



Daily Compliance Activity Report

Trade Date: 07/06/2012

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	100	603.97	n/a	n/a	3.00	3.0
f JOEL GIFFORD TISS	FID	AHBCF	S	10000	5.41	n/a	n/a	0.00	0.0
TRELLUS PARTNERS LP	028	ALV	B	13,300	54.89	n/a	20-Jun	399.00	3.0
f MANNY I KORMAN	FID	ARR	B	20000	7.38	n/a	n/a	0.00	0.0
DSM CAPITAL PARTNERS	085	ARUN	S	10,975	14.31	n/a	n/a	548.75	5.0
ROSEDALE CAPITAL	046	ATI	B	30,000	31.84	n/a	6-Jun	1,500.00	5.0
B BUCK CAPITAL MGMT		AXL	B	23,800	10.72	n/a	7-Jun	non-brg	4.0
GUGGENHEIM GLOBAL TRADING (GGT) 251	BA		B	1,000	73.34	n/a	3-Jul	40.00	4.0
f MANNY I KORMAN	FID	BCSPRA	B	5000	24.69	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	BCSPRC	B	5000	25.13	n/a	n/a	0.00	0.0
OHIO PERS	047	CIEN	S	161,121	15.61	n/a	n/a	4,833.63	3.0
B BUCK CAPITAL MGMT		DDS	C	20,000	64.03	n/a	n/a	non-brg	4.0
TALKOT CAPITAL LLC	084	DFS	B	5,000	35.25	n/a	6-Jul	200.00	4.0
B BUCK CAPITAL MGMT		DHI	SS	25,000	18.37	n/a	n/a	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
	GUGGENHEIM GLOBAL TRADING	(GGT)251	DO	B	2,500	58.80		n/a	n/a	100.00	4.0
B	BUCK CAPITAL MGMT		DSW	S	50,000	55.78	n/a	11-Feb	non-brg	4.0	
f	MANNY I KORMAN	FID	DXB	B	10000	24.88	n/a	n/a	0.00	0.0	
	NORTHWESTERN MUTUAL LIFE	047	ESRX	S	199,284	54.03	n/a	n/a	7,971.36	4.0	
B	BUCK CAPITAL MGMT		FOSL	S	28,700	68.09	n/a	n/a	non-brg	4.0	
	LEVIN CAPITAL STRATEGIES	041	F	SS	15,000	9.49	n/a	5-Jul	450.00	3.0	
	NORTHWESTERN MUTUAL LIFE	047	GILD	B	101,300	51.05	n/a	n/a	4,052.00	4.0	
B	BUCK CAPITAL MGMT		GIL	S	20,000	27.58	n/a	12-Jun	non-brg	4.0	
	LEVIN CAPITAL STRATEGIES	041	GM	SS	10,000	20.41	n/a	5-Jul	300.00	3.0	
	NEUBERGER BERMAN	036	GRC	B	200	30.65	n/a	n/a	8.00	4.0	
f	JOHN MICHAEL ZOLIDIS	FID	GS	S	45	95.23	n/a	2-Jul	0.00	0.0	
	NEWLAND CAPITAL MGT	025	IFF	SS	25,000	54.03	n/a	8-May	1,000.00	4.0	
B	BUCK CAPITAL MGMT		JNY	B	20,000	10.38	n/a	26-Apr	non-brg	1.0	
B	BUCK CAPITAL MGMT		JPCMSBCM	C	22,717	108.20	n/a	n/a	non-brg	0.2	
B	BUCK CAPITAL MGMT		JPCMSBCM	C	38,157	108.20	n/a	n/a	non-brg	0.2	
B	BUCK CAPITAL MGMT		JPCMSBCM	SS	22,717	108.20	n/a	n/a	non-brg	0.0	

