



Daily Compliance Activity Report

Trade Date: 04/06/2011

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		7974 JP	S	48,800	254.95	n/a	n/a	non-brg	5.0
HALCYON LLC	041	ACL	S	50,000	167.55	n/a	4-Apr	1,500.00	3.0
B BUCK CAPITAL MGMT		ANN	S	20,000	29.67	n/a	n/a	non-brg	4.0
SCOPUS FUND	041	ASNA	S	33,217	33.11	n/a	n/a	1,328.68	4.0
STRONG/MARK GRONET	030	ASTI	S	26,690	1.69	n/a	n/a	266.90	1.0
WAGONHOUND/NIC	048	AXE	B	7,887	71.43	n/a	24-Mar	315.48	4.0
f JONATHAN RICHARD HAR	FID	AXL	S	195	12.71	n/a	9-Feb	0.00	0.0
CAXTON PART	040	AXP	B	12,608	46.11	n/a	6-Apr	441.30	3.5
f LBP ENTERPRISES INC	FID	BAC	S	2000	13.61	n/a	28-Mar	0.00	0.0
f LEE F BACKUS	FID	BAC	S	2000	13.61	n/a	28-Mar	0.00	0.0
B BUCK CAPITAL MGMT		BODY	S	37,000	24.85	n/a	n/a	non-brg	4.0
MERRILL ASSET/BLACKROCK	266	BOH	B	6,600	48.06	n/a	n/a	264.00	4.0
B BUCK CAPITAL MGMT		BONT	S	10,900	15.11	n/a	n/a	non-brg	4.0
f CICILY S BACKUS	FID	BTN	S	2000	7.13	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	BWA	B	75	77.65	n/a	11-Feb	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEWLAND CAPITAL MGT	025	CGI	S	20,000	16.68	n/a	n/a	800.00	4.0
B BUCK CAPITAL MGMT		CHS	S	40,000	15.15	n/a	5-Feb	non-brg	4.0
WAGONHOUND/NIC	048	CMI	S	8,545	110.25	n/a	1-Mar	341.80	4.0
CAXTON PART	040	CNK	B	10,000	20.55	n/a	n/a	350.01	3.5
B BUCK CAPITAL MGMT		COH	S	20,000	52.41	n/a	26-Jan	non-brg	4.0
ROSEDALE CAPITAL	046	COV	S	10,000	52.67	n/a	n/a	500.00	5.0
UNICOM CAPITAL	033	CSCO	B	25,000	17.96	n/a	n/a	1,250.00	5.0
f KATHERINE L O'GORMAN	FID	CVGI	S	3000	18.47	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		CVS	B	30,000	35.62	n/a	n/a	non-brg	4.0
f MARK ADAM WEINTRAUB	FID	CVTR	B	2	5.20	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	CWTR	B	2500	2.60	n/a	n/a	0.00	0.0
L.R.BURTSCHY & CO	029	C	S	50,000	4.60	n/a	28-Mar	3,000.00	6.0
MERRILL ASSET/BLACKROCK	266	C	B	1,000,000	4.55	n/a	28-Mar	30,000.00	3.0
PLATTE RIVER CAPITAL	240	C	S	298,761	4.62	n/a	28-Mar	8,962.83	3.0
B BUCK CAPITAL MGMT		DAL	B	75,000	9.53	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		DDS	S	40,000	42.80	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KLEINHEINZ CAP PART	031	DDS	B	55,000	42.63	n/a	n/a	2,750.00	5.0
f KATHERINE L O'GORMAN	FID	DVN	S	200	90.09	n/a	30-Mar	0.00	0.0
NEWLAND CAPITAL MGT	025	END	S	25,000	13.97	n/a	n/a	1,000.00	4.0
CAXTON PART	040	FCX	S	19,611	56.94	n/a	n/a	686.41	3.5
DSM CAPITAL PARTNERS	085	FDO	B	14,600	52.02	n/a	31-Mar	730.00	5.0
ROYCE TRADING	012	FINL	B	12,800	20.20	n/a	25-Mar	640.00	5.0
f JOEL GIFFORD TISS	FID	FSS	S	4000	6.56	n/a	n/a	0.00	0.0
ISLE RIDGE PARTNERS	041	F	B	62,500	15.79	n/a	4-Apr	2,500.00	4.0
OZ MGMT	040	F	SS	175,000	15.73	n/a	4-Apr	5,250.00	3.0
CATAPULT	040	GE	B	100,000	20.43	n/a	n/a	5,000.00	5.0
B BUCK CAPITAL MGMT		GIL	S	20,000	33.36	n/a	9-Feb	non-brg	4.0
BALYASNY ASSET MGMT	044	GNTX	C	10,000	29.91	n/a	31-Jan	500.00	5.0
B BUCK CAPITAL MGMT		GPS	SS	100,000	23.11	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GPS	SS	200,000	23.07	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GPS	SS	200,000	23.08	n/a	n/a	non-brg	4.0
SENATOR INVESTMENT GROUP	036	GTI	B	75,630	20.98	n/a	n/a	2,268.90	3.0
