



Daily Compliance Activity Report

Trade Date: 03/31/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALLAST CAP	040	AAP	SS	3,500	65.27	n/a	n/a	175.00	5.0
f ALICE BEEBE LONGLEY	FID	AA	B	600	17.70	n/a	n/a	0.00	0.0
f KEVIN MICHAEL O'GORM	FID	ACUZW	B	20000	0.10	n/a	n/a	0.00	0.0
BALLAST CAP	040	ACXM	B	24,200	14.13	n/a	n/a	1,210.00	5.0
GEOSPHERE CAPITAL MGMT	084	ADM	SS	50,000	36.25	n/a	14-Mar	1,500.00	3.0
BALLAST CAP	040	AKR	S	9,900	18.81	n/a	n/a	495.00	5.0
BARON ASSET MGMT*	012	ALV	S	20,000	73.54	n/a	2-Feb	1,000.00	5.0
ß BUCK CAPITAL MGMT		ANF	S	40,000	58.66	n/a	14-Mar	non-brg	4.0
ß BUCK CAPITAL MGMT		ANF	S	50,000	58.70	n/a	14-Mar	non-brg	4.0
ß BUCK CAPITAL MGMT		ANN	S	20,000	29.14	n/a	n/a	non-brg	1.0
SURVEYOR CAPITAL	041	AON	SS	7,000	52.73	n/a	n/a	210.00	3.0
ß BUCK CAPITAL MGMT		ARO	S	10,000	24.49	n/a	11-Mar	non-brg	0.8
ß BUCK CAPITAL MGMT		ARO	S	100,000	24.38	n/a	11-Mar	non-brg	4.0
ß BUCK CAPITAL MGMT		ARO	S	115,000	24.36	n/a	11-Mar	non-brg	1.0
ß BUCK CAPITAL MGMT		ARO	S	25,000	24.36	n/a	11-Mar	non-brg	4.0
ß BUCK CAPITAL MGMT		ASNA	S	10,000	32.44	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		ASNA	S	20,000	32.37	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		ASNA	S	40,000	32.29	n/a	n/a	non-brg	4.0
SNEJANA P GARFUNKEL	FID	AVY	S	500	41.87	n/a	10-Mar	0.00	0.0
JONATHAN RICHARD HAR	FID	AXL	S	1000	12.64	n/a	9-Feb	0.00	0.0
KEVIN MICHAEL O'GORM	FID	AXL	S	4000	12.61	n/a	9-Feb	0.00	0.0
BALLAST CAP	040	AZO	SS	1,200	272.35	n/a	n/a	60.00	5.0
MERRILL ASSET/BLACKROCK	266	BACWSA	S	2,029	7.61	n/a	n/a	81.16	4.0
SNEJANA P GARFUNKEL	FID	BAC	S	1000	13.35	n/a	28-Mar	0.00	0.0
KAREN F LEDDY	FID	BC	S	400	25.42	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		BID	S	70,600	52.03	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		BONT	S	17,650	15.52	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		CAR 8 C19	SS	900	1.38	n/a	n/a	non-brg	300.0
EDWARD W WHEELER	FID	CLNY	B	5000	18.90	n/a	n/a	0.00	0.0
PIONEER PATH	028	CREE	B	25,000	47.03	n/a	n/a	750.00	3.0
ABRAM M CHAPPELL	FID	CRK	S	125	31.07	n/a	n/a	0.00	0.0
ROHINI T SADARANGANI	FID	CVGI	S	1500	18.00	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	266	CWSB	S	1,092	0.19	n/a	n/a	10.92	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f EDWARD W WHEELER	FID	CXS	B	10000	11.43	n/a	n/a	0.00	0.0
SANDLER O'NEILL ASSET	031	C	B	9,500	4.43	n/a	28-Mar	190.00	2.0
B BUCK CAPITAL MGMT		DAN	S	84,400	17.36	n/a	24-Feb	non-brg	4.0
IRIDIAN ASSET MGMT.	036	DAN	S	100,000	17.44	n/a	24-Feb	3,000.00	3.0
