



Daily Compliance Activity Report

Trade Date: 05/20/2013

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	150,000	6.33	n/a	n/a	4,500.00	0.0
f IAN L MILLER	FID	AAPL	S	3	442.46	n/a	n/a	0.00	0.0
PRIMECAP MGMT	084	ACTV	B	5,000	6.14	n/a	n/a	150.00	0.0
TRUSTCO/SUNTRUST (CEREDEX)	273	AGN	S	10,024	99.91	n/a	16-May	320.77	0.0
B BUCK CAPITAL MGMT		ANF	S	20,000	54.24	n/a	n/a	non-brg	4.0
LATEEF MGMT	033	ATI	S	500	30.48	n/a	14-May	50.00	0.0
f YANAI A FRANK	FID	AVGO	S	325	34.37	n/a	n/a	0.00	0.0
BROADARCH CAP/OLD NEWC	070	AXLL	S	500	47.90	n/a	n/a	20.00	0.0
GEORGE WEISS	278	AXL	B	5,000	16.50	n/a	20-May	200.00	0.0
MASTERS CAPITAL MANAGE	025	BAC	S	100,000	13.49	n/a	15-May	4,000.00	0.0
B BUCK CAPITAL MGMT		BCC	B	2,132	29.16	n/a	n/a	non-brg	4.0
f KEVIN MICHAEL O'GORM	FID	BONT	S	1000	18.69	n/a	14-May	0.00	0.0
f CHRISTOPHER ROBERT C	FID	BRCD	S	1000	5.57	n/a	n/a	0.00	0.0
MERRILL ASSET/BLACKROCK	297	BXP	S	2,200	112.30	n/a	n/a	88.00	0.0

	Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f	JASON ERIC COHEN	FID	CGI	S	547	19.41	n/a	n/a	0.00	0.0
	KEY ASSET MGMT/VICTORY	220	COST	S	73,240	112.29	n/a	n/a	2,929.60	0.0
	BROADARCH CAP/OLD NEWC	070	DOW	B	1,000	35.79	n/a	n/a	40.00	0.0
f	MARK ANTHONY GRONET	FID	DVN	B	600	59.69	n/a	20-May	0.00	0.0
	BROADARCH CAP/OLD NEWC	070	EBAY	S	3,000	55.81	n/a	n/a	120.00	0.0
f	CHRISTOPHER ROBERT C	FID	EMC	S	100	24.18	n/a	26-Feb	0.00	0.0
	PARAMETER CAPITAL MGMT LLC044	ETN	B	25,490	68.04	n/a	2-May	764.70	0.0	
	STANDARD PACIFIC CAPITAL	084	ETN	S	88,000	68.01	n/a	2-May	4,400.00	0.0
	T. ROWE PRICE	243	ETN	B	49,300	68.00	n/a	2-May	1,972.00	0.0
f	BRIAN P CLIFFORD	FID	FB	S	1000	25.78	n/a	n/a	0.00	0.0
f	ALICE BEEBE LONGLEY	FID	FCONX	B	9960	10.04	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		FDO	SS	20,000	63.52	n/a	16-May	non-brg	4.0
B	BUCK CAPITAL MGMT		FL	S	20,000	36.56	n/a	16-May	non-brg	4.0
f	MICHAEL MARRANO	FID	FNYTX	S	40	12.09	n/a	n/a	0.00	0.0
B	BUCK CAPITAL MGMT		FWM	S	1,600	20.72	n/a	n/a	non-brg	1.0
B	BUCK CAPITAL MGMT		FWM	S	5,000	20.90	n/a	n/a	non-brg	2.0
f	JASON ERIC COHEN	FID	GCA	S	700	7.00	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
OSKIE CAPITAL MGMT	224	GM	B	30,000	33.85	n/a	20-May	1,500.00	0.0
TROUBH PART	070	GM	S	15,000	33.67	n/a	20-May	750.00	0.0
BROADARCH CAP/OLD NEWC	070	GOOG	B	100	915.23	n/a	n/a	4.00	0.0
BROADARCH CAP/OLD NEWC	070	GRA	B	500	80.49	n/a	n/a	20.00	0.0
BROADARCH CAP/OLD NEWC	070	HCA	S	2,000	38.29	n/a	n/a	80.00	0.0
S.A.C. CAPITAL	044	HD	B	50,000	76.73	n/a	n/a	1,500.00	0.0
f BRIAN P CLIFFORD	FID	HLF	B	500	47.23	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		ICON	C	31,200	30.06	n/a	n/a	non-brg	4.0
SASCO	033	IP	S	4,250	47.49	n/a	15-May	148.75	0.0
BROADARCH CAP/OLD NEWC	070	JBHT	B	1,000	75.44	n/a	n/a	40.00	0.0
BALYASNY ASSET MGMT	044	JCP	B	50,000	18.61	n/a	17-May	2,500.00	0.0
PARKWEST	084	JCP	B	100,000	18.65	n/a	17-May	3,000.00	0.0
MAPLE ROW	006	JNS	B	41,054	8.80	n/a	n/a	1,231.62	0.0
BROADARCH CAP/OLD NEWC	070	JPM	S	2,500	52.36	n/a	16-May	100.00	0.0
BRONSON POINT	036	JPM	SS	100,000	52.38	n/a	16-May	3,000.00	0.0
LATEEF MGMT	033	JPM	S	500	52.31	n/a	16-May	65.00	0.0
f MANNY I KORMAN	FID	KBR	B	10000	34.77	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f IAN L MILLER	FID	KSS	S	25	51.20	n/a	17-May	0.00	0.0
SANDLER O'NEILL ASSET	031	LAZ	B	25,000	34.46	n/a	6-May	1,250.00	0.0
B BUCK CAPITAL MGMT		LEN	S	24,902	43.72	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		LTD	S	10,000	51.70	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		LTD	S	40,000	50.86	n/a	n/a	non-brg	4.0
SASCO	033	MAS	S	4,950	22.31	n/a	n/a	173.25	0.0
f JASON ERIC COHEN	FID	MINI	S	170	36.00	n/a	n/a	0.00	0.0
PARAMETER CAPITAL MGMT LLC	044	MMM	B	15,000	111.28	n/a	n/a	450.00	0.0
MAPLE ROW	006	MTG	B	15,000	6.18	n/a	n/a	450.00	0.0
B BUCK CAPITAL MGMT		MTOR	S	50,000	6.96	n/a	n/a	non-brg	2.5
B BUCK CAPITAL MGMT		MTOR	S	57,360	7.04	n/a	n/a	non-brg	3.0
CYRUS CAPITAL	025	MWV	B	20,000	35.53	n/a	16-May	600.00	0.0
WAGONHOUND/NICOLAS	033	MWV	B	8,368	35.50	n/a	16-May	334.72	0.0
SASCO	033	NBR	S	11,900	17.08	n/a	n/a	416.50	0.0
B BUCK CAPITAL MGMT		NCLH	B	10,000	31.73	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		NCLH	B	36,609	32.09	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		NCLH	B	7,538	31.76	n/a	n/a	non-brg	4.0
