



Daily Compliance Activity Report

Trade Date: 01/05/2010

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 | S | 500 | 214.95 | n/a | n/a | non-brg | 4.0 |
| f DAVID GEORGE BUCK | FID | ABT | B | 1000 | 53.86 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | AEO | S | 5,000 | 17.35 | n/a | 5-Jan | non-brg | 4.0 |
| f DAVID GEORGE BUCK | FID | AET | B | 1000 | 32.41 | n/a | n/a | 0.00 | 0.0 |
| FORWARD MGMT | 033 | AIRV | S | 1,000 | 7.62 | n/a | n/a | 50.00 | 5.0 |
| f JONATHAN RICHARD HAR | FID | ALN | B | 1000 | 2.85 | n/a | n/a | 0.00 | 0.0 |
| CADIAN CAPITAL | 067 | ANF | S | 100,000 | 35.50 | n/a | 5-Jan | 4,000.00 | 4.0 |
| B BUCK CAPITAL MGMT | | AN | B | 50,000 | 19.49 | n/a | 4-Jan | non-brg | 4.0 |
| CIRCLE T/SES PART | 035 | AN | B | 45,000 | 19.39 | n/a | 4-Jan | 1,800.00 | 4.0 |
| OZ MGMT | 040 | AN | B | 100,000 | 19.59 | n/a | 4-Jan | 3,000.00 | 3.0 |
| B BUCK CAPITAL MGMT | | ARO | B | 10,000 | 34.28 | n/a | 5-Jan | non-brg | 4.0 |
| FORWARD MGMT | 033 | ASEI | B | 115 | 79.59 | n/a | n/a | 5.75 | 5.0 |
| FORWARD MGMT | 033 | AXL | B | 1,050 | 9.30 | n/a | 4-Jan | 52.50 | 5.0 |
| JP MORGAN VENTURES | 046 | AXL | S | 25,000 | 9.24 | n/a | 4-Jan | 750.00 | 3.0 |
| MILLRACE FUND LP | 028 | AXL | S | 10,000 | 9.56 | n/a | 4-Jan | 300.00 | 3.0 |
| RBC CAPITAL MARKETS | 040 | AXL | S | 30,000 | 9.34 | n/a | 4-Jan | 1,200.00 | 4.0 |
| TRELLUS PARTNERS LP | 028 | AXL | S | 219,700 | 9.39 | n/a | 4-Jan | 6,591.00 | 3.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|-------------|-----------|---------------|--------------|------------|--------------|----------------|------------|
| f JONATHAN RICHARD HAR | FID | BAC | B | 375 | 15.89 | n/a | 4-Jan | 0.00 | 0.0 |
| VISIUM/BALY BOBBY | 044 | BKE | SS | 20,000 | 30.65 | n/a | n/a | 1,000.00 | 5.0 |
| B BUCK CAPITAL MGMT | | BONT | S | 5,000 | 10.19 | n/a | n/a | non-brg | 4.0 |
| MILLENNIUM-ANDEW | 031 | BUCY | SS | 30,000 | 64.72 | n/a | 22-Dec | 1,800.00 | 6.0 |
| f KAREN F LEDDY | FID | BWA | B | 115 | 35.50 | n/a | 4-Jan | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | BYI | S | 2,000 | 44.59 | n/a | n/a | non-brg | 4.0 |
| f CHRISTOPHER ROBERT C | FID | BYI | B | 100 | 45.00 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | CHA | C | 5,000 | 43.05 | n/a | n/a | non-brg | 4.0 |
| f CHRISTOPHER ROBERT C | FID | CIT | B | 200 | 29.10 | n/a | 2-Nov | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | COLM | B | 400 | 38.78 | n/a | n/a | non-brg | 5.0 |
| B BUCK CAPITAL MGMT | | COLM | SS | 30,000 | 38.79 | n/a | n/a | non-brg | 2.5 |
| B BUCK CAPITAL MGMT | | COLM | S | 400 | 38.75 | n/a | n/a | non-brg | 5.0 |
| DIAMONDBACK CAP MGMT | 232 | CPKI | B | 59,300 | 13.54 | n/a | 4-Jan | 2,965.00 | 5.0 |
