



# Daily Compliance Activity Report

Trade Date: 07/23/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		AAPL 7 C625	SS	250	4.26	n/a	n/a	non-brg 300.0	
BUCK CAPITAL MGMT		AAPL 7 C625	SS	250	4.26	n/a	n/a	non-brg 300.0	
BUCK CAPITAL MGMT		AAPL 7 P550	B	250	3.84	n/a	n/a	non-brg 300.0	
BUCK CAPITAL MGMT		AAPL 7 P550	B	250	3.84	n/a	n/a	non-brg 300.0	
MICHAEL ALEXANDER SM	FID	AAPL	S	6	7.11	n/a	n/a	0.00	0.0
HIGHBRIDGE CAP	041	AA	SS	19,000	8.06	n/a	n/a	570.00	3.0
DALTON GREINER	070	ACE	S	10,138	69.83	n/a	n/a	506.90	0.0
LEVIN CAPITAL STRATEGIES	041	ALV	SS	10,000	53.82	n/a	23-Jul	300.00	0.0
LISTED ERR	099	ALV	B	100	54.11	n/a	23-Jul	0.00	0.0
LISTED ERR	099	ALV	S	100	54.11	n/a	23-Jul	0.00	0.0
LANE GATE PARTNERS LLC	030	AXL	B	7,500	10.04	n/a	7-Jun	225.00	3.0
CHRISTINA G ROGERS T	FID	BACPRC	B	50	25.33	n/a	n/a	0.00	0.0
BALLAST CAP	040	BTU	B	6,000	22.98	n/a	n/a	300.00	5.0
RK CAPTIAL MGMT	046	CGX	B	10,000	24.45	n/a	n/a	500.00	5.0
BUCK CAPITAL MGMT		COH	B	25,000	57.63	n/a	18-Jul	non-brg	4.0
BUCK CAPITAL MGMT		COH	B	30,000	57.99	n/a	18-Jul	non-brg	2.5
BUCK CAPITAL MGMT		COH	S	25,000	57.06	n/a	18-Jul	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RK CAPTIAL MGMT	046	CVO	SS	75,000	1.80	n/a	n/a	3,750.00	5.0
EATON VANCE MGMT	029	CVX	S	32,500	107.71	n/a	n/a	975.00	0.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>CXS</b>	<b>S</b>	<b>10000</b>	<b>10.42</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>C</b>	<b>B</b>	<b>19,900</b>	<b>25.19</b>	<b>n/a</b>	<b>17-Jul</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DG</b>	<b>B</b>	<b>20,000</b>	<b>51.53</b>	<b>n/a</b>	<b>27-Jun</b>	<b>non-brg</b>	<b>4.0</b>
GEORGE WEISS	034	DNB	S	24,998	69.30	n/a	n/a	999.92	0.0
BASIX	033	DPZ	B	13,000	31.99	n/a	17-Jul	390.00	3.0
BALLAST CAP	040	EMR	SS	8,400	46.17	n/a	n/a	420.00	5.0
STATE TEACHERS RET SYS	047	EPR	B	2,000	42.96	n/a	n/a	100.00	5.0
PERIMETER	273	FINL	S	51,289	20.57	n/a	29-Jun	2,051.56	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>FNP</b>	<b>SS</b>	<b>30,000</b>	<b>9.76</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
PROSPECTOR PARTNERS LLC	036	FOR	B	10,000	12.02	n/a	20-Jul	400.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>GCO</b>	<b>B</b>	<b>10,000</b>	<b>60.01</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GCO</b>	<b>B</b>	<b>8,400</b>	<b>59.92</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
DALTON GREINER	070	GD	S	11,042	64.03	n/a	20-Jul	552.10	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>GIII</b>	<b>B</b>	<b>10,000</b>	<b>23.99</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
INVESCO	031	GM	C	391,075	19.22	n/a	17-Jul	15,643.00	0.0
OZ MGMT	040	GM	C	28,998	19.25	n/a	17-Jul	869.94	0.0
SCOPUS FUND	041	GPS	B	7,000	28.60	n/a	n/a	280.00	0.0
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>HOV</b>	<b>B</b>	<b>1000</b>	<b>2.62</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
HIGHBRIDGE CAP	041	HP	B	5,500	45.27	n/a	n/a	165.00	3.0
ARSENAL ASSET MANAGEMENT	028	HUBB	B	5,000	80.32	n/a	n/a	200.00	0.0
TUDOR INVESTORS	028	JCI	B	5,000	24.50	n/a	20-Jul	150.00	3.0
THE JAY GOLDMAN	028	JCP	B	25,000	20.00	n/a	2-Jul	1,000.00	4.0
TROUBH PART	070	JCP	B	25,000	20.38	n/a	2-Jul	1,250.00	5.0
<b>ß BUCK CAPITAL MGMT</b>		<b>JNY</b>	<b>B</b>	<b>30,000</b>	<b>9.87</b>	<b>n/a</b>	<b>18-Jul</b>	<b>non-brg</b>	<b>3.