



Daily Compliance Activity Report

Trade Date: 05/23/2012

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		AEO	B	150,000	19.90	n/a	2-Dec	non-brg	4.0
B BUCK CAPITAL MGMT		AEO	B	50,000	19.93	n/a	2-Dec	non-brg	4.0
f ANN M GAULT	FID	AMCC	B	1500	5.17	n/a	n/a	0.00	0.0
f WILLIAM J GAULT	FID	AMCC	B	1400	5.18	n/a	n/a	0.00	0.0
f WILLIAM J GAULT	FID	AMCC	B	1500	5.17	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	AMRN	B	17	0.75	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	ASH	B	5,000	62.99	n/a	24-Apr	150.00	3.0
B BUCK CAPITAL MGMT		BC IM	S	50,000	13.70	n/a	n/a	non-brg	2.1
BASIX	033	BEAV	B	9,500	41.27	n/a	3-May	285.00	3.0
f KAREN F LEDDY	FID	BEE	S	2745	6.07	n/a	n/a	0.00	0.0
f WILLIAM J GAULT	FID	BGZ	S	2000	24.58	n/a	n/a	0.00	0.0
HIGHBRIDGE CAP	041	BG	B	4,412	60.74	n/a	n/a	132.36	3.0
EGS ASSOCIATES LP	091	BIG	SS	3,000	36.46	n/a	23-May	150.00	5.0
OZ MGMT	040	BWA	C	55,000	76.86	n/a	27-Apr	1,650.00	3.0
PEAK INV LLC	084	BWA	S	13,500	75.80	n/a	27-Apr	540.00	4.0
PEAK INV LLC	084	CAT	S	15,600	91.26	n/a	26-Apr	624.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PEAK INV LLC	084	CMI	S	9,600	100.11	n/a	2-May	384.00	4.0
RBC CAPITAL MARKETS	040	COST	B	10,000	82.49	n/a	n/a	400.00	4.0
SCOPUS FUND	041	CP	B	37,200	72.05	n/a	n/a	1,488.00	4.0
f ROHINI T SADARANGANI	FID	CVGI	S	1000	8.85	n/a	n/a	0.00	0.0
BASSWOOD PARTNERS	267	DB	SS	12,371	36.29	n/a	n/a	494.84	4.0
f KAREN F LEDDY	FID	DECK	S	200	56.33	n/a	n/a	0.00	0.0
ELM RIDGE ADVISORS	044	DELL	B	211,800	13.03	n/a	n/a	8,472.00	4.0
PEAK INV LLC	084	DE	S	4,500	75.03	n/a	17-May	180.00	4.0
B BUCK CAPITAL MGMT		DHI	S	40,000	16.89	n/a	n/a	non-brg	4.0
SCOPUS FUND	041	DOV	B	9,300	56.58	n/a	n/a	372.00	4.0
HIGHFIELDS CAP MGMT	030	DVN	S	225,000	60.11	n/a	18-May	6,750.00	3.0
CLOVIS CAPITAL	033	ENS	SS	45,000	30.30	n/a	n/a	1,350.00	3.0
CATAPULT	040	EXPE	B	16,956	45.30	n/a	n/a	678.24	4.0
FARALLON CAP MGMT	040	FB	SS	300,000	31.97	n/a	n/a	9,000.00	3.0
SUFFOLK CAPITAL MGMT	040	FB	B	150,100	31.93	n/a	n/a	6,004.00	4.0
PEAK INV LLC	084	FCX	S	27,000	32.39	n/a	n/a	1,080.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		FDO	B	10,000	64.61	n/a	7-May	non-brg	4.0
NEUBERGER BERMAN	036	FEIC	B	16,400	43.99	n/a	n/a	656.00	4.0
ß BUCK CAPITAL MGMT		FINL	S	100,000	21.87	n/a	2-Apr	non-brg	4.0
ß BUCK CAPITAL MGMT		FINL	S	80,000	21.82	n/a	2-Apr	non-brg	4.0
ß BUCK CAPITAL MGMT		FL	B	50,000	31.00	n/a	18-May	non-brg	4.0
ß BUCK CAPITAL MGMT		FL	B	50,000	31.09	n/a	18-May	non-brg	4.0
ß BUCK CAPITAL MGMT		FNP	SS	100,000	12.00	n/a	n/a	non-brg	4.0
f KEVIN RICHARD CARROL	FID	FXE	S	2	124.95	n/a	n/a	0.00	0.0
PEAK INV LLC	084	F	S	125,000	10.32	n/a	2-May	5,000.00	4.0
ß BUCK CAPITAL MGMT		GCO	B	15,000	67.30	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GCO	B	25,000	68.88	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GCO	B	25,000	68.89	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GCO	S	10,000	69.97	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GCO	S	10,000	69.97	n/a	n/a	non-brg	4.0
