



# Daily Compliance Activity Report

Trade Date: 07/25/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	070	AAPL	B	150	393.59	n/a	n/a	6.00	4.0
BESSIMER TRUST	085	ACE	S	455	65.27	n/a	n/a	18.20	4.0
BESSIMER TRUST	085	ADM	S	820	31.93	n/a	15-Jul	32.80	4.0
BROADARCH CAP/OLD NEWC	070	AME	S	4,000	45.24	n/a	n/a	160.00	4.0
BESSIMER TRUST	085	AMTD	S	1,725	19.68	n/a	n/a	69.00	4.0
MACQUARIE INVESTMENT MGMT.	040	APC	B	5,000	82.92	n/a	15-Jul	0.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>ARO</b>	<b>SS</b>	<b>20,000</b>	<b>17.89</b>	<b>n/a</b>	<b>20-May</b>	<b>non-brg</b>	<b>4.0</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>AXE</b>	<b>B</b>	<b>300</b>	<b>66.94</b>	<b>n/a</b>	<b>22-Jun</b>	<b>0.00</b>	<b>0.0</b>
BESSIMER TRUST	085	AXP	S	480	51.68	n/a	21-Jul	19.20	4.0
LATEFF MGMT	035	BDN	S	900	12.27	n/a	n/a	90.00	10.0
BROADARCH CAP/OLD NEWC	070	BDX	SS	2,000	86.44	n/a	n/a	80.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>BID</b>	<b>B</b>	<b>10,000</b>	<b>44.69</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BROADARCH CAP/OLD NEWC	070	BRCM	S	500	35.00	n/a	n/a	20.00	4.0
BESSIMER TRUST	085	CBS	S	630	29.08	n/a	n/a	25.20	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DAVIDSON INV ADV	035	CIM	B	417,580	3.27	n/a	n/a	8,351.60	2.0
BRONSON POINT	036	CMI	B	5,000	106.42	n/a	27-Apr	150.00	3.0
BROADARCH CAP/OLD NEWC	070	CR	S	7,000	50.37	n/a	n/a	280.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>CSTR</b>	<b>B</b>	<b>20,000</b>	<b>54.98</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>CVGI</b>	<b>B</b>	<b>150</b>	<b>13.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PROSPECTOR PARTNERS LLC	036	CW	B	10,000	32.51	n/a	n/a	400.00	4.0
BROADARCH CAP/OLD NEWC	070	CYT	B	5,000	57.55	n/a	n/a	200.00	4.0
BROADARCH CAP/OLD NEWC	070	DAL	S	2,000	7.88	n/a	n/a	80.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>DAL</b>	<b>B</b>	<b>7,400</b>	<b>7.88</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>DDS</b>	<b>S</b>	<b>40,000</b>	<b>59.12</b>	<b>n/a</b>	<b>n/a</b>	<b>1,200.00</b>	<b>3.0</b>
BESSIMER TRUST	085	DIS	S	640	40.52	n/a	n/a	25.60	4.0
<b>f STEFFANIE CARMELA CA</b>	<b>FID</b>	<b>DPTRD</b>	<b>S</b>	<b>634</b>	<b>4.34</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BESSIMER TRUST	085	DVN	S	850	83.66	n/a	15-Jul	34.00	4.0
BESSIMER TRUST	085	ECL	B	250	52.13	n/a	21-Jul	10.00	4.0
MACQUARIE INVESTMENT MGMT.	040	EP	B	5,000	20.82	n/a	n/a	0.00	0.0
BROADARCH CAP/OLD NEWC	070	ESRX	B	1,500	57.39	n/a	n/a	60.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f NICOLAS EVAN PAKLER</b>	<b>FID</b>	<b>ETAK</b>	<b>B</b>	<b>1700</b>	<b>3.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BROADARCH CAP/OLD NEWC	070	ETN	B	2,000	52.44	n/a	25-Jul	80.00	4.0
TUDOR INVESTORS	028	ETN	S	8,000	52.83	n/a	25-Jul	240.00	3.0
