



Daily Compliance Activity Report

Trade Date: 03/19/2010

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		ABG	B	20,000	14.09	n/a	26-Feb	non-brg	4.0
PATTEN & PATTEN	067	ACL	S	245	162.66	n/a	17-Mar	12.25	5.0
OMEGA ADVISORS	041	ADCT	B	814,000	7.33	n/a	n/a	24,420.00	3.0
MERRILL ASSET/BLACKROCK	214	ADI	S	298,700	29.81	n/a	n/a	11,948.00	4.0
f CICYLY S BACKUS	FID	ALN	S	3000	3.84	n/a	n/a	0.00	0.0
TRUSTCO/SUNTRUST	040	AOS	B	9,700	49.61	n/a	8-Feb	378.30	3.9
B BUCK CAPITAL MGMT		ATVI	B	20,000	11.98	n/a	n/a	non-brg	4.0
ROSEDALE CAPITAL	046	AXL	S	17,300	10.69	n/a	8-Feb	865.00	5.0
PORTER-ORLIN-FELDMAN	044	BAC	SS	150,000	16.85	n/a	15-Mar	7,500.00	5.0
LATEFF MGMT	035	BA	S	500	71.48	n/a	5-Mar	200.00	40.0
f ANDREW SINCLAIR	FID	BKZ	S	20	1.33	n/a	n/a	0.00	0.0
EXIS CAPITAL	044	BONT	B	20,200	12.20	n/a	n/a	1,010.00	5.0
f CHRISTOPHER ROBERT C	FID	BZ	S	1000	5.84	n/a	n/a	0.00	0.0
COUGAR TRADING	044	CAT	B	15,000	59.19	n/a	28-Jan	750.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	CAT	SS	15,000	59.27	n/a	28-Jan	750.00	5.0
GALT INVESTMENT	041	CHS	S	50,000	14.18	n/a	5-Feb	2,000.00	4.0
B BUCK CAPITAL MGMT		CRI	S	10,000	30.34	n/a	n/a	non-brg	4.0
f BARBARA S LEDDY	FID	CVGI	B	700	6.52	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	CVGI	B	2300	6.64	n/a	n/a	0.00	0.0
f THOMAS JOHN LEDDY	FID	CVGI	B	125	6.61	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT B	FID	CVS	S	1000	34.41	n/a	n/a	0.00	0.0
f CICYLY S BACKUS	FID	CVS	S	2000	34.39	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	CVX	S	300	74.51	n/a	n/a	15.00	5.0
PATTEN & PATTEN	067	CWB	B	1,000	39.29	n/a	n/a	50.00	5.0
f DAVID GEORGE BUCK	FID	C	B	10000	4.01	n/a	16-Mar	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	C	B	2000	4.01	n/a	16-Mar	0.00	0.0
f NICOLAS EVAN PAKLER	FID	C	S	2075	3.95	n/a	16-Mar	0.00	0.0
f CHRISTOPHER ROBERT B	FID	DAN	B	2000	12.09	n/a	25-Feb	0.00	0.0
f CICYLY S BACKUS	FID	DAN	B	3000	12.09	n/a	25-Feb	0.00	0.0
IRIDIAN ASSET MGMT.	036	DF	S	91,000	15.63	n/a	n/a	4,550.00	5.0
BAIRD INVESTMENT	047	ECL	S	11,750	43.27	n/a	18-Feb	587.50	5.0
f MARC PAUL LUCHANSKY	FID	EOG	S	500	91.45	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	EPP	B	1,150	42.78	n/a	n/a	57.50	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		ERTS	B	20,000	18.58	n/a	n/a	non-brg	4.0
IRIDIAN ASSET MGMT.	036	ERTS	SS	130,010	18.33	n/a	n/a	6,500.50	5.0
f KAREN F LEDDY	FID	FCH	S	500	4.90	n/a	n/a	0.00	0.0
MISSION POINT	048	FLS	B	500	105.05	n/a	n/a	25.00	5.0
EXIS CAPITAL	044	FL	SS	10,000	14.65	n/a	10-Mar	500.00	5.0
f NICOLAS EVAN PAKLER	FID	FOR	S	445	18.87	n/a	5-Feb	0.00	0.0
