



# Daily Compliance Activity Report

Trade Date: 06/17/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
SAGE ASSET MGMT	025	AAN	SS	8,800	28.67	n/a	n/a	440.00	0.0
SENATOR INVESTMENT GROUP	036	AMTD	B	300,000	23.95	n/a	n/a	9,000.00	0.0
<b>f LEE F BACKUS</b>	<b>FID</b>	<b>APL</b>	<b>S</b>	<b>2000</b>	<b>38.00</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
NEWLAND CAPITAL MGT	025	ARC	S	14,672	3.71	n/a	n/a	586.88	0.0
LAKEWOOD CAPITAL MGMT	085	AXDX	SS	6,000	8.95	n/a	n/a	180.00	0.0
FARALLON CAP MGMT	040	AXP	S	25,000	73.76	n/a	17-Jun	1,000.00	0.0
SANDLER O'NEILL ASSET	031	BAC	S	200,000	13.18	n/a	17-Jun	10,000.00	0.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>BAM</b>	<b>B</b>	<b>1000</b>	<b>36.19</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f LEE F BACKUS</b>	<b>FID</b>	<b>BDBD</b>	<b>S</b>	<b>2000</b>	<b>12.16</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BIG</b>	<b>SS</b>	<b>20,000</b>	<b>33.81</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BONT</b>	<b>S</b>	<b>30,000</b>	<b>20.65</b>	<b>n/a</b>	<b>24-May</b>	<b>non-brg</b>	<b>0.8</b>
<b>f FRANCIS MICHAEL MCCA</b>	<b>FID</b>	<b>BX</b>	<b>B</b>	<b>250</b>	<b>21.46</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MICHAEL FRANCIS MCCA</b>	<b>FID</b>	<b>BX</b>	<b>B</b>	<b>50</b>	<b>21.59</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
SOROS	036	CA	B	200,000	28.58	n/a	n/a	8,000.00	0.0
<b>f IAN L MILLER</b>	<b>FID</b>	<b>CCL</b>	<b>B</b>	<b>25</b>	<b>34.00</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.	
J. GOLDMAN	028	CNW	S	30,110	39.40	n/a	n/a	1,204.40	0.0
LOMAS CAPITAL	040	CNW	B	46,000	39.41	n/a	n/a	1,380.00	0.0
NEWLAND CAPITAL MGT	025	CNW	S	300	39.45	n/a	n/a	12.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>COH</b>	<b>C</b>	<b>20,000</b>	<b>59.18</b>	<b>n/a</b>	<b>30-May</b>	<b>non-brg</b>	<b>4.0</b>
LATEEF MGMT	033	CSCO	S	1,000	24.91	n/a	26-Feb	100.00	0.0
COHE & STEERS	041	CUBE	B	23,857	16.59	n/a	n/a	715.71	0.0
LATEEF MGMT	033	DE	B	500	85.07	n/a	11-Jul	50.00	0.0
CORNERSTONE	030	DIS	B	55,000	64.45	n/a	n/a	1,650.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>ENR</b>	<b>C</b>	<b>30,000</b>	<b>102.57</b>	<b>n/a</b>	<b>17-Jun</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>EXPE</b>	<b>SS</b>	<b>8,500</b>	<b>58.81</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>FL</b>	<b>S</b>	<b>30,000</b>	<b>34.84</b>	<b>n/a</b>	<b>12-Jun</b>	<b>non-brg</b>	<b>4.0</b>
<b>f CICILY S BACKUS</b>	<b>FID</b>	<b>FOR</b>	<b>S</b>	<b>1900</b>	<b>22.07</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>500</b>	<b>22.06</b>	<b>n/a</b>	<b>9-May</b>	<b>0.00</b>	<b>0.0</b>
<b>f LBP ENTERPRI SES INC</b>	<b>FID</b>	<b>FOR</b>	<b>S</b>	<b>1000</b>	<b>22.06</b>	<b>n/a</b>	<b>9-May</b>	<b>0.00</b>	<b>0.0</b>
<b>f LEE F BACKUS</b>	<b>FID</b>	<b>FOR</b>	<b>S</b>	<b>1000</b>	<b>22.02</b>	<b>n/a</b>	<b>9-May</b>	<b>0.00</b>	<b>0.0</b>
<b>f SNEJANA P GARFUNKEL</b>	<b>FID</b>	<b>FOR</b>	<b>S</b>	<b>1000</b>	<b>22.08</b>	<b>n/a</b>	<b>9-May</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>FRAN</b>	<b>B</b>	<b>15,000</b>	<b>25.62</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>FRAN</b>	<b>B</b>	<b>5,000</b>	<b>25.63</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>FWM</b>	<b>S</b>	<b>58,500</b>	<b>24.43</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
