



Daily Compliance Activity Report

Trade Date: 11/14/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	AAPL	S	730	384.09	n/a	n/a	29.20	4.0
BESSEMER INVESTMENT	085	ACE	S	1,500	70.79	n/a	n/a	60.00	4.0
LAGRANGE CAP ADV	085	ALGT	SS	3,488	53.70	n/a	n/a	174.40	5.0
⚡ BUCK CAPITAL MGMT		AMZN	S	40,000	219.86	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		ANN	S	50,000	25.96	n/a	n/a	non-brg	4.0
FARBER/WEISS PECK	085	ARCO	B	27,500	21.71	n/a	31-Oct	1,100.00	4.0
⚡ BUCK CAPITAL MGMT		ARO	C	10,000	16.79	n/a	4-Nov	non-brg	4.0
⚡ BUCK CAPITAL MGMT		ASNA	SS	15,000	28.67	n/a	n/a	non-brg	2.5
⚡ BUCK CAPITAL MGMT		AVP	C	20,000	18.02	n/a	14-Nov	non-brg	4.0
MERCHANTS GATE CAP LP	036	BKS	SS	25,000	15.80	n/a	n/a	1,000.00	4.0
⚡ BUCK CAPITAL MGMT		BONT	S	100,000	3.59	n/a	n/a	non-brg	2.0
LOMBARDIA CAP MGMT	084	CBZ	B	38,556	5.78	n/a	n/a	1,542.24	4.0
⚡ BUCK CAPITAL MGMT		CHRS	S	400,000	3.53	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		CHS	SS	20,000	12.02	n/a	5-Feb	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		COH	S	40,000	64.75	n/a	26-Oct	non-brg	4.0
PNC CAPITAL ADV	028	COP	B	161,688	71.55	n/a	n/a	6,467.52	4.0
CYRUS CAPITAL	025	CSCO	B	25,000	18.99	n/a	n/a	1,000.00	4.0
ROSEDALE CAPITAL	046	CSCO	B	15,000	18.95	n/a	n/a	600.00	4.0
B BUCK CAPITAL MGMT		CSTR	S	50,000	45.26	n/a	n/a	non-brg	4.0
SANDLER O'NEILL ASSET	031	C	S	49,830	28.32	n/a	8-Nov	996.60	2.0
TROUBH PART	070	C	S	10,000	28.40	n/a	8-Nov	500.00	5.0
BESSEMER INVESTMENT	085	DIS	S	4,039	36.27	n/a	n/a	161.56	4.0
TALPION LLC	040	DKS	B	5,000	39.74	n/a	14-Nov	200.00	4.0
B BUCK CAPITAL MGMT		DNKN	C	15,000	25.58	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DSW	S	20,000	49.83	n/a	11-Feb	non-brg	4.0
BESSEMER INVESTMENT	085	ECL	S	230	55.60	n/a	8-Nov	9.20	4.0
B BUCK CAPITAL MGMT		ETH	C	10,000	19.80	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		EXPR	S	30,000	22.55	n/a	n/a	non-brg	4.0
ARSENAL ASSET MANAGEMENT	028	FBHS	B	30,000	15.31	n/a	n/a	1,200.00	4.0
PILOT ADV	041	FDX	SS	7,500	81.06	n/a	n/a	225.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LAGRANGE CAP ADV	085	FII	B	20,000	16.81	n/a	2-Mar	1,000.00	5.0
FIRST NY SEC/CHRIS	041	FL	B	10,000	22.84	n/a	10-Nov	300.00	3.0
⌘ BUCK CAPITAL MGMT		FOSL	S	10,000	91.24	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		FRED	C	10,000	12.53	n/a	n/a	non-brg	4.0
BESSEMER INVESTMENT	085	GE	S	750	16.06	n/a	n/a	30.00	4.0
⌘ BUCK CAPITAL MGMT		GIII	S	31,119	22.49	n/a	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		GIII	S	7,786	22.46	n/a	n/a	non-brg	0.8
⌘ BUCK CAPITAL MGMT		GIL	S	50,000	26.64	n/a	21-Oct	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GMCR	S	20,000	42.00	n/a	n/a	non-brg	4.0
FIRST NY SEC/CHRIS	041	GM	SS	25,000	23.08	n/a	10-Nov	1,250.00	5.0
⌘ BUCK CAPITAL MGMT		GNC	S	10,000	26.90	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GPS	C	60,000	20.20	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		HBI	S	40,000	25.22	n/a	3-Nov	non-brg	4.0
MACQUARIE INVESTMENT MGMT.	040	HFC	B	5,000	28.03	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		HMB SS	C	27,261	30.32	n/a	n/a	non-brg	4.5
⌘ BUCK CAPITAL MGMT		HMB SS	C	50,000	30.35	n/a	n/a	non-brg	4.6

