



Daily Compliance Activity Report

Trade Date: 03/03/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CATAPULT	040	ABD	B	2,300	8.85	n/a	n/a	92.00	4.0
TALPION LLC	040	ABV	B	5,000	28.14	n/a	n/a	150.00	3.0
CAMBIAR CAP	046	ADM	S	46,655	37.14	n/a	24-Feb	1,866.20	4.0
Õ Doug Rogers		APC	B	432	81.89	n/a	25-Feb	0.00	0.0
Õ Doug Rogers		APC	B	68	81.85	n/a	25-Feb	0.00	0.0
f MARC PAUL LUCHANSKY	FID	APC	B	100	81.64	n/a	25-Feb	0.00	0.0
B BUCK CAPITAL MGMT		ASNA	S	50,000	31.15	n/a	n/a	non-brg	4.0
SENATOR INVESTMENT GROUP	036	ATI	SS	30,000	66.23	n/a	n/a	900.00	3.0
f JONATHAN RICHARD HAR	FID	AXL	S	745	13.45	n/a	9-Feb	0.00	0.0
LAGRANGE CAP ADV	048	AXL	B	20,000	13.47	n/a	9-Feb	1,000.00	5.0
f KAREN F LEDDY	FID	BC	S	1700	23.09	n/a	n/a	0.00	0.0
f ALEXANDER A SACCO	FID	BGZ	S	55	36.13	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	BID	S	10,000	49.52	n/a	n/a	300.00	3.0
SAXON WOODS ADVISORS	048	BUD	B	5,000	57.75	n/a	18-Feb	200.00	4.0
B BUCK CAPITAL MGMT		BYI	B	35,000	39.09	n/a	3-Feb	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	BZ	S	500	9.03	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		CBK	S	20,000	6.10	n/a	n/a	non-brg	2.5
⚡ BUCK CAPITAL MGMT		CBK	S	20,000	6.14	n/a	n/a	non-brg	1.0
BNP PARIBAS SEC	040	CBRL	SS	25,000	49.24	n/a	n/a	1,250.00	5.0
WAGONHOUND/NIC	048	CMI	B	942	101.92	n/a	1-Mar	37.68	4.0
BAIRD INVESTMENT	047	COH	B	6,350	55.34	n/a	26-Jan	317.50	5.0
SURSUM CAPITAL	215	COH	S	5,000	55.47	n/a	26-Jan	150.00	3.0
GREEN ARROW DOUG	040	COT	B	10,000	7.88	n/a	n/a	500.00	5.0
SUN AMERICA ASSET MGMT	030	COV	S	13,200	52.45	n/a	n/a	528.00	4.0
OSKIE CAPITAL MGMT	224	DAL	S	25,000	10.12	n/a	n/a	1,250.00	5.0
BUCK CAPITAL MGMT	001	DDS	B	20,000	39.17	n/a	n/a	400.00	2.0
⚡ BUCK CAPITAL MGMT		DIA	SS	1,000	122.21	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		DIA	SS	600	122.21	n/a	n/a	non-brg	2.0
SYSTEMATIC FINANCIAL MGT	035	DIS	B	94,650	43.92	n/a	n/a	2,839.50	3.0
TALPION LLC	040	DLTR	B	10,000	51.49	n/a	23-Feb	300.00	3.0
GREEN ARROW DOUG	040	EAT	S	58,000	23.82	n/a	26-Jan	2,320.00	4.0
LAGRANGE CAP ADV	048	ELY	B	20,000	7.66	n/a	n/a	1,000.00	5.0
TALPION LLC	040	EL	B	2,500	92.16	n/a	25-Feb	75.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GREEN ARROW DOUG	040	EMN	B	5,000	97.22	n/a	n/a	250.00	5.0
TALPION LLC	040	ERTS	S	19,000	19.16	n/a	n/a	570.00	3.0
f KAREN F LEDDY	FID	FIG	B	2000	6.40	n/a	n/a	0.00	0.0
LAGRANGE CAP ADV	048	FII	S	20,000	27.70	n/a	2-Mar	1,000.00	5.0
BASIX	033	FL	S	27,400	19.58	3-Mar	3-Mar	822.00	3.0
B BUCK CAPITAL MGMT		FL	S	50,000	20.18	3-Mar	3-Mar	non-brg	4.0
EGS ASSOCIATES LP	091	FL	B	3,500	19.98	3-Mar	3-Mar	210.00	6.0
GREEN ARROW DOUG	040	FOE	B	10,000	15.47	n/a	n/a	500.00	5.0
Õ Doug Rogers		FOR	S	100	19.16	n/a	7-Feb	0.00	0.0
Õ Doug Rogers		FOR	S	100	19.17	n/a	7-Feb	0.00	0.0
Õ Doug Rogers		FOR	S	1140	19.17	n/a	7-Feb	0.00	0.0
Õ Doug Rogers		FOR	S	200	19.16	n/a	7-Feb	0.00	0.0
