



Daily Compliance Activity Report

Trade Date: 09/22/2011

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f NICOLAS EVAN PAKLER	FID	AAPL	B	3	16.20	n/a	n/a	0.00	0.0
ROYCE TRADING	031	AEO	B	1,000	10.60	n/a	25-Aug	50.00	5.0
f ANGELOS EFSTATHIOU	FID	AKAM	S	100	19.99	n/a	n/a	0.00	0.0
f HARALAMBOS EFSTATHI	FID	AKAM	S	500	20.09	n/a	n/a	0.00	0.0
SERENGETI MGMT	030	ALB	B	60,000	41.23	n/a	n/a	3,000.00	5.0
f DAVID GEORGE BUCK	FID	ALV	S	2000	46.95	n/a	22-Jul	0.00	0.0
f DAVID GEORGE BUCK	FID	AMZN	B	10	2.67	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ANF	S	10,000	62.11	n/a	18-Aug	non-brg	4.0
RBC CAPITAL MARKETS	040	ANF	S	200	63.50	n/a	18-Aug	8.00	4.0
B BUCK CAPITAL MGMT		APC	B	5,000	67.62	n/a	14-Sep	non-brg	4.0
f HARALAMBOS EFSTATHI	FID	ARUN	B	600	19.62	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	AUMN	B	2000	9.60	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	AVY	B	5000	24.97	n/a	6-Sep	0.00	0.0
B BUCK CAPITAL MGMT		BBBY	S	3,160	58.45	n/a	n/a	non-brg	4.0
HIGHBRIDGE CAP	041	BBY	SS	11,000	23.57	n/a	n/a	330.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JOSEPH CIRO AMATURO	FID	BGZ	B	1000	46.98	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BWLD	C	20,000	60.10	n/a	n/a	non-brg	4.0
TALPION LLC	040	CAKE	C	20,000	25.15	n/a	21-Jul	800.00	4.0
BASIX	033	CE	B	15,000	35.32	n/a	20-May	600.00	4.0
f JASON ERIC COHEN	FID	CGI	B	10	0.55	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		CHS	SS	50,000	12.17	n/a	5-Feb	non-brg	4.0
B BUCK CAPITAL MGMT		COH	S	10,000	54.38	n/a	3-Aug	non-brg	4.0
TALPION LLC	040	COST	S	5,000	82.62	n/a	n/a	200.00	4.0
f HARALAMBOS EFSTATHI	FID	CRMBW	S	3500	0.32	n/a	n/a	0.00	0.0
f HARALAMBOS EFSTATHI	FID	CRMB	S	500	3.90	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		CSTR	S	50,000	40.90	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DDS	S	60,000	43.86	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	DD	S	1500	41.68	n/a	16-Sep	0.00	0.0
f JONATHAN RICHARD HAR	FID	DGP	B	80	60.64	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		DIA	C	18,434	106.87	n/a	n/a	non-brg	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CYPRESS CAP MGMT LLC	040	DPZ	B	21,400	28.14	n/a	26-Jul	856.00	4.0
⚡ BUCK CAPITAL MGMT		DSW	S	20,000	44.39	n/a	11-Feb	non-brg	4.0
DAVIDSON KEMPNER ADVISOR	040	DTV	B	25,000	41.21	n/a	n/a	1,250.00	5.0
ST OF MICHIAN	047	DV	B	30,000	35.95	n/a	n/a	900.00	3.0
⚡ BUCK CAPITAL MGMT		ERTS	B	30,000	20.86	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		ESV	B	10,000	41.93	n/a	n/a	non-brg	4.0
f HARALAMBOS EFSTATHI	FID	EUO	B	500	19.16	n/a	n/a	0.00	0.0
f HARALAMBOS EFSTATHI	FID	EXG	S	2120	8.02	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		EXPR	S	20,000	19.34	n/a	n/a	non-brg	2.5
