



# Daily Compliance Activity Report

Trade Date: 03/18/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B</b> BUCK CAPITAL MGMT		<b>ANN</b>	<b>S</b>	<b>20,000</b>	<b>26.67</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
DW INVESTMENT MGMT.	048	ANN	B	100,000	26.62	n/a	n/a	3,000.00	3.0
<b>f</b> JOSEPH CIRO AMATURO	<b>FID</b>	<b>APC</b>	<b>S</b>	<b>2000</b>	<b>77.24</b>	<b>n/a</b>	<b>25-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>ASNA</b>	<b>S</b>	<b>20,000</b>	<b>30.69</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>AXP</b>	<b>B</b>	<b>11,000</b>	<b>44.04</b>	<b>n/a</b>	<b>16-Mar</b>	<b>non-brg</b>	<b>4.0</b>
DELTEC ASSET MGMT.	040	BEAV	B	14,000	33.49	n/a	4-Mar	700.00	5.0
<b>f</b> KAREN F LEDDY	<b>FID</b>	<b>BEE</b>	<b>B</b>	<b>1500</b>	<b>5.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
OSKIE CAPITAL MGMT	224	BK	B	5,000	29.18	n/a	18-Mar	250.00	5.0
OSKIE CAPITAL MGMT	224	BK	S	25,000	28.85	n/a	18-Mar	1,250.00	5.0
<b>B</b> BUCK CAPITAL MGMT		<b>BYD</b>	<b>B</b>	<b>25,000</b>	<b>8.99</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>B</b> BUCK CAPITAL MGMT		<b>BYD</b>	<b>B</b>	<b>25,000</b>	<b>9.00</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>CACH</b>	<b>B</b>	<b>38,000</b>	<b>4.50</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>CAH</b>	<b>B</b>	<b>1000</b>	<b>40.72</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PZENA INV ADV	044	CA	B	25,000	22.77	n/a	n/a	875.09	3.5
<b>B</b> BUCK CAPITAL MGMT		<b>CBK</b>	<b>S</b>	<b>50,000</b>	<b>6.11</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
TALPION LLC	040	CCE	B	5,000	25.73	n/a	n/a	150.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	CCL	SS	25,000	39.64	n/a	n/a	1,000.00	4.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>CMI</b>	<b>B</b>	<b>1000</b>	<b>101.33</b>	<b>n/a</b>	<b>1-Mar</b>	<b>0.00</b>	<b>0.0</b>
SCOPUS FUND	041	CMI	B	10,600	101.92	n/a	1-Mar	424.00	4.0
ADAGE CAPITAL MGMT	030	COH	SS	40,000	49.54	n/a	26-Jan	1,200.00	3.0
APEX CAPITAL MGMT.	261	COH	B	150,000	50.23	n/a	26-Jan	6,000.00	4.0
MILLRACE FUND LP	028	CPKI	B	25,000	16.03	n/a	15-Mar	1,000.00	4.0
MERRILL ASSET/BLACKROCK	266	DCOM	S	22,500	14.42	n/a	n/a	900.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>DDS</b>	<b>B</b>	<b>12,600</b>	<b>40.02</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SCOPUS FUND	041	DE	B	20,000	90.79	n/a	18-Feb	800.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>DSW</b>	<b>B</b>	<b>37,500</b>	<b>40.17</b>	<b>n/a</b>	<b>11-Feb</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>EAT</b>	<b>C</b>	<b>20,000</b>	<b>23.85</b>	<b>n/a</b>	<b>26-Jan</b>	<b>non-brg</b>	<b>4.0</b>
TALKOT CAPITAL LLC	084	EAT	B	15,000	23.98	n/a	26-Jan	600.00	4.0
CATAPULT	040	EMR	SS	2,900	57.52	n/a	n/a	116.00	4.0