BROADARCH CAP/OLD NEWC	070	EXC	B	2,000	43.91	n/a	n/a	80.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>FINL</b>	<b>B</b>	<b>87,700</b>	<b>22.87</b>	<b>n/a</b>	<b>24-Jun</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>FL</b>	<b>B</b>	<b>26,000</b>	<b>22.79</b>	<b>n/a</b>	<b>2-Jun</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>FL</b>	<b>B</b>	<b>60,000</b>	<b>22.71</b>	<b>n/a</b>	<b>2-Jun</b>	<b>non-brg</b>	<b>4.0</b>
NEUBERGER BERMAN	036	FRAN	S	40,400	26.03	n/a	n/a	1,616.00	4.0
MACQUARIE INVESTMENT MGMT.	040	FTI	SS	2,500	46.25	n/a	n/a	0.00	0.0
OZ MGMT	040	F	S	98,869	13.15	n/a	14-Jul	2,966.07	3.0
TROUBH PART	070	F	S	50,000	13.10	n/a	14-Jul	2,500.00	5.0
BESSIMER TRUST	085	GE	B	780	19.11	n/a	n/a	31.20	4.0
BESSIMER TRUST	085	GE	S	1,980	18.86	n/a	n/a	79.20	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>GIII</b>	<b>B</b>	<b>10,000</b>	<b>31.82</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
NOKOMIS PARTNERS	031	GLUU	B	56,605	5.69	n/a	n/a	1,132.10	2.0
TALPION LLC	040	GPS	SS	20,000	19.50	n/a	n/a	800.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>GS</b>	<b>B</b>	<b>333</b>	<b>135.90</b>	<b>n/a</b>	<b>19-Jul</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
1798 CAP/LOMBARD ASSET	040	GVA	SS	7,500	24.74	n/a	n/a	375.00	5.0
BASCOM HILL PARTNERS LLC	033	HD	B	5,000	36.52	n/a	18-May	150.00	3.0
MACQUARIE INVESTMENT MGMT.	040	HD	SS	20,000	36.67	n/a	18-May	0.00	0.0
BESSIMER TRUST	085	HON	S	540	56.35	n/a	22-Jul	21.60	4.0
BROADARCH CAP/OLD NEWC	070	HON	B	2,000	56.45	n/a	22-Jul	80.00	4.0
TUDOR INVESTORS	028	HSC	SS	5,000	32.25	n/a	28-Apr	150.00	3.0
BROADARCH CAP/OLD NEWC	070	HUBB	B	2,000	65.88	n/a	n/a	80.00	4.0
BESSIMER TRUST	085	IP	S	1,035	30.80	n/a	19-Jul	41.40	4.0
BESSIMER TRUST	085	IR	S	700	39.98	n/a	21-Jul	28.00	4.0
BROADARCH CAP/OLD NEWC	070	ITW	B	3,000	57.21	n/a	27-Apr	120.00	4.0
BESSIMER TRUST	085	JCI	B	1,540	39.73	n/a	20-Jul	61.60	4.0
BROADARCH CAP/OLD NEWC	070	JCI	B	2,000	39.51	n/a	20-Jul	80.00	4.0
BESSIMER TRUST	085	JPM	S	660	41.61	n/a	14-Jul	26.40	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>JWN</b>	<b>SS</b>	<b>125,000</b>	<b>51.12</b>	<b>n/a</b>	<b>8-Jul</b>	<b>non-brg</b>	<b>4.0</b>
BESSIMER TRUST	085	KFT	S	875	35.23	n/a	n/a	35.00	4.0
BROADARCH CAP/OLD NEWC	070	KMB	B	1,000	67.56	n/a	25-Jul	40.00	4.0
LATEFF MGMT	035	KMB	S	125	66.69	n/a	25-Jul	37.50	30.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	070	KMT	S	2,000	44.46	n/a	29-Apr	80.00	4.0
NEUBERGER BERMAN	036	LDR	S	2,600	60.58	n/a	n/a	104.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>LTD</b>	<b>S</b>	<b>30,000</b>	<b>39.46</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
CENTURION PARTNERS	041	LTD	B	20,000	39.19	n/a	n/a	800.00	4.0
SONTERRA CAP	041	LZB	B	40,000	9.14	n/a	n/a	1,200.00	3.0
CYRUS CAPITAL	025	MAS	SS	25,800	11.43	n/a	n/a	774.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>MCD</b>	<b>S</b>	<b>50,000</b>	<b>88.55</b>	<b>n/a</b>	<b>22-Jul</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MCD</b>	<b>S</b>	<b>50,000</b>	<b>88.57</b>	<b>n/a</b>	<b>22-Jul</b>	<b>non-brg</b>	<b>4.0</b>
