



Daily Compliance Activity Report

Trade Date: 06/14/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROTHSCHILD ASSET	040	AGP	S	11,076	67.54	n/a	n/a	443.04	4.0
TALPION LLC	040	ANF	C	6,000	67.36	n/a	19-May	240.00	4.0
⌘ BUCK CAPITAL MGMT		ANN	B	50,000	26.66	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		ANN	B	50,000	26.66	n/a	n/a	non-brg	4.0
RIDGECREST INV MGMT LLC	028	AOS	B	10,000	40.37	n/a	6-Jun	500.00	5.0
SANDLER O'NEILL ASSET	031	AXP	B	25,000	48.82	n/a	14-Jun	1,250.00	5.0
TALPION LLC	040	BBBY	C	10,000	54.48	n/a	n/a	400.00	4.0
⌘ BUCK CAPITAL MGMT		BBY	S	10,000	31.00	n/a	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		BBY	S	120,000	30.13	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		BBY	S	15,000	29.62	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		BBY	S	180,000	29.98	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		BBY	S	30,000	30.13	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		BBY	S	40,000	31.00	n/a	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		BBY	S	45,000	29.98	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		BBY	S	60,000	29.62	n/a	n/a	non-brg	4.0
⌘ BARBARA S LEDDY	FID	BONT	B	750	8.56	n/a	n/a	0.00	0.0
⌘ KAREN F LEDDY	FID	BONT	B	1200	8.48	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		BYD	B	25,000	7.97	n/a	n/a	non-brg	3.0
M&I FUNDS	047	CBE	S	7,244	61.04	n/a	26-Apr	289.76	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KLEINHEINZ CAP PART	031	CCJ	S	50,000	24.91	n/a	n/a	2,500.00	5.0
JP MORGAN VENTURES	046	CHS	S	10,000	14.25	n/a	5-Feb	300.00	3.0
f DAVID GEORGE BUCK	FID	CLX	B	1000	67.09	n/a	14-Jun	0.00	0.0
f FRANCIS MICHAEL MCCA	FID	CMI	B	100	96.03	n/a	27-Apr	0.00	0.0
B BUCK CAPITAL MGMT		COH	B	10,000	59.70	n/a	3-Jun	non-brg	4.0
f KAREN F LEDDY	FID	CPN	S	1000	15.52	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	CPX	S	37,231	31.71	n/a	n/a	1,489.24	4.0
f DAVID GEORGE BUCK	FID	CVS	B	2000	37.98	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	CWTR	B	3700	1.46	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	DAN	S	3,000	16.90	n/a	25-May	300.00	10.0
SAC TRADING TOM LEDDY	035	DLTR	SS	15,000	62.90	n/a	20-May	525.00	3.5
f DAVID GEORGE BUCK	FID	EFA	B	1000	60.20	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	EL	S	50	98.74	n/a	14-Jun	0.00	0.0
f CHRISTOPHER ROBERT C	FID	ETN	B	100	47.48	n/a	17-May	0.00	0.0
f MANNY I KORMAN	FID	ETN	B	3000	47.51	n/a	17-May	0.00	0.0
MACQUARIE INVESTMENT MGMT.	040	EVR	B	2,500	33.60	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		FITB	B	20,000	12.44	n/a	n/a	non-brg	4.0
ROSEDALE CAPITAL	046	F	S	20,000	13.53	n/a	2-Jun	1,000.00	5.0
TRUSTCO/SUNTRUST	040	GDX	S	69,144	53.44	n/a	n/a	2,420.05	3.5
B BUCK CAPITAL MGMT		GES	B	20,000	41.60	n/a	26-May	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	GMCR	B	50	79.70	n/a	n/a	0.00	0.0
