



Daily Compliance Activity Report

Trade Date: 09/07/2011

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	23,600	38.19	n/a	n/a	944.00	4.0
ROYCE TRADING	031	AEO	B	1,000	10.69	n/a	25-Aug	50.00	5.0
BALYASNY ASSET MGMT	044	AGN	B	100,000	81.03	n/a	6-Sep	5,000.00	5.0
HIGHBRIDGE CAP	041	ANF	B	5,000	62.06	n/a	18-Aug	150.00	3.0
DAVIDSON KEMPNER ADVISOR	040	ANV	B	21,008	43.67	n/a	n/a	1,050.40	5.0
f JOSEPH CIRO AMATURO	FID	BGZ	B	500	42.11	n/a	n/a	0.00	0.0
ARMATURE CAPITAL	041	BLL	SS	25,171	35.28	n/a	n/a	1,006.84	4.0
ARMATURE CAPITAL	041	BLL	S	24,829	35.28	n/a	n/a	993.16	4.0
HIGHBRIDGE CAP	041	CAT	S	39,000	86.76	n/a	25-Jul	1,170.00	3.0
BALLAST CAP	040	CFN	B	16,400	24.81	n/a	n/a	820.00	5.0
HIGHBRIDGE CAP	041	CF	S	11,668	183.82	n/a	n/a	350.04	3.0
B BUCK CAPITAL MGMT		CHEF	S	31,920	13.46	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CMA	B	6,000	23.22	n/a	n/a	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	CMI	B	50	88.77	n/a	27-Jul	0.00	0.0
f CHRISTOPHER ROBERT C	FID	CMI	S	50	89.09	n/a	27-Jul	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MILLENNIUM-ICS BOBBY	044	COL	S	5,000	48.29	n/a	25-Aug	150.00	3.0
PLATTE RIVER CAPITAL	240	CPB	B	9,000	31.54	n/a	n/a	360.00	4.0
f KAREN F LEDDY	FID	CPN	S	695	14.60	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		EXPR	B	30,000	17.56	n/a	n/a	non-brg	4.0
MERCHANTS GATE CAP LP	036	FDX	B	50,000	75.02	n/a	n/a	2,000.00	4.0
LEVIN CAPITAL STRATEGIES	041	GES	C	10,000	30.78	n/a	25-Aug	300.00	3.0
ß BUCK CAPITAL MGMT		GIII	B	4,200	25.09	n/a	n/a	non-brg	1.0
OZ MGMT	040	GM	SS	50,000	22.61	n/a	2-Sep	1,500.00	3.0
ß BUCK CAPITAL MGMT		HBAN	B	30,000	4.74	n/a	n/a	non-brg	3.0
SERENGETI MGMT	030	IVZ	B	75,000	17.97	n/a	2-Mar	2,250.00	3.0
BALYASNY ASSET MGMT	044	JNJ	B	20,000	64.96	n/a	n/a	1,000.00	5.0
ß BUCK CAPITAL MGMT		JNY	B	50,000	10.68	n/a	28-Jul	non-brg	4.0
BNP PARIBAS SEC	040	JWN	S	14,900	45.16	n/a	2-Sep	745.00	5.0
ß BUCK CAPITAL MGMT		JWN	C	50,000	45.18	n/a	2-Sep	non-brg	4.0
BNP PARIBAS SEC	040	KSS	B	9,700	44.12	n/a	2-Sep	485.00	5.0
BNP PARIBAS SEC	040	KSS	S	9,700	44.73	n/a	2-Sep	485.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f CHRISTOPHER ROBERT C	FID	LPX	B	1000	6.40	n/a	5-Aug	0.00	0.0
FRIESS MGMT	033	MDR	S	181,300	13.58	n/a	n/a	7,252.00	4.0
ROSEDALE CAPITAL	046	MLI	B	12,000	43.90	n/a	26-Jul	600.00	5.0
ß BUCK CAPITAL MGMT		MSMSBCD	C	60,000	88.90	n/a	n/a	non-brg	7.1
ß BUCK CAPITAL MGMT		MS	B	30,000	16.31	n/a	24-Aug	non-brg	4.0
PLATTE RIVER CAPITAL	240	MU	S	50,000	5.96	n/a	n/a	1,500.00	3.0
ß BUCK CAPITAL MGMT		MW	B	20,000	29.07	n/a	n/a	non-brg	4.0
M&I FUNDS	047	M	B	47,068	25.80	n/a	2-Sep	1,882.72	4.0
