



# Daily Compliance Activity Report

Trade Date: 10/01/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		AAN	C	1,300	27.69	n/a	n/a	non-brg	1.0
Alkesh Shah		AAPL	S	10	671.00	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		AAPL	S	2,600	674.77	n/a	n/a	non-brg	1.0
MICHAEL ALEXANDER SM	FID	AAPL	S	15	1.16	n/a	n/a	0.00	0.0
MICHAEL ALEXANDER SM	FID	AAPL	S	5	1.17	n/a	n/a	0.00	0.0
CATAPULT	040	AAP	S	5,602	67.96	n/a	n/a	224.08	0.0
BUCK CAPITAL MGMT		ABG	S	3,200	28.25	n/a	1-Oct	non-brg	1.0
BESSEMER INVESTMENT	085	ACE	B	200	76.90	n/a	n/a	8.00	4.0
BESSEMER INVESTMENT	085	ACN	B	300	69.93	n/a	n/a	12.00	4.0
TUDOR INVESTORS	028	ADT	S	25,000	35.95	n/a	n/a	750.00	3.0
BUCK CAPITAL MGMT		AEO	B	100	21.17	n/a	2-Dec	non-brg	1.0
BUCK CAPITAL MGMT		AEO	S	26,600	21.21	n/a	2-Dec	non-brg	1.0
BUCK CAPITAL MGMT		AEO	S	7,200	21.14	n/a	2-Dec	non-brg	1.0
BUCK CAPITAL MGMT		ALV	S	2,100	63.76	n/a	23-Jul	non-brg	1.0
EVERGREEN	047	AMTD	B	19,300	15.46	n/a	n/a	772.00	0.0
CAPITAL GROWTH MGMT.	241	AMT	S	20,000	71.06	n/a	n/a	1,000.00	5.0
BUCK CAPITAL MGMT		ANF	C	39,500	33.42	n/a	16-Aug	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		ANF	C	700	33.65	n/a	16-Aug	non-brg	1.0
ß BUCK CAPITAL MGMT		ANF	SS	200	33.65	n/a	16-Aug	non-brg	1.0
ß BUCK CAPITAL MGMT		ANN	S	4,200	37.75	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		APC	B	100	71.06	n/a	1-Oct	non-brg	1.0
ß BUCK CAPITAL MGMT		APC	S	4,600	70.90	n/a	1-Oct	non-brg	1.0
Õ Manny Korman		ARR	B	1000	7.68	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		ASNA	S	5,200	21.13	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		ATI	S	3,100	32.58	n/a	14-Sep	non-brg	1.0
BESSEMER INVESTMENT	085	AVGO	B	250	35.11	n/a	n/a	10.00	4.0
ß BUCK CAPITAL MGMT		AXL	S	11,800	11.59	1-Oct	1-Oct	non-brg	1.0
GEORGE WEISS	034	AXL	S	5,000	11.70	1-Oct	1-Oct	200.00	0.0
MILLENIUM SUB A/C NEW VERNON	085	AXL	B	50,824	11.60	1-Oct	1-Oct	2,541.20	0.0
MILLRACE FUND LP	028	AXL	B	5,000	11.54	1-Oct	1-Oct	200.00	4.0
ß BUCK CAPITAL MGMT		AXP	S	3,700	58.10	n/a	1-Oct	non-brg	1.0
ß BUCK CAPITAL MGMT		AZO	C	1,700	371.54	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		BAC	B	300	9.13	n/a	26-Sep	non-brg	1.0
ß BUCK CAPITAL MGMT		BAC	S	38,700	9.09	n/a	26-Sep	non-brg	1.0
CAPITAL GROWTH MGMT.	241	BAC	B	200,000	9.06	n/a	26-Sep	4,000.00	2.0
ß BUCK CAPITAL MGMT		BBBY	S	1,900	63.22	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		BBBY	S	20,000	63.13	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT		BBBY	S	30,000	63.42	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		BBBY	S	48,100	63.06	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		BBBY	S	800	63.21	n/a	n/a	non-brg	1.0
CAERUS GLOBAL	041	BBY	S	20,000	17.12	n/a	n/a	800.00	4.0
CATAPULT	040	BC	SS	8,712	22.56	n/a	n/a	348.48	0.0
GEORGE WEISS	034	BGC	B	1,111	30.09	n/a	n/a	44.44	0.0
BUCK CAPITAL MGMT		BHI	C	2,600	45.42	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		BID	C	4,300	31.41	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		BID	C	6,900	31.44	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		BKW	C	8,600	14.52	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		BNNY	S	12,000	45.30	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		BODY	S	19,600	10.93	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		BONT	S	28,500	10.30	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		BONT	S	30,000	10.20	n/a	n/a	non-brg	0.8