| B BUCK CAPITAL MGMT | 001 | CRI | S | 10,000 | 27.31 | n/a | n/a | 400.00 | 4.0 |
| f NEIL M STRATTON | FID | CRV | S | 15 | 0.20 | n/a | n/a | 0.00 | 0.0 |
| DAVIDSON KEMPNER ADVISOR | 040 | CX | C | 50,000 | 12.55 | n/a | n/a | 2,500.00 | 5.0 |
| EXIS CAPITAL | 044 | CZZ | B | 15,000 | 8.94 | n/a | n/a | 750.00 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|-------------|----------|----------------|--------------|------------|--------------|----------------|------------|
| B BUCK CAPITAL MGMT | | DAL | S | 175,000 | 11.99 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | DBRN | S | 8,000 | 23.78 | n/a | n/a | non-brg | 4.0 |
| KENNEDY CAPITAL | 046 | DPZ | B | 50,000 | 8.74 | n/a | 4-Jan | 1,500.00 | 3.0 |
| WAGONHOUND/NIC | 048 | DPZ | B | 15,976 | 8.70 | n/a | 4-Jan | 479.28 | 3.0 |
| f EDWARD W WHEELER | FID | DST | S | 3000 | 45.22 | n/a | n/a | 0.00 | 0.0 |
| SYSTEMATIC FINANCIAL MGT | 035 | DSW | S | 25,000 | 26.49 | n/a | 17-Dec | 750.00 | 3.0 |
| f CHRISTOPHER ROBERT C | FID | DVN | B | 100 | 76.45 | n/a | 4-Jan | 0.00 | 0.0 |
| f DAVID GEORGE BUCK | FID | DVN | S | 500 | 76.14 | n/a | 4-Jan | 0.00 | 0.0 |
| f ABRAM M CHAPPELL | FID | EGLE | B | 460 | 5.43 | n/a | n/a | 0.00 | 0.0 |
| FIRST NEW YORK LEDDY | 035 | ETFC | B | 10,000 | 1.82 | n/a | n/a | 600.00 | 6.0 |
| RBC CAPITAL MARKETS | 040 | FDO | B | 20,000 | 27.51 | n/a | 4-Jan | 800.00 | 4.0 |
| THIRD COAST CAPITAL | 035 | FDO | B | 10,000 | 27.19 | n/a | 4-Jan | 500.00 | 5.0 |
| NEUBERGER BERMAN | 036 | FHN | S | 10,500 | 13.42 | n/a | n/a | 420.00 | 4.0 |
| PAW PARTNERS | 045 | FL | SS | 8,500 | 11.33 | n/a | 4-Jan | 425.00 | 5.0 |
| THIRD COAST CAPITAL | 035 | FL | B | 35,000 | 11.47 | n/a | 4-Jan | 1,750.00 | 5.0 |
| PAW PARTNERS | 045 | FRED | SS | 4,400 | 10.13 | n/a | n/a | 220.00 | 5.0 |
| LISTED ERR | 099 | FRED | B | 2,200 | 10.01 | n/a | n/a | 0.00 | 0.0 |
| LISTED ERR | 099 | FRED | S | 2,200 | 10.00 | n/a | n/a | 0.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|-----|--------|-----|--------|-------|-----|----------|--------------|-----|
| BUCK CAPITAL MGMT | | FUQI | B | 20,000 | 20.08 | n/a | n/a | non-brg | 4.0 |
| LEVIN CAPITAL STRATEGIES | 012 | F | S | 25,000 | 11.06 | n/a | 4-Jan | 1,000.00 | 4.0 |
| NICOLAS EVAN PAKLER | FID | GEOI | B | 210 | 14.39 | n/a | n/a | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | | GIII | S | 10,000 | 21.47 | n/a | n/a | non-brg | 2.5 |
| BUCK CAPITAL MGMT | | GPS | S | 6,000 | 20.82 | n/a | n/a | non-brg | 4.0 |
| FORWARD MGMT | 033 | GSS | S | 4,200 | 3.36 | n/a | n/a | 210.00 | 5.0 |
| BUCK CAPITAL MGMT | | GYMB | S | 5,000 | 44.06 | n/a | 5-Jan | non-brg | 4.0 |
| COOPER CREEK PART | 028 | GYMB | B | 7,500 | 44.59 | n/a | 5-Jan | 300.00 | 4.0 |
