



# Daily Compliance Activity Report

Trade Date: 05/06/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>ACW</b>	<b>S</b>	<b>1000</b>	<b>5.45</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ADAGE CAPITAL MGMT	030	AEO	B	150,000	19.05	n/a	2-Dec	4,500.00	0.0
SURVEYOR CAPITAL	251	AEO	SS	52,583	19.11	n/a	2-Dec	1,577.49	0.0
NWQ INVESTMENT MGMT CO	084	AIG	S	8,075	45.68	n/a	n/a	282.63	0.0
<b>f SERGEI BARANOVSKY</b>	<b>FID</b>	<b>AMD</b>	<b>B</b>	<b>15</b>	<b>0.18</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>1.57</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f KELLY ELIZABETH CLIF</b>	<b>FID</b>	<b>ARDNX</b>	<b>B</b>	<b>39</b>	<b>10.37</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COLUMBUS CIRCLE	036	AWAY	S	2,939	29.48	n/a	n/a	117.56	0.0
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>AXL</b>	<b>S</b>	<b>344</b>	<b>15.44</b>	<b>6-May</b>	<b>6-May</b>	<b>0.00</b>	<b>0.0</b>
LOMAS CAPITAL	040	AXL	S	71,900	15.17	6-May	6-May	2,157.00	0.0
SCOPUS FUND	041	AXL	B	38,500	14.98	6-May	6-May	1,540.00	0.0
HOLLIS CAPITAL	033	BAC	B	7,000	12.70	n/a	6-May	350.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>BBBY</b>	<b>SS</b>	<b>25,000</b>	<b>69.16</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BBBY</b>	<b>SS</b>	<b>7,200</b>	<b>69.45</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
NOMURA/ANGEL LANE PRINCIPAL	040	BKW	SS	25,000	18.49	n/a	29-Apr	750.00	0.0
BASSWOOD PARTNERS	267	BK	B	54,600	28.26	n/a	6-May	2,184.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NUVEEN - US BANCORP		030 CERN		S	30,581	95.60	n/a	n/a	1,376.16 0.0
<b>B BUCK CAPITAL MGMT</b>		<b>CHS</b>	<b>SS</b>	<b>20,000</b>	<b>18.37</b>	<b>n/a</b>	<b>5-Feb</b>	<b>non-brg</b>	<b>4.0</b>
NWQ INVESTMENT MGMT CO	084	CNQ	B	19,930	29.42	n/a	n/a	697.55	0.0
SPARTAN	093	CYBX	B	5,000	43.00	n/a	n/a	150.00	0.0
LATEEF MGMT	033	DRE	S	2,600	18.20	n/a	n/a	260.00	0.0
T. ROWE PRICE	028	DWRE	S	10,000	28.77	n/a	n/a	400.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>EXPE</b>	<b>SS</b>	<b>34,000</b>	<b>58.78</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f DANIEL JORDAN COHEN</b>	<b>FID</b>	<b>FB</b>	<b>B</b>	<b>108</b>	<b>27.64</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f KELLY ELIZABETH CLIF</b>	<b>FID</b>	<b>FCSAX</b>	<b>S</b>	<b>43</b>	<b>13.84</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f KELLY ELIZABETH CLIF</b>	<b>FID</b>	<b>FILEFX</b>	<b>S</b>	<b>41</b>	<b>9.83</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f KELLY ELIZABETH CLIF</b>	<b>FID</b>	<b>FKRCX</b>	<b>S</b>	<b>25</b>	<b>19.99</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>FKRCX</b>	<b>S</b>	<b>35</b>	<b>19.99</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f KELLY ELIZABETH CLIF</b>	<b>FID</b>	<b>FPCIX</b>	<b>B</b>	<b>138</b>	<b>10.90</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f KELLY ELIZABETH CLIF</b>	<b>FID</b>	<b>FSGFX</b>	<b>S</b>	<b>27</b>	<b>14.57</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>FSGFX</b>	<b>S</b>	<b>34</b>	<b>14.57</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>FTBFX</b>	<b>B</b>	<b>109</b>	<b>10.99</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.	