KENNEDY CAPITAL	046	MED	B	45,800	20.48	n/a	n/a	1,832.00	4.0
BESSIMER TRUST	085	MET	B	1,880	41.40	n/a	n/a	75.20	4.0
MACQUARIE INVESTMENT MGMT.	040	MRO	SS	5,000	32.69	n/a	n/a	0.00	0.0
BESSIMER TRUST	085	MSFT	B	3,610	28.02	n/a	n/a	144.40	4.0
BESSIMER TRUST	085	MSFT	S	140	27.25	n/a	n/a	5.60	4.0
LATEFF MGMT	035	MSFT	S	300	27.87	n/a	n/a	54.00	18.0
BESSIMER TRUST	085	MS	B	495	23.47	n/a	21-Jul	19.80	4.0
BESSIMER TRUST	085	MS	S	150	23.45	n/a	21-Jul	6.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>MS</b>	<b>B</b>	<b>1,930</b>	<b>23.47</b>	<b>n/a</b>	<b>21-Jul</b>	<b>non-brg</b>	<b>4.0</b>
<b>f NICOLAS EVAN PAKLER</b>	<b>FID</b>	<b>MWV</b>	<b>S</b>	<b>160</b>	<b>33.33</b>	<b>n/a</b>	<b>19-Jul</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SCOPUS FUND	041	M	S	50,000	30.00	n/a	8-Jul	2,000.00	4.0
BESSIMER TRUST	085	NOV	S	265	82.75	n/a	n/a	10.60	4.0
CRAMER ROSENTHAL/SCOTT	012	NOV	B	14,450	82.73	n/a	n/a	578.00	4.0
SAC COHEN	044	NWL	B	100,000	15.14	n/a	n/a	3,500.00	3.5
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>NWSA</b>	<b>S</b>	<b>300</b>	<b>16.24</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TUDOR INVESTORS	028	OC	S	10,000	36.62	n/a	n/a	300.00	3.0
MERRILL ASSET/BLACKROCK	297	OMI	B	4,900	34.05	n/a	n/a	196.00	4.0
BESSIMER TRUST	085	OXY	S	500	107.92	n/a	n/a	20.00	4.0
BROADARCH CAP/OLD NEWC	070	PCL	B	1,000	40.49	n/a	19-Jul	40.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>PERY</b>	<b>B</b>	<b>10,000</b>	<b>24.89</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
EPOCH INV MGMT	030	PERY	B	700	24.87	n/a	n/a	21.00	3.0
BESSIMER TRUST	085	PFE	B	320	19.98	n/a	n/a	12.80	4.0
BESSIMER TRUST	085	PFE	S	170	19.98	n/a	n/a	6.80	4.0
BESSIMER TRUST	085	PG	S	440	63.71	n/a	25-Jul	17.60	4.0
TUDOR INVESTORS	028	PVH	B	25,000	74.56	n/a	18-Jul	750.00	3.0
BROADARCH CAP/OLD NEWC	070	PX	B	1,300	105.39	n/a	15-Jul	52.00	4.0
BESSIMER TRUST	085	QCOM	B	240	57.17	n/a	n/a	9.60	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSIMER TRUST	085	QCOM	S	235	57.38	n/a	n/a	9.40	4.0
KLEINHEINZ CAP PART	031	RKT	B	35,700	64.00	n/a	n/a	1,785.00	5.0
LISTED ERR	099	RKT	B	1,800	64.00	n/a	n/a	0.00	0.0
LISTED ERR	099	RKT	S	1,800	63.80	n/a	n/a	0.00	0.0
BROADARCH CAP/OLD NEWC	070	ROK	S	1,500	83.09	n/a	n/a	60.00	4.0
f JOHN MICHAEL ZOLIDIS	FID	RUE	B	100	33.28	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	SGI	B	175	15.51	n/a	n/a	0.00	0.0
BNP PARIBAS SEC	040	SHOO	B	37,500	40.00	n/a	n/a	1,875.00	5.0
B BUCK CAPITAL MGMT		SIG	B	60,000	45.27	n/a	n/a	non-brg	4.0
f CHRISTOPHER ROBERT C	FID	SKUL	B	300	20.53	n/a	n/a	0.00	0.0
BROADARCH CAP/OLD NEWC	070	SMH	SS	1,200	33.50	n/a	n/a	48.00	4.0
MERRILL ASSET/BLACKROCK	297	SPN	S	3,377	41.74	n/a	n/a	135.08	4.0
BROADARCH CAP/OLD NEWC	070	SPY	B	2,000	134.01	n/a	n/a	80.00	4.0
