



Daily Compliance Activity Report

Trade Date: 08/24/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f DAVID GEORGE BUCK	FID	ARE	S	1000	68.98	n/a	n/a	0.00	0.0
HIGHBRIDGE CAP	041	BBY	SS	21,000	24.43	n/a	n/a	630.00	3.0
f CHRISTOPHER ROBERT C	FID	CAT	S	50	83.93	n/a	25-Jul	0.00	0.0
CHESAPEAKE PARTNERS	028	CCI	S	10,000	41.35	n/a	n/a	300.00	3.0
ENTRUST CAPITAL	040	CCK	B	24,300	33.67	n/a	n/a	1,215.00	5.0
f CHRISTOPHER ROBERT C	FID	CMI	S	50	85.01	n/a	27-Jul	0.00	0.0
f MANNY I KORMAN	FID	CMI	B	2000	86.57	n/a	27-Jul	0.00	0.0
f MARC PAUL LUCHANSKY	FID	COF	B	100	44.54	n/a	17-Aug	0.00	0.0
HIGHBRIDGE CAP	041	COH	B	5,000	51.09	n/a	3-Aug	150.00	3.0
f MARC PAUL LUCHANSKY	FID	COH	B	100	51.99	n/a	3-Aug	0.00	0.0
B BUCK CAPITAL MGMT		COLM	C	17,427	49.86	n/a	n/a	non-brg	4.0
RAINIER INV MGMT	035	CSX	S	67,900	20.57	n/a	n/a	2,716.00	4.0
f CHRISTOPHER ARTHUR K	FID	CVGI	B	500	6.36	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	CVGI	B	1000	6.48	n/a	n/a	0.00	0.0
KLEINHEINZ CAP PART	031	CVS	B	75,000	34.26	n/a	n/a	3,750.00	5.0
f CHRISTOPHER ROBERT C	FID	DAN	B	500	11.46	n/a	29-Jul	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	FRANCIS MICHAEL MCCA	FID	DAN	B	1200	11.58	n/a	29-Jul	0.00	0.0
	HIGHBRIDGE CAP	041	DECK	B	3,212	81.15	n/a	n/a	96.36	3.0
f	DAVID GEORGE BUCK	FID	DIS	B	1000	32.42	n/a	n/a	0.00	0.0
f	CICILY S BACKUS	FID	DLA	B	4000	16.52	n/a	n/a	0.00	0.0
	AVENUE CAPITAL MGMT	070	DYN	S	101,780	3.89	n/a	n/a	3,053.40	3.0
	TALPION LLC	040	D	C	20,000	49.02	n/a	n/a	800.00	4.0
f	REUBEN D DVORETSKY	FID	EDAC	S	465	6.42	n/a	n/a	0.00	0.0
f	MITCHELL JAMES SPEIS	FID	FSNXX	B	3659	1.00	n/a	n/a	0.00	0.0
f	FRANCIS MICHAEL MCCA	FID	GES	B	200	33.25	n/a	18-Jul	0.00	0.0
f	KEVIN MICHAEL O'GORM	FID	GLD	S	200	176.54	n/a	n/a	0.00	0.0
	CYPRESS CAP MGMT LLC	040	GME	B	39,533	22.72	n/a	n/a	1,581.32	4.0
	GEOSPHERE CAPITAL MGMT	299	HFC	S	84,688	67.41	n/a	n/a	2,540.64	3.0
	TALPION LLC	040	HOT	C	5,000	42.66	n/a	13-Jun	200.00	4.0
f	DAVID GEORGE BUCK	FID	JPM	B	1000	35.56	n/a	24-Aug	0.00	0.0
B	BUCK CAPITAL MGMT		KSS	SS	20,000	46.95	n/a	12-Aug	non-brg	4.0
	MERRILL ASSET/BLACKROCK	297	LAZ	B	11,100	27.36	n/a	24-Aug	444.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MILLRACE FUND LP	028	LEA	B	2,000	42.40	n/a	5-Aug	80.00	4.0
BNP PARIBAS SEC	040	LPX	B	30,000	6.09	n/a	5-Aug	1,500.00	5.0
WEINTRAUB CAPITAL MGT.	040	LPX	B	200,000	6.16	n/a	5-Aug	6,000.00	3.0
CHESAPEAKE PARTNERS	028	LSTZA	S	5,000	68.50	n/a	n/a	150.00	3.0
f DAVID GEORGE BUCK	FID	LULU	S	1000	50.93	n/a	10-Jun	0.00	0.0
f DAVID GEORGE BUCK	FID	MCD	B	1000	89.85	n/a	8-Aug	0.00	0.0
f MANNY I KORMAN	FID	MMM	B	2000	80.20	n/a	24-Aug	0.00	0.0
TYEE/TYGH	035	MOD	S	82,600	10.39	n/a	n/a	2,478.00	3.0
ß BUCK CAPITAL MGMT		MSMSBCD	C	784,959	87.24	n/a	n/a	non-brg	0.3
