



# Daily Compliance Activity Report

Trade Date: 09/27/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BRONSON POINT	036	AA	B	160,000	10.82	n/a	n/a	4,800.00	3.0
⌘ BUCK CAPITAL MGMT		ASNA	B	150,000	27.93	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		ASNA	B	17,100	27.52	n/a	n/a	non-brg	0.8
⌘ BUCK CAPITAL MGMT		BBBY	S	20,000	59.44	n/a	n/a	non-brg	4.0
CHESAPEAKE PARTNERS	028	CCI	S	15,713	42.72	n/a	n/a	471.39	3.0
NOMURA CAPITAL	029	CHMT	S	28,647	11.98	n/a	18-Feb	859.41	3.0
⌘ BUCK CAPITAL MGMT		CHRS	B	300,000	3.02	n/a	n/a	non-brg	0.8
⌘ BUCK CAPITAL MGMT		CHS	SS	80,000	12.55	n/a	5-Feb	non-brg	4.0
⌘ BUCK CAPITAL MGMT		CMG	SS	15,000	325.50	n/a	20-Jul	non-brg	4.0
⌘ BUCK CAPITAL MGMT		CMG	SS	15,000	326.01	n/a	20-Jul	non-brg	4.0
SURVEYOR CAPITAL	041	CNW	S	8,379	23.93	n/a	n/a	251.37	3.0
⌘ HARALAMBOS EFSTATHI	FID	CPN	S	166	15.02	n/a	n/a	0.00	0.0
⌘ KAREN F LEDDY	FID	CPN	S	1707	15.18	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		CRMB	S	4,549	3.42	n/a	n/a	non-brg	2.0
PZENA INV ADV	044	CSC	B	6,550	28.20	n/a	n/a	229.26	3.5
IRIDIAN ASSET MGMT.	036	CSX	C	45,250	19.58	n/a	n/a	1,357.50	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROTHSCHILD ASSET	040	CYT	S	2,550	36.85	n/a	n/a	102.00	4.0
JANA CAPITAL	044	DF	SS	25,000	9.44	n/a	n/a	1,000.00	4.0
PEAK INV LLC	084	DXCM	S	25,000	12.99	n/a	n/a	1,000.00	4.0
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>ETAK</b>	<b>S</b>	<b>2700</b>	<b>2.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BNP PARIBAS SEC	040	FDO	SS	50,000	54.24	n/a	20-Sep	2,500.00	5.0
COLUMBIA PARTNERS	028	FDO	SS	35,953	54.35	n/a	20-Sep	1,438.12	4.0
DSM CAPITAL PARTNERS	085	FDO	S	3,800	54.18	n/a	20-Sep	190.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	FDO	SS	2,000	54.55	n/a	20-Sep	100.00	5.0
MERRILL ASSET/BLACKROCK	297	GCO	S	21,200	54.56	n/a	n/a	848.00	4.0
MERRILL ASSET/BLACKROCK	297	GES	B	57,100	31.26	n/a	25-Aug	2,284.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>GIL</b>	<b>S</b>	<b>50,000</b>	<b>27.67</b>	<b>n/a</b>	<b>5-Aug</b>	<b>non-brg</b>	<b>4.0</b>
MAIRS AND POWER INV	030	GIS	S	10,000	39.52	n/a	n/a	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>GPS</b>	<b>C</b>	<b>179,700</b>	<b>17.44</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GPS</b>	<b>C</b>	<b>200,000</b>	<b>17.44</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
DAVIDSON KEMPNER ADVISOR	040	GRA	S	10,000	37.95	n/a	n/a	500.00	5.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>GS</b>	<b>B</b>	<b>10</b>	<b>1.67</b>	<b>n/a</b>	<b>27-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>GS</b>	<b>S</b>	<b>10</b>	<b>4.55</b>	<b>n/a</b>	<b>27-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>HAL</b>	<b>B</b>	<b>20,000</b>	<b>34.34</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f DAVID GEORGE BUCK	FID	HBC	S	2000	40.23	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		HBI	S	70,500	26.74	n/a	21-Jul	non-brg	4.0
f DAVID GEORGE BUCK	FID	HDV	S	1500	50.87	n/a	n/a	0.00	0.0
SURVEYOR CAPITAL	041	HII	S	14,976	26.85	n/a	n/a	449.28	3.0
OHIO PERS	047	HPQ	B	444,500	23.99	n/a	n/a	13,335.00	3.0
RIDGECREST INV MGMT LLC	028	HPQ	B	15,000	24.32	n/a	n/a	750.00	5.0
DAVIDSON KEMPNER ADVISOR	040	IVN	S	50,000	18.10	n/a	n/a	2,500.00	5.0
WAGONHOUND/NICOLAS	033	JCI	B	12,821	28.20	n/a	23-Sep	512.84	4.0
IRIDIAN ASSET MGMT.	036	JPM	B	52,080	32.92	n/a	27-Sep	1,562.40	3.0
CASTLEROCK	040	KSS	SS	80,033	48.21	n/a	2-Sep	3,201.32	4.0
SURVEYOR CAPITAL	041	LPX	SS	34,188	5.88	n/a	5-Aug	1,025.64	3.0
ROXBURY CAPITAL MGMT	035	MLI	S	14,310	43.35	n/a	26-Jul	429.30	3.0
