



Daily Compliance Activity Report

Trade Date: 03/15/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	AAPL	B	150	344.36	n/a	n/a	4.50	3.0
EPOCH INV MGMT	030	ABT	B	800	47.57	n/a	n/a	24.00	3.0
EPOCH INV MGMT	030	AET	B	950	35.48	n/a	n/a	28.50	3.0
EPOCH INV MGMT	030	AMP	B	1,700	59.59	n/a	n/a	51.00	3.0
BUCK CAPITAL MGMT	001	ANN	S	20,000	27.31	n/a	n/a	600.00	3.0
⚡ BUCK CAPITAL MGMT		APC	B	1,100	73.87	n/a	25-Feb	non-brg	4.0
⚡ BUCK CAPITAL MGMT		APC	B	700	73.87	n/a	25-Feb	non-brg	4.0
f JOSEPH CIRO AMATURO	FID	APC	B	1000	74.32	n/a	25-Feb	0.00	0.0
f MARC PAUL LUCHANSKY	FID	APC	S	100	73.77	n/a	25-Feb	0.00	0.0
SURSUM CAPITAL	215	ARO	B	10,000	23.88	n/a	11-Mar	300.00	3.0
⚡ BUCK CAPITAL MGMT		ASNA	S	30,000	30.44	n/a	n/a	non-brg	4.0
MADISON ST PARTNERS LLC	046	AVP	B	73,662	26.85	n/a	18-Feb	3,683.10	5.0
f MARC PAUL LUCHANSKY	FID	AXE	S	300	66.85	n/a	1-Feb	0.00	0.0
HUNTER GLOBAL INVESTOR	028	AXL	B	115,000	12.85	n/a	9-Feb	4,025.00	3.5
OSKIE CAPITAL MGMT	224	AXL	S	15,000	13.13	n/a	9-Feb	750.00	5.0
TRELLUS PARTNERS LP	028	AXL	C	30,000	12.56	n/a	9-Feb	1,500.00	5.0
EPOCH INV MGMT	030	AXP	B	1,350	43.48	n/a	15-Mar	40.50	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		BA	B	20,000	69.19	n/a	15-Mar	non-brg	1.0
EPOCH INV MGMT	030	BA	B	650	69.08	n/a	15-Mar	19.50	3.0
⚡ BUCK CAPITAL MGMT		BBBY	B	70,000	46.18	n/a	n/a	non-brg	4.0
f FRANCIS MICHAEL MCCA	FID	BGZ	S	240	41.24	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	BID	B	20,000	44.88	n/a	n/a	600.00	3.0
⚡ BUCK CAPITAL MGMT		BID	B	10,000	44.94	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		BID	B	40,000	44.76	n/a	n/a	non-brg	0.8
⚡ BUCK CAPITAL MGMT		BODY	B	20,000	16.61	n/a	n/a	non-brg	4.0
BMO NESBITT BURNS	041	BWS	B	14,000	11.06	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		BYD	B	50,000	9.25	n/a	n/a	non-brg	2.5
⚡ BUCK CAPITAL MGMT		CACH	B	8,000	4.57	n/a	n/a	non-brg	2.5
EPOCH INV MGMT	030	CAM	B	600	58.39	n/a	n/a	18.00	3.0
f EDWARD W WHEELER	FID	CCC	B	10000	14.37	n/a	n/a	0.00	0.0
AVESTA CAP	229	CCL	S	75,000	38.94	n/a	n/a	2,250.00	3.0
SCOPUS FUND	041	CE	S	18,100	39.20	n/a	n/a	724.00	4.0
MILLENNIUM-ANDEW	031	CMI	B	10,000	96.83	n/a	1-Mar	500.00	5.0
HOTCHKIS & WILEY	035	CNW	S	183,000	35.74	n/a	n/a	9,150.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	COH	B	20,000	50.28	n/a	26-Jan	600.00	3.0
f BUCK CAPITAL MGMT		COH	B	10,000	51.26	n/a	26-Jan	non-brg	4.0
SURSUM CAPITAL	215	COH	S	15,000	51.18	n/a	26-Jan	450.00	3.0
EPOCH INV MGMT	030	COL	B	500	62.08	n/a	4-Mar	15.00	3.0
PROSPECTOR PARTNERS LLC	036	CPB	B	10,000	33.35	n/a	n/a	400.00	4.0
MA CAPITAL MGMT/MELLON ADV	041	CPKI	B	6,000	15.85	15-Mar	15-Mar	300.00	5.0
WEINTRAUB CAPITAL MGT.	040	CPKI	B	21,230	15.73	15-Mar	15-Mar	849.20	4.0
f ROBERT M DANIELS	FID	CQB	B	250	14.34	n/a	n/a	0.00	0.0
f ALEXANDRA ELISE ZOLI	FID	CRI	S	200	28.12	n/a	n/a	0.00	0.0
f BUCK CAPITAL MGMT		CROX	B	20,000	17.18	n/a	n/a	non-brg	4.0
EPOCH INV MGMT	030	CSC	B	100	46.43	n/a	n/a	3.00	3.0
f JOHN MICHAEL DEMARTI	FID	CVGI	B	2000	14.11	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	CVGI	B	100	14.25	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	CVGI	B	1000	14.32	n/a	n/a	0.00	0.0
f MICHAEL C PERILLO	FID	CVGI	B	55	14.25	n/a	n/a	0.00	0.0
