



Daily Compliance Activity Report

Trade Date: 10/18/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		AAPL 11 C430	SS	300	15.04	n/a	n/a	non-brg	300.0
BESSEMER INVESTMENT	085	AAPL	S	1,375	422.39	n/a	n/a	55.00	4.0
BESSEMER INVESTMENT	085	AAP	B	900	59.83	n/a	n/a	36.00	4.0
SIMMONS VENTURES	041	AEO	SS	5,000	12.63	n/a	25-Aug	200.00	4.0
B BUCK CAPITAL MGMT		ANN	S	30,000	25.84	n/a	n/a	non-brg	4.0
HIGHBRIDGE CAP	041	ANN	SS	14,000	26.36	n/a	n/a	420.00	3.0
B BUCK CAPITAL MGMT		ASNA	S	50,000	27.62	n/a	n/a	non-brg	4.0
BASSWOOD PARTNERS	267	AXP	C	16,600	46.51	n/a	17-Oct	664.00	4.0
BESSEMER INVESTMENT	085	AXP	S	1,806	46.44	n/a	17-Oct	72.24	4.0
SANDLER O'NEILL ASSET	031	AXP	B	10,000	46.04	n/a	17-Oct	500.00	5.0
HIGHBRIDGE CAP	041	BBY	SS	10,000	25.03	n/a	n/a	300.00	3.0
B BUCK CAPITAL MGMT		BID	S	130,000	31.15	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BID	S	60,000	30.93	n/a	n/a	non-brg	2.0
ROYCE TRADING	031	BKE	B	500	39.76	n/a	n/a	25.00	5.0
BESSEMER INVESTMENT	085	BMC	B	150	38.31	n/a	n/a	6.00	4.0
B BUCK CAPITAL MGMT		BWA	C	500	69.00	n/a	29-Jul	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JASON ERIC COHEN	FID	BYD	B	6	1.75	n/a	n/a	0.00	0.0
TALPION LLC	040	CAKE	C	5,000	25.95	n/a	14-Oct	200.00	4.0
B BUCK CAPITAL MGMT		CAR	SS	41,000	12.24	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		CAR	S	9,000	12.24	n/a	n/a	non-brg	1.0
BASIX	033	CBT	B	18,300	27.49	n/a	19-Sep	549.00	3.0
BESSEMER INVESTMENT	085	CFN	S	600	24.12	n/a	n/a	24.00	4.0
BESSEMER INVESTMENT	085	CHKP	B	1,100	59.41	n/a	n/a	44.00	4.0
f KAREN F LEDDY	FID	CHRS	B	1800	3.20	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		COH	S	20,000	58.54	n/a	3-Aug	non-brg	4.0
B BUCK CAPITAL MGMT		CROX	B	50,000	16.44	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CSTR	S	130,000	49.95	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		C	S	34,200	29.33	n/a	18-Oct	non-brg	4.0
SANDLER O'NEILL ASSET	031	C	S	25,000	29.84	n/a	18-Oct	1,250.00	5.0
B BUCK CAPITAL MGMT		DAL	S	138,000	8.55	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		DAL	S	62,000	8.47	n/a	n/a	non-brg	3.0
ACK ASSET	028	DAN	B	125,000	13.33	n/a	29-Jul	3,750.00	3.0
B BUCK CAPITAL MGMT		DDS	S	20,000	49.23	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		DECK	S	20,000	101.40	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DECK	S	5,000	99.04	n/a	n/a	non-brg	4.0
PRIMECAP MGMT	084	DE	S	82,475	69.79	n/a	14-Sep	3,299.00	4.0
THOMPSON SIEGAL&WALMSLEY	029	DE	S	41,700	69.88	n/a	14-Sep	1,668.00	4.0
BASSWOOD PARTNERS	267	DFS	SS	30,400	22.90	n/a	17-Oct	1,216.00	4.0
⚡ BUCK CAPITAL MGMT		DHI	S	30,000	10.46	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DIA	C	1,700	113.56	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT	001	DSW	S	20,000	47.89	n/a	11-Feb	600.00	3.0
