



Daily Compliance Activity Report

Trade Date: 09/12/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f JONATHAN RICHARD HAR	FID	AAPL	B	8	660.02	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		ABG	S	91	29.20	n/a	25-Jul	non-brg	1.0
HIGHBRIDGE CAP	041	ACN	SS	16,000	65.04	n/a	n/a	480.00	3.0
HIGHBRIDGE CAP	041	ADBE	SS	31,000	32.37	n/a	n/a	930.00	3.0
ß BUCK CAPITAL MGMT		AEO	S	510	23.59	n/a	2-Dec	non-brg	1.0
ROYCE TRADING	031	AEO	S	12,441	23.44	n/a	2-Dec	622.05	0.0
FIRST NY SEC/CHRIS	041	AIG	S	10,000	33.88	n/a	n/a	500.00	5.0
ß BUCK CAPITAL MGMT		ALGN	C	85	38.34	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		ALV	S	128	63.23	n/a	23-Jul	non-brg	1.0
HIGHBRIDGE CAP	041	ANSS	SS	7,000	72.38	n/a	n/a	210.00	3.0
SANDLER CAPITAL	028	AOS	S	91,581	56.08	n/a	19-Jul	4,579.05	0.0
ß BUCK CAPITAL MGMT		APC	S	301	72.39	n/a	9-Aug	non-brg	1.0
f ALEXANDRA ELISE ZOLI	FID	APP	B	3000	1.30	n/a	n/a	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	APP	B	3000	1.30	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	APP	B	7500	1.32	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	ARR	B	3000	7.48	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		ATI	S	97	33.12	n/a	12-Sep	non-brg	1.0
PZENA INV ADV	044	AVP	S	42,253	15.77	n/a	4-Sep	1,478.86	0.0
⚡ BUCK CAPITAL MGMT		AXL	S	662	12.02	n/a	30-Jul	non-brg	1.0
DSG CAPITAL	030	AXL	B	14,160	11.96	n/a	30-Jul	424.80	3.0
ROSEDALE CAPITAL	046	AXL	B	25,000	12.07	n/a	30-Jul	1,000.00	4.0
⚡ BUCK CAPITAL MGMT		AXP	S	150	57.46	n/a	10-Sep	non-brg	1.0
⚡ BUCK CAPITAL MGMT		BAC	S	2,628	8.97	n/a	5-Sep	non-brg	1.0
SANDLER O'NEILL ASSET	031	BAC	B	125,000	9.09	n/a	5-Sep	3,750.00	2.0
⚡ BUCK CAPITAL MGMT		BHI	C	198	47.48	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		BID	C	375	34.25	n/a	n/a	non-brg	1.0
⚡ JONATHAN RICHARD HAR	FID	BONT	S	1985	14.76	n/a	n/a	0.00	0.0
SMITH MGMT/ALDEN GLOBAL		029 BZH	S	250,000	3.28		n/a	n/a	7,500.00 0.0
GEORGE WEISS	034	CAKE	S	16,500	34.78	n/a	26-Jul	495.00	0.0
⚡ BUCK CAPITAL MGMT		CAR	S	946	16.60	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		CCL	S	85	36.76	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		CELG	S	269	74.23	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		CERN	C	36	72.01	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		CLH	C	148	53.17	n/a	n/a	non-brg	1.0
UBS OCONNOR	031	CMI	SS	20,000	98.54	n/a	11-Jul	600.00	0.0
BUCK CAPITAL MGMT		CNC	B	25,000	37.47	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		CNC	S	154	38.62	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		COF	S	361	57.65	n/a	10-Sep	non-brg	1.0
BUCK CAPITAL MGMT		COH	S	20,000	60.89	n/a	1-Aug	non-brg	4.0
BUCK CAPITAL MGMT		COH	S	30,000	61.09	n/a	1-Aug	non-brg	4.0
BUCK CAPITAL MGMT		COH	S	82	61.23	n/a	1-Aug	non-brg	1.0
INVESCO	031	COH	B	96,525	61.14	n/a	1-Aug	3,861.00	0.0
BUCK CAPITAL MGMT		CROX	B	12,400	18.09	n/a	n/a	non-brg	0.8
BUCK CAPITAL MGMT		CROX	B	12,500	18.09	n/a	n/a	non-brg	0.8
BUCK CAPITAL MGMT		CROX	B	27,500	18.05	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		CROX	B	27,600	18.05	n/a	n/a	non-brg	4.0
HIGHBRIDGE CAP	041	CTSH	SS	15,250	68.01	n/a	n/a	457.50	3.0
BUCK CAPITAL MGMT		C	S	752	33.17	n/a	11-Sep	non-brg	1.0
BUCK CAPITAL MGMT		DAL	S	2,152	9.44	n/a	n/a	non-brg	1.0
