



# Daily Compliance Activity Report

Trade Date: 08/30/2010

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	AEO	B	145,000	13.23	n/a	27-Aug	5,800.00	4.0
BUCK CAPITAL MGMT		AEO	B	35,000	13.38	n/a	27-Aug	non-brg	0.8
EXIS CAPITAL	044	AEO	B	5,000	13.08	n/a	27-Aug	250.00	5.0
US BANCORP	030	ANN	B	91,952	15.30	n/a	n/a	4,597.60	5.0
BUCK CAPITAL MGMT		BYD	C	50,000	7.09	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT	001	CAB	B	40,000	15.86	n/a	n/a	1,600.00	4.0
MANNY I KORMAN	FID	CCW	B	3701	25.80	n/a	n/a	0.00	0.0
MANNY I KORMAN	FID	CPRE	B	4304	22.77	n/a	n/a	0.00	0.0
MANNY I KORMAN	FID	CPRE	B	5000	22.76	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		CROX	S	105,000	12.39	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		CROX	S	25,000	12.40	n/a	n/a	non-brg	2.0
MANNY I KORMAN	FID	CRP	B	5000	26.89	n/a	n/a	0.00	0.0
TRELLUS PARTNERS LP	028	DAN	B	25,000	10.37	n/a	2-Aug	1,250.00	5.0
DSG CAPITAL	225	DJP	S	4,000	39.79	n/a	n/a	120.00	3.0
BUCK CAPITAL MGMT		EXH	S	22,500	22.17	n/a	26-Aug	non-brg	4.0
SCOTT L BRUNNER	FID	FAZ	S	3000	17.10	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		FDO	C	60,000	43.21	n/a	27-Aug	non-brg	4.0
ROBERT M DANIELS	FID	FDP	S	200	22.03	n/a	n/a	0.00	0.0
1798 CAP/LOMBARD ASSET	040	FOE	B	40,000	10.24	n/a	n/a	2,000.00	5.0
MANNY I KORMAN	FID	FSYS	S	120	3.70	n/a	n/a	0.00	0.0
MANNY I KORMAN	FID	FXI	S	40	2.96	n/a	n/a	0.00	0.0
SENATOR INVESTMENT GROUP	036	HUN	B	20,000	9.14	n/a	n/a	600.00	3.0
BUCK CAPITAL MGMT		IBOC	C	20,000	15.31	n/a	n/a	non-brg	4.0
MANNY I KORMAN	FID	ICON	S	143	2.00	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		JCG	B	60,000	30.82	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		JNS	S	50,000	9.35	n/a	n/a	non-brg	3.0
MANNY I KORMAN	FID	JPMPRW	B	2800	26.27	n/a	n/a	0.00	0.0
CATAPULT	040	JPM	S	10,000	36.45	n/a	20-Aug	500.00	5.0
BUCK CAPITAL MGMT	001	JWN	B	10,000	29.31	n/a	27-Aug	400.00	4.0
EXIS CAPITAL	044	JWN	SS	20,000	29.27	n/a	27-Aug	1,000.00	5.0
BUCK CAPITAL MGMT	001	KMX	B	60,000	20.70	n/a	n/a	2,400.00	4.0
BUCK CAPITAL MGMT	001	KSS	B	10,000	46.99	n/a	27-Aug	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EXIS CAPITAL	044	KSS	B	30,000	46.79	n/a	27-Aug	1,500.00	5.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>LNCR</b>	<b>S</b>	<b>170</b>	<b>2.32</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
1798 CAP/LOMBARD ASSET	040	MCP	B	23,300	16.00	n/a	n/a	1,165.00	5.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>MERPRK</b>	<b>B</b>	<b>5000</b>	<b>23.35</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MGM</b>	<b>C</b>	<b>50,000</b>	<b>9.12</b>	<b>n/a</b>	<b>12-Aug</b>	<b>non-brg</b>	<b>3.0</b>
TRUSTCO/SUNTRUST	040	MSFT	B	22,250	23.73	n/a	n/a	867.75	3.9
