



Daily Compliance Activity Report

Trade Date: 08/11/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PZENA INV ADV	044	AIG	B	13,425	23.35	n/a	n/a	469.88	3.5
ROBERTSON STEVENS BC	084	ALU	B	200,000	3.30	n/a	n/a	4,000.00	2.0
GLENHILL CAPITAL	036	AMTD	S	200,000	14.12	n/a	n/a	10,000.00	5.0
f CHRISTOPHER ROBERT C	FID	AN	B	200	33.45	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	AONE	S	1000	3.76	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	AON	B	4,800	44.23	n/a	n/a	192.00	4.0
TUDOR INVESTORS	028	ARG	B	3,000	60.34	n/a	n/a	90.00	3.0
B BUCK CAPITAL MGMT		ARO	C	50,000	11.76	n/a	n/a	non-brg	4.0
DENVER INST. ADV	046	ATML	B	177,700	10.24	n/a	n/a	7,108.00	4.0
TOCQUEVILLE	035	AVY	B	25,000	26.24	n/a	n/a	1,250.00	5.0
DARUMA ASSET MGMT INC	046	AWI	B	15,400	33.16	n/a	n/a	616.00	4.0
BASIX	033	AXE	B	14,000	51.02	n/a	n/a	420.00	3.0
DC CAPITAL	044	AXE	B	19,105	49.95	n/a	n/a	764.20	4.0
FORWARD MGMT	033	AXE	S	10,000	50.06	n/a	n/a	400.00	4.0
CATAPULT	040	AXL	SS	15,400	9.29	n/a	n/a	616.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TRELLUS PARTNERS LP	028	AXL	C	50,000	9.33	n/a	n/a	1,500.00	3.0
ß BUCK CAPITAL MGMT		BAC	S	250,000	7.06	n/a	n/a	non-brg	3.0
Õ Jill Rosenberg		BAC	S	100	7.23	n/a	n/a	0.00	0.0
Õ Jill Rosenberg		BAC	S	236	7.23	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	BA	B	500	58.30	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		BX	S	1,300	12.73	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BX	S	1,600	12.73	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BX	S	1,900	12.73	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BX	S	2,200	12.73	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BX	S	200	12.78	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		BX	S	200	12.78	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		BX	S	200	12.78	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		BX	S	3,900	12.73	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BX	S	300	12.78	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		BX	S	49,900	12.73	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BX	S	5,800	12.73	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BX	S	500	12.78	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		BX	S	6,300	12.78	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		BX	S	700	12.78	n/a	n/a	non-brg	0.8
f CHRISTOPHER ROBERT C	FID	CAT	S	50	88.24	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	CHD	B	6,800	39.96	n/a	n/a	272.00	4.0
f WILLIAM J GAULT	FID	CHGS	B	20000	1.27	n/a	n/a	0.00	0.0
PZENA INV ADV	044	CIR	B	800	27.50	n/a	n/a	28.00	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MARC PAUL LUCHANSKY	FID	CVGI	B	2000	6.37	n/a	n/a	0.00	0.0
f RAVI SADARANGANI	FID	CVGI	B	1000	6.83	n/a	n/a	0.00	0.0
f RAVI SADARANGANI	FID	CVGI	B	1000	6.88	n/a	n/a	0.00	0.0
THIRD COAST CAPITAL	035	CVO	S	30,000	4.22	n/a	n/a	1,500.00	5.0
PZENA INV ADV	044	CW	B	4,400	28.11	n/a	n/a	154.00	3.5
SANDLER O'NEILL ASSET	031	C	B	25,000	29.43	n/a	n/a	1,250.00	5.0
B BUCK CAPITAL MGMT		DDS	S	10,000	51.26	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DDS	S	20,000	49.66	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DDS	S	30,000	49.66	n/a	n/a	non-brg	4.0
PROSPECTOR PARTNERS LLC	036	DD	B	5,200	45.93	n/a	n/a	208.00	4.0
