



Daily Compliance Activity Report

Trade Date: 10/14/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	297	AFG	S	13,300	32.69	n/a	n/a	532.00	4.0
OHIO PERS	047	AKAM	B	63,000	24.11	n/a	n/a	1,890.00	3.0
B BUCK CAPITAL MGMT		APC	S	8,400	68.41	n/a	12-Oct	non-brg	4.0
CASTLE ARK	031	APC	B	111,040	69.76	n/a	12-Oct	5,552.00	5.0
NORTHWESTERN MUTUAL LIFE	047	ARG	B	46,600	68.72	n/a	20-Sep	1,864.00	4.0
B BUCK CAPITAL MGMT		ARO	SS	50,000	13.06	n/a	19-Aug	non-brg	4.0
SMITH MGMT LLC	029	AXL	S	139,715	9.05	n/a	1-Aug	4,191.45	3.0
f KAREN F LEDDY	FID	BEE	B	745	4.75	n/a	n/a	0.00	0.0
f MARK MEGALLI	FID	BJRI	S	1000	47.83	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	CAT	B	40	1.28	n/a	14-Sep	0.00	0.0
MERRILL ASSET/BLACKROCK	297	COG	S	16,420	65.36	n/a	12-Oct	656.80	4.0
B BUCK CAPITAL MGMT		CROX	B	20,000	27.01	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CSTR	S	15,000	53.45	n/a	n/a	non-brg	4.0
HAMILTON CAP PART FIN	031	C	B	10,000	28.05	n/a	7-Oct	400.00	4.0
B BUCK CAPITAL MGMT		DHI	S	70,000	9.93	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f DAVID GEORGE BUCK	FID	DIS	S	45	0.66	n/a	n/a	0.00	0.0
MA CAPITAL MGMT/MELLON ADV041	DPZ	B	5,000	28.43	n/a	14-Oct	250.00	5.0	
OHIO PERS	047	EBAY	B	70,000	33.50	n/a	n/a	2,100.00	3.0
f DAVID GEORGE BUCK	FID	EFA	S	15	0.39	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ESV	S	28,000	45.19	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		EXPR	S	30,000	22.32	n/a	n/a	non-brg	4.0
f JOSEPH CIRO AMATURO	FID	FAZ	B	1000	51.50	n/a	n/a	0.00	0.0
f PATRICK O'GRADY	FID	FDS	S	14	95.69	n/a	n/a	0.00	0.0
f SARA J SCHWARZWALDER	FID	FEMKX	S	1001	21.62	n/a	n/a	0.00	0.0
HAMILTON CAP PART FIN	031	FHN	B	50,000	6.55	n/a	n/a	1,500.00	3.0
MACQUARIE INVESTMENT MGMT.	040	FINL	B	5,000	21.20	n/a	23-Sep	0.00	0.0
ROYCE TRADING	031	FINL	B	2,000	21.01	n/a	23-Sep	100.00	5.0
B BUCK CAPITAL MGMT		FOR	S	1,500	12.04	n/a	11-Oct	non-brg	4.0
B BUCK CAPITAL MGMT		FOR	S	40,100	12.03	n/a	11-Oct	non-brg	2.5
f SARA J SCHWARZWALDER	FID	FSEMXX	B	617	35.10	n/a	n/a	0.00	0.0
f MITCHELL JAMES SPEIS	FID	FSNXX	B	10000	1.00	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		GCO 11 C60	SS	500	2.37	n/a	n/a	non-brg	300.0
B BUCK CAPITAL MGMT		GCO 12 C60	SS	500	3.73	n/a	n/a	non-brg	300.0
B BUCK CAPITAL MGMT		GES	B	25,000	31.83	n/a	25-Aug	non-brg	4.0
BRONSON POINT	036	GE	B	100,000	16.54	n/a	n/a	3,000.00	3.0
LEVIN CAPITAL STRATEGIES	041	GM	S	30,000	23.56	n/a	4-Oct	900.00	3.0
OZ MGMT	040	GM	C	30,000	23.90	n/a	4-Oct	900.00	3.0
TUDOR INVESTORS	028	HBI	B	25,000	26.36	n/a	21-Jul	750.00	3.0
MERRILL ASSET/BLACKROCK	297	HFC	S	54,800	34.67	n/a	n/a	2,192.00	4.0
CAMBIAR CAP	046	HSP	B	92,170	37.97	n/a	13-Oct	3,686.80	4.0
MILLENNIUM-ANDEW	031	HYG	B	58,000	86.18	n/a	n/a	2,900.00	5.0
