



Daily Compliance Activity Report

Trade Date: 03/18/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	AA	B	2,000	14.32	n/a	n/a	100.00	5.0
B BUCK CAPITAL MGMT		ABG	B	30,000	14.03	n/a	26-Feb	non-brg	4.0
ARMATURE CAPITAL	041	AGU	SS	20,000	70.91	n/a	n/a	800.00	4.0
B BUCK CAPITAL MGMT		ATVI	B	20,000	11.85	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		AXL 7 C12	SS	2,500	1.04	n/a	n/a	non-brg	300.0
f ANTHONY SUTERA	FID	AXL	S	2000	11.24	n/a	8-Feb	0.00	0.0
MILLRACE FUND LP	028	AXL	S	5,000	11.23	n/a	8-Feb	200.00	4.0
FINDLAY PARK PART	259	BK	B	54,328	30.40	n/a	9-Mar	2,716.40	5.0
PATTEN & PATTEN	067	BK	B	1,500	30.33	n/a	9-Mar	75.00	5.0
KLEINHEINZ CAP PART	031	BMV	B	50,000	26.05	n/a	n/a	2,500.00	5.0
EXIS CAPITAL	044	BONT	B	10,000	12.60	n/a	n/a	500.00	5.0
f KAREN F LEDDY	FID	BWS	S	700	15.35	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	CHRS	S	750	6.72	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	CIDM	S	8633	1.62	n/a	n/a	0.00	0.0
f FRANCIS MICHAEL MCCA	FID	CIT	S	50	37.66	n/a	2-Nov	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	COF	SS	5,000	40.88	n/a	17-Mar	250.00	5.0
PROSPECTOR PARTNERS LLC	036	CPB	B	10,000	34.91	n/a	n/a	400.00	4.0
f FRANCIS MICHAEL MCCA	FID	CWTR	S	200	7.11	n/a	n/a	0.00	0.0
f ANTHONY SUTERA	FID	DAN	B	1000	11.84	n/a	25-Feb	0.00	0.0
HARBORWATCH/DIAMBACK	232	DD	S	10,000	37.49	n/a	26-Feb	500.00	5.0
PATTEN & PATTEN	067	DOV	S	1,000	47.01	n/a	n/a	50.00	5.0
EXIS CAPITAL	044	DSW	SS	10,000	26.59	n/a	16-Mar	500.00	5.0
B BUCK CAPITAL MGMT		ERTS	B	20,000	18.30	n/a	n/a	non-brg	4.0
f KAREN F LEDDY	FID	EV	S	300	33.06	n/a	2-Mar	0.00	0.0
HUNTER GLOBAL INVESTOR	067	FDX	B	67,025	88.20	n/a	n/a	3,351.25	5.0
f ALICE BEEBE LONGLEY	FID	FR	S	2000	7.30	n/a	n/a	0.00	0.0
f MITCHELL JAMES SPEIS	FID	FSNXX	S	5000	1.00	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FUQI	S	70,000	12.05	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		F	S	425,300	14.29	n/a	3-Mar	non-brg	4.0
EXIS CAPITAL	044	F	SS	25,000	14.28	n/a	3-Mar	1,250.00	5.0
f JOHN MICHAEL ZOLIDIS	FID	F	B	400	14.20	n/a	3-Mar	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OZ MGMT	040	F	SS	100,000	13.98	n/a	3-Mar	3,000.00	3.0
B BUCK CAPITAL MGMT		GCO	S	30,000	29.09	n/a	n/a	non-brg	4.0
TRUSTCO/SUNTRUST	040	GES	S	13,500	48.00	18-Mar	18-Mar	526.50	3.9
HARBORWATCH/DIAMBACK	232	GLW	S	25,000	19.28	n/a	17-Mar	1,250.00	5.0
B BUCK CAPITAL MGMT		GYMB	S	45,000	52.00	n/a	17-Mar	non-brg	2.0
B BUCK CAPITAL MGMT		GYMB	S	5,000	52.02	n/a	17-Mar	non-brg	4.0
ST OF MICHIAN	047	HON	B	130,000	43.31	n/a	1-Mar	3,900.00	3.0
B BUCK CAPITAL MGMT		HTZ	B	20,000	9.74	n/a	n/a	non-brg	2.5
RBC CAPITAL MARKETS	040	IP	B	10,000	26.45	n/a	3-Feb	400.00	4.0
WEINTRAUB CAPITAL MGT.	040	IP	S	100,000	26.21	n/a	3-Feb	4,000.00	4.0
f FRANCIS MICHAEL MCCA	FID	IR	S	50	35.30	n/a	16-Feb	0.00	0.0
f EDWARD W WHEELER	FID	JAJ	S	130	3.15	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	JCP	C	50,800	31.23	n/a	5-Mar	2,540.00	5.0
f FRANCIS MICHAEL MCCA	FID	JCP	S	50	31.31	n/a	5-Mar	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	KSWs	S	1000	10.95	n/a	n/a	0.00	0.0
SAXON WOODS ADVISORS	242	LOGI	B	25,000	16.95	n/a	n/a	1,000.00	4.0
f DAVID GEORGE BUCK	FID	MAR	S	1500	28.68	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		NWY	S	40,000	4.79	n/a	n/a	non-brg	3.0
ADALY INV MGMT	031	OZM	B	30,000	14.70	n/a	2-Mar	1,200.00	4.0
B BUCK CAPITAL MGMT		PAG	B	20,000	15.72	n/a	22-Feb	non-brg	4.0
f ANDREW SINCLAIR	FID	PAY	B	15	2.15	n/a	n/a	0.00	0.0
HARBORWATCH/DIAMBACK	232	POT	C	10,000	123.49	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		PSS	B	30,000	21.79	n/a	n/a	non-brg	4.0
THIRD POINT MGMT	044	PVH	B	25,000	53.99	n/a	16-Mar	1,000.00	4.0
GALT INVESTMENT	041	ROST	B	50,000	52.09	n/a	n/a	2,500.00	5.0
VISIUM/BALY BOBBY	044	ROST	C	12,500	51.95	n/a	n/a	625.00	5.0
B BUCK CAPITAL MGMT		SAH	B	20,000	12.15	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SIG	B	30,000	29.14	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	067	SNY	B	1,000	38.81	n/a	n/a	50.00	5.0
ARMATURE CAPITAL	041	SOA	S	25,000	15.43	n/a	n/a	1,000.00	4.0
f DAVID GEORGE BUCK	FID	SPG	S	1000	85.12	n/a	n/a	0.00	0.0
GALT INVESTMENT	041	SPLS	B	45,000	23.77	n/a	n/a	2,250.00	5.0
f FRANCIS MICHAEL MCCA	FID	SRI	S	500	9.46	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JASON ERIC COHEN	FID	SSH	B	10	0.47	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SUMR	S	12,900	6.25	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		SUMR	S	74,030	6.25	n/a	n/a	non-brg	2.5
BASIX	033	TIN	S	23,000	21.56	n/a	9-Feb	690.00	3.0
ELM RIDGE ADVISORS	044	TIN	S	30,000	21.61	n/a	9-Feb	1,200.00	4.0
EXIS CAPITAL	044	TJX	SS	5,000	42.97	n/a	5-Mar	250.00	5.0
COUGAR TRADING	044	TM	S	5,000	78.47	n/a	n/a	250.00	5.0
ß BUCK CAPITAL MGMT		UAUA	S	10,000	19.79	n/a	n/a	non-brg	4.0
KAILIX INV ADV	048	VALE	B	20,000	30.71	n/a	n/a	1,000.00	5.0
THOMPSON SIEGAL&WALMSLEY	029	WCRX	S	11,887	25.67	n/a	17-Mar	475.48	4.0
f CHRISTOPHER ROBERT C	FID	WNC	B	500	7.53	n/a	n/a	0.00	0.0
f COLE THOMAS KAICHER	FID	WNC	B	437	7.24	n/a	n/a	0.00	0.0
f COLE THOMAS KAICHER	FID	WNC	S	420	7.55	n/a	n/a	0.00	0.0
DIAMONDBACK CAP MGMT	232	XLE	SS	17,000	58.52	n/a	n/a	510.00	3.0
DIAMONDBACK CAP MGMT	232	XLI	C	17,000	30.84	n/a	n/a	510.00	3.0
DIAMONDBACK CAP MGMT	232	XOP	SS	46,000	43.50	n/a	n/a	1,380.00	3.0
HARVEST MGMT	039	ZUMZ	S	10,000	19.47	n/a	n/a	500.00	5.0

