



Daily Compliance Activity Report

Trade Date: 09/13/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f MAY Y TANG	FID	AAPL	S	30	382.04	n/a	n/a	0.00	0.0
TROUBH PART	070	ADBE	S	10,000	25.02	n/a	n/a	500.00	5.0
ROYCE TRADING	031	AEO	B	5,000	10.93	n/a	25-Aug	250.00	5.0
RAINIER INV MGMT	035	ANF	B	56,540	64.83	n/a	18-Aug	2,261.60	4.0
B BUCK CAPITAL MGMT		APO	S	200	11.26	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		APO	S	300	11.26	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		APO	S	300	11.26	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		APO	S	600	11.26	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		APO	S	600	11.26	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		APO	S	8,000	11.26	n/a	n/a	non-brg	4.0
MA CAPITAL MGMT/MELLON ADV041		BWA	B	3,000	67.43	n/a	29-Jul	90.00	3.0
SCHOTTENFELD ASSOC	041	BWA	S	4,300	67.55	n/a	29-Jul	129.00	3.0
f DAVID GEORGE BUCK	FID	CAH	S	15	0.35	n/a	n/a	0.00	0.0
NEWLAND CAPITAL MGT	025	CFX	S	12,060	21.82	n/a	n/a	482.40	4.0
f CHRISTOPHER ROBERT C	FID	CMI	S	50	92.71	n/a	27-Jul	0.00	0.0
RAINIER INV MGMT	035	CRS	B	33,070	49.48	n/a	n/a	1,322.80	4.0
B BUCK CAPITAL MGMT		CSTR	S	10,000	45.45	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
1798 CAP/LOMBARD ASSET	040	CSX	C	45,000	20.19	n/a	n/a	2,250.00	5.0
TUDOR INVESTORS	028	DECK	S	7,576	93.03	n/a	n/a	227.28	3.0
SONTERRA CAP	041	DG	B	100,000	35.87	n/a	30-Aug	4,000.00	4.0
MAIRS AND POWER INV	030	DIS	B	10,000	31.26	n/a	n/a	500.00	5.0
HIGHBRIDGE CAP	041	DKS	B	15,000	33.02	n/a	16-Aug	450.00	3.0
B BUCK CAPITAL MGMT		DRI	C	40,000	43.88	n/a	7-Sep	non-brg	4.0
PIIONEER PATH	028	DRI	SS	25,000	43.96	n/a	7-Sep	750.00	3.0
f EDWARD W WHEELER	FID	ECL	S	5000	50.02	n/a	9-Sep	0.00	0.0
f JILL ROSENBERG	FID	FCSAX	S	157	10.20	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FCSAX	S	167	10.20	n/a	n/a	0.00	0.0
f JILL ROSENBERG	FID	FILEFX	B	90	7.77	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FILEFX	B	77	7.77	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FINL	S	25,000	20.04	n/a	1-Sep	non-brg	4.0
f MARC PAUL LUCHANSKY	FID	FKRCX	B	10	47.66	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FL	S	24,400	20.45	n/a	19-Aug	non-brg	4.0
STANDARD PACIFIC CAPITAL	040	FL	S	100,000	20.24	n/a	19-Aug	5,000.00	5.0
f JILL ROSENBERG	FID	FNSXX	B	400	1.00	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JILL ROSENBERG	FID	FPCIX	B	113	10.64	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FPCIX	B	122	10.64	n/a	n/a	0.00	0.0
f JILL ROSENBERG	FID	FSCFX	S	119	10.08	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FSCFX	S	129	10.08	n/a	n/a	0.00	0.0
f JILL ROSENBERG	FID	FSGFX	B	45	11.09	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FSGFX	B	99	11.09	n/a	n/a	0.00	0.0
f JILL ROSENBERG	FID	FSHBX	B	70	8.52	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FSHBX	B	70	8.52	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FUSOX	S	44	9.19	n/a	n/a	0.00	0.0
f JILL ROSENBERG	FID	FVSAX	S	98	12.21	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FVSAX	S	106	12.21	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		GIII	B	20,000	20.52	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		GIII	B	3,000	20.80	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		GIII	B	30,000	20.90	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GIII	B	47,000	20.79	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		GMCR	S	10,000	113.03	n/a	n/a	non-brg	1.0
KLEINHEINZ CAP PART	031	HRB	S	100,000	13.17	n/a	n/a	5,000.00	5.0
NOMURA CAPITAL	029	IPHS	S	8,302	38.61	n/a	n/a	249.06	3.0
