



Daily Compliance Activity Report

Trade Date: 06/26/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CR INTRINIC INVESTMENT	044	AA	B	25,000	7.77	n/a	n/a	750.00	0.0
BAIRD INVESTMENT	047	ABT	S	400	35.40	n/a	n/a	20.00	0.0
VISIUM/BALY BOBBY	044	AGN	S	100,000	87.45	n/a	17-Jun	5,000.00	0.0
FORWARD MGMT	033	AMCX	S	5,000	63.81	n/a	n/a	200.00	0.0
COLUMBUS CIRCLE	036	AOL	B	5,800	35.67	n/a	n/a	232.00	0.0
B BUCK CAPITAL MGMT		BBBY	SS	14,000	70.00	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BCC	B	20,000	25.58	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		BONT	S	10,000	18.01	n/a	18-Jun	non-brg	1.0
MERRILL ASSET/BLACKROCK	085	BRKB	S	11,091	113.08	n/a	n/a	443.64	0.0
f JONATHAN RICHARD HAR	FID	CBK	B	500	5.94	n/a	n/a	0.00	0.0
MELLON/BANK OF NEW YORK	046	CCL	S	27,088	34.88	n/a	n/a	1,083.52	0.0
f KAREN LYNNE FERENZO	FID	CELG	S	150	118.58	n/a	n/a	0.00	0.0
CR INTRINSIC/CHRIS C	041	DAN	SS	25,000	17.59	n/a	19-Jun	750.00	0.0
B BUCK CAPITAL MGMT		DHI	B	25,000	20.88	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PEAK INV/OAKMONT/CYPRESS	084	FAF	S	300,000	21.37	n/a	n/a	12,000.00	0.0
B BUCK CAPITAL MGMT		FDO	SS	25,000	60.24	n/a	4-Jun	non-brg	4.0
CR INTRINIC INVESTMENT	044	FIVE	SS	25,000	35.69	n/a	13-Jun	750.00	0.0
B BUCK CAPITAL MGMT		FL	S	20,000	34.54	n/a	19-Jun	non-brg	4.0
LATEEF MGMT	033	FMER	S	300	20.13	n/a	n/a	30.00	0.0
f JOHN FRANCIS MCERLEA	FID	GLD	B	5	1.99	n/a	n/a	0.00	0.0
LONG OAR GLOBAL INV	040	GM	B	115,000	32.24	n/a	19-Jun	4,600.00	0.0
WHITE PINE CAPITAL	030	HBAN	B	35,900	7.86	n/a	n/a	1,795.00	0.0
SAGE ASSET MGMT	025	HRS	B	10,300	48.46	n/a	19-Apr	515.00	0.0
f IAN L MILLER	FID	HYG	B	5	90.87	n/a	n/a	0.00	0.0
SENATOR INVESTMENT GROUP	036	IP	B	67,469	43.48	n/a	17-Jun	2,024.07	0.0
B BUCK CAPITAL MGMT		JBLU	B	160,000	6.09	n/a	18-Jun	non-brg	3.0
S.A.C. CAPITAL	044	JCI	B	15,000	35.83	n/a	10-Jun	450.00	0.0
BALYASNY ASSET MGMT	044	JCP	B	100,000	16.07	n/a	18-Jun	5,000.00	0.0
FARBER	085	JCP	B	81,500	16.05	n/a	18-Jun	3,260.00	0.0
COUGAR TRADING	044	JNY	S	20,000	13.50	n/a	2-May	1,000.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		KEG	B	76,186	6.05	n/a	13-Jun	non-brg	3.0
NEWLAND CAPITAL MGT	025	LEA	B	5,000	58.33	n/a	19-Jun	200.00	0.0
B BUCK CAPITAL MGMT		LPX	B	35,000	14.56	n/a	19-Jun	non-brg	4.0
f IAN L MILLER	FID	LULU	B	15	63.40	n/a	19-Jun	0.00	0.0
THOMPSON SIEGAL&WALMSLEY	029	LUV	S	180,400	12.97	n/a	18-Jun	5,412.00	0.0
DISIPLINED GROWTH INV.	030	MIDD	S	800	168.18	n/a	n/a	40.00	0.0
