



# Daily Compliance Activity Report

Trade Date: 04/11/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>Ö Abram Chappel</b>		<b>ABX</b>	<b>S</b>	<b>20</b>	<b>53.77</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MORTAR ROCK	033	ALV	SS	5,000	70.63	n/a	2-Feb	200.00	4.0
WEDBUSH/PACIFIC GROWTH EQTY LLC084	AMD		SS	25,000	8.49		n/a	n/a	1,000.00 4.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>AONE</b>	<b>S</b>	<b>500</b>	<b>5.77</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>ASNA</b>	<b>S</b>	<b>20,000</b>	<b>32.59</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>AVY</b>	<b>SS</b>	<b>15,100</b>	<b>41.85</b>	<b>n/a</b>	<b>10-Mar</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>AVY</b>	<b>S</b>	<b>2,900</b>	<b>41.85</b>	<b>n/a</b>	<b>10-Mar</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>AVY</b>	<b>S</b>	<b>5,000</b>	<b>41.86</b>	<b>n/a</b>	<b>10-Mar</b>	<b>non-brg</b>	<b>0.8</b>
WAGONHOUND/NIC	048	AXE	B	8,895	72.78	n/a	24-Mar	355.80	4.0
OSKIE CAPITAL MGMT	224	AXL	B	7,000	11.85	n/a	9-Feb	350.00	5.0
JP MORGAN VENTURES	046	AXP	S	10,000	46.67	n/a	7-Apr	400.00	4.0
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>BC</b>	<b>S</b>	<b>500</b>	<b>25.24</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
RBC CAPITAL MARKETS	040	BG	B	10,000	73.01	n/a	n/a	400.00	4.0
ISLE RIDGE PARTNERS	041	BWA	B	28,000	74.48	n/a	11-Feb	1,120.00	4.0
TALPION LLC	040	CASY	S	7,000	39.00	n/a	n/a	280.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ARMATURE CAPITAL	041	CCK	B	30,000	37.92	n/a	n/a	1,200.00	4.0
GALT INVESTMENT	041	CROX	B	50,000	18.46	n/a	n/a	2,000.00	4.0
SAC TRADING TOM LEDDY	035	CROX	S	40,000	18.50	n/a	n/a	1,400.00	3.5
PIONEER PATH	028	CVC	B	14,832	33.67	n/a	n/a	444.96	3.0
GOLD SACHS SPECIAL SIT	030	CVGI	B	17,800	17.03	n/a	n/a	890.00	5.0
SUN AMERICA ASSET MGMT	030	CVS	S	25,000	36.12	n/a	n/a	1,000.00	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>DAL</b>	<b>B</b>	<b>25,000</b>	<b>9.43</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>f</b> JONATHAN RICHARD HAR	<b>FID</b>	<b>DRI</b>	<b>B</b>	<b>205</b>	<b>46.73</b>	<b>n/a</b>	<b>11-Apr</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>EAT</b>	<b>C</b>	<b>20,000</b>	<b>23.56</b>	<b>n/a</b>	<b>11-Apr</b>	<b>non-brg</b>	<b>4.0</b>
<b>Õ</b> Doug Rogers		<b>FOR</b>	<b>S</b>	<b>100</b>	<b>18.19</b>	<b>n/a</b>	<b>7-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ</b> Doug Rogers		<b>FOR</b>	<b>S</b>	<b>100</b>	<b>18.20</b>	<b>n/a</b>	<b>7-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ</b> Doug Rogers		<b>FOR</b>	<b>S</b>	<b>1200</b>	<b>18.20</b>	<b>n/a</b>	<b>7-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ</b> Doug Rogers		<b>FOR</b>	<b>S</b>	<b>200</b>	<b>18.17</b>	<b>n/a</b>	<b>7-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ</b> Doug Rogers		<b>FOR</b>	<b>S</b>	<b>400</b>	<b>18.17</b>	<b>n/a</b>	<b>7-Feb</b>	<b>0.00</b>	<b>0.0</b>
