



# Daily Compliance Activity Report

Trade Date: 08/14/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	031	AIN	B	5,000	19.53	n/a	n/a	250.00	0.0
<b>B</b> BUCK CAPITAL MGMT		<b>ARO</b>	<b>S</b>	<b>50,000</b>	<b>13.23</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>ASNA</b>	<b>S</b>	<b>40,000</b>	<b>18.45</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>B</b> BUCK CAPITAL MGMT		<b>BNNY</b>	<b>B</b>	<b>5,000</b>	<b>39.24</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
RBC CAPITAL MARKETS	040	BWLD	B	8,100	72.44	n/a	n/a	324.00	4.0
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>CAH</b>	<b>B</b>	<b>300</b>	<b>39.83</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>CLX</b>	<b>S</b>	<b>500</b>	<b>72.72</b>	<b>n/a</b>	<b>2-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> MATTHEW FRANCIS BUCK	<b>FID</b>	<b>CLX</b>	<b>S</b>	<b>400</b>	<b>72.66</b>	<b>n/a</b>	<b>2-Aug</b>	<b>0.00</b>	<b>0.0</b>
BRONSON POINT	036	COH	C	5,000	54.99	n/a	1-Aug	150.00	0.0
<b>B</b> BUCK CAPITAL MGMT		<b>COH</b>	<b>B</b>	<b>20,000</b>	<b>54.66</b>	<b>n/a</b>	<b>1-Aug</b>	<b>non-brg</b>	<b>4.0</b>
THE JAY GOLDMAN	028	COH	B	10,000	55.00	n/a	1-Aug	400.00	4.0
CAERUS GLOBAL	041	CRI	SS	10,720	52.62	n/a	n/a	428.80	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>DG</b>	<b>B</b>	<b>30,000</b>	<b>52.67</b>	<b>n/a</b>	<b>27-Jun</b>	<b>non-brg</b>	<b>4.0</b>
HARVEST MGMT (JMP)	029	DKS	B	10,000	48.65	n/a	14-Aug	400.00	4.0
KAM ADVISORS LLC	041	DOW	C	216,500	29.69	n/a	10-Aug	6,495.00	0.0
<b>f</b> EDWARD W WHEELER	<b>FID</b>	<b>ESSX</b>	<b>S</b>	<b>6300</b>	<b>4.30</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.	
ROYCE TRADING	031	FEIM	B	3,000	8.79	n/a	n/a	150.00	0.0
CATAPULT	040	FL	S	13,000	34.49	n/a	8-Aug	520.00	0.0
RBC CAPITAL MARKETS	040	FL	B	11,000	34.24	n/a	8-Aug	440.00	4.0
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>HOV</b>	<b>B</b>	<b>1000</b>	<b>2.59</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CSFB GLOBAL PROPRIETARY	041	IP	SS	6,819	34.23	n/a	27-Jul	340.95	5.0
CSFB GLOBAL PROPRIETARY	041	IP	S	93,181	34.21	n/a	27-Jul	4,659.05	5.0
<b>f MATTHEW FRANCIS BUCK</b>	<b>FID</b>	<b>IWF</b>	<b>B</b>	<b>200</b>	<b>65.34</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JNY</b>	<b>S</b>	<b>20,000</b>	<b>11.33</b>	<b>n/a</b>	<b>26-Jul</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>KSS</b>	<b>B</b>	<b>20,000</b>	<b>50.70</b>	<b>n/a</b>	<b>10-Aug</b>	<b>non-brg</b>	<b>4.0</b>
WOOSTER CAPITAL	035	LEA	S	25,000	40.07	n/a	3-Aug	1,250.00	5.0
LIONEYE CAPITAL	040	LOW	SS	20,000	26.41	n/a	10-Aug	1,000.00	5.0
LONG OAR GLOBAL INV	040	LOW	SS	90,000	26.49	n/a	10-Aug	3,600.00	4.0
CSFB GLOBAL PROPRIETARY	041	LPX	S	15,000	12.50	n/a	31-Jul	750.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>LTD</b>	<b>S</b>	<b>20,000</b>	<b>49.06</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>20,000</b>	<b>49.28</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>LULU</b>	<b>C</b>	<b>20,000</b>	<b>59.24</b>	<b>n/a</b>	<b>7-Jun</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>LULU</b>	<b>C</b>	<b>20,000</b>	<b>59.24</b>	<b>n/a</b>	<b>7-Jun</b>	<b>non-brg</b>	<b>4.0</b>
NEUBERGER BERMAN	036	MATW	S	6,020	29.53	n/a	n/a	240.80	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>MINI</b>	<b>S</b>	<b>457</b>	<b>18.09</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NOMURA INTERNATIONAL PLC	046	MSFT	S	50,000	30.21	n/a	n/a	1,510.52	0.0