SAGE ASSET MGMT	025	DAL	S	25,800	9.44	n/a	n/a	1,032.00	4.0
BUCK CAPITAL MGMT		DE	S	85	78.56	n/a	11-Jul	non-brg	1.0
BUCK CAPITAL MGMT		DFS	S	460	38.29	n/a	10-Sep	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		DG	B	20,000	49.50	n/a	5-Sep	non-brg	4.0
BUCK CAPITAL MGMT		DG	S	266	49.80	n/a	5-Sep	non-brg	1.0
WOODWAY FINANCIAL	031	DG	B	31,650	49.86	n/a	5-Sep	1,899.00	6.0
BUCK CAPITAL MGMT		DHI	C	245	20.61	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		DHI	S	1,007	20.61	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		DIA	C	817	133.30	n/a	n/a	non-brg	1.0
PZENA INV ADV	044	DLPH	B	51,000	31.18	n/a	n/a	1,785.06	0.0
BUCK CAPITAL MGMT		DLTR	S	181	46.12	n/a	16-Aug	non-brg	1.0
BUCK CAPITAL MGMT		DO	C	198	68.82	n/a	n/a	non-brg	1.0
BUCK CAPITAL MGMT		DVN	S	210	60.43	n/a	23-Jul	non-brg	1.0
HIGHBRIDGE CAP	041	EQIX	SS	6,000	186.19	n/a	n/a	180.00	3.0
BUCK CAPITAL MGMT		ESV	S	193	58.18	n/a	n/a	non-brg	1.0
IAN L MILLER	FID	FBC	B	1000	0.96	n/a	n/a	0.00	0.0
ALICE BEEBE LONGLEY	FID	FBGRX	S	47	50.39	n/a	n/a	0.00	0.0
ALICE BEEBE LONGLEY	FID	FCONX	B	9960	10.04	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		FDO	S	222	63.68	n/a	19-Jul	non-brg	1.0
HIGHBRIDGE CAP	041	FFIV	SS	5,000	96.84	n/a	n/a	150.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f ALICE BEEBE LONGLEY	FID	FGMNX	B	8453	11.83	n/a	n/a	0.00	0.0
BTG PACTUAL	040	FINL	B	10,000	23.57	n/a	22-Aug	300.00	3.0
B BUCK CAPITAL MGMT		FINL	S	1,054	23.52	n/a	22-Aug	non-brg	1.0
CASTLEROCK	040	FINL	B	10,000	23.33	n/a	22-Aug	400.00	0.0
ROYCE TRADING	031	FINL	B	14,000	23.38	n/a	22-Aug	700.00	0.0
SYSTEMATIC FINANCIAL MGT	035	FINL	S	103,350	23.46	n/a	22-Aug	3,100.50	0.0
f ALICE BEEBE LONGLEY	FID	FLPSX	S	23	39.34	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FL	S	599	36.64	n/a	29-Aug	non-brg	1.0
B BUCK CAPITAL MGMT		FOR	S	1,497	16.18	n/a	15-Aug	non-brg	1.0
B BUCK CAPITAL MGMT		GCO	S	180	70.88	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		GIII	S	121	35.64	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		GIL	S	499	30.89	n/a	3-Aug	non-brg	1.0
B BUCK CAPITAL MGMT		GLW	S	496	12.72	n/a	7-Sep	non-brg	1.0
IRIDIAN ASSET MGMT.	036	GLW	S	12,340	12.80	n/a	7-Sep	617.00	0.0
UBS OCONNOR	031	GWW	S	15,000	205.77	n/a	7-Aug	450.00	0.0
B BUCK CAPITAL MGMT		HAL	S	376	35.70	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		HBI	S	360	32.62	n/a	1-Aug	non-brg	1.0
B BUCK CAPITAL MGMT		HCA	S	472	29.12	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		HD	C	35,000	57.00	n/a	14-Aug	non-brg	4.0
ß BUCK CAPITAL MGMT		HD	C	35,000	57.00	n/a	14-Aug	non-brg	4.0
ß BUCK CAPITAL MGMT		HD	C	40,000	56.99	n/a	14-Aug	non-brg	4.0
ß BUCK CAPITAL MGMT		HD	C	40,000	56.99	n/a	14-Aug	non-brg	4.0
CAPITAL RESEARCH GROUP		296 HD		S	209,596	56.79	n/a 14-Aug	7,335.86	0.0
LATEEF MGMT	035	HON	S	900	59.95	n/a	12-Sep	135.00	15.0
ß BUCK CAPITAL MGMT		HOS	C	102	40.05	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		HTZ	S	1,686	14.69	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		IJH	C	432	100.31	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		IP	S	650	34.78	n/a	20-Aug	non-brg	1.0
ß BUCK CAPITAL MGMT		IR	S	126	46.13	n/a	30-Aug	non-brg	1.0
ß BUCK CAPITAL MGMT		IWO	C	2,149	96.30	n/a	n/a	non-brg	1.0
