



# Daily Compliance Activity Report

Trade Date: 03/09/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

| Account                       | RR#        | Symbol      | B/S      | Shares        | Price         | MRI        | Research     | Comm. ¢/Shr.   |            |
|-------------------------------|------------|-------------|----------|---------------|---------------|------------|--------------|----------------|------------|
| <b>f ALEX JOSEPH DEFILIPP</b> | <b>FID</b> | <b>AAPL</b> | <b>B</b> | <b>25</b>     | <b>352.46</b> | <b>n/a</b> | <b>n/a</b>   | <b>0.00</b>    | <b>0.0</b> |
| <b>f JILL ROSENBERG</b>       | <b>FID</b> | <b>AAPL</b> | <b>B</b> | <b>25</b>     | <b>352.52</b> | <b>n/a</b> | <b>n/a</b>   | <b>0.00</b>    | <b>0.0</b> |
| <b>f VICTORIA JEAN DEFILI</b> | <b>FID</b> | <b>AAPL</b> | <b>B</b> | <b>25</b>     | <b>352.46</b> | <b>n/a</b> | <b>n/a</b>   | <b>0.00</b>    | <b>0.0</b> |
| MOORE CAPITAL                 | 041        | AEO         | SS       | 10,000        | 15.58         | n/a        | 4-Feb        | 400.00         | 4.0        |
| THIRD COAST CAPITAL           | 035        | AEO         | S        | 35,000        | 15.36         | n/a        | 4-Feb        | 1,750.00       | 5.0        |
| APEX CAPITAL MGMT.            | 261        | ALTR        | SS       | 136,300       | 40.60         | n/a        | n/a          | 5,452.00       | 4.0        |
| <b>f DAVID GEORGE BUCK</b>    | <b>FID</b> | <b>AMZN</b> | <b>B</b> | <b>700</b>    | <b>169.53</b> | <b>n/a</b> | <b>n/a</b>   | <b>0.00</b>    | <b>0.0</b> |
| BNP PARIBAS SEC               | 040        | ANF         | B        | 20,000        | 56.65         | n/a        | 17-Feb       | 1,000.00       | 5.0        |
| CIRCLE T/SES PART             | 033        | ANF         | S        | 5,000         | 56.65         | n/a        | 17-Feb       | 200.00         | 4.0        |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>ARO</b>  | <b>B</b> | <b>20,000</b> | <b>24.87</b>  | <b>n/a</b> | <b>4-Feb</b> | <b>non-brg</b> | <b>4.0</b> |
| EMERSON CAPITAL MGMT          | 048        | ASNA        | S        | 10,000        | 31.36         | n/a        | n/a          | 300.00         | 3.0        |
| NEUBERGER BERMAN              | 036        | AVAV        | B        | 19,000        | 32.39         | n/a        | n/a          | 760.00         | 4.0        |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>CACH</b> | <b>B</b> | <b>2,700</b>  | <b>4.27</b>   | <b>n/a</b> | <b>n/a</b>   | <b>non-brg</b> | <b>0.8</b> |
| CATAPULT                      | 040        | CAT         | S        | 5,000         | 102.66        | n/a        | 28-Jan       | 200.00         | 4.0        |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>CBK</b>  | <b>S</b> | <b>10,000</b> | <b>6.11</b>   | <b>n/a</b> | <b>n/a</b>   | <b>non-brg</b> | <b>1.0</b> |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>CBK</b>  | <b>S</b> | <b>90,000</b> | <b>6.10</b>   | <b>n/a</b> | <b>n/a</b>   | <b>non-brg</b> | <b>2.5</b> |
| NEUBERGER BERMAN              | 036        | CLGX        | B        | 51,900        | 18.23         | n/a        | n/a          | 2,076.00       | 4.0        |

