



Daily Compliance Activity Report

Trade Date: 08/09/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Ö Abram Chappel		AAPL	B	13	366.39	n/a	n/a	0.00	0.0
Ö Abram Chappel		ABX	S	140	46.04	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	ACIW	B	16,100	29.87	n/a	n/a	644.00	4.0
HIGHBRIDGE CAP	041	AEO	B	90,244	11.26	n/a	26-May	2,707.32	3.0
HIGHBRIDGE CAP	041	ANF	B	8,000	63.94	n/a	5-Aug	240.00	3.0
B BUCK CAPITAL MGMT		ANN	B	20,000	20.50	n/a	n/a	non-brg	4.0
THIRD COAST CAPITAL	035	ANN	S	48,000	20.61	n/a	n/a	2,400.00	5.0
f CHRISTOPHER ROBERT C	FID	AONE	B	1000	3.28	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	ARCO	S	3300	21.99	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	ARCO	B	200	21.66	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	ARG	S	5,000	59.31	n/a	28-Jul	150.00	3.0
PIONEER PATH	028	ARIA	B	100,000	8.45	n/a	n/a	3,000.00	3.0
SANDLER O'NEILL ASSET	031	AXP	SS	47,500	43.08	n/a	5-Aug	2,375.00	5.0
HIGHBRIDGE CAP	041	BBBY	B	10,000	51.42	n/a	n/a	300.00	3.0
f MICHAEL C PERILLO	FID	BEE	S	99	4.75	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	BID	B	10,000	33.08	n/a	n/a	300.00	3.0
BNP PARIBAS SEC	040	BKS	S	25,000	15.02	n/a	n/a	1,250.00	5.0
NEUBERGER BERMAN	036	BK	S	593,215	20.31	n/a	9-Aug	23,728.60	4.0
f KAREN F LEDDY	FID	BP	S	450	39.07	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	BWA	S	100	65.42	n/a	29-Jul	0.00	0.0
ß BUCK CAPITAL MGMT		BWLD	C	15,000	54.77	n/a	n/a	non-brg	2.5
f JOHN MICHAEL ZOLIDIS	FID	BWS	S	500	8.27	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		BX	S	1,200	12.40	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BX	S	1,500	12.40	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BX	S	1,600	12.40	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BX	S	2,000	12.40	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BX	S	3,500	12.40	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BX	S	45,000	12.40	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BX	S	5,200	12.40	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BYD	B	19,500	6.00	n/a	n/a	non-brg	1.0
COOPER CREEK PART	028	BZ	B	25,000	4.95	n/a	n/a	1,000.00	4.0
f CHRISTOPHER ROBERT C	FID	CAT	B	50	86.41	n/a	25-Jul	0.00	0.0
f DAVID GEORGE BUCK	FID	CAT	B	40	9.21	n/a	25-Jul	0.00	0.0
f DAVID GEORGE BUCK	FID	CAT	S	40	5.21	n/a	25-Jul	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MITCHELL JAMES SPEIS	FID	CGW	B	500	18.77	n/a	n/a	0.00	0.0
f MITCHELL JAMES SPEIS	FID	CHL	B	200	45.40	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	CHSI	B	20,500	47.42	n/a	n/a	820.00	4.0