⚡ BUCK CAPITAL MGMT		FINL	S	25,000	18.37	n/a	21-Sep	non-brg	4.0
ROYCE TRADING	031	FINL	B	500	18.05	n/a	21-Sep	25.00	5.0
⚡ BUCK CAPITAL MGMT		FL	S	25,000	19.82	n/a	19-Aug	non-brg	4.0
OZ MGMT	040	FL	B	100,000	19.99	n/a	19-Aug	3,000.00	3.0
OZ MGMT	040	F	C	471,242	9.92	n/a	2-Sep	14,137.26	3.0
⚡ BUCK CAPITAL MGMT		GIII	B	10,000	21.84	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		GIII	B	10,000	21.98	n/a	n/a	non-brg	2.5
⚡ BUCK CAPITAL MGMT		GIL	S	10,000	25.83	n/a	5-Aug	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f EDWARD W WHEELER	FID	GLW	B	15000	12.38	n/a	8-Sep	0.00	0.0
f HARALAMBOS EFSTATHI	FID	GMCR	B	100	104.32	n/a	n/a	0.00	0.0
OZ MGMT	040	GM	SS	50,000	20.47	n/a	2-Sep	1,500.00	3.0
TRELLUS PARTNERS LP	028	GM	SS	50,000	20.59	n/a	2-Sep	2,500.00	5.0
RBC CAPITAL MARKETS	040	GPS	B	25,000	16.07	n/a	n/a	1,000.00	4.0
ST OF MICHIAN	047	GS	B	12,000	93.08	n/a	15-Sep	360.00	3.0
MERRILL ASSET/BLACKROCK	297	GT	B	77,600	9.58	n/a	n/a	3,104.00	4.0
ß BUCK CAPITAL MGMT		HBI	S	40,000	25.26	n/a	21-Jul	non-brg	4.0
f DAVID GEORGE BUCK	FID	HDV	B	500	49.03	n/a	n/a	0.00	0.0
RWC PARTNERS LTD	085	HD	S	62,500	32.97	n/a	16-Aug	1,875.00	3.0
RWC PARTNERS LTD	085	IGT	B	5,800	14.17	n/a	13-Jun	174.00	3.0
ß BUCK CAPITAL MGMT		IJH	C	11,007	78.47	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		IR 10 C36	C	1,150	0.30	n/a	n/a	non-brg	100.0
ß BUCK CAPITAL MGMT		IWO	C	26,555	74.30	n/a	n/a	non-brg	2.0
f MATTHEW FRANCIS BUCK	FID	JPM	S	500	28.94	n/a	15-Sep	0.00	0.0
KLEINHEINZ CAP PART	031	KKR	SS	75,000	10.51	n/a	n/a	3,750.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MILLRACE FUND LP	028	LEA	S	24,200	39.33	n/a	5-Aug	726.00	3.0
TIBURION CAP MGMT	025	LEA	SS	11,452	38.52	n/a	5-Aug	572.60	5.0
RWC PARTNERS LTD	085	LINTA	B	7,252	16.33	n/a	n/a	217.56	3.0
DC CAPITAL	044	LPX	B	12,500	5.36	n/a	5-Aug	375.00	3.0
⌘ BUCK CAPITAL MGMT		LTD	S	15,000	39.12	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		LTD	S	25,600	38.91	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		LTM	C	30,000	37.07	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		LVS	B	5,000	44.86	n/a	13-Jun	non-brg	4.0
⌘ BUCK CAPITAL MGMT		MDY	C	13,613	142.34	n/a	n/a	non-brg	2.0
TALPION LLC	040	MJN	S	5,000	72.19	n/a	n/a	200.00	4.0
⌘ BUCK CAPITAL MGMT		MNRO	C	50,000	36.22	n/a	n/a	non-brg	4.0
ROYCE TRADING	031	MOV	B	1,000	12.87	n/a	n/a	50.00	5.0
LISTED ERR	099	MOV	B	1,000	13.11	n/a	n/a	0.00	0.0
LISTED ERR	099	MOV	S	1,000	12.87	n/a	n/a	0.00	0.0
MACQUARIE INVESTMENT MGMT.	040	MRO	B	5,000	22.01	n/a	n/a	0.00	0.0
MACQUARIE INVESTMENT MGMT.	040	MRX	S	10,000	36.58	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		MSMSBCD	C	30,000	84.85	n/a	n/a	non-brg	6.8