NEW JERSEY DIV OF INV.	030	IJR	S	67,000	64.66	n/a	n/a	2,680.00	4.0
OHIO PERS	047	JNPR	B	44,000	21.11	n/a	n/a	1,320.00	3.0
CAERUS GLOBAL	041	JNY	B	37,400	10.67	n/a	28-Jul	1,496.00	4.0
EGS ASSOCIATES LP	091	JNY	B	3,000	10.49	n/a	28-Jul	120.00	4.0
B BUCK CAPITAL MGMT		JOSB	B	20,000	50.05	n/a	n/a	non-brg	4.0
f JONATHAN RICHARD HAR	FID	KEG	B	250	11.30	n/a	20-Sep	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVIN CAPITAL STRATEGIES	041	LEA	B	10,000	48.37	n/a	5-Aug	300.00	3.0
ß BUCK CAPITAL MGMT		LEN	S	60,000	15.26	n/a	n/a	non-brg	4.0
f EDWARD W WHEELER	FID	LIFE	B	5000	37.83	n/a	n/a	0.00	0.0
CATAPULT	040	LINE	S	25,000	37.47	n/a	n/a	1,000.00	4.0
f JOHN MICHAEL ZOLIDIS	FID	LIZ	B	1000	7.60	n/a	7-Oct	0.00	0.0
OZ MGMT	040	MGA	SS	50,000	37.22	n/a	n/a	1,500.00	3.0
ß BUCK CAPITAL MGMT		MSMSBCD	C	491,310	92.06	n/a	n/a	non-brg	0.3
ß BUCK CAPITAL MGMT		MSMSBCD	SS	491,310	92.06	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		MSMSBCM	C	5,114,817	92.02	n/a	n/a	non-brg	0.3
ß BUCK CAPITAL MGMT		MSMSBCM	SS	5,114,817	92.02	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		M	B	50,000	28.90	n/a	7-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		M	B	50,000	28.90	n/a	7-Oct	non-brg	4.0
ß BUCK CAPITAL MGMT		NAV	C	20,000	42.36	n/a	14-Sep	non-brg	4.0
SONTERRA CAP	041	NOC	SS	70,000	54.41	n/a	26-Sep	2,800.00	4.0
ß BUCK CAPITAL MGMT		PCAR	S	17,016	39.66	n/a	14-Sep	non-brg	4.0
ß BUCK CAPITAL MGMT		PCAR	S	17,016	39.66	n/a	14-Sep	non-brg	4.0
ß BUCK CAPITAL MGMT		PCAR	S	2,984	39.45	n/a	14-Sep	non-brg	4.0
ß BUCK CAPITAL MGMT		PCAR	S	2,984	39.45	n/a	14-Sep	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CHALSON/MILLENIU	041	PG	SS	20,000	64.49	n/a	10-Oct	800.00	4.0
ROYCE TRADING	031	PLCE	B	800	46.71	n/a	18-Aug	40.00	5.0
NEUBERGER BERMAN	036	PLD	S	100,000	25.56	n/a	n/a	4,000.00	4.0
BRIGADE CAPITAL MGMT	029	RAD	B	250,000	1.04	n/a	n/a	7,500.00	3.0
⚡ BUCK CAPITAL MGMT		RRR	S	50,000	9.34	n/a	14-Sep	non-brg	3.0
f EDWARD W WHEELER	FID	RUSHA	S	3000	17.31	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		RYL	S	60,000	11.50	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		SBH	B	20,000	17.73	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	SBUX	S	30	0.83	n/a	3-Oct	0.00	0.0
DEVENNY CAP LLC	044	SEE	B	5,000	17.47	n/a	2-Jun	150.00	3.0
⚡ BUCK CAPITAL MGMT		SFLY	S	20,000	46.38	n/a	n/a	non-brg	2.5
f BARBARA S LEDDY	FID	SGI	B	500	12.99	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	SGI	B	1300	12.94	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		SHOO	B	20,000	33.59	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		SLB	S	18,800	68.92	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	SPY	B	15	1.25	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		SWN	S	15,400	37.95	n/a	12-Oct	non-brg	4.0
