



Daily Compliance Activity Report

Trade Date: 02/07/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		ABFS	S	10,000	24.03	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ABFS	S	17,800	23.96	n/a	n/a	non-brg	1.0
f THOMAS MACTAGGART LE	FID	ABG	S	400	19.52	n/a	31-Jan	0.00	0.0
RBC CAPITAL MARKETS	040	ADM	S	75,000	35.99	n/a	1-Feb	3,000.00	4.0
f JOSEPH CIRO AMATURO	FID	AEP	B	5000	36.01	n/a	n/a	0.00	0.0
f MICHAEL MARRANO	FID	ALNYX	B	949	9.48	n/a	n/a	0.00	0.0
COUGAR TRADING	044	ALV	B	2,500	75.14	n/a	2-Feb	125.00	5.0
SYSTEMATIC FINANCIAL MGT	035	ANN	S	21,000	24.00	n/a	n/a	630.00	3.0
B BUCK CAPITAL MGMT		ARO	B	120,000	24.87	n/a	4-Feb	non-brg	4.0
HILLIARD LYONS CAP MGMT	047	ATVI	S	9,159	11.80	n/a	n/a	274.77	3.0
B BUCK CAPITAL MGMT		AVY	B	5,000	39.36	n/a	3-Feb	non-brg	4.0
B BUCK CAPITAL MGMT		AVY	C	25,000	39.36	n/a	3-Feb	non-brg	4.0
f EDWARD W WHEELER	FID	AVY	B	6000	39.38	n/a	3-Feb	0.00	0.0
B BUCK CAPITAL MGMT		AXL	S	106,700	14.82	n/a	31-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		AXL	S	113,300	14.89	n/a	31-Jan	non-brg	2.0
COUGAR TRADING	044	AXL	B	2,500	14.67	n/a	31-Jan	125.00	5.0
MILLRACE FUND LP	028	AXL	B	7,000	14.65	n/a	31-Jan	280.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		BIG	S	136,600	38.87	n/a	4-Feb	non-brg	1.0
COUGAR TRADING	044	BWA	B	5,000	69.96	n/a	31-Jan	250.00	5.0
JETSTREAM GLOBAL FUND LP	065	CAR	S	70,800	14.84	n/a	n/a	3,540.00	5.0
MILLENIUM SUB A/C NEW VERNON	085	CDXS	B	50,000	10.74	n/a	n/a	2,000.00	4.0
f CICILY S BACKUS	FID	CGI	S	1000	14.43	n/a	n/a	0.00	0.0
f LBP ENTERPRISES INC	FID	CGI	S	1000	14.44	n/a	n/a	0.00	0.0
f SNEJANA P GARFUNKEL	FID	CGI	S	2000	14.44	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		CNW	S	20,000	32.18	n/a	n/a	non-brg	4.0
COUGAR TRADING	044	DAN	B	2,500	17.30	n/a	31-Jan	125.00	5.0
f CHRISTOPHER ROBERT C	FID	DECK	S	100	82.80	n/a	n/a	0.00	0.0
KENNEDY CAPITAL	046	DPZ	S	50,000	16.54	n/a	7-Jan	2,000.00	4.0
f EDWARD W WHEELER	FID	DXPE	S	100	2.00	n/a	n/a	0.00	0.0
f CICILY S BACKUS	FID	EFT	S	2000	17.22	n/a	n/a	0.00	0.0
f SCOTT L BRUNNER	FID	FAZ	B	5000	7.92	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	FBR	B	300	15.09	n/a	n/a	0.00	0.0
f MICHAEL MARRANO	FID	FHGX	B	581	12.04	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MICHAEL MARRANO	FID	FLTMX	S	1718	9.91	n/a	n/a	0.00	0.0
f MICHAEL MARRANO	FID	FNYTX	B	3945	10.90	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FOSL	S	20,000	76.54	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		FOSL	S	900	76.60	n/a	n/a	non-brg	1.0
f MICHAEL MARRANO	FID	FSTFX	S	103	10.55	n/a	n/a	0.00	0.0
f MICHAEL MARRANO	FID	FTFMX	S	948	12.38	n/a	n/a	0.00	0.0
