



Daily Compliance Activity Report

Trade Date: 04/20/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GALT INVESTMENT	041	ABG	S	10,000	17.23	n/a	13-Apr	500.00	5.0
PZENA INV ADV	044	ALL	B	2,000	31.30	n/a	n/a	70.00	3.5
ARMATURE CAPITAL	041	ALV	SS	25,000	78.03	n/a	13-Apr	1,000.00	4.0
BNP PARIBAS SEC	040	ALV	SS	10,000	77.69	n/a	13-Apr	500.00	5.0
⌘ BUCK CAPITAL MGMT		ANF	S	17,000	70.20	n/a	6-Apr	non-brg	4.0
⌘ BUCK CAPITAL MGMT		ARO	SS	33,300	26.26	n/a	11-Mar	non-brg	0.8
⌘ BUCK CAPITAL MGMT		ARO	SS	50,000	26.23	n/a	11-Mar	non-brg	4.0
⌘ BUCK CAPITAL MGMT		ARO	SS	66,700	26.24	n/a	11-Mar	non-brg	4.0
⌘ BUCK CAPITAL MGMT		ASNA	S	30,000	33.01	n/a	n/a	non-brg	4.0
EMERSON CAPITAL MGMT	048	ASNA	S	8,638	32.95	n/a	n/a	259.14	3.0
WAGONHOUND/NIC	048	AXE	B	4,447	72.71	n/a	24-Mar	177.88	4.0
Õ Nilsa Vazquez		BAC	S	1000	12.41	n/a	15-Apr	0.00	0.0
⌘ BUCK CAPITAL MGMT		BID	B	10,000	48.35	n/a	n/a	non-brg	4.0
BNP PARIBAS SEC	040	BLL	SS	10,000	37.07	n/a	n/a	500.00	5.0
BASSWOOD PARTNERS	267	BPOP	S	37,700	3.08	n/a	n/a	1,508.00	4.0
⌘ BUCK CAPITAL MGMT		BYD	B	25,000	9.00	n/a	n/a	non-brg	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GREEN ARROW DOUG	040	BZWS	B	10,000	1.20	n/a	n/a	500.00	5.0
GREEN ARROW DOUG	040	BZ	B	5,500	8.87	n/a	n/a	275.00	5.0
⚡ BUCK CAPITAL MGMT		CAR	S	20,000	19.10	n/a	n/a	non-brg	4.0
GREEN ARROW DOUG	040	CHMT	B	25,000	17.32	n/a	18-Feb	1,250.00	5.0
f KAREN F LEDDY	FID	CHRS	B	2000	4.84	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		CHS	S	30,000	15.07	n/a	5-Feb	non-brg	4.0
⚡ BUCK CAPITAL MGMT		COH	S	12,000	57.22	n/a	14-Apr	non-brg	4.0
⚡ BUCK CAPITAL MGMT		CSTR	S	10,000	47.81	n/a	n/a	non-brg	4.0
f KAREN F LEDDY	FID	CWTR	B	2500	2.70	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		DECK	S	5,000	94.81	n/a	n/a	non-brg	2.5
⚡ BUCK CAPITAL MGMT		DPZ	B	50,000	18.43	n/a	11-Apr	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DSW	S	10,000	45.45	n/a	11-Feb	non-brg	4.0
CASTLE ARK	031	EMR	B	227,309	58.14	n/a	n/a	11,365.45	5.0
RIDGECREST INV MGMT LLC	028	ETN	B	10,000	52.83	20-Apr	20-Apr	500.00	5.0
⚡ BUCK CAPITAL MGMT		EXPR	S	20,000	21.20	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f KAREN F LEDDY	FID	FDML	S	350	25.18	n/a	n/a	0.00	0.0
ROYCE TRADING	012	FINL	B	7,000	21.10	n/a	25-Mar	350.00	5.0
B BUCK CAPITAL MGMT		FOSL	S	9,000	95.85	n/a	n/a	non-brg	4.0
f MARC PAUL LUCHANSKY	FID	FPCIX	B	99	10.47	n/a	n/a	0.00	0.0
BNP PARIBAS SEC	040	F	B	30,000	15.14	n/a	13-Apr	1,500.00	5.0
f FRANCIS MICHAEL MCCA	FID	F	B	1000	14.92	n/a	13-Apr	0.00	0.0
OZ MGMT	040	F	C	116,184	15.15	n/a	13-Apr	3,485.52	3.0
B BUCK CAPITAL MGMT		GCO	S	10,000	41.29	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GIII	S	15,000	41.77	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GIL	S	24,000	36.64	n/a	12-Apr	non-brg	4.0
BNP PARIBAS SEC	040	GM	B	30,000	29.73	n/a	13-Apr	1,500.00	5.0
