



Daily Compliance Activity Report

Trade Date: 09/08/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEWLAND CAPITAL MGT	025	AIMC	B	50,000	12.83	n/a	n/a	2,000.00	4.0
KAM ADVISORS LLC	041	BLL	C	68,700	35.01	n/a	n/a	2,061.00	3.0
JET CAPITAL/CHRIS	041	BP	B	35,000	37.30	n/a	n/a	1,050.00	3.0
f DAVID GEORGE BUCK	FID	CAT	S	40	4.05	n/a	25-Jul	0.00	0.0
FORTRESS INVESTMENT (US)	036	CAT	B	4,000	88.49	n/a	25-Jul	160.00	4.0
FORTRESS INVESTMENT (US)	036	CBE	B	5,000	47.22	n/a	18-Aug	200.00	4.0
JET CAPITAL/CHRIS	041	CCI	S	25,000	42.74	n/a	n/a	750.00	3.0
KAM ADVISORS LLC	041	CCK	S	78,100	33.87	n/a	n/a	2,343.00	3.0
B BUCK CAPITAL MGMT		CHEF	S	10,525	14.80	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	CI	B	1000	46.29	n/a	n/a	0.00	0.0
PLATTE RIVER CAPITAL	240	CPB	B	29,660	31.61	n/a	n/a	1,186.40	4.0
ACK ASSET	028	CP	S	13,300	54.48	n/a	n/a	399.00	3.0
ELM RIDGE ADVISORS	044	CSCO	S	266,600	16.38	n/a	n/a	7,998.00	3.0
f NICOLAS EVAN PAKLER	FID	CVGI	B	2100	6.81	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	297	CYN	S	10,600	42.62	n/a	n/a	424.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f ANDREW SINCLAIR	FID	C	B	2	0.78	n/a	24-Aug	0.00	0.0
f NICOLAS EVAN PAKLER	FID	C	B	500	28.74	n/a	24-Aug	0.00	0.0
MACQUARIE INVESTMENT MGMT.	040	DKS	SS	5,000	33.76	n/a	16-Aug	0.00	0.0
MACQUARIE INVESTMENT MGMT.	040	EAT	SS	7,500	20.85	n/a	12-Aug	0.00	0.0
CLOVIS CAPITAL	033	EL	B	50,000	98.33	n/a	16-Aug	1,500.00	3.0
PHILADELPHIA FINANCIAL	033	F	SS	75,000	10.47	n/a	2-Sep	3,000.00	4.0
B BUCK CAPITAL MGMT		GIII	B	15,000	23.75	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		GIII	B	20,000	24.00	n/a	n/a	non-brg	4.0
BALYASNY ASSET MGMT	044	GM	SS	50,000	22.60	n/a	2-Sep	2,500.00	5.0
OZ MGMT	040	GM	SS	50,000	22.38	n/a	2-Sep	1,500.00	3.0
TRELLUS PARTNERS LP	028	GM	SS	3,600	23.08	n/a	2-Sep	180.00	5.0
WEINTRAUB CAPITAL MGT.	040	GM	SS	100,000	22.63	n/a	2-Sep	4,000.00	4.0
CAERUS GLOBAL	041	JNY	B	40,000	11.04	n/a	28-Jul	1,600.00	4.0
LATEFF MGMT	035	JPM	B	1,500	34.05	n/a	31-Aug	180.00	12.0
MACQUARIE INVESTMENT MGMT.	040	LULU	B	2,500	57.50	n/a	6-Sep	0.00	0.0
B BUCK CAPITAL MGMT		LVS	B	30,000	48.03	n/a	13-Jun	non-brg	4.0
B BUCK CAPITAL MGMT		LVS	B	30,000	48.31	n/a	13-Jun	non-brg	4.0
ROTHSCHILD ASSET	040	MLI	S	21,287	45.30	n/a	26-Jul	851.48	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f DAVID GEORGE BUCK	FID	MO	B	3000	27.22	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		MSMSBCD	SS	28,000	89.80	n/a	n/a	non-brg	7.2
ß BUCK CAPITAL MGMT		MSMSBCM	SS	100,000	89.89	n/a	n/a	non-brg	7.2
ß BUCK CAPITAL MGMT		MSMSBOB	B	200,000	100.37	n/a	n/a	non-brg	8.0
ß BUCK CAPITAL MGMT		MSMSBOB	B	50,000	100.34	n/a	n/a	non-brg	8.0
ß BUCK CAPITAL MGMT		MS	B	10,000	16.01	n/a	24-Aug	non-brg	4.0
f JOHN BARTMAN COLE	FID	MTW	S	300	10.11	n/a	28-Jul	0.00	0.0
PLATTE RIVER CAPITAL	240	MU	S	55,000	6.32	n/a	n/a	1,650.00	3.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	100,000	27.11	n/a	27-Jul	5,000.00	5.0
