



Daily Compliance Activity Report

Trade Date: 04/04/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f CHRISTOPHER ROBERT C	FID	ANR	S	125	61.55	n/a	n/a	0.00	0.0
KLEINHEINZ CAP PART	031	AN	S	75,000	34.62	n/a	9-Feb	3,750.00	5.0
B BUCK CAPITAL MGMT		ASNA	S	20,000	32.15	n/a	n/a	non-brg	1.0
STRONG/MARK GRONET	030	ASTI	S	350,000	1.82	n/a	n/a	3,500.00	1.0
BNP PARIBAS SEC	040	AVY	SS	20,000	41.93	n/a	10-Mar	1,000.00	5.0
BMO NESBITT BURNS	041	AXL	SS	4,000	12.46	n/a	9-Feb	200.00	5.0
f JONATHAN RICHARD HAR	FID	BODY	B	120	23.77	n/a	n/a	0.00	0.0
CATAPULT	040	CAT	SS	5,000	112.82	n/a	28-Jan	200.00	4.0
f DAVID GEORGE BUCK	FID	CAT	B	1000	113.19	n/a	28-Jan	0.00	0.0
f STEFFANIE CARMELA CA	FID	CHCG	S	1300	0.14	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	266	CNA	B	10,800	30.53	n/a	n/a	432.00	4.0
SAC CAP/ROSEN FOR BOBBY	044	COG	B	19,703	53.96	4-Apr	4-Apr	689.61	3.5
NEWLAND CAPITAL MGT	025	CPE	B	25,000	7.80	n/a	n/a	750.00	3.0
f HARALAMBOS EFSTATHI	FID	CPN	S	1210	15.91	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	266	CRR	S	1,100	143.15	n/a	11-Jan	44.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f ALICE BEEBE LONGLEY	FID	DEFIX	B	1582	31.60	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		DSW	B	24,650	40.87	n/a	11-Feb	non-brg	4.0
ß BUCK CAPITAL MGMT		EAT	C	20,000	24.90	n/a	26-Jan	non-brg	4.0
KLEINHEINZ CAP PART	031	EBAY	S	150,000	30.98	n/a	n/a	7,500.00	5.0
THOMPSON SIEGAL&WALMSLEY	029	ENDP	S	60,293	38.73	n/a	4-Apr	2,411.72	4.0
AVESTA CAP	229	ETN	B	25,000	55.63	n/a	1-Mar	750.00	3.0
f ANGELOS EFSTATHIOU	FID	EWJ	S	500	10.19	n/a	n/a	0.00	0.0
OHIO PERS	047	FFIV	S	37,000	94.16	n/a	n/a	1,110.00	3.0
ROYCE TRADING	012	FINL	B	17,500	19.74	n/a	25-Mar	875.00	5.0
Õ Doug Rogers		FOR	S	100	19.07	n/a	7-Feb	0.00	0.0
Õ Doug Rogers		FOR	S	300	19.07	n/a	7-Feb	0.00	0.0
Õ Doug Rogers		FOR	S	300	19.07	n/a	7-Feb	0.00	0.0
Õ Doug Rogers		FOR	S	500	19.07	n/a	7-Feb	0.00	0.0
PERRY PARTNERS	085	F	S	71,216	15.63	n/a	4-Apr	3,560.80	5.0
PARAMETER CAPITAL MGMT LLC	044	GD	B	20,000	73.00	n/a	15-Feb	800.00	4.0
CAMBIAR CAP	046	GLW	B	227,500	20.62	n/a	23-Mar	9,100.00	4.0
LATEFF MGMT	035	GLW	B	500	20.64	n/a	23-Mar	50.00	10.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COOPER CREEK PART	028	GME	S	15,000	22.54	n/a	n/a	600.00	4.0
AVESTA CAP	229	HON	B	100,000	59.29	n/a	10-Mar	3,000.00	3.0
f ALICE BEEBE LONGLEY	FID	HOT	B	200	57.18	n/a	29-Mar	0.00	0.0
