



# Daily Compliance Activity Report

Trade Date: 05/28/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>f</b> MANNY I KORMAN	FID	ALK	S	10000	56.70	n/a	n/a	0.00	0.0
<b>f</b> MARK MEGALLI	FID	AMWD	S	1000	36.68	n/a	n/a	0.00	0.0
<b>f</b> MANNY I KORMAN	FID	ARR	S	55000	5.28	n/a	n/a	0.00	0.0
ARDSLEY PARTNERS	280	AXL	B	25,000	17.87	n/a	28-May	1,250.00	0.0
<b>B</b> BUCK CAPITAL MGMT		AXL	S	125,000	17.68	n/a	28-May	non-brg	4.0
<b>B</b> BUCK CAPITAL MGMT		AXL	S	35,000	17.69	n/a	28-May	non-brg	2.5
<b>Ö</b> Nilsa Vazquez		AXL	S	550	17.44	n/a	28-May	0.00	0.0
<b>B</b> BUCK CAPITAL MGMT		BONT	S	20,000	22.28	n/a	24-May	non-brg	4.0
TRUSTCO/SUNTRUST (CEREDEX)	273	CI	S	30,000	69.15	n/a	n/a	960.00	0.0
<b>B</b> BUCK CAPITAL MGMT		COH	C	20,000	59.15	n/a	24-Apr	non-brg	4.0
SANDLER O'NEILL ASSET	031	C	S	25,000	51.50	n/a	23-May	1,250.00	0.0
<b>f</b> MICHAEL ALEXANDER SM	FID	DAL	S	10	3.06	n/a	20-May	0.00	0.0
<b>f</b> MICHAEL ALEXANDER SM	FID	DAL	S	20	3.05	n/a	20-May	0.00	0.0
<b>f</b> MICHAEL ALEXANDER SM	FID	DAL	S	50	3.05	n/a	20-May	0.00	0.0
PROSPECTOR PARTNERS LLC	036	DD	S	10,000	55.81	n/a	n/a	400.00	0.0
PARAMETER CAPITAL MGMT LLC044		DOW	SS	15,000	35.21	n/a	n/a	450.00	0.0
BRANDWINE	028	EWBC	B	5,000	26.36	n/a	n/a	200.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BESSEMER INVESTMENT	085	EXC	S	1,100	32.03	n/a	n/a	44.00	0.0
<b>f MITCHELL JAMES SPEIS</b>	<b>FID</b>	<b>FB</b>	<b>B</b>	<b>500</b>	<b>24.37</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
EAM INVESTORS	084	FCEL	B	25,000	1.52	n/a	n/a	500.00	0.0
LATEEF MGMT	033	FCX	B	2,850	30.92	n/a	n/a	290.00	0.0
ACK ASSET	028	FDX	SS	18,000	97.39	n/a	n/a	540.00	0.0
<b>f KELLY ELIZABETH CLIF</b>	<b>FID</b>	<b>FNSXX</b>	<b>S</b>	<b>478</b>	<b>1.00</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>FNSXX</b>	<b>S</b>	<b>393</b>	<b>1.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MITCHELL JAMES SPEIS</b>	<b>FID</b>	<b>FSNXX</b>	<b>S</b>	<b>35000</b>	<b>1.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
BARON ASSET MGMT*	006	FWM	B	29,900	20.80	n/a	n/a	897.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>FWM</b>	<b>S</b>	<b>20,000</b>	<b>21.00</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
WAGONHOUND/NICOLAS	033	FWM	S	71,329	20.79	n/a	n/a	2,853.16	0.0
KAM ADVISORS LLC	041	GE	SS	145,000	23.67	n/a	n/a	4,350.00	0.0
DELTEC ASSET MGMT.	040	GLW	S	18,000	15.92	n/a	n/a	740.00	0.0
ROSEDALE CAPITAL	046	GM	S	15,000	33.92	n/a	28-May	750.00	0.0
COLUMBUS CIRCLE	036	GTLS	B	3,533	97.69	n/a	n/a	141.32	0.0
GLOBAL 56 LLC	060	HSC	B	3,000	23.02	n/a	9-May	90.00	0.0
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>HTLD</b>	<b>S</b>	<b>200</b>	<b>14.48</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

