



# Daily Compliance Activity Report

Trade Date: 09/23/2011

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		<b>1913 HK</b>	<b>B</b>	<b>200,000</b>	<b>4.56</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg 0.0</b>
NOMURA CAPITAL	029	ACW	S	25,000	7.85	n/a	n/a	750.00 3.0
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>AMZN</b>	<b>B</b>	<b>10</b>	<b>9.46</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>
BALYASNY ASSET MGMT	044	BBY	B	5,000	24.22	n/a	n/a	250.00 5.0
<b>f</b> JOSEPH CIRO AMATURO	<b>FID</b>	<b>BGZ</b>	<b>B</b>	<b>1000</b>	<b>45.56</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>
BMO NESBITT BURNS	041	BWS	SS	4,000	6.32	n/a	n/a	160.00 4.0
<b>B</b> BUCK CAPITAL MGMT		<b>CAR 11 C13</b>	<b>C</b>	<b>3,301</b>	<b>0.38</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg 100.0</b>
SONTERRA CAP	041	CEG	B	7,500	37.92	n/a	n/a	300.00 4.0
CATAPULT	040	CHK	SS	19,450	26.27	n/a	n/a	778.00 4.0
CATAPULT	040	CHK	S	5,550	26.27	n/a	n/a	222.00 4.0
<b>B</b> BUCK CAPITAL MGMT		<b>CHRS</b>	<b>B</b>	<b>100,000</b>	<b>2.81</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg 2.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>CHRS</b>	<b>B</b>	<b>200,000</b>	<b>2.80</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg 0.8</b>
<b>B</b> BUCK CAPITAL MGMT		<b>CHS</b>	<b>SS</b>	<b>156,250</b>	<b>12.25</b>	<b>n/a</b>	<b>5-Feb</b>	<b>non-brg 4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>CHS</b>	<b>SS</b>	<b>56,250</b>	<b>12.27</b>	<b>n/a</b>	<b>5-Feb</b>	<b>non-brg 4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>CHS</b>	<b>SS</b>	<b>93,750</b>	<b>12.25</b>	<b>n/a</b>	<b>5-Feb</b>	<b>non-brg 4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>CHS</b>	<b>SS</b>	<b>93,750</b>	<b>12.27</b>	<b>n/a</b>	<b>5-Feb</b>	<b>non-brg 4.0</b>
<b>Ö</b> Doug Rogers		<b>CPN</b>	<b>S</b>	<b>128</b>	<b>14.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00 0.0</b>