CATAPULT	040	EMR	S	12,100	57.50	n/a	n/a	484.00	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>EWJ</b>	<b>B</b>	<b>1500</b>	<b>10.22</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>EWZ</b>	<b>S</b>	<b>2000</b>	<b>73.26</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>FDML</b>	<b>B</b>	<b>700</b>	<b>24.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f JOHN MICHAEL DEMARTI</b>	<b>FID</b>	<b>FHKCX</b>	<b>S</b>	<b>878</b>	<b>30.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROYCE TRADING	012	FINL	B	60,000	17.21	n/a	18-Mar	3,000.00	5.0
BRANDWINE	028	FITB	B	23,830	14.11	n/a	n/a	953.20	4.0
BALYASNY ASSET MGMT	044	FL	B	50,000	19.19	n/a	3-Mar	2,500.00	5.0
CATAPULT	040	FMC	B	5,000	77.24	n/a	8-Dec	200.00	4.0
OSKIE CAPITAL MGMT	224	F	S	10,000	14.46	n/a	2-Mar	500.00	5.0
OZ MGMT	040	F	S	290,000	14.58	n/a	2-Mar	8,700.00	3.0
WAGONHOUND/NIC	048	F	B	50,683	14.54	n/a	2-Mar	2,027.32	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>GIS</b>	<b>B</b>	<b>1000</b>	<b>36.46</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>GMCR</b>	<b>B</b>	<b>40</b>	<b>60.17</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LEVIN CAPITAL STRATEGIES	012	GM	SS	120,000	31.87	n/a	2-Mar	3,600.00	3.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>GOOG</b>	<b>B</b>	<b>20</b>	<b>567.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
RAINIER INV MGMT	035	HCA	B	186,480	32.50	n/a	n/a	7,459.20	4.0
SUFFOLK CAPITAL MGMT	040	HNZ	B	57,000	48.91	n/a	n/a	2,280.00	4.0
TALPION LLC	040	HSNI	B	5,000	30.17	n/a	n/a	150.00	3.0
ARMATURE CAPITAL	041	IP	S	48,200	26.75	n/a	17-Mar	1,928.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MA CAPITAL MGMT/MELLON ADV041	IP		S	2,500	26.87	n/a	17-Mar	125.00	5.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>JPM</b>	<b>B</b>	<b>2000</b>	<b>45.63</b>	<b>n/a</b>	<b>18-Mar</b>	<b>0.00</b>	<b>0.0</b>
CAVU CAP ADV	028	KBH	B	20,000	13.18	n/a	n/a	1,000.00	5.0
LEVIN CAPITAL STRATEGIES	012	LEA	B	10,000	48.85	18-Mar	18-Mar	300.00	3.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>LEA</b>	<b>B</b>	<b>3000</b>	<b>48.72</b>	<b>18-Mar</b>	<b>18-Mar</b>	<b>0.00</b>	<b>0.0</b>
OZ MGMT	040	LEA	B	25,000	48.80	18-Mar	18-Mar	750.00	3.0
TALPION LLC	040	LOW	B	5,000	26.19	n/a	23-Feb	150.00	3.0
BMO NESBITT BURNS	041	LPX	B	67,000	9.85	n/a	10-Feb	3,350.00	0.0
BNP PARIBAS SEC	040	LPX	B	30,000	9.81	n/a	10-Feb	1,500.00	5.0
MA CAPITAL MGMT/MELLON ADV041	LPX		B	4,000	9.89	n/a	10-Feb	120.00	3.0
SCOPUS FUND	041	LPX	B	123,700	9.90	n/a	10-Feb	4,948.00	4.0
US BANCORP	030	LTM	B	76,859	37.21	n/a	n/a	3,458.66	4.5
AAD CAPITAL	084	LVS	B	10,000	36.94	n/a	10-Mar	400.00	4.0
GRYPHON CAPITAL MGMT	084	LVS	B	100,000	36.99	n/a	10-Mar	3,000.00	3.0
WEDBUSH/PACIFIC GROWTH EQTY LLC084	LVS		B	10,000	37.99		n/a 10-Mar	500.00	5.0
OSKIE CAPITAL MGMT	224	LYB	B	5,000	38.34	n/a	n/a	250.00	5.0
AAD CAPITAL	084	MGM	S	200,000	12.64	n/a	10-Mar	6,000.00	3.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>MMM</b>	<b>B</b>	<b>1000</b>	<b>89.70</b>	<b>n/a</b>	<b>18-Mar</b>	<b>0.00</b>	<b>0.0</b>
CHARTER OAK	033	MSFT	B	125,000	24.99	n/a	n/a	6,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JONATHAN RICHARD HAR	FID	MTW	B	122	20.35	n/a	2-Feb	0.00	0.0
