



# Daily Compliance Activity Report

Trade Date: 10/31/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	AAPL	S	605	407.60	n/a	n/a	24.20	4.0
BESSEMER INVESTMENT	085	ACE	S	2,815	72.73	n/a	n/a	112.60	4.0
OHIO PERS	047	ARBA	B	31,400	32.78	n/a	n/a	942.00	3.0
FARBER/WEISS PECK	085	ARCO	B	17,500	22.95	31-Oct	31-Oct	700.00	4.0
MACQUARIE INVESTMENT MGMT.	040	ARCO	S	2,500	23.34	31-Oct	31-Oct	0.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>ASNA</b>	<b>S</b>	<b>17,100</b>	<b>29.13</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
PLATTE RIVER CAPITAL	240	AVP	B	17,500	18.31	n/a	31-Oct	700.00	4.0
LOCUS WOOD CAPITAL MGMT	044	BEAM	S	10,000	49.51	n/a	n/a	400.00	4.0
HUNTER GLOBAL INVESTOR	028	BID	B	77,400	35.93	n/a	n/a	3,870.00	5.0
KLEINHEINZ CAP PART	031	BIG	S	50,000	37.97	n/a	25-Aug	2,500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>BKS</b>	<b>B</b>	<b>195,000</b>	<b>12.02</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
KACELA CAPITAL	034	BMC	SS	25,000	34.78	n/a	n/a	1,000.00	4.0
FRED ALGER MGMT	035	BWA	S	25,250	77.31	n/a	31-Oct	909.00	3.6
OZ MGMT	040	BWA	SS	50,000	75.50	n/a	31-Oct	1,500.00	3.0
MELLON/BANK OF NEW YORK	046	CAH	S	10,900	44.56	n/a	n/a	436.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>CHS</b>	<b>SS</b>	<b>100,000</b>	<b>12.51</b>	<b>n/a</b>	<b>5-Feb</b>	<b>non-brg</b>	<b>4.0</b>
STRONG/MARK GRONET	030	COCO	B	200,000	1.90	n/a	n/a	4,000.00	2.0
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>CROX</b>	<b>B</b>	<b>2000</b>	<b>17.66</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BASIX	033	DAN	B	50,000	14.37	n/a	28-Oct	1,500.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>DDS</b>	<b>B</b>	<b>50,000</b>	<b>51.75</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DDS</b>	<b>B</b>	<b>50,000</b>	<b>51.75</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DDS</b>	<b>B</b>	<b>9,700</b>	<b>51.41</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DDS</b>	<b>B</b>	<b>9,700</b>	<b>51.41</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DECK</b>	<b>B</b>	<b>20,000</b>	<b>117.08</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
BESSEMER INVESTMENT	085	DIS	S	585	35.37	n/a	n/a	23.40	4.0
RESERVOIR CAPITAL GROUP LLC	060	DPS	SS	17,140	38.00	n/a	n/a	514.20	3.0
LOCUS WOOD CAPITAL MGMT	044	DPZ	S	10,000	32.35	n/a	20-Oct	400.00	4.0
M&I FUNDS	047	DTE	B	9,074	52.59	n/a	n/a	362.96	4.0
BESSEMER INVESTMENT	085	ECL	S	3,725	54.17	n/a	25-Oct	149.00	4.0
UBS OCONNOR	031	EVR	C	40,000	27.64	n/a	n/a	1,200.00	3.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>FAGIX</b>	<b>B</b>	<b>559</b>	<b>8.95</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LATEFF MGMT	035	FDX	S	1,250	82.79	n/a	n/a	162.50	13.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEFF MGMT	035	FOR	B	2,500	13.37	n/a	17-Oct	200.00	8.0
BESSEMER INVESTMENT	085	GE	S	1,840	16.93	n/a	n/a	73.60	4.0
LATEFF MGMT	035	GE	S	150	16.85	n/a	n/a	37.50	25.0
<b>B BUCK CAPITAL MGMT</b>		<b>GIII 12 C25</b>	<b>SS</b>	<b>1,000</b>	<b>3.90</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>300.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GIII</b>	<b>S</b>	<b>5,000</b>	<b>28.31</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
M&I FUNDS	047	GPC	B	9,688	57.96	n/a	n/a	387.52	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>HBI</b>	<b>S</b>	<b>95,573</b>	<b>26.71</b>	<b>n/a</b>	<b>21-Oct</b>	<b>non-brg</b>	<b>4.0</b>
FRED ALGER MGMT	035	HBI	S	120,000	26.67	n/a	21-Oct	4,320.00	3.6
IMPALA ASSET MMT	040	HBI	SS	125,000	26.68	n/a	21-Oct	5,000.00	4.0
MERRILL ASSET/BLACKROCK	297	HCC	S	15,400	26.85	n/a	n/a	616.00	4.0
LATEFF MGMT	035	HD	S	150	35.94	n/a	16-Aug	37.50	25.0
MERRILL ASSET/BLACKROCK	297	HFC	S	16,000	31.15	n/a	n/a	640.00	4.0
LATEFF MGMT	035	HPQ	S	500	27.02	n/a	n/a	112.50	23.3
COLUMBUS CIRCLE	036	HS	S	5,197	54.07	n/a	n/a	207.88	4.0
CYPRESS CAP MGMT LLC	040	HTZ	S	31,600	11.80	n/a	n/a	1,264.00	4.0
BESSEMER INVESTMENT	085	IP	S	870	28.17	n/a	27-Oct	34.80	4.0
FRED ALGER MGMT	035	JNPR	B	190,050	24.93	n/a	n/a	6,841.80	3.6

