



Daily Compliance Activity Report

Trade Date: 04/19/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|------------------------|-----|---------|-----|---------|-------|-----|----------|--------------|------|
| B BUCK CAPITAL MGMT | | 1913 HK | S | 100,000 | 6.60 | n/a | n/a | non-brg | 1.3 |
| B BUCK CAPITAL MGMT | | 1913 HK | S | 100,000 | 6.60 | n/a | n/a | non-brg | 1.3 |
| NEW JERSEY DIV OF INV. | 030 | ABD | B | 10,000 | 10.94 | n/a | n/a | 400.00 | 4.0 |
| PRIMECAP MGMT | 084 | ABT | B | 4,600 | 59.40 | n/a | n/a | 184.00 | 4.0 |
| B BUCK CAPITAL MGMT | | ACAT | S | 40,000 | 45.57 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | ACAT | S | 6,100 | 45.83 | n/a | n/a | non-brg | 4.0 |
| LAKEWOOD CAPITAL MGMT | 085 | ANF | S | 10,000 | 48.38 | n/a | 16-Feb | 300.00 | 3.0 |
| TUDOR INVESTORS | 028 | ANR | S | 5,000 | 16.91 | n/a | n/a | 150.00 | 3.0 |
| B BUCK CAPITAL MGMT | | ARCO | B | 20,000 | 17.95 | n/a | 13-Apr | non-brg | 4.0 |
| f JOSEPH CIRO AMATURO | FID | ARCO | B | 2000 | 17.88 | n/a | 13-Apr | 0.00 | 0.0 |
| LATEFF MGMT | 035 | AREPRE | B | 1,600 | 25.14 | n/a | n/a | 175.00 | 12.5 |
| DEVENNY CAP LLC | 044 | AXL | B | 25,000 | 10.75 | n/a | 18-Apr | 750.00 | 3.0 |
| PATTEN & PATTEN | 025 | BAC | B | 200 | 8.82 | n/a | 4-Apr | 10.00 | 5.0 |
| PATTEN & PATTEN | 025 | BBY | S | 2,300 | 22.07 | n/a | n/a | 115.00 | 5.0 |
| f DAVID GEORGE BUCK | FID | BIOS | B | 4000 | 7.19 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | BONT | B | 62,728 | 6.60 | n/a | n/a | non-brg | 2.5 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------------|------------|-------------|----------|---------------|--------------|------------|---------------|----------------|------------|
| HIGHFIELDS CAP MGMT | 030 | CCE | B | 215,000 | 28.63 | n/a | n/a | 6,450.00 | 3.0 |
| f JOSEPH CIRO AMATURO | FID | CDXS | B | 10000 | 3.59 | n/a | n/a | 0.00 | 0.0 |
| f STEFFANIE CARMELA CA | FID | CDXS | B | 1000 | 3.59 | n/a | n/a | 0.00 | 0.0 |
| MERRILL ASSET/BLACKROCK | 297 | CFR | S | 22,800 | 56.28 | n/a | n/a | 912.00 | 4.0 |
| B BUCK CAPITAL MGMT | | COH | B | 50,000 | 75.54 | n/a | 19-Apr | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | COH | B | 50,000 | 75.54 | n/a | 19-Apr | non-brg | 4.0 |
| SCOPUS FUND | 041 | COH | B | 50,000 | 75.39 | n/a | 19-Apr | 2,000.00 | 4.0 |
| f JONATHAN RICHARD HAR | FID | CVGI | B | 550 | 9.92 | n/a | n/a | 0.00 | 0.0 |
| f DAVID GEORGE BUCK | FID | CVS | B | 1010 | 29.44 | n/a | n/a | 0.00 | 0.0 |
| SUN AMERICA ASSET MGMT | 030 | CY | S | 2,300 | 16.25 | n/a | n/a | 92.00 | 4.0 |
| f DAVID GEORGE BUCK | FID | C | S | 1500 | 35.09 | n/a | 17-Apr | 0.00 | 0.0 |
| BASSWOOD PARTNERS | 267 | DAN | B | 39,700 | 14.24 | n/a | 18-Apr | 1,588.00 | 4.0 |
