



# Daily Compliance Activity Report

Trade Date: 07/02/2013

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>2.85</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PRIMECAP MGMT	084	ABT	B	2,500	34.75	n/a	n/a	100.00	0.0
IRIDIAN ASSET MGMT.	036	ADT	S	70,480	39.68	n/a	n/a	3,524.00	0.0
FRONTIER	029	ATML	B	99,070	7.46	n/a	n/a	2,972.10	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>AXL</b>	<b>S</b>	<b>12,500</b>	<b>19.31</b>	<b>n/a</b>	<b>19-Jun</b>	<b>non-brg</b>	<b>4.0</b>
RIDGECREST INV MGMT LLC	028	AXL	S	22,000	19.10	n/a	19-Jun	880.00	0.0
ROSEDALE CAPITAL	046	AXL	S	5,000	19.51	n/a	19-Jun	250.00	0.0
SIGMA CAP BOBBY	044	AXL	SS	3,047	19.43	n/a	19-Jun	91.41	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>BBBY</b>	<b>SS</b>	<b>20,000</b>	<b>71.49</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>7,000</b>	<b>71.36</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>BBRY</b>	<b>S</b>	<b>45</b>	<b>0.66</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
LATEEF MGMT	033	BBT	S	225	34.53	n/a	n/a	31.50	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>BBY</b>	<b>S</b>	<b>250,000</b>	<b>28.57</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BYD 7 P11</b>	<b>B</b>	<b>3</b>	<b>0.35</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>100.0</b>
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>CBK</b>	<b>B</b>	<b>1000</b>	<b>5.89</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
ACK ASSET	028	CSX	SS	75,000	23.02	n/a	n/a	2,250.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
NEWLAND CAPITAL MGT	025	CVO	S	50,000	2.06	n/a	n/a	1,500.00	0.0
GOLD SACHS SPECIAL SIT	030	DAN	S	50,000	20.31	n/a	19-Jun	2,500.00	0.0
MAPLE ROW	006	DAN	B	2,500	20.02	n/a	19-Jun	125.00	0.0
MELLON/BANK OF NEW YORK	046	DIS	S	150,080	63.41	n/a	n/a	6,003.20	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>DKS</b>	<b>B</b>	<b>10,000</b>	<b>48.95</b>	<b>n/a</b>	<b>19-Jun</b>	<b>non-brg</b>	<b>1.0</b>
STATE OF WISCONSIN	047	DTV	S	29,561	62.23	n/a	n/a	1,182.44	0.0
GABELLI FUNDS	025	EBAY	B	10,000	53.60	n/a	n/a	500.00	0.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>EL</b>	<b>B</b>	<b>2000</b>	<b>67.30</b>	<b>n/a</b>	<b>17-Jun</b>	<b>0.00</b>	<b>0.0</b>
PRIMECAP MGMT	084	FARO	B	241	34.60	n/a	n/a	9.64	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>FDO</b>	<b>SS</b>	<b>30,000</b>	<b>63.37</b>	<b>n/a</b>	<b>4-Jun</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>FINL</b>	<b>S</b>	<b>30,000</b>	<b>21.54</b>	<b>n/a</b>	<b>19-Jun</b>	<b>non-brg</b>	<b>4.0</b>
KENNEDY CAPITAL	046	FINL	B	4,872	21.50	n/a	19-Jun	194.88	0.0
J. GOLDMAN	028	FL	SS	25,000	35.83	n/a	19-Jun	1,000.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>F</b>	<b>SS</b>	<b>30,000</b>	<b>16.17</b>	<b>n/a</b>	<b>19-Jun</b>	<b>non-brg</b>	<b>4.0</b>
BRONSON POINT	036	GM	S	50,000	34.51	n/a	19-Jun	1,500.00	0.0
LEVIN CAPITAL STRATEGIES	041	GM	B	10,000	34.57	n/a	19-Jun	300.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>HDS</b>	<b>B</b>	<b>100,000</b>	<b>19.03</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.		
	SEVEN LOCKS CAPITAL	025	HNR	B	25,000	3.41	n/a	n/a	750.00	0.0	
f	EDWARD W WHEELER	FID	HSP	S	80	3.20	n/a	17-Jun	0.00	0.0	
f	DAVID GEORGE BUCK	FID	HSY	S	1500	89.81	n/a	n/a	0.00	0.0	
	PRIMECAP MGMT	084	INTC	S	1,000	23.67	n/a	n/a	40.00	0.0	
	EPOCH INV MGMT	030	IP	B	288,190	45.52	n/a	17-Jun	8,645.70	0.0	
	SCOPUS FUND	041	JCP	B	40,000	16.87	n/a	18-Jun	1,600.00	0.0	
B	BUCK CAPITAL MGMT		LEG	SS	30,000	30.89	n/a	n/a	non-brg	4.0	
B	BUCK CAPITAL MGMT		LEN	B	28,000	35.07	n/a	n/a	non-brg	1.0	
	GUGGENHEIM GLOBAL TRADING (GGT)	251	LIFE	B	20,000	74.09		n/a	n/a	600.00	0.0
	PRIMECAP MGMT	084	LLY	B	2,500	50.43	n/a	n/a	100.00	0.0	
B	BUCK CAPITAL MGMT		LOW	C	50,000	42.66	n/a	n/a	non-brg	4.0	
	DISCIPLINED GROWTH INV.	030	LTD	S	1,000	49.86	n/a	n/a	50.00	0.0	
B	BUCK CAPITAL MGMT		LVS	S	80,000	51.87	n/a	13-Jun	non-brg	4.0	
B	BUCK CAPITAL MGMT		LVS	S	80,000	52.77	n/a	13-Jun	non-brg	4.0	
	DISCIPLINED GROWTH INV.	030	MIDD	S	300	173.60	n/a	n/a	15.00	0.0	
B	BUCK CAPITAL MGMT		MTOR	S	50,000	7.07	n/a	n/a	non-brg	0.8	

