



# Daily Compliance Activity Report

Trade Date: 08/12/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PECONIC PARTNERS	036	AAPL	B	20,000	376.50	n/a	n/a	1,000.00	5.0
LEVIN CAPITAL STRATEGIES	012	AEO	C	27,500	11.93	n/a	n/a	825.00	3.0
PZENA INV ADV	044	AGII	S	50	27.77	n/a	n/a	1.75	3.5
PECONIC PARTNERS	036	AMZN	B	15,000	199.07	n/a	n/a	750.00	5.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>AN</b>	<b>S</b>	<b>200</b>	<b>34.82</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DC CAPITAL	044	AXE	B	2,295	50.73	n/a	n/a	91.80	4.0
SCOPUS FUND	041	AXL	B	50,000	9.50	n/a	n/a	2,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>AXP</b>	<b>S</b>	<b>168,340</b>	<b>45.07</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BAC</b>	<b>S</b>	<b>342,324</b>	<b>7.27</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
AVESTA CAP	229	BA	B	50,000	61.45	n/a	n/a	1,500.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>BODY</b>	<b>B</b>	<b>20,000</b>	<b>18.86</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f BARBARA S LEDDY</b>	<b>FID</b>	<b>BP</b>	<b>S</b>	<b>150</b>	<b>40.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BX</b>	<b>S</b>	<b>1,000</b>	<b>13.09</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BX</b>	<b>S</b>	<b>1,900</b>	<b>13.09</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BX</b>	<b>S</b>	<b>2,700</b>	<b>13.09</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		BX	S	24,000	13.09	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		BX	S	700	13.09	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		BX	S	800	13.09	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		BX	S	900	13.09	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		CCL	S	139,800	31.17	n/a	n/a	non-brg	4.0
GEORGE WEISS	034	COH	B	28,500	53.91	n/a	n/a	1,140.00	4.0
MACQUARIE INVESTMENT MGMT.	040	COL	B	25,000	45.66	n/a	n/a	0.00	0.0
WILLIAM J GAULT	FID	CRMBW	B	10000	0.85	n/a	n/a	0.00	0.0
BRASADA	031	CSCO	B	10,000	16.01	n/a	n/a	300.00	3.0
FORWARD MGMT	033	CVGI	S	60,225	7.40	n/a	n/a	2,409.00	4.0
MARC PAUL LUCHANSKY	FID	CVGI	B	2500	7.16	n/a	n/a	0.00	0.0
RAVI SADARANGANI	FID	CVGI	B	400	7.59	n/a	n/a	0.00	0.0
ROHINI T SADARANGANI	FID	CVGI	B	500	7.60	n/a	n/a	0.00	0.0
ACK ASSET	028	DAN	B	100,000	13.99	n/a	n/a	3,000.00	3.0
GLENHILL CAPITAL	036	DAN	S	45,000	14.05	n/a	n/a	2,250.00	5.0
BUCK CAPITAL MGMT		DHI	S	188,000	9.49	n/a	n/a	non-brg	3.0
BASSWOOD PARTNERS	267	EFX	B	23,500	30.67	n/a	n/a	940.00	4.0
MARC PAUL LUCHANSKY	FID	EL	B	200	100.35	n/a	n/a	0.00	0.0
JOSEPH CIRO AMATURO	FID	FAZ	S	1000	56.69	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	JOSEPH CIRO AMATURO	FID	FAZ	S	1000	57.29	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		FL	S	105,000	18.96	n/a	n/a	non-brg	4.0
f	CHRISTOPHER ROBERT C	FID	FOR	B	500	12.28	n/a	n/a	0.00	0.0
f	MARC PAUL LUCHANSKY	FID	FOSL	B	200	92.09	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		GLW	S	120,000	14.36	n/a	n/a	non-brg	4.0
	PECONIC PARTNERS	036	GOOG	B	10,000	563.18	n/a	n/a	500.00	5.0
f	DAVID GEORGE BUCK	FID	GS	B	700	116.35	n/a	n/a	0.00	0.0
	PZENA INV ADV	044	HHS	S	425	7.63	n/a	n/a	14.88	3.5
f	ANDREW MARK GRONET	FID	IGD	B	200	9.64	n/a	n/a	0.00	0.0
