



# Daily Compliance Activity Report

Trade Date: 05/03/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
BUCK CAPITAL MGMT		ACAT	S	20,000	44.51	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		ACAT	S	20,000	44.55	n/a	n/a	non-brg 4.0
BAIRD INVESTMENT	047	AGN	B	4,725	93.61	n/a	3-May	236.25 5.0
HIGHBRIDGE CAP	041	ALV	SS	2,358	63.42	n/a	30-Apr	70.74 3.0
BUCK CAPITAL MGMT		ARCO	B	30,000	17.04	n/a	1-May	non-brg 4.0
BUCK CAPITAL MGMT		ARO	S	100,000	21.73	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		ARO	S	100,000	22.60	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		ARO	S	4,000	22.02	n/a	n/a	non-brg 1.0
BUCK CAPITAL MGMT		ARO	S	46,000	21.57	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		ARO	S	8,000	22.02	n/a	n/a	non-brg 1.0
BUCK CAPITAL MGMT		ARO	S	8,000	22.02	n/a	n/a	non-brg 1.0
BUCK CAPITAL MGMT		ARO	S	92,000	21.57	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		ARO	S	92,000	21.57	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		BAC	B	63,000	7.92	n/a	3-May	non-brg 1.0
BUCK CAPITAL MGMT		BBBY	B	20,000	70.76	n/a	n/a	non-brg 4.0
HOPLITE MGMT	025	BKE	C	49	43.60	n/a	n/a	1.96 4.0
BUCK CAPITAL MGMT		BONT	B	50,000	5.43	n/a	n/a	non-brg 2.5
STATE TEACHERS RET SYS	047	BRES	S	50,000	17.87	n/a	n/a	2,500.00 5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	BTU	B	100	30.33	n/a	n/a	5.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>BWA</b>	<b>C</b>	<b>19,500</b>	<b>80.26</b>	<b>n/a</b>	<b>27-Apr</b>	<b>non-brg</b>	<b>4.0</b>
MILLRACE FUND LP	028	BWA	SS	2,000	79.72	n/a	27-Apr	80.00	4.0
SURVEYOR CAPITAL	251	BYD	SS	61,255	7.56	n/a	n/a	1,837.65	3.0
<b>Õ Nilsa Vazquez</b>		<b>BZH</b>	<b>B</b>	<b>2000</b>	<b>2.67</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SURVEYOR CAPITAL	251	CCL	B	80,804	32.57	n/a	n/a	2,424.12	3.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>CLX</b>	<b>B</b>	<b>1000</b>	<b>66.92</b>	<b>n/a</b>	<b>2-May</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>COST</b>	<b>B</b>	<b>10,000</b>	<b>84.14</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>CVGI</b>	<b>S</b>	<b>200</b>	<b>1.35</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NEUBERGER BERMAN	036	CYBX	B	17,300	38.13	n/a	n/a	692.00	4.0
ELM RIDGE ADVISORS	044	DDS	C	14,096	65.42	n/a	n/a	563.84	4.0
PATTEN & PATTEN	025	DOW	S	300	32.99	n/a	1-May	15.00	5.0
SURVEYOR CAPITAL	251	EAT	B	50,000	32.06	n/a	23-Apr	1,500.00	3.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>EL</b>	<b>S</b>	<b>1500</b>	<b>64.11</b>	<b>n/a</b>	<b>25-Apr</b>	<b>0.00</b>	<b>0.0</b>
SCOPUS FUND	041	FDO	B	30,000	69.18	n/a	3-Apr	1,200.00	4.0
BALYASNY ASSET MGMT	044	F	C	150,000	10.94	n/a	2-May	7,500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OZ MGMT	040	F	C	500,000	10.96	n/a	2-May	15,000.00	3.0
ß BUCK CAPITAL MGMT		GIII	B	16,700	26.36	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		GIL	B	50,000	27.81	n/a	19-Apr	non-brg	4.0
ß BUCK CAPITAL MGMT		GIL	B	60,000	27.58	n/a	19-Apr	non-brg	4.0
ß BUCK CAPITAL MGMT		GIL	B	70,000	27.19	n/a	19-Apr	non-brg	4.0
KLEINHEINZ CAP PART	031	GIL	S	25,000	26.95	n/a	19-Apr	1,250.00	5.0
ß BUCK CAPITAL MGMT		GMCR	B	10,000	25.47	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GMCR	B	10,000	25.47	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		GM	C	76,400	22.50	n/a	2-May	non-brg	4.0
