



Daily Compliance Activity Report

Trade Date: 02/04/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		AAI	B	100,000	4.55	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT		AAI	B	200,000	4.71	n/a	n/a	non-brg	3.0
KEVIN MICHAEL O'GORM	FID	AB	S	800	26.13	n/a	3-Feb	0.00	0.0
MILLENIUM PARTNERS	028	AEO	B	70,784	16.05	n/a	29-Jan	2,831.36	4.0
DAVID GEORGE BUCK	FID	AET	B	2000	29.80	n/a	n/a	0.00	0.0
GRISANTI BROWN & PARTNER	048	AMAT	B	17,040	11.83	n/a	n/a	852.00	5.0
BUCK CAPITAL MGMT		AMR	C	150,000	7.17	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT		ANF	S	40,000	33.39	n/a	29-Jan	non-brg	4.0
BUCK CAPITAL MGMT	001	ANN	SS	20,000	15.03	n/a	n/a	800.00	4.0
JP MORGAN VENTURES	046	ANN	S	20,000	14.69	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT		AN	S	99,741	17.61	n/a	4-Jan	non-brg	4.0
BUCK CAPITAL MGMT	001	ARO	B	15,000	33.27	n/a	29-Jan	600.00	4.0
BUCK CAPITAL MGMT		ARO	B	20,000	32.73	n/a	29-Jan	non-brg	0.8
BUCK CAPITAL MGMT		ARO	B	70,000	32.99	n/a	29-Jan	non-brg	4.0
GCORE MANAGEMENT	041	ATVI	S	30,000	10.20	n/a	n/a	1,500.00	5.0
BRIAN FRANCIS KEALOH	FID	AXL	B	736	9.36	n/a	4-Jan	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f DAVID GEORGE BUCK	FID	BAC	B	1000	15.24	n/a	21-Jan	0.00	0.0
BENCHMARK	025	BBEP	S	5,000	13.52	n/a	n/a	200.00	4.0
ROYCE TRADING	216	BCR	B	500	81.20	n/a	n/a	25.00	5.0
EXIS CAPITAL	044	BKC	B	20,000	17.73	n/a	4-Feb	1,000.00	5.0
f MANNY I KORMAN	FID	BKS	S	45	0.35	n/a	n/a	0.00	0.0
f ANDREW SINCLAIR	FID	BKZ	S	20	2.00	n/a	n/a	0.00	0.0
SANDLER O'NEILL ASSET	031	BLK	S	5,000	214.35	n/a	3-Feb	250.00	5.0
CATAPULT	040	BLL	S	59,600	50.55	n/a	n/a	2,980.00	5.0
B BUCK CAPITAL MGMT		BOBE	C	5,000	28.05	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BONT	B	20,000	8.97	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT	001	BYI	S	10,000	38.44	n/a	n/a	400.00	4.0
ROYCE TRADING	216	BZ	B	21,500	4.95	n/a	n/a	1,075.00	5.0
SMITH MGMT LLC	029	BZ	S	129,803	4.99	n/a	n/a	5,192.12	4.0
f KEVIN MICHAEL O'GORM	FID	CAMP	B	2977	2.59	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	CAM	S	2,500	38.27	n/a	n/a	75.00	3.0
B BUCK CAPITAL MGMT		CAR	B	30,000	10.77	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		CBRL	SS	30,000	37.24	n/a	n/a	non-brg	2.5
SIGMA CAPITAL ASSOCIATES	041	CHS	SS	50,000	13.70	n/a	n/a	1,750.00	3.5
f DAVID GEORGE BUCK	FID	CMA	S	3000	33.71	n/a	n/a	0.00	0.0
THOMAS WEISEL ASSET MGMT	035	CMVT	B	26,799	9.27	n/a	n/a	803.97	3.0
BUCK CAPITAL MGMT	001	COH	B	10,000	34.50	n/a	21-Jan	400.00	4.0
