



Daily Compliance Activity Report

Trade Date: 02/17/2012

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 10 C550	SS	50	34.51	n/a	n/a	non-brg	300.0
BUCK CAPITAL MGMT		AAPL 10 C550	SS	50	34.51	n/a	n/a	non-brg	300.0
BRIAN W CRAGO	FID	AAPL	B	5	505.34	n/a	n/a	0.00	0.0
LEVIN CAPITAL STRATEGIES	041	AEO	S	10,000	14.47	n/a	2-Dec	300.00	3.0
BUCK CAPITAL MGMT		ARO	B	100,000	17.84	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		ARO	B	200,000	17.84	n/a	n/a	non-brg	4.0
SIMMONS VENTURES	041	AVP	B	10,000	19.09	n/a	16-Feb	400.00	4.0
PZENA INV ADV	044	AVT	B	2,600	35.85	n/a	n/a	91.00	3.5
BUCK CAPITAL MGMT		BKS	S	30,000	13.05	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		BKS	S	45,000	13.42	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		CAR	B	40,000	12.88	n/a	n/a	non-brg	4.0
ARSENAL ASSET MANAGEMENT	028	CBE	S	15,000	60.63	n/a	25-Jan	600.00	4.0
NEWLAND CAPITAL MGT	025	CJES	S	25,000	20.60	n/a	n/a	1,000.00	4.0
SURVEYOR CAPITAL	251	CMI	S	7,000	121.85	n/a	6-Feb	210.00	3.0
BUCK CAPITAL MGMT		CROX	B	20,000	20.70	n/a	n/a	non-brg	2.5
PZENA INV ADV	044	CSC	B	17,900	33.19	n/a	n/a	626.50	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f EDWARD W WHEELER	FID	CVGI	B	200	2.98	n/a	n/a	0.00	0.0
CAMBIAR CAP	046	DBD	S	121,689	38.54	n/a	14-Feb	4,867.56	4.0
B BUCK CAPITAL MGMT		DECK	B	30,000	90.03	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		DG	B	30,000	42.44	n/a	27-Jan	non-brg	4.0
B BUCK CAPITAL MGMT		DG	B	30,000	42.44	n/a	27-Jan	non-brg	4.0
WATERFRONT CAP	028	DHI	S	200	14.34	n/a	n/a	8.00	4.0
f MARC PAUL LUCHANSKY	FID	DPZ	B	500	33.22	n/a	13-Jan	0.00	0.0
f JONATHAN RICHARD HAR	FID	DRYS	B	4050	3.71	n/a	n/a	0.00	0.0
f JOSEPH CIRO AMATURO	FID	DSX	B	5000	9.81	n/a	n/a	0.00	0.0
CATAPULT	040	DVN	SS	25,000	74.93	n/a	15-Feb	1,000.00	4.0
COLUMBUS CAP MGMT LLC	084	EBF	SS	7,000	17.05	n/a	n/a	350.00	5.0
MOORE CAPITAL	041	EXPR	S	12,860	23.00	n/a	n/a	385.80	3.0
TUDOR INVESTORS	028	FDX	S	5,000	93.33	n/a	n/a	150.00	3.0
B BUCK CAPITAL MGMT		FL	S	20,000	28.45	n/a	16-Feb	non-brg	4.0
f DAVID GEORGE BUCK	FID	GILD	B	2000	46.75	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		GIL	B	20,000	25.43	n/a	9-Feb	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		GIL	B	30,000	25.43	n/a	9-Feb	non-brg	4.0
⚡ BUCK CAPITAL MGMT		GMCR	B	15,000	69.40	n/a	n/a	non-brg	4.0
STANDARD PACIFIC CAPITAL	084	GM	B	210,000	27.37	n/a	17-Feb	10,500.00	5.0
LISTED ERR	099	GNW	S	39	9.13	n/a	n/a	0.00	0.0
ARMATURE CAPITAL	041	GT	B	50,000	13.46	n/a	n/a	2,000.00	4.0
SURVEYOR CAPITAL	251	HON	S	3,000	59.94	n/a	8-Feb	90.00	3.0
PZENA INV ADV	044	IM	B	3,900	19.62	n/a	n/a	136.50	3.5
CSFB GLOBAL PROPRIETARY	041	IP	S	125,000	33.41	n/a	2-Feb	6,250.00	5.0
COBALT	041	JCI	B	100,000	35.17	n/a	13-Feb	4,000.00	4.0
SURVEYOR CAPITAL	251	JOY	B	4,500	86.64	n/a	25-Jan	135.00	3.0
⚡ BUCK CAPITAL MGMT		JWN	C	50,000	51.33	n/a	17-Feb	non-brg	4.0
TUDOR INVESTORS	028	KDN	S	10,000	35.40	n/a	n/a	300.00	3.0
BNP PARIBAS SEC	040	KSS	S	50,000	51.99	n/a	3-Feb	2,500.00	5.0
WATERFRONT CAP	028	LEN	S	10,000	23.34	n/a	n/a	400.00	4.0
