



# Daily Compliance Activity Report

Trade Date: 07/22/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 2

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		ABFS	S	8,600	25.83	n/a	n/a	non-brg	4.0
f THOMAS JOHN LEDDY	FID	ABG	S	500	19.90	n/a	14-Jul	0.00	0.0
f THOMAS MACTAGGART LE	FID	ABG	S	200	19.89	n/a	14-Jul	0.00	0.0
B BUCK CAPITAL MGMT		ANN	S	40,000	27.43	n/a	n/a	non-brg	4.0
MUTUAL OF AMERICA CAPITAL	029	ANN	B	14,000	27.27	n/a	n/a	560.00	4.0
LAGRANGE CAP ADV	085	AOL	B	4,606	19.26	n/a	n/a	230.30	5.0
f CHRISTOPHER ROBERT C	FID	ARCO	S	200	23.84	n/a	n/a	0.00	0.0
COUGAR TRADING	044	ARCO	B	10,000	23.99	n/a	n/a	500.00	5.0
MACQUARIE INVESTMENT MGMT.	040	BEAV	S	30,000	41.85	n/a	19-Jul	0.00	0.0
MA CAPITAL MGMT/MELLON ADV	041	BIG	S	4,000	36.03	n/a	27-May	160.00	4.0
SCOPUS FUND	041	BIG	S	50,100	35.95	n/a	27-May	2,004.00	4.0
PLATTE RIVER CAPITAL	240	BUD	S	8,200	58.71	n/a	29-Jun	328.00	4.0
B BUCK CAPITAL MGMT		BWLD	C	15,000	67.53	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		BWLD	C	44,800	67.36	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BX	S	1,300	17.72	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BX	S	1,800	17.72	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BX	S	2,100	17.72	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BX	S	2,700	17.72	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		BX	S	20,200	17.72	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BX	S	600	17.72	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BX	S	800	17.72	n/a	n/a	non-brg	4.0
f FRANCIS MICHAEL MCCA	FID	CMI	S	150	107.02	n/a	27-Apr	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	COP	S	300	75.39	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	CPN	S	1000	16.20	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		CSTR	B	20,000	54.72	n/a	n/a	non-brg	1.0
f JONATHAN RICHARD HAR	FID	CVGI	B	215	14.00	n/a	n/a	0.00	0.0
f THOMAS JOHN LEDDY	FID	CVGI	B	600	13.99	n/a	n/a	0.00	0.0
f THOMAS MACTAGGART LE	FID	CVGI	B	400	13.99	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		DAN	S	100,000	18.50	n/a	14-Jul	non-brg	0.8
B BUCK CAPITAL MGMT		DAN	S	38,028	18.51	n/a	14-Jul	non-brg	1.0
f EDWARD W WHEELER	FID	DAN	S	5000	18.50	n/a	14-Jul	0.00	0.0
CATAPULT	040	DHR	SS	5,000	52.02	n/a	n/a	200.00	4.0
1798 CAP/LOMBARD ASSET	040	EP	B	25,000	20.93	n/a	n/a	1,250.00	5.0
f JONATHAN RICHARD HAR	FID	ETAK	B	2480	3.60	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	ETAK	B	2000	3.64	n/a	n/a	0.00	0.0
MACQUARIE INVESTMENT MGMT.	040	ETN	S	7,500	51.18	n/a	16-Jun	0.00	0.0
f CHRISTOPHER ROBERT C	FID	FBR	B	500	12.20	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TUDOR INVESTORS	028	FCX	B	10,000	55.56	n/a	n/a	300.00	3.0
PAULSON & CO INC	041	FHN	S	500,000	9.49	n/a	n/a	15,000.00	3.0
Ⓕ BUCK CAPITAL MGMT		FL	B	20,000	22.71	n/a	2-Jun	non-brg	4.0
Ⓕ BUCK CAPITAL MGMT		FRAN	B	25,000	17.00	n/a	n/a	non-brg	0.0
Ⓕ BUCK CAPITAL MGMT		FRAN	B	5,000	17.00	n/a	n/a	non-brg	0.0
RBC CAPITAL MARKETS	040	F	B	150,000	13.26	n/a	14-Jul	6,000.00	4.0
Ⓕ BUCK CAPITAL MGMT		GIII	B	10,000	32.60	n/a	n/a	non-brg	2.5
f DAVID GEORGE BUCK	FID	HDV	B	400	52.66	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	HDV	B	500	52.64	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	ITT	B	5,000	56.41	n/a	4-May	150.00	3.0
f CHRISTOPHER ROBERT C	FID	JNY	B	500	11.61	n/a	18-Jul	0.00	0.0
Ⓕ BUCK CAPITAL MGMT		JWN	S	172,841	51.46	n/a	8-Jul	non-brg	0.8
Ⓕ BUCK CAPITAL MGMT		JWN	S	250,000	51.50	n/a	8-Jul	non-brg	4.0
Ⓕ BUCK CAPITAL MGMT		KNX	S	20,000	16.49	n/a	n/a	non-brg	4.0
Ⓕ BUCK CAPITAL MGMT		KSS	S	20,000	56.84	n/a	8-Jul	non-brg	4.0
NEUBERGER BERMAN	036	LDR	S	1,600	60.83	n/a	n/a	64.00	4.0
TROUBH PART	070	LEA	S	10,000	52.61	n/a	14-Jul	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROSEDALE CAPITAL	046	LOW	B	35,000	22.62	n/a	13-Jun	1,750.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>LTD</b>	<b>S</b>	<b>40,000</b>	<b>40.26</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