| GRISANTI BROWN & PARTNER | 048 | HAWK | B | 6,300 | 24.47 | n/a | n/a | 315.00 | 5.0 |
| EXIS CAPITAL | 044 | HBAN | S | 15,000 | 3.65 | n/a | n/a | 750.00 | 5.0 |
| MACKLOWE ASSET MGMT | 041 | HD | SS | 25,000 | 28.93 | n/a | 18-Nov | 1,000.00 | 4.0 |
| KAREN F LEDDY | FID | HSC | B | 300 | 32.97 | n/a | 4-Jan | 0.00 | 0.0 |
| BUCK CAPITAL MGMT | | ICON | S | 10,000 | 12.81 | n/a | n/a | non-brg | 2.5 |
| BUCK CAPITAL MGMT | | ICON | S | 10,000 | 12.86 | n/a | n/a | non-brg | 0.8 |
| NEUBERGER BERMAN | 036 | JCI | S | 5,600 | 27.79 | n/a | 4-Jan | 224.00 | 4.0 |
| CADIAN CAPITAL | 067 | JCP | S | 50,000 | 27.18 | n/a | 5-Jan | 2,000.00 | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------------------------|-----|--------|-----|---------|-------|-----|----------|-------------|-----|
| PZENA INV ADV | 044 | JCP | B | 27,500 | 27.14 | n/a | 5-Jan | 962.54 | 3.5 |
| FORWARD MGMT | 033 | JNS | B | 670 | 13.93 | n/a | 5-Jan | 33.50 | 5.0 |
| SANDLER O'NEILL ASSET | 031 | JNS | B | 3,500 | 13.75 | n/a | 5-Jan | 175.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | JNY | B | 10,000 | 16.63 | n/a | 4-Jan | 400.00 | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | JNY | B | 200,000 | 16.49 | n/a | 4-Jan | non-brg | 0.8 |
| ⌘ BUCK CAPITAL MGMT | | JOSB | S | 10,000 | 44.39 | n/a | n/a | non-brg | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | JOSB | S | 20,000 | 43.47 | n/a | n/a | non-brg | 2.0 |
| ⌘ BUCK CAPITAL MGMT | | JOSB | S | 5,000 | 44.12 | n/a | n/a | non-brg | 4.0 |
| PAW PARTNERS | 045 | JOSB | SS | 2,200 | 43.95 | n/a | n/a | 110.00 | 5.0 |
| MILLENNIUM-ANDEW | 031 | JOYG | B | 56,600 | 56.63 | n/a | 8-Dec | 3,396.00 | 6.0 |
| f CHRISTOPHER ROBERT C | FID | JRCC | S | 200 | 20.76 | n/a | n/a | 0.00 | 0.0 |
| RBC CAPITAL MARKETS | 040 | JWN | B | 10,000 | 37.81 | n/a | 5-Jan | 400.00 | 4.0 |
| MACKLOWE ASSET MGMT | 041 | KFT | B | 40,000 | 28.33 | n/a | n/a | 1,600.00 | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | KSS | S | 3,000 | 53.81 | n/a | 5-Jan | non-brg | 4.0 |
| f DAVID GEORGE BUCK | FID | LLY | S | 3000 | 34.93 | n/a | n/a | 0.00 | 0.0 |
| ⌘ BUCK CAPITAL MGMT | | LL | S | 3,000 | 26.27 | n/a | n/a | non-brg | 4.0 |
| SANDLER O'NEILL ASSET | 031 | LM | SS | 15,000 | 30.03 | n/a | 5-Jan | 750.00 | 5.0 |
| BUCK CAPITAL MGMT | 001 | LTD | B | 30,000 | 19.11 | n/a | n/a | 1,200.00 | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|------------------------|-----|----------|-----|---------|-------|-----|----------|--------------|-----|
| NEUBERGER BERMAN | 036 | LTD | B | 87,600 | 19.10 | n/a | n/a | 3,504.00 | 4.0 |
| EMERSON CAPITAL MGMT | 048 | LVLTT | B | 25,000 | 1.64 | n/a | n/a | 1,000.00 | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | MGM | SS | 30,000 | 10.43 | n/a | 6-Nov | non-brg | 4.0 |
