



Daily Compliance Activity Report

Trade Date: 05/18/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NORTHWESTERN MUTUAL LIFE	047	ADM	B	30,000	32.08	n/a	1-May	1,200.00	4.0
EPOCH INV MGMT	030	AET	B	18,750	39.95	n/a	n/a	562.50	3.0
TUDOR INVESTORS	028	ALSN	SS	5,000	18.33	n/a	n/a	150.00	3.0
B BUCK CAPITAL MGMT		ARO	B	150,000	18.58	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	BBD	B	3000	13.39	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	CFX	S	450	27.67	n/a	n/a	13.50	3.0
f DAVID GEORGE BUCK	FID	CLX	B	500	67.62	n/a	2-May	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	CLX	B	300	67.61	n/a	2-May	0.00	0.0
EPOCH INV MGMT	030	CPO	S	13,550	52.02	n/a	n/a	406.50	3.0
ROARING BLUE LION MGMT	031	CROX	B	7,100	15.79	n/a	n/a	284.00	4.0
EPOCH INV MGMT	030	CTL	B	250	38.74	n/a	n/a	7.50	3.0
GOLD SACHS SPECIAL SIT	030	DAN	B	200,000	12.42	n/a	26-Apr	10,000.00	5.0
EPOCH INV MGMT	030	DBD	S	9,900	35.87	n/a	23-Mar	297.00	3.0
f KAREN F LEDDY	FID	DECK	S	400	53.17	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	040	DG	B	5,000	45.86	n/a	23-Mar	200.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SCOUT/UMB	047	DG	B	26,650	45.67	n/a	23-Mar	799.50	3.0
⚡ BUCK CAPITAL MGMT		FB	S	21,849	38.00	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		FB	S	26,575	40.92	n/a	n/a	non-brg	2.5
⚡ BUCK CAPITAL MGMT		FB	S	26,576	40.92	n/a	n/a	non-brg	2.5
f CHRISTOPHER ARTHUR K	FID	FB	B	700	39.96	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	FB	B	1500	38.71	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	FB	B	200	38.12	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	FB	B	200	38.22	n/a	n/a	0.00	0.0
f RAVI SADARANGANI	FID	FB	B	100	38.13	n/a	n/a	0.00	0.0
f RAVI SADARANGANI	FID	FB	B	90	38.18	n/a	n/a	0.00	0.0
f ROHINI T SADARANGANI	FID	FB	B	200	39.38	n/a	n/a	0.00	0.0
f ROHINI T SADARANGANI	FID	FB	B	75	38.01	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		FL	S	30,000	30.96	n/a	18-May	non-brg	4.0
CAMBIAR CAP	046	GES	S	75,000	24.67	n/a	9-May	3,000.00	4.0
⚡ BUCK CAPITAL MGMT		GIII	B	15,000	24.46	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		GIII	B	5,000	24.44	n/a	n/a	non-brg	0.8
⚡ BUCK CAPITAL MGMT		GIL	B	20,000	25.17	n/a	4-May	non-brg	4.0
ADAGE CAPITAL MGMT	030	GPS	S	228,161	25.53	n/a	n/a	6,844.83	3.0
f KAREN F LEDDY	FID	HBI	S	500	25.57	n/a	20-Apr	0.00	0.0
KLEINHEINZ CAP PART	031	HBI	S	50,000	24.94	n/a	20-Apr	2,500.00	5.0
WELLSPRING CAPITAL	093	HBI	B	50,000	25.03	n/a	20-Apr	2,000.00	4.0
EPOCH INV MGMT	030	HD	S	400	47.00	n/a	16-May	12.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JET CAPITAL/CHRIS	041	HIG	S	140,000	17.12	n/a	n/a	4,200.00	3.0
B BUCK CAPITAL MGMT		HLF	B	20,000	44.54	n/a	n/a	non-brg	4.0
SYSTEMATIC FINANCIAL MGT	035	HTZ	B	142,900	12.33	n/a	n/a	4,287.00	3.0
CORNERSTONE	030	ILMN	B	4,295	42.38	n/a	n/a	128.85	3.0
BRANDWINE	028	JCI	B	220,900	30.11	n/a	27-Apr	8,836.00	4.0
KADE CAPITAL LLC	028	JCI	SS	10,000	30.01	n/a	27-Apr	300.00	3.0
LEVIN CAPITAL STRATEGIES	041	JCI	B	113,890	29.99	n/a	27-Apr	3,416.70	3.0
DEVENNY CAP LLC/MILLENIU	044	JPM	B	29,800	33.63	n/a	18-May	1,192.00	4.0
NEWLAND CAPITAL MGT	025	KMB	SS	50,000	78.81	n/a	23-Apr	2,000.00	4.0
BAIRD INVESTMENT	047	KO	B	3,650	73.96	n/a	25-Apr	182.50	5.0
CASTLE ARK	031	KO	S	166,500	74.03	n/a	25-Apr	8,325.00	5.0
EPOCH INV MGMT	030	KSU	S	420	65.07	n/a	n/a	12.60	3.0
f JASON ERIC COHEN	FID	MINI	B	100	13.70	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	MLI	S	22,200	43.69	n/a	24-Apr	666.00	3.0
f KAREN F LEDDY	FID	MPC	S	250	34.76	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	MRK	S	79,690	37.98	n/a	n/a	3,187.60	4.0
B BUCK CAPITAL MGMT		MSMSBCM	C	1,592,762	103.24	n/a	n/a	non-brg	0.3

