



Daily Compliance Activity Report

Trade Date: 06/13/2012

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		589 HK	B	83,200	1.11	n/a	n/a	non-brg	0.2
B BUCK CAPITAL MGMT		589 HK	B	83,300	1.11	n/a	n/a	non-brg	0.2
f MANNY I KORMAN	FID	AAPL	S	700	572.53	n/a	n/a	0.00	0.0
CHARTER OAK	033	ABG	B	5,000	23.57	n/a	27-Apr	250.00	5.0
f MANNY I KORMAN	FID	ANF	S	10000	30.75	n/a	17-May	0.00	0.0
f MANNY I KORMAN	FID	AVY	S	10000	27.04	n/a	23-May	0.00	0.0
SPARTAN	093	AXL	B	15,000	9.28	n/a	7-Jun	450.00	3.0
WOOSTER CAPITAL	035	AXL	B	50,000	9.24	n/a	7-Jun	2,500.00	5.0
f MANNY I KORMAN	FID	BAC	S	50000	7.47	n/a	5-Jun	0.00	0.0
MAIRS AND POWER INV	030	BAX	B	10,000	50.49	n/a	n/a	500.00	5.0
B BUCK CAPITAL MGMT		BONT	S	20,000	5.11	n/a	n/a	non-brg	1.0
CORNERSTONE	030	BTI	B	40,778	98.40	n/a	n/a	1,223.34	3.0
PLATTE RIVER CAPITAL	240	BUD	S	40,500	70.13	n/a	4-Jun	1,620.00	4.0
f MANNY I KORMAN	FID	BWA	S	10000	64.28	n/a	27-Apr	0.00	0.0
CHART WELL ADV	028	CAKE	S	152,850	30.84	n/a	26-Apr	6,114.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ß BUCK CAPITAL MGMT		CELG	B	10,000	63.89	n/a	n/a	non-brg	4.0
SIMMONS VENTURES	041	CHS	B	5,000	13.72	n/a	5-Feb	200.00	4.0
LONG OAR GLOBAL INV	040	CLD	SS	86,876	14.59	n/a	n/a	3,475.04	4.0
ß BUCK CAPITAL MGMT		CLH	SS	5,000	59.42	n/a	n/a	non-brg	4.0
f MANNY I KORMAN	FID	CMI	S	4000	93.24	13-Jun	13-Jun	0.00	0.0
ß BUCK CAPITAL MGMT		COH	SS	40,000	60.65	n/a	9-May	non-brg	4.0
ß BUCK CAPITAL MGMT		COH	SS	50,000	60.67	n/a	9-May	non-brg	4.0
f MANNY I KORMAN	FID	COH	S	5000	60.09	n/a	9-May	0.00	0.0
f MANNY I KORMAN	FID	C	S	10000	27.60	n/a	8-Jun	0.00	0.0
ß BUCK CAPITAL MGMT		DECK	SS	30,000	49.26	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		DG	B	10,000	50.26	n/a	5-Jun	non-brg	4.0
ß BUCK CAPITAL MGMT		DG	B	10,000	50.40	n/a	5-Jun	non-brg	4.0
ß BUCK CAPITAL MGMT		DKS	S	50,000	45.38	n/a	15-May	non-brg	4.0
ß BUCK CAPITAL MGMT		DKS	S	71,300	45.38	n/a	15-May	non-brg	4.0
T. ROWE PRICE	033	DLTR	B	24,500	106.45	n/a	18-May	980.00	4.0
CATAPULT	040	DPS	B	39,096	43.07	n/a	n/a	1,563.84	4.0
BAIRD INVESTMENT	047	ETN	B	7,115	39.89	n/a	22-May	355.75	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		FDO	B	10,000	69.92	n/a	5-Jun	non-brg	4.0
ß BUCK CAPITAL MGMT		FDO	B	20,000	69.82	n/a	5-Jun	non-brg	4.0
ß BUCK CAPITAL MGMT		FINL	S	30,000	19.03	n/a	31-May	non-brg	4.0
ß BUCK CAPITAL MGMT		FINL	S	50,000	19.03	n/a	31-May	non-brg	4.0
ß BUCK CAPITAL MGMT		FL	S	50,000	29.86	n/a	18-May	non-brg	4.0
ß BUCK CAPITAL MGMT		FL	S	50,000	29.86	n/a	18-May	non-brg	4.0
ß BUCK CAPITAL MGMT		GCO	S	20,000	60.56	n/a	n/a	non-brg	4.0
CAERUS GLOBAL	041	GIL	S	10,000	27.10	n/a	12-Jun	400.00	4.0
SCOPUS FUND	041	GPS	SS	50,000	25.59	n/a	n/a	2,000.00	4.0
ß BUCK CAPITAL MGMT		HLF	S	20,000	45.06	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		HLF	S	50,000	45.04	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		HOT	S	20,000	50.00	n/a	13-Jun	non-brg	4.0
f STEFFANIE CARMELA CA	FID	HOV	B	1500	2.14	n/a	n/a	0.00	0.0
f BARBARA S LEDDY	FID	ICON	S	250	16.35	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	ICON	S	200	16.35	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	JCI	S	5000	27.94	n/a	27-Apr	0.00	0.0
ß BUCK CAPITAL MGMT		JIVE	B	10,000	16.78	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		JWN	S	50,000	48.03	n/a	8-Jun	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CHART WELL ADV	028	KITD	S	15,000	3.74	n/a	n/a	450.00	3.0
f DAVID GEORGE BUCK	FID	KORS	B	1000	40.06	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		KSS	S	30,000	43.71	n/a	1-Jun	non-brg	4.0
