



Daily Compliance Activity Report

Trade Date: 09/12/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	031	AEO	B	5,000	10.52	n/a	25-Aug	250.00	5.0
B BUCK CAPITAL MGMT		ANF	S	20,000	61.62	n/a	18-Aug	non-brg	4.0
FARBER/WEISS PECK	070	ANF	B	10,200	62.30	n/a	18-Aug	408.00	4.0
HIGHBRIDGE CAP	041	ANN	B	22,000	23.16	n/a	n/a	660.00	3.0
SENATOR INVESTMENT GROUP	036	AOS	S	8,600	34.97	n/a	18-Aug	258.00	3.0
f DAVID GEORGE BUCK	FID	APA	B	700	93.65	n/a	17-Aug	0.00	0.0
1798 CAP/LOMBARD ASSET	040	AVY	SS	15,000	25.58	n/a	6-Sep	750.00	5.0
BASSWOOD PARTNERS	267	AXP	C	17,300	46.54	n/a	12-Sep	692.00	4.0
HIGHBRIDGE CAP	041	BBY	SS	11,000	24.51	n/a	n/a	330.00	3.0
CAPITAL GROWTH MGMT.	241	BIDU	S	10,000	143.10	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		BK	S	115,410	19.86	n/a	24-Aug	non-brg	4.0
FORTRESS INVESTMENT (US)	036	CBI	B	14,800	33.91	n/a	n/a	592.00	4.0
B BUCK CAPITAL MGMT		CHEF	S	10,000	13.75	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CHEF	S	10,000	14.00	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	CI	S	1000	43.01	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FARBER/WEISS PECK	070	CMI	SS	7,500	85.87	n/a	27-Jul	300.00	4.0
FARBER/WEISS PECK	070	CS	SS	7,500	22.42	n/a	n/a	300.00	4.0
CAPITAL GROWTH MGMT.	241	DAL	B	330,000	7.34	n/a	n/a	9,900.00	3.0
B BUCK CAPITAL MGMT		DDS	S	20,000	45.13	n/a	n/a	non-brg	4.0
HIGHBRIDGE CAP	041	DECK	S	3,000	90.26	n/a	n/a	90.00	3.0
BASSWOOD PARTNERS	267	DFS	SS	37,705	24.55	n/a	12-Sep	1,508.20	4.0
f MARC PAUL LUCHANSKY	FID	DGP	B	300	68.11	n/a	n/a	0.00	0.0
HIGHBRIDGE CAP	041	DKS	B	39,000	32.68	n/a	16-Aug	1,170.00	3.0
1798 CAP/LOMBARD ASSET	040	DOW	SS	12,000	25.22	n/a	7-Sep	600.00	5.0
B BUCK CAPITAL MGMT		DSW	S	20,000	44.49	n/a	11-Feb	non-brg	4.0
f KEVIN MICHAEL O'GORM	FID	DUG	S	1000	34.65	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ENR	C	20,000	68.78	n/a	28-Jul	non-brg	4.0
FORTRESS INVESTMENT (US)	036	ERJ	S	21,000	23.78	n/a	n/a	840.00	4.0
FARBER/WEISS PECK	070	EWZ	B	13,500	59.81	n/a	n/a	540.00	4.0
B BUCK CAPITAL MGMT		FOSL	S	10,000	90.38	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FARBER/WEISS PECK	070	FXE	SS	12,500	135.53	n/a	n/a	500.00	4.0
OZ MGMT	040	F	B	53,015	9.97	n/a	2-Sep	1,590.45	3.0
CASTLEROCK	040	GM	SS	61,213	21.22	n/a	2-Sep	2,448.52	4.0
OZ MGMT	040	GM	C	43,830	21.42	n/a	2-Sep	1,314.90	3.0
CAPITAL GROWTH MGMT.	241	HAL	S	30,000	38.65	n/a	n/a	1,500.00	5.0
1798 CAP/LOMBARD ASSET	040	HOS	B	5,000	26.85	n/a	n/a	250.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	IP	B	5,000	25.80	n/a	6-Sep	250.00	5.0
HIGHBRIDGE CAP	041	JCP	SS	20,000	25.35	n/a	2-Sep	600.00	3.0
1798 CAP/LOMBARD ASSET	040	JOYG	S	5,000	75.66	n/a	1-Sep	250.00	5.0
B BUCK CAPITAL MGMT		JPM	S	80,000	31.85	n/a	31-Aug	non-brg	4.0
B BUCK CAPITAL MGMT		JWN	C	20,000	44.28	n/a	2-Sep	non-brg	4.0
B BUCK CAPITAL MGMT		KEY	B	411,800	6.21	n/a	n/a	non-brg	3.0
BASIX	033	KMT	S	5,000	31.84	n/a	29-Jul	150.00	3.0
HIGHBRIDGE CAP	041	KMX	SS	10,000	26.28	n/a	n/a	300.00	3.0
f DAVID GEORGE BUCK	FID	KO	B	1000	68.34	n/a	20-Jul	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	KO	B	250	68.33	n/a	20-Jul	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⌘ BUCK CAPITAL MGMT		KSS	C	50,000	42.99	n/a	2-Sep	non-brg	4.0
⌘ BUCK CAPITAL MGMT		LVS	B	50,000	46.40	n/a	13-Jun	non-brg	4.0
⌘ BUCK CAPITAL MGMT		MS	B	10,000	14.89	n/a	24-Aug	non-brg	4.0
