



# Daily Compliance Activity Report

Trade Date: 07/19/2011

Potential ANALYST TRADE Violations: 0

Watch List **ACTIVITY ALERT: 2**

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TUDOR INVESTORS	028	ACW	B	4,400	12.41	n/a	n/a	132.00	3.0
BALYASNY ASSET MGMT	044	AGCO	SS	20,000	48.21	n/a	27-Apr	1,000.00	5.0
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>ALSK</b>	<b>B</b>	<b>10000</b>	<b>7.88</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TUDOR INVESTORS	028	AOS	SS	3,400	43.90	n/a	19-Jul	102.00	3.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>APC</b>	<b>B</b>	<b>1000</b>	<b>81.06</b>	<b>n/a</b>	<b>15-Jul</b>	<b>0.00</b>	<b>0.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>ARCO</b>	<b>S</b>	<b>500</b>	<b>21.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>ARCO</b>	<b>B</b>	<b>300</b>	<b>20.90</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>ATI</b>	<b>B</b>	<b>100</b>	<b>64.47</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LATEFF MGMT	035	BDN	S	1,500	11.81	n/a	n/a	120.00	8.0
SIGMA CAPITAL ASSOCIATES	041	BIG	B	30,100	33.90	n/a	27-May	1,053.50	3.5
TYEE/TYGH	035	BKD	S	89,128	22.58	n/a	n/a	3,565.12	4.0
MACQUARIE INVESTMENT MGMT.	040	CHD	S	5,000	42.53	n/a	20-Jun	0.00	0.0
<b>f STEFFANIE CARMELA CA</b>	<b>FID</b>	<b>CLNE</b>	<b>S</b>	<b>350</b>	<b>16.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TUDOR INVESTORS	028	CMI	B	5,000	105.69	n/a	27-Apr	150.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>CNW</b>	<b>S</b>	<b>10,000</b>	<b>38.74</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.	
GOLD SACHS SPECIAL SIT	030	CVGI	S	6,500	14.17	n/a	n/a	325.00	5.0
PROSPECTOR PARTNERS LLC	036	CW	B	10,000	32.01	n/a	n/a	400.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>DECK</b>	<b>B</b>	<b>10,000</b>	<b>93.97</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
TUDOR INVESTORS	028	DE	SS	8,000	80.98	n/a	19-May	240.00	3.0
MACQUARIE INVESTMENT MGMT.	040	DG	SS	2,500	33.81	n/a	2-Jun	0.00	0.0
SIGMA CAPITAL ASSOCIATES	041	DPZ	S	44,248	26.00	n/a	11-Jul	1,548.68	3.5
TALPION LLC	040	DXCM	C	8,000	15.25	n/a	n/a	320.00	4.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>ECL</b>	<b>B</b>	<b>200</b>	<b>55.14</b>	<b>n/a</b>	<b>8-Jul</b>	<b>0.00</b>	<b>0.0</b>
LATEFF MGMT	035	ENR	S	400	79.23	n/a	20-Jun	100.00	25.0
<b>B BUCK CAPITAL MGMT</b>		<b>FL</b>	<b>B</b>	<b>30,000</b>	<b>23.56</b>	<b>n/a</b>	<b>2-Jun</b>	<b>non-brg</b>	<b>4.0</b>
LEVIN CAPITAL STRATEGIES	012	FL	B	30,000	23.58	n/a	2-Jun	900.00	3.0
<b>f DANIEL R SCHWARZWALD</b>	<b>FID</b>	<b>FNSXX</b>	<b>B</b>	<b>20010703</b>	<b>1.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f DANIEL R SCHWARZWALD</b>	<b>FID</b>	<b>FSIXX</b>	<b>S</b>	<b>20510703</b>	<b>1.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MITCHELL JAMES SPEIS</b>	<b>FID</b>	<b>FSNXX</b>	<b>B</b>	<b>9800</b>	<b>1.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MITCHELL JAMES SPEIS</b>	<b>FID</b>	<b>FSNXX</b>	<b>S</b>	<b>3000</b>	<b>1.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
OZ MGMT	040	F	B	75,000	13.06	n/a	14-Jul	2,250.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRELLUS PARTNERS LP	028	F	B	50,000	12.91	n/a	14-Jul	2,500.00	5.0
