



Daily Compliance Activity Report

Trade Date: 10/12/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	ABT	B	1,000	52.41	n/a	n/a	30.00	3.0
TALPION LLC	040	ABVT	S	2,585	59.00	n/a	n/a	103.40	4.0
SIMMONS VENTURES	041	AEO	SS	5,000	12.49	n/a	25-Aug	200.00	4.0
EPOCH INV MGMT	030	AET	B	1,300	37.64	n/a	n/a	39.00	3.0
B BUCK CAPITAL MGMT		ALTR	B	5,000	34.78	n/a	n/a	non-brg	4.0
EPOCH INV MGMT	030	AMAT	B	2,100	11.34	n/a	n/a	63.00	3.0
EPOCH INV MGMT	030	AMP	B	1,100	43.31	n/a	n/a	33.00	3.0
B BUCK CAPITAL MGMT		ANN	B	20,000	24.65	n/a	n/a	non-brg	4.0
EPOCH INV MGMT	030	AXP	B	600	47.39	n/a	12-Oct	18.00	3.0
EPOCH INV MGMT	030	BA	B	950	64.48	n/a	6-Oct	28.50	3.0
PRIMECAP MGMT	084	BBBY	S	5,000	60.10	n/a	n/a	200.00	4.0
EPOCH INV MGMT	030	BEN	B	200	98.12	n/a	2-Mar	6.00	3.0
EPOCH INV MGMT	030	BLK	B	150	157.76	n/a	n/a	4.50	3.0
f KAREN F LEDDY	FID	BONT	B	1000	4.78	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		BWA	SS	10,000	68.89	n/a	29-Jul	non-brg	4.0
KACELA CAPITAL	034	BWA	SS	20,000	69.02	n/a	29-Jul	800.00	4.0
MERRILL ASSET/BLACKROCK	297	CBG	B	5,000	14.29	n/a	n/a	200.00	4.0
LATEFF MGMT	035	CBL	B	2,500	12.67	n/a	n/a	175.00	7.0
HAMILTON CAP PART FIN	031	CBSH	B	3,090	38.71	n/a	n/a	123.60	4.0
BASIX	033	CE	S	10,000	40.02	n/a	20-May	300.00	3.0
EPOCH INV MGMT	030	CIT	B	600	32.91	n/a	4-Oct	18.00	3.0
EPOCH INV MGMT	030	CL	B	300	91.47	n/a	29-Sep	9.00	3.0
NEWLAND CAPITAL MGT	025	CNW	S	30,000	25.25	n/a	n/a	1,200.00	4.0
EPOCH INV MGMT	030	COP	B	350	68.23	n/a	n/a	10.50	3.0
B BUCK CAPITAL MGMT		CROX	B	50,000	26.88	n/a	n/a	non-brg	4.0
CYPRESS CAP MGMT LLC	040	CROX	S	16,600	26.33	n/a	n/a	664.00	4.0
NORTHWESTERN MUTUAL LIFE	047	CRR	S	2,400	116.53	n/a	11-Jan	96.00	4.0
DARUMA ASSET MGMT INC	046	CSGP	S	18,010	54.08	n/a	n/a	720.40	4.0
LISTED ERR	097	CSGP	S	91	54.08	n/a	n/a	0.00	0.0
LISTED ERR	099	CSGP	B	91	54.05	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	CTL	B	1,050	34.49	n/a	n/a	31.50	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f ANN M GAULT	FID	CXS	S	1000	9.07	n/a	n/a	0.00	0.0
f KEVIN MICHAEL O'GORM	FID	C	B	1200	29.46	n/a	7-Oct	0.00	0.0
Õ Nilsa Vazquez		C	S	100	29.31	n/a	7-Oct	0.00	0.0
OZ MGMT	040	C	S	124,400	29.44	n/a	7-Oct	3,732.00	3.0
EPOCH INV MGMT	030	DD	B	750	44.23	n/a	12-Oct	22.50	3.0
f MARC PAUL LUCHANSKY	FID	DD	B	300	44.27	n/a	12-Oct	0.00	0.0
B BUCK CAPITAL MGMT		DECK 12 C115	SS	300	6.40	n/a	n/a	non-brg	300.0
B BUCK CAPITAL MGMT		DECK	S	10,000	107.05	n/a	n/a	non-brg	4.0
EPOCH INV MGMT	030	DELL	B	2,600	16.27	n/a	n/a	78.00	3.0
EPOCH INV MGMT	030	DE	B	250	71.36	n/a	14-Sep	7.50	3.0
EPOCH INV MGMT	030	DHR	B	1,200	45.33	n/a	n/a	36.00	3.0
TALPION LLC	040	DHR	SS	697	45.44	n/a	n/a	27.88	4.0
BESSEMER INVESTMENT	085	DIS	S	4,345	32.84	n/a	n/a	173.80	4.0
KACELA CAPITAL	034	DSW	B	29,428	51.22	n/a	11-Feb	1,177.12	4.0
EPOCH INV MGMT	030	DVA	B	800	63.79	n/a	n/a	24.00	3.0
PRIMECAP MGMT	084	ERIC	S	8,000	10.55	n/a	n/a	320.00	4.0
f KAREN F LEDDY	FID	FCH	B	1500	2.56	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AVESTA CAP	229	FDX	C	50,000	74.90	n/a	n/a	1,500.00	3.0
TALPION LLC	040	FLS	SS	336	85.22	n/a	n/a	13.44	4.0
f WILLIAM J GAULT	FID	FOR	S	2000	12.11	n/a	11-Oct	0.00	0.0
MACQUARIE INVESTMENT MGMT.	040	FRX	S	5,000	32.26	n/a	10-Oct	0.00	0.0
