



Daily Compliance Activity Report

Trade Date: 04/27/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|---------------------|-----|---------|-----|---------|-------|-----|----------|--------------|-----|
| BUCK CAPITAL MGMT | | 1913 HK | S | 6,914 | 6.72 | n/a | n/a | non-brg | 1.3 |
| BUCK CAPITAL MGMT | | 1913 HK | S | 7,445 | 6.72 | n/a | n/a | non-brg | 1.3 |
| BUCK CAPITAL MGMT | | AEO | B | 50,000 | 18.51 | n/a | 2-Dec | non-brg | 4.0 |
| BUCK CAPITAL MGMT | | ANN | S | 30,000 | 28.55 | n/a | n/a | non-brg | 4.0 |
| BUCK CAPITAL MGMT | | ARCO | B | 30,000 | 17.95 | n/a | 13-Apr | non-brg | 4.0 |
| JOSEPH CIRO AMATURO | FID | ARCO | B | 2000 | 17.80 | n/a | 13-Apr | 0.00 | 0.0 |
| CHARTER OAK | 033 | ATI | B | 25,000 | 42.14 | n/a | 26-Apr | 1,250.00 | 5.0 |
| BUCK CAPITAL MGMT | | AXP | S | 30,280 | 60.16 | n/a | 26-Apr | non-brg | 4.0 |
| BUCK CAPITAL MGMT | | BC IM | B | 110,000 | 14.29 | n/a | n/a | non-brg | 0.0 |
| BUCK CAPITAL MGMT | | BC IM | B | 20,000 | 14.97 | n/a | n/a | non-brg | 0.0 |
| BUCK CAPITAL MGMT | | BC IM | B | 220,000 | 14.29 | n/a | n/a | non-brg | 0.0 |
| BUCK CAPITAL MGMT | | BC IM | B | 220,000 | 14.29 | n/a | n/a | non-brg | 0.0 |
| BUCK CAPITAL MGMT | | BC IM | B | 40,000 | 14.97 | n/a | n/a | non-brg | 0.0 |
| BUCK CAPITAL MGMT | | BC IM | B | 40,000 | 14.97 | n/a | n/a | non-brg | 0.0 |
| COLUMBUS CIRCLE | 036 | BRO | B | 2,348 | 27.07 | n/a | n/a | 93.92 | 4.0 |
| HIGHBRIDGE CAP | 041 | BTU | SS | 5,000 | 30.05 | n/a | n/a | 150.00 | 3.0 |
| PATTEN & PATTEN | 025 | BTU | B | 250 | 30.13 | n/a | n/a | 12.50 | 5.0 |
| BUCK CAPITAL MGMT | | BYD | B | 50,000 | 7.88 | n/a | n/a | non-brg | 3.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|---------------------|-----|--------|-----|--------|--------|-----|----------|--------------|-----|
| HIGHBRIDGE CAP | 041 | CAT | S | 2,500 | 104.48 | n/a | 26-Apr | 75.00 | 3.0 |
| M&I FUNDS | 047 | CERN | S | 4,823 | 77.30 | n/a | n/a | 192.92 | 4.0 |
| COLUMBUS CIRCLE | 036 | CGNX | S | 4,762 | 39.79 | n/a | n/a | 190.48 | 4.0 |
| PATTEN & PATTEN | 025 | CHK | S | 450 | 17.44 | n/a | n/a | 22.50 | 5.0 |
| BASSWOOD PARTNERS | 267 | CIT | B | 51,383 | 37.96 | n/a | 26-Apr | 2,055.32 | 4.0 |
| ß BUCK CAPITAL MGMT | | CMN | S | 245 | 22.84 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | CMN | S | 3,775 | 22.84 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | CMN | S | 440 | 22.84 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | CMN | S | 60 | 22.84 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | CMN | S | 80 | 22.84 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | COF | S | 17,000 | 56.05 | n/a | 26-Apr | non-brg | 4.0 |
| ROTHSCHILD ASSET | 040 | CSTR | B | 8,059 | 63.57 | n/a | n/a | 322.36 | 4.0 |
| HIGHBRIDGE CAP | 041 | DAN | SS | 11,000 | 14.64 | n/a | 26-Apr | 330.00 | 3.0 |
| PATTEN & PATTEN | 025 | DD | B | 500 | 53.97 | n/a | 19-Apr | 25.00 | 5.0 |
| ß BUCK CAPITAL MGMT | | DECK | B | 10,000 | 52.66 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | DECK | B | 10,000 | 52.66 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | DECK | B | 10,000 | 52.66 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | DFS | S | 15,000 | 34.11 | n/a | 26-Apr | non-brg | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------------|------------|--------------|----------|---------------|--------------|------------|---------------|----------------|------------|
| HOLLIS CAPITAL | 033 | DHI | B | 5,000 | 16.58 | n/a | n/a | 250.00 | 5.0 |
| M&I FUNDS | 047 | DISCA | S | 4,622 | 54.40 | n/a | n/a | 184.88 | 4.0 |
| PATTEN & PATTEN | 025 | DOW | S | 800 | 34.79 | n/a | 26-Apr | 40.00 | 5.0 |
| f DAVID GEORGE BUCK | FID | ESRX1 | B | 10 | 0.94 | n/a | n/a | 0.00 | 0.0 |
| f MATTHEW FRANCIS BUCK | FID | ESRX | S | 250 | 56.01 | n/a | n/a | 0.00 | 0.0 |
| PATTEN & PATTEN | 025 | EWC | S | 1,000 | 28.26 | n/a | n/a | 50.00 | 5.0 |
| PATTEN & PATTEN | 025 | EWZ | S | 250 | 60.71 | n/a | n/a | 12.50 | 5.0 |