	SONTERRA CAP	041	IGT	SS	150,000	15.54	n/a	n/a	6,000.00	4.0
B	BUCK CAPITAL MGMT		ITW	S	67,262	45.10	n/a	n/a	non-brg	4.0
	RIDGECREST INV MGMT LLC	028	KMT	B	15,000	35.11	n/a	n/a	750.00	5.0
f	DAVID GEORGE BUCK	FID	KO	S	3000	67.33	n/a	n/a	0.00	0.0
f	JOHN MICHAEL ZOLIDIS	FID	KSWS	S	1000	6.49	n/a	n/a	0.00	0.0
f	CHRISTOPHER ROBERT C	FID	LEA	B	100	46.37	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		LEN	S	150,000	14.05	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TUDOR INVESTORS	028	LULU	SS	12,500	57.98	n/a	n/a	375.00	3.0
<b>f</b> CHRISTOPHER ROBERT C	<b>FID</b>	<b>LVS</b>	<b>B</b>	<b>100</b>	<b>43.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>MCD</b>	<b>B</b>	<b>700</b>	<b>86.45</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>MDC</b>	<b>S</b>	<b>66,000</b>	<b>17.53</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> JASON ERIC COHEN	<b>FID</b>	<b>MINI</b>	<b>B</b>	<b>215</b>	<b>18.68</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>MPEL</b>	<b>S</b>	<b>70,000</b>	<b>13.47</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> MARK ANTHONY GRONET	<b>FID</b>	<b>MS</b>	<b>S</b>	<b>1000</b>	<b>17.52</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MELLON/BANK OF NEW YORK	046	MS	S	1,532,286	18.06	n/a	n/a	61,291.44	4.0
DARUMA ASSET MGMT INC	046	MTG	S	100,000	2.22	n/a	n/a	4,000.00	4.0
FIRST NY SEC/CHRIS	041	M	B	20,000	25.91	n/a	n/a	1,000.00	5.0
<b>B</b> BUCK CAPITAL MGMT		<b>NBD CN</b>	<b>S</b>	<b>77,760</b>	<b>10.04</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>f</b> NICOLAS EVAN PAKLER	<b>FID</b>	<b>NDN</b>	<b>B</b>	<b>675</b>	<b>17.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> BARBARA S LEDDY	<b>FID</b>	<b>NYB</b>	<b>B</b>	<b>500</b>	<b>12.99</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COLUMBIA PARTNERS	028	PAG	C	47,482	17.83	n/a	n/a	1,899.28	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>PERY</b>	<b>B</b>	<b>40,000</b>	<b>18.07</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
PLATTE RIVER CAPITAL	240	PFE	B	52,700	17.93	n/a	n/a	2,108.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BNP PARIBAS SEC	040	PLCE	B	30,000	41.27	n/a	n/a	1,500.00	5.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>PM</b>	<b>B</b>	<b>500</b>	<b>66.27</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PZENA INV ADV	044	PNM	S	400	13.97	n/a	n/a	14.00	3.5
PZENA INV ADV	044	POR	S	250	22.94	n/a	n/a	8.75	3.5
<b>f CHRISTOPHER ARTHUR K</b>	<b>FID</b>	<b>PRSCX</b>	<b>B</b>	<b>1018</b>	<b>25.54</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SCOPUS FUND	041	PVH	B	90,700	64.45	n/a	n/a	3,628.00	4.0
<b>f PATRICK O'GRADY</b>	<b>FID</b>	<b>RAD</b>	<b>B</b>	<b>2000</b>	<b>1.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COOPER CREEK PART	028	RKT	S	20,000	52.21	n/a	n/a	800.00	4.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>RRR</b>	<b>S</b>	<b>1000</b>	<b>8.27</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>RUSHA</b>	<b>S</b>	<b>500</b>	<b>15.89</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COHE & STEERS	041	RYN	S	147,427	58.79	n/a	n/a	5,897.08	4.0
BASSWOOD PARTNERS	267	SBNY	SS	14,300	53.67	n/a	n/a	572.00	4.0
