



Daily Compliance Activity Report

Trade Date: 03/25/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		494 HK	B	300,000	5.13	n/a	n/a	non-brg	1.0
f MATTHEW FRANCIS BUCK	FID	ABT	B	400	47.97	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	AMZN	S	700	171.50	n/a	n/a	0.00	0.0
KLEINHEINZ CAP PART	031	AN	B	30,000	34.61	n/a	9-Feb	1,500.00	5.0
f KAREN F LEDDY	FID	APC	S	150	82.75	n/a	25-Feb	0.00	0.0
B BUCK CAPITAL MGMT		ASNA	S	20,000	31.99	n/a	n/a	non-brg	4.0
COBALT	041	AXL	SS	100,000	13.18	n/a	9-Feb	4,000.00	4.0
f BARBARA S LEDDY	FID	BODY	S	700	21.72	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BODY	S	10,000	21.90	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		BODY	S	10,000	22.86	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BODY	S	20,000	22.31	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BODY	S	30,000	22.11	n/a	n/a	non-brg	4.0
f JONATHAN RICHARD HAR	FID	BODY	S	180	22.00	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	BODY	S	1000	21.88	n/a	n/a	0.00	0.0
f STEFFANIE CARMELA CA	FID	BODY	S	600	22.40	n/a	n/a	0.00	0.0
MILLENNIUM-ANDEW	031	BWC	S	16,500	32.16	n/a	n/a	990.00	6.0
B BUCK CAPITAL MGMT		CAR	S	10,000	18.27	n/a	n/a	non-brg	4.0
TOCQUEVILLE	035	CE	B	100,000	43.15	n/a	n/a	5,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f CHRISTOPHER ROBERT C	FID	CMI	S	75	105.66	n/a	1-Mar	0.00	0.0
MILLENNIUM-ANDEW	031	CMI	B	20,000	105.23	n/a	1-Mar	1,200.00	6.0
LISTED ERR	099	CMI	B	10,000	105.23	n/a	1-Mar	0.00	0.0
LISTED ERR	099	CMI	S	10,000	104.68	n/a	1-Mar	0.00	0.0
f DAVID GEORGE BUCK	FID	COP	B	1000	80.43	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	CVGI	S	1100	16.23	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	266	CYN	S	9,900	55.97	n/a	n/a	396.00	4.0
f CHRISTOPHER ROBERT C	FID	DF	S	500	10.58	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		DHI	S	45,000	11.84	n/a	n/a	non-brg	2.0
KACELA CAPITAL	034	DIS	S	48,000	43.02	n/a	n/a	1,920.00	4.0
ENTRUST CAPITAL	040	DPZ	S	39,100	18.31	n/a	1-Mar	1,955.00	5.0
B BUCK CAPITAL MGMT		DSW	B	50,000	39.17	n/a	11-Feb	non-brg	4.0
ROSEDALE CAPITAL	046	DVN	B	200	92.00	n/a	4-Mar	10.00	5.0
f DAVID GEORGE BUCK	FID	EEM	B	1000	47.46	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	EL	B	75	93.68	n/a	24-Mar	0.00	0.0
f DAVID GEORGE BUCK	FID	EWJ	S	4000	10.39	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	EWJ	S	400	10.39	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	MATTHEW FRANCIS BUCK	FID	EWJ	S	450	10.39	n/a	n/a	0.00	0.0
	LAGRANGE CAP ADV	048	FII	B	10,000	26.50	n/a	2-Mar	500.00	5.0
	EGS ASSOCIATES LP	091	FINL	B	4,000	19.22	25-Mar	25-Mar	240.00	6.0
	ROYCE TRADING	012	FINL	B	60,874	19.23	25-Mar	25-Mar	3,043.70	5.0
	BALYASNY ASSET MGMT	044	FL	B	25,000	20.11	n/a	3-Mar	1,250.00	5.0
	CAISSE DEPOT PLACEMENT Q	295	FORM	B	4,800	10.67	n/a	n/a	240.00	5.0
