



# Daily Compliance Activity Report

Trade Date: 08/16/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	297	ACC	S	5,000	36.63	n/a	n/a	200.00	4.0
PROSPECTOR PARTNERS LLC	036	ADP	B	10,000	47.59	n/a	n/a	400.00	4.0
⌘ BUCK CAPITAL MGMT		ANF 8 C72.5	C	1,000	1.52	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		APO	S	1,100	14.02	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		APO	S	1,400	14.02	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		APO	S	3,000	14.02	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		APO	S	3,600	14.02	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		APO	S	32,300	14.02	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		APO	S	4,000	14.02	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		APO	S	4,600	14.02	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		ARO	C	110,000	12.45	n/a	5-Aug	non-brg	4.0
⌘ BUCK CAPITAL MGMT		ARO	C	90,000	12.42	n/a	5-Aug	non-brg	4.0
⌘ BUCK CAPITAL MGMT		BWLD	SS	20,000	61.30	n/a	n/a	non-brg	4.0
HIGHBRIDGE CAP	041	CHS	SS	27,000	12.51	n/a	5-Feb	810.00	3.0
COUGAR TRADING	044	COF	S	5,000	44.33	n/a	15-Aug	250.00	5.0
KLEINHEINZ CAP PART	031	CVS	S	50,000	33.61	n/a	n/a	2,500.00	5.0
MERRILL ASSET/BLACKROCK	297	CWH	S	5,000	20.38	n/a	n/a	200.00	4.0
BASSWOOD PARTNERS	267	C	S	24,060	30.36	n/a	16-Aug	962.40	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	DAVID GEORGE BUCK	FID	C	S	3000	29.50	n/a	16-Aug	0.00	0.0
f	DAVID GEORGE BUCK	FID	DNKN	B	1000	26.99	n/a	n/a	0.00	0.0
	DAVIDSON INV ADV	035	DVN	B	5,510	69.60	n/a	3-Aug	220.40	4.0
	DENVER INST. ADV	046	ENDP	S	77,400	32.63	n/a	15-Aug	3,096.00	4.0
f	DAVID GEORGE BUCK	FID	ESRX	B	1215	47.76	n/a	n/a	0.00	0.0
f	KAREN F LEDDY	FID	FIG	S	1500	3.52	n/a	n/a	0.00	0.0
	SURVEYOR CAPITAL	041	FRX	B	50,000	35.14	n/a	15-Aug	1,500.00	3.0
B	BUCK CAPITAL MGMT		GIII	S	50,000	25.02	n/a	n/a	non-brg	2.0
B	BUCK CAPITAL MGMT		GIII	S	6,100	25.36	n/a	n/a	non-brg	1.0
	MAIRS AND POWER INV	030	GIS	S	10,000	36.31	n/a	n/a	500.00	5.0
	OSKIE CAPITAL MGMT	224	HBAN	B	20,000	5.11	n/a	n/a	1,000.00	5.0
	BMO NESBITT BURNS	041	IP	B	25,000	26.18	n/a	4-Aug	1,250.00	5.0
	CAERUS GLOBAL	041	JAH	SS	25,240	29.44	n/a	n/a	1,009.60	4.0
	DELTEC ASSET MGMT.	040	JCI	B	20,000	32.91	n/a	8-Aug	1,000.00	5.0
	CRAMER ROSENTHAL/SCOTT	012	JCP	C	11,050	26.53	n/a	12-Aug	442.00	4.0
	HIGHBRIDGE CAP	041	JCP	SS	6,000	26.73	n/a	12-Aug	180.00	3.0
	WEINTRAUB CAPITAL MGT.	040	JNY	B	200,000	10.35	n/a	28-Jul	8,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		KKR	S	13,400	11.06	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		KKR	S	2,300	11.06	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		KKR	S	2,600	11.06	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		KKR	S	3,000	11.06	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		KKR	S	4,100	11.06	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		KKR	S	66,700	11.06	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		KKR	S	8,800	11.06	n/a	n/a	non-brg	2.5
ROSEDALE CAPITAL	046	LPX	B	50,000	6.84	n/a	5-Aug	1,500.00	3.0
f DAVID GEORGE BUCK	FID	MMM	B	500	81.74	n/a	11-Aug	0.00	0.0
DAVIDSON INV ADV	035	MRO	B	27,770	27.35	n/a	n/a	1,110.80	4.0
f JOHN BARTMAN COLE	FID	MS	B	450	17.01	n/a	16-Aug	0.00	0.0
f KAREN F LEDDY	FID	MS	S	400	17.08	n/a	16-Aug	0.00	0.0
