



Daily Compliance Activity Report

Trade Date: 10/28/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MELLON/BANK OF NEW YORK	046	ACN	B	16,830	61.33	n/a	n/a	673.20	4.0
UBS OCONNOR	031	ADP	SS	75,000	52.50	n/a	n/a	2,250.00	3.0
f DAVID GEORGE BUCK	FID	ALV	B	2000	59.72	n/a	26-Oct	0.00	0.0
PENNANT CAP MGMT	029	AMGN	S	54,973	57.72	n/a	n/a	1,649.19	3.0
f MATTHEW FRANCIS BUCK	FID	AMZN	S	100	214.84	n/a	n/a	0.00	0.0
KLEINHEINZ CAP PART	031	AN	S	75,000	39.35	n/a	21-Oct	3,750.00	5.0
OHIO PERS	047	ARBA	B	170,600	32.26	n/a	n/a	5,118.00	3.0
TALPION LLC	040	ARCO	B	10,000	23.03	n/a	28-Oct	400.00	4.0
THE JAY GOLDMAN	028	ARO	B	15,000	14.32	n/a	19-Aug	600.00	4.0
BALYASNY ASSET MGMT	044	ASNA	SS	25,000	30.47	n/a	n/a	1,250.00	5.0
OZ MGMT	040	AXL	C	249,467	9.71	n/a	19-Oct	7,484.01	3.0
B BUCK CAPITAL MGMT		BKS	B	135,500	11.54	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		BKS	B	2,178	12.00	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		BKS	B	50,000	11.55	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BKS	B	77,833	11.59	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	BP	B	1500	45.48	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f	MATTHEW FRANCIS BUCK	FID	BP	B	250	45.47	n/a	n/a	0.00	0.0
	PENNANT CAP MGMT	029	BRCM	S	48,186	36.83	n/a	n/a	1,445.58	3.0
ß	BUCK CAPITAL MGMT		BWA	SS	10,000	74.73	n/a	19-Oct	non-brg	4.0
	DEVENNY CAP LLC	044	BWA	SS	5,272	76.53	n/a	19-Oct	158.16	3.0
	OZ MGMT	040	BWA	SS	80,000	76.42	n/a	19-Oct	2,400.00	3.0
f	DAVID GEORGE BUCK	FID	CAH	S	1500	45.95	n/a	n/a	0.00	0.0
	MELLON/BANK OF NEW YORK	046	CAH	S	362,005	45.66	n/a	n/a	14,480.20	4.0
f	DAVID S HOCHSTIM	FID	CAR	S	6	14.70	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		CHS	SS	50,000	12.74	n/a	5-Feb	non-brg	4.0
ß	BUCK CAPITAL MGMT		CHS	SS	50,000	12.74	n/a	5-Feb	non-brg	4.0
f	HARALAMBOS EFSTATHI	FID	CROX	B	600	16.88	n/a	n/a	0.00	0.0
f	JONATHAN RICHARD HAR	FID	CROX	B	600	16.69	n/a	n/a	0.00	0.0
f	KAREN F LEDDY	FID	CROX	B	2000	16.82	n/a	n/a	0.00	0.0
	THIRD COAST CAPITAL	035	CROX	B	15,000	16.95	n/a	n/a	750.00	5.0
f	DAVID S HOCHSTIM	FID	CRT	S	9	47.00	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		CVGI	S	20,000	10.84	n/a	n/a	non-brg	1.0
f	JOSEPH CIRO AMATURO	FID	CVGI	S	5000	10.79	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		DECK	B	10,000	113.63	n/a	n/a	non-brg	4.0
f	JONATHAN RICHARD HAR	FID	DGP	S	50	60.19	n/a	n/a	0.00	0.0
	MACQUARIE INVESTMENT MGMT.	040	DPS	SS	3,170	37.47	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
B BUCK CAPITAL MGMT		EL	C	20,000	101.42	n/a	16-Aug	non-brg 4.0
SURVEYOR CAPITAL	041	ERTS	S	87,588	24.04	n/a	n/a	2,627.64 3.0
SURVEYOR CAPITAL	041	EXPE	S	76,038	27.20	n/a	n/a	2,281.14 3.0
f DAVID S HOCHSTIM	FID	FCH	S	500	3.03	n/a	n/a	0.00 0.0
FARALLON CAP MGMT	040	FCX	B	22,500	43.41	n/a	n/a	900.00 4.0
B BUCK CAPITAL MGMT		FOSL	B	10,000	108.20	n/a	n/a	non-brg 4.0
f DAVID S HOCHSTIM	FID	FTAR	S	297	0.63	n/a	n/a	0.00 0.0
f DAVID S HOCHSTIM	FID	FTR	S	193	6.20	n/a	n/a	0.00 0.0
IMPALA ASSET MMT	040	F	S	240,000	12.00	n/a	27-Oct	7,200.00 3.0
OZ MGMT	040	F	C	100,000	12.00	n/a	27-Oct	3,000.00 3.0
