



Daily Compliance Activity Report

Trade Date: 06/03/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f YANAI A FRANK	FID	ADSK	B	300	37.12	n/a	n/a	0.00	0.0
NWQ INVESTMENT MGMT CO	084	AHL	S	26,200	36.35	n/a	n/a	917.00	0.0
NWQ INVESTMENT MGMT CO	084	AIN	S	20,000	32.11	n/a	n/a	700.00	0.0
B BUCK CAPITAL MGMT		ANN	C	20,000	31.00	n/a	n/a	non-brg	4.0
MACELLUM CAPITAL	086	ASNA	B	73,000	19.99	n/a	n/a	2,190.00	0.0
NWQ INVESTMENT MGMT CO	084	AWH	S	2,300	89.42	n/a	n/a	80.50	0.0
ARDSLEY PARTNERS	044	AXL	B	25,000	18.06	n/a	3-Jun	1,250.00	0.0
SCOPUS FUND	041	AXL	S	75,523	18.11	n/a	3-Jun	3,020.92	0.0
SANDLER CAPITAL	028	BEAM	S	135,000	64.23	n/a	n/a	5,400.00	0.0
NWQ INVESTMENT MGMT CO	084	BKI	S	28,135	37.29	n/a	n/a	984.73	0.0
NWQ INVESTMENT MGMT CO	084	BOBE	S	30,000	46.03	n/a	n/a	1,050.00	0.0
KEYGROUP/KGLT	040	CIE	B	25,000	25.99	n/a	n/a	1,000.00	0.0
TOCQUEVILLE	046	CKP	S	50,000	13.79	n/a	n/a	2,500.00	0.0
f SERGEI BARANOVSKY	FID	CLF	B	15	0.34	n/a	n/a	0.00	0.0
PECONIC PARTNERS	036	CLR	B	50,000	82.72	n/a	n/a	2,500.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		CLX	SS	20,000	82.86	n/a	23-May	non-brg	4.0
f FRANCIS MICHAEL MCCA	FID	COF	S	100	61.12	n/a	31-May	0.00	0.0
NWQ INVESTMENT MGMT CO	084	COHR	S	24,800	58.10	n/a	n/a	868.00	0.0
S.A.C. CAPITAL	044	COH	SS	15,000	58.29	n/a	30-May	450.00	0.0
NWQ INVESTMENT MGMT CO	084	COT	S	30,500	8.07	n/a	n/a	915.00	0.0
SANDLER O'NEILL ASSET	031	C	S	15,000	52.00	n/a	3-Jun	750.00	0.0
IVORY CAPITAL	084	DAL	B	100,000	17.65	n/a	20-May	5,000.00	0.0
f FRANCIS MICHAEL MCCA	FID	DFS	B	200	47.52	n/a	3-Jun	0.00	0.0
CLOVIS CAPITAL	033	EMR	SS	20,000	57.15	n/a	n/a	1,000.00	0.0
B BUCK CAPITAL MGMT		ENR	SS	20,000	93.44	n/a	23-May	non-brg	4.0
NWQ INVESTMENT MGMT CO	084	ENS	S	7,900	49.90	n/a	n/a	276.50	0.0
f ABRAM M CHAPPELL	FID	FBN	S	314	6.01	n/a	n/a	0.00	0.0
f YANAI A FRANK	FID	FCS	B	700	14.31	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		FINL	B	20,000	20.97	n/a	30-May	non-brg	4.0
KENNEDY CAPITAL	046	FINL	B	20,631	20.75	n/a	30-May	825.24	0.0
NWQ INVESTMENT MGMT CO	084	FOR	S	35,000	22.45	n/a	9-May	1,225.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TIDE POINT CAPITAL	028	GM	B	15,000	34.39	n/a	3-Jun	450.00	0.0
TROUBH PART	070	GM	S	25,000	34.35	n/a	3-Jun	1,250.00	0.0
CSFB GLOBAL PROPRIETARY	041	GPK	B	20,000	7.56	n/a	n/a	1,000.00	0.0
f JOHN M HICKEY	FID	HDY	S	1500	0.49	n/a	n/a	0.00	0.0
f SERGEI BARANOVSKY	FID	INTC	S	55	0.58	n/a	n/a	0.00	0.0
CSFB GLOBAL PROPRIETARY	041	IP	B	15,000	45.07	n/a	15-May	750.00	0.0
SCOPUS FUND	041	IR	S	39,306	57.92	n/a	9-May	1,572.24	0.0
PAULSON & CO INC	041	IWM	SS	100,000	98.02	n/a	n/a	4,000.00	0.0
SIGMA CAPITAL ASSOCIATES	041	JCP	SS	25,000	17.83	n/a	22-May	750.00	0.0
FRONTIER	029	JEC	B	98,403	57.19	n/a	n/a	3,936.12	0.0
B BUCK CAPITAL MGMT		JNY	C	1,900	14.42	n/a	2-May	non-brg	1.0
B BUCK CAPITAL MGMT		JOY	B	10,000	53.05	n/a	11-Jul	non-brg	4.0
RIDGECREST INV MGMT LLC	028	KOP	S	2,500	39.85	n/a	n/a	100.00	0.0
B BUCK CAPITAL MGMT		KORS	B	50,000	61.62	n/a	30-May	non-brg	4.0
