



# Daily Compliance Activity Report

Trade Date: 03/28/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CATAPULT	040	AA	S	15,000	17.31	n/a	n/a	600.00	4.0
SAC TRADIN/BINDER	044	ACE	B	25,000	63.37	n/a	n/a	875.00	3.5
DAVIDSON INV ADV	035	ADS	S	10,500	84.34	n/a	n/a	420.00	4.0
SHEFFIELD ASSET MGMT	031	AEO	S	80,000	15.45	n/a	10-Mar	3,200.00	4.0
CAXTON PART	040	AMD	C	25,296	8.80	n/a	n/a	885.37	3.5
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>APC</b>	<b>S</b>	<b>100</b>	<b>4.60</b>	<b>28-Mar</b>	<b>28-Mar</b>	<b>0.00</b>	<b>0.0</b>
OZ MGMT	040	APC	S	35,000	83.47	28-Mar	28-Mar	1,050.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>ARO</b>	<b>S</b>	<b>15,000</b>	<b>24.02</b>	<b>n/a</b>	<b>11-Mar</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ARO</b>	<b>S</b>	<b>200,000</b>	<b>24.05</b>	<b>n/a</b>	<b>11-Mar</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ARO</b>	<b>S</b>	<b>75,000</b>	<b>24.08</b>	<b>n/a</b>	<b>11-Mar</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ARO</b>	<b>S</b>	<b>80,000</b>	<b>23.97</b>	<b>n/a</b>	<b>11-Mar</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ASNA</b>	<b>S</b>	<b>20,000</b>	<b>31.74</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
MERRILL ASSET/BLACKROCK	266	BACWSA	S	1,592	7.63	n/a	n/a	63.68	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>BONT</b>	<b>S</b>	<b>17,376</b>	<b>15.62</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f MATTHEW FRANCIS BUCK</b>	<b>FID</b>	<b>BP</b>	<b>S</b>	<b>200</b>	<b>46.04</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
GABELLI FUNDS	025	CBOU	B	3,800	9.50	n/a	n/a	190.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	CCK	SS	10,000	38.69	n/a	n/a	400.00	4.0
DAVIDSON INV ADV	035	CCL	B	20,140	38.48	n/a	n/a	805.60	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>COH</b>	<b>S</b>	<b>69,400</b>	<b>51.79</b>	<b>n/a</b>	<b>26-Jan</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>COP</b>	<b>B</b>	<b>1000</b>	<b>79.78</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ</b> Nilsa Vazquez		<b>CREE</b>	<b>S</b>	<b>300</b>	<b>45.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CAVU CAP ADV	028	CROX	S	10,000	17.75	n/a	n/a	500.00	5.0
ROSEDALE CAPITAL	046	CS	S	10,000	42.92	n/a	n/a	500.00	5.0
MERRILL ASSET/BLACKROCK	266	CWSB	S	857	0.19	n/a	n/a	8.57	1.0
STANDARD PACIFIC CAPITAL	040	CX	S	100,000	8.89	n/a	n/a	4,000.00	4.0
MTB INV ADV	034	DAN	S	21,750	17.41	n/a	24-Feb	1,087.50	5.0
<b>B</b> BUCK CAPITAL MGMT		<b>DIA</b>	<b>C</b>	<b>7,184</b>	<b>122.39</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>f</b> MANNY I KORMAN	<b>FID</b>	<b>DLTR</b>	<b>S</b>	<b>80</b>	<b>4.10</b>	<b>n/a</b>	<b>23-Feb</b>	<b>0.00</b>	<b>0.0</b>
CRAMER ROSENTHAL/SCOTT	012	DOW	B	33,320	37.38	n/a	28-Mar	1,332.80	4.0
PIONEER PATH	028	DOW	S	26,961	37.10	n/a	28-Mar	808.83	3.0
NICOLAS APPLGATE	084	DO	S	26,600	78.03	n/a	n/a	532.00	2.0
<b>B</b> BUCK CAPITAL MGMT		<b>DSW</b>	<b>B</b>	<b>10,000</b>	<b>38.68</b>	<b>n/a</b>	<b>11-Feb</b>	<b>non-brg</b>	<b>2.5</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>DXPE</b>	<b>B</b>	<b>5000</b>	<b>21.93</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>EAT</b>	<b>C</b>	<b>30,000</b>	<b>24.51</b>	<b>n/a</b>	<b>26-Jan</b>	<b>non-brg</b>	<b>4.0</b>
<b>f MATTHEW FRANCIS BUCK</b>	<b>FID</b>	<b>EEM</b>	<b>B</b>	<b>200</b>	<b>47.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROYCE TRADING	012	FINL	B	55,000	19.00	n/a	25-Mar	2,750.00	5.0
OZ MGMT	040	F	C	58,541	15.03	n/a	2-Mar	1,756.23	3.0
CATAPULT	040	GE	B	60,000	19.79	n/a	n/a	2,400.00	4.0
GLOBAL 56 LLC	060	GMXR	B	4,000	5.70	n/a	n/a	120.00	3.0
OZ MGMT	040	GM	S	129,598	30.99	n/a	2-Mar	3,887.94	3.0
CAISSE DEPOT PLACEMENT Q	295	GSIC	S	100,000	29.48	n/a	n/a	5,000.00	5.0
CAXTON PART	040	HAL	B	10,000	47.19	n/a	n/a	350.01	3.5
ACK ASSET	028	HBI	B	52,000	26.26	n/a	28-Jan	1,560.00	3.0
