



Daily Compliance Activity Report

Trade Date: 09/06/2011

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	10.03	n/a	25-Aug	250.00	5.0
HIGHBRIDGE CAP	041	AGCO	B	25,000	40.01	n/a	29-Jul	750.00	3.0
BNP PARIBAS SEC	040	ALV	B	10,000	51.19	n/a	22-Jul	500.00	5.0
f DAVID GEORGE BUCK	FID	ARE	S	1000	68.69	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	BGZ	B	1000	45.63	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	040	CAG	S	15,000	23.65	n/a	n/a	600.00	4.0
SANDLER CAPITAL	028	CBE	SS	100,000	43.53	n/a	18-Aug	5,000.00	5.0
B BUCK CAPITAL MGMT		CHEF	S	10,000	12.92	n/a	n/a	non-brg	4.0
THE JAY GOLDMAN	028	CHS	B	50,000	12.96	n/a	5-Feb	2,000.00	4.0
f JOHN MICHAEL ZOLIDIS	FID	CMG	S	30	299.16	n/a	20-Jul	0.00	0.0
f CHRISTOPHER ROBERT C	FID	CMI	B	50	84.29	n/a	27-Jul	0.00	0.0
HIGHBRIDGE CAP	041	COH	B	5,000	51.91	n/a	3-Aug	150.00	3.0
WEISS PECK	040	CQB	B	10,200	9.35	n/a	n/a	408.00	4.0
BUCK CAPITAL MGMT	001	DDS	S	42,500	44.20	n/a	n/a	1,275.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JONATHAN RICHARD HAR	FID	DECK	S	355	82.58	n/a	n/a	0.00	0.0
HARVEST MGMT	029	DG	B	10,000	36.16	n/a	30-Aug	400.00	4.0
AVESTA CAP	229	DLTR	B	50,000	72.03	n/a	18-Aug	1,500.00	3.0
f DAVID GEORGE BUCK	FID	DNKN	S	3000	26.00	n/a	n/a	0.00	0.0
ROYCE TRADING	031	FOR	B	14,000	11.29	n/a	9-Aug	700.00	5.0
f JOHN MICHAEL ZOLIDIS	FID	FOSL	S	100	89.72	n/a	n/a	0.00	0.0
f FRANCIS MICHAEL MCCA	FID	FRM	B	2000	5.28	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	GES	SS	25,000	29.62	n/a	25-Aug	750.00	3.0
HIGHBRIDGE CAP	041	GE	B	333,000	15.01	n/a	n/a	9,990.00	3.0
B BUCK CAPITAL MGMT		GIII	S	20,000	25.88	n/a	n/a	non-brg	0.8
BNP PARIBAS SEC	040	GM	SS	30,000	21.19	n/a	2-Sep	1,500.00	5.0
OZ MGMT	040	GM	SS	50,000	20.94	n/a	2-Sep	1,500.00	3.0
FRIESS MGMT	033	GSM	S	170,300	15.28	n/a	n/a	6,812.00	4.0
f DAVID GEORGE BUCK	FID	GS	S	1000	104.60	n/a	24-Aug	0.00	0.0
HIGHBRIDGE CAP	041	HD	B	8,000	31.68	n/a	16-Aug	240.00	3.0
TALPION LLC	040	HLF	C	10,000	55.41	n/a	n/a	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	HNZ	B	10,000	50.78	n/a	n/a	400.00	4.0
KLEINHEINZ CAP PART	031	HRB	B	30,000	13.48	n/a	n/a	1,500.00	5.0
STANDARD PACIFIC CAPITAL	040	HRB	B	100,000	13.40	n/a	n/a	5,000.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	B	75,000	25.88	n/a	6-Sep	3,750.00	5.0
ELM RIDGE ADVISORS	044	IP	B	135,100	25.91	n/a	6-Sep	5,404.00	4.0
BASSWOOD PARTNERS	267	IR	S	11,650	32.45	n/a	18-Aug	466.00	4.0
HIGHBRIDGE CAP	041	KR	B	50,000	22.70	n/a	n/a	1,500.00	3.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	30,000	5.93	n/a	5-Aug	1,500.00	5.0
KLEINHEINZ CAP PART	031	LULU	SS	20,000	52.27	n/a	6-Sep	1,000.00	5.0
FRIESS MGMT	033	MDR	S	336,100	13.09	n/a	n/a	13,444.00	4.0
BASIX	033	MIDD	SS	9,400	73.36	n/a	12-Aug	282.00	3.0
HIGHBRIDGE CAP	041	MMM	SS	39,000	76.89	n/a	6-Sep	1,170.00	3.0
ROYCE TRADING	031	MVC	B	30,000	10.89	n/a	n/a	1,500.00	5.0
B BUCK CAPITAL MGMT		MVRX	C	8,000	192.27	n/a	n/a	non-brg	15.4
CSFB GLOBAL PROPRIETARY	041	MWV	B	25,000	25.94	n/a	27-Jul	1,250.00	5.0
B BUCK CAPITAL MGMT		M	B	30,000	24.76	n/a	2-Sep	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MA CAPITAL MGMT/MELLON ADV041	M		B	7,000	24.79	n/a	2-Sep	350.00	5.0
THE JAY GOLDMAN	028	M	S	25,000	24.89	n/a	2-Sep	1,000.00	4.0
