



# Daily Compliance Activity Report

Trade Date: 02/17/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

| Account              | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. |     |
|----------------------|-----|--------|-----|--------|-------|-----|----------|--------------|-----|
| BUCK CAPITAL MGMT    |     | ABFS   | B   | 50,000 | 25.07 | n/a | n/a      | non-brg      | 4.0 |
| BUCK CAPITAL MGMT    | 001 | ANN    | B   | 20,000 | 15.59 | n/a | n/a      | 800.00       | 4.0 |
| BUCK CAPITAL MGMT    |     | ANN    | C   | 50,000 | 15.62 | n/a | n/a      | non-brg      | 4.0 |
| JOSEPH CIRO AMATURO  | FID | ARM    | S   | 10000  | 9.78  | n/a | n/a      | 0.00         | 0.0 |
| MACKLOWE ASSET MGMT  | 041 | ARO    | SS  | 20,000 | 34.73 | n/a | 5-Feb    | 800.00       | 4.0 |
| BUCK CAPITAL MGMT    |     | AVY    | B   | 20,000 | 31.96 | n/a | 1-Feb    | non-brg      | 4.0 |
| GLOBAL 56 LLC        | 060 | AXL    | B   | 2,500  | 8.75  | n/a | 8-Feb    | 100.00       | 4.0 |
| JOSEPH CIRO AMATURO  | FID | BGZ    | B   | 10000  | 17.17 | n/a | n/a      | 0.00         | 0.0 |
| BUCK CAPITAL MGMT    |     | BKS    | C   | 75,000 | 21.89 | n/a | n/a      | non-brg      | 4.0 |
| BUCK CAPITAL MGMT    |     | BKS    | C   | 77,979 | 21.66 | n/a | n/a      | non-brg      | 2.5 |
| BUCK CAPITAL MGMT    |     | BPW    | B   | 50,000 | 10.39 | n/a | n/a      | non-brg      | 4.0 |
| ROYCE TRADING        | 216 | BZ     | B   | 10,000 | 4.85  | n/a | n/a      | 300.00       | 3.0 |
| MISP                 | 048 | CAT    | S   | 16,875 | 57.75 | n/a | 28-Jan   | 843.75       | 5.0 |
| BUCK CAPITAL MGMT    |     | CPKI   | C   | 30,000 | 14.21 | n/a | 16-Feb   | non-brg      | 4.0 |
| FRANCIS MICHAEL MCCA | FID | CRR    | S   | 100    | 65.24 | n/a | 4-Feb    | 0.00         | 0.0 |

| Account                  | RR# | Symbol | B/S | Shares | Price  | MRI | Research | Comm.¢/Shr. |     |
|--------------------------|-----|--------|-----|--------|--------|-----|----------|-------------|-----|
| f JOSEPH CIRO AMATURO    | FID | CVGI   | B   | 1500   | 4.96   | n/a | n/a      | 0.00        | 0.0 |
| f STEFFANIE CARMELA CA   | FID | CVGI   | B   | 500    | 4.98   | n/a | n/a      | 0.00        | 0.0 |
| f MANNY I KORMAN         | FID | C      | B   | 50000  | 3.40   | n/a | 13-Feb   | 0.00        | 0.0 |
| JP MORGAN VENTURES       | 046 | DE     | SS  | 30,000 | 56.64  | n/a | 30-Nov   | 1,500.00    | 5.0 |
| EPOCH INV MGMT           | 030 | DHR    | B   | 36,600 | 75.09  | n/a | n/a      | 1,098.00    | 3.0 |
| f JOSEPH CIRO AMATURO    | FID | DPTR   | S   | 30000  | 1.33   | n/a | n/a      | 0.00        | 0.0 |
| BASCOM HILL PARTNERS LLC | 033 | EV     | SS  | 20,000 | 29.82  | n/a | 12-Feb   | 600.00      | 3.0 |
| UBS OCONNOR              | 031 | EV     | C   | 10,000 | 29.78  | n/a | 12-Feb   | 300.00      | 3.0 |
| f JOHN BARTMAN COLE      | FID | FCH    | B   | 500    | 4.25   | n/a | n/a      | 0.00        | 0.0 |
| f KAREN F LEDDY          | FID | FCH    | B   | 2000   | 4.22   | n/a | n/a      | 0.00        | 0.0 |
| f BARBARA S LEDDY        | FID | FOR    | B   | 450    | 18.02  | n/a | 5-Feb    | 0.00        | 0.0 |
| f FRANCIS MICHAEL MCCA   | FID | FOR    | S   | 450    | 17.95  | n/a | 5-Feb    | 0.00        | 0.0 |
| f FRANCIS MICHAEL MCCA   | FID | FOR    | S   | 500    | 17.95  | n/a | 5-Feb    | 0.00        | 0.0 |
| f KAREN F LEDDY          | FID | FOR    | B   | 800    | 18.00  | n/a | 5-Feb    | 0.00        | 0.0 |
| f THOMAS JOHN LEDDY      | FID | FOR    | B   | 300    | 18.03  | n/a | 5-Feb    | 0.00        | 0.0 |
| B BUCK CAPITAL MGMT      |     | FSLR   | SS  | 10,000 | 123.92 | n/a | n/a      | non-brg     | 4.0 |
| BUCK CAPITAL MGMT        | 001 | GIL    | S   | 50,000 | 24.70  | n/a | 10-Feb   | 2,000.00    | 4.0 |
| LEVEL GLOBAL SHARED ACCT | 257 | GIL    | S   | 25,000 | 24.49  | n/a | 10-Feb   | 750.00      | 3.0 |
| f CHRISTOPHER ROBERT C   | FID | GLD    | S   | 50     | 109.94 | n/a | n/a      | 0.00        | 0.0 |