f RAVI SADARANGANI	FID	CVGI	B	1000	14.35	n/a	n/a	0.00	0.0
f BRIAN FRANCIS KEALOH	FID	CYRX	B	3000	1.45	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	266	CYT	B	4,100	50.43	n/a	n/a	164.00	4.0
f CHRISTOPHER ROBERT C	FID	DAN	B	300	17.13	n/a	24-Feb	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NOKOMIS PARTNERS	031	DBLE	B	24,000	8.52	n/a	n/a	720.00	3.0
BUCK CAPITAL MGMT	001	DDS	B	10,000	40.05	n/a	n/a	300.00	3.0
CIRCLE T/SES PART	033	DRI	S	10,000	46.38	n/a	2-Feb	400.00	4.0
BUCK CAPITAL MGMT	001	EAT	B	40,000	24.24	n/a	26-Jan	1,200.00	3.0
PROSPECTOR PARTNERS LLC	036	EP	B	4,000	17.13	n/a	n/a	160.00	4.0
f MARC PAUL LUCHANSKY	FID	ESRX	S	500	51.29	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	EWJ	B	1000	10.11	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	EWJ	B	400	10.09	n/a	n/a	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	EWJ	B	500	9.48	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	EWJ	B	450	10.11	n/a	n/a	0.00	0.0
f JOHN GRASSANO	FID	FAS	B	80	28.87	n/a	n/a	0.00	0.0
DAVIDSON KEMPNER ADVISOR	040	FCX	S	20,000	50.82	n/a	n/a	1,000.00	5.0
ROYCE TRADING	012	FINL	B	84,717	17.66	n/a	1-Mar	4,235.85	5.0
EPOCH INV MGMT	030	FIS	B	750	30.44	n/a	n/a	22.50	3.0
f WILLIAM J GAULT	FID	FOR	B	2000	18.18	n/a	7-Feb	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	FRED	B	1000	12.51	n/a	n/a	0.00	0.0
f MITCHELL JAMES SPEIS	FID	FSNXX	S	10000	1.00	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HUNTER GLOBAL INVESTOR	028	F	B	344,000	14.19	n/a	2-Mar	12,040.00	3.5
NEWLAND CAPITAL MGT	025	F	B	50,000	14.10	n/a	2-Mar	2,000.00	4.0
OSKIE CAPITAL MGMT	224	F	S	7,000	14.35	n/a	2-Mar	350.00	5.0
OZ MGMT	040	F	B	150,000	14.09	n/a	2-Mar	4,500.00	3.0
TROUBH PART	070	F	B	50,000	14.49	n/a	2-Mar	2,500.00	5.0
TROUBH PART	070	F	S	25,000	14.40	n/a	2-Mar	1,250.00	5.0
B BUCK CAPITAL MGMT		GES	B	40,000	44.30	n/a	20-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		GMCR	S	10,000	58.79	n/a	n/a	non-brg	4.0
f JONATHAN RICHARD HAR	FID	GMCR	S	200	58.46	n/a	n/a	0.00	0.0
CATAPULT	040	GM	B	81,000	32.28	n/a	2-Mar	3,240.00	4.0
OSKIE CAPITAL MGMT	224	GM	S	5,000	31.59	n/a	2-Mar	250.00	5.0
PHILADELPHIA FINANCIAL	033	GM	C	20,000	30.91	n/a	2-Mar	800.00	4.0
WEINTRAUB CAPITAL MGT.	040	GM	B	100,000	31.63	n/a	2-Mar	4,000.00	4.0
EPOCH INV MGMT	030	GPC	B	550	51.02	n/a	n/a	16.50	3.0
BNP PARIBAS SEC	040	GPI	S	3,500	40.11	n/a	11-Feb	175.00	5.0
f ALICE BEEBE LONGLEY	FID	HON	B	400	55.56	n/a	10-Mar	0.00	0.0
f JONATHAN RICHARD HAR	FID	HWCC	B	1330	12.85	n/a	n/a	0.00	0.0
NORTHWESTERN MUTUAL LIFE	047	IGT	S	281,600	15.72	n/a	27-Jan	11,264.00	4.0
ARMATURE CAPITAL	041	IP	B	30,000	25.80	n/a	3-Feb	1,200.00	4.0
CSFB GLOBAL PROPRIETARY	041	IP	B	100,000	25.55	n/a	3-Feb	5,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THOMPSON SIEGAL&WALMSLEY	029	IP	S	210,975	25.73	n/a	3-Feb	8,439.00	4.0
EPOCH INV MGMT	030	IR	B	6,700	45.66	n/a	4-Mar	201.00	3.0
DAVIDSON KEMPNER ADVISOR	040	IVN	B	40,400	25.15	n/a	n/a	2,020.00	5.0
f DAVID GEORGE BUCK	FID	IVZ	S	200	24.91	n/a	2-Mar	0.00	0.0
HUNTER GLOBAL INVESTOR	028	JCI	S	200,000	39.22	n/a	20-Jan	10,000.00	5.0
KACELA CAPITAL	034	JDSU	S	141,729	21.19	n/a	n/a	5,669.16	4.0
