



# Daily Compliance Activity Report

Trade Date: 12/23/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 2

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	070	AA	B	3,100	15.38	n/a	n/a	124.00	4.0
BROADARCH CAP/OLD NEWC	070	ACI	B	2,000	34.57	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	ADBE	B	1,000	30.77	n/a	n/a	40.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>AEO</b>	<b>S</b>	<b>150,000</b>	<b>14.42</b>	<b>n/a</b>	<b>3-Dec</b>	<b>non-brg</b>	<b>4.0</b>
RBC CAPITAL MARKETS	040	ANF	S	20,000	57.35	n/a	3-Dec	800.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>AN</b>	<b>B</b>	<b>40,000</b>	<b>28.14</b>	<b>n/a</b>	<b>29-Oct</b>	<b>1,200.00</b>	<b>3.0</b>
MTB INV ADV	034	ARM	S	10,350	21.23	n/a	n/a	517.50	5.0
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>AVY</b>	<b>B</b>	<b>100</b>	<b>42.53</b>	<b>n/a</b>	<b>27-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>AVY</b>	<b>S</b>	<b>100</b>	<b>42.53</b>	<b>n/a</b>	<b>27-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>f FRANCIS MICHAEL MCCA</b>	<b>FID</b>	<b>AXP</b>	<b>B</b>	<b>100</b>	<b>42.90</b>	<b>n/a</b>	<b>22-Dec</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	BIG	B	5,000	30.16	n/a	7-Dec	250.00	5.0
<b>f FRANCIS MICHAEL MCCA</b>	<b>FID</b>	<b>BIG</b>	<b>B</b>	<b>250</b>	<b>30.35</b>	<b>n/a</b>	<b>7-Dec</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BONT</b>	<b>S</b>	<b>20,000</b>	<b>12.26</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BROADARCH CAP/OLD NEWC	070	BTU	B	1,000	63.75	n/a	n/a	40.00	4.0
HOPLITE MGMT	025	BXP	S	26,000	85.80	n/a	n/a	1,300.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>BYD</b>	<b>B</b>	<b>50,000</b>	<b>9.91</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
BROADARCH CAP/OLD NEWC	070	CAH	B	1,000	39.19	n/a	n/a	40.00	4.0
BROADARCH CAP/OLD NEWC	070	CBI	B	2,000	32.57	n/a	n/a	80.00	4.0
SCOPUS FUND	041	CBS	B	10,000	19.32	n/a	n/a	400.00	4.0
MTB INV ADV	034	CF	S	4,375	131.69	n/a	n/a	218.75	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>COLM</b>	<b>SS</b>	<b>20,000</b>	<b>61.00</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
BROADARCH CAP/OLD NEWC	070	COL	S	1,200	58.15	n/a	1-Nov	48.00	4.0
FARALLON CAP MGMT	040	CPN	SS	30,000	13.54	n/a	n/a	1,200.00	4.0
MTB INV ADV	034	CROX	B	8,275	18.26	n/a	n/a	413.75	5.0
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>CVGI</b>	<b>B</b>	<b>5000</b>	<b>17.23</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>CVGI</b>	<b>S</b>	<b>1000</b>	<b>17.29</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BROADARCH CAP/OLD NEWC	070	CVX	B	3,100	89.93	n/a	n/a	124.00	4.0
MTB INV ADV	034	DAN	S	11,425	17.37	n/a	29-Oct	571.25	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>DBRN</b>	<b>S</b>	<b>50,000</b>	<b>26.31</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DECK</b>	<b>S</b>	<b>20,000</b>	<b>82.27</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BROADARCH CAP/OLD NEWC	070	DE	B	1,000	83.63	n/a	26-Nov	40.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>DIA</b>	<b>C</b>	<b>134,700</b>	<b>115.71</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
EGS ASSOCIATES LP	091	DPZ	B	4,500	16.06	n/a	10-Dec	270.00	6.0
BROADARCH CAP/OLD NEWC	070	EMN	B	500	82.94	n/a	n/a	20.00	4.0
BAIRD INVESTMENT	047	EMR	S	9,525	57.38	n/a	n/a	476.25	5.0
HOPLITE MGMT	025	EQR	S	43,000	51.52	n/a	n/a	2,150.00	5.0
TYEE/TYGH	035	EXPE	S	25,000	26.28	n/a	n/a	1,000.00	4.0
BROADARCH CAP/OLD NEWC	070	FCX	B	1,500	116.11	n/a	n/a	60.00	4.0