BESSEMER INVESTMENT	085	ECL	S	800	53.15	n/a	28-Sep	32.00	4.0
⚡ BUCK CAPITAL MGMT		ERTS	S	20,000	24.01	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		EXPR 1 C25	SS	1,000	0.90	n/a	n/a	non-brg	100.0
⚡ BUCK CAPITAL MGMT		EXPR	S	20,000	21.15	n/a	n/a	non-brg	4.0
f JOSEPH CIRO AMATURO	FID	FAZ	B	1000	53.90	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		FINL	S	20,000	20.03	n/a	23-Sep	non-brg	4.0
ROYCE TRADING	031	FINL	B	6,000	20.48	n/a	23-Sep	300.00	5.0
BESSEMER INVESTMENT	085	FISV	S	150	57.13	n/a	n/a	6.00	4.0
⚡ BUCK CAPITAL MGMT		FL	S	46,600	21.37	n/a	19-Aug	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		FOR	S	31,081	12.06	n/a	17-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		GIII 12 C25	SS	350	3.69	n/a	n/a	non-brg	300.0
B BUCK CAPITAL MGMT		GMCR	B	10,000	80.16	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GM	C	5,900	23.01	n/a	4-Oct	non-brg	4.0
LEVIN CAPITAL STRATEGIES	041	GM	B	15,000	23.35	n/a	4-Oct	450.00	3.0
BESSEMER INVESTMENT	085	GOOG	S	65	590.66	n/a	n/a	2.60	4.0
B BUCK CAPITAL MGMT		HAL	B	25,000	35.23	n/a	n/a	non-brg	4.0
SONTERRA CAP	041	HAS	B	20,000	33.85	n/a	n/a	800.00	4.0
B BUCK CAPITAL MGMT		HBI	S	30,000	25.78	n/a	21-Jul	non-brg	4.0
COUGAR TRADING	044	HBI	S	10,000	26.59	n/a	21-Jul	500.00	5.0
MERRILL ASSET/BLACKROCK	297	HFC	S	11,900	34.55	n/a	n/a	476.00	4.0
RWC PARTNERS LTD	085	HLF	B	43,117	56.75	n/a	n/a	1,293.51	3.0
COLUMBUS CIRCLE	036	HRC	S	3,533	30.93	n/a	n/a	141.32	4.0
BESSEMER INVESTMENT	085	HSIC	S	275	63.03	n/a	n/a	11.00	4.0
FIRST NY SEC/CHRIS	041	HTZ	B	25,000	10.62	n/a	n/a	1,250.00	5.0
MELLON/BANK OF NEW YORK	046	IBM	S	168,083	178.29	n/a	n/a	6,723.32	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	IGT	S	400	16.01	n/a	13-Jun	16.00	4.0
⚡ BUCK CAPITAL MGMT		IJH	C	3,948	83.63	n/a	n/a	non-brg	4.0
f RAVI SADARANGANI	FID	IP	B	500	25.83	n/a	17-Oct	0.00	0.0
⚡ BUCK CAPITAL MGMT		IWO	C	5,000	79.23	n/a	n/a	non-brg	2.0
BESSEMER INVESTMENT	085	JCI	S	725	32.44	n/a	13-Oct	29.00	4.0
HIGHBRIDGE CAP	041	JCP	SS	9,000	30.17	n/a	13-Oct	270.00	3.0
⚡ BUCK CAPITAL MGMT		JPM	S	15,500	32.26	n/a	13-Oct	non-brg	4.0
f JONATHAN RICHARD HAR	FID	KEG	B	220	11.45	n/a	20-Sep	0.00	0.0
BESSEMER INVESTMENT	085	KFT	S	5,540	35.26	n/a	n/a	221.60	4.0
⚡ BUCK CAPITAL MGMT		KMT	SS	30,000	34.59	n/a	14-Sep	non-brg	4.0
BESSEMER INVESTMENT	085	KO	S	6,300	67.25	n/a	18-Oct	252.00	4.0
⚡ BUCK CAPITAL MGMT		LEN	S	20,000	15.80	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		LTD	S	100,000	41.60	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		LTD	S	11,900	42.03	n/a	n/a	non-brg	4.0
