



# Daily Compliance Activity Report

Trade Date: 09/20/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	031	AEO	B	5,000	11.36	n/a	25-Aug	250.00	5.0
CASTLEROCK	040	ALB	SS	28,459	46.06	n/a	n/a	1,138.36	4.0
LATEFF MGMT	035	ALL	B	500	24.74	n/a	n/a	50.00	10.0
MERRILL ASSET/BLACKROCK	297	ANR	B	23,000	28.02	n/a	n/a	920.00	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>APOL</b>	<b>B</b>	<b>3000</b>	<b>45.68</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MERRILL ASSET/BLACKROCK	297	ARCO	S	15,400	27.62	n/a	9-Sep	616.00	4.0
ROYCE TRADING	031	AVX	B	5,000	12.18	n/a	n/a	250.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>BBBY</b>	<b>S</b>	<b>10,000</b>	<b>59.87</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BBBY</b>	<b>S</b>	<b>20,000</b>	<b>59.87</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
HIGHBRIDGE CAP	041	BBBY	S	17,500	59.90	n/a	n/a	525.00	3.0
COBALT	041	BEAV	B	100,000	33.80	n/a	14-Sep	4,000.00	4.0
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>BGZ</b>	<b>B</b>	<b>500</b>	<b>38.77</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COOPER CREEK PART	028	BZ	S	50,000	6.72	n/a	n/a	2,000.00	4.0
<b>LISTED ERR</b>	<b>099</b>	<b>BZ</b>	<b>B</b>	<b>1,000</b>	<b>6.68</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>BZ</b>	<b>S</b>	<b>1,000</b>	<b>6.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MACQUARIE INVESTMENT MGMT.	040	CAG	SS	5,000	22.94	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOPUS FUND	041	CAT	S	9,000	83.94	n/a	14-Sep	360.00	4.0
LATEFF MGMT	035	CBL	B	1,000	13.68	n/a	n/a	100.00	10.0
CHESAPEAKE PARTNERS	028	CCI	S	5,000	44.25	n/a	n/a	150.00	3.0
ß BUCK CAPITAL MGMT		CHRS	B	300,000	2.95	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		COH	S	20,000	59.78	n/a	3-Aug	non-brg	4.0
HIGHBRIDGE CAP	041	COH	B	5,000	60.12	n/a	3-Aug	150.00	3.0
f EDWARD W WHEELER	FID	CPN	S	3644	15.82	n/a	n/a	0.00	0.0
JETSTREAM GLOBAL FUND LP	065	CRM	B	16,000	131.82	n/a	n/a	800.00	5.0
ß BUCK CAPITAL MGMT		CSTR	S	10,000	47.44	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		CSTR	S	20,000	46.90	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DDS	S	10,300	48.65	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DDS	S	20,000	48.69	n/a	n/a	non-brg	4.0
f JONATHAN RICHARD HAR	FID	DGP	B	470	65.80	n/a	n/a	0.00	0.0
HIGHBRIDGE CAP	041	DKS	B	8,000	35.38	n/a	16-Aug	240.00	3.0
ß BUCK CAPITAL MGMT		DSW	S	40,000	47.02	n/a	11-Feb	non-brg	4.0
ß BUCK CAPITAL MGMT		EAT	B	100,000	22.08	n/a	12-Aug	non-brg	4.0
ß BUCK CAPITAL MGMT		EAT	B	100,000	22.20	n/a	12-Aug	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>EFA</b>	<b>S</b>	<b>1000</b>	<b>50.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BALYASNY ASSET MGMT	044	ELN	B	75,000	9.90	n/a	n/a	3,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>ERTS</b>	<b>B</b>	<b>50,000</b>	<b>23.12</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ERTS</b>	<b>B</b>	<b>50,000</b>	<b>23.28</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
THE JAY GOLDMAN	028	EXPR	S	19,860	21.05	n/a	n/a	794.40	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>FINL</b>	<b>S</b>	<b>4,400</b>	<b>19.91</b>	<b>n/a</b>	<b>1-Sep</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>FINL</b>	<b>S</b>	<b>70,600</b>	<b>19.88</b>	<b>n/a</b>	<b>1-Sep</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>FOSL</b>	<b>S</b>	<b>1,400</b>	<b>98.94</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>FOSL</b>	<b>S</b>	<b>8,600</b>	<b>101.16</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>FRAN</b>	<b>C</b>	<b>34,300</b>	<b>20.17</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BRONSON POINT	036	FTR	SS	25,000	6.94	n/a	n/a	750.00	3.0
