



Daily Compliance Activity Report

Trade Date: 05/27/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROTHSCHILD ASSET	040	ABT	S	10,918	51.56	n/a	n/a	436.72	4.0
SIGMA CAPITAL ASSOCIATES	041	ANF	B	19,839	76.69	n/a	19-May	694.37	3.5
B BUCK CAPITAL MGMT		ANN	B	100,000	28.40	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ANN	B	31,400	28.30	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ANN	B	4,000	28.30	n/a	n/a	non-brg	4.0
f KEVIN MICHAEL O'GORM	FID	APC	B	600	78.89	n/a	3-May	0.00	0.0
f JONATHAN RICHARD HAR	FID	ARCO	B	65	22.73	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ASNA	S	125,000	32.85	n/a	n/a	non-brg	4.0
TRELLUS PARTNERS LP	028	AXL	SS	35,000	11.20	n/a	25-May	1,750.00	5.0
f KATHERINE L O'GORMAN	FID	BAC	B	1500	11.73	n/a	17-May	0.00	0.0
f ALANA J A MADIGAN-SI	FID	BGZ	B	500	34.39	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	BGZ	B	2000	34.31	n/a	n/a	0.00	0.0
LIONEYE CAPITAL	040	BIG	B	600	32.00	n/a	27-May	24.00	4.0
f DAVID GEORGE BUCK	FID	BLK	S	700	200.12	n/a	n/a	0.00	0.0
LISTED ERR	099	BWA	B	380	71.83	n/a	29-Apr	0.00	0.0
B BUCK CAPITAL MGMT		CACH	S	10,000	5.31	n/a	n/a	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BRANDWINE	028	CLX	S	79,070	69.35	n/a	9-May	3,162.80	4.0
CATAPULT	040	CMA	S	5,000	35.75	n/a	n/a	200.00	4.0
f COLE THOMAS KAICHER	FID	CRMBW	B	700	1.65	n/a	n/a	0.00	0.0
f KEVIN MICHAEL O'GORM	FID	C	B	500	40.80	n/a	17-May	0.00	0.0
f KEVIN MICHAEL O'GORM	FID	C	B	800	40.81	n/a	17-May	0.00	0.0
B BUCK CAPITAL MGMT		DECK	B	40,000	91.70	n/a	n/a	non-brg	4.0
FIRST INV MGMT CO	029	DNB	B	6,000	79.44	n/a	n/a	300.00	5.0
ROTHSCHILD ASSET	040	DOX	B	11,014	30.35	n/a	n/a	440.56	4.0
B BUCK CAPITAL MGMT		DPZ	S	10,000	24.61	n/a	6-May	non-brg	0.8
B BUCK CAPITAL MGMT		DPZ	S	30,000	24.62	n/a	6-May	non-brg	4.0
B BUCK CAPITAL MGMT		DPZ	S	57,000	24.59	n/a	6-May	non-brg	2.5
f CHRISTOPHER ROBERT C	FID	F	B	400	14.60	n/a	25-May	0.00	0.0
CIRCLE T/SES PART	033	F	B	50,000	14.59	n/a	25-May	2,000.00	4.0
OZ MGMT	040	F	SS	75,000	14.50	n/a	25-May	2,250.00	3.0
CIRCLE T/SES PART	033	GM	SS	5,000	31.32	n/a	25-May	200.00	4.0
OZ MGMT	040	GM	C	58,081	30.65	n/a	25-May	1,742.43	3.0
f MARGARET ANNE MCAULE	FID	GPK	B	360	5.34	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	HCP	S	7,721	37.19	n/a	n/a	308.84	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f JASON ERIC COHEN	FID	HOV	B	60	0.05	n/a	n/a	0.00	0.0
f RAVI SADARANGANI	FID	IP	S	500	30.91	n/a	28-Apr	0.00	0.0
f RAVI SADARANGANI	FID	IP	S	500	30.92	n/a	28-Apr	0.00	0.0
f CHRISTOPHER ROBERT C	FID	JCI	S	400	39.09	n/a	26-Apr	0.00	0.0
CAERUS GLOBAL	041	JWN	B	10,000	46.39	n/a	27-May	400.00	4.0
f DAVID GEORGE BUCK	FID	LNCR	B	2000	29.85	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		LTD	B	25,200	39.69	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	MHS	B	1000	57.35	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		MRT	S	1,200	7.68	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		MRT	S	300	7.68	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		MRT	S	400	7.68	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		MRT	S	600	7.68	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		MRT	S	8,453	7.68	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		MRT	S	800	7.68	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		MRT	S	900	7.68	n/a	n/a	non-brg	2.5
