



# Daily Compliance Activity Report

Trade Date: 01/17/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FRED ALGER MGMT	035	ACC	B	4,240	41.02	n/a	n/a	152.64	3.6
<b>B BUCK CAPITAL MGMT</b>		<b>ANF</b>	<b>SS</b>	<b>20,000</b>	<b>45.80</b>	<b>n/a</b>	<b>9-Jan</b>	<b>non-brg</b>	<b>4.0</b>
THE JAY GOLDMAN	028	ANF	SS	20,000	45.84	n/a	9-Jan	800.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>ANN</b>	<b>S</b>	<b>20,000</b>	<b>22.99</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
FRED ALGER MGMT	035	APKT	B	96,765	27.51	n/a	n/a	3,483.54	3.6
FRED ALGER MGMT	035	APKT	S	21,050	27.22	n/a	n/a	757.80	3.6
<b>f ALANA J A MADIGAN-SI</b>	<b>FID</b>	<b>ARCO</b>	<b>S</b>	<b>200</b>	<b>19.16</b>	<b>n/a</b>	<b>6-Jan</b>	<b>0.00</b>	<b>0.0</b>
FRED ALGER MGMT	035	A	B	9,370	40.26	n/a	n/a	337.32	3.6
<b>f ALANA J A MADIGAN-SI</b>	<b>FID</b>	<b>BAC</b>	<b>S</b>	<b>1000</b>	<b>6.64</b>	<b>n/a</b>	<b>6-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BBBY</b>	<b>B</b>	<b>20,000</b>	<b>59.85</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BBBY</b>	<b>B</b>	<b>20,000</b>	<b>59.85</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SIMMONS VENTURES	041	BID	SS	5,000	32.08	n/a	n/a	200.00	4.0
MOORE CAPITAL	041	BRCD	B	50,000	5.56	n/a	n/a	1,500.00	3.0
MILLRACE FUND LP	028	BWA	SS	7,000	74.00	n/a	6-Jan	280.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>BWLD</b>	<b>SS</b>	<b>50,000</b>	<b>64.70</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SAGE ASSET MGMT	025	BZ	B	72,600	7.80	n/a	n/a	2,904.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		CAKE	C	12,500	29.30	n/a	6-Jan	non-brg	2.0
⚡ BUCK CAPITAL MGMT		CAKE	C	12,500	29.30	n/a	6-Jan	non-brg	2.0
⚡ BUCK CAPITAL MGMT		CAKE	C	12,500	29.33	n/a	6-Jan	non-brg	4.0
⚡ BUCK CAPITAL MGMT		CAKE	C	12,500	29.33	n/a	6-Jan	non-brg	4.0
FRED ALGER MGMT	035	CAR	B	22,835	12.69	n/a	n/a	822.06	3.6
DAVIDSON INV ADV	035	CCL	B	40,500	29.66	n/a	n/a	1,620.00	4.0
CAXTON PART	040	CFX	B	25,000	32.96	n/a	n/a	875.00	3.5
FRED ALGER MGMT	035	CI	S	38,455	47.13	n/a	n/a	1,384.38	3.6
FRED ALGER MGMT	035	COH	S	9,440	62.55	n/a	9-Jan	339.84	3.6
FRED ALGER MGMT	035	CVS	B	28,855	42.51	n/a	n/a	1,038.78	3.6
f MICHAEL C PERILLO	FID	CWTR	B	1000	0.86	n/a	n/a	0.00	0.0
f ALANA J A MADIGAN-SI	FID	C	S	200	28.74	n/a	17-Jan	0.00	0.0
LATEFF MGMT	035	DAL	B	300	8.77	n/a	n/a	30.00	10.0
GOLD SACHS SPECIAL SIT	030	DAN	S	70,400	14.75	n/a	13-Jan	3,520.00	5.0
MORTAR ROCK	033	DAN	S	37,500	14.34	n/a	13-Jan	1,500.00	4.0
CATAPULT	040	DD	SS	5,000	48.70	n/a	6-Jan	200.00	4.0
f MANNY I KORMAN	FID	DD	B	2000	48.68	n/a	6-Jan	0.00	0.0
⚡ BUCK CAPITAL MGMT		DECK	C	50,000	85.26	n/a	n/a	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BRONSON POINT	036	DHR	S	50,000	50.92	n/a	n/a	1,500.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>DKS</b>	<b>S</b>	<b>20,000</b>	<b>40.25</b>	<b>n/a</b>	<b>12-Jan</b>	<b>non-brg</b>	<b>4.0</b>
OHIO PERS	047	DRQ	S	8,379	64.26	n/a	n/a	251.37	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>DSW</b>	<b>B</b>	<b>30,000</b>	<b>47.46</b>	<b>n/a</b>	<b>11-Feb</b>	<b>non-brg</b>	<b>4.0</b>
LATEFF MGMT	035	DVN	B	900	63.51	n/a	6-Jan	90.00	10.0
FRED ALGER MGMT	035	EBAY	S	60,790	30.71	n/a	n/a	2,188.44	3.6
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>EFA</b>	<b>S</b>	<b>1000</b>	<b>50.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MATTHEW FRANCIS BUCK</b>	<b>FID</b>	<b>EFA</b>	<b>S</b>	<b>150</b>	<b>50.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LATEFF MGMT	035	ENR	S	300	77.32	n/a	9-Jan	45.00	15.0
LATEFF MGMT	035	FDX	S	500	90.13	n/a	n/a	90.00	22.5
LATEFF MGMT	035	FL	S	200	24.67	n/a	9-Jan	30.00	15.0
ARSENAL ASSET MANAGEMENT	028	FMC	S	5,000	90.25	n/a	8-Dec	200.00	4.0
