



Daily Compliance Activity Report

Trade Date: 07/15/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f KEVIN MICHAEL O'GORM	FID	ABG	S	2000	19.18	n/a	14-Jul	0.00	0.0
SAC COHEN	044	AGCO	SS	25,600	48.16	n/a	27-Apr	896.00	3.5
CADIAN CAPITAL	041	ANF	S	30,000	73.07	n/a	19-May	900.00	3.0
PILOT ADV	041	ANF	B	2,000	73.87	n/a	19-May	60.00	3.0
B BUCK CAPITAL MGMT		ARO	SS	40,000	17.15	n/a	20-May	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	ATI	S	100	65.47	n/a	n/a	0.00	0.0
PZENA INV ADV	044	BDX	S	100,688	87.10	n/a	n/a	3,524.13	3.5
SANDLER CAPITAL	028	BEBE	B	220,000	7.61	n/a	n/a	8,800.00	4.0
B BUCK CAPITAL MGMT		BID	B	10,000	44.86	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CCL	B	25,000	35.29	n/a	n/a	non-brg	4.0
SENATOR INVESTMENT GROUP	036	CLX	B	100,000	73.61	n/a	20-Jun	3,000.00	3.0
B BUCK CAPITAL MGMT		CMG	SS	20,000	323.02	n/a	13-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		COF	B	27,500	48.89	n/a	15-Jul	non-brg	1.0
f MARC PAUL LUCHANSKY	FID	COF	B	300	48.70	n/a	15-Jul	0.00	0.0
BALLAST CAP	040	COT	B	10,000	8.41	n/a	n/a	300.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MARK DEVEREAUX KAICH	FID	CRMBW	B	500	2.00	n/a	n/a	0.00	0.0
SOROS	036	DNDN	B	125,000	38.76	n/a	n/a	5,000.00	4.0
B BUCK CAPITAL MGMT		DSW	B	50,000	54.16	n/a	11-Feb	non-brg	4.0
CRAMER ROSENTHAL/SCOTT	012	EFX	B	223,800	34.23	n/a	n/a	8,952.00	4.0
B BUCK CAPITAL MGMT		FL	B	30,000	23.22	n/a	2-Jun	non-brg	4.0
BNP PARIBAS SEC	040	FOE	SS	20,000	13.51	n/a	n/a	1,000.00	5.0
SCOPUS FUND	041	FOE	B	25,000	13.66	n/a	n/a	1,000.00	4.0
LISTED ERR	099	FOE	B	3,140	13.50	n/a	n/a	0.00	0.0
LISTED ERR	099	FOE	S	3,140	13.50	n/a	n/a	0.00	0.0
MILLENNIUM-ICS BOBBY	044	F	B	5,000	13.13	n/a	14-Jul	150.00	3.0
OZ MGMT	040	F	S	200,000	13.07	n/a	14-Jul	4,500.00	2.3
WOOSTER CAPITAL	035	F	B	50,000	13.09	n/a	14-Jul	2,500.00	5.0
MACQUARIE INVESTMENT MGMT.	040	GIS	B	5,000	37.68	n/a	n/a	0.00	0.0
BNP PARIBAS SEC	040	GLW	B	25,000	16.69	n/a	15-Jul	1,250.00	5.0
CATAPULT	040	GM	SS	18,200	29.77	n/a	14-Jul	728.00	4.0
CATAPULT	040	GM	S	300	29.81	n/a	14-Jul	12.00	4.0
SUFFOLK CAPITAL MGMT	040	HBAN	S	73,200	6.16	n/a	n/a	2,928.00	4.0
f CHRISTOPHER ROBERT C	FID	HBI	S	200	31.87	n/a	21-Apr	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
IVORY CAPITAL	034	INFY	SS	9,100	61.25	n/a	n/a	273.00	3.0
BMO NESBITT BURNS	041	IP	SS	36,000	29.84	n/a	14-Jul	1,800.00	5.0
SAC COHEN	044	IP	B	300	29.70	n/a	14-Jul	10.50	3.5
MFP INVESTORS	085	JNS	B	17,200	8.78	n/a	n/a	688.00	4.0
PZENA INV ADV	044	JPM	B	1,550	39.73	n/a	14-Jul	54.26	3.5
MACQUARIE INVESTMENT MGMT.	040	KMB	B	5,000	66.79	n/a	20-Jun	0.00	0.0
B BUCK CAPITAL MGMT		LTD	S	120,000	39.52	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		MAT	S	25,000	27.79	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		MAT	S	50,000	27.22	n/a	n/a	non-brg	4.0
SIGMA CAPITAL ASSOCIATES	041	MAT	B	100,000	27.22	n/a	n/a	3,500.00	3.5
DALTON GREINER	012	MLI	S	16,760	45.36	n/a	27-Apr	838.00	5.0
B BUCK CAPITAL MGMT		MNRO	S	22,041	36.74	n/a	n/a	non-brg	4.0
SOROS	036	MSI	S	225,000	43.79	n/a	n/a	9,000.00	4.0
IVORY CAPITAL	034	MWW	S	90,000	13.15	n/a	n/a	4,500.00	5.0
KLEINHEINZ CAP PART	031	M	S	20,000	29.84	n/a	8-Jul	1,000.00	5.0
GOLD SACHS SPECIAL SIT	030	PFCB	S	51,600	40.44	n/a	11-Jul	2,580.00	5.0