BALYASNY ASSET MGMT	044	DDS	C	20,000	40.17	n/a	n/a	1,000.00	5.0
f CICYLY S BACKUS	FID	DFZ	B	5000	13.07	n/a	n/a	0.00	0.0
f SNEJANA P GARFUNKEL	FID	DFZ	B	1000	12.97	n/a	n/a	0.00	0.0
PARAMETER CAPITAL MGMT LLC	044	ENH	B	5,450	47.55	n/a	n/a	218.00	4.0
f KAREN F LEDDY	FID	FCH	B	1000	6.11	n/a	n/a	0.00	0.0
ROYCE TRADING	012	FINL	B	3,000	19.74	n/a	25-Mar	150.00	5.0
Õ Doug Rogers		FOR	S	100	18.94	n/a	7-Feb	0.00	0.0
Õ Doug Rogers		FOR	S	100	18.95	n/a	7-Feb	0.00	0.0
Õ Doug Rogers		FOR	S	100	18.95	n/a	7-Feb	0.00	0.0
Õ Doug Rogers		FOR	S	300	18.94	n/a	7-Feb	0.00	0.0
Õ Doug Rogers		FOR	S	586	18.94	n/a	7-Feb	0.00	0.0
AVESTA CAP	229	F	S	200,000	14.77	n/a	31-Mar	6,000.00	3.0
B BUCK CAPITAL MGMT		GIL	S	30,600	32.77	n/a	9-Feb	non-brg	4.0
IRIDIAN ASSET MGMT.	036	GM	S	5,940	31.18	n/a	31-Mar	297.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAXTON PART	040	GT	B	50,000	14.99	n/a	n/a	1,750.01	3.5
B BUCK CAPITAL MGMT		HAL	S	20,000	49.52	n/a	n/a	non-brg	4.0
f ANDREW LONGLEY TRUS	FID	HDV	B	100	50.77	n/a	n/a	0.00	0.0
f CLIFFORD LONGLEY TR	FID	HDV	B	100	50.77	n/a	n/a	0.00	0.0
f JONATHAN LONGLEY TR	FID	HDV	B	100	50.77	n/a	n/a	0.00	0.0
MA CAPITAL MGMT/MELLON ADV	041	IP	B	2,000	29.85	n/a	17-Mar	100.00	5.0
SURVEYOR CAPITAL	041	IVZ	B	19,708	25.40	n/a	2-Mar	591.24	3.0
B BUCK CAPITAL MGMT		JBHT	S	35,000	45.08	n/a	n/a	non-brg	4.0
SURVEYOR CAPITAL	041	JNS	SS	40,388	12.30	n/a	n/a	1,211.64	3.0
BARON ASSET MGMT*	012	KMX	S	150,000	32.43	n/a	n/a	7,500.00	5.0
BALLAST CAP	040	KSS	SS	7,500	52.70	n/a	31-Mar	375.00	5.0
CAERUS GLOBAL	041	KSS	B	21,200	52.62	n/a	31-Mar	848.00	4.0
f KEVIN MICHAEL O'GORM	FID	LAD	S	3000	14.54	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		LEN	B	25,000	18.33	n/a	n/a	non-brg	4.0
BALLAST CAP	040	LOGM	SS	3,100	41.90	n/a	n/a	155.00	5.0
BALLAST CAP	040	LOW	SS	15,000	26.45	n/a	23-Feb	750.00	5.0
BALLAST CAP	040	LTM	SS	5,400	37.22	n/a	n/a	270.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f CHRISTOPHER ROBERT C	FID	LVS	B	200	41.53	n/a	31-Mar	0.00	0.0
BALLAST CAP	040	MAS	SS	11,600	13.98	n/a	n/a	580.00	5.0
MATRIX ASSET ADV.	091	MHP	S	3,500	39.96	n/a	n/a	140.00	4.0
TALPION LLC	040	MJN	S	10,000	58.11	n/a	n/a	400.00	4.0
BALLAST CAP	040	MLM	SS	2,900	89.88	n/a	n/a	145.00	5.0
SURVEYOR CAPITAL	041	MMC	B	20,127	29.76	n/a	n/a	603.81	3.0
f JOSEPH CIRO AMATURO	FID	MRK	S	5000	33.19	n/a	n/a	0.00	0.0
IRIDIAN ASSET MGMT.	036	MRVL	S	55,260	15.74	n/a	n/a	2,763.00	5.0
WHITE PINE CAPITAL	030	MS	S	1,000	27.30	n/a	28-Mar	50.00	5.0