BUCK CAPITAL MGMT		BYI	S	11,400	49.15	n/a	n/a	non-brg	1.0
BTG PACTUAL	040	CAKE	SS	15,000	35.69	n/a	26-Jul	450.00	3.0
BUCK CAPITAL MGMT		CAR	B	100	15.76	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		CAR	S	14,700	15.63	n/a	n/a	non-brg	1.0
Alkesh Shah		CAT	S	15	86.59	n/a	11-Jul	0.00	0.0
BUCK CAPITAL MGMT		CCL	S	1,700	36.61	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		CERN	C	400	77.72	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		CERN	SS	100	77.59	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		CFR VX	C	1,700	61.51	n/a	n/a	non-brg	9.2
CAERUS GLOBAL	041	CMG	B	250	321.00	n/a	20-Jul	10.00	4.0
CATAPULT	040	CMI	B	4,000	92.58	n/a	11-Jul	160.00	0.0
DAVID GEORGE BUCK	FID	CMI	B	2000	93.36	n/a	11-Jul	0.00	0.0
BUCK CAPITAL MGMT		CNC	S	3,000	36.99	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		COF	B	100	58.51	n/a	27-Sep	non-brg	1.0
BUCK CAPITAL MGMT		COF	S	5,500	58.40	n/a	27-Sep	non-brg	1.0
BESSEMER INVESTMENT	085	COH	B	300	55.76	n/a	1-Aug	12.00	4.0
BESSEMER INVESTMENT	085	COH	S	25	55.75	n/a	1-Aug	1.00	4.0
BUCK CAPITAL MGMT		COH	S	1,300	55.52	n/a	1-Aug	non-brg	1.0
BUCK CAPITAL MGMT		COH	S	8,300	55.84	n/a	1-Aug	non-brg	1.0
BUCK CAPITAL MGMT		COLM	C	1,700	54.09	n/a	n/a	non-brg	1.0
BESSEMER INVESTMENT	085	COP	B	200	57.76	n/a	n/a	8.00	4.0
DAVID GEORGE BUCK	FID	COP	S	1000	57.71	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		COST	C	1,700	101.65	n/a	n/a	non-brg	1.0
GEORGE WEISS	034	CP	B	2,400	83.33	n/a	n/a	96.00	0.0
ß BUCK CAPITAL MGMT		CROX	B	20,000	16.06	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		CROX	S	48,500	16.22	n/a	n/a	non-brg	1.0
Õ Alkesh Shah		CSCO	S	35	19.22	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	CTL	B	400	40.18	n/a	n/a	16.00	4.0
BESSEMER INVESTMENT	085	CTL	S	25	40.17	n/a	n/a	1.00	4.0
f EDWARD W WHEELER	FID	CVGI	B	5000	7.06	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	C	B	3,000	33.48	n/a	1-Oct	120.00	4.0
ß BUCK CAPITAL MGMT		C	B	200	33.32	n/a	1-Oct	non-brg	1.0
ß BUCK CAPITAL MGMT		C	S	10,900	33.27	n/a	1-Oct	non-brg	1.0
ß BUCK CAPITAL MGMT		DAL	B	300	9.44	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		DAL	S	32,400	9.47	n/a	n/a	non-brg	1.0
LOMAS CAPITAL	040	DAL	B	248,046	9.34	n/a	n/a	7,441.38	3.0
ß BUCK CAPITAL MGMT		DECK	B	20,000	36.25	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DECK	S	1,000	36.35	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		DECK	S	7,000	36.47	n/a	n/a	non-brg	1.0
Õ Alkesh Shah		DELL	S	35	9.88	n/a	n/a	0.00	0.0
Õ Alkesh Shah		DELL	S	5	9.89	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		DE	S	1,200	83.45	n/a	11-Jul	non-brg	1.0

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ß BUCK CAPITAL MGMT		DFS	S	7,000	39.80	n/a	27-Sep	non-brg 1.0
ß BUCK CAPITAL MGMT		DG	B	20,000	51.89	n/a	5-Sep	non-brg 4.0
ß BUCK CAPITAL MGMT		DG	B	50,000	51.90	n/a	5-Sep	non-brg 4.0
ß BUCK CAPITAL MGMT		DG	S	24,300	51.77	n/a	5-Sep	non-brg 1.0
ß BUCK CAPITAL MGMT		DG	S	4,600	51.77	n/a	5-Sep	non-brg 1.0
SIGMA CAPITAL ASSOCIATES	041	DG	B	25,000	51.61	n/a	5-Sep	875.00 3.5
