



Daily Compliance Activity Report

Trade Date: 06/10/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f DAVID GEORGE BUCK	FID	AIG	S	20	0.33	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ANF	S	20,000	51.15	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ANF	S	20,000	51.47	n/a	n/a	non-brg	4.0
COHE & STEERS	041	ARE	S	17,500	67.49	n/a	n/a	700.00	0.0
ARDSLEY PARTNERS	280	ARII	B	5,000	34.39	n/a	n/a	250.00	0.0
f DOUGLAS ROGERS	FID	BACPRD	B	442	25.08	n/a	n/a	0.00	0.0
HIGHBRIDGE CAP	041	BEAV	B	4,252	64.74	n/a	14-May	127.56	0.0
CLEARLINE CAPITAL LLC	040	BNNY	SS	10,000	41.60	n/a	n/a	300.00	0.0
f CLIFFORD A LONGLEY	FID	BRKB	B	1	115.06	n/a	n/a	0.00	0.0
HIGHBRIDGE CAP	041	CF	B	2,927	194.09	n/a	n/a	87.81	0.0
f DAVID GEORGE BUCK	FID	CVS	S	30	0.39	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		DECK	S	20,000	53.74	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DECK	S	31,400	53.43	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DG	S	265,000	50.76	n/a	4-Jun	non-brg	4.0
B BUCK CAPITAL MGMT		DG	S	75,000	50.53	n/a	4-Jun	non-brg	4.0
COHE & STEERS	041	DLR	S	40,065	61.33	n/a	n/a	1,602.60	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	DOW	SS	14,787	34.40	n/a	n/a	443.61	0.0
MERRILL ASSET/BLACKROCK	085	EV	S	34,600	40.64	n/a	n/a	1,384.00	0.0
⌘ BUCK CAPITAL MGMT		EXPR	S	20,000	21.80	n/a	n/a	non-brg	4.0
CENTURION PARTNERS	041	FB	B	30,000	24.37	n/a	n/a	1,200.00	0.0
⌘ BUCK CAPITAL MGMT		FINL	S	90,000	21.33	n/a	5-Jun	non-brg	4.0
⌘ BUCK CAPITAL MGMT		FL	S	60,000	35.24	n/a	5-Jun	non-brg	4.0
MACELLUM CAPITAL	086	FL	SS	45,000	35.22	n/a	5-Jun	1,350.00	0.0
⌘ BUCK CAPITAL MGMT		FRAN	B	18,600	26.87	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		FRAN	B	20,000	26.85	n/a	n/a	non-brg	4.0
BTG PACTUAL	040	F	SS	25,000	15.70	n/a	10-Jun	750.00	0.0
COLUMBUS CIRCLE	036	GIII	B	3,914	49.48	n/a	n/a	156.56	0.0
CYRUS CAPITAL	025	GM	B	12,000	34.59	n/a	10-Jun	360.00	0.0
LAKEWOOD CAPITAL MGMT	085	GORO	C	15,000	9.71	n/a	n/a	450.00	0.0
CSFB GLOBAL PROPRIETARY	041	GPK	SS	30,000	7.62	n/a	n/a	1,500.00	0.0
CLEARLINE CAPITAL LLC	040	HNT	B	4,461	31.14	n/a	n/a	133.83	0.0
COHE & STEERS	041	HOT	S	11,900	68.81	n/a	13-Jun	476.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FORTRESS INVESTMENT (US)	036	IWM	SS	61,000	98.61	n/a	n/a	1,830.00	0.0
WELLSPRING CAPITAL	093	JBLU	B	30,000	6.40	n/a	10-Jun	1,200.00	0.0
ARDSLEY PARTNERS	280	JCI	B	25,000	37.77	10-Jun	10-Jun	1,250.00	0.0
SCOPUS FUND	041	LAD	B	10,000	55.73	n/a	n/a	400.00	0.0
ROYCE TRADING	031	LAZ	B	8,700	33.96	n/a	6-May	435.00	0.0
WELLSPRING CAPITAL	093	LCC	B	20,000	17.23	n/a	10-Jun	800.00	0.0
f DOUGLAS ROGERS	FID	LGND	B	2500	31.98	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	LNKD	S	10	0.89	n/a	n/a	0.00	0.0
CSFB GLOBAL PROPRIETARY	041	LPX	S	15,000	16.82	n/a	7-Jun	750.00	0.0
