



Daily Compliance Activity Report

Trade Date: 05/10/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MACQUARIE INVESTMENT MGMT.	040	ABG	B	25,000	17.25	n/a	28-Apr	0.00	0.0
PZENA INV ADV	044	AEL	B	1,625	13.00	n/a	n/a	56.88	3.5
LATEFF MGMT	035	ALL	B	1,250	33.37	n/a	n/a	125.00	10.0
PATTEN & PATTEN	025	AML	B	1,500	16.12	n/a	n/a	75.00	5.0
BNP PARIBAS SEC	040	ANF	S	25,000	74.66	n/a	6-May	1,250.00	5.0
PATTEN & PATTEN	025	APD	S	100	94.51	n/a	27-Apr	5.00	5.0
f JONATHAN RICHARD HAR	FID	ARCO	S	20	0.43	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ARO	SS	20,000	21.76	n/a	6-May	non-brg	4.0
BALYASNY ASSET MGMT	044	ASNA	SS	20,000	31.41	n/a	n/a	1,000.00	5.0
PATTEN & PATTEN	025	BAB	B	500	26.26	n/a	n/a	25.00	5.0
f DAVID GEORGE BUCK	FID	BAC	S	4000	12.30	n/a	15-Apr	0.00	0.0
PATTEN & PATTEN	025	BAC	S	600	12.24	n/a	15-Apr	30.00	5.0
LATEFF MGMT	035	BA	S	500	79.98	n/a	4-May	75.00	15.0
AVESTA CAP	229	BDX	C	47,782	87.71	n/a	n/a	1,433.46	3.0
B BUCK CAPITAL MGMT		BID	B	20,000	42.59	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		BID	B	20,000	43.50	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BID	B	22,500	42.92	n/a	n/a	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	BZ	B	600	8.66	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	CAH	S	1000	45.00	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	CI	S	1500	47.00	n/a	n/a	0.00	0.0
KLEINHEINZ CAP PART	031	CLX	SS	50,000	69.53	n/a	9-May	2,500.00	5.0
PERRY PARTNERS	085	CSE	S	50,000	6.32	n/a	n/a	2,500.00	5.0
PATTEN & PATTEN	025	CTXS	S	100	83.36	n/a	n/a	5.00	5.0
PROSPECTOR PARTNERS LLC	036	CW	B	10,000	33.64	n/a	n/a	400.00	4.0
f CHRISTINE MARIE NORM	FID	C	S	5	44.20	n/a	18-Apr	0.00	0.0
B BUCK CAPITAL MGMT		DIA	SS	38,339	127.11	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		DKS	SS	10,000	41.96	n/a	8-Mar	non-brg	4.0
B BUCK CAPITAL MGMT		DSW	B	50,000	44.98	n/a	11-Feb	non-brg	4.0
f REUBEN D DVORETSKY	FID	EDAC	B	1225	4.23	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	EL	S	50	102.60	n/a	6-May	0.00	0.0
LATEFF MGMT	035	ENR	S	1,500	76.44	n/a	28-Apr	225.00	15.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	ETN	S	125	51.74	n/a	20-Apr	6.25	5.0
PATTEN & PATTEN	025	EWC	S	500	32.73	n/a	n/a	25.00	5.0
PATTEN & PATTEN	025	EWZ	S	100	74.60	n/a	n/a	5.00	5.0
f CHRISTOPHER ROBERT C	FID	FBR	S	250	15.38	n/a	n/a	0.00	0.0
ROYCE TRADING	012	FINL	B	3,000	22.24	n/a	10-May	150.00	5.0
BNP PARIBAS SEC	040	FL	S	31,200	22.42	n/a	3-Mar	1,560.00	5.0
PZENA INV ADV	044	FRX	B	2,800	34.34	n/a	9-May	98.00	3.5
OZ MGMT	040	F	C	160,254	15.15	n/a	4-May	4,807.62	3.0
PATTEN & PATTEN	025	GDX	S	160	56.86	n/a	n/a	8.00	5.0
SIGMA CAPITAL ASSOCIATES	041	GIL	B	25,000	37.46	n/a	25-Apr	875.00	3.5
PATTEN & PATTEN	025	GLD	B	25	147.70	n/a	n/a	1.25	5.0
f MANNY I KORMAN	FID	GM	S	10000	31.53	n/a	6-May	0.00	0.0