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		JPCMSBCM	SS	38,157	108.20	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		KORS	B	10,000	43.61	n/a	n/a	non-brg	1.0
CHARTER OAK	033	KRO	B	8,550	15.78	n/a	n/a	427.50	5.0
ß BUCK CAPITAL MGMT		LEN	SS	16,000	31.02	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		MSMSBCM	C	1,034,162	108.26	n/a	n/a	non-brg	0.2
ß BUCK CAPITAL MGMT		MSMSBCM	C	812,038	108.26	n/a	n/a	non-brg	0.2
ß BUCK CAPITAL MGMT		MSMSBCM	SS	1,034,162	108.26	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		MSMSBCM	SS	812,038	108.26	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		MYL	SS	20,000	21.46	n/a	2-Jul	non-brg	4.0
EMPYREAN CAPITAL	084	NAV	S	150,000	24.25	n/a	13-Jun	4,500.00	3.0
LATEEF MGMT	035	NKE	B	300	91.01	n/a	29-Jun	48.00	16.0
f JOEL GIFFORD TISS	FID	NPPNF	S	1900	14.83	n/a	n/a	0.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	NSC	B	2,500	71.89		n/a	n/a	100.00 4.0
f MANNY I KORMAN	FID	NYV	B	10000	16.25	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		PSMT	S	19,961	63.32	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		PSMT	S	20,000	63.50	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		PSMT	S	40,000	63.64	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		PVH	B	10,000	79.53	n/a	25-May	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
DSM CAPITAL PARTNERS	085	RDWR	S	3,100	36.91	n/a	n/a	155.00	5.0
ß BUCK CAPITAL MGMT		RL	C	10,000	143.91	n/a	23-May	non-brg	4.0
ß BUCK CAPITAL MGMT		RL	C	10,000	144.62	n/a	23-May	non-brg	4.0
ß BUCK CAPITAL MGMT		RYL	S	20,000	26.36	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SHOO	B	20,000	33.74	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SHOO	B	20,000	33.74	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SIG	S	10,000	44.74	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		SIG	S	40,000	44.83	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SKUL	S	10,000	14.59	n/a	n/a	non-brg	4.0
f MANNY I KORMAN	FID	SLMAP	B	5000	46.94	n/a	n/a	0.00	0.0
f JASON ERIC COHEN	FID	SPF	B	20	0.15	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SUMR	S	1,600	3.15	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		SUMR	S	1,600	3.15	n/a	n/a	non-brg	2.0
COBALT	041	SWN	SS	100,000	31.82	n/a	2-Jul	4,000.00	4.0
ß BUCK CAPITAL MGMT		TEVA	B	10,000	39.59	n/a	2-Jul	non-brg	4.0
ß BUCK CAPITAL MGMT		TEX	B	12,300	17.70	n/a	13-Jun	non-brg	4.0
CAERUS GLOBAL	041	TGT	SS	25,000	58.01	n/a	5-Jul	1,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		TIF	SS	30,000	53.24	n/a	n/a	non-brg	4.0
JOHN MICHAEL ZOLIDIS	FID	TJX	B	100	44.39	n/a	6-Jul	0.00	0.0
FRIESS MGMT	033	VFC	S	98,250	133.95	n/a	27-Apr	3,930.00	4.0
BUCK CAPITAL MGMT		WTW	SS	30,000	48.45	n/a	n/a	non-brg	0.0
JOHN MICHAEL ZOLIDIS	FID	WYNN	S	70	100.01	n/a	13-Jun	0.00	0.0
BUCK CAPITAL MGMT		YUM	C	10,000	64.47	n/a	20-Apr	non-brg	2.5
BUCK CAPITAL MGMT		YUM	C	10,000	64.72	n/a	20-Apr	non-brg	2.5
WEINTRAUB CAPITAL MGT.	084	YUM	SS	75,000	64.42	n/a	20-Apr	3,000.00	4.0
JOHN MICHAEL ZOLIDIS	FID	YXI	B	150	44.27	n/a	n/a	0.00	0.0
TOTAL (Trade Date):							38,566.24		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	07/05	SPARTAN	093	AXL	S	20,000	10.72	n/a	7-Jun	600.00 3.0
AO,CXL	07/05	SPARTAN	093	AXL	S	20,000	10.72	n/a	7-Jun	600.00 3.0
AO,CXL	07/05	FRIESS MGMT	033	VFC	S	200	133.17	n/a	27-Apr	8.00 4.0
AO,CRT	07/05	FRIESS MGMT	033	VFC	S	200	133.17	n/a	27-Apr	8.00 4.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date) :	38,566.24
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS :	38,566.24
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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 6-Jul.
NONE

MRI Securities without Trade Activity on 6-Jul.
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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)