



# Daily Compliance Activity Report

Trade Date: 07/16/2012

Potential ANALYST TRADE Violations: 1

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	AGCO	SS	6,000	43.00	n/a	11-Jul	180.00	3.0
TRELLUS PARTNERS LP	028	ALV	B	14,500	53.58	n/a	20-Jun	435.00	0.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>ARR</b>	<b>B</b>	<b>50000</b>	<b>7.33</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>ASNA</b>	<b>S</b>	<b>20,000</b>	<b>18.61</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
COBALT	041	BA	SS	100,000	72.52	n/a	16-Jul	4,000.00	4.0
<b>ß BUCK CAPITAL MGMT</b>		<b>BC IM</b>	<b>S</b>	<b>13,025</b>	<b>13.47</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>BC IM</b>	<b>S</b>	<b>17,152</b>	<b>13.47</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>BC IM</b>	<b>S</b>	<b>3,108</b>	<b>13.47</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>BKW</b>	<b>SS</b>	<b>21,250</b>	<b>15.34</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>BODY</b>	<b>S</b>	<b>20,000</b>	<b>11.19</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>BODY</b>	<b>S</b>	<b>20,000</b>	<b>11.19</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
BRONSON POINT	036	BWA	SS	10,000	63.36	n/a	27-Apr	300.00	0.0
<b>ß BUCK CAPITAL MGMT</b>		<b>CFR VX</b>	<b>SS</b>	<b>150,000</b>	<b>50.00</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>7.5</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>CFR VX</b>	<b>SS</b>	<b>200,000</b>	<b>50.06</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>7.5</b>
HIGHBRIDGE CAP	041	CHRW	SS	3,000	59.08	n/a	n/a	90.00	3.0
<b>ß BUCK CAPITAL MGMT</b>		<b>COH</b>	<b>C</b>	<b>10,000</b>	<b>56.58</b>	<b>n/a</b>	<b>9-May</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
RAINIER INV MGMT	035	CTSH	S	113,165	57.98	n/a	n/a	4,526.60	0.0
PERRY PARTNERS	085	C	S	100,000	27.06	n/a	2-Jul	5,000.00	5.0
RBC CAPITAL MARKETS	040	DRI	SS	15,000	50.53	n/a	13-Jul	600.00	4.0
RBC CAPITAL MARKETS	040	FDO	B	10,000	68.76	n/a	12-Jul	400.00	4.0
ROARING BLUE LION MGMT	031	FL	S	7,270	32.86	n/a	18-May	290.80	4.0
ARSENAL ASSET MANAGEMENT	028	FMC	B	9,400	53.84	n/a	8-Dec	376.00	0.0
OZ MGMT	040	F	S	89,973	9.25	n/a	5-Jul	2,699.19	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>GIL</b>	<b>S</b>	<b>10,000</b>	<b>27.85</b>	<b>n/a</b>	<b>12-Jun</b>	<b>non-brg</b>	<b>4.0</b>
JANA CAPITAL	044	GLW	SS	75,000	12.24	n/a	1-May	3,000.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>GM</b>	<b>S</b>	<b>94,400</b>	<b>19.32</b>	<b>n/a</b>	<b>5-Jul</b>	<b>non-brg</b>	<b>4.0</b>
OZ MGMT	040	GM	SS	30,963	19.33	n/a	5-Jul	928.89	0.0
NEUBERGER BERMAN	036	GRC	B	5,735	30.32	n/a	n/a	229.40	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>HAS</b>	<b>SS</b>	<b>93,200</b>	<b>32.57</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
FRONTIER	029	HMA	S	118,960	7.72	n/a	n/a	3,568.80	0.0
<b>f NICOLAS EVAN PAKLER</b>	<b>FID</b>	<b>HOVNP</b>	<b>B</b>	<b>625</b>	<b>7.99</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TRELLUS PARTNERS LP	028	IP	B	30,000	30.22	n/a	2-Jul	900.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		IWM	SS	25,000	79.60	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		JPCMSBCM	C	22,017	106.27	n/a	n/a	non-brg	0.1
ß BUCK CAPITAL MGMT		JPCMSBCM	C	37,157	106.27	n/a	n/a	non-brg	0.1
ß BUCK CAPITAL MGMT		JPCMSBCM	SS	21,700	106.27	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		JPCMSBCM	SS	36,590	106.27	n/a	n/a	non-brg	0.0
f DAVID GEORGE BUCK	FID	KKR	B	2500	13.16	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	KKR	B	500	13.19	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	KKR	B	300	13.18	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		KORS	B	10,000	38.86	n/a	n/a	non-brg	4.0
