



Daily Compliance Activity Report

Trade Date: 07/12/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
GUGGENHEIM GLOBAL TRADING	(GGT)251	ACC		S	5,000	45.10	n/a	n/a	200.00	4.0
BNP PARIBAS SEC	040	ADM	S	30,000	27.30	n/a	20-Jun	1,500.00	5.0	
B	BUCK CAPITAL MGMT	AEO	B	20,000	19.94	n/a	2-Dec	non-brg	4.0	
BRONSON POINT	036	AGCO	C	25,000	42.72	n/a	11-Jul	750.00	3.0	
TRELLUS PARTNERS LP	028	ALV	B	10,000	52.88	n/a	20-Jun	300.00	3.0	
MACELLUM CAPITAL	086	ANN	B	21,310	25.07	n/a	n/a	639.30	3.0	
LISTED ERR	099	ANN	SS	10,010	25.03	n/a	n/a	0.00	0.0	
ARSENAL ASSET MANAGEMENT	028	ASH	B	9,750	67.38	n/a	24-Apr	390.00	4.0	
B	BUCK CAPITAL MGMT	ASNA	S	70,000	18.17	n/a	n/a	non-brg	4.0	
B	BUCK CAPITAL MGMT	AXL	B	55,000	9.64	n/a	7-Jun	non-brg	3.0	
RIDGECREST INV MGMT LLC	028	AXL	S	25,000	9.61	n/a	7-Jun	1,000.00	4.0	
B	BUCK CAPITAL MGMT	BC IM	S	15,955	13.41	n/a	n/a	non-brg	2.0	
B	BUCK CAPITAL MGMT	BC IM	S	21,012	13.41	n/a	n/a	non-brg	2.0	
B	BUCK CAPITAL MGMT	BC IM	S	3,807	13.41	n/a	n/a	non-brg	2.0	
GALT INVESTMENT	041	CMRG	B	13,385	3.70	n/a	n/a	669.25	5.0	
B	BUCK CAPITAL MGMT	CNC	B	10,000	34.10	n/a	n/a	non-brg	4.0	

