



# Daily Compliance Activity Report

Trade Date: 06/05/2012

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		1023 HK	B	40,800	0.41	n/a	n/a	non-brg	0.0
WINSLOW CAPITAL	030	AAPL	S	200	560.66	n/a	n/a	6.00	3.0
BUCK CAPITAL MGMT		AAWW	SS	15,000	41.58	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		AAWW	SS	15,000	41.58	n/a	n/a	non-brg	4.0
WINSLOW CAPITAL	030	ALTR	S	300	32.62	n/a	n/a	9.00	3.0
WINSLOW CAPITAL	030	AMTD	S	400	16.46	n/a	n/a	12.00	3.0
WINSLOW CAPITAL	030	AMT	S	300	63.71	n/a	n/a	9.00	3.0
WINSLOW CAPITAL	030	AMZN	S	100	212.04	n/a	n/a	3.00	3.0
BUCK CAPITAL MGMT		ARO	S	100,000	17.58	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		ARO	S	110,000	17.60	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		ARO	S	12,300	17.64	n/a	n/a	non-brg	2.0
BUCK CAPITAL MGMT		ARO	S	136,145	17.59	n/a	n/a	non-brg	0.8
BUCK CAPITAL MGMT		ARO	S	50,000	17.57	n/a	n/a	non-brg	0.8
BUCK CAPITAL MGMT		ASNA	B	30,000	18.13	n/a	n/a	non-brg	4.0
MANNY I KORMAN	FID	BAC	B	30000	7.11	n/a	5-Jun	0.00	0.0
MERRILL ASSET/BLACKROCK	297	BBCN	S	9,787	10.17	n/a	n/a	391.48	4.0
WINSLOW CAPITAL	030	BEN	S	200	103.32	n/a	2-Mar	6.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
WINSLOW CAPITAL	030	BIDU	S	100	116.43	n/a	n/a	3.00	3.0
WINSLOW CAPITAL	030	BIIB	S	100	130.99	n/a	n/a	3.00	3.0
WINSLOW CAPITAL	030	BLK	S	100	165.79	n/a	n/a	3.00	3.0
ARMATURE CAPITAL	041	BMS	B	50,000	30.08	n/a	n/a	2,000.00	4.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>BWA</b>	<b>B</b>	<b>10000</b>	<b>65.89</b>	<b>n/a</b>	<b>27-Apr</b>	<b>0.00</b>	<b>0.0</b>
MILLRACE FUND LP	028	BWA	B	2,000	64.31	n/a	27-Apr	80.00	4.0
WINSLOW CAPITAL	030	BWA	S	200	65.07	n/a	27-Apr	6.00	3.0
WINSLOW CAPITAL	030	CAM	S	400	44.81	n/a	n/a	12.00	3.0
WINSLOW CAPITAL	030	CAT	S	300	83.64	n/a	26-Apr	9.00	3.0
WINSLOW CAPITAL	030	CELG	S	300	64.33	n/a	n/a	9.00	3.0
NEUBERGER BERMAN	036	CHD	S	53,500	53.00	n/a	8-May	2,140.00	4.0
WINSLOW CAPITAL	030	COH	S	100	63.24	n/a	9-May	3.00	3.0
MERRILL ASSET/BLACKROCK	297	COLB	S	22,300	17.75	n/a	n/a	892.00	4.0
WINSLOW CAPITAL	030	COST	S	200	86.65	n/a	n/a	6.00	3.0
WINSLOW CAPITAL	030	COV	S	300	50.90	n/a	n/a	9.00	3.0
ARSENAL ASSET MANAGEMENT	028	CRI	S	10,000	51.92	n/a	n/a	400.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	CRM	S	200	133.72	n/a	n/a	6.00	3.0
WINSLOW CAPITAL	030	CXO	S	200	85.84	n/a	n/a	6.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>DG</b>	<b>B</b>	<b>100,000</b>	<b>46.97</b>	<b>5-Jun</b>	<b>5-Jun</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>DG</b>	<b>B</b>	<b>50,000</b>	<b>46.97</b>	<b>5-Jun</b>	<b>5-Jun</b>	<b>non-brg</b>	<b>4.0</b>
WINSLOW CAPITAL	030	DHR	S	600	49.86	n/a	n/a	18.00	3.0
SENATOR INVESTMENT GROUP	036	DLPH	S	15,000	28.09	n/a	n/a	450.00	3.0
WINSLOW CAPITAL	030	EBAY	S	200	39.34	n/a	n/a	6.00	3.0
WINSLOW CAPITAL	030	ECL	S	200	62.19	n/a	9-May	6.00	3.0
WINSLOW CAPITAL	030	EL	S	200	53.41	n/a	7-May	6.00	3.0
WINSLOW CAPITAL	030	EMC	S	1,000	23.18	n/a	n/a	30.00	3.0
WINSLOW CAPITAL	030	ESRX	S	400	50.63	n/a	n/a	12.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>ESV</b>	<b>S</b>	<b>22,500</b>	<b>44.50</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>ETN</b>	<b>B</b>	<b>100</b>	<b>39.86</b>	<b>n/a</b>	<b>22-May</b>	<b>0.00</b>	<b>0.0</b>
