



# Daily Compliance Activity Report

Trade Date: 07/10/2012

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	619.58	n/a	n/a	6.00	3.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>ADM</b>	<b>S</b>	<b>10000</b>	<b>27.53</b>	<b>n/a</b>	<b>20-Jun</b>	<b>0.00</b>	<b>0.0</b>
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>ARR</b>	<b>B</b>	<b>20000</b>	<b>7.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LATEEF MGMT	035	ATI	B	500	31.33	n/a	10-Jul	85.00	17.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>AXP</b>	<b>S</b>	<b>10000</b>	<b>58.20</b>	<b>n/a</b>	<b>10-Jul</b>	<b>0.00</b>	<b>0.0</b>
<b>f CICILY S BACKUS</b>	<b>FID</b>	<b>BCSPRA</b>	<b>B</b>	<b>5000</b>	<b>24.65</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f LBP ENTERPRI SES INC</b>	<b>FID</b>	<b>BCSPRA</b>	<b>B</b>	<b>3000</b>	<b>24.67</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f SNEJANA P GARFUNKEL</b>	<b>FID</b>	<b>BCSPRA</b>	<b>B</b>	<b>2000</b>	<b>24.67</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
OHIO PERS	047	BRE	B	18,000	51.08	n/a	n/a	540.00	3.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>CAT</b>	<b>B</b>	<b>1010</b>	<b>43.10</b>	<b>n/a</b>	<b>13-Jun</b>	<b>0.00</b>	<b>0.0</b>
LATEEF MGMT	035	CBL	S	300	19.99	n/a	n/a	30.00	10.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>CLX</b>	<b>B</b>	<b>300</b>	<b>72.40</b>	<b>n/a</b>	<b>23-May</b>	<b>0.00</b>	<b>0.0</b>
LATEEF MGMT	035	CMCSK	S	325	30.71	n/a	n/a	39.00	12.0
<b>B BUCK CAPITAL MGMT</b>		<b>CMG</b>	<b>B</b>	<b>3,000</b>	<b>384.80</b>	<b>n/a</b>	<b>20-Apr</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CMG</b>	<b>S</b>	<b>20,000</b>	<b>379.41</b>	<b>n/a</b>	<b>20-Apr</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>CMG</b>	<b>S</b>	<b>3,000</b>	<b>379.41</b>	<b>n/a</b>	<b>20-Apr</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SIMMONS VENTURES	041	CROX	B	5,000	14.74	n/a	n/a	200.00	4.0
f LBP ENTERPRISES INC	FID	CVC	S	3000	13.07	n/a	n/a	0.00	0.0
f SNEJANA P GARFUNKEL	FID	CVC	S	1000	13.07	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	CWTR	B	5000	0.64	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		DDS	C	20,000	65.98	n/a	n/a	non-brg	4.0
f MANNY I KORMAN	FID	DD	S	10000	47.56	n/a	10-Jul	0.00	0.0
WEINTRAUB CAPITAL MGT.	084	DD	B	50,000	48.63	n/a	10-Jul	2,000.00	4.0
B BUCK CAPITAL MGMT		DG	B	1,943	55.30	n/a	27-Jun	non-brg	1.0
B BUCK CAPITAL MGMT		DG	B	10,000	55.72	n/a	27-Jun	non-brg	4.0
B BUCK CAPITAL MGMT		DG	B	48,057	55.73	n/a	27-Jun	non-brg	4.0
LATEEF MGMT	035	DOW	B	1,000	30.74	n/a	4-Jun	100.00	10.0
B BUCK CAPITAL MGMT		DSW	S	40,000	55.38	n/a	11-Feb	non-brg	4.0
OHIO PERS	047	EMR	S	20,000	45.04	n/a	n/a	600.00	3.0
f MANNY I KORMAN	FID	FAZ	B	20000	23.77	n/a	n/a	0.00	0.0
BALLAST CAP	040	FCX	S	8,800	33.40	n/a	n/a	440.00	5.0
B BUCK CAPITAL MGMT		FDO	B	10,000	69.97	n/a	29-Jun	non-brg	4.0
B BUCK CAPITAL MGMT		FDO	B	20,000	70.49	n/a	29-Jun	non-brg	4.0
f SARA J SCHWARZWALDER	FID	FFIDX	B	146	34.26	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f SARA J SCHWARZWALDER	FID	FSEMX	B	264	37.93	n/a	n/a	0.00	0.0
f SARA J SCHWARZWALDER	FID	FUSVX	B	273	47.54	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		GIL	S	10,000	28.20	n/a	12-Jun	non-brg	4.0
f DAVID GEORGE BUCK	FID	GM	S	2000	19.87	n/a	5-Jul	0.00	0.0
ß BUCK CAPITAL MGMT		HLF	S	37,550	48.97	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	HNT	B	300	25.96	n/a	n/a	0.00	0.0
LATEEF MGMT	035	HPQ	B	250	19.18	n/a	n/a	37.50	15.0
ß BUCK CAPITAL MGMT		IR	B	12,500	40.42	n/a	20-Jun	non-brg	4.0
GUGGENHEIM GLOBAL TRADING	(GGT) 251	IR	B	2,500	40.47	n/a	20-Jun	75.00	3.0
ASCEND PARTNERS	033	JWN	S	28,015	51.91	n/a	6-Jul	1,400.75	5.0
ß BUCK CAPITAL MGMT		JWN	B	10,000	51.85	n/a	6-Jul	non-brg	4.0
ß BUCK CAPITAL MGMT		JWN	B	20,000	52.07	n/a	6-Jul	non-brg	4.0
ß BUCK CAPITAL MGMT		KORS	B	10,000	43.05	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		KORS	B	30,000	42.93	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	LEA	S	2000	36.91	n/a	4-May	0.00	0.0
TROUBH PART	070	LOW	S	25,000	27.35	n/a	22-May	1,250.00	5.0
ß BUCK CAPITAL MGMT		MCD	SS	10,000	90.37	n/a	8-Jun	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEEF MGMT	035	MRK	S	150	41.55	n/a	n/a	30.00	20.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>MRK</b>	<b>S</b>	<b>7000</b>	<b>41.34</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>MS</b>	<b>S</b>	<b>15000</b>	<b>13.62</b>	<b>n/a</b>	<b>2-Jul</b>	<b>0.00</b>	<b>0.0</b>
