



Daily Compliance Activity Report

Trade Date: 01/20/2011

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		7974 JP	B	5,000	284.43	n/a	n/a	non-brg	42.7
PATTEN & PATTEN	025	AAPL	S	830	332.63	n/a	n/a	41.50	5.0
CAVU CAP ADV	028	ANF	S	15,000	51.00	n/a	10-Jan	750.00	5.0
BUCK CAPITAL MGMT	001	ANN	B	30,000	22.57	n/a	n/a	900.00	3.0
LAGRANGE CAP ADV	048	AN	SS	15,000	29.09	n/a	7-Jan	750.00	5.0
BALYASNY ASSET MGMT	044	ASNA	S	50,000	27.05	n/a	n/a	2,500.00	5.0
f JENNIFER CORWIN GLIC	FID	AVY	S	325	41.48	n/a	5-Jan	0.00	0.0
LAGRANGE CAP ADV	048	AXL	B	15,000	14.59	n/a	7-Jan	750.00	5.0
f FRANCIS MICHAEL MCCA	FID	BGZ	B	1200	8.39	n/a	n/a	0.00	0.0
f SCOTT L BRUNNER	FID	BGZ	S	1500	8.32	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	BID	B	10,000	41.57	n/a	n/a	300.00	3.0
f JOHN MICHAEL ZOLIDIS	FID	BKS	S	650	17.07	n/a	n/a	0.00	0.0
CHARTER OAK	033	BUD	B	5,000	55.83	n/a	14-Jan	250.00	5.0
CAVU CAP ADV	028	BYD	S	10,000	11.35	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		CACH	S	3,700	4.00	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
1798 CAP/LOMBARD ASSET	040	CAT	S	21,000	94.35	n/a	22-Oct	1,050.00	5.0
BUCK CAPITAL MGMT	001	COH	B	20,000	53.53	n/a	20-Jan	600.00	3.0
Õ Nilsa Vazquez		CREE	B	100	52.08	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CSTR	S	13,100	41.61	n/a	n/a	non-brg	4.0
SONTERRA CAP	041	CVBF	B	30,000	8.36	n/a	n/a	900.00	3.0
f MARK ANTHONY GRONET	FID	CVTR	B	4000	5.49	n/a	n/a	0.00	0.0
f ANDREW SINCLAIR	FID	C	S	120	0.42	n/a	18-Jan	0.00	0.0
BUCK CAPITAL MGMT	001	DDS	S	37,500	43.15	n/a	n/a	1,125.00	3.0
CASTLEROCK	040	DDS	B	49,182	41.97	n/a	n/a	1,967.28	4.0
ß BUCK CAPITAL MGMT		DECK	S	10,000	74.80	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DLTR	S	70,000	51.87	n/a	18-Nov	non-brg	4.0
f MANNY I KORMAN	FID	DLTR	S	7000	51.67	n/a	18-Nov	0.00	0.0
f MANNY I KORMAN	FID	DPZ	S	5000	16.29	n/a	7-Jan	0.00	0.0
ARCHON CAPITAL	035	DRIV	B	10,000	34.41	n/a	n/a	300.00	3.0
ß BUCK CAPITAL MGMT		DRI	SS	10,000	46.65	n/a	7-Jan	non-brg	4.0
CAVU CAP ADV	028	DRI	B	15,000	46.86	n/a	7-Jan	750.00	5.0
ß BUCK CAPITAL MGMT		EAT	SS	10,000	21.47	n/a	3-Jan	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
WEDBUSH/PACIFIC GROWTH EQTY LLC084	ES		S	15,000	5.47		n/a	n/a	600.00	4.0
NEUBERGER BERMAN	036	EXPO	B	1,700	36.36	n/a	n/a	68.00	4.0	
f JOHN BARTMAN COLE	FID	FBR	B	1000	16.04	n/a	n/a	0.00	0.0	
f MARK ADAM WEINTRAUB	FID	FBR	B	200	16.08	n/a	n/a	0.00	0.0	
SAC CRIB	044	FDX	S	25,000	93.54	n/a	n/a	875.00	3.5	
B BUCK CAPITAL MGMT		FITB	B	50,000	14.00	n/a	n/a	non-brg	0.0	
BASIX	033	FL	B	15,000	18.34	n/a	22-Dec	450.00	3.0	
CIRCLE T/SES PART	035	F	B	40,000	17.62	n/a	7-Jan	1,600.00	4.0	
BUCK CAPITAL MGMT	001	GES	S	30,000	42.70	n/a	20-Jan	900.00	3.0	
f JENNIFER CORWIN GLIC	FID	GET	B	500	33.51	n/a	n/a	0.00	0.0	
B BUCK CAPITAL MGMT		GIII	B	16,479	33.90	n/a	n/a	non-brg	4.0	
NEWLAND CAPITAL MGT	025	GPI	B	30,844	38.78	n/a	7-Jan	1,233.76	4.0	
f DAVID GEORGE BUCK	FID	GS	B	10	6.85	n/a	19-Jan	0.00	0.0	
f DAVID GEORGE BUCK	FID	GS	S	10	3.84	n/a	19-Jan	0.00	0.0	
NEUBERGER BERMAN	036	HIBB	B	13,600	33.51	n/a	n/a	544.00	4.0	
f JONATHAN RICHARD HAR	FID	HOV	S	2000	4.54	n/a	n/a	0.00	0.0	

