



Daily Compliance Activity Report

Trade Date: 05/10/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
EPOCH INV MGMT	030	ABT	S	6,600	62.26	n/a	n/a	198.00	3.0
⌘ BUCK CAPITAL MGMT		ADNC	B	2,000	17.00	n/a	n/a	non-brg	0.0
⌘ BUCK CAPITAL MGMT		ADNC	S	2,000	19.67	n/a	n/a	non-brg	2.5
PZENA INV ADV	044	APOL	B	7,300	32.60	n/a	n/a	255.50	3.5
⌘ HARALAMBOS EFSTATHI	FID	ARUN	B	500	16.62	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		BHI	SS	50,000	41.64	n/a	n/a	non-brg	4.0
EPOCH INV MGMT	030	BLK	S	1,250	180.06	n/a	n/a	37.50	3.0
⌘ BUCK CAPITAL MGMT		CAR	S	50,000	15.91	n/a	n/a	non-brg	4.0
DELTEC ASSET MGMT.	040	CELG	B	5,000	71.00	n/a	n/a	250.00	5.0
⌘ BUCK CAPITAL MGMT		CHRS	S	177,947	7.31	n/a	n/a	non-brg	3.0
⌘ BUCK CAPITAL MGMT		CHRS	S	300,000	7.32	n/a	n/a	non-brg	3.0
EPOCH INV MGMT	030	CIT	S	4,950	36.80	n/a	7-May	148.50	3.0
⌘ BUCK CAPITAL MGMT		CMG	S	10,000	407.31	n/a	20-Apr	non-brg	2.5
EPOCH INV MGMT	030	COL	S	3,250	52.41	n/a	3-May	97.50	3.0
⌘ BUCK CAPITAL MGMT		CROX	S	50,000	17.29	n/a	n/a	non-brg	4.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
B	BUCK CAPITAL MGMT		CROX	S	55,612	16.87	n/a	n/a	non-brg 4.0
	APEX CAPITAL MGMT.	261	CSCO	B	400,000	17.01	n/a	n/a	16,000.00 4.0
f	KAREN F LEDDY	FID	CVGI	S	2000	10.82	n/a	n/a	0.00 0.0
	NEUBERGER BERMAN	036	CYBX	B	400	38.84	n/a	n/a	16.00 4.0
B	BUCK CAPITAL MGMT		DAL	S	100,000	11.09	n/a	n/a	non-brg 4.0
	ROTHSCHILD ASSET	040	DCT	B	282,122	5.98	n/a	n/a	11,284.88 4.0
	EPOCH INV MGMT	030	DD	S	4,350	52.09	n/a	1-May	130.50 3.0
	EPOCH INV MGMT	030	DELL	S	13,850	15.67	n/a	n/a	415.50 3.0
f	JONATHAN RICHARD HAR	FID	DRYS	S	185	2.79	n/a	n/a	0.00 0.0
	MATRIX ASSET ADV.	091	EMR	B	4,000	48.41	n/a	n/a	160.00 4.0
f	HARALAMBOS EFSTATHI	FID	EUO	B	500	20.08	n/a	n/a	0.00 0.0
B	BUCK CAPITAL MGMT		GCO	S	10,000	71.57	n/a	n/a	non-brg 4.0
B	BUCK CAPITAL MGMT		GIL	B	50,000	25.88	n/a	4-May	non-brg 4.0
B	BUCK CAPITAL MGMT		GIL	B	50,000	25.88	n/a	4-May	non-brg 4.0
	EPOCH INV MGMT	030	GLW	S	8,300	13.36	n/a	1-May	249.00 3.0
f	JONATHAN RICHARD HAR	FID	HOV	B	260	1.86	n/a	n/a	0.00 0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JONATHAN RICHARD HAR	FID	HOV	B	520	1.87	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	HOV	S	520	1.86	n/a	n/a	0.00	0.0
f KAREN F LEDDY	FID	HSC	S	1200	20.77	n/a	4-May	0.00	0.0
B BUCK CAPITAL MGMT		HTZ	S	50,000	14.89	n/a	n/a	non-brg	4.0
STATE TEACHERS RET SYS	047	IBM	B	20,000	201.07	n/a	n/a	1,000.00	5.0
f HARALAMBOS EFSTATHI	FID	IGD	S	2000	9.19	n/a	n/a	0.00	0.0
PZENA INV ADV	044	IVZ	B	12,875	23.02	n/a	2-Mar	450.63	3.5
f HARALAMBOS EFSTATHI	FID	JNPR	S	1000	18.04	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	KEM	B	5000	7.62	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	KMP	B	200	80.87	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		KORS	B	50,000	41.52	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		KORS	B	70,000	41.02	n/a	n/a	non-brg	4.0
f HARALAMBOS EFSTATHI	FID	KORS	B	300	40.47	n/a	n/a	0.00	0.0
SUFFOLK CAPITAL MGMT	040	KRO	B	19,800	20.75	n/a	n/a	594.00	3.0
ADAGE CAPITAL MGMT	030	KSS	S	129,936	49.06	n/a	4-May	3,898.08	3.0
EPOCH INV MGMT	030	KSS	B	87,725	49.21	n/a	4-May	2,631.75	3.0
FIRST NY SEC/CHRIS	041	KSS	SS	10,000	49.44	n/a	4-May	300.00	3.0
KLEINHEINZ CAP PART	031	KSS	S	125,000	49.19	n/a	4-May	6,250.00	5.0
MILLRACE FUND LP	028	KSS	SS	8,000	49.35	n/a	4-May	320.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
STATE TEACHERS RET SYS	047	LULU	B	15,000	73.76	n/a	10-Apr	750.00	5.0
BNP PARIBAS SEC	040	MDR	S	10,000	9.89	n/a	n/a	500.00	5.0
