



Daily Compliance Activity Report

Trade Date: 12/07/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT	001	ANF	B	40,000	49.78	n/a	17-Nov	1,200.00	3.0
BUCK CAPITAL MGMT	001	ANN	B	100,000	25.36	n/a	n/a	3,000.00	3.0
BUCK CAPITAL MGMT		ARCO	B	90,481	21.90	n/a	31-Oct	non-brg	4.0
MA CAPITAL MGMT/MELLON ADV041		ARCO	B	8,000	21.86	n/a	31-Oct	400.00	5.0
BUCK CAPITAL MGMT		ARO	SS	100,000	16.61	n/a	n/a	non-brg	4.0
GREEN ARROW DOUG	040	AWI	B	10,000	42.46	n/a	n/a	500.00	5.0
PERRY PARTNERS	085	BAC	S	250,000	5.81	n/a	5-Dec	5,000.00	2.0
BUCK CAPITAL MGMT		BBBY	B	20,000	62.62	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT	001	BWA	SS	20,000	68.96	n/a	9-Nov	600.00	3.0
TRELLUS PARTNERS LP	028	BWA	SS	30,000	69.56	n/a	9-Nov	1,500.00	5.0
LISTED ERR	099	BWA	B	2,000	70.02	n/a	9-Nov	0.00	0.0
LISTED ERR	099	BWA	SS	20,000	69.56	n/a	9-Nov	0.00	0.0
LISTED ERR	099	BWA	S	1,500	68.98	n/a	9-Nov	0.00	0.0
BUCK CAPITAL MGMT		BYI	SS	15,000	37.23	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		CMN	B	5,900	26.69	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		COST	S	30,000	86.64	n/a	n/a	non-brg	4.0
JONATHAN RICHARD HAR	FID	CROX	B	100	15.43	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	KAREN F LEDDY	FID	CROX	B	400	15.53	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		CSTR	B	50,000	43.72	n/a	n/a	non-brg	4.0
	ACK ASSET	028	CSX	SS	70,000	21.41	n/a	n/a	2,100.00	3.0
f	JOHN MICHAEL ZOLIDIS	FID	CWTR	B	8000	1.03	n/a	n/a	0.00	0.0
f	JONATHAN RICHARD HAR	FID	CWTR	B	2500	0.97	n/a	n/a	0.00	0.0
f	MICHAEL C PERILLO	FID	CWTR	B	1000	0.97	n/a	n/a	0.00	0.0
	MA CAPITAL MGMT/MELLON ADV041	DAN		B	8,000	12.39	n/a	1-Dec	320.00	4.0
B	BUCK CAPITAL MGMT		DECK	SS	50,000	101.43	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		DECK	S	112,044	102.05	n/a	n/a	non-brg	4.0
f	MATTHEW FRANCIS BUCK	FID	DIS	B	200	36.62	n/a	n/a	0.00	0.0
	MA CAPITAL MGMT/MELLON ADV041	DKS		SS	5,000	39.23	n/a	16-Nov	250.00	5.0
	SCOPUS FUND	041	DKS	SS	20,000	38.87	n/a	16-Nov	800.00	4.0
	DAVIDSON KEMPNER ADVISOR	040	EQT	B	10,000	57.90	n/a	n/a	500.00	5.0
B	BUCK CAPITAL MGMT		FOSL	SS	36,781	84.98	n/a	n/a	non-brg	0.8
B	BUCK CAPITAL MGMT		FOSL	S	70,866	84.85	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		GIII	B	50,000	21.79	n/a	n/a	non-brg	2.5
B	BUCK CAPITAL MGMT		GIII	S	10,000	20.39	n/a	n/a	non-brg	2.5
B	BUCK CAPITAL MGMT		GIII	S	20,000	20.39	n/a	n/a	non-brg	2.5
	TRELLUS PARTNERS LP	028	GM	SS	60,000	21.74	n/a	2-Dec	3,000.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GREEN ARROW DOUG	040	GPX	B	20,000	4.27	n/a	n/a	1,000.00	5.0
SANDLER O'NEILL ASSET	031	GS	B	6,000	100.52	n/a	5-Dec	300.00	5.0
NEUBERGER BERMAN	036	HITT	B	5,676	53.68	n/a	n/a	227.04	4.0
NEUBERGER BERMAN	036	IPHS	B	8,300	49.00	n/a	n/a	332.00	4.0
MACQUARIE INVESTMENT MGMT.	040	IP	B	10,000	28.44	n/a	27-Oct	0.00	0.0
B BUCK CAPITAL MGMT		JOSB	S	119,207	49.20	n/a	n/a	non-brg	4.0
SANDLER O'NEILL ASSET	031	JPM	S	50,000	33.61	n/a	5-Dec	2,500.00	5.0
THRIVENT ASSET MGMT	030	KKR	B	24,661	13.45	n/a	n/a	986.44	4.0
B BUCK CAPITAL MGMT		LEN	S	25,000	19.48	n/a	n/a	non-brg	4.0
f JOHN MICHAEL ZOLIDIS	FID	LIZ	S	1000	8.31	n/a	7-Oct	0.00	0.0
