



Daily Compliance Activity Report

Trade Date: 05/17/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------------|------------|-------------|-----------|---------------|--------------|------------|--------------|----------------|------------|
| ROTHSCHILD ASSET | 040 | AMP | B | 9,617 | 61.51 | n/a | n/a | 384.68 | 4.0 |
| MILLRACE FUND LP | 028 | ANF | S | 4,000 | 72.93 | n/a | 6-May | 160.00 | 4.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | ANF | B | 25,000 | 72.50 | n/a | 6-May | 875.00 | 3.5 |
| ADAGE CAPITAL MGMT | 030 | AOS | S | 1,399 | 40.84 | n/a | 16-May | 41.97 | 3.0 |
| B BUCK CAPITAL MGMT | | APC | B | 10,000 | 72.01 | n/a | 3-May | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | APO | B | 1,800 | 17.21 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | APO | B | 100 | 17.21 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | APO | B | 19,300 | 17.21 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | APO | B | 2,200 | 17.21 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | APO | B | 2,400 | 17.21 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | APO | B | 2,700 | 17.21 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | APO | B | 600 | 17.21 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | APO | B | 900 | 17.21 | n/a | n/a | non-brg | 4.0 |
| PIIONEER PATH | 028 | ART | SS | 13,633 | 14.65 | n/a | n/a | 408.99 | 3.0 |
| TRELLUS PARTNERS LP | 028 | AXL | SS | 60,000 | 11.11 | n/a | 2-May | 3,000.00 | 5.0 |
| LISTED ERR | 099 | AXL | B | 100 | 11.15 | n/a | 2-May | 0.00 | 0.0 |
| LISTED ERR | 099 | AXL | SS | 100 | 11.18 | n/a | 2-May | 0.00 | 0.0 |
| f JOSEPH CIRO AMATURO | FID | BGZ | B | 2000 | 35.06 | n/a | n/a | 0.00 | 0.0 |
| f JONATHAN RICHARD HAR | FID | BODY | S | 400 | 25.25 | n/a | n/a | 0.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|-------------|----------|---------------|---------------|------------|---------------|----------------|------------|
| PIIONEER PATH | 028 | BXS | B | 70,491 | 12.92 | n/a | n/a | 2,114.73 | 3.0 |
| f CHRISTOPHER ROBERT C | FID | CAT | B | 50 | 102.43 | n/a | 2-May | 0.00 | 0.0 |
| f DAVID GEORGE BUCK | FID | CAT | S | 1400 | 102.14 | n/a | 2-May | 0.00 | 0.0 |
| MILLENNIUM-ANDEW | 031 | CAT | B | 5,000 | 101.81 | n/a | 2-May | 300.00 | 6.0 |
| CRAMER ROSENTHAL/SCOTT | 012 | CBI | B | 85,950 | 36.81 | n/a | n/a | 3,438.00 | 4.0 |
| COUGAR TRADING | 044 | CBRL | B | 10,000 | 52.16 | n/a | n/a | 500.00 | 5.0 |
| PIIONEER PATH | 028 | CFR | SS | 13,116 | 58.47 | n/a | n/a | 393.48 | 3.0 |
| f DAVID GEORGE BUCK | FID | CHH | S | 2000 | 35.62 | n/a | 29-Apr | 0.00 | 0.0 |
| f FRANCIS MICHAEL MCCA | FID | CMI | S | 100 | 106.90 | n/a | 27-Apr | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | COH | B | 10,000 | 58.52 | n/a | 27-Apr | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | CSTR | B | 25,000 | 52.36 | n/a | n/a | non-brg | 2.0 |
| B BUCK CAPITAL MGMT | | CSTR | B | 75,000 | 52.20 | n/a | n/a | non-brg | 4.0 |
| f CALEF CAMPBELL DAVIS | FID | CVGI | B | 45 | 15.61 | n/a | n/a | 0.00 | 0.0 |
| f JONATHAN RICHARD HAR | FID | CVGI | B | 65 | 15.50 | n/a | n/a | 0.00 | 0.0 |
| THIRD COAST CAPITAL | 035 | CVGI | S | 15,000 | 15.51 | n/a | n/a | 750.00 | 5.0 |
| f CALEF CAMPBELL DAVIS | FID | CWTR | S | 248 | 2.93 | n/a | n/a | 0.00 | 0.0 |
| MERRILL ASSET/BLACKROCK | 297 | DCOM | S | 27,400 | 13.88 | n/a | n/a | 1,096.00 | 4.0 |