f EDWARD W WHEELER	FID	MTOR	B	150	2.35	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	MTOR	B	5000	17.12	n/a	n/a	0.00	0.0
Õ Doug Rogers		MWA	B	5000	4.46	n/a	n/a	0.00	0.0
f TR U/W OF CH RISTINA	FID	MWA	B	450	4.46	n/a	n/a	0.00	0.0
FIRST NY SEC/CHRIS	041	M	B	10,000	23.84	n/a	31-Mar	500.00	5.0
THE JAY GOLDMAN	028	M	S	50,000	23.99	n/a	31-Mar	2,000.00	4.0
B BUCK CAPITAL MGMT		NDN	S	40,741	19.64	n/a	31-Mar	non-brg	4.0
SMITH MGMT LLC	029	NDN	B	50,000	19.62	n/a	31-Mar	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NOMURA CAPITAL	029	NRG	S	1,000	21.51	n/a	n/a	30.00	3.0
Ⓕ BUCK CAPITAL MGMT		NWY	S	30,000	7.02	n/a	n/a	non-brg	3.0
Ⓕ BUCK CAPITAL MGMT		ODFL	S	15,400	35.02	n/a	n/a	non-brg	2.0
Ⓕ BUCK CAPITAL MGMT		ODFL	S	61,900	35.05	n/a	n/a	non-brg	2.5
SANDLER CAPITAL	028	OII	S	111,100	89.01	n/a	n/a	5,555.00	5.0
BALYASNY ASSET MGMT	044	ORLY	C	30,000	57.21	n/a	n/a	1,500.00	5.0
Ⓕ BUCK CAPITAL MGMT		OXM	S	20,000	33.79	n/a	n/a	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	PCAR	S	150	52.34	n/a	2-Feb	0.00	0.0
f MANNY I KORMAN	FID	PCAR	B	5000	52.47	n/a	2-Feb	0.00	0.0
BALLAST CAP	040	PCL	S	2,800	43.61	n/a	1-Feb	140.00	5.0
f CHRISTOPHER ROBERT C	FID	PCX	S	75	26.24	n/a	n/a	0.00	0.0
ROYCE TRADING	012	PLCE	B	6,000	49.84	n/a	9-Mar	300.00	5.0
BUCK CAPITAL MGMT	001	PVH	S	20,000	64.96	n/a	30-Mar	600.00	3.0
Ⓕ BUCK CAPITAL MGMT		PVH	S	15,000	65.02	n/a	30-Mar	non-brg	4.0
PRIMECAP MGMT	084	PXP	S	80,000	36.40	n/a	n/a	3,200.00	4.0
Ⓕ BUCK CAPITAL MGMT		RGC	B	50,000	13.51	n/a	n/a	non-brg	4.0
EPOCH INV MGMT	030	RKT	B	29,402	69.18	n/a	n/a	882.06	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f KAREN F LEDDY	FID	RRR	S	800	14.35	n/a	12-Jan	0.00	0.0
f MARK ANTHONY GRONET	FID	RT	B	1000	13.01	n/a	n/a	0.00	0.0
WEISS PECK	040	SCVL	S	18,300	28.21	n/a	n/a	915.00	5.0
WHITE PINE CAPITAL	030	SGMS	S	2,000	8.78	n/a	n/a	100.00	5.0
B BUCK CAPITAL MGMT		SKS	C	50,000	11.33	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SLB	S	10,000	93.73	n/a	n/a	non-brg	4.0
f SNEJANA P GARFUNKEL	FID	SLB	S	500	94.26	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	266	SPN	S	12,302	41.00	n/a	n/a	492.08	4.0
f JASON ERIC COHEN	FID	SPY	B	7	0.85	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	SRI	B	345	14.50	n/a	n/a	0.00	0.0
BALLAST CAP	040	STE	SS	4,400	34.64	n/a	n/a	220.00	5.0
BALLAST CAP	040	STRA	SS	1,200	129.27	n/a	n/a	60.00	5.0
WHITE PINE CAPITAL	030	SURG	S	2,000	5.89	n/a	n/a	100.00	5.0
FIRST NEW YORK LEDDY	035	S	S	20,000	4.63	n/a	n/a	800.00	4.0