| f DAVID GEORGE BUCK | FID | MON | S | 1000 | 84.90 | n/a | 5-Jan | 0.00 | 0.0 |
| TROUBH PART | 067 | MOT | S | 50,000 | 7.99 | n/a | n/a | 2,500.00 | 5.0 |
| ⚡ BUCK CAPITAL MGMT | | MSMSFINB | C | 200,000 | 99.09 | n/a | n/a | non-brg | 9.9 |
| f JONATHAN RICHARD HAR | FID | MTW | B | 245 | 10.75 | n/a | 4-Jan | 0.00 | 0.0 |
| OZ MGMT | 040 | MTW | B | 125,000 | 10.91 | n/a | 4-Jan | 3,750.00 | 3.0 |
| ⚡ BUCK CAPITAL MGMT | | M | S | 10,000 | 17.02 | n/a | 5-Jan | non-brg | 4.0 |
| FORWARD MGMT | 033 | NTRI | S | 530 | 28.74 | n/a | n/a | 26.50 | 5.0 |
| FORWARD MGMT | 033 | ONXX | S | 250 | 29.65 | n/a | n/a | 12.50 | 5.0 |
| FORWARD MGMT | 033 | OSIP | S | 400 | 31.11 | n/a | n/a | 20.00 | 5.0 |
| FORWARD MGMT | 033 | OSTK | S | 560 | 13.57 | n/a | n/a | 28.00 | 5.0 |
| COUGAR TRADING | 044 | OZM | B | 10,000 | 14.22 | n/a | 5-Jan | 500.00 | 5.0 |
| BALYASNY ASSET MGMT | 044 | PAG | B | 25,000 | 15.81 | n/a | 4-Jan | 1,250.00 | 5.0 |
| ⚡ BUCK CAPITAL MGMT | | PAG | B | 5,000 | 15.87 | n/a | 4-Jan | non-brg | 0.8 |
| ⚡ BUCK CAPITAL MGMT | | PAG | B | 7,500 | 15.92 | n/a | 4-Jan | non-brg | 2.5 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|-----|--------|-----|--------|-------|-----|----------|-------------|-----|
| SCOPUS FUND | 041 | PAG | B | 25,000 | 16.01 | n/a | 4-Jan | 1,250.00 | 5.0 |
| TRELLUS PARTNERS LP | 028 | PAG | B | 40,000 | 15.49 | n/a | 4-Jan | 2,000.00 | 5.0 |
| GRISANTI BROWN & PARTNER | 048 | PCX | S | 3,700 | 17.99 | n/a | n/a | 185.00 | 5.0 |
| NEUBERGER BERMAN | 036 | PETS | B | 47,100 | 17.71 | n/a | n/a | 1,884.00 | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | PIR | S | 10,000 | 5.62 | n/a | n/a | non-brg | 3.0 |
| ⚡ BUCK CAPITAL MGMT | | PLCE | S | 2,000 | 32.40 | n/a | 5-Jan | non-brg | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | PNRA | S | 2,000 | 65.68 | n/a | 4-Jan | non-brg | 4.0 |
| f MICHAEL THOMAS NOLAN | FID | PRGO | S | 150 | 39.02 | n/a | 4-Jan | 0.00 | 0.0 |
| f NICOLAS EVAN PAKLER | FID | PRGO | S | 100 | 39.09 | n/a | 4-Jan | 0.00 | 0.0 |
| ⚡ BUCK CAPITAL MGMT | | PSS | S | 20,000 | 22.58 | n/a | n/a | non-brg | 4.0 |
| KLEINHEINZ CAP PART | 031 | QCOM | B | 75,000 | 47.98 | n/a | n/a | 3,750.00 | 5.0 |
| FIRST NEW YORK NICK | 029 | Q | B | 10,000 | 4.46 | n/a | n/a | 500.00 | 5.0 |
| CADIAN CAPITAL | 067 | RL | B | 7,400 | 81.83 | n/a | 4-Jan | 296.00 | 4.0 |
| f DAVID GEORGE BUCK | FID | RX | B | 2300 | 21.21 | n/a | n/a | 0.00 | 0.0 |
| CATAPULT | 040 | SCHN | B | 10,000 | 49.85 | n/a | n/a | 500.00 | 5.0 |
| f WILLIAM WEINBERG | FID | SD | B | 5000 | 10.35 | n/a | n/a | 0.00 | 0.0 |