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MFP INVESTORS	085	JNS	B	35,300	6.71	n/a	n/a	1,412.00	4.0
BESSEMER INVESTMENT	085	JPM	S	610	35.36	n/a	13-Oct	24.40	4.0
MACQUARIE INVESTMENT MGMT.	040	KEG	B	10,000	13.11	n/a	20-Sep	0.00	0.0
ROSEDALE CAPITAL	046	KEG	B	10,000	12.93	n/a	20-Sep	400.00	4.0
BESSEMER INVESTMENT	085	KFT	S	2,570	35.35	n/a	n/a	102.80	4.0
LATEFF MGMT	035	KFT	S	125	35.38	n/a	n/a	31.25	25.0
<b>f GAJANTHAN BALAKANES</b>	<b>FID</b>	<b>KRA</b>	<b>B</b>	<b>25</b>	<b>19.95</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
UBS OCONNOR	031	LAZ	S	40,000	27.45	n/a	27-Oct	1,200.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>LL</b>	<b>B</b>	<b>15,000</b>	<b>15.22</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>LL</b>	<b>B</b>	<b>50,000</b>	<b>15.09</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
FRED ALGER MGMT	035	LRCX	S	80,000	42.81	n/a	n/a	2,880.00	3.6
<b>B BUCK CAPITAL MGMT</b>		<b>LTD</b>	<b>S</b>	<b>50,000</b>	<b>43.01</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BRONSON POINT	036	LVS	B	5,000	47.50	n/a	13-Jun	150.00	3.0
BESSEMER INVESTMENT	085	MSFT	S	1,085	26.91	n/a	n/a	43.40	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>MSMSBCD</b>	<b>C</b>	<b>468,636</b>	<b>97.40</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.6</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MSMSBCD</b>	<b>SS</b>	<b>468,636</b>	<b>97.40</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>4,673,706</b>	<b>97.35</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.6</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>MSMSBCM</b>	<b>SS</b>	<b>4,673,706</b>	<b>97.35</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.0</b>
CRAMER ROSENTHAL/SCOTT	070	MWW	B	57,400	9.46	n/a	n/a	2,296.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>M</b>	<b>S</b>	<b>40,000</b>	<b>30.76</b>	<b>n/a</b>	<b>28-Oct</b>	<b>non-brg</b>	<b>4.0</b>
BESSEMER INVESTMENT	085	NOV	S	245	72.17	n/a	n/a	9.80	4.0
MELLON/BANK OF NEW YORK	046	NUE	S	5,000	38.00	n/a	n/a	200.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>NWY</b>	<b>S</b>	<b>32,100</b>	<b>2.70</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
LATEFF MGMT	035	OI	B	200	20.64	n/a	n/a	50.00	25.0
HUNTER GLOBAL INVESTOR	028	OSK	B	10,900	21.20	n/a	n/a	545.00	5.0
BESSEMER INVESTMENT	085	OXY	S	105	95.51	n/a	n/a	4.20	4.0
BESSEMER INVESTMENT	085	PFE	S	1,380	19.60	n/a	n/a	55.20	4.0
LATEFF MGMT	035	PFE	S	2,500	19.53	n/a	n/a	250.00	10.0
BESSEMER INVESTMENT	085	PG	S	420	64.46	n/a	28-Oct	16.80	4.0
FRED ALGER MGMT	035	PG	B	8,978	64.35	n/a	28-Oct	323.21	3.6
MERRILL ASSET/BLACKROCK	297	PRA	S	4,800	77.13	n/a	n/a	192.00	4.0
BESSEMER INVESTMENT	085	QCOM	S	230	52.47	n/a	n/a	9.20	4.0
RBC CAPITAL MARKETS	040	RCL	B	10,000	29.93	n/a	n/a	400.00	4.0
