



# Daily Compliance Activity Report

Trade Date: 07/26/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
PATTEN & PATTEN	025	AA	S	5,000	8.07	n/a	n/a	250.00	0.0
BUCK CAPITAL MGMT		AEO	B	20,000	18.95	n/a	2-Dec	non-brg	4.0
BUCK CAPITAL MGMT		AEO	B	26,000	18.96	n/a	2-Dec	non-brg	4.0
SANDLER O'NEILL ASSET	031	AF	S	25,000	12.41	n/a	18-Apr	1,250.00	0.0
NOKOMIS PARTNERS	031	ALK	B	3,189	60.80	n/a	n/a	95.67	0.0
BUCK CAPITAL MGMT		ARO	B	20,000	14.51	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		ARO	B	35,000	14.59	n/a	n/a	non-brg	4.0
SIGMA CAPITAL ASSOCIATES	041	ASNA	SS	50,000	18.54	n/a	n/a	1,500.00	0.0
LATEEF MGMT	033	ATI	S	500	27.88	n/a	11-Jun	50.00	0.0
JOSEPH CIRO AMATURO	FID	ATVI	B	1000	17.50	n/a	n/a	0.00	0.0
BUCK CAPITAL MGMT		AXL	S	50,000	19.20	n/a	19-Jun	non-brg	4.0
BUCK CAPITAL MGMT		AXL	S	53,000	18.87	n/a	19-Jun	non-brg	4.0
MOORE CAPITAL	257	AXP	S	15,000	75.18	n/a	19-Jun	450.00	0.0
BUCK CAPITAL MGMT		BCC	B	20,000	26.38	n/a	n/a	non-brg	4.0
PATTEN & PATTEN	025	BDBD	B	3,000	13.71	n/a	n/a	150.00	0.0
BUCK CAPITAL MGMT		BIG	C	18,630	35.52	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
<b>B</b> BUCK CAPITAL MGMT		<b>BLMN</b>	<b>B</b>	<b>10,000</b>	<b>22.96</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
PATTEN & PATTEN	025	BTO	B	150	24.13	n/a	n/a	7.50	0.0
<b>f</b> IAN L MILLER	<b>FID</b>	<b>CCL</b>	<b>S</b>	<b>25</b>	<b>37.16</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>CERN</b>	<b>C</b>	<b>20,800</b>	<b>48.17</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
LAKEWOOD CAPITAL MGMT	085	CLNE	C	39,000	12.80	n/a	n/a	1,170.00	0.0
PATTEN & PATTEN	025	CL	B	100	59.87	n/a	17-Jun	5.00	0.0
BESSEMER INVESTMENT	085	COL	B	10,000	70.58	n/a	11-Jun	400.00	0.0
<b>B</b> BUCK CAPITAL MGMT		<b>DAL</b>	<b>S</b>	<b>23,000</b>	<b>21.76</b>	<b>n/a</b>	<b>18-Jun</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> CHRISTOPHER ROBERT C	<b>FID</b>	<b>DAL</b>	<b>B</b>	<b>150</b>	<b>21.89</b>	<b>n/a</b>	<b>18-Jun</b>	<b>0.00</b>	<b>0.0</b>
LATEEF MGMT	033	DE	B	250	82.62	n/a	11-Jul	50.00	0.0
<b>B</b> BUCK CAPITAL MGMT		<b>DHI</b>	<b>B</b>	<b>25,000</b>	<b>19.40</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
MOORE CAPITAL	257	EOG	S	10,000	145.93	n/a	n/a	300.00	0.0
PATTEN & PATTEN	025	EWC	S	2,500	28.02	n/a	n/a	125.00	0.0
<b>B</b> BUCK CAPITAL MGMT		<b>EXPE</b>	<b>C</b>	<b>44,875</b>	<b>47.77</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f</b> JARROD MICHAEL FEINS	<b>FID</b>	<b>FBC</b>	<b>S</b>	<b>300</b>	<b>16.98</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> JOSEPH CIRO AMATURO	<b>FID</b>	<b>FBC</b>	<b>S</b>	<b>11000</b>	<b>16.23</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>f</b>	<b>STEFFANIE CARMELA CA</b>	<b>FID</b>	<b>FBC</b>	<b>S</b>	<b>600</b>	<b>16.18</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
	CADIAN CAPITAL	041	FIO	SS	30,000	15.23	n/a	n/a	150.00	0.0
	LAKEWOOD CAPITAL MGMT	085	FIO	C	30,000	15.34	n/a	n/a	900.00	0.0
	BALYASNY ASSET MGMT	044	FL	SS	30,000	36.32	n/a	19-Jun	1,500.00	0.0
	SURVEYOR CAPITAL	251	FL	B	10,000	36.29	n/a	19-Jun	400.00	0.0
