



# Daily Compliance Activity Report

Trade Date: 07/08/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
APEX CAPITAL MGMT.	261	AEO	C	200,000	13.77	n/a	26-May	8,000.00	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>AEO</b>	<b>C</b>	<b>50,000</b>	<b>13.86</b>	<b>n/a</b>	<b>26-May</b>	<b>non-brg</b>	<b>4.0</b>
MTB INV ADV	034	AGCO	S	15,600	52.16	n/a	27-Apr	780.00	5.0
BNP PARIBAS SEC	040	ALV	SS	10,000	72.08	8-Jul	8-Jul	500.00	5.0
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>ARE</b>	<b>S</b>	<b>500</b>	<b>81.57</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>ARO</b>	<b>SS</b>	<b>20,000</b>	<b>18.30</b>	<b>n/a</b>	<b>20-May</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>ARO</b>	<b>SS</b>	<b>50,000</b>	<b>18.08</b>	<b>n/a</b>	<b>20-May</b>	<b>non-brg</b>	<b>4.0</b>
PARAMETER CAPITAL MGMT LLC044	AVB		S	10,600	136.33	n/a	n/a	424.00	4.0
<b>f</b> CHRISTOPHER ROBERT C	<b>FID</b>	<b>AWAY</b>	<b>S</b>	<b>150</b>	<b>41.90</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CYRUS CAPITAL	025	AXL	B	62,290	11.62	n/a	7-Jul	1,868.70	3.0
<b>f</b> ANDREW SINCLAIR	<b>FID</b>	<b>BGZ</b>	<b>S</b>	<b>235</b>	<b>32.93</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> MANNY I KORMAN	<b>FID</b>	<b>BWA</b>	<b>B</b>	<b>200</b>	<b>1.25</b>	<b>n/a</b>	<b>29-Apr</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>BWLD</b>	<b>SS</b>	<b>30,000</b>	<b>66.05</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
TRUST CO/COWEN/CALF.	040	CBS	S	20,000	28.57	n/a	n/a	1,000.00	5.0
HOLLIS CAPITAL	033	CNX	S	6,000	50.13	n/a	n/a	300.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KLEINHEINZ CAP PART	031	COST	SS	40,000	81.58	n/a	n/a	2,000.00	5.0
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>CRMBW</b>	<b>B</b>	<b>1675</b>	<b>2.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARK DEVEREAUX KAICH</b>	<b>FID</b>	<b>CRMBW</b>	<b>S</b>	<b>4000</b>	<b>2.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PARAMETER CAPITAL MGMT LLC044	CSX		SS	75,000	26.53	n/a	n/a	3,000.00	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>CS</b>	<b>S</b>	<b>2000</b>	<b>37.93</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DDS</b>	<b>S</b>	<b>30,000</b>	<b>58.51</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>DD</b>	<b>B</b>	<b>1000</b>	<b>55.17</b>	<b>n/a</b>	<b>30-Jun</b>	<b>0.00</b>	<b>0.0</b>
SUFFOLK CAPITAL MGMT	040	DHR	B	21,100	54.40	n/a	n/a	844.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>DKS</b>	<b>B</b>	<b>50,000</b>	<b>38.05</b>	<b>n/a</b>	<b>18-May</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DLTR</b>	<b>S</b>	<b>10,000</b>	<b>70.14</b>	<b>n/a</b>	<b>20-May</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DLTR</b>	<b>S</b>	<b>39,900</b>	<b>69.76</b>	<b>n/a</b>	<b>20-May</b>	<b>non-brg</b>	<b>1.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>ETAK</b>	<b>B</b>	<b>900</b>	<b>3.93</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>FOR</b>	<b>S</b>	<b>400</b>	<b>17.25</b>	<b>n/a</b>	<b>5-May</b>	<b>0.00</b>	<b>0.0</b>
