



# Daily Compliance Activity Report

Trade Date: 09/27/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BNP PARIBAS SEC	040	ARO	S	33,000	13.98	n/a	n/a	1,650.00	5.0
⌘ BUCK CAPITAL MGMT		ATI	B	16,097	31.63	n/a	14-Sep	non-brg	4.0
LATEEF MGMT	035	ATI	S	750	32.00	n/a	14-Sep	75.00	10.0
BALYASNY ASSET MGMT	044	AXL	B	103,426	11.17	n/a	30-Jul	5,171.30	0.0
ROSEDALE CAPITAL	046	AXL	B	6,800	11.08	n/a	30-Jul	272.00	4.0
⌘ BUCK CAPITAL MGMT		AXP	B	18,000	56.16	n/a	27-Sep	non-brg	1.0
⌘ BUCK CAPITAL MGMT		AZO	SS	10,000	370.85	n/a	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		AZO	SS	10,000	371.48	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	025	BAB	S	700	30.08	n/a	n/a	35.00	5.0
CATAPULT	040	BAC	SS	50,000	9.02	n/a	26-Sep	2,000.00	0.0
MERRILL ASSET/BLACKROCK	297	BFS	B	2,250	45.82	n/a	n/a	90.00	0.0
⌘ BUCK CAPITAL MGMT		BID	SS	50,000	31.30	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		BID	SS	70,000	31.33	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		BKW	SS	20,000	14.45	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		BKW	SS	20,000	14.45	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		BYI	B	10,000	48.07	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		BYI	B	10,000	48.07	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		BYI	B	40,000	48.33	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		BYI	B	40,000	48.33	n/a	n/a	non-brg	4.0
KAM ADVISORS LLC	041	CBS	B	90,000	36.22	n/a	n/a	2,700.00	0.0
TUDOR INVESTORS	028	CLD	B	10,000	18.23	n/a	n/a	300.00	3.0
TUDOR INVESTORS	028	CNX	SS	10,000	29.70	n/a	n/a	300.00	3.0
⌘ BUCK CAPITAL MGMT		COLM	C	14,200	54.91	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		COLM	C	14,200	54.91	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		COST	SS	20,000	100.36	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		DECK	B	20,000	36.04	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		DECK	B	40,000	36.13	n/a	n/a	non-brg	4.0
TEMAGAMI CAPITAL	041	DENN	B	13,966	5.00	n/a	n/a	418.98	3.0
⌘ BUCK CAPITAL MGMT		DG	B	19,600	51.22	n/a	5-Sep	non-brg	4.0
DELTEC ASSET MGMT.	040	DG	B	7,700	51.20	n/a	5-Sep	385.00	5.0
⌘ BUCK CAPITAL MGMT		DLTR	B	10,500	48.15	n/a	16-Aug	non-brg	4.0
PATTEN & PATTEN	025	DVY	B	100	57.78	n/a	n/a	5.00	5.0
PATTEN & PATTEN	025	D	B	50	52.94	n/a	n/a	2.50	5.0
⌘ BUCK CAPITAL MGMT		ENR	SS	30,000	75.14	n/a	18-Sep	non-brg	2.5
⌘ BUCK CAPITAL MGMT		ENR	SS	30,000	75.14	n/a	18-Sep	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>ESSX</b>	<b>B</b>	<b>600</b>	<b>3.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CHESAPEAKE PARTNERS	028	ETFC	B	10,000	8.75	n/a	n/a	300.00	3.0
PATTEN & PATTEN	025	EXC	S	150	35.62	n/a	n/a	7.50	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>FDO</b>	<b>B</b>	<b>7,900</b>	<b>64.02</b>	<b>n/a</b>	<b>19-Jul</b>	<b>non-brg</b>	<b>4.0</b>
CAERUS GLOBAL	041	FINL	S	16,571	22.75	n/a	21-Sep	662.84	4.0
WHITE PINE CAPITAL	030	FL	S	1,700	35.99	n/a	29-Aug	85.00	0.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>FOE</b>	<b>S</b>	<b>5000</b>	<b>3.59</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GIII</b>	<b>S</b>	<b>100</b>	<b>36.75</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GIII</b>	<b>S</b>	<b>100</b>	<b>36.75</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>GILD</b>	<b>S</b>	<b>15</b>	<b>0.42</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LATEEF MGMT	035	GLW	B	500	13.29	n/a	13-Sep	45.00	9.0
LEVIN CAPITAL STRATEGIES	041	GM	C	10,000	23.47	n/a	25-Sep	300.00	0.0
TRELLUS PARTNERS LP	028	GM	C	40,000	23.37	n/a	25-Sep	1,200.00	0.0
SAC CHICAGO ANDREW	031	GNC	B	44,460	36.86	n/a	n/a	1,556.10	3.5
BASSWOOD PARTNERS	267	GS	B	11,100	114.98	n/a	14-Sep	444.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>HAS</b>	<b>C</b>	<b>50,000</b>	<b>37.49</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	BUCK CAPITAL MGMT		HAS	C	50,000	37.49	n/a	n/a	non-brg	4.0
	DENVER INST. ADV	046	HLF	S	258,000	46.63	n/a	n/a	10,320.00	0.0
f	MARK DEVEREAUX KAICH	FID	HOV	B	2000	3.53	n/a	n/a	0.00	0.0
f	STEFFANIE CARMELA CA	FID	HOV	S	500	3.55	n/a	n/a	0.00	0.0
	LATEEF MGMT	035	HPQ	B	750	17.18	n/a	n/a	75.00	10.0