ROSEDALE CAPITAL	046	F	S	50,000	10.53	n/a	2-Sep	2,500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>GIII</b>	<b>B</b>	<b>33,000</b>	<b>24.32</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GIII</b>	<b>B</b>	<b>43,000</b>	<b>24.22</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GIII</b>	<b>B</b>	<b>67,000</b>	<b>24.32</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GIII</b>	<b>B</b>	<b>84,750</b>	<b>24.22</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GMCR</b>	<b>S</b>	<b>5,500</b>	<b>115.28</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
LEVIN CAPITAL STRATEGIES	041	GM	B	10,000	22.79	n/a	2-Sep	300.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OZ MGMT	040	GM	SS	75,000	22.63	n/a	2-Sep	2,250.00	3.0
TROUBH PART	070	GM	S	25,000	22.75	n/a	2-Sep	1,250.00	5.0
<b>BUCK CAPITAL MGMT</b>	<b>001</b>	<b>HBI</b>	<b>B</b>	<b>20,000</b>	<b>27.34</b>	<b>n/a</b>	<b>21-Jul</b>	<b>600.00</b>	<b>3.0</b>
CATAPULT CAP/DEFRANCO	040	HBI	SS	9,130	27.74	n/a	21-Jul	365.20	4.0
SIMMONS VENTURES	041	HBI	B	7,500	27.52	n/a	21-Jul	300.00	4.0
MERRILL ASSET/BLACKROCK	297	HNZ	B	19,700	50.81	n/a	n/a	788.00	4.0
NORTHWESTERN MUTUAL LIFE	047	HYG	B	131,300	86.90	n/a	n/a	2,626.00	2.0
NORTHWESTERN MUTUAL LIFE	047	JNK	B	434,500	38.17	n/a	n/a	8,690.00	2.0
LATEFF MGMT	035	JPM	B	500	32.56	n/a	15-Sep	50.00	10.0
MACQUARIE INVESTMENT MGMT.	040	KEG	B	10,000	12.46	n/a	20-Sep	0.00	0.0
<b>f MARY CATHERI MADIGA</b>	<b>FID</b>	<b>KEG</b>	<b>B</b>	<b>500</b>	<b>11.85</b>	<b>n/a</b>	<b>20-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>KFN</b>	<b>S</b>	<b>1000</b>	<b>8.47</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LATEFF MGMT	035	KMB	S	150	70.77	n/a	25-Jul	37.50	25.0
THE JAY GOLDMAN	028	KSS	B	30,000	47.16	n/a	2-Sep	1,200.00	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>LGND</b>	<b>B</b>	<b>3000</b>	<b>15.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LATEFF MGMT	035	LOW	B	750	20.29	n/a	15-Aug	75.00	10.0
<b>B BUCK CAPITAL MGMT</b>		<b>LTD</b>	<b>S</b>	<b>12,000</b>	<b>41.67</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>LTD</b>	<b>S</b>	<b>30,000</b>	<b>41.68</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.	
B BUCK CAPITAL MGMT		LULU	SS	30,000	59.03	n/a	12-Sep	non-brg	2.5
CATAPULT	040	MAT	B	8,000	27.08	n/a	n/a	320.00	4.0
f DAVID GEORGE BUCK	FID	MCD	S	2000	90.26	n/a	9-Sep	0.00	0.0
RBC CAPITAL MARKETS	040	MPXL	B	50,000	11.58	n/a	13-Jun	2,000.00	4.0
B BUCK CAPITAL MGMT		MSMSBCD	C	707,230	99.08	n/a	n/a	non-brg	0.2
B BUCK CAPITAL MGMT		MSMSBCD	SS	707,230	99.08	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		MSMSBCM	C	6,333,924	99.03	n/a	n/a	non-brg	0.2
B BUCK CAPITAL MGMT		MSMSBCM	SS	150,000	89.92	n/a	n/a	non-brg	7.2
B BUCK CAPITAL MGMT		MSMSBCM	SS	6,333,924	99.03	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		MSMSBCM	SS	60,000	89.92	n/a	n/a	non-brg	7.2
JETSTREAM GLOBAL FUND LP	065	MS	S	147,600	15.25	n/a	15-Sep	7,380.00	5.0
B BUCK CAPITAL MGMT		MW	S	30,000	28.46	n/a	n/a	non-brg	4.0
HIGHBRIDGE CAP	041	M	B	28,000	27.32	n/a	2-Sep	840.00	3.0
THE JAY GOLDMAN	028	M	SS	50,000	27.54	n/a	2-Sep	2,000.00	4.0
SMITH MGMT LLC	029	NDN	S	85,000	20.16	n/a	16-Sep	2,550.00	3.0
f KEVIN MICHAEL O'GORM	FID	NEYF	S	20000	1.30	n/a	n/a	0.00	0.0
SF SENTRY	085	NP	B	15,000	15.56	20-Sep	20-Sep	750.00	5.0
LATEFF MGMT	035	NYB	B	500	12.80	n/a	18-Aug	50.00	10.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEFF MGMT	035	OLN	B	250	19.87	n/a	n/a	35.00	14.0
⚡ BUCK CAPITAL MGMT		PERY	B	20,000	20.27	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		PLCE	B	20,000	45.74	n/a	18-Aug	non-brg	4.0
⚡ BUCK CAPITAL MGMT		PVH	S	15,000	66.63	n/a	1-Sep	non-brg	4.0
⚡ BUCK CAPITAL MGMT		PVH	S	7,600	66.67	n/a	1-Sep	non-brg	4.0