SANDLER O'NEILL ASSET	031	MS	S	100,000	14.42	n/a	2-Aug	5,000.00	5.0
RBC CAPITAL MARKETS	040	MTN	SS	3,000	49.05	n/a	n/a	120.00	4.0
ROYCE TRADING	031	MTX	S	5,000	65.97	n/a	n/a	250.00	0.0
ROYCE TRADING	031	MXWL	S	5,000	7.71	n/a	n/a	250.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>NKE</b>	<b>SS</b>	<b>10,000</b>	<b>94.89</b>	<b>n/a</b>	<b>29-Jun</b>	<b>non-brg</b>	<b>4.0</b>
RBC CAPITAL MARKETS	040	NKE	B	4,000	95.05	n/a	29-Jun	160.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>NWY</b>	<b>S</b>	<b>200</b>	<b>3.90</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE035	OSUR			S	61,926	9.91	n/a	n/a	1,857.78 0.0
COOKBIELER	028	PKG	S	56,900	31.54	n/a	20-Jul	2,276.00	0.0
CSFB GLOBAL PROPRIETARY	041	PKG	S	25,000	31.48	n/a	20-Jul	1,250.00	5.0
CSFB GLOBAL PROPRIETARY	041	RKT	SS	10,000	64.63	n/a	26-Jul	500.00	5.0
SHEFFIELD ASSET MGMT	031	RKT	S	17,500	64.28	n/a	26-Jul	700.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>RL</b>	<b>SS</b>	<b>10,000</b>	<b>152.01</b>	<b>n/a</b>	<b>9-Aug</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SCSS</b>	<b>B</b>	<b>60,000</b>	<b>28.46</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SCSS</b>	<b>B</b>	<b>70,000</b>	<b>28.47</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.	
<b>B BUCK CAPITAL MGMT</b>		<b>SKUL</b>	<b>S</b>	<b>20,000</b>	<b>16.08</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
BALYASNY ASSET MGMT	044	SPLS	C	50,000	13.51	n/a	n/a	2,500.00	0.0
CATAPULT	040	SPLS	C	33,000	13.44	n/a	n/a	1,320.00	0.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>TBT</b>	<b>B</b>	<b>1000</b>	<b>15.82</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DELTEC ASSET MGMT.	040	TEN	B	20,000	29.89	n/a	n/a	1,000.00	5.0
NOMURA INTERNATIONAL PLC	046	TIF	B	20,000	59.41	n/a	n/a	1,188.12	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>TJX</b>	<b>S</b>	<b>10,000</b>	<b>44.91</b>	<b>n/a</b>	<b>3-Aug</b>	<b>non-brg</b>	<b>4.0</b>
ROYCE TRADING	031	TOWR	B	1,725	8.21	n/a	n/a	86.25	0.0
<b>f MATTHEW FRANCIS BUCK</b>	<b>FID</b>	<b>TROX</b>	<b>B</b>	<b>300</b>	<b>22.65</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SENATOR INVESTMENT GROUP	036	TRS	S	50,000	20.18	n/a	n/a	1,500.00	3.0
RBC CAPITAL MARKETS	040	TSN	B	15,000	15.60	n/a	n/a	600.00	4.0
RBC CAPITAL MARKETS	040	TUP	B	6,000	54.03	n/a	n/a	240.00	4.0
RBC CAPITAL MARKETS	040	UA	B	4,000	56.42	n/a	25-Jul	160.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>ULTA</b>	<b>S</b>	<b>30,000</b>	<b>85.66</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
PNC CAPITAL ADV	028	WCRX	B	122,959	17.51	n/a	13-Aug	4,918.36	0.0
SANDLER CAPITAL	028	WLK	B	105,000	66.69	n/a	n/a	5,250.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	YUM	B	5,000	66.23	n/a	19-Jul	200.00	4.0
ROYCE TRADING	031	ZOLT	B	5,000	8.48	n/a	n/a	250.00	0.0
<b>TOTAL (Trade Date):</b>								<b>54,485.63</b>	

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) :									54,485.63
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									54,485.63

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 14-Aug.  
NONE

MRI Securities without Trade Activity on 14-Aug.  
NP

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)**