



Daily Compliance Activity Report

Trade Date: 07/05/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PIONEER OAKRIDGE	031	AAPL	S	200	603.73	n/a	n/a	6.00	3.0
ROYCE TRADING	031	AEO	S	65,000	20.49	n/a	2-Dec	3,250.00	5.0
f CHRISTOPHER ROBERT C	FID	ALV	B	75	56.43	n/a	20-Jun	0.00	0.0
TRELLUS PARTNERS LP	028	ALV	B	10,000	56.29	n/a	20-Jun	300.00	3.0
f KAREN F LEDDY	FID	ARCO	B	900	14.89	n/a	6-Jun	0.00	0.0
f CHRISTOPHER ROBERT C	FID	AXL	B	300	11.02	n/a	7-Jun	0.00	0.0
SPARTAN	093	AXL	S	20,000	10.72	n/a	7-Jun	600.00	3.0
WOOSTER CAPITAL	035	AXL	S	100,000	10.99	n/a	7-Jun	4,000.00	4.0
ROTHSCHILD ASSET	040	BIG	S	21,599	40.67	n/a	23-May	863.96	4.0
f KAREN F LEDDY	FID	BONT	B	1000	7.88	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		CMG	B	10,000	385.46	n/a	20-Apr	non-brg	4.0
WEINTRAUB CAPITAL MGT.	269	COF	S	50,000	54.69	n/a	28-Jun	2,000.00	4.0
EDGEWOOD	085	COH	B	28,010	59.88	n/a	9-May	1,400.50	5.0
BRONSON POINT	036	CPB	B	75,000	33.22	n/a	n/a	2,250.00	3.0
OHIO PERS	047	CSL	S	33,599	54.85	n/a	n/a	1,007.97	3.0
B BUCK CAPITAL MGMT		DECK	SS	20,000	47.14	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WEINTRAUB CAPITAL MGT.	269	DG	S	50,000	54.06	n/a	27-Jun	2,000.00	4.0
⚡ BUCK CAPITAL MGMT		DPZ	SS	25,000	30.75	n/a	2-May	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DPZ	SS	25,000	30.75	n/a	2-May	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DSW	S	20,000	55.69	n/a	11-Feb	non-brg	4.0
HIGHBRIDGE CAP	041	FCX	B	3,000	35.28	n/a	n/a	90.00	3.0
⚡ BUCK CAPITAL MGMT		FL	B	30,000	31.66	n/a	18-May	non-brg	4.0
⚡ CHRISTOPHER ROBERT C	FID	FSRBX	S	269	18.76	n/a	n/a	0.00	0.0
LEVIN CAPITAL STRATEGIES	041	F	SS	15,000	9.54	n/a	5-Jul	450.00	3.0
OZ MGMT	040	F	C	100,000	9.72	n/a	5-Jul	3,000.00	3.0
⚡ BUCK CAPITAL MGMT		GIL	S	10,000	27.70	n/a	12-Jun	non-brg	4.0
⚡ BUCK CAPITAL MGMT		GIL	S	20,000	27.33	n/a	12-Jun	non-brg	4.0
LEVIN CAPITAL STRATEGIES	041	GM	SS	10,000	20.68	n/a	5-Jul	300.00	3.0
NEUBERGER BERMAN	036	GRC	B	4,000	30.87	n/a	n/a	160.00	4.0
⚡ BUCK CAPITAL MGMT		HOT	S	19,516	53.40	n/a	13-Jun	non-brg	4.0
⚡ BUCK CAPITAL MGMT		JNY	B	30,000	10.75	n/a	26-Apr	non-brg	4.0
SIMMONS VENTURES	041	JNY	SS	10,000	10.66	n/a	26-Apr	400.00	4.0
⚡ BUCK CAPITAL MGMT		JPCMSBCM	C	4,300	108.50	n/a	n/a	non-brg	8.7

