



Daily Compliance Activity Report

Trade Date: 09/29/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NUVEEN - US BANCORP		030 ACC		S	24,977	37.48	n/a	n/a	1,123.97 4.5
ROYCE TRADING	031	AEO	B	3,000	11.80	n/a	25-Aug	150.00	5.0
B BUCK CAPITAL MGMT		ANF	S	90,000	62.74	n/a	18-Aug	non-brg	4.0
GALT INVESTMENT	041	AN	B	30,000	34.32	n/a	28-Jul	1,500.00	5.0
MILLRACE FUND LP	028	ARG	B	10,000	64.90	n/a	20-Sep	400.00	4.0
TRELLUS PARTNERS LP	028	AXL	C	51,929	7.94	n/a	1-Aug	1,557.87	3.0
MOORE CAPITAL	041	BBBB	B	5,850	44.63	n/a	n/a	234.00	4.0
B BUCK CAPITAL MGMT		BBBY	S	20,000	57.87	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BBBY	S	30,000	57.87	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BID	B	20,000	30.96	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BID	B	20,000	30.96	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BWLD	C	120,000	61.98	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BWLD	C	75,000	61.90	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CHRS	B	100,000	2.83	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		CHRS	B	89,500	2.76	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		CMG	C	15,000	308.25	n/a	20-Jul	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B	BUCK CAPITAL MGMT		CMG	C	15,000	308.25	n/a	20-Jul	non-brg	4.0
B	BUCK CAPITAL MGMT		COH	B	30,000	52.42	n/a	3-Aug	non-brg	4.0
f	CAROL ANNE LACHENAU	FID	CPN	S	525	14.22	n/a	n/a	0.00	0.0
f	CAROL ANNE LACHENAU	FID	CPN	S	72	14.12	n/a	n/a	0.00	0.0
f	DOUGLAS ROGERS	FID	CPN	S	525	14.22	n/a	n/a	0.00	0.0
f	DOUGLAS ROGERS	FID	CPN	S	73	14.11	n/a	n/a	0.00	0.0
Õ	Doug Rogers		CPN	S	100	14.18	n/a	n/a	0.00	0.0
Õ	Doug Rogers		CPN	S	100	14.18	n/a	n/a	0.00	0.0
Õ	Doug Rogers		CPN	S	110	14.18	n/a	n/a	0.00	0.0
Õ	Doug Rogers		CPN	S	1900	14.18	n/a	n/a	0.00	0.0
Õ	Doug Rogers		CPN	S	200	14.18	n/a	n/a	0.00	0.0
Õ	Doug Rogers		CPN	S	624	14.10	n/a	n/a	0.00	0.0
Õ	Doug Rogers		CPN	S	797	14.19	n/a	n/a	0.00	0.0
Õ	Doug Rogers		CPN	S	88	14.10	n/a	n/a	0.00	0.0
Õ	Doug Rogers		CPN	S	88	14.11	n/a	n/a	0.00	0.0
Õ	Doug Rogers		CPN	S	92	14.10	n/a	n/a	0.00	0.0
Õ	Doug Rogers		CPN	S	9834	14.17	n/a	n/a	0.00	0.0
f	TR U/W OF CH RISTINA	FID	CPN	S	533	14.23	n/a	n/a	0.00	0.0
f	MARK DEVEREAUX KAICH	FID	CRMBW	B	5000	0.36	n/a	n/a	0.00	0.0
	BRONSON POINT	036	CROX	C	5,000	25.72	n/a	n/a	150.00	3.0
B	BUCK CAPITAL MGMT		CROX	B	50,000	24.83	n/a	n/a	non-brg	4.0
	M&I FUNDS	047	CRR	B	4,000	108.75	n/a	11-Jan	160.00	4.0
f	JONATHAN RICHARD HAR	FID	CVGI	B	780	6.41	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		CVS	S	214,400	33.68	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		DDS	S	65,120	44.94	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DDS	S	75,000	44.86	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DDS	S	81,000	44.82	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DECK	S	30,000	92.67	n/a	n/a	non-brg	4.0
ROYCE TRADING	031	DECK	S	2,000	96.29	n/a	n/a	100.00	5.0
⚡ BUCK CAPITAL MGMT		DSW	S	30,000	45.14	n/a	11-Feb	non-brg	4.0