ARSENAL ASSET MANAGEMENT	028	MWV	B	40,000	28.21	n/a	2-Jul	1,600.00	4.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	35,000	28.12	n/a	2-Jul	1,750.00	5.0
MERRILL ASSET/BLACKROCK	297	OHI	B	51,100	23.39	n/a	n/a	2,044.00	4.0
STRONG/MARK GRONET	030	PATK	S	24,620	15.12	n/a	n/a	984.80	4.0
MADISON ST PARTNERS LLC	046	PCAR	SS	15,000	35.91	n/a	13-Jun	750.00	5.0
KAYNE ANDERSON ADV	084	PETM	B	19,387	67.87	n/a	n/a	775.48	4.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>PFE</b>	<b>S</b>	<b>3000</b>	<b>22.46</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PNRA</b>	<b>SS</b>	<b>10,000</b>	<b>145.12</b>	<b>n/a</b>	<b>26-Apr</b>	<b>non-brg</b>	<b>4.0</b>
SCOPUS FUND	041	RDEN	SS	21,500	39.65	n/a	14-May	860.00	4.0
CSFB GLOBAL PROPRIETARY	041	RKT	SS	23,513	53.63	n/a	2-Jul	1,175.65	5.0
CSFB GLOBAL PROPRIETARY	041	RKT	S	1,487	53.73	n/a	2-Jul	74.35	5.0
LEVIN CAPITAL STRATEGIES	041	RL	B	10,100	145.38	n/a	23-May	303.00	3.0
WAGONHOUND/NICOLAS	033	ROST	B	3,049	66.95	10-Jul	10-Jul	121.96	4.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>R</b>	<b>B</b>	<b>7000</b>	<b>34.09</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OHIO PERS	047	SE	S	75,000	29.08	n/a	n/a	2,250.00	3.0
⌘ BUCK CAPITAL MGMT		SHOO	B	30,000	34.22	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SHOO	B	50,000	34.22	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SIG	S	20,000	43.98	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SIG	S	20,000	44.21	n/a	n/a	non-brg	4.0
f MANNY I KORMAN	FID	SIJ	B	10000	36.13	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	SIMO	S	1415	12.91	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		SKUL	S	10,000	14.92	n/a	n/a	non-brg	2.5
LATEEF MGMT	035	SPLS	B	1,200	13.00	n/a	n/a	120.00	10.0
f DAVID GEORGE BUCK	FID	SPY	S	300	135.10	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		SSI	S	20,000	18.57	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SUMR	S	1,500	3.15	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		SUMR	S	1,500	3.15	n/a	n/a	non-brg	2.0
LATEEF MGMT	035	SWY	B	350	17.62	n/a	n/a	70.00	20.0
LATEEF MGMT	035	TEVA	B	375	39.26	n/a	9-Jul	75.00	20.0
⌘ BUCK CAPITAL MGMT		TEX	B	30,000	16.42	n/a	13-Jun	non-brg	4.0
⌘ BUCK CAPITAL MGMT		TIF	SS	20,000	52.81	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	035	TRV	S	125	63.42	n/a	n/a	31.25	25.0
FORTRESS INVESTMENT (US)	036	URI	B	45,000	35.91	n/a	17-Apr	1,800.00	4.0
WEINTRAUB CAPITAL MGT.	084	VC	S	565	34.82	n/a	n/a	22.60	4.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>WAG</b>	<b>B</b>	<b>200</b>	<b>29.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
GUGGENHEIM GLOBAL TRADING (GGT)	251	WLP	B	10,000	61.18		n/a	n/a	400.00 4.0
<b>B BUCK CAPITAL MGMT</b>		<b>WNC</b>	<b>B</b>	<b>85,000</b>	<b>5.90</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>WNC</b>	<b>B</b>	<b>200</b>	<b>6.16</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>WRC</b>	<b>B</b>	<b>20,000</b>	<b>42.85</b>	<b>n/a</b>	<b>9-May</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>WRC</b>	<b>C</b>	<b>18,750</b>	<b>43.00</b>	<b>n/a</b>	<b>9-May</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>WRC</b>	<b>C</b>	<b>48,750</b>	<b>42.94</b>	<b>n/a</b>	<b>9-May</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>WSM</b>	<b>SS</b>	<b>10,000</b>	<b>35.03</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
BNP PARIBAS SEC	040	WY	S	20,000	22.15	n/a	4-May	1,000.00	5.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>		<b>B</b>	<b>100000</b>	<b>100.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>TOTAL (Trade Date) :</b>								<b>23,041.34</b>	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									23,041.34
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									23,041.34
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CXL	07/06	BUCK CAPITAL MGMT.	WTW	SS	30,000	48.45	n/a	n/a	0.00
CRT	07/06	BUCK CAPITAL MGMT	WTW	SS	30,000	48.45	n/a	n/a	300.00 1.0

MRI Securities with Trade Activity on 10-Jul.

ROST

MRI Securities without Trade Activity on 10-Jul.

TJX

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)**