



# Daily Compliance Activity Report

Trade Date: 06/21/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B</b> BUCK CAPITAL MGMT		<b>AAPL</b>	<b>S</b>	<b>4,000</b>	<b>581.52</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
CHARTER OAK	033	ABG	B	3,100	23.63	n/a	27-Apr	155.00	5.0
<b>f</b> IAN L MILLER	<b>FID</b>	<b>AGNC</b>	<b>B</b>	<b>15</b>	<b>32.32</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> TR U/W OF CH RISTINA	<b>FID</b>	<b>APC</b>	<b>S</b>	<b>70</b>	<b>62.12</b>	<b>n/a</b>	<b>15-May</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>AXL</b>	<b>B</b>	<b>50,000</b>	<b>9.97</b>	<b>n/a</b>	<b>7-Jun</b>	<b>non-brg</b>	<b>3.0</b>
SENATOR INVESTMENT GROUP	036	BA	B	15,000	72.49	n/a	20-Jun	450.00	3.0
SANDLER CAPITAL	028	BBBY	S	72,500	63.84	n/a	n/a	2,900.00	4.0
<b>B</b> BUCK CAPITAL MGMT		<b>BONT</b>	<b>S</b>	<b>3,308</b>	<b>6.50</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>BONT</b>	<b>S</b>	<b>76,692</b>	<b>6.40</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
PEAK INV LLC	040	CBT	B	127,341	36.35	21-Jun	21-Jun	4,928.64	3.9
WEISS PECK - ROBECO INV		040 CBT	B		41,190	36.35	21-Jun	21-Jun	1,647.60 4.0
<b>B</b> BUCK CAPITAL MGMT		<b>CELG</b>	<b>B</b>	<b>10,000</b>	<b>59.54</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
PORTER-ORLIN	044	CHU	SS	3,800	12.87	n/a	n/a	152.00	4.0
RBC CAPITAL MARKETS	040	CLX	B	5,000	71.67	n/a	23-May	200.00	4.0
RBC CAPITAL MARKETS	040	COH	SS	12,000	60.10	n/a	9-May	480.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f FRANCIS MICHAEL MCCA</b>	<b>FID</b>	<b>CVGI</b>	<b>S</b>	<b>1100</b>	<b>8.58</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>CVGI</b>	<b>B</b>	<b>235</b>	<b>8.46</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DDS</b>	<b>S</b>	<b>46,400</b>	<b>66.54</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
FRONTIER	029	DNDN	B	47,740	7.76	n/a	n/a	1,432.20	3.0
THE JAY GOLDMAN	028	DOV	B	20,000	55.09	n/a	n/a	800.00	4.0
THE JAY GOLDMAN	028	DOV	SS	20,000	56.01	n/a	n/a	800.00	4.0
FRONTIER	029	DRQ	S	28,470	62.66	n/a	n/a	1,138.80	4.0
RBC CAPITAL MARKETS	040	EL	B	5,000	55.73	n/a	11-Jun	200.00	4.0
<b>f FRANCIS MICHAEL MCCA</b>	<b>FID</b>	<b>EME</b>	<b>S</b>	<b>700</b>	<b>27.44</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
THE JAY GOLDMAN	028	EMR	B	25,000	46.80	n/a	n/a	1,000.00	4.0
CATAPULT/KGLT	040	ESV	B	25,000	43.70	n/a	n/a	1,000.00	4.0
DC CAPITAL	044	ETN	B	50,000	37.76	n/a	14-Jun	2,000.00	4.0
CHANNING CAPITAL	031	FBHS	B	27,940	20.91	n/a	n/a	1,117.60	4.0
<b>B BUCK CAPITAL MGMT</b>		<b>FDO</b>	<b>S</b>	<b>133,422</b>	<b>70.38</b>	<b>n/a</b>	<b>5-Jun</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>FDO</b>	<b>S</b>	<b>40,000</b>	<b>70.65</b>	<b>n/a</b>	<b>5-Jun</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>FDO</b>	<b>S</b>	<b>60,000</b>	<b>70.71</b>	<b>n/a</b>	<b>5-Jun</b>	<b>non-brg</b>	<b>4.0</b>
<b>f CAROL ANNE LACHENAU</b>	<b>FID</b>	<b>FOR</b>	<b>S</b>	<b>1217</b>	<b>13.11</b>	<b>n/a</b>	<b>11-May</b>	<b>0.00</b>	<b>0.0</b>

