



Daily Compliance Activity Report

Trade Date: 12/20/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		\$\$EURUSD	C	55,800	1.32	n/a	n/a	non-brg	5.0
B BUCK CAPITAL MGMT		\$\$GBPUSD	C	5,234	1.55	n/a	n/a	non-brg	5.0
B BUCK CAPITAL MGMT		210 HK	S	25,000	1.01	n/a	n/a	non-brg	0.2
B BUCK CAPITAL MGMT		494 HK	S	10,000	5.66	n/a	n/a	non-brg	1.1
B BUCK CAPITAL MGMT		7974 JP	S	200	283.69	n/a	n/a	non-brg	42.6
BAIRD INVESTMENT	047	ADS	B	250	70.19	n/a	n/a	12.50	5.0
B BUCK CAPITAL MGMT		AEO	S	30,000	14.93	n/a	3-Dec	non-brg	4.0
CARDINAL CAPITAL	044	AEO	B	45,000	14.62	n/a	3-Dec	2,250.00	5.0
SMITH MGMT LLC	029	AIG	SS	500,000	53.85	n/a	n/a	15,000.00	3.0
BAIRD INVESTMENT	047	AKAM	B	250	48.90	n/a	n/a	12.50	5.0
MORTAR ROCK	033	AMD	SS	50,000	8.23	n/a	n/a	2,000.00	4.0
TRUST CO OF THE WEST/NY	040	ANF	S	14,020	56.29	n/a	3-Dec	701.00	5.0
TRUST CO/COWEN/CALF.	040	ANF	S	8,065	56.29	n/a	3-Dec	403.25	5.0
BUCK CAPITAL MGMT	001	ANN	S	10,000	28.05	n/a	n/a	300.00	3.0
BAIRD INVESTMENT	047	ANSS	B	350	53.48	n/a	n/a	17.50	5.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	IAN L MILLER	FID	APGAX	S	41	24.53	n/a	n/a	0.00	0.0
	BAIRD INVESTMENT	047	ARG	B	150	63.10	n/a	5-Feb	7.50	5.0
	BAIRD INVESTMENT	047	ATR	B	1,250	47.27	n/a	n/a	62.50	5.0
	BAIRD INVESTMENT	047	ATU	B	350	27.17	n/a	n/a	17.50	5.0
B	BUCK CAPITAL MGMT		AXL	S	50,000	13.07	n/a	1-Nov	non-brg	4.0
	PLATTE RIVER CAPITAL	240	AXP	S	14,447	43.00	n/a	17-Dec	577.88	4.0
	BAIRD INVESTMENT	047	A	B	350	40.49	n/a	n/a	17.50	5.0
B	BUCK CAPITAL MGMT		BEBE	S	73,918	6.01	n/a	n/a	non-brg	3.0
	BAIRD INVESTMENT	047	BWLD	B	300	45.85	n/a	n/a	15.00	5.0
B	BUCK CAPITAL MGMT		CBK	B	20,000	5.74	n/a	n/a	non-brg	3.0
	BAIRD INVESTMENT	047	CHD	B	250	69.31	n/a	10-Dec	12.50	5.0
B	BUCK CAPITAL MGMT		CHS	S	20,000	12.03	n/a	5-Feb	non-brg	4.0
	BAIRD INVESTMENT	047	COG	B	500	36.48	n/a	14-Dec	25.00	5.0
	BAIRD INVESTMENT	047	CPLA	B	100	63.75	n/a	n/a	5.00	5.0
	BAIRD INVESTMENT	047	CRM	B	50	134.29	n/a	n/a	2.50	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		CROX	S	30,000	18.69	n/a	n/a	non-brg	4.0
BAIRD INVESTMENT	047	CTXS	B	100	68.86	n/a	n/a	5.00	5.0
f EDWARD W WHEELER	FID	CVGI	S	5000	17.40	n/a	n/a	0.00	0.0
BNP PARIBAS SEC	040	CYT	SS	10,000	52.67	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		DECK	S	20,000	86.22	n/a	n/a	non-brg	4.0
JP MORGAN VENTURES	046	DELL	B	30,000	13.39	n/a	n/a	1,500.00	5.0
BAIRD INVESTMENT	047	DKS	B	450	37.28	n/a	16-Nov	22.50	5.0
BAIRD INVESTMENT	047	DLB	B	250	66.78	n/a	n/a	12.50	5.0
BAIRD INVESTMENT	047	DLR	B	200	48.48	n/a	n/a	10.00	5.0
BAIRD INVESTMENT	047	DRC	B	400	41.93	n/a	n/a	20.00	5.0
