



# Daily Compliance Activity Report

Trade Date: 07/18/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
APEX CAPITAL MGMT.	261	AEO	C	50,000	13.51	n/a	26-May	2,000.00	4.0
ARCHON CAPITAL	035	ALGN	B	31,300	23.10	n/a	n/a	939.00	3.0
TALPION LLC	040	ALSK	C	7,100	7.98	n/a	n/a	213.00	3.0
JP MORGAN VENTURES	046	ANN	S	10,000	26.72	n/a	n/a	400.00	4.0
SENATOR INVESTMENT GROUP	036	AOS	B	10,600	40.47	n/a	6-Jun	318.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>ARO</b>	<b>SS</b>	<b>20,000</b>	<b>17.14</b>	<b>n/a</b>	<b>20-May</b>	<b>non-brg</b>	<b>4.0</b>
RIDGECREST INV MGMT LLC	028	AXE	S	2,500	63.46	n/a	22-Jun	125.00	5.0
COOPER CREEK PART	028	AXL	B	50,000	11.13	n/a	14-Jul	2,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>BAC</b>	<b>B</b>	<b>105,000</b>	<b>9.72</b>	<b>n/a</b>	<b>1-Jul</b>	<b>non-brg</b>	<b>3.0</b>
SANDLER CAPITAL	028	BEBE	B	280,000	7.71	n/a	n/a	11,200.00	4.0
COLUMBUS CIRCLE	036	CIEN	S	8,200	15.35	n/a	n/a	328.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>C</b>	<b>B</b>	<b>25,000</b>	<b>37.23</b>	<b>n/a</b>	<b>18-Jul</b>	<b>non-brg</b>	<b>4.0</b>
SANDLER O'NEILL ASSET	031	C	B	25,000	38.23	n/a	18-Jul	500.00	2.0
TUDOR INVESTORS	028	EXPD	SS	3,000	48.74	n/a	n/a	90.00	3.0
OZ MGMT	040	F	S	181,740	13.00	n/a	14-Jul	5,452.20	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WOOSTER CAPITAL	035	F	B	50,000	12.81	n/a	14-Jul	2,500.00	5.0
TUDOR INVESTORS	028	GDI	B	2,000	82.64	n/a	n/a	60.00	3.0
MERRILL ASSET/BLACKROCK	297	GEOI	B	5,600	25.55	n/a	n/a	224.00	4.0
<b>f JAMES DAWSON</b>	<b>FID</b>	<b>GILD</b>	<b>B</b>	<b>115</b>	<b>40.82</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SIGMA CAPITAL ASSOCIATES	041	GIL	SS	100,000	33.20	n/a	18-Jul	3,500.00	3.5
<b>B BUCK CAPITAL MGMT</b>		<b>GM</b>	<b>C</b>	<b>30,000</b>	<b>28.88</b>	<b>n/a</b>	<b>14-Jul</b>	<b>non-brg</b>	<b>4.0</b>
OZ MGMT	040	GM	SS	50,000	29.39	n/a	14-Jul	1,500.00	3.0
TUDOR INVESTORS	028	GR	B	4,000	91.62	n/a	7-Jul	120.00	3.0
ARMATURE CAPITAL	041	GT	S	50,000	17.37	n/a	n/a	2,000.00	4.0
BRONSON POINT	036	GT	B	10,000	17.38	n/a	n/a	300.00	3.0
SCOPUS FUND	041	HBI	B	20,400	32.04	n/a	18-Jul	816.00	4.0
PROSPECTOR PARTNERS LLC	036	HES	B	20,000	72.26	n/a	n/a	800.00	4.0
TUDOR INVESTORS	028	HUBB	B	2,000	62.70	n/a	n/a	60.00	3.0
CSFB GLOBAL PROPRIETARY	041	IP	B	30,000	29.28	n/a	14-Jul	1,500.00	5.0
PARAMETER CAPITAL MGMT LLC	044	IR	B	25,000	43.84	n/a	19-May	1,000.00	4.0
MFP INVESTORS	085	JNS	B	5,000	8.65	n/a	n/a	200.00	4.0
MACQUARIE INVESTMENT MGMT.	040	KO	S	15,000	67.08	n/a	18-Jul	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		KSS	S	30,000	54.87	n/a	8-Jul	non-brg	4.0
SONTERRA CAP	041	LOW	S	75,000	22.42	n/a	13-Jun	3,000.00	4.0
ß BUCK CAPITAL MGMT		LTD	S	20,000	39.51	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		MSMSBCD	SS	161,000	99.34	n/a	n/a	non-brg	7.9
