



Daily Compliance Activity Report

Trade Date: 07/13/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f MICHAEL ALEXANDER SM	FID	AAPL	S	6	2.56	n/a	n/a	0.00	0.0
HIGHBRIDGE CAP	041	AA	SS	30,000	8.37	n/a	n/a	600.00	2.0
f PATRICK O'GRADY	FID	ABCP	B	600	1.79	n/a	n/a	0.00	0.0
SENATOR INVESTMENT GROUP	036	ABC	B	100,000	39.59	n/a	n/a	3,000.00	3.0
PIONEER OAKRIDGE	031	AGN	S	10,900	90.04	n/a	12-Jul	327.00	3.0
TRELLUS PARTNERS LP	028	ALV	B	10,000	54.01	n/a	20-Jun	300.00	3.0
LISTED ERR	099	ANN	B	10,010	25.66	n/a	n/a	0.00	0.0
f MICHAEL ALEXANDER SM	FID	APA	S	10	0.13	n/a	11-Jul	0.00	0.0
B BUCK CAPITAL MGMT		ASNA	S	30,000	18.70	n/a	n/a	non-brg	4.0
f IAN L MILLER	FID	AXL	S	125	10.41	n/a	7-Jun	0.00	0.0
B BUCK CAPITAL MGMT		BC IM	S	12,833	13.46	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		BC IM	S	2,325	13.46	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		BC IM	S	9,744	13.46	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		BKW	SS	25,000	15.35	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BKW	SS	26,050	15.35	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		BKW	SS	27,700	15.43	n/a	n/a	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		BODY	S	10,000	11.17	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BODY	S	10,000	11.19	n/a	n/a	non-brg	4.0
BRONSON POINT	036	BWA	SS	20,000	64.37	n/a	27-Apr	600.00	3.0
TRELLUS PARTNERS LP	028	CAKE	SS	8,577	31.97	n/a	13-Jul	257.31	3.0
BALYASNY ASSET MGMT	044	CELG	SS	10,000	64.05	n/a	n/a	500.00	5.0
PIONEER OAKRIDGE	031	CERN	B	10,800	81.47	n/a	n/a	324.00	3.0
HIGHBRIDGE CAP	041	CF	B	512	195.80	n/a	n/a	15.36	3.0
CAVOLEPH	085	CL	S	2,200	105.00	n/a	18-Jun	88.00	4.0
B BUCK CAPITAL MGMT		CMG	S	10,516	385.22	n/a	13-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		CROX	B	20,000	14.88	n/a	n/a	non-brg	4.0
f KAREN F LEDDY	FID	CROX	S	700	14.89	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	CROX	B	5000	14.88	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	CVS	B	1000	47.83	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		DECK	SS	20,000	45.43	n/a	n/a	non-brg	4.0
OZ MGMT	040	DE	S	57,911	77.07	n/a	11-Jul	1,737.33	3.0
OHIO PERS	047	DIS	B	31,000	47.89	n/a	n/a	930.00	3.0
THE JAY GOLDMAN	028	DLPH	SS	50,000	26.83	n/a	n/a	2,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		DPZ	C	25,000	31.33	n/a	13-Jul	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DPZ	C	25,000	31.33	n/a	13-Jul	non-brg	4.0
⚡ PATRICK O'GRADY	FID	EMMS	S	1000	1.88	n/a	n/a	0.00	0.0
THE JAY GOLDMAN	028	FAST	B	80,000	43.27	n/a	n/a	3,200.00	4.0
OZ MGMT	040	F	C	57,994	9.20	n/a	5-Jul	1,739.82	3.0
PHILADELPHIA FINANCIAL	033	F	SS	150,596	9.23	n/a	5-Jul	6,023.84	4.0
NEUBERGER BERMAN	036	GRC	B	2,700	30.71	n/a	n/a	108.00	4.0
THE JAY GOLDMAN	028	GWV	S	20,000	189.07	n/a	28-Jun	800.00	4.0
HIGHBRIDGE CAP	041	HP	SS	6,000	42.90	n/a	n/a	180.00	3.0
CSFB GLOBAL PROPRIETARY	041	IP	B	65,000	30.93	n/a	2-Jul	3,250.00	5.0
GUGGENHEIM GLOBAL TRADING	(GGT)251	IP	B	3,700	31.13	n/a	2-Jul	111.00	3.0
⚡ BUCK CAPITAL MGMT		IWM	SS	25,000	79.88	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		IWM	SS	75,000	79.62	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		JNY	B	20,000	10.08	n/a	26-Apr	non-brg	4.0
⚡ BUCK CAPITAL MGMT		JNY	B	60,000	10.04	n/a	26-Apr	non-brg	3.0
⚡ BUCK CAPITAL MGMT		JPCMSBCM	C	1,000	106.22	n/a	n/a	non-brg	8.5
⚡ BUCK CAPITAL MGMT		JPCMSBCM	C	700	106.22	n/a	n/a	non-brg	8.5
SANDLER O'NEILL ASSET	031	JPM	SS	50,000	35.59	n/a	13-Jul	2,500.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		KORS	B	10,000	39.48	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		KORS	B	10,000	39.48	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		KR	C	50,000	22.12	n/a	n/a	non-brg	4.0
