



Daily Compliance Activity Report

Trade Date: 02/08/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TRELLUS PARTNERS LP	028	APA	B	30,000	105.00	n/a	23-Jan	900.00	3.0
BALYASNY ASSET MGMT	044	ARCO	C	24,200	21.00	n/a	6-Feb	1,210.00	5.0
EPOCH INV MGMT	030	ARCO	B	4,155	20.48	n/a	6-Feb	124.65	3.0
MACQUARIE INVESTMENT MGMT.	040	ARCO	B	2,500	20.60	n/a	6-Feb	0.00	0.0
ETON PARK CAPITAL	041	BAC	SS	1,000,000	8.07	n/a	6-Feb	40,000.00	4.0
ß BUCK CAPITAL MGMT		BBBY	S	20,000	61.25	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BBBY	S	30,000	61.26	n/a	n/a	non-brg	4.0
f JOSEPH CIRO AMATURO	FID	BEAV	S	1000	45.65	n/a	8-Feb	0.00	0.0
ß BUCK CAPITAL MGMT		BODY	S	10,000	26.33	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BODY	S	10,000	26.33	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BONT	B	41,250	5.23	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		BONT	B	41,250	5.23	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		BWLD	C	30,000	80.49	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BWLD	C	50,000	81.12	n/a	n/a	non-brg	2.5
Õ Nilsa Vazquez		BZH	S	4000	3.88	n/a	n/a	0.00	0.0
PARKWEST	084	CAP	S	13,300	19.10	n/a	n/a	532.00	4.0
CATAPULT CAP/DEFranco	040	CMP	B	31,658	75.73	n/a	n/a	1,266.32	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JONATHAN RICHARD HAR	FID	CROX	S	250	20.46	n/a	n/a	0.00	0.0
PRIMECAP MGMT	084	CSCO	S	70,700	20.31	n/a	n/a	2,828.00	4.0
f KAREN F LEDDY	FID	CVGI	B	1000	12.58	n/a	n/a	0.00	0.0
CATAPULT	040	CVI	S	25,000	27.15	n/a	n/a	1,000.00	4.0
f JOSEPH CIRO AMATURO	FID	DRYS	B	10000	2.90	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	EQR	B	1200	59.16	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	EQR	B	300	59.25	n/a	n/a	0.00	0.0
FARALLON CAP MGMT	040	FIS	S	29,800	28.92	n/a	n/a	1,192.00	4.0
f MARGARET ANNE MCAULE	FID	FSC	B	100	10.34	n/a	n/a	0.00	0.0
ROYCE TRADING	031	GB	S	1,500	24.74	n/a	n/a	75.00	5.0
ß BUCK CAPITAL MGMT		GCO	B	25,000	64.06	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GCO	B	25,000	64.06	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GIL	B	750	22.25	n/a	23-Jan	non-brg	1.0
f KEVIN MICHAEL O'GORM	FID	GLW	B	2000	13.82	n/a	6-Feb	0.00	0.0
ß BUCK CAPITAL MGMT		GMCR	S	20,000	64.59	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GMCR	S	20,000	65.29	n/a	n/a	non-brg	4.0
TUDOR INVESTORS	028	GMT	SS	5,000	43.23	n/a	n/a	150.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DEVENNY CAP LLC	044	GM	SS	15,900	25.79	n/a	2-Feb	477.00	3.0
OZ MGMT	040	GM	SS	50,000	26.08	n/a	2-Feb	1,500.00	3.0
PHILADELPHIA FINANCIAL	033	GM	SS	25,000	26.30	n/a	2-Feb	1,000.00	4.0
ROSEDALE CAPITAL	046	GM	SS	15,000	26.23	n/a	2-Feb	750.00	5.0
PARKWEST	084	GNTX	B	25,000	26.23	n/a	1-Feb	1,000.00	4.0