ß BUCK CAPITAL MGMT		MSMSBCD	SS	784,959	87.24	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		MSMSBCM	C	6,124,310	87.20	n/a	n/a	non-brg	0.3
ß BUCK CAPITAL MGMT		MSMSBCM	SS	6,124,310	87.20	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		MSMSBCM	SS	90,000	86.78	n/a	n/a	non-brg	6.9
f KAREN F LEDDY	FID	MTH	S	500	15.48	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		MW	B	100,000	27.80	n/a	n/a	non-brg	4.0
f CHRISTOPHER ARTHUR K	FID	NGK	S	1004	14.33	n/a	n/a	0.00	0.0
TALPION LLC	040	NLSN	B	5,000	27.71	n/a	n/a	200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JASON ERIC COHEN	FID	NX	B	300	10.85	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		PERY	B	25,000	19.17	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		PVH	B	12,900	57.45	n/a	18-Jul	non-brg	4.0
HIGHBRIDGE CAP	041	ROST	B	4,000	73.70	n/a	n/a	120.00	3.0
B BUCK CAPITAL MGMT		SHOO	B	50,000	34.99	n/a	n/a	non-brg	4.0
SCOPUS FUND	041	SWFT	B	10,000	7.67	n/a	n/a	400.00	4.0
MTB INV ADV	034	TEN	B	20,000	29.80	n/a	n/a	1,000.00	5.0
f MANNY I KORMAN	FID	TEVA	B	5000	39.58	n/a	22-Aug	0.00	0.0
DSG CAPITAL	030	TEX	B	30,000	14.13	n/a	22-Jul	900.00	3.0
ASCEND PARTNERS	033	TGT	B	81,261	50.93	n/a	17-Aug	2,437.83	3.0
HIGHBRIDGE CAP	041	TGT	B	5,000	50.51	n/a	17-Aug	150.00	3.0
BASIX	033	TIN	S	15,000	22.51	n/a	4-Aug	450.00	3.0
JET CAPITAL/CHRIS	041	TIN	S	25,000	21.98	n/a	4-Aug	750.00	3.0
f JOHN BARTMAN COLE	FID	TLB	S	1000	2.73	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	TZA	B	1000	49.50	n/a	n/a	0.00	0.0
HUNTER GLOBAL INVESTOR	028	VMC	B	61,000	33.16	n/a	n/a	3,050.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f FRANCIS MICHAEL MCCA	FID	WBC	B	200	44.51	n/a	18-Aug	0.00	0.0
f MANNY I KORMAN	FID	WBC	B	5000	44.97	n/a	18-Aug	0.00	0.0
RAINIER INV MGMT	035	XEL	B	66,430	24.29	n/a	n/a	2,657.20	4.0
WEISS PECK	040	XLE	S	5,200	65.86	n/a	n/a	156.00	3.0
WEISS PECK	040	XLFX	S	27,000	12.68	n/a	n/a	810.00	3.0
f CHRISTOPHER ARTHUR K	FID	XPO	B	2500	2.80	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	XPO	B	500	2.90	n/a	n/a	0.00	0.0
f JOHN BARTMAN COLE	FID		B	10000	0.15	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								40,765.75	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/19	PROSPECTOR PARTNERS LLC	036	L	B	7,600	35.59	n/a	n/a	304.00 4.0
AO,	08/19	PROSPECTOR PARTNERS LLC	036	L	B	900	35.59	n/a	n/a	36.00 4.0
AO,CRT	08/19	PROSPECTOR PARTNERS LLC	036	L	B	6,700	35.59	n/a	n/a	268.00 4.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date):	40,765.75
TOTAL (AO, CXL, CRT):	0.00

TOTAL (RUN DATE) / NFS:	40,765.75
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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 24-Aug.
NONE

MRI Securities without Trade Activity on 24-Aug.
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)