



Daily Compliance Activity Report

Trade Date: 09/30/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
AVESTA CAP	229	AAPL	S	25,000	385.85	n/a	n/a	750.00	3.0
LATEFF MGMT	035	AA	B	300	9.89	n/a	n/a	30.00	10.0
MERRILL ASSET/BLACKROCK	297	ACE	B	160,000	60.60	n/a	n/a	6,400.00	4.0
AVESTA CAP	229	ADI	C	100,000	31.46	n/a	n/a	3,000.00	3.0
MACQUARIE INVESTMENT MGMT.	040	AGN	S	5,000	83.19	n/a	26-Sep	0.00	0.0
B BUCK CAPITAL MGMT		ANF	S	10,000	61.50	n/a	18-Aug	non-brg	4.0
B BUCK CAPITAL MGMT		ANF	S	16,700	62.16	n/a	18-Aug	non-brg	4.0
B BUCK CAPITAL MGMT		ANF	S	23,300	62.02	n/a	18-Aug	non-brg	1.0
LOCUS WOOD CAPITAL MGMT	044	APKT	SS	25,000	41.49	n/a	n/a	1,000.00	4.0
RAIL-SPLITTER	031	ARCO	B	30,100	22.60	n/a	9-Sep	1,505.00	5.0
B BUCK CAPITAL MGMT		ARO	SS	50,000	10.92	n/a	19-Aug	non-brg	4.0
f MANNY I KORMAN	FID	AXP	S	4000	45.35	n/a	28-Sep	0.00	0.0
VISM	044	BAC	S	30,000	6.22	n/a	27-Sep	1,200.00	4.0
LATEFF MGMT	035	CBL	B	750	11.64	n/a	n/a	75.00	10.0
B BUCK CAPITAL MGMT		CHRS	B	100,000	2.63	n/a	n/a	non-brg	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		CHRS	B	100,000	2.68	n/a	n/a	non-brg	0.8
MTB INV ADV	034	CLB	B	12,325	90.40	n/a	21-Jul	616.25	5.0
MACQUARIE INVESTMENT MGMT.	040	COH	B	2,500	52.73	n/a	3-Aug	0.00	0.0
f KAREN F LEDDY	FID	CPN	S	2000	14.10	n/a	n/a	0.00	0.0
f JOHN BARTMAN COLE	FID	CVGI	S	600	6.62	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	CVGI	B	390	6.44	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	C	S	23000	26.18	n/a	27-Sep	0.00	0.0
MTB INV ADV	034	DAN	S	10,075	10.77	n/a	29-Jul	403.00	4.0
B BUCK CAPITAL MGMT		DECK	S	20,000	93.45	n/a	n/a	non-brg	4.0
MERRILL ASSET/BLACKROCK	297	DFT	B	12,000	19.92	n/a	n/a	480.00	4.0
f JONATHAN RICHARD HAR	FID	DGP	S	238	52.19	n/a	n/a	0.00	0.0
VISIUM/BALY BOBBY	044	DOW	C	5,000	22.82	n/a	7-Sep	250.00	5.0
f MARC PAUL LUCHANSKY	FID	EL	S	200	88.10	n/a	16-Aug	0.00	0.0
MTB INV ADV	034	EVEP	B	23,375	71.25	n/a	n/a	1,168.75	5.0
LATEFF MGMT	035	FDX	B	100	68.95	n/a	n/a	25.00	25.0
B BUCK CAPITAL MGMT		FINL	S	50,000	20.54	n/a	23-Sep	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROYCE TRADING	031	FINL	B	7,500	20.27	n/a	23-Sep	375.00	5.0
⚡ BUCK CAPITAL MGMT		FL	S	50,000	20.30	n/a	19-Aug	non-brg	4.0
⚡ BUCK CAPITAL MGMT		FOSL	S	30,000	85.63	n/a	n/a	non-brg	4.0
MACQUARIE INVESTMENT MGMT.	040	FRX	B	5,000	31.12	n/a	26-Sep	0.00	0.0
