



Daily Compliance Activity Report

Trade Date: 09/28/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f NICOLAS EVAN PAKLER	FID	AAPL	B	1	14.30	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	AMZN	S	10	3.65	n/a	n/a	0.00	0.0
MACQUARIE INVESTMENT MGMT.	040	ANF	B	2,500	67.77	n/a	18-Aug	0.00	0.0
B BUCK CAPITAL MGMT		ASNA	B	100,000	27.74	n/a	n/a	non-brg	4.0
f JOSEPH CIRO AMATURO	FID	BGZ	S	5000	44.10	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	CAKE	C	10,000	26.09	n/a	21-Jul	500.00	5.0
GEORGE WEISS	034	CAKE	B	11,000	26.00	n/a	21-Jul	330.00	3.0
TYEE/TYGH	035	CEVA	B	12,932	25.30	n/a	n/a	517.28	4.0
B BUCK CAPITAL MGMT		CHRS	B	100,000	2.88	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		CHRS	B	100,000	2.90	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		CHS	SS	80,000	12.30	n/a	5-Feb	non-brg	4.0
RBC CAPITAL MARKETS	040	CL	B	10,000	90.98	n/a	1-Aug	400.00	4.0
MERRILL ASSET/BLACKROCK	297	DFT	B	28,000	20.60	n/a	n/a	1,120.00	4.0
AVESTA CAP	229	DOW	SS	100,000	25.10	n/a	7-Sep	3,000.00	3.0
LEVIN CAPITAL STRATEGIES	041	DVN	S	5,000	57.51	n/a	27-Sep	150.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MANNY I KORMAN	FID	FAZ	B	10000	62.02	n/a	n/a	0.00	0.0
BNP PARIBAS SEC	040	FDO	B	50,000	54.77	n/a	20-Sep	2,500.00	5.0
LATEFF MGMT	035	FDX	B	100	70.15	n/a	n/a	30.00	30.0
LEVIN CAPITAL STRATEGIES	041	FL	S	25,000	22.03	n/a	19-Aug	750.00	3.0
OZ MGMT	040	F	C	84,673	10.18	n/a	2-Sep	2,540.19	3.0
LEVIN CAPITAL STRATEGIES	041	GES	C	7,300	29.40	n/a	25-Aug	219.00	3.0
B BUCK CAPITAL MGMT		GIL	S	110	26.37	n/a	5-Aug	non-brg	1.0
B BUCK CAPITAL MGMT		GIL	S	24,890	26.91	n/a	5-Aug	non-brg	4.0
HUNTER GLOBAL INVESTOR	028	GM	SS	95,200	20.81	n/a	2-Sep	4,760.00	5.0
LEVIN CAPITAL STRATEGIES	041	GM	S	15,000	20.40	n/a	2-Sep	450.00	3.0
DEVENNY CAP LLC	044	GPI	SS	5,000	37.62	n/a	27-Jul	150.00	3.0
KLEINHEINZ CAP PART	031	GPS	B	50,000	17.08	n/a	n/a	2,500.00	5.0
f DAVID GEORGE BUCK	FID	HBC	B	2000	39.48	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		HBI	S	50,000	26.11	n/a	21-Jul	non-brg	4.0
TALPION LLC	040	HLF	SS	5,000	57.61	n/a	n/a	200.00	4.0
PIONEER PATH	028	HOLX	SS	22,967	16.06	n/a	n/a	689.01	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEWLAND CAPITAL MGT	025	HON	SS	25,000	44.66	n/a	14-Sep	1,000.00	4.0
TALPION LLC	040	IFF	SS	6,000	57.77	n/a	6-Sep	240.00	4.0
GREENLIGHT CAPITAL	041	INTC	SS	350,000	22.60	n/a	n/a	17,500.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	B	20,000	25.10	n/a	6-Sep	1,000.00	5.0
FRED ALGER MGMT	035	IP	S	124,335	24.73	n/a	6-Sep	4,476.06	3.6
GEORGE WEISS	034	JWN	B	9,000	47.51	n/a	28-Sep	360.00	4.0
BASIX	033	KMT	S	30,300	33.12	n/a	14-Sep	909.00	3.0
AVESTA CAP	229	KO	S	100,000	69.12	n/a	26-Sep	3,000.00	3.0
MERRILL ASSET/BLACKROCK	297	LAZ	B	3,900	23.64	n/a	27-Sep	156.00	4.0
SANDLER O'NEILL ASSET	031	LAZ	B	19,800	22.78	n/a	27-Sep	990.00	5.0
NEWLAND CAPITAL MGT	025	MDR	S	10,000	12.27	n/a	n/a	400.00	4.0