<b>LISTED ERR</b>	<b>099</b>	<b>HBI</b>	<b>B</b>	<b>3,150</b>	<b>26.25</b>	<b>n/a</b>	<b>28-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>HBI</b>	<b>S</b>	<b>3,150</b>	<b>26.23</b>	<b>n/a</b>	<b>28-Jan</b>	<b>0.00</b>	<b>0.0</b>
SIGMA CAPITAL ASSOCIATES	041	HIBB	B	100,000	33.88	n/a	n/a	3,500.00	3.5
KLEINHEINZ CAP PART	031	HOTT	S	75,000	5.92	n/a	n/a	3,750.00	5.0
NICOLAS APPLGATE	084	HRS	S	35,200	48.50	n/a	21-Mar	704.00	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B</b> BUCK CAPITAL MGMT		<b>HTZ</b>	<b>S</b>	<b>50,000</b>	<b>16.17</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>IJH</b>	<b>C</b>	<b>7,000</b>	<b>97.26</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>JNY</b>	<b>B</b>	<b>100,000</b>	<b>13.03</b>	<b>n/a</b>	<b>3-Mar</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>JOSB</b>	<b>S</b>	<b>20,000</b>	<b>48.25</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SAC TRADING TOM LEDDY	035	JWN	S	50,000	44.20	n/a	3-Mar	1,750.00	3.5
HOLLIS CAPITAL	033	KMX	B	4,000	33.10	n/a	n/a	200.00	5.0
GALT INVESTMENT	041	KSS	B	25,000	53.11	n/a	3-Mar	1,250.00	5.0
LEVIN CAPITAL STRATEGIES	012	LEA	S	10,600	48.72	n/a	21-Mar	318.00	3.0
OZ MGMT	040	LEA	S	52,446	48.75	n/a	21-Mar	1,573.38	3.0
<b>B</b> BUCK CAPITAL MGMT		<b>LTD</b>	<b>B</b>	<b>20,000</b>	<b>32.31</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BMO NESBITT BURNS	041	MERC	B	9,200	13.35	n/a	n/a	276.00	3.0
CAISSE DEPOT PLACEMENT Q	295	MFA	S	150,000	8.20	n/a	n/a	6,000.00	4.0
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>MHS</b>	<b>B</b>	<b>1000</b>	<b>55.18</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TALPION LLC	040	MJN	S	5,000	58.52	n/a	n/a	200.00	4.0
CATAPULT	040	MMM	SS	5,000	92.42	n/a	28-Mar	200.00	4.0
KLEINHEINZ CAP PART	031	MMM	B	25,000	92.60	n/a	28-Mar	1,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MTB INV ADV	034	MOD	S	15,550	15.06	n/a	n/a	777.50	5.0
TROUBH PART	070	M	S	25,000	23.38	n/a	3-Mar	1,250.00	5.0
SMITH MGMT LLC	029	NDN	B	50,000	19.66	n/a	11-Mar	2,500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>PERY</b>	<b>B</b>	<b>10,000</b>	<b>25.77</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
ROYCE TRADING	012	PLCE	B	1,000	49.51	n/a	9-Mar	50.00	5.0
TALPION LLC	040	SIG	B	4,000	44.00	n/a	n/a	160.00	4.0
CATAPULT	040	SON	SS	10,000	35.34	n/a	n/a	400.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>SPY</b>	<b>C</b>	<b>600</b>	<b>131.84</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
CYRUS CAPITAL	025	SPY	B	100,000	131.53	n/a	n/a	4,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>SWFT</b>	<b>B</b>	<b>5,000</b>	<b>14.40</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f BRIAN W CRAGO</b>	<b>FID</b>	<b>S</b>	<b>B</b>	<b>300</b>	<b>4.71</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FIRST NEW YORK LEDDY	035	S	S	20,000	4.74	n/a	n/a	800.00	4.0
FIRST NEW YORK NICK	029	S	S	10,000	4.78	n/a	n/a	500.00	5.0
MTB INV ADV	034	TEN	S	8,350	42.34	n/a	n/a	417.50	5.0
<b>f MITCHELL JAMES SPEIS</b>	<b>FID</b>	<b>TRNX</b>	<b>B</b>	<b>100</b>	<b>18.66</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SIGMA CAPITAL ASSOCIATES	041	WMT	SS	50,000	52.25	n/a	23-Mar	1,750.00	3.5
TRUST CO/COWEN/CALF.	040	WPI	S	150,000	55.88	n/a	28-Mar	7,500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SAC TRADIN/BINDER	044	WRB	B	50,000	31.03	n/a	n/a	1,750.00	3.5
PATTEN & PATTEN	025	WY	S	6,271	24.30	n/a	4-Feb	313.55	5.0
ARCHON CAPITAL	035	YGE	SS	95,000	12.54	n/a	n/a	2,850.00	3.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>		<b>B</b>	<b>100000</b>	<b>95.47</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>TOTAL (Trade Date):</b>								<b>81,073.46</b>	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									81,073.46
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									81,073.46
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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 28-Mar.

APC

MRI Securities without Trade Activity on 28-Mar.

NONE

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)**