



Daily Compliance Activity Report

Trade Date: 06/01/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f MANNY I KORMAN	FID	APC	S	100	7.68	n/a	3-May	0.00	0.0
f JONATHAN RICHARD HAR	FID	ARCO	B	65	22.04	n/a	n/a	0.00	0.0
CATAPULT	040	ASH	S	15,000	67.23	n/a	1-Jun	600.00	4.0
f MANNY I KORMAN	FID	AXP	S	220	4.20	n/a	1-Jun	0.00	0.0
ROTHSCHILD ASSET	040	BKI	B	4,790	25.18	n/a	n/a	191.60	4.0
FARALLON CAP MGMT	040	BTU	B	74,300	60.81	n/a	n/a	2,972.00	4.0
f MANNY I KORMAN	FID	BWA	S	200	6.73	n/a	29-Apr	0.00	0.0
B BUCK CAPITAL MGMT		CACH	S	28,800	5.03	n/a	n/a	non-brg	2.5
f DAVID GEORGE BUCK	FID	CAH	S	10	1.05	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		CSTR	S	28,500	53.20	n/a	n/a	non-brg	4.0
f CHRISTOPHER ARTHUR K	FID	C	S	500	40.21	n/a	17-May	0.00	0.0
f MANNY I KORMAN	FID	C	S	5000	40.31	n/a	17-May	0.00	0.0
B BUCK CAPITAL MGMT		DAL	B	50,000	9.67	n/a	n/a	non-brg	3.0
CATAPULT	040	DHR	SS	5,000	53.22	n/a	n/a	200.00	4.0
UBS OCONNOR	031	DHR	B	50,000	52.62	n/a	n/a	1,500.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
IRIDIAN ASSET MGMT.	036	DRI	SS	14,170	50.02	n/a	11-Apr	425.10	3.0
BALYASNY ASSET MGMT	044	DSW	B	5,000	49.29	n/a	11-Feb	250.00	5.0
ROTHSCHILD ASSET	040	DVA	B	2,304	84.13	n/a	n/a	92.16	4.0
f DAVID GEORGE BUCK	FID	EEM	S	2500	48.06	n/a	n/a	0.00	0.0
HOLLIS CAPITAL	033	FDO	SS	7,000	54.98	n/a	29-Apr	350.00	5.0
ROYCE TRADING	012	FINL	B	14,000	22.51	n/a	10-May	700.00	5.0
TRUSTCO/SUNTRUST	040	FITB	B	100,000	12.36	n/a	n/a	3,500.00	3.5
B BUCK CAPITAL MGMT		GCO	S	30,000	44.43	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	GGP	S	3000	16.39	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		GIII	S	32,200	42.23	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		GIII	S	8,929	41.87	n/a	n/a	non-brg	1.0
SURVEYOR CAPITAL	041	GILD	S	15,000	41.54	n/a	n/a	450.00	3.0
f MANNY I KORMAN	FID	GLW	S	10000	19.98	n/a	20-May	0.00	0.0
f MANNY I KORMAN	FID	GLW	S	600	2.30	n/a	20-May	0.00	0.0
OZ MGMT	040	GM	C	29,040	31.34	n/a	31-May	871.20	3.0
PHILADELPHIA FINANCIAL	033	GM	C	125,324	30.57	n/a	31-May	5,012.96	4.0
WEDBUSH/PACIFIC GROWTH EQTY LLC084	GM		SS	25,000	31.05		n/a 31-May	1,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LISTED ERR	099	GM	B	25,000	31.05	n/a	31-May	0.00	0.0
LISTED ERR	099	GM	SS	25,000	31.01	n/a	31-May	0.00	0.0
f DAVID GEORGE BUCK	FID	HBC	S	1500	51.68	n/a	n/a	0.00	0.0
EGS ASSOCIATES LP	091	HBI	B	3,500	29.56	n/a	21-Apr	210.00	6.0
f MANNY I KORMAN	FID	HMA	S	10000	11.25	n/a	n/a	0.00	0.0
f MARK ANTHONY GRONET	FID	IGD	B	8000	11.23	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	JADE	S	20000	3.84	n/a	n/a	0.00	0.0
HARVEST MGMT	029	JCP	B	10,000	34.11	n/a	27-May	400.00	4.0
ß BUCK CAPITAL MGMT		JOSB	B	30,000	49.85	n/a	n/a	non-brg	1.0
SURVEYOR CAPITAL	041	JOSB	S	41,898	49.45	n/a	n/a	1,256.94	3.0
ß BUCK CAPITAL MGMT		JWN	S	30,000	46.58	n/a	27-May	non-brg	4.0
ß BUCK CAPITAL MGMT		KSS	S	30,000	52.93	n/a	27-May	non-brg	4.0
ß BUCK CAPITAL MGMT		KSS	S	35,000	53.00	n/a	27-May	non-brg	4.0