Õ Doug Rogers		FOR	S	290	19.19	n/a	7-Feb	0.00	0.0
Õ Doug Rogers		FOR	S	300	19.18	n/a	7-Feb	0.00	0.0
B BUCK CAPITAL MGMT		FOSL	S	10,000	80.01	n/a	n/a	non-brg	4.0
f KAREN F LEDDY	FID	FRED	S	900	13.68	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	F	S	1500	14.73	n/a	2-Mar	0.00	0.0
OZ MGMT	040	F	SS	75,000	14.70	n/a	2-Mar	2,250.00	3.0
ROSEDALE CAPITAL	046	F	B	25,000	14.71	n/a	2-Mar	1,250.00	5.0
BUCK CAPITAL MGMT	001	GCO	S	40,000	40.22	n/a	n/a	1,200.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f CHRISTOPHER ROBERT C	FID	GES	B	125	45.82	n/a	20-Jan	0.00	0.0
S.A.C. CAP/ORENSTEIN	044	GE	S	250,000	20.82	n/a	n/a	8,750.00	3.5
B BUCK CAPITAL MGMT		GIII	S	10,000	39.06	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		GIL	S	30,000	30.84	n/a	9-Feb	non-brg	4.0
CYRUS CAPITAL	025	GM	SS	50,000	32.99	n/a	2-Mar	2,000.00	4.0
B BUCK CAPITAL MGMT		HBI	S	50,000	25.52	n/a	28-Jan	non-brg	4.0
KLEINHEINZ CAP PART	031	HBI	B	20,000	25.61	n/a	28-Jan	1,000.00	5.0
GREEN ARROW DOUG	040	HNZ	SS	300	49.18	n/a	n/a	15.00	5.0
B BUCK CAPITAL MGMT		IGT	B	170,000	16.93	n/a	27-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		IGT	B	200,000	16.81	n/a	27-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		IJH	SS	1,300	97.13	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		IJH	SS	800	97.13	n/a	n/a	non-brg	2.0
BNP PARIBAS SEC	040	IP	B	20,000	27.26	n/a	3-Feb	1,000.00	5.0
f CHRISTOPHER ROBERT C	FID	ITW	B	100	55.04	n/a	1-Feb	0.00	0.0
B BUCK CAPITAL MGMT		IVZ	S	50,000	27.16	n/a	2-Mar	non-brg	1.0
B BUCK CAPITAL MGMT		IWO	SS	1,300	92.57	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		IWO	SS	800	92.57	n/a	n/a	non-brg	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		JACK	S	25,000	22.08	n/a	n/a	non-brg	4.0
SURSUM CAPITAL	215	JAH	B	10,000	34.52	n/a	n/a	300.00	3.0
SURSUM CAPITAL	215	JAH	SS	10,000	34.37	n/a	n/a	300.00	3.0
f ALICE BEEBE LONGLEY	FID	JATTX	B	2870	17.42	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	JCI	B	150	40.58	n/a	20-Jan	0.00	0.0
f ANTHONY SUTERA	FID	JNY	B	1000	12.98	n/a	3-Mar	0.00	0.0
B BUCK CAPITAL MGMT		JOSB	S	20,000	45.96	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		JOSB	S	30,000	46.96	n/a	n/a	non-brg	4.0
CASTLE ARK	031	JOYG	B	152,220	96.77	n/a	3-Mar	7,611.00	5.0
BUCK CAPITAL MGMT	001	JWN	S	30,000	44.91	n/a	3-Mar	600.00	2.0
TRUST CO/COWEN/CALF.	040	KIM	B	46,400	18.33	n/a	n/a	1,856.00	4.0
SAC TRADING TOM LEDDY	035	KR	SS	20,000	22.77	n/a	n/a	700.00	3.5
TALPION LLC	040	KR	B	10,000	23.09	n/a	n/a	300.00	3.0
THE JAY GOLDMAN	028	KSS	B	10,000	53.96	n/a	3-Mar	400.00	4.0
THE JAY GOLDMAN	028	KSS	SS	10,000	54.52	n/a	3-Mar	400.00	4.0
ARMATURE CAPITAL	041	LEA	SS	15,000	105.31	n/a	2-Feb	600.00	4.0
OZ MGMT	040	LEA	B	15,000	104.72	n/a	2-Feb	450.00	3.0
OZ MGMT	040	LEA	S	47,000	105.24	n/a	2-Feb	1,410.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f WILLIAM WEINBERG	FID	LSTZA	B	1000	73.46	n/a	n/a	0.00	0.0
