



Daily Compliance Activity Report

Trade Date: 08/30/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEFF MGMT	035	AA	B	1,000	12.41	n/a	n/a	100.00	10.0
LATEFF MGMT	035	ALL	B	200	26.01	n/a	n/a	50.00	25.0
HIGHBRIDGE CAP	041	ANF	B	4,000	63.24	n/a	18-Aug	120.00	3.0
METROPOLITAN CAPITAL	044	ARO	S	4,300	11.35	n/a	19-Aug	215.00	5.0
OHIO PERS	047	BA	S	20,000	65.97	n/a	25-Aug	600.00	3.0
ASCEND PARTNERS	033	BIG	B	17,025	33.48	n/a	25-Aug	510.75	3.0
BMO NESBITT BURNS	041	BIG	B	3,000	33.70	n/a	25-Aug	150.00	5.0
BESSEMER INVESTMENT	085	CAB	S	1,792	23.22	n/a	n/a	71.68	4.0
LATEFF MGMT	035	CBL	B	300	14.73	n/a	n/a	33.00	11.0
CHESAPEAKE PARTNERS	028	CCI	S	6,000	42.30	n/a	n/a	180.00	3.0
STATE TEACHERS RET SYS	047	CHD	B	20,000	43.57	n/a	5-Aug	1,000.00	5.0
B BUCK CAPITAL MGMT		CHEF	S	15,000	14.30	n/a	n/a	non-brg	1.0
HIGHBRIDGE CAP	041	CHS	SS	18,000	13.87	n/a	5-Feb	540.00	3.0
MERRILL ASSET/BLACKROCK	297	CNA	S	14,100	23.75	n/a	n/a	564.00	4.0
HIGHBRIDGE CAP	041	COH	B	5,000	55.67	n/a	3-Aug	150.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f DAVID GEORGE BUCK	FID	CPN	S	239	14.23	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	CPN	S	34	14.22	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CROX	S	30,000	28.18	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		CSTR	S	40,000	46.02	n/a	n/a	non-brg	4.0
f BARBARA S LEDDY	FID	CVGI	B	600	7.10	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	CVGI	B	2100	7.03	n/a	n/a	0.00	0.0
f SEAN F LEDDY	FID	CVGI	B	300	7.10	n/a	n/a	0.00	0.0
f THOMAS MACTAGGART LE	FID	CVGI	B	200	7.09	n/a	n/a	0.00	0.0
COBALT	041	CX	SS	100,000	5.27	n/a	n/a	3,000.00	3.0
BMO NESBITT BURNS	041	DG	B	3,000	35.70	30-Aug	30-Aug	150.00	5.0
BESSEMER INVESTMENT	085	DIS	B	100	33.00	n/a	n/a	4.00	4.0
TALPION LLC	040	DSW	SS	5,000	48.75	n/a	11-Feb	200.00	4.0
KACELA CAPITAL	034	ETN	B	65,000	42.67	n/a	18-Aug	2,600.00	4.0
f KAREN F LEDDY	FID	FCH	B	1400	3.11	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	FDO	SS	2,000	50.82	n/a	1-Jul	100.00	5.0
ß BUCK CAPITAL MGMT		FOSL	S	30,000	99.90	n/a	n/a	non-brg	1.0
BMO NESBITT BURNS	041	FRED	SS	2,000	11.17	n/a	n/a	100.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
STATE TEACHERS RET SYS	047	FSP	B	5,000	12.74	n/a	n/a	250.00	5.0	
BUCK CAPITAL MGMT	001	GCO	S	30,000	49.50	n/a	n/a	900.00	3.0	
THOMAS WEISEL ASSET MGMT	035	GES	S	7,923	34.47	n/a	25-Aug	237.69	3.0	
BESSEMER INVESTMENT	085	GE	B	475	15.82	n/a	n/a	19.00	4.0	
B	BUCK CAPITAL MGMT	GIII	S	2,500	26.76	n/a	n/a	non-brg	1.0	
B	BUCK CAPITAL MGMT	GIII	S	24,300	27.03	n/a	n/a	non-brg	4.0	
f	NICOLAS EVAN PAKLER	FID	GMCR	B	120	100.54	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT	HANS	S	55,500	89.41	n/a	n/a	non-brg	2.5	