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JOSEPH CIRO AMATURO	FID	IGD	S	6000	9.31	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	IP	S	357	28.01	n/a	27-Oct	14.28	4.0
LOMBARDIA CAP MGMT	084	ITG	B	56,372	10.57	n/a	n/a	2,254.88	4.0
CHESAPEAKE PARTNERS	028	JAKK	B	4,932	19.00	n/a	n/a	147.96	3.0
BESSEMER INVESTMENT	085	JCI	S	200	31.57	n/a	27-Oct	8.00	4.0
B BUCK CAPITAL MGMT		JCP	C	30,000	33.40	n/a	4-Nov	non-brg	4.0
B BUCK CAPITAL MGMT		JCP	C	40,000	33.45	n/a	4-Nov	non-brg	4.0
THE JAY GOLDMAN	028	JCP	B	10,000	33.00	n/a	4-Nov	400.00	4.0
B BUCK CAPITAL MGMT		JOSB	S	40,000	53.98	n/a	n/a	non-brg	4.0
BESSEMER INVESTMENT	085	JPM	S	250	32.27	n/a	8-Nov	10.00	4.0
TROUBH PART	070	JPM	S	10,000	32.47	n/a	8-Nov	500.00	5.0
f JONATHAN RICHARD HAR	FID	KEG	S	350	14.44	n/a	2-Nov	0.00	0.0
BESSEMER INVESTMENT	085	KFT	S	1,645	35.60	n/a	n/a	65.80	4.0
STELLIAM INV ADV	034	KLAC	SS	12,500	47.78	n/a	n/a	625.00	5.0
SCOPUS FUND	041	KMX	SS	50,000	27.97	n/a	n/a	2,000.00	4.0
B BUCK CAPITAL MGMT		KNX	S	20,000	15.22	n/a	n/a	non-brg	4.0
OZ MGMT	040	LOW	B	75,000	23.58	n/a	10-Nov	2,250.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		LTD	S	15,000	43.71	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		LVS	S	40,000	47.66	n/a	13-Jun	non-brg	4.0
ß BUCK CAPITAL MGMT		MPEL	B	100,000	10.17	n/a	13-Jun	non-brg	3.0
ß BUCK CAPITAL MGMT		MPEL	B	200,000	10.09	n/a	13-Jun	non-brg	4.0
ß BUCK CAPITAL MGMT		MSMSBCM	C	340,000	96.42	n/a	n/a	non-brg	7.7
BESSEMER INVESTMENT	085	NOV	S	1,845	70.45	n/a	n/a	73.80	4.0
MACQUARIE INVESTMENT MGMT.	040	OII	SS	5,000	44.23	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	OXY	S	678	98.77	n/a	n/a	27.12	4.0
ß BUCK CAPITAL MGMT		PERY	S	10,000	22.58	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		PERY	S	20,000	22.19	n/a	n/a	non-brg	4.0
BESSEMER INVESTMENT	085	PFE	S	525	19.76	n/a	n/a	21.00	4.0
LOMBARDIA CAP MGMT	084	PGI	S	9,000	8.62	n/a	n/a	360.00	4.0
BESSEMER INVESTMENT	085	PG	S	3,052	63.45	n/a	7-Nov	122.08	4.0
ß BUCK CAPITAL MGMT		PII	S	40,000	62.90	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		PLCE	S	30,000	47.42	n/a	9-Nov	non-brg	4.0
ß BUCK CAPITAL MGMT		PLCE	S	37,700	47.47	n/a	9-Nov	non-brg	4.0
ROARING BLUE LION MGMT	031	PLCE	S	11,179	47.44	n/a	9-Nov	447.16	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		PVH	S	30,000	70.40	n/a	21-Oct	non-brg	4.0
BESSEMER INVESTMENT	085	QCOM	S	1,603	57.15	n/a	n/a	64.12	4.0
ß BUCK CAPITAL MGMT		SBH	S	10,000	20.35	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SFER IM	B	50,000	16.57	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		SFLY	S	10,000	37.35	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SODA	S	50,000	32.63	n/a	n/a	non-brg	4.0
