



Daily Compliance Activity Report

Trade Date: 04/15/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|------------------------|-----|--------|-----|---------|-------|-----|----------|--------------|-----|
| f MANNY I KORMAN | FID | ABC | B | 110 | 1.65 | n/a | n/a | 0.00 | 0.0 |
| f MANNY I KORMAN | FID | ABC | S | 110 | 0.90 | n/a | n/a | 0.00 | 0.0 |
| f DAVID GEORGE BUCK | FID | ABT | S | 1000 | 51.80 | n/a | n/a | 0.00 | 0.0 |
| SURVEYOR CAPITAL | 041 | AEO | SS | 49,000 | 15.70 | n/a | 10-Mar | 1,470.00 | 3.0 |
| B BUCK CAPITAL MGMT | | ANN | B | 50,000 | 31.05 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | ANN | B | 50,000 | 31.18 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | ARCO | B | 130,000 | 21.14 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | ARCO | B | 20,000 | 21.13 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | ARCO | B | 40,000 | 21.28 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | ARCO | B | 50,000 | 21.14 | n/a | n/a | non-brg | 4.0 |
| BALLAST CAP | 040 | ATVI | B | 20,900 | 11.17 | n/a | n/a | 1,045.00 | 5.0 |
| B BUCK CAPITAL MGMT | | BAC | B | 38,500 | 13.00 | n/a | 15-Apr | non-brg | 4.0 |
| RBC CAPITAL MARKETS | 040 | BA | B | 5,000 | 72.57 | n/a | 15-Apr | 200.00 | 4.0 |
| f JOHN BARTMAN COLE | FID | BLDR | S | 2500 | 2.92 | n/a | n/a | 0.00 | 0.0 |
| MILLENNIUM-ANDEW | 031 | BPL | S | 10,000 | 62.50 | n/a | n/a | 600.00 | 6.0 |
| B BUCK CAPITAL MGMT | | BYD | B | 25,000 | 8.97 | n/a | n/a | non-brg | 3.0 |
| f CHRISTOPHER ROBERT C | FID | BZ | B | 500 | 9.01 | n/a | n/a | 0.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|-------------|----------|---------------|---------------|------------|---------------|----------------|------------|
| f DAVID GEORGE BUCK | FID | CAT | B | 400 | 107.54 | n/a | 12-Apr | 0.00 | 0.0 |
| RBC CAPITAL MARKETS | 040 | CAT | B | 5,000 | 107.76 | n/a | 12-Apr | 200.00 | 4.0 |
| f JONATHAN RICHARD HAR | FID | CHRS | B | 1200 | 4.80 | n/a | n/a | 0.00 | 0.0 |
| FARALLON CAP MGMT | 040 | CHRW | SS | 11,019 | 76.73 | n/a | n/a | 330.57 | 3.0 |
| B BUCK CAPITAL MGMT | | CHS | S | 30,000 | 14.78 | n/a | 5-Feb | non-brg | 4.0 |
| RBC CAPITAL MARKETS | 040 | CMI | SS | 5,000 | 104.67 | n/a | 1-Mar | 200.00 | 4.0 |
| B BUCK CAPITAL MGMT | | CMN | S | 1,375 | 27.91 | n/a | n/a | non-brg | 1.0 |
| B BUCK CAPITAL MGMT | | CMN | S | 100 | 27.91 | n/a | n/a | non-brg | 1.0 |
| B BUCK CAPITAL MGMT | | CMN | S | 100 | 27.91 | n/a | n/a | non-brg | 1.0 |
| B BUCK CAPITAL MGMT | | CMN | S | 200 | 27.91 | n/a | n/a | non-brg | 1.0 |
| f ABRAM M CHAPPELL | FID | CNW | S | 100 | 37.98 | n/a | n/a | 0.00 | 0.0 |
| f JONATHAN RICHARD HAR | FID | CWTR | B | 500 | 2.50 | n/a | n/a | 0.00 | 0.0 |
| CRAMER ROSENTHAL/SCOTT | 012 | CYT | B | 32,600 | 53.67 | n/a | n/a | 1,304.00 | 4.0 |
| f KAREN F LEDDY | FID | DAN | S | 550 | 17.03 | n/a | 13-Apr | 0.00 | 0.0 |
