



# Daily Compliance Activity Report

Trade Date: 05/24/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f</b> JOHN FRANCIS MCERLEA	<b>FID</b>	<b>AAPL</b>	<b>S</b>	<b>5</b>	<b>13.67</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> ANTHONY SUTERA	<b>FID</b>	<b>ADHD</b>	<b>B</b>	<b>1000</b>	<b>7.25</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>ANF</b>	<b>B</b>	<b>20,000</b>	<b>48.96</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>ANN</b>	<b>C</b>	<b>32,500</b>	<b>30.37</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> ANTHONY SUTERA	<b>FID</b>	<b>AREX</b>	<b>B</b>	<b>1000</b>	<b>25.70</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CRAMER ROSENTHAL	070	ASH	S	38,450	87.87	n/a	n/a	1,538.00	0.0
HERRING CREEK CAPITAL MGMT LLC040		ASNA	S	50,000	19.88	n/a	n/a	1,500.00	0.0
NOMURA/ANGEL LANE PRINCIPAL040		ATI	SS	10,000	28.39	n/a	14-May	300.00	0.0
ARDSLEY PARTNERS	044	AXL	B	25,000	16.67	n/a	23-May	1,250.00	0.0
IMPALA ASSET MMT	040	AXP	S	30,000	74.61	n/a	23-May	1,500.00	0.0
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>BAX</b>	<b>B</b>	<b>500</b>	<b>71.73</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
IMPALA ASSET MMT	040	BG	SS	71,000	70.62	n/a	n/a	3,550.00	0.0
ADAGE CAPITAL MGMT	030	BKE	B	58,658	54.00	n/a	n/a	1,759.74	0.0
<b>f</b> EDWARD W WHEELER	<b>FID</b>	<b>BRSS</b>	<b>B</b>	<b>10000</b>	<b>13.12</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.	
RIVERPARK CAPITAL	025	BX	S	18,436	22.63	n/a	n/a	921.80	0.0
IMPALA ASSET MMT	040	CNW	S	20,000	37.72	n/a	n/a	800.00	0.0
IMPALA ASSET MMT	040	CSX	S	20,000	25.19	n/a	n/a	1,000.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>DECK</b>	<b>B</b>	<b>10,000</b>	<b>52.73</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
COOPER CREEK PART	028	DOLE	S	25,000	11.00	n/a	n/a	1,000.00	0.0
BRANDWINE	028	EWBC	B	29,900	25.69	n/a	n/a	1,196.00	0.0
<b>f SERGEI BARANOVSKY</b>	<b>FID</b>	<b>FB</b>	<b>B</b>	<b>17</b>	<b>0.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>FL</b>	<b>B</b>	<b>25,000</b>	<b>32.99</b>	<b>n/a</b>	<b>24-May</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>FL</b>	<b>B</b>	<b>25,000</b>	<b>33.00</b>	<b>n/a</b>	<b>24-May</b>	<b>non-brg</b>	<b>4.0</b>
FARBER	085	FL	B	23,000	33.46	n/a	24-May	920.00	0.0
<b>f ANGELO CHRISTOS EFST</b>	<b>FID</b>	<b>GDOT</b>	<b>B</b>	<b>100</b>	<b>18.19</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f ANGELOS EFSTATHIOU</b>	<b>FID</b>	<b>GDOT</b>	<b>B</b>	<b>300</b>	<b>18.16</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f HARALAMBOS EFSTATHI</b>	<b>FID</b>	<b>GDOT</b>	<b>B</b>	<b>500</b>	<b>18.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
STRONG/MARK GRONET	030	GDXJ	B	25,400	11.14	n/a	n/a	1,016.00	0.0
