



Daily Compliance Activity Report

Trade Date: 09/16/2011

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	10,000	11.47	n/a	25-Aug	500.00	5.0
f JASON ERIC COHEN	FID	AONE	S	375	4.71	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	297	BAC	B	500,000	7.32	n/a	15-Sep	15,000.00	3.0
f JOSEPH CIRO AMATURO	FID	BGZ	B	500	37.91	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BID	B	20,000	38.53	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BODY	B	10,000	19.63	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BODY	B	10,000	19.74	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BODY	B	15,000	19.85	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CAR 11 C13	SS	3,301	1.17	n/a	n/a	non-brg	300.0
RIDGECREST INV MGMT LLC	028	CBRL	B	10,000	42.28	n/a	n/a	500.00	5.0
BNP PARIBAS SEC	040	CCK	B	20,000	32.41	n/a	n/a	1,000.00	5.0
B BUCK CAPITAL MGMT		CHRS	B	500,000	2.95	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		CHRS	B	500,000	2.96	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		CHS	SS	70,000	13.59	n/a	5-Feb	non-brg	4.0
RAINIER INV MGMT	035	CRS	B	16,800	53.40	n/a	n/a	672.00	4.0
B BUCK CAPITAL MGMT		CSTR	S	10,000	47.63	n/a	n/a	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
f	KAREN F LEDDY	FID	CVGI	B	700	7.11	n/a	n/a	0.00	0.0	
	ACK ASSET	028	DAN	B	98,200	12.93	n/a	29-Jul	2,946.00	3.0	
	MTB INV ADV	034	DAN	B	22,550	12.80	n/a	29-Jul	902.00	4.0	
B	BUCK CAPITAL MGMT		DDS	S	10,000	48.42	n/a	n/a	non-brg	4.0	
f	CICILY S BACKUS	FID	DLA	B	3000	15.78	n/a	n/a	0.00	0.0	
	BNP PARIBAS SEC	040	DSW	SS	40,000	46.46	n/a	11-Feb	2,000.00	5.0	
f	DAVID GEORGE BUCK	FID	EFA	B	1500	51.03	n/a	n/a	0.00	0.0	
f	MATTHEW FRANCIS BUCK	FID	EFA	B	200	50.80	n/a	n/a	0.00	0.0	
	WEDBUSH/PACIFIC GROWTH EQTY LLC084	F			SS	30,000	10.50	n/a	2-Sep	1,200.00	4.0
	IVORY CAPITAL	034	GCI	S	53,531	10.12	n/a	n/a	2,676.55	5.0	
B	BUCK CAPITAL MGMT		GLW	S	72,000	13.85	n/a	8-Sep	non-brg	4.0	
f	MANNY I KORMAN	FID	GM	S	600	3.39	n/a	2-Sep	0.00	0.0	
	OZ MGMT	040	GM	SS	117,812	22.56	n/a	2-Sep	3,534.36	3.0	
	GEORGE WEISS	034	GPC	B	14,000	52.72	n/a	n/a	560.00	4.0	
f	DAVID GEORGE BUCK	FID	GS	S	1000	108.10	n/a	15-Sep	0.00	0.0	
	KLEINHEINZ CAP PART	031	HRB	S	255,000	14.08	n/a	n/a	12,750.00	5.0	
	THOMPSON SIEGAL&WALMSLEY	029	HRB	B	206,500	14.05	n/a	n/a	8,260.00	4.0	

