



Daily Compliance Activity Report

Trade Date: 07/11/2012

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	B	7,500	44.24		n/a	n/a	250.00	3.5
BESSEMER INVESTMENT	085	ACE	S	1,000	70.15	n/a	n/a		40.00	4.0
CATAPULT CAP/DEFRANCO	040	AEO	S	25,415	20.32	n/a	2-Dec		1,016.60	4.0
BESSEMER INVESTMENT	085	AMLN	S	258	30.77	n/a	n/a		10.32	4.0
ROARING BLUE LION MGMT	031	ARO	S	10,700	19.42	n/a	n/a		428.00	4.0
f	MANNY I KORMAN	FID	ARR	B	35400	7.32	n/a	n/a	0.00	0.0
NEWLAND CAPITAL MGT	025	ATR	B	10,000	49.16	n/a	n/a		400.00	4.0
B	BUCK CAPITAL MGMT	BC IM	S	50,000	13.79	n/a	n/a		non-brg	2.1
B	BUCK CAPITAL MGMT	CMG	S	2,000	376.20	n/a	20-Apr		non-brg	2.5
B	BUCK CAPITAL MGMT	CNC	B	10,000	35.15	n/a	n/a		non-brg	4.0
B	BUCK CAPITAL MGMT	COH	C	10,000	55.70	n/a	9-May		non-brg	4.0
B	BUCK CAPITAL MGMT	COST	B	20,000	94.18	n/a	n/a		non-brg	4.0
f	JONATHAN RICHARD HAR	FID	CVGI	B	1000	7.84	n/a	n/a	0.00	0.0
CLOVIS CAPITAL	033	DNB	SS	20,000	69.81	n/a	n/a		600.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		DSW	S	55,865	54.90	n/a	11-Feb	non-brg	4.0
PIONEER OAKRIDGE	031	EMC	S	57,300	23.46	n/a	n/a	1,719.00	3.0
TUDOR INVESTORS	028	FDO	B	50,000	69.79	n/a	29-Jun	1,500.00	3.0
LEVIN CAPITAL STRATEGIES	041	F	SS	10,000	9.29	n/a	5-Jul	300.00	3.0
OZ MGMT	040	F	C	115,991	9.32	n/a	5-Jul	3,479.73	3.0
BRONSON POINT	036	GES	C	25,000	26.74	n/a	23-May	750.00	3.0
SIMMONS VENTURES	041	GES	B	5,000	26.75	n/a	23-May	200.00	4.0
B BUCK CAPITAL MGMT		GIL	S	10,000	28.17	n/a	12-Jun	non-brg	4.0
B BUCK CAPITAL MGMT		GIL	S	10,000	28.40	n/a	12-Jun	non-brg	4.0
LEVIN CAPITAL STRATEGIES	041	GM	C	10,000	19.95	n/a	5-Jul	300.00	3.0
B BUCK CAPITAL MGMT		GNC	S	10,000	39.02	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		HOT	S	50,000	51.37	n/a	13-Jun	non-brg	4.0
RBC CAPITAL MARKETS	040	HST	B	30,000	15.58	n/a	13-Jun	1,200.00	4.0
ROXBURY CAPITAL MGMT	035	HXL	S	50,925	25.20	n/a	19-Jun	1,527.75	3.0
CRAMER ROSENTHAL	070	H	B	75,450	36.03	n/a	13-Jun	3,018.00	4.0
BESSEMER INVESTMENT	085	IBM	S	204	187.13	n/a	n/a	8.16	4.0
BALLAST CAP	040	INGR	S	9,200	46.60	n/a	n/a	460.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	IP	S	30,000	29.64	n/a	2-Jul	1,500.00	5.0
B BUCK CAPITAL MGMT		IWM	SS	50,000	79.08	n/a	n/a	non-brg	2.0
SIMMONS VENTURES	041	JNY	SS	5,000	10.20	n/a	26-Apr	200.00	4.0
f MANNY I KORMAN	FID	JPMPRW	S	2800	25.82	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		JWN	B	20,000	50.68	n/a	6-Jul	non-brg	4.0
B BUCK CAPITAL MGMT		KORS	B	10,000	40.20	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		KORS	B	40,000	41.08	n/a	n/a	non-brg	4.0
CLOVIS CAPITAL	033	LKQ	SS	60,000	34.03	n/a	n/a	1,800.00	3.0
IRIDIAN ASSET MGMT.	036	LSI	B	197,600	5.99	n/a	n/a	9,880.00	5.0
RBC CAPITAL MARKETS	040	MAR	S	10,000	38.30	n/a	13-Jun	400.00	4.0
B BUCK CAPITAL MGMT		MGM	SS	150,000	10.19	n/a	13-Jun	non-brg	4.0
B BUCK CAPITAL MGMT		MGM	SS	150,000	10.19	n/a	13-Jun	non-brg	4.0
B BUCK CAPITAL MGMT		MGM	SS	150,000	10.27	n/a	13-Jun	non-brg	4.0
B BUCK CAPITAL MGMT		MGM	SS	150,000	10.27	n/a	13-Jun	non-brg	4.0
FRONTIER	029	MHR	S	178,230	3.85	n/a	n/a	3,564.60	2.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	MMM	B	2,500	88.60		n/a 1-May	100.00	4.0
CAVOLEPH	085	MRVL	B	1,000	10.55	n/a	n/a	40.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JASON ERIC COHEN	FID	MTH	B	3	2.45	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	OMPI	B	1500	16.99	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	OMPI	B	500	16.98	n/a	n/a	0.00	0.0
