



# Daily Compliance Activity Report

Trade Date: 10/03/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B</b> BUCK CAPITAL MGMT		1913 HK	<b>S</b>	200,000	3.67	n/a	n/a	non-brg	0.0
COLUMBIA PARTNERS	028	ABCO	S	14,318	59.58	n/a	n/a	572.72	4.0
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>ABT</b>	<b>B</b>	1000	50.46	n/a	n/a	0.00	0.0
BALYASNY ASSET MGMT	044	AEO	B	25,000	11.47	n/a	25-Aug	1,250.00	5.0
<b>B</b> BUCK CAPITAL MGMT		ANN	<b>S</b>	20,000	21.91	n/a	n/a	non-brg	4.0
HIGHBRIDGE CAP	041	ANN	B	16,000	21.78	n/a	n/a	480.00	3.0
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>APC</b>	<b>S</b>	2000	61.36	n/a	27-Sep	0.00	0.0
ARMATURE CAPITAL	041	AVY	SS	50,000	24.20	n/a	6-Sep	2,000.00	4.0
<b>B</b> BUCK CAPITAL MGMT		BBBY	<b>S</b>	30,000	55.02	n/a	n/a	non-brg	4.0
<b>f</b> WILLIAM WEINBERG	<b>FID</b>	<b>BDE</b>	<b>S</b>	12200	6.42	n/a	n/a	0.00	0.0
AVESTA CAP	229	CAT	SS	50,000	72.21	n/a	14-Sep	1,500.00	3.0
MERRILL ASSET/BLACKROCK	297	CFR	B	9,700	44.47	n/a	n/a	388.00	4.0
SENATOR INVESTMENT GROUP	036	CHK	SS	500,000	24.95	n/a	n/a	15,000.00	3.0
HIGHBRIDGE CAP	041	CHS	B	23,000	10.87	n/a	5-Feb	690.00	3.0
MTB INV ADV	034	CLB	B	1,025	88.93	n/a	21-Jul	51.25	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f</b> MARC PAUL LUCHANSKY	<b>FID</b>	<b>COF</b>	<b>S</b>	<b>300</b>	<b>38.38</b>	<b>n/a</b>	<b>28-Sep</b>	<b>0.00</b>	<b>0.0</b>
MERRILL ASSET/BLACKROCK	297	COG	S	3,200	60.10	n/a	27-Sep	128.00	4.0
<b>f</b> MARC PAUL LUCHANSKY	<b>FID</b>	<b>COH</b>	<b>S</b>	<b>100</b>	<b>51.08</b>	<b>n/a</b>	<b>3-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> BARBARA S LEDDY	<b>FID</b>	<b>CPN</b>	<b>S</b>	<b>246</b>	<b>13.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> MARC PAUL LUCHANSKY	<b>FID</b>	<b>CPN</b>	<b>S</b>	<b>495</b>	<b>13.97</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CATAPULT	040	CRK	B	50,000	14.34	n/a	n/a	2,000.00	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>CSTR</b>	<b>S</b>	<b>10,000</b>	<b>39.70</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
EPOCH INV MGMT	030	CTL	B	143,550	32.35	n/a	n/a	4,306.50	3.0
MTB INV ADV	034	DAN	B	10,250	10.74	n/a	29-Jul	410.00	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>DSW</b>	<b>S</b>	<b>20,000</b>	<b>44.98</b>	<b>n/a</b>	<b>11-Feb</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>EAT</b>	<b>S</b>	<b>50,000</b>	<b>20.20</b>	<b>n/a</b>	<b>3-Oct</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> MARC PAUL LUCHANSKY	<b>FID</b>	<b>ECL</b>	<b>S</b>	<b>200</b>	<b>48.40</b>	<b>n/a</b>	<b>28-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> MARC PAUL LUCHANSKY	<b>FID</b>	<b>ETN</b>	<b>S</b>	<b>500</b>	<b>35.26</b>	<b>n/a</b>	<b>31-Aug</b>	<b>0.00</b>	<b>0.0</b>
PROSPECTOR PARTNERS LLC	036	FE	S	10,000	44.32	n/a	n/a	400.00	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>FINL</b>	<b>S</b>	<b>40,000</b>	<b>19.43</b>	<b>n/a</b>	<b>23-Sep</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>FL</b>	<b>S</b>	<b>40,000</b>	<b>19.46</b>	<b>n/a</b>	<b>19-Aug</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		FOSL	S	20,000	75.87	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		FRAN	SS	30,000	19.93	n/a	n/a	non-brg	4.0