f MANNY I KORMAN	FID	FXI	S	4000	31.04	n/a	n/a	0.00	0.0
PHILADELPHIA FINANCIAL	033	F	C	100,000	9.84	n/a	30-Sep	4,000.00	4.0
SAVITR CAPITAL	084	GEVO	B	20,000	5.51	n/a	n/a	600.00	3.0
LATEFF MGMT	035	GE	B	300	15.48	n/a	n/a	30.00	10.0
⚡ BUCK CAPITAL MGMT		GIL	S	23,400	25.74	n/a	5-Aug	non-brg	4.0
⚡ BUCK CAPITAL MGMT		GIL	S	6,600	25.44	n/a	5-Aug	non-brg	2.0
CAMBIAR CAP	046	GLW	B	100,000	12.43	n/a	23-Sep	4,000.00	4.0
f MANNY I KORMAN	FID	GLW	S	5000	12.38	n/a	23-Sep	0.00	0.0
⚡ BUCK CAPITAL MGMT		GMCR	S	20,000	93.47	n/a	n/a	non-brg	4.0
BNP PARIBAS SEC	040	GM	B	30,000	20.26	n/a	30-Sep	1,500.00	5.0
f MANNY I KORMAN	FID	GM	B	400	2.92	n/a	30-Sep	0.00	0.0
f DAVID GEORGE BUCK	FID	GS	S	1000	94.88	n/a	27-Sep	0.00	0.0
BARROW HANLEY MEWHINNEY	031	INTC	S	181,400	21.87	n/a	n/a	6,349.00	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BMO NESBITT BURNS	041	IP	B	25,000	23.50	n/a	6-Sep	1,250.00	5.0
f MANNY I KORMAN	FID	JCI	S	9000	26.56	n/a	23-Sep	0.00	0.0
LATEFF MGMT	035	JPM	B	525	30.75	n/a	27-Sep	52.50	10.0
WHITE PINE CAPITAL	030	KMT	B	4,825	32.67	n/a	14-Sep	241.25	5.0
CASTLEROCK	040	KSS	B	80,033	50.22	n/a	28-Sep	3,201.32	4.0
LEVIN CAPITAL STRATEGIES	041	LEA	S	7,500	43.10	n/a	5-Aug	225.00	3.0
LOCUS WOOD CAPITAL MGMT	044	LII	SS	30,000	26.92	n/a	n/a	1,200.00	4.0
f MANNY I KORMAN	FID	LNCR	S	10000	22.52	n/a	n/a	0.00	0.0
AVESTA CAP	229	LOW	SS	200,000	19.59	n/a	15-Aug	6,000.00	3.0
MERRILL ASSET/BLACKROCK	297	MA	B	25,000	319.46	n/a	16-Sep	1,000.00	4.0
f MANNY I KORMAN	FID	MMM	S	1000	73.64	n/a	7-Sep	0.00	0.0
ROYCE TRADING	031	MOV	B	15,000	12.61	n/a	n/a	750.00	5.0
f MARC PAUL LUCHANSKY	FID	MTW	S	500	7.03	n/a	14-Sep	0.00	0.0
MTB INV ADV	034	MTW	B	59,700	6.83	n/a	14-Sep	1,791.00	3.0
f MANNY I KORMAN	FID	MYL	S	4000	17.44	n/a	26-Sep	0.00	0.0
B BUCK CAPITAL MGMT		M	S	105,000	26.69	n/a	28-Sep	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVIN CAPITAL STRATEGIES	041	M	B	7,020	26.95	n/a	28-Sep	210.60	3.0
f DAVID GEORGE BUCK	FID	NAV	B	2000	32.22	n/a	14-Sep	0.00	0.0
ADAGE CAPITAL MGMT	030	NDN	B	250,000	18.17	n/a	16-Sep	7,500.00	3.0
SMITH MGMT LLC	029	NDN	S	230,000	18.09	n/a	16-Sep	6,900.00	3.0
COLUMBUS CAP MGMT LLC	084	ORCL	SS	30,000	28.97	n/a	n/a	1,500.00	5.0
LATEFF MGMT	035	PFE	S	200	17.93	n/a	n/a	30.00	15.0
BMO NESBITT BURNS	041	PKG	SS	25,000	23.85	n/a	4-Aug	1,250.00	5.0
f ANDREW LONGLEY TRUS	FID	PTTDX	B	278	10.79	n/a	n/a	0.00	0.0
