



Daily Compliance Activity Report

Trade Date: 06/29/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		1913 HK	B	300,000	5.85	n/a	n/a	non-brg	1.2
BRONSON POINT	036	AGCO	SS	10,000	48.71	n/a	27-Apr	300.00	3.0
CASTLEROCK	040	ALV	B	58,255	77.70	n/a	27-Jun	2,330.20	4.0
RBC CAPITAL MARKETS	040	ALV	B	35,000	78.66	n/a	27-Jun	1,400.00	4.0
BUCK CAPITAL MGMT		ANN	S	2,000	27.04	n/a	n/a	non-brg	4.0
MARC PAUL LUCHANSKY	FID	APKT	B	50	69.94	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		ARCO	S	150,000	21.12	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		ARCO	S	9,282	21.14	n/a	n/a	non-brg	4.0
CHRISTOPHER ROBERT C	FID	ATI	B	100	65.29	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		AWAY	S	2,500	38.79	n/a	n/a	non-brg	2.5
CHRISTOPHER ROBERT C	FID	AXL	S	500	11.05	n/a	25-May	0.00	0.0
MILLENNIUM-ICS BOBBY	044	AXL	SS	10,000	11.58	n/a	25-May	400.00	4.0
TRELLUS PARTNERS LP	028	AXL	SS	20,000	11.47	n/a	25-May	1,000.00	5.0
MANNY I KORMAN	FID	AXP	B	220	4.38	n/a	29-Jun	0.00	0.0
JOHN BARTMAN COLE	FID	BAC	B	600	11.19	n/a	16-Jun	0.00	0.0
BUCK CAPITAL MGMT		BID	S	1,000	42.78	n/a	n/a	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f MARC PAUL LUCHANSKY	FID	BJRI	B	50	52.15	n/a	n/a	0.00	0.0
f NICOLAS EVAN PAKLER	FID	BJRI	B	160	52.30	n/a	n/a	0.00	0.0
GALT INVESTMENT	041	BJ	S	50,000	50.35	n/a	n/a	2,500.00	5.0
PLATTE RIVER CAPITAL	240	BP	S	51,677	42.95	n/a	n/a	2,067.08	4.0
TUDOR INVESTORS	028	BWA	SS	3,000	79.50	n/a	29-Apr	90.00	3.0
MACQUARIE INVESTMENT MGMT.	040	CAM	S	5,000	48.81	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	CAT	B	5,000	103.12	n/a	2-May	250.00	5.0
TUDOR INVESTORS	028	CBE	B	3,000	57.93	n/a	26-Apr	90.00	3.0
B BUCK CAPITAL MGMT		CBK	C	40,000	5.72	n/a	n/a	non-brg	2.5
AMBER CAPITAL	046	CHTR	S	11,897	54.19	n/a	n/a	475.88	4.0
AMBER CAPITAL	046	CIT	S	10,300	43.89	n/a	17-May	412.00	4.0
BAIRD INVESTMENT	047	CLB	B	1,994	110.78	n/a	26-Apr	99.70	5.0
B BUCK CAPITAL MGMT		CMN	S	200	27.02	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CMN	S	200	27.02	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CMN	S	500	27.02	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CMN	S	6,473	27.02	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CMN	S	700	27.02	n/a	n/a	non-brg	4.0
ASCEND PARTNERS	033	CPB	SS	26,461	34.90	n/a	n/a	793.83	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f DAVID GEORGE BUCK	FID	CRMB	B	2000	13.15	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		CROX	S	1,500	25.75	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CSTR	S	1,000	53.32	n/a	n/a	non-brg	4.0
f JONATHAN RICHARD HAR	FID	CVGI	B	125	13.61	n/a	n/a	0.00	0.0
f KEVIN MICHAEL O'GORM	FID	CVGI	B	1000	13.62	n/a	n/a	0.00	0.0
ROSEDALE CAPITAL	046	C	S	10,000	41.28	n/a	23-Jun	500.00	5.0
