



# Daily Compliance Activity Report

Trade Date: 10/24/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f</b> CHRISTOPHER ROBERT C	<b>FID</b>	<b>AAPL</b>	<b>B</b>	<b>13</b>	<b>403.99</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LATEFF MGMT	035	ALL	S	500	27.03	n/a	n/a	50.00	10.0
<b>B</b> BUCK CAPITAL MGMT		<b>ANN</b>	<b>B</b>	<b>20,000</b>	<b>26.88</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> MANNY I KORMAN	<b>FID</b>	<b>APC</b>	<b>B</b>	<b>100</b>	<b>4.65</b>	<b>n/a</b>	<b>24-Oct</b>	<b>0.00</b>	<b>0.0</b>
BARON ASSET MGMT*	085	ARCO	B	75,000	22.35	n/a	17-Oct	3,000.00	4.0
TRUSTCO/SUNTRUST	040	ARCO	B	18,782	22.51	n/a	17-Oct	657.38	3.5
<b>B</b> BUCK CAPITAL MGMT		<b>ASNA</b>	<b>S</b>	<b>50,000</b>	<b>29.50</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> MANNY I KORMAN	<b>FID</b>	<b>AXP</b>	<b>B</b>	<b>200</b>	<b>3.30</b>	<b>n/a</b>	<b>19-Oct</b>	<b>0.00</b>	<b>0.0</b>
ASCEND PARTNERS	033	BIG	S	50,000	38.18	n/a	25-Aug	1,500.00	3.0
FIRST NY SEC/CHRIS	041	BYD	B	20,000	6.48	n/a	n/a	600.00	3.0
CRAMER ROSENTHAL/SCOTT	070	B	S	176,550	22.53	n/a	n/a	7,062.00	4.0
MILLENNIUM-ANDEW	031	CAT	S	10,000	91.50	n/a	14-Sep	600.00	6.0
OSKIE CAPITAL MGMT	224	COG	B	10,000	70.62	n/a	24-Oct	500.00	5.0
KLEINHEINZ CAP PART	031	COST	B	20,000	84.88	n/a	n/a	1,000.00	5.0
MERCHANTS GATE CAP LP	036	COST	C	24,000	84.79	n/a	n/a	960.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JOHN MICHAEL ZOLIDIS	FID	CROX	B	500	16.19	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	CVGI	B	250	9.50	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	CVGI	B	2500	9.27	n/a	n/a	0.00	0.0
ACK ASSET	028	DAN	B	171,500	14.27	n/a	19-Oct	5,145.00	3.0
f JASON ERIC COHEN	FID	DAN	S	262	14.14	n/a	19-Oct	0.00	0.0
f JONATHAN RICHARD HAR	FID	DGP	S	155	54.33	n/a	n/a	0.00	0.0
ROTHSCHILD ASSET	040	DPL	S	6,082	30.23	n/a	n/a	243.28	4.0
MERRILL ASSET/BLACKROCK	297	EQT	S	13,000	67.78	n/a	n/a	520.00	4.0
MILLENNIUM-ANDEW	031	ETN	S	25,000	44.04	24-Oct	24-Oct	1,500.00	6.0
LATEFF MGMT	035	FDX	S	250	81.40	n/a	n/a	62.50	25.0
B BUCK CAPITAL MGMT		FOSL	B	20,000	93.06	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		FOSL	B	30,000	93.06	n/a	n/a	non-brg	4.0
OZ MGMT	040	F	B	100,000	12.41	n/a	19-Oct	3,000.00	3.0
SANDLER CAPITAL	028	GES	C	240,000	33.16	n/a	21-Oct	12,000.00	5.0
AVESTA CAP	229	GE	S	500,000	16.42	n/a	n/a	15,000.00	3.0
B BUCK CAPITAL MGMT		GIII 12 C25	SS	800	3.02	n/a	n/a	non-brg	300.0
B BUCK CAPITAL MGMT		GIII	S	5,000	26.16	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f KEVIN MICHAEL O'GORM</b>	<b>FID</b>	<b>GLW</b>	<b>B</b>	<b>1500</b>	<b>14.01</b>	<b>n/a</b>	<b>23-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>GLW</b>	<b>B</b>	<b>400</b>	<b>0.06</b>	<b>n/a</b>	<b>23-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GMCR</b>	<b>B</b>	<b>30,000</b>	<b>72.11</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BASIX	033	GPI	SS	10,500	44.26	n/a	19-Oct	315.00	3.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>GPX</b>	<b>S</b>	<b>1000</b>	<b>4.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
IRIDIAN ASSET MGMT.	036	GWV	C	15,200	171.46	n/a	18-Oct	456.00	3.0
TUDOR INVESTORS	028	HBI	SS	45,000	27.00	n/a	21-Oct	1,350.00	3.0
TUDOR INVESTORS	028	HBI	S	25,000	26.84	n/a	21-Oct	750.00	3.0
