



Daily Compliance Activity Report

Trade Date: 06/12/2013

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	AAPL	B	15	6.87	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	AAPL	S	15	3.25	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	ALB	B	2000	61.96	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ANF	S	20,000	49.11	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		ANF	S	20,000	49.90	n/a	n/a	non-brg	4.0
f CICILY S BACKUS	FID	ARP	B	2000	22.50	n/a	n/a	0.00	0.0
f LBP ENTERPRISES INC	FID	ARP	B	2000	22.50	n/a	n/a	0.00	0.0
f LEE F BACKUS	FID	ARP	B	5000	22.53	n/a	n/a	0.00	0.0
f SNEJANA P GARFUNKEL	FID	ARP	B	1000	22.50	n/a	n/a	0.00	0.0
ARDSLEY PARTNERS	280	AXL	S	50,000	17.83	n/a	4-Jun	2,500.00	0.0
PECONIC PARTNERS	036	AXL	S	146,200	17.59	n/a	4-Jun	7,310.00	0.0
B BUCK CAPITAL MGMT		BHI	S	34,000	45.52	n/a	n/a	non-brg	4.0
OTTER CREEK MGMT	093	BKW	SS	7,000	20.06	n/a	13-May	210.00	0.0
NWQ INVESTMENT MGMT CO	084	BOBE	S	24,600	47.87	n/a	n/a	861.00	0.0
SUFFOLK CAPITAL MGMT	040	BOBE	B	26,100	47.85	n/a	n/a	1,044.00	0.0
B BUCK CAPITAL MGMT		BONT	S	20,000	20.95	n/a	24-May	non-brg	2.5
LAKEWOOD CAPITAL MGMT	085	BWC	S	5,000	30.05	n/a	n/a	150.00	0.0
J. GOLDMAN	028	BWLD	SS	7,500	97.47	n/a	n/a	300.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NORTHWESTERN MUTUAL LIFE	047	CAH	S	21,770	47.19	n/a	n/a	870.80	0.0
B BUCK CAPITAL MGMT		CHS	C	70,000	17.06	n/a	5-Feb	non-brg	4.0
RAINIER INV MGMT	033	CRZO	S	30,890	26.04	n/a	n/a	1,235.60	0.0
RBC CAPITAL MARKETS	040	CTB	B	25,000	34.50	n/a	n/a	750.00	0.0
BARROW HANLEY MEWHINNEY	031	CVX	S	135,056	120.27	n/a	n/a	4,726.96	0.0
SAGE ASSET MGMT	025	C	B	5,000	50.20	n/a	11-Jun	250.00	0.0
B BUCK CAPITAL MGMT		DECK	S	20,000	52.06	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DECK	S	20,000	52.89	n/a	n/a	non-brg	4.0
TIDE POINT CAPITAL	028	DLPH	B	10,000	50.09	n/a	n/a	300.00	0.0
CASTLEROCK	040	DLTR	SS	8,081	48.77	n/a	4-Jun	323.24	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		ELGX	B		9,009	12.91	n/a	n/a	270.27 0.0
B BUCK CAPITAL MGMT		ENR	C	15,000	100.10	n/a	23-May	non-brg	4.0
B BUCK CAPITAL MGMT		EXPR	S	40,000	21.75	n/a	n/a	non-brg	4.0
f YANAI A FRANK	FID	FCS	B	1100	12.99	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FWM	S	10,000	22.82	n/a	n/a	non-brg	4.0
SCOPUS FUND	041	F	SS	50,000	15.38	n/a	11-Jun	2,000.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FORTRESS INVESTMENT (US)	036	GD	B	25,500	78.28	n/a	5-Apr	1,020.00	0.0
ß BUCK CAPITAL MGMT		GIL	S	10,000	40.26	n/a	3-May	non-brg	4.0
ß BUCK CAPITAL MGMT		GIMO	B	1,000	19.00	n/a	n/a	non-brg	0.0
ß BUCK CAPITAL MGMT		GIMO	S	1,000	23.08	n/a	n/a	non-brg	2.5
f NICOLAS EVAN PAKLER	FID	GMWSB	B	1000	16.78	n/a	n/a	0.00	0.0
ARDSLEY PARTNERS	280	GM	S	25,000	33.89	n/a	11-Jun	1,250.00	0.0
LEVIN CAPITAL STRATEGIES	041	GM	B	15,000	34.30	n/a	11-Jun	450.00	0.0
PECONIC PARTNERS	036	GM	B	200,000	34.38	n/a	11-Jun	10,000.00	0.0
ß BUCK CAPITAL MGMT		GPS	B	30,000	40.78	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		HAL	S	35,000	42.35	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		HBI	B	20,000	50.51	n/a	3-May	non-brg	4.0
f MANNY I KORMAN	FID	HBI	B	100	3.40	n/a	3-May	0.00	0.0
ß BUCK CAPITAL MGMT		HCA	B	62,500	39.92	n/a	n/a	non-brg	4.0
NORTHWESTERN MUTUAL LIFE	047	HCP	B	22,670	45.41	n/a	n/a	906.80	0.0
