



Daily Compliance Activity Report

Trade Date: 08/29/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------------|-------------|----------|---------------|--------------|------------|---------------|----------------|------------|
| f MANNY I KORMAN | FID | ADM | B | 150 | 1.68 | n/a | 25-Aug | 0.00 | 0.0 |
| HIGHBRIDGE CAP | 041 | ANF | B | 4,000 | 61.32 | n/a | 18-Aug | 120.00 | 3.0 |
| HIGHBRIDGE CAP | 041 | BBY | SS | 11,000 | 24.96 | n/a | n/a | 330.00 | 3.0 |
| DELTEC ASSET MGMT. | 040 | BHI | B | 10,000 | 57.70 | n/a | n/a | 500.00 | 5.0 |
| ASCEND PARTNERS | 033 | BIG | B | 18,200 | 33.56 | n/a | 25-Aug | 546.00 | 3.0 |
| EPOCH INV MGMT | 030 | BTU | B | 2,920 | 47.81 | n/a | n/a | 87.60 | 3.0 |
| CHESAPEAKE PARTNERS | 028 | CCI | S | 3,944 | 42.30 | n/a | n/a | 118.32 | 3.0 |
| B BUCK CAPITAL MGMT | | CHEF | S | 10,000 | 13.88 | n/a | n/a | non-brg | 2.0 |
| HIGHBRIDGE CAP | 041 | CHS | SS | 19,000 | 13.51 | n/a | 5-Feb | 570.00 | 3.0 |
| EPOCH INV MGMT | 030 | CMCSK | S | 100 | 20.76 | n/a | n/a | 3.00 | 3.0 |
| f MANNY I KORMAN | FID | CMI | B | 20 | 4.55 | n/a | 27-Jul | 0.00 | 0.0 |
| HIGHBRIDGE CAP | 041 | COH | B | 4,500 | 55.73 | n/a | 3-Aug | 135.00 | 3.0 |
| B BUCK CAPITAL MGMT | | CROX | S | 30,000 | 27.74 | n/a | n/a | non-brg | 2.5 |
| KLEINHEINZ CAP PART | 031 | CVS | B | 50,000 | 34.89 | n/a | n/a | 2,500.00 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|-------------|----------|---------------|--------------|------------|---------------|----------------|------------|
| f CHRISTOPHER ROBERT C | FID | DAN | S | 500 | 12.34 | n/a | 29-Jul | 0.00 | 0.0 |
| TALPION LLC | 040 | DSW | C | 5,000 | 46.50 | n/a | 11-Feb | 200.00 | 4.0 |
| B BUCK CAPITAL MGMT | | EXPR | B | 50,000 | 18.17 | n/a | n/a | non-brg | 4.0 |
| STATE TEACHERS RET SYS | 047 | GIS | S | 75,000 | 37.02 | n/a | n/a | 3,750.00 | 5.0 |
| BNP PARIBAS SEC | 040 | GLD | S | 5,000 | 173.95 | n/a | n/a | 250.00 | 5.0 |
| HIGHBRIDGE CAP | 041 | GPS | SS | 16,000 | 16.50 | n/a | n/a | 480.00 | 3.0 |
| f JOHN MICHAEL ZOLIDIS | FID | HOTT | S | 1000 | 8.25 | n/a | n/a | 0.00 | 0.0 |
| f JOHN MICHAEL ZOLIDIS | FID | HOTT | S | 1000 | 8.49 | n/a | n/a | 0.00 | 0.0 |
| HIGHFIELDS CAP MGMT | 030 | H | B | 100,000 | 34.36 | n/a | 13-Jun | 4,000.00 | 4.0 |
| SONTERRA CAP | 041 | IGT | B | 42,253 | 15.01 | n/a | 13-Jun | 1,690.12 | 4.0 |
| BRONSON POINT | 036 | IP | S | 5,000 | 26.75 | n/a | 4-Aug | 150.00 | 3.0 |
| CSFB GLOBAL PROPRIETARY | 041 | IP | S | 20,000 | 26.64 | n/a | 4-Aug | 1,000.00 | 5.0 |
| HIGHBRIDGE CAP | 041 | JCP | SS | 10,000 | 26.99 | n/a | 29-Aug | 300.00 | 3.0 |
| B BUCK CAPITAL MGMT | | JWN | C | 30,000 | 43.19 | n/a | 29-Aug | non-brg | 4.0 |
| f CHRISTOPHER ROBERT C | FID | KMT | S | 150 | 35.66 | n/a | 29-Jul | 0.00 | 0.0 |
| EPOCH INV MGMT | 030 | KO | B | 4,020 | 69.16 | n/a | 20-Jul | 120.60 | 3.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------|-----|---------|-----|-----------|-------|-----|----------|--------------|-----|
| BUCK CAPITAL MGMT | 001 | KSS | SS | 30,000 | 47.33 | n/a | 29-Aug | 900.00 | 3.0 |
| BMO NESBITT BURNS | 041 | LPX | S | 25,000 | 6.58 | n/a | 5-Aug | 1,000.00 | 4.0 |
| CSFB GLOBAL PROPRIETARY | 041 | LPX | SS | 50,000 | 6.59 | n/a | 5-Aug | 2,500.00 | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | LTM | C | 20,000 | 37.55 | n/a | n/a | non-brg | 2.5 |
| DAVIDSON INV ADV | 035 | MDU | S | 65,875 | 21.09 | n/a | n/a | 2,635.00 | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | MSMSBCD | C | 784,959 | 90.90 | n/a | n/a | non-brg | 0.7 |