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	DOUGLAS ROGERS	FID	FOR	S	1193	13.10	n/a	11-May	0.00	0.0
f	TR U/W OF CH RISTINA	FID	FOR	S	617	13.15	n/a	11-May	0.00	0.0
	ROSEDALE CAPITAL	046	F	B	20,000	10.31	n/a	4-Jun	800.00	4.0
ß	BUCK CAPITAL MGMT		GCO	B	8,200	61.05	n/a	n/a	non-brg	4.0
ß	BUCK CAPITAL MGMT		GIL	S	20,000	26.94	n/a	12-Jun	non-brg	4.0
ß	BUCK CAPITAL MGMT		GM	B	48,000	20.90	n/a	7-Jun	non-brg	0.8
	RBC CAPITAL MARKETS	040	GNC	B	5,000	36.87	n/a	n/a	200.00	4.0
f	JONATHAN RICHARD HAR	FID	HAIN	S	90	52.29	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		HBI	S	30,000	28.07	n/a	25-May	non-brg	4.0
ß	BUCK CAPITAL MGMT		HOT	S	30,000	51.91	n/a	13-Jun	non-brg	4.0
	RBC CAPITAL MARKETS	040	HST	S	10,000	15.64	n/a	13-Jun	400.00	4.0
	MILLRACE FUND LP	028	INAP	B	10,000	6.50	n/a	n/a	300.00	3.0
	THE JAY GOLDMAN	028	ITW	S	24,500	54.10	n/a	13-Jun	980.00	4.0
ß	BUCK CAPITAL MGMT		IWM	SS	105,000	77.00	n/a	n/a	non-brg	0.8
ß	BUCK CAPITAL MGMT		IWM	SS	52,400	76.97	n/a	n/a	non-brg	0.8
	TUDOR INVESTORS	028	JOY	B	5,000	56.33	n/a	13-Jun	150.00	3.0
ß	BUCK CAPITAL MGMT		JPCMSBCM	C	36,047	105.60	n/a	n/a	non-brg	0.2