CAPITAL GROWTH MGMT.	241	F	S	200,000	13.82	n/a	5-Jul	4,000.00	2.0
MA CAPITAL MGMT/MELLON ADV041	F		B	10,000	13.85	n/a	5-Jul	400.00	4.0
S.A.C. CAP/ORENSTEIN	044	F	S	200,000	13.81	n/a	5-Jul	7,000.00	3.5
MILLENNIUM-ICS BOBBY	044	GDX	S	5,000	56.50	n/a	n/a	150.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
BUCK CAPITAL MGMT		GES	S	10,000	44.10	n/a	26-May	non-brg 4.0
JONATHAN RICHARD HAR	FID	HWCC	S	1165	16.80	n/a	n/a	0.00 0.0
DENVER INST. ADV	046	IHG	S	199,856	21.22	n/a	n/a	7,994.24 4.0
DAVID GEORGE BUCK	FID	IWF	B	20	0.40	n/a	n/a	0.00 0.0
BUCK CAPITAL MGMT		JCP	SS	50,000	33.07	n/a	8-Jul	non-brg 4.0
DAVID GEORGE BUCK	FID	JWN	B	1000	49.99	8-Jul	8-Jul	0.00 0.0
SCOPUS FUND	041	JWN	B	25,000	49.83	8-Jul	8-Jul	1,000.00 4.0
BUCK CAPITAL MGMT		KEG	S	150,000	19.50	n/a	16-Jun	non-brg 4.0
BUCK CAPITAL MGMT		KEG	S	227,438	19.48	n/a	16-Jun	non-brg 4.0
MACQUARIE INVESTMENT MGMT.	040	K	SS	5,000	55.11	n/a	n/a	0.00 0.0
BNP PARIBAS SEC	040	LEA	S	5,000	53.21	n/a	2-May	250.00 5.0
BUCK CAPITAL MGMT		LPSN	S	25,000	14.25	n/a	n/a	non-brg 2.5
BUCK CAPITAL MGMT		LPX	S	325,600	8.43	n/a	19-May	non-brg 2.0
BUCK CAPITAL MGMT		LPX	S	36,400	8.42	n/a	19-May	non-brg 3.0
DAVID GEORGE BUCK	FID	LULU	B	7	0.15	n/a	10-Jun	0.00 0.0
BUCK CAPITAL MGMT		LVS	S	50,000	44.71	n/a	13-Jun	non-brg 1.0
BUCK CAPITAL MGMT		MGM	S	30,000	14.42	n/a	13-Jun	non-brg 1.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	CHRISTOPHER ROBERT C	FID	MGM	S	200	14.37	n/a	13-Jun	0.00	0.0
	ROYCE TRADING	012	MLI	B	500	42.37	n/a	27-Apr	25.00	5.0
f	KEVIN MICHAEL O'GORM	FID	MS	S	2500	22.32	n/a	1-Jul	0.00	0.0
	TRUST CO/COWEN/CALF.	040	MTSN	S	32,310	2.00	n/a	n/a	969.30	3.0
	SANDLER CAPITAL	028	MTW	SS	150,000	17.37	n/a	3-May	7,500.00	5.0
f	KAREN F LEDDY	FID	MWA	S	4000	3.79	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		MWV	S	82,500	33.81	n/a	27-Apr	non-brg	4.0
	CATAPULT	040	M	B	20,000	30.21	8-Jul	8-Jul	800.00	4.0
	MACQUARIE INVESTMENT MGMT.	040	M	B	5,000	29.72	8-Jul	8-Jul	0.00	0.0
f	DAVID GEORGE BUCK	FID	NDN	B	1000	20.58	n/a	6-Jul	0.00	0.0
f	KEVIN MICHAEL O'GORM	FID	OZM	S	2000	13.94	n/a	n/a	0.00	0.0
	WEDBUSH/PACIFIC GROWTH EQTY LLC	084	PCAR	B	10,000	52.58		n/a 20-Apr	500.00	5.0
	BALYASNY ASSET MGMT	044	PFCB	C	3,000	41.75	n/a	29-Apr	150.00	5.0
f	CHRISTOPHER ROBERT C	FID	PH	B	100	89.16	n/a	28-Apr	0.00	0.0
f	CHRISTOPHER ROBERT C	FID	PH	S	100	89.22	n/a	28-Apr	0.00	0.0
	KACELA CAPITAL	034	PH	S	30,000	89.22	n/a	28-Apr	1,200.00	4.0
f	CHRISTOPHER ROBERT C	FID	PVH	B	125	68.63	n/a	2-Jun	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f MARGARET ANNE MCAULE</b>	<b>FID</b>	<b>PWAV</b>	<b>B</b>	<b>600</b>	<b>2.90</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>RL</b>	<b>SS</b>	<b>10,000</b>	<b>137.08</b>	<b>n/a</b>	<b>26-May</b>	<b>non-brg</b>	<b>4.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>RUSHA</b>	<b>S</b>	<b>700</b>	<b>19.09</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SODA</b>	<b>S</b>	<b>25,000</b>	<b>75.09</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f GAJANTHAN BALAKANES</b>	<b>FID</b>	<b>SODA</b>	<b>B</b>	<b>7</b>	<b>73.31</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SCOPUS FUND	041	STZ	SS	37,500	21.32	n/a	n/a	1,500.00	4.0