ROXBURY CAPITAL MGMT	035	MLI	S	35,000	40.25	n/a	26-Jul	1,050.00	3.0
⚡ BUCK CAPITAL MGMT		MSMSBCD	C	655,449	86.77	n/a	n/a	non-brg	0.1
⚡ BUCK CAPITAL MGMT		MSMSBCD	SS	662,003	86.77	n/a	n/a	non-brg	0.0
⚡ BUCK CAPITAL MGMT		MSMSBCM	C	6,401,203	86.73	n/a	n/a	non-brg	0.1
⚡ BUCK CAPITAL MGMT		MSMSBCM	SS	6,465,215	86.73	n/a	n/a	non-brg	0.0
⚡ BUCK CAPITAL MGMT		MSMSBOB	B	465,115	101.30	n/a	n/a	non-brg	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B	BUCK CAPITAL MGMT		MSMSBOB	S	478,658	101.30	n/a	n/a	non-brg	0.2
f	EDWARD W WHEELER	FID	MTRX	B	5000	8.74	n/a	n/a	0.00	0.0
f	EDWARD W WHEELER	FID	MWA	S	20000	2.73	n/a	n/a	0.00	0.0
	GEORGE WEISS	034	M	B	16,000	27.38	n/a	28-Sep	640.00	4.0
	PILOT ADV	041	M	S	12,000	27.35	n/a	28-Sep	360.00	3.0
f	DAVID GEORGE BUCK	FID	NAV	S	2000	33.75	n/a	14-Sep	0.00	0.0
	SMITH MGMT LLC	029	NDN	S	181,000	18.78	n/a	16-Sep	5,430.00	3.0
	COOKBIELER	028	PAG	B	67,951	16.48	n/a	22-Jul	2,718.04	4.0
	CSFB GLOBAL PROPRIETARY	041	PCH	B	20,000	31.69	n/a	27-Jul	1,000.00	5.0
f	DAVID GEORGE BUCK	FID	PEP	S	1000	62.29	n/a	n/a	0.00	0.0
f	MATTHEW FRANCIS BUCK	FID	PEP	S	200	62.30	n/a	n/a	0.00	0.0
	BNP PARIBAS SEC	040	PKG	SS	30,000	25.01	n/a	4-Aug	1,500.00	5.0
	PRIMECAP MGMT	084	PKI	B	8,000	19.30	n/a	n/a	320.00	4.0
	BNP PARIBAS SEC	040	RKT	SS	20,000	51.14	n/a	4-Aug	1,000.00	5.0
	COOKBIELER	028	SCS	B	36,300	6.26	n/a	n/a	1,452.00	4.0
B	BUCK CAPITAL MGMT		SIG	S	75,000	34.86	n/a	n/a	non-brg	4.0
f	MANNY I KORMAN	FID	SIJ	B	10000	57.33	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MACQUARIE INVESTMENT MGMT.	040	SMG	SS	2,500	45.25	n/a	9-Aug	0.00	0.0
DEVENNY CAP LLC	044	SUP	B	15,000	15.72	n/a	8-Aug	450.00	3.0
TYEE/TYGH	035	TECH	B	4,283	69.10	n/a	n/a	171.32	4.0
ROYCE TRADING	031	TER	S	5,000	11.79	n/a	n/a	250.00	5.0
ADAGE CAPITAL MGMT	030	TGT	S	43,783	50.98	n/a	28-Sep	1,313.49	3.0
THE JAY GOLDMAN	028	TGT	S	10,000	50.36	n/a	28-Sep	400.00	4.0
f DAVID GEORGE BUCK	FID	TLT	S	1000	116.90	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		TSCO	SS	50,000	66.48	n/a	n/a	non-brg	4.0
ROYCE TRADING	031	TSS	S	12,700	17.57	n/a	n/a	635.00	5.0
NEWLAND CAPITAL MGT	025	TXT	S	10,000	19.00	n/a	n/a	400.00	4.0
f JONATHAN RICHARD HAR	FID	TZA	S	700	50.46	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	TZA	S	5000	50.43	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	TZA	B	10000	48.17	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		URBN	SS	133,000	23.36	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		URBN	SS	50,000	23.81	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	VNO	B	1000	77.78	n/a	n/a	0.00	0.0

TOTAL (Trade Date):

69,926.39

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									69,926.39
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									69,926.39

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 28-Sep.
NONE

MRI Securities without Trade Activity on 28-Sep.
AXE, PRGO

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)