



Daily Compliance Activity Report

Trade Date: 05/17/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f DAVID GEORGE BUCK	FID	AAPL	S	5	2.98	n/a	n/a	0.00	0.0
f YANAI A FRANK	FID	ADSK	B	300	35.07	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ANN	C	28,000	30.80	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		ANN	C	31,000	30.90	n/a	n/a	non-brg	0.8
HERRING CREEK CAPITAL MGMT LLC040		APOL	S	22,316	21.34	n/a	n/a	669.48	0.0
f GABRIELLA ROSA AMATU	FID	ARCO	S	203	15.23	n/a	2-May	0.00	0.0
f GIANNA VICTORIA AMAT	FID	ARCO	S	101	15.22	n/a	2-May	0.00	0.0
f JOSEPH CIRO AMATURO	FID	ARCO	S	2047	15.24	n/a	2-May	0.00	0.0
f JOSEPH CIRO AMATURO	FID	ARCO	S	3066	15.24	n/a	2-May	0.00	0.0
f JOSEPH CIRO AMATURO	FID	ARCO	S	6141	15.25	n/a	2-May	0.00	0.0
f OLIVIA DANIELLA AMAT	FID	ARCO	S	101	15.22	n/a	2-May	0.00	0.0
B BUCK CAPITAL MGMT		ARO	C	71,220	16.23	n/a	n/a	non-brg	2.5
WADDELL AND REED	047	ARUN	S	400,600	12.91	n/a	n/a	16,024.00	0.0
f JONATHAN RICHARD HAR	FID	AXL	S	200	16.86	n/a	16-May	0.00	0.0
f DAVID GEORGE BUCK	FID	BAX	B	1000	72.80	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		BBBY	C	49,100	68.85	n/a	n/a	non-brg	4.0
f JOHN MICHAEL ZOLIDIS	FID	BBW	B	1000	6.63	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f BRIAN P CLIFFORD	FID	BRCD	B	4000	5.49	n/a	n/a	0.00	0.0
KEY ASSET MGMT/VICTORY	220	BRCM	B	257,780	37.33	n/a	n/a	10,311.20	0.0
f FRANCIS MICHAEL MCCA	FID	BUD	S	100	96.44	n/a	1-May	0.00	0.0
BRIGADE CAPITAL MGMT	029	BZH	S	25,000	22.00	n/a	n/a	750.00	0.0
B BUCK CAPITAL MGMT		CAR	S	10,000	31.73	n/a	n/a	non-brg	4.0
PRIMECAP MGMT	084	CCL	S	3,800	34.90	n/a	n/a	152.00	0.0
f FRANCIS MICHAEL MCCA	FID	COF	S	200	60.80	n/a	16-May	0.00	0.0
B BUCK CAPITAL MGMT		DATA	B	500	31.00	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		DATA	S	500	47.00	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		DGX	B	33,100	60.56	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		DG	B	20,000	53.53	n/a	26-Mar	non-brg	4.0
FEIN	084	DSW	B	20,000	69.58	n/a	11-Feb	600.00	0.0
B BUCK CAPITAL MGMT		FL	S	20,000	36.41	n/a	16-May	non-brg	4.0
NWQ INVESTMENT MGMT CO	084	FOR	S	8,390	23.98	n/a	9-May	293.69	0.0
B BUCK CAPITAL MGMT		FWM	S	20,000	19.95	n/a	n/a	non-brg	1.0
TRELLUS PARTNERS LP	028	F	SS	10,000	14.85	n/a	16-May	300.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
f PETER D GOLDSTEIN	FID	GDV	S	1000	20.12	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		GIII	S	10,000	42.16	n/a	n/a	non-brg	4.0
WHITE PINE CAPITAL	030	GIS	S	4,100	50.04	n/a	n/a	205.00	0.0
FEIN	084	GM	B	30,000	33.21	n/a	16-May	900.00	0.0
f PETER D GOLDSTEIN	FID	GS	B	24	96.08	n/a	6-May	0.00	0.0
f PETER D GOLDSTEIN	FID	GS	S	24	157.76	n/a	6-May	0.00	0.0
f ALICE BEEBE LONGLEY	FID	IAU	S	2000	13.28	n/a	n/a	0.00	0.0
ROSEDALE CAPITAL	046	INTC	S	10,000	23.99	n/a	n/a	400.00	0.0