| Account                       | RR#        | Symbol      | B/S      | Shares        | Price        | MRI        | Research      | Comm. ¢/Shr.   |            |
|-------------------------------|------------|-------------|----------|---------------|--------------|------------|---------------|----------------|------------|
| SUN AMERICA ASSET MGMT        | 030        | GPN         | B        | 18,500        | 44.40        | n/a        | n/a           | 740.00         | 4.0        |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>HD</b>   | <b>C</b> | <b>50,000</b> | <b>29.95</b> | <b>n/a</b> | <b>11-Feb</b> | <b>non-brg</b> | <b>4.0</b> |
| ISLE RIDGE PARTNERS           | 041        | HD          | B        | 20,000        | 29.95        | n/a        | 11-Feb        | 800.00         | 4.0        |
| <b>f FRANCIS MICHAEL MCCA</b> | <b>FID</b> | <b>HELE</b> | <b>B</b> | <b>300</b>    | <b>23.95</b> | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>    | <b>0.0</b> |
| CONIFER/ISF                   | 025        | IBM         | B        | 1,500         | 126.01       | n/a        | n/a           | 60.00          | 4.0        |
| CIRCLE T/SES PART             | 035        | IGT         | B        | 5,000         | 18.34        | n/a        | 9-Feb         | 200.00         | 4.0        |
| TRELLUS PARTNERS LP           | 028        | IP          | S        | 40,000        | 24.24        | n/a        | 3-Feb         | 2,000.00       | 5.0        |
| <b>f JOSEPH CIRO AMATURO</b>  | <b>FID</b> | <b>JNK</b>  | <b>S</b> | <b>2000</b>   | <b>37.94</b> | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>    | <b>0.0</b> |
| <b>f CHRISTOPHER ROBERT C</b> | <b>FID</b> | <b>JWN</b>  | <b>B</b> | <b>200</b>    | <b>35.26</b> | <b>n/a</b> | <b>5-Feb</b>  | <b>0.00</b>    | <b>0.0</b> |
| WEISS PECK                    | 040        | JWN         | S        | 12,990        | 35.31        | n/a        | 5-Feb         | 649.50         | 5.0        |
| M&I FUNDS                     | 047        | KMB         | S        | 3,215         | 59.53        | n/a        | 25-Jan        | 128.60         | 4.0        |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>KNX</b>  | <b>B</b> | <b>10,000</b> | <b>18.29</b> | <b>n/a</b> | <b>n/a</b>    | <b>non-brg</b> | <b>4.0</b> |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>KNX</b>  | <b>B</b> | <b>5,000</b>  | <b>18.43</b> | <b>n/a</b> | <b>n/a</b>    | <b>non-brg</b> | <b>0.8</b> |
| KENNEDY CAPITAL               | 046        | LIZ         | S        | 23,785        | 5.97         | n/a        | 7-Oct         | 713.55         | 3.0        |
| MISP                          | 048        | LMT         | B        | 13,025        | 75.70        | n/a        | 2-Feb         | 651.25         | 5.0        |
| CIRCLE T/SES PART             | 035        | LVS         | S        | 5,000         | 17.61        | n/a        | 16-Feb        | 200.00         | 4.0        |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>MFB</b>  | <b>B</b> | <b>20,000</b> | <b>15.96</b> | <b>n/a</b> | <b>n/a</b>    | <b>non-brg</b> | <b>4.0</b> |

