



Daily Compliance Activity Report

Trade Date: 09/06/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LOCUST WOOD CAPITAL MGMT	044	AAPL	B	50	673.75	n/a	n/a	2.00	4.0
f PATRICK O'GRADY	FID	ABCP	S	1775	2.62	n/a	n/a	0.00	0.0
COBALT	041	ACE	B	50,000	74.90	n/a	n/a	2,000.00	4.0
B BUCK CAPITAL MGMT		ALGN	SS	25,000	37.32	n/a	n/a	non-brg	4.0
EPOCH INV MGMT	030	ALKS	B	1,200	18.76	n/a	n/a	36.00	0.0
EPOCH INV MGMT	030	ALR	B	300	18.72	n/a	n/a	9.00	0.0
f DAVID GEORGE BUCK	FID	AMZN	S	5	5.75	n/a	n/a	0.00	0.0
SIMMONS VENTURES	041	ANF	SS	5,000	35.45	n/a	16-Aug	200.00	4.0
B BUCK CAPITAL MGMT		ANN	S	10,000	38.12	n/a	n/a	non-brg	4.0
SEVEN LOCKS CAPITAL	025	AOS	S	7,000	55.63	n/a	19-Jul	210.00	3.0
BRONSON POINT	036	ARO	B	50,000	14.41	n/a	n/a	1,500.00	0.0
LOCUST WOOD CAPITAL MGMT	044	ARP	B	1,400	25.83	n/a	n/a	56.00	4.0
LATEEF MGMT	035	ATI	B	200	30.62	n/a	7-Aug	30.00	15.0
SYMPHONY ASSET	033	ATR	SS	5,610	51.61	n/a	n/a	168.30	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
OZ MGMT	040	AXL	S	32,900	11.92	n/a	30-Jul	987.00	0.0
CRAMER ROSENTHAL	070	BBBY	S	6,370	69.00	n/a	n/a	254.80	0.0
LOCUST WOOD CAPITAL MGMT	044	BRKB	B	400	85.99	n/a	n/a	16.00	4.0
EPOCH INV MGMT	030	BRKL	B	1,550	8.66	n/a	n/a	46.50	0.0
NEW JERSEY DIV OF INV.	030	BTU	B	25,000	21.21	n/a	n/a	1,000.00	4.0
SMITH MGMT/ALDEN GLOBAL		029 BZH	S	250,000	3.05		n/a	n/a	7,500.00 3.0
SCOPUS FUND	041	CAR	B	25,000	16.68	n/a	n/a	1,000.00	0.0
EPOCH INV MGMT	030	CFX	B	150	34.46	n/a	n/a	4.50	0.0
LATEEF MGMT	035	CMCSK	S	300	33.62	n/a	n/a	36.00	12.0
NEUBERGER BERMAN	036	CNQR	S	16,000	73.36	n/a	n/a	640.00	0.0
EPOCH INV MGMT	030	CNW	B	350	30.00	n/a	n/a	10.50	0.0
NEW JERSEY DIV OF INV.	030	CNX	B	25,000	28.87	n/a	n/a	1,000.00	4.0
f FRANCIS MICHAEL MCCA	FID	COF	B	200	56.78	n/a	6-Sep	0.00	0.0
BRONSON POINT	036	COH	SS	25,000	59.24	n/a	1-Aug	750.00	0.0
B BUCK CAPITAL MGMT		COLM	SS	20,000	51.94	n/a	n/a	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B	BUCK CAPITAL MGMT		COLM	SS	20,000	51.94	n/a	n/a	non-brg	4.0
	CENTURION PARTNERS	041	CROX	B	10,000	18.18	n/a	n/a	400.00	4.0
	HALCYON LLC	041	CRS	B	5,000	47.99	n/a	n/a	150.00	3.0
	NEUBERGER BERMAN	036	CRZO	B	16,300	27.21	n/a	n/a	652.00	0.0
f	DAVID GEORGE BUCK	FID	CVS	S	4000	46.43	n/a	n/a	0.00	0.0
f	MATTHEW FRANCIS BUCK	FID	CVS	S	500	46.42	n/a	n/a	0.00	0.0
	CENTURION PARTNERS	041	DD	B	10,000	49.85	n/a	30-Aug	400.00	4.0
	LATEEF MGMT	035	DE	B	200	76.72	n/a	11-Jul	40.00	20.0
B	BUCK CAPITAL MGMT		DG	B	10,000	50.75	n/a	5-Sep	non-brg	4.0