BMO NESBITT BURNS	041	FRED	S	6,000	13.40	n/a	n/a	180.00	3.0
<b>f</b> MITCHELL JAMES SPEIS	<b>FID</b>	<b>FSNXX</b>	<b>S</b>	<b>11500</b>	<b>1.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> MICHAEL MARRANO	<b>FID</b>	<b>FSTFX</b>	<b>B</b>	<b>76</b>	<b>10.58</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ</b> Abram Chappel		<b>GG</b>	<b>S</b>	<b>45</b>	<b>54.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAMBIAR CAP	046	GLW	B	273,550	19.72	n/a	8-Apr	10,942.00	4.0
MORTAR ROCK	033	GM	SS	10,000	30.62	n/a	4-Apr	400.00	4.0
SENATOR INVESTMENT GROUP	036	GTI	B	40,000	19.70	n/a	n/a	1,200.00	3.0
ISLE RIDGE PARTNERS	041	HTZ	B	22,200	16.04	n/a	n/a	888.00	4.0
CSFB GLOBAL PROPRIETARY	041	IP	B	90,000	29.17	n/a	17-Mar	4,500.00	5.0
CAERUS GLOBAL	041	JACK	B	10,000	21.01	n/a	n/a	400.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>JBHT</b>	<b>S</b>	<b>20,000</b>	<b>44.41</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
JP MORGAN VENTURES	046	KBE	B	20,000	26.15	n/a	n/a	800.00	4.0
CATAPULT	040	KMT	B	15,000	38.89	n/a	28-Jan	600.00	4.0
1798 CAP/LOMBARD ASSET	040	KR	C	120,000	24.47	n/a	n/a	6,000.00	5.0
DISCIPLINED GROWTH INV.	030	LTD	S	8,100	37.51	n/a	n/a	405.00	5.0
LATEFF MGMT	035	MMM	S	1,250	93.90	n/a	28-Mar	125.00	10.0
BMO NESBITT BURNS	041	NDN	B	6,000	20.17	n/a	31-Mar	180.00	3.0
CAERUS GLOBAL	041	NDN	S	8,914	20.28	n/a	31-Mar	356.56	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>NWY</b>	<b>S</b>	<b>12,889</b>	<b>7.37</b>	<b>n/a</b>	<b>n/a</b>	<b>257.78</b>	<b>2.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>NWY</b>	<b>S</b>	<b>35,000</b>	<b>7.34</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAXTON PART	040	OSK	S	65,461	34.05	n/a	n/a	2,291.16	3.5
<b>B</b> BUCK CAPITAL MGMT		<b>OXM</b>	<b>S</b>	<b>30,000</b>	<b>31.96</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> KATHERINE L O'GORMAN	<b>FID</b>	<b>PG</b>	<b>B</b>	<b>600</b>	<b>62.36</b>	<b>n/a</b>	<b>7-Apr</b>	<b>0.00</b>	<b>0.0</b>
MA CAPITAL MGMT/MELLON	ADV041	PKG	B	5,000	28.26	n/a	17-Mar	250.00	5.0
SCHOTTENFELD ASSOC	041	PKG	B	10,000	27.94	n/a	17-Mar	300.00	3.0
CIRCLE T/SES PART	033	PVH	B	5,000	64.91	n/a	30-Mar	200.00	4.0
SUN AMERICA ASSET MGMT	030	QCOM	B	32,800	53.47	n/a	n/a	1,312.00	4.0
DISIPLINED GROWTH INV.	030	RCL	S	5,900	39.66	n/a	n/a	295.00	5.0
SABR GROUP LLP	025	RRR	SS	10,000	13.85	n/a	12-Jan	400.00	4.0
JP MORGAN VENTURES	046	RUTH	B	10,000	4.95	n/a	n/a	300.00	3.0
<b>Õ</b> Abram Chappel		<b>SLW</b>	<b>S</b>	<b>75</b>	<b>46.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FRED ALGER MGMT	035	SOA	S	29,790	24.65	n/a	n/a	1,072.44	3.6