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>JPCMSBCM</b>	<b>C</b>	<b>16,450</b>	<b>107.34</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.1</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>JPCMSBCM</b>	<b>C</b>	<b>24,089</b>	<b>107.34</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.1</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>JPCMSBCM</b>	<b>SS</b>	<b>16,152</b>	<b>107.34</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>JPCMSBCM</b>	<b>SS</b>	<b>24,000</b>	<b>107.34</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>KNX</b>	<b>B</b>	<b>33,600</b>	<b>15.03</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>Õ Doug Rogers</b>		<b>LGND</b>	<b>B</b>	<b>100</b>	<b>18.06</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ Doug Rogers</b>		<b>LGND</b>	<b>B</b>	<b>100</b>	<b>18.06</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ Doug Rogers</b>		<b>LGND</b>	<b>B</b>	<b>200</b>	<b>18.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ Doug Rogers</b>		<b>LGND</b>	<b>B</b>	<b>500</b>	<b>17.97</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.	
Õ	Doug Rogers		LGND	B	600	18.02	n/a	n/a	0.00	0.0
	BRONSON POINT	036	LLL	C	20,000	69.42	n/a	n/a	600.00	0.0
ß	BUCK CAPITAL MGMT		MA	B	2,500	413.44	n/a	13-Jul	non-brg	1.0
	HIGHBRIDGE CAP	041	MON	B	1,500	84.89	n/a	23-Jul	45.00	3.0
	EATON VANCE MGMT	029	MSFT	S	59,900	29.24	n/a	n/a	1,797.00	0.0
ß	BUCK CAPITAL MGMT		MSMSBCM	C	559,000	106.48	n/a	n/a	non-brg	0.1
ß	BUCK CAPITAL MGMT		MSMSBCM	C	669,963	106.48	n/a	n/a	non-brg	0.1
ß	BUCK CAPITAL MGMT		MSMSBCM	SS	552,534	106.48	n/a	n/a	non-brg	0.0
ß	BUCK CAPITAL MGMT		MSMSBCM	SS	665,000	106.48	n/a	n/a	non-brg	0.0
ß	BUCK CAPITAL MGMT		MS	B	40,600	12.37	n/a	19-Jul	non-brg	4.0
	MILLENNIUM-ICS-SAYAN GHOSH028		MWV	S	45,000	28.56	n/a	20-Jul	1,800.00	0.0
	EATON VANCE MGMT	029	ORCL	S	90,000	29.58	n/a	n/a	2,700.00	0.0
	CASTLE ARK	031	PAY	S	134,760	34.57	n/a	n/a	6,738.00	0.0
	CAERUS GLOBAL	041	PEP	S	7,500	69.25	n/a	n/a	300.00	4.0
	EATON VANCE MGMT	029	PFE	S	50,000	23.47	n/a	n/a	1,500.00	0.0
	TUDOR INVESTORS	028	PWR	B	5,000	22.02	n/a	n/a	150.00	3.0
ß	BUCK CAPITAL MGMT		RUSHA	B	15,000	14.39	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		SBH	S	20,000	25.59	n/a	n/a	non-brg	4.0
ARCHON CAPITAL	035	SHOO	B	15,000	33.56	n/a	n/a	450.00	3.0
HIGHBRIDGE CAP	041	SHW	B	1,145	131.25	n/a	20-Jul	34.35	3.0
⚡ BUCK CAPITAL MGMT		SIG	S	38,775	43.47	n/a	n/a	non-brg	4.0
f MANNY I KORMAN	FID	SLMAP	B	2956	45.90	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		STT	B	12,800	39.43	n/a	18-Jul	non-brg	4.0
⚡ BUCK CAPITAL MGMT		SWFT	B	65,000	7.82	n/a	n/a	non-brg	3.0
DALTON GREINER	070	SWY	S	46,520	15.33	n/a	n/a	2,326.00	0.0
DALTON GREINER	070	TDW	S	22,000	48.11	n/a	n/a	1,100.00	0.0
Õ Nilsa Vazquez		TRN	B	250	22.99	n/a	n/a	0.00	0.0
DALTON GREINER	070	T	S	29,319	35.22	n/a	n/a	1,465.95	0.0
MILLENNIUM-ICS-SAYAN GHOSH028		UFS	SS	9,001	74.43	n/a	n/a	360.04	0.0
MILLENNIUM-ICS-SAYAN GHOSH028		UFS	S	16,999	74.43	n/a	n/a	679.96	0.0
⚡ BUCK CAPITAL MGMT		ULTA	B	10,000	84.24	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		URBN	C	30,000	30.31	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		VFC	S	10,000	149.74	n/a	20-Jul	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		VFC	S	20,000	148.85	n/a	20-Jul	non-brg	4.0
f KAREN F LEDDY	FID	VRA	S	400	19.92	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	WAG	S	25	0.45	n/a	n/a	0.00	0.0
EATON VANCE MGMT	029	XOM	S	25,000	84.88	n/a	n/a	750.00	0.0
HIGHBRIDGE CAP	041	XOP	B	3,250	50.37	n/a	n/a	65.00	2.0
Õ Doug Rogers		XPO	S	1100	13.43	n/a	n/a	0.00	0.0
Õ Doug Rogers		XPO	S	250	13.43	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	297	Y	B	2,500	338.72	n/a	n/a	100.00	0.0
TUDOR INVESTORS	028	ZUMZ	SS	30,000	35.54	n/a	n/a	900.00	3.0
<b>TOTAL (Trade Date) :</b>							<b>55,459.72</b>		

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):									55,459.72
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									55,459.72
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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 23-Jul.  
NONE

MRI Securities without Trade Activity on 23-Jul.  
ETN

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)**