	PATTEN & PATTEN	025	HYG	S	200	92.58	n/a	n/a	10.00	5.0
	PATTEN & PATTEN	025	IGM	B	50	69.79	n/a	n/a	2.50	5.0
	PATTEN & PATTEN	025	IP	B	125	36.60	n/a	24-Sep	6.25	5.0
	CAERUS GLOBAL	041	JCP	S	15,000	24.52	n/a	13-Aug	600.00	4.0
	WEISS PECK - ROBECO INV		040 JNY	S	124,190	12.94		n/a	26-Jul	6,209.50 0.0
f	DAVID GEORGE BUCK	FID	JPM	S	1515	20.53	n/a	26-Sep	0.00	0.0
	MACELLUM CAPITAL	086	KORS	B	9,700	53.18	n/a	n/a	291.00	3.0
	J. GOLDMAN	028	KSS	B	15,000	50.93	n/a	31-Aug	600.00	4.0
B	BUCK CAPITAL MGMT		LEA	B	24,984	37.88	n/a	3-Aug	non-brg	4.0
B	BUCK CAPITAL MGMT		LL	SS	50,000	50.69	n/a	n/a	non-brg	4.0
B	BUCK CAPITAL MGMT		LL	SS	50,000	50.69	n/a	n/a	non-brg	4.0
	COOPER CREEK PART	028	LPX	SS	10,000	12.71	n/a	31-Jul	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		LTD	C	50,000	49.52	n/a	n/a	non-brg	4.0
ASCEND PARTNERS	033	LULU	C	15,000	73.99	n/a	10-Sep	750.00	0.0
ß BUCK CAPITAL MGMT		MAS	C	100,000	15.24	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		MAS	C	100,000	15.24	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		MCD	SS	20,000	93.45	n/a	11-Sep	non-brg	4.0
ß BUCK CAPITAL MGMT		MCD	SS	20,000	93.45	n/a	11-Sep	non-brg	4.0
ß BUCK CAPITAL MGMT		MCD	SS	21,500	93.44	n/a	11-Sep	non-brg	4.0
SANDLER O'NEILL ASSET	031	MS	S	15,000	16.87	n/a	11-Sep	750.00	5.0
ß BUCK CAPITAL MGMT		NKE	C	20,000	96.28	n/a	21-Sep	non-brg	4.0
LATEEF MGMT	035	NKE	B	300	95.35	n/a	21-Sep	54.00	18.0
ß BUCK CAPITAL MGMT		ORLY	SS	10,000	83.96	n/a	n/a	non-brg	2.5
MATRIX ASSET ADV.	091	OXY	B	2,500	85.10	n/a	n/a	100.00	4.0
PATTEN & PATTEN	025	PGX	B	500	14.77	n/a	n/a	25.00	5.0
PATTEN & PATTEN	025	PHB	B	1,000	19.11	n/a	n/a	50.00	5.0
ß BUCK CAPITAL MGMT		PII	B	20,000	80.82	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		PII	B	30,000	80.83	n/a	n/a	non-brg	2.5
BRONSON POINT	036	RCL	S	50,000	30.09	n/a	n/a	1,500.00	0.0
ß BUCK CAPITAL MGMT		RL	C	24,000	152.99	n/a	9-Aug	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAERUS GLOBAL	041	RL	B	3,784	152.24	n/a	9-Aug	151.36	4.0
MERRILL ASSET/BLACKROCK	297	RSE	B	6,100	14.57	n/a	n/a	244.00	0.0
⚡ BUCK CAPITAL MGMT		SCSS	B	20,000	30.94	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		SIG	B	11,700	48.50	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		SIG	B	38,300	48.48	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	025	SPY	B	100	144.83	n/a	n/a	5.00	5.0
f KAREN F LEDDY	FID	SRI	S	1500	4.85	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	SWN	B	75	35.02	n/a	27-Sep	3.75	5.0
CATAPULT	040	TCB	SS	5,000	11.90	n/a	n/a	200.00	0.0
LATEEF MGMT	035	TEVA	B	300	41.13	n/a	24-Sep	51.00	17.0
CAERUS GLOBAL	041	TGT	SS	3,795	63.63	n/a	30-Aug	151.80	4.0
SAC CHICAGO ANDREW	031	TGT	S	50,000	63.57	n/a	30-Aug	1,750.00	3.5
⚡ BUCK CAPITAL MGMT		TIF	SS	10,000	62.06	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		TIF	SS	10,000	62.09	n/a	n/a	non-brg	4.0
f EDWARD W WHEELER	FID	TITN	B	10000	19.76	n/a	n/a	0.00	0.0
SAC CHICAGO ANDREW	031	TJX	SS	20,000	44.54	n/a	31-Aug	700.00	3.5
f EDWARD W WHEELER	FID	TWI	B	5000	17.48	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	UNP	S	15	119.15	n/a	n/a	0.75	5.0
KLEINHEINZ CAP PART	031	URI	B	40,000	33.11	n/a	17-Apr	2,000.00	5.0
TUDOR INVESTORS	028	URI	B	5,000	33.01	n/a	17-Apr	150.00	3.0
PATTEN & PATTEN	025	VXZ	B	600	33.45	n/a	n/a	30.00	5.0
PATTEN & PATTEN	025	WAG	B	125	36.66	n/a	n/a	6.25	5.0
ß BUCK CAPITAL MGMT		WMT	SS	20,000	74.11	n/a	17-Aug	non-brg	4.0
ß BUCK CAPITAL MGMT		WMT	SS	50,000	73.94	n/a	17-Aug	non-brg	4.0
ß BUCK CAPITAL MGMT		WMT	SS	50,000	73.95	n/a	17-Aug	non-brg	4.0
f ROHINI T SADARANGANI	FID	WNC	S	100	6.76	n/a	n/a	0.00	0.0
ACK ASSET	028	WSM	SS	36,000	43.20	n/a	n/a	1,080.00	0.0
ß BUCK CAPITAL MGMT		WSM	SS	20,000	44.11	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		WSM	SS	40,000	43.88	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	025	XLP	B	200	35.98	n/a	n/a	10.00	5.0
PATTEN & PATTEN	025	XLV	B	200	40.36	n/a	n/a	10.00	5.0
f EDWARD W WHEELER	FID	XPO	B	5000	12.08	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		ZUMZ	B	150,000	27.78	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		ZUMZ	B	90,000	27.86	n/a	n/a	non-brg	4.0
f DOUGLAS ROGERS	FID		B	5000	99.41	n/a	n/a	0.00	0.0

