



Daily Compliance Activity Report

Trade Date: 07/30/2013

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	25	1.54	n/a	n/a	0.00	0.0
DC CAPITAL	044	ACI	B	250,000	3.99	n/a	n/a	10,000.00	0.0
B BUCK CAPITAL MGMT		AEO	B	30,000	19.55	n/a	2-Dec	non-brg	4.0
f DAVID GEORGE BUCK	FID	ARE	B	1500	69.27	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	ARE	B	250	69.32	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	ARE	B	250	69.29	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ARO	B	30,000	15.02	n/a	n/a	non-brg	4.0
f JONATHAN RICHARD HAR	FID	AXL	S	500	19.45	n/a	19-Jun	0.00	0.0
PEAK INV/OAKMONT/CYPRESS	084	BA	B	50,000	105.86	n/a	11-Jun	2,000.00	0.0
HOLLIS CAPITAL	033	BKS	S	5,000	17.29	n/a	n/a	250.00	0.0
B BUCK CAPITAL MGMT		BLMN	B	5,000	23.61	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		CAR	S	16,000	30.70	n/a	n/a	non-brg	1.0
f MANNY I KORMAN	FID	CBS	B	3000	52.37	n/a	n/a	0.00	0.0
MAIRS AND POWER INV	030	CHRW	B	60,000	59.16	n/a	n/a	3,000.00	0.0
f DAVID GEORGE BUCK	FID	CL	S	2000	60.26	n/a	17-Jun	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		COH	C	30,000	52.82	n/a	30-May	non-brg	1.0
CASTLEROCK	040	COH	B	9,868	52.97	n/a	30-May	394.72	0.0
M&I FUNDS	047	CROX	B	3,900	13.55	n/a	n/a	156.00	0.0
BRIGADE CAPITAL MGMT	029	CX	S	50,000	11.25	n/a	n/a	1,500.00	0.0
f DAVID GEORGE BUCK	FID	DG	B	2000	54.19	n/a	4-Jun	0.00	0.0
M&I FUNDS	047	DNKN	B	5,826	43.17	n/a	n/a	233.04	0.0
f JASON ERIC COHEN	FID	FB	S	200	37.37	n/a	n/a	0.00	0.0
PATTEN & PATTEN	025	FCX	B	300	28.16	n/a	n/a	15.00	0.0
HAWKEYE CAPITAL	087	FINL	S	25,700	22.35	n/a	19-Jun	771.00	0.0
KENNEDY CAPITAL	046	FINL	B	25,710	22.35	n/a	19-Jun	1,028.40	0.0
MAIRS AND POWER INV	030	FISV	B	70,000	92.60	n/a	n/a	3,500.00	0.0
B BUCK CAPITAL MGMT		FOR	S	100	21.86	n/a	9-May	non-brg	1.0
f SPENCER TODD CHERNUS	FID	FWM	B	20	24.95	n/a	n/a	0.00	0.0
VERITION	028	F	B	25,000	17.16	n/a	19-Jun	750.00	0.0
TIDE POINT CAPITAL	028	GM	B	25,000	36.49	n/a	19-Jun	750.00	0.0
B BUCK CAPITAL MGMT		HAL	S	11,000	45.40	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f JASON ERIC COHEN	FID	HLF	B	10	3.20	n/a	n/a	0.00	0.0
f EDWARD W WHEELER	FID	HRS	S	100	1.50	n/a	19-Apr	0.00	0.0
ENTRUST CAPITAL	040	INT	B	8,188	37.32	n/a	n/a	409.40	0.0
BTG PACTUAL	040	JBLU	B	25,000	6.38	n/a	18-Jun	750.00	0.0
B BUCK CAPITAL MGMT		JBLU	B	25,123	6.58	n/a	18-Jun	non-brg	1.0
WEISS PECK/ROBECO/BOSTON PT		040	JBLU	B	324,820	6.52	n/a	18-Jun	12,992.80 0.0
MACELLUM CAPITAL	086	JCP	B	64,000	16.27	n/a	18-Jun	1,920.00	0.0
SIGMA CAPITAL ASSOCIATES	041	JCP	SS	25,000	16.17	n/a	18-Jun	750.00	0.0
HOLLIS CAPITAL	033	KORS	B	6,000	64.66	n/a	30-May	300.00	0.0
STANDARD PACIFIC CAPITAL	084	MAN	SS	37,000	66.17	n/a	n/a	1,850.00	0.0
EPOCH INV MGMT	030	MHO	B	47,618	20.93	n/a	n/a	1,428.54	0.0
PATTEN & PATTEN	025	MOS	B	4,500	43.26	n/a	n/a	225.00	0.0
ROSEDALE CAPITAL	046	MOS	B	10,000	38.80	n/a	n/a	400.00	0.0
ROSEDALE CAPITAL	046	MSFT	B	15,000	31.70	n/a	n/a	600.00	0.0