<b>f SERGEI BARANOVSKY</b>	<b>FID</b>	<b>GE</b>	<b>B</b>	<b>100</b>	<b>0.06</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ADAGE CAPITAL MGMT	030	GME	B	200,000	35.17	n/a	n/a	6,000.00	0.0
CR INTRINSIC/CHRIS C	041	GM	B	10,000	32.85	n/a	23-May	300.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>f JOHN MICHAEL ZOLIDIS</b>	<b>FID</b>	<b>GREK</b>	<b>B</b>	<b>500</b>	<b>19.15</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SCOPUS FUND	041	GRPN	B	40,000	7.19	n/a	n/a	1,600.00	0.0
ARDSLEY PARTNERS	044	HASI	B	25,000	11.89	n/a	n/a	1,250.00	0.0
CAPITAL RESEARCH GROUP		296 HD		S	100,000	79.14	n/a	n/a	3,500.00 0.0
<b>B BUCK CAPITAL MGMT</b>		<b>HMB SS</b>	<b>SS</b>	<b>50,000</b>	<b>35.21</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.0</b>
KEY ASSET MGMT/VICTORY	220	HON	S	84,580	78.99	n/a	19-Apr	3,383.20	0.0
<b>f SERGEI BARANOVSKY</b>	<b>FID</b>	<b>HPQ</b>	<b>B</b>	<b>50</b>	<b>0.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FARBER	085	IEV	S	3,400	41.96	n/a	n/a	136.00	0.0
<b>f SERGEI BARANOVSKY</b>	<b>FID</b>	<b>INTC</b>	<b>B</b>	<b>30</b>	<b>0.13</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JBLU</b>	<b>B</b>	<b>60,000</b>	<b>6.36</b>	<b>n/a</b>	<b>20-May</b>	<b>non-brg</b>	<b>3.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JBLU</b>	<b>B</b>	<b>63,300</b>	<b>6.37</b>	<b>n/a</b>	<b>20-May</b>	<b>non-brg</b>	<b>3.0</b>
WEISS PECK/ROBECO/BOSTON PT		040 JBLU		B	161,750	6.40	n/a	20-May	6,470.00 0.0
LOCUST WOOD CAPITAL MGMT	044	JCP	B	106,400	19.24	n/a	22-May	4,256.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>JNY</b>	<b>C</b>	<b>10,000</b>	<b>14.49</b>	<b>n/a</b>	<b>2-May</b>	<b>non-brg</b>	<b>4.0</b>
SANDLER CAPITAL	028	LAZ	B	13,439	33.00	n/a	6-May	671.95	0.0
CYRUS CAPITAL	025	LCC	SS	50,000	18.08	n/a	20-May	1,500.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SENATOR INVESTMENT GROUP	036	LPS	S	50,000	32.67	n/a	n/a	1,500.00	0.0
COOPER CREEK PART	028	LPX	SS	10,000	18.56	n/a	24-May	400.00	0.0
T. ROWE PRICE	243	LTD	S	170,200	49.74	n/a	n/a	6,808.00	0.0
<b>f MANNY I KORMAN</b>	<b>FID</b>	<b>LYV</b>	<b>B</b>	<b>10000</b>	<b>13.97</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CSFB GLOBAL PROPRIETARY	041	MWV	B	45,000	34.98	n/a	16-May	2,250.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>NCLH</b>	<b>B</b>	<b>15,000</b>	<b>32.10</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
ARDSLEY PARTNERS	044	NEM	SS	5,000	31.78	n/a	n/a	250.00	0.0
ADAGE CAPITAL MGMT	030	NWSA	B	70,000	32.99	n/a	n/a	2,100.00	0.0
GEORGE WEISS	278	OI	B	5,000	27.44	n/a	n/a	200.00	0.0
IMPALA ASSET MMT	040	PCAR	S	80,154	53.21	n/a	n/a	4,007.70	0.0
KAM ADVISORS LLC	041	PG	C	20,300	81.97	n/a	24-May	609.00	0.0
IMPALA ASSET MMT	040	PIR	S	15,000	23.86	n/a	n/a	600.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>PLCE</b>	<b>C</b>	<b>20,000</b>	<b>52.72</b>	<b>24-May</b>	<b>24-May</b>	<b>non-brg</b>	<b>4.0</b>