Õ James Mitchell		F	S	1850	16.25	n/a	2-Feb	0.00	0.0
f CHRISTOPHER ROBERT C	FID	GES	S	100	45.90	n/a	20-Jan	0.00	0.0
BARROW HANLEY MEWHINNEY	031	GE	B	61,000	20.97	n/a	n/a	2,135.00	3.5
S.A.C. CAP/ORENSTEIN	044	GE	SS	100,000	20.83	n/a	n/a	3,500.00	3.5
B BUCK CAPITAL MGMT		GIII	S	4,400	37.01	n/a	n/a	non-brg	4.0
f CICIly S BACKUS	FID	GM	B	2000	37.02	n/a	2-Feb	0.00	0.0
f LBP ENTERPRISES INC	FID	GM	B	1000	37.01	n/a	2-Feb	0.00	0.0
SENATOR INVESTMENT GROUP	036	GM	S	75,000	36.95	n/a	2-Feb	2,250.00	3.0
BNP PARIBAS SEC	040	HD	B	60,000	36.64	n/a	13-Dec	3,000.00	5.0
RBC CAPITAL MARKETS	040	HOT	S	15,000	62.37	n/a	4-Feb	600.00	4.0
JETSTREAM GLOBAL FUND LP	065	HTZ	B	5,000	15.26	n/a	n/a	250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		JNY	SS	64,500	12.88	n/a	21-Jan	non-brg	4.0
FIRST NY SEC/CHRIS	041	KSS	B	10,000	51.72	n/a	7-Feb	500.00	5.0
RBC CAPITAL MARKETS	040	K	B	10,000	53.41	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		LL	S	20,000	27.82	n/a	n/a	non-brg	4.0
TPG-AXON	040	LUV	C	120,000	12.02	n/a	n/a	4,800.00	4.0
RBC CAPITAL MARKETS	040	MCD	S	20,000	73.39	n/a	7-Feb	800.00	4.0
BARROW HANLEY MEWHINNEY	031	MDT	B	32,400	39.50	n/a	n/a	1,134.00	3.5
FIRST NY SEC/CHRIS	041	MGM	B	25,000	15.15	n/a	31-Jan	1,250.00	5.0
f JOHN PATRICK DAVEY	FID	MS	B	1000	30.44	n/a	20-Jan	0.00	0.0
f MARGARET M DAVEY	FID	MS	B	400	30.45	n/a	20-Jan	0.00	0.0
ASCEND PARTNERS	033	M	B	100,000	23.47	n/a	7-Feb	5,000.00	5.0
FIRST NY SEC/CHRIS	041	M	B	10,000	23.29	n/a	7-Feb	500.00	5.0
f MARK ADAM WEINTRAUB	FID	NBRXF	S	200	15.99	n/a	n/a	0.00	0.0
SOROS	036	NCS	S	79,874	13.54	n/a	n/a	3,194.96	4.0
HILLIARD LYONS CAP MGMT	047	NKE	B	1,348	86.68	n/a	n/a	40.44	3.0
f MICHAEL MARRANO	FID	NNYAX	S	1521	10.18	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALLAST CAP	040	ORLY	B	6,200	57.75	n/a	n/a	310.00	5.0
B BUCK CAPITAL MGMT		PAG	S	50,000	18.58	n/a	31-Jan	non-brg	4.0
f MICHAEL MARRANO	FID	PATAX	S	1760	9.36	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	047	PCAR	B	7,825	51.31	n/a	2-Feb	391.25	5.0
f MARC PAUL LUCHANSKY	FID	PCAR	B	500	50.88	n/a	2-Feb	0.00	0.0
SCOPUS FUND	041	PCL	B	8,325	41.02	n/a	1-Feb	333.00	4.0
RBC CAPITAL MARKETS	040	RCL	B	5,000	45.67	n/a	n/a	200.00	4.0
LISTED ERR	099	RCL	B	904	46.36	n/a	n/a	0.00	0.0
LISTED ERR	099	RCL	SS	904	45.70	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		RRR	S	50,000	12.99	n/a	12-Jan	non-brg	2.5
f KAREN F LEDDY	FID	RRR	B	1200	12.99	n/a	12-Jan	0.00	0.0
f SEAN F LEDDY	FID	RRR	B	550	12.99	n/a	12-Jan	0.00	0.0
f THOMAS MACTAGGART LE	FID	RRR	B	800	13.00	n/a	12-Jan	0.00	0.0
VISIUM/BALY BOBBY	044	SBUX	B	25,000	32.40	n/a	27-Jan	1,250.00	5.0