ROBERTSON STEVENS BC	084	GPS	S	165,077	28.86	n/a	n/a	6,603.08	4.0
ß BUCK CAPITAL MGMT		GS	B	4,500	111.02	n/a	3-May	non-brg	1.0
ß BUCK CAPITAL MGMT		HBI	B	10,000	27.93	n/a	20-Apr	non-brg	4.0
ß BUCK CAPITAL MGMT		HBI	B	20,000	27.93	n/a	20-Apr	non-brg	4.0
ß BUCK CAPITAL MGMT		HLF	B	10,000	46.00	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		HLF	B	10,000	46.00	n/a	n/a	non-brg	4.0
DSG CAPITAL	030	HSC	B	16,200	19.97	n/a	2-May	486.00	3.0
SONTERRA CAP	041	HTZ	B	17,899	15.60	n/a	n/a	715.96	4.0
BALYASNY ASSET MGMT	044	IP	SS	25,000	33.13	n/a	27-Apr	1,250.00	5.0
RK CAPTIAL MGMT	046	IWM	SS	10,000	81.36	n/a	n/a	500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	IXN	B	100	68.68	n/a	n/a	5.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>JCP</b>	<b>C</b>	<b>20,000</b>	<b>34.38</b>	<b>n/a</b>	<b>19-Apr</b>	<b>non-brg</b>	<b>4.0</b>
PRIMECAP MGMT	084	JNJ	B	10,100	65.19	n/a	n/a	404.00	4.0
SIMMONS VENTURES	041	JNY	B	5,000	10.80	n/a	26-Apr	200.00	4.0
BNP PARIBAS SEC	040	JWN	B	25,000	57.54	n/a	30-Apr	1,250.00	5.0
MERCHANTS GATE CAP LP	036	JWN	SS	33,200	56.83	n/a	30-Apr	1,328.00	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>KO</b>	<b>S</b>	<b>300</b>	<b>77.36</b>	<b>n/a</b>	<b>25-Apr</b>	<b>0.00</b>	<b>0.0</b>
BNP PARIBAS SEC	040	KSS	B	25,000	50.75	n/a	30-Apr	1,250.00	5.0
MERCHANTS GATE CAP LP	036	KSS	SS	33,400	51.25	n/a	30-Apr	1,336.00	4.0
SIMMONS VENTURES	041	KSS	B	5,000	51.44	n/a	30-Apr	200.00	4.0
COOPER CREEK PART	028	LAD	SS	7,500	26.79	n/a	n/a	300.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>LEA</b>	<b>S</b>	<b>170,832</b>	<b>41.91</b>	<b>n/a</b>	<b>2-May</b>	<b>non-brg</b>	<b>4.0</b>
SURVEYOR CAPITAL	251	LEG	SS	37,010	21.81	n/a	n/a	1,110.30	3.0
SURVEYOR CAPITAL	251	LIZ	B	13,539	13.75	n/a	7-Oct	406.17	3.0
SURVEYOR CAPITAL	251	LL	SS	2,233	28.19	n/a	n/a	66.99	3.0
VERITION	028	LVS	B	5,000	54.45	n/a	13-Jun	150.00	3.0
CENTURION PARTNERS	041	MAS	S	21,000	14.44	n/a	n/a	840.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PRIMECAP MGMT	084	MNTA	B	7,000	15.04	n/a	n/a	280.00	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>MRK</b>	<b>B</b>	<b>1000</b>	<b>39.19</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>MRK</b>	<b>B</b>	<b>300</b>	<b>39.08</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MS</b>	<b>B</b>	<b>31,000</b>	<b>16.23</b>	<b>n/a</b>	<b>3-May</b>	<b>non-brg</b>	<b>1.0</b>
HIGHBRIDGE CAP	041	MTW	B	18,000	14.66	n/a	18-Apr	540.00	3.0
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>MTW</b>	<b>S</b>	<b>855</b>	<b>14.59</b>	<b>n/a</b>	<b>18-Apr</b>	<b>0.00</b>	<b>0.0</b>
OSKIE CAPITAL MGMT	224	MWV	B	20,000	28.83	n/a	25-Apr	1,000.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>M</b>	<b>B</b>	<b>20,000</b>	<b>40.45</b>	<b>n/a</b>	<b>30-Apr</b>	<b>non-brg</b>	<b>1.0</b>
CATAPULT	040	M	SS	24,500	41.24	n/a	30-Apr	980.00	4.0
MERCHANTS GATE CAP LP	036	M	SS	41,600	41.36	n/a	30-Apr	1,664.00	4.0
HIGHBRIDGE CAP	041	NOC	B	8,000	63.24	n/a	27-Apr	240.00	3.0
FIRST NEW YORK LEDDY	035	NOK	S	20,000	3.58	n/a	n/a	800.00	4.0
PATTEN & PATTEN	025	NSC	B	100	73.13	n/a	n/a	5.00	5.0
HIGHBRIDGE CAP	041	OC	B	4,500	34.85	n/a	n/a	135.00	3.0
HIGHBRIDGE CAP	041	PCAR	SS	4,000	42.06	n/a	25-Apr	120.00	3.0