INTERVAL PARTNERS	033	JCI	SS	8,000	28.25	n/a	20-Jul	240.00	0.0
ß BUCK CAPITAL MGMT		JCP	C	218	29.67	n/a	13-Aug	non-brg	1.0
f MARC PAUL LUCHANSKY	FID	JCP	S	100	29.12	n/a	13-Aug	0.00	0.0
ß BUCK CAPITAL MGMT		JIVE	S	630	14.24	n/a	n/a	non-brg	1.0
CAISSE DEPOT PLACEMENT Q	295	JIVE	B	29,800	14.00	n/a	n/a	894.00	3.0
ROSEDALE CAPITAL	046	KMX	SS	15,000	32.42	n/a	n/a	600.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
⌘ BUCK CAPITAL MGMT		KNX	S	639	14.98	n/a	n/a	non-brg 1.0
WADDELL AND REED	047	KO	S	183,750	37.66	n/a	4-Sep	7,350.00 0.0
CAERUS GLOBAL	041	KR	SS	20,000	23.88	n/a	n/a	800.00 4.0
⌘ BUCK CAPITAL MGMT		KSS	S	169	53.97	n/a	31-Aug	non-brg 1.0
LEVIN CAPITAL STRATEGIES	041	KSS	C	15,000	53.87	n/a	31-Aug	450.00 0.0
SUFFOLK CAPITAL MGMT	040	LCC	B	65,100	11.79	n/a	n/a	1,953.00 0.0
⌘ BUCK CAPITAL MGMT		LEA	S	43	40.51	n/a	3-Aug	non-brg 1.0
⌘ BUCK CAPITAL MGMT		LEN	C	158	34.20	n/a	n/a	non-brg 1.0
⌘ BUCK CAPITAL MGMT		LEN	S	575	34.20	n/a	n/a	non-brg 1.0
⌘ BUCK CAPITAL MGMT		LLY	S	350	46.81	n/a	n/a	non-brg 1.0
⌘ BUCK CAPITAL MGMT		LPNT	S	225	41.26	n/a	n/a	non-brg 1.0
KLEINHEINZ CAP PART	031	LULU	SS	20,000	76.05	n/a	10-Sep	1,000.00 5.0
INTERVAL PARTNERS	033	MAS	SS	10,000	14.48	n/a	n/a	300.00 0.0
WATERFRONT CAP	028	MAS	B	84,500	14.69	n/a	n/a	3,380.00 0.0
WADDELL AND REED	047	MCD	S	57,800	90.91	n/a	11-Sep	2,312.00 0.0
⌘ BUCK CAPITAL MGMT		MDT	S	169	41.78	n/a	n/a	non-brg 1.0
⌘ BUCK CAPITAL MGMT		MDY	C	182	182.59	n/a	n/a	non-brg 1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ARSENAL ASSET MANAGEMENT	028	MHK	B	5,000	74.53	n/a	n/a	200.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	MPG	S	2,264	3.76		n/a	n/a	45.28 2.0
ß BUCK CAPITAL MGMT		MS	S	952	17.17	n/a	11-Sep	non-brg	1.0
ß BUCK CAPITAL MGMT		MTOR	B	115,000	4.70	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		MTOR	B	40,000	4.70	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		MTOR	B	60,000	4.70	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		MWV	S	194	29.49	n/a	25-Jul	non-brg	1.0
ß BUCK CAPITAL MGMT		MW	S	20,000	37.07	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		MYL	C	202	24.05	n/a	12-Sep	non-brg	1.0
ß BUCK CAPITAL MGMT		M	S	469	39.52	n/a	31-Aug	non-brg	1.0
BRIGADE CAPITAL MGMT	029	NRG	B	50,000	22.37	n/a	n/a	1,500.00	0.0
CAISSE DEPOT PLACEMENT Q	295	NTAP	S	25,000	35.21	n/a	n/a	750.00	3.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	NXY	B	7,500	25.65		n/a	n/a	225.00 3.0
ß BUCK CAPITAL MGMT		PAG	S	332	29.33	n/a	1-Aug	non-brg	1.0
ß BUCK CAPITAL MGMT		PCLN	C	24	623.13	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		PCP	S	42	159.26	n/a	1-Aug	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAPITAL RESEARCH GROUP		296 PCP	B	12,875	158.62		n/a 1-Aug	450.63	0.0
⚡ BUCK CAPITAL MGMT		PFE	S	780	24.14	n/a	n/a	non-brg	1.0
f ALICE BEEBE LONGLEY	FID	PHIYX	B	10471	9.55	n/a	n/a	0.00	0.0
f ALICE BEEBE LONGLEY	FID	PIGLX	B	9434	10.60	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		PLCE	S	156	57.55	n/a	16-Aug	non-brg	1.0
f ALICE BEEBE LONGLEY	FID	PRRDX	B	4023	12.43	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		PVH	S	214	92.63	n/a	29-Aug	non-brg	1.0
BRONSON POINT	036	RCL	B	12,500	29.68	n/a	n/a	375.00	0.0
⚡ BUCK CAPITAL MGMT		RCL	S	218	29.55	n/a	n/a	non-brg	1.0