PATTEN & PATTEN	067	FSYS	B	200	31.14	n/a	n/a	10.00	5.0
BROADARCH CAP/OLD NEWC	070	F	SS	10,100	13.69	n/a	3-Mar	404.00	4.0
f NICOLAS EVAN PAKLER	FID	F	S	450	13.25	n/a	3-Mar	0.00	0.0
B BUCK CAPITAL MGMT		GCO	S	50,000	29.00	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GES	S	10,000	46.88	n/a	18-Mar	non-brg	4.0
M&I FUNDS	047	GES	B	24,757	46.94	n/a	18-Mar	990.28	4.0
PATTEN & PATTEN	067	GLW	B	250	19.64	n/a	19-Mar	12.50	5.0
B BUCK CAPITAL MGMT		GYMB	S	20,000	52.26	n/a	17-Mar	non-brg	4.0
f EDWARD W WHEELER	FID	HWCC	B	5000	11.65	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	IP	SS	50,000	25.96	n/a	3-Feb	2,500.00	5.0
GCORE MANAGEMENT	041	IP	B	25,000	26.02	n/a	3-Feb	1,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	IP	B	25,000	26.06	n/a	3-Feb	1,000.00	4.0
SCOPUS FUND	041	IP	S	14,700	26.18	n/a	3-Feb	735.00	5.0
B BUCK CAPITAL MGMT		JNY	B	40,000	18.39	n/a	10-Feb	non-brg	4.0
EXIS CAPITAL	044	JNY	B	35,000	18.50	n/a	10-Feb	1,750.00	5.0
B BUCK CAPITAL MGMT		JOSE	S	10,000	48.89	n/a	n/a	non-brg	4.0
GRUBER MACBAINE	033	LOW	S	25,000	24.83	n/a	22-Feb	1,000.00	4.0
HIGHBRIDGE CAP	041	LOW	B	4,469	24.93	n/a	22-Feb	178.76	4.0
f NICOLAS EVAN PAKLER	FID	LVS	S	185	19.48	n/a	10-Mar	0.00	0.0
CATAPULT	040	LYV	B	50,000	13.38	n/a	n/a	2,000.00	4.0
f KAREN F LEDDY	FID	MGA	S	350	59.13	n/a	n/a	0.00	0.0
f NICOLAS EVAN PAKLER	FID	MS	S	225	29.87	n/a	10-Mar	0.00	0.0
B BUCK CAPITAL MGMT		MVRX	SS	180,000	192.55	n/a	n/a	non-brg	19.3
B BUCK CAPITAL MGMT		NWY	S	20,000	4.61	n/a	n/a	non-brg	3.0
EXIS CAPITAL	044	NWY	S	34,943	4.60	n/a	n/a	1,747.15	5.0
ADALY INV MGMT	031	OZM	B	5,000	14.02	n/a	n/a	200.00	4.0
LAGRANGE CAP ADV	048	PAG	S	10,000	15.80	n/a	22-Feb	500.00	5.0
KLEINHEINZ CAP PART	031	PFE	S	100,000	17.15	n/a	n/a	5,000.00	5.0
PATTEN & PATTEN	067	PFF	B	650	39.21	n/a	n/a	32.50	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	067	PGX	S	500	14.02	n/a	n/a	25.00	5.0
LATEFF MGMT	035	PKG	S	1,250	24.85	n/a	26-Jan	225.00	18.0
B BUCK CAPITAL MGMT		PLCE	B	40,000	43.61	n/a	10-Mar	non-brg	4.0
GREEN ARROW DOUG	040	PLCE	B	25,000	43.81	n/a	10-Mar	750.00	3.0
HARVEST MGMT	039	PLCE	B	10,000	43.20	n/a	10-Mar	500.00	5.0
B BUCK CAPITAL MGMT		PSS	B	50,000	21.80	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	067	QQQQ	B	825	47.54	n/a	n/a	41.25	5.0
B BUCK CAPITAL MGMT		SAH	B	50,000	12.30	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	SIG	B	40,000	28.67	n/a	n/a	1,600.00	4.0
f JOHN PATRICK DAVEY	FID	SIJ	B	1400	19.93	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	SMN	B	2700	7.24	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	SPY	S	1000	115.88	n/a	n/a	0.00	0.0