TUDOR INVESTORS	028	GDI	S	3,000	85.48	n/a	n/a	90.00	3.0
LATEFF MGMT	035	GLW	B	1,000	16.70	n/a	15-Jul	100.00	10.0
BNP PARIBAS SEC	040	GM	B	50,000	28.94	n/a	14-Jul	2,500.00	5.0
GOLD SACHS SPECIAL SIT	030	GM	S	300,000	29.16	n/a	14-Jul	15,000.00	5.0
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>HL</b>	<b>S</b>	<b>1500</b>	<b>8.37</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SYSTEMATIC FINANCIAL MGT	035	HTZ	B	342,700	15.09	n/a	n/a	10,281.00	3.0
BRONSON POINT	036	ID	C	25,000	12.00	n/a	n/a	750.00	3.0
CSFB GLOBAL PROPRIETARY	041	IP	B	190,000	29.68	n/a	19-Jul	9,500.00	5.0
SACC-SCHWARTZ	044	IP	SS	50,000	29.72	n/a	19-Jul	1,750.00	3.5
BASCOM HILL PARTNERS LLC	033	IR	B	7,000	44.08	n/a	19-May	210.00	3.0
CHARTER OAK	033	IR	B	20,000	44.51	n/a	19-May	1,000.00	5.0
MILLENNIUM-ICS BOBBY	044	ITW	B	2,500	56.37	n/a	27-Apr	75.00	3.0
LATEFF MGMT	035	JNJ	S	400	66.32	n/a	n/a	72.00	18.0
MFP INVESTORS	085	JNS	B	40,000	8.80	n/a	n/a	1,600.00	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>JWN</b>	<b>S</b>	<b>1000</b>	<b>51.10</b>	<b>n/a</b>	<b>8-Jul</b>	<b>0.00</b>	<b>0.0</b>
SAC TRADING TOM LEDDY	035	KFT	B	40,000	35.37	n/a	n/a	1,400.00	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		KNX	S	13,400	16.64	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		KNX	S	15,000	16.62	n/a	n/a	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	KOL	S	150	49.01	n/a	n/a	0.00	0.0
LATEFF MGMT	035	KR	S	500	25.46	n/a	n/a	75.00	15.0
B BUCK CAPITAL MGMT		KSS	S	20,000	56.65	n/a	8-Jul	non-brg	4.0
AVESTA CAP	229	K	C	98,917	55.41	n/a	n/a	2,967.51	3.0
MILLRACE FUND LP	028	LEA	S	17,800	50.84	n/a	14-Jul	712.00	4.0
f MANNY I KORMAN	FID	LNCR	B	10000	26.65	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		LTD	S	50,000	40.70	n/a	n/a	non-brg	4.0
DALTON GREINER	012	MLI	S	26,400	45.83	n/a	27-Apr	1,320.00	5.0
CATAPULT	040	MWV	SS	10,000	32.88	n/a	19-Jul	400.00	4.0
TROUBH PART	070	M	B	50,000	30.01	n/a	8-Jul	2,500.00	5.0
f DAVID GEORGE BUCK	FID	NDN	B	1000	20.33	n/a	15-Jul	0.00	0.0
MACQUARIE INVESTMENT MGMT.	040	PG	S	5,000	64.60	n/a	20-Jun	0.00	0.0
LATEFF MGMT	035	PKG	B	500	27.46	n/a	19-Jul	75.00	15.0
RIDGECREST INV MGMT LLC	028	PKG	B	25,000	27.50	n/a	19-Jul	1,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SOROS	036	RBA	SS	15,000	27.72	n/a	n/a	600.00	4.0
LISTED ERR	099	RBA	SS	6,400	27.30	n/a	n/a	0.00	0.0
LISTED ERR	099	RBA	S	6,400	27.18	n/a	n/a	0.00	0.0
BALLAST CAP	040	RGC	B	6,000	11.41	n/a	n/a	180.00	3.0
TUDOR INVESTORS	028	RKT	B	5,000	60.74	n/a	n/a	150.00	3.0
TUDOR INVESTORS	028	RSG	B	3,000	29.69	n/a	n/a	90.00	3.0
f KAREN F LEDDY	FID	RUSHA	S	500	20.15	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	RYN	B	100	65.76	n/a	19-Jul	0.00	0.0
f JONATHAN RICHARD HAR	FID	SGI	B	120	15.99	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	SGI	B	1000	15.96	n/a	n/a	0.00	0.0
PILOT ADV	041	SHW	B	5,000	84.02	n/a	27-May	200.00	4.0
SIGMA CAPITAL ASSOCIATES	041	SHW	B	25,000	84.80	n/a	27-May	875.00	3.5
LISTED ERR	099	SHW	B	600	85.04	n/a	27-May	0.00	0.0
LISTED ERR	099	SHW	SS	600	83.64	n/a	27-May	0.00	0.0
SOUTH POINT CAP	044	SIRI	B	1,500,000	2.27	n/a	n/a	30,000.00	2.0
f REUBEN D DVORETSKY	FID	SKF	B	54	65.60	n/a	n/a	0.00	0.0
MACQUARIE INVESTMENT MGMT.	040	SMG	B	7,500	49.77	n/a	20-Jun	0.00	0.0
