



Daily Compliance Activity Report

Trade Date: 05/26/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		210 HK	B	32,100	0.92	n/a	n/a	non-brg	0.0
BUCK CAPITAL MGMT		210 HK	S	16,000	0.92	n/a	n/a	non-brg	0.0
BUCK CAPITAL MGMT		210 HK	S	16,100	0.92	n/a	n/a	non-brg	0.0
BUCK CAPITAL MGMT		2909 HK	B	34,000	2.22	n/a	n/a	non-brg	0.0
BUCK CAPITAL MGMT		2909 HK	S	17,000	2.20	n/a	n/a	non-brg	0.0
BUCK CAPITAL MGMT		2909 HK	S	17,000	2.20	n/a	n/a	non-brg	0.0
ROTHSCHILD ASSET	040	AAP	S	3,449	62.53	n/a	n/a	137.96	4.0
JET CAPITAL/CHRIS	041	AMT	B	60,000	54.45	n/a	n/a	1,800.00	3.0
ADAGE CAPITAL MGMT	030	ANN	S	140,000	28.23	n/a	n/a	4,200.00	3.0
BUCK CAPITAL MGMT		ANN	B	100,000	28.18	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		ANN	B	35,600	28.06	n/a	n/a	non-brg	4.0
JONATHAN RICHARD HAR	FID	ARCO	B	70	21.86	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		ASNA	S	116,800	33.29	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		ASNA	S	137,422	33.01	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		ASNA	S	15,000	32.84	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		ASNA	S	35,000	32.96	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		BIG	B	29,700	31.22	n/a	19-May	non-brg	4.0
BUCK CAPITAL MGMT		BIG	B	3,300	31.20	n/a	19-May	non-brg	4.0
BUCK CAPITAL MGMT		BIG	S	80,000	31.69	n/a	19-May	non-brg	4.0
GREEN ARROW DOUG	040	BIG	B	15,000	31.41	n/a	19-May	750.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRUSTCO/SUNTRUST	040	BLK	B	1,980	197.36	n/a	n/a	69.33	3.5
SURVEYOR CAPITAL	041	BSX	SS	49,380	6.91	n/a	n/a	1,481.40	3.0
TRUSTCO/SUNTRUST	040	BWA	B	5,580	70.15	n/a	29-Apr	195.32	3.5
LISTED ERR	099	BWA	SS	380	70.06	n/a	29-Apr	0.00	0.0
DE SHAW	070	CAG	B	35,300	24.80	n/a	n/a	1,059.00	3.0
MA CAPITAL MGMT/MELLON ADV	041	CAT	B	1,000	104.21	n/a	2-May	50.00	5.0
TRUSTCO/SUNTRUST	040	CBS	B	10,150	27.34	n/a	n/a	355.26	3.5
ADAGE CAPITAL MGMT	030	CRI	S	100,000	32.58	n/a	n/a	3,000.00	3.0
IRIDIAN ASSET MGMT.	036	CSC	S	128,560	37.36	n/a	n/a	6,428.00	5.0
CAERUS GLOBAL	041	CTRN	S	13,912	16.65	n/a	n/a	556.48	4.0
f JOSEPH CIRO AMATURO	FID	CVGI	B	2000	14.84	n/a	n/a	0.00	0.0
CASTLE ARK	031	CY	B	135,299	22.40	n/a	n/a	6,764.95	5.0
CATAPULT	040	DHR	S	10,000	53.39	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		DPZ	S	20,000	24.49	n/a	6-May	non-brg	4.0
B BUCK CAPITAL MGMT		DPZ	S	50,000	24.49	n/a	6-May	non-brg	4.0
B BUCK CAPITAL MGMT		DPZ	S	70,000	24.51	n/a	6-May	non-brg	4.0
