



Daily Compliance Activity Report

Trade Date: 05/18/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
OWL CREEK INV	085	AMR	B	290,428	6.56	n/a	n/a	8,712.84	3.0
B BUCK CAPITAL MGMT		ANF	S	65,000	75.83	n/a	6-May	non-brg	4.0
ADAGE CAPITAL MGMT	030	AOS	S	52,754	40.87	n/a	16-May	1,582.62	3.0
B BUCK CAPITAL MGMT		APO	S	300	17.39	n/a	n/a	non-brg	4.0
f JOHN BARTMAN COLE	FID	BANR	S	1500	2.73	n/a	n/a	0.00	0.0
AVESTA CAP	229	BA	B	25,000	76.70	n/a	4-May	750.00	3.0
f CHRISTOPHER ROBERT C	FID	BWA	B	80	70.26	n/a	29-Apr	0.00	0.0
B BUCK CAPITAL MGMT		BYD	B	20,000	9.53	n/a	n/a	non-brg	3.0
f CHRISTOPHER ROBERT C	FID	CAT	S	50	103.48	n/a	2-May	0.00	0.0
f JOSEPH CIRO AMATURO	FID	CAT	S	1000	102.43	n/a	2-May	0.00	0.0
BMO NESBITT BURNS	041	CHS	B	2,000	14.24	n/a	5-Feb	100.00	5.0
SCOPUS FUND	041	CHS	B	20,000	14.30	n/a	5-Feb	800.00	4.0
CYRUS CAPITAL	025	CIT	B	125,000	42.13	n/a	17-May	3,750.00	3.0
SHEFFIELD ASSET MGMT	031	COH	B	30,800	59.66	n/a	27-Apr	1,232.00	4.0
BMO NESBITT BURNS	041	CRI	SS	3,000	29.49	n/a	n/a	150.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MARK MEGALLI	FID	CRMBW	B	15000	1.21	n/a	n/a	0.00	0.0
f MARK DEVEREAUX KAICH	FID	CRMBW	B	3000	1.20	n/a	n/a	0.00	0.0
f MARK MEGALLI	FID	CRMB	B	5000	10.75	n/a	n/a	0.00	0.0
f MARK DEVEREAUX KAICH	FID	CRMB	B	750	10.75	n/a	n/a	0.00	0.0
f CICILY S BACKUS	FID	CVGI	B	1000	15.52	n/a	n/a	0.00	0.0
f CICILY S BACKUS	FID	CVGI	B	5000	15.58	n/a	n/a	0.00	0.0
f LBP ENTERPRISES INC	FID	CVGI	B	1000	15.57	n/a	n/a	0.00	0.0
SURVEYOR CAPITAL	041	CVS	B	50,000	38.44	n/a	n/a	1,500.00	3.0
MERRILL ASSET/BLACKROCK	297	DCOM	S	12,936	13.88	n/a	n/a	517.44	4.0
f CHRISTOPHER ROBERT C	FID	DECK	B	75	89.61	n/a	n/a	0.00	0.0
CATAPULT	040	DE	B	5,000	86.57	n/a	18-Feb	200.00	4.0
f CICILY S BACKUS	FID	DFZ	B	1000	11.26	n/a	n/a	0.00	0.0
f CICILY S BACKUS	FID	DFZ	B	5000	11.30	n/a	n/a	0.00	0.0
f LBP ENTERPRISES INC	FID	DFZ	B	2000	11.35	n/a	n/a	0.00	0.0
f JOHN BARTMAN COLE	FID	DRYS	S	1000	4.09	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		DSW	B	47,000	43.92	n/a	11-Feb	non-brg	2.5
f ANGELOS EFSTATHIOU	FID	EXG	B	1000	10.83	n/a	n/a	0.00	0.0
f HARALAMBOS EFSTATHI	FID	EXG	B	1000	10.82	n/a	n/a	0.00	0.0
ROYCE TRADING	012	FINL	B	28,500	21.48	n/a	10-May	1,425.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		GCO	B	10,000	41.38	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	GES	B	40,000	43.01	n/a	25-Apr	1,200.00	3.0
LEVIN CAPITAL STRATEGIES	012	GM	B	10,000	31.58	n/a	6-May	300.00	3.0
B BUCK CAPITAL MGMT		HBI	B	30,000	31.23	n/a	21-Apr	non-brg	4.0
KLEINHEINZ CAP PART	031	HD	B	40,000	37.35	n/a	18-May	2,000.00	5.0
SAC TRADING TOM LEDDY	035	HLF	S	15,000	53.31	n/a	n/a	525.00	3.5
f FRANCIS MICHAEL MCCA	FID	HWCC	B	500	15.85	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	HWCC	B	75	15.89	n/a	n/a	0.00	0.0
f MARY B MCCARTAN	FID	HWCC	B	200	15.86	n/a	n/a	0.00	0.0
f ANGELOS EFSTATHIOU	FID	IGD	B	500	11.20	n/a	n/a	0.00	0.0
f HARALAMBOS EFSTATHI	FID	IGD	B	2000	11.20	n/a	n/a	0.00	0.0
ROSEDALE CAPITAL	046	INTC	S	40,000	23.76	n/a	n/a	2,000.00	5.0
SOUTH POINT CAP	044	IWM	B	125,000	82.39	n/a	n/a	6,250.00	5.0
