



Daily Compliance Activity Report

Trade Date: 05/06/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ST OF MICHIAN	047	AEO	B	430,000	14.66	n/a	10-Mar	12,900.00	3.0
BUCK CAPITAL MGMT	001	ANN	B	10,000	29.61	n/a	n/a	300.00	3.0
ß BUCK CAPITAL MGMT		ANN	B	10,000	29.58	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		APO	B	1,700	17.96	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		APO	B	18,100	17.96	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		APO	B	2,000	17.96	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		APO	B	2,200	17.96	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		APO	B	2,500	17.96	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		APO	B	600	17.96	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		APO	B	800	17.96	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		ARCO	S	1,710	23.17	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		ARCO	S	198,566	22.17	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		ARCO	S	25,000	22.42	n/a	n/a	non-brg	2.5
f KAREN F LEDDY	FID	ARCO	B	500	21.98	n/a	n/a	0.00	0.0
GREEN ARROW DOUG	040	ARO	B	10,000	20.90	n/a	6-May	500.00	5.0
PEREGRINE	030	ARO	S	114,765	20.77	n/a	6-May	4,590.60	4.0
ß BUCK CAPITAL MGMT		ASNA	S	10,000	30.68	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BBY	B	120,000	31.10	n/a	n/a	non-brg	4.0
HUNTER GLOBAL INVESTOR	028	BGC	B	122,000	45.15	n/a	n/a	6,100.00	5.0
f JOSEPH CIRO AMATURO	FID	BGZ	B	3000	33.51	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	BHP	SS	10,000	96.05	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT	001	BID	B	3,000	45.64	n/a	n/a	90.00	3.0
RBC CAPITAL MARKETS	040	BTU	SS	15,000	62.74	n/a	n/a	600.00	4.0
MA CAPITAL MGMT/MELLON ADV041	CAKE	S	1,000	30.94	n/a	21-Apr	50.00	5.0	
NCM CAPITAL MGMT	035	CFN	B	160,705	29.16	n/a	n/a	6,428.20	4.0
f JONATHAN RICHARD HAR	FID	CHRS	B	400	4.22	n/a	n/a	0.00	0.0
WEINTRAUB CAPITAL MGT.	040	CHS	B	25,000	14.48	n/a	5-Feb	1,000.00	4.0
f DAVID GEORGE BUCK	FID	CI	B	1500	46.69	n/a	n/a	0.00	0.0
CYPRESS CAP MGMT LLC	040	CROX	B	10,700	21.41	n/a	n/a	428.00	4.0
f DAVID GEORGE BUCK	FID	CVX	S	500	102.36	n/a	n/a	0.00	0.0
EVERCORE WEALTH MGMT	012	CYB	B	10,000	25.58	n/a	n/a	400.00	4.0
SEVEN LOCKS CAPITAL	025	DAN	B	10,000	18.14	n/a	28-Apr	300.00	3.0
CATAPULT	040	EMN	B	5,000	103.80	n/a	n/a	200.00	4.0
SURVEYOR CAPITAL	041	EXPE	B	19,739	25.34	n/a	n/a	592.17	3.0
f ALICE BEEBE LONGLEY	FID	FAIRX	S	1322	33.93	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	012	FINL	B	2,500	21.50	n/a	25-Mar	125.00	5.0
