



Daily Compliance Activity Report

Trade Date: 05/14/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------------|------------|-------------|----------|---------------|--------------|------------|---------------|----------------|------------|
| B BUCK CAPITAL MGMT | | ABG | S | 29,500 | 25.87 | n/a | 27-Apr | non-brg | 4.0 |
| DEVENNY CAP LLC/MILLENIU | 044 | ASBC | SS | 38,400 | 12.94 | n/a | n/a | 1,536.00 | 4.0 |
| f MANNY I KORMAN | FID | AXP | S | 5000 | 59.05 | n/a | 14-May | 0.00 | 0.0 |
| f MANNY I KORMAN | FID | BAC | S | 50000 | 7.38 | n/a | 7-May | 0.00 | 0.0 |
| f ANTHONY SUTERA | FID | BALT | B | 700 | 3.88 | n/a | n/a | 0.00 | 0.0 |
| f EDWARD W WHEELER | FID | BAX | B | 2000 | 53.27 | n/a | n/a | 0.00 | 0.0 |
| TALPION LLC | 040 | CACI | B | 3,000 | 46.29 | n/a | n/a | 120.00 | 4.0 |
| f DAVID GEORGE BUCK | FID | CAH | S | 2000 | 42.63 | n/a | n/a | 0.00 | 0.0 |
| f DAVID GEORGE BUCK | FID | CAH | S | 500 | 42.64 | n/a | n/a | 0.00 | 0.0 |
| f MATTHEW FRANCIS BUCK | FID | CAH | S | 303 | 42.64 | n/a | n/a | 0.00 | 0.0 |
| f REUBEN D DVORETSKY | FID | CLX | B | 40 | 68.54 | n/a | 2-May | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | COH | S | 20,000 | 67.50 | n/a | 9-May | non-brg | 4.0 |
| TUDOR INVESTORS | 028 | CROX | S | 75,000 | 17.22 | n/a | n/a | 2,250.00 | 3.0 |
| f KAREN F LEDDY | FID | CVGI | S | 2000 | 10.38 | n/a | n/a | 0.00 | 0.0 |
| NEUBERGER BERMAN | 036 | CYBX | B | 17,400 | 39.06 | n/a | n/a | 696.00 | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|-------------|-----------|---------------|--------------|------------|--------------|----------------|------------|
| f MANNY I KORMAN | FID | C | S | 30000 | 28.50 | n/a | 7-May | 0.00 | 0.0 |
| SANDLER O'NEILL ASSET | 031 | C | S | 50,000 | 28.58 | n/a | 7-May | 2,500.00 | 5.0 |
| TRUSTCO/SUNTRUST (CEREDEX) | 273 | C | S | 321,777 | 28.55 | n/a | 7-May | 11,262.22 | 3.5 |
| FRED ALGER MGMT | 035 | DE | S | 156,435 | 77.63 | n/a | 18-Apr | 5,631.66 | 3.6 |
| RBC CAPITAL MARKETS | 040 | DG | B | 5,000 | 47.15 | n/a | 23-Mar | 200.00 | 4.0 |
| LATEFF MGMT | 035 | DVN | B | 100 | 64.01 | n/a | 9-May | 30.00 | 30.0 |
| f KAREN F LEDDY | FID | ESSX | S | 2328 | 3.40 | n/a | n/a | 0.00 | 0.0 |
| PATTEN & PATTEN | 025 | EWA | B | 2,500 | 22.36 | n/a | n/a | 125.00 | 5.0 |
| f KAREN F LEDDY | FID | FCH | S | 4000 | 4.50 | n/a | n/a | 0.00 | 0.0 |
| PATTEN & PATTEN | 025 | FCX | S | 2,000 | 34.94 | n/a | n/a | 100.00 | 5.0 |
| B BUCK CAPITAL MGMT | | FINL | S | 30,000 | 21.12 | n/a | 2-Apr | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | FL | S | 30,000 | 28.66 | n/a | 8-May | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | FRAN | SS | 16,000 | 26.25 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | FRAN | SS | 16,000 | 26.25 | n/a | n/a | non-brg | 4.0 |
| PATTEN & PATTEN | 025 | F | S | 2,000 | 10.43 | n/a | 2-May | 100.00 | 5.0 |
| B BUCK CAPITAL MGMT | | GCO | B | 15,000 | 67.15 | n/a | n/a | non-brg | 4.0 |
| LATEFF MGMT | 035 | GE | S | 250 | 18.78 | n/a | n/a | 42.50 | 17.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|----------------------------|------------|------------|----------|----------------|--------------|------------|---------------|----------------|------------|