B BUCK CAPITAL MGMT		HBI	S	20,000	27.40	n/a	28-Jan	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JOHN MICHAEL ZOLIDIS	FID	HOTT	B	1000	5.75	n/a	n/a	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	HOTT	B	2000	5.69	n/a	n/a	0.00	0.0
f KEVIN MICHAEL O'GORM	FID	HOTT	B	3000	5.83	n/a	n/a	0.00	0.0
STATE TEACHERS RET SYS	047	HR	S	10,000	22.88	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		JBHT	S	20,000	45.68	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		JNY	B	100,000	14.36	n/a	3-Mar	non-brg	4.0
SAC CHICAGO ANDREW	031	JWN	B	71,783	45.56	n/a	31-Mar	2,512.41	3.5
f JOHN MICHAEL ZOLIDIS	FID	KWS	S	500	11.79	n/a	n/a	0.00	0.0
f ALICE BEEBE LONGLEY	FID	LEA	S	600	48.38	n/a	21-Mar	0.00	0.0
B BUCK CAPITAL MGMT		LEN	B	30,000	18.35	n/a	n/a	non-brg	4.0
SONTERRA CAP	041	LINTA	B	100,000	16.79	n/a	n/a	4,000.00	4.0
f MANNY I KORMAN	FID	LNCR	B	10000	30.45	n/a	n/a	0.00	0.0
CATAPULT	040	LPX	SS	10,000	10.00	n/a	6-Apr	400.00	4.0
SCOPUS FUND	041	LPX	B	50,000	9.90	n/a	6-Apr	2,000.00	4.0
TRELLUS PARTNERS LP	028	LPX	C	50,000	10.00	n/a	6-Apr	2,500.00	5.0
RBC CAPITAL MARKETS	040	MCD	B	15,000	76.74	n/a	8-Mar	600.00	4.0
LATEFF MGMT	035	MMM	S	1,250	93.50	n/a	28-Mar	125.00	10.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⚡ BUCK CAPITAL MGMT		MON	B	14,600	69.03	n/a	6-Apr	non-brg	4.0
TROUBH PART	070	MSFT	B	25,000	26.05	n/a	n/a	1,250.00	5.0
Õ Abram Chappel		MTH	B	205	24.54	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	MTW	B	95	22.30	n/a	2-Feb	0.00	0.0
MA CAPITAL MGMT/MELLON ADV041		MWV	S	3,000	32.01	n/a	1-Apr	150.00	5.0
ASCEND PARTNERS	033	M	S	47,800	25.26	n/a	31-Mar	2,390.00	5.0
⚡ BUCK CAPITAL MGMT		M	S	30,000	25.27	n/a	31-Mar	non-brg	4.0
SMITH MGMT LLC	029	NDN	B	92,800	19.74	n/a	31-Mar	4,640.00	5.0
f CHRISTOPHER ROBERT C	FID	NKE	B	75	78.41	n/a	n/a	0.00	0.0
MILLRACE FUND LP	028	NOA	SS	10,000	12.06	n/a	n/a	400.00	4.0
⚡ BUCK CAPITAL MGMT		NWY	S	40,000	7.00	n/a	n/a	non-brg	3.0
⚡ BUCK CAPITAL MGMT		OXM	S	10,000	35.24	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		OXM	S	30,000	35.03	n/a	n/a	non-brg	2.5
CAXTON PART	040	OXY	S	13,065	101.46	n/a	n/a	457.29	3.5
f KEVIN MICHAEL O'GORM	FID	PG	B	400	61.80	n/a	21-Mar	0.00	0.0
⚡ BUCK CAPITAL MGMT		PIR	B	100,000	10.47	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BMO NESBITT BURNS	041	PKG	SS	23,500	28.81	n/a	17-Mar	1,175.00	5.0
CSFB GLOBAL PROPRIETARY	041	PKG	SS	25,000	28.57	n/a	17-Mar	1,250.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	PKG	SS	5,000	28.62	n/a	17-Mar	250.00	5.0
SCHOTTENFELD ASSOC	041	PKG	SS	10,000	28.65	n/a	17-Mar	300.00	3.0
B BUCK CAPITAL MGMT		PLCE	S	18,000	53.09	n/a	9-Mar	non-brg	4.0
B BUCK CAPITAL MGMT		PLCE	S	30,000	52.77	n/a	9-Mar	non-brg	4.0
CROWN CAP MGMT	084	PLCE	B	40,000	52.84	n/a	9-Mar	2,000.00	5.0
SAC TRADING TOM LEDDY	035	PLCE	B	15,000	53.24	n/a	9-Mar	525.00	3.5
B BUCK CAPITAL MGMT		PVH	S	6,715	65.74	n/a	30-Mar	non-brg	4.0
f ANTHONY SUTERA	FID	REC	B	1000	15.53	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		RRR	S	125,000	14.46	n/a	12-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		RYL	B	50,000	16.17	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SHOO	S	10,000	48.92	n/a	n/a	non-brg	4.0