CHESAPEAKE PARTNERS	028	GRM	B	50,960	26.34	n/a	n/a	1,528.80	3.0
JP MORGAN VENTURES	046	HD	SS	15,000	34.66	n/a	18-May	600.00	4.0
MACQUARIE INVESTMENT MGMT.	040	HD	B	5,000	34.10	n/a	18-May	0.00	0.0
AMBER CAPITAL	046	HOG	B	24,700	35.80	n/a	n/a	988.00	4.0
PARAMETER CAPITAL MGMT LLC	044	HON	B	15,000	56.49	n/a	3-Jun	600.00	4.0
MACQUARIE INVESTMENT MGMT.	040	IART	B	5,000	46.78	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	INTC	B	65,011	21.78	n/a	n/a	2,600.44	4.0
TRUSTCO/SUNTRUST	040	INTC	B	61,360	21.86	n/a	n/a	2,147.60	3.5
TRUSTCO/SUNTRUST	040	IVV	B	28,608	129.75	n/a	n/a	1,001.29	3.5
f MANNY I KORMAN	FID	JCI	B	4000	37.29	n/a	10-Jun	0.00	0.0
SAC TRADING TOM LEDDY	035	JNY	S	30,000	10.52	n/a	28-Apr	1,050.00	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		JOSB	B	20,000	47.13	n/a	n/a	non-brg	4.0
SAC CHICAGO ANDREW	031	JWN	B	3,100	43.39	n/a	3-Jun	108.50	3.5
PARAMETER CAPITAL MGMT LLC044		KMT	S	10,000	38.70	n/a	29-Apr	400.00	4.0
PARAMETER CAPITAL MGMT LLC044		KRO	SS	50,000	27.36	n/a	n/a	2,000.00	4.0
THE JAY GOLDMAN	028	KSS	B	20,000	50.30	n/a	3-Jun	800.00	4.0
MACQUARIE INVESTMENT MGMT. 040		K	B	5,000	54.55	n/a	n/a	0.00	0.0
CATAPULT	040	LPX	B	25,000	7.57	n/a	19-May	1,000.00	4.0
DAVIDSON KEMPNER ADVISOR	040	LPX	S	39,810	7.58	n/a	19-May	1,990.50	5.0
APEX CAPITAL MGMT.	261	LTD	B	95,000	36.99	n/a	n/a	3,800.00	4.0
f CHRISTOPHER ROBERT C	FID	LVS	B	200	39.36	n/a	13-Jun	0.00	0.0
f FRANCIS MICHAEL MCCA	FID	LVS	B	100	39.41	n/a	13-Jun	0.00	0.0
f DAVID GEORGE BUCK	FID	MCD	S	500	81.28	n/a	8-Jun	0.00	0.0
BURL CAPITAL LLC	029	MDT	B	30,000	38.39	n/a	n/a	1,200.00	4.0
f CHRISTOPHER ROBERT C	FID	MERC	S	500	11.64	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	MGI	B	91,482	3.45	n/a	n/a	3,659.28	4.0
f DAVID GEORGE BUCK	FID	MHS	S	3000	55.99	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f DAVID GEORGE BUCK	FID	MRK	S	4000	35.84	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	MRK	S	300	35.85	n/a	n/a	0.00	0.0
EATON VANCE MGMT	029	MSFT	B	2,361,431	24.29	n/a	n/a	70,842.93	3.0
f KAREN F LEDDY	FID	MTW	B	700	15.74	n/a	3-May	0.00	0.0
MA CAPITAL MGMT/MELLON ADV041		MWV	S	4,000	32.52	n/a	27-Apr	200.00	5.0
TROUBH PART	070	M	B	12,500	27.94	n/a	3-Jun	625.00	5.0
B BUCK CAPITAL MGMT		NBD CN	B	15,000	12.00	n/a	n/a	non-brg	4.0
SANDLER O'NEILL ASSET	031	PBCT	B	50,000	12.92	n/a	19-May	2,500.00	5.0
STANDARD PACIFIC CAPITAL	040	PCX	S	100,000	21.02	n/a	n/a	5,000.00	5.0
f DAVID GEORGE BUCK	FID	PG	B	1000	64.99	n/a	14-Jun	0.00	0.0
MERRILL ASSET/BLACKROCK	297	PJC	S	21,200	29.44	n/a	n/a	848.00	4.0
GREEN ARROW DOUG	040	PPC	B	50,000	4.41	n/a	n/a	2,500.00	5.0
SENATOR INVESTMENT GROUP	036	PWE	SS	100,000	23.43	n/a	n/a	3,000.00	3.0
B BUCK CAPITAL MGMT		RCL	B	10,000	33.85	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		RCL	B	10,000	33.85	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	REGN	B	1000	55.37	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f DAVID GEORGE BUCK	FID	RIMM	S	2000	36.34	n/a	n/a	0.00	0.0
