



Daily Compliance Activity Report

Trade Date: 09/02/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|------------------------|-----|--------|-----|---------|-------|-----|----------|--------------|-----|
| BROADARCH CAP/OLD NEWC | 075 | AA | B | 27,000 | 10.78 | n/a | n/a | 1,080.00 | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | AEO | B | 100,000 | 13.74 | n/a | 2-Sep | non-brg | 0.8 |
| ⚡ BUCK CAPITAL MGMT | | AEO | B | 250,000 | 13.56 | n/a | 2-Sep | non-brg | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | AEO | B | 300,000 | 13.65 | n/a | 2-Sep | non-brg | 2.0 |
| ⚡ BUCK CAPITAL MGMT | | AEO | B | 50,000 | 13.74 | n/a | 2-Sep | non-brg | 4.0 |
| HOOVER INV. MGMT | 033 | AMG | B | 33,100 | 68.77 | n/a | 2-Mar | 1,324.00 | 4.0 |
| BUCK CAPITAL MGMT | 001 | ANF | B | 60,000 | 35.05 | n/a | 2-Sep | 2,400.00 | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | ANF | B | 30,000 | 35.13 | n/a | 2-Sep | non-brg | 4.0 |
| BUCK CAPITAL MGMT | 001 | ANN | B | 50,000 | 16.56 | n/a | n/a | 2,000.00 | 4.0 |
| f KAREN F LEDDY | FID | ARM | B | 1000 | 14.30 | n/a | n/a | 0.00 | 0.0 |
| ADAGE CAPITAL MGMT | 030 | ARO | SS | 150,000 | 22.10 | n/a | 2-Sep | 4,500.00 | 3.0 |
| BUCK CAPITAL MGMT | 001 | ARO | S | 90,000 | 21.93 | n/a | 2-Sep | 3,600.00 | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | ARO | S | 20,000 | 21.79 | n/a | 2-Sep | non-brg | 4.0 |
| PZENA INV ADV | 044 | AVT | B | 200 | 23.84 | n/a | n/a | 7.02 | 3.5 |
| CASTLEROCK | 040 | BBY | SS | 127,219 | 32.88 | n/a | n/a | 5,088.76 | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | BKC | C | 120,000 | 23.38 | n/a | 25-Aug | non-brg | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | BKC | C | 60,000 | 23.30 | n/a | 25-Aug | non-brg | 0.8 |
| f CHRISTOPHER ROBERT C | FID | BWA | S | 150 | 46.30 | n/a | 2-Aug | 0.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------|-----|--------|-----|---------|-------|-----|----------|-------------|-----|
| BUCK CAPITAL MGMT | 001 | CAB | B | 20,000 | 16.58 | n/a | n/a | 800.00 | 4.0 |
| BUCK CAPITAL MGMT | | CAB | C | 30,000 | 16.68 | n/a | n/a | non-brg | 1.5 |
| CHRISTOPHER ROBERT C | FID | CAT | S | 75 | 68.23 | n/a | 23-Jul | 0.00 | 0.0 |
| MACKLOWE ASSET MGMT | 041 | COST | B | 60,000 | 58.28 | n/a | n/a | 2,400.00 | 4.0 |
| MACKLOWE ASSET MGMT | 041 | COST | S | 40,000 | 57.76 | n/a | n/a | 1,600.00 | 4.0 |
| NEUBERGER BERMAN | 036 | COST | B | 207,510 | 58.40 | n/a | n/a | 8,300.40 | 4.0 |
| NEUBERGER BERMAN | 036 | CRK | S | 64,100 | 21.90 | n/a | n/a | 2,564.00 | 4.0 |
| BARROW HANLEY MEWHINNEY | 031 | C | B | 50,000 | 3.89 | n/a | 2-Sep | 1,750.00 | 3.5 |
| STRONG/MARK GRONET | 030 | DAL | S | 10,000 | 10.89 | n/a | n/a | 400.00 | 4.0 |
| BUCK CAPITAL MGMT | | DBRN | B | 30,000 | 22.59 | n/a | n/a | non-brg | 4.0 |
| M&I FUNDS | 047 | DLTR | S | 4,821 | 46.85 | n/a | 19-Aug | 192.84 | 4.0 |
| BUCK CAPITAL MGMT | | DRI | SS | 50,000 | 44.08 | n/a | 8-Jul | non-brg | 4.0 |
| DAWSON SANBERG & CO | 041 | DRI | B | 7,500 | 44.22 | n/a | 8-Jul | 375.00 | 5.0 |
| DAWSON SANBERG & CO | 041 | EAT | B | 33,600 | 18.03 | n/a | n/a | 1,680.00 | 5.0 |
| SCOTT L BRUNNER | FID | FAZ | B | 2000 | 14.85 | n/a | n/a | 0.00 | 0.0 |
| KAREN F LEDDY | FID | FCH | B | 2500 | 4.23 | n/a | n/a | 0.00 | 0.0 |
