



Daily Compliance Activity Report

Trade Date: 08/09/2012

Potential ANALYST TRADE Violations: 0

Watch List **ACTIVITY ALERT: 1**

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	AEO	S	25,000	21.39	n/a	2-Dec	1,250.00	0.0
WHITE PINE CAPITAL	030	APA	B	8,850	88.43	n/a	8-Aug	442.50	0.0
B BUCK CAPITAL MGMT		ASNA	S	10,000	18.54	n/a	n/a	non-brg	4.0
f MICHAEL ALEXANDER SM	FID	AXL	S	40	1.30	n/a	30-Jul	0.00	0.0
f KAREN F LEDDY	FID	BAC	B	1000	7.73	n/a	2-Aug	0.00	0.0
B BUCK CAPITAL MGMT		BODY	S	26,394	9.17	n/a	n/a	non-brg	3.0
B BUCK CAPITAL MGMT		COH	B	20,000	55.18	n/a	1-Aug	non-brg	4.0
f KAREN F LEDDY	FID	C	B	400	28.88	n/a	2-Aug	0.00	0.0
BALYASNY ASSET MGMT	044	DDS	B	900	74.00	n/a	n/a	45.00	0.0
B BUCK CAPITAL MGMT		DG	B	40,000	51.67	n/a	27-Jun	non-brg	4.0
HARVEST MGMT (JMP)	029	EBAY	S	10,000	44.37	n/a	n/a	400.00	4.0
f MARC PAUL LUCHANSKY	FID	ESRX	B	100	62.35	n/a	n/a	0.00	0.0
CAERUS GLOBAL	041	FDO	SS	12,186	65.45	n/a	19-Jul	487.44	4.0
B BUCK CAPITAL MGMT		FL	S	80,000	34.26	n/a	8-Aug	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HARVEST MGMT (JMP)	029	FL	S	10,000	34.32	n/a	8-Aug	400.00	4.0
SYMPHONY ASSET	033	FOSL	SS	3,180	85.46	n/a	n/a	95.40	0.0
OZ MGMT	040	F	S	100,000	9.31	n/a	2-Aug	3,000.00	0.0
B BUCK CAPITAL MGMT		GIL	S	10,000	30.86	n/a	3-Aug	non-brg	4.0
OZ MGMT	040	GM	SS	50,000	20.29	n/a	3-Aug	1,500.00	0.0
TROUBH PART	070	GM	B	75,000	20.52	n/a	3-Aug	3,750.00	5.0
WOOSTER CAPITAL	035	GM	SS	25,000	20.67	n/a	3-Aug	1,250.00	0.0
LISTED ERR	099	GM	B	12,600	20.75	n/a	3-Aug	0.00	0.0
LISTED ERR	099	GM	SS	12,600	20.67	n/a	3-Aug	0.00	0.0
CATAPULT CAP/DEFRANCO	040	GNRC	S	44,604	21.73	n/a	n/a	1,784.16	0.0
B BUCK CAPITAL MGMT		GS	S	25,822	103.56	n/a	2-Aug	non-brg	1.0
B BUCK CAPITAL MGMT		HBI	S	10,000	32.24	n/a	1-Aug	non-brg	4.0
BALYASNY ASSET MGMT	044	HD	C	30,000	52.65	n/a	7-Jun	1,500.00	0.0
NOKOMIS PARTNERS	031	IDCC	B	18,000	32.70	n/a	n/a	540.00	3.0
JET CAPITAL/CHRIS	041	IYR	C	60,000	64.63	n/a	n/a	1,800.00	0.0
EGS ASSOCIATES LP	091	JCP	SS	6,000	21.66	n/a	2-Jul	300.00	5.0
LISTED ERR	099	JCP	B	5,000	21.64	n/a	2-Jul	0.00	0.0
LISTED ERR	099	JCP	S	5,000	21.64	n/a	2-Jul	0.00	0.0
B BUCK CAPITAL MGMT		JWN	S	50,000	55.26	n/a	3-Aug	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		KNX	B	35,000	14.90	n/a	n/a	non-brg	4.0
WOOSTER CAPITAL	035	LEA	S	25,000	39.55	n/a	3-Aug	1,250.00	5.0
CSFB GLOBAL PROPRIETARY	041	LPX	SS	633	12.09	n/a	31-Jul	31.65	5.0
CSFB GLOBAL PROPRIETARY	041	LPX	S	39,367	12.11	n/a	31-Jul	1,968.35	0.0