B BUCK CAPITAL MGMT		RCL	B	10,000	34.58	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		RCL	B	10,000	34.58	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		RCL	B	15,000	34.57	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		RCL	B	17,000	34.66	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		RCL	B	17,000	34.66	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		RCL	B	18,000	34.82	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		RCL	B	18,000	34.82	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		RCL	B	30,000	34.58	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		RCL	B	5,000	34.57	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		RCL	B	5,000	34.57	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		RCL	B	51,000	34.66	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		RCL	B	54,000	34.82	n/a	n/a	non-brg	4.0
SIGMA CAPITAL ASSOCIATES	041	RGC	B	25,000	11.58	n/a	n/a	875.00	3.5
f CHRISTOPHER ROBERT C	FID	RKT	B	100	61.88	n/a	n/a	0.00	0.0
SOROS	036	RL	S	85,000	134.29	n/a	26-May	3,400.00	4.0
ß BUCK CAPITAL MGMT		SFER IM	B	40,000	14.99	n/a	n/a	non-brg	2.1
PILOT ADV	041	SHW	B	5,500	83.32	n/a	27-May	165.00	3.0
ß BUCK CAPITAL MGMT		SIX	SS	30,000	35.05	n/a	n/a	non-brg	4.0
f JOSEPH CIRO AMATURO	FID	SODA	B	1000	73.20	n/a	n/a	0.00	0.0
f JASON ERIC COHEN	FID	SPY	B	82	131.47	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SUMR	S	20,998	8.56	n/a	n/a	non-brg	1.0
NEWLAND CAPITAL MGT	025	TEU	S	38,007	10.77	n/a	n/a	1,520.28	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	TGT	SS	20,000	51.01	n/a	7-Jul	800.00	4.0
BALYASNY ASSET MGMT	044	TIN	B	25,000	31.11	n/a	14-Jul	1,250.00	5.0
ELM RIDGE ADVISORS	044	TIN	S	99,600	31.11	n/a	14-Jul	3,984.00	4.0
SAC COHEN	044	TYC	B	9,300	47.83	n/a	28-Apr	325.50	3.5
Ⓐ BUCK CAPITAL MGMT		URBN	B	100,000	31.29	n/a	n/a	non-brg	2.5
Ⓐ BUCK CAPITAL MGMT		URBN	C	50,000	31.20	n/a	n/a	non-brg	4.0
Ⓐ BUCK CAPITAL MGMT		VECO	SS	30,000	41.09	n/a	n/a	non-brg	4.0
CHESAPEAKE PARTNERS	028	VRX	S	20,000	54.78	n/a	n/a	600.00	3.0
LEVIN CAPITAL STRATEGIES	012	WRC	B	50,000	55.34	n/a	6-May	1,500.00	3.0
f CHRISTOPHER ROBERT C	FID	WYNN	S	50	160.08	n/a	13-Jun	0.00	0.0
T. ROWE PRICE	033	WY	B	203,700	21.68	n/a	14-Jul	8,148.00	4.0
TOTAL (Trade Date):								92,311.67	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	07/14	STATE TEACHERS RET SYS	047	CWH	B	10,000	23.70	n/a	n/a	500.00 5.0
AO,CXL	07/14	STATE TEACHERS RET SYS	047	CWH	B	10,000	23.70	n/a	n/a	300.00 3.0
AO,CRT	07/14	STATE TEACHERS RET SYS	047	PDM	B	10,000	20.50	n/a	n/a	500.00 5.0
AO,CXL	07/14	STATE TEACHERS RET SYS	047	PDM	B	10,000	20.50	n/a	n/a	300.00 3.0
AO,CXL	07/14	BUCK CAPITAL MGMT	001	PVH	S	18,200	72.14	n/a	2-Jun	546.00 3.0
AO,CRT	07/14	BUCK CAPITAL MGMT	001	PVH	S	18,200	72.14	n/a	2-Jun	546.00 3.0
AO,CRT	07/14	STATE TEACHERS RET SYS	047	RLJ	B	10,000	17.40	n/a	n/a	500.00 5.0
AO,CXL	07/14	STATE TEACHERS RET SYS	047	RLJ	B	10,000	17.40	n/a	n/a	300.00 3.0
AO,	07/14	1798 CAP/LOMBARD ASSET	040	RSH	SS	25,000	12.89	n/a	n/a	1250.00 5.0
AO,CRT	07/14	COBALT	041	TSN	B	98,500	18.66	n/a	n/a	3940.00 4.0
AO,CXL	07/14	COBALT	041	TSN	B	98,500	18.66	n/a	n/a	3940.00 4.0
AO,	07/14	1798 CAP/LOMBARD ASSET	040	YUM	B	25,000	56.47	n/a	14-Jul	1250.00 5.0
TOTAL (AO, CXL, CRT) :										3,100.00

TOTAL (Trade Date):	92,311.67
TOTAL (AO, CXL, CRT):	3,100.00

TOTAL (RUN DATE) / NFS:

95,411.67

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 15-Jul.
NONE

MRI Securities without Trade Activity on 15-Jul.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 0%
YTD = 3%

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)