OZ MGMT	040	F	SS	200,000	11.92	n/a	27-Oct	6,000.00 3.0
B BUCK CAPITAL MGMT		GIL	B	70,000	26.41	n/a	21-Oct	non-brg 4.0
BNP PARIBAS SEC	040	GMCR	B	10,000	69.15	n/a	n/a	500.00 5.0
B BUCK CAPITAL MGMT		GPS	SS	200,000	19.31	n/a	n/a	non-brg 4.0
B BUCK CAPITAL MGMT		HBI	S	100,000	27.38	n/a	21-Oct	non-brg 4.0
B BUCK CAPITAL MGMT		HBI	S	90,700	27.33	n/a	21-Oct	non-brg 0.8
KLEINHEINZ CAP PART	031	HLF	B	20,000	61.49	n/a	n/a	1,000.00 5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
IMPALA ASSET MMT	040	HOG	S	40,000	39.69	n/a	n/a	1,600.00	4.0
f MANNY I KORMAN	FID	HOT	B	6000	52.54	n/a	13-Jun	0.00	0.0
CAMBIAR CAP	046	HSP	B	9,635	31.05	n/a	27-Oct	385.40	4.0
f DAVID GEORGE BUCK	FID	IEV	B	1500	37.77	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	IEV	B	200	37.60	n/a	n/a	0.00	0.0
SCOPUS FUND	041	IP	B	15,000	28.65	n/a	27-Oct	600.00	4.0
COLUMBUS CAP MGMT LLC	084	KITD	SS	11,000	9.60	n/a	n/a	440.00	4.0
BNP PARIBAS SEC	040	KSS	B	50,000	53.02	n/a	28-Oct	2,500.00	5.0
BNP PARIBAS SEC	040	KSS	SS	50,000	54.19	n/a	28-Oct	2,500.00	5.0
B BUCK CAPITAL MGMT		KSS	SS	10,000	53.98	n/a	28-Oct	non-brg	4.0
OZ MGMT	040	LEA	B	100,000	46.01	n/a	5-Aug	3,000.00	3.0
IMPALA ASSET MMT	040	LVS	B	100,000	48.51	n/a	13-Jun	5,000.00	5.0
KACELA CAPITAL	034	MAR	SS	25,000	32.97	n/a	13-Jun	1,000.00	4.0
UBS OCONNOR	031	MCO	SS	75,000	36.39	n/a	n/a	2,250.00	3.0
OZ MGMT	040	MGA	SS	80,000	39.64	n/a	n/a	2,400.00	3.0
B BUCK CAPITAL MGMT		MSMSBCD	C	468,636	98.03	n/a	n/a	non-brg	0.1
B BUCK CAPITAL MGMT		MSMSBCD	SS	468,636	98.03	n/a	n/a	non-brg	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		MSMSBCM	C	4,673,706	97.98	n/a	n/a	non-brg	0.1
B BUCK CAPITAL MGMT		MSMSBCM	SS	4,673,706	97.98	n/a	n/a	non-brg	0.0
CRAMER ROSENTHAL/SCOTT	070	MWW	B	218,350	9.35	n/a	n/a	8,734.00	4.0
B BUCK CAPITAL MGMT		MW	SS	50,000	30.77	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		M	S	50,000	31.23	n/a	28-Oct	non-brg	4.0
f DAVID GEORGE BUCK	FID	M	S	2000	31.48	n/a	28-Oct	0.00	0.0
FIRST NY SEC/CHRIS	041	M	SS	10,000	31.05	n/a	28-Oct	500.00	5.0
B BUCK CAPITAL MGMT		NWY	S	30,300	2.82	n/a	n/a	non-brg	2.0
HUNTER GLOBAL INVESTOR	028	OSK	B	37,821	21.89	n/a	n/a	1,891.05	5.0
IMPALA ASSET MMT	040	OXY	B	25,000	97.79	n/a	n/a	1,250.00	5.0
RWC PARTNERS LTD	085	OXY	B	10,405	97.78	n/a	n/a	312.15	3.0
COOPER CREEK PART	028	PAG	B	15,000	20.99	n/a	19-Oct	600.00	4.0
f JOSEPH CIRO AMATURO	FID	PER	B	2000	19.70	n/a	n/a	0.00	0.0
f DAVID S HOCHSTIM	FID	PHH	S	3	18.82	n/a	n/a	0.00	0.0
f REUBEN D DVORETSKY	FID	PM	S	45	72.08	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT	001	PVH	B	30,000	73.76	n/a	21-Oct	900.00	3.0
COLUMBUS CIRCLE	036	REXX	B	1,797	15.92	n/a	n/a	71.88	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MUHLENKAMP FUND	046	REXX	B	71,783	15.83	n/a	n/a	3,589.15	5.0
COOPER CREEK PART	028	RKT	B	10,000	60.38	n/a	17-Oct	400.00	4.0
NEUBERGER BERMAN	036	RLJ	B	600	14.90	n/a	n/a	24.00	4.0
B BUCK CAPITAL MGMT		RL	SS	10,000	158.48	n/a	21-Oct	non-brg	4.0
THOMPSON SIEGAL&WALMSLEY	029	ROST	S	9,000	88.25	n/a	28-Oct	360.00	4.0
f EDWARD W WHEELER	FID	SCSC	S	7990	36.60	n/a	n/a	0.00	0.0
SUN AMERICA ASSET MGMT	030	SCSS	S	41,600	20.43	n/a	n/a	1,664.00	4.0