LISTED ERR	099	KSS	S	10,310	47.31	n/a	6-Jul	0.00	0.0
ROTHSCHILD ASSET	040	LCC	S	53,946	14.27	n/a	n/a	2,157.84	4.0
⚡ BUCK CAPITAL MGMT		LTD	B	40,000	45.84	n/a	n/a	non-brg	4.0
MERRILL ASSET/BLACKROCK	297	MCY	S	20,000	39.62	n/a	n/a	800.00	4.0
HIGHBRIDGE CAP	041	MON	B	2,550	84.01	n/a	27-Jun	76.50	3.0
f DAVID GEORGE BUCK	FID	MO	S	2000	35.57	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	MO	S	200	35.57	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		MSMSBCM	C	20,000	106.26	n/a	n/a	non-brg	8.5
⚡ BUCK CAPITAL MGMT		MSMSBCM	C	30,000	106.25	n/a	n/a	non-brg	8.5
f JASON ERIC COHEN	FID	MTH	B	3	1.97	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		NKE	SS	10,000	93.81	n/a	29-Jun	non-brg	4.0
⚡ BUCK CAPITAL MGMT		NWY	S	40,000	4.05	n/a	n/a	non-brg	2.0
OHIO PERS	047	PENN	S	35,700	41.45	n/a	n/a	1,071.00	3.0
⚡ BUCK CAPITAL MGMT		PFE	B	25,000	22.89	n/a	n/a	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		PVH	B	10,000	76.65	n/a	25-May	non-brg	4.0
HIGHBRIDGE CAP	041	RKT	B	2,600	58.25	n/a	2-Jul	78.00	3.0
OZ MGMT	040	RKT	B	150,000	58.84	n/a	2-Jul	4,500.00	3.0
ß BUCK CAPITAL MGMT		RL	C	10,000	139.34	n/a	23-May	non-brg	4.0
THE JAY GOLDMAN	028	ROK	B	20,000	62.68	n/a	n/a	800.00	4.0
ß BUCK CAPITAL MGMT		SHOO	B	30,000	34.70	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SHOO	B	40,000	34.63	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SIG	S	20,000	43.05	n/a	n/a	non-brg	4.0
SCOPUS FUND	041	SIG	SS	25,000	42.99	n/a	n/a	1,000.00	4.0
ß BUCK CAPITAL MGMT		SKS	C	100,000	10.45	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SPY	SS	15,000	135.47	n/a	n/a	non-brg	2.0
ß BUCK CAPITAL MGMT		SPY	SS	45,000	134.89	n/a	n/a	non-brg	2.0
f DAVID GEORGE BUCK	FID	SPY	S	10	1.61	n/a	n/a	0.00	0.0
LATEEF MGMT	035	SWY	B	1,800	16.05	n/a	n/a	252.50	15.0
f STEFFANIE CARMELA CA	FID	TISDZ	B	250	1.14	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		TSCO	B	10,000	82.74	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		TSCO	B	10,000	83.01	n/a	n/a	non-brg	4.0
ROSEDALE CAPITAL	046	TSN	B	25,000	16.32	n/a	n/a	1,000.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THE JAY GOLDMAN	028	VC	SS	45,000	32.74	n/a	n/a	1,800.00	4.0
f DAVID GEORGE BUCK	FID	WAG	B	200	30.34	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		WRC	B	30,000	41.04	n/a	9-May	non-brg	4.0
B BUCK CAPITAL MGMT		WRC	B	30,000	41.12	n/a	9-May	non-brg	4.0
LONG POND	029	WY	S	50,000	23.41	n/a	4-May	2,000.00	4.0
B BUCK CAPITAL MGMT		YUM	C	10,000	64.50	13-Jul	13-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		YUM	C	20,000	64.42	13-Jul	13-Jul	non-brg	4.0
MERRILL ASSET/BLACKROCK	297	Y	B	6,100	342.54	n/a	n/a	244.00	4.0
TOTAL (Trade Date) :								44,371.50	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	07/12	GALT INVESTMENT	041	CMRG	B	13,385	3.70	n/a	n/a	334.63 2.5
AO,CXL	07/12	GALT INVESTMENT	041	CMRG	B	13,385	3.70	n/a	n/a	669.25 5.0
AO,CRT	07/12	WEINTRAUB CAPITAL MGT.	084	MHR	SS	150,000	3.72	n/a	n/a	4500.00 3.0
AO,CXL	07/12	WEINTRAUB CAPITAL MGT.	084	MHR	SS	150,000	3.72	n/a	n/a	6000.00 4.0
AO,CRT	07/12	GUGGENHEIM GLOBAL TRADING (GGT)	251	WLP	B	3,500	60.98	n/a	n/a	140.00 4.0
AO,CXL	07/12	GUGGENHEIM GLOBAL TRADING (GGT)	251	WLP	B	3,500	60.98	n/a	n/a	105.00 3.0

TOTAL (AO, CXL, CRT) :**-1,799.62**

TOTAL (Trade Date) :

44,371.50

TOTAL (AO, CXL, CRT) :

-1,799.62

TOTAL (RUN DATE) / NFS:**42,571.88**

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 13-Jul.

YUM

MRI Securities without Trade Activity on 13-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)