f JOHN MICHAEL ZOLIDIS	FID	GCO	B	100	71.14	n/a	n/a	0.00	0.0
f IAN L MILLER	FID	GDX	B	20	42.12	n/a	n/a	0.00	0.0
HIGHBRIDGE CAP	041	GE	B	27,000	19.08	n/a	n/a	810.00	3.0
TUDOR INVESTORS	028	GGC	B	5,000	29.90	n/a	n/a	150.00	3.0
ß BUCK CAPITAL MGMT		GIII	B	10,000	23.58	n/a	n/a	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
ß	BUCK CAPITAL MGMT		GIII	B	10,000	23.58	n/a	n/a	non-brg 4.0
f	IAN L MILLER	FID	GLD	B	5	149.30	n/a	n/a	0.00 0.0
	BASSWOOD PARTNERS	267	HBC	SS	12,230	40.07	n/a	n/a	489.20 4.0
	NEUBERGER BERMAN	036	HITT	B	8,819	49.45	n/a	n/a	352.76 4.0
ß	BUCK CAPITAL MGMT		HLF	S	170,000	44.37	n/a	n/a	non-brg 4.0
	CONIFER/ISF	025	HPQ	B	25,000	21.02	n/a	n/a	1,000.00 4.0
	CLOVIS CAPITAL	033	INTC	B	310,000	25.23	n/a	n/a	9,300.00 3.0
	PEAK INV LLC	084	INTC	S	22,000	25.28	n/a	n/a	880.00 4.0
	LATEFF MGMT	035	IP	B	2,375	29.30	n/a	27-Apr	356.25 15.0
ß	BUCK CAPITAL MGMT		JNY	B	50,000	9.44	n/a	26-Apr	non-brg 3.0
	SIMMONS VENTURES	041	JNY	B	10,000	9.35	n/a	26-Apr	400.00 4.0
	DECADE CAPITAL PARTNERS	040	JPM	B	29,500	34.01	n/a	18-May	1,180.00 4.0
	NEUBERGER BERMAN	036	KFT	B	15,000	38.60	n/a	n/a	600.00 4.0
	WEINTRAUB CAPITAL MGT.	269	KSS	B	25,000	49.00	n/a	11-May	1,000.00 4.0
ß	BUCK CAPITAL MGMT		LEN	S	30,000	28.18	n/a	n/a	non-brg 4.0
	DECADE CAPITAL PARTNERS	040	LOW	B	10,000	25.44	n/a	22-May	400.00 4.0
ß	BUCK CAPITAL MGMT		LULU	C	25,000	70.30	n/a	10-Apr	non-brg 2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		LULU	C	40,000	70.30	n/a	10-Apr	non-brg	2.5
DAVID GEORGE BUCK	FID	MET	S	4000	30.41	n/a	n/a	0.00	0.0
JASON ERIC COHEN	FID	MINI	B	10	0.75	n/a	n/a	0.00	0.0
WILLIAM J GAULT	FID	MINI	B	1000	13.58	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		MSMSBCM	C	1,573,882	103.63	n/a	n/a	non-brg	0.5
BUCK CAPITAL MGMT		MSMSBCM	C	1,650,000	103.63	n/a	n/a	non-brg	0.5
BUCK CAPITAL MGMT		MSMSBCM	SS	1,573,882	103.63	n/a	n/a	non-brg	0.0
BUCK CAPITAL MGMT		MSMSBCM	SS	1,650,000	103.63	n/a	n/a	non-brg	0.0
BUCK CAPITAL MGMT		MSMSBCM	SS	25,000	103.39	n/a	n/a	non-brg	8.3
BUCK CAPITAL MGMT		MSMSBCM	SS	35,000	103.79	n/a	n/a	non-brg	8.3
CSFB GLOBAL PROPRIETARY	041	MWV	S	100,000	27.52	n/a	25-Apr	5,000.00	5.0
SCOPUS FUND	041	M	B	85,000	36.46	n/a	10-May	3,400.00	4.0
SIMMONS VENTURES	041	M	B	5,000	36.39	n/a	10-May	200.00	4.0
JONATHAN RICHARD HAR	FID	NFLX	S	70	69.13	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	040	NKE	SS	5,000	106.70	n/a	23-Mar	200.00	4.0
BRONSON POINT	036	NOC	SS	25,000	58.66	n/a	27-Apr	750.00	3.0
BUCK CAPITAL MGMT		NWY	B	15,700	3.37	n/a	n/a	non-brg	2.0
NEWLAND CAPITAL MGT	025	OI	S	25,000	19.24	n/a	n/a	1,000.00	4.0
