



Daily Compliance Activity Report

Trade Date: 08/26/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SAVITR CAPITAL	084	AES	B	20,000	10.24	n/a	n/a	600.00	3.0
WINSLOW CAPITAL	030	AMT	S	12,900	51.44	n/a	n/a	387.00	3.0
f DAVID GEORGE BUCK	FID	AMZN	B	700	198.51	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	AMZN	B	100	199.13	n/a	n/a	0.00	0.0
HIGHBRIDGE CAP	041	ANF	B	4,500	57.88	n/a	18-Aug	135.00	3.0
ASCEND PARTNERS	033	BIG	B	100,000	32.61	n/a	25-Aug	3,000.00	3.0
B BUCK CAPITAL MGMT		BK	S	95,000	19.46	n/a	24-Aug	non-brg	4.0
SONTERRA CAP	041	BTU	B	50,000	45.19	n/a	n/a	2,000.00	4.0
f IAN L MILLER	FID	CABDX	S	177	3.20	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		CHEF	S	6,800	14.75	n/a	n/a	non-brg	4.0
f WILLIAM J GAULT	FID	CHGS	S	11258	1.24	n/a	n/a	0.00	0.0
MERCHANTS GATE CAP LP	036	COST	SS	25,000	77.06	n/a	n/a	1,000.00	4.0
f DAVID GEORGE BUCK	FID	C	B	6000	29.95	n/a	24-Aug	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	DD	B	100	46.13	n/a	25-Aug	0.00	0.0
B BUCK CAPITAL MGMT		DECK	B	30,000	82.29	n/a	n/a	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	JONATHAN RICHARD HAR	FID	DECK	B	30	80.45	n/a	n/a	0.00	0.0
	WINSLOW CAPITAL	030	DE	S	7,800	75.21	n/a	18-Aug	234.00	3.0
	WINSLOW CAPITAL	030	DHR	S	20,300	42.98	n/a	n/a	609.00	3.0
	HARVEST MGMT	086	ENR	B	10,000	74.62	n/a	28-Jul	400.00	4.0
ß	BUCK CAPITAL MGMT		FNSR	SS	100,000	16.25	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		FNSR	SS	100,000	16.86	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		FOSL	S	14,700	92.17	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		FOSL	S	200	91.95	n/a	n/a	non-brg	0.8
ß	BUCK CAPITAL MGMT		FOSL	S	5,100	90.46	n/a	n/a	non-brg	0.8
	WINSLOW CAPITAL	030	FTI	S	18,500	42.02	n/a	n/a	555.00	3.0
ß	BUCK CAPITAL MGMT		GIII	S	10,000	25.07	n/a	n/a	non-brg	0.8
	CYPRESS CAP MGMT LLC	040	GNC	B	18,100	22.79	n/a	n/a	724.00	4.0
f	DAVID GEORGE BUCK	FID	HBC	S	3000	41.35	n/a	n/a	0.00	0.0
	BNP PARIBAS SEC	040	HBI	B	30,000	26.20	n/a	21-Jul	1,500.00	5.0
	MERRILL ASSET/BLACKROCK	297	HFC	S	14,500	70.15	n/a	n/a	580.00	4.0
	OHIO PERS	047	IBM	S	13,900	167.20	n/a	n/a	417.00	3.0
	BALLAST CAP	040	IRM	SS	8,200	31.49	n/a	n/a	410.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JASON ERIC COHEN	FID	IWM	B	5	1.05	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		JWN	C	20,000	42.33	n/a	12-Aug	non-brg	4.0
B BUCK CAPITAL MGMT		KSS	SS	30,000	46.42	n/a	12-Aug	non-brg	4.0
HIGHBRIDGE CAP	041	KSS	S	6,750	46.37	n/a	12-Aug	202.50	3.0
f PATRICK O'GRADY	FID	LNKD	B	18	72.87	n/a	n/a	0.00	0.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	50,000	6.26	n/a	5-Aug	2,500.00	5.0
f MANNY I KORMAN	FID	MMM	S	1000	77.35	n/a	25-Aug	0.00	0.0
TYEE/TYGH	035	MOD	S	87,400	10.39	n/a	n/a	2,622.00	3.0
B BUCK CAPITAL MGMT		MSMSBCM	SS	50,000	86.19	n/a	n/a	non-brg	6.9
B BUCK CAPITAL MGMT		MS	S	170,000	16.05	n/a	24-Aug	non-brg	4.0
f MANNY I KORMAN	FID	MYL	S	5000	18.22	n/a	22-Aug	0.00	0.0
B BUCK CAPITAL MGMT		MZZ	B	6,000	48.76	n/a	n/a	non-brg	2.0
WALL STREET CAPITAL	084	NAV	S	54,500	39.97	n/a	10-Aug	2,452.50	4.5
OHIO PERS	047	NTAP	B	64,000	36.04	n/a	n/a	1,920.00	3.0
B BUCK CAPITAL MGMT		OXM	B	75,000	32.67	n/a	n/a	non-brg	1.0