B	BUCK CAPITAL MGMT		DG	S	20,000	51.19	n/a	5-Sep	non-brg	4.0
	RBC CAPITAL MARKETS	040	DLTR	SS	25,000	48.08	n/a	16-Aug	1,000.00	4.0
	LATEEF MGMT	035	DOW	B	350	29.36	n/a	5-Sep	35.00	10.0
	SYMPHONY ASSET	033	DOW	SS	11,780	29.17	n/a	5-Sep	353.40	0.0
	WEINTRAUB CAPITAL MGT.	084	DRI	SS	50,000	53.08	n/a	13-Jul	2,000.00	4.0
	EPOCH INV MGMT	030	DVR	B	1,500	1.64	n/a	n/a	45.00	0.0
f	JASON ERIC COHEN	FID	DY	B	10	0.30	n/a	n/a	0.00	0.0
	RBC CAPITAL MARKETS	040	EAT	B	10,000	35.43	n/a	10-Aug	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LOCUST WOOD CAPITAL MGMT	044	ECL	B	600	64.79	n/a	9-Aug	24.00	4.0
EPOCH INV MGMT	030	ESL	B	150	59.83	n/a	n/a	4.50	0.0
f JASON ERIC COHEN	FID	ESSX	B	1000	3.75	n/a	n/a	0.00	0.0
CYRUS CAPITAL	025	FBP	S	25,000	4.19	n/a	n/a	750.00	3.0
CENTURION PARTNERS	041	FCX	B	10,000	36.08	n/a	n/a	400.00	4.0
SUFFOLK CAPITAL MGMT	040	FCX	S	143,100	36.21	n/a	n/a	5,724.00	0.0
f CHRISTOPHER ROBERT C	FID	FSVX	S	138	34.36	n/a	n/a	0.00	0.0
f CHRISTOPHER ROBERT C	FID	FSPTX	S	46	105.46	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		GIII	S	14,100	36.37	n/a	n/a	non-brg	1.0
CHILTON CAPITAL MGMT	031	GLW	B	35,270	12.19	n/a	20-Aug	1,058.10	3.0
BASIX	033	GNTX	B	16,100	18.41	n/a	25-Jul	483.00	3.0
EPOCH INV MGMT	030	GXP	B	900	21.98	n/a	n/a	27.00	0.0
f MANNY I KORMAN	FID	HBI	B	8000	32.93	n/a	1-Aug	0.00	0.0
LOCUST WOOD CAPITAL MGMT	044	HHC	B	300	65.99	n/a	n/a	12.00	4.0
EPOCH INV MGMT	030	HLIT	B	3,300	4.69	n/a	n/a	99.00	0.0
EPOCH INV MGMT	030	ICON	B	650	18.96	n/a	n/a	19.50	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ARMATURE CAPITAL	041	IP	B	25,000	35.64	n/a	20-Aug	1,000.00	0.0
B BUCK CAPITAL MGMT		IR	S	42,800	45.87	n/a	30-Aug	non-brg	4.0
EPOCH INV MGMT	030	ISBC	B	750	17.29	n/a	n/a	22.50	0.0
IMPALA ASSET MMT	040	JBHT	B	45,800	52.26	n/a	n/a	2,290.00	5.0
EPOCH INV MGMT	030	JBT	B	700	16.30	n/a	n/a	21.00	0.0
LATEEF MGMT	035	JCI	B	150	27.56	n/a	20-Jul	30.00	20.0
B BUCK CAPITAL MGMT		JCP	SS	20,000	28.04	n/a	13-Aug	non-brg	4.0
B BUCK CAPITAL MGMT		JCP	SS	36,000	27.79	n/a	13-Aug	non-brg	4.0
LOCUST WOOD CAPITAL MGMT	044	JCP	B	1,600	27.08	n/a	13-Aug	64.00	4.0
CENTURION PARTNERS	041	JNY	B	15,000	13.21	n/a	26-Jul	600.00	4.0
LOCUST WOOD CAPITAL MGMT	044	JPM	B	16,100	38.31	n/a	6-Sep	644.00	4.0
M&I FUNDS	047	JWN	B	6,026	57.62	n/a	31-Aug	241.04	4.0
f CHRISTOPHER ROBERT C	FID	KBH	S	100	11.64	n/a	n/a	0.00	0.0
CENTURION PARTNERS	041	KEY	B	20,000	8.44	n/a	n/a	800.00	4.0
f CHRISTOPHER ROBERT C	FID	KFN	B	750	9.84	n/a	n/a	0.00	0.0
