



# Daily Compliance Activity Report

Trade Date: 08/15/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		\$\$HKDUSD	C	31,919	0.13	n/a	n/a	non-brg	0.0
MERRILL ASSET/BLACKROCK	297	ACC	S	60,000	36.69	n/a	n/a	2,400.00	4.0
BUCK CAPITAL MGMT		ANF 8 C72.5	SS	1,000	1.49	n/a	n/a	non-brg	300.0
M&I FUNDS	047	ANN	S	109,038	22.34	n/a	n/a	4,361.52	4.0
DAVID GEORGE BUCK	FID	ARE	B	1000	71.92	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		BK	S	22,800	20.36	n/a	15-Aug	non-brg	4.0
CHRISTOPHER ROBERT C	FID	BOX	B	150	13.22	n/a	n/a	0.00	0.0
MILLRACE FUND LP	028	BWA	SS	5,000	71.01	n/a	29-Jul	200.00	4.0
SURVEYOR CAPITAL	041	BWA	SS	2,500	71.10	n/a	29-Jul	75.00	3.0
BUCK CAPITAL MGMT		BX	S	1,200	13.60	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT		BX	S	1,400	13.60	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT		BX	S	1,500	13.46	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		BX	S	1,600	13.60	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT		BX	S	1,700	13.46	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		BX	S	1,900	13.46	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		BX	S	2,000	13.60	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT		BX	S	2,300	13.46	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		BX	S	3,600	13.60	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT		BX	S	4,100	13.46	n/a	n/a	non-brg	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		BX	S	45,000	13.60	n/a	n/a	non-brg	2.5
⚡ BUCK CAPITAL MGMT		BX	S	5,200	13.60	n/a	n/a	non-brg	2.5
⚡ BUCK CAPITAL MGMT		BX	S	52,400	13.46	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		BX	S	6,100	13.46	n/a	n/a	non-brg	2.0
ADALY INV MGMT	031	CBT	B	6,400	33.68	n/a	15-Aug	320.00	5.0
SURVEYOR CAPITAL	041	CHRW	S	7,310	68.14	n/a	n/a	219.30	3.0
⚡ BUCK CAPITAL MGMT		COF	S	28,500	45.46	n/a	15-Aug	non-brg	4.0
COUGAR TRADING	044	COF	B	15,000	45.43	n/a	15-Aug	750.00	5.0
f CHRISTOPHER ROBERT C	FID	COH	S	100	54.89	n/a	3-Aug	0.00	0.0
HIGHBRIDGE CAP	041	COH	B	5,000	54.58	n/a	3-Aug	150.00	3.0
SURVEYOR CAPITAL	041	COL	B	19,000	47.00	n/a	2-Aug	570.00	3.0
SURVEYOR CAPITAL	041	CP	SS	3,354	60.41	n/a	n/a	100.62	3.0
f MARK DEVEREAUX KAICH	FID	CRMBW	B	4000	0.66	n/a	n/a	0.00	0.0
HUNTER GLOBAL INVESTOR	028	CTAS	B	311,900	30.30	n/a	n/a	12,476.00	4.0
f MARC PAUL LUCHANSKY	FID	CVGI	B	500	7.99	n/a	n/a	0.00	0.0
THIRD COAST CAPITAL	035	CVO	S	15,100	4.32	n/a	n/a	453.00	3.0
PROSPECTOR PARTNERS LLC	036	CW	B	10,000	28.31	n/a	n/a	400.00	4.0
⚡ BUCK CAPITAL MGMT		C	S	1,100	30.73	n/a	15-Aug	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		C	S	17,500	30.73	n/a	15-Aug	non-brg	4.0
⚡ BUCK CAPITAL MGMT		C	S	400	30.73	n/a	15-Aug	non-brg	4.0
⚡ BUCK CAPITAL MGMT		C	S	400	30.73	n/a	15-Aug	non-brg	4.0
⚡ BUCK CAPITAL MGMT		C	S	900	30.73	n/a	15-Aug	non-brg	4.0
f MANNY I KORMAN	FID	C	B	20000	31.06	n/a	15-Aug	0.00	0.0
f MARC PAUL LUCHANSKY	FID	C	B	500	31.24	n/a	15-Aug	0.00	0.0
f EDWARD W WHEELER	FID	DAN	S	200	1.90	n/a	29-Jul	0.00	0.0
CAMBIAR CAP	046	DBD	B	20,200	27.86	n/a	27-Jul	808.00	4.0
⚡ BUCK CAPITAL MGMT		DDS	S	22,600	44.33	n/a	n/a	non-brg	4.0
CYPRESS CAP MGMT LLC	040	DKS	S	29,200	32.82	n/a	15-Aug	1,168.00	4.0
SURVEYOR CAPITAL	041	DRI	SS	100,000	48.68	n/a	11-Jul	3,000.00	3.0
SURVEYOR CAPITAL	041	ERJ	B	8,510	24.16	n/a	n/a	255.30	3.0
THIRD COAST CAPITAL	035	EXAS	S	15,000	7.26	n/a	n/a	750.00	5.0
DAVIDSON INV ADV	035	FCFS	S	3,700	46.83	n/a	n/a	148.00	4.0
HIGHBRIDGE CAP	041	FFIV	SS	9,433	84.07	n/a	n/a	282.99	3.0
OHIO PERS	047	FFIV	B	28,000	84.33	n/a	n/a	840.00	3.0
⚡ BUCK CAPITAL MGMT		FITB	S	28,300	9.88	n/a	n/a	non-brg	3.0
⚡ BUCK CAPITAL MGMT		FOSL	S	20,000	91.42	n/a	n/a	non-brg	4.0