| ⌘ BUCK CAPITAL MGMT | | MSMSBCD | SS | 753,239 | 90.90 | n/a | n/a | non-brg | 0.0 |
| ⌘ BUCK CAPITAL MGMT | | MSMSBCM | C | 6,314,310 | 90.86 | n/a | n/a | non-brg | 0.7 |
| ⌘ BUCK CAPITAL MGMT | | MSMSBCM | SS | 6,027,429 | 90.86 | n/a | n/a | non-brg | 0.0 |
| ⌘ BUCK CAPITAL MGMT | | M | S | 100,000 | 25.21 | n/a | 29-Aug | non-brg | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | M | S | 30,000 | 25.74 | n/a | 29-Aug | non-brg | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | OKM | B | 25,000 | 34.14 | n/a | n/a | non-brg | 4.0 |
| MATRIX ASSET ADV. | 091 | PG | S | 1,400 | 63.15 | n/a | 8-Aug | 56.00 | 4.0 |
| f JOHN MICHAEL ZOLIDIS | FID | PIR | S | 1000 | 10.95 | n/a | n/a | 0.00 | 0.0 |
| f JOHN MICHAEL ZOLIDIS | FID | PIR | S | 900 | 10.75 | n/a | n/a | 0.00 | 0.0 |
| CSFB GLOBAL PROPRIETARY | 041 | PKG | S | 25,000 | 24.57 | n/a | 4-Aug | 1,250.00 | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | PLCE | S | 20,000 | 40.88 | n/a | 18-Aug | non-brg | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | PLCE | S | 20,000 | 41.28 | n/a | 18-Aug | non-brg | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|----------------|----------|----------------|--------------|------------|---------------|----------------|------------|
| EPOCH INV MGMT | 030 | PRU | S | 4,400 | 49.55 | n/a | n/a | 132.00 | 3.0 |
| FORTRESS INVESTMENT (US) | 036 | RSG | S | 28,000 | 30.38 | n/a | n/a | 1,120.00 | 4.0 |
| B BUCK CAPITAL MGMT | | SCS | B | 20,000 | 7.84 | n/a | n/a | non-brg | 3.0 |
| B BUCK CAPITAL MGMT | | SFER IM | S | 50,000 | 17.03 | n/a | n/a | non-brg | 2.6 |
| f CHRISTOPHER ROBERT C | FID | SWFT | B | 500 | 8.49 | n/a | n/a | 0.00 | 0.0 |
| MATRIX ASSET ADV. | 091 | TDW | S | 2,000 | 52.00 | n/a | n/a | 80.00 | 4.0 |
| B BUCK CAPITAL MGMT | | TGT | B | 100,000 | 51.16 | n/a | 17-Aug | non-brg | 4.0 |
| HIGHBRIDGE CAP | 041 | TIF | B | 4,000 | 70.49 | n/a | n/a | 120.00 | 3.0 |
| EPOCH INV MGMT | 030 | TWX | B | 1,540 | 30.96 | n/a | n/a | 46.20 | 3.0 |
| B BUCK CAPITAL MGMT | | UA | S | 50,000 | 69.64 | n/a | 27-Jul | non-brg | 4.0 |
| EPOCH INV MGMT | 030 | VIAB | S | 6,000 | 46.36 | n/a | n/a | 180.00 | 3.0 |
| LOCUS WOOD CAPITAL MGMT | 044 | VOD | S | 40,000 | 26.77 | n/a | n/a | 1,600.00 | 4.0 |
| f KAREN F LEDDY | FID | WBC | B | 400 | 45.29 | n/a | 18-Aug | 0.00 | 0.0 |
| BNP PARIBAS SEC | 040 | WRC | S | 8,800 | 52.11 | n/a | 2-Aug | 440.00 | 5.0 |
| WEISS PECK | 040 | XLF | S | 27,000 | 13.13 | n/a | n/a | 810.00 | 3.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|------------------------|-----|--------|-----|---------|-------|-----|----------|--------------|-----|
| f FRANCIS MICHAEL MCCA | FID | XPO | B | 2500 | 3.04 | n/a | n/a | 0.00 | 0.0 |
| f FRANCIS MICHAEL MCCA | FID | XPO | B | 2500 | 3.05 | n/a | n/a | 0.00 | 0.0 |
| f JONATHAN RICHARD HAR | FID | XPO | B | 1000 | 3.05 | n/a | n/a | 0.00 | 0.0 |
| f KAREN F LEDDY | FID | XPO | B | 3000 | 3.05 | n/a | n/a | 0.00 | 0.0 |
| f MARY B MCCARTAN | FID | XPO | B | 1000 | 3.05 | n/a | n/a | 0.00 | 0.0 |
| f THOMAS JOHN LEDDY | FID | XPO | B | 175 | 3.02 | n/a | n/a | 0.00 | 0.0 |
| TUDOR INVESTORS | 028 | ZUMZ | SS | 112,348 | 19.21 | n/a | n/a | 3,370.44 | 3.0 |
| TOTAL (Trade Date): | | | | | | | | 33,090.28 | |

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) : | | | | | | | | | 33,090.28 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | 0.00 |
| TOTAL (RUN DATE) / NFS: | | | | | | | | | 33,090.28 |

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 29-Aug.
NONE

MRI Securities without Trade Activity on 29-Aug.
NONE

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