FIRST NEW YORK NICK	029	S	B	20,000	5.49	n/a	n/a	1,000.00	5.0
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>TBT</b>	<b>S</b>	<b>200</b>	<b>33.31</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
AVESTA CAP	229	TGT	B	50,000	51.32	n/a	7-Jul	1,500.00	3.0
CAERUS GLOBAL	041	TGT	B	7,500	51.06	n/a	7-Jul	300.00	4.0
ELM RIDGE ADVISORS	044	TIN	S	52,579	31.05	n/a	21-Jun	2,103.16	4.0
MACQUARIE INVESTMENT MGMT.	040	TJX	B	5,000	55.08	8-Jul	8-Jul	0.00	0.0
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>TWM</b>	<b>S</b>	<b>210</b>	<b>39.39</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>UNH</b>	<b>B</b>	<b>800</b>	<b>51.87</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PARAMETER CAPITAL MGMT LLC	044	VNO	S	15,000	95.81	n/a	n/a	600.00	4.0
GRANITE CAPITAL	028	VRA	S	15,000	38.13	n/a	n/a	750.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PARAMETER CAPITAL MGMT LLC044		WBC	B	3,800	71.10	n/a	29-Apr	152.00	4.0
KACELA CAPITAL	034	WFM	S	14,825	64.29	n/a	n/a	593.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>WRC</b>	<b>S</b>	<b>10,000</b>	<b>53.14</b>	<b>n/a</b>	<b>6-May</b>	<b>non-brg</b>	<b>4.0</b>
LEVIN CAPITAL STRATEGIES	012	WRC	B	15,000	53.10	n/a	6-May	450.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>WY</b>	<b>S</b>	<b>139,000</b>	<b>22.09</b>	<b>n/a</b>	<b>3-Jun</b>	<b>non-brg</b>	<b>4.0</b>
<b>f BARBARA S LEDDY</b>	<b>FID</b>	<b>XPO</b>	<b>B</b>	<b>3000</b>	<b>3.65</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JAMES H HLAVACEK II</b>	<b>FID</b>	<b>XPO</b>	<b>B</b>	<b>700</b>	<b>3.49</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>2000</b>	<b>3.74</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>XPO</b>	<b>B</b>	<b>10000</b>	<b>3.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>XPO</b>	<b>B</b>	<b>8350</b>	<b>3.72</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f NICOLAS EVAN PAKLER</b>	<b>FID</b>	<b>XPO</b>	<b>B</b>	<b>1150</b>	<b>3.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TRUST CO/COWEN/CALF.	040	XXIA	B	4,300	9.83	n/a	n/a	172.00	4.0
<b>TOTAL (Trade Date) :</b>								<b>59,775.40</b>	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									59,775.40
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									59,775.40
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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 8-Jul.

ALV, JWN, M, TJX

MRI Securities without Trade Activity on 8-Jul.

NONE

BRG comm. as a % of BCM Total Comm. paid.

T-Date = 0%

YTD = 3%



**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)**