LISTED ERR	099	KSS	B	300	47.59	n/a	6-Jul	0.00	0.0
SENATOR INVESTMENT GROUP	036	LOW	B	500,000	25.95	n/a	22-May	15,000.00	3.0
CASTLEROCK	040	MCD	SS	22,016	91.92	n/a	16-Jul	880.64	4.0
MERRILL ASSET/BLACKROCK	297	MCY	S	56,593	39.73	n/a	n/a	2,263.72	0.0
ARSENAL ASSET MANAGEMENT	028	MLM	B	5,000	81.84	n/a	n/a	200.00	0.0
HIGHBRIDGE CAP	041	MON	B	2,000	84.82	n/a	27-Jun	60.00	3.0
ß BUCK CAPITAL MGMT		MSMSBCM	C	1,004,162	105.63	n/a	n/a	non-brg	0.1
ß BUCK CAPITAL MGMT		MSMSBCM	C	792,038	105.63	n/a	n/a	non-brg	0.1
ß BUCK CAPITAL MGMT		MSMSBCM	SS	780,000	105.63	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		MSMSBCM	SS	989,210	105.63	n/a	n/a	non-brg	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>MS</b>	<b>B</b>	<b>3030</b>	<b>9.51</b>	<b>n/a</b>	<b>2-Jul</b>	<b>0.00</b>	<b>0.0</b>
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>MTOR</b>	<b>B</b>	<b>200</b>	<b>0.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
RBC CAPITAL MARKETS	040	NKE	B	5,000	93.58	n/a	29-Jun	200.00	4.0
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	27.20	n/a	11-May	400.00	4.0
<b>ß BUCK CAPITAL MGMT</b>		<b>NWY</b>	<b>S</b>	<b>20,000</b>	<b>4.25</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>f WILLIAM J GAULT</b>	<b>FID</b>	<b>OVRL</b>	<b>S</b>	<b>5000</b>	<b>1.71</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
STRONG/MARK GRONET	030	PBH	S	30,000	16.38	n/a	n/a	1,200.00	0.0
CAMBIAR CAP	046	PRX	S	126,310	50.44	16-Jul	16-Jul	5,052.40	0.0
KENNEDY CAPITAL	046	PRX	B	20,000	51.50	16-Jul	16-Jul	800.00	0.0
TOURMALINE PARTNERS LLC	086	RDC	B	25,000	34.23	n/a	n/a	750.00	0.0
<b>ß BUCK CAPITAL MGMT</b>		<b>SHOO</b>	<b>B</b>	<b>20,000</b>	<b>33.45</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>SHOO</b>	<b>B</b>	<b>20,000</b>	<b>33.45</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>SIG</b>	<b>S</b>	<b>20,000</b>	<b>42.39</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>ß BUCK CAPITAL MGMT</b>		<b>SPY</b>	<b>SS</b>	<b>15,000</b>	<b>135.55</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
BRONSON POINT	036	TYC	S	5,000	52.12	n/a	14-Jun	150.00	0.0
PECONIC PARTNERS	036	UAL	S	50,000	24.31	n/a	n/a	2,500.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
RBC CAPITAL MARKETS	040	UA	B	5,000	47.04	n/a	12-Jul	200.00	4.0
HIGHBRIDGE CAP	041	URI	B	4,500	34.43	n/a	17-Apr	135.00	3.0
TOURMALINE PARTNERS LLC	086	VC	S	45,000	31.77	n/a	n/a	1,350.00	0.0
ß BUCK CAPITAL MGMT		VFC	S	7,400	139.08	n/a	27-Apr	non-brg	4.0
ß BUCK CAPITAL MGMT		V	S	4,000	127.00	n/a	13-Jul	non-brg	4.0
Õ James Mitchell		V	S	130	126.43	n/a	13-Jul	0.00	0.0
ß BUCK CAPITAL MGMT		WRC	B	20,000	40.10	n/a	9-May	non-brg	4.0
ß BUCK CAPITAL MGMT		WRC	B	20,000	40.10	n/a	9-May	non-brg	4.0
MASTERS CAPITAL MANAGE	025	WY	S	40,000	23.68	n/a	4-May	1,600.00	4.0
MERRILL ASSET/BLACKROCK	297	Y	B	5,800	342.91	n/a	n/a	232.00	0.0
<b>TOTAL (Trade Date) :</b>								<b>60,498.44</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	07/13	CAVOLEPH	085	CL	S	2,200	105.00	n/a	18-Jun	88.00 4.0
AO,CXL	07/13	CAVOLEPH	085	CL	S	2,200	105.00	n/a	18-Jun	88.00 4.0
AO,	07/13	LISTED ERR	099	PENN	B	35,700	41.45	n/a	n/a	0.00 0.0
AO,	07/13	LISTED ERR	099	PENN	S	35,700	41.40	n/a	n/a	0.00 0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>0.00</b>

TOTAL (Trade Date) :	60,498.44
TOTAL (AO, CXL, CRT) :	0.00

<b>TOTAL (RUN DATE) / NFS :</b>	<b>60,498.44</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 16-Jul.

PRX

MRI Securities without Trade Activity on 16-Jul.

KO

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)**