



Daily Compliance Activity Report

Trade Date: 08/31/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TPG-AXON	040	ABT	C	89,000	52.06	n/a	n/a	3,560.00	4.0
HIGHBRIDGE CAP	041	ANF	B	8,000	65.70	n/a	18-Aug	240.00	3.0
EPOCH INV MGMT	030	APC	B	21,600	74.89	n/a	17-Aug	648.00	3.0
⌘ BUCK CAPITAL MGMT		APO	S	1,100	13.05	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		APO	S	1,500	13.05	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		APO	S	3,000	13.05	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		APO	S	3,600	13.05	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		APO	S	32,300	13.05	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		APO	S	4,000	13.05	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		APO	S	4,600	13.05	n/a	n/a	non-brg	4.0
DC CAPITAL	044	AXE	S	21,000	59.26	n/a	17-Aug	840.00	4.0
NUVEEN - US BANCORP		030 BRCD	S	65,859	3.83		n/a	n/a	2,963.66 4.5
HARVEST MGMT	086	BUD	SS	10,000	55.51	n/a	12-Aug	400.00	4.0
⌘ BUCK CAPITAL MGMT		BWLD	SS	20,000	61.59	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	CAH	B	1500	42.68	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	CAT	B	40	7.09	n/a	25-Jul	0.00	0.0
⌘ BUCK CAPITAL MGMT		CHEF	S	10,000	14.30	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MARC PAUL LUCHANSKY	FID	CVGI	B	1000	7.46	n/a	n/a	0.00	0.0
f JOHN BARTMAN COLE	FID	CX	S	500	5.38	n/a	n/a	0.00	0.0
f FRANCIS MICHAEL MCCA	FID	DAN	S	1200	13.04	n/a	29-Jul	0.00	0.0
SUN AMERICA ASSET MGMT	030	DAN	S	1,700	12.97	n/a	29-Jul	68.00	4.0
f DAVID GEORGE BUCK	FID	DD	B	1500	48.22	n/a	25-Aug	0.00	0.0
f JONATHAN RICHARD HAR	FID	DECK	S	25	89.67	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	DECK	B	7,500	88.78	n/a	n/a	225.00	3.0
f MANNY I KORMAN	FID	DLTR	B	200	3.40	n/a	18-Aug	0.00	0.0
f JOHN BARTMAN COLE	FID	DRYS	S	2500	3.08	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	DXPE	S	150	2.65	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	FOR	S	500	12.38	n/a	9-Aug	0.00	0.0
ß BUCK CAPITAL MGMT		FRAN	SS	6,900	25.20	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		FRAN	SS	7,400	25.10	n/a	n/a	non-brg	1.0
f FRANCIS MICHAEL MCCA	FID	FRM	S	2000	6.09	n/a	n/a	0.00	0.0
LEVIN CAPITAL STRATEGIES	041	F	B	40,000	11.18	n/a	31-Aug	800.00	2.0
BUCK CAPITAL MGMT	001	GCO	S	14,902	53.79	n/a	n/a	447.06	3.0
ß BUCK CAPITAL MGMT		GIII	S	20,000	27.82	n/a	n/a	non-brg	0.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVIN CAPITAL STRATEGIES	041	GM	S	20,000	24.09	n/a	31-Aug	600.00	3.0
f MANNY I KORMAN	FID	GM	B	400	2.28	n/a	31-Aug	0.00	0.0
OZ MGMT	040	GM	SS	100,000	24.02	n/a	31-Aug	3,000.00	3.0