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MARK DEVEREAUX KAICH	FID	CRMBW	S	3595	0.09	n/a	n/a	0.00	0.0
SCOPUS FUND	041	CROX	B	19,800	14.70	n/a	n/a	792.00	4.0
ARSENAL ASSET MANAGEMENT	028	CSL	B	35,000	53.07	n/a	n/a	1,400.00	4.0
WEINTRAUB CAPITAL MGT.	084	CVS	B	50,000	47.36	n/a	n/a	2,000.00	4.0
CAVOLEPH	085	DELL	B	200	12.00	n/a	n/a	8.00	4.0
T. ROWE PRICE	033	DG	S	26,100	54.45	n/a	27-Jun	1,044.00	4.0
CYPRESS CAP MGMT LLC	040	DRI	B	23,252	50.13	n/a	25-Jun	930.08	4.0
HOPLITE MGMT	025	FB	B	30,000	30.92	n/a	n/a	1,200.00	4.0
f SERGEI BARANOVSKY	FID	FB	B	14	0.30	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	FCH	S	1500	4.80	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FDO	S	30,000	67.64	n/a	12-Jul	non-brg	4.0
RBC CAPITAL MARKETS	040	FDO	B	5,000	67.50	n/a	12-Jul	200.00	4.0
BASIX	033	FL	B	23,000	32.27	n/a	18-May	690.00	3.0
LEVIN CAPITAL STRATEGIES	041	F	SS	10,000	9.20	n/a	5-Jul	300.00	3.0
PHILADELPHIA FINANCIAL	033	F	SS	136,670	9.14	n/a	5-Jul	5,466.80	4.0
B BUCK CAPITAL MGMT		GIL	S	10,000	28.05	n/a	12-Jun	non-brg	4.0
LANE GATE PARTNERS LLC	030	GM	SS	8,000	19.42	n/a	5-Jul	240.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVIN CAPITAL STRATEGIES	041	GM	SS	10,000	19.33	n/a	5-Jul	300.00	3.0
OZ MGMT	040	GM	SS	75,000	19.43	n/a	5-Jul	2,250.00	3.0
NEUBERGER BERMAN	036	GRC	B	2,265	30.11	n/a	n/a	90.60	4.0
f JOHN MICHAEL ZOLIDIS	FID	GS	S	100	93.75	n/a	2-Jul	0.00	0.0
CATAPULT/KGLT	040	HFC	S	25,000	35.55	n/a	n/a	1,000.00	4.0
BRONSON POINT	036	HNZ	C	25,000	54.90	n/a	n/a	750.00	3.0
CRAMER ROSENTHAL	070	HOG	C	6,975	43.90	n/a	n/a	279.00	4.0
B BUCK CAPITAL MGMT		HOT	S	47,584	49.17	n/a	13-Jun	non-brg	4.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	IP		SS	5,000	29.23	n/a	2-Jul	150.00 3.0
B BUCK CAPITAL MGMT		IWM	SS	50,000	78.21	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		IWM	SS	70,000	77.93	n/a	n/a	non-brg	2.0
BALYASNY ASSET MGMT	044	JAZZ	B	5,000	44.35	n/a	n/a	250.00	5.0
B BUCK CAPITAL MGMT		JNY	B	40,000	9.65	n/a	26-Apr	non-brg	3.0
SIMMONS VENTURES	041	JNY	SS	5,000	9.82	n/a	26-Apr	200.00	4.0
BRONSON POINT	036	JPM	B	100,000	34.21	n/a	2-Jul	3,000.00	3.0
B BUCK CAPITAL MGMT		JWN	B	10,000	49.69	n/a	6-Jul	non-brg	4.0
PALESTRA	040	KEY	B	50,000	7.54	n/a	n/a	1,500.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		KORS	B	10,000	39.04	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		KORS	B	10,000	39.18	n/a	n/a	non-brg	4.0
MACELLUM CAPITAL	086	KSS	B	11,300	47.11	n/a	6-Jul	339.00	3.0
LISTED ERR	099	KSS	B	10,010	47.11	n/a	6-Jul	0.00	0.0
LONG OAR GLOBAL INV	040	LCC	B	44,333	14.03	n/a	n/a	1,773.32	4.0
f ALEXANDRA ELISE ZOLI	FID	LVMUY	S	200	27.95	n/a	n/a	0.00	0.0
SENATOR INVESTMENT GROUP	036	MAR	B	50,000	36.18	n/a	13-Jun	1,500.00	3.0
ß BUCK CAPITAL MGMT		MCD	C	146,822	91.94	n/a	8-Jun	non-brg	4.0
ß BUCK CAPITAL MGMT		MCD	C	166,578	91.99	n/a	8-Jun	non-brg	4.0
f DAVID GEORGE BUCK	FID	MCD	S	1500	90.10	n/a	8-Jun	0.00	0.0
ß BUCK CAPITAL MGMT		MGM	C	150,000	9.87	n/a	13-Jun	non-brg	3.0
ß BUCK CAPITAL MGMT		MGM	C	150,000	9.87	n/a	13-Jun	non-brg	3.0
WEINTRAUB CAPITAL MGT.	084	MHR	SS	150,000	3.72	n/a	n/a	6,000.00	4.0
LATEEF MGMT	035	MRK	S	2,025	42.99	n/a	n/a	307.50	16.6
OHIO PERS	047	MTW	S	51,630	10.37	n/a	11-Jul	1,548.90	3.0
SIMMONS VENTURES	041	M	B	6,500	32.60	n/a	6-Jul	260.00	4.0
WOOSTER CAPITAL	035	M	B	50,000	32.60	n/a	6-Jul	2,500.00	5.0
FIRST NEW YORK LEDDY	035	NOK	S	20,000	1.91	n/a	n/a	800.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f DAVID GEORGE BUCK	FID	PG	B	1000	63.76	n/a	20-Jun	0.00	0.0
f DAVID GEORGE BUCK	FID	PG	B	200	63.78	n/a	20-Jun	0.00	0.0
