



# Daily Compliance Activity Report

Trade Date: 09/21/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B</b> BUCK CAPITAL MGMT		1913 HK	B	200,000	5.08	n/a	n/a	non-brg	5.0
PATTEN & PATTEN	025	AB	S	600	15.15	n/a	n/a	30.00	5.0
SUN AMERICA ASSET MGMT	030	ADBE	S	1,200	25.24	n/a	n/a	48.00	4.0
SUN AMERICA ASSET MGMT	030	AET	S	65,329	39.93	n/a	n/a	2,613.16	4.0
PATTEN & PATTEN	025	AFL	B	500	34.12	n/a	n/a	25.00	5.0
GEOSPHERE CAPITAL MGMT	299	AUY	B	94,600	16.73	n/a	n/a	2,838.00	3.0
ROYCE TRADING	031	AVX	B	5,000	12.00	n/a	n/a	250.00	5.0
NEWLAND CAPITAL MGT	025	CFX	S	32,500	23.74	n/a	n/a	1,300.00	4.0
BALLAST CAP	040	CHS	SS	15,000	12.95	n/a	5-Feb	450.00	3.0
BUCK CAPITAL MGMT	001	CHS	SS	20,000	12.65	n/a	5-Feb	600.00	3.0
<b>f</b> MANNY I KORMAN	FID	CPN	S	364	15.34	n/a	n/a	0.00	0.0
<b>B</b> BUCK CAPITAL MGMT		CSTR	S	20,000	44.16	n/a	n/a	non-brg	4.0
<b>B</b> BUCK CAPITAL MGMT		CSTR	S	30,000	44.16	n/a	n/a	non-brg	4.0
CATAPULT CAP/DEFRANCO	099	CSX	B	15,090	19.07	n/a	n/a	603.60	4.0
LISTED ERR	099	CSX	B	910	19.07	n/a	n/a	0.00	0.0
LISTED ERR	099	CSX	S	910	18.89	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PROSPECTOR PARTNERS LLC	036	CW	B	10,000	28.12	n/a	n/a	400.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>DDS</b>	<b>S</b>	<b>30,000</b>	<b>47.68</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
MACQUARIE INVESTMENT MGMT.	040	DD	B	18,500	45.63	n/a	16-Sep	0.00	0.0
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>DGP</b>	<b>B</b>	<b>75</b>	<b>65.82</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DSW</b>	<b>S</b>	<b>20,000</b>	<b>46.16</b>	<b>n/a</b>	<b>11-Feb</b>	<b>non-brg</b>	<b>4.0</b>
BARROW HANLEY MEWHINNEY	031	EMR	B	21,700	45.23	n/a	n/a	759.50	3.5
MACQUARIE INVESTMENT MGMT.	040	ETN	B	5,000	36.33	n/a	31-Aug	0.00	0.0
TALPION LLC	040	EXPR	S	10,000	20.29	n/a	n/a	400.00	4.0
PATTEN & PATTEN	025	FCX	B	1,300	36.78	n/a	n/a	65.00	5.0
CATAPULT	040	FDX	B	4,520	73.93	n/a	n/a	180.80	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>FINL</b>	<b>S</b>	<b>150,000</b>	<b>19.13</b>	<b>n/a</b>	<b>21-Sep</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>FINL</b>	<b>S</b>	<b>50,000</b>	<b>19.18</b>	<b>n/a</b>	<b>21-Sep</b>	<b>non-brg</b>	<b>4.0</b>
BALYASNY ASSET MGMT	044	FL	B	50,000	21.17	n/a	19-Aug	2,500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>GIII</b>	<b>B</b>	<b>75,000</b>	<b>23.26</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>GLW</b>	<b>B</b>	<b>15000</b>	<b>13.13</b>	<b>n/a</b>	<b>8-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>HBC</b>	<b>S</b>	<b>2000</b>	<b>39.97</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RAIL-SPLITTER	031	HBI	SS	29,200	26.94	n/a	21-Jul	1,460.00	5.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>HDV</b>	<b>B</b>	<b>1000</b>	<b>50.95</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BARROW HANLEY MEWHINNEY	031	HPQ	S	73,400	22.28	n/a	n/a	2,569.00	3.5
NORTHWESTERN MUTUAL LIFE	047	HYG	B	72,900	86.82	n/a	n/a	1,458.00	2.0
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>IEF</b>	<b>B</b>	<b>3</b>	<b>0.95</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>ILMN</b>	<b>B</b>	<b>50</b>	<b>0.24</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>ILMN</b>	<b>S</b>	<b>50</b>	<b>1.18</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ADAGE CAPITAL MGMT	030	JWN	SS	42,500	47.09	n/a	2-Sep	1,275.00	3.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>LGND</b>	<b>B</b>	<b>1000</b>	<b>15.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BARROW HANLEY MEWHINNEY	098	LLL	S	15,800	63.18	n/a	n/a	553.00	3.5
<b>f ALANA J A MADIGAN-SI</b>	<b>FID</b>	<b>LPX</b>	<b>B</b>	<b>800</b>	<b>5.80</b>	<b>n/a</b>	<b>5-Aug</b>	<b>0.00</b>	<b>0.0</b>
PIIONEER PATH	028	LUV	B	60,000	8.32	n/a	n/a	1,800.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>LVS</b>	<b>B</b>	<b>20,000</b>	<b>49.65</b>	<b>n/a</b>	<b>13-Jun</b>	<b>non-brg</b>	<b>4.0</b>
PATTEN & PATTEN	025	MRK	S	1,150	32.52	n/a	n/a	57.50	5.0
BARROW HANLEY MEWHINNEY	031	MSFT	B	60,500	26.50	n/a	n/a	2,117.50	3.5
<b>B BUCK CAPITAL MGMT</b>		<b>MW</b>	<b>S</b>	<b>130,263</b>	<b>27.93</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß	BUCK CAPITAL MGMT		MW	S	19,737	27.93	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		MW	S	43,421	27.76	n/a	n/a	non-brg	2.0
ß	BUCK CAPITAL MGMT		MW	S	6,579	27.76	n/a	n/a	non-brg	2.0
ß	BUCK CAPITAL MGMT		M	S	50,000	27.33	n/a	2-Sep	non-brg	4.0
	SIMMONS VENTURES	041	M	B	5,000	26.52	n/a	2-Sep	200.00	4.0
	MACQUARIE INVESTMENT MGMT.	040	NDN	B	5,000	19.93	n/a	16-Sep	0.00	0.0
	SMITH MGMT LLC	029	NDN	S	16,548	19.98	n/a	16-Sep	496.44	3.0
	WHITE PINE CAPITAL	030	NDN	S	5,000	19.98	n/a	16-Sep	250.00	5.0
	PROSPECTOR PARTNERS LLC	036	NP	B	10,000	15.03	n/a	20-Sep	400.00	4.0
ß	BUCK CAPITAL MGMT		PII	B	40,000	54.59	n/a	n/a	non-brg	4.0
	ASCEND PARTNERS	033	PVH	B	25,000	63.82	n/a	1-Sep	1,250.00	5.0
	PATTEN & PATTEN	025	SCJ	B	500	45.12	n/a	n/a	25.00	5.0
f	JONATHAN RICHARD HAR	FID	SGI	S	325	15.72	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		SIG	S	100,000	36.00	n/a	n/a	non-brg	4.0
	TALPION LLC	040	SIX	S	8,100	31.06	n/a	n/a	324.00	4.0
f	ALANA J A MADIGAN-SI	FID	SLM	B	360	12.70	n/a	21-Sep	0.00	0.0
	MACQUARIE INVESTMENT MGMT.	040	SPN	S	3,000	33.26	n/a	n/a	0.00	0.0
	FIRST NEW YORK NICK	029	S	B	10,000	3.25	n/a	n/a	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	TEVA	B	200	37.04	n/a	19-Sep	10.00	5.0
PATTEN & PATTEN	025	TEVA	S	500	37.21	n/a	19-Sep	25.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>TGT</b>	<b>S</b>	<b>50,000</b>	<b>52.45</b>	<b>n/a</b>	<b>1-Sep</b>	<b>non-brg</b>	<b>4.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>TLT</b>	<b>B</b>	<b>1000</b>	<b>115.12</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	025	TXN	S	500	27.45	n/a	n/a	25.00	5.0
MTB INV ADV	034	TZOO	S	28,538	28.35	n/a	n/a	1,426.90	5.0
MACQUARIE INVESTMENT MGMT.	040	UPL	B	5,000	33.97	n/a	14-Sep	0.00	0.0
BMO NESBITT BURNS	041	USG	B	65,000	8.07	n/a	22-Jul	3,250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>VECO</b>	<b>C</b>	<b>40,000</b>	<b>27.83</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
STANDARD PACIFIC CAPITAL	040	VIV	S	80,000	28.52	n/a	n/a	4,000.00	5.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>WAG</b>	<b>S</b>	<b>2000</b>	<b>37.16</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DAVIDSON INV ADV	035	WAG	S	90,416	37.13	n/a	n/a	3,616.64	4.0
<b>f JOHN MICHAEL ZOLIDIS</b>	<b>FID</b>	<b>WYNN</b>	<b>B</b>	<b>100</b>	<b>149.50</b>	<b>n/a</b>	<b>13-Jun</b>	<b>0.00</b>	<b>0.0</b>
CHARTER OAK	033	XHB	B	100,000	14.35	n/a	n/a	3,000.00	3.0
GEORGE WEISS	034	YUM	S	14,000	53.53	n/a	10-Aug	560.00	4.0

