



# Daily Compliance Activity Report

Trade Date: 01/19/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	ACWX	S	510	38.26	n/a	n/a	20.40	4.0
GALT INVESTMENT	041	AEO	B	4,021	13.52	n/a	2-Dec	160.84	4.0
MOORE CAPITAL	041	AMZN	B	2,500	195.23	n/a	n/a	75.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>ANN</b>	<b>S</b>	<b>20,000</b>	<b>23.90</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
ARMATURE CAPITAL	041	BA	S	50,000	75.69	n/a	19-Jan	2,000.00	4.0
MOORE CAPITAL	041	BBBY	B	3,000	62.84	n/a	n/a	90.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>BIG</b>	<b>S</b>	<b>52,000</b>	<b>39.24</b>	<b>n/a</b>	<b>2-Dec</b>	<b>non-brg</b>	<b>4.0</b>
TALKOT CAPITAL LLC	084	BIN	S	10,000	20.76	n/a	n/a	400.00	4.0
TOCQUEVILLE	035	BK	B	200,000	20.71	n/a	19-Jan	10,000.00	5.0
HOPLITE MGMT	025	BSBR	C	201,493	9.25	n/a	n/a	6,044.79	3.0
NCM CAPITAL MGMT	035	BUD	B	27,940	62.13	n/a	9-Jan	1,117.60	4.0
SCOPUS FUND	041	BUD	B	50,000	62.15	n/a	9-Jan	2,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>BWLD</b>	<b>SS</b>	<b>13,920</b>	<b>64.44</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BWLD</b>	<b>SS</b>	<b>50,000</b>	<b>63.81</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BWLD</b>	<b>SS</b>	<b>9,280</b>	<b>64.44</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CAR</b>	<b>B</b>	<b>40,000</b>	<b>13.22</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.	
BESSEMER INVESTMENT	085	CCL	S	445	31.25	n/a	n/a	17.80	4.0
TUDOR INVESTORS	028	CFX	B	2,000	32.79	n/a	n/a	60.00	3.0
BESSEMER INVESTMENT	085	CMCSA	B	435	25.79	n/a	n/a	17.40	4.0
BAIRD INVESTMENT	047	COG	S	7,925	62.53	n/a	6-Jan	396.25	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>COH</b>	<b>B</b>	<b>30,000</b>	<b>65.28</b>	<b>n/a</b>	<b>9-Jan</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>COH</b>	<b>S</b>	<b>10,000</b>	<b>65.04</b>	<b>n/a</b>	<b>9-Jan</b>	<b>non-brg</b>	<b>2.5</b>
TUDOR INVESTORS	028	COL	SS	2,000	60.60	n/a	19-Jan	60.00	3.0
MTB INV ADV	034	CTB	S	3,100	14.45	n/a	n/a	155.00	5.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>CVGI</b>	<b>B</b>	<b>200</b>	<b>1.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>CVGI</b>	<b>B</b>	<b>2025</b>	<b>10.26</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BESSEMER INVESTMENT	085	CVS	B	250	42.60	n/a	n/a	10.00	4.0
<b>f PATRICK TERRICE DUFF</b>	<b>FID</b>	<b>DAN</b>	<b>S</b>	<b>1000</b>	<b>14.89</b>	<b>n/a</b>	<b>13-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>DB</b>	<b>B</b>	<b>1000</b>	<b>41.52</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MOORE CAPITAL	041	DECK	B	3,000	85.43	n/a	n/a	90.00	3.0
M&I FUNDS	047	DKS	B	6,025	41.11	n/a	12-Jan	241.00	4.0
BRONSON POINT	036	ETN	S	10,000	49.92	n/a	19-Jan	300.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f MITCHELL JAMES SPEIS</b>	<b>FID</b>	<b>EUO</b>	<b>B</b>	<b>500</b>	<b>20.46</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TALPION LLC	040	FBRC	S	8,400	2.09	n/a	n/a	168.00	2.0
