



Daily Compliance Activity Report

Trade Date: 08/05/2011

Potential ANALYST TRADE Violations: 0

Watch List **ACTIVITY ALERT: 1**

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	AAPL	S	300	374.15	n/a	n/a	9.00	3.0
TUDOR INVESTORS	028	ABH	SS	4,700	16.41	n/a	n/a	141.00	3.0
EPOCH INV MGMT	030	ABT	S	1,850	50.32	n/a	n/a	55.50	3.0
EPOCH INV MGMT	030	AET	S	2,350	37.54	n/a	n/a	70.50	3.0
EPOCH INV MGMT	030	AMAT	S	3,800	11.46	n/a	n/a	114.00	3.0
EPOCH INV MGMT	030	AMP	S	2,350	47.38	n/a	n/a	70.50	3.0
CASTLEROCK	040	AMZN	B	30,817	202.67	n/a	n/a	1,232.68	4.0
f MARY CATHERI MADIGA	FID	APC	B	95	70.24	n/a	26-Jul	0.00	0.0
f KAREN F LEDDY	FID	ARCO	S	1500	24.66	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ARO	C	50,000	12.76	n/a	5-Aug	non-brg	4.0
f MATTHEW FRANCIS BUCK	FID	ASH	S	300	53.12	n/a	3-Aug	0.00	0.0
CYRUS CAPITAL	025	AWI	B	25,000	33.10	n/a	n/a	750.00	3.0
TUDOR INVESTORS	028	AWI	B	5,000	34.81	n/a	n/a	150.00	3.0
f CHRISTOPHER ROBERT C	FID	AXL	B	300	9.69	n/a	1-Aug	0.00	0.0
TRELLUS PARTNERS LP	028	AXL	C	100,000	9.61	n/a	1-Aug	3,000.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EPOCH INV MGMT	030	AXP	S	1,650	47.45	n/a	5-Aug	49.50	3.0
f AMY O'BANNON	FID	BACPRC	S	600	22.14	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BAC	S	500,000	8.22	n/a	19-Jul	non-brg	3.0
B BUCK CAPITAL MGMT		BA	S	82,200	61.79	n/a	29-Jul	non-brg	4.0
EPOCH INV MGMT	030	BA	S	1,650	62.74	n/a	29-Jul	49.50	3.0
EPOCH INV MGMT	030	BEN	S	400	118.09	n/a	2-Mar	12.00	3.0
f JOSEPH CIRO AMATURO	FID	BGZ	B	3000	46.71	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	BLK	S	350	162.28	n/a	n/a	10.50	3.0
MA CAPITAL MGMT/MELLON ADV041		BODY	B	10,000	19.61	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		BWLD	SS	20,000	57.70	n/a	n/a	non-brg	4.0
Õ Nilsa Vazquez		BZH	B	2000	2.21	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	CAT	SS	5,000	90.76	n/a	25-Jul	150.00	3.0
AMBER CAPITAL	046	CHTR	S	167,908	45.98	n/a	n/a	6,716.32	4.0
CYRUS CAPITAL	025	CIT	B	70,000	34.78	n/a	26-Jul	2,100.00	3.0
f MARC PAUL LUCHANSKY	FID	COF	B	1000	42.79	n/a	5-Aug	0.00	0.0
f DAVID GEORGE BUCK	FID	CONG	S	2000	45.57	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f KAREN F LEDDY	FID	CPN	S	3000	14.96	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	CRMB	S	2000	11.47	n/a	n/a	0.00	0.0
f JASON ERIC COHEN	FID	CVGI	B	250	8.11	n/a	n/a	0.00	0.0
f KEVIN MICHAEL O'GORM	FID	CVGI	S	4200	8.12	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		C	S	150,000	32.89	n/a	18-Jul	non-brg	4.0