| Account              | RR# | Symbol | B/S | Shares  | Price  | MRI | Research | Comm.¢/Shr. |     |
|----------------------|-----|--------|-----|---------|--------|-----|----------|-------------|-----|
| IMPALA ASSET MMT     | 012 | CMI    | S   | 21,200  | 99.90  | n/a | 1-Mar    | 1,060.00    | 5.0 |
| ß BUCK CAPITAL MGMT  |     | CMN    | S   | 100     | 26.49  | n/a | n/a      | non-brg     | 4.0 |
| ß BUCK CAPITAL MGMT  |     | CMN    | S   | 2,000   | 26.07  | n/a | n/a      | non-brg     | 2.5 |
| ß BUCK CAPITAL MGMT  |     | CMN    | S   | 200     | 26.49  | n/a | n/a      | non-brg     | 4.0 |
| ß BUCK CAPITAL MGMT  |     | CMN    | S   | 3,900   | 26.49  | n/a | n/a      | non-brg     | 4.0 |
| ß BUCK CAPITAL MGMT  |     | CMN    | S   | 300     | 26.49  | n/a | n/a      | non-brg     | 4.0 |
| ß BUCK CAPITAL MGMT  |     | CMN    | S   | 500     | 26.49  | n/a | n/a      | non-brg     | 4.0 |
| Õ Nilsa Vazquez      |     | CREE   | B   | 100     | 48.02  | n/a | n/a      | 0.00        | 0.0 |
| NEUBERGER BERMAN     | 036 | CWEI   | S   | 12,016  | 93.86  | n/a | n/a      | 480.64      | 4.0 |
| NEUBERGER BERMAN     | 036 | CXO    | S   | 42,650  | 101.87 | n/a | n/a      | 1,706.00    | 4.0 |
| ARMATURE CAPITAL     | 041 | DE     | SS  | 25,000  | 89.69  | n/a | 18-Feb   | 1,000.00    | 4.0 |
| SCOPUS FUND          | 041 | DKS    | B   | 31,566  | 40.34  | n/a | 8-Mar    | 1,262.64    | 4.0 |
| f DAVID GEORGE BUCK  | FID | DVN    | S   | 800     | 89.58  | n/a | 4-Mar    | 0.00        | 0.0 |
| S.A.C. CAP/ORENSTEIN | 044 | EEM    | B   | 100,000 | 46.82  | n/a | n/a      | 3,500.00    | 3.5 |
| COLUMBIA PARTNERS    | 028 | FNSR   | S   | 800     | 26.51  | n/a | n/a      | 32.00       | 4.0 |
| COLUMBIA PARTNERS    | 028 | FN     | S   | 349     | 22.66  | n/a | n/a      | 13.96       | 4.0 |
| COLUMBIA PARTNERS    | 028 | FOE    | S   | 369     | 15.39  | n/a | n/a      | 14.76       | 4.0 |
| COLUMBIA PARTNERS    | 028 | FSC    | S   | 139     | 13.47  | n/a | n/a      | 5.56        | 4.0 |

| Account                   | RR#        | Symbol      | B/S      | Shares      | Price        | MRI        | Research   | Comm.¢/Shr. |            |
|---------------------------|------------|-------------|----------|-------------|--------------|------------|------------|-------------|------------|
| COLUMBIA PARTNERS         | 028        | GEOI        | S        | 179         | 29.96        | n/a        | n/a        | 7.16        | 4.0        |
| COLUMBIA PARTNERS         | 028        | GEOY        | S        | 96          | 41.12        | n/a        | n/a        | 3.84        | 4.0        |
| MOORE CAPITAL             | 041        | GPS         | C        | 7,500       | 21.39        | n/a        | n/a        | 300.00      | 4.0        |
| PARKWEST                  | 084        | GSL         | B        | 13,800      | 6.97         | n/a        | n/a        | 414.00      | 3.0        |
| COLUMBIA PARTNERS         | 028        | HAIN        | S        | 282         | 29.56        | n/a        | n/a        | 11.28       | 4.0        |
| ACK ASSET                 | 028        | HBI         | B        | 50,000      | 25.75        | n/a        | 28-Jan     | 1,500.00    | 3.0        |
| KLEINHEINZ CAP PART       | 031        | HBI         | B        | 50,000      | 25.92        | n/a        | 28-Jan     | 2,500.00    | 5.0        |
| KLEINHEINZ CAP PART       | 031        | HD          | B        | 35,000      | 37.52        | n/a        | 22-Feb     | 1,750.00    | 5.0        |
| COLUMBIA PARTNERS         | 028        | HOS         | S        | 262         | 29.01        | n/a        | n/a        | 10.48       | 4.0        |
| COLUMBIA PARTNERS         | 028        | HPY         | S        | 341         | 19.46        | n/a        | n/a        | 13.64       | 4.0        |
| COLUMBIA PARTNERS         | 028        | HSIC        | S        | 216         | 69.53        | n/a        | n/a        | 8.64        | 4.0        |
| COLUMBIA PARTNERS         | 028        | HUGH        | S        | 129         | 59.74        | n/a        | n/a        | 5.16        | 4.0        |
| <b>f EDWARD W WHEELER</b> | <b>FID</b> | <b>HWCC</b> | <b>B</b> | <b>5000</b> | <b>12.61</b> | <b>n/a</b> | <b>n/a</b> | <b>0.00</b> | <b>0.0</b> |
| <b>f EDWARD W WHEELER</b> | <b>FID</b> | <b>HWCC</b> | <b>B</b> | <b>5000</b> | <b>12.65</b> | <b>n/a</b> | <b>n/a</b> | <b>0.00</b> | <b>0.0</b> |
| COLUMBIA PARTNERS         | 028        | IPXL        | S        | 481         | 22.86        | n/a        | n/a        | 19.24       | 4.0        |
| IMPALA ASSET MMT          | 012        | JBHT        | B        | 23,000      | 43.40        | n/a        | n/a        | 1,150.00    | 5.0        |