SUN AMERICA ASSET MGMT	030	SIG	B	1,900	46.02	n/a	n/a	76.00	4.0
BUCK CAPITAL MGMT	001	SKS	B	50,000	11.98	n/a	n/a	1,500.00	3.0
B BUCK CAPITAL MGMT		SKS	C	20,000	11.92	n/a	n/a	non-brg	4.0
AMBER CAPITAL	046	SNI	B	42,500	50.87	n/a	n/a	1,700.00	4.0
Ö Abram Chappel		SPF	B	1375	3.65	n/a	n/a	0.00	0.0
f JASON ERIC COHEN	FID	SPF	B	820	3.66	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	SPN	S	65,900	40.11	n/a	n/a	2,636.00	4.0
SUN AMERICA ASSET MGMT	030	STEC	B	1,100	20.34	n/a	n/a	44.00	4.0
SUN AMERICA ASSET MGMT	030	STL	B	2,100	10.57	n/a	n/a	84.00	4.0
MATRIX ASSET ADV.	091	TEL	S	2,500	34.40	n/a	n/a	100.00	4.0
NEWLAND CAPITAL MGT	025	TEL	B	10,000	33.56	n/a	n/a	400.00	4.0
MERRILL ASSET/BLACKROCK	266	TESO	S	2,500	22.33	n/a	n/a	100.00	4.0
RBC CAPITAL MARKETS	040	TGT	B	10,000	51.06	n/a	31-Mar	400.00	4.0
BMO NESBITT BURNS	041	TIN	B	32,000	23.74	n/a	17-Mar	1,600.00	5.0
CSFB GLOBAL PROPRIETARY	041	TIN	B	50,000	23.60	n/a	17-Mar	2,500.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	TIN	B	6,000	23.83	n/a	17-Mar	300.00	5.0
SAC TRADING TOM LEDDY	035	TJX	B	117,800	51.50	n/a	31-Mar	4,123.00	3.5
MERRILL ASSET/BLACKROCK	266	TTI	B	6,600	15.15	n/a	n/a	264.00	4.0
B BUCK CAPITAL MGMT		UAL	B	40,000	21.17	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		URBN	S	33,000	31.13	n/a	n/a	non-brg	4.0
RBC CAPITAL MARKETS	040	URBN	SS	15,000	31.10	n/a	n/a	600.00	4.0
f CHRISTOPHER ROBERT C	FID	USG	S	400	16.37	n/a	27-Jan	0.00	0.0
BASSWOOD PARTNERS	267	VCBI	B	25,100	5.97	n/a	n/a	1,004.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SUN AMERICA ASSET MGMT	030	VG	B	13,700	4.54	n/a	n/a	411.00	3.0
f JOSEPH CIRO AMATURO	FID	VXX	B	5000	28.07	n/a	n/a	0.00	0.0
HAHN CAPITAL MANAGEMENT	084	WAB	S	16,524	69.25	n/a	n/a	826.20	5.0
NEWLAND CAPITAL MGT	025	WAB	B	7,500	69.26	n/a	n/a	300.00	4.0
B BUCK CAPITAL MGMT		WERN	S	30,000	26.84	n/a	n/a	non-brg	4.0
RAINIER INV MGMT	035	WTR	S	38,000	23.10	n/a	n/a	1,520.00	4.0
CATAPULT	040	WY	SS	25,000	24.49	n/a	4-Feb	1,000.00	4.0
COHE & STEERS	041	WY	S	43,135	24.12	n/a	4-Feb	1,294.05	3.0
SIGMA CAP BOBBY	044	WY	B	80,000	24.19	n/a	4-Feb	2,800.00	3.5
GREEN ARROW DOUG	040	XRT	B	25,000	52.17	n/a	n/a	1,250.00	5.0
TOTAL (Trade Date):								124,903.26	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/05	COLUMBUS CIRCLE	036	ARUN	S	11,584	31.75	n/a	n/a	463.36 4.0
AO,CXL	04/01	AMBER CAPITAL	046	C	B	33,400	4.46	n/a	28-Mar	1336.00 4.0
AO,CRT	04/01	AMBER CAPITAL	046	C	B	33,400	4.46	n/a	28-Mar	1002.00 3.0
AO,CRT	04/04	PERRY PARTNERS	085	F	S	71,216	15.63	n/a	4-Apr	2848.64 4.0
AO,CXL	04/04	PERRY PARTNERS	085	F	S	71,216	15.63	n/a	4-Apr	3560.80 5.0
AO,CRT	04/05	BALLAST CAP	040	RGC	B	12,200	14.17	n/a	n/a	610.00 5.0
AO,CXL	04/05	BALLAST CAP	040	RGC	B	12,200	14.17	n/a	n/a	0.71 0.0
TOTAL (AO, CXL, CRT) :										26.49

TOTAL (Trade Date):	124,903.26
TOTAL (AO, CXL, CRT):	26.49

TOTAL (RUN DATE) / NFS:	124,929.75
--------------------------------	-------------------

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 6-Apr.
NONE

MRI Securities without Trade Activity on 6-Apr.
ANF

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 2%
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)