BROADARCH CAP/OLD NEWC	070	FCX	S	1,000	117.92	n/a	n/a	40.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>FOSL</b>	<b>S</b>	<b>20,000</b>	<b>72.53</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GES</b>	<b>S</b>	<b>20,000</b>	<b>47.34</b>	<b>n/a</b>	<b>24-Nov</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GIII</b>	<b>S</b>	<b>14,113</b>	<b>35.19</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GIL</b>	<b>S</b>	<b>50,000</b>	<b>28.67</b>	<b>n/a</b>	<b>3-Dec</b>	<b>non-brg</b>	<b>4.0</b>
BENCHMARK	025	GME	B	2,500	22.26	n/a	n/a	100.00	4.0
BROADARCH CAP/OLD NEWC	070	GM	B	2,000	35.13	n/a	6-Dec	80.00	4.0
SCOPUS FUND	041	GR	B	15,386	87.88	n/a	21-Oct	615.44	4.0
BROADARCH CAP/OLD NEWC	070	HAL	B	2,000	40.44	n/a	n/a	80.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>HBI</b>	<b>S</b>	<b>50,000</b>	<b>25.00</b>	<b>n/a</b>	<b>28-Oct</b>	<b>non-brg</b>	<b>4.0</b>
BROADARCH CAP/OLD NEWC	070	HD	B	4,200	35.16	n/a	13-Dec	168.00	4.0
BROADARCH CAP/OLD NEWC	070	IR	S	1,500	46.87	n/a	7-Dec	60.00	4.0
SCOPUS FUND	041	IR	SS	64,914	46.90	n/a	7-Dec	2,596.56	4.0
MILLENNIUM-ANDEW	031	ITW	B	30,000	53.59	n/a	6-Dec	1,800.00	6.0
BAIRD INVESTMENT	047	JNPR	S	12,900	37.00	n/a	n/a	645.00	5.0
<b>LISTED ERR</b>	<b>099</b>	<b>JNPR</b>	<b>B</b>	<b>36</b>	<b>36.93</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>JNPR</b>	<b>S</b>	<b>36</b>	<b>37.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JNY</b>	<b>S</b>	<b>50,000</b>	<b>15.50</b>	<b>n/a</b>	<b>28-Oct</b>	<b>1,500.00</b>	<b>3.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JOSB</b>	<b>S</b>	<b>35,000</b>	<b>40.34</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
HOPLITE MGMT	025	KIM	S	127,000	17.38	n/a	n/a	5,080.00	4.0
RAIL-SPLITTER	031	KRE	SS	40,000	26.49	n/a	n/a	2,000.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>KSS</b>	<b>S</b>	<b>80,000</b>	<b>53.51</b>	<b>n/a</b>	<b>30-Nov</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>KSS</b>	<b>S</b>	<b>90,000</b>	<b>53.57</b>	<b>n/a</b>	<b>30-Nov</b>	<b>non-brg</b>	<b>4.0</b>
MANNING & NAPIER	034	LCC	B	305,220	10.07	n/a	n/a	9,156.60	3.0
BROADARCH CAP/OLD NEWC	070	LII	S	1,000	48.74	n/a	n/a	40.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>LIZ</b>	<b>S</b>	<b>50,000</b>	<b>7.55</b>	<b>n/a</b>	<b>7-Oct</b>	<b>non-brg</b>	<b>3.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BROADARCH CAP/OLD NEWC	070	LOW	SS	5,000	25.50	n/a	13-Dec	200.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>LTD</b>	<b>S</b>	<b>30,000</b>	<b>30.89</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f COLE THOMAS KAICHER</b>	<b>FID</b>	<b>MOBI</b>	<b>S</b>	<b>630</b>	<b>5.48</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BROADARCH CAP/OLD NEWC	070	MOS	B	1,000	69.58	n/a	n/a	40.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>M</b>	<b>S</b>	<b>50,000</b>	<b>25.35</b>	<b>n/a</b>	<b>30-Nov</b>	<b>1,500.00</b>	<b>3.0</b>
BROADARCH CAP/OLD NEWC	070	ODFL	S	3,000	31.66	n/a	n/a	120.00	4.0
MERRILL ASSET/BLACKROCK	266	OSUR	S	9,700	5.71	n/a	n/a	194.00	2.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PIR</b>	<b>S</b>	<b>20,000</b>	<b>10.69</b>	<b>n/a</b>	<b>n/a</b>	<b>600.00</b>	<b>3.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PLCE</b>	<b>S</b>	<b>30,000</b>	<b>49.10</b>	<b>n/a</b>	<b>18-Nov</b>	<b>non-brg</b>	<b>4.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>S</b>	<b>30,000</b>	<b>65.55</b>	<b>n/a</b>	<b>3-Dec</b>	<b>900.00</b>	<b>3.0</b>
