



# Daily Compliance Activity Report

Trade Date: 04/14/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ADAGE CAPITAL MGMT	030	AEO	S	150,800	15.62	n/a	10-Mar	4,524.00	3.0
MILLRACE FUND LP	028	AEO	B	38,700	15.68	n/a	10-Mar	1,548.00	4.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>AONE</b>	<b>B</b>	<b>1000</b>	<b>5.46</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>APO</b>	<b>B</b>	<b>1,900</b>	<b>18.07</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>APO</b>	<b>B</b>	<b>100</b>	<b>18.07</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>APO</b>	<b>B</b>	<b>100</b>	<b>18.07</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>APO</b>	<b>B</b>	<b>200</b>	<b>18.07</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>APO</b>	<b>B</b>	<b>200</b>	<b>18.07</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>APO</b>	<b>B</b>	<b>200</b>	<b>18.07</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>APO</b>	<b>B</b>	<b>300</b>	<b>18.07</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>ARCO</b>	<b>B</b>	<b>100,000</b>	<b>21.25</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>ARCO</b>	<b>B</b>	<b>100,000</b>	<b>21.41</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>ARCO</b>	<b>B</b>	<b>116,400</b>	<b>21.23</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>ARCO</b>	<b>B</b>	<b>225,000</b>	<b>17.00</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>ARCO</b>	<b>B</b>	<b>25,000</b>	<b>21.10</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>ARCO</b>	<b>B</b>	<b>50,000</b>	<b>21.35</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>ARCO</b>	<b>B</b>	<b>50,000</b>	<b>21.43</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>ASCA</b>	<b>B</b>	<b>5,000</b>	<b>18.21</b>	<b>n/a</b>	<b>13-Jan</b>	<b>non-brg</b>	<b>4.0</b>
<b>f JOHN BARTMAN COLE</b>	<b>FID</b>	<b>ATHOF</b>	<b>B</b>	<b>1150</b>	<b>16.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f REUBEN D DVORETSKY</b>	<b>FID</b>	<b>ATT</b>	<b>S</b>	<b>96</b>	<b>26.33</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MILLRACE FUND LP	028	AXL	B	10,000	11.35	n/a	13-Apr	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BALYASNY ASSET MGMT	044	AZO	C	15,000	279.50	n/a	n/a	750.00	5.0
RBC CAPITAL MARKETS	040	BA	B	10,000	72.11	n/a	6-Apr	400.00	4.0
CORVEX CAPITAL	041	BBY	S	100,000	29.57	n/a	n/a	3,000.00	3.0
<b>f JOHN BARTMAN COLE</b>	<b>FID</b>	<b>BLDR</b>	<b>S</b>	<b>1500</b>	<b>3.08</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BRANDWINE	028	BP	B	68,900	45.54	n/a	n/a	2,756.00	4.0
LONG OAR GLOBAL INV	040	BTU	B	24,700	65.79	n/a	n/a	988.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>BYD</b>	<b>B</b>	<b>25,000</b>	<b>8.87</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
MOORE CAPITAL	041	CAR	C	17,500	18.09	n/a	n/a	525.00	3.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>CCC</b>	<b>S</b>	<b>5000</b>	<b>16.17</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CCL</b>	<b>SS</b>	<b>50,000</b>	<b>37.44</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f REUBEN D DVORETSKY</b>	<b>FID</b>	<b>CEL</b>	<b>B</b>	<b>83</b>	<b>31.34</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BMO NESBITT BURNS	041	CFN	S	2,000	28.61	n/a	n/a	100.00	5.0
<b>f JOHN BARTMAN COLE</b>	<b>FID</b>	<b>CFN</b>	<b>S</b>	<b>500</b>	<b>28.99</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>CMI</b>	<b>S</b>	<b>1000</b>	<b>105.32</b>	<b>n/a</b>	<b>1-Mar</b>	<b>0.00</b>	<b>0.0</b>
SACC-SCHWARTZ	044	CMI	B	25,000	104.71	n/a	1-Mar	875.00	3.5