WINSLOW CAPITAL	030	EW	S	100	85.43	n/a	n/a	3.00	3.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>FAGIX</b>	<b>S</b>	<b>72</b>	<b>8.84</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>FAUDX</b>	<b>S</b>	<b>192</b>	<b>10.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MARC PAUL LUCHANSKY	FID	FCSAX	S	592	11.06	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FILEX	S	1219	7.44	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FKRCX	S	25	30.77	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	FLR	S	200	47.00	n/a	n/a	6.00	3.0
B BUCK CAPITAL MGMT		FNP	SS	40,000	11.36	n/a	n/a	non-brg	4.0
f MARC PAUL LUCHANSKY	FID	FNSXX	S	1577	1.00	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FPCIX	S	324	10.79	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FPIOX	S	214	9.47	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FSAMX	S	145	8.24	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FSCFX	S	188	10.32	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FSGFX	S	517	11.90	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FSHBX	S	191	8.53	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FTBFX	S	176	11.11	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	FTI	S	300	39.18	n/a	n/a	9.00	3.0
f MARC PAUL LUCHANSKY	FID	FUSOX	S	246	9.43	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>FVSAX</b>	<b>S</b>	<b>421</b>	<b>13.28</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>F</b>	<b>B</b>	<b>20000</b>	<b>10.23</b>	<b>n/a</b>	<b>4-Jun</b>	<b>0.00</b>	<b>0.0</b>
KLEINHEINZ CAP PART	031	GIL	B	100,000	24.19	n/a	4-May	5,000.00	5.0
SONICA CAPITAL LLC	025	GME	B	52,600	19.58	n/a	n/a	1,578.00	3.0
BALYASNY ASSET MGMT	044	GNTX	C	25,000	21.08	n/a	20-Apr	1,250.00	5.0
NWQ INVESTMENT MGMT CO	084	GOLF	S	197,620	6.04	n/a	n/a	5,928.60	3.0
WINSLOW CAPITAL	030	GOOG	S	100	566.69	n/a	n/a	3.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>HOT</b>	<b>B</b>	<b>100,000</b>	<b>48.75</b>	<b>n/a</b>	<b>13-Jun</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>HOT</b>	<b>B</b>	<b>30,000</b>	<b>48.72</b>	<b>n/a</b>	<b>13-Jun</b>	<b>non-brg</b>	<b>4.0</b>
CONIFER/ISF	025	HPQ	B	8,400	21.62	n/a	n/a	336.00	4.0
MATRIX ASSET ADV.	091	HRS	S	1,500	40.10	n/a	1-May	60.00	4.0
WINSLOW CAPITAL	030	ICE	S	200	123.32	n/a	n/a	6.00	3.0
CRAMER ROSENTHAL	070	IGT	S	16,900	13.49	n/a	13-Jun	676.00	4.0
CRAMER ROSENTHAL	070	INGR	S	300	49.00	n/a	n/a	12.00	4.0
WINSLOW CAPITAL	030	INTU	S	300	54.96	n/a	n/a	9.00	3.0
WINSLOW CAPITAL	030	ISRG	S	100	515.60	n/a	n/a	3.00	3.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	ITW	S	300	53.78	n/a	25-Apr	9.00	3.0
SONICA CAPITAL LLC	025	JNY	B	69,000	9.61	n/a	26-Apr	2,070.00	3.0
1798 CAP/LOMBARD ASSET	040	JOE	SS	15,000	14.87	n/a	n/a	750.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>JPCMSBCM</b>	<b>C</b>	<b>2,600</b>	<b>102.54</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>8.2</b>
HOLLIS CAPITAL	033	JPM	B	10,000	31.94	n/a	5-Jun	500.00	5.0
CRAMER ROSENTHAL	070	KEX	S	300	50.45	n/a	n/a	12.00	4.0
PAW PARTNERS	025	KMX	S	3,700	27.47	n/a	n/a	185.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>KORS</b>	<b>B</b>	<b>20,000</b>	<b>38.86</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
WINSLOW CAPITAL	030	KORS	S	300	37.85	n/a	n/a	9.00	3.0
CRAMER ROSENTHAL	070	LAZ	S	600	22.69	n/a	5-Jun	24.00	4.0
