



# Daily Compliance Activity Report

Trade Date: 09/26/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	AA	B	28,000	8.92	n/a	n/a	560.00	2.0
ROYCE TRADING	031	AEO	B	5,000	20.95	n/a	2-Dec	250.00	0.0
KLEINHEINZ CAP PART	031	AN	S	75,000	43.10	n/a	20-Jul	3,750.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>ASNA</b>	<b>B</b>	<b>30,000</b>	<b>21.13</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
CYRUS CAPITAL	025	AWI	S	7,000	45.60	n/a	n/a	210.00	3.0
ARSENAL ASSET MANAGEMENT	028	AXL	B	30,000	11.26	n/a	30-Jul	1,200.00	0.0
<b>Õ Nilsa Vazquez</b>		<b>AXL</b>	<b>B</b>	<b>350</b>	<b>11.02</b>	<b>n/a</b>	<b>30-Jul</b>	<b>0.00</b>	<b>0.0</b>
BRONSON POINT	036	AXP	C	40,000	56.49	n/a	20-Sep	1,200.00	0.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>AXP</b>	<b>B</b>	<b>500</b>	<b>56.13</b>	<b>n/a</b>	<b>20-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BID</b>	<b>SS</b>	<b>20,000</b>	<b>31.16</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BASSWOOD PARTNERS	267	CHRW	SS	3,300	59.48	n/a	n/a	132.00	0.0
SENATOR INVESTMENT GROUP	036	COF	B	35,000	55.44	n/a	20-Sep	1,050.00	3.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>COH</b>	<b>S</b>	<b>13000</b>	<b>53.58</b>	<b>n/a</b>	<b>1-Aug</b>	<b>0.00</b>	<b>0.0</b>
VISIUM/BALY BOBBY	044	CP	B	15,295	83.75	n/a	n/a	764.75	0.0
PERIMETER	273	CRL	B	2,690	37.56	n/a	n/a	107.60	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B</b> BUCK CAPITAL MGMT		<b>CROX</b>	<b>B</b>	<b>20,000</b>	<b>16.40</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> JONATHAN RICHARD HAR	<b>FID</b>	<b>CVGI</b>	<b>B</b>	<b>300</b>	<b>7.87</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> KATHERINE L O'GORMAN	<b>FID</b>	<b>CVGI</b>	<b>S</b>	<b>1700</b>	<b>7.84</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> PATRICK O'GRADY	<b>FID</b>	<b>DECK</b>	<b>B</b>	<b>30</b>	<b>35.94</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CHESAPEAKE PARTNERS	028	DGI	B	24,525	20.61	n/a	n/a	735.75	3.0
PERIMETER	273	DGI	B	3,640	20.99	n/a	n/a	145.60	0.0
<b>f</b> MATTHEW FRANCIS BUCK	<b>FID</b>	<b>DIS</b>	<b>B</b>	<b>90</b>	<b>52.01</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>DLTR</b>	<b>B</b>	<b>20,000</b>	<b>48.85</b>	<b>n/a</b>	<b>16-Aug</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> MANNY I KORMAN	<b>FID</b>	<b>EMC</b>	<b>S</b>	<b>4000</b>	<b>26.69</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CHESAPEAKE PARTNERS	028	ETFC	B	10,000	8.65	n/a	n/a	300.00	3.0
BAIRD INVESTMENT	047	ETN	B	9,800	46.25	n/a	26-Sep	490.00	0.0
<b>f</b> DAEIL CHA	<b>FID</b>	<b>FBC</b>	<b>B</b>	<b>330</b>	<b>1.06</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> KAREN F LEDDY	<b>FID</b>	<b>FIG</b>	<b>S</b>	<b>700</b>	<b>4.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CASTLEROCK	040	FINL	B	15,000	22.49	n/a	21-Sep	600.00	0.0
ROYCE TRADING	031	FINL	B	9,000	22.46	n/a	21-Sep	450.00	0.0
SAC CHICAGO ANDREW	031	FINL	B	50,000	22.50	n/a	21-Sep	1,750.00	3.5
VISIUM/BALY BOBBY	044	FLR	B	3,000	55.97	n/a	n/a	150.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STANDARD PACIFIC CAPITAL	084	FMCN	S	179,100	23.24	n/a	n/a	8,955.00	5.0
LATEEF MGMT	035	FMER	B	625	14.79	n/a	n/a	62.50	10.0
<b>B BUCK CAPITAL MGMT</b>		<b>FOSL</b>	<b>B</b>	<b>20,000</b>	<b>84.18</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BAIRD INVESTMENT	047	FTNT	B	11,850	21.82	n/a	n/a	592.50	0.0
FORTRESS INVESTMENT (US)	036	GE	B	135,000	22.17	n/a	n/a	2,700.00	0.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>GGP</b>	<b>B</b>	<b>1500</b>	<b>19.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f KEVIN MICHAEL O'GORM</b>	<b>FID</b>	<b>GLW</b>	<b>S</b>	<b>2000</b>	<b>12.73</b>	<b>n/a</b>	<b>13-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>GLW</b>	<b>S</b>	<b>8000</b>	<b>12.74</b>	<b>n/a</b>	<b>13-Sep</b>	<b>0.00</b>	<b>0.0</b>