MERRILL ASSET/BLACKROCK	266	TESO	S	3,400	22.16	n/a	n/a	136.00	4.0
SAC CAPITAL/M GRONET	030	TJX	B	10,000	49.45	n/a	31-Mar	350.00	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ARMATURE CAPITAL	041	UFS	B	30,000	91.19	n/a	n/a	1,200.00	4.0
f JASON ERIC COHEN	FID	UPL	S	70	49.84	n/a	30-Mar	0.00	0.0
SCOPUS FUND	041	UPS	SS	15,000	74.40	n/a	n/a	600.00	4.0
B BUCK CAPITAL MGMT		URBN	S	40,000	30.00	n/a	n/a	non-brg	4.0
CAXTON PART	040	VIAB	B	12,689	46.80	n/a	n/a	444.13	3.5
SURVEYOR CAPITAL	041	WDR	SS	6,718	40.52	n/a	2-Mar	201.54	3.0
B BUCK CAPITAL MGMT		WERN	S	50,000	26.16	n/a	n/a	non-brg	4.0
SURVEYOR CAPITAL	041	WFT	B	90,000	22.56	n/a	n/a	2,700.00	3.0
B BUCK CAPITAL MGMT		WRC	S	20,000	56.86	n/a	1-Mar	non-brg	4.0
B BUCK CAPITAL MGMT		XRT	SS	250,000	50.55	n/a	n/a	non-brg	2.0
TOTAL (Trade Date) :								57,605.59	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	03/30	COLUMBUS CIRCLE	036	GILD	B	4,721	42.77	n/a	n/a	188.84 4.0
AO,	03/30	COLUMBUS CIRCLE	036	STJ	B	1,915	51.57	n/a	n/a	76.60 4.0
AO,	03/30	PARTNER REINSURANCE	033	TDC	S	1,391	50.43	n/a	n/a	55.64 4.0
AO,	03/30	PARTNER REINSURANCE	033	TE	S	1,766	18.73	n/a	n/a	70.64 4.0
AO,	03/30	PARTNER REINSURANCE	033	TEG	S	641	50.66	n/a	n/a	25.64 4.0
AO,	03/30	PARTNER REINSURANCE	033	TER	S	1,533	17.94	n/a	n/a	61.32 4.0
AO,	03/30	PARTNER REINSURANCE	033	TIE	S	740	18.29	n/a	n/a	29.60 4.0
AO,	03/30	PARTNER REINSURANCE	033	TLAB	S	2,999	5.32	n/a	n/a	119.96 4.0
AO,	03/30	PARTNER REINSURANCE	033	TMK	S	640	65.85	n/a	n/a	25.60 4.0
AO,	03/30	PARTNER REINSURANCE	033	TROW	S	2,129	66.23	n/a	n/a	85.16 4.0
AO,	03/30	PARTNER REINSURANCE	033	TRV	S	3,543	59.38	n/a	n/a	141.72 4.0
AO,	03/30	PARTNER REINSURANCE	033	TSO	S	1,176	27.76	n/a	n/a	47.04 4.0
AO,	03/30	PARTNER REINSURANCE	033	TSS	S	1,344	18.08	n/a	n/a	53.76 4.0
AO,	03/30	PARTNER REINSURANCE	033	TXN	S	9,694	34.74	n/a	n/a	387.76 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	03/30	PARTNER REINSURANCE	033	UNM	S	2,545	26.60	n/a	n/a	101.80 4.0
AO,	03/30	PARTNER REINSURANCE	033	USB	S	15,797	26.65	n/a	n/a	631.88 4.0
AO,	03/30	PARTNER REINSURANCE	033	V	S	4,008	74.13	n/a	7-Mar	160.32 4.0
TOTAL (AO, CXL, CRT) :										2,263.28

TOTAL (Trade Date):	57,605.59
TOTAL (AO, CXL, CRT):	2,263.28
TOTAL (RUN DATE) / NFS:	59,868.87

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 31-Mar.
NONE

MRI Securities without Trade Activity on 31-Mar.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 1%
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)