



# Daily Compliance Activity Report

Trade Date: 08/08/2012

Potential ANALYST TRADE Violations: 0

Watch List **ACTIVITY ALERT: 2**

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
COHE & STEERS	041	AMT	B	25,639	70.37	n/a	n/a	1,025.56	0.0
<b>f KEVIN MICHAEL O'GORM</b>	<b>FID</b>	<b>ANF</b>	<b>B</b>	<b>10</b>	<b>4.57</b>	<b>n/a</b>	<b>6-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>APC</b>	<b>B</b>	<b>100</b>	<b>70.99</b>	<b>n/a</b>	<b>31-Jul</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ARO</b>	<b>S</b>	<b>101,778</b>	<b>13.44</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ARO</b>	<b>S</b>	<b>25,000</b>	<b>13.44</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ARO</b>	<b>S</b>	<b>90,000</b>	<b>13.44</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ASNA</b>	<b>S</b>	<b>20,000</b>	<b>18.31</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
FIRST NY SEC/CHRIS	041	ASNA	B	15,000	18.29	n/a	n/a	450.00	3.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>AXP</b>	<b>B</b>	<b>5000</b>	<b>58.23</b>	<b>n/a</b>	<b>7-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BID</b>	<b>C</b>	<b>50,000</b>	<b>30.56</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
FIRST NY SEC/CHRIS	041	BODY	B	10,000	8.84	n/a	n/a	500.00	5.0
BALLAST CAP	040	BTU	S	11,000	21.77	n/a	n/a	550.00	5.0
<b>f IAN L MILLER</b>	<b>FID</b>	<b>CABDX</b>	<b>B</b>	<b>124</b>	<b>4.04</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
HALCYON LLC	041	CHMT	B	15,000	16.37	n/a	18-Feb	450.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>CLH</b>	<b>C</b>	<b>9,000</b>	<b>55.67</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
OHIO PERS	047	CREE	S	29,853	26.85	n/a	n/a	895.59	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HALCYON LLC	041	CTL	SS	2,250	41.88	n/a	n/a	67.50	0.0
<b>f KEVIN MICHAEL O'GORM</b>	<b>FID</b>	<b>CVGI</b>	<b>S</b>	<b>500</b>	<b>8.56</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE035		CYBX		S	9,568	44.16	n/a	n/a	287.04 0.0
<b>f LBP ENTERPRISES INC</b>	<b>FID</b>	<b>DFZ</b>	<b>S</b>	<b>1000</b>	<b>13.71</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f SNEJANA P GARFUNKEL</b>	<b>FID</b>	<b>DFZ</b>	<b>S</b>	<b>1000</b>	<b>13.75</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DG</b>	<b>B</b>	<b>20,000</b>	<b>52.29</b>	<b>n/a</b>	<b>27-Jun</b>	<b>non-brg</b>	<b>4.0</b>
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>DXPE</b>	<b>B</b>	<b>44</b>	<b>7.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f KATHERINE L O'GORMAN</b>	<b>FID</b>	<b>ENDP</b>	<b>B</b>	<b>270</b>	<b>30.79</b>	<b>n/a</b>	<b>8-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>ENDP</b>	<b>B</b>	<b>5000</b>	<b>30.79</b>	<b>n/a</b>	<b>8-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>ESSX</b>	<b>S</b>	<b>6700</b>	<b>4.40</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SCOUT/UMB	047	EXPE	S	16,796	57.87	n/a	n/a	503.88	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>FDO</b>	<b>B</b>	<b>15,000</b>	<b>66.15</b>	<b>n/a</b>	<b>19-Jul</b>	<b>non-brg</b>	<b>4.0</b>
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE035		FEIC		S	13,217	55.02	n/a	n/a	396.51 0.0
<b>B BUCK CAPITAL MGMT</b>		<b>FL</b>	<b>S</b>	<b>30,000</b>	<b>34.85</b>	<b>n/a</b>	<b>8-Aug</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>FL</b>	<b>S</b>	<b>60,000</b>	<b>34.55</b>	<b>n/a</b>	<b>8-Aug</b>	<b>non-brg</b>	<b>4.0</b>
<b>f IAN L MILLER</b>	<b>FID</b>	<b>FOR</b>	<b>B</b>	<b>50</b>	<b>12.12</b>	<b>n/a</b>	<b>20-Jul</b>	<b>0.00</b>	<b>0.0</b>
OSKIE CAPITAL MGMT	224	FRGI	B	8,535	15.25	n/a	n/a	426.75	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f IAN L MILLER</b>	<b>FID</b>	<b>F</b>	<b>B</b>	<b>125</b>	<b>9.36</b>	<b>n/a</b>	<b>2-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GES</b>	<b>B</b>	<b>50,000</b>	<b>31.06</b>	<b>n/a</b>	<b>18-Jul</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GES</b>	<b>B</b>	<b>50,000</b>	<b>31.12</b>	<b>n/a</b>	<b>18-Jul</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GIL</b>	<b>S</b>	<b>16,000</b>	<b>30.17</b>	<b>n/a</b>	<b>3-Aug</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GIL</b>	<b>S</b>	<b>20,000</b>	<b>30.20</b>	<b>n/a</b>	<b>3-Aug</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GPS</b>	<b>S</b>	<b>20,000</b>	<b>34.42</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SCOPUS FUND	041	GPS	S	41,200	34.65	n/a	n/a	1,648.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>HBI</b>	<b>S</b>	<b>16,000</b>	<b>31.96</b>	<b>n/a</b>	<b>1-Aug</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>HBI</b>	<b>S</b>	<b>20,000</b>	<b>31.83</b>	<b>n/a</b>	<b>1-Aug</b>	<b>non-brg</b>	<b>4.0</b>