BUCK CAPITAL MGMT		PAG	S	60,000	24.65	n/a	26-Apr	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⚡ BUCK CAPITAL MGMT		PETM	S	50,000	60.45	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		PII	S	20,000	76.30	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		PII	S	20,000	76.41	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		PSMT	S	10,000	69.55	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		PVH	S	10,000	76.06	n/a	9-May	non-brg	4.0
⚡ BUCK CAPITAL MGMT		PVH	S	40,000	75.99	n/a	9-May	non-brg	4.0
⚡ BUCK CAPITAL MGMT		PVH	S	40,000	75.99	n/a	9-May	non-brg	4.0
RAINIER INV MGMT	035	RJF	B	59,100	33.05	n/a	n/a	2,364.00	4.0
⚡ BUCK CAPITAL MGMT		RL	C	17,500	148.93	23-May	23-May	non-brg	4.0
⚡ BUCK CAPITAL MGMT		RYL	S	30,000	22.72	n/a	n/a	non-brg	4.0
f ANGELOS EFSTATHIOU	FID	SBUX	B	100	54.37	n/a	27-Apr	0.00	0.0
f DAVID GEORGE BUCK	FID	SBUX	S	20	0.56	n/a	27-Apr	0.00	0.0
f IAN L MILLER	FID	SDS	S	100	17.39	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		SHOO	S	50,000	39.54	n/a	n/a	non-brg	4.0
HIGHBRIDGE CAP	041	SHW	B	2,200	119.94	23-May	23-May	66.00	3.0
f KAREN F LEDDY	FID	SIMO	S	1700	13.20	n/a	n/a	0.00	0.0
HIGHBRIDGE CAP	041	SPN	S	12,000	21.15	n/a	n/a	360.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	SYNT	B	6,200	56.02	n/a	n/a	248.00	4.0
B BUCK CAPITAL MGMT		TFM	SS	50,000	47.18	n/a	n/a	non-brg	4.0
PEAK INV LLC	084	TIF	S	10,500	61.20	n/a	n/a	420.00	4.0
SCOPUS FUND	041	TJX	B	75,000	40.61	n/a	16-May	3,000.00	4.0
NWQ INVESTMENT MGMT CO	084	TLM	S	91,000	9.80	n/a	n/a	2,730.00	3.0
B BUCK CAPITAL MGMT		TOL	S	20,000	27.71	n/a	n/a	non-brg	4.0
f IAN L MILLER	FID	USO	B	30	33.93	n/a	n/a	0.00	0.0
f WILLIAM J GAULT	FID	VXX	S	2000	21.15	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	V	B	400	118.09	n/a	2-May	0.00	0.0
SONTERRA CAP	041	WFT	B	30,000	12.50	n/a	n/a	1,200.00	4.0
ASCEND PARTNERS	033	WMT	C	103,268	63.89	n/a	18-May	3,098.04	3.0
LATEFF MGMT	035	WMT	S	2,100	64.41	n/a	18-May	355.75	17.9
CSFB GLOBAL PROPRIETARY	041	WY	B	50,000	19.47	n/a	4-May	2,500.00	5.0
KAM ADVISORS LLC	041	XLE	SS	65,400	65.14	n/a	n/a	1,962.00	3.0
f BARBARA S LEDDY	FID	XPO	S	625	16.21	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	XPO	S	800	16.35	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f IAN L MILLER	FID	ZSL	S	20	70.97	n/a	n/a	0.00	0.0
TOTAL (Trade Date):							91,612.44		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	05/22	HALCYON LLC	041	USO	B	20,000	34.43	n/a	n/a	400.00 2.0
AO,CXL	05/22	HALCYON LLC	041	USO	B	20,000	34.43	n/a	n/a	600.00 3.0

TOTAL (AO, CXL, CRT) :	-200.00
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TOTAL (Trade Date) :	91,612.44
TOTAL (AO, CXL, CRT) :	-200.00

TOTAL (RUN DATE) / NFS:	91,412.44
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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 23-May.

RL, SHW

MRI Securities without Trade Activity on 23-May.

NONE

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)