



Daily Compliance Activity Report

Trade Date: 06/06/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
CYRUS CAPITAL	025	AAMRQ	B	50,000	4.04	n/a	n/a	1,500.00	0.0
VISIUM/BALY BOBBY	044	AA	SS	50,000	8.24	n/a	n/a	2,500.00	0.0
LONG OAR GLOBAL INV	040	AKS	B	50,000	3.36	n/a	n/a	2,000.00	0.0
SIGMA CAPITAL ASSOCIATES	041	ANN	B	25,000	31.59	n/a	n/a	750.00	0.0
VISIUM/BALY BOBBY	044	ANR	SS	50,000	6.67	n/a	n/a	2,500.00	0.0
B BUCK CAPITAL MGMT		AZO	C	12,400	411.28	n/a	n/a	non-brg	4.0
SANDLER O'NEILL ASSET	031	BAC	S	50,000	13.00	n/a	6-Jun	2,500.00	0.0
INTERVAL PARTNERS	033	BIG	B	20,000	33.45	n/a	n/a	600.00	0.0
B BUCK CAPITAL MGMT		BONT	S	10,000	21.18	n/a	24-May	non-brg	4.0
f FRANCIS MICHAEL MCCA	FID	CBK	B	2000	6.73	n/a	n/a	0.00	0.0
TOCQUEVILLE	046	CKP	S	29,600	14.12	n/a	n/a	1,480.00	0.0
B BUCK CAPITAL MGMT		CLX	SS	20,000	82.75	n/a	23-May	non-brg	4.0
SANDLER O'NEILL ASSET	031	CMA	S	10,000	37.84	n/a	n/a	500.00	0.0
f MANNY I KORMAN	FID	CMCSA	S	8000	39.68	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
PRIMECAP MGMT	084	CRL	B	7,500	41.45	n/a	n/a	300.00	0.0	
ACK ASSET	028	CSX	B	65,000	24.48	n/a	n/a	1,950.00	0.0	
f EDWARD W WHEELER	FID	CVGI	B	15000	7.81	n/a	n/a	0.00	0.0	
MERRILL ASSET/BLACKROCK	085	CWH	B	6,600	20.34	n/a	n/a	264.00	0.0	
f MANNY I KORMAN	FID	DAL	S	5000	17.09	n/a	5-Jun	0.00	0.0	
f MANNY I KORMAN	FID	DD	S	5000	54.19	n/a	n/a	0.00	0.0	
f MANNY I KORMAN	FID	DLPH	S	2000	48.88	n/a	n/a	0.00	0.0	
RIDGECREST INV MGMT LLC	028	DLTR	SS	5,000	48.65	n/a	4-Jun	200.00	0.0	
f MANNY I KORMAN	FID	DSW	S	3000	72.94	n/a	11-Feb	0.00	0.0	
f EDWARD W WHEELER	FID	DVN	B	2000	55.27	n/a	6-Jun	0.00	0.0	
GUGGENHEIM GLOBAL TRADING (GGT)251		DVN		S	10,000	56.55	n/a	6-Jun	300.00	0.0
MERRILL ASSET/BLACKROCK	085	EDD	B	45,000	15.60	n/a	n/a	1,800.00	0.0	
MACELLUM CAPITAL	086	EXPR	SS	25,000	21.22	n/a	n/a	750.00	0.0	
LISTED ERR	097	EXPR	SS	1,500	21.23	n/a	n/a	0.00	0.0	
B BUCK CAPITAL MGMT		FDO	SS	20,000	60.47	n/a	4-Jun	non-brg	4.0	
PROSPECTOR PARTNERS LLC	036	FOR	B	10,000	21.67	n/a	9-May	400.00	0.0	

