



# Daily Compliance Activity Report

Trade Date: 10/19/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		AAPL 11 C430 C		300	5.56	n/a	n/a	non-brg 300.0	
BUCK CAPITAL MGMT		AAPL	B	5,000	407.55	n/a	n/a	non-brg	4.0
MARC PAUL LUCHANSKY	FID	AAPL	B	20	405.84	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	AMP	S	420	42.44	n/a	n/a	16.80	4.0
BUCK CAPITAL MGMT		ANF	S	25,000	68.79	n/a	18-Aug	non-brg	4.0
SANDLER CAPITAL	028	ANR	SS	75,000	21.01	n/a	n/a	3,750.00	5.0
COUGAR TRADING	044	APC	B	10,000	79.33	n/a	12-Oct	500.00	5.0
COUGAR TRADING	044	APC	S	10,000	78.45	n/a	12-Oct	500.00	5.0
DSM CAPITAL PARTNERS	085	ARCO	B	6,375	22.83	n/a	17-Oct	318.75	5.0
PLATTE RIVER CAPITAL	240	ARCO	B	30,000	23.15	n/a	17-Oct	1,200.00	4.0
COUGAR TRADING	044	AXL	B	10,000	8.99	n/a	19-Oct	400.00	4.0
COUGAR TRADING	044	AXL	SS	10,000	9.16	n/a	19-Oct	400.00	4.0
BESSEMER INVESTMENT	085	AXP	S	27,316	46.74	n/a	19-Oct	1,092.64	4.0
BUCK CAPITAL MGMT		BID	S	50,000	31.03	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT		BID	S	76,100	31.19	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT		BID	S	8,900	31.05	n/a	n/a	non-brg	1.0
RIDGECREST INV MGMT LLC	028	BIG	B	6,400	36.55	n/a	25-Aug	320.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		CAR	SS	41,000	12.20	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		CAR	S	9,000	12.20	n/a	n/a	non-brg	4.0
MERRILL ASSET/BLACKROCK	297	CBG	B	18,100	14.87	n/a	n/a	724.00	4.0
DSM CAPITAL PARTNERS	085	CHKP	S	4,125	59.61	n/a	n/a	206.25	5.0
⌘ BUCK CAPITAL MGMT		CMG	SS	10,000	314.09	n/a	17-Oct	non-brg	2.5
⌘ BUCK CAPITAL MGMT		CROX	B	40,000	16.19	n/a	n/a	non-brg	4.0
SANDLER O'NEILL ASSET	031	C	S	85,000	30.15	n/a	18-Oct	1,700.00	2.0
SERENGETI MGMT	030	C	S	125,000	31.10	n/a	18-Oct	6,250.00	5.0
SCOPUS FUND	041	DG	B	25,000	40.18	19-Oct	19-Oct	1,000.00	4.0
⌘ BUCK CAPITAL MGMT		DIA	SS	1,200	116.15	n/a	n/a	non-brg	2.0
CHART WELL ADV	028	DPZ	S	123,093	30.60	n/a	18-Oct	4,923.72	4.0
BUCK CAPITAL MGMT	001	EL	SS	20,000	94.47	n/a	16-Aug	600.00	3.0
MOORE CAPITAL	041	EM	B	250,000	18.97	n/a	n/a	7,500.00	3.0
MACQUARIE INVESTMENT MGMT.	040	FINL	S	7,500	20.57	n/a	23-Sep	0.00	0.0
ROYCE TRADING	031	FINL	B	4,000	20.55	n/a	23-Sep	200.00	5.0
BESSEMER INVESTMENT	085	FIS	S	273	25.98	n/a	n/a	10.92	4.0
⌘ BUCK CAPITAL MGMT		FOR	S	10,000	12.11	n/a	17-Oct	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OZ MGMT	040	F	S	300,000	11.57	n/a	19-Oct	9,000.00	3.0
⚡ BUCK CAPITAL MGMT		GIII 12 C25	SS	200	3.60	n/a	n/a	non-brg	300.0
⚡ BUCK CAPITAL MGMT		GMCR	B	30,000	80.37	n/a	n/a	non-brg	2.5
BESSEMER INVESTMENT	085	GOOG	S	1,741	589.44	n/a	n/a	69.64	4.0
f MARGARET ANNE MCAULE	FID	GPX	S	500	4.01	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	297	HFC	S	4,800	34.61	n/a	n/a	192.00	4.0
f EDWARD W WHEELER	FID	HSP	B	5000	29.70	n/a	18-Oct	0.00	0.0