ß BUCK CAPITAL MGMT		KSS	S	7,704	53.00	n/a	27-May	non-brg	4.0
ß BUCK CAPITAL MGMT		LEA	B	10,000	48.50	n/a	2-May	non-brg	4.0
ß BUCK CAPITAL MGMT		LEA	S	33,200	49.80	n/a	2-May	non-brg	4.0
ß BUCK CAPITAL MGMT		LEA	S	39,800	49.80	n/a	2-May	non-brg	4.0
BRONSON POINT	036	LNG	S	20,000	11.05	n/a	n/a	600.00	3.0
CR INTRINIC INVESTMENT	044	LOW	SS	40,000	23.76	n/a	16-May	1,400.00	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OZ MGMT	040	LVS	S	41,926	42.83	n/a	1-Jun	1,257.78	3.0
ß BUCK CAPITAL MGMT		MAR	SS	150,000	37.26	n/a	21-Apr	non-brg	4.0
ß BUCK CAPITAL MGMT		MDY	C	10,000	177.36	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		MRT	S	1,300	7.25	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		MRT	S	1,600	7.25	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		MRT	S	15,367	7.25	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		MRT	S	2,000	7.25	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		MRT	S	500	7.25	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		MRT	S	600	7.25	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		MRT	S	900	7.25	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		MSSR	S	300	9.04	n/a	n/a	non-brg	2.5
Õ Doug Rogers		MWA	S	2000	4.03	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	MW	S	30,000	33.17	n/a	n/a	1,500.00	5.0
SIGMA CAPITAL ASSOCIATES	041	M	B	25,500	28.26	n/a	27-May	892.50	3.5
THE JAY GOLDMAN	028	M	B	15,000	28.34	n/a	27-May	600.00	4.0
STANDARD PACIFIC CAPITAL	040	NAV	SS	147,940	64.06	n/a	10-Mar	7,397.00	5.0
SMITH MGMT LLC	029	NDN	B	48,400	20.66	n/a	27-May	1,452.00	3.0
f JASON ERIC COHEN	FID	NFLX	S	5	269.71	n/a	n/a	0.00	0.0
CAXTON PART	040	PBCT	B	50,000	13.01	n/a	19-May	1,750.00	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		PCAR	B	10,000	47.64	n/a	20-Apr	non-brg	4.0
f CHRISTOPHER ARTHUR K	FID	PCAR	S	100	48.61	n/a	20-Apr	0.00	0.0
ELM RIDGE ADVISORS	044	PCL	B	215,000	40.01	n/a	27-Apr	8,600.00	4.0
B BUCK CAPITAL MGMT		PERY	S	1,208	29.42	n/a	n/a	non-brg	0.8
HARVEST MGMT	029	PIR	S	20,000	11.54	n/a	n/a	800.00	4.0
METROPOLITAN CAPITAL	044	PLCE	B	5,000	48.82	n/a	20-May	250.00	5.0
ROYCE TRADING	012	PLCE	B	43,300	49.38	n/a	20-May	2,165.00	5.0
IRIDIAN ASSET MGMT.	036	PNC	SS	11,610	61.28	n/a	n/a	348.30	3.0
B BUCK CAPITAL MGMT		PNK	B	25,000	14.20	n/a	n/a	non-brg	1.0
f DAVID GEORGE BUCK	FID	PNRA	S	800	122.84	n/a	26-Apr	0.00	0.0
ROTHSCHILD ASSET	040	POR	B	19,054	25.90	n/a	n/a	762.16	4.0
MERRILL ASSET/BLACKROCK	297	PRE	S	7,800	74.77	n/a	n/a	312.00	4.0
f ALICE BEEBE LONGLEY	FID	PTTDX	S	36166	11.06	n/a	n/a	0.00	0.0
CATAPULT	040	PX	SS	5,000	104.42	n/a	20-May	200.00	4.0
DISCIPLINED GROWTH INV.	030	RCL	B	1,900	38.03	n/a	n/a	95.00	5.0
AVESTA CAP	229	RIMM	C	25,000	41.90	n/a	n/a	750.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BNP PARIBAS SEC	040	ROST	SS	20,000	80.70	n/a	n/a	1,000.00	5.0
f MANNY I KORMAN	FID	RSH	S	3000	15.51	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	RYN	B	3000	66.44	n/a	27-Apr	0.00	0.0
