



Daily Compliance Activity Report

Trade Date: 03/29/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CAERUS GLOBAL	041	AAN	S	9,200	25.00	n/a	n/a	368.00	4.0
CATAPULT	040	AA	B	10,000	17.52	n/a	n/a	400.00	4.0
BALLAST CAP	040	ABX	S	20,300	50.56	n/a	n/a	1,015.00	5.0
SHEFFIELD ASSET MGMT	031	AEO	S	100,000	15.43	n/a	10-Mar	4,000.00	4.0
EPOCH INV MGMT	030	AMP	S	185,141	61.18	n/a	n/a	5,554.23	3.0
PIONEER PATH	028	ANR	SS	30,000	59.21	n/a	n/a	900.00	3.0
TALPION LLC	040	ARM	B	20,000	19.49	n/a	n/a	800.00	4.0
B BUCK CAPITAL MGMT		ARO	S	250,000	24.09	n/a	11-Mar	non-brg	4.0
BARON ASSET MGMT*	012	ATVI	S	75,000	11.00	n/a	n/a	3,000.00	4.0
ADALY INV MGMT	031	BAC	S	25,000	13.22	n/a	28-Mar	750.00	3.0
TALPION LLC	040	BJ	S	5,000	48.81	n/a	n/a	200.00	4.0
B BUCK CAPITAL MGMT		BONT	S	6,832	15.54	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BONT	S	8,700	15.39	n/a	n/a	non-brg	1.0
NEUSTRADA CAP LLC	085	BUD	B	30,000	56.92	n/a	29-Mar	900.00	3.0
f CHRISTOPHER ROBERT C	FID	BUFHX	B	219	11.42	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TALPION LLC	040	BYI	S	9,500	36.08	n/a	21-Mar	380.00	4.0
f CHRISTOPHER ROBERT C	FID	BZ	B	500	9.01	n/a	n/a	0.00	0.0
f ABRAM M CHAPPELL	FID	CAR	S	80	18.25	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	266	CBU	S	43,700	23.84	n/a	n/a	1,748.00	4.0
f IAN L MILLER	FID	CVGI	S	125	17.73	n/a	n/a	0.00	0.0
f MARK ANTHONY GRONET	FID	CVGI	S	1000	17.64	n/a	n/a	0.00	0.0
ST OF MICHIAN	047	CVS	S	200,000	33.50	n/a	n/a	6,000.00	3.0
MTB INV ADV	034	DAN	S	29,125	17.25	n/a	24-Feb	1,456.25	5.0
SEVEN LOCKS CAPITAL	025	DAN	B	50,000	17.38	n/a	24-Feb	1,500.00	3.0
SAC CAPITAL/M GRONET	030	DRI	B	10,000	47.22	n/a	25-Mar	350.00	3.5
f CHRISTOPHER ROBERT C	FID	EL	S	75	95.05	n/a	24-Mar	0.00	0.0
ROYCE TRADING	012	FINL	B	60,000	19.11	n/a	25-Mar	3,000.00	5.0
PROSPECTOR PARTNERS LLC	036	FOR	B	5,000	18.63	n/a	7-Feb	200.00	4.0
B BUCK CAPITAL MGMT		GIL	S	35,100	32.00	n/a	9-Feb	non-brg	4.0
B BUCK CAPITAL MGMT		HAL	S	10,000	48.44	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		HBI	S	20,000	26.49	n/a	28-Jan	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
BUCK CAPITAL MGMT		HBI	S	20,000	26.54	n/a	28-Jan	non-brg 2.0
PROSPECTOR PARTNERS LLC	036	HES	B	5,000	82.69	n/a	n/a	200.00 4.0
MERRILL ASSET/BLACKROCK	266	HOLX	S	15,900	22.22	n/a	n/a	636.00 4.0
CATAPULT	040	IP	S	20,000	27.72	n/a	17-Mar	800.00 4.0
CSFB GLOBAL PROPRIETARY	041	IP	B	20,000	27.79	n/a	17-Mar	1,000.00 5.0
CATAPULT	040	ITW	SS	15,000	54.29	n/a	1-Feb	600.00 4.0
BUCK CAPITAL MGMT		JNY	B	200,000	13.26	n/a	3-Mar	non-brg 4.0
WADDELL AND REED	047	JPM	B	108,550	45.94	n/a	28-Mar	4,342.00 4.0
SAC TRADING TOM LEDDY	035	KR	SS	30,000	24.19	n/a	n/a	1,050.00 3.5
SEVEN LOCKS CAPITAL	025	LEA	S	8,000	48.50	n/a	21-Mar	240.00 3.0
PERRY PARTNERS	085	LOW	S	50,000	26.85	n/a	23-Feb	2,500.00 5.0
BUCK CAPITAL MGMT		LTD	B	20,000	32.50	n/a	n/a	non-brg 4.0
THE JAY GOLDMAN	028	LVS	S	15,000	42.14	n/a	21-Mar	600.00 4.0
FARALLON CAP MGMT	040	LYV	S	82,000	9.95	n/a	n/a	2,460.00 3.0
GREEN ARROW DOUG	040	LYV	B	4,800	9.90	n/a	n/a	240.00 5.0
TALPION LLC	040	MJN	S	8,000	58.20	n/a	n/a	320.00 4.0
MTB INV ADV	034	MOD	S	19,750	15.77	n/a	n/a	987.50 5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WADDELL AND REED	047	MTW	B	43,850	21.26	n/a	2-Feb	0.00	0.0
SAC CAPITAL/M GRONET	030	M	B	10,000	23.62	n/a	3-Mar	350.00	3.5
