



# Daily Compliance Activity Report

Trade Date: 04/24/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		1913 HK	S	1,600	6.64	n/a	n/a	non-brg	1.3
B BUCK CAPITAL MGMT		1913 HK	S	1,700	6.64	n/a	n/a	non-brg	1.3
Ö Ann Bettendorf Freeman		AAPL	S	10	555.68	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	AAPL	B	34	560.80	n/a	n/a	1.70	5.0
MILLRACE FUND LP	028	ABG	B	20,000	25.82	n/a	18-Apr	800.00	4.0
PRIMECAP MGMT	084	AMGN	S	2,500	68.85	n/a	n/a	100.00	4.0
B BUCK CAPITAL MGMT		ANF	SS	50,000	47.54	n/a	16-Feb	non-brg	4.0
CADIAN CAPITAL	041	ANF	S	50,000	47.34	n/a	16-Feb	1,500.00	3.0
TUDOR INVESTORS	028	APD	B	5,000	84.98	n/a	24-Apr	150.00	3.0
TUDOR INVESTORS	028	ASH	S	5,000	64.80	n/a	24-Apr	150.00	3.0
f CHRISTINE MARIE NORM	FID	BAC	B	16	8.16	n/a	20-Apr	0.00	0.0
f ANTHONY SUTERA	FID	BALT	B	2000	4.50	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	BBY	S	250	21.75	n/a	n/a	12.50	5.0
B BUCK CAPITAL MGMT		BHI	S	48,900	43.87	n/a	n/a	non-brg	4.0
LATEFF MGMT	035	BLL	S	225	42.89	n/a	n/a	45.00	20.0
PRIMECAP MGMT	084	BWC	S	4,200	23.25	n/a	n/a	168.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	CAKE	B	21,000	30.89	n/a	13-Apr	840.00	4.0
PRIMECAP MGMT	084	CAM	S	10,101	49.29	n/a	n/a	404.04	4.0
<b>f ALICE BEEBE LONGLEY</b>	<b>FID</b>	<b>CLUB</b>	<b>S</b>	<b>30</b>	<b>12.78</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CROX</b>	<b>S</b>	<b>20,000</b>	<b>21.93</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CROX</b>	<b>S</b>	<b>30,000</b>	<b>22.10</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
PATTEN & PATTEN	025	CSJ	S	50	105.01	n/a	n/a	2.50	5.0
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>CVGI</b>	<b>B</b>	<b>5000</b>	<b>9.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	025	CVX	S	25	102.64	n/a	n/a	1.25	5.0
MILLRACE FUND LP	028	DAN	B	28,000	13.96	n/a	18-Apr	1,120.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>DG</b>	<b>S</b>	<b>50,000</b>	<b>45.54</b>	<b>n/a</b>	<b>23-Mar</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>EAT</b>	<b>C</b>	<b>100,000</b>	<b>31.35</b>	<b>n/a</b>	<b>23-Apr</b>	<b>non-brg</b>	<b>4.0</b>
LATEFF MGMT	035	ENR	B	100	71.11	n/a	20-Mar	25.00	25.0
JET CAPITAL/CHRIS	041	EP	B	100,000	28.91	n/a	n/a	3,000.00	3.0
PATTEN & PATTEN	025	EWC	S	200	27.67	n/a	n/a	10.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>FITB</b>	<b>S</b>	<b>50,000</b>	<b>13.88</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
OZ MGMT	040	F	C	70,342	11.52	n/a	18-Apr	2,110.26	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEFF MGMT	035	GE	S	250	19.54	n/a	n/a	37.50	15.0
<b>f JOHN M HICKEY</b>	<b>FID</b>	<b>GLW</b>	<b>S</b>	<b>1500</b>	<b>13.39</b>	<b>n/a</b>	<b>11-Apr</b>	<b>0.00</b>	<b>0.0</b>
LATEFF MGMT	035	GLW	S	750	13.37	n/a	11-Apr	75.00	10.0
OZ MGMT	040	GM	C	110,743	23.29	n/a	18-Apr	3,322.29	3.0
PRIMECAP MGMT	084	GVA	S	2,500	27.07	n/a	n/a	100.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>HBI</b>	<b>B</b>	<b>17,500</b>	<b>28.87</b>	<b>n/a</b>	<b>20-Apr</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>HBI</b>	<b>B</b>	<b>20,000</b>	<b>28.91</b>	<b>n/a</b>	<b>20-Apr</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>HBI</b>	<b>B</b>	<b>20,000</b>	<b>28.91</b>	<b>n/a</b>	<b>20-Apr</b>	<b>non-brg</b>	<b>4.0</b>
LATEFF MGMT	035	HD	S	250	51.12	n/a	21-Feb	50.00	20.0
<b>B BUCK CAPITAL MGMT</b>		<b>HLF</b>	<b>B</b>	<b>20,000</b>	<b>68.97</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>HLF</b>	<b>B</b>	<b>60,000</b>	<b>68.90</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f ANTHONY SUTERA</b>	<b>FID</b>	<b>HSC</b>	<b>B</b>	<b>1000</b>	<b>21.34</b>	<b>n/a</b>	<b>11-Apr</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JNY</b>	<b>S</b>	<b>150,000</b>	<b>12.40</b>	<b>n/a</b>	<b>19-Apr</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JNY</b>	<b>S</b>	<b>150,000</b>	<b>12.40</b>	<b>n/a</b>	<b>19-Apr</b>	<b>non-brg</b>	<b>4.0</b>
EGS ASSOCIATES LP	091	JNY	SS	5,000	12.49	n/a	19-Apr	300.00	6.0