f NICOLAS EVAN PAKLER	FID	C	S	320	32.92	n/a	18-Jul	0.00	0.0
B BUCK CAPITAL MGMT		DDS	B	10,000	52.55	n/a	n/a	non-brg	4.0
CYRUS CAPITAL	025	DD	SS	20,000	45.98	n/a	28-Jul	600.00	3.0
f MATTHEW FRANCIS BUCK	FID	DD	B	300	47.65	n/a	28-Jul	0.00	0.0
B BUCK CAPITAL MGMT		DECK	S	10,000	88.22	n/a	n/a	non-brg	4.0
SURVEYOR CAPITAL	041	DE	B	3,000	71.19	n/a	19-May	90.00	3.0
NEUBERGER BERMAN	036	DFT	B	16,300	22.30	n/a	n/a	652.00	4.0
SANDLER CAPITAL	028	DISCK	S	50,000	32.84	n/a	n/a	2,000.00	4.0
B BUCK CAPITAL MGMT		DRI	C	30,000	48.75	n/a	11-Jul	non-brg	4.0
f HARALAMBOS EFSTATHI	FID	DRR	B	300	38.40	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	DRR	B	1000	38.75	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	DRR	S	1000	38.28	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		DSW	S	12,000	47.95	n/a	11-Feb	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B	BUCK CAPITAL MGMT		DSW	S	20,000	47.27	n/a	11-Feb	non-brg	4.0
B	BUCK CAPITAL MGMT		EAT	C	100,000	22.29	n/a	5-Aug	non-brg	4.0
	ENTRUST CAPITAL	040	EAT	B	30,100	21.84	n/a	5-Aug	1,505.00	5.0
f	DAVID GEORGE BUCK	FID	EPP	S	2000	42.29	n/a	n/a	0.00	0.0
f	MATTHEW FRANCIS BUCK	FID	EPP	S	400	42.21	n/a	n/a	0.00	0.0
	NEUBERGER BERMAN	036	EQY	B	21,300	17.07	n/a	n/a	852.00	4.0
Õ	Nilsa Vazquez		ERJ	B	300	24.03	n/a	n/a	0.00	0.0
f	JONATHAN RICHARD HAR	FID	ETAK	S	8300	2.96	n/a	n/a	0.00	0.0
	SURVEYOR CAPITAL	041	ETN	S	2,000	41.25	n/a	25-Jul	60.00	3.0
f	JONATHAN RICHARD HAR	FID	EXPR	S	1100	18.48	n/a	n/a	0.00	0.0
	BMO NESBITT BURNS	041	FL	B	5,000	18.80	n/a	2-Aug	200.00	4.0
	MA CAPITAL MGMT/MELLON ADV041	FL	B	10,000	18.60	n/a	2-Aug	500.00	5.0	
B	BUCK CAPITAL MGMT		FOSL	S	20,000	110.31	n/a	n/a	non-brg	4.0
f	KAREN F LEDDY	FID	FRED	B	1900	11.23	n/a	n/a	0.00	0.0
	BUCK CAPITAL MGMT	001	GES	B	10,000	34.20	n/a	18-Jul	300.00	3.0
	BUCK CAPITAL MGMT	001	GIL	S	9,500	25.98	5-Aug	5-Aug	285.00	3.0
	BUCK CAPITAL MGMT	001	GS	B	35,000	128.39	n/a	19-Jul	1,050.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		GS	S	35,000	125.56	n/a	19-Jul	non-brg	4.0
ACK ASSET	028	HBI	B	6,900	27.32	n/a	21-Jul	207.00	3.0
B BUCK CAPITAL MGMT		HBI	S	50,000	26.33	n/a	21-Jul	non-brg	4.0
f DAVID GEORGE BUCK	FID	HDV	B	1500	49.35	n/a	n/a	0.00	0.0
f KEVIN MICHAEL O'GORM	FID	HH	S	34167	0.84	n/a	n/a	0.00	0.0
BALLAST CAP	040	HNZ	B	12,400	50.58	n/a	n/a	620.00	5.0
f KEVIN MICHAEL O'GORM	FID	HOTT	S	3000	6.97	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	HUN	B	300	12.70	n/a	n/a	0.00	0.0