f JASON ERIC COHEN	FID	CLNE	S	190	11.21	n/a	n/a	0.00	0.0
TALPION LLC	040	CL	C	5,000	82.37	n/a	1-Aug	200.00	4.0
f CHRISTOPHER ROBERT C	FID	COH	B	100	52.79	n/a	3-Aug	0.00	0.0
f MARC PAUL LUCHANSKY	FID	COH	B	500	52.16	n/a	3-Aug	0.00	0.0
SCOPUS FUND	041	COLM	S	25,000	51.78	n/a	n/a	1,000.00	4.0
SURVEYOR CAPITAL	041	COL	B	10,650	47.38	n/a	2-Aug	319.50	3.0
TUDOR INVESTORS	028	COL	SS	10,000	47.40	n/a	2-Aug	300.00	3.0
f DAVID GEORGE BUCK	FID	CS	S	4000	28.79	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		CVGI	B	20,000	6.69	n/a	n/a	non-brg	3.0
f EDWARD W WHEELER	FID	CVGI	B	5000	6.45	n/a	n/a	0.00	0.0
f JOEL GIFFORD TISS	FID	CVGI	B	10000	6.25	n/a	n/a	0.00	0.0
f JOEL GIFFORD TISS	FID	CVGI	B	1000	6.24	n/a	n/a	0.00	0.0
KLEINHEINZ CAP PART	031	CVS	B	50,000	32.82	n/a	n/a	2,500.00	5.0
SANDLER O'NEILL ASSET	031	C	S	25,000	30.95	n/a	9-Aug	1,250.00	5.0
B BUCK CAPITAL MGMT		DECK	B	20,000	82.13	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CYPRESS CAP MGMT LLC	040	DKS	B	37,100	30.60	n/a	18-May	1,484.00	4.0
HIGHBRIDGE CAP	041	DKS	S	16,900	30.63	n/a	18-May	507.00	3.0
f KEVIN MICHAEL O'GORM	FID	DXD	B	1000	21.57	n/a	n/a	0.00	0.0
f KEVIN MICHAEL O'GORM	FID	DXD	S	1000	20.83	n/a	n/a	0.00	0.0
f BARBARA S LEDDY	FID	EFT	S	16	14.42	n/a	n/a	0.00	0.0
THIRD COAST CAPITAL	035	EXAS	B	15,000	6.18	n/a	n/a	750.00	5.0
f JASON ERIC COHEN	FID	EXP	B	110	18.19	n/a	n/a	0.00	0.0
f SCOTT L BRUNNER	FID	FAS	S	1000	12.71	n/a	n/a	0.00	0.0
ROARING BLUE LION MGMT	012	FDO	B	6,600	44.88	n/a	1-Jul	264.00	4.0
SONTERRA CAP	041	FLO	S	30,000	20.36	n/a	n/a	1,200.00	4.0
B BUCK CAPITAL MGMT		FOSL	B	30,000	76.54	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		FOSL	B	30,000	76.54	n/a	n/a	non-brg	4.0
f JOHN MICHAEL ZOLIDIS	FID	FOSL	B	100	78.81	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	FRED	B	1600	10.98	n/a	n/a	0.00	0.0
f MITCHELL JAMES SPEIS	FID	FSNXX	S	25000	1.00	n/a	n/a	0.00	0.0
MUTUAL OF AMERICA CAPITAL	029	F	S	80,335	10.79	n/a	3-Aug	3,213.40	4.0
SCOPUS FUND	041	GDI	S	21,036	68.18	n/a	n/a	841.44	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	GES	B	10,000	32.17	n/a	18-Jul	300.00	3.0
SONTERRA CAP	041	GE	B	100,000	15.42	n/a	n/a	4,000.00	4.0
Õ Abram Chappel		GG	S	140	46.22	n/a	n/a	0.00	0.0
HIGHBRIDGE CAP	041	GPS	B	31,636	15.99	n/a	n/a	949.08	3.0
AVESTA CAP	229	HD	B	200,000	29.18	n/a	5-Aug	6,000.00	3.0
NOKOMIS PARTNERS	031	HD	B	23,500	29.32	n/a	5-Aug	705.00	3.0
f KAREN F LEDDY	FID	HL	S	1500	6.59	n/a	n/a	0.00	0.0
IRIDIAN ASSET MGMT.	036	HPQ	S	5,060	31.00	n/a	n/a	253.00	5.0