IMPALA ASSET MMT	040	QCOM	S	20,000	63.72	n/a	n/a	1,000.00	0.0
PRIMECAP MGMT	084	RIG	B	2,500	51.89	n/a	n/a	100.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>RLGY</b>	<b>B</b>	<b>20,000</b>	<b>51.65</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
PROVIDENCE EQUITY CAP. MKTS.040		ROIAK	B	139,000	2.34	n/a	n/a	4,170.00	0.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>SBUX</b>	<b>B</b>	<b>20</b>	<b>0.63</b>	<b>n/a</b>	<b>26-Apr</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>SBUX</b>	<b>S</b>	<b>20</b>	<b>0.35</b>	<b>n/a</b>	<b>26-Apr</b>	<b>0.00</b>	<b>0.0</b>
GUGGENHEIM GLOBAL TRADING (GGT)251		SFD	B	10,000	26.04		n/a	n/a	200.00 0.0
ACK ASSET	028	SKH	B	25,000	6.93	n/a	n/a	750.00	0.0
<b>f JOHN MICHAEL ZOLIDIS</b>	<b>FID</b>	<b>SKUL</b>	<b>B</b>	<b>2000</b>	<b>5.83</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BASSWOOD PARTNERS	267	SNV	B	98,256	2.72	n/a	n/a	2,947.68	0.0
ARDSLEY PARTNERS	044	SQM	SS	10,000	47.83	n/a	n/a	500.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>TITN</b>	<b>S</b>	<b>100,000</b>	<b>20.33</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>TITN</b>	<b>S</b>	<b>90,000</b>	<b>20.24</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
IMPALA ASSET MMT	040	TTWO	S	20,000	15.87	n/a	n/a	800.00	0.0
ADAGE CAPITAL MGMT	030	TWX	S	50,000	59.35	n/a	n/a	1,500.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>URBN</b>	<b>B</b>	<b>12,000</b>	<b>41.64</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SIGMA CAPITAL ASSOCIATES	041	URBN	B	25,000	41.86	n/a	n/a	750.00	0.0
RIDGECREST INV MGMT LLC	028	VC	S	5,000	62.35	n/a	n/a	200.00	0.0
<b>f ANTHONY SUTERA</b>	<b>FID</b>	<b>VVUS</b>	<b>B</b>	<b>1000</b>	<b>14.50</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	DAVID GEORGE BUCK	FID	VVUS	B	2530	7.82	n/a	n/a	0.00	0.0
	MERRILL ASSET/BLACKROCK	085	WAL	S	74,100	14.27	n/a	n/a	2,964.00	0.0
	ADAGE CAPITAL MGMT	030	WFM	B	70,000	104.60	n/a	n/a	2,100.00	0.0
B	BUCK CAPITAL MGMT		WMT	C	16,400	76.80	n/a	16-May	non-brg	4.0
f	JONATHAN RICHARD HAR	FID	WTSL	B	2500	4.45	n/a	n/a	0.00	0.0
	IMPALA ASSET MMT	040	WY	S	225,000	31.76	n/a	24-May	9,000.00	0.0
TOTAL (Trade Date):									93,025.07	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	05/23	FIRST NEW YORK	086	NOK	B	20,000	3.60	n/a	n/a	800.00 4.0
AO,CXL	05/23	FIRST NEW YORK	086	NOK	B	20,000	3.60	n/a	n/a	1000.00 0.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-200.00</b>
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TOTAL (Trade Date) :	93,025.07
TOTAL (AO, CXL, CRT) :	-200.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>92,825.07</b>
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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 24-May.

PLCE

MRI Securities without Trade Activity on 24-May.

ROST, RL, BONT, DLTR

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)**