

Daily Compliance Activity Report Trade Date: 09/27/2011

Potential ANALYST TRADE Violations: 0 Watch List ACTIVITY ALERT: 0

Wutth List ACTIVITI ALLKI											
Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	Shr.		
BRONSON POINT	036	AA	В	160,000	10.82	n/a	n/a	4,800.00	3.0		
BUCK CAPITAL MGMT		ASNA	В	150,000	27.93	n/a	n/a	non-brg	4.0		
BUCK CAPITAL MGMT		ASNA	В	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	В	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	В	6,550	28.20	n/a	n/a	229.26	3.5		
IRIDIAN ASSET MGMT.	036	CSX	С	45,250	19.58	n/a	n/a	1,357.50	3.0		
	BRONSON POINT BUCK CAPITAL MGMT BUCK CAPITAL MGMT BUCK CAPITAL MGMT CHESAPEAKE PARTNERS NOMURA CAPITAL BUCK CAPITAL MGMT BUCK CAPITAL MGMT BUCK CAPITAL MGMT SURVEYOR CAPITAL HARALAMBOS EFSTATHI KAREN F LEDDY BUCK CAPITAL MGMT PZENA INV ADV	BRONSON POINT 036 BUCK CAPITAL MGMT BUCK CAPITAL MGMT BUCK CAPITAL MGMT CHESAPEAKE PARTNERS 028 NOMURA CAPITAL MGMT BUCK CAPITAL MGMT BUCK CAPITAL MGMT BUCK CAPITAL MGMT SURVEYOR CAPITAL MGMT HARALAMBOS EFSTATHI KAREN F LEDDY FID BUCK CAPITAL MGMT PZENA INV ADV 044	BRONSON POINT 036 AA BUCK CAPITAL MGMT ASNA BUCK CAPITAL MGMT BBBY CHESAPEAKE PARTNERS 028 CCI NOMURA CAPITAL MGMT CHRS BUCK CAPITAL MGMT CHRS BUCK CAPITAL MGMT CHRS BUCK CAPITAL MGMT CMG BUCK CAPITAL MGMT CMG SURVEYOR CAPITAL MGMT CMG SURVEYOR CAPITAL MGMT CMG HARALAMBOS EFSTATHI FID CPN KAREN F LEDDY FID CPN BUCK CAPITAL MGMT CRMB CRMB	RR# Symbol B/S BRONSON POINT 036 AA B BUCK CAPITAL MGMT ASNA B BUCK CAPITAL MGMT BBBY S CHESAPEAKE PARTNERS 028 CCI S NOMURA CAPITAL MGMT CHRS B BUCK CAPITAL MGMT CHRS B BUCK CAPITAL MGMT CHRS B BUCK CAPITAL MGMT CHS SS BUCK CAPITAL MGMT CMG SS BUCK CAPITAL MGMT CMG SS SURVEYOR CAPITAL MGMT CMG SS SURVEYOR CAPITAL MGMT CMG SS BUCK CAPITAL MGMT CRMB S BUCK CAPITAL MGMT CRMB S BUCK CAPITAL MGMT CRMB S	Account RR# Symbol B/S Shares BRONSON POINT 036 AA B 160,000 BUCK CAPITAL MGMT ASNA B 150,000 BUCK CAPITAL MGMT ASNA B 17,100 BUCK CAPITAL MGMT BBBY S 20,000 CHESAPEAKE PARTNERS 028 CCI S 15,713 NOMURA CAPITAL 029 CHMT S 28,647 BUCK CAPITAL MGMT CHRS B 300,000 BUCK CAPITAL MGMT CMG SS 15,000 BUCK CAPITAL MGMT CMG SS 15,000 SURVEYOR CAPITAL 041 CNW S 8,379 HARALAMBOS EFSTATHI FID CPN S 166 KAREN F LEDDY FID CPN S 1707 BUCK CAPITAL MGMT CRMB S 4,549 PZENA INV ADV 044 CSC B 6,550	Account RR# Symbol B/S Shares Price BRONSON POINT 036 AA B 160,000 10.82 BUCK CAPITAL MGMT ASNA B 150,000 27.93 BUCK CAPITAL MGMT BBBY S 20,000 59.44 CHESAPEAKE PARTNERS 028 CCI S 15,713 42.72 NOMURA CAPITAL 029 CHMT S 28,647 11.98 BUCK CAPITAL MGMT CHRS B 300,000 3.02 BUCK CAPITAL MGMT CHS SS 80,000 12.55 BUCK CAPITAL MGMT CMG SS 15,000 325.50 BUCK CAPITAL MGMT CMG SS 15,000 326.01 SURVEYOR CAPITAL 041 CNW S 8,379 23.93 HARALAMBOS EFSTATHI FID CPN S 166 15.02 KAREN F LEDDY FID CPM S 1707 15.18 BUCK CAPITAL MGMT CRMB	Account RR# Symbol B/S Shares Price MRI BRONSON POINT 036 AA B 160,000 10.82 n/a BUCK CAPITAL MGMT ASNA B 150,000 27.93 n/a BUCK CAPITAL MGMT BBBY S 20,000 59.44 n/a CHESAPEAKE PARTNERS 028 CCI S 15,713 42.72 n/a NOMURA CAPITAL 029 CHMT S 28,647 11.98 n/a BUCK CAPITAL MGMT CHRS B 300,000 3.02 n/a BUCK CAPITAL MGMT CMS SS 80,000 12.55 n/a BUCK CAPITAL MGMT CMG SS 15,000 325.50 n/a BUCK CAPITAL MGMT CMG SS 15,000 326.01 n/a SURVEYOR CAPITAL 041 CNW S 8,379 23.93 n/a HARALAMBOS EFSTATHI FID CPN S 166 15.02	Account RR# Symbol B/S Shares Price MRI Research BRONSON POINT 036 AA B 160,000 10.82 n/a n/a BUCK CAPITAL MGMT ASNA B 150,000 27.93 n/a n/a BUCK CAPITAL MGMT ASNA B 17,100 27.52 n/a n/a BUCK CAPITAL MGMT BBBY S 20,000 59.44 n/a n/a CHESAPEAKE PARTNERS 028 CCI S 15,713 42.72 n/a n/a NOMURA CAPITAL 029 CHMT S 28,647 11.98 n/a 18-Feb BUCK CAPITAL MGMT CHRS B 300,000 3.02 n/a n/a BUCK CAPITAL MGMT CMG SS 80,000 12.55 n/a 20-Jul BUCK CAPITAL MGMT CMG SS 15,000 325.50 n/a n/a SURVEYOR CAPITAL 041 CNW S 8,37	Account RR# Symbol B/S Shares Frice MRI Research Comm. of the communication of th		