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f ANN BETTENDORF FREEM	FID	HPQ	S	150	46.13	n/a	n/a	0.00	0.0
CAVU CAP ADV	028	HST	S	15,000	18.10	n/a	20-Jan	750.00	5.0
B BUCK CAPITAL MGMT		ICON	B	40,000	20.63	n/a	n/a	non-brg	4.0
SIGMA CAP BOBBY	044	IWM	SS	20,000	78.10	n/a	n/a	700.00	3.5
LANE GATE PARTNERS LLC	012	JCI	B	1,500	38.98	20-Jan	20-Jan	45.00	3.0
f MARK ANTHONY GRONET	FID	JCI	S	300	39.06	20-Jan	20-Jan	0.00	0.0
BALYASNY ASSET MGMT	044	JCP	SS	25,000	30.38	n/a	7-Jan	1,250.00	5.0
f RAVI SADARANGANI	FID	JCP	B	1000	31.34	n/a	7-Jan	0.00	0.0
B BUCK CAPITAL MGMT		JNY	S	100,000	13.74	n/a	20-Jan	non-brg	2.5
B BUCK CAPITAL MGMT		JNY	S	245,000	13.80	n/a	20-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		JOSB	S	30,000	42.63	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	JPM	B	50	1.76	n/a	14-Jan	0.00	0.0
f DAVID GEORGE BUCK	FID	JPM	S	50	0.22	n/a	14-Jan	0.00	0.0
B BUCK CAPITAL MGMT		JWN	B	20,000	41.45	n/a	7-Jan	non-brg	4.0
f JOHN MICHAEL ZOLIDIS	FID	KMX	B	400	32.06	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		KR	SS	10,000	21.72	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	KSS	S	20,000	51.42	n/a	7-Jan	600.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f DAVID GEORGE BUCK	FID	K	B	1000	51.51	n/a	n/a	0.00	0.0
SANDLER O'NEILL ASSET	031	LAZ	S	10,000	42.00	n/a	14-Jan	500.00	5.0
CATAPULT	040	LEAP	S	75,000	13.15	n/a	n/a	3,000.00	4.0
CRAMER ROSENTHAL/SCOTT	012	MAN	S	6,070	64.80	n/a	n/a	242.80	4.0
NEWLAND CAPITAL MGT	025	MDR	B	25,000	19.58	n/a	n/a	1,000.00	4.0
NEWLAND CAPITAL MGT	025	MOD	B	25,000	16.23	n/a	n/a	1,000.00	4.0
FARALLON CAP MGMT	040	MSFT	B	102,300	28.22	n/a	n/a	3,069.00	3.0
CAXTON PART	040	MS	C	86,900	28.41	n/a	20-Jan	3,041.50	3.5
f EDWARD W WHEELER	FID	MTRX	B	7000	10.81	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	MTW	B	190	13.15	n/a	1-Nov	0.00	0.0
B BUCK CAPITAL MGMT		MVRX	C	35,000	209.49	n/a	n/a	non-brg	20.9
BUCK CAPITAL MGMT	001	MW	S	20,000	26.01	n/a	n/a	600.00	3.0
f MARK ADAM WEINTRAUB	FID	NM	B	800	5.43	n/a	n/a	0.00	0.0
f MARK ANTHONY GRONET	FID	NM	B	6000	5.44	n/a	n/a	0.00	0.0
SIGMA CAP BOBBY	044	NOV	B	15,000	67.16	n/a	n/a	525.00	3.5
BUCK CAPITAL MGMT	001	OXM	S	800	24.01	n/a	n/a	24.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAMBIAR CAP	046	PRX	B	59,818	36.18	n/a	18-Jan	2,392.72	4.0
f SCOTT L BRUNNER	FID	QID	S	3000	10.93	n/a	n/a	0.00	0.0
f MARK ANTHONY GRONET	FID	RRR	S	1000	12.03	n/a	12-Jan	0.00	0.0
B BUCK CAPITAL MGMT		SHOO	B	50,000	40.14	n/a	n/a	non-brg	4.0