| B BUCK CAPITAL MGMT | | DECK | B | 9,000 | 66.95 | n/a | n/a | non-brg | 4.0 |
| f JONATHAN RICHARD HAR | FID | DECK | S | 45 | 67.09 | n/a | n/a | 0.00 | 0.0 |
| KACELA CAPITAL | 034 | DHR | SS | 25,000 | 53.34 | n/a | n/a | 1,000.00 | 4.0 |
| BERMAN CAPITAL MGMT | 046 | DLTR | SS | 2,000 | 98.08 | n/a | 13-Mar | 60.00 | 3.0 |
| BASSWOOD PARTNERS | 267 | DOV | B | 11,500 | 60.17 | n/a | n/a | 460.00 | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|-------------|----------|---------------|--------------|------------|---------------|----------------|------------|
| PATTEN & PATTEN | 025 | DOW | S | 800 | 34.76 | n/a | 21-Mar | 40.00 | 5.0 |
| f DAVID GEORGE BUCK | FID | DRI | S | 2000 | 49.54 | n/a | 13-Apr | 0.00 | 0.0 |
| BASIX | 033 | EAT | S | 14,000 | 27.83 | n/a | 17-Apr | 420.00 | 3.0 |
| COLUMBUS CIRCLE | 036 | EDMC | S | 2,877 | 12.05 | n/a | n/a | 115.08 | 4.0 |
| PATTEN & PATTEN | 025 | EPP | S | 1,500 | 43.52 | n/a | n/a | 75.00 | 5.0 |
| f IAN L MILLER | FID | ERY | B | 100 | 10.77 | n/a | n/a | 0.00 | 0.0 |
| PATTEN & PATTEN | 025 | ETN | B | 1,500 | 47.04 | n/a | 18-Apr | 75.00 | 5.0 |
| B BUCK CAPITAL MGMT | | FDO | B | 13,500 | 67.44 | n/a | 3-Apr | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | FITB | S | 50,000 | 14.00 | n/a | n/a | non-brg | 4.0 |
| CASTLEROCK | 040 | F | SS | 221,552 | 11.71 | n/a | 18-Apr | 8,862.08 | 4.0 |
| OZ MGMT | 040 | F | SS | 100,000 | 11.73 | n/a | 18-Apr | 3,000.00 | 3.0 |
| RIDGECREST INV MGMT LLC | 028 | F | S | 25,000 | 11.69 | n/a | 18-Apr | 1,000.00 | 4.0 |
| SIMMONS VENTURES | 041 | GES | B | 3,000 | 29.45 | n/a | 19-Apr | 120.00 | 4.0 |
| B BUCK CAPITAL MGMT | | GIL | S | 20,000 | 27.34 | n/a | 19-Apr | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | GIL | S | 20,000 | 27.34 | n/a | 19-Apr | non-brg | 4.0 |
| TUDOR INVESTORS | 028 | GMT | B | 5,000 | 42.20 | n/a | n/a | 150.00 | 3.0 |
| BALYASNY ASSET MGMT | 044 | GM | SS | 50,000 | 24.14 | n/a | 18-Apr | 2,500.00 | 5.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------------|------------|-------------|----------|----------------|--------------|------------|---------------|----------------|------------|
| HARVEST MGMT (JMP) | 029 | GM | B | 10,000 | 24.10 | n/a | 18-Apr | 400.00 | 4.0 |
| OZ MGMT | 040 | GM | B | 25,000 | 24.07 | n/a | 18-Apr | 750.00 | 3.0 |
| OZ MGMT | 040 | GM | SS | 50,000 | 24.54 | n/a | 18-Apr | 1,500.00 | 3.0 |
| SCOPUS FUND | 041 | GM | B | 50,000 | 24.74 | n/a | 18-Apr | 2,000.00 | 4.0 |
| DEVENNY CAP LLC | 044 | GNTX | B | 25,000 | 23.05 | n/a | 1-Feb | 750.00 | 3.0 |
| CATAPULT | 040 | HBI | SS | 8,249 | 27.01 | n/a | 19-Apr | 329.96 | 4.0 |
| EGS ASSOCIATES LP | 091 | HBI | B | 7,500 | 27.05 | n/a | 19-Apr | 450.00 | 6.0 |