<b>f</b> FRANCIS MICHAEL MCCA	<b>FID</b>	<b>SRI</b>	<b>S</b>	<b>500</b>	<b>14.26</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BMO NESBITT BURNS	041	SVU	S	6,000	9.25	n/a	n/a	180.00	3.0
FIRST NEW YORK LEDDY	035	S	S	20,000	4.72	n/a	n/a	800.00	4.0
HOLLIS CAPITAL	033	TEVA	B	10,000	48.99	n/a	11-Apr	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	TIN	B	15,000	22.30	n/a	17-Mar	750.00	5.0
MA CAPITAL MGMT/MELLON ADV041	TIN		B	2,000	22.62	n/a	17-Mar	100.00	5.0
DISCIPLINED GROWTH INV.	030	TJX	S	9,400	51.05	n/a	8-Apr	470.00	5.0
<b>f</b> <b>ABRAM M CHAPPELL</b>	<b>FID</b>	<b>UAL</b>	<b>B</b>	<b>100</b>	<b>20.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> <b>BUCK CAPITAL MGMT</b>		<b>UAL</b>	<b>B</b>	<b>25,000</b>	<b>20.50</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
SUN AMERICA ASSET MGMT	030	UHS	S	27,000	47.80	n/a	n/a	1,080.00	4.0
<b>f</b> <b>JOHN FRANCIS MCERLEA</b>	<b>FID</b>	<b>URBN</b>	<b>S</b>	<b>500</b>	<b>31.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> <b>JASON ERIC COHEN</b>	<b>FID</b>	<b>VFC</b>	<b>S</b>	<b>50</b>	<b>98.90</b>	<b>n/a</b>	<b>14-Mar</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> <b>JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>VXX</b>	<b>B</b>	<b>5000</b>	<b>28.71</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> <b>BUCK CAPITAL MGMT</b>		<b>WERN</b>	<b>S</b>	<b>15,000</b>	<b>25.63</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> <b>JASON ERIC COHEN</b>	<b>FID</b>	<b>WLK</b>	<b>S</b>	<b>60</b>	<b>59.95</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
RAINIER INV MGMT	035	WTR	S	37,500	22.33	n/a	n/a	1,500.00	4.0
CATAPULT	040	WY	SS	25,000	23.25	n/a	8-Apr	1,000.00	4.0
<b>TOTAL (Trade Date):</b>								<b>51,075.70</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/08	SONTERRA CAP	041	LINTA	B	100,000	16.92	n/a	n/a	4000.00 4.0
AO,CRT	04/08	WEINTRAUB CAPITAL MGT.	040	LPX	B	50,000	9.65	n/a	6-Apr	1500.00 3.0
AO,CXL	04/08	WEINTRAUB CAPITAL MGT.	040	LPX	B	50,000	9.65	n/a	6-Apr	2000.00 4.0
AO,CRT	04/08	SCOPUS FUND	041	LTD	B	11,678	36.43	n/a	n/a	467.12 4.0
AO,CXL	04/08	SCOPUS FUND	041	LTD	B	11,678	36.43	n/a	n/a	467.12 4.0
AO,CRT	04/05	CAXTON PART	040	OXY	S	509	102.30	n/a	n/a	17.82 3.5
AO,CXL	04/05	CAXTON PART	040	OXY	S	509	102.30	n/a	n/a	17.82 3.5
<b>TOTAL (AO, CXL, CRT) :</b>										<b>3,500.00</b>

TOTAL (Trade Date) :	51,075.70
TOTAL (AO, CXL, CRT) :	3,500.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>54,575.70</b>
---------------------------------	------------------

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
------	------	---------	--------	-----	--------	-------	--------------	-------------

MRI Securities with Trade Activity on 11-Apr.  
NONE

MRI Securities without Trade Activity on 11-Apr.  
GIL, ADM

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

**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)**