LOCUST WOOD CAPITAL MGMT	044	KFT	B	500	42.17	n/a	n/a	20.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LOCUST WOOD CAPITAL MGMT	044	KMI	B	1,100	35.71	n/a	n/a	44.00	4.0
ARSENAL ASSET MANAGEMENT	028	KMT	B	25,000	37.93	n/a	n/a	1,000.00	0.0
B BUCK CAPITAL MGMT		KORS	S	10,000	55.08	n/a	n/a	non-brg	4.0
CATAPULT	040	KO	B	34,000	38.15	n/a	4-Sep	1,360.00	0.0
B BUCK CAPITAL MGMT		KSS	B	9,600	52.25	n/a	31-Aug	non-brg	4.0
SUFFOLK CAPITAL MGMT	040	KSS	B	149,800	52.69	n/a	31-Aug	5,992.00	0.0
THE JAY GOLDMAN	028	KSS	S	100,000	52.47	n/a	31-Aug	4,000.00	0.0
CYRUS CAPITAL	025	LEG	B	25,000	24.19	n/a	n/a	750.00	3.0
LOCUST WOOD CAPITAL MGMT	044	LINTA	B	800	19.09	n/a	n/a	32.00	4.0
BALYASNY ASSET MGMT	044	LULU	SS	26,000	68.37	n/a	4-Sep	1,300.00	0.0
SCOPUS FUND	041	LULU	S	65,000	68.65	n/a	4-Sep	2,600.00	0.0
NEUBERGER BERMAN	036	MANH	B	10,000	52.83	n/a	n/a	400.00	0.0
NEUBERGER BERMAN	036	MATW	S	23,900	29.98	n/a	n/a	956.00	0.0
f DAVID GEORGE BUCK	FID	MCK	B	500	89.54	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	MCK	B	150	89.52	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	MEOH	B	500	29.48	n/a	n/a	15.00	0.0
HALCYON LLC	041	MEOH	B	7,000	29.70	n/a	n/a	210.00	3.0
EPOCH INV MGMT	030	MGAM	B	850	15.74	n/a	n/a	25.50	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
f	MARK MEGALLI	FID	MHGC	B	10000	5.25	n/a	n/a	0.00	0.0	
	EPOCH INV MGMT	030	MNRO	B	50	35.53	n/a	n/a	1.50	0.0	
	HALCYON LLC	041	MOLX	B	5,000	26.98	n/a	n/a	150.00	3.0	
f	DAVID GEORGE BUCK	FID	MON	S	20	4.00	n/a	17-Aug	0.00	0.0	
	GUGGENHEIM GLOBAL TRADING (GGT) 251	MRGE		B	50,000	3.40		n/a	n/a	1,000.00	2.0
f	CLIFFORD A LONGLEY	FID	MSFT	B	2	31.30	n/a	n/a	0.00	0.0	
	LOCUST WOOD CAPITAL MGMT	044	MSI	S	2,500	48.29	n/a	n/a	100.00	4.0	
	RBC CAPITAL MARKETS	040	MTN	SS	3,000	53.44	n/a	n/a	120.00	4.0	
	VISIUM/BALY BOBBY	044	MTW	S	10,000	13.77	n/a	11-Jul	500.00	0.0	
B	BUCK CAPITAL MGMT		MWV	B	15,000	29.26	n/a	25-Jul	non-brg	0.8	
B	BUCK CAPITAL MGMT		MWV	B	53,400	29.25	n/a	25-Jul	non-brg	4.0	
f	GAJANTHAN BALAKANES	FID	MWW	S	55	8.15	n/a	n/a	0.00	0.0	
	EPOCH INV MGMT	030	NATI	B	400	25.33	n/a	n/a	12.00	0.0	
f	IAN L MILLER	FID	NAV	S	50	23.04	n/a	11-Jul	0.00	0.0	
	NEW JERSEY DIV OF INV.	030	NFG	S	25,000	51.36	n/a	n/a	1,000.00	4.0	
f	CLIFFORD A LONGLEY	FID	NOK	S	20	2.50	n/a	n/a	0.00	0.0	

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		NWY	S	24,340	4.02	n/a	n/a	non-brg	2.0
LATEEF MGMT	035	OI	B	175	18.94	n/a	n/a	31.50	18.0
CAISSE DEPOT PLACEMENT Q	295	OVTI	B	25,000	16.37	n/a	n/a	750.00	3.0
LATEEF MGMT	035	PCH	S	250	36.59	n/a	25-Jul	30.00	12.0
