



Daily Compliance Activity Report

Trade Date: 06/12/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		AAPL	B	5,000	574.28	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		AAPL	B	5,000	575.11	n/a	n/a	non-brg	4.0
CAERUS GLOBAL	041	ABG	S	57,000	24.23	n/a	27-Apr	2,280.00	4.0
CHARTER OAK	033	ABG	B	5,000	24.11	n/a	27-Apr	250.00	5.0
BUCK CAPITAL MGMT		AEO	B	20,000	18.78	n/a	2-Dec	non-brg	4.0
MACELLUM CAPITAL	086	ASNA	B	40,000	19.56	n/a	n/a	1,200.00	3.0
OZ MGMT	040	AXL	B	75,000	9.45	n/a	7-Jun	2,250.00	3.0
CRAMER ROSENTHAL	070	BBBY	B	78,550	70.61	n/a	n/a	2,749.25	3.5
BUCK CAPITAL MGMT		BID	SS	20,000	30.37	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		BONT	S	31,947	5.11	n/a	n/a	non-brg	1.0
CORNERSTONE	030	BTI	B	42,969	98.42	n/a	n/a	1,289.07	3.0
BALYASNY ASSET MGMT	044	BWLD	C	6,800	80.34	n/a	n/a	340.00	5.0
SCOPUS FUND	041	CAT	SS	25,000	85.90	n/a	26-Apr	1,000.00	4.0
BUCK CAPITAL MGMT		CCL	S	22,500	33.36	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		COH	C	10,000	61.48	n/a	9-May	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	297	COLB	S	57,000	17.83	n/a	n/a	2,280.00	4.0
⌘ BUCK CAPITAL MGMT		CROX	B	20,000	15.84	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		CROX	B	30,000	15.82	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		DG	B	10,000	50.00	n/a	5-Jun	non-brg	4.0
⌘ BUCK CAPITAL MGMT		DG	B	20,000	49.92	n/a	5-Jun	non-brg	4.0
BASSWOOD PARTNERS	267	DHI	SS	9,600	15.11	n/a	n/a	384.00	4.0
BALYASNY ASSET MGMT	044	DNKN	S	10,000	33.81	n/a	n/a	500.00	5.0
DAVIDSON KEMPNER ADVISOR	040	DTG	S	6,800	80.19	n/a	n/a	204.00	3.0
COPIA CAPITAL	031	ETN	B	35,340	40.39	n/a	22-May	1,236.91	3.5
⌘ BUCK CAPITAL MGMT		FDO	B	10,000	69.23	n/a	5-Jun	non-brg	4.0
CAERUS GLOBAL	041	FNP	S	2,172	10.62	n/a	n/a	86.88	4.0
⌘ BUCK CAPITAL MGMT		GIL	S	37,900	26.48	12-Jun	12-Jun	non-brg	4.0
CAERUS GLOBAL	041	GIL	S	1,380	26.16	12-Jun	12-Jun	55.20	4.0
COUGAR TRADING	044	GIL	B	10,000	26.24	12-Jun	12-Jun	500.00	5.0
COUGAR TRADING	044	GIL	S	5,000	25.85	12-Jun	12-Jun	250.00	5.0
HARVEST MGMT (JMP)	029	GIL	B	600	25.50	12-Jun	12-Jun	24.00	4.0
HOLLIS CAPITAL	033	GIL	B	8,000	26.61	12-Jun	12-Jun	400.00	5.0
KLEINHEINZ CAP PART	031	GIL	B	50,000	26.13	12-Jun	12-Jun	2,500.00	5.0
HARVEST MGMT (JMP)	029	GPI	SS	7,500	49.94	n/a	27-Apr	300.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⌘ BUCK CAPITAL MGMT		HLF	S	50,000	44.81	n/a	n/a	non-brg	4.0
LIONEYE CAPITAL	040	HNR	S	10,000	5.37	n/a	n/a	500.00	5.0
⌘ BUCK CAPITAL MGMT		HOT	B	20,000	50.29	n/a	13-Jun	non-brg	4.0
BALYASNY ASSET MGMT	044	HTZ	B	25,000	12.24	n/a	n/a	1,250.00	5.0