RIDGECREST INV MGMT LLC	028	MLI	S	5,000	49.21	n/a	19-Jun	200.00	0.0
BAIRD INVESTMENT	047	MRK	B	150	46.41	n/a	n/a	7.50	0.0
MERRILL ASSET/BLACKROCK	085	MS	B	35,400	24.96	n/a	6-Jun	1,416.00	0.0
B BUCK CAPITAL MGMT		MW	C	10,400	37.79	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		MW	C	20,000	37.09	n/a	n/a	non-brg	4.0
f MANNY I KORMAN	FID	NVS	B	3000	69.50	n/a	n/a	0.00	0.0
RAINIER INV MGMT	033	OHI	B	35,000	30.71	n/a	n/a	1,400.00	0.0
BAIRD INVESTMENT	047	ORCL	S	50	29.92	n/a	n/a	2.50	0.0
CSFB GLOBAL PROPRIETARY	041	PCH	B	15,000	40.58	n/a	19-Jun	750.00	0.0
BAIRD INVESTMENT	047	PFE	B	250	28.03	n/a	n/a	12.50	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CYRUS CAPITAL	025	PGEM	B	15,000	20.08	n/a	n/a	450.00	0.0
MERRILL ASSET/BLACKROCK	085	PL	S	5,080	37.99	n/a	n/a	203.20	0.0
CRAMER ROSENTHAL	070	PVH	B	25,300	124.31	n/a	14-Jun	1,012.00	0.0
MELLON/BANK OF NEW YORK	046	PVH	B	4,236	125.58	n/a	14-Jun	169.44	0.0
B BUCK CAPITAL MGMT		RAD	B	100,000	2.75	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		SCSS	B	31,200	24.26	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SCSS	B	42,200	24.38	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		SCSS	B	600	24.09	n/a	n/a	non-brg	4.0
WEISS PECK/ROBECO/BOSTON PT		040	SCVL	SS	6,600	23.62	n/a	n/a	330.00 0.0
B BUCK CAPITAL MGMT		SHOO	S	10,000	47.14	n/a	n/a	non-brg	4.0
FORWARD MGMT	033	SPLK	S	10,000	44.32	n/a	n/a	400.00	0.0
CAPITAL RESEARCH GROUP		296	SWN	B	13,575	36.49	n/a 13-Jun	475.13	0.0
S.A.C. CAPITAL	044	TEN	B	10,000	44.40	n/a	n/a	300.00	0.0
ROBERTSON STEVENS	084	TER	B	55,000	17.09	n/a	n/a	2,200.00	0.0
DISIPLINED GROWTH INV.	030	TJX	S	3,000	49.42	n/a	18-Jun	150.00	0.0
SCOPUS FUND	041	TYC	B	25,000	32.10	n/a	26-Apr	1,000.00	0.0
SIGMA CAPITAL ASSOCIATES	041	URBN	B	25,000	39.11	n/a	n/a	750.00	0.0

TOTAL (Trade Date):

56,783.50

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CRT	06/24	BESSEMER INVESTMENT	085	LOW	S	814	39.42	n/a	n/a	32.56	0.0
AO,CXL	06/24	BESSEMER INVESTMENT	085	LOW	S	814	39.42	n/a	n/a	20.56	0.0
AO,	06/25	BNP PARIBAS SEC	040	XLFF	S	50,000	19.07	n/a	n/a	1500.00	0.0
AO,CXL	06/25	BNP PARIBAS SEC	040	XLFF	S	50,000	19.07	n/a	n/a	1500.00	0.0
TOTAL (AO, CXL, CRT) :										12.00	

TOTAL (Trade Date) :	56,783.50
TOTAL (AO, CXL, CRT) :	12.00

TOTAL (RUN DATE) / NFS :	56,795.50
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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 26-Jun.
NONE

MRI Securities without Trade Activity on 26-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)