



Daily Compliance Activity Report

Trade Date: 04/27/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ASCEND PARTNERS	033	ABG	B	37,600	16.59	n/a	13-Apr	1,880.00	5.0
STATE TEACHERS RET SYS	047	ACM	B	22,300	26.86	n/a	n/a	1,115.00	5.0
STATE TEACHERS RET SYS	047	AEP	B	25,000	36.19	n/a	n/a	1,250.00	5.0
STATE TEACHERS RET SYS	047	AET	S	200,000	39.91	n/a	n/a	10,000.00	5.0
PIONEER PATH	028	AMP	SS	2,374	60.53	n/a	n/a	71.22	3.0
B BUCK CAPITAL MGMT		ANF	S	7,000	70.94	n/a	6-Apr	non-brg	4.0
B BUCK CAPITAL MGMT		ARCO	B	25,000	22.20	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ARCO	B	30,000	22.36	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ASNA	S	15,000	33.07	n/a	n/a	non-brg	4.0
CATAPULT CAP/DEFRANCO	040	AVY	SS	16,200	42.96	n/a	27-Apr	648.00	4.0
f KEVIN MICHAEL O'GORM	FID	AXL	B	4000	12.54	n/a	13-Apr	0.00	0.0
MILLRACE FUND LP	028	AXL	B	14,000	12.44	n/a	13-Apr	560.00	4.0
MUTUAL OF AMERICA CAPITAL	029	AXL	B	29,500	12.47	n/a	13-Apr	1,180.00	4.0
COLUMBIA PARTNERS	028	BIDU	B	16,494	150.25	n/a	n/a	659.76	4.0
RBC CAPITAL MARKETS	040	BIN	SS	20,000	25.46	n/a	n/a	800.00	4.0
f HARALAMBOS EFSTATHI	FID	BJ	S	200	49.98	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JONATHAN RICHARD HAR	FID	BODY	B	90	23.29	n/a	n/a	0.00	0.0
FARALLON CAP MGMT	040	BP	B	106,140	46.17	n/a	n/a	4,245.60	4.0
BRONSON POINT	036	BWA	SS	10,000	78.30	n/a	13-Apr	300.00	3.0
f CHRISTOPHER ROBERT C	FID	BWA	S	75	78.31	n/a	13-Apr	0.00	0.0
f CHRISTOPHER ROBERT C	FID	BZ	S	500	9.12	n/a	n/a	0.00	0.0
SAGE ASSET MGMT	012	BZ	S	140,000	9.02	n/a	n/a	5,600.00	4.0
MA CAPITAL MGMT/MELLON ADV041	CAT		B	1,000	112.58	n/a	12-Apr	50.00	5.0
B BUCK CAPITAL MGMT		CBK	SS	7,621	6.37	n/a	n/a	non-brg	1.0
RBC CAPITAL MARKETS	040	CE	B	10,000	49.15	n/a	n/a	400.00	4.0
MILLRACE FUND LP	028	CPKI	B	5,000	15.95	n/a	11-Apr	200.00	4.0
MERRILL ASSET/BLACKROCK	297	CPT	S	9,100	61.12	n/a	n/a	364.00	4.0
f COLE THOMAS KAICHER	FID	CVGI	S	450	17.13	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	CVGI	B	5000	17.62	n/a	n/a	0.00	0.0
f STEFFANIE CARMELA CA	FID	CWTR	B	250	2.95	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	CX	B	150,000	8.60	n/a	n/a	6,000.00	4.0
NEUBERGER BERMAN	036	DCI	B	29,112	60.22	n/a	n/a	1,164.48	4.0
BUCK CAPITAL MGMT	001	DDS	S	30,500	48.00	n/a	n/a	915.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STATE TEACHERS RET SYS	047	DRH	S	8,200	12.02	n/a	n/a	410.00	5.0