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 CAPIT	AL	044	DF	SS	25,000	9.44	n/a	n/a	1,000.00	4.0
PEAK INV L	LC	084	DXCM	S	25,000	12.99	n/a	n/a	1,000.00	4.0
KAREN F LE	DDY	FID	ETAK	S	2700	2.85	n/a	n/a	0.00	0.0
BNP PARIBA	S SEC	040	FDO	SS	50,000	54.24	n/a	20-Sep	2,500.00	5.0
COLUMBIA P	ARTNERS	028	FDO	SS	35,953	54.35	n/a	20-Sep	1,438.12	4.0
DSM CAPITA	L PARTNERS	085	FDO	S	3,800	54.18	n/a	20-Sep	190.00	5.0
MA CAPITAL	MGMT/MELLON A	DV041	FDO	SS	2,000	54.55	n/a	20-Sep	100.00	5.0
MERRILL AS	SET/BLACKROCK	297	GCO	S	21,200	54.56	n/a	n/a	848.00	4.0
MERRILL AS	SET/BLACKROCK	297	GES	В	57,100	31.26	n/a	25-Aug	2,284.00	4.0
BUCK CAPIT	AL MGMT		GIL	S	50,000	27.67	n/a	5-Aug	non-brg	4.0
MAIRS AND	POWER INV	030	GIS	S	10,000	39.52	n/a	n/a	500.00	5.0
BUCK CAPIT	AL MGMT		GPS	С	179,700	17.44	n/a	n/a	non-brg	4.0
BUCK CAPIT	AL MGMT		GPS	С	200,000	17.44	n/a	n/a	non-brg	4.0
DAVIDSON K	EMPNER ADVISOR	040	GRA	S	10,000	37.95	n/a	n/a	500.00	5.0
DAVID GEOR	GE BUCK	FID	GS	В	10	1.67	n/a	27-Sep	0.00	0.0
DAVID GEOR	GE BUCK	FID	GS	S	10	4.55	n/a	27-Sep	0.00	0.0
BUCK CAPIT	AL MGMT		HAL	В	20,000	34.34	n/a	n/a	non-brg	1.0