DE SHAW	070	INTC	S	100,000	26.39	n/a	n/a	3,000.00	3.0
⌘ BUCK CAPITAL MGMT		JNY	B	30,000	9.57	n/a	26-Apr	non-brg	3.0
⌘ BUCK CAPITAL MGMT		JNY	B	30,000	9.57	n/a	26-Apr	non-brg	3.0
⌘ BUCK CAPITAL MGMT		JPCMSBCM	C	39,547	104.44	n/a	n/a	non-brg	0.2
⌘ BUCK CAPITAL MGMT		JPCMSBCM	C	51,030	104.44	n/a	n/a	non-brg	0.2
⌘ BUCK CAPITAL MGMT		JPCMSBCM	SS	39,547	104.44	n/a	n/a	non-brg	0.0
⌘ BUCK CAPITAL MGMT		JPCMSBCM	SS	51,030	104.44	n/a	n/a	non-brg	0.0
LEVIN CAPITAL STRATEGIES	041	JWN	B	30,250	48.70	n/a	8-Jun	907.50	3.0
LATEFF MGMT	035	KMB	S	225	81.21	n/a	23-Apr	56.25	25.0
f JOSEPH CIRO AMATURO	FID	KORS	S	1000	41.11	n/a	n/a	0.00	0.0
LATEFF MGMT	035	KR	B	450	21.49	n/a	n/a	90.00	20.0
WOOSTER CAPITAL	035	LEA	B	10,000	38.07	n/a	4-May	500.00	5.0
LONG OAR GLOBAL INV	040	LII	S	35,343	42.45	n/a	n/a	1,413.72	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHFIELDS CAP MGMT	030	LOW	S	200,000	27.26	n/a	22-May	8,000.00	4.0
IRIDIAN ASSET MGMT.	036	LSI	B	362,290	6.50	n/a	n/a	18,114.50	5.0
CATAPULT	040	LULU	S	12,250	62.53	n/a	7-Jun	490.00	4.0
ß BUCK CAPITAL MGMT		MGM	S	100,000	10.95	n/a	13-Jun	non-brg	4.0
ß BUCK CAPITAL MGMT		MGM	S	100,000	11.07	n/a	13-Jun	non-brg	4.0
ß BUCK CAPITAL MGMT		MGM	S	109,400	11.16	n/a	13-Jun	non-brg	4.0
TUDOR INVESTORS	028	MHK	B	3,000	67.18	n/a	n/a	90.00	3.0
f DAVID GEORGE BUCK	FID	MO	B	2000	33.34	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	MO	B	200	33.32	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		MSMSBCM	C	1,383,488	104.41	n/a	n/a	non-brg	0.2
ß BUCK CAPITAL MGMT		MSMSBCM	C	1,439,921	104.41	n/a	n/a	non-brg	0.2
ß BUCK CAPITAL MGMT		MSMSBCM	SS	1,383,488	104.41	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		MSMSBCM	SS	1,439,921	104.41	n/a	n/a	non-brg	0.0
HARVEST MGMT (JMP)	029	NKE	SS	10,000	107.25	n/a	23-Mar	400.00	4.0
PECONIC PARTNERS	036	ORCL	C	200,000	27.09	n/a	n/a	10,000.00	5.0
LONG POND	029	PCL	S	65,000	36.96	n/a	3-May	2,600.00	4.0
CAERUS GLOBAL	041	PENN	S	1,500	43.07	n/a	n/a	60.00	4.0
SUFFOLK CAPITAL MGMT	040	PEP	B	63,300	68.38	n/a	n/a	2,532.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
BUCK CAPITAL MGMT		PNRA	B	10,000	145.13	n/a	26-Apr	non-brg 4.0
BUCK CAPITAL MGMT		PVH	B	10,000	77.22	n/a	25-May	non-brg 4.0
ROSEDALE CAPITAL	046	PWR	B	10,000	22.05	n/a	n/a	500.00 5.0
GALT INVESTMENT	041	RDEN	B	3,657	36.60	n/a	14-May	182.85 5.0
BUCK CAPITAL MGMT		RL	SS	10,000	139.07	n/a	23-May	non-brg 4.0
BUCK CAPITAL MGMT		RL	SS	10,000	139.25	n/a	23-May	non-brg 4.0
NEWLAND CAPITAL MGT	025	R	S	9,500	42.19	n/a	n/a	285.00 3.0
BUCK CAPITAL MGMT		SAND SS	SS	40,000	12.78	n/a	n/a	non-brg 1.9
