



Daily Compliance Activity Report

Trade Date: 06/11/2013

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 | 1.49 | n/a | n/a | 0.00 | 0.0 |
| f JONATHAN RICHARD HAR | FID | AEO | S | 55 | 0.05 | n/a | 2-Dec | 0.00 | 0.0 |
| B BUCK CAPITAL MGMT | | BCC | B | 11,800 | 27.03 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | BCC | B | 6,200 | 27.07 | n/a | n/a | non-brg | 0.8 |
| STATE OF WISCONSIN | 088 | BMJ | B | 100,000 | 47.54 | n/a | n/a | 4,000.00 | 0.0 |
| COOPER CREEK PART | 028 | BONT | S | 10,000 | 21.31 | n/a | 24-May | 400.00 | 0.0 |
| f EDWARD W WHEELER | FID | CBT | S | 150 | 2.40 | n/a | n/a | 0.00 | 0.0 |
| f DAVID GEORGE BUCK | FID | CFN | B | 1500 | 38.09 | n/a | n/a | 0.00 | 0.0 |
| f DAVID GEORGE BUCK | FID | CFN | S | 15 | 0.32 | n/a | n/a | 0.00 | 0.0 |
| COLUMBUS CIRCLE | 036 | CHS | S | 21,075 | 17.21 | n/a | 5-Feb | 843.00 | 0.0 |
| TUDOR INVESTORS | 028 | CMI | SS | 5,000 | 117.75 | n/a | n/a | 150.00 | 0.0 |
| CHARTERBRIDGE CAPITAL | 025 | CROX | SS | 18,112 | 16.53 | n/a | n/a | 543.36 | 0.0 |
| DAVIDSON KEMPNER ADVISOR | 040 | CST | C | 10,000 | 31.85 | n/a | n/a | 300.00 | 0.0 |
| B BUCK CAPITAL MGMT | | DECK | S | 20,000 | 53.28 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | DECK | S | 7,000 | 52.17 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | DG 6 C55 | C | 1,000 | 0.12 | n/a | n/a | non-brg | 100.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------------|-----|--------|-----|---------|-------|--------|----------|-------------|-----|
| ⚡ BUCK CAPITAL MGMT | | DG | S | 25,000 | 50.35 | n/a | 4-Jun | non-brg | 4.0 |
| COHE & STEERS | 041 | DLR | S | 250,000 | 61.43 | n/a | n/a | 10,000.00 | 0.0 |
| ⚡ BUCK CAPITAL MGMT | | DSW | SS | 50,000 | 74.01 | n/a | 11-Feb | non-brg | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | ENR | C | 35,000 | 99.79 | n/a | 23-May | non-brg | 4.0 |
| MERRILL ASSET/BLACKROCK | 085 | FCFS | S | 15,613 | 55.79 | n/a | n/a | 624.52 | 0.0 |
| f YANAI A FRANK | FID | FCS | B | 1100 | 13.54 | n/a | n/a | 0.00 | 0.0 |
| SCOPUS FUND | 041 | FWLT | S | 25,000 | 23.05 | n/a | n/a | 1,000.00 | 0.0 |
| WOOSTER CAPITAL | 044 | F | SS | 50,000 | 15.58 | n/a | 11-Jun | 2,000.00 | 0.0 |
| ⚡ BUCK CAPITAL MGMT | | GIL | S | 20,000 | 40.81 | n/a | 3-May | non-brg | 4.0 |
| SOUTH POINT CAP | 044 | GM | B | 300,000 | 34.35 | 11-Jun | 11-Jun | 15,000.00 | 0.0 |
| ⚡ BUCK CAPITAL MGMT | | HAS | C | 50,000 | 44.42 | n/a | n/a | non-brg | 4.0 |
| TUDOR INVESTORS | 028 | IR | B | 10,000 | 57.00 | n/a | 9-May | 300.00 | 0.0 |
| TUDOR INVESTORS | 028 | ITW | SS | 5,000 | 70.05 | n/a | n/a | 150.00 | 0.0 |
| Õ Jack Chernus | | KORS | S | 10 | 1.58 | n/a | 30-May | 0.00 | 0.0 |
| HERRING CREEK CAPITAL MGMT LLC | 040 | LAMR | C | 7,200 | 42.65 | n/a | n/a | 216.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. | |
|--------------------------------|------------|-------------|-----------|---------------|---------------|------------|---------------|----------------|------------|
| TUDOR INVESTORS | 028 | LEN | B | 10,000 | 37.27 | n/a | n/a | 300.00 | 0.0 |
| B BUCK CAPITAL MGMT | | LPX | B | 30,000 | 16.27 | n/a | 7-Jun | non-brg | 4.0 |
| CSFB GLOBAL PROPRIETARY | 041 | LPX | B | 50,000 | 16.24 | n/a | 7-Jun | 2,500.00 | 0.0 |
| f IAN L MILLER | FID | LPX | B | 75 | 16.39 | n/a | 7-Jun | 0.00 | 0.0 |
| TUDOR INVESTORS | 028 | MAS | B | 10,000 | 19.87 | n/a | n/a | 300.00 | 0.0 |
| B BUCK CAPITAL MGMT | | MCD | C | 10,000 | 98.99 | n/a | 10-Jun | non-brg | 4.0 |
| HERRING CREEK CAPITAL MGMT LLC | 040 | MJN | C | 8,700 | 81.75 | n/a | n/a | 261.00 | 0.0 |
| B BUCK CAPITAL MGMT | | MTOR | S | 25,000 | 7.21 | n/a | n/a | non-brg | 2.5 |
| B BUCK CAPITAL MGMT | | NTRS | C | 8,700 | 57.80 | n/a | 6-Jun | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | OXM | C | 20,000 | 63.79 | n/a | n/a | non-brg | 4.0 |
| TUDOR INVESTORS | 028 | PH | SS | 5,000 | 97.70 | n/a | n/a | 150.00 | 0.0 |
| SANDLER O'NEILL ASSET | 031 | PJC | B | 44,700 | 33.74 | n/a | n/a | 2,235.00 | 0.0 |
| TUDOR INVESTORS | 028 | PNR | B | 5,000 | 58.80 | n/a | n/a | 150.00 | 0.0 |
| B BUCK CAPITAL MGMT | | PSMT | SS | 9,000 | 88.71 | n/a | n/a | non-brg | 4.0 |
| B BUCK CAPITAL MGMT | | PVH | B | 40,000 | 111.50 | n/a | 22-Apr | non-brg | 4.0 |
| DELTEC ASSET MGMT. | 040 | PVH | B | 3,951 | 111.29 | n/a | 22-Apr | 197.55 | 0.0 |
| MERRILL ASSET/BLACKROCK | 085 | PVTB | S | 7,000 | 19.42 | n/a | n/a | 280.00 | 0.0 |

