



# Daily Compliance Activity Report

Trade Date: 01/04/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BESSEMER INVESTMENT	085	ALL	S	976	27.74	n/a	n/a	39.04	4.0
⚡ BUCK CAPITAL MGMT		ANF	S	125,000	47.60	n/a	3-Jan	non-brg	4.0
⚡ BUCK CAPITAL MGMT		ANF	S	125,000	47.60	n/a	3-Jan	non-brg	4.0
⚡ BUCK CAPITAL MGMT		ANF	S	16,200	47.84	n/a	3-Jan	non-brg	4.0
⚡ BUCK CAPITAL MGMT		ANF	S	60,000	47.60	n/a	3-Jan	non-brg	4.0
BESSEMER INVESTMENT	085	APA	S	1,000	95.74	n/a	22-Dec	40.00	4.0
FIRST NY SEC/CHRIS	041	ARO	B	4,264	15.11	n/a	n/a	127.92	3.0
TRELLUS PARTNERS LP	028	AXL	SS	5,000	10.68	n/a	31-Oct	150.00	3.0
⚡ BUCK CAPITAL MGMT		BBBY	B	155,000	59.36	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		BBBY	B	50,000	59.36	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		BIG	B	17,000	38.40	n/a	2-Dec	non-brg	4.0
⚡ BUCK CAPITAL MGMT		BIG	B	17,000	38.40	n/a	2-Dec	non-brg	4.0
BALYASNY ASSET MGMT	044	BWA	SS	20,000	66.04	n/a	9-Nov	1,000.00	5.0
⚡ DAVID GEORGE BUCK	FID	CAH	B	500	41.20	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	CBSH	S	1,030	38.31	n/a	n/a	41.20	4.0
PATTEN & PATTEN	025	CBT	B	1,000	33.40	n/a	12-Dec	50.00	5.0
⚡ BUCK CAPITAL MGMT		COST	B	50,000	84.44	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		COST	B	87,000	84.44	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		CROX	B	25,000	15.81	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		CROX	B	25,000	15.81	n/a	n/a	non-brg	4.0
ROARING BLUE LION MGMT	031	CROX	B	19,200	15.92	n/a	n/a	768.00	4.0
Ⓣ KAREN F LEDDY	FID	CWTR	B	5000	1.13	n/a	n/a	0.00	0.0
HAMILTON CAP PART FIN	031	C	B	43,000	28.12	n/a	4-Jan	1,720.00	4.0
COBALT	041	DAN	B	100,000	12.69	n/a	1-Dec	4,000.00	4.0
⚡ BUCK CAPITAL MGMT		DKS	SS	10,000	35.72	n/a	4-Jan	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DKS	SS	10,000	35.72	n/a	4-Jan	non-brg	4.0
CIRCLE T/SES PART	033	DKS	SS	5,000	35.83	n/a	4-Jan	200.00	4.0
⚡ BUCK CAPITAL MGMT		DLTR	B	33,000	82.81	n/a	22-Nov	non-brg	4.0
MAIRS AND POWER INV	030	ECL	S	10,000	57.83	n/a	3-Jan	500.00	5.0
⚡ BUCK CAPITAL MGMT		EL	B	42,500	113.27	n/a	19-Dec	non-brg	4.0
⚡ BUCK CAPITAL MGMT		EL	B	42,500	113.27	n/a	19-Dec	non-brg	4.0
SCOUT/UMB	047	EXPE	B	7,625	28.93	n/a	n/a	305.00	4.0
⚡ BUCK CAPITAL MGMT		EXPR	B	25,000	19.48	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		EXPR	B	25,000	19.48	n/a	n/a	non-brg	4.0
ROARING BLUE LION MGMT	031	FL	B	20,500	24.17	n/a	18-Nov	820.00	4.0
WEINTRAUB CAPITAL MGT.	288	FL	B	47,400	24.10	n/a	18-Nov	1,896.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f MARK ANTHONY GRONET</b>	<b>FID</b>	<b>FSAVX</b>	<b>B</b>	<b>931</b>	<b>32.24</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>FSNXX</b>	<b>S</b>	<b>7000</b>	<b>1.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
OZ MGMT	040	F	SS	275,000	11.41	n/a	3-Jan	8,250.00	3.0
PILOT ADV	041	F	B	17,100	11.42	n/a	3-Jan	513.00	3.0
BESSEMER INVESTMENT	085	GCI	S	1,340	13.81	n/a	n/a	53.60	4.0
BESSEMER INVESTMENT	085	GE	S	1,100	18.34	n/a	n/a	44.00	4.0
MACQUARIE INVESTMENT MGMT.	040	GM	B	7,825	21.17	n/a	3-Jan	0.00	0.0
OZ MGMT	040	GM	C	88,974	21.15	n/a	3-Jan	2,669.22	3.0
OZ MGMT	040	GM	SS	150,000	21.00	n/a	3-Jan	4,500.00	3.0
DEVENNY CAP LLC	044	GPI	B	1,800	49.69	n/a	4-Jan	54.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>HANS</b>	<b>B</b>	<b>7,000</b>	<b>92.36</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>HANS</b>	<b>B</b>	<b>7,000</b>	<b>92.36</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BALLAST CAP	040	HBI	B	11,000	22.60	n/a	30-Nov	550.00	5.0