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**TOTAL (Trade Date):**

**43,712.04**

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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	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	2000.00 4.0
AO,CRT	09/20	ROSEDALE CAPITAL	046	F	S	50,000	10.53	n/a	2-Sep	2000.00 4.0
AO,CXL	09/20	ROSEDALE CAPITAL	046	F	S	50,000	10.53	n/a	2-Sep	2500.00 5.0
AO,CRT	09/20	MTB INV ADV	034	RLOC	S	62,675	12.82	n/a	n/a	2507.00 4.0
AO,CXL	09/20	MTB INV ADV	034	RLOC	S	62,675	12.82	n/a	n/a	3133.75 5.0
AO,CRT	09/20	RBC CAPITAL MARKETS	040	TIN	B	34,396	31.29	n/a	13-Sep	1031.88 3.0
AO,CXL	09/20	RBC CAPITAL MARKETS	040	TIN	B	34,396	31.29	n/a	13-Sep	1375.84 4.0
AO,CRT	09/20	MTB INV ADV	034	TZOO	S	7,000	29.93	n/a	n/a	350.00 5.0
AO,CXL	09/20	MTB INV ADV	034	TZOO	S	7,000	29.93	n/a	n/a	350.00 5.0

**TOTAL (AO, CXL, CRT) :****-1,970.71**

TOTAL (Trade Date):

43,712.04

TOTAL (AO, CXL, CRT):

-1,970.71

**TOTAL (RUN DATE) / NFS:****41,741.33**

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	09/20	BUCK CAPITAL MGMT	FOSL	S	10,000	101.16	n/a	n/a	75.00 0.8

MRI Securities with Trade Activity on 21-Sep.  
NONE

MRI Securities without Trade Activity on 21-Sep.  
NONE

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 1%  
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)**