



Daily Compliance Activity Report

Trade Date: 07/05/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		1913 HK	B	300,000	5.77	n/a	n/a	non-brg	1.2
B BUCK CAPITAL MGMT		ANN	B	20,000	26.82	n/a	n/a	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	ANR	S	200	46.11	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	ASH	S	1500	65.28	n/a	1-Jun	0.00	0.0
B BUCK CAPITAL MGMT		AXE	B	10,000	65.40	n/a	22-Jun	non-brg	2.5
SAC CHICAGO ANDREW	031	BBY	SS	100,000	32.27	n/a	n/a	3,500.00	3.5
B BUCK CAPITAL MGMT		BID	S	1,000	46.21	n/a	n/a	non-brg	2.5
f JOEL GIFFORD TISS	FID	BPZ	S	10000	3.72	n/a	n/a	0.00	0.0
WEISS PECK	040	BWS	S	104,030	10.46	n/a	n/a	5,201.50	5.0
B BUCK CAPITAL MGMT		CBK	C	10,000	6.46	n/a	n/a	non-brg	2.5
LATEFF MGMT	035	CSCO	B	250	15.69	n/a	n/a	37.50	15.0
B BUCK CAPITAL MGMT		CSTR	S	1,000	55.95	n/a	n/a	non-brg	2.5
LATEFF MGMT	035	DAL	B	1,500	9.14	n/a	n/a	120.00	8.0
SEVEN LOCKS CAPITAL	025	DAN	B	20,000	18.59	n/a	25-May	600.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
B BUCK CAPITAL MGMT		DDS	S	1,500	53.63	n/a	n/a	non-brg 2.5
f DAVID GEORGE BUCK	FID	DD	B	1000	54.72	n/a	30-Jun	0.00 0.0
B BUCK CAPITAL MGMT		ESV	B	20,000	52.48	n/a	n/a	non-brg 4.0
NOKOMIS PARTNERS	031	EXTR	B	41,021	3.20	n/a	n/a	820.42 2.0
B BUCK CAPITAL MGMT		GCO	S	1,000	53.86	n/a	n/a	non-brg 2.5
B BUCK CAPITAL MGMT		GIII	S	2,000	36.13	n/a	n/a	non-brg 2.5
CAMBIAR CAP	046	GLW	S	100,000	18.34	n/a	20-May	4,000.00 4.0
LEVIN CAPITAL STRATEGIES	012	GM	B	10,000	31.30	n/a	5-Jul	300.00 3.0
TROUBH PART	070	GM	B	2,600	31.05	n/a	5-Jul	130.00 5.0
B BUCK CAPITAL MGMT		HBI	S	2,000	29.88	n/a	21-Apr	non-brg 2.5
f ALICE BEEBE LONGLEY	FID	HOT	S	200	57.82	n/a	13-Jun	0.00 0.0
f ALICE BEEBE LONGLEY	FID	HT	S	1500	5.70	n/a	n/a	0.00 0.0
CATAPULT	040	IP	SS	15,000	29.88	n/a	21-Jun	600.00 4.0
COBALT	041	IP	SS	100,000	29.94	n/a	21-Jun	4,000.00 4.0
TUDOR INVESTORS	028	IR	SS	3,000	46.89	n/a	19-May	90.00 3.0
TUDOR INVESTORS	028	IYT	B	2,000	99.50	n/a	n/a	60.00 3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEWLAND CAPITAL MGT	025	JCI	S	15,000	42.08	n/a	28-Jun	600.00	4.0
CR INTRINIC INVESTMENT	044	JCP	B	20,000	34.25	n/a	30-Jun	700.00	3.5
f DAVID GEORGE BUCK	FID	JPM	S	30	0.49	n/a	1-Jul	0.00	0.0
SONTERRA CAP	041	KMX	SS	20,000	33.93	n/a	n/a	800.00	4.0
CYRUS CAPITAL	025	KND	B	16,200	21.86	n/a	n/a	486.00	3.0
LATEFF MGMT	035	KR	S	2,250	25.10	n/a	n/a	250.00	15.0
B BUCK CAPITAL MGMT		KSS	S	1,000	51.62	n/a	30-Jun	non-brg	2.5
ADALY INV MGMT	031	LEA	B	15,900	53.45	n/a	2-May	795.00	5.0
LEVIN CAPITAL STRATEGIES	012	LEA	S	5,890	53.44	n/a	2-May	176.70	3.0
MILLENNIUM-ICS BOBBY	044	LEA	B	10,000	52.97	n/a	2-May	300.00	3.0
B BUCK CAPITAL MGMT		LTD	S	3,000	39.28	n/a	n/a	non-brg	2.5
f ALICE BEEBE LONGLEY	FID	MAR	S	200	36.32	n/a	13-Jun	0.00	0.0
CHESAPEAKE PARTNERS	028	MF	S	100	7.90	n/a	n/a	3.00	3.0
ROYCE TRADING	012	MLI	B	500	38.46	n/a	27-Apr	25.00	5.0
