



Daily Compliance Activity Report

Trade Date: 06/20/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------|-----|--------|-----|-----------|--------|-----|----------|--------------|-----|
| BUCK CAPITAL MGMT | | 210 HK | S | 1,200,000 | 0.85 | n/a | n/a | non-brg | 0.0 |
| BUCK CAPITAL MGMT | | 494 HK | S | 1,200,000 | 1.85 | n/a | n/a | non-brg | 0.0 |
| JOSEPH CIRO AMATURO | FID | AAPL | B | 500 | 313.81 | n/a | n/a | 0.00 | 0.0 |
| PROSPECTOR PARTNERS LLC | 036 | ADP | B | 6,500 | 52.59 | n/a | n/a | 260.00 | 4.0 |
| ROTHSCHILD ASSET | 040 | AGP | S | 9,944 | 64.25 | n/a | n/a | 397.76 | 4.0 |
| BUCK CAPITAL MGMT | | ANN | B | 20,000 | 25.80 | n/a | n/a | non-brg | 4.0 |
| CAERUS GLOBAL | 041 | ANN | B | 50,000 | 26.29 | n/a | n/a | 2,000.00 | 4.0 |
| BUCK CAPITAL MGMT | | ARCO | S | 25,000 | 20.38 | n/a | n/a | non-brg | 4.0 |
| CHRISTOPHER ROBERT C | FID | AXL | S | 300 | 10.36 | n/a | 25-May | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | | BBY | S | 125,000 | 31.31 | n/a | n/a | non-brg | 4.0 |
| BUCK CAPITAL MGMT | | BBY | S | 50,000 | 31.31 | n/a | n/a | non-brg | 4.0 |
| SUN AMERICA ASSET MGMT | 030 | BECN | B | 400 | 21.61 | n/a | n/a | 16.00 | 4.0 |
| PROSPECTOR PARTNERS LLC | 036 | BRKB | B | 2,000 | 76.12 | n/a | n/a | 80.00 | 4.0 |
| BUCK CAPITAL MGMT | | CHS | S | 50,000 | 14.25 | n/a | 5-Feb | non-brg | 4.0 |
| SUN AMERICA ASSET MGMT | 030 | CPX | B | 300 | 30.12 | n/a | n/a | 12.00 | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------|-----|--------|-----|---------|-------|-----|----------|-------------|-----|
| ⚡ BUCK CAPITAL MGMT | | CROX | S | 20,000 | 24.51 | n/a | n/a | non-brg | 4.0 |
| CAERUS GLOBAL | 041 | CSTR | B | 17,100 | 48.56 | n/a | n/a | 684.00 | 4.0 |
| f DAVID GEORGE BUCK | FID | CS | B | 2000 | 39.44 | n/a | n/a | 0.00 | 0.0 |
| f JASON ERIC COHEN | FID | CVGI | B | 180 | 13.67 | n/a | n/a | 0.00 | 0.0 |
| f STEFFANIE CARMELA CA | FID | CWTR | S | 250 | 1.34 | n/a | n/a | 0.00 | 0.0 |
| PROSPECTOR PARTNERS LLC | 036 | CW | B | 10,000 | 31.79 | n/a | n/a | 400.00 | 4.0 |
| f DAVID GEORGE BUCK | FID | C | S | 2000 | 38.06 | n/a | 16-Jun | 0.00 | 0.0 |
| ⚡ BUCK CAPITAL MGMT | | DDS | S | 16,200 | 51.64 | n/a | n/a | non-brg | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | DDS | S | 16,200 | 51.64 | n/a | n/a | non-brg | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | DDS | S | 8,800 | 50.14 | n/a | n/a | non-brg | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | DDS | S | 8,800 | 50.14 | n/a | n/a | non-brg | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | DECK | S | 12,500 | 80.37 | n/a | n/a | non-brg | 4.0 |
| MAIRS AND POWER INV | 030 | ECL | S | 20,000 | 53.84 | n/a | 2-Jun | 1,000.00 | 5.0 |
| RBC CAPITAL MARKETS | 040 | EMN | B | 400 | 94.63 | n/a | n/a | 16.00 | 4.0 |
| SUN AMERICA ASSET MGMT | 030 | ENTG | B | 2,200 | 9.20 | n/a | n/a | 88.00 | 4.0 |
| CAMBIAR CAP | 046 | ETN | B | 100,000 | 47.26 | n/a | 16-Jun | 4,000.00 | 4.0 |
| ROYCE TRADING | 012 | FINL | B | 4,000 | 22.90 | n/a | 10-May | 200.00 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|--------------|----------|---------------|---------------|------------|---------------|----------------|------------|
| B BUCK CAPITAL MGMT | | FL | S | 10,000 | 23.17 | n/a | 2-Jun | non-brg | 4.0 |
| MACQUARIE INVESTMENT MGMT. | 040 | FL | B | 10,000 | 23.17 | n/a | 2-Jun | 0.00 | 0.0 |