ß BUCK CAPITAL MGMT		DHI	B	100	20.93	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		DHI	C	3,800	20.93	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		DHI	S	14,600	20.85	n/a	n/a	non-brg 1.0
NEUBERGER BERMAN	036	DHR	S	48,413	56.27	n/a	n/a	1,936.52 0.0
VERITION	028	DHR	B	5,000	56.22	n/a	n/a	150.00 3.0
ß BUCK CAPITAL MGMT		DIA	C	12,000	135.67	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		DIA	SS	100	135.55	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		DKS	B	10,000	49.67	n/a	17-Sep	non-brg 1.0
ß BUCK CAPITAL MGMT		DKS	B	60,000	51.13	n/a	17-Sep	non-brg 4.0
ß BUCK CAPITAL MGMT		DKS	S	3,900	51.35	n/a	17-Sep	non-brg 1.0
ß BUCK CAPITAL MGMT		DLTR	B	30,000	48.34	n/a	16-Aug	non-brg 4.0
ß BUCK CAPITAL MGMT		DLTR	S	10,000	48.48	n/a	16-Aug	non-brg 1.0
ß BUCK CAPITAL MGMT		DLTR	S	3,900	48.31	n/a	16-Aug	non-brg 1.0
ß BUCK CAPITAL MGMT		DNKN	C	4,300	29.16	n/a	n/a	non-brg 1.0
CATAPULT	040	DNKN	SS	11,876	29.22	n/a	n/a	475.04 0.0
ß BUCK CAPITAL MGMT		DO	C	2,700	66.88	n/a	n/a	non-brg 1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	DTE	B	300	60.05	n/a	n/a	12.00	4.0
CHESAPEAKE PARTNERS	028	DTG	S	40,000	87.08	n/a	n/a	1,200.00	3.0
ß BUCK CAPITAL MGMT		DVN	S	2,700	61.34	n/a	1-Oct	non-brg	1.0
Õ Alkesh Shah		EBAY	S	26	48.66	n/a	n/a	0.00	0.0
Õ Alkesh Shah		EBAY	S	4	48.68	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		ENR	C	2,200	74.99	n/a	18-Sep	non-brg	1.0
LOMAS CAPITAL	040	EQR	S	14,617	57.55	n/a	n/a	438.51	3.0
ß BUCK CAPITAL MGMT		ESV	B	100	55.41	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		ESV	S	2,500	55.31	n/a	n/a	non-brg	1.0
BESSEMER INVESTMENT	085	EXC	B	300	35.67	n/a	n/a	12.00	4.0
f MARK ANTHONY GRONET	FID	FBC	B	10000	1.12	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	FCNTX	B	1002	79.86	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	FCX	B	200	40.27	n/a	n/a	8.00	4.0
ß BUCK CAPITAL MGMT		FDO	B	100	65.67	n/a	28-Sep	non-brg	1.0
ß BUCK CAPITAL MGMT		FDO	S	3,700	65.64	n/a	28-Sep	non-brg	1.0
ß BUCK CAPITAL MGMT		FINL	B	100	22.86	n/a	28-Sep	non-brg	1.0
ß BUCK CAPITAL MGMT		FINL	S	15,400	22.75	n/a	28-Sep	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		FINL	S	27,100	22.88	n/a	28-Sep	non-brg	1.0
BUCK CAPITAL MGMT		FL	S	27,700	35.25	n/a	29-Aug	non-brg	1.0
BUCK CAPITAL MGMT		FL	S	9,300	35.21	n/a	29-Aug	non-brg	1.0
EDWARD W WHEELER	FID	FOE	S	5000	3.51	n/a	n/a	0.00	0.0
FORWARD MGMT	033	FOLD	S	11,679	5.18	n/a	n/a	467.16	0.0
BUCK CAPITAL MGMT		FOR	B	100	17.18	n/a	15-Aug	non-brg	1.0
BUCK CAPITAL MGMT		FOR	S	21,700	16.68	n/a	15-Aug	non-brg	1.0
BUCK CAPITAL MGMT		FOSL	S	1,700	86.51	n/a	n/a	non-brg	1.0
CAPITAL RESEARCH GROUP		296 FRX	B	125,000	36.00		n/a	1-Oct	4,375.00 0.0
BUCK CAPITAL MGMT		F	C	13,500	10.01	n/a	1-Oct	non-brg	1.0
BUCK CAPITAL MGMT		GCO	S	15,800	66.77	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		GCO	S	2,700	67.14	n/a	n/a	non-brg	1.0
BESSEMER INVESTMENT	085	GD	B	100	67.58	n/a	27-Jul	4.00	4.0
BUCK CAPITAL MGMT		GIII	B	100	36.05	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		GIII	S	1,800	35.83	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		GIII	S	35,300	35.62	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		GIL	B	200	31.92	n/a	24-Sep	non-brg	1.0
BUCK CAPITAL MGMT		GIL	S	40,600	31.85	n/a	24-Sep	non-brg	1.0