| Account | RR# | Symbol | B/S | Shares | Price | MRI | Research | Comm. ¢/Shr. | |
|--------------------------|-----|--------|-----|--------|--------|-----|----------|--------------|-----|
| ⚡ BUCK CAPITAL MGMT | | SCSS | B | 40,000 | 22.65 | n/a | n/a | non-brg | 4.0 |
| ⚡ BUCK CAPITAL MGMT | | SHOO | S | 10,000 | 48.13 | n/a | n/a | non-brg | 0.8 |
| ⚡ BUCK CAPITAL MGMT | | SHOO | S | 15,253 | 48.10 | n/a | n/a | non-brg | 2.5 |
| STANDARD PACIFIC CAPITAL | 084 | SINA | S | 88,747 | 58.05 | n/a | n/a | 4,437.35 | 0.0 |
| ⚡ BUCK CAPITAL MGMT | | SLXP | C | 10,000 | 63.93 | n/a | 10-Jun | non-brg | 4.0 |
| NOKOMIS PARTNERS | 031 | SM | S | 13,096 | 62.50 | n/a | n/a | 392.88 | 0.0 |
| TUDOR INVESTORS | 028 | ST | B | 5,000 | 35.50 | n/a | n/a | 150.00 | 0.0 |
| MERRILL ASSET/BLACKROCK | 085 | TRV | B | 4,000 | 82.70 | n/a | n/a | 160.00 | 0.0 |
| CLEARLINE CAPITAL LLC | 040 | TSCO | SS | 9,000 | 114.53 | n/a | n/a | 270.00 | 0.0 |
| TUDOR INVESTORS | 028 | TXT | B | 5,000 | 26.95 | n/a | n/a | 150.00 | 0.0 |
| CYRUS CAPITAL | 025 | UAL | S | 50,000 | 32.40 | n/a | 11-Jun | 1,500.00 | 0.0 |
| ⚡ BUCK CAPITAL MGMT | | ULTA | B | 30,000 | 85.92 | n/a | n/a | non-brg | 4.0 |
| SIGMA CAPITAL ASSOCIATES | 041 | URBN | B | 25,000 | 42.38 | n/a | n/a | 750.00 | 0.0 |
| f DAVID GEORGE BUCK | FID | VOD | B | 10 | 0.53 | n/a | n/a | 0.00 | 0.0 |
| ⚡ BUCK CAPITAL MGMT | | WFC | C | 24,500 | 40.95 | n/a | 6-Jun | non-brg | 4.0 |

