



Daily Compliance Activity Report

Trade Date: 02/25/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CATAPULT CAP/DEFranco	040	ABB	B	25,000	24.06	n/a	n/a	1,000.00	4.0
CR INTRINIC INVESTMENT	044	ABT	S	25,000	47.66	n/a	n/a	875.00	3.5
PIONEER OAKRIDGE	031	ABT	S	1,570	47.35	n/a	n/a	31.40	2.0
Õ Nilsa Vazquez		ACW	S	500	14.01	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	AGN	S	1,345	74.05	n/a	22-Feb	26.90	2.0
PIONEER OAKRIDGE	031	ALTR	S	1,610	42.45	n/a	n/a	32.20	2.0
PIONEER OAKRIDGE	031	AMG	S	805	106.83	n/a	2-Mar	16.10	2.0
CASTLE ARK	031	ANSS	B	31,440	55.44	n/a	n/a	1,572.00	5.0
f JONATHAN RICHARD HAR	FID	APC	S	10	6.45	n/a	25-Feb	0.00	0.0
PIONEER OAKRIDGE	031	APH	S	1,040	56.86	n/a	n/a	20.80	2.0
f FRANCIS MICHAEL MCCA	FID	ARM	B	700	18.01	n/a	n/a	0.00	0.0
f MARY B MCCARTAN	FID	ARM	B	700	18.01	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ARO	B	10,000	26.19	n/a	4-Feb	non-brg	1.0
B BUCK CAPITAL MGMT		ARO	B	30,000	26.02	n/a	4-Feb	non-brg	4.0
BALYASNY ASSET MGMT	044	ASNA	C	25,000	31.07	n/a	n/a	1,250.00	5.0
SCOPUS FUND	041	ASNA	B	10,000	31.16	n/a	n/a	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f DOUGLAS ROGERS	FID	BACPRC	S	200	24.41	n/a	n/a	0.00	0.0
Õ Doug Rogers		BAC	B	35	24.45	n/a	16-Feb	0.00	0.0
Õ Doug Rogers		BAC	B	35	24.45	n/a	16-Feb	0.00	0.0
Õ Doug Rogers		BAC	B	35	24.45	n/a	16-Feb	0.00	0.0
PIONEER OAKRIDGE	031	BAX	S	1,385	52.16	n/a	n/a	27.70	2.0
ß BUCK CAPITAL MGMT		BID	B	30,000	47.88	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BODY	B	30,000	17.46	n/a	n/a	non-brg	1.0
ISLE RIDGE PARTNERS	041	BYI	B	26,000	38.40	n/a	3-Feb	1,040.00	4.0
f CHRISTOPHER ROBERT C	FID	BZ	B	500	8.91	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CBK	S	68,900	6.12	n/a	n/a	non-brg	1.0
PIONEER OAKRIDGE	031	CELG	S	1,280	53.39	n/a	n/a	25.60	2.0
CASTLEROCK	040	CREE	SS	17,952	53.10	n/a	n/a	718.08	4.0
ß BUCK CAPITAL MGMT		CROX	B	50,000	17.89	n/a	n/a	non-brg	1.0
PIONEER OAKRIDGE	031	CSCO	S	7,385	18.68	n/a	n/a	147.70	2.0
PIONEER OAKRIDGE	031	CTSH	S	705	76.34	n/a	n/a	14.10	2.0
PIONEER OAKRIDGE	031	CTXS	S	765	70.94	n/a	n/a	15.30	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	CXO	S	1,140	108.78	n/a	n/a	22.80	2.0
f JONATHAN RICHARD HAR	FID	C	S	3500	4.69	n/a	16-Feb	0.00	0.0
PIONEER OAKRIDGE	031	DHR	S	2,475	50.17	n/a	n/a	49.50	2.0
PIONEER OAKRIDGE	031	DNR	S	2,310	23.61	n/a	n/a	46.20	2.0
f ALEXANDRA ELISE ZOLI	FID	DVN	B	65	90.34	n/a	11-Jan	0.00	0.0
PIONEER OAKRIDGE	031	ECL	S	1,660	47.89	n/a	17-Feb	33.20	2.0
PIONEER OAKRIDGE	031	EMC	S	5,885	26.90	n/a	n/a	117.70	2.0
CATAPULT CAP/DEFRANCO	040	EMR	B	35,000	59.94	n/a	n/a	1,400.00	4.0