RBC CAPITAL MARKETS	040	HD	S	10,000	37.01	n/a	16-Aug	400.00	4.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>HEES</b>	<b>S</b>	<b>10000</b>	<b>11.25</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>HGSI</b>	<b>B</b>	<b>2000</b>	<b>13.47</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>IEF</b>	<b>B</b>	<b>300</b>	<b>102.70</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BNP PARIBAS SEC	040	JCP	SS	50,000	33.91	n/a	13-Oct	2,500.00	5.0
THE JAY GOLDMAN	028	JCP	S	20,000	34.30	n/a	13-Oct	800.00	4.0
THIRD POINT MGMT	044	JCP	C	50,000	33.99	n/a	13-Oct	2,000.00	4.0
BASIX	033	JNY	S	46,000	12.26	n/a	28-Jul	1,380.00	3.0
BNP PARIBAS SEC	040	JOSB	SS	5,000	52.62	n/a	n/a	250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEFF MGMT	035	JPM	S	500	34.30	n/a	13-Oct	50.00	10.0
MATRIX ASSET ADV.	091	JPM	S	7,300	34.33	n/a	13-Oct	292.00	4.0
⚡ BUCK CAPITAL MGMT		KSS	SS	20,000	54.06	n/a	7-Oct	non-brg	4.0
⚡ BUCK CAPITAL MGMT		KSS	SS	30,000	54.06	n/a	7-Oct	non-brg	4.0
HIGHBRIDGE CAP	041	KSS	S	5,000	55.00	n/a	7-Oct	150.00	3.0
THE JAY GOLDMAN	028	KSS	B	20,000	55.18	n/a	7-Oct	800.00	4.0
THE JAY GOLDMAN	028	KSS	SS	10,000	55.00	n/a	7-Oct	400.00	4.0
HIGHBRIDGE CAP	041	LOW	B	23,000	22.38	n/a	17-Oct	690.00	3.0
⚡ BUCK CAPITAL MGMT		LTD	S	50,000	43.95	n/a	n/a	non-brg	4.0
CADIAN CAPITAL	041	LULU	B	79,000	53.18	n/a	12-Sep	2,370.00	3.0
NUVEEN - US BANCORP		030 LZB	B	21,713	9.48		n/a	n/a	977.09 4.5
CATAPULT	040	MPC	S	25,000	37.31	n/a	n/a	1,000.00	4.0
⚡ BUCK CAPITAL MGMT		MSMSBCM	C	85,000	96.21	n/a	n/a	non-brg	7.7
⚡ BUCK CAPITAL MGMT		MSMSBOB	B	35,000	107.18	n/a	n/a	non-brg	8.6
⚡ BUCK CAPITAL MGMT		MSMSBOB	B	40,000	107.18	n/a	n/a	non-brg	8.6
f KAREN F LEDDY	FID	MTW	B	900	9.12	n/a	14-Sep	0.00	0.0
⚡ BUCK CAPITAL MGMT		MVRX	C	120,000	223.76	n/a	n/a	non-brg	17.9
⚡ BUCK CAPITAL MGMT		MW	SS	50,000	29.47	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B</b> BUCK CAPITAL MGMT		<b>M</b>	<b>S</b>	<b>200,000</b>	<b>31.11</b>	<b>n/a</b>	<b>7-Oct</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>M</b>	<b>S</b>	<b>56,000</b>	<b>31.13</b>	<b>n/a</b>	<b>7-Oct</b>	<b>non-brg</b>	<b>4.0</b>
CAMBIAR CAP	046	NAV	S	21,810	42.81	n/a	14-Sep	872.40	4.0
<b>f</b> JONATHAN RICHARD HAR	<b>FID</b>	<b>NDN</b>	<b>S</b>	<b>1275</b>	<b>21.72</b>	<b>n/a</b>	<b>13-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> SNEJANA P GARFUNKEL	<b>FID</b>	<b>NILSY</b>	<b>B</b>	<b>990</b>	<b>21.59</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BLUEMAR CAPITAL MANAGEMENT	029	NTRS	SS	10,300	40.53	n/a	19-Oct	309.00	3.0
<b>B</b> BUCK CAPITAL MGMT		<b>NWY</b>	<b>S</b>	<b>83,400</b>	<b>2.70</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
PAW PARTNERS	025	N	B	15,000	37.32	n/a	n/a	750.00	5.0
MERRILL ASSET/BLACKROCK	297	OAS	S	14,200	32.79	n/a	n/a	568.00	4.0
LATEFF MGMT	035	OI	B	150	19.66	n/a	n/a	30.00	20.0
LATEFF MGMT	035	OI	S	1,500	19.65	n/a	n/a	150.00	10.0
<b>f</b> MANNY I KORMAN	<b>FID</b>	<b>PCAR</b>	<b>B</b>	<b>10000</b>	<b>42.41</b>	<b>n/a</b>	<b>14-Sep</b>	<b>0.00</b>	<b>0.0</b>
FARBER/WEISS PECK	085	PCH	S	25,000	34.28	24-Oct	24-Oct	1,000.00	4.0
HIGHBRIDGE CAP	041	PETM	S	10,535	47.41	n/a	n/a	316.05	3.0
ROYCE TRADING	031	PLCE	B	2,000	45.43	n/a	18-Aug	100.00	5.0
MERRILL ASSET/BLACKROCK	297	PRA	S	5,400	77.52	n/a	n/a	216.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EGS ASSOCIATES LP	091	PVH	SS	800	73.43	n/a	21-Oct	40.00	5.0