BAIRD INVESTMENT	047	ECL	B	250	50.40	n/a	26-Oct	12.50	5.0
f MARC PAUL LUCHANSKY	FID	EJ	S	300	13.84	n/a	n/a	0.00	0.0
SUN AMERICA ASSET MGMT	030	ENTR	B	16,400	11.67	n/a	n/a	656.00	4.0
BAIRD INVESTMENT	047	EV	B	300	30.94	n/a	n/a	15.00	5.0
BAIRD INVESTMENT	047	FAST	B	250	59.75	n/a	n/a	12.50	5.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
B	BUCK CAPITAL MGMT		FINL	S	20,000	18.62	n/a	n/a	non-brg 2.0
	BUCK CAPITAL MGMT	001	FL	S	10,000	19.68	n/a	19-Nov	300.00 3.0
Õ	Doug Rogers		FOR	S	760	18.56	n/a	3-Nov	0.00 0.0
	JP MORGAN VENTURES	046	GFF	B	10,000	12.22	n/a	n/a	500.00 5.0
	BAIRD INVESTMENT	047	GHL	B	150	81.10	n/a	n/a	7.50 5.0
B	BUCK CAPITAL MGMT		GIIL	S	16,560	35.54	n/a	n/a	non-brg 0.8
B	BUCK CAPITAL MGMT		GIIL	S	4,921	34.95	n/a	n/a	non-brg 1.0
	GOLD SACHS SPECIAL SIT	030	GM	B	75,000	33.86	n/a	6-Dec	3,750.00 5.0
	BAIRD INVESTMENT	047	GNTX	B	500	29.29	n/a	25-Oct	25.00 5.0
	BAIRD INVESTMENT	047	GPN	B	150	44.70	n/a	n/a	7.50 5.0
	PATTEN & PATTEN	025	HCF	B	4,380	7.50	n/a	n/a	219.00 5.0
	FARALLON CAP MGMT	040	HD	S	142,000	35.24	n/a	13-Dec	5,680.00 4.0
f	CHRISTOPHER ROBERT C	FID	HRBN	S	300	17.72	n/a	n/a	0.00 0.0
	BAIRD INVESTMENT	047	ICLR	B	450	21.75	n/a	n/a	22.50 5.0
	SUN AMERICA ASSET MGMT	030	ICON	B	5,900	20.25	n/a	n/a	236.00 4.0
	SUN AMERICA ASSET MGMT	030	ICO	B	15,100	7.11	n/a	n/a	604.00 4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BAIRD INVESTMENT	047	IVZ	B	750	22.76	n/a	2-Mar	37.50	5.0
B BUCK CAPITAL MGMT		IYG	SS	1,447,000	55.90	n/a	n/a	non-brg	1.0
BAIRD INVESTMENT	047	JBHT	B	400	39.54	n/a	n/a	20.00	5.0
SUN AMERICA ASSET MGMT	030	KEG	B	9,500	12.71	n/a	15-Dec	380.00	4.0
f DAVID GEORGE BUCK	FID	KEY	B	2500	8.40	n/a	n/a	0.00	0.0
PIONEER PATH	226	KMX	B	30,300	35.65	n/a	n/a	909.00	3.0
SURSUM CAPITAL	215	KSS	SS	20,000	53.93	n/a	30-Nov	600.00	3.0
WADDELL AND REED	047	KSS	S	40,100	54.03	n/a	30-Nov	1,604.00	4.0
BAIRD INVESTMENT	047	LIFE	B	300	55.32	n/a	n/a	15.00	5.0
BAIRD INVESTMENT	047	LKQX	B	750	22.85	n/a	n/a	37.50	5.0
SURSUM CAPITAL	215	LTD	SS	20,000	31.00	n/a	n/a	600.00	3.0
NOMURA CAPITAL	029	LYB	S	5,600	32.01	n/a	n/a	168.00	3.0
BAIRD INVESTMENT	047	MAN	B	350	64.04	n/a	n/a	17.50	5.0
BAIRD INVESTMENT	047	MCHP	B	550	34.07	n/a	n/a	27.50	5.0
f EDWARD W WHEELER	FID	MET	B	130	3.30	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	047	MKC	B	350	47.41	n/a	n/a	17.50	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MANNING & NAPIER	034	MON	S	454,070	64.81	n/a	17-Dec	13,622.10	3.0
B BUCK CAPITAL MGMT		MSMSRAW3	C	52,500	135.64	n/a	n/a	non-brg	13.6
BAIRD INVESTMENT	047	MTD	B	100	156.35	n/a	n/a	5.00	5.0
MILLENIUM PARTNERS	028	MTW	B	15,000	12.91	n/a	1-Nov	600.00	4.0