| B BUCK CAPITAL MGMT | | GIL | B | 20,000 | 24.97 | n/a | 4-May | non-brg | 4.0 |
| OZ MGMT | 040 | GM | C | 100,000 | 21.85 | n/a | 4-May | 3,000.00 | 3.0 |
| B BUCK CAPITAL MGMT | | GPI | S | 22,200 | 52.89 | n/a | 27-Apr | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | GPS | S | 100,000 | 27.58 | n/a | n/a | non-brg | 4.0 |
| CAERUS GLOBAL | 041 | HD | B | 23,000 | 50.07 | n/a | 2-May | 920.00 | 4.0 |
| B BUCK CAPITAL MGMT | | HLF | S | 75,000 | 43.73 | n/a | n/a | non-brg | 4.0 |
| STATE TEACHERS RET SYS | 047 | HME | B | 10,000 | 62.18 | n/a | n/a | 500.00 | 5.0 |
| f DAVID GEORGE BUCK | FID | HNT | B | 300 | 26.78 | n/a | n/a | 0.00 | 0.0 |
| RBC CAPITAL MARKETS | 040 | HOG | SS | 9,000 | 47.69 | n/a | n/a | 360.00 | 4.0 |
| LATEFF MGMT | 035 | HPQ | B | 150 | 23.08 | n/a | n/a | 30.00 | 20.0 |
| f EDWARD W WHEELER | FID | HSP | B | 130 | 0.50 | n/a | 14-May | 0.00 | 0.0 |
| f EDWARD W WHEELER | FID | HSP | S | 13000 | 32.59 | n/a | 14-May | 0.00 | 0.0 |
| CRAMER ROSENTHAL | 070 | IGT | B | 220,500 | 14.90 | n/a | 13-Jun | 8,820.00 | 4.0 |
| COLUMBUS CIRCLE | 036 | IPGP | S | 7,081 | 44.70 | n/a | n/a | 283.24 | 4.0 |
| ARMATURE CAPITAL | 041 | IP | B | 25,000 | 30.85 | n/a | 27-Apr | 1,000.00 | 4.0 |
| LATEFF MGMT | 035 | IP | B | 1,700 | 31.05 | n/a | 27-Apr | 186.00 | 14.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------|-----|---------|-----|-----------|--------|-----|----------|-------------|-----|
| PATTEN & PATTEN | 025 | JCI | S | 2,000 | 31.79 | n/a | 27-Apr | 100.00 | 5.0 |
| ARCHON CAPITAL | 035 | JCP | B | 18,500 | 34.13 | n/a | 19-Apr | 555.00 | 3.0 |
| STANDARD PACIFIC CAPITAL | 084 | JCP | B | 100,000 | 33.92 | n/a | 19-Apr | 5,000.00 | 5.0 |
| PLATTE RIVER CAPITAL | 240 | JNJ | S | 6,630 | 64.00 | n/a | n/a | 265.20 | 4.0 |
| COBALT | 041 | JPM | S | 198,700 | 35.99 | n/a | 11-May | 7,948.00 | 4.0 |
| DEVENNY CAP LLC/MILLENIU | 044 | KEY | B | 64,500 | 7.70 | n/a | n/a | 2,580.00 | 4.0 |
| ADAGE CAPITAL MGMT | 030 | KFT | B | 40,000 | 39.24 | n/a | n/a | 1,200.00 | 3.0 |
| PERSHING SQUARE | 029 | KFT | S | 400,000 | 38.95 | n/a | n/a | 16,000.00 | 4.0 |
| KLEINHEINZ CAP PART | 031 | KSS | S | 125,000 | 47.80 | n/a | 11-May | 6,250.00 | 5.0 |
| ß BUCK CAPITAL MGMT | | LIZ | SS | 25,000 | 13.08 | n/a | 7-Oct | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | LIZ | SS | 25,000 | 13.08 | n/a | 7-Oct | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | LVS | S | 20,000 | 50.38 | n/a | 13-Jun | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | MGM | S | 30,000 | 11.35 | n/a | 13-Jun | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | MGM | S | 50,000 | 11.36 | n/a | 13-Jun | non-brg | 4.0 |
| PZENA INV ADV | 044 | MSFT | S | 2,000 | 30.86 | n/a | n/a | 70.00 | 3.5 |
| ß BUCK CAPITAL MGMT | | MSMSBCM | C | 1,714,776 | 108.25 | n/a | n/a | non-brg | 0.1 |
| ß BUCK CAPITAL MGMT | | MSMSBCM | C | 1,981,224 | 108.25 | n/a | n/a | non-brg | 0.1 |
| ß BUCK CAPITAL MGMT | | MSMSBCM | C | 100,000 | 108.27 | n/a | n/a | non-brg | 8.7 |

| | Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|---|-------------------------|-----|---------|-----|-----------|--------|-----|----------|-------------|------|
| ß | BUCK CAPITAL MGMT | | MSMSBCM | SS | 1,715,000 | 108.25 | n/a | n/a | non-brg | 0.0 |
| ß | BUCK CAPITAL MGMT | | MSMSBCM | SS | 1,981,000 | 108.25 | n/a | n/a | non-brg | 0.0 |
| | CSFB GLOBAL PROPRIETARY | 041 | MWV | B | 44,000 | 27.53 | n/a | 25-Apr | 2,200.00 | 5.0 |
| | SIMMONS VENTURES | 041 | M | B | 5,000 | 36.74 | n/a | 10-May | 200.00 | 4.0 |
| f | RAVI SADARANGANI | FID | NAV | B | 250 | 30.59 | n/a | 18-Apr | 0.00 | 0.0 |
| f | ROHINI T SADARANGANI | FID | NAV | B | 200 | 30.54 | n/a | 18-Apr | 0.00 | 0.0 |
| | PZENA INV ADV | 044 | NOC | S | 1,475 | 60.14 | n/a | 27-Apr | 51.63 | 3.5 |
| | PATTEN & PATTEN | 025 | NSC | B | 1,000 | 68.33 | n/a | n/a | 50.00 | 5.0 |
| ß | BUCK CAPITAL MGMT | | NUS | SS | 30,000 | 40.76 | n/a | n/a | non-brg | 4.0 |
| ß | BUCK CAPITAL MGMT | | NUS | SS | 30,000 | 40.76 | n/a | n/a | non-brg | 4.0 |
| | LATEFF MGMT | 035 | OLN | B | 250 | 20.01 | n/a | n/a | 42.50 | 17.0 |
| f | MICHAEL C PERILLO | FID | OSG | B | 200 | 9.98 | n/a | n/a | 0.00 | 0.0 |
| ß | BUCK CAPITAL MGMT | | PAG | S | 20,000 | 25.30 | n/a | 26-Apr | non-brg | 4.0 |
| | TUDOR INVESTORS | 028 | PCAR | B | 5,000 | 39.16 | n/a | 25-Apr | 150.00 | 3.0 |
| | PLATTE RIVER CAPITAL | 240 | PEP | B | 40,000 | 66.59 | n/a | n/a | 1,600.00 | 4.0 |
| ß | BUCK CAPITAL MGMT | | PLCE | B | 20,000 | 44.80 | n/a | 10-May | non-brg | 4.0 |
| | COLUMBUS CIRCLE | 036 | PLXS | S | 601 | 29.83 | n/a | n/a | 24.04 | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|------------------------|-----|--------|-----|--------|--------|-----|----------|--------------|-----|
| TUDOR INVESTORS | 028 | PNR | B | 5,000 | 42.39 | n/a | n/a | 150.00 | 3.0 |
| PATTEN & PATTEN | 025 | PRGO | B | 500 | 100.49 | n/a | 14-May | 25.00 | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | PSMT | S | 10,000 | 75.74 | n/a | n/a | non-brg | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | PSMT | S | 10,000 | 75.74 | n/a | n/a | non-brg | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | PVH | S | 10,000 | 79.24 | n/a | 9-May | non-brg | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | RL | SS | 7,500 | 157.78 | n/a | 9-May | non-brg | 4.0 |
| STATE TEACHERS RET SYS | 047 | SBRA | B | 15,000 | 14.75 | n/a | n/a | 750.00 | 5.0 |
| PATTEN & PATTEN | 025 | SCJ | S | 1,000 | 43.00 | n/a | n/a | 50.00 | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | SCSS | S | 20,000 | 27.03 | n/a | n/a | non-brg | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | SCSS | S | 20,000 | 27.72 | n/a | n/a | non-brg | 4.0 |
| PATTEN & PATTEN | 025 | SDS | S | 2,000 | 16.34 | n/a | n/a | 100.00 | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | SHOO | S | 10,000 | 39.66 | n/a | n/a | non-brg | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | SIG | S | 20,000 | 45.36 | n/a | n/a | non-brg | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | SIG | S | 30,000 | 44.89 | n/a | n/a | non-brg | 4.0 |