B BUCK CAPITAL MGMT		MSMSBCD	C	677,230	89.84	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		MSMSBCD	SS	655,449	89.84	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		MSMSBCM	C	6,613,924	89.79	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		MSMSBCM	C	80,000	89.96	n/a	n/a	non-brg	7.2
B BUCK CAPITAL MGMT		MSMSBCM	SS	6,401,203	89.79	n/a	n/a	non-brg	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>MSMSBOB</b>	<b>B</b>	<b>80,000</b>	<b>104.71</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>8.4</b>
IRIDIAN ASSET MGMT.	036	MS	B	50,000	15.40	n/a	27-Sep	1,500.00	3.0
MTB INV ADV	034	MTW	B	215,700	7.61	n/a	14-Sep	6,471.00	3.0
<b>f HARALAMBOS EFSTATHI</b>	<b>FID</b>	<b>MWA</b>	<b>S</b>	<b>3000</b>	<b>2.49</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>M</b>	<b>B</b>	<b>2000</b>	<b>27.74</b>	<b>n/a</b>	<b>2-Sep</b>	<b>0.00</b>	<b>0.0</b>
SURVEYOR CAPITAL	041	NAV	SS	5,447	36.84	n/a	14-Sep	163.41	3.0
MACQUARIE INVESTMENT MGMT.	040	NBL	SS	2,500	74.39	n/a	n/a	0.00	0.0
BNP PARIBAS SEC	040	NDN	B	40,000	19.13	n/a	16-Sep	2,000.00	5.0
COUGAR TRADING	044	NDN	B	10,000	19.50	n/a	16-Sep	500.00	5.0
SMITH MGMT LLC	029	NDN	S	100,000	19.25	n/a	16-Sep	3,000.00	3.0
WHITE PINE CAPITAL	030	NDN	S	30,250	19.10	n/a	16-Sep	1,512.50	5.0
IRIDIAN ASSET MGMT.	036	NSC	C	27,590	63.92	n/a	n/a	827.70	3.0
SURVEYOR CAPITAL	041	NUE	SS	5,862	34.08	n/a	n/a	175.86	3.0
FRED ALGER MGMT	035	OPTR	S	4,945	15.54	n/a	n/a	178.02	3.6
<b>B BUCK CAPITAL MGMT</b>		<b>PII</b>	<b>B</b>	<b>40,000</b>	<b>53.79</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PLCE</b>	<b>B</b>	<b>100,000</b>	<b>47.99</b>	<b>n/a</b>	<b>18-Aug</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PLCE</b>	<b>B</b>	<b>30,000</b>	<b>47.82</b>	<b>n/a</b>	<b>18-Aug</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
<b>B BUCK CAPITAL MGMT</b>		<b>RCL</b>	<b>B</b>	<b>30,000</b>	<b>23.02</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg 4.0</b>
DAVIDSON KEMPNER ADVISOR	040	RIO	C	10,000	49.81	n/a	n/a	500.00 5.0
RIDGECREST INV MGMT LLC	028	ROST	B	5,000	81.50	27-Sep[i]	27-Sep	250.00 5.0
SANDLER CAPITAL	028	ROST	B	60,000	81.67	27-Sep[i]	27-Sep	2,400.00 4.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>SCSC</b>	<b>S</b>	<b>5000</b>	<b>30.76</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SIG</b>	<b>S</b>	<b>1,300</b>	<b>36.04</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg 0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SIG</b>	<b>S</b>	<b>100,000</b>	<b>35.64</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg 4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SLB</b>	<b>B</b>	<b>10,000</b>	<b>63.05</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg 4.0</b>
<b>f MICHAEL C PERILLO</b>	<b>FID</b>	<b>SPY</b>	<b>B</b>	<b>5</b>	<b>3.12</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>
OHIO PERS	047	THC	S	37,177	4.33	n/a	n/a	1,115.31 3.0
DSM CAPITAL PARTNERS	085	TIF	B	16,255	71.70	n/a	n/a	812.75 5.0
<b>B BUCK CAPITAL MGMT</b>		<b>URBN</b>	<b>SS</b>	<b>50,000</b>	<b>24.21</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg 4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>URBN</b>	<b>SS</b>	<b>50,000</b>	<b>24.21</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg 4.0</b>
SURVEYOR CAPITAL	041	USG	SS	26,076	7.59	n/a	22-Jul	782.28 3.0
DAVIDSON KEMPNER ADVISOR	040	VALE	C	18,000	24.96	n/a	n/a	900.00 5.0
<b>B BUCK CAPITAL MGMT</b>		<b>WNC</b>	<b>B</b>	<b>22,360</b>	<b>5.01</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg 1.0</b>
FRED ALGER MGMT	035	WPRT	S	11,215	31.90	n/a	n/a	403.74 3.6