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>FOR</b>	<b>B</b>	<b>800</b>	<b>15.09</b>	<b>n/a</b>	<b>3-Nov</b>	<b>0.00</b>	<b>0.0</b>
MA CAPITAL MGMT/MELLON ADV041	FRED		SS	10,000	14.23	n/a	n/a	400.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>GIII</b>	<b>B</b>	<b>17,700</b>	<b>21.88</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GIII</b>	<b>B</b>	<b>17,700</b>	<b>21.88</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		GIL	S	20,000	21.36	n/a	9-Jan	non-brg	4.0
ß BUCK CAPITAL MGMT		GIL	S	30,000	21.36	n/a	9-Jan	non-brg	4.0
ß BUCK CAPITAL MGMT		GIL	S	30,000	21.36	n/a	9-Jan	non-brg	4.0
BNP PARIBAS SEC	040	GM	SS	40,000	24.20	n/a	6-Jan	2,000.00	5.0
FIRST NY SEC/CHRIS	041	GM	SS	50,000	24.20	n/a	6-Jan	2,500.00	5.0
MACQUARIE INVESTMENT MGMT.	040	GM	SS	20,000	24.25	n/a	6-Jan	0.00	0.0
DAVIDSON INV ADV	035	GOOG	S	3,391	628.56	n/a	n/a	135.64	4.0
SANDLER O'NEILL ASSET	031	GS	S	95,000	98.57	n/a	6-Jan	4,750.00	5.0
ß BUCK CAPITAL MGMT		HAS	C	100,000	33.18	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	HBC	B	5000	39.48	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		HBI	B	27,700	23.02	n/a	9-Jan	non-brg	4.0
ß BUCK CAPITAL MGMT		HBI	B	32,600	23.02	n/a	9-Jan	non-brg	4.0
ß BUCK CAPITAL MGMT		HBI	B	32,700	23.02	n/a	9-Jan	non-brg	4.0
f MARK MEGALLI	FID	HMIN	S	2000	27.42	n/a	n/a	0.00	0.0
BRONSON POINT	036	HON	S	50,000	57.19	n/a	9-Jan	1,500.00	3.0
LATEFF MGMT	035	HON	S	150	57.13	n/a	9-Jan	30.00	20.0
LATEFF MGMT	035	HPQ	B	1,450	26.54	n/a	n/a	167.50	13.3
ß BUCK CAPITAL MGMT		IP	S	25,000	31.65	n/a	27-Oct	non-brg	4.0
CSFB GLOBAL PROPRIETARY	041	IP	B	50,000	31.69	n/a	27-Oct	2,500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DEVENNY CAP LLC	044	IP	B	20,000	31.68	n/a	27-Oct	600.00	3.0
ELM RIDGE ADVISORS	044	IP	S	295,642	31.77	n/a	27-Oct	11,825.68	4.0
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>IWM</b>	<b>B</b>	<b>4</b>	<b>1.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>JCI</b>	<b>B</b>	<b>5000</b>	<b>35.51</b>	<b>n/a</b>	<b>4-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JWN</b>	<b>SS</b>	<b>50,000</b>	<b>49.02</b>	<b>n/a</b>	<b>9-Jan</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JWN</b>	<b>SS</b>	<b>50,000</b>	<b>49.02</b>	<b>n/a</b>	<b>9-Jan</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>KBH</b>	<b>S</b>	<b>15,000</b>	<b>9.08</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
ROSEDALE CAPITAL	046	KEG	S	40,000	14.49	n/a	6-Jan	1,600.00	4.0
NEWLAND CAPITAL MGT	025	KGC	S	15,000	11.66	n/a	n/a	600.00	4.0
COBALT	041	LEA	B	100,000	42.01	n/a	6-Jan	4,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>LIZ</b>	<b>S</b>	<b>100,000</b>	<b>9.14</b>	<b>n/a</b>	<b>7-Oct</b>	<b>non-brg</b>	<b>3.0</b>
CSFB GLOBAL PROPRIETARY	041	LPX	SS	30,000	8.98	n/a	7-Nov	1,500.00	5.0
FRED ALGER MGMT	035	LRCX	B	5,745	39.54	n/a	n/a	206.82	3.6
SCOPUS FUND	041	LULU	B	15,000	62.12	n/a	10-Jan	600.00	4.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>MMM</b>	<b>B</b>	<b>2000</b>	<b>84.79</b>	<b>n/a</b>	<b>3-Jan</b>	<b>0.00</b>	<b>0.0</b>
LATEFF MGMT	035	MSFT	S	450	28.31	n/a	n/a	45.00	10.0
TRUSTCO/SUNTRUST	040	MSFT	S	65,984	28.58	n/a	n/a	2,309.48	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		MSMSBCM	C	1,027,847	97.30	n/a	n/a	non-brg	0.3
⌘ BUCK CAPITAL MGMT		MSMSBCM	C	1,027,847	97.30	n/a	n/a	non-brg	0.3
⌘ BUCK CAPITAL MGMT		MSMSBCM	C	50,000	97.30	n/a	n/a	non-brg	0.3
⌘ BUCK CAPITAL MGMT		MSMSBCM	SS	1,027,847	97.30	n/a	n/a	non-brg	0.0
⌘ BUCK CAPITAL MGMT		MSMSBCM	SS	1,027,847	97.30	n/a	n/a	non-brg	0.0
⌘ BUCK CAPITAL MGMT		MSMSBCM	SS	50,000	97.30	n/a	n/a	non-brg	0.0
⌘ BUCK CAPITAL MGMT		MTH	S	5,000	25.58	n/a	n/a	non-brg	0.8
ROYCE TRADING	031	MTX	B	5,523	61.76	n/a	n/a	276.15	5.0