BRONSON POINT	036	LOW	B	25,000	24.99	7-Dec	7-Dec	750.00	3.0
f MICHAEL C PERILLO	FID	LPX	S	125	7.66	n/a	7-Nov	0.00	0.0
f JOSEPH CIRO AMATURO	FID	LXK	S	1000	33.10	n/a	n/a	0.00	0.0
ARMATURE CAPITAL	041	LYB	B	75,000	33.03	n/a	n/a	3,000.00	4.0
f MATTHEW FRANCIS BUCK	FID	MCD	S	200	95.84	n/a	2-Dec	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MARC PAUL LUCHANSKY	FID	MNDAX	S	193	22.32	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	MRK	B	400	35.53	n/a	n/a	0.00	0.0
NORTHWESTERN MUTUAL LIFE	047	MSFT	B	75,000	25.40	n/a	n/a	3,000.00	4.0
B BUCK CAPITAL MGMT		MSMSBCD	C	566,535	97.07	n/a	n/a	non-brg	0.3
B BUCK CAPITAL MGMT		MSMSBCD	SS	566,535	97.07	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		MSMSBCM	C	30,000	97.23	n/a	n/a	non-brg	7.8
B BUCK CAPITAL MGMT		MSMSBCM	C	4,335,694	96.82	n/a	n/a	non-brg	0.3
B BUCK CAPITAL MGMT		MSMSBCM	C	90,000	96.17	n/a	n/a	non-brg	7.7
B BUCK CAPITAL MGMT		MSMSBCM	SS	4,335,694	96.82	n/a	n/a	non-brg	0.0
f JASON ERIC COHEN	FID	MTH	S	175	22.93	n/a	n/a	0.00	0.0
f GAJANTHAN BALAKANES	FID	MTOR	B	83	6.01	n/a	n/a	0.00	0.0
NORTHWESTERN MUTUAL LIFE	047	NOK	S	434,000	5.26	n/a	n/a	17,360.00	4.0
B BUCK CAPITAL MGMT		PERY	S	44,600	14.40	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		PERY	S	5,400	14.36	n/a	n/a	non-brg	0.8
DEVENNY CAP LLC	044	PH	B	5,000	82.03	n/a	19-Oct	150.00	3.0
B BUCK CAPITAL MGMT		PII	S	60,000	59.67	n/a	n/a	non-brg	4.0
ARMATURE CAPITAL	041	PKG	SS	50,000	25.14	n/a	18-Oct	2,000.00	4.0
CHALSON/MILLENIUM	041	PVH	B	20,000	72.48	n/a	2-Dec	800.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		RL	S	10,000	148.82	n/a	11-Nov	non-brg	4.0
f MARC PAUL LUCHANSKY	FID	RSEGX	B	77	42.16	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	RYN	B	100	41.15	n/a	26-Oct	0.00	0.0
B BUCK CAPITAL MGMT		SCSS	B	50,000	20.05	n/a	n/a	non-brg	4.0
f JOSEPH CIRO AMATURO	FID	SODA	S	1000	33.16	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	SODA	S	1000	33.21	n/a	n/a	0.00	0.0
DEVENNY CAP LLC	044	TRW	B	10,000	33.42	n/a	n/a	300.00	3.0
B BUCK CAPITAL MGMT		UAL	S	25,000	20.50	n/a	n/a	non-brg	4.0
HARVEY PARTNERS	086	URBN	B	5,000	26.97	n/a	n/a	150.00	3.0
f JOSEPH CIRO AMATURO	FID	XPO	S	1250	11.57	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								52,025.48	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	12/06	MILLRACE FUND LP	028	BWA	SS	1,383	69.80	n/a	9-Nov	55.32 4.0
AO,CXL	12/06	MILLRACE FUND LP	028	BWA	SS	1,383	69.80	n/a	9-Nov	55.32 4.0
AO,	12/06	COLUMBUS CIRCLE	036	N	S	2,624	46.53	n/a	n/a	104.96 4.0
AO,CXL	12/06	LONG POND	029	WY	B	110,000	16.92	n/a	28-Oct	5500.00 5.0
AO,CRT	12/06	LONG POND	029	WY	B	110,000	16.92	n/a	28-Oct	5500.00 5.0

TOTAL (AO, CXL, CRT) :	104.96
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TOTAL (Trade Date) :	52,025.48
TOTAL (AO, CXL, CRT) :	104.96

TOTAL (RUN DATE) / NFS :	52,130.44
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
CRT	12/06	BUCK CAPITAL MGMT	ARCO	B	59,519	21.82	n/a 31-Oct	2380.76 4.0

MRI Securities with Trade Activity on 7-Dec.

LOW

MRI Securities without Trade Activity on 7-Dec.

NONE

BRG comm. as a % of BCM Total Comm. paid.

T-Date = 7%

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)