| STATE TEACHERS RET SYS | 047 | DOW | B | 30,000 | 37.38 | n/a | 15-Apr | 1,500.00 | 5.0 |
| STATE TEACHERS RET SYS | 047 | EQR | S | 5,000 | 56.61 | n/a | n/a | 250.00 | 5.0 |
| GREEN ARROW DOUG | 040 | FHN | SS | 75,000 | 10.91 | n/a | n/a | 3,000.00 | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|-------------|----------|-------------|---------------|------------|--------------|-------------|------------|
| ROYCE TRADING | 012 | FINL | B | 10,000 | 20.93 | n/a | 25-Mar | 500.00 | 5.0 |
| SCOPUS FUND | 041 | FINL | S | 10,000 | 21.00 | n/a | 25-Mar | 400.00 | 4.0 |
| RBC CAPITAL MARKETS | 040 | GD | B | 5,000 | 71.97 | n/a | 15-Apr | 200.00 | 4.0 |
| NEW JERSEY DIV OF INV. | 030 | GE | B | 200,000 | 20.20 | n/a | n/a | 8,000.00 | 4.0 |
| f JAMES DAWSON | FID | GILD | B | 125 | 41.85 | n/a | n/a | 0.00 | 0.0 |
| f DAVID GEORGE BUCK | FID | GIS | S | 3000 | 37.27 | n/a | n/a | 0.00 | 0.0 |
| f WILLIAM WEINBERG | FID | GLD | S | 500 | 144.89 | n/a | n/a | 0.00 | 0.0 |
| f JONATHAN RICHARD HAR | FID | GMCR | S | 340 | 65.38 | n/a | n/a | 0.00 | 0.0 |
| CIRCLE T/SES PART | 033 | GM | SS | 12,500 | 30.37 | n/a | 13-Apr | 500.00 | 4.0 |
| STATE TEACHERS RET SYS | 047 | HIW | S | 10,000 | 34.51 | n/a | n/a | 500.00 | 5.0 |
| BALLAST CAP | 040 | HNZ | B | 13,000 | 50.26 | n/a | n/a | 650.00 | 5.0 |
| f ALEXANDRA ELISE ZOLI | FID | HOTT | B | 1000 | 6.65 | n/a | n/a | 0.00 | 0.0 |
| f BARBARA S LEDDY | FID | HOTT | B | 1200 | 6.50 | n/a | n/a | 0.00 | 0.0 |
| f JOHN MICHAEL ZOLIDIS | FID | HOTT | B | 1000 | 6.39 | n/a | n/a | 0.00 | 0.0 |
| f JOHN MICHAEL ZOLIDIS | FID | HOTT | B | 1000 | 6.40 | n/a | n/a | 0.00 | 0.0 |
| f KAREN F LEDDY | FID | HOTT | B | 1500 | 6.50 | n/a | n/a | 0.00 | 0.0 |
| f MARC PAUL LUCHANSKY | FID | HOT | B | 500 | 57.02 | n/a | 7-Apr | 0.00 | 0.0 |
| RBC CAPITAL MARKETS | 040 | HST | S | 15,000 | 16.87 | n/a | 23-Feb | 600.00 | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|------------|----------|---------------|--------------|------------|---------------|----------------|------------|
| f DAVID GEORGE BUCK | FID | HTZ | S | 2000 | 16.84 | n/a | n/a | 0.00 | 0.0 |
| BALYASNY ASSET MGMT | 044 | IP | SS | 10,000 | 29.82 | n/a | 14-Apr | 500.00 | 5.0 |
| PAULSON & CO INC | 041 | IP | S | 500,000 | 29.91 | n/a | 14-Apr | 15,000.00 | 3.0 |
| RIDGECREST INV MGMT LLC | 028 | IP | B | 10,000 | 30.19 | n/a | 14-Apr | 500.00 | 5.0 |
| B BUCK CAPITAL MGMT | | KBH | B | 10,000 | 11.45 | n/a | n/a | non-brg | 4.0 |
| STATE TEACHERS RET SYS | 047 | KIM | S | 25,000 | 17.90 | n/a | n/a | 1,250.00 | 5.0 |
| LOMBARDIA CAP MGMT | 084 | KND | B | 16,900 | 23.86 | n/a | n/a | 676.00 | 4.0 |
| CAXTON PART | 040 | KSS | B | 22,104 | 53.70 | n/a | 8-Apr | 773.67 | 3.5 |
| RBC CAPITAL MARKETS | 040 | LPX | B | 10,000 | 9.29 | n/a | 14-Apr | 400.00 | 4.0 |