B BUCK CAPITAL MGMT		DSW	B	30,000	47.52	n/a	11-Feb	non-brg	4.0
MA CAPITAL MGMT/MELLON ADV041		EAT	S	4,000	25.22	n/a	27-Apr	200.00	5.0
IRIDIAN ASSET MGMT.	036	EBAY	S	9,860	33.81	n/a	n/a	493.00	5.0
COLUMBIA PARTNERS	028	EMC	S	61,470	28.02	n/a	n/a	2,458.80	4.0
MERRILL ASSET/BLACKROCK	266	ESS	S	8,700	132.79	n/a	n/a	348.00	4.0
SIGMA CAPITAL ASSOCIATES	041	EXPR	B	50,000	21.57	n/a	n/a	1,750.00	3.5
f KAREN F LEDDY	FID	FDML	S	350	26.05	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FINL	S	23,400	21.51	n/a	25-Mar	non-brg	4.0
ROYCE TRADING	012	FINL	B	7,500	21.41	n/a	25-Mar	375.00	5.0
f JOHN MICHAEL ZOLIDIS	FID	FRED	S	300	14.00	n/a	n/a	0.00	0.0
BNP PARIBAS SEC	040	F	SS	50,000	15.56	n/a	27-Apr	2,500.00	5.0
OZ MGMT	040	F	SS	100,000	15.56	n/a	27-Apr	3,000.00	3.0
RBC CAPITAL MARKETS	040	F	SS	100,000	15.52	n/a	27-Apr	4,000.00	4.0
BUCK CAPITAL MGMT	001	GES	S	12,000	41.72	n/a	25-Apr	360.00	3.0
SERENGETI MGMT	030	GE	S	100,000	20.22	n/a	n/a	5,000.00	5.0
B BUCK CAPITAL MGMT		GIII	S	12,100	45.03	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		GIL	S	16,700	35.95	n/a	25-Apr	non-brg	4.0
CIRCLE T/SES PART	033	GM	SS	15,000	31.43	n/a	13-Apr	600.00	4.0
B BUCK CAPITAL MGMT		GNC	B	80,000	19.06	n/a	n/a	non-brg	4.0
f COLE THOMAS KAICHER	FID	GNTX	S	48	30.19	n/a	25-Apr	0.00	0.0
B BUCK CAPITAL MGMT		HBI	S	20,000	32.23	n/a	21-Apr	non-brg	4.0
B BUCK CAPITAL MGMT		HBI	S	28,300	32.00	n/a	21-Apr	non-brg	4.0
f DAVID GEORGE BUCK	FID	HBI	B	1500	32.16	n/a	21-Apr	0.00	0.0
STATE TEACHERS RET SYS	047	IBM	S	10,000	170.40	n/a	n/a	500.00	5.0
FIRST NY SEC/CHRIS	041	INTC	SS	25,000	22.60	n/a	n/a	1,250.00	5.0
f RAVI SADARANGANI	FID	IP	B	500	30.03	n/a	14-Apr	0.00	0.0
f RAVI SADARANGANI	FID	IP	B	500	30.03	n/a	14-Apr	0.00	0.0
SCHOTTENFELD ASSOC	041	IP	B	20,000	30.00	n/a	14-Apr	600.00	3.0
B BUCK CAPITAL MGMT		IWO	C	91,000	97.32	n/a	n/a	non-brg	2.0
CAERUS GLOBAL	041	JNY	S	50,000	14.98	n/a	25-Apr	2,000.00	4.0
BUCK CAPITAL MGMT	001	JWN	S	10,400	48.31	n/a	13-Apr	312.00	3.0
PIIONEER PATH	028	KMB	SS	25,000	64.98	n/a	26-Apr	750.00	3.0
MA CAPITAL MGMT/MELLON ADV041		KMT	B	2,500	41.86	n/a	28-Jan	125.00	5.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f	DAVID GEORGE BUCK	FID	LLY	B	2000	37.14	n/a	n/a	0.00	0.0
	SIGMA CAPITAL ASSOCIATES	041	LTD	S	100,000	40.79	n/a	n/a	3,500.00	3.5
