



Daily Compliance Activity Report

Trade Date: 06/18/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	035	AA	B	750	8.69	n/a	n/a	75.00	10.0
MILLRACE FUND LP	028	ABG	B	8,000	24.37	n/a	27-Apr	320.00	4.0
B BUCK CAPITAL MGMT		AEO	B	20,000	19.24	n/a	2-Dec	non-brg	4.0
WINSLOW CAPITAL	030	ALTR	B	15,100	33.25	n/a	n/a	453.00	3.0
WINSLOW CAPITAL	030	AMTD	B	21,300	16.88	n/a	n/a	639.00	3.0
WINSLOW CAPITAL	030	AMZN	B	4,200	221.67	n/a	n/a	126.00	3.0
MILLENNIUM-ANDEW	031	ANR	S	47,500	8.37	n/a	n/a	2,850.00	6.0
ROYCE TRADING	031	ARO	S	7,800	16.44	n/a	n/a	390.00	5.0
NORTHWESTERN MUTUAL LIFE	047	ATML	S	469,000	7.05	n/a	n/a	18,760.00	4.0
WAGONHOUND/NICOLAS	033	AXE	S	11,108	52.98	n/a	14-Jun	444.32	4.0
LATEEF MGMT	035	BDNPRE	B	900	25.25	n/a	n/a	90.00	10.0
WINSLOW CAPITAL	030	BIDU	B	4,100	120.71	n/a	n/a	123.00	3.0
WINSLOW CAPITAL	030	BIIB	B	5,500	141.94	n/a	n/a	165.00	3.0
B BUCK CAPITAL MGMT		BONT	S	40,000	5.29	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	035	CBL	S	400	18.63	n/a	n/a	40.00	10.0
LATEEF MGMT	035	CMCSK	S	1,125	30.58	n/a	n/a	123.75	11.5
WINSLOW CAPITAL	030	COST	B	6,400	91.74	n/a	n/a	192.00	3.0
ß BUCK CAPITAL MGMT		CROX	B	30,000	16.02	n/a	n/a	non-brg	4.0
ARSENAL ASSET MANAGEMENT	028	CSL	S	5,000	51.57	n/a	n/a	200.00	4.0
f JONATHAN RICHARD HAR	FID	CVGI	B	180	8.39	n/a	n/a	0.00	0.0
LATEEF MGMT	035	CVS	S	300	45.78	n/a	n/a	42.00	14.0
CAISSE DEPOT PLACEMENT Q	295	DFS	S	32,000	32.82	n/a	15-Jun	1,600.00	5.0
CAISSE DEPOT PLACEMENT Q	295	DLLR	B	50,000	17.00	n/a	n/a	2,500.00	5.0
ß BUCK CAPITAL MGMT		DSW	B	70,000	51.85	n/a	11-Feb	non-brg	4.0
ß BUCK CAPITAL MGMT		DSW	B	90,000	52.12	n/a	11-Feb	non-brg	4.0
ß BUCK CAPITAL MGMT		DSW	B	90,000	52.20	n/a	11-Feb	non-brg	0.8
WINSLOW CAPITAL	030	EBAY	B	12,800	42.17	n/a	n/a	384.00	3.0
WINSLOW CAPITAL	030	ESRX	B	19,500	53.81	n/a	n/a	585.00	3.0
f RAVI SADARANGANI	FID	FB	B	200	31.66	n/a	n/a	0.00	0.0
f RAVI SADARANGANI	FID	FB	B	60	31.66	n/a	n/a	0.00	0.0
Õ Ravi Sadarangani		FB	B	45	31.96	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
Õ	Ravi Sadarangani		FB	B	50	31.89	n/a	n/a	0.00	0.0
	ROYCE TRADING	031	FINL	B	6,000	19.02	n/a	31-May	300.00	5.0
	COUGAR TRADING	044	GIL	S	10,000	27.13	n/a	12-Jun	500.00	5.0
	LATEEF MGMT	035	GLW	B	350	13.00	n/a	1-May	35.00	10.0
	WINSLOW CAPITAL	030	GOOG	B	2,200	569.26	n/a	n/a	66.00	3.0
	PERRY PARTNERS	085	HES	B	94,000	43.80	n/a	n/a	4,700.00	5.0
	LATEEF MGMT	035	HPQ	B	250	21.07	n/a	n/a	30.00	12.0
	LATEEF MGMT	035	HPQ	S	225	21.12	n/a	n/a	29.25	13.0
