



# Daily Compliance Activity Report

Trade Date: 08/31/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NORTHWESTERN MUTUAL LIFE	047	AAUKY	B	19,600	17.84	n/a	n/a	784.00	4.0
NORTHWESTERN MUTUAL LIFE	047	ABX	B	15,700	47.14	n/a	n/a	628.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>AEO</b>	<b>B</b>	<b>50,000</b>	<b>12.90</b>	<b>n/a</b>	<b>27-Aug</b>	<b>non-brg</b>	<b>4.0</b>
EXIS CAPITAL	044	AEO	S	65,000	12.94	n/a	27-Aug	3,250.00	5.0
SIGMA CAPITAL ASSOCIATES	041	ANF	S	10,000	35.09	n/a	27-Aug	350.00	3.5
<b>B BUCK CAPITAL MGMT</b>		<b>ANN</b>	<b>B</b>	<b>20,000</b>	<b>15.61</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
NORTHWESTERN MUTUAL LIFE	047	APC	B	4,900	45.92	n/a	4-Aug	196.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>ARO</b>	<b>B</b>	<b>30,000</b>	<b>21.80</b>	<b>n/a</b>	<b>27-Aug</b>	<b>non-brg</b>	<b>4.0</b>
1798 CAP/LOMBARD ASSET	040	AWI	B	17,200	39.91	n/a	n/a	860.00	5.0
NORTHWESTERN MUTUAL LIFE	047	BEXP	B	6,200	15.56	n/a	n/a	248.00	4.0
PATTEN & PATTEN	067	BP	B	600	34.88	n/a	n/a	30.00	5.0
NORTHWESTERN MUTUAL LIFE	047	BTU	B	4,200	42.82	n/a	n/a	168.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>BYD</b>	<b>B</b>	<b>50,000</b>	<b>6.98</b>	<b>n/a</b>	<b>n/a</b>	<b>1,500.00</b>	<b>3.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>CAB</b>	<b>B</b>	<b>20,000</b>	<b>15.70</b>	<b>n/a</b>	<b>n/a</b>	<b>800.00</b>	<b>4.0</b>
CAERUS GLOBAL	041	CAKE	SS	10,300	22.49	n/a	23-Jul	412.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NORTHWESTERN MUTUAL LIFE	047	CAM	B	5,700	36.97	n/a	n/a	228.00	4.0
WADDELL AND REED	047	CBS	B	250,000	13.75	n/a	n/a	7,500.00	3.0
PATTEN & PATTEN	067	CB	B	600	54.87	n/a	n/a	30.00	5.0
1798 CAP/LOMBARD ASSET	040	CLF	SS	1,070	59.27	n/a	n/a	53.50	5.0
NORTHWESTERN MUTUAL LIFE	047	CLF	B	3,600	60.64	n/a	n/a	144.00	4.0
NORTHWESTERN MUTUAL LIFE	047	COP	B	3,200	52.40	n/a	n/a	128.00	4.0
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>CPN</b>	<b>S</b>	<b>2000</b>	<b>12.52</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>CRK</b>	<b>S</b>	<b>300</b>	<b>21.84</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NORTHWESTERN MUTUAL LIFE	047	CVX	B	6,300	74.04	n/a	n/a	252.00	4.0
FEDERATED INV/KAUFMAN	029	CXO	S	21,720	58.70	n/a	n/a	1,194.60	5.5
NORTHWESTERN MUTUAL LIFE	047	CXO	B	3,900	58.68	n/a	n/a	156.00	4.0
OZ MGMT	040	DAN	B	47,531	10.34	n/a	2-Aug	1,425.93	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>DECK</b>	<b>S</b>	<b>20,000</b>	<b>43.49</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
LEVIN CAPITAL STRATEGIES	012	DG	C	40,096	27.17	n/a	30-Aug	1,202.88	3.0
NORTHWESTERN MUTUAL LIFE	047	DNR	B	5,800	14.81	n/a	n/a	232.00	4.0
NORTHWESTERN MUTUAL LIFE	047	ESV	B	1,200	41.34	n/a	n/a	48.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
1798 CAP/LOMBARD ASSET	040	ES	SS	37,500	4.60	n/a	n/a	1,125.00	3.0