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		MSMSBCM	C	1,722,000	103.24	n/a	n/a	non-brg	0.3
⚡ BUCK CAPITAL MGMT		MSMSBCM	SS	1,573,882	103.24	n/a	n/a	non-brg	0.0
⚡ BUCK CAPITAL MGMT		MSMSBCM	SS	1,700,000	103.24	n/a	n/a	non-brg	0.0
ADAGE CAPITAL MGMT	030	M	B	150,000	35.72	n/a	10-May	4,500.00	3.0
⚡ BUCK CAPITAL MGMT		M	B	30,000	35.41	n/a	10-May	non-brg	1.0
f DAVID GEORGE BUCK	FID	NSRGY	S	3000	57.50	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	NSRGY	S	600	57.51	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	NUE	SS	10,000	34.37	n/a	n/a	300.00	3.0
COUGAR TRADING	044	OZM	S	10,000	7.20	n/a	n/a	400.00	4.0
⚡ BUCK CAPITAL MGMT		PETM	B	50,000	56.04	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		PII	B	20,000	74.21	n/a	n/a	non-brg	4.0
f RAVI SADARANGANI	FID	PRSCX	S	502	25.96	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	PRU	S	600	46.04	n/a	n/a	18.00	3.0
⚡ BUCK CAPITAL MGMT		PVH	B	30,000	74.43	n/a	9-May	non-brg	4.0
⚡ BUCK CAPITAL MGMT		PVH	B	50,000	74.36	n/a	9-May	non-brg	4.0
LEVIN CAPITAL STRATEGIES	041	PVH	B	30,300	73.74	n/a	9-May	909.00	3.0
TUDOR INVESTORS	028	RBN	SS	5,000	44.55	n/a	n/a	150.00	3.0
SHEFFIELD ASSET MGMT	031	RKT	B	20,000	52.10	n/a	26-Apr	800.00	4.0
SCOUT/UMB	047	ROST	B	19,500	60.61	n/a	18-May	585.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		RUSHA	B	8,000	16.07	n/a	n/a	non-brg	4.0
DAVID GEORGE BUCK	FID	SBUX	B	1000	52.88	n/a	27-Apr	0.00	0.0
JONATHAN RICHARD HAR	FID	SBUX	B	60	51.77	n/a	27-Apr	0.00	0.0
BUCK CAPITAL MGMT		SCSS	B	10,000	25.02	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		SCSS	B	20,100	25.06	n/a	n/a	non-brg	4.0
REUBEN D DVORETSKY	FID	SHY	B	69	84.39	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		SIG	S	20,000	44.01	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		SKS	SS	30,000	9.81	n/a	n/a	non-brg	3.0
SIMMONS VENTURES	041	SKUL	B	2,010	12.20	n/a	n/a	80.40	4.0
MANNY I KORMAN	FID	SLMAP	B	3603	42.90	n/a	n/a	0.00	0.0
PERRY PARTNERS	085	SPY	SS	25,000	131.00	n/a	n/a	1,250.00	5.0
REUBEN D DVORETSKY	FID	TACT	S	730	8.06	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	TEA	S	27,000	17.07	n/a	n/a	1,080.00	4.0
JONATHAN RICHARD HAR	FID	TEX	B	455	16.68	n/a	27-Apr	0.00	0.0
COLUMBUS CIRCLE	036	TNGO	B	1,157	20.24	n/a	n/a	46.28	4.0
SUN AMERICA ASSET MGMT	030	TRLG	B	9,400	28.09	n/a	n/a	376.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SUN AMERICA ASSET MGMT	030	URBN	B	42,900	25.63	n/a	n/a	1,716.00	4.0
f DAVID GEORGE BUCK	FID	VFC	S	800	136.51	n/a	27-Apr	0.00	0.0
TUDOR INVESTORS	028	WLT	SS	5,000	50.75	n/a	n/a	150.00	3.0
B BUCK CAPITAL MGMT		WRC	S	20,000	43.83	n/a	9-May	non-brg	4.0
SENATOR INVESTMENT GROUP	036	WWW	S	50,000	41.24	n/a	n/a	1,500.00	3.0
B BUCK CAPITAL MGMT		WYNN	B	70,000	104.89	n/a	13-Jun	non-brg	4.0
TUDOR INVESTORS	028	X	B	10,000	21.58	n/a	n/a	300.00	3.0
f JOHN M HICKEY	FID	YACKX	S	1374	17.84	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ZUMZ	B	40,000	34.92	n/a	n/a	non-brg	4.0
f JOHN BARTMAN COLE	FID		B	3000	2.17	n/a	n/a	0.00	0.0
TOTAL (Trade Date) :								79,172.26	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CRT	05/17	IMPALA ASSET MMT	040	URI	S	419,246	34.81	n/a 17-Apr 16769.84	4.0
AO,CXL	05/17	IMPALA ASSET MMT	040	URI	S	419,246	34.81	n/a 17-Apr 20962.30	5.0

TOTAL (AO, CXL, CRT) :	-4,192.46
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TOTAL (Trade Date) :	79,172.26
TOTAL (AO, CXL, CRT) :	-4,192.46

TOTAL (RUN DATE) / NFS:	74,979.80
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO	05/17	BUCK CAPITAL MGMT	FB	B	21,849	38.00	n/a	n/a	0.00	0.0
AO	05/17	BUCK CAPITAL MGMT	FB	B	26,576	38.00	n/a	n/a	0.00	0.0
AO	05/17	BUCK CAPITAL MGMT	FB	B	26,575	38.00	n/a	n/a	0.00	0.0
CXL	05/17	BUCK CAPITAL MGMT.	SKS	SS	50,000	9.91	n/a	n/a	1500.00	
CRT	05/17	BUCK CAPITAL MGMT	SKS	SS	50,000	9.81	n/a	n/a	1500.00	3.0

MRI Securities with Trade Activity on 18-May.
NONE

MRI Securities without Trade Activity on 18-May.
WMT, DLTR, PCP

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)