



# Daily Compliance Activity Report

Trade Date: 05/23/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B</b> BUCK CAPITAL MGMT		<b>AAP</b>	<b>C</b>	<b>28,100</b>	<b>84.37</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
MERRILL ASSET/BLACKROCK	085	ACC	S	1,700	42.68	n/a	n/a	68.00	0.0
SENATOR INVESTMENT GROUP	036	ACT	S	25,000	128.61	n/a	21-May	750.00	0.0
<b>f</b> CICYLY S BACKUS	<b>FID</b>	<b>ADT</b>	<b>B</b>	<b>2000</b>	<b>42.02</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> LEE F BACKUS	<b>FID</b>	<b>ADT</b>	<b>B</b>	<b>3000</b>	<b>41.97</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
HOLLIS CAPITAL	033	AGN	S	5,000	97.75	n/a	21-May	250.00	0.0
<b>f</b> LEE F BACKUS	<b>FID</b>	<b>AIG</b>	<b>B</b>	<b>2500</b>	<b>44.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> SNEJANA P GARFUNKEL	<b>FID</b>	<b>AIG</b>	<b>B</b>	<b>500</b>	<b>44.55</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>ANF</b>	<b>S</b>	<b>10,000</b>	<b>53.18</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
HERRING CREEK CAPITAL MGMT LLC	040	APOL	B	26,500	20.81	n/a	n/a	795.00	0.0
PROVIDENCE EQUITY CAP. MKTS.	040	BONT	S	38,996	19.55	n/a	23-May	1,169.88	0.0
SCOPUS FUND	041	CBT	S	4,728	39.30	n/a	n/a	189.12	0.0
LOMAS CAPITAL	040	CNW	S	38,400	38.23	n/a	n/a	1,152.00	0.0
STRONG/MARK GRONET	030	CRAY	B	10,000	17.65	n/a	n/a	400.00	0.0
APEX CAPITAL MGMT.	033	CX	C	145,800	11.37	n/a	n/a	5,832.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
HIGHBRIDGE CAP	041	CX	SS	15,696	11.38	n/a	n/a	470.88	0.0
HIGHBRIDGE CAP	041	CX	S	19,531	11.38	n/a	n/a	585.93	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>DECK</b>	<b>B</b>	<b>9,400</b>	<b>53.40</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
SANDLER O'NEILL ASSET	031	DFS	B	10,000	47.97	n/a	23-May	500.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>DHI 8 C27</b>	<b>C</b>	<b>750</b>	<b>1.13</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>300.0</b>
HIGHFIELDS CAP MGMT	030	DLTR	S	100,000	49.79	n/a	23-May	4,000.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>ECOM</b>	<b>B</b>	<b>500</b>	<b>14.00</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>ECOM</b>	<b>S</b>	<b>500</b>	<b>18.70</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
MERRILL ASSET/BLACKROCK	085	ESS	S	1,100	165.30	n/a	n/a	44.00	0.0
COLUMBUS CIRCLE	036	EVTC	B	4,459	20.01	n/a	n/a	178.36	0.0
BRONSON POINT	036	FB	S	25,000	25.26	n/a	n/a	750.00	0.0
<b>f YANAI A FRANK</b>	<b>FID</b>	<b>FCS</b>	<b>B</b>	<b>1000</b>	<b>13.90</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f KELLY ELIZABETH CLIF</b>	<b>FID</b>	<b>FKRCX</b>	<b>S</b>	<b>8</b>	<b>18.31</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MARC PAUL LUCHANSKY</b>	<b>FID</b>	<b>FKRCX</b>	<b>S</b>	<b>11</b>	<b>18.31</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
FARBER	085	FL	SS	23,000	35.64	n/a	22-May	920.00	0.0
ROARING BLUE LION MGMT	031	FL	S	35,700	35.61	n/a	22-May	1,428.00	0.0
<b>f ABRAM M CHAPPELL</b>	<b>FID</b>	<b>FOR</b>	<b>S</b>	<b>90</b>	<b>23.23</b>	<b>n/a</b>	<b>9-May</b>	<b>0.00</b>	<b>0.0</b>
<b>f CICILY S BACKUS</b>	<b>FID</b>	<b>FOR</b>	<b>S</b>	<b>1500</b>	<b>23.25</b>	<b>n/a</b>	<b>9-May</b>	<b>0.00</b>	<b>0.0</b>

