



Daily Compliance Activity Report

Trade Date: 06/21/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
LATEEF MGMT	033	AAPL	B	200	411.32	n/a	n/a	60.00	0.0
f YANAI A FRANK	FID	ADSK	B	300	33.91	n/a	n/a	0.00	0.0
WILLIAMS TRADING/BLUE MTN 087	ADT		B	55,812	39.42	n/a	n/a	1,674.36	0.0
B BUCK CAPITAL MGMT		AEO	B	100,000	18.23	n/a	2-Dec	non-brg	4.0
PATTEN & PATTEN	025	AGG	S	250	106.83	n/a	n/a	12.50	0.0
SUFFOLK CAPITAL MGMT	040	AIG	S	39,300	44.05	n/a	n/a	1,572.00	0.0
SUFFOLK CAPITAL MGMT	040	ALTR	B	114,900	31.96	n/a	n/a	4,596.00	0.0
PATTEN & PATTEN	025	AML	B	165	17.29	n/a	n/a	8.25	0.0
NORTHWESTERN MUTUAL LIFE	047	AMT	B	111,000	71.91	n/a	n/a	4,440.00	0.0
B BUCK CAPITAL MGMT		ANF	S	125,000	46.18	n/a	n/a	non-brg	4.0
SCOPUS FUND	041	ANF	S	25,000	46.22	n/a	n/a	1,000.00	0.0
PATTEN & PATTEN	025	APD	S	300	93.91	n/a	n/a	15.00	0.0
LATEEF MGMT	033	ATI	B	300	27.32	n/a	11-Jun	30.00	0.0
BRANDWINE	028	AVX	B	43,312	11.78	n/a	n/a	1,732.48	0.0
PATTEN & PATTEN	025	AXP	B	200	72.55	n/a	19-Jun	10.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
⚡ BUCK CAPITAL MGMT		BAC	B	40,000	12.52	n/a	17-Jun	non-brg	4.0
⚡ BUCK CAPITAL MGMT		BBBY	C	30,000	70.45	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		BBBY	SS	7,000	69.86	n/a	n/a	non-brg	4.0
CASTLE ARK	031	BONT	B	21,300	18.24	n/a	18-Jun	852.00	0.0
HARVEST MGMT (JMP)	029	BONT	S	5,000	18.31	n/a	18-Jun	200.00	0.0
MERRILL ASSET/BLACKROCK	085	BRKB	S	13,500	111.66	n/a	n/a	540.00	0.0
f FRANCIS MICHAEL MCCA	FID	BX	B	200	20.44	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		CAR	B	10,000	28.08	n/a	n/a	non-brg	1.0
CASTLE ARK	031	CME	B	75,200	76.52	n/a	28-Apr	3,008.00	0.0
⚡ BUCK CAPITAL MGMT		COH	SS	50,000	56.49	n/a	30-May	non-brg	4.0
WADDELL AND REED	047	COV	S	465,282	61.91	n/a	n/a	18,611.28	0.0
COHE & STEERS	041	CUBE	S	27,765	15.79	n/a	n/a	832.95	0.0
⚡ BUCK CAPITAL MGMT		C	B	10,000	46.09	n/a	17-Jun	non-brg	4.0
BRANDWINE	028	DDS	B	34,404	80.94	n/a	n/a	1,376.16	0.0
⚡ BUCK CAPITAL MGMT		DECK	B	10,400	48.59	n/a	n/a	non-brg	4.0
COHE & STEERS	041	DLR	S	37,663	57.08	n/a	n/a	1,506.52	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ZWEIG FUNDS	006	EAT	S	90,000	38.33	n/a	13-May	4,500.00	0.0
CAPITAL WORLD	084	EBAY	B	117,200	50.44	n/a	n/a	4,102.00	0.0
HERRING CREEK CAPITAL MGMT LLC040		ECHO	S	15,000	18.62	n/a	n/a	450.00	0.0
LIONEYE CAPITAL	040	EGN	B	10,000	52.72	n/a	n/a	500.00	0.0
PATTEN & PATTEN	025	EWG	S	200	25.05	n/a	n/a	10.00	0.0
B BUCK CAPITAL MGMT		EXPE	SS	8,000	59.65	n/a	n/a	non-brg	4.0
COHE & STEERS	041	EXR	S	13,429	41.23	n/a	n/a	537.16	0.0
f JOHN FRANCIS MCERLEA	FID	FBN	S	357	4.09	n/a	n/a	0.00	0.0
BRONSON POINT	036	FLR	SS	50,000	59.66	n/a	n/a	1,500.00	0.0
B BUCK CAPITAL MGMT		FL	S	20,000	34.91	n/a	19-Jun	non-brg	4.0
