



Daily Compliance Activity Report

Trade Date: 01/15/2013

Potential ANALYST TRADE Violations: 0

Watch List ACTIVITY ALERT: 0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.
B BUCK CAPITAL MGMT		1023 HK	S	17,000	0.66	n/a	n/a	non-brg 0.0
DAVIDSON INV ADV	033	AAPL	B	2,599	488.02	n/a	n/a	103.96 4.0
HOPLITE MGMT	025	AIG	S	40,000	34.96	n/a	n/a	1,600.00 0.0
SENATOR INVESTMENT GROUP	036	ASH	B	136	84.85	n/a	17-Dec	4.08 3.0
TUDOR INVESTORS	028	AWI	B	5,000	54.20	n/a	n/a	150.00 3.0
TUDOR INVESTORS	028	AXL	B	10,000	11.50	n/a	11-Jan	300.00 3.0
UBS OCONNOR	031	BEN	B	30,000	135.33	n/a	2-Mar	900.00 0.0
B BUCK CAPITAL MGMT		BKW	C	70,000	17.77	n/a	14-Jan	non-brg 4.0
UBS OCONNOR	031	BLK	S	20,000	222.48	n/a	n/a	600.00 0.0
PATRIOT STRATEGY PARTNERS	036	BONT	B	10,000	12.58	n/a	15-Jan	400.00 4.0
J. GOLDMAN	028	DAN	S	40,000	15.83	n/a	15-Jan	1,600.00 4.0
TUDOR INVESTORS	028	DAN	B	15,000	15.49	n/a	15-Jan	450.00 3.0
M&I FUNDS	047	DLTR	S	13,157	38.12	n/a	20-Nov	526.28 4.0
PROSPECTOR PARTNERS LLC	036	DOLE	B	10,000	10.24	n/a	n/a	400.00 4.0
CAPITAL WORLD	084	DOW	S	342,600	34.06	n/a	19-Dec	11,991.00 0.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
f MELISSA LEE BACKUS	FID	DVN	S	500	53.68	n/a	10-Jan	0.00	0.0
GALT INVESTMENT	041	EXPR	S	200,000	16.60	n/a	n/a	8,000.00	4.0
f JONATHAN RICHARD HAR	FID	EXPR	S	50	1.95	n/a	n/a	0.00	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	EXPR	B	250,000	17.16	n/a	n/a	7,500.00	3.0
DAVIDSON INV ADV	033	GE	B	47,730	21.20	n/a	n/a	1,909.20	4.0
OZ MGMT	040	GM	S	34,016	30.48	n/a	11-Jan	1,020.48	0.0
NOMURA/ANGEL LANE PRINCIPAL	040	HBI	SS	40,000	37.41	n/a	30-Nov	1,200.00	3.0
CAPITAL RESEARCH GROUP		296 HD	S	204,453	63.80		n/a	n/a	7,155.86 0.0
DECADE CAPITAL PARTNERS	040	HD	S	15,800	63.74	n/a	n/a	632.00	0.0
GALT INVESTMENT	041	HD	B	20,000	63.75	n/a	n/a	1,000.00	5.0
CSFB GLOBAL PROPRIETARY	041	IP	B	50,000	40.79	n/a	7-Jan	2,500.00	5.0
UBS OCONNOR	031	IVZ	B	35,000	27.50	n/a	2-Mar	1,050.00	0.0
TUDOR INVESTORS	028	JBHT	SS	5,000	60.86	n/a	n/a	150.00	3.0
ARMATURE CAPITAL	041	JCI	S	50,000	31.57	n/a	10-Jan	2,000.00	0.0
B BUCK CAPITAL MGMT		JNY	SS	30,000	11.22	n/a	25-Oct	non-brg	4.0
f MELISSA LEE BACKUS	FID	KRFT	B	1000	46.70	n/a	n/a	0.00	0.0
SIGMA CAPITAL ASSOCIATES	041	KSS	B	25,000	42.71	n/a	4-Jan	875.00	3.5

