



Daily Compliance Activity Report

Trade Date: 05/21/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CYRUS CAPITAL	025	AAMRQ	B	100,000	5.25	n/a	n/a	3,000.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	AAPL	S	15	440.28	n/a	n/a	0.00	0.0
LATEEF MGMT	033	AAPL	S	30	440.16	n/a	n/a	25.50	0.0
LEVIN CAPITAL STRATEGIES	041	AEO	S	6,671	20.10	n/a	2-Dec	200.13	0.0
B BUCK CAPITAL MGMT		ANF	S	20,000	54.29	n/a	n/a	non-brg	4.0
CR INTRINIC INVESTMENT	044	ANF	S	10,000	53.93	n/a	n/a	300.00	0.0
RIVERLOFT CAPITAL	044	ARCP	S	21,500	17.82	n/a	n/a	645.00	0.0
f MARC PAUL LUCHANSKY	FID	ARDNX	S	29	10.43	n/a	n/a	0.00	0.0
LIONEYE CAPITAL	040	ARRS	B	25,000	16.41	n/a	n/a	1,250.00	0.0
SENATOR INVESTMENT GROUP	036	ASH	S	20,000	90.34	n/a	n/a	600.00	0.0
f FRANCIS MICHAEL MCCA	FID	ASTX	B	500	5.60	n/a	n/a	0.00	0.0
LATEEF MGMT	033	ATI	S	300	30.74	n/a	14-May	30.00	0.0
RIDGECREST INV MGMT LLC	028	AXL	B	10,000	16.85	n/a	20-May	400.00	0.0
B BUCK CAPITAL MGMT		BA	S	46,007	98.72	n/a	16-May	non-brg	1.0
LATEEF MGMT	033	BA	S	100	98.26	n/a	16-May	30.00	0.0
OSKIE CAPITAL MGMT	224	BBRY	B	30,000	14.80	n/a	n/a	1,500.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LATEEF MGMT	033	BBT	S	300	32.67	n/a	n/a	30.00	0.0
ß BUCK CAPITAL MGMT		BBY	B	50,000	25.98	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BBY	B	50,000	26.47	n/a	n/a	non-brg	4.0
SIGMA CAPITAL ASSOCIATES	041	BBY	B	50,000	25.68	n/a	n/a	1,500.00	0.0
ß BUCK CAPITAL MGMT		BCC	B	14,868	29.25	n/a	n/a	non-brg	1.0
f JOHN MICHAEL ZOLIDIS	FID	BIG	B	100	38.65	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		BONT	S	10,000	19.41	n/a	21-May	non-brg	4.0
ROTHSCHILD ASSET	040	BTU	B	47,773	21.41	n/a	n/a	1,910.92	0.0
PECONIC PARTNERS	036	CAVM	S	100,000	33.25	n/a	n/a	4,000.00	0.0
ß BUCK CAPITAL MGMT		CCL	B	20,000	33.23	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		CCL	B	40,000	33.36	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		CCL	C	60,000	33.40	n/a	n/a	non-brg	2.5
Õ Jack Chernus		CELG	S	5	1.20	n/a	n/a	0.00	0.0
BAIRD INVESTMENT	047	COG	S	23,895	71.42	n/a	20-May	1,194.75	0.0
CRAMER ROSENTHAL	070	COV	B	25,250	65.89	n/a	n/a	1,010.00	0.0
ARDSLEY PARTNERS	044	CSIQ	S	50,000	9.21	n/a	n/a	1,500.00	0.0
Õ Jack Chernus		C	S	10	0.75	n/a	17-May	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
Õ Jack Chernus		DAL	S	6	0.47	n/a	20-May	0.00	0.0
ß BUCK CAPITAL MGMT		DKS	B	50,000	52.53	21-May	21-May	non-brg	4.0
FIRST NY SEC/CHRIS	041	DKS	B	10,000	52.87	21-May	21-May	500.00	0.0
HIGHFIELDS CAP MGMT	030	DLTR	S	28,800	49.46	n/a	14-May	1,152.00	0.0
S.A.C. CAPITAL	044	DLTR	B	40,000	49.45	n/a	14-May	1,200.00	0.0
SURVEYOR CAPITAL	251	DLTR	S	20,000	49.40	n/a	14-May	600.00	0.0
LATEEF MGMT	033	DOW	S	300	35.58	n/a	n/a	30.00	0.0
SENATOR INVESTMENT GROUP	036	EMN	S	96,855	73.41	n/a	n/a	2,905.65	0.0
ß BUCK CAPITAL MGMT		EXPR	S	20,000	18.99	n/a	n/a	non-brg	4.0
