



Daily Compliance Activity Report

Trade Date: 08/22/2011

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	S	140,000	4.80	n/a	n/a	non-brg	0.0
BUCK CAPITAL MGMT		AAPL	S	5,000	360.34	n/a	n/a	non-brg	4.0
BARBARA S LEDDY	FID	AB	S	450	14.50	n/a	n/a	0.00	0.0
KAREN F LEDDY	FID	AB	S	450	14.51	n/a	n/a	0.00	0.0
NOMURA CAPITAL	029	ACW	S	18,286	6.93	n/a	n/a	548.58	3.0
SANDLER O'NEILL ASSET	031	AF	B	50,000	9.32	n/a	21-Jul	2,500.00	5.0
ANGELOS EFSTATHIOU	FID	AMED	S	200	15.22	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		ANN	S	20,000	21.83	n/a	n/a	non-brg	4.0
ROYCE TRADING	012	AVX	B	5,000	11.76	n/a	n/a	250.00	5.0
ROYCE TRADING	012	CEF	S	60,000	26.22	n/a	n/a	3,000.00	5.0
BUCK CAPITAL MGMT		CHEF	S	25,200	15.18	n/a	n/a	non-brg	2.0
BARBARA S LEDDY	FID	CPN	S	846	13.02	n/a	n/a	0.00	0.0
DAVID GEORGE BUCK	FID	C	S	4000	26.51	n/a	16-Aug	0.00	0.0
DAVID GEORGE BUCK	FID	DIS	B	1000	32.33	n/a	n/a	0.00	0.0
HARALAMBOS EFSTATHI	FID	DRR	B	200	37.85	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f HARALAMBOS EFSTATHI	FID	EZJ	S	200	56.97	n/a	n/a	0.00	0.0
ROYCE TRADING	012	FINL	B	6,000	16.81	n/a	24-Jun	300.00	5.0
ASCEND PARTNERS	033	FL	B	125,000	18.35	n/a	19-Aug	6,250.00	5.0
BASIX	033	FL	B	22,000	18.37	n/a	19-Aug	660.00	3.0
f MARC PAUL LUCHANSKY	FID	FNSXX	S	420	1.00	n/a	n/a	0.00	0.0
f FRANCIS MICHAEL MCCA	FID	FRM	B	2000	5.16	n/a	n/a	0.00	0.0
f BRIAN W CRAGO	FID	F	B	150	10.06	n/a	3-Aug	0.00	0.0
B BUCK CAPITAL MGMT		GES	S	162,000	31.73	n/a	18-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		GES	S	60,000	31.70	n/a	18-Jul	non-brg	2.0
B BUCK CAPITAL MGMT		GES	S	88,917	31.73	n/a	18-Jul	non-brg	0.8
B BUCK CAPITAL MGMT		GIII	S	100	22.48	n/a	n/a	non-brg	1.0
f BARBARA S LEDDY	FID	HOTT	S	600	7.54	n/a	n/a	0.00	0.0
f ANGELOS EFSTATHIOU	FID	IGD	B	500	9.48	n/a	n/a	0.00	0.0
ELM RIDGE ADVISORS	044	IP	B	159,500	23.88	n/a	4-Aug	6,380.00	4.0
B BUCK CAPITAL MGMT		JWN	C	20,000	38.15	n/a	12-Aug	non-brg	4.0
B BUCK CAPITAL MGMT		JWN	C	20,000	38.18	n/a	12-Aug	non-brg	4.0
f DAVID GEORGE BUCK	FID	JWN	B	1000	38.41	n/a	12-Aug	0.00	0.0
f DAVID GEORGE BUCK	FID	KO	S	1000	67.49	n/a	20-Jul	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		KSS	SS	20,000	45.51	n/a	12-Aug	non-brg	4.0
KLEINHEINZ CAP PART	031	LOW	B	40,000	19.83	n/a	15-Aug	2,000.00	5.0
f DAVID GEORGE BUCK	FID	MCD	S	1515	70.95	n/a	8-Aug	0.00	0.0
B BUCK CAPITAL MGMT		MPCL	S	40,000	12.10	n/a	13-Jun	non-brg	4.0
B BUCK CAPITAL MGMT		MSMSBCM	C	60,000	84.27	n/a	n/a	non-brg	6.7
f ANGELOS EFSTATHIOU	FID	MWV	S	200	25.10	n/a	27-Jul	0.00	0.0