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	SNEJANA P GARFUNKEL	FID	FOR	S	500	23.26	n/a	9-May	0.00	0.0
f	KELLY ELIZABETH CLIF	FID	FVSAX	B	8	17.03	n/a	n/a	0.00	0.0
f	MARC PAUL LUCHANSKY	FID	FVSAX	B	11	17.03	n/a	n/a	0.00	0.0
	THOMAS WEISEL ASSET MGMT/TIMBERLINE ASSE033	GME		B	40,370	35.98		n/a	n/a	1,211.10 0.0
	BRONSON POINT	036	GM	B	50,000	32.30	n/a	23-May	1,500.00	0.0
	HALCYON LLC	041	GM	S	50,000	32.45	n/a	23-May	1,500.00	0.0
f	JONATHAN RICHARD HAR	FID	GM	B	8	2.61	n/a	23-May	0.00	0.0
	OZ MGMT	040	GM	SS	59,560	32.44	n/a	23-May	1,786.80	0.0
	ROSEDALE CAPITAL	046	GM	S	10,000	32.73	n/a	23-May	500.00	0.0
f	SERGEI BARANOVSKY	FID	GM	B	30	0.14	n/a	23-May	0.00	0.0
f	DAVID GEORGE BUCK	FID	GS	B	10	0.63	n/a	6-May	0.00	0.0
f	DAVID GEORGE BUCK	FID	GS	S	10	1.30	n/a	6-May	0.00	0.0
B	BUCK CAPITAL MGMT		HBI	B	20,000	49.11	n/a	3-May	non-brg	4.0
B	BUCK CAPITAL MGMT		HCA	B	26,000	37.96	n/a	n/a	non-brg	4.0
f	SERGEI BARANOVSKY	FID	HPQ	S	35	1.00	n/a	n/a	0.00	0.0
	LOMAS CAPITAL	040	HSC	S	25,000	23.11	n/a	9-May	750.00	0.0
	DAVIDSON KEMPNER ADVISOR	040	INTC	C	25,000	23.98	n/a	n/a	1,250.00	0.0
f	SERGEI BARANOVSKY	FID	INTC	B	25	0.19	n/a	n/a	0.00	0.0
	T. ROWE PRICE	243	IP	S	251,000	47.16	n/a	15-May	7,530.00	0.0
f	DAVID GEORGE BUCK	FID	IR	S	1500	57.27	n/a	9-May	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
HIGHBRIDGE CAP	041	ITB	B	62,000	25.45	n/a	n/a	1,240.00	2.0
KLEINHEINZ CAP PART	031	IWM	SS	225,000	96.90	n/a	n/a	11,250.00	0.0
CORNERSTONE	030	JCI	S	305,057	37.06	n/a	6-May	9,151.71	0.0
SCOPUS FUND	041	JCI	B	15,000	37.10	n/a	6-May	600.00	0.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>JCP</b>	<b>S</b>	<b>30</b>	<b>0.44</b>	<b>n/a</b>	<b>22-May</b>	<b>0.00</b>	<b>0.0</b>
WEXFORD CAPITAL	284	JCP	B	47,500	19.05	n/a	22-May	1,425.00	0.0
MERRILL ASSET/BLACKROCK	085	JLL	B	21,200	93.84	n/a	n/a	848.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>JNY</b>	<b>C</b>	<b>50,000</b>	<b>14.71</b>	<b>n/a</b>	<b>2-May</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>JWN</b>	<b>C</b>	<b>67,800</b>	<b>60.19</b>	<b>n/a</b>	<b>17-May</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>KEG</b>	<b>B</b>	<b>85,000</b>	<b>5.98</b>	<b>n/a</b>	<b>23-May</b>	<b>non-brg</b>	<b>3.0</b>
<b>f HARALAMBOS EFSTATHI</b>	<b>FID</b>	<b>KEG</b>	<b>B</b>	<b>2500</b>	<b>5.98</b>	<b>n/a</b>	<b>23-May</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>KORS 6 C60</b>	<b>C</b>	<b>400</b>	<b>3.37</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>300.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>KORS</b>	<b>B</b>	<b>8,500</b>	<b>59.07</b>	<b>n/a</b>	<b>22-Apr</b>	<b>non-brg</b>	<b>4.0</b>
ASCEND PARTNERS	033	KSS	C	200,000	52.07	n/a	22-May	6,000.00	0.0
CYRUS CAPITAL	025	LCC	B	25,000	17.99	n/a	20-May	750.00	0.0
PAR CAPITAL	268	LCC	SS	24,000	18.35	n/a	20-May	960.00	0.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>LIFE</b>	<b>S</b>	<b>300</b>	<b>73.95</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.	
HERRING CREEK CAPITAL MGMT LLC	040	LPS	B	53,000	32.68	n/a	n/a	1,590.00	0.0
HIGHBRIDGE CAP	041	LPX	S	42,508	18.79	n/a	22-May	1,275.24	0.0
RBC CAPITAL MARKETS	040	LUFK	B	1,400	88.19	n/a	n/a	42.00	0.0
MERRILL ASSET/BLACKROCK	085	MAA	S	1,300	72.00	n/a	n/a	52.00	0.0
SANDLER O'NEILL ASSET	031	MS	B	40,000	24.04	n/a	6-May	2,000.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	MWV	B	12,400	34.55	n/a	16-May	248.00	0.0