B BUCK CAPITAL MGMT		SCS	B	50,000	10.20	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SCS	B	75,000	10.22	n/a	n/a	non-brg	4.0
f ALEXANDRA ELISE ZOLI	FID	SIRI	S	4000	1.79	n/a	n/a	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	SIRI	S	4000	1.79	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	SLV	S	6000	28.66	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MICHAEL MARRANO	FID	SNWYX	B	540	10.18	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SODA	S	40,000	44.43	n/a	n/a	non-brg	2.5
ISLE RIDGE PARTNERS	041	SPLS	S	50,000	22.38	n/a	n/a	1,500.00	3.0
LITESPEED	028	SSCC	S	70,000	38.80	n/a	7-Jan	2,100.00	3.0
f RAVI SADARANGANI	FID	TEX	S	800	35.60	n/a	22-Oct	0.00	0.0
MERRILL ASSET/BLACKROCK	266	THFF	S	10,589	31.33	n/a	n/a	423.56	4.0
f ALEXANDRA ELISE ZOLI	FID	TIP	B	50	105.85	n/a	n/a	0.00	0.0
f JASON ERIC COHEN	FID	UPL	S	70	50.18	n/a	11-Jan	0.00	0.0
RBC CAPITAL MARKETS	040	UPS	SS	1,036	73.85	n/a	n/a	41.44	4.0
f JONATHAN RICHARD HAR	FID	URRE	B	1000	3.19	n/a	n/a	0.00	0.0
ENTRUST CAPITAL	040	VFC	B	25,200	86.83	n/a	20-Jan	1,260.00	5.0
SIGMA CAPITAL ASSOCIATES	041	VFC	B	63,789	86.87	n/a	20-Jan	2,232.62	3.5
CRAMER ROSENTHAL/SCOTT	012	VIAB	B	11,600	43.93	n/a	n/a	464.00	4.0
f MARC PAUL LUCHANSKY	FID	VMW	B	200	89.72	n/a	n/a	0.00	0.0
f ANTHONY SUTERA	FID	WCRX	S	1000	23.28	n/a	7-Feb	0.00	0.0
f JOSEPH CIRO AMATURO	FID	WEN	S	10075	5.07	n/a	28-Jan	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f CICYLY S BACKUS	FID	WFCPRJ	B	2000	28.04	n/a	n/a	0.00	0.0
f SNEJANA P GARFUNKEL	FID	WFCPRJ	B	1000	28.04	n/a	n/a	0.00	0.0
f CICYLY S BACKUS	FID	WFCPRL	B	200	1052.04	n/a	n/a	0.00	0.0
f LBP ENTERPRI SES INC	FID	WFCPRL	B	100	1051.45	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	WNC	S	2000	11.64	n/a	n/a	0.00	0.0
LEVEL GLOBAL SHARED ACCT	257	WSM	S	50,000	34.59	n/a	n/a	1,500.00	3.0
f KAREN F LEDDY	FID	WY	S	1250	23.40	n/a	4-Feb	0.00	0.0
SCHOTTENFELD ASSOC	041	WY	B	23,600	22.72	n/a	4-Feb	708.00	3.0
f SEAN F LEDDY	FID	WY	S	270	23.39	n/a	4-Feb	0.00	0.0
f THOMAS MACTAGGART LE	FID	WY	S	540	23.39	n/a	4-Feb	0.00	0.0
B BUCK CAPITAL MGMT		XRT	C	104,700	48.38	n/a	n/a	non-brg	2.0
TOTAL (Trade Date):								54,418.04	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									54,418.04
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									54,418.04
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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 7-Feb.
NONE

MRI Securities without Trade Activity on 7-Feb.
MON

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 0%
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)