EPOCH INV MGMT	030	COL	S	2,900	53.38	n/a	1-Feb	87.00	3.0
EPOCH INV MGMT	030	CPO	S	3,400	30.76	n/a	n/a	102.00	3.0
STELLIAM INV ADV	034	CRR	B	25,000	63.09	n/a	4-Feb	1,250.00	5.0
TRUSTCO/SUNTRUST	040	CRR	S	25,500	63.56	n/a	4-Feb	994.50	3.9
WADDELL AND REED	098	CSCO	B	1,254,200	23.53	n/a	n/a	37,626.00	3.0
B BUCK CAPITAL MGMT		CSTR	S	10,000	27.05	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DAL	B	50,000	11.59	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		DECK	SS	4,420	97.64	n/a	n/a	non-brg	2.5
MILLENIUM PARTNERS	028	DF	B	62,969	17.95	n/a	n/a	2,518.76	4.0
HARBORWATCH/DIAMBACK	232	DOW	C	25,000	27.16	n/a	2-Feb	1,250.00	5.0
BAIRD INVESTMENT	047	EMR	B	14,425	45.54	n/a	n/a	721.25	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f KEVIN MICHAEL O'GORM	FID	EPV	B	1000	25.45	n/a	n/a	0.00	0.0
GCORE MANAGEMENT	041	ERTS	B	20,000	16.93	n/a	n/a	1,000.00	5.0
MILLENNIUM-ANDEW	031	ETN	S	18,600	62.09	n/a	26-Jan	1,116.00	6.0
B BUCK CAPITAL MGMT		FOR	B	20,000	17.15	n/a	25-Jan	non-brg	4.0
f NICOLAS EVAN PAKLER	FID	FOR	B	130	16.96	n/a	25-Jan	0.00	0.0
B BUCK CAPITAL MGMT		FOSL	S	30,000	32.26	n/a	n/a	non-brg	4.0
ROYCE TRADING	216	FSS	B	10,000	6.21	n/a	n/a	500.00	5.0
TROUBH PART	067	F	SS	50,000	11.26	n/a	3-Feb	2,500.00	5.0
EPOCH INV MGMT	030	GPC	S	4,700	38.31	n/a	n/a	141.00	3.0
BUCK CAPITAL MGMT	001	GPS	S	130,000	19.68	n/a	n/a	5,200.00	4.0
MILLENIUM PARTNERS	028	GPS	B	22,408	19.65	n/a	n/a	896.32	4.0
BAIRD INVESTMENT	047	GS	B	5,600	152.18	n/a	21-Jan	280.00	5.0
BUCK CAPITAL MGMT	001	HBI	B	30,000	21.91	n/a	n/a	1,200.00	4.0
B BUCK CAPITAL MGMT		HOT	C	276,592	36.71	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		HOT	C	51,600	37.33	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		HTZ	B	30,000	10.27	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	HUM	S	1500	47.71	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KENNEDY CAPITAL	046	HWKN	B	25,000	19.90	n/a	n/a	1,000.00	4.0
B BUCK CAPITAL MGMT		ICON	S	20,000	12.95	n/a	n/a	non-brg	4.0
SCOPUS FUND	041	IFF	SS	1,500	40.56	n/a	25-Jan	75.00	5.0
B BUCK CAPITAL MGMT		IP	B	10,000	22.12	n/a	3-Feb	non-brg	0.8
B BUCK CAPITAL MGMT		IP	B	25,000	22.09	n/a	3-Feb	non-brg	4.0
CSFB GLOBAL PROPRIETARY	041	IP	B	115,000	22.34	n/a	3-Feb	5,750.00	5.0
f MANNY I KORMAN	FID	IQP	S	100	3.70	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		IR	B	30,000	33.30	n/a	4-Jan	non-brg	4.0
BAIRD INVESTMENT	047	ITT	S	11,975	48.84	n/a	23-Nov	598.75	5.0
B BUCK CAPITAL MGMT		ITW	B	10,000	42.59	n/a	28-Jan	non-brg	4.0