| ⌘ BUCK CAPITAL MGMT | | SIG | S | 45,000 | 45.16 | n/a | n/a | non-brg | 4.0 |
| MAIRS AND POWER INV | 030 | SLB | B | 10,000 | 67.00 | n/a | n/a | 500.00 | 5.0 |
| ⌘ BUCK CAPITAL MGMT | | SLXP | SS | 5,000 | 51.02 | n/a | 14-May | non-brg | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------|-----|--------|-----|--------|--------|-----|----------|-------------|------|
| f WILLIAM WEINBERG | FID | SQBG | B | 1000 | 0.30 | n/a | n/a | 0.00 | 0.0 |
| f EDWARD W WHEELER | FID | STE | S | 5000 | 29.82 | n/a | n/a | 0.00 | 0.0 |
| Õ Alice Longley | | SWN | S | 700 | 30.04 | n/a | 9-May | 0.00 | 0.0 |
| f DAVID GEORGE BUCK | FID | SYK | B | 300 | 52.74 | n/a | n/a | 0.00 | 0.0 |
| PATTEN & PATTEN | 025 | TEVA | S | 1,200 | 40.98 | n/a | 14-May | 60.00 | 5.0 |
| ß BUCK CAPITAL MGMT | | TFM | SS | 45,000 | 48.22 | n/a | n/a | non-brg | 4.0 |
| TUDOR INVESTORS | 028 | TKR | S | 5,000 | 53.01 | n/a | n/a | 150.00 | 3.0 |
| ß BUCK CAPITAL MGMT | | TLYS | S | 20,000 | 17.34 | n/a | n/a | non-brg | 4.0 |
| NEUBERGER BERMAN | 036 | TXRH | B | 17,000 | 18.30 | n/a | n/a | 680.00 | 4.0 |
| LATEFF MGMT | 035 | T | S | 300 | 33.53 | n/a | n/a | 51.00 | 17.0 |
| f DAEIL CHA | FID | UGL | S | 5 | 76.70 | n/a | n/a | 0.00 | 0.0 |
| f EDWARD W WHEELER | FID | VE | B | 10000 | 13.05 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | VFC | S | 30,000 | 137.36 | n/a | 27-Apr | non-brg | 4.0 |
| f REUBEN D DVORETSKY | FID | WM | B | 90 | 32.55 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | WRC | S | 48,000 | 45.21 | n/a | 9-May | non-brg | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|-------------|----------|---------------|--------------|------------|------------|------------------|------------|
| SIMMONS VENTURES | 041 | WRC | B | 5,000 | 45.40 | n/a | 9-May | 200.00 | 4.0 |
| CSFB GLOBAL PROPRIETARY | 041 | XLB | SS | 44,000 | 34.65 | n/a | n/a | 2,200.00 | 5.0 |
| f EDWARD W WHEELER | FID | XPO | B | 5000 | 15.30 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | ZUMZ | S | 10,000 | 35.82 | n/a | n/a | non-brg | 4.0 |
| TOTAL (Trade Date): | | | | | | | | 88,894.99 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI Research | Comm.¢/Shr. |
|-------------------------|------|---------|------|--------|-----|--------|-------|--------------|-------------|
| TOTAL (AO, CXL, CRT) : | | | | | | | | | 0.00 |
| TOTAL (Trade Date) : | | | | | | | | | 88,894.99 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | 0.00 |
| TOTAL (RUN DATE) / NFS: | | | | | | | | | 88,894.99 |

BCM Cancel/Corrects and As-Of Trades

| Type | Date | Account | Symbol | B/S | Shares | Price | MRI Research | Comm.¢/Shr. |
|------|------|---------|--------|-----|--------|-------|--------------|-------------|
|------|------|---------|--------|-----|--------|-------|--------------|-------------|

MRI Securities with Trade Activity on 14-May.
NONE

MRI Securities without Trade Activity on 14-May.
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)