NEUBERGER BERMAN	036	HPP	S	25,000	17.36	n/a	n/a	1,000.00	0.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>IFF</b>	<b>S</b>	<b>250</b>	<b>61.98</b>	<b>n/a</b>	<b>8-Aug</b>	<b>0.00</b>	<b>0.0</b>
HALCYON LLC	041	IWM	S	20,000	80.05	n/a	n/a	400.00	2.0
<b>B BUCK CAPITAL MGMT</b>		<b>JIVE</b>	<b>B</b>	<b>25,000</b>	<b>16.03</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f CICILY S BACKUS</b>	<b>FID</b>	<b>JPMPRW</b>	<b>B</b>	<b>2000</b>	<b>25.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f SNEJANA P GARFUNKEL</b>	<b>FID</b>	<b>JPMPRW</b>	<b>B</b>	<b>1000</b>	<b>25.56</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JWN</b>	<b>S</b>	<b>20,000</b>	<b>55.32</b>	<b>n/a</b>	<b>3-Aug</b>	<b>non-brg</b>	<b>4.0</b>
NEUBERGER BERMAN	036	KIM	S	32,900	19.44	n/a	n/a	1,316.00	0.0
BALYASNY ASSET MGMT	044	KSS	SS	25,000	52.01	n/a	3-Aug	1,250.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVIN CAPITAL STRATEGIES	041	KSS	SS	12,000	51.82	n/a	3-Aug	360.00	0.0
<b>f IAN L MILLER</b>	<b>FID</b>	<b>LEA</b>	<b>B</b>	<b>25</b>	<b>39.55</b>	<b>n/a</b>	<b>3-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>f RAVI SADARANGANI</b>	<b>FID</b>	<b>LEA</b>	<b>B</b>	<b>22</b>	<b>1.40</b>	<b>n/a</b>	<b>3-Aug</b>	<b>0.00</b>	<b>0.0</b>
BALLAST CAP	040	LPX	S	15,800	11.79	n/a	31-Jul	474.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>LTD</b>	<b>S</b>	<b>30,000</b>	<b>49.65</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
HALCYON LLC	041	LYV	SS	60,900	9.21	n/a	n/a	1,827.00	3.0
LEVIN CAPITAL STRATEGIES	041	MHP	S	5,000	49.00	n/a	n/a	150.00	0.0
BASSWOOD PARTNERS	267	MS	B	20,000	14.55	n/a	2-Aug	800.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>MW</b>	<b>B</b>	<b>20,000</b>	<b>29.37</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MW</b>	<b>B</b>	<b>20,000</b>	<b>29.37</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
CSFB GLOBAL PROPRIETARY	041	NP	B	20,000	27.77	n/a	20-Jul	1,000.00	5.0
FARALLON CAP MGMT	040	NTAP	S	105,000	32.96	n/a	n/a	3,150.00	3.0
OHIO PERS	047	NVDA	B	50,000	14.22	n/a	n/a	1,500.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>NWY</b>	<b>S</b>	<b>20,000</b>	<b>4.26</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
LEVIN CAPITAL STRATEGIES	041	OMC	S	12,500	51.35	n/a	n/a	375.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>PCLN</b>	<b>C</b>	<b>3,008</b>	<b>581.27</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
CAERUS GLOBAL	041	PENN	B	2,650	37.91	n/a	n/a	106.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MANNY I KORMAN	FID	PFE	B	10000	23.75	n/a	n/a	0.00	0.0
LISTED ERR	099	PLCE	B	39	50.65	n/a	8-Aug	0.00	0.0
LISTED ERR	099	PLCE	S	39	51.54	n/a	8-Aug	0.00	0.0
f IAN L MILLER	FID	QUASX	B	12	40.39	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		RGS	C	32,000	17.41	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		RGS	C	32,000	17.41	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		RL	C	20,000	147.04	n/a	18-Jul	non-brg	4.0
f MANNY I KORMAN	FID	SBUX	B	5000	45.09	n/a	27-Jul	0.00	0.0
B BUCK CAPITAL MGMT		SKUL	S	20,000	15.06	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SYU	SS	100,000	28.72	n/a	n/a	non-brg	4.0
HALCYON LLC	041	S	SS	22,601	4.52	n/a	n/a	452.02	2.0
ASCEND PARTNERS	033	TAP	S	46,005	43.94	n/a	n/a	2,300.25	0.0
B BUCK CAPITAL MGMT		TJX	S	20,000	45.04	n/a	3-Aug	non-brg	4.0
CONIFER	025	TROW	B	10,000	61.22	n/a	n/a	400.00	4.0
HALCYON LLC	041	TWC	SS	2,850	89.17	n/a	n/a	85.50	0.0
HALCYON LLC	041	TWX	SS	11,550	42.11	n/a	n/a	346.50	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f CHRISTOPHER ROBERT C</b>	<b>FID</b>	<b>URI</b>	<b>B</b>	<b>75</b>	<b>32.09</b>	<b>n/a</b>	<b>17-Apr</b>	<b>0.00</b>	<b>0.0</b>
OSKIE CAPITAL MGMT	224	VC	S	45,000	38.94	n/a	n/a	2,250.00	5.0
HALCYON LLC	041	VIAB	SS	9,300	49.12	n/a	n/a	279.00	0.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>WCRX</b>	<b>B</b>	<b>5000</b>	<b>16.47</b>	<b>n/a</b>	<b>8-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARK ANTHONY GRONET</b>	<b>FID</b>	<b>WCRX</b>	<b>B</b>	<b>2000</b>	<b>16.70</b>	<b>n/a</b>	<b>8-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>f KAREN F LEDDY</b>	<b>FID</b>	<b>WNC</b>	<b>B</b>	<b>1100</b>	<b>6.89</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>WRC</b>	<b>B</b>	<b>40,000</b>	<b>47.61</b>	<b>n/a</b>	<b>7-Aug</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>WRC</b>	<b>B</b>	<b>40,000</b>	<b>47.61</b>	<b>n/a</b>	<b>7-Aug</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>WWW</b>	<b>SS</b>	<b>25,000</b>	<b>45.79</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>WWW</b>	<b>SS</b>	<b>50,000</b>	<b>45.88</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
TUDOR INVESTORS	028	ZUMZ	SS	12,500	35.25	n/a	n/a	375.00	3.0
<b>TOTAL (Trade Date):</b>							<b>27,397.10</b>		