BUCK CAPITAL MGMT		GIL	S	6,900	31.81	n/a	24-Sep	non-brg	1.0



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BUCK CAPITAL MGMT		GLW	B	100	13.10	n/a	1-Oct	non-brg 1.0
BUCK CAPITAL MGMT		GLW	S	7,100	13.12	n/a	1-Oct	non-brg 1.0
MATRIX ASSET ADV.	091	GLW	S	4,000	13.18	n/a	1-Oct	120.00 3.0
BUCK CAPITAL MGMT		GME	C	120,000	21.34	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		GME	C	150,000	21.34	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		GM	S	4,200	23.26	n/a	1-Oct	non-brg 1.0
ROSEDALE CAPITAL	046	GM	B	20,000	23.21	n/a	1-Oct	1,000.00 5.0
TEMAGAMI CAPITAL	041	GM	B	37,200	23.08	n/a	1-Oct	1,488.00 4.0
BUCK CAPITAL MGMT		GNC	S	22,500	39.22	n/a	n/a	non-brg 1.0
GEORGE WEISS	034	GNK	B	10,000	3.62	n/a	n/a	400.00 0.0
Alkesh Shah		GOOG	S	2	759.16	n/a	n/a	0.00 0.0
BUCK CAPITAL MGMT		GPS	S	5,700	36.15	n/a	n/a	non-brg 1.0
BUCK CAPITAL MGMT		HAIN	S	2,600	64.34	n/a	n/a	non-brg 1.0
BUCK CAPITAL MGMT		HAL	B	100	33.77	n/a	n/a	non-brg 1.0
BUCK CAPITAL MGMT		HAL	S	5,600	33.80	n/a	n/a	non-brg 1.0
BUCK CAPITAL MGMT		HAS	C	5,500	37.89	n/a	n/a	non-brg 1.0
BUCK CAPITAL MGMT		HBI	B	500	31.51	n/a	1-Aug	non-brg 1.0
BUCK CAPITAL MGMT		HBI	S	41,200	31.41	n/a	1-Aug	non-brg 1.0
BUCK CAPITAL MGMT		HBI	S	5,800	31.42	n/a	1-Aug	non-brg 1.0

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ß BUCK CAPITAL MGMT		HLF	S	6,000	48.43	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		HMB SS	C	2,600	34.70	n/a	n/a	non-brg	5.2
FORWARD MGMT	033	HME	S	5,000	60.17	n/a	n/a	200.00	0.0
GEORGE WEISS	034	HON	B	2,500	60.87	n/a	12-Sep	100.00	0.0
ß BUCK CAPITAL MGMT		HOS	C	1,600	37.74	n/a	n/a	non-brg	1.0
FORWARD MGMT	033	HOS	S	15,000	37.12	n/a	n/a	600.00	0.0
Õ Alkesh Shah		HPQ	S	22	17.22	n/a	n/a	0.00	0.0
Õ Alkesh Shah		HPQ	S	3	17.23	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		HTZ	B	200	14.12	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		HTZ	S	26,100	14.04	n/a	n/a	non-brg	1.0
SYSTEMATIC FINANCIAL MGT	035	HTZ	S	36,200	14.16	n/a	n/a	1,086.00	0.0
ARSENAL ASSET MANAGEMENT	028	HUBB	B	5,000	80.63	n/a	n/a	200.00	0.0
ß BUCK CAPITAL MGMT		H	C	3,300	40.07	n/a	13-Jun	non-brg	1.0
BESSEMER INVESTMENT	085	IBM	B	100	211.08	n/a	n/a	4.00	4.0
ß BUCK CAPITAL MGMT		IJH	C	6,300	98.71	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		IJH	SS	100	98.54	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		IP	B	100	36.63	n/a	24-Sep	non-brg	1.0
ß BUCK CAPITAL MGMT		IP	S	11,200	36.41	n/a	24-Sep	non-brg	1.0

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SCOPUS FUND	041	IP	B	15,000	36.65	n/a	24-Sep	600.00	4.0
⌘ BUCK CAPITAL MGMT		IR	S	1,700	45.50	n/a	30-Aug	non-brg	1.0
⌘ BUCK CAPITAL MGMT		IWF	C	56,200	67.34	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		IWO	C	31,700	96.38	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		IWO	C	38,800	96.54	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		IWO	SS	200	96.17	n/a	n/a	non-brg	1.0
GEORGE WEISS	034	JBHT	SS	9,000	52.24	n/a	n/a	270.00	0.0
⌘ BUCK CAPITAL MGMT		JIVE	B	100	15.60	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		JIVE	S	9,700	15.56	n/a	n/a	non-brg	1.0
BESSEMER INVESTMENT	085	JNJ	B	400	69.27	n/a	n/a	16.00	4.0
⌘ BUCK CAPITAL MGMT		JNY	S	19,400	13.05	n/a	26-Jul	non-brg	1.0