f ALICE BEEBE LONGLEY	FID	DEFIX	S	3250	25.39	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		DG	C	30,000	31.73	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	DIS	B	1500	32.84	n/a	n/a	0.00	0.0
BNP PARIBAS SEC	040	EAT	S	50,100	23.04	n/a	n/a	2,505.00	5.0
TUDOR INVESTORS	028	EAT	S	25,000	23.29	n/a	n/a	750.00	3.0
f KAREN F LEDDY	FID	EGO	S	2900	18.96	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	ETN	B	500	39.98	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	FAZ	B	1000	62.91	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	JOSEPH CIRO AMATURO	FID	FAZ	B	1000	68.57	n/a	n/a	0.00	0.0
f	JILL ROSENBERG	FID	FCSAX	B	117	10.24	n/a	n/a	0.00	0.0
f	MARC PAUL LUCHANSKY	FID	FCSAX	B	137	10.24	n/a	n/a	0.00	0.0
	HOLLIS CAPITAL	033	FCX	B	2,000	45.00	n/a	n/a	100.00	5.0
f	PATRICK O'GRADY	FID	FDS	B	14	81.49	n/a	n/a	0.00	0.0
f	KAREN F LEDDY	FID	FIG	S	2800	3.65	n/a	n/a	0.00	0.0
f	JILL ROSENBERG	FID	FILEFX	B	182	8.23	n/a	n/a	0.00	0.0
f	MARC PAUL LUCHANSKY	FID	FILEFX	B	182	8.23	n/a	n/a	0.00	0.0
f	JILL ROSENBERG	FID	FPCIX	S	47	10.63	n/a	n/a	0.00	0.0
f	MARC PAUL LUCHANSKY	FID	FPCIX	S	160	10.63	n/a	n/a	0.00	0.0
f	MARC PAUL LUCHANSKY	FID	FSAMX	B	53	9.39	n/a	n/a	0.00	0.0
f	JILL ROSENBERG	FID	FSCFX	B	69	10.14	n/a	n/a	0.00	0.0
f	MARC PAUL LUCHANSKY	FID	FSCFX	B	79	10.14	n/a	n/a	0.00	0.0
f	JILL ROSENBERG	FID	FSGFX	B	154	11.03	n/a	n/a	0.00	0.0
f	MARC PAUL LUCHANSKY	FID	FSGFX	B	128	11.03	n/a	n/a	0.00	0.0
f	JILL ROSENBERG	FID	FSHBX	S	105	8.54	n/a	n/a	0.00	0.0
f	MARC PAUL LUCHANSKY	FID	FSHBX	S	59	8.54	n/a	n/a	0.00	0.0
f	JILL ROSENBERG	FID	FTBFX	S	118	11.04	n/a	n/a	0.00	0.0
f	MARC PAUL LUCHANSKY	FID	FTBFX	S	127	11.04	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f MARC PAUL LUCHANSKY	FID	FUSOX	B	54	9.20	n/a	n/a	0.00	0.0
NEWLAND CAPITAL MGT	025	GE	B	100,000	15.50	n/a	n/a	4,000.00	4.0
B BUCK CAPITAL MGMT		GLW	S	145,000	13.71	n/a	n/a	non-brg	4.0
CATAPULT	040	GM	SS	9,300	25.77	n/a	n/a	372.00	4.0
CORVEX CAPITAL	041	GM	SS	40,000	25.47	n/a	n/a	1,200.00	3.0
B BUCK CAPITAL MGMT		GPS	C	50,000	16.09	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	GS	S	700	119.28	n/a	n/a	0.00	0.0
LATEFF MGMT	035	HON	B	500	44.53	n/a	n/a	85.00	17.0
LATEFF MGMT	035	IP	B	2,000	25.28	n/a	n/a	200.00	10.0
BASIX	033	JNY	B	48,000	9.82	n/a	n/a	1,440.00	3.0
WEINTRAUB CAPITAL MGT.	040	JNY	B	100,000	9.82	n/a	n/a	3,000.00	3.0
B BUCK CAPITAL MGMT		JWN	SS	150,000	41.86	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		JWN	SS	250,000	41.85	n/a	n/a	non-brg	4.0
f RAVI SADARANGANI	FID	KELYA	S	1000	15.05	n/a	n/a	0.00	0.0
DENVER INST. ADV	046	KLAC	B	162,400	36.21	n/a	n/a	6,496.00	4.0
EVERCORE WEALTH MGMT	012	KO	S	10,745	66.35	n/a	n/a	537.25	5.0
B BUCK CAPITAL MGMT		KSS	SS	80,000	47.32	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		LEN	S	178,000	13.30	n/a	n/a	non-brg	4.0
f MARC PAUL LUCHANSKY	FID	LEN	B	1000	14.02	n/a	n/a	0.00	0.0
f RAVI SADARANGANI	FID	LPX	B	1000	6.49	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	MCD	B	800	86.86	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	MMM	B	1000	81.99	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		MON	S	101,198	67.55	n/a	n/a	non-brg	4.0
PIONEER PATH	028	MRK	B	100,000	31.03	n/a	n/a	3,000.00	3.0
f MARC PAUL LUCHANSKY	FID	MTW	B	500	10.63	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	MWV	B	5,000	26.05	n/a	n/a	150.00	3.0