ROTHSCHILD ASSET	040	CRR	S	6,973	127.09	n/a	11-Jan	278.92	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ James Mitchell		CVGI	B	600	17.06	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	CWTR	S	1500	2.55	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		CXS	B	5,000	10.95	n/a	n/a	non-brg	4.0
T. ROWE PRICE	033	DE	B	47,700	94.11	n/a	18-Feb	1,908.00	4.0
f JOSEPH CIRO AMATURO	FID	DIA	S	5000	122.11	n/a	n/a	0.00	0.0
f STEFFANIE CARMELA CA	FID	DPTR	B	4000	0.88	n/a	n/a	0.00	0.0
MA CAPITAL MGMT/MELLON	ADV041	EAT	B	4,000	24.30	n/a	11-Apr	200.00	5.0
Õ James Mitchell		EEM	B	200	49.08	n/a	n/a	0.00	0.0
Õ James Mitchell		FAS	B	340	29.25	n/a	n/a	0.00	0.0
ROYCE TRADING	012	FINL	B	5,000	20.10	n/a	25-Mar	250.00	5.0
SAC ADV/LEE/PECK	044	F	B	200,000	14.80	n/a	13-Apr	7,000.00	3.5
CRAMER ROSENTHAL/SCOTT	012	GES	S	10,200	38.07	n/a	17-Mar	408.00	4.0
STRONG/MARK GRONET	030	GME	B	250,000	25.79	n/a	n/a	10,000.00	4.0
BASSWOOD PARTNERS	267	GPC	B	14,600	53.99	n/a	n/a	584.00	4.0
SANDLER O'NEILL ASSET	031	GS	B	5,000	156.55	n/a	13-Apr	255.00	5.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TALPION LLC	040	HD	B	5,000	37.81	n/a	22-Feb	200.00	4.0
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>HOTT</b>	<b>B</b>	<b>3000</b>	<b>6.35</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MOORE CAPITAL	041	HTZ	S	17,500	16.41	n/a	n/a	525.00	3.0
<b>f REUBEN D DVORETSKY</b>	<b>FID</b>	<b>IEF</b>	<b>S</b>	<b>56</b>	<b>92.97</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>IGT</b>	<b>B</b>	<b>20,000</b>	<b>15.51</b>	<b>n/a</b>	<b>12-Apr</b>	<b>non-brg</b>	<b>4.0</b>
LOMBARDIA CAP MGMT	084	INSU	B	17,367	25.95	n/a	n/a	694.68	4.0
MA CAPITAL MGMT/MELLON ADV	041	IP	S	5,000	29.34	n/a	14-Apr	250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>JBHT</b>	<b>S</b>	<b>20,000</b>	<b>46.06</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JBHT</b>	<b>S</b>	<b>60,000</b>	<b>47.27</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JBHT</b>	<b>S</b>	<b>84,415</b>	<b>47.57</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>JBHT</b>	<b>S</b>	<b>65</b>	<b>47.46</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SANDLER O'NEILL ASSET	031	JPM	S	200,000	45.02	n/a	13-Apr	10,000.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>KBH</b>	<b>B</b>	<b>10,000</b>	<b>11.26</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
NEWLAND CAPITAL MGT	025	KMT	B	7,500	38.67	n/a	28-Jan	300.00	4.0
LOMBARDIA CAP MGMT	084	KND	B	25,963	23.62	n/a	n/a	1,038.52	4.0
SAC CHICAGO ANDREW	031	KR	S	100,000	24.75	n/a	n/a	3,500.00	3.5
<b>f KEVIN MICHAEL O'GORM</b>	<b>FID</b>	<b>LAD</b>	<b>B</b>	<b>3000</b>	<b>14.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>LEA</b>	<b>S</b>	<b>10000</b>	<b>46.66</b>	<b>n/a</b>	<b>21-Mar</b>	<b>0.00</b>	<b>0.0</b>
ROTHSCHILD ASSET	040	LEA	B	4,200	46.95	n/a	21-Mar	168.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>LEN</b>	<b>B</b>	<b>20,000</b>	<b>18.19</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
RBC CAPITAL MARKETS	040	LLL	B	10,000	75.66	n/a	n/a	400.00	4.0
RBC CAPITAL MARKETS	040	LMT	B	10,000	78.08	n/a	14-Apr	400.00	4.0
STELLIAM INV ADV	034	LOGI	B	25,000	13.73	n/a	n/a	1,250.00	5.0
SCOPUS FUND	041	LOW	S	25,000	26.90	n/a	23-Feb	1,000.00	4.0
SUN AMERICA ASSET MGMT	030	LOW	B	25,500	26.95	n/a	23-Feb	1,020.00	4.0
MERRILL ASSET/BLACKROCK	266	MAC	S	22,500	48.09	n/a	n/a	900.00	4.0
SUN AMERICA ASSET MGMT	030	MCD	B	6,300	76.86	n/a	11-Apr	252.00	4.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>MRK</b>	<b>S</b>	<b>5000</b>	<b>33.33</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
STATE TEACHERS RET SYS	047	MSFT	S	75,000	25.31	n/a	n/a	3,750.00	5.0
BURL CAPITAL LLC	048	MWV	B	10,000	31.13	n/a	14-Apr	400.00	4.0
<b>f MARK ANTHONY GRONET</b>	<b>FID</b>	<b>MWV</b>	<b>B</b>	<b>1000</b>	<b>31.11</b>	<b>n/a</b>	<b>14-Apr</b>	<b>0.00</b>	<b>0.0</b>