SIMMONS VENTURES	041	JNY	SS	10,000	13.00	n/a	26-Jul	400.00	4.0
BALYASNY ASSET MGMT	044	JWN	B	30,000	55.66	n/a	28-Sep	1,500.00	0.0
⌘ BUCK CAPITAL MGMT		JWN	S	4,700	55.59	n/a	28-Sep	non-brg	1.0
J. GOLDMAN	028	JWN	B	10,000	55.67	n/a	28-Sep	400.00	4.0
⌘ BUCK CAPITAL MGMT		KNX	S	13,000	14.02	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		KORS	S	14,500	52.83	n/a	n/a	non-brg	1.0
CYRUS CAPITAL	025	KRO	SS	32,000	14.88	n/a	n/a	960.00	3.0
⌘ BUCK CAPITAL MGMT		KR	C	9,100	23.88	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
ß BUCK CAPITAL MGMT		KSS	B	100	52.12	n/a	28-Sep	non-brg 1.0
ß BUCK CAPITAL MGMT		KSS	B	100	52.31	n/a	28-Sep	non-brg 1.0
ß BUCK CAPITAL MGMT		KSS	S	1,900	52.12	n/a	28-Sep	non-brg 1.0
ß BUCK CAPITAL MGMT		KSS	S	2,200	52.07	n/a	28-Sep	non-brg 1.0
ß BUCK CAPITAL MGMT		LEA	S	2,800	38.88	n/a	3-Aug	non-brg 1.0
ß BUCK CAPITAL MGMT		LEN	B	100	35.07	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		LEN	C	2,700	35.07	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		LEN	S	8,000	35.04	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		LL	C	4,300	51.23	n/a	n/a	non-brg 1.0
BESSEMER INVESTMENT	085	LOW	B	700	30.24	n/a	20-Aug	28.00 4.0
ß BUCK CAPITAL MGMT		LOW	C	8,700	30.37	n/a	20-Aug	non-brg 1.0
LOMAS CAPITAL	040	LOW	B	57,614	30.36	n/a	20-Aug	1,728.42 3.0
ß BUCK CAPITAL MGMT		LPNT	B	200	42.59	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		LPNT	S	3,400	42.46	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		LULU	C	800	74.50	n/a	10-Sep	non-brg 1.0
KLEINHEINZ CAP PART	031	LULU	SS	20,000	73.55	n/a	10-Sep	1,000.00 5.0
ß BUCK CAPITAL MGMT		LVS	S	15,000	46.55	n/a	13-Jun	non-brg 1.0
ß BUCK CAPITAL MGMT		MAS	C	12,100	15.44	n/a	n/a	non-brg 1.0
ß BUCK CAPITAL MGMT		MCD	C	1,000	92.38	n/a	11-Sep	non-brg 1.0
ß BUCK CAPITAL MGMT		MCD	C	700	92.26	n/a	11-Sep	non-brg 1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		MCD	SS	200	92.26	n/a	11-Sep	non-brg	1.0
⌘ BUCK CAPITAL MGMT		MDT	S	4,500	43.34	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		MDY	C	3,000	179.87	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		MFRM	S	3,500	28.15	n/a	n/a	non-brg	1.0
BESSEMER INVESTMENT	085	MHP	B	300	54.86	n/a	n/a	12.00	4.0
BOW STREET LLC	044	MLI	B	6,900	46.38	1-Oct	1-Oct	276.00	4.0
M&I FUNDS	047	MLI	B	9,422	47.06	1-Oct	1-Oct	376.88	4.0
LATEEF MGMT	035	MMM	S	1,000	93.47	n/a	1-Oct	100.00	10.0
⌘ BUCK CAPITAL MGMT		MPEL	S	13,500	13.74	n/a	13-Jun	non-brg	1.0
BESSEMER INVESTMENT	085	MRO	B	500	30.00	n/a	n/a	20.00	4.0
BESSEMER INVESTMENT	085	MSFT	B	800	29.63	n/a	n/a	32.00	4.0
NEWLAND CAPITAL MGT	025	MSM	B	25,000	67.55	n/a	n/a	1,000.00	4.0
⌘ BUCK CAPITAL MGMT		MS	B	100	17.10	n/a	11-Sep	non-brg	1.0
⌘ BUCK CAPITAL MGMT		MS	S	14,200	17.03	n/a	11-Sep	non-brg	1.0
⌘ BUCK CAPITAL MGMT		MTOR	S	23,600	4.31	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		MWV	B	100	31.13	n/a	25-Jul	non-brg	1.0
⌘ BUCK CAPITAL MGMT		MWV	S	3,000	31.07	n/a	25-Jul	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		MW	S	4,600	34.50	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		MYL	C	3,000	24.50	n/a	1-Oct	non-brg	1.0
BESSEMER INVESTMENT	085	M	B	500	38.63	n/a	28-Sep	20.00	4.0
BESSEMER INVESTMENT	085	M	S	25	38.62	n/a	28-Sep	1.00	4.0