TUDOR INVESTORS	028	SMG	B	5,000	49.42	n/a	20-Jun	150.00	3.0
MACQUARIE INVESTMENT MGMT.	040	SPY	SS	2,500	131.84	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		SWFT	S	25,000	13.07	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SWFT	S	75,000	13.09	n/a	n/a	non-brg	4.0
MACQUARIE INVESTMENT MGMT.	040	SWK	SS	2,000	68.37	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	SYK	B	2000	58.63	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	297	TESO	S	5,700	21.65	n/a	n/a	228.00	4.0
f REUBEN D DVORETSKY	FID	TIP	B	56	112.16	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	TLB	B	3000	3.17	n/a	n/a	0.00	0.0
f REUBEN D DVORETSKY	FID	TLT	S	103	95.71	n/a	n/a	0.00	0.0
SUFFOLK CAPITAL MGMT	040	TXN	B	224,300	31.19	n/a	n/a	8,972.00	4.0
AVESTA CAP	229	UNH	S	100,000	50.69	n/a	n/a	3,000.00	3.0
f DAVID GEORGE BUCK	FID	UNH	S	2000	50.68	n/a	n/a	0.00	0.0
COBALT	041	UNP	SS	100,000	100.25	n/a	n/a	4,000.00	4.0
TUDOR INVESTORS	028	UNP	SS	2,000	100.43	n/a	n/a	60.00	3.0
SCOPUS FUND	041	URI	B	50,000	22.84	n/a	n/a	2,000.00	4.0
PARAMETER CAPITAL MGMT LLC	044	UTX	SS	50,000	89.19	n/a	n/a	2,000.00	4.0
SENATOR INVESTMENT GROUP	036	VAL	B	75,000	34.30	n/a	n/a	2,250.00	3.0
B BUCK CAPITAL MGMT		VECO	SS	30,000	41.28	n/a	n/a	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B</b> BUCK CAPITAL MGMT		<b>WNC</b>	<b>B</b>	<b>100,000</b>	<b>8.16</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>f</b> JOSEPH CIRO AMATURO	<b>FID</b>	<b>WNC</b>	<b>B</b>	<b>5000</b>	<b>8.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> JOSEPH CIRO AMATURO	<b>FID</b>	<b>WNC</b>	<b>B</b>	<b>5000</b>	<b>8.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> KAREN F LEDDY	<b>FID</b>	<b>WNC</b>	<b>B</b>	<b>800</b>	<b>8.56</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MACQUARIE INVESTMENT MGMT. 040	WISLA		B	5,000	5.03	n/a	n/a	0.00	0.0
T. ROWE PRICE	033	WY	B	349,400	22.06	n/a	19-Jul	10,962.00	3.3
MACQUARIE INVESTMENT MGMT. 040	XLE		B	3,000	77.14	n/a	n/a	0.00	0.0
MACQUARIE INVESTMENT MGMT. 040	XLE		SS	3,000	77.62	n/a	n/a	0.00	0.0
JANA CAPITAL	044	XLI	C	100,000	36.53	n/a	n/a	4,000.00	4.0
LATEFF MGMT	035	XOM	S	150	83.12	n/a	n/a	45.00	30.0
TUDOR INVESTORS	028	X	S	5,000	42.68	n/a	n/a	150.00	3.0
<b>f</b> CHRISTOPHER ROBERT C	<b>FID</b>	<b>ZAGG</b>	<b>B</b>	<b>400</b>	<b>14.78</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>S</b>	<b>55000</b>	<b>104.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>TOTAL (Trade Date):</b>								<b>138,245.81</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CRT	07/18	COOPER CREEK PART	028	AXL	B	50,000	11.13	n/a 14-Jul 2000.00	4.0
AO,CXL	07/18	COOPER CREEK PART	028	AXL	B	50,000	11.13	n/a 14-Jul 2000.00	4.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>0.00</b>
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TOTAL (Trade Date) :	138,245.81
TOTAL (AO, CXL, CRT) :	0.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>138,245.81</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 19-Jul.  
NONE

MRI Securities without Trade Activity on 19-Jul.  
AVY, BA

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 0%  
YTD = 3%

<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)