IVORY CAPITAL	084	GM	S	100,000	31.96	n/a	6-May	5,000.00	0.0
CAMBIAR CAP	046	HBI	S	143,732	49.88	n/a	3-May	5,749.28	0.0
CR INTRINIC INVESTMENT	044	HBI	SS	10,000	49.78	n/a	3-May	300.00	0.0
<b>f</b> <b>CHRISTY FRANK</b>	<b>FID</b>	<b>HEES</b>	<b>S</b>	<b>1000</b>	<b>21.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> <b>SERGEI BARANOVSKY</b>	<b>FID</b>	<b>HPQ</b>	<b>B</b>	<b>35</b>	<b>0.19</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> <b>MANNY I KORMAN</b>	<b>FID</b>	<b>HTZ</b>	<b>B</b>	<b>7000</b>	<b>24.74</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DELTEC ASSET MGMT.	040	IP	B	16,000	45.77	n/a	6-May	800.00	0.0
<b>f</b> <b>DAVID GEORGE BUCK</b>	<b>FID</b>	<b>IWF</b>	<b>B</b>	<b>1200</b>	<b>73.95</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> <b>ALICE BEEBE LONGLEY</b>	<b>FID</b>	<b>IYJ</b>	<b>B</b>	<b>200</b>	<b>82.59</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BTG PACTUAL	040	JBLU	B	22,400	6.97	n/a	26-Apr	672.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	JBLU	B	100,000	6.99	n/a	26-Apr	3,000.00	0.0
TRUSTCO/SUNTRUST (CEREDEX)	273	JCI	B	44,500	35.27	6-May	6-May	1,424.00	0.0
WAGONHOUND/NICOLAS	033	JCI	B	38,565	35.12	6-May	6-May	1,542.60	0.0
PAW PARTNERS	025	JCP	B	25,000	17.10	n/a	30-Apr	1,250.00	0.0
<b>f</b> <b>ABRAM M CHAPPELL</b>	<b>FID</b>	<b>LBV</b>	<b>B</b>	<b>150</b>	<b>20.05</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> <b>BUCK CAPITAL MGMT</b>		<b>LULU</b>	<b>S</b>	<b>10,000</b>	<b>75.86</b>	<b>n/a</b>	<b>1-May</b>	<b>non-brg</b>	<b>2.5</b>
<b>B</b> <b>BUCK CAPITAL MGMT</b>		<b>MFRM</b>	<b>C</b>	<b>30,000</b>	<b>36.75</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER CAPITAL	028	MHK	B	75,000	115.06	n/a	n/a	3,750.00	0.0
CORVEX CAPITAL	041	MWV	B	10,784	34.47	n/a	30-Apr	323.52	0.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>NSRGY</b>	<b>S</b>	<b>1000</b>	<b>70.20</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>NSRGY</b>	<b>S</b>	<b>200</b>	<b>70.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MATTHEW FRANCIS BUCK</b>	<b>FID</b>	<b>NSRGY</b>	<b>S</b>	<b>300</b>	<b>70.20</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
COLUMBUS CIRCLE	036	PKI	S	17,077	31.01	n/a	n/a	683.08	0.0
<b>f ALICE BEEBE LONGLEY</b>	<b>FID</b>	<b>PTTDX</b>	<b>S</b>	<b>17699</b>	<b>11.30</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SCSS</b>	<b>C</b>	<b>10,000</b>	<b>21.02</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SCSS</b>	<b>C</b>	<b>30,000</b>	<b>21.30</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>Õ Manny Korman</b>		<b>SLMAP</b>	<b>B</b>	<b>1000</b>	<b>50.19</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
