



# Daily Compliance Activity Report

Trade Date: 11/11/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	AAPL	S	430	386.52	n/a	n/a	17.20	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>ABT</b>	<b>B</b>	<b>20</b>	<b>0.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>ABT</b>	<b>S</b>	<b>2000</b>	<b>54.50</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>ABT</b>	<b>S</b>	<b>300</b>	<b>54.51</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BESSEMER INVESTMENT	085	ACE	S	410	71.36	n/a	n/a	16.40	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>AM</b>	<b>B</b>	<b>130,000</b>	<b>15.85</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ANN</b>	<b>S</b>	<b>10,000</b>	<b>25.80</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ANN</b>	<b>S</b>	<b>80,000</b>	<b>25.88</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f CHRISTOPHER ARTHUR K</b>	<b>FID</b>	<b>APC</b>	<b>S</b>	<b>250</b>	<b>80.48</b>	<b>n/a</b>	<b>10-Nov</b>	<b>0.00</b>	<b>0.0</b>
FARBER/WEISS PECK	085	ARCO	B	50,000	21.67	n/a	31-Oct	2,000.00	4.0
TALPION LLC	040	ARCO	B	10,000	21.69	n/a	31-Oct	400.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>ASNA</b>	<b>SS</b>	<b>50,000</b>	<b>28.98</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BRONSON POINT	036	BA	B	25,000	66.78	n/a	28-Oct	750.00	3.0
RBC CAPITAL MARKETS	040	BBY	B	35,000	28.01	n/a	n/a	1,400.00	4.0
RAINIER INV MGMT	035	BEN	S	94,440	107.64	n/a	2-Mar	3,777.60	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>BKS</b>	<b>B</b>	<b>20,000</b>	<b>16.00</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		BKS	B	30,000	15.65	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		BKS	B	80,000	16.07	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	CAH	S	15	1.08	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	CAT	S	15	1.38	n/a	25-Oct	0.00	0.0
ARSENAL ASSET MANAGEMENT	028	CE	SS	10,000	44.00	n/a	20-May	400.00	4.0
⚡ BUCK CAPITAL MGMT		CHRS	S	50,000	3.55	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		CHS	SS	20,000	12.15	n/a	5-Feb	non-brg	4.0
BESSEMER INVESTMENT	085	CME	S	75	262.78	n/a	28-Apr	3.00	4.0
f EDWARD W WHEELER	FID	CSCO	S	200	1.10	n/a	n/a	0.00	0.0
f JOHN BARTMAN COLE	FID	CVGI	S	500	11.26	n/a	n/a	0.00	0.0
MACQUARIE INVESTMENT MGMT.	040	CYH	B	5,000	21.02	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		DECK	B	10,000	106.90	n/a	n/a	non-brg	2.5
BESSEMER INVESTMENT	085	DIS	S	1,940	37.24	n/a	n/a	77.60	4.0
⚡ BUCK CAPITAL MGMT		DSW	S	10,000	50.68	n/a	11-Feb	non-brg	4.0
BESSEMER INVESTMENT	085	ECL	S	600	55.89	n/a	8-Nov	24.00	4.0
KLEINHEINZ CAP PART	031	FDO	B	65,000	58.83	n/a	29-Sep	3,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ARSENAL ASSET MANAGEMENT	028	FLR	B	25,000	56.21	n/a	n/a	1,000.00	4.0
BESSEMER INVESTMENT	085	GE	S	1,815	16.41	n/a	n/a	72.60	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>GIII</b>	<b>S</b>	<b>35,206</b>	<b>22.58</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
LOMBARDIA CAP MGMT	084	GLT	S	4,600	15.42	n/a	n/a	184.00	4.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>GLW</b>	<b>S</b>	<b>200</b>	<b>1.10</b>	<b>n/a</b>	<b>31-Oct</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GMCR</b>	<b>S</b>	<b>30,000</b>	<b>43.87</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
OZ MGMT	040	GM	SS	158,282	22.30	n/a	10-Nov	4,748.46	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>GNC</b>	<b>S</b>	<b>20,000</b>	<b>26.63</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BERMAN CAPITAL MGMT	046	GPS	B	5,000	19.93	n/a	n/a	150.00	3.0
TALPION LLC	040	GTS	S	1,942	20.02	n/a	n/a	77.68	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>HD</b>	<b>S</b>	<b>50,000</b>	<b>38.11</b>	<b>n/a</b>	<b>11-Nov</b>	<b>non-brg</b>	<b>4.0</b>
LATEFF MGMT	035	INTC	S	200	24.84	n/a	n/a	40.00	20.0
BESSEMER INVESTMENT	085	IP	S	925	29.14	n/a	27-Oct	37.00	4.0
LOMBARDIA CAP MGMT	084	ITG	B	44,000	10.59	n/a	n/a	1,760.00	4.0
KENNEDY CAPITAL	046	IWM	S	8,500	73.34	n/a	n/a	340.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	JCI	S	540	31.80	n/a	27-Oct	21.60	4.0