OHIO PERS	047	EBAY	B	76,000	31.28	n/a	n/a	2,280.00	3.0
⚡ JOSEPH CIRO AMATURO	FID	FAZ	B	1000	60.47	n/a	n/a	0.00	0.0
AVESTA CAP	229	FDO	SS	50,000	50.46	29-Sep	29-Sep	1,500.00	3.0
CASTLEROCK	040	FDO	SS	48,697	50.84	29-Sep	29-Sep	1,947.88	4.0
MACQUARIE INVESTMENT MGMT.	040	FDO	SS	10,000	51.84	29-Sep	29-Sep	0.00	0.0
MOORE CAPITAL	041	FDO	S	8,100	50.82	29-Sep	29-Sep	324.00	4.0
WEDBUSH/PACIFIC GROWTH EQTY LLC	084	FDO	SS	10,000	51.69	29-Sep	29-Sep	500.00	5.0
⚡ BUCK CAPITAL MGMT		FINL	S	50,000	20.30	n/a	23-Sep	non-brg	4.0
ROYCE TRADING	031	FINL	B	2,500	20.31	n/a	23-Sep	125.00	5.0
⚡ BUCK CAPITAL MGMT		FOSL	S	10,000	89.27	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		FOSL	S	90,000	86.95	n/a	n/a	non-brg	4.0
NUVEEN - US BANCORP		030 GKSR	B	5,776	26.12		n/a	n/a	259.92 4.5
⚡ HARALAMBOS EFSTATHI	FID	GMCR	B	100	93.46	n/a	n/a	0.00	0.0
⚡ NICOLAS EVAN PAKLER	FID	GMCR	B	12	94.65	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OZ MGMT	040	GM	C	100,000	20.83	n/a	2-Sep	3,000.00	3.0
TRELLUS PARTNERS LP	028	GM	C	50,000	20.85	n/a	2-Sep	2,500.00	5.0
B BUCK CAPITAL MGMT		HAL	B	25,000	32.04	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	025	HDV	B	1,500	50.16	n/a	n/a	75.00	5.0
LATEFF MGMT	035	HPQ	B	350	23.58	n/a	n/a	70.00	20.0
MOORE CAPITAL	041	HTZ	C	8,546	9.11	n/a	n/a	341.84	4.0
PATTEN & PATTEN	025	IAU	B	4,000	15.74	n/a	n/a	200.00	5.0
B BUCK CAPITAL MGMT		IP	B	20,000	23.95	n/a	6-Sep	non-brg	4.0
STANDARD PACIFIC CAPITAL	040	IR	SS	100,000	31.70	n/a	18-Aug	5,000.00	5.0
MOORE CAPITAL	041	ITB	C	27,500	9.27	n/a	n/a	825.00	3.0
NUVEEN - US BANCORP		030 IYR	B	11,755	51.60		n/a	n/a	528.98 4.5
GEORGE WEISS	034	JACK	B	30,000	20.27	n/a	n/a	900.00	3.0
B BUCK CAPITAL MGMT		JCP	SS	20,000	27.13	n/a	28-Sep	non-brg	4.0
CAERUS GLOBAL	041	JNY	B	25,000	9.68	n/a	28-Jul	1,000.00	4.0
B BUCK CAPITAL MGMT		JOSB	B	4,000	48.01	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		LTD	S	50,000	38.89	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		LTM	C	29,900	37.86	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		LULU	C	30,000	51.88	n/a	12-Sep	non-brg	4.0
AVESTA CAP	229	MCO	SS	25,000	30.30	n/a	n/a	750.00	3.0
CASTLEROCK	040	MHK	B	92,726	45.29	n/a	n/a	3,709.04	4.0
MACQUARIE INVESTMENT MGMT.	040	MJN	S	2,500	72.57	n/a	n/a	0.00	0.0
ROXBURY CAPITAL MGMT	035	MLI	S	54,680	39.16	n/a	26-Jul	1,640.40	3.0
⌘ BUCK CAPITAL MGMT		MNRO	C	30,000	33.59	n/a	n/a	non-brg	4.0
ROYCE TRADING	031	MOV	B	9,000	12.98	n/a	n/a	450.00	5.0
ROSEDALE CAPITAL	046	MSFT	B	30,000	25.50	n/a	n/a	1,500.00	5.0
⌘ BUCK CAPITAL MGMT		MSMSBCD	C	30,000	86.76	n/a	n/a	non-brg	6.9
⌘ BUCK CAPITAL MGMT		MSMSBCD	C	662,003	86.14	n/a	n/a	non-brg	0.5
⌘ BUCK CAPITAL MGMT		MSMSBCD	SS	648,170	86.14	n/a	n/a	non-brg	0.0
⌘ BUCK CAPITAL MGMT		MSMSBCM	C	6,465,215	86.10	n/a	n/a	non-brg	0.5
⌘ BUCK CAPITAL MGMT		MSMSBCM	SS	6,330,123	86.10	n/a	n/a	non-brg	0.0
⌘ BUCK CAPITAL MGMT		MZZ	S	6,000	51.06	n/a	n/a	non-brg	2.0
ADAGE CAPITAL MGMT	030	NDN	B	25,000	18.40	n/a	16-Sep	750.00	3.0