| JANA CAPITAL | 044 | EXPE | S | 105,622 | 41.42 | n/a | n/a | 4,224.88 | 4.0 |
| CATAPULT | 040 | FL | B | 29,120 | 31.24 | n/a | 7-Mar | 1,164.80 | 4.0 |
| SYSTEMATIC FINANCIAL MGT | 035 | FL | B | 24,000 | 31.27 | n/a | 7-Mar | 720.00 | 3.0 |
| f MARK MEGALLI | FID | FURX | S | 200 | 14.50 | n/a | n/a | 0.00 | 0.0 |
| BALYASNY ASSET MGMT | 044 | F | C | 50,000 | 11.99 | n/a | 18-Apr | 2,500.00 | 5.0 |
| OZ MGMT | 040 | F | C | 391,959 | 11.67 | n/a | 18-Apr | 11,758.77 | 3.0 |
| SCOPUS FUND | 041 | F | B | 100,000 | 12.04 | n/a | 18-Apr | 4,000.00 | 4.0 |
| B BUCK CAPITAL MGMT | | GIL | S | 40,000 | 28.20 | n/a | 19-Apr | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | GIL | S | 90,000 | 28.30 | n/a | 19-Apr | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | GIL | S | 98,000 | 28.28 | n/a | 19-Apr | non-brg | 4.0 |
| HOPLITE MGMT | 025 | HD | S | 20,283 | 51.86 | n/a | 21-Feb | 811.32 | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------------|------------|-------------|----------|----------------|---------------|------------|---------------|----------------|------------|
| f EDWARD W WHEELER | FID | HEK | S | 20000 | 4.08 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | HLF | S | 20,000 | 70.70 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | HLF | S | 30,000 | 70.65 | n/a | n/a | non-brg | 4.0 |
| ß BUCK CAPITAL MGMT | | HLF | S | 50,000 | 70.66 | n/a | n/a | non-brg | 4.0 |
| NEUBERGER BERMAN | 036 | HPP | S | 6,606 | 16.11 | n/a | n/a | 264.24 | 4.0 |
| PRIMECAP MGMT | 084 | ITMN | B | 10,000 | 10.88 | n/a | n/a | 400.00 | 4.0 |
| ß BUCK CAPITAL MGMT | | JCP | C | 30,000 | 36.49 | n/a | 19-Apr | non-brg | 4.0 |
| SCOPUS FUND | 041 | JCP | B | 25,000 | 36.73 | n/a | 19-Apr | 1,000.00 | 4.0 |
| ß BUCK CAPITAL MGMT | | JNY | S | 70,000 | 11.55 | n/a | 26-Apr | non-brg | 4.0 |
| f JOHN BARTMAN COLE | FID | JRCC | S | 700 | 4.82 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | KBH | B | 100,000 | 8.86 | n/a | n/a | non-brg | 3.0 |
| HIGHBRIDGE CAP | 041 | LYB | S | 4,000 | 45.98 | n/a | n/a | 120.00 | 3.0 |
| ß BUCK CAPITAL MGMT | | MA | S | 5,901 | 457.36 | n/a | 2-Apr | non-brg | 4.0 |
| NEUBERGER BERMAN | 036 | MCRS | B | 29,700 | 57.29 | n/a | n/a | 1,188.00 | 4.0 |
| f DAVID GEORGE BUCK | FID | MRK | B | 2000 | 38.40 | n/a | n/a | 0.00 | 0.0 |
| f DAVID GEORGE BUCK | FID | MRK | B | 300 | 38.37 | n/a | n/a | 0.00 | 0.0 |
| f MATTHEW FRANCIS BUCK | FID | MRK | B | 300 | 38.39 | n/a | n/a | 0.00 | 0.0 |
| ß BUCK CAPITAL MGMT | | MWV | S | 34,166 | 31.61 | n/a | 25-Apr | non-brg | 4.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|-------------------------------|------------|-------------|----------|---------------|--------------|------------|---------------|----------------|------------|
| CRAMER ROSENTHAL | 070 | PEP | B | 16,000 | 66.25 | n/a | n/a | 640.00 | 4.0 |
| B BUCK CAPITAL MGMT | | PII | B | 18,000 | 80.07 | n/a | n/a | non-brg | 4.0 |
| COLUMBUS CIRCLE | 036 | PLXS | B | 1,465 | 33.32 | n/a | n/a | 58.60 | 4.0 |
| PRIMECAP MGMT | 084 | QGEN | B | 10,000 | 16.54 | n/a | n/a | 400.00 | 4.0 |
| B BUCK CAPITAL MGMT | | RYL | S | 20,000 | 21.96 | n/a | n/a | non-brg | 4.0 |
| VERITION | 028 | SBUX | B | 10,000 | 57.56 | n/a | 27-Apr | 300.00 | 3.0 |
| PRIMECAP MGMT | 084 | SGEN | B | 5,000 | 19.84 | n/a | n/a | 200.00 | 4.0 |
| f JONATHAN RICHARD HAR | FID | SIMO | S | 250 | 17.10 | n/a | n/a | 0.00 | 0.0 |
| SIMMONS VENTURES | 041 | SKS | SS | 10,000 | 11.13 | n/a | n/a | 400.00 | 4.0 |
| HIGHBRIDGE CAP | 041 | SPN | S | 10,000 | 26.15 | n/a | n/a | 300.00 | 3.0 |
| UNITED STATES PENSION | 085 | SPY | B | 91,600 | 140.59 | n/a | n/a | 2,748.00 | 3.0 |
| COLUMBUS CIRCLE | 036 | SSYS | B | 2,418 | 52.30 | n/a | n/a | 96.72 | 4.0 |
| MELLON/BANK OF NEW YORK | 046 | STT | S | 168,800 | 46.39 | n/a | 17-Apr | 6,752.00 | 4.0 |
| DEVENNY CAP LLC | 044 | SUP | B | 2,862 | 18.11 | n/a | 18-Apr | 85.86 | 3.0 |
| f DAVID GEORGE BUCK | FID | SWN | B | 2000 | 30.00 | n/a | 25-Apr | 0.00 | 0.0 |

| | Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|---------------------|----------------------|-----|--------|-----|---------|--------|-----|----------|--------------|-----|
| f | DAVID GEORGE BUCK | FID | SWN | B | 300 | 29.82 | n/a | 25-Apr | 0.00 | 0.0 |
| f | MATTHEW FRANCIS BUCK | FID | SWN | B | 300 | 29.84 | n/a | 25-Apr | 0.00 | 0.0 |
| B | BUCK CAPITAL MGMT | | V | S | 8,100 | 123.42 | n/a | 2-Apr | non-brg | 4.0 |
| f | DAVID GEORGE BUCK | FID | V | B | 100 | 123.33 | n/a | 2-Apr | 0.00 | 0.0 |
| f | MATTHEW FRANCIS BUCK | FID | V | B | 100 | 123.42 | n/a | 2-Apr | 0.00 | 0.0 |
| | LONG POND | 029 | WY | B | 110,000 | 20.79 | n/a | 27-Apr | 4,400.00 | 4.0 |
| | WATERFRONT CAP | 028 | WY | S | 43,300 | 20.83 | n/a | 27-Apr | 1,732.00 | 4.0 |
| | HIGHBRIDGE CAP | 041 | XLE | SS | 14,500 | 70.60 | n/a | n/a | 290.00 | 2.0 |
| | HIGHBRIDGE CAP | 041 | X | SS | 6,000 | 28.15 | n/a | n/a | 180.00 | 3.0 |
| f | JOHN BARTMAN COLE | FID | | B | 100000 | 0.11 | n/a | n/a | 0.00 | 0.0 |
| f | JOHN BARTMAN COLE | FID | | S | 500 | 11.13 | n/a | n/a | 0.00 | 0.0 |
| TOTAL (Trade Date): | | | | | | | | | 51,992.57 | |

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------|-------|--------------------|------|--------|-----|--------|-------|-----|----------|-------------|
| AO,CRT | 04/26 | APEX CAPITAL MGMT. | 261 | DWA | S | 2,600 | 17.84 | n/a | n/a | 104.00 4.0 |
| AO,CXL | 04/26 | APEX CAPITAL MGMT. | 261 | DWA | S | 2,600 | 17.84 | n/a | n/a | 104.00 4.0 |
| AO,CRT | 04/25 | GALT INVESTMENT | 041 | SAH | S | 25,000 | 17.01 | n/a | n/a | 1000.00 4.0 |
| AO,CXL | 04/25 | GALT INVESTMENT | 041 | SAH | S | 25,000 | 17.01 | n/a | n/a | 1250.00 5.0 |
| AO,CXL | 04/26 | APEX CAPITAL MGMT. | 261 | SPLK | B | 1,400 | 34.66 | n/a | n/a | 56.00 4.0 |
| AO,CRT | 04/26 | APEX CAPITAL MGMT. | 261 | SPLK | B | 1,400 | 34.66 | n/a | n/a | 56.00 4.0 |

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|-------------------------------|----------------|
| TOTAL (AO, CXL, CRT) : | -250.00 |
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| | |
|------------------------|-----------|
| TOTAL (Trade Date) : | 51,992.57 |
| TOTAL (AO, CXL, CRT) : | -250.00 |

| | |
|--------------------------------|------------------|
| TOTAL (RUN DATE) / NFS: | 51,742.57 |
|--------------------------------|------------------|

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-Apr.
NONE

MRI Securities without Trade Activity on 27-Apr.
WCRX

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)