UBS OCONNOR	031	ROP	B	25,000	103.96	n/a	n/a	750.00	0.0
GEORGE WEISS	034	ROST	B	18,000	66.80	n/a	31-Aug	540.00	0.0
⚡ BUCK CAPITAL MGMT		RUSHA	S	466	18.04	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		RYL	S	480	29.37	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		R	S	436	42.47	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		SAND SS	C	1,116	14.25	n/a	n/a	non-brg	2.1
BALYASNY ASSET MGMT	044	SBUX	C	30,000	51.25	n/a	27-Jul	1,500.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		SHOO	S	10,000	43.78	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SKS	C	100,000	11.17	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SKS	C	100,000	11.17	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SLB	S	191	74.11	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		SLM	S	1,665	16.25	n/a	4-Sep	non-brg	1.0
ß BUCK CAPITAL MGMT		SLXP	C	258	42.73	n/a	12-Sep	non-brg	1.0
f MARK DEVEREAUX KAICH	FID	SNCR	S	500	24.39	n/a	n/a	0.00	0.0
UBS OCONNOR	031	SPW	B	10,000	67.08	n/a	n/a	300.00	0.0
ß BUCK CAPITAL MGMT		SPY	C	86	144.12	n/a	n/a	non-brg	1.0
TROUBH PART	070	SPY	B	10,000	144.40	n/a	n/a	500.00	5.0
ß BUCK CAPITAL MGMT		STT	S	588	43.10	n/a	11-Sep	non-brg	1.0
f MANNY I KORMAN	FID	STT	B	2000	43.21	n/a	11-Sep	0.00	0.0
ß BUCK CAPITAL MGMT		SWFT	S	1,336	8.75	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		SWN	S	704	34.57	n/a	3-Aug	non-brg	1.0
CENTURION PARTNERS	041	TCB	S	50,000	11.62	n/a	n/a	2,000.00	4.0
ß BUCK CAPITAL MGMT		TDG	C	115	141.71	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		TEVA	S	436	40.50	n/a	12-Sep	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
GEORGE WEISS	034	TGT	B	15,000	64.34	n/a	30-Aug	600.00	0.0
ß BUCK CAPITAL MGMT		TJX	S	229	45.89	n/a	31-Aug	non-brg	1.0
ß BUCK CAPITAL MGMT		TOL	C	141	34.58	n/a	n/a	non-brg	1.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	TRW	B	8,954	46.39		n/a	n/a	358.16 4.0
f EDWARD W WHEELER	FID	TWI	B	200	0.70	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		UAL	S	315	19.94	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		URBN	SS	20,000	39.25	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		URI	S	263	35.61	n/a	17-Apr	non-brg	1.0
SUFFOLK CAPITAL MGMT	040	VZ	B	43,000	44.70	n/a	n/a	1,720.00	0.0
ß BUCK CAPITAL MGMT		V	S	135	132.94	n/a	11-Sep	non-brg	1.0
ß BUCK CAPITAL MGMT		WERN	S	334	23.19	n/a	n/a	non-brg	1.0
HIGHBRIDGE CAP	041	WLK	B	14,000	72.26	n/a	n/a	420.00	3.0
ß BUCK CAPITAL MGMT		WNC	S	3,140	7.52	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		XLFX	C	2,092	15.74	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		XRT	C	1,294	63.63	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f ALICE BEEBE LONGLEY	FID	YAFFX	B	2440	20.49	n/a	n/a	0.00	0.0
DAVIDSON KEMPNER ADVISOR	040	YHOO	S	50,000	15.46	n/a	n/a	1,500.00	0.0
SUFFOLK CAPITAL MGMT	040	YUM	B	18,800	66.03	n/a	23-Aug	752.00	0.0
TOTAL (Trade Date):								78,737.75	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									78,737.75
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									78,737.75

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 12-Sep.
NONE

MRI Securities without Trade Activity on 12-Sep.
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)