GREEN ARROW DOUG	040	GM	B	20,000	29.59	n/a	13-Apr	1,000.00	5.0
CORVEX CAPITAL	041	HCA	S	50,000	31.62	n/a	n/a	1,500.00	3.0
GALT INVESTMENT	041	HGG	S	900	12.21	n/a	n/a	36.00	4.0
NOKOMIS PARTNERS	031	HOGS	B	10,100	15.57	n/a	n/a	303.00	3.0
CAVU CAP ADV	028	HON	B	15,217	59.30	n/a	6-Apr	760.85	5.0
f KAREN F LEDDY	FID	HOTT	B	1500	6.61	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		IGT	B	24,600	16.08	n/a	18-Apr	non-brg	1.0
⚡ BUCK CAPITAL MGMT		IGT	B	25,400	16.09	n/a	18-Apr	non-brg	4.0
CIRCLE T/SES PART	033	IGT	B	10,000	16.10	n/a	18-Apr	400.00	4.0
DE SHAW	070	IGT	B	90,000	16.04	n/a	18-Apr	2,700.00	3.0
SUN AMERICA ASSET MGMT	030	INTC	B	3,800	21.18	n/a	n/a	152.00	4.0
CAVU CAP ADV	028	JCI	B	7,500	40.11	n/a	4-Apr	375.00	5.0
DELTEC ASSET MGMT.	040	JPM	S	8,800	44.60	n/a	13-Apr	440.00	5.0
⚡ BUCK CAPITAL MGMT		JWN	S	16,000	47.15	n/a	13-Apr	non-brg	4.0
SIGMA CAPITAL ASSOCIATES	041	KR	SS	50,000	24.14	n/a	n/a	1,750.00	3.5
SANDLER O'NEILL ASSET	031	LAZ	S	16,800	41.60	n/a	13-Apr	840.00	5.0
⚡ BUCK CAPITAL MGMT		LL	B	50,000	23.73	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		LTD	S	35,000	39.33	n/a	n/a	non-brg	4.0
AAD CAPITAL	084	LVS	S	20,000	46.02	n/a	8-Apr	800.00	4.0
⚡ BUCK CAPITAL MGMT		MCD	S	60,000	77.61	n/a	15-Apr	non-brg	4.0
NORTHWESTERN MUTUAL LIFE	047	MGM	S	178,000	13.56	n/a	13-Apr	7,120.00	4.0
KENNEDY CAPITAL	046	MOV	S	14,288	17.01	n/a	n/a	571.52	4.0
GALT INVESTMENT	041	MSSR	S	4,300	9.36	n/a	n/a	129.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BASSWOOD PARTNERS	267	MS	S	6,900	26.14	n/a	13-Apr	276.00	4.0
SUN AMERICA ASSET MGMT	030	MU	B	14,300	10.89	n/a	n/a	572.00	4.0
B BUCK CAPITAL MGMT		MVRX	SS	35,000	223.29	n/a	n/a	non-brg	22.3
f JONATHAN RICHARD HAR	FID	MWA	B	1800	4.14	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	MWA	B	4000	4.16	n/a	n/a	0.00	0.0
WEDBUSH/PACIFIC GROWTH EQTY LLC084	MWV		S	10,000	32.43		n/a 14-Apr	500.00	5.0
B BUCK CAPITAL MGMT		M	S	70,000	24.43	n/a	8-Apr	non-brg	4.0
CAVU CAP ADV	028	NEM	S	8,790	59.32	n/a	n/a	439.50	5.0
SONTERRA CAP	041	PDE	S	30,000	42.66	n/a	n/a	1,200.00	4.0
MA CAPITAL MGMT/MELLON ADV041	PGI		SS	6,000	7.52	n/a	n/a	300.00	5.0
TALKOT CAPITAL LLC	084	PKG	B	5,000	28.00	n/a	19-Apr	200.00	4.0
B BUCK CAPITAL MGMT		PLCE	S	20,000	54.01	n/a	9-Mar	non-brg	2.5
f DAVID GEORGE BUCK	FID	PRWCX	S	3848	21.31	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT	001	PVH	S	20,000	69.71	n/a	30-Mar	600.00	3.0
B BUCK CAPITAL MGMT		PVH	S	17,100	69.76	n/a	30-Mar	non-brg	4.0
B BUCK CAPITAL MGMT	001	RL	S	3,000	131.99	n/a	10-Feb	90.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⌘ BUCK CAPITAL MGMT		RRR	B	25,000	12.80	n/a	12-Jan	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SAH	B	50,000	13.44	n/a	n/a	non-brg	4.0
GALT INVESTMENT	041	SCSS	S	25,000	12.71	n/a	n/a	1,000.00	4.0