WELLSPRING CAPITAL	093	SPPI	SS	50,000	7.40	n/a	n/a	2,000.00	0.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>SPY</b>	<b>B</b>	<b>1200</b>	<b>161.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EPOCH INV MGMT	030	SSD	B	17,100	28.66	n/a	n/a	513.00	0.0
<b>f YANAI A FRANK</b>	<b>FID</b>	<b>SWKS</b>	<b>S</b>	<b>850</b>	<b>23.32</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SWY</b>	<b>C</b>	<b>20,000</b>	<b>23.77</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
CRAMER ROSENTHAL	070	TDC	B	299,140	51.55	n/a	n/a	11,965.60	0.0
ADAGE CAPITAL MGMT	030	TGT	S	150,000	70.07	n/a	18-Apr	4,500.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		TPX	C	60,000	46.01	n/a	n/a	non-brg	4.0
f ABRAM M CHAPPELL	FID	TRIB	B	180	16.52	n/a	n/a	0.00	0.0
TIDE POINT CAPITAL	028	TRW	B	10,000	60.01	n/a	n/a	300.00	0.0
f SERGEI BARANOVSKY	FID	TSLA	B	2	1.98	n/a	n/a	0.00	0.0
f GAVIN N CADWALLADER	FID	UA	S	60	57.69	n/a	1-May	0.00	0.0
f MANNY I KORMAN	FID	VNTV	B	7000	23.20	n/a	3-May	0.00	0.0
B BUCK CAPITAL MGMT		WFM	C	10,000	91.58	n/a	n/a	non-brg	4.0
f JONATHAN RICHARD HAR	FID	WTSL	B	4000	3.42	n/a	n/a	0.00	0.0
FRONTIER	029	WWW	B	35,890	19.08	n/a	n/a	1,435.60	0.0
f DAVID GEORGE BUCK	FID	WYNN	B	150	138.53	n/a	13-Jun	0.00	0.0
f DAVID GEORGE BUCK	FID	WYNN	B	800	138.35	n/a	13-Jun	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	WYNN	B	150	138.62	n/a	13-Jun	0.00	0.0
KAM ADVISORS LLC	041	XLP	C	223,900	40.92	n/a	n/a	6,717.00	0.0
B BUCK CAPITAL MGMT		ZUMZ	C	13,300	29.50	n/a	n/a	non-brg	4.0
TOTAL (Trade Date):								68,268.07	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	04/30	NOMURA CAPITAL	029		S	800	2.37	n/a	n/a	24.00 3.0
AO,CXL	04/30	NOMURA CAPITAL	029	DEXO	S	800	2.37	n/a	n/a	24.00 0.0
AO,CXL	05/02	CAERUS GLOBAL	041	GM	S	647	31.36	n/a	6-May	25.88 0.0
AO,CRT	05/02	CAERUS GLOBAL	041	GM	S	647	31.36	n/a	6-May	25.88 0.0
AO,CRT	05/03	SANDLER O'NEILL ASSET	031	LAZ	B	20,200	32.99	n/a	6-May	1010.00 5.0
AO,CXL	05/03	SANDLER O'NEILL ASSET	031	LAZ	B	20,200	32.99	n/a	6-May	1010.00 0.0
AO,CXL	05/01	PROVIDENCE EQUITY CAP. MKTS.	040	NIHD	S	11,838	8.91	n/a	n/a	355.14 0.0
AO,CRT	05/01	PROVIDENCE EQUITY CAP. MKTS.	040	NIHD	S	11,838	8.91	n/a	n/a	236.76 0.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-118.38</b>
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TOTAL (Trade Date) :	68,268.07
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TOTAL (AO, CXL, CRT) :	-118.38
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<b>TOTAL (RUN DATE) / NFS :</b>	<b>68,149.69</b>
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CRT	05/03	BUCK CAPITAL MGMT	IWM	SS	710,000	95.41	n/a	n/a	7100.00 1.0

MRI Securities with Trade Activity on 6-May.

AXL, JCI

MRI Securities without Trade Activity on 6-May.

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)**