BUCK CAPITAL MGMT		TOL	S	17,920	15.67	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		TOL	S	17,920	15.67	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		TOL	S	22,080	15.66	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		TOL	S	22,080	15.66	n/a	n/a	non-brg	4.0
MERRILL ASSET/BLACKROCK	297	TRH	B	7,700	51.28	n/a	n/a	308.00	4.0
BUCK CAPITAL MGMT		UA	SS	40,000	74.76	n/a	27-Jul	non-brg	4.0
SONTERRA CAP	041	UPL	SS	7,500	28.95	n/a	12-Oct	300.00	4.0
BUCK CAPITAL MGMT		URBN	SS	50,000	23.76	n/a	n/a	non-brg	4.0
CAERUS GLOBAL	041	URBN	B	25,163	23.80	n/a	n/a	1,006.52	4.0
LEVIN CAPITAL STRATEGIES	041	URBN	SS	50,000	23.58	n/a	n/a	1,500.00	3.0
SIMMONS VENTURES	041	URBN	SS	5,000	24.03	n/a	n/a	200.00	4.0
BUCK CAPITAL MGMT		URI	S	15,000	21.54	n/a	n/a	non-brg	4.0
EDWARD W WHEELER	FID	VE	S	148	1.40	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		VSI	B	40,000	35.68	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		VSI	B	52,000	36.18	n/a	n/a	non-brg	4.0
ALEX JOSEPH DEFILIPP	FID	WBC	S	100	42.77	n/a	11-Oct	0.00	0.0
JILL ROSENBERG	FID	WBC	S	100	42.77	n/a	11-Oct	0.00	0.0
VICTORIA JEAN DEFILI	FID	WBC	S	100	42.76	n/a	11-Oct	0.00	0.0
BUCK CAPITAL MGMT		WNC	S	13,791	6.47	n/a	n/a	non-brg	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		WNC	S	36,309	6.46	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		WYNN	SS	10,000	131.54	n/a	13-Jun	non-brg	4.0
BASIX	033	XME	SS	18,000	51.28	n/a	n/a	540.00	3.0
f KAREN F LEDDY	FID	XPO	B	200	8.98	n/a	n/a	0.00	0.0
CHALSON/MILLENIUM	041	YUM	B	25,000	52.07	n/a	5-Oct	1,000.00	4.0
f CHRISTOPHER ROBERT C	FID		B	5000	78.16	n/a	n/a	0.00	0.0
f DOUGLAS ROGERS	FID		B	75000	93.74	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID		B	100000	70.87	n/a	n/a	0.00	0.0
f JOHN BARTMAN COLE	FID		B	400	8.25	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								61,925.57	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/13	NEW JERSEY DIV OF INV.	030	ALK	S	25,000	63.76	n/a	n/a	1000.00 4.0
AO,CXL	10/13	NEW JERSEY DIV OF INV.	030	ALK	S	25,000	63.76	n/a	n/a	1000.00 4.0
AO,	10/13	ROYCE TRADING	031	UNT	B	25,000	42.05	n/a	12-Oct	1250.00 5.0

TOTAL (AO, CXL, CRT) :	1,250.00
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TOTAL (Trade Date) :	61,925.57
TOTAL (AO, CXL, CRT) :	1,250.00

TOTAL (RUN DATE) / NFS:	63,175.57
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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 14-Oct.
NONE

MRI Securities without Trade Activity on 14-Oct.
NONE

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 0%
YTD = 2%

<u>Legend:</u>
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)