



Daily Compliance Activity Report

Trade Date: 04/25/2011

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	ABFS	B	300	23.30	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	040	ANR	B	15,000	57.30	n/a	n/a	600.00	4.0
B BUCK CAPITAL MGMT		ARO	SS	20,000	25.74	n/a	11-Mar	non-brg	4.0
B BUCK CAPITAL MGMT		ASNA	S	10,000	32.83	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		ASNA	S	30,000	32.99	n/a	n/a	non-brg	4.0
CIRCLE T/SES PART	033	CAKE	B	15,000	29.42	n/a	21-Apr	600.00	4.0
f GAJANTHAN BALAKANES	FID	CEDC	B	42	11.53	n/a	n/a	0.00	0.0
ROSEDALE CAPITAL	046	CHK	B	25,000	32.64	n/a	n/a	1,250.00	5.0
B BUCK CAPITAL MGMT		CHS	S	50,000	14.87	n/a	5-Feb	non-brg	4.0
f DAVID GEORGE BUCK	FID	CMA	B	2000	36.29	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	COF	B	17,765	54.03	n/a	21-Apr	710.60	4.0
BUCK CAPITAL MGMT	001	COH	S	40,000	56.93	n/a	25-Apr	1,200.00	3.0
TRUST CO/COWEN/CALF.	040	CVX	S	19,878	107.25	n/a	n/a	993.90	5.0
RBC CAPITAL MARKETS	040	CZZ	SS	20,000	11.85	n/a	n/a	800.00	4.0
BUCK CAPITAL MGMT	001	DDS	S	20,000	45.04	n/a	n/a	600.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		DDS	S	40,000	45.42	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DECK	S	20,000	95.68	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DG	SS	20,000	31.98	n/a	22-Mar	non-brg	0.8
B BUCK CAPITAL MGMT		DG	SS	30,000	31.49	n/a	22-Mar	non-brg	4.0
f DAVID GEORGE BUCK	FID	DVY	B	1000	52.39	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	FBR	S	300	16.00	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FINL	S	30,000	21.02	n/a	25-Mar	non-brg	4.0
ROYCE TRADING	012	FINL	B	14,274	21.00	n/a	25-Mar	713.70	5.0
RBC CAPITAL MARKETS	040	FLR	B	1,500	69.18	n/a	n/a	60.00	4.0
B BUCK CAPITAL MGMT		FL	S	30,000	21.02	n/a	3-Mar	non-brg	4.0
B BUCK CAPITAL MGMT		FOSL	S	20,000	96.42	n/a	n/a	non-brg	4.0
RBC CAPITAL MARKETS	040	FWLT	B	10,000	35.96	n/a	n/a	400.00	4.0
CIRCLE T/SES PART	033	F	S	25,000	15.50	n/a	13-Apr	1,000.00	4.0
B BUCK CAPITAL MGMT		GCO	S	40,000	40.61	n/a	n/a	non-brg	4.0
f CICILY S BACKUS	FID	GE	S	2000	19.94	n/a	n/a	0.00	0.0
f LBP ENTERPRISES INC	FID	GE	S	2000	19.95	n/a	n/a	0.00	0.0
f LEE F BACKUS	FID	GE	S	2000	19.94	n/a	n/a	0.00	0.0
f SNEJANA P GARFUNKEL	FID	GE	S	1000	19.94	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		GIII	S	12,500	42.76	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		GIII	S	7,500	43.06	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		GIL	S	10,000	36.24	n/a	25-Apr	non-brg	4.0
ß BUCK CAPITAL MGMT		GIL	S	5,000	36.21	n/a	25-Apr	non-brg	1.0
ß BUCK CAPITAL MGMT		GIL	S	5,000	36.32	n/a	25-Apr	non-brg	1.0
SUN AMERICA ASSET MGMT	030	GIS	S	12,700	38.00	n/a	n/a	508.00	4.0
CIRCLE T/SES PART	033	GM	B	15,000	30.66	n/a	13-Apr	600.00	4.0
TRELLUS PARTNERS LP	028	GM	SS	50,000	31.11	n/a	13-Apr	2,500.00	5.0
WEDBUSH/PACIFIC GROWTH EQTY LLC	084	GM	SS	10,000	30.40		n/a 13-Apr	500.00	5.0
ß BUCK CAPITAL MGMT		HBI	S	50,000	31.16	n/a	21-Apr	non-brg	4.0
f DAVID GEORGE BUCK	FID	HOT	B	1000	60.79	n/a	20-Apr	0.00	0.0
ß BUCK CAPITAL MGMT		IGT	S	20,000	18.15	n/a	25-Apr	non-brg	4.0
FARALLON CAP MGMT	040	INTC	SS	100,000	21.52	n/a	n/a	3,000.00	3.0
MA CAPITAL MGMT/MELLON ADV	041	IP	B	1,500	29.62	n/a	14-Apr	75.00	5.0
COLUMBUS CIRCLE	036	ISS	B	115	20.18	n/a	n/a	4.60	4.0
ACK ASSET	028	IWN	B	32,800	74.67	n/a	n/a	984.00	3.0
ACK ASSET	028	IWO	B	25,000	96.33	n/a	n/a	750.00	3.0
Õ Alice Longley		IYG	S	600	57.48	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f ANTHONY SUTERA	FID	JNY	S	1000	14.67	n/a	25-Apr	0.00	0.0
SAC CHICAGO ANDREW	031	JWN	B	30,000	47.41	n/a	13-Apr	0.00	0.0
MERRILL ASSET/BLACKROCK	266	LAZ	S	21,100	41.23	n/a	21-Apr	844.00	4.0