f DAVID GEORGE BUCK	FID	LIFE	S	1000	48.98	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		LIZ	S	30,000	10.12	n/a	7-Oct	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		LIZ	S	50,000	9.96	n/a	7-Oct	non-brg	3.0
⌘ BUCK CAPITAL MGMT		LIZ	S	50,000	9.96	n/a	7-Oct	non-brg	3.0
MOORE CAPITAL	041	LIZ	B	10,000	10.00	n/a	7-Oct	300.00	3.0
SURVEYOR CAPITAL	251	LNN	SS	1,500	64.61	n/a	n/a	45.00	3.0
HOPLITE MGMT	025	LOW	S	20,000	27.74	n/a	8-Feb	800.00	4.0
TRUSTCO/SUNTRUST	040	LOW	S	50,800	27.63	n/a	8-Feb	1,778.00	3.5
WATERFRONT CAP	028	MDC	S	10,000	25.78	n/a	n/a	400.00	4.0
Ⓕ DAVID GEORGE BUCK	FID	MHS	S	1000	63.54	n/a	n/a	0.00	0.0
ROYCE TRADING	031	MTX	B	4,798	66.81	n/a	n/a	239.90	5.0
IVORY CAPITAL	034	PFG	SS	85,000	27.36	n/a	n/a	4,250.00	5.0
WATERFRONT CAP	028	PHM	S	50,000	8.91	n/a	n/a	2,000.00	4.0
⌘ BUCK CAPITAL MGMT		PLCE	B	10,000	47.61	n/a	18-Jan	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PLCE	B	20,000	47.76	n/a	18-Jan	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PNRA	B	20,000	150.98	n/a	8-Feb	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PNRA	B	20,000	151.34	n/a	8-Feb	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PSMT	S	20,000	68.35	n/a	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		PSMT	S	21,794	68.31	n/a	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		RCL	B	20,000	30.97	n/a	n/a	non-brg	4.0
MA CAPITAL MGMT/MELLON ADV	041	RKT	B	2,000	67.49	n/a	26-Jan	100.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MA CAPITAL MGMT/MELLON ADV041		RKT	SS	2,000	68.78	n/a	26-Jan	100.00	5.0
LISTED ERR	099	RKT	S	2,000	68.78	n/a	26-Jan	0.00	0.0
NEUBERGER BERMAN	036	SBUX	S	286,630	48.65	n/a	27-Jan	11,465.20	4.0
B BUCK CAPITAL MGMT		SHOO	S	20,000	42.98	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SIG	B	50,000	47.82	n/a	n/a	non-brg	4.0
f JONATHAN RICHARD HAR	FID	SIMO	B	140	19.90	n/a	n/a	0.00	0.0
KLEINHEINZ CAP PART	031	TGT	B	75,000	52.63	n/a	8-Feb	3,750.00	5.0
SONTERRA CAP	041	TOWR	S	22,703	13.98	n/a	n/a	908.12	4.0
TUDOR INVESTORS	028	TYC	B	10,000	49.62	n/a	2-Feb	300.00	3.0
BRONSON POINT	036	UPS	SS	25,000	76.47	n/a	n/a	750.00	3.0
TUDOR INVESTORS	028	UPS	B	5,000	76.64	n/a	n/a	150.00	3.0
f DAVID GEORGE BUCK	FID	VOLC	B	1500	29.23	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		WRC	SS	10,000	60.24	n/a	3-Feb	non-brg	4.0
B BUCK CAPITAL MGMT		WRC	SS	20,000	60.24	n/a	3-Feb	non-brg	4.0
f KAREN F LEDDY	FID	XPO	B	800	14.24	n/a	n/a	0.00	0.0
f HARALAMBOS EFSTATHI	FID	ZNGA	B	700	12.50	n/a	n/a	0.00	0.0

TOTAL (Trade Date):

63,636.58

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	02/14	BRANDWINE	028	GE	B	56,000	18.92	n/a	n/a	2240.00 4.0
AO,CRT	02/16	LISTED ERR	097	GNW	B	39	8.89	n/a	n/a	0.00 0.0
TOTAL (AO, CXL, CRT) :										2,240.00

TOTAL (Trade Date) :	63,636.58
TOTAL (AO, CXL, CRT) :	2,240.00

TOTAL (RUN DATE) / NFS :	65,876.58
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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 17-Feb.
NONE

MRI Securities without Trade Activity on 17-Feb.
WBC, 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)