| RBC CAPITAL MARKETS | 040 | FL | B | 19,900 | 23.28 | n/a | 2-Jun | 796.00 | 4.0 |
| B BUCK CAPITAL MGMT | | FOSL | S | 15,000 | 108.82 | n/a | n/a | non-brg | 4.0 |
| f MITCHELL JAMES SPEIS | FID | FSNXX | B | 9200 | 1.00 | n/a | n/a | 0.00 | 0.0 |
| OZ MGMT | 040 | F | C | 94,946 | 12.98 | n/a | 2-Jun | 2,848.38 | 3.0 |
| B BUCK CAPITAL MGMT | | GCO | S | 20,000 | 44.91 | n/a | n/a | non-brg | 4.0 |
| SURVEYOR CAPITAL | 041 | GILD | S | 44,990 | 39.64 | n/a | n/a | 1,349.70 | 3.0 |
| B BUCK CAPITAL MGMT | | GIL | S | 10,000 | 33.32 | n/a | 12-May | non-brg | 4.0 |
| SUN AMERICA ASSET MGMT | 030 | GLNG | B | 2,000 | 30.80 | n/a | n/a | 80.00 | 4.0 |
| B BUCK CAPITAL MGMT | | HBI | S | 15,000 | 27.85 | n/a | 21-Apr | non-brg | 4.0 |
| SAXON WOODS ADVISORS | 091 | HSIC | B | 10,000 | 70.96 | n/a | n/a | 300.00 | 3.0 |
| B BUCK CAPITAL MGMT | | IBOC | C | 50,000 | 16.44 | n/a | n/a | non-brg | 2.5 |
| BNP PARIBAS SEC | 040 | IP | B | 20,000 | 27.16 | n/a | 28-Apr | 1,000.00 | 5.0 |
| TUDOR INVESTORS | 028 | IP | SS | 5,000 | 27.36 | n/a | 28-Apr | 150.00 | 3.0 |
| SUN AMERICA ASSET MGMT | 030 | JNY | B | 1,200 | 10.50 | n/a | 28-Apr | 48.00 | 4.0 |
| f DAVID GEORGE BUCK | FID | JPM | B | 1000 | 40.38 | n/a | 16-Jun | 0.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|-----|----------------|----------|----------------|--------------|------------|--------------|----------------|------------|
| MACQUARIE INVESTMENT MGMT. | 040 | KEG | B | 5,000 | 16.31 | n/a | 16-Jun | 0.00 | 0.0 |
| SAC TRADING TOM LEDDY | 035 | KFT | SS | 30,000 | 34.70 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | KSS | B | 50,000 | 51.08 | n/a | 3-Jun | non-brg | 4.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | LOW | B | 100,000 | 23.16 | n/a | 13-Jun | 3,500.00 | 3.5 |
| B BUCK CAPITAL MGMT | | LTD | B | 50,000 | 36.40 | n/a | n/a | non-brg | 4.0 |
| PROSPECTOR PARTNERS LLC | 036 | L | B | 5,000 | 40.85 | n/a | n/a | 200.00 | 4.0 |
| WEISS PECK | 040 | MBND | S | 51,700 | 3.36 | n/a | n/a | 1,551.00 | 3.0 |
| ROYCE TRADING | 012 | MLI | B | 3,600 | 36.01 | n/a | 27-Apr | 180.00 | 5.0 |
| B BUCK CAPITAL MGMT | | MNRO | S | 40,000 | 32.25 | n/a | n/a | non-brg | 2.5 |
| B BUCK CAPITAL MGMT | | MSMSBCM | C | 275,000 | 96.69 | n/a | n/a | non-brg | 7.7 |
| SUN AMERICA ASSET MGMT | 030 | MTZ | B | 1,400 | 17.88 | n/a | n/a | 56.00 | 4.0 |
| SONTERRA CAP | 041 | MWV | S | 50,000 | 31.12 | n/a | 27-Apr | 2,000.00 | 4.0 |
| TUDOR INVESTORS | 028 | NUE | SS | 4,000 | 39.68 | n/a | n/a | 120.00 | 3.0 |
| B BUCK CAPITAL MGMT | | NWY | S | 45,000 | 4.32 | n/a | n/a | non-brg | 2.0 |
| NEWLAND CAPITAL MGT | 025 | OI | B | 20,000 | 25.05 | n/a | n/a | 800.00 | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|-----|--------|-----|---------|--------|-----|----------|--------------|------|
| LATEFF MGMT | 035 | PKG | B | 1,350 | 26.55 | n/a | 19-Apr | 202.50 | 15.0 |
| FORTRESS INVESTMENT (US) | 036 | PNC | SS | 100,000 | 56.60 | n/a | n/a | 4,000.00 | 4.0 |
| CATAPULT | 040 | PPG | SS | 5,000 | 84.81 | n/a | 19-May | 200.00 | 4.0 |
| MERRILL ASSET/BLACKROCK | 297 | PRE | S | 16,800 | 67.90 | n/a | n/a | 672.00 | 4.0 |
| CATAPULT | 040 | PX | SS | 5,000 | 101.06 | n/a | 16-Jun | 200.00 | 4.0 |
