



Daily Compliance Activity Report

Trade Date: 08/10/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f MICHAEL ALEXANDER SM	FID	AAPL	B	2	13.05	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	ACW	B	84	5.69	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		AEO	B	20,000	20.23	n/a	2-Dec	non-brg	4.0
B BUCK CAPITAL MGMT		AEO	B	30,000	20.32	n/a	2-Dec	non-brg	4.0
B BUCK CAPITAL MGMT		ARO	S	24,800	13.20	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ARO	S	5,200	13.32	n/a	n/a	non-brg	0.8
METROPOLITAN CAPITAL	044	ARO	B	13,200	13.02	n/a	n/a	660.00	5.0
B BUCK CAPITAL MGMT		ASNA	S	30,000	18.27	n/a	n/a	non-brg	4.0
LATEEF MGMT	035	ATI	S	550	32.53	n/a	7-Aug	71.50	13.0
B BUCK CAPITAL MGMT		AXP	B	18,100	55.47	n/a	9-Aug	non-brg	4.0
CATAPULT	040	AZO	S	1,865	357.82	n/a	n/a	74.60	0.0
WHITE PINE CAPITAL	030	BIG	S	1,300	39.41	n/a	23-May	65.00	0.0
TOCQUEVILLE	035	BRKS	B	87,000	8.36	n/a	n/a	4,350.00	0.0
MILLRACE FUND LP	028	BWA	SS	3,000	70.06	n/a	27-Jul	120.00	0.0
NEUBERGER BERMAN	036	CBL	S	8,600	20.30	n/a	n/a	344.00	0.0
STANDARD PACIFIC CAPITAL	084	CE	B	210,000	40.67	n/a	20-May	10,500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		COH	B	10,000	54.68	n/a	1-Aug	non-brg	4.0
BUCK CAPITAL MGMT		CROX	S	10,000	16.42	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		CROX	S	30,000	16.51	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		DG	B	10,000	51.63	n/a	27-Jun	non-brg	4.0
CATAPULT	040	DRI	SS	12,000	52.50	n/a	13-Jul	480.00	0.0
EDWARD W WHEELER	FID	DXPE	B	50	7.15	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		FL	S	10,000	33.93	n/a	8-Aug	non-brg	4.0
IRIDIAN ASSET MGMT.	036	FMC	B	8,030	54.50	n/a	8-Dec	401.50	0.0
CSFB GLOBAL PROPRIETARY	041	FOR	B	35,000	12.03	n/a	20-Jul	1,750.00	5.0
IAN L MILLER	FID	GDJ	S	20	44.67	n/a	n/a	0.00	0.0
IAN L MILLER	FID	GLD	S	5	157.21	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		GWJ	C	2,600	199.64	n/a	7-Aug	non-brg	4.0
BUCK CAPITAL MGMT		HCA	B	50,000	27.08	n/a	n/a	non-brg	4.0
RAINIER INV MGMT	035	HON	B	82,880	58.88	n/a	7-Aug	3,315.20	0.0
JONATHAN RICHARD HAR	FID	HOV	B	180	2.56	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	HPP	S	24,100	17.28	n/a	n/a	964.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEEF MGMT	035	HPQ	S	300	19.59	n/a	n/a	36.00	12.0
f BARBARA S LEDDY	FID	HSC	S	400	21.27	n/a	31-Jul	0.00	0.0
f SEAN F LEDDY	FID	HSC	S	200	21.27	n/a	31-Jul	0.00	0.0
f THOMAS MACTAGGART LE	FID	HSC	S	250	21.27	n/a	31-Jul	0.00	0.0
LATEEF MGMT	035	JCI	B	600	26.00	n/a	20-Jul	72.00	12.0
B BUCK CAPITAL MGMT		JCP	C	20,000	24.33	n/a	2-Jul	non-brg	1.0
B BUCK CAPITAL MGMT		JCP	SS	20,000	23.58	n/a	2-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		JCP	SS	21,300	23.49	n/a	2-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		JIVE	B	10,000	15.01	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		JIVE	B	30,000	15.00	n/a	n/a	non-brg	4.0
MFP INVESTORS	085	JNS	S	175,000	8.75	n/a	n/a	7,000.00	4.0
CATAPULT	040	KMT	SS	23,200	37.21	n/a	n/a	928.00	0.0