SIMMONS VENTURES	041	PERY	B	5,000	18.29	n/a	n/a	200.00	4.0
COLUMBUS CIRCLE	036	PLXS	B	1,450	31.41	n/a	n/a	58.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	PXD	B	1,309	114.63	n/a	1-May	39.27	3.0
MERRILL ASSET/BLACKROCK	297	RSE	B	27,400	13.46	n/a	n/a	1,096.00	4.0
PATTEN & PATTEN	025	RSG	B	250	27.19	n/a	n/a	12.50	5.0
WEISS PECK - ROBECO INV		040 RTI	S		32,260	26.01	n/a	n/a	1,613.00 5.0
<b>B BUCK CAPITAL MGMT</b>		<b>RUSHA</b>	<b>B</b>	<b>20,000</b>	<b>18.16</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
PRIMECAP MGMT	084	SGEN	B	1,500	19.39	n/a	n/a	60.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>SHOO</b>	<b>S</b>	<b>20,000</b>	<b>43.08</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SHOO</b>	<b>S</b>	<b>20,000</b>	<b>43.12</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
ELM RIDGE ADVISORS	044	SKS	C	70,000	10.87	n/a	n/a	2,800.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>SKUL</b>	<b>B</b>	<b>1,900</b>	<b>15.21</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SKUL</b>	<b>B</b>	<b>30,000</b>	<b>15.01</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SKUL</b>	<b>B</b>	<b>38,100</b>	<b>15.03</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SURVEYOR CAPITAL	251	SPLS	B	66,000	15.13	n/a	n/a	1,980.00	3.0
HIGHBRIDGE CAP	041	SPN	S	10,000	26.70	n/a	n/a	300.00	3.0
<b>f RAVI SADARANGANI</b>	<b>FID</b>	<b>SRI</b>	<b>S</b>	<b>1000</b>	<b>9.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f HARALAMBOS EFSTATHI</b>	<b>FID</b>	<b>SWN</b>	<b>B</b>	<b>40</b>	<b>0.52</b>	<b>n/a</b>	<b>1-May</b>	<b>0.00</b>	<b>0.0</b>
THE JAY GOLDMAN	028	TGT	B	25,000	56.56	n/a	3-May	1,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COOPER CREEK PART	028	UFS	B	15,525	86.47	n/a	n/a	621.00	4.0
SCOPUS FUND	041	UFS	S	10,000	85.52	n/a	n/a	400.00	4.0
HIGHBRIDGE CAP	041	UPL	SS	13,000	19.70	n/a	1-May	390.00	3.0
PATTEN & PATTEN	025	V	S	50	117.01	n/a	2-May	2.50	5.0
PRIMECAP MGMT	084	V	B	2,500	118.88	n/a	2-May	100.00	4.0
SENATOR INVESTMENT GROUP	036	WTW	B	30,000	65.09	n/a	n/a	900.00	3.0
PATTEN & PATTEN	025	WY	S	200	20.43	n/a	27-Apr	10.00	5.0
<b>TOTAL (Trade Date) :</b>								<b>70,624.33</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	05/01	BRONSON POINT	036	MANT	SS	10,800	31.55	n/a	n/a	216.00	2.0
AO,CRT	05/01	BRONSON POINT	036	MANT	SS	10,800	31.55	n/a	n/a	324.00	3.0
AO,CRT	05/01	BRONSON POINT	036	MO	SS	6,000	32.39	n/a	n/a	180.00	3.0
AO,CXL	05/01	BRONSON POINT	036	MO	SS	6,000	32.39	n/a	n/a	120.00	2.0
AO,CRT	05/01	BRONSON POINT	036	NOC	SS	13,600	63.39	n/a	27-Apr	408.00	3.0
AO,CXL	05/01	BRONSON POINT	036	NOC	SS	13,600	63.39	n/a	27-Apr	272.00	2.0
AO,CRT	05/02	ROTHSCHILD ASSET	040	NWE	B	220	35.16	n/a	n/a	8.80	4.0
AO,CXL	05/02	ROTHSCHILD ASSET	040	NWE	B	220	35.16	n/a	n/a	8.80	4.0
AO,CXL	05/02	ROTHSCHILD ASSET	040	RBN	B	10	48.97	n/a	n/a	0.40	4.0
AO,CRT	05/02	ROTHSCHILD ASSET	040	RBN	B	10	48.97	n/a	n/a	0.40	4.0

**TOTAL (AO, CXL, CRT) :****304.00**

TOTAL (Trade Date):

70,624.33

TOTAL (AO, CXL, CRT):

304.00

**TOTAL (RUN DATE) / NFS:****70,928.33**



### 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 3-May.  
NONE

MRI Securities without Trade Activity on 3-May.  
ETN, SPR, ARG

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)**