	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
ß	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 RIDGECREST INV MGMT LLC	047	HPQ HPO	В	444,500 15,000	23.99	n/a n/a	n/a n/a	13,335.00 750.00	3.0 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	В	12,821	28.20	n/a	23-Sep	512.84	4.0
	IRIDIAN ASSET MGMT.	036	JPM	В	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
ß ß	BUCK CAPITAL MGMT BUCK CAPITAL MGMT		MSMSBCD MSMSBCD	C SS	677,230 655,449	89.84 89.84	n/a n/a	n/a n/a	non-brg	0.8
B B	BUCK CAPITAL MGMT BUCK CAPITAL MGMT BUCK CAPITAL MGMT		MSMSBCM MSMSBCM MSMSBCM	c c ss	6,613,924 80,000 6,401,203	89.79 89.96 89.79	n/a n/a n/a	n/a n/a n/a	non-brg non-brg non-brg	0.8 7.2 0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢	/Shr.
ß	BUCK CAPITAL MGMT		MSMSBOB	В	80,000	104.71	n/a	n/a	non-brg	8.4
	IRIDIAN ASSET MGMT.	036	MS	В	50,000	15.40	n/a	27-Sep	1,500.00	3.0
	MTB INV ADV	034	MTW	В	215,700	7.61	n/a	14-Sep	6,471.00	3.0
f	HARALAMBOS EFSTATHI	FID	MWA	s	3000	2.49	n/a	n/a	0.00	0.0
f	DAVID GEORGE BUCK	FID	М	В	2000	27.74	n/a	2-Sep	0.00	0.0
	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	В	40,000	19.13	n/a	16-Sep	2,000.00	5.0
	COUGAR TRADING	044	NDN	В	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	С	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
ß	BUCK CAPITAL MGMT		PII	В	40,000	53.79	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		PLCE	В	100,000	47.99	n/a	18-Aug	non-brg	4.0
ß	BUCK CAPITAL MGMT		PLCE	В	30,000	47.82	n/a	18-Aug	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.	¢/Shr.
a	BUCK CAPITAL MGMT		RCL	В	30,000	23.02	n/a	n/a	non-brg	4.0
	DAVIDSON KEMPNER ADVISOR	040	RIO	С	10,000	49.81	n/a	n/a	500.00	5.0
	RIDGECREST INV MGMT LLC	028	ROST	В	5,000	81.50	27-Sep[i]	27-Sep	250.00	5.0
	SANDLER CAPITAL	028	ROST	В	60,000	81.67	27-Sep[i]	27-Sep	2,400.00	4.0
f	EDWARD W WHEELER	FID	scsc	s	5000	30.76	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		SIG	S	1,300	36.04	n/a	n/a	non-brg	0.8
ß	BUCK CAPITAL MGMT		SIG	S	100,000	35.64	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		SLB	В	10,000	63.05	n/a	n/a	non-brg	4.0
f	MICHAEL C PERILLO	FID	SPY	В	5	3.12	n/a	n/a	0.00	0.0
	OHIO PERS	047	THC	S	37 , 177	4.33	n/a	n/a	1,115.31	3.0
	DSM CAPITAL PARTNERS	085	TIF	В	16,255	71.70	n/a	n/a	812.75	5.0
ß	BUCK CAPITAL MGMT		URBN	SS	50,000	24.21	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		URBN	SS	50,000	24.21	n/a	n/a	non-brg	4.0
	SURVEYOR CAPITAL	041	USG	SS	26 , 076	7.59	n/a	22-Jul	782.28	3.0
	DAVIDSON KEMPNER ADVISOR	040	VALE	С	18,000	24.96	n/a	n/a	900.00	5.0
ß	BUCK CAPITAL MGMT		WNC	В	22,360	5.01	n/a	n/a	non-brg	1.0
	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 PROPRIETA	RY 041	WY	S	25,000	16.67	n/a	29-Jul	1,250.00 5.0
SENATOR INVESTMENT GR	OUP 036	XCO	В	200,000	12.35	n/a	n/a	6,000.00 3.0
f HARALAMBOS EFSTATHI	FID	XPO	В	1000	8.89	n/a	n/a	0.00 0.0
JANA CAPITAL	044	YHOO	S	50,000	14.68	n/a	n/a	2,000.00 4.0
SURVEYOR CAPITAL	041	YUM	В	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

TOTAL (Trade Date):

77,376.36

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	В	5 , 286	14.17	n/a	13-Jun	158.58	3.0
AO,CRT	09/22	RWC PARTNERS LTD	085	IGT	В	5,286	14.17	n/a	13-Jun	158.58	3.0
AO,CXL	09/22	RWC PARTNERS LTD	085	LINTA	В	6,669	16.33	n/a	n/a	200.07	3.0
AO, CRT	09/22	RWC PARTNERS LTD	085	LINTA	В	6,669	16.33	n/a	n/a	200.07	3.0

TOTAL (Trade Date): TOTAL (AO, CXL, CRT):	77,376.36 0.00
TOTAL (RUN DATE) / NFS:	77,376.36

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.

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:

O: 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)