



# Daily Compliance Activity Report

Trade Date: 08/02/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 1

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f</b> PATRICK O'GRADY	<b>FID</b>	<b>ABCP</b>	<b>B</b>	<b>275</b>	<b>1.82</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SCOPUS FUND	041	ABG	S	17,806	25.40	n/a	25-Jul	712.24	4.0
GREEN ARROW DOUG	040	ACAT	B	15,000	43.89	n/a	n/a	600.00	0.0
<b>B</b> BUCK CAPITAL MGMT		<b>AEO</b>	<b>B</b>	<b>20,000</b>	<b>20.00</b>	<b>n/a</b>	<b>2-Dec</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> KEVIN MICHAEL O'GORM	<b>FID</b>	<b>APC</b>	<b>S</b>	<b>500</b>	<b>66.19</b>	<b>n/a</b>	<b>31-Jul</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>ARO</b>	<b>B</b>	<b>150,000</b>	<b>13.22</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>ARO</b>	<b>B</b>	<b>19,900</b>	<b>13.74</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>ARO</b>	<b>B</b>	<b>190,000</b>	<b>13.40</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>ARO</b>	<b>B</b>	<b>75,100</b>	<b>12.96</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>ARO</b>	<b>B</b>	<b>90,000</b>	<b>13.88</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
OHIO PERS	047	ASH	B	18,701	69.21	n/a	27-Jul	561.03	0.0
ROSEDALE CAPITAL	046	AXL	B	30,000	9.89	n/a	30-Jul	900.00	3.0
SCOPUS FUND	041	AXL	B	50,000	9.86	n/a	30-Jul	2,000.00	4.0
WOOSTER CAPITAL	035	AXL	B	100,000	9.81	n/a	30-Jul	3,000.00	3.0
<b>B</b> BUCK CAPITAL MGMT		<b>BID</b>	<b>C</b>	<b>25,000</b>	<b>28.21</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> BARBARA S LEDDY	<b>FID</b>	<b>BP</b>	<b>S</b>	<b>150</b>	<b>39.76</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TOCQUEVILLE	035	BRKS	B	30,500	8.99	n/a	n/a	1,525.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f ALEXANDRA ELISE ZOLI	FID	CMG	B	15	284.48	n/a	20-Jul	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	CMG	B	12	285.74	n/a	20-Jul	0.00	0.0
ß BUCK CAPITAL MGMT		CNC	B	20,000	37.09	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		COH	B	10,000	48.51	n/a	1-Aug	non-brg	1.0
ß BUCK CAPITAL MGMT		COH	B	10,000	49.02	n/a	1-Aug	non-brg	4.0
ß BUCK CAPITAL MGMT		COH	B	30,000	48.95	n/a	1-Aug	non-brg	4.0
KINGDON ASSET MGMT	041	COH	B	10,000	49.26	n/a	1-Aug	400.00	0.0
ß BUCK CAPITAL MGMT		COST	S	10,000	95.62	n/a	n/a	non-brg	4.0
NEW JERSEY DIV OF INV.	030	CRUS	S	20,000	36.03	n/a	n/a	600.00	3.0
f JONATHAN RICHARD HAR	FID	CTRN	B	800	14.78	n/a	n/a	0.00	0.0
f BARBARA S LEDDY	FID	CVGI	S	600	7.61	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	CVGI	S	2075	7.61	n/a	n/a	0.00	0.0
BALLAST CAP	040	CVS	S	2,000	44.53	n/a	n/a	100.00	5.0
ß BUCK CAPITAL MGMT		DKS	S	30,000	48.80	n/a	15-May	non-brg	4.0
f EDWARD W WHEELER	FID	DXPE	B	6	4.15	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		ELOQ	B	5,000	11.50	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		ELOQ	S	5,000	12.34	n/a	n/a	non-brg	2.5
KINGDON ASSET MGMT	041	EL	B	10,000	50.58	n/a	10-Jul	400.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NOMURA INTERNATIONAL PLC	046	EL	SS	10,000	50.76	n/a	10-Jul	507.55	0.0
f PATRICK O'GRADY	FID	EMMS	S	650	2.06	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ESV	S	20,000	53.83	n/a	n/a	non-brg	4.0
f JILL ROSENBERG	FID	FAGIX	S	54	9.18	n/a	n/a	0.00	0.0