SENATOR INVESTMENT GROUP	036	HUN	S	100,000	12.64	n/a	n/a	3,000.00	3.0
f JOSEPH CIRO AMATURO	FID	IGD	S	20000	9.40	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		IR	B	30,000	33.23	n/a	21-Jul	non-brg	4.0
TUDOR INVESTORS	028	ITT	S	15,000	49.03	n/a	4-May	450.00	3.0
B BUCK CAPITAL MGMT		ITW	S	22,438	46.20	n/a	27-Jul	non-brg	4.0
f JASON ERIC COHEN	FID	IWM	S	2	7.85	n/a	n/a	0.00	0.0
f JOHN FRANCIS MCERLEA	FID	JCI	B	100	33.04	n/a	20-Jul	0.00	0.0
THE JAY GOLDMAN	028	JCP	B	25,000	27.79	n/a	5-Aug	1,000.00	4.0
f DAVID GEORGE BUCK	FID	JPM	S	1000	37.82	n/a	14-Jul	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRUSTCO/SUNTRUST	040	JPM	B	25,000	38.60	n/a	14-Jul	875.00	3.5
BUCK CAPITAL MGMT	001	JWN	B	150,000	43.56	n/a	5-Aug	4,500.00	3.0
BUCK CAPITAL MGMT		JWN	C	30,000	44.00	n/a	5-Aug	non-brg	4.0
DAVID GEORGE BUCK	FID	KO	B	1000	66.86	n/a	20-Jul	0.00	0.0
NEUBERGER BERMAN	036	KRC	B	10,500	34.38	n/a	n/a	420.00	4.0
INVESCO	031	KR	B	500,948	23.62	n/a	n/a	20,037.92	4.0
BUCK CAPITAL MGMT		KSS	C	10,000	46.97	n/a	5-Aug	non-brg	4.0
BUCK CAPITAL MGMT		KSS	C	40,000	47.82	n/a	5-Aug	non-brg	4.0
BUCK CAPITAL MGMT		KSS	C	70,000	46.97	n/a	5-Aug	non-brg	4.0
THE JAY GOLDMAN	028	KSS	SS	15,000	46.94	n/a	5-Aug	600.00	4.0
BASIX	033	LEA	B	7,000	44.35	n/a	5-Aug	210.00	3.0
BUCK CAPITAL MGMT		LEA	B	10,000	43.51	n/a	5-Aug	non-brg	4.0
BUCK CAPITAL MGMT		LEA	B	20,000	43.53	n/a	5-Aug	non-brg	1.0
MARC PAUL LUCHANSKY	FID	LEA	B	500	43.52	n/a	5-Aug	0.00	0.0
OZ MGMT	040	LEA	S	67,901	42.37	n/a	5-Aug	2,037.03	3.0
TUDOR INVESTORS	028	LEA	B	5,000	43.12	n/a	5-Aug	150.00	3.0
TUDOR INVESTORS	028	LEA	S	3,000	44.40	n/a	5-Aug	90.00	3.0
ASCEND PARTNERS	033	LMT	SS	25,000	73.02	n/a	27-Jul	1,000.00	4.0
NICOLAS EVAN PAKLER	FID	LULU	S	120	51.58	n/a	10-Jun	0.00	0.0
NICOLAS EVAN PAKLER	FID	LVS	S	230	39.89	n/a	13-Jun	0.00	0.0
TUDOR INVESTORS	028	MHK	SS	2,000	49.22	n/a	n/a	60.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f EDWARD W WHEELER	FID	MITSY	S	1250	339.57	n/a	n/a	0.00	0.0
BNP PARIBAS SEC	040	MMM	SS	10,000	82.00	n/a	3-Aug	500.00	5.0
f MANNY I KORMAN	FID	MMM	B	1000	83.05	n/a	3-Aug	0.00	0.0
B BUCK CAPITAL MGMT		MON	S	5,202	67.66	n/a	11-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		MPER	S	50,000	12.81	n/a	13-Jun	non-brg	2.5
SURVEYOR CAPITAL	041	MSI	SS	3,000	40.72	n/a	n/a	90.00	3.0
B BUCK CAPITAL MGMT		MSMSBCD	C	792,797	89.47	n/a	n/a	non-brg	0.2
B BUCK CAPITAL MGMT		MSMSBCD	SS	792,797	89.47	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		MSMSBCM	C	6,708,516	89.42	n/a	n/a	non-brg	0.2
