



# Daily Compliance Activity Report

Trade Date: 09/04/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f MICHAEL ALEXANDER SM</b>	<b>FID</b>	<b>AAPL</b>	<b>S</b>	<b>2</b>	<b>2.19</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NEUBERGER BERMAN	036	AMT	B	14,729	70.00	n/a	n/a	589.16	0.0
RBC CAPITAL MARKETS	040	ANF	B	19,000	34.95	n/a	16-Aug	760.00	4.0
SEVEN LOCKS CAPITAL	025	AOS	S	2,750	55.33	n/a	19-Jul	82.50	3.0
<b>f JOHN MICHAEL ZOLIDIS</b>	<b>FID</b>	<b>APP</b>	<b>B</b>	<b>4000</b>	<b>1.08</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ARSENAL ASSET MANAGEMENT	028	ASH	S	18,976	72.59	n/a	23-Aug	759.04	0.0
ARSENAL ASSET MANAGEMENT	028	AXL	SS	50,000	11.20	n/a	30-Jul	2,000.00	0.0
MILLRACE FUND LP	028	AXL	B	5,000	11.08	n/a	30-Jul	200.00	4.0
OZ MGMT	040	AXL	B	100,000	11.18	n/a	30-Jul	3,000.00	0.0
DELTEC ASSET MGMT.	040	BEAV	B	10,000	39.88	n/a	7-Aug	500.00	5.0
PZENA INV ADV	044	BHI	B	18,050	44.08	n/a	n/a	631.76	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>BKW</b>	<b>C</b>	<b>20,000</b>	<b>13.25</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SMITH MGMT/ALDEN GLOBAL	029	BZH	S	250,000	2.94		n/a	n/a	7,500.00 3.0
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>CLF</b>	<b>B</b>	<b>1500</b>	<b>34.13</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>CMCSA</b>	<b>S</b>	<b>157</b>	<b>33.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	COG	S	37,900	40.74	n/a	25-Jul	1,516.00	0.0
<b>f IAN L MILLER</b>	<b>FID</b>	<b>COH</b>	<b>S</b>	<b>25</b>	<b>57.35</b>	<b>n/a</b>	<b>1-Aug</b>	<b>0.00</b>	<b>0.0</b>
SCOPUS FUND	041	COH	B	20,000	57.61	n/a	1-Aug	800.00	4.0
CYRUS CAPITAL	025	COT	S	25,000	8.40	n/a	n/a	750.00	3.0
NEUBERGER BERMAN	036	CPRT	S	34,800	27.59	n/a	n/a	1,392.00	0.0
INTERVAL PARTNERS	033	CRI	B	7,500	56.39	n/a	n/a	225.00	0.0
DAVIDSON KEMPNER ADVISOR	040	CSX	B	50,000	21.91	n/a	n/a	2,500.00	0.0
WOODWAY FINANCIAL	031	C	B	100,000	29.72	n/a	22-Aug	6,000.00	6.0
<b>B BUCK CAPITAL MGMT</b>		<b>DG</b>	<b>B</b>	<b>10,000</b>	<b>50.45</b>	<b>n/a</b>	<b>4-Sep</b>	<b>non-brg</b>	<b>0.8</b>
CASTLEROCK	040	DG	B	20,000	50.65	n/a	4-Sep	800.00	0.0
COBALT	041	DKS	B	75,000	50.49	n/a	22-Aug	3,000.00	0.0
INTERVAL PARTNERS	033	DKS	B	15,000	50.15	n/a	22-Aug	450.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>DLTR</b>	<b>B</b>	<b>10,000</b>	<b>47.89</b>	<b>n/a</b>	<b>16-Aug</b>	<b>non-brg</b>	<b>0.8</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>EATVX</b>	<b>S</b>	<b>446</b>	<b>18.13</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
RBC CAPITAL MARKETS	040	EL	B	15,000	59.63	n/a	4-Sep	600.00	4.0
ROTHSCHILD ASSET	040	EPL	B	6,045	17.28	n/a	n/a	241.80	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>ESV</b>	<b>S</b>	<b>27,000</b>	<b>57.00</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>FDO</b>	<b>B</b>	<b>8,000</b>	<b>63.03</b>	<b>n/a</b>	<b>19-Jul</b>	<b>non-brg</b>	<b>0.8</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>FICNX</b>	<b>B</b>	<b>443</b>	<b>12.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BASSWOOD PARTNERS	267	FITB	SS	25,192	15.01	n/a	n/a	1,007.68	0.0
BASSWOOD PARTNERS	267	FITB	S	157,932	15.01	n/a	n/a	6,317.28	0.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>FLPSX</b>	<b>B</b>	<b>31</b>	<b>40.31</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CAPITAL GROWTH MGMT.	241	FL	B	140,000	35.15	n/a	29-Aug	7,000.00	5.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>FSTFX</b>	<b>S</b>	<b>5515</b>	<b>10.88</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>F</b>	<b>S</b>	<b>800</b>	<b>9.46</b>	<b>n/a</b>	<b>30-Aug</b>	<b>0.00</b>	<b>0.0</b>
OZ MGMT	040	F	SS	150,000	9.41	n/a	30-Aug	4,500.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>HAL</b>	<b>S</b>	<b>32,000</b>	<b>31.67</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
ROBERTSON STEVENS	084	HSB	B	50,000	25.98	n/a	n/a	2,000.00	0.0