ß BUCK CAPITAL MGMT		M	S	29,500	38.55	n/a	28-Sep	non-brg	1.0
ß BUCK CAPITAL MGMT		M	S	7,600	38.54	n/a	28-Sep	non-brg	1.0
J. GOLDMAN	028	M	S	25,000	38.54	n/a	28-Sep	1,000.00	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	M	B	35,000	38.56	n/a	28-Sep	1,050.00	3.0
SCOPUS FUND	041	M	B	15,000	38.84	n/a	28-Sep	600.00	4.0
BESSEMER INVESTMENT	085	NEM	S	790	56.50	n/a	n/a	31.60	4.0
VISIUM/BALY BOBBY	044	NEM	S	15,000	56.12	n/a	n/a	750.00	0.0
APEX CAPITAL MGMT.	261	NFLX	B	100,000	56.11	n/a	n/a	4,000.00	0.0
ß BUCK CAPITAL MGMT		NFLX	C	3,500	55.83	n/a	n/a	non-brg	1.0
Õ Alkesh Shah		NKE	S	20	94.67	n/a	28-Sep	0.00	0.0
ß BUCK CAPITAL MGMT		NLSN	C	5,600	30.12	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		NUAN	C	8,200	24.95	n/a	n/a	non-brg	1.0
f MANNY I KORMAN	FID	NUAN	B	7000	24.96	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		NWY	S	20,000	3.75	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		ORLY	C	3,500	84.51	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		PAG	S	4,900	30.18	n/a	1-Oct	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		PCLN	C	1,600	625.04	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		PCLN	C	400	624.94	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		PCP	B	100	164.85	n/a	1-Aug	non-brg	1.0
ß BUCK CAPITAL MGMT		PCP	S	600	164.78	n/a	1-Aug	non-brg	1.0
ß BUCK CAPITAL MGMT		PFE	S	13,400	25.12	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		PG	C	1,200	69.71	n/a	1-Oct	non-brg	1.0
f DAVID GEORGE BUCK	FID	PG	B	1000	69.76	n/a	1-Oct	0.00	0.0
LATEEF MGMT	035	PG	S	1,000	69.52	n/a	1-Oct	100.00	10.0
MATRIX ASSET ADV.	091	PG	S	500	69.55	n/a	1-Oct	20.00	4.0
NEUBERGER BERMAN	036	PG	S	30,077	69.56	n/a	1-Oct	1,203.08	0.0
CHESAPEAKE PARTNERS	028	PHH	S	11,300	20.78	n/a	n/a	339.00	3.0
ß BUCK CAPITAL MGMT		PII	S	6,600	81.13	n/a	n/a	non-brg	1.0
CAPITAL GROWTH MGMT.	241	PII	S	20,000	80.95	n/a	n/a	1,000.00	5.0
ß BUCK CAPITAL MGMT		PLCE	S	12,700	60.38	n/a	17-Sep	non-brg	1.0
ß BUCK CAPITAL MGMT		PLCE	S	2,200	60.37	n/a	17-Sep	non-brg	1.0
IRIDIAN ASSET MGMT.	036	PNR	S	207,670	43.27	n/a	n/a	10,383.50	0.0
ß BUCK CAPITAL MGMT		PP FP	C	600	155.23	n/a	n/a	non-brg	23.2
ß BUCK CAPITAL MGMT		PVH	S	16,000	93.19	n/a	29-Aug	non-brg	1.0
ß BUCK CAPITAL MGMT		PVH	S	3,000	92.89	n/a	29-Aug	non-brg	1.0
ENTRUST CAPITAL	040	QCOR	SS	19,289	18.34	n/a	n/a	964.45	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		RCII	C	3,300	34.55	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		RCL	B	100	30.66	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		RCL	S	3,300	30.59	n/a	n/a	non-brg	1.0
CAPITAL GROWTH MGMT.	241	RDN	S	150,000	4.35	n/a	n/a	4,500.00	0.0
ß BUCK CAPITAL MGMT		RGC	S	8,700	14.00	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		RLJAU	S	700	10.03	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		RLJA	S	3,500	8.71	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		RUSHA	B	100	19.83	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		RUSHA	S	7,700	19.57	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		RYL	B	100	30.28	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		RYL	S	7,100	30.16	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		R	S	6,800	39.36	n/a	n/a	non-brg	1.0
