



Daily Compliance Activity Report

Trade Date: 07/27/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Ö Alice Longley		AAPL	S	70	572.37	n/a	n/a	0.00	0.0
HIGHBRIDGE CAP	041	AA	SS	19,000	8.27	n/a	n/a	380.00	2.0
PRIMECAP MGMT	084	AES	S	232,000	12.01	n/a	n/a	9,280.00	0.0
f BRIAN P CLIFFORD	FID	AIRM	S	500	109.89	n/a	n/a	0.00	0.0
HIGHBRIDGE CAP	041	ALV	B	5,000	56.26	n/a	23-Jul	150.00	3.0
ROSEDALE CAPITAL	046	ALV	S	5,000	55.20	n/a	23-Jul	250.00	5.0
SCOPUS FUND	041	ALV	B	17,541	55.45	n/a	23-Jul	701.64	0.0
ß BUCK CAPITAL MGMT		ASNA	S	40,000	19.03	n/a	n/a	non-brg	4.0
SPARTAN	093	AXL	B	10,000	10.62	n/a	7-Jun	300.00	3.0
f KAREN F LEDDY	FID	BEE	S	1600	6.11	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		CFR VX	C	50,000	56.72	n/a	n/a	non-brg	8.5
DENVER INST. ADV	046	CHS	B	149,656	15.26	n/a	5-Feb	5,986.24	0.0
SANDLER CAPITAL	028	CLH	B	40,000	60.97	n/a	n/a	2,000.00	0.0
BASSWOOD PARTNERS	267	CMI	B	13,400	92.41	n/a	11-Jul	536.00	0.0
ß BUCK CAPITAL MGMT		COF	S	8,700	57.75	n/a	27-Jul	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
BUCK CAPITAL MGMT		COH	B	40,000	61.56	n/a	18-Jul	non-brg 1.0
BUCK CAPITAL MGMT		CROX	S	40,000	15.86	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		DAL	B	53,000	9.46	n/a	n/a	non-brg 1.0
BUCK CAPITAL MGMT		DG	B	10,000	51.04	n/a	27-Jun	non-brg 1.0
BUCK CAPITAL MGMT		DG	B	20,000	51.02	n/a	27-Jun	non-brg 4.0
HIGHBRIDGE CAP	041	DOW	SS	5,500	29.13	n/a	27-Jul	165.00 3.0
BUCK CAPITAL MGMT		ESV	S	18,500	54.09	n/a	n/a	non-brg 4.0
RAINIER INV MGMT	035	FFIV	B	45,420	96.45	n/a	n/a	1,816.80 0.0
SCOPUS FUND	041	FNP	B	40,000	11.77	n/a	n/a	1,600.00 0.0
HIGHBRIDGE CAP	041	FTI	B	3,300	46.87	n/a	n/a	99.00 3.0
OZ MGMT	040	F	B	125,000	8.91	n/a	26-Jul	3,750.00 0.0
OZ MGMT	040	F	S	240,993	9.06	n/a	26-Jul	7,229.79 0.0
PHILADELPHIA FINANCIAL	033	F	C	20,000	8.93	n/a	26-Jul	800.00 0.0
SCOPUS FUND	041	GDI	B	60,000	56.23	n/a	n/a	2,400.00 0.0
BESSEMER INVESTMENT	085	GE	S	2,500	20.66	n/a	n/a	100.00 4.0
BUCK CAPITAL MGMT		GS	S	9,900	101.52	n/a	25-Jul	non-brg 4.0
BUCK CAPITAL MGMT		HAS	SS	20,000	36.20	n/a	n/a	non-brg 4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	035	HD	S	1,725	53.54	n/a	7-Jun	207.00	12.0
HIGHBRIDGE CAP	041	HFC	B	7,000	36.69	n/a	n/a	210.00	3.0
LONG OAR GLOBAL INV	040	HPQ	B	136,090	18.18	n/a	n/a	5,443.60	4.0
TROUBH PART	070	HTZ	S	10,000	11.35	n/a	n/a	500.00	5.0
EMPYREAN CAPITAL	084	IP	B	100,000	33.20	n/a	27-Jul	3,000.00	0.0
⚡ BUCK CAPITAL MGMT		IWM	SS	50,000	77.82	n/a	n/a	non-brg	2.0
CAERUS GLOBAL	041	IWM	SS	4,000	79.21	n/a	n/a	160.00	4.0