B BUCK CAPITAL MGMT		KSS	B	20,100	50.94	n/a	10-Aug	non-brg	4.0
B BUCK CAPITAL MGMT		KSS	B	40,000	50.81	n/a	10-Aug	non-brg	4.0
WOOSTER CAPITAL	035	LEA	S	25,000	39.68	n/a	3-Aug	1,250.00	5.0
B BUCK CAPITAL MGMT		LLY	S	20,000	43.58	n/a	n/a	non-brg	4.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	80,000	11.87	n/a	31-Jul	4,000.00	5.0
B BUCK CAPITAL MGMT		LTD	S	20,000	49.08	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JASON ERIC COHEN	FID	MINI	S	500	18.42	n/a	n/a	0.00	0.0
CSFB GLOBAL PROPRIETARY	041	NP	S	2,000	27.80	n/a	20-Jul	100.00	5.0
LATEEF MGMT	035	NYB	S	500	13.11	n/a	6-Aug	50.00	10.0
LATEEF MGMT	035	PBCT	B	1,525	11.97	n/a	19-Jul	152.50	10.0
B BUCK CAPITAL MGMT		PCLN	SS	1,800	562.76	n/a	n/a	non-brg	4.0
NEUBERGER BERMAN	036	PEP	S	67,511	72.07	n/a	n/a	2,700.44	0.0
LATEEF MGMT	035	PFE	S	300	23.89	n/a	n/a	36.00	12.0
CATAPULT	040	PH	B	23,000	82.89	n/a	n/a	920.00	0.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	125,000	30.43	n/a	20-Jul	6,250.00	5.0
B BUCK CAPITAL MGMT		PLCE	B	20,000	49.81	n/a	8-Aug	non-brg	1.0
B BUCK CAPITAL MGMT		PLCE	B	20,000	49.87	n/a	8-Aug	non-brg	4.0
CATAPULT	040	ROK	B	28,300	70.68	n/a	n/a	1,132.00	0.0
B BUCK CAPITAL MGMT		SKUL	S	30,000	15.77	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		SLXP	SS	12,000	45.82	n/a	9-Aug	non-brg	4.0
B BUCK CAPITAL MGMT		SMG	C	47,000	41.54	n/a	10-Aug	non-brg	4.0
B BUCK CAPITAL MGMT		SMG	C	47,000	41.54	n/a	10-Aug	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	035	SPLS	S	800	13.30	n/a	n/a	80.00	10.0
LATEEF MGMT	035	SYX	S	150	28.71	n/a	n/a	30.00	0.0
LATEEF MGMT	035	TEVA	S	300	41.28	n/a	6-Aug	60.00	0.0
SHEFFIELD ASSET MGMT	031	UAL	B	47,900	17.59	n/a	n/a	1,916.00	4.0
⌘ BUCK CAPITAL MGMT		WRC	B	10,000	48.12	n/a	7-Aug	non-brg	4.0
⌘ BUCK CAPITAL MGMT		WRC	B	10,000	48.12	n/a	7-Aug	non-brg	4.0
⌘ BUCK CAPITAL MGMT		WRC	B	20,000	48.14	n/a	7-Aug	non-brg	4.0
⌘ BUCK CAPITAL MGMT		WRC	B	20,000	48.14	n/a	7-Aug	non-brg	4.0
⌘ BUCK CAPITAL MGMT		WRC	B	40,000	48.06	n/a	7-Aug	non-brg	4.0
LATEEF MGMT	035	WRI	S	300	27.25	n/a	n/a	36.00	12.0
CATAPULT	040	WSM	S	8,437	36.24	n/a	n/a	337.48	0.0
NOKOMIS PARTNERS	031	XLE	SS	29,100	71.93	n/a	n/a	873.00	3.0
BALLAST CAP	040	YHOO	S	5,000	15.09	n/a	n/a	250.00	5.0
SENATOR INVESTMENT GROUP	036	YHOO	B	200,000	15.27	n/a	n/a	6,000.00	3.0
TRUST CO/COWEN/CALF.	040	YHOO	S	437,655	15.06	n/a	n/a	17,506.20	0.0
TOTAL (Trade Date):								74,811.42	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	08/09	PARKWEST	084	LULU	B	15,100	57.41	n/a	7-Jun	604.00 4.0
AO,CXL	08/09	PARKWEST	084	LULU	B	15,100	57.41	n/a	7-Jun	453.00 3.0

TOTAL (AO, CXL, CRT) :	151.00
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TOTAL (Trade Date) :	74,811.42
TOTAL (AO, CXL, CRT) :	151.00

TOTAL (RUN DATE) / NFS:	74,962.42
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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 10-Aug.
NONE

MRI Securities without Trade Activity on 10-Aug.
JWN

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)