



Daily Compliance Activity Report

Trade Date: 08/23/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f ANN BETTENDORF FREEM	FID	AAPL	S	5	669.10	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		AEO	S	20,000	21.91	n/a	2-Dec	non-brg	4.0
B BUCK CAPITAL MGMT		AEO	S	40,000	21.88	n/a	2-Dec	non-brg	4.0
BALYASNY ASSET MGMT	044	AGN	S	45,000	84.98	n/a	20-Aug	2,250.00	0.0
HAHN CAPITAL MANAGEMENT	084	ALB	S	285	57.49	n/a	n/a	14.25	5.0
HIGHBRIDGE CAP	041	ALV	B	2,500	61.11	n/a	23-Jul	75.00	3.0
HOPLITE MGMT	025	AMZN	S	6,504	240.08	n/a	n/a	260.16	0.0
B BUCK CAPITAL MGMT		ANN	S	20,000	34.88	n/a	n/a	non-brg	4.0
HIGHBRIDGE CAP	041	APC	B	14,500	69.86	n/a	9-Aug	435.00	3.0
HAHN CAPITAL MANAGEMENT	084	A	S	258	37.30	n/a	n/a	12.90	5.0
SENATOR INVESTMENT GROUP	036	BA	B	62,000	71.32	n/a	7-Aug	1,860.00	3.0
HAHN CAPITAL MANAGEMENT	084	BGC	S	850	28.11	n/a	n/a	42.50	5.0
HAHN CAPITAL MANAGEMENT	084	BIG	S	408	30.29	n/a	23-Aug	20.40	5.0
RBC CAPITAL MARKETS	040	BLMN	B	14,000	13.00	n/a	n/a	560.00	4.0
B BUCK CAPITAL MGMT		BNNY	B	10,000	37.91	n/a	n/a	non-brg	4.0