WEDBUSH/PACIFIC GROWTH EQTY LLC	084	NAV	B	6,000	38.99		n/a 10-Aug	300.00	5.0
f JOHN MICHAEL ZOLIDIS	FID	PIR	S	1500	11.00	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	PKG	S	2,000	25.77	n/a	4-Aug	120.00	6.0
BNP PARIBAS SEC	040	PLCE	SS	30,000	42.62	n/a	18-Aug	1,500.00	5.0
ß BUCK CAPITAL MGMT		PVH	B	20,000	63.78	n/a	1-Sep	non-brg	4.0
ß BUCK CAPITAL MGMT		PVH	B	70,000	63.25	n/a	1-Sep	non-brg	4.0
BMO NESBITT BURNS	041	RKT	B	2,000	54.43	n/a	4-Aug	120.00	6.0
ß BUCK CAPITAL MGMT		RYL	S	150,000	10.90	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	SDRL	B	33,000	30.79	n/a	n/a	990.00	3.0
B BUCK CAPITAL MGMT		SFLY	S	48,900	53.15	n/a	n/a	non-brg	4.0
ROARING BLUE LION MGMT	031	SSI	B	2,000	14.10	n/a	n/a	80.00	4.0
B BUCK CAPITAL MGMT		TEA	S	2,800	22.88	n/a	n/a	non-brg	2.5
BMO NESBITT BURNS	041	TIN	S	30,000	30.95	n/a	6-Sep	1,550.00	5.5
CATAPULT/GEMINDER	040	TIN	B	50,000	31.00	n/a	6-Sep	1,500.00	3.0
CSFB GLOBAL PROPRIETARY	041	TIN	SS	40,009	31.00	n/a	6-Sep	2,000.45	5.0
CSFB GLOBAL PROPRIETARY	041	TIN	S	39,991	31.00	n/a	6-Sep	1,999.55	5.0
f CHRISTOPHER ROBERT C	FID	TRW	S	100	39.66	n/a	n/a	0.00	0.0
HIGHBRIDGE CAP	041	TRW	B	26,000	39.45	n/a	n/a	780.00	3.0
PLATTE RIVER CAPITAL	240	TSN	B	24,000	17.19	n/a	n/a	960.00	4.0
B BUCK CAPITAL MGMT		URI	B	10,000	16.71	n/a	n/a	non-brg	4.0
f JASON ERIC COHEN	FID	URI	B	245	16.54	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	USG	B	15,000	9.04	n/a	22-Jul	900.00	6.0
f CHRISTOPHER ROBERT C	FID	WBC	B	75	47.29	n/a	18-Aug	0.00	0.0
B BUCK CAPITAL MGMT		WBS	B	10,000	16.46	n/a	n/a	non-brg	4.0
PLATTE RIVER CAPITAL	240	WY	B	30,000	17.16	n/a	29-Jul	1,200.00	4.0
B BUCK CAPITAL MGMT		XLFF	C	639,500	12.59	n/a	n/a	non-brg	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JAMES H HLAVACEK II	FID	XOM	S	15	72.64	n/a	n/a	0.00	0.0
f MICHAEL C PERILLO	FID	XPO	B	170	11.45	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		XRT	C	60,000	48.18	n/a	n/a	non-brg	2.0
TOTAL (Trade Date):							46,044.16		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/02	PATTEN & PATTEN	025	EWJ	S	2,500	9.61	n/a	n/a	125.00 5.0
AO,CRT	09/02	PATTEN & PATTEN	025	EWJ	S	2,500	9.61	n/a	n/a	125.00 5.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	46,044.16
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	46,044.16
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CXL	09/02	BUCK CAPITAL MGMT.	MVRX	C	8,000	195.90	n/a	n/a	640.00
CRT	09/02	BUCK CAPITAL MGMT	MVRX	C	8,000	195.90	n/a	n/a	1253.74 15.7

MRI Securities with Trade Activity on 7-Sep.
NONE

MRI Securities without Trade Activity on 7-Sep.
GLW, SHW, PX, DD, APD, MMM, ADM, CHD

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)