BUCK CAPITAL MGMT	001	MW	B	10,000	27.13	n/a	n/a	300.00	3.0
WEISS PECK	040	PAG	S	97,189	17.76	n/a	22-Jul	4,859.45	5.0
FORTRESS INVESTMENT (US)	036	PCAR	B	13,000	36.73	n/a	27-Jul	520.00	4.0
PRIMECAP MGMT	084	PSS	S	3,100	13.27	n/a	n/a	124.00	4.0
ROTHSCHILD ASSET	040	PXP	B	10,258	28.56	n/a	n/a	410.32	4.0
SCOPUS FUND	041	RKT	S	10,000	53.93	n/a	4-Aug	400.00	4.0
JET CAPITAL/CHRIS	041	ROIC	B	20,000	11.26	n/a	n/a	600.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PILOT ADV	041	RPM	B	15,000	19.25	n/a	n/a	450.00	3.0
B BUCK CAPITAL MGMT		RYL	S	35,000	10.74	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	RYN	B	1000	40.69	n/a	1-Aug	0.00	0.0
FORTRESS INVESTMENT (US)	036	R	B	12,000	44.96	n/a	n/a	480.00	4.0
WEISS PECK	040	SDS	B	12,500	23.38	n/a	n/a	375.00	3.0
B BUCK CAPITAL MGMT		SFLY	S	15,000	52.21	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		SFLY	S	15,000	54.96	n/a	n/a	non-brg	2.5
CHART WELL ADV	028	SKH	S	160,050	4.97	n/a	n/a	4,801.50	3.0
MACQUARIE INVESTMENT MGMT.	040	SMG	SS	2,500	47.61	n/a	9-Aug	0.00	0.0
B BUCK CAPITAL MGMT		SODA	B	20,000	40.01	n/a	n/a	non-brg	4.0
ETON PARK CAPITAL	041	SPY	B	432,000	120.34	n/a	n/a	12,960.00	3.0
f DAVID GEORGE BUCK	FID	SYK	S	2500	49.47	n/a	n/a	0.00	0.0
FIRST NEW YORK LEDDY	035	S	B	20,000	3.43	n/a	n/a	800.00	4.0
WEISS PECK	040	TBT	S	15,500	22.91	n/a	n/a	465.00	3.0
LATEFF MGMT	035	TCB	S	5,000	9.70	n/a	n/a	250.00	5.0
GRANITE CAPITAL	028	TGT	S	32,274	50.15	n/a	1-Sep	1,613.70	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STELLIAM INV ADV	034	TIN	S	20,000	31.00	n/a	6-Sep	1,000.00	5.0
f CHRISTOPHER ROBERT C	FID	TYC	B	100	40.84	n/a	18-Aug	0.00	0.0
f JONATHAN RICHARD HAR	FID	TZA	B	115	44.34	n/a	n/a	0.00	0.0
MERCHANTS GATE CAP LP	036	VFC	SS	25,000	118.60	n/a	22-Jul	1,000.00	4.0
f DAVID GEORGE BUCK	FID	WFC	S	2000	24.64	n/a	24-Aug	0.00	0.0
BNP PARIBAS SEC	040	WRC	B	10,000	50.16	n/a	2-Aug	500.00	5.0
MACQUARIE INVESTMENT MGMT.	040	WSM	B	1,500	31.58	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	XPO	B	1325	11.95	n/a	n/a	0.00	0.0
f THOMAS MACTAGGART LE	FID	XPO	B	145	11.99	n/a	n/a	0.00	0.0
CLOVIS CAPITAL	033	XRX	B	150,000	7.86	n/a	n/a	4,500.00	3.0
f JOHN BARTMAN COLE	FID		B	40000	0.14	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								76,941.85	

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) :									76,941.85
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									76,941.85

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO	09/07	BUCK CAPITAL MGMT	GIII	B	100	25.20	n/a	n/a	1.00	1.0
CXL	09/07	BUCK CAPITAL MGMT.	MS	B	30,000	16.31	n/a	24-Aug	1200.00	
CRT	09/07	BUCK CAPITAL MGMT	MS	B	30,000	16.31	n/a	24-Aug	1200.00	4.0

MRI Securities with Trade Activity on 8-Sep.
NONE

MRI Securities without Trade Activity on 8-Sep.
NAV

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)