



Daily Compliance Activity Report

Trade Date: 02/18/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|------------------------|-----|--------|-----|--------|--------|-----|----------|--------------|-----|
| EPOCH INV MGMT | 030 | AAPL | S | 50 | 201.89 | n/a | n/a | 1.50 | 3.0 |
| BUCK CAPITAL MGMT | 001 | AAP | B | 40,000 | 39.53 | n/a | n/a | 1,600.00 | 4.0 |
| f BUCK CAPITAL MGMT | | ABFS | B | 12,500 | 25.05 | n/a | n/a | non-brg | 0.8 |
| f BUCK CAPITAL MGMT | | ABFS | B | 12,500 | 25.06 | n/a | n/a | non-brg | 4.0 |
| CENTURION PARTNERS | 041 | AMR | B | 30,000 | 8.75 | n/a | n/a | 1,200.00 | 4.0 |
| EPOCH INV MGMT | 030 | AWI | S | 900 | 36.93 | n/a | n/a | 27.00 | 3.0 |
| f BARBARA S LEDDY | FID | AXL | B | 500 | 9.06 | n/a | 8-Feb | 0.00 | 0.0 |
| f KAREN F LEDDY | FID | AXL | B | 1000 | 9.03 | n/a | 8-Feb | 0.00 | 0.0 |
| f JOSEPH CIRO AMATURO | FID | BGZ | B | 10000 | 16.99 | n/a | n/a | 0.00 | 0.0 |
| SANDLER O'NEILL ASSET | 031 | BLK | B | 600 | 211.40 | n/a | 12-Feb | 30.00 | 5.0 |
| f KEVIN MICHAEL O'GORM | FID | BZ | B | 5000 | 4.72 | n/a | n/a | 0.00 | 0.0 |
| ROYCE TRADING | 216 | BZ | B | 13,000 | 4.73 | n/a | n/a | 390.00 | 3.0 |
| WAGONHOUND/NIC | 048 | CAKE | S | 7,039 | 23.49 | n/a | 12-Feb | 281.56 | 4.0 |
| f BUCK CAPITAL MGMT | | CAR | B | 60,000 | 11.50 | n/a | n/a | non-brg | 4.0 |
| f MARC PAUL LUCHANSKY | FID | CHTP | S | 1000 | 2.48 | n/a | n/a | 0.00 | 0.0 |
| MTB INV ADV | 034 | CKEC | B | 7,100 | 8.11 | n/a | n/a | 213.00 | 3.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|-------------|----------|---------------|--------------|------------|---------------|----------------|------------|
| EPOCH INV MGMT | 030 | CMS | S | 2,050 | 15.17 | n/a | n/a | 61.50 | 3.0 |
| B BUCK CAPITAL MGMT | | COH | B | 20,000 | 36.33 | n/a | 21-Jan | non-brg | 4.0 |
| EPOCH INV MGMT | 030 | COL | S | 450 | 54.58 | n/a | 1-Feb | 13.50 | 3.0 |
| EPOCH INV MGMT | 030 | CPO | S | 800 | 33.19 | n/a | n/a | 24.00 | 3.0 |
| f CHRISTOPHER ARTHUR K | FID | CVGI | S | 1000 | 5.71 | n/a | n/a | 0.00 | 0.0 |
| EPOCH INV MGMT | 030 | CW | S | 1,850 | 30.38 | n/a | n/a | 55.50 | 3.0 |
| f STRATTON PAR TNERSHI | FID | CXW | B | 4 | 0.55 | n/a | n/a | 0.00 | 0.0 |
| f KEVIN MICHAEL O'GORM | FID | DE | S | 1000 | 57.50 | n/a | 18-Feb | 0.00 | 0.0 |
| M&I FUNDS | 047 | DLTR | S | 10,964 | 49.83 | n/a | 16-Feb | 438.56 | 4.0 |
| WAGONHOUND/NIC | 048 | DPZ | S | 10,260 | 12.25 | n/a | 19-Jan | 410.40 | 4.0 |
| f ANTONIA CHIARMONTE | FID | EFT | S | 141 | 14.94 | n/a | n/a | 0.00 | 0.0 |
| MAIRS AND POWER INV | 030 | EMR | S | 20,000 | 47.42 | n/a | n/a | 1,000.00 | 5.0 |
| FIRST NEW YORK LEDDY | 035 | ETFC | S | 10,000 | 1.53 | n/a | n/a | 600.00 | 6.0 |
| HARVEST MGMT | 039 | FL | B | 20,000 | 12.74 | n/a | 3-Feb | 1,000.00 | 5.0 |
| PARTNER REINSURANCE | 033 | FL | B | 29,550 | 12.73 | n/a | 3-Feb | 1,182.00 | 4.0 |
| f JONATHAN RICHARD HAR | FID | FOR | S | 280 | 17.84 | n/a | 5-Feb | 0.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------------------------|-----|--------|-----|--------|--------|-----|----------|-------------|-----|
