



# Daily Compliance Activity Report

Trade Date: 08/03/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f</b> MICHAEL ALEXANDER SM	<b>FID</b>	<b>AAPL</b>	<b>S</b>	<b>10</b>	<b>1.94</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>AEO</b>	<b>S</b>	<b>20,000</b>	<b>20.35</b>	<b>n/a</b>	<b>2-Dec</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>ANN</b>	<b>S</b>	<b>20,000</b>	<b>27.27</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SIMMONS VENTURES	041	ARO	SS	5,000	13.52	n/a	n/a	200.00	4.0
<b>f</b> MANNY I KORMAN	<b>FID</b>	<b>ARR</b>	<b>B</b>	<b>30000</b>	<b>7.49</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>ASNA</b>	<b>S</b>	<b>23,700</b>	<b>17.48</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> MARK ANTHONY GRONET	<b>FID</b>	<b>AVY</b>	<b>S</b>	<b>500</b>	<b>31.15</b>	<b>n/a</b>	<b>24-Jul</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>AXE</b>	<b>S</b>	<b>10,045</b>	<b>56.86</b>	<b>n/a</b>	<b>27-Jul</b>	<b>non-brg</b>	<b>4.0</b>
ROSEDALE CAPITAL	046	AXL	S	30,000	10.28	n/a	30-Jul	1,200.00	4.0
<b>f</b> TR U/W OF CH RISTINA	<b>FID</b>	<b>BACPRC</b>	<b>B</b>	<b>151</b>	<b>25.04</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ</b> Doug Rogers		<b>BAC</b>	<b>B</b>	<b>160</b>	<b>25.04</b>	<b>n/a</b>	<b>2-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ</b> Doug Rogers		<b>BAC</b>	<b>B</b>	<b>167</b>	<b>25.04</b>	<b>n/a</b>	<b>2-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ</b> Doug Rogers		<b>BAC</b>	<b>B</b>	<b>190</b>	<b>25.04</b>	<b>n/a</b>	<b>2-Aug</b>	<b>0.00</b>	<b>0.0</b>
GEORGE WEISS	034	BBBY	B	16,000	62.43	n/a	n/a	480.00	0.0
<b>f</b> KEVIN MICHAEL O'GORM	<b>FID</b>	<b>BHB</b>	<b>B</b>	<b>290</b>	<b>35.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		BODY	B	17,294	8.19	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		BODY	B	9,100	7.96	n/a	n/a	non-brg	2.5
f MARK ANTHONY GRONET	FID	BUD	S	400	81.69	n/a	1-Aug	0.00	0.0
RBC CAPITAL MARKETS	040	BWLD	B	4,000	73.31	n/a	n/a	160.00	4.0
f EDWARD W WHEELER	FID	CIDM	S	20000	1.32	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	COH	B	100	51.26	n/a	1-Aug	0.00	0.0
B BUCK CAPITAL MGMT		CROX	S	20,000	16.06	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		C	S	19,900	27.49	n/a	2-Aug	non-brg	1.0
CATAPULT	040	DSW	SS	7,500	58.90	n/a	11-Feb	300.00	0.0
CATAPULT	040	EAT	B	13,000	33.24	n/a	13-Jul	520.00	0.0
f DAVID GEORGE BUCK	FID	FCNTX	S	1082	76.02	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FNP	C	19,500	11.46	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		FNP	C	20,500	11.34	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		FNP	C	30,000	11.36	n/a	n/a	non-brg	4.0
f MICHAEL MARRANO	FID	FNYTX	S	169	12.15	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	FSTFX	B	5515	10.88	n/a	n/a	0.00	0.0
f KEVIN MICHAEL O'GORM	FID	GLW	B	2000	11.39	n/a	27-Jul	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⚡ BUCK CAPITAL MGMT		GPS	S	40,000	33.41	n/a	n/a	non-brg	4.0
RBC CAPITAL MARKETS	040	HAIN	B	4,000	56.46	n/a	n/a	160.00	4.0
