



# Daily Compliance Activity Report

Trade Date: 02/18/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B</b> BUCK CAPITAL MGMT		<b>AAPL</b>	<b>S</b>	<b>5,000</b>	<b>350.03</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
CADIAN CAPITAL	041	ANF	S	100,000	58.70	n/a	17-Feb	3,000.00	3.0
<b>f</b> KAREN F LEDDY	<b>FID</b>	<b>APC</b>	<b>B</b>	<b>400</b>	<b>81.12</b>	<b>n/a</b>	<b>1-Feb</b>	<b>0.00</b>	<b>0.0</b>
DSM CAPITAL PARTNERS	085	ARG	B	6,875	64.30	18-Feb[i]	18-Feb	343.75	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>ARO</b>	<b>B</b>	<b>50,000</b>	<b>26.60</b>	<b>n/a</b>	<b>4-Feb</b>	<b>1,500.00</b>	<b>3.0</b>
BALYASNY ASSET MGMT	044	ASNA	SS	25,000	31.26	n/a	n/a	1,250.00	5.0
<b>B</b> BUCK CAPITAL MGMT		<b>ASNA</b>	<b>S</b>	<b>20,000</b>	<b>31.39</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> MELISSA LEE BACKUS	<b>FID</b>	<b>AXL</b>	<b>S</b>	<b>3000</b>	<b>14.36</b>	<b>n/a</b>	<b>9-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> CICILY S BACKUS	<b>FID</b>	<b>AXP</b>	<b>B</b>	<b>2000</b>	<b>45.41</b>	<b>n/a</b>	<b>17-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> LBP ENTERPRISES INC	<b>FID</b>	<b>AXP</b>	<b>B</b>	<b>1000</b>	<b>45.41</b>	<b>n/a</b>	<b>17-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> LEE F BACKUS	<b>FID</b>	<b>AXP</b>	<b>B</b>	<b>1000</b>	<b>45.43</b>	<b>n/a</b>	<b>17-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> MARK ANTHONY GRONET	<b>FID</b>	<b>AXP</b>	<b>B</b>	<b>300</b>	<b>45.44</b>	<b>n/a</b>	<b>17-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> KAREN F LEDDY	<b>FID</b>	<b>BEE</b>	<b>S</b>	<b>1200</b>	<b>6.76</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> JOSEPH CIRO AMATURO	<b>FID</b>	<b>BGZ</b>	<b>B</b>	<b>10000</b>	<b>7.06</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NICOLAS APPELGATE	084	BTU	S	41,600	65.70	n/a	n/a	832.00	2.0
<b>B</b> BUCK CAPITAL MGMT		<b>CHS</b>	<b>B</b>	<b>100,000</b>	<b>12.49</b>	<b>n/a</b>	<b>5-Feb</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SUN AMERICA ASSET MGMT	030	CREE	B	15,300	55.20	n/a	n/a	612.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>CROX</b>	<b>B</b>	<b>40,000</b>	<b>17.80</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>f MARK ANTHONY GRONET</b>	<b>FID</b>	<b>CRWN</b>	<b>B</b>	<b>10000</b>	<b>2.41</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COLUMBUS CAP MGMT LLC	084	CVGI	B	10,000	17.57	n/a	n/a	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>DECK</b>	<b>S</b>	<b>10,000</b>	<b>89.76</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DPZ</b>	<b>B</b>	<b>50,000</b>	<b>17.18</b>	<b>n/a</b>	<b>7-Jan</b>	<b>non-brg</b>	<b>4.0</b>
SASCO	033	DUK	S	211,500	17.99	n/a	n/a	8,460.00	4.0
NEUBERGER BERMAN	036	EQR	B	7,600	53.99	n/a	n/a	304.00	4.0
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>FCH</b>	<b>S</b>	<b>900</b>	<b>7.73</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DAVIDSON KEMPNER ADVISOR	040	FCX	B	10,000	53.50	n/a	n/a	500.00	5.0
<b>f MITCHELL JAMES SPEIS</b>	<b>FID</b>	<b>FSNXX</b>	<b>S</b>	<b>15000</b>	<b>1.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MELISSA LEE BACKUS</b>	<b>FID</b>	<b>F</b>	<b>S</b>	<b>2000</b>	<b>15.82</b>	<b>n/a</b>	<b>2-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>HOV</b>	<b>S</b>	<b>3000</b>	<b>4.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JOSB</b>	<b>S</b>	<b>20,000</b>	<b>47.11</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f CICILY S BACKUS</b>	<b>FID</b>	<b>JPMRW</b>	<b>B</b>	<b>2000</b>	<b>25.71</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.	
f	LEE F BACKUS	FID	JPMPRW	B	2000	25.71	n/a	n/a	0.00	0.0
f	SNEJANA P GARFUNKEL	FID	JPMPRW	B	1000	25.71	n/a	n/a	0.00	0.0
f	IAN L MILLER	FID	JPM	S	25	47.85	n/a	16-Feb	0.00	0.0
	NEUBERGER BERMAN	036	KELYA	B	25,000	22.60	n/a	n/a	1,000.00	4.0
	NEUBERGER BERMAN	036	KRC	B	10,600	38.50	n/a	n/a	424.00	4.0
	BMO NESBITT BURNS	041	LPX	B	1,000	10.88	n/a	10-Feb	60.00	6.0
