



# Daily Compliance Activity Report

Trade Date: 07/25/2013

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	508	220.54	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		AEO	B	40,000	19.23	n/a	2-Dec	non-brg	4.0
f CLIFFORD A LONGLEY	FID	ARG	B	3	102.34	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		ARO	B	40,000	14.68	n/a	n/a	non-brg	4.0
SCOPUS FUND	041	AXL	S	115,000	18.93	n/a	19-Jun	4,600.00	0.0
f DOUGLAS R ROGERS	FID	BACPRD	B	1000	24.89	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		BCC	B	10,000	27.03	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		BCC	B	10,000	27.35	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BCC	B	12,000	26.64	n/a	n/a	non-brg	4.0
KEYGROUP/KGLT	040	BHI	S	25,000	47.32	n/a	n/a	1,000.00	0.0
ß BUCK CAPITAL MGMT		BID	SS	30,000	41.63	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		BIG	C	15,000	35.91	n/a	n/a	non-brg	4.0
BLACKTHORN	047	BK	B	30,000	31.82	n/a	6-Jun	1,500.00	0.0
ß BUCK CAPITAL MGMT		BLMN	B	25,000	22.60	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		CERN	SS	10,200	49.47	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROTHSCHILD ASSET	040	CMS	S	62,867	28.11	n/a	n/a	2,514.68	0.0
<b>B</b> BUCK CAPITAL MGMT		<b>CNAT</b>	<b>B</b>	<b>1,000</b>	<b>11.00</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>CNAT</b>	<b>S</b>	<b>1,000</b>	<b>10.16</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
LOMAS CAPITAL	040	CNW	B	9,700	39.52	n/a	n/a	291.00	0.0
<b>B</b> BUCK CAPITAL MGMT		<b>COH</b>	<b>C</b>	<b>20,000</b>	<b>59.41</b>	<b>n/a</b>	<b>30-May</b>	<b>non-brg</b>	<b>4.0</b>
BESSEMER INVESTMENT	085	COL	B	17,291	71.04	n/a	11-Jun	691.64	0.0
LOMAS CAPITAL	040	CSX	SS	60,000	24.81	n/a	n/a	1,800.00	0.0
S.A.C. CAPITAL	044	CX	B	15,000	11.56	n/a	n/a	450.00	0.0
<b>f</b> DAVID GEORGE BUCK	<b>FID</b>	<b>C</b>	<b>S</b>	<b>10</b>	<b>0.16</b>	<b>n/a</b>	<b>17-Jun</b>	<b>0.00</b>	<b>0.0</b>
FIRST NY SEC/CHRIS	041	DAL	B	15,000	21.23	n/a	18-Jun	750.00	0.0
BASSWOOD PARTNERS	267	DAN	B	54,200	21.26	n/a	19-Jun	1,626.00	0.0
J. GOLDMAN	028	DDS	B	5,000	81.72	n/a	n/a	200.00	0.0
SIGMA CAPITAL ASSOCIATES	041	DDS	SS	25,000	81.84	n/a	n/a	750.00	0.0
<b>B</b> BUCK CAPITAL MGMT		<b>DHI</b>	<b>B</b>	<b>125,000</b>	<b>19.58</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>EXPE</b>	<b>C</b>	<b>76,875</b>	<b>50.36</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>EXPE</b>	<b>SS</b>	<b>8,000</b>	<b>64.94</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> RAVI SADARANGANI	<b>FID</b>	<b>FB</b>	<b>S</b>	<b>200</b>	<b>3.57</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
<b>B BUCK CAPITAL MGMT</b>		<b>FDO</b>	<b>C</b>	<b>40,000</b>	<b>68.25</b>	<b>n/a</b>	<b>4-Jun</b>	<b>non-brg 4.0</b>