TUDOR INVESTORS	028	NKE	SS	10,000	81.49	n/a	1-Jul	300.00	3.0
f CHRISTOPHER ROBERT C	FID	PCL	S	100	35.48	n/a	27-Jul	0.00	0.0
PLATTE RIVER CAPITAL	240	PEP	S	21,910	61.91	n/a	n/a	876.40	4.0
LISTED ERR	099	PEP	B	5,000	62.28	n/a	n/a	0.00	0.0
LISTED ERR	099	PEP	S	5,000	62.18	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	PKG	B	25,000	25.03	n/a	4-Aug	1,250.00	5.0
HIGHBRIDGE CAP	041	PVH	B	4,165	59.72	n/a	1-Sep	124.95	3.0
MA CAPITAL MGMT/MELLON ADV041	PVH		B	3,000	60.19	n/a	1-Sep	150.00	5.0
DAVIDSON INV ADV	035	RDSA	B	24,900	62.30	n/a	n/a	996.00	4.0
ASCEND PARTNERS	033	RKT	B	16,028	52.22	n/a	4-Aug	641.12	4.0
CSFB GLOBAL PROPRIETARY	041	RKT	B	6,791	50.71	n/a	4-Aug	339.55	5.0
BUCK CAPITAL MGMT	001	RL	SS	10,000	126.71	n/a	11-Aug	300.00	3.0
f DAVID GEORGE BUCK	FID	RYN	B	2000	39.74	n/a	1-Aug	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	SBUX	S	200	36.77	n/a	29-Jul	0.00	0.0
WEISS PECK	040	SDS	B	10,300	25.01	n/a	n/a	309.00	3.0
WEISS PECK	040	SDS	S	11,100	25.16	n/a	n/a	333.00	3.0
8 BUCK CAPITAL MGMT		SFLY	S	20,000	50.11	n/a	n/a	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		SIG	S	40,200	37.04	n/a	n/a	non-brg	4.0
f ALANA J A MADIGAN-SI	FID	SOXL	B	825	22.28	n/a	n/a	0.00	0.0
BASSWOOD PARTNERS	267	SPW	S	5,750	50.60	n/a	n/a	230.00	4.0
WEISS PECK	040	TBT	B	30,100	22.32	n/a	n/a	903.00	3.0
B BUCK CAPITAL MGMT		TEA	S	15,210	22.69	n/a	n/a	non-brg	2.5
HIGHBRIDGE CAP	041	TGT	B	6,000	48.97	n/a	1-Sep	180.00	3.0
HIGHBRIDGE CAP	041	TIF	B	4,000	66.52	n/a	n/a	120.00	3.0
BNP PARIBAS SEC	040	TIN	S	105,000	30.94	6-Sep	6-Sep	5,250.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	TIN	S	10,000	30.52	6-Sep	6-Sep	500.00	5.0
SCOPUS FUND	041	TIN	S	50,000	30.91	6-Sep	6-Sep	2,000.00	4.0
T. ROWE PRICE	033	TIN	S	363,100	30.82	6-Sep	6-Sep	10,893.00	3.0
f CHRISTOPHER ROBERT C	FID	TRW	B	100	37.98	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	TZA	B	525	49.12	n/a	n/a	0.00	0.0
HIGHBRIDGE CAP	041	VALE	B	77,000	26.22	n/a	n/a	2,310.00	3.0
B BUCK CAPITAL MGMT		WERN	S	20,280	21.51	n/a	n/a	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	WRC	B	100	47.84	n/a	2-Aug	0.00	0.0
f BARBARA S LEDDY	FID	XPO	B	500	11.26	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		XRT	C	18,000	46.74	n/a	n/a	non-brg	2.0
BASSWOOD PARTNERS	267	XRX	B	105,900	7.75	n/a	n/a	4,236.00	4.0
TOTAL (Trade Date):							106,483.02		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
------	------	---------	------	--------	-----	--------	-------	--------------	-------------

TOTAL (AO, CXL, CRT):									0.00
-----------------------	--	--	--	--	--	--	--	--	------

TOTAL (Trade Date):									106,483.02
---------------------	--	--	--	--	--	--	--	--	------------

TOTAL (AO, CXL, CRT):									0.00
-----------------------	--	--	--	--	--	--	--	--	------

TOTAL (RUN DATE) / NFS:									106,483.02
-------------------------	--	--	--	--	--	--	--	--	------------

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	09/02	BUCK CAPITAL MGMT	MVRX	C	8,000	195.90	n/a	n/a	640.00 8.0

MRI Securities with Trade Activity on 6-Sep.

TIN

MRI Securities without Trade Activity on 6-Sep.

NONE

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

T-Date = 19%

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)