ß BUCK CAPITAL MGMT		MSMSBCM	C	1,614,776	108.90	n/a	n/a	non-brg	1.1
ß BUCK CAPITAL MGMT		MSMSBCM	C	2,081,224	108.90	n/a	n/a	non-brg	1.1
ß BUCK CAPITAL MGMT		MSMSBCM	SS	1,614,776	108.90	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		MSMSBCM	SS	2,081,224	108.90	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		MSMSBCM	SS	50,000	108.90	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		MSMSRASH	C	279,845	112.39	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		MSMSRASH	SS	248,323	112.39	n/a	n/a	non-brg	0.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	50,000	27.82	n/a	25-Apr	2,500.00	5.0
PILOT ADV	041	M	B	12,500	37.82	n/a	10-May	375.00	3.0
ß BUCK CAPITAL MGMT		NUS	SS	20,000	43.80	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		NUS	SS	25,000	43.15	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		NUS	SS	25,000	43.53	n/a	n/a	non-brg	0.8
ß BUCK CAPITAL MGMT		NUS	SS	30,000	43.15	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		NWY	B	25,000	3.79	n/a	n/a	non-brg	2.0
EPOCH INV MGMT	030	OXY	S	2,250	85.64	n/a	n/a	67.50	3.0
ß BUCK CAPITAL MGMT		PCAR	S	50,000	40.61	n/a	25-Apr	non-brg	4.0
ß BUCK CAPITAL MGMT		PCAR	S	67,750	40.51	n/a	25-Apr	non-brg	4.0
ß BUCK CAPITAL MGMT		PNRA	B	40,000	155.11	n/a	26-Apr	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		PVH	S	10,000	80.22	n/a	9-May	non-brg	4.0
ß BUCK CAPITAL MGMT		PVH	S	20,000	79.87	n/a	9-May	non-brg	4.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE035		SGMS	B	35,601	10.02	n/a	n/a	1,068.03	3.0
ß BUCK CAPITAL MGMT		SIG	S	15,000	46.64	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SKS	SS	50,000	10.37	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SKS	SS	50,000	10.37	n/a	n/a	non-brg	4.0
SENATOR INVESTMENT GROUP	036	SM	S	18,666	66.59	n/a	n/a	559.98	3.0
f DAVID GEORGE BUCK	FID	SWN	S	20	0.27	n/a	9-May	0.00	0.0
LATEFF MGMT	035	SWY	B	4,000	19.05	n/a	n/a	415.00	11.7
SUFFOLK CAPITAL MGMT	040	TGT	S	269,100	55.36	n/a	3-May	10,764.00	4.0
f JONATHAN RICHARD HAR	FID	TIF	S	35	63.89	n/a	n/a	0.00	0.0
EPOCH INV MGMT	030	TJX	S	9,050	41.87	n/a	4-May	271.50	3.0
NEUBERGER BERMAN	036	TXRH	B	41,661	18.40	n/a	n/a	1,666.44	4.0
ß BUCK CAPITAL MGMT		UAL	S	89,700	23.74	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		ULTA	B	15,000	85.62	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		ULTA	B	15,000	85.76	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		ULTA	B	25,000	84.00	n/a	n/a	non-brg	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		ULTA	B	25,000	84.00	n/a	n/a	non-brg	0.0
f ANGELO CHRISTOS EFST	FID	VG	S	600	1.79	n/a	n/a	0.00	0.0
f ANGELOS EFSTATHIOU	FID	VXX	S	300	17.23	n/a	n/a	0.00	0.0
f HARALAMBOS EFSTATHI	FID	VXX	S	700	17.19	n/a	n/a	0.00	0.0
DELTEC ASSET MGMT.	040	WCRX	B	5,000	21.54	n/a	10-May	250.00	5.0
BNP PARIBAS SEC	040	WY	S	10,000	20.02	n/a	4-May	500.00	5.0
f KAREN F LEDDY	FID	XPO	S	700	16.02	n/a	n/a	0.00	0.0
f MARK DEVEREAUX KAICH	FID	XRM	B	2800	4.10	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								64,374.79	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	05/09	ROTHSCHILD ASSET	040	DCT	B	337	5.93	n/a	n/a	13.48	4.0
AO,CRT	05/09	ROTHSCHILD ASSET	040	DCT	B	337	5.93	n/a	n/a	13.48	4.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	64,374.79
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	64,374.79
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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 10-May.
NONE

MRI Securities without Trade Activity on 10-May.
TEVA

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)