f KEVIN MICHAEL O'GORM	FID	MS	B	2500	24.01	n/a	17-May	0.00	0.0
SONTERRA CAP	041	MWV	S	30,000	33.54	n/a	27-Apr	1,200.00	4.0
ROTHSCHILD ASSET	040	OKE	S	12,797	70.10	n/a	n/a	511.88	4.0
ROTHSCHILD ASSET	040	OMG	B	22,049	37.26	n/a	n/a	881.96	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f CHRISTOPHER ROBERT C	FID	PCH	S	200	35.42	n/a	27-Apr	0.00	0.0
ROYCE TRADING	012	PLCE	B	1,000	50.39	n/a	20-May	50.00	5.0
f ABRAM M CHAPPELL	FID	PRIM	S	575	12.30	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		RL	S	20,000	124.90	n/a	26-May	non-brg	0.8
B BUCK CAPITAL MGMT		RL	S	40,000	124.95	n/a	26-May	non-brg	4.0
B BUCK CAPITAL MGMT		RUTH	S	1,100	5.22	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		RUTH	S	1,500	5.22	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		RUTH	S	1,800	5.22	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		RUTH	S	17,000	5.22	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		RUTH	S	2,300	5.22	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		RUTH	S	600	5.22	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		RUTH	S	700	5.22	n/a	n/a	non-brg	3.0
f JONATHAN RICHARD HAR	FID	SGI	B	75	18.12	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	SLW	S	1000	36.69	n/a	n/a	0.00	0.0
BRANDWINE	028	SWY	B	101,690	24.52	n/a	n/a	4,067.60	4.0
f CHRISTOPHER ROBERT C	FID	TEU	S	500	10.88	n/a	n/a	0.00	0.0
f COLE THOMAS KAICHER	FID	TIVO	S	500	10.43	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	VFC	S	50	99.06	n/a	2-May	0.00	0.0
f CHRISTOPHER ROBERT C	FID	WNC	S	500	9.57	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BMO NESBITT BURNS	041	WY	B	6,000	21.18	n/a	19-May	300.00	5.0
⚡ BUCK CAPITAL MGMT		WY	B	24,000	20.86	n/a	19-May	non-brg	1.0
⚡ BUCK CAPITAL MGMT		XRT	SS	15,031	53.73	n/a	n/a	non-brg	2.0
f RAVI SADARANGANI	FID	YUII	B	1728	5.09	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	ZAGG	S	5000	10.06	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	ZAGG	B	5000	10.07	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								20,921.16	

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):									20,921.16
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									20,921.16
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CXL	05/26	BUCK CAPITAL MGMT.	RL	B	30,000	116.09	n/a	26-May	1200.00
CRT	05/26	BUCK CAPITAL MGMT	RL	B	30,000	116.09	n/a	26-May	1200.00 4.0
CXL	05/26	BUCK CAPITAL MGMT.	RL	B	30,000	116.09	n/a	26-May	1200.00
CRT	05/26	BUCK CAPITAL MGMT	RL	B	45,700	115.85	n/a	26-May	1828.00 4.0
CXL	05/26	BUCK CAPITAL MGMT.	RL	B	30,000	116.09	n/a	26-May	1200.00
CRT	05/26	BUCK CAPITAL MGMT	RL	B	24,300	115.97	n/a	26-May	243.00 1.0

MRI Securities with Trade Activity on 27-May.
NONE

MRI Securities without Trade Activity on 27-May.
SHW

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)