



Daily Compliance Activity Report

Trade Date: 07/09/2012

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	115	608.48	n/a	n/a	3.45	3.0
DEVENNY CAP LLC/MILLENIU	044	ADM	B	8,209	27.46	n/a	20-Jun	246.27	3.0
f IAN L MILLER	FID	AGNC	S	40	34.74	n/a	n/a	0.00	0.0
WEINTRAUB CAPITAL MGT.	084	AMGN	B	75,000	74.69	n/a	n/a	3,000.00	4.0
f DAVID GEORGE BUCK	FID	ANF	S	1000	32.64	n/a	17-May	0.00	0.0
f CINDY AMATURO	FID	ARR	B	1000	7.48	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	ARR	B	20000	7.47	n/a	n/a	0.00	0.0
f CICILY S BACKUS	FID	AXP	S	1000	58.18	n/a	6-Jul	0.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	BA	B	6,000	74.06	n/a	3-Jul	240.00	4.0
f MANNY I KORMAN	FID	BCSPRA	B	10000	24.68	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	BTN	S	5710	5.82	n/a	n/a	0.00	0.0
SPARTAN	093	BWA	SS	7,000	64.23	n/a	27-Apr	210.00	3.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	CAT	SS	1,000	83.15	n/a	13-Jun	40.00	4.0
SANDLER CAPITAL	028	CCI	B	100,000	59.63	n/a	n/a	5,000.00	5.0
B BUCK CAPITAL MGMT		CMG	B	2,216	383.98	n/a	20-Apr	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BRONSON POINT	036	COH	C	10,000	57.96	n/a	9-May	300.00	3.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	CSX	B	2,300	22.38		n/a	n/a	69.00 3.0
f MATTHEW FRANCIS BUCK	FID	CVS	B	200	47.21	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	297	DFT	B	42,758	28.47	n/a	n/a	1,710.32	4.0
CAPITAL GROWTH MGMT.	241	DG	B	50,000	54.76	n/a	27-Jun	2,500.00	5.0
CAPITAL GROWTH MGMT.	241	DISCA	S	40,000	51.96	n/a	n/a	2,000.00	5.0
f DAVID GEORGE BUCK	FID	DIS	S	2000	47.96	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	DIS	S	500	47.94	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	DLR	S	40,000	77.01	n/a	n/a	2,000.00	5.0
PIIONEER OAKRIDGE	031	DLTR	B	1,050	53.59	n/a	3-Jul	31.50	3.0
B BUCK CAPITAL MGMT		DSW	S	20,000	54.75	n/a	11-Feb	non-brg	4.0
B BUCK CAPITAL MGMT		DSW	S	274	55.71	n/a	11-Feb	non-brg	4.0
f JOSEPH CIRO AMATURO	FID	EXEL	B	10000	5.88	n/a	n/a	0.00	0.0
f STEFFANIE CARMELA CA	FID	EXEL	B	450	5.92	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	FCNTX	B	401	74.79	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	297	FRT	B	7,600	106.19	n/a	n/a	304.00	4.0
DSM CAPITAL PARTNERS	085	FX	S	35,880	21.92	n/a	n/a	1,794.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BRONSON POINT	036	GES	C	25,000	28.62	n/a	23-May	750.00	3.0
GUGGENHEIM GLOBAL TRADING	(GGT)251	GE	B	30,000	20.02		n/a n/a	900.00	3.0
B BUCK CAPITAL MGMT		GIL	S	20,000	27.60	n/a	12-Jun	non-brg	4.0
f STEFFANIE CARMELA CA	FID	GLUU	B	500	5.37	n/a	n/a	0.00	0.0
GUGGENHEIM GLOBAL TRADING	(GGT)251	GM	B	25,000	20.21		n/a 5-Jul	750.00	3.0
WEINTRAUB CAPITAL MGT.	084	GPS	B	50,000	27.96	n/a	n/a	2,000.00	4.0
CATAPULT/KGLT	040	HES	SS	25,000	43.02	n/a	n/a	1,000.00	4.0
BRONSON POINT	036	INGR	B	25,000	47.06	n/a	n/a	750.00	3.0
GUGGENHEIM GLOBAL TRADING	(GGT)251	IR	B	15,000	42.55		n/a 20-Jun	600.00	4.0
GUGGENHEIM GLOBAL TRADING	(GGT)251	JBHT	B	5,000	59.69		n/a n/a	200.00	4.0
B BUCK CAPITAL MGMT		KORS	B	10,000	42.79	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		KORS	B	20,000	42.61	n/a	n/a	non-brg	4.0
WOOSTER CAPITAL	035	LEA	B	25,000	36.77	n/a	4-May	1,250.00	5.0
THIRD COAST CAPITAL	035	LOW	SS	10,000	27.34	n/a	22-May	500.00	5.0
CONIFER	025	MAS	B	9,000	14.04	n/a	n/a	360.00	4.0
f DAVID GEORGE BUCK	FID	MET	B	2000	30.19	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
f	MARK ADAM WEINTRAUB	FID	NM	S	800	3.38	n/a	n/a	0.00	0.0	
	GUGGENHEIM GLOBAL TRADING	(GGT)251	NOV	B	5,500	66.86		n/a	n/a	220.00	4.0
	GUGGENHEIM GLOBAL TRADING	(GGT)251	NSC	B	1,000	71.99		n/a	n/a	40.00	4.0
	CRAMER ROSENTHAL	070	OII	B	54,250	49.52	n/a	n/a	2,170.00	4.0	
	PRIMECAP MGMT	084	OII	S	17,785	49.90	n/a	n/a	711.40	4.0	
	STRONG/MARK GRONET	030	PATK	S	50,000	14.64	n/a	n/a	2,000.00	4.0	
	GUGGENHEIM GLOBAL TRADING	(GGT)251	POT	B	10,000	44.88		n/a	n/a	400.00	4.0
B	BUCK CAPITAL MGMT		PSMT	S	17,400	63.04	n/a	n/a	non-brg	2.5	
B	BUCK CAPITAL MGMT		PSMT	S	50,000	62.76	n/a	n/a	non-brg	2.5	
B	BUCK CAPITAL MGMT		PVH	B	10,000	77.99	n/a	25-May	non-brg	4.0	
	THOMAS WEISEL ASSET MGMT/TIMBERLINE	ASSE035	QTM	B	10,589	2.09		n/a	n/a	211.78	2.0
	PIONEER OAKRIDGE	031	RAX	S	19,855	44.13	n/a	n/a	595.65	3.0	
B	BUCK CAPITAL MGMT		RL	C	10,000	143.00	n/a	23-May	non-brg	4.0	
B	BUCK CAPITAL MGMT		RL	C	30,000	142.41	n/a	23-May	non-brg	4.0	
B	BUCK CAPITAL MGMT		SCSS	B	20,000	22.09	n/a	n/a	non-brg	4.0	
B	BUCK CAPITAL MGMT		SHOO	B	20,000	33.71	n/a	n/a	non-brg	4.0	
B	BUCK CAPITAL MGMT		SHOO	B	20,000	33.82	n/a	n/a	non-brg	4.0	