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ	<b>Doug Rogers</b>		<b>CPN</b>	<b>S</b>	<b>1300</b>	<b>14.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
	PROSPECTOR PARTNERS LLC	036	CPN	S	10,000	14.45	n/a	n/a	400.00	4.0
	BALLAST CAP	040	CPRT	B	14,400	37.51	n/a	n/a	720.00	5.0
	MACQUARIE INVESTMENT MGMT.	040	CPX	B	5,000	20.91	n/a	n/a	0.00	0.0
ß	<b>BUCK CAPITAL MGMT</b>		<b>CRMB</b>	<b>S</b>	<b>14,051</b>	<b>3.77</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
	EATON VANCE MGMT	029	CVX	S	80,000	89.67	n/a	n/a	2,400.00	3.0
	SONTERRA CAP	041	DCI	B	5,420	55.18	n/a	n/a	216.80	4.0
	CASTLEROCK	040	DDS	B	55,559	44.80	n/a	n/a	2,222.36	4.0
f	<b>JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>DGP</b>	<b>B</b>	<b>45</b>	<b>55.96</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
f	<b>MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>DGP</b>	<b>S</b>	<b>300</b>	<b>57.37</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
	BMO NESBITT BURNS	041	DKS	B	2,000	33.95	n/a	16-Aug	80.00	4.0
	HIGHBRIDGE CAP	041	DKS	B	8,000	33.67	n/a	16-Aug	240.00	3.0
	<b>LISTED ERR</b>	<b>099</b>	<b>DKS</b>	<b>B</b>	<b>2,000</b>	<b>34.21</b>	<b>n/a</b>	<b>16-Aug</b>	<b>0.00</b>	<b>0.0</b>
	<b>LISTED ERR</b>	<b>099</b>	<b>DKS</b>	<b>S</b>	<b>2,000</b>	<b>33.95</b>	<b>n/a</b>	<b>16-Aug</b>	<b>0.00</b>	<b>0.0</b>
	ST OF MICHIAN	047	DV	B	20,000	36.19	n/a	n/a	600.00	3.0
ß	<b>BUCK CAPITAL MGMT</b>		<b>ERTS</b>	<b>B</b>	<b>70,000</b>	<b>21.04</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
	SONTERRA CAP	041	EXC	B	7,500	42.43	n/a	n/a	300.00	4.0
	LATEFF MGMT	035	FDX	B	1,850	67.86	n/a	n/a	250.00	18.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PROSPECTOR PARTNERS LLC	036	FE	S	10,000	45.12	n/a	n/a	400.00	4.0
BMO NESBITT BURNS	041	FINL	B	3,000	20.49	n/a	23-Sep	120.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>FINL</b>	<b>S</b>	<b>24,000</b>	<b>20.60</b>	<b>n/a</b>	<b>23-Sep</b>	<b>non-brg</b>	<b>4.0</b>
BMO NESBITT BURNS	041	FL	B	3,000	20.74	n/a	19-Aug	120.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>FL</b>	<b>S</b>	<b>23,300</b>	<b>21.35</b>	<b>n/a</b>	<b>19-Aug</b>	<b>non-brg</b>	<b>4.0</b>