| PATTEN & PATTEN | 025 | HD | S | 300 | 51.60 | n/a | 21-Feb | 15.00 | 5.0 |
| f JESSICA PERNO | FID | HGSI | S | 100 | 14.32 | n/a | n/a | 0.00 | 0.0 |
| f JOSEPH CIRO AMATURO | FID | HGSI | S | 10000 | 14.36 | n/a | n/a | 0.00 | 0.0 |
| f JOSEPH CIRO AMATURO | FID | HGSI | S | 1000 | 14.28 | n/a | n/a | 0.00 | 0.0 |
| f STEFFANIE CARMELA CA | FID | HGSI | S | 300 | 14.34 | n/a | n/a | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | HOT | S | 26,000 | 58.10 | n/a | 13-Jun | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | HOT | S | 50,000 | 58.10 | n/a | 13-Jun | non-brg | 4.0 |
| PATTEN & PATTEN | 025 | INTC | B | 2,000 | 27.71 | n/a | n/a | 100.00 | 5.0 |
| BARROW HANLEY MEWHINNEY | 031 | ITT | B | 17,100 | 21.79 | n/a | n/a | 598.50 | 3.5 |
| MFP INVESTORS | 085 | JNS | B | 100,000 | 8.04 | n/a | n/a | 4,000.00 | 4.0 |
| B BUCK CAPITAL MGMT | | JNY | S | 200,000 | 12.74 | n/a | 19-Apr | non-brg | 4.0 |
| SIMMONS VENTURES | 041 | JNY | B | 5,000 | 12.75 | n/a | 19-Apr | 200.00 | 4.0 |
| B BUCK CAPITAL MGMT | | KSS | S | 1,200 | 50.57 | n/a | 19-Apr | non-brg | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|----------------------------|------------|-------------|----------|----------------|--------------|------------|---------------|----------------|------------|
| MILLRACE FUND LP | 028 | KSS | B | 14,000 | 50.79 | n/a | 19-Apr | 560.00 | 4.0 |
| KACELA CAPITAL | 034 | KSU | S | 31,250 | 71.72 | n/a | n/a | 1,250.00 | 4.0 |
| f DAVID GEORGE BUCK | FID | MCD | S | 10 | 0.54 | n/a | 16-Apr | 0.00 | 0.0 |
| PATTEN & PATTEN | 025 | MS | B | 400 | 17.87 | 19-Apr | 19-Apr | 20.00 | 5.0 |
| SOROS | 036 | MS | SS | 500,000 | 18.33 | 19-Apr | 19-Apr | 20,000.00 | 4.0 |
| f KAREN F LEDDY | FID | MWV | S | 400 | 31.22 | n/a | 16-Apr | 0.00 | 0.0 |
| BASSWOOD PARTNERS | 267 | MYL | B | 15,600 | 21.88 | n/a | 18-Apr | 624.00 | 4.0 |
| BNP PARIBAS SEC | 040 | NAV | B | 10,000 | 35.99 | n/a | 18-Apr | 500.00 | 5.0 |
| FIRST NEW YORK LEDDY | 035 | NOK | S | 20,000 | 3.86 | n/a | n/a | 800.00 | 4.0 |
| PATTEN & PATTEN | 025 | NSC | B | 700 | 68.88 | n/a | n/a | 35.00 | 5.0 |
| THREE G | 285 | NWL | S | 80,000 | 17.36 | n/a | n/a | 2,400.00 | 3.0 |
| B BUCK CAPITAL MGMT | | NWY | B | 250,000 | 3.93 | n/a | n/a | non-brg | 2.0 |
| B BUCK CAPITAL MGMT | | NWY | B | 43,798 | 3.94 | n/a | n/a | non-brg | 2.0 |
| BARROW HANLEY MEWHINNEY | 031 | NYB | B | 12,100 | 13.09 | n/a | 18-Apr | 423.50 | 3.5 |
| CATAPULT | 040 | OMC | B | 10,586 | 49.49 | n/a | n/a | 423.44 | 4.0 |
| LAKEWOOD CAPITAL MGMT | 085 | ORCL | B | 30,000 | 28.85 | n/a | n/a | 900.00 | 3.0 |
| f DAVID GEORGE BUCK | FID | PFCB | B | 2000 | 38.31 | n/a | 13-Apr | 0.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|-------------------------|-----|---------|-----|---------|-------|-----|----------|-------------|-----|