⌘ BUCK CAPITAL MGMT		SHOO	S	10,000	50.56	n/a	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		SHOO	S	15,000	50.07	n/a	n/a	non-brg	4.0
CATAPULT	040	SLGN	SS	10,000	46.58	n/a	n/a	400.00	4.0
GREEN ARROW DOUG	040	SLGN	SS	10,000	46.57	n/a	n/a	500.00	5.0
SENATOR INVESTMENT GROUP	036	SLGN	B	25,000	46.57	n/a	n/a	750.00	3.0
SUN AMERICA ASSET MGMT	030	SNDK	S	4,300	47.60	n/a	n/a	172.00	4.0
BASSWOOD PARTNERS	267	SPY	B	2,830	133.01	n/a	n/a	113.20	4.0
DAVIDSON KEMPNER ADVISOR	040	SRX	S	1,380	30.93	n/a	n/a	69.00	5.0
LITESPEED	028	SSCC	S	59,805	39.16	n/a	14-Apr	1,794.15	3.0
CATAPULT	040	STI	B	5,000	27.70	n/a	n/a	200.00	4.0
SUN AMERICA ASSET MGMT	030	STX	B	7,500	18.10	n/a	n/a	300.00	4.0
GREEN ARROW DOUG	040	SYX	SS	10,000	28.89	n/a	n/a	500.00	5.0
FIRST NEW YORK LEDDY	035	S	S	20,000	4.83	n/a	n/a	800.00	4.0
BMO NESBITT BURNS	041	TIN	S	6,000	23.81	n/a	20-Apr	300.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MA CAPITAL MGMT/MELLON ADV	041	TIN	SS	5,000	23.70	n/a	20-Apr	250.00	5.0
SCHOTTENFELD ASSOC	041	TIN	SS	10,000	23.51	n/a	20-Apr	300.00	3.0
GREEN ARROW DOUG	040	TKR	B	10,000	52.23	n/a	n/a	500.00	5.0
CORVEX CAPITAL	041	UAL	S	200,000	20.95	n/a	n/a	6,000.00	3.0
ROSEDALE CAPITAL	046	USB	S	20,000	24.80	n/a	n/a	1,000.00	5.0
BNP PARIBAS SEC	040	USG	B	30,000	15.63	n/a	20-Apr	1,500.00	5.0
TROUBH PART	070	VC	B	10,000	66.91	n/a	n/a	500.00	5.0
f JOSEPH CIRO AMATURO	FID	VXX	S	10000	25.58	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	VXX	S	25000	25.57	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	VXX	S	5000	25.46	n/a	n/a	0.00	0.0
WHITE PINE CAPITAL	030	V	B	8,050	77.56	n/a	13-Apr	402.50	5.0
SONTERRA CAP	041	WMB	S	50,000	31.57	n/a	n/a	2,000.00	4.0
PROSPECTOR PARTNERS LLC	036	WMT	B	10,000	53.80	n/a	5-Apr	400.00	4.0
BUCK CAPITAL MGMT	001	WRC	S	21,400	63.23	n/a	1-Mar	642.00	3.0
f CHRISTOPHER ROBERT C	FID	WY	S	300	22.57	n/a	14-Apr	0.00	0.0
GREEN ARROW DOUG	040	WY	SS	10,000	22.59	n/a	14-Apr	500.00	5.0
TOTAL (Trade Date):								69,188.71	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	04/19	CAVU CAP ADV	028	GT	S	3,710	15.45	n/a	n/a	185.50 5.0
AO,	04/19	CAVU CAP ADV	028	GT	S	6,290	15.45	n/a	n/a	314.50 5.0
AO,CXL	04/19	CAVU CAP ADV	028	GT	S	10,000	15.45	n/a	n/a	500.00 5.0
AO,CXL	04/19	LISTED ERR	097	HCA	B	30,000	32.82	n/a	n/a	0.00 0.0
AO,CXL	04/19	LISTED ERR	099	HCA	S	30,000	32.82	n/a	n/a	0.00 0.0
AO,CRT	04/19	SCOPUS FUND	041	LOW	S	25,000	26.65	n/a	23-Feb	1000.00 4.0
AO,CXL	04/19	SCOPUS FUND	041	LOW	S	25,000	26.65	n/a	23-Feb	1000.00 4.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date) :	69,188.71
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS :	69,188.71
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	04/19	BUCK CAPITAL MGMT	BYD	B	25,000	8.72	n/a	n/a	750.00 3.0

MRI Securities with Trade Activity on 20-Apr.

ETN

MRI Securities without Trade Activity on 20-Apr.

NONE

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)