



Daily Compliance Activity Report

Trade Date: 06/14/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LAGRANGE CAP ADV	087	ABX	B	10,000	19.74	n/a	n/a	500.00	0.0
f EDWARD W WHEELER	FID	ADT	B	10000	39.24	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	AEP	B	3000	46.16	n/a	n/a	0.00	0.0
BROADARCH CAP/OLD NEWC	006	AGU	B	2,000	89.56	n/a	n/a	80.00	0.0
BROADARCH CAP/OLD NEWC	006	AGU	SS	1,500	88.91	n/a	n/a	60.00	0.0
B BUCK CAPITAL MGMT		ANF	S	20,000	48.94	n/a	n/a	non-brg	4.0
BROADARCH CAP/OLD NEWC	006	AVGO	B	2,000	37.43	n/a	n/a	80.00	0.0
FARALLON CAP MGMT	040	AXP	S	50,000	72.98	n/a	14-Jun	2,000.00	0.0
f DAVID GEORGE BUCK	FID	BAM	B	2000	35.53	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	BAM	B	300	35.61	n/a	n/a	0.00	0.0
SUFFOLK CAPITAL MGMT	040	BOBE	B	9,000	47.61	n/a	n/a	360.00	0.0
B BUCK CAPITAL MGMT		BONT	S	50,000	20.57	n/a	24-May	non-brg	4.0
COOPER CREEK PART	028	BONT	S	487	21.28	n/a	24-May	0.00	0.0
TIEDEMANN/TIG ADVISORS LLC006		BRP	S	11,000	22.68	n/a	n/a	330.00	0.0
f DAVID GEORGE BUCK	FID	CAH	B	1000	47.75	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	CAH	B	300	47.75	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MATTHEW FRANCIS BUCK	FID	CAH	S	200	47.93	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		CAR	S	40,000	30.92	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CAR	S	60,000	30.87	n/a	n/a	non-brg	4.0
MERRILL ASSET/BLACKROCK	085	COF	S	5,344	61.94	n/a	14-Jun	213.76	0.0
LATEEF MGMT	033	CTB	S	550	33.55	n/a	n/a	55.00	0.0
BROADARCH CAP/OLD NEWC	006	CTRX	B	1,000	54.03	n/a	n/a	40.00	0.0
f MATTHEW FRANCIS BUCK	FID	CVS	S	301	59.40	n/a	n/a	0.00	0.0
FORTRESS INVESTMENT (US)	036	CX	SS	190,000	10.47	n/a	n/a	3,800.00	0.0
BROADARCH CAP/OLD NEWC	006	CYT	B	500	75.00	n/a	n/a	20.00	0.0
BROADARCH CAP/OLD NEWC	006	DD	B	1,500	53.65	n/a	n/a	60.00	0.0
SENATOR INVESTMENT GROUP	036	DD	B	125,000	52.70	n/a	n/a	3,750.00	0.0
TIDE POINT CAPITAL	028	DLPH	B	20,000	51.04	n/a	n/a	600.00	0.0
BROADARCH CAP/OLD NEWC	006	DOW	B	5,000	34.44	n/a	n/a	200.00	0.0
f MANNY I KORMAN	FID	DUK	B	3000	68.04	n/a	n/a	0.00	0.0
BROADARCH CAP/OLD NEWC	006	EBAY	S	1,000	51.24	n/a	n/a	40.00	0.0
SCOGGIN LLC	041	ELN	B	12,232	13.66	n/a	n/a	611.60	0.0
BROADARCH CAP/OLD NEWC	006	EMN	B	1,500	71.34	n/a	n/a	60.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
