



Daily Compliance Activity Report

Trade Date: 05/13/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ASCEND PARTNERS	033	ARCO	B	1,400	22.07	n/a	n/a	70.00	5.0
CYRUS CAPITAL	025	AWI	S	10,000	48.01	n/a	n/a	300.00	3.0
BASIX	033	AXE	S	8,800	71.72	n/a	27-Apr	264.00	3.0
OZ MGMT	040	AXL	SS	21,258	11.26	n/a	2-May	637.74	3.0
BUCK CAPITAL MGMT	001	BBY	B	20,000	32.12	n/a	n/a	600.00	3.0
f KAREN F LEDDY	FID	BC	B	500	21.99	n/a	n/a	0.00	0.0
LIONEYE CAPITAL	040	BIG	B	10,000	38.54	n/a	5-May	400.00	4.0
NICOLAS APPEGATE	084	BMY	B	104,200	28.88	n/a	n/a	2,084.00	2.0
B BUCK CAPITAL MGMT		BODY	B	11,000	24.05	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		BODY	B	15,000	24.01	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BODY	B	59,000	23.82	n/a	n/a	non-brg	4.0
f JONATHAN RICHARD HAR	FID	BODY	B	70	23.31	n/a	n/a	0.00	0.0
f ANDREW SINCLAIR	FID	C1	S	170	0.04	n/a	n/a	0.00	0.0
BNP PARIBAS SEC	040	CAG	S	25,000	25.43	n/a	n/a	1,250.00	5.0
1798 CAP/LOMBARD ASSET	040	CSX	S	10,000	74.68	n/a	n/a	500.00	5.0
f DAVID GEORGE BUCK	FID	C	S	2000	41.81	n/a	18-Apr	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	MATTHEW FRANCIS BUCK	FID	C	S	200	41.90	n/a	18-Apr	0.00	0.0
ß	BUCK CAPITAL MGMT		DDS	B	17,241	54.06	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		DDS	B	25,000	55.21	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		DDS	B	25,000	55.95	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		DDS	B	82,759	55.01	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		DECK	S	10,000	89.49	n/a	n/a	non-brg	4.0
	THOMPSON SIEGAL&WALMSLEY	029	DE	S	60,600	88.00	n/a	18-Feb	2,424.00	4.0
	MORTAR ROCK	033	DPZ	S	58,000	23.31	n/a	6-May	2,320.00	4.0
	GEORGE WEISS	034	EDU	B	10,985	121.25	n/a	n/a	439.40	4.0
f	DAVID GEORGE BUCK	FID	EEM	B	1500	46.92	n/a	n/a	0.00	0.0
f	MATTHEW FRANCIS BUCK	FID	EEM	B	200	47.03	n/a	n/a	0.00	0.0
f	DAVID GEORGE BUCK	FID	EFA	S	1000	60.66	n/a	n/a	0.00	0.0
f	MATTHEW FRANCIS BUCK	FID	EFA	S	200	60.74	n/a	n/a	0.00	0.0
	MERRILL ASSET/BLACKROCK	297	ESS	S	4,400	133.09	n/a	n/a	176.00	4.0
	BMO NESBITT BURNS	041	FINL	B	4,000	22.32	n/a	10-May	200.00	5.0
	ROYCE TRADING	012	FINL	B	7,500	22.56	n/a	10-May	375.00	5.0
	BMO NESBITT BURNS	041	FL	B	4,000	22.91	n/a	12-May	200.00	5.0
	BUCK CAPITAL MGMT	001	GES	B	30,000	43.33	n/a	25-Apr	900.00	3.0
	MERCHANTS GATE CAP LP	036	GLT	SS	40,000	14.82	n/a	n/a	1,600.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	GPS	C	25,000	23.11	n/a	n/a	1,250.00	5.0
f JOEL GIFFORD TISS	FID	GS	B	200	140.37	n/a	19-Apr	0.00	0.0
ASCEND PARTNERS	033	JNY	SS	4,900	13.26	n/a	28-Apr	245.00	5.0
f MATTHEW FRANCIS BUCK	FID	JPM	B	300	43.15	n/a	13-Apr	0.00	0.0
BNP PARIBAS SEC	040	JWN	B	20,000	47.74	n/a	13-May	1,000.00	5.0
BNP PARIBAS SEC	040	KMX	B	25,000	30.84	n/a	n/a	1,250.00	5.0
BALYASNY ASSET MGMT	044	KSS	C	20,000	55.40	n/a	13-May	1,000.00	5.0
f DAVID GEORGE BUCK	FID	LGND	B	5000	11.43	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	LL	S	51,824	26.31	n/a	n/a	1,554.72	3.0
MELLON/BANK OF NEW YORK	046	LOW	S	89,492	25.69	n/a	11-May	3,579.68	4.0
DAVIDSON KEMPNER ADVISOR	040	LPX	S	2,100	8.59	n/a	10-May	105.00	5.0
ST OF MICHIAN	047	MDT	S	90,000	42.20	n/a	n/a	2,700.00	3.0
f DAVID GEORGE BUCK	FID	MHS	B	2000	64.66	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		MNRO	S	10,000	30.42	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		MNRO	S	25,000	30.00	n/a	n/a	non-brg	2.5
KLEINHEINZ CAP PART	031	MON	S	75,000	64.33	n/a	21-Apr	3,750.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALLAST CAP	040	MOO	B	12,200	52.98	n/a	n/a	610.00	5.0