<b>ß BUCK CAPITAL MGMT</b>		<b>FINL</b>	<b>B</b>	<b>25,000</b>	<b>19.78</b>	<b>n/a</b>	<b>22-Dec</b>	<b>non-brg</b>	<b>2.5</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>FINL</b>	<b>B</b>	<b>30,000</b>	<b>19.78</b>	<b>n/a</b>	<b>22-Dec</b>	<b>non-brg</b>	<b>4.0</b>
<b>f MITCHELL JAMES SPEIS</b>	<b>FID</b>	<b>FSNXX</b>	<b>S</b>	<b>50000</b>	<b>1.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CATAPULT	040	FTI	B	25,000	53.80	n/a	n/a	1,000.00	4.0
TRELLUS PARTNERS LP	028	F	SS	37,500	12.59	n/a	6-Jan	1,875.00	5.0
CAERUS GLOBAL	041	GET	S	10,000	28.03	n/a	n/a	400.00	4.0
<b>ß BUCK CAPITAL MGMT</b>		<b>GIII</b>	<b>B</b>	<b>10,000</b>	<b>22.83</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>GIII</b>	<b>B</b>	<b>10,000</b>	<b>22.83</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>GILD</b>	<b>S</b>	<b>2000</b>	<b>47.14</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>GIL</b>	<b>S</b>	<b>30,000</b>	<b>21.91</b>	<b>n/a</b>	<b>9-Jan</b>	<b>non-brg</b>	<b>4.0</b>
FARBER/WEISS PECK	085	GM	SS	33,500	24.82	n/a	19-Jan	1,340.00	4.0
BNP PARIBAS SEC	040	GNC	B	28,900	28.80	n/a	n/a	1,445.00	5.0
<b>ß BUCK CAPITAL MGMT</b>		<b>GPS</b>	<b>SS</b>	<b>50,000</b>	<b>19.30</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>GPS</b>	<b>SS</b>	<b>50,000</b>	<b>19.30</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BALYASNY ASSET MGMT	044	HAR	SS	25,000	44.27	n/a	3-Feb	1,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		HBI	B	14,250	24.63	n/a	9-Jan	non-brg	4.0
ß BUCK CAPITAL MGMT		HBI	B	26,750	24.63	n/a	9-Jan	non-brg	4.0
ß BUCK CAPITAL MGMT		HBI	B	28,500	24.63	n/a	9-Jan	non-brg	4.0
ß BUCK CAPITAL MGMT		HBI	B	45,500	24.63	n/a	9-Jan	non-brg	4.0
ß BUCK CAPITAL MGMT		HBI	B	80,000	24.67	n/a	9-Jan	non-brg	4.0
ß BUCK CAPITAL MGMT		HBI	B	80,000	24.67	n/a	9-Jan	non-brg	4.0
MELLON/BANK OF NEW YORK	046	HSNI	S	47,500	36.66	n/a	n/a	1,900.00	4.0
1798 CAP/LOMBARD ASSET	040	HTZ	B	15,000	13.18	n/a	n/a	750.00	5.0
ß BUCK CAPITAL MGMT		HTZ	B	25,000	13.09	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		HTZ	B	25,000	13.12	n/a	n/a	non-brg	4.0
PZENA INV ADV	044	IM	B	6,600	18.90	n/a	n/a	231.00	3.5
NORTHWESTERN MUTUAL LIFE	047	INTC	S	380,050	25.61	n/a	n/a	15,202.00	4.0
DEVENNY CAP LLC	044	ITW	S	7,300	51.09	n/a	5-Dec	219.00	3.0
f DAVID GEORGE BUCK	FID	IWF	S	2500	60.59	n/a	n/a	0.00	0.0
CASTLE ARK	031	JCI	S	285,116	32.93	19-Jan	19-Jan	14,255.80	5.0
DC CAPITAL	044	JCI	B	50,000	32.75	19-Jan	19-Jan	2,000.00	4.0
ß BUCK CAPITAL MGMT		JCP	C	40,000	35.16	n/a	9-Jan	non-brg	4.0
SUN AMERICA ASSET MGMT	030	JNY	S	30,200	9.19	n/a	11-Jan	1,208.00	4.0
f KAREN F LEDDY	FID	KBH	S	900	9.49	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ARSENAL ASSET MANAGEMENT	028	KMT	SS	10,000	43.13	n/a	28-Oct	400.00	4.0