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		MSMSBCM	SS	100,000	84.10	n/a	n/a	non-brg	6.7
ß BUCK CAPITAL MGMT		MSMSBCM	SS	50,000	84.10	n/a	n/a	non-brg	6.7
ß BUCK CAPITAL MGMT		MS	B	10,000	12.89	n/a	15-Sep	non-brg	4.0
ß BUCK CAPITAL MGMT		MW	S	156,316	26.44	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		MW	S	23,684	26.59	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		M	S	25,000	25.04	n/a	2-Sep	non-brg	4.0
ß BUCK CAPITAL MGMT		M	S	30,000	25.22	n/a	2-Sep	non-brg	4.0
f JONATHAN RICHARD HAR	FID	NDN	B	1275	19.66	n/a	16-Sep	0.00	0.0
f JASON ERIC COHEN	FID	NFLX	B	5	131.39	n/a	n/a	0.00	0.0
MACQUARIE INVESTMENT MGMT.	040	NKE	B	1,500	83.40	n/a	21-Sep	0.00	0.0
TALPION LLC	040	NLSN	B	5,000	27.50	n/a	n/a	200.00	4.0
f EDWARD W WHEELER	FID	NPO	B	5000	30.29	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		NWY	S	20,000	2.95	n/a	n/a	non-brg	2.0
SANDLER CAPITAL	028	OIS	S	46,410	50.71	n/a	n/a	2,320.50	5.0
f DAVID GEORGE BUCK	FID	PEI	S	2000	8.00	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	PEI	S	1000	8.04	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	PEP	B	1000	60.40	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	MATTHEW FRANCIS BUCK	FID	PEP	B	200	60.12	n/a	n/a	0.00	0.0
	ST OF MICHIAN	047	PEP	B	17,000	59.91	n/a	n/a	510.00	3.0
B	BUCK CAPITAL MGMT		PLCE	S	23,300	43.10	n/a	18-Aug	non-brg	4.0
	PZENA INV ADV	044	PPG	B	35,225	70.36	n/a	7-Sep	1,232.88	3.5
B	BUCK CAPITAL MGMT		PVH	S	15,000	61.26	n/a	1-Sep	non-brg	4.0
	HIGHBRIDGE CAP	041	PVH	S	4,000	59.97	n/a	1-Sep	120.00	3.0
	TALPION LLC	040	RDEN	B	10,000	30.66	n/a	31-Aug	400.00	4.0
	MACQUARIE INVESTMENT MGMT.	040	SBUX	B	2,500	38.47	n/a	29-Jul	0.00	0.0
B	BUCK CAPITAL MGMT		SCS	S	100,000	5.55	n/a	n/a	non-brg	2.5
B	BUCK CAPITAL MGMT		SCS	S	100,000	5.55	n/a	n/a	non-brg	2.5
B	BUCK CAPITAL MGMT		SCS	S	100,000	5.58	n/a	n/a	non-brg	2.5
B	BUCK CAPITAL MGMT		SCS	S	98,800	5.44	n/a	n/a	non-brg	3.0
f	JONATHAN RICHARD HAR	FID	SGI	S	1560	14.53	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		SIG	S	25,000	33.40	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		SIG	S	91,446	33.36	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		SODA	S	5,000	37.83	n/a	n/a	non-brg	2.5
	BALLAST CAP	040	SO	B	10,100	41.84	n/a	n/a	505.00	5.0
B	BUCK CAPITAL MGMT		SPY	C	69,000	113.53	n/a	n/a	non-brg	2.0
	JANA CAPITAL	044	SPY	C	86,639	113.01	n/a	n/a	3,465.56	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WALL STREET CAPITAL	084	SSI	S	32,300	12.98	n/a	n/a	1,292.00	4.0
MACQUARIE INVESTMENT MGMT.	040	SUN	B	5,000	32.51	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SWN	B	8,000	34.55	n/a	14-Sep	non-brg	4.0