| CENTURION PARTNERS | 041 | F | B | 50,000 | 11.40 | n/a | 3-Feb | 2,000.00 | 4.0 |
| CRAMER ROSENTHAL/SCOTT | 012 | GEF | B | 1,400 | 50.04 | n/a | n/a | 56.00 | 4.0 |
| MTB INV ADV | 034 | GIII | S | 16,657 | 19.94 | n/a | n/a | 832.85 | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | GIL | S | 10,000 | 24.36 | n/a | 10-Feb | non-brg | 2.0 |
| ⌘ BUCK CAPITAL MGMT | | GIL | S | 20,000 | 24.48 | n/a | 10-Feb | non-brg | 0.8 |
| ⌘ BUCK CAPITAL MGMT | | GIL | S | 55,000 | 24.47 | n/a | 10-Feb | non-brg | 4.0 |
| EPOCH INV MGMT | 030 | GPC | S | 350 | 40.27 | n/a | n/a | 10.50 | 3.0 |
| CRAMER ROSENTHAL/SCOTT | 012 | HPQ | B | 1,500 | 50.69 | n/a | n/a | 60.00 | 4.0 |
| RAMIUS CAP | 040 | HSC | B | 92,000 | 30.61 | n/a | 1-Feb | 3,680.00 | 4.0 |
| COBALT | 041 | IBM | B | 50,000 | 127.32 | n/a | n/a | 2,500.00 | 5.0 |
| CRAMER ROSENTHAL/SCOTT | 012 | IFF | B | 1,600 | 42.16 | n/a | 18-Feb | 64.00 | 4.0 |
| DIAMONDBACK CAP MGMT | 232 | IR | B | 20,000 | 33.35 | n/a | 16-Feb | 1,000.00 | 5.0 |
| EPOCH INV MGMT | 030 | ISBC | S | 2,500 | 11.90 | n/a | n/a | 75.00 | 3.0 |
| HUNTER GLOBAL INVESTOR | 067 | IWM | SS | 30,000 | 62.52 | n/a | n/a | 900.00 | 3.0 |
| ⌘ BUCK CAPITAL MGMT | | JACK | B | 10,000 | 20.57 | n/a | n/a | non-brg | 2.5 |
| ⌘ BUCK CAPITAL MGMT | | JACK | B | 10,000 | 21.17 | n/a | n/a | non-brg | 0.8 |
| ⌘ BUCK CAPITAL MGMT | | JACK | B | 30,000 | 20.78 | n/a | n/a | non-brg | 2.5 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|-------------|----------|---------------|---------------|------------|---------------|----------------|------------|
| SAXON WOODS ADVISORS | 242 | JNJ | B | 493,200 | 64.38 | n/a | n/a | 14,796.00 | 3.0 |
| HUNTER GLOBAL INVESTOR | 067 | JPM | S | 100,000 | 40.28 | n/a | 13-Feb | 5,000.00 | 5.0 |
| B BUCK CAPITAL MGMT | | KNX | B | 5,000 | 18.28 | n/a | n/a | non-brg | 4.0 |
| f CHRISTOPHER ROBERT C | FID | KOL | B | 150 | 35.36 | n/a | n/a | 0.00 | 0.0 |
| EXIS CAPITAL | 044 | KSS | B | 9,000 | 50.81 | n/a | 5-Feb | 450.00 | 5.0 |
| KENNEDY CAPITAL | 046 | LIZ | S | 12,700 | 5.97 | n/a | 7-Oct | 381.00 | 3.0 |
| B BUCK CAPITAL MGMT | | LL | B | 30,000 | 22.44 | n/a | n/a | non-brg | 4.0 |
| EXIS CAPITAL | 044 | LTD | B | 20,000 | 21.24 | n/a | n/a | 1,000.00 | 5.0 |
| f CHRISTOPHER ROBERT C | FID | LVS | B | 500 | 15.85 | n/a | 18-Feb | 0.00 | 0.0 |
| KADE CAPITAL LLC | 036 | LVS | B | 10,000 | 16.72 | n/a | 18-Feb | 500.00 | 5.0 |
| f NICOLAS EVAN PAKLER | FID | LVS | B | 185 | 16.05 | n/a | 18-Feb | 0.00 | 0.0 |
| TRELLUS PARTNERS LP | 028 | LVS | B | 50,000 | 15.95 | n/a | 18-Feb | 2,500.00 | 5.0 |
| CRAMER ROSENTHAL/SCOTT | 012 | MAN | B | 1,400 | 53.40 | n/a | n/a | 56.00 | 4.0 |
| EPOCH INV MGMT | 030 | MAS | S | 900 | 13.89 | n/a | n/a | 27.00 | 3.0 |
| B BUCK CAPITAL MGMT | | MA | B | 2,250 | 221.99 | n/a | 4-Feb | non-brg | 0.8 |
| EPOCH INV MGMT | 030 | MNRO | S | 800 | 34.27 | n/a | n/a | 24.00 | 3.0 |