| PATTEN & PATTEN | 025 | PG | S | 300 | 66.67 | n/a | 2-Apr | 15.00 | 5.0 |
| BNP PARIBAS SEC | 040 | PKG | B | 10,000 | 29.01 | n/a | 18-Apr | 500.00 | 5.0 |
| ⚡ BUCK CAPITAL MGMT | | PLCE | B | 20,000 | 48.40 | n/a | 7-Mar | non-brg | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | PLCE | B | 50,000 | 48.18 | n/a | 7-Mar | non-brg | 4.0 |
| BARROW HANLEY MEWHINNEY | 031 | PNC | S | 2,500 | 64.61 | n/a | n/a | 87.50 | 3.5 |
| ⚡ BUCK CAPITAL MGMT | | PSMT | B | 13,866 | 79.06 | n/a | n/a | non-brg | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | PSMT | B | 4,934 | 79.06 | n/a | n/a | non-brg | 4.0 |
| f JOHN MICHAEL ZOLIDIS | FID | P | S | 10 | 1.40 | n/a | n/a | 0.00 | 0.0 |
| f JONATHAN RICHARD HAR | FID | P | S | 48 | 1.40 | n/a | n/a | 0.00 | 0.0 |
| SANDLER CAPITAL | 028 | RRC | B | 100,000 | 57.64 | n/a | 1-Mar | 5,000.00 | 5.0 |
| ⚡ BUCK CAPITAL MGMT | | SCSS | B | 10,000 | 33.09 | n/a | n/a | non-brg | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | SCSS | B | 10,000 | 33.09 | n/a | n/a | non-brg | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | SFER IM | S | 40,000 | 20.27 | n/a | n/a | non-brg | 3.0 |
| ⚡ BUCK CAPITAL MGMT | | SFER IM | S | 40,000 | 20.27 | n/a | n/a | non-brg | 3.0 |
| ⚡ BUCK CAPITAL MGMT | | SIG | S | 30,000 | 47.19 | n/a | n/a | non-brg | 4.0 |
| f MANNY I KORMAN | FID | SIJ | B | 5000 | 33.91 | n/a | n/a | 0.00 | 0.0 |
| f KAREN F LEDDY | FID | SIMO | S | 500 | 22.07 | n/a | n/a | 0.00 | 0.0 |
| ⚡ BUCK CAPITAL MGMT | | SPLK | S | 5,000 | 32.06 | n/a | n/a | non-brg | 2.5 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------------|------------|-------------|----------|--------------|--------------|------------|------------|----------------|------------|
| BALLAST CAP | 040 | SPLS | B | 10,000 | 15.95 | n/a | n/a | 500.00 | 5.0 |
| PERRY PARTNERS | 085 | SPY | B | 50,000 | 138.45 | n/a | n/a | 2,500.00 | 5.0 |
| PATTEN & PATTEN | 025 | SWN | B | 300 | 28.41 | n/a | 17-Apr | 15.00 | 5.0 |
| f DAVID GEORGE BUCK | FID | SXCI | S | 10 | 3.20 | n/a | n/a | 0.00 | 0.0 |
| f ALEXANDRA ELISE ZOLI | FID | TEA | B | 300 | 20.93 | n/a | n/a | 0.00 | 0.0 |
| f JOHN MICHAEL ZOLIDIS | FID | TEA | B | 200 | 20.93 | n/a | n/a | 0.00 | 0.0 |
| WEINTRAUB CAPITAL MGT. | 269 | TGT | B | 25,000 | 57.22 | n/a | 9-Apr | 1,000.00 | 4.0 |
| KADE CAPITAL LLC | 028 | TKR | B | 10,000 | 50.95 | n/a | n/a | 500.00 | 5.0 |
| SOROS | 036 | TKR | B | 25,000 | 50.25 | n/a | n/a | 1,000.00 | 4.0 |
| ST OF MICHIAN | 047 | TKR | S | 160,000 | 50.71 | n/a | n/a | 4,800.00 | 3.0 |
| B BUCK CAPITAL MGMT | | TPX | B | 6,700 | 74.93 | n/a | n/a | non-brg | 1.0 |