⚡ BUCK CAPITAL MGMT		FOR	B	20,700	17.98	n/a	5-May	non-brg	4.0
⚡ BUCK CAPITAL MGMT		FOR	B	4,300	17.99	n/a	5-May	non-brg	0.8
MERRILL ASSET/BLACKROCK	266	FOR	B	35,900	18.07	n/a	5-May	1,436.00	4.0
CATAPULT	040	FUL	B	10,000	21.47	n/a	n/a	400.00	4.0
OZ MGMT	040	F	C	70,587	15.16	n/a	4-May	2,117.61	3.0
OZ MGMT	040	GM	SS	33,532	32.15	n/a	6-May	1,005.96	3.0
NEUBERGER BERMAN	036	GWR	B	23,400	59.73	n/a	n/a	936.00	4.0
THE JAY GOLDMAN	028	HOT	B	5,000	58.73	n/a	28-Apr	200.00	4.0
CASTLE ARK	031	INTC	B	531,500	23.25	n/a	n/a	26,575.00	5.0
SUFFOLK CAPITAL MGMT	040	JPM	S	125,000	44.87	n/a	13-Apr	5,000.00	4.0
⚡ BUCK CAPITAL MGMT		KMX	SS	50,000	31.98	n/a	n/a	non-brg	4.0
THE JAY GOLDMAN	028	LHO	S	10,000	27.36	n/a	n/a	400.00	4.0
⚡ BUCK CAPITAL MGMT		LTD	S	50,000	41.16	n/a	n/a	non-brg	4.0
MA CAPITAL MGMT/MELLON ADV	041	LVS	S	3,000	43.27	n/a	4-May	150.00	5.0
ST OF MICHIAN	047	MDT	S	90,000	42.63	n/a	n/a	2,700.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MA CAPITAL MGMT/MELLON	ADV041	MERC	S	10,000	12.56	n/a	n/a	500.00	5.0
THE JAY GOLDMAN	028	MGM	S	10,000	14.70	n/a	4-May	400.00	4.0
KLEINHEINZ CAP PART	031	MMM	S	50,000	95.77	n/a	26-Apr	2,500.00	5.0
B BUCK CAPITAL MGMT		MNRO	B	20,000	30.70	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		MON	B	7,700	65.42	n/a	21-Apr	non-brg	4.0
f KAREN F LEDDY	FID	MS	S	500	25.43	n/a	21-Apr	0.00	0.0
GREEN ARROW DOUG	040	ODP	B	25,000	4.34	n/a	n/a	1,250.00	5.0
COLUMBIA PARTNERS	028	PAG	SS	3,094	22.03	n/a	29-Apr	123.76	4.0
RBC CAPITAL MARKETS	040	PCX	SS	30,000	23.83	n/a	n/a	1,200.00	4.0
BARROW HANLEY MEWHINNEY	031	PDCO	S	70,925	35.10	n/a	n/a	2,482.38	3.5
f DAVID GEORGE BUCK	FID	PEP	B	1500	69.23	n/a	n/a	0.00	0.0
SAC TRADING TOM LEDDY	035	PG	B	34,260	65.05	n/a	2-May	1,199.10	3.5
B BUCK CAPITAL MGMT		PLCE	S	20,000	52.24	n/a	9-Mar	non-brg	4.0
ROYCE TRADING	012	PLCE	B	5,500	52.15	n/a	9-Mar	275.00	5.0
B BUCK CAPITAL MGMT		PVH	B	20,000	67.87	n/a	25-Apr	non-brg	4.0
RBC CAPITAL MARKETS	040	PVH	B	40,000	68.29	n/a	25-Apr	1,600.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	QSII	B	5,000	88.80	n/a	n/a	200.00	4.0
NEUBERGER BERMAN	036	ROL	B	12,500	20.15	n/a	n/a	500.00	4.0
f CHRISTOPHER ROBERT C	FID	RRR	S	400	12.71	n/a	26-Apr	0.00	0.0
COHE & STEERS	041	RYN	B	90,000	65.16	n/a	27-Apr	3,600.00	4.0
GREEN ARROW DOUG	040	SBUX	SS	25,000	37.20	n/a	28-Apr	1,250.00	5.0
SUFFOLK CAPITAL MGMT	040	SBUX	B	125,000	37.21	n/a	28-Apr	5,000.00	4.0
FARALLON CAP MGMT	040	SCHW	S	150,000	18.10	n/a	n/a	4,500.00	3.0
MA CAPITAL MGMT/MELLON ADV	041	SDS	B	2,500	20.23	n/a	n/a	125.00	5.0