SIMMONS VENTURES	041	HWD	B	20,000	11.02	n/a	n/a	800.00	4.0
MILLENNIUM-ANDEW	031	HYG	S	145,000	86.13	n/a	n/a	5,800.00	4.0
⚡ BUCK CAPITAL MGMT		IJH	SS	1,300	85.16	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		IWO	SS	2,300	81.24	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		JBHT	SS	20,000	41.62	n/a	n/a	non-brg	4.0
f JASON ERIC COHEN	FID	JCI	S	110	31.90	n/a	13-Oct	0.00	0.0
SIMMONS VENTURES	041	JNY	B	5,000	11.05	n/a	28-Jul	200.00	4.0
LATEFF MGMT	035	KMB	S	1,000	71.61	n/a	25-Jul	100.00	10.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	KO	S	1,500	67.60	n/a	19-Oct	60.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>LTD</b>	<b>S</b>	<b>30,000</b>	<b>41.89</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BALLAST CAP	040	LTM	B	7,200	41.09	n/a	n/a	360.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>LVS</b>	<b>S</b>	<b>50,000</b>	<b>44.56</b>	<b>n/a</b>	<b>13-Jun</b>	<b>non-brg</b>	<b>4.0</b>
BESSEMER INVESTMENT	085	MA	S	2,658	340.00	n/a	13-Oct	106.32	4.0
CRAMER ROSENTHAL/SCOTT	070	MCP	C	10,800	37.78	n/a	n/a	432.00	4.0
BESSEMER INVESTMENT	085	MET	S	16,083	32.35	n/a	n/a	643.32	4.0
OZ MGMT	040	MGA	C	43,620	36.30	n/a	n/a	1,308.60	3.0
<b>Ö Abram Chappel</b>		<b>MTH</b>	<b>S</b>	<b>100</b>	<b>17.42</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>M</b>	<b>S</b>	<b>50,000</b>	<b>29.65</b>	<b>n/a</b>	<b>7-Oct</b>	<b>non-brg</b>	<b>4.0</b>
<b>f CICILY S BACKUS</b>	<b>FID</b>	<b>NILSY</b>	<b>B</b>	<b>990</b>	<b>21.04</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f LBP ENTERPRISES INC</b>	<b>FID</b>	<b>NILSY</b>	<b>B</b>	<b>990</b>	<b>21.08</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f LEE F BACKUS</b>	<b>FID</b>	<b>NILSY</b>	<b>B</b>	<b>990</b>	<b>21.04</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f LEE F BACKUS</b>	<b>FID</b>	<b>NILSY</b>	<b>B</b>	<b>990</b>	<b>21.09</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MELISSA LEE BACKUS</b>	<b>FID</b>	<b>NILSY</b>	<b>B</b>	<b>990</b>	<b>21.04</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARGARET ANNE MCAULE</b>	<b>FID</b>	<b>ONNN</b>	<b>B</b>	<b>300</b>	<b>7.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
THIRD COAST CAPITAL	035	OSIS	S	8,500	41.11	n/a	n/a	425.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	PCP	S	4,588	168.47	n/a	17-Oct	183.52	4.0
TRUSTCO/SUNTRUST	040	PEP	B	87,532	62.21	n/a	n/a	3,063.64	3.5
KACELA CAPITAL	034	PG	B	23,000	65.19	n/a	10-Oct	920.00	4.0
LATEFF MGMT	035	PG	S	1,500	64.75	n/a	10-Oct	150.00	10.0
<b>B</b> BUCK CAPITAL MGMT		<b>PH</b>	<b>SS</b>	<b>10,000</b>	<b>77.76</b>	<b>n/a</b>	<b>19-Oct</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>PLCE</b>	<b>S</b>	<b>20,000</b>	<b>45.11</b>	<b>n/a</b>	<b>18-Aug</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>PLCE</b>	<b>S</b>	<b>40,000</b>	<b>45.13</b>	<b>n/a</b>	<b>18-Aug</b>	<b>non-brg</b>	<b>4.0</b>