ROTHSCHILD ASSET	040	EBS	S	1,030	25.88	n/a	n/a	41.20	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRUSTCO/SUNTRUST	040	EMN	B	7,630	103.73	n/a	n/a	267.08	3.5
RAINIER INV MGMT	035	EXXI	S	19,000	34.49	n/a	n/a	760.00	4.0
ROTHSCHILD ASSET	040	FDS	S	1,631	106.76	n/a	n/a	65.24	4.0
ROYCE TRADING	012	FINL	B	2,500	21.76	n/a	10-May	125.00	5.0
TRAFELET & COMP.	028	FSL	S	50,000	19.05	n/a	n/a	1,500.00	3.0
OZ MGMT	040	F	SS	200,000	14.45	n/a	25-May	6,000.00	3.0
⌘ BUCK CAPITAL MGMT		GCO	S	140,000	44.78	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GCO	S	20,000	43.91	n/a	n/a	non-brg	0.8
⌘ BUCK CAPITAL MGMT		GCO	S	20,000	44.53	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GCO	S	20,000	45.34	n/a	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		GCO	S	20,000	45.34	n/a	n/a	non-brg	2.5
TRUSTCO/SUNTRUST	040	GE	B	20,930	19.41	n/a	n/a	732.58	3.5
CIRCLE T/SES PART	033	GM	B	5,000	30.65	n/a	25-May	200.00	4.0
OZ MGMT	040	GM	C	75,000	30.76	n/a	25-May	2,250.00	3.0
SMITH MGMT LLC	029	GPS	SS	264,800	18.88	n/a	n/a	7,944.00	3.0
CR INTRINIC INVESTMENT	044	HD	B	20,000	36.14	n/a	18-May	700.00	3.5
TRUSTCO/SUNTRUST	040	HIG	S	133,465	26.47	n/a	n/a	4,671.28	3.5
TRUSTCO/SUNTRUST	040	HOT	B	5,275	60.85	n/a	28-Apr	184.64	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JET CAPITAL/CHRIS	041	IYR	SS	25,000	61.17	n/a	n/a	750.00	3.0
SUN AMERICA ASSET MGMT	030	JWN	B	1,400	46.28	n/a	17-May	56.00	4.0
B BUCK CAPITAL MGMT		KOS	B	40,000	18.49	n/a	n/a	non-brg	4.0
FIRST NEW YORK FRAN	028	KSS	B	55,000	54.25	n/a	13-May	2,200.00	4.0
B BUCK CAPITAL MGMT		LEA	B	10,000	48.98	n/a	2-May	non-brg	1.0
f KAREN F LEDDY	FID	LEA	S	400	49.57	n/a	2-May	0.00	0.0
SUN AMERICA ASSET MGMT	030	LULU	B	1,000	93.15	n/a	17-Mar	40.00	4.0
SURVEYOR CAPITAL	041	MAR	B	26,617	37.53	n/a	21-Apr	798.51	3.0
TRUSTCO/SUNTRUST	040	MYL	B	27,890	23.02	n/a	23-May	976.18	3.5
SAC COHEN	044	M	B	35,000	28.43	n/a	12-May	1,225.00	3.5
TRUSTCO/SUNTRUST	040	M	B	40,566	28.64	n/a	12-May	1,419.84	3.5
SUN AMERICA ASSET MGMT	030	OXY	B	800	105.10	n/a	n/a	32.00	4.0
f CHRISTOPHER ROBERT C	FID	PCH	B	200	35.40	n/a	27-Apr	0.00	0.0
ROTHSCHILD ASSET	040	PCS	S	2,930	18.11	n/a	n/a	117.20	4.0
B BUCK CAPITAL MGMT		PERY	S	7,800	29.80	n/a	n/a	non-brg	4.0
TRUSTCO/SUNTRUST	040	PFE	B	6,210	20.91	n/a	n/a	217.38	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	012	PLCE	B	18,700	49.78	n/a	20-May	935.00	5.0
TRUSTCO/SUNTRUST	040	PM	B	4,840	70.49	n/a	n/a	169.43	3.5
B BUCK CAPITAL MGMT		PNK	B	39,338	14.66	n/a	n/a	non-brg	4.0