f	CAROL ANNE LACHENAU	FID	FOR	S	347	18.94	n/a	7-Feb	0.00	0.0
f	DOUGLAS ROGERS	FID	FOR	S	347	18.92	n/a	7-Feb	0.00	0.0
Õ	Doug Rogers		FOR	S	100	19.06	n/a	7-Feb	0.00	0.0
Õ	Doug Rogers		FOR	S	245	18.80	n/a	7-Feb	0.00	0.0
Õ	Doug Rogers		FOR	S	300	19.05	n/a	7-Feb	0.00	0.0
Õ	Doug Rogers		FOR	S	500	19.05	n/a	7-Feb	0.00	0.0
Õ	Doug Rogers		FOR	S	7	19.06	n/a	7-Feb	0.00	0.0
f	TR U/W OF CH RISTINA	FID	FOR	S	347	18.94	n/a	7-Feb	0.00	0.0
	TOCQUEVILLE	035	FSS	B	25,000	6.48	n/a	n/a	1,250.00	5.0
	PIONEER PATH	028	F	SS	66,511	15.03	n/a	2-Mar	1,995.33	3.0
B	BUCK CAPITAL MGMT		GES	S	8,500	38.07	n/a	17-Mar	non-brg	2.0
	GLOBAL 56 LLC	060	GMXR	B	5,000	5.87	n/a	n/a	150.00	3.0
	CIRCLE T/SES PART	033	GM	B	7,500	31.47	n/a	2-Mar	300.00	4.0
	TROUBH PART	070	GM	SS	25,000	31.40	n/a	2-Mar	1,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SURVEYOR CAPITAL	041	GT	B	79,523	15.41	n/a	n/a	2,385.69	3.0
f CHRISTOPHER ROBERT C	FID	HOT	B	200	59.10	n/a	23-Feb	0.00	0.0
f KAREN F LEDDY	FID	HZO	S	800	9.22	n/a	n/a	0.00	0.0
f KEVIN MICHAEL O'GORM	FID	IGT	B	1500	16.55	n/a	21-Mar	0.00	0.0
TOCQUEVILLE	035	INSU	B	50,000	26.60	n/a	n/a	2,500.00	5.0
MILLENNIUM-ANDEW	031	ITW	S	30,000	55.11	n/a	1-Feb	1,800.00	6.0
f CHRISTOPHER ROBERT C	FID	JNY	S	500	12.87	n/a	3-Mar	0.00	0.0
BNP PARIBAS SEC	040	JWN	S	10,000	44.21	n/a	3-Mar	500.00	5.0
M&I FUNDS	047	KO	B	7,010	65.21	n/a	18-Feb	280.40	4.0
f CHRISTOPHER ROBERT C	FID	KS	S	300	17.49	n/a	n/a	0.00	0.0
f BERNA GABRIELLE BARS	FID	LSTZA	B	5	7.60	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	LVS	B	1500	42.36	n/a	21-Mar	0.00	0.0
f DAVID GEORGE BUCK	FID	MCD	B	20	2.32	n/a	8-Mar	0.00	0.0
f DAVID GEORGE BUCK	FID	MCD	S	20	1.88	n/a	8-Mar	0.00	0.0
B BUCK CAPITAL MGMT		MDC	S	16,300	26.15	n/a	n/a	non-brg	2.0
TROUBH PART	070	MON	SS	10,000	71.70	n/a	7-Feb	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MATTHEW FRANCIS BUCK	FID	MRK	S	500	32.69	n/a	n/a	0.00	0.0
BERMAN CAPITAL MGMT	046	MSFT	B	40,000	25.62	n/a	n/a	1,200.00	3.0
DELTEC ASSET MGMT.	040	MTW	S	12,000	21.40	n/a	2-Feb	600.00	5.0
f CAROL ANNE LACHENAU	FID	MWA	B	1490	4.39	n/a	n/a	0.00	0.0
f DOUGLAS ROGERS	FID	MWA	B	1480	4.39	n/a	n/a	0.00	0.0
Õ Doug Rogers		MWA	B	1000	4.33	n/a	n/a	0.00	0.0
Õ Doug Rogers		MWA	B	3965	4.36	n/a	n/a	0.00	0.0
f TR U/W OF CH RISTINA	FID	MWA	B	1000	4.39	n/a	n/a	0.00	0.0
BNP PARIBAS SEC	040	M	B	25,000	23.28	n/a	3-Mar	1,250.00	5.0
f KAREN F LEDDY	FID	NBRXF	S	500	14.80	n/a	n/a	0.00	0.0
SMITH MGMT LLC	029	NDN	B	25,000	19.68	n/a	11-Mar	1,250.00	5.0
SAC TRADING TOM LEDDY	035	NKE	S	25,000	76.72	n/a	n/a	875.00	3.5
B BUCK CAPITAL MGMT		NWY	S	30,000	6.67	n/a	n/a	non-brg	3.0
BNP PARIBAS SEC	040	PCAR	S	15,000	49.92	n/a	2-Feb	750.00	5.0
f CHRISTOPHER ROBERT C	FID	PCAR	B	150	50.12	n/a	2-Feb	0.00	0.0
f CHRISTOPHER ROBERT C	FID	PKG	S	300	28.15	n/a	17-Mar	0.00	0.0