COLUMBUS CIRCLE	036	REXX	B	2,539	15.69	n/a	n/a	101.56	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MUHLENKAMP FUND	046	REXX	B	103,217	15.62	n/a	n/a	5,160.85	5.0
IMPALA ASSET MMT	040	RL	SS	20,000	161.20	n/a	21-Oct	1,000.00	5.0
<b>B</b> BUCK CAPITAL MGMT		<b>RUSHA</b>	<b>S</b>	<b>5,000</b>	<b>19.75</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> JOHN FRANCIS MCERLEA	<b>FID</b>	<b>RUSHA</b>	<b>S</b>	<b>500</b>	<b>19.73</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FRED ALGER MGMT	035	RVBD	S	44,850	28.06	n/a	n/a	1,614.60	3.6
FRED ALGER MGMT	035	SBUX	B	32,200	42.83	n/a	3-Oct	1,159.20	3.6
LATEFF MGMT	035	SFG	S	100	34.76	n/a	n/a	25.00	25.0
<b>B</b> BUCK CAPITAL MGMT		<b>SODA</b>	<b>S</b>	<b>3,200</b>	<b>34.31</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BNP PARIBAS SEC	040	SON	B	20,000	31.45	n/a	n/a	1,000.00	5.0
BESSEMER INVESTMENT	085	STJ	S	460	38.93	n/a	n/a	18.40	4.0
<b>f</b> EDWARD W WHEELER	<b>FID</b>	<b>STXS</b>	<b>B</b>	<b>10500</b>	<b>1.12</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FIRST NEW YORK NICK	029	S	S	5,000	2.57	n/a	n/a	250.00	5.0
<b>B</b> BUCK CAPITAL MGMT		<b>TEA</b>	<b>B</b>	<b>20,000</b>	<b>22.89</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
MERRILL ASSET/BLACKROCK	297	TRH	B	10,500	52.28	n/a	n/a	420.00	4.0
MELLON/BANK OF NEW YORK	046	TSM	S	23,500	12.63	n/a	n/a	940.00	4.0
SENATOR INVESTMENT GROUP	036	TXT	B	50,000	19.90	n/a	n/a	1,500.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B</b> BUCK CAPITAL MGMT		URBN	B	20,000	27.62	n/a	n/a	non-brg	4.0
<b>f</b> JASON ERIC COHEN	<b>FID</b>	URI	S	120	23.61	n/a	n/a	0.00	0.0
IMPALA ASSET MMT	040	VALE	SS	35,700	25.68	n/a	n/a	1,428.00	4.0
STRONG/MARK GRONET	030	WG	S	100,000	5.21	n/a	n/a	3,000.00	3.0
FRED ALGER MGMT	035	YHOO	S	250,000	15.68	n/a	n/a	9,000.00	3.6
LOCUS WOOD CAPITAL MGMT	044	YHOO	B	100,000	15.57	n/a	n/a	4,000.00	4.0
<b>f</b> ANTHONY SUTERA	<b>FID</b>		B	30000	76.11	n/a	n/a	0.00	0.0
<b>f</b> ANTHONY SUTERA	<b>FID</b>		S	25000	103.15	n/a	n/a	0.00	0.0
<b>f</b> DOUGLAS ROGERS	<b>FID</b>		B	75000	100.73	n/a	n/a	0.00	0.0
<b>TOTAL (Trade Date):</b>								<b>82,391.83</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/28	MELLON/BANK OF NEW YORK	046	CAH	S	57,623	45.66	n/a	n/a	2304.92 4.0
AO,	10/28	MELLON/BANK OF NEW YORK	046	CAH	S	57,623	45.66	n/a	n/a	2304.92 4.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>0.00</b>
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TOTAL (Trade Date) :	82,391.83
TOTAL (AO, CXL, CRT) :	0.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>82,391.83</b>
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
CRT	10/28	BUCK CAPITAL MGMT	KSS	SS	50,000	53.76	n/a 28-Oct	2000.00 4.0
CRT	10/28	BUCK CAPITAL MGMT	KSS	SS	40,000	52.72	n/a 28-Oct	1600.00 4.0

MRI Securities with Trade Activity on 31-Oct.

ARCO

MRI Securities without Trade Activity on 31-Oct.

LEA, SUP

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)**