| MERRILL ASSET/BLACKROCK | 266 | MAC | S | 77,000 | 49.50 | n/a | n/a | 3,080.00 | 4.0 |
| SURVEYOR CAPITAL | 041 | MAT | B | 150,000 | 26.87 | n/a | n/a | 4,500.00 | 3.0 |
| f DAVID GEORGE BUCK | FID | MCD | B | 20 | 1.33 | n/a | 15-Apr | 0.00 | 0.0 |
| KENNEDY CAPITAL | 046 | MOV | S | 13,001 | 17.00 | n/a | n/a | 520.04 | 4.0 |
| f MANNY I KORMAN | FID | MRK | S | 3000 | 34.95 | n/a | n/a | 0.00 | 0.0 |
| IVORY CAPITAL | 034 | MSFT | B | 19,900 | 25.33 | n/a | n/a | 995.00 | 5.0 |
| f KAREN F LEDDY | FID | MTW | B | 400 | 21.08 | n/a | 2-Feb | 0.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---------------------------------|------------|--------------|----------|-------------|-------------|------------|------------|-------------|------------|
| IVORY CAPITAL | 034 | MU | B | 135,000 | 10.52 | n/a | n/a | 6,750.00 | 5.0 |
| BURL CAPITAL LLC | 048 | MWV | B | 11,000 | 31.51 | n/a | 14-Apr | 440.00 | 4.0 |
| WEDBUSH/PACIFIC GROWTH EQTY LLC | 084 | MWV | B | 10,000 | 31.54 | | n/a 14-Apr | 500.00 | 5.0 |
| LIONEYE CAPITAL | 040 | NDN | B | 7,500 | 20.03 | n/a | 15-Apr | 300.00 | 4.0 |
| STATE TEACHERS RET SYS | 047 | NHP | S | 5,000 | 43.15 | n/a | n/a | 250.00 | 5.0 |
| DE SHAW | 070 | NUS | B | 40,000 | 29.87 | n/a | n/a | 1,200.00 | 3.0 |
| f JOHN BARTMAN COLE | FID | ONP | B | 1000 | 3.77 | n/a | n/a | 0.00 | 0.0 |
| f JOHN BARTMAN COLE | FID | ONP | B | 2000 | 3.79 | n/a | n/a | 0.00 | 0.0 |
| BNP PARIBAS SEC | 040 | PKG | SS | 20,000 | 28.21 | n/a | 14-Apr | 1,000.00 | 5.0 |
| BURL CAPITAL LLC | 048 | PKG | SS | 12,000 | 28.16 | n/a | 14-Apr | 480.00 | 4.0 |
| TRELLUS PARTNERS LP | 028 | PKG | SS | 50,000 | 28.32 | n/a | 14-Apr | 2,500.00 | 5.0 |
| ROYCE TRADING | 012 | PLCE | B | 1,400 | 52.62 | n/a | 9-Mar | 70.00 | 5.0 |
| BRANDWINE | 028 | PLXS | B | 23,163 | 33.16 | n/a | n/a | 926.52 | 4.0 |
| f JONATHAN RICHARD HAR | FID | PSUN | B | 1500 | 3.61 | n/a | n/a | 0.00 | 0.0 |
| SCOPIA CAPITAL | 048 | PXP | B | 50,000 | 34.49 | n/a | n/a | 2,000.00 | 4.0 |
| f FRANCIS MICHAEL MCCA | FID | RDOIF | B | 500 | 2.21 | n/a | n/a | 0.00 | 0.0 |
| MA CAPITAL MGMT/MELLON ADV | 041 | RKT | B | 2,000 | 69.10 | n/a | n/a | 100.00 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|-------------|----------|----------------|--------------|------------|---------------|----------------|------------|
| MA CAPITAL MGMT/MELLON ADV041 | | RKT | S | 2,000 | 69.63 | n/a | n/a | 100.00 | 5.0 |
| BALLAST CAP | 040 | RSH | S | 15,000 | 15.75 | n/a | n/a | 750.00 | 5.0 |
| f JONATHAN RICHARD HAR | FID | SBUX | B | 415 | 36.29 | n/a | 11-Apr | 0.00 | 0.0 |
| f MANNY I KORMAN | FID | SBUX | B | 110 | 0.35 | n/a | 11-Apr | 0.00 | 0.0 |
| f MANNY I KORMAN | FID | SBUX | S | 110 | 0.92 | n/a | 11-Apr | 0.00 | 0.0 |
| AVESTA CAP | 229 | SLB | S | 75,000 | 86.61 | n/a | n/a | 2,250.00 | 3.0 |
| f MANNY I KORMAN | FID | SLV | S | 400 | 2.13 | n/a | n/a | 0.00 | 0.0 |
