



# Daily Compliance Activity Report

Trade Date: 10/13/2011

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	ACE	B	5,400	61.94	n/a	n/a	216.00	4.0
BESSEMER INVESTMENT	085	ADM	S	500	26.74	n/a	23-Sep	20.00	4.0
NEW JERSEY DIV OF INV.	030	ALK	S	25,000	63.76	n/a	n/a	1,000.00	4.0
BESSEMER INVESTMENT	085	AMTD	S	500	15.67	n/a	n/a	20.00	4.0
GALT INVESTMENT	041	ARO	B	40,000	13.05	n/a	19-Aug	1,600.00	4.0
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>BGZ</b>	<b>B</b>	<b>1000</b>	<b>38.02</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BID</b>	<b>S</b>	<b>20,000</b>	<b>32.58</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
KLEINHEINZ CAP PART	031	BIG	B	50,000	34.65	n/a	25-Aug	2,500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>CSTR</b>	<b>S</b>	<b>25,000</b>	<b>51.10</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CSTR</b>	<b>S</b>	<b>25,000</b>	<b>51.26</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BESSEMER INVESTMENT	085	DIS	S	500	33.27	n/a	n/a	20.00	4.0
BESSEMER INVESTMENT	085	EMC	S	1,500	22.68	n/a	n/a	60.00	4.0
CATAPULT	040	EQT	B	13,000	59.99	n/a	n/a	520.00	4.0
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>FCH</b>	<b>B</b>	<b>1700</b>	<b>2.46</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
RIDGECREST INV MGMT LLC	028	F	S	30,000	11.21	n/a	4-Oct	1,500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	GE	S	1,390	16.09	n/a	n/a	55.60	4.0
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>GMCR</b>	<b>B</b>	<b>100</b>	<b>88.45</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BESSEMER INVESTMENT	085	GM	S	500	23.03	n/a	4-Oct	20.00	4.0
CIRCLE T/SES PART	033	GM	SS	12,500	23.08	n/a	4-Oct	500.00	4.0
LEVIN CAPITAL STRATEGIES	041	GM	B	20,000	23.35	n/a	4-Oct	600.00	3.0
NEW JERSEY DIV OF INV.	030	GS	S	10,000	95.66	n/a	7-Oct	400.00	4.0
COUGAR TRADING	044	HBI	B	10,000	26.50	n/a	21-Jul	500.00	5.0
SIMMONS VENTURES	041	HBI	B	10,000	26.17	n/a	21-Jul	400.00	4.0
MERRILL ASSET/BLACKROCK	297	HFC	S	4,300	32.01	n/a	n/a	172.00	4.0
MILLENNIUM-ANDEW	031	HYG	B	58,000	85.57	n/a	n/a	2,900.00	5.0
BESSEMER INVESTMENT	085	IP	S	1,500	25.34	n/a	11-Oct	60.00	4.0
BESSEMER INVESTMENT	085	IR	S	300	29.14	n/a	30-Sep	12.00	4.0
CHESAPEAKE PARTNERS	028	JAKK	B	400	17.98	n/a	n/a	12.00	3.0
<b>f JOHN MICHAEL ZOLIDIS</b>	<b>FID</b>	<b>JCP</b>	<b>S</b>	<b>200</b>	<b>29.66</b>	<b>n/a</b>	<b>13-Oct</b>	<b>0.00</b>	<b>0.0</b>
MACQUARIE INVESTMENT MGMT.	040	JCP	SS	8,000	29.62	n/a	13-Oct	0.00	0.0
BESSEMER INVESTMENT	085	JNJ	S	3,860	63.70	n/a	n/a	154.40	4.0
SIMMONS VENTURES	041	JNY	B	5,000	10.37	n/a	28-Jul	200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B</b> BUCK CAPITAL MGMT		<b>JOSB</b>	<b>B</b>	<b>10,000</b>	<b>48.77</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BESSEMER INVESTMENT	085	JPM	S	2,950	31.70	n/a	13-Oct	118.00	4.0
NEWLAND CAPITAL MGT	025	KMT	SS	25,000	36.03	n/a	14-Sep	1,000.00	4.0
<b>f</b> MARK ANTHONY GRONET	<b>FID</b>	<b>LIZ</b>	<b>S</b>	<b>2000</b>	<b>6.80</b>	<b>n/a</b>	<b>7-Oct</b>	<b>0.00</b>	<b>0.0</b>
RIDGECREST INV MGMT LLC	028	LULU	SS	2,500	52.71	n/a	12-Sep	125.00	5.0
THRIVENT ASSET MGMT	030	MCD	B	125,000	89.14	n/a	3-Oct	5,000.00	4.0
BESSEMER INVESTMENT	085	MMI	S	500	38.09	n/a	n/a	20.00	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>MPEL</b>	<b>S</b>	<b>100,000</b>	<b>10.56</b>	<b>n/a</b>	<b>13-Jun</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>MPEL</b>	<b>S</b>	<b>100,000</b>	<b>10.67</b>	<b>n/a</b>	<b>13-Jun</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>MPEL</b>	<b>S</b>	<b>100,000</b>	<b>10.67</b>	<b>n/a</b>	<b>13-Jun</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>MPEL</b>	<b>S</b>	<b>200,000</b>	<b>10.64</b>	<b>n/a</b>	<b>13-Jun</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>MPEL</b>	<b>S</b>	<b>50,000</b>	<b>10.60</b>	<b>n/a</b>	<b>13-Jun</b>	<b>non-brg</b>	<b>4.0</b>