EMERSON CAPITAL MGMT	048	SIG	B	8,000	42.32	n/a	n/a	240.00	3.0
f JOHN MICHAEL ZOLIDIS	FID	SIG	B	250	42.77	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	SLV	B	3000	26.98	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SODA	S	10,000	37.18	n/a	n/a	non-brg	4.0
SIGMA CAP BOBBY	044	SPY	SS	15,000	127.88	n/a	n/a	525.00	3.5
COLUMBUS CAP MGMT LLC	084	SRI	B	17,566	15.01	n/a	n/a	878.30	5.0
PERRY PARTNERS	085	SUN	B	10,000	40.47	n/a	n/a	400.00	4.0
CASTLEROCK	040	SVU	SS	50,000	7.30	n/a	n/a	2,000.00	4.0
1798 CAP/LOMBARD ASSET	040	SWC	B	5,000	21.87	n/a	n/a	250.00	5.0
B BUCK CAPITAL MGMT		SWY	SS	10,000	21.11	n/a	n/a	non-brg	4.0
f MARK ANTHONY GRONET	FID	TEVA	S	200	53.80	n/a	20-Jan	0.00	0.0
f MARC PAUL LUCHANSKY	FID	TEX	S	500	30.37	n/a	22-Oct	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COUGAR TRADING	044	TGT	B	5,000	55.69	n/a	7-Jan	250.00	5.0
COUGAR TRADING	044	TGT	S	5,000	55.44	n/a	7-Jan	250.00	5.0
LEVEL GLOBAL SHARED ACCT	257	TPX	S	100,000	39.71	n/a	n/a	3,000.00	3.0
SIGMA CAP BOBBY	044	TYC	SS	10,000	44.08	n/a	5-Jan	350.00	3.5
B BUCK CAPITAL MGMT		URBN	S	20,000	34.88	n/a	n/a	non-brg	4.0
f JOSEPH CIRO AMATURO	FID	URZ	B	20000	4.50	n/a	n/a	0.00	0.0
f JASON ERIC COHEN	FID	USAK	B	200	12.27	n/a	n/a	0.00	0.0
SENATOR INVESTMENT GROUP	036	VAL	B	37,200	35.78	n/a	n/a	1,116.00	3.0
f ANN BETTENDORF FREEM	FID	VMW	B	100	88.58	n/a	n/a	0.00	0.0
Ö Ann Bettendorf Freeman		VMW	B	100	88.44	n/a	n/a	0.00	0.0
f FRANCIS MICHAEL MCCA	FID	VPG	S	400	18.52	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	VRX	SS	4,000	35.00	n/a	n/a	400.00	10.0
f DAVID GEORGE BUCK	FID	WCG	B	1500	31.05	n/a	n/a	0.00	0.0
TRUSTCO/SUNTRUST	040	WEN	B	50,000	4.86	n/a	7-Jan	1,750.04	3.5
B BUCK CAPITAL MGMT		WMT	C	50,000	56.22	n/a	17-Nov	non-brg	4.0

TOTAL (Trade Date):

49,853.90

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	01/19	NOMURA CAPITAL	029	ABH	S	5,000	26.72	n/a	n/a	150.00 3.0
AO,	01/19	NOMURA CAPITAL	029	CHMT	S	4,000	16.00	n/a	n/a	120.00 3.0
AO,	01/19	WADDELL AND REED	047	DXCM	B	89,870	15.17	n/a	n/a	3594.80 4.0
TOTAL (AO, CXL, CRT) :										3,864.80

TOTAL (Trade Date) :	49,853.90
TOTAL (AO, CXL, CRT) :	3,864.80

TOTAL (RUN DATE) / NFS :	53,718.70
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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MRI Securities with Trade Activity on 20-Jan.

JCI

MRI Securities without Trade Activity on 20-Jan.

SPR, HOT, H

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

T-Date = 12%

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)