



Daily Compliance Activity Report

Trade Date: 06/28/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		1913 HK	B	300,000	5.61	n/a	n/a	non-brg	1.1
ROTHSCHILD ASSET	040	AIMC	S	22,144	23.63	n/a	n/a	885.76	4.0
BALYASNY ASSET MGMT	044	ALV	B	22,607	76.96	n/a	27-Jun	1,130.35	5.0
BALYASNY ASSET MGMT	044	ALV	C	10,000	76.65	n/a	27-Jun	500.00	5.0
CASTLEROCK	040	ALV	B	124,826	77.25	n/a	27-Jun	4,993.04	4.0
OZ MGMT	040	ALV	B	28,000	76.98	n/a	27-Jun	840.00	3.0
OZ MGMT	040	ALV	C	56,045	76.75	n/a	27-Jun	1,681.35	3.0
BALYASNY ASSET MGMT	044	AN	SS	20,000	36.43	n/a	27-Apr	1,000.00	5.0
f JASON ERIC COHEN	FID	AONE	S	375	5.17	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ARCO	S	117,064	20.78	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ARCO	S	119,000	21.14	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ARCO	S	15,959	20.78	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ARCO	S	71,936	20.78	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ARCO	S	77,400	21.14	n/a	n/a	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	AXL	B	500	10.98	n/a	25-May	0.00	0.0
NEWLAND CAPITAL MGT	025	AXL	B	50,000	11.02	n/a	25-May	2,000.00	4.0
LATEFF MGMT	035	BA	B	500	72.20	n/a	24-Jun	125.00	25.0
OZ MGMT	040	BWA	C	69,974	78.37	n/a	29-Apr	2,099.22	3.0
TUDOR INVESTORS	028	CAT	SS	3,000	103.19	n/a	2-May	90.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		CBK	C	30,000	5.77	n/a	n/a	non-brg	2.5
f MARC PAUL LUCHANSKY	FID	CIM	S	2000	3.37	n/a	n/a	0.00	0.0
AMBER CAPITAL	046	CIT	S	2,700	43.24	n/a	17-May	108.00	4.0
f JASON ERIC COHEN	FID	CLNE	B	190	13.23	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	CMG	B	50	304.54	n/a	21-Apr	0.00	0.0
TUDOR INVESTORS	028	CMI	B	2,000	99.39	n/a	27-Apr	60.00	3.0
f KEVIN MICHAEL O'GORM	FID	CRBC	S	16000	0.64	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	CW	B	10,000	31.64	n/a	n/a	400.00	4.0
OZ MGMT	040	DAN	C	89,425	17.92	n/a	25-May	2,682.75	3.0
AMBER CAPITAL	046	DCOM	B	7,900	14.34	n/a	n/a	316.00	4.0
RIDGECREST INV MGMT LLC	028	DKS	B	5,000	38.39	n/a	18-May	250.00	5.0
SCOPUS FUND	041	DKS	S	25,000	38.36	n/a	18-May	1,000.00	4.0
TUDOR INVESTORS	028	ETN	B	3,000	48.76	n/a	16-Jun	90.00	3.0
B BUCK CAPITAL MGMT		EXPR	B	50,000	21.68	n/a	n/a	non-brg	4.0
ROYCE TRADING	012	FINL	B	9,000	21.71	n/a	24-Jun	450.00	5.0
BALYASNY ASSET MGMT	044	FL	B	30,000	24.42	n/a	2-Jun	1,500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BNP PARIBAS SEC	040	FL	S	25,000	24.36	n/a	2-Jun	1,250.00	5.0
SAC TRADING TOM LEDDY	035	FL	S	8,811	24.65	n/a	2-Jun	308.39	3.5
RAINIER INV MGMT	035	FMER	B	114,300	16.25	n/a	n/a	4,572.00	4.0
PIONEER PATH	028	F	B	74,599	13.41	n/a	2-Jun	2,237.97	3.0
B BUCK CAPITAL MGMT		GES	S	25,000	41.77	n/a	26-May	non-brg	4.0
BNP PARIBAS SEC	040	GM	SS	30,000	30.29	n/a	2-Jun	1,500.00	5.0
CIRCLE T/SES PART	033	GM	SS	10,000	30.22	n/a	2-Jun	400.00	4.0
MAPLE LEAF PARTNERS	031	GM	SS	50,000	30.44	n/a	2-Jun	2,500.00	5.0
MERRILL ASSET/BLACKROCK	297	GM	B	136,800	30.73	n/a	2-Jun	5,472.00	4.0
f DAVID GEORGE BUCK	FID	GS	B	500	129.30	n/a	16-Jun	0.00	0.0
PROSPECTOR PARTNERS LLC	036	HES	B	10,000	71.32	n/a	n/a	400.00	4.0