NORTHWESTERN MUTUAL LIFE	047	FCX	B	8,000	72.10	n/a	n/a	320.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>FDO</b>	<b>C</b>	<b>20,000</b>	<b>43.14</b>	<b>n/a</b>	<b>27-Aug</b>	<b>non-brg</b>	<b>4.0</b>
EXIS CAPITAL	044	FINL	S	35,000	13.24	n/a	n/a	1,750.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>FL</b>	<b>B</b>	<b>40,000</b>	<b>11.85</b>	<b>n/a</b>	<b>20-Aug</b>	<b>1,600.00</b>	<b>4.0</b>
<b>f MITCHELL JAMES SPEIS</b>	<b>FID</b>	<b>FSNXX</b>	<b>S</b>	<b>5000</b>	<b>1.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NORTHWESTERN MUTUAL LIFE	047	FTI	B	2,900	61.66	n/a	n/a	116.00	4.0
COLONIAL FUND LLC	036	F	B	50,000	11.32	n/a	31-Aug	1,500.00	3.0
OZ MGMT	040	F	B	124,134	11.38	n/a	31-Aug	3,724.02	3.0
TRELLUS PARTNERS LP	028	F	B	25,000	11.18	n/a	31-Aug	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GES</b>	<b>B</b>	<b>20,000</b>	<b>32.73</b>	<b>n/a</b>	<b>26-Aug</b>	<b>800.00</b>	<b>4.0</b>
NORTHWESTERN MUTUAL LIFE	047	GG	B	8,600	44.70	n/a	n/a	344.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>GIL</b>	<b>S</b>	<b>20,000</b>	<b>27.49</b>	<b>n/a</b>	<b>13-Aug</b>	<b>800.00</b>	<b>4.0</b>
VISIUM/BALY BOBBY	044	GPI	SS	3,000	25.70	n/a	4-Aug	150.00	5.0
1798 CAP/LOMBARD ASSET	040	GVA	SS	5,450	21.73	n/a	n/a	272.50	5.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>GYMB</b>	<b>S</b>	<b>100</b>	<b>4.59</b>	<b>n/a</b>	<b>27-Aug</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NORTHWESTERN MUTUAL LIFE	047	HAL	B	11,600	28.27	n/a	n/a	464.00	4.0
NORTHWESTERN MUTUAL LIFE	047	HES	B	3,400	50.30	n/a	n/a	136.00	4.0
NORTHWESTERN MUTUAL LIFE	047	HP	B	700	37.22	n/a	n/a	28.00	4.0
FEDERATED INV/KAUFMAN	029	IL	S	10,022	13.05	n/a	n/a	551.21	5.5
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>INTC</b>	<b>S</b>	<b>1000</b>	<b>17.88</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	067	INTC	B	1,000	17.65	n/a	n/a	50.00	5.0
PATTEN & PATTEN	067	ITT	S	500	42.35	n/a	30-Apr	25.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>JCG</b>	<b>B</b>	<b>10,000</b>	<b>30.52</b>	<b>n/a</b>	<b>n/a</b>	<b>400.00</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JNS</b>	<b>S</b>	<b>10,000</b>	<b>9.12</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
EXIS CAPITAL	044	JNY	S	55,000	15.25	n/a	29-Jul	2,750.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>KMX</b>	<b>B</b>	<b>60,000</b>	<b>20.15</b>	<b>n/a</b>	<b>n/a</b>	<b>2,400.00</b>	<b>4.0</b>
EXIS CAPITAL	044	KSS	S	10,000	47.00	n/a	27-Aug	500.00	5.0
PATTEN & PATTEN	067	LAZ	S	1,000	31.29	n/a	20-Aug	50.00	5.0
1798 CAP/LOMBARD ASSET	040	MAR	SS	3,700	31.60	31-Aug[i]	31-Aug	185.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>MGM</b>	<b>C</b>	<b>50,000</b>	<b>9.05</b>	<b>n/a</b>	<b>12-Aug</b>	<b>non-brg</b>	<b>3.0</b>