PATTEN & PATTEN	025	MWV	B	500	36.19	n/a	18-Jun	25.00	0.0
RIDGECREST INV MGMT LLC	028	MWV	S	5,000	36.31	n/a	18-Jun	200.00	0.0
f MANNY I KORMAN	FID	NAV	B	4000	33.80	n/a	11-Jul	0.00	0.0
f MANNY I KORMAN	FID	NCR	B	4000	35.45	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BTG PACTUAL	040	NKE	B	15,500	62.95	n/a	19-Jun	465.00	0.0
f DAVID GEORGE BUCK	FID	NPSP	B	3000	18.01	n/a	n/a	0.00	0.0
COLUMBUS CIRCLE	036	PBI	B	11,900	16.39	n/a	n/a	476.00	0.0
B BUCK CAPITAL MGMT		PETM	SS	7,000	72.80	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		RAD	B	100,000	2.97	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		RAD	B	100,000	2.97	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		RAD	B	100,000	2.97	n/a	n/a	non-brg	2.0
DAVIDSON KEMPNER ADVISOR	281	RL	B	5,000	180.54	n/a	24-May	250.00	0.0
T. ROWE PRICE	243	RRC	B	42,900	79.90	n/a	13-Jun	1,716.00	0.0
B BUCK CAPITAL MGMT		SPN	B	10,000	25.12	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SPN	B	9,500	25.30	n/a	n/a	non-brg	4.0
TYVOR CAPITAL LLC	031	SWY	B	22,861	26.27	n/a	n/a	685.83	0.0
BRIGADE CAPITAL MGMT	029	USG	S	75,000	24.91	n/a	29-Apr	2,250.00	0.0
STANDARD PACIFIC CAPITAL	084	USG	B	98,800	24.98	n/a	29-Apr	4,940.00	0.0
PATTEN & PATTEN	025	VCSH	B	400	79.62	n/a	n/a	20.00	0.0
DAVIDSON KEMPNER ADVISOR	281	VFC	SS	2,500	197.64	n/a	12-Jun	125.00	0.0
f MARC PAUL LUCHANSKY	FID	VNTV	B	200	26.46	n/a	11-Jun	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CAMBIAR CAP	046	WEN	S	600,000	7.07	n/a	20-May	12,000.00	0.0
f DAVID GEORGE BUCK	FID	WLP	B	1000	85.02	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	WLP	B	200	85.04	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	WLP	B	200	85.03	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		WSM	SS	20,000	57.51	n/a	n/a	non-brg	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	WY	B	20,000	28.33	n/a	19-Jun	600.00	0.0
HARVEST MGMT (JMP)	029	ZUMZ	S	15,000	27.50	n/a	n/a	750.00	0.0
THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE	033	ZUMZ		S	24,821	27.96	n/a	n/a	744.63 0.0
TOTAL (Trade Date):								71,221.36	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,	07/29	CASTLEROCK	040	COH	SS	9,868	58.18	n/a	30-May	394.72 0.0
AO,CXL	07/29	CASTLEROCK	040	COH	SS	9,868	58.15	n/a	30-May	394.72 0.0
AO,	07/29	IRIDIAN ASSET MGMT.	036	ELN	S	289,190	15.53	n/a	n/a	14459.50 0.0
AO,CRT	07/29	TIDE POINT CAPITAL	028	LEA	B	5,000	67.51	n/a	19-Jun	150.00 0.0
AO,CXL	07/29	TIDE POINT CAPITAL	028	LEA	B	5,000	67.51	n/a	19-Jun	250.00 0.0

TOTAL (AO, CXL, CRT) :	14,359.50
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TOTAL (Trade Date) :	71,221.36
TOTAL (AO, CXL, CRT) :	14,359.50

TOTAL (RUN DATE) / NFS :	85,580.86
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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 30-Jul.
NONE

MRI Securities without Trade Activity on 30-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)