SANDLER O'NEILL ASSET	031	IVZ	S	21,600	18.96	n/a	3-Feb	1,080.00	5.0
BUCK CAPITAL MGMT	001	JCG	S	600	39.02	n/a	n/a	24.00	4.0
B BUCK CAPITAL MGMT		JNY	B	20,000	14.93	n/a	29-Jan	non-brg	4.0
EXIS CAPITAL	044	JNY	B	20,000	14.80	n/a	29-Jan	1,000.00	5.0
MERRILL ASSET/BLACKROCK	214	JNY	B	11,400	14.75	n/a	29-Jan	456.00	4.0
TRUSTCO/SUNTRUST	040	JNY	B	71,000	14.76	n/a	29-Jan	2,769.00	3.9
BUCK CAPITAL MGMT	001	JWN	B	10,000	36.01	n/a	29-Jan	400.00	4.0
JP MORGAN VENTURES	046	JWN	S	20,000	35.29	n/a	29-Jan	1,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PILOT ROCK	028	JWN	B	50,000	36.54	n/a	29-Jan	2,000.00	4.0
RBC CAPITAL MARKETS	040	JWN	S	10,000	35.42	n/a	29-Jan	400.00	4.0
THE JAY GOLDMAN	028	JWN	S	20,000	35.63	n/a	29-Jan	800.00	4.0
BMO NESBITT BURNS	041	KG	B	10,000	11.74	n/a	1-Feb	700.00	7.0
BUCK CAPITAL MGMT	001	KSS	B	10,000	50.61	n/a	29-Jan	400.00	4.0
SYSTEMATIC FINANCIAL MGT	035	KSS	B	44,875	50.59	n/a	29-Jan	1,346.25	3.0
SANDLER O'NEILL ASSET	031	LAZ	B	40,000	37.65	n/a	4-Feb	2,000.00	5.0
HARBORWATCH/DIAMBACK	232	LEN	B	50,000	15.75	n/a	n/a	2,500.00	5.0
NEUBERGER BERMAN	036	LLL	S	18,230	84.63	n/a	n/a	729.20	4.0
Ⓑ BUCK CAPITAL MGMT		LL	S	25,000	23.86	n/a	n/a	non-brg	1.5
Ⓑ BUCK CAPITAL MGMT		LL	S	35,000	23.62	n/a	n/a	non-brg	4.0
Ⓕ JOHN MICHAEL ZOLIDIS	FID	LMI	B	500	29.00	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	LNC	B	21,600	24.28	n/a	n/a	864.00	4.0
BUCK CAPITAL MGMT	001	LTD	S	30,000	20.15	n/a	n/a	1,200.00	4.0
ISLE RIDGE PARTNERS	041	LULU	SS	22,500	27.82	n/a	n/a	900.00	4.0
KADE	036	MGM	B	15,000	11.16	n/a	6-Nov	750.00	5.0
DELTEC ASSET MGMT.	040	MTW	B	7,980	11.36	n/a	12-Jan	399.00	5.0
MILLENIUM PARTNERS	028	M	B	22,508	16.69	n/a	29-Jan	900.32	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	M	B	10,000	16.61	n/a	29-Jan	400.00	4.0
f BRIAN FRANCIS KEALOH	FID	NDN	S	460	15.04	4-Feb	4-Feb	0.00	0.0
f MANNY I KORMAN	FID	NDN	S	1200	15.23	4-Feb	4-Feb	0.00	0.0
THIRD COAST CAPITAL	035	NDN	B	15,000	13.86	4-Feb	4-Feb	750.00	5.0
EPOCH INV MGMT	030	NYX	S	6,300	23.25	n/a	n/a	189.00	3.0
TYEE/TYGH	035	OMX	B	50,000	13.89	n/a	n/a	2,000.00	4.0
f ANDREW SINCLAIR	FID	OZM	B	30	1.75	n/a	3-Feb	0.00	0.0
B BUCK CAPITAL MGMT		PAG	S	24,429	14.66	n/a	22-Jan	non-brg	4.0
MERRILL ASSET/BLACKROCK	214	PAG	B	84,400	14.63	n/a	22-Jan	3,376.00	4.0
PILOT ADV	242	PAG	S	28,400	14.95	n/a	22-Jan	1,136.00	4.0
f NEIL M STRATTON	FID	PBH	B	197	7.50	n/a	n/a	0.00	0.0
f STRATTON PAR TNERSHI	FID	PBH	B	400	7.50	n/a	n/a	0.00	0.0
BRAZOS	031	PCX	S	116,700	14.58	n/a	n/a	3,501.00	3.0