| f ANTONIA CHIARMONTE | FID | MSFT | S | 200 | 28.69 | n/a | n/a | 0.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|-------------|-----------|---------------|--------------|------------|------------|----------------|------------|
| BASIX | 033 | MTW | S | 28,000 | 12.33 | n/a | 5-Feb | 840.00 | 3.0 |
| EPOCH INV MGMT | 030 | NSR | S | 1,550 | 23.41 | n/a | n/a | 46.50 | 3.0 |
| COLUMBUS CIRCLE | 036 | NTAP | B | 16,700 | 31.24 | n/a | n/a | 668.00 | 4.0 |
| WADDELL AND REED | 047 | NTAP | B | 287,800 | 31.47 | n/a | n/a | 8,634.00 | 3.0 |
| f CHRISTOPHER ARTHUR K | FID | NVLT | B | 1000 | 1.45 | n/a | n/a | 0.00 | 0.0 |
| CRAMER ROSENTHAL/SCOTT | 012 | OMC | B | 1,700 | 36.85 | n/a | n/a | 68.00 | 4.0 |
| CRAMER ROSENTHAL/SCOTT | 012 | PBR | B | 2,500 | 41.94 | n/a | n/a | 100.00 | 4.0 |
| B BUCK CAPITAL MGMT | | PETM | SS | 20,000 | 27.00 | n/a | n/a | non-brg | 4.0 |
| f CHRISTOPHER ROBERT C | FID | QCOM | S | 150 | 39.58 | n/a | n/a | 0.00 | 0.0 |
| CAXTON PART | 040 | RKT | B | 18,461 | 39.95 | n/a | n/a | 646.15 | 3.5 |
| B BUCK CAPITAL MGMT | | RTH | C | 97,400 | 93.62 | n/a | n/a | non-brg | 0.8 |
| EPOCH INV MGMT | 030 | RYL | S | 1,450 | 23.37 | n/a | n/a | 43.50 | 3.0 |
| B BUCK CAPITAL MGMT | | SHOO | B | 10,000 | 41.84 | n/a | n/a | non-brg | 0.8 |
| B BUCK CAPITAL MGMT | | SHOO | B | 12,000 | 41.79 | n/a | n/a | non-brg | 2.0 |
| B BUCK CAPITAL MGMT | | SHOO | B | 30,000 | 41.94 | n/a | n/a | non-brg | 4.0 |
| f DAVID GEORGE BUCK | FID | SPG | S | 1500 | 77.32 | n/a | n/a | 0.00 | 0.0 |
| f MATTHEW FRANCIS BUCK | FID | SPG | S | 200 | 77.31 | n/a | n/a | 0.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|---------------|-----------|---------------|--------------|------------|--------------|----------------|------------|
| f JOSEPH CIRO AMATURO | FID | SRI | S | 5400 | 8.24 | n/a | n/a | 0.00 | 0.0 |
| EPOCH INV MGMT | 030 | SVR | S | 2,950 | 16.58 | n/a | n/a | 88.50 | 3.0 |
| BRIGADE CAPITAL MGMT | 029 | SVU | B | 50,000 | 15.71 | n/a | n/a | 1,500.00 | 3.0 |
| EPOCH INV MGMT | 030 | TCBI | S | 1,500 | 16.78 | n/a | n/a | 45.00 | 3.0 |
| EPOCH INV MGMT | 030 | THG | S | 800 | 41.53 | n/a | n/a | 24.00 | 3.0 |
| f THE BUCKINGH AM RESE | FID | TIN | S | 1560 | 19.26 | n/a | 9-Feb | 0.00 | 0.0 |
| AVESTA CAP | 229 | TJX | B | 50,000 | 39.05 | n/a | 5-Feb | 1,500.00 | 3.0 |
| ROTHSCHILD ASSET | 040 | TMP | S | 5,901 | 36.11 | n/a | n/a | 236.04 | 4.0 |
| HUNTER GLOBAL INVESTOR | 067 | TROW | S | 40,000 | 49.40 | n/a | 12-Feb | 1,600.00 | 4.0 |
| B BUCK CAPITAL MGMT | | TSCO | SS | 20,000 | 52.88 | n/a | n/a | non-brg | 4.0 |
| COBALT | 041 | TYC | B | 50,000 | 35.34 | n/a | 29-Jan | 2,500.00 | 5.0 |
| EXIS CAPITAL | 044 | UA | B | 5,000 | 25.80 | n/a | 29-Jan | 250.00 | 5.0 |
| B BUCK CAPITAL MGMT | | UBI FP | B | 20,000 | 13.14 | n/a | n/a | non-brg | 0.7 |
| EPOCH INV MGMT | 030 | VR | S | 1,750 | 26.77 | n/a | n/a | 52.50 | 3.0 |
| EPOCH INV MGMT | 030 | WAB | S | 900 | 38.61 | n/a | n/a | 27.00 | 3.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