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f DAVID GEORGE BUCK	FID	ILMN	B	1500	49.31	n/a	n/a	0.00	0.0
SUN AMERICA ASSET MGMT	030	INCY	B	5,100	14.62	n/a	n/a	204.00	4.0
OZ MGMT	040	IP	C	100,000	27.91	n/a	6-Sep	3,000.00	3.0
OZ MGMT	040	IP	SS	25,000	28.09	n/a	6-Sep	750.00	3.0
B BUCK CAPITAL MGMT		IR 10 C36	SS	1,150	2.20	n/a	n/a	non-brg	300.0
DELTEC ASSET MGMT.	040	IR	S	9,500	35.77	n/a	18-Aug	475.00	5.0
f JASON ERIC COHEN	FID	IWM	B	6	0.51	n/a	n/a	0.00	0.0
CAERUS GLOBAL	041	JNY	B	22,600	11.48	n/a	28-Jul	904.00	4.0
MA CAPITAL MGMT/MELLON ADV	041	JNY	B	10,000	11.30	n/a	28-Jul	500.00	5.0
B BUCK CAPITAL MGMT		JWN	C	43,100	48.00	n/a	2-Sep	non-brg	4.0
PRIMECAP MGMT	084	KSS	S	2,500	47.77	n/a	2-Sep	100.00	4.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	15,000	6.19	n/a	5-Aug	750.00	5.0
f MATTHEW FRANCIS BUCK	FID	MCD	S	300	88.27	n/a	9-Sep	0.00	0.0
B BUCK CAPITAL MGMT		MSMSBCM	SS	82,600	91.14	n/a	n/a	non-brg	7.3
B BUCK CAPITAL MGMT		MSMSBCM	SS	85,400	91.14	n/a	n/a	non-brg	7.3
B BUCK CAPITAL MGMT		MSMSBCM	SS	91,000	91.33	n/a	n/a	non-brg	7.3
B BUCK CAPITAL MGMT		MSMSBOB	B	121,000	104.78	n/a	n/a	non-brg	8.4