COHE & STEERS	041	EQR	S	16,986	56.42	n/a	n/a	679.44	0.0
SUFFOLK CAPITAL MGMT	040	EXXI	B	11,100	24.84	n/a	n/a	444.00	0.0
SUFFOLK CAPITAL MGMT	040	FB	B	37,400	23.36	n/a	n/a	1,496.00	0.0
f DAVID GEORGE BUCK	FID	FFRHX	S	5033	9.95	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FL	S	50,000	34.92	n/a	12-Jun	non-brg	4.0
f DANIEL R SCHWARZWALD	FID	FSEVX	B	147	46.14	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FWM	S	30,000	23.43	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		FWM	S	51,230	23.61	n/a	n/a	non-brg	4.0
TIEDEMANN/TIG ADVISORS LLC006	F		SS	40,200	15.36	n/a	13-Jun	1,206.00	0.0
NORTHWESTERN MUTUAL LIFE	047	GHL	B	16,421	47.33	n/a	n/a	656.84	0.0
PROSPECTOR PARTNERS LLC	036	GLW	B	10,000	14.98	n/a	n/a	400.00	0.0
TIDE POINT CAPITAL	028	GM	S	35,000	34.19	n/a	13-Jun	1,050.00	0.0
BROADARCH CAP/OLD NEWC	006	GOOG	B	200	883.80	n/a	n/a	8.00	0.0
BROADARCH CAP/OLD NEWC	006	GPS	B	1,730	41.56	n/a	n/a	69.20	0.0
BROADARCH CAP/OLD NEWC	006	GRPN	S	5,000	7.75	n/a	n/a	200.00	0.0
LAKEWOOD CAPITAL MGMT	085	HES	S	10,000	66.76	n/a	n/a	300.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
B	BUCK CAPITAL MGMT		HTZ	S	60,000	24.51	n/a	n/a	non-brg	4.0	
B	BUCK CAPITAL MGMT		HTZ	S	80,000	24.47	n/a	n/a	non-brg	4.0	
f	DAVID GEORGE BUCK	FID	JCP	S	30	1.99	n/a	12-Jun	0.00	0.0	
	SIGMA CAPITAL ASSOCIATES	041	JCP	SS	50,000	17.87	n/a	12-Jun	1,500.00	0.0	
B	BUCK CAPITAL MGMT		JWN	B	20,000	59.02	n/a	28-May	non-brg	4.0	
f	EDWARD W WHEELER	FID	KMT	B	5000	39.85	n/a	n/a	0.00	0.0	
	SCOPUS FUND	041	KSS	B	75,000	52.10	n/a	22-May	3,000.00	0.0	
	HERRING CREEK CAPITAL MGMT LLC	040	LGF	C	13,000	27.67	n/a	n/a	390.00	0.0	
	COOPER CREEK PART	028	LPX	SS	10,000	16.92	n/a	14-Jun	0.00	0.0	
	BROADARCH CAP/OLD NEWC	006	LULU	B	1,500	66.07	n/a	13-Jun	60.00	0.0	
	RIVERLOFT CAPITAL	044	LYB	S	12,500	67.49	n/a	n/a	375.00	0.0	
	BROADARCH CAP/OLD NEWC	006	MAS	B	1,500	20.97	n/a	n/a	60.00	0.0	
	BROADARCH CAP/OLD NEWC	006	MCK	B	1,000	114.65	n/a	n/a	40.00	0.0	
	BROADARCH CAP/OLD NEWC	006	MON	SS	500	105.24	n/a	n/a	20.00	0.0	
	CAPITAL RESEARCH GROUP		296 MSFT	B	124,200	34.40		n/a	n/a	4,347.00	0.0
	CAPITAL WORLD	084	MSFT	B	375,800	34.40	n/a	n/a	13,153.00	0.0	
B	BUCK CAPITAL MGMT		MTOR	S	15,800	7.25	n/a	n/a	non-brg	3.0	