f KELLY ELIZABETH CLIF	FID	FAGIX	S	54	9.18	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FAGIX	S	44	9.18	n/a	n/a	0.00	0.0
f JILL ROSENBERG	FID	FAUDX	B	79	10.08	n/a	n/a	0.00	0.0
f KELLY ELIZABETH CLIF	FID	FAUDX	B	50	10.08	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FAUDX	B	40	10.08	n/a	n/a	0.00	0.0
BRONSON POINT	036	FB	B	100,000	20.30	n/a	n/a	3,000.00	0.0
f JILL ROSENBERG	FID	FILEX	S	113	7.99	n/a	n/a	0.00	0.0
f KELLY ELIZABETH CLIF	FID	FILEX	S	88	7.99	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FILEX	S	88	7.99	n/a	n/a	0.00	0.0
OHIO PERS	047	FMC	S	23,960	52.37	n/a	8-Dec	718.80	0.0
f JILL ROSENBERG	FID	FNSXX	B	600	1.00	n/a	n/a	0.00	0.0
f KELLY ELIZABETH CLIF	FID	FNSXX	B	600	1.00	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FNSXX	B	700	1.00	n/a	n/a	0.00	0.0
f JILL ROSENBERG	FID	FUSOX	B	50	9.97	n/a	n/a	0.00	0.0
f KELLY ELIZABETH CLIF	FID	FUSOX	B	60	9.97	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FUSOX	B	40	9.97	n/a	n/a	0.00	0.0
NOMURA INTERNATIONAL PLC	046	F	SS	70,000	8.88	n/a	2-Aug	621.61	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OZ MGMT	040	F	C	116,131	8.87	n/a	2-Aug	3,483.93	0.0
⌘ BUCK CAPITAL MGMT		GIL	B	16,900	27.34	n/a	18-Jul	non-brg	4.0
OZ MGMT	040	GM	B	115,990	19.23	n/a	2-Aug	3,479.70	0.0
TRELLUS PARTNERS LP	028	GM	SS	4,900	19.69	n/a	2-Aug	147.00	0.0
VERITION	028	GM	B	10,000	19.32	n/a	2-Aug	300.00	3.0
⌘ BUCK CAPITAL MGMT		GPS	S	20,000	33.32	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		GPS	S	30,000	33.28	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		HAIN	S	30,000	54.96	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		HBI	S	30,000	31.10	n/a	1-Aug	non-brg	4.0
⌘ BUCK CAPITAL MGMT		HOS	C	30,000	37.32	n/a	n/a	non-brg	1.0
f JONATHAN RICHARD HAR	FID	HOV	B	1000	2.28	n/a	n/a	0.00	0.0
f ANTHONY SUTERA	FID	HSC	S	1000	19.64	n/a	31-Jul	0.00	0.0
ARSENAL ASSET MANAGEMENT	028	HUBB	B	10,000	81.15	n/a	n/a	400.00	0.0
ARMATURE CAPITAL	041	IP	S	30,000	31.79	n/a	27-Jul	1,200.00	0.0
CSFB GLOBAL PROPRIETARY	041	IP	B	70,000	31.96	n/a	27-Jul	3,500.00	5.0
⌘ BUCK CAPITAL MGMT		JIVE	B	10,000	18.05	n/a	n/a	non-brg	4.0
UNITED STATES PENSION	085	JPM	B	288,200	35.29	n/a	2-Aug	11,528.00	4.0
f ANTHONY SUTERA	FID	KCG	B	5000	2.91	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
B BUCK CAPITAL MGMT		KNX	B	2,800	14.75	n/a	n/a	non-brg 1.0
GREEN ARROW DOUG	040	KORS	S	10,000	39.80	n/a	n/a	400.00 0.0
ROSEDALE CAPITAL	046	LEA	S	5,000	37.75	n/a	4-May	250.00 5.0
WOOSTER CAPITAL	035	LEA	B	81,700	36.28	n/a	4-May	4,085.00 5.0
WOOSTER CAPITAL	035	LEA	S	6,700	37.14	n/a	4-May	335.00 5.0
B BUCK CAPITAL MGMT		LPNT	B	10,200	37.27	n/a	n/a	non-brg 4.0
B BUCK CAPITAL MGMT		LTD	S	60,000	47.34	n/a	n/a	non-brg 4.0
KINGDON ASSET MGMT	041	LTD	B	30,000	47.51	n/a	n/a	1,200.00 0.0
B BUCK CAPITAL MGMT		MDT	B	15,000	38.77	n/a	n/a	non-brg 4.0
f FRANCIS MICHAEL MCCA	FID	MLI	S	200	42.33	n/a	26-Jul	0.00 0.0
B BUCK CAPITAL MGMT		MNST	B	30,000	64.09	n/a	n/a	non-brg 4.0
B BUCK CAPITAL MGMT		MNST	B	30,000	64.09	n/a	n/a	non-brg 4.0
B BUCK CAPITAL MGMT		M	B	30,000	36.72	n/a	27-Jul	non-brg 4.0
SHIKIAR ASSET	025	M	S	31,000	36.44	n/a	27-Jul	1,550.00 0.0
f IAN L MILLER	FID	NAV	B	50	21.27	n/a	11-Jul	0.00 0.0
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	25.61	n/a	20-Jul	400.00 4.0
B BUCK CAPITAL MGMT		NWY	S	20,000	4.25	n/a	n/a	non-brg 2.0