B BUCK CAPITAL MGMT		FNP	B	25,000	20.35	n/a	n/a	non-brg	4.0
CHARTERBRIDGE CAPITAL	025	FNP	B	60,000	20.50	n/a	n/a	1,800.00	0.0
SUFFOLK CAPITAL MGMT	040	FNP	B	15,000	20.44	n/a	n/a	600.00	0.0
CAISSE DEPOT PLACEMENT Q	257	FTNT	B	20,000	17.22	n/a	n/a	1,000.00	0.0
B BUCK CAPITAL MGMT		GIS	SS	20,000	48.65	n/a	n/a	non-brg	4.0
f JONATHAN RICHARD HAR	FID	GM	B	10	2.17	n/a	19-Jun	0.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
B BUCK CAPITAL MGMT		GOGO	S	1,000	15.42	n/a	n/a	non-brg 2.5
STANDARD PACIFIC CAPITAL	084	GOGO	S	200,000	15.99	n/a	n/a	10,000.00 0.0
SCOPUS FUND	041	HBI	B	40,000	49.92	n/a	3-May	1,600.00 0.0
B BUCK CAPITAL MGMT		HCA	B	13,700	36.77	n/a	n/a	non-brg 4.0
SIGMA CAPITAL ASSOCIATES	041	HD	B	50,000	73.99	n/a	n/a	1,500.00 0.0
SUFFOLK CAPITAL MGMT	040	HIG	S	66,900	29.75	n/a	n/a	2,676.00 0.0
f JONATHAN RICHARD HAR	FID	HTZ	B	425	23.46	n/a	n/a	0.00 0.0
BRANDWINE	028	HUN	B	94,310	17.16	n/a	n/a	3,772.40 0.0
B BUCK CAPITAL MGMT		IP	B	23,000	43.46	n/a	17-Jun	non-brg 4.0
LATEEF MGMT	033	IP	B	2,000	43.41	n/a	17-Jun	200.00 0.0
B BUCK CAPITAL MGMT		JBLU	B	80,000	6.19	n/a	18-Jun	non-brg 3.0
SANDLER CAPITAL	028	JBL	C	200,000	20.38	n/a	n/a	10,000.00 0.0
f JOHN FRANCIS MCERLEA	FID	JCI	S	200	35.46	n/a	10-Jun	0.00 0.0
MERRILL ASSET/BLACKROCK	085	JPM	S	71,490	52.56	n/a	17-Jun	2,859.60 0.0
SANDLER O'NEILL ASSET	031	JPM	S	150,000	52.21	n/a	17-Jun	7,500.00 0.0
f MITCHELL JAMES SPEIS	FID	KCG	S	3000	3.66	n/a	n/a	0.00 0.0
SUFFOLK CAPITAL MGMT	040	KRO	S	9,000	15.91	n/a	n/a	360.00 0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
B BUCK CAPITAL MGMT		KSS	B	50,000	50.21	n/a	18-Jun	non-brg	4.0
B BUCK CAPITAL MGMT		K	SS	20,000	63.08	n/a	n/a	non-brg	4.0
LATEEF MGMT	033	K	B	750	63.10	n/a	n/a	75.00	0.0
f DOUGLAS ROGERS	FID	LGND	B	500	35.22	n/a	n/a	0.00	0.0
CLEARLINE CAPITAL LLC	040	LL	C	15,800	76.61	n/a	n/a	474.00	0.0
PROSPECTOR PARTNERS LLC	036	LM	B	10,000	30.85	n/a	2-Mar	400.00	0.0
B BUCK CAPITAL MGMT		LOW	SS	100,000	39.33	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		LPX	B	33,000	15.35	n/a	19-Jun	non-brg	4.0
SMITH MGMT/ALDEN GLOBAL		029 LPX	S	500,000	15.67		n/a 19-Jun	15,000.00	0.0
DISCIPLINED GROWTH INV.	030	LTD	S	1,750	51.64	n/a	n/a	87.50	0.0
SIGMA CAPITAL ASSOCIATES	041	MAT	SS	25,000	44.00	n/a	n/a	750.00	0.0
B BUCK CAPITAL MGMT		MS	B	20,000	24.42	n/a	6-Jun	non-brg	4.0
CSFB GLOBAL PROPRIETARY	041	MWV	B	25,000	34.13	n/a	18-Jun	1,250.00	0.0
B BUCK CAPITAL MGMT		NAV	B	37,400	26.71	n/a	11-Jul	non-brg	4.0
SANDLER O'NEILL ASSET	031	NTRS	SS	25,000	57.68	n/a	6-Jun	1,250.00	0.0
PATTEN & PATTEN	025	NUE	S	500	43.87	n/a	n/a	25.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
SUFFOLK CAPITAL MGMT	040	PBYI	S	10,000	40.00	n/a	n/a	400.00	0.0
PLATTE RIVER CAPITAL	046	PEP	S	5,000	79.99	n/a	n/a	200.00	0.0