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß	BUCK CAPITAL MGMT		MTOR	S	25,000	7.26	n/a	n/a	non-brg	0.8
ß	BUCK CAPITAL MGMT		MTOR	S	25,000	7.27	n/a	n/a	non-brg	3.0
	NORTHWESTERN MUTUAL LIFE	047	NXTM	B	25,000	13.93	n/a	n/a	1,000.00	0.0
	SANDLER O'NEILL ASSET	031	PBCT	SS	12,832	13.81	n/a	18-Apr	641.60	0.0
	CSFB GLOBAL PROPRIETARY	041	PCH	B	35,000	42.66	n/a	14-Jun	1,750.00	0.0
	CSFB GLOBAL PROPRIETARY	041	PCL	S	30,000	47.71	n/a	14-Jun	1,500.00	0.0
f	DAVID GEORGE BUCK	FID	QCOR	B	1500	46.49	n/a	n/a	0.00	0.0
f	DAVID GEORGE BUCK	FID	QCOR	B	200	46.47	n/a	n/a	0.00	0.0
f	MATTHEW FRANCIS BUCK	FID	QCOR	B	200	46.45	n/a	n/a	0.00	0.0
	BROADARCH CAP/OLD NEWC	006	RKT	B	500	104.90	n/a	14-Jun	20.00	0.0
f	EDWARD W WHEELER	FID	SCSC	B	50	0.10	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		SCSS	B	2,045	24.09	n/a	n/a	non-brg	1.0
ß	BUCK CAPITAL MGMT		SHOO	S	20,000	48.66	n/a	n/a	non-brg	4.0
f	JASON ERIC COHEN	FID	TBF	B	10	0.95	n/a	n/a	0.00	0.0
ß	BUCK CAPITAL MGMT		TEVA	S	101,900	39.05	n/a	12-Jun	non-brg	4.0
	SENATOR INVESTMENT GROUP	036	TLM	B	215,000	11.55	n/a	n/a	6,450.00	0.0
	BROADARCH CAP/OLD NEWC	006	TWX	B	1,000	57.86	n/a	n/a	40.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BROADARCH CAP/OLD NEWC	006	VZ	B	1,000	51.23	n/a	n/a	40.00	0.0
HERRING CREEK CAPITAL MGMT LLC040	WGO		B	10,500	21.14	n/a	n/a	315.00	0.0
SUFFOLK CAPITAL MGMT	040	WG	B	30,000	6.82	n/a	n/a	900.00	0.0
COOPER CREEK PART	028	WY	S	10,000	28.39	n/a	14-Jun	0.00	0.0
LAKEWOOD CAPITAL MGMT	085	XL	S	15,000	31.25	n/a	n/a	450.00	0.0
BROADARCH CAP/OLD NEWC	006	ZTS	B	1,000	31.15	n/a	n/a	40.00	0.0
TOTAL (Trade Date) :								55,461.44	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	06/13	JET CAPITAL/CHRIS	041	COV	B	100,000	63.96	n/a	n/a	4000.00 0.0
AO,	06/13	JET CAPITAL/CHRIS	041	COV	B	100,000	63.96	n/a	n/a	3000.00 0.0
AO,CXL	06/13	BARROW HANLEY MEWHINNEY	031	M	B	5,000	48.15	n/a	12-Jun	150.00 0.0
AO,	06/13	ROVER CAPITAL PARTNERS	040	M	B	5,000	48.15	n/a	12-Jun	200.00 0.0
AO,CXL	06/13	KING STREET CAPITAL	086	MGM	S	50,000	14.84	n/a	13-Jun	2000.00 0.0
AO,	06/13	KING STREET CAPITAL	086	MGM	S	50,000	14.84	n/a	13-Jun	2000.00 0.0

TOTAL (AO, CXL, CRT) :**-950.00**

TOTAL (Trade Date) :

55,461.44

TOTAL (AO, CXL, CRT) :

-950.00

TOTAL (RUN DATE) / NFS:**54,511.44**

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
CXL	06/13	BUCK CAPITAL MGMT.	BONT	S	50,000	21.97	n/a 24-May	1250.00
CRT	06/13	BUCK CAPITAL MGMT	BONT	S	50,000	20.97	n/a 24-May	1250.00 2.5

MRI Securities with Trade Activity on 14-Jun.
NONE

MRI Securities without Trade Activity on 14-Jun.
PVH

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)