CAMBIAR CAP	046	HBI	B	25,000	27.40	n/a	21-Jul	1,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>HCA</b>	<b>B</b>	<b>20</b>	<b>2.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BASSWOOD PARTNERS	267	HD	C	22,200	31.15	n/a	5-Aug	888.00	4.0
MACQUARIE INVESTMENT MGMT.	040	HON	B	15,000	47.60	n/a	2-Aug	0.00	0.0
SURVEYOR CAPITAL	041	HTLD	SS	35,386	14.06	n/a	n/a	1,061.58	3.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>IR</b>	<b>B</b>	<b>20</b>	<b>1.80</b>	<b>n/a</b>	<b>21-Jul</b>	<b>0.00</b>	<b>0.0</b>
SURVEYOR CAPITAL	041	JBHT	SS	7,262	41.11	n/a	n/a	217.86	3.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>JCI</b>	<b>B</b>	<b>10000</b>	<b>32.76</b>	<b>n/a</b>	<b>8-Aug</b>	<b>0.00</b>	<b>0.0</b>
SURVEYOR CAPITAL	041	JCI	B	15,408	32.84	n/a	8-Aug	462.24	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>KKR</b>	<b>S</b>	<b>1,100</b>	<b>11.24</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>B BUCK CAPITAL MGMT</b>		<b>KKR</b>	<b>S</b>	<b>17,600</b>	<b>11.24</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>B BUCK CAPITAL MGMT</b>		<b>KKR</b>	<b>S</b>	<b>2,300</b>	<b>11.24</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>B BUCK CAPITAL MGMT</b>		<b>KKR</b>	<b>S</b>	<b>3,500</b>	<b>11.24</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>B BUCK CAPITAL MGMT</b>		<b>KKR</b>	<b>S</b>	<b>600</b>	<b>11.24</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>B BUCK CAPITAL MGMT</b>		<b>KKR</b>	<b>S</b>	<b>700</b>	<b>11.24</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>B BUCK CAPITAL MGMT</b>		<b>KKR</b>	<b>S</b>	<b>800</b>	<b>11.24</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>KMT</b>	<b>B</b>	<b>150</b>	<b>35.45</b>	<b>n/a</b>	<b>29-Jul</b>	<b>0.00</b>	<b>0.0</b>
SURVEYOR CAPITAL	041	KRO	B	6,300	23.64	n/a	n/a	189.00	3.0
<b>f ALEXANDRA ELISE ZOLI</b>	<b>FID</b>	<b>KSWS</b>	<b>S</b>	<b>1500</b>	<b>6.49</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SURVEYOR CAPITAL	041	LEA	B	20,000	46.34	n/a	5-Aug	600.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f</b> CHRISTOPHER ROBERT C	<b>FID</b>	<b>LVS</b>	<b>S</b>	<b>100</b>	<b>45.02</b>	<b>n/a</b>	<b>13-Jun</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>MMM</b>	<b>B</b>	<b>500</b>	<b>82.94</b>	<b>n/a</b>	<b>11-Aug</b>	<b>0.00</b>	<b>0.0</b>
SURVEYOR CAPITAL	041	MMM	SS	2,423	83.10	n/a	11-Aug	72.69	3.0
TROUBH PART	070	MSFT	S	35,000	25.20	n/a	n/a	1,750.00	5.0
SURVEYOR CAPITAL	041	MSI	SS	3,000	40.25	n/a	n/a	90.00	3.0
<b>B</b> BUCK CAPITAL MGMT		<b>MSMSBCD</b>	<b>C</b>	<b>792,797</b>	<b>90.16</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.1</b>
<b>B</b> BUCK CAPITAL MGMT		<b>MSMSBCD</b>	<b>SS</b>	<b>784,959</b>	<b>90.16</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>MSMSBCM</b>	<b>C</b>	<b>6,898,516</b>	<b>90.12</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.1</b>
<b>B</b> BUCK CAPITAL MGMT		<b>MSMSBCM</b>	<b>SS</b>	<b>6,830,310</b>	<b>90.12</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>MS</b>	<b>S</b>	<b>95,900</b>	<b>17.64</b>	<b>n/a</b>	<b>15-Aug</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> MARC PAUL LUCHANSKY	<b>FID</b>	<b>MTW</b>	<b>B</b>	<b>1000</b>	<b>11.28</b>	<b>n/a</b>	<b>28-Jul</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>M</b>	<b>B</b>	<b>2000</b>	<b>25.58</b>	<b>n/a</b>	<b>11-Aug</b>	<b>0.00</b>	<b>0.0</b>
TROUBH PART	070	M	S	25,000	25.59	n/a	11-Aug	1,250.00	5.0
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>NDN</b>	<b>S</b>	<b>2000</b>	<b>17.67</b>	<b>n/a</b>	<b>9-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> CHRISTOPHER ROBERT C	<b>FID</b>	<b>PCH</b>	<b>B</b>	<b>200</b>	<b>34.07</b>	<b>n/a</b>	<b>27-Jul</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>PNC</b>	<b>S</b>	<b>1200</b>	<b>47.54</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TOCQUEVILLE	035	QCOR	S	3,150	31.34	n/a	n/a	157.50	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SURVEYOR CAPITAL	041	RTN	S	7,360	41.04	n/a	29-Jul	220.80	3.0
