



Daily Compliance Activity Report

Trade Date: 08/25/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f THOMAS MACTAGGART LE	FID	AAPL	S	10	370.69	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	ADM	S	15000	27.70	n/a	25-Aug	0.00	0.0
BNP PARIBAS SEC	040	AMZN	S	5,000	195.27	n/a	n/a	250.00	5.0
f MANNY I KORMAN	FID	ANF	S	4000	57.44	n/a	18-Aug	0.00	0.0
MOORE CAPITAL	041	A	S	25,000	33.01	n/a	n/a	1,000.00	4.0
OHIO PERS	047	BA	S	38,200	61.36	n/a	25-Aug	1,146.00	3.0
B BUCK CAPITAL MGMT		BK	B	95,000	20.99	n/a	24-Aug	non-brg	4.0
STATE TEACHERS RET SYS	047	BMS	S	300	30.01	n/a	n/a	15.00	5.0
B BUCK CAPITAL MGMT		BODY	B	10,000	18.29	n/a	n/a	non-brg	4.0
f BARBARA S LEDDY	FID	BONT	B	650	7.17	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	BWS	SS	7,200	6.62	n/a	n/a	360.00	5.0
BMO NESBITT BURNS	041	BWS	S	3,800	6.66	n/a	n/a	190.00	5.0
HUNTER GLOBAL INVESTOR	028	CAT	SS	24,000	84.49	n/a	25-Jul	1,200.00	5.0
BASIX	033	CE	S	16,000	41.22	n/a	20-May	480.00	3.0
B BUCK CAPITAL MGMT		CHEF	S	2,500	15.14	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MANNY I KORMAN	FID	CMI	S	4000	85.02	n/a	27-Jul	0.00	0.0
f MARC PAUL LUCHANSKY	FID	COF	B	200	44.51	n/a	25-Aug	0.00	0.0
B BUCK CAPITAL MGMT		COLM	C	7,400	49.74	n/a	n/a	non-brg	4.0
f THOMAS JOHN LEDDY	FID	CPN	S	300	13.70	n/a	n/a	0.00	0.0
f JOHN BARTMAN COLE	FID	CVGI	B	500	6.31	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	C	B	7000	31.00	n/a	24-Aug	0.00	0.0
B BUCK CAPITAL MGMT		DDS	S	25,000	44.00	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DDS	S	25,000	44.00	n/a	n/a	non-brg	4.0
f JONATHAN RICHARD HAR	FID	DECK	B	100	80.75	n/a	n/a	0.00	0.0
f KEVIN MICHAEL O'GORM	FID	DUG	B	1000	34.57	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	ENDP	S	5000	30.09	n/a	22-Aug	0.00	0.0
f MANNY I KORMAN	FID	ETN	S	7000	39.52	n/a	18-Aug	0.00	0.0
f JONATHAN RICHARD HAR	FID	EXPR	S	1450	17.24	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	FIG	S	4700	3.34	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FNSR	SS	100,000	15.70	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		FNSR	SS	100,000	15.70	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		FOSL	S	10,000	92.12	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		FOSL	S	10,000	92.97	n/a	n/a	non-brg	4.0
LATEFF MGMT	035	F	B	1,350	10.33	n/a	3-Aug	147.50	11.7
f FRANCIS MICHAEL MCCA	FID	GES	S	400	31.87	n/a	25-Aug	0.00	0.0
f MANNY I KORMAN	FID	GE	S	10000	15.36	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		GIII	S	10,000	24.91	n/a	n/a	non-brg	0.8
f KEVIN MICHAEL O'GORM	FID	GLD	B	200	167.50	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	GLW	S	20000	14.13	n/a	25-Aug	0.00	0.0
f DAVID GEORGE BUCK	FID	HDV	S	1500	49.78	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	HDV	S	500	49.81	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	HD	SS	4,000	34.58	n/a	16-Aug	200.00	5.0
f REUBEN D DVORETSKY	FID	HII	B	300	30.58	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	IR	S	4000	29.89	n/a	18-Aug	0.00	0.0
Õ Nilsa Vazquez		IVR	B	500	16.65	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	JNJ	B	1000	64.56	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	JNJ	B	300	64.65	n/a	n/a	0.00	0.0
WEISS PECK	040	JPM	B	9,600	36.51	n/a	24-Aug	480.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JP MORGAN VENTURES	046	LOW	S	10,000	20.18	n/a	15-Aug	300.00	3.0
LATEFF MGMT	035	LOW	B	1,000	20.21	n/a	15-Aug	100.00	10.0
BMO NESBITT BURNS	041	LPX	B	10,000	6.09	n/a	5-Aug	500.00	5.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	100,000	6.10	n/a	5-Aug	5,000.00	5.0
f DAVID GEORGE BUCK	FID	MCD	B	1000	89.37	n/a	8-Aug	0.00	0.0
B BUCK CAPITAL MGMT		MDY	C	36,000	151.58	n/a	n/a	non-brg	2.0
ROTHSCHILD ASSET	040	MLI	S	9,229	42.49	n/a	26-Jul	369.16	4.0
MOORE CAPITAL	041	MMI	B	25,000	37.91	n/a	n/a	1,000.00	4.0
LISTED ERR	099	MMI	B	22,400	37.96	n/a	n/a	0.00	0.0
LISTED ERR	099	MMI	S	22,400	37.96	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	MMM	S	2000	78.63	n/a	25-Aug	0.00	0.0
TYEE/TYGH	035	MOD	S	20,000	10.31	n/a	n/a	600.00	3.0