BALYASNY ASSET MGMT	044	FL	C	35,000	35.90	n/a	19-Jun	1,750.00 0.0
LEVIN CAPITAL STRATEGIES	041	F	C	20,000	17.01	n/a	19-Jun	600.00 0.0
SCOPUS FUND	041	F	SS	100,000	16.95	n/a	19-Jun	4,000.00 0.0
BRONSON POINT	036	GM	B	50,000	36.91	n/a	19-Jun	1,500.00 0.0
CAERUS GLOBAL	041	GM	B	25,000	37.35	n/a	19-Jun	1,000.00 0.0
PATRIOT STRATEGY PARTNERS	036	GM	B	20,000	36.81	n/a	19-Jun	800.00 0.0
S.A.C. CAPITAL	044	GM	B	25,000	36.90	n/a	19-Jun	750.00 0.0
VERITION	028	GM	B	10,000	36.78	n/a	19-Jun	300.00 0.0
<b>B BUCK CAPITAL MGMT</b>		<b>GNC 8 C50</b>	<b>C</b>	<b>1,000</b>	<b>1.27</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg 300.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>GNC</b>	<b>S</b>	<b>20,000</b>	<b>51.77</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg 4.0</b>
ROYSTONE CAPITAL	040	GNTX	B	51,500	21.69	n/a	19-Jun	1,545.00 0.0
CAMBIAR CAP	046	GPI	B	1,800	68.61	n/a	19-Jun	72.00 0.0
BRONSON POINT	036	GT	B	50,000	16.76	n/a	n/a	1,500.00 0.0
BRONSON POINT	036	HAL	B	25,000	44.74	n/a	n/a	750.00 0.0
<b>B BUCK CAPITAL MGMT</b>		<b>HBI</b>	<b>B</b>	<b>10,000</b>	<b>58.14</b>	<b>n/a</b>	<b>3-May</b>	<b>non-brg 4.0</b>
ROXBURY CAPITAL (HOOD RIVER CAP)	033	HBI	S	97,235	58.54		n/a 3-May	3,889.40 0.0
SCOPUS FUND	041	HBI	B	10,000	58.49	n/a	3-May	400.00 0.0
CR INTRINSIC/CHRIS C	041	HTZ	S	15,000	26.75	n/a	n/a	450.00 0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SENATOR INVESTMENT GROUP	287	HUN	B	54,395	17.77	n/a	n/a	1,631.85	0.0
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>HWCC</b>	<b>S</b>	<b>15000</b>	<b>14.88</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f EDWARD W WHEELER</b>	<b>FID</b>	<b>HWCC</b>	<b>S</b>	<b>5000</b>	<b>14.82</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ICEL</b>	<b>B</b>	<b>1,000</b>	<b>12.00</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ICEL</b>	<b>S</b>	<b>1,000</b>	<b>10.24</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
BARROW HANLEY MEWHINNEY	031	IP	SS	10,000	50.11	n/a	17-Jun	400.00	0.0
CSFB GLOBAL PROPRIETARY	041	IP	B	10,000	47.00	n/a	17-Jun	500.00	0.0
CSFB GLOBAL PROPRIETARY	041	IP	SS	5,000	49.59	n/a	17-Jun	250.00	0.0
CSFB GLOBAL PROPRIETARY	041	IP	S	43,000	48.68	n/a	17-Jun	2,150.00	0.0
SCOPUS FUND	041	IP	S	25,000	50.04	n/a	17-Jun	1,000.00	0.0
<b>LISTED ERR</b>	<b>099</b>	<b>IP</b>	<b>B</b>	<b>5,300</b>	<b>50.09</b>	<b>n/a</b>	<b>17-Jun</b>	<b>0.00</b>	<b>0.0</b>
<b>LISTED ERR</b>	<b>099</b>	<b>IP</b>	<b>S</b>	<b>5,300</b>	<b>50.09</b>	<b>n/a</b>	<b>17-Jun</b>	<b>0.00</b>	<b>0.0</b>
S.A.C. CAPITAL	044	ITB	B	116,320	21.62	n/a	n/a	3,489.60	0.0