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	08/07	COHE & STEERS	041	OFC	B	220	22.74	n/a	n/a	6.60	0.0
AO,CXL	08/07	COHE & STEERS	041	OFC	B	220	22.74	n/a	n/a	6.60	0.0
AO,CRT	08/07	PARKWEST	084	TFM	B	10,000	60.60	n/a	n/a	400.00	4.0
AO,CXL	08/07	PARKWEST	084	TFM	B	10,000	60.60	n/a	n/a	300.00	3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>100.00</b>	

TOTAL (Trade Date) :	27,397.10
TOTAL (AO, CXL, CRT) :	100.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>27,497.10</b>
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CXL	08/07	BUCK CAPITAL MGMT.	LTD	S	70,000	50.58	n/a	n/a	2800.00	
CRT	08/07	BUCK CAPITAL MGMT	LTD	S	70,000	50.32	n/a	n/a	2800.00	4.0
CXL	08/07	BUCK CAPITAL MGMT.	RGS	C	25,644	17.34	n/a	n/a	641.10	
CRT	08/07	BUCK CAPITAL MGMT	RGS	C	25,644	17.33	n/a	n/a	641.10	2.5

MRI Securities with Trade Activity on 8-Aug.  
NONE

MRI Securities without Trade Activity on 8-Aug.  
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)**