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BUCK CAPITAL MGMT		FRAN	B	20,000	27.27	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		FRAN	B	40,000	27.28	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		FRAN	B	40,000	27.33	n/a	n/a	non-brg	4.0
MACELLUM CAPITAL	086	FRAN	B	85,000	27.38	n/a	n/a	2,550.00	0.0
PALISADE CAPITAL MANAGEMENT LLC	025	FRAN	B	200,600	27.36		n/a	n/a	8,024.00 0.0
CHRISTOPHER ARTHUR K	FID	FRIFX	S	1099	11.98	n/a	n/a	0.00	0.0
CHRISTOPHER ARTHUR K	FID	FRIFX	S	808	11.98	n/a	n/a	0.00	0.0
PROVIDENCE EQUITY CAP. MKTS.	040	FSL	S	29,882	15.53	n/a	n/a	597.64	0.0
BUCK CAPITAL MGMT		F	SS	65,000	15.41	n/a	6-Jun	non-brg	4.0
LEVIN CAPITAL STRATEGIES	041	F	C	40,000	15.38	n/a	6-Jun	1,200.00	0.0
MACELLUM CAPITAL	086	GES	SS	25,000	31.24	n/a	31-May	750.00	0.0
BUCK CAPITAL MGMT		GIII	S	10,000	49.40	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		GIII	S	30,000	49.36	n/a	n/a	non-brg	4.0
BUCK CAPITAL MGMT		GIL	S	10,000	40.42	n/a	3-May	non-brg	4.0
LEVIN CAPITAL STRATEGIES	041	GM	C	15,000	34.41	n/a	6-Jun	450.00	0.0
SCOPUS FUND	041	GM	B	50,000	34.16	n/a	6-Jun	2,000.00	0.0
PATTEN & PATTEN	025	GOOG	B	20	861.32	n/a	n/a	1.00	0.0
CR INTRINIC INVESTMENT	044	GT	SS	10,000	14.59	n/a	n/a	300.00	0.0
SANDLER O'NEILL ASSET	031	HBAN	B	50,000	7.54	n/a	n/a	2,500.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		HBI	B	20,000	49.29	n/a	3-May	non-brg	4.0
B BUCK CAPITAL MGMT		HIBB	SS	20,000	57.16	n/a	n/a	non-brg	4.0
COHE & STEERS	041	HST	B	9,190	17.04	n/a	13-Jun	275.70	0.0
f JONATHAN RICHARD HAR	FID	HTZ	B	400	24.21	n/a	n/a	0.00	0.0
CHARTERBRIDGE CAPITAL	025	INVN	SS	225,000	12.79	n/a	n/a	6,750.00	0.0
VISIUM/BALY BOBBY	044	IP	C	30,000	44.63	n/a	5-Jun	1,500.00	0.0
IONIC CAPITAL MANAGEMENT	041	IWM	B	10,000	96.82	n/a	n/a	300.00	0.0
SCOPUS FUND	041	JCP	B	24,600	18.44	n/a	22-May	984.00	0.0
f KEVIN MICHAEL O'GORM	FID	JOSB	B	400	42.60	n/a	n/a	0.00	0.0
SANDLER O'NEILL ASSET	031	KEY	S	25,000	10.50	n/a	n/a	1,250.00	0.0
S.A.C. CAPITAL	044	KMX	S	50,000	45.93	n/a	n/a	1,500.00	0.0
SCOPUS FUND	041	LAD	B	10,000	52.22	n/a	n/a	400.00	0.0
f MANNY I KORMAN	FID	LCC	S	5000	16.18	n/a	5-Jun	0.00	0.0
STELLIAM INV ADV	086	LCC	B	25,000	16.07	n/a	5-Jun	1,000.00	0.0
STRONG/MARK GRONET	030	LCC	B	17,000	16.37	n/a	5-Jun	680.00	0.0
B BUCK CAPITAL MGMT		LITB	B	2,000	9.50	n/a	n/a	non-brg	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		LITB	S	2,000	12.13	n/a	n/a	non-brg	2.5
⚡ BUCK CAPITAL MGMT		MAR	C	61,600	40.95	n/a	13-Jun	non-brg	4.0
J. GOLDMAN	028	MMM	SS	14,000	108.51	n/a	n/a	560.00	0.0
SANDLER O'NEILL ASSET	031	MS	S	25,000	24.81	n/a	6-Jun	1,250.00	0.0
⚡ BUCK CAPITAL MGMT		MW	SS	10,000	35.19	n/a	n/a	non-brg	4.0