f CHRISTOPHER ROBERT C	FID	HUN	S	300	13.03	n/a	n/a	0.00	0.0
PIONEER PATH	028	INCY	S	75,000	13.42	n/a	n/a	2,250.00	3.0
CONIFER/ISF	025	INTC	S	10,000	20.18	n/a	n/a	500.00	5.0
M&I FUNDS	047	INTC	B	6,617	20.16	n/a	n/a	264.68	4.0
BMO NESBITT BURNS	041	IP	B	2,000	24.06	n/a	4-Aug	80.00	4.0
TALPION LLC	040	IWM	C	15,000	67.89	n/a	n/a	600.00	4.0
f MARC PAUL LUCHANSKY	FID	JCI	B	500	31.39	n/a	8-Aug	0.00	0.0
B BUCK CAPITAL MGMT		JNY	B	200,000	9.70	n/a	28-Jul	non-brg	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TALPION LLC	040	JNY	C	20,000	9.58	n/a	28-Jul	600.00	3.0
⌘ BUCK CAPITAL MGMT		JWN	C	36,900	40.82	n/a	9-Aug	non-brg	4.0
⌘ BUCK CAPITAL MGMT		KBH	B	10,000	6.73	n/a	n/a	non-brg	3.0
PZENA INV ADV	044	KEY	B	32,300	6.68	n/a	n/a	1,130.52	3.5
⌘ BUCK CAPITAL MGMT		KKR	S	1,100	11.34	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		KKR	S	1,500	11.34	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		KKR	S	23,100	11.34	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		KKR	S	3,000	11.34	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		KKR	S	4,600	11.34	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		KKR	S	800	11.34	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		KKR	S	900	11.34	n/a	n/a	non-brg	4.0
f JOEL GIFFORD TISS	FID	KO	S	2383	65.34	n/a	20-Jul	0.00	0.0
TALPION LLC	040	K	C	10,000	51.67	n/a	n/a	400.00	4.0
MILLRACE FUND LP	028	LEA	B	900	40.65	n/a	5-Aug	36.00	4.0
SURVEYOR CAPITAL	041	LEA	B	12,249	42.47	n/a	5-Aug	367.47	3.0
SURVEYOR CAPITAL	041	LMT	SS	1,451	69.24	n/a	27-Jul	43.53	3.0
IRIDIAN ASSET MGMT.	036	LSI	B	262,570	6.45	n/a	n/a	13,128.50	5.0
⌘ BUCK CAPITAL MGMT		LTM	C	30,000	34.84	n/a	n/a	non-brg	4.0
BNP PARIBAS SEC	040	LZ	S	20,000	134.01	n/a	n/a	1,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SIGMA CAPITAL ASSOCIATES	041	MAT	B	50,000	23.70	n/a	n/a	1,750.00	3.5
TALPION LLC	040	MCD	B	10,000	84.04	n/a	8-Aug	400.00	4.0
f BARBARA S LEDDY	FID	MGA	B	150	38.26	n/a	n/a	0.00	0.0
PIONEER PATH	028	MGM	S	10,000	10.91	n/a	13-Jun	300.00	3.0
THOMAS WEISEL ASSET MGMT	035	MHGC	S	12,308	5.09	n/a	n/a	369.24	3.0
PIONEER PATH	028	MO	B	100,000	24.62	n/a	n/a	3,000.00	3.0
B BUCK CAPITAL MGMT		MSMSBCD	C	792,797	86.90	n/a	n/a	non-brg	0.3
B BUCK CAPITAL MGMT		MSMSBCD	SS	792,797	86.90	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		MSMSBCM	C	6,898,516	86.85	n/a	n/a	non-brg	0.3
B BUCK CAPITAL MGMT		MSMSBCM	SS	6,898,516	86.85	n/a	n/a	non-brg	0.0
THOMAS WEISEL ASSET MGMT	035	MSPD	B	10,599	5.89	n/a	n/a	317.97	3.0
B BUCK CAPITAL MGMT		MTH	B	10,000	17.53	n/a	n/a	non-brg	4.0