ROARING BLUE LION MGMT	031	KSS	S	26,500	43.33	n/a	1-Jun	1,060.00	4.0
WOOSTER CAPITAL	035	LEA	B	10,000	37.70	n/a	4-May	500.00	5.0
CYRUS CAPITAL	025	LPX	SS	70,000	9.38	n/a	7-May	2,100.00	3.0
TOURMALINE PARTNERS LLC	063	LVL	S	17,500	20.77	n/a	n/a	525.00	3.0
B BUCK CAPITAL MGMT		LVS	S	51,900	45.27	n/a	13-Jun	non-brg	4.0
BAIRD INVESTMENT	047	MA	B	690	414.82	n/a	6-Jun	34.50	5.0
EATON VANCE MGMT	029	MET	S	100,000	29.47	n/a	n/a	3,000.00	3.0
BRONSON POINT	036	MGA	SS	25,000	39.05	n/a	n/a	750.00	3.0
f DAVID GEORGE BUCK	FID	MRK	S	4000	38.63	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	MRK	S	600	38.37	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	MRK	S	500	38.63	n/a	n/a	0.00	0.0
KLEINHEINZ CAP PART	031	M	B	75,000	35.77	n/a	1-Jun	3,750.00	5.0
EMPYREAN CAPITAL	084	NAV	B	190,000	27.69	n/a	13-Jun	9,500.00	5.0
B BUCK CAPITAL MGMT		NKE	S	39,200	104.22	n/a	23-Mar	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAPITAL WORLD	084	PEP	B	200,000	68.73	n/a	n/a	7,000.00	3.5
SUFFOLK CAPITAL MGMT	040	PEP	B	25,000	68.51	n/a	n/a	1,000.00	4.0
⌘ BUCK CAPITAL MGMT		PG	SS	20,000	62.44	n/a	29-May	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PG	SS	20,000	62.44	n/a	29-May	non-brg	4.0
⌘ BUCK CAPITAL MGMT		PII	S	30,000	69.16	n/a	n/a	non-brg	4.0
ASCEND PARTNERS	033	PLCE	C	10,000	43.73	n/a	5-Jun	300.00	3.0
EATON VANCE MGMT	029	PRU	S	85,000	47.53	n/a	n/a	2,550.00	3.0
ACK ASSET	028	PVH	SS	15,000	76.84	n/a	25-May	450.00	3.0
BALYASNY ASSET MGMT	044	RL	C	10,100	141.01	n/a	23-May	505.00	5.0
⌘ BUCK CAPITAL MGMT		RL	SS	10,000	140.24	n/a	23-May	non-brg	4.0
LONG OAR GLOBAL INV	040	ROC	S	7,254	46.26	n/a	n/a	290.16	4.0
⌘ BUCK CAPITAL MGMT		SCSS	S	45,000	22.21	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SHOO	S	30,000	38.05	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SKS	SS	100,000	9.95	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SKS	SS	50,000	9.91	n/a	n/a	non-brg	3.0
⌘ BUCK CAPITAL MGMT		SKS	SS	50,000	9.96	n/a	n/a	non-brg	3.0
RIDGECREST INV MGMT LLC	028	SPY	B	10,000	132.35	n/a	n/a	400.00	4.0
HOTCHKIS & WILEY	035	SYA	S	24,200	11.79	n/a	n/a	1,210.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
NEWLAND CAPITAL MGT	025	TEL	S	10,000	32.34	n/a	n/a	400.00	4.0
ß BUCK CAPITAL MGMT		TFM	C	13,000	51.42	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		TFM	C	7,000	51.42	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		TPX	S	76,740	23.78	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		ULTA	B	20,000	93.37	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		URBN	SS	50,000	27.01	n/a	n/a	non-brg	4.0
SCOPUS FUND	041	USG	SS	50,000	15.68	n/a	17-Apr	2,000.00	4.0
ß BUCK CAPITAL MGMT		WRC	SS	50,000	42.75	n/a	9-May	non-brg	4.0
ß BUCK CAPITAL MGMT		WRC	SS	50,000	42.75	n/a	9-May	non-brg	4.0
EATON VANCE MGMT	029	XOM	B	88,636	81.18	n/a	n/a	2,659.08	3.0
TOTAL (Trade Date) :								62,065.71	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/12	IRIDIAN ASSET MGMT.	036	LSI	B	100,010	6.50	n/a	n/a	5000.50 5.0
TOTAL (AO, CXL, CRT) :										-5,000.50

TOTAL (Trade Date):										62,065.71
TOTAL (AO, CXL, CRT):										-5,000.50
TOTAL (RUN DATE) / NFS:										57,065.21

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO	06/12	BUCK CAPITAL MGMT	TFM	C	33,000	50.50	n/a	n/a	1650.00 5.0
AO	06/12	BUCK CAPITAL MGMT	TFM	C	67,000	50.50	n/a	n/a	3350.00 5.0

MRI Securities with Trade Activity on 13-Jun.

CMI

MRI Securities without Trade Activity on 13-Jun.

TEX, PCAR, MTW, ITW, KMT, CAT, SHW, AGCO

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)