B BUCK CAPITAL MGMT		JOSB	S	20,000	46.04	n/a	n/a	non-brg	4.0
MILLENNIUM-ANDEW	031	JOYG	B	20,000	87.22	n/a	3-Mar	1,000.00	5.0
SURSUM CAPITAL	215	JWN	S	20,000	42.58	n/a	3-Mar	600.00	3.0
RBC CAPITAL MARKETS	040	KBR	B	8,400	32.55	n/a	n/a	336.00	4.0
SAC CHICAGO ANDREW	031	KR	B	3,778	23.50	n/a	n/a	132.23	3.5
B BUCK CAPITAL MGMT		LEA	B	5,200	97.00	n/a	2-Feb	non-brg	4.0
OZ MGMT	040	LEA	S	7,500	97.03	n/a	2-Feb	225.00	3.0
B BUCK CAPITAL MGMT		LTD	B	16,600	30.18	n/a	n/a	non-brg	4.0
OSKIE CAPITAL MGMT	224	LYB	S	10,000	38.14	n/a	n/a	500.00	5.0
GREEN ARROW DOUG	040	LYV	B	25,000	10.02	n/a	n/a	1,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f EDWARD W WHEELER	FID	LZ	S	2000	134.00	n/a	n/a	0.00	0.0
SANDLER CAPITAL	028	MET	S	296,900	41.76	n/a	n/a	14,845.00	5.0
f EDWARD W WHEELER	FID	MITSY	B	250	318.64	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	266	MNKD	B	160,000	3.71	n/a	n/a	6,400.00	4.0
ß BUCK CAPITAL MGMT		MNRO	B	10,000	31.50	n/a	n/a	non-brg	4.0
BALLAST CAP	040	MON	B	15,500	67.94	n/a	7-Feb	0.00	0.0
PROSPECTOR PARTNERS LLC	036	MRO	B	5,000	48.75	n/a	n/a	200.00	4.0
ß BUCK CAPITAL MGMT		MRT	B	100	6.24	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		MRT	B	100	6.24	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		MRT	B	100	6.24	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		MRT	B	100	6.24	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		MRT	B	920	6.24	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		MSSR	B	1,100	7.15	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		MSSR	B	1,300	7.15	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		MSSR	B	300	7.15	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		MSSR	B	400	7.15	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		MSSR	B	600	7.15	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		MSSR	B	800	7.15	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		MSSR	B	9,500	7.15	n/a	n/a	non-brg	2.5
CASTLEROCK	040	MU	B	200,000	10.41	n/a	n/a	8,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f EDWARD W WHEELER	FID	MWA	B	5794	3.79	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	MWA	S	1500	3.83	n/a	n/a	0.00	0.0
BASIX	033	NAV	B	8,700	63.78	n/a	10-Mar	261.00	3.0
BNP PARIBAS SEC	040	NDN	B	50,000	19.55	n/a	11-Mar	2,500.00	5.0
EPOCH INV MGMT	030	NYX	B	2,000	36.01	n/a	n/a	60.00	3.0
BUCK CAPITAL MGMT	001	OXM	B	10,000	23.72	n/a	n/a	300.00	3.0
BNP PARIBAS SEC	040	PCAR	B	25,000	47.96	n/a	2-Feb	1,250.00	5.0
f EDWARD W WHEELER	FID	PCAR	B	5000	47.50	n/a	2-Feb	0.00	0.0
B BUCK CAPITAL MGMT		PERY	B	10,000	25.78	n/a	n/a	non-brg	4.0
f MITCHELL JAMES SPEIS	FID	PHO	B	500	18.81	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		PIR	B	112,900	9.01	n/a	n/a	non-brg	3.0
ROYCE TRADING	012	PLCE	B	61,079	46.39	n/a	9-Mar	3,053.95	5.0
f FRANCIS MICHAEL MCCA	FID	PRIM	B	500	8.54	n/a	n/a	0.00	0.0
f MARY B MCCARTAN	FID	PRIM	B	500	8.54	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	PRU	B	1,250	57.65	n/a	n/a	37.50	3.0
SCOPUS FUND	041	PVH	S	44,400	59.49	n/a	1-Feb	1,776.00	4.0
NOMURA CAPITAL	029	QLTY	S	20,000	10.39	n/a	n/a	600.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ADALY INV MGMT	031	QQQQ	B	20,000	55.66	n/a	n/a	1,000.00	5.0