f DAVID GEORGE BUCK	FID	LNCR	S	3000	30.99	n/a	n/a	0.00	0.0
COLUMBUS CIRCLE	036	LOGM	S	2,903	43.44	n/a	n/a	77.98	3.0
f DAVID GEORGE BUCK	FID	MHS	B	1000	58.10	n/a	n/a	0.00	0.0
ST OF MICHIAN	047	MS	B	400,000	25.93	n/a	21-Apr	12,000.00	3.0
B BUCK CAPITAL MGMT		MVRX	SS	35,000	221.99	n/a	n/a	non-brg	22.2
f CICILY S BACKUS	FID	MWA	S	15000	4.21	n/a	n/a	0.00	0.0
f LBP ENTERPRISES INC	FID	MWA	S	10000	4.21	n/a	n/a	0.00	0.0
f SNEJANA P GARFUNKEL	FID	MWA	S	3000	4.21	n/a	n/a	0.00	0.0
MA CAPITAL MGMT/MELLON ADV041	MWV		B	3,000	32.19	n/a	14-Apr	150.00	5.0
BNP PARIBAS SEC	040	M	B	20,000	23.88	n/a	8-Apr	1,000.00	5.0
B BUCK CAPITAL MGMT		M	S	20,000	23.97	n/a	8-Apr	non-brg	4.0
B BUCK CAPITAL MGMT		M	S	30,000	23.94	n/a	8-Apr	non-brg	4.0
SIGMA CAPITAL ASSOCIATES	041	M	S	29,600	24.07	n/a	8-Apr	1,036.00	3.5
LISTED ERR	099	M	B	29,600	24.07	n/a	8-Apr	0.00	0.0
LISTED ERR	099	M	S	29,600	24.04	n/a	8-Apr	0.00	0.0
f DAVID GEORGE BUCK	FID	NNP	B	2000	13.92	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SAC TRADING TOM LEDDY	035	NWL	B	25,000	18.99	n/a	n/a	875.00	3.5
COLUMBUS CIRCLE	036	ODFL	S	1,691	33.85	n/a	n/a	67.64	4.0
BNP PARIBAS SEC	040	PKG	B	20,000	27.43	n/a	19-Apr	1,000.00	5.0
⌘ BUCK CAPITAL MGMT		PLCE	S	10,000	54.72	n/a	9-Mar	non-brg	4.0
MILLRACE FUND LP	028	PLCE	S	6,500	54.59	n/a	9-Mar	260.00	4.0
ROYCE TRADING	012	PLCE	B	1,500	54.44	n/a	9-Mar	75.00	5.0
SAXON WOODS ADVISORS	048	PLCM	S	13,000	58.66	n/a	n/a	390.00	3.0
CASTLE ARK	031	PRGO	S	30,000	88.35	n/a	25-Apr	1,500.00	5.0
BUCK CAPITAL MGMT	001	PVH	S	10,000	69.26	n/a	25-Apr	300.00	3.0
⌘ BUCK CAPITAL MGMT		PVH	S	10,000	69.27	n/a	25-Apr	non-brg	1.0
⌘ BUCK CAPITAL MGMT		PVH	S	10,000	69.71	n/a	25-Apr	non-brg	4.0
AVESTA CAP	229	PX	S	25,000	106.77	n/a	21-Apr	750.00	3.0
⌘ BUCK CAPITAL MGMT		RL	S	20,000	132.59	n/a	25-Apr	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SHOO	S	10,000	50.74	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SHOO	S	70,700	50.87	n/a	n/a	non-brg	0.8
NEUBERGER BERMAN	036	TISI	S	25,000	24.87	n/a	n/a	1,000.00	4.0
⌘ BUCK CAPITAL MGMT		TPX	S	10,000	62.01	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		TSCO	B	10,000	60.49	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		TSCO	B	15,000	60.14	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		TSCO	B	25,000	60.12	n/a	n/a	non-brg	2.5
f DAVID GEORGE BUCK	FID	UNH	B	1200	47.61	n/a	n/a	0.00	0.0
f CICILY S BACKUS	FID	USG	S	3000	15.00	n/a	20-Apr	0.00	0.0
f LBP ENTERPRISES INC	FID	USG	S	2000	15.01	n/a	20-Apr	0.00	0.0
f IAN L MILLER	FID	VXX	B	30	24.65	n/a	n/a	0.00	0.0
SAC TRADING TOM LEDDY	035	WMT	SS	30,000	53.30	n/a	5-Apr	1,050.00	3.5
WEINTRAUB CAPITAL MGT.	040	WRC	S	18,306	63.05	n/a	25-Apr	732.24	4.0
MA CAPITAL MGMT/MELLON ADV041	WY	SS		4,000	22.56	n/a	14-Apr	200.00	5.0
TRUSTCO/SUNTRUST	040	XRX	B	132,600	10.01	n/a	n/a	4,641.00	3.5
SCOPUS FUND	041	X	B	25,000	51.85	n/a	n/a	1,000.00	4.0
TOTAL (Trade Date):								46,798.66	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	04/21	BRANDWINE	028	IBM	S	20,300	165.64	n/a	n/a	812.00 4.0
AO,CRT	04/21	SCOPUS FUND	041	RSH	B	50,000	15.97	n/a	n/a	2000.00 4.0
AO,CXL	04/21	SCOPUS FUND	041	RSH	B	50,000	15.97	n/a	n/a	2000.00 4.0

TOTAL (AO, CXL, CRT) :	-812.00
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TOTAL (Trade Date) :	46,798.66
TOTAL (AO, CXL, CRT) :	-812.00

TOTAL (RUN DATE) / NFS:	45,986.66
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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 25-Apr.
NONE

MRI Securities without Trade Activity on 25-Apr.
MGM, HON, IR

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 7%
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)