JONATHAN RICHARD HAR	FID	SBUX	S	180	52.46	n/a	5-Jun	0.00 0.0
CAERUS GLOBAL	041	SFLY	S	2,400	24.19	n/a	n/a	96.00 4.0
BUCK CAPITAL MGMT		SHOO	S	20,000	38.47	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		SKS	SS	50,000	10.04	n/a	n/a	non-brg 4.0
COOPER CREEK PART	028	SONC	B	15,000	8.88	n/a	n/a	600.00 4.0
RIDGECREST INV MGMT LLC	028	SPY	B	30,000	131.48	n/a	n/a	1,200.00 4.0
BUCK CAPITAL MGMT		SSI	B	20,000	17.29	n/a	n/a	non-brg 4.0
TUDOR INVESTORS	028	SWK	SS	2,000	63.26	n/a	n/a	60.00 3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WEINTRAUB CAPITAL MGT.	269	SWK	SS	50,000	63.24	n/a	n/a	2,000.00	4.0
HOTCHKIS & WILEY	035	SYA	S	60,000	11.59	n/a	n/a	3,000.00	5.0
ß BUCK CAPITAL MGMT		TDG	SS	4,000	126.36	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		TFM	C	10,000	52.32	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		TFM	C	40,000	52.32	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		TFM	C	7,193	52.04	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		TFM	C	82,207	52.14	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		TIF	SS	10,000	54.56	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		TIF	SS	10,000	54.77	n/a	n/a	non-brg	4.0
f JONATHAN RICHARD HAR	FID	TIF	B	225	55.50	n/a	n/a	0.00	0.0
NEWLAND CAPITAL MGT	025	TRN	S	15,000	23.95	n/a	n/a	600.00	4.0
ACK ASSET	028	UNP	B	15,000	111.90	n/a	n/a	450.00	3.0
BNP PARIBAS SEC	040	VFC	B	3,700	138.64	n/a	27-Apr	185.00	5.0
BASSWOOD PARTNERS	267	VLV	SS	3,500	10.79	n/a	n/a	140.00	4.0
ROTHSCHILD ASSET	040	VPHM	S	46,182	20.35	n/a	n/a	1,847.28	4.0
f KAREN F LEDDY	FID	VRA	S	600	22.85	n/a	n/a	0.00	0.0
BNP PARIBAS SEC	040	WRC	S	12,500	43.62	n/a	9-May	625.00	5.0
ß BUCK CAPITAL MGMT		WYNN	S	51,600	100.48	n/a	13-Jun	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		YUM	SS	10,000	63.32	n/a	20-Apr	non-brg	4.0
f WILLIAM WEINBERG	FID	ZLC	B	10000	2.44	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								81,854.41	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,CRT	06/11	SIMMONS VENTURES	041	JNY	B	5,000	9.68	n/a 26-Apr	200.00 4.0
AO,CXL	06/11	SIMMONS VENTURES	041	JNY	B	5,000	9.68	n/a 26-Apr	250.00 5.0

TOTAL (AO, CXL, CRT) :	-50.00
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TOTAL (Trade Date) :	81,854.41
TOTAL (AO, CXL, CRT) :	-50.00

TOTAL (RUN DATE) / NFS:	81,804.41
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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 12-Jun.

GIL

MRI Securities without Trade Activity on 12-Jun.

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)