| Account                       | RR# | Symbol | B/S   | Shares  | Price | MRI    | Research | Comm.¢/Shr. |     |
|-------------------------------|-----|--------|-------|---------|-------|--------|----------|-------------|-----|
| S.A.C. CAP/ORENSTEIN          | 044 | KBE    | SS    | 200,000 | 26.50 | n/a    | n/a      | 7,000.00    | 3.5 |
| IMPALA ASSET MMT              | 012 | KNX    | B     | 52,000  | 19.46 | n/a    | n/a      | 2,080.00    | 4.0 |
| IMPALA ASSET MMT              | 012 | KSU    | S     | 10,700  | 53.80 | n/a    | n/a      | 535.00      | 5.0 |
| f DAVID GEORGE BUCK           | FID | LGND   | B     | 3000    | 10.74 | n/a    | n/a      | 0.00        | 0.0 |
| f IAN L MILLER                | FID | LMT    | B     | 15      | 80.52 | n/a    | 15-Feb   | 0.00        | 0.0 |
| COLUMBIA PARTNERS             | 028 | LOGM   | S     | 249     | 35.90 | n/a    | n/a      | 9.96        | 4.0 |
| MA CAPITAL MGMT/MELLON ADV041 | LPX | B      | 6,000 | 10.10   | n/a   | 10-Feb | 180.00   | 3.0         |     |
| SAC TRADING TOM LEDDY         | 035 | LTD    | S     | 40,000  | 31.48 | n/a    | n/a      | 1,400.00    | 3.5 |
| COLUMBIA PARTNERS             | 028 | LTM    | S     | 44      | 36.54 | n/a    | n/a      | 1.76        | 4.0 |
| COLUMBIA PARTNERS             | 028 | MDMD   | S     | 109     | 13.59 | n/a    | n/a      | 4.36        | 4.0 |
| COLUMBIA PARTNERS             | 028 | MIDD   | S     | 112     | 88.07 | n/a    | 3-Mar    | 4.48        | 4.0 |
| COLUMBIA PARTNERS             | 028 | MIPS   | S     | 760     | 11.61 | n/a    | n/a      | 30.40       | 4.0 |
| B BUCK CAPITAL MGMT           |     | MNRO   | B     | 15,000  | 31.98 | n/a    | n/a      | non-brg     | 4.0 |
| COLUMBIA PARTNERS             | 028 | MNRO   | S     | 147     | 31.94 | n/a    | n/a      | 5.88        | 4.0 |
| B BUCK CAPITAL MGMT           |     | MON    | B     | 7,300   | 69.43 | n/a    | 7-Feb    | non-brg     | 4.0 |
| f DAVID GEORGE BUCK           | FID | MO     | B     | 3000    | 25.75 | n/a    | n/a      | 0.00        | 0.0 |