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		MVRX	SS	1,000	209.26	n/a	n/a	non-brg	16.7
BUCK CAPITAL MGMT		MVRX	SS	1,000	209.26	n/a	n/a	non-brg	16.7
BUCK CAPITAL MGMT		MW	S	20,000	28.20	n/a	n/a	non-brg	4.0
GEORGE WEISS	034	MW	B	10,000	28.27	n/a	n/a	400.00	4.0
BNP PARIBAS SEC	040	NDN	S	83,100	20.80	16-Sep	16-Sep	4,155.00	5.0
SMITH MGMT LLC	029	NDN	S	315,000	20.52	16-Sep	16-Sep	9,450.00	3.0
BUCK CAPITAL MGMT		PERY	B	20,000	20.76	n/a	n/a	non-brg	2.5
TALPION LLC	040	PETM	S	10,000	44.51	n/a	n/a	400.00	4.0
JASON ERIC COHEN	FID	PHM	S	10	0.41	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		PII	B	20,000	56.88	n/a	n/a	non-brg	4.0
BMO NESBITT BURNS	041	PKG	S	25,000	26.82	n/a	4-Aug	1,250.00	5.0
BUCK CAPITAL MGMT		PLCE	B	30,000	46.18	n/a	18-Aug	non-brg	4.0
MATTHEW FRANCIS BUCK	FID	PM	B	150	69.10	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		RCL	S	20,000	24.97	n/a	n/a	non-brg	4.0
CHRISTOPHER ROBERT C	FID	RIMM	B	200	23.88	n/a	n/a	0.00	0.0
BMO NESBITT BURNS	041	RKT	B	15,000	55.93	n/a	4-Aug	750.00	5.0
CSFB GLOBAL PROPRIETARY	041	RKT	B	20,000	55.94	n/a	4-Aug	1,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		RL	SS	10,000	145.86	n/a	11-Aug	non-brg	4.0
B BUCK CAPITAL MGMT		RTH	C	10,200	108.00	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		RTH	C	11,000	108.00	n/a	n/a	non-brg	1.0
SONTERRA CAP	041	RTI	B	50,000	25.11	n/a	n/a	2,000.00	4.0
B BUCK CAPITAL MGMT		SIG	B	20,000	37.43	n/a	n/a	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	SKUL	B	200	13.40	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SODA	S	10,000	41.17	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SPY	SS	34,000	120.69	n/a	n/a	non-brg	2.0
ROYCE TRADING	031	SUP	S	20,000	16.54	n/a	8-Aug	1,000.00	5.0
f CICYLY S BACKUS	FID	TEX	S	2000	13.73	n/a	14-Sep	0.00	0.0
f LBP ENTERPRISES INC	FID	TEX	S	2000	13.73	n/a	14-Sep	0.00	0.0
f SNEJANA P GARFUNKEL	FID	TEX	S	1000	13.71	n/a	14-Sep	0.00	0.0
MA CAPITAL MGMT/MELLON ADV	041	TGT	B	2,000	52.89	n/a	1-Sep	100.00	5.0
OZ MGMT	040	TGT	S	75,000	52.86	n/a	1-Sep	2,250.00	3.0
SUN AMERICA ASSET MGMT	030	UXG	S	3,500	5.86	n/a	n/a	140.00	4.0
B BUCK CAPITAL MGMT		VECO	C	40,000	30.65	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	VNO	B	500	86.70	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	MATTHEW FRANCIS BUCK	FID	VNO	B	200	85.53	n/a	n/a	0.00	0.0
f	LBP ENTERPRISES INC	FID	WBC	S	1000	49.07	n/a	18-Aug	0.00	0.0
B	BUCK CAPITAL MGMT		WFM	SS	40,000	68.73	n/a	n/a	non-brg	4.0
f	JOSEPH CIRO AMATURO	FID	WNC	S	2850	5.89	n/a	n/a	0.00	0.0
	BALYASNY ASSET MGMT	044	WRC	C	20,000	52.71	n/a	2-Aug	1,000.00	5.0
	CSFB GLOBAL PROPRIETARY	041	WY	B	20,000	17.65	n/a	29-Jul	1,000.00	5.0
B	BUCK CAPITAL MGMT		XLFX	SS	313,800	12.73	n/a	n/a	non-brg	2.0
f	KAREN F LEDDY	FID	XPO	B	1700	9.90	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		XRT	C	130,900	49.97	n/a	n/a	non-brg	1.0
B	BUCK CAPITAL MGMT		XRT	C	135,400	49.97	n/a	n/a	non-brg	1.0
B	BUCK CAPITAL MGMT		XRT	SS	83,100	49.85	n/a	n/a	non-brg	2.0
	IVORY CAPITAL	034	XRT	SS	60,000	50.03	n/a	n/a	300.00	0.5
f	PATRICK O'GRADY	FID	ZQK	S	280	3.88	n/a	10-May	0.00	0.0
f	KEVIN MICHAEL O'GORM	FID	ZSL	B	4000	12.00	n/a	n/a	0.00	0.0
TOTAL (Trade Date):									84,378.91	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/15	NOMURA CAPITAL	029	CHMT	S	30,000	13.13	n/a	18-Feb	900.00 3.0
AO,CRT	09/15	CYPRESS CAP MGMT LLC	040	CROX	B	13,400	27.50	n/a	n/a	536.00 4.0
AO,CXL	09/15	CYPRESS CAP MGMT LLC	040	CROX	B	13,400	27.50	n/a	n/a	536.00 4.0
AO,CXL	09/15	CYPRESS CAP MGMT LLC	040	JAH	B	19,400	30.15	n/a	n/a	776.00 4.0
AO,CRT	09/15	CYPRESS CAP MGMT LLC	040	JAH	B	19,400	30.15	n/a	n/a	776.00 4.0
AO,CXL	09/15	GREEN ARROW DOUG	040	PAET	B	50,000	5.68	n/a	n/a	0.00 0.0
AO,CRT	09/15	GREEN ARROW DOUG	040	PAET	B	50,000	5.68	n/a	n/a	1500.00 3.0
TOTAL (AO, CXL, CRT) :										2,400.00

TOTAL (Trade Date):	84,378.91
TOTAL (AO, CXL, CRT):	2,400.00

TOTAL (RUN DATE) / NFS:	86,778.91
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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 16-Sep.

NDN

MRI Securities without Trade Activity on 16-Sep.

MA

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)