PARAMETER CAPITAL MGMT LLC	044	HOT	B	17,500	54.80	n/a	13-Jun	700.00	4.0
f KAREN F LEDDY	FID	HOV	B	4000	2.09	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	HPQ	B	1500	35.12	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	HWCC	B	130	14.59	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	IWF	B	1000	59.73	n/a	n/a	0.00	0.0
WEISS PECK	040	JNY	B	15,300	10.63	n/a	28-Apr	765.00	5.0
f CHRISTOPHER ROBERT C	FID	KMT	S	200	40.46	n/a	29-Apr	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	KSS	SS	25,000	50.61	n/a	3-Jun	1,250.00	5.0
B BUCK CAPITAL MGMT		KSS	B	20,000	50.50	n/a	3-Jun	non-brg	4.0
BASIX	033	LEA	B	10,000	51.42	n/a	2-May	300.00	3.0
MILLRACE FUND LP	028	LEA	B	12,800	51.30	n/a	2-May	512.00	4.0
OZ MGMT	040	LEA	C	65,162	51.26	n/a	2-May	1,954.86	3.0
f CHRISTOPHER ROBERT C	FID	LVS	S	150	41.44	n/a	13-Jun	0.00	0.0
CHESAPEAKE PARTNERS	028	LYV	S	40,000	11.18	n/a	n/a	1,200.00	3.0
ROYCE TRADING	012	MLI	B	6,000	36.91	n/a	27-Apr	300.00	5.0
PAW PARTNERS	025	MRVL	B	12,500	14.20	n/a	n/a	625.00	5.0
BMO NESBITT BURNS	041	NKE	S	700	87.62	n/a	21-Jun	70.00	10.0
WEISS PECK	040	PAG	B	12,100	22.14	n/a	29-Apr	605.00	5.0
B BUCK CAPITAL MGMT		SIX	B	120,000	37.86	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		SIX	B	180,000	37.86	n/a	n/a	non-brg	2.5
BMO NESBITT BURNS	041	SKX	B	4,500	14.18	n/a	n/a	450.00	10.0
SCOPUS FUND	041	SPLS	S	50,000	15.41	n/a	n/a	2,000.00	4.0
f MARC PAUL LUCHANSKY	FID	SPY	B	500	128.51	n/a	n/a	0.00	0.0
NOMURA CAPITAL	029	SPY	SS	5,000	129.32	n/a	n/a	150.00	3.0
SOROS	036	STX	S	150,000	15.27	n/a	n/a	6,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		TFM	B	20,000	39.38	n/a	n/a	non-brg	4.0
OZ MGMT	040	TRW	C	61,569	58.75	n/a	n/a	1,847.07	3.0
ELM RIDGE ADVISORS	044	USG	SS	24,800	14.21	n/a	20-Apr	992.00	4.0
f DAVID GEORGE BUCK	FID	VNO	B	500	91.86	n/a	n/a	0.00	0.0
MATRIX ASSET ADV.	091	VOD	B	2,000	26.17	n/a	n/a	80.00	4.0
SOROS	036	WDC	S	51,000	35.30	n/a	n/a	2,040.00	4.0
f CHRISTOPHER ROBERT C	FID	WY	B	300	20.86	n/a	3-Jun	0.00	0.0
TUDOR INVESTORS	028	XLB	SS	5,000	38.17	n/a	n/a	150.00	3.0
TUDOR INVESTORS	028	XLI	SS	5,000	36.42	n/a	n/a	150.00	3.0
B BUCK CAPITAL MGMT		XRT	SS	94,000	53.42	n/a	n/a	non-brg	2.0
KLEINHEINZ CAP PART	031	YUM	B	50,000	55.03	n/a	25-Apr	2,500.00	5.0
TOTAL (Trade Date):								65,482.76	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/27	RAIL-SPLITTER	031	EAT	SS	5,200	24.57	n/a	29-Apr	0.00 0.0
AO,CRT	06/27	RAIL-SPLITTER	031	EAT	SS	5,200	24.57	n/a	29-Apr	260.00 5.0
AO,	06/27	ROYCE TRADING	012	MLI	B	5,595	36.41	n/a	27-Apr	279.75 5.0

TOTAL (AO, CXL, CRT) :	539.75
-------------------------------	---------------

TOTAL (Trade Date) :	65,482.76
TOTAL (AO, CXL, CRT) :	539.75

TOTAL (RUN DATE) / NFS:	66,022.51
--------------------------------	------------------

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
------	------	---------	--------	-----	--------	-------	--------------	-------------

MRI Securities with Trade Activity on 28-Jun.
NONE

MRI Securities without Trade Activity on 28-Jun.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 0%
YTD = 3%

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)