PZENA INV ADV	044	MS	S	5,250	17.40	n/a	16-Aug	183.75	3.5
THE JAY GOLDMAN	028	M	B	10,000	24.70	n/a	11-Aug	400.00	4.0
f KAREN F LEDDY	FID	NBRXF	S	600	10.72	n/a	n/a	0.00	0.0
PZENA INV ADV	044	NOC	S	2,825	53.00	n/a	16-Aug	98.88	3.5
CLOVIS CAPITAL	012	NWSA	S	50,000	17.14	n/a	n/a	2,500.00	5.0
FARALLON CAP MGMT	040	NWSA	B	155,000	17.14	n/a	n/a	4,650.00	3.0
SONTERRA CAP	041	OSK	B	25,000	18.44	n/a	n/a	1,000.00	4.0
ß BUCK CAPITAL MGMT		PII	B	10,000	103.65	n/a	n/a	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PZENA INV ADV	044	PPG	S	1,200	75.55	n/a	11-Aug	42.00	3.5
SCOPUS FUND	041	PPG	S	50,000	75.53	n/a	11-Aug	2,000.00	4.0
MERRILL ASSET/BLACKROCK	297	PRA	S	15,000	68.74	n/a	n/a	600.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>PVH</b>	<b>S</b>	<b>20,000</b>	<b>62.80</b>	<b>n/a</b>	<b>18-Jul</b>	<b>non-brg</b>	<b>4.0</b>
<b>f THOMAS MACTAGGART LE</b>	<b>FID</b>	<b>PVH</b>	<b>S</b>	<b>75</b>	<b>62.06</b>	<b>n/a</b>	<b>18-Jul</b>	<b>0.00</b>	<b>0.0</b>
AVESTA CAP	229	ROK	SS	25,000	62.89	n/a	n/a	750.00	3.0
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>RRR</b>	<b>S</b>	<b>2100</b>	<b>8.66</b>	<b>n/a</b>	<b>22-Jul</b>	<b>0.00</b>	<b>0.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>SBUX</b>	<b>S</b>	<b>200</b>	<b>38.92</b>	<b>n/a</b>	<b>29-Jul</b>	<b>0.00</b>	<b>0.0</b>
BALLAST CAP	040	TGT	S	7,600	48.89	n/a	4-Aug	380.00	5.0
JP MORGAN VENTURES	046	TGT	S	10,000	49.50	n/a	4-Aug	400.00	4.0
MASTERS CAPITAL MANAGE	025	TGT	S	50,000	49.14	n/a	4-Aug	2,000.00	4.0
MACQUARIE INVESTMENT MGMT.	040	TJX	S	5,000	54.98	n/a	5-Aug	0.00	0.0
PZENA INV ADV	044	UBS	S	7,225	14.90	n/a	n/a	252.88	3.5
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>VE</b>	<b>B</b>	<b>5000</b>	<b>16.22</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>WBC</b>	<b>B</b>	<b>40</b>	<b>49.31</b>	<b>n/a</b>	<b>8-Aug</b>	<b>0.00</b>	<b>0.0</b>
BNP PARIBAS SEC	040	WRC	B	13,800	51.19	n/a	2-Aug	690.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>WRC</b>	<b>S</b>	<b>10,000</b>	<b>50.85</b>	<b>n/a</b>	<b>2-Aug</b>	<b>non-brg</b>	<b>4.0</b>
LEVIN CAPITAL STRATEGIES	012	WRC	S	25,000	51.04	n/a	2-Aug	750.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RAINIER INV MGMT	035	WWD	B	18,400	30.08	n/a	n/a	736.00	4.0
ADALY INV MGMT	031	XLE	SS	25,000	67.78	n/a	n/a	1,250.00	5.0
<b>f BARBARA S LEDDY</b>	<b>FID</b>	<b>XPO</b>	<b>B</b>	<b>2200</b>	<b>2.88</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>XPO</b>	<b>B</b>	<b>1000</b>	<b>2.86</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f THOMAS MACTAGGART LE</b>	<b>FID</b>	<b>XPO</b>	<b>B</b>	<b>1700</b>	<b>2.89</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WEINTRAUB CAPITAL MGT.	040	XRM	B	10,000	13.72	n/a	n/a	400.00	4.0
GEORGE WEISS	034	YUM	B	15,000	51.19	n/a	10-Aug	600.00	4.0
PZENA INV ADV	044	ZMH	S	1,400	52.60	n/a	n/a	49.00	3.5
<b>TOTAL (Trade Date) :</b>								<b>45,863.71</b>	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									45,863.71
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									45,863.71

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 16-Aug.  
NONE

MRI Securities without Trade Activity on 16-Aug.  
EL

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)**