



Daily Compliance Activity Report

Trade Date: 07/25/2012

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		AAPL	B	5,000	580.32	n/a	n/a	non-brg	4.0
f MICHAEL ALEXANDER SM	FID	AAPL	B	2	28.45	n/a	n/a	0.00	0.0
f MICHAEL ALEXANDER SM	FID	AAPL	B	4	44.36	n/a	n/a	0.00	0.0
f MICHAEL ALEXANDER SM	FID	AAPL	S	2	2.89	n/a	n/a	0.00	0.0
f PATRICK O'GRADY	FID	ABCP	B	400	1.80	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	AIG	S	2000	30.36	n/a	n/a	0.00	0.0
COLUMBUS CIRCLE	036	ALXN	B	1,267	101.87	n/a	n/a	50.68	0.0
SYSTEMATIC FINANCIAL MGT	035	AOS	S	61,300	49.18	n/a	19-Jul	1,839.00	0.0
f DOUGLAS ROGERS	FID	APC	S	128	69.50	n/a	23-Jul	0.00	0.0
f TR U/W OF CH RISTINA	FID	APC	S	44	69.43	n/a	23-Jul	0.00	0.0
f REUBEN D DVORETSKY	FID	ATK	B	38	45.11	n/a	n/a	0.00	0.0
f CAROL ANNE LACHENAU	FID	BACPRC	B	174	25.34	n/a	n/a	0.00	0.0
f DOUGLAS ROGERS	FID	BACPRC	B	157	25.34	n/a	n/a	0.00	0.0
f TR U/W OF CH RISTINA	FID	BACPRC	B	32	25.34	n/a	n/a	0.00	0.0
CYPRESS CAP MGMT LLC	040	BBY	S	40,500	17.74	n/a	n/a	1,620.00	4.0
DELTEC ASSET MGMT.	040	BRCM	S	20,000	33.73	n/a	n/a	1,000.00	5.0
f EDWARD W WHEELER	FID	BTN	S	7210	5.48	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		BWA	C	100,000	61.96	n/a	27-Apr	non-brg	4.0
DELTEC ASSET MGMT.	040	CELG	S	5,000	65.71	n/a	n/a	250.00	5.0
B BUCK CAPITAL MGMT		CFR VX	C	50,000	55.05	n/a	n/a	non-brg	8.3
B BUCK CAPITAL MGMT		CFR VX	C	50,000	55.05	n/a	n/a	non-brg	8.3
KAYNE ANDERSON ADV	084	CNS	B	21,600	32.68	n/a	n/a	864.00	0.0
B BUCK CAPITAL MGMT		COH	B	10,000	57.36	n/a	18-Jul	non-brg	4.0
f MICHAEL ALEXANDER SM	FID	COH	B	10	3.79	n/a	18-Jul	0.00	0.0
f KAREN F LEDDY	FID	CROX	S	500	14.03	n/a	n/a	0.00	0.0
PLATTE RIVER CAPITAL	240	DAL	S	17,000	9.47	n/a	n/a	680.00	0.0
ACK ASSET	028	DAN	B	135,000	11.47	n/a	26-Apr	4,050.00	0.0
B BUCK CAPITAL MGMT		DECK	C	10,000	40.78	n/a	n/a	non-brg	0.8
B BUCK CAPITAL MGMT		DECK	C	10,000	40.87	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DG	B	10,000	50.34	n/a	27-Jun	non-brg	4.0
B BUCK CAPITAL MGMT		DG	B	20,000	50.08	n/a	27-Jun	non-brg	4.0
f BRIAN P CLIFFORD	FID	DISH	B	1000	29.15	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		DKS	B	30,000	46.70	n/a	15-May	non-brg	4.0
COOPER CREEK PART	028	DRI	B	10,000	49.02	n/a	13-Jul	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⌘ BUCK CAPITAL MGMT		FNP	SS	71,714	9.29	n/a	n/a	non-brg	3.0
HIGHBRIDGE CAP	041	FTI	B	12,000	41.70	n/a	n/a	360.00	3.0
OZ MGMT	040	F	C	100,000	9.01	n/a	17-Jul	3,000.00	0.0
PHILADELPHIA FINANCIAL	033	F	C	52,477	8.99	n/a	17-Jul	2,099.08	0.0
⌘ BUCK CAPITAL MGMT		GNC	B	20,000	38.38	n/a	n/a	non-brg	4.0
KAYNE ANDERSON ADV	084	HAE	B	6,000	73.66	n/a	n/a	240.00	0.0
