



Daily Compliance Activity Report

Trade Date: 08/17/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f DAVID GEORGE BUCK	FID	AAPL	S	151	325.47	n/a	n/a	0.00	0.0
f MICHAEL ALEXANDER SM	FID	AAPL	B	10	5.00	n/a	n/a	0.00	0.0
f MICHAEL ALEXANDER SM	FID	AAPL	S	10	6.81	n/a	n/a	0.00	0.0
ARSENAL ASSET MANAGEMENT	028	ALV	B	5,000	62.45	n/a	23-Jul	200.00	0.0
SIMMONS VENTURES	041	ARO	B	15,000	12.71	n/a	n/a	600.00	4.0
B BUCK CAPITAL MGMT		ASNA	S	30,000	18.80	n/a	n/a	non-brg	4.0
CYRUS CAPITAL	025	ATR	B	20,000	50.81	n/a	n/a	800.00	0.0
CYRUS CAPITAL	025	AWI	B	10,000	43.64	n/a	n/a	400.00	0.0
SENATOR INVESTMENT GROUP	036	BA	B	100,000	73.51	n/a	7-Aug	3,000.00	3.0
f KAREN F LEDDY	FID	BEE	S	3255	5.94	n/a	n/a	0.00	0.0
CAISSE DEPOT PLACEMENT Q	295	BK	B	40,000	22.73	n/a	2-Aug	2,000.00	5.0
RBC CAPITAL MARKETS	040	BLMN	B	3,000	13.07	n/a	n/a	120.00	4.0
f JONATHAN RICHARD HAR	FID	BONT	B	665	7.38	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	040	BWLD	B	19,000	74.06	n/a	n/a	760.00	4.0
f DAVID GEORGE BUCK	FID	CLX	S	2000	71.98	n/a	2-Aug	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STELLIAM INV ADV	034	CTXS	B	40,000	78.19	n/a	n/a	2,000.00	5.0
f EDWARD W WHEELER	FID	DAN	S	200	1.30	n/a	27-Jul	0.00	0.0
LATEEF MGMT	035	DE	B	750	76.54	n/a	11-Jul	90.00	12.0
BRONSON POINT	036	DISCA	SS	25,000	52.68	n/a	n/a	750.00	0.0
NEUBERGER BERMAN	036	DNR	B	21,500	15.76	n/a	n/a	860.00	0.0
f EDWARD W WHEELER	FID	DXPE	S	10	3.00	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	ESSX	S	700	4.38	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	FBHS	B	20,200	24.30	n/a	n/a	808.00	0.0
B BUCK CAPITAL MGMT		FL	S	50,000	35.24	17-Aug	17-Aug	non-brg	4.0
RBC CAPITAL MARKETS	040	FL	S	900	36.00	17-Aug	17-Aug	36.00	4.0
f GAJANTHAN BALAKANES	FID	FOE	B	74	3.41	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	FOR	B	10,000	12.59	n/a	15-Aug	400.00	4.0
BRONSON POINT	036	FOSL	SS	10,000	89.25	n/a	n/a	300.00	0.0
f JOHN M HICKEY	FID	GEVO	B	3000	4.00	n/a	n/a	0.00	0.0
CHILTON CAPITAL MGMT	031	GLW	B	68,020	11.93	n/a	27-Jul	2,040.60	3.0
FORTRESS INVESTMENT (US)	036	GM	B	75,000	21.90	n/a	3-Aug	3,000.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OZ MGMT	040	GM	C	75,000	21.92	n/a	3-Aug	2,250.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	HIBB	B	100	57.68	n/a	n/a	0.00	0.0
LATEEF MGMT	035	HON	S	1,000	59.30	n/a	7-Aug	100.00	10.0
f JONATHAN RICHARD HAR	FID	HOV	S	1820	2.70	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	INFA	B	13,500	31.53	n/a	n/a	540.00	0.0
B BUCK CAPITAL MGMT		JIVE	B	10,000	15.57	n/a	n/a	non-brg	4.0
LATEEF MGMT	035	JNJ	S	1,500	67.59	n/a	n/a	150.00	10.0
B BUCK CAPITAL MGMT		KSS	B	20,000	51.84	n/a	10-Aug	non-brg	4.0
BRONSON POINT	036	LOW	B	2,600	27.76	n/a	10-Aug	78.00	0.0
B BUCK CAPITAL MGMT		LPNT	B	25,000	40.06	n/a	n/a	non-brg	2.5
SCOPUS FUND	041	LPX	B	25,000	13.52	n/a	31-Jul	1,000.00	0.0
WCG MANAGEMENT	044	LPX	S	60,000	13.32	n/a	31-Jul	1,800.00	3.0
NEUBERGER BERMAN	036	MATW	S	4,295	30.49	n/a	n/a	171.80	0.0