<b>B</b>	<b>BUCK CAPITAL MGMT</b>		<b>FOR</b>	<b>S</b>	<b>8,732</b>	<b>21.82</b>	<b>n/a</b>	<b>9-May</b>	<b>non-brg</b>	<b>1.0</b>
	SCOPUS FUND	041	F	SS	50,000	17.04	n/a	19-Jun	2,000.00	0.0
	BRONSON POINT	036	GM	B	25,000	36.64	n/a	19-Jun	750.00	0.0
	SCOPUS FUND	041	GM	B	25,000	36.70	n/a	19-Jun	1,000.00	0.0
	BRONSON POINT	036	GT	B	25,000	16.70	n/a	n/a	750.00	0.0
<b>B</b>	<b>BUCK CAPITAL MGMT</b>		<b>HDS</b>	<b>B</b>	<b>23,000</b>	<b>21.48</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
	MOORE CAPITAL	257	HP	S	10,000	67.03	n/a	n/a	300.00	0.0
	CR INTRINSIC/CHRIS C	041	HTZ	S	15,000	26.45	n/a	n/a	450.00	0.0
	ROVER CAPITAL PARTNERS	031	IP	B	3,500	49.29	n/a	17-Jun	175.00	0.0
	SAGE ASSET MGMT	025	IP	S	4,100	49.01	n/a	17-Jun	205.00	0.0
	LATEEF MGMT	033	JCI	S	500	40.92	n/a	10-Jun	50.00	0.0
	PATTEN & PATTEN	025	KMB	S	150	98.26	n/a	17-Jun	7.50	0.0
	LATEEF MGMT	033	KR	S	500	39.52	n/a	n/a	50.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SANDLER O'NEILL ASSET	031	LAZ	S	35,000	36.49	n/a	6-May	1,750.00	0.0
BRONSON POINT	036	LEA	S	66,300	67.20	n/a	19-Jun	1,989.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>LEG</b>	<b>C</b>	<b>32,190</b>	<b>30.44</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>LNKD</b>	<b>S</b>	<b>10</b>	<b>3.58</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CR INTRINIC INVESTMENT	044	LPX	B	15,000	16.39	n/a	19-Jun	450.00	0.0
ASCEND PARTNERS	033	LULU	S	55,000	68.94	n/a	19-Jun	1,650.00	0.0
LOMAS CAPITAL	040	MET	B	13,000	48.58	n/a	n/a	390.00	0.0
PATTEN & PATTEN	025	MMM	B	67	116.31	n/a	n/a	3.35	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>MOH</b>	<b>B</b>	<b>50,000</b>	<b>39.48</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
PATTEN & PATTEN	025	MOS	B	1,500	52.53	n/a	n/a	75.00	0.0
PATTEN & PATTEN	025	MWV	B	2,600	36.30	n/a	18-Jun	130.00	0.0
TUDOR INVESTORS	028	MWV	S	5,000	36.21	n/a	18-Jun	150.00	0.0
<b>f JOSEPH CIRO AMATURO</b>	<b>FID</b>	<b>NATDF</b>	<b>B</b>	<b>2000</b>	<b>9.98</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
PATTEN & PATTEN	025	NKE	B	1,000	62.55	n/a	19-Jun	50.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>OXM</b>	<b>C</b>	<b>7,500</b>	<b>67.05</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
PATTEN & PATTEN	025	PCH	S	100	44.14	n/a	19-Jun	5.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⌘ BUCK CAPITAL MGMT		PETM	SS	7,000	71.42	n/a	n/a	non-brg	4.0
ARDSLEY PARTNERS	280	PHM	S	100,000	16.47	n/a	n/a	5,000.00	0.0
⌘ BUCK CAPITAL MGMT		RAD	B	149,985	2.93	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		RAD	B	172,800	2.93	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		RAD	B	200,015	2.99	n/a	n/a	non-brg	2.0
⌘ BUCK CAPITAL MGMT		RAD	B	300,000	2.96	n/a	n/a	non-brg	2.0
S.A.C. CAPITAL	044	RKT	S	21,500	111.61	n/a	17-Jun	645.00	0.0
⌘ BUCK CAPITAL MGMT		R	S	16,000	61.20	n/a	n/a	non-brg	4.0
MOORE CAPITAL	257	SBUX	S	15,000	72.42	n/a	17-Jun	450.00	0.0
LATEEF MGMT	033	SWY	B	500	26.04	n/a	n/a	50.00	0.0
⌘ BUCK CAPITAL MGMT		TEX	S	27,600	28.54	n/a	n/a	non-brg	4.0
TUDOR INVESTORS	028	TKR	B	5,000	56.46	n/a	n/a	150.00	0.0
LATEEF MGMT	033	T	B	500	35.46	n/a	n/a	50.00	0.0
⌘ BUCK CAPITAL MGMT		UCP	B	20,000	13.98	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		ULTA	B	10,000	96.73	n/a	n/a	non-brg	4.0