GREEN ARROW DOUG	040	RGC	B	15,000	13.73	n/a	n/a	750.00	5.0
SURVEYOR CAPITAL	041	RGC	SS	20,346	13.68	n/a	n/a	610.38	3.0
B BUCK CAPITAL MGMT		RL	B	24,300	115.97	26-May	26-May	non-brg	1.0
B BUCK CAPITAL MGMT		RL	B	30,000	116.09	26-May	26-May	non-brg	4.0
B BUCK CAPITAL MGMT		RL	B	30,000	117.03	26-May	26-May	non-brg	4.0
B BUCK CAPITAL MGMT		RL	B	45,700	115.84	26-May	26-May	non-brg	4.0
KADE CAPITAL LLC	028	RL	S	7,500	118.12	26-May	26-May	375.00	5.0
BALLAST CAP	040	SCHW	SS	23,000	17.34	n/a	n/a	1,150.00	5.0
f KAREN F LEDDY	FID	SGI	B	800	17.11	n/a	n/a	0.00	0.0
CR INTRINIC INVESTMENT	044	SLE	B	20,000	19.36	n/a	n/a	700.00	3.5
f JOSEPH CIRO AMATURO	FID	SLW	B	1000	35.50	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SODA	B	20,000	55.67	n/a	n/a	non-brg	2.5
CAERUS GLOBAL	041	SONC	S	16,800	11.51	n/a	n/a	672.00	4.0
B BUCK CAPITAL MGMT		SSI	C	30,000	17.14	n/a	n/a	non-brg	4.0
SUN AMERICA ASSET MGMT	030	STJ	B	900	50.22	n/a	n/a	36.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MARK DEVEREAUX KAICH	FID	STVI	B	3000	2.06	n/a	n/a	0.00	0.0
FIRST NEW YORK LEDDY	035	S	S	20,000	5.88	n/a	n/a	800.00	4.0
CR INTRINIC INVESTMENT	044	TGT	B	20,000	49.40	n/a	18-May	700.00	3.5
SAC COHEN	044	TJX	B	20,000	53.00	n/a	18-May	700.00	3.5
SIGMA CAPITAL ASSOCIATES	041	TJX	B	75,000	53.15	n/a	18-May	2,625.00	3.5
TRUSTCO/SUNTRUST	040	UNH	B	9,220	47.56	n/a	n/a	322.72	3.5
SUN AMERICA ASSET MGMT	030	UTX	B	3,200	86.42	n/a	n/a	128.00	4.0
f CHRISTOPHER ROBERT C	FID	VFC	B	50	97.93	n/a	2-May	0.00	0.0
f KAREN F LEDDY	FID	WNC	B	1500	9.36	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		WRC	B	30,000	54.93	n/a	6-May	non-brg	4.0
B BUCK CAPITAL MGMT		XRT	SS	45,000	53.34	n/a	n/a	non-brg	2.0
f SCOTT L BRUNNER	FID	ZINC	B	2000	12.74	n/a	n/a	0.00	0.0
TOTAL (Trade Date) :								71,194.36	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	05/25	ACK ASSET	028	IWM	B	50,000	82.06	n/a	n/a	1500.00 3.0
AO,CRT	05/25	ACK ASSET	028	IWM	B	50,000	82.06	n/a	n/a	1500.00 3.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	71,194.36
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	71,194.36
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CXL	05/25	BUCK CAPITAL MGMT.	SODA	S	20,000	59.30	n/a	n/a	800.00
CRT	05/25	BUCK CAPITAL MGMT	SODA	S	20,000	59.30	n/a	n/a	800.00 4.0

MRI Securities with Trade Activity on 26-May.

RL

MRI Securities without Trade Activity on 26-May.

COG

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)