---

**TOTAL (Trade Date):**

**46,292.38**

---



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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	09/26	BAIRD INVESTMENT	047	FTNT	B	11,850	21.82	n/a	n/a	592.50 0.0
AO,CRT	09/26	BAIRD INVESTMENT	047	FTNT	B	11,850	24.82	n/a	n/a	592.50 0.0
AO,CXL	09/26	SANDLER O'NEILL ASSET	031	LAZ	B	2,900	28.60	n/a	5-Sep	145.00 5.0
AO,CRT	09/26	WOOSTER CAPITAL	035	LEA	B	10,000	37.47	n/a	3-Aug	500.00 5.0
AO,CXL	09/26	WOOSTER CAPITAL	035	LEA	B	10,000	37.48	n/a	3-Aug	500.00 5.0

---

<b>TOTAL (AO, CXL, CRT) :</b>	<b>-145.00</b>
-------------------------------	----------------

---

---

TOTAL (Trade Date) :	46,292.38
TOTAL (AO, CXL, CRT) :	-145.00

---

<b>TOTAL (RUN DATE) / NFS :</b>	<b>46,147.38</b>
---------------------------------	------------------

---

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
------	------	---------	--------	-----	--------	-------	--------------	-------------

MRI Securities with Trade Activity on 27-Sep.  
NONE

MRI Securities without Trade Activity on 27-Sep.  
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)**