MA CAPITAL MGMT/MELLON ADV041		RYN	B	2,000	62.97	n/a	3-Jun	100.00	5.0
B BUCK CAPITAL MGMT		SAH	S	20,000	12.43	n/a	n/a	non-brg	4.0
MACQUARIE INVESTMENT MGMT. 040		SBUX	B	10,000	35.37	n/a	28-Apr	0.00	0.0
f BARBARA S LEDDY	FID	SGI	B	900	15.36	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	SGI	B	800	15.31	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SHLD	C	10,000	71.89	n/a	n/a	non-brg	4.0
PZENA INV ADV	044	SHW	S	6,325	82.69	n/a	27-May	221.38	3.5
f FRANCIS MICHAEL MCCA	FID	SRI	B	200	13.71	n/a	n/a	0.00	0.0
FIRST NEW YORK LEDDY	035	S	B	20,000	5.34	n/a	n/a	800.00	4.0
f BARBARA S LEDDY	FID	TFM	B	550	35.06	n/a	n/a	0.00	0.0
TALPION LLC	040	TIF	B	10,000	74.46	n/a	n/a	400.00	4.0
f DAVID GEORGE BUCK	FID	TIN	B	1000	29.55	n/a	7-Jun	0.00	0.0
f JOSEPH CIRO AMATURO	FID	TZA	B	3000	39.85	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	TZA	B	5000	39.87	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		URBN	C	50,000	29.44	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		URBN	C	50,000	29.46	n/a	n/a	non-brg	4.0
KLEINHEINZ CAP PART	031	VALE	S	25,000	30.71	n/a	n/a	1,250.00	5.0
MACQUARIE INVESTMENT MGMT.	040	VRTX	S	5,000	46.86	n/a	n/a	0.00	0.0
PEAK INV LLC	084	WFCWS	S	44,900	9.18	n/a	n/a	1,796.00	4.0
SENATOR INVESTMENT GROUP	036	WMT	SS	196,100	52.98	n/a	18-May	5,883.00	3.0
B BUCK CAPITAL MGMT		WNC	B	15,000	8.99	n/a	n/a	non-brg	3.0
f JOSEPH CIRO AMATURO	FID	WNC	S	5000	9.29	n/a	n/a	0.00	0.0
GREEN ARROW DOUG	040	WRC	B	15,000	49.66	n/a	6-May	750.00	5.0
JP MORGAN VENTURES	046	WRC	B	11,000	49.61	n/a	6-May	440.00	4.0
LEVIN CAPITAL STRATEGIES	012	WRC	B	50,000	49.67	n/a	6-May	1,500.00	3.0
f MANNY I KORMAN	FID	WRC	B	3000	49.75	n/a	6-May	0.00	0.0
MACQUARIE INVESTMENT MGMT.	040	WX	SS	10,000	16.26	n/a	n/a	0.00	0.0
S.A.C. CAP/ORENSTEIN	044	XLE	SS	50,000	73.84	n/a	n/a	1,750.00	3.5
SENATOR INVESTMENT GROUP	036	XOP	B	10,000	56.36	n/a	n/a	300.00	3.0
SAC CAPITAL/M GRONET	030	YUM	B	25,000	53.92	n/a	25-Apr	875.00	3.5
TOTAL (Trade Date) :								138,712.81	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	06/10	ROYCE TRADING	012	FINL	B	36,228	21.08	n/a	10-May	1811.40 5.0
AO,CXL	06/10	ROYCE TRADING	012	FINL	B	36,228	21.08	n/a	10-May	1811.40 5.0
AO,	06/13	MA CAPITAL MGMT/MELLON ADV	041	MWV	B	4,000	32.29	n/a	27-Apr	200.00 5.0

TOTAL (AO, CXL, CRT) :**200.00**

TOTAL (Trade Date) :**138,712.81****TOTAL (AO, CXL, CRT) :****200.00**

TOTAL (RUN DATE) / NFS:**138,912.81**

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CXL	06/13	BUCK CAPITAL MGMT.	CGI	B	10,000	12.60	n/a	n/a	400.00
CRT	06/13	BUCK CAPITAL MGMT	CGI	B	10,000	12.59	n/a	n/a	400.00 4.0

MRI Securities with Trade Activity on 14-Jun.
NONE

MRI Securities without Trade Activity on 14-Jun.
C

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)