



Daily Compliance Activity Report

Trade Date: 05/24/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RAIL-SPLITTER	031	AAP	S	87,734	62.55	n/a	n/a	4,386.70	5.0
PZENA INV ADV	044	ACE	S	1,025	67.85	n/a	n/a	35.88	3.5
ROTHSCHILD ASSET	040	AGP	S	14,261	67.47	n/a	n/a	570.44	4.0
B BUCK CAPITAL MGMT		ANN	B	17,900	28.08	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ARCO	B	50,000	22.15	n/a	n/a	non-brg	4.0
CATAPULT	040	ASH	S	15,000	59.66	n/a	6-May	600.00	4.0
f FRANCIS MICHAEL MCCA	FID	ASPS	B	300	35.35	n/a	n/a	0.00	0.0
f FRANCIS MICHAEL MCCA	FID	AXP	S	300	50.90	n/a	18-May	0.00	0.0
f MARC PAUL LUCHANSKY	FID	BA	B	200	76.49	n/a	4-May	0.00	0.0
f KAREN F LEDDY	FID	BC	B	800	20.34	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	BGZ	B	1000	35.39	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	BGZ	B	2000	35.47	n/a	n/a	0.00	0.0
CAERUS GLOBAL	041	BKS	B	29,330	18.97	n/a	n/a	1,173.20	4.0
CYRUS CAPITAL	025	BMS	SS	8,000	32.64	n/a	n/a	320.00	4.0
CATAPULT	040	CE	SS	10,000	48.13	n/a	20-May	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ENTRUST CAPITAL	040	CFN	B	65,300	28.86	n/a	n/a	3,265.00	5.0
FARALLON CAP MGMT	040	CMCSA	B	30,000	24.35	n/a	n/a	900.00	3.0
f MARK DEVEREAUX KAICH	FID	CRMB	S	750	11.50	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	297	DCOM	S	12,500	13.55	n/a	n/a	500.00	4.0
BUCK CAPITAL MGMT	001	DDS	B	230,000	53.46	n/a	n/a	6,900.00	3.0
B BUCK CAPITAL MGMT		DDS	B	20,000	53.60	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		DSW	S	88,000	50.58	n/a	11-Feb	non-brg	4.0
f REUBEN D DVORETSKY	FID	ED	S	112	52.72	n/a	n/a	0.00	0.0
CASTLEROCK	040	FCS	SS	183,078	17.78	n/a	n/a	7,323.12	4.0
ROYCE TRADING	012	FINL	B	15,500	21.87	n/a	10-May	775.00	5.0
BRONSON POINT	036	FTR	SS	50,000	8.69	n/a	n/a	1,500.00	3.0
B BUCK CAPITAL MGMT		GCO	B	20,000	41.31	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GCO	B	41,300	41.71	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		GCO	B	500	41.73	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		GCO	B	7,238	41.44	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		GCO	B	9,900	41.46	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		GIII	B	10,000	40.77	n/a	n/a	non-brg	2.5
GREEN ARROW DOUG	040	GIS	B	15,000	39.56	n/a	n/a	750.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BNP PARIBAS SEC	040	GLW	B	35,000	19.61	n/a	20-May	1,750.00	5.0
f KAREN F LEDDY	FID	HOV	B	5000	2.63	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	HZO	B	1300	8.33	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	IP	B	28,000	30.21	n/a	28-Apr	1,370.00	4.5
B BUCK CAPITAL MGMT		IWM	SS	100,000	80.99	n/a	n/a	non-brg	2.0
f KAREN F LEDDY	FID	KBH	B	1000	11.47	n/a	n/a	0.00	0.0
JP MORGAN VENTURES	046	KR	B	20,000	24.50	n/a	n/a	800.00	4.0
SAC TRADING TOM LEDDY	035	KSS	SS	15,000	54.35	n/a	13-May	525.00	3.5
SURVEYOR CAPITAL	041	LLY	B	25,000	38.70	n/a	n/a	750.00	3.0