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Õ Jack Chernus		HTZ	B	1000	21.02	n/a	n/a	0.00	0.0
Õ Jack Chernus		HTZ	B	500	21.00	n/a	n/a	0.00	0.0
BRONSON POINT	036	HUN	B	25,000	19.12	n/a	n/a	750.00	0.0
Õ Nilsa Vazquez		INTC	S	500	24.16	n/a	n/a	0.00	0.0
GEORGE WEISS	278	JBLU	B	75,000	6.46	n/a	20-May	2,250.00	0.0
DC CAPITAL	044	JCI	S	25,000	38.04	n/a	6-May	1,000.00	0.0
B BUCK CAPITAL MGMT		JNY	C	50,000	14.95	n/a	2-May	non-brg	4.0
ASCEND PARTNERS	033	KORS	S	50,306	61.89	n/a	22-Apr	1,509.18	0.0
OZ MGMT	040	KORS	C	59,400	61.77	n/a	22-Apr	1,782.00	0.0
SANDLER O'NEILL ASSET	031	LAZ	B	1,561	34.49	n/a	6-May	78.05	0.0
TALON ASSET MGMT.	006	LCC	B	5,000	18.68	n/a	20-May	250.00	0.0
f JASON ERIC COHEN	FID	LEN	S	208	42.98	n/a	n/a	0.00	0.0
BRIGADE CAPITAL MGMT	029	MEOH	B	25,000	44.04	n/a	n/a	750.00	0.0
f FRANCIS MICHAEL MCCA	FID	MPEL	B	500	23.72	n/a	13-Jun	0.00	0.0
RIVERLOFT CAPITAL	044	MRK	B	20,000	48.16	n/a	n/a	600.00	0.0
KLEINHEINZ CAP PART	031	MYL	B	25,500	32.09	n/a	28-May	1,275.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		NCLH	B	12,500	31.64	n/a	n/a	non-brg	0.8
⚡ BUCK CAPITAL MGMT		NCLH	B	5,000	31.69	n/a	n/a	non-brg	1.0
ALLIANZ/NICOLAS APPLGATE	084	NOV		S	21,800	71.55	n/a	n/a	436.00 0.0
SANDLER O'NEILL ASSET	031	NYCB	B	35,109	13.68	n/a	24-Apr	1,755.45	0.0
SANDLER O'NEILL ASSET	031	RJF	SS	244	43.70	n/a	n/a	12.20	0.0
PROVIDENCE EQUITY CAP. MKTS.	040	ROIAC	B	100,000	2.35	n/a	n/a	3,000.00	0.0
f EDWARD W WHEELER	FID	RUSHA	S	150	1.25	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		SKS	C	30,000	15.45	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		SKS	C	50,000	15.62	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		SLXP	C	10,000	60.96	n/a	28-May	non-brg	4.0
FARALLON CAP MGMT	040	STZ	B	142,270	53.48	n/a	23-May	5,690.80	0.0
⚡ BUCK CAPITAL MGMT		TFM	C	20,000	46.31	n/a	n/a	non-brg	4.0
NOKOMIS PARTNERS	031	TXRH	B	20,000	23.98	n/a	n/a	600.00	0.0
ACK ASSET	028	UMH	S	4,710	11.00	n/a	n/a	141.30	0.0
⚡ BUCK CAPITAL MGMT		VHS	B	10,000	12.99	n/a	n/a	non-brg	4.0
SIGMA CAPITAL ASSOCIATES	041	WFM	S	30,000	106.23	n/a	n/a	900.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HERRING CREEK CAPITAL MGMT LLC040	WGO		B	26,200	20.35	n/a	n/a	786.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>WWW</b>	<b>C</b>	<b>20,000</b>	<b>53.56</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
J. GOLDMAN	028	XME	B	21,000	38.27	n/a	n/a	840.00	0.0
<b>TOTAL (Trade Date):</b>								<b>40,111.46</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	05/24	IMPALA ASSET MMT	040	CSX	S	18,284	25.19	n/a	n/a	731.36 4.0
AO,CXL	05/24	IMPALA ASSET MMT	040	CSX	S	18,284	25.19	n/a	n/a	914.20 0.0
AO,CXL	05/24	SANDLER CAPITAL	028	LAZ	B	13,439	33.00	n/a	6-May	671.95 0.0
AO,	05/24	SANDLER O'NEILL ASSET	028	LAZ	B	13,439	33.00	n/a	6-May	671.95 0.0
AO,CXL	05/24	ADAGE CAPITAL MGMT	030	NWSA	B	70,000	32.99	n/a	n/a	2100.00 0.0
AO,CRT	05/24	ADAGE CAPITAL MGMT	030	NWSA	B	70,000	32.99	n/a	n/a	2100.00 0.0

**TOTAL (AO, CXL, CRT) :****-182.84**

TOTAL (Trade Date) :

40,111.46

TOTAL (AO, CXL, CRT) :

-182.84

**TOTAL (RUN DATE) / NFS:****39,928.62**

# 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 28-May.  
NONE

MRI Securities without Trade Activity on 28-May.  
BA, PCP

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)**