f HARALAMBOS EFSTATHI	FID	SWN	B	400	34.17	n/a	14-Sep	0.00	0.0
B BUCK CAPITAL MGMT		TGT	S	75,000	50.52	n/a	1-Sep	non-brg	4.0
CYPRESS CAP MGMT LLC	040	TGT	B	7,900	50.83	n/a	1-Sep	316.00	4.0
FARALLON CAP MGMT	040	TGT	B	256,000	49.37	n/a	1-Sep	10,240.00	4.0
THE JAY GOLDMAN	028	TGT	B	50,000	48.92	n/a	1-Sep	2,000.00	4.0
EPOCH INV MGMT	030	TIN	S	58,300	31.30	n/a	13-Sep	1,749.00	3.0
B BUCK CAPITAL MGMT		TJX	S	17,800	56.13	n/a	2-Sep	non-brg	4.0
MACQUARIE INVESTMENT MGMT.	040	TJX	B	2,500	56.13	n/a	2-Sep	0.00	0.0
f DAVID GEORGE BUCK	FID	TLT	S	1000	123.37	n/a	n/a	0.00	0.0
TALPION LLC	040	TUP	S	15,000	54.91	n/a	n/a	600.00	4.0
ST OF MICHIAN	047	UNH	S	150,000	47.13	n/a	n/a	4,500.00	3.0
MACQUARIE INVESTMENT MGMT.	040	UTX	B	15,000	69.01	n/a	n/a	0.00	0.0
f HARALAMBOS EFSTATHI	FID	VC	S	58	41.81	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		VECO	C	90,000	27.36	n/a	n/a	non-brg	2.5
f ANGELO CHRISTOS EFST	FID	VG	B	600	2.60	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f DAVID GEORGE BUCK	FID	VNO	B	1000	77.64	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	VNO	B	100	77.53	n/a	n/a	0.00	0.0
PIONEER PATH	028	WAG	SS	40,000	35.22	n/a	n/a	1,200.00	3.0
B BUCK CAPITAL MGMT		WBC	C	20,000	37.04	n/a	22-Sep	non-brg	4.0
B BUCK CAPITAL MGMT		WFM	C	30,000	67.78	n/a	n/a	non-brg	4.0
f JOHN MICHAEL ZOLIDIS	FID	WFM	B	200	67.95	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		WNC	B	100,000	4.79	n/a	n/a	non-brg	2.0
f EDWARD W WHEELER	FID	WNC	B	10000	4.73	n/a	n/a	0.00	0.0
CSFB GLOBAL PROPRIETARY	041	WY	B	20,000	16.06	n/a	29-Jul	1,000.00	5.0
B BUCK CAPITAL MGMT		XLFX	C	680,200	11.64	n/a	n/a	non-brg	2.0
f EDWARD W WHEELER	FID	XPO	B	5000	8.82	n/a	n/a	0.00	0.0
f JOEL GIFFORD TISS	FID	XPO	B	5000	8.85	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		XRT	C	109,800	46.23	n/a	n/a	non-brg	1.0
TUDOR INVESTORS	028	ZUMZ	B	25,000	16.65	n/a	n/a	750.00	3.0
TOTAL (Trade Date):								73,961.36	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	09/21	CHARTER OAK	033	XHB	B	6,810	14.35	n/a	n/a	204.30	3.0
AO,CRT	09/21	CHARTER OAK	033	XHB	B	6,810	14.35	n/a	n/a	204.30	3.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	73,961.36
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	73,961.36
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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 22-Sep.
NONE

MRI Securities without Trade Activity on 22-Sep.
DFS, GR

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 0%
YTD = 2%

<u>Legend:</u>
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)