OZ MGMT	040	FL	S	150,000	20.74	n/a	19-Aug	4,500.00	3.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>FOE</b>	<b>B</b>	<b>20000</b>	<b>6.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
OZ MGMT	040	F	B	232,756	9.86	n/a	2-Sep	6,982.68	3.0
WEDBUSH/PACIFIC GROWTH EQTY LLC	084	F	B	15,000	9.41		n/a 2-Sep	600.00	4.0
MACQUARIE INVESTMENT MGMT.	040	GIS	S	10,000	38.84	n/a	n/a	0.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>GM</b>	<b>SS</b>	<b>186,100</b>	<b>20.91</b>	<b>n/a</b>	<b>2-Sep</b>	<b>non-brg</b>	<b>4.0</b>
OZ MGMT	040	GM	C	25,000	20.39	n/a	2-Sep	750.00	3.0
SONTERRA CAP	041	HAS	B	5,250	34.38	n/a	n/a	210.00	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>HBC</b>	<b>B</b>	<b>2000</b>	<b>38.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BARROW HANLEY MEWHINNEY	031	HPQ	S	296,200	21.85	n/a	n/a	10,367.00	3.5
ST OF MICHIAN	047	HPQ	B	135,000	21.93	n/a	n/a	4,050.00	3.0
SONTERRA CAP	041	IGT	B	33,682	13.54	n/a	13-Jun	1,347.28	4.0
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>IWM</b>	<b>S</b>	<b>600</b>	<b>67.00</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.	
ROSEDALE CAPITAL	046	JCI	S	30,000	26.58	n/a	23-Sep	1,500.00	5.0
⌘ BUCK CAPITAL MGMT		JCP	SS	30,000	24.93	n/a	2-Sep	non-brg	2.5
HIGHBRIDGE CAP	041	JCP	SS	10,000	24.85	n/a	2-Sep	300.00	3.0
⌘ BUCK CAPITAL MGMT		JNY	S	200,000	10.00	n/a	28-Jul	non-brg	4.0
⌘ BUCK CAPITAL MGMT		JNY	S	200,000	9.83	n/a	28-Jul	non-brg	3.0
BNP PARIBAS SEC	040	JWN	B	50,000	45.07	n/a	2-Sep	2,500.00	5.0
⌘ BUCK CAPITAL MGMT		KBH	B	20,000	5.94	n/a	n/a	non-brg	3.0
HIGHBRIDGE CAP	041	KMX	SS	10,250	24.05	n/a	n/a	307.50	3.0
LOMBARDIA CAP MGMT	084	KND	B	97,918	9.69	n/a	n/a	3,916.72	4.0
⌘ BUCK CAPITAL MGMT		LEA	B	49,100	39.95	n/a	5-Aug	non-brg	4.0
HOLLIS CAPITAL	033	LEA	B	7,000	39.96	n/a	5-Aug	350.00	5.0
NEWLAND CAPITAL MGT	025	MDR	S	25,000	11.13	n/a	n/a	1,000.00	4.0
BALLAST CAP	040	MON	S	10,000	62.89	n/a	13-Sep	500.00	5.0
⌘ BUCK CAPITAL MGMT		MP EL	B	150,000	10.41	n/a	13-Jun	non-brg	4.0
⌘ BUCK CAPITAL MGMT		MP EL	B	350,000	10.33	n/a	13-Jun	non-brg	4.0
⌘ BUCK CAPITAL MGMT		MSMSBCD	C	677,230	85.45	n/a	n/a	non-brg	0.2
⌘ BUCK CAPITAL MGMT		MSMSBCD	SS	677,230	85.45	n/a	n/a	non-brg	0.0
⌘ BUCK CAPITAL MGMT		MSMSBCM	C	6,693,924	85.20	n/a	n/a	non-brg	0.2