BESSEMER INVESTMENT	085	GE	S	4,031	16.30	n/a	n/a	161.24	4.0
B BUCK CAPITAL MGMT		GIII 12 C30	SS	2,000	1.50	n/a	n/a	non-brg	300.0
LEVIN CAPITAL STRATEGIES	041	GM	S	25,000	23.66	n/a	4-Oct	750.00	3.0
SURSUM CAPITAL	215	HAL	S	100,000	35.38	n/a	n/a	3,000.00	3.0
SONTERRA CAP	041	HOG	S	100,000	36.60	n/a	n/a	4,000.00	4.0
BESSEMER INVESTMENT	085	HON	S	1,000	47.90	n/a	7-Oct	40.00	4.0
CHALSON/MILLENIUM	041	HOT	B	15,000	45.97	n/a	13-Jun	600.00	4.0
DELTEC ASSET MGMT.	040	HPQ	B	15,000	26.18	n/a	n/a	750.00	5.0
COLUMBUS CIRCLE	036	HPY	B	4,400	20.67	n/a	n/a	157.68	3.0
TALPION LLC	040	IEX	SS	860	33.40	n/a	n/a	34.40	4.0
B BUCK CAPITAL MGMT		IPHI	B	15,000	10.34	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BMO NESBITT BURNS	041	IP	B	2,000	25.50	n/a	11-Oct	80.00	4.0
RIDGECREST INV MGMT LLC	028	IP	B	20,000	25.90	n/a	11-Oct	1,000.00	5.0
RIDGECREST INV MGMT LLC	028	JCI	B	7,500	31.76	n/a	5-Oct	375.00	5.0
EGS ASSOCIATES LP	091	JNY	B	1,400	10.62	n/a	28-Jul	84.00	6.0
B BUCK CAPITAL MGMT		JOSE	B	30,000	50.43	n/a	n/a	non-brg	4.0
f JONATHAN RICHARD HAR	FID	KEG	B	1250	11.02	n/a	20-Sep	0.00	0.0
f KAREN F LEDDY	FID	KEG	B	900	10.95	n/a	20-Sep	0.00	0.0
MACQUARIE INVESTMENT MGMT.	040	KEG	B	10,000	10.83	n/a	20-Sep	0.00	0.0
ROSEDALE CAPITAL	046	KEG	B	50,000	10.87	n/a	20-Sep	2,000.00	4.0
LEVIN CAPITAL STRATEGIES	041	KKR	C	100,000	12.16	n/a	n/a	3,000.00	3.0
LATEFF MGMT	035	KMB	S	150	72.13	n/a	25-Jul	37.50	25.0
STANDARD PACIFIC CAPITAL	084	KMX	B	150,000	28.27	n/a	n/a	7,500.00	5.0
B BUCK CAPITAL MGMT		KNXA	B	7,500	20.20	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		KNX	S	50,000	14.88	n/a	n/a	non-brg	4.0
SANDLER O'NEILL ASSET	031	LAZ	S	24,800	24.87	n/a	7-Oct	1,240.00	5.0
f CHRISTOPHER ARTHUR K	FID	LEA	S	250	47.87	n/a	5-Aug	0.00	0.0
LEVIN CAPITAL STRATEGIES	041	LEA	B	15,000	48.34	n/a	5-Aug	450.00	3.0
TALPION LLC	040	LLL	SS	535	68.04	n/a	n/a	21.40	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TALPION LLC	040	LMT	SS	477	76.45	n/a	26-Sep	19.08	4.0
f DAVID GEORGE BUCK	FID	LNCR	B	2000	22.36	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		LSTZA	B	100,000	62.25	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		LTD 11 C45	SS	1,000	1.05	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		LTD	S	30,000	41.91	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		LTD	S	50,000	41.87	n/a	n/a	non-brg	4.0
CHALSON/MILLENium	041	MAR	B	30,000	30.48	n/a	13-Jun	1,200.00	4.0
THRIVENT ASSET MGMT	030	MCD	B	167,100	88.81	n/a	3-Oct	6,684.00	4.0
CHALSON/MILLENium	041	MGM	B	25,000	10.22	n/a	13-Jun	1,000.00	4.0
f MARC PAUL LUCHANSKY	FID	MMM	B	200	78.99	n/a	7-Sep	0.00	0.0
ß BUCK CAPITAL MGMT		MPEL	S	100,000	10.61	n/a	13-Jun	non-brg	4.0
ß BUCK CAPITAL MGMT		MSMSBCD	C	491,310	91.85	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		MSMSBCD	SS	491,310	91.85	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		MSMSBCM	C	5,114,817	91.80	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		MSMSBCM	SS	5,114,817	91.80	n/a	n/a	non-brg	0.0
RIDGECREST INV MGMT LLC	028	MWV	S	15,000	26.92	n/a	11-Oct	750.00	5.0
SIMMONS VENTURES	041	M	SS	7,500	28.13	n/a	7-Oct	300.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MACQUARIE INVESTMENT MGMT.	040	NDN	S	30,000	21.39	n/a	11-Oct	0.00	0.0
