



Daily Compliance Activity Report

Trade Date: 06/05/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
FRONTIER	029	ACTV	B	58,460	6.94	n/a	n/a	1,753.80	0.0
f HARALAMBOS EFSTATHI	FID	ALU	S	10000	1.67	n/a	n/a	0.00	0.0
MILLRACE FUND LP	028	ALV	SS	4,000	77.89	n/a	20-May	160.00	0.0
f DAVID GEORGE BUCK	FID	AML	S	5074	17.13	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	AML	S	1217	17.13	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ANN	C	9,800	31.74	n/a	n/a	non-brg	4.0
ARDSLEY PARTNERS	280	AXL	S	25,000	17.56	n/a	4-Jun	1,250.00	0.0
B BUCK CAPITAL MGMT		BBBY	SS	14,600	68.71	n/a	n/a	non-brg	4.0
f EDWARD W WHEELER	FID	BRSS	B	5000	13.73	n/a	n/a	0.00	0.0
SCOPUS FUND	041	BUD	S	46,675	90.59	n/a	3-Jun	1,867.00	0.0
f DAVID GEORGE BUCK	FID	CAH	B	1000	46.32	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	CAH	B	200	46.33	n/a	n/a	0.00	0.0
LONG OAR GLOBAL INV	040	CAT	B	13,000	84.80	n/a	11-Jul	520.00	0.0
f JONATHAN RICHARD HAR	FID	CBK	B	2500	6.64	n/a	n/a	0.00	0.0
NORTHWESTERN MUTUAL LIFE	047	CHS	B	121,700	18.00	n/a	5-Feb	4,868.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TOCQUEVILLE	046	CKP	S	84,700	14.13	n/a	n/a	4,235.00	0.0
f EDWARD W WHEELER	FID	CVGI	B	15000	7.96	n/a	n/a	0.00	0.0
f MICHAEL C PERILLO	FID	CVGI	B	400	7.89	n/a	n/a	0.00	0.0
HOPLITE MGMT	025	CX	B	100,000	10.64	n/a	n/a	4,000.00	0.0
B BUCK CAPITAL MGMT		DGX	B	8,200	61.60	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DG	S	40,000	50.62	n/a	4-Jun	non-brg	0.8
B BUCK CAPITAL MGMT		DIA	C	6,600	149.94	n/a	n/a	non-brg	1.0
HIGHBRIDGE CAP	041	DK	B	4,328	34.70	n/a	n/a	129.84	0.0
f MANNY I KORMAN	FID	DLPH	S	5000	48.47	n/a	n/a	0.00	0.0
IONIC CAPITAL MANAGEMENT	041	EEP	S	6,300	28.92	n/a	n/a	189.00	0.0
IONIC CAPITAL MANAGEMENT	041	EPD	S	2,700	58.21	n/a	n/a	81.00	0.0
HOLLIS CAPITAL	033	EW	S	5,000	66.00	n/a	n/a	250.00	0.0
ARDSLEY PARTNERS	280	EXH	S	10,000	28.39	n/a	n/a	500.00	0.0
f YANAI A FRANK	FID	FCS	B	1000	14.12	n/a	n/a	0.00	0.0
KENNEDY CAPITAL	046	FINL	B	9,369	20.75	n/a	5-Jun	374.76	0.0
B BUCK CAPITAL MGMT		FRAN	S	50,000	30.23	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PROVIDENCE EQUITY CAP. MKTS.	040	FSL	S	97,000	15.45	n/a	n/a	2,910.00	0.0
CAERUS GLOBAL	041	F	B	20,000	15.39	n/a	5-Jun	800.00	0.0
f IAN L MILLER	FID	F	S	100	15.42	n/a	5-Jun	0.00	0.0
OZ MGMT	040	F	C	228,090	15.30	n/a	5-Jun	6,842.70	0.0
SCOPUS FUND	041	F	SS	50,000	15.43	n/a	5-Jun	2,000.00	0.0
VERITION	028	F	B	25,000	15.56	n/a	5-Jun	750.00	0.0
RIVERPARK CAPITAL	025	GCI	B	19,329	20.47	n/a	n/a	966.45	0.0