ROSEDALE CAPITAL	046	GM	B	10,000	22.96	n/a	25-Sep	500.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>HMB SS</b>	<b>SS</b>	<b>50,000</b>	<b>37.23</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>5.6</b>
CSFB GLOBAL PROPRIETARY	041	IP	B	15,000	35.70	n/a	24-Sep	750.00	5.0
BASSWOOD PARTNERS	267	ITW	SS	7,600	59.47	n/a	n/a	304.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>IWF</b>	<b>SS</b>	<b>900,000</b>	<b>66.39</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>IWF</b>	<b>SS</b>	<b>900,000</b>	<b>66.39</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>IWM</b>	<b>C</b>	<b>720,050</b>	<b>83.12</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>IWM</b>	<b>C</b>	<b>724,911</b>	<b>83.12</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>IWO</b>	<b>SS</b>	<b>625,000</b>	<b>94.88</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
<b>B BUCK CAPITAL MGMT</b>		<b>IWO</b>	<b>SS</b>	<b>625,000</b>	<b>94.88</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg 1.0</b>
METROPOLITAN CAPITAL	044	JAKK	S	22,905	14.13	n/a	n/a	1,145.25 5.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>JCI</b>	<b>S</b>	<b>7000</b>	<b>27.46</b>	<b>n/a</b>	<b>20-Jul</b>	<b>0.00 0.0</b>
BASSWOOD PARTNERS	267	JWN	SS	4,400	54.79	n/a	31-Aug	176.00 0.0
<b>B BUCK CAPITAL MGMT</b>		<b>JWN</b>	<b>B</b>	<b>20,000</b>	<b>54.86</b>	<b>n/a</b>	<b>31-Aug</b>	<b>non-brg 4.0</b>
BASSWOOD PARTNERS	267	KMX	SS	14,300	28.28	n/a	n/a	572.00 0.0
<b>B BUCK CAPITAL MGMT</b>		<b>KORS</b>	<b>B</b>	<b>10,000</b>	<b>52.80</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg 4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>KORS</b>	<b>B</b>	<b>20,000</b>	<b>52.94</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg 4.0</b>
RIDGECREST INV MGMT LLC	028	KORS	S	2,500	52.11	n/a	n/a	100.00 4.0
CYRUS CAPITAL	025	KRO	SS	10,000	14.90	n/a	n/a	300.00 3.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>KSS</b>	<b>S</b>	<b>5000</b>	<b>51.24</b>	<b>n/a</b>	<b>31-Aug</b>	<b>0.00 0.0</b>
NOMURA/ANGEL LANE PRINCIPAL	040	KSS	B	30,000	51.39	n/a	31-Aug	900.00 3.0
SANDLER O'NEILL ASSET	031	LAZ	B	12,900	28.60	n/a	5-Sep	645.00 5.0
WOOSTER CAPITAL	035	LEA	B	10,000	37.48	n/a	3-Aug	500.00 5.0
BRONSON POINT	036	LM	C	37,500	24.83	n/a	2-Mar	1,125.00 0.0
DISIPLINED GROWTH INV.	030	LTD	B	4,000	49.06	n/a	n/a	200.00 0.0
<b>B BUCK CAPITAL MGMT</b>		<b>MFRM</b>	<b>S</b>	<b>1,000</b>	<b>29.03</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg 4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MFRM</b>	<b>S</b>	<b>1,000</b>	<b>29.03</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg 4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		MFRM	S	1,100	29.00	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		MFRM	S	1,100	29.00	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		MFRM	S	8,900	29.21	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		MFRM	S	8,900	29.21	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		MFRM	S	9,000	29.20	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		MFRM	S	9,000	29.20	n/a	n/a	non-brg	4.0
DISCIPLINED GROWTH INV.	030	MIDD	B	1,300	115.90	n/a	n/a	65.00	0.0
PARKWEST	084	MINI	B	27,767	16.77	n/a	n/a	1,110.68	4.0
BASSWOOD PARTNERS	267	MSM	SS	2,200	70.37	n/a	n/a	88.00	0.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	40,000	30.49	n/a	25-Jul	2,000.00	5.0
