



# Daily Compliance Activity Report

Trade Date: 07/31/2012

Potential ANALYST TRADE Violations: 0

Watch List **ACTIVITY ALERT: 2**

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE035	ACTG	S	30,747	26.00	n/a	n/a	922.41	0.0
<b>B</b> BUCK CAPITAL MGMT		<b>AEO</b>	<b>S</b>	<b>40,000</b>	<b>20.77</b>	<b>n/a</b>	<b>2-Dec</b>	<b>non-brg</b>	<b>4.0</b>
CENTURION PARTNERS	041	AEO	B	30,000	20.82	n/a	2-Dec	1,200.00	4.0
KLEINHEINZ CAP PART	031	ANF	S	30,000	33.75	n/a	17-May	1,500.00	5.0
<b>B</b> BUCK CAPITAL MGMT		<b>ANN</b>	<b>S</b>	<b>30,000</b>	<b>27.18</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>ARO</b>	<b>B</b>	<b>50,000</b>	<b>19.80</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>ASNA</b>	<b>S</b>	<b>60,000</b>	<b>18.41</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SCOPUS FUND	041	BA	SS	25,000	74.12	n/a	30-Jul	1,000.00	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>BNNY</b>	<b>B</b>	<b>15,000</b>	<b>40.41</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>BNNY</b>	<b>B</b>	<b>35,000</b>	<b>40.34</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>BODY</b>	<b>S</b>	<b>10,000</b>	<b>10.37</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>BODY</b>	<b>S</b>	<b>20,000</b>	<b>10.34</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> SEAN F LEDDY	<b>FID</b>	<b>BP</b>	<b>S</b>	<b>33</b>	<b>40.06</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>CAH</b>	<b>B</b>	<b>1500</b>	<b>43.24</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ</b> Nilsa Vazquez		<b>CBI</b>	<b>S</b>	<b>3</b>	<b>1.34</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>CLX</b>	<b>S</b>	<b>20</b>	<b>0.30</b>	<b>n/a</b>	<b>23-May</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT	040	CNK	SS	9,450	23.29	n/a	n/a	378.00	0.0
⚡ BUCK CAPITAL MGMT		COH	B	19,500	51.44	n/a	18-Jul	non-brg	4.0
f MANNY I KORMAN	FID	COH	B	4000	50.53	n/a	18-Jul	0.00	0.0
f MICHAEL ALEXANDER SM	FID	COH	B	10	1.05	n/a	18-Jul	0.00	0.0
⚡ BUCK CAPITAL MGMT		CROX	S	16,000	15.52	n/a	n/a	non-brg	4.0
f EDWARD W WHEELER	FID	DAN	B	17	0.50	n/a	27-Jul	0.00	0.0
RBC CAPITAL MARKETS	040	DE	SS	10,000	77.61	n/a	11-Jul	400.00	4.0
f KAREN F LEDDY	FID	FCH	S	1700	4.86	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		FNP	C	50,000	11.34	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		FOR	B	100,000	11.00	n/a	20-Jul	non-brg	4.0
⚡ BUCK CAPITAL MGMT		GCO	S	30,000	66.00	n/a	n/a	non-brg	4.0
f THOMAS MACTAGGART LE	FID	GE	S	50	20.83	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		GIII	B	20,000	24.89	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		GIL	S	20,000	28.16	n/a	18-Jul	non-brg	4.0
⚡ BUCK CAPITAL MGMT		GIL	S	20,000	28.27	n/a	18-Jul	non-brg	4.0