FARALLON CAP MGMT	040	INTC	SS	110,000	19.57	n/a	n/a	3,300.00	3.0
LATEFF MGMT	035	INTC	B	500	19.47	n/a	n/a	50.00	10.0
f CHRISTOPHER ROBERT C	FID	IP	B	200	30.16	n/a	17-Mar	0.00	0.0
THRIVENT ASSET MGMT	030	IWM	S	61,334	84.82	n/a	n/a	2,453.36	4.0
f ALICE BEEBE LONGLEY	FID	JATTX	B	2772	18.04	n/a	n/a	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	KWS	S	500	11.38	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	LNCR	B	1500	29.65	n/a	n/a	0.00	0.0
KAYNE ANDERSON ADV	084	LPHI	S	32,905	8.05	n/a	n/a	1,316.20	4.0
FIRST NY SEC/CHRIS	041	LPX	SS	15,000	10.71	n/a	10-Feb	750.00	5.0
SCOPUS FUND	041	LPX	SS	50,000	10.48	n/a	10-Feb	2,000.00	4.0
WEINTRAUB CAPITAL MGT.	040	LPX	SS	50,000	10.37	n/a	10-Feb	2,000.00	4.0
B BUCK CAPITAL MGMT		LTD	B	30,000	33.13	n/a	n/a	non-brg	4.0
CAPITAL GROWTH MGMT.	241	LUV	S	250,000	12.34	n/a	n/a	10,000.00	4.0
CATAPULT	040	LYB	SS	20,000	40.57	n/a	n/a	800.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OSKIE CAPITAL MGMT	224	LYB	B	5,000	40.66	n/a	n/a	250.00	5.0
GREEN ARROW DOUG	040	LYV	B	2,700	9.85	n/a	n/a	135.00	5.0
CAPITAL GROWTH MGMT.	241	MEE	B	100,000	70.81	n/a	n/a	5,000.00	5.0
f DAVID GEORGE BUCK	FID	MHS	S	1500	57.04	n/a	n/a	0.00	0.0
LATEFF MGMT	035	MMM	S	350	93.73	n/a	28-Mar	70.00	20.0
GLENHILL CAPITAL	036	MTOR	B	50,000	16.87	n/a	n/a	2,500.00	5.0
Õ Doug Rogers		MWA	B	5100	4.51	n/a	n/a	0.00	0.0
f NICOLAS EVAN PAKLER	FID	MWV	B	160	31.35	n/a	1-Apr	0.00	0.0
WHITE PINE CAPITAL	030	MWV	B	27,175	31.14	n/a	1-Apr	1,358.75	5.0
CR INTRINIC INVESTMENT	044	M	B	10,000	24.03	n/a	31-Mar	350.00	3.5
SMITH MGMT LLC	029	NDN	B	42,200	19.61	n/a	31-Mar	2,110.00	5.0
ß BUCK CAPITAL MGMT		NWY	S	30,000	6.90	n/a	n/a	non-brg	1.0
SENATOR INVESTMENT GROUP	036	OIH	B	15,000	165.98	n/a	n/a	450.00	3.0
CATAPULT	040	OI	SS	5,000	30.24	n/a	n/a	200.00	4.0
f DAVID GEORGE BUCK	FID	OSUR	B	3000	8.07	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	266	PRA	B	7,900	63.80	n/a	n/a	316.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PARAMETER CAPITAL MGMT LLC	044	PRU	B	30,000	62.98	n/a	n/a	1,200.00	4.0
CATAPULT	040	RKT	SS	5,000	69.80	n/a	n/a	200.00	4.0
EPOCH INV MGMT	030	RKT	B	60,000	69.66	n/a	n/a	1,800.00	3.0
B BUCK CAPITAL MGMT		RRR	S	175,000	14.67	n/a	12-Jan	non-brg	2.0
B BUCK CAPITAL MGMT		RRR	S	50,000	14.64	n/a	12-Jan	non-brg	2.5
WEISS PECK	040	SCVL	S	3,400	27.69	n/a	n/a	170.00	5.0