⚡ YANAI A FRANK	FID	MXIM	B	500	28.72	n/a	n/a	0.00	0.0
GUGGENHEIM GLOBAL TRADING (GGT)	251	NDZ		S	10,000	7.68	n/a	n/a	300.00 0.0
PROSPECTOR PARTNERS LLC	036	NP	S	10,000	30.80	n/a	13-May	400.00	0.0
⚡ BUCK CAPITAL MGMT		OXM	SS	10,000	63.40	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		PII	B	40,000	94.10	n/a	n/a	non-brg	4.0
SANDLER O'NEILL ASSET	031	PJC	B	300	33.86	n/a	n/a	15.00	0.0
⚡ BUCK CAPITAL MGMT		PSMT	C	7,500	84.60	n/a	n/a	non-brg	2.5
BAIRD INVESTMENT	047	PVH	B	16,996	110.84	n/a	22-Apr	849.80	0.0
⚡ BUCK CAPITAL MGMT		PVH	B	5,000	111.77	n/a	22-Apr	non-brg	4.0
COHE & STEERS	041	SHO	S	14,984	11.54	n/a	n/a	449.52	0.0
⚡ BUCK CAPITAL MGMT		SLXP	C	8,000	60.56	n/a	3-Jun	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
BASSWOOD PARTNERS	267	SNV	B	150,000	2.66	n/a	n/a	4,500.00	0.0
LAKEWOOD CAPITAL MGMT	085	STSI	C	25,000	1.47	n/a	n/a	750.00	0.0
f MANNY I KORMAN	FID	TEN	S	1000	43.74	n/a	n/a	0.00	0.0
S.A.C. CAPITAL	044	TGT	B	22,000	69.88	n/a	23-May	660.00	0.0
COHE & STEERS	041	TOL	B	9,857	33.14	n/a	n/a	394.28	0.0
COHE & STEERS	041	TPH	S	19,389	16.09	n/a	n/a	581.67	0.0
f MANNY I KORMAN	FID	TRW	S	1000	61.60	n/a	n/a	0.00	0.0
WOOSTER CAPITAL	044	TRW	B	5,000	61.66	n/a	n/a	200.00	0.0
B BUCK CAPITAL MGMT		TSCO	B	20,000	111.22	n/a	n/a	non-brg	2.5
STELLIAM INV ADV	086	TTWO	B	37,000	15.92	n/a	n/a	1,480.00	0.0
f IAN L MILLER	FID	UNG	B	50	20.68	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	URI	S	20000	50.05	n/a	17-Apr	0.00	0.0
f MANNY I KORMAN	FID	URI	S	3100	49.31	n/a	17-Apr	0.00	0.0
f FRANCIS MICHAEL MCCA	FID	USG	B	100	24.22	n/a	29-Apr	0.00	0.0
f FRANCIS MICHAEL MCCA	FID	USG	B	100	24.23	n/a	29-Apr	0.00	0.0
B BUCK CAPITAL MGMT		VHS	B	10,000	12.93	n/a	n/a	non-brg	4.0
f MANNY I KORMAN	FID	VNTV	S	7000	25.83	n/a	7-May	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		WGO	B	17,500	19.49	n/a	n/a	non-brg	4.0
HERRING CREEK CAPITAL MGMT LLC	040	WGO	B	8,400	19.56	n/a	n/a	252.00	0.0
LOMAS CAPITAL	040	WLK	SS	15,000	92.30	n/a	n/a	450.00	0.0
B BUCK CAPITAL MGMT		WWW	SS	10,000	51.37	n/a	n/a	non-brg	4.0
TOTAL (Trade Date):								66,398.61	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (Trade Date):									66,398.61
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TOTAL (AO, CXL, CRT):									0.00
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TOTAL (RUN DATE) / NFS:									66,398.61
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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 6-Jun.
NONE

MRI Securities without Trade Activity on 6-Jun.
ENDP, UA

BRG comm. as a % of BCM Total Comm. paid.
T-Date = 0%
YTD = 0%

<u>Legend:</u>
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)