BASSWOOD PARTNERS	267	JCI	B	8,300	25.09	n/a	20-Jul	332.00	0.0
⚡ BUCK CAPITAL MGMT		JCP	C	20,000	22.90	n/a	2-Jul	non-brg	4.0
⚡ BUCK CAPITAL MGMT		JCP	C	20,000	22.90	n/a	2-Jul	non-brg	4.0
⚡ BUCK CAPITAL MGMT		JCP	C	20,000	22.90	n/a	2-Jul	non-brg	4.0
RAINIER INV MGMT	035	JLL	B	34,130	67.57	n/a	n/a	1,365.20	0.0
⚡ BUCK CAPITAL MGMT		JNY	S	20,000	10.29	n/a	26-Jul	non-brg	4.0
⚡ BUCK CAPITAL MGMT		JNY	S	20,000	10.55	n/a	26-Jul	non-brg	1.0
⚡ BUCK CAPITAL MGMT		JNY	S	30,000	10.32	n/a	26-Jul	non-brg	4.0
⚡ BUCK CAPITAL MGMT		JNY	S	30,000	10.32	n/a	26-Jul	non-brg	4.0
⚡ BUCK CAPITAL MGMT		JWN	B	20,000	53.91	n/a	27-Jul	non-brg	4.0
f EDWARD W WHEELER	FID	KEM	B	10000	4.78	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEW JERSEY DIV OF INV.	030	KEX	S	25,000	53.70	n/a	n/a	1,000.00	4.0
HIGHBRIDGE CAP	041	KMT	B	10,000	37.70	n/a	n/a	300.00	3.0
B BUCK CAPITAL MGMT		KORS	B	20,000	41.65	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		KORS	B	30,000	41.93	n/a	n/a	non-brg	4.0
GREEN ARROW DOUG	040	LAD	B	10,000	27.72	n/a	n/a	400.00	0.0
WOOSTER CAPITAL	035	LEA	S	25,000	36.34	n/a	4-May	1,250.00	5.0
B BUCK CAPITAL MGMT		LPNT	B	5,000	37.71	n/a	n/a	non-brg	4.0
NEUBERGER BERMAN	036	MANH	B	3,145	47.28	n/a	n/a	125.80	0.0
B BUCK CAPITAL MGMT		MA	S	3,800	435.19	n/a	27-Jul	non-brg	4.0
f MARC PAUL LUCHANSKY	FID	MA	B	50	435.53	n/a	27-Jul	0.00	0.0
BRIGADE CAPITAL MGMT	029	MGM	SS	25,000	9.44	n/a	13-Jun	750.00	0.0
f JASON ERIC COHEN	FID	MTH	B	3	0.75	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		NLSN	SS	50,000	28.00	n/a	n/a	non-brg	4.0
HIGHBRIDGE CAP	041	NOV	B	7,098	73.54	n/a	n/a	212.94	3.0
SENATOR INVESTMENT GROUP	036	NWL	B	40,000	17.93	n/a	n/a	1,200.00	3.0
NORTHWESTERN MUTUAL LIFE	047	OXY	B	101,325	88.29	n/a	n/a	4,053.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		PFE	B	10,000	23.67	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		PII	B	20,000	76.34	n/a	n/a	non-brg	4.0
NEW JERSEY DIV OF INV.	030	PLD	B	25,000	32.66	n/a	n/a	1,000.00	4.0
f MANNY I KORMAN	FID	PNF	B	5000	12.95	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	PNI	B	5000	13.31	n/a	n/a	0.00	0.0
HIGHBRIDGE CAP	041	POT	S	10,000	46.12	n/a	n/a	300.00	3.0
SCOPUS FUND	041	PVH	S	35,282	80.53	n/a	18-Jul	1,411.28	0.0
COLUMBUS CIRCLE	036	QGEN	B	1,795	17.97	n/a	n/a	71.80	0.0
CATAPULT	040	RGC	S	13,000	13.76	n/a	n/a	520.00	0.0
BAIRD INVESTMENT	047	SBUX	B	5,570	46.41	27-Jul	27-Jul	278.50	0.0
B BUCK CAPITAL MGMT		SCSS	B	20,000	27.09	n/a	n/a	non-brg	4.0
HIGHBRIDGE CAP	041	SDRL	S	6,500	39.66	n/a	n/a	195.00	3.0
CAERUS GLOBAL	041	SFD	B	4,964	17.96	n/a	n/a	198.56	4.0
