



# Daily Compliance Activity Report

Trade Date: 09/14/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>APWC</b>	<b>B</b>	<b>2000</b>	<b>2.95</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>ARCO</b>	<b>B</b>	<b>800</b>	<b>14.07</b>	<b>n/a</b>	<b>7-Aug</b>	<b>0.00</b>	<b>0.0</b>
SCOPUS FUND	041	ARO	S	50,000	14.84	n/a	n/a	2,000.00	4.0
ROSEDALE CAPITAL	046	AXL	S	10,000	12.90	n/a	30-Jul	400.00	4.0
<b>f ANDREW LONGLEY TRUS</b>	<b>FID</b>	<b>BKF</b>	<b>B</b>	<b>50</b>	<b>39.09</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f CLIFFORD LONGLEY TR</b>	<b>FID</b>	<b>BKF</b>	<b>B</b>	<b>50</b>	<b>39.09</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JONATHAN LONGLEY TR</b>	<b>FID</b>	<b>BKF</b>	<b>B</b>	<b>50</b>	<b>39.09</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BNNY</b>	<b>S</b>	<b>10,000</b>	<b>48.00</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SMITH MGMT/ALDEN GLOBAL	029	BZH	S	250,000	3.73		n/a	n/a	7,500.00 0.0
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>CROX</b>	<b>B</b>	<b>2000</b>	<b>18.02</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DLTR</b>	<b>B</b>	<b>50,000</b>	<b>47.46</b>	<b>n/a</b>	<b>16-Aug</b>	<b>non-brg</b>	<b>4.0</b>
OZ MGMT	040	DLTR	B	75,000	47.32	n/a	16-Aug	2,250.00	0.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>DXPE</b>	<b>S</b>	<b>90</b>	<b>2.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CAISSE DEPOT PLACEMENT Q	295	EA	S	40,000	14.59	n/a	n/a	1,200.00	3.0
SENATOR INVESTMENT GROUP	036	EMN	B	65,000	58.64	n/a	n/a	1,950.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>FOR</b>	<b>S</b>	<b>13,157</b>	<b>18.19</b>	<b>n/a</b>	<b>15-Aug</b>	<b>non-brg</b>	<b>0.8</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>FRAN</b>	<b>B</b>	<b>500</b>	<b>31.48</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JOHN MICHAEL ZOLIDIS</b>	<b>FID</b>	<b>GCO</b>	<b>S</b>	<b>50</b>	<b>71.57</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
JET CAPITAL/CHRIS	041	GEO	B	60,992	28.00	n/a	n/a	1,829.76	0.0
TALPION LLC	040	GNC	S	6,000	40.36	n/a	n/a	240.00	0.0
DAVIDSON KEMPNER ADVISOR	040	HAS	C	37,790	39.69	n/a	n/a	1,889.50	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>HCA</b>	<b>S</b>	<b>164,528</b>	<b>31.01</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
ARSENAL ASSET MANAGEMENT	028	HUBB	B	5,000	80.20	n/a	n/a	200.00	0.0
CRAMER ROSENTHAL	070	ICE	B	133,980	139.99	n/a	n/a	5,359.20	0.0
SYMPHONY ASSET	033	IEO	B	10,557	68.26	n/a	n/a	316.71	0.0
TALPION LLC	040	IWM	C	2,000	86.62	n/a	n/a	80.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE	035	IWO	S	40,172	98.54	n/a	n/a	1,205.16	0.0
TALPION LLC	040	JWN	S	4,000	57.73	n/a	31-Aug	160.00	0.0
ROSEDALE CAPITAL	046	KMX	B	15,000	32.47	n/a	n/a	600.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>KNX</b>	<b>B</b>	<b>35,000</b>	<b>14.87</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SIMMONS VENTURES	041	KSS	B	5,000	53.62	n/a	31-Aug	200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f RAVI SADARANGANI</b>	<b>FID</b>	<b>LEA</b>	<b>S</b>	<b>22</b>	<b>2.15</b>	<b>n/a</b>	<b>3-Aug</b>	<b>0.00</b>	<b>0.0</b>
SENATOR INVESTMENT GROUP	036	LNG	B	100,000	16.99	n/a	n/a	3,000.00	3.0
CSFB GLOBAL PROPRIETARY	041	LPX	SS	35,000	15.04	n/a	31-Jul	1,750.00	5.0
ARSENAL ASSET MANAGEMENT	028	MLI	B	10,000	46.75	n/a	26-Jul	400.00	0.0
CAISSE DEPOT PLACEMENT Q	295	MS	S	55,000	18.15	n/a	11-Sep	2,750.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>NFLX</b>	<b>SS</b>	<b>10,000</b>	<b>59.56</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
NEWLAND CAPITAL MGT	025	NPO	S	10,000	38.86	n/a	n/a	400.00	2.0
CAISSE DEPOT PLACEMENT Q	295	NTAP	S	20,000	36.23	n/a	n/a	600.00	3.0
