



# Daily Compliance Activity Report

Trade Date: 09/07/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	AAPL	B	100	681.78	n/a	n/a	3.00	0.0
<b>f</b> MICHAEL ALEXANDER SM	<b>FID</b>	<b>AAPL</b>	<b>B</b>	<b>10</b>	<b>39.78</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> MICHAEL ALEXANDER SM	<b>FID</b>	<b>AAPL</b>	<b>B</b>	<b>4</b>	<b>39.78</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> MICHAEL ALEXANDER SM	<b>FID</b>	<b>AAPL</b>	<b>S</b>	<b>2</b>	<b>103.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> MANNY I KORMAN	<b>FID</b>	<b>ALK</b>	<b>B</b>	<b>6000</b>	<b>34.44</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EPOCH INV MGMT	030	AMP	B	350	56.64	n/a	n/a	10.50	0.0
EVERGREEN	047	AMTD	B	58,800	17.51	n/a	n/a	2,352.00	0.0
<b>B</b> BUCK CAPITAL MGMT		<b>ANF</b>	<b>SS</b>	<b>20,000</b>	<b>36.57</b>	<b>n/a</b>	<b>16-Aug</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> LARA HUNT SMITH	<b>FID</b>	<b>ARTLX</b>	<b>S</b>	<b>462</b>	<b>11.36</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
HOLLIS CAPITAL	033	ATI	S	6,000	32.25	n/a	7-Aug	300.00	5.0
CYRUS CAPITAL	025	AWI	B	16,200	44.49	n/a	n/a	486.00	3.0
ACK ASSET	028	AXL	B	50,000	12.39	n/a	30-Jul	1,500.00	0.0
OZ MGMT	040	AXL	S	100,000	12.16	n/a	30-Jul	3,000.00	0.0
<b>f</b> CICILY S BACKUS	<b>FID</b>	<b>AXP</b>	<b>B</b>	<b>1000</b>	<b>57.65</b>	<b>n/a</b>	<b>6-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> LBP ENTERPRI SES INC	<b>FID</b>	<b>AXP</b>	<b>B</b>	<b>1000</b>	<b>57.64</b>	<b>n/a</b>	<b>6-Sep</b>	<b>0.00</b>	<b>0.0</b>
EVERGREEN	047	BEAV	B	61,300	40.74	n/a	7-Aug	2,452.00	0.0
<b>B</b> BUCK CAPITAL MGMT		<b>BID</b>	<b>SS</b>	<b>25,000</b>	<b>35.42</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>BID</b>	<b>SS</b>	<b>5,000</b>	<b>35.54</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
EPOCH INV MGMT	030	BLK	B	250	182.21	n/a	n/a	7.50	0.0
ARMATURE CAPITAL	041	BMS	SS	60,000	30.72	n/a	n/a	2,400.00	0.0
<b>f LARA HUNT SMITH</b>	<b>FID</b>	<b>BRKB</b>	<b>S</b>	<b>120</b>	<b>86.46</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SMITH MGMT/ALDEN GLOBAL		029 BZH		S	250,000	3.10	n/a	n/a	7,500.00 3.0
COUGAR TRADING	044	CHD	S	7,500	55.05	n/a	4-Sep	375.00	5.0
EPOCH INV MGMT	030	CIT	B	550	39.80	n/a	20-Aug	16.50	0.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>COH</b>	<b>B</b>	<b>5000</b>	<b>59.93</b>	<b>n/a</b>	<b>1-Aug</b>	<b>0.00</b>	<b>0.0</b>
CENTURION PARTNERS	041	CROX	S	22,000	18.14	n/a	n/a	880.00	4.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>C</b>	<b>B</b>	<b>200</b>	<b>32.12</b>	<b>n/a</b>	<b>5-Sep</b>	<b>0.00</b>	<b>0.0</b>
EPOCH INV MGMT	030	DE	B	350	78.45	n/a	11-Jul	10.50	0.0