PECONIC PARTNERS	036	PG	SS	10,000	61.49	n/a	20-Jun	500.00	5.0
f JASON ERIC COHEN	FID	PHM	B	10	0.20	n/a	n/a	0.00	0.0
STANDARD PACIFIC CAPITAL	084	PH	SS	85,000	72.01	11-Jul	11-Jul	4,250.00	5.0
B BUCK CAPITAL MGMT		PVH	B	20,000	75.43	n/a	25-May	non-brg	4.0
B BUCK CAPITAL MGMT		PVH	B	30,000	76.45	n/a	25-May	non-brg	4.0
SYSTEMATIC FINANCIAL MGT	035	PVH	B	31,475	75.27	n/a	25-May	944.25	3.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE	035	QTM		S	100,000	1.39	n/a	n/a	2,000.00 2.0
CSFB GLOBAL PROPRIETARY	041	RKT	SS	8,513	55.50	n/a	2-Jul	425.65	5.0
CSFB GLOBAL PROPRIETARY	041	RKT	S	1,487	55.68	n/a	2-Jul	74.35	5.0
NEWLAND CAPITAL MGT	025	RKT	S	10,000	55.35	n/a	2-Jul	400.00	4.0
B BUCK CAPITAL MGMT		RL	C	10,000	137.80	n/a	23-May	non-brg	4.0
B BUCK CAPITAL MGMT		RL	C	20,000	139.41	n/a	23-May	non-brg	4.0
f MANNY I KORMAN	FID	RQI	S	3276	10.48	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		RUSHA	B	34,000	15.05	n/a	n/a	non-brg	4.0
f EDWARD W WHEELER	FID	RUSHA	B	5000	15.03	n/a	n/a	0.00	0.0
PIONEER OAKRIDGE	031	RVBD	S	52,890	13.83	n/a	n/a	1,586.70	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		SIG	S	10,000	42.42	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		SIG	S	20,000	42.42	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		SIG	S	20,000	42.91	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		SIG	S	20,000	42.91	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		SKS	SS	30,000	10.93	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		SKUL	S	10,000	14.29	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		SPY	SS	30,000	134.10	n/a	n/a	non-brg	2.0
RIDGECREST INV MGMT LLC	028	SPY	SS	25,000	134.17	n/a	n/a	1,000.00	4.0
BUCK CAPITAL MGMT		SSI	S	20,000	18.24	n/a	n/a	non-brg	4.0
IRIDIAN ASSET MGMT.	036	STX	S	92,670	25.26	n/a	n/a	4,633.50	5.0
PROSPECTOR PARTNERS LLC	036	TDS	B	10,000	22.17	n/a	n/a	400.00	4.0
BUCK CAPITAL MGMT		TEVA	B	10,000	39.26	n/a	9-Jul	non-brg	4.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	TEX	B	5,000	15.77	11-Jul	11-Jul	150.00	3.0
NORTHWESTERN MUTUAL LIFE	047	TGT	B	127,200	59.74	n/a	5-Jul	5,088.00	4.0
BUCK CAPITAL MGMT		TIF	SS	20,000	51.14	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		TIF	SS	30,000	51.24	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		ULTA	B	20,000	90.64	n/a	n/a	non-brg	2.5
GUGGENHEIM GLOBAL TRADING (GGT)	251	WLP	B	1,600	61.00	n/a	n/a	64.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Ⓐ BUCK CAPITAL MGMT		WRC	B	50,000	41.89	n/a	9-May	non-brg	4.0
Ⓐ BUCK CAPITAL MGMT		WRC	B	50,000	41.89	n/a	9-May	non-brg	4.0
ARMATURE CAPITAL	041	WY	S	100,000	22.34	n/a	4-May	4,000.00	4.0
KAM ADVISORS LLC	041	XRT	C	102,700	59.13	n/a	n/a	3,081.00	3.0
TUDOR INVESTORS	028	ZUMZ	SS	32,500	36.41	n/a	n/a	975.00	3.0
TOTAL (Trade Date):								64,264.61	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	07/10	GUGGENHEIM GLOBAL TRADING (GGT)	251	IR	B	2,500	40.47	n/a	20-Jun	100.00 4.0
AO,CXL	07/10	GUGGENHEIM GLOBAL TRADING (GGT)	251	IR	B	2,500	40.47	n/a	20-Jun	75.00 3.0

TOTAL (AO, CXL, CRT) :	25.00
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TOTAL (Trade Date) :	64,264.61
TOTAL (AO, CXL, CRT) :	25.00

TOTAL (RUN DATE) / NFS:	64,289.61
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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 11-Jul.

PH, TEX

MRI Securities without Trade Activity on 11-Jul.

ITW, CMI, CAT, AGCO, DE, JOY, NAV, KMT, MTW, MIDD, PCAR, APC, APA, DVN

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)