ROVER CAPITAL PARTNERS	040	GE	SS	15,000	23.33	n/a	n/a	600.00	0.0
B BUCK CAPITAL MGMT		GIII	S	40,000	50.56	n/a	n/a	non-brg	4.0
OZ MGMT	040	GM	S	50,000	34.71	n/a	5-Jun	1,500.00	0.0
f SERGEI BARANOVSKY	FID	GOOG	B	1	2.74	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		HCA	B	13,000	38.20	n/a	n/a	non-brg	4.0
f MANNY I KORMAN	FID	HTZ	S	10000	24.88	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		IJH	C	4,300	116.08	n/a	n/a	non-brg	1.0
CHARTERBRIDGE CAPITAL	025	IMAX	SS	35,000	26.35	n/a	n/a	1,050.00	0.0
f SERGEI BARANOVSKY	FID	INTC	B	100	0.06	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	IP	S	6000	44.71	n/a	5-Jun	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		IWM	C	10,000	96.78	n/a	n/a	non-brg	1.0
WEISS PECK/ROBECO/BOSTON PT		040	JBLU	B	326,220	6.10	n/a	5-Jun	13,048.80 0.0
B BUCK CAPITAL MGMT		JCP	B	50,000	18.14	n/a	22-May	non-brg	4.0
LEVIN CAPITAL STRATEGIES	041	JPM	S	5,000	53.40	n/a	3-Jun	150.00	0.0
IONIC CAPITAL MANAGEMENT	041	KMI	SS	3,500	37.72	n/a	n/a	105.00	0.0
1798 CAP/LOMBARD ASSET	040	KSS	SS	195,000	51.24	n/a	22-May	9,750.00	0.0
ADAGE CAPITAL MGMT	030	KSS	B	50,000	51.71	n/a	22-May	1,500.00	0.0
OZ MGMT	040	KSS	B	75,000	51.30	n/a	22-May	2,250.00	0.0
SCOPUS FUND	041	LAD	B	2,388	54.06	n/a	n/a	95.52	0.0
STELLIAM INV ADV	086	LCC	B	15,000	17.00	n/a	5-Jun	600.00	0.0
HERRING CREEK CAPITAL MGMT LLC	040	LEA	B	15,700	58.63	n/a	20-May	471.00	0.0
f AMY O ROGERS	FID	LGND	B	16	30.57	n/a	n/a	0.00	0.0
f CAROL ANNE LACHENAU	FID	LGND	B	100	30.55	n/a	n/a	0.00	0.0
f DOUGLAS ROGERS	FID	LGND	B	68	30.54	n/a	n/a	0.00	0.0
SENATOR INVESTMENT GROUP	036	LNG	B	500,000	28.04	n/a	n/a	15,000.00	0.0
THIRD POINT MGMT	044	LNG	S	176,600	28.17	n/a	n/a	7,064.00	0.0
CSFB GLOBAL PROPRIETARY	041	LPX	B	45,000	16.65	n/a	5-Jun	2,250.00	0.0
HIGHBRIDGE CAP	041	LPX	S	25,000	16.90	n/a	5-Jun	750.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SMITH MGMT/ALDEN GLOBAL		029 LPX	B	265,000	16.70		n/a 5-Jun	7,950.00	0.0
TIDE POINT CAPITAL	028	LPX	S	28,900	16.90	n/a	5-Jun	867.00	0.0
⚡ BUCK CAPITAL MGMT		LTD	S	20,000	51.25	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		LULU	C	6,000	79.27	n/a	5-Jun	non-brg	4.0
⚡ BUCK CAPITAL MGMT		MCD	C	5,000	96.72	n/a	3-Jun	non-brg	4.0
⚡ BUCK CAPITAL MGMT		MDY	C	2,300	211.62	n/a	n/a	non-brg	1.0
SANDLER O'NEILL ASSET	031	MMC	S	20,000	39.49	n/a	n/a	1,000.00	0.0
IONIC CAPITAL MANAGEMENT	041	MMP	S	2,700	50.90	n/a	n/a	81.00	0.0
CHARTERBRIDGE CAPITAL	025	MNST	S	3,367	61.14	n/a	n/a	101.01	0.0
HIGHBRIDGE CAP	041	MPC	B	3,108	80.32	n/a	n/a	93.24	0.0