f KELLY ELIZABETH CLIF	FID	FAUDX	B	69	10.11	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FAUDX	B	79	10.11	n/a	n/a	0.00	0.0
f KELLY ELIZABETH CLIF	FID	FCSAX	S	21	14.29	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FCSAX	S	56	14.29	n/a	n/a	0.00	0.0
FEIN	084	FINL	B	25,000	21.68	n/a	15-May	750.00	0.0
f KELLY ELIZABETH CLIF	FID	FKRCX	S	16	18.23	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	FKRCX	S	16	18.23	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		FL	S	20,000	36.57	n/a	16-May	non-brg	4.0
f KELLY ELIZABETH CLIF	FID	FNSXX	B	200	1.00	n/a	n/a	0.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	MARC PAUL LUCHANSKY	FID	FNSXX	B	400	1.00	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		FOSL	S	10,000	107.47	n/a	n/a	non-brg	4.0
f	KELLY ELIZABETH CLIF	FID	FPCIX	B	74	10.85	n/a	n/a	0.00	0.0
f	MARC PAUL LUCHANSKY	FID	FPCIX	B	286	10.85	n/a	n/a	0.00	0.0
f	KELLY ELIZABETH CLIF	FID	FPIOX	B	19	10.45	n/a	n/a	0.00	0.0
f	MARC PAUL LUCHANSKY	FID	FPIOX	B	29	10.45	n/a	n/a	0.00	0.0
f	JOHN MICHAEL ZOLIDIS	FID	FRED	B	200	15.20	n/a	n/a	0.00	0.0
f	CHRISTOPHER ARTHUR K	FID	FRIFX	B	808	12.38	n/a	n/a	0.00	0.0
f	KELLY ELIZABETH CLIF	FID	FSAMX	B	20	10.13	n/a	n/a	0.00	0.0
f	KELLY ELIZABETH CLIF	FID	FTBFX	S	55	10.93	n/a	n/a	0.00	0.0
f	MARC PAUL LUCHANSKY	FID	FTBFX	S	156	10.93	n/a	n/a	0.00	0.0
f	KELLY ELIZABETH CLIF	FID	FVSAX	S	29	17.21	n/a	n/a	0.00	0.0
f	MARC PAUL LUCHANSKY	FID	FVSAX	S	41	17.21	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		FWM	S	23,400	20.93	n/a	n/a	non-brg	4.0
	WEXFORD CAPITAL	284	F	S	50,000	14.99	n/a	20-May	1,500.00	0.0
B	BUCK CAPITAL MGMT		GIII	S	10,000	42.37	n/a	n/a	non-brg	4.0
	FIRST NY SEC/CHRIS	041	GM	B	10,000	33.86	n/a	20-May	500.00	0.0
	LATEEF MGMT	033	INTC	S	350	24.20	n/a	n/a	35.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f CHRISTOPHER ARTHUR K	FID	JBLU	B	2000	6.37	n/a	20-May	0.00	0.0
LATEEF MGMT	033	JCI	S	300	37.66	n/a	6-May	30.00	0.0
BASSWOOD PARTNERS	267	JWN	C	8,300	61.00	n/a	17-May	332.00	0.0
Õ Jack Chernus		LCC	B	1000	18.20	n/a	20-May	0.00	0.0
Õ Jack Chernus		LCC	S	10	0.44	n/a	20-May	0.00	0.0
B BUCK CAPITAL MGMT		LEG	SS	50,000	33.75	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		LTD	S	20,000	51.81	n/a	n/a	non-brg	4.0
RBC CAPITAL MARKETS	040	LUFK	B	18,900	88.19	n/a	n/a	567.00	0.0
SCOPUS FUND	041	LYB	S	50,000	66.06	n/a	n/a	2,000.00	0.0
GATOR CAPITAL MGMT LLC	093	MET	S	8,500	42.99	n/a	n/a	255.00	0.0
PARAMETER CAPITAL MGMT LLC	044	MTW	S	30,000	20.69	n/a	11-Jul	900.00	0.0
RIDGECREST INV MGMT LLC	028	MWV	B	5,000	35.35	n/a	16-May	200.00	0.0
B BUCK CAPITAL MGMT		NCLH	B	11,800	32.11	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		NCLH	B	15,000	31.97	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		NCLH	B	30,000	31.97	n/a	n/a	non-brg	4.0
PECONIC PARTNERS	036	NXPI	B	100,000	30.09	n/a	n/a	4,000.00	0.0