BESSEMER INVESTMENT	085	JPM	S	595	33.68	n/a	8-Nov	23.80	4.0
SIMMONS VENTURES	041	JWN	SS	5,000	48.30	11-Nov	11-Nov	200.00	4.0
ROSEDALE CAPITAL	046	KEG	S	30,000	14.92	n/a	2-Nov	1,200.00	4.0
BESSEMER INVESTMENT	085	KFT	S	1,822	35.59	n/a	n/a	72.88	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>KNX</b>	<b>S</b>	<b>35,000</b>	<b>15.17</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BESSEMER INVESTMENT	085	KO	B	1,500	68.09	n/a	19-Oct	60.00	4.0
TALPION LLC	040	KSS	SS	5,000	56.07	11-Nov	11-Nov	200.00	4.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>MMM</b>	<b>S</b>	<b>40</b>	<b>3.60</b>	<b>n/a</b>	<b>8-Nov</b>	<b>0.00</b>	<b>0.0</b>
BESSEMER INVESTMENT	085	MSFT	S	1,150	26.93	n/a	n/a	46.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>MSMSBCD</b>	<b>C</b>	<b>468,636</b>	<b>97.32</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.2</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MSMSBCD</b>	<b>SS</b>	<b>458,435</b>	<b>97.32</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MSMSBCM</b>	<b>C</b>	<b>4,797,439</b>	<b>97.08</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.2</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MSMSBCM</b>	<b>C</b>	<b>50,000</b>	<b>97.16</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>7.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MSMSBCM</b>	<b>C</b>	<b>80,000</b>	<b>97.16</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>7.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MSMSBCM</b>	<b>SS</b>	<b>4,695,694</b>	<b>97.08</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.0</b>
BRONSON POINT	036	M	B	50,000	31.16	n/a	10-Nov	1,500.00	3.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
B	BUCK CAPITAL MGMT		M	S	10,000	31.16	n/a	10-Nov	non-brg 4.0
	NEWLAND CAPITAL MGT	025	NAV	B	17,567	41.38	n/a	14-Sep	702.68 4.0
	BESSEMER INVESTMENT	085	NOV	S	1,233	71.18	n/a	n/a	49.32 4.0
	LATEFF MGMT	035	OI	S	250	20.74	n/a	n/a	50.00 20.0
	BESSEMER INVESTMENT	085	OXY	S	455	100.31	n/a	n/a	18.20 4.0
B	BUCK CAPITAL MGMT		PERY	S	10,000	22.77	n/a	n/a	non-brg 4.0
	BESSEMER INVESTMENT	085	PFE	S	1,405	20.13	n/a	n/a	56.20 4.0
	BESSEMER INVESTMENT	085	PGC	S	500	10.25	n/a	n/a	20.00 4.0
	LOMBARDIA CAP MGMT	084	PGI	S	16,008	8.95	n/a	n/a	640.32 4.0
	BESSEMER INVESTMENT	085	PG	S	1,332	64.00	n/a	7-Nov	53.28 4.0
B	BUCK CAPITAL MGMT		PLCE	S	30,000	47.25	n/a	9-Nov	non-brg 4.0
	BESSEMER INVESTMENT	085	QCOM	S	953	56.55	n/a	n/a	38.12 4.0
B	BUCK CAPITAL MGMT		RIG	B	10,000	49.71	n/a	n/a	non-brg 4.0
	SCOPUS FUND	041	RL	B	50,000	155.19	n/a	11-Nov	2,000.00 4.0
B	BUCK CAPITAL MGMT		SODA	S	25,000	32.35	n/a	n/a	non-brg 2.0
B	BUCK CAPITAL MGMT		SODA	S	25,000	33.05	n/a	n/a	non-brg 2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>STI</b>	<b>B</b>	<b>25,000</b>	<b>19.29</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BESSEMER INVESTMENT	085	STJ	S	1,990	39.91	n/a	n/a	79.60	4.0
MACQUARIE INVESTMENT MGMT.	040	SU	S	5,000	31.75	n/a	n/a	0.00	0.0
GLG PARTNERS	034	SWY	SS	30,060	19.96	n/a	n/a	901.80	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>TEA</b>	<b>B</b>	<b>20,000</b>	<b>21.96</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
LATEFF MGMT	035	TEVA	S	150	40.28	n/a	11-Nov	37.50	25.0
LATEFF MGMT	035	TSN	S	300	19.63	n/a	n/a	45.00	15.0
HARVEY PARTNERS	086	TUES	S	67,000	3.66	n/a	n/a	2,010.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>UAL</b>	<b>B</b>	<b>25,000</b>	<b>17.73</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
LATEFF MGMT	035	UAL	B	200	17.85	n/a	n/a	34.00	17.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>WCG</b>	<b>S</b>	<b>10</b>	<b>1.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LATEFF MGMT	035	WMT	S	100	58.99	n/a	11-Nov	25.00	25.0
SCOPUS FUND	041	WMT	B	100,000	58.99	n/a	11-Nov	4,000.00	4.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>WNC</b>	<b>S</b>	<b>5000</b>	<b>7.24</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>WYNN</b>	<b>SS</b>	<b>30,000</b>	<b>124.27</b>	<b>n/a</b>	<b>13-Jun</b>	<b>non-brg</b>	<b>4.0</b>
PILOT ADV	041	XL	B	80,400	21.22	n/a	n/a	2,412.00	3.0