BESSEMER INVESTMENT	085	MSFT	S	1,310	26.77	n/a	n/a	52.40	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>MSMSBCD</b>	<b>C</b>	<b>491,310</b>	<b>91.47</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.2</b>
<b>B</b> BUCK CAPITAL MGMT		<b>MSMSBCD</b>	<b>SS</b>	<b>491,310</b>	<b>91.47</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>MSMSBCM</b>	<b>C</b>	<b>5,114,817</b>	<b>91.43</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.2</b>
<b>B</b> BUCK CAPITAL MGMT		<b>MSMSBCM</b>	<b>SS</b>	<b>5,114,817</b>	<b>91.43</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>NAV</b>	<b>SS</b>	<b>20,000</b>	<b>38.26</b>	<b>n/a</b>	<b>14-Sep</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TWIN CAPITAL	041	NDN	S	105,442	21.44	n/a	13-Oct	3,163.26	3.0
BESSEMER INVESTMENT	085	PCG	S	500	41.61	n/a	n/a	20.00	4.0
BESSEMER INVESTMENT	085	PFE	S	3,070	18.73	n/a	n/a	122.80	4.0
BMO NESBITT BURNS	041	PKG	B	25,000	25.07	n/a	11-Oct	1,250.00	5.0
BESSEMER INVESTMENT	085	QCOM	S	1,000	52.28	n/a	n/a	40.00	4.0
NEW JERSEY DIV OF INV.	030	RRC	S	50,000	67.61	n/a	12-Oct	2,000.00	4.0
⌘ BUCK CAPITAL MGMT		SBH	B	30,000	17.62	n/a	n/a	non-brg	4.0
BESSEMER INVESTMENT	085	SEIC	S	2,700	15.50	n/a	n/a	108.00	4.0
⌘ BUCK CAPITAL MGMT		SFLY	S	60,000	46.35	n/a	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		SHLD	C	15,000	70.52	n/a	n/a	non-brg	2.5
PIIONEER PATH	028	SNV	S	125,000	1.27	n/a	n/a	3,750.00	3.0
⌘ BUCK CAPITAL MGMT		SODA 1 C42.5	SS	1,000	3.90	n/a	n/a	non-brg	300.0
⌘ BUCK CAPITAL MGMT		SODA	B	100,000	35.70	n/a	n/a	non-brg	4.0
BESSEMER INVESTMENT	085	STJ	S	500	37.50	n/a	n/a	20.00	4.0
FIRST NEW YORK LEDDY	035	S	B	20,000	2.76	n/a	n/a	800.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MTB INV ADV	034	TEN	B	44,175	30.71	n/a	n/a	2,208.75	5.0
PNC CAPITAL ADV	028	T	B	24,846	28.80	n/a	n/a	993.84	4.0
MERRILL ASSET/BLACKROCK	297	UPL	B	11,100	28.14	n/a	12-Oct	444.00	4.0
Ⓐ BUCK CAPITAL MGMT		VSI	B	10,600	35.51	n/a	n/a	non-brg	4.0
Ⓐ BUCK CAPITAL MGMT		VSI	B	9,400	35.50	n/a	n/a	non-brg	2.0
Ⓐ BUCK CAPITAL MGMT		V	S	11,000	91.56	n/a	13-Oct	non-brg	4.0
KAM ADVISORS LLC	041	WMB	S	32,100	26.24	n/a	n/a	963.00	3.0
RIDGECREST INV MGMT LLC	028	WMT	B	5,000	55.00	n/a	13-Oct	250.00	5.0
BESSEMER INVESTMENT	085	XOM	S	500	76.29	n/a	n/a	20.00	4.0
BRONSON POINT	036	XRX	B	50,000	7.52	n/a	n/a	1,500.00	3.0
<b>TOTAL (Trade Date):</b>								<b>37,411.05</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/05	MERRILL ASSET/BLACKROCK	297	ACE	B	2,800	59.43	n/a	n/a	112.00 4.0
AO,CXL	10/05	MERRILL ASSET/BLACKROCK	297	ACE	B	2,800	59.43	n/a	n/a	112.00 4.0
AO,CRT	10/12	EGS ASSOCIATES LP	091	JNY	B	1,400	10.62	n/a	28-Jul	70.00 5.0
AO,CXL	10/12	EGS ASSOCIATES LP	091	JNY	B	1,400	10.62	n/a	28-Jul	84.00 6.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-14.00</b>

TOTAL (Trade Date) :	37,411.05
TOTAL (AO, CXL, CRT) :	-14.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>37,397.05</b>
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO	10/12	BUCK CAPITAL MGMT	SBH	B	30,000	16.75	n/a	n/a	0.00	0.0

MRI Securities with Trade Activity on 13-Oct.  
NONE

MRI Securities without Trade Activity on 13-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)**