



Daily Compliance Activity Report

Trade Date: 08/23/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f KAREN F LEDDY	FID	AB	S	500	14.67	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	ANF	B	20,000	58.73	n/a	18-Aug	600.00	3.0
SOROS	036	ANR	B	100,000	30.82	n/a	n/a	4,000.00	4.0
CAMBIAR CAP	046	APA	B	25,550	96.86	n/a	17-Aug	1,022.00	4.0
f DAVID GEORGE BUCK	FID	ARE	B	1000	66.60	n/a	n/a	0.00	0.0
BRIGADE CAPITAL MGMT	029	BAC	B	250,000	6.35	n/a	16-Aug	7,500.00	3.0
B BUCK CAPITAL MGMT		BBBY	B	20,000	52.39	n/a	n/a	non-brg	4.0
LATEFF MGMT	035	BBT	B	2,500	19.41	n/a	n/a	250.00	10.0
B BUCK CAPITAL MGMT		BID	B	20,000	31.68	n/a	n/a	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	CAT	B	50	81.27	n/a	25-Jul	0.00	0.0
f CHRISTOPHER ROBERT C	FID	CMI	B	50	81.92	n/a	27-Jul	0.00	0.0
BUCK CAPITAL MGMT	001	COH	B	20,000	50.70	n/a	3-Aug	600.00	3.0
SCOPUS FUND	041	COH	B	5,000	50.52	n/a	3-Aug	200.00	4.0
DALTON GREINER	012	CUZ	B	11,710	6.77	n/a	n/a	468.40	4.0
f DAVID GEORGE BUCK	FID	C	S	2000	26.28	n/a	16-Aug	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		DECK	B	20,000	77.83	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DECK	B	40,000	76.40	n/a	n/a	non-brg	4.0
f JONATHAN RICHARD HAR	FID	DECK	B	250	78.47	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	DGP	S	300	67.74	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		DSW	B	20,000	39.44	n/a	11-Feb	non-brg	4.0
STATE TEACHERS RET SYS	047	EW	B	28,000	70.00	n/a	n/a	1,400.00	5.0
f JONATHAN RICHARD HAR	FID	EXPR	B	1450	17.33	n/a	n/a	0.00	0.0
BASIX	033	FL	B	12,000	19.39	n/a	19-Aug	360.00	3.0
⚡ BUCK CAPITAL MGMT		FL	B	30,000	18.78	n/a	19-Aug	non-brg	4.0
CAERUS GLOBAL	041	FL	S	100,000	19.20	n/a	19-Aug	4,000.00	4.0
⚡ BUCK CAPITAL MGMT		FOSL	B	20,000	80.44	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT	001	GES	S	111,676	32.74	n/a	18-Jul	3,350.28	3.0
⚡ BUCK CAPITAL MGMT		GIII	S	10,000	23.94	n/a	n/a	non-brg	0.8
⚡ BUCK CAPITAL MGMT		GIII	S	20,000	23.05	n/a	n/a	non-brg	0.8
DALTON GREINER	012	GTAT	B	10,110	11.18	n/a	n/a	404.40	4.0
THIRD POINT MGMT	044	HIBB	SS	50,000	35.60	n/a	n/a	2,000.00	4.0
TALPION LLC	040	HME	S	10,000	62.52	n/a	n/a	400.00	4.0
DALTON GREINER	012	HT	B	17,490	3.71	n/a	n/a	524.70	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f BARBARA S LEDDY	FID	ICON	S	225	17.25	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		JNY	B	200,000	9.55	n/a	28-Jul	non-brg	3.0
ß BUCK CAPITAL MGMT		JOSB	B	40,000	43.09	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		JWN	C	100,000	38.83	n/a	12-Aug	non-brg	4.0
ß BUCK CAPITAL MGMT		JWN	C	20,000	37.94	n/a	12-Aug	non-brg	4.0
ß BUCK CAPITAL MGMT		JWN	C	80,000	38.83	n/a	12-Aug	non-brg	4.0
f DAVID GEORGE BUCK	FID	JWN	S	1000	38.66	n/a	12-Aug	0.00	0.0
MILLRACE FUND LP	028	LEA	B	6,000	41.67	n/a	5-Aug	240.00	4.0
ROTHSCHILD ASSET	040	LHO	S	7,330	15.85	n/a	n/a	293.20	4.0
MACQUARIE INVESTMENT MGMT.	040	LMT	B	5,000	71.29	n/a	16-Aug	0.00	0.0
f MANNY I KORMAN	FID	LNCR	S	10000	20.18	n/a	n/a	0.00	0.0
KLEINHEINZ CAP PART	031	LOW	B	125,000	19.87	n/a	15-Aug	6,250.00	5.0
f CHRISTOPHER ROBERT C	FID	LPX	B	1000	5.97	n/a	5-Aug	0.00	0.0
DALTON GREINER	012	LSCC	B	16,520	5.34	n/a	n/a	660.80	4.0
CHESAPEAKE PARTNERS	028	LSTZA	S	1,800	67.00	n/a	n/a	54.00	3.0
f DAVID GEORGE BUCK	FID	LULU	B	1000	47.77	n/a	10-Jun	0.00	0.0
f NICOLAS EVAN PAKLER	FID	LULU	B	255	47.90	n/a	10-Jun	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TYEE/TYGH	035	MOD	S	110,000	9.66	n/a	n/a	3,300.00	3.0
Ⓕ BUCK CAPITAL MGMT		MPEL	S	100,000	12.14	n/a	13-Jun	non-brg	4.0
Ⓕ BUCK CAPITAL MGMT		MPEL	S	210,000	12.27	n/a	13-Jun	non-brg	4.0