f CHRISTOPHER ROBERT C	FID	JCI	B	200	38.21	n/a	26-Apr	0.00	0.0
SURVEYOR CAPITAL	041	JNJ	SS	53,500	66.41	n/a	n/a	1,605.00	3.0
GREEN ARROW DOUG	040	KR	B	20,000	25.31	n/a	n/a	1,000.00	5.0
f HARALAMBOS EFSTATHI	FID	LLNW	B	2000	5.69	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f CHRISTOPHER ROBERT C	FID	LVS	S	150	41.88	n/a	10-May	0.00	0.0
COLUMBUS CIRCLE	036	MCO	B	2,790	38.64	n/a	n/a	111.60	4.0
B BUCK CAPITAL MGMT		MSSR	S	100	8.80	n/a	n/a	non-brg	3.0
f JOHN BARTMAN COLE	FID	NBRXF	B	500	13.34	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	OKE	S	2,390	70.09	n/a	n/a	95.60	4.0
ROTHSCHILD ASSET	040	OMG	B	8,000	35.72	n/a	n/a	320.00	4.0
f CICILY S BACKUS	FID	PCAR	B	2000	50.55	n/a	20-Apr	0.00	0.0
f LBP ENTERPRISES INC	FID	PCAR	B	1000	50.59	n/a	20-Apr	0.00	0.0
f SNEJANA P GARFUNKEL	FID	PCAR	B	500	50.54	n/a	20-Apr	0.00	0.0
STANDARD PACIFIC CAPITAL	040	PCX	B	100,000	22.63	n/a	n/a	5,000.00	5.0
BNP PARIBAS SEC	040	PLCE	B	7,500	54.35	n/a	13-May	375.00	5.0
ROYCE TRADING	012	PLCE	B	8,500	53.97	n/a	13-May	425.00	5.0
ROTHSCHILD ASSET	040	PPO	S	13,846	69.23	n/a	n/a	553.84	4.0
BALLAST CAP	040	RGC	B	10,000	14.09	n/a	n/a	500.00	5.0
DAVIDSON KEMPNER ADVISOR	040	RRC	B	40,000	52.68	n/a	27-Apr	2,000.00	5.0
B BUCK CAPITAL MGMT		SFLY	B	1,100	53.45	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		SFLY	S	10,000	57.01	n/a	n/a	non-brg	2.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B	BUCK CAPITAL MGMT		SFLY	S	8,247	56.77	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		SODA	S	20,000	53.41	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		SODA	S	20,000	54.19	n/a	n/a	non-brg	4.0
f	MARK DEVEREAUX KAICH	FID	STVI	S	3000	2.18	n/a	n/a	0.00	0.0
	BASIX	033	TEX	S	41,000	29.56	n/a	25-Apr	1,230.00	3.0
	BASSWOOD PARTNERS	267	TEX	B	35,000	29.38	n/a	25-Apr	1,400.00	4.0
	ELM RIDGE ADVISORS	044	TIN	S	134,500	23.36	n/a	20-Apr	5,380.00	4.0
f	MARK DEVEREAUX KAICH	FID	TIVO	S	1000	9.42	n/a	n/a	0.00	0.0
	AMBER CAPITAL	046	TSU	B	57,444	48.39	n/a	n/a	2,297.76	4.0
	ENTRUST CAPITAL	040	TWI	B	14,200	27.61	n/a	n/a	710.00	5.0
f	CHRISTOPHER ROBERT C	FID	VFC	B	50	101.42	n/a	2-May	0.00	0.0
	MATRIX ASSET ADV.	091	WAG	S	2,000	44.24	n/a	n/a	80.00	4.0
B	BUCK CAPITAL MGMT		WNC	B	45,000	9.38	n/a	n/a	non-brg	3.0
f	CHRISTOPHER ROBERT C	FID	WNC	B	500	9.48	n/a	n/a	0.00	0.0
	HOLLIS CAPITAL	033	WPRT	B	5,000	22.32	n/a	n/a	250.00	5.0
	THIRD COAST CAPITAL	035	WSM	S	15,000	42.30	n/a	n/a	750.00	5.0
B	BUCK CAPITAL MGMT		XLF	C	300,000	15.91	n/a	n/a	non-brg	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
B BUCK CAPITAL MGMT		XRT	C	113,300	53.04	n/a	n/a	non-brg 2.0
TOTAL (Trade Date):								57,078.70

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):									57,078.70
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									57,078.70
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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MRI Securities with Trade Activity on 18-May.
NONE

MRI Securities without Trade Activity on 18-May.
TGT, DKS

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 6%
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)