f RAVI SADARANGANI	FID	MWW	B	1000	8.67	n/a	n/a	0.00	0.0
f RAVI SADARANGANI	FID	MWW	B	1000	8.76	n/a	n/a	0.00	0.0
THE JAY GOLDMAN	028	M	SS	10,000	25.77	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		NBD CN	S	50,000	9.94	n/a	n/a	non-brg	3.0
FORWARD MGMT	033	OMI	S	14,500	28.25	n/a	n/a	580.00	4.0
PROSPECTOR PARTNERS LLC	036	ORCL	B	5,300	27.09	n/a	n/a	212.00	4.0
B BUCK CAPITAL MGMT		OZM	S	1,000	11.02	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		OZM	S	1,400	11.08	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		OZM	S	1,700	11.02	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		OZM	S	2,000	11.08	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		OZM	S	2,100	11.08	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		OZM	S	2,200	11.19	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		OZM	S	2,600	11.02	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		OZM	S	2,600	11.08	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		OZM	S	2,900	11.19	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		OZM	S	22,500	11.02	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		OZM	S	3,100	11.19	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		OZM	S	3,900	11.19	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		OZM	S	4,300	11.08	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		OZM	S	56,000	11.08	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		OZM	S	6,400	11.19	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		OZM	S	6,600	11.08	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		OZM	S	600	11.02	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		OZM	S	800	11.02	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		OZM	S	800	11.02	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		OZM	S	84,000	11.19	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		OZM	S	9,800	11.19	n/a	n/a	non-brg	4.0
f KAREN F LEDDY	FID	PBR	S	400	28.05	n/a	n/a	0.00	0.0
BNP PARIBAS SEC	040	PCAR	B	30,000	36.54	n/a	n/a	1,500.00	5.0
ß BUCK CAPITAL MGMT		PCAR	S	60,000	35.95	n/a	n/a	non-brg	4.0
f MARC PAUL LUCHANSKY	FID	PCRRX	S	46	8.79	n/a	n/a	0.00	0.0
TALPION LLC	040	PCS	C	5,000	10.08	n/a	n/a	200.00	4.0
LATEFF MGMT	035	PG	B	500	60.17	n/a	n/a	85.00	17.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PROSPECTOR PARTNERS LLC	036	PG	B	7,500	59.09	n/a	n/a	300.00	4.0
B BUCK CAPITAL MGMT		PHM	S	289,300	4.44	n/a	n/a	non-brg	2.0
f MARC PAUL LUCHANSKY	FID	PKG	B	500	22.69	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	POT	B	3,000	53.17	n/a	n/a	90.00	3.0
f MARC PAUL LUCHANSKY	FID	PRGO	B	300	87.52	n/a	n/a	0.00	0.0
f JILL ROSENBERG	FID	PSFAX	S	41	9.84	n/a	n/a	0.00	0.0
f JILL ROSENBERG	FID	PTRAX	S	145	11.04	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	PTRAX	S	190	11.04	n/a	n/a	0.00	0.0
THIRD COAST CAPITAL	035	RRD	S	20,000	14.12	n/a	n/a	1,000.00	5.0
f CHRISTOPHER ROBERT C	FID	RRR	B	1000	7.81	n/a	n/a	0.00	0.0
TRUSTCO/SUNTRUST	040	RRR	B	50,000	8.05	n/a	n/a	1,750.01	3.5
TUDOR INVESTORS	028	RSG	B	10,000	26.44	n/a	n/a	300.00	3.0
f JASON ERIC COHEN	FID	RYL	B	500	10.64	n/a	n/a	0.00	0.0
COHE & STEERS	041	RYN	S	198,107	58.55	n/a	n/a	7,924.28	4.0
STELLIAM INV ADV	034	SEE	S	50,000	18.14	n/a	n/a	2,500.00	5.0
TALPION LLC	040	SEMG	B	5,000	18.68	n/a	n/a	200.00	4.0
B BUCK CAPITAL MGMT		SFER IM	S	30,000	14.72	n/a	n/a	non-brg	2.2