| Account                       | RR#        | Symbol      | B/S      | Shares         | Price         | MRI        | Research      | Comm.¢/Shr.    |             |
|-------------------------------|------------|-------------|----------|----------------|---------------|------------|---------------|----------------|-------------|
| AVESTA CAP                    | 229        | MSFT        | B        | 300,000        | 28.47         | n/a        | n/a           | 9,000.00       | 3.0         |
| <b>B</b> BUCK CAPITAL MGMT    |            | <b>MVRX</b> | <b>C</b> | <b>90,000</b>  | <b>175.18</b> | <b>n/a</b> | <b>n/a</b>    | <b>non-brg</b> | <b>17.5</b> |
| <b>f</b> CHRISTOPHER ROBERT C | <b>FID</b> | <b>MWV</b>  | <b>B</b> | <b>200</b>     | <b>24.07</b>  | <b>n/a</b> | <b>28-Jan</b> | <b>0.00</b>    | <b>0.0</b>  |
| MISP                          | 048        | NOC         | S        | 16,325         | 59.53         | n/a        | 5-Feb         | 816.25         | 5.0         |
| ROYCE TRADING                 | 216        | OEH         | B        | 10,000         | 11.69         | n/a        | n/a           | 500.00         | 5.0         |
| RBC CAPITAL MARKETS           | 040        | OZM         | B        | 18,100         | 12.98         | n/a        | 12-Feb        | 724.00         | 4.0         |
| <b>f</b> NEIL M STRATTON      | <b>FID</b> | <b>PBH</b>  | <b>S</b> | <b>197</b>     | <b>7.60</b>   | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>    | <b>0.0</b>  |
| MISP                          | 048        | PCP         | B        | 8,225          | 110.86        | n/a        | 22-Jan        | 411.25         | 5.0         |
| M&I FUNDS                     | 047        | PM          | S        | 3,846          | 49.66         | n/a        | n/a           | 153.84         | 4.0         |
| <b>B</b> BUCK CAPITAL MGMT    |            | <b>PSS</b>  | <b>B</b> | <b>100,000</b> | <b>21.98</b>  | <b>n/a</b> | <b>n/a</b>    | <b>non-brg</b> | <b>4.0</b>  |
| BALYASNY ASSET MGMT           | 044        | PVH         | S        | 20,000         | 42.40         | n/a        | 12-Jan        | 1,000.00       | 5.0         |
| <b>BUCK CAPITAL MGMT</b>      | <b>001</b> | <b>PVH</b>  | <b>B</b> | <b>15,000</b>  | <b>42.55</b>  | <b>n/a</b> | <b>12-Jan</b> | <b>600.00</b>  | <b>4.0</b>  |
| <b>LISTED ERR</b>             | <b>099</b> | <b>PVH</b>  | <b>S</b> | <b>25,000</b>  | <b>42.75</b>  | <b>n/a</b> | <b>12-Jan</b> | <b>0.00</b>    | <b>0.0</b>  |
| CAXTON PART                   | 040        | RKT         | B        | 2,874          | 39.62         | n/a        | n/a           | 100.59         | 3.5         |
| CAXTON PART                   | 040        | RKT         | B        | 47,126         | 39.62         | n/a        | n/a           | 1,649.42       | 3.5         |
| <b>f</b> ALICE BEEBE LONGLEY  | <b>FID</b> | <b>SDS</b>  | <b>S</b> | <b>400</b>     | <b>35.43</b>  | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>    | <b>0.0</b>  |
| <b>B</b> BUCK CAPITAL MGMT    |            | <b>SHOO</b> | <b>B</b> | <b>10,000</b>  | <b>40.76</b>  | <b>n/a</b> | <b>n/a</b>    | <b>non-brg</b> | <b>0.8</b>  |