B BUCK CAPITAL MGMT		SFER IM	B	50,000	11.80	n/a	n/a	non-brg	2.4
f KAREN F LEDDY	FID	SGI	B	1000	14.94	n/a	n/a	0.00	0.0
LIONEYE CAPITAL	040	SHOR	S	10,000	5.75	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		SKS	SS	100,000	11.21	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SKS	SS	125,000	11.03	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SKS	SS	75,000	10.94	n/a	n/a	non-brg	4.0
IMPALA ASSET MMT	040	SPY	SS	7,780	128.68	n/a	n/a	389.00	5.0
COLUMBUS CIRCLE	036	STMP	B	3,236	30.14	n/a	n/a	105.24	2.5
LITESPEED	028	STX	S	155,000	16.44	n/a	n/a	4,650.00	3.0
B BUCK CAPITAL MGMT		TEA	B	10,000	24.15	n/a	n/a	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		TEA	B	10,000	24.16	n/a	n/a	non-brg	4.0
NEWLAND CAPITAL MGT	025	TIE	S	50,000	17.58	n/a	n/a	2,000.00	4.0
f DAVID S HOCHSTIM	FID	TRI	S	128	30.06	n/a	n/a	0.00	0.0
f DAVID S HOCHSTIM	FID	TRV	S	109	59.45	n/a	n/a	0.00	0.0
IMPALA ASSET MMT	040	UAL	S	75,000	19.68	n/a	n/a	3,000.00	4.0
MACQUARIE INVESTMENT MGMT.	040	UAL	B	15,000	19.81	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ULTA	B	10,000	67.59	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		URBN	B	30,000	27.85	n/a	n/a	non-brg	4.0
IMPALA ASSET MMT	040	VMC	SS	40,000	33.13	n/a	n/a	1,600.00	4.0
f MATTHEW FRANCIS BUCK	FID	VNO	B	100	82.14	n/a	n/a	0.00	0.0
MELLON/BANK OF NEW YORK	046	WAG	S	87,600	33.73	n/a	n/a	3,504.00	4.0
f DAVID S HOCHSTIM	FID	WAMUQ	S	252	0.07	n/a	n/a	0.00	0.0
f JOEL GIFFORD TISS	FID	WBC	S	2000	51.75	n/a	28-Oct	0.00	0.0
IMPALA ASSET MMT	040	WLT	B	80,325	81.74	n/a	n/a	4,016.25	5.0
B BUCK CAPITAL MGMT		WNC	S	13,425	7.27	n/a	n/a	non-brg	3.0
BUCK CAPITAL MGMT	001	WRC	S	50,000	49.01	n/a	21-Oct	1,500.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f DAVID S HOCHSTIM	FID	WYN	S	12	35.27	n/a	n/a	0.00	0.0
MA CAPITAL MGMT/MELLON ADV041	WY	B	4,100	17.60	n/a	28-Oct	205.00	5.0	
MA CAPITAL MGMT/MELLON ADV041	WY	S	6,000	18.04	n/a	28-Oct	180.00	3.0	
OZ MGMT	040	WY	B	174,852	17.92	n/a	28-Oct	5,245.56	3.0
SENATOR INVESTMENT GROUP	036	XOP	B	30,000	57.41	n/a	n/a	900.00	3.0
f KAREN F LEDDY	FID	XPO	B	1000	11.96	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	XPO	B	750	12.37	n/a	n/a	0.00	0.0
f DAVID S HOCHSTIM	FID	XRX	S	90	8.50	n/a	n/a	0.00	0.0
TOTAL (Trade Date):							135,683.80		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	10/27	IMPALA ASSET MMT	040	UAL	S	100,000	19.72	n/a	n/a	4000.00	4.0
AO,CXL	10/27	IMPALA ASSET MMT	040	UAL	S	100,000	19.72	n/a	n/a	0.00	0.0
AO,CXL	10/27	ROTHSCHILD ASSET	040	XOM	S	430	81.11	n/a	n/a	17.20	4.0
AO,CRT	10/27	ROTHSCHILD ASSET	040	XOM	S	430	81.11	n/a	n/a	17.20	4.0
TOTAL (AO, CXL, CRT) :										4,000.00	

TOTAL (Trade Date) :	135,683.80
TOTAL (AO, CXL, CRT) :	4,000.00

TOTAL (RUN DATE) / NFS :	139,683.80
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	10/27	BUCK CAPITAL MGMT	MSMSBCD	C	468,636	98.69	n/a	n/a	462.49 0.1

MRI Securities with Trade Activity on 28-Oct.
NONE

MRI Securities without Trade Activity on 28-Oct.
PFCB, TEX, BA

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 4%
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)