THOMAS WEISEL ASSET MGMT	035	SONS	B	7,504	2.41	n/a	n/a	225.12	3.0
THOMAS WEISEL ASSET MGMT	035	SPPI	B	1,605	8.89	n/a	n/a	48.15	3.0
THOMAS WEISEL ASSET MGMT	035	STNR	B	533	42.84	n/a	n/a	15.99	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THOMAS WEISEL ASSET MGMT	035	TEN	B	380	34.10	n/a	n/a	11.40	3.0
⚡ BUCK CAPITAL MGMT		TIN	S	85,400	27.70	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		TOL	S	100,000	16.07	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		TOL	S	25,000	16.13	n/a	n/a	non-brg	4.0
THOMAS WEISEL ASSET MGMT	035	TQNT	B	1,400	7.40	n/a	n/a	42.00	3.0
⚡ PATRICK O'GRADY	FID	TRMAQ	B	155000	0.01	n/a	n/a	0.00	0.0
THOMAS WEISEL ASSET MGMT	035	TRN	B	428	24.80	n/a	n/a	12.84	3.0
THOMAS WEISEL ASSET MGMT	035	TSRX	B	2,059	6.78	n/a	n/a	61.77	3.0
⚡ GAJANTHAN BALAKANES	FID	TWQ	B	30	16.82	n/a	n/a	0.00	0.0
⚡ JONATHAN RICHARD HAR	FID	TZA	S	800	48.50	n/a	n/a	0.00	0.0
⚡ JOSEPH CIRO AMATURO	FID	TZA	S	1500	48.23	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		UAL	S	100,000	17.59	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		UAL	S	327,245	17.63	n/a	n/a	non-brg	4.0
THOMAS WEISEL ASSET MGMT	035	UPI	B	1,430	5.42	n/a	n/a	42.90	3.0
CAERUS GLOBAL	041	URBN	SS	19,281	29.90	n/a	n/a	771.24	4.0
THOMAS WEISEL ASSET MGMT	035	UTHR	B	496	50.78	n/a	n/a	14.88	3.0
THOMAS WEISEL ASSET MGMT	035	VIT	B	689	17.69	n/a	n/a	20.67	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THOMAS WEISEL ASSET MGMT	035	VLTR	B	1,205	23.59	n/a	n/a	36.15	3.0
THOMAS WEISEL ASSET MGMT	035	VOLC	B	595	28.75	n/a	n/a	17.85	3.0
THOMAS WEISEL ASSET MGMT	035	VRUS	B	241	123.90	n/a	n/a	7.23	3.0
THOMAS WEISEL ASSET MGMT	035	VVTV	B	3,770	5.43	n/a	n/a	113.10	3.0
THOMAS WEISEL ASSET MGMT	035	WCG	B	545	42.59	n/a	n/a	16.35	3.0
THOMAS WEISEL ASSET MGMT	035	WRC	B	296	51.74	n/a	n/a	8.88	3.0
RAINIER INV MGMT	035	WWD	B	31,700	29.60	n/a	n/a	1,268.00	4.0
<b>f BARBARA S LEDDY</b>	<b>FID</b>	<b>XPO</b>	<b>B</b>	<b>3300</b>	<b>3.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JOEL GIFFORD TISS</b>	<b>FID</b>	<b>XPO</b>	<b>B</b>	<b>20000</b>	<b>3.12</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>XPO</b>	<b>B</b>	<b>500</b>	<b>3.17</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DSG CAPITAL	012	YUM	B	5,000	51.36	n/a	n/a	150.00	3.0
PLATTE RIVER CAPITAL	240	YUM	S	29,060	51.25	n/a	n/a	1,162.40	4.0
THOMAS WEISEL ASSET MGMT	035	ZINC	B	829	9.39	n/a	n/a	24.87	3.0
<b>TOTAL (Trade Date) :</b>							<b>110,637.77</b>		

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	08/11	PERRY PARTNERS	085	SXC	S	50,000	12.16	n/a	n/a	2000.00 4.0
AO,CXL	08/11	PERRY PARTNERS	085	SXC	S	50,000	12.16	n/a	n/a	2500.00 5.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-500.00</b>
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TOTAL (Trade Date) :	110,637.77
TOTAL (AO, CXL, CRT) :	-500.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>110,137.77</b>
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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 12-Aug.  
NONE

MRI Securities without Trade Activity on 12-Aug.  
NONE

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 0%  
YTD = 2%

**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)**