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**TOTAL (Trade Date):**

**37,022.84**

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	11/10	BESSEMER INVESTMENT	085	AAPL	S	54	385.16	n/a	n/a	2.16	4.0
AO,CXL	11/10	BESSEMER INVESTMENT	085	AAPL	S	99	384.89	n/a	n/a	3.96	4.0
AO,	11/10	BESSEMER INVESTMENT	085	AAPL	S	45	384.57	n/a	n/a	1.80	4.0
AO,	11/10	BESSEMER INVESTMENT	085	ACE	S	155	70.20	n/a	n/a	6.20	4.0
AO,CRT	11/10	BESSEMER INVESTMENT	085	ACE	S	119	70.29	n/a	n/a	4.76	4.0
AO,CXL	11/10	BESSEMER INVESTMENT	085	ACE	S	274	70.24	n/a	n/a	10.96	4.0
AO,CXL	11/10	BESSEMER INVESTMENT	085	DIS	S	410	34.53	n/a	n/a	16.40	4.0
AO,	11/10	BESSEMER INVESTMENT	085	DIS	S	238	34.50	n/a	n/a	9.52	4.0
AO,CRT	11/10	BESSEMER INVESTMENT	085	DIS	S	172	34.57	n/a	n/a	6.88	4.0
AO,CRT	11/10	JETSTREAM GLOBAL FUND LP	065	DLB	B	113,000	28.81	n/a	n/a	5650.00	5.0
AO,CXL	11/10	JETSTREAM GLOBAL FUND LP	065	DLB	B	113,000	28.81	n/a	n/a	0.00	0.0
AO,CXL	11/10	BESSEMER INVESTMENT	085	ECL	S	439	54.62	n/a	8-Nov	17.56	4.0
AO,	11/10	BESSEMER INVESTMENT	085	ECL	S	260	54.61	n/a	8-Nov	10.40	4.0
AO,CRT	11/10	BESSEMER INVESTMENT	085	ECL	S	179	54.62	n/a	8-Nov	7.16	4.0
AO,	11/10	BESSEMER INVESTMENT	085	GE	S	740	16.01	n/a	n/a	29.60	4.0
AO,CRT	11/10	BESSEMER INVESTMENT	085	GE	S	575	16.03	n/a	n/a	23.00	4.0
AO,CXL	11/10	BESSEMER INVESTMENT	085	GE	S	1,315	16.02	n/a	n/a	52.60	4.0
AO,	11/10	BESSEMER INVESTMENT	085	IP	S	369	28.26	n/a	27-Oct	14.76	4.0
AO,CRT	11/10	BESSEMER INVESTMENT	085	IP	S	529	28.30	n/a	27-Oct	21.16	4.0
AO,CXL	11/10	BESSEMER INVESTMENT	085	IP	S	898	28.28	n/a	27-Oct	35.92	4.0
AO,CXL	11/10	BESSEMER INVESTMENT	085	JCI	S	389	30.84	n/a	27-Oct	15.56	4.0



Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	11/10	BESSEMER INVESTMENT	085	JCI	S	225	30.81	n/a	27-Oct	9.00 4.0
AO,CRT	11/10	BESSEMER INVESTMENT	085	JCI	S	164	30.88	n/a	27-Oct	6.56 4.0
AO,CRT	11/10	BESSEMER INVESTMENT	085	JPM	S	193	32.74	n/a	8-Nov	7.72 4.0
AO,CXL	11/10	BESSEMER INVESTMENT	085	JPM	S	448	32.71	n/a	8-Nov	17.92 4.0
AO,	11/10	BESSEMER INVESTMENT	085	JPM	S	255	32.69	n/a	8-Nov	10.20 4.0
AO,CXL	11/10	BESSEMER INVESTMENT	085	KFT	S	388	35.15	n/a	n/a	15.52 4.0
AO,	11/10	BESSEMER INVESTMENT	085	KFT	S	160	35.14	n/a	n/a	6.40 4.0
AO,CRT	11/10	BESSEMER INVESTMENT	085	KFT	S	228	35.16	n/a	n/a	9.12 4.0
AO,	11/10	BESSEMER INVESTMENT	085	MSFT	S	485	26.32	n/a	n/a	19.40 4.0
AO,CRT	11/10	BESSEMER INVESTMENT	085	MSFT	S	595	26.35	n/a	n/a	23.80 4.0
AO,CXL	11/10	BESSEMER INVESTMENT	085	MSFT	S	1,080	26.34	n/a	n/a	43.20 4.0
AO,	11/10	BESSEMER INVESTMENT	085	NOV	S	105	68.06	n/a	n/a	4.20 4.0
AO,CRT	11/10	BESSEMER INVESTMENT	085	NOV	S	723	68.20	n/a	n/a	28.92 4.0
AO,CXL	11/10	BESSEMER INVESTMENT	085	NOV	S	828	68.18	n/a	n/a	33.12 4.0
AO,CRT	11/10	BESSEMER INVESTMENT	085	OXY	S	53	98.23	n/a	n/a	2.12 4.0
AO,CXL	11/10	BESSEMER INVESTMENT	085	OXY	S	93	98.11	n/a	n/a	3.72 4.0
AO,	11/10	BESSEMER INVESTMENT	085	OXY	S	40	97.94	n/a	n/a	1.60 4.0
AO,CXL	11/10	BESSEMER INVESTMENT	085	PFE	S	990	19.81	n/a	n/a	39.60 4.0
AO,	11/10	BESSEMER INVESTMENT	085	PFE	S	565	19.81	n/a	n/a	22.60 4.0
AO,CRT	11/10	BESSEMER INVESTMENT	085	PFE	S	425	19.82	n/a	n/a	17.00 4.0
AO,	11/10	BESSEMER INVESTMENT	085	PG	S	170	63.36	n/a	7-Nov	6.80 4.0
AO,CRT	11/10	BESSEMER INVESTMENT	085	PG	S	121	63.38	n/a	7-Nov	4.84 4.0
AO,CXL	11/10	BESSEMER INVESTMENT	085	PG	S	291	63.37	n/a	7-Nov	11.64 4.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	11/10	BESSEMER INVESTMENT	085	QCOM	S	95	55.28	n/a	n/a	3.80	4.0
AO,CRT	11/10	BESSEMER INVESTMENT	085	QCOM	S	68	55.38	n/a	n/a	2.72	4.0
AO,CXL	11/10	BESSEMER INVESTMENT	085	QCOM	S	163	55.32	n/a	n/a	6.52	4.0
AO,	11/10	BESSEMER INVESTMENT	085	STJ	S	200	38.52	n/a	n/a	8.00	4.0
AO,CRT	11/10	BESSEMER INVESTMENT	085	STJ	S	138	38.55	n/a	n/a	5.52	4.0
AO,CXL	11/10	BESSEMER INVESTMENT	085	STJ	S	338	38.53	n/a	n/a	13.52	4.0
AO,CRT	11/10	JETSTREAM GLOBAL FUND LP	065	VMC	B	140,000	29.88	n/a	n/a	7000.00	5.0
AO,CXL	11/10	JETSTREAM GLOBAL FUND LP	065	VMC	B	140,000	29.88	n/a	n/a	0.00	0.0
TOTAL (AO, CXL, CRT) :									12,650.00		

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 11-Nov.

JWN, KSS

MRI Securities without Trade Activity on 11-Nov.

NONE

BRG comm. as a % of BCM Total Comm. paid.

T-Date = 0%

YTD = 2%

<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)