MERRILL ASSET/BLACKROCK	297	RGA	S	6,700	54.05	n/a	n/a	268.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>RL</b>	<b>SS</b>	<b>10,000</b>	<b>157.12</b>	<b>n/a</b>	<b>21-Oct</b>	<b>non-brg</b>	<b>4.0</b>
DSG CAPITAL	030	RRR	B	30,000	9.59	n/a	21-Oct	900.00	3.0
SENATOR INVESTMENT GROUP	036	SEE	S	2,700	17.60	n/a	2-Jun	81.00	3.0
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>SGI</b>	<b>B</b>	<b>300</b>	<b>13.17</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>SGI</b>	<b>B</b>	<b>600</b>	<b>13.14</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>SRI</b>	<b>B</b>	<b>700</b>	<b>7.38</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ROARING BLUE LION MGMT	031	SSI	S	9,900	16.37	n/a	n/a	396.00	4.0
HIGHBRIDGE CAP	041	SWY	SS	28,000	19.00	n/a	n/a	840.00	3.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>SYK</b>	<b>B</b>	<b>1000</b>	<b>49.81</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NUVEEN - US BANCORP		030 TEN	S	8,092	35.50		n/a	n/a	364.14 4.5
MERRILL ASSET/BLACKROCK	297	TESO	S	24,439	14.70	n/a	n/a	977.56	4.0
LATEFF MGMT	035	TEVA	B	75	39.19	n/a	24-Oct	24.00	32.0
HIGHBRIDGE CAP	041	TGT	S	37,000	54.90	n/a	6-Oct	1,110.00	3.0
PAW PARTNERS	025	THI	B	12,000	50.50	n/a	n/a	600.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B</b> BUCK CAPITAL MGMT		<b>TIF</b>	<b>B</b>	<b>20,000</b>	<b>74.47</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
HIGHBRIDGE CAP	041	TIF	B	3,345	74.73	n/a	n/a	100.35	3.0
LATEFF MGMT	035	TRV	S	100	57.74	n/a	n/a	30.00	30.0
NEWLAND CAPITAL MGT	025	TSO	SS	80,000	25.86	n/a	n/a	3,200.00	4.0
TRUSTCO/SUNTRUST	040	T	B	59,362	28.96	n/a	n/a	2,077.69	3.5
<b>B</b> BUCK CAPITAL MGMT		<b>UA 11 P70</b>	<b>SS</b>	<b>500</b>	<b>1.76</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>300.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>UA 11 P70</b>	<b>SS</b>	<b>600</b>	<b>1.76</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>300.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>URBN</b>	<b>B</b>	<b>100,000</b>	<b>26.53</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>URBN</b>	<b>C</b>	<b>124,200</b>	<b>26.47</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> EDWARD W WHEELER	<b>FID</b>	<b>VE</b>	<b>S</b>	<b>5000</b>	<b>15.67</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TALPION LLC	040	VFC	SS	5,000	138.50	n/a	21-Oct	200.00	4.0
VISIUM/BALY BOBBY	044	VLO	S	20,000	23.80	n/a	n/a	1,000.00	5.0
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>VRTX</b>	<b>B</b>	<b>20</b>	<b>0.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>VRTX</b>	<b>S</b>	<b>2000</b>	<b>42.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>WCG</b>	<b>B</b>	<b>1000</b>	<b>44.95</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LIONEYE CAPITAL	040	WMB	S	10,000	30.35	n/a	n/a	500.00	5.0
<b>f</b> EDWARD W WHEELER	<b>FID</b>	<b>WNC</b>	<b>S</b>	<b>5000</b>	<b>6.91</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT	001	WRC	B	25,000	48.99	n/a	21-Oct	750.00	3.0
FIRST NY SEC/CHRIS	041	WRC	SS	10,000	48.73	n/a	21-Oct	400.00	4.0
VISIUM/BALY BOBBY	044	XLI	SS	10,000	33.02	n/a	n/a	500.00	5.0
f KAREN F LEDDY	FID	XPO	B	500	11.01	n/a	n/a	0.00	0.0
f AMY O'BANNON	FID		B	10000	102.44	n/a	n/a	0.00	0.0
f DOUGLAS ROGERS	FID		B	25000	91.00	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								89,000.44	