PIONEER OAKRIDGE	031	ESRX	S	1,900	55.32	n/a	n/a	38.00	2.0
CATAPULT CAP/DEFRANCO	040	ETN	B	8,500	107.77	n/a	27-Jan	340.00	4.0
f MARK ANTHONY GRONET	FID	FFRHX	B	2528	9.89	n/a	n/a	0.00	0.0
f MARK ANTHONY GRONET	FID	FFRHX	B	5056	9.89	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FINL	B	25,000	17.24	n/a	n/a	non-brg	1.0
f ABRAM M CHAPPELL	FID	FNF	B	500	13.72	n/a	n/a	0.00	0.0
DC CAPITAL	044	FOE	S	10,000	15.54	n/a	n/a	300.00	3.0
f MITCHELL JAMES SPEIS	FID	FSNXX	S	15000	1.00	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
GRANITE CAPITAL	028	F	B	35,000	14.97	n/a	2-Feb	1,750.00	5.0
B BUCK CAPITAL MGMT		GIII	S	9,044	39.03	n/a	n/a	non-brg	2.5
PIONEER OAKRIDGE	031	GILD	S	2,345	38.90	n/a	n/a	46.90	2.0
GRANITE CAPITAL	028	GM	B	15,000	34.15	n/a	25-Feb	750.00	5.0
f MANNY I KORMAN	FID	GM	S	500	3.44	n/a	25-Feb	0.00	0.0
PIONEER OAKRIDGE	031	GOOG	S	290	612.11	n/a	n/a	5.80	2.0
PIONEER OAKRIDGE	031	GS	S	540	164.84	n/a	14-Feb	10.80	2.0
NCM CAPITAL MGMT	035	HP	B	2,600	63.65	n/a	n/a	104.00	4.0
PIONEER OAKRIDGE	031	IBM	S	1,250	161.46	n/a	n/a	25.00	2.0
PIONEER OAKRIDGE	031	ICE	S	595	126.15	n/a	n/a	11.90	2.0
PIONEER OAKRIDGE	031	INTC	S	4,925	21.88	n/a	n/a	98.50	2.0
PIONEER OAKRIDGE	031	ITW	S	2,195	53.49	n/a	1-Feb	43.90	2.0
ROTHSCHILD ASSET	040	IVC	S	14,400	29.55	n/a	n/a	576.00	4.0
PIONEER OAKRIDGE	031	IVZ	S	3,530	26.13	n/a	2-Mar	70.60	2.0
B BUCK CAPITAL MGMT		JACK	S	10,000	22.09	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		JACK	S	140,800	21.94	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	JCI	S	2,375	40.60	n/a	20-Jan	47.50	2.0
THE JAY GOLDMAN	028	JCP	B	25,000	34.82	n/a	7-Feb	1,000.00	4.0
f JONATHAN RICHARD HAR	FID	JPM	B	110	46.43	n/a	16-Feb	0.00	0.0
BNP PARIBAS SEC	040	JWN	B	100,000	45.50	n/a	18-Feb	5,000.00	5.0
PIONEER OAKRIDGE	031	JWN	S	2,095	45.71	n/a	18-Feb	41.90	2.0
CYRUS CAPITAL	025	KND	B	13,000	25.22	n/a	n/a	520.00	4.0
BUCK CAPITAL MGMT	001	LL	S	50,000	23.84	n/a	n/a	1,000.00	2.0
SCOPUS FUND	041	LOW	B	30,000	25.32	n/a	23-Feb	1,200.00	4.0
f CHRISTOPHER ROBERT C	FID	LPX	S	500	10.40	n/a	10-Feb	0.00	0.0
NOMURA CAPITAL	029	LYB	S	25,000	38.22	n/a	n/a	750.00	3.0
B BUCK CAPITAL MGMT		MCD	B	30,000	74.99	n/a	8-Feb	non-brg	4.0
KLEINHEINZ CAP PART	031	MMM	S	60,000	90.22	n/a	11-Feb	3,000.00	5.0
THE JAY GOLDMAN	028	MPXL	S	25,000	6.80	n/a	22-Feb	1,000.00	4.0
PIONEER OAKRIDGE	031	MSFT	S	1,975	26.72	n/a	n/a	39.50	2.0
TRUSTCO/SUNTRUST	040	MSFT	S	259,073	26.73	n/a	n/a	9,067.63	3.5