B BUCK CAPITAL MGMT		GPS	C	30,000	21.27	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GPS	C	40,000	21.52	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	GSK	B	1000	44.41	n/a	n/a	0.00	0.0
ROYCE TRADING	031	GY	B	15,000	5.54	n/a	n/a	750.00	5.0
ROYCE TRADING	031	HAR	S	2,000	46.38	n/a	3-Feb	100.00	5.0
RBC CAPITAL MARKETS	040	HD	S	10,000	45.34	n/a	8-Feb	400.00	4.0
ROYCE TRADING	031	HXL	S	4,500	26.36	n/a	30-Jan	225.00	5.0
ROYCE TRADING	031	IN	S	5,000	7.98	n/a	n/a	250.00	5.0
ROYCE TRADING	031	IRF	B	5,000	22.19	n/a	n/a	250.00	5.0
DSG CAPITAL	030	JCI	B	10,000	32.52	n/a	19-Jan	300.00	3.0
ROYCE TRADING	031	KAMN	S	1,000	33.11	n/a	n/a	50.00	5.0
ROYCE TRADING	031	KEM	S	5,000	9.81	n/a	n/a	250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROYCE TRADING	031	KMPR	B	5,000	28.87	n/a	n/a	250.00	5.0
f DAVID GEORGE BUCK	FID	KVA	S	5000	2.67	n/a	n/a	0.00	0.0
ROYCE TRADING	031	KWR	S	1,800	46.38	n/a	n/a	90.00	5.0
SANDLER O'NEILL ASSET	031	LAZ	B	10,000	26.58	n/a	6-Feb	500.00	5.0
ß BUCK CAPITAL MGMT		LIZ	S	30,000	9.76	n/a	7-Oct	non-brg	3.0
DAVIDSON INV ADV	035	LL	S	3,200	22.32	n/a	n/a	128.00	4.0
f IAN L MILLER	FID	LMT	S	15	87.26	n/a	30-Jan	0.00	0.0
ß BUCK CAPITAL MGMT		LTD	S	20,000	44.63	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		LTD	S	20,000	44.64	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		MSMSBCM	C	1,229,847	104.44	n/a	n/a	non-brg	0.3
ß BUCK CAPITAL MGMT		MSMSBCM	C	1,500,847	104.44	n/a	n/a	non-brg	0.3
ß BUCK CAPITAL MGMT		MSMSBCM	SS	1,186,323	104.44	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		MSMSBCM	SS	1,447,733	104.44	n/a	n/a	non-brg	0.0
SANDLER O'NEILL ASSET	031	MS	S	50,000	20.25	n/a	6-Feb	2,500.00	5.0
DELTEC ASSET MGMT.	040	MTW	S	10,000	16.11	n/a	2-Feb	500.00	5.0
ROYCE TRADING	031	MTX	B	6,101	67.81	n/a	n/a	305.05	5.0
SASCO	033	NBR	B	396,255	19.55	n/a	n/a	13,868.93	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
JENNISON	070	NTAP	B	314,148	39.71	n/a	n/a	11,623.46	3.7
f KATHERINE L O'GORMAN	FID	PG	B	500	63.71	n/a	6-Feb	0.00	0.0
ROYCE TRADING	031	PKE	S	1,000	30.55	n/a	n/a	50.00	5.0
f DAVID GEORGE BUCK	FID	PNRA	S	800	148.81	n/a	8-Feb	0.00	0.0
ß BUCK CAPITAL MGMT		PSMT	B	25,000	69.15	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		PSMT	B	25,000	69.15	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		RCL	B	50,000	31.51	n/a	n/a	non-brg	4.0
BAIRD INVESTMENT	047	RDC	B	18,350	36.97	n/a	n/a	917.50	5.0
f DAVID GEORGE BUCK	FID	RDSB	B	500	73.89	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		RL	C	27,500	172.27	n/a	23-Jan	non-brg	4.0
ß BUCK CAPITAL MGMT		RL	C	50,000	173.30	n/a	23-Jan	non-brg	4.0
ß BUCK CAPITAL MGMT		RL	C	57,500	175.13	n/a	23-Jan	non-brg	4.0
