



Daily Compliance Activity Report

Trade Date: 03/30/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ENTRUST CAPITAL	040	AAN	SS	15,200	25.06	n/a	n/a	760.00	5.0
f DAVID GEORGE BUCK	FID	ABT	S	2020	36.94	n/a	n/a	0.00	0.0
DAVIDSON INV ADV	035	ADS	S	9,920	84.53	n/a	n/a	396.80	4.0
PATTEN & PATTEN	025	AML	B	1,000	16.30	n/a	n/a	50.00	5.0
EPOCH INV MGMT	030	AMP	S	16,122	61.50	n/a	n/a	483.66	3.0
f BARRY JONAS	FID	APC	B	150	82.66	n/a	30-Mar	0.00	0.0
B BUCK CAPITAL MGMT		APO	B	1,100	18.59	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		APO	B	1,200	18.66	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		APO	B	1,500	18.59	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		APO	B	1,800	18.59	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		APO	B	1,800	18.66	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		APO	B	17,000	18.59	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		APO	B	19,600	18.66	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		APO	B	2,000	18.66	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		APO	B	2,300	18.59	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		APO	B	2,600	18.66	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		APO	B	600	18.59	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		APO	B	600	18.66	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		APO	B	700	18.59	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		APO	B	800	18.66	n/a	n/a	non-brg	4.0
f MARK DEVEREAUX KAICH	FID	APO	B	1000	18.67	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		ARO	S	250,000	24.58	n/a	11-Mar	non-brg	4.0
⚡ BUCK CAPITAL MGMT		ASCA	B	10,000	17.29	n/a	13-Jan	non-brg	0.0
⚡ BUCK CAPITAL MGMT		ASNA	S	20,000	32.14	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		ASNA	S	21,000	32.21	n/a	n/a	non-brg	4.0
NEWLAND CAPITAL MGT	025	BEAV	B	10,000	35.25	n/a	4-Mar	400.00	4.0
BRANDWINE	028	BIG	B	20,520	43.36	n/a	3-Mar	820.80	4.0
TALPION LLC	040	BJ	S	5,000	48.81	n/a	n/a	200.00	4.0
⚡ BUCK CAPITAL MGMT		BONT	S	34,468	15.52	n/a	n/a	non-brg	4.0
f BARRY JONAS	FID	BRKB	B	145	85.47	n/a	n/a	0.00	0.0
f JASON ERIC COHEN	FID	BYD	B	5	1.52	n/a	n/a	0.00	0.0
f JASON ERIC COHEN	FID	BYD	S	6	0.91	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	BZ	S	500	9.18	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	CAH	S	2500	41.50	n/a	n/a	0.00	0.0
MA CAPITAL MGMT/MELLON ADV	041	CASY	B	2,000	38.53	n/a	n/a	100.00	5.0
T. ROWE PRICE	033	CAT	B	41,600	111.35	n/a	28-Jan	1,664.00	4.0
CAERUS GLOBAL	041	CBS	S	10,000	25.95	n/a	n/a	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	266	CBU	S	20,000	23.91	n/a	n/a	800.00	4.0
BALYASNY ASSET MGMT	044	CELG	SS	20,000	56.11	n/a	n/a	1,000.00	5.0