B BUCK CAPITAL MGMT		MNRO	S	35,000	37.46	n/a	n/a	non-brg	4.0
SCOPUS FUND	041	MOS	B	25,000	68.78	n/a	n/a	1,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		M	S	5,000	29.75	n/a	30-Jun	non-brg	2.5
f HARALAMBOS EFSTATHI	FID	NYB	B	300	15.33	n/a	24-Jun	0.00	0.0
SONTERRA CAP	041	OSK	B	50,000	32.53	n/a	n/a	2,000.00	4.0
SAC TRADING TOM LEDDY	035	PETM	SS	25,000	45.98	n/a	n/a	875.00	3.5
SIGMA CAPITAL ASSOCIATES	041	PIR	SS	25,000	11.96	n/a	n/a	875.00	3.5
SMITH MGMT LLC	029	PSS	B	363,000	15.11	n/a	n/a	10,890.00	3.0
B BUCK CAPITAL MGMT		PVH	S	1,500	68.10	n/a	2-Jun	non-brg	2.5
B BUCK CAPITAL MGMT		RL	SS	30,000	133.50	n/a	26-May	non-brg	4.0
NOKOMIS PARTNERS	031	RMBS	B	10,500	14.74	n/a	n/a	262.50	2.5
f DAVID GEORGE BUCK	FID	SBUX	S	1010	27.42	n/a	28-Apr	0.00	0.0
B BUCK CAPITAL MGMT		SFLY	S	1,500	59.58	n/a	n/a	non-brg	2.5
SONTERRA CAP	041	SMG	SS	30,000	50.16	n/a	20-Jun	1,200.00	4.0
B BUCK CAPITAL MGMT		SODA	S	500	69.02	n/a	n/a	non-brg	2.5
SOROS	036	SPY	C	2,000,000	133.79	n/a	n/a	60,000.00	3.0
f DAVID GEORGE BUCK	FID	SYK	S	1000	59.72	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FIRST NEW YORK LEDDY	035	S	B	20,000	5.38	n/a	n/a	800.00	4.0
f HARALAMBOS EFSTATHI	FID	TBT	S	300	34.45	n/a	n/a	0.00	0.0
SONTERRA CAP	041	THO	B	20,000	28.80	n/a	n/a	800.00	4.0
SCOPUS FUND	041	TIF	B	25,000	80.69	n/a	n/a	1,000.00	4.0
SIGMA CAPITAL ASSOCIATES	041	TJX	S	25,000	53.63	n/a	30-Jun	875.00	3.5
PARAMETER CAPITAL MGMT LLC	044	TXT	S	42,500	22.63	n/a	n/a	1,700.00	4.0
f WILLIAM J GAULT	FID	WNC	S	2000	9.61	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		WRC	S	30,000	52.92	n/a	6-May	non-brg	4.0
B BUCK CAPITAL MGMT		WRC	S	50,000	52.78	n/a	6-May	non-brg	1.0
BALLAST CAP	040	WU	S	15,300	19.72	n/a	n/a	765.00	5.0
f JOHN MICHAEL ZOLIDIS	FID	WYNN	S	60	149.06	n/a	13-Jun	0.00	0.0
f HARALAMBOS EFSTATHI	FID	XPO	B	4000	3.24	n/a	n/a	0.00	0.0
f JOEL GIFFORD TISS	FID	XPO	B	35100	3.19	n/a	n/a	0.00	0.0
f JOEL GIFFORD TISS	FID		B	10000	12.83	n/a	n/a	0.00	0.0
f JOHN BARTMAN COLE	FID		B	27500	0.32	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								106,637.62	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	07/01	NOMURA CAPITAL	029	ACW	S	10,000	12.97	n/a	n/a	300.00 3.0
AO,	07/01	KENNEDY CAPITAL	046	CBK	S	65,900	6.55	n/a	n/a	1977.00 3.0
AO,	07/01	NOMURA CAPITAL	029	CHTR	S	722	55.01	n/a	n/a	21.66 3.0
AO,	07/01	NOMURA CAPITAL	029	CORE	S	1,934	36.66	n/a	n/a	58.02 3.0
AO,CRT	07/01	BNP PARIBAS SEC	040	USG	B	20,000	14.57	n/a	20-Apr	1000.00 5.0
AO,CXL	07/01	BNP PARIBAS SEC	040	USG	B	20,000	14.57	n/a	20-Apr	0.00 0.0
TOTAL (AO, CXL, CRT) :										3,356.68

TOTAL (Trade Date):	106,637.62
TOTAL (AO, CXL, CRT):	3,356.68

TOTAL (RUN DATE) / NFS:	109,994.30
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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 5-Jul.
NONE

MRI Securities without Trade Activity on 5-Jul.
CBT

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)