BROADARCH CAP/OLD NEWC	070	SPY	SS	2,000	134.23	n/a	n/a	80.00	4.0
BESSIMER TRUST	085	STJ	S	325	48.87	n/a	n/a	13.00	4.0
TALPION LLC	040	SVU	C	17,700	8.52	n/a	n/a	531.00	3.0
BESSIMER TRUST	085	SWK	B	615	69.48	n/a	n/a	24.60	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	070	SYK	SS	1,000	56.01	n/a	n/a	40.00	4.0
FIRST NEW YORK LEDDY	035	S	B	20,000	5.15	n/a	n/a	800.00	4.0
MERRILL ASSET/BLACKROCK	297	TESO	S	13,100	22.98	n/a	n/a	524.00	4.0
ENTRUST CAPITAL	040	TEX	B	31,000	24.50	n/a	22-Jul	1,550.00	5.0
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>TEX</b>	<b>S</b>	<b>1000</b>	<b>23.98</b>	<b>n/a</b>	<b>22-Jul</b>	<b>0.00</b>	<b>0.0</b>
BROADARCH CAP/OLD NEWC	070	TMO	S	4,000	64.24	n/a	n/a	160.00	4.0
MERRILL ASSET/BLACKROCK	297	TTI	B	1,900	12.89	n/a	n/a	76.00	4.0
BROADARCH CAP/OLD NEWC	070	TXN	B	2,000	31.56	n/a	n/a	80.00	4.0
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>TZA</b>	<b>S</b>	<b>5000</b>	<b>32.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>UAL</b>	<b>B</b>	<b>2,200</b>	<b>18.84</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
CATAPULT	040	UAL	SS	25,000	18.94	n/a	n/a	1,000.00	4.0
LATEFF MGMT	035	UN	S	375	33.07	n/a	n/a	67.50	18.0
BROADARCH CAP/OLD NEWC	070	WCC	B	2,600	56.08	n/a	n/a	104.00	4.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>WFM</b>	<b>B</b>	<b>200</b>	<b>67.13</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SAC COHEN	044	WFM	B	10,000	67.21	n/a	n/a	350.00	3.5
BROADARCH CAP/OLD NEWC	070	WPI	S	3,000	69.46	n/a	25-Jul	120.00	4.0
TUDOR INVESTORS	028	WSO	B	18,000	62.77	n/a	n/a	540.00	3.0



Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	WST	B	9,800	46.03	n/a	n/a	392.00	4.0
OZ MGMT	040	XLB	SS	57,862	40.00	n/a	n/a	1,735.86	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>XLF</b>	<b>C</b>	<b>10,100</b>	<b>15.17</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>f STEFFANIE CARMELA CA</b>	<b>FID</b>	<b>XPO</b>	<b>B</b>	<b>1000</b>	<b>3.98</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BROADARCH CAP/OLD NEWC	070	X	S	3,750	44.37	n/a	n/a	150.00	4.0
BROADARCH CAP/OLD NEWC	070	ZMH	B	1,500	62.24	n/a	n/a	60.00	4.0
<b>TOTAL (Trade Date) :</b>								<b>47,162.51</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	07/22	MUTUAL OF AMERICA CAPITAL	029	ANN	B	14,000	27.27	n/a	n/a	560.00 4.0
AO,CXL	07/22	MUTUAL OF AMERICA CAPITAL	029	ANN	B	14,000	27.27	n/a	n/a	560.00 4.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>0.00</b>
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TOTAL (Trade Date) :	47,162.51
TOTAL (AO, CXL, CRT) :	0.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>47,162.51</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 25-Jul.  
NONE

MRI Securities without Trade Activity on 25-Jul.  
NONE

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 5%  
YTD = 3%

<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)