⌘ BUCK CAPITAL MGMT		HBI	B	20,000	28.35	n/a	18-Jul	non-brg	4.0
⌘ BUCK CAPITAL MGMT		HBI	B	20,000	28.38	n/a	18-Jul	non-brg	4.0
⌘ BUCK CAPITAL MGMT		HLF	B	30,000	48.69	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	HSB	S	100	25.14	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	HSB	S	500	25.14	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	HSB	S	150	25.13	n/a	n/a	0.00	0.0
CSFB GLOBAL PROPRIETARY	041	IP	B	15,000	31.27	n/a	20-Jul	750.00	5.0
HIGHBRIDGE CAP	041	ITW	B	5,000	52.53	n/a	n/a	150.00	3.0
⌘ BUCK CAPITAL MGMT		IWM	SS	25,000	76.53	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		IWM	SS	25,000	76.77	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		JCP	C	50,000	22.28	n/a	2-Jul	non-brg	4.0
⌘ BUCK CAPITAL MGMT		JNY	S	10,000	10.13	n/a	18-Jul	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SIMMONS VENTURES	041	JNY	SS	10,000	10.03	n/a	18-Jul	400.00	4.0
B BUCK CAPITAL MGMT		JWN	B	20,000	52.69	n/a	6-Jul	non-brg	4.0
HOTCHKIS & WILEY	035	KMB	S	276,700	83.67	n/a	23-Apr	11,068.00	0.0
NEWLAND CAPITAL MGT	025	KMB	SS	10,000	83.53	n/a	23-Apr	400.00	4.0
f STEFFANIE CARMELA CA	FID	LAD	S	300	27.00	n/a	n/a	0.00	0.0
f DOUGLAS ROGERS	FID	LGND	B	330	18.04	n/a	n/a	0.00	0.0
DAVIDSON INV ADV	035	LL	S	40,227	39.47	n/a	n/a	1,609.08	4.0
Õ Nilsa Vazquez		LRCX	B	150	34.22	n/a	n/a	0.00	0.0
CAISSE DEPOT PLACEMENT Q	295	MCD	SS	20,000	88.01	n/a	23-Jul	1,000.00	5.0
ARSENAL ASSET MANAGEMENT	028	MLM	S	5,000	81.40	n/a	n/a	200.00	0.0
STANDARD PACIFIC CAPITAL	084	MOS	S	205,144	57.19	n/a	n/a	10,257.20	5.0
FARALLON CAP MGMT	040	MSFT	S	125,000	29.04	n/a	n/a	3,750.00	3.0
BALLAST CAP	040	MSI	S	8,100	47.73	n/a	n/a	405.00	5.0
f KAREN F LEDDY	FID	MTW	S	1500	10.33	n/a	11-Jul	0.00	0.0
CSFB GLOBAL PROPRIETARY	041	MWV	SS	16,374	28.56	25-Jul	25-Jul	818.70	5.0
CSFB GLOBAL PROPRIETARY	041	MWV	S	13,626	28.57	25-Jul	25-Jul	681.30	5.0
GEORGE WEISS	034	MWV	SS	6,400	28.32	25-Jul	25-Jul	256.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
JP MORGAN VENTURES	046	M	B	20,000	34.96	n/a	6-Jul	800.00	4.0
ß BUCK CAPITAL MGMT		NGVC	B	11,271	15.00	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		NGVC	B	28,729	15.00	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		NGVC	S	11,271	18.12	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		NGVC	S	28,729	18.12	n/a	n/a	non-brg	4.0
HOTCHKIS & WILEY	035	NOC	S	250,000	63.93	n/a	20-Jul	10,000.00	0.0
f MANNY I KORMAN	FID	NYV	B	3073	16.10	n/a	n/a	0.00	0.0
STANDARD PACIFIC CAPITAL	084	PCAR	SS	86,800	37.64	n/a	11-Jul	4,340.00	5.0
MATRIX ASSET ADV.	091	PG	B	2,700	64.25	n/a	20-Jun	108.00	4.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	20,000	30.38	n/a	20-Jul	1,000.00	5.0
