



Daily Compliance Activity Report

Trade Date: 05/23/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 1

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BRONSON POINT	036	AGCO	C	5,000	48.27	n/a	27-Apr	150.00	3.0
f JONATHAN RICHARD HAR	FID	ARCO	B	230	21.86	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	ARCO	B	600	21.90	n/a	n/a	0.00	0.0
OZ MGMT	040	AXL	C	118,002	10.71	n/a	2-May	3,540.06	3.0
TRELLUS PARTNERS LP	028	AXL	SS	7,855	10.96	n/a	2-May	392.75	5.0
f ALANA J A MADIGAN-SI	FID	BGZ	S	500	35.63	n/a	n/a	0.00	0.0
CHILTON CAPITAL MGMT.	036	BIG	B	25,000	33.82	n/a	19-May	750.00	3.0
f JONATHAN RICHARD HAR	FID	BODY	S	205	24.27	n/a	n/a	0.00	0.0
DELTEC ASSET MGMT.	040	BONT	B	20,000	9.95	n/a	n/a	800.00	4.0
f KAREN F LEDDY	FID	BP	B	267	43.97	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	CAT	B	1000	101.10	n/a	2-May	0.00	0.0
f DAVID GEORGE BUCK	FID	CHH	B	2000	35.37	n/a	29-Apr	0.00	0.0
f JONATHAN RICHARD HAR	FID	CHRS	B	1500	4.28	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	CHRS	S	1500	4.22	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	COH	B	10,000	58.93	n/a	27-Apr	300.00	3.0
f ABRAM M CHAPPELL	FID	CVGI	B	340	14.72	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	JONATHAN RICHARD HAR	FID	CVGI	B	185	14.75	n/a	n/a	0.00	0.0
	ROYAL CAPITAL MGMT	070	CVS	S	200,000	38.20	n/a	n/a	10,000.00	5.0
f	JONATHAN RICHARD HAR	FID	CWTR	S	3500	2.11	n/a	n/a	0.00	0.0
	ROSEDALE CAPITAL	046	C	B	10,000	40.35	n/a	17-May	500.00	5.0
	SANDLER O'NEILL ASSET	031	C	B	2,500	40.38	n/a	17-May	50.00	2.0
	MERRILL ASSET/BLACKROCK	297	DCOM	S	40,000	13.73	n/a	n/a	1,600.00	4.0
	BUCK CAPITAL MGMT	001	DDS	B	100,000	52.98	n/a	n/a	3,000.00	3.0
	NEUBERGER BERMAN	036	DHR	B	42,157	53.63	n/a	n/a	1,686.28	4.0
	ROYCE TRADING	012	FINL	B	32,000	22.20	n/a	10-May	1,600.00	5.0
	OZ MGMT	040	F	SS	250,000	14.70	n/a	4-May	7,500.00	3.0
B	BUCK CAPITAL MGMT		GCO	B	10,000	41.07	n/a	n/a	non-brg	1.0
B	BUCK CAPITAL MGMT		GCO	B	38,300	41.23	n/a	n/a	non-brg	2.5
	SUN AMERICA ASSET MGMT	030	GES	S	19,100	40.89	n/a	25-Apr	764.00	4.0
B	BUCK CAPITAL MGMT		GIII	B	10,000	40.33	n/a	n/a	non-brg	4.0
	CIRCLE T/SES PART	033	GM	SS	25,000	30.88	n/a	6-May	1,000.00	4.0
	OZ MGMT	040	GM	C	65,000	31.04	n/a	6-May	1,950.00	3.0
	CYPRESS CAP MGMT LLC	040	GPS	B	37,700	19.45	n/a	n/a	1,508.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f DAVID GEORGE BUCK	FID	GRT	S	800	9.54	n/a	n/a	0.00	0.0
KLEINHEINZ CAP PART	031	HBI	S	50,000	30.11	n/a	21-Apr	2,500.00	5.0
KLEINHEINZ CAP PART	031	HRB	S	95,000	15.95	n/a	n/a	4,750.00	5.0
JET CAPITAL/CHRIS	041	HTZ	S	100,000	15.67	n/a	n/a	3,000.00	3.0
RIDGECREST INV MGMT LLC	028	IP	S	15,000	30.52	n/a	28-Apr	750.00	5.0
B BUCK CAPITAL MGMT		IWM	SS	100,000	81.47	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		IWO	C	21,600	92.81	n/a	n/a	non-brg	2.0
f DAVID GEORGE BUCK	FID	JNJ	B	500	65.62	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	KO	B	42,417	67.61	n/a	20-May	1,696.68	4.0
