



# Daily Compliance Activity Report

Trade Date: 06/19/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>AAPL</b>	<b>S</b>	<b>5</b>	<b>0.90</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
HIGHBRIDGE CAP	041	AA	SS	30,600	8.17	n/a	n/a	612.00	0.0
PATTEN & PATTEN	025	AGG	S	300	108.69	n/a	n/a	15.00	0.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>AIG</b>	<b>S</b>	<b>20</b>	<b>0.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>AMZN</b>	<b>S</b>	<b>10</b>	<b>1.39</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ANF</b>	<b>S</b>	<b>30,000</b>	<b>48.37</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
PATTEN & PATTEN	025	APA	B	50	87.43	n/a	13-Jun	2.50	0.0
SCOPUS FUND	041	AXL	S	75,000	18.42	n/a	19-Jun	3,000.00	0.0
CR INTRINIC INVESTMENT	044	BA	S	10,000	102.44	n/a	11-Jun	300.00	0.0
PATTEN & PATTEN	025	BA	B	1,000	103.34	n/a	11-Jun	50.00	0.0
PATTEN & PATTEN	025	BDBD	B	5,000	12.21	n/a	n/a	250.00	0.0
HIGHBRIDGE CAP	041	BEAV	B	3,787	65.75	n/a	11-Jun	113.61	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>BLUE</b>	<b>S</b>	<b>1,000</b>	<b>26.05</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BONT</b>	<b>S</b>	<b>30,000</b>	<b>20.91</b>	<b>n/a</b>	<b>18-Jun</b>	<b>non-brg</b>	<b>0.8</b>
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>BRSS</b>	<b>B</b>	<b>10000</b>	<b>13.43</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.	
MILLRACE FUND LP	028	BWA	B	7,013	86.59	n/a	19-Jun	280.52	0.0
SAGE ASSET MGMT	025	BZ	S	25,932	8.57	n/a	n/a	1,296.60	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>CCL</b>	<b>SS</b>	<b>100,000</b>	<b>33.88</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
WADDELL AND REED	047	COV	S	124,360	64.20	n/a	n/a	4,974.40	0.0
KEYGROUP/KGLT	040	CRZO	B	25,000	29.33	n/a	n/a	1,000.00	0.0
NORTHWESTERN MUTUAL LIFE	047	CTRX	B	40,900	52.88	n/a	n/a	1,636.00	0.0
<b>Õ Jack Chernus</b>		<b>DAL</b>	<b>B</b>	<b>300</b>	<b>18.72</b>	<b>n/a</b>	<b>18-Jun</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ Jack Chernus</b>		<b>DAL</b>	<b>B</b>	<b>500</b>	<b>18.72</b>	<b>n/a</b>	<b>18-Jun</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ Jack Chernus</b>		<b>DAL</b>	<b>B</b>	<b>500</b>	<b>18.74</b>	<b>n/a</b>	<b>18-Jun</b>	<b>0.00</b>	<b>0.0</b>
<b>Õ Jack Chernus</b>		<b>DAL</b>	<b>B</b>	<b>700</b>	<b>18.73</b>	<b>n/a</b>	<b>18-Jun</b>	<b>0.00</b>	<b>0.0</b>
CR INTRINIC INVESTMENT	044	DE	B	5,000	85.29	n/a	11-Jul	150.00	0.0
KAM ADVISORS LLC	041	DIS	S	100,000	65.16	n/a	n/a	3,000.00	0.0
HERRING CREEK CAPITAL MGMT LLC	040	ECHO	S	15,600	18.37	n/a	n/a	468.00	0.0
<b>f KATHERINE L O'GORMAN</b>	<b>FID</b>	<b>EH1</b>	<b>S</b>	<b>388</b>	<b>12.52</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
HIGHBRIDGE CAP	041	EMN	B	4,129	72.93	n/a	n/a	123.87	0.0
PATTEN & PATTEN	025	EWZ	S	500	46.83	n/a	n/a	25.00	0.0
HIGHBRIDGE CAP	041	EXPD	SS	6,433	38.77	n/a	n/a	192.99	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
DELTEC ASSET MGMT.	040	FDX	S	8,500	101.91	n/a	n/a	425.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>FL</b>	<b>S</b>	<b>60,000</b>	<b>35.64</b>	<b>n/a</b>	<b>19-Jun</b>	<b>non-brg</b>	<b>4.0</b>
LEVIN CAPITAL STRATEGIES	041	F	SS	25,000	15.40	n/a	19-Jun	750.00	0.0
SCOPUS FUND	041	F	SS	100,000	15.39	n/a	19-Jun	4,000.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>GIII</b>	<b>S</b>	<b>10,000</b>	<b>48.87</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
SCOPUS FUND	041	GPS	B	21,340	42.02	n/a	n/a	853.60	0.0
HARVEST MGMT (JMP)	029	HBI	B	10,000	52.73	n/a	3-May	500.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>HMB SS</b>	<b>C</b>	<b>40,000</b>	<b>35.58</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
NORTHWESTERN MUTUAL LIFE	047	IDXX	B	23,900	89.87	n/a	n/a	956.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>JBLU</b>	<b>B</b>	<b>80,000</b>	<b>6.25</b>	<b>n/a</b>	<b>18-Jun</b>	<b>non-brg</b>	<b>3.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>JPM</b>	<b>S</b>	<b>15</b>	<b>0.28</b>	<b>n/a</b>	<b>17-Jun</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	025	JPM	S	300	53.83	n/a	17-Jun	15.00	0.0