f CLIFFORD LONGLEY TR	FID	PTTDX	B	278	10.79	n/a	n/a	0.00	0.0
f JONATHAN LONGLEY TR	FID	PTTDX	B	278	10.79	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		PVH	S	20,000	58.96	n/a	1-Sep	non-brg	4.0
f JOHN FRANCIS MCERLEA	FID	RUSHA	B	500	15.16	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	SGI	B	400	12.15	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	SIJ	B	10000	60.96	n/a	n/a	0.00	0.0
CASTLEROCK	040	SOHU	B	39,517	52.56	n/a	n/a	1,580.68	4.0
MACQUARIE INVESTMENT MGMT.	040	SPN	B	4,000	27.31	n/a	n/a	0.00	0.0
MOORE CAPITAL	041	SPY	C	15,000	113.86	n/a	n/a	450.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEFF MGMT	035	TCB	S	500	9.44	n/a	n/a	50.00	10.0
LATEFF MGMT	035	TEVA	B	100	37.64	n/a	26-Sep	25.00	25.0
f MANNY I KORMAN	FID	TEVA	S	5000	37.10	n/a	26-Sep	0.00	0.0
B BUCK CAPITAL MGMT		TGT	S	215,000	49.23	n/a	28-Sep	non-brg	4.0
B BUCK CAPITAL MGMT		TPX	B	50,000	53.70	n/a	n/a	non-brg	4.0
f JOSEPH CIRO AMATURO	FID	TZA	B	2000	50.93	n/a	n/a	0.00	0.0
NUVEEN - US BANCORP		030 ULTA	S	33,251	63.03		n/a	n/a	1,496.30 4.5
LATEFF MGMT	035	UN	S	225	31.93	n/a	n/a	33.75	15.0
f MANNY I KORMAN	FID	WBC	S	5000	38.77	n/a	22-Sep	0.00	0.0
f MANNY I KORMAN	FID	WCRX	S	5000	14.50	n/a	26-Sep	0.00	0.0
MA CAPITAL MGMT/MELLON ADV041		WEN	B	22,000	4.68	n/a	12-Aug	660.00	3.0
VISIUM/BALY BOBBY	044	XLI	S	8,000	29.24	n/a	n/a	400.00	5.0
f KEVIN MICHAEL O'GORM	FID	ZSL	S	4000	16.40	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ZUMZ	SS	15,000	17.55	n/a	n/a	non-brg	2.5
SIMMONS VENTURES	041	ZUMZ	B	5,000	17.98	n/a	n/a	250.00	5.0

TOTAL (Trade Date):

71,804.40

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/26	ROXBURY CAPITAL MGMT	035	MLI	S	185	39.93	n/a	26-Jul	5.55 3.0
AO,CRT	09/26	ROXBURY CAPITAL MGMT	035	MLI	S	185	39.93	n/a	26-Jul	5.55 3.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	71,804.40
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	71,804.40
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CXL	09/28	BUCK CAPITAL MGMT.	CHRS	B	100,000	2.90	n/a	n/a	750.00
CRT	09/28	BUCK CAPITAL MGMT	CHRS	B	100,000	2.90	n/a	n/a	2000.00 2.0
CXL	09/28	BUCK CAPITAL MGMT.	CHRS	B	100,000	2.90	n/a	n/a	750.00
CRT	09/28	BUCK CAPITAL MGMT	CHRS	B	100,000	2.90	n/a	n/a	750.00 0.8

MRI Securities with Trade Activity on 30-Sep.
NONE

MRI Securities without Trade Activity on 30-Sep.
IR

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)