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B</b> BUCK CAPITAL MGMT		MSMSBCM	SS	6,693,924	85.20	n/a	n/a	non-brg	0.0
HIGHBRIDGE CAP	041	M	B	10,000	25.09	n/a	2-Sep	300.00	3.0
BNP PARIBAS SEC	040	NDN	B	40,000	19.79	n/a	16-Sep	2,000.00	5.0
<b>f</b> JASON ERIC COHEN	<b>FID</b>	<b>NFLX</b>	<b>B</b>	<b>20</b>	<b>131.22</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MACQUARIE INVESTMENT MGMT.	040	NFX	S	2,500	40.69	n/a	n/a	0.00	0.0
CASTLEROCK	040	NOV	B	86,787	53.20	n/a	n/a	3,471.48	4.0
BALLAST CAP	040	OCR	S	10,000	25.54	n/a	n/a	500.00	5.0
MACQUARIE INVESTMENT MGMT.	040	PEP	S	5,000	60.00	n/a	n/a	0.00	0.0
<b>B</b> BUCK CAPITAL MGMT		PLCE	<b>B</b>	<b>7,325</b>	<b>44.55</b>	<b>n/a</b>	<b>18-Aug</b>	<b>non-brg</b>	<b>1.0</b>
BUCK CAPITAL MGMT	001	PVH	S	20,000	62.99	n/a	1-Sep	600.00	3.0
<b>B</b> BUCK CAPITAL MGMT		PVH	<b>S</b>	<b>20,000</b>	<b>61.42</b>	<b>n/a</b>	<b>1-Sep</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> WILLIAM WEINBERG	<b>FID</b>	<b>PVWIF</b>	<b>S</b>	<b>25000</b>	<b>2.26</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		RCL	<b>S</b>	<b>190,000</b>	<b>22.46</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		RCL	<b>S</b>	<b>304,500</b>	<b>22.46</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
TALPION LLC	040	RDEN	B	10,000	31.08	n/a	31-Aug	400.00	4.0
DAVIDSON INV ADV	035	RDSA	B	47,130	61.30	n/a	n/a	1,885.20	4.0
<b>B</b> BUCK CAPITAL MGMT		RUSHA	<b>B</b>	<b>5,000</b>	<b>14.96</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COHE & STEERS	041	RYN	S	9,630	37.43	n/a	1-Aug	385.20	4.0
⌘ BUCK CAPITAL MGMT		SIG	S	110,843	33.17	n/a	n/a	non-brg	0.7
⌘ BUCK CAPITAL MGMT		SIG	S	26,900	33.22	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SIG	S	50,000	33.32	n/a	n/a	non-brg	4.0
SONTERRA CAP	041	SLG	B	4,635	60.36	n/a	n/a	185.40	4.0
LOMBARDIA CAP MGMT	084	SON	S	24,754	29.88	n/a	n/a	990.16	4.0
ROARING BLUE LION MGMT	031	SSI	B	230	13.20	n/a	n/a	9.20	4.0
⌘ BUCK CAPITAL MGMT		STI	S	163,170	17.03	n/a	n/a	non-brg	4.0
FIRST NEW YORK LEDDY	035	S	S	20,000	3.03	n/a	n/a	800.00	4.0
⌘ BUCK CAPITAL MGMT		TFM	SS	50,000	36.56	n/a	n/a	non-brg	4.0
ADAGE CAPITAL MGMT	030	TGT	S	275,640	49.32	n/a	1-Sep	8,269.20	3.0
BALYASNY ASSET MGMT	044	TGT	B	5,000	49.19	n/a	1-Sep	250.00	5.0
CASTLE ARK	031	TGT	B	231,130	49.09	n/a	1-Sep	11,556.50	5.0
MTB INV ADV	034	TRN	S	20,700	21.54	n/a	n/a	1,035.00	5.0
MTB INV ADV	034	TWI	S	25,675	16.47	n/a	n/a	1,283.75	5.0
SUN AMERICA ASSET MGMT	030	TXN	B	800	26.94	n/a	n/a	32.00	4.0
f JONATHAN RICHARD HAR	FID	TZA	S	500	53.10	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ST OF MICHIAN	047	UNH	S	130,000	47.02	n/a	n/a	3,900.00	3.0
⌘ BUCK CAPITAL MGMT		URBN	SS	50,000	23.22	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		URBN	SS	50,000	23.27	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		URBN	SS	50,000	23.31	n/a	n/a	non-brg	4.0
SONTERRA CAP	041	VALE	B	20,510	23.97	n/a	n/a	820.40	4.0
f DAVID GEORGE BUCK	FID	VNO	S	1000	78.23	n/a	n/a	0.00	0.0
LOCUS WOOD CAPITAL MGMT	044	VOD	S	25,000	25.03	n/a	n/a	1,000.00	4.0
⌘ BUCK CAPITAL MGMT		WFM	C	20,000	67.26	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		WNC	B	25,000	4.58	n/a	n/a	non-brg	2.0
BMO NESBITT BURNS	041	WWW	SS	2,000	34.93	n/a	n/a	80.00	4.0
f EDWARD W WHEELER	FID	XIDE	B	10000	3.97	n/a	n/a	0.00	0.0
f ALICE BEEBE LONGLEY	FID	XOM	B	150	69.34	n/a	n/a	0.00	0.0
DAVIDSON INV ADV	035	XOM	S	49,249	69.32	n/a	n/a	1,969.96	4.0
f JONATHAN RICHARD HAR	FID	XPO	B	300	8.19	n/a	n/a	0.00	0.0
LEVIN CAPITAL STRATEGIES	041	XRT	C	15,000	46.95	n/a	n/a	450.00	3.0
TOTAL (Trade Date):								91,883.79	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CRT	09/22	BASIX	033	CE	B	15,000	35.32	n/a 20-May	450.00 3.0
AO,CXL	09/22	BASIX	033	CE	B	15,000	35.32	n/a 20-May	600.00 4.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-150.00</b>
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TOTAL (Trade Date) :	91,883.79
TOTAL (AO, CXL, CRT) :	-150.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>91,733.79</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 23-Sep.  
NONE

MRI Securities without Trade Activity on 23-Sep.  
MYL

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 0%  
YTD = 2%

<b><u>Legend:</u></b>
<b>Õ: Employee Trades in Outside Accounts</b>
<b>ß: Non-BRG BCM Trades</b>
[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)