AMBER CAPITAL	046	DCOM	B	31,261	14.40	n/a	n/a	1,250.44	4.0
B BUCK CAPITAL MGMT		DDS	S	1,500	51.29	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		DECK	S	2,500	87.82	n/a	n/a	non-brg	2.5
HARRIER HAWK MGMT	028	DELL	B	13,500	15.99	n/a	n/a	540.00	4.0
TUDOR INVESTORS	028	DE	SS	2,000	82.61	n/a	19-May	60.00	3.0
BAIRD INVESTMENT	047	EOG	S	5,239	103.52	n/a	n/a	261.95	5.0
PATTEN & PATTEN	025	EWC	B	250	31.30	n/a	n/a	12.50	5.0
B BUCK CAPITAL MGMT		EXPR	B	30,000	21.93	n/a	n/a	non-brg	2.5
SAC TRADING TOM LEDDY	035	EXPR	S	300	22.00	n/a	n/a	10.50	3.5
ASCEND PARTNERS	033	FDO	SS	19,990	53.44	n/a	23-Jun	599.70	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⚡ BUCK CAPITAL MGMT		FINL	S	4,000	21.51	n/a	24-Jun	non-brg	4.0
ROYCE TRADING	012	FINL	B	2,820	21.56	n/a	24-Jun	141.00	5.0
⚡ BUCK CAPITAL MGMT		FL	S	4,000	23.99	n/a	2-Jun	non-brg	4.0
f NICOLAS EVAN PAKLER	FID	FOR	S	360	16.37	n/a	5-May	0.00	0.0
⚡ BUCK CAPITAL MGMT		FOSL	S	1,000	116.58	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	025	FRC	B	200	31.54	n/a	n/a	10.00	5.0
AVESTA CAP	229	F	S	500,000	13.44	n/a	2-Jun	15,000.00	3.0
NEWLAND CAPITAL MGT	025	F	B	100,000	13.50	n/a	2-Jun	4,000.00	4.0
TUDOR INVESTORS	028	F	B	15,000	13.45	n/a	2-Jun	450.00	3.0
⚡ BUCK CAPITAL MGMT		GCO	S	2,000	52.46	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		GES	S	1,000	41.88	n/a	26-May	non-brg	2.5
⚡ BUCK CAPITAL MGMT		GIII	B	20,000	33.15	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		GIL	S	2,000	34.09	n/a	12-May	non-brg	4.0
PATTEN & PATTEN	025	GLW	S	500	17.60	n/a	20-May	25.00	5.0
⚡ BUCK CAPITAL MGMT		GMCR	S	1,000	88.36	n/a	n/a	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	GMCR	B	75	87.83	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	GM	S	200	30.49	n/a	2-Jun	10.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		HBI	S	3,000	28.61	n/a	21-Apr	non-brg	4.0
PATTEN & PATTEN	025	HDV	B	300	51.90	n/a	n/a	15.00	5.0
HUNTER GLOBAL INVESTOR	028	HON	B	85,600	58.53	n/a	3-Jun	4,280.00	5.0
SENATOR INVESTMENT GROUP	036	HUN	B	135,000	18.56	n/a	n/a	4,050.00	3.0
PATTEN & PATTEN	025	IFN	S	200	29.92	n/a	n/a	10.00	5.0
CATAPULT	040	IP	SS	25,000	29.06	n/a	21-Jun	1,000.00	4.0
B BUCK CAPITAL MGMT		IVZ	S	238,601	23.29	n/a	2-Mar	non-brg	4.0
f MANNY I KORMAN	FID	JCI	B	9000	40.72	n/a	28-Jun	0.00	0.0
B BUCK CAPITAL MGMT		KBH	B	10,000	10.99	n/a	n/a	non-brg	1.0
f CHRISTOPHER ROBERT C	FID	KMT	B	200	40.99	n/a	29-Apr	0.00	0.0
f CHRISTOPHER ROBERT C	FID	KSS	S	100	51.37	n/a	3-Jun	0.00	0.0
MILLRACE FUND LP	028	LEA	B	5,000	52.97	n/a	2-May	200.00	4.0
TRELLUS PARTNERS LP	028	LEA	S	10,000	54.20	n/a	2-May	500.00	5.0
f DAVID GEORGE BUCK	FID	LGND	S	546	11.88	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		LIZ	S	2,000	5.30	n/a	7-Oct	non-brg	3.0