B BUCK CAPITAL MGMT		MSMSBCD	C	784,959	86.26	n/a	n/a	non-brg	0.3
B BUCK CAPITAL MGMT		MSMSBCD	SS	784,959	86.26	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		MSMSBCM	C	6,124,310	86.22	n/a	n/a	non-brg	0.3
B BUCK CAPITAL MGMT		MSMSBCM	SS	140,000	86.15	n/a	n/a	non-brg	6.9
B BUCK CAPITAL MGMT		MSMSBCM	SS	6,124,310	86.22	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		MS	B	170,000	17.68	n/a	24-Aug	non-brg	4.0
f KAREN F LEDDY	FID	MTW	S	1500	9.51	n/a	28-Jul	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BNP PARIBAS SEC	040	M	S	55,600	25.17	n/a	11-Aug	2,780.00	5.0
f FRANCIS MICHAEL MCCA	FID	M	B	500	24.72	n/a	11-Aug	0.00	0.0
TALPION LLC	040	NCR	S	30,000	16.10	n/a	n/a	1,200.00	4.0
f REUBEN D DVORETSKY	FID	NOOF	B	2130	1.29	n/a	n/a	0.00	0.0
CATAPULT	040	NTRS	S	5,000	37.13	n/a	20-Jul	200.00	4.0
SONTERRA CAP	041	OSK	B	65,900	17.59	n/a	n/a	2,636.00	4.0
LATEFF MGMT	035	PBCT	B	1,500	10.89	n/a	21-Jul	120.00	8.0
SEVEN LOCKS CAPITAL	025	PCL	B	20,000	35.92	n/a	27-Jul	600.00	3.0
OHIO PERS	047	PCP	B	15,200	154.93	n/a	29-Jul	456.00	3.0
f JASON ERIC COHEN	FID	PHM	S	8	0.42	n/a	n/a	0.00	0.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	30,000	23.68	n/a	4-Aug	1,500.00	5.0
LATEFF MGMT	035	PKG	B	400	23.51	n/a	4-Aug	60.00	15.0
f MANNY I KORMAN	FID	PLCE	S	2000	38.75	n/a	18-Aug	0.00	0.0
MERRILL ASSET/BLACKROCK	297	RE	S	6,000	75.79	n/a	n/a	240.00	4.0
SONTERRA CAP	041	RKT	B	23,110	47.74	n/a	4-Aug	924.40	4.0
SONTERRA CAP	041	RTI	SS	10,600	23.64	n/a	n/a	424.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		SFLY	S	11,400	46.66	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		SFLY	S	30,000	46.85	n/a	n/a	non-brg	2.5
JONATHAN RICHARD HAR	FID	SGI	B	141	14.70	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		SPY	SS	181,000	116.31	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		SPY	SS	38,500	116.17	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		STT	B	55,000	35.55	n/a	24-Aug	non-brg	4.0
CATAPULT	040	STT	B	5,000	33.61	n/a	24-Aug	200.00	4.0
TRAFELET & COMP.	028	SWFT	C	100,000	8.59	n/a	n/a	3,000.00	3.0
BUCK CAPITAL MGMT		TEA	S	20,000	23.02	n/a	n/a	non-brg	0.8
BUCK CAPITAL MGMT		TEA	S	20,000	23.19	n/a	n/a	non-brg	0.8
HIGHBRIDGE CAP	041	TIF	B	8,000	66.27	n/a	n/a	240.00	3.0
RIDGECREST INV MGMT LLC	028	TRLG	SS	10,000	28.17	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT		URBN	B	50,000	24.23	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		URBN	B	50,000	24.23	n/a	n/a	non-brg	4.0
ROSEDALE CAPITAL	046	VOD	B	30,000	26.77	n/a	n/a	1,500.00	5.0
BUCK CAPITAL MGMT		VRA	S	100,000	27.43	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		VRA	S	50,000	27.43	n/a	n/a	non-brg	4.0
JONATHAN RICHARD HAR	FID	WBC	B	115	42.80	n/a	18-Aug	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BMO NESBITT BURNS	041	WMT	B	2,000	53.47	n/a	25-Aug	100.00	5.0
Ⓕ BUCK CAPITAL MGMT		WSM	C	40,000	31.45	n/a	n/a	non-brg	4.0
Ⓕ BUCK CAPITAL MGMT		XLFX	C	300,000	13.21	n/a	n/a	non-brg	2.0
Ⓕ BUCK CAPITAL MGMT		XLFX	C	700,000	13.22	n/a	n/a	non-brg	2.0
f BARBARA S LEDDY	FID	XPO	B	2500	3.11	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	XPO	B	2500	3.11	n/a	n/a	0.00	0.0
f SEAN F LEDDY	FID	XPO	B	170	2.95	n/a	n/a	0.00	0.0
f THOMAS JOHN LEDDY	FID	XPO	B	1200	2.98	n/a	n/a	0.00	0.0
f THOMAS MACTAGGART LE	FID	XPO	B	1500	2.96	n/a	n/a	0.00	0.0
f JOHN BARTMAN COLE	FID		B	6500	0.15	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								30,018.06	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	08/22	SMITH MGMT LLC	029	PSUN	S	200,000	2.01	n/a	n/a	6000.00 3.0
AO,CXL	08/22	SMITH MGMT LLC	029	PSUN	S	200,000	2.01	n/a	n/a	8000.00 4.0

TOTAL (AO, CXL, CRT) :	-2,000.00
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TOTAL (Trade Date) :	30,018.06
TOTAL (AO, CXL, CRT) :	-2,000.00

TOTAL (RUN DATE) / NFS:	28,018.06
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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 25-Aug.
NONE

MRI Securities without Trade Activity on 25-Aug.
BIG, CBT, AGN

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)