SASCO	033	OI	S	7,250	28.97	n/a	n/a	253.75	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SASCO	033	OKE	S	3,900	49.31	n/a	n/a	136.50	0.0
B BUCK CAPITAL MGMT		PCLN	SS	600	827.92	n/a	n/a	non-brg	1.0
BNP PARIBAS SEC	040	PEP	SS	20,000	83.08	n/a	n/a	600.00	0.0
TRUSTCO/SUNTRUST (CEREDEX)	273	PM	S	4,280	95.06	n/a	n/a	136.96	0.0
f MICHAEL MARRANO	FID	PRMSX	B	61	34.42	n/a	n/a	0.00	0.0
f ALICE BEEBE LONGLEY	FID	PTTDX	S	8905	11.23	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		PVH 6 C125	C	483	1.97	n/a	n/a	non-brg	300.0
f NICOLAS EVAN PAKLER	FID	PVH	S	125	119.81	n/a	22-Apr	0.00	0.0
PROVIDENCE EQUITY CAP. MKTS.	040	ROIAK	B	3,900	2.33	n/a	n/a	117.00	0.0
SASCO	033	RSG	S	6,200	35.02	n/a	n/a	217.00	0.0
SASCO	033	SEE	S	6,150	23.78	n/a	2-Jun	215.25	0.0
B BUCK CAPITAL MGMT		SHOO	S	10,000	48.84	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SKS 11 P11	SS	1,500	0.71	n/a	n/a	non-brg	100.0
f MICHAEL MARRANO	FID	SPHIX	S	137	9.60	n/a	n/a	0.00	0.0
f FRANCIS MICHAEL MCCA	FID	SRI	S	1400	10.32	n/a	n/a	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
BUCK CAPITAL MGMT		SSI	B	20,000	23.86	n/a	20-May	non-brg	4.0
BUCK CAPITAL MGMT		SSI	B	20,000	23.86	n/a	20-May	non-brg	4.0
BUCK CAPITAL MGMT		TJX	S	10,000	51.07	n/a	9-May	non-brg	4.0
SASCO	033	TJX	S	3,000	51.47	n/a	9-May	105.00	0.0
CHRISTOPHER ROBERT C	FID	TMUS	S	100	20.50	n/a	n/a	0.00	0.0
MICHAEL MARRANO	FID	TPINX	B	32	13.66	n/a	n/a	0.00	0.0
ALLIANZ/NICOLAS APPELATE	084	TXN	S	52,900	36.64		n/a	n/a	1,058.00 0.0
LATEEF MGMT	033	UN	S	500	42.11	n/a	n/a	60.00	0.0
BUCK CAPITAL MGMT		URBN 6 C46	SS	2,500	1.32	n/a	n/a	non-brg	300.0
SIGMA CAPITAL ASSOCIATES	041	URBN	S	25,000	44.74	n/a	n/a	750.00	0.0
BROADARCH CAP/OLD NEWC	070	VAL	B	1,000	74.05	n/a	n/a	40.00	0.0
HERRING CREEK CAPITAL MGMT LLC	040	VLO	B	20,000	41.91		n/a	n/a	600.00 0.0
NICOLAS EVAN PAKLER	FID	V	S	90	181.39	n/a	14-May	0.00	0.0
MERRILL ASSET/BLACKROCK	297	WAL	S	58,359	14.90	n/a	n/a	2,334.36	0.0
BROADARCH CAP/OLD NEWC	070	WAT	B	1,000	98.24	n/a	n/a	40.00	0.0
LATEEF MGMT	033	WRI	S	750	35.15	n/a	n/a	75.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	033	XOM	S	500	92.37	n/a	n/a	75.00	0.0
B BUCK CAPITAL MGMT		XPO	S	25,000	18.26	n/a	n/a	non-brg	4.0
BTG PACTUAL	040	YUM	B	10,000	70.32	n/a	20-May	300.00	0.0
CASTLEROCK	040	YUM	B	6,655	69.83	n/a	20-May	266.20	0.0
f CHRISTOPHER ROBERT C	FID		S	5000	107.34	n/a	n/a	0.00	0.0
TOTAL (Trade Date):								44,548.93	

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	05/17	ADAGE CAPITAL MGMT	030	TPX	SS	100,000	47.57	n/a	n/a	3000.00 0.0
AO,CXL	05/17	ADAGE CAPITAL MGMT	030	TPX	SS	100,000	47.57	n/a	n/a	3000.00 0.0
AO,CXL	05/17	SCOPIA CAPITAL	025	WU	SS	226,628	16.65	n/a	n/a	9065.12 0.0
AO,CRT	05/17	SCOPIA CAPITAL	025	WU	SS	226,628	16.65	n/a	n/a	9065.12 0.0
TOTAL (AO, CXL, CRT) :										0.00

TOTAL (Trade Date) :	44,548.93
TOTAL (AO, CXL, CRT) :	0.00

TOTAL (RUN DATE) / NFS :	44,548.93
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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 20-May.
NONE

MRI Securities without Trade Activity on 20-May.
NOC, CRS

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)