**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/21	FORTRESS INVESTMENT (US)	036	CFR	B	31,500	48.31	n/a	n/a	1260.00 4.0
AO,CXL	10/21	FORTRESS INVESTMENT (US)	036	CFR	B	31,500	48.31	n/a	n/a	1260.00 4.0
AO,CXL	10/21	ACK ASSET	028	DAN	B	100,000	13.52	n/a	19-Oct	3000.00 3.0
AO,CRT	10/21	ACK ASSET	028	DAN	B	100,000	13.52	n/a	19-Oct	3000.00 3.0
AO,CRT	10/21	NEW JERSEY DIV OF INV.	030	RTN	B	55,000	43.67	n/a	17-Oct	2200.00 4.0
AO,CXL	10/21	NEW JERSEY DIV OF INV.	030	RTN	B	55,000	43.67	n/a	17-Oct	2200.00 4.0
AO,	10/21	MERRILL ASSET/BLACKROCK	297	TESO	S	14,288	14.51	n/a	n/a	571.52 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>571.52</b>

TOTAL (Trade Date):	89,000.44
TOTAL (AO, CXL, CRT):	571.52

<b>TOTAL (RUN DATE) / NFS:</b>	<b>89,571.96</b>
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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 24-Oct.

ETN, PCH

MRI Securities without Trade Activity on 24-Oct.

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)**