IONIC CAPITAL MANAGEMENT	041	MWE	S	1,300	65.76	n/a	n/a	39.00	0.0
CAPITAL RESEARCH GROUP		296 MWV	B	111,920	34.74		n/a 29-May	3,917.20	0.0
1798 CAP/LOMBARD ASSET	040	M	SS	210,000	47.51	n/a	21-May	10,500.00	0.0
KAM ADVISORS LLC	041	NE	B	120,000	39.28	n/a	n/a	3,600.00	0.0
IONIC CAPITAL MANAGEMENT	041	NGLS	S	2,600	46.04	n/a	n/a	78.00	0.0
PROVIDENCE EQUITY CAP. MKTS.	040	NIHD	S	68,262	7.46	n/a	n/a	1,365.24	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
B BUCK CAPITAL MGMT		NTRS	C	9,000	57.01	n/a	3-Jun	non-brg 4.0
IONIC CAPITAL MANAGEMENT	041	PAA	S	1,700	54.98	n/a	n/a	51.00 0.0
SANDLER O'NEILL ASSET	031	PBCT	SS	7,680	13.77	n/a	18-Apr	384.00 0.0
f DAVID GEORGE BUCK	FID	PHMD	B	1500	16.97	n/a	n/a	0.00 0.0
B BUCK CAPITAL MGMT		PSMT	C	12,500	83.97	n/a	n/a	non-brg 4.0
PRIMECAP MGMT	084	QGEN	B	7,000	18.40	n/a	n/a	280.00 0.0
IONIC CAPITAL MANAGEMENT	041	SE	SS	5,300	30.06	n/a	n/a	159.00 0.0
M&I FUNDS	047	SHPG	S	18,986	97.42	n/a	3-Jun	759.44 0.0
B BUCK CAPITAL MGMT		SLXP	C	16,600	60.57	n/a	3-Jun	non-brg 4.0
f DAVID GEORGE BUCK	FID	SPG	S	10	0.47	n/a	n/a	0.00 0.0
B BUCK CAPITAL MGMT		SPY	C	3,000	161.90	n/a	n/a	non-brg 1.0
IONIC CAPITAL MANAGEMENT	041	SXL	S	1,400	58.97	n/a	n/a	42.00 0.0
f MANNY I KORMAN	FID	TEN	S	2000	43.98	n/a	n/a	0.00 0.0
B BUCK CAPITAL MGMT		TEVA	S	14,000	37.91	n/a	3-Jun	non-brg 4.0
f MANNY I KORMAN	FID	TRW	S	2000	62.46	n/a	n/a	0.00 0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
WOOSTER CAPITAL	044	TRW	B	10,000	62.62	n/a	n/a	400.00	0.0
B BUCK CAPITAL MGMT		TSCO	B	70,000	109.60	n/a	n/a	non-brg	4.0
f FRANCIS MICHAEL MCCA	FID	USG	B	100	24.27	n/a	29-Apr	0.00	0.0
f FRANCIS MICHAEL MCCA	FID	USG	B	100	24.30	n/a	29-Apr	0.00	0.0
f DAVID GEORGE BUCK	FID	VOD	B	500	28.93	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	VOD	B	200	28.89	n/a	n/a	0.00	0.0
f ANTHONY SUTERA	FID	VVUS	B	1000	13.99	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	WAG	S	10	0.50	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		WFC	C	12,500	40.00	n/a	3-Jun	non-brg	4.0
B BUCK CAPITAL MGMT		WGO	B	10,000	20.14	n/a	n/a	non-brg	4.0
CSFB GLOBAL PROPRIETARY	041	WY	B	40,000	28.26	n/a	5-Jun	2,000.00	0.0
WOOSTER CAPITAL	044	WY	B	50,000	28.94	n/a	5-Jun	2,000.00	0.0
BRONSON POINT	036	XLI	SS	200,000	42.78	n/a	n/a	6,000.00	0.0
LEVIN CAPITAL STRATEGIES	041	XOM	SS	20,000	90.49	n/a	n/a	600.00	0.0
f DAVID GEORGE BUCK	FID	YUM	S	15	0.40	n/a	3-Jun	0.00	0.0
f ANTHONY SUTERA	FID		B	30000	99.98	n/a	n/a	0.00	0.0
f ANTHONY SUTERA	FID		S	31000	111.15	n/a	n/a	0.00	0.0

