



Daily Compliance Activity Report

Trade Date: 09/14/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	031	AEO	B	35,000	10.97	n/a	25-Aug	1,750.00	5.0
SURVEYOR CAPITAL	041	ALK	SS	6,641	59.92	n/a	n/a	199.23	3.0
HIGHBRIDGE CAP	041	ANN	B	21,000	24.38	n/a	n/a	630.00	3.0
⚡ BUCK CAPITAL MGMT		APO	S	200	11.87	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		APO	S	300	11.87	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		APO	S	6,300	11.87	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		APO	S	600	11.87	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		APO	S	800	11.87	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		APO	S	900	11.87	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		APO	S	900	11.87	n/a	n/a	non-brg	4.0
BNP PARIBAS SEC	040	AVY	S	15,000	26.36	n/a	6-Sep	750.00	5.0
HIGHBRIDGE CAP	041	BBBY	S	4,500	58.78	n/a	n/a	135.00	3.0
⚡ ALANA J A MADIGAN-SI	FID	BGZ	B	575	39.24	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		BID	B	20,000	36.84	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		BID	B	20,000	36.84	n/a	n/a	non-brg	4.0
ASCEND PARTNERS	033	BIG	B	34,745	31.66	n/a	25-Aug	1,042.35	3.0
BMO NESBITT BURNS	041	BZ	B	15,000	5.98	n/a	n/a	600.00	4.0
COOPER CREEK PART	028	BZ	B	30,000	5.96	n/a	n/a	900.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	CCE	B	150,000	26.54	n/a	n/a	4,500.00	3.0
B BUCK CAPITAL MGMT		CHRS	B	500,000	2.77	n/a	n/a	non-brg	2.0
MERRILL ASSET/BLACKROCK	297	CNA	S	21,200	23.99	n/a	n/a	848.00	4.0
HIGHBRIDGE CAP	041	COH	B	5,000	57.00	n/a	3-Aug	150.00	3.0
f DAVID GEORGE BUCK	FID	CPN	S	270	14.97	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	CPN	S	38	14.99	n/a	n/a	0.00	0.0
RAINIER INV MGMT	035	CRS	B	40,000	50.55	n/a	n/a	1,600.00	4.0
B BUCK CAPITAL MGMT		CSTR	S	20,000	45.50	n/a	n/a	non-brg	4.0
f KAREN F LEDDY	FID	CWTR	S	2500	1.62	n/a	n/a	0.00	0.0
f STEFFANIE CARMELA CA	FID	DAL	S	450	8.17	n/a	n/a	0.00	0.0
SURVEYOR CAPITAL	041	DAL	B	23,613	8.43	n/a	n/a	708.39	3.0
ACK ASSET	028	DAN	B	32,500	12.26	n/a	29-Jul	975.00	3.0
ARMATURE CAPITAL	041	DE	SS	20,000	77.15	14-Sep	14-Sep	800.00	4.0
SONTERRA CAP	041	DG	B	16,205	36.53	n/a	30-Aug	648.20	4.0
HIGHBRIDGE CAP	041	DKS	B	8,000	34.86	n/a	16-Aug	240.00	3.0
PIONEER PATH	028	DNKN	S	75,000	25.60	n/a	n/a	2,250.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TUDOR INVESTORS	028	FDO	SS	25,000	51.41	n/a	1-Jul	750.00	3.0
ß BUCK CAPITAL MGMT		GIII	B	197,300	21.11	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GIII	B	2,700	20.90	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		GIII	B	20,000	20.86	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		GIII	B	30,000	21.11	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		GIII	B	50,000	21.11	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GLW	S	45,000	13.76	n/a	8-Sep	non-brg	4.0
f MANNY I KORMAN	FID	GLW	B	200	0.11	n/a	8-Sep	0.00	0.0
PIONEER PATH	028	GPS	B	75,000	16.73	n/a	n/a	2,250.00	3.0
SIMMONS VENTURES	041	GPS	S	7,500	16.60	n/a	n/a	300.00	4.0
HUNTER GLOBAL INVESTOR	028	GWV	SS	12,750	157.05	n/a	18-Aug	637.50	5.0
f DAVID GEORGE BUCK	FID	HBC	B	7000	39.64	n/a	n/a	0.00	0.0
TALPION LLC	040	HD	B	10,000	33.36	n/a	16-Aug	400.00	4.0
CATAPULT	040	HLX	SS	25,000	16.62	n/a	n/a	1,000.00	4.0
f EDWARD W WHEELER	FID	HWCC	S	5000	13.64	n/a	n/a	0.00	0.0
CSFB GLOBAL PROPRIETARY	041	IP	B	40,000	26.75	n/a	6-Sep	2,000.00	5.0
ROSEDALE CAPITAL	046	JCI	B	15,000	28.96	n/a	18-Aug	750.00	5.0
SIMMONS VENTURES	041	JNY	B	15,000	11.08	n/a	28-Jul	600.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		KBH	B	10,000	6.07	n/a	n/a	non-brg	3.0
HIGHBRIDGE CAP	041	KMX	SS	10,000	26.93	n/a	n/a	300.00	3.0
FIRST NEW YORK FRAN	028	KSS	SS	10,000	44.82	n/a	2-Sep	400.00	4.0
TALPION LLC	040	K	C	5,000	52.88	n/a	n/a	200.00	4.0
ROYCE TRADING	031	LAZ	B	20,000	24.37	n/a	24-Aug	1,000.00	5.0
ACK ASSET	028	MAT	S	53,000	26.47	n/a	n/a	1,590.00	3.0