Ⓕ BUCK CAPITAL MGMT		MPEL	S	50,000	12.24	n/a	13-Jun	non-brg	4.0
Ⓕ BUCK CAPITAL MGMT		MSMSBCM	C	366,000	85.06	n/a	n/a	non-brg	6.8
Ⓕ KAREN F LEDDY	FID	MS	S	1500	15.80	n/a	16-Aug	0.00	0.0
Ⓕ BUCK CAPITAL MGMT		MW	B	100,000	27.00	n/a	n/a	non-brg	4.0
BNP PARIBAS SEC	040	M	B	55,600	23.91	n/a	11-Aug	2,780.00	5.0
Ⓕ BUCK CAPITAL MGMT		M	B	40,000	24.22	n/a	11-Aug	non-brg	4.0
JP MORGAN VENTURES	046	M	B	10,000	23.87	n/a	11-Aug	400.00	4.0
Ⓕ KAREN F LEDDY	FID	NBRXF	S	1500	9.91	n/a	n/a	0.00	0.0
DALTON GREINER	012	NPBC	B	11,760	6.30	n/a	n/a	470.40	4.0
Ⓕ BUCK CAPITAL MGMT		NWY	B	50,000	2.90	n/a	n/a	non-brg	2.0
DALTON GREINER	012	ONB	B	10,850	8.86	n/a	n/a	434.00	4.0
ROTHSCHILD ASSET	040	PCS	S	9,140	10.27	n/a	n/a	365.60	4.0
Ⓕ BUCK CAPITAL MGMT		PERY	B	20,110	17.97	n/a	n/a	non-brg	1.0
Ⓕ BUCK CAPITAL MGMT		PERY	B	36,780	18.14	n/a	n/a	non-brg	4.0
Ⓕ BUCK CAPITAL MGMT		PERY	B	5,500	17.02	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		PERY	B	50,000	17.65	n/a	n/a	non-brg	4.0
JASON ERIC COHEN	FID	PHM	B	25	0.13	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		PII	B	10,000	95.76	n/a	n/a	non-brg	4.0
DALTON GREINER	012	PLAB	B	10,570	6.44	n/a	n/a	422.80	4.0
DALTON GREINER	012	POL	B	9,140	11.37	n/a	n/a	457.00	5.0
BUCK CAPITAL MGMT		PVH	B	37,100	56.48	n/a	18-Jul	non-brg	4.0
BUCK CAPITAL MGMT		PVH	B	40,000	55.75	n/a	18-Jul	non-brg	4.0
TALPION LLC	040	SHAW	SS	24,000	20.86	n/a	n/a	960.00	4.0
BUCK CAPITAL MGMT		SHOO	B	100,000	32.81	n/a	n/a	non-brg	4.0
MERRILL ASSET/BLACKROCK	297	SIVB	B	7,200	42.80	n/a	n/a	288.00	4.0
BARROW HANLEY MEWHINNEY	031	SLM	B	178,200	13.35	n/a	9-Aug	6,237.00	3.5
TYEE/TYGH	035	SMG	B	51,998	46.25	n/a	9-Aug	2,079.92	4.0
JASON ERIC COHEN	FID	SWFT	B	730	6.85	n/a	n/a	0.00	0.0
SCOPUS FUND	041	SWFT	B	25,000	7.00	n/a	n/a	1,000.00	4.0
KAREN F LEDDY	FID	TBT	S	300	24.14	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	TGT	S	25,000	50.53	n/a	17-Aug	1,250.00	5.0
TALPION LLC	040	TIF	S	5,000	61.17	n/a	n/a	200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BASIX	033	TIN	S	15,000	20.79	n/a	4-Aug	450.00	3.0
BRONSON POINT	036	TIN	B	10,000	21.42	n/a	4-Aug	300.00	3.0
BARROW HANLEY MEWHINNEY	031	T	B	294,400	28.76	n/a	n/a	10,304.00	3.5
B BUCK CAPITAL MGMT		UA	B	100,000	61.67	n/a	27-Jul	non-brg	4.0
SOROS	036	UNH	C	39,100	44.00	n/a	n/a	1,564.00	4.0
B BUCK CAPITAL MGMT		VRA	B	100,000	28.09	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		VRA	B	50,000	28.09	n/a	n/a	non-brg	4.0
BARROW HANLEY MEWHINNEY	031	WAG	B	63,440	34.53	n/a	n/a	2,220.41	3.5
SYSTEMATIC FINANCIAL MGT	035	WAG	S	167,500	34.53	n/a	n/a	5,025.00	3.0
f JONATHAN RICHARD HAR	FID	WBC	B	60	40.63	n/a	18-Aug	0.00	0.0
SOROS	036	WLP	C	55,700	58.46	n/a	n/a	2,228.00	4.0
STATE TEACHERS RET SYS	047	WLP	S	33,000	58.79	n/a	n/a	1,650.00	5.0
f BARBARA S LEDDY	FID	WY	S	100	15.89	n/a	29-Jul	0.00	0.0
PERRY PARTNERS	085	XLV	SS	50,000	31.31	n/a	n/a	1,500.00	3.0
B BUCK CAPITAL MGMT		XRT	C	12,400	45.03	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		XRT	C	7,600	45.03	n/a	n/a	non-brg	2.0
TOTAL (Trade Date):								80,463.91	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/22	ROYCE TRADING	012	PAAS	S	15,000	32.34	n/a	n/a	750.00 5.0
TOTAL (AO, CXL, CRT) :										750.00

TOTAL (Trade Date):	80,463.91
TOTAL (AO, CXL, CRT):	750.00

TOTAL (RUN DATE) / NFS:	81,213.91
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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 23-Aug.
NONE

MRI Securities without Trade Activity on 23-Aug.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 5%
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)