FIRST NEW YORK FRAN	028	M	B	5,000	24.83	n/a	2-Sep	200.00	4.0
BNP PARIBAS SEC	040	NDN	B	60,000	18.55	n/a	22-Aug	3,000.00	5.0
FARBER/WEISS PECK	070	NDN	B	17,500	18.54	n/a	22-Aug	700.00	4.0
ROBERTSON STEVENS BC	084	NETL	S	224,092	47.98	n/a	n/a	8,963.68	4.0
⌘ BUCK CAPITAL MGMT		PCAR	S	25,000	34.96	n/a	27-Jul	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PCAR	S	25,000	35.10	n/a	27-Jul	non-brg	2.0
PATTEN & PATTEN	025	PFF	S	3,620	36.27	n/a	n/a	181.00	5.0
PATTEN & PATTEN	025	PGX	S	9,800	13.71	n/a	n/a	490.00	5.0
FORTRESS INVESTMENT (US)	036	PH	SS	7,700	64.92	n/a	3-Aug	308.00	4.0
⌘ BUCK CAPITAL MGMT		PII	B	10,000	103.65	n/a	n/a	non-brg	4.0
FORTRESS INVESTMENT (US)	036	PKG	B	19,600	25.45	n/a	4-Aug	784.00	4.0
BNP PARIBAS SEC	040	PLCE	B	10,000	42.11	n/a	18-Aug	500.00	5.0
PRIMECAP MGMT	084	PSS	S	4,800	12.61	n/a	n/a	192.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE CAP	041	PVH	S	4,115	61.59	n/a	1-Sep	123.45	3.0
FORTRESS INVESTMENT (US)	036	RKT	B	9,400	52.90	n/a	4-Aug	376.00	4.0
CAPITAL GROWTH MGMT.	241	RL	B	20,000	134.28	n/a	11-Aug	1,000.00	5.0
B BUCK CAPITAL MGMT		SFLY	S	5,000	51.27	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		SHOO	B	25,000	31.88	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		SHOO	B	25,000	31.88	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		SHOO	B	25,000	32.08	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		SHOO	B	25,000	32.08	n/a	n/a	non-brg	0.8
1798 CAP/LOMBARD ASSET	040	SRE	C	22,000	50.10	n/a	n/a	1,100.00	5.0
f CHRISTOPHER ROBERT C	FID	SWFT	B	1000	7.61	n/a	n/a	0.00	0.0
ROYCE TRADING	031	SYA	B	40,000	9.37	n/a	n/a	2,000.00	5.0
B BUCK CAPITAL MGMT		TGT	B	20,000	49.71	n/a	1-Sep	non-brg	4.0
FARBER/WEISS PECK	070	TITN	S	1,700	21.31	n/a	n/a	68.00	4.0
CLOVIS CAPITAL	033	TUP	SS	50,000	59.87	n/a	n/a	1,500.00	3.0
f JONATHAN RICHARD HAR	FID	TZA	B	150	50.52	n/a	n/a	0.00	0.0
FORTRESS INVESTMENT (US)	036	UPS	S	7,800	63.32	n/a	n/a	312.00	4.0
1798 CAP/LOMBARD ASSET	040	VC	S	10,000	43.80	n/a	n/a	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PILOT ADV	041	VC	SS	5,000	42.94	n/a	n/a	150.00	3.0
B BUCK CAPITAL MGMT		WBC	SS	20,000	44.75	n/a	18-Aug	non-brg	4.0
f JONATHAN RICHARD HAR	FID	WBC	S	440	45.38	n/a	18-Aug	0.00	0.0
CAPITAL GROWTH MGMT.	241	WLT	S	130,000	83.36	n/a	n/a	6,500.00	5.0
BNP PARIBAS SEC	040	WRC	B	10,000	48.92	n/a	2-Aug	500.00	5.0
B BUCK CAPITAL MGMT		WSM	C	50,000	31.66	n/a	n/a	non-brg	4.0
CAPITAL GROWTH MGMT.	241	WYNN	B	60,000	151.63	n/a	13-Jun	3,000.00	5.0
WEISS PECK	040	XLE	B	5,100	64.20	n/a	n/a	153.00	3.0
SENATOR INVESTMENT GROUP	036	XLI	SS	100,000	29.94	n/a	n/a	3,000.00	3.0
f KEVIN MICHAEL O'GORM	FID	ZSL	B	3000	11.94	n/a	n/a	0.00	0.0
f KEVIN MICHAEL O'GORM	FID	ZSL	S	3000	12.34	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								64,443.20	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	09/09	DC CAPITAL	044	LPX	B	50,000	5.98	n/a	5-Aug	1500.00 3.0
AO,CXL	09/09	DC CAPITAL	044	LPX	B	50,000	5.98	n/a	5-Aug	2000.00 4.0

TOTAL (AO, CXL, CRT) :	-500.00
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TOTAL (Trade Date) :	64,443.20
TOTAL (AO, CXL, CRT) :	-500.00

TOTAL (RUN DATE) / NFS:	63,943.20
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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 12-Sep.
NONE

MRI Securities without Trade Activity on 12-Sep.
NONE

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