



Daily Compliance Activity Report

Trade Date: 08/30/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f NICOLAS EVAN PAKLER	FID	AAPL	B	4	21.45	n/a	n/a	0.00	0.0
NEUBERGER BERMAN	036	ABB	B	25,000	17.15	n/a	n/a	1,000.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	APP	B	1000	1.10	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ATI	B	34,000	29.46	n/a	7-Aug	non-brg	4.0
LATEEF MGMT	035	ATI	B	100	29.43	n/a	7-Aug	25.00	25.0
LATEEF MGMT	035	ATI	S	175	29.52	n/a	7-Aug	31.50	18.0
NEUBERGER BERMAN	036	BHP	B	15,925	65.08	n/a	n/a	637.00	0.0
B BUCK CAPITAL MGMT		BNNY	B	30,000	41.42	n/a	n/a	non-brg	2.5
PARKWEST	084	CRAY	B	25,000	11.54	n/a	n/a	1,000.00	4.0
B BUCK CAPITAL MGMT		CROX	B	20,000	17.38	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CROX	B	20,000	17.38	n/a	n/a	non-brg	4.0
NEUBERGER BERMAN	036	CXO	S	15,600	88.49	n/a	n/a	624.00	0.0
BALYASNY ASSET MGMT	044	DAN	B	21,332	13.63	n/a	27-Jul	1,066.60	0.0
LATEEF MGMT	035	DE	B	125	74.36	n/a	11-Jul	25.00	20.0
B BUCK CAPITAL MGMT		DG	B	30,000	49.16	n/a	27-Jun	non-brg	4.0
LEVIN CAPITAL STRATEGIES	041	DLPH	S	10,000	30.02	n/a	n/a	300.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	035	DOW	B	100	29.44	n/a	30-Aug	25.00	25.0
PERIMETER	273	ENH	B	45,347	37.43	n/a	n/a	1,360.41	0.0
ROTHSCHILD ASSET	040	EPL	B	65,103	17.07	n/a	n/a	2,604.12	0.0
NEUBERGER BERMAN	036	FCX	B	54,819	34.68	n/a	n/a	2,192.76	0.0
METROPOLITAN CAPITAL	044	FL	B	3,200	34.47	n/a	29-Aug	160.00	0.0
SANDLER CAPITAL	028	FL	B	140,000	34.46	n/a	29-Aug	7,000.00	0.0
LATEEF MGMT	035	FMER	B	200	15.75	n/a	n/a	30.00	15.0
⚡ BUCK CAPITAL MGMT		GIL	S	50,000	30.02	n/a	3-Aug	non-brg	4.0
LATEEF MGMT	035	GLW	B	250	11.60	n/a	20-Aug	25.00	10.0
⚡ BUCK CAPITAL MGMT		GNC	B	20,000	38.58	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		GNC	B	51,200	38.32	n/a	n/a	non-brg	4.0
SCOPUS FUND	041	GPI	B	25,000	55.03	n/a	27-Jul	1,000.00	4.0
BASSWOOD PARTNERS	267	GS	B	9,100	104.42	n/a	22-Aug	364.00	0.0
⚡ BUCK CAPITAL MGMT		HBI	S	40,000	32.06	n/a	1-Aug	non-brg	4.0
NEUBERGER BERMAN	036	HCA	B	15,000	28.39	n/a	n/a	600.00	0.0
BALYASNY ASSET MGMT	044	HOT	SS	21,599	54.72	n/a	13-Jun	1,079.95	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEEF MGMT	035	HPQ	B	150	16.85	n/a	n/a	27.00	18.0
PZENA INV ADV	044	HPQ	B	149,850	16.88	n/a	n/a	5,244.90	0.0
ROBERTSON STEVENS	084	HSH	B	31,400	25.80	n/a	n/a	1,256.00	0.0
TALPION LLC	040	HTZ	B	10,000	14.25	n/a	n/a	400.00	0.0
CSFB GLOBAL PROPRIETARY	041	IP	B	85,000	34.44	n/a	20-Aug	4,250.00	5.0
STRONG/MARK GRONET	030	ITPOF	S	36,070	7.36	n/a	n/a	1,082.10	0.0
⌘ BUCK CAPITAL MGMT		IWM	SS	50,000	80.82	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		IWM	SS	50,000	80.86	n/a	n/a	non-brg	2.0
LATEEF MGMT	035	JCI	S	175	27.06	n/a	20-Jul	31.50	18.0
BALYASNY ASSET MGMT	044	JCP	B	19,864	26.02	n/a	13-Aug	993.20	0.0
BALYASNY ASSET MGMT	044	JCP	C	20,000	26.25	n/a	13-Aug	1,000.00	0.0
⌘ BUCK CAPITAL MGMT		JCP	SS	10,000	26.11	n/a	13-Aug	non-brg	4.0
NEUBERGER BERMAN	036	JOY	B	19,472	52.77	n/a	11-Jul	778.88	0.0
THE JAY GOLDMAN	028	JWN	S	40,000	57.88	n/a	24-Aug	1,600.00	4.0
⌘ BUCK CAPITAL MGMT		KORS	S	5,545	54.64	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		KORS	S	8,490	54.64	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		LVS	S	25,000	41.80	n/a	13-Jun	non-brg	4.0