| ß BUCK CAPITAL MGMT | | RCL | B | 17,500 | 35.30 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | RCL | B | 20,000 | 35.52 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | RCL | B | 30,000 | 35.30 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | SAH | S | 75,000 | 12.65 | n/a | n/a | non-brg | 4.0 |
| f JONATHAN RICHARD HAR | FID | SGI | B | 75 | 14.72 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | SHOO | S | 55,120 | 35.12 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | SIG | S | 30,000 | 42.20 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | SODA | B | 20,000 | 51.38 | n/a | n/a | non-brg | 2.5 |
| ß BUCK CAPITAL MGMT | | SODA | S | 5,000 | 50.89 | n/a | n/a | non-brg | 2.5 |
| ß BUCK CAPITAL MGMT | | TFM | B | 30,000 | 36.92 | n/a | n/a | non-brg | 4.0 |
| BNP PARIBAS SEC | 040 | TIN | B | 25,000 | 28.34 | n/a | 7-Jun | 1,250.00 | 5.0 |
| f DINA GOLDSTEIN | FID | URG | B | 700 | 1.45 | n/a | n/a | 0.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------------------------------|------------|------------|----------|--------------|--------------|------------|------------|------------------|------------|
| SUN AMERICA ASSET MGMT | 030 | URZ | B | 2,700 | 2.78 | n/a | n/a | 81.00 | 3.0 |
| f DAVID GEORGE BUCK | FID | VNO | S | 1010 | 69.93 | n/a | n/a | 0.00 | 0.0 |
| FORTRESS INVESTMENT (US) | 036 | WFC | B | 200,000 | 27.18 | n/a | 16-Jun | 8,000.00 | 4.0 |
| f EDWARD W WHEELER | FID | WG | B | 20000 | 7.89 | n/a | n/a | 0.00 | 0.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | WMT | SS | 50,000 | 53.09 | n/a | 18-May | 1,750.00 | 3.5 |
| f JOSEPH CIRO AMATURO | FID | WNC | B | 10000 | 8.80 | n/a | n/a | 0.00 | 0.0 |
| CAERUS GLOBAL | 041 | WRC | S | 10,000 | 51.63 | n/a | 6-May | 400.00 | 4.0 |
| TUDOR INVESTORS | 028 | X | B | 5,000 | 41.50 | n/a | n/a | 150.00 | 3.0 |
| TOTAL (Trade Date): | | | | | | | | 41,038.34 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------|-------|-----------------------|------|--------|-----|---------|-------|-----|----------|-------------|
| AO,CXL | 06/15 | SANDLER O'NEILL ASSET | 031 | C | B | 5,000 | 38.68 | n/a | 16-Jun | 100.00 2.0 |
| AO,CRT | 06/15 | SANDLER O'NEILL ASSET | 031 | C | B | 5,000 | 38.68 | n/a | 16-Jun | 100.00 2.0 |
| AO,CRT | 06/16 | SANDLER O'NEILL ASSET | 031 | COF | SS | 20,000 | 49.09 | n/a | 17-Jun | 1000.00 5.0 |
| AO,CXL | 06/16 | SANDLER O'NEILL ASSET | 031 | COF | SS | 20,000 | 49.09 | n/a | 17-Jun | 1000.00 5.0 |
| AO, | 06/17 | CAMBIAR CAP | 046 | ETN | B | 150,000 | 47.18 | n/a | 16-Jun | 6000.00 4.0 |

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| TOTAL (AO, CXL, CRT) : | 6,000.00 |
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| TOTAL (Trade Date) : | 41,038.34 |
| TOTAL (AO, CXL, CRT) : | 6,000.00 |

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|---------------------------------|------------------|
| TOTAL (RUN DATE) / NFS : | 47,038.34 |
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BCM Cancel/Corrects and As-Of Trades

| Type | Date | Account | Symbol | B/S | Shares | Price | MRI Research | Comm.¢/Shr. |
|------|------|---------|--------|-----|--------|-------|--------------|-------------|
|------|------|---------|--------|-----|--------|-------|--------------|-------------|

MRI Securities with Trade Activity on 20-Jun.
NONE

MRI Securities without Trade Activity on 20-Jun.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 0%
YTD = 3%

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)