SCOPUS FUND	041	GT	B	30,000	12.84	n/a	n/a	1,200.00	4.0
B BUCK CAPITAL MGMT		HANS	S	20,000	85.60	n/a	n/a	non-brg	2.5
f DAVID GEORGE BUCK	FID	IR	S	20	2.60	n/a	18-Aug	0.00	0.0
LEVIN CAPITAL STRATEGIES	041	IR	S	15,000	33.84	n/a	18-Aug	450.00	3.0
SUN AMERICA ASSET MGMT	030	JAH	S	1,300	29.16	n/a	n/a	52.00	4.0
EGS ASSOCIATES LP	091	JCP	SS	5,000	26.77	n/a	29-Aug	300.00	6.0
f CHRISTOPHER ROBERT C	FID	JNY	S	500	11.78	n/a	28-Jul	0.00	0.0
B BUCK CAPITAL MGMT		KSS	SS	100,000	46.56	n/a	29-Aug	non-brg	4.0
f HARALAMBOS EFSTATHI	FID	LEA	S	400	48.05	n/a	5-Aug	0.00	0.0
BNP PARIBAS SEC	040	MAT	S	25,000	27.14	n/a	n/a	1,250.00	5.0
SANDLER CAPITAL	028	MCD	S	70,000	90.64	n/a	8-Aug	3,500.00	5.0
DAVIDSON INV ADV	035	MDU	S	7,993	21.41	n/a	n/a	319.72	4.0
f DAVID GEORGE BUCK	FID	MMM	S	2000	82.77	n/a	25-Aug	0.00	0.0
B BUCK CAPITAL MGMT		MNRO	SS	30,000	39.48	n/a	n/a	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß	BUCK CAPITAL MGMT		MNRO	SS	30,000	39.48	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		MSMSBCD	C	753,239	91.98	n/a	n/a	non-brg	0.2
ß	BUCK CAPITAL MGMT		MSMSBCD	SS	739,230	91.98	n/a	n/a	non-brg	0.0
ß	BUCK CAPITAL MGMT		MSMSBCM	C	6,205,329	91.93	n/a	n/a	non-brg	0.2
ß	BUCK CAPITAL MGMT		MSMSBCM	SS	6,089,924	91.93	n/a	n/a	non-brg	0.0
ß	BUCK CAPITAL MGMT		MSSR	S	1,210	6.10	n/a	n/a	non-brg	3.0
ß	BUCK CAPITAL MGMT		MSSR	S	100	6.19	n/a	n/a	non-brg	2.5
ß	BUCK CAPITAL MGMT		MSSR	S	200	6.19	n/a	n/a	non-brg	2.5
ß	BUCK CAPITAL MGMT		MSSR	S	200	6.19	n/a	n/a	non-brg	2.5
ß	BUCK CAPITAL MGMT		MSSR	S	260	6.10	n/a	n/a	non-brg	3.0
ß	BUCK CAPITAL MGMT		MSSR	S	3,300	6.19	n/a	n/a	non-brg	2.5
ß	BUCK CAPITAL MGMT		MSSR	S	300	6.19	n/a	n/a	non-brg	2.5
ß	BUCK CAPITAL MGMT		MSSR	S	340	6.10	n/a	n/a	non-brg	3.0
ß	BUCK CAPITAL MGMT		MSSR	S	400	6.19	n/a	n/a	non-brg	2.5
ß	BUCK CAPITAL MGMT		MSSR	S	500	6.19	n/a	n/a	non-brg	2.5
ß	BUCK CAPITAL MGMT		MSSR	S	520	6.10	n/a	n/a	non-brg	3.0
ß	BUCK CAPITAL MGMT		MSSR	S	780	6.10	n/a	n/a	non-brg	3.0
ß	BUCK CAPITAL MGMT		MSSR	S	8,756	6.10	n/a	n/a	non-brg	3.0
ß	BUCK CAPITAL MGMT		MSSR	S	860	6.10	n/a	n/a	non-brg	3.0
ß	BUCK CAPITAL MGMT		MW	B	100,000	29.19	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		MW	B	50,000	29.19	n/a	n/a	non-brg	4.0
	LEVIN CAPITAL STRATEGIES	041	NLSN	SS	30,000	29.56	n/a	n/a	900.00	3.0
	CSFB GLOBAL PROPRIETARY	041	PKG	SS	12,701	25.52	n/a	4-Aug	635.05	5.0
	CSFB GLOBAL PROPRIETARY	041	PKG	S	27,299	25.48	n/a	4-Aug	1,364.95	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⚡ BUCK CAPITAL MGMT		PLCE	S	10,000	42.99	n/a	18-Aug	non-brg	2.5
⚡ BUCK CAPITAL MGMT		PLCE	S	10,000	43.14	n/a	18-Aug	non-brg	2.0