B BUCK CAPITAL MGMT		PCLN	SS	1,000	608.57	n/a	n/a	non-brg	1.0
RBC CAPITAL MARKETS	040	PENN	SS	5,000	39.15	n/a	n/a	200.00	4.0
LATEEF MGMT	035	PG	S	150	68.16	n/a	4-Sep	30.00	20.0
VISIUM/BALY BOBBY	044	PH	B	5,000	81.84	n/a	n/a	250.00	0.0
RBC CAPITAL MARKETS	040	PII	SS	3,000	77.43	n/a	n/a	120.00	4.0
HALCYON LLC	041	PLD	B	20,000	35.46	n/a	n/a	600.00	3.0
EPOCH INV MGMT	030	PLOW	B	650	14.14	n/a	n/a	19.50	0.0
NEUBERGER BERMAN	036	POOL	B	5,926	40.44	n/a	n/a	237.04	0.0
SYMPHONY ASSET	033	PPG	B	5,640	112.43	n/a	9-Aug	169.20	0.0
LOCUST WOOD CAPITAL MGMT	044	QCOM	B	300	62.12	n/a	n/a	12.00	4.0
f DAVID GEORGE BUCK	FID	RYN	B	1000	49.76	n/a	3-Aug	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		SHOO	S	10,000	44.15	n/a	n/a	non-brg	4.0
EPOCH INV MGMT	030	SPTN	B	1,050	15.53	n/a	n/a	31.50	0.0
f ALANA J A MADIGAN-SI	FID	SPXS	B	200	17.71	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	SSD	B	300	26.10	n/a	n/a	9.00	0.0
B BUCK CAPITAL MGMT		SWFT	B	100,000	8.26	n/a	n/a	non-brg	3.0
WEINTRAUB CAPITAL MGT.	084	SWY	S	100,000	16.38	n/a	n/a	4,000.00	4.0
BRONSON POINT	036	TEX	B	25,000	21.89	n/a	n/a	750.00	0.0
f JONATHAN RICHARD HAR	FID	TFM	B	130	57.30	n/a	n/a	0.00	0.0
VISIUM/BALY BOBBY	044	TOL	C	10,000	33.48	n/a	n/a	500.00	0.0
IMPALA ASSET MMT	040	TRN	B	40,000	29.43	n/a	n/a	1,600.00	4.0
Õ Jill Rosenberg		UA	S	300	58.03	n/a	22-Aug	0.00	0.0
B BUCK CAPITAL MGMT		ULTA	S	10,000	95.20	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ULTA	S	27,000	95.30	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ULTA	S	3,000	95.51	n/a	n/a	non-brg	4.0
DELTEC ASSET MGMT.	040	URI	S	10,500	37.10	n/a	17-Apr	525.00	5.0
EPOCH INV MGMT	030	VECO	B	200	34.93	n/a	n/a	6.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	VR	B	300	34.16	n/a	n/a	9.00	0.0
EPOCH INV MGMT	030	WCG	B	300	59.20	n/a	n/a	9.00	0.0
B BUCK CAPITAL MGMT		WERN	B	10,000	22.45	n/a	n/a	non-brg	4.0
CATAPULT/KGLT	040	WFT	B	25,000	12.26	n/a	n/a	1,000.00	4.0
f MANNY I KORMAN	FID	YUM	B	4000	64.45	n/a	23-Aug	0.00	0.0
f PATRICK O'GRADY	FID	ZQK	B	500	3.09	n/a	10-May	0.00	0.0
TUDOR INVESTORS	028	ZUMZ	B	25,000	28.56	n/a	n/a	750.00	3.0
TOTAL (Trade Date) :								70,472.38	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									70,472.38
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									70,472.38

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 6-Sep.
NONE

MRI Securities without Trade Activity on 6-Sep.
WCRX

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)