BROADARCH CAP/OLD NEWC	070	RCL	SS	1,000	46.23	n/a	n/a	40.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>B</b>	<b>20,000</b>	<b>111.73</b>	<b>n/a</b>	<b>11-Nov</b>	<b>600.00</b>	<b>3.0</b>
<b>f MARK DEVEREAUX KAICH</b>	<b>FID</b>	<b>RRR</b>	<b>B</b>	<b>1000</b>	<b>9.66</b>	<b>n/a</b>	<b>25-Oct</b>	<b>0.00</b>	<b>0.0</b>
SUN AMERICA ASSET MGMT	030	SA	S	7,600	29.15	n/a	n/a	304.00	4.0
MERRILL ASSET/BLACKROCK	266	SHP	S	5,000	12.32	n/a	n/a	100.00	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ACK ASSET	028	SKH	SS	55,000	8.66	n/a	n/a	1,650.00	3.0
SUN AMERICA ASSET MGMT	030	SKX	S	22,600	19.52	n/a	n/a	904.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>SODA</b>	<b>B</b>	<b>10,000</b>	<b>33.43</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SPY</b>	<b>C</b>	<b>150,000</b>	<b>125.58</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>SPY</b>	<b>B</b>	<b>4</b>	<b>1.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f FRANCIS MICHAEL MCCA</b>	<b>FID</b>	<b>SRI</b>	<b>S</b>	<b>300</b>	<b>16.44</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f FRANCIS MICHAEL MCCA</b>	<b>FID</b>	<b>SRI</b>	<b>S</b>	<b>500</b>	<b>16.44</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f COLE THOMAS KAICHER</b>	<b>FID</b>	<b>STVI</b>	<b>B</b>	<b>5000</b>	<b>0.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BROADARCH CAP/OLD NEWC	070	SWK	S	3,000	67.25	n/a	n/a	120.00	4.0
BROADARCH CAP/OLD NEWC	070	TEVA	S	2,745	50.43	n/a	20-Dec	109.80	4.0
BROADARCH CAP/OLD NEWC	070	TOT	SS	4,100	52.89	n/a	n/a	164.00	4.0
BROADARCH CAP/OLD NEWC	070	UAL	S	11,600	23.92	n/a	n/a	464.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>URBN</b>	<b>S</b>	<b>50,000</b>	<b>35.70</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>URBN</b>	<b>S</b>	<b>70,000</b>	<b>35.56</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SCOPUS FUND	041	UTX	SS	53,157	79.37	n/a	n/a	2,126.28	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>VFC</b>	<b>SS</b>	<b>50,000</b>	<b>86.65</b>	<b>n/a</b>	<b>22-Oct</b>	<b>1,500.00</b>	<b>3.0</b>
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>WG</b>	<b>B</b>	<b>15000</b>	<b>9.18</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		WMS	B	25,000	46.31	23-Dec[i]	23-Dec	non-brg	2.5
ß BUCK CAPITAL MGMT		WMS	B	25,000	46.31	23-Dec[i]	23-Dec	non-brg	4.0
CAERUS GLOBAL	041	WMS	S	1,010	46.51	23-Dec[i]	23-Dec	40.40	4.0
f JOSEPH CIRO AMATURO	FID	WNC	B	5000	12.37	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		WRC	S	30,000	55.96	n/a	9-Nov	non-brg	4.0
PIONEER PATH	226	XL	SS	75,000	21.88	n/a	n/a	2,250.00	3.0
BROADARCH CAP/OLD NEWC	070	XOM	B	1,120	72.98	n/a	n/a	44.80	4.0
BROADARCH CAP/OLD NEWC	070	YHOO	B	2,000	16.55	n/a	n/a	80.00	4.0
<b>TOTAL (Trade Date) :</b>								<b>49,476.38</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CXL	12/22	ADALY INV MGMT	031	BAC	B	25,000	13.02	n/a 17-Dec	875.00 3.5
AO,CRT	12/22	ADALY INV MGMT	031	BAC	B	25,000	13.02	n/a 17-Dec	875.00 3.5

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>0.00</b>
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TOTAL (Trade Date) :	49,476.38
TOTAL (AO, CXL, CRT) :	0.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>49,476.38</b>
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MRI Securities with Trade Activity on 23-Dec.

WMS

MRI Securities without Trade Activity on 23-Dec.

BYI, KO

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

T-Date = 15%

YTD = 11%



**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)**