LEVIN CAPITAL STRATEGIES	041	F	C	13,506	15.60	n/a	17-Jun	405.18	0.0
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>GLD</b>	<b>B</b>	<b>4</b>	<b>2.43</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CLEARLINE CAPITAL LLC	040	HNT	B	11,041	31.10	n/a	n/a	331.23	0.0
GUGGENHEIM GLOBAL TRADING	(GGT)251	IRM		S	5,000	29.00	n/a	n/a	150.00 0.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>IWF</b>	<b>B</b>	<b>100</b>	<b>74.63</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MATTHEW FRANCIS BUCK</b>	<b>FID</b>	<b>IWF</b>	<b>B</b>	<b>100</b>	<b>74.63</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
IONIC CAPITAL MANAGEMENT	041	IWM	SS	50,000	98.68	n/a	n/a	1,500.00	0.0
NORTHWESTERN MUTUAL LIFE	047	IWO	B	83,900	113.26	n/a	n/a	1,678.00	0.0
<b>f IAN L MILLER</b>	<b>FID</b>	<b>JBLU</b>	<b>B</b>	<b>200</b>	<b>6.32</b>	<b>n/a</b>	<b>17-Jun</b>	<b>0.00</b>	<b>0.0</b>
<b>f RAVI SADARANGANI</b>	<b>FID</b>	<b>JCI</b>	<b>B</b>	<b>500</b>	<b>37.76</b>	<b>n/a</b>	<b>10-Jun</b>	<b>0.00</b>	<b>0.0</b>
<b>f KEVIN MICHAEL O'GORM</b>	<b>FID</b>	<b>JOSB</b>	<b>B</b>	<b>200</b>	<b>40.24</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
MERRILL ASSET/BLACKROCK	085	JPM	S	25,500	53.81	n/a	17-Jun	1,020.00	0.0
GEORGE WEISS	278	KORS	S	2,500	61.63	n/a	30-May	100.00	0.0
RIDGECREST INV MGMT LLC	028	KS	S	5,000	39.56	n/a	n/a	200.00	0.0
IVORY CAPITAL	084	LCC	B	105,000	16.91	n/a	17-Jun	5,250.00	0.0
BRONSON POINT	036	LULU	SS	25,000	64.98	n/a	13-Jun	750.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
CR INTRINIC INVESTMENT	044	MAS	B	40,000	21.02	n/a	n/a	1,200.00	0.0
<b>f LEE F BACKUS</b>	<b>FID</b>	<b>MTG</b>	<b>S</b>	<b>10000</b>	<b>6.31</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f YANAI A FRANK</b>	<b>FID</b>	<b>MTG</b>	<b>S</b>	<b>6225</b>	<b>6.34</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>MTOR</b>	<b>S</b>	<b>2,582</b>	<b>7.25</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>3.0</b>
<b>f CICILY S BACKUS</b>	<b>FID</b>	<b>MTW</b>	<b>S</b>	<b>2000</b>	<b>18.87</b>	<b>n/a</b>	<b>11-Jul</b>	<b>0.00</b>	<b>0.0</b>
CSFB GLOBAL PROPRIETARY	041	MWV	B	135,000	35.72	n/a	29-May	6,750.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	MWV	S	10,000	35.72	n/a	29-May	300.00	0.0
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>NFLX</b>	<b>S</b>	<b>40</b>	<b>226.80</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
GEORGE WEISS	278	NOV	S	5,000	70.90	n/a	n/a	200.00	0.0
NORTHWESTERN MUTUAL LIFE	047	NXTM	B	10,000	14.27	n/a	n/a	400.00	0.0
SANDLER O'NEILL ASSET	031	PBCT	SS	32,168	13.86	n/a	18-Apr	1,608.40	0.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>PBYI</b>	<b>S</b>	<b>1000</b>	<b>38.86</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
CSFB GLOBAL PROPRIETARY	041	PCH	B	15,000	42.68	n/a	14-Jun	750.00	0.0
CSFB GLOBAL PROPRIETARY	041	PCL	S	12,000	47.64	n/a	14-Jun	600.00	0.0
<b>f ALICE BEEBE LONGLEY</b>	<b>FID</b>	<b>PRRDX</b>	<b>S</b>	<b>7578</b>	<b>11.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>PVH</b>	<b>S</b>	<b>10,000</b>	<b>124.46</b>	<b>n/a</b>	<b>14-Jun</b>	<b>non-brg</b>	<b>4.0</b>