⚡ BUCK CAPITAL MGMT		GPS	S	20,000	29.54	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		HAIN	S	37,055	56.30	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	HAIN	B	2,000	56.74	n/a	n/a	80.00	4.0
ß BUCK CAPITAL MGMT		HBI	S	30,000	30.08	n/a	18-Jul	non-brg	4.0
ß BUCK CAPITAL MGMT		HTZ	B	42,000	11.66	n/a	n/a	non-brg	4.0
CORVEX CAPITAL	041	HUN	C	205,000	12.60	n/a	n/a	6,150.00	0.0
CAERUS GLOBAL	041	IGT	B	20,000	11.46	n/a	13-Jun	800.00	4.0
TOCQUEVILLE	035	IM	B	20,500	15.00	n/a	n/a	1,025.00	0.0
ß BUCK CAPITAL MGMT		IWM	SS	75,000	78.90	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		IWM	SS	75,000	78.93	n/a	n/a	non-brg	2.0
f MARC PAUL LUCHANSKY	FID	JCP	B	100	22.60	n/a	2-Jul	0.00	0.0
ß BUCK CAPITAL MGMT		JPCMSBCM	C	15,500	107.96	n/a	n/a	non-brg	1.1
ß BUCK CAPITAL MGMT		JPCMSBCM	C	18,832	107.96	n/a	n/a	non-brg	1.1
ß BUCK CAPITAL MGMT		JPCMSBCM	SS	15,300	107.96	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		JPCMSBCM	SS	18,516	107.96	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		JWN	S	20,000	54.09	n/a	27-Jul	non-brg	4.0
ß BUCK CAPITAL MGMT		JWN	S	30,000	54.25	n/a	27-Jul	non-brg	4.0
THE JAY GOLDMAN	028	JWN	B	20,000	54.30	n/a	27-Jul	800.00	4.0
ß BUCK CAPITAL MGMT		KORS	B	20,000	40.84	n/a	n/a	non-brg	4.0
CATAPULT	040	KSS	B	18,149	50.21	n/a	27-Jul	725.96	0.0
THE JAY GOLDMAN	028	KSS	S	25,000	50.23	n/a	27-Jul	1,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CATAPULT/KGLT	040	LNG	B	25,000	13.79	n/a	n/a	1,000.00	4.0
⌘ BUCK CAPITAL MGMT		LPNT	B	10,000	37.99	n/a	n/a	non-brg	2.5
CSFB GLOBAL PROPRIETARY	041	LPX	B	50,000	10.03	n/a	31-Jul	2,500.00	5.0
⌘ BUCK CAPITAL MGMT		LTD	B	80,000	48.25	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		LTD	B	80,000	48.25	n/a	n/a	non-brg	4.0
CATAPULT	040	LULU	B	9,880	57.25	n/a	7-Jun	395.20	0.0
RIDGECREST INV MGMT LLC	028	LULU	B	15,000	56.47	n/a	7-Jun	600.00	4.0
f DAVID GEORGE BUCK	FID	MCK	S	10	1.00	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		MDT	B	10,000	39.36	n/a	n/a	non-brg	4.0
DALTON GREINER	070	MLI	B	18,730	42.75	n/a	26-Jul	936.50	0.0
COLUMBUS CIRCLE	036	MON	B	1,800	86.11	n/a	23-Jul	72.00	0.0
⌘ BUCK CAPITAL MGMT		MSMSBCM	C	471,956	107.01	n/a	n/a	non-brg	1.1
⌘ BUCK CAPITAL MGMT		MSMSBCM	C	566,000	107.01	n/a	n/a	non-brg	1.1
⌘ BUCK CAPITAL MGMT		MSMSBCM	SS	464,558	107.01	n/a	n/a	non-brg	0.0
⌘ BUCK CAPITAL MGMT		MSMSBCM	SS	557,000	107.01	n/a	n/a	non-brg	0.0
RBC CAPITAL MARKETS	040	MTN	SS	900	50.08	n/a	n/a	36.00	4.0
⌘ BUCK CAPITAL MGMT		M	S	30,000	36.12	n/a	27-Jul	non-brg	4.0
⌘ BUCK CAPITAL MGMT		M	S	40,000	36.15	n/a	27-Jul	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KLEINHEINZ CAP PART	031	M	S	50,000	35.90	n/a	27-Jul	2,500.00	5.0
⌘ BUCK CAPITAL MGMT		NKE	SS	10,000	94.34	n/a	29-Jun	non-brg	4.0
⌘ BUCK CAPITAL MGMT		NWY	S	14,957	4.53	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		PCLN	SS	1,500	671.39	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		PFE	B	50,000	24.19	n/a	n/a	non-brg	4.0