SMITH MGMT LLC	029	NDN	S	115,000	18.26	n/a	16-Sep	3,450.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEWLAND CAPITAL MGT	025	PCAR	S	15,000	35.77	n/a	14-Sep	600.00	4.0
CSFB GLOBAL PROPRIETARY	041	PKG	SS	42,981	24.39	n/a	4-Aug	2,149.05	5.0
CSFB GLOBAL PROPRIETARY	041	PKG	S	7,019	24.38	n/a	4-Aug	350.95	5.0
⌘ BUCK CAPITAL MGMT		PSUN	S	400,000	1.22	n/a	n/a	non-brg	0.5
⌘ BUCK CAPITAL MGMT		PVH	S	45,000	60.33	n/a	1-Sep	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PVH	S	50,000	62.37	n/a	1-Sep	non-brg	4.0
PATTEN & PATTEN	025	QQQ	B	300	53.15	n/a	n/a	15.00	5.0
⌘ BUCK CAPITAL MGMT		RCL	B	20,000	22.34	n/a	n/a	non-brg	4.0
SONTERRA CAP	041	RKT	S	40,000	50.41	n/a	4-Aug	1,600.00	4.0
BUCK CAPITAL MGMT	001	RL	B	60,000	138.87	n/a	11-Aug	1,800.00	3.0
CASTLEROCK	040	RL	B	55,951	141.84	n/a	11-Aug	2,238.04	4.0
AVESTA CAP	229	ROST	B	50,000	79.54	n/a	28-Sep	1,500.00	3.0
BRANDWINE	028	ROST	S	57,340	77.73	n/a	28-Sep	2,293.60	4.0
⌘ BUCK CAPITAL MGMT		RRR	B	50,000	7.60	n/a	14-Sep	non-brg	3.0
⌘ BUCK CAPITAL MGMT		RUSHA	B	5,000	15.01	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		RUSHA	B	5,000	15.05	n/a	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		SFLY	B	25,000	43.06	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		SFLY	B	50,000	42.27	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JONATHAN RICHARD HAR	FID	SGI	B	450	12.22	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	SGI	B	2000	12.30	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SHOO	B	20,000	31.79	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SIG	S	94,121	33.69	n/a	n/a	non-brg	4.0
f JOSEPH CIRO AMATURO	FID	SLW	B	1000	29.89	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SODA	B	10,000	34.64	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		SODA	B	20,000	33.49	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		SODA	B	20,000	34.64	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		SODA	B	35,000	33.49	n/a	n/a	non-brg	2.5
PATTEN & PATTEN	025	SPY	S	1,000	114.63	n/a	n/a	50.00	5.0
OHIO PERS	047	TEX	S	62,500	11.00	n/a	14-Sep	1,875.00	3.0
f MARK DEVEREAUX KAICH	FID	TIVO	S	500	10.08	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		TPX	S	44,100	51.99	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		URBN	SS	30,000	23.45	n/a	n/a	non-brg	4.0
BERMAN CAPITAL MGMT	046	WMT	S	5,000	52.25	n/a	25-Aug	150.00	3.0
ß BUCK CAPITAL MGMT		WNC	B	14,600	4.94	n/a	n/a	non-brg	2.0
MACQUARIE INVESTMENT MGMT.	040	WSM	S	5,000	31.71	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
B BUCK CAPITAL MGMT		XRT	C	30,000	46.96	n/a	n/a	non-brg 1.0
CENTURION PARTNERS	041	YUM	B	10,000	50.84	n/a	10-Aug	400.00 4.0
TOTAL (Trade Date):								54,024.54

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) :									54,024.54
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									54,024.54

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 29-Sep.

FDO

MRI Securities without Trade Activity on 29-Sep.

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)