	SCHOTTENFELD ASSOC	041	LPX	B	30,000	11.02	n/a	10-Feb	900.00	3.0
f	MANNY I KORMAN	FID	LTM	B	100	2.50	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		MCD	B	100,000	76.17	n/a	8-Feb	non-brg	4.0
	FARALLON CAP MGMT	040	MSFT	S	150,000	27.06	n/a	n/a	4,500.00	3.0
	SANDLER O'NEILL ASSET	031	MS	S	45,000	31.00	n/a	14-Feb	2,250.00	5.0
f	BARBARA S LEDDY	FID	MWV	B	300	30.26	n/a	26-Jan	0.00	0.0
f	KAREN F LEDDY	FID	MWV	B	500	30.34	n/a	26-Jan	0.00	0.0
B	BUCK CAPITAL MGMT		M	B	30,000	24.01	n/a	7-Feb	non-brg	1.0
f	IAN L MILLER	FID	NBRXF	S	100	16.52	n/a	n/a	0.00	0.0
f	JOHN BARTMAN COLE	FID	NBRXF	S	500	16.58	n/a	n/a	0.00	0.0
	BNP PARIBAS SEC	040	ORLY	B	10,000	55.27	n/a	n/a	500.00	5.0
	BNP PARIBAS SEC	040	PBCT	SS	11,390	13.40	n/a	21-Jan	569.50	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOUT/UMB	047	PCX	S	54,475	24.67	n/a	n/a	1,634.25	3.0
PATTEN & PATTEN	025	PEP	S	7,350	63.47	n/a	n/a	367.50	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>PERY</b>	<b>B</b>	<b>10,000</b>	<b>30.39</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f MITCHELL JAMES SPEIS</b>	<b>FID</b>	<b>PIN</b>	<b>B</b>	<b>500</b>	<b>22.26</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BMO NESBITT BURNS	041	PKG	S	2,000	29.94	n/a	17-Feb	120.00	6.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>PVH</b>	<b>B</b>	<b>125</b>	<b>58.79</b>	<b>n/a</b>	<b>1-Feb</b>	<b>0.00</b>	<b>0.0</b>
NEUBERGER BERMAN	036	REG	B	9,400	43.86	n/a	n/a	376.00	4.0
<b>f MELISSA LEE BACKUS</b>	<b>FID</b>	<b>RF</b>	<b>S</b>	<b>2000</b>	<b>7.74</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	025	RKT	S	22,850	70.64	n/a	n/a	1,142.50	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>RL</b>	<b>B</b>	<b>5,000</b>	<b>127.49</b>	<b>n/a</b>	<b>10-Feb</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SKS</b>	<b>C</b>	<b>50,000</b>	<b>12.95</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>SPY</b>	<b>B</b>	<b>6</b>	<b>0.83</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TALPION LLC	040	SWC	B	25,000	24.82	n/a	n/a	750.00	3.0
<b>f BARRY JONAS</b>	<b>FID</b>	<b>TACT</b>	<b>B</b>	<b>500</b>	<b>10.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>TEX</b>	<b>S</b>	<b>80</b>	<b>38.08</b>	<b>n/a</b>	<b>11-Feb</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>TEX</b>	<b>S</b>	<b>500</b>	<b>38.07</b>	<b>n/a</b>	<b>11-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>TGT</b>	<b>B</b>	<b>20,000</b>	<b>51.90</b>	<b>n/a</b>	<b>18-Feb</b>	<b>non-brg</b>	<b>1.0</b>
SCOPUS FUND	041	TGT	B	73,043	51.90	n/a	18-Feb	2,921.72	4.0
WOOSTER CAPITAL	035	TGT	B	75,000	51.96	n/a	18-Feb	3,750.00	5.0
MERRILL ASSET/BLACKROCK	266	THFF	S	1,559	32.09	n/a	n/a	62.36	4.0
BALLAST CAP	040	TIN	S	30,000	25.60	n/a	8-Feb	1,500.00	5.0
SENATOR INVESTMENT GROUP	036	TIN	B	50,000	25.46	n/a	8-Feb	1,500.00	3.0
TRUSTCO/SUNTRUST	040	WAG	B	100,000	42.76	n/a	n/a	3,500.00	3.5
<b>f MELISSA LEE BACKUS</b>	<b>FID</b>	<b>WBC</b>	<b>S</b>	<b>1000</b>	<b>62.71</b>	<b>n/a</b>	<b>11-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>f LEE F BACKUS</b>	<b>FID</b>	<b>WFCPRJ</b>	<b>B</b>	<b>1000</b>	<b>28.09</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MELISSA LEE BACKUS</b>	<b>FID</b>	<b>WFCPRJ</b>	<b>B</b>	<b>3000</b>	<b>28.09</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TPG-AXON	040	WMT	SS	200,000	55.10	n/a	18-Feb	8,000.00	4.0
DAVIDSON KEMPNER ADVISOR	040	X	SS	16,000	61.40	n/a	n/a	800.00	5.0
<b>TOTAL (Trade Date):</b>								<b>53,929.58</b>	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									53,929.58
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									53,929.58
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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MRI Securities with Trade Activity on 18-Feb.

ARG

MRI Securities without Trade Activity on 18-Feb.

JWN, PX, APD, DE

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

T-Date = 9%

YTD = 4%

**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)**