SIGMA CAPITAL ASSOCIATES	041	GPS	B	50,000	23.03	n/a	n/a	1,750.00	3.5
PZENA INV ADV	044	HII	B	1,300	39.99	n/a	n/a	45.50	3.5
BRONSON POINT	036	HOG	B	10,000	38.27	n/a	n/a	300.00	3.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	MARC PAUL LUCHANSKY	FID	HOTT	B	2000	7.73	n/a	n/a	0.00	0.0
	PZENA INV ADV	044	HPQ	B	10,700	41.70	n/a	n/a	374.50	3.5
f	DAVID GEORGE BUCK	FID	HS	B	2000	43.44	n/a	n/a	0.00	0.0
	JANA CAPITAL	044	IP	C	50,000	32.85	n/a	28-Apr	2,000.00	4.0
B	BUCK CAPITAL MGMT		IWO	SS	49,915	96.84	n/a	n/a	non-brg	2.0
	PZENA INV ADV	044	JAKK	B	1,875	20.46	n/a	n/a	65.63	3.5
	GREEN ARROW DOUG	040	JNY	B	20,000	12.90	n/a	28-Apr	1,000.00	5.0
	PZENA INV ADV	044	JNY	B	850	12.92	n/a	28-Apr	29.76	3.5
f	KAREN F LEDDY	FID	KBH	B	1100	11.55	n/a	n/a	0.00	0.0
	LATEFF MGMT	035	KFT	S	1,500	34.10	n/a	n/a	150.00	10.0
	LATEFF MGMT	035	KR	S	7,000	24.47	n/a	n/a	650.00	9.5
	MA CAPITAL MGMT/MELLON ADV041	KSS	B	2,000	52.36	n/a	6-May	100.00	5.0	
	MA CAPITAL MGMT/MELLON ADV041	KSS	S	2,000	52.97	n/a	6-May	100.00	5.0	
f	KAREN F LEDDY	FID	LAZ	B	400	39.89	n/a	27-Apr	0.00	0.0
f	JOHN MICHAEL ZOLIDIS	FID	LIZ	S	2000	6.46	n/a	7-Oct	0.00	0.0
	TALPION LLC	040	LOW	S	5,000	26.10	n/a	25-Apr	200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BMO NESBITT BURNS	041	LPX	B	20,000	8.70	n/a	10-May	600.00	3.0
MA CAPITAL MGMT/MELLON ADV	041	LPX	B	3,500	8.75	n/a	10-May	175.00	5.0
PATTEN & PATTEN	025	MCD	B	100	79.64	n/a	9-May	5.00	5.0
B BUCK CAPITAL MGMT		MDY	SS	26,489	182.37	n/a	n/a	non-brg	2.0
f CHRISTOPHER ROBERT C	FID	MERC	B	400	12.75	n/a	n/a	0.00	0.0
MATRIX ASSET ADV.	091	MHP	S	2,000	42.00	n/a	n/a	80.00	4.0
f IAN L MILLER	FID	MRK	S	25	36.75	n/a	n/a	0.00	0.0
BERMAN CAPITAL MGMT	046	MSFT	S	30,000	25.48	n/a	n/a	1,500.00	5.0
f KAREN F LEDDY	FID	MTH	B	500	22.49	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	MTW	B	600	19.40	n/a	3-May	0.00	0.0
LEVIN CAPITAL STRATEGIES	012	M	B	50,000	26.47	n/a	6-May	1,500.00	3.0
COOPER CREEK PART	028	NP	SS	12,500	22.83	n/a	15-Apr	500.00	4.0
f ANTHONY SUTERA	FID	NTC	B	5000	13.16	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	NUAN	B	300	21.64	n/a	n/a	15.00	5.0
PATTEN & PATTEN	025	PGX	B	1,500	14.47	n/a	n/a	75.00	5.0
MERRILL ASSET/BLACKROCK	297	RJF	S	15,700	35.29	n/a	n/a	628.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SONTERRA CAP	041	RKT	S	20,000	71.21	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	RL	S	15,000	132.23	n/a	25-Apr	450.00	3.0
NEUBERGER BERMAN	036	ROL	B	12,800	20.53	n/a	n/a	512.00	4.0
B BUCK CAPITAL MGMT		RTH	SS	21,600	112.15	n/a	n/a	non-brg	2.0
BRONSON POINT	036	SEE	S	5,000	26.07	n/a	n/a	150.00	3.0
BRONSON POINT	036	SPR	S	10,000	23.62	n/a	5-May	300.00	3.0
B BUCK CAPITAL MGMT		SPY	SS	21,414	135.35	n/a	n/a	non-brg	2.0
f DAVID GEORGE BUCK	FID	SYK	S	1500	60.66	n/a	n/a	0.00	0.0
