



# Daily Compliance Activity Report

Trade Date: 03/01/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
<b>B BUCK CAPITAL MGMT</b>		<b>494 HK</b>	<b>C</b>	<b>498,900</b>	<b>1.35</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>0.3</b>
MELLON/BANK OF NEW YORK	046	AAPL	S	35,009	432.72	n/a	n/a	1,288.16	0.0
DARUMA ASSET MGMT INC	046	AAV	S	113,201	3.05	n/a	n/a	4,528.04	0.0
MELLON/BANK OF NEW YORK	046	ADBE	B	226,490	39.79	n/a	n/a	7,999.42	0.0
<b>f DAVID GEORGE BUCK</b>	<b>FID</b>	<b>AIG</b>	<b>S</b>	<b>1500</b>	<b>37.92</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
S.A.C. CAPITAL	044	ANN	B	30,000	28.13	n/a	n/a	900.00	3.0
CASTLEROCK	098	ARCO	SS	15,000	12.86	n/a	3-Jan	600.00	0.0
S.A.C. CAPITAL	044	ASNA	B	25,000	16.41	n/a	n/a	750.00	3.0
<b>f JARROD MICHAEL FEINS</b>	<b>FID</b>	<b>AXL</b>	<b>B</b>	<b>350</b>	<b>12.47</b>	<b>n/a</b>	<b>1-Mar</b>	<b>0.00</b>	<b>0.0</b>
<b>f JONATHAN RICHARD HAR</b>	<b>FID</b>	<b>AXL</b>	<b>B</b>	<b>265</b>	<b>12.48</b>	<b>n/a</b>	<b>1-Mar</b>	<b>0.00</b>	<b>0.0</b>
ROSEDALE CAPITAL	046	AXL	B	25,000	12.48	n/a	1-Mar	1,000.00	4.0
DELTEC ASSET MGMT.	040	BA	B	10,000	77.03	n/a	1-Mar	500.00	5.0
OZ MGMT	040	BA	B	105,534	76.88	n/a	1-Mar	3,166.02	0.0
<b>f JASON ERIC COHEN</b>	<b>FID</b>	<b>BBRY</b>	<b>S</b>	<b>2000</b>	<b>14.50</b>	<b>n/a</b>	<b>n/a</b>	<b>0.00</b>	<b>0.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BID</b>	<b>SS</b>	<b>20,000</b>	<b>39.90</b>	<b>n/a</b>	<b>n/a</b>	<b>non-brg</b>	<b>4.0</b>
<b>B BUCK CAPITAL MGMT</b>		<b>BID</b>	<b>SS</b>	<b>26,400</b>	<b>37.89</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.	
⚡ BUCK CAPITAL MGMT		BLMN	B	16,400	17.07	n/a	n/a	non-brg	2.0
⚡ BUCK CAPITAL MGMT		BLMN	B	63,600	16.99	n/a	n/a	non-brg	4.0
BRANDWINE	028	CCL	S	238,100	35.87	n/a	n/a	9,524.00	0.0
f DAVID GEORGE BUCK	FID	CMG	S	5	1.45	n/a	6-Feb	0.00	0.0
S.A.C. CAPITAL	044	CRI	B	4,192	55.62	n/a	n/a	125.76	3.0
NORTHWESTERN MUTUAL LIFE	047	CTL	S	30,600	34.96	n/a	n/a	1,224.00	0.0
FIRST NY SEC/CHRIS	041	DAL	S	15,000	14.87	n/a	1-Mar	750.00	5.0
WELLSPRING CAPITAL	093	DAL	S	20,000	14.85	n/a	1-Mar	800.00	0.0
f ANGELOS EFSTATHIOU	FID	DD	B	125	48.07	n/a	n/a	0.00	0.0
f HARALAMBOS EFSTATHI	FID	DD	B	400	48.14	n/a	n/a	0.00	0.0
⚡ BUCK CAPITAL MGMT		DECK	S	250,000	45.15	n/a	n/a	non-brg	4.0
⚡ BUCK CAPITAL MGMT		DECK	S	45,000	43.23	n/a	n/a	non-brg	1.0
⚡ BUCK CAPITAL MGMT		DECK	S	68,506	45.79	n/a	n/a	non-brg	4.0
BALYASNY ASSET MGMT	044	DSW	S	15,000	67.85	n/a	11-Feb	750.00	0.0
MELLON/BANK OF NEW YORK	046	EQIX	B	98,564	212.92	n/a	n/a	3,850.82	0.0
MERRILL ASSET/BLACKROCK	297	ESS	B	14,000	147.62	n/a	n/a	560.00	0.0
f WILLIAM J GAULT	FID	FBC	B	2000	13.69	n/a	n/a	0.00	0.0
KENNEDY CAPITAL	046	FINL	B	25,000	18.00	n/a	27-Feb	1,000.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
PHILADELPHIA FINANCIAL	033	F	SS	200,000	12.60	n/a	1-Mar	8,000.00	0.0
B BUCK CAPITAL MGMT		GCO	C	20,000	58.39	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		GIL	S	20,000	37.01	n/a	7-Feb	non-brg	4.0
BNP PARIBAS SEC	040	GM	B	20,000	27.33	n/a	1-Mar	600.00	3.0
OZ MGMT	040	GM	S	97,159	27.40	n/a	1-Mar	2,914.77	0.0
f CHRISTY FRANK	FID	HEES	B	1000	19.54	n/a	n/a	0.00	0.0
f DAVID GEORGE BUCK	FID	HIK LN	S	4000	13.84	n/a	n/a	0.00	0.0
f JOHN MICHAEL ZOLIDIS	FID	HLF	B	100	41.67	n/a	n/a	0.00	0.0
CAPITAL GROWTH MGMT.	241	HT	B	350,000	5.65	n/a	n/a	10,500.00	0.0
f MANNY I KORMAN	FID	INTC	B	5000	21.04	n/a	n/a	0.00	0.0
CSFB GLOBAL PROPRIETARY	041	IP	S	70,000	44.04	n/a	1-Mar	3,500.00	0.0
DELTEC ASSET MGMT.	040	IP	B	10,000	43.97	n/a	1-Mar	500.00	0.0
B BUCK CAPITAL MGMT		JBLU	B	40,000	6.17	n/a	27-Feb	non-brg	1.0
f DAVID GEORGE BUCK	FID	JPM	B	300	49.08	n/a	26-Feb	0.00	0.0
B BUCK CAPITAL MGMT		KMT	B	12,600	39.67	n/a	n/a	non-brg	4.0
BRONSON POINT	036	LEA	B	25,000	53.49	n/a	1-Mar	750.00	0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f DAVID GEORGE BUCK	FID	LM	B	400	28.34	n/a	2-Mar	0.00	0.0
WATERFRONT CAP	028	LOW	S	12,349	38.33	n/a	n/a	493.96	0.0
B BUCK CAPITAL MGMT		MOH	B	13,300	31.53	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	MRK	B	1000	42.57	n/a	n/a	0.00	0.0
f MATTHEW FRANCIS BUCK	FID	MRK	B	300	42.56	n/a	n/a	0.00	0.0
B BUCK CAPITAL MGMT		MTOR	B	99,100	4.25	n/a	n/a	non-brg	2.0
WATERFRONT CAP	028	MTW	S	24,983	18.17	n/a	11-Jul	999.32	0.0
B BUCK CAPITAL MGMT		NWY	S	10,000	4.29	n/a	n/a	non-brg	2.0
B BUCK CAPITAL MGMT		PCP	B	5,400	186.09	n/a	1-Mar	non-brg	4.0
B BUCK CAPITAL MGMT		PII	B	20,000	86.50	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		PLCE	C	27,500	45.38	n/a	10-Jan	non-brg	4.0
f DAVID GEORGE BUCK	FID	PSDV	B	10000	2.15	n/a	n/a	0.00	0.0
S.A.C. CAPITAL	044	ROST	B	20,000	57.68	n/a	21-Feb	600.00	3.0
B BUCK CAPITAL MGMT		RUSHA	S	10,000	24.75	n/a	n/a	non-brg	1.0
B BUCK CAPITAL MGMT		RUSHA	S	26,176	24.83	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SCSS	B	20,000	20.58	n/a	n/a	non-brg	2.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
B BUCK CAPITAL MGMT		SIG	C	20,000	59.16	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SIG	C	20,000	59.20	n/a	n/a	non-brg	4.0
DPB CAPITAL	029	SIRI	S	5,000	3.12	n/a	n/a	250.00	5.0
B BUCK CAPITAL MGMT		SKX	S	20,000	20.46	n/a	n/a	non-brg	4.0
B BUCK CAPITAL MGMT		SLXP	SS	20,700	48.35	n/a	1-Mar	non-brg	4.0
f YANAI A FRANK	FID	SWKS	B	500	20.78	n/a	n/a	0.00	0.0
LOMAS CAPITAL	040	SYI	SS	83,000	32.04	n/a	n/a	2,490.00	3.0
MELLON/BANK OF NEW YORK	046	TDC	S	243,082	58.79	n/a	n/a	9,499.76	0.0
B BUCK CAPITAL MGMT		TFM	C	20,000	44.21	n/a	n/a	non-brg	4.0
f DAVID GEORGE BUCK	FID	WAG	B	100	41.26	n/a	n/a	0.00	0.0
BNP PARIBAS SEC	040	WY	B	20,000	29.53	n/a	1-Mar	600.00	3.0
f JOHN MICHAEL ZOLIDIS	FID	YXI	S	150	36.54	n/a	n/a	0.00	0.0
TOTAL (Trade Date) :								81,014.03	