| JOHN MICHAEL ZOLIDIS | FID | FINL | S | 500 | 14.35 | n/a | n/a | 0.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------------------------|-----|--------|-----|---------|--------|-----|----------|-------------|-----|
| ß BUCK CAPITAL MGMT | | FL | B | 50,000 | 12.46 | n/a | 20-Aug | non-brg | 2.0 |
| ß BUCK CAPITAL MGMT | | FL | B | 50,000 | 12.50 | n/a | 20-Aug | non-brg | 0.8 |
| CATAPULT | 040 | FMC | S | 11,000 | 64.50 | n/a | n/a | 550.00 | 5.0 |
| f JOHN MICHAEL ZOLIDIS | FID | FRED | S | 1000 | 11.74 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | GIII | S | 10,400 | 30.64 | n/a | n/a | non-brg | 0.8 |
| ß BUCK CAPITAL MGMT | | GIII | S | 19,600 | 29.99 | n/a | n/a | non-brg | 1.5 |
| 1798 CAP/LOMBARD ASSET | 040 | GLD | S | 16,700 | 122.29 | n/a | n/a | 835.00 | 5.0 |
| ROTHSCHILD ASSET | 040 | GPI | S | 18,470 | 27.30 | n/a | 4-Aug | 738.80 | 4.0 |
| NEUBERGER BERMAN | 036 | GTLS | S | 16,300 | 16.57 | n/a | n/a | 652.00 | 4.0 |
| CAVU CAP ADV | 028 | GT | S | 25,000 | 10.10 | n/a | n/a | 1,250.00 | 5.0 |
| f JOSEPH CIRO AMATURO | FID | HCBK | B | 1000 | 11.75 | n/a | 31-Aug | 0.00 | 0.0 |
| IRIDIAN ASSET MGMT. | 036 | HPQ | S | 6,340 | 39.54 | n/a | n/a | 317.00 | 5.0 |
| JET CAPITAL/CHRIS | 041 | HTZ | S | 25,000 | 9.34 | n/a | n/a | 750.00 | 3.0 |
| BUCK CAPITAL MGMT | 001 | JCG | B | 120,000 | 32.94 | n/a | n/a | 4,800.00 | 4.0 |
| SANDLER CAPITAL | 226 | JOSB | B | 35,000 | 42.68 | n/a | n/a | 1,750.00 | 5.0 |
| f CHRISTOPHER ROBERT C | FID | LEA | S | 75 | 77.76 | n/a | 4-Aug | 0.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------------|------------|-------------|-----------|---------------|--------------|------------|---------------|----------------|------------|
| TROUBH PART | 067 | LPX | B | 10,000 | 7.24 | n/a | 26-Aug | 500.00 | 5.0 |
| f JOSEPH CIRO AMATURO | FID | LVS | S | 2000 | 30.06 | n/a | 1-Sep | 0.00 | 0.0 |
| BROADARCH CAP/OLD NEWC | 070 | MGM | S | 20,000 | 9.25 | n/a | 12-Aug | 800.00 | 4.0 |
| THE JAY GOLDMAN | 028 | MPXL | S | 50,000 | 4.21 | n/a | 1-Sep | 2,000.00 | 4.0 |
| IRIDIAN ASSET MGMT. | 036 | ORCL | S | 7,320 | 22.51 | n/a | n/a | 366.00 | 5.0 |
| BARROW HANLEY MEWHINNEY | 031 | OXY | B | 10,000 | 77.42 | n/a | n/a | 350.00 | 3.5 |
| B BUCK CAPITAL MGMT | | PFCB | SS | 30,000 | 46.02 | n/a | 28-Jul | non-brg | 2.5 |
| B BUCK CAPITAL MGMT | | PIR | S | 50,000 | 7.52 | n/a | n/a | non-brg | 3.0 |
| f JOHN MICHAEL ZOLIDIS | FID | PIR | S | 1000 | 7.50 | n/a | n/a | 0.00 | 0.0 |
| METROPOLITAN CAPITAL | 044 | PLCE | S | 18,000 | 45.77 | n/a | 19-Aug | 900.00 | 5.0 |
| ROARING BLUE LION MGMT | 012 | PLCE | S | 2,800 | 46.26 | n/a | 19-Aug | 112.00 | 4.0 |
| ROXBURY CAPITAL MGMT | 035 | RFMD | B | 463,670 | 5.20 | n/a | n/a | 18,546.80 | 4.0 |
| BANK OF AMERICA/MERRILL | 259 | ROST | B | 22,700 | 52.27 | n/a | n/a | 1,135.00 | 5.0 |
| B BUCK CAPITAL MGMT | | RVI | S | 7,749 | 8.95 | n/a | n/a | non-brg | 3.0 |
| SOUTH POINT CAP | 067 | SAI | B | 150,000 | 15.18 | n/a | n/a | 7,500.00 | 5.0 |
| CATAPULT | 040 | SIVB | B | 1,750 | 39.42 | n/a | n/a | 87.50 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|------------|----------|-------------|--------------|------------|---------------|-------------|------------|
| SYSTEMATIC FINANCIAL MGT | 035 | SKX | B | 50,000 | 27.15 | n/a | n/a | 1,500.00 | 3.0 |