| Account                | RR# | Symbol | B/S | Shares  | Price | MRI | Research | Comm.¢/Shr. |     |
|------------------------|-----|--------|-----|---------|-------|-----|----------|-------------|-----|
| ß BUCK CAPITAL MGMT    |     | SHOO   | B   | 10,000  | 40.96 | n/a | n/a      | non-brg     | 2.0 |
| ß BUCK CAPITAL MGMT    |     | SHOO   | B   | 21,960  | 41.05 | n/a | n/a      | non-brg     | 0.8 |
| ß BUCK CAPITAL MGMT    |     | SHOO   | B   | 7,465   | 40.76 | n/a | n/a      | non-brg     | 2.5 |
| ß BUCK CAPITAL MGMT    |     | SHOO   | B   | 8,375   | 40.53 | n/a | n/a      | non-brg     | 1.0 |
| BUCK CAPITAL MGMT      | 001 | SKX    | B   | 120,000 | 30.28 | n/a | n/a      | 4,800.00    | 4.0 |
| ß BUCK CAPITAL MGMT    |     | SKX    | B   | 10,000  | 30.26 | n/a | n/a      | non-brg     | 2.0 |
| ß BUCK CAPITAL MGMT    |     | SKX    | B   | 20,000  | 30.38 | n/a | n/a      | non-brg     | 4.0 |
| ß BUCK CAPITAL MGMT    |     | SKX    | B   | 40,000  | 30.09 | n/a | n/a      | non-brg     | 0.8 |
| f MANNY I KORMAN       | FID | SLM    | B   | 10000   | 11.09 | n/a | 17-Feb   | 0.00        | 0.0 |
| f JOSEPH CIRO AMATURO  | FID | SRI    | S   | 4600    | 8.27  | n/a | n/a      | 0.00        | 0.0 |
| MISP                   | 048 | TEN    | B   | 26,275  | 20.47 | n/a | n/a      | 1,313.75    | 5.0 |
| BROADARCH CAP/OLD NEWC | 070 | TIN    | B   | 7,700   | 18.33 | n/a | 9-Feb    | 308.00      | 4.0 |
| f JOSEPH CIRO AMATURO  | FID | TIN    | S   | 10000   | 18.26 | n/a | 9-Feb    | 0.00        | 0.0 |
| ROSEDALE CAPITAL       | 046 | TIN    | B   | 10,200  | 18.04 | n/a | 9-Feb    | 510.00      | 5.0 |
| COUGAR TRADING         | 044 | TM     | SS  | 15,000  | 74.31 | n/a | n/a      | 750.00      | 5.0 |
| EXIS CAPITAL           | 044 | UA     | B   | 5,000   | 25.78 | n/a | 29-Jan   | 250.00      | 5.0 |
| ß BUCK CAPITAL MGMT    |     | URBN   | B   | 20,000  | 31.44 | n/a | n/a      | non-brg     | 4.0 |
| ROSEDALE CAPITAL       | 046 | VOD    | B   | 20,000  | 22.12 | n/a | n/a      | 1,000.00    | 5.0 |
| ß BUCK CAPITAL MGMT    |     | WERN   | B   | 20,000  | 20.20 | n/a | n/a      | non-brg     | 4.0 |
| BULL PATH CAPITAL      | 044 | WFMI   | B   | 17,539  | 33.53 | n/a | n/a      | 876.95      | 5.0 |

| Account             | RR# | Symbol | B/S | Shares | Price | MRI | Research  | Comm. ¢/Shr. |
|---------------------|-----|--------|-----|--------|-------|-----|-----------|--------------|
| B BUCK CAPITAL MGMT |     | WFT    | B   | 30,000 | 15.45 | n/a | n/a       | non-brg 4.0  |
| B BUCK CAPITAL MGMT |     | XRT    | C   | 29,400 | 36.36 | n/a | n/a       | non-brg 0.8  |
| TOTAL (Trade Date): |     |        |     |        |       |     | 39,998.70 |              |

Cancel/Corrects and As-Of Trades

| Type                  | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI Research | Comm.¢/Shr. |
|-----------------------|------|---------|------|--------|-----|--------|-------|--------------|-------------|
| TOTAL (AO, CXL, CRT): |      |         |      |        |     |        |       |              | 0.00        |

|                       |           |
|-----------------------|-----------|
| TOTAL (Trade Date):   | 39,998.70 |
| TOTAL (AO, CXL, CRT): | 0.00      |

|                         |           |
|-------------------------|-----------|
| TOTAL (RUN DATE) / NFS: | 39,998.70 |
|-------------------------|-----------|

MRI Securities with Trade Activity on 17-Feb.  
NONE

MRI Securities without Trade Activity on 17-Feb.  
NONE

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 17%  
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)**