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		SIG	S	30,000	43.98	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		SKUL	S	10,000	15.14	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		SSI	S	20,000	18.61	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		SUMR	S	2,500	3.22	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		SUMR	S	2,500	3.22	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		SUMR	S	4,300	3.17	n/a	n/a	non-brg	0.8
BUCK CAPITAL MGMT		SUMR	S	4,400	3.17	n/a	n/a	non-brg	0.8
CAPITAL GROWTH MGMT.	241	TCO	B	20,000	78.91	n/a	n/a	1,000.00	5.0
JOHN MICHAEL ZOLIDIS	FID	TEA	S	500	12.92	n/a	n/a	0.00	0.0
SCOPUS FUND	041	TGT	B	49,600	58.01	n/a	5-Jul	1,984.00	4.0
BUCK CAPITAL MGMT		TIF	SS	20,000	52.17	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		TIF	SS	40,000	52.38	n/a	n/a	non-brg	4.0
JONATHAN RICHARD HAR	FID	TIF	B	90	52.61	n/a	n/a	0.00	0.0
PATRICK TERRICE DUFF	FID	TISDZ	S	1000	1.19	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	TKR	S	40,000	43.89	n/a	n/a	2,000.00	5.0
BUCK CAPITAL MGMT		ULTA	B	10,000	93.08	n/a	n/a	non-brg	4.0
CICILY S BACKUS	FID	V	S	1000	123.26	n/a	30-May	0.00	0.0
LBP ENTERPRISES INC	FID	V	S	500	123.21	n/a	30-May	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f DAVID GEORGE BUCK	FID	WAG	B	1000	29.36	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	WAG	B	300	29.42	n/a	n/a	0.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT) 251	WHR		B	10,000	62.00		n/a	n/a	400.00 4.0
ß BUCK CAPITAL MGMT		WRC	C	30,000	42.54	n/a	9-May	non-brg	4.0
ß BUCK CAPITAL MGMT		WSM	SS	20,000	35.17	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		WTW	SS	20,000	47.25	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		WTW	SS	50,000	47.49	n/a	n/a	non-brg	4.0
WEINTRAUB CAPITAL MGT.	084	YUM	SS	25,000	63.34	n/a	20-Apr	1,000.00	4.0
TOTAL (Trade Date) :								41,241.37	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
AO,	07/06	ROYCE TRADING	031	AEO	S	47,300	20.49	n/a 2-Dec	2365.00 5.0
TOTAL (AO, CXL, CRT) :									2,365.00

TOTAL (Trade Date):	41,241.37
TOTAL (AO, CXL, CRT):	2,365.00
TOTAL (RUN DATE) / NFS:	43,606.37

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 9-Jul.
NONE

MRI Securities without Trade Activity on 9-Jul.
COG, WMT

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)