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		JPCMSBCM	C	47,530	105.60	n/a	n/a	non-brg	0.2
⌘ BUCK CAPITAL MGMT		JPCMSBCM	SS	36,047	105.60	n/a	n/a	non-brg	0.0
⌘ BUCK CAPITAL MGMT		JPCMSBCM	SS	47,530	105.60	n/a	n/a	non-brg	0.0
⌘ BUCK CAPITAL MGMT		JWN	B	10,000	49.48	n/a	8-Jun	non-brg	4.0
RBC CAPITAL MARKETS	040	KMB	B	5,000	81.28	n/a	23-Apr	200.00	4.0
MELLON/BANK OF NEW YORK	046	KMT	B	144,000	31.91	n/a	13-Jun	5,760.00	4.0
⌘ BUCK CAPITAL MGMT		KSS	S	10,000	44.09	n/a	1-Jun	non-brg	4.0
Ⓕ FRANCIS MICHAEL MCCA	FID	LULU	S	150	64.45	n/a	7-Jun	0.00	0.0
⌘ BUCK CAPITAL MGMT		MCD	SS	10,000	88.39	n/a	8-Jun	non-brg	4.0
⌘ BUCK CAPITAL MGMT		MCD	SS	70,000	87.62	n/a	8-Jun	non-brg	4.0
⌘ BUCK CAPITAL MGMT		MCD	SS	70,000	87.76	n/a	8-Jun	non-brg	4.0
⌘ BUCK CAPITAL MGMT		MSMSBCM	C	1,283,488	105.65	n/a	n/a	non-brg	0.2
⌘ BUCK CAPITAL MGMT		MSMSBCM	C	1,339,921	105.65	n/a	n/a	non-brg	0.2
⌘ BUCK CAPITAL MGMT		MSMSBCM	SS	1,283,488	105.65	n/a	n/a	non-brg	0.0
⌘ BUCK CAPITAL MGMT		MSMSBCM	SS	1,339,921	105.65	n/a	n/a	non-brg	0.0
SCOPUS FUND	041	M	SS	25,000	35.93	n/a	1-Jun	1,000.00	4.0
FIRST NEW YORK LEDDY	035	NOK	S	20,000	2.42	n/a	n/a	1,200.00	6.0
PROSPECTOR PARTNERS LLC	036	OSG	S	10,000	10.30	n/a	n/a	400.00	4.0
MILLRACE FUND LP	028	OTEX	SS	10,000	48.85	n/a	n/a	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
⌘ BUCK CAPITAL MGMT		PII	S	50,000	70.64	n/a	n/a	non-brg	4.0
BASIX	033	PVH	B	14,600	79.32	n/a	25-May	438.00	3.0
EGS ASSOCIATES LP	091	PVH	B	3,000	79.85	n/a	25-May	150.00	5.0
f IAN L MILLER	FID	RIMM	B	50	10.26	n/a	n/a	0.00	0.0
⌘ BUCK CAPITAL MGMT		RL	SS	10,000	146.21	n/a	23-May	non-brg	4.0
⌘ BUCK CAPITAL MGMT		RL	SS	10,000	148.37	n/a	23-May	non-brg	4.0
PIONEER OAKRIDGE	031	SBH	B	65,600	27.63	n/a	n/a	1,968.00	3.0
⌘ BUCK CAPITAL MGMT		SKUL	S	25,193	12.88	n/a	n/a	non-brg	4.0
f JOHN MICHAEL ZOLIDIS	FID	SKX	B	200	21.34	n/a	n/a	0.00	0.0
PROSPECTOR PARTNERS LLC	036	SLE	S	10,000	19.23	n/a	n/a	400.00	4.0
⌘ BUCK CAPITAL MGMT		SPY	SS	29,900	133.68	n/a	n/a	non-brg	0.8
⌘ BUCK CAPITAL MGMT		SPY	SS	29,900	133.68	n/a	n/a	non-brg	0.8
⌘ BUCK CAPITAL MGMT		SPY	SS	30,100	133.53	n/a	n/a	non-brg	0.8
⌘ BUCK CAPITAL MGMT		SPY	SS	30,100	133.66	n/a	n/a	non-brg	0.8
⌘ BUCK CAPITAL MGMT		SPY	SS	30,100	133.66	n/a	n/a	non-brg	0.8
⌘ BUCK CAPITAL MGMT		SSI	B	20,000	17.89	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		TDG	SS	3,900	128.67	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		TEX	B	27,500	17.99	n/a	13-Jun	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f EDWARD W WHEELER	FID	UNT	B	5000	34.70	n/a	9-May	0.00	0.0
B BUCK CAPITAL MGMT		URBN	SS	100,000	27.82	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		URBN	SS	100,000	27.86	n/a	n/a	non-brg	4.0
f EDWARD W WHEELER	FID	WAG	B	5000	29.31	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	WAG	B	5000	29.31	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	WCRX	B	5000	18.31	n/a	18-Jun	0.00	0.0
PORTER-ORLIN	044	WLP	SS	100,000	70.30	n/a	n/a	4,000.00	4.0
f JONATHAN RICHARD HAR	FID	WNC	B	300	6.15	n/a	n/a	0.00	0.0
f MICHAEL C PERILLO	FID	WNC	B	500	6.18	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		WSM	C	20,000	34.73	n/a	n/a	non-brg	4.0
f JOHN MICHAEL ZOLIDIS	FID	WWW	S	200	38.52	n/a	n/a	0.00	0.0
f IAN L MILLER	FID	XLF	B	50	14.51	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		YUM	SS	20,000	65.43	n/a	20-Apr	non-brg	1.0
f CAROL ANNE LACHENAU	FID		B	10000	117.03	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID		B	25000	98.82	n/a	n/a	0.00	0.0
f DOUGLAS ROGERS	FID		B	10000	117.03	n/a	n/a	0.00	0.0
f TR U/W OF CH RISTINA	FID		B	10000	117.03	n/a	n/a	0.00	0.0

---

**TOTAL (Trade Date):**

**39,147.84**

---

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
------	------	---------	------	--------	-----	--------	-------	--------------	-------------

TOTAL (AO, CXL, CRT):									0.00
-----------------------	--	--	--	--	--	--	--	--	------

TOTAL (Trade Date):									39,147.84
---------------------	--	--	--	--	--	--	--	--	-----------

TOTAL (AO, CXL, CRT):									0.00
-----------------------	--	--	--	--	--	--	--	--	------

TOTAL (RUN DATE) / NFS:									39,147.84
-------------------------	--	--	--	--	--	--	--	--	-----------



BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
------	------	---------	--------	-----	--------	-------	--------------	-------------

MRI Securities with Trade Activity on 21-Jun.

CBT

MRI Securities without Trade Activity on 21-Jun.

KEG

BRG comm. as a % of BCM Total Comm. paid.

T-Date = 0%

YTD = 0%

<b><u>Legend:</u></b>
<b>Õ: Employee Trades in Outside Accounts</b>
<b>ß: Non-BRG BCM Trades</b>
[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)