<b>B BUCK CAPITAL MGMT</b>		<b>MSMSRAW2</b>	<b>SS</b>	<b>45,000</b>	<b>100.58</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>10.1</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MW</b>	<b>C</b>	<b>70,000</b>	<b>20.05</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
EXIS CAPITAL	044	M	B	5,000	19.34	n/a	27-Aug	250.00	5.0
PROSPECTOR PARTNERS LLC	036	NP	B	10,000	14.65	n/a	26-Aug	400.00	4.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>PCN</b>	<b>B</b>	<b>5000</b>	<b>15.70</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PIR</b>	<b>B</b>	<b>50,000</b>	<b>6.25</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>B BUCK CAPITAL MGMT</b>	<b>001</b>	<b>RL</b>	<b>B</b>	<b>10,000</b>	<b>76.36</b>	<b>n/a</b>	<b>5-Aug</b>	<b>400.00</b>	<b>4.0</b>
EXIS CAPITAL	044	RL	B	5,000	75.50	n/a	5-Aug	250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>RVI</b>	<b>S</b>	<b>15,000</b>	<b>9.02</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>RVI</b>	<b>S</b>	<b>15,000</b>	<b>9.02</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>RVI</b>	<b>S</b>	<b>2,900</b>	<b>8.90</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß	BUCK CAPITAL MGMT		RVI	S	2,900	8.90	n/a	n/a	non-brg	0.8
ß	BUCK CAPITAL MGMT		RVI	S	20,000	9.09	n/a	n/a	non-brg	2.0
ß	BUCK CAPITAL MGMT		RVI	S	25,000	9.00	n/a	n/a	non-brg	3.0
	SYSTEMATIC FINANCIAL MGT	035	SKX	B	86,725	26.35	n/a	n/a	2,601.75	3.0
f	MANNY I KORMAN	FID	SLM	S	150	1.62	n/a	18-Aug	0.00	0.0
ß	BUCK CAPITAL MGMT		SNE	SS	50,000	28.55	n/a	n/a	non-brg	4.0
f	MARC PAUL LUCHANSKY	FID	SPRXX	S	490	1.00	n/a	n/a	0.00	0.0
	GEORGE WEISS	034	SSCC	B	75,000	16.71	n/a	26-Aug	2,250.00	3.0
	FARALLON CAP MGMT	040	TGT	B	30,000	50.94	n/a	27-Aug	1,200.00	4.0
	DIAMONDBACK CAP MGMT	232	TROW	SS	5,000	44.13	n/a	n/a	250.00	5.0
	DAWSON SANBERG & CO	041	TSCO	B	7,600	68.51	n/a	n/a	380.00	5.0
	TRUSTCO/SUNTRUST	040	TXN	B	46,100	23.38	n/a	n/a	1,797.90	3.9
	LEVIN CAPITAL STRATEGIES	012	T	SS	15,000	26.83	n/a	n/a	450.00	3.0
	SIGMA CAPITAL ASSOCIATES	041	URBN	SS	25,000	30.87	n/a	n/a	875.00	3.5
ß	BUCK CAPITAL MGMT		VTG	S	1,260	1.36	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		VTG	S	1,717	1.36	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		VTG	S	15,106	1.36	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		VTG	S	470	1.36	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⌘ BUCK CAPITAL MGMT		VTG	S	658	1.36	n/a	n/a	non-brg	1.0
LEVIN CAPITAL STRATEGIES	012	VZ	SS	15,000	29.74	n/a	n/a	450.00	3.0
<b>TOTAL (Trade Date) :</b>								<b>36,005.00</b>	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT):									0.00

TOTAL (Trade Date):	36,005.00
TOTAL (AO, CXL, CRT):	0.00

TOTAL (RUN DATE) / NFS:	36,005.00
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MRI Securities with Trade Activity on 30-Aug.  
NONE

MRI Securities without Trade Activity on 30-Aug.  
NONE

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 28%  
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)