ß BUCK CAPITAL MGMT		MSSR	S	1,100	9.12	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		MSSR	S	1,200	9.36	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		MSSR	S	1,600	9.12	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		MSSR	S	1,800	9.12	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		MSSR	S	16,800	9.12	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		MSSR	S	2,300	9.12	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		MSSR	S	300	9.36	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		MSSR	S	400	9.36	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		MSSR	S	600	9.12	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		MSSR	S	600	9.36	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		MSSR	S	8,809	9.36	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		MSSR	S	800	9.12	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		MSSR	S	800	9.36	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		MSSR	S	900	9.36	n/a	n/a	non-brg	3.0
ß BUCK CAPITAL MGMT		MS	B	50,000	20.60	n/a	1-Jul	non-brg	4.0
AVESTA CAP	229	NFLX	S	25,000	278.51	n/a	n/a	750.00	3.0
Õ Nilsa Vazquez		NLY	B	1000	17.89	n/a	n/a	0.00	0.0
SCOPUS FUND	041	NWL	S	40,000	15.10	n/a	n/a	1,600.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MACQUARIE INVESTMENT MGMT.	040	PEP	B	5,000	67.91	n/a	n/a	0.00	0.0
SCOPUS FUND	041	PH	B	25,000	85.85	n/a	28-Apr	1,000.00	4.0
TUDOR INVESTORS	028	PH	B	3,000	85.88	n/a	28-Apr	90.00	3.0
SOROS	036	RBA	SS	60,000	28.19	n/a	n/a	2,400.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>RCL</b>	<b>B</b>	<b>20,000</b>	<b>34.40</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SENATOR INVESTMENT GROUP	036	RKT	S	50,000	59.95	n/a	n/a	1,500.00	3.0
LONG OAR GLOBAL INV	040	RSH	SS	159,100	12.46	n/a	n/a	6,364.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>SUMR</b>	<b>S</b>	<b>37,509</b>	<b>8.41</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
TUDOR INVESTORS	028	SWK	B	5,000	68.58	n/a	n/a	150.00	3.0
NEWLAND CAPITAL MGT	025	TEU	S	50,000	10.81	n/a	n/a	2,000.00	4.0
<b>f MARY CATHERI MADIGA</b>	<b>FID</b>	<b>TEX</b>	<b>B</b>	<b>300</b>	<b>25.60</b>	<b>n/a</b>	<b>25-Apr</b>	<b>0.00</b>	<b>0.0</b>
TUDOR INVESTORS	028	TRN	B	5,000	33.29	n/a	n/a	150.00	3.0
1798 CAP/LOMBARD ASSET	040	TSO	C	104,900	23.18	n/a	n/a	5,245.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>URBN</b>	<b>B</b>	<b>20,000</b>	<b>31.11</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
RIDGECREST INV MGMT LLC	028	VGK	SS	10,000	49.54	n/a	n/a	500.00	5.0
1798 CAP/LOMBARD ASSET	040	VLO	C	109,650	25.06	n/a	n/a	5,482.50	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		XLFX	SS	205,000	14.59	n/a	n/a	non-brg	2.0
RIDGECREST INV MGMT LLC	028	XLI	S	10,000	35.96	n/a	n/a	500.00	5.0
f JOHN BARTMAN COLE	FID	XPO	B	2300	3.41	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	XPO	B	925	3.38	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		XRT	C	13,500	53.96	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		XRT	C	300,000	53.50	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		XRT	C	4,000	53.96	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		XRT	SS	9,300	53.64	n/a	n/a	non-brg	2.0
TOTAL (Trade Date):								68,876.70	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									68,876.70
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									68,876.70
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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 18-Jul.  
NONE

MRI Securities without Trade Activity on 18-Jul.  
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)**