TOTAL (Trade Date):

49,710.66

Cancel/Corrects and As-Of Trades

| Type | Date | Account | RR # | Symbol | B/S | Shares | Price | MRI | Research | Comm.¢/Shr. |
|--------|-------|-----------------|------|--------|-----|--------|-------|-----|----------|-------------|
| AO,CRT | 06/10 | TUDOR INVESTORS | 028 | MAS | S | 20,000 | 20.29 | n/a | n/a | 600.00 0.0 |
| AO,CXL | 06/10 | TUDOR INVESTORS | 028 | MAS | S | 20,000 | 20.29 | n/a | n/a | 6.00 0.0 |
| AO,CRT | 06/10 | FIRST NEW YORK | 086 | NOK | B | 20,000 | 3.58 | n/a | n/a | 800.00 0.0 |
| AO,CXL | 06/10 | FIRST NEW YORK | 086 | NOK | B | 20,000 | 3.58 | n/a | n/a | 1000.00 0.0 |
| AO,CRT | 06/10 | TUDOR INVESTORS | 028 | PH | SS | 5,000 | 98.46 | n/a | n/a | 150.00 0.0 |
| AO,CXL | 06/10 | TUDOR INVESTORS | 028 | PH | SS | 5,000 | 98.46 | n/a | n/a | 1.50 0.0 |
| AO,CRT | 06/10 | TUDOR INVESTORS | 028 | XHB | B | 15,000 | 30.32 | n/a | n/a | 450.00 0.0 |
| AO,CXL | 06/10 | TUDOR INVESTORS | 028 | XHB | B | 15,000 | 30.32 | n/a | n/a | 4.50 0.0 |

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|-------------------------------|---------------|
| TOTAL (AO, CXL, CRT) : | 988.00 |
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|----------------------|-----------|
| TOTAL (Trade Date) : | 49,710.66 |
|----------------------|-----------|

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|------------------------|--------|
| TOTAL (AO, CXL, CRT) : | 988.00 |
|------------------------|--------|

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|---------------------------------|------------------|
| TOTAL (RUN DATE) / NFS : | 50,698.66 |
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BCM Cancel/Corrects and As-Of Trades

| Type | Date | Account | Symbol | B/S | Shares | Price | MRI Research | Comm.¢/Shr. |
|------|------|---------|--------|-----|--------|-------|--------------|-------------|
|------|------|---------|--------|-----|--------|-------|--------------|-------------|

MRI Securities with Trade Activity on 11-Jun.

GM

MRI Securities without Trade Activity on 11-Jun.

LULU

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)