ROYCE TRADING	031	PLCE	B	1,500	45.38	n/a	18-Aug	75.00	5.0
MERRILL ASSET/BLACKROCK	297	PRA	S	10,600	76.97	n/a	n/a	424.00	4.0
MERRILL ASSET/BLACKROCK	297	RLI	S	6,000	69.67	n/a	n/a	240.00	4.0
<b>f</b> EDWARD W WHEELER	<b>FID</b>	<b>RRD</b>	<b>S</b>	<b>10000</b>	<b>15.37</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>RRR</b>	<b>S</b>	<b>37,500</b>	<b>10.02</b>	<b>n/a</b>	<b>14-Sep</b>	<b>non-brg</b>	<b>2.5</b>
<b>B</b> BUCK CAPITAL MGMT		<b>RRR</b>	<b>S</b>	<b>52,500</b>	<b>9.96</b>	<b>n/a</b>	<b>14-Sep</b>	<b>non-brg</b>	<b>3.0</b>
CATAPULT	040	SEE	SS	3,254	17.18	n/a	2-Jun	130.16	4.0
CATAPULT	040	SEE	S	21,746	17.25	n/a	2-Jun	869.84	4.0
<b>Õ</b> Abram Chappel		<b>SPF</b>	<b>S</b>	<b>300</b>	<b>2.96</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ</b> Abram Chappel		<b>SPF</b>	<b>S</b>	<b>350</b>	<b>2.96</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> JASON ERIC COHEN	<b>FID</b>	<b>SPF</b>	<b>S</b>	<b>700</b>	<b>2.94</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> FRANCIS MICHAEL MCCA	<b>FID</b>	<b>SRI</b>	<b>B</b>	<b>400</b>	<b>6.31</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.	
⚡ BUCK CAPITAL MGMT		SWFT	S	50,000	8.34	n/a	n/a	non-brg	3.0
⚡ BUCK CAPITAL MGMT		SWFT	S	50,000	8.36	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		SYT	SS	20,000	26.43	n/a	n/a	non-brg	4.0
FIRST NEW YORK NICK	029	S	B	10,000	2.80	n/a	n/a	500.00	5.0
⚡ BUCK CAPITAL MGMT		TIF	B	20,000	71.86	n/a	n/a	non-brg	4.0
⚡ REUBEN D DVORETSKY	FID	TNK	B	200	5.07	n/a	n/a	0.00	0.0
OHIO PERS	047	TXT	B	199,000	18.95	n/a	n/a	5,970.00	3.0
BESSEMER INVESTMENT	085	T	S	2,000	29.18	n/a	n/a	80.00	4.0
⚡ BUCK CAPITAL MGMT		UA	SS	20,000	71.47	n/a	27-Jul	non-brg	4.0
MERRILL ASSET/BLACKROCK	297	UPL	B	11,800	30.46	n/a	12-Oct	472.00	4.0
⚡ JASON ERIC COHEN	FID	URI	S	125	23.46	n/a	n/a	0.00	0.0
RIDGECREST INV MGMT LLC	028	VRA	B	5,000	41.05	n/a	n/a	250.00	5.0
BESSEMER INVESTMENT	085	WFC	S	5,260	25.78	n/a	17-Oct	210.40	4.0
⚡ BUCK CAPITAL MGMT		WYNN	C	10,000	124.58	n/a	13-Jun	non-brg	1.0
⚡ BUCK CAPITAL MGMT		WYNN	SS	10,000	137.19	n/a	13-Jun	non-brg	4.0

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**TOTAL (Trade Date):**

**64,648.52**

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Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									64,648.52
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									64,648.52
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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-Oct.

DG

MRI Securities without Trade Activity on 19-Oct.

DLTR

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

T-Date = 2%

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)