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	32.81	n/a	13-May	400.00	0.0
STATE OF WISCONSIN	047	NWSA	S	67,283	15.05	n/a	n/a	2,691.32	0.0
SEVEN LOCKS CAPITAL	025	ONXX	B	14,000	133.44	n/a	n/a	420.00	0.0
CLEARLINE CAPITAL LLC	040	PAY	B	40,000	16.92	n/a	n/a	1,200.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>PFE</b>	<b>B</b>	<b>36,000</b>	<b>27.68</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
MELLON/BANK OF NEW YORK	046	PVH	B	68,338	126.88	n/a	14-Jun	2,733.52	0.0
PRIMECAP MGMT	084	QGEN	B	3,686	19.94	n/a	n/a	147.44	0.0
DISCIPLINED GROWTH INV.	030	RCL	S	800	34.14	n/a	n/a	40.00	0.0
<b>f PATRICK TERENCE DUFF</b>	<b>FID</b>	<b>SHOR</b>	<b>S</b>	<b>10000</b>	<b>4.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
GOLD SACHS SPECIAL SIT	030	SRI	S	20,219	12.10	n/a	n/a	1,010.95	0.0
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>TBT</b>	<b>S</b>	<b>140</b>	<b>71.70</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>TEVA</b>	<b>S</b>	<b>26,000</b>	<b>38.99</b>	<b>n/a</b>	<b>17-Jun</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>TGT</b>	<b>SS</b>	<b>20,000</b>	<b>69.60</b>	<b>n/a</b>	<b>23-May</b>	<b>non-brg</b>	<b>4.0</b>
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>TITN</b>	<b>B</b>	<b>5000</b>	<b>19.52</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DISCIPLINED GROWTH INV.	030	TJX	S	3,400	50.51	n/a	18-Jun	170.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B</b> BUCK CAPITAL MGMT		TSCO	S	60,000	116.10	n/a	n/a	non-brg	4.0
KADE CAPITAL LLC	028	ULTA	B	7,500	97.00	n/a	n/a	375.00	0.0
STATE OF WISCONSIN	047	ULTA	S	138,000	97.15	n/a	n/a	5,520.00	0.0
PRIMECAP MGMT	084	WAT	B	3,500	100.96	n/a	n/a	140.00	0.0
<b>B</b> BUCK CAPITAL MGMT		ZTS	B	17,000	29.78	n/a	n/a	non-brg	4.0
<b>f</b> EDWARD W WHEELER	FID		S	100000	95.18	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								51,563.10	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	07/01	LISTED ERR	099	JCP	B	339	16.68	n/a	18-Jun	16.95 0.0
AO,CXL	07/01	LISTED ERR	030	JCP	S	339	16.71	n/a	18-Jun	0.00 0.0
AO,CRT	07/01	SURVEYOR CAPITAL	251	JCP	SS	50,000	16.70	n/a	18-Jun	1500.00 0.0
AO,CXL	07/01	SURVEYOR CAPITAL	251	JCP	SS	50,000	16.70	n/a	18-Jun	1500.00 0.0
AO,CXL	07/01	ADAGE CAPITAL MGMT	030	LULU	B	60,000	66.48	n/a	19-Jun	1800.00 0.0
AO,	07/01	ADAGE CAPITAL MGMT	030	LULU	B	60,000	66.48	n/a	19-Jun	1800.00 0.0
AO,CRT	07/01	IONIC CAPITAL MANAGEMENT	041	NYT	SS	87,000	11.50	n/a	n/a	2610.00 0.0
AO,CXL	07/01	IONIC CAPITAL MANAGEMENT	041	NYT	SS	87,000	11.50	n/a	n/a	2610.00 0.0
AO,	06/28	P.SCHOENFELD ASSET MGMT LLC	041	TWTC	B	50,000	28.29	n/a	n/a	2000.00 0.0
AO,CXL	06/28	P.SCHOENFELD ASSET MGMT LLC	041	TWTC	B	50,000	28.29	n/a	n/a	1500.00 0.0
AO,CRT	07/01	IONIC CAPITAL MANAGEMENT	041	TWX	SS	19,000	58.55	n/a	n/a	570.00 0.0
AO,CXL	07/01	IONIC CAPITAL MANAGEMENT	041	TWX	SS	19,000	58.55	n/a	n/a	570.00 0.0
AO,CRT	07/01	IONIC CAPITAL MANAGEMENT	041	VIAB	SS	16,500	68.20	n/a	n/a	495.00 0.0
AO,CXL	07/01	IONIC CAPITAL MANAGEMENT	041	VIAB	SS	16,500	68.20	n/a	n/a	495.00 0.0

**TOTAL (AO, CXL, CRT) :****483.05**

TOTAL (Trade Date) :

51,563.10

TOTAL (AO, CXL, CRT) :

483.05

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TOTAL (RUN DATE) / NFS:

52,046.15

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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 2-Jul.  
NONE

MRI Securities without Trade Activity on 2-Jul.  
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)**