MARC PAUL LUCHANSKY	FID	FRO	S	20	4.86	n/a	n/a	0.00	0.0
CATAPULT	040	FTI	B	43,000	36.16	n/a	n/a	1,720.00	4.0
MARC PAUL LUCHANSKY	FID	FXI	S	60	30.30	n/a	n/a	0.00	0.0
WEDBUSH/PACIFIC GROWTH EQTY LLC	084	F	B	30,000	9.74		n/a 30-Sep	1,200.00	4.0
BUCK CAPITAL MGMT	001	GCO	S	10,000	50.55	n/a	n/a	300.00	3.0
MERRILL ASSET/BLACKROCK	297	GCO	S	29,100	50.92	n/a	n/a	1,164.00	4.0
BUCK CAPITAL MGMT		GIL	S	70,000	24.82	n/a	5-Aug	non-brg	4.0
BUCK CAPITAL MGMT		GMCR	S	10,000	88.24	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT		HBI	S	105,000	24.11	n/a	21-Jul	non-brg	4.0
BUCK CAPITAL MGMT		HBI	S	15,000	25.12	n/a	21-Jul	non-brg	0.8
BUCK CAPITAL MGMT		HBI	S	20,000	25.07	n/a	21-Jul	non-brg	4.0
AVESTA CAP	229	HFC	S	50,000	26.62	n/a	n/a	1,500.00	3.0
RIDGECREST INV MGMT LLC	028	HNI	B	5,000	17.63	n/a	n/a	250.00	5.0
PROSPECTOR PARTNERS LLC	036	HPQ	S	10,000	22.76	n/a	n/a	400.00	4.0
NEWLAND CAPITAL MGT	025	HXL	SS	50,000	21.47	n/a	26-Sep	2,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>IGD</b>	<b>B</b>	<b>3000</b>	<b>8.95</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>IJH</b>	<b>C</b>	<b>6,700</b>	<b>74.81</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>IWO</b>	<b>C</b>	<b>7,100</b>	<b>70.59</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
ADAGE CAPITAL MGMT	030	JCP	SS	54,580	27.00	n/a	28-Sep	1,637.40	3.0
APEX CAPITAL MGMT.	261	JCP	SS	98,000	26.22	n/a	28-Sep	3,920.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>JCP</b>	<b>SS</b>	<b>30,000</b>	<b>26.48</b>	<b>n/a</b>	<b>28-Sep</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JCP</b>	<b>SS</b>	<b>50,000</b>	<b>26.43</b>	<b>n/a</b>	<b>28-Sep</b>	<b>non-brg</b>	<b>4.0</b>
PRIMECAP MGMT	084	JNJ	B	12,000	63.45	n/a	n/a	480.00	4.0
SIMMONS VENTURES	041	JNY	B	12,500	8.80	n/a	28-Jul	500.00	4.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>KO</b>	<b>S</b>	<b>300</b>	<b>65.75</b>	<b>n/a</b>	<b>26-Sep</b>	<b>0.00</b>	<b>0.0</b>
COUGAR TRADING	044	KSS	SS	2,500	49.50	n/a	28-Sep	125.00	5.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>LEA</b>	<b>S</b>	<b>500</b>	<b>41.40</b>	<b>n/a</b>	<b>5-Aug</b>	<b>0.00</b>	<b>0.0</b>
ROSEDALE CAPITAL	046	LEA	B	10,000	42.68	n/a	5-Aug	500.00	5.0
<b>f WILLIAM WEINBERG</b>	<b>FID</b>	<b>LSTZA</b>	<b>S</b>	<b>1000</b>	<b>61.79</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>LTD</b>	<b>S</b>	<b>20,000</b>	<b>37.73</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
NEWLAND CAPITAL MGT	025	MDR	S	10,000	11.42	n/a	n/a	400.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>MDY</b>	<b>C</b>	<b>3,700</b>	<b>136.22</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>MMC</b>	<b>S</b>	<b>200</b>	<b>26.56</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BNP PARIBAS SEC	040	MON	B	20,000	60.51	n/a	3-Oct	1,000.00	5.0
CATAPULT	040	MPC	B	25,000	26.84	n/a	n/a	1,000.00	4.0
