



Daily Compliance Activity Report

Trade Date: 09/11/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		AAPL 1 C700	SS	60	32.64	n/a	n/a	non-brg	300.0
B BUCK CAPITAL MGMT		AAPL 1 C700	SS	60	32.64	n/a	n/a	non-brg	300.0
JP MORGAN VENTURES	046	AEO	SS	10,000	22.83	n/a	2-Dec	400.00	4.0
B BUCK CAPITAL MGMT		ALGN	C	27,500	38.53	n/a	n/a	non-brg	4.0
SIMMONS VENTURES	041	ANF	SS	5,000	36.50	n/a	16-Aug	200.00	4.0
SANDLER CAPITAL	028	AOS	S	61,719	55.56	n/a	19-Jul	3,085.95	0.0
f MARY CATHERI MADIGA	FID	APC	S	100	71.70	n/a	9-Aug	0.00	0.0
MERRILL ASSET/BLACKROCK	297	AWH	S	31,800	77.89	n/a	n/a	1,272.00	0.0
NOMURA INTERNATIONAL PLC	046	COH	B	16,500	61.24	n/a	1-Aug	1,010.52	0.0
f CICILY S BACKUS	FID	DFZ	S	3000	14.67	n/a	n/a	0.00	0.0
f LBP ENTERPRISES INC	FID	DFZ	S	2000	14.69	n/a	n/a	0.00	0.0
BTG PACTUAL	040	DRI	SS	10,000	53.87	n/a	13-Jul	300.00	3.0
RBC CAPITAL MARKETS	040	EAT	B	20,000	35.77	n/a	10-Aug	800.00	4.0
RBC CAPITAL MARKETS	040	EL	B	5,000	60.40	n/a	4-Sep	200.00	4.0
IMPALA ASSET MMT	040	EXPD	B	19,423	38.88	n/a	n/a	776.92	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
	ROSEDALE CAPITAL	046	FB	S	10,000	19.50	n/a	n/a	400.00	4.0	
	OZ MGMT	040	F	C	100,000	10.20	n/a	5-Sep	3,000.00	0.0	
B	BUCK CAPITAL MGMT		GCO	S	10,000	70.91	n/a	n/a	non-brg	4.0	
B	BUCK CAPITAL MGMT		GCO	S	10,000	71.13	n/a	n/a	non-brg	4.0	
	MERCHANTS GATE CAP LP	036	GMCR	SS	50,000	32.09	n/a	n/a	2,000.00	0.0	
	SCOPUS FUND	041	GPS	SS	48,000	35.30	n/a	n/a	1,920.00	4.0	
	GUGGENHEIM GLOBAL TRADING (GGT)	251	HAL	B	10,000	34.81		n/a	n/a	300.00	3.0
f	JONATHAN RICHARD HAR	FID	HOV	S	180	3.55	n/a	n/a	0.00	0.0	
	ARSENAL ASSET MANAGEMENT	028	HUBB	S	5,000	80.52	n/a	n/a	200.00	0.0	
	ARSENAL ASSET MANAGEMENT	028	JBHT	B	10,000	52.68	n/a	n/a	400.00	0.0	
	IMPALA ASSET MMT	040	JBHT	SS	23,000	51.95	n/a	n/a	1,150.00	0.0	
	NEW JERSEY DIV OF INV.	030	KEX	S	20,000	57.25	n/a	n/a	800.00	4.0	
	YORK CAPITAL	036	KFT	S	100,000	39.87	n/a	n/a	3,000.00	3.0	
	SIMMONS VENTURES	041	KSS	B	5,000	52.50	n/a	31-Aug	200.00	4.0	
f	REUBEN D DVORETSKY	FID	LULU	S	40	76.15	n/a	10-Sep	0.00	0.0	
	RBC CAPITAL MARKETS	040	LVS	B	15,000	43.72	n/a	13-Jun	600.00	4.0	

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		MW	S	20,000	36.80	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		NFLX	SS	10,000	56.90	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		NWY	S	20,000	4.00	n/a	n/a	non-brg	2.0
CAPITAL RESEARCH GROUP		296 PCP	B	16,936	158.61		n/a 1-Aug	592.76	0.0
DAVIDSON INV ADV	035	PM	S	19,800	89.02	n/a	n/a	792.00	4.0
TUDOR INVESTORS	028	PNR	B	10,000	43.07	n/a	n/a	300.00	3.0
ARSENAL ASSET MANAGEMENT	028	PPG	S	5,000	116.19	n/a	9-Aug	200.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	PVH	B	8,000	92.56	n/a	29-Aug	240.00	3.0
RBC CAPITAL MARKETS	040	RAH	B	10,000	72.57	n/a	n/a	400.00	4.0
ß BUCK CAPITAL MGMT		RL	C	14,692	155.81	n/a	9-Aug	non-brg	4.0
ß BUCK CAPITAL MGMT		RL	C	22,208	155.14	n/a	9-Aug	non-brg	4.0
ß BUCK CAPITAL MGMT		SKS	C	100,000	11.26	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SKS	C	50,000	11.26	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SKX	B	20,000	20.60	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SKX	B	20,000	20.60	n/a	n/a	non-brg	4.0
f MANNY I KORMAN	FID	SLM	B	10000	16.10	n/a	4-Sep	0.00	0.0
f MANNY I KORMAN	FID	STT	B	3000	43.10	n/a	11-Sep	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DAVIDSON KEMPNER ADVISOR	040	STZ	C	10,000	32.83	n/a	n/a	300.00	0.0
f ALANA J A MADIGAN-SI	FID	SWN	S	250	33.68	n/a	3-Aug	0.00	0.0
SYMPHONY ASSET	033	SWY	B	74,780	16.43	n/a	n/a	2,243.40	0.0
f JONATHAN RICHARD HAR	FID	TFM	B	30	56.81	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		TIF	C	20,000	62.39	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		TIF	C	30,000	62.19	n/a	n/a	non-brg	4.0
f REUBEN D DVORETSKY	FID	TNK	B	740	4.05	n/a	n/a	0.00	0.0
NEW JERSEY DIV OF INV.	030	URI	S	25,000	37.10	n/a	17-Apr	1,000.00	4.0
CENTURION PARTNERS	041	WCRX	S	10,000	12.94	n/a	10-Sep	400.00	4.0
B BUCK CAPITAL MGMT		XLY	SS	280,000	46.68	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		XLY	SS	280,000	46.68	n/a	n/a	non-brg	1.0
TOTAL (Trade Date) :								28,483.55	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	09/10	RBC CAPITAL MARKETS	040	KORS	B	7,000	53.67	n/a	n/a	280.00 4.0
AO,CXL	09/10	RBC CAPITAL MARKETS	040	KORS	B	7,000	53.69	n/a	n/a	280.00 4.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	28,483.55
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	28,483.55
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CXL	09/10	BUCK CAPITAL MGMT.	KNX	B	10,000	14.58	n/a	n/a	0.00	
CRT	09/10	BUCK CAPITAL MGMT	KNX	B	10,000	14.59	n/a	n/a	400.00	4.0
CXL	09/10	BUCK CAPITAL MGMT.	KNX	B	10,000	14.58	n/a	n/a	0.00	
CRT	09/10	BUCK CAPITAL MGMT	KNX	B	10,000	14.58	n/a	n/a	200.00	2.0

MRI Securities with Trade Activity on 11-Sep.
NONE

MRI Securities without Trade Activity on 11-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)