B BUCK CAPITAL MGMT		MSMSBCM	SS	187,000	88.87	n/a	n/a	non-brg	7.1
B BUCK CAPITAL MGMT		MSMSBCM	SS	6,708,516	89.42	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		MS	S	150,000	20.08	n/a	29-Jul	non-brg	4.0
f KAREN F LEDDY	FID	MS	S	1300	20.00	n/a	29-Jul	0.00	0.0
DELTEC ASSET MGMT.	040	MTW	S	22,000	11.33	n/a	28-Jul	1,100.00	5.0
TUDOR INVESTORS	028	MTW	B	10,000	11.31	n/a	28-Jul	300.00	3.0
f CHRISTOPHER ROBERT C	FID	M	B	200	26.30	n/a	5-Aug	0.00	0.0
f MARY CATHERI MADIGA	FID	M	S	260	25.78	n/a	5-Aug	0.00	0.0
f KEVIN MICHAEL O'GORM	FID	NDN	S	1000	18.07	n/a	15-Jul	0.00	0.0
BMO NESBITT BURNS	041	NKE	B	2,000	84.00	n/a	1-Jul	80.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f EDWARD W WHEELER	FID	NLC	B	5000	32.66	n/a	n/a	0.00	0.0
SCOPUS FUND	041	NLSN	S	1,100	27.17	n/a	n/a	44.00	4.0
f JOSEPH CIRO AMATURO	FID	NLY	S	10000	17.75	n/a	n/a	0.00	0.0
LATEFF MGMT	035	NUE	B	2,250	35.25	n/a	n/a	387.00	20.4
f DANIEL JORDAN COHEN	FID	NX	B	85	12.99	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	OC	S	5,000	28.55	n/a	n/a	150.00	3.0
f DAVID GEORGE BUCK	FID	PEI	B	2000	12.16	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	PEI	B	500	12.21	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	PG	S	1000	61.03	n/a	5-Aug	0.00	0.0
B BUCK CAPITAL MGMT		PLCE	B	20,000	40.97	n/a	8-Jun	non-brg	4.0
f MANNY I KORMAN	FID	PLCE	B	2000	41.41	n/a	8-Jun	0.00	0.0
B BUCK CAPITAL MGMT	001	PVH	S	21,237	63.43	n/a	18-Jul	637.11	3.0
B BUCK CAPITAL MGMT		PVH	S	10,000	63.09	n/a	18-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		RL	C	30,000	122.82	n/a	18-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		RRR	B	75,000	9.33	n/a	22-Jul	non-brg	3.0
DELTEC ASSET MGMT.	040	RRR	B	25,000	9.48	n/a	22-Jul	1,250.00	5.0
ELM RIDGE ADVISORS	044	RYN	B	39,000	57.90	n/a	1-Aug	1,560.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		R	B	20,000	49.19	n/a	n/a	non-brg	1.0
f MANNY I KORMAN	FID	SBUX	B	1000	36.10	n/a	29-Jul	0.00	0.0
WALL STREET CAPITAL	084	SBUX	S	5,000	36.12	n/a	29-Jul	225.00	4.5
FARALLON CAP MGMT	040	SCHW	B	75,000	13.70	n/a	n/a	2,250.00	3.0
f RAVI SADARANGANI	FID	SDS	S	1000	24.38	n/a	n/a	0.00	0.0
APEX CAPITAL MGMT.	261	SD	S	75,000	8.11	n/a	n/a	2,250.00	3.0
B BUCK CAPITAL MGMT		SD	B	10,000	8.31	n/a	n/a	non-brg	2.5
f JONATHAN RICHARD HAR	FID	SGI	B	690	13.43	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	SGI	S	691	12.88	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	SIJ	S	10000	57.64	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SKX	C	40,000	15.04	n/a	n/a	non-brg	4.0