LEVIN CAPITAL STRATEGIES	041	M	S	20,150	37.75	n/a	31-Aug	604.50	0.0
⚡ BUCK CAPITAL MGMT		NKE	C	20,000	95.48	n/a	21-Sep	non-brg	4.0
HIGHBRIDGE CAP	041	NSC	SS	3,500	64.49	n/a	n/a	105.00	3.0
STANDARD PACIFIC CAPITAL	084	PCAR	B	125,000	39.81	n/a	12-Sep	6,250.00	5.0
⚡ BUCK CAPITAL MGMT		PFE	B	35,000	24.90	n/a	n/a	non-brg	4.0
f KATHERINE L O'GORMAN	FID	PG	S	500	69.75	n/a	18-Sep	0.00	0.0
STANDARD PACIFIC CAPITAL	084	PH	SS	55,000	82.21	n/a	n/a	2,750.00	5.0
BALYASNY ASSET MGMT	044	PLL	SS	20,000	63.16	n/a	n/a	1,000.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MACELLUM CAPITAL	086	PVH	B	7,720	92.62	n/a	29-Aug	231.60	3.0
f MANNY I KORMAN	FID	QCOM	S	5000	62.24	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	RAI	S	4000	43.83	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	RAI	S	400	43.84	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	RAI	S	400	43.86	n/a	n/a	0.00	0.0
DISIPLINED GROWTH INV.	030	RCL	B	2,900	29.95	n/a	n/a	145.00	0.0
f PATRICK O'GRADY	FID	RIMM	B	140	7.05	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		RL	C	10,000	150.45	n/a	9-Aug	non-brg	4.0
MACELLUM CAPITAL	086	RUE	SS	11,760	30.32	n/a	n/a	352.80	3.0
ß BUCK CAPITAL MGMT		SBH	S	57,500	25.23	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SBH	S	57,500	25.23	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	SBUX	B	1000	50.25	n/a	27-Jul	0.00	0.0
f DAVID GEORGE BUCK	FID	SBUX	B	300	50.24	n/a	27-Jul	0.00	0.0
ß BUCK CAPITAL MGMT		SIG	B	30,000	48.54	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SPY	C	424,229	143.27	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		SPY	C	427,900	143.27	n/a	n/a	non-brg	1.0
RIDGECREST INV MGMT LLC	028	SPY	B	10,000	143.63	n/a	n/a	400.00	4.0
f JOSEPH CIRO AMATURO	FID	SRI	B	5000	4.50	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
VISIUM/BALY BOBBY	044	SWFT	B	10,000	8.54	n/a	n/a	400.00	0.0
NEW JERSEY DIV OF INV.	030	TGI	S	10,000	61.35	n/a	n/a	400.00	4.0
SAC CHICAGO ANDREW	031	TGT	S	30,000	63.99	n/a	30-Aug	1,050.00	3.5
BRONSON POINT	036	TIF	B	25,000	61.61	n/a	n/a	750.00	0.0
DISIPLINED GROWTH INV.	030	TJX	B	7,400	44.51	n/a	31-Aug	370.00	0.0
BRONSON POINT	036	TYC	S	25,000	54.69	n/a	3-Aug	750.00	0.0
VISIUM/BALY BOBBY	044	UNP	S	10,640	119.06	n/a	n/a	532.00	0.0
HIGHBRIDGE CAP	041	USG	B	11,500	21.75	n/a	1-Aug	345.00	3.0
<b>f MATTHEW FRANCIS BUCK</b>	<b>FID</b>	<b>VNO</b>	<b>B</b>	<b>100</b>	<b>81.06</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
VISIUM/BALY BOBBY	044	WBC	B	5,000	56.03	n/a	29-Aug	250.00	0.0
INVESCO	031	WMT	B	57,724	74.50	n/a	17-Aug	2,308.96	0.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>WRC</b>	<b>S</b>	<b>10000</b>	<b>50.18</b>	<b>n/a</b>	<b>7-Aug</b>	<b>0.00</b>	<b>0.0</b>
HIGHBRIDGE CAP	041	XLV	SS	50,000	40.19	n/a	n/a	1,000.00	2.0
<b>B BUCK CAPITAL MGMT</b>		<b>XLV</b>	<b>SS</b>	<b>96,700</b>	<b>46.57</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>XLV</b>	<b>SS</b>	<b>96,700</b>	<b>46.57</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
HIGHBRIDGE CAP	041	X	B	13,000	19.61	n/a	n/a	390.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		ZUMZ	B	200,000	26.94	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		ZUMZ	B	70,000	26.86	n/a	n/a	non-brg	4.0
TUDOR INVESTORS	028	ZUMZ	SS	37,500	26.52	n/a	n/a	1,125.00	3.0
<b>TOTAL (Trade Date):</b>								<b>58,146.49</b>	



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) :									58,146.49
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									58,146.49

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 26-Sep.  
NONE

MRI Securities without Trade Activity on 26-Sep.  
NONE

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)**