OSKIE CAPITAL MGMT	224	MWV	B	35,000	35.09	n/a	16-May	1,750.00	0.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>MYN</b>	<b>S</b>	<b>7500</b>	<b>14.47</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>NCLH</b>	<b>B</b>	<b>32,000</b>	<b>31.75</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
FIRST NEW YORK	086	NOK	B	20,000	3.60	n/a	n/a	1,000.00	0.0
ARDSLEY PARTNERS	044	PCG	SS	5,000	46.21	n/a	n/a	250.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>PETM</b>	<b>SS</b>	<b>5,900</b>	<b>70.08</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PGEM</b>	<b>B</b>	<b>10,000</b>	<b>21.00</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PGEM</b>	<b>S</b>	<b>10,000</b>	<b>22.83</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PLCE</b>	<b>SS</b>	<b>9,100</b>	<b>54.98</b>	<b>n/a</b>	<b>17-May</b>	<b>non-brg</b>	<b>4.0</b>
T. ROWE PRICE	243	PXD	B	16,346	143.91	n/a	23-May	653.84	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVIN CAPITAL STRATEGIES	041	RHP	B	11,000	41.01	n/a	n/a	330.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>RLGY</b>	<b>B</b>	<b>20,000</b>	<b>52.54</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>RL</b>	<b>S</b>	<b>20,000</b>	<b>180.94</b>	<b>n/a</b>	<b>23-May</b>	<b>non-brg</b>	<b>4.0</b>
PROVIDENCE EQUITY CAP. MKTS.	040	ROIAK	B	20,642	2.32	n/a	n/a	619.26	0.0
CASTLE ARK	031	RRC	B	64,470	77.91	n/a	23-May	2,578.80	0.0
GALT INVESTMENT	041	SCSS	S	6,138	20.90	n/a	n/a	306.90	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>SKS</b>	<b>C</b>	<b>100,000</b>	<b>15.62</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SLXP</b>	<b>C</b>	<b>9,810</b>	<b>59.59</b>	<b>n/a</b>	<b>21-May</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SSI</b>	<b>B</b>	<b>21,600</b>	<b>23.42</b>	<b>n/a</b>	<b>21-May</b>	<b>non-brg</b>	<b>4.0</b>
<b>f LEE F BACKUS</b>	<b>FID</b>	<b>SUSP</b>	<b>B</b>	<b>3000</b>	<b>30.08</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
HIGHBRIDGE CAP	041	URI	S	17,000	55.99	n/a	17-Apr	510.00	0.0
LONG OAR GLOBAL INV	040	VLO	SS	48,000	39.46	n/a	n/a	1,920.00	0.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>V</b>	<b>B</b>	<b>100</b>	<b>178.25</b>	<b>n/a</b>	<b>23-May</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>V</b>	<b>B</b>	<b>500</b>	<b>178.28</b>	<b>n/a</b>	<b>23-May</b>	<b>0.00</b>	<b>0.0</b>
<b>f MATTHEW FRANCIS BUCK</b>	<b>FID</b>	<b>V</b>	<b>B</b>	<b>100</b>	<b>178.27</b>	<b>n/a</b>	<b>23-May</b>	<b>0.00</b>	<b>0.0</b>
MERRILL ASSET/BLACKROCK	085	WAL	S	43,000	14.33	n/a	n/a	1,720.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SENATOR INVESTMENT GROUP	036	WCRX	B	100,000	19.99	n/a	21-May	3,000.00	0.0
SIGMA CAPITAL ASSOCIATES	041	WMT	SS	50,000	76.66	n/a	16-May	1,500.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>WNC</b>	<b>S</b>	<b>204,000</b>	<b>9.98</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
HIGHBRIDGE CAP	041	XLU	B	13,000	38.75	n/a	n/a	260.00	2.0
<b>TOTAL (Trade Date):</b>								<b>89,341.82</b>	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	05/22	WINSLOW CAPITAL	030	CRM	S	5,800	45.81	n/a	n/a	174.00 3.0
AO,CXL	05/22	WINSLOW CAPITAL	030	CRM	S	5,800	45.81	n/a	n/a	0.00 0.0
AO,CXL	05/22	WINSLOW CAPITAL	030	QCOM	S	1,950	65.19	n/a	n/a	0.00 0.0
AO,CRT	05/22	WINSLOW CAPITAL	030	QCOM	S	1,950	65.19	n/a	n/a	58.50 3.0
<b>TOTAL (AO, CXL, CRT) :</b>										<b>232.50</b>