BASIX	033	PKG	B	10,000	21.16	n/a	26-Jan	300.00	3.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	80,000	21.42	n/a	26-Jan	4,000.00	5.0
MERRILL ASSET/BLACKROCK	214	PLCE	S	4,500	35.75	n/a	29-Jan	180.00	4.0
f DAVID GEORGE BUCK	FID	PNC	B	2000	51.86	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		PNRA	S	20,000	72.36	n/a	21-Jan	non-brg	4.0
CATAPULT	040	POT	S	20,000	101.50	n/a	n/a	1,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MILLENNIUM-ANDEW	031	PWR	S	30,000	17.74	n/a	n/a	1,800.00	6.0
BUCK CAPITAL MGMT	001	RL	S	20,000	77.32	4-Feb	4-Feb	800.00	4.0
RAMIUS CAP	040	RYN	S	42,150	41.06	n/a	27-Jan	1,686.00	4.0
ß BUCK CAPITAL MGMT		SBUX	C	25,000	21.87	n/a	21-Jan	non-brg	4.0
S.A.C. HEALTHCARE BOBBY	044	SHPGY	B	5,000	59.53	n/a	1-Feb	175.00	3.5
f ALEXANDER A SACCO	FID	SKF	S	100	25.84	n/a	n/a	0.00	0.0
OVERLAND PARK CAP	041	SKS	B	20,000	6.58	n/a	n/a	800.00	4.0
ß BUCK CAPITAL MGMT		SKX	S	20,000	27.78	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SKX	S	25,000	27.78	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		SKX	S	50,910	27.84	n/a	n/a	non-brg	0.8
f JOHN MICHAEL ZOLIDIS	FID	SKX	B	200	27.50	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	SLE	B	30,000	12.52	n/a	n/a	1,200.00	4.0
ß BUCK CAPITAL MGMT		TGT	S	50,000	48.49	n/a	4-Feb	non-brg	4.0
RBC CAPITAL MARKETS	040	TGT	B	10,000	48.70	n/a	4-Feb	400.00	4.0
AAD CAPITAL	048	TIN	B	30,700	17.00	n/a	4-Feb	921.00	3.0
GRISANTI BROWN & PARTNER	048	TIN	B	8,500	17.10	n/a	4-Feb	425.00	5.0
IRIDIAN ASSET MGMT.	036	TIN	B	35,370	17.16	n/a	4-Feb	1,768.50	5.0
SLS CAPITAL LLC	224	TIN	S	123,500	16.88	n/a	4-Feb	4,940.00	4.0
COUGAR TRADING	044	TM	SS	2,500	71.71	n/a	n/a	125.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FORD FDN.	032	TRV	S	7,500	50.58	n/a	n/a	300.00	4.0
CRAMER ROSENTHAL/SCOTT	012	TSN	S	61,600	14.01	n/a	n/a	2,464.00	4.0
RAMIUS CAP	040	TTC	SS	35,700	38.79	n/a	n/a	1,428.00	4.0
B BUCK CAPITAL MGMT		UAUA	B	50,000	12.53	n/a	n/a	non-brg	0.8
PZENA INV ADV	044	UBS	B	12,800	13.13	n/a	n/a	448.02	3.5
KENNEDY CAPITAL	046	UIS	B	30,000	33.95	n/a	n/a	1,200.00	4.0
GRISANTI BROWN & PARTNER	048	VLO	B	4,050	18.16	n/a	n/a	202.50	5.0
EPOCH INV MGMT	030	V	S	4,700	85.22	4-Feb	4-Feb	141.00	3.0
EPOCH INV MGMT	030	WAB	S	3,550	37.24	n/a	n/a	106.50	3.0
MILLENIUM KOZLOW	028	WFMI	SS	5,000	27.62	n/a	n/a	200.00	4.0
GRISANTI BROWN & PARTNER	048	WFT	B	7,700	15.27	n/a	n/a	385.00	5.0
SYSTEMATIC FINANCIAL MGT	035	WHR	B	32,800	79.96	n/a	n/a	984.00	3.0
ISLE RIDGE PARTNERS	041	WMT	B	28,642	53.33	n/a	1-Feb	1,145.68	4.0
