



Daily Compliance Activity Report

Trade Date: 08/31/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f PATRICK O'GRADY	FID	ABCP	B	290	2.07	n/a	n/a	0.00	0.0
f PATRICK O'GRADY	FID	ABCP	S	1200	2.57	n/a	n/a	0.00	0.0
STRONG/MARK GRONET	030	ACCO	B	400,000	6.60	n/a	n/a	12,000.00	0.0
NEUBERGER BERMAN	036	AMT	B	22,471	70.11	n/a	n/a	898.84	0.0
f JOHN MICHAEL ZOLIDIS	FID	APP	B	4000	1.07	n/a	n/a	0.00	0.0
PZENA INV ADV	044	AVP	S	186,281	15.47	n/a	7-Aug	6,519.93	0.0
MILLRACE FUND LP	028	AXL	B	15,000	11.15	n/a	30-Jul	600.00	4.0
B BUCK CAPITAL MGMT		BNNY	B	11,000	41.35	n/a	n/a	non-brg	2.5
f DAVID GEORGE BUCK	FID	COP	B	1000	56.94	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		CROX	B	20,000	17.37	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CROX	B	20,000	17.38	n/a	n/a	non-brg	4.0
SANDLER O'NEILL ASSET	031	C	S	15,000	30.02	n/a	22-Aug	750.00	5.0
B BUCK CAPITAL MGMT		DG	B	20,000	50.99	n/a	27-Jun	non-brg	4.0
LEVIN CAPITAL STRATEGIES	041	DLPH	S	10,000	30.09	n/a	n/a	300.00	0.0
MERRILL ASSET/BLACKROCK	297	EGP	B	9,000	53.25	n/a	n/a	360.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CASTLE ARK	031	EMC	S	462,560	26.31	n/a	n/a	23,128.00	0.0
ROTHSCHILD ASSET	040	EPL	B	37,921	17.19	n/a	n/a	1,516.84	0.0
MERRILL ASSET/BLACKROCK	297	EPOC	B	2,493	8.95	n/a	n/a	99.72	0.0
MERRILL ASSET/BLACKROCK	297	FRT	B	4,400	107.82	n/a	n/a	176.00	0.0
B BUCK CAPITAL MGMT		GNC	B	20,000	38.74	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GNC	B	20,000	38.74	n/a	n/a	non-brg	4.0
ROBERTSON STEVENS	084	HSH	B	42,161	26.00	n/a	n/a	1,686.44	0.0
CSFB GLOBAL PROPRIETARY	041	IP	B	30,000	34.54	n/a	20-Aug	1,500.00	5.0
STRONG/MARK GRONET	030	ITPOF	S	33,925	7.23	n/a	n/a	1,017.75	0.0
SYMPHONY ASSET	033	JNPR	SS	34,800	17.44	n/a	n/a	1,044.00	0.0
COOPER CREEK PART	028	LPX	SS	10,000	13.21	n/a	31-Jul	400.00	4.0
B BUCK CAPITAL MGMT		LVS	B	20,000	42.17	n/a	13-Jun	non-brg	4.0
NEUBERGER BERMAN	036	MATW	S	9,800	29.90	n/a	n/a	392.00	0.0
SYMPHONY ASSET	033	MSCI	SS	12,820	35.01	n/a	n/a	384.60	0.0
B BUCK CAPITAL MGMT		MW	B	40,000	31.57	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		MW	B	40,000	31.57	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PARKWEST	084	NDZ	S	20,000	10.40	n/a	n/a	800.00	4.0
MERRILL ASSET/BLACKROCK	297	PSA	B	9,900	145.00	n/a	n/a	396.00	0.0
f DAVID GEORGE BUCK	FID	RYN	B	1000	48.82	n/a	3-Aug	0.00	0.0
B BUCK CAPITAL MGMT		SCSS	B	20,000	28.59	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SCSS	B	20,000	28.59	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SKX	B	30,000	21.61	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SKX	B	30,000	21.61	n/a	n/a	non-brg	4.0
f FRANCIS MICHAEL MCCA	FID	STZ	B	300	33.03	n/a	n/a	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	TJX	S	100	45.93	n/a	31-Aug	0.00	0.0
B BUCK CAPITAL MGMT		URBN	C	20,000	37.94	n/a	n/a	non-brg	4.0
ASCEND PARTNERS	033	WRC	B	50,000	51.48	n/a	7-Aug	1,500.00	0.0
COHE & STEERS	041	WY	B	181,018	24.77	n/a	27-Jul	5,430.54	0.0
B BUCK CAPITAL MGMT		ZUMZ	B	50,000	29.18	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ZUMZ	B	54,000	29.16	n/a	n/a	non-brg	4.0
TOTAL (Trade Date) :								60,900.66	

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):									60,900.66
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									60,900.66
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CXL	08/30	BUCK CAPITAL MGMT.	GNC	B	51,200	38.32	n/a	n/a	2048.00
CRT	08/30	BUCK CAPITAL MGMT	GNC	B	51,200	38.36	n/a	n/a	2048.00 4.0

MRI Securities with Trade Activity on 31-Aug.
NONE

MRI Securities without Trade Activity on 31-Aug.
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)