BALYASNY ASSET MGMT	044	MAR	SS	10,000	37.61	n/a	13-Jun	500.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEUBERGER BERMAN	036	MATW	S	5,800	29.74	n/a	n/a	232.00	0.0
NEUBERGER BERMAN	036	MAT	B	10,000	35.27	n/a	n/a	400.00	0.0
NEUBERGER BERMAN	036	MDR	B	25,000	11.00	n/a	n/a	1,000.00	0.0
MAIRS AND POWER INV	030	MDU	B	10,000	21.69	n/a	n/a	500.00	5.0
P.SCHOENFELD ASSET MGMT LLC	041	MWW	S	60,029	6.92	n/a	n/a	2,401.16	0.0
BALYASNY ASSET MGMT	044	MW	B	15,000	31.36	n/a	n/a	750.00	0.0
B BUCK CAPITAL MGMT		MW	B	30,000	31.39	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		M	S	20,000	40.17	n/a	24-Aug	non-brg	4.0
SIMMONS VENTURES	041	M	B	5,000	40.58	n/a	24-Aug	200.00	4.0
PARKWEST	084	NDZ	S	12,488	10.40	n/a	n/a	499.52	4.0
B BUCK CAPITAL MGMT		NFLX	SS	10,000	62.40	n/a	n/a	non-brg	4.0
LATEEF MGMT	035	NYB	S	350	13.18	n/a	6-Aug	35.00	10.0
NEUBERGER BERMAN	036	OII	S	37,000	53.01	n/a	n/a	1,480.00	0.0
LATEEF MGMT	035	OI	B	150	17.51	n/a	n/a	27.00	18.0
LATEEF MGMT	035	PBCT	B	125	11.99	n/a	19-Jul	25.00	20.0
B BUCK CAPITAL MGMT		PCLN	SS	1,300	605.42	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		PFE	B	25,000	23.90	n/a	n/a	non-brg	4.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	72,000	31.75	n/a	20-Aug	3,600.00	5.0
IRIDIAN ASSET MGMT.	036	PKG	S	91,900	31.74	n/a	20-Aug	4,595.00	0.0
LATEEF MGMT	035	PKG	S	125	31.69	n/a	20-Aug	25.00	20.0
BALYASNY ASSET MGMT	044	ROST	SS	18,259	69.54	n/a	24-Aug	912.95	0.0
NEUBERGER BERMAN	036	RRC	B	10,000	64.65	n/a	23-Jul	400.00	0.0
B BUCK CAPITAL MGMT		SCSS	B	20,000	28.92	n/a	n/a	non-brg	4.0
NEUBERGER BERMAN	036	SEE	B	25,000	14.33	n/a	2-Jun	1,000.00	0.0
LATEEF MGMT	035	SPLS	B	300	10.77	n/a	n/a	30.00	10.0
B BUCK CAPITAL MGMT		SPY	SS	30,000	140.51	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		SPY	SS	30,000	140.53	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		TEVA	B	25,000	39.59	n/a	30-Aug	non-brg	1.0
f JONATHAN RICHARD HAR	FID	TFM	B	130	56.80	n/a	n/a	0.00	0.0
THE JAY GOLDMAN	028	TGT	B	25,000	64.20	n/a	30-Aug	1,000.00	4.0
f MARK DEVEREAUX KAICH	FID	TIVO	B	1500	9.18	n/a	n/a	0.00	0.0
CSFB GLOBAL PROPRIETARY	041	UFS	B	10,000	72.02	n/a	n/a	500.00	5.0
LATEEF MGMT	035	UN	S	125	34.59	n/a	n/a	25.00	20.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PZENA INV ADV	044	VLO	S	107,450	30.79	n/a	n/a	3,760.76	0.0
f DAVID GEORGE BUCK	FID	V	B	10	1.88	n/a	26-Jul	0.00	0.0
B BUCK CAPITAL MGMT		WERN	B	10,000	22.22	n/a	n/a	non-brg	1.0
INVESCO	031	WMT	S	76,021	72.44	n/a	17-Aug	3,040.84	0.0
f MICHAEL C PERILLO	FID	WNC	B	150	6.49	n/a	n/a	0.00	0.0
CAERUS GLOBAL	041	WRC	B	5,000	51.38	n/a	7-Aug	200.00	4.0
LEVIN CAPITAL STRATEGIES	041	XRT	SS	25,250	61.21	n/a	n/a	757.50	0.0
B BUCK CAPITAL MGMT		ZUMZ	B	50,000	32.40	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		ZUMZ	B	50,000	32.40	n/a	n/a	non-brg	2.5
TOTAL (Trade Date):								65,710.65	

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) :									65,710.65
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									65,710.65

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 30-Aug.
NONE

MRI Securities without Trade Activity on 30-Aug.
IR

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)