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SUFFOLK CAPITAL MGMT	040	PXD	B	24,820	151.77	n/a	13-Jun	992.80	0.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>QCOR</b>	<b>B</b>	<b>1000</b>	<b>44.73</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>QCOR</b>	<b>B</b>	<b>200</b>	<b>44.76</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f MATTHEW FRANCIS BUCK</b>	<b>FID</b>	<b>QCOR</b>	<b>B</b>	<b>200</b>	<b>44.79</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f LEE F BACKUS</b>	<b>FID</b>	<b>R</b>	<b>S</b>	<b>1000</b>	<b>61.94</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SCSS</b>	<b>B</b>	<b>30,000</b>	<b>25.23</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SCSS</b>	<b>B</b>	<b>87,955</b>	<b>25.12</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.5</b>
MERRILL ASSET/BLACKROCK	085	SF	B	14,200	35.95	n/a	n/a	568.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>SHOO</b>	<b>S</b>	<b>10,000</b>	<b>48.24</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
CORNERSTONE	030	SHW	B	4,100	182.66	n/a	n/a	123.00	0.0
<b>f BRIAN P CLIFFORD</b>	<b>FID</b>	<b>SLXP</b>	<b>B</b>	<b>100</b>	<b>0.25</b>	<b>n/a</b>	<b>17-Jun</b>	<b>0.00</b>	<b>0.0</b>
THOMPSON SIEGAL&WALMSLEY	029	SLXP	S	21,500	66.59	n/a	17-Jun	645.00	0.0
JET CAPITAL/CHRIS	041	SPY	SS	45,000	164.68	n/a	n/a	1,350.00	0.0
LAKEWOOD CAPITAL MGMT	085	SRC	B	5,000	19.45	n/a	n/a	150.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>SSI</b>	<b>B</b>	<b>15,000</b>	<b>22.24</b>	<b>n/a</b>	<b>21-May</b>	<b>non-brg</b>	<b>0.8</b>
<b>B BUCK CAPITAL MGMT</b>		<b>SSI</b>	<b>B</b>	<b>8,000</b>	<b>22.25</b>	<b>n/a</b>	<b>21-May</b>	<b>non-brg</b>	<b>4.0</b>
LATEEF MGMT	033	SWY	B	500	24.17	n/a	n/a	50.00	0.0
<b>f RAVI SADARANGANI</b>	<b>FID</b>	<b>TEX</b>	<b>B</b>	<b>600</b>	<b>28.76</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.	
f LEE F BACKUS	FID	URI	S	1000	49.10	n/a	17-Apr	0.00	0.0
f SNEJANA P GARFUNKEL	FID	URI	S	500	49.12	n/a	17-Apr	0.00	0.0
B BUCK CAPITAL MGMT		VHS	B	20,000	13.13	n/a	n/a	non-brg	0.8
ROYCE TRADING	031	WG	S	50,000	6.86	n/a	n/a	2,500.00	0.0
SUFFOLK CAPITAL MGMT	040	WG	B	40,400	6.88	n/a	n/a	1,212.00	0.0
f DAVID GEORGE BUCK	FID	WYNN	S	150	139.94	n/a	13-Jun	0.00	0.0
f DAVID GEORGE BUCK	FID	WYNN	S	800	139.91	n/a	13-Jun	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	WYNN	S	150	139.90	n/a	13-Jun	0.00	0.0
COOPER CREEK PART	028	WY	S	7,500	29.12	n/a	17-Jun	300.00	0.0
CSFB GLOBAL PROPRIETARY	041	WY	B	150,000	29.02	n/a	17-Jun	7,500.00	0.0
TOTAL (Trade Date):								72,902.60	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	06/11	COHE & STEERS	041	DLR	S	4,773	61.43	n/a	n/a	190.92 4.0
AO,CXL	06/11	COHE & STEERS	041	DLR	S	4,773	61.43	n/a	n/a	190.92 0.0

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<b>TOTAL (AO, CXL, CRT) :</b>	<b>0.00</b>
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TOTAL (Trade Date) :	72,902.60
TOTAL (AO, CXL, CRT) :	0.00

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<b>TOTAL (RUN DATE) / NFS:</b>	<b>72,902.60</b>
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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 17-Jun.  
NONE

MRI Securities without Trade Activity on 17-Jun.  
STT

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)**