BRONSON POINT	036	ODFL	S	30,000	43.02	n/a	n/a	900.00 0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GEORGE WEISS	034	PCAR	B	4,000	38.63	n/a	11-Jul	120.00	0.0
GREEN ARROW DOUG	040	PII	B	20,000	72.06	n/a	n/a	800.00	0.0
METROPOLITAN CAPITAL	044	PLCE	S	5,500	51.61	n/a	5-Jun	275.00	0.0
<b>f JILL ROSENBERG</b>	<b>FID</b>	<b>PSFAX</b>	<b>S</b>	<b>51</b>	<b>9.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f KELLY ELIZABETH CLIF</b>	<b>FID</b>	<b>PSFAX</b>	<b>S</b>	<b>51</b>	<b>9.85</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>PSFAX</b>	<b>S</b>	<b>41</b>	<b>9.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PSMT</b>	<b>S</b>	<b>5,739</b>	<b>69.83</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PVH</b>	<b>B</b>	<b>20,000</b>	<b>76.63</b>	<b>n/a</b>	<b>18-Jul</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PVH</b>	<b>B</b>	<b>30,000</b>	<b>76.80</b>	<b>n/a</b>	<b>18-Jul</b>	<b>non-brg</b>	<b>4.0</b>
GEORGE WEISS	034	PVH	B	2,000	74.99	n/a	18-Jul	80.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>RL</b>	<b>C</b>	<b>10,000</b>	<b>139.14</b>	<b>n/a</b>	<b>18-Jul</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>RL</b>	<b>C</b>	<b>10,000</b>	<b>139.83</b>	<b>n/a</b>	<b>18-Jul</b>	<b>non-brg</b>	<b>4.0</b>
NEW JERSEY DIV OF INV.	030	ROK	S	30,000	66.13	n/a	n/a	1,200.00	4.0
SCOPUS FUND	041	SBH	S	50,000	26.08	n/a	n/a	2,000.00	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>SBUX</b>	<b>S</b>	<b>1000</b>	<b>43.37</b>	<b>n/a</b>	<b>27-Jul</b>	<b>0.00</b>	<b>0.0</b>
JET CAPITAL/CHRIS	041	SIGA	B	57,400	2.74	n/a	n/a	1,722.00	0.0
OHIO PERS	047	SPR	B	38,000	23.00	n/a	20-Jul	1,140.00	0.0
UNITED STATES PENSION	085	SPY	S	85,000	136.81	n/a	n/a	2,550.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>SSI</b>	<b>S</b>	<b>40,000</b>	<b>19.46</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f MARK ANTHONY GRONET</b>	<b>FID</b>	<b>TAXI</b>	<b>B</b>	<b>3000</b>	<b>11.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
OHIO PERS	047	TDG	S	7,650	119.31	n/a	n/a	229.50	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>TEVA</b>	<b>B</b>	<b>25,000</b>	<b>39.61</b>	<b>n/a</b>	<b>2-Aug</b>	<b>non-brg</b>	<b>4.0</b>
KINGDON ASSET MGMT	041	TGT	B	4,500	61.19	2-Aug	2-Aug	180.00	0.0
CORVEX CAPITAL	041	TIBX	C	141,629	26.76	n/a	n/a	4,248.87	0.0
NOMURA INTERNATIONAL PLC	046	TIF	SS	20,000	54.18	n/a	n/a	1,083.56	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>TJX</b>	<b>S</b>	<b>10,000</b>	<b>45.05</b>	<b>n/a</b>	<b>27-Jul</b>	<b>non-brg</b>	<b>4.0</b>
KINGDON ASSET MGMT	041	TJX	B	30,000	44.74	n/a	27-Jul	1,200.00	0.0
NEUBERGER BERMAN	036	TNC	B	8,200	41.38	n/a	n/a	328.00	0.0
RBC CAPITAL MARKETS	040	TUP	B	2,000	51.11	n/a	n/a	80.00	4.0
WILLIAMS TRADING/FOX POINT	025	VMED	B	134,866	27.07	n/a	n/a	4,045.98	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>WRC</b>	<b>B</b>	<b>25,500</b>	<b>39.37</b>	<b>n/a</b>	<b>18-Jul</b>	<b>non-brg</b>	<b>4.0</b>
GEORGE WEISS	034	XOP	B	2,000	49.50	n/a	n/a	80.00	0.0
RBC CAPITAL MARKETS	040	XRT	SS	25,000	58.01	n/a	n/a	1,000.00	4.0
VISIUM/BALY BOBBY	044	X	SS	20,000	21.11	n/a	n/a	1,000.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
KINGDON ASSET MGMT	041	YUM	B	75,000	64.80	n/a	19-Jul	3,000.00	0.0
MATRIX ASSET ADV.	091	ZMH	B	1,200	58.20	n/a	n/a	48.00	4.0
<b>TOTAL (Trade Date):</b>								<b>75,215.77</b>	