LAGRANGE CAP ADV	048	LVS	B	15,000	43.50	n/a	1-Mar	750.00	5.0
B BUCK CAPITAL MGMT		MDY	SS	400	176.66	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		MDY	SS	700	176.66	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		MNRO	S	20,000	33.09	n/a	n/a	non-brg	4.0
THIRD COAST CAPITAL	035	MRX	B	10,000	31.64	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		MSSR	B	1,200	8.06	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		MSSR	B	1,300	8.06	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		MSSR	B	1,800	8.06	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		MSSR	B	13,800	8.06	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		MSSR	B	400	8.06	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		MSSR	B	600	8.06	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		MSSR	B	900	8.06	n/a	n/a	non-brg	3.0
FIRST NY SEC/CHRIS	041	M	B	15,000	23.64	n/a	3-Mar	750.00	5.0
SURVEYOR CAPITAL	041	NDAQ	SS	14,119	28.36	n/a	n/a	423.57	3.0
TALPION LLC	040	NKE	B	1,000	89.83	n/a	n/a	30.00	3.0
B BUCK CAPITAL MGMT		NWY	S	37,500	6.39	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		PERY	B	30,000	27.57	n/a	n/a	non-brg	4.0
SENATOR INVESTMENT GROUP	036	PKI	B	50,000	28.02	n/a	n/a	1,500.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
B BUCK CAPITAL MGMT		PLCE	S	40,000	44.34	n/a	14-Feb	non-brg 4.0
ROARING BLUE LION MGMT	012	PLCE	B	13,000	44.60	n/a	14-Feb	520.00 4.0
Õ Nilsa Vazquez		RGC	S	500	14.35	n/a	n/a	0.00 0.0
f CHRISTOPHER ROBERT C	FID	ROST	S	75	72.61	n/a	n/a	0.00 0.0
f CHRISTOPHER ROBERT C	FID	RRR	B	500	13.73	n/a	12-Jan	0.00 0.0
RBC CAPITAL MARKETS	040	SHAW	B	25,000	40.85	n/a	n/a	1,000.00 4.0
f JOHN MICHAEL ZOLIDIS	FID	SHOO	S	300	43.50	n/a	n/a	0.00 0.0
f EDWARD W WHEELER	FID	SHS	S	5000	40.50	n/a	n/a	0.00 0.0
B BUCK CAPITAL MGMT		SIG	S	10,000	45.05	n/a	n/a	non-brg 4.0
B BUCK CAPITAL MGMT		SIG	S	20,000	44.59	n/a	n/a	non-brg 4.0
GREEN ARROW DOUG	040	SJM	S	15,000	70.01	n/a	n/a	750.00 5.0
GREEN ARROW DOUG	040	SONC	B	7,800	8.95	n/a	n/a	390.00 5.0
NEWLAND CAPITAL MGT	025	SPW	B	1,300	78.31	n/a	n/a	52.00 4.0
NEWLAND CAPITAL MGT	025	SPW	S	3,518	80.90	n/a	n/a	140.72 4.0
B BUCK CAPITAL MGMT		SPY	SS	600	133.00	n/a	n/a	non-brg 2.0
B BUCK CAPITAL MGMT		SPY	SS	900	133.00	n/a	n/a	non-brg 2.0
LITESPEED	028	SSCC	S	70,816	39.17	n/a	7-Jan	2,124.48 3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f CHRISTOPHER ROBERT C	FID	TEX	S	200	34.85	n/a	11-Feb	0.00	0.0
SURSUM CAPITAL	215	TGT	B	10,000	51.60	n/a	24-Feb	300.00	3.0
SURSUM CAPITAL	215	TIF	S	5,000	62.12	n/a	n/a	150.00	3.0
TALPION LLC	040	TIF	B	1,500	62.03	n/a	n/a	45.00	3.0
JP MORGAN VENTURES	046	TSO	SS	10,000	25.11	n/a	n/a	500.00	5.0
f CHRISTOPHER ROBERT C	FID	USG	S	300	16.83	n/a	27-Jan	0.00	0.0
f ALICE BEEBE LONGLEY	FID	VIG	B	600	55.24	n/a	n/a	0.00	0.0
CASTLEROCK	040	VMW	B	39,149	85.28	n/a	n/a	1,565.96	4.0
NORTHWESTERN MUTUAL LIFE	047	VWO	B	2,776,000	47.37	n/a	n/a	55,520.00	2.0