BRONSON POINT	036	IP	B	25,000	48.14	n/a	15-May	750.00	0.0
f MATTHEW FRANCIS BUCK	FID	IWF	B	100	75.96	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		JBLU	B	76,700	6.47	n/a	10-May	non-brg	3.0
TIDE POINT CAPITAL	028	JCI	B	40,000	37.30	n/a	6-May	1,200.00	0.0
PARKWEST	084	JCP	B	20,000	17.73	n/a	17-May	800.00	0.0
CR INTRINIC INVESTMENT	044	JOSB	B	20,000	45.72	n/a	n/a	600.00	0.0
B BUCK CAPITAL MGMT		JWN	C	40,000	59.14	n/a	17-May	non-brg	4.0
CRAMER ROSENTHAL	070	KORS	B	10,000	60.15	n/a	22-Apr	400.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		KSS	C	30,300	52.00	17-May	17-May	non-brg	4.0
SANDLER O'NEILL ASSET	031	LAZ	B	20,106	34.53	n/a	6-May	1,005.30	0.0
KEY ASSET MGMT/VICTORY	220	MCHP	S	293,950	36.97	n/a	n/a	11,758.00	0.0
f MARK MEGALLI	FID	MHGC	S	10000	6.97	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		MKTO	B	500	13.00	n/a	n/a	non-brg	0.0
B BUCK CAPITAL MGMT		MKTO	S	500	20.00	n/a	n/a	non-brg	2.5
PATTEN & PATTEN	025	MMM	S	100	111.30	n/a	n/a	5.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT) 251	MWV		B	7,600	35.44		n/a 16-May	152.00	0.0
RIDGECREST INV MGMT LLC	028	MWV	B	2,500	35.82	n/a	16-May	100.00	0.0
B BUCK CAPITAL MGMT		NCLH	B	29,600	31.58	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		NCLH	B	50,400	31.54	n/a	n/a	non-brg	4.0
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	30.82	n/a	13-May	400.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT) 251	NUAN		B	2,500	18.60		n/a n/a	50.00	0.0
f DAVID GEORGE BUCK	FID	PBYI	B	1000	37.16	n/a	n/a	0.00	0.0
f MARC PAUL LUCHANSKY	FID	PCRRX	S	1679	6.14	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		PLCE	C	30,000	51.19	n/a	17-May	non-brg	4.0
PARAMETER CAPITAL MGMT LLC044	PNR		S	15,000	58.06	n/a	n/a	450.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PATTEN & PATTEN	025	PNR	S	62	57.78	n/a	n/a	3.10	0.0
ß BUCK CAPITAL MGMT		PSMT	SS	18,500	88.26	n/a	n/a	non-brg	4.0
PROVIDENCE EQUITY CAP. MKTS.	040	ROIAK	B	4,735	2.35	n/a	n/a	142.05	0.0
TRUSTCO/SUNTRUST (CEREDEX)	273	SAI	S	181,193	15.48	n/a	n/a	5,798.18	0.0
ß BUCK CAPITAL MGMT		SHOO	S	10,000	47.76	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		SKS 11 P11	SS	2,000	0.82	n/a	n/a	non-brg	100.0
f DAVID GEORGE BUCK	FID	SNTA	S	2000	7.49	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		SSI	B	16,100	24.44	n/a	17-May	non-brg	4.0
ß BUCK CAPITAL MGMT		SSI	B	25,000	24.45	n/a	17-May	non-brg	4.0
ß BUCK CAPITAL MGMT		SSI	B	25,000	24.47	n/a	17-May	non-brg	4.0
ß BUCK CAPITAL MGMT		SSI	B	25,000	24.66	n/a	17-May	non-brg	4.0
M&I FUNDS	047	SSI	B	5,200	24.13	n/a	17-May	208.00	0.0
WEISS PECK/ROBECO/BOSTON PT		040	SSI	C	3,100	24.29	n/a	17-May	155.00 0.0
HERRING CREEK CAPITAL MGMT LLC	040	SWFT	C	21,000	16.83	n/a	n/a	630.00	0.0
ACK ASSET	028	TCP	S	5,000	44.30	n/a	n/a	150.00	0.0