NCM CAPITAL MGMT	035	KO	S	13,800	67.42	n/a	9-Jan	552.00	4.0
MOORE CAPITAL	041	KSU	B	3,500	73.53	n/a	n/a	105.00	3.0
DEVENNY CAP LLC	044	LEA	S	6,891	43.19	n/a	19-Jan	206.73	3.0
SANDLER CAPITAL	028	LII	S	130,000	37.87	n/a	n/a	6,500.00	5.0
⚡ BUCK CAPITAL MGMT		LL	S	5,000	20.96	n/a	n/a	non-brg	4.0
MOORE CAPITAL	041	LOW	S	20,000	27.15	n/a	7-Dec	600.00	3.0
ARSENAL ASSET MANAGEMENT	028	MGA	B	20,000	42.10	n/a	n/a	800.00	4.0
⚡ BUCK CAPITAL MGMT		MPEL	S	20,000	11.10	n/a	13-Jun	non-brg	4.0
BESSEMER INVESTMENT	085	MRO	B	250	31.90	n/a	n/a	10.00	4.0
⚡ BUCK CAPITAL MGMT		MSMSEUR	C	37,500	108.80	n/a	n/a	non-brg	8.7
⚡ BUCK CAPITAL MGMT		MSMSEUR	C	37,500	108.80	n/a	n/a	non-brg	8.7
ROSEDALE CAPITAL	046	MTW	B	25,000	11.80	n/a	26-Oct	1,000.00	4.0
ROYCE TRADING	031	MTX	B	6,500	63.60	n/a	n/a	325.00	5.0
⚡ BUCK CAPITAL MGMT		M	S	30,000	35.77	n/a	9-Jan	non-brg	4.0
ARSENAL ASSET MANAGEMENT	028	NAV	B	5,000	40.07	n/a	10-Jan	200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BAIRD INVESTMENT	047	NAV	S	16,950	38.99	n/a	10-Jan	847.50	5.0
TUDOR INVESTORS	028	NAV	B	5,000	39.01	n/a	10-Jan	150.00	3.0
SONTERRA CAP	041	NBR	S	50,000	17.09	n/a	n/a	2,000.00	4.0
BESSEMER INVESTMENT	085	NEM	B	260	60.01	n/a	n/a	10.40	4.0
FIRST NEW YORK LEDDY	035	NOK	B	20,000	5.76	n/a	n/a	800.00	4.0
⚡ BUCK CAPITAL MGMT		NUS	S	15,000	48.98	n/a	n/a	non-brg	4.0
PROSPECTOR PARTNERS LLC	036	NVE	S	60,000	15.70	n/a	n/a	2,400.00	4.0
NCM CAPITAL MGMT	035	PG	S	12,090	66.02	n/a	10-Jan	483.60	4.0
1798 CAP/LOMBARD ASSET	040	PH	C	6,000	85.18	n/a	19-Jan	300.00	5.0
⚡ BUCK CAPITAL MGMT		PLCE	B	20,000	50.74	n/a	18-Jan	non-brg	4.0
⚡ BUCK CAPITAL MGMT		PLCE	B	20,000	50.74	n/a	18-Jan	non-brg	4.0
CAERUS GLOBAL	041	PVH	SS	10,000	76.68	n/a	12-Jan	400.00	4.0
COOPER CREEK PART	028	RUE	S	10,000	25.04	n/a	n/a	400.00	4.0
GALT INVESTMENT	041	RUE	S	10,000	24.87	n/a	n/a	500.00	5.0
⚡ BUCK CAPITAL MGMT		SBUX	S	13,871	47.71	n/a	6-Jan	non-brg	4.0
⚡ BUCK CAPITAL MGMT		SBUX	S	13,871	47.96	n/a	6-Jan	non-brg	4.0
CHESAPEAKE PARTNERS	028	SEMG	B	10,000	27.25	n/a	n/a	300.00	3.0
THOMAS WEISEL ASSET MGMT	035	SGMS	S	25,979	11.88	n/a	n/a	779.37	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		SHOO	S	15,000	39.52	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		SHOO	S	15,000	39.52	n/a	n/a	non-brg	2.5
SIMMONS VENTURES	041	SKUL	B	5,000	12.10	n/a	n/a	200.00	4.0
ß BUCK CAPITAL MGMT		SKX	SS	20,000	11.97	n/a	n/a	non-brg	4.0
f MARC PAUL LUCHANSKY	FID	SLB	B	100	72.71	n/a	n/a	0.00	0.0
LEVIN CAPITAL STRATEGIES	041	STI	S	10,000	20.26	n/a	n/a	300.00	3.0
ROSEDALE CAPITAL	046	STI	B	20,000	20.46	n/a	n/a	1,000.00	5.0
SANDLER O'NEILL ASSET	031	STT	B	50,000	40.44	n/a	18-Jan	2,500.00	5.0
f JONATHAN RICHARD HAR	FID	TEA	B	100	16.35	n/a	n/a	0.00	0.0
MTB INV ADV	034	TEN	S	2,050	29.99	n/a	n/a	102.50	5.0
TOCQUEVILLE	035	TER	S	100,000	15.76	n/a	n/a	5,000.00	5.0