Õ Nilsa Vazquez		HOV	S	2000	6.00	n/a	n/a	0.00	0.0
STELLIAM INV ADV	086	KND	B	35,000	13.45	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		LPX	B	31,500	15.93	n/a	12-Jun	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		LTD	S	60,000	50.27	n/a	n/a	non-brg	4.0
f NICOLAS EVAN PAKLER	FID	LULU	S	255	64.17	n/a	12-Jun	0.00	0.0
B BUCK CAPITAL MGMT		MTOR	S	12,714	7.17	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		MTOR	S	25,000	7.15	n/a	n/a	non-brg	2.5
NEWLAND CAPITAL MGT	025	NCI	S	20,000	13.46	n/a	n/a	800.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		NLNK	B	9,336	20.36	n/a	n/a	280.08	0.0
BARROW HANLEY MEWHINNEY	031	NOV	B	329,750	69.40	n/a	n/a	11,541.26	0.0
ROSEDALE CAPITAL	046	NOV	S	15,000	69.07	n/a	n/a	750.00	0.0
KEYGROUP/KGLT	040	OAS	SS	25,000	41.05	n/a	n/a	1,000.00	0.0
J. GOLDMAN	028	PNRA	SS	7,500	189.07	n/a	10-Jun	300.00	0.0
B BUCK CAPITAL MGMT		PVH	B	40,000	111.44	n/a	22-Apr	non-brg	4.0
B BUCK CAPITAL MGMT		PVH	S	10,000	118.46	n/a	22-Apr	non-brg	1.0
FRONTIER	029	PWR	S	138,090	26.31	n/a	n/a	5,523.60	0.0
PRIMECAP MGMT	084	RIG	B	5,000	48.45	n/a	n/a	200.00	0.0
PERIMETER	273	SAVE	S	28,634	31.56	n/a	10-Jun	1,145.36	0.0
PIMCO	084	SAVE	S	32,308	31.47	n/a	10-Jun	1,292.32	0.0
B BUCK CAPITAL MGMT		SCSS	B	100,000	23.59	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		SCSS	B	25,000	23.64	n/a	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		SCSS	B	3,800	23.11	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		SCSS	B	71,200	23.22	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SHOO	S	24,747	47.88	n/a	n/a	non-brg	2.5
⌘ BUCK CAPITAL MGMT		SLB	S	10,000	71.94	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SLB	S	10,900	71.97	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SLXP	C	23,691	65.68	12-Jun	12-Jun	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SPN	S	15,000	26.28	n/a	n/a	non-brg	1.0
⌘ BUCK CAPITAL MGMT		SPN	S	20,000	26.33	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		SPN	S	21,800	26.08	n/a	n/a	non-brg	4.0
NEWLAND CAPITAL MGT	025	SSW	SS	10,000	22.63	n/a	n/a	400.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	STKL	S	10,000	7.50		n/a	n/a	300.00 0.0
⌘ BUCK CAPITAL MGMT		SWY	C	28,000	31.25	n/a	n/a	non-brg	1.0
LONG OAR GLOBAL INV	040	TCK	SS	20,000	23.60	n/a	n/a	800.00	0.0
f MARK DEVEREAUX KAICH	FID	TIVO	S	500	10.89	n/a	n/a	0.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE	033	TNGO	B		17,036	15.57	n/a	n/a	511.08 0.0
TIDE POINT CAPITAL	028	TRW	B	10,000	63.59	n/a	n/a	300.00	0.0
LONG OAR GLOBAL INV	040	VALE	SS	105,000	13.73	n/a	n/a	4,200.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LAKEWOOD CAPITAL MGMT	085	VIPS	C	5,000	33.45	n/a	n/a	150.00	0.0
HERRING CREEK CAPITAL MGMT LLC	040	WGO	B	7,000	20.56	n/a	n/a	210.00	0.0
CSFB GLOBAL PROPRIETARY	041	WY	B	25,000	28.01	n/a	12-Jun	1,250.00	0.0
J. GOLDMAN	028	YUM	B	25,000	72.07	n/a	12-Jun	1,000.00	0.0
SCOPUS FUND	041	YUM	B	20,000	72.09	n/a	12-Jun	800.00	0.0
TOTAL (Trade Date):								69,482.37	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									69,482.37
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									69,482.37

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 12-Jun.

SLXP

MRI Securities without Trade Activity on 12-Jun.

VFC, M

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)