SIGMA CAPITAL ASSOCIATES	041	WMT	B	25,000	53.35	n/a	1-Feb	875.00	3.5
f ANDREW SINCLAIR	FID	WNC	B	1000	2.81	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	WRC	B	60,150	39.06	n/a	28-Jan	1,804.50	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⌘ BUCK CAPITAL MGMT		WSO	B	5,000	48.54	n/a	n/a	non-brg	0.8
⌘ BUCK CAPITAL MGMT		WSO	B	5,000	48.89	n/a	n/a	non-brg	0.8
EXIS CAPITAL	044	XLV	S	20,000	31.15	n/a	n/a	1,000.00	5.0
EPOCH INV MGMT	030	XOM	S	4,100	65.54	n/a	n/a	123.00	3.0
⌘ BUCK CAPITAL MGMT		XRT	SS	235,000	34.76	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		XRT	SS	400,000	34.98	n/a	n/a	non-brg	0.8
RBC CAPITAL MARKETS	040	YUM	B	10,000	34.13	n/a	3-Feb	400.00	4.0
EXIS CAPITAL	044	ZQK	B	25,000	2.02	n/a	18-Dec	1,250.00	5.0
TOTAL (Trade Date) :								155,488.50	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	02/03	GOLD SACHS SPECIAL SIT	030	CRDN	B	26,800	19.74	n/a	n/a	1340.00 5.0
AO,CXL	02/03	GOLD SACHS SPECIAL SIT	030	CRDN	B	26,762	19.74	n/a	n/a	1338.10 5.0
AO,	02/03	ROYCE TRADING	216	DLTR	B	300	50.79	n/a	4-Feb	15.00 5.0
AO,CRT	02/03	SIGMA CAP BOBBY	044	ITT	SS	25,000	50.31	n/a	23-Nov	875.00 3.5
AO,CXL	02/03	SIGMA CAP BOBBY	044	ITT	SS	25,000	50.31	n/a	23-Nov	1000.00 4.0
AO,CXL	02/02	LAGRANGE CAP ADV	048	PAG	B	10,000	14.31	n/a	22-Jan	500.00 5.0
AO,CRT	02/02	LAGRANGE CAP ADV	048	PAG	B	10,000	14.31	n/a	22-Jan	500.00 5.0
AO,CRT	02/01	SCOPUS FUND	041	PKG	B	46,300	22.22	n/a	26-Jan	2315.00 5.0
AO,CXL	02/01	SCOPUS FUND	041	PKG	B	46,300	22.22	n/a	26-Jan	2315.00 5.0
AO,CRT	02/02	STANDARD PACIFIC CAPITAL	040	SKS	B	100,000	6.76	n/a	n/a	4000.00 4.0
AO,CXL	02/02	STANDARD PACIFIC CAPITAL	040	SKS	B	100,000	6.76	n/a	n/a	4000.00 4.0
AO,CXL	02/03	SIGMA CAP BOBBY	044	TWX	B	25,000	28.10	n/a	n/a	1000.00 4.0
AO,CRT	02/03	SIGMA CAP BOBBY	044	TWX	B	25,000	28.10	n/a	n/a	875.00 3.5
AO,CXL	02/03	HIGHBRIDGE CAP	041	YHOO	B	195,649	15.44	n/a	n/a	7825.96 4.0
AO,CRT	02/03	HIGHBRIDGE CAP	041	YHOO	B	195,649	15.44	n/a	n/a	7825.96 4.0
TOTAL (AO, CXL, CRT) :										-233.10

TOTAL (Trade Date):	155,488.50
TOTAL (AO, CXL, CRT):	-233.10

TOTAL (RUN DATE) / NFS:	155,255.40
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MRI Securities with Trade Activity on 4-Feb. NDN, RL, V
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MRI Securities without Trade Activity on 4-Feb. WBC, AVP

BRG comm. as a % of BCM Total Comm. paid. T-Date = 17% YTD = 19%
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<u>Legend:</u>
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)