⌘ BUCK CAPITAL MGMT		URI	S	10,000	54.89	n/a	17-Apr	non-brg	4.0
MOORE CAPITAL	257	UTX	B	20,000	104.33	n/a	n/a	600.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
FARALLON CAP MGMT	040	VNTV	B	59,400	26.30	n/a	11-Jun	2,376.00	0.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>V</b>	<b>S</b>	<b>10</b>	<b>0.75</b>	<b>n/a</b>	<b>11-Jun</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>WCIC</b>	<b>B</b>	<b>20,000</b>	<b>15.70</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
TYVOR CAPITAL LLC	031	WFM	SS	10,000	54.59	n/a	n/a	500.00	0.0
HERRING CREEK CAPITAL MGMT LLC	040	WGO	B	24,700	23.90	n/a	n/a	741.00	0.0
<b>f ANTHONY SUTERA</b>	<b>FID</b>	<b>WNC</b>	<b>B</b>	<b>1000</b>	<b>10.02</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f CHRISTOPHER ARTHUR K</b>	<b>FID</b>	<b>WNC</b>	<b>B</b>	<b>1000</b>	<b>10.03</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f HARALAMBOS EFSTATHI</b>	<b>FID</b>	<b>WNC</b>	<b>S</b>	<b>2000</b>	<b>10.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f JOHN M HICKEY</b>	<b>FID</b>	<b>WNC</b>	<b>B</b>	<b>1000</b>	<b>10.02</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ZTS</b>	<b>B</b>	<b>16,700</b>	<b>30.11</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>TOTAL (Trade Date):</b>								<b>31,695.02</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	07/25	BLACKTHORN	047	BK	B	30,000	31.82	n/a	6-Jun	1500.00 0.0
AO,CXL	07/25	BLACKTHORN	047	BK	B	30,000	31.82	n/a	6-Jun	1500.00 0.0
AO,	07/25	BASSWOOD PARTNERS	267	DAN	B	54,200	21.32	n/a	19-Jun	2168.00 0.0
AO,CXL	07/25	BASSWOOD PARTNERS	267	DAN	B	54,200	21.26	n/a	19-Jun	1626.00 0.0
AO,	07/25	ROYSTONE CAPITAL	040	GNTX	B	51,500	21.69	n/a	19-Jun	1545.00 0.0
AO,CXL	07/25	ROYSTONE CAPITAL	040	GNTX	B	51,500	21.69	n/a	19-Jun	1545.00 0.0
AO,	07/25	ASCEND PARTNERS	033	HBI	B	99,955	58.27	n/a	3-May	2998.65 0.0
AO,CXL	07/25	BARROW HANLEY MEWHINNEY	031	IP	SS	10,000	50.11	n/a	17-Jun	400.00 0.0
AO,CRT	07/25	ROVER CAPITAL PARTNERS	031	IP	SS	10,000	50.11	n/a	17-Jun	400.00 0.0
AO,	07/25	TIDE POINT CAPITAL	028	LEA	B	10,000	65.70	n/a	19-Jun	300.00 0.0
AO,CXL	07/25	TIDE POINT CAPITAL	028	LEA	B	10,000	65.70	n/a	19-Jun	300.00 0.0
AO,CXL	07/25	TIEDEMANN/TIG ADVISORS LLC	006	LEN	B	18,500	33.36	n/a	n/a	555.00 0.0
AO,CRT	07/25	TIEDEMANN/TIG ADVISORS LLC	006	LEN	B	18,500	33.36	n/a	n/a	555.00 3.0
AO,CRT	07/25	BLACKTHORN	047	STT	B	10,000	69.29	n/a	17-Jun	500.00 0.0
AO,CXL	07/25	BLACKTHORN	047	STT	B	10,000	69.29	n/a	17-Jun	500.00 0.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>3,540.65</b>

TOTAL (Trade Date):	31,695.02
TOTAL (AO, CXL, CRT):	3,540.65

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>35,235.67</b>
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BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CXL	07/25	BUCK CAPITAL MGMT.	TEX	S	25,000	29.10	n/a	n/a	1000.00
CRT	07/25	BUCK CAPITAL MGMT	TEX	S	25,000	29.09	n/a	n/a	1000.00 4.0

MRI Securities with Trade Activity on 26-Jul.  
NONE

MRI Securities without Trade Activity on 26-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)**