B BUCK CAPITAL MGMT		LTD	S	20,000	50.53	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		LULU	C	40,500	74.84	10-Jun	10-Jun	non-brg	1.0
HIGHBRIDGE CAP	041	LYB	B	2,310	64.99	n/a	n/a	69.30	0.0
TUDOR INVESTORS	028	MAS	S	20,000	20.29	n/a	n/a	6.00	0.0
SIGMA CAPITAL ASSOCIATES	041	MCD	SS	25,000	99.52	n/a	10-Jun	750.00	0.0
B BUCK CAPITAL MGMT		MTOR	S	10,400	7.11	n/a	n/a	non-brg	1.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
B	BUCK CAPITAL MGMT		MTOR	S	62,500	7.11	n/a	n/a	non-brg 3.0
f	YANAI A FRANK	FID	MXIM	B	550	27.69	n/a	n/a	0.00 0.0
	FIRST NEW YORK	086	NOK	B	20,000	3.58	n/a	n/a	1,000.00 0.0
	COHE & STEERS	041	O	S	4,800	44.49	n/a	n/a	192.00 0.0
	TUDOR INVESTORS	028	PH	SS	5,000	98.46	n/a	n/a	1.50 0.0
B	BUCK CAPITAL MGMT		PSMT	SS	11,000	89.15	n/a	n/a	non-brg 4.0
f	ALICE BEEBE LONGLEY	FID	PTTDX	S	8122	10.97	n/a	n/a	0.00 0.0
B	BUCK CAPITAL MGMT		RAD	B	500,000	3.12	n/a	n/a	non-brg 1.0
	CSFB GLOBAL PROPRIETARY	041	RKT	B	8,000	101.37	n/a	5-Jun	400.00 0.0
B	BUCK CAPITAL MGMT		SCSS	B	11,000	22.24	n/a	n/a	non-brg 4.0
B	BUCK CAPITAL MGMT		SCSS	B	60,000	22.76	n/a	n/a	non-brg 4.0
B	BUCK CAPITAL MGMT		SLXP	C	10,000	62.29	n/a	10-Jun	non-brg 4.0
f	CLIFFORD A LONGLEY	FID	SPY	B	1	164.81	n/a	n/a	0.00 0.0
B	BUCK CAPITAL MGMT		SSI	B	21,400	23.42	n/a	21-May	non-brg 4.0
	HALCYON LLC	041	S	S	250,000	7.21	n/a	n/a	5,000.00 0.0
	ARDSLEY PARTNERS	280	TRN	B	15,000	40.11	n/a	n/a	750.00 0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f CLIFFORD A LONGLEY	FID	TSLA	S	2	100.06	n/a	n/a	0.00	0.0
HIGHBRIDGE CAP	041	TXT	SS	9,524	27.00	n/a	n/a	285.72	0.0
ROYCE TRADING	041	UNT	B	22,700	45.36	n/a	7-Jun	1,135.00	0.0
TUDOR INVESTORS	028	XHB	B	15,000	30.32	n/a	n/a	4.50	0.0
CSFB GLOBAL PROPRIETARY	041	XLB	B	35,000	40.35	n/a	n/a	1,750.00	0.0
f DAVID GEORGE BUCK	FID	YUM	B	1500	72.93	n/a	10-Jun	0.00	0.0
NEWLAND CAPITAL MGT	025	ZINC	S	10,000	11.95	n/a	n/a	400.00	0.0
TOTAL (Trade Date) :								29,680.99	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	06/06	VISIUM/BALY BOBBY	044	AA	SS	29,880	8.24	n/a	n/a	1195.20 0.0
AO,CXL	06/06	VISIUM/BALY BOBBY	044	AA	SS	29,880	8.24	n/a	n/a	1195.20 0.0
AO,CXL	06/06	VISIUM/BALY BOBBY	044	ANR	SS	29,880	6.67	n/a	n/a	1195.20 0.0
AO,CRT	06/06	VISIUM/BALY BOBBY	044	ANR	SS	29,880	6.67	n/a	n/a	1195.20 0.0
AO,CRT	06/06	PROVIDENCE EQUITY CAP. MKTS.	040	FSL	S	29,882	15.53	n/a	n/a	896.46 0.0
AO,CXL	06/06	PROVIDENCE EQUITY CAP. MKTS.	040	FSL	S	29,882	15.53	n/a	n/a	597.64 0.0

TOTAL (AO, CXL, CRT) :**298.82**

TOTAL (Trade Date) :**29,680.99****TOTAL (AO, CXL, CRT) :****298.82**

TOTAL (RUN DATE) / NFS:**29,979.81**

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-Jun.

JCI, LULU

MRI Securities without Trade Activity on 10-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)