



Daily Compliance Activity Report

Trade Date: 08/22/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f LBP ENTERPRISES INC	FID	AAPL	S	100	662.65	n/a	n/a	0.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT) 251	ACOM		B	1,500	30.40		n/a	n/a	45.00 3.0
B BUCK CAPITAL MGMT		AEO	S	20,000	22.44	n/a	2-Dec	non-brg	4.0
LEVIN CAPITAL STRATEGIES	041	APC	B	10,883	69.15	n/a	9-Aug	326.49	0.0
COBALT	041	ASH	B	50,000	73.83	n/a	27-Jul	2,000.00	4.0
PNC CAPITAL ADV	028	BA	B	50,629	72.77	n/a	7-Aug	2,025.16	0.0
B BUCK CAPITAL MGMT		BIG	C	50,000	38.85	n/a	23-May	non-brg	4.0
B BUCK CAPITAL MGMT		BIG	C	50,000	38.89	n/a	23-May	non-brg	4.0
f KAREN F LEDDY	FID	BONT	B	2300	8.05	n/a	n/a	0.00	0.0
RBC CAPITAL MARKETS	040	BWLD	B	8,000	75.54	n/a	n/a	320.00	4.0
KENNEDY CAPITAL	046	CALD	B	27,595	4.20	n/a	n/a	551.90	0.0
SIMMONS VENTURES	041	COH	B	5,000	55.00	n/a	1-Aug	200.00	4.0
B BUCK CAPITAL MGMT		CROX	B	50,000	17.11	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CROX	B	50,000	17.13	n/a	n/a	non-brg	4.0
f MANNY I KORMAN	FID	CROX	B	5000	17.12	n/a	n/a	0.00	0.0
KENNEDY CAPITAL	046	CRUS	S	8,000	39.04	n/a	n/a	320.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NOKOMIS PARTNERS	031	CXO	B	21,550	93.67	n/a	n/a	646.50	3.0
SOROS	274	CXO	SS	44,500	93.12	n/a	n/a	1,780.00	0.0
ELM RIDGE ADVISORS	044	DELL	B	50,000	11.59	n/a	n/a	2,000.00	0.0
PLATTE RIVER CAPITAL	240	DELL	B	237,300	11.56	n/a	n/a	9,492.00	0.0
TOURMALINE PARTNERS CHRIS	041	DMD	SS	10,000	10.24	n/a	n/a	300.00	0.0
f DAVID GEORGE BUCK	FID	ENX	S	2500	14.49	n/a	n/a	0.00	0.0
KENNEDY CAPITAL	046	EXPR	B	40,287	15.49	n/a	n/a	1,611.48	0.0
B BUCK CAPITAL MGMT		GCO	S	20,000	69.84	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GCO	S	50,000	69.84	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GES	S	20,000	33.72	n/a	18-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		GES	S	40,000	33.16	n/a	18-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		GIL	S	10,000	31.65	n/a	3-Aug	non-brg	4.0
B BUCK CAPITAL MGMT		GME	SS	20,000	18.98	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GME	SS	20,000	18.98	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GNC	B	110,000	36.10	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GNC	B	50,000	36.10	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GPS	S	20,000	35.18	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		HBI	S	10,000	31.98	n/a	1-Aug	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NOKOMIS PARTNERS	031	IDCC	B	15,000	32.55	n/a	n/a	450.00	3.0
DC CAPITAL	044	IP	S	20,000	34.30	n/a	20-Aug	800.00	4.0
B BUCK CAPITAL MGMT		IWM	SS	74,000	81.25	n/a	n/a	non-brg	2.0
JET CAPITAL/CHRIS	041	IYR	SS	30,500	64.53	n/a	n/a	915.00	0.0
B BUCK CAPITAL MGMT		KNX	B	33,000	15.13	n/a	n/a	non-brg	4.0
ENTRUST CAPITAL	040	KSS	B	9,500	51.72	n/a	10-Aug	475.00	5.0
B BUCK CAPITAL MGMT		LL	SS	20,000	44.93	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		LVS	B	50,000	42.50	n/a	13-Jun	non-brg	4.0
RBC CAPITAL MARKETS	040	LVS	B	22,000	43.50	n/a	13-Jun	880.00	4.0
NEUBERGER BERMAN	036	MATW	S	6,806	30.74	n/a	n/a	272.24	0.0
B BUCK CAPITAL MGMT		MFRM	S	10,000	29.82	n/a	n/a	non-brg	4.0