| B BUCK CAPITAL MGMT | | TUMI | B | 2,747 | 18.00 | n/a | n/a | non-brg | 0.0 |
| B BUCK CAPITAL MGMT | | TUMI | B | 3,626 | 18.00 | n/a | n/a | non-brg | 0.0 |
| B BUCK CAPITAL MGMT | | TUMI | B | 3,627 | 18.00 | n/a | n/a | non-brg | 0.0 |
| B BUCK CAPITAL MGMT | | TUMI | S | 2,747 | 26.00 | n/a | n/a | non-brg | 2.5 |
| THREE G | 285 | TYC | S | 18,000 | 54.82 | n/a | 28-Mar | 540.00 | 3.0 |
| f MANNY I KORMAN | FID | TZA | B | 10000 | 19.67 | n/a | n/a | 0.00 | 0.0 |
| KACELA CAPITAL | 034 | UNP | SS | 12,000 | 107.63 | n/a | n/a | 480.00 | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|------------------------------|------------|------------|----------|------------|--------------|------------|------------|------------------|------------|
| TUDOR INVESTORS | 028 | URI | B | 2,800 | 45.09 | n/a | 17-Apr | 84.00 | 3.0 |
| f GAVIN N CADWALLADER | FID | USB | S | 100 | 31.45 | n/a | n/a | 0.00 | 0.0 |
| TUDOR INVESTORS | 028 | WLT | B | 3,000 | 66.09 | n/a | n/a | 90.00 | 3.0 |
| BNP PARIBAS SEC | 040 | WRC | B | 20,000 | 52.78 | n/a | 19-Apr | 1,000.00 | 5.0 |
| PERRY PARTNERS | 085 | XLP | B | 80,000 | 34.04 | n/a | n/a | 4,000.00 | 5.0 |
| BARROW HANLEY MEWHINNEY | 031 | XLS | B | 26,700 | 11.58 | n/a | n/a | 934.50 | 3.5 |
| BARROW HANLEY MEWHINNEY | 031 | XYL | B | 6,500 | 27.71 | n/a | n/a | 227.50 | 3.5 |
| TOTAL (Trade Date) : | | | | | | | | 93,306.06 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|-------------------------------|-------|------------------|------|--------|-----|---------|-------|-----|----------|-----------------|
| AO,CRT | 04/18 | GLENHILL CAPITAL | 036 | KSS | B | 100,000 | 51.10 | n/a | 19-Apr | 5000.00 5.0 |
| AO,CXL | 04/18 | GLENHILL CAPITAL | 036 | KSS | B | 100,000 | 51.10 | n/a | 19-Apr | 3000.00 3.0 |
| AO,CXL | 04/18 | PALESTRA | 040 | SWK | B | 5,100 | 78.59 | n/a | n/a | 255.00 5.0 |
| AO,CRT | 04/18 | PALESTRA | 040 | SWK | B | 5,100 | 78.59 | n/a | n/a | 153.00 3.0 |
| TOTAL (AO, CXL, CRT) : | | | | | | | | | | 1,898.00 |

| | |
|------------------------|-----------|
| TOTAL (Trade Date) : | 93,306.06 |
| TOTAL (AO, CXL, CRT) : | 1,898.00 |

| | |
|---------------------------------|------------------|
| TOTAL (RUN DATE) / NFS : | 95,204.06 |
|---------------------------------|------------------|

BCM Cancel/Corrects and As-Of Trades

| Type | Date | Account | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|------|-------|-------------------|--------|-----|--------|-------|-----|----------|-------------|-----|
| AO | 04/18 | BUCK CAPITAL MGMT | SPLK | B | 5,000 | 17.00 | n/a | n/a | 0.00 | 0.0 |

MRI Securities with Trade Activity on 19-Apr.

MS

MRI Securities without Trade Activity on 19-Apr.

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)