B BUCK CAPITAL MGMT		MSSR	B	1,000	9.91	n/a	n/a	non-brg	1.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß	BUCK CAPITAL MGMT		MSSR	B	1,200	9.91	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		MSSR	B	300	9.91	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		MSSR	B	400	9.91	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		MSSR	B	600	9.91	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		MSSR	B	800	9.91	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		MSSR	B	9,180	9.91	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		MVRX	C	968,955	214.37	n/a	n/a	non-brg	0.0
ß	BUCK CAPITAL MGMT		MVRX	SS	968,955	214.37	n/a	n/a	non-brg	0.0
	CSFB GLOBAL PROPRIETARY	041	MWV	B	15,000	29.45	n/a	26-Jan	750.00	5.0
	MA CAPITAL MGMT/MELLON ADV	041	MWV	B	2,000	29.63	n/a	26-Jan	100.00	5.0
	SCOPUS FUND	041	MW	S	25,000	27.47	n/a	n/a	1,000.00	4.0
	CYRUS CAPITAL	041	M	B	17,000	23.29	n/a	23-Feb	680.00	4.0
	MA CAPITAL MGMT/MELLON ADV	041	M	B	2,500	23.43	n/a	23-Feb	125.00	5.0
	THE JAY GOLDMAN	028	M	SS	25,000	23.35	n/a	23-Feb	1,000.00	4.0
	PIONEER OAKRIDGE	031	NTAP	S	1,450	52.36	n/a	n/a	29.00	2.0
	NCM CAPITAL MGMT	035	OIS	B	8,404	72.03	n/a	n/a	336.16	4.0
	PIONEER OAKRIDGE	031	ORCL	S	3,690	32.94	n/a	n/a	73.80	2.0
	PIONEER OAKRIDGE	031	ORLY	S	1,965	55.10	n/a	n/a	39.30	2.0
	PIONEER OAKRIDGE	031	OXY	S	1,180	102.50	n/a	n/a	23.60	2.0
f	ABRAM M CHAPPELL	FID	PCAR	B	60	50.23	n/a	2-Feb	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PIONEER OAKRIDGE	031	PCAR	S	1,535	50.19	n/a	2-Feb	30.70	2.0
ELM RIDGE ADVISORS	044	PCL	S	7,000	41.47	n/a	1-Feb	280.00	4.0
PIONEER OAKRIDGE	031	PCP	S	625	141.31	n/a	31-Jan	12.50	2.0
PIONEER OAKRIDGE	031	PEP	S	1,540	63.77	n/a	n/a	30.80	2.0
SAC TRADING TOM LEDDY	035	PFCB	B	14,000	46.53	n/a	16-Feb	490.00	3.5
PIONEER OAKRIDGE	031	PG	S	1,835	62.76	n/a	18-Feb	36.70	2.0
SAC TRADING TOM LEDDY	035	PLCE	B	18,000	46.14	n/a	14-Feb	630.00	3.5
PIONEER OAKRIDGE	031	PX	S	930	98.21	n/a	23-Feb	18.60	2.0
f CHRISTOPHER ROBERT C	FID	RRR	S	500	13.49	n/a	12-Jan	0.00	0.0
ß BUCK CAPITAL MGMT		RUTH	B	1,100	4.97	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		RUTH	B	300	4.97	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		RUTH	B	300	4.97	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		RUTH	B	500	4.97	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		RUTH	B	700	4.97	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		RUTH	B	8,100	4.97	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		RUTH	B	800	4.97	n/a	n/a	non-brg	1.0
SCOPUS FUND	041	SCS	B	25,000	9.68	n/a	n/a	1,000.00	4.0
SONTERRA CAP	041	SD	B	50,000	10.14	n/a	n/a	2,000.00	4.0
PIONEER OAKRIDGE	031	SLB	S	1,225	91.31	n/a	n/a	24.50	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		SODA	B	8,436	41.17	n/a	n/a	non-brg	4.0
PIONEER OAKRIDGE	031	SPLS	S	3,920	20.86	n/a	n/a	78.40	2.0