| B BUCK CAPITAL MGMT | 001 | DDS | B | 20,000 | 53.13 | n/a | n/a | 600.00 | 3.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------------------------|-----|--------|-----|---------|--------|-----|----------|-------------|------|
| ⚡ BUCK CAPITAL MGMT | | DDS | B | 10,000 | 52.92 | n/a | n/a | non-brg | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | DDS | B | 10,000 | 53.14 | n/a | n/a | non-brg | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | DIA | C | 38,339 | 124.95 | n/a | n/a | non-brg | 2.0 |
| BMO NESBITT BURNS | 041 | DKS | B | 2,700 | 39.12 | n/a | 12-May | 270.00 | 10.0 |
| CAERUS GLOBAL | 041 | DKS | SS | 10,100 | 39.50 | n/a | 12-May | 404.00 | 4.0 |
| TALPION LLC | 040 | DLTR | S | 5,000 | 60.14 | n/a | 16-May | 200.00 | 4.0 |
| ARCHON CAPITAL | 035 | EGHT | B | 125,000 | 2.86 | n/a | n/a | 3,750.00 | 3.0 |
| ROYCE TRADING | 012 | FINL | B | 48,000 | 21.61 | n/a | 10-May | 2,400.00 | 5.0 |
| ⚡ MITCHELL JAMES SPEIS | FID | FSNXX | B | 3296 | 1.00 | n/a | n/a | 0.00 | 0.0 |
| ⚡ BUCK CAPITAL MGMT | | GCO | B | 28,300 | 41.00 | n/a | n/a | non-brg | 4.0 |
| FORWARD MGMT | 033 | GGC | S | 20,000 | 27.82 | n/a | n/a | 800.00 | 4.0 |
| EVERCORE WEALTH MGMT | 012 | GLD | S | 71,624 | 143.70 | n/a | n/a | 2,864.96 | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | GME | C | 110,000 | 26.52 | n/a | n/a | non-brg | 4.0 |
| OZ MGMT | 040 | GM | C | 29,316 | 31.01 | n/a | 6-May | 879.48 | 3.0 |
| PHILADELPHIA FINANCIAL | 033 | GM | C | 95,082 | 31.01 | n/a | 6-May | 3,803.28 | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | HBI | B | 10,000 | 30.49 | n/a | 21-Apr | non-brg | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | HBI | B | 15,000 | 30.26 | n/a | 21-Apr | non-brg | 1.0 |
| LANE GATE PARTNERS LLC | 012 | HD | B | 4,000 | 37.75 | n/a | 11-May | 120.00 | 3.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|------------|----------|---------------|--------------|------------|---------------|----------------|------------|
| SIGMA CAPITAL ASSOCIATES | 041 | HD | B | 50,000 | 37.44 | n/a | 11-May | 1,750.00 | 3.5 |
| ROSEDALE CAPITAL | 046 | HES | B | 10,724 | 74.31 | n/a | n/a | 536.20 | 5.0 |
| ROSEDALE CAPITAL | 046 | HES | S | 10,724 | 75.05 | n/a | n/a | 536.20 | 5.0 |
| f DAVID GEORGE BUCK | FID | HOT | S | 2000 | 56.36 | n/a | 28-Apr | 0.00 | 0.0 |
| BMO NESBITT BURNS | 041 | IP | SS | 27,000 | 31.25 | n/a | 28-Apr | 1,350.00 | 5.0 |
| ENTRUST CAPITAL | 040 | ITT | B | 13,700 | 56.42 | n/a | 4-May | 685.00 | 5.0 |
| f ANTHONY SUTERA | FID | JNY | B | 1000 | 12.63 | n/a | 28-Apr | 0.00 | 0.0 |
| f JOHN MICHAEL ZOLIDIS | FID | KMX | B | 100 | 30.22 | n/a | n/a | 0.00 | 0.0 |
| JP MORGAN VENTURES | 046 | KR | S | 10,000 | 25.23 | n/a | n/a | 400.00 | 4.0 |
| B BUCK CAPITAL MGMT | | LL | S | 31,900 | 25.65 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | LL | S | 8,100 | 25.59 | n/a | n/a | non-brg | 2.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | LOW | SS | 25,000 | 24.64 | n/a | 16-May | 875.00 | 3.5 |
| B BUCK CAPITAL MGMT | | LPX | B | 60,000 | 8.15 | n/a | 10-May | non-brg | 3.0 |
| B BUCK CAPITAL MGMT | | LPX | B | 62,000 | 8.14 | n/a | 10-May | non-brg | 2.0 |
| CSFB GLOBAL PROPRIETARY | 041 | LPX | B | 40,000 | 8.15 | n/a | 10-May | 2,000.00 | 5.0 |
| f CHRISTOPHER ROBERT C | FID | LVS | B | 150 | 41.24 | n/a | 10-May | 0.00 | 0.0 |
| f DAVID GEORGE BUCK | FID | MAR | B | 2000 | 35.70 | n/a | 21-Apr | 0.00 | 0.0 |
| AVESTA CAP | 229 | MCD | S | 150,000 | 80.91 | n/a | 9-May | 4,500.00 | 3.0 |

| | Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---|------------------------|-----|--------|-----|--------|--------|-----|----------|-------------|-----|
| f | DAVID GEORGE BUCK | FID | MCD | B | 700 | 80.63 | n/a | 9-May | 0.00 | 0.0 |
| ß | BUCK CAPITAL MGMT | | MDY | C | 26,489 | 178.00 | n/a | n/a | non-brg | 2.0 |
| ß | BUCK CAPITAL MGMT | | MNRO | B | 10,000 | 30.58 | n/a | n/a | non-brg | 4.0 |
| ß | BUCK CAPITAL MGMT | | MNRO | B | 15,000 | 32.23 | n/a | n/a | non-brg | 4.0 |
| ß | BUCK CAPITAL MGMT | | MNRO | B | 5,000 | 30.71 | n/a | n/a | non-brg | 0.8 |
| f | JOSEPH CIRO AMATURO | FID | MOTR | B | 2000 | 8.61 | n/a | n/a | 0.00 | 0.0 |
| f | DAVID GEORGE BUCK | FID | MRK | B | 1000 | 37.07 | n/a | n/a | 0.00 | 0.0 |
| | SANDLER O'NEILL ASSET | 031 | MS | S | 10,000 | 24.19 | n/a | 17-May | 500.00 | 5.0 |
| Õ | Doug Rogers | | MWA | S | 1000 | 4.18 | n/a | n/a | 0.00 | 0.0 |
| Õ | Doug Rogers | | MWA | S | 3000 | 4.19 | n/a | n/a | 0.00 | 0.0 |
| | BMO NESBITT BURNS | 041 | MWV | S | 2,000 | 32.99 | n/a | 27-Apr | 100.00 | 5.0 |
| | CR INTRINIC INVESTMENT | 044 | M | S | 15,000 | 28.40 | n/a | 12-May | 525.00 | 3.5 |
| | ENTRUST CAPITAL | 040 | NLC | B | 20,300 | 28.67 | n/a | n/a | 1,015.00 | 5.0 |
| f | MARK DEVEREAUX KAICH | FID | NQ | S | 1500 | 8.03 | n/a | n/a | 0.00 | 0.0 |
| | CYPRESS CAP MGMT LLC | 040 | NYT | B | 94,500 | 7.25 | n/a | n/a | 3,780.00 | 4.0 |
| | FARALLON CAP MGMT | 040 | ORCL | B | 50,000 | 33.90 | n/a | n/a | 1,500.00 | 3.0 |
| | KENNEDY CAPITAL | 046 | OXM | S | 19,329 | 38.86 | n/a | n/a | 773.16 | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|-------------|----------|---------------|---------------|------------|---------------|----------------|------------|
| f JOSEPH CIRO AMATURO | FID | PAYD | B | 10000 | 0.38 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | PERY | B | 10,000 | 29.34 | n/a | n/a | non-brg | 2.5 |
| ROYCE TRADING | 012 | PLCE | B | 21,538 | 53.96 | n/a | 13-May | 1,076.90 | 5.0 |
| TRUSTCO/SUNTRUST | 040 | PRM | S | 38,684 | 7.01 | n/a | n/a | 1,353.99 | 3.5 |
| B BUCK CAPITAL MGMT | 001 | PVH | B | 10,000 | 66.81 | n/a | 25-Apr | 300.00 | 3.0 |
| B BUCK CAPITAL MGMT | | RTH | C | 21,600 | 112.44 | n/a | n/a | non-brg | 2.0 |
| B BUCK CAPITAL MGMT | | SFLY | B | 17,147 | 53.50 | n/a | n/a | non-brg | 2.5 |
| B BUCK CAPITAL MGMT | | SLB | B | 10,000 | 81.42 | n/a | n/a | non-brg | 4.0 |
| EVERCORE WEALTH MGMT | 012 | SLB | S | 10,160 | 80.98 | n/a | n/a | 508.00 | 5.0 |
| B BUCK CAPITAL MGMT | | SODA | B | 10,000 | 43.83 | n/a | n/a | non-brg | 2.5 |
| B BUCK CAPITAL MGMT | | SODA | B | 30,000 | 44.36 | n/a | n/a | non-brg | 2.5 |
| B BUCK CAPITAL MGMT | | SPY | C | 21,414 | 132.91 | n/a | n/a | non-brg | 2.0 |
| f MARK DEVEREAUX KAICH | FID | STVI | B | 3000 | 1.72 | n/a | n/a | 0.00 | 0.0 |
| PIIONEER PATH | 028 | STZ | B | 36,800 | 22.72 | n/a | n/a | 1,104.00 | 3.0 |
| MERRILL ASSET/BLACKROCK | 297 | SUSQ | S | 48,220 | 8.57 | n/a | n/a | 1,928.80 | 4.0 |
| B BUCK CAPITAL MGMT | | TEX | B | 17,000 | 29.83 | n/a | 25-Apr | non-brg | 4.0 |

| | Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---------------------|----------------------|-----|--------|-----|--------|-------|-----|----------|-------------|-----|
| Õ | Doug Rogers | | TEX | S | 700 | 30.60 | n/a | 25-Apr | 0.00 | 0.0 |
| | BUCK CAPITAL MGMT | 001 | TJX | B | 10,000 | 52.51 | n/a | 6-May | 300.00 | 3.0 |
| f | ABRAM M CHAPPELL | FID | UAL | S | 100 | 26.39 | n/a | n/a | 0.00 | 0.0 |
| f | ALEXANDRA ELISE ZOLI | FID | UA | B | 50 | 62.07 | n/a | 27-Apr | 0.00 | 0.0 |
| ß | BUCK CAPITAL MGMT | | URBN | S | 20,000 | 32.79 | n/a | n/a | non-brg | 4.0 |
| ß | BUCK CAPITAL MGMT | | URBN | S | 20,000 | 32.91 | n/a | n/a | non-brg | 4.0 |
| | ROTHSCHILD ASSET | 040 | WAT | S | 9,699 | 95.62 | n/a | n/a | 387.96 | 4.0 |
| ß | BUCK CAPITAL MGMT | | WNC | B | 50,000 | 9.01 | n/a | n/a | non-brg | 3.0 |
| | BMO NESBITT BURNS | 041 | WY | B | 4,000 | 21.57 | n/a | 29-Apr | 200.00 | 5.0 |
| ß | BUCK CAPITAL MGMT | | XRT | C | 45,000 | 53.07 | n/a | n/a | non-brg | 2.0 |
| f | DOUGLAS ROGERS | FID | | S | 32000 | 96.03 | n/a | n/a | 0.00 | 0.0 |
| TOTAL (Trade Date): | | | | | | | | | 57,539.78 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|-------------------------------|-------|-------------------|------|--------|-----|--------|-------|-----|----------|-------------|
| AO,CXL | 05/13 | LIONEYE CAPITAL | 040 | BIG | B | 10,000 | 38.54 | n/a | 5-May | 400.00 4.0 |
| AO,CRT | 05/13 | LIONEYE CAPITAL | 040 | BIG | B | 10,000 | 38.54 | n/a | 5-May | 400.00 4.0 |
| AO,CXL | 05/16 | MATRIX ASSET ADV. | 091 | HRS | B | 2,000 | 48.54 | n/a | 4-May | 80.00 4.0 |
| AO,CRT | 05/16 | MATRIX ASSET ADV. | 091 | HRS | B | 2,000 | 48.54 | n/a | 4-May | 80.00 4.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | 0.00 |

| | |
|------------------------|-----------|
| TOTAL (Trade Date) : | 57,539.78 |
| TOTAL (AO, CXL, CRT) : | 0.00 |

| | |
|---------------------------------|------------------|
| TOTAL (RUN DATE) / NFS : | 57,539.78 |
|---------------------------------|------------------|

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 17-May.
NONE

MRI Securities without Trade Activity on 17-May.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 4%
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)