B BUCK CAPITAL MGMT		PFE	B	34,800	28.73	n/a	n/a	non-brg	4.0
COHE & STEERS	041	PLD	S	35,963	35.29	n/a	n/a	1,438.52	0.0
COBALT	041	PNC	B	100,000	71.76	n/a	n/a	4,000.00	0.0
SCOPUS FUND	041	PPG	S	17,884	148.50	n/a	n/a	715.36	0.0
MELLON/BANK OF NEW YORK	046	PVH	B	255,951	120.75	n/a	14-Jun	10,019.14	0.0
PATTEN & PATTEN	025	QCOM	B	250	60.29	n/a	n/a	12.50	0.0
DISCIPLINED GROWTH INV.	030	RCL	S	2,300	32.15	n/a	n/a	115.00	0.0
B BUCK CAPITAL MGMT		RDN	B	44,400	11.35	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		RL	B	6,000	168.03	n/a	24-May	non-brg	4.0
B BUCK CAPITAL MGMT		SCSS	B	21,000	23.71	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SCSS	B	30,959	24.31	n/a	n/a	non-brg	4.0
COHE & STEERS	041	SPG	B	76,982	156.35	n/a	n/a	3,079.28	0.0
NOKOMIS PARTNERS	031	SSYS	B	12,500	81.40	n/a	n/a	375.00	0.0
DAVIDSON KEMPNER ADVISOR	040	STZ	S	20,000	50.78	n/a	17-Jun	600.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		TDG	SS	6,000	158.20	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		TEX	B	52,500	27.09	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		TGT	SS	50,000	68.66	n/a	23-May	non-brg	4.0
DISCIPLINED GROWTH INV.	030	TJX	S	3,750	49.46	n/a	18-Jun	187.50	0.0
NEWLAND CAPITAL MGT	025	UAL	B	10,000	29.97	n/a	18-Jun	400.00	0.0
ROYCE TRADING	031	UNT	B	14,708	42.86	n/a	13-Jun	735.40	0.0
PATTEN & PATTEN	025	VB	B	90	92.24	n/a	n/a	4.50	0.0
PATTEN & PATTEN	025	VO	B	720	93.71	n/a	n/a	36.00	0.0
PATTEN & PATTEN	025	VV	B	225	73.32	n/a	n/a	11.25	0.0
SIGMA CAPITAL ASSOCIATES	041	WAG	SS	25,000	48.91	n/a	n/a	750.00	0.0
MERRILL ASSET/BLACKROCK	085	WAL	S	41,900	14.82	n/a	n/a	1,676.00	0.0
HERRING CREEK CAPITAL MGMT LLC040	WGO		B	18,000	20.41	n/a	n/a	540.00	0.0
LATEEF MGMT	033	WY	B	2,000	27.45	n/a	19-Jun	180.00	0.0
PLATTE RIVER CAPITAL	046	WY	S	5,228	27.06	n/a	19-Jun	209.12	0.0
f YANAI A FRANK	FID	XHB	B	700	28.41	n/a	n/a	0.00	0.0
HERRING CREEK CAPITAL MGMT LLC040	XPO		B	15,000	17.31	n/a	n/a	450.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
MERRILL ASSET/BLACKROCK	085	Y	S	2,000	377.07	n/a	n/a	80.00	0.0
5 BUCK CAPITAL MGMT		ZTS	B	32,300	30.89	n/a	n/a	non-brg	4.0
TOTAL (Trade Date):							143,070.73		

Cancel/Corrects and As-Of Trades

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI Research	Comm.¢/Shr.
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (Trade Date) :									143,070.73
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									143,070.73

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
AO	06/20	BUCK CAPITAL MGMT	GOGO	B	1,000	17.00	n/a	n/a	0.00	0.0

MRI Securities with Trade Activity on 21-Jun.
NONE

MRI Securities without Trade Activity on 21-Jun.
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)