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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	08/01	WINSLOW CAPITAL	030	MA	B	2,000	427.49	n/a	1-Aug	60.00 0.0
AO,CRT	08/01	WINSLOW CAPITAL	030	MA	B	2,000	427.49	n/a	1-Aug	60.00 0.0
AO,CRT	08/01	HIGHBRIDGE CAP	041	XLU	SS	6,750	38.11	n/a	n/a	135.00 2.0
AO,CXL	08/01	HIGHBRIDGE CAP	041	XLU	SS	6,750	38.11	n/a	n/a	202.50 3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>-67.50</b>

TOTAL (Trade Date) :	75,215.77
TOTAL (AO, CXL, CRT) :	-67.50

<b>TOTAL (RUN DATE) / NFS :</b>	<b>75,148.27</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	07/31	BUCK CAPITAL MGMT.	JPCMSBCM	C	18,832	107.96	n/a	n/a	203.32
CRT	07/31	BUCK CAPITAL MGMT	JPCMSBCM	C	18,832	107.96	n/a	n/a	20.33 0.1
CXL	07/31	BUCK CAPITAL MGMT.	JPCMSBCM	C	15,500	107.96	n/a	n/a	167.34
CRT	07/31	BUCK CAPITAL MGMT	JPCMSBCM	C	15,500	107.96	n/a	n/a	16.73 0.1

MRI Securities with Trade Activity on 2-Aug.

TGT

MRI Securities without Trade Activity on 2-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)**