<b>f YANAI A FRANK</b>	<b>FID</b>	<b>ITB</b>	<b>B</b>	<b>700</b>	<b>21.83</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
S.A.C. CAPITAL	044	IYR	B	13,000	67.84	n/a	n/a	390.00	0.0
BALYASNY ASSET MGMT	044	KSS	C	75,000	53.36	n/a	18-Jun	3,750.00	0.0
SCOPUS FUND	041	LAD	S	5,000	58.69	n/a	n/a	200.00	0.0
FARALLON CAP MGMT	040	LCC	SS	134,720	18.68	n/a	18-Jun	4,041.60	0.0
J. GOLDMAN	028	LCC	S	30,000	18.50	n/a	18-Jun	1,200.00	0.0
TALON ASSET MGMT.	006	LCC	B	5,000	18.79	n/a	18-Jun	250.00	0.0
TIDE POINT CAPITAL	028	LEA	B	10,000	65.70	n/a	19-Jun	300.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		LEG	C	15,000	31.22	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		LEG	C	200,000	31.48	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		LEN	B	15,600	32.20	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		LEN	B	16,400	32.44	n/a	n/a	non-brg	4.0
TIEDEMANN/TIG ADVISORS LLC006		LEN	B	18,500	33.36	n/a	n/a	555.00	0.0
CR INTRINIC INVESTMENT	044	LPX	B	41,800	16.61	n/a	19-Jun	1,254.00	0.0
FIRST NY SEC/CHRIS	041	LUV	B	15,000	13.40	n/a	18-Jun	750.00	0.0
B BUCK CAPITAL MGMT		LVS	S	40,000	54.14	n/a	13-Jun	non-brg	4.0
COLUMBUS CIRCLE	036	MDVN	S	8,400	55.44	n/a	n/a	336.00	0.0
B BUCK CAPITAL MGMT		MOH	S	15,000	39.66	n/a	n/a	non-brg	4.0
HERRING CREEK CAPITAL MGMT LLC040	MSG		C	8,535	60.26	n/a	n/a	256.05	0.0
f EDWARD W WHEELER	FID	MTOR	S	200	1.30	n/a	n/a	0.00	0.0
J. GOLDMAN	028	M	B	15,000	47.77	n/a	18-Jun	600.00	0.0
RIVERLOFT CAPITAL	044	NCT	B	25,000	5.70	n/a	n/a	750.00	0.0
PATTEN & PATTEN	025	NEE	S	600	83.96	n/a	n/a	30.00	0.0
IRIDIAN ASSET MGMT.	036	OCR	S	27,670	53.21	n/a	n/a	1,383.50	0.0
B BUCK CAPITAL MGMT		ONTX	B	3,000	15.00	n/a	n/a	non-brg	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
BUCK CAPITAL MGMT		ONTX	S	3,000	22.44	n/a	n/a	non-brg 2.5
BUCK CAPITAL MGMT		OKM	C	15,000	67.49	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		PCLN	SS	1,200	899.63	n/a	n/a	non-brg 1.0
KAM ADVISORS LLC	041	PIR	B	103,365	23.37	n/a	n/a	3,100.95 0.0
JOSEPH CIRO AMATURO	FID	PSUN	B	10000	4.17	n/a	n/a	0.00 0.0
CLIFFORD A LONGLEY	FID	PX	B	2	119.15	n/a	n/a	0.00 0.0
PRIMECAP MGMT	084	QGEN	B	5,000	20.84	n/a	n/a	200.00 0.0
BUCK CAPITAL MGMT		RAD	B	200,000	2.86	n/a	n/a	non-brg 2.0
BUCK CAPITAL MGMT		RAD	B	200,000	2.89	n/a	n/a	non-brg 2.0
BUCK CAPITAL MGMT		RAD	B	50,015	2.86	n/a	n/a	non-brg 2.0
BUCK CAPITAL MGMT		RDN	S	36,100	13.80	n/a	n/a	non-brg 4.0
BUCK CAPITAL MGMT		RL	B	10,000	180.02	n/a	24-May	non-brg 4.0
HIGHFIELDS CAP MGMT	030	RSH	S	169,323	2.72	n/a	n/a	1,693.23 0.0
BUCK CAPITAL MGMT		SCSS	S	500	22.26	n/a	n/a	non-brg 1.0
MARC PAUL LUCHANSKY	FID	SGGH	B	2000	1.12	n/a	n/a	0.00 0.0
DPB CAPITAL	029	SIRI	B	5,000	3.74	n/a	n/a	250.00 0.0