WEDBUSH/PACIFIC GROWTH EQTY LLC	084	HD		SS	15,000	33.44	n/a	16-Aug	600.00	4.0
HOTCHKIS & WILEY	035	HOG	S	267,600	37.53	n/a	n/a	10,704.00	4.0	
BESSEMER INVESTMENT	085	HON	B	100	46.46	n/a	18-Aug	4.00	4.0	
STATE TEACHERS RET SYS	047	HST	S	10,000	11.35	n/a	13-Jun	500.00	5.0	
BESSEMER INVESTMENT	085	IP	B	75	26.67	n/a	4-Aug	3.00	4.0	
BASIX	033	IWO	SS	12,000	83.61	n/a	n/a	360.00	3.0	
HIGHBRIDGE CAP	041	JCP	SS	9,500	27.26	n/a	29-Aug	285.00	3.0	
f	DAVID GEORGE BUCK	FID	JNJ	S	1000	65.46	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	MATTHEW FRANCIS BUCK	FID	JNJ	S	300	65.49	n/a	n/a	0.00	0.0
f	CHRISTOPHER ROBERT C	FID	JNY	B	500	11.65	n/a	28-Jul	0.00	0.0
	BESSEMER INVESTMENT	085	JPM	B	75	37.08	n/a	24-Aug	3.00	4.0
f	JOHN MICHAEL ZOLIDIS	FID	KMX	B	200	27.74	n/a	n/a	0.00	0.0
f	DAVID GEORGE BUCK	FID	KO	B	300	70.05	n/a	20-Jul	0.00	0.0
	JP MORGAN VENTURES	046	KR	B	25,000	23.37	n/a	n/a	1,000.00	4.0
	BUCK CAPITAL MGMT	001	KSS	SS	20,000	46.55	n/a	29-Aug	600.00	3.0
	HIGHBRIDGE CAP	041	KSS	S	22,000	46.80	n/a	29-Aug	660.00	3.0
f	CHRISTOPHER ROBERT C	FID	LEA	S	100	46.66	n/a	5-Aug	0.00	0.0
	ROSEDALE CAPITAL	046	LPX	B	10,000	6.60	n/a	5-Aug	300.00	3.0
	WEINTRAUB CAPITAL MGT.	040	LPX	S	100,000	6.61	n/a	5-Aug	3,000.00	3.0
	DAVIDSON INV ADV	035	MDU	S	89,714	21.19	n/a	n/a	3,588.56	4.0
	PIONEER PATH	028	MO	B	100,000	27.07	n/a	n/a	3,000.00	3.0
B	BUCK CAPITAL MGMT		MSMSBCM	SS	177,900	90.79	n/a	n/a	non-brg	7.3
f	CHRISTOPHER ROBERT C	FID	M	S	200	26.42	n/a	29-Aug	0.00	0.0
	CAMBIAR CAP	046	NAV	B	65,000	41.37	n/a	10-Aug	2,600.00	4.0
	BESSEMER INVESTMENT	085	NEU	S	383	165.80	n/a	n/a	15.32	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f EDWARD W WHEELER	FID	NLC	S	5000	35.74	n/a	n/a	0.00	0.0
WATERFRONT CAP	028	OC	S	92,648	28.66	n/a	n/a	3,705.92	4.0
STATE TEACHERS RET SYS	047	OFC	B	10,000	26.69	n/a	n/a	500.00	5.0
f DAVID GEORGE BUCK	FID	PEP	S	200	64.52	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	PFE	B	350	18.62	n/a	n/a	14.00	4.0
f JASON ERIC COHEN	FID	PHM	S	7	0.92	n/a	n/a	0.00	0.0
CSFB GLOBAL PROPRIETARY	041	PKG	S	25,000	24.97	n/a	4-Aug	1,250.00	5.0
B BUCK CAPITAL MGMT		PLCE	S	10,000	40.99	n/a	18-Aug	non-brg	4.0
B BUCK CAPITAL MGMT		PLCE	S	40,000	41.59	n/a	18-Aug	non-brg	4.0
f DAVID GEORGE BUCK	FID	PM	B	1000	70.17	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	PSMT	S	1,053	61.39	n/a	n/a	42.12	4.0
METROPOLITAN CAPITAL	044	PSS	B	7,200	13.44	n/a	n/a	360.00	5.0
B BUCK CAPITAL MGMT		PVH	S	100,000	64.00	n/a	18-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		PVH	S	20,000	63.53	n/a	18-Jul	non-brg	4.0
BESSEMER INVESTMENT	085	QCOM	B	15	50.39	n/a	n/a	0.60	4.0