COUGAR TRADING	044	OXM	S	2,500	32.88	n/a	n/a	125.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		PERY	B	20,000	19.38	n/a	n/a	non-brg	4.0
COLUMBIA PARTNERS	028	RBC	C	4,184	52.80	n/a	n/a	167.36	4.0
BUCK CAPITAL MGMT		RCL	B	20,000	23.15	n/a	n/a	non-brg	4.0
DAVID GEORGE BUCK	FID	RDSB	S	1000	64.32	n/a	n/a	0.00	0.0
MATTHEW FRANCIS BUCK	FID	RDSB	S	300	64.19	n/a	n/a	0.00	0.0
SONTERRA CAP	041	RKT	B	8,200	47.07	n/a	4-Aug	328.00	4.0
SONTERRA CAP	041	RTI	SS	5,900	23.23	n/a	n/a	236.00	4.0
BUCK CAPITAL MGMT		SFER IM	S	125,000	16.31	n/a	n/a	non-brg	2.4
BUCK CAPITAL MGMT		SFLY	S	33,900	45.76	n/a	n/a	non-brg	4.0
KAREN F LEDDY	FID	SGI	S	1350	14.52	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		SHOO	B	20,000	34.46	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		SODA	B	10,000	35.47	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT		SODA	B	20,000	35.56	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT		SPY	C	38,500	115.39	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		STT	S	55,000	32.75	n/a	24-Aug	non-brg	4.0
SENATOR INVESTMENT GROUP	036	SU	B	40,000	30.36	n/a	n/a	1,200.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		TEA	S	4,194	22.75	n/a	n/a	non-brg	4.0
MTB INV ADV	034	TEN	B	18,025	30.10	n/a	n/a	901.25	5.0
BASIX	033	TEX	B	63,000	14.54	n/a	22-Jul	1,890.00	3.0
HIGHBRIDGE CAP	041	TIF	B	4,000	67.18	n/a	n/a	120.00	3.0
WINSLOW CAPITAL	030	UNP	S	11,800	89.57	n/a	n/a	354.00	3.0
B BUCK CAPITAL MGMT		URBN	B	20,000	24.67	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		URBN	B	30,000	24.67	n/a	n/a	non-brg	4.0
HIGHBRIDGE CAP	041	URBN	SS	10,000	24.80	n/a	n/a	300.00	3.0
WINSLOW CAPITAL	030	UTX	S	9,000	71.79	n/a	n/a	270.00	3.0
SONTERRA CAP	041	VALE	SS	83,700	26.14	n/a	n/a	3,348.00	4.0
WINSLOW CAPITAL	030	V	S	12,500	85.45	n/a	24-Aug	375.00	3.0
f MANNY I KORMAN	FID	WCRX	S	10000	16.01	n/a	22-Aug	0.00	0.0
CSFB GLOBAL PROPRIETARY	041	WY	B	25,000	16.05	n/a	29-Jul	1,250.00	5.0
WEISS PECK	040	XLE	B	5,200	64.30	n/a	n/a	260.00	5.0
HARVEST MGMT	086	XLP	SS	25,000	29.87	n/a	n/a	1,000.00	4.0
f FRANCIS MICHAEL MCCA	FID	XPO	B	2500	2.99	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f	JONATHAN RICHARD HAR	FID	XPO	B	500	3.00	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		XRT	SS	5,300	46.53	n/a	n/a	non-brg	2.0
B	BUCK CAPITAL MGMT		XRT	SS	5,700	46.53	n/a	n/a	non-brg	2.0
f	PATRICK O'GRADY	FID	ZQK	B	650	3.71	n/a	10-May	0.00	0.0
TOTAL (Trade Date):									34,372.61	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/25	THIRD POINT MGMT	044	HIBB	SS	50,000	35.95	n/a	n/a	2000.00 4.0
AO,CXL	08/25	SEVEN LOCKS CAPITAL	025	PCL	B	20,000	35.92	n/a	27-Jul	600.00 3.0
AO,CRT	08/25	SEVEN LOCKS CAPITAL	025	PCL	B	20,000	35.92	n/a	27-Jul	600.00 3.0

TOTAL (AO, CXL, CRT) :	2,000.00
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TOTAL (Trade Date) :	34,372.61
TOTAL (AO, CXL, CRT) :	2,000.00

TOTAL (RUN DATE) / NFS:	36,372.61
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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 26-Aug.
NONE

MRI Securities without Trade Activity on 26-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)