



# Daily Compliance Activity Report

Trade Date: 05/08/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B</b> BUCK CAPITAL MGMT		<b>AEO</b>	<b>SS</b>	<b>30,000</b>	<b>19.43</b>	<b>n/a</b>	<b>2-Dec</b>	<b>non-brg</b>	<b>4.0</b>
ELM RIDGE ADVISORS	044	ALL	S	25,000	49.33	n/a	n/a	1,000.00	0.0
STELLIAM INV ADV	086	AMAT	B	60,000	14.86	n/a	n/a	2,400.00	0.0
<b>f</b> MICHAEL ALEXANDER SM	<b>FID</b>	<b>APA</b>	<b>B</b>	<b>20</b>	<b>5.12</b>	<b>n/a</b>	<b>2-May</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> MICHAEL ALEXANDER SM	<b>FID</b>	<b>APA</b>	<b>B</b>	<b>5</b>	<b>5.12</b>	<b>n/a</b>	<b>2-May</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> MICHAEL ALEXANDER SM	<b>FID</b>	<b>APA</b>	<b>B</b>	<b>5</b>	<b>5.12</b>	<b>n/a</b>	<b>2-May</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> YANAI A FRANK	<b>FID</b>	<b>AVGO</b>	<b>S</b>	<b>2000</b>	<b>33.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>f</b> DOUGLAS ROGERS	<b>FID</b>	<b>BACPRD</b>	<b>B</b>	<b>290</b>	<b>25.60</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>BIG</b>	<b>SS</b>	<b>30,000</b>	<b>37.58</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
COOPER CREEK PART	028	BONT	S	7,200	16.26	8-May	8-May	288.00	0.0
CORNERSTONE	030	CRM	S	175,000	42.38	n/a	n/a	5,250.00	0.0
<b>B</b> BUCK CAPITAL MGMT		<b>DAL</b>	<b>S</b>	<b>54,000</b>	<b>18.69</b>	<b>n/a</b>	<b>24-Apr</b>	<b>non-brg</b>	<b>4.0</b>
<b>B</b> BUCK CAPITAL MGMT		<b>DDS</b>	<b>C</b>	<b>37,600</b>	<b>86.40</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
T. ROWE PRICE	243	DWRE	S	40,000	29.93	n/a	n/a	1,600.00	0.0
DSM CAPITAL PARTNERS	085	EBAY	B	40,700	54.55	n/a	n/a	2,035.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
MERRILL ASSET/BLACKROCK	297	EDD	B	31,000	17.64	n/a	n/a	1,240.00	0.0
PARKWEST	084	ELNK	SS	138,100	5.93	n/a	n/a	4,143.00	0.0
ß BUCK CAPITAL MGMT		FNP	B	25,000	21.86	n/a	n/a	non-brg	2.5
ß BUCK CAPITAL MGMT		FNP	B	30,000	21.63	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		FNP	B	81,916	21.83	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		FOSL	S	10,000	109.36	n/a	n/a	non-brg	4.0
ß BUCK CAPITAL MGMT		FRAN	B	20,000	27.52	n/a	n/a	non-brg	4.0
f ANTHONY SUTERA	FID	FWM	B	1000	18.30	n/a	n/a	0.00	0.0
CAERUS GLOBAL	041	F	SS	25,000	14.21	n/a	7-May	1,000.00	0.0
CAERUS GLOBAL	041	GM	B	10,000	32.04	n/a	7-May	400.00	0.0
CR INTRINIC INVESTMENT	044	GPS	B	10,000	38.88	n/a	n/a	300.00	0.0
f JASON ERIC COHEN	FID	HTLD	S	370	14.02	n/a	n/a	0.00	0.0
f MANNY I KORMAN	FID	INTC	B	10000	24.08	n/a	n/a	0.00	0.0
ß BUCK CAPITAL MGMT		KNX	S	40,000	16.32	n/a	n/a	non-brg	1.0
ß BUCK CAPITAL MGMT		KNX	S	60,000	16.37	n/a	n/a	non-brg	4.0
SCOPUS FUND	041	LAD	B	25,000	51.54	n/a	n/a	1,000.00	0.0
SANDLER O'NEILL ASSET	031	LAZ	B	474	32.75	n/a	6-May	23.70	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.		
GUGGENHEIM GLOBAL TRADING	(GGT)251	LBTYA		SS	10,000	78.71	n/a	n/a	200.00	0.0
f RAVI SADARANGANI	FID	LOV	B	1000	8.22	n/a	n/a	0.00	0.0	
f RAVI SADARANGANI	FID	LOV	B	100	8.08	n/a	n/a	0.00	0.0	
f ROHINI T SADARANGANI	FID	LOV	B	500	8.16	n/a	n/a	0.00	0.0	
B BUCK CAPITAL MGMT		LUV	C	35,000	14.42	n/a	26-Apr	non-brg	4.0	
ACK ASSET	028	MLI	B	8,900	53.44	n/a	30-Apr	267.00	0.0	
PRIMECAP MGMT	084	MMC	S	600	39.30	n/a	n/a	24.00	0.0	
DONALD SMITH	088	MU	B	500,000	10.03	n/a	n/a	15,000.00	0.0	
STELLIAM INV ADV	086	MU	S	60,000	10.13	n/a	n/a	2,400.00	0.0	
OSKIE CAPITAL MGMT	224	MWV	B	15,000	34.83	n/a	30-Apr	750.00	0.0	
B BUCK CAPITAL MGMT		NCLH	B	30,782	31.77	n/a	n/a	non-brg	4.0	
LOCUST WOOD CAPITAL MGMT	044	NEWCASTLE INVESTMENTB		286,500	5.20		n/a	n/a	11,460.00	0.0
NOMURA CAPITAL	029	NTK	S	5,000	71.76	n/a	n/a	200.00	0.0	
B BUCK CAPITAL MGMT		PETM	SS	7,000	69.48	n/a	n/a	non-brg	4.0	
COHE & STEERS	041	PLD	B	17,352	42.98	n/a	n/a	694.08	0.0	
DELTEC ASSET MGMT.	040	PVH	B	5,000	118.36	n/a	22-Apr	250.00	0.0	
f DANIEL JORDAN COHEN	FID	RYL	S	62	46.85	n/a	n/a	0.00	0.0	

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
ROSEDALE CAPITAL	046	SCHW	B	20,000	17.37	n/a	n/a	800.00	0.0
EPOCH INV MGMT	030	SSD	B	13,909	28.82	n/a	n/a	417.27	0.0
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>SWFT</b>	<b>S</b>	<b>730</b>	<b>15.10</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
DSM CAPITAL PARTNERS	085	TWX	B	38,400	61.54	n/a	n/a	1,920.00	0.0
<b>B BUCK CAPITAL MGMT</b>		<b>UAL</b>	<b>C</b>	<b>15,100</b>	<b>33.28</b>	<b>n/a</b>	<b>26-Apr</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>WNC</b>	<b>S</b>	<b>304,125</b>	<b>9.90</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>1.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>WNC</b>	<b>S</b>	<b>45,200</b>	<b>10.02</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>2.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>WNC</b>	<b>S</b>	<b>50,000</b>	<b>10.03</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>WNC</b>	<b>S</b>	<b>500</b>	<b>9.90</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>TOTAL (Trade Date):</b>								<b>55,062.05</b>	

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) :									55,062.05
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									55,062.05

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 8-May.

BONT

MRI Securities without Trade Activity on 8-May.

M, ENDP

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)