TWIN CAPITAL	041	NDN	S	19,558	21.39	n/a	11-Oct	586.74	3.0
f ANN M GAULT	FID	NLY	S	400	15.76	n/a	n/a	0.00	0.0
f WILLIAM J GAULT	FID	NLY	S	2500	15.76	n/a	n/a	0.00	0.0
TALPION LLC	040	NOC	SS	658	55.39	n/a	26-Sep	26.32	4.0
DEVENNY CAP LLC	044	PAG	SS	5,000	18.98	n/a	22-Jul	150.00	3.0
TALPION LLC	040	PH	SS	393	73.02	n/a	14-Sep	15.72	4.0
BMO NESBITT BURNS	041	PKG	B	2,000	25.31	n/a	11-Oct	80.00	4.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	50,000	25.36	n/a	11-Oct	2,500.00	5.0
B BUCK CAPITAL MGMT		PLCE	S	50,000	48.75	n/a	18-Aug	non-brg	4.0
TALPION LLC	040	PLL	SS	1,682	47.48	n/a	n/a	67.28	4.0
TALPION LLC	040	PNR	SS	2,083	36.07	n/a	n/a	83.32	4.0
SCOPUS FUND	041	POT	S	24,900	48.68	n/a	n/a	996.00	4.0
SONTERRA CAP	041	PSS	B	10,000	14.71	n/a	n/a	400.00	4.0
CHALSON/MILLENIUM	041	PVH	B	15,000	67.31	n/a	1-Sep	600.00	4.0
ENTRUST CAPITAL	040	PVH	B	45,400	67.22	n/a	1-Sep	2,270.00	5.0
COOKBIELER	028	RKT	B	40,000	53.76	n/a	11-Oct	1,600.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
IMPALA ASSET MMT	040	RRR	B	120,000	9.18	n/a	14-Sep	2,400.00	2.0
DEVENNY CAP LLC	044	RTN	S	5,000	42.77	n/a	26-Sep	150.00	3.0
TALPION LLC	040	RTN	SS	860	42.40	n/a	26-Sep	34.40	4.0
B BUCK CAPITAL MGMT		R	B	17,500	42.96	n/a	n/a	non-brg	4.0
f KEVIN MICHAEL O'GORM	FID	SCHW	B	2000	12.40	n/a	n/a	0.00	0.0
CATAPULT	040	SFY	S	25,000	25.41	n/a	n/a	1,000.00	4.0
B BUCK CAPITAL MGMT		SHLD	C	20,000	70.46	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		SHLD	C	40,000	71.82	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		SHLD	C	5,000	73.59	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		SHOO	B	10,000	34.54	n/a	n/a	non-brg	4.0
f KAREN F LEDDY	FID	SLB	B	200	67.98	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	SLM	B	1000	13.98	n/a	6-Oct	0.00	0.0
NEWLAND CAPITAL MGT	025	SOA	S	30,000	15.21	n/a	n/a	1,200.00	4.0
TALPION LLC	040	SPW	SS	556	51.76	n/a	n/a	22.24	4.0
B BUCK CAPITAL MGMT		STI	B	15,000	19.35	n/a	n/a	non-brg	4.0
DELTEC ASSET MGMT.	040	TEN	B	10,000	31.48	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		TER	B	12,000	12.80	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ADAGE CAPITAL MGMT	030	TGT	B	108,355	53.32	n/a	6-Oct	3,250.65	3.0
FARALLON CAP MGMT	040	TGT	S	150,000	53.19	n/a	6-Oct	6,000.00	4.0
HIGHBRIDGE CAP	041	TGT	B	5,000	53.33	n/a	6-Oct	150.00	3.0
KACELA CAPITAL	034	TOL	B	158,000	15.94	n/a	n/a	6,320.00	4.0
LATEFF MGMT	035	TSN	S	300	18.59	n/a	n/a	39.00	13.0
B BUCK CAPITAL MGMT		UA	SS	50,000	74.29	n/a	27-Jul	non-brg	4.0
f DAVID GEORGE BUCK	FID	UNH	S	10	1.02	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	297	UPL	B	11,700	28.89	n/a	12-Oct	468.00	4.0
B BUCK CAPITAL MGMT		URBN	SS	20,200	24.70	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	USB	B	3000	24.76	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	UTX	S	1,200	74.12	n/a	n/a	48.00	4.0
f EDWARD W WHEELER	FID	VE	S	52	1.75	n/a	n/a	0.00	0.0
BNP PARIBAS SEC	040	WRC	S	15,000	47.55	n/a	2-Aug	750.00	5.0
B BUCK CAPITAL MGMT		WYNN	SS	20,000	137.71	n/a	13-Jun	non-brg	4.0
BMO NESBITT BURNS	041	XLB	S	2,000	32.78	n/a	n/a	80.00	4.0
HAMILTON CAP PART FIN	031	XLF	SS	30,000	12.76	n/a	n/a	900.00	3.0