CATAPULT	040	MWV	SS	10,000	31.66	n/a	26-Oct	400.00	4.0
CSFB GLOBAL PROPRIETARY	041	MWV	SS	4,190	31.48	n/a	26-Oct	209.50	5.0
CSFB GLOBAL PROPRIETARY	041	MWV	S	10,810	31.44	n/a	26-Oct	540.50	5.0
SONTERRA CAP	041	NBR	S	50,000	17.28	n/a	n/a	2,000.00	4.0
DAVIDSON INV ADV	035	NKE	S	13,490	99.10	n/a	9-Jan	539.60	4.0
FIRST NEW YORK LEDDY	035	NOK	B	20,000	5.51	n/a	n/a	800.00	4.0
GEOSPHERE CAPITAL MGMT	084	NSC	SS	33,000	76.25	n/a	n/a	990.00	3.0
LATEFF MGMT	035	NUE	S	500	41.88	n/a	n/a	50.00	10.0
LATEFF MGMT	035	NYB	S	150	13.19	n/a	5-Jan	30.00	20.0
FRED ALGER MGMT	035	OPEN	S	68,500	47.26	n/a	n/a	2,466.00	3.6
⌘ BUCK CAPITAL MGMT		PCLN	SS	1,000	492.08	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEFF MGMT	035	PFE	S	300	21.99	n/a	n/a	45.00	15.0
<b>B BUCK CAPITAL MGMT</b>		<b>PHM</b>	<b>S</b>	<b>135,700</b>	<b>7.50</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
STANDARD PACIFIC CAPITAL	084	PHM	B	300,000	7.49	n/a	n/a	12,000.00	4.0
BNP PARIBAS SEC	040	PLCE	SS	15,000	50.11	n/a	5-Jan	750.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>PLCE</b>	<b>B</b>	<b>30,000</b>	<b>49.95</b>	<b>n/a</b>	<b>5-Jan</b>	<b>non-brg</b>	<b>4.0</b>
DENVER INST. ADV	046	PLCE	B	57,006	50.10	n/a	5-Jan	2,280.24	4.0
FRED ALGER MGMT	035	PM	S	5,245	76.93	n/a	n/a	188.82	3.6
CATAPULT	040	PPG	SS	5,000	88.03	n/a	14-Dec	200.00	4.0
ASCEND PARTNERS	033	PVH	B	54,794	75.02	n/a	12-Jan	1,643.82	3.0
MTB INV ADV	034	QLTY	S	12,389	12.03	n/a	n/a	498.45	4.5
FRED ALGER MGMT	035	RCL	S	3,375	27.48	n/a	n/a	121.50	3.6
<b>f PATRICK O'GRADY</b>	<b>FID</b>	<b>REVV</b>	<b>B</b>	<b>5000</b>	<b>0.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CSFB GLOBAL PROPRIETARY	041	RKT	B	15,000	66.05	n/a	5-Jan	750.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>RL</b>	<b>SS</b>	<b>10,000</b>	<b>142.24</b>	<b>n/a</b>	<b>9-Jan</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>RL</b>	<b>SS</b>	<b>10,000</b>	<b>142.24</b>	<b>n/a</b>	<b>9-Jan</b>	<b>non-brg</b>	<b>4.0</b>
NOMURA CAPITAL	029	RRD	B	21,600	12.16	n/a	n/a	648.00	3.0
COHE & STEERS	041	RYN	S	749	46.02	n/a	26-Oct	29.96	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEWLAND CAPITAL MGT	025	SEE	S	25,000	19.00	n/a	2-Jun	1,000.00	4.0
<b>f ALANA J A MADIGAN-SI</b>	<b>FID</b>	<b>SOXL</b>	<b>S</b>	<b>485</b>	<b>31.17</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SUMR</b>	<b>B</b>	<b>50,000</b>	<b>4.95</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
LATEFF MGMT	035	SYX	S	300	29.97	n/a	n/a	30.00	10.0
<b>B BUCK CAPITAL MGMT</b>		<b>TEA 2 C22.5</b>	<b>C</b>	<b>499</b>	<b>0.15</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>100.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>TEA 2 C22.5</b>	<b>C</b>	<b>501</b>	<b>0.15</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>100.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>TEA</b>	<b>S</b>	<b>48,945</b>	<b>17.28</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>TEA</b>	<b>S</b>	<b>48,945</b>	<b>17.28</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
MTB INV ADV	034	TEN	S	7,200	30.21	n/a	n/a	288.00	4.0
FRED ALGER MGMT	035	THRX	B	14,310	18.26	n/a	n/a	515.16	3.6
DENVER INST. ADV	046	TJX	S	157,033	66.01	n/a	9-Jan	6,281.32	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>TOL</b>	<b>S</b>	<b>65,000</b>	<b>22.43</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>TPX</b>	<b>S</b>	<b>20,000</b>	<b>57.52</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
LATEFF MGMT	035	UAL	B	200	18.38	n/a	n/a	30.00	15.0
<b>B BUCK CAPITAL MGMT</b>		<b>ULTA</b>	<b>S</b>	<b>20,000</b>	<b>74.19</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
LATEFF MGMT	035	WMT	S	500	59.78	n/a	16-Nov	50.00	10.0



Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLUMBUS CIRCLE	036	WPI	S	3,190	57.95	n/a	17-Jan	127.60	4.0
<b>f ALEXANDRA ELISE ZOLI</b>	<b>FID</b>	<b>WYNN</b>	<b>B</b>	<b>55</b>	<b>111.46</b>	<b>n/a</b>	<b>13-Jun</b>	<b>0.00</b>	<b>0.0</b>
CSFB GLOBAL PROPRIETARY	041	WY	S	45,000	20.70	n/a	28-Oct	2,250.00	5.0
<b>f JOHN BARTMAN COLE</b>	<b>FID</b>	<b>XPO</b>	<b>B</b>	<b>176</b>	<b>11.51</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>TOTAL (Trade Date):</b>							<b>101,439.91</b>		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	01/13	COLUMBUS CIRCLE	036	BAS	S	8,011	18.10	n/a	n/a	320.44	4.0
AO,CXL	01/10	MERRILL ASSET/BLACKROCK	297	SPN	S	8,231	30.71	n/a	n/a	329.24	4.0
AO,CRT	01/10	MERRILL ASSET/BLACKROCK	297	SPN	S	8,231	30.71	n/a	n/a	329.24	4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>320.44</b>	

TOTAL (Trade Date) :	101,439.91
TOTAL (AO, CXL, CRT) :	320.44

<b>TOTAL (RUN DATE) / NFS:</b>	<b>101,760.35</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 17-Jan.  
NONE

MRI Securities without Trade Activity on 17-Jan.  
PX

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 0%  
YTD = 0%

<b><u>Legend:</u></b>
<b>Õ: Employee Trades in Outside Accounts</b>
<b>ß: Non-BRG BCM Trades</b>
[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)