f DAVID GEORGE BUCK	FID	PG	S	5	0.43	n/a	20-Jun	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	PG	B	200	63.80	n/a	20-Jun	0.00	0.0
STRONG/MARK GRONET	030	PPO	B	20,000	36.69	n/a	n/a	800.00	4.0
ß BUCK CAPITAL MGMT		PVH	B	10,000	73.65	n/a	25-May	non-brg	4.0
COOPER CREEK PART	028	RKT	SS	13,235	55.84	n/a	2-Jul	529.40	4.0
ß BUCK CAPITAL MGMT		RL	C	10,000	135.31	n/a	23-May	non-brg	4.0
ß BUCK CAPITAL MGMT		RL	C	10,000	136.15	n/a	23-May	non-brg	4.0
LIONEYE CAPITAL	040	SHAW	B	10,000	25.84	n/a	n/a	500.00	5.0
ß BUCK CAPITAL MGMT		SHOO	B	10,000	33.26	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SIG	S	10,000	41.43	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SIG	S	30,000	41.48	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SKS	SS	20,000	10.61	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SKUL	S	10,000	13.80	n/a	n/a	non-brg	4.0
BALYASNY ASSET MGMT	044	SNY	B	10,000	36.76	n/a	n/a	500.00	5.0
CAVOLEPH	085	SON	B	1,000	29.40	n/a	n/a	40.00	4.0
ß BUCK CAPITAL MGMT		SPY	SS	30,000	133.07	n/a	n/a	non-brg	2.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		SPY	SS	50,000	132.81	n/a	n/a	non-brg	2.0
f DAVID GEORGE BUCK	FID	SPY	S	10	0.44	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		SSI	S	5,400	17.78	n/a	n/a	non-brg	4.0
BRIGADE CAPITAL MGMT	029	SVU	B	250,000	2.96	n/a	n/a	7,500.00	3.0
⚡ BUCK CAPITAL MGMT		TEVA	B	10,000	39.80	n/a	12-Jul	non-brg	4.0
⚡ BUCK CAPITAL MGMT		TIF	SS	20,000	50.88	n/a	n/a	non-brg	4.0
f JOHN MICHAEL ZOLIDIS	FID	TJX	B	100	43.78	n/a	10-Jul	0.00	0.0
⚡ BUCK CAPITAL MGMT		TSCO	B	20,000	81.99	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		TSCO	B	20,000	82.09	n/a	n/a	non-brg	4.0
RBC CAPITAL MARKETS	040	TSN	SS	25,000	16.36	n/a	n/a	1,000.00	4.0
OHIO PERS	047	TXT	B	21,500	22.71	n/a	n/a	645.00	3.0
RBC CAPITAL MARKETS	040	UA	B	5,000	45.12	12-Jul	12-Jul	200.00	4.0
⚡ BUCK CAPITAL MGMT		ULTA	B	10,000	88.96	n/a	n/a	non-brg	4.0
FRONTIER	029	WCC	B	21,220	56.30	n/a	n/a	848.80	4.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	WLP	B	3,500	60.98		n/a	n/a	105.00 3.0
⚡ BUCK CAPITAL MGMT		WRC	B	10,000	40.56	n/a	9-May	non-brg	4.0
⚡ BUCK CAPITAL MGMT		WRC	B	10,000	40.56	n/a	9-May	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	JOHN MICHAEL ZOLIDIS	FID	WYNN	S	70	96.95	n/a	13-Jun	0.00	0.0
f	JOHN MICHAEL ZOLIDIS	FID	YXI	B	150	46.06	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		ZUMZ	B	10,000	35.07	n/a	n/a	non-brg	4.0
TOTAL (Trade Date):									57,185.95	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/11	GUGGENHEIM GLOBAL TRADING (GGT)	251	ACC	B	5,000	44.24	n/a	n/a	150.00 3.0
AO,CRT	07/11	GUGGENHEIM GLOBAL TRADING (GGT)	251	ACC	B	5,000	44.24	n/a	n/a	200.00 4.0
AO,CRT	07/09	DSM CAPITAL PARTNERS	085	FX	S	9,860	21.92	n/a	n/a	493.00 5.0
AO,CXL	07/09	DSM CAPITAL PARTNERS	085	FX	S	9,860	21.92	n/a	n/a	493.00 5.0
AO,CXL	07/11	ROXBURY CAPITAL MGMT	035	HXL	S	130	25.20	n/a	19-Jun	3.90 3.0
AO,CRT	07/11	ROXBURY CAPITAL MGMT	035	HXL	S	130	25.20	n/a	19-Jun	3.90 3.0
AO,CRT	07/11	IRIDIAN ASSET MGMT.	036	LSI	B	390	5.99	n/a	n/a	19.50 5.0
AO,CXL	07/11	IRIDIAN ASSET MGMT.	036	LSI	B	390	5.99	n/a	n/a	19.50 5.0
AO,CXL	07/11	IRIDIAN ASSET MGMT.	036	STX	S	110	25.26	n/a	n/a	5.50 5.0
AO,CRT	07/11	IRIDIAN ASSET MGMT.	036	STX	S	110	25.26	n/a	n/a	5.50 5.0

TOTAL (AO, CXL, CRT) :**50.00**

TOTAL (Trade Date) :**57,185.95****TOTAL (AO, CXL, CRT) :****50.00**

TOTAL (RUN DATE) / NFS:**57,235.95**

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-Jul.

UA

MRI Securities without Trade Activity on 12-Jul.

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)