CRAMER ROSENTHAL	070	LECO	S	400	43.94	n/a	n/a	16.00	4.0
WINSLOW CAPITAL	030	LNKD	S	200	91.89	n/a	n/a	6.00	3.0
WOODWAY FINANCIAL	031	LPX	B	318,840	8.66	n/a	7-May	6,376.80	2.0
CRAMER ROSENTHAL	070	LSI	S	2,000	6.38	n/a	n/a	80.00	4.0
WINSLOW CAPITAL	030	LVS	S	400	44.01	n/a	13-Jun	12.00	3.0
CRAMER ROSENTHAL	070	MCRS	S	200	49.76	n/a	n/a	8.00	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WINSLOW CAPITAL	030	MON	S	300	76.62	n/a	30-May	9.00	3.0
<b>B BUCK CAPITAL MGMT</b>		<b>MSMSBCM</b>	<b>C</b>	<b>80,000</b>	<b>102.66</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>8.2</b>
EMPYREAN CAPITAL	084	NAV	B	100,000	26.91	n/a	18-Apr	5,000.00	5.0
<b>f KEVIN MICHAEL O'GORM</b>	<b>FID</b>	<b>NEYYP</b>	<b>S</b>	<b>25500</b>	<b>0.93</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WINSLOW CAPITAL	030	ORLY	S	100	94.94	n/a	n/a	3.00	3.0
PAW PARTNERS	025	OXM	B	3,000	43.21	n/a	n/a	150.00	5.0
SCOPUS FUND	041	OXM	B	20,000	43.82	n/a	n/a	800.00	4.0
WINSLOW CAPITAL	030	OXY	S	200	80.81	n/a	n/a	6.00	3.0
WINSLOW CAPITAL	030	PCLN	S	100	618.22	n/a	n/a	3.00	3.0
WINSLOW CAPITAL	030	PCP	S	100	157.65	n/a	18-May	3.00	3.0
ARSENAL ASSET MANAGEMENT	028	PEP	S	30,000	67.02	n/a	n/a	1,200.00	4.0
BALLAST CAP	040	PEP	S	5,400	66.98	n/a	n/a	270.00	5.0
<b>B BUCK CAPITAL MGMT</b>		<b>PII</b>	<b>B</b>	<b>30,000</b>	<b>73.43</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
WINSLOW CAPITAL	030	PRGO	S	100	104.04	n/a	4-Jun	3.00	3.0
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>PSFAX</b>	<b>S</b>	<b>99</b>	<b>9.81</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
TOCQUEVILLE	035	PSS	S	29,000	21.15	n/a	n/a	1,450.00	5.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f</b> MARC PAUL LUCHANSKY	<b>FID</b>	<b>PTRAX</b>	<b>S</b>	<b>129</b>	<b>11.26</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>PVH</b>	<b>S</b>	<b>10,000</b>	<b>77.58</b>	<b>n/a</b>	<b>25-May</b>	<b>non-brg</b>	<b>4.0</b>
FARALLON CAP MGMT	040	QCOM	B	51,000	56.46	n/a	n/a	1,530.00	3.0
WINSLOW CAPITAL	030	QCOM	S	600	56.37	n/a	n/a	18.00	3.0
<b>LISTED ERR</b>	<b>099</b>	<b>QCOM</b>	<b>B</b>	<b>5,000</b>	<b>56.54</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>QCOM</b>	<b>S</b>	<b>5,000</b>	<b>56.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SONTERRA CAP	041	RKT	S	32,000	50.15	n/a	26-Apr	1,280.00	4.0
<b>f</b> PATRICK O'GRADY	<b>FID</b>	<b>ROIAX</b>	<b>S</b>	<b>1400</b>	<b>0.96</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> EDWARD W WHEELER	<b>FID</b>	<b>R</b>	<b>S</b>	<b>3000</b>	<b>41.66</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WINSLOW CAPITAL	030	SBUX	S	300	51.90	n/a	5-Jun	9.00	3.0
<b>B</b> BUCK CAPITAL MGMT		<b>SCSS</b>	<b>B</b>	<b>20,000</b>	<b>25.06</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
WINSLOW CAPITAL	030	SHPGY	S	200	84.05	n/a	4-Jun	6.00	3.0
<b>f</b> MANNY I KORMAN	<b>FID</b>	<b>SIJ</b>	<b>S</b>	<b>5000</b>	<b>39.37</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
OMEGA ADVISORS	041	SLM	B	210,000	14.06	n/a	30-May	8,400.00	4.0
MATRIX ASSET ADV.	091	STJ	S	1,000	38.30	n/a	n/a	40.00	4.0
FARALLON CAP MGMT	040	SWY	B	100,000	18.58	n/a	n/a	3,982.00	3.5
<b>B</b> BUCK CAPITAL MGMT		<b>SYX</b>	<b>SS</b>	<b>100,000</b>	<b>27.68</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>



Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		TDG	SS	5,000	120.87	n/a	n/a	non-brg	4.0
f MARC PAUL LUCHANSKY	FID	TPINX	S	62	12.35	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		TPX	B	12,000	41.84	n/a	n/a	non-brg	4.0
NEUBERGER BERMAN	036	TRMB	S	47,000	46.13	n/a	n/a	1,880.00	4.0
f MANNY I KORMAN	FID	TZA	S	10000	23.11	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	UNH	S	500	55.68	n/a	n/a	15.00	3.0
WINSLOW CAPITAL	030	UNP	S	300	106.08	n/a	n/a	9.00	3.0
f STEFFANIE CARMELA CA	FID	UQM	S	5500	0.89	n/a	n/a	0.00	0.0
WINSLOW CAPITAL	030	UTX	S	200	70.94	n/a	n/a	6.00	3.0
B BUCK CAPITAL MGMT		VFC	B	10,000	137.90	n/a	27-Apr	non-brg	4.0
WINSLOW CAPITAL	030	VRSN	S	200	37.88	n/a	n/a	6.00	3.0
WINSLOW CAPITAL	030	V	S	300	113.73	n/a	30-May	9.00	3.0
BALLAST CAP	040	WY	B	6,600	19.34	n/a	4-May	330.00	5.0
FORTRESS INVESTMENT (US)	036	XLB	B	80,000	33.41	n/a	n/a	1,600.00	2.0
WINSLOW CAPITAL	030	YUM	S	200	64.29	n/a	20-Apr	6.00	3.0

Account		RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f	PATRICK O'GRADY	FID	ZQK	B	600	2.44	n/a	10-May	0.00	0.0
TOTAL (Trade Date):									59,511.88	

**Cancel/Corrects and As-Of Trades**

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	06/04	PALESTRA	040	HBAN	SS	75,000	5.93	n/a	n/a	3750.00 5.0
AO,CXL	06/04	PALESTRA	040	HBAN	SS	75,000	5.93	n/a	n/a	2250.00 3.0

---

<b>TOTAL (AO, CXL, CRT) :</b>	<b>1,500.00</b>
-------------------------------	-----------------

---

---

TOTAL (Trade Date) :	59,511.88
TOTAL (AO, CXL, CRT) :	1,500.00

---

<b>TOTAL (RUN DATE) / NFS:</b>	<b>61,011.88</b>
--------------------------------	------------------

---

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CRT	06/04	BUCK CAPITAL MGMT	1023 HK	B	42,000	0.40	n/a	n/a	33.62	0.1

MRI Securities with Trade Activity on 5-Jun.

DG

MRI Securities without Trade Activity on 5-Jun.

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)**