1798 CAP/LOMBARD ASSET	040	MHK	B	7,500	45.36	n/a	n/a	375.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>MSMSRAW2</b>	<b>SS</b>	<b>90,000</b>	<b>99.65</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>10.0</b>
NORTHWESTERN MUTUAL LIFE	047	MT	B	12,100	29.01	n/a	n/a	484.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>MW</b>	<b>B</b>	<b>34,184</b>	<b>19.63</b>	<b>n/a</b>	<b>n/a</b>	<b>1,367.36</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MW</b>	<b>C</b>	<b>50,000</b>	<b>19.78</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
EXIS CAPITAL	044	M	S	45,000	19.65	n/a	27-Aug	2,250.00	5.0
NORTHWESTERN MUTUAL LIFE	047	NEM	B	10,000	61.40	n/a	n/a	400.00	4.0
NORTHWESTERN MUTUAL LIFE	047	NE	B	2,600	31.12	n/a	n/a	104.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>NFLX</b>	<b>SS</b>	<b>10,000</b>	<b>125.45</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>NWY</b>	<b>B</b>	<b>30,000</b>	<b>1.90</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
NORTHWESTERN MUTUAL LIFE	047	OXY	B	6,000	73.47	n/a	n/a	240.00	4.0
NORTHWESTERN MUTUAL LIFE	047	PBR	B	2,200	33.22	n/a	n/a	88.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>PLCE</b>	<b>B</b>	<b>10,000</b>	<b>43.69</b>	<b>n/a</b>	<b>19-Aug</b>	<b>non-brg</b>	<b>2.5</b>
EXIS CAPITAL	044	PSS	S	25,000	13.27	n/a	n/a	1,250.00	5.0
PATTEN & PATTEN	067	PWR	S	1,000	17.92	n/a	n/a	50.00	5.0
NORTHWESTERN MUTUAL LIFE	047	RGLD	B	3,200	49.59	n/a	n/a	128.00	4.0
NORTHWESTERN MUTUAL LIFE	047	RIG	B	600	51.63	n/a	n/a	24.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	RL	B	20,000	75.95	n/a	5-Aug	800.00	4.0
EXIS CAPITAL	044	RL	S	5,000	76.51	n/a	5-Aug	250.00	5.0
B BUCK CAPITAL MGMT		ROST	SS	50,000	50.04	n/a	n/a	non-brg	4.0
EXIS CAPITAL	044	RSH	S	5,000	18.62	n/a	n/a	250.00	5.0
NORTHWESTERN MUTUAL LIFE	047	RTP	B	21,900	50.40	n/a	n/a	876.00	4.0
B BUCK CAPITAL MGMT		RVI	S	50,000	8.65	n/a	n/a	non-brg	3.0
1798 CAP/LOMBARD ASSET	040	SHAW	B	3,600	32.85	n/a	n/a	180.00	5.0
GABELLI FUNDS	025	SKS	S	3,400	8.05	n/a	n/a	170.00	5.0
NORTHWESTERN MUTUAL LIFE	047	SLB	B	6,900	53.50	n/a	n/a	276.00	4.0
NORTHWESTERN MUTUAL LIFE	047	SLW	B	5,300	23.07	n/a	n/a	212.00	4.0
f KAREN F LEDDY	FID	SPWRA	S	800	10.71	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	SRI	S	500	8.56	n/a	n/a	0.00	0.0
CASTLEROCK	040	SSCC	S	3,929	16.62	n/a	26-Aug	157.16	4.0
CSFB GLOBAL PROPRIETARY	041	SSCC	B	600	16.75	n/a	26-Aug	30.00	5.0
SONTERRA CAP	041	SSCC	B	60,000	17.33	n/a	26-Aug	2,400.00	4.0
NORTHWESTERN MUTUAL LIFE	047	TCK	B	22,000	33.43	n/a	n/a	880.00	4.0
PZENA INV ADV	044	TEL	B	7,925	24.70	n/a	n/a	277.38	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	067	TEVA	S	500	50.69	n/a	30-Aug	25.00	5.0
BASIX	033	TIN	B	11,000	16.13	n/a	26-Aug	330.00	3.0
SONTERRA CAP	041	TIN	B	50,000	16.24	n/a	26-Aug	2,000.00	4.0
HOOVER INV. MGMT	033	TLB	B	70,000	10.36	n/a	n/a	2,800.00	4.0
IRIDIAN ASSET MGMT.	036	TRV	B	7,930	49.01	n/a	n/a	396.50	5.0