f ANDREW MARK GRONET	FID	HBI	S	100	31.69	n/a	1-Aug	0.00	0.0
⚡ BUCK CAPITAL MGMT		HBI	S	20,000	31.65	n/a	1-Aug	non-brg	4.0
⚡ BUCK CAPITAL MGMT		HBI	S	40,000	31.65	n/a	1-Aug	non-brg	4.0
CAMBIAR CAP	046	HBI	S	100,640	31.69	n/a	1-Aug	4,025.60	0.0
RBC CAPITAL MARKETS	040	HD	SS	5,000	52.22	n/a	7-Jun	200.00	4.0
⚡ BUCK CAPITAL MGMT		HOS	SS	15,000	38.96	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		HOS	SS	15,000	38.96	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		HOS	SS	15,000	39.12	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		HOS	SS	15,000	39.12	n/a	n/a	non-brg	1.0
BRONSON POINT	036	HRL	SS	50,000	27.97	n/a	n/a	1,500.00	0.0
EMPYREAN CAPITAL	084	IP	B	50,000	32.69	n/a	27-Jul	1,500.00	0.0
TALPION LLC	040	IT	SS	5,000	47.64	n/a	n/a	200.00	0.0
LATEEF MGMT	035	JCI	B	2,500	24.70	n/a	20-Jul	250.00	10.0
⚡ BUCK CAPITAL MGMT		JWN	S	20,000	54.60	n/a	3-Aug	non-brg	4.0
GEORGE WEISS	034	JWN	B	12,000	54.07	n/a	3-Aug	480.00	0.0
f ALANA J A MADIGAN-SI	FID	KCG	B	100	3.31	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	KEM	B	10000	4.55	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NOMURA INTERNATIONAL PLC	046	KSS	B	40,000	50.96	n/a	3-Aug	2,038.37	0.0
MILLRACE FUND LP	028	LEA	B	16,000	37.68	n/a	3-Aug	640.00	4.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	150,000	11.16	n/a	31-Jul	7,500.00	5.0
CSFB GLOBAL PROPRIETARY	041	LPX	SS	49,674	11.05	n/a	31-Jul	2,483.70	5.0
CSFB GLOBAL PROPRIETARY	041	LPX	S	70,326	11.17	n/a	31-Jul	3,516.30	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>LTD</b>	<b>S</b>	<b>20,000</b>	<b>49.21</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>LTD</b>	<b>S</b>	<b>70,000</b>	<b>48.97</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>LUK</b>	<b>B</b>	<b>200</b>	<b>1.14</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>MET</b>	<b>S</b>	<b>150</b>	<b>2.08</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
RBC CAPITAL MARKETS	040	MTN	SS	21,700	52.01	n/a	n/a	868.00	4.0
APEX CAPITAL MGMT.	261	MTW	B	150,000	12.17	n/a	11-Jul	6,000.00	0.0
KLEINHEINZ CAP PART	031	M	B	50,000	37.59	n/a	3-Aug	2,500.00	5.0
<b>f REUBEN D DVORETSKY</b>	<b>FID</b>	<b>NLY</b>	<b>B</b>	<b>202</b>	<b>17.28</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CAPITAL GROWTH MGMT.	241	NOV	B	70,000	75.09	n/a	n/a	3,500.00	5.0
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	26.53	n/a	20-Jul	400.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>NWY</b>	<b>S</b>	<b>20,000</b>	<b>4.21</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
SENATOR INVESTMENT GROUP	036	OCR	S	150,000	31.80	n/a	n/a	4,500.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WEINTRAUB CAPITAL MGT.	084	ONE	SS	50,000	11.93	n/a	n/a	2,000.00	4.0
ARSENAL ASSET MANAGEMENT	028	PCAR	B	10,000	39.89	n/a	11-Jul	400.00	0.0
⚡ BUCK CAPITAL MGMT		PCLN	SS	1,500	671.17	n/a	n/a	non-brg	1.0
⚡ REUBEN D DVORETSKY	FID	PDLI	S	215	6.99	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	040	PENN	SS	5,000	37.94	n/a	n/a	200.00	4.0