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| B BUCK CAPITAL MGMT | | WERN | B | 15,000 | 20.07 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | WFT | B | 50,000 | 15.72 | n/a | n/a | non-brg | 4.0 |
| DSG CAPITAL | 225 | WFT | B | 25,000 | 15.55 | n/a | n/a | 750.00 | 3.0 |
| f KAREN F LEDDY | FID | WNC | B | 2000 | 2.91 | n/a | n/a | 0.00 | 0.0 |
| RAMIUS CAP | 040 | WY | S | 134,000 | 40.26 | n/a | 5-Feb | 5,360.00 | 4.0 |
| f CHRISTOPHER ROBERT C | FID | XLE | S | 100 | 57.12 | n/a | n/a | 0.00 | 0.0 |
| EXIS CAPITAL | 044 | ZQK | B | 13,200 | 2.24 | n/a | 18-Dec | 660.00 | 5.0 |
| TOTAL (Trade Date): | | | | | | | | 70,080.06 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|-------|---------------------|------|--------|-----|--------|--------|-----|----------|-----------------|-----|
| AO,CXL | 02/17 | MISSION POINT | 048 | CAT | S | 16,875 | 57.75 | n/a | 28-Jan | 843.75 | 5.0 |
| AO,CRT | 02/17 | MISSION POINT | 048 | CAT | S | 16,875 | 57.75 | n/a | 28-Jan | 843.75 | 5.0 |
| AO,CRT | 02/17 | CONIFER/ISF | 025 | IBM | B | 1,500 | 126.01 | n/a | n/a | 75.00 | 5.0 |
| AO,CXL | 02/17 | CONIFER/ISF | 025 | IBM | B | 1,500 | 126.01 | n/a | n/a | 60.00 | 4.0 |
| AO,CRT | 02/17 | MISSION POINT | 048 | LMT | B | 13,025 | 75.70 | n/a | 2-Feb | 651.25 | 5.0 |
| AO,CXL | 02/17 | MISSION POINT | 048 | LMT | B | 13,025 | 75.70 | n/a | 2-Feb | 651.25 | 5.0 |
| AO,CXL | 02/17 | MISSION POINT | 048 | NOC | S | 16,325 | 59.53 | n/a | 5-Feb | 816.25 | 5.0 |
| AO,CRT | 02/17 | MISSION POINT | 048 | NOC | S | 16,325 | 59.53 | n/a | 5-Feb | 816.25 | 5.0 |
| AO, | 02/17 | THIRD COAST CAPITAL | 035 | PAG | B | 25,000 | 15.54 | n/a | 17-Feb | 1250.00 | 5.0 |
| AO,CRT | 02/17 | MISSION POINT | 048 | PCP | B | 8,225 | 110.86 | n/a | 22-Jan | 411.25 | 5.0 |
| AO,CXL | 02/17 | MISSION POINT | 048 | PCP | B | 8,225 | 110.86 | n/a | 22-Jan | 411.25 | 5.0 |
| AO, | 02/17 | LISTED ERR | 099 | PVH | B | 25,000 | 42.72 | n/a | 18-Feb | 0.00 | 0.0 |
| AO,CXL | 02/17 | MISSION POINT | 048 | TEN | B | 26,275 | 20.47 | n/a | n/a | 1313.75 | 5.0 |
| AO,CRT | 02/17 | MISSION POINT | 048 | TEN | B | 26,275 | 20.47 | n/a | n/a | 1313.75 | 5.0 |
| AO, | 02/17 | SEVE | 067 | VRSN | S | 10,000 | 24.05 | n/a | n/a | 300.00 | 3.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | 1,565.00 | |

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|-----------------------|-----------|
| TOTAL (Trade Date): | 70,080.06 |
| TOTAL (AO, CXL, CRT): | 1,565.00 |

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| TOTAL (RUN DATE) / NFS: | 71,645.06 |
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| MRI Securities with Trade Activity on 18-Feb. NONE |
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| MRI Securities without Trade Activity on 18-Feb. NONE |
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| BRG comm. as a % of BCM Total Comm. paid. T-Date = 9% YTD = 16% |
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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)