CLEARLINE CAPITAL LLC	040	TDS	S	6,000	23.68	n/a	n/a	180.00	0.0
f KEVIN MICHAEL O'GORM	FID	TLT	S	10	3.85	n/a	n/a	0.00	0.0
ADAGE CAPITAL MGMT	030	TPX	SS	100,000	47.57	n/a	n/a	3,000.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TIDE POINT CAPITAL	028	TRW	B	15,000	62.80	n/a	n/a	450.00	0.0
B BUCK CAPITAL MGMT		TSCO	S	7,600	112.16	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	025	TYC	S	261	34.08	n/a	26-Apr	13.05	0.0
ADAGE CAPITAL MGMT	030	T	S	380,000	37.26	n/a	n/a	11,400.00	0.0
f DAVID GEORGE BUCK	FID	WLP	S	1500	77.55	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	WLP	S	200	77.54	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	WLP	S	150	77.56	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		WMT	C	16,000	77.91	n/a	16-May	non-brg	4.0
SCOPIA CAPITAL	025	WU	SS	226,628	16.65	n/a	n/a	9,065.12	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	YUM	B	50,000	69.46	n/a	13-May	1,500.00	0.0
TOTAL (Trade Date) :								80,970.17	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	05/15	PROVIDENCE EQUITY CAP. MKTS.	040	CBB	B	85,000	3.62	n/a	n/a	1700.00 2.0
AO,CXL	05/15	PROVIDENCE EQUITY CAP. MKTS.	040	CBB	B	85,000	3.62	n/a	n/a	2550.00 0.0
AO,CRT	05/16	TRELLUS PARTNERS LP	028	F	SS	10,000	14.79	n/a	16-May	300.00 0.0
AO,CXL	05/16	TRELLUS PARTNERS LP	028	F	SS	10,000	14.79	n/a	16-May	400.00 0.0
AO,CRT	05/16	PROVIDENCE EQUITY CAP. MKTS.	040	FSL	B	150,000	16.75	n/a	n/a	3000.00 2.0
AO,CXL	05/16	PROVIDENCE EQUITY CAP. MKTS.	040	FSL	B	150,000	16.75	n/a	n/a	4500.00 0.0
AO,CRT	05/08	LOCUST WOOD CAPITAL MGMT	044	NCT	B	286,500	5.20	n/a	n/a	5730.00 2.0
AO,CXL	05/08	LOCUST WOOD CAPITAL MGMT	044	NCTWI	B	286,500	0.00	n/a	n/a	5730.00 2.0
AO,CXL	05/16	FIRST NEW YORK NICK	029	NOK	S	20,000	3.75	n/a	n/a	1000.00 0.0
AO,CRT	05/16	FIRST NEW YORK NICK	029	NOK	S	20,000	3.75	n/a	n/a	800.00 0.0
AO,CRT	05/15	PROVIDENCE EQUITY CAP. MKTS.	040	ROIAK	B	74,600	2.21	n/a	n/a	1492.00 2.0
AO,CXL	05/15	PROVIDENCE EQUITY CAP. MKTS.	040	ROIAK	B	74,600	2.21	n/a	n/a	2238.00 0.0
AO,CRT	05/16	PROVIDENCE EQUITY CAP. MKTS.	040	ROIAK	B	25,300	2.35	n/a	n/a	506.00 2.0
AO,CXL	05/16	PROVIDENCE EQUITY CAP. MKTS.	040	ROIAK	B	25,300	2.35	n/a	n/a	759.00 0.0
AO,	05/16	COLUMBUS CIRCLE	036	SUSS	S	2,286	50.25	n/a	n/a	91.44 0.0
TOTAL (AO, CXL, CRT) :										-3,557.56

TOTAL (Trade Date):	80,970.17
TOTAL (AO, CXL, CRT):	-3,557.56

TOTAL (RUN DATE) / NFS:	77,412.61
--------------------------------	------------------

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CXL	05/15	BUCK CAPITAL MGMT.	ANN	C	30,000	31.20	n/a	n/a	1200.00
CRT	05/15	BUCK CAPITAL MGMT	ANN	C	30,000	31.20	n/a	n/a	1200.00 4.0

MRI Securities with Trade Activity on 17-May.

KSS

MRI Securities without Trade Activity on 17-May.

AVP

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)