CASTLEROCK	040	LVS	S	50,340	44.62	n/a	13-Jun	2,013.60	4.0
BESSEMER INVESTMENT	085	MA	S	511	338.56	n/a	13-Oct	20.44	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		MDY	C	61	152.38	n/a	n/a	non-brg	2.0
BESSEMER INVESTMENT	085	MET	S	1,745	32.39	n/a	n/a	69.80	4.0
BESSEMER INVESTMENT	085	MSFT	S	15,125	27.29	n/a	n/a	605.00	4.0
ß BUCK CAPITAL MGMT		MSMSBCD	C	480,075	92.48	n/a	n/a	non-brg	0.2
ß BUCK CAPITAL MGMT		MSMSBCD	SS	468,636	92.48	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		MSMSBCM	C	180,000	92.43	n/a	n/a	non-brg	7.4
ß BUCK CAPITAL MGMT		MSMSBCM	C	4,907,855	92.43	n/a	n/a	non-brg	0.2
ß BUCK CAPITAL MGMT		MSMSBCM	SS	4,790,917	92.43	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		MSMSBCM	SS	90,000	89.48	n/a	n/a	non-brg	7.2
f KEVIN MICHAEL O'GORM	FID	MWO	B	120	20.70	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		M	S	16,700	30.00	n/a	7-Oct	non-brg	4.0
SCOPUS FUND	041	M	B	50,000	30.04	n/a	7-Oct	2,000.00	4.0
TROUBH PART	070	M	SS	25,000	29.77	n/a	7-Oct	1,250.00	5.0
BESSEMER INVESTMENT	085	NOV	S	3,360	65.51	n/a	n/a	134.40	4.0
ß BUCK CAPITAL MGMT		NWY	S	50,000	2.94	n/a	n/a	non-brg	2.0
BESSEMER INVESTMENT	085	OXY	S	1,225	85.07	n/a	n/a	49.00	4.0
f MARC PAUL LUCHANSKY	FID	PCH	B	100	33.82	n/a	17-Oct	0.00	0.0
BESSEMER INVESTMENT	085	PCP	S	253	166.78	n/a	17-Oct	10.12	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
B BUCK CAPITAL MGMT		PERY	S	10,000	21.60	n/a	n/a	non-brg 4.0
B BUCK CAPITAL MGMT		PERY	S	7,874	21.38	n/a	n/a	non-brg 2.5
HIGHBRIDGE CAP	041	PETM	S	6,000	46.10	n/a	n/a	180.00 3.0
BESSEMER INVESTMENT	085	PFE	S	17,875	18.95	n/a	n/a	715.00 4.0
BESSEMER INVESTMENT	085	PG	S	5,310	65.27	n/a	10-Oct	212.40 4.0
B BUCK CAPITAL MGMT		PH	SS	15,000	73.18	n/a	14-Sep	non-brg 4.0
B BUCK CAPITAL MGMT		PII	B	30,000	55.57	n/a	n/a	non-brg 4.0
MA CAPITAL MGMT/MELLON ADV041		PII	B	3,000	54.40	n/a	n/a	150.00 5.0
COOPER CREEK PART	028	PKG	B	10,000	24.76	n/a	18-Oct	400.00 4.0
MA CAPITAL MGMT/MELLON ADV041		PKG	B	5,000	24.71	n/a	18-Oct	200.00 4.0
MA CAPITAL MGMT/MELLON ADV041		PKG	S	5,000	24.86	n/a	18-Oct	150.00 3.0
SCOPUS FUND	041	PKG	S	18,800	24.61	n/a	18-Oct	752.00 4.0
BNP PARIBAS SEC	040	PLCE	B	19,100	44.42	n/a	18-Aug	955.00 5.0
B BUCK CAPITAL MGMT		PLCE	S	50,000	44.53	n/a	18-Aug	non-brg 4.0
MACQUARIE INVESTMENT MGMT.	040	PLCE	S	5,000	44.55	n/a	18-Aug	0.00 0.0
ROYCE TRADING	031	PLCE	B	1,500	44.71	n/a	18-Aug	75.00 5.0
NEUBERGER BERMAN	036	PLD	S	92,600	25.85	n/a	n/a	3,704.00 4.0
B BUCK CAPITAL MGMT		PVH	S	10,000	63.32	n/a	1-Sep	non-brg 4.0
RAINIER INV MGMT	035	PX	B	59,850	101.68	n/a	7-Sep	2,394.00 4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	QCOM	S	3,005	54.65	n/a	n/a	120.20	4.0
EPOCH INV MGMT	030	RTI	S	45,100	24.66	n/a	n/a	1,353.00	3.0