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f EDWARD W WHEELER	FID	SHS	S	1500	40.45	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	SKT	B	122,387	25.80	n/a	n/a	3,671.61	3.0
B BUCK CAPITAL MGMT		SLM	S	75,000	13.27	n/a	n/a	non-brg	4.0
f GAJANTHAN BALAKANES	FID	SODA	B	10	44.80	n/a	n/a	0.00	0.0
TALPION LLC	040	SPLS	C	5,000	13.14	n/a	n/a	200.00	4.0
f DAVID GEORGE BUCK	FID	SPY	S	1000	118.74	n/a	n/a	0.00	0.0
HUNTER GLOBAL INVESTOR	028	SPY	SS	830,000	114.82	n/a	n/a	24,900.00	3.0
f WILLIAM J GAULT	FID	SWN	S	1000	38.50	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SWY	C	50,000	17.87	n/a	n/a	non-brg	4.0
PERRY PARTNERS	085	SXC	S	50,000	12.16	n/a	n/a	2,500.00	5.0
FIRST NEW YORK LEDDY	035	S	B	20,000	3.10	n/a	n/a	800.00	4.0
STANDARD PACIFIC CAPITAL	040	TIN	B	160,000	26.97	n/a	n/a	8,000.00	5.0
LISTED ERR	099	TIN	B	19,900	26.50	n/a	n/a	0.00	0.0
LISTED ERR	099	TIN	S	19,900	26.16	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	TLB	S	5700	3.48	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	TMBCF	S	4000	3.07	n/a	n/a	0.00	0.0
ROSEDALE CAPITAL	046	TOT	S	10,000	45.74	n/a	n/a	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f JILL ROSENBERG	FID	TPINX	S	29	13.67	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	TYC	B	200	39.16	n/a	n/a	0.00	0.0
f THOMAS MACTAGGART LE	FID	URRE	S	1000	1.17	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		V	S	25,000	80.35	n/a	n/a	non-brg	1.0
f MARC PAUL LUCHANSKY	FID	WCRX	B	500	17.45	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	WM	SS	10,000	30.83	n/a	n/a	300.00	3.0
f WILLIAM J GAULT	FID	WNC	S	5000	5.52	n/a	n/a	0.00	0.0
COOPER CREEK PART	028	WPP	B	10,000	6.11	n/a	n/a	300.00	3.0
DAVIDSON INV ADV	035	WSH	S	24,584	34.72	n/a	n/a	983.36	4.0
RAINIER INV MGMT	035	WWD	B	42,770	28.90	n/a	n/a	1,710.80	4.0
LATEFF MGMT	035	XOM	B	500	71.15	n/a	n/a	85.00	17.0
f RAVI SADARANGANI	FID	XPO	B	2000	3.28	n/a	n/a	0.00	0.0
HOLLIS CAPITAL	033	YUM	B	10,000	50.37	n/a	n/a	500.00	5.0
TOTAL (Trade Date) :							116,165.39		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	08/10	PROSPECTOR PARTNERS LLC	036	CW	B	3,200	28.22	n/a	n/a	128.00 4.0
AO,CXL	08/10	PROSPECTOR PARTNERS LLC	036	CW	B	3,200	28.22	n/a	n/a	128.00 4.0
AO,CRT	08/08	DC CAPITAL	044	LPX	B	25,000	6.26	n/a	n/a	750.00 3.0
AO,CXL	08/08	DC CAPITAL	044	LPX	B	25,000	6.26	n/a	n/a	1000.00 4.0
TOTAL (AO, CXL, CRT) :										-250.00

TOTAL (Trade Date) :	116,165.39
TOTAL (AO, CXL, CRT) :	-250.00

TOTAL (RUN DATE) / NFS :	115,915.39
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	08/10	BUCK CAPITAL MGMT	SODA 9 C80	SS	750	5.92	n/a	n/a	2250.00 300.0

MRI Securities with Trade Activity on 11-Aug.
NONE

MRI Securities without Trade Activity on 11-Aug.
NONE

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)