	ROXBURY CAPITAL MGMT	035	HXL	S	18,600	24.26	n/a	29-May	558.00	3.0
ß	BUCK CAPITAL MGMT		IGT	S	20,000	14.90	n/a	13-Jun	non-brg	4.0
	LATEEF MGMT	035	INTC	S	350	27.49	n/a	n/a	49.00	14.0
	WINSLOW CAPITAL	030	INTU	B	8,500	58.49	n/a	n/a	255.00	3.0
	WINSLOW CAPITAL	030	ISRG	B	900	541.84	n/a	n/a	27.00	3.0
f	DANIEL JORDAN COHEN	FID	JBHT	S	43	60.70	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		JCP	SS	150,000	24.52	n/a	16-May	non-brg	4.0
ß	BUCK CAPITAL MGMT		JCP	SS	50,000	24.29	n/a	16-May	non-brg	4.0
ß	BUCK CAPITAL MGMT		JCP	SS	50,000	24.33	n/a	16-May	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f ALEX JOSEPH DEFILIPP	FID	KEY	S	150	7.40	n/a	n/a	0.00	0.0
f VICTORIA JEAN DEFILI	FID	KEY	S	150	7.40	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	KORS	S	10	1.44	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	KORS	B	13,300	38.48	n/a	n/a	399.00	3.0
LATEEF MGMT	035	KR	S	150	22.79	n/a	n/a	30.00	20.0
B BUCK CAPITAL MGMT		KSS	S	20,000	43.79	n/a	1-Jun	non-brg	4.0
KLEINHEINZ CAP PART	031	KSS	B	25,000	43.97	n/a	1-Jun	1,250.00	5.0
WINSLOW CAPITAL	030	LNKD	B	4,100	104.84	n/a	n/a	123.00	3.0
f DANIEL JORDAN COHEN	FID	MINI	B	100	13.49	n/a	n/a	0.00	0.0
f JOHN FRANCIS MCERLEA	FID	MINI	B	300	13.44	n/a	n/a	0.00	0.0
WEDGE CAPITAL	093	MNRO	S	24,025	33.03	n/a	n/a	961.00	4.0
LATEEF MGMT	035	NKE	S	300	100.61	n/a	23-Mar	51.00	17.0
LATEEF MGMT	035	NYB	S	250	12.27	n/a	18-Apr	32.50	13.0
LATEEF MGMT	035	OI	S	300	18.63	n/a	n/a	42.00	14.0
EDGEWOOD	085	ORCL	B	31,901	27.02	n/a	n/a	1,595.05	5.0
WINSLOW CAPITAL	030	ORLY	B	4,600	100.65	n/a	n/a	138.00	3.0
WINSLOW CAPITAL	030	PCLN	B	2,100	670.64	n/a	n/a	63.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	297	PFS	B	6,348	14.65	n/a	n/a	253.92	4.0
CSFB GLOBAL PROPRIETARY	041	PKG	B	20,000	27.69	n/a	18-Apr	1,000.00	5.0
ROYCE TRADING	031	PLCE	B	1,000	43.77	n/a	5-Jun	50.00	5.0
B BUCK CAPITAL MGMT		PNRA	S	40,000	148.20	n/a	26-Apr	non-brg	4.0
EDGEWOOD	085	QCOM	B	28,603	56.49	n/a	n/a	1,430.15	5.0
WINSLOW CAPITAL	030	QCOM	B	27,300	56.55	n/a	n/a	819.00	3.0
f JILL ROSENBERG	FID	RF	S	250	6.58	n/a	n/a	0.00	0.0
LATEEF MGMT	035	RKT	S	150	54.57	n/a	26-Apr	37.50	25.0
NEWLAND CAPITAL MGT	025	RKT	B	15,000	54.68	n/a	26-Apr	600.00	4.0
B BUCK CAPITAL MGMT		RL	SS	30,000	144.55	n/a	23-May	non-brg	4.0
COHE & STEERS	041	RYN	B	35,827	43.95	n/a	3-May	1,433.08	4.0
f DAVID GEORGE BUCK	FID	SBUX	S	20	0.42	n/a	5-Jun	0.00	0.0
f JONATHAN RICHARD HAR	FID	SBUX	S	185	53.21	n/a	5-Jun	0.00	0.0
WINSLOW CAPITAL	030	SBUX	B	14,500	53.52	n/a	5-Jun	435.00	3.0