TOTAL (Trade Date):

132,899.00

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO,CXL	06/04	NWQ INVESTMENT MGMT CO	084	AIN	S	8,015	31.74	n/a	n/a	240.45	0.0
AO,	06/04	NWQ INVESTMENT MGMT CO	084	AIN	S	8,015	31.74	n/a	n/a	280.53	0.0
AO,CXL	06/04	ROSEDALE CAPITAL	046	AXL	S	25,000	18.02	n/a	4-Jun	1250.00	0.0
AO,CRT	06/04	ROSEDALE CAPITAL	046	AXL	S	25,000	18.02	n/a	4-Jun	1000.00	4.0
AO,CXL	06/04	NWQ INVESTMENT MGMT CO	084	BOBE	S	12,400	46.24	n/a	n/a	372.00	0.0
AO,	06/04	NWQ INVESTMENT MGMT CO	084	BOBE	S	12,400	46.24	n/a	n/a	434.00	0.0
AO,CRT	06/04	TOCQUEVILLE	046	CKP	S	42,500	14.08	n/a	n/a	2125.00	0.0
AO,CXL	06/04	TOCQUEVILLE	046	CKP	S	42,500	14.08	n/a	n/a	0.00	0.0
AO,CXL	06/04	NWQ INVESTMENT MGMT CO	084	CSCO	B	2,400	24.51	n/a	26-Feb	72.00	0.0
AO,	06/04	NWQ INVESTMENT MGMT CO	084	CSCO	B	2,400	24.51	n/a	26-Feb	84.00	0.0
AO,CXL	06/04	IONIC CAPITAL MANAGEMENT	041	DRH	S	14,700	9.53	n/a	n/a	441.00	0.0
AO,CRT	06/04	IONIC CAPITAL MANAGEMENT	041	DRH	S	14,700	9.53	n/a	n/a	441.00	0.0
AO,CXL	06/04	NWQ INVESTMENT MGMT CO	084	FOR	S	25,808	22.42	n/a	9-May	774.24	0.0
AO,	06/04	NWQ INVESTMENT MGMT CO	084	FOR	S	25,808	22.43	n/a	9-May	903.28	0.0
AO,CRT	06/04	IONIC CAPITAL MANAGEMENT	041	HST	S	53,800	17.54	n/a	13-Jun	1614.00	0.0
AO,CXL	06/04	IONIC CAPITAL MANAGEMENT	041	HST	S	53,800	17.54	n/a	13-Jun	1614.00	0.0
AO,CXL	06/04	NWQ INVESTMENT MGMT CO	084	L	B	1,500	45.66	n/a	n/a	45.00	0.0
AO,	06/04	NWQ INVESTMENT MGMT CO	084	L	B	1,500	45.66	n/a	n/a	52.50	0.0
AO,CXL	06/04	IONIC CAPITAL MANAGEMENT	041	LHO	S	22,300	26.01	n/a	n/a	669.00	0.0

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	06/04	IONIC CAPITAL MANAGEMENT	041	LHO	S	22,300	26.01	n/a	n/a	669.00 0.0
AO,	06/04	IONIC CAPITAL MANAGEMENT	041	MAR	SS	16,100	41.72	n/a	13-Jun	483.00 0.0
AO,CXL	06/04	IONIC CAPITAL MANAGEMENT	041	MAR	SS	16,100	41.72	n/a	13-Jun	483.00 0.0
AO,CXL	06/04	NWQ INVESTMENT MGMT CO	084	NP	S	7,217	30.95	n/a	13-May	216.51 0.0
AO,	06/04	NWQ INVESTMENT MGMT CO	084	NP	S	7,217	30.95	n/a	13-May	252.60 0.0
AO,CXL	06/04	NWQ INVESTMENT MGMT CO	084	TEVA	B	2,000	38.16	n/a	3-Jun	60.00 0.0
AO,	06/04	NWQ INVESTMENT MGMT CO	084	TEVA	B	2,000	38.16	n/a	3-Jun	70.00 0.0
AO,CXL	06/04	NWQ INVESTMENT MGMT CO	084	TLM	B	5,000	11.73	n/a	n/a	150.00 0.0
AO,	06/04	NWQ INVESTMENT MGMT CO	084	TLM	B	5,000	11.73	n/a	n/a	175.00 0.0
AO,CXL	06/04	NWQ INVESTMENT MGMT CO	084	TMS	S	5,856	14.84	n/a	n/a	175.68 0.0
AO,	06/04	NWQ INVESTMENT MGMT CO	084	TMS	S	5,856	14.84	n/a	n/a	204.96 0.0
AO,CXL	06/04	IONIC CAPITAL MANAGEMENT	041	WYN	SS	2,450	58.72	n/a	n/a	73.50 0.0
AO,CRT	06/04	IONIC CAPITAL MANAGEMENT	041	WYN	SS	2,450	58.72	n/a	n/a	73.50 0.0
TOTAL (AO, CXL, CRT) :										2,225.99

TOTAL (Trade Date):	132,899.00
TOTAL (AO, CXL, CRT):	2,225.99
TOTAL (RUN DATE) / NFS:	135,124.99



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 5-Jun.
NONE

MRI Securities without Trade Activity on 5-Jun.
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)