CARDINAL CAPITAL	044	SSI	S	25,000	18.31	n/a	n/a	1,250.00	5.0
PIONEER OAKRIDGE	031	SWN	S	1,505	38.57	n/a	25-Feb	30.10	2.0
SUN AMERICA ASSET MGMT	030	SWN	B	10,200	38.60	n/a	25-Feb	408.00	4.0
CR INTRINIC INVESTMENT	044	TEVA	S	25,000	50.27	n/a	22-Feb	875.00	3.5
PIONEER OAKRIDGE	031	TGT	S	2,100	52.42	n/a	24-Feb	42.00	2.0
f CHRISTOPHER ROBERT C	FID	TIN	S	300	24.04	n/a	8-Feb	0.00	0.0
PIONEER OAKRIDGE	031	UTX	S	1,270	83.33	n/a	n/a	25.40	2.0
NCM CAPITAL MGMT	035	VLO	B	81,450	28.24	n/a	n/a	3,258.00	4.0
ROTHSCHILD ASSET	040	VLO	S	6,989	27.65	n/a	n/a	279.56	4.0
f SCOTT L BRUNNER	FID	VXX	B	500	32.11	n/a	n/a	0.00	0.0
f SCOTT L BRUNNER	FID	VXX	B	500	32.27	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	V	S	885	75.21	n/a	17-Feb	17.70	2.0
f BARBARA S LEDDY	FID	WBC	B	150	57.86	n/a	11-Feb	0.00	0.0
f JONATHAN RICHARD HAR	FID	WBC	B	310	58.13	n/a	11-Feb	0.00	0.0
f KAREN F LEDDY	FID	WBC	B	250	57.92	n/a	11-Feb	0.00	0.0
NCM CAPITAL MGMT	035	WFT	B	28,500	23.90	n/a	n/a	1,140.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JONATHAN RICHARD HAR	FID	WNC	B	950	10.63	n/a	n/a	0.00	0.0
BNP PARIBAS SEC	040	XRT	SS	50,000	49.21	n/a	n/a	500.00	1.0
f DOUGLAS ROGERS	FID		B	32000	100.34	n/a	n/a	0.00	0.0
TOTAL (Trade Date):							52,335.03		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	02/24	NEW JERSEY DIV OF INV.	030	NLC	B	50,000	25.42	n/a	n/a	2000.00 4.0
AO,CRT	02/24	NEW JERSEY DIV OF INV.	030	NLC	B	50,000	25.42	n/a	n/a	2000.00 4.0
AO,CXL	02/23	PILOT ADV	048	PBY	B	20,000	13.68	n/a	n/a	800.00 4.0
AO,CRT	02/23	PILOT ADV	048	PBY	B	20,000	13.68	n/a	n/a	600.00 3.0
AO,	02/24	OZ MGMT	040	RIG	C	239,890	79.08	n/a	n/a	7196.70 3.0
AO,CRT	02/24	FIRST NEW YORK LEDDY	035	S	S	20,000	4.16	n/a	n/a	800.00 4.0
AO,CXL	02/24	FIRST NEW YORK LEDDY	035	S	S	20,000	4.16	n/a	n/a	1200.00 6.0
AO,CRT	02/24	SCOPUS FUND	041	SPLS	S	20,000	20.68	n/a	n/a	800.00 4.0
AO,CXL	02/24	SCOPUS FUND	041	SPLS	S	20,000	20.68	n/a	n/a	800.00 4.0
TOTAL (AO, CXL, CRT) :										6,596.70
TOTAL (Trade Date) :										52,335.03
TOTAL (AO, CXL, CRT) :										6,596.70
TOTAL (RUN DATE) / NFS :										58,931.73

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CXL	02/24	BUCK CAPITAL MGMT.	GM	SS	37,900	33.50	n/a	25-Feb	1137.00
CRT	02/24	BUCK CAPITAL MGMT	GM	SS	37,900	33.50	n/a	25-Feb	758.00 2.0
CXL	02/24	BUCK CAPITAL MGMT.	GM	SS	37,900	33.50	n/a	25-Feb	1137.00
CRT	02/24	BUCK CAPITAL MGMT	GM	SS	52,100	33.55	n/a	25-Feb	2084.00 4.0

MRI Securities with Trade Activity on 25-Feb.
NONE

MRI Securities without Trade Activity on 25-Feb.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 8%
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)