<b>f CICILY S BACKUS</b>	<b>FID</b>	<b>DFZ</b>	<b>S</b>	<b>2000</b>	<b>14.37</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f LBP ENTERPRISES INC</b>	<b>FID</b>	<b>DFZ</b>	<b>S</b>	<b>1000</b>	<b>14.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
INTERVAL PARTNERS	033	DKS	SS	5,000	51.56	n/a	22-Aug	150.00	3.0
EPOCH INV MGMT	030	EA	B	1,100	13.86	n/a	n/a	33.00	0.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>EMC</b>	<b>B</b>	<b>4000</b>	<b>27.35</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MATRIX ASSET ADV.	091	EMR	B	2,000	49.62	n/a	n/a	80.00	4.0
<b>f HARALAMBOS EFSTATHI</b>	<b>FID</b>	<b>EUO</b>	<b>S</b>	<b>1000</b>	<b>20.32</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CYRUS CAPITAL	025	FBP	S	50,000	4.18	n/a	n/a	1,500.00	3.0
BRONSON POINT	036	FB	S	50,000	18.95	n/a	n/a	1,500.00	0.0
HIGHBRIDGE CAP	041	FCX	B	6,000	38.40	n/a	n/a	180.00	3.0
<b>f HARALAMBOS EFSTATHI</b>	<b>FID</b>	<b>FIVE</b>	<b>B</b>	<b>300</b>	<b>35.09</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ASCEND PARTNERS	033	FL	S	100,000	36.56	n/a	29-Aug	3,000.00	0.0
<b>f DANIEL R SCHWARZWALD</b>	<b>FID</b>	<b>FNSXX</b>	<b>S</b>	<b>250000</b>	<b>1.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>FOSL</b>	<b>B</b>	<b>30,000</b>	<b>86.75</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
RIDGECREST INV MGMT LLC	028	FRAN	S	15,000	28.01	n/a	n/a	600.00	4.0
CATAPULT CAP/DEFRANCO	040	F	SS	53,571	10.21	n/a	5-Sep	2,142.84	0.0
CATAPULT CAP/DEFRANCO	040	F	S	50,000	10.22	n/a	5-Sep	2,000.00	0.0
<b>ß BUCK CAPITAL MGMT</b>		<b>GCO</b>	<b>S</b>	<b>10,000</b>	<b>71.40</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>GES</b>	<b>S</b>	<b>20,000</b>	<b>27.12</b>	<b>n/a</b>	<b>23-Aug</b>	<b>non-brg</b>	<b>4.0</b>
CATAPULT CAP/DEFRANCO	040	GM	B	40,282	23.24	n/a	7-Sep	1,611.28	0.0
WEINTRAUB CAPITAL MGT.	084	GM	B	200,000	23.02	n/a	7-Sep	8,000.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
<b>B BUCK CAPITAL MGMT</b>		<b>GWW</b>	<b>C</b>	<b>14,479</b>	<b>205.21</b>	<b>n/a</b>	<b>7-Aug</b>	<b>non-brg 1.0</b>
DAVIDSON INV ADV	035	HLF	B	44,180	50.34	n/a	n/a	1,767.20 4.0
HALCYON LLC	041	HP	B	15,000	47.02	n/a	n/a	450.00 0.0
CAISSE DEPOT PLACEMENT Q	295	HTZ	S	45,000	14.82	n/a	n/a	2,250.00 5.0
EPOCH INV MGMT	030	IP	B	650	36.29	n/a	20-Aug	19.50 0.0
<b>B BUCK CAPITAL MGMT</b>		<b>JIVE</b>	<b>B</b>	<b>50,000</b>	<b>14.38</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg 4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JNY</b>	<b>S</b>	<b>15,200</b>	<b>13.48</b>	<b>n/a</b>	<b>26-Jul</b>	<b>non-brg 4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JNY</b>	<b>S</b>	<b>15,200</b>	<b>13.48</b>	<b>n/a</b>	<b>26-Jul</b>	<b>non-brg 4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JNY</b>	<b>S</b>	<b>4,800</b>	<b>13.29</b>	<b>n/a</b>	<b>26-Jul</b>	<b>non-brg 4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JNY</b>	<b>S</b>	<b>4,800</b>	<b>13.29</b>	<b>n/a</b>	<b>26-Jul</b>	<b>non-brg 4.0</b>