	WADDELL AND REED	047	LWSN	S	310,000	11.06	n/a	n/a	9,300.00	3.0
B	BUCK CAPITAL MGMT		MDY	SS	50,000	182.26	n/a	n/a	non-brg	2.0
	SAC CHICAGO ANDREW	031	MO	SS	100,000	26.60	n/a	n/a	3,500.00	3.5
	BALYASNY ASSET MGMT	044	MWV	B	30,000	32.98	27-Apr	27-Apr	1,500.00	5.0
	COUGAR TRADING	044	MWV	B	10,000	33.02	27-Apr	27-Apr	500.00	5.0
	COUGAR TRADING	044	MWV	S	10,000	33.46	27-Apr	27-Apr	500.00	5.0
	CSFB GLOBAL PROPRIETARY	041	MWV	S	56,000	32.84	27-Apr	27-Apr	2,800.00	5.0
	MA CAPITAL MGMT/MELLON ADV	041	MWV	S	3,000	32.96	27-Apr	27-Apr	150.00	5.0
	SCOPUS FUND	041	MWV	B	10,000	32.88	27-Apr	27-Apr	400.00	4.0
	SONTERRA CAP	041	MWV	B	50,000	33.38	27-Apr	27-Apr	2,000.00	4.0
	BALYASNY ASSET MGMT	044	M	S	25,000	24.82	n/a	8-Apr	1,250.00	5.0
B	BUCK CAPITAL MGMT		M	S	20,200	24.78	n/a	8-Apr	non-brg	4.0
	SYSTEMATIC FINANCIAL MGT	035	M	B	317,075	24.81	n/a	8-Apr	9,512.25	3.0
	SAXON WOODS ADVISORS	048	NOK	B	250,000	9.12	n/a	n/a	7,500.00	3.0
	PIONEER PATH	028	NWL	S	50,000	19.55	n/a	n/a	1,500.00	3.0
f	WILLIAM J GAULT	FID	NXJ	B	2973	12.63	n/a	n/a	0.00	0.0
	SENATOR INVESTMENT GROUP	036	NYX	S	50,000	39.34	n/a	n/a	1,500.00	3.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	DAVID GEORGE BUCK	FID	OSUR	B	3000	8.57	n/a	n/a	0.00	0.0
	SENATOR INVESTMENT GROUP	036	PETM	S	40,537	42.63	n/a	n/a	1,216.11	3.0
	SAC TRADING TOM LEDDY	035	PG	SS	25,000	64.00	n/a	27-Apr	875.00	3.5
	MA CAPITAL MGMT/MELLON ADV041	PH		SS	2,000	93.65	n/a	21-Jan	100.00	5.0
B	BUCK CAPITAL MGMT		PLCE	S	9,000	55.45	n/a	9-Mar	non-brg	4.0
	ROARING BLUE LION MGMT	012	PLCE	S	4,000	55.28	n/a	9-Mar	160.00	4.0
	ROYCE TRADING	012	PLCE	B	13,000	55.47	n/a	9-Mar	650.00	5.0
	PIONEER PATH	028	PRU	B	2,412	60.98	n/a	n/a	72.36	3.0
B	BUCK CAPITAL MGMT		PVH	S	15,000	70.34	n/a	25-Apr	non-brg	4.0
	WEISS PECK	040	QQQ	C	5,100	59.21	n/a	n/a	153.00	3.0
	MA CAPITAL MGMT/MELLON ADV041	RKT		B	2,000	69.45	n/a	n/a	60.00	3.0
	MA CAPITAL MGMT/MELLON ADV041	RKT		S	2,000	69.55	n/a	n/a	60.00	3.0
f	ANGELOS EFSTATHIOU	FID	RVI	S	200	20.00	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		SAH	B	20,000	13.39	n/a	n/a	non-brg	4.0
	BALYASNY ASSET MGMT	044	SIG	B	20,800	43.92	n/a	n/a	1,040.00	5.0
	STATE TEACHERS RET SYS	047	SPG	S	5,000	113.25	n/a	n/a	250.00	5.0