f CICILY S BACKUS	FID	MRK	S	2000	37.18	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	MRK	B	2000	37.06	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	MRK	B	300	37.07	n/a	n/a	0.00	0.0
f SNEJANA P GARFUNKEL	FID	MRK	S	500	37.17	n/a	n/a	0.00	0.0
IRIDIAN ASSET MGMT.	036	MSFT	S	22,090	25.22	n/a	n/a	1,104.50	5.0
f MICHAEL C PERILLO	FID	MTW	B	40	18.16	n/a	3-May	0.00	0.0
YORK CAPITAL	036	MTW	B	50,000	18.16	n/a	3-May	2,000.00	4.0
PIONEER PATH	028	MU	B	115,274	10.42	n/a	n/a	3,458.22	3.0
B BUCK CAPITAL MGMT		MVRX	SS	35,000	230.60	n/a	n/a	non-brg	23.1
RIDGECREST INV MGMT LLC	028	MWV	S	5,000	33.63	n/a	27-Apr	250.00	5.0
BALYASNY ASSET MGMT	044	M	S	25,000	28.61	n/a	12-May	1,250.00	5.0
f DAVID GEORGE BUCK	FID	OSUR	S	5000	7.50	n/a	n/a	0.00	0.0
SYSTEMATIC FINANCIAL MGT	035	PCS	B	70,000	17.80	n/a	n/a	2,100.00	3.0
f DAVID GEORGE BUCK	FID	PFE	S	5000	20.92	n/a	n/a	0.00	0.0
BASSWOOD PARTNERS	267	PH	C	11,700	87.74	n/a	28-Apr	468.00	4.0
BALYASNY ASSET MGMT	044	PLCE	B	25,000	55.63	13-May	13-May	1,250.00	5.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
B	BUCK CAPITAL MGMT		PLCE	S	10,000	55.66	13-May	13-May	non-brg 4.0
	EGS ASSOCIATES LP	091	PLCE	B	3,500	55.36	13-May	13-May	210.00 6.0
	ROYCE TRADING	012	PLCE	B	7,000	55.49	13-May	13-May	350.00 5.0
f	JONATHAN RICHARD HAR	FID	QCOM	S	305	57.33	n/a	n/a	0.00 0.0
	CYRUS CAPITAL	025	RKT	S	7,000	71.74	n/a	n/a	210.00 3.0
	CASTLEROCK	040	RL	B	26,890	135.18	n/a	25-Apr	1,075.60 4.0
	MTB INV ADV	034	ROC	S	4,150	50.90	n/a	n/a	207.50 5.0
	MTB INV ADV	034	SOA	S	7,275	23.68	n/a	n/a	363.75 5.0
B	BUCK CAPITAL MGMT		SODA	B	10,000	44.92	n/a	n/a	non-brg 4.0
f	EDWARD W WHEELER	FID	STE	B	5000	36.29	n/a	n/a	0.00 0.0
	FINDLAY PARK PART	291	SWN	B	61,000	41.15	n/a	29-Apr	4,392.59 0.0
	FIRST NEW YORK LEDDY	035	S	S	20,000	5.08	n/a	n/a	800.00 4.0
f	MANNY I KORMAN	FID	TEVA	B	5000	50.15	n/a	13-May	0.00 0.0
	BMO NESBITT BURNS	041	TIN	S	50,000	24.30	n/a	20-Apr	2,500.00 5.0
f	EDWARD W WHEELER	FID	TWI	B	100	8.15	n/a	n/a	0.00 0.0
	MTB INV ADV	034	TWI	S	21,850	27.89	n/a	n/a	1,092.50 5.0
	BALYASNY ASSET MGMT	044	UFS	SS	20,100	104.80	n/a	n/a	1,005.00 5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERCHANTS GATE CAP LP	036	UFS	SS	5,000	103.40	n/a	n/a	200.00	4.0
1798 CAP/LOMBARD ASSET	040	UPS	B	50,000	74.37	n/a	n/a	2,500.00	5.0
B BUCK CAPITAL MGMT		URBN	S	20,000	33.09	n/a	n/a	non-brg	4.0
PZENA INV ADV	044	VCI	B	301	28.60	n/a	n/a	10.54	3.5
f DAVID GEORGE BUCK	FID	VRML	B	4000	6.64	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	V	S	300	79.92	n/a	11-May	0.00	0.0
f EDWARD W WHEELER	FID	WNC	B	200	0.32	n/a	n/a	0.00	0.0
MTB INV ADV	034	WNC	S	43,700	10.22	n/a	n/a	1,748.00	4.0
DAVIDSON KEMPNER ADVISOR	040	XLV	C	100,000	36.27	n/a	n/a	5,000.00	5.0
f DAVID GEORGE BUCK	FID	ZAGG	B	5000	9.80	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID		S	2000	60.63	n/a	n/a	0.00	0.0
TOTAL (Trade Date) :								65,330.74	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	05/12	KACELA CAPITAL	034	DXD	S	53,601	16.85	n/a	n/a	1608.03 3.0
AO,CXL	05/12	KACELA CAPITAL	034	DXD	S	53,601	16.85	n/a	n/a	2144.04 4.0
AO,	05/12	OZ MGMT	040	GM	B	75,000	31.40	n/a	6-May	2250.00 3.0
AO,	05/12	OZ MGMT	040	GM	SS	75,000	31.20	n/a	6-May	2250.00 3.0
TOTAL (AO, CXL, CRT) :										3,963.99

TOTAL (Trade Date) :	65,330.74
TOTAL (AO, CXL, CRT) :	3,963.99

TOTAL (RUN DATE) / NFS :	69,294.73
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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 13-May.

PLCE

MRI Securities without Trade Activity on 13-May.

NONE

BRG comm. as a % of BCM Total Comm. paid.

T-Date = 13%

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)