f JASON ERIC COHEN	FID	MINI	S	1000	17.34	n/a	n/a	0.00	0.0
SUN AMERICA ASSET MGMT	030	MSFT	S	26,800	30.56	n/a	n/a	1,072.00	0.0
STANDARD PACIFIC CAPITAL	084	MU	S	600,000	6.39	n/a	n/a	30,000.00	5.0
B BUCK CAPITAL MGMT		MW	B	30,000	30.72	n/a	n/a	non-brg	4.0
CAERUS GLOBAL	041	PBY	B	10,000	9.31	n/a	n/a	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	PENN	SS	10,000	38.58	n/a	n/a	400.00	4.0
B BUCK CAPITAL MGMT		PLCE	S	30,000	56.59	n/a	16-Aug	non-brg	4.0
SCOPUS FUND	041	POT	S	25,000	42.22	n/a	n/a	1,000.00	4.0
ASCEND PARTNERS	033	PVH	B	25,000	87.00	n/a	18-Jul	1,250.00	0.0
GEORGE WEISS	034	PVH	SS	23,000	87.05	n/a	18-Jul	920.00	0.0
RBC CAPITAL MARKETS	040	PVH	S	10,000	87.01	n/a	18-Jul	400.00	4.0
f DAVID GEORGE BUCK	FID	RAI	B	1000	45.41	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	RAI	B	150	45.40	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	RAI	B	100	45.41	n/a	n/a	0.00	0.0
T. ROWE PRICE	033	RBN	S	10,200	60.05	n/a	n/a	408.00	0.0
DISCIPLINED GROWTH INV.	030	RCL	B	1,900	26.02	n/a	n/a	95.00	0.0
B BUCK CAPITAL MGMT		RUE	C	18,000	28.92	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		RUE	C	18,000	28.92	n/a	n/a	non-brg	4.0
CATAPULT	040	SBUX	SS	15	48.12	n/a	27-Jul	0.60	0.0
CATAPULT	040	SBUX	S	8,282	48.12	n/a	27-Jul	331.28	0.0
f IAN L MILLER	FID	SDS	B	100	14.38	n/a	n/a	0.00	0.0
TOURMALINE PARTNERS CHRIS	041	SEE	B	15,000	13.46	n/a	2-Jun	450.00	0.0
B BUCK CAPITAL MGMT		SHOO	S	20,000	42.76	n/a	n/a	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		SKX	B	50,000	21.90	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		SKX	B	50,000	21.90	n/a	n/a	non-brg	4.0
MATTHEW FRANCIS BUCK	FID	SNI	B	200	58.58	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		SPY	SS	42,500	141.55	n/a	n/a	non-brg	2.0
DAVID GEORGE BUCK	FID	SPY	S	10	1.21	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		SWFT	B	60,000	8.55	n/a	n/a	non-brg	3.0
TOCQUEVILLE	035	TFX	S	22,167	63.11	n/a	n/a	1,108.35	0.0
BUCK CAPITAL MGMT		TIF	C	30,000	58.59	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		TIF	C	30,000	58.59	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		ULTA	S	10,000	91.89	n/a	n/a	non-brg	2.5
BUCK CAPITAL MGMT		ULTA	S	30,000	91.57	n/a	n/a	non-brg	2.5
CATAPULT	040	ULTA	S	5,015	91.88	n/a	n/a	200.60	0.0
CATAPULT	040	VIAB	B	10,060	50.49	n/a	n/a	402.40	0.0
CAISSE DEPOT PLACEMENT Q	295	VRSK	S	10,000	48.27	n/a	n/a	500.00	5.0
DAVID GEORGE BUCK	FID	WAG	S	800	35.51	n/a	n/a	0.00	0.0
MATTHEW FRANCIS BUCK	FID	WAG	S	600	35.52	n/a	n/a	0.00	0.0
DAVID GEORGE BUCK	FID	WLP	B	200	57.80	n/a	n/a	0.00	0.0
CSFB GLOBAL PROPRIETARY	041	WY	B	25,000	24.25	n/a	27-Jul	1,250.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	YUM	B	15,000	65.57	n/a	20-Aug	600.00	4.0
TOTAL (Trade Date):								66,199.00	

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):									66,199.00
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									66,199.00
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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 22-Aug.
NONE

MRI Securities without Trade Activity on 22-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)