SCOPUS FUND	041	RKT	B	28,032	65.00	n/a	n/a	1,121.28	4.0
ß BUCK CAPITAL MGMT		RUTH	B	1,000	4.73	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		RUTH	B	1,300	4.73	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		RUTH	B	1,500	4.73	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		RUTH	B	1,900	4.73	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		RUTH	B	14,200	4.73	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		RUTH	B	500	4.73	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		RUTH	B	600	4.73	n/a	n/a	non-brg	2.5
RBC CAPITAL MARKETS	040	SFD	B	25,000	21.58	n/a	n/a	1,000.00	4.0
ß BUCK CAPITAL MGMT		SFLY	B	20,000	38.86	n/a	n/a	non-brg	2.5
f JOHN PATRICK DAVEY	FID	SHAW	S	1500	34.18	n/a	n/a	0.00	0.0
f MARGARET M DAVEY	FID	SHAW	S	100	34.18	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SIG	B	20,000	42.39	n/a	n/a	non-brg	4.0
f EDWARD W WHEELER	FID	SI	B	1000	120.34	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SLM	B	3,500	14.17	n/a	14-Feb	non-brg	4.0
ß BUCK CAPITAL MGMT		SLM	B	5,700	14.17	n/a	14-Feb	non-brg	4.0
f MARK DEVEREAUX KAICH	FID	STVI	B	2000	2.30	n/a	n/a	0.00	0.0
Õ Alice Longley		SWN	B	700	38.80	n/a	25-Feb	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FIRST NEW YORK NICK	029	S	B	20,000	4.95	n/a	n/a	1,000.00	5.0
f JASON ERIC COHEN	FID	THQI	B	10	0.10	n/a	n/a	0.00	0.0
f ALEXANDRA ELISE ZOLI	FID	TIF	B	125	57.50	n/a	n/a	0.00	0.0
APEX CAPITAL MGMT.	261	TIF	B	50,000	57.00	n/a	n/a	2,000.00	4.0
f JOHN MICHAEL ZOLIDIS	FID	TIF	B	100	57.18	n/a	n/a	0.00	0.0
SURSUM CAPITAL	215	TIF	S	5,000	57.37	n/a	n/a	150.00	3.0
f FRANCIS PATRICK GALL	FID	TLB	B	475	5.25	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	266	UBSI	S	34,600	26.06	n/a	n/a	1,384.00	4.0
BALYASNY ASSET MGMT	044	UFS	C	10,000	83.56	n/a	n/a	500.00	5.0
f JASON ERIC COHEN	FID	UPL	B	70	44.35	n/a	11-Jan	0.00	0.0
DAVIDSON KEMPNER ADVISOR	040	VALE	C	20,000	31.90	n/a	n/a	1,000.00	5.0
OSKIE CAPITAL MGMT	224	VC	B	5,000	60.82	n/a	n/a	250.00	5.0
SURSUM CAPITAL	215	VFC	S	10,000	94.70	n/a	14-Mar	300.00	3.0
f EDWARD W WHEELER	FID	WG	S	30000	9.51	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		WRC	S	12,800	55.29	n/a	1-Mar	non-brg	4.0
B BUCK CAPITAL MGMT		WRC	S	17,200	55.42	n/a	1-Mar	non-brg	4.0
RBC CAPITAL MARKETS	040	WY	B	70,000	24.68	n/a	4-Feb	2,800.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		XLFX	C	250,100	16.01	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		XRTX	C	83,200	48.23	n/a	n/a	non-brg	2.0
SAC CHICAGO ANDREW	031	XRT	SS	100,000	48.45	n/a	n/a	3,500.00	3.5
DAVIDSON KEMPNER ADVISOR	040	X	C	30,000	53.60	n/a	n/a	1,500.00	5.0
TOTAL (Trade Date):							170,834.27		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	03/14	COLUMBUS CIRCLE	036	ROVI	S	1,433	54.27	n/a	n/a	57.32 4.0
TOTAL (AO, CXL, CRT) :										57.32

TOTAL (Trade Date):	170,834.27
TOTAL (AO, CXL, CRT):	57.32

TOTAL (RUN DATE) / NFS:	170,891.59
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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 15-Mar.

CPKI

MRI Securities without Trade Activity on 15-Mar.

DFS, PNRA

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

T-Date = 12%

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)