⚡ BUCK CAPITAL MGMT		PII	B	30,000	74.65	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		PLCE	B	20,000	50.91	n/a	5-Jun	non-brg	4.0
RBC CAPITAL MARKETS	040	RAH	B	5,000	63.76	n/a	n/a	200.00	4.0
⚡ BUCK CAPITAL MGMT		SAND SS	SS	35,000	14.11	n/a	n/a	non-brg	2.1
GEORGE WEISS	034	SBH	B	112,000	26.56	n/a	n/a	4,480.00	0.0
⚡ BUCK CAPITAL MGMT		SHOO	S	20,000	39.88	n/a	n/a	non-brg	4.0
RBC CAPITAL MARKETS	040	SJM	SS	5,000	75.75	n/a	n/a	200.00	4.0
⚡ BUCK CAPITAL MGMT		SKUL	S	40,000	15.10	n/a	n/a	non-brg	4.0
⚡ ALANA J A MADIGAN-SI	FID	SPXS	B	200	19.39	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		SSI	S	34,200	18.99	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAPITAL GROWTH MGMT.	241	SU	B	60,000	31.37	n/a	n/a	2,400.00	4.0
WEINTRAUB CAPITAL MGT.	084	SWN	SS	100,000	30.95	n/a	3-Aug	4,000.00	4.0
GEORGE WEISS	034	TBT	B	20,000	15.09	n/a	n/a	800.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>TDG</b>	<b>SS</b>	<b>4,000</b>	<b>124.09</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
BALLAST CAP	040	THO	SS	4,200	31.36	n/a	n/a	210.00	5.0
<b>f MICHAEL MARRANO</b>	<b>FID</b>	<b>TPINX</b>	<b>B</b>	<b>127</b>	<b>13.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
RBC CAPITAL MARKETS	040	TUP	B	2,000	52.01	n/a	n/a	80.00	4.0
TALPION LLC	040	VC	B	200	27.39	n/a	n/a	8.00	0.0
RBC CAPITAL MARKETS	040	VFC	SS	2,000	149.14	n/a	25-Jul	80.00	4.0
<b>f MARK ANTHONY GRONET</b>	<b>FID</b>	<b>V</b>	<b>S</b>	<b>200</b>	<b>130.92</b>	<b>n/a</b>	<b>26-Jul</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARK ANTHONY GRONET</b>	<b>FID</b>	<b>WBC</b>	<b>S</b>	<b>500</b>	<b>55.63</b>	<b>n/a</b>	<b>27-Jul</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>WRC</b>	<b>B</b>	<b>10,000</b>	<b>40.55</b>	<b>n/a</b>	<b>18-Jul</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>WRC</b>	<b>B</b>	<b>10,000</b>	<b>40.55</b>	<b>n/a</b>	<b>18-Jul</b>	<b>non-brg</b>	<b>4.0</b>
TALPION LLC	040	WRLD	SS	800	72.62	n/a	n/a	32.00	0.0
LEVIN CAPITAL STRATEGIES	041	XOM	C	15,000	87.21	n/a	n/a	450.00	0.0
<b>f DOUGLAS ROGERS</b>	<b>FID</b>		<b>B</b>	<b>15000</b>	<b>103.65</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

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**TOTAL (Trade Date):**

**60,661.97**

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	08/02	WILLIAMS TRADING/BLUE MTN	087	VMED	B	134,866	27.07	n/a	n/a	4045.98 0.0
AO,CXL	08/02	WILLIAMS TRADING/FOX POINT	025	VMED	B	134,866	27.07	n/a	n/a	4045.98 0.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>0.00</b>
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TOTAL (Trade Date) :	60,661.97
TOTAL (AO, CXL, CRT) :	0.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>60,661.97</b>
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CRT	08/01	BUCK CAPITAL MGMT	BNNY	B	7,500	39.25	n/a	n/a	0.00	0.0
CRT	08/01	BUCK CAPITAL MGMT	BNNY	B	7,500	39.25	n/a	n/a	0.00	0.0

MRI Securities with Trade Activity on 3-Aug.  
NONE

MRI Securities without Trade Activity on 3-Aug.  
ATI

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)**