| Account                    | RR#        | Symbol      | B/S      | Shares        | Price        | MRI        | Research   | Comm.¢/Shr.    |            |
|----------------------------|------------|-------------|----------|---------------|--------------|------------|------------|----------------|------------|
| <b>f IAN L MILLER</b>      | <b>FID</b> | <b>MRK</b>  | <b>B</b> | <b>25</b>     | <b>33.30</b> | <b>n/a</b> | <b>n/a</b> | <b>0.00</b>    | <b>0.0</b> |
| COLUMBIA PARTNERS          | 028        | MTZ         | S        | 123           | 19.66        | n/a        | n/a        | 4.92           | 4.0        |
| ARMATURE CAPITAL           | 041        | MWV         | S        | 40,000        | 28.61        | n/a        | 26-Jan     | 1,600.00       | 4.0        |
| <b>f JOHN BARTMAN COLE</b> | <b>FID</b> | <b>NCS</b>  | <b>B</b> | <b>1500</b>   | <b>13.82</b> | <b>n/a</b> | <b>n/a</b> | <b>0.00</b>    | <b>0.0</b> |
| COLUMBIA PARTNERS          | 028        | NGS         | S        | 311           | 17.81        | n/a        | n/a        | 12.44          | 4.0        |
| COLUMBIA PARTNERS          | 028        | NOG         | S        | 356           | 30.79        | n/a        | n/a        | 14.24          | 4.0        |
| COLUMBIA PARTNERS          | 028        | ODFL        | S        | 314           | 32.69        | n/a        | n/a        | 12.56          | 4.0        |
| COLUMBIA PARTNERS          | 028        | OSIS        | S        | 309           | 37.99        | n/a        | n/a        | 12.36          | 4.0        |
| COLUMBIA PARTNERS          | 028        | OXPS        | S        | 340           | 16.26        | n/a        | n/a        | 13.60          | 4.0        |
| <b>f ABRAM M CHAPPELL</b>  | <b>FID</b> | <b>PACR</b> | <b>B</b> | <b>750</b>    | <b>5.36</b>  | <b>n/a</b> | <b>n/a</b> | <b>0.00</b>    | <b>0.0</b> |
| <b>f DAVID GEORGE BUCK</b> | <b>FID</b> | <b>PEP</b>  | <b>S</b> | <b>2000</b>   | <b>64.48</b> | <b>n/a</b> | <b>n/a</b> | <b>0.00</b>    | <b>0.0</b> |
| <b>B BUCK CAPITAL MGMT</b> |            | <b>PERY</b> | <b>B</b> | <b>20,000</b> | <b>27.05</b> | <b>n/a</b> | <b>n/a</b> | <b>non-brg</b> | <b>1.0</b> |
| EMERSON CAPITAL MGMT       | 048        | PERY        | B        | 2,240         | 27.10        | n/a        | n/a        | 67.20          | 3.0        |
| <b>f DAVID GEORGE BUCK</b> | <b>FID</b> | <b>PFE</b>  | <b>S</b> | <b>4000</b>   | <b>19.59</b> | <b>n/a</b> | <b>n/a</b> | <b>0.00</b>    | <b>0.0</b> |
| COLUMBIA PARTNERS          | 028        | PII         | S        | 84            | 81.16        | n/a        | n/a        | 3.36           | 4.0        |
| METROPOLITAN CAPITAL       | 044        | PLCE        | S        | 15,800        | 46.34        | n/a        | 9-Mar      | 790.00         | 5.0        |

| Account                       | RR#        | Symbol      | B/S      | Shares        | Price        | MRI        | Research      | Comm.¢/Shr.    |            |
|-------------------------------|------------|-------------|----------|---------------|--------------|------------|---------------|----------------|------------|
| SAC TRADING TOM LEDDY         | 035        | PLCE        | S        | 20,000        | 47.96        | n/a        | 9-Mar         | 700.00         | 3.5        |
| <b>f DAVID GEORGE BUCK</b>    | <b>FID</b> | <b>PNC</b>  | <b>B</b> | <b>2000</b>   | <b>62.86</b> | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>    | <b>0.0</b> |
| COLUMBIA PARTNERS             | 028        | PRX         | S        | 321           | 31.10        | n/a        | 7-Mar         | 12.84          | 4.0        |
| SAC TRADIN/BINDER             | 044        | PSS         | S        | 50,000        | 20.54        | n/a        | n/a           | 1,750.00       | 3.5        |
| <b>f FRANCIS MICHAEL MCCA</b> | <b>FID</b> | <b>RKT</b>  | <b>S</b> | <b>200</b>    | <b>68.52</b> | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>    | <b>0.0</b> |
| <b>f DAVID GEORGE BUCK</b>    | <b>FID</b> | <b>SBUX</b> | <b>S</b> | <b>2000</b>   | <b>34.47</b> | <b>n/a</b> | <b>27-Jan</b> | <b>0.00</b>    | <b>0.0</b> |
| <b>B BUCK CAPITAL MGMT</b>    |            | <b>SODA</b> | <b>B</b> | <b>10,000</b> | <b>41.96</b> | <b>n/a</b> | <b>n/a</b>    | <b>non-brg</b> | <b>2.5</b> |
| <b>f IAN L MILLER</b>         | <b>FID</b> | <b>SVU</b>  | <b>B</b> | <b>100</b>    | <b>7.83</b>  | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>    | <b>0.0</b> |
| NEUBERGER BERMAN              | 036        | TFM         | S        | 15,100        | 39.16        | n/a        | n/a           | 604.00         | 4.0        |
| <b>f DAVID GEORGE BUCK</b>    | <b>FID</b> | <b>TGT</b>  | <b>B</b> | <b>1500</b>   | <b>51.69</b> | <b>n/a</b> | <b>24-Feb</b> | <b>0.00</b>    | <b>0.0</b> |
| SENATOR INVESTMENT GROUP      | 036        | TIN         | B        | 5,000         | 22.93        | n/a        | 8-Feb         | 150.00         | 3.0        |
| <b>f MARK DEVEREAUX KAICH</b> | <b>FID</b> | <b>TRAK</b> | <b>B</b> | <b>500</b>    | <b>21.03</b> | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>    | <b>0.0</b> |
| <b>Õ Nilsa Vazquez</b>        |            | <b>TSM</b>  | <b>B</b> | <b>500</b>    | <b>12.38</b> | <b>n/a</b> | <b>n/a</b>    | <b>0.00</b>    | <b>0.0</b> |
| <b>f JOHN MICHAEL ZOLIDIS</b> | <b>FID</b> | <b>UA</b>   | <b>B</b> | <b>200</b>    | <b>68.99</b> | <b>n/a</b> | <b>28-Jan</b> | <b>0.00</b>    | <b>0.0</b> |
| COUGAR TRADING                | 044        | UFI         | B        | 5,000         | 17.43        | n/a        | n/a           | 250.00         | 5.0        |
| IMPALA ASSET MMT              | 012        | URI         | S        | 100,300       | 31.09        | n/a        | n/a           | 4,012.00       | 4.0        |