f	EDWARD W WHEELER	FID	SPNC	S	10000	5.53	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f DAVID GEORGE BUCK	FID	SPY	S	2000	135.03	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SVU	SS	50,000	11.10	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SWFT	B	25,000	13.80	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		SWY	SS	70,000	24.82	n/a	n/a	non-brg	4.0
FIRST NEW YORK LEDDY	035	S	S	20,000	4.78	n/a	n/a	800.00	4.0
STATE TEACHERS RET SYS	047	TCB	B	100,000	15.63	n/a	n/a	5,000.00	5.0
f DAVID GEORGE BUCK	FID	TGT	B	15	0.12	n/a	8-Apr	0.00	0.0
ELM RIDGE ADVISORS	044	TIN	S	2,500	22.66	n/a	20-Apr	100.00	4.0
NEUBERGER BERMAN	036	TISI	S	14,431	25.08	n/a	n/a	577.24	4.0
CAERUS GLOBAL	041	TJX	SS	20,000	53.17	n/a	8-Apr	800.00	4.0
ROTHSCHILD ASSET	040	TSO	B	6,180	25.79	n/a	n/a	247.20	4.0
HIGHFIELDS CAP MGMT	030	T	SS	100,000	31.23	n/a	n/a	5,000.00	5.0
B BUCK CAPITAL MGMT		URBN	S	15,000	33.29	n/a	n/a	non-brg	4.0
BASIX	033	URI	B	20,000	29.42	n/a	n/a	600.00	3.0
f DAVID GEORGE BUCK	FID	VRTX	B	1000	54.20	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f SCOTT L BRUNNER	FID	VXX	S	1000	23.51	n/a	n/a	0.00	0.0
f SCOTT L BRUNNER	FID	VXX	S	2500	23.53	n/a	n/a	0.00	0.0
f MARK ANTHONY GRONET	FID	WY	S	1500	23.25	n/a	14-Apr	0.00	0.0
B BUCK CAPITAL MGMT		XRT	SS	150,000	53.72	n/a	n/a	non-brg	2.0
f DAVID GEORGE BUCK	FID	ZMH	B	1000	62.55	n/a	n/a	0.00	0.0
TOTAL (Trade Date):							127,608.02		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	04/26	MA CAPITAL MGMT/MELLON ADV	041	LPX	B	12,000	9.17	n/a	14-Apr	480.00 4.0
AO,CXL	04/26	MA CAPITAL MGMT/MELLON ADV	041	LPX	B	12,000	9.17	n/a	14-Apr	600.00 5.0
AO,CRT	04/26	SCOPUS FUND	041	RKT	B	41,382	71.13	n/a	n/a	1655.28 4.0
AO,CXL	04/26	SCOPUS FUND	041	RKT	B	41,382	71.13	n/a	n/a	1655.28 4.0
AO,	04/26	NEW JERSEY DIV OF INV.	030	T	B	300,000	30.89	n/a	n/a	12000.00 4.0
AO,CXL	04/26	NEW JERSEY DIV OF INV.	030	T	B	300,000	30.90	n/a	n/a	12000.00 4.0

TOTAL (AO, CXL, CRT) :	-120.00
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TOTAL (Trade Date) :	127,608.02
TOTAL (AO, CXL, CRT) :	-120.00

TOTAL (RUN DATE) / NFS:	127,488.02
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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MRI Securities with Trade Activity on 27-Apr.

MWV

MRI Securities without Trade Activity on 27-Apr.

AXE, COH, PX, HSP, ITW, CMI

BRG comm. as a % of BCM Total Comm. paid.

T-Date = 6%

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)