BNP PARIBAS SEC	040	CF	S	5,000	132.18	n/a	n/a	250.00	5.0
f STEFFANIE CARMELA CA	FID	CLNE	B	500	15.94	n/a	n/a	0.00	0.0
GEOSPHERE CAPITAL MGMT	084	COG	B	50,000	53.27	n/a	30-Mar	1,500.00	3.0
f CHRISTOPHER ROBERT C	FID	COH	B	100	52.60	n/a	26-Jan	0.00	0.0
SAC CAPITAL/M GRONET	030	COH	B	10,000	52.30	n/a	26-Jan	350.00	3.5
f DAVID GEORGE BUCK	FID	COP	B	10	1.23	n/a	n/a	0.00	0.0
f MARK ANTHONY GRONET	FID	CVGI	S	1000	18.36	n/a	n/a	0.00	0.0
f ANN M GAULT	FID	CXS	B	1000	11.45	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		CXS	B	15,000	11.46	n/a	n/a	non-brg	1.0
f EDWARD W WHEELER	FID	CXS	B	10000	11.43	n/a	n/a	0.00	0.0
f JASON ERIC COHEN	FID	CXS	B	160	11.37	n/a	n/a	0.00	0.0
f WILLIAM J GAULT	FID	CXS	B	8000	11.45	n/a	n/a	0.00	0.0
STANDARD PACIFIC CAPITAL	040	CX	S	100,000	8.97	n/a	n/a	4,000.00	4.0
WEISS PECK	040	DAL	B	20,700	9.98	n/a	n/a	828.00	4.0
IRIDIAN ASSET MGMT.	036	DAN	S	150,000	17.83	n/a	24-Feb	4,500.00	3.0
RIDGECREST INV MGMT LLC	028	DAN	B	10,000	17.63	n/a	24-Feb	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	DBA	S	2,000	33.65	n/a	n/a	100.00	5.0
BNP PARIBAS SEC	040	DG	SS	50,000	31.47	n/a	22-Mar	2,500.00	5.0
PATTEN & PATTEN	025	EFG	S	725	62.50	n/a	n/a	36.25	5.0
PATTEN & PATTEN	025	EPP	S	2,300	48.22	n/a	n/a	115.00	5.0
ROYCE TRADING	012	FINL	B	6,500	19.31	n/a	25-Mar	325.00	5.0
SURVEYOR CAPITAL	041	FITB	B	14,316	13.97	n/a	n/a	429.48	3.0
BALYASNY ASSET MGMT	044	FRX	C	10,000	32.46	n/a	28-Mar	500.00	5.0
f IAN L MILLER	FID	FRX	B	25	32.24	n/a	28-Mar	0.00	0.0
f IAN L MILLER	FID	FSS	B	125	6.46	n/a	n/a	0.00	0.0
OZ MGMT	040	F	SS	125,000	14.89	n/a	2-Mar	3,750.00	3.0
CATAPULT	040	GE	B	25,000	20.13	n/a	n/a	1,000.00	4.0
B BUCK CAPITAL MGMT		GLDD	B	20,000	7.52	n/a	n/a	non-brg	1.0
f JASON ERIC COHEN	FID	GLW	S	80	21.19	n/a	23-Mar	0.00	0.0
CIRCLE T/SES PART	033	GM	SS	5,000	31.55	n/a	2-Mar	200.00	4.0
TROUBH PART	070	GM	B	25,000	31.59	n/a	2-Mar	1,250.00	5.0
NEWLAND CAPITAL MGT	025	GR	B	10,000	85.34	n/a	4-Mar	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f KATHERINE L O'GORMAN	FID	GS	B	200	159.20	n/a	28-Mar	0.00	0.0
f KEVIN MICHAEL O'GORM	FID	GS	B	200	159.29	n/a	28-Mar	0.00	0.0
CAXTON PART	040	GT	B	50,000	14.89	n/a	n/a	1,750.01	3.5
MERRILL ASSET/BLACKROCK	266	HHS	S	15,000	11.97	n/a	n/a	600.00	4.0
MA CAPITAL MGMT/MELLON ADV041	HOT		B	2,000	58.28	n/a	29-Mar	100.00	5.0
FRED ALGER MGMT	035	HP	S	49,970	67.49	n/a	n/a	1,798.92	3.6
f WILLIAM J GAULT	FID	HRBR	S	4999	0.20	n/a	n/a	0.00	0.0
GREEN ARROW DOUG	040	HTZ	S	30,000	15.51	n/a	n/a	1,500.00	5.0
PATTEN & PATTEN	025	HYG	B	75	91.97	n/a	n/a	3.75	5.0
f DAVID GEORGE BUCK	FID	JPM	S	20	0.52	n/a	28-Mar	0.00	0.0
BRANDWINE	028	JWN	B	60,960	44.40	n/a	3-Mar	2,438.40	4.0