f KAREN F LEDDY	FID	MTW	B	500	20.27	n/a	2-Feb	0.00	0.0
f JONATHAN RICHARD HAR	FID	MWA	S	2000	4.01	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		M	B	21,800	22.96	n/a	3-Mar	non-brg	4.0
f MANNY I KORMAN	FID	NAV	B	1000	64.21	n/a	10-Mar	0.00	0.0
f JOHN BARTMAN COLE	FID	NCS	B	1000	11.87	n/a	n/a	0.00	0.0
CASTLEROCK	040	NOK	SS	200,000	8.27	n/a	n/a	8,000.00	4.0
ß BUCK CAPITAL MGMT		NWY	S	20,759	6.73	n/a	n/a	non-brg	1.0
GRANITE CAPITAL	028	PAG	S	45,000	18.70	n/a	17-Feb	2,250.00	5.0
f MANNY I KORMAN	FID	PCAR	B	1000	48.75	n/a	2-Feb	0.00	0.0
BMO NESBITT BURNS	041	PCL	S	16,700	42.63	n/a	1-Feb	835.00	0.0
ß BUCK CAPITAL MGMT		PERY	B	15,000	25.14	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		PERY	B	5,000	26.36	n/a	n/a	non-brg	1.0
SUFFOLK CAPITAL MGMT	040	PG	S	199,500	60.70	n/a	14-Mar	7,980.00	4.0
IRIDIAN ASSET MGMT.	036	PKG	B	18,690	27.08	n/a	17-Mar	934.50	5.0
ROYCE TRADING	012	PLCE	B	29,026	47.65	n/a	9-Mar	1,451.30	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>PNC</b>	<b>S</b>	<b>2000</b>	<b>63.22</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PVH</b>	<b>B</b>	<b>8,700</b>	<b>57.64</b>	<b>n/a</b>	<b>1-Feb</b>	<b>non-brg</b>	<b>4.0</b>
EGS ASSOCIATES LP	091	PVH	B	5,000	57.30	n/a	1-Feb	300.00	6.0
RBC CAPITAL MARKETS	040	PVH	S	3,400	56.78	n/a	1-Feb	136.00	4.0
IMPALA ASSET MMT	012	QCOM	B	5,000	52.97	n/a	n/a	250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>RL</b>	<b>B</b>	<b>10,000</b>	<b>117.28</b>	<b>n/a</b>	<b>10-Feb</b>	<b>non-brg</b>	<b>4.0</b>
BMO NESBITT BURNS	041	RYN	S	3,000	59.77	n/a	26-Jan	150.00	0.0
CSFB GLOBAL PROPRIETARY	041	RYN	S	15,000	59.67	n/a	26-Jan	750.00	5.0
ELM RIDGE ADVISORS	044	RYN	S	95,000	59.81	n/a	26-Jan	3,800.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>SAH</b>	<b>B</b>	<b>75,000</b>	<b>13.13</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>SBUX</b>	<b>B</b>	<b>1000</b>	<b>35.18</b>	<b>n/a</b>	<b>10-Mar</b>	<b>0.00</b>	<b>0.0</b>
SCOPUS FUND	041	SEE	SS	50,000	25.77	n/a	n/a	2,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>SFLY</b>	<b>B</b>	<b>20,000</b>	<b>42.12</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SFLY</b>	<b>B</b>	<b>20,000</b>	<b>43.60</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>SLW</b>	<b>S</b>	<b>10000</b>	<b>39.95</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
IMPALA ASSET MMT	012	SPY	B	2,000	128.73	n/a	n/a	100.00	5.0
OSKIE CAPITAL MGMT	224	SWFT	B	10,000	14.35	n/a	n/a	500.00	5.0
LANE GATE PARTNERS LLC	012	SWN	B	3,000	40.99	n/a	25-Feb	90.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GREEN ARROW DOUG	040	SYT	B	10,000	27.62	n/a	n/a	500.00	5.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>TEVA</b>	<b>B</b>	<b>1000</b>	<b>47.90</b>	<b>n/a</b>	<b>17-Mar</b>	<b>0.00</b>	<b>0.0</b>
TRELLUS PARTNERS LP	028	TEX	S	20,000	37.64	n/a	11-Feb	1,000.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>TGT</b>	<b>B</b>	<b>10,100</b>	<b>49.95</b>	<b>n/a</b>	<b>24-Feb</b>	<b>non-brg</b>	<b>4.0</b>