| f JASON ERIC COHEN | FID | SPF | B | 1000 | 3.61 | n/a | n/a | 0.00 | 0.0 |
| f DAVID GEORGE BUCK | FID | STI | S | 2000 | 28.29 | n/a | n/a | 0.00 | 0.0 |
| SAC ADV/LEE/PECK | 044 | SWC | B | 24,700 | 20.95 | n/a | n/a | 864.50 | 3.5 |
| f CHRISTOPHER ROBERT C | FID | TEU | B | 500 | 11.60 | n/a | n/a | 0.00 | 0.0 |
| MILLENNIUM-ANDEW | 031 | TGP | S | 30,000 | 37.77 | n/a | n/a | 1,800.00 | 6.0 |
| MERRILL ASSET/BLACKROCK | 266 | TTI | B | 6,780 | 14.08 | n/a | n/a | 271.20 | 4.0 |
| B BUCK CAPITAL MGMT | | URBN | B | 100,000 | 30.51 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | URBN | B | 50,000 | 30.60 | n/a | n/a | non-brg | 4.0 |
| f MARC PAUL LUCHANSKY | FID | VXX | S | 1000 | 27.44 | n/a | n/a | 0.00 | 0.0 |
| KACELA CAPITAL | 034 | WAG | B | 35,000 | 42.05 | n/a | n/a | 1,400.00 | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|------------|----------|-------------|--------------|------------|---------------|------------------|------------|
| f JONATHAN RICHARD HAR | FID | WBC | S | 310 | 60.47 | n/a | 11-Feb | 0.00 | 0.0 |
| f JOHN BARTMAN COLE | FID | WPP | S | 1000 | 7.51 | n/a | n/a | 0.00 | 0.0 |
| RAINIER INV MGMT | 035 | WTR | S | 63,740 | 22.16 | n/a | n/a | 2,549.60 | 4.0 |
| BMO NESBITT BURNS | 041 | WY | B | 4,000 | 22.60 | n/a | 14-Apr | 200.00 | 5.0 |
| GRYPHON CAPITAL MGMT | 084 | WY | SS | 125,000 | 22.69 | n/a | 14-Apr | 3,750.00 | 3.0 |
| BMO NESBITT BURNS | 041 | XLB | S | 3,000 | 39.29 | n/a | n/a | 150.00 | 5.0 |
| TOTAL (Trade Date): | | | | | | | | 80,246.10 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|-------------------------------|-------|--------------------------|------|--------|-----|--------|-------|-----|----------|-----------------|
| AO,CRT | 04/14 | STELLIAM INV ADV | 034 | LOGI | B | 25,000 | 13.73 | n/a | n/a | 1250.00 5.0 |
| AO,CXL | 04/14 | STELLIAM INV ADV | 034 | LOGI | B | 25,000 | 13.73 | n/a | n/a | 1250.00 5.0 |
| AO,CXL | 04/14 | SCOPUS FUND | 041 | LOW | S | 25,000 | 26.90 | n/a | 23-Feb | 1000.00 4.0 |
| AO,CRT | 04/14 | SCOPUS FUND | 041 | LOW | S | 25,000 | 26.90 | n/a | 23-Feb | 1000.00 4.0 |
| AO, | 04/14 | KENNEDY CAPITAL | 046 | MOV | S | 3,384 | 17.00 | n/a | n/a | 135.36 4.0 |
| AO, | 04/14 | STANDARD PACIFIC CAPITAL | 040 | OI | B | 93,161 | 29.88 | n/a | n/a | 3726.44 4.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | 3,861.80 |

| | |
|------------------------|-----------|
| TOTAL (Trade Date) : | 80,246.10 |
| TOTAL (AO, CXL, CRT) : | 3,861.80 |

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|---------------------------------|------------------|
| TOTAL (RUN DATE) / NFS : | 84,107.90 |
|---------------------------------|------------------|

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 15-Apr.
NONE

MRI Securities without Trade Activity on 15-Apr.
STR

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)