CATAPULT	040	KMT	B	30,000	39.01	n/a	28-Jan	1,200.00	4.0
GREEN ARROW DOUG	040	KSS	B	10,000	52.98	n/a	3-Mar	500.00	5.0
B BUCK CAPITAL MGMT		LEN	B	100,000	18.45	n/a	n/a	non-brg	4.0
BMO NESBITT BURNS	041	LLY	S	6,000	34.88	n/a	n/a	600.00	10.0
f DAVID GEORGE BUCK	FID	LVS	S	1500	43.44	n/a	21-Mar	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	NICOLAS EVAN PAKLER	FID	LVS	B	230	43.23	n/a	21-Mar	0.00	0.0
	CAERUS GLOBAL	041	MAR	SS	31,000	36.00	n/a	29-Mar	1,240.00	4.0
f	DAVID GEORGE BUCK	FID	MHS	B	500	55.31	n/a	n/a	0.00	0.0
	TALPION LLC	040	MJN	S	5,000	58.51	n/a	n/a	200.00	4.0
f	STEFFANIE CARMELA CA	FID	MNTX	B	1000	5.83	n/a	n/a	0.00	0.0
	PIONEER PATH	028	MO	S	50,000	26.10	n/a	n/a	1,500.00	3.0
ß	BUCK CAPITAL MGMT		MRT	B	1,100	6.94	n/a	n/a	non-brg	3.0
ß	BUCK CAPITAL MGMT		MRT	B	1,600	6.94	n/a	n/a	non-brg	3.0
ß	BUCK CAPITAL MGMT		MRT	B	1,900	6.94	n/a	n/a	non-brg	3.0
ß	BUCK CAPITAL MGMT		MRT	B	18,400	6.94	n/a	n/a	non-brg	3.0
ß	BUCK CAPITAL MGMT		MRT	B	2,500	6.94	n/a	n/a	non-brg	3.0
ß	BUCK CAPITAL MGMT		MRT	B	700	6.94	n/a	n/a	non-brg	3.0
ß	BUCK CAPITAL MGMT		MRT	B	800	6.94	n/a	n/a	non-brg	3.0
	IRIDIAN ASSET MGMT.	036	MRVL	S	55,900	15.94	n/a	n/a	2,795.00	5.0
ß	BUCK CAPITAL MGMT		MTH	B	10,000	24.38	n/a	n/a	non-brg	1.0
	TALPION LLC	040	MTOR	B	20,000	20.14	n/a	n/a	800.00	4.0
f	EDWARD W WHEELER	FID	MWA	B	4206	4.43	n/a	n/a	0.00	0.0
f	IAN L MILLER	FID	MWA	B	200	4.44	n/a	n/a	0.00	0.0
	BNP PARIBAS SEC	040	MWV	S	10,000	29.82	n/a	26-Jan	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO NESBITT BURNS	041	MYL	B	4,000	22.55	n/a	28-Mar	400.00	10.0
THOMPSON SIEGAL&WALMSLEY	029	MYL	B	62,164	22.55	n/a	28-Mar	2,433.96	3.9
SAC CAPITAL/M GRONET	030	M	B	20,000	24.17	n/a	3-Mar	700.00	3.5
SMITH MGMT LLC	029	NDN	B	40,000	19.66	n/a	11-Mar	2,000.00	5.0
TALPION LLC	040	NLSN	B	8,600	27.87	n/a	n/a	344.00	4.0
BUCK CAPITAL MGMT		NLY	B	10,000	17.51	n/a	n/a	non-brg	1.0
JASON ERIC COHEN	FID	NLY	B	160	17.52	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		NWY	S	20,000	7.32	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		NWY	S	30,000	7.29	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		NX	B	10,000	19.47	n/a	n/a	non-brg	1.0
LISTED ERR	099	NYX	S	5,000	35.66	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	OI	B	10,000	30.12	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT		OXM	S	10,000	33.00	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		OXM	S	20,000	32.62	n/a	n/a	non-brg	2.0
KENNEDY CAPITAL	046	OXM	S	54,045	33.41	n/a	n/a	2,161.80	4.0
SURVEYOR CAPITAL	041	PCAR	B	35,778	51.64	n/a	2-Feb	1,073.34	3.0
PIONEER PATH	028	PFE	S	50,000	20.44	n/a	n/a	1,500.00	3.0
FRED ALGER MGMT	035	PG	B	24,000	61.49	n/a	21-Mar	864.00	3.6

