cancel/Corrects and As-Of Trades

| Туре  | 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   |
| TOTAL | (AO,  | CXL, CRT):               |      |        |     |        |       |              | 50.00       |

TOTAL (Trade Date):
TOTAL (AO, CXL, CRT):

TOTAL (RUN DATE) / NFS:

92,579.54
50.00

92,629.54

MRI Securities with Trade Activity on 11-Feb. PFCB

MRI Securities without Trade Activity on 11-Feb.

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

T-Date = 17%

YTD = 18%

## Legend:

O: 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)