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.	
TUDOR INVESTORS	028	LEN	S	5,000	40.46	n/a	n/a	150.00	3.0
HOTCHKIS & WILEY	084	LLY	S	523,498	53.06	n/a	n/a	26,174.90	0.0
DECADE CAPITAL PARTNERS	040	LOW	B	28,300	35.71	n/a	n/a	1,132.00	0.0
BARON ASSET MGMT*	085	LULU	B	5,500	69.05	15-Jan	15-Jan	275.00	0.0
⌘ BUCK CAPITAL MGMT		LULU	C	50,000	68.58	15-Jan	15-Jan	non-brg	4.0
NOMURA/ANGEL LANE PRINCIPAL	040	LULU	SS	20,000	67.81	15-Jan	15-Jan	600.00	3.0
APEX CAPITAL MGMT.	261	MGM	B	80,900	12.92	n/a	13-Jun	3,236.00	0.0
ARSENAL ASSET MANAGEMENT	028	MSM	B	5,000	75.16	n/a	n/a	200.00	0.0
⌘ BUCK CAPITAL MGMT		MTOR	B	44,117	5.05	n/a	n/a	non-brg	0.8
TUDOR INVESTORS	028	MTW	S	10,000	16.14	n/a	11-Jul	300.00	3.0
CAPITAL WORLD	084	NKE	B	250,000	53.47	n/a	21-Dec	8,750.00	0.0
CSFB GLOBAL PROPRIETARY	041	PKG	S	20,000	39.29	n/a	15-Jan	1,000.00	5.0
CSFB GLOBAL PROPRIETARY	041	RKT	B	15,000	74.45	n/a	7-Jan	750.00	5.0
⌘ BUCK CAPITAL MGMT		RUSHA	S	26,600	22.38	n/a	n/a	non-brg	4.0
DAVIDSON INV ADV	033	RWT	S	66,925	18.91	n/a	n/a	2,677.00	4.0
⌘ BUCK CAPITAL MGMT		SKS	C	41,000	10.97	n/a	n/a	non-brg	4.0

Account	RR#	Symbol	B/S	Shares	Price	MRI	Research	Comm. ¢/Shr.	
TOCQUEVILLE	046	SPLS	B	132,000	12.37	n/a	n/a	6,600.00	0.0
B BUCK CAPITAL MGMT		SSI	B	30,000	21.90	n/a	15-Jan	non-brg	4.0
TUDOR INVESTORS	028	SWK	SS	5,000	75.83	n/a	n/a	150.00	3.0
HOLLIS CAPITAL	033	TGT	S	5,000	61.34	n/a	3-Jan	250.00	5.0
SIGMA CAPITAL ASSOCIATES	041	TGT	B	50,000	60.98	n/a	3-Jan	1,750.00	3.5
TUDOR INVESTORS	028	TRW	S	5,000	55.72	n/a	n/a	150.00	3.0
COLUMBUS CIRCLE	036	VAC	B	1,016	43.99	n/a	n/a	40.64	0.0
M&I FUNDS	047	WRC	S	5,000	73.11	n/a	6-Nov	200.00	4.0
T. ROWE PRICE	243	WY	S	62,800	30.59	n/a	11-Jan	2,512.00	0.0
COLUMBUS CIRCLE	036	XXIA	B	13,403	20.07	n/a	n/a	536.12	0.0
B BUCK CAPITAL MGMT		ZUMZ	C	20,000	20.93	n/a	n/a	non-brg	4.0
TOTAL (Trade Date) :								111,451.52	

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) :									111,451.52
TOTAL (AO, CXL, CRT) :									0.00
TOTAL (RUN DATE) / NFS:									111,451.52

BCM Cancel/Corrects and As-Of Trades

Type	Date	Account	Symbol	B/S	Shares	Price	MRI	Research	Comm.¢/Shr.
CXL	01/14	BUCK CAPITAL MGMT.	TGT	SS	70,000	60.28	n/a	3-Jan	2800.00
CRT	01/14	BUCK CAPITAL MGMT	TGT	SS	70,000	60.03	n/a	3-Jan	2800.00 4.0

MRI Securities with Trade Activity on 15-Jan.

LULU

MRI Securities without Trade Activity on 15-Jan.

MCD, EAT

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)