B BUCK CAPITAL MGMT		RCL	S	30,000	25.40	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f DAVID GEORGE BUCK	FID	RDSB	S	200	65.88	n/a	n/a	0.00	0.0
HIGHBRIDGE CAP	041	ROST	B	3,500	75.68	n/a	n/a	105.00	3.0
f JOHN MICHAEL ZOLIDIS	FID	SBUX	B	200	38.65	n/a	29-Jul	0.00	0.0
B BUCK CAPITAL MGMT		SFER IM	S	225,000	17.75	n/a	n/a	non-brg	2.7
LATEFF MGMT	035	SFG	S	450	30.56	n/a	n/a	100.00	22.5
RAINIER INV MGMT	035	SFY	B	112,360	30.32	n/a	n/a	4,494.40	4.0
NEWLAND CAPITAL MGT	025	SOA	S	10,000	17.41	n/a	n/a	400.00	4.0
PAULSON & CO INC	041	SPY	SS	95,000	121.53	n/a	n/a	3,800.00	4.0
LATEFF MGMT	035	TCB	S	125	10.31	n/a	n/a	31.25	25.0
LATEFF MGMT	035	TEVA	S	175	40.63	n/a	22-Aug	17.50	10.0
BASIX	033	TEX	B	29,000	16.19	n/a	22-Jul	870.00	3.0
f KAREN F LEDDY	FID	TEX	B	1000	16.09	n/a	22-Jul	0.00	0.0
B BUCK CAPITAL MGMT		TGT	B	30,000	51.16	n/a	17-Aug	non-brg	4.0
HIGHBRIDGE CAP	041	TGT	B	5,000	51.29	n/a	17-Aug	150.00	3.0
DELTEC ASSET MGMT.	040	TKR	B	10,000	38.20	n/a	n/a	0.00	0.0
HUNTER GLOBAL INVESTOR	028	TXT	B	35,000	16.70	n/a	n/a	1,400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OHIO PERS	047	TXT	B	70,000	16.75	n/a	n/a	2,100.00	3.0
f JOSEPH CIRO AMATURO	FID	TZA	B	1000	41.28	n/a	n/a	0.00	0.0
LATEFF MGMT	035	UAL	S	1,000	18.80	n/a	n/a	100.00	10.0
B BUCK CAPITAL MGMT		UA	S	10,000	71.90	n/a	27-Jul	non-brg	2.0
B BUCK CAPITAL MGMT		UA	S	40,000	72.36	n/a	27-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		URBN	S	70,000	25.39	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		URBN	S	80,000	25.43	n/a	n/a	non-brg	4.0
f KAREN F LEDDY	FID	WNC	B	1700	5.70	n/a	n/a	0.00	0.0
f BARBARA S LEDDY	FID	XPO	B	1800	2.99	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	XPO	B	500	3.00	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	XPO	B	6000	3.01	n/a	n/a	0.00	0.0
f SEAN F LEDDY	FID	XPO	B	830	3.02	n/a	n/a	0.00	0.0
LEVIN CAPITAL STRATEGIES	012	XRT	C	38,000	49.45	n/a	n/a	1,140.00	3.0
GEORGE WEISS	034	YUM	B	14,000	54.00	n/a	10-Aug	560.00	4.0
TUDOR INVESTORS	028	ZUMZ	SS	21,181	19.41	n/a	n/a	635.43	3.0
f JOHN BARTMAN COLE	FID		B	23500	0.15	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								60,844.22	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/29	EPOCH INV MGMT	030	TUP	S	10,000	65.68	n/a	n/a	300.00 3.0
TOTAL (AO, CXL, CRT) :										300.00

TOTAL (Trade Date):	60,844.22
TOTAL (AO, CXL, CRT):	300.00
TOTAL (RUN DATE) / NFS:	61,144.22

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 30-Aug.

DG

MRI Securities without Trade Activity on 30-Aug.

NONE

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

T-Date = 4%

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)