f DAVID GEORGE BUCK	FID	M	S	2000	23.58	n/a	11-Aug	0.00	0.0
B BUCK CAPITAL MGMT		NWY	B	50,000	2.71	n/a	n/a	non-brg	2.0
f JOHN MICHAEL ZOLIDIS	FID	NWY	S	2000	2.85	n/a	n/a	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	NWY	S	2000	2.86	n/a	n/a	0.00	0.0
f ANGELOS EFSTATHIOU	FID	NYB	B	400	12.06	n/a	18-Aug	0.00	0.0
SCOPUS FUND	041	PETM	S	77,277	39.32	n/a	n/a	3,091.08	4.0
f ANGELOS EFSTATHIOU	FID	PFE	S	100	17.74	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		PLCE	S	20,000	39.12	n/a	18-Aug	non-brg	4.0
ROYCE TRADING	012	PLCE	B	3,500	38.54	n/a	18-Aug	175.00	5.0
ROYCE TRADING	012	PLT	B	3,000	30.47	n/a	n/a	150.00	5.0
SMITH MGMT LLC	029	PSUN	S	200,000	2.01	n/a	n/a	8,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f PATRICK O'GRADY	FID	RAD	B	750	0.98	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	RUSHA	S	1200	16.05	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SHOO	B	100,000	30.73	n/a	n/a	non-brg	4.0
MERRILL ASSET/BLACKROCK	297	SIVB	B	7,500	40.80	n/a	n/a	300.00	4.0
B BUCK CAPITAL MGMT		SUMR	S	20,600	6.24	n/a	n/a	non-brg	2.5
JAT CAPITAL MANAGEMENT	041	SVU	B	50,700	6.89	n/a	n/a	1,521.00	3.0
f BARBARA S LEDDY	FID	TBT	S	400	23.90	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		TEA	S	10,000	22.00	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		TEA	S	25,000	21.94	n/a	n/a	non-brg	1.0
BASSWOOD PARTNERS	267	TIF	SS	8,300	58.55	n/a	n/a	332.00	4.0
f ANGELOS EFSTATHIOU	FID	WBC	B	100	40.51	n/a	18-Aug	0.00	0.0
SCOPUS FUND	041	WRC	S	30,000	47.40	n/a	2-Aug	1,200.00	4.0
B BUCK CAPITAL MGMT		WSM	C	40,000	29.79	n/a	n/a	non-brg	4.0
f JOHN MICHAEL ZOLIDIS	FID	WYNN	B	40	131.08	n/a	13-Jun	0.00	0.0
f FRANCIS MICHAEL MCCA	FID	XPO	B	1000	2.80	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		XRT	C	2,000	44.46	n/a	n/a	non-brg	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
8 BUCK CAPITAL MGMT		XRT	C	8,000	44.46	n/a	n/a	non-brg	2.0
ROYCE TRADING	012	ZBRA	B	1,000	31.52	n/a	n/a	50.00	5.0
TOTAL (Trade Date) :								36,707.66	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/19	CONIFER/ISF	025	HPQ	B	10,000	23.47	n/a	n/a	400.00 4.0
AO,CRT	08/19	CONIFER/ISF	025	HPQ	B	10,000	23.47	n/a	n/a	400.00 4.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	36,707.66
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	36,707.66
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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-Aug.
NONE

MRI Securities without Trade Activity on 22-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)