TOTAL (Trade Date):

80,107.61

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	10/05	MERRILL ASSET/BLACKROCK	297	ACE	B	2,800	59.43	n/a	n/a	112.00 4.0
AO,CRT	10/05	MERRILL ASSET/BLACKROCK	297	ACE	B	2,800	59.43	n/a	n/a	112.00 4.0
AO,	10/11	COLUMBUS CIRCLE	036	CLH	B	543	52.17	n/a	n/a	21.72 4.0
AO,CRT	10/11	DARUMA ASSET MGMT INC	046	CSGP	S	190	52.39	n/a	n/a	7.60 4.0
AO,CXL	10/11	DARUMA ASSET MGMT INC	046	CSGP	S	190	52.39	n/a	n/a	7.60 4.0
AO,CRT	10/11	BROADARCH CAP/OLD NEWC	070	ETN	S	1,000	40.45	n/a	31-Aug	40.00 4.0
AO,CXL	10/11	BROADARCH CAP/OLD NEWC	070	ETN	S	1,000	40.45	n/a	31-Aug	0.00 0.0
TOTAL (AO, CXL, CRT) :										61.72

TOTAL (Trade Date) :	80,107.61
TOTAL (AO, CXL, CRT) :	61.72

TOTAL (RUN DATE) / NFS :	80,169.33
---------------------------------	------------------

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
------	------	---------	--------	-----	--------	-------	--------------	-------------

MRI Securities with Trade Activity on 12-Oct.
NONE

MRI Securities without Trade Activity on 12-Oct.
NONE

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)