PIONEER PATH	226	M	B	30,000	25.73	n/a	30-Nov	900.00	3.0
Õ Doug Rogers		NBRXF	B	1000	13.98	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	047	NDN	B	1,150	16.27	n/a	8-Nov	57.50	5.0
BAIRD INVESTMENT	047	NTAP	B	150	55.33	n/a	n/a	7.50	5.0
SUN AMERICA ASSET MGMT	030	NUAN	B	7,200	18.38	n/a	n/a	288.00	4.0
BAIRD INVESTMENT	047	ORLY	B	200	62.64	n/a	n/a	10.00	5.0
LAGRANGE CAP ADV	048	PAG	S	15,000	17.00	n/a	25-Oct	750.00	5.0
WEISS PECK	040	PERY	C	7,200	25.18	n/a	n/a	360.00	5.0
B BUCK CAPITAL MGMT		PIR	S	30,000	10.27	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		PLCE	S	20,000	50.40	n/a	18-Nov	non-brg	4.0
BAIRD INVESTMENT	047	PLT	B	450	37.07	n/a	n/a	22.50	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BAIRD INVESTMENT	047	PLXS	B	550	28.72	n/a	n/a	27.50	5.0
SUN AMERICA ASSET MGMT	030	PODD	B	9,100	15.33	n/a	n/a	364.00	4.0
BAIRD INVESTMENT	047	PRGO	B	200	66.58	n/a	20-Dec	10.00	5.0
M&I FUNDS	047	PX	S	4,229	93.97	n/a	26-Nov	169.16	4.0
NOMURA CAPITAL	029	QLTY	S	2,500	9.85	n/a	n/a	75.00	3.0
SUN AMERICA ASSET MGMT	030	QTM	B	29,400	3.75	n/a	n/a	882.00	3.0
SUN AMERICA ASSET MGMT	030	RFMD	B	15,400	7.85	n/a	n/a	616.00	4.0
BAIRD INVESTMENT	047	RMD	B	350	35.33	n/a	n/a	17.50	5.0
BAIRD INVESTMENT	047	ROK	B	100	71.78	n/a	n/a	5.00	5.0
BAIRD INVESTMENT	047	ROP	B	250	77.04	n/a	n/a	12.50	5.0
ARCHON CAPITAL	035	ROVI	B	6,000	57.38	n/a	n/a	180.00	3.0
COHE & STEERS	041	RYN	B	44,344	50.97	n/a	27-Oct	1,773.76	4.0
COOKBIELER	028	SCS	S	87,900	10.30	n/a	n/a	3,516.00	4.0
BUCK CAPITAL MGMT	001	SIG	B	20,000	43.62	n/a	n/a	600.00	3.0
BUCK CAPITAL MGMT	001	SKX	S	134,670	21.14	n/a	n/a	4,040.10	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BAIRD INVESTMENT	047	SNI	B	350	52.20	n/a	n/a	17.50	5.0
NOMURA CAPITAL	029	SOA	S	2,700	23.48	n/a	n/a	81.00	3.0
BNP PARIBAS SEC	040	SPY	B	50,000	124.68	n/a	n/a	2,500.00	5.0
BAIRD INVESTMENT	047	SRCL	B	250	79.66	n/a	n/a	12.50	5.0
SUN AMERICA ASSET MGMT	030	STLD	B	6,900	18.00	n/a	n/a	276.00	4.0
f EDWARD W WHEELER	FID	STS	S	5000	2.55	n/a	n/a	0.00	0.0
PIONEER PATH	226	SVU	SS	167,100	8.72	n/a	n/a	5,013.00	3.0
MORTAR ROCK	033	SWFT	B	40,000	11.48	n/a	n/a	1,600.00	4.0
SUN AMERICA ASSET MGMT	030	SWFT	B	5,700	11.47	n/a	n/a	228.00	4.0
ROSEDALE CAPITAL	046	SWN	B	15,000	35.11	n/a	17-Dec	750.00	5.0
SUN AMERICA ASSET MGMT	030	SWY	B	12,000	21.72	n/a	n/a	480.00	4.0
FIRST NEW YORK LEDDY	035	S	B	20,000	4.25	n/a	n/a	800.00	4.0
f JASON ERIC COHEN	FID	TBT	S	100	37.60	n/a	n/a	0.00	0.0
SUFFOLK CAPITAL MGMT	040	TEVA	S	100,000	51.19	n/a	20-Dec	4,000.00	4.0
MILLENIUM PARTNERS	028	TEX	S	15,000	28.75	n/a	22-Oct	600.00	4.0