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B BUCK CAPITAL MGMT		BNNY	B	10,000	37.91	n/a	n/a	non-brg	4.0
f KAREN F LEDDY	FID	BONT	B	1000	8.07	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	040	BWLD	B	4,000	74.81	n/a	n/a	160.00	4.0
KENNEDY CAPITAL	046	CALD	B	41,666	4.20	n/a	n/a	833.32	0.0
B BUCK CAPITAL MGMT		CERN	SS	15,000	70.94	n/a	n/a	non-brg	4.0
HAHN CAPITAL MANAGEMENT	084	CFN	S	968	26.41	n/a	n/a	48.40	5.0
HAHN CAPITAL MANAGEMENT	084	CIT	S	1,084	38.54	n/a	20-Aug	54.20	5.0
HAHN CAPITAL MANAGEMENT	084	CRI	S	803	53.45	n/a	n/a	40.15	5.0
B BUCK CAPITAL MGMT		CROX	B	15,000	16.74	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		CROX	B	22,500	16.75	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		CROX	B	25,000	16.34	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CROX	B	27,500	16.35	n/a	n/a	non-brg	4.0
f MANNY I KORMAN	FID	CROX	B	2000	16.25	n/a	n/a	0.00	0.0
HAHN CAPITAL MANAGEMENT	084	CVA	S	1,916	17.69	n/a	n/a	95.80	5.0
PNC CAPITAL ADV	028	C	B	62,734	29.97	n/a	22-Aug	2,509.36	0.0
B BUCK CAPITAL MGMT		DG	B	20,000	49.60	n/a	27-Jun	non-brg	4.0
RIVERPARK CAPITAL	025	DLTR	B	5,100	48.64	n/a	16-Aug	255.00	5.0
TOURMALINE PARTNERS CHRIS	041	DMD	SS	10,000	9.91	n/a	n/a	300.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HAHN CAPITAL MANAGEMENT	084	DNR	S	1,155	15.61	n/a	n/a	57.75	5.0
HAHN CAPITAL MANAGEMENT	084	EEFT	S	816	17.67	n/a	n/a	40.80	5.0
RBC CAPITAL MARKETS	040	EL	SS	5,000	59.49	n/a	14-Aug	200.00	4.0
RIVERPARK CAPITAL	025	EMC	B	12,300	26.25	n/a	n/a	615.00	5.0
OZ MGMT	040	F	C	115,987	9.52	n/a	2-Aug	3,479.61	0.0
ß BUCK CAPITAL MGMT		GCO	S	50,000	69.36	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GES	S	30,000	27.06	n/a	23-Aug	non-brg	2.5
ß BUCK CAPITAL MGMT		GES	S	70,000	26.33	n/a	23-Aug	non-brg	4.0
SYMPHONY ASSET	033	GES	C	19,500	26.00	n/a	23-Aug	585.00	0.0
ß BUCK CAPITAL MGMT		GIL	S	20,000	31.53	n/a	3-Aug	non-brg	4.0
ß BUCK CAPITAL MGMT		GIL	S	20,000	31.54	n/a	3-Aug	non-brg	4.0
BNP PARIBAS SEC	040	GM	SS	60,000	21.39	n/a	3-Aug	3,000.00	0.0
ß BUCK CAPITAL MGMT		GNC	B	20,000	35.85	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GNC	B	30,000	35.86	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GPS	S	20,000	35.00	n/a	n/a	non-brg	4.0
G WEISS /IAN	025	GSM	B	10,000	15.36	n/a	n/a	300.00	0.0
HAHN CAPITAL MANAGEMENT	084	GTLS	S	438	72.10	n/a	n/a	21.90	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		HAIN	S	20,000	66.15	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT		HBI	S	20,000	31.82	n/a	1-Aug	non-brg	4.0
BUCK CAPITAL MGMT		HCA	B	30,000	28.15	n/a	n/a	non-brg	4.0
HAHN CAPITAL MANAGEMENT	084	HCC	S	1,275	32.43	n/a	n/a	63.75	5.0
DAVID GEORGE BUCK	FID	HD	B	15	0.33	n/a	14-Aug	0.00	0.0
DAVID GEORGE BUCK	FID	HD	S	15	1.79	n/a	14-Aug	0.00	0.0
BUCK CAPITAL MGMT		HLF	S	2,200	50.41	n/a	n/a	non-brg	4.0
HIGHBRIDGE CAP	041	HP	SS	3,000	47.68	n/a	n/a	90.00	3.0
HAHN CAPITAL MANAGEMENT	084	HST	S	2,068	15.24	n/a	13-Jun	103.40	5.0
HAHN CAPITAL MANAGEMENT	084	HXL	S	1,319	22.98	n/a	24-Jul	65.95	5.0
HAHN CAPITAL MANAGEMENT	084	IEX	S	632	40.34	n/a	n/a	31.60	5.0
HAHN CAPITAL MANAGEMENT	084	JEC	S	772	40.62	n/a	n/a	38.60	5.0
BUCK CAPITAL MGMT		JWN	S	20,000	57.01	n/a	10-Aug	non-brg	4.0
BUCK CAPITAL MGMT		JWN	S	20,000	57.15	n/a	10-Aug	non-brg	4.0
HAHN CAPITAL MANAGEMENT	084	KEG	S	2,661	8.85	n/a	23-Jul	133.05	5.0
DAVID GEORGE BUCK	FID	KKR	S	4500	14.25	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f	DAVID GEORGE BUCK	FID	KKR	S	500	14.24	n/a	n/a	0.00	0.0
f	MATTHEW FRANCIS BUCK	FID	KKR	S	600	14.24	n/a	n/a	0.00	0.0
	HAHN CAPITAL MANAGEMENT	084	KMR	S	415	73.44	n/a	n/a	20.75	5.0
B	BUCK CAPITAL MGMT		KORS	S	30,000	51.87	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		KORS	S	50,000	51.78	n/a	n/a	non-brg	4.0
	HAHN CAPITAL MANAGEMENT	084	KR	S	1,769	21.84	n/a	n/a	88.45	5.0
	TUDOR INVESTORS	028	KR	SS	50,000	21.80	n/a	n/a	1,500.00	3.0