f WILLIAM J GAULT	FID	MWA	B	10000	2.13	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		M	B	20,000	24.43	n/a	5-Aug	non-brg	4.0
B BUCK CAPITAL MGMT		NBD CN	S	50,000	9.90	n/a	n/a	non-brg	3.0
HARVEST MGMT	029	NDN	B	10,000	17.30	n/a	9-Aug	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WHITE PINE CAPITAL	030	NDN	B	29,250	17.17	n/a	9-Aug	1,462.50	5.0
SURVEYOR CAPITAL	041	NOC	SS	1,932	51.73	n/a	29-Jul	57.96	3.0
⌘ BUCK CAPITAL MGMT		NVDA	C	200,000	12.39	n/a	n/a	non-brg	4.0
M&I FUNDS	047	ORCL	B	5,083	26.10	n/a	n/a	203.32	4.0
⌘ BUCK CAPITAL MGMT		OZM	S	1,100	10.75	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		OZM	S	1,400	10.75	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		OZM	S	1,500	10.75	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		OZM	S	1,900	10.75	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		OZM	S	3,100	10.75	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		OZM	S	4,800	10.75	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		OZM	S	41,200	10.75	n/a	n/a	non-brg	4.0
f MARC PAUL LUCHANSKY	FID	PCAR	B	500	36.31	n/a	27-Jul	0.00	0.0
BMO NESBITT BURNS	041	PCH	S	6,000	31.36	n/a	27-Jul	240.00	4.0
BAIRD INVESTMENT	047	PCP	B	1,404	144.91	n/a	29-Jul	70.20	5.0
f DAVID GEORGE BUCK	FID	PEI	B	2000	10.00	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		PERY	B	10,000	18.09	n/a	n/a	non-brg	4.0
CYPRESS CAP MGMT LLC	040	PETM	B	14,500	39.36	n/a	n/a	580.00	4.0
HIGHBRIDGE CAP	041	PETM	B	13,666	39.36	n/a	n/a	409.98	3.0
TUDOR INVESTORS	028	PH	S	3,000	63.91	n/a	3-Aug	90.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f MITCHELL JAMES SPEIS	FID	PIN	B	200	20.99	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	PKG	B	3,000	22.12	n/a	4-Aug	120.00	4.0
B BUCK CAPITAL MGMT		PLCE	B	20,000	38.32	n/a	8-Jun	non-brg	4.0
ROARING BLUE LION MGMT	012	PLCE	B	4,165	38.20	n/a	8-Jun	166.60	4.0
ROYCE TRADING	012	PLCE	B	800	38.14	n/a	8-Jun	40.00	5.0
TUDOR INVESTORS	028	PPG	B	4,000	73.84	n/a	28-Jul	120.00	3.0
NEUBERGER BERMAN	036	PRAA	B	15,000	67.80	n/a	n/a	600.00	4.0
TUDOR INVESTORS	028	RSG	S	10,000	25.03	n/a	n/a	300.00	3.0
SURVEYOR CAPITAL	041	RTN	S	2,537	39.85	n/a	29-Jul	76.11	3.0
TUDOR INVESTORS	028	RTN	SS	3,000	40.11	n/a	29-Jul	90.00	3.0
ELM RIDGE ADVISORS	044	RYN	B	7,000	53.85	n/a	1-Aug	280.00	4.0
f KAREN F LEDDY	FID	SBUX	S	400	35.17	n/a	29-Jul	0.00	0.0
f KEVIN MICHAEL O'GORM	FID	SDS	B	1000	26.98	n/a	n/a	0.00	0.0
f KEVIN MICHAEL O'GORM	FID	SDS	S	1000	26.02	n/a	n/a	0.00	0.0
SENATOR INVESTMENT GROUP	036	SHW	SS	30,000	71.40	n/a	3-Aug	900.00	3.0