LISTED ERR	099	RRGB	SS	1,500	33.28	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	SIMO	B	325	19.88	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	SIMO	B	1700	19.82	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	SPG	B	4,500	136.94	n/a	n/a	180.00	4.0
TUDOR INVESTORS	028	SPW	B	3,000	72.31	n/a	n/a	90.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NOKOMIS PARTNERS	031	STX	S	30,000	26.79	n/a	n/a	900.00	3.0
BNP PARIBAS SEC	040	TGT	SS	50,000	52.32	n/a	8-Feb	2,500.00	5.0
⌘ BUCK CAPITAL MGMT		TGT	S	10,000	52.32	n/a	8-Feb	non-brg	1.0
⌘ BUCK CAPITAL MGMT		TGT	S	70,900	52.33	n/a	8-Feb	non-brg	4.0
⌘ BUCK CAPITAL MGMT		TIF	SS	20,000	63.74	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		TPX	B	5,000	69.77	n/a	n/a	non-brg	4.0
DAVIDSON INV ADV	035	TRLG	B	22,015	36.96	n/a	n/a	880.60	4.0
IRIDIAN ASSET MGMT.	036	TYC	B	20,680	50.19	n/a	2-Feb	1,034.00	5.0
⌘ BUCK CAPITAL MGMT		URBN	B	100,000	27.12	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		URBN	B	100,000	27.25	n/a	n/a	non-brg	4.0
BRONSON POINT	036	UTX	C	25,000	81.63	n/a	n/a	750.00	3.0
f MATTHEW FRANCIS BUCK	FID	VNO	S	400	85.13	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	VRA	B	100	36.38	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	WAG	B	200	33.04	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	297	WBS	B	29,400	22.99	n/a	n/a	1,176.00	4.0
TRUSTCO/SUNTRUST	040	WMT	B	25,130	61.49	n/a	8-Feb	879.57	3.5
⌘ BUCK CAPITAL MGMT		WSM	S	20,000	36.71	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f KAREN F LEDDY	FID	XPO	B	2000	11.96	n/a	n/a	0.00	0.0
KLEINHEINZ CAP PART	031	YUM	B	50,000	65.44	8-Feb	8-Feb	2,500.00	5.0
SIMMONS VENTURES	041	ZUMZ	SS	5,000	29.25	n/a	n/a	200.00	4.0
f ANTHONY SUTERA	FID		B	25000	92.10	n/a	n/a	0.00	0.0
f ANTHONY SUTERA	FID		S	25000	103.46	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								98,403.08	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	02/07	SCOUT/UMB	047	GIL	S	800	21.32	n/a	23-Jan	24.00 3.0
AO,CRT	02/07	SCOUT/UMB	047	GIL	S	800	21.32	n/a	23-Jan	24.00 3.0
AO,CRT	02/07	KLEINHEINZ CAP PART	031	JCP	B	70,000	41.68	n/a	27-Jan	3500.00 5.0
AO,CXL	02/07	KLEINHEINZ CAP PART	031	JCP	B	70,000	41.81	n/a	27-Jan	3500.00 5.0
AO,CRT	02/07	DAVIDSON INV ADV	035	LL	S	35,700	22.57	n/a	n/a	1428.00 4.0
AO,CXL	02/07	DAVIDSON INV ADV	035	LL	S	35,700	22.57	n/a	n/a	1428.00 4.0
AO,	02/07	ROYCE TRADING	031	MTX	B	16,881	67.69	n/a	n/a	844.05 5.0
TOTAL (AO, CXL, CRT) :										844.05

TOTAL (Trade Date) :	98,403.08
TOTAL (AO, CXL, CRT) :	844.05

TOTAL (RUN DATE) / NFS :	99,247.13
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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 8-Feb.

YUM

MRI Securities without Trade Activity on 8-Feb.

IR, CHD, CRR, V

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)