RBC CAPITAL MARKETS	040	POT	B	15,000	57.08	n/a	n/a	600.00	4.0
f KATHERINE L O'GORMAN	FID	PST	B	1000	42.24	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f KEVIN MICHAEL O'GORM	FID	PST	B	1000	42.24	n/a	n/a	0.00	0.0
f BERNA GABRIELLE BARS	FID	RIMM	B	5	8.75	n/a	n/a	0.00	0.0
KLEINHEINZ CAP PART	031	RTH	B	35,000	105.54	n/a	n/a	1,750.00	5.0
MFP INVESTORS	085	RURL	B	1,800	12.46	n/a	n/a	90.00	5.0
COUGAR TRADING	044	SKS	B	10,000	11.57	n/a	n/a	500.00	5.0
BERMAN CAPITAL MGMT	046	SPY	B	10,000	131.50	n/a	n/a	300.00	3.0
B BUCK CAPITAL MGMT		SREV	S	14,000	12.86	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		SWFT	B	20,000	14.92	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		SWFT	B	25,000	14.86	n/a	n/a	non-brg	4.0
ETON PARK CAPITAL	041	S	B	1,000,000	4.59	n/a	n/a	30,000.00	3.0
RBC CAPITAL MARKETS	040	TCK	B	25,000	54.91	n/a	n/a	1,000.00	4.0
f BARBARA S LEDDY	FID	TFM	B	400	38.52	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	TFM	B	50	38.00	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	TFM	B	400	38.50	n/a	n/a	0.00	0.0
M&I FUNDS	047	TGT	S	14,151	50.23	n/a	24-Feb	566.04	4.0
B BUCK CAPITAL MGMT		TOL	S	34,900	20.52	n/a	n/a	non-brg	2.0
f BERNA GABRIELLE BARS	FID	UNTD	B	500	6.28	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COUGAR TRADING	044	URBN	SS	5,000	29.81	n/a	n/a	250.00	5.0
SURVEYOR CAPITAL	041	UTX	B	24,166	83.33	n/a	n/a	724.98	3.0
f JOSEPH CIRO AMATURO	FID	VXX	B	5000	30.09	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		XRT	C	13,089	49.80	n/a	n/a	non-brg	2.0
TOTAL (Trade Date):								76,862.14	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	03/24	SCOPUS FUND	041	ETH	B	20,000	22.01	n/a	n/a	800.00 4.0
AO,CXL	03/24	SCOPUS FUND	041	ETH	B	20,000	22.01	n/a	n/a	800.00 4.0
AO,CXL	03/24	SCOPUS FUND	041	PVH	B	25,000	58.99	n/a	1-Feb	1000.00 4.0
AO,CRT	03/24	SCOPUS FUND	041	PVH	B	25,000	58.99	n/a	1-Feb	1000.00 4.0
AO,	03/24	COLUMBUS CIRCLE	036	STJ	B	1,385	50.49	n/a	n/a	55.40 4.0
AO,	03/24	COLUMBUS CIRCLE	036	TIBX	B	5,211	25.93	n/a	n/a	208.44 4.0
AO,CRT	03/24	BALLAST CAP	040	WFC	S	10,600	31.24	n/a	14-Mar	530.00 5.0
AO,CXL	03/24	BALLAST CAP	040	WFC	S	10,600	31.24	n/a	14-Mar	0.00 0.0

TOTAL (AO, CXL, CRT) :	793.84
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TOTAL (Trade Date):	76,862.14
TOTAL (AO, CXL, CRT):	793.84

TOTAL (RUN DATE) / NFS:	77,655.98
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO	03/24	BUCK CAPITAL MGMT	SREV	B	10,000	10.00	n/a	n/a	0.00	0.0
AO	03/24	BUCK CAPITAL MGMT	SREV	B	1,000	10.00	n/a	n/a	0.00	0.0
AO	03/24	BUCK CAPITAL MGMT	SREV	B	3,000	10.00	n/a	n/a	0.00	0.0

MRI Securities with Trade Activity on 25-Mar.

FINL

MRI Securities without Trade Activity on 25-Mar.

TEVA, HSP

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

T-Date = 0%

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)