f JOHN BARTMAN COLE	FID	LNET	S	1000	3.12	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		LTD	B	12,900	38.99	n/a	n/a	non-brg	4.0
SANSAR CAPITAL	085	LVS	B	24,700	40.45	n/a	10-May	988.00	4.0
TRELLUS PARTNERS LP	028	LVS	B	20,000	40.39	n/a	10-May	1,000.00	5.0
B BUCK CAPITAL MGMT		MGM	B	450,000	14.99	n/a	10-May	non-brg	4.0
f MARK DEVEREAUX KAICH	FID	NQ	S	1000	5.65	n/a	n/a	0.00	0.0
f FRANCIS MICHAEL MCCA	FID	OEH	S	1000	10.96	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FARALLON CAP MGMT	040	ORCL	B	160,000	32.98	n/a	n/a	4,800.00	3.0
RAIL-SPLITTER	031	ORLY	S	15,555	59.51	n/a	n/a	777.75	5.0
BMO NESBITT BURNS	041	PKG	SS	2,000	28.23	n/a	19-Apr	80.00	4.0
ROYCE TRADING	012	PLCE	B	5,500	50.94	n/a	20-May	275.00	5.0
B BUCK CAPITAL MGMT		PNK	B	20,000	14.20	n/a	n/a	non-brg	4.0
f BARBARA S LEDDY	FID	SGI	B	300	16.47	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	SGI	B	700	16.50	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SODA	S	20,000	56.25	n/a	n/a	non-brg	4.0
SENATOR INVESTMENT GROUP	036	SPY	B	150,000	132.06	n/a	n/a	4,500.00	3.0
BNP PARIBAS SEC	040	SSCC	B	30,000	39.71	n/a	14-Apr	1,500.00	5.0
MFP INVESTORS	085	SSCC	S	2,500	39.90	n/a	14-Apr	125.00	5.0
f MARK DEVEREAUX KAICH	FID	STVI	B	3500	2.14	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	297	SUSQ	S	7,500	8.60	n/a	n/a	300.00	4.0
FIRST NEW YORK NICK	029	S	B	10,000	5.84	n/a	n/a	500.00	5.0
IVORY CAPITAL	034	S	S	1,115,905	5.78	n/a	n/a	5,579.53	0.5
YORK CAPITAL	036	TEVA	B	50,000	49.39	n/a	23-May	1,500.00	3.0
BMO NESBITT BURNS	041	TIN	B	3,000	22.81	n/a	19-May	120.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f REUBEN D DVORETSKY	FID	TNK	B	665	8.78	n/a	n/a	0.00	0.0
PZENA INV ADV	044	UNF	B	5,200	50.72	n/a	n/a	182.00	3.5
MATRIX ASSET ADV.	091	WAG	S	7,000	44.42	n/a	n/a	280.00	4.0
CASTLE ARK	031	WSM	S	119,775	38.92	n/a	n/a	5,988.75	5.0
ß BUCK CAPITAL MGMT		XRT	C	85,000	52.55	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		YNDX	B	5,000	25.00	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		YNDX	S	5,000	35.98	n/a	n/a	non-brg	2.5
TOTAL (Trade Date):								63,090.37	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	05/23	ROYCE TRADING	012	AEO	B	40,000	13.48	n/a	10-May	2000.00 5.0
AO,CXL	05/20	TALPION LLC	040	OMX	S	5,000	8.05	n/a	n/a	150.00 3.0
AO,CRT	05/20	TALPION LLC	040	OMX	S	5,000	8.05	n/a	n/a	150.00 3.0
AO,CRT	05/23	SAC TRADING TOM LEDDY	035	PSS	SS	25,000	18.50	n/a	n/a	875.00 3.5
AO,CXL	05/23	SAC TRADING TOM LEDDY	035	PSS	SS	25,000	18.50	n/a	n/a	0.00 0.0

TOTAL (AO, CXL, CRT) :	2,875.00
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TOTAL (Trade Date) :	63,090.37
TOTAL (AO, CXL, CRT) :	2,875.00

TOTAL (RUN DATE) / NFS :	65,965.37
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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 24-May.
NONE

MRI Securities without Trade Activity on 24-May.
ECL

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 18%
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)