| Account                     | RR# | Symbol | B/S | Shares  | Price | MRI | Research | Comm.¢/Shr.      |     |
|-----------------------------|-----|--------|-----|---------|-------|-----|----------|------------------|-----|
| <b>f</b> ABRAM M CHAPPELL   | FID | USAK   | S   | 320     | 12.92 | n/a | n/a      | 0.00             | 0.0 |
| <b>f</b> JASON ERIC COHEN   | FID | USAK   | S   | 400     | 12.91 | n/a | n/a      | 0.00             | 0.0 |
| IMPALA ASSET MMT            | 012 | UTIW   | S   | 30,500  | 19.27 | n/a | n/a      | 1,220.00         | 4.0 |
| <b>f</b> ANTHONY SUTERA     | FID | WCRX   | B   | 500     | 23.15 | n/a | 9-Mar    | 0.00             | 0.0 |
| OSKIE CAPITAL MGMT          | 224 | WCRX   | B   | 5,000   | 23.36 | n/a | 9-Mar    | 250.00           | 5.0 |
| IMPALA ASSET MMT            | 012 | WLL    | S   | 6,900   | 66.24 | n/a | n/a      | 345.00           | 5.0 |
| IMPALA ASSET MMT            | 012 | WNC    | S   | 24,600  | 10.23 | n/a | n/a      | 738.00           | 3.0 |
| <b>f</b> JOHN BARTMAN COLE  | FID | WNC    | S   | 1500    | 10.42 | n/a | n/a      | 0.00             | 0.0 |
| <b>f</b> DAVID GEORGE BUCK  | FID | XLFX   | S   | 3000    | 16.74 | n/a | n/a      | 0.00             | 0.0 |
| MOORE CAPITAL               | 041 | XLP    | C   | 12,500  | 29.91 | n/a | n/a      | 375.00           | 3.0 |
| KLEINHEINZ CAP PART         | 031 | XOM    | B   | 75,000  | 84.27 | n/a | n/a      | 3,750.00         | 5.0 |
| OWL CREEK INV               | 085 | X      | S   | 500,000 | 54.10 | n/a | n/a      | 15,000.00        | 3.0 |
| <b>TOTAL (Trade Date) :</b> |     |        |     |         |       |     |          | <b>71,846.36</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) :    |      |         |      |        |     |        |       |              | 71,846.36   |
| TOTAL (AO, CXL, CRT) :  |      |         |      |        |     |        |       |              | 0.00        |
| TOTAL (RUN DATE) / NFS: |      |         |      |        |     |        |       |              | 71,846.36   |



BCM Cancel/Corrects and As-Of Trades

| Type | Date  | Account           | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|------|-------|-------------------|--------|-----|--------|-------|-----|----------|-------------|
| CRT  | 03/08 | BUCK CAPITAL MGMT | PERY   | B   | 20,000 | 27.70 | n/a | n/a      | 200.00 1.0  |

MRI Securities with Trade Activity on 9-Mar.  
NONE

MRI Securities without Trade Activity on 9-Mar.  
SMG

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 0%  
YTD = 4%

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|--|
| <b><u>Legend:</u></b>                                  |
| <b>Õ: Employee Trades in Outside Accounts</b>          |
| <b>ß: Non-BRG BCM Trades</b>                           |
| [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)                          |