⚡ BUCK CAPITAL MGMT		RYL	S	30,000	11.95	n/a	n/a	non-brg	4.0
BESSEMER INVESTMENT	085	SEIC	S	675	15.20	n/a	n/a	27.00	4.0
⚡ BUCK CAPITAL MGMT		SHOO	B	10,000	31.74	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		SLM	S	36,700	13.57	n/a	6-Oct	non-brg	4.0
f JOSEPH CIRO AMATURO	FID	SODA	B	1000	32.95	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		SPY	C	250	120.49	n/a	n/a	non-brg	2.0
DAVIDSON KEMPNER ADVISOR	040	SPY	SS	40,000	119.34	n/a	n/a	2,000.00	5.0
f FRANCIS MICHAEL MCCA	FID	SRI	B	500	6.00	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	SRI	B	5000	6.04	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		STT	S	27,800	36.06	n/a	18-Oct	non-brg	4.0
OSKIE CAPITAL MGMT	224	STT	B	35,000	36.18	n/a	18-Oct	1,750.00	5.0
⚡ BUCK CAPITAL MGMT		TEA 2 C22.5	SS	1,000	1.81	n/a	n/a	non-brg	300.0
⚡ BUCK CAPITAL MGMT		TOL	S	20,000	16.79	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		TPX	S	10,000	61.01	n/a	n/a	non-brg	4.0
BESSEMER INVESTMENT	085	TUP	S	200	56.16	n/a	n/a	8.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	297	UPL	B	5,800	28.74	n/a	12-Oct	232.00	4.0
⌘ BUCK CAPITAL MGMT		URBN	C	120,000	23.55	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		URBN	C	80,000	23.55	n/a	n/a	non-brg	4.0
SIMMONS VENTURES	041	URBN	SS	5,000	23.50	n/a	n/a	200.00	4.0
MELLON/BANK OF NEW YORK	046	VMW	B	87,490	96.57	n/a	n/a	3,499.60	4.0
ROSEDALE CAPITAL	046	VZ	SS	10,000	37.07	n/a	n/a	500.00	5.0
⌘ BUCK CAPITAL MGMT		V	S	5,400	93.79	n/a	13-Oct	non-brg	4.0
BESSEMER INVESTMENT	085	WEC	S	300	31.71	n/a	n/a	12.00	4.0
⌘ BUCK CAPITAL MGMT		XLFX	C	9,200	12.35	n/a	n/a	non-brg	2.0
BESSEMER INVESTMENT	085	XLNX	S	175	30.31	n/a	n/a	7.00	4.0
⌘ BUCK CAPITAL MGMT		XRT	C	6,000	49.84	n/a	n/a	non-brg	2.0
LEVIN CAPITAL STRATEGIES	041	XRT	C	50,000	49.96	n/a	n/a	1,500.00	3.0
TUDOR INVESTORS	028	ZUMZ	B	50,000	21.18	n/a	n/a	1,500.00	3.0
TOTAL (Trade Date) :								56,401.15	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	10/17	COLUMBUS CIRCLE	036	HRC	S	4,467	30.73	n/a	n/a	178.68 4.0
TOTAL (AO, CXL, CRT) :										178.68

TOTAL (Trade Date):	56,401.15
TOTAL (AO, CXL, CRT):	178.68

TOTAL (RUN DATE) / NFS:	56,579.83
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO	10/17	BUCK CAPITAL MGMT	CROX	B	50,000	17.33	n/a	n/a	500.00 1.0
CXL	10/17	BUCK CAPITAL MGMT.	MSMSBCM	SS	4,997,855	91.36	n/a	n/a	0.00
CRT	10/17	BUCK CAPITAL MGMT	MSMSBCM	SS	4,997,855	91.31	n/a	n/a	0.00 0.0

MRI Securities with Trade Activity on 18-Oct.
NONE

MRI Securities without Trade Activity on 18-Oct.
HSP

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 1%
YTD = 2%

<u>Legend:</u>
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)