PIONEER PATH	028	MCD	B	25,000	87.08	n/a	9-Sep	750.00	3.0
KLEINHEINZ CAP PART	031	MMM	B	50,000	79.53	n/a	7-Sep	2,500.00	5.0
SURVEYOR CAPITAL	041	MMM	SS	5,000	79.93	n/a	7-Sep	150.00	3.0
PECONIC PARTNERS	036	MOS	B	10,000	71.02	n/a	n/a	500.00	5.0
PIONEER PATH	028	MO	B	50,000	26.61	n/a	n/a	1,500.00	3.0
B BUCK CAPITAL MGMT		MSMSBCD	C	707,230	88.75	n/a	n/a	non-brg	0.2
B BUCK CAPITAL MGMT		MSMSBCD	SS	707,230	88.75	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		MSMSBCM	C	6,259,924	88.71	n/a	n/a	non-brg	0.2
B BUCK CAPITAL MGMT		MSMSBCM	SS	6,259,924	88.71	n/a	n/a	non-brg	0.0
SURVEYOR CAPITAL	041	NAV	B	5,211	38.58	n/a	14-Sep	156.33	3.0
f BARBARA S LEDDY	FID	NYB	B	900	12.63	n/a	18-Aug	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f EDWARD W WHEELER	FID	PCAR	S	5000	36.97	14-Sep	14-Sep	0.00	0.0
SURVEYOR CAPITAL	041	PCP	S	1,185	168.14	n/a	29-Jul	35.55	3.0
B BUCK CAPITAL MGMT		PLCE	S	22,100	45.45	n/a	18-Aug	non-brg	4.0
PERRY PARTNERS	085	RAH	S	29,462	77.36	n/a	n/a	883.86	3.0
B BUCK CAPITAL MGMT		RL	SS	10,000	143.50	n/a	11-Aug	non-brg	4.0
f CHRISTOPHER ARTHUR K	FID	RRR	S	500	7.51	14-Sep	14-Sep	0.00	0.0
BALLAST CAP	040	SCSS	B	4,000	16.50	n/a	n/a	200.00	5.0
HARRIER HAWK MGMT	028	SHW	SS	21,000	76.57	n/a	7-Sep	840.00	4.0
f MANNY I KORMAN	FID	SIJ	S	10000	53.41	n/a	n/a	0.00	0.0
TALPION LLC	040	SIX	S	5,000	31.50	n/a	n/a	200.00	4.0
PIONEER PATH	028	SLE	B	75,000	17.44	n/a	n/a	2,250.00	3.0
B BUCK CAPITAL MGMT		SLM	S	63,000	13.49	n/a	8-Sep	non-brg	4.0
B BUCK CAPITAL MGMT		SODA	S	15,000	43.27	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		SODA	S	5,000	42.53	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		SPY	C	90,200	117.46	n/a	n/a	non-brg	2.0
f CHRISTOPHER ROBERT C	FID	SWFT	S	1000	8.09	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f ROHINI T SADARANGANI	FID	SWN	B	500	38.50	n/a	14-Sep	0.00	0.0
f DAVID GEORGE BUCK	FID	SYK	S	2000	47.95	n/a	n/a	0.00	0.0
RIDGECREST INV MGMT LLC	028	TGT	B	5,000	51.29	n/a	1-Sep	250.00	5.0
HIGHBRIDGE CAP	041	TIF	B	4,000	72.50	n/a	n/a	120.00	3.0
TALPION LLC	040	TJX	B	5,000	53.27	n/a	2-Sep	200.00	4.0
SURVEYOR CAPITAL	041	UAL	B	9,886	20.25	n/a	n/a	296.58	3.0
f DAVID GEORGE BUCK	FID	VRTX	B	2000	50.57	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	VRTX	S	20	2.75	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	WBC	S	360	46.82	n/a	18-Aug	0.00	0.0
AVESTA CAP	229	WMT	C	100,000	51.89	n/a	25-Aug	3,000.00	3.0
TALPION LLC	040	WMT	C	5,000	52.28	n/a	25-Aug	200.00	4.0
TALPION LLC	040	XLI	C	5,000	31.30	n/a	n/a	200.00	4.0
JET CAPITAL/CHRIS	041	XLU	SS	45,000	33.30	n/a	n/a	1,350.00	3.0
f BARBARA S LEDDY	FID	XPO	B	800	10.13	n/a	n/a	0.00	0.0
f CHRISTOPHER ARTHUR K	FID	XPO	S	625	10.36	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	XPO	B	495	10.14	n/a	n/a	0.00	0.0
f KEVIN MICHAEL O'GORM	FID	ZSL	S	3000	12.04	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TUDOR INVESTORS	028	ZUMZ	SS	17,633	19.04	n/a	n/a	528.99	3.0
f EDWARD W WHEELER	FID		B	100000	97.00	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								47,014.98	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/13	ADAGE CAPITAL MGMT	030	KR	B	522	21.97	n/a	n/a	15.66 3.0
AO,CRT	09/13	ADAGE CAPITAL MGMT	030	KR	B	299,739	21.97	n/a	n/a	8992.17 3.0
AO,CXL	09/13	ADAGE CAPITAL MGMT	030	KR	B	300,261	21.97	n/a	n/a	9007.83 3.0
AO,CRT	09/13	SIMMONS VENTURES	041	ZQK	B	5,000	3.72	n/a	10-May	150.00 3.0
AO,CXL	09/13	SIMMONS VENTURES	041	ZQK	B	5,000	3.72	n/a	10-May	200.00 4.0
TOTAL (AO, CXL, CRT) :										-50.00

TOTAL (Trade Date) :	47,014.98
TOTAL (AO, CXL, CRT) :	-50.00

TOTAL (RUN DATE) / NFS:	46,964.98
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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 14-Sep.
DE, PCAR, RRR

MRI Securities without Trade Activity on 14-Sep.
MIDD, PH, TEX, MTW, KMT, ITW, CMI, CAT, AGCO

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)