B BUCK CAPITAL MGMT		SFLY	B	20,000	55.13	n/a	n/a	non-brg	4.0
f JONATHAN RICHARD HAR	FID	SGI	B	3300	16.00	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	SGI	S	1300	21.76	n/a	n/a	0.00	0.0
DAVIDSON KEMPNER ADVISOR	040	SHAW	S	20,000	38.85	n/a	n/a	1,000.00	5.0
NEUBERGER BERMAN	036	SLGN	B	18,800	45.02	n/a	n/a	752.00	4.0
ROXBURY CAPITAL MGMT	035	SONS	S	265,864	2.94	n/a	n/a	5,317.28	2.0
CAVU CAP ADV	028	SPR	S	10,400	23.18	n/a	5-May	520.00	5.0
NEUBERGER BERMAN	036	SYNT	B	12,300	53.52	n/a	n/a	492.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	TECH	B	7,400	78.32	n/a	n/a	296.00	4.0
B BUCK CAPITAL MGMT		TSCO	B	50,000	60.64	n/a	n/a	non-brg	4.0
CYPRESS CAP MGMT LLC	040	UA	B	10,300	66.84	n/a	27-Apr	412.00	4.0
B BUCK CAPITAL MGMT		URBN	S	30,000	31.46	n/a	n/a	non-brg	4.0
f BERNA GABRIELLE BARS	FID	USO	B	50	38.84	n/a	n/a	0.00	0.0
AVESTA CAP	229	UTX	S	25,000	89.86	n/a	n/a	750.00	3.0
f DAVID GEORGE BUCK	FID	V	S	1500	79.65	n/a	6-May	0.00	0.0
COLUMBUS CIRCLE	036	WBMD	S	3,629	52.54	n/a	n/a	145.16	4.0
BNP PARIBAS SEC	040	WRC	B	25,000	56.97	n/a	6-May	1,250.00	5.0
B BUCK CAPITAL MGMT		WRC	B	27,000	56.72	n/a	6-May	non-brg	4.0
MA CAPITAL MGMT/MELLON ADV041	WRC		S	2,500	57.89	n/a	6-May	125.00	5.0
PEREGRINE	030	WRC	B	15,000	56.40	n/a	6-May	600.00	4.0
RBC CAPITAL MARKETS	040	WRC	SS	10,000	56.48	n/a	6-May	400.00	4.0
RBC CAPITAL MARKETS	040	XLP	SS	30,000	31.42	n/a	n/a	1,200.00	4.0
B BUCK CAPITAL MGMT		XRT	C	38,200	52.67	n/a	n/a	non-brg	2.0
RBC CAPITAL MARKETS	040	XRT	B	30,000	53.30	n/a	n/a	1,200.00	4.0
f SCOTT L BRUNNER	FID	ZINC	B	1000	13.50	n/a	n/a	0.00	0.0
f SCOTT L BRUNNER	FID	ZINC	B	1000	13.51	n/a	n/a	0.00	0.0

TOTAL (Trade Date):

117,089.22

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	05/05	LISTED ERR	099	PDCO	B	68	35.00	n/a	n/a	0.00 0.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date):	117,089.22
TOTAL (AO, CXL, CRT):	0.00
TOTAL (RUN DATE) / NFS:	117,089.22

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO	05/05	BUCK CAPITAL MGMT	GMCR	B	8,000	71.00	n/a	n/a	0.00	0.0
AO	05/05	BUCK CAPITAL MGMT	GMCR	B	10,000	71.00	n/a	n/a	0.00	0.0
AO	05/05	BUCK CAPITAL MGMT	GMCR	B	30,000	71.00	n/a	n/a	0.00	0.0
CXL	05/05	BUCK CAPITAL MGMT.	M	S	50,000	25.93	n/a	6-May	2000.00	
CRT	05/05	BUCK CAPITAL MGMT	M	S	50,000	25.94	n/a	6-May	2000.00	4.0

MRI Securities with Trade Activity on 6-May.
NONE

MRI Securities without Trade Activity on 6-May.
DPZ, ANF

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 1%
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)