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>NAV</b>	<b>S</b>	<b>6000</b>	<b>65.20</b>	<b>n/a</b>	<b>10-Mar</b>	<b>0.00</b>	<b>0.0</b>
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>NKE</b>	<b>S</b>	<b>75</b>	<b>79.26</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MILLRACE FUND LP	028	PAG	SS	17,900	19.33	n/a	13-Apr	716.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>PCAR</b>	<b>S</b>	<b>6000</b>	<b>49.73</b>	<b>n/a</b>	<b>2-Feb</b>	<b>0.00</b>	<b>0.0</b>
<b>f REUBEN D DVORETSKY</b>	<b>FID</b>	<b>PDLI</b>	<b>B</b>	<b>970</b>	<b>6.12</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BALYASNY ASSET MGMT	044	PENN	B	25,000	36.93	n/a	n/a	1,250.00	5.0
BURL CAPITAL LLC	048	PKG	SS	10,000	27.74	n/a	14-Apr	400.00	4.0
SHEFFIELD ASSET MGMT	031	PKG	S	67,961	27.86	n/a	14-Apr	3,398.05	5.0
ROYCE TRADING	012	PLCE	B	1,100	52.82	n/a	9-Mar	55.00	5.0
BRANDWINE	028	PLXS	B	13,550	32.98	n/a	n/a	542.00	4.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>PMF</b>	<b>S</b>	<b>5000</b>	<b>12.81</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BMO NESBITT BURNS	041	PRGO	B	2,000	87.50	14-Apr	14-Apr	100.00	5.0
CIRCLE T/SES PART	033	PVH	S	5,000	65.80	n/a	30-Mar	200.00	4.0
LOMBARDIA CAP MGMT	084	RHB	S	13,169	36.79	n/a	n/a	526.76	4.0
MILLENIUM SUB A/C NEW VERNON	085	RVBD	B	50,000	34.26	n/a	n/a	2,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>RYL</b>	<b>B</b>	<b>20,000</b>	<b>15.79</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>R</b>	<b>B</b>	<b>10,000</b>	<b>50.25</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
BALYASNY ASSET MGMT	044	SIG	S	25,000	43.85	n/a	n/a	1,250.00	5.0
LOMBARDIA CAP MGMT	084	SMOD	S	58,592	8.13	n/a	n/a	2,343.68	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		SODA	B	1,000	43.50	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		SODA	B	150,000	43.50	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		SPF	B	20,000	3.66	n/a	n/a	non-brg	2.0
Õ James Mitchell		SPY	B	75	131.67	n/a	n/a	0.00	0.0
PERRY PARTNERS	085	SVU	S	100,000	10.26	n/a	n/a	4,000.00	4.0
SONTERRA CAP	041	SVU	B	84,212	10.67	n/a	n/a	3,368.48	4.0
f KATHERINE L O'GORMAN	FID	TBT	B	1000	37.67	n/a	n/a	0.00	0.0
f KEVIN MICHAEL O'GORM	FID	TBT	B	1000	37.65	n/a	n/a	0.00	0.0
STATE TEACHERS RET SYS	047	TEL	B	25,000	34.53	n/a	n/a	1,250.00	5.0
f MANNY I KORMAN	FID	TEVA	S	1000	49.75	n/a	13-Apr	0.00	0.0
f JENNIFER CORWIN GLIC	FID	TFM	B	200	38.50	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	TSO	B	4,430	25.72	n/a	n/a	177.20	4.0
MERRILL ASSET/BLACKROCK	266	TTI	B	7,100	13.95	n/a	n/a	284.00	4.0
ß BUCK CAPITAL MGMT		UAL	B	20,000	20.82	n/a	n/a	non-brg	4.0
MERRILL ASSET/BLACKROCK	266	UBSI	S	21,981	25.40	n/a	n/a	879.24	4.0
Õ James Mitchell		WBC	B	160	60.86	n/a	11-Feb	0.00	0.0
ß BUCK CAPITAL MGMT		WERN	S	25,000	25.71	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RAINIER INV MGMT	035	WTR	S	43,440	21.89	n/a	n/a	1,737.60	4.0
f CHRISTOPHER ROBERT C	FID	WY	B	300	22.34	n/a	14-Apr	0.00	0.0
ß BUCK CAPITAL MGMT		XLFX	C	142,700	16.13	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		ZIP	B	2,500	18.00	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		ZIP	B	5,000	18.00	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		ZIP	S	7,500	30.01	n/a	n/a	non-brg	2.5
TOTAL (Trade Date):							87,276.13		



Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									87,276.13
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									87,276.13

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 14-Apr.

PRGO

MRI Securities without Trade Activity on 14-Apr.

COF

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)**