ROSEDALE CAPITAL	046	NVDA	S	10,000	13.90	n/a	n/a	400.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>NWY</b>	<b>S</b>	<b>16,479</b>	<b>4.09</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ORLY</b>	<b>SS</b>	<b>400</b>	<b>81.45</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ORLY</b>	<b>SS</b>	<b>400</b>	<b>81.45</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ORLY</b>	<b>SS</b>	<b>49,600</b>	<b>81.31</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ORLY</b>	<b>SS</b>	<b>49,600</b>	<b>81.31</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ORLY</b>	<b>SS</b>	<b>50,000</b>	<b>81.31</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PCLN</b>	<b>SS</b>	<b>1,000</b>	<b>639.49</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
SHEFFIELD ASSET MGMT	031	PLCE	S	1,839	60.87	n/a	16-Aug	73.56	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WAGONHOUND/NICOLAS	033	PNRA	S	3,258	170.51	n/a	26-Jul	130.32	0.0
ARSENAL ASSET MANAGEMENT	028	PNR	SS	35,000	43.53	n/a	n/a	1,400.00	0.0
f ANDREW LONGLEY TRUS	FID	PTTDX	S	434	11.53	n/a	n/a	0.00	0.0
f CLIFFORD LONGLEY TR	FID	PTTDX	S	434	11.53	n/a	n/a	0.00	0.0
f JONATHAN LONGLEY TR	FID	PTTDX	S	434	11.53	n/a	n/a	0.00	0.0
f YANAI A FRANK	FID	PXP	S	1100	40.10	n/a	n/a	0.00	0.0
ARCHON CAPITAL	035	RT	SS	47,600	7.60	n/a	n/a	1,428.00	3.0
B BUCK CAPITAL MGMT		SAND SS	SS	50,000	15.21	n/a	n/a	non-brg	2.3
B BUCK CAPITAL MGMT		SAND SS	SS	50,000	15.21	n/a	n/a	non-brg	2.3
B BUCK CAPITAL MGMT		SCSS	S	20,000	33.64	n/a	n/a	non-brg	4.0
DSG CAPITAL	030	SEE	B	20,000	16.52	n/a	2-Jun	600.00	3.0
B BUCK CAPITAL MGMT		SKS	C	50,000	11.71	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SKS	C	50,000	11.71	n/a	n/a	non-brg	4.0
CRAMER ROSENTHAL	070	SLB	B	46,300	78.01	n/a	n/a	1,852.00	0.0
f ALANA J A MADIGAN-SI	FID	SPXS	B	200	16.19	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SUMR	S	1,000	2.31	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		SUMR	S	1,100	2.31	n/a	n/a	non-brg	2.0
SCOPUS FUND	041	SUSS	B	25,000	38.53	n/a	n/a	1,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>SWFT</b>	<b>B</b>	<b>60,000</b>	<b>8.56</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
NORTHWESTERN MUTUAL LIFE	047	TGT	B	93,250	64.56	n/a	30-Aug	3,730.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>TIF</b>	<b>C</b>	<b>30,000</b>	<b>65.33</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>TIF</b>	<b>C</b>	<b>30,000</b>	<b>65.33</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
TALPION LLC	040	TIF	B	5,000	65.51	n/a	n/a	200.00	0.0
ARCHON CAPITAL	035	UA	B	17,500	60.19	n/a	22-Aug	525.00	3.0
KLEINHEINZ CAP PART	031	UA	B	20,000	60.71	n/a	22-Aug	1,000.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>WERN</b>	<b>B</b>	<b>35,000</b>	<b>21.87</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
CSFB GLOBAL PROPRIETARY	041	WY	S	35,000	27.63	n/a	27-Jul	1,750.00	5.0
<b>f BARBARA S LEDDY</b>	<b>FID</b>	<b>XPO</b>	<b>S</b>	<b>825</b>	<b>15.67</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
STATE TEACHERS RET SYS	047	XRX	S	50,000	7.83	n/a	n/a	2,500.00	5.0
NEWLAND CAPITAL MGT	025	ZEUS	S	15,400	18.83	n/a	n/a	616.00	4.0
<b>TOTAL (Trade Date):</b>								<b>53,485.21</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	09/13	LEVIN CAPITAL STRATEGIES	041	GPC	SS	4,779	62.23	n/a	n/a	143.37 0.0
AO,CXL	09/13	LEVIN CAPITAL STRATEGIES	041	GPC	SS	4,779	62.23	n/a	n/a	143.37 0.0
AO,CXL	09/12	LEVIN CAPITAL STRATEGIES	041	KSS	C	2,342	53.87	n/a	31-Aug	70.26 0.0
AO,	09/12	LEVIN CAPITAL STRATEGIES	041	KSS	C	2,342	53.87	n/a	31-Aug	70.26 0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>0.00</b>

TOTAL (Trade Date) :	53,485.21
TOTAL (AO, CXL, CRT) :	0.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>53,485.21</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 14-Sep.  
NONE

MRI Securities without Trade Activity on 14-Sep.  
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)**