KLEINHEINZ CAP PART	031	LOW	SS	50,000	23.37	n/a	13-Jun	2,500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CHESAPEAKE PARTNERS	028	LYV	S	25,000	11.25	n/a	n/a	750.00	3.0
B BUCK CAPITAL MGMT		MGM	S	9,000	12.98	n/a	13-Jun	non-brg	2.5
KACELA CAPITAL	034	MGM	S	73,000	12.92	n/a	13-Jun	2,920.00	4.0
ROYCE TRADING	012	MLI	B	3,790	37.55	n/a	27-Apr	189.50	5.0
B BUCK CAPITAL MGMT		MNRO	S	1,000	36.61	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		MNRO	S	20,000	36.59	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		MPEL	B	150,000	12.51	n/a	13-Jun	non-brg	2.5
B BUCK CAPITAL MGMT		MPEL	B	200,000	12.68	n/a	13-Jun	non-brg	4.0
BAIRD INVESTMENT	047	NBL	B	2,025	90.39	n/a	n/a	101.25	5.0
DELTEC ASSET MGMT.	040	NBR	B	35,000	23.83	n/a	n/a	1,750.00	5.0
CHESAPEAKE PARTNERS	028	NDAQ	S	40,000	24.84	n/a	n/a	1,200.00	3.0
TUDOR INVESTORS	028	NUE	B	8,000	40.47	n/a	n/a	240.00	3.0
f MARC PAUL LUCHANSKY	FID	NXTM	B	100	20.30	n/a	n/a	0.00	0.0
f JOHN BARTMAN COLE	FID	ONP	S	2000	3.46	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	PCH	B	300	35.49	n/a	3-Jun	15.00	5.0
BARROW HANLEY MEWHINNEY	031	PFE	B	166,500	20.52	n/a	n/a	5,827.50	3.5
B BUCK CAPITAL MGMT		PHM	B	50,000	7.71	n/a	n/a	non-brg	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	PIO	S	500	19.93	n/a	n/a	25.00	5.0
MA CAPITAL MGMT/MELLON ADV041	PKG		B	5,500	27.66	n/a	21-Jun	275.00	5.0
B BUCK CAPITAL MGMT		PVH	S	1,000	65.15	n/a	2-Jun	non-brg	4.0
MERRILL ASSET/BLACKROCK	297	RBN	S	1,100	52.13	n/a	n/a	44.00	4.0
f CHRISTOPHER ROBERT C	FID	RRR	S	500	11.35	n/a	26-Apr	0.00	0.0
PATTEN & PATTEN	025	RSG	B	300	30.86	n/a	n/a	15.00	5.0
f DAVID GEORGE BUCK	FID	SBUX	B	1000	39.41	n/a	28-Apr	0.00	0.0
B BUCK CAPITAL MGMT		SIX	B	50,000	37.68	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		SODA	S	1,000	59.83	n/a	n/a	non-brg	4.0
BERMAN CAPITAL MGMT	046	SPY	B	40,000	130.14	n/a	n/a	2,000.00	5.0
BERMAN CAPITAL MGMT	046	SPY	S	40,000	130.76	n/a	n/a	1,200.00	3.0
JANA CAPITAL	044	SPY	C	100,000	130.54	n/a	n/a	4,000.00	4.0
PATTEN & PATTEN	025	SPY	S	25	130.68	n/a	n/a	1.25	5.0
ROTHSCHILD ASSET	040	SSS	B	2,800	40.63	n/a	n/a	112.00	4.0
PATTEN & PATTEN	025	SUB	B	125	106.11	n/a	n/a	6.25	5.0
SONTERRA CAP	041	SUG	S	100,000	40.31	n/a	n/a	4,000.00	4.0
f DAVID GEORGE BUCK	FID	SYK	B	1000	58.23	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BURL CAPITAL LLC	029	SYT	B	40,000	31.04	n/a	n/a	1,600.00	4.0
AMBER CAPITAL	046	S	B	65,620	5.29	n/a	n/a	1,968.60	3.0
LATEFF MGMT	035	TCB	B	1,500	14.22	n/a	n/a	150.00	10.0
BAIRD INVESTMENT	047	TDW	B	5,175	53.69	n/a	n/a	258.75	5.0
f JONATHAN RICHARD HAR	FID	TEX	B	40	27.38	n/a	25-Apr	0.00	0.0
JP MORGAN VENTURES	046	TIF	B	13,000	78.31	n/a	n/a	520.00	4.0
RBC CAPITAL MARKETS	040	TIN	B	50,000	29.88	n/a	21-Jun	2,000.00	4.0