PEAK INV/OAKMONT/CYPRESS	084	LPX	B	200,000	11.93	n/a	31-Jul	8,000.00	0.0
B BUCK CAPITAL MGMT		LTD	S	20,000	49.43	n/a	n/a	non-brg	4.0
PARKWEST	084	LULU	B	15,100	57.41	n/a	7-Jun	453.00	3.0
NORTHWESTERN MUTUAL LIFE	047	MCHP	S	126,800	34.91	n/a	n/a	5,072.00	0.0
B BUCK CAPITAL MGMT		MNST	B	20,000	63.55	n/a	n/a	non-brg	2.5
CATAPULT CAP/DEFRANCO	040	NCR	S	39,320	25.60	n/a	n/a	1,572.80	0.0
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	28.04	n/a	20-Jul	400.00	4.0
f ANGELO CHRISTOS EFST	FID	NVDA	S	150	14.67	n/a	n/a	0.00	0.0
f ANGELOS EFSTATHIOU	FID	NVDA	S	300	14.68	n/a	n/a	0.00	0.0
f HARALAMBOS EFSTATHI	FID	NVDA	S	1500	14.69	n/a	n/a	0.00	0.0
TOCQUEVILLE	035	OMG	B	50,000	16.51	n/a	n/a	2,500.00	0.0
IRIDIAN ASSET MGMT.	036	PKG	S	14,210	30.36	n/a	20-Jul	710.50	0.0
PERRY PARTNERS	085	PSX	S	50,000	40.52	n/a	n/a	2,500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HARVEST MGMT (JMP)	029	QQQ	B	5,000	66.70	n/a	n/a	200.00	4.0
ß BUCK CAPITAL MGMT		SBH	S	10,000	26.84	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SCSS	S	10,000	27.90	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SKUL	S	30,000	15.85	n/a	n/a	non-brg	2.5
OSKIE CAPITAL MGMT	224	TPX	B	25,000	31.56	n/a	n/a	1,250.00	5.0
ß BUCK CAPITAL MGMT		URBN	C	30,000	30.96	n/a	n/a	non-brg	4.0
NORTHWESTERN MUTUAL LIFE	047	VOD	S	142,650	29.70	n/a	n/a	5,706.00	0.0
f JONATHAN RICHARD HAR	FID	VRA	B	100	23.67	n/a	n/a	0.00	0.0
SENATOR INVESTMENT GROUP	036	VZ	SS	50,000	44.32	n/a	n/a	1,500.00	3.0
BRIGADE CAPITAL MGMT	029	WCRX	S	25,000	16.98	n/a	8-Aug	750.00	0.0
ß BUCK CAPITAL MGMT		WERN	B	22,000	23.11	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		WRC	B	10,000	48.32	n/a	7-Aug	non-brg	0.8
ß BUCK CAPITAL MGMT		WRC	B	10,000	48.32	n/a	7-Aug	non-brg	0.8
ß BUCK CAPITAL MGMT		WRC	B	50,000	47.97	n/a	7-Aug	non-brg	4.0
ß BUCK CAPITAL MGMT		WRC	B	70,000	47.80	n/a	7-Aug	non-brg	4.0
SYMPHONY ASSET	033	XRT	SS	8,860	60.31	n/a	n/a	265.80	0.0

TOTAL (Trade Date):

52,674.60

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	08/08	NEUBERGER BERMAN	036	CBL	S	55,000	20.18	n/a	n/a	2200.00 0.0
TOTAL (AO, CXL, CRT) :										2,200.00

TOTAL (Trade Date):	52,674.60
TOTAL (AO, CXL, CRT):	2,200.00

TOTAL (RUN DATE) / NFS:	54,874.60
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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 9-Aug.
NONE

MRI Securities without Trade Activity on 9-Aug.
IFF

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)