STRONG/MARK GRONET	030	ITPOF	S	38,705	6.90	n/a	n/a	1,161.15	0.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>IWB</b>	<b>B</b>	<b>15</b>	<b>78.07</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>IWD</b>	<b>B</b>	<b>119</b>	<b>70.52</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>IWF</b>	<b>B</b>	<b>18</b>	<b>65.91</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>IWS</b>	<b>B</b>	<b>24</b>	<b>48.09</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BALYASNY ASSET MGMT	044	JWN	S	20,500	57.27	n/a	31-Aug	1,025.00	0.0
M&I FUNDS	047	JWN	B	9,942	57.74	n/a	31-Aug	397.68	4.0
PIONEER OAKRIDGE	031	KFT	B	43,100	41.54	n/a	n/a	1,293.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>KNX</b>	<b>B</b>	<b>10,000</b>	<b>14.31</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
JP MORGAN VENTURES	046	KR	B	15,000	22.15	n/a	n/a	600.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>KSS</b>	<b>B</b>	<b>10,000</b>	<b>51.86</b>	<b>n/a</b>	<b>31-Aug</b>	<b>non-brg</b>	<b>0.8</b>
CSFB GLOBAL PROPRIETARY	041	LPX	SS	40,000	13.55	n/a	31-Jul	2,000.00	5.0
NEUBERGER BERMAN	036	LUFK	S	24,800	51.88	n/a	n/a	992.00	0.0
NEUBERGER BERMAN	036	MATW	S	21,700	30.01	n/a	n/a	868.00	0.0
CRAMER ROSENTHAL	070	MRO	B	50,300	27.37	n/a	n/a	2,012.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>MW</b>	<b>B</b>	<b>30,000</b>	<b>31.29</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
INTERVAL PARTNERS	033	M	B	10,000	40.18	n/a	31-Aug	300.00	0.0
LEVIN CAPITAL STRATEGIES	041	M	B	30,300	40.48	n/a	31-Aug	909.00	0.0
SCOPUS FUND	041	M	B	30,000	40.34	n/a	31-Aug	1,200.00	4.0
SIMMONS VENTURES	041	M	B	5,000	40.25	n/a	31-Aug	200.00	4.0
<b>LISTED ERR</b>	<b>099</b>	<b>M</b>	<b>B</b>	<b>6,010</b>	<b>40.49</b>	<b>n/a</b>	<b>31-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>M</b>	<b>SS</b>	<b>6,010</b>	<b>40.53</b>	<b>n/a</b>	<b>31-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>PASSX</b>	<b>B</b>	<b>33</b>	<b>35.47</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
KAM ADVISORS LLC	041	PAY	B	62,800	34.69	n/a	n/a	1,884.00	0.0
BALYASNY ASSET MGMT	044	PENN	B	25,000	39.03	n/a	n/a	1,250.00	0.0
BALYASNY ASSET MGMT	044	PII	SS	20,000	75.36	n/a	n/a	1,000.00	0.0
RBC CAPITAL MARKETS	040	PVH	B	5,000	93.16	n/a	29-Aug	200.00	4.0
MATRIX ASSET ADV.	091	SLB	B	1,800	71.03	n/a	n/a	72.00	4.0
JET CAPITAL/CHRIS	041	SPY	C	35,000	140.88	n/a	n/a	1,050.00	0.0
<b>f JOHN MICHAEL ZOLIDIS</b>	<b>FID</b>	<b>TJX</b>	<b>S</b>	<b>100</b>	<b>45.84</b>	<b>n/a</b>	<b>31-Aug</b>	<b>0.00</b>	<b>0.0</b>
SCOPUS FUND	041	TJX	S	25,000	46.14	n/a	31-Aug	1,000.00	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>ULTA</b>	<b>S</b>	<b>20,000</b>	<b>93.03</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
KAM ADVISORS LLC	041	USG	B	105,400	20.87	n/a	1-Aug	3,162.00	0.0
RBC CAPITAL MARKETS	040	VFC	SS	4,000	151.06	n/a	25-Jul	160.00	4.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE035	VSI		B		35,274	54.58	n/a	n/a	1,058.22 0.0
<b>B BUCK CAPITAL MGMT</b>		<b>WERN</b>	<b>B</b>	<b>10,000</b>	<b>22.12</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
ASCEND PARTNERS	033	WRC	B	72,273	51.46	n/a	7-Aug	2,168.19	0.0
COHE & STEERS	041	WY	B	300,000	24.90	n/a	27-Jul	9,000.00	0.0
<b>f WILLIAM WEINBERG</b>	<b>FID</b>	<b>ZLC</b>	<b>S</b>	<b>30000</b>	<b>5.53</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
8 BUCK CAPITAL MGMT		ZUMZ	B	36,000	28.28	n/a	n/a	non-brg 4.0
8 BUCK CAPITAL MGMT		ZUMZ	B	36,000	28.28	n/a	n/a	non-brg 4.0
TOTAL (Trade Date):								90,084.46

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									90,084.46
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									90,084.46
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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 4-Sep.  
NONE

MRI Securities without Trade Activity on 4-Sep.  
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)**