FIRST NEW YORK LEDDY	035	S	B	20,000	5.28	n/a	n/a	800.00	4.0
FIRST NEW YORK NICK	029	S	S	10,000	5.30	n/a	n/a	500.00	5.0
NEUBERGER BERMAN	036	TECH	B	10,300	79.59	n/a	n/a	412.00	4.0
LATEFF MGMT	035	TEVA	B	300	46.85	n/a	10-May	60.00	20.0
PATTEN & PATTEN	025	TIP	S	250	110.99	n/a	n/a	12.50	5.0
M&I FUNDS	047	TJX	S	29,051	53.20	n/a	6-May	1,162.04	4.0
PIONEER PATH	028	TSN	B	100,000	17.88	n/a	n/a	3,000.00	3.0
f ALEXANDRA ELISE ZOLI	FID	UA	B	100	66.20	n/a	27-Apr	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	JOHN MICHAEL ZOLIDIS	FID	UA	B	50	66.23	n/a	27-Apr	0.00	0.0
ß	BUCK CAPITAL MGMT		URBN	S	100,000	32.19	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		URBN	S	40,000	32.91	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		URBN	S	50,000	32.48	n/a	n/a	non-brg	4.0
f	KAREN F LEDDY	FID	URRE	S	7000	1.74	n/a	n/a	0.00	0.0
f	KAREN F LEDDY	FID	URZ	S	3000	2.96	n/a	n/a	0.00	0.0
f	CHRISTOPHER ROBERT C	FID	USG	B	300	14.92	n/a	20-Apr	0.00	0.0
	PZENA INV ADV	044	VVI	S	7,042	25.03	n/a	n/a	246.47	3.5
f	DAVID GEORGE BUCK	FID	V	S	20	1.45	n/a	6-May	0.00	0.0
	MATRIX ASSET ADV.	091	WAG	S	1,500	43.21	n/a	n/a	60.00	4.0
	BNP PARIBAS SEC	040	WRC	B	49,800	56.98	n/a	6-May	2,490.00	5.0
f	CHRISTOPHER ROBERT C	FID	XLF	B	400	16.23	n/a	n/a	0.00	0.0
f	ANTHONY SUTERA	FID		B	25000	99.10	n/a	n/a	0.00	0.0
f	ANTHONY SUTERA	FID		S	25000	105.25	n/a	n/a	0.00	0.0
TOTAL (Trade Date):									40,039.86	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	05/09	MACQUARIE INVESTMENT MGMT.	040	AAP	SS	2,500	65.62	n/a	n/a	100.00 4.0
AO,CRT	05/09	MACQUARIE INVESTMENT MGMT.	040	AAP	SS	2,500	65.62	n/a	n/a	0.00 0.0
AO,CRT	05/06	EVERCORE WEALTH MGMT	012	CYB	B	10,000	25.58	n/a	n/a	500.00 5.0
AO,CXL	05/06	EVERCORE WEALTH MGMT	012	CYB	B	10,000	25.58	n/a	n/a	400.00 4.0
AO,	05/09	ENTRUST CAPITAL	040	ITT	B	13,400	57.89	n/a	4-May	670.00 5.0
AO,CRT	05/09	MACQUARIE INVESTMENT MGMT.	040	LOW	B	10,000	25.81	n/a	25-Apr	0.00 0.0
AO,CXL	05/09	MACQUARIE INVESTMENT MGMT.	040	LOW	B	10,000	25.81	n/a	25-Apr	400.00 4.0
AO,CRT	05/09	MACQUARIE INVESTMENT MGMT.	040	NDN	B	5,000	20.32	n/a	29-Apr	0.00 0.0
AO,CXL	05/09	MACQUARIE INVESTMENT MGMT.	040	NDN	B	5,000	20.32	n/a	29-Apr	200.00 4.0
AO,CRT	05/09	MACQUARIE INVESTMENT MGMT.	040	NWY	B	5,000	5.60	n/a	n/a	0.00 0.0
AO,CXL	05/09	MACQUARIE INVESTMENT MGMT.	040	NWY	B	5,000	5.60	n/a	n/a	200.00 4.0
AO,	05/09	NOMURA CAPITAL	029	TXI	SS	2,200	40.02	n/a	n/a	66.00 3.0
TOTAL (AO, CXL, CRT) :										-64.00

TOTAL (Trade Date):	40,039.86
TOTAL (AO, CXL, CRT):	-64.00

TOTAL (RUN DATE) / NFS:

39,975.86

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 10-May.
NONE

MRI Securities without Trade Activity on 10-May.
IFF

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 3%
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)