⚡ BUCK CAPITAL MGMT		PVH	B	30,000	66.89	n/a	18-Jul	non-brg	4.0
f EDWARD W WHEELER	FID	RUSHA	S	2000	18.62	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	SBUX	B	10	0.58	n/a	29-Jul	0.00	0.0
f DAVID GEORGE BUCK	FID	SBUX	S	20	2.33	n/a	29-Jul	0.00	0.0
HARVEST MGMT	086	SBUX	B	20,000	38.89	n/a	29-Jul	800.00	4.0
HARVEST MGMT	086	SBUX	S	20,000	39.11	n/a	29-Jul	800.00	4.0
WEISS PECK	040	SDS	B	15,500	22.45	n/a	n/a	465.00	3.0
⚡ BUCK CAPITAL MGMT		SFER IM	S	150,000	17.55	n/a	n/a	non-brg	2.6
RAINIER INV MGMT	035	SFY	B	44,000	31.21	n/a	n/a	1,760.00	4.0
f MANNY I KORMAN	FID	SIJ	B	10000	51.92	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		SKS	C	87,500	9.98	n/a	n/a	non-brg	3.0
LEVIN CAPITAL STRATEGIES	041	SPLS	S	20,000	14.85	n/a	n/a	600.00	3.0
f CHRISTOPHER ROBERT C	FID	SWFT	S	500	8.98	n/a	n/a	0.00	0.0
FIRST NEW YORK LEDDY	035	S	S	20,000	3.79	n/a	n/a	800.00	4.0
SOROS	036	S	SS	250,000	3.75	n/a	n/a	6,250.00	2.5
SUTTON BROOK	086	S	B	500,000	3.80	n/a	n/a	15,000.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JENNIFER CORWIN GLIC	FID	TFM	S	400	38.46	n/a	n/a	0.00	0.0
HIGHBRIDGE CAP	041	TGT	B	10,000	51.34	n/a	17-Aug	300.00	3.0
HIGHBRIDGE CAP	041	TIF	B	8,000	72.46	n/a	n/a	240.00	3.0
f JOSEPH CIRO AMATURO	FID	TZA	B	1000	39.75	n/a	n/a	0.00	0.0
STATE TEACHERS RET SYS	047	T	S	50,000	28.92	n/a	n/a	2,500.00	5.0
RIDGECREST INV MGMT LLC	028	URI	B	10,000	17.27	n/a	n/a	500.00	5.0
ROSEDALE CAPITAL	046	VOD	B	20,000	26.48	n/a	n/a	1,000.00	5.0
TRUST CO/COWEN/CALF.	040	WFT	B	100,000	17.06	n/a	n/a	4,000.00	4.0
BNP PARIBAS SEC	040	WRC	S	20,000	54.49	n/a	2-Aug	1,000.00	5.0
B BUCK CAPITAL MGMT		WSM	SS	100,000	33.00	n/a	n/a	non-brg	4.0
f JOHN MICHAEL ZOLIDIS	FID	WYNN	S	40	154.00	n/a	13-Jun	0.00	0.0
f JOHN BARTMAN COLE	FID	XPO	B	2550	3.04	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	XPO	B	500	2.98	n/a	n/a	0.00	0.0
LEVIN CAPITAL STRATEGIES	041	XRT	SS	26,000	49.72	n/a	n/a	780.00	3.0
TOTAL (Trade Date) :								60,558.44	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	08/30	DELTEC ASSET MGMT.	040	TKR	B	10,000	38.20	n/a	n/a	500.00 5.0
AO,CXL	08/30	DELTEC ASSET MGMT.	040	TKR	B	10,000	38.20	n/a	n/a	0.00 0.0

TOTAL (AO, CXL, CRT) :	500.00
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TOTAL (Trade Date) :	60,558.44
TOTAL (AO, CXL, CRT) :	500.00

TOTAL (RUN DATE) / NFS:	61,058.44
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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 31-Aug.
NONE

MRI Securities without Trade Activity on 31-Aug.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 1%
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)