f ALEXANDER A SACCO	FID	VXX	S	135	31.20	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	VXX	S	1000	31.05	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	V	B	100	75.61	n/a	17-Feb	0.00	0.0
GREEN ARROW DOUG	040	WEN	S	25,000	5.02	n/a	3-Mar	1,250.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	WEN	SS	12,000	5.07	n/a	3-Mar	360.00	3.0
B BUCK CAPITAL MGMT		WMS	S	130,000	39.43	n/a	27-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		WMS	S	20,000	39.53	n/a	27-Jan	non-brg	0.0
B BUCK CAPITAL MGMT		WMS	S	45,000	39.32	n/a	27-Jan	non-brg	2.0
f JONATHAN RICHARD HAR	FID	WNC	B	475	10.62	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⌘ BUCK CAPITAL MGMT		WRC	S	10,000	56.04	n/a	1-Mar	non-brg	4.0
⌘ BUCK CAPITAL MGMT		WRC	S	20,000	55.57	n/a	1-Mar	non-brg	4.0
CATAPULT	040	WTS	B	5,000	39.36	n/a	n/a	200.00	4.0
T. ROWE PRICE	033	WY	S	142,892	24.03	n/a	4-Feb	5,715.68	4.0
⌘ BUCK CAPITAL MGMT		XRT	SS	5,000	49.33	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		XRT	SS	8,200	49.33	n/a	n/a	non-brg	2.0
TALPION LLC	040	YUM	B	5,000	50.60	n/a	3-Feb	150.00	3.0
TOTAL (Trade Date):							125,907.29		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	03/02	BROADARCH CAP/OLD NEWC	070	AME	S	1,000	42.20	n/a	n/a	40.00 4.0
AO,CRT	03/02	BROADARCH CAP/OLD NEWC	070	AME	S	1,000	42.20	n/a	n/a	40.00 4.0
AO,CXL	03/02	BROADARCH CAP/OLD NEWC	070	ECL	B	1,000	48.50	n/a	17-Feb	40.00 4.0
AO,CRT	03/02	BROADARCH CAP/OLD NEWC	070	ECL	B	720	48.50	n/a	17-Feb	28.80 4.0
AO,CRT	03/02	BROADARCH CAP/OLD NEWC	70	ECL	B	280	48.50	n/a	17-Feb	11.20 4.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date) :	125,907.29
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	125,907.29
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CXL	03/01	BUCK CAPITAL MGMT.	FDX	B	200	88.34	n/a	n/a	0.00
CRT	03/01	BUCK CAPITAL MGMT	FDX	B	200	88.34	n/a	n/a	2.00 1.0
CXL	03/01	BUCK CAPITAL MGMT.	FDX	B	200	88.34	n/a	n/a	0.00
CRT	03/01	BUCK CAPITAL MGMT	FDX	B	400	88.34	n/a	n/a	4.00 1.0
CXL	03/01	BUCK CAPITAL MGMT.	FDX	B	200	88.34	n/a	n/a	0.00
CRT	03/01	BUCK CAPITAL MGMT	FDX	B	3,800	88.34	n/a	n/a	38.00 1.0
CXL	03/01	BUCK CAPITAL MGMT.	FDX	B	200	88.34	n/a	n/a	0.00
CRT	03/01	BUCK CAPITAL MGMT	FDX	B	400	88.34	n/a	n/a	4.00 1.0
CXL	03/01	BUCK CAPITAL MGMT.	FDX	B	200	88.34	n/a	n/a	0.00
CRT	03/01	BUCK CAPITAL MGMT	FDX	B	500	88.34	n/a	n/a	5.00 1.0
CXL	03/01	BUCK CAPITAL MGMT.	FDX	B	200	88.34	n/a	n/a	0.00
CRT	03/01	BUCK CAPITAL MGMT	FDX	B	200	88.34	n/a	n/a	2.00 1.0
CXL	03/01	BUCK CAPITAL MGMT.	FDX	B	200	88.34	n/a	n/a	0.00
CRT	03/01	BUCK CAPITAL MGMT	FDX	B	100	88.34	n/a	n/a	1.00 1.0
AO	03/02	BUCK CAPITAL MGMT	PERY	B	100,000	28.00	n/a	n/a	0.00 0.0

MRI Securities with Trade Activity on 3-Mar.

FL

MRI Securities without Trade Activity on 3-Mar.

MIDD

BRG comm. as a % of BCM Total Comm. paid.

T-Date = 6%

YTD = 4%

<u>Legend:</u>
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)