



# Daily Compliance Activity Report

Trade Date: 10/08/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>AAPL</b>	<b>B</b>	<b>5</b>	<b>640.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
RIDGECREST INV MGMT LLC	028	ABG	B	15,000	30.65	n/a	3-Oct	600.00	4.0
SCOPUS FUND	041	ABG	B	15,487	30.34	n/a	3-Oct	619.48	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>ASNA</b>	<b>S</b>	<b>34,800</b>	<b>20.94</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BASSWOOD PARTNERS	267	BGC	S	12,400	30.47	n/a	n/a	496.00	0.0
NEUBERGER BERMAN	036	CAKE	B	50,000	34.77	n/a	4-Oct	2,000.00	0.0
SIGMA CAPITAL ASSOCIATES	041	CCL	B	75,000	37.25	n/a	n/a	2,625.00	3.5
BRANDWINE	028	CMI	B	147,500	92.24	n/a	11-Jul	5,900.00	0.0
CYRUS CAPITAL	025	CMI	SS	7,000	91.52	n/a	11-Jul	210.00	3.0
SIGMA CAPITAL ASSOCIATES	041	CRI	B	25,000	54.12	n/a	n/a	875.00	3.5
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>CVGI</b>	<b>S</b>	<b>500</b>	<b>7.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DECK</b>	<b>B</b>	<b>10,400</b>	<b>35.89</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DECK</b>	<b>B</b>	<b>20,000</b>	<b>35.85</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DECK</b>	<b>B</b>	<b>9,600</b>	<b>35.92</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
SANDLER CAPITAL	028	DISCK	S	115,000	56.46	n/a	n/a	4,600.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>DLTR</b>	<b>B</b>	<b>80,000</b>	<b>47.45</b>	<b>n/a</b>	<b>16-Aug</b>	<b>non-brg</b>	<b>4.0</b>