BESSEMER INVESTMENT	085	STJ	S	1,353	39.53	n/a	n/a	54.12	4.0
ß BUCK CAPITAL MGMT		SYX	C	20,000	27.72	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		TFM	C	5,000	42.54	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		TPX	S	10,000	67.13	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		ULTA	S	5,000	72.59	n/a	n/a	non-brg	4.0
PILOT ADV	041	UPS	SS	5,000	70.03	n/a	n/a	150.00	3.0
METROPOLITAN CAPITAL	044	VCLK	B	10,200	15.98	n/a	n/a	510.00	5.0
BNP PARIBAS SEC	040	WMT	B	50,000	58.68	n/a	11-Nov	2,500.00	5.0
ß BUCK CAPITAL MGMT		WRC	S	5,000	49.10	n/a	4-Nov	non-brg	0.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
BUCK CAPITAL MGMT		WRC	S	5,000	49.16	n/a	4-Nov	non-brg 4.0
BUCK CAPITAL MGMT		WYNN	SS	10,000	126.03	n/a	13-Jun	non-brg 2.5
LEVIN CAPITAL STRATEGIES	041	XRT	SS	20,000	52.96	n/a	n/a	600.00 3.0
TOTAL (Trade Date) :							31,051.04	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/11	PIONEER PATH	028	CL	B	20,000	89.15	n/a	1-Nov	600.00 3.0
AO,	11/11	SURVEYOR CAPITAL	041	DIS	SS	81,301	36.86	n/a	n/a	2439.03 3.0
AO,CXL	11/10	TUDOR INVESTORS	028	GM	SS	35,000	22.30	n/a	10-Nov	1050.00 3.0
AO,CRT	11/10	TUDOR INVESTORS	028	GM	SS	35,000	22.30	n/a	10-Nov	1050.00 3.0
AO,	11/11	PIONEER PATH	028	JWN	B	25,000	49.25	n/a	11-Nov	750.00 3.0
AO,	11/11	PIONEER PATH	028	KSS	B	50,000	56.25	n/a	11-Nov	1500.00 3.0
AO,	11/11	PIONEER PATH	028	LOW	S	60,000	23.20	n/a	10-Nov	1800.00 3.0
AO,	11/11	PIONEER PATH	028	M	S	50,000	31.02	n/a	10-Nov	1500.00 3.0
AO,	11/11	SURVEYOR CAPITAL	041	MAR	B	31,626	31.60	n/a	13-Jun	948.78 3.0
AO,	11/11	SURVEYOR CAPITAL	041	MAT	B	34,364	29.07	n/a	n/a	1030.92 3.0
AO,	11/11	SURVEYOR CAPITAL	041	RCL	S	72,754	27.42	n/a	n/a	2182.62 3.0
AO,	11/11	GLG PARTNERS	034	SWY	S	25,000	19.96	n/a	n/a	750.00 3.0
AO,CXL	11/11	GLG PARTNERS	034	SWY	SS	30,060	19.96	n/a	n/a	901.80 3.0
AO,CRT	11/11	GLG PARTNERS	034	SWY	SS	5,060	19.96	n/a	n/a	151.80 3.0
AO,CXL	11/10	TRUSTCO/SUNTRUST	040	WEN	S	17,776	5.21	n/a	9-Nov	0.00 0.0
AO,CXL	11/11	SCOPUS FUND	041	WMT	B	87,000	58.99	n/a	11-Nov	3480.00 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/11	SCOPUS FUND	041	WMT	B	85,523	58.99	n/a	11-Nov	3420.92 4.0
AO,CRT	11/11	SCOPUS FUND	041	WMT	B	1,477	58.99	n/a	11-Nov	59.08 4.0
AO,CRT	11/11	PILOT ADV	041	XL	B	79,300	21.22	n/a	n/a	2379.00 3.0
AO,CXL	11/11	PILOT ADV	041	XL	B	79,300	21.22	n/a	n/a	2379.00 3.0
TOTAL (AO, CXL, CRT) :										12,751.35
TOTAL (Trade Date) :										31,051.04
TOTAL (AO, CXL, CRT) :										12,751.35
TOTAL (RUN DATE) / NFS:										43,802.39

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-Nov.
NONE

MRI Securities without Trade Activity on 14-Nov.
NONE

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)