COBALT	041	IP	S	100,000	26.48	n/a	6-Sep	4,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROSEDALE CAPITAL	046	JCI	B	15,000	28.71	n/a	18-Aug	750.00	5.0
TALPION LLC	040	JWN	SS	5,000	45.95	n/a	2-Sep	200.00	4.0
M&I FUNDS	047	KFT	B	25,000	34.04	n/a	n/a	1,000.00	4.0
f DAVID GEORGE BUCK	FID	KO	S	10	0.28	n/a	20-Jul	0.00	0.0
ADAGE CAPITAL MGMT	030	KR	B	300,261	21.97	n/a	n/a	9,007.83	3.0
MACQUARIE INVESTMENT MGMT.	040	KR	S	10,000	22.02	n/a	n/a	0.00	0.0
PIONEER PATH	028	MCD	B	25,000	85.81	n/a	9-Sep	750.00	3.0
ROTHSCHILD ASSET	040	MPC	B	13,000	35.10	n/a	n/a	520.00	4.0
B BUCK CAPITAL MGMT		MSMSBCD	C	707,230	87.81	n/a	n/a	non-brg	0.2
B BUCK CAPITAL MGMT		MSMSBCD	SS	707,230	87.81	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		MSMSBCM	C	30,000	87.66	n/a	n/a	non-brg	7.0
B BUCK CAPITAL MGMT		MSMSBCM	C	6,289,924	87.77	n/a	n/a	non-brg	0.2
B BUCK CAPITAL MGMT		MSMSBCM	SS	6,289,924	87.77	n/a	n/a	non-brg	0.0
f EDWARD W WHEELER	FID	MTOR	S	5000	7.01	n/a	n/a	0.00	0.0
BNP PARIBAS SEC	040	NDN	B	23,100	18.75	n/a	22-Aug	1,155.00	5.0
CLOVIS CAPITAL	033	NYB	S	250,000	12.45	n/a	18-Aug	7,500.00	3.0
ROTHSCHILD ASSET	040	PCS	S	44,174	10.48	n/a	n/a	1,766.96	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		PII	B	20,000	54.32	n/a	n/a	non-brg	4.0
CHART WELL ADV	028	PIR	S	48,025	10.92	n/a	n/a	1,921.00	4.0
f JILL ROSENBERG	FID	PSFAX	B	61	9.81	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	PSFAX	B	61	9.81	n/a	n/a	0.00	0.0
PILOT ADV	041	RPM	B	15,000	18.13	n/a	n/a	450.00	3.0
1798 CAP/LOMBARD ASSET	040	SE	C	20,000	25.25	n/a	n/a	1,000.00	5.0
f KAREN F LEDDY	FID	SGI	S	300	14.22	n/a	n/a	0.00	0.0
ADAGE CAPITAL MGMT	030	SKX	B	67,200	15.88	n/a	n/a	2,016.00	3.0
B BUCK CAPITAL MGMT		SPY	C	90,800	117.60	n/a	n/a	non-brg	2.0
MA CAPITAL MGMT/MELLON ADV	041	SWFT	S	6,000	8.20	n/a	n/a	180.00	3.0
f DAVID GEORGE BUCK	FID	SYK	B	2000	47.65	n/a	n/a	0.00	0.0
FIRST NEW YORK NICK	029	S	S	10,000	3.57	n/a	n/a	500.00	5.0
ADAGE CAPITAL MGMT	030	TGT	B	158,000	50.93	n/a	1-Sep	4,740.00	3.0
f CHRISTOPHER ROBERT C	FID	TIN	S	100	31.19	n/a	13-Sep	0.00	0.0
DAVIDSON KEMPNER ADVISOR	040	TIN	S	100,000	31.08	n/a	13-Sep	5,000.00	5.0
PILOT ADV	041	TKR	B	17,700	34.65	n/a	n/a	531.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LISTED ERR	099	TKR	B	300	34.65	n/a	n/a	0.00	0.0
LISTED ERR	099	TKR	S	300	34.87	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	TYC	S	100	41.45	n/a	18-Aug	0.00	0.0
AVESTA CAP	229	ULTA	S	25,000	69.79	n/a	n/a	750.00	3.0
f EDWARD W WHEELER	FID	VE	B	5000	13.71	n/a	n/a	0.00	0.0
ACK ASSET	028	WBC	B	60,000	47.34	n/a	18-Aug	1,800.00	3.0
f CHRISTOPHER ROBERT C	FID	WNC	B	1000	5.28	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		WSM	C	80,000	32.33	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		XLFF	SS	27,000	12.50	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		XLFF	SS	31,000	12.50	n/a	n/a	non-brg	2.0
WEISS PECK	040	XLFF	B	7,100	12.54	n/a	n/a	213.00	3.0
f MICHAEL C PERILLO	FID	XPO	B	130	10.62	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		XRT	SS	35,500	48.52	n/a	n/a	non-brg	2.0
PIONEER PATH	028	YUM	SS	25,000	52.18	n/a	10-Aug	750.00	3.0
SIMMONS VENTURES	041	ZQK	B	5,000	3.72	n/a	10-May	200.00	4.0
f KEVIN MICHAEL O'GORM	FID	ZSL	B	3000	11.76	n/a	n/a	0.00	0.0

TOTAL (Trade Date):

70,162.93

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):									70,162.93
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									70,162.93
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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 13-Sep.
NONE

MRI Securities without Trade Activity on 13-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)