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CORVEX CAPITAL	041	JPM	B	100,000	34.49	n/a	2-Jul	3,000.00	3.0
LEVIN CAPITAL STRATEGIES	041	JWN	S	20,000	50.96	n/a	28-Jun	600.00	3.0
f CHRISTOPHER ROBERT C	FID	KBH	B	100	10.31	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		KORS	B	20,000	43.27	n/a	n/a	non-brg	4.0
CHARTER OAK	033	KRO	B	14,585	16.00	n/a	n/a	729.25	5.0
B BUCK CAPITAL MGMT		KSS	B	5,777	47.15	n/a	28-Jun	non-brg	4.0
B BUCK CAPITAL MGMT		KSS	C	40,000	46.26	n/a	28-Jun	non-brg	4.0
B BUCK CAPITAL MGMT		KSS	S	5,777	47.11	n/a	28-Jun	non-brg	2.5
B BUCK CAPITAL MGMT		KSS	S	65,800	46.07	n/a	28-Jun	non-brg	4.0
SCOPUS FUND	041	KSS	B	50,000	47.07	n/a	28-Jun	2,000.00	4.0
ROTHSCHILD ASSET	040	LCC	S	45,621	13.50	n/a	n/a	1,824.84	4.0
SANDLER CAPITAL	028	LNN	B	40,000	69.82	n/a	n/a	2,000.00	5.0
ROTHSCHILD ASSET	040	LYB	S	21,864	42.30	n/a	n/a	874.56	4.0
PROSPECTOR PARTNERS LLC	036	L	S	4,000	41.01	n/a	n/a	160.00	4.0
ROYCE TRADING	031	MLI	S	659	43.78	n/a	14-Jun	32.95	5.0
ROTHSCHILD ASSET	040	MOV	S	23,717	25.32	n/a	n/a	948.68	4.0
PROSPECTOR PARTNERS LLC	036	MRO	S	10,000	25.57	n/a	n/a	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		MSMSBCM	C	100,000	108.44	n/a	n/a	non-brg	8.7
B BUCK CAPITAL MGMT		MSMSBCM	C	35,000	108.38	n/a	n/a	non-brg	8.7
B BUCK CAPITAL MGMT		M	B	50,000	34.49	n/a	28-Jun	non-brg	0.8
B BUCK CAPITAL MGMT		M	S	14,500	34.58	n/a	28-Jun	non-brg	1.0
SCOPUS FUND	041	M	B	50,000	33.57	n/a	28-Jun	2,000.00	4.0
EMPYREAN CAPITAL	084	NAV	B	50,000	29.36	n/a	13-Jun	2,500.00	5.0
f JOHN MICHAEL ZOLIDIS	FID	NFLX	S	50	81.40	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		NKE	SS	10,000	92.28	n/a	29-Jun	non-brg	4.0
KENNEDY CAPITAL	046	NWBI	B	63,711	11.90	n/a	n/a	2,548.44	4.0
Õ Manny Korman		NYB	B	1000	12.58	n/a	29-Jun	0.00	0.0
HIGHBRIDGE CAP	041	OII	B	2,025	49.46	n/a	n/a	60.75	3.0
NEWLAND CAPITAL MGT	025	OI	S	10,000	19.83	n/a	n/a	400.00	4.0
f WILLIAM J GAULT	FID	OVRL	S	5000	1.76	n/a	n/a	0.00	0.0
PHILADELPHIA FINANCIAL	033	PAG	B	200	22.85	n/a	26-Apr	8.00	4.0
PHILADELPHIA FINANCIAL	033	PAG	S	24,933	23.44	n/a	26-Apr	997.32	4.0
B BUCK CAPITAL MGMT		PG	C	19,450	61.45	n/a	20-Jun	non-brg	4.0
HIGHBRIDGE CAP	041	POT	B	3,000	45.41	n/a	n/a	90.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
CAPITAL RESEARCH GROUP		296 QCOM		S	394,300	56.57	n/a	n/a	13,800.50	3.5
ROTHSCHILD ASSET	040	RNR	B	11,398	75.55	n/a	n/a	455.92	4.0	
f JOHN MICHAEL ZOLIDIS	FID	RUE	B	300	25.89	n/a	n/a	0.00	0.0	
B BUCK CAPITAL MGMT		SBH	B	20,000	26.60	n/a	n/a	non-brg	4.0	
B BUCK CAPITAL MGMT		SBH	B	30,000	26.74	n/a	n/a	non-brg	4.0	
B BUCK CAPITAL MGMT		SCSS	B	20,000	21.98	n/a	n/a	non-brg	4.0	
B BUCK CAPITAL MGMT		SHOO	B	60,000	33.01	n/a	n/a	non-brg	4.0	
B BUCK CAPITAL MGMT		SHOO	B	70,000	33.12	n/a	n/a	non-brg	4.0	
B BUCK CAPITAL MGMT		SIG	S	20,000	46.05	n/a	n/a	non-brg	4.0	
B BUCK CAPITAL MGMT		SKUL	S	20,000	14.72	n/a	n/a	non-brg	4.0	
DAVIDSON INV ADV	035	SLB	B	32,595	66.17	n/a	n/a	1,303.80	4.0	
B BUCK CAPITAL MGMT		SSI	S	20,000	18.82	n/a	n/a	non-brg	4.0	
B BUCK CAPITAL MGMT		SUMR	S	14,477	3.22	n/a	n/a	non-brg	1.0	
B BUCK CAPITAL MGMT		TJX	S	12,000	44.04	n/a	28-Jun	non-brg	1.0	
HIGHBRIDGE CAP	041	TS	SS	3,000	35.42	n/a	n/a	90.00	3.0	
B BUCK CAPITAL MGMT		ULTA	B	20,000	95.04	n/a	n/a	non-brg	4.0	

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CASTLEROCK	040	URI	S	68,541	35.89	n/a	17-Apr	2,741.64	4.0
FRIESS MGMT	033	VFC	S	130,650	133.17	n/a	27-Apr	5,226.00	4.0
EDGEWOOD	085	V	B	19,312	127.10	n/a	30-May	965.60	5.0
TOTAL (Trade Date) :								67,836.68	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	07/03	GALT INVESTMENT	041	CONN	S	5,263	16.24	n/a	n/a	210.52 4.0
AO,CXL	07/03	GALT INVESTMENT	041	CONN	S	5,263	16.24	n/a	n/a	263.15 5.0
AO,CXL	07/02	PERRY PARTNERS	085	IPG	SS	20,000	10.93	n/a	n/a	1000.00 5.0
AO,CRT	07/02	PERRY PARTNERS	085	IPG	SS	20,000	10.93	n/a	n/a	800.00 4.0
AO,CXL	07/03	CONIFER	025	IVV	B	4,000	137.82	n/a	n/a	160.00 4.0
AO,CRT	07/03	CONIFER	025	IVV	B	4,000	137.82	n/a	n/a	160.00 4.0
AO,CXL	06/29	ACK ASSET	028	LULU	S	10,045	59.31	n/a	7-Jun	301.35 3.0
AO,	06/29	ACK ASSET	028	LULU	SS	10,045	59.31	n/a	7-Jun	301.35 3.0

TOTAL (AO, CXL, CRT) :	-252.63
-------------------------------	----------------

TOTAL (Trade Date) :	67,836.68
----------------------	-----------

TOTAL (AO, CXL, CRT) :	-252.63
------------------------	---------

TOTAL (RUN DATE) / NFS :	67,584.05
---------------------------------	------------------

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 5-Jul.
NONE

MRI Securities without Trade Activity on 5-Jul.
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)