f EDWARD W WHEELER	FID	R	B	3000	39.32	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SAND SS	C	5,200	13.90	n/a	n/a	non-brg	2.1
ß BUCK CAPITAL MGMT		SCSS	S	39,200	31.24	n/a	n/a	non-brg	1.0
PERIMETER	273	SFLY	B	12,830	30.16	n/a	n/a	513.20	0.0
ß BUCK CAPITAL MGMT		SHOO	S	13,000	42.64	n/a	n/a	non-brg	1.0



Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		SIG	B	100	48.60	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		SIG	B	25,000	48.60	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SIG	B	40,000	48.54	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SIG	B	66,700	48.54	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SIG	B	8,300	48.60	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		SIG	S	3,100	48.58	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		SKS	C	32,400	10.28	n/a	n/a	non-brg	1.0
FORWARD MGMT	033	SKS	S	40,000	10.22	n/a	n/a	1,600.00	0.0
ß BUCK CAPITAL MGMT		SKX	S	37,800	20.32	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		SLB	S	2,700	73.13	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		SLM	B	200	16.02	n/a	17-Sep	non-brg	1.0
ß BUCK CAPITAL MGMT		SLM	S	24,100	16.00	n/a	17-Sep	non-brg	1.0
ß BUCK CAPITAL MGMT		SLXP	C	4,100	43.11	n/a	1-Oct	non-brg	1.0
f DAVID GEORGE BUCK	FID	SPHIX	S	5580	9.28	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SPLS	C	3,900	11.85	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		SPY	C	900	145.41	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		SPY	SS	100	145.27	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		STT	B	100	42.45	n/a	11-Sep	non-brg	1.0
ß BUCK CAPITAL MGMT		STT	S	9,300	42.28	n/a	11-Sep	non-brg	1.0
BESSEMER INVESTMENT	085	STX	B	300	30.99	n/a	n/a	12.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		SUMR	B	19,500	1.82	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		SUMR	S	22,100	1.82	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		SWFT	S	25,200	8.45	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		SWN	B	100	35.94	n/a	1-Oct	non-brg	1.0
ß BUCK CAPITAL MGMT		SWN	S	11,000	35.84	n/a	1-Oct	non-brg	1.0
ß BUCK CAPITAL MGMT		SWY	C	20,200	16.20	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		SYX	C	16,500	31.64	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		TDG	C	1,700	141.91	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		TDG	C	1,800	141.99	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		TEVA	S	6,400	41.56	n/a	1-Oct	non-brg	1.0
ß BUCK CAPITAL MGMT		TGT	C	2,200	63.46	n/a	30-Aug	non-brg	1.0
ß BUCK CAPITAL MGMT		TGT	SS	60,000	63.36	n/a	30-Aug	non-brg	4.0
LOMAS CAPITAL	040	THO	B	48,012	36.31	n/a	n/a	1,440.36	3.0
ß BUCK CAPITAL MGMT		TIF	C	4,700	62.07	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		TJX	S	13,000	45.48	n/a	28-Sep	non-brg	1.0
ß BUCK CAPITAL MGMT		TJX	S	20,000	45.14	n/a	28-Sep	non-brg	4.0
ß BUCK CAPITAL MGMT		TJX	S	20,000	45.37	n/a	28-Sep	non-brg	4.0
ß BUCK CAPITAL MGMT		TJX	S	3,800	45.36	n/a	28-Sep	non-brg	1.0
SIGMA CAPITAL ASSOCIATES	041	TJX	B	25,000	45.40	n/a	28-Sep	875.00	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	TMO	B	150	59.65	n/a	n/a	6.00	4.0
⌘ BUCK CAPITAL MGMT		TOD IM	C	700	112.18	n/a	n/a	non-brg	16.8
⌘ BUCK CAPITAL MGMT		TOL	C	2,500	33.53	n/a	n/a	non-brg	1.0