f JOHN MICHAEL ZOLIDIS	FID	SKX	B	300	15.10	n/a	n/a	0.00	0.0
BRIGADE CAPITAL MGMT	029	SMH	SS	50,000	29.28	n/a	n/a	1,500.00	3.0
f DAVID GEORGE BUCK	FID	SPY	S	15	2.35	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SWN	B	10,000	39.50	n/a	29-Jul	non-brg	4.0
f NILSA VAZQUEZ	FID	TACT	B	1000	10.50	n/a	n/a	0.00	0.0
Ñ Nilsa Vazquez		TACT	B	1000	10.50	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	TGT	S	25,000	48.51	n/a	4-Aug	750.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TALKOT CAPITAL LLC	084	TIN	B	40,000	26.55	n/a	4-Aug	1,600.00	4.0
WEDBUSH/PACIFIC GROWTH EQTY LLC	084	TIN	B	15,000	26.61		n/a 4-Aug	600.00	4.0
f JONATHAN RICHARD HAR	FID	TZA	B	800	49.91	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	TZA	B	3000	52.12	n/a	n/a	0.00	0.0
f NICOLAS EVAN PAKLER	FID	UA	S	220	61.12	n/a	27-Jul	0.00	0.0
TUDOR INVESTORS	028	URI	B	5,000	17.52	n/a	n/a	150.00	3.0
TUDOR INVESTORS	028	URI	SS	5,000	18.65	n/a	n/a	150.00	3.0
f JASON ERIC COHEN	FID	USO	S	6	2.00	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	VMC	SS	3,000	33.51	n/a	n/a	90.00	3.0
BAIRD INVESTMENT	047	WBC	B	10,725	51.75	n/a	1-Aug	536.25	5.0
f MANNY I KORMAN	FID	WBC	B	1000	52.15	n/a	1-Aug	0.00	0.0
f MARC PAUL LUCHANSKY	FID	WFM	S	200	58.40	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		WNC	B	200,000	5.67	n/a	n/a	non-brg	3.0
f JOSEPH CIRO AMATURO	FID	WNC	S	10000	5.50	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	WNC	S	15000	5.43	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		WRC	S	40,000	49.90	n/a	2-Aug	non-brg	4.0
EPOCH INV MGMT	030	WRC	B	32,900	50.47	n/a	2-Aug	987.00	3.0
BMO NESBITT BURNS	041	WWW	SS	3,000	35.89	n/a	n/a	120.00	4.0

TOTAL (Trade Date):

75,838.31

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/04	BASIX	033	JNY	B	45,000	11.56	n/a	28-Jul	1350.00 3.0
AO,CRT	08/04	BASIX	033	JNY	B	45,000	11.56	n/a	28-Jul	1350.00 3.0
AO,	08/04	NCM CAPITAL MGMT	035	NCR	S	264,476	18.24	n/a	n/a	10579.04 4.0

TOTAL (AO, CXL, CRT) :**10,579.04**

TOTAL (Trade Date) :**75,838.31****TOTAL (AO, CXL, CRT) :****10,579.04**

TOTAL (RUN DATE) / NFS:**86,417.35**

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 5-Aug.

GIL

MRI Securities without Trade Activity on 5-Aug.

HD, SPR

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

T-Date = 7%

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)