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	WY	S	25,000	16.67	n/a	29-Jul	1,250.00	5.0
SENATOR INVESTMENT GROUP	036	XCO	B	200,000	12.35	n/a	n/a	6,000.00	3.0
<b>f HARALAMBOS EFSTATHI</b>	<b>FID</b>	<b>XPO</b>	<b>B</b>	<b>1000</b>	<b>8.89</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
JANA CAPITAL	044	YHOO	S	50,000	14.68	n/a	n/a	2,000.00	4.0
SURVEYOR CAPITAL	041	YUM	B	56,232	53.90	n/a	10-Aug	1,686.96	3.0
TUDOR INVESTORS	028	ZUMZ	SS	25,000	19.19	n/a	n/a	750.00	3.0
<b>TOTAL (Trade Date) :</b>								<b>77,376.36</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	09/20	COOPER CREEK PART	028	BZ	S	50,000	6.72	n/a	n/a	1500.00 3.0
AO,CXL	09/20	COOPER CREEK PART	028	BZ	S	50,000	6.72	n/a	n/a	1500.00 3.0
AO,CXL	09/22	RWC PARTNERS LTD	085	HD	S	56,805	32.97	n/a	16-Aug	1704.15 3.0
AO,CRT	09/22	RWC PARTNERS LTD	085	HD	S	56,805	32.97	n/a	16-Aug	1704.15 3.0
AO,CXL	09/22	RWC PARTNERS LTD	085	IGT	B	5,286	14.17	n/a	13-Jun	158.58 3.0
AO,CRT	09/22	RWC PARTNERS LTD	085	IGT	B	5,286	14.17	n/a	13-Jun	158.58 3.0
AO,CXL	09/22	RWC PARTNERS LTD	085	LINTA	B	6,669	16.33	n/a	n/a	200.07 3.0
AO,CRT	09/22	RWC PARTNERS LTD	085	LINTA	B	6,669	16.33	n/a	n/a	200.07 3.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>0.00</b>
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TOTAL (Trade Date) :	77,376.36
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TOTAL (AO, CXL, CRT) :	0.00
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<b>TOTAL (RUN DATE) / NFS :</b>	<b>77,376.36</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 27-Sep.

ROST

MRI Securities without Trade Activity on 27-Sep.

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)**