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B</b>	<b>BUCK CAPITAL MGMT</b>		<b>DLTR</b>	<b>B</b>	<b>80,000</b>	<b>47.45</b>	<b>n/a</b>	<b>16-Aug</b>	<b>non-brg</b>	<b>4.0</b>
	CAMBIAR CAP	046	DOW	B	48,701	28.99	n/a	8-Oct	1,948.04	0.0
	ROYCE TRADING	031	ENTG	B	20,000	8.22	n/a	n/a	1,000.00	0.0
	ROYCE TRADING	031	FINL	B	22,000	22.09	n/a	28-Sep	1,100.00	0.0
	OHIO PERS	047	FTI	B	35,500	43.97	n/a	n/a	1,065.00	0.0
	ARSENAL ASSET MANAGEMENT	028	FWLT	S	30,000	23.75	n/a	n/a	1,200.00	0.0
	KENNEDY CAPITAL	046	GCO	B	23,065	63.90	n/a	n/a	922.60	0.0
	BASSWOOD PARTNERS	267	GE	SS	80,500	22.92	n/a	n/a	3,220.00	0.0
<b>f</b>	<b>HARALAMBOS EFSTATHI</b>	<b>FID</b>	<b>GMXR</b>	<b>S</b>	<b>3000</b>	<b>0.74</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
	ROSEDALE CAPITAL	046	GM	B	10,000	24.63	n/a	3-Oct	400.00	4.0
	THOMPSON SIEGAL&WALMSLEY	029	GPN	S	14,500	43.41	n/a	n/a	435.00	0.0
	MACELLUM CAPITAL	086	GPS	SS	15,000	37.13	n/a	n/a	450.00	3.0
	CSFB GLOBAL PROPRIETARY	041	IP	B	35,000	36.58	n/a	24-Sep	1,750.00	5.0
	SIMMONS VENTURES	041	JNY	SS	2,700	12.92	n/a	26-Jul	108.00	4.0
<b>f</b>	<b>MATTHEW FRANCIS BUCK</b>	<b>FID</b>	<b>JPM</b>	<b>S</b>	<b>300</b>	<b>41.47</b>	<b>n/a</b>	<b>5-Oct</b>	<b>0.00</b>	<b>0.0</b>
	NOMURA/ANGEL LANE PRINCIPAL	040	KSS	B	75,000	51.17	n/a	5-Oct	2,250.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COLUMBUS CIRCLE	036	LQDT	S	10,375	42.30	n/a	n/a	415.00	0.0
<b>ß BUCK CAPITAL MGMT</b>		<b>LVS</b>	<b>S</b>	<b>118,317</b>	<b>44.75</b>	<b>n/a</b>	<b>13-Jun</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>LVS</b>	<b>S</b>	<b>171,683</b>	<b>44.75</b>	<b>n/a</b>	<b>13-Jun</b>	<b>non-brg</b>	<b>4.0</b>
HIGHBRIDGE CAP	041	MAS	SS	32,000	15.77	n/a	n/a	960.00	3.0
SAC CHICAGO ANDREW	031	MAS	SS	20,000	15.45	n/a	n/a	700.00	3.5
OHIO PERS	047	MMM	B	8,300	94.96	n/a	1-Oct	249.00	0.0
HIGHBRIDGE CAP	041	MPC	B	17,000	59.61	n/a	n/a	510.00	3.0
STRONG/MARK GRONET	030	MWW	B	100,000	8.02	n/a	n/a	3,000.00	0.0
KLEINHEINZ CAP PART	031	M	S	50,000	39.46	n/a	5-Oct	2,500.00	5.0
HOPLITE MGMT	025	NWSA	S	50,000	25.11	n/a	n/a	2,000.00	0.0
SIGMA CAPITAL ASSOCIATES	041	ORLY	SS	75,000	85.64	n/a	n/a	2,625.00	3.5
OHIO PERS	047	PCP	S	4,638	163.76	n/a	1-Aug	139.14	0.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	50,000	35.50	n/a	24-Sep	2,500.00	5.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>PNF</b>	<b>B</b>	<b>500</b>	<b>12.79</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>PNI</b>	<b>B</b>	<b>3000</b>	<b>13.37</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ARSENAL ASSET MANAGEMENT	028	RPM	S	25,000	26.64	n/a	n/a	1,000.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		SPLS	C	38,050	11.75	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SPLS	C	38,050	11.75	n/a	n/a	non-brg	4.0
EMPYREAN CAPITAL	084	SPY	SS	40,000	145.63	n/a	n/a	2,000.00	0.0
PERIMETER	273	TGI	S	12,190	62.40	n/a	n/a	487.60	0.0
B BUCK CAPITAL MGMT		THI	SS	14,099	51.86	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		THI	SS	14,101	51.86	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		TITN	B	10,000	21.48	n/a	n/a	non-brg	1.0
HIGHBRIDGE CAP	041	VLO	S	23,000	31.41	n/a	n/a	690.00	3.0
ARSENAL ASSET MANAGEMENT	028	WBC	S	5,000	59.71	n/a	29-Aug	200.00	0.0
SENATOR INVESTMENT GROUP	036	WMB	S	500,000	35.85	n/a	n/a	15,000.00	3.0
CASTLEROCK	040	WMT	B	5,000	75.25	n/a	17-Aug	200.00	4.0
f DAVID GEORGE BUCK	FID	YUM	B	1000	66.49	n/a	4-Oct	0.00	0.0
f DAVID GEORGE BUCK	FID	YUM	S	20	1.01	n/a	4-Oct	0.00	0.0
TOTAL (Trade Date) :								68,949.86	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	10/05	STANDARD PACIFIC CAPITAL	084	INFY	B	215,000	49.08	n/a	n/a	10750.00 5.0
AO,CXL	10/05	STANDARD PACIFIC CAPITAL	084	INFY	B	215,000	49.08	n/a	n/a	10750.00 5.0
AO,	10/05	COLUMBUS CIRCLE	036	LQDT	S	7,577	43.10	n/a	n/a	303.08 0.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>303.08</b>
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TOTAL (Trade Date) :	68,949.86
TOTAL (AO, CXL, CRT) :	303.08

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>69,252.94</b>
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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-Oct.  
NONE

MRI Securities without Trade Activity on 8-Oct.  
EL, CSCO, FFIV, JNPR

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)**