TOTAL (Trade Date) :	89,341.82
TOTAL (AO, CXL, CRT) :	232.50

<b>TOTAL (RUN DATE) / NFS :</b>	<b>89,574.32</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	05/22	BUCK CAPITAL MGMT.	ANF	S	10,000	54.24	n/a	n/a	400.00
CRT	05/22	BUCK CAPITAL MGMT	ANF	S	10,000	54.24	n/a	n/a	400.00 4.0
CXL	05/22	BUCK CAPITAL MGMT.	CAR	S	30,000	32.12	n/a	n/a	300.00
CRT	05/22	BUCK CAPITAL MGMT	CAR	S	30,000	32.12	n/a	n/a	300.00 1.0
CXL	05/22	BUCK CAPITAL MGMT.	CLX	SS	30,000	86.19	n/a	23-May	1200.00
CRT	05/22	BUCK CAPITAL MGMT	CLX	SS	30,000	86.19	n/a	23-May	1200.00 4.0
CXL	05/22	BUCK CAPITAL MGMT.	DHI	S	75,317	26.31	n/a	n/a	3012.68
CRT	05/22	BUCK CAPITAL MGMT	DHI	S	75,317	26.31	n/a	n/a	3012.68 4.0
CXL	05/22	BUCK CAPITAL MGMT.	EXPR	S	10,000	19.17	n/a	n/a	400.00
CRT	05/22	BUCK CAPITAL MGMT	EXPR	S	10,000	19.17	n/a	n/a	400.00 4.0
CXL	05/22	BUCK CAPITAL MGMT.	FWM	S	10,000	20.91	n/a	n/a	400.00
CRT	05/22	BUCK CAPITAL MGMT	FWM	S	10,000	20.91	n/a	n/a	400.00 4.0
CXL	05/22	BUCK CAPITAL MGMT.	LEG	SS	20,000	33.29	n/a	n/a	800.00
CRT	05/22	BUCK CAPITAL MGMT	LEG	SS	20,000	33.29	n/a	n/a	800.00 4.0
CXL	05/22	BUCK CAPITAL MGMT.	LVS	S	50,000	58.93	n/a	13-Jun	2000.00
CRT	05/22	BUCK CAPITAL MGMT	LVS	S	50,000	58.93	n/a	13-Jun	2000.00 4.0
CXL	05/22	BUCK CAPITAL MGMT.	PETM	SS	3,700	71.42	n/a	n/a	37.00
CRT	05/22	BUCK CAPITAL MGMT	PETM	SS	3,700	71.42	n/a	n/a	37.00 1.0
AO	05/22	BUCK CAPITAL MGMT	PETM	SS	900	71.15	n/a	n/a	9.00 1.0
CXL	05/22	BUCK CAPITAL MGMT.	PVH	S	20,000	117.03	n/a	22-Apr	800.00
CRT	05/22	BUCK CAPITAL MGMT	PVH	S	20,000	117.03	n/a	22-Apr	800.00 4.0

CXL	05/22	BUCK CAPITAL MGMT.	SHOO	S	10,000	48.30	n/a	n/a	400.00	
CRT	05/22	BUCK CAPITAL MGMT	SHOO	S	10,000	48.30	n/a	n/a	400.00	4.0
CXL	05/22	BUCK CAPITAL MGMT.	TJX	S	10,000	51.55	n/a	22-May	400.00	
CRT	05/22	BUCK CAPITAL MGMT	TJX	S	10,000	51.55	n/a	22-May	400.00	4.0
CXL	05/22	BUCK CAPITAL MGMT.	TSCO	S	47,000	111.12	n/a	n/a	1880.00	
CRT	05/22	BUCK CAPITAL MGMT	TSCO	S	47,000	111.12	n/a	n/a	1880.00	4.0
CXL	05/22	BUCK CAPITAL MGMT.	ULTA	S	53,200	94.12	n/a	n/a	2128.00	
CRT	05/22	BUCK CAPITAL MGMT	ULTA	S	53,200	94.12	n/a	n/a	2128.00	4.0

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CXL	05/22	BUCK CAPITAL MGMT.	WNC	S	96,000	10.20	n/a	n/a	3840.00
CRT	05/22	BUCK CAPITAL MGMT	WNC	S	96,000	10.20	n/a	n/a	3840.00 4.0

MRI Securities with Trade Activity on 23-May.  
NONE

MRI Securities without Trade Activity on 23-May.  
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)**