



Daily Compliance Activity Report

Trade Date: 04/18/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Õ May Tang		AAPL	B	50	324.64	n/a	n/a	0.00	0.0
PZENA INV ADV	044	ABT	B	21,250	51.34	n/a	n/a	743.75	3.5
TALPION LLC	040	ABV	S	20,000	29.71	n/a	n/a	800.00	4.0
f CHRISTOPHER ROBERT C	FID	AONE	S	1000	6.13	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		ARCO	B	25,000	21.25	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		ARCO	B	25,000	21.38	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		ASNA	S	50,000	32.21	n/a	n/a	non-brg	4.0
WAGONHOUND/NIC	048	AXE	B	2,110	70.19	n/a	24-Mar	84.40	4.0
f JONATHAN RICHARD HAR	FID	AXL	B	1195	11.05	n/a	13-Apr	0.00	0.0
f DAVID GEORGE BUCK	FID	BAC	S	3000	12.36	n/a	15-Apr	0.00	0.0
f KAREN F LEDDY	FID	BEE	S	1500	6.05	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT	001	BID	B	20,000	47.99	n/a	n/a	600.00	3.0
ß BUCK CAPITAL MGMT		BID	B	10,000	47.51	n/a	n/a	non-brg	4.0
FARALLON CAP MGMT	040	BMC	B	152,081	49.06	n/a	n/a	6,083.24	4.0
CLOVIS CAPITAL	012	BMS	SS	50,000	31.57	n/a	n/a	1,500.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		BONT	B	7,500	13.49	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BYD	B	30,000	8.87	n/a	n/a	non-brg	3.0
SCOPUS FUND	041	CBS	B	25,000	24.02	n/a	n/a	1,000.00	4.0
f JONATHAN RICHARD HAR	FID	CHRS	B	220	4.55	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	CHS	S	40,000	14.49	n/a	5-Feb	1,200.00	3.0
f DAVID GEORGE BUCK	FID	CMA	S	2000	37.32	n/a	n/a	0.00	0.0
Õ Nilsa Vazquez		CRUS	B	500	15.21	n/a	n/a	0.00	0.0
LAGRANGE CAP ADV	048	CSCO	B	10,000	16.70	n/a	n/a	500.00	5.0
GOLD SACHS SPECIAL SIT	030	CVGI	B	47,100	16.30	n/a	n/a	2,355.00	5.0
f JONATHAN RICHARD HAR	FID	CVGI	B	150	16.51	n/a	n/a	0.00	0.0
f MICHAEL C PERILLO	FID	CVGI	B	125	16.46	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	DAN	B	840	16.52	n/a	13-Apr	0.00	0.0
CASTLEROCK	040	DNDN	B	76,456	41.61	n/a	n/a	3,058.24	4.0
B BUCK CAPITAL MGMT		DPZ	B	50,000	18.05	n/a	11-Apr	non-brg	4.0
ENTRUST CAPITAL	040	EBAY	B	25,300	30.58	n/a	n/a	1,265.00	5.0
B BUCK CAPITAL MGMT		FINL	S	50,000	20.71	n/a	25-Mar	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	012	FINL	B	22,000	20.70	n/a	25-Mar	1,100.00	5.0
SCOPUS FUND	041	FL	B	40,000	20.98	n/a	3-Mar	1,600.00	4.0
MELLON/BANK OF NEW YORK	046	FNFG	B	149,740	13.70	n/a	n/a	5,989.60	4.0
BUCK CAPITAL MGMT	001	GCO	S	20,000	39.13	n/a	n/a	600.00	3.0
ROTHSCHILD ASSET	040	GE	B	143,281	19.76	n/a	n/a	5,731.24	4.0
B BUCK CAPITAL MGMT		GIL	S	20,000	35.32	n/a	12-Apr	non-brg	4.0
PHILADELPHIA FINANCIAL	033	GM	C	42,489	30.12	n/a	13-Apr	1,699.56	4.0
CAMBIAR CAP	046	HBI	B	150,000	27.87	n/a	14-Apr	6,000.00	4.0
M&I FUNDS	047	INTC	S	46,034	19.53	n/a	n/a	1,841.36	4.0
f MANNY I KORMAN	FID	JCI	S	4000	38.26	n/a	4-Apr	0.00	0.0
TALPION LLC	040	JCP	SS	3,000	37.00	n/a	8-Apr	120.00	4.0
CAXTON PART	040	JPM	B	41,385	43.90	n/a	13-Apr	1,448.50	3.5
TALPION LLC	040	KMB	B	3,500	65.54	n/a	18-Feb	140.00	4.0
f JOHN MICHAEL ZOLIDIS	FID	KMX	B	100	32.80	n/a	n/a	0.00	0.0