| 1798 CAP/LOMBARD ASSET | 040 | SPY | C | 6,850 | 109.45 | n/a | n/a | 342.50 | 5.0 |
| SOUTH POINT CAP | 067 | SPY | B | 50,000 | 108.97 | n/a | n/a | 2,500.00 | 5.0 |
| f JOSEPH CIRO AMATURO | FID | SRI | S | 80 | 9.90 | n/a | n/a | 0.00 | 0.0 |
| TALKOT CAPITAL LLC | 084 | SSCC | B | 20,000 | 17.67 | n/a | 26-Aug | 1,000.00 | 5.0 |
| WEINTRAUB CAPITAL MGT. | 040 | SSCC | B | 50,000 | 17.88 | n/a | 26-Aug | 2,000.00 | 4.0 |
| WEINTRAUB CAPITAL MGT. | 040 | TIN | S | 50,000 | 18.75 | n/a | 26-Aug | 2,000.00 | 4.0 |
| f JOHN MICHAEL ZOLIDIS | FID | TNA | S | 200 | 38.30 | n/a | n/a | 0.00 | 0.0 |
| CATAPULT | 040 | TROW | SS | 6,438 | 46.40 | n/a | n/a | 321.90 | 5.0 |
| BARROW HANLEY MEWHINNEY | 031 | T | B | 30,000 | 27.29 | n/a | n/a | 1,050.00 | 3.5 |
| STRONG/MARK GRONET | 030 | UAUA | S | 10,000 | 22.36 | n/a | n/a | 400.00 | 4.0 |
| f MARGARET M DAVEY | FID | UNG | B | 2000 | 6.35 | n/a | n/a | 0.00 | 0.0 |
| CATAPULT | 040 | USB | S | 11,650 | 21.94 | n/a | n/a | 582.50 | 5.0 |
| f CHRISTOPHER ROBERT C | FID | VFC | B | 75 | 74.10 | n/a | 23-Jul | 0.00 | 0.0 |
| ROTHSCHILD ASSET | 040 | VQ | S | 12,660 | 18.64 | n/a | n/a | 506.40 | 4.0 |
| 1798 CAP/LOMBARD ASSET | 040 | VXX | B | 15,000 | 20.06 | n/a | n/a | 750.00 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|------------------------------|------------|------------|-----------|----------------|--------------|------------|------------|------------------|------------|
| f JOSEPH CIRO AMATURO | FID | WIN | B | 2000 | 11.81 | n/a | n/a | 0.00 | 0.0 |
| BROADARCH CAP/OLD NEWC | 070 | WYNN | S | 1,200 | 82.56 | n/a | 1-Sep | 48.00 | 4.0 |
| BANK OF AMERICA/MERRILL | 259 | WYN | B | 20,000 | 25.04 | n/a | n/a | 800.00 | 4.0 |
| BARROW HANLEY MEWHINNEY | 031 | XL | B | 30,000 | 18.68 | n/a | n/a | 1,050.00 | 3.5 |
| B BUCK CAPITAL MGMT | | XRT | C | 240,000 | 37.87 | n/a | n/a | non-brg | 0.8 |
| B BUCK CAPITAL MGMT | | XRT | C | 6,600 | 38.14 | n/a | n/a | non-brg | 2.0 |
| B BUCK CAPITAL MGMT | | XRT | SS | 50,000 | 38.04 | n/a | n/a | non-brg | 0.8 |
| RBC CAPITAL MARKETS | 040 | X | B | 15,000 | 44.63 | n/a | n/a | 600.00 | 4.0 |
| TOTAL (Trade Date) : | | | | | | | | 99,453.42 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------|-------|-----------------------|------|--------|-----|--------|-------|-----|----------|-------------|
| AO,CRT | 09/01 | MAIRS AND POWER INV | 030 | TTC | S | 9,752 | 51.51 | n/a | n/a | 487.60 5.0 |
| AO,CXL | 09/01 | MORRISON/TLB/BAYPOINT | 040 | TTC | S | 9,752 | 51.51 | n/a | n/a | 487.60 5.0 |

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| TOTAL (AO, CXL, CRT) : | 0.00 |
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|------------------------|-----------|
| TOTAL (Trade Date) : | 99,453.42 |
| TOTAL (AO, CXL, CRT) : | 0.00 |

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| TOTAL (RUN DATE) / NFS: | 99,453.42 |
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| MRI Securities with Trade Activity on 2-Sep. NONE |
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| MRI Securities without Trade Activity on 2-Sep. NONE |
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| BRG comm. as a % of BCM Total Comm. paid. T-Date = 27% YTD = 11% |
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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)