f MANNY I KORMAN	FID	PNF	B	100	12.80	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	PNI	B	1087	13.25	n/a	n/a	0.00	0.0
f ANDREW LONGLEY TRUS	FID	PTTDX	S	174	11.47	n/a	n/a	0.00	0.0
f CLIFFORD LONGLEY TR	FID	PTTDX	S	174	11.47	n/a	n/a	0.00	0.0
f JONATHAN LONGLEY TR	FID	PTTDX	S	174	11.47	n/a	n/a	0.00	0.0
RAINIER INV MGMT	035	PX	S	44,900	102.86	25-Jul	25-Jul	1,796.00	0.0
f DAVID GEORGE BUCK	FID	RAI	B	1000	45.39	n/a	n/a	0.00	0.0
f REUBEN D DVORETSKY	FID	RIG	S	45	45.29	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COOPER CREEK PART	028	RKT	B	28,970	57.45	n/a	20-Jul	1,158.80	4.0
CSFB GLOBAL PROPRIETARY	041	RKT	B	40,000	59.73	n/a	20-Jul	2,000.00	5.0
OZ MGMT	040	RKT	B	9,008	57.28	n/a	20-Jul	270.24	0.0
ß BUCK CAPITAL MGMT		RL	C	20,000	141.79	n/a	18-Jul	non-brg	4.0
ß BUCK CAPITAL MGMT		RL	C	5,000	143.35	n/a	18-Jul	non-brg	1.0
PECONIC PARTNERS	036	RRC	C	50,000	60.29	n/a	23-Jul	2,500.00	0.0
ß BUCK CAPITAL MGMT		SCSS	B	10,000	26.67	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SHOO	B	10,000	32.81	n/a	n/a	non-brg	4.0
f JASON ERIC COHEN	FID	SPF	S	500	6.00	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SPY	SS	15,000	133.33	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		SPY	SS	15,000	133.96	n/a	n/a	non-brg	2.0
FIRST NEW YORK LEDDY	035	S	S	20,000	3.44	n/a	n/a	1,200.00	6.0
TOCQUEVILLE	035	TMS	B	5,800	9.53	n/a	n/a	290.00	0.0
Õ Nilsa Vazquez		TRN	B	125	22.48	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	UNT	S	50	4.03	n/a	23-Jul	0.00	0.0
ß BUCK CAPITAL MGMT		VFC	S	20,000	147.86	n/a	25-Jul	non-brg	4.0
ROSEDALE CAPITAL	046	WFT	B	25,000	11.66	n/a	n/a	1,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		WRC	B	30,000	40.45	n/a	18-Jul	non-brg	4.0
f PATRICK O'GRADY	FID	ZQK	S	600	2.50	n/a	10-May	0.00	0.0
f EDWARD W WHEELER	FID		S	250000	97.10	n/a	n/a	0.00	0.0
TOTAL (Trade Date):							74,661.08		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	07/24	NEWLAND CAPITAL MGT	025	HERO	B	100,000	3.47	n/a	n/a	2000.00 2.0
AO,CXL	07/24	NEWLAND CAPITAL MGT	025	HERO	B	100,000	3.47	n/a	n/a	3000.00 3.0
AO,CRT	07/24	GLG PARTNERS	034	LOW	B	5,392	25.66	n/a	22-May	161.76 0.0
AO,CXL	07/24	GLG PARTNERS	034	LOW	B	5,392	25.66	n/a	22-May	161.76 0.0
TOTAL (AO, CXL, CRT) :										-1,000.00

TOTAL (Trade Date) :	74,661.08
TOTAL (AO, CXL, CRT) :	-1,000.00

TOTAL (RUN DATE) / NFS :	73,661.08
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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 25-Jul.

MWV, PX

MRI Securities without Trade Activity on 25-Jul.

UA, GLW, PCH, ARG

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)