DEVENNY CAP LLC/MILLENIU	044	SFD	S	25,394	20.55	n/a	n/a	761.82	3.0
WINSLOW CAPITAL	030	SHPGY	B	5,800	89.98	n/a	18-Jun	174.00	3.0
B BUCK CAPITAL MGMT		SKUL	S	65,000	12.39	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MANNY I KORMAN	FID	SLMAP	B	5000	45.50	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	SLM	B	15000	15.09	n/a	18-Jun	0.00	0.0
f DANIEL JORDAN COHEN	FID	SNCR	B	80	18.51	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	SXCI	S	10	1.30	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		TDG	SS	4,000	127.31	n/a	n/a	non-brg	4.0
LATEEF MGMT	035	TEVA	B	250	38.01	n/a	18-Jun	50.00	20.0
DELTEC ASSET MGMT.	040	TEX	B	10,000	18.20	n/a	13-Jun	500.00	5.0
f JONATHAN RICHARD HAR	FID	TIF	B	50	53.14	n/a	n/a	0.00	0.0
ARSENAL ASSET MANAGEMENT	028	TJX	S	20,000	42.56	n/a	1-Jun	800.00	4.0
EDGEWOOD	085	TROW	B	27,389	60.48	n/a	n/a	1,369.45	5.0
LATEEF MGMT	035	TRV	S	100	63.17	n/a	n/a	30.00	30.0
B BUCK CAPITAL MGMT		ULTA	B	10,000	97.06	n/a	n/a	non-brg	4.0
WINSLOW CAPITAL	030	ULTA	B	4,700	95.79	n/a	n/a	141.00	3.0
BALLAST CAP	040	VIAB	S	20,000	47.64	n/a	n/a	1,000.00	5.0
EDGEWOOD	085	VIAB	B	20,131	47.35	n/a	n/a	1,006.55	5.0
WINSLOW CAPITAL	030	VRSN	B	12,300	43.57	n/a	n/a	369.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JONATHAN RICHARD HAR	FID	WNC	B	300	6.30	n/a	n/a	0.00	0.0
f STEFFANIE CARMELA CA	FID	WNC	B	350	6.45	n/a	n/a	0.00	0.0
TUDOR INVESTORS	028	ZUMZ	SS	37,500	39.44	n/a	n/a	1,125.00	3.0
TOTAL (Trade Date) :								54,721.34	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/15	HOPLITE MGMT	025	VALE	B	11,949	19.09	n/a	n/a	477.96 4.0
AO,	06/15	HOPLITE MGMT	025	VALE	C	11,949	19.09	n/a	n/a	477.96 4.0
AO,CXL	06/15	EATON VANCE MGMT	029	XOM	B	500,000	82.34	n/a	n/a	7500.11 1.5
AO,CRT	06/15	EATON VANCE MGMT	029	XOM	B	3,593	82.34	n/a	n/a	107.79 3.0
AO,CRT	06/15	EATON VANCE MGMT	029	XOM	B	496,407	82.34	n/a	n/a	14892.21 3.0

TOTAL (AO, CXL, CRT) :**7,499.89**

TOTAL (Trade Date) :**54,721.34****TOTAL (AO, CXL, CRT) :****7,499.89**

TOTAL (RUN DATE) / NFS:**62,221.23**

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CXL	06/15	BUCK CAPITAL MGMT.	JPCMSBCM	C	39,547	106.01	n/a	n/a	83.85	
CRT	06/15	BUCK CAPITAL MGMT	JPCMSBCM	C	39,547	106.01	n/a	n/a	838.47	2.1
CXL	06/15	BUCK CAPITAL MGMT.	JPCMSBCM	C	51,030	106.01	n/a	n/a	108.19	
CRT	06/15	BUCK CAPITAL MGMT	JPCMSBCM	C	51,030	106.01	n/a	n/a	1081.93	2.1

MRI Securities with Trade Activity on 18-Jun.

NONE

MRI Securities without Trade Activity on 18-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)