f KAREN F LEDDY	FID	SGI	S	817	6.40	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	SIJ	S	10000	32.84	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f DAVID GEORGE BUCK	FID	SPHIX	B	589	9.08	n/a	n/a	0.00	0.0
HIGHBRIDGE CAP	041	SPN	B	9,000	22.74	n/a	n/a	270.00	3.0
SCOPUS FUND	041	SPW	B	20,500	62.54	n/a	n/a	820.00	0.0
B BUCK CAPITAL MGMT		SPY	SS	30,000	136.98	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		TEVA	B	10,000	40.93	n/a	24-Jul	non-brg	4.0
NEUBERGER BERMAN	036	TNC	B	7,200	38.75	n/a	n/a	288.00	0.0
Õ Nilsa Vazquez		TRN	S	2	1.60	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		TSCO	S	20,000	92.46	n/a	n/a	non-brg	4.0
APEX CAPITAL MGMT.	261	TYC	B	60,000	53.52	n/a	14-Jun	2,400.00	0.0
B BUCK CAPITAL MGMT		ULTA	B	10,000	87.11	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ULTA	B	10,000	87.11	n/a	n/a	non-brg	4.0
f EDWARD W WHEELER	FID	UNT	S	30	2.50	n/a	23-Jul	0.00	0.0
B BUCK CAPITAL MGMT		VCI	SS	100,000	22.22	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		VCI	SS	50,000	22.05	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		V	S	3,800	129.22	n/a	26-Jul	non-brg	1.0
B BUCK CAPITAL MGMT		WRC	B	40,000	43.08	n/a	18-Jul	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		WRC	B	40,000	43.10	n/a	18-Jul	non-brg	4.0
⌘ BUCK CAPITAL MGMT		WY	S	225,100	23.64	27-Jul	27-Jul	non-brg	4.0
CSFB GLOBAL PROPRIETARY	041	WY	S	60,000	23.36	27-Jul	27-Jul	3,000.00	5.0
FIRST NEW YORK NICK	029	WY	B	10,000	23.59	27-Jul	27-Jul	500.00	5.0
HIGHBRIDGE CAP	041	WY	S	15,000	23.57	27-Jul	27-Jul	450.00	3.0
KADE CAPITAL LLC	028	WY	S	7,500	23.78	27-Jul	27-Jul	375.00	5.0
CATAPULT	040	YUM	B	4,150	66.34	n/a	19-Jul	166.00	0.0
TOTAL (Trade Date):								70,298.15	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,	07/26	KAYNE ANDERSON ADV	084	CNS	B	10,000	33.01	n/a	n/a	400.00	0.0
AO,CRT	07/26	FARALLON CAP MGMT	040	MSFT	S	72,000	29.26	n/a	n/a	2160.00	3.0
AO,CXL	07/26	FARALLON CAP MGMT	040	MSFT	S	72,000	29.26	n/a	n/a	2880.00	4.0
AO,CXL	07/26	WINSLOW CAPITAL	030	PCP	B	100	158.49	n/a	20-Jul	3.00	0.0
AO,CRT	07/26	WINSLOW CAPITAL	030	PCP	B	100	158.49	n/a	20-Jul	3.00	0.0

TOTAL (AO, CXL, CRT) :	-320.00
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TOTAL (Trade Date) :	70,298.15
TOTAL (AO, CXL, CRT) :	-320.00

TOTAL (RUN DATE) / NFS :	69,978.15
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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 27-Jul.

SBUX, WY

MRI Securities without Trade Activity on 27-Jul.

AXE, WPI

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)