SCOPUS FUND	041	PVH	SS	7,900	65.65	n/a	1-Sep	316.00	4.0
FORWARD MGMT	033	RAS	S	20,000	3.87	n/a	n/a	800.00	4.0
⚡ BUCK CAPITAL MGMT		RGC	S	10,000	13.13	n/a	n/a	non-brg	4.0
MTB INV ADV	034	RLOC	S	62,675	12.82	n/a	n/a	3,133.75	5.0
HIGHBRIDGE CAP	041	ROST	S	10,500	80.80	n/a	n/a	315.00	3.0
⚡ BUCK CAPITAL MGMT		SCS	S	40,000	7.26	n/a	n/a	non-brg	3.0
LATEFF MGMT	035	SFG	S	250	28.01	n/a	n/a	37.50	15.0
FORWARD MGMT	033	SFI	S	40,000	6.96	n/a	n/a	1,600.00	4.0
⚡ BUCK CAPITAL MGMT		SFLY	S	15,000	53.10	n/a	n/a	non-brg	2.5
f JONATHAN RICHARD HAR	FID	SGI	S	1715	15.98	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	SKUL	S	200	14.85	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CASTLEROCK	040	SMG	SS	22,980	45.61	n/a	9-Aug	919.20	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>SODA</b>	<b>S</b>	<b>20,000</b>	<b>43.12</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
LATEFF MGMT	035	SPLS	B	350	14.53	n/a	n/a	35.00	10.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>SWFT</b>	<b>S</b>	<b>500</b>	<b>8.36</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MACQUARIE INVESTMENT MGMT.	040	SWN	B	5,000	39.13	n/a	14-Sep	0.00	0.0
LATEFF MGMT	035	TCB	S	700	9.90	n/a	n/a	70.00	10.0
LATEFF MGMT	035	TEVA	B	225	37.00	n/a	19-Sep	45.00	20.0
HIGHBRIDGE CAP	041	TIF	B	7,000	77.11	n/a	n/a	210.00	3.0
RBC CAPITAL MARKETS	040	TIN	B	34,396	31.29	n/a	13-Sep	1,375.84	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>TJX</b>	<b>S</b>	<b>20,000</b>	<b>59.29</b>	<b>n/a</b>	<b>2-Sep</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>TJX</b>	<b>S</b>	<b>8,500</b>	<b>59.09</b>	<b>n/a</b>	<b>2-Sep</b>	<b>non-brg</b>	<b>4.0</b>
TALPION LLC	040	TJX	S	5,000	57.08	n/a	2-Sep	200.00	4.0
THE JAY GOLDMAN	028	TJX	SS	110,000	59.26	n/a	2-Sep	4,400.00	4.0
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>TZA</b>	<b>B</b>	<b>210</b>	<b>42.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>TZA</b>	<b>B</b>	<b>1000</b>	<b>43.94</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f KEVIN MICHAEL O'GORM</b>	<b>FID</b>	<b>TZA</b>	<b>S</b>	<b>1000</b>	<b>42.22</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MTB INV ADV	034	TZOO	S	7,000	29.93	n/a	n/a	350.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>VECO</b>	<b>C</b>	<b>30,000</b>	<b>29.19</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.	
HIGHFIELDS CAP MGMT	030	WFC	B	100,000	25.05	n/a	15-Sep	5,000.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>WFM</b>	<b>SS</b>	<b>10,000</b>	<b>71.90</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SANDLER CAPITAL	028	WFM	S	48,000	71.45	n/a	n/a	2,400.00	5.0
CASTLEROCK	040	WHR	SS	19,960	52.71	n/a	n/a	798.40	4.0
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>WNC</b>	<b>S</b>	<b>1000</b>	<b>5.54</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>WNC</b>	<b>S</b>	<b>2150</b>	<b>5.43</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>XIDE</b>	<b>B</b>	<b>5000</b>	<b>4.61</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>XPO</b>	<b>S</b>	<b>800</b>	<b>9.42</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
GEORGE WEISS	034	YUM	S	8,000	55.43	n/a	10-Aug	320.00	4.0
TUDOR INVESTORS	028	ZUMZ	SS	25,000	19.13	n/a	n/a	750.00	3.0
<b>TOTAL (Trade Date) :</b>								<b>76,126.15</b>	



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):									76,126.15
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									76,126.15
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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 20-Sep.

NP

MRI Securities without Trade Activity on 20-Sep.

PG

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

T-Date = 1%

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)**