M&I FUNDS	047	JWN	B	4,017	57.88	n/a	31-Aug	160.68 4.0
BALLAST CAP	040	KR	S	10,000	22.52	n/a	n/a	500.00 5.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>KSS</b>	<b>B</b>	<b>5000</b>	<b>52.70</b>	<b>n/a</b>	<b>31-Aug</b>	<b>0.00 0.0</b>
FIRST NY SEC/CHRIS	041	LPX	SS	12,000	14.19	n/a	31-Jul	600.00 5.0
THE JAY GOLDMAN	028	MCD	B	7,500	90.96	n/a	7-Sep	300.00 4.0
EPOCH INV MGMT	030	MET	B	550	35.30	n/a	n/a	16.50 0.0
SANDLER O'NEILL ASSET	031	MS	B	50,000	16.60	n/a	5-Sep	2,500.00 5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ACK ASSET	028	MTW	B	50,000	14.56	n/a	11-Jul	1,500.00	0.0
NOKOMIS PARTNERS	031	NOW	SS	14,000	36.67	n/a	n/a	420.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>NWY</b>	<b>S</b>	<b>2,860</b>	<b>4.00</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
EPOCH INV MGMT	030	ORCL	B	1,450	32.54	n/a	n/a	43.50	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>PCLN</b>	<b>SS</b>	<b>1,000</b>	<b>620.05</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PCLN</b>	<b>SS</b>	<b>1,000</b>	<b>620.11</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
ROTHSCHILD ASSET	040	PFE	B	1,703	24.22	n/a	n/a	68.12	0.0
DAVIDSON INV ADV	035	PM	S	12,675	89.01	n/a	n/a	507.00	4.0
GUGGENHEIM GLOBAL TRADING	(GGT) 251	POT		SS	10,000	42.55	n/a	n/a	300.00 3.0
EPOCH INV MGMT	030	PX	B	400	106.90	n/a	8-Aug	12.00	0.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>QCOM</b>	<b>B</b>	<b>5000</b>	<b>62.39</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EVERGREEN	047	R	B	14,500	41.53	n/a	n/a	580.00	0.0
BASIX	033	SAH	B	15,900	19.12	n/a	n/a	477.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>SBH</b>	<b>B</b>	<b>10,000</b>	<b>27.40</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SBH</b>	<b>B</b>	<b>10,000</b>	<b>27.40</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SBH</b>	<b>B</b>	<b>20,000</b>	<b>27.46</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SBH</b>	<b>B</b>	<b>20,000</b>	<b>27.46</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>f</b> CICILY S BACKUS	<b>FID</b>	<b>SBRA</b>	<b>B</b>	<b>3000</b>	<b>19.53</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> LBP ENTERPRISES INC	<b>FID</b>	<b>SBRA</b>	<b>B</b>	<b>2000</b>	<b>19.48</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
KENNEDY CAPITAL	046	SD	S	50,000	7.00	n/a	n/a	1,500.00	0.0
EPOCH INV MGMT	030	SJM	B	5,000	86.17	n/a	n/a	150.00	0.0
IMPALA ASSET MMT	040	SPY	SS	65,888	144.27	n/a	n/a	3,294.40	5.0
SAGE ASSET MGMT	025	SWK	SS	7,400	71.94	n/a	n/a	370.00	5.0