NUVEEN - US BANCORP		030 KSU	S	14,719	108.92		n/a	n/a	662.37 0.0
B BUCK CAPITAL MGMT		LPX	B	60,000	17.02	n/a	31-May	non-brg	1.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CSFB GLOBAL PROPRIETARY	041	LPX	B	75,000	16.63	n/a	31-May	3,750.00	0.0
DC CAPITAL	044	LPX	B	50,000	16.56	n/a	31-May	2,000.00	0.0
LOMAS CAPITAL	040	LPX	B	168,300	17.09	n/a	31-May	5,049.00	0.0
SMITH MGMT/ALDEN GLOBAL		029 LPX	B	277,000	17.01		n/a 31-May	13,850.00	0.0
NUVEEN - US BANCORP		030 MCK	S	14,559	112.11		n/a n/a	655.16	0.0
PECONIC PARTNERS	036	NBL	B	50,000	57.91	n/a	n/a	2,500.00	0.0
NWQ INVESTMENT MGMT CO	084	NP	S	24,083	31.39	n/a	13-May	842.91	0.0
CSFB GLOBAL PROPRIETARY	041	RKT	B	1,770	96.89	n/a	15-May	88.50	0.0
SHEFFIELD ASSET MGMT	031	RKT	B	41,500	97.24	n/a	15-May	1,660.00	0.0
SCOGGIN CAP	041	SFD	S	92,000	32.86	n/a	n/a	4,600.00	0.0
B BUCK CAPITAL MGMT		SKS	C	30,000	14.91	n/a	n/a	non-brg	4.0
BASSWOOD PARTNERS	267	SNV	B	250,000	2.71	n/a	n/a	7,500.00	0.0
f IAN L MILLER	FID	SNV	B	500	2.72	n/a	n/a	0.00	0.0
STRONG/MARK GRONET	030	SSI	B	126,135	22.69	n/a	21-May	5,045.40	0.0
VERITION	028	ST	B	5,000	34.64	n/a	n/a	150.00	0.0
VERITION	028	TEX	B	10,000	34.76	n/a	n/a	300.00	0.0
WAGONHOUND/NICOLAS	033	TGT	S	19,253	69.54	n/a	23-May	770.12	0.0
NWQ INVESTMENT MGMT CO	084	TMS	S	10,000	15.11	n/a	n/a	350.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
ß BUCK CAPITAL MGMT		UAL	C	20,570	31.89	n/a	20-May	non-brg	4.0
ß BUCK CAPITAL MGMT		UAL	C	30,000	32.10	n/a	20-May	non-brg	1.0
ß BUCK CAPITAL MGMT		ULTA	B	10,000	89.66	n/a	n/a	non-brg	4.0
f FRANCIS MICHAEL MCCA	FID	USG	B	200	26.68	n/a	29-Apr	0.00	0.0
f FRANCIS MICHAEL MCCA	FID	USG	B	300	26.63	n/a	29-Apr	0.00	0.0
ß BUCK CAPITAL MGMT		VHS	B	10,000	13.26	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		WGO	B	31,900	20.79	n/a	n/a	non-brg	4.0
HERRING CREEK CAPITAL MGMT LLC040	WGO		B	10,000	20.63	n/a	n/a	300.00	0.0
f JONATHAN RICHARD HAR	FID	WNC	S	7020	10.41	n/a	n/a	0.00	0.0
TIEDEMANN/TIG ADVISORS LLC006	WTSL		S	24,200	4.84	n/a	n/a	1,210.00	0.0
CSFB GLOBAL PROPRIETARY	041	WY	B	50,000	29.87	n/a	31-May	2,500.00	0.0
WOOSTER CAPITAL	044	WY	B	50,000	29.90	n/a	31-May	2,000.00	0.0
f EDWARD W WHEELER	FID	XIDE	S	25000	0.47	n/a	n/a	0.00	0.0
f BRIAN P CLIFFORD	FID	XLP	S	500	40.12	n/a	n/a	0.00	0.0
f IAN L MILLER	FID	XRM	S	125	9.91	n/a	n/a	0.00	0.0
f JOHN M HICKEY	FID	ZNGA	S	1000	3.21	n/a	n/a	0.00	0.0

TOTAL (Trade Date):

102,494.71

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CXL	05/31	INTERVAL PARTNERS	033	DLTR	SS	7,100	49.12	n/a	24-May	213.00 0.0
AO,CRT	05/31	INTERVAL PARTNERS	033	DLTR	SS	7,100	49.12	n/a	24-May	213.00 0.0

TOTAL (AO, CXL, CRT) :	0.00
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TOTAL (Trade Date) :	102,494.71
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS:	102,494.71
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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 3-Jun.
NONE

MRI Securities without Trade Activity on 3-Jun.
COL, STZ

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)