TRUSTCO/SUNTRUST	040	TGT	B	14,100	50.01	n/a	24-Feb	493.50	3.5
<b>B BUCK CAPITAL MGMT</b>		<b>TJX</b>	<b>B</b>	<b>10,300</b>	<b>48.69</b>	<b>n/a</b>	<b>3-Mar</b>	<b>non-brg</b>	<b>4.0</b>
RBC CAPITAL MARKETS	040	TXRH	SS	1,300	16.07	n/a	n/a	52.00	4.0
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>TX</b>	<b>S</b>	<b>5000</b>	<b>34.71</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>URZ</b>	<b>B</b>	<b>3821</b>	<b>3.13</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NEWLAND CAPITAL MGT	025	USU	S	55,626	4.48	n/a	n/a	1,668.78	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>VFC</b>	<b>S</b>	<b>20,000</b>	<b>92.78</b>	<b>n/a</b>	<b>14-Mar</b>	<b>non-brg</b>	<b>4.0</b>
CRAMER ROSENTHAL/SCOTT	012	VIAB	S	1,890	44.25	n/a	n/a	75.60	4.0
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>VXX</b>	<b>B</b>	<b>10000</b>	<b>35.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>VXX</b>	<b>B</b>	<b>5000</b>	<b>35.41</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>V</b>	<b>B</b>	<b>7,000</b>	<b>71.63</b>	<b>n/a</b>	<b>7-Mar</b>	<b>non-brg</b>	<b>4.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>V</b>	<b>S</b>	<b>1500</b>	<b>71.14</b>	<b>n/a</b>	<b>7-Mar</b>	<b>0.00</b>	<b>0.0</b>
PERRY PARTNERS	085	V	S	100,000	71.08	n/a	7-Mar	5,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	WAG	S	25,000	41.68	n/a	n/a	1,000.00	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>WCG</b>	<b>S</b>	<b>2000</b>	<b>37.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>WNC</b>	<b>S</b>	<b>10000</b>	<b>11.39</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TRUST CO/COWEN/CALF.	040	WPI	S	125,000	54.43	n/a	16-Mar	6,250.00	5.0
SENATOR INVESTMENT GROUP	036	WRC	B	25,000	53.28	n/a	1-Mar	750.00	3.0
IMPALA ASSET MMT	012	XLY	B	2,000	37.89	n/a	n/a	80.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>XRT</b>	<b>C</b>	<b>51,000</b>	<b>47.79</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>TOTAL (Trade Date) :</b>								<b>130,545.15</b>	



**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	03/17	PARTNER REINSURANCE	033	EWY	B	26,800	58.06	n/a	n/a	1072.00 4.0
AO,CXL	03/17	COUGAR TRADING	044	LULU	SS	5,000	77.01	n/a	17-Mar	0.00 0.0
AO,CRT	03/17	COUGAR TRADING	044	LULU	SS	5,000	77.01	n/a	17-Mar	250.00 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>1,322.00</b>

TOTAL (Trade Date) :	130,545.15
TOTAL (AO, CXL, CRT) :	1,322.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>131,867.15</b>
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	03/17	BUCK CAPITAL MGMT	SAH	B	70,000	13.18	n/a	n/a	1400.00 2.0
CRT	03/17	BUCK CAPITAL MGMT	SAH	B	45,000	13.14	n/a	n/a	450.00 1.0
CRT	03/17	BUCK CAPITAL MGMT	SAH	B	10,000	13.05	n/a	n/a	75.00 0.8

MRI Securities with Trade Activity on 18-Mar.

LEA

MRI Securities without Trade Activity on 18-Mar.

NONE

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)**