NEUBERGER BERMAN	036	LXU	B	7,600	46.26	n/a	n/a	304.00	4.0
BRANDWINE	028	MCD	S	298,050	88.98	n/a	22-Jul	11,922.00	4.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>MCP</b>	<b>S</b>	<b>75</b>	<b>60.88</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
KENNEDY CAPITAL	046	MED	B	4,200	20.50	n/a	n/a	168.00	4.0
TROUBH PART	070	MET	S	15,000	41.71	n/a	n/a	750.00	5.0
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>MINI</b>	<b>B</b>	<b>200</b>	<b>22.19</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>MRK</b>	<b>S</b>	<b>400</b>	<b>36.04</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PRIMECAP MGMT	084	MSFT	B	612,400	27.48	n/a	n/a	24,496.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>MSMSBCM</b>	<b>SS</b>	<b>20,000</b>	<b>101.02</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>8.1</b>
MTB INV ADV	034	MTOR	S	92,150	15.10	n/a	n/a	4,607.50	5.0
MA CAPITAL MGMT/MELLON ADV041	NWSA		B	8,000	16.22	n/a	n/a	400.00	5.0
MUTUAL OF AMERICA CAPITAL	029	OMX	S	55,700	6.89	n/a	n/a	1,671.00	3.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>PEP</b>	<b>S</b>	<b>2000</b>	<b>65.62</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.	
f	MATTHEW FRANCIS BUCK	FID	PEP	S	500	65.54	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		PERY	B	10,000	25.10	n/a	n/a	non-brg	2.0
ß	BUCK CAPITAL MGMT		PERY	B	13,300	25.25	n/a	n/a	non-brg	0.8
f	DAVID GEORGE BUCK	FID	PNC	B	1200	56.69	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		PNK	S	20,000	15.30	n/a	n/a	non-brg	1.0
f	DAVID GEORGE BUCK	FID	RDSB	B	1000	74.82	n/a	n/a	0.00	0.0
f	DAVID GEORGE BUCK	FID	RDSB	B	200	74.83	n/a	n/a	0.00	0.0
f	MATTHEW FRANCIS BUCK	FID	RDSB	B	300	74.84	n/a	n/a	0.00	0.0
	KLEINHEINZ CAP PART	031	RKT	B	39,300	64.44	n/a	n/a	1,965.00	5.0
ß	BUCK CAPITAL MGMT		RRR	S	25,000	13.27	n/a	22-Jul	non-brg	2.5
ß	BUCK CAPITAL MGMT		RRR	S	25,000	13.33	n/a	22-Jul	non-brg	4.0
ß	BUCK CAPITAL MGMT		RRR	S	75,000	13.17	n/a	22-Jul	non-brg	4.0
	DELTEC ASSET MGMT.	040	RRR	S	31,000	13.09	n/a	22-Jul	1,550.00	5.0
ß	BUCK CAPITAL MGMT		SIG	B	30,000	45.68	n/a	n/a	non-brg	4.0
f	JOSEPH CIRO AMATURO	FID	SLW	S	5000	39.12	n/a	n/a	0.00	0.0
	MERRILL ASSET/BLACKROCK	297	SPN	S	6,800	40.64	n/a	n/a	272.00	4.0
f	FRANCIS MICHAEL MCCA	FID	SRI	S	700	14.20	n/a	n/a	0.00	0.0
f	DAVID GEORGE BUCK	FID	SYK	S	2000	56.83	n/a	n/a	0.00	0.0
	MERRILL ASSET/BLACKROCK	297	TESO	S	6,900	22.78	n/a	n/a	276.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	TEX	S	50,383	24.17	22-Jul	22-Jul	2,015.32	4.0
CRAMER ROSENTHAL/SCOTT	012	TNB	B	37,129	54.40	n/a	n/a	1,485.16	4.0
MERRILL ASSET/BLACKROCK	297	TTI	B	7,202	13.00	n/a	n/a	288.08	4.0
f JOSEPH CIRO AMATURO	FID	TZA	B	2000	32.75	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		VECO	SS	20,000	41.51	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	VNO	B	1000	97.83	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	WCG	S	1000	55.20	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		WERN	S	20,000	25.25	n/a	n/a	non-brg	4.0
CATAPULT	040	WLK	SS	5,000	53.56	n/a	n/a	200.00	4.0
NEUBERGER BERMAN	036	WST	B	12,400	46.32	n/a	n/a	496.00	4.0
f DAVID GEORGE BUCK	FID		B	120000	92.17	n/a	n/a	0.00	0.0
TOTAL (Trade Date) :								81,862.36	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	07/21	MUTUAL OF AMERICA CAPITAL	029	ANN	B	25,000	28.44	n/a	n/a	1000.00 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>1,000.00</b>

TOTAL (Trade Date):	81,862.36
TOTAL (AO, CXL, CRT):	1,000.00

<b>TOTAL (RUN DATE) / NFS:</b>	<b>82,862.36</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 22-Jul.

TEX

MRI Securities without Trade Activity on 22-Jul.

TEVA, GR

BRG comm. as a % of BCM Total Comm. paid.

T-Date = 0%

YTD = 3%



**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)**