NEWLAND CAPITAL MGT	025	TPLM	S	10,000	7.52	n/a	n/a	300.00	3.0
LATEEF MGMT	035	TRV	S	1,000	69.12	n/a	n/a	100.00	10.0
SCOUT/UMB	047	TRW	S	31,451	47.42	n/a	n/a	943.53	0.0
VERITION	028	TRW	B	5,000	46.59	n/a	n/a	150.00	3.0
TUDOR INVESTORS	028	TYC	B	10,000	28.03	n/a	3-Aug	300.00	3.0
⌘ BUCK CAPITAL MGMT		UAL	B	100	19.88	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		UAL	S	4,700	19.86	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		UA	C	2,800	56.98	n/a	18-Sep	non-brg	1.0
⌘ BUCK CAPITAL MGMT		UHR VX	SS	300	407.82	n/a	n/a	non-brg	61.2
⌘ BUCK CAPITAL MGMT		ULTA	S	5,400	97.16	n/a	n/a	non-brg	1.0
BESSEMER INVESTMENT	085	UNH	B	400	56.29	n/a	n/a	16.00	4.0
BESSEMER INVESTMENT	085	UNH	S	25	56.27	n/a	n/a	1.00	4.0
⌘ BUCK CAPITAL MGMT		URI	B	15,000	32.21	n/a	17-Apr	non-brg	1.0
⌘ BUCK CAPITAL MGMT		URI	S	4,800	32.76	n/a	17-Apr	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		VCI	C	5,400	24.76	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		VFC	S	1,900	160.06	n/a	25-Jul	non-brg	1.0
FORWARD MGMT	033	VMI	B	5,000	131.39	n/a	n/a	200.00	0.0
⚡ BUCK CAPITAL MGMT		V	S	2,200	137.01	n/a	11-Sep	non-brg	1.0
⚡ BUCK CAPITAL MGMT		WERN	S	7,500	21.32	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		WMT	C	5,200	74.16	n/a	17-Aug	non-brg	1.0
BESSEMER INVESTMENT	085	WM	B	400	31.84	n/a	n/a	16.00	4.0
⚡ BUCK CAPITAL MGMT		WNC	B	300	7.18	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		WNC	S	47,100	7.14	n/a	n/a	non-brg	1.0
BOW STREET LLC	044	WRC	B	10,000	51.30	n/a	7-Aug	400.00	4.0
⚡ BUCK CAPITAL MGMT		WRC	S	29,000	51.50	n/a	7-Aug	non-brg	1.0
⚡ BUCK CAPITAL MGMT		WSM	C	5,000	44.08	n/a	n/a	non-brg	1.0
BESSEMER INVESTMENT	085	WU	B	800	18.20	n/a	n/a	32.00	4.0
⚡ BUCK CAPITAL MGMT		WWW	C	5,500	44.56	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		XLFX	C	31,800	15.81	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		XLFX	SS	200	15.79	n/a	n/a	non-brg	1.0
f IAN L MILLER	FID	XLV	S	30	40.50	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		XLY	C	36,000	47.14	n/a	n/a	non-brg	1.0
ANTHONY SUTERA	FID	XPO	B	1000	11.94	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		XRT	C	19,000	63.12	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		XRT	SS	200	63.00	n/a	n/a	non-brg	1.0
LEVIN CAPITAL STRATEGIES	041	XRT	B	10,000	63.34	n/a	n/a	300.00	0.0
MARK DEVEREAUX KAICH	FID	YELP	S	500	27.09	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	ZMH	B	400	68.80	n/a	n/a	16.00	4.0
BUCK CAPITAL MGMT		ZUMZ	S	35,100	27.35	n/a	n/a	non-brg	1.0
TOTAL (Trade Date):								76,279.83	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/28	ADAGE CAPITAL MGMT	030	FHN	SS	135,000	9.68	n/a	n/a	4050.00 3.0
AO,CRT	09/28	ADAGE CAPITAL MGMT	030	FHN	SS	135,000	9.68	n/a	n/a	4050.00 3.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>0.00</b>
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TOTAL (Trade Date) :	76,279.83
TOTAL (AO, CXL, CRT) :	0.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>76,279.83</b>
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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MRI Securities with Trade Activity on 1-Oct.

AXL, MLI

MRI Securities without Trade Activity on 1-Oct.

NONE

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)