B BUCK CAPITAL MGMT		PETM	C	47,000	69.65	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033		PRXL		S	20,671	46.35	n/a	n/a	620.13 0.0
f KELLY ELIZABETH CLIF	FID	PTRAX	S	36	11.24	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	PTRAX	S	71	11.24	n/a	n/a	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	P	B	250	16.37	n/a	n/a	0.00	0.0
MAIRS AND POWER INV	030	QCOM	B	10,000	65.81	n/a	n/a	500.00	0.0
ROSEDALE CAPITAL	046	RDSA	S	5,000	68.65	n/a	n/a	250.00	0.0
B BUCK CAPITAL MGMT		RL	S	1,544	188.07	n/a	22-Apr	non-brg	4.0
B BUCK CAPITAL MGMT		RL	S	1,544	188.07	n/a	22-Apr	non-brg	4.0
B BUCK CAPITAL MGMT		RL	S	33,456	188.16	n/a	22-Apr	non-brg	4.0
B BUCK CAPITAL MGMT		RL	S	33,456	188.16	n/a	22-Apr	non-brg	4.0
PROVIDENCE EQUITY CAP. MKTS.040		ROIAK	B	100	2.35	n/a	n/a	3.00	0.0
f JASON ERIC COHEN	FID	RYL	B	4	1.50	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		SKS	C	100,000	16.23	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		SSI	B	20,000	23.96	n/a	21-May	non-brg	4.0
B BUCK CAPITAL MGMT		SSI	B	20,000	23.96	n/a	21-May	non-brg	4.0
GUGGENHEIM GLOBAL TRADING (GGT)251		STKL		S	10,000	7.40	n/a	n/a	200.00 0.0
BAIRD INVESTMENT	047	SWN	B	58,775	40.25	n/a	20-May	2,938.75	0.0
B BUCK CAPITAL MGMT		SYX	SS	50,000	34.79	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		TJX	S	20,000	51.35	n/a	21-May	non-brg	4.0
TOURMALINE PARTNERS/ (FRESHFORD CAPITAL) 086		TM		B	10,000	129.36	n/a	n/a	300.00 0.0
B BUCK CAPITAL MGMT		URBN 6 C46	C	2,000	0.45	n/a	n/a	non-brg	100.0
B BUCK CAPITAL MGMT		URBN 6 C46	C	500	0.60	n/a	n/a	non-brg	100.0
B BUCK CAPITAL MGMT		URBN	S	100,000	43.74	n/a	n/a	non-brg	4.0
f JONATHAN RICHARD HAR	FID	URBN	B	30	1.50	n/a	n/a	0.00	0.0
LOMAS CAPITAL	040	USB	B	20,000	35.26	n/a	n/a	600.00	0.0
MERRILL ASSET/BLACKROCK	297	WAL	S	13,541	14.90	n/a	n/a	541.64	0.0
LOMAS CAPITAL	040	WFC	S	38,000	40.73	n/a	6-May	1,140.00	0.0
RIVERLOFT CAPITAL	044	WFT	S	50,000	14.18	n/a	n/a	1,500.00	0.0
LOMAS CAPITAL	040	WLH	S	23,300	26.09	n/a	n/a	699.00	0.0
MERRILL ASSET/BLACKROCK	297	WSH	S	36,300	41.01	n/a	n/a	1,452.00	0.0
BTG PACTUAL	040	YUM	S	10,000	70.32	n/a	20-May	300.00	0.0
CASTLEROCK	040	YUM	S	6,655	70.37	n/a	20-May	266.20	0.0
TOTAL (Trade Date) :								47,893.67	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	05/17	PROVIDENCE EQUITY CAP. MKTS.	040	ROIAK	B	4,735	2.35	n/a	n/a	94.70 2.0
AO,CXL	05/17	PROVIDENCE EQUITY CAP. MKTS.	040	ROIAK	B	4,735	2.35	n/a	n/a	142.05 0.0
AO,CXL	05/20	PROVIDENCE EQUITY CAP. MKTS.	040	ROIAK	B	3,900	2.33	n/a	n/a	117.00 0.0
AO,CRT	05/20	PROVIDENCE EQUITY CAP. MKTS.	040	ROIAK	B	3,900	2.33	n/a	n/a	78.00 2.0

TOTAL (AO, CXL, CRT) :**-86.35**

TOTAL (Trade Date) :

47,893.67

TOTAL (AO, CXL, CRT) :

-86.35

TOTAL (RUN DATE) / NFS:**47,807.32**

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 21-May.

DKS

MRI Securities without Trade Activity on 21-May.

ACT

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)