| ⚡ BUCK CAPITAL MGMT | | SHOO | B | 10,000 | 39.92 | n/a | n/a | non-brg | 0.8 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------------|------------|-------------|----------|----------------|--------------|------------|--------------|----------------|------------|
| NEUBERGER BERMAN | 036 | SJM | S | 7,500 | 61.72 | n/a | n/a | 300.00 | 4.0 |
| f CHRISTOPHER ROBERT C | FID | SKS | S | 500 | 7.10 | n/a | n/a | 0.00 | 0.0 |
| TROUBH PART | 067 | SUP | B | 10,000 | 15.97 | n/a | 4-Jan | 500.00 | 5.0 |
| M&I FUNDS | 047 | SWN | S | 6,700 | 51.80 | n/a | 4-Jan | 268.00 | 4.0 |
| RAMIUS CAP | 040 | SWSI | S | 81,800 | 16.44 | n/a | n/a | 3,272.00 | 4.0 |
| NEUBERGER BERMAN | 036 | SY | B | 14,750 | 43.29 | n/a | n/a | 590.00 | 4.0 |
| FORWARD MGMT | 033 | TIE | B | 700 | 13.59 | n/a | n/a | 35.00 | 5.0 |
| RBC CAPITAL MARKETS | 040 | TSN | SS | 50,000 | 12.22 | n/a | n/a | 2,000.00 | 4.0 |
| B BUCK CAPITAL MGMT | | UAUA | S | 175,000 | 13.71 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | URBN | S | 3,000 | 35.10 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | VFC | B | 30,000 | 73.37 | n/a | 4-Jan | non-brg | 4.0 |
| NEUBERGER BERMAN | 036 | VNO | S | 4,300 | 69.41 | n/a | n/a | 172.00 | 4.0 |
| GRISANTI BROWN & PARTNER | 048 | WBC | S | 3,260 | 26.72 | n/a | 4-Jan | 163.00 | 5.0 |
| CADIAN CAPITAL | 067 | WFMI | S | 60,300 | 27.25 | n/a | n/a | 2,412.00 | 4.0 |
| NEUBERGER BERMAN | 036 | WHR | S | 5,800 | 80.77 | n/a | n/a | 232.00 | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|-----|-------------|-----------|------------------|--------------|------------|--------------|------------------|------------|
| DALTON GREINER | 012 | WMT | B | 24,870 | 53.89 | n/a | 4-Jan | 1,243.50 | 5.0 |
| B BUCK CAPITAL MGMT | | WRC | S | 2,000 | 44.70 | n/a | 4-Jan | non-brg | 4.0 |
| LEVEL GLOBAL SHARED ACCT | 257 | WRC | B | 28,600 | 44.41 | n/a | 4-Jan | 858.00 | 3.0 |
| B BUCK CAPITAL MGMT | | XLFF | SS | 1,342,000 | 14.73 | n/a | n/a | non-brg | 1.0 |
| TOTAL (Trade Date): | | | | | | | | 84,436.07 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------|-------|-------------|------|--------|-----|---------|-------|-----|----------|-------------|
| AO, | 01/04 | UBS OCONNOR | 031 | COWN | S | 55,901 | 5.94 | n/a | n/a | 1677.03 3.0 |
| AO,CRT | 01/04 | COBALT | 041 | GT | B | 100,000 | 14.52 | n/a | n/a | 5000.00 5.0 |
| AO,CXL | 01/04 | COBALT | 041 | GT | B | 100,000 | 14.52 | n/a | n/a | 5000.00 5.0 |

TOTAL (AO, CXL, CRT) :**1,677.03**

TOTAL (Trade Date) :

84,436.07

TOTAL (AO, CXL, CRT) :

1,677.03

TOTAL (RUN DATE) / NFS:**86,113.10**

MRI Securities with Trade Activity on 5-Jan.
NONE

MRI Securities without Trade Activity on 5-Jan.
PRX, COF

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 3%
YTD = 6%

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)