TOTAL (Trade Date):

45,699.63

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	03/17	CATAPULT	040	CMA	SS	21,100	38.03	n/a	n/a	1055.00 5.0
AO,CXL	03/17	GREEN ARROW DOUG	040	CMA	SS	21,100	38.03	n/a	n/a	1055.00 5.0
AO,CXL	03/17	ROSEDALE CAPITAL	046	F	S	30,000	13.61	n/a	3-Mar	1500.00 5.0
AO,CRT	03/17	ROSEDALE CAPITAL	046	F	S	30,000	13.61	n/a	3-Mar	1200.00 4.0
AO,CRT	02/24	FRIESS MGMT	033	SCHW	B	900	18.46	n/a	n/a	36.00 4.0
AO,CXL	02/24	FRIESS MGMT	033	SCHW	B	900	18.46	n/a	n/a	36.00 4.0
AO,CRT	02/25	FRIESS MGMT	033	SCHW	B	600	18.16	n/a	n/a	24.00 4.0
AO,CXL	02/25	FRIESS MGMT	033	SCHW	B	600	18.16	n/a	n/a	24.00 4.0
AO,CXL	03/17	SENATOR INVESTMENT GROUP	036	VLO	SS	250,000	20.71	n/a	n/a	7500.00 3.0
AO,CRT	03/17	SENATOR INVESTMENT GROUP	036	VLO	SS	250,000	20.71	n/a	n/a	7500.00 3.0
AO,	03/17	DIAMONDBACK CAP MGMT	232	XLI	C	32,000	30.79	n/a	n/a	960.00 3.0

TOTAL (AO, CXL, CRT) :**660.00**

TOTAL (Trade Date) :

45,699.63

TOTAL (AO, CXL, CRT) :

660.00

TOTAL (RUN DATE) / NFS:**46,359.63**

MRI Securities with Trade Activity on 18-Mar.

GES

MRI Securities without Trade Activity on 18-Mar.

KO, AGCO, AF

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

T-Date = 0%

YTD = 16%

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)