RBC CAPITAL MARKETS	040	MCD	SS	10,000	87.45	n/a	8-Aug	400.00	4.0
B BUCK CAPITAL MGMT		MDT	S	35,045	40.62	n/a	n/a	non-brg	1.0
ARSENAL ASSET MANAGEMENT	028	MLM	B	11,200	78.55	n/a	n/a	448.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	035	MMM	S	500	94.16	n/a	10-Aug	60.00	12.0
RBC CAPITAL MARKETS	040	MTN	SS	7,000	50.69	n/a	n/a	280.00	4.0
f EDWARD W WHEELER	FID	MWA	B	3800	3.99	n/a	n/a	0.00	0.0
T. ROWE PRICE	033	NTRS	B	87,100	47.22	n/a	2-Aug	3,484.00	0.0
ß BUCK CAPITAL MGMT		NUAN	C	25,000	24.08	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		NUAN	C	25,000	24.08	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		NUAN	C	70,000	24.03	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		NUAN	C	70,000	24.04	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		NWY	S	20,000	3.90	n/a	n/a	non-brg	2.0
ARSENAL ASSET MANAGEMENT	028	PCP	SS	10,000	161.83	n/a	1-Aug	400.00	0.0
ß BUCK CAPITAL MGMT		PCP	B	6,000	161.87	n/a	1-Aug	non-brg	1.0
RBC CAPITAL MARKETS	040	PENN	SS	18,000	38.04	n/a	n/a	720.00	4.0
ß BUCK CAPITAL MGMT		PII	B	20,000	76.74	n/a	n/a	non-brg	4.0
WCG MANAGEMENT	044	PKG	S	40,000	31.98	n/a	20-Jul	1,200.00	3.0
RBC CAPITAL MARKETS	040	RAH	SS	18,000	67.30	n/a	n/a	720.00	4.0
T. ROWE PRICE	033	RBN	S	63,400	60.01	n/a	n/a	2,536.00	0.0
NORTHWESTERN MUTUAL LIFE	047	ROST	B	83,785	69.46	n/a	17-Aug	3,351.40	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		SAND SS	SS	50,000	14.35	n/a	n/a	non-brg	2.2
B BUCK CAPITAL MGMT		SAND SS	SS	50,000	14.35	n/a	n/a	non-brg	2.2
RBC CAPITAL MARKETS	040	SBUX	B	10,000	48.21	n/a	27-Jul	400.00	4.0
CYRUS CAPITAL	025	SPY	B	14,230	142.02	n/a	n/a	569.20	0.0
B BUCK CAPITAL MGMT		TDG	SS	3,500	136.79	n/a	n/a	non-brg	4.0
IRIDIAN ASSET MGMT.	036	TEVA	B	58,890	40.50	n/a	15-Aug	2,944.50	0.0
RBC CAPITAL MARKETS	040	TGT	B	3,000	64.09	n/a	15-Aug	120.00	4.0
RBC CAPITAL MARKETS	040	TUP	B	3,000	54.16	n/a	n/a	120.00	4.0
B BUCK CAPITAL MGMT		URBN	C	30,000	31.41	n/a	n/a	non-brg	4.0
NEUBERGER BERMAN	036	URBN	B	19,900	31.36	n/a	n/a	796.00	0.0
WCG MANAGEMENT	044	URI	S	7,000	35.16	n/a	17-Apr	210.00	3.0
IRIDIAN ASSET MGMT.	036	USB	S	3,520	33.16	n/a	n/a	176.00	0.0
NOKOMIS PARTNERS	031	VHC	B	12,000	25.62	n/a	n/a	360.00	3.0
f IAN L MILLER	FID	VXX	B	100	11.39	n/a	n/a	0.00	0.0
ARSENAL ASSET MANAGEMENT	028	WBC	B	5,000	58.01	n/a	27-Jul	200.00	0.0
IRIDIAN ASSET MGMT.	036	WFC	S	3,420	34.07	n/a	2-Aug	171.00	0.0

Account		RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f	THOMAS MACTAGGART LE	FID	WNC	B	450	6.90	n/a	n/a	0.00	0.0
	CSFB GLOBAL PROPRIETARY	041	WY	B	125,000	24.14	n/a	27-Jul	6,250.00	5.0
TOTAL (Trade Date):									50,170.50	

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):									50,170.50
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									50,170.50
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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 17-Aug.

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MRI Securities without Trade Activity on 17-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)