PRIMECAP MGMT	084	MSFT	B	100,000	24.78	n/a	n/a	4,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>MSMSBCD</b>	<b>C</b>	<b>25,000</b>	<b>84.66</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>6.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MSMSBCD</b>	<b>C</b>	<b>593,170</b>	<b>82.12</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.2</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MSMSBCD</b>	<b>SS</b>	<b>574,693</b>	<b>82.12</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MSMSBCM</b>	<b>C</b>	<b>6,330,123</b>	<b>82.08</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.2</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MSMSBCM</b>	<b>SS</b>	<b>6,132,941</b>	<b>82.08</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.0</b>
ST OF MICHIAN	047	MS	B	320,000	12.70	n/a	27-Sep	9,600.00	3.0
ARMATURE CAPITAL	041	MWV	B	50,000	23.77	n/a	27-Jul	2,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>M</b>	<b>S</b>	<b>20,000</b>	<b>25.69</b>	<b>n/a</b>	<b>28-Sep</b>	<b>non-brg</b>	<b>4.0</b>
ADAGE CAPITAL MGMT	030	NDN	B	200,000	18.43	n/a	16-Sep	6,000.00	3.0
MA CAPITAL MGMT/MELLON ADV	041	NDN	B	5,000	18.51	n/a	16-Sep	250.00	5.0
SMITH MGMT LLC	029	NDN	S	55,700	18.21	n/a	16-Sep	1,671.00	3.0
NEW JERSEY DIV OF INV.	030	NR	S	50,000	5.80	n/a	n/a	2,000.00	4.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>NS</b>	<b>S</b>	<b>500</b>	<b>51.78</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NEW JERSEY DIV OF INV.	030	NWSA	S	200,000	15.49	n/a	n/a	8,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AVESTA CAP	229	PAYX	C	50,000	26.32	n/a	n/a	1,500.00	3.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>PEP</b>	<b>B</b>	<b>1000</b>	<b>60.76</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MA CAPITAL MGMT/MELLON ADV041	PKG		SS	6,000	23.36	n/a	4-Aug	300.00	5.0
BNP PARIBAS SEC	040	PLCE	SS	20,000	47.55	n/a	18-Aug	1,000.00	5.0
MOORE CAPITAL	041	PPDI	SS	25,000	32.59	n/a	n/a	750.00	3.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>PRGO</b>	<b>S</b>	<b>400</b>	<b>96.19</b>	<b>n/a</b>	<b>3-Oct</b>	<b>0.00</b>	<b>0.0</b>
PROSPECTOR PARTNERS LLC	036	PTP	S	5,000	30.38	n/a	n/a	200.00	4.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>PVH</b>	<b>S</b>	<b>20,000</b>	<b>56.47</b>	<b>n/a</b>	<b>1-Sep</b>	<b>600.00</b>	<b>3.0</b>
CATAPULT	040	ROSE	B	50,000	32.74	n/a	n/a	2,000.00	4.0
RIDGECREST INV MGMT LLC	028	ROST	S	10,000	77.15	n/a	28-Sep	500.00	5.0
AVESTA CAP	229	SBUX	S	50,000	36.45	n/a	3-Oct	1,500.00	3.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>SBUX</b>	<b>S</b>	<b>200</b>	<b>36.31</b>	<b>n/a</b>	<b>3-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SFER IM</b>	<b>S</b>	<b>209,223</b>	<b>12.10</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.4</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SFER IM</b>	<b>S</b>	<b>50,000</b>	<b>12.24</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.8</b>
CATAPULT	040	SFL	SS	25,000	12.10	n/a	n/a	1,000.00	4.0
<b>LISTED ERR</b>	<b>099</b>	<b>SFL</b>	<b>B</b>	<b>2,500</b>	<b>12.01</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f ALANA J A MADIGAN-SI</b>	<b>FID</b>	<b>SOXL</b>	<b>B</b>	<b>425</b>	<b>21.54</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.	