f ALEXANDRA ELISE ZOLI	FID	TIF	B	50	61.61	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		TSCO	SS	50,000	80.64	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		TSCO	S	1,500	81.23	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		TSCO	S	1,500	81.23	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		TSCO	S	7,229	80.63	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		TSCO	S	7,229	80.63	n/a	n/a	non-brg	4.0
COLUMBUS CIRCLE	036	UNP	B	1,000	113.20	n/a	n/a	40.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SURVEYOR CAPITAL	251	UNP	B	4,438	113.04	n/a	n/a	133.14	3.0
BMO NESBITT BURNS	041	USG	SS	25,000	14.42	n/a	21-Oct	1,250.00	5.0
MA CAPITAL MGMT/MELLON ADV	041	USG	SS	10,000	14.26	n/a	21-Oct	500.00	5.0
MOORE CAPITAL	041	VAL	S	3,000	42.55	n/a	n/a	90.00	3.0
EPOCH INV MGMT	030	VC	S	25,000	49.92	n/a	n/a	750.00	3.0
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>VRA</b>	<b>B</b>	<b>90</b>	<b>33.99</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MITCHELL JAMES SPEIS</b>	<b>FID</b>	<b>WAG</b>	<b>B</b>	<b>200</b>	<b>33.76</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JOEL GIFFORD TISS</b>	<b>FID</b>	<b>WFC</b>	<b>S</b>	<b>15</b>	<b>7.63</b>	<b>n/a</b>	<b>17-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>WFM</b>	<b>S</b>	<b>8,113</b>	<b>77.08</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>WFM</b>	<b>S</b>	<b>8,113</b>	<b>77.08</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BESSEMER INVESTMENT	085	WU	B	415	18.77	n/a	n/a	16.60	4.0
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>XPO</b>	<b>S</b>	<b>870</b>	<b>11.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BESSEMER INVESTMENT	085	YUM	B	290	62.53	n/a	6-Jan	11.60	4.0
TUDOR INVESTORS	028	ZUMZ	SS	14,800	30.18	n/a	n/a	444.00	3.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>		<b>B</b>	<b>90000</b>	<b>77.58</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>TOTAL (Trade Date) :</b>								<b>98,907.32</b>	



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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	01/18	THIRD COAST CAPITAL	035	CVO	S	26,600	3.19	n/a	n/a	798.00 3.0
AO,CXL	01/18	THIRD COAST CAPITAL	035	CVO	S	26,600	3.19	n/a	n/a	1330.00 5.0
AO,CXL	01/17	MTB INV ADV	034	QLTY	S	289	12.03	n/a	n/a	14.45 5.0
AO,CRT	01/17	MTB INV ADV	034	QLTY	S	289	12.03	n/a	n/a	11.56 4.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-534.89</b>

TOTAL (Trade Date) :	98,907.32
TOTAL (AO, CXL, CRT) :	-534.89

<b>TOTAL (RUN DATE) / NFS :</b>	<b>98,372.43</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 19-Jan.

JCI

MRI Securities without Trade Activity on 19-Jan.

HON, IFF, ECL

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

T-Date = 0%

YTD = 0%

**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)**