FIRST NEW YORK LEDDY	035	S	B	20,000	5.06	n/a	n/a	800.00	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>TDG</b>	<b>SS</b>	<b>3,500</b>	<b>141.96</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>f</b> JONATHAN RICHARD HAR	<b>FID</b>	<b>TFM</b>	<b>B</b>	<b>30</b>	<b>55.47</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
IMPALA ASSET MMT	040	TRN	B	38,800	30.90	n/a	n/a	1,552.00	4.0
SENATOR INVESTMENT GROUP	036	TYC	S	100,000	57.03	n/a	3-Aug	3,000.00	0.0
<b>B</b> BUCK CAPITAL MGMT		<b>ULTA</b>	<b>S</b>	<b>10,000</b>	<b>102.35</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
EPOCH INV MGMT	030	UNH	B	700	54.86	n/a	n/a	21.00	0.0
HIGHBRIDGE CAP	041	USG	B	12,000	21.80	n/a	1-Aug	360.00	3.0
EPOCH INV MGMT	030	UTX	B	250	79.40	n/a	n/a	7.50	0.0
<b>f</b> JONATHAN RICHARD HAR	<b>FID</b>	<b>VRA</b>	<b>S</b>	<b>100</b>	<b>21.59</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
APEX CAPITAL MGMT.	261	VZ	SS	100,000	43.58	n/a	n/a	4,000.00	0.0
IMPALA ASSET MMT	040	WERN	B	16,000	22.81	n/a	n/a	640.00	4.0
<b>f</b> CICYLY S BACKUS	<b>FID</b>	<b>WFC</b>	<b>B</b>	<b>2000</b>	<b>35.09</b>	<b>n/a</b>	<b>5-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> LEE F BACKUS	<b>FID</b>	<b>WFC</b>	<b>B</b>	<b>1000</b>	<b>35.08</b>	<b>n/a</b>	<b>5-Sep</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> SNEJANA P GARFUNKEL	<b>FID</b>	<b>WFC</b>	<b>B</b>	<b>1000</b>	<b>35.08</b>	<b>n/a</b>	<b>5-Sep</b>	<b>0.00</b>	<b>0.0</b>
LEVIN CAPITAL STRATEGIES	041	WRC	B	30,500	53.80	n/a	7-Aug	915.00	0.0
<b>f</b> MANNY I KORMAN	<b>FID</b>	<b>WRC</b>	<b>B</b>	<b>7500</b>	<b>53.46</b>	<b>n/a</b>	<b>7-Aug</b>	<b>0.00</b>	<b>0.0</b>
HALCYON LLC	041	WWD	B	20,000	37.05	n/a	n/a	600.00	0.0
HIGHBRIDGE CAP	041	WY	S	53,000	25.11	n/a	27-Jul	1,590.00	3.0
HIGHBRIDGE CAP	041	XLU	SS	14,000	36.68	n/a	n/a	280.00	2.0
EPOCH INV MGMT	030	XOM	B	550	89.80	n/a	n/a	16.50	0.0
<b>TOTAL (Trade Date):</b>								<b>73,658.02</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	09/05	M&I FUNDS	047	JWN	B	42	57.38	n/a	31-Aug	1.68 4.0
AO,CXL	09/05	M&I FUNDS	047	JWN	B	42	57.38	n/a	31-Aug	1.68 4.0
AO,	09/06	VISIUM/BALY BOBBY	044	SPR	B	40,000	25.31	n/a	3-Aug	2000.00 0.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>2,000.00</b>
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TOTAL (Trade Date) :	73,658.02
TOTAL (AO, CXL, CRT) :	2,000.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>75,658.02</b>
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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 7-Sep.  
NONE

MRI Securities without Trade Activity on 7-Sep.  
NONE

BRG comm. as a % of BCM Total Comm. paid.  
T-Date = 0%  
YTD = 0%

<b><u>Legend:</u></b>
<b>Õ: Employee Trades in Outside Accounts</b>
<b>ß: Non-BRG BCM Trades</b>
[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)