MERRILL ASSET/BLACKROCK	297	SPR	B	26,400	15.91	n/a	5-Aug	1,056.00	4.0
COBALT	041	SWFT	S	442,392	6.05	n/a	n/a	8,847.84	2.0
FIRST NEW YORK LEDDY	035	S	B	20,000	2.96	n/a	n/a	800.00	4.0
ROYCE TRADING	031	TER	S	103,000	10.97	n/a	n/a	5,150.00	5.0
<b>f BARBARA S LEDDY</b>	<b>FID</b>	<b>TIN</b>	<b>S</b>	<b>200</b>	<b>31.40</b>	<b>n/a</b>	<b>13-Sep</b>	<b>0.00</b>	<b>0.0</b>
NEWLAND CAPITAL MGT	025	TNB	B	25,000	39.19	n/a	n/a	1,000.00	4.0
<b>f CLIFFORD A LONGLEY</b>	<b>FID</b>	<b>TSLA</b>	<b>B</b>	<b>4</b>	<b>24.39</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
APEX CAPITAL MGMT.	261	TXT	SS	150,000	16.94	n/a	n/a	6,000.00	4.0
<b>f ABRAM M CHAPPELL</b>	<b>FID</b>	<b>TZA</b>	<b>S</b>	<b>35</b>	<b>60.18</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>UNH</b>	<b>B</b>	<b>1000</b>	<b>43.09</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CATAPULT	040	VLO	S	12,500	17.31	n/a	n/a	500.00	4.0
PRIMECAP MGMT	084	V	B	17,000	85.21	n/a	24-Aug	680.00	4.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>WCRX</b>	<b>S</b>	<b>500</b>	<b>14.06</b>	<b>n/a</b>	<b>3-Oct</b>	<b>0.00</b>	<b>0.0</b>
KLEINHEINZ CAP PART	031	WFM	SS	40,000	62.56	n/a	n/a	2,000.00	5.0
SENATOR INVESTMENT GROUP	036	WMB	S	150,000	23.97	n/a	n/a	4,500.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JOSEPH CIRO AMATURO	FID	WNC	B	10000	4.26	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	WRC	S	250	45.84	n/a	2-Aug	0.00	0.0
B BUCK CAPITAL MGMT		XRT	C	52,300	46.28	n/a	n/a	non-brg	1.0
LEVIN CAPITAL STRATEGIES	041	XRT	C	20,000	45.16	n/a	n/a	600.00	3.0
LEVIN CAPITAL STRATEGIES	041	XRT	SS	20,000	46.02	n/a	n/a	600.00	3.0
B BUCK CAPITAL MGMT		ZUMZ	SS	45,000	17.11	n/a	n/a	non-brg	4.0
SIMMONS VENTURES	041	ZUMZ	B	5,000	16.98	n/a	n/a	200.00	4.0
<b>TOTAL (Trade Date):</b>							<b>122,077.71</b>		



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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	09/30	MTB INV ADV	034	CLB	B	12,000	90.40	n/a	21-Jul	600.00 5.0
AO,CXL	09/30	MTB INV ADV	034	CLB	B	12,000	90.40	n/a	21-Jul	600.00 5.0
AO,	09/29	HOLLIS CAPITAL	033	QEP	S	5,000	27.37	n/a	n/a	250.00 5.0
AO,CRT	09/30	SIMMONS VENTURES	041	ZUMZ	B	5,000	17.98	n/a	n/a	200.00 4.0
AO,CXL	09/30	SIMMONS VENTURES	041	ZUMZ	B	5,000	17.98	n/a	n/a	250.00 5.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>200.00</b>
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TOTAL (Trade Date) :	122,077.71
TOTAL (AO, CXL, CRT) :	200.00

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<b>TOTAL (RUN DATE) / NFS :</b>	<b>122,277.71</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 3-Oct.  
NONE

MRI Securities without Trade Activity on 3-Oct.  
NONE

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