MERRILL ASSET/BLACKROCK	297	HFC	S	6,000	25.32	n/a	n/a	240.00	4.0
SIMMONS VENTURES	041	HWD	B	10,000	11.09	n/a	n/a	400.00	4.0
<b>f ALICE BEEBE LONGLEY</b>	<b>FID</b>	<b>IJT</b>	<b>B</b>	<b>150</b>	<b>74.82</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BESSEMER INVESTMENT	085	INTC	S	1,200	24.72	n/a	n/a	48.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MOORE CAPITAL	041	IWM	C	50,000	74.60	n/a	n/a	1,500.00	3.0
BALYASNY ASSET MGMT	044	JCI	SS	50,000	32.60	n/a	4-Jan	2,500.00	5.0
BESSEMER INVESTMENT	085	JCI	S	1,200	32.29	n/a	4-Jan	48.00	4.0
PATTEN & PATTEN	025	JCI	B	1,000	32.62	n/a	4-Jan	50.00	5.0
BRIGADE CAPITAL MGMT	029	JCP	SS	125,000	34.54	n/a	3-Jan	3,750.00	3.0
CAERUS GLOBAL	041	JCP	B	46,567	34.73	n/a	3-Jan	1,862.68	4.0
FIRST NY SEC/CHRIS	041	JNY	S	20,000	10.01	n/a	27-Oct	600.00	3.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>JPM</b>	<b>S</b>	<b>1500</b>	<b>35.00</b>	<b>n/a</b>	<b>4-Jan</b>	<b>0.00</b>	<b>0.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>KSS</b>	<b>SS</b>	<b>200,000</b>	<b>47.50</b>	<b>n/a</b>	<b>3-Jan</b>	<b>non-brg</b>	<b>4.0</b>
THOMPSON SIEGAL&WALMSLEY	029	KSS	S	71,700	47.09	n/a	3-Jan	2,868.00	4.0
<b>ß BUCK CAPITAL MGMT</b>		<b>LIZ</b>	<b>B</b>	<b>100,000</b>	<b>9.17</b>	<b>n/a</b>	<b>7-Oct</b>	<b>non-brg</b>	<b>3.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>LIZ</b>	<b>B</b>	<b>200,000</b>	<b>9.13</b>	<b>n/a</b>	<b>7-Oct</b>	<b>non-brg</b>	<b>3.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>LIZ</b>	<b>B</b>	<b>200,000</b>	<b>9.17</b>	<b>n/a</b>	<b>7-Oct</b>	<b>non-brg</b>	<b>3.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>LIZ</b>	<b>B</b>	<b>200,000</b>	<b>9.30</b>	<b>n/a</b>	<b>7-Oct</b>	<b>non-brg</b>	<b>0.8</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>LIZ</b>	<b>B</b>	<b>454,793</b>	<b>9.21</b>	<b>n/a</b>	<b>7-Oct</b>	<b>non-brg</b>	<b>3.0</b>
BRONSON POINT	036	LMT	C	10,000	80.78	n/a	5-Dec	300.00	3.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>LRD LN</b>	<b>B</b>	<b>50000</b>	<b>2.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>LTD</b>	<b>B</b>	<b>25,000</b>	<b>39.43</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>LTD</b>	<b>B</b>	<b>25,000</b>	<b>39.43</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>LTD</b>	<b>B</b>	<b>25,000</b>	<b>39.62</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.	
ß BUCK CAPITAL MGMT		LTD	B	25,000	39.62	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		MSMSBCM	C	165,000	96.57	n/a	n/a	non-brg	7.7
ß BUCK CAPITAL MGMT		MSMSBCM	C	165,000	96.57	n/a	n/a	non-brg	7.7
ß BUCK CAPITAL MGMT		M	B	142,500	32.68	n/a	3-Jan	non-brg	4.0
ß BUCK CAPITAL MGMT		M	B	142,500	32.68	n/a	3-Jan	non-brg	4.0
MA CAPITAL MGMT/MELLON ADV041		M	B	5,000	32.63	n/a	3-Jan	250.00	5.0
SONTERRA CAP	041	NOC	B	20,000	58.44	n/a	21-Nov	800.00	4.0
NICOLAS APPLGATE	084	NP	S	8,500	22.43	n/a	3-Jan	340.00	4.0
MERRILL ASSET/BLACKROCK	297	OAS	S	31,900	32.82	n/a	n/a	1,276.00	4.0
CSFB GLOBAL PROPRIETARY	041	PCH	B	10,000	31.08	n/a	6-Dec	500.00	5.0
ß BUCK CAPITAL MGMT		PETM	B	26,500	51.00	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		PETM	B	26,500	51.00	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		PSMT	B	11,698	69.61	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		PSMT	B	11,997	69.61	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		RCII	B	25,000	36.67	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		RCII	B	25,000	36.67	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		RGC	B	20,000	11.83	n/a	n/a	non-brg	4.0