LATEEF MGMT	035	PFE	S	1,750	24.25	n/a	n/a	197.00	14.0
OHIO PERS	047	PGR	B	60,170	19.74	n/a	n/a	1,805.10	0.0
STANDARD PACIFIC CAPITAL	084	PH	B	90,000	80.77	n/a	n/a	4,500.00	5.0
⌘ BUCK CAPITAL MGMT		PLCE	B	37,626	50.42	n/a	5-Jun	non-brg	4.0
ASCEND PARTNERS	033	PVH	B	10,000	79.75	n/a	18-Jul	300.00	0.0
OHIO PERS	047	RLD	S	98,326	9.29	n/a	n/a	2,949.78	0.0
⌘ BUCK CAPITAL MGMT		SAND SS	SS	35,000	13.85	n/a	n/a	non-brg	2.1
⌘ BUCK CAPITAL MGMT		SBH	S	20,000	26.69	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	SBUX	S	2000	45.52	n/a	27-Jul	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	SBUX	S	250	45.56	n/a	27-Jul	0.00	0.0
f KAREN F LEDDY	FID	SGI	S	500	6.64	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		SIG	S	22,825	43.79	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
⚡ BUCK CAPITAL MGMT		SLXP	SS	10,000	45.00	n/a	30-Jul	non-brg 4.0
⚡ BUCK CAPITAL MGMT		SPY	SS	45,000	138.40	n/a	n/a	non-brg 2.0
⚡ BUCK CAPITAL MGMT		SPY	SS	45,000	138.42	n/a	n/a	non-brg 2.0
⚡ BUCK CAPITAL MGMT		SSI	S	20,000	18.92	n/a	n/a	non-brg 4.0
FIRST NEW YORK LEDDY	035	S	S	20,000	4.41	n/a	n/a	800.00 4.0
FIRST NEW YORK NICK	029	S	B	10,000	4.36	n/a	n/a	500.00 5.0
JETSTREAM GLOBAL FUND LP	065	TITN	S	1,100	29.22	n/a	n/a	55.00 5.0
⚡ BUCK CAPITAL MGMT		TJX	S	20,000	44.53	n/a	27-Jul	non-brg 4.0
NEUBERGER BERMAN	036	TNC	B	7,000	41.61	n/a	n/a	280.00 0.0
JP MORGAN VENTURES	046	TXRH	B	13,000	17.40	n/a	n/a	390.00 3.0
⚡ BUCK CAPITAL MGMT		URBN	SS	20,000	30.59	n/a	n/a	non-brg 4.0
⚡ BUCK CAPITAL MGMT		VFC	S	10,000	148.07	n/a	25-Jul	non-brg 4.0
f KAREN F LEDDY	FID	VRA	S	500	21.97	n/a	n/a	0.00 0.0
NORTHWESTERN MUTUAL LIFE	047	WIN	B	129,600	9.95	n/a	n/a	5,184.00 0.0
⚡ BUCK CAPITAL MGMT		WTW	C	50,000	51.34	n/a	n/a	non-brg 4.0
⚡ BUCK CAPITAL MGMT		WTW	C	50,000	51.34	n/a	n/a	non-brg 4.0

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**TOTAL (Trade Date):**

**40,981.95**

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	07/30	FIRST NY SEC/CHRIS	041	ETH	B	7,000	20.31	n/a	n/a	210.00	3.0
AO,CXL	07/30	FIRST NY SEC/CHRIS	041	ETH	B	7,000	20.31	n/a	n/a	350.00	5.0
AO,CRT	07/27	GREEN ARROW DOUG	040	LAD	B	10,000	27.72	n/a	n/a	400.00	0.0
AO,CXL	07/27	GREEN ARROW DOUG	040	LAD	B	10,000	27.72	n/a	n/a	400.00	0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-140.00</b>	

TOTAL (Trade Date) :	40,981.95
TOTAL (AO, CXL, CRT) :	-140.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>40,841.95</b>
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO	07/30	BUCK CAPITAL MGMT	HLF	S	24,900	54.72	n/a	n/a	249.00 1.0

MRI Securities with Trade Activity on 31-Jul.  
NONE

MRI Securities without Trade Activity on 31-Jul.  
HSC

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)**