	ROYCE TRADING	031	LEDS	B	12,500	2.30	n/a	n/a	375.00	0.0
	BALYASNY ASSET MGMT	044	LULU	SS	10,000	63.97	n/a	7-Jun	500.00	0.0
B	BUCK CAPITAL MGMT		LVS	B	50,000	43.38	n/a	13-Jun	non-brg	1.0
	NEUBERGER BERMAN	036	MATW	S	10,125	30.25	n/a	n/a	405.00	0.0
	ARSENAL ASSET MANAGEMENT	028	MLM	B	5,000	77.24	n/a	n/a	200.00	0.0
B	BUCK CAPITAL MGMT		M	S	30,000	38.75	n/a	9-Aug	non-brg	4.0
	KENNEDY CAPITAL	046	NP	B	5,995	28.00	n/a	14-Aug	239.80	0.0
	HAHN CAPITAL MANAGEMENT	084	NSR	S	1,248	37.66	n/a	n/a	62.40	5.0
B	BUCK CAPITAL MGMT		NWY	S	7,500	3.81	n/a	n/a	non-brg	2.0
	CYRUS CAPITAL	025	ORLY	B	8,000	85.94	n/a	n/a	240.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	PENN	SS	7,200	38.30	n/a	n/a	288.00	4.0
B BUCK CAPITAL MGMT		PERY	S	7,117	19.71	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		PLCE	S	20,000	56.03	n/a	16-Aug	non-brg	4.0
HAHN CAPITAL MANAGEMENT	084	PRE	S	496	74.03	n/a	n/a	24.80	5.0
HAHN CAPITAL MANAGEMENT	084	PVH	S	346	87.20	n/a	18-Jul	17.30	5.0
HAHN CAPITAL MANAGEMENT	084	PXD	S	292	97.04	n/a	23-Jul	14.60	5.0
HIGHBRIDGE CAP	041	RKT	B	3,000	65.73	n/a	20-Aug	90.00	3.0
HAHN CAPITAL MANAGEMENT	084	ROP	S	218	104.51	n/a	n/a	10.90	5.0
HAHN CAPITAL MANAGEMENT	084	ROST	S	643	69.38	n/a	17-Aug	32.15	5.0
SCOUT/UMB	047	ROST	B	19,800	69.32	n/a	17-Aug	594.00	0.0
HAHN CAPITAL MANAGEMENT	084	RS	S	662	52.84	n/a	n/a	33.10	5.0
INVESCO	031	SBUX	S	123,565	48.03	n/a	27-Jul	4,942.60	0.0
LISTED ERR	099	SBUX	B	34,401	48.11	n/a	27-Jul	0.00	0.0
HAHN CAPITAL MANAGEMENT	084	SEIC	S	1,250	22.09	n/a	n/a	62.50	5.0
B BUCK CAPITAL MGMT		SHOO	S	10,000	42.23	n/a	n/a	non-brg	2.5
ROYCE TRADING	031	SIVB	S	5,000	57.18	n/a	n/a	250.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		SKX	B	50,000	21.98	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SKX	B	50,000	21.98	n/a	n/a	non-brg	4.0
ROYCE TRADING	031	SVU	B	3,000	2.18	n/a	n/a	90.00	0.0
ROYCE TRADING	031	SWFT	B	2,000	8.45	n/a	n/a	100.00	0.0
ROYCE TRADING	031	SYMM	S	5,000	6.23	n/a	n/a	250.00	0.0
COLUMBUS CIRCLE	036	TGI	S	2,589	60.09	n/a	n/a	103.56	0.0
B BUCK CAPITAL MGMT		TIF	C	80,000	58.31	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		TIF	C	80,000	58.31	n/a	n/a	non-brg	4.0
ROYCE TRADING	031	TRN	S	5,000	29.11	n/a	n/a	250.00	0.0
ROYCE TRADING	031	TWGP	B	1,500	18.41	n/a	n/a	75.00	0.0
ROYCE TRADING	031	VLV	B	1,000	9.54	n/a	n/a	50.00	0.0
f ANN BETTENDORF FREEM	FID	VMW	S	15	92.97	n/a	n/a	0.00	0.0
HAHN CAPITAL MANAGEMENT	084	VRX	S	786	51.63	n/a	n/a	39.30	5.0
HAHN CAPITAL MANAGEMENT	084	WAB	S	422	80.78	n/a	n/a	21.10	5.0
ROYCE TRADING	031	WAIR	S	5,000	14.78	n/a	n/a	250.00	0.0
HAHN CAPITAL MANAGEMENT	084	WDR	S	954	29.31	n/a	2-Mar	47.70	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HAHN CAPITAL MANAGEMENT	084	WFT	S	1,794	12.76	n/a	n/a	89.70	5.0
f KAREN F LEDDY	FID	WNC	B	1000	6.69	n/a	n/a	0.00	0.0
KENNEDY CAPITAL	046	WPP	B	19,852	9.20	n/a	n/a	595.56	0.0
HAHN CAPITAL MANAGEMENT	084	WU	S	1,962	17.40	n/a	n/a	98.10	5.0
HIGHBRIDGE CAP	041	XLU	SS	7,000	36.50	n/a	n/a	140.00	2.0
HIGHBRIDGE CAP	041	X	SS	14,000	21.70	n/a	n/a	420.00	3.0
TOTAL (Trade Date):								31,264.22	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	08/22	STANDARD PACIFIC CAPITAL	084	MU	S	600,000	6.39	n/a	n/a	24000.00 4.0
AO,CXL	08/22	STANDARD PACIFIC CAPITAL	084	MU	S	600,000	6.39	n/a	n/a	30000.00 5.0
AO,CRT	08/22	CAISSE DEPOT PLACEMENT Q	295	VRSK	S	10,000	48.27	n/a	n/a	400.00 4.0
AO,CXL	08/22	CAISSE DEPOT PLACEMENT Q	295	VRSK	S	10,000	48.27	n/a	n/a	500.00 5.0
TOTAL (AO, CXL, CRT) :										-6,100.00

TOTAL (Trade Date) :	31,264.22
TOTAL (AO, CXL, CRT) :	-6,100.00

TOTAL (RUN DATE) / NFS :	25,164.22
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	08/22	BUCK CAPITAL MGMT	NWY	S	600	4.00	n/a	n/a	12.00 2.0

MRI Securities with Trade Activity on 23-Aug.
NONE

MRI Securities without Trade Activity on 23-Aug.
ASH

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)