PATTEN & PATTEN	025	KRFT	B	500	56.35	n/a	n/a	25.00	0.0
PRIMECAP MGMT	084	LLY	B	1,500	52.03	n/a	n/a	60.00	0.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	30,000	16.56	n/a	19-Jun	1,500.00	0.0
HIGHBRIDGE CAP	041	LYB	B	4,341	69.08	n/a	n/a	130.23	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
EVERGREEN	047	MSFT	B	249,210	34.95	n/a	n/a	9,968.40	0.0
NORTHWESTERN MUTUAL LIFE	047	MTD	B	7,197	214.72	n/a	n/a	287.88	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>MTOR</b>	<b>S</b>	<b>8,000</b>	<b>7.23</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MW</b>	<b>C</b>	<b>30,000</b>	<b>36.17</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
PATTEN & PATTEN	025	NKE	B	50	62.20	n/a	19-Jun	2.50	0.0
LEVIN CAPITAL STRATEGIES	041	NWSA	B	57,300	31.97	n/a	n/a	1,719.00	0.0
PRIMECAP MGMT	084	PEG	S	12,000	33.17	n/a	n/a	480.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>PFE</b>	<b>B</b>	<b>35,000</b>	<b>29.13</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PVH</b>	<b>S</b>	<b>20,000</b>	<b>126.04</b>	<b>n/a</b>	<b>14-Jun</b>	<b>non-brg</b>	<b>4.0</b>
CRAMER ROSENTHAL	070	PVH	B	5,800	126.56	n/a	14-Jun	232.00	0.0
PATTEN & PATTEN	025	QCOM	B	350	62.51	n/a	n/a	17.50	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>RDN</b>	<b>S</b>	<b>80,000</b>	<b>12.75</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
PAULSON & CO INC	041	RFP	S	32,345	13.94	n/a	n/a	1,293.80	0.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>SBUX</b>	<b>S</b>	<b>15</b>	<b>0.83</b>	<b>n/a</b>	<b>17-Jun</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SHOO</b>	<b>S</b>	<b>20,000</b>	<b>48.19</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f BRIAN P CLIFFORD</b>	<b>FID</b>	<b>SLXP</b>	<b>S</b>	<b>500</b>	<b>66.67</b>	<b>n/a</b>	<b>17-Jun</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVIN CAPITAL STRATEGIES	041	SPY	SS	10,889	165.39	n/a	n/a	326.67	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>SSI</b>	<b>B</b>	<b>20,000</b>	<b>22.68</b>	<b>n/a</b>	<b>18-Jun</b>	<b>non-brg</b>	<b>4.0</b>
PATTEN & PATTEN	025	SWN	S	200	38.12	n/a	13-Jun	10.00	0.0
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>TBF</b>	<b>B</b>	<b>10</b>	<b>0.48</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	025	TLT	S	50	113.29	n/a	n/a	2.50	0.0
WILLIAMS TRADING/BLEUE MTN	087	TRBAA	SS	50,000	57.75	n/a	n/a	1,500.00	0.0
HIGHBRIDGE CAP	041	TXT	SS	18,376	27.11	n/a	n/a	551.28	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>URBN</b>	<b>B</b>	<b>10,000</b>	<b>39.99</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
PATTEN & PATTEN	025	VCSH	B	125	79.78	n/a	n/a	6.25	0.0
PATTEN & PATTEN	025	VEU	B	295	46.69	n/a	n/a	14.75	0.0
PATTEN & PATTEN	025	VO	B	850	97.31	n/a	n/a	42.50	0.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>V</b>	<b>S</b>	<b>10</b>	<b>0.93</b>	<b>n/a</b>	<b>11-Jun</b>	<b>0.00</b>	<b>0.0</b>
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>WCRX</b>	<b>B</b>	<b>5000</b>	<b>19.62</b>	<b>n/a</b>	<b>19-Jun</b>	<b>0.00</b>	<b>0.0</b>
CSFB GLOBAL PROPRIETARY	041	WY	B	350,000	28.12	n/a	19-Jun	17,500.00	0.0
KOLVEN CAPITAL	025	XLF	B	1,400	19.75	n/a	n/a	42.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HERRING CREEK CAPITAL MGMT LLC	040	XPO	B	15,000	17.14	n/a	n/a	450.00	0.0
SONICA CAPITAL LLC	025	ZQK	B	100,000	6.51	n/a	10-May	3,000.00	0.0
<b>TOTAL (Trade Date):</b>								<b>64,152.35</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	06/17	COLUMBUS CIRCLE	036	DLX	S	4,911	34.82	n/a	n/a	196.44 0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>196.44</b>

TOTAL (Trade Date) :	64,152.35
TOTAL (AO, CXL, CRT) :	196.44
<b>TOTAL (RUN DATE) / NFS :</b>	<b>64,348.79</b>

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO	06/18	BUCK CAPITAL MGMT	BLUE	B	1,000	17.00	n/a	n/a	0.00	0.0

MRI Securities with Trade Activity on 19-Jun.  
NONE

MRI Securities without Trade Activity on 19-Jun.  
IR

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)**