f FRANCIS MICHAEL MCCA	FID	SRI	B	400	8.69	n/a	n/a	0.00	0.0
f FRANCIS MICHAEL MCCA	FID	SRI	B	400	8.71	n/a	n/a	0.00	0.0
f NICOLAS EVAN PAKLER	FID	SRI	S	350	9.06	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	SRZ	B	1,750	5.68	n/a	n/a	87.50	5.0
B BUCK CAPITAL MGMT		SUMR	S	35,459	6.25	n/a	n/a	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f NICOLAS EVAN PAKLER	FID	SWN	S	160	38.94	n/a	8-Mar	0.00	0.0
LATEFF MGMT	035	TEVA	S	500	62.94	n/a	18-Mar	200.00	40.0
PATTEN & PATTEN	067	TEVA	B	210	62.53	n/a	18-Mar	10.50	5.0
B BUCK CAPITAL MGMT		TGT	S	10,000	53.07	n/a	4-Mar	non-brg	4.0
RAINIER INV MGMT	035	THO	B	7,700	31.20	n/a	n/a	308.00	4.0
BMO NESBITT BURNS	041	TIN	SS	50,000	20.84	n/a	9-Feb	2,500.00	5.0
f NICOLAS EVAN PAKLER	FID	TITN	S	200	12.70	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		TJX	S	10,000	42.98	n/a	5-Mar	non-brg	4.0
COUGAR TRADING	044	TM	S	5,000	78.53	n/a	n/a	250.00	5.0
f EDWARD W WHEELER	FID	UTP	S	200	0.75	n/a	n/a	0.00	0.0
PATTEN & PATTEN	067	UTX	S	425	73.24	n/a	n/a	21.25	5.0
f CHRISTOPHER ROBERT C	FID	VECO	S	50	37.87	n/a	n/a	0.00	0.0
f ANDREW SINCLAIR	FID	VRN	B	100	0.31	n/a	n/a	0.00	0.0
f JOHN BARTMAN COLE	FID	VRS	B	1000	3.11	n/a	n/a	0.00	0.0
PLATTE RIVER CAPITAL	240	WFT	S	42,770	16.29	n/a	n/a	1,710.80	4.0
HARVEST MGMT	039	WSM	S	20,000	24.18	n/a	n/a	1,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f CHRISTOPHER ROBERT C	FID	WY	S	75	44.37	n/a	24-Feb	0.00	0.0
ß BUCK CAPITAL MGMT		XRT	SS	705,000	40.45	n/a	n/a	non-brg	2.0
f KAREN F LEDDY	FID	ZLC	S	1500	3.62	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		ZQK	S	200,000	4.17	n/a	12-Mar	non-brg	3.0
ß BUCK CAPITAL MGMT		ZQK	S	200,000	4.24	n/a	12-Mar	non-brg	1.0
TOTAL (Trade Date):							90,658.54		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	03/18	FINDLAY PARK PART	259	BK	B	54,328	30.40	n/a	9-Mar	2716.40 5.0
AO,CXL	03/18	FINDLAY PARK PART	259	BK	B	54,328	30.40	n/a	9-Mar	2716.40 5.0
AO,	03/18	CASTLEROCK	040	CCI	S	142,979	38.48	n/a	n/a	5719.16 4.0

TOTAL (AO, CXL, CRT) :	5,719.16
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TOTAL (Trade Date) :	90,658.54
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TOTAL (AO, CXL, CRT) :	5,719.16
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TOTAL (RUN DATE) / NFS:	96,377.70
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MRI Securities with Trade Activity on 19-Mar. NONE

MRI Securities without Trade Activity on 19-Mar. NONE
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BRG comm. as a % of BCM Total Comm. paid. T-Date = 2% 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)