COBALT	041	TYC	B	300,000	37.54	n/a	18-Aug	15,000.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>UAUA</b>	<b>S</b>	<b>25,000</b>	<b>21.12</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>B</b>	<b>10,000</b>	<b>30.80</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
NORTHWESTERN MUTUAL LIFE	047	VALE	B	9,000	26.71	n/a	n/a	360.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>VFC</b>	<b>C</b>	<b>30,000</b>	<b>71.53</b>	<b>n/a</b>	<b>23-Jul</b>	<b>non-brg</b>	<b>2.5</b>
CAERUS GLOBAL	041	VFC	B	20,000	71.05	n/a	23-Jul	800.00	4.0
EXIS CAPITAL	044	VFC	B	7,500	70.78	n/a	23-Jul	375.00	5.0
1798 CAP/LOMBARD ASSET	040	VMI	SS	2,840	67.29	n/a	n/a	142.00	5.0
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>VSTNQ</b>	<b>S</b>	<b>7984</b>	<b>0.49</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
1798 CAP/LOMBARD ASSET	040	WAB	SS	6,860	42.31	n/a	n/a	343.00	5.0
NORTHWESTERN MUTUAL LIFE	047	WFT	B	3,900	14.94	n/a	n/a	156.00	4.0
NORTHWESTERN MUTUAL LIFE	047	WLL	B	2,400	85.22	n/a	n/a	96.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NORTHWESTERN MUTUAL LIFE	047	XOM	B	8,700	59.09	n/a	n/a	348.00	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>XRT</b>	<b>SS</b>	<b>21,800</b>	<b>36.20</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>f</b> KAREN F LEDDY	<b>FID</b>	<b>ZLC</b>	<b>S</b>	<b>4000</b>	<b>1.53</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TOTAL (Trade Date):							79,802.04		



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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/30	APEX CAPITAL MGMT.	261	JWN	B	50,000	28.87	n/a	27-Aug	2000.00 4.0
AO,CRT	08/27	FARALLON CAP MGMT	040	RIMM	SS	150,000	46.02	n/a	n/a	4500.00 3.0
AO,CXL	08/27	FARALLON CAP MGMT	040	RIMM	SS	150,000	46.02	n/a	n/a	6000.00 4.0
AO,CXL	08/30	FARALLON CAP MGMT	040	TGT	B	25,000	50.94	n/a	27-Aug	1000.00 4.0
AO,CRT	08/30	FARALLON CAP MGMT	040	TGT	B	25,000	50.94	n/a	27-Aug	1000.00 4.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>500.00</b>
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TOTAL (Trade Date) :	79,802.04
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TOTAL (AO, CXL, CRT) :	500.00
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<b>TOTAL (RUN DATE) / NFS:</b>	<b>80,302.04</b>
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MRI Securities with Trade Activity on 31-Aug.
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<b>MAR</b>
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MRI Securities without Trade Activity on 31-Aug.
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<b>MON, HOT</b>
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BRG comm. as a % of BCM Total Comm. paid.
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T-Date = 31%
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)**