B BUCK CAPITAL MGMT		SHOO	S	30,000	48.83	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SODA	B	40,000	43.04	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		SODA	S	5,230	45.33	n/a	n/a	non-brg	2.5
CATAPULT	040	SON	SS	5,000	36.65	n/a	n/a	200.00	4.0
TALPION LLC	040	SPLS	B	6,200	20.25	n/a	n/a	248.00	4.0
SAC CRIB	044	SPY	B	25,000	133.28	n/a	n/a	875.00	3.5
f DAVID GEORGE BUCK	FID	STD	B	2000	11.85	n/a	n/a	0.00	0.0
MA CAPITAL MGMT/MELLON ADV	041	TGT	B	2,000	50.46	n/a	31-Mar	100.00	5.0
f JOHN MICHAEL ZOLIDIS	FID	TIF	S	100	62.11	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	V	S	1000	74.98	n/a	7-Mar	0.00	0.0
f DAVID GEORGE BUCK	FID	WBC	S	1500	62.41	n/a	11-Feb	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	WY	SS	15,000	25.10	n/a	4-Feb	600.00	4.0
WHITE PINE CAPITAL	030	WY	S	19,430	24.95	n/a	4-Feb	971.50	5.0
f JOEL GIFFORD TISS	FID		S	25000	6.51	n/a	n/a	0.00	0.0
TOTAL (Trade Date) :								82,096.94	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	04/01	SCOPUS FUND	041	BUD	SS	25,000	58.85	n/a	29-Mar	1000.00 4.0
AO,CXL	04/01	SCOPUS FUND	041	BUD	SS	25,000	58.85	n/a	29-Mar	1000.00 4.0
AO,	04/01	SENATOR INVESTMENT GROUP	040	EEM	B	305,000	49.39	n/a	n/a	9150.00 3.0
AO,CXL	04/01	SCOPUS FUND	041	IR	B	50,000	48.54	n/a	4-Mar	2000.00 4.0
AO,CRT	04/01	SCOPUS FUND	041	IR	B	50,000	48.54	n/a	4-Mar	2000.00 4.0
AO,	04/01	COLUMBUS CIRCLE	036	JDSU	B	2,775	19.80	n/a	n/a	111.00 4.0
AO,CXL	04/01	SCOPUS FUND	041	MWV	B	100,000	31.08	n/a	1-Apr	4000.00 4.0
AO,CRT	04/01	SCOPUS FUND	041	MWV	B	100,000	31.08	n/a	1-Apr	4000.00 4.0
AO,CRT	04/01	SCOPUS FUND	041	NOC	B	75,000	63.21	n/a	23-Mar	3000.00 4.0
AO,CXL	04/01	SCOPUS FUND	041	NOC	B	75,000	63.21	n/a	23-Mar	3000.00 4.0
AO,CXL	04/01	SCOPUS FUND	041	PNRA	SS	50,000	127.61	n/a	15-Mar	2000.00 4.0
AO,CRT	04/01	SCOPUS FUND	041	PNRA	SS	50,000	127.61	n/a	15-Mar	2000.00 4.0
AO,	04/01	ROBX	084	RVBD	S	125,000	35.27	n/a	n/a	5000.00 4.0
TOTAL (AO, CXL, CRT) :										14,261.00

TOTAL (Trade Date):	82,096.94
TOTAL (AO, CXL, CRT):	14,261.00

TOTAL (RUN DATE) / NFS:

96,357.94

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CXL	04/01	BUCK CAPITAL MGMT.	HAL	S	30,000	49.77	n/a	n/a	1200.00
CRT	04/01	BUCK CAPITAL MGMT	HAL	S	30,000	49.80	n/a	n/a	1200.00 4.0

MRI Securities with Trade Activity on 4-Apr.

COG

MRI Securities without Trade Activity on 4-Apr.

JCI

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

T-Date = 0%

YTD = 4%

<u>Legend:</u>
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)