B BUCK CAPITAL MGMT		LIZ	B	50,000	6.53	n/a	7-Oct	non-brg	3.0
CHILTON CAPITAL MGMT.	036	LTD	B	25,000	40.15	n/a	n/a	750.00	3.0
CHILTON CAPITAL MGMT.	036	LTD	C	12,828	40.06	n/a	n/a	384.84	3.0
f DAVID GEORGE BUCK	FID	MCD	S	1500	82.65	n/a	9-May	0.00	0.0
B BUCK CAPITAL MGMT		MGM	B	450,000	14.98	n/a	10-May	non-brg	4.0
f EDWARD W WHEELER	FID	MITSY	B	250	323.40	n/a	n/a	0.00	0.0
RWC PARTNERS LTD	085	MOS	B	31,611	66.79	n/a	n/a	948.33	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JONATHAN RICHARD HAR	FID	MTW	B	85	17.16	n/a	3-May	0.00	0.0
RIDGECREST INV MGMT LLC	028	MWV	S	10,000	32.50	n/a	27-Apr	500.00	5.0
LISTED ERR	099	MWW	B	10,000	14.69	n/a	n/a	0.00	0.0
LISTED ERR	099	MWW	S	10,000	14.65	n/a	n/a	0.00	0.0
FIRST INV MGMT CO	029	NSM	S	36,000	24.57	n/a	n/a	1,800.00	5.0
ROTHSCHILD ASSET	040	OMG	B	11,520	35.95	n/a	n/a	460.80	4.0
B BUCK CAPITAL MGMT		PCAR	B	7,500	49.40	n/a	20-Apr	non-brg	1.0
NEUBERGER BERMAN	036	PEP	B	63,814	71.01	n/a	n/a	2,552.56	4.0
f MITCHELL JAMES SPEIS	FID	PIN	B	100	21.86	n/a	n/a	0.00	0.0
ROYCE TRADING	012	PLCE	B	5,000	50.96	n/a	20-May	250.00	5.0
B BUCK CAPITAL MGMT		PNK	B	10,000	14.18	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		PNK	B	30,000	13.92	n/a	n/a	non-brg	4.0
SAC TRADING TOM LEDDY	035	PSS	SS	25,000	18.50	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	RIMM	S	1000	43.85	n/a	n/a	0.00	0.0
GEOSPHERE CAPITAL MGMT	084	SD	S	18,500	10.11	n/a	n/a	555.00	3.0
f JONATHAN RICHARD HAR	FID	SGI	B	60	16.40	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	KAREN F LEDDY	FID	SGI	B	450	16.30	n/a	n/a	0.00	0.0
	LATEFF MGMT	035	SPLS	B	4,600	16.75	n/a	n/a	502.00	11.2
	MERRILL ASSET/BLACKROCK	297	SUSQ	S	122,300	8.59	n/a	n/a	4,892.00	4.0
	CASTLEROCK	040	S	B	100,000	5.57	n/a	n/a	4,000.00	4.0
B	BUCK CAPITAL MGMT		TEX	B	20,000	28.11	n/a	25-Apr	non-brg	1.0
f	JONATHAN RICHARD HAR	FID	TEX	B	50	28.11	n/a	25-Apr	0.00	0.0
f	JONATHAN RICHARD HAR	FID	TFM	S	595	39.89	n/a	n/a	0.00	0.0
f	KAREN F LEDDY	FID	TFM	S	400	41.03	n/a	n/a	0.00	0.0
	SAC COHEN	044	TJX	B	10,000	53.08	n/a	18-May	350.00	3.5
	NEUBERGER BERMAN	036	TWX	B	62,416	36.19	n/a	n/a	2,496.64	4.0
B	BUCK CAPITAL MGMT		URBN	S	109,722	31.44	n/a	n/a	non-brg	4.0
f	DAVID GEORGE BUCK	FID	WMT	B	2000	55.33	n/a	18-May	0.00	0.0
f	EDWARD W WHEELER	FID	WNC	B	15000	8.98	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		WRC	S	70,000	54.39	n/a	6-May	non-brg	4.0
	SONTERRA CAP	041	WRC	SS	100,000	54.31	n/a	6-May	4,000.00	4.0
f	EDWARD W WHEELER	FID	ZINC	B	433	12.17	n/a	n/a	0.00	0.0

TOTAL (Trade Date):

74,229.94

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									74,229.94
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									74,229.94
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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 23-May.
NONE

MRI Securities without Trade Activity on 23-May.
SHPGY

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 9%
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)