DEVENNY CAP LLC	044	RKT	B	7,500	58.05	n/a	10-Nov	225.00	3.0
ß BUCK CAPITAL MGMT		RL	SS	7,500	142.20	n/a	11-Nov	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		RL	SS	7,500	142.20	n/a	11-Nov	non-brg	4.0
BUCK CAPITAL MGMT		RRR	S	75,000	18.59	n/a	16-Dec	non-brg	4.0
BALYASNY ASSET MGMT	044	SBUX	S	10,000	46.27	n/a	11-Nov	500.00	5.0
BUCK CAPITAL MGMT		SIG	SS	10,000	46.38	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		SIG	SS	10,000	46.38	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		SKT	B	50,000	29.32	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		SODA	S	15,000	37.56	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		SODA	S	15,000	37.56	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		SSI	B	50,000	14.12	n/a	n/a	non-brg	2.5
ROARING BLUE LION MGMT	031	SSI	B	27,400	14.13	n/a	n/a	1,096.00	4.0
BAIRD INVESTMENT	047	SWN	S	6,685	32.53	n/a	22-Dec	334.25	5.0
KEVIN MICHAEL O'GORM	FID	SWN	B	1010	17.55	n/a	22-Dec	0.00	0.0
BESSEMER INVESTMENT	085	TGT	S	1,000	51.01	n/a	3-Jan	40.00	4.0
CAMBIAR CAP	046	TGT	B	83,255	49.82	n/a	3-Jan	3,330.20	4.0
DECADE CAPITAL PARTNERS	040	TGT	B	19,600	50.33	n/a	3-Jan	784.00	4.0
RIDGECREST INV MGMT LLC	028	TGT	S	12,500	49.64	n/a	3-Jan	625.00	5.0
LORD ABBETT & COMPANY	098	TIN	S	137,009	31.71	n/a	19-Oct	4,110.27	3.0
BUCK CAPITAL MGMT		TJX	B	47,500	64.18	n/a	3-Jan	non-brg	4.0
BUCK CAPITAL MGMT		TJX	B	47,500	64.18	n/a	3-Jan	non-brg	4.0
EPOCH INV MGMT	030	TSM	B	2,600	13.14	n/a	n/a	78.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	TXN	S	1,100	29.45	n/a	n/a	44.00	4.0
ß BUCK CAPITAL MGMT		ULTA	B	25,000	65.78	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		ULTA	B	25,000	65.78	n/a	n/a	non-brg	2.5
f JONATHAN RICHARD HAR	FID	VRA	B	130	31.80	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	VRA	B	300	31.81	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	VRTX	B	1000	32.09	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	VRTX	S	20	1.08	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	V	B	10	0.13	n/a	20-Dec	0.00	0.0
f DAVID GEORGE BUCK	FID	V	S	10	2.32	n/a	20-Dec	0.00	0.0
ROTHSCHILD ASSET	040	WLL	B	43,672	50.06	n/a	n/a	1,746.88	4.0
DECADE CAPITAL PARTNERS	040	WMT	SS	16,600	59.68	n/a	16-Nov	664.00	4.0
ß BUCK CAPITAL MGMT		ZUMZ	C	10,000	28.98	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		ZUMZ	SS	50,000	26.30	n/a	n/a	non-brg	4.0
f EDWARD W WHEELER	FID		B	50000	93.85	n/a	n/a	0.00	0.0
TOTAL (Trade Date) :								59,201.26	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	12/30	PATTEN & PATTEN	025	CBT	B	200	32.24	n/a	12-Dec	10.00 5.0
AO,CRT	12/30	PATTEN & PATTEN	025	CBT	B	200	32.24	n/a	12-Dec	10.00 5.0
AO,CXL	12/28	PATTEN & PATTEN	025	XLS	S	300	9.25	n/a	n/a	15.00 5.0
AO,CRT	12/28	PATTEN & PATTEN	025	XLS	S	300	9.25	n/a	n/a	15.00 5.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>0.00</b>

TOTAL (Trade Date) :	59,201.26
TOTAL (AO, CXL, CRT) :	0.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>59,201.26</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 4-Jan.  
NONE

MRI Securities without Trade Activity on 4-Jan.  
NONE

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)**