



# Daily Compliance Activity Report

Trade Date: 08/15/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEUBERGER BERMAN	036	AIG	B	255,920	34.22	n/a	n/a	10,236.80	0.0
<b>f</b> MICHAEL ALEXANDER SM	<b>FID</b>	<b>AMRN</b>	<b>B</b>	<b>15</b>	<b>1.91</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> MICHAEL ALEXANDER SM	<b>FID</b>	<b>AMRN</b>	<b>S</b>	<b>15</b>	<b>0.54</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>ARO</b>	<b>S</b>	<b>60,000</b>	<b>13.58</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>ASNA</b>	<b>S</b>	<b>30,000</b>	<b>18.56</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SPARTAN	093	AXL	S	10,000	10.86	n/a	30-Jul	300.00	0.0
GREEN ARROW DOUG	040	BBY	S	30,000	19.33	n/a	n/a	1,200.00	0.0
RBC CAPITAL MARKETS	040	BLMN	B	8,000	12.95	n/a	n/a	320.00	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>BNNY</b>	<b>S</b>	<b>10,000</b>	<b>39.90</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>B</b> BUCK CAPITAL MGMT		<b>BNNY</b>	<b>S</b>	<b>10,000</b>	<b>39.93</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
RBC CAPITAL MARKETS	040	BWLD	B	13,000	73.52	n/a	n/a	520.00	4.0
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>CAH</b>	<b>B</b>	<b>1000</b>	<b>39.84</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
RBC CAPITAL MARKETS	040	CCL	B	7,000	33.75	n/a	n/a	280.00	4.0
NEUBERGER BERMAN	036	CHS	B	22,400	16.00	n/a	5-Feb	896.00	0.0
SENATOR INVESTMENT GROUP	036	CVH	B	50,000	32.62	n/a	n/a	1,500.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
B BUCK CAPITAL MGMT		DE	B	15,000	74.03	n/a	11-Jul	non-brg 1.0
f BRIAN P CLIFFORD	FID	FB	B	1000	20.93	n/a	n/a	0.00 0.0
B BUCK CAPITAL MGMT		FL	S	10,000	34.35	n/a	8-Aug	non-brg 4.0
RBC CAPITAL MARKETS	040	FL	B	5,000	34.46	n/a	8-Aug	200.00 4.0
f EDWARD W WHEELER	FID	FOE	S	10000	3.41	n/a	n/a	0.00 0.0
PROSPECTOR PARTNERS LLC	036	FOR	B	10,000	12.21	15-Aug	15-Aug	400.00 4.0
ROYCE TRADING	031	FOR	B	20,000	12.22	15-Aug	15-Aug	1,000.00 0.0
FORTRESS INVESTMENT (US)	036	GDI	S	26,000	61.25	n/a	n/a	520.00 0.0
B BUCK CAPITAL MGMT		GES	B	20,000	32.28	n/a	18-Jul	non-brg 4.0
f MICHAEL ALEXANDER SM	FID	GME	B	10	1.22	n/a	n/a	0.00 0.0
f DAVID GEORGE BUCK	FID	GM	S	2000	20.25	n/a	3-Aug	0.00 0.0
OZ MGMT	040	GM	C	20,590	20.32	n/a	3-Aug	617.70 0.0
B BUCK CAPITAL MGMT		HBI	S	20,000	32.49	n/a	1-Aug	non-brg 4.0
BASSWOOD PARTNERS	267	HOG	B	15,600	41.38	n/a	n/a	624.00 0.0
ARSENAL ASSET MANAGEMENT	028	HUBB	B	5,000	80.76	n/a	n/a	200.00 0.0
f DAVID GEORGE BUCK	FID	IWF	B	1000	65.39	n/a	n/a	0.00 0.0
BARROW HANLEY MEWHINNEY	031	JPM	B	294,600	37.21	n/a	15-Aug	10,311.00 0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WATERFRONT CAP	028	KR	SS	27,200	22.08	n/a	n/a	1,088.00	0.0
<b>B</b> BUCK CAPITAL MGMT		<b>KSS</b>	<b>B</b>	<b>20,000</b>	<b>50.95</b>	<b>n/a</b>	<b>10-Aug</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>LEA</b>	<b>B</b>	<b>2000</b>	<b>40.08</b>	<b>n/a</b>	<b>3-Aug</b>	<b>0.00</b>	<b>0.0</b>
ROSEDALE CAPITAL	046	LOW	SS	20,000	26.96	n/a	10-Aug	1,000.00	5.0
CSFB GLOBAL PROPRIETARY	041	LPX	S	10,000	12.64	n/a	31-Jul	500.00	5.0