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>SBUX</b>	<b>S</b>	<b>300</b>	<b>38.17</b>	<b>n/a</b>	<b>29-Jul</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SIG</b>	<b>B</b>	<b>30,000</b>	<b>34.88</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
MERRILL ASSET/BLACKROCK	297	SIVB	B	7,100	46.06	n/a	n/a	284.00	4.0
FIRST NEW YORK LEDDY	035	S	B	20,000	3.42	n/a	n/a	800.00	4.0
SURVEYOR CAPITAL	041	TDG	S	5,500	88.83	n/a	n/a	165.00	3.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>TEX</b>	<b>B</b>	<b>200</b>	<b>17.39</b>	<b>n/a</b>	<b>22-Jul</b>	<b>0.00</b>	<b>0.0</b>
<b>f ALEXANDRA ELISE ZOLI</b>	<b>FID</b>	<b>TIF</b>	<b>B</b>	<b>75</b>	<b>67.84</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SCOPUS FUND	041	TJX	B	16,100	53.66	n/a	5-Aug	644.00	4.0
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>TLB</b>	<b>S</b>	<b>1900</b>	<b>3.24</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f GAJANTHAN BALAKANES</b>	<b>FID</b>	<b>TWQ</b>	<b>S</b>	<b>30</b>	<b>16.35</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>TYC</b>	<b>S</b>	<b>200</b>	<b>41.51</b>	<b>n/a</b>	<b>29-Jul</b>	<b>0.00</b>	<b>0.0</b>
SURVEYOR CAPITAL	041	UNP	B	2,157	94.29	n/a	n/a	64.71	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>URBN 9 C30</b>	<b>SS</b>	<b>1,900</b>	<b>1.65</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>300.0</b>
CAERUS GLOBAL	041	URBN	B	70,000	29.49	n/a	n/a	2,800.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SURVEYOR CAPITAL	041	UTX	SS	6,901	73.09	n/a	n/a	207.03	3.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>VE</b>	<b>B</b>	<b>10000</b>	<b>16.94</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>WBC</b>	<b>B</b>	<b>400</b>	<b>50.28</b>	<b>n/a</b>	<b>8-Aug</b>	<b>0.00</b>	<b>0.0</b>
SURVEYOR CAPITAL	041	WBC	B	4,011	49.82	n/a	8-Aug	120.33	3.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>WCRX</b>	<b>B</b>	<b>500</b>	<b>17.64</b>	<b>n/a</b>	<b>15-Aug</b>	<b>0.00</b>	<b>0.0</b>
TUDOR INVESTORS	028	WEN	S	75,000	5.04	n/a	12-Aug	2,250.00	3.0
TUDOR INVESTORS	028	WRC	B	20,000	50.68	n/a	2-Aug	600.00	3.0
HIGHBRIDGE CAP	041	WSM	B	50,000	31.54	n/a	n/a	1,500.00	3.0
RAINIER INV MGMT	035	WWD	B	27,800	30.64	n/a	n/a	1,112.00	4.0
<b>f ALEXANDRA ELISE ZOLI</b>	<b>FID</b>	<b>WYNN</b>	<b>B</b>	<b>33</b>	<b>148.53</b>	<b>n/a</b>	<b>13-Jun</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>3.04</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f AMY O'BANNON</b>	<b>FID</b>		<b>B</b>	<b>10000</b>	<b>106.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f DOUGLAS ROGERS</b>	<b>FID</b>		<b>B</b>	<b>20000</b>	<b>103.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JOHN BARTMAN COLE</b>	<b>FID</b>		<b>B</b>	<b>25000</b>	<b>0.24</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>TOTAL (Trade Date) :</b>								<b>48,234.47</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/11	THIRD COAST CAPITAL	035	CVO	S	30,000	4.22	n/a	n/a	1500.00 5.0
AO,CRT	08/11	THIRD COAST CAPITAL	035	CVO	S	30,000	4.22	n/a	n/a	900.00 3.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-600.00</b>
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TOTAL (Trade Date) :	48,234.47
TOTAL (AO, CXL, CRT) :	-600.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>47,634.47</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 15-Aug.  
NONE

MRI Securities without Trade Activity on 15-Aug.  
NONE

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

<b><u>Legend:</u></b>
<b>Õ: Employee Trades in Outside Accounts</b>
<b>ß: Non-BRG BCM Trades</b>
[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)