PIONEER PATH	028	KO	SS	25,000	67.28	n/a	18-Feb	750.00	3.0
B BUCK CAPITAL MGMT		LVS	B	100,000	43.32	n/a	8-Apr	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAC TRADING TOM LEDDY	035	MCD	B	25,000	77.00	n/a	15-Apr	875.00	3.5
B BUCK CAPITAL MGMT		MSMSDAH	SS	75,000	98.29	n/a	n/a	non-brg	9.8
B BUCK CAPITAL MGMT		MVRX	SS	35,000	217.89	n/a	n/a	non-brg	21.8
DELTEC ASSET MGMT.	040	MWA	B	14,000	4.01	n/a	n/a	420.00	3.0
WAGONHOUND/NIC	048	MWV	B	23,598	31.37	n/a	14-Apr	943.92	4.0
BNP PARIBAS SEC	040	OMX	B	40,000	11.98	n/a	n/a	2,000.00	5.0
B BUCK CAPITAL MGMT		OXM	S	35,000	33.11	n/a	n/a	non-brg	2.5
LONG OAR GLOBAL INV	040	PCX	S	65,800	23.45	n/a	n/a	2,632.00	4.0
PIONEER PATH	028	PEP	B	20,000	67.15	n/a	n/a	600.00	3.0
BACKBAY	041	PKG	SS	25,000	27.67	n/a	14-Apr	1,250.00	5.0
BNP PARIBAS SEC	040	PKG	SS	20,000	27.54	n/a	14-Apr	1,000.00	5.0
CSFB GLOBAL PROPRIETARY	041	PKG	SS	25,000	27.88	n/a	14-Apr	1,250.00	5.0
FIRST NY SEC/CHRIS	041	PKG	SS	10,000	27.86	n/a	14-Apr	500.00	5.0
ROYCE TRADING	012	PLCE	B	19,500	51.90	n/a	9-Mar	975.00	5.0
BRANDWINE	028	PLXS	B	27,106	32.75	n/a	n/a	1,084.24	4.0
f WILLIAM WEINBERG	FID	PVWIF	B	25000	1.70	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		PZZA	SS	10,000	30.80	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		SAH	B	20,000	12.91	n/a	n/a	non-brg	4.0
f JONATHAN RICHARD HAR	FID	SBUX	B	50	35.12	n/a	11-Apr	0.00	0.0
SCOPUS FUND	041	SPAR	S	16,000	6.01	n/a	n/a	640.00	4.0
f DAVID GEORGE BUCK	FID	STI	B	2000	27.81	n/a	n/a	0.00	0.0
FIRST NEW YORK NICK	029	S	S	10,000	4.73	n/a	n/a	500.00	5.0
TALPION LLC	040	TAP	B	2,500	47.67	n/a	n/a	100.00	4.0
B BUCK CAPITAL MGMT		TEX	B	40,000	31.35	n/a	11-Feb	non-brg	4.0
DELTEC ASSET MGMT.	040	TEX	B	11,000	31.45	n/a	11-Feb	550.00	5.0
MERRILL ASSET/BLACKROCK	266	TTI	B	2,320	13.98	n/a	n/a	92.80	4.0
B BUCK CAPITAL MGMT		URBN	B	20,000	29.97	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		VFC	S	80,000	99.00	n/a	14-Mar	non-brg	4.0
FARALLON CAP MGMT	040	WFC	B	190,000	29.47	n/a	13-Apr	7,600.00	4.0
B BUCK CAPITAL MGMT		XLF	C	52,000	15.90	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		XRT	C	28,000	51.28	n/a	n/a	non-brg	2.0
TOTAL (Trade Date):								69,222.85	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	04/15	SCOPUS FUND	041	FINL	S	10,000	21.00	n/a	25-Mar	400.00 4.0
AO,CXL	04/15	SCOPUS FUND	041	FINL	S	10,000	21.00	n/a	25-Mar	400.00 4.0
AO,	04/15	CAMBIAR CAP	046	HBI	B	100,000	27.89	n/a	14-Apr	4000.00 4.0
AO,	04/15	COLUMBUS CIRCLE	036	ICO	S	8,847	10.77	n/a	n/a	353.88 4.0
AO,CRT	04/14	STANDARD PACIFIC CAPITAL	040	OI	B	93,161	29.88	n/a	n/a	4658.05 5.0
AO,CXL	04/14	STANDARD PACIFIC CAPITAL	040	OI	B	93,161	29.88	n/a	n/a	3726.44 4.0
TOTAL (AO, CXL, CRT) :										5,285.49

TOTAL (Trade Date) :	69,222.85
TOTAL (AO, CXL, CRT) :	5,285.49

TOTAL (RUN DATE) / NFS :	74,508.34
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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 18-Apr.
NONE

MRI Securities without Trade Activity on 18-Apr.
NONE

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)