SANDLER CAPITAL	028	TKR	B	90,000	48.87	n/a	n/a	4,500.00	5.0
MACQUARIE INVESTMENT MGMT.	040	TS	B	5,500	45.66	n/a	n/a	0.00	0.0
AMBER CAPITAL	046	TWC	B	3,378	77.62	n/a	n/a	135.12	4.0
f JOSEPH CIRO AMATURO	FID	TZA	B	2000	36.33	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	TZA	B	7500	36.19	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	UAL	B	5,000	22.95	n/a	n/a	150.00	3.0
SCHOTTENFELD ASSOC	041	UFS	B	300	93.11	n/a	n/a	9.00	3.0
f NICOLAS EVAN PAKLER	FID	ULTA	B	140	63.40	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	297	URBN	S	13,500	28.42	n/a	n/a	540.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SENATOR INVESTMENT GROUP	036	VAL	B	22,000	36.01	n/a	n/a	660.00	3.0
AMBER CAPITAL	046	VZ	B	3,108	36.72	n/a	n/a	124.32	4.0
STRONG/WELLS CAP ANN F	047	V	B	34,751	86.23	n/a	8-Jun	1,390.04	4.0
PEAK INV LLC	084	WFCWS	S	10,000	9.36	n/a	n/a	400.00	4.0
PATTEN & PATTEN	025	WFC	S	250	27.94	n/a	16-Jun	12.50	5.0
f JASON ERIC COHEN	FID	WLK	B	80	52.53	n/a	n/a	0.00	0.0
f KATHERINE L O'GORMAN	FID	WRC	B	400	51.75	n/a	6-May	0.00	0.0
B BUCK CAPITAL MGMT		XLFX	C	365,400	15.25	n/a	n/a	non-brg	2.0
PATTEN & PATTEN	025	XLK	S	400	25.26	n/a	n/a	20.00	5.0
B BUCK CAPITAL MGMT		XRT	C	94,000	53.42	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		XRT	SS	24,400	53.72	n/a	n/a	non-brg	2.0
TUDOR INVESTORS	028	X	S	5,000	46.10	n/a	n/a	150.00	3.0
PERRY PARTNERS	085	YHOO	B	50,000	14.84	n/a	n/a	2,500.00	5.0
TOTAL (Trade Date) :								89,394.86	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	06/28	OZ MGMT	040	ALV	B	28,000	76.75	n/a	27-Jun	840.00 3.0
AO,CXL	06/28	OZ MGMT	040	ALV	B	28,000	76.98	n/a	27-Jun	840.00 3.0
AO,CRT	06/28	OZ MGMT	040	ALV	C	56,045	76.86	n/a	27-Jun	1681.35 3.0
AO,CXL	06/28	OZ MGMT	040	ALV	C	56,045	76.75	n/a	27-Jun	1681.35 3.0
AO,	06/28	MILLRACE FUND LP	028	LEA	B	941	51.30	n/a	2-May	37.64 4.0
AO,CRT	06/28	MILLRACE FUND LP	028	LEA	B	11,859	51.30	n/a	2-May	474.36 4.0
AO,CXL	06/28	MILLRACE FUND LP	028	LEA	B	12,800	51.30	n/a	2-May	512.00 4.0
AO,	06/28	HUNTER GLOBAL INVESTOR	028	M	B	100,000	28.67	n/a	3-Jun	5000.00 5.0
TOTAL (AO, CXL, CRT) :										5,000.00

TOTAL (Trade Date) :	89,394.86
TOTAL (AO, CXL, CRT) :	5,000.00

TOTAL (RUN DATE) / NFS :	94,394.86
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO	06/28	BUCK CAPITAL MGMT	AWAY	B	2,500	27.00	n/a	n/a	0.00	0.0
CXL	06/23	BUCK CAPITAL MGMT.	MSMSBCM	C	6,545,170	98.70	n/a	n/a	0.00	
CRT	06/23	BUCK CAPITAL MGMT	MSMSBCM	C	6,545,170	98.70	n/a	n/a	19380.56	0.3

MRI Securities with Trade Activity on 29-Jun.
NONE

MRI Securities without Trade Activity on 29-Jun.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 0%
YTD = 3%

<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)