<b>B</b> BUCK CAPITAL MGMT		<b>LTD</b>	<b>S</b>	<b>30,000</b>	<b>49.07</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>LTD</b>	<b>S</b>	<b>40,000</b>	<b>49.01</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
WATERFRONT CAP	028	MAR	SS	49,000	36.77	n/a	13-Jun	1,960.00	0.0
NEUBERGER BERMAN	036	MATW	S	3,843	29.69	n/a	n/a	153.72	0.0
<b>B</b> BUCK CAPITAL MGMT		<b>MFRM</b>	<b>S</b>	<b>10,000</b>	<b>29.14</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
RBC CAPITAL MARKETS	040	MTN	SS	16,000	50.00	n/a	n/a	640.00	4.0
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>M</b>	<b>B</b>	<b>2000</b>	<b>38.47</b>	<b>n/a</b>	<b>9-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>M</b>	<b>B</b>	<b>400</b>	<b>38.46</b>	<b>n/a</b>	<b>9-Aug</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> MATTHEW FRANCIS BUCK	<b>FID</b>	<b>M</b>	<b>B</b>	<b>400</b>	<b>38.46</b>	<b>n/a</b>	<b>9-Aug</b>	<b>0.00</b>	<b>0.0</b>
FIRST NEW YORK LEDDY	035	NOK	B	20,000	2.57	n/a	n/a	800.00	4.0
RBC CAPITAL MARKETS	040	PENN	SS	19,000	38.33	n/a	n/a	760.00	4.0
BALYASNY ASSET MGMT	044	PFE	B	25,000	24.09	n/a	n/a	1,250.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	PKG	S	75,000	31.87	n/a	20-Jul	3,750.00	5.0
NOMURA CAPITAL	029	PTGI	S	2,990	14.90	n/a	n/a	89.70	3.0
⌘ BUCK CAPITAL MGMT		PVH	B	6,349	86.77	n/a	18-Jul	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PVH	S	16,349	86.72	n/a	18-Jul	non-brg	4.0
NOMURA CAPITAL	029	QLTY	S	2,504	10.06	n/a	n/a	75.12	3.0
RBC CAPITAL MARKETS	040	RAH	SS	25,200	65.55	n/a	n/a	1,008.00	4.0
SHEFFIELD ASSET MGMT	031	RKT	S	7,500	64.59	n/a	26-Jul	300.00	4.0
RBC CAPITAL MARKETS	040	SAFM	B	6,000	40.06	n/a	n/a	240.00	4.0
ROSEDALE CAPITAL	046	SCHW	B	20,000	12.90	n/a	n/a	800.00	4.0
⌘ BUCK CAPITAL MGMT		SHOO	S	10,000	40.61	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SHOO	S	10,000	40.96	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SKUL	S	21,153	15.99	n/a	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		SPLS	C	80,000	11.41	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SPLS	C	80,000	11.41	n/a	n/a	non-brg	4.0
BALYASNY ASSET MGMT	044	SYK	SS	25,000	53.87	n/a	n/a	1,250.00	0.0
SYMPHONY ASSET	033	TE	S	70,000	17.83	n/a	n/a	2,100.00	0.0
OZ MGMT	040	TGT	SS	66,137	64.51	n/a	15-Aug	1,984.11	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RBC CAPITAL MARKETS	040	TUP	B	13,000	53.64	n/a	n/a	520.00	4.0
BARROW HANLEY MEWHINNEY	031	T	S	4,100	37.04	n/a	n/a	143.50	0.0
ß BUCK CAPITAL MGMT		UAL	B	110,000	18.12	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		URBN	C	50,000	31.10	n/a	n/a	non-brg	4.0
f KAREN F LEDDY	FID	WNC	B	1000	6.67	n/a	n/a	0.00	0.0
f SEAN F LEDDY	FID	WNC	B	500	6.67	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		WRC	B	10,000	49.33	n/a	7-Aug	non-brg	4.0
ß BUCK CAPITAL MGMT		WRC	B	20,000	49.29	n/a	7-Aug	non-brg	4.0
CSFB GLOBAL PROPRIETARY	041	WY	B	25,000	23.81	n/a	27-Jul	1,250.00	5.0
TOTAL (Trade Date):								50,787.65	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									50,787.65
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									50,787.65

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 15-Aug.

FOR

MRI Securities without Trade Activity on 15-Aug.

DFS

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)**