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

Type	Date	Account	RR #	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
AO,CRT	02/28	NEWLAND CAPITAL MGT	025	ARC	S	75,000	2.21	n/a	n/a	1500.00 2.0
AO,CXL	02/28	NEWLAND CAPITAL MGT	025	ARC	S	75,000	2.21	n/a	n/a	2250.00 3.0
AO,CXL	02/27	CENTURION PARTNERS	041	CTL	S	20,000	33.97	n/a	n/a	0.00 0.0
AO,CRT	02/27	CENTURION PARTNERS	041	CTL	S	20,000	33.97	n/a	n/a	800.00 4.0
AO,CXL	02/28	WINSLOW CAPITAL	030	DG	B	200	46.29	n/a	1-Mar	6.00 3.0
AO,CRT	02/28	WINSLOW CAPITAL	030	DG	B	200	46.29	n/a	1-Mar	6.00 3.0
AO,CRT	02/28	DELTEC ASSET MGMT.	040	LCC	B	30,000	13.50	n/a	1-Mar	1200.00 4.0
AO,CXL	02/28	DELTEC ASSET MGMT.	040	LCC	B	30,000	13.50	n/a	1-Mar	1500.00 5.0

**TOTAL (AO, CXL, CRT) :****-250.00**

TOTAL (Trade Date) :

81,014.03

TOTAL (AO, CXL, CRT) :

-250.00

**TOTAL (RUN DATE) / NFS :****80,764.03**

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 1-Mar.  
NONE

MRI Securities without Trade Activity on 1-Mar.  
KSS, HBI, SLM, MYL

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)**