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	PII	SS	20,000	86.57	n/a	n/a	1,000.00	5.0
f CHRISTOPHER ROBERT C	FID	PKG	B	200	28.81	n/a	17-Mar	0.00	0.0
BALYASNY ASSET MGMT	044	PLCE	S	15,000	50.41	n/a	9-Mar	750.00	5.0
ROYCE TRADING	012	PLCE	B	2,000	49.87	n/a	9-Mar	100.00	5.0
PIONEER PATH	028	PM	B	50,000	65.64	n/a	n/a	1,500.00	3.0
SURVEYOR CAPITAL	041	PNC	B	3,175	63.01	n/a	n/a	95.25	3.0
BNP PARIBAS SEC	040	PPG	B	10,000	94.70	n/a	30-Mar	500.00	5.0
SYSTEMATIC FINANCIAL MGT	035	PVH	S	9,500	64.54	30-Mar	30-Mar	285.00	3.0
SURVEYOR CAPITAL	041	ROK	S	20,682	94.30	n/a	n/a	620.46	3.0
f JASON ERIC COHEN	FID	RYL	B	5	1.73	n/a	n/a	0.00	0.0
f JASON ERIC COHEN	FID	RYL	S	5	2.09	n/a	n/a	0.00	0.0
DENVER INST. ADV	046	R	B	145,100	50.33	n/a	n/a	5,804.00	4.0
WEISS PECK	040	SCVL	S	25,000	28.15	n/a	n/a	1,250.00	5.0
f MARK DEVEREAUX KAICH	FID	SD	S	1500	12.19	n/a	n/a	0.00	0.0
CAERUS GLOBAL	041	SGMS	B	25,385	8.75	n/a	n/a	1,015.40	4.0
SCOPUS FUND	041	SHW	B	50,000	84.08	n/a	30-Mar	2,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	SPY	S	585	132.94	n/a	n/a	29.25	5.0
f JONATHAN RICHARD HAR	FID	SRI	B	700	14.33	n/a	n/a	0.00	0.0
PIONEER PATH	028	STZ	S	50,000	19.72	n/a	n/a	1,500.00	3.0
PARTNER REINSURANCE	033	TAP	S	1,305	46.99	n/a	n/a	52.20	4.0
MERRILL ASSET/BLACKROCK	266	TESO	S	6,000	22.03	n/a	n/a	240.00	4.0
PARTNER REINSURANCE	033	TGT	S	5,820	50.29	n/a	24-Feb	232.80	4.0
SAC CAPITAL/M GRONET	030	TGT	B	20,000	49.92	n/a	24-Feb	700.00	3.5
SAC TRADING TOM LEDDY	035	TGT	S	20,000	50.15	n/a	24-Feb	700.00	3.5
PARTNER REINSURANCE	033	THC	S	3,994	7.50	n/a	n/a	159.76	4.0
PARTNER REINSURANCE	033	TIF	S	1,039	61.61	n/a	n/a	41.56	4.0
PARTNER REINSURANCE	033	TJX	S	3,253	50.06	n/a	3-Mar	130.12	4.0
PARTNER REINSURANCE	033	TMO	S	3,210	54.86	n/a	n/a	128.40	4.0
PARTNER REINSURANCE	033	TSN	S	2,451	19.70	n/a	n/a	98.04	4.0
PARTNER REINSURANCE	033	TWC	S	2,822	71.50	n/a	n/a	112.88	4.0
PARTNER REINSURANCE	033	TWX	S	8,982	35.60	n/a	n/a	359.28	4.0
PARTNER REINSURANCE	033	TXT	S	2,269	27.14	n/a	n/a	90.76	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PARTNER REINSURANCE	033	TYC	S	3,894	44.90	n/a	28-Jan	155.76	4.0
SURVEYOR CAPITAL	041	T	B	134,200	30.78	n/a	n/a	4,026.00	3.0
PARTNER REINSURANCE	033	UNH	S	8,989	45.39	n/a	n/a	359.56	4.0
PARTNER REINSURANCE	033	UNP	S	4,036	97.88	n/a	n/a	161.44	4.0
PARTNER REINSURANCE	033	UPS	S	8,113	74.49	n/a	n/a	324.52	4.0
PARTNER REINSURANCE	033	URBN	S	1,052	30.58	n/a	n/a	42.08	4.0
PARTNER REINSURANCE	033	UTX	S	7,565	84.20	n/a	n/a	302.60	4.0
SURVEYOR CAPITAL	041	UTX	B	21,398	84.35	n/a	n/a	641.94	3.0
PARTNER REINSURANCE	033	VAR	S	987	67.18	n/a	n/a	39.48	4.0
PARTNER REINSURANCE	033	VFC	S	712	99.21	n/a	14-Mar	28.48	4.0
SURVEYOR CAPITAL	041	VLY	B	14,420	13.89	n/a	n/a	432.60	3.0
BALLAST CAP	040	WERN	B	6,700	26.03	n/a	n/a	335.00	5.0
B BUCK CAPITAL MGMT		WERN	S	20,000	26.05	n/a	n/a	non-brg	4.0
SIGMA CAPITAL ASSOCIATES	041	WFMI	S	25,000	65.82	n/a	n/a	875.00	3.5
MERRILL ASSET/BLACKROCK	266	WRB	B	18,100	31.60	n/a	n/a	724.00	4.0
f MARK ANTHONY GRONET	FID	WY	S	1202	24.66	n/a	4-Feb	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	XLU	B	3,000	32.00	n/a	n/a	150.00	5.0
KLEINHEINZ CAP PART	031	YUM	B	50,000	51.75	n/a	3-Feb	2,500.00	5.0
TOTAL (Trade Date):								89,705.79	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	03/29	WADDELL AND REED	047	MTW	B	43,850	21.26	n/a	2-Feb	1754.00 4.0
AO,CXL	03/29	WADDELL AND REED	047	MTW	B	43,850	21.26	n/a	2-Feb	0.00 0.0
AO,	03/29	LISTED ERR	097	NYX	B	5,000	35.65	n/a	n/a	0.00 0.0
AO,	03/29	COLUMBUS CIRCLE	036	QCOM	B	2,600	53.86	n/a	n/a	104.00 4.0

TOTAL (AO, CXL, CRT) :	1,858.00
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TOTAL (Trade Date) :	89,705.79
TOTAL (AO, CXL, CRT) :	1,858.00

TOTAL (RUN DATE) / NFS:	91,563.79
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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 30-Mar.

PVH

MRI Securities without Trade Activity on 30-Mar.

CEPH

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

T-Date = 0%

YTD = 4%

<u>Legend:</u>
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)