B BUCK CAPITAL MGMT		TFM	S	7,500	41.95	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BAIRD INVESTMENT	047	THOR	B	350	28.39	n/a	n/a	17.50	5.0
SAC TRADING TOM LEDDY	035	TJX	SS	50,000	43.95	n/a	10-Dec	1,750.00	3.5
MORTAR ROCK	033	TM	SS	5,000	77.32	n/a	n/a	200.00	4.0
BAIRD INVESTMENT	047	TRMB	B	200	40.13	n/a	n/a	10.00	5.0
BAIRD INVESTMENT	047	TSCO	B	200	48.71	n/a	n/a	10.00	5.0
f EDWARD W WHEELER	FID	TWI	B	35	3.20	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	UAL	S	1000	23.91	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	047	UA	B	100	57.19	n/a	27-Oct	5.00	5.0
BAIRD INVESTMENT	047	ULTA	B	1,200	33.33	n/a	n/a	60.00	5.0
SURSUM CAPITAL	215	UPS	B	20,000	72.38	n/a	n/a	600.00	3.0
BAIRD INVESTMENT	047	URBN	B	350	36.69	n/a	n/a	17.50	5.0
BAIRD INVESTMENT	047	VAR	B	100	70.48	n/a	n/a	5.00	5.0
ARCHON CAPITAL	035	VMW	B	6,000	88.91	n/a	n/a	180.00	3.0
SUN AMERICA ASSET MGMT	030	VOLC	B	6,000	28.05	n/a	n/a	240.00	4.0
f DAVID GEORGE BUCK	FID	VRTX	S	10	0.96	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BAIRD INVESTMENT	047	VSEA	B	400	37.00	n/a	n/a	20.00	5.0
BAIRD INVESTMENT	047	WBC	B	300	53.61	n/a	29-Oct	15.00	5.0
BNP PARIBAS SEC	040	WLK	SS	10,000	42.65	n/a	n/a	500.00	5.0
f EDWARD W WHEELER	FID	WNC	B	200	2.25	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	047	WSO	B	550	63.74	n/a	n/a	27.50	5.0
B BUCK CAPITAL MGMT		XLFX	C	5,222,011	15.56	n/a	n/a	non-brg	1.0
PIONEER PATH	226	X	S	30,000	58.91	n/a	n/a	900.00	3.0
BAIRD INVESTMENT	047	ZBRA	B	350	38.36	n/a	n/a	17.50	5.0
TOTAL (Trade Date):								89,834.75	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/17	ST OF MICHIAN	047	DTV	B	160,000	39.55	n/a	n/a	4800.00 3.0
AO,CRT	12/17	ST OF MICHIAN	047	DTV	B	160,000	39.55	n/a	n/a	4800.00 3.0
AO,CRT	12/17	ST OF MICHIAN	047	FTI	S	60,000	87.72	n/a	n/a	1800.00 3.0
AO,CXL	12/17	ST OF MICHIAN	047	FTI	S	60,000	87.72	n/a	n/a	1800.00 3.0
AO,CRT	12/17	SCOPUS FUND	041	GES	B	27,850	49.53	n/a	24-Nov	1114.00 4.0
AO,CXL	12/17	SCOPUS FUND	041	GES	B	27,850	49.53	n/a	24-Nov	1114.00 4.0
AO,CXL	12/17	NICOLAS APPELEGATE	084	KO	S	94,000	65.47	n/a	26-Oct	1880.00 2.0
AO,CRT	12/17	NICOLAS APPELEGATE	084	KO	S	94,000	65.47	n/a	26-Oct	1880.00 2.0
AO,	12/17	MANNING & NAPIER	034	MON	S	971,150	64.74	n/a	17-Dec	29134.50 3.0

TOTAL (AO, CXL, CRT) :**29,134.50**

TOTAL (Trade Date) :

89,834.75

TOTAL (AO, CXL, CRT) :

29,134.50

TOTAL (RUN DATE) / NFS:**118,969.25****MRI Securities with Trade Activity on 20-Dec.****NONE**

MRI Securities without Trade Activity on 20-Dec.

PG

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

T-Date = 6%

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)