WEISS PECK	040	SLM	B	13,300	12.21	n/a	9-Aug	665.00	5.0
Õ Abram Chappel		SLW	S	100	34.42	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ	Abram Chappel		SLW	S	65	34.42	n/a	n/a	0.00	0.0
	METROPOLITAN CAPITAL	044	SPLS	B	42,200	12.96	n/a	n/a	2,110.00	5.0
	PZENA INV ADV	044	SPLS	B	64,800	12.93	n/a	n/a	2,268.01	3.5
f	DAVID GEORGE BUCK	FID	SPY	B	1000	112.96	n/a	n/a	0.00	0.0
	ROARING BLUE LION MGMT	012	SSI	B	14,200	15.44	n/a	n/a	568.00	4.0
f	MARC PAUL LUCHANSKY	FID	SWN	B	500	35.91	n/a	29-Jul	0.00	0.0
f	WILLIAM J GAULT	FID	SWN	B	1000	35.07	n/a	29-Jul	0.00	0.0
B	BUCK CAPITAL MGMT		SWY	C	70,000	18.20	n/a	n/a	non-brg	4.0
	FIRST NEW YORK NICK	029	S	S	5,000	3.28	n/a	n/a	250.00	5.0
	SURVEYOR CAPITAL	041	TDG	S	5,000	78.04	n/a	n/a	150.00	3.0
B	BUCK CAPITAL MGMT		TEA	B	20,000	25.25	n/a	n/a	non-brg	4.0
	NOMURA CAPITAL	029	TXI	B	10,000	33.59	n/a	n/a	300.00	3.0
	SURVEYOR CAPITAL	041	TXT	SS	32,500	16.59	n/a	n/a	975.00	3.0
	SURVEYOR CAPITAL	041	TXT	S	17,500	16.60	n/a	n/a	525.00	3.0
f	JOSEPH CIRO AMATURO	FID	TZA	B	1500	58.55	n/a	n/a	0.00	0.0
	HIGHBRIDGE CAP	041	URBN	B	10,000	27.20	n/a	n/a	300.00	3.0
	TUDOR INVESTORS	028	UTX	B	3,000	68.70	n/a	n/a	90.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SYSTEMATIC FINANCIAL MGT	035	WAG	S	151,700	35.67	n/a	n/a	4,551.00	3.0
TUDOR INVESTORS	028	WM	B	10,000	28.98	n/a	n/a	300.00	3.0
B BUCK CAPITAL MGMT		WNC	B	20,000	5.03	n/a	n/a	non-brg	3.0
f JASON ERIC COHEN	FID	WNC	B	1000	5.09	n/a	n/a	0.00	0.0
f WILLIAM J GAULT	FID	WNC	B	5000	5.07	n/a	n/a	0.00	0.0
HIGHBRIDGE CAP	041	WSM	B	9,000	30.67	n/a	n/a	270.00	3.0
SCOPUS FUND	041	XLI	B	42,600	30.02	n/a	n/a	1,704.00	4.0
f EDWARD W WHEELER	FID	XPO	B	20000	2.88	n/a	n/a	0.00	0.0
f JOEL GIFFORD TISS	FID	XPO	B	3000	2.84	n/a	n/a	0.00	0.0
f THOMAS JOHN LEDDY	FID	XPO	B	970	2.91	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	X	SS	5,000	29.58	n/a	n/a	150.00	3.0
TOTAL (Trade Date) :								112,871.93	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/08	NORTHWESTERN MUTUAL LIFE	047	EFA	S	110,000	50.74	n/a	n/a	2200.00 2.0
TOTAL (AO, CXL, CRT) :										2,200.00

TOTAL (Trade Date):	112,871.93
TOTAL (AO, CXL, CRT):	2,200.00

TOTAL (RUN DATE) / NFS:	115,071.93
--------------------------------	-------------------

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
------	------	---------	--------	-----	--------	-------	--------------	-------------

MRI Securities with Trade Activity on 9-Aug.
NONE

MRI Securities without Trade Activity on 9-Aug.
FOR, SMG

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