SYSTEMATIC FINANCIAL MGT	035	M	B	210,000	23.68	n/a	3-Mar	6,300.00	3.0
KADE CAPITAL LLC	028	NAV	B	5,000	68.05	n/a	10-Mar	250.00	5.0
MERRILL ASSET/BLACKROCK	266	NAV	B	12,300	67.99	n/a	10-Mar	492.00	4.0
SMITH MGMT LLC	029	NDN	B	25,000	19.68	n/a	11-Mar	1,250.00	5.0
TALPION LLC	040	NLSN	B	1,400	27.80	n/a	n/a	56.00	4.0
BUCK CAPITAL MGMT	001	NWY	S	40,000	6.82	n/a	n/a	800.00	2.0
MERRILL ASSET/BLACKROCK	266	NYX	B	141,400	35.75	n/a	n/a	5,656.00	4.0
MA CAPITAL MGMT/MELLON ADV	041	PCAR	B	1,500	50.17	n/a	2-Feb	75.00	5.0
RIDGECREST INV MGMT LLC	028	PCAR	B	15,000	49.98	n/a	2-Feb	750.00	5.0
⌘ BUCK CAPITAL MGMT		PERY	B	10,000	26.07	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PERY	B	10,000	26.49	n/a	n/a	non-brg	2.5
ROYCE TRADING	012	PLCE	B	13,000	49.54	n/a	9-Mar	650.00	5.0
PROSPECTOR PARTNERS LLC	036	PPS	B	7,000	37.83	n/a	n/a	280.00	4.0
⌘ BUCK CAPITAL MGMT		PVH	S	17,000	64.12	n/a	1-Feb	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PVH	S	30,000	64.28	n/a	1-Feb	non-brg	4.0
BMO NESBITT BURNS	041	RYN	S	3,000	61.16	n/a	26-Jan	150.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DENVER INST. ADV	046	R	B	76,098	49.79	n/a	n/a	3,043.92	4.0
S.A.C. CAP/ORENSTEIN	044	SEE	B	25,000	26.28	n/a	n/a	875.00	3.5
B BUCK CAPITAL MGMT		SLB	S	10,000	92.56	n/a	n/a	non-brg	4.0
f ABRAM M CHAPPELL	FID	SRI	S	120	14.98	n/a	n/a	0.00	0.0
f IAN L MILLER	FID	SVU	S	100	8.84	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	SWN	S	375	42.71	n/a	25-Feb	0.00	0.0
MTB INV ADV	034	TEN	S	7,275	42.02	n/a	n/a	363.75	5.0
f JONATHAN RICHARD HAR	FID	TFM	B	70	38.10	n/a	n/a	0.00	0.0
FARALLON CAP MGMT	040	TGT	B	51,000	49.19	n/a	24-Feb	2,040.00	4.0
f CHRISTOPHER ROBERT C	FID	TYC	B	100	44.79	n/a	28-Jan	0.00	0.0
B BUCK CAPITAL MGMT		URBN	B	20,000	29.78	n/a	n/a	non-brg	4.0
f MARK ANTHONY GRONET	FID	URZ	S	5000	3.16	n/a	n/a	0.00	0.0
CATAPULT	040	USG	B	10,000	16.97	n/a	27-Jan	400.00	4.0
RBC CAPITAL MARKETS	040	VALE	B	75,000	33.14	n/a	n/a	3,000.00	4.0
CAXTON PART	040	VIAB	B	19,430	46.19	n/a	n/a	680.07	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f ABRAM M CHAPPELL	FID	VTNC	S	110	14.08	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	WRC	S	40,000	55.14	n/a	1-Mar	1,200.00	3.0
B BUCK CAPITAL MGMT		WRC	S	20,100	55.07	n/a	1-Mar	non-brg	4.0
RBC CAPITAL MARKETS	040	WY	B	30,000	24.63	n/a	4-Feb	1,200.00	4.0
TOTAL (Trade Date):								78,358.72	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	03/24	CAISSE DEPOT PLACEMENT Q	031	CSC	B	5,662	49.07	n/a	n/a	226.48 4.0
AO,CXL	03/24	CAISSE DEPOT PLACEMENT Q	031	CSC	B	5,662	49.07	n/a	n/a	283.10 5.0
AO,CXL	03/24	CAISSE DEPOT PLACEMENT Q	031	DELL	B	72,900	15.24	n/a	n/a	3645.00 5.0
AO,CRT	03/24	CAISSE DEPOT PLACEMENT Q	031	DELL	B	72,900	15.24	n/a	n/a	2916.00 4.0
AO,CRT	03/24	CAISSE DEPOT PLACEMENT Q	031	FORM	B	45,200	10.67	n/a	n/a	1808.00 4.0
AO,CXL	03/24	CAISSE DEPOT PLACEMENT Q	031	FORM	B	45,200	10.67	n/a	n/a	2260.00 5.0
TOTAL (AO, CXL, CRT) :										-1,237.62
TOTAL (Trade Date) :										78,358.72
TOTAL (AO, CXL, CRT) :										-1,237.62
TOTAL (RUN DATE) / NFS :										77,121.10

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 29-Mar.
NONE

MRI Securities without Trade Activity on 29-Mar.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 7%
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)