f MANNY I KORMAN	FID	SBUX	S	110	3.95	n/a	28-Apr	0.00	0.0
HIGHFIELDS CAP MGMT	030	SEE	C	190,000	24.74	n/a	n/a	7,600.00	4.0
B BUCK CAPITAL MGMT		SHOO	S	5,000	36.62	n/a	n/a	non-brg	4.0
CATAPULT	040	SHW	SS	10,000	87.02	n/a	27-May	400.00	4.0
f MANNY I KORMAN	FID	SLM	S	5000	16.83	n/a	19-May	0.00	0.0
f JASON ERIC COHEN	FID	SPY	B	3	0.97	n/a	n/a	0.00	0.0
BNP PARIBAS SEC	040	STRA	SS	5,000	118.49	n/a	n/a	250.00	5.0
FIRST NEW YORK LEDDY	035	S	S	20,000	5.89	n/a	n/a	800.00	4.0
f MARC PAUL LUCHANSKY	FID	TBT	S	500	32.38	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		TEX	B	10,000	27.88	n/a	25-Apr	non-brg	4.0
B BUCK CAPITAL MGMT		TFM	S	30,100	39.72	n/a	n/a	non-brg	2.5
THE JAY GOLDMAN	028	TGT	S	25,000	48.95	n/a	18-May	1,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DISCIPLINED GROWTH INV.	030	TJX	B	1,500	52.43	n/a	27-May	75.00	5.0
SIGMA CAPITAL ASSOCIATES	041	TJX	B	50,000	52.74	n/a	27-May	1,750.00	3.5
CASTLEROCK	040	TSL	SS	79,565	21.80	n/a	n/a	3,182.60	4.0
ROTHSCHILD ASSET	040	TUP	B	2,961	64.72	n/a	n/a	118.44	4.0
f ABRAM M CHAPPELL	FID	TZA	B	285	34.92	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		UAL	B	30,000	23.26	n/a	n/a	non-brg	4.0
PZENA INV ADV	044	UNF	B	1,675	52.87	n/a	n/a	58.63	3.5
BALYASNY ASSET MGMT	044	URBN	C	10,000	30.23	n/a	n/a	500.00	5.0
f JASON ERIC COHEN	FID	USO	B	5	0.65	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	VFC	C	10,200	99.55	n/a	2-May	510.00	5.0
SONTERRA CAP	041	VLO	SS	20,000	27.16	n/a	n/a	800.00	4.0
f DAVID GEORGE BUCK	FID	V	B	20	0.91	n/a	11-May	0.00	0.0
f MANNY I KORMAN	FID	V	S	70	8.10	n/a	11-May	0.00	0.0
f CHRISTOPHER ARTHUR K	FID	WBC	S	100	67.69	n/a	29-Apr	0.00	0.0
BASCOM HILL PARTNERS LLC	033	WDR	C	7,500	37.24	n/a	2-Mar	225.00	3.0
B BUCK CAPITAL MGMT		WNC	B	25,000	9.33	n/a	n/a	non-brg	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EGS ASSOCIATES LP	091	WRC	B	5,200	53.65	n/a	6-May	312.00	6.0
LISTED ERR	099	WRC	B	1,000	53.64	n/a	6-May	0.00	0.0
LISTED ERR	099	WRC	S	500	53.83	n/a	6-May	0.00	0.0
BALLAST CAP	040	XIDE	B	19,000	9.74	n/a	n/a	570.00	3.0
B BUCK CAPITAL MGMT		XRT	C	97,000	52.61	n/a	n/a	non-brg	2.0
f MANNY I KORMAN	FID	XRK	S	6000	10.10	n/a	n/a	0.00	0.0
f SCOTT L BRUNNER	FID	ZINC	B	1000	12.63	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								70,515.37	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	05/31	COLUMBUS CIRCLE	036	IO	B	3,696	10.14	n/a	n/a	73.92	2.0
AO,CRT	05/31	VINIK ASSET MGMT.	030	POT	S	100,000	57.36	n/a	n/a	4000.00	4.0
AO,CXL	05/31	VINIK ASSET MGMT.	030	POT	S	100,000	57.36	n/a	n/a	3000.00	3.0

TOTAL (AO, CXL, CRT) :	1,073.92
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TOTAL (Trade Date) :	70,515.37
TOTAL (AO, CXL, CRT) :	1,073.92

TOTAL (RUN DATE) / NFS:	71,589.29
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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 1-Jun.
NONE

MRI Securities without Trade Activity on 1-Jun.
NONE

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)