NEWLAND CAPITAL MGT	025	JOY	B	25,000	71.92	n/a	18-Apr	1,000.00	4.0
PRIMECAP MGMT	084	LLY	S	5,000	39.80	n/a	n/a	200.00	4.0
LEVIN CAPITAL STRATEGIES	041	MDT	B	112,070	37.00	n/a	n/a	3,362.10	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ROSEDALE CAPITAL	046	MTOR	B	10,000	6.41	n/a	n/a	300.00	3.0
DAVIDSON INV ADV	035	NILE	B	1,010	29.46	n/a	n/a	40.40	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>NUS</b>	<b>SS</b>	<b>50,000</b>	<b>58.90</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>NWY</b>	<b>B</b>	<b>52,905</b>	<b>3.78</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
PRIMECAP MGMT	084	OII	S	21,003	51.64	n/a	n/a	840.12	4.0
TRELLUS PARTNERS LP	028	PAG	B	1,000	26.14	n/a	18-Apr	30.00	3.0
TRELLUS PARTNERS LP	028	PAG	S	1,000	26.51	n/a	18-Apr	30.00	3.0
NEWLAND CAPITAL MGT	025	PCAR	S	10,000	42.30	n/a	18-Apr	400.00	4.0
PATTEN & PATTEN	025	PHO	S	650	18.54	n/a	n/a	32.50	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>PLCE</b>	<b>B</b>	<b>11,000</b>	<b>46.56</b>	<b>n/a</b>	<b>7-Mar</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PNRA</b>	<b>S</b>	<b>40,000</b>	<b>148.28</b>	<b>n/a</b>	<b>24-Apr</b>	<b>non-brg</b>	<b>4.0</b>
TUDOR INVESTORS	028	PNR	SS	4,000	44.22	n/a	n/a	120.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>PSMT</b>	<b>B</b>	<b>10,000</b>	<b>77.63</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
COLUMBUS CIRCLE	036	PVTB	B	4,700	16.25	n/a	n/a	168.36	3.0
<b>Ö Ann Bettendorf Freeman</b>		<b>QCOM</b>	<b>S</b>	<b>100</b>	<b>61.42</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>SCSC</b>	<b>B</b>	<b>1487</b>	<b>32.63</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.	
BUCK CAPITAL MGMT		SCSS	B	15,000	31.87	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		SFER IM	S	20,000	20.06	n/a	n/a	non-brg	3.0
CHRISTINE MARIE NORM	FID	SIRI	B	42	2.20	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		SKUL	B	50,000	15.51	n/a	n/a	non-brg	4.0
LATEFF MGMT	035	SPLS	S	500	15.21	n/a	n/a	50.00	10.0
JOHN M HICKEY	FID	SWN	B	750	28.12	n/a	17-Apr	0.00	0.0
BUCK CAPITAL MGMT		TIF	SS	50,000	65.82	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		TIF	SS	50,000	65.88	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		TPX	B	16,000	61.13	n/a	n/a	non-brg	4.0
RBC CAPITAL MARKETS	040	TPX	B	6,700	64.61	n/a	n/a	268.00	4.0
PATTEN & PATTEN	025	V	S	25	118.60	n/a	2-Apr	1.25	5.0
FORTRESS INVESTMENT (US)	036	WFT	B	107,000	14.16	n/a	n/a	2,140.00	2.0
TUDOR INVESTORS	028	WLT	S	3,000	66.74	n/a	n/a	90.00	3.0
BARBARA S LEDDY	FID	WNC	B	700	8.24	n/a	n/a	0.00	0.0
MICHAEL C PERILLO	FID	WNC	B	120	8.11	n/a	n/a	0.00	0.0
THOMAS JOHN LEDDY	FID	WNC	B	475	8.25	n/a	n/a	0.00	0.0
LATEFF MGMT	035	WRI	S	300	25.75	n/a	n/a	36.00	12.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PRIMECAP MGMT	084	WSH	B	9,000	36.20	n/a	n/a	360.00	4.0
PATTEN & PATTEN	025	XOM	S	50	86.04	n/a	n/a	2.50	5.0
<b>TOTAL (Trade Date):</b>								<b>23,796.27</b>	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	04/23	NOMURA CAPITAL	029	LYB	S	1,333	43.57	n/a	n/a	39.99 3.0
AO,CRT	04/23	NOMURA CAPITAL	029	LYB	S	167	43.57	n/a	n/a	5.01 3.0
AO,CXL	04/23	NOMURA CAPITAL	029	LYB	S	1,500	43.57	n/a	n/a	45.00 3.0
AO,CRT	04/16	WOODWAY FINANCIAL	031	SNPK	B	1,000	1.94	n/a	n/a	60.00 6.0
AO,CXL	04/16	WOODWAY FINANCIAL	031	SNPK	B	1,000	1.94	n/a	n/a	60.00 6.0
AO,	04/18	GLG PARTNERS	034	WMT	SS	10,000	62.08	n/a	23-Apr	300.00 3.0
AO,CXL	04/18	GLG PARTNERS	034	WMT	SS	10,000	62.08	n/a	23-Apr	300.00 3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>0.00</b>

TOTAL (Trade Date) :	23,796.27
TOTAL (AO, CXL, CRT) :	0.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>23,796.27</b>
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	04/23	BUCK CAPITAL MGMT	LAD	B	30,000	24.88	n/a	n/a	1200.00 4.0

MRI Securities with Trade Activity on 24-Apr.  
NONE

MRI Securities without Trade Activity on 24-Apr.  
BIG

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)**