DAVID GEORGE BUCK	FID	SPG	S	5	0.79	n/a	n/a	0.00 0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		SQBG-P	B	179,200	5.92	n/a	n/a	non-brg	0.0
⚡ BUCK CAPITAL MGMT		SQBG-P	S	179,200	5.92	n/a	n/a	non-brg	0.0
SCOPUS FUND	041	SSI	B	25,000	24.12	n/a	18-Jun	1,000.00	0.0
BLACKTHORN	047	STT	B	10,000	69.29	n/a	17-Jun	500.00	0.0
f CICILY S BACKUS	FID	STZ	B	1000	49.44	n/a	17-Jun	0.00	0.0
f LEE F BACKUS	FID	STZ	B	2000	49.44	n/a	17-Jun	0.00	0.0
⚡ BUCK CAPITAL MGMT		SWN	S	12,700	39.36	n/a	13-Jun	non-brg	4.0
f JASON ERIC COHEN	FID	TBT	S	200	76.35	n/a	n/a	0.00	0.0
BESSEMER INVESTMENT	085	TEN	S	77,700	48.82	n/a	n/a	3,108.00	0.0
⚡ BUCK CAPITAL MGMT		TEX	S	25,000	29.10	n/a	n/a	non-brg	4.0
J. GOLDMAN	028	TGT	B	25,000	71.73	n/a	23-May	1,000.00	0.0
SANDLER CAPITAL	028	TJX	S	270,000	51.53	n/a	18-Jun	13,500.00	0.0
J. GOLDMAN	028	UA	B	85,000	68.66	n/a	19-Jun	3,400.00	0.0
SURVEYOR CAPITAL	251	UA	SS	40,929	69.00	n/a	19-Jun	1,637.16	0.0
⚡ BUCK CAPITAL MGMT		UCP	B	16,508	14.01	n/a	n/a	non-brg	4.0
f CLIFFORD A LONGLEY	FID	UFI	B	18	23.17	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		ULTA	B	10,000	93.76	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SOROS	036	VLO	C	100,000	35.82	n/a	n/a	4,000.00	0.0
FARALLON CAP MGMT	040	VNTV	B	164,300	26.23	n/a	11-Jun	6,572.00	0.0
B BUCK CAPITAL MGMT		V	S	2,500	194.16	n/a	11-Jun	non-brg	4.0
B BUCK CAPITAL MGMT		WCIC	B	135,000	15.13	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		WCIC	B	15,000	15.00	n/a	n/a	non-brg	0.0
WINSLOW CAPITAL	030	WFC	S	965,000	43.61	n/a	6-Jun	28,950.00	0.0
f DAVID GEORGE BUCK	FID	WLP	B	1000	85.87	n/a	n/a	0.00	0.0
f JONATHAN RICHARD HAR	FID	WTSL	B	500	4.64	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		WWW	C	10,000	57.48	n/a	n/a	non-brg	4.0
S.A.C. CAPITAL	044	XLI	B	27,591	44.98	n/a	n/a	827.73	0.0
MERRILL ASSET/BLACKROCK	085	Y	S	2,400	397.20	n/a	n/a	96.00	0.0
<b>TOTAL (Trade Date) :</b>								<b>130,782.39</b>	



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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	07/24	CHARTER OAK	033	PWE	B	40,000	12.32	n/a	n/a	1600.00 4.0
AO,CXL	07/24	CHARTER OAK	033	PWE	B	40,000	12.32	n/a	n/a	2000.00 0.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>-400.00</b>
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TOTAL (Trade Date) :	